

COLORADO DEPARTMENT OF TRANSPORTATION FEDERAL-AID HIGHWAY PROGRAM

STEWARDSHIP AND OVERSIGHT AGREEMENT

April 23, 2020

DEVELOPED IN PARTNERSHIP WITH THE FEDERAL HIGHWAY ADMINISTRATION'S
COLORADO DIVISION AND THE COLORADO DEPARTMENT OF TRANSPORTATION

REVISION HISTORY

Date	Description of Changes
March 31, 2015	Original S&O Agreement
April 11, 2016	S&O Agreement with revised organizational charts and Appendix A
March 21, 2017	Revised Appendix A - Functional Program Areas; Appendix B - Manuals and Operating Agreements; and Appendix D - FHWA organizational chart
May 2, 2018	Revised Section 10.4.4, Appendix A - Functional Program Areas; Appendix B - Manuals and Operating Agreements; Appendix D - CDOT and FHWA organizational charts; and Attachment B - Program Responsibility Matrix
April 1, 2020	Revised Appendix A - Functional Program Areas; Appendix B - Manuals and Operating Agreements; Appendix D - CDOT and FHWA organizational charts; and Attachment B - Program Responsibility Matrix (minor remarks); added Section 18 Innovative Mobility
April 23, 2020	Section 18 Innovative Mobility, pages 81 and 82, added words federal and federalized, respectively

We support the concept of this Stewardship and Oversight Agreement and hereby direct that the stewardship and oversight of the Federal-Aid Highway Program be carried out in the spirit of a true partnership, as described herein.



May 19, 2020

Shoshana M. Lew Date:
Executive Director
Colorado Department of Transportation

JOHN M CATER

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John M. Cater Date:
Colorado Division Administrator
Federal Highway Administration



COLORADO
Department of Transportation



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**STEWARDSHIP AND OVERSIGHT AGREEMENT
ON PROJECT ASSUMPTION AND PROGRAM OVERSIGHT
BY AND BETWEEN THE
FEDERAL HIGHWAY ADMINISTRATION, COLORADO DIVISION
AND THE
STATE OF COLORADO DEPARTMENT OF TRANSPORTATION**

Section 1. BACKGROUND AND INTRODUCTION

The Federal-aid Highway Program (FAHP) is a federally-assisted program of State-selected projects. The Federal Highway Administration (FHWA) and the State Departments of Transportation have long worked as partners to deliver the FAHP in accordance with Federal requirements. In enacting 23 U.S.C. 106(c), as amended, Congress recognized the need to give the States more authority to carry out project responsibilities traditionally handled by FHWA. Congress also recognized the importance of a risk-based approach to FHWA oversight of the FAHP, establishing requirements in 23 U.S.C. 106(g). This Stewardship and Oversight (S&O) Agreement sets forth the agreement between FHWA and the Colorado Department of Transportation (CDOT) on the roles and responsibilities of FHWA and CDOT with respect to Title 23 project approvals and related responsibilities, and FAHP oversight activities. The scope of FHWA responsibilities, and the legal authority for CDOT assumption of FHWA responsibilities, developed over time. The U.S. Secretary of Transportation delegated responsibility to the Administrator of FHWA for the FAHP under Title 23 of the United States Code, and associated laws. (49 CFR 1.84 and 1.85) The following legislation further outlines FHWA's responsibilities:

- Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991;
- Transportation Equity Act for the 21st Century (TEA-21) of 1998;
- Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005;
- Moving Ahead for Progress in the 21st Century Act (MAP-21) of 2012 (P.L. 112-141); and
- Fixing America's Surface Transportation (FAST) Act (Pub. L. No. 114-94).

FHWA may not assign or delegate its decision-making authority to a State Department of Transportation unless authorized by law. Section 106 of Title 23, United States Code (Section 106), authorizes the State to assume specific project approvals. For projects that receive funding under Title 23, U.S.C., and are on the National Highway System (NHS) including projects on the Interstate System, the State may assume the responsibilities of the Secretary of the U.S. Department of Transportation under Title 23 for design, plans, specifications, estimates, contract awards, and inspections with respect to the projects unless the Secretary determines that the assumption is not appropriate. (23 U.S.C. 106(c)(1)) For projects under Title 23, U.S.C. that are not on the NHS, the State shall assume the responsibilities for design, plans, specifications, estimates, contract awards, and inspections unless the State determines that such assumption is not appropriate. (23 U.S.C. 106(c)(2))

For all other project activities which do not fall within the specific project approvals listed in Section 106 or are not otherwise authorized by law, FHWA may authorize CDOT to perform work needed to reach FHWA decision point, or to implement FHWA's decision. However, such decisions themselves are reserved to FHWA.

The authority given to CDOT under Section 106(c)(1) and (2) is limited to specific project approvals listed herein. Nothing listed herein is intended to include assumption of FHWA's

decision-making authority regarding Title 23, U.S.C. eligibility or Federal-aid participation determinations. FHWA always must make the final eligibility and participation decisions for the Federal-aid Highway Program.

Section 106(c)(3) requires FHWA and CDOT to enter into an agreement relating to the extent to which CDOT assumes project responsibilities. This Stewardship and Oversight Agreement (S&O Agreement), includes information on specific project approvals and related responsibilities, and provides the requirements for FHWA oversight of the FAHP (Oversight Program), as required by 23 U.S.C. 106(g).

Section 2. INTENT AND PURPOSE OF S&O AGREEMENT

The intent and purpose of this S&O Agreement is to document the roles and responsibilities of FHWA's Colorado Division Office (FHWA or Division) and Colorado (CDOT) with respect to project approvals and related responsibilities, and to document the methods of oversight which will be used to efficiently and effectively deliver the FAHP.

The Project Action Responsibility Matrix, Attachment A to this S&O Agreement and as further described in Section 8 of this S&O Agreement, identifies FHWA FAHP project approvals and related responsibilities State DOT assumes from FHWA on a program-wide basis pursuant to 23 U.S.C. 106(c) and other legal authorities. Upon execution of this agreement, Attachment A shall be controlling and except as specifically noted in Attachment A, no other agreements, attachments, or other documents shall have the effect of delegating or assigning FHWA approvals to State DOT on a program-wide basis under 23 U.S.C 106 or have the effect of altering Attachment A.

Section 3. ASSUMPTION OF RESPONSIBILITIES FOR FEDERAL-AID PROJECTS ON THE NATIONAL HIGHWAY SYSTEM

- 3.1.** CDOT may assume FHWA's Title 23 responsibilities for design; plans, specifications, and estimates (PS&E); contract awards; and inspections, with respect to Federal-aid projects on the National Highway System (NHS) if both CDOT and FHWA determine that assumption of responsibilities is appropriate.
- 3.2.** Approvals and related activities for which CDOT has assumed responsibilities as shown in Attachment A will apply program wide unless project specific actions for which the Division will carry out the approval or related responsibilities are documented in accordance with FHWA Project of Division Interest (FHWA PoDI Guide) located at <http://www.fhwa.dot.gov/federalaid/stewardship>.

CDOT may not assume responsibilities for Interstate projects that are in high risk categories. (23 U.S.C. 106(c)(1))

- 3.3.** CDOT is to exercise any and all assumptions of the Secretary responsibilities for Federal-aid projects on the NHS in accordance with Federal laws, regulations and

policies.

Section 4. ASSUMPTION OF RESPONSIBILITIES FOR FEDERAL-AID PROJECTS OFF THE NATIONAL HIGHWAY SYSTEM

- 4.1.** CDOT shall assume FHWA's Title 23 responsibilities for design, PS&Es, contract awards, and inspections, with respect to Federal-aid projects off the NHS (non-NHS) unless CDOT determines that assumption of responsibilities is not appropriate. (23 U.S.C. 106(c)(2))
- 4.2.** Except as provided in 23 U.S.C.109(o), CDOT is to exercise the Secretary's approvals and related responsibilities on these projects in accordance with Federal laws.
- 4.3.** CDOT, in its discretion, may request FHWA carry out one or more non-NHS approvals or related responsibilities listed as "State" in Attachment A on a program-wide basis. For a project specific request, the State may request FHWA carry out any approval or related responsibility listed in Attachment A off the NHS. Such project-specific requests shall be documented in accordance with FHWA PoDI Guide.
- 4.4.** Pursuant to 23 U.S.C. 109(o), non-NHS projects shall be designed and constructed in accordance with State laws, regulations, directives, safety standards, design standards, and construction standards.

Section 5. ASSUMPTION OF RESPONSIBILITIES FOR LOCALLY ADMINISTERED PROJECTS

CDOT may permit local public agencies (LPAs) to carry out CDOT's assumed responsibilities on locally administered projects. CDOT is responsible and accountable for LPA compliance with all applicable Federal laws and requirements.

Section 6. PERMISSIBLE AREAS OF ASSUMPTION UNDER 23 U.S.C. 106(c)

An assumption of responsibilities under 23 U.S.C. 106(c) may cover only activities in the following areas:

- 6.1.** Design, which includes preliminary engineering, engineering, and design-related services directly relating to the construction of a FAHP-funded project, including engineering, design, project development and management, construction project management and inspection, surveying, mapping (including the establishment of temporary and permanent geodetic control in accordance with specifications of the National Oceanic and Atmospheric Administration), and architectural-related services.
- 6.2.** PS&E, which represents the actions and approvals required before authorization of construction. The PS&E package includes geometric standards, drawings,

specifications, project estimates, certifications relating to completion of right-of-way acquisition and relocation, utility work, and railroad work.

- 6.3.** Contract awards, which include procurement of professional and other consultant services and construction-related services to include advertising, evaluating, and awarding contracts.
- 6.4.** Inspections, which include general contract administration, material testing and quality assurance, review, and inspections of Federal-aid contracts as well as final inspection/acceptance.
- 6.5.** Approvals and related responsibilities affecting real property as provided in 23 CFR 710.201(i) and any successor regulation in 23 CFR Part 710.

Section 7. FEDERAL APPROVALS AND RELATED RESPONSIBILITIES THAT MAY NOT BE ASSUMED BY CDOT

- 7.1.** Any approval or related responsibility not listed in Attachment A, Project Action Responsibility Matrix, cannot be assumed by the State without prior concurrence by FHWA Headquarters. The following is a list of the most frequently-occurring approvals and related responsibilities that may not be assumed by CDOT:
 - Civil Rights Program approvals;
 - Environmental approvals, except those specifically assumed under other agreements. (23 U.S.C. 326 and 327; programmatic categorical exclusion agreements);
 - Federal air quality conformity determinations required by the Clean Air Act;
 - Approval of current bill and final vouchers;
 - Approval of federally-funded hardship acquisition, protective buying, and 23 U.S.C. 108(d) early acquisition;
 - Project agreements and modifications to project agreements and obligation of funds (including advance construction);
 - Planning and programming pursuant to 23 U.S.C. 134 and 135;
 - Special Experimental Projects (SEP-14 and SEP-15);
 - Use of interstate airspace for non-highway-related purposes;
 - Any Federal agency approval or determination under the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (Uniform Act), as amended, and implementing regulations in 49 CFR Part 24;
 - Waivers to Buy America requirements;
 - Approval of Federal participation under 23 CFR 1.9(b);
 - Provide pre-approval for preventive maintenance project (until FHWA concurs with CDOT procedures);
 - Requests for credits toward the non-Federal share of construction costs for early acquisitions, donations, or other contributions applied to a project;
 - Functional replacement of property;
 - Approval of a time extension for preliminary engineering projects beyond the 10-year limit, in the event that actual construction or acquisition of right-of-way for a highway project has not commenced;
 - Approval of a time extension beyond the 20-year limit for right-of-way projects, in the event that actual construction of a road on the right-of-way is not undertaken;

- Determine need for Coast Guard Permit;
- Training Special Provision - Approval of New Project Training Programs; and
- Any other approval or activity not specifically identified in Attachment A unless otherwise approved by FHWA, including the Office of Chief Counsel.

7.2. For all projects and programs, CDOT will comply with Title 23 and all applicable non-Title 23, U.S.C. Federal-aid program requirements, such as metropolitan and statewide planning; environment; procurement of engineering and design related service contracts (except as provided in 23 U.S.C. 109(o)); Civil Rights including Title VI of the Civil Rights Act, and participation by Disadvantaged Business Enterprises; prevailing wage rates; and acquisition of right-of-way, etc.

7.3. This Agreement does not modify FHWA's non-Title 23 program approval and related responsibilities, such as approvals required under the Clean Air Act; National Environmental Policy Act, Executive Order on Environmental Justice (E.O. 12898), and other related environmental laws and statutes; the Uniform Act; and the Civil Rights Act of 1964 and related statutes.

Section 8. PROJECT ACTION RESPONSIBILITY MATRIX

Attachment A, Project Action Responsibility Matrix, to this S&O Agreement identifies FAHP project approvals and related responsibilities. The Matrix specifies which approvals and related responsibilities are assumed by the State under 23 U.S.C. 106(c) or other statutory or regulatory authority, as well as approvals and related responsibilities reserved to FHWA.

Section 9. HIGH RISK CATEGORIES

9.1. In 23 U.S.C. 106(c), Congress directs that the Secretary shall not assign any approvals or related responsibilities for projects on the Interstate System if the Secretary determines the project to be in a high risk category. Under 23 U.S.C. 106(c)(4)(B), the Secretary may define high risk categories on a national basis, State-by-State basis, or national and State-by-State basis.

9.2. The Division has determined there are no high risk categories.

Section 10. FHWA OVERSIGHT PROGRAM UNDER 23 U.S.C. 106(g)

10.1. In 23 U.S.C. 106(g), Congress directs that the Secretary shall establish an oversight program to monitor the effective and efficient use of funds authorized to carry out the FAHP. This program includes FHWA oversight of the State's processes and management practices, including those involved in carrying out the approvals and related responsibilities assumed by the State under 23 U.S.C. 106(c). Congress defines that, at a minimum, the oversight program shall be responsive to all areas relating to financial integrity and project delivery.

10.2. FHWA shall perform annual reviews that address elements of CDOT's financial management system in accordance with 23 U.S.C. 106(g)(2)(A). FHWA will

periodically review CDOT's monitoring of sub-recipients pursuant to 23 U.S.C. 106(g)(4)(B).

- 10.3.** FHWA shall perform annual reviews that address elements of the project delivery systems of CDOT, which elements include one or more activities that are involved in the life cycle of project from conception to completion of the project. FHWA will also evaluate the practices of CDOT for estimating project costs, awarding contracts, and reducing costs. 23 U.S.C. 106(g)(2) and (3).
- 10.4.** To carry out the requirements of 23 U.S.C. 106(g), FHWA will employ a risk management framework to evaluate financial integrity and project delivery, and balance risk with staffing resources, available funding, and the State's transportation needs. FHWA may work collaboratively with CDOT to assess the risks inherent with the FAHP and funds management, and how that assessment will be used to align resources to develop appropriate risk response strategies

Techniques the Division and CDOT may use to identify and analyze risks and develop response strategies include the following:

- Program Assessments;
- FIRE Reviews;
- Program Reviews;
- Certification Reviews;
- Recurring or periodic reviews such as the Compliance Assessment Program (CAP); and
- Inspections of project elements or phases.

The techniques and processes used to carry out the requirements of 23 U.S.C. 106(g) are managed by the Quality Improvement Council (QIC) and/or activities and reviews selected based on risk by the Division.

10.4.1. *QUALITY IMPROVEMENT COUNCIL (QIC)*

CDOT and FHWA-Colorado Division established the Quality Improvement Council (QIC) and Quality Assurance Program (QAP) to coordinate process reviews, annual risk assessment, and the management of the S&O Agreement. This QAP results in a complement of initiatives to help achieve our strategic goals, better meet our customer's needs and expectations, result in systemic improvement, assist with the deployment of innovative technologies, provide more focused technical assistance, and ensure the FAHP is being delivered consistent with applicable laws, regulations, policies and strategic goals.

CDOT and FHWA will jointly develop an annual prioritized list of risk statements and corresponding response strategies as stated in the Quality Improvement Council Operating Guidelines for the Quality Assurance Program (QAP). Each year a minimum of three joint CDOT/FHWA process reviews will be conducted as part of the identified risk response strategies. CDOT and FHWA will each have a Champion assigned to each response strategy who will manage the process including completion of the report (if necessary), implementation of the strategy and status of each strategy to monitor progress. This will help to provide assurance that CDOT and/or local agencies are following all appropriate activities to carry out their respective roles and responsibilities according to applicable laws, regulations, and policies.

In addition to the QAP Program, CDOT conducts other activities to ensure the quality of its projects and programs. These include an Audit Program, Performance Measures Program, Value Engineering Program, Independent program and process reviews, and CDOT Self-Assessment efforts. The following is a brief explanation of the purpose and scope of each of these components:

10.4.1.1. REPORT ON PERFORMANCE COMPLIANCE

Reporting on the performance/compliance indicators will be undertaken based on the cycle defined in Appendix A - CDOT & FHWA Roles and Responsibilities by Functional Program Areas. An annual report prepared by the Quality Improvement Council will be completed by March of each year. Reporting will be done based on the cycle in the Stewardship and Oversight Agreement. Reporting being done more frequently than annual will include data only with no formal report being prepared. CDOT Transportation Performance Branch, Division of Transportation Development, will ensure delivery of data for performance measures and compliance indicators listed as being reported more frequently than annual. Data only reporting will be submitted electronically to FHWA Colorado Division Management and Program Analyst.

10.4.1.2. AUDIT PROGRAM

CDOT Internal Auditors are to conduct and supervise: internal audits of CDOT, external audits of persons entering into contracts with the department, federally required audits, financial audits, and performance audits to determine the efficiency and effectiveness of CDOT operations. The internal audits often focus on the adequacy and effectiveness of internal and management controls. Audits also evaluate compliance with federal and state regulations and compliance with contract terms. Each year, the Commission's Audit Review Committee approves an annual audit work plan. As a part of the process for developing CDOT Internal Auditor's work plan, managers throughout CDOT are surveyed concerning internal audit risks and audit needs. Coordination with the Quality Improvement Council (QIC) is planned as a part of the development of each fiscal year's work plan. Every effort is made to coordinate activities and prevent duplication. The Audit Program also plans on working with the Performance Measures Team to assist in verification of performance measure reporting, and to help evaluate the impact of the performance measures.

10.4.1.3. PERFORMANCE MEASURES PROGRAM

A key to successful strategic planning is having performance measures that give accurate and timely information. The ultimate aim of implementing a measurement system is to improve the organizational performance of CDOT resulting in an improvement in system performance. CDOT intends to use performance measures to continually evaluate progress towards accomplishing its goals and objectives, by determining where improvements can be made in its process, and readjusting work activities accordingly.

CDOT is currently revising Policy Directive 14 (PD 14) as part of the statewide transportation planning process. The Transportation Commission sets policy direction and allocates resources to achieve performance objectives in PD 14, and it provides the overall framework for the transportation planning process through which a multimodal, comprehensive Statewide Transportation Plan is developed. Included in PD 14 are goals, performance measures and objectives, and aspirational objectives. The three (3) goals are aligned with the goals of the Fixing America's Surface Transportation (FAST) Act of 2015, the Department's Strategic Policy

Initiatives, and other priorities outlined by the Governor of Colorado and the Colorado Transportation Commission. Performance measures and objectives are being developed for the following goals:

- **Safety:** The future of Colorado is zero deaths and serious injuries so all people using any transportation modes arrive at their destination safely.
- **Asset Management:** Maintain a high-quality transportation network by working to maintain a state of good repair for all assets and a highly traversable road network.
- **Mobility:** Reduce travel time lost to congestion and improve connectivity across all modes with a focus on sustainability, operations, and transportation choice statewide.

Each goal has specific performance objectives and associated measures that provide the foundation for discussion on how to best invest available funds. Performance measures provide tools to relate the expenditures and work results to the policies, priorities, and goals of the Department as determined by the Transportation Commission. Performance measures are utilized on an annual basis as well as on a long range plan basis to relate expenditures and work results to the desired performance objectives (i.e., the desired end-result) for the State Highway system.

The next level of measures is comprised of Region, Division and Office work program plans that encompass activities of each respective unit. All levels will have in place performance measure tools that link to and support the mission of the department. The desired outcome for the program is “improvement,” whether this is in customer perception, productivity, timeliness, or quality, as well as to make better informed decisions. The Transportation Performance and Asset Management Branch within the Division of Transportation Development coordinates the Program, but the program is ultimately the responsibility of everyone in CDOT. The Quality Improvement Council under the S&O Agreement is responsible for ensuring quality assurance in work processes.

10.4.1.4. VALUE ENGINEERING PROGRAM

Value engineering (VE) is required on all Federal-aid highway projects on the National Highway System (NHS) with an estimated cost of \$40 million or more. The purpose of this regulation (23 CFR 627.1) is to “establish a program to improve project quality, reduce project costs, foster innovation, eliminate unnecessary and costly design elements, and ensure efficient investments by requiring the application of VE”. The Design Program Manager in the Project Development Branch will be responsible for implementing, monitoring and reporting on the VE program. CDOT will complete an annual FHWA survey providing a summary of CDOT’s VE efforts for the past year. Typically, this survey is done in January.

10.4.1.5. INDEPENDENT REVIEWS

FHWA may conduct independent reviews that could include program reviews/product evaluations and continuous process improvement initiatives. These reviews will be done in consultation with CDOT. The review topics will be different from the QIC risk response strategies, audit, and performance measurement reviews issues chosen on an annual basis as previously discussed. In addition to FHWA oversight activities, stewardship activities will

include technical assistance, technology deployment, performance measurement, and sharing best practices.

Notwithstanding any provision of this S&O Agreement, FHWA retains overall responsibility for all aspects of Federal-aid programs and this S&O Agreement does not preclude FHWA's access to and review of any Federal-aid project at any time and does not replace the provisions of Title 23.

10.4.2. DECISIONS ON FHWA OVERSIGHT

Under Title 23, FHWA is ultimately accountable for all programs under the FAHP; however, the State may assume responsibility for project-level activities associated with 23 USC 106 on certain projects (see Attachment A).

The provisions of this S&O Agreement do not modify FHWA's non-Title 23 program oversight and project approval responsibilities for activities such as required under the *Clean Air Act*; the *National Environmental Policy Act of 1969 (NEPA)* and other related environmental laws and statutes; the *Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970*; and the *Civil Rights Act of 1964* and related statutes, unless expressly permitted by MAP-21.

The collaborative process described below is intended to lead to a decision on FHWA Oversight for projects regardless of what phase they are in and is intended to capture the designation early in project development. Project specific oversight agreements will be required on each PoDI project and will document FHWA's involvement and approval actions for each phase. A project might only have FHWA involvement in a single phase, based on risk. This ongoing process will be completed as described below:

1. Current Status of Program: FHWA Construction Program Manager in conjunction with CDOT Area Engineers will jointly develop an Annual Construction Program Report at the beginning of the calendar year assessing the health of the Construction Program. This annual report will document the status/issues/progress of the program based on information gained during the oversight of FHWA Oversight projects and of statistical sampling reviews conducted on Delegated-Oversight projects. The purpose of the report will be to identify best practices as well as ongoing and new risks.
2. Selection of New PoDI Projects: PoDI Projects are projects that have Federal-aid funds regardless of the roadway classification. In order to capture and analyze potential projects, FHWA Area Engineers will attend their respective Region Plan Status meetings. FHWA Area Engineers will complete a PoDI evaluation form for projects that fit at least one of the risk criteria listed below and that information will be reviewed by FHWA Design and Construction Team Leaders who will make an initial oversight level determination. They will then present their recommendation to the appropriate CDOT Program Engineer who will respond with their concurrence or non-concurrence. If CDOT does not agree with a designation, a meeting will be held to resolve the issue. FHWA Area Engineers will then complete a project specific Stewardship Plan for each project designated as a PoDI project.

The following factors will be used to consider oversight level: Workload distribution will be considered in the selection process.

- A Major Project (All Major Projects shall be PoDIs)

- Alternative Contracting A (Design/Build, CM/GC, other)
- Projects using complex funding (TIGER, TIFIA, P3, tolling)
- Special Experimental Projects - Alternative Contracting (SEP 14)
- Special Experimental Projects - Public Private Partnership (SEP 15)
- Unusual Bridge and Structure Projects
- Projects using innovative contracting/construction methods (SPMT, EDC)
- Politically sensitive or high profile projects
- Projects with a construction estimate of \$40M and over
- Projects on New Alignment
- EAs and EISs
- Projects with complexities in design
- Projects with anticipated complexities in construction
- Complex Local Public Agency (LPA) projects

In addition to PoDI projects and as part of FHWA's Compliance Assessment Program (CAP), the Colorado Division will fulfill its requirement to provide oversight to the Federal-aid program by performing construction inspections on statistically sampled projects. These reviews will be used to assess risks, identify best practices, and monitor new or ongoing concerns on projects. These reviews will be completed based on a sampling plan provided by FHWA HQ on an annual basis and will focus on a set of core risk areas, and risk-areas identified by the Division in the previous Annual Construction Program Report. The results from these reviews will be used to develop the Annual Construction Program Report and determine best practices and risk areas/criteria for the next cycle of PoDI projects and the QIC risk assessment process.

10.4.3. DELEGATED PROGRAM AND PROJECT RESPONSIBILITIES

10.4.3.1. CDOT RESPONSIBILITIES

CDOT assumes selected Title 23 responsibilities as described in Attachment A, Project Responsibility Matrix, for projects not identified as FHWA PoDI projects using the process described later in this document. Projects must comply with all Federal-aid requirements contained in Title 23. When a local government becomes the implementing agency of a construction project in which CDOT participates in the funding by allocation of FAHP funds, CDOT is not relieved of its responsibilities even though the project may be under the supervision of a public agency or organization. In accordance with 23 CFR 1.11, CDOT will ensure that the agency is well qualified and suitably equipped to perform the work. CDOT is responsible for maintaining an accurate and up to date project file.

CDOT may elect to invite FHWA Colorado Division to be involved in any CDOT Delegated Oversight project.

10.4.3.2. FHWA - COLORADO

Under Title 23 and non-Title 23 (as noted under bullet 5), FHWA is ultimately accountable for the stewardship and oversight of all programs and projects under the FAHP.

1. FHWA PoDI Involvement: FHWA will develop a project specific oversight plan that describes their involvement. This plan will be shared with CDOT.
2. CDOT Delegated Oversight or Non-PoDI project Involvement: FHWA project level oversight responsibilities will be limited to ensuring compliance with non-Title 23

requirements and certain Title 23 requirements. FHWA will monitor project compliance through program reviews, process improvement studies, CAP reviews, etc. Also see bullet 5 below.

3. Other Project Involvement: FHWA Colorado Division in consultation with CDOT may elect to become actively involved with any Federal-aid transportation project, including those for which CDOT has assumed FHWA's responsibilities, when unique circumstances arise or when program or process reviews are being conducted. For all projects involving structures over or under the interstate, CDOT shall invite the appropriate FHWA Area Engineer to the Project Scoping meeting to determine the level of FHWA involvement, regardless of funding.
4. Technical Assistance: FHWA Colorado Division is prepared to provide technical assistance to CDOT or local agencies on any aspect of an eligible Title 23 project including intermodal transportation projects. Technical assistance activities will be decided on a case-by-case basis in consultation with CDOT, other partners and FHWA Colorado Division. FHWA Colorado Division will continue to focus their time and effort on improving processes and procedures, in cooperation with CDOT.
5. Non-Title 23 Responsibility: FHWA will continue to assume responsibility for Federal actions required under laws outside of Title 23, as noted in Section 3 in the respective sections, such as:
 - Activities for compliance with Section 102 (2) (c) of the National Environmental Policy Act (NEPA) of 1969 (42 USC 4321 et. seq.) and 23 CFR 771
 - Activities for compliance with Section 4 (f) of the Department of Transportation Act of 1966, P.L. 89-665, 49 USC 303
 - Civil Rights Act of 1964, 42 USC 2000 (d) et. seq. and 23 CFR 200 (Title VI), and 23 CFR 230 (EEO)
 - Uniform Relocation Assistance and Real Properties Acquisition Policies Act of 1970, 42 USC 4601, et. seq. 23 CFR Parts 710-740 and 49 CFR Part 24
6. Independent FHWA review program: Each year FHWA Colorado Division may conduct independent process reviews that could include: program reviews, product evaluations, reviews required by law (e.g., National Bridge Inspections Standards Regulation (NBIS), Planning, & Highway Performance Monitoring System (HPMS) and continuous process improvement initiatives. These reviews may be done in consultation with CDOT.

10.4.4. MAJOR PROJECTS

A major project is a project with an estimated total cost in the year of expenditure of over \$500 million and one that involves any amount of Federal financial assistance. FHWA and CDOT will place special emphasis on major projects including more extensive review of project costs estimates, thorough Cost Estimate Reviews (CER), Project Management Plans (PMP), risk analysis and the development of Finance Plans. Detailed guidance on FHWA's expectations are found on FHWA major project website including an FHWA memorandum from FHWA Administrator dated January 19, 2007 - <https://www.fhwa.dot.gov/majorprojects/>

1. Risk Management Tool: FHWA will utilize a document titled "Risk Management Tool for Managing the Planning/Environmental Phases of Prospective Major Projects," located on FHWA major project website: https://www.fhwa.dot.gov/majorprojects/resources/mpg_rm_tools.cfm

2. Cost Estimate Reviews (CER): Prior to submitting an EA or FEIS to FHWA, CDOT shall coordinate with the Division Office to schedule a risk based Cost Estimate Review of the preferred alternative. CER requirements can be found at 23 U.S.C. § 106(h)(3). Guidance on cost estimating is found on FHWA major project website: https://www.fhwa.dot.gov/majorprojects/cost_estimating/
3. Project Management Plan (PMP): A draft PMP must be submitted to FHWA for review prior to approval of the NEPA decision document (within 60 days prior to submittal of the Decision document). FHWA will provide comments and CDOT shall submit a PMP for approval within 90 days of the date of the signed NEPA decision document. This document should clearly define the roles, responsibilities, processes, and activities necessary to manage the project, which will result in the major project being completed on time, within budget, and with the highest degree of quality and safety. A PMP must be approved prior to any federal action such as authorizing federal funds for ROW or construction. Also, during construction, the PMP must be revised and updated periodically as needed to reflect current status of the major project. PMP requirements can be found at 23 U.S.C. § 106(h)(2). Guidance on a PMP is found on FHWA major project website: <https://www.fhwa.dot.gov/majorprojects/pmp/>
4. Finance Plans (FP): For Projects greater than \$500M, an Initial Finance Plan (IFP) shall be submitted for review and approval prior to construction authorization. The IFP shall be submitted to provide sufficient time such that review and approval can be obtained for construction authorization. Depending upon the complexity of the project, a minimum of 90 days should be planned for review and approval. On a designated date, until completion of construction, CDOT will submit an annual update and certification for FHWA Division Office approval for projects greater than \$500 million. For projects with a total cost between \$100M and \$500M, CDOT shall submit an Initial Finance Plan to FHWA prior to construction authorization (no approval required) and annual updates shall be submitted to FHWA for review purposes only. FP requirements can be found in 23 U.S.C. § 106(h)(3)(D), MAP-21 § 1503(a)(4)(B). Guidance on a major project Finance Plan is found on FHWA major project website: https://www.fhwa.dot.gov/majorprojects/financial_plans/

10.4.5. **HIGH PERFORMANCE TRANSPORTATION ENTERPRISE (HPTE)**

The High-Performance Transportation Enterprise (HPTE) was formed to aggressively pursue innovative means of more efficiently financing important surface transportation infrastructure projects that will improve the safety, capacity, and accessibility of the surface transportation system, can feasibly be commenced in a reasonable amount of time, will allow more efficient movement of people, goods, and information throughout the state, and will accelerate the economic recovery of the state. HPTE is the operator of all Express Lanes in Colorado and develops and maintains the Express Lanes Master Plan.

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

The HPTE shall operate as a government-owned business within the department and shall be a division of the department. As a Division of CDOT the requirements of this S&O Agreement shall apply to all HPTE projects and initiatives. The HPTE Director will coordinate on a regular basis

with FHWA Specially Designated Project Oversight Manager (sdPOM) and the Program Delivery Team Leader to define roles and responsibilities of HPTE projects.

