

STIP Development Guidance and 4P Process Statewide Transportation Improvement Program

STIP DEVELOPMENT GUIDANCE and PROJECT PRIORITY PROGRAMMING PROCESS (4P)

Adopted by Colorado Transportation Commission in June 2020

I. Introduction

This guidance document provides a framework for the development and amendment of the Statewide Transportation Improvement Program (STIP) as required by the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) for the programming of transportation projects allowed under the Titles 23 and 49 of the US Code. The STIP must demonstrate fiscal constraint and be consistent with the CDOT Statewide Transportation Plan (SWP), for a period of at least four years. This guidance is consistent with Policy Directive (PD) 703.0 Annual Budget, Project Budgeting and Cash Management Principles, Part V., Section F, which outlines the general policy foundation for the STIP. This guidance reflects current regulations and policies and supersedes the 4P and STIP Development Guidelines adopted in February 2015.

II. Definitions

“10-Year Vision for Colorado's Transportation System (10-Year Vision)” is a specific list of projects categorized across five priority areas: Improving our Interstates, Relieving Traffic, Improving Rural Access Statewide, Rural Paving, and Road Condition and Maintenance. This list of projects will inform what projects move into the STIP as funding becomes available.

“Fiscal Constraint” for the STIP means that it includes sufficient financial information for demonstrating that projects in the STIP can be implemented using committed, available or reasonably available revenue sources, with reasonable assurance that the federally supported transportation system is being adequately operated and maintained. Fiscal constraint applies to each State fiscal year.

“Funding Program” shall mean a division of Program Distribution that is allocated to the CDOT Regions and TMAs for planning and budgeting purposes. NOTE: the only funding programs that the TMAs receive direct allocations for are CMAQ, STP-Metro, and TAP.

“MPO” shall mean Metropolitan Planning Organization, which is a geographic area with a population of 50,000 or more. In Colorado there are two small MPOs with populations of more than 50,000, but less than 200,000. These are the Grand Valley MPO (GVMPO) and the Pueblo Area Council of Governments (PACOG). Colorado also has three large MPOs, with populations over 200,000. These are the Denver Regional Council of Governments (DRCOG), the Pikes Peak Area Council of Governments (PPACG), and the North Front Range MPO (NFRMPO).

“Non-Regionally Significant Project” shall mean projects that are not considered to be of appropriate scale for individual identification in the STIP in a given program year, and which are grouped in the STIP within a STIP Pool or Regional Sub-Program.

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“Program Distribution” shall mean the Transportation Commission approved document assigning dollars to specific funding programs for the same time period as the current long-range Statewide Transportation Plan.

“Program List” shall mean a list of Regionally Significant and Non-Regionally Significant projects corresponding with specific initiatives or CDOT programs for funding transportation. For example, a list of projects has been identified to utilize funding legislated through Senate Bills 18-001 and 19-267. This program list is called the SB1/SB267 List.

“Regionally Significant Project” shall mean a project serving regional transportation needs and of significant scale to be typically included in transportation demand modeling for air quality emissions analysis and identified individually in the STIP.

“STIP” shall mean Statewide Transportation Improvement Program – A federally required, fiscally constrained statewide prioritized listing/program of transportation projects covering a period of four years that is consistent with the long-range statewide transportation plan, metropolitan transportation plans, and TIPs, and required for projects to be eligible for funding under title 23 U.S.C. and title 49 U.S.C. Chapter 53.

“STIP Administrative Modification” shall mean a minor revision that includes minor changes to a Regionally Significant project, including costs, funding sources, initiation dates, or design concept or scope or minor revision to a program amount.

“STIP Amendment” shall mean a revision to a Regionally Significant project, including addition or deletion, major change to cost, initiation dates, or design concept or scope; as well as a major change to a program fund amount; or the addition of a new Program List that has not yet been vetted through the planning process and discussed with CDOT’s planning partners and stakeholders.

“STIP Pool” shall mean a logical grouping of projects, typically based on a CDOT funding program, such as Surface Treatment, that may include Non-Regionally Significant projects grouped under that program and included in the STIP.

