



**COLORADO**  
Department of Transportation

**DIVISION OF  
TRANSIT AND RAIL  
STATE MANAGEMENT PLAN**

**CHAPTER 1**  
**Overview**

# Outline

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# 1 OVERVIEW

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## 1.1 Introduction

### 1.1.1 Purpose of State Management Plan

The Federal Transit Administration (FTA) provides financial assistance to states and designated recipients through a number of programs to develop new transit systems and improve, maintain, and operate existing systems. The State Management Plan (SMP), **developed by a state, describes the state's policies and procedures for administering FTA's** Title 49 USC Sections 5310, 5311, and 5339 programs; Sections 5304, 5307, and 5312 programs; and the state programs that fund transit projects.

A state or a designated recipient in a large urban area is required to have an approved SMP on file with the appropriate FTA regional office and to update it regularly to incorporate any changes in program management or new requirements. The recipient must provide an opportunity for review by stakeholders when it develops a new plan or significantly revises an existing plan. **An urban area's plan is called a Program Management Plan (PMP).** Certain contents of the SMP, such as project selection criteria, must be coordinated with the Statewide Transportation Plan.

This document is the SMP adopted by the Colorado Department of Transportation (CDOT). It **includes CDOT's policies and procedures for administering FTA programs and several state** programs. The processes are described in Chapters 1 through 6 of this document. SMP Appendix A contains detail about the FTA programs; SMP Appendix B contains detail about the non-federal programs.

The CDOT Division of Transit and Rail (DTR) manages the programs described in this document.

This SMP is intended to conform and implement applicable laws and regulations. In the event any provision herein conflicts with such laws or regulations, the terms of such laws or regulations shall apply, but only to the extent as is needed to remedy such conflict. This plan constitutes guidance, contains statements that are for information purposes only, and does not constitute a law or regulation.

### 1.1.2 Applicability of State Management Plan

**This SMP outlines CDOT's management processes and procedures related to federal and state** programs. The plan serves as a guide for applicants and subrecipients and provides the **information to the general public about CDOT's role in implementing transit across the state.**

### 1.1.3 Authority

CDOT is the designated recipient for FTA rural and small urban transit funding under authority of the Governor of Colorado and administers FTA programs for rural and small urban systems under this designation. In addition, CDOT is the designated recipient of funds for the Denver/Aurora Urbanized Area (UZA) for Section 5310 funds.

DTR was created by state legislation in 2009. Per Colorado Statute (CRS 43-1-117.5), **“the Transit & Rail Division shall be responsible for the planning, development, operation, and integration of transit and rail into the statewide transportation system; [and] shall in coordination with other transit and rail providers, plan, promote, and implement investments in transit and rail services statewide.”** DTR administers the FTA program funds as a pass-through entity and administers state transit funds.

## 1.2 State Management Plan Development

**CDOT’s prior SMP was updated in August 2017. The current update addresses changes to FTA program requirements and changes to CDOT’s policies and procedures since then. It was revised based on FTA comments on prior SMPs, CDOT Rules and Regulations for the administration of FTA funds, and policies related to the administration of state programs.**

### 1.2.1 Public Review

A public review and comment period was conducted with this update given the extent of the revisions. DTR advertised the update to this document and conducted a public comment process that included:

- Review of a draft outline and approach presented at Transit Town Halls held at several locations throughout Colorado for transit agencies.
- Review of drafts by an External Stakeholder Committee.
- Direct notification and distribution of the plan to affected parties through shared Google drives, emails, monthly calls with subrecipients, posts in COTRAMS, and sessions at the Colorado Association of Transit Agencies and CDOT conferences.

DTR receives input and guidance on this document from the Transit and Rail Advisory **Committee (TRAC)** and the **Transportation Commission’s Transit and Intermodal Committee** (see Section 1.5 Organization). Any policy changes that require Transportation Commission approval must receive that approval prior to inclusion in the SMP.

The SMP is submitted to FTA for review and approval. Once approved by FTA, the current version of the document supersedes previous versions.

The CDOT Transportation Commission, before adoption, must authorize modifications to Funding Advancement for Surface Transportation and Economic Recovery Act (FASTER) elements within the St SMP that are policy related.

### 1.2.2 Future Updates

The main body of the SMP is updated approximately every three years. Updates to the appendices that include the requirements and administration of specific programs are made more often so that the document remains a current reference for the public and subrecipient agencies.

