NOTES:

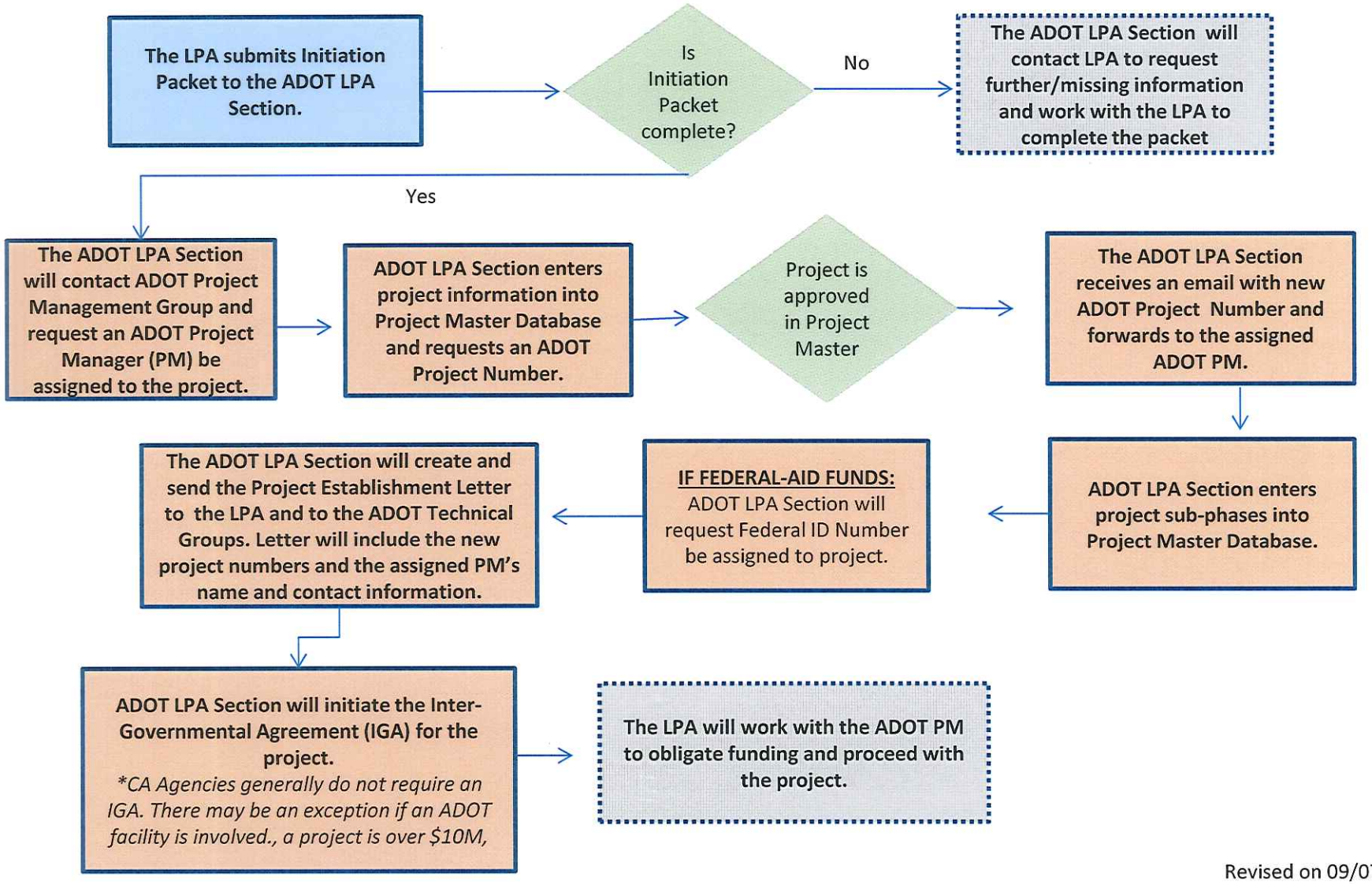
- Prior to requesting funding through ADOT, LPA Coordinator should have approval from their local COG/MPO and the project must be added to the COG/MPO's Transportation Improvement Plan (TIP)
- ADOT LPA Section will initiate the project within 30 days of receiving a *COMPLETED* Initiation Packet.