The (HPTE) will perform the following functions to effectively and efficiently develop major and complex projects through the promotion of consistency in the development, advancement, oversight, and execution of these projects.

Functions the Office will perform in furtherance of this purpose include:

- Conduct early project development activities and determine the overall feasibility of potential major projects. This includes preliminary environmental evaluations, benefit cost analysis, initial financial analysis to determine the project delivery structure and the appropriate roles in that project’s delivery for the Department and the HPTE respectively.
- If a project is deemed feasible, HPTE will oversee and/or execute project development activities in coordination with CDOT Regions up to and including the final procurement of the project. HPTE will develop management tools to assist the Regions in the project construction phase and any follow-on activities such as long term operations and maintenance oversight, contract administration or periodic technical reviews.
- Additional functions include acting as the department’s authority and lead practitioner for best management and contracting practices for department wide consistency in the development of major and complex projects and oversees project development and procurement documents, providing technical assistance to other CDOT staff, managing the project development processes, assessing the feasibility and development of financial plans for major projects.

10.4.6. CONFLICT RESOLUTION PROCESS

If disagreements emerge which cannot be resolved, the impasse shall be escalated as shown below. If other agencies are involved, personnel from equivalent organizational levels will be included in the conflict resolution process.

Conflict Resolution Process

CDOT	FHWA	Meeting Date Established Within
Project Coordinator	Area Engineer	
Regional Transportation Director	Program Delivery Team Leader	14 days
Chief Engineer	Assistant Division Administrator	30 days
Executive Director	Division Administrator	30 days

When the parties at the lowest organizational level of the agencies have agreed to escalate, a meeting date will be established within 14 days. At that time, the agencies from both levels will meet to discuss the issues and come up with a resolution. If an agreement cannot be reached, then the issue will be escalated to the next level and a meeting date established within 30 days. At that time, the agencies from all three levels will meet to discuss the issues and come to a resolution. If an agreement cannot be reached, the issue will be escalated to

the highest level and a meeting date established within 30 days. At that time, all agencies will come to resolution.

Mediation and facilitation may be used at any level to help expedite resolution. Documentation of all disagreements and resolutions shall be furnished to all involved agencies and included in the project file.

10.4.7. OVERSIGHT AUTHORITY AND MISCELLANEOUS STIPULATIONS

10.4.7.1. PROJECTS OF DIVISION INTEREST

FHWA's authority will be specified in the project specific oversight plan and could include the following:

- Plan, Specifications & Estimates Approval;
- Approval of design exceptions on non-Interstate facilities
- Contract Concurrence in Award;
- Contract Change Order Approval;
- Approval of Contract Claims Settlement;
- Final Inspection; and
- Project Acceptance.

FHWA has established the criteria for evaluation of projects for the purpose of selecting Projects of Divisions Interest (PoDI) and retaining some approval authority. This is described in Section 10.4.

10.4.7.2. BONDING

If a project is financed with bond proceeds, and debt service is anticipated to be paid using federal funds, it shall be considered a Federal-aid project.

10.4.7.3. SPECIAL EXPERIMENT PROJECT NO. 14 - INNOVATIVE CONTRACTING AWARD

FHWA Headquarters' SEP-14 approval is necessary for any non-traditional construction contracting technique that deviates from accepted operational practices approved under current statutes. Design-build procurement processes which deviate from the requirements of 23 CFR 636 may require an SEP-14 work plan and approval. FHWA maintains an SEP-14 Active Project List at the following link:

<https://www.fhwa.dot.gov/programadmin/contracts/sep14list.cfm>

10.4.7.4. SPECIAL EXPERIMENT PROJECT NO. 15 - INNOVATIVE CONTRACTING

SEP-15 is an experimental process for FHWA to identify for trial evaluation new public-private partnership approaches to project delivery. It is anticipated that these new approaches will allow the efficient delivery of transportation projects without impairing FHWA's ability to carry out its stewardship responsibilities to protect both the environment and American taxpayers. SEP-15 addresses, but is not limited to, four major components of project delivery: contracting, compliance with environmental requirements, right-of-way acquisition, and project finance. Elements of the transportation planning process may be involved as well.

SEP-15 applications should be submitted by CDOT to FHWA Colorado Division Office. Applicants may include localities and private transportation ventures as project sponsors but must include CDOT. SEP-15 applications should provide a brief description of the project and specific Federal-aid program areas of experimentation, explain the innovative techniques proposed and the expected value of those techniques, and identify proposed performance measures to evaluate the success of the SEP-15 project.

PROGRAM RESPONSIBILITY MATRIX

Attachment B to this S&O Agreement is the Program Responsibility Matrix that identifies all relevant FHWA program actions, and Division and CDOT program contact offices.

MANUALS AND OPERATING AGREEMENTS

CDOT manuals, agreements and other control documents that have been approved for use on Federal-aid projects are listed in Appendix B to this S&O Agreement.

STEWARDSHIP AND OVERSIGHT INDICATORS

The Division and CDOT may jointly establish Stewardship and Oversight Indicators (Indicators). The Indicators should set targets, track trends, and implement countermeasures and actions when the data is moving away from the desired target direction. Indicators can provide documented evidence that CDOT assumption of responsibilities is functioning appropriately. Stewardship and Oversight Indicators should be reviewed on an annual basis.

Section 11. CDOT OVERSIGHT AND REPORTING REQUIREMENTS

CDOT OVERSIGHT AND REPORTING REQUIREMENTS

CDOT is responsible for demonstrating to FHWA how it is carrying out its responsibilities in accordance with this S&O Agreement.

CDOT OVERSIGHT OF LOCALLY ADMINISTERED PROJECT

- 11.1.1. CDOT is required to provide adequate oversight of sub-recipients including oversight of any assumed responsibilities CDOT delegates to a LPA.
- 11.1.2. Pursuant to 23 U.S.C. 106(g)(4), the State DOT shall be responsible for determining that sub-recipients of Federal funds have adequate project delivery systems for locally administered projects and sufficient accounting controls to properly manage such Federal-aid funds. The State DOT is also responsible for ensuring compliance with reporting and other requirements applicable to grantees making sub-awards, such as monthly reporting requirements under the Federal Funding Accountability and Transparency Act of 2006, PL 109-282 (as amended by PL 110-252).
- 11.1.3. CDOT acknowledges that it is responsible for sub-recipient awareness of Federal grant requirements management of grant awards and sub-awards and is familiar with and comprehends pass through entity responsibilities (2 C.F.R 200.331 Requirements for Pass-thru Entities). CDOT shall carry out these

responsibilities using the following actions, programs, and processes outlined in the Local Public Agency (LPA) Manual

- 11.1.4. CDOT shall assess whether a sub-recipient has adequate project delivery systems and sufficient accounting controls to properly manage projects, using the following actions, programs, and processes outlined in the LPA Manuals.

Adequate Project Delivery System

CDOT will maintain project delivery information in the Project Development, Construction and Local Agency Manuals. CDOT will assess Local Agency delivery systems during dialog with the Local Agency at project scoping meetings and on an on-going basis throughout project delivery. CDOT Regional Staff will be strategically assigned to projects and will be available as needed to answer questions and oversee processes.

Sufficient Accounting Controls

A-133 Single Audit Reviews - CDOT Audit Division will send letters to sub-recipients requesting copies of the single audit, if applicable, and a completed Audit Compliance Certification Form. Upon receipt of the report and form, CDOT Audit Division will perform a review of materials. The results of the A-133 audits will be used to determine the adequacy of the Local Agency's accounting controls.

- 11.1.5. CDOT shall assess whether a sub-recipient is staffed and equipped to perform work satisfactorily and cost effectively, and that adequate staffing and supervision exists to manage the Federal project(s), by using the following actions, programs, and processes:

Sub-recipient Staffing and Performance

1. Risk Assessment Methodologies -The CDOT Sub-recipient Risk Assessment addresses risk in the oversight of Local Agency projects. The risk assessment will examine the magnitude of risks associated with each project and assign a low, medium or high risk score to the project. Project monitoring will be based up the magnitude of assessed risk.
2. NAVIGATE - Local Agency Project Tracking and Implementation Guidance Portal - This application will allow CDOT and LA staff to view and discuss status of key project milestones, exchange documents, and serve as a basis for dialog between staff regarding critical project features, schedule issues, project funding, changes in project management, and other project characteristics. Tool will be used to track projects both through project development and construction and incorporates risk assessment methodologies. Navigate will likely be replaced by other tracking tools in the future.

- 11.1.6. CDOT shall assess whether sub-recipient projects receive adequate inspection to ensure they are completed in conformance with approved plans and specifications, by using the following actions, programs, and processes:

Adequate Inspection to Ensure Conformance

CDOT Form 1243, Section 8.5 "Supervise Construction," will identify a Professional Engineer registered in Colorado, who will be "in responsible charge of construction supervision" for the Local Agency. Section 8.18 will identify CDOT Resident Engineer responsible for conducting routine and random project reviews. CDOT Form 1243 is a

part of the sub-award agreement (intergovernmental agreement) between CDOT and the Local Agency.

- 11.1.7. CDOT shall ensure that when LPAs elect to use consultants for engineering services, the LPA, as provided under 23 CFR 635.105(b), shall provide a full-time employee of the agency to be in responsible charge of the project. CDOT's process to ensure compliance with this requirement is documented by the following actions, programs, and processes:

Local Agency Employee in Responsible Charge

LAB 2012-1 addresses Local Agency "Employee in Responsible Charge" requirements. CDOT Form 1243, Section 8.5 "Supervise Construction" and Section 8.10 "Prepare and Approve Interim and Final Contractor Pay Estimates" will identify responsible Local Agency employees.

- 11.1.8. CDOT shall ensure that project actions will be administered in accordance with all applicable Federal laws and regulations. CDOT will use the following process on required approvals on sub-recipient projects and approved on sub-recipient administered projects.

- a. Consultant selection and management;
Local Agency Manual:
 - i. Chapter 5 - Project Development, Section 5.3
 - ii. Chapter 8 - Construction Management, "Introduction"

- b. Environment;
Local Agency Manual:
 - i. Chapter 1 - Project Application, "Environmental Impacts"
 - ii. Chapter 5 - Project Development, Section 5.7

- c. Design;
Local Agency Manual, Chapter 5 - Project Development
Project Development Manual

- d. Civil Rights;
Local Agency Manual:
 - i. Chapter 5 - Project Development, Section 5.5
 - ii. Chapter 6 - Project Development Civil Rights and Labor Compliance
 - iii. Chapter 10 - Construction Civil Rights and Labor ComplianceCivil Rights and Business Resource Center Website:
<http://www.codot.gov/business/civilrights>

- e. Financial management including audits and indirect cost allocation plans;
Local Agency Manual:
 - i. Chapter 3 - Intergovernmental Agreements
 - ii. Chapter 4 - Federal Funding Obligation and Authorization
 - iii. Chapter 5 - Project Development, Sections 5.3 and 5.15
 - iv. Chapter 8 - Construction Management, Sections 8.10 through 8.17

- f. Right-of-Way;
Local Agency Manual:

- i. Chapter 1 - Project Application, "Right-of-Way Requirements
 - ii. Chapter 5 - Project Development, Section 5.8Right-of-Way Manual, Chapter 8 - Local Public Agencies
- g. Construction monitoring, including Quality Control/Quality Assurance (QC/QA); and
Local Agency Manual:
 - i. Chapter 8 - Construction Management
 - ii. Chapter 9 - MaterialsConstruction Manual
Field Materials Manual
- h. Contract administration including CDOT's responsibility to approve a sub-recipient to pursue a contract procurement method other than competitive bidding.
Local Agency Manual, Chapter 3 - Intergovernmental Agreements

11.1.9. CDOT shall document its oversight activities for LPA-administered projects and findings, and how it will share this information with FHWA.

CDOT will involve FHWA in updates to the Local Agency Manuals and submit all modifications for their approval. FHWA participates in the regularly scheduled Local Agency Roundtable meetings.

The Division Office will accomplish its oversight responsibilities thru:

- Regularly scheduled meetings with CDOT LPA program director and staff
- Participation in the regularly scheduled Local Agency Roundtable Team meeting with CDOT's HQ and LPA regional staff
- Review of LPA construction projects for compliance with federal requirements
- Program and Process reviews

Section 12. IMPLEMENTATION AND AMENDMENTS

- 12.1.** This S&O Agreement will take effect as of the effective date of the signature of FHWA Colorado Division Administrator, who shall sign this S&O Agreement last.
- 12.2.** The Division and CDOT agree that updates to this Agreement will be considered periodically on a case-by-case basis or when:
 - Significant new legislation, Executive orders, or other initiatives affecting the relationship or responsibilities of one or both parties to the S&O Agreement occurs;
 - Leadership, or leadership direction, changes at CDOT or FHWA; or
 - Priorities shift as a result of audits, public perception, or changes in staffing at either CDOT or Division Office.
- 12.3.** The Division and State DOT agree that changes may occur to the contents of the Attachments to this S&O Agreement and documents incorporated by reference into the S&O Agreement. Except as provided in paragraph XII.D and E, changes to the Attachments and documents incorporated by reference will not require the Division and State DOT to amend this S&O Agreement. The effective date of any revisions to one of these documents shall be clearly visible in the header of the revised

document. This Agreement and any revised document shall be posted on the Division's S&O Agreement internet site within five (5) business days of the effective date.

- 12.4.** Any changes to the high risk categories must be documented by an amendment to this S&O Agreement.
- 12.5.** Any changes to the Project Action Responsibility Matrix must be approved by FHWA Office of Infrastructure in writing and documented by an amendment to this S&O Agreement.

APPENDIX A: OVERVIEW OF FUNCTIONAL PROGRAM AREAS

The following subsections describe the functional/program stewardship and oversight areas that are subject to this S&O Agreement. They correspond to CDOT organizational chart in Appendix D.

This section provides information on how CDOT and FHWA are organized to accomplish each of the functional/program areas. Each subsection will address required reviews, specific working relationships, and efforts relating to management systems. Most sections include performance measures to evaluate the health of the programs. In addition, the Program Responsibility Matrix (Attachment B) outlines actions that are required through the 23 Code of Federal Regulations (CFR) and other policy and guidance.

Under this S&O Agreement, CDOT Staff Branches are responsible for facilitating the preparation of statewide policy and procedural directives, providing technical assistance, conducting continuous technical training, and providing quality assurance (QA) in all program areas. In some instances, the Staff Branches may be responsible for project production. CDOT Region offices are responsible for preparing project scoping and scheduling documents, environment and right-of-way clearance documents, local entity agreements, and overall management of the individual projects.

FHWA-Colorado Division is responsible for the stewardship and oversight of the Federal-aid Highway Program in Colorado. FHWA Area Engineers are responsible for the oversight activities and the Program Managers are responsible for the stewardship activities. In many instances, the Area Engineers may be responsible for both stewardship and oversight. The Program Managers are responsible for relating policy, providing technical assistance, working with other federal agencies and guiding their programs on a statewide basis. Both the Area Engineers and Program Managers are responsible for ensuring quality assurance (QA) of the entire FAHP in Colorado. FHWA Team Leaders are responsible for ensuring the Area Engineers and Program Managers receive the appropriate leadership so that they may conduct an efficient and effective QA program.

The following exceptions highlight approval requirements specific to Colorado.

The following actions require the approval of FHWA CO Division regardless of project funding:

- Addition, deletion, or modification of access points on the Interstate System;
- Changes in the access control of the Interstate;
- Use of Interstate airspace for non-highway-related purposes;
- Disposal of Interstate Right-of-Way;
- Design exceptions affecting Interstate highways (10 controlling criteria); and
- Changes in Interstate Land Use or Operations.

The following actions require the approval of FHWA CO Divisions for Federal-Aid Projects, regardless of oversight:

- Obligation of funds;
- Waivers to Buy America requirements (FHWA Washington Headquarters (HQ) approval required as noted in Mr. Horne's July 3, 2003 memorandum);
- SEP-14/SEP-15 methods (FHWA HQ approval required for experimental contracting/project delivery methods);

- Environmental approvals except those specifically delegated under the “Programmatic Agreement between CDOT and FHWA for the Review and Approval of Certain NEPA Categorically Excluded Transportation Projects”,
- Hardship acquisition and protective buying;
- Modifications to project agreements;
- Final vouchers;
- All Project Termini Extensions (23 CFR 635.120 and 23 CFR 635.102);
- All changes affecting NEPA scope or Environmental Commitments;
- All Administrative Resolution of Claims (excluding Dispute Review Board Recommendations) (23 CFR 635.124); and
- “Major” Design Changes on all FHWA Projects of Division Interest (PoDI), as defined in CDOT’s Construction Manual, 120.7.7.1, “significant” to be determined via discussions between the FHWA Area Engineer and CDOT. **Major changes on non PoDI projects as described in CDOT’s construction manual, 120.7.7.1, are delegated to CDOT.**

Information on the following functional areas is provided:

Reports to CDOT Chief Engineer

- Civil Rights (1)
- Contracting, Engineering Estimates and Other Project Support (2)
- Hydraulics (3)
- Pavement and Materials (4)
- Program and Project Delivery
 - Design and Construction (5)
 - Program Management (6)
- Right-of-Way (7)
- Traffic and Safety Engineering (8)
- Structures (9)

Reports to CDOT Chief Financial Officer

- Financial Management (10)

Reports to CDOT Director of Maintenance and Operations

- Highway Maintenance (11)
- Intelligent Transportation System (ITS)/ Technology (12)
- Real-Time Operations (13)

Reports to CDOT Director of Transportation Development

- Applied Research and Innovation (14)
- Asset Management (15)
- Environment (16)
- Transportation Planning (17)

Reports to CDOT Executive Director

- Innovative Mobility (18)

1. ENGINEERING: CIVIL RIGHTS

INTRODUCTION

The Civil Rights program is responsible for all activities relating to civil rights in CDOT and at the national level.

PROGRAM OVERVIEW AND METHOD OF OPERATION

Two CDOT offices cover the core components of the Civil Rights Program from an external and internal perspective.

Civil Rights & Business Resource Center (CRBRC): The Civil Rights Program Section is a Quality Control and Quality Assurance (QA & QC) approach, which relies on joint FHWA/CDOT team reviews of program activities to accomplish oversight of the program. The plan shifts federal oversight from a project-by-project basis to the Civil Rights & Business Resource Center (CRBRC) to monitor on a programmatic and statewide basis. Staff from CDOT's CRBRC, work in partnership with each Regional Civil Rights Office (RCRO) and with the FHWA Civil Rights Specialist (CRS) to review, evaluate, and improve CDOT's Civil Rights Programs. Civil rights programs are an integral part of all aspects of CDOT's on-going activities. The partnership between CDOT and FHWA continues to be an important part of ensuring compliance with the letter and spirit of laws and regulations.

The Division of Human Resources (DHR) facilitates and ensures compliance with the "internal" Civil Rights Program. DHR supports compliance with Title VII of the Civil Rights Act of 1964, Americans with Disabilities Act (ADA), Genetic Information Nondiscrimination Act (GINA), Age Discrimination in Employment Act (ADEA) and Colorado's Anti-Discrimination Laws. The goals of CDOT's Equal Employment Opportunity (EEO) program are to prevent all types of unlawful harassment, and ensure equal opportunity in employment. In support of these goals, CDOT's EEO program aims to identify and remove any barriers to equal opportunity in employment. CDOT-wide demographic information is collected by the Affirmative Action Officer located in DHR.

CDOT ROLES AND RESPONSIBILITIES

Reporting directly to the Transportation Program Director/Chief Engineer, the Civil Rights & Business Resource Center (CRBRC) at CDOT Headquarters provides direct services as well as statewide program oversight. Program activities include:

- Title VI Program Implementation & Assessment;
- Americans with Disabilities Act (ADA) Title II Program Implementation & Assessment;
- Disadvantaged Business Enterprise (DBE) Program;
- DBE Supportive Services (Connect2DOT Program);
- Emerging Small Business (ESB) Program (Race Neutral);
- Contractor Compliance (External EEO);
- External Workforce Development including the FHWA On On-the-Job Training (OJT) Program; and
- OJT Supportive Services.

The following "internal" Civil Rights program activities remain under the Division of Human Resources at CDOT Headquarters:

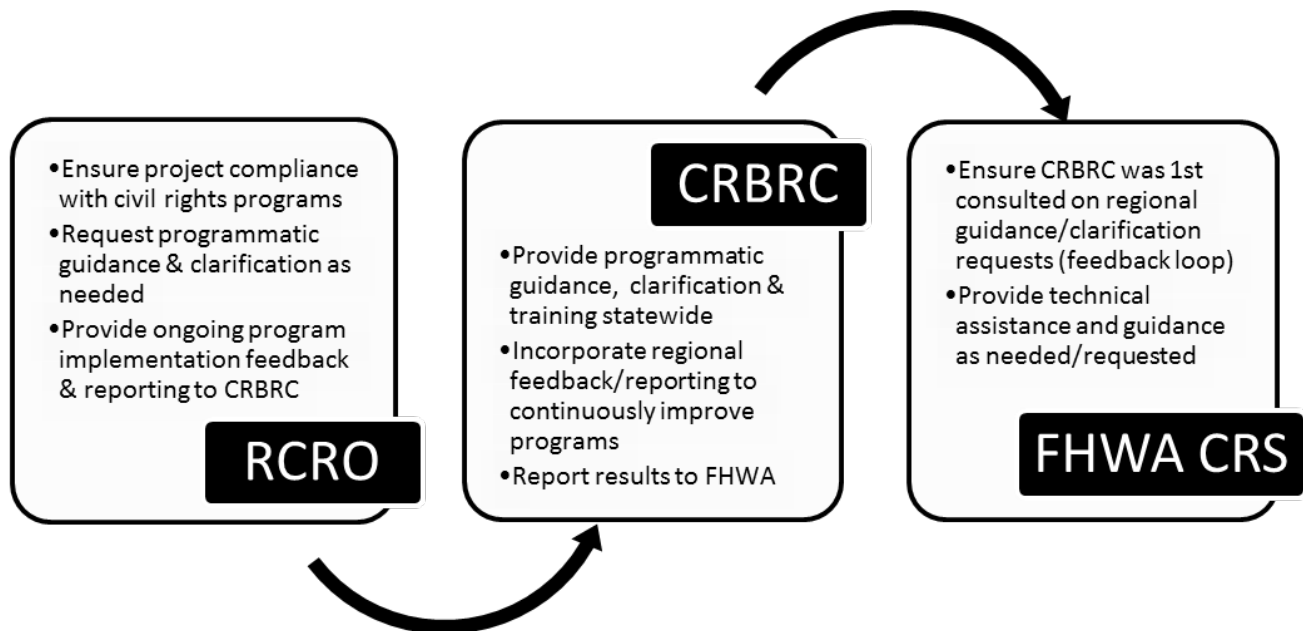
- Title VII-related policies, procedures and assessment
- EEO compliance and investigation;
- Affirmative Action Plan & assessment and actions;
- Sexual Harassment prevention policies and procedures;
- ADA Title I compliance, training and procedures;
- Gathering CDOT-wide annual demographic data;

The DHR establishes policies and procedures related to compliance with Title VII and Colorado's Anti-Discrimination laws, working in partnership with the Regional Civil Rights Offices (RCROs) who implement the "internal" civil rights functions in their respective CDOT Regions. Data specific to these policies and procedures is reported to the Division of Human Resources to ensure compliance with FHWA requirements. This would include affirmative action goals, good faith efforts, discrimination complaints and investigation outcomes.

Regional Civil Rights Offices (RCROs) are responsible for implementation of both the "internal" and "external" Civil Rights functions in their respective CDOT Regions.

FHWA ROLES AND RESPONSIBILITIES

FHWA-Colorado Division Office has the lead role in partnering with CDOT on all Civil Rights Program matters. The FHWA Civil Rights Specialist (CRS) is the principle contact under this Stewardship Agreement. To ensure appropriate oversight and statewide reporting is maintained, Division Office staff will coordinate all Civil Rights matters in collaboration with CDOT's CRBRC in the following manner:



The primary products of FHWA Division Office include technical assistance, regulatory guidance and coordination of training from the Division Office, the Resource Center and FHWA Headquarters.

QUALITY ASSURANCE APPROACHES

The CRBRC is responsible for the statewide implementation, performance and overall quality control of all aspects of CDOT’s Civil Rights Programs. Departmental Program Performance Measures (Table below) have been established and are monitored by this office. The FHWA Program Responsibility Matrix outlines the deliverables the CRBRC is responsible for providing to FHWA. Regional Civil Rights Offices (RCRO) are responsible for providing the CRBRC with all necessary data to allow CRBRC to perform its overall QA/QC responsibilities and to ensure activities are being performed in a transparent and consistent manner statewide. The CRBRC, the RCRO, and the CRS host monthly meetings to discuss each of the civil rights program areas.

Quality control is documented by various reports made to FHWA and the Colorado Transportation Commission. Additionally, the CRBRC Director and/or FHWA Civil Rights Specialist conducts as needed Civil Rights Program Quality Assurance Reviews of Regional Civil Rights Office(s) and/or specific program areas to ensure that CDOT’s civil rights programs are being appropriately implemented.

PERFORMANCE MEASURES

The following performance measures will be used to assess the health of the Civil Rights Program:

Table - Performance Measures (Civil Rights)

PM #	Measure	Description	Reporting Mechanism	Reporting Frequency	Target/Baseline
107	DBE participation (as percentage) to date on Federal Aid Highway Program	DBE Program	Transport	Federal FY Semiannual Reporting	11.55% ¹
459	# of DBE firms receiving supportive services/benefits	DBE Supportive Services (DBE/SS)	Connect2DOT Program	Federal FY	100
313	# of completed Contract Compliance Reviews	Contractor Compliance (External EEO) Program	Google Drive	Federal FY	18
460	# of OJT hours achieved	On the Job Training (OJT) Program	Google Drive	Federal FY	50,000 hours
461	# of persons placed and employed (post-services)	OJT Supportive Services (OJT/SS)	Google Drive	Federal FY	50
310	# of completed STA reviews	Title VI Program	Title VI Assessment	Federal FY	6
462	# of completed sub recipient reviews	ADA Title II Program	ADA Transition Plan	Federal FY	10
1438	Complete workplace culture reviews to support AAP and inclusive excellence strategy	DHR	Annual AA Plan	Federal FY	50%
1439	Gather EEO, sexual harassment, ADA and all Title VII investigation outcomes data	EEO/AA	Annual AA Plan	Federal FY	100%

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1440	Conduct AA & EEO training with leadership in Headquarters and Regions	EEO/AA	Annual AA Plan	Federal FY	75 %
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¹Methodology for determining DBE participation target is available at <https://www.codot.gov/business/civilrights/dbe-goal>

2. ENGINEERING: CONTRACTING, ENGINEERING ESTIMATES AND OTHER PROJECT SUPPORT

INTRODUCTION

The Contracts and Market Analysis (CMA) Branch is responsible for preparing contracts for construction projects and professional consulting services, engineering cost estimates for projects prior to bidding, bid collusion detection, materially unbalanced bid detection, AASHTOWare Project software support, and construction contract administration support. The Branch Units responsible for supporting the aforementioned tasks include Engineering Contracts, Engineering Estimates and Market Analysis (EEMA), Engineering Applications, and Construction Area Engineers.

PROGRAM OVERVIEW AND METHOD OF OPERATION

The Engineering Contracts Unit contracts for construction and professional services in accordance with applicable Federal rules and regulations. The EEMA Unit prepares project engineering cost estimates, as required by federal regulations, and monitors bidding activity for materially unbalanced bids and collusion. The Engineering Applications Unit provides technical support on the AASHTOWare Project suite of software to statewide users. The Construction Area Engineers Unit provides assistance to the Regions in maintaining consistency in construction contract administration.

CDOT ROLES AND RESPONSIBILITIES

The Branch includes the following functional groups and assigned responsibilities:

1. Engineering Contracts Unit: The Engineering Contracts unit provides two different types of services - construction contracting and professional services contracting. The construction contracting staff conducts the contracting process for construction projects including contractor prequalification, advertisement for bids, opening of paper and electronic bids, award and execution of the contract, and issuance of the Notice to Proceed (NTP) once signed by the Chief Engineer. The professional services contracting staff conducts the contracting process for professional services (engineers, architects, surveyors and industrial hygienists), including consultant prequalification, issuance of the Request for Proposals (RFP), facilitation of the selection process, contract negotiations, and execution of the contract.
2. Engineering Estimates and Market Analysis (EEMA): The EEMA Unit prepares engineering cost estimates of construction projects prior to bidding, serves as an independent cost estimator (ICE) on DBB, DB, and CM/GC projects, performs materially unbalanced bid analysis and bid collusion analysis on submitted bids and prepares cost estimates for added work on active construction projects.
3. Engineering Applications: The Engineering Applications Unit is responsible for user support, training, and system enhancements for the AASHTOWare Project Bids, Preconstruction and SiteManager, PM Project Systems and Survey 123 Field Diaries.

4. **Construction Area Engineers:** The Construction Area Engineers Unit provides assistance to the Regions in maintaining uniform construction contract administration and management practices and is responsible for providing technical support: such as analyzing disputes and claims, interpreting specifications, reviewing change orders, performing annual residency visits, performing traffic control review of projects, and performing Inter-Regional reviews. The Construction Area Engineer performance/compliance indicators and QC activities are described under Program and the Project Delivery Section of this Agreement.

FHWA ROLES AND RESPONSIBILITIES

The Program Delivery Teams in FHWA-Colorado Division are responsible for contract administration, contract changes, dispute resolution and claims. The teams consist of a Program Delivery Team Leader who has leadership responsibility for the team, Area Engineers, and other Program Managers. Area Engineers within each of FHWA Program Delivery Teams are assigned to and serve as liaisons for each of CDOT Regions

QUALITY ASSURANCE APPROACHES

The following elements are included:

- Tracking of Professional Services selections and contracts executed;
- Tracking of Professional Service Contract average routing times;
- Tracking of Professional Services Task Order average routing times;
- Tracking of Construction contracts awarded;
- Tracking of Construction Contract Advertisements deferred by revisions;
- Tracking of Construction bids versus Engineer’s Estimates and contracts awarded;
- Reviewing contract documents to ensure proper form;
- Oversight of CDOT process to request FHWA approval of consultant PM prior to contract per CFR 172.7(b)(5); and
- Tracking of training courses offered and employees trained.

PERFORMANCE MEASURES

The following performance measures will be used to assess the health of the Contracts and Market Analysis Branch Programs:

Table - Performance Measures (Contracts and Market Analysis)

PM #	Measure	Description	Reporting Mechanism	Reporting Frequency	Target/Baseline
809	Overall Program Estimate Accuracy (EEMA)	Accuracy of total Program Estimate as compared to total Program Award on ALL Design-Bid-Build projects	CMA Branch Work Plan	Calendar FY	+/- 3%
463	Percent of projects awarded within set percentage of Engineer’s Estimate	Percent of awarded low bids within +/- 10% of Engineer’s Estimate on ALL projects	CMA Branch Work Plans	Calendar FY	50%

3. ENGINEERING: HYDRAULICS

INTRODUCTION

CDOT Region Hydraulic Engineers (RHEs) are responsible for the hydraulic design and review of bridges, culverts and roadside drainage. The RHE coordinates with many agencies involved with flood plain issues. The Staff Hydraulic Engineer (SHE) provides leadership, training, guidance and represents CDOT as the technical authority for hydraulics. FHWA Division Bridge Engineer or Area Engineer is the primary contact for the Division for hydraulic related issues.

PROGRAM OVERVIEW AND METHOD OF OPERATION

CDOT and FHWA will review bridge culverts and bridges for hydraulic conformance to state and federal design requirements for all Projects of Division Interest (PODI) and Projects of Corporate Interest (POCI). The FHWA Bridge Engineer will coordinate directly with the SHE regarding FHWA requests and training announcements.