## 1.3 CDOT's Vision and Mission

**CDOT's Vision is: To enhance the quality of life and the environment of the citizens of Colorado** by creating an integrated transportation system that focuses on safely moving people and goods by offering convenient linkages among modal choices.

**CDOT's Mission is: To provide the best multimodal transportation system for Colorado** that most effectively and safely moves people, goods, and information.

<https://www.codot.gov/about/mission-and-vision.html>

### 1.3.1 Division of Transit and Rail

**DTR supports CDOT's Mission through planning and** support of transit agencies across Colorado. DTR finalized a Statewide Transit Plan (SWTP) in 2015 that identified local, interregional, and statewide transit and passenger rail needs and priorities. An update to the SWTP is underway in 2019 through 2020.

**A Vision for Colorado's public transit system was set during development of the SWTP:**

**"Colorado's public transit system will enhance mobility for residents and visitors in an effective, safe, efficient, and sustainable manner; will offer meaningful transportation choices to all segments of the state's population; and will improve access to and connectivity among transportation modes."**

Supporting goals and objectives developed for the SWTP include:

- System Preservation and Expansion
- Mobility/Accessibility
- Transit System Development and Partnerships
- Environmental Stewardship
- Economic Vitality
- Safety and Security

CDOT and DTR follow the statewide transit vision and goals to guide investment in transit to meet identified needs around the state.

## 1.4 Transit Programs Overview

CDOT administers both FTA and state transit funds. FTA funds are divided into different **programs or “sections”, named for the sections of the U.S. Code of Federal Regulations**, as presented in Table 1-1 and Table 1-2. Some FTA funding is allocated to CDOT and large transit providers in urban areas by formula, while other funds are made available through discretionary and competitive awards. Additional state and other dedicated funding programs support transit investments, as presented in Table 1-3. The DTR Five-Year Financial Plan for Public Transit in Colorado (CY 2019-2023) forecasts public transit revenues and how they are distributed (see attachment in Chapter 3). DTR allocates funds from these programs to meet the goals of the SWTP and oversees the projects. **Typical timelines for CDOT’s funding application cycles** are included in Chapter 3.

**Table 1-1. FTA Programs Administered by CDOT**

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### 5304 Statewide Planning

This formula program provides funding in metropolitan areas and statewide for planning, technical studies, and training. Federal funds are apportioned to CDOT and then passed-through to Metropolitan Planning Organizations (MPO) by formula.

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### 5307 Urbanized Area Formula Program

This formula program provides funding to small and large urbanized areas for public transportation capital, planning, and operating expenses in certain circumstances. Most funds are apportioned directly to transit providers in Colorado.

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### 5310 Enhanced Mobility for Seniors and Individuals with Disabilities

This formula program provides financial assistance to private nonprofit organizations, states or local government authorities, and operators of public transportation to meet the transportation needs of **the elderly and persons with disabilities. Funds are apportioned based on each state’s** share of population for these groups.

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### 5311 Rural Area Formula Program

This formula program provides funding for public transportation programs in non-urbanized (rural) areas. Funds may be used for planning, capital, operating, or administrative expenses; and, acquisition of transportation services. Previous Job Access and Reverse Commute (5316) and New Freedom (5317) services are eligible under this program. This section includes the following sub-programs:

- 5311(b)(3) Rural Transportation Assistance Program: This discretionary and formula program provides funding for technical assistance, training, and research and support activities in rural areas.
  - Section 5311(f) Intercity Bus: This section requires states to expend at least 15 percent of annual Section 5311 apportionment to carry out programs to develop and support intercity bus transportation.
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**Table 1-1. FTA Programs Administered by CDOT**

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**5312 Research, Development, Demonstration, and Deployment Projects**

This discretionary program supports research activities that improve the safety, reliability, efficiency, and sustainability of public transportation, including development, testing, and deployment of innovative technologies, materials, and processes; and, deployment of low-emission vehicles.

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**5339 Bus and Bus Facilities Formula Program**

This formula program provides capital funding to replace, rehabilitate, and purchase buses and related equipment and to construct bus-related facilities. Urbanized areas receive a direct formula award. For rural areas, a formula award is provided to CDOT that then conducts a competitive process.

**5339(b) Bus and Bus Facilities Discretionary Program**

Same as 5339—but a discretionary program, rather than a formula program.