“TIP” shall mean Transportation Improvement Program – A federally required, fiscally constrained prioritized listing/program of transportation projects covering a period of four years that is developed and formally adopted by an MPO as part of the metropolitan transportation planning process, consistent with the metropolitan transportation plan, and required for projects to be eligible for funding under title 23 U.S.C. and title 49 U.S.C. Chapter 53.

“TMA” shall mean Transportation Management Area. A TMA is an MPO that has a population of 200,000 or greater. Colorado has three TMAs: DRCOG, PPACG, and NFRMPO.

“TPR” shall mean Transportation Planning Region. In Colorado there are 15 geographically contiguous areas designated as transportation planning regions. There are 10 rural TPRs and 5 metropolitan areas, also known as MPOs. These planning regions are established in the Statewide Planning Rules: 2CCR 601-22 - *RULES GOVERNING STATEWIDE TRANSPORTATION PLANNING PROCESS AND TRANSPORTATION PLANNING REGIONS*

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III. Regulatory Guidance

The statutory and regulatory framework for the STIP and STIP development processes includes:

- 23 United States Code (U.S.C.) 134 and 135, and its implementing regulations;
- 49 United States Code (U.S.C.) 53 and its implementing regulations;
- 23 Code of Federal Regulations (CFR) Part 450
- 49 Code of Federal Regulations (CFR) Part 613
- § 43-1-106(8)(a), Colorado Revised Statutes (C.R.S.) Transportation Commission;
- § 43-1-1101-1104, C.R.S. Transportation planning.

IV. Planning and Programming Process

The Planning and Programming Process includes the development of a 20+ year Statewide Transportation Plan (SWP), a 10-Year Vision plan, and a four-year Statewide Transportation Improvement Program (STIP). A new STIP is developed annually; however, it links to the Statewide Plan (SWP) and Regional Transportation Plans (RTPs), and the 10-Year Vision for Colorado's Transportation System. The development of these plans/programs requires extensive coordination with each MPO and TPR. The process begins with the identification of projected transportation conditions and needs, forecast revenues, performance objectives, and policies. Corridor needs, visions, strategies, priorities, and improvements are identified. The 10-Year Vision sets the vision for delivering projects for a better, safer transportation system for Colorado should additional revenue become available. The 4 year STIP lists projects to be implemented within fiscal constraint by year. The development of the STIP follows the Project Priority Programming Process (4P) described in section VIII.

V. Statewide Transportation Plan

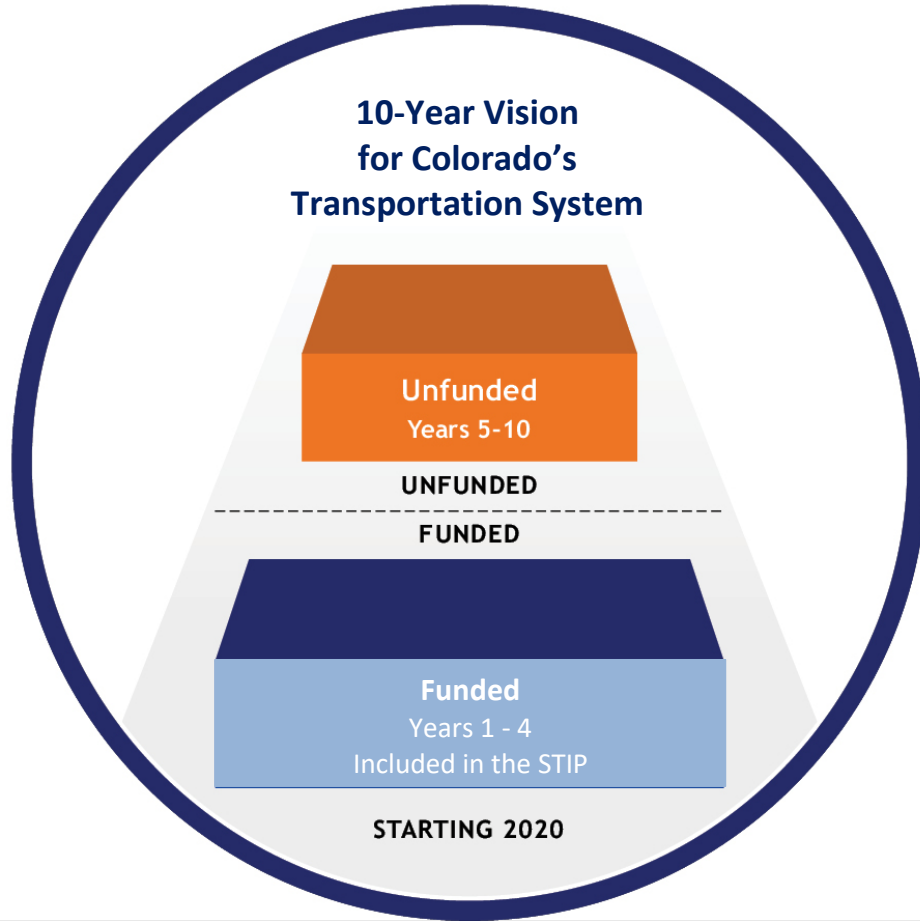
The Statewide Transportation Plan (SWP) outlines transportation needs, and goals and objectives over the next 20-plus years and provides a roadmap for transportation investments. It incorporates other long range plans including the Regional Transportation Plans (RTPs), modal plans (i.e. Transit, Bicycle/Pedestrian, Aviation, etc.), topical plans (Freight, Operations, Safety, etc.) as well as the Transportation Commission planning policies, performance goals and objectives, revenue projections, system and demographic data analysis, the results of the coordination with TPRs and MPOs, corridor visions, strategies, priorities, and improvements, and the results of public involvement and comments.