Project Initiation Process for Local Public Agencies

=Local Public Agency (LPA)

=ADOT LPA Section

=ADOT LPA Section and LPA



Revised on 09/07/17

Arizona Local Public Agency
Stakeholder Council

Infrastructure Delivery and Operations

Presentation by Tricia Lewis

December 7, 2017

ADOT 1

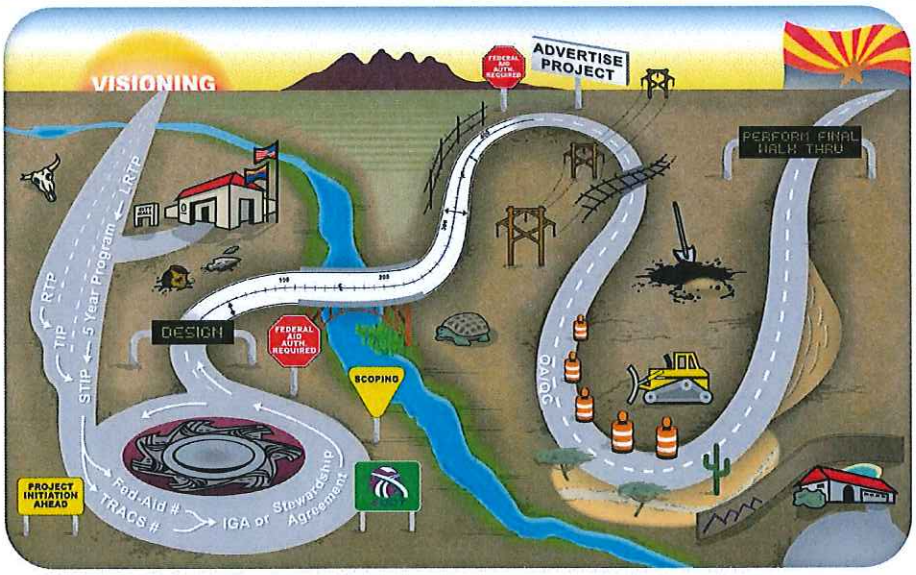
OVERVIEW:

- Project Initiation Process
- Project Initiation with HURF Exchange

ADOT 2

PROJECT INITIATION
for Local Public Agencies

ADOT 3



ADOT 4

LIFE CYCLE OF THE PROJECT DEVELOPMENT PROCESS

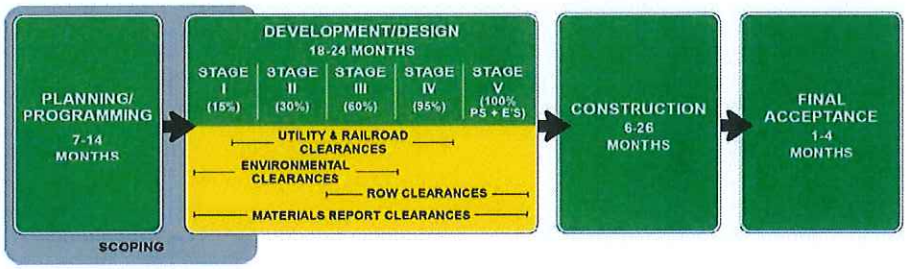


Figure 1-2 Life Cycle of the Project Development Process

ADOT 5

PURPOSE: ADOT Local Public Agency

- Program Branch provides the linkage between local project planning and development for Arizona's Local Public Agencies.
- ADOT LPA provides guidance with the federal process and steps necessary to accurately evaluate and initiate potential local public agency projects and intergovernmental agreements;
- Assist local public agencies who receive federal-aid authorization to develop and/or construct transportation projects.
- 120 local public agencies in Arizona that may be eligible for federal funding.