**5339(c) Low or No Emission Vehicle Program**

The program provides funding to state and local governmental authorities for the purchase or lease of zero-emission and low-emission transit buses as well as acquisition, construction, and leasing of required supporting facilities.

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**Table 1-2. Additional FTA Programs**

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**5303 Metropolitan Planning**

This formula program funds transportation planning processes at MPOs in Colorado. The program requires MPOs to adopt performance-based planning processes. FHWA and FTA funds support this program with a local match requirement.

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**5305 State Planning and Research Program**

This formula program provides financial assistance for statewide transportation planning and other technical assistance activities.

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**5309 Fixed Guideway Capital Investment Program**

This discretionary program provides capital investment funds for new and expanded rail and bus rapid transit systems in key corridors. The program also streamlines the New Starts and Small Starts processes.

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**5311(c)(1) Public Transportation on Indian Reservations**

This discretionary and formula program funds capital, operating, planning, and administrative expenses for transit projects in tribal communities.

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**5314 Technical Assistance & Standards Development**

This discretionary program provides technical assistance to the public transportation industry to more effectively and efficiently provide transit service.

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**5326 Transit Asset Management**

This section establishes new requirements for transit asset management, including development of asset management plans and reporting requirements to promote accountability. No funding is provided under this section, but technical assistance is available.

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**5329 State Safety Oversight**

This formula program provides funding to develop and carry out state safety oversight programs, developing transit agency safety plans, and providing safety certification training.

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**Table 1-2. Additional FTA Programs**

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**5337 State of Good Repair Program**

This formula program funds repairs and upgrades to rail transit systems and bus systems that use high-occupancy vehicle lanes, including bus rapid transit. The program includes two set-aside allocations for High Intensity Fixed Guideway and High Intensity Motorbus systems.

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**5340 Growing States and High Density States Distribution**

This section distributes formula funding to states given certain conditions. FTA apportions Growing States funds by formula based on state population forecasts and distributes funds between urbanized and rural areas within Colorado. High Density funds are apportioned only to urbanized areas within states with high population densities. These funds supplement Section 5307 and 5311 programs

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**20005(b) Transit-Oriented Development Planning Pilot Program**

This discretionary program provides funding to advance planning efforts that support transit-oriented developments associated with new fixed-guideway and core-capacity improvement projects.

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**Table 1-3. Non-federal Transit Funding Programs**

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**Senate Bill 09-228 (SB 228)**

SB 228 governs State of Colorado General Fund transfers. Funding made available to CDOT is designated by the Transportation Commission for use exclusively for projects of statewide significance. Local projects are not eligible for these funds. Approximately 10% of this is allocated to transit projects. DTR uses these funds for the capital needs of the interregional and regional network, park-n-rides, and other capital projects of statewide significance. All projects are reviewed by the Transportation and Intermodal Committee of the Transportation Commission.

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**Funding Advancements for Surface Transportation and Economic Recovery Act of 2009 (FASTER)**

The FASTER legislation provides \$15 million per year for transit purposes. This competitive program provides funds for statewide and local transit projects. Eligible projects include bus stops, bike parking, transit maintenance facilities, vehicle replacements, multimodal transportation centers, and other planning and capital projects. FASTER transit funds are split between local transit projects and statewide and regionally significant projects.

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**Senate Bill 17-267 (SB 267) Concerning the Sustainability of Rural Colorado**

SB 267 authorizes the execution of lease-purchase agreements on state facilities totaling \$2 billion, to be issued in equal amounts over four years, beginning in State Fiscal Year (FY) 2018-19. CDOT is the steward of \$1.88 billion of those proceeds, of which 10% must go to transit (\$188 million) and a minimum of 25% to counties with a population of less than 50,000 as of July 2015.

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**Alternative Fuel Settlement Program**

**The State of Colorado's Beneficiary Mitigation Plan for the \$68.7 million received as a settlement** from Volkswagen is administered by the Colorado Department of Health and Environment (CDPHE). Under an intergovernmental agreement with CDPHE, DTR will implement the Transit Bus Replacement Program. Approximately \$18 million, or 26% of its initial allocation of trust funds (2019-2011), will be used to replace Class 4-8 transit buses with alternative fuel (e.g., compressed natural gas [CNG], propane, hybrid) or electric vehicles and to install charging infrastructure associated with **new electric transit buses. These funds are distributed through DTR's Consolidated Call for Capital** Projects (described in Chapter 3). DTR uses a combination of existing funds and settlement funds to incentivize the purchase of electric, CNG, and other alternative fueled vehicles.