CDOT ROLES AND RESPONSIBILITIES

The RHE's are responsible for hydraulic designs for roadway drainage, culverts, bridges, water quality sediment ponds, detention basins, and open and closed channels. They provide water quality and environmental support and provide expertise for drainage issues in their region. The RHE also provides leadership for erosion and sediment control mitigation, bridge scour, channel improvements and coordinates with the Federal Emergency Management Agency (FEMA), Colorado Department of Public Health and Environment (CDPHE), US Army Corps of Engineers (USACE) and regional floodplain administrators with water and floodplain issues. Additionally, the RHE reviews consultant developer reports with drainage design plans for potential impacts to state highway rights-of-way.

The SHE represents CDOT as the technical authority by coordinating training, developing policy guidance, maintaining the Drainage Design Manual and fostering hydraulic related research. The SHE also represents CDOT for hydraulics at American Association of State Highway and Transportation Officials (AASHTO), Mile High Flood District (MHFD), Colorado Association of Stormwater and Floodplain Managers (CASFM) and other technical organizations. The SHE is the manager of the Bridge Scour POA project whose purpose is to prepare plans of action (POA's) and scour mitigation designs for scour critical bridges statewide and implement those into construction projects for scour critical bridges statewide. The SHE will coordinate status meetings with FHWA and Staff Bridge on an as-needed basis.

FHWA ROLES AND RESPONSIBILITIES

The Division Bridge Engineer will be the primary contact for hydraulics. The Division Area Engineers will also provide hydraulic related input for project reviews at their discretion.

QUALITY ASSURANCE APPROACHES

The SHE makes the Drainage Design Manual available to the public through CDOT’s web page. The Staff Hydraulics makes the Drainage Design Manual available to the public through CDOT’s web page. The RHE will have their project drainage designs and reports reviewed independently; either by a consultant or other outside source. FHWA and the SHE can request a hydraulic report from the region for their review at their discretion. FHWA and the SHE will meet annually and make recommendations to the QIC for future related QA's involving hydraulics. The SHE will organize and conduct an annual meeting with all Region Hydraulic Engineers and meet on an as-needed basis with Region Hydraulic Engineers to discuss projects, issues and concerns.

PERFORMANCE MEASURES

The following performance measure will be used to assess the health of the Hydraulics Program:

Table - Performance/Compliance Measures (Hydraulics)

PM #	Measure	Description	Reporting Mechanism	Reporting Frequency	Target/Baseline
1441	Update of the scour designs going to construction for all scour critical bridges	The percentage of scour critical on-system bridges (NBI Item 113 Code 2, 3 or U) in current year that went to AD or construction	Consultant management reports	State FY Annual reporting	30%

4. ENGINEERING: PAVEMENTS AND MATERIALS

INTRODUCTION

The Materials and Geotechnical Branch is responsible for ensuring quality in the products used for construction and maintenance of the transportation system. The Branch is responsible for reviewing, updating, and improving specifications, test procedures, and associated field and lab testing of materials to ensure compliance with CDOT standards and specifications and FHWA regulations. The programs in this Branch include Soils/Geotechnical, Geohazards, Concrete and Physical Properties, Asphalt Pavements, Pavement Management, and Pavement Design.

PROGRAM OVERVIEW AND METHOD OF OPERATION

CDOT and FHWA will work together as partners to review the materials, pavement, and geotechnical programs, verify procedures, and provide solutions to identified problem areas. This working relationship requires teamwork across functional boundaries in FHWA and CDOT. The utilization of outside resources, such as industry groups and organizations, will be considered in this joint effort.

CDOT ROLES AND RESPONSIBILITIES

1. Soils / Geotechnical Program: The mission of the Soils/Geotechnical Program is to provide geological and geotechnical engineering recommendations and support for the design, construction and maintenance of CDOT projects involving roadway cut and fill, bridge, retaining wall, and other transportation structure foundations. This Program manages the Western Alliance for Quality Transportation Construction (WAQTC) and CDOT Soils and Embankment Inspector certification for construction soil testers. This Program also manages CDOT's geotechnical drilling operations, which includes the installation of geotechnical instrumentation for long term monitoring. The Soils/Geotechnical Program works collaboratively with the Geohazards Program and the Regions to evaluate geotechnical and geological hazards such as embankment and slope failures, landslides, sink holes, debris flows and others, as they affect safety and mobility, along with providing emergency services for these features.
2. Geohazards Program: The mission of the Geohazards Program is to provide expertise in the geotechnical engineering and geohazard fields. This involves data collection, interpretation, analysis, review and design work that direct the planning, design, construction and maintenance of civil engineering and environmental projects for CDOT. The engineers and scientists in this program provide geological expertise for rockfall, rockslide, mudslide and landslide geological hazard mitigation, design, construction and planning. This Program develops and maintains the statewide Geohazard Management System for directing funds and identifying statewide projects. The Program also provides emergency services for geological hazards, highway embankment, and slope and subgrade failures. The Geohazards Program works collaboratively with the Soils/Geotechnical Program to provide soils and geotechnical engineering support.

3. Concrete & Physical Properties Program: The mission of the Concrete and Physical Properties Program is to provide timely and accurate test results for concrete, aggregate, soils, steel, and other construction and maintenance materials, maintaining an accredited laboratory in accordance with the AASHTO accreditation program (AAP). This program provides statewide coordination through engineering and technical expertise related to Portland cement concrete that will assist the Regions and CDOT's Bridge Program in the development of the Department's transportation system to meet the structural condition goals for bridges and the surface condition goals for pavement established by the Transportation Commission. This Program consists of the concrete and steel testing unit, the aggregate testing unit, soils testing unit, the pavement deflection and smoothness testing unit, the radiation safety unit, and engineering support.

The primary products include review of concrete mix designs, design, production and quality assurance testing, and concrete design specifications for aggregates and concrete. Quality assurance of many materials listed as Certificate of Compliance (COC) or pre-inspection is included. This Program also now administers Smoothness Operator Certifications and Profiler Equipment Certifications.

4. Asphalt Program: The mission of the Asphalt Pavement Program is to provide timely and accurate asphalt mix and binder testing, ensure high quality of CDOT asphalt mix and binder testing statewide, and provide engineering and technical expertise in the development, selection, application, construction, testing and maintenance of asphalt mix and binder materials that will assist the regions in the development of the Department's transportation system to meet the surface condition goals established by the Transportation Commission. The Asphalt Pavement Program consists of the Bituminous and European Laboratory, the Flexible Pavement Laboratory, Chemical Unit and the Asphalt Engineering Unit. The Program maintains an accredited laboratory in accordance with the AASHTO accreditation program (AAP).

Products of this program include production and assurance testing of asphalt mix and binder and the development of mix design specifications and testing procedures. They also include QA testing of asphalt binders and emulsions, development of specifications, including performance-graded binders, and testing of mixtures using European and performance testing methods. This Program also administers CDOT's Warm Mix Technology and Producer approvals.

5. Pavement Management Program: The Pavement Management Program functions to implement the most cost effective surface treatment and pavement maintenance program possible. The primary function is to create planning tools to be utilized in development of the Department's transportation system such that it meets the surface condition goals established by the Transportation Commission.

The primary products and function of the Pavement Management Program include:

- Network level pavement management condition and funding recommendations,
- Project level pavement management procedures,
- Completion of the annual pavement surface condition survey and analysis of the results at both the network and region levels,
- Quality assurance of condition data collection,
- Provide project recommendations and report on matching percentage of projects constructed by the regions,

- Provide training relevant to pavement management and preventive maintenance, and
- Provide technical expertise regarding improvements to procedures and policies relevant to pavement management.

6. Pavement Design Program/Documentation Unit: The mission of the Pavement Design Program is to give technical expertise in the development of Mechanistic - Empirical pavement designs and statistical materials acceptance specifications, offer technical expertise to all appropriate personnel, and provide statewide support for the Site Manager Materials and Laboratory Information Management System software used for construction project management, including training, technical assistance, and reporting while being responsive to customer needs in a timely and professional manner.

The primary products of the Pavement Design Program include:

- Implementation and enhancements to the Mechanistic - Empirical pavement design procedures and CDOT's Life Cycle Cost Analysis process,
- Process Control (PC) & Owner Acceptance (OA) specification development,
- Engineering software support,
- SiteManager Materials and Laboratory Information Management System support, and
- QARs of pavement construction projects (as needed).
- Coordination and oversight of CDOT's Approved Products List and the Qualified Manufacturers List.

The Documentation Unit is part of the Pavement Design Program. It oversees and maintains AMRL and CCRL Certification Records for the Materials Branch. Also, this unit ensures compliance with AASHTO Designation R- 18 and updates and maintains the AASHTO Accreditation Program Quality System Manual. This Unit maintains the records of certification for the Annual Region Laboratory Inspection of testing equipment and reviews the Assurance Sampling and Testing Program to assure compliance with Title 23, CFR, Part 637, Subpart B. It also provides materials documentation training and quality assurance review of materials documentation and final materials certification. This Unit is responsible for annual update and publication of the CDOT Field Materials Manual, Pavement Design Manual, and the Laboratory Manual of Test Procedures.

FHWA ROLES AND RESPONSIBILITIES

FHWA-Colorado Division has assigned one engineer the primary responsibilities associated with the stewardship and oversight of the Pavements and Materials program. The Division Pavement/Materials Engineer is the lead contact for Pavement Management and Design, as well as the Asphalt, Concrete/Physical Properties, Soils and other construction materials Programs. The Division Bridge Engineer will handle Structural Concrete, Geohazard and Geotechnical Programs. The Division Area Engineers will resolve project issues with CDOT Project Managers with consultation when necessary with the Division Pavement/Materials Operation Engineer.

The Division will provide technical assistance to CDOT in the development of material and pavement specifications and provide quality assurance reviews of the programs. The FHWA Division Pavement/Materials Engineer is an active member of the CDOT Materials and

Geotechnical decision-making body, the Materials Advisory Committee. Annually all MAC-initiated changes to CDOT guidance manuals are formally issued and require formal FHWA approval prior to issue. Materials manuals (see below) prescribe all approved processes for the design, testing, acceptance, certification, auditing and qualification (inspection and accreditation) programs that govern CDOT's practices statewide.

QUALITY ASSURANCE APPROACHES

CDOT and FHWA individuals responsible for materials and geotechnical engineering conduct a variety of activities to ensure quality control and assurance of these programs.

1. Training: Training programs have been developed, pavement design and life cycle cost analysis, materials for managers, and testing and documentation for the inexperienced. Training for asphalt paving inspection has been developed in cooperation with the Colorado Asphalt Pavement Association (CAPA) and are currently offered through the Rocky Mountain Asphalt Education Center at CAPA. Training for concrete paving inspection has been developed in cooperation with the Colorado/Wyoming chapter of the American Concrete Paving Association (ACPA) and are currently offered through the ACPA.
2. Manuals: The primary manuals within the Branch include the *Field Materials Manual*, the *Pavement Design Manual*, and the *Laboratory Manual of Test Procedures*. These manuals are updated annually and there is a regularly scheduled meeting each year to review the contents and update the materials within each manual. There are five other manuals, the *Radiation Safety Manual*, *Geotechnical Design Manual*, *Pavement Management Manual*, *Independent Assurance Manual*, and the *Geohazards Manual*, which are updated from time to time as needs exist, or approximately every three to five years.
3. Specification Development: In order to influence quality, the Materials Advisory Committee meets a minimum of five times per year. FHWA, CDOT HQ staff subject matter experts, and each Region Materials Engineer meet to discuss and resolve issues relating to specifications. As part of this effort, the Independent Assurance Testers and the Flexible Pavement Operators meet once or twice per year to identify and resolve issues that impact this program. CDOT meets annually with the Four Corner states' (AZ, NM, CO, UT) DOT materials engineers to collaborate on shared technical issues.

CDOT meets a minimum of three times per year with CAPA, the Colorado / Wyoming Chapter of the American Concrete Pavement Association and the Colorado Ready Mixed Concrete Association. FHWA attends when available. Specifications are updated and improved through partnering based on lessons learned from all of the parties.

4. Process Reviews: Joint Process Reviews, as part of the Stewardship Agreement with FHWA, can be periodically conducted with HQ staff, the regions, FHWA, and industry representatives across a range of technical areas including concrete pavement, structural concrete, HMA, pavement management and geotechnical engineering. Areas of potential risk will be identified by the QIC and prioritized in the QIC's Joint Process Review/Risk Response Strategies annual effort.

CDOT Area Engineers, with the support of the Materials and Geotechnical Branch, may conduct project level quality assurance reviews to ensure conformance with

established regulations, policies, manuals, procedures, and guidelines.

5. Materials Acceptance: Material production of HMA and Portland Cement Concrete Pavement (PCCP) in the regions is measured by quality levels (PC / OA programs) and through the assurance-testing program.
6. Laboratory Accreditation: The Materials and Geotechnical Branch is an AASHTO accredited laboratory for tests relating to bituminous materials, asphalt mix, soils, reinforcing steel, concrete and physical properties.
7. Region Oversight: Every two years CDOT Materials and Geotechnical Branch conducts quality reviews of each region Materials Unit regarding their Independent Assurance Programs and the materials final certifications.

Every year the Branch conducts a quality review inspection of each region Materials Unit laboratory to ensure that equipment is calibrated and checked. Formal reports are issued to each CDOT Region with copies to FHWA. Further, proficiency samples are tested annually by HQ and region laboratories on soils, aggregate, concrete and asphalt. The average test results and rating of each lab is reported.

8. Technician Certification: All technicians performing acceptance testing are required to be certified. Certification programs, approved by FHWA, exist for asphalt, concrete, and soils. The administration of each certification program is the responsibility of CDOT partnering with Colorado Ready Mix Concrete Association (CRMCA)/ American Concrete Institute (ACI) for concrete and aggregates, Colorado Association of Geotechnical Engineers (CAGE) and Western Alliance for Quality Transportation Construction (WAQTC) for soils, and the Colorado Asphalt Pavement Association (CAPA) for asphalt and aggregates. There are quality checks within each of the certification programs to ensure they are effective. For example, CDOT and FHWA are active members of the Laboratory Certification of Asphalt Technicians (LabCAT) Technical Committee and LabCAT Board of Directors which oversee and direct continuous quality improvements to the technical training documents and statewide certification programs.
9. Pavement Management System: The Pavement Management Technical Committee meets a minimum of five times a year to identify and resolve issues with the Pavement Management System. The condition reports, and maps are provided, each October to the Transportation Commission and Asset Management Program. A functioning Pavement Management software setup is provided to the regions in December so that the regions can compile project recommendation lists for use in planning the Surface Treatment Program. Differences in condition or project selection, as recommended by the Pavement Management System, from that observed by the Region are categorized and work is undertaken to resolve these differences.

PERFORMANCE MEASURES

The following performance measures will be used to assess the health of the Pavement and Materials Program:

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Table - Performance/ Compliance Measures (Pavements and Materials)

PM #	Measure	Description	Reporting Mechanism	Reporting Frequency	Target/ Baseline
811	Percentage of pavements of the Interstate System in good condition	Percent of all Interstate pavement segments rated good under the criteria set by 23 CFR 490	Highway Performance Monitoring System (HPMS)	State FY	National Performance Measure Targets: 2020: 46% 2022: 47%
812	Percentage of pavements of the Interstate System in poor condition	Percent of all Interstate pavement segments rated poor under the criteria set by 23 CFR 490	Highway Performance Monitoring System (HPMS)	State FY	National Performance Measure Targets: 2020: 1% 2022: 1%
813	Percentage of pavements of the non-Interstate NHS System in good condition	Percent of all non-Interstate NHS pavement segments rated good under the criteria set by 23 CFR 490	Highway Performance Monitoring System (HPMS)	State FY	National Performance Measure Targets: 2020: 50% 2022: 51%
814	Percentage of pavements of the non-Interstate NHS System in poor condition	Percent of all non-Interstate NHS pavement segments rated poor under the criteria set by 23 CFR 490	Highway Performance Monitoring System (HPMS)	State FY	National Performance Measure Targets: 2020: 1% 2022: 2%

5. ENGINEERING: PROGRAM AND PROJECT DELIVERY - DESIGN AND CONSTRUCTION

INTRODUCTION

CDOT Manager: Neil Lacey and Markos Atamo
FHWA Manager: Shaun Cutting and Edward Martinez

PROGRAM OVERVIEW AND METHOD OF OPERATION

CDOT Design Program Manager, CDOT Area Engineers, Standards and Specifications Engineer, Alternative Delivery Program Manager, and FHWA provide oversight, technical assistance, support, training, and quality assurance to the region personnel to ensure uniformity of construction, design, and contract administration. Key program components are described in the below sections.

CDOT ROLES AND RESPONSIBILITIES

1. Design Area Engineer: The Design Program Manager provides roadway design and pre-construction project management related support and ensures consistency for the region and headquarters personnel. Design Program Manager is responsible for assisting CDOT regions to maintain uniform practices in design including the usage of guidance documents and manuals, plan sheet production, training, and project management practices. The Design Program Manager position resides in the Project Development Branch.
2. Construction Area Engineers: The Construction Area Engineers provide construction related support and assure consistency for the region personnel. The Area Engineers are responsible for providing technical assistance to the regions related to construction administration. The Area Engineers are each assigned to different regions of the State. The Area Engineers are supported by Assistant Area Engineers. The Construction Area Engineer positions are a part of CDOT Contracts & Market Analysis Branch.
3. Standards and Specifications Engineer: Standards and Specifications Engineer (SSE) is responsible for developing and maintaining CDOT's Standard Plans, Standard Specifications, Standard Special Provisions and assisting in maintaining various engineering support documents and manuals. The SSE also reviews project special provisions and coordinates efforts related to statewide Findings in the Public Interest (FIPI's). The SSE and associated support staff reside in the Project Development Branch.
4. Alternative Delivery Program Manager: The Alternative Delivery Program Manager is responsible for developing and updating CDOT's policies and procedures for project delivery methods outside the realm of Design-Bid-Build (e.g. Design-Build and Construction Manager/General Contractor). This position also provides technical assistance in determining the most appropriate project delivery method and development of procurement documents. The Alternative Delivery Program Manager is supported by a Professional Engineer II. The Alternative Delivery staff resides in the Alternative Delivery Program.

5. **Regions:** A Region Program Engineer is responsible for the overall design and construction program in part of each region. The residencies in each region report directly to a Region Program Engineer. Each residency is staffed by a Resident Engineer, Project Managers, Project Engineers, and other project personnel who are responsible for the day-to-day operations of the design and construction program.

FHWA ROLES AND RESPONSIBILITIES

The Program Delivery Team in FHWA-Colorado Division is responsible for design and construction oversight including: design, contract administration, contract changes, dispute resolution and claims, materials and pavements, specifications and quality assurance oversight. The team consists of a Program Delivery Team Leader who has leadership responsibility for the team, Area Engineers, and other Program Managers. The Area Engineers work on project oversight directly with the Resident Engineers in the regions.

QUALITY ASSURANCE APPROACHES

CDOT and FHWA plan program-wide implementation of Quality Control (QC) activities. CDOT Design Program Manager, CDOT Area Engineers, FHWA Area Engineers, and the regions will cooperate to ensure that effective QC procedures are established and carried out for design and construction activities.

Following are some of the cooperative QC activities:

- **Post Construction Reviews:** Post Construction reviews will be conducted in all of the regions each year. The Construction Area Engineers assists the regions in coordinating their post-construction reviews. FHWA Area Engineers will be invited to attend reviews on oversight projects.
- **Inter-Region Reviews:** Inter-Region reviews will be conducted in half of the regions each year. The Area Engineers assist the regions in coordinating their Inter-Region reviews. The respective FHWA Area Engineer will be invited to attend the reviews.
- **Change Orders:** The Area Engineers will track Change Order activities on projects and report on the quantity and dollar impacts to projects:
 - Number of change orders by Reason or Cause
 - Number of change orders with time/schedule impacts;
 - Number of change orders requiring a funding letter;
 - How many requiring FHWA approval; and
 - How many requiring CDOT approval.
- **Disputes and Claims:** The Area Engineers will track Dispute and Claims activity on projects and report on the quantity and cost impacts to projects:
 - Resolutions step of Disputes and Claims;
 - Dispute dollars divided by total contract dollars; and
 - Claim dollars disputed divided by total contract dollars.
- **Revisions Under Advertisement:** The construction contracts award unit will annually track and report Revisions Under Ad activities and trends. This data is not required for any performance indicators but will be reported as a part of section 4,

Contracting, Engineering Estimates and Other Support, of the Stewardship Agreement Annual Report.

- Constructability Reviews: The Design Program Manager will annually track constructability review activities on projects.
- Alternative Delivery Project Delivery: The Alternative Delivery Program Manager will track use of the Project Delivery Selection Matrix and Alternative Delivery Contracting use. On an annual basis CDOT will report the number of projects that utilized the selection matrix, number of projects that used alternative delivery methods, and the associated dollar value of the projects.
- Annual Residency Visits: CDOT Design Program Manager, the Area Engineers, and FHWA Area Engineers will meet annually with the Resident Engineers, Project Managers, Project Engineers, and other project personnel. These Residency Visits are intended to provide a valuable exchange of information and ideas between CDOT Project Support staff, FHWA and region personnel. In addition, the reviews will help to improve the QC function.
- Area Engineers/Design Program Manager/FHWA Program Delivery Team Leader Meetings: The Project Development Branch Manager, Contracts and Market Analysis Branch Manager, Area Engineers, Design Program Manager, and FHWA Program Delivery Team Leaders will meet on a quarterly basis to discuss issues of mutual concern in the design and construction program.
- Committees: The Area Engineers, Design Program Manager, Standards and Specification Engineer, Alternative Delivery Program Manager and FHWA will participate on the following committees:

Construction Area Engineers

- Joint Colorado Contractor's Association/CDOT Specification Committee;
- Joint American Concrete Paving Association/CDOT Coop Committee;
- Joint Colorado Asphalt Paving Association/CDOT Coop Committee;
- Project Delivery Advisory Committee;
- Materials Advisory Committee;
- Water Quality Advisory Committee

Design Program Manager

- Project Delivery Advisory Committee
- Joint Colorado Contractor's Association/CDOT Specification Committee

Standards and Specifications Engineer

- Project Delivery Advisory Committee,
- Materials Advisory Committee,
- Joint Colorado Contractor's Association/CDOT Specification Committee

Alternative Delivery Program Manager

- Innovative Contracting Advisory Committee

FHWA

- Joint Colorado Contractor's Association/CDOT Specification Committee;
- Joint American Concrete Paving Association/CDOT Coop Committee;

- Joint Colorado Asphalt Paving Association/CDOT Coop Committee;
 - Project Delivery Advisory Committee;
 - Materials Advisory Committee;
 - Water Quality Advisory Committee;
 - Innovative Contracting Advisory Committee
- Guidance Manuals: CDOT documents its design and construction procedures through the Project Development, Construction, and Design Manuals. These manuals are kept on CDOT’s web page and are updated periodically. The Construction Area Engineers and the Design Program Manager prepare interim design and construction bulletins as necessary for revisions and clarifications to the design process and procedures. In addition to being distributed electronically, these bulletins are also on CDOT’s web page. All employees have access to the manuals and bulletins.

PERFORMANCE MEASURES

The following performance measures will be used to assess the health of the Design and Construction Programs:

Table - Performance/ Compliance Measures (Design and Construction)

PM #	Measure	Description	Reporting Mechanism	Reporting Frequency	Target/ Baseline
328	Number of change orders approved by CDOT	Number of change orders which did not require FHWA approval	CDOT Work Plan	State FY	Track trend
345	Time to close a project from final acceptance to project closure in (Fiscal Management Information System (FMIS)	Average # of days to close a project	CDOT Work Plan	State FY	200 days

6. ENGINEERING: PROGRAM AND PROJECT DELIVERY - PROGRAM MANAGEMENT

INTRODUCTION

The Office of Program Management (PMO) is responsible for developing and implementing business processes and policies to provide uniformity and consistency in CDOT's project management, project performance and program delivery performance across CDOT. This group is also responsible for coordinating with the regions to report program and project data and information, tracking progress towards annual performance metrics, and supporting data-driven decision making.

PROGRAM OVERVIEW AND METHOD OF OPERATION

The PMO staff develop and provide procedures, technical assistance, support, and training to ensure uniformity of information at the project, program, Region, and statewide levels.

Definitions:

- **Portfolio:** A grouping of projects with one or more similar characteristics. A portfolio can include projects from multiple programs.
- **Program:** Set of projects to be managed as a whole to deliver several outcome(s). It is not the asset or color of money.
- **Program Management:** Activities for managing the success of the program.
- **Project Management:** Activities for managing the success of a single project.

CDOT ROLES AND RESPONSIBILITIES

1. **Asset Managers:** Manage funding allocations and identify eligible assets to achieve performance goals for their asset class.
2. **Region Transportation Directors:** Responsible for the delivery of the region's program.
3. **Region Program Engineers:** Execute program management at the region level.
4. **Region PMO Representatives:** Coordinate between the regions and HQ PMO, maintain the region master program schedule and support/mentor region staff in project reporting, tracking and delivery of projects.
5. **Resident Engineers:** Responsible for overseeing the delivery of multiple projects.
6. **Project Managers/Engineers:** Support the Resident Engineer and manage one or more projects.
7. **HQ PMO:** Responsible for coordinating and tracking the management of projects and programs at the statewide level. Provides information to support statewide program delivery decisions.

8. OFMB: Provides information to align project cash needs with cash availability and project budgeting.

FHWA ROLES AND RESPONSIBILITIES

Project and program management are cross cutting through various roles of FHWA staff. Because of this, the Division has assigned a Program Manager to be the primary point of contact at FHWA. As issues or challenges may develop, others from FHWA will be brought into the discussions/solutions as needed.

QUALITY ASSURANCE APPROACHES

To ensure overall Program quality, the PMO will track program delivery monthly at the statewide level using the expenditure performance index (XPI) to evaluate actual construction expenditure performance as compared to the planned value. The results of data analysis and trends will be reported to the Regions monthly for review and if necessary, corrective actions will be determined, using the following decision structure:

- PMO Governance (decision-making board that consists of CDOT RTDs),
- PMO Technical Advisory Committee (decision-advisory board consisting of PE-III’s from each Region),
- PMO Representatives (PMO Region liaisons), and
- PM Representatives (Region representatives who provide technical input).

PMO plans to focus on building consistency in project and program delivery by regularly visiting the Regions throughout the year, participating in Region Program Status meetings, Program Engineer (PE III) meetings, Resident Engineer’s (RE) Committee, and the Project Development Advisory Committee(PDAC), and investing substantial efforts to enlist Region input and feedback into new and existing processes and policies as well as to identify opportunities for improvement.

PERFORMANCE MEASURES

The following performance measures will be used to assess the health of Program Management:

Table - Performance Measures (Program Management)

PM #	Measure	Description	Reporting Mechanism	Reporting Frequency	Target/Baseline
555	Expenditure Performance Index (XPI)	XPI is actual program expenditures divided by annual target ¹ for program expenditures	Reported to PMO Governance	Monthly	$0.95 \leq XPI \leq 1.05$
1442	% Projects advertised by baseline late AD date	Projects must be advertised by the Late AD Date set at the FIR milestone, in order to achieve planned construction expenditures for the CY	Reported to PMO Governance	Monthly	95%
1443	% projects closed on-time	Percent of projects closed and de-budgeted within 12 months of final acceptance	Reported to PMO Governance	Monthly	95%

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¹ CY20 annual target will be based on planned expenditures as of 01/2020. Adjustments to the target will be permitted using change control procedures that have been agreed to by the PMO Governance Committee.

7. ENGINEERING: RIGHT OF WAY

INTRODUCTION

The acquisition of private property for public use is governed by a host of state and federal rules and regulations. The Right of Way (ROW) Program has overall responsibility for the acquisition of real property and the relocation of homes, businesses and personal property on Federal-aid projects. This responsibility includes assuring that acquisition and relocations are conducted in compliance with the legal requirements of the state and federal laws and regulations.

The ROW program is part of CDOT Project Development Branch. The right-of-way phase of the project development process can be divided into four process categories or work activities:

- Surveying;
- Valuation (Appraisals/Review and Waiver Valuations);
- Acquisition; and
- Relocation.

PROGRAM OVERVIEW AND METHOD OF OPERATION

FHWA-Colorado Division's relationship with CDOT's ROW program has historically been a very close working relationship that strives to identify best practices and training opportunities and maintain good communications. As such there are responsibilities on the part of each organization to foster good public relations while striving to adhere to the ultimate goal of building highways.

The operation from the agencies' perspectives includes the maximum delegation of authority to CDOT. This offers the greatest possible innovation and flexibility to administer the ROW program. In this regard, CDOT Right of Way Manual is an important tool.

Coordination and oversight are maintained through an annual statewide ROW training event involving all CDOT ROW program personnel and FHWA's ROW Program Manager, quarterly ROW managers' meetings, and routine contacts in person, in writing and by phone, during the course of business. Daily coordination is normally between the CDOT ROW Program Manager (Central Office) and the FHWA ROW Program Manager.

CDOT ROLES AND RESPONSIBILITIES

The ROW program is headquartered in Denver and has offices in each of the five regions. It has a professional staff of real estate specialists, surveyors, appraisers, administrators, and others who deliver ROW projects.

CDOT Central Office is responsible for facilitating the provisions of statewide policies and guidelines, conducting quality assurance, providing training and development, and technical assistance to the regions in support of their responsibility for program delivery.

In addition to Survey, Valuation, Acquisition and Relocation, the CDOT Central ROW Program is responsible for responses to right-of-way related Colorado Open Records Act requests and ensuring Local public Agency compliance with the Uniform Act. The Central Right of Way Program also manages the ROW Program records and assists region Right of Way staff with consultant management

FHWA ROLES AND RESPONSIBILITIES

Oversight of the ROW program in FHWA-Colorado Division Office is the responsibility of the ROW Program Manager and FHWA Area Engineers assigned to each of the five CDOT regional offices. Their primary responsibility is to review, interpret and provide guidance and training for FHWA ROW policies, procedures and regulations.

QUALITY ASSURANCE APPROACHES

Quality Control (QC) is performed in four functional areas within CDOT ROW process as documented in the FHWA approved CDOT ROW Manual. First, a ROW plan review is held at the beginning of the appraisal process to determine the adequacy of the ROW plans and reduce the potential for possible plan revisions during the process. Second, all appraisals are reviewed by CDOT appraisal reviewers to assurance compliance with all state and federal laws. Third, all acquisition payment requests and relocation Determinations are reviewed for compliance with the Uniform Act by CDOT Central ROW staff prior to making payments. Finally, a check list is used with each acquisition closing package to ensure that all matters affecting title have been taken care of prior to closing.

Additionally, to encourage process consistency and ensure that the end product or service provided meets established quality standards and criteria, quarterly intra-region file reviews are performed by CDOT Region ROW staff. The review topics are function specific (appraisal, relocation, acquisition, etc.) and are determined by a consensus of CDOT ROW Managers, CDOT Central Office ROW staff and FHWA.

Quality assurance reviews of critical areas will be made on a rotational basis based on the risk assessment made by CDOT ROW Program Manager and FHWA Division ROW Manager.

PERFORMANCE MEASURES

The following performance measures in combination with periodic reviews will be used to assess the health of the ROW program:

CDOT will track continue to track the Conditional Clearance, Condemnation, Fair Market Value Settlement Rate, and Appeals statistics and compare against the prior 10 years for major deviations.

Table - Performance Measures (ROW)

PM #	Measure	Description	Reporting Mechanism	Reporting Frequency	Target/ Baseline
319	Conditional clearances	Percentage of Federal-aid projects with conditional ROW certifications	A list of conditional clearances	State FY	Track trend

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320	Condemnations	Percentage of parcels acquired using condemnation	Uniform Act Relocation Assistance and Real Property Acquisition Statistical report as required by 49 CFR, Appendix B	State FY	Track trend
322	Fair market value settlement rate	The percentage of parcels settled at FMV	Calculation of the number of parcels that settled at FMV versus the total number of parcels acquired	State FY	Track trend
321	Appeals	The number of appeals filed each year	A list of appeals	State FY	Track trend
426	ROW customer survey	ROW appraiser and agent customer service rating	ROW customer service survey by region	State FY	Achieve very good or better in all categories

8. ENGINEERING: STRUCTURES

INTRODUCTION

The Structures Program is responsible for working with the regions to ensure structures are properly designed, constructed, and maintained throughout the state. Structures include: major structures (bridges and culverts that span more than 20 feet), minor structures (culverts and bridges that span 4 to 20 feet), overhead sign structures, high mast luminaires, and mast arm traffic signals, retaining walls, noise walls, and tunnels. The staff of the Structures program develops structural design requirements, standard structural details, and structural construction specifications. In addition, the Structures program evaluates structural products and materials. The Structures program provides the vital services of: structure inspection, fabrication inspection, construction assistance, structure asset management, bridge load rating, and oversize overweight vehicle permit investigations.

