

STIP Development Guidance and 4P Process Statewide Transportation Improvement Program

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

February 2015

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 regionally significant transportation projects, within fiscal constraint and consistent with the CDOT Development Program and the 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 September 2009.

II. Definitions

“Development Program” shall mean a 10 year program of Regionally Significant projects and other major projects consistent with the Long-Range Statewide Transportation Plan (SWP). The first four years of the Development Program will match the Statewide Transportation Improvement Program (STIP).

“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. Financial constraint applies to each program year.

“Four Year Work Plan” shall mean a detailed plan for approved transportation projects scheduled for implementation over a four-year time frame including project locations, descriptions, detailed schedules, and estimated expenditures that can be used to track progress and for cash management purposes.

“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 under a STIP Program or Regional Sub-Program.

“Program List” shall mean a list of Non-Regionally Significant projects corresponding with STIP Programs or Regional Sub-Programs.

“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 Development Guidance and 4P Process

Statewide Transportation Improvement Program

“Regional Sub-Program” shall mean a subdivision of a program in the STIP based on Region or MPO (i.e. Region 4 RPP).

“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; a major change to a program fund amount; and the addition of a year into the STIP.

“STIP Program” 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 ‘program list’.

“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.

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 Development Program, and a 4 year Statewide Transportation Improvement Program (STIP). A new planning cycle occurs every four years and includes the development or update of the SWP and Regional Transportation Plans (RTPs) for each of the state’s Metropolitan Planning Organizations (MPOs) and Transportation Planning Regions (TPRs), the 10 Year Development Program and the STIP. 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 Development Program includes potential projects



STIP Development Guidance and 4P Process

Statewide Transportation Improvement Program

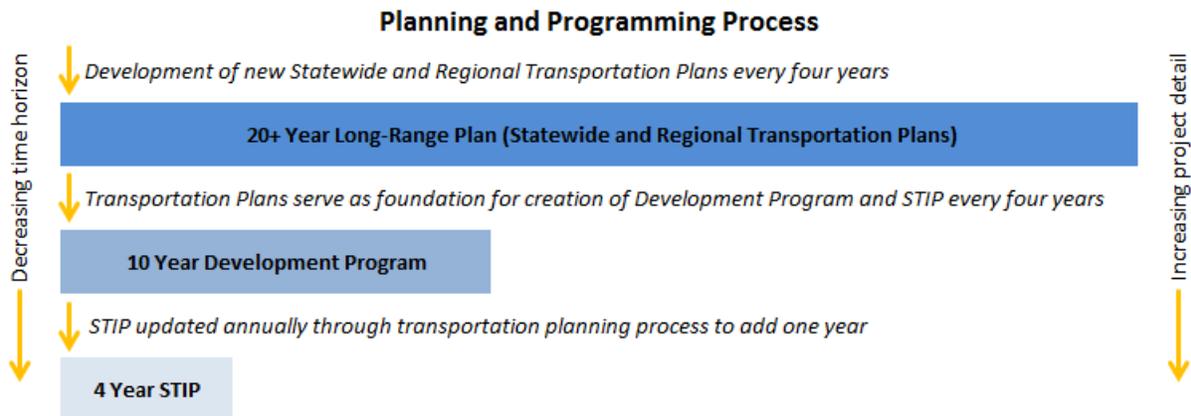
within revenue scenarios for the mid-range timeline, and the 4 year STIP lists projects to be implemented within fiscal constraint by year. The development of the STIP follows the Project Priority Programming Process (4P) described in section VIII.

V. Statewide Transportation Plan

The Statewide Transportation Plan (SWP) is a vision document that outlines transportation needs, and goals and objectives over the next 20 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. The Statewide Plan is web-based and is interactive.

VI. 10 Year Development Program

The 10 year Development Program is consistent with the long range plans and is established through the transportation planning process. The four years of the STIP comprise the first four years of the Development Program. Years five through ten of the Development Program list potential projects that are considered for incorporation into the STIP as the STIP “rolls-forward” and adds a year (see VII. STIP below). The Development Program focuses on Regionally Significant projects and program amounts for the 10 year timeframe. Every four years the Plan update cycle begins again and a new SWP, Development Program and STIP are developed and adopted.