VI. 10-Year Vision for Colorado's Transportation System

The 10-Year Vision represents CDOT's 10-year outlook for delivering an effective and efficient transportation system that works for Colorado today and in the future. The first four years of projects are funded projects and are included in the STIP. This first set of funded projects provide the initial steps toward delivering a better, safer transportation system for Colorado. Years 5-10 of the 10-Year Vision are unfunded and represent achievable projects that are ready to move into the STIP during the annual STIP update or should additional revenue become available. The 10-Year Vision aligns with what we heard from Coloradans as documented in the public outreach activities for the Statewide Transportation Plan (SWP).

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VII. STIP

A. Framework

The STIP will be a rolling four-year plan which meets federal guidelines and regulations per 23 U.S.C. 134 and 135, and 23 CFR, Part 450, plus the corresponding transit regulations 49 U.S.C. 50 and 49 C.F.R. Part 613. The STIP will identify all Regionally Significant projects. Non-Regionally Significant projects will be grouped under STIP Pools. Both Regionally Significant and non-Regionally Significant projects can be identified outside of the STIP on Program Lists corresponding with specific legislative or CDOT program initiatives. The STIP will be developed annually, to include the addition of a year to maintain a full four year STIP period. Once every four years, concurrent with the Statewide Plan development cycle, the STIP will undergo a larger, more intensive development process to include a full review of the STIP and the 10-Year Vision to ensure priorities match the transportation needs of the state.

STIP Amendments will be processed on an as-needed basis and will include a public involvement process and Transportation Commission approval. CDOT has written agreements with each MPO to utilize the MPO amendment and modification process for CDOT projects located within the MPO. Once the MPO has completed their process, changes are then made administratively in the STIP. STIP Administrative Modifications will be processed on an as needed basis.

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B. Four Year Work Program

The four-year work program is an internal CDOT project management tool that includes detailed, current schedules and projected expenditures for the projects included in the STIP. The Work Program will be used by the CDOT Office of Program Management to conduct risk assessment, to track progress on all of the projects or programs, and to support cash management efforts.

C. Regionally Significant Projects

Regionally Significant projects shall be defined as those projects serving regional transportation needs and of sufficiently significant scale to be typically included in transportation demand modeling for air quality emissions analysis. Regionally Significant projects are defined federally in 23 CFR 450.104:

Regionally significant project means a transportation project (other than projects that may be grouped in the TIP and/or STIP or exempt projects as defined in EPA's transportation conformity regulation (40 CFR part 93)) that is on a facility which serves regional transportation needs (such as access to and from the area outside the region; major activity centers in the region; major planned developments such as new retail malls, sports complexes, or employment centers; or transportation terminals) and would normally be included in the modeling of the metropolitan area's transportation network. At a minimum, this includes all principal arterial highways and all fixed guideway transit facilities that offer a significant alternative to regional highway travel.