PROGRAM OVERVIEW AND METHOD OF OPERATION

CDOT will provide the FHWA Division Bridge Engineer the following on oversight projects: structure selection reports, Field Inspection Review (FIR) plans and Final Office Review (FOR) plans. CDOT project managers shall provide final plan, specification, and estimate (PS&E) plans for all major bridges and tunnels to FHWA for review and information.

FHWA will provide comments on any bridge or tunnel at their discretion. The Bridge Design and Management Branch (Staff Bridge Branch) will provide written responses to any written FHWA comments. In the latter instance, CDOT project manager will be copied, or, if requested by the project manager, responses to FHWA will be sent through the project manager. Foundation and hydraulic reports will be made available to FHWA. FHWA will monitor these reports through participation on all CDOT QA and QC teams reviewing these activities. The QA process will monitor construction inspections on projects.

FHWA will work with CDOT regarding the National Bridge Inspection Program, the National Tunnel Inspection Program and federal eligibility issues.

The CDOT Staff Bridge Branch will work with CDOT Freight Office within the Division of Maintenance and Operations to identify and prioritize structures that are negatively affecting freight routes and mobility due to load or height restrictions. Current projects can be found in the Freight Investment Plan (FIP) or the Colorado Vehicle Size and Weight Enforcement Plan. The focus will be on data driven prioritization of structures repairs or replacements that will maximize the ROI for freight mobility and establishing reliable trucking routes. The Freight Office is working on several new funding opportunities to build a program to address these needs and priorities.

The FHWA Division Bridge Engineer and CDOT Staff Bridge Engineer will meet on a regular basis to discuss input into all assigned programs. The FHWA Structural Engineer will participate in regularly scheduled staff meetings of the Branch at his discretion.

CDOT ROLES AND RESPONSIBILITIES

The Staff Bridge Branch is responsible for CDOT's requirements on structure design and construction, bridge management and structural inspections. The Branch is responsible for

load rating bridges, checking permits associated with vehicles weighing 200,000 lb. or greater, providing structural design and consultant review services to the regions, as well as engineering services when emergencies occur and bridge repairs are warranted.

The Staff Bridge Branch provides assistance and structural engineering expertise to the regions' construction and maintenance programs. This includes fabrication inspection services for structural members and products such as structural steel and precast concrete structural members, and specific types of expansion devices, bearing devices, overhead signs, and signals. The Branch participates in and provides structural engineering expertise to the Department's non-project specific activities such as research teams, training committees, CAD committees, the specifications committee, and quality assurance review teams.

The Staff Bridge Structural Bridge Inspection and Structural Asset Management Units maintain the National Bridge Inventory (NBI) and the National Tunnel Inventory (NTI). Structure inventory, inspection data, asset management, and reports are provided to other CDOT offices and FHWA. Staff Bridge is responsible for CDOT's bridge inspection program, On-System bridge inspection program, bridge essential repair notifications, bridge essential repair tracking, the Colorado Off-System bridge program, and CDOT's Tunnel Inspection Program. In addition to bridges, Staff Bridge is responsible for the inventory and inspection programs for CDOT's overhead signs, mast arm traffic signals, high mast luminaires, minor structures, and retaining and noise walls. Existing highway structures are inspected and evaluated for their structural integrity. The Staff Bridge Rating Unit uses this data and provides load ratings for major vehicular bridges which determines the live load carrying capacity of these structures.

The Staff Bridge Engineer represents the State nationally and is active with the AASHTO Subcommittee with Bridges, an organization that maintains the national design standards and policy for bridges. Also, the Staff Bridge Engineer is a participant in other national organizations and initiatives, such as the National Steel Bridge Alliance, Precast Concrete Institute and the High Performance Concrete initiative.

FHWA ROLES AND RESPONSIBILITIES

The FHWA Division Bridge Engineer (DBE) oversees the NBIS, NTIS, and reviews hydraulic and geotechnical programs. Other activities may involve reviewing manuals, standards, specifications and research. Reviews the national performance measures required for structures.

Reviews Projects of Division Interest (PODI) related to structures or other required structural reviews by FHWA HQ's. Provides guidance for Staff Bridge and FHWA Division related to federal requirements involving structures. The DBE provides FHWA Division support to I25N, I70C, I70W at Floyd Hill, I25 gap, and C 470 projects.

FHWA Division Bridge Engineer provides leadership, overall quality assurance, and technical assistance to CDOT and FHWA Division.

QUALITY ASSURANCE APPROACHES

Staff Bridge provides and maintains several documents that are available to the public through CDOT's web page. The publications available include the: *Colorado Bridge Element*

Coding Guide, Colorado Structure Inventory Coding Guide, Colorado Tunnel Inventory and Inspection Manual, CDOT Bridge Design Manual, CDOT Bridge Detailing Manual, CDOT Bridge Rating Manual, CDOT Bridge Worksheets, and structures-related construction specifications.

The NBI and NTI data for all bridges and tunnels, respectively, is routinely reviewed for accuracy by Staff Bridge’s quality assurance bridge inspector. Annually, FHWA and members of Staff Bridge’s bridge inspection and asset management units will review at least twenty bridges and four tunnels, including local structures, for accuracy of NBI and NTI data. FHWA will review inspection procedures and compliance of the NBIS and the NTIS in accordance with FHWA defined metrics. FHWA will report deficiencies to the Staff Bridge Engineer. The metric report will be completed by the end of the calendar year. CDOT will have until February 28 to respond to the deficiencies reported. The DBE will finalize the report by March 31 to FHWA HQ. Staff Bridge provides quality control for the NBI and NTI submittals to FHWA headquarters by checking the data and making any corrections before submitting the data to FHWA. The quality control includes running FHWA’s checking software utility.

The annual bridge construction costs are submitted by Staff Bridge to FHWA Division Bridge Engineer for review. FHWA will check costs for at least four bridges. Also, with this submittal, FHWA will review unusual bids or award bids that are 15% over the Engineer’s cost estimate. Unusual bids or line items with significant cost increases will be reported to the Staff Bridge Engineer by FHWA.

PERFORMANCE MEASURES

The following performance measures will be used to assess the health of the Structures Program:

Table - Performance/ Compliance Measures (Structures)

PM #	Measure	Description	Reporting Mechanism	Reporting Frequency	Target/ Baseline
745, 746, 747	NHS bridges ¹ and deck area in Poor condition (FHWA Definition)	Number of Poor bridges* per NHS	Staff Bridge annual asset management reports	State FY	National Performance Measure Targets: 2020: 4% 2022: 4%
		Deck area of Poor bridges* per NHS			
		Percentage of Poor deck area per NHS			
748, 749, 750	NHS bridges ¹ and deck area in Good condition (FHWA Definition)	Number of Good bridges* per NHS	Staff Bridge annual asset management reports	State FY	National Performance Measure Targets: 2020: 45% 2022: 44%
		Deck area of Good bridges* per NHS			
		Percentage of Good deck area per NHS			

¹The term “bridge” is used in place of “major structures”, which includes all bridge and culvert structures that span more than 20 feet along the centerline of the carried roadway.

9. ENGINEERING: TRAFFIC AND SAFETY ENGINEERING

INTRODUCTION

There are several federal programs related to safety that FHWA and NHTSA have entrusted to CDOT to administer to improve transportation safety in Colorado. This Stewardship Agreement describes those programs and the roles and responsibilities of the FHWA Division Office and CDOT in implementing the required safety program activities. These activities are required under the HSIP (23 USC 148), which encompasses the SHSP and the Rail/Highway Crossing Programs (23 USC 130). Activities consist of components of planning, implementation, evaluation and reporting of safety programs and projects and providing support for problem identification, design, construction, maintenance, and technical assistance to CDOT, FHWA, the Federal Motor Carrier Safety Administration (FMCSA), NHTSA, Federal Transit Administration (FTA), Federal Railroad Administration (FRA), local governments, and other stakeholders in transportation safety

The Traffic and Safety Engineering Branch (The Branch), in collaboration with the CDOT Highway Safety Office and many other safety stakeholders, is focused on reducing fatalities and serious injuries resulting from crashes on the transportation system and the associated human and economic loss and as such is the responsible steward for developing, maintaining, and coordinating delivery of the Highway Safety Improvement Program (as defined by 23 USC 148 and 23 CFR 924) for CDOT. The Branch focuses on implementing the Highway Safety Improvement Program (HSIP), which includes the Strategic Highway Safety Plan (SHSP) and high risk rural roads and works with the Project Development Branch on rail-highway grade crossings.

PROGRAM OVERVIEW AND METHOD OF OPERATION

The HSIP is a core Federal-aid program with the purpose of achieving a significant reduction in fatalities and serious injuries on all public roads. The program and policy language for implementing the Highway Safety Improvement Program (HSIP) is codified as 23 USC 148, with related policies in 23 CFR 924. Specific provisions related to the Highway Safety Improvement Program (HSIP) are also provided under section 1113 of the FAST Act. Each State is required to develop, implement, and evaluate, on an annual basis, a comprehensive HSIP that has the objective of significantly reducing fatalities and serious injuries resulting from crashes on all public roads. Further guidance on implementing the HSIP is given through various FHWA HSIP program guidance documents.

States shall fund safety projects or activities that are most likely to achieve fatality and serious injury performance targets. The Branch works with region Traffic Engineers and local agencies to identify and construct cost-effective projects that improve safety on Colorado's roadways. This is accomplished by assessing the nature and magnitude of safety problems on roadways in a region, county or town and providing adequate information to support the development of an investment strategy to resolve the problems. Finally, a cost-benefit analysis is employed to ensure that the most beneficial and cost-effective safety projects are selected for implementation by the regions and local agencies.

In accordance with the FAST Act, FHWA issued Final Rulemaking on April 14, 2016 requiring state DOTs and MPOs to annually establish targets in five areas of safety performance - fatalities, fatality rate, serious injuries, serious injury rates, and non-motorized user

fatalities and serious injuries. CDOT works with the MPOs and numerous safety stakeholders to annually establish safety performance measure targets for the above areas by the annual deadline of July 31 considering all of the factors in Colorado influencing transportation safety.

The Rail-Highway Grade Crossing program (23 U.S.C. 130) uses an agreed upon procedure for project selection in accordance with 23 C.F.R. 924. In addition, grade crossing crashes are tracked with the help of law enforcement agencies and other Branch resources to respond quickly to crash sites to ensure that any safety issues are addressed.

As per Section 148(g)(1) of title 23, United States Code (U.S.C.), Colorado is subject to the requirements of the High Risk Rural Roads (HRRR) Special Rule, which states that States where the fatality rate on rural roads increased over the most recent two-year period to obligate a specified amount of funds toward HRRR safety projects in the next fiscal year. Specifically, the law requires that Colorado obligate in the next fiscal year an amount equal to at least 200 percent of the amount apportioned to the State for the HRRR Program.

The Branch, with the support of the FHWA Safety Program Manager, will comply with Section 23 CFR 630.1008(e) which states that “In order to assess the effectiveness of work zone safety and mobility procedures, the States shall perform a process review at least every two years”.

The Branch also serves as the State's steward of Colorado traffic crash data and associated databases to satisfy requirements in 23 USC 148 and 23 USC 405. The Branch administers both NHTSA and FHWA funding to improve the accuracy, completeness, timeliness, consistency, integration, and availability of the data after receiving the crash records from the Department of Revenue(DOR). The Branch is advised by, and also serves on and participates in achieving the strategic plan of the STRAC (Statewide Traffic Records Advisory Committee), made up of representatives from the Colorado Departments of Transportation, Revenue, Public Health and Environment, Human Services, Public Safety, the Office of Information Technology, and the Judicial Branch. Crash data serves as the foundation in planning safety mitigation projects and programs.

The CDOT Highway Safety Office (HSO) administers the state's traffic safety programs funded by the National Highway Traffic Safety Administration (NHTSA) in 23 USC 405.

CDOT ROLES AND RESPONSIBILITIES

CDOT Traffic and Safety Engineering Branch will administer FHWA safety infrastructure programs in collaboration with the regional traffic sections. These programs include HSIP, work zone safety and mobility, the flagger program, and various standards, specifications, manuals, and other references related to traffic engineering and safety (such as Manual on Uniform Traffic Control Devices (MUTCD), Highway Safety Manual, CDOT Standard Plans and Specifications). The region traffic sections are responsible for the development of safety project scopes, schedules and budgets; delivering the safety projects; implementing safety recommendations on all projects as applicable; installing, maintaining and operating traffic control devices around Colorado; and developing or reviewing work zone traffic control plans, signing, striping, and other traffic control device plans.

The Traffic and Safety Engineering Branch is primarily responsible for safety program administration, standard designs and specifications for safety hardware devices used in construction projects, directing the safety assessment functions, assisting the regions with the selection of safety projects, facilitating the regions in the development of policies and procedures, providing and/or coordinating technical training and assistance, and overseeing the safety quality assurance effort.

The HSO will administer the non-infrastructure safety programs including the Colorado ISP which incorporates all safety program funding. This plan will identify the overall state safety objectives and the programs and resource allocations to be implemented annually to reach these objectives.

CDOT will manage the overall HSIP in accordance with 23 USC 148 and 23 CFR 924. CDOT will prepare an annual report on the progress made and on the effectiveness of the HSIP. The report will be submitted to FHWA on or before August 31st of each year. The report contents will substantially follow the HSIP Reporting Guidance document developed by FHWA for this program.

CDOT will maintain a documented process, approved by FHWA, for programming projects that conforms to 23 USC 148 and 23 CFR 924. This documented process will be updated by CDOT as needed. All changes to this process will be approved by FHWA.

CDOT leads the establishment of annual safety performance measure targets in accordance with FAST. Input from a variety of safety stakeholders, both internal and external to CDOT, is considered in the setting of the annual targets. CDOT collaborates closely with the MPOs of Colorado during the setting process to enable MPOs to establish their own annual targets as required by FAST.

This strategic safety plan is the vision document and roadmap for guiding and developing the annual Colorado Integrated Safety Plan (ISP). The ISP meets the annual safety program planning requirements of the NHTSA as well as the annual HSP requirements of FHWA. The goal of the ISP is to strategically reduce traffic deaths on Colorado's highways in as many ways possible. Primary focuses of the program include reducing impaired driving related traffic deaths, increasing adult seat-belt and other restraint use, reducing motorcyclist, pedestrian, and bicyclist fatalities, and improving Colorado's roadway infrastructure to increase safety. Public information and outreach activities are coordinated along with training and education services.

FHWA ROLES AND RESPONSIBILITIES

FHWA exercises its oversight responsibilities through review of the annual program of projects, review of program processes, and review of annual reports, as well as through various approval and acceptance actions in accordance with 23 USC 148, 23 CFR 924 and other guidance as released by FHWA.

The Colorado Division Highway Safety Engineer works in conjunction with CDOT in the areas of safety and traffic operations. This involves promoting and providing guidance on new national initiatives for increasing safety, decreasing the potential for crashes on all highways, minimizing the number of serious injuries and reducing fatalities. The Highway Safety Improvement Program (HSIP), originally established by SAFETEA-LU, is a core program. The safety program provides funding through Fixing America's Surface

Transportation Act (FAST Act) to CDOT for the HSIP and Rail-Highway Grade Crossing Programs. FHWA has responsibility for approving the processes developed and set forth in CDOT's HSIP. Additional FHWA responsibilities, which are delegated to CDOT, include offering assistance to local governments in performing traffic engineering studies, and providing training and technical assistance to CDOT employees, Bureau of Indian Affairs (BIA) personnel and local agency personnel.

- FHWA participates as a team member in CDOT-led task forces and teams, formed as needed to address perceived needs or problems.
- FHWA participates as a member of various CDOT committees that are responsible for assessing traffic control practices and safety, as well as new traffic and safety-related technology and devices.
- FHWA may conduct inspections, including finals, on a statewide sampling basis through annual and process reviews.
- FHWA will provide ongoing technical assistance in the planning, implementation, and evaluation components of the HSIP.
- FHWA and CDOT serve as members of the engineering-related SHSP emphasis area committees providing direction in strategies.

FHWA will set aside a portion of the State's FY 2018 Highway Safety Improvement Program (HSIP) funds along with an associated one-year obligation limitation. This set-aside will be entered into the Fiscal Management Information System (FMIS) under program code ZS60, which will allow FHWA to track the amount obligated under this provision and ensure that funds are obligated by the end of FY 2018.

NHTSA ORGANIZATION

The highway safety programs outlined in 23 CFR Part 1205 are eligible for federal funding under the State and Community Highway Safety Grant Program (23 U.S.C. 405). The Section 405 Safety Program is administered by NHTSA on the national level and by the Governor's Highway Safety Representative (currently CDOT Executive Director) at the state level. Programs developed under these guidelines are eligible for federal funding issued by NHTSA and FHWA. NHTSA is responsible for FHWA's portion of Section 405 that involves program oversight, eligibility, and administrative activities. FHWA's role is to provide technical assistance and support when appropriate. HSO is responsible for the day-to-day administration of this program. NHTSA is primarily responsible for approval of the statewide ISP for the Roadway Safety Program area of Section 405 and management and program reviews.

QUALITY ASSURANCE APPROACHES

Quality of safety programs is ensured by CDOT through evaluation of safety cost effectiveness and/or value derived from the safety programs and projects and assessment of progress on key safety performance measures, as reported in the Annual HSIP reports. The continuous quality improvements process of the Traffic and Safety Engineering Branch and Problem Identification conducted by HSO are used to prioritize limited funds to

determine which initiatives have the greatest impact on highway safety in the areas of engineering and human factors (behavior). The quality is enhanced through collaboration with others to include FHWA, which provides technical assistance for the HSIP and individual projects. Quality is monitored through ongoing operations and the regional and project oversight that consists of work zone traffic control reviews, process reviews, scoping reviews, and Quality Assurance Reviews.

In conducting safety analysis, CDOT analyzes crash data using the latest and proven methodologies that are consistent with the HSM as well as current research. CDOT screens for locations that have a comparatively high concentration of crashes and correctable crash patterns, which are then categorized as locations with high potential for crash reduction. Through routine safety assessments, HSIP planning, or other statewide safety program planning, CDOT analyzes these locations and provides recommendations for mitigation that are both researched and proven (as documented in NCHRP Report 500 and in FHWA's Guide on the use of Proven Safety Countermeasures) in conjunction with other innovative strategies applied towards safety improvement.

The processes of this program are documented in 23 CFR, along with CDOT procedural directives and policies, operational guidelines, etc. This information is shared with those who need to understand how the process operates. In addition, meetings are an integral and critical method of process and operational communications.

Traffic Control Reviews: CDOT Area Engineers, with the support of Staff Traffic Engineers, Region Traffic Engineers, and FHWA Area Engineers will jointly conduct annual traffic control reviews to monitor traffic control on construction projects to ensure conformance with established regulations, policies, procedures, and guidelines. FHWA area engineers and the Division highway safety engineer will be invited to the region annual traffic control reviews.

Work Zone Safety and Mobility Process Reviews: The Branch, with the support of the FHWA Safety Program Manager, will comply with Section 23 CFR 630.1008(e) which states that "In order to assess the effectiveness of work zone safety and mobility procedures, the States shall perform a process review at least every two years".

PERFORMANCE MEASURES

The following performance measures will be used to assess the effectiveness of the Traffic and Safety Program:

Table - Performance/ Compliance Measures (Traffic and Safety Engineering)

PM #	Measure	Description	Reporting Mechanism	Reporting Frequency	Target/ Baseline
336	Reduce alcohol-related fatal crashes	Alcohol-related fatal crashes as a percentage of overall fatal crashes	Colorado Highway Safety Program Annual Report	Calendar Year	Less than 45%
376	Reduce crash data processing time	Number of months crash data processing is backlogged	Colorado Highway Safety Program Annual Report	Calendar Year	Less than 6 months

10. FINANCIAL MANAGEMENT

INTRODUCTION

Financial Management encompasses the entire Federal-aid program from the authorization of a project through expenditure, billing and final closure. This includes all phases (right of way, utilities, preliminary engineering, and construction of a capital project as well as non-infrastructure projects such as planning and research. Oversight is performed at headquarters, regional business offices, and during project site visits to ensure eligibility of Federal-aid funds.

PROGRAM OVERVIEW AND METHOD OF OPERATION

FHWA and CDOT personnel maintain a cooperative working relationship in the administration and oversight of financial management. Communication and interaction between FHWA and CDOT occurs routinely for the exchange of information, coordination of activities, and the resolution of issues in the financial management areas of Accounting, Budget, Audit, Obligation Control, Systems Integrity and Control and Process Reviews and Federal reimbursement.

CDOT ROLES AND RESPONSIBILITIES

The following organizations have a direct impact upon the financial operations and subsequent reviews of financial data processed through established automated systems.

The Division of Accounting and Finance - Office of Financial Management and Budget is responsible for the development and coordination of the Statewide Transportation Improvement Program, the Department's Budget, the federal obligation process, and overall financial management of the Department's resources. The Division of Accounting and Finance - Center for Accounting manages the payment of vendors and employees, billings of accounts receivable, transaction reviews and edits to assure accuracy and eligibility of expenditures, project expenditure reviews and subsequent closure, federal aid billing, and financial reporting.

The Division of Audit conducts performance, process or internal control audits of CDOT operations to assure effectiveness, efficiency and compliance with rules and regulations. Audit is also evaluating the possible utilization of FHWA Financial Integrity Review and Evaluation (FIRE) program risk assessment for performing an internal audit of the highest risk areas in a future work plan.

The Office of the State Auditor (OSA), or its contractor, performs an annual statewide financial audit on the financial condition of CDOT and its compliance with FHWA and state requirements. Such audits are performed to comply with the requirements of the Single Audit Act.

FHWA ROLES AND RESPONSIBILITIES

FHWA provides the Federal-aid funds for highways and monitors usage of the funds with staff from the Division and national levels. FHWA staff also participates in risk response strategies and regional or national reviews as appropriate. FHWA FIRE plan requires certain reviews be conducted. The review may be conducted solely by FHWA or in conjunction with CDOT. The primary FHWA financial support comes from the Division's Finance and Administration Team, which includes a Financial Manager, a Financial Specialist and a Program Assistant.

QUALITY ASSURANCE APPROACHES

Successful financial management incorporates a series of processes adding value to the operation relative to available resources, time, and management philosophy. General emphasis areas include: improvements and enhancements to financial management systems and processes, assurances of compliance, improved control of funds, and adequate project management systems and reports. Quality control and assurance efforts embrace the philosophy of the National Quality Financial Management Initiatives.

The primary quality controls of the financial system are the edits and security that control the quality of outputs. Quality control efforts also consist of periodic process reviews conducted by selected staff from CDOT and/or single audit reviews. The reviews result in either an affirmation of the process or an identification of potential areas for improvement. They also provide an opportunity for identifying training needs.

CDOT and FHWA are committed to working together to provide improvements and enhancements to Financial Management Systems and Processes to:

- Ensure the integrity of the financial management system and to maximize the use of federal and state funds;
- Revise and streamline the financial management system so that each process adds value to the operation and incorporates the best practice;
- Assist in the identification and prioritization of improvement efforts through the results of the quality control process reviews, internal audits, and regular single audit reviews conducted by the State Auditor's Office. CDOT management and FHWA both have input regarding audit emphasis areas.

The process is documented in the Office of Financial Management and Budget Policy and Procedure Manual, dated April 20, 2011.

PERFORMANCE MEASURES

The following performance measures will be used to assess the health of the Financial Management Program:

Table - Performance Measures (Financial Management)

PM #	Measure	Description	Reporting Mechanism	Reporting Frequency	Target/ Baseline
1444	Federal funds inactive relative to annual apportionment	Federal funds inactive should be no more than 1-2%. 2% is the official FHWA target and 1% is the Colorado target.	PM	Federal FY	Less than 1% = Excellent, Less than 2% = Good, Greater than 2% = Poor

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1445	Closure of federal aid projects (including non-construction) in calendar days	The average # of calendar days after the final federal expenditure/billing date to closure in Fiscal Management Information System (FMIS).	FMIS	Federal FY	Average not to exceed 365 days
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11. MAINTENANCE AND OPERATIONS: HIGHWAY MAINTENANCE

INTRODUCTION

CDOT has within the Central Office a Division of Maintenance and Operations (DMO). In support of the Transportation Commission's stated Investment Categories of Asset Management, Mobility, and Safety, the Division of Maintenance and Operations has two primary functions: 1) providing policy and guidance for the state maintenance program, and 2) maintaining operational oversight for the administration of the maintenance program for the nine maintenance and five traffic sections.

PROGRAM OVERVIEW AND METHOD OF OPERATION

DMO operates with four main focal areas intended to provide leadership in management practices to employee development. The focal points continue to improve our levels of service to our customers, develop our staff and advance our work process for the future.

The four focal areas are:

- Decision Making - developing decision making tools for Region Managers and field staff by providing access to data.
- Preservation - increasing the Department's focus on preservation treatments in our Bridge, Pavement and Equipment programs.
- Resiliency - Advancing the Department's resiliency and ability to respond to disasters.
- Employee Development - developing employee skill sets with a focus on technology, across the Department to better meet the future demands of transportation.

CDOT ROLES AND RESPONSIBILITIES

DMO is responsible for providing guidance and policy for the state maintenance program. DMO is centrally located in the Denver Metro area at the CDOT headquarters office.

Region Maintenance and Traffic sections are responsible for direct maintenance of CDOT's highway assets and ensuring the roadways are safe for the traveling public.

The Maintenance Asset Engineering Services Unit performs as the asset manager for Highway Tunnels and is the liaison between Maintenance and Staff Bridge. The unit represents tunnels as one of the several asset classes developed.

The Maintenance Asset Engineering section give guidance on preventative maintenance. The unit give guidance on bridge cleaning, permanent water quality (PWQ) and other routines. The unit is the liaison between inspection programs including HQ water quality for facilities and PWQ, and Staff bridge and tunnel inspections. The unit ensures Maintenance section correct inspection findings.

This unit is the liaison between DTD and maintenance roadside operations including vegetation management, and noxious and invasive weed control. This unit acts as a liaison between CDOT and the Colorado Dept. of Agriculture with roles as CDOT's State Noxious Weed Coordinator.

In addition, this support unit is responsible for maintenance specifications, maintenance contracting MTCE-project program. The unit maintains manual and tracks annual projects.

In addition, liquid deicer materials testing and specifications for maintenance items on the Approved Products List (APL) managed by the HQ Materials and Geotechnical unit.

FHWA ROLES AND RESPONSIBILITIES

The FHWA Maintenance Program Manager will coordinate with CDOT liaison to assure that all pertinent federal requirements are met.

QUALITY ASSURANCE APPROACHES

The Division of Maintenance and Operations (DMO) utilizes the Maintenance Levels of Service (MLOS) process as their maintenance quality assurance program. MLOS includes the annual review of over 1,000 survey segments and quarterly night inspections of every highway CDOT is responsible for maintaining. In addition, real time inspections are completed during and after snow storms for levels of service in snow removal and bridge and pavement condition data are utilized to for pavement and bridge levels of service. The MLOS process develops and drives CDOT maintenance budgets.

FHWA Field Area Engineers will review their CDOT regions with respect to the following critical elements (listed under 23 CFR 635.505): roadway surfaces, shoulders, roadside (e.g. vegetation management, erosion control, and litter pick-up), drainage, bridges and tunnels, snow and ice control, traffic control devices, safety appurtenances (e.g. guardrails, impact attenuators, breakaway supports, barriers, etc.), safety rest areas, access control, and traffic safety in maintenance and utility work zones.

The DMO maintenance procedures are documented in the 2019 Manual of Maintenance Procedures manual.

PERFORMANCE MEASURES

The following Performance Measures will be used to assess the health of Highway Maintenance Program:

Table - Performance Measures (Highway Maintenance)

PM #	Measure	Description	Reporting Mechanism	Reporting Frequency	Target/Baseline
271	Maintain the transportation system at the adopted annual MLOS grade	Annual MLOS adopted target grades for Maintenance Program Areas 150, 200, 250, 300, and 350	MLOS actual grades from annual survey	State FY	TBD ¹
270	Maintain the annual LOS snow grade at the adopted grade	Annual for snow and ice removal	MLOS reporting	State FY	TBD ¹

¹ See SOA Annual Report; target is determined annually, based on CDOT funding allocation

12. MAINTENANCE AND OPERATIONS: INTELLIGENT TRANSPORTATION SYSTEMS (ITS)

INTRODUCTION

The overall purpose of the ITS/Technology program is to use innovative technology and strategies to enhance and improve operations of the transportation system by implementing advanced traveler information, advanced traffic and incident management and other applications that improve mobility and safety of the system for all travelers. Over the last decade, rapidly changing technology has impacted the implementation of operational applications and how technology can be used to improve operational effectiveness. Advances in wireless communications, Digital Short Range Radio (DSRC) & Cellular to Vehicle (C2X), connected vehicles, higher quality and higher volume of transportation data (a.k.a. "Big Data"), traveler information, and smarter roadways have significantly improved the capability of ITS to impact operations on a greater level and at the same time the ability to deliver more sophisticated, focused and real-time operational services. Some examples of these services and applications are: Adaptive Traffic Signal Control, Dynamic and Integrated Ramp Metering Access System Control, Freeway to Freeway Ramp Metering, Personalized Traveler Information using geo-fencing and targeted information, Active Traffic Management, Managed Lanes, Peak Period Shoulder Lanes, Variable Speed Limits (VSL), real-time video analytics cameras, weather stations, incident detection software, unmanned aerial systems, and others. ITS is one of the primary, if not the foremost, transportation tools that can provide high-levels of quantifiable and visible operational benefits on the entire transportation system more rapidly and at a lower cost than other traditional transportation applications, while providing a force multiplier on resource productivity. The goals are to improve safety, reduce traffic delays and congestion and increase system reliability so that the transportation system can operate as effectively and efficiently as possible.

PROGRAM OVERVIEW AND METHOD OF OPERATION

The ITS staff persons of CDOT and FHWA work closely together to develop and deliver a quality product through teamwork and close coordination. Each organization has the goal of advancing and implementing an ITS program on the leading edge of technology in order to maximize the operational efficiency of the state's transportation system. This working relationship meets the needs of our customers. Additionally, FHWA provides technical assistance, guidance, and oversight in applying federal laws and regulations, and in developing and deploying technology. These program activities include the use of ITS in transportation methods and procedures used by traffic engineers to manage and operate roadways, and ITS standards and specifications used for the procurement of traffic control systems.

The ITS program coordination and oversight are maintained through ITS manager's meetings, monthly DRCOG Regional Transportation Operations meetings and other ITS project related meetings involving CDOT ITS and Regional staff and FHWA's ITS Program Manager.

All projects (including ITS projects) that have Federal-aid funds, regardless of roadway classification, are subject to FHWA "Full-Oversight". FHWA has developed certain factors, including workload distribution, which are considered to determine appropriate oversight

level. Also, FHWA performs Program Accountability Reviews on Designated-Oversight projects, which could include ITS projects, based on certain risk areas identified in the previous Annual Construction Program Report. CDOT has programmatic responsibility to coordinate efforts related to developing statewide Findings in the Public Interest (FIPs) including coordination with FHWA regarding FHWA oversight responsibility as identified in the 2016 Stewardship and Oversight Agreement, Section 10.4.2.