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**Table 1-3. Non-federal Transit Funding Programs**

Senate Bill 18-001 (SB 1)

SB 1, passed by the Colorado General Assembly in May 2018, includes a variety of possible funding scenarios dependent upon different external factors. In 2018, it authorized two years of General Fund transfers (\$495.0 million) to the state (70%), local governments (15%), and a new Multimodal Fund (15%). The local money is split evenly between cities and counties and will be distributed via the local government Highway Users Tax Fund distribution formula. All the multimodal funding is administered through CDOT. Local governments receive 85% of it and CDOT receives 15% for statewide multimodal projects. The multimodal funds may be used for bicycle, pedestrian, ride sharing, transit projects, or capital or operating projects.

## 1.5 Organization

### 1.5.1 CDOT

The parts of CDOT's organization that are involved in the administration of FTA and state transit funds are listed below. Roles and responsibilities are described in Section 1.6.

- Transportation Commission
- **Executive Director's Office**
- Office of Policy and Governmental Relations
- Division of Accounting and Finance
  - Office of Financial Management and Budget
  - Accounting
  - Business Office
  - Procurement and Contract Services
- Office of Communications
- Chief Engineer
- Division of Transportation Development
- Civil Rights and Business Resource Center
- CDOT Regions

**DTR's direct access to the CDOT Executive Director to perform duties and functions under CDOT and the Executive Director is established in state law CRS 24-1-127.7(3)(e), CRS 24-1-103 through 105, and CRS 43-1-117.5.**

Federal law, 49 CFR 26.25, **requires that CDOT's Disadvantaged Business Enterprise (DBE) Liaison Officer has direct, independent access to the Chief Executive Officer concerning DBE**

program matters. CDOT meets this requirement under a notice of Assurance of Direct and Independent Access executed January 2016 by CDOT’s Executive Director.

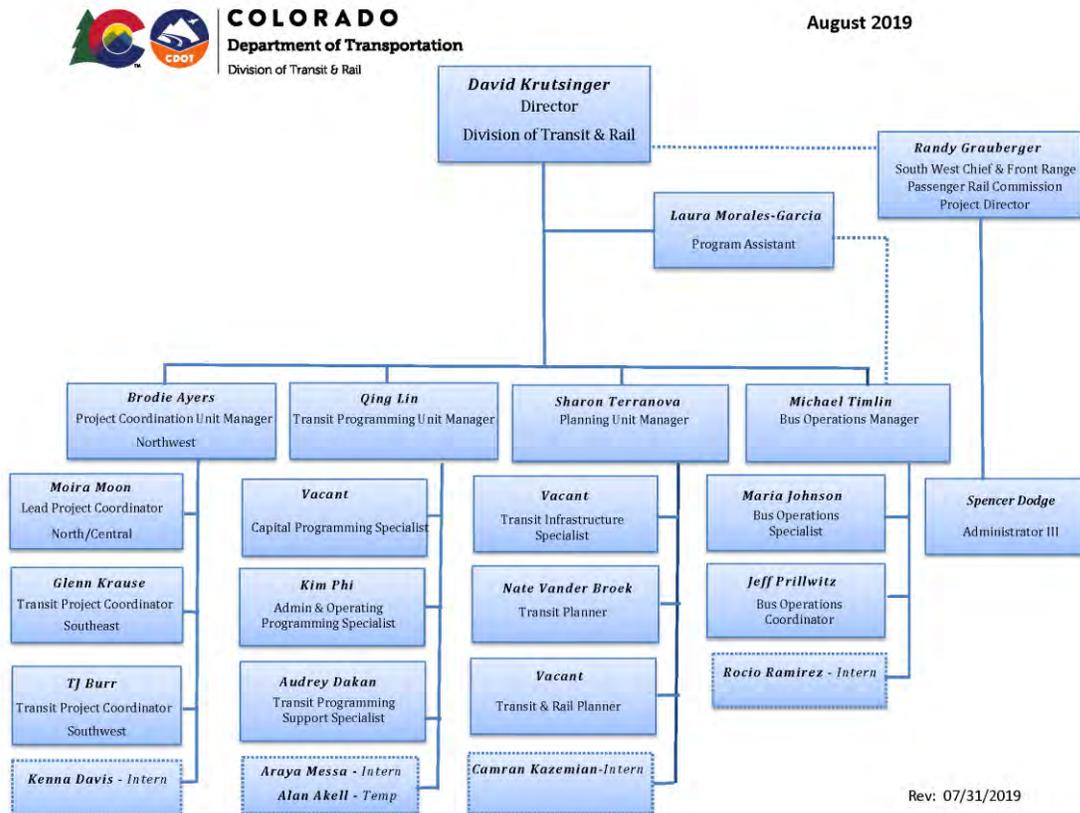
### 1.5.2 Division of Transit and Rail

The DTR organization is shown in Figure 1-1 *DTR Organizational Chart*.

