

Memo

New Mexico Department of Transportation

SUBJECT: Infrastructure Design Directive
IDD-2006-02 (Policy for Program Modifications
to the Production & Letting Schedule)

DATE: 1-25-2006

TO: Office of Infrastructure Divisions
Transportation Design Community

FROM: Steven P. Harris, Chief Engineer,
Office of Infrastructure Divisions



FILE REFERENCE:
PSESHARE:Design Directives

The Chief Engineer on behalf of the Deputy Secretary has been delegated the authority to carry out the management and administration of the DOT's Project Production & Letting Schedule.

As such, program modifications to the Production & Letting Schedule must adhere to the following protocol in order for changes to take effect:

- Design Regional Manager or District Design Manager is responsible for initiating a Program Modification form (reference attached for use).
- Program Modification form requires concurrence from the District Engineer.
- Program Modification form requires approval from the Chief Engineer.
- Upon approval, the Design Regional Manager or District Design Manager will be responsible for coordinating the Program Modification thru the respective RPO, MPO and/or Programs Division for appropriate action to affect changes in the TIP and/or STIP (reference STIP Procedures 12/10/04 – attached). It is highly recommended that consultation with the respective RPO/MPO be occurring concurrently in order to expedite processing.

Modifications to the GRIP program may not be authorized unless concurred by the District Engineer and approved by the Chief Engineer. While modifications to the STIP are to be approved by the respective District Engineer but require concurrence from the Chief Engineer for purposes of acknowledging and addressing changes within the Production & Letting Schedule.

As a result of procedures established by the STIP Amendment Cycle (reference STIP Procedures 12/10/04 – attached), projects within the Production & Letting Schedule may become subject to delay or scheduling revision in the event projects are not appropriately programmed in the STIP. Refer to Typical Quarterly Calendar, 01/25/06 (attached) in reference to the following timeline guide.

- In the event a project requires program adjustments that may not be addressed via an Administrative Amendment, a formal STIP Amendment must be processed in accordance with the established quarterly cycle unless approved by the Secretary.
- Quarterly Cycles for Commission Approval only occur the months of February, May, August and November.

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- It is FHWA's goal to approve the STIP amendment concurrently with the following month's established Authorization Submittal (1st Monday of each Month). However in the event this does not occur, there is the potential for said authorization to slip one additional month along with the corresponding let date.
- Consequently, the earliest a project undergoing a STIP Amendment may be let out to bid (assuming FHWA's approval is concurrent with the Authorization Submittal) becomes two months following the Quarterly Cycle submission.

As you can see it is of utmost importance that development of your projects along with estimating receive the greatest level of attention and scrutiny into the last quarter of its development in order to avoid any potential delays to the program. Therefore the project development teams, which is inclusive of the Districts must assure their projects are planned, monitored and programmed accordingly.

The criteria for what specifically triggers a STIP Amendment (reference STIP Procedures 12/10/04 – attached), is as follows:

- Addition or deletion of any project
- Substantial changes in the scope of any project
- Changes to any project that would affect air quality conformity
- Availability of earmarked funds
- Projects moving into or out of the first three years of the STIP
- Changes in a project's programmed amount by greater than fifteen percent (15%) or more than \$2,000,000

As a reminder, the Design Directives reside in the PSESHARE drive. General Office staff is to utilize the \\asgopinon\pseshare drive to access the Directive. District and Regional Office staff can access the Directive utilizing the appropriate District drive as indicated below:

District 1	\\d1flsv03\design\$
District 2	\\d2flsv01\public\pse_section
District 3	\\d3flsv03\ps&e_section
District 4	\\d4flsv04\designshared
District 5	\\D5flsv02a\D5Design
District 6	\\d6flsv02\pse_section

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PDN-Blue Section

Joe Garcia
David Quintana/Mike Martinez
Ed Escudero/Antonio Valdez
Armando Armendarez/Greg Hagman

PDN-Green Section

Benny Martinez
Mike Pope Mike Kirby
Sixto Martinez/Daniel Maes
vacant/Andrew Gonzales
Charlie Ortiz/Richard Salazar
Steve Ader

