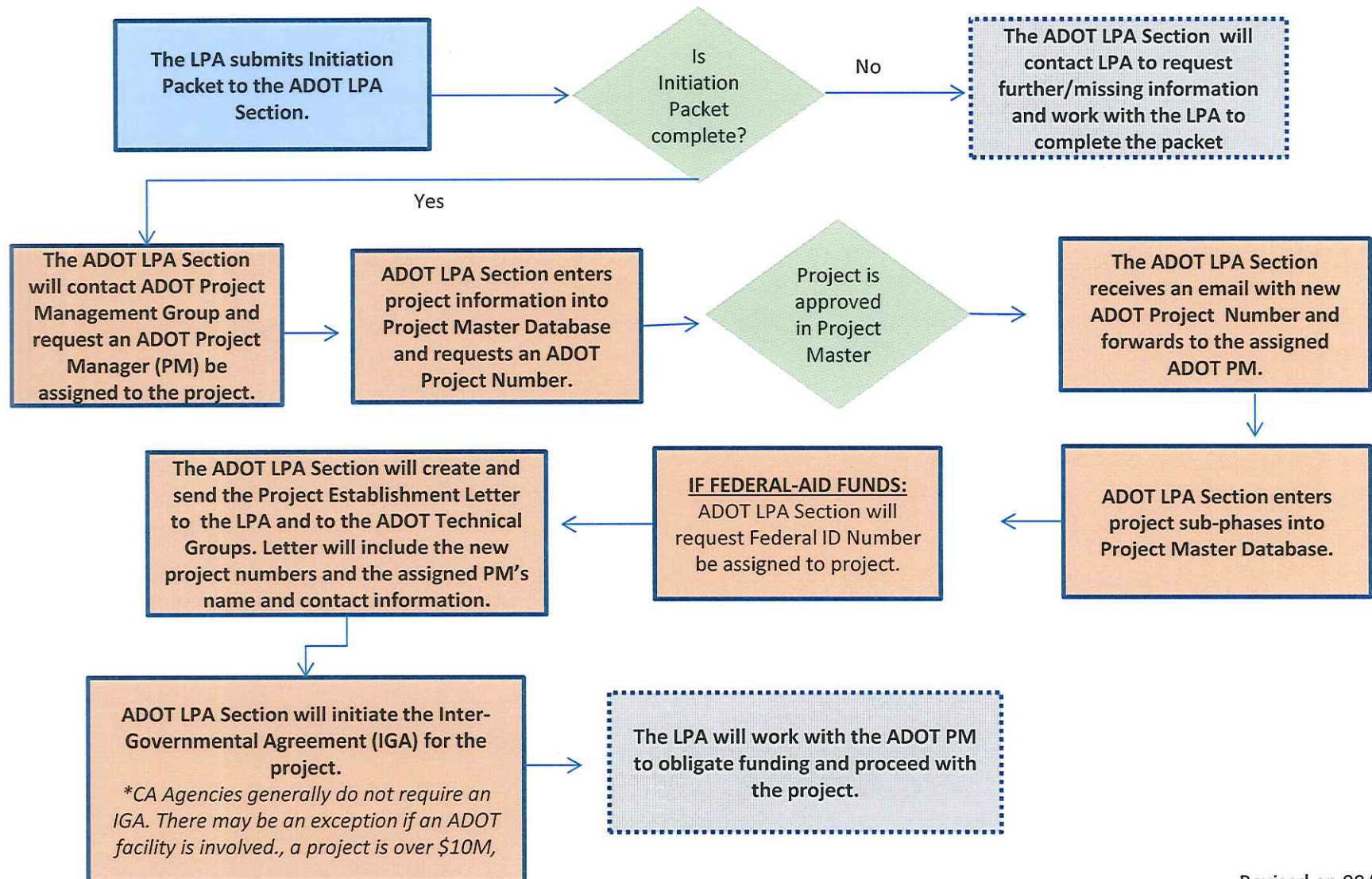**NOTES:**
- Prior to requesting funding through ADOT, LPA Coordinator should have approval from their local COG/MPO and the project must be added to the COG/MPO's Transportation Improvement Plan (TIP)
- ADOT LPA Section will initiate the project within 30 days of receiving a *COMPLETED* Initiation Packet.