ADOT 6

Eligible Programs:

- Surface Transportation Block Grant Program (STBGP)
- Highway User Revenue Fund (HURF) Exchange
- * Off System Bridge Program
- Transportation Alternative Program (TA)
  - Safe Routes to School

ADOT 7

NOTES:
- Prior to requesting funding through ADOT, LPA Coordinator should have approval from their local COG/MPO and the project must be added to the COG/MPO's Transportation Improvement Plan (TIP)
- ADOT LPA Section will initiate the project within 30 days of receiving a *COMPLETED* Initiation Packet.

Project Initiation Process for Local Public Agencies

=Local Public Agency (LPA)
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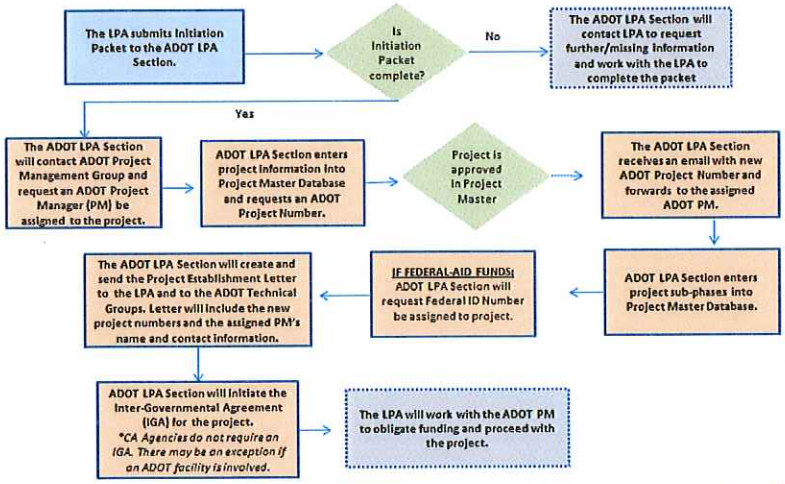

Revised on 09/07/17

ADOT 8

PROJECT INITIATION WITH ADOT

How does LPA assist Project Managers (PMs):

ADOT LPA Section currently initiates the project based on information provided by the LPA

1. Request project numbers
2. Start IGA
   a. Must be in place before funds are authorized and obligated
   b. LPA match must be submitted to ADOT
3. Hand off project to the PM

ADOT 9

REQUIRED Forms & Documentation

REQUIRED Forms:

- **Project Initiation Letter should include:**
  - **Project Name (match project name in TIP)**
  - **Functional Classification**
  - **Description of work – help us get to know your project**
    - **What is the type of project? What are the project limits? Type of project funding?**
- **ADOT Project Data Sheet**
- **ADOT Functional Classification Map (www.azdot.gov/maps/functional-classification-maps)**
- **A *legible* copy of the local MPO/COG TIP page, with the project highlighted and all phases of the project shown in a programmed year and must be from an approved TIP amendment**

ADOT 10

ADOT LPA Website

Local Public Agency

One-Stop Shop

Home (LPA) | One-Stop Shop | Communication Bulletins | Stakeholder Council | Inspector Training | HURF Exchange | Contact Us

Project Initiation

Required Documents:

- Project Initiation Letter (Sample) (.doc) Rev. 7/11/17
- Project Data Sheet (.xls)
- ADOT Functional Classification Map
- A *legible* copy of the local MPO/COG Tip page, with the project highlighted and all phases of the project shown in a programmed year
- Supporting Documentation

Supporting Documentation:

Supporting documentation is a required part of the packet; however, the type of supporting documentation is up to you.

The ADOT LPA Section has tools available on our website to help with projecting schedule and estimated costs, including:

- Sample Scoping Document (.doc)
- ADOT Cost Estimate Tool (.xls) Rev. 9/15/17

Other types of supporting documentation can include: A copy of the approved COG/MPO funding application or workbook, PA, any other types of planning and scoping documents that give details about the project.