VII. STIP

A. Framework

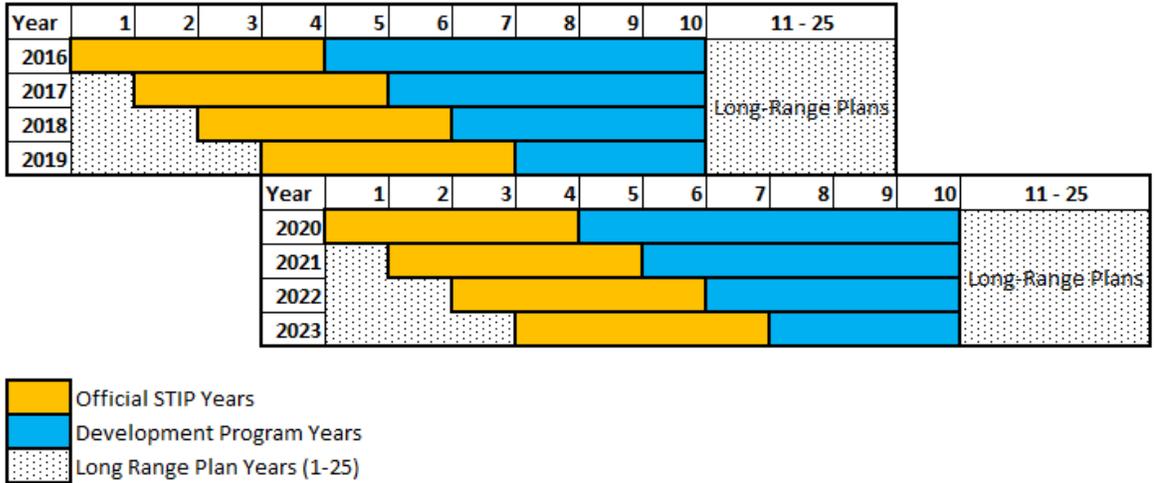
The STIP will be a rolling four year plan which meets federal guidelines and regulations per 23 U.S.C. 134 and 135, and 23 CFR, Part 450. The STIP will identify all Regionally Significant projects, STIP Programs, and Regional Sub-Programs. Non-Regionally Significant projects will be grouped under STIP Programs or Regional Sub-Programs and identified outside of the STIP on Program



STIP Development Guidance and 4P Process

Statewide Transportation Improvement Program

Lists corresponding with those STIP Programs or Regional Sub-Programs. The STIP will be developed once every four years, with an annual update to include the addition of a year to maintain a full four year STIP period. STIP Amendments will be processed twice per year, while Administrative Modifications will be processed on an as needed basis. Changes to Program Lists can be made administratively on a quarterly basis.



B. Four Year Work Program

The four year work program is an internal 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



STIP Development Guidance and 4P Process

Statewide Transportation Improvement Program

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 Program or Regional Sub-Program. 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. Non-Regionally Significant projects will be identified on Program Lists corresponding with the appropriate STIP Program or Regional Sub-Program. Funding in the STIP for STIP Programs or Regional Sub-Programs will reflect revenues expected for each Program over the years of the STIP rather than for individual projects. This will allow flexibility to match funding with those projects that are ready to implement. Program Lists will be easily accessible from the STIP.

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 FHWA/FTA approval. Adding a year to the STIP to maintain the four official STIP years recognized by the FHWA also constitutes a STIP Amendment.

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 FHWA/FTA approval.

Changes to Non-Regionally Significant projects including adding or deleting projects, major or minor changes to cost, scope, or initiation constitute neither a STIP Amendment nor STIP Administrative Modification. As noted previously, Program Lists identify the Non-Regionally Significant projects funded within STIP Programs or Regional Sub-Programs. While accessible from the STIP, these Program Lists are not subject to the provisions of STIP Amendment or Administrative Modifications.

A TIP amendment to a Regionally Significant project or to a STIP Program or Regional Sub-Program is processed as either a STIP Amendment or STIP Administrative Modification, depending on the type of change. A TIP Amendment to a Non-Regionally Significant project is



STIP Development Guidance and 4P Process

Statewide Transportation Improvement Program

incorporated by reference, and as such does not constitute either a STIP Amendment or STIP Administrative Modification.¹

STIP Amendments will be processed twice per year in June and December, while Administrative Modifications will be processed on an as needed basis. Off-cycle STIP Amendments can occur if there is a compelling need to modify the STIP in between the regular cycle. The addition of a year to the STIP will occur once per year, as part of the June STIP Amendment.