MPO's may have their own definition of Regionally Significant projects for the development of their TIP. Each TIP will be included within the STIP directly or by reference without change according to federal guidelines.

Regionally Significant projects are identified individually in the STIP showing expected costs laid out by year on an expenditure basis. The Region or division of CDOT administering the project is responsible for identifying Regionally Significant projects for STIP purposes. Questions on regional significance may be directed to the CDOT Multimodal Planning Branch.

D. Non-Regionally Significant Projects

Per Federal regulations, non-Regionally Significant projects are projects that are not considered to be of appropriate scale for individual identification in the STIP in a given program year, and which are grouped under a STIP Pool. These types of projects typically include Surface Treatment, Bridge, asset management projects, FASTER Safety projects, and many of the projects funded through suballocated programs such as CMAQ and TAP.

E. STIP Amendments and STIP Administrative Modifications

There are two types of changes that apply to the STIP: STIP Amendments and STIP Administrative Modifications.

A STIP Amendment is any major change to a Regionally Significant project, including addition to or deletion from the STIP, major change to cost, initiation dates, or scope, or a major change to STIP Program or Regional Sub-Program amounts. This type of change requires public review, re-demonstration of fiscal constraint and Transportation Commission approval.

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A STIP Administrative Modification is any minor change to a Regionally Significant project, including a minor change to cost, initiation dates, or scope, or a minor change to STIP Program or Regional Sub-Program amounts. This type of change does not require public review, re-demonstration of fiscal constraint, or Transportation Commission approval.

Changes to Non-Regionally Significant projects including adding or deleting projects, major or minor changes to cost, scope, or initiation constitute a STIP Administrative Modification. As noted previously, Program Lists identify the Non-Regionally Significant projects funded within STIP Programs or Regional Sub-Programs.

A TIP amendment to a Regionally Significant project or to a STIP Pool or Regional Sub-Program is processed by the MPO per their respective TIP guidance. Once the MPO's governing body takes action, and that action is approved by the Governor or their delegate, TIP amendments and administrative modifications are modified in the STIP administratively.

STIP Amendments and Administrative Modifications will be processed on an as needed basis. Most Amendment level modifications to CDOT projects are processed by MPOs as the bulk of CDOT's Regionally Significant projects are located within an MPO area.

The Department will consult with the FHWA, FTA, and MPOs as needed to reconcile the STIP, and verify that fiscal constraint has been maintained. A quarterly fiscal constraint report will also be provided to FHWA and FTA.

| Type of Change | Cycle | Regionally Significant Projects | Non-Regionally Significant Project |
|--|------------------------|---|--|
| STIP Amendment | As needed | <ul style="list-style-type: none"> Adding or deleting projects <i>Example: Adding a new interchange construction project</i> Major changes to cost, scope, or initiation <i>Example: Significant extension of project limits on a roadway capacity project or any addition or reduction in cost that is \$5 million or more over the four years of the STIP</i> | <ul style="list-style-type: none"> Major changes to program amounts <i>Example: Receiving \$20m in Obligation Redistribution from FHWA</i> |
| STIP Administrative Modification | As needed | <ul style="list-style-type: none"> Minor changes to cost, scope, or initiation <i>Example: Extending project limits on a Surface Treatment project</i> | <ul style="list-style-type: none"> Minor changes to program amounts <i>Example: Minor increase in program amount based on updated revenue projections</i> |
| TIP Amendments and Administrative Modifications | Determined by each MPO | <ul style="list-style-type: none"> TIP Amendments and TIP Administrative Modifications are incorporated directly into the STIP administratively once the MPO governing body approves the action and the Governor, or delegate thereof, provides final approval. <i>Example: Adding a project in an MPO area that has been amended into the TIP</i> | |

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VIII. STIP Development - 4P Process

The Transportation Commission (TC), in cooperation with Colorado Counties Incorporated (CCI), the Colorado Municipal League (CML) and the Metropolitan Planning Organizations (MPOs) established the “Project Priority Programming Process” (4P). It was first adopted by the TC on August 18, 1994 and last updated and adopted by the TC in February 2015. This guidance maintains the 4P and supersedes the Guidelines adopted in February 2015.