Individual units within DTR have the following general responsibilities:

- **Planning Unit:** This group oversees the statewide planning process related to transit and passenger rail, and oversees distribution of federal and transit funds.
- **Programming Unit:** This group conducts and oversees the application process, award of projects, development and execution of the subaward agreement, and budgeting of federal and state funds.
- **Project Coordination Unit:** This group provides oversight and technical assistance to subrecipient agencies during the project and oversees the project close-out process.

**Figure 1-1. DTR Organizational Chart**



### 1.5.3 Advisory Committees

There are several advisory committees that participate in CDOT's transit and rail planning processes, as described in the following sections. Recipients that have transit-related, non-elected planning boards, advisory councils or committees, or similar bodies, the membership of which is selected by the recipient, must provide a table depicting the membership of those committees broken down by race, and a description of efforts made to encourage the participation of minorities on such committees. CDOT maintains a table of the membership of advisory committees broken down by race. The table is included in the 2016 *Division of Transit and Rail Title VI Program* document, which is included as an attachment to Chapter 5.

#### 1.1.1.1 Transportation Commission and the Transit and Intermodal Committee

The state's transportation system is managed by CDOT under the direction of the Transportation Commission. The commission comprising 11 commissioners who represent specific districts. Each commissioner is appointed by the Governor, confirmed by the Colorado Senate, and serves a 4-year term. To provide continuity, the commissioners' term expiration dates are staggered every two years. Under state law, the powers and duties of the Transportation Commission include:

- Formulating general policy with respect to the management, construction, and maintenance of public highways and other transportation systems in the state.
- Advising and making recommendations to the Governor and the General Assembly relative to transportation policy; and promulgating and adopting CDOT's budgets and programs, including construction priorities and approval of extensions or abandonments of the state highway system. The General Assembly appropriates the administrative budget for CDOT.

The Transit and Intermodal Committee is one of three Standing Committees created by the Transportation Commission, as set forth in 2CCR 601-11, Rules Governing Practice and Procedures of the Transportation Commission of Colorado (<https://www.sos.state.co.us/CCR/GenerateRulePdf.do?ruleVersionId=6937&fileName=2%20CCR%20601-11>). The Chairman of the Transportation Commission, with consent of the full Commission, appoints at least three but no more than five members of the Commission who meet periodically with executive management and the DTR Director to review transit and rail policies and practices.

#### 1.1.1.2 Statewide Transportation Advisory Committee

The Statewide Transportation Advisory Committee (STAC) advises CDOT and the Transportation Commission on the needs of the transportation system in Colorado and reviews and comments on all Regional Transportation Plans and the Statewide Transportation Plan. STAC membership includes Colorado's 15 urban and rural Transportation Planning Regions (TPR) and 2 Indian Tribes. Voting representatives are selected by the 5 Metropolitan Planning Organizations (MPO), 10 rural Regional Planning Commissions (RPC), plus the Southern Ute

and the Ute Mountain Ute Indian Tribes in southwest Colorado.

<https://www.codot.gov/programs/planning/planning-partners/stac.html>

### 1.1.1.3 DTR's Transit and Rail Advisory Committee

The Transit and Rail Advisory Committee (TRAC) works with DTR to develop and promote the **DTR's vision, policies, and priorities for transit and rail services in Colorado**. The committee's 18 members are representatives from public and private transit providers, Class I and Shortline railroads, interest groups, CDOT Transportation Planning Regions, counties, cities, and the general public. TRAC subcommittees are formed as needed to address specific issues—for example, FTA Sections 5310/5311 distribution, performance asset management, Bustang/Rural Regional Bus, and the SWTP implementation.