ADOT 11

Supporting Documentation

- Supporting documentation is a required part of the packet, however, the type of supporting documentation is up to you. The ADOT LPA Section has tools available on our website to help with projecting schedule and estimated costs, including:
  - Sample Scoping Document
  - Cost Estimating Tool
- Other acceptable planning documents:
  - A copy of the approved COG/MPO funding application or workbook
  - Project Assessment (PA), Scoping letter, DCR

ADOT 12

Project Master – ADOT LPA Section

1

Project Type	Major Program	Project Manager	Various Locations / MAGWide (optional)	Resource Program
○ ITD ◉ Local ○ Aero ○ Other	T0151	Mcguire, Adam (C1169)	☐ Various Locations ☐ MAGWide	LCL

2 LOCATION

Location Name	Major Program Short Name
2019 CMAG Alley Dustproofing	ALLEY DUSTPROOF

Route	Crossing Feature / M.P.	Offset	Project Length
Unknown	PHX	0	29.2

Status: Unknown Location
Lat: 0.0
Lon: 0.0

State	County	2nd County	City	Zip (optional)
AZ	Maricopa	Statewide	Phoenix	

Administrative District	Urban/Rural	Urban Area Code
Central Dist	◉ Urban ○ Rural	Phoenix (033)

Congressional District	Congressional District %	2nd Congressional District	2nd Congressional District %
District 7	100	District 7	0

Legislative District	2nd Legislative District	Functional Class	2nd Functional Class
District 30	District 30	Local	Local

Board District	2nd Board District	Engineering District	On Indian Reservation	On NHS
District 1 (Maricopa)	District 1 (Maricopa)	Central Dist	○ Yes ◉ No	○ Yes ◉ No

3 GENERAL

Major Program Type: Local

Project Oversight: (D) Delegated/Locally Administered

FHWA Standard Place	FHWA Project Type	FHWA Improvement Type	FHWA Area
55000	Conventional	6-4R Resurfacing	A-4

Est Construction Date	Safety 100%	Temp Matching	FTA	Infrastructure	Federal Aid System
2/15/2019	○ Yes ◉ No	○ Yes ◉ No	○ Yes ◉ No	○ Yes ◉ No	Other Federal Aid Highway

COG/MPO	Sponsor	CA/SA
Maricopa Association of Governments	CITY OF PHOENIX	◉ CA ○ SA ○ None

Description of Work: Dustproofing 29.2 miles of existing dirt alleys with high potential for particulate matter.

ADOT 13

Project Master – ADOT LPA Section

4 SUBPROJECTS

Sub-project	Phase	Request Status	Technical Support Manager	Unit	Phone	Federal Aid #
01	D	Approved	Adam Mcguire (C1169)	4983	(602) 712-8403	PHX-0(350)D

Program Short Name: ALLEY DUSTPROOF

IGA/JPA?	Internal Exp Allowed	Program Category (type of work)	Status	Environmental Document (Opt.)	Env Date (Opt.)
○ Yes ◉ No	◉ Yes ○ No	System Preservation (Restoration/Rehab/R	Info Only		

Budget Amount: $1,720,000.00

Total Budget: $1,720,000.00

Funding Source	STIP Year	TIP/STIPAmend	TIP/STIP Id	Fed Participation %	Fed Funding Amt	Local Match %	Local Amt
CMMAG	2019		PHX19-701C	94.3%	$1,621,960.00	5.7%	$98,040.00

Comments (optional):

Sub-project	Phase	Request Status	Technical Support Manager	Unit	Phone	Federal Aid #
01	D	Approved	Adam Mcguire (C1169)	4983	(602) 712-8403	IA

Program Short Name: ALLEY DUSTPROOF

IGA/JPA?	Internal Exp Allowed	Program Category (type of work)	Status	Environmental Document (Opt.)	Env Date (Opt.)
○ Yes ◉ No	◉ Yes ○ No	System Preservation (Restoration/Rehab/R	Info Only		