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Steve Reed

Environmental Geology Section

Audrey Moore

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Rick Fencil

ROW/Utilities Section

Ron Noedel

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Steve Eagan

Brian Danielson

DISTRICT ENGINEERS

1/Alvin Dominguez

2/Gary Shubert

3/Larry Velasquez

4/Paul Gray

5/John McElroy

6/Larry Maynard

ASSISTANT DISTRICT ENGINEERS

1/Paul Little/Harold Love

2/Ismael Dominguez (acting)/Ralph Meeks

3/Mike Plese/Kathy Trujillo

4/Tim Chavez (acting)/Abel Esquibel

5/James Gallegos/Miguel Gabaldon

6/Fernando Trujillo/Lisa Boyd Vega

ENGINEERING SUPPORT

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2/Robert Kurtz

3/vacant

4/Dennis Peralta

5/Phil Gallegos

6/vacant

DISTRICT TECHNICAL SUPPORT ENGINEERS

1/Filiberto Castorena

2/ Betty Helgeson

3/Ken Murphy

4/Heather Sandoval

5/David Martinez

6/Bryan Peters/Donald Benninghoff

DISTRICT TRAFFIC ENGINEERS

1/Maria Hinojos

2/Richard Weed

3/Tony Abbo

4/Adam Romero

5/Rueban Garcia

6/Barry J. Lytle

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Bob Meyers

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Eric Worrell

Carl Lovato

Frank Lozano

Ryan Beach

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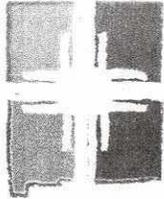
Typical Quarterly Calendar

February-06						
M	T	W	T	F	S	S
		1 <i>STIP Amendment Due</i>	2	3	4	5
6 9-day Letter / Authorize Funds (March Let)	7	8	9	10	11	12
13	14	15	16	17 1st Day of Advertising (March Let) / Feb Letting	18	19
20	21	22	23 <i>Commission Approves STIP</i>	24	25	26
27	28					

March-06						
M	T	W	T	F	S	S
		1	2	3	4	5
6 <i>9-day Letter / Authorize Funds (April Let)</i> <i>Earliest Authorization of Projects requiring Amendment (assuming FHWA)</i>	7	8	9	10	11	12
13	14	15	16	17 1st Day of Advertising (April Let) / March Letting	18	19
20	21	22	23	24	25	26
27	28	29	30	31		

April-06						
M	T	W	T	F	S	S
					1	2
3 9-day Letter / Authorize Funds (May Let)	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21 1st Day of Advertising (May Let) / April Letting	22	23
24	25	26	27	28	29	30

* Note, each color designates a typical project letting cycle



New Mexico DEPARTMENT OF
TRANSPORTATION
MOBILITY FOR EVERYONE

December 10, 2004

The development of the State Transportation Improvement Program (STIP) on an annual cycle with monthly amendments was a time consuming task. The current annual cycle occupied a tremendous amount of staff resources that could be used more efficiently. Since federal approval of the TIP/STIP is for two years, the NMDOT sought to determine a method of streamlining STIP development and amendment procedures.

Toward this end, department management approved the concept for a STIP Review Committee in November 2003. The Committee was co-chaired by Pat Oliver-Wright, NMDOT Statewide Planning Section Supervisor and Jack Lord, NMDOT/MRCOG Liaison. The Committee was composed of the following entities:

- o NMDOT – Districts, General Office and Functional Divisions / Groups
- o Metropolitan Planning Organizations – all five of the New Mexico MPOs
- o Regional Planning Organizations – five of the New Mexico RPOs and Department RPO staff
- o Stakeholders – Tribal representatives, Local government representatives

The Committee met once a month for seven months to arrive at a consensus on the attached procedures. The Secretary has accepted these procedures for immediate implementation.

The attached documents outline the revised process and time frame. Important changes to note are that the newly developed FY2006-FY2011 STIP will have federal approval for two years. It will be submitted for Commission review in July 2005. After the January 2005 Commission meeting STIP amendments will be processed on a quarterly basis beginning in February. Subsequent amendments will be processed in May, August and November of each year. Also note the criteria that distinguish amendments and administrative adjustments.

Please review the attached documents and begin to incorporate them into your standard operating procedures. Should you have any questions please contact the STIP engineer, Bryan Danielson at 827-3204 or the STIP coordinator, Moses Mondary at 827-5575.