<https://www.codot.gov/about/committees/trac>

### 1.1.1.4 Southwest Chief & Front Range Passenger Rail Commission

The Southwest Chief & Front Range Passenger Rail Commission was created by Senate Bill 17-153 in May 2017. It has 11 voting members (MPOs, freight railroads, Regional Transportation District, passenger rail advocacy, local leaders, and others) and 3 non-voting members (Amtrak, Cheyenne Chamber of Commerce, and CDOT). It has two purposes: (1) to preserve and improve the existing Amtrak Southwest Chief service through track maintenance and other improvements, and (2) to facilitate the development of a passenger rail service along the greater I-25 corridor. Information about this Commission is located at

<https://www.codot.gov/about/southwest-chief-commission-front-range-passenger-rail>.

## 1.6 Roles and Responsibilities

### 1.6.1 FTA

FTA Region 8, located in Denver, provides overall policy and program guidance for all FTA-funded programs in Colorado and across a six-state area. The Operations and Program Management Office has the following responsibilities:

- Oversee implementation of federally funded programs, including the annual Program of Projects.
- Develop and implement project financial management procedures.
- **Review and approve CDOT's SMP every 3 years.**
- Obligate funds annually.
- Review and approve applications.
- Monitor and close awards.
- Receive state certifications.

- Provide technical assistance, advice, and guidance to CDOT, as needed for program support.

### 1.6.2 CDOT and State Agencies

Table 1-4 outlines the functional responsibilities of the various groups involved in the planning, budgeting, application, and project execution related to federal and state funds.

**Table 1-4. Functional Responsibilities of Various Entities**

Organization	Responsibilities at Each Stage of Process			
	Program and Project Planning	Budgeting	Application/Award	Project Implementation
Colorado Attorney General	Advise DTR on legal matters and policy changes, e.g., subaward protest process  Review State Management Plan			Review and certify certifications and assurances
CDOT Executive Director's Office		Review/approve FTA award amendments, if required  Review/approve transfer of funds between programs	Review award appeals, if required	
State Transportation Commission  (supported by Transit & Intermodal Committee)	Approve high-level policy criteria and transit metrics by which transit funds are allocated.  Adopt State Management Plan  Adopt Statewide Transit Plan  Approve State Freight & Passenger Rail Plan  Approve FASTER criteria for project selection	Approve DTR Annual Budget  Allocate funding for FASTER  Adopt STIP	Approve DTR recommended list of awards (projects).	
CDOT DTD  (supported by Transit and Rail Advisory Committee)	Conduct statewide planning process  Coordinate with MPOs and TPRs	Review TIPs and STIP and inform DTR of transit projects		

**Table 1-4. Functional Responsibilities of Various Entities**

Organization	Responsibilities at Each Stage of Process			
	Program and Project Planning	Budgeting	Application/Award	Project Implementation
Statewide Transportation Advisory Committee (STAC)	Review and comment on Regional Transportation Plans, Statewide Transportation Plan, and Statewide Transit Plan			
CDOT Office of Financial Management & Budget (OFMB)	Set CDOT budget structure	Verify fiscal constraint of STIP Approve STIP requests/project budgets and amend STIP annually Submit 4-year STIP to FTA Prepare DTR Annual Budget Approve FTA/FASTER pool funds		
CDOT Division of Accounting & Finance Accounting	Set CDOT accounting procedures	Manage drawdown of federal funds Upload FFATA report	Approve/reject project budgets in SAP Approve project setups and project budgets	Analyze and report on budgets, available balances, and outstanding apportionments monthly Reconcile FTA award final expenses and disbursements Submit FFR reports to FTA Submit final reimbursement request to FTA