In addition, ITS projects are required to conduct a Systems Engineering Analysis (SEA) commensurate with the scale and scope of the project, which is determined by the project risk assessment level. FHWA has delegated programmatic responsibility to CDOT ITS for low risk projects but retains oversight for medium and high risk projects. SEA is a structured process for arriving at a final design of a system and an approach to building systems that enhance the quality of the end result with feedback on operations to allow for changes and upgrades through the life of a system

CDOT ROLES AND RESPONSIBILITIES

The ITS Branch consists of the following four Sections whose primary responsibility is:

1. **Technology**: Ensure that Colorado Transportation Management System, Cotrip.org, network equipment, servers, cloud based data and analytics, fiber communications backbone and O databases function properly and are operational 24/7. Technology Team manages big data efforts with the INRIX Traffic application to make use of statewide travel condition data that can be used to enhance performance measures and business decisions. Oversee connected vehicle deployment efforts and other efforts to support expansion that impact the ITS network. This also includes preparing the CDOT highway network to facilitate connected vehicle and autonomous vehicle technology.
2. **Maintenance**: Perform maintenance on the statewide ITS infrastructure as effectively and efficiently as possible in order to ensure maximum operational functionality and best use of available resources. This also includes tunnel technology for EJMT and Fiber protection and repair.
3. **Engineering**: Design and deliver high-quality projects and provide technical assistance and support to the regions and other agencies. Typical examples may include upgrades to the fiber optic network, VSL signs, VMS, and truck parking/chain up station management systems.
4. **Program Support**: Provide ITS asset programmatic oversight, administer Operations Evaluation and SEA process for ITS projects, work with CDOT regions to develop TSM&O Implementation and Corridor Plans to provide strategic, coordinated and systematic ITS statewide implementation and deployment, update the ITS Statewide Architecture. This function is responsible for all database and record keeping of ITS assets and condition. This function will have an expanded role to support statewide utility efforts to confirm additions and disconnect of utilities within all of CDOT.

FHWA ROLES AND RESPONSIBILITIES

FHWA ITS Program Manager leads the Division's efforts to mainstream ITS technology by continuing to increase the level of understanding of planners, engineers, officials and citizens within Colorado by providing awareness seminars, participation in ITS planning activities, and conducting or hosting technical training. In the Division, it is the responsibility of the ITS Program Manager and the Traffic and Area Engineers assigned to each of the five regional CDOT offices to provide close project management and coordination. The Traffic and Area Engineer will routinely review the ITS aspects of FHWA oversight projects during the design and construction phases for conformance with approved standards, specifications, and procedures. Questions or concerns are brought to the ITS Program Manager's attention. The Traffic and Area Engineer will rely on the ITS Program Manager for technical expertise or interpretation of ITS policy requirements.

The ITS Program Manager will have the lead on all ITS federally funded projects. An ITS project is defined as the application of technology devices, computers and communications infrastructure to address and solve transportation related problems. This includes the application of advanced technologies to control, manage, or otherwise provide guidance to the public. Other examples include advanced traffic management systems, advanced traveler information systems, etc. The FHWA oversight responsibility covers project initiation, right of way and/or environmental clearances, design reviews, and periodic construction inspections.

QUALITY ASSURANCE APPROACHES

To ensure quality within the ITS Program, FHWA actively participates in the Metropolitan Planning Organization's ITS working groups and was instrumental in assisting CDOT and DRCOG with the development of the System Engineering Analysis Guidelines. As a condition of spending federal dollars on ITS projects, federal law requires that all ITS projects comply with the system engineering analysis (SEA) process including all ITS architecture and standards requirements to assure successful implementation and quality of the project. FHWA participates in a technical manager's meeting that tracks the project's progress on an as-needed basis. This guarantees that the project is implemented in accordance with the project schedule and budget thereby ensuring quality. FHWA also participates in ITS Branch team meetings. This ensures that FHWA is aware of, and appropriately involved in, all planning level related ITS activities. The ITS Branch actively participates on the Quality Implementation Committee. In addition, FHWA participates in several CDOT statewide Traffic Engineer/Operations meetings per year that are attended by region Traffic Engineers who are also responsible for ITS projects in their respective region.

CDOT reports on corridor-specific congestion and incidents in the CDOT Performance Plan, which is shared with the state legislature. The information from the Governor's Vision 2019 Dashboard will be shared in the Stewardship and Oversight Agreement Annual Report.

PERFORMANCE MEASURES

The following performance measures will be used to assess the health of the ITS Program:

*FHWA-Colorado Division and Colorado Department of Transportation
2020 Stewardship and Oversight Agreement*

Table - Performance Measures (ITS)

PM#	Measure	Description	Reporting Mechanism	Reporting Frequency	Target/ Baseline
1450	Technology availability	Measure the uptime of critical technology and fiber backbone	ITS Work Plan Performance Measures	Calendar FY	Track trend
1451	Mean time to restore (MTTR)	How long it takes to restore the technology	ITS Work Plan Performance Measures	Calendar FY Semiannual Reporting	Track trend
489	Device useful life (UL)	Percentage of Useful Life of the technology	ITS Work Plan Performance Measures	Calendar FY	90%
1446	SEA completion	Percent of projects with an ITS element that have completed a SEA	SEA Tool	Calendar FY	Track trend

13. MAINTENANCE AND OPERATIONS: REAL-TIME OPERATIONS

INTRODUCTION

The Real-time Operations Services Branch facilitates the Department's commitment to place a higher strategic emphasis on delivering statewide operations and to align and consolidate critical traffic incident, event and regional operations functions with other traffic and traveler operational activities.

This section is primarily focused on Real Time Operations Services unit, with only a brief overview of other units.

PROGRAM OVERVIEW AND METHOD OF OPERATION

The Real-Time Operations Services Branch covers the following services:

1. Real Time Operations Services: This unit directly oversees the Golden (Statewide) Operation Center, and Statewide Program Management for the Operation Center and Traffic Incident Management programs. Some CDOT Regions also have an operation center for local dispatch and public messaging.

The Operation Centers Program executes day-to-day dispatch and public messaging missions, currently from four operation centers: 1) Golden - Statewide Operation Center, 2) Eisenhower Johnson Memorial Tunnel - I-70 Mountain Corridor, 3) Pueblo - Southeast Colorado, and 4) Hanging Lake Tunnel - Western Slope. There is also a Statewide Program Coordinator that ensures consistent policies/procedures, systems, and training.

The Traffic Incident Management Program executes the statewide structure for responder safety and "quick clearance," in alignment with Colorado's Move Over law. This specifically includes Safety Patrol/Heavy Tow contract management, TIM policy/procedures, TIM training, TIM website, annual TIM conference, and administration of the TIM track. In addition, the First Responder Safety Committee created the first Statewide Traffic Incident Management Strategic Plan.

2. Avalanche Mitigation: This unit provides technical support and training to establish standards and guidelines and collect, compile, and disseminate avalanche information. This unit also administers the avalanche and explosives programs statewide, as well as setting standards for avalanche operations.
3. Winter Operations: This unit ensures that department goals for LOS are being met, develops standard practices for product usage, operation standards and treatment recommendations, and driving innovation in all aspects of winter operations.
4. Managed Lanes (Maintenance Section 10): Maintenance Section 10 oversees the maintenance and operation of all managed lanes within the state of Colorado. These managed lanes include the I-70 Mountain Express Lanes (Peak Period Shoulder Lanes), US 36 Express Lanes and the I-25 North Express Lanes.

5. Office of Emergency Management: Office of Emergency Management (CDOT-OEM), Department of Transportation. The importance of safe and reliable travel for the motoring public is CDOT's number one concern. CDOT-OEM coordinates operational readiness for all - hazards on the State's imminent large - scale threats. Coordinates within Regions / Sections for operational and logistical support. Among other duties, Interagency coordination of efforts is a key to successful emergency management.
6. Oversize/Overweight Permits: The work unit exists to administer a statewide transport permit program for extra-legal vehicles and loads in order to protect the traveling public and the state's infrastructure.

CDOT ROLES AND RESPONSIBILITIES

The Real-time Operations Services Branch is comprised of a Branch Manager, Statewide Operation Center Program Coordinator, Statewide TIM Program Coordinator, and the Golden Statewide Operation Center staff. CDOT executes these programs from a day to day perspective, and is directly responsible for the program missions.

Operation Centers:

- Policy/Procedures/Systems/Training
- Maintenance and Safety Patrol Dispatch
- Public Messaging (VMS, CoTrip, 511, Email and Text Delivery)
 - Note: The Public Information Office also messages via Social Media and interacts with the Media.

Traffic Incident Management:

- Policy/Procedures/Training
- Safety Patrol/Heavy Tow Contract Management
- TIM Website - Local Coalition Resources
- TIM Track
- TIM Conference
- Regional TIM Plans coordinated with Colorado State Patrol and SPMT's.

FHWA ROLES AND RESPONSIBILITIES

Within the Colorado Division, there is a Program Development team with a primary operations point of contact or program manager. The Colorado Division's Program Development Team provides stewardship, oversight, and leadership for the management and operation of the surface transportation system in Colorado. The FHWA Operations Program Manager works directly with the Real-time Operations Branch as it pertains to the delivery of these programs meeting federal standards and guidelines. The FHWA Program Manager also assists in program development by conducting benchmarking/research activities that are outside Colorado (e.g. National and/or other states best practices).

QUALITY ASSURANCE APPROACHES

To ensure quality within the activities that pertain to the Real-time Operation Services Branch, FHWA routinely meets with members of the Branch informally and in meetings to discuss and track progress of the activities on an as-needed basis. FHWA also participates in scheduled team meetings with both the Real-time Operations Branch and the ITS Branch. This ensures that FHWA is aware of, and appropriately involved in, all planning level and implementation related activities.

PERFORMANCE MEASURES

The following performance measures will be used to assess the health of the Real-Time Operations Program:

Table - Performance Measures (Real-Time Operations)

PM #	Measure	Description	Reporting Mechanism	Reporting Frequency	Target/ Baseline
815	Interstate level of travel time reliability (LOTTR)	Percent of person-miles traveled on the Interstate that are reliable per federal requirements	Highway Performance Monitoring System (HPMS)	Calendar Year	National Performance Measure Targets: 2020: 81% 2022: 81%
816	Non-Interstate NHS level of travel time reliability (LOTTR)	Percent of person-miles traveled on the Non-Interstate NHS that are reliable per federal requirements	Highway Performance Monitoring System (HPMS)	Calendar Year	National Performance Measure Targets: 2020: 64% 2022: 64%
386	CDOT safety patrol assists ¹	Measure the number of CDOT Courtesy Patrol Assists	CTMS Software	Calendar Year	Track trend
665	Non-CDOT safety patrol assists ²	Measure the number of non-CDOT Courtesy Patrol Assists on E-470	E-470 Highway Group Data	Calendar Year	Track trend
666	Hits for CDOT traveler tools	Measure the number of hits for CDOT traveler tools that customers have accessed on CoTrip in order to identify trends to improve information consumption by the public	Google Analytics CoTrip Site	Calendar Year	Track trend
667	Number of CDOT push notifications	Measure the number of CDOT communications pushed out (i.e., public email/text alerts) in order to identify trends to improve information consumption by the public	CARS information	Calendar Year	Track trend
1404	Number of lane miles covered by TIMS coalitions	In coordination with Department of Public Safety and Colorado State Patrol, increase the number of lane miles covered by TIM coalitions	CSP Troop Captains	Colorado Fiscal Year	2020: 8,928 2022: 10,000

¹ The CDOT Safety Patrol operates on selected routes such as: US 6, I-25, US 36, I-70 and C 470, Monday through Friday during morning and afternoon peak periods. The assists include, but not limited to, the following services: accident, flat tire, fuel transfer, jump start, passenger transfer, and tow to drop site, used phone and water transfer.

² The non-CDOT Safety Patrol includes the E-470 Highway Group's courtesy patrol for the 470 highway network, which is managed by HPTE. The assists include, but not limited to, the following services: abandoned, customer resting, air, secure load, directions, telephone, drive off, flat tire, fluid, fuel, GOA, wave off, overheat, jump, mechanical, other, accident, incident, plaza security check and litter. There is not currently data available for Northwest Parkway.

14. TRANSPORTATION DEVELOPMENT: APPLIED RESEARCH AND INNOVATION

INTRODUCTION

The Applied Research and Innovation (Research) program includes activities related to transportation technology.

PROGRAM OVERVIEW AND METHOD OF OPERATION

The role of FHWA is to conduct research of national focus and to transfer those technologies to state and local transportation agencies. The role of CDOT's Research Branch is to conduct research specific to state transportation needs and problems and to transfer technologies developed elsewhere into practice in Colorado.

CDOT ROLES AND RESPONSIBILITIES

The Research, Development, and Technology Transfer program (RD&T) at CDOT is the responsibility of the Applied Research and Innovations Branch (ARIB) of the Division of Transportation Development (DTD). The Structures and Technology Applications Team will handle the Federal-aid operations of research and technology transfer activities.

The primary products are:

1. Applied research: The study of phenomena relating to a specific known need in connection with the functional characteristics of a system to answer a question or solve a problem;
2. Development: The translation of applied research results into prototype materials, devices, techniques, or procedures for the practical solution of a specific problem in transportation; and
3. Technology Transfer: Dissemination, demonstration, training, and other activities that lead to the eventual deployment of a new technique or product.

FHWA ROLES AND RESPONSIBILITIES

FHWA Research Program Manager is the primary liaison for research related activities with CDOT. The Manager will approve the CDOT Research Manual and review final research reports produced by or for CDOT to ensure Federal-aid funds are appropriately used. In addition, the Manager will serve on CDOT Research Implementation Council (RIC) that is responsible for guiding and directing the research and development program. The Manager provides expertise, leadership, and oversight of the Local Technical Assistance Program (LTAP). Also, the Manager serves as the principal advisor to CDOT on federal requirements for a variety of significant national studies, transportation needs, and administrative requirements.

QUALITY ASSURANCE APPROACHES

The purpose of RD&T at CDOT is to save Colorado money, time, and lives, and to improve the quality of life and the environment through the development and deployment of new or innovative methods, products, or materials in the planning, design, construction, and operation of transportation. The ultimate measure of quality is how effectively this is accomplished. To meet this purpose, research must be timely, relevant and valid when applied to priority real-world problems. It must also be cost-effective, and accurately documented and disseminated. The technology must be appropriately transferred to the practitioner so as to be effectively utilized.

Quality is controlled in RD&T through oversight and review by experts and stakeholders. Oversight Teams and RIC are used to help focus the research program into priority areas with urgent problems to be solved. Research study panels composed of subject matter experts and practitioners with an interest in utilizing the research results are used in conjunction with each research study. A peer review of CDOT's research management process will be conducted every three to five years by researchers from other state DOTs after being trained in techniques for performing a peer review. The last Research Peer Exchange occurred in October 2015.

FHWA and CDOT will also develop risk response strategies of CDOT's research process when necessary. This process is documented in the *Colorado Department of Transportation Research Manual (July 2015)*.

PERFORMANCE MEASURES

The following performance measures will be used to assess the health of the Research Program:

Table - Performance Measures (Research)

PM #	Measure	Description	Reporting Mechanism	Reporting Frequency	Target/Baseline
97	Percent of recommendations implemented	Percent of recommendations implemented or adopted within two years of final research report, using 5 years of data The research findings and recommendations will impact one or more of the following: improve design and construction methods, improve design and construction specifications, improve planning processes, impact maintenance practice, update manuals, initiate new programs, and provide new technology	Research Work Plan and Report	State FY	50%
412	Number of projects completed on schedule	The number of projects completed in the fiscal year on schedule	Research Work Plan and Report	State FY	10

15. TRANSPORTATION DEVELOPMENT: ASSET MANAGEMENT

INTRODUCTION

Asset management is a strategic and systematic process of operating, maintaining and improving physical assets, with a focus on engineering and economic analysis based upon quality information, to identify a structured sequence of maintenance, preservation, repair, rehabilitation and replacement actions that will achieve and sustain a desired state of good repair over the lifecycle of the assets at minimum practicable cost (FAST Act § 1106; 23 U.S.C. 119). CDOT invests in assets such as pavement, bridges, roadway equipment, and Intelligent Transportation Systems, as well as the maintenance of each of these assets.

The Department's Performance and Asset Management Branch (PAMB) coordinates with the program managers of these assets, Regional and Division staff, and other agencies to comprehensively manage the assets. PAMB's mission is to empower the Department's strategic planning and decision-making by providing tools that effectively measure, analyze, forecast and communicate to staff and transportation stakeholders the performance of CDOT programs and investment decisions.

PROGRAM OVERVIEW AND METHOD OF OPERATION

The Performance and Asset Management Branch facilitates performance measures and asset management dialogue within CDOT and with external stakeholders. This role has become critical with the Moving Ahead for Progress in the 21st Century legislation (MAP-21) of 2012 and the Fixing America's Surface Transportation Act (FAST) of 2015. Under these acts, state departments of transportation nationwide must develop and implement risk-based transportation asset management plans (TAMPs). CDOT submitted its Risk-Based Asset Management Plan Version 2 to FHWA in June 2019. FHWA found that the plan met the requirements set forth in 23 CFR 515.13(b)(1).

CDOT ROLES AND RESPONSIBILITIES

1. Transportation Commission: The Colorado Transportation Commission directs CDOT in the management of the state transportation system. The Commission is composed of commissioners who represent specific districts in the state and are appointed by the Governor to four-year terms. State law empowers the commission to formulate general transportation policy and to advise and make recommendations to the Governor and the General Assembly on issues related to transportation policy and CDOT's budgets and programs.
2. DTD: CDOT's Division of Transportation Development includes the following branches: Multimodal Planning, Information Management, Environmental Programs, Applied Research and Innovations, and Performance and Asset Management. The Planning, Information Management, and Performance branches work closely together to identify and meet federal requirements.

Asset managers throughout the Department provide expertise on the inventory, condition, and expected life cycle for their areas. PAMB works with the asset managers to understand the current and forecasted condition of assets based on

various levels of funding, using a budget scenario trade-off tool developed for this purpose.

3. Project Support: The asset program areas for pavement, bridges, walls, culverts, and geohazards fall under the Department's Division of Project Support.
4. Highway Maintenance: The asset program areas for maintenance, road equipment, tunnels, traffic signals and Intelligent Transportation Systems (ITS) fall under the Department's Division of Maintenance and Operations.
5. Buildings and Rest Areas: The buildings and rest areas asset programs report to the Office of the Chief Engineer.
6. OFMB: CDOT's Office of Financial Management and Budget (OFMB) within CDOT's Division of Finance and Accounting works with the Governor's Office of State Planning and Budget to determine CDOT's annual budget as well as short- and long-term revenue forecasts. PAMB works with OFMB to identify the overall budget available to the asset areas and determine which revenue assumptions should guide discussion across all assets.

FHWA ROLES AND RESPONSIBILITIES

The oversight of Asset Management activities at CDOT requires the development of a process to create a risk-based transportation asset management plan, and this process is certified by FHWA. CDOT worked closely with FHWA-Colorado Division Office staff to develop both its *Initial Asset Management Plan (2018)* and the *Risk-Based Asset Management Plan Version 2 (RB-AMP)* of 2019. CDOT will continue to work with the FHWA Division Office on demonstrating implementation of the 2019 RB-AMP.

QUALITY ASSURANCE APPROACHES

The RB-AMP (2019) includes:

- Inventory and condition of pavement and bridges on the National Highway System
- Asset management objectives and measures
- Performance gap identification
- Life-cycle cost and risk-management analysis
- A financial plan
- Investment strategies

PERFORMANCE MEASURES

CDOT submitted its most recent asset management plan to FHWA in June 2019. The Department will continue to demonstrate implementation of the plan, per federal requirements, in an annual letter to FHWA's Colorado Division Office.

16. TRANSPORTATION DEVELOPMENT: ENVIRONMENT

INTRODUCTION

The FHWA/CDOT Environment program is focused on avoiding, minimizing and mitigating potential adverse impacts of the transportation system on the people and the environment of Colorado in accordance with the National Environmental Protection Act (NEPA) and other applicable environmental legislation, regulations and policy direction. Timely compliance with the environmental requirements is critical for advancing projects. The regions, with assistance from the Project Development Branch and Division of Transportation Development (DTD), are charged with the responsibility of project development, construction, and maintenance of the Colorado transportation system in a manner that will preserve the social and natural environment.

PROGRAM OVERVIEW AND METHOD OF OPERATION

For the environmental function, FHWA maintains ultimate responsibility and approval authority for all activities requiring federal actions. Interagency coordination and stewardship are maintained through routine contacts in person, by telephone, by electronic mail, and in writing during the course of transacting normal business operations. Contact normally occurs between the FHWA Environmental Program Manager (Env PM) and CDOT's Environmental Programs Branch (EPB) Manager/ Environmental Program Section Manager. On specific project activities, stewardship and oversight coordination occurs between CDOT's decentralized Region Planning and Environmental Managers (RPEMs) and FHWA Area Engineers (AEs). CDOT EPB Manager/ Environmental Program Section Manager, FHWA Env PM, and CDOT Environmental Specialists assist in coordinating interagency approvals for various environmental resources impacted by projects.

Environmental considerations affect virtually all aspects of transportation. Coordination and interaction with other disciplines is necessary to administer the environmental program. Sometimes project-specific decisions affect statewide policy. In such cases, the RPEMs should consult with the EPB Manager/ Environmental Program Section Manager and FHWA Env. PM. Similarly, if CDOT EPB Manager/ Environmental Program Section Manager or FHWA Env. PM observes potential policy implications of project-level decisions, such concerns should be discussed with CDOT RPEM and FHWA AE. FHWA Program Development Team Leader and Env. PM will work with other federal agencies and the EPB Manager/ Environmental Program Section Manager on program and project matters to ensure statewide consistency in intergovernmental working relationships.

In the environmental functional area, there are several diverse factors that influence the quality of the products and services delivered. First, the timely delivery of specific environmental activities is critical to advancing transportation projects toward successful completion. For CDOT staff specialists, project compliance activities should be completed on or ahead of the established schedule date. For Region personnel, all NEPA documents should be completed in time for review and approval by FHWA prior to the scheduled project advertisement date. For major NEPA documents (Environmental Assessments [EAs] and Environmental Impact Statements [EISs]), EPB review will be completed prior to forwarding documents on to FHWA for approval, unless otherwise agreed to in advance per CDOT's Environmental Document Review Procedures (Chapter 8 of CDOT NEPA Manual). Second, CDOT's public involvement procedures should include soliciting the views of all

affected members of the public and should be implemented in accordance with Executive Order 12898 on Environmental Justice. The general effectiveness of this program can be measured by the number, substance, and general tone of both positive and negative comments received on the environmental documents. Third, FHWA and CDOT should constantly strive to improve the existing working relationships with the many resource protection agencies involved in the environmental functional area (the US Fish and Wildlife Service, the US Army Corps of Engineers, the US Environmental Protection Agency, the State Historic Preservation Office, the Colorado Parks and Wildlife, the Colorado Department of Public Health and Environment, etc.).

CDOT ROLES AND RESPONSIBILITIES

CDOT's environmental function is divided between the region environmental offices and the central office staff, consisting of the EPB. CDOT's environmental program consists of numerous interrelated responsibilities requiring close coordination between all parts of CDOT.

EPB generally has the lead in providing technical expertise to the regions and other CDOT Branches/Divisions, assisting regions with project development by helping scope a project for resource issues and applicability of NEPA/PEL approach, providing specialty clearances, reviewing of NEPA documents, resolution of special environmental issues, and development and implementation of memoranda of understanding and agreement with resource and regulatory agencies.

EPB also develops environmental streamlining initiatives, environmental policy guidance, programmatic agreements, and environmental data for use in the planning and project development process and assists regions and CDOT HQ Divisions/Offices/Branches including Maintenance and Operations (DHM), and the Materials and Geotechnical Branch (rock-fall prevention planning) in early corridor environmental analyses

Regions are responsible for all project development, and for construction- and maintenance-related environmental activities, with assistance from central staff as necessary.

FHWA ROLES AND RESPONSIBILITIES

Oversight of the environmental function in the Colorado Division Office is the responsibility of the Program Development Team Leader, Env. PM and the AEs assigned to each of CDOT's region offices. FHWA's primary responsibility is to review, interpret and provide guidance and training on environmental policy, procedures and regulations by maintaining active liaison with CDOT program and project personnel, and with other federal, state and local agencies. Assistance is provided to CDOT when addressing technically complex or controversial issues on general or project specific applications related to environmental policy and interagency coordination.

It is also FHWA's responsibility to ensure environmental requirements are properly satisfied on individual projects. FHWA reviews and approves all environmental documents (project categorization requests, NEPA documents, wetland findings, Section 106 compliance, and Section 4(f) Evaluations, etc.), with the exception of those that are subject to the

Programmatic Agreements or guidance between CDOT and FHWA, such as the review and approval of certain NEPA Categorical Excluded transportation projects.

QUALITY ASSURANCE APPROACHES

FHWA and CDOT review all environmental documents, attend public hearings and other project development meetings as necessary, and monitor news articles to assess the quality of work being planned and developed by CDOT. In addition to internal coordination, CDOT and FHWA will work with other state and federal reviewing agencies, Indian Tribes, local and regional governments, and the general public to ensure that their views on the environmental function are considered in developing areas for quality improvement.

Under the Stewardship and Oversight Agreement, CDOT and FHWA personnel work together as partners to continually review, evaluate, and improve the environmental program. The main emphasis areas of the Agreement are strengthening the environmental function by sharing information and correcting identified weaknesses. FHWA Env PM (or other designee) will be a member on the Environmental Advisory Committee (EAC) as issues arise. CDOT Region Environmental and Planning Managers will host quarterly meetings with FHWA, HQ, and regional environmental personnel to share information, improve the quality and consistency of the various CDOT regional offices, and instill an environmental ethic throughout the agency.

Annually, CDOT and FHWA should sponsor an Environmental and Planning Training Workshop for all region and headquarters environmental and planning personnel. The purpose of the workshop is to share lessons learned and best practices with each other, and to provide training on new requirements and refine expertise on various resource issues. In addition, National Highway Institute (NHI) courses and other resources will provide training to the environmental and planning personnel on specific environmental programs. Agencies with special expertise are invited to participate in training for CDOT/FHWA environmental program.

Information that documents the environmental program will be kept current, as information sources permit. CDOT's Project Development Manual and NEPA Manual will be continually improved on a resource-by-resource basis as necessary and appropriate. The list of Intergovernmental Agreements on CDOT's website <http://www.codot.gov/programs/environmental/resources/intergovernmental-agreements> will be reviewed and regularly updated. FHWA's Standard Operating Procedure for NEPA and Section 4(f) Review and Approval will be continually updated as laws, regulations, policies and procedures change and as FHWA HQ produces new materials. In addition, information on environmental tools, manuals/guides, and various resource issues can be found on CDOT's website at <https://www.codot.gov/programs/environmental>.

Proposed review areas will be included as recommendations to CDOT/FHWA Quality Improvement Council and become a part of the overall CDOT/FHWA Stewardship program.

PERFORMANCE MEASURES

The following performance measures will help assess the health of the Environmental Program:

FHWA-Colorado Division and Colorado Department of Transportation
2020 Stewardship and Oversight Agreement

Table - Performance Measures (Environment)

PM #	Measure	Description	Reporting Mechanism	Reporting Frequency	Target/ Baseline
1452	Completion time for environmental impact statements	The time to complete an EIS from Notice of Intent (NOI) to Record of Decision (ROD)	A list of all EISs completed in the calendar year, identifying the length of time along with a project description as added to previous years' data	Calendar Year	Track trend
625	Completion time for environmental assessments	The time to complete an EA from 45 days after the date of the initial Environmental Scoping Meeting through the Finding of No Significant Impact (FONSI) date	A list of all EAs completed in the calendar year, identifying the length of time along with a project description as added to previous years' data	Calendar Year	Track trend
1448	Completion time for planning and environmental linkages	The time to complete a PEL from Notice to Proceed until final acceptance	A list of all PELs completed in the calendar year, identifying the length of time along with a project description as added to previous years' data	Calendar Year	Track trend
104, 381-382	Active and completed NEPA documents	Projects that were active at any point in the year, and projects for which NEPA actions were completed	A list or table indicating number of active and completed NEPA documents in the calendar year divided by class of action (Categorical Exclusion [CE], EA, EIS) as added to previous years' data. A graph displaying a 5 year average of active projects to show workload will be included.	Calendar Year	Track trend
1447	Water quality measure	Number of findings of recalcitrant and chronic water quality violations and number of contractors receiving recalcitrant or chronic violations	Chief Engineer Objective	State FY	Track trend

17. TRANSPORTATION DEVELOPMENT: PLANNING

INTRODUCTION

Colorado state law states that transportation planning is the responsibility of CDOT's Division of Transportation Development (DTD) and that it should be carried out in cooperation with internal and external planning partners and in compliance with federal laws and regulations (i.e., FAST; 23 CFR 420, 23 CFR 450, 23 CFR 460, 23 CFR 470, and 23 CFR 490). The activities to be accomplished by DTD make up the framework of the annual State Planning and Research (SPR) work program, which is approved by FHWA. SPR funds are provided annually to CDOT and their programming is documented in the work program. DTD includes five branches: Multimodal Planning Branch (MPB), Information Management Branch (IMB), Performance and Asset Management Branch (PAMB), Environmental Programs Branch (EPB), and the Applied Research and Innovation Branch (ARIB).

PROGRAM OVERVIEW AND METHOD OF OPERATION

The MPB within DTD supports long-range and strategic planning, policy development and analysis, and development of the Statewide and Regional Transportation Plans. This Branch also oversees the planning process that includes both statewide and regional planning activities, as well as freight planning and bicycle/pedestrian planning. As part of its responsibility for the transportation planning process and plan development, MPB administers and coordinates regional and statewide planning through the 15 Transportation Planning Regions (TPRs). In addition, MPB consults with the two Indian Tribes and various federal land management, wildlife and regulatory agencies on the development of the long-range transportation plan. The MPB coordinates closely with CDOT Region staff, which lead planning activities within their Region. The TPRs (MPOs and non-urban) develop long-range regional transportation plans, which are the basis for Colorado's Statewide Transportation Plan (SWP). The five MPOs also develop transportation improvement programs (TIPs) and the non-urban planning regions participate in CDOT's Project Priority Programming Process (4P) to provide input on projects for the Statewide Transportation Improvement Program (STIP). The SWP and the STIP are approved by the Colorado Transportation Commission and the STIP is forwarded to FHWA/FTA for approval. The MPB is responsible for the administration of a number of funding programs, including Metropolitan Planning (Consolidated Planning Grant), Rural Planning, Safe Routes to School, Scenic Byways, National Highway Freight Program, Congestion Mitigation and Air Quality (CMAQ) Program, and Transportation Alternatives Program (TAP).

For the MPOs, FHWA and FTA Metropolitan Planning funds are allocated on the basis of a formula agreed upon by CDOT and the five MPOs. Based on expected funding, each MPO develops a Unified Planning Work Program (UPWP). The accomplishment of the UPWP is the responsibility of the MPO with CDOT MPB oversight and review. Mid-year reviews are conducted with each MPO by MPB and FHWA/FTA staff.

The MPB also supports the air quality conformity process required to meet planning regulations and oversees the non-infrastructure Congestion Mitigation and Air Quality (CMAQ) program. The EPB manages air quality analysis at the project level.

MPB Liaisons work closely with MPOs and TRPs in developing regional plans, administering Metropolitan Planning funds, developing products within the UPWP, and also serve as

members of the Technical Advisory Committee for each MPO. The Liaisons deal with political, financial and policy issues associated with the MPOs and TPRs on a regular basis and serve to represent CDOT Headquarters at TPR and MPO meetings. The MPB Liaisons also coordinate extensively with the CDOT regions, primarily through the Region Planners.

In performing planning functions, MPB staff work closely with the IMB, and PAMB.

The IMB prepares and submits highway information as required by FHWA. This Branch has two sections: GIS/Data Management and Mobility. The GIS/Data Management section is responsible for information management and data dissemination functions that contribute to the development of transportation plans, projects, and state/federal reports. CDOT program areas are supported with GIS applications, planning information, data analysis, mapping services, database programming and data integration. They are also responsible for the inventory of the state highway system, Highway Performance Monitoring System (HPMS) and road mileage certification. The Mobility section is responsible for traffic data collection, processing, analysis and dissemination, as well as management of special studies, and travel demand modeling.