Sincerely,


Andres Aragon Viamonte, P.E.
Deputy Secretary

Attachment

Bill Richardson
Governor

Rhonda G. Faught P.E.
Cabinet Secretary

Commission

Johnny Cope
Chairman
District 2

David Schutz
Vice Chairman
District 5

Gregory T. Ortiz
Secretary
District 6

Norman Assed
Commissioner
District 3

Jim Franken
Commissioner
District 4

Bud Hettinga
Commissioner
District 1

STIP Procedures

1. The New Mexico DOT will follow a two-year STIP development cycle beginning in FY 2005 with development of the 2006-2012 STIP and Transportation Elements Working Document.
2. TIP and STIP development for MPOs in New Mexico and the NMDOT will take place within the two-year cycle during the odd-numbered fiscal years (i.e. in FY 2005, FY 2007, etc.) in order to be effective during even-numbered fiscal years.
3. The New Mexico Department of Transportation STIP Development Unit will provide financial estimates to Districts, MPOs, and RPOs at the beginning of the development period along with actual submittal and approval dates for major milestones. When available, interim financial estimates can be provided to assist the Districts, MPOs, and RPOs with amending and/or adjusting the TIP/STIP as necessary.
4. The current STIP differentiates between the financially constrained first three years (Statewide Transportation Improvement Program) and years four thru six (Transportation Elements Working Document). This naming convention will continue in compliance with Federal guidelines that state that only the first three years of the STIP are federally approved and all other years are for information and planning purposes.
5. The MPOs and RPOs may choose to continue an annual cycle of development of the TIPs and RTIPRs as long as the timeline is compatible with the recommended two-year STIP development cycle and the recommended amendment cycle.

Amendment Cycle and Criteria –

Modifications to the STIP that are determined to require federal approval will be referred to as Amendments. Modifications to the STIP that do not require federal approval will be referred to as Administrative Adjustments.

Amendments to the STIP will be presented quarterly to the State Transportation Commission for review at their scheduled meetings in November, February, May, and August. Following Commission review the DOT Secretary will approve the Amendments. (In the event the State Transportation Commission does not meet during one of these months, the Amendment(s) will be presented at the next scheduled meeting.)

When situations arise that require Amendments to the STIP to take place outside of the prescribed quarterly cycle, these "Out-of-Cycle" Amendments must be approved by the Secretary of the New Mexico Department of Transportation or a person designated by the Secretary prior to being processed through the STIP Development Section. In order for an MPO, RPO, or District to submit an "Out-of-Cycle" Amendment, a formal request from the Chairman of the MPO Policy Committee, RPO Board, District Engineer or Deputy Secretary must be approved by the Secretary (or designee). The formal request must include the reason(s) for the amendment and why it cannot be addressed within the quarterly cycle.

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Amendments to the TIP and STIP will be required for any of the following

- Addition or deletion of any project
- Substantial changes in the scope of any project
- Changes to any project that would affect air quality conformity
- Availability of earmarked funds
- Projects moving into or out of the first three years
- Changes in a project's programmed amount by greater than fifteen percent (15%) or more than \$2,000,000

Any revisions to the TIP and STIP that do not meet the criteria defined for an Amendment will be Administrative Adjustments. All requests to revise the STIP must include documentation that the appropriate coordination, cooperation, and/or consultation with local and/or tribal governments, NMDOT, MPOs, and RPOs have occurred according to federal regulations.

Communication Protocol

This Communication Protocol has been developed in an effort to make the process for amending the MPO's Transportation Improvement Program (TIP) and the NMDOT's Statewide Transportation Improvement Program (STIP) more efficient by prescribing procedures that identify when and how notifications are to take place. All communications are assumed to take place within the context of the TIP/STIP Development and Amendment Process.

NOTE: The process outlined here is not intended to replace any communications that lead to decisions to modify a Metropolitan TIP or the STIP. Rather, these protocols are intended to provide the communications framework that allows decisions agreed to among the appropriate participants.

General –

- ❖ The communication protocols apply to ALL changes (amendments or administrative adjustments) to a TIP or the STIP.
- ❖ All changes must go through the District Engineer or the Deputy Secretary. They may choose to designate staff member responsible for these activities.
- ❖ Local government agencies must work through the Metropolitan Planning Organization (MPO) to affect changes to the TIP, or through the Regional Planning Organization (RPO) to affect changes to the STIP. Within MPOs, MPO staff will be responsible for coordinating all TIP/STIP changes with the District Engineer and for notifying member agencies of pending or completed state and federal actions. Within RPOs, RPO Planners will be responsible for coordinating all STIP changes with the District Engineer or Deputy Secretary and for notifying member agencies of pending or completed state and federal actions.
- ❖ Tribal entities are encouraged to work through the respective MPO or RPO to initiate a change in the TIP/STIP. However, if tribal entities choose to work through federal agencies such as the Bureau of Indian Affairs, the FHWA, or the FTA, the communication channels outlined below must be followed. Under these circumstances, the NMDOT Programs Division will serve as the initiator of the change and will be responsible for all notifications back to the tribal entity.
- ❖ In order to expedite requests, signed letters can be faxed to initiate the change, with the original following by mail. Formal Emails are also acceptable and should be printed and kept as a record document.