Legend:
- =Local Public Agency (LPA)
- =ADOT LPA Section
- =ADOT LPA Section and LPA

The LPA submits Initiation Packet to the ADOT LPA Section.

→ **Is Initiation Packet complete?**

— No → **The ADOT LPA Section will contact LPA to request further/missing information and work with the LPA to complete the packet**

Yes ↓

The ADOT LPA Section will contact ADOT Project Management Group and request an ADOT Project Manager (PM) be assigned to the project.

→ **ADOT LPA Section enters project information into Project Master Database and requests an ADOT Project Number.**

→ **Project is approved in Project Master**

→ **The ADOT LPA Section receives an email with new ADOT Project Number and forwards to the assigned ADOT PM.**

↓

The ADOT LPA Section will create and send the Project Establishment Letter to the LPA and to the ADOT Technical Groups. Letter will include the new project numbers and the assigned PM's name and contact information.

← **IF FEDERAL-AID FUNDS:** ADOT LPA Section will request Federal ID Number be assigned to project.

← **ADOT LPA Section enters project sub-phases into Project Master Database.**

↓

ADOT LPA Section will initiate the Inter-Governmental Agreement (IGA) for the project.
CA Agencies generally do not require an IGA. There may be an exception if an ADOT facility is involved., a project is over $10M,

→ **The LPA will work with the ADOT PM to obligate funding and proceed with the project.**

Revised on 09/07/17

Arizona Local Public Agency
Stakeholder Council

Presentation by Tricia Lewis

December 7, 2017

OVERVIEW:

- Project Initiation Process

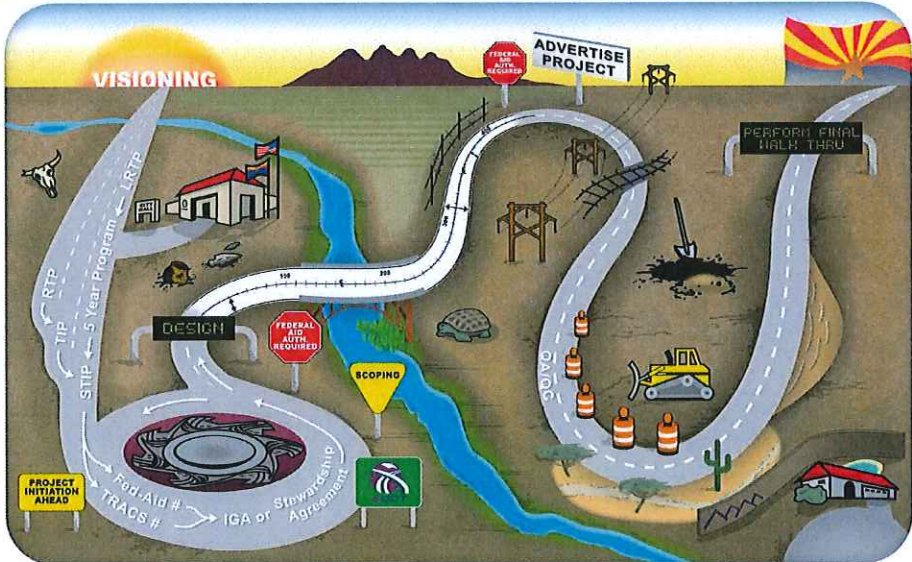- Project Initiation with HURF Exchange

PROJECT INITIATION
for Local Public Agencies

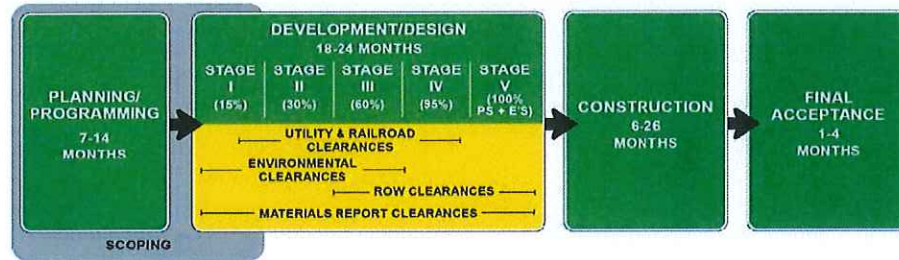# LIFE CYCLE OF THE PROJECT DEVELOPMENT PROCESS

Figure 1-2   Life Cycle of the Project Development Process

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.