**Table 1-4. Functional Responsibilities of Various Entities**

Organization	Responsibilities at Each Stage of Process			
	Program and Project Planning	Budgeting	Application/Award	Project Implementation
<p>CDOT Division of Accounting &amp; Finance Business Office</p>		<p>Update FTA/FASTER pool funds (STIP)</p> <p>Enter transit projects into STIP</p> <p>Build STIP awards, projects, and budgets</p> <p>Update COTRAMS when awards are budgeted in SAP</p>	<p>Modify projects and/or budgets in SAP, if needed</p> <p>Build SAP projects and budgets</p>	<p>Approve/reject shopping carts</p> <p>Report on outstanding apportionments monthly</p> <p>Review/approve/reject reimbursement requests for compliance with scope of work budget, state &amp; federal requirements</p> <p>Review and approve FTA voucher for reimbursement</p> <p>Analyze and report on budgets, available balances, and outstanding apportionments monthly</p> <p>Review/approve final reimbursement request to FTA</p>
<p>CDOT Civil Rights and Business Resource Center (CRBRC)</p>	<p><b>Develop and set CDOT’s DBE goal and DTR’s transit-specific DBE goal</b></p> <p>Develop and monitor CDOT DBE, EEO, and ADA programs</p> <p><b>Develop DTR’s LEP and Title VI Program and LEP Plan</b></p> <p>Develop DTR ADA policies</p>		<p>Review application for compliance with civil rights policies, regulations, and laws</p> <p>Provide guidance on the integration of FTA civil rights requirements in subrecipient and DTR transit planning processes</p>	<p>Review FTA certifications &amp; assurances annually</p> <p>Prepare triennial DBE Report for FTA</p> <p>Collect and file copies of MPO Title VI, DBE, and EEO programs</p> <p>Conduct DBE survey of subrecipients</p>

**Table 1-4. Functional Responsibilities of Various Entities**

Organization	Responsibilities at Each Stage of Process			
	Program and Project Planning	Budgeting	Application/Award	Project Implementation
	Provide guidance on the integration of FTA civil rights requirements into transit planning			<p><b>Oversee subrecipients'</b> oversight for compliance with FTA civil rights requirements and nondiscrimination laws.</p> <p>Provide civil rights technical assistance to DTR and subrecipients</p> <p>Provide guidance on the integration of FTA civil rights requirements into project execution</p>
CDOT Procurement & Contract Services	<p>Set and monitor CDOT procurement policies</p> <p>Develop contracts subaward agreements with required federal clauses</p> <p>Assist CRBRC in communicating contracting opportunities to transit contractors, including DBEs and SBEs.</p>		<p>Review DTR and subrecipient procurement processes for compliance with federal requirements</p> <p>Review contract submittals for compliance</p> <p>Finalize contract with subrecipient and state signatures</p> <p>Conduct CDOT personal services procurements (architecture and engineering services)</p>	<p>Review/approve FTA Echo draws</p> <p>Review FTA certifications and assurances annually</p> <p>Review project amendments</p> <p>Close out contract with subrecipient at end of project</p> <p>Close out project (SAP) and liquidate remaining funds</p>

**Table 1-4. Functional Responsibilities of Various Entities**

Organization	Responsibilities at Each Stage of Process			
	Program and Project Planning	Budgeting	Application/Award	Project Implementation
CDOT Division of Audit		Approve <b>subrecipient’s cost</b> allocation plan or indirect cost rate	Review application for approved indirect cost rate	Maintain annual approvals of indirect cost rates  Review Single Audit Certification Form or Single Audit Reports
CDOT Office of Communications	Issue public notices of public comment periods related to statewide planning process		Issue statements of project awards	
DTR Planning Unit	Conduct planning process for Statewide Transit Plan that sets 4-year priorities  Assist rural TPRs with Regional Transit Plans  Review MPO transit plans			Oversee the statewide fleet and facility inventory  <b>Coordinate the state’s</b> Transit Asset Management Plan  Conduct asset review of subrecipients as warranted
DTR Programming Unit	Assist in preparing DTR Five-Year Financial Plan  Prepare STIP and STIP amendment requests  Update FTA/FASTER Rural pool funds  Prepare and submit FTA award budget revisions and amendments  Prepare and submit Program of Project (POP) status report to FTA  Initiate FFATA reporting process	Allocate funds within programs  Identify old money  Submit STIP requests to Business Office for FTA-funded projects  Request transfer of funds to Regions for FASTER projects  Apply for FTA award pool funds annually	Submit STIP amendments  Enter FTA application and execute award in TrAMs  Prepare and release <b>“Call for Projects”</b> or Notice of Funding Availability (NOFA)  Determine applicant eligibility	Reconcile expenditures against budgets  Generate FTA and state funds project status reports and revenue reports  Submit FTA award amendments and adjust budgets  Close out awards with FTA (TrAMS)