The STIP is updated on an annual basis in order to always have four active STIP years that are recognized by FHWA and FTA. Every fourth year, the STIP will be updated to align with the latest Statewide Plan and Program Distribution.

A. TPR Coordination

As part of the STIP development cycle, each CDOT Region shall offer the opportunity for county meetings to review transportation needs and fund availability developed as part of the regional plans. These countywide meetings may include county and municipal officials and Transportation Planning Region (TPR) representatives, as well as Transportation Commissioner(s). After the county meetings, if held, the CDOT Region shall hold at least one meeting, open to the public, with each of its TPRs to discuss project prioritization for the STIP within that TPR. In CDOT Regions that include an MPO, these TPR meetings will be coordinated with the MPO Planning Process to ensure consistency and avoid duplication of effort (see MPO coordination).

The purpose of the TPR meeting is to review the projects in the Statewide Plan, the 10-Year Vision and current STIP and consider project priorities for the 4 year STIP period. All projects included in the STIP must be consistent with the goals and strategies laid out in the financially constrained portion of the Statewide Plan (SWP). If projects are identified that are not consistent with the SWP, an amendment to the SWP must be processed and approved before they can be included in the STIP.

After meeting with each of their TPRs, the CDOT Region shall hold a joint meeting with all of their TPRs to select and prioritize projects for the entire CDOT Region (in applicable programs when funding is available). During the prioritization process, some TPRs/MPOs not wholly contained in one CDOT Region may choose to plan and conduct a TPR/MPO wide prioritization meeting. Following these meetings, the CDOT Region shall submit their list of prioritized projects for the Draft STIP to the CDOT Headquarters STIP Manager. A statewide list of projects is compiled for submittal to the TC and inclusion in the Draft STIP.

Note that per 24-6-402 C.R.S., all meetings held per the above guidelines are considered public meetings and must be open to the public. Also, reasonable accommodations must be made for all individuals in accordance with Title VI of the Civil Rights Act of 1964 (Title VI, 42 U.S.C. § 2000d et seq.).

B. MPO Coordination

Federal statute and regulation establishes MPOs for urbanized areas with populations of more than 50,000. These areas in Colorado are the Denver Regional Council of Governments (DRCOG) MPO, the Pikes Peak Area Council of Governments (PPACG) MPO, the North Front Range MPO (NFRMPO), the Pueblo Area Council of Governments (PACOG) MPO and the Grand Valley MPO

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(GVMPO). MPOs are responsible for the development of the Transportation Improvement Program (TIP) for the MPO area. Anyone interested in participating in TIP development may contact their MPO directly. Projects identified for funding by CDOT are forwarded to the appropriate MPO for review and consideration for inclusion in the TIP.

Federal regulations require the Governor to approve all TIPs and TIP amendments. When an MPO has a TIP that is ready for the Governor's approval, it submits the approved TIP to CDOT for review of fiscal constraint and adherence to planning regulations. Once fiscal constraint and adherence to planning regulations are verified, CDOT will prepare a packet for the Governor's review and signature to approve the TIP and transmit approval to FHWA and FTA. The submittal of the TIP to CDOT should include a resolution of the MPO Board adopting the TIP, an Air Quality Control Commission (AQCC) conformity determination finding (if applicable), and a signed statement certifying the planning process was followed in the development of the TIP.

Once TIPs are approved by the MPO and the Governor, they are incorporated into the STIP without change, either directly or by reference. Exceptions include projects that are funded exclusively with local or private funds with no CDOT involvement in the project. Detail may vary from TIPs to the STIP with regard to programs and project descriptions.

Likewise, Federal regulations require the Governor to approve TIP amendments. In Colorado, the Governor has chosen to exercise their authority to delegate the approval of TIP amendments to the CDOT Executive Director. TIP amendments should be forwarded to the CDOT Region and CDOT Headquarters STIP Manager where a packet is prepared for the Executive Director's signature. Once the signature is obtained, a copy of the approval and packet is forwarded to FHWA/FTA for their concurrence.