Budget Amount: $10,000.00

Total Budget: $10,000.00

Funding Source	STIP Year	TIP/STIPAmend	TIP/STIP Id	Fed Participation %	Fed Funding Amt	Local Match %	Local Amt
OTR	2019		PHX19-701C	0%	$0.00	100%	$10,000.00

Comments (optional): PMOR fees

ADOT 14

Initiation Resources

https://www.azdot.gov/business/programs-and-partnerships/LocalPublicAgency

Local Public Agency

One-Stop Shop

Home (LPA) | One-Stop Shop | Communication Bulletins | Stakeholder Council | Inspector Training | HURF Exchange | Contact Us

Project Initiation

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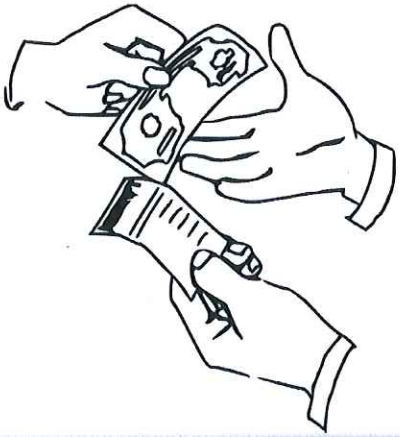
ADOT 15

Project Initiation with HURF Exchange Projects



ADOT 16

What is HURF Exchange?

- The Highway User Revenue Fund (HURF) Exchange was created by the Arizona Legislature in 1997 and is run at ADOT's discretion to benefit rural cities, towns and counties
- The HURF Exchange allows planning organizations and their local agencies to swap out federal funds for state highway funds to design and construct projects

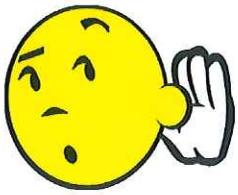
ADOT 17

Eligibility for HURF Exchange funds

- Arizona cities, towns and counties with a population of 200,000 or less according to the most recent annual population estimates produced by the Arizona Department of Administration and unincorporated areas
- Projects with primary purpose of improving the efficiency and safety of motor vehicle travel on roadways

ADOT 18

When to use HURF?



- *Time constraint involved*
- *Project has a small project budget*
- *Is the project eligible for HURF?*
- ***What's your experience?***
  - *Learn from other project experiences*

ADOT 19

Initiation Process with HURF Exchange

- All projects are required to have an IGA
- Project must be initiated through ADOT LPA
- Project sponsor will request initiation and provide HURF Exchange project forms
  - COMPLETED, APPROVED and SIGNED

ADOT 20

Required Forms:

- Project Initiation Letter
- Scoping Form
- Cost Estimate
- Project and Draw Schedule
- Map showing location of the project
- Functional Classification
- Legible copy of the TIP

ADOT 21

ADOT LPA Administration:

- Process initiation paperwork
- Establish an ADOT project number
- Initiate an IGA – must be fully executed before authorization can occur
- Assist with processing invoices, draw schedules

ADOT 22

When NOT to use HURF Exchange?

- Project would take longer than two years to build
- Larger projects typically require federal assistance
- Project scope is not fully defined

ADOT 23

When NOT to use HURF Exchange?

- Maintenance project
- Incurred prior to date of finance authorization
- Items outside the project R/W
- Utility work not directly and unavoidably related to project
- Betterments for utilities

ADOT 24

Not eligible for HURF Exchange

- Scoping
- Maintenance projects
- Costs incurred prior to date of finance authorization
- Any items outside of the project ROW
- Utility relocation which is not directly an unavoidably caused by the road work
- Betterments of utilities

ADOT 25

HURF Exchange Highlights

- Minimum exchange rate is 90 cents/$1
- Projects must be on the federal aid system, local roads are not eligible
- Projects must be clearly identified in a fiscally-constrained TIP
- A federally-funded project cannot be converted to HURF Exchange in the middle of a phase

ADOT 26

When are the funds available?