The PAMB leads the performance measures and asset management programs, providing tools to effectively measure, analyze, forecast and communicate to management and stakeholders, the performance of CDOT's programs, processes, and investment decisions. This Branch prepares the Performance Plan for the legislature. In addition, PAMB coordinates data collection and reporting to support the SOA.

CDOT has responsibility for transportation planning per state statute (Title 43 Part 11 of Colorado Revised Statutes) and federal laws (23 USC 134 and 23 USC 135) and regulations (23 CFR 420, 23 CFR 450, 23 CFR 460, 23 CFR 470, and 23 CFR 490). These laws establish the planning requirements to be conducted by CDOT in cooperation with internal and external planning partners. State law is consistent with federal law, ensuring that planning is conducted according to US DOT standards and requirements. At a minimum, the state must develop a comprehensive, multimodal, 20-year transportation plan that integrates and consolidates the regional transportation plans developed by the urban and non-urban regions of the state and a four-year Statewide Transportation Improvement Program (STIP) that incorporates the MPO TIPs.

In accordance with 23 CFR 450, CDOT, MPOs and transit providers enter into a memorandum of agreement (MOA) that covers transportation planning and programming activities in compliance of FHWA and FTA requirements. Included within the MOAs are how CDOT and the MPOs work collaboratively in developing and implementing FAST Act performance regulations for safety, asset management, and system performance goal areas.

The MPB, IMB, PAMB and FHWA/FTA work together closely and coordinate on issues pertaining to state and regional transportation planning. These include:

- Strategic planning;
- Policy development and analysis;
- Performance Based Planning and Programming;
- Development of Statewide and Regional Transportation Plans;
- Development of the STIP
- Oversight of work in UPWPs;
- Bi-annual MPO certification;
- Development of annual SPR work program;

- Technical assistance to MPOs and TPRs;
- Air quality conformity;
- Planning and environmental linkages activities;
- Bike/pedestrian data collection and analysis;
- Freight planning;
- Data collection and reporting;
- Data management;
- HPMS;
- Highway Users Tax Fund (HUTF)
- Travel demand forecasting;
- Traffic data analysis;
- Risk and Resiliency Assessment; and
- Other planning related activities.

CDOT ROLES AND RESPONSIBILITIES

DTD is located at CDOT headquarters in Denver. The MPB is comprised of three sections: Statewide and Regional Planning, Freight Planning and Planning Analysis, and Bicycle/Pedestrian Planning. In performing planning functions, MPB staff work closely with staff from IMB, PAMB, CDOT Regions, and other divisions and offices, including the Division of Transportation Systems Management and Operations, Division of Transit and Rail, Office of Financial Management and Budget (OFMB), and Office of Policy and Government Relations. The STIP is coordinated and prepared by the OFMB in conjunction with the MPB. MPB staff works closely with the MPOs, TPRs, OFMB staff, FHWA, FTA and CDOT Region Planners to support the development of the STIP.

Within the IMB's two sections, are six units: Mobility Analysis, Traffic Analysis, Data Collection, Data management, Data Applications, and GIS Support.

PAMB responsibilities are generally divided between performance management and reporting and asset management. PAMB staff work with stakeholders throughout CDOT to monitor and report on performance. PAMB staff also work very closely with the CDOT Regions and with Asset Managers on the delivery of CDOT's asset management program. In addition, PAMB staff work with stakeholders to develop and implement performance-based project selection and prioritization methodologies.

FHWA ROLES AND RESPONSIBILITIES

Within the FHWA-Colorado Division, there is a Program Development Team Leader and a Transportation Planner who are responsible for providing CDOT and the MPOs with technical assistance and oversight for all transportation planning and air quality activities. The planners are responsible for route classification, highway statistics, and intermodal activities. Transportation planning responsibilities are broadly split between metropolitan and statewide planning, although considerable overlap exists. The planners will be a part of the effort in the development of work activities produced by CDOT and the MPOs. In addition, the planners will provide guidance, suggestions, and written comments on draft documents, review and provide comments on final products and provide technical assistance to state and local agencies.

QUALITY ASSURANCE APPROACHES

CDOT works closely with FHWA, FTA, and its planning partners to ensure quality material is prepared through cooperation and quality reviews and that the public has the opportunity to provide comment. The planning process includes development of plan documents in consultation with planning partners, land management agencies, regulatory agencies and Tribal governments, and review of plan documents by planning partners, the Statewide Transportation Advisory Committee (STAC), Freight Advisory Council (FAC), Transportation Commission, and the public.

PERFORMANCE MEASURES

The following performance measures will be used to assess the health of CDOT’s Planning Program:

Table - Performance Measures (Planning)

PM #	Measure	Description	Reporting Mechanism	Reporting Frequency	Target/ Baseline
738	Percentage of FY DTD Budget Expended and Encumbered by End of SFY	Percent of funds encumbered or expended compared to the estimate for the fiscal year	Feedback on annual review and tracking of percent complete on projects Progress on the work program is in the FY Accomplishments Report	State FY	70% of planned amount
630	Accuracy and Timeliness of HPMS and other transportation data submitted	Annual HPMS Report Card Score from FHWA HPMS Review	Annual HPMS Report Card Score	State FY	120
817	Truck Travel Time Reliability (TTTR) Index	The sum of maximum TTTR for each reporting segment divided by the total Interstate system miles per federal requirements	Highway Performance Monitoring System (HPMS)	Calendar Year	National Performance Measure Targets: 2020: 1.5 2022: 1.5
818	Peak Hours of Excessive Delay (PHED)	Annual hours of Peak Hour Excessive Delay (PHED) per capita for the Denver-Aurora Urbanized Area per federal requirements	Highway Performance Monitoring System (HPMS)	Calendar Year	National Performance Measure Targets: 2020: 52 2022: 54
819	Non-SOV Travel	Percent of Non-Single Occupancy Vehicle (SOV) Travel for the Denver-Aurora Urbanized Area per federal requirements	American Community Survey (United States Census Bureau)	Calendar Year	National Performance Measure Targets: 2020: 24% 2022: 25%
820-823	On-Road Mobile Source Emissions Reduction Benefit from CMAQ-funded Projects	Total Emissions Reduction Benefit per federal requirements from the following pollutants and precursors: VOC, PM10, CO, & NOX	CMAQ Public Access System	Federal FY	National Performance Measure Targets: VOC 2020: 86 VOC 2022: 105 PM10 2020: 31 PM10 2022: 152 CO 2020: 1,152 CO 2022: 1,426 NOX 2020: 86 NOX 2022: 105

18. INNOVATIVE MOBILITY

INTRODUCTION

The Office of Innovative Mobility is dedicated to promoting multimodal transportation options to improve the safety, mobility and air quality throughout Colorado. The Office of Innovative Mobility works closely with the Colorado Energy Office to promote zero emission vehicle deployments for light, medium, and heavy duty vehicles. Connected and autonomous vehicle efforts are focused on overarching policy and strategic investments to prepare CDOT for the future of mobility technologies. In addition, the Office is exploring efforts to better utilize new mobility services such as ridehailing, e-commerce, and shared mobility to provide more options for all Coloradans, including vulnerable populations with specialized transportation needs. The Office also includes the Division of Transit and Rail, which administers millions of dollars of state and federal transit dollars, plans for and constructs transit infrastructure, awards transit grants to local governments and transit operators, and operates Bustang/Outrider, a statewide intercity and rural bus program.

PROGRAM OVERVIEW AND METHOD OF OPERATION

With rapid population growth across many parts of the state, Colorado cannot build its way out of congestion. The Office of Innovative Mobility is focused on implementing new and traditional transportation tools to maximize mobility and reduce emissions. By using existing infrastructure more efficiently and testing new technologies, more multimodal options can be made available to the traveling public. Similarly, by promoting more shared rides - whether in a carpool, vanpool, bus or transportation network company vehicle, we can reduce congestion on our roads and pollution in the air.

The Office of Innovative Mobility works with many other CDOT offices to develop strategic planning documents, and implements pilot and infrastructure projects in conjunction with CDOT regional staff. To date, the primary sources of funding are from the Federal Transit Administration, Colorado's FASTER transit funds, and additional State funding sources such as the HUTF and one-time funding bills such as Senate Bill 17-267. As the Office's portfolio evolves, additional funding sources may be identified.

CDOT ROLES AND RESPONSIBILITIES

The Chief of Innovative Mobility reports directly to the Executive Director of CDOT, and the Office plays an overarching policy role in deploying new mobility technologies and transit projects across the State.

FHWA ROLES AND RESPONSIBILITIES

Within the Colorado Division there is a team focused on Innovation and New Technology with a primary point of contact being the Innovation and New Technology Program Manager. The Colorado Division Team provides stewardship, oversight and leadership for the management of connected and autonomous vehicle efforts as well as advancing other mobility technologies. It is the role and responsibility of the Colorado Division team to work with the CDOT Office of Innovative Mobility on any federally funded Projects of Division interest or program areas of interest, as well as other CDOT offices such as ITS and Regional offices when a project is ready to move into implementation. FHWA Area Engineers are the main point of contact with their assigned CDOT Regions and provide

stewardship, oversight and leadership for project-level decisions, conduct field reviews and collaborate with the Colorado Division team on complex projects and program development. FHWA oversight of innovation and technology related projects is defined in federalized project oversight agreements and typically includes: project initiation, environmental clearances, concurrence on award, design review and periodic construction reviews.

QUALITY ASSURANCE APPROACHES

The Office of Innovative Mobility ensures quality control and assurance by developing an annual work plan and reports regularly to CDOT executive leadership and the Transportation Commission on the status of the various initiatives, performance metrics, and expenditures.

PERFORMANCE MEASURES

The Office of Innovative Mobility tracks several performance measures for the Governor's Office's Performance Dashboard related to VMT reduction, air quality, and mobility.

APPENDIX B: MANUALS AND OPERATING AGREEMENTS

MANUAL/ GUIDANCE	REFERENCE	RESPONSIBLE PARTY	FHWA Approval (Y OR N)
Research Management Plan	CFR 420, Subpart B	Applied Research and Innovation	Y
2013 Flood Event Indirect and CE Cost Allocation Plan	2 CFR 200	Chief Financial Officer	Y
Indirect and CE Cost Allocation Plan	2 CFR 200	Chief Financial Officer	Y
OFMB Policy and Procedure Manual	No Authority	Chief Financial Officer	Y
Affirmative Action Program Plan	23 CFR 230.311	CDOT Human Resources	Y
Contractor Compliance Program	23 CFR 230, Subparts A, C and D	Civil Rights & Business Resource Center	Y
Disadvantaged Business Enterprise (DBE) Program Plan/DBE Goal	49 CFR 26	Civil Rights & Business Resource Center	Y
Title VI Plan	23 CFR 230.311	Civil Rights & Business Resource Center	Y
Construction Manual - 2004 (Revised on Nov.9, 2018)	No Authority	Contracts and Market Analysis Branch	Should review + concur
Consultant Selection Process	23 CFR 172.9	Contracts and Market Analysis Branch	
CDOT NEPA Manual	No Authority or 42 USC 4321-4370	Environmental Programs	Should review + concur (Chapter 7 approval)
Environmental Stewardship Guide	No Authority	Environmental Programs	N
Landscape Architecture Manual	No Authority	Environmental Programs	Should review + concur
NEPA Compliance Policy Directive 1904.0	No Authority	Environmental Programs	N
Noise Policy	23 CFR 772	Environmental Programs	Y
Planning and Environmental Linkages (PEL) Handbook	23 USC 168-169	Environmental Programs	N
Stakeholder Involvement Guidance and Public Involvement Plan (Chapter 7 of CDOT NEPA Manual)	23 CFR 771.111(h)(1)	Environmental Programs	Y
CDOT Drainage Design Manual	CFR 625	Hydraulics	Y
FHWA HEC Publications	http://www.fhwa.dot.gov/engineering/hydraulics/bridgehyd/bridge.cfm	Hydraulics	
2019 Manual of Maintenance Procedures	No Authority	Highway Maintenance	N

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Field Materials Manual	CFR 625	Materials and Geotechnical Branch	Y
Laboratory Manual of Test Procedures	CFR 625	Materials and Geotechnical Branch	Y
Pavement Data Quality Management Plan	23 CFR 490.319(c)	Materials & Geotechnical Branch; Performance & Asset Mgmt. Branch	Y
Pavement Design Manual	CFR 625	Materials and Geotechnical Branch	Y
Design - Build Manual - 2006	No Authority	Project Development Branch	Should review + concur
Lighting Design Guide - 2006	CFR 625	Project Development Branch	Y
Local Agency Manual(s) - 2006 (Revised on July 27, 2017)	No Authority	Project Development Branch	Should review + concur
Project Development Manual	No Authority	Project Development Branch	Should review + concur
Risk-Based Asset Management Plan	23 CFR 515.9	Division of Transportation Development	Y
Right-of-Way Manual	23 CFR 710.201	Project Development Branch	Y
Roadway Design Guide - 2005	No Authority	Project Development Branch	Should review + concur
Standard Plans - M & S Standards	23 CFR 625.3	Project Development Branch	Y
Standard Specifications for Road and Bridge Construction	23 CFR 625.3	Project Development Branch	Y
Survey Manual	CFR 625	Project Development Branch	Y
Variable Message Sign Guidelines	No Authority	Real-Time Operations Branch	Should review + concur
Access Code/Policy	No Authority	Safety and Traffic Engineering Branch	Should review + concur
Colorado supplement to the MUTCD	23 CFR 655.603	Safety and Traffic Engineering Branch	Y
Highway Safety Improvement Program (HSIP) Manual	23 USC 148	Safety and Traffic Engineering Branch	Y
Manual on Uniform Traffic Control Devices (MUTCD) - State Adoption	23 CFR 655.603	Safety and Traffic Engineering Branch	Y
Utility Manual	CFR 625	Safety and Traffic Engineering Branch	Y
CDOT Bridge Design Manual	CFR 625	Staff Bridge Branch	Should review + concur
CDOT Bridge Detailing Manual	CFR 625	Staff Bridge Branch	Should review + concur

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CDOT Bridge Rating Manual	CFR 625 and CFR 650.313 C	Staff Bridge Branch	Should review + concur
CDOT Bridge Ratings, Inspections and Records Manual (BRIAR) Manual	CFR 650 Subpart C CFR 650 Subpart D	Staff Bridge Branch	Should review + concur
CDOT Overhead Signs, Signals, & High Mast Lights Coding Guide	No Authority	Staff Bridge Branch	N
CDOT Pontis Bridge Inspection Coding Guide	CFR 650 Subpart C	Staff Bridge Branch	Should review + concur
CDOT Retaining and Sound Wall Inspection and Asset Management Manual	No Authority	Staff Bridge Branch	N
Colorado Structure Inventory Coding Guide	CFR 650 Subpart C	Staff Bridge Branch	Y
Colorado Tunnel Inventory and Inspection Manual	CFR 659 Subpart E	Staff Bridge Branch	Should review + concur
Colorado Retaining and Noise Walls Inspection and Asset Management Manual	No Authority	Staff Bridge Branch	N
Department Performance Plan (required under the Colorado SMART Act)	CRS § 2-7-204	Performance & Asset Mgmt. Branch	N

APPENDIX C: GLOSSARY

3R Projects - Resurfacing, Rehabilitation and Restoration

Assumption of Responsibilities - The act of State DOT to accept responsibility for carrying out and approving certain actions in the place of FHWA. Such actions are to be taken by the State DOT in conformance with Federal laws, regulations, and policies.

Assumed Projects - Federal projects that the State DOT reviews in the place of FHWA and has the authority to approve certain specified actions pertaining to design; plans, specifications, and estimates; contract awards; and inspections.

Certification Reviews - A review that formalizes the continuing oversight and day-to-day evaluation of the planning process.

Control Document - Applicable laws, regulations, standards, policies, and standard specifications approved by FHWA for use on Federal-aid highway projects.

Core Functions - Activities that make up the primary elements of the division office's Federal-aid oversight responsibilities based on regulations and national policies. Core functions in the division office are Planning, Environment, Right-of-Way, Design, Construction, Finance, Operations, System Preservation, Safety, and Civil Rights.

Delegated Projects - Projects that do not require FHWA to review and approve actions pertaining to design, plans, specifications, estimates, right-of-way certification statements, contract awards, inspections, and final acceptance of Federal-aid projects on a project by project basis.

Emergency Relief Projects - The Emergency Relief (ER) program assists State and local governments with the expense of repairing serious damage to Federal-aid highways and roads on Federal Lands resulting from natural disasters or catastrophic failures. In addition to the permanent authorization of \$100 million annually, SAFETEA-LU authorizes such sums as may be necessary to be made available by appropriation from the General Fund to supplement the permanent authorization in years when Emergency Relief allocations exceed \$100 million. [1112]

Locally Administered Projects - For the purpose of the S&O Agreement, a Federal-aid project in which an entity other than a traditional State DOT is a sub-recipient and this entity is administering the particular phase being authorized, i.e., Preliminary Engineering, ROW, or Construction. These would include projects where the non-traditional entity will either perform the work itself or enter into a contract for services or construction. State DOT remains responsible for the local public agency's compliance on locally administered projects.

Local Public Agency (LPA) - Any organization, other than a traditional State DOT, with administrative or functional responsibilities that are directly or indirectly affiliated with a governmental body of any Tribal Nation, State, or local jurisdiction. LPAs would most often include cities or counties. However, an LPA, as defined here, could also include a State entity as well, perhaps even a part of a State DOT. An example could include a Port Authority or Toll Authority that had not traditionally worked with the Federal-aid highway program (FAHP).

Major Projects - Projects with an estimated total cost greater than \$500 million, or projects approaching \$500 million with a high level of interest by the public, Congress, or the Administration.

Major Bridges - Major bridges are defined in the policy of FHWA Order 5520.1 "Preliminary Plan Review and Approval" and should have preliminary plan approval by FHWA. Examples of special features meeting major bridge project criteria are:

- Bridges with approximately (125,000 sq. ft.) deck area
- Bridge span of 152.4 meters (500 ft.) or greater
- Bridges utilizing high-strength steel or concrete or special materials
- Unusual bridge types, e.g., arches and trusses
- Tunnels and unusually high cuts or high fills
- Major hydraulic structures

Oversight - The act of ensuring that the Federal highway program is delivered consistent with laws, regulations and policies.

Oversight Projects - Projects that require FHWA to review and approve actions pertaining to design, plans, specifications, estimates, right-of-way certification statements, contract awards, inspections, and final acceptance of Federal-aid projects on a project by project basis.

Performance/Compliance Indicators - These indicators track performance trends, health of the Federal-aid Highway Program, and compliance with Federal requirements. They do not have a specific target or baseline.

Performance/Compliance Measures - These measures track performance trends, health of the Federal-aid Highway Program, and compliance with Federal requirements. They include quantitative targets, including those with a "downward or upward trend" target. When a specific target has not been determined, but will in the near term, a descriptive footnote is added to describe why there is no target and when it will be developed.

Program Assessments - This evaluation technique may take many forms, including joint risk assessments and self-assessments. These tools are based on the common concepts of identifying strengths, weaknesses, and opportunities and the identification and sharing of "best" practices to continually improve the program.

Program Reviews - A thorough analysis of key program components and the processes employed by the State DOT in managing the program. The reviews are conducted to: 1) ensure compliance with Federal requirements; 2) identify areas in need of improvement; 3) identify opportunities for greater efficiencies and cost improvement to the program; and/or 4) identify exemplary practices.

Projects of Division Interest (PoDIs) - PoDIs are those projects that have an elevated risk, contain elements of higher risk, or present a meaningful opportunity for FHWA involvement to enhance meeting project objectives. For PoDIs, FHWA has made a risk-based decision to retain project approval actions or conduct stewardship and oversight activities for the project as provided for in 23 USC 106.

Recurring Reviews - Reviews that the division office conducts annually or on a regular periodic basis. Examples include NBIS, HPMS, HVUT, etc.

Risk Assessment - The process of identifying a risk event, determining the likelihood of the event happening, determining the impact (positive or negative) of the event on the delivery of the FAHP, and identifying an appropriate risk response strategy.

Risk-Based Approach - Incorporating risk assessment and risk management into investment and strategic decision making (the means by which limited resources are focused).

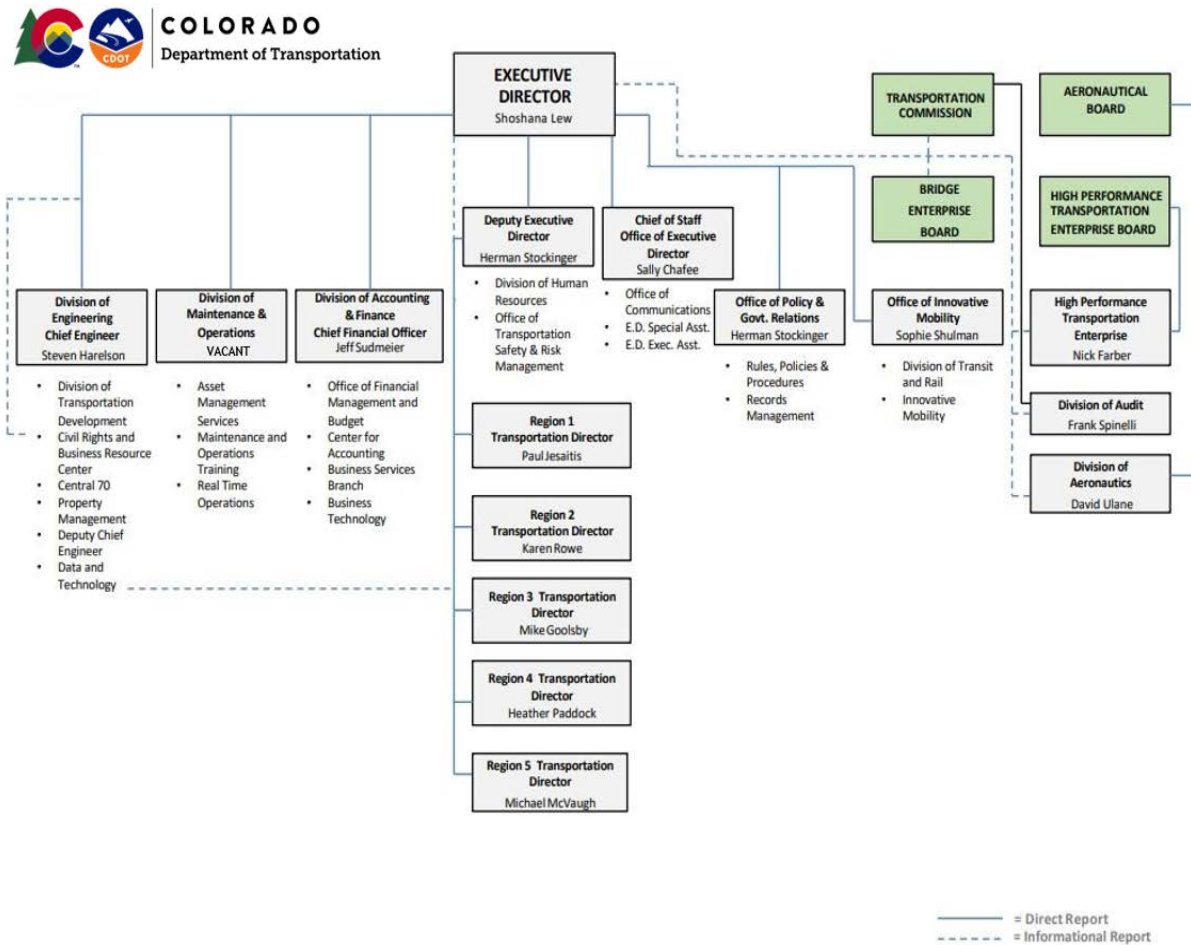
Risk Management - The systematic identification, assessment, planning, and management of threats and opportunities faced by FHWA projects and programs.

Stewardship - The efficient and effective management of the public funds that have been entrusted to FHWA.

Unit Performance Plan - The annual performance plan prepared by an individual FHWA unit that address unit responsibilities and priorities taking into account the National Performance Objectives and National Initiatives identified in FHWA's Strategic Implementation Plan (SIP) as well as specific initiatives identified at the unit level based on risk.

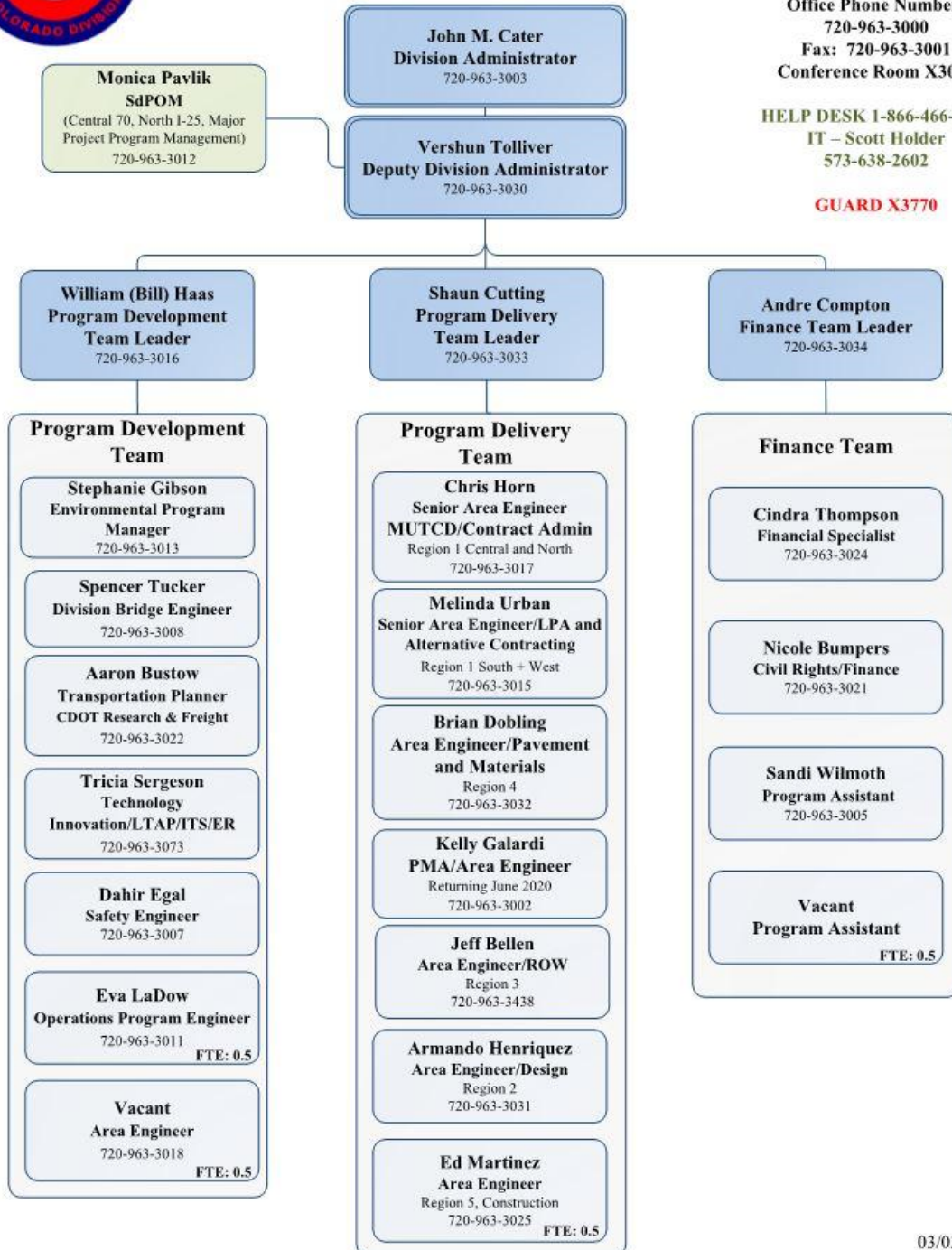
ISTEA, TEA-21, SAFETEA-LU, and MAP-21 - The Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991 was a six-year federal transportation funding law that took effect in 1991. ISTEA provided \$155 billion for highways, highway safety and transit for fiscal years 1992 through 1997. The Transportation Equity Act for the 21st Century (TEA-21) is a six-year extension of ISTEA providing a 40-percent increase in transportation funding for fiscal years 1998 through 2003. The Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users guaranteed (SAFETEA-LU) provided \$244.1 billion for highways, highway safety, and public transportation. SAFETEA-LU represents the largest surface transportation investment in our Nation's history. The Moving Ahead for Progress in the 21st Century (MAP-21) was signed in 2012. It creates a streamlined and performance-based surface transportation program. These acts have given states increased flexibility in establishing the degree to which FHWA will be involved in the development of the Federal-Aid Highway Program (FAHP).

APPENDIX D. CDOT AND FHWA ORGANIZATIONAL CHARTS





FHWA Colorado Division Organizational Chart



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03/03/2020

ATTACHMENT A: PROJECT ACTION RESPONSIBILITY MATRIX (As of February 6, 2015)

The following matrix identifies Federal-aid highway program (FAHP) project approvals and related responsibilities. The matrix specifies which ones are subject to State assumption under the provisions of 23 U.S.C. 106(c) or other statutory or regulatory authority, as well as those which are reserved to FHWA.

In the column entitled "Projects on the NHS" if an item is marked "FHWA or State," it means the State may assume the specified approval and related responsibilities if the Division determines the assumption is appropriate. For projects on the NHS, FHWA may retain any approval or related action in any box marked "FHWA or State", as deemed appropriate by the Division, by choosing to enter "FHWA" for that box. If FHWA retains any approval or related action in any box marked "FHWA or State", the project is a PoDI, and will require a PoDI plan.

For the column marked "Projects off the NHS", the State must assume all items marked "State" unless the State determines the assumption of a particular item by the State is not appropriate and requests FHWA take responsibility for the action. In such cases, the box should read "FHWA".

If FHWA retains an action the State could have assumed (on the NHS) or has a right to assume (off the NHS), the affected projects become PoDI projects.¹ Matrix users may find it easier to identify such situations if you mark such instances in the matrix with a note or asterisk (*). Divisions also may wish to include in Attachment A's introduction information about where readers can find a list of PoDI projects and copies of PoDI plans.

Except as expressly stated in notes to the matrix below, the State cannot assume any item marked only as "FHWA" in either column. Any item marked only "FHWA" is reserved to FHWA because it is outside the scope of 23 U.S.C. 106(c), or otherwise is reserved to FHWA by law. While FHWA may not delegate decision-making authority to a State unless authorized by law, FHWA may authorize a State DOT to perform work needed to reach the decision point, or to implement the decision.

The following matrix identifies Federal-aid highway program (FAHP) project approvals and related responsibilities on a program-wide basis. The matrix specifies which actions are assumed by the State under the provisions of 23 U.S.C. 106(c) or other statutory or regulatory authority, as well as those which are reserved to FHWA. Projects classified as PoDI projects are not covered by the matrix, as those projects will be governed by a separate PoDI plan that specifies FHWA and State responsibilities for the project.

The State DOT is responsible for ensuring all individual elements of the project are eligible for FAHP funding, but all final eligibility and participation determinations are retained by FHWA.

¹ The following are considered PoDI projects: Major Projects (>\$500M); Appalachian Development Highway Projects; TIGER Discretionary Grant Projects; NHS Projects with Retained FHWA Project Approval; Non-NHS Projects with Retained FHWA Project Approval; and Projects Selected by FHWA for Risk-based Stewardship & Oversight. Regardless of retained project approval actions, any Federal-aid Highway Project either on or off the NHS that the Division identifies as having an elevated level of risk can be selected for risk-based stewardship and oversight and would then be identified as a PoDI. Please see "Projects of Division Interest (PoDI)/Projects of Corporate Interest (PoCI) Guidance (available at <http://www.fhwa.dot.gov/federalaid/stewardship/>).