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 reconciliation report will also be provided to FHWA, FTA, and the MPOs.

| Type of Change | Cycle | Regionally Significant Projects | Non-Regionally Significant Project |
|---|-------------------|--|--|
| STIP Amendment | June and December | <ul style="list-style-type: none"> · Adding or deleting projects <i>Example:</i> -Adding a new interchange construction project · Major changes to cost, scope, or initiation <i>Example:</i> -Significant extension of project limits on a roadway capacity project | <ul style="list-style-type: none"> · Major changes to program amounts <i>Example:</i> -Receiving \$20m in Obligation Redistribution from FHWA |
| STIP Administrative Modification | As needed | <ul style="list-style-type: none"> · TIP Amendments (incorporated directly) <i>Example:</i> -Adding a project in an MPO area that has been amended into the TIP · Minor changes to cost, scope, or initiation <i>Example:</i> -Extending project limits on a Surface Treatment project | <ul style="list-style-type: none"> · Minor changes to program amounts <i>Example: Minor increase in program amount based on updated revenue projections</i> |
| Other Non-STIP Changes | Monthly | · N/A | <ul style="list-style-type: none"> · TIP Amendments (MPO TAP, STP-M, and CMAQ projects incorporated by reference) · Adding or deleting projects to Program Lists · Major or minor changes to cost, scope, or initiation |

F. Other Non-STIP Changes

Changes to Non-Regionally Significant projects do not constitute a STIP Amendment or STIP

¹ Non-regionally significant projects funded through suballocated TAP, STP-M, or CMAQ are incorporated by reference. Other Non-Regionally Significant projects (i.e. Surface Treatment, Region TAP, etc.) will be identified on Program Lists corresponding with the appropriate STIP Program or Regional Sub-Program.



STIP Development Guidance and 4P Process

Statewide Transportation Improvement Program

Administrative Modification. A change to a Non-Regionally Significant project does not occur in the STIP, but in the Program List corresponding to the parent STIP Program or Regional Sub-Program. Changes to Program Lists can be made administratively on a quarterly basis.

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 September 2009. This guidance maintains the 4P and supersedes the Guidelines adopted in September 2009.

A. TPR Coordination

CDOT will update the STIP at least once every four years as part of the planning process. 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, Development Program and current STIP and consider project priorities for the 4 year 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 over 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 (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.



STIP Development Guidance and 4P Process

Statewide Transportation Improvement Program

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 Draft 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 delegated authority for approving 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

There are two tribes responsible for transportation planning within Colorado: the Southern Ute and the Ute Mountain Ute. Tribal governments develop a Tribal TIP (TTIP). Once the TTIP is approved by the Tribal Council 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 (UFRTPR). A multi-party intergovernmental agreement addresses air quality and conformity responsibilities in the DRCOG, NFR, and UFR ozone non-attainment area.

E. STIP Approval Process

1. Draft STIP Approval

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 and prepares a certification that the



STIP Development Guidance and 4P Process

Statewide Transportation Improvement Program

required planning process and opportunities for public involvement have been adequately followed. The Draft STIP is then forwarded to the TC for review and for authorization to release to the public for review and comment.

2. Public Notice and Comment Period

When the TC releases the Draft STIP, 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. Hard copies of the draft are available for review at CDOT Headquarters, CDOT Region Headquarters, FHWA Colorado Division, and FTA Region 8 and TPR offices. The Draft STIP is available for public review and comment for a minimum of 30 days. During the public comment period, a public meeting 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. Comment 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. 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.coloradodot.info.

F. Schedule for the Four Year STIP Update Cycle

| STIP Development/4P Schedule | |
|------------------------------|--|
| MONTH | ACTIVITY |
| May through September | CDOT Regions begin Project Priority Programming Process (4P) |
| December | CDOT Regions conclude 4P |
| January | CDOT Regions submit Draft STIP requests and MPOs submit draft TIP requests |



STIP Development Guidance and 4P Process Statewide Transportation Improvement Program

| | |
|----------------------|---|
| February through May | CDOT distributes Draft STIP for public review and comment |
| March/April | MPOs and Governor approve TIPs |
| April | TC holds a statewide public hearing on the Draft STIP |
| May | TC adopts the Draft. Once adopted, the STIP is released to FHWA/FTA for their review and approval |
| June | FHWA and FTA approve STIP |

IX. Annual STIP Update Process

The STIP will be updated annually in order to add one year and maintain a full four years in the STIP. This update will be accomplished through a STIP Amendment. The Statewide Plan and the 10 year Development Program will be consulted and considered in identifying the projects to be amended into the STIP. The addition of a year to the STIP will be coordinated through the planning process with each TPR. The TC will adopt the updated STIP at a regular meeting, and the STIP will then be forwarded to the Governor and to FHWA and FTA for approval. This annual update will coincide with the annual STIP Amendment process.