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**

4
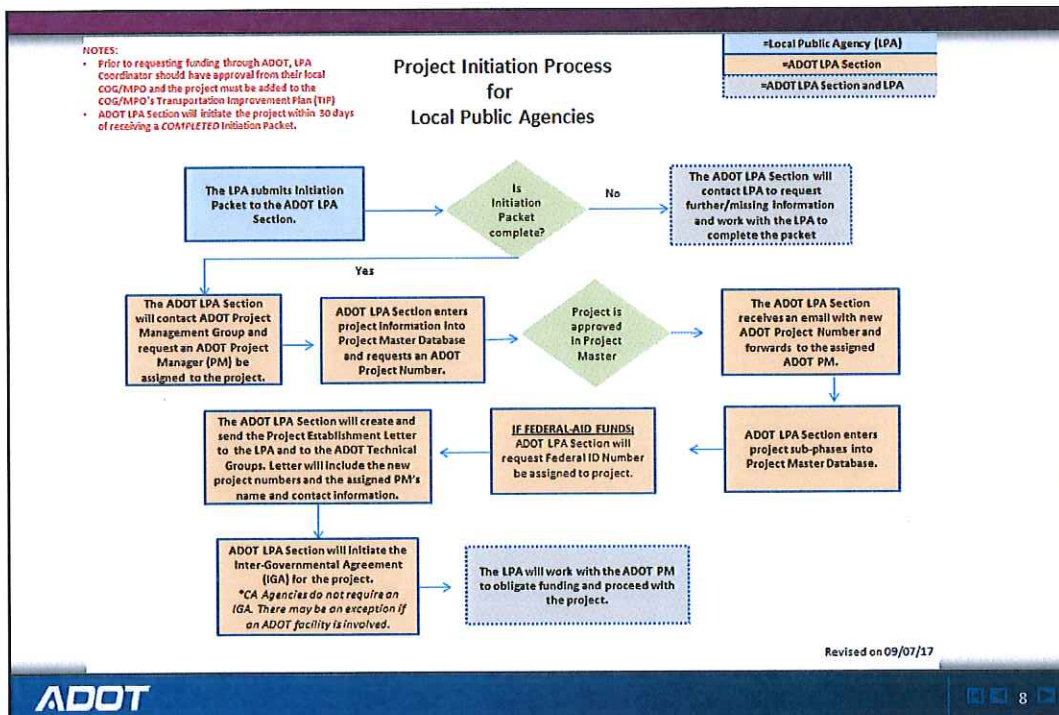
PROJECT INITIATION WITH ADOT
How does LPA assist Project Managers (PMs):

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

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 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 ○ RD ● Local ○ Aero ○ Other	Major Program T9151	Project Manager Mcguire, Adam (C1169)			Various Locations / MAGWide (optional) ☐ Various Locations ☐ MAGWide	Resource Program LCL

	Location Name 2019 CMAQ Alley Dustproofing				Major Program Short Name ALLEY DUSTPROOF		↻
							Status: Unknown Location
L	Route Unknown		Crossing Feature / M.P. PHX		Offset 0	Project Length 29.2	Lat: 0.0
O	State AZ	County Maricopa	2nd County Statewide	City Phoenix	Zip (optional)		Lon: 0.0
C							
A 2	Administrative District Central Dist		Urban/Rural ● Urban ○ Rural	Urban Area Code Phoenix (033)			
T	Congressional District District 7		Congressional District % 100		2nd Congressional District District 7	2nd Congressional District % 0	
I	Legislative District District 30	2nd Legislative District District 30	Functional Class Local			2nd Functional Class Local	
N	Board District District 1 (Maricopa)		2nd Board District District 1 (Maricopa)		Engineering District Central Dist	On Indian Reservation ○ Yes ● No	On NHS ○ Yes ● No