- HURF Exchange funding is available on a FEDERAL fiscal year basis beginning 1 October
- HURF Exchange projects must receive finance authorization by June 30th in the year programmed or the funding will lapse.
- All approvals and IGAs MUST be finalized and the project must be ready to advertise, initiate selection of consultants/contractors or begin work within 30 days of the date of authorization

ADOT 27

ADOT LPA Contacts:

Main Office:	205 S. 17th Avenue Phoenix, AZ 85007	602.712.7132
Acting Manager: Mark Henige	MHenige@azdot.gov	602.712.7132
Program Supervisor: Tricia Lewis	TLewis@azdot.gov	928.326.1062
Management Analyst III: Jennifer Henderson	JHenderson@azdot.gov	602.712.4173

ADOT 28

ADOT LPA Contacts:

Oversight & Monitoring Staff	205 S. 17th Avenue Phoenix, AZ 85007	602.712.6663
Process Manager: Jennifer VanVenRoy	JVanvenroy@azdot.gov	602.712.6663
O&M Manager: Rolanda Smedley	RSmedley@azdot.gov	602.712.6404
Compliance Officer: Sanja Katic-Jauhar	SKatic-Jauhar@azdot.gov	602.712.7720
Construction Compliance Engineer: Said Asad	SAsad@azdot.gov	602.712.8884
LPA Liaison: Jennifer Catapano	JCatapano@azdot.gov	602.712.4873

ADOT 29

Questions?

ADOT 30

Every Day Counts

Arizona Local Public Agency Stakeholder Council

ADOT
Infrastructure Delivery and Operations

Presentation by Korina Lopez

December 7, 2017

ADOT 1

OVERVIEW:

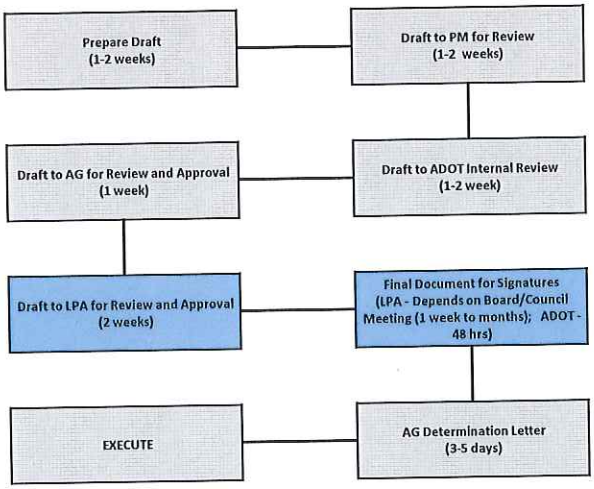
- JPA/IGA Process
- Update on HURF IGA

ADOT 2

INTERGOVERNMENTAL AGREEMENT PROCESS

ADOT 3

IGA Process



ADOT 4

JPA Section

IGA Process

ADOT JPA Section supports the Project Development Process

- **ADOT JPA Section facilitates the IGA process between Local Public Agencies and ADOT.**
  - After project initiation and establishment, ADOT LPA or PMG initiates the IGA
- **The assigned JPA Specialist will DRAFT the IGA.**
  - The initial DRAFT is based on information provided to ADOT LPA to establish the project
  - The IGA is drafted and circulated and reviewed internally

ADOT 5

IGA Process – LPA Review

ADOT JPA Section partners with and depends on the LPA to ensure the information within the IGA is accurate.

- **The JPA Specialist will send the DRAFT to the LPA and request comments and confirmation of the following:**
  - Project description
  - Project costs
  - Programmed funding
  - TIP/STIP numbers
  - Roles and responsibilities
  - Project priority
- **The assigned JPA Specialist will also request:**
  - Council/Board Meeting dates and deadlines
  - Contact info for IGA

ADOT 6

IGA Process – LPA Review

Project Schedules can influence the timeline.