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PROJECT ACTION RESPONSIBILITY MATRIX (as of February 6, 2015) (Excluding PoDIs, which are subject to separate PoDI Plans)		
ACTION	AGENCY RESPONSIBLE	
	PROJECTS ON THE NHS	PROJECTS OFF THE NHS
	Assumption of FHWA Responsibilities under 23 U.S.C. 106(c) or other statutory or regulatory authority	Assumption of FHWA Responsibilities under 23 U.S.C. 106(c) or other statutory or regulatory authority
Ensure project in Statewide Transportation Improvement Program (STIP)/Transportation Improvement Program (TIP)	STATE	STATE
Identify proposed funding category	STATE(1)	STATE(1)
Obligate funds/approve Federal-aid project agreement, modifications, and project closures (project authorizations) (Note: this action cannot be assumed by State)	FHWA	FHWA
Authorize current bill (Note: this action cannot be assumed by State)	FHWA	FHWA
Review and Accept Financial Plan and Annual Updates for Federal Major Projects over \$500 million [23 U.S.C. 106(h)] (Note: this action cannot be assumed by State)	FHWA	FHWA
Review Cost Estimates for Federal Major Projects over \$500 million [23 U.S.C. 106(h)] (Note: this action cannot be assumed by State)	FHWA	FHWA
Develop Financial Plan for Federal Projects between \$100 million and \$500 million. [23 U.S.C. 106(i)]	STATE	STATE
All EA/FONSI, EIS/ROD, 4(f), 106, 6(f) and other approval actions required by Federal environmental laws and regulations. (Note: this action cannot be assumed by STATE except under 23 U.S.C. 327)	FHWA(2)	FHWA(2)
Categorical Exclusion approval actions (Note this action cannot be assumed by the State except through an assignment under 23 U.S.C. 326 or 327, or through a programmatic agreement pursuant to Section 1318(d) of MAP-21 and 23 CFR 771.117 (g))	FHWA(2)	FHWA(2)
Consultant Contract Selection	STATE (3)	STATE (3)
Sole source Consultant Contract Selection	STATE (3)	STATE (3)
Approve hiring of consultant to serve in a "management" role (Note: this action cannot be assumed by State) [23 CFR 172.9]	FHWA	FHWA

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Approve consultant agreements and agreement revisions (Federal non-Major Projects) [23 CFR 172.9]	STATE	STATE
Approve consultant agreements and agreement revisions on Federal Major Projects [23 CFR 172.9] (Note: this action cannot be assumed by State)	FHWA	FHWA
Approve exceptions to design standards [23 CFR 625.3(f)]	STATE	STATE
Interstate System Access Change [23 USC 111] (Note: this action cannot be assumed by State)	FHWA	N/A
Interstate System Access Justification Report [23 USC 111] (Note: action may be assumed by State pursuant to 23 USC 111(e))	STATE	N/A
Airport highway clearance coordination and respective public interest finding (if required) [23 CFR 620.104]	STATE	STATE
Approve Project Management Plan for Federal Major Projects over \$500 million [23 USC 106(h)] (Note: this action cannot be assumed by State)	FHWA	FHWA
Approve innovative and Public-Private Partnership projects in accordance with SEP-14 and SEP-15 (Note: this action cannot be assumed by State)	FHWA	FHWA
Provide pre-approval for preventive maintenance project (until FHWA concurs with STATE procedures) (Note: this action cannot be assumed by State)	FHWA	FHWA
Provide approval of preliminary plans for unusual/complex bridges or structures on the Interstate. [23 USC 109(a) and FHWA Policy]	FHWA (4)	N/A
Provide approval of preliminary plans for unusual/complex bridges or structures (non-Interstate). [23 USC 109(a) and FHWA Policy]	STATE	STATE
Approve retaining right-of-way encroachments [23 CFR 1.23 (b) & (c)]	FHWA for Interstate STATE for Non-Interstate	STATE
Approve use of local force account agreements [23 CFR 635.104 & 204]	STATE	STATE
Approve use of publicly owned equipment [23 CFR 635.106]	STATE	STATE
Approve the use of proprietary products, processes [23 CFR 635.411]	STATE	STATE
Concur in use of publicly furnished materials [23 CFR 635.407]	STATE	STATE
Make feasibility/practicability determination for allowing authorization of construction prior to completion of ROW clearance, utility and railroad work [23 CFR 635.309(b)]	STATE	STATE

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Make public interest finding on whether State may proceed with bid advertisement even though ROW acquisition/relocation activities are not complete for some parcels [23 CFR 635.309(c)(3)]	FHWA for Interstate STATE for Non-Interstate	STATE
Ensure ROW compliant certificate is in place [23 CFR 635.309(c)]	STATE	STATE
Approve Hardship and Protective Buying [23 CFR 710.503] (If a Federal-aid project) (Note: this action cannot be assumed by State)	FHWA	FHWA
Approve Interstate Real Property Interest Use Agreements [23 CFR 710.405] (Note: this action cannot be assumed by State)	FHWA	N/A
Approve non-highway use and occupancy [23 CFR 1.23(c)]	FHWA for Interstate STATE for Non-Interstate (3)	STATE (3)
Approve disposal at less than fair market value of federally funded right-of-way, including disposals of access control [23 U.S.C. 156] (Note: this action cannot be assumed by State)	FHWA	FHWA
Approve disposal at fair market value of federally funded right-of-way, including disposals of access control [23 CFR 710.409] (Note: 23 CFR 710.201 authorizes FHWA and STATE to agree to scope of property-related oversight and approvals for all actions except those on the Interstate System)	FHWA for Interstate STATE for Non-Interstate (3)	STATE (3)
Requests for credits toward the non-Federal share of construction costs for early acquisitions, donations or other contributions applied to a project (note: this action cannot be assumed by State)	FHWA	FHWA
Federal land transfers [23 CFR 710, Subpart F] (Note: this action cannot be assumed by State)	FHWA	FHWA
Functional replacement of property [23 CFR 710.509] (Note: this action cannot be assumed by State)	FHWA	FHWA
Accept Transportation Management Plans (23 CFR 630.1012(b))	STATE	STATE
Approval of System Engineering Analysis (for ITS) [23 CFR 940.11]	STATE	STATE
Approve PS&E [23 CFR 630.201]	STATE	STATE
Authorize advance construction and conversions [23 CFR 630.703 & 709] (Note: this action cannot be assumed by State)	FHWA	FHWA
Approve utility or railroad force account work [23 CFR 645.113 & 646.216]	STATE	STATE

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Approve utility and railroad agreements [23 CFR 645.113 & 646.216]	STATE	STATE
Approve use of consultants by utility companies [23 CFR 645.109(b)]	STATE	STATE
Approve exceptions to maximum railroad protective insurance limits [23 CFR 646.111]	STATE	STATE
Authorize (approve) advertising for bids [23 CFR 635.112, 309]	STATE	STATE
Approve cost-effectiveness determinations for construction work performed by force account or by contract awarded by other than competitive bidding [23 CFR 635.104 & .204]	STATE	STATE
Approve emergency determinations for contracts awarded by other than competitive bidding [23 CFR 635.104 & .204]	STATE	STATE
Approve construction engineering by local agency [23 CFR 635.105]	STATE	STATE
Approve advertising period less than 3 weeks [23 CFR 635.112]	STATE	STATE
Approve addenda during advertising period [23 CFR 635.112]	FHWA or STATE, whichever approved PS&E	STATE
Concur in award of contract [23 CFR 635.114]	STATE	STATE
Concur in rejection of all bids [23 CFR 635.114]	STATE	STATE
Approval of Design-Build Requests-for-Proposals and Addenda [23 CFR 635.112]	STATE	STATE
Approve changes and extra work [23 CFR 635.120]	STATE	STATE
Approve contract time extensions [23 CFR 635.120]	STATE	STATE
Concur in use of mandatory borrow/disposal sites [23 CFR 635.407]	STATE	STATE
Accept materials certification [23 CFR 637.207]	STATE	STATE
Concur in settlement of contract claims [23 CFR 635.124]	FHWA	FHWA
Concur in termination of construction contracts [23 CFR 635.125]	STATE	STATE
Waive Buy America provisions [23 CFR 635.410] (Note: this action cannot be assumed by State)	FHWA	FHWA
Final inspection/acceptance of completed work [23 USC 114(a)]	STATE	STATE
Approval of Disadvantaged Business Enterprise (DBE) Project Contract Goal set by the State DOT under 49 CFR 26.51(d). [49 CFR 26.51(e)(3)]	STATE	STATE
Acceptance of Bidder's Good Faith Efforts to Meet Contract Goal [49 CFR 26.53] or of Prime Contractor's Good	STATE	STATE

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Faith Efforts to Find Another DBE Subcontractor When a DBE Subcontractor is Terminated or Fails to Complete Its Work [49 CFR 26.53(g)] (Note: this action cannot be performed by FHWA)		
Equal Employment Opportunity (EEO) Contract Compliance Review Approval [23 CFR Part 230, Subpart D].	STATE	STATE
Training Special Provision - Approval of Project Goal for training slots or hours [23 CFR Part 230, Subpart A]	STATE	STATE
Training Special Provision - Approval of New Project Training Programs (Note: this action cannot be assumed by State) [23 CFR 230.111(d), (e)]	FHWA	FHWA

FOOTNOTES:

- (1) State is responsible for ensuring that all individual elements of the project are eligible. FHWA will check that the scope of the project as described in submitted project agreement is eligible for the category of funding sought. All final eligibility and participation determinations are retained by FHWA.
- (2) If there is a 23 U.S.C. 326 or 325 assignment or PCE agreement, decisions are handled in accordance with those assignments or agreements.
- (3) State’s process and modifications to, or variation in process, require FHWA approval.
- (4) Unusual/Complex bridges and structures are those that the Division determines to have unique foundation problems, new or complex designs, exceptionally long spans, exceptionally large foundations, complex hydrologic (including climate change and extreme weather events) aspects, complex hydraulic elements or scour related elements, or that are designed with procedures that depart from currently recognized acceptable practices (i.e., cable-stay, suspension, arch, segmental concrete, moveable, truss, tunnels, or complex geotechnical walls or ground improvement systems)

ATTACHMENT B: PROGRAM RESPONSIBILITY MATRIX

The following matrix is a list of program actions. Those in gray are actions that the CO Division and CDOT choose to track. They were not listed in FHWA national template. The “Nat. Template #” column is meant to help FHWA easily compare information in this matrix, as compared to the national template.

In some cases, additional information was added to “Action”, “FHWA Specific Roles” and “CDOT Specific Roles” columns, using the acronyms below. This is more specific information that the CO Division and CDOT choose to track. Finally, some information was added to the “Remarks” column. In some cases, there is refined or explanatory information that is important to describe. In other cases, the CO Division and CDOT use different frequency or due dates than the national guidance.

Note about the Authority column: All actions taken on or after December 26, 2014, shall be governed by the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR Part 200. Part 200 of 2 CFR supersedes 49 CFR Parts 18 and 19, and requirements from OMB Circulars A-21, A-87, A-110, and A-122 (which have been placed in OMB guidance documents); Circulars A-89, A-102, and A-133; and the guidance in Circular A-50 on Single Audit Act follow-up.

Actions:	
A	Approve
DES	Design
C	Compliance
CON	Construction
F	Forward
R	Review
S	Submit

CDOT Roles:	
AAO	CDOT Affirmative Action Officer
AO	CDOT Awards Officer
CMABM	CDOT Contract and Market Analysis Branch Manager
CE	CDOT Chief Engineer
CTMC	Colorado Transportation Management Center
DTD	CDOT Division of Transportation Development
EE	CDOT Engineering Estimator
EPB	CDOT Environmental Programs Branch
EPB T&E PM	CDOT EPB Threatened and Endangered Species Project Manager
OTS	CDOT Office of Transportation Safety
PAMB	CDOT Performance Asset Management Branch
PDBM	CDOT Project Development Branch Manager
RE	CDOT Resident Engineer
RHE	CDOT Regional Hydraulics Engineer
RPEM	CDOT Regional Planning and Environmental Program Manager
RTD	CDOT Regional Transportation Director
SPC	CDOT Survey/Plans Coordinator
SSE	CDOT Standards and Specifications Engineer
STEB	CDOT Safety and Traffic Engineering Branch

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Nat. Temp. #	Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State Respon Program
98	Approval of State Research and Development Work Program (Part 2)	23 CFR 420.111, 23 CFR 420.115, and 23 CFR 420.209	Annually	Prior to Program Period	Office of Planning, Environment & Realty	Planning	Division of Transportation Development (DT)
134	Approval of Local Technical Assistance Program (LTAP) Centers Work Plan and Budget	FHWA LTAP Field Manual	Annually	31-Mar	Office of Planning, Environment & Realty	Planning	Applied Research and Innovation Branch
157	Approval of Management Process and Project Selection Procedures and Certification for Research, Development & Technology Transfer Program and Revisions to Process	23 CFR 420.115 and 23 CFR 420.209	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Applied Research and Innovation Branch
158	Periodic Review of States Management Process of the Research, Development & Technology Transfer Program	23 CFR 420.209	Periodic	Not Applicable	Office of Planning, Environment & Realty	Planning	Division of Transportation Development (DT)
159	Approval of Performance and Expenditure Reports for SPR Research Work Programs	23 CFR 420.117	No less frequently than annual and no more frequently than quarterly	90 Days After End Of Period	Office of Planning, Environment & Realty	Planning	Division of Transportation Development (DT)
160	Approval of SPR research reports	23 CFR 420.117	Prior to publication unless prior approval is waved	Not Applicable	Office of Planning, Environment & Realty	Planning	Applied Research and Innovation Branch
59	Determination on Adequacy of State's Asset Management Plan	23 USC 119(5)	Annually beginning second fiscal year after establishment of the process		Office of Infrastructure	Assistant Division Administrator (ADA)	Transportation Performance Branch
60	Certification and Recertification of States Process for Development of State Asset Management Plan	23 USC 119(6)	Recertification every four years after establishment of the process		Office of Infrastructure	Assistant Division Administrator (ADA)	Transportation Performance Branch
61	Review Reporting on Performance Targets	23 USC 150(e)	Beginning four years after enactment of MAP-21 and biennially thereafter		Office of Infrastructure	Assistant Division Administrator (ADA)	Transportation Performance Branch

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62	Review National Highway System Performance Achievement Plan for Actions to achieve the targets (when State does not achieve or make significant progress toward achieving)	23 USC 119(7)	Required if State does not achieve targets (or significant progress) for 2 consecutive reports		Office of Infrastructure	Assistant Division Administrator (ADA)	Transportation Performance Branch
11	Prepare / Review Title VI Plan Accomplishments and Next Year's Goals	23 CFR 200.9(b)(10)	Annually	1-Oct	Office of Civil Rights	Civil Rights	Civil Rights Business Review Center (C)
12	Prepare / EEO Contractor Compliance Plan accomplishments and next year's goals	23 CFR 230, Subpart C, Appendix A, Part I, III	Annually	1-Oct	Office of Civil Rights	Civil Rights	Civil Rights Business Review Center (C)
13	Prepare / Review State Internal EEO Affirmative Action Plan (Title VII) Accomplishments and Goals	23 CFR 230.311	Annually	1-Oct	Office of Civil Rights	Civil Rights	Civil Rights Business Review Center (C)
14	Review DBE Program Revisions	49 CFR 26.21(b)(2)	As needed	Not Applicable	Office of Civil Rights	Civil Rights	Civil Rights Business Review Center (C)
15	Prepare / DBE Uniform Awards and Commitment Report	49 CFR 26, Appendix B	Semi-Annual	June 1st December 1st	Office of Civil Rights	Civil Rights	Civil Rights Business Review Center (C)
16	Prepare / Annual Analysis and Corrective Action Plan (if necessary)	49 CFR 26.47(c)	Annual (as necessary)	December 31st	Office of Civil Rights	Civil Rights	Civil Rights Business Review Center (C)
17	Prepare / State DBE Program Goals	49 CFR 26.45(f)(1)	Triennial	August 1st	Office of Civil Rights	Civil Rights	Civil Rights Business Review Center (C)
18	Prepare / Review On-the-Job-Training (OJT) goals & accomplishments	23 CFR 230.111(b)	Annually	TBA	Office of Civil Rights	Civil Rights	Civil Rights Business Review Center (C)
19	Approval of OJT and DBE Supportive Services fund requests	23 CFR 230.113 & 23 CFR 230.204	Annual	TBA	Office of Civil Rights	Civil Rights	Civil Rights Business Review Center (C)
20	Return of any unused discretionary grant program funding	23 CFR 230.117(2)	Annual	TBA	Office of Civil Rights	Civil Rights	Civil Rights Business Review Center (C)
21	Prepare / Review of Report on Supportive Services (OJT & DBE)	23 CFR 230.113(g), 230.121(e), 230.204(g)(6)	Quarterly		Office of Civil Rights	Civil Rights	Civil Rights Business Review Center (C)
22	Prepare / Review Annual Contractor Employment Report (Construction Summary of Employment Data (Form PR-1392)	23 CFR 230.121(a); Appendix D to Subpart A, Part 230, General Information and Instructions	Annually	1-Dec	Office of Civil Rights	Civil Rights	Civil Rights Business Review Center (C)

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23	Prepare / Review State DOT Employment Statistical Data (EEO-4)	23 CFR, Subpart C, Appendix A	Biannual	30-Sep	Office of Civil Rights	Civil Rights	Civil Rights Business Review Center (C)
24	Prepare / Review Annual Federal Projected Awards Reports - Historically Black Colleges & Universities/Tribal Colleges & Universities/Hispanic Serving Institutes, American Indian Alaskan Native, Asian Pacific & American Islander.	Presidential Executive Orders: 13230, 13256, 13270, 13361, 13515	Annual	TBA	Office of Civil Rights	Civil Rights	Civil Rights Business Review Center (C)
25	Prepare / Review ADA Complaint Reports of Investigation	28 CFR 35.190	As needed	Not Applicable	Office of Civil Rights	Civil Rights	Civil Rights Business Review Center (C)
26	Review Americans with Disabilities Act (ADA) /Sec. 504 Program Plan accomplishments and next year's goals	49 CFR 27.11(c), EO 12250	Annually	1-Oct	Office of Civil Rights	Civil Rights	Civil Rights Business Review Center (C)
27	Return of unexpended funds used for Summer Transportation Institutes	23 CFR 230.117(2)	Annual	August 30; however, State procurement rules may govern	Office of Civil Rights	Civil Rights	Civil Rights Business Review Center (C)
28	Prepare / Review Request for National Summer Transportation Institute (NSTI) Proposals (SOWs)	23 USC 140(b)	Annual	TBA	Office of Civil Rights	Civil Rights	Civil Rights Business Review Center (C)
29	Prepare / Review NSTI Report (questionnaire)	23 USC 140(b)	Annual	October 15th	Office of Civil Rights	Civil Rights	Civil Rights Business Review Center (C)
31	Approval of Contracting Procedures for Consultant Selection	23 CFR 172.5 & 172.9	As needed	Not Applicable	Office of Infrastructure	Program Delivery	Engineering Contract
	Competitive Bidding Exceptions	23 CFR 635.104, 23 USC 112	As requested		Office of Infrastructure	Program Delivery	Engineering Contract
	Concurrence in Award	23 CFR 635.114, 23 USC 112(d)	Project by project		Office of Infrastructure	Program Delivery	Engineering Contract
	Rejections of low bidder	23CFR 635.114(f)+(g)	Project by project		Office of Infrastructure	Program Delivery	Engineering Contract
	Addenda or Revisions under advertisement	23CFR 635.112(c)	Project by project		Office of Infrastructure	Program Delivery	Engineering Contract
	Consultant Services and Management Roles	23 CFR 172.9 (d)	Project by project		Office of Infrastructure	Program Delivery	Engineering Contract

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	Rejections of all bidders	23CFR 635.114(h)	Project by project		Office of Infrastructure	Program Delivery	Engineer Contractor
	Authorization to Advertise (all projects)	23 CFR 635.309	Project by project		Office of Infrastructure	Program Delivery	Engineer Contractor
	Bid Opening/Tabulations	23 CFR 635.113	Per letting		Office of Infrastructure	Program Delivery	Engineer Contractor
30	Receipt of State Consultation Process with Tribal Governments	23 CFR 450.210(c)	As needed	Not Applicable	Office of Federal Lands Highway	Planning	Multimodal Planning
	Tribal Consultation	36 CFR 800.2(c)(2)(ii)(A)	As needed	Not Applicable	Office of Planning, Environment & Realty	Environment	Environment Programs (EPI)
136	Approval of NEPA Procedures, including Section 4(f)	23 CFR 771; 23 CFR 774; SAFETEA-LU 6007 & 6009, 23 USC 109(h)	As needed	Not Applicable	Office of Planning, Environment & Realty	Environment or Program Delivery	Environment Programs (EPI)
	Section 4(f) Programmatic Evaluation	23 CFR 774	As needed	Not Applicable	Office of Planning, Environment & Realty	Environment or Program Delivery	Environment Programs (EPI)
	Section 4(f) de minimis Determination		As needed	Not Applicable	Office of Planning, Environment & Realty	Environment and Program Delivery	Environment Programs (EPI)
137	Approval of Noise Policies	23 CFR 772.7, 772.9, and 772.13, 23 USC 109(i)	As needed	Not Applicable	Office of Planning, Environment & Realty	Environment	Environment Programs (EPI)
	Reporting on Noise Walls	23 CFR 772	Annually	1-Nov	Office of Planning, Environment & Realty	Environment	Environment Programs (EPI)
138	EIS Status Updates	FHWA Strategic Goal - EIS Timeliness	Quarterly	(Fiscal Year - Oct, Jan, Apr, Jul)	Office of Planning, Environment & Realty	Environment	Environment Programs (EPI)
139	Endangered Species Act Cost Report		Annually	1-Mar	Office of Planning, Environment & Realty	Environment	Environment Programs (EPI)
140	Exemplary Ecosystem Initiatives Applications		Annually	1-Apr	Office of Planning, Environment & Realty	Environment	Environment Programs (EPI)
	Draft Environmental Impact Statement (EIS)	23 CFR 771.123	As needed	Not Applicable	Office of Planning, Environment & Realty	Environment	Environment Programs (EPI)
	Final EIS	23 CFR 771.125	As needed	Not Applicable	Office of Planning, Environment & Realty	Environment	Environment Programs (EPI)
	Record of Decision (ROD)	23 CFR 771.127		Not Applicable	Office of Planning, Environment & Realty	Environment	Environment Programs (EPI)

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	Wetland Findings	23 CFR 777	As needed	Not Applicable	Office of Planning, Environment & Realty	Environment	Environment Programs (EPI)
	Section 7 consultation	23 CFR 771.133	As needed	Not Applicable	Office of Planning, Environment & Realty	Environment	Environment Programs (EPI)
	Section 106 adverse effects and MOUs	23 CFR 771.133	As needed	Not Applicable	Office of Planning, Environment & Realty	Environment	Environment Programs (EPI)
	Written re-evaluations or re-evaluation forms for EISs	23 CFR 771.129	As needed	Not Applicable	Office of Planning, Environment & Realty	Environment	Environment Programs (EPI)
	Written re-evaluations or re-evaluation forms for EAs	23 CFR 771.129	As needed	Not Applicable	Office of Planning, Environment & Realty	Environment	Environment Programs (EPI)
	Written re-evaluations or re-evaluation forms for Ces	23 CFR 771.129	As needed	Not Applicable	Office of Planning, Environment & Realty	Environment	Environment Programs (EPI)
	Non- Programmatic Categorical Exclusion	23 CFR 771.117	As needed	Not Applicable	Office of Planning, Environment & Realty	Program Delivery	Environment Programs (EPI)
	Filing of Notice of Intent	23 CFR 771.123	As needed	Not Applicable	Office of Planning, Environment & Realty	Environment and Program Delivery	Environment Programs (EPI)
	Class of document determination	23 CFR 771.115 Thru - 119	As needed	Not Applicable	Office of Planning, Environment & Realty	Environment and Program Delivery	Environment Programs (EPI)
	Logical termini determination	23 CFR 771.111(f)	As needed	Not Applicable	Office of Planning, Environment & Realty	Environment and Program Delivery	Environment Programs (EPI)
	Environmental Assessment	23 CFR 771.119	As needed	Not Applicable	Office of Planning, Environment & Realty	Program Delivery	Environment Programs (EPI)
	Finding of No Significant Impact (FONSI)	23 CFR 771.121	As needed	Not Applicable	Office of Planning, Environment & Realty	Program Delivery	Environment Programs (EPI)
	Manage requirements of the CDPS Stormwater Construction Permit Program	41 CFR 122	As needed	Not Applicable	Office of Planning, Environment & Realty	Environment	Environment Programs (EPI)
	Manage requirements of the CDOT Municipal Separate Stormsewer System Permit (MS4)	40 CFR 122	Annually	Not Applicable	Office of Planning, Environment & Realty	Environment	Environment Programs (EPI)
	Procedures and Fees for processing Map changes	44 CFR Part 72	As needed		Office of Infrastructure	Structures	Staff B
	Location and Hydraulic Design of Encroachments on Flood Plains	23 CFR 650 Subpart B	As needed		Office of Infrastructure	Structures	Staff B

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39	Approval of Pavement Design Policy	23 CFR 626.3	As needed	Not Applicable	Office of Infrastructure	Materials	Material Geotechnical Branch
44	Approval of Quality Assurance Program	23 CFR 637.205	As needed	Not Applicable	Office of Infrastructure	Materials	Material Geotechnical Branch
45	Assure Central Laboratory accredited by AASHTO Accreditation Program or FHWA approved comparable program	23 CFR 637.209	As needed	Not Applicable	Office of Infrastructure	Materials	Material Geotechnical Branch
46	Assure Non-STD designated lab performing Independent Assurance sampling and testing accredited by AASHTO Accreditation Program or FHWA approved comparable program	23 CFR 637.209	As needed	Not Applicable	Office of Infrastructure	Materials	Material Geotechnical Branch
47	Assure Non-STD designated lab used in dispute resolution accredited by AASHTO Accreditation Program or FHWA approved comparable program	23 CFR 637.209	As needed	Not Applicable	Office of Infrastructure	Materials	Material Geotechnical Branch
48	Review Independent Assurance Annual Report	23 CFR 637.207	Annually	1-Mar	Office of Infrastructure	Materials	Material Geotechnical Branch
50	Determination of Eligible Preventive Maintenance Activity - Cost-Effective Means of Extending Useful Life Determination	23 USC 116(e)	As needed	Not Applicable	Office of Infrastructure	Program Delivery	Material Geotechnical Branch
97	Approval of State Planning Work Program and Revisions (Part 1)	23 CFR 420.111, 23 CFR 420.115, and 23 CFR 420.209	Annually	Prior to Program Period	Office of Planning, Environment & Realty	Planning	Multimodal Planning
99	Approval of State's Distribution of Planning Funds Formula - Allocation Formulas for PL Funds	23 CFR 420.109, 23 USC 104(d)(2)(A)(i)	When Revised	Not Applicable	Office of Planning, Environment & Realty	Planning	Multimodal Planning

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107	Approval of Transportation Management Area (TMA) MPO Unified Planning Work Programs (UPWP)	23 CFR 450.308(b) and 23 CFR 420 (Subpart A)	Prior to Program End	Not Applicable	Office of Planning, Environment & Realty	Planning	Multim Planning
109	Approval of UPWP Revisions and Amendments (All MPO's)	23 CFR 420.115	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Multim Planning
110	Review of UPWP Performance and Expenditure Reports (All MPO's)	23 CFR 420.117(b)	Not more frequently than quarterly	Not Applicable	Office of Planning, Environment & Realty	Planning	Multim Planning
102	Review of Long-range Statewide Transportation Plan	23 CFR 450.214	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Multim Planning
118	Review of Metropolitan Transportation Plan (MTP) in Attainment Areas (and Updates)	23 CFR 450.322	Every 4 years	Not Applicable	Office of Planning, Environment & Realty	Planning	Multim Planning
119	Review of MTP in Non-Attainment and Maintenance Areas (and Updates)	23 CFR 450.322	Every 5 years	Not Applicable	Office of Planning, Environment & Realty	Planning	Multim Planning
	Transportation plan conformity determination for non-attainment areas	40 CFR 93.104(b)(3)	Every 4 years or as needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Multim Planning
123	Review of TIP Amendments	23 CFR 450.324(a); 23 CFR 450.328(b)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Office of F Management Budget Multim Planning
	TIP and corollary STIP amendments for attainment areas	23 CFR 450.324 - 330(a)	As requested by State - at least biennially	Not Applicable	Office of Planning, Environment & Realty	Planning	Office of F Management Budget Multim Planning
124	Approval of Air Quality Conformity Determination on TIP	23 CFR 450.326; 23 CFR 450.328	At least every 4 years, or when the TIP has been modified (unless exempt projects)	Not Applicable	Office of Planning, Environment & Realty	Planning	Multim Planning
126	In Metropolitan Planning Areas, Review of State and MPO Self-certification that Planning Process is in Accordance with Applicable Requirements	23 CFR 450.334 (a), 23 CFR 218(a)	Annually or concurrent with the STIP/TIP cycle	Not Applicable	Office of Planning, Environment & Realty	Planning	Multim Planning
103	Approval of Statewide Transportation Improvement Program (STIP)	23 CFR 450.216, 23 CFR 450.218(a) & (c), 23 USC 135(g)(7)	At least every 4 years	Not Applicable	Office of Planning, Environment & Realty	Planning	Office of F Management Budget Multim Planning

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104	Approval of STIP Amendments	23 CFR 450.218(a) & (c)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Office of Planning, Environment & Realty
105	Finding of Consistency of Planning Process with Section 134 and 135	23 USC 135(g)(8), 23 CFR 450.218(b)	Concurrent with STIP approval	Not Applicable	Office of Planning, Environment & Realty	Planning	Office of Planning, Environment & Realty
106	Review of State Self-certification that Planning Process is in Accordance with Applicable Requirements	23 CFR 450.218(a)	Submitted with proposed STIP or STIP amendments	Not Applicable	Office of Planning, Environment & Realty	Planning	Office of Planning, Environment & Realty
80	Review Designation and Re-designation of Primary Freight Network	23 USC 167(d)	One year after enactment of MAP-21 and every ten years thereafter		Office of Operations	Planning	Office of Operations
81	Review Development and Update of National Freight Strategic Plan	23 USC 167(f)	Three years after enactment of MAP-21 and every five years thereafter		Office of Operations	Planning	Office of Operations
82	Review Freight Transportation Conditions and Performance Report	23 USC 167(g)	Two years after enactment of MAP-21 and every two years thereafter		Office of Operations	Planning	Office of Operations
85	Operations Support Program	Annual Memo from HQ	Annually	1-Jul	Office of Operations	Planning	Office of Operations
91	Approval of National Network Modifications	23 CFR 658.11	As needed	Not Applicable	Office of Operations	Planning	Office of Operations
100	Review of State Public Involvement Procedures	23 CFR 450.210(a)	As needed	Not Applicable	Office of Planning, Environment & Realty	Environment	Office of Planning, Environment & Realty
101	Receipt of State Consultation Process for Non-metropolitan Local Officials	23 CFR 450.210(b)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Office of Planning, Environment & Realty
108	Approval of Non-TMA UPWA	23 CFR 450.308(b) and 23 CFR 420 (Subpart A)	Prior to Program End	Not Applicable	Office of Planning, Environment & Realty	Planning	Office of Planning, Environment & Realty
111	Approval of Report Before Publication (All MPO's)	23 CFR 420.117(e)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Office of Planning, Environment & Realty
112	Approval to use Planning Funds outside Urbanized Areas for States Receiving Minimum Apportionment	23 USC 104(d)(1)(A)(ii)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Office of Planning, Environment & Realty