**Table 1-4. Functional Responsibilities of Various Entities**

Organization	Responsibilities at Each Stage of Process			
	Program and Project Planning	Budgeting	Application/Award	Project Implementation
	Manage COTRAMS development	Budget project budgets in COTRAMS  Submit budget adjustments  Send forms to Business Office to set up FTA budgets in SAP	Evaluate applications  Check SAM.gov  Determine appropriate program for project (pool projects)  Transfer FASTER funds to Regions  Award project funds  Review application for completeness  Confirm eligible in-kind services  Approve shopping cart for project	
DTR Project Coordination Unit	Advise potential applicants on optimizing eligibility for projects  Assist applicants in determining best avenue for obtaining project funds  Review New Applicant questionnaires  Coordinate with MPOs	Approve project budgets in COTRAMS	Assign Project Coordinators  Provide input on past performance and complete risk assessment  Evaluate applications  Finalize scope of work and budget  Build shopping cart	Review certifications & assurances annually  Review/approve reimbursement requests  Review/revise project amendments  Monitor subrecipient performance  Conduct SIR and Site Review process  Provide technical assistance

**Table 1-4. Functional Responsibilities of Various Entities**

Organization	Responsibilities at Each Stage of Process			
	Program and Project Planning	Budgeting	Application/Award	Project Implementation
				Report monthly to DTR Director Oversee subrecipient third-party procurements Collect quarterly reports from 5310 and 5311 subrecipients Prepare Milestone Progress Reports and Final Program Measure Reports (TrAMS) Report quarterly to FTA Close out project with subrecipient
DTR Bus Operations	Conduct regional service planning Develop business plan for interregional services	Prepare STIP requests for interregional pool projects	Support subrecipient procurement of contracted services	<b>Monitor subrecipient's</b> oversight of contracted service providers
CDOT Regions	Conduct 4P (planning process) Submit STIP requests and requests for amendments Develop Regional ITS Plans and Regional ITS Architectures Develop mobility plans		Participate in application evaluation process, as requested	Oversee transit construction projects
Transit Agency/ Subrecipient	Participate in development of Regional Transit Plans and Statewide Transit Plan	Submit project budgets to CDOT	Respond to Calls for Projects through	Execute project according to subaward agreement

**Table 1-4. Functional Responsibilities of Various Entities**

Organization	Responsibilities at Each Stage of Process			
	Program and Project Planning	Budgeting	Application/Award	Project Implementation
		Region for STIP or MPO for TIP	application with required documentation  Submit applications to FTA for discretionary awards  Execute subaward agreement with CDOT	Participate in Subrecipient Information Request (SIR) and Site Review process  Comply with reporting requirements  Conduct third-party procurements according to FTA and state regulations  Report to National Transit Database
TPR	Prepare Regional Transportation Plan and Regional Transit Plan  Conduct public involvement process  Set priorities	Participate in STIP development		
MPO	Prepare Long Range Transportation Plan with Transit Element  Prepare 5310 Human Services Transportation Plan  Develop ITS Architecture  Integrate Title VI public involvement requirements and environmental justice considerations in the planning process  Submit Title VI and DBE Programs to CRBRC as requested.	Prepare and submit transit TIP and STIP amendments to CDOT  Amend Unified Planning Work Program and TIP	Review applications and award funds to local transit agencies within MPO	Oversee and monitor projects  Report directly to FTA

**Table 1-4. Functional Responsibilities of Various Entities**

Organization	Responsibilities at Each Stage of Process				
	Program and Project Planning	Budgeting	Application/Award	Project Implementation	
<i>Acronyms and Abbreviations:</i>					
ADA	Americans with Disabilities Act	FASTER	Funding Advancement for Surface Transportation and Economic Recovery Act	POP	Program of Project
CDOT	Colorado Department of Transportation			SAP	<b>Systems Applications and Products (CDOT's Financial System)</b>
COTRAMS	Colorado Transit & Rail Awards Management System	FFATA	Federal Funding Accountability and Transparency Act	SBEs	Small Business Enterprises
CRBRC	Civil Rights and Business Resource Center	FFR	Federal Financial Report	SIR	Subrecipient Information Request
DBE	Disadvantaged Business Enterprise	FTA	Federal Transit Administration	STAC	Statewide Transportation Advisory Committee
DTD	Division of Transportation Development	ITS	Intelligent Transportation Systems	STIP	Statewide Transportation Improvement Program
DTR	Division of Transit and Rail	LEP	Limited English Proficiency	TIPs	Transportation Improvement Programs
EEO	Equal Employment Opportunity	MPOs	Metropolitan Planning Organizations	TPRs	Transportation Planning Regions
		NOFA	Notice of Funding Availability	TrAMs	Transit Award Management System (FTA)
		OFMB	Office of Financial Management & Budget		