

Minor Projects – Guidelines

1. Introduction

The Minor Projects Subprogram guidelines describe the basis of Minor Projects selection which will follow a performance-based approach to project programming. Each project will be rated by the Minor Projects Selection Committee based on criteria and a prioritization method that are described below. Programming of selected projects will follow established ADOT policy.

The Minor Projects subprogram was created as a result of combining five subprograms into one. It is designed to provide additional flexibility in implementing needed projects at the District level. Previously, each District received an equal amount of funding dedicated to minor projects. Minor district projects were not subjected to any objective selection criteria or to a systemic prioritization process.

2. Definitions

A Minor Project is defined to be a project that is initiated and sponsored by the District or the Group Manager of responsible charge. The project could be stand-alone or part of another one. Total project costs (development and construction) are not to exceed \$4 million. Development costs include design, review, consultant fees, environmental, utilities, right of way, and ICAP.

Examples of types of work that could be included in minor projects are:

- Drainage improvements
- Storm Water
- Rockfall
- Intersection improvements
- Traffic signals that do not qualify for HSIP funding
- Turn lanes
- Minor widening (shoulder, passing lanes, auxiliary lanes)
- Guardrail, fencing, lighting, striping, ITS

The following types of work should not be included in a minor project:

- Bridge preservation
- Pavement preservation
- Landscape
- Transportation enhancement projects
- Projects that normally have other funding sources
- LB&I (land, building, and infrastructure) projects
- Projects off the state highway system

3. Project Selection Process

Projects must be submitted on an annual basis. A notice, that includes submittal deadlines and blank project application forms, will be sent out by MPD to all District Engineers and the Group Managers at the beginning of the programming cycle.

A selection committee will review and prioritize all minor projects based on the submitted applications. The committee will prioritize and recommend projects based on scoring of each project application according to six rating factors that are described below. Projects are programmed according to rankings given to them by the selection committee. If additional funding becomes available within the current programming cycle, the next project on the priority list may be programmed. Projects may be selected out of order to deplete the balance of the subprogram in the event that the cost of the next project on the list would exceed the amount of available funding. Projects that are not selected must be resubmitted to the committee in the next selection cycle in order to be considered. Programming of Minor Projects will follow the normal process where the project manager submits the project to the PRB, PPAC, and the Board.

3.1 Selection Committee

The Selection Committee membership is as follows:

- three District Engineers appointed by the State Engineer’s Office,
- three members of the State Engineer’s Office, and
- a representative from the Multimodal Planning Division.

District Engineers must rate their own projects but points will be recused from competitive process.

3.2 Rating Factors

The ranking of minor projects will be based on scoring the following factors for each application:

Title	Weight	Description
Agency Goals	1.0	How does this project align with agency goals and performance measures? Minor projects should fall within the Modernization category and should advance ADOT’s goals that are included in the Long Range Transportation Plan. Suggested Data to be submitted: <ul style="list-style-type: none">• Specific performance measures that this project would enhance• Average Daily Traffic• % Truck Traffic
Operational Improvement	1.0	How will this project improve the highway operation? Are there other operational improvements? If so, what are they and how will this project

		<p>improve them? If a project has a storm water component, indicate if it is to improve Outstanding, Impaired or MS4 Waters.</p> <p>Topics to consider addressing in application:</p> <ul style="list-style-type: none"> • Long term benefit • Effect on lifecycle • Level of Service • Occurrence frequency • Annual maintenance costs (include Pecos documentation if applicable) • Annual repair costs (include Pecos documentation if applicable) • Turn back possibilities
Safety	1.0	How will this project improve safety? When applicable, be specific with spot(s) improvements.
Community Support, Collaboration and Coordination	1.0	How important is this project to the community, Transportation Board, Governor’s Office, public and private organizations and agencies, etc...? How is “community” support being demonstrated? Include “unsolicited” supporting documentation such as letters of support, complaints etc...
Budget Viability	1.0	Budget adequacy for a Minor Project consideration. Why would this investment be the best use of the requested funding? Are other funding sources committed to this project? Any commitment from public and private organizations and agencies to contribute to project costs? Include evidence of funding commitments by others. Is requested budget amount reasonable for proposed project
Project Delivery Risks	1.0	<p>Likelihood of on time delivery.</p> <p>Discuss challenges that may hinder a timely delivery such as:</p> <ul style="list-style-type: none"> • environmental, right-of-way, and utility clearances • railroad • tribal land • BLM, Forest, etc... • Other risks <p>Project Schedule: provide a high level schedule with critical milestones.</p>

3.3 Application Form

A minor project application (see Appendices A and B) may be submitted by the District Engineer or the Group Manager of responsible charge, and must include the following information:

- A header section containing information regarding the project that matches ADOT’s 5-year program (Name, Location, Route, Begin MP, Length, type of work etc...)
- Indicate priority

- Signatures
 - District Engineer
 - Senior Project Manager
 - If applicable Group Manager of responsible charge (i.e., ITS, Rockfall, Storm Water, etc...)
- A project description.
- Estimated development and construction costs. (Include ICAP, in-house design review, etc...) Include a breakdown in estimated costs.
- Amount of funding secured from other sources if any. Specify amount from each funding source. Provide documentation of the level of funding commitment by others.
- A statement addressing each of the rating factors.
- Challenges to deliver and construct the project.
- Proposed project delivery method
- A location map
- Photographs

Applications will be screened by the Minor Projects selection committee for conformity with these guidelines. Conforming applications will then be evaluated, scored, and ranked by committee members. Oral presentations by project sponsors may be requested by the committee.

4. Post-Award Steps

MPD will disseminate Communication Plan to awarded Applicants and Senior Project Managers. Senior Project Manager will attend first available PRB after award to establish Development Phase. Approved construction phase will be programmed through the yearly Programming Cycle.

5. Applicant Responsibilities

Each Applicant must prepare a Minor Project application that identifies the purpose and need for the project. The District Engineer and the corresponding Senior Project Manager must sign each application. In addition, if applicable, the Group Manager of responsible charge must sign the application. The application must be submitted by the deadline that is included in the call for projects. Projects that are not selected must be resubmitted by the Applicant in order to be considered in the next selection cycle.

6. Multimodal Planning Division Responsibilities

MPD is the owner of these Guidelines, the custodian of project application forms, and maintains the documentation of the entire selection process. These guidelines will be posted on MPD's intranet website. The Program Manager is responsible for the Communication Plan to the awarded Applicants and Senior Project Managers.

7. Project Development Responsibilities

Once a project is selected for programming, a project manager will be assigned to manage the project through the development process. Programming of the project must follow the PRB Guidelines. Design may be assigned to in-house staff or consultants depending on availability of resources and must follow the same procedures that are applicable to other subprograms. It is recommended for staff to utilize the (DICE) tool for developing the cost estimates. Estimates will need to include the current fiscal year Indirect Cost Allocation Plan (ICAP) rate.

Appendix A - Blank Application Form

Appendix B - Example Application Form