C. Tribal Coordination

Two tribal governments are responsible for transportation planning within Colorado: Southern Ute and Ute Mountain Ute. Tribal governments develop a Tribal TIP (TTIP). Once the Tribal Council approves the TTIP, it is included in the Draft STIP either directly or by reference in order to meet requirements for those projects requiring action by FHWA or FTA.

D. Air Quality Requirements

In areas designated by the Environmental Protection Agency (EPA) as air quality non-attainment or maintenance areas, Regionally Significant (S)TIP projects must be modeled to demonstrate that their construction will not degrade air quality below the standards set forth in the Clean Air Act (CAA) Amendment of 1990 (et sub). The modeling results and other analyses are reviewed to assure the (S)TIP is in conformance with the relevant State Implementation Plan (SIP); this process is referred to as demonstrating conformity.

Currently, three of the MPOs are in non-attainment/maintenance for one or more pollutants (DRCOG, PPACG, and NFR), as is a portion of Upper Front Range (UFR) TPR. A multi-party intergovernmental agreement addresses air quality and conformity responsibilities in the DRCOG, NFR, and UFR ozone non-attainment area. If the EPA re-designates an MPO as an attainment area, CDOT will work with the MPOs, FHWA, and FTA to incorporate any changes necessary per planning requirements.

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E. STIP Approval Process

1. Draft STIP

The result of the STIP development process and MPO TIP development is a completed Draft STIP. CDOT staff verifies that the Draft STIP is fiscally constrained by year. CDOT staff verifies that it is consistent with the SWP.

2. Public Notice and Comment Period

When the Draft STIP is released for public comment, CDOT posts an electronic copy of the draft on its external website. An e-mail notification is sent to recipients statewide explaining the purpose of the STIP, where to view a copy of the draft, how to submit comments on the STIP, and the length of the comment period. Additional public notice is provided via flyers, brochures, and social media. The Draft STIP is available for public review and comment for a minimum of 30 days.

During the public comment period, a public hearing is held in conjunction with a monthly TC meeting where members of the public can provide input on the Draft STIP. Notification for the Public Hearing is posted on CDOT's external website, as well as sent via e-mail to a statewide distribution list. Public Hearing notices are also posted at all CDOT Region Headquarters offices, FHWA and FTA offices located in Lakewood, Colorado, and TPR offices. Advertisements for the hearing are placed in local newspapers across the state.

Comments on the draft STIP can be submitted on the CDOT website, or to the Headquarters STIP Manager via mail, phone or e-mail. A hard copy of the Draft STIP can also be requested by contacting the CDOT Headquarters STIP Manager via mail, phone, or e-mail.

3. Adoption of the STIP

Following the public comment period and any revisions needed due to those comments, the Draft STIP is submitted to the TC for adoption. CDOT staff prepares a certification that the required planning process and opportunities for public involvement have been adequately followed. Once the STIP has been adopted by the TC, it is forwarded to the FHWA and FTA for their approval, and goes into effect at the beginning of the State fiscal year on July 1.

4. Distribution of the Adopted STIP

Once the STIP is adopted by the TC and approved by FHWA and FTA, the document is posted on CDOT's external website www.codot.gov.

F. Schedule for the STIP Update Cycle

The table on the following page details the annual schedule for STIP development. While this is the expected schedule, it is subject to change if circumstances require adjustments.

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| STIP Update Schedule | |
|----------------------------------|---|
| MONTH | ACTIVITY |
| <i>September through January</i> | CDOT Regions meet with their TPRs and local officials |
| <i>January</i> | CDOT Regions enter STIP updates for inclusion in the draft STIP |
| <i>February through May</i> | CDOT distributes Draft STIP for public review and comment |
| <i>April</i> | TC holds a statewide public hearing on the Draft STIP |
| <i>May</i> | TC adopts the Draft. Once adopted, the STIP is released to FHWA/FTA for their review and approval |
| <i>June</i> | FHWA and FTA approve STIP |