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113	Review of Metropolitan Planning Area Boundary (Establishment and Changes)	23 CFR 450.312	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Multim Planning
114	Review of Metropolitan Transportation Planning Organizations (MPO) Designation and Re-designation	23 CFR 450.310	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Multim Planning
115	Review of Metropolitan Planning Agreements (MPA) for Attainment or Entire Nonattainment Area	23 CFR 450.314(a)	When Completed	Not Applicable	Office of Planning, Environment & Realty	Planning	Multim Planning
116	Review of MPA - for MPA that do not include the entire nonattainment or maintenance area	23 CFR 450.314(b), 23 USC 109(j)	When Completed	Not Applicable	Office of Planning, Environment & Realty	Planning	Multim Planning
117	Review of MPO Public Participation Procedures	23 CFR 450.316(a)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Multim Planning
120	Review of MTP Amendments	23 CFR 450.322(c)	As Needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Multim Planning
121	Air Quality Conformity Determination on LRTP in Non-attainment and Maintenance Areas	23 CFR 450.322(d)	Concurrent with LRTP updates at least every 4 years and as needed on amendments	Not Applicable	Office of Planning, Environment & Realty	Planning	Multim Planning
122	Review of Transportation Improvement Program (TIP)	23 CFR 450.300(a); 23 CFR 450.324(b); 23 CFR 450.328(a), 23 USC 134(j)(1)(D)	Prior to Program Period	Not Applicable	Office of Planning, Environment & Realty	Planning	Multim Planning
125	Federal Finding of Consistency of Planning Process with Section 134 and 135	23 CFR 450.218(b); 23 CFR 450.334(a)	Concurrent with (S)TIP submittal	Not Applicable	Office of Planning, Environment & Realty	Planning	Multim Planning
127	In TMA's, Certification that Planning Process is in Accordance with Applicable Requirements	23 CFR 450.334(b), 23 USC 134(k)(5)	Every 4 years		Office of Planning, Environment & Realty	Planning	Multim Planning
128	Approval of Federal-Aid Urban Area Boundaries	23 CFR 470.105 (a), 23 USC 101(a)(33)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Multim Planning
129	Approval of Revision of Functional Classification	23 CFR 470.105 (b)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Inform. Manage. Bran
130	Approval by Administrator of Interstate Additions & Revisions	23 USC 103(c)(1)(D), 23 CFR 470.111, 23CFR 470.115 (a)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Inform. Manage. Bran

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131	Approval by Office Director of National Highway System (NHS) Additions and Revisions	23 USC 103(b)(3), 23 CFR 470.113 and 470.115(a)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Multimodal Planning
132	Review of CMAQ Annual Report	CMAQ Guidance Memo October 31, 2006	Annually	1-Mar	Office of Planning, Environment & Realty	Planning	Multimodal Planning
133	Transportation Planning Excellence Awards		Annually	1-Feb	Office of Planning, Environment & Realty	Planning	Multimodal Planning
135	Approval of Public Involvement Program Procedures	23 CFR 771.111(h), 23 USC 128	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Multimodal Planning
153	Approval of Railroad Agreement Alternate Procedure	23 CFR 646.220	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Project Development Branch
161	Annual Traffic Reports	Traffic Monitoring Analysis System and Traffic Monitoring Guide reporting	When Published	As needed	Office of Highway Policy information	Planning	Information Management Branch
162	Approval of Annual Field Review Report	HPMS Field Review Guidelines (June 2001) Continuous Process Improvement Model for HPMS(February 2003)	Annually	1-Nov	Office of Highway Policy information	Planning	Information Management Branch
163	Approval of Certified Public Road Mileage	23 CFR 460.3(b)	Annually	1-Jun	Office of Highway Policy information	Planning	Information Management Branch
164	Approval of Data Submittal	23 CFR 420.105(b), HPMS Field Manual	Annually	15-Jun	Office of Highway Policy information	Planning	Information Management Branch
165	Highway Statistics Reports	Guide to Reporting Highway Statistics			Office of Highway Policy information	Planning	Office of Financial Management Budget ()
167	Vehicles and Drivers (561, 562, 566, and 571)	A Guide to Reporting Highway Statistics, Chapters 3, 4, 5, and 6	1-Apr	1-Apr	Office of Highway Policy information	Planning	Information Management Branch

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168	Finance (531, 532, 541, 542, and 543 (optional))	A Guide to Reporting Highway Statistics, Chapters 8 and 9	1-Apr	1-Apr	Office of Highway Policy information	Planning	Office of F Management Budget (
169	Transportation Bond Referendums	A Guide to Reporting Highway Statistics, Chapter 9	When Published	When Published	Office of Highway Policy information	Planning	Office of F Management Budget (
170	State DOT / Toll Authority Audits and Published Annual Reports and Form 539 (optional)	A Guide to Reporting Highway Statistics, Chapter 10	When Published	When Published	Office of Highway Policy information	Planning	Office of F Management Budget (
171	Finance (536)	A Guide to Reporting Highway Statistics, Chapter 11	30-Sep	30-Sep	Office of Highway Policy information	Planning	Office of F Management Budget (
172	Finance (534)	A Guide to Reporting Highway Statistics, Chapter 12	15-Jun	15-Jun	Office of Highway Policy information	Planning	Office of F Management Budget (
173	Highway Finance and Tax Legislation	A Guide to Reporting Highway Statistics, Chapter 13	When Published	When Published	Office of Highway Policy information	Planning	Office of F Management Budget (
174	State DOT Budgets and Published Annual Reports	A Guide to Reporting Highway Statistics, Chapter 13	When Published	When Published	Office of Highway Policy information	Planning	Office of F Management Budget (
175	Motor Fuel Oversight Review	July 24, 2001 HQ Memo	Initial baseline reports no later than December 31, 2003		Office of Highway Policy information	Planning	Departm Review
177	State Highway Maps (Tourist)		When Published	When Published	Office of Highway Policy information	Planning	Inform Management Bran
178	Traffic Flow Maps		When Published		Office of Highway Policy information	Planning	Inform Management Bran
179	Vehicle Classification Data	MAP-21, HPMS Field Manual, Traffic Monitoring Guide	15-Jun	15-Jun	Office of Highway Policy information	Planning	Inform Management Bran
184	Permanent ATR Data	Heavy Vehicle Travel Information System Field Manual	Monthly	Monthly	Office of Highway Policy information	Planning	Inform Management Bran
185	Continuous Automatic Vehicle Classifier Data	Heavy Vehicle Travel Information System Field Manual	Monthly	Monthly	Office of Highway Policy information	Planning	Inform Management Bran
	Congestion Management System	23 CFR 500.109	As needed/revise d by MPO/State		Office of Operations	Planning	Transport System Management Operat (TSM
	CMAQ funds eligibility determination	10/2008 CMAQ guidance memo	As requested by State		Office of Highway Policy information	Planning	Multim Planning

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	MPO/state air quality agency agreements	23 CFR 450.314(c)	As needed or revised by MPO/State		Office of Highway Policy information	Planning	Multimodal Planning
	Federal Lands Access Program (FLAP) discretionary funds application	23 USC 204	Periodic (usually annually, date varies)		Office of Highway Policy information	Planning	Division of Accountancy and Finance
	Traffic Monitoring System	23 CFR 500.203	As needed or revised by State		Office of Highway Policy information	Planning	Transportation System Management Operations (TSMO)
	Safe Routes to School Program	SAFETEA-LU 1404	Annually		Office of Highway Policy information	Planning	Multimodal Planning
68	Territorial Highway Program - Approval of Territory Agreement	23 USC 165(c)(5)	Reviewed and Revised as needed every two years		Office of Infrastructure		
84	Congestion Partnerships Assessment	Annual Memo from HQ	Annually	1-Jul	Office of Operations		
32	Determination of High Risk Categories - Limitation on Interstate Projects	23 USC 106(c)(4)(B)	As needed	Not Applicable	Office of Infrastructure	Program Delivery	Project Development Branch
34	Verify adoption of Design Standards (National Highway System, including Interstate)	23 CFR 625, 23 USC 109(b), 23 USC 109(c)(2), 23 USC 109(o)	As needed	Not Applicable	Office of Infrastructure	Program Delivery	Project Development Branch
36	Approval of State Standard Specifications	23 CFR 625.3	As needed	Not Applicable	Office of Infrastructure	Program Delivery	Project Development Branch
37	Verify State Design Exception Policy complies with FHWA Policy	23 CFR 625.3	As needed	Not Applicable	Office of Infrastructure	Program Delivery	Project Development Branch
38	Approval of State Standard Detail Plans	23 CFR 625.3	As needed	Not Applicable	Office of Infrastructure	Program Delivery	Project Development Branch
40	Review of Value Engineering Policy and Procedures	23 CFR 627.1(b)&(c), 23 CFR 627.7; FHWA Order 1311.1B	As needed	Not Applicable	Office of Infrastructure	Program Delivery	Project Development Branch
41	Review of Value Engineering Annual Report	23 CFR 627.7, FHWA Order 1311.1B	Annual	Not Applicable	Office of Infrastructure	Program Delivery	Project Development Branch
43	Approval of Liquidated Damages Rate	23 CFR 635.127	Every 2 years	Not Applicable	Office of Infrastructure	Program Delivery	Project Development Branch
51	Approval of Utility Agreement / Alternate Procedure	23 CFR 645.119	As needed	Not Applicable	Office of Infrastructure	Program Delivery	Project Development Branch
52	Approval of Utility Accommodation Policy	23 CFR 645.215, 23 USC 109(l), 23 USC 123	As needed	Not Applicable	Office of Infrastructure	Program Delivery	Project Development Branch

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66	Local Public Agency (LPA) Oversight	49 CFR Part 18 - 18.37 and 18.40; OMB Circular A-133; 23 USC 106(g)(4)	As needed	Not Applicable	Office of Infrastructure	Program Delivery	Project Development Branch
	Buy America waiver (all projects)	23 CFR 635.410	As needed		Office of Infrastructure	Program Delivery	Project Development Branch
	Competitive Bidding Exceptions not defined by 23CFR635B		As requested		Office of Infrastructure	Program Delivery	Project Development Branch
	Termination of Contract	23 CFR 635.125	As needed		Office of Infrastructure	Program Delivery	Project Development Branch
	Advertisement Period	635 112(b)	Project by project		Office of Infrastructure	Program Delivery	Project Development Branch
	Concurrence in Award	23 CFR 635.114, 23 USC 112(d)	Project by project		Office of Infrastructure	Program Delivery	Project Development Branch
	Rejection of all bidders	23 CFR 635.114 (h)	Project by Project		Office of Infrastructure	Program Delivery	Project Development Branch
	Defense Access Roads	23 CFR 660 Part E	As needed		Office of Infrastructure	Program Delivery	Project Development Branch
	Project Authorizations (FMIS) Preconstruction	23 CFR 630.106	Project by project		Office of Infrastructure	Program Delivery	Project Development Branch
	Authorization to Advertise - Construction (FMIS)	23 CFR 635.309	Project by project		Office of Infrastructure	Program Delivery	Project Development Branch
	Claims	23 CFR 635.124	As needed		Office of Infrastructure	Program Delivery	Project Development Branch
	Public Agency Furnished Material	23 CFR 635.407	As needed		Office of Infrastructure	Program Delivery	Project Development Branch
	Consultant Services	23 CFR 172.5	As needed		Office of Infrastructure	Program Delivery	Project Development Branch
	Approve Design RFP's	23 CFR 635.112, 23	As needed		Office of Infrastructure	Program Delivery	Project Development Branch
	Competitive Bidding Exceptions (Force Account)	23 CFR 635.104, 23 USC 112, 23 CFR 635B	As requested		Office of Infrastructure	Program Delivery	Project Development Branch
	Warranties	23 CFR 635.413	As needed		Office of Infrastructure	Program Delivery	Project Development Branch
	Convict Produced Material	23 CFR 635.417	As needed		Office of Infrastructure	Program Delivery	Project Development Branch
	Use of Public Owned Equipment	23 CFR 635.106	As needed		Office of Infrastructure	Program Delivery	Project Development Branch
	D/B and CM/GC RFP	CFR 636.109	Project by project		Office of Infrastructure	Program Delivery	Project Development Branch

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	Addenda During Advertisement	635 112(c)	Project by project		Office of Infrastructure	Program Delivery	Project Development Branch
	Final Inspection/Final acceptance	23 CFR 637	As needed		Office of Infrastructure	Program Delivery	Project Development Branch
	Major CMOs	23 CFR 635.120, 121, 102	As needed		Office of Infrastructure	Program Delivery	Project Development Branch
	Projects Near Airports	23 CFR 620.103	As requested project by project		Office of Infrastructure	Program Delivery	Project Development Branch
	Railroad Agreement	23 CFR 646.216	As requested project by project		Office of Infrastructure	Program Delivery	Project Development Branch
	Subcontract Process	23 CFR 636.116	One time		Office of Infrastructure	Program Delivery	Project Development Branch
	Railroad Agreement Alternate Procedure	23 CFR 646.220	One time		Office of Infrastructure	Program Delivery	Project Development Branch
	Bid Opening/Tabulations	23 CFR 635.113	Per letting		Office of Infrastructure	Program Delivery	Project Development Branch
	Payroll	23 CFR 635.118	As needed		Office of Infrastructure	Program Delivery	Project Development Branch
	Non-major CMOs	23 CFR 635.120	As needed		Office of Infrastructure	Program Delivery	Project Development Branch
	Dispute Review Board Recommendations	23 CFR 635.124	As needed		Office of Infrastructure	Program Delivery	Project Development Branch
	Construction Inspection	23 CFR 637	As needed		Office of Infrastructure	Program Delivery	Project Development Branch
	Emergency Repair/Projects	23 CFR 635.204	As requested		Office of Infrastructure	Program Delivery	Project Development Branch
	Changed Conditions	23 CFR 635.109	As needed		Office of Infrastructure	Program Delivery	Project Development Branch
	Changes and Extra Work	23 CFR 635.120, 121	As needed		Office of Infrastructure	Program Delivery	Project Development Branch
141	Approval of Acquisitions, Appraisals, and Relocations Program and Procedures	49 CFR Part 24, The UA	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	Project Development Branch
142	Early Acquisitions	23 CFR 710.501	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	Project Development Branch
143	Local Public Agency Oversight	49 CFR 24.4(b); 23 CFR 710.201	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	Project Development Branch
144	Approval of Highway Facility Relinquishment	23 CFR 620.203	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	Project Management Program

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	Approval of Highway Facility Relinquishment	23 CFR 620.203	As needed		Office of Planning, Environment & Realty	ROW	Prope Manage Progr
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	Approval of Highway Facility Relinquishment	23 CFR 620.203	As needed		Office of Planning, Environment & Realty	ROW	Prope Manage Progr
	Approval of Highway Facility Relinquishment	23 CFR 620.203	As needed		Office of Planning, Environment & Realty	ROW	Prope Manage Progr
	Approval of Highway Facility Relinquishment	23 CFR 620.203	As needed		Office of Planning, Environment & Realty	ROW	Prope Manage Progr
145	Approval of ROW Disposal Authorization Request	23 CFR 710.409	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	Prope Manage Progr
	Approval of ROW Disposal Authorization Request	23 CFR 710.409	As needed		Office of Planning, Environment & Realty	ROW	Prope Manage Progr
146	Approval of ROW Operations Manual (Organization, Policies and Procedures), Updates, and Certification	23 CFR 710.201	January 1, 2001 and every 3 years thereafter or as required by changes in State law or Federal regulation or law	Not Applicable	Office of Planning, Environment & Realty	ROW	Proj Develop Bran
	Approval of ROW Operations Manual (Organization, Policies and Procedures), Updates, and Certification	23 CFR 710.201	By Jan. 1, 2001 and updated as needed		Office of Planning, Environment & Realty	ROW	Proj Develop Bran
	Approval of Exception to Charging Fair Market Value	23 CFR 710.403 and 23 CFR 710.409	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	Proj Develop Bran
	Approval of Interstate Real Property Use Agreements	23 CFR 710.405	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	Proj Develop Bran

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	Approval of Interstate Real Property Use Agreements	23 CFR 710.405	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	Proj Develop Branch
149	Approval of Request for Federal Land Transfer	23 CFR 710.601	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	Proj Develop Branch
150	Approval of Request for Direct Federal Acquisition	23 CFR 710.603	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	Proj Develop Branch
151	Approval of Outdoor Advertising Policies and Procedures, and Regulation and Procedure Approval	23 CFR 750.304, 23 CFR 750.705, 23 USC 131	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	Proj Develop Branch
152	Approval of Requests to Exempt Certain Nonconforming Signs, Displays, and Devices	23 CFR 750.503	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	Proj Develop Branch
154	Approval of Uniform Act Waivers and Waivers from Availability of Comparable Replacement Dwelling before Displacement	49 CFR 24.7, 49 CFR 24.204(b)	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	Proj Develop Branch
155	Review of Uniform Relocation Assistance & Real Property Acquisition Report -(OMB Form 2125-0030)	49 CFR 24.9c & Appendix B 49 CFR 24.603	Annually	15-Nov	Office of Planning, Environment & Realty	ROW	Proj Develop Branch
156	Review of Real Property Acquisition Statistical Report	FHWA Order 6540.1	Annually	15-Nov	Office of Planning, Environment & Realty	ROW	Proj Develop Branch
	Functional Replacement	23 CFR 710.509	As needed		Office of Planning, Environment & Realty	ROW	Proj Develop Branch
	Outdoor Advertising sign removal projects	23 CFR 750.307	As needed		Office of Planning, Environment & Realty	ROW	Proj Develop Branch
	Hardship and Protective Buys	23 CFR 710.503	As needed		Office of Planning, Environment & Realty	ROW	Proj Develop Branch
	ROW Plan Authorization	23 CFR 710.201 (i)	As needed		Office of Planning, Environment & Realty	ROW	Proj Develop Branch
	ROW Conditional Clearance Certification	23 CFR 635.309	As needed		Office of Planning, Environment & Realty	ROW	Proj Develop Branch
35	Approval of preliminary plans of Major and Unusual Bridges on the Interstate Highway System	(M1100.A)	As needed	Not Applicable	Office of Infrastructure	Structures	Staff B

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53	Review Bridge Construction, Geotechnical, and Hydraulics	23 CFR 650	As needed	Not Applicable	Office of Infrastructure	Structures	Staff B
54	Review Plans of Corrective Action established to address NBIS compliance issues	23 CFR 650, 23 USC 144	Annually		Office of Infrastructure	Structures	Staff B
55	Review NBI Data Submittal	23 CFR 650 Subpart C, Annual Memo from HQ, 23 USC 144	Annually	1-Apr	Office of Infrastructure	Structures	Staff B
56	Review structurally deficient bridge construction Unit Cost submittal	23 USC 144	Annually	1-Apr	Office of Infrastructure	Structures	Staff B
57	Review Section 9 of the Rivers and Harbors Act Submittals (Bridge Permits)	23 CFR 650 Subpart H; 33 CFR 114 & 115	As needed	Not Applicable	Office of Infrastructure	Structures	Staff B
58	Approval for reduction of expenditures for off-system bridges	23 USC 133(g)(2)(B)	As needed	Not Applicable	Office of Infrastructure	Structures	Staff B
	HBP Unit Cost Submittal & NBI Tape Submittal	23 CFR 650 Subpart D	Annually	1-Apr	Office of Infrastructure	Structures	Staff B
3	FIRE Program Activities	FHWA Order 4560.1B (or as superseded)	Ongoing		Office of Chief Financial Officer	Finance	Office of Financial Management & Budget (
	FIRE Program Activities - Inactive Projects Review	FIRE Order 4560 1.c	Quarterly	Dec 31, Mar 31, June 30, and Sept 30	Office of Chief Financial Officer	Finance	Division of Accounting & Finance

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1	Appropriations, Allotments, Obligations	31 USC 1341(a)(1)(A)& (B); 31 USC 1517(a); 23 USC 118(b), 23 USC 121	As needed	Not Applicable	Office of Chief Financial Officer	Finance	Office of Financial Management Budget (
2	Approval of Indirect Cost Allocation Plans (ICAPs)	49 CFR Part 18; 2 CFR 200 Subpart E (previously 2 CFR 225); ASMBC-10	As needed	Not Applicable	Office of Chief Financial Officer	Finance	Office of Financial Management Budget (
4	Audit Coordination/FHWA Financial Statement Audit/State External Audit Reviews/State Internal Audit Reviews	FMFIA, 49 CFR 18.26; OMB Circular A-123, 133; GAAP, CFO Act of 1990; DOT Order 8000.1C	As needed	Not Applicable	Office of Chief Financial Officer	Finance	Office of Financial Management Budget (
5	Improper Payments Review	Improper Payments Information Act of 2002, PL 107-300, Improper Payments Elimination and Recovery Act of 2010, PL 111-204, Improper Payments Elimination and Recovery Improvement Act of 2012, PL 112-248	Annually		Office of Chief Financial Officer	Finance	Office of Financial Management Budget (
6	Transfer of Funds between programs or to other FHWA offices or agencies as requested by State	23 USC 126	As needed	Not Applicable	Office of Chief Financial Officer	Finance	Office of Financial Management Budget (
7	Reviews of State Transportation Departments Financial Management Systems - Financial Integrity	23 USC 106(g)(2)(A)	Annually	Not Applicable	Office of Chief Financial Officer	Finance	Office of Financial Management Budget (
8	Review Adequacy of Sub-recipient Project Delivery Systems and Sufficient Accounting Controls	23 USC 106(g)(4)(A)(i)	As needed	Not Applicable	Office of Chief Financial Officer	Finance	Office of Financial Management Budget (

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	to Manage Federal Funds						
9	Periodic Reviews of States Monitoring of sub-recipients	23 USC 106(g)(4)(B)	As needed	Not Applicable	Office of Infrastructure	Finance	Office of F Management Budget (
10	Approval of Increased Federal Share Agreement (Sliding Scale)	23 USC 120(b)(2)	As determined by the Federal Share Agreement	Not Applicable	Office of Chief Financial Officer	Finance	Office of F Management Budget (
65	Toll Credit and Maintenance of Effort (MOE) Calculation and Agreement	23 USC 120(i)	Annually		Office of Infrastructure	Finance	Office of F Management Budget (
70	GARVEEs	23 USC 122;GARVEE Guidance 3/14	As needed	Not Applicable	Office of Innovative Program Delivery	Finance	Office of F Management Budget (
71	State Infrastructure Banks	NHS Act Section 308; 23 USC 610; SIB Guidance 3/14	Annual Report	Not Applicable	Office of Innovative Program Delivery	Finance	Office of F Management Budget (
166	Motor Fuels Report	A Guide to Reporting Highway Statistics, Chapter 2	Due 60 days after end of each reporting month		Office of Highway Policy information	Planning	Multim Planning
180	Highway Use Tax Evasion Grant Awards	23 USC 143	Annual	Not Applicable	Office of Highway Policy information	Planning	Multim Planning

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181	Heavy Vehicle Use Tax (HVUT) - Certification of verifying proof-of-payment of HVUT	23 CFR 669.7	1-Jul	1-Jul	Office of Highway Policy information	Planning	Multim Planning
182	Heavy Vehicle Use Tax (HVUT) - Certification of verifying proof-of-payment of HVUT	23 CFR 669	Annual	1-Jan	Office of Highway Policy information	Planning	Multim Planning
183	Heavy Vehicle Use Tax (HVUT) - Triennial review of State program	23 CFR 669.21	Triennial	Not Applicable	Office of Highway Policy information	Planning	Multim Planning
	Quality Financial Management Initiative (QFMI) and Quality Assurance Reviews (QAR)	Memo HFS-40, 12/01/97	Continuous		Office of Chief Financial Officer	Finance	Division Accounti Finance
	Monitoring of projects for end dates and closure	2 CFR 200	Continuous		Office of Chief Financial Officer	Finance	Division Accounti Finance
	Annual Update of the Major Project Financial Plan(s)	FHWA Financial Plan Guidance May 2000 & Interim Dec 2005; MAP-21 Interim Major Project Financial Plan Guidance	As required and according to initial plan for due dates		Office of Chief Financial Officer	Finance	Division Accounti Finance
	Federal Managers Financial Integrity Act Assurance Statement	Congressional Act 1982	Annually	1-Oct	Office of Chief Financial Officer	Finance	Division Accounti Finance
	Project Agreements	23 CFR 630 Subpart C	As needed		Office of Chief Financial Officer	Finance	Division Accounti Finance
	Fed-aid billing reimbursement of eligible expenditures	23 CFR 140 and 635.122	As requested by CDOT Accounting		Office of Chief Financial Officer	Finance	Division Accounti Finance

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	Highway taxes and fees report	HQ memo of request	Annual for State system, Biannual for non-state system		Office of Highway Policy information	Planning	Multimodal Planning
63	States and sub-recipient failure to maintain projects - Notice and withholding Federal-aid Funds	23 USC 116(d)	As needed	Not Applicable	Office of Infrastructure	Program Delivery	Division of Highway Maintenance
147	Approval of Exception to Charging Fair Market Value	23 CFR 710.403 and 23 CFR 710.409	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	Project Development Branch
148	Approval of Interstate Real Property Use Agreements	23 CFR 710.405	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	Project Development Branch
92	Intelligent Transportation System Architecture & Standards	23 CFR Part 940	As needed	Not Applicable	Office of Operations	Planning	Transportation System Management Operations (TSMO)
	Conformity with National ITS Architecture and Standards	23 CFR 940.5			Office of Operations	Planning	Transportation System Management Operations (TSMO)
	Regional ITS Architecture	23 CFR 940.9			Office of Operations	Planning	Transportation System Management Operations (TSMO)
	ITS Project Implementation (Systems Engineering Analysis)	23 CFR 940.11			Office of Operations	Planning	Transportation System Management Operations (TSMO)
86	Traffic Incident Management Self-Assessment	Annual Memo from HQ	Annually	1-Jul	Office of Operations	Planning	Transportation System Management Operations (TSMO)
	Real-Time System Management Information Program	23 CFR Part 511 Subpart C	Annually	As prescribed by the Rule	Office of Operations	Planning	Transportation System Management Operations (TSMO)
	Project Administration - ITS	23 CFR 940.13			Office of Operations	Planning	Transportation System Management Operations (TSMO)
87	Work Zone Self-Assessment	Annual Memo from HQ	Annually	7/1/2013, This project is currently on hiatus and has not been determined whether it will be reestablished or not.	Office of Operations	Safety	Transportation System Management Operations (TSMO)

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88	Approval of State-Prepared Manual on Uniform Traffic Control Devices - State Traffic Control Manuals	23 CFR 655.603, 23 USC 109(d)	As needed	Not Applicable	Office of Operations	Safety	Transportation System Management Operations (TSMO)
93	Approval of Work Zone Significant Project Determination	23 CFR 630.1010	As needed		Office of Operations	Safety	Transportation System Management Operations (TSMO)
94	Approval of Exceptions to Work Zone Procedures for Interstate Projects	23 CFR 630.1010	As needed		Office of Operations	Safety	Transportation System Management Operations (TSMO)
95	Approval of Work Zone Policy and Procedures Conformance Review	23 CFR 630.1014	At appropriate intervals		Office of Operations	Safety	Transportation System Management Operations (TSMO)
96	Process Review of Work Zone Safety and Mobility Procedures	23 CFR 630.1008, 23 USC 109(e)(2), 23 USC 112(g)	Every 2 years		Office of Operations	Safety	Transportation System Management Operations (TSMO)
	Repeat Offender law	23 USC 164, 1406	Update as amended		Office of Safety	Safety	Transportation System Management Operations (TSMO)
	Primary Seat belt law	23 CFR 1215.6	Annually (Each FY)		Office of Safety	Safety	Transportation System Management Operations (TSMO)
	Zero tolerance law & enforcement certification	23 CFR 1210.5	Update as amended		Office of Safety	Safety	Transportation System Management Operations (TSMO)
	Drug offender DL revocation or suspension certification by Governor	23 USC 159, 23 CFR 192.5	Annually	Jan. 1	Office of Safety	Safety	Transportation System Management Operations (TSMO)
	MUTCD Adoption and Colorado Supplement	23 CFR 655.603	2 yrs. after MUTCD update is released		Office of Safety	Safety	Transportation System Management Operations (TSMO)
	Rail Highway Grade Crossing Program	23 USC 130	Annually	31-Aug	Office of Safety	Safety	Transportation System Management Operations (TSMO)
	Highway Safety Improvement Program	23 USC 148	Annually	31-Aug	Office of Safety	Safety	Transportation System Management Operations (TSMO)
	Project crash data	23 CFR 630.1008	Continuous		Office of Safety	Safety	Transportation System Management Operations (TSMO)

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	Strategic Highway Safety Plan	23 CFR 924.9 (a)(ii) 23 CFR 924.13 (2)	Every 3 years or as deemed necessary	6/30/2015	Office of Safety	Safety	Transportation System Management Operations (TSMO)
33	Approval of State 3R Program	23 CFR 625.4(a)(3), 23 USC 109(n)	As needed	Not Applicable	Office of Infrastructure	Program Delivery	Division of Supply
72	Section 129 Tolling Authority Requests	23 USC 129(a)	As needed	Not Applicable	Office of Innovative Program Delivery	Program Delivery	High Performance Transportation Enterprise
73	Section 166 HOV/HOT Lanes Tolling Authority Requests	23 USC 166(d)	As needed	Not Applicable	Office of Innovative Program Delivery	Program Delivery	High Performance Transportation Enterprise
74	Value Pricing Pilot Program Tolling Authority Requests	ISTEA Section 1012(b)	As needed	Not Applicable	Office of Innovative Program Delivery	Program Delivery	High Performance Transportation Enterprise
75	Interstate System Reconstruction and Rehabilitation Pilot Program Tolling Authority Requests	TEA-21 Section 1216(b)	As needed	Not Applicable	Office of Innovative Program Delivery	Program Delivery	High Performance Transportation Enterprise
76	Annual Audit of Toll Facility Records and Certification of Adequate Maintenance - Report Submittal	23 USC 129(a)(3)(B); TEA-21 Section 1216(b)(5)(B); SAFETEA-LU Section 1604(b)(3)(A); ISTEA Section 1012(b)(3)	Annually		Office of Innovative Program Delivery	Program Delivery	High Performance Transportation Enterprise
176	Review of Biennial - Toll Facilities in the United States	23 CFR 450.105(b) HPMS Field Manual	Biennially - Odd Years	June 15 (Odd Years)	Office of Highway Policy Information	Program Delivery	High Performance Transportation Enterprise
64	Emergency Relief (ER) Damage Assessments and Reports	23 CFR 668 23 USC 120 and 125	As needed	Not Applicable	Office of Infrastructure	Program Delivery	Office of Emergency Management
69	TIFIA Credit Program	23 USC 601-609	As needed	Not Applicable	Office of Innovative Program Delivery	Program Delivery	Office of Project
77	Project Management Plan (Major Projects)	23 U.S.C. 106(h)(2)	Prior to first federal authorization of construction funds for a Major Project	Not Applicable	Office of Innovative Program Delivery	Division Office will conduct concurrent review with HQ Office of Innovative Program Delivery.	State Department of Transportation will prepare and submit Project Management Plan
78	Financial Plan (Major Projects)	23 U.S.C. 106(h)(3)	Prior to first federal authorization of construction funds for a Major Project and then annually.	Annually as noted in the approved Initial Financial Plan	Office of Innovative Program Delivery	Division Office will conduct concurrent review with HQ Office of Innovative Program Delivery.	State Department of Transportation will prepare and submit a Financial Plan

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79	Financial Plan (Other Projects)	23 U.S.C. 106(i)	Prior to first federal authorization of construction funds for an Other Project and then annually.	Annually as noted in the approved Initial Financial Plan	Office of Innovative Program Delivery	Division Office will review and approve Financial Plans for Other Projects in accordance with its stewardship and oversight agreement with the State DOT or Project Sponsor.	State DOT Project Sponsor will prepare and submit a Financial Plan to the Division Office, or request
67	Approval to Sell, Lease or Otherwise Dispose of a Ferry Purchased with Federal-aid Funds	23 USC 129 (c)(6)	As needed	Not Applicable	Office of Infrastructure	N/A	N/A
89	Review Vehicle Size & Weight Enforcement Plan	23 CFR 657.11, 23 USC 127	Annually	1-Oct	Office of Operations	Planning	N/A
90	Review Vehicle Size & Weight Enforcement Certification	23 CFR 657.13, 23 USC 141	Annually	1-Jan	Office of Operations	Planning	N/A