- **LPA review times may be shortened due to project schedules and/or targeted delivery dates.**
  - IGA must be executed before funds can be authorized or obligated
  - The LPA's match must be received before the project will be advertised

ADOT 7

IGA Process – LPA Review

- **The IGA includes "Standard Language":**
  - Finance clauses
  - Right-of-way clauses
  - Utilities clause
  - Indemnification clause
  - Terms of the IGA
  - Single-Audit clause
  - Title VI clause
- **Changes to "Standard Language"**
  - All requested changes must be reviewed and appropriate approvals obtained

ADOT 8

IGA Process

IGA approvals, signatures, and execution....

- **After the IGA is acceptable to both the LPA and ADOT:**
  - The JPA Specialist prepares the document for signatures
  - Electronic signatures
  - Physical signatures
  - ADOT signs all IGA's electronically - DocuSign
  - After all signatures are obtained, the signed document is sent to the AG's office for their Determination Letter ("attorney approval form")
  - The "effective date" of the IGA is the date of the Determination Letter, the final signature received

ADOT 9

HURF Exchange IGA UPDATE

ADOT 10

The HURF Exchange – IGA

- **The IGA HURF Template has been drafted, it is going through the FINAL approval process.**
- **The HURF IGA will:**
  - Establish a Funding Transfer and Authorization Schedule
  - Standard for all LPA's
- **An Executed IGA will be required for each eligible HURF Exchange Project**

ADOT 11

ADOT JPA Contacts:

Joint Project Agreement Section
205 S. 17th Ave., MD 637E
Phoenix, AZ 85007
JPABranch@azdot.gov
Fax: 602.712.3132

Korina Lopez
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602.712.8753

Jennifer Workman
Senior JPA Specialist
602.712.7814

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602.712.7785

Diane Gillies
JPA Specialist
602.712.7344

Liliana Rubinstein
JPA Specialist
602.712.7124

ADOT 12

Questions?

ADOT

13

Everyday Counts - Arizona Local Public Agency Stakeholder Council

Thursday, December 7, 2017 • 10:00 PM – 2:00 PM

Maricopa Association of Governments (MAG) • 302 N. 1st Ave, Ironwood Conference Room • Phoenix, AZ 85003

Completion of this sign-in sheet is completely voluntary and helps the project team keep an accurate record of meeting attendees. Under state law, any identifying information provided below will become part of the public record and, as such, must be released to any individual upon request. Please print clearly.

NAME	AGENCY	PHONE	EMAIL
Jennifer CATAPANO	ADOT	602-712-4873	JTCATAPANO@azdot.gov
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CHRIS BRIDGES	CYMPO	928-442-5730	CHRISTOPHER.BRIDGES@YAVAPAI.US
Bryn Stotler	CYMPO	928-442-5730	Bryn.Stotler@yavapai.us
Tricia Lewis	ADOT LPA	928-326-1062	tlewis@azdot.gov
Korina Lopez	ADOT JPA	602.712.8733	klopez2@azdot.gov
Jennifer Workman	ADOT JPA	602.712.7814	jworkman@azdot.gov
Marc Ahlstrom	City of Mesa	480-644-4622	marc.ahlstrom@mesaaz.gov
Jason James	NACOG	928-775-9993, x4271	jjames@nacog.org
Rosalinda Federico	ADOT	(602) 712-4095	rfederico@azdot.gov
Tom Deitering	FHWA	602-382-8971	thomas.deitering@dot.gov

ADOT

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NAME	AGENCY	PHONE	EMAIL
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Karen Lamberton	Cochise County	520 432 9300	klamberton@cochise.az.gov
Ermalinda Gene	ADOT MPD	602.712.6736	egene@azdot.gov
Stephen Tate	MAG	602-452-5010	state@azmag.gov
Jennifer Henderson	Adot LPA		
Mark Henige	Adot LPA		
Steve Boschen	Adot State Engineers office		

ADOT