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A) For changes initiated by NMDOT Divisions, Bureaus, Sections, or other areas of the NMDOT General Office

1. The office sends correspondence to the District Engineer or Deputy Secretary requesting a change, with copies to appropriate individuals (i.e. to STIP Coordinator, Planning Director, other Division/Bureau/Section/District personnel, etc.).
2. The District Engineer or Deputy Secretary sends correspondence transmitting the request to the MPO staff or RPO Planner, with copies to appropriate individuals.
3. MPO staff or RPO Planner sends correspondence acknowledging receipt of the request and outlining the necessary actions.
4. For changes in the RPO
 - i) RPO Planner notifies the local governments regarding requested changes
5. For changes in the MPO
 - i) MPO staff initiates the change process
 - ii) MPO staff sends letter (with any attachments) to District Engineer or Deputy Secretary once the change is finalized by the Policy Board/Committee
 - iii) District Engineer sends letter to STIP Coordinator transmitting MPO documentation of the change, with a copy of transmittal letter to the MPO
6. STIP Coordinator sends letter transmitting federal action letter to District Engineer or Deputy Secretary and MPO staff or RPO Planner

B) For changes initiated by NMDOT Districts

1. The District Engineer sends correspondence to the MPO staff requesting the change or to the RPO Planner notifying them of the intent to make a change, with copies to appropriate individuals (i.e., STIP Coordinator, Planning Director, other Division/Bureau/Section/District personnel, etc.)
2. MPO staff or RPO Planner sends correspondence acknowledging receipt of the request and outlining the necessary actions.
3. For changes in the RPO
 - i) RPO Planner notifies the local government regarding requested changes
4. For changes in the MPO
 - i) MPO staff initiates the change process
 - ii) MPO staff sends letter (with any attachments) to District Engineer once the change is finalized by the Policy Board/Committee
 - iii) District Engineer sends letter to STIP Coordinator transmitting MPO documentation of the change, with a copy of transmittal letter to the MPO staff
5. STIP Coordinator notifies District Engineer and MPO staff or RPO Planner when State action is taken
6. STIP Coordinator sends letter transmitting federal action letter to District Engineer and MPO staff or RPO Planner

C) For changes initiated by MPOs

1. MPO staff sends correspondence to the District Engineer as notification of intent to request change to the STIP, with copies to appropriate individuals (i.e., member agencies, STIP Coordinator)

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2. MPO staff sends correspondence (with any attachments) to District Engineer once the change is finalized by the Policy Board/Committee
3. District Engineer sends letter to STIP Coordinator transmitting MPO documentation of the change, with a copy of transmittal letter to the MPO staff
4. STIP Coordinator sends letter transmitting federal action letter to District Engineer and MPO staff

D) For changes initiated by RPOs

1. RPO Planner sends correspondence to the District Engineer requesting a change to the STIP, with copies to appropriate individuals (i.e., member agencies)
2. District Engineer sends letter to STIP Coordinator requesting a change, with a copy to the RPO Planner
3. STIP Coordinator sends copy of federal action letter to District Engineer and RPO staff

Time Line for STIP Development

	Development Milestones	Even-numbered FY												Odd-numbered FY											
		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
STIP Process Review Committee Proposal	General Office provides financial estimates, submittal, and approval dates to Districts, RPOs, and MPOs											■ (1)													
	District, RPO, and MPO Draft TIPs developed and submitted to General Office															■ (2)									
	District, RPO, and MPO Public Review																								
	District, RPO, and MPO Final TIPs submitted to General Office																	■ (3)							
	General Office Compiles STIP																								
	STIP Public Review																		(4)						
	Concurrent Federal Review																								
	STC Review-Secretary Approval																							■ (5)	
	General Office submits STIP for Federal Review and Approval																							■ (6)	
	Final Federal Review and Approval																							■ (7)	
	Amendment Cycle																								
STC Review-Secretary Approval		■ (8)			■ (8)			■ (8)				■ (8)			■ (8)			■ (8)				■ (8)		■ (9)	
Federal Review and Approval																									

- Notes: ■ signifies a submittal or approval occurring during the month
- (1) NMDOT STIP Development section to provide financial estimates to Districts, RPOs, and MPOs.
 - (2) Draft TIPs due March 1, 2005
 - (3) Final TIPs due May 3, 2005
 - (4) State public review to be completed during June/July time period to allow for Department of Transportation (DOT) approval in July.
 - (5) STIP ready for submittal for Federal review as soon as it is approved the DOT.
 - (6) Federal approval must occur prior to October 1st, which begins the Federal fiscal year.
 - (7) Amendments to the **current** STIP; submittal to STIP Development Section minimum of three weeks prior to Commission meeting.
 - (8) Amendments to the **newly approved** STIP; submittal to STIP Development Section minimum of three weeks prior to Commission meeting.