	Major Program Type Local						
	Project Oversight (D) Delegated/Locally Administered						
G	FHWA Standard Place 55000		FHWA Project Type Conventional	FHWA Improvement Type S-4R Resurfacing			FHWA Area A-4
E	Est Construction Date 2/15/2019	Safety 100% ○ Yes ● No	Temp Matching ○ Yes ● No	FTA ○ Yes ● No	Infrastructure ○ Yes ● No	Federal Aid System Other Federal Aid Highway	
N 3	COG/MPO Maricopa Association of Governments		Sponsor CITY OF PHOENIX			CA/SA ● CA ○ SA ○ None	
R	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 / S U B P R O J E C T S	Sub-project 01	Phase C	Request Status Approved	Technical Support Manager Adam Mcguire (C1169)		Unit 1983	Phone (602) 712-8403	Federal Aid # PHX-0(350)D
	Program Short Name ALLEY DUSTPROOF							
	IGA/JPA? ○ Yes ● No	Internal Exp Allowed ● Yes ○ No	Program Category (type of work) System Preservation (Restoration/Rehab/R		Status Info Only	Environmental Document (Opt.)		Env Date (Opt.)
	Budget Amount $1,720,000.00							Total Budget $1,720,000.00
	Funding Source CM/MAG	STIP Year 2019	TIP/STIPAmend	TIP/STIP Id PHX19-701C	Fed Participation % 94.3%	Fed Funding Amt $1,621,960.00	Local Match % 5.7%	Local Amt $98,040.00
	Comments (optional)							⌃⌄
	Sub-project 01	Phase D	Request Status Approved	Technical Support Manager Adam Mcguire (C1169)		Unit 1983	Phone (602) 712-8403	Federal Aid # NA
	Program Short Name ALLEY DUSTPROOF							
	IGA/JPA? ○ Yes ● No	Internal Exp Allowed ● Yes ○ No	Program Category (type of work) System Preservation (Restoration/Rehab/R		Status Info Only	Environmental Document (Opt.)		Env Date (Opt.)
	Budget Amount $10,000.00							Total Budget $10,000.00
	Funding Source OTR	STIP Year 2019	TIP/STIPAmend	TIP/STIP Id PHX19-701C	Fed Participation % 0%	Fed Funding Amt $0.00	Local Match % 100%	Local Amt $10,000.00
	Comments (optional) PMDR fees							⌃⌄

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Initiation Resources

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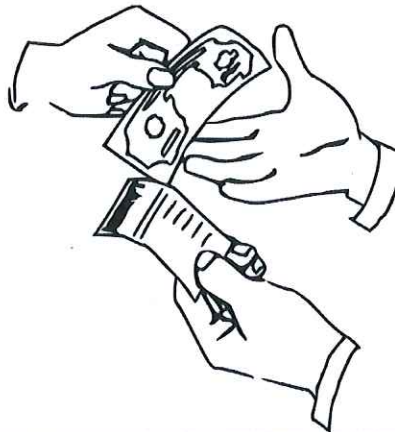
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Other types of supporting documentation can include: A copy of the approved COG/MPO funding application or workbook, PA, any other types of planning and scoping documents that give details about the project.

ADOT 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

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

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*

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

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 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

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

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

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

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

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 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 LPA Contacts:

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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

Questions?

ADOT

Every Day Counts

Arizona Local Public Agency Stakeholder Council

ADOT
Infrastructure Delivery and Operations

Presentation by Korina Lopez

December 7, 2017

ADOT

OVERVIEW:

- JPA/IGA Process

- Update on HURF IGA

ADOT

INTERGOVERNMENTAL AGREEMENT PROCESS

IGA Process

Prepare Draft (1-2 weeks)	Draft to PM for Review (1-2 weeks)
Draft to AG for Review and Approval (1 week)	Draft to ADOT Internal Review (1-2 week)
Draft to LPA for Review and Approval (2 weeks)	Final Document for Signatures (LPA – Depends on Board/Council Meeting (1 week to months); ADOT – 48 hrs)
EXECUTE	AG Determination Letter (3-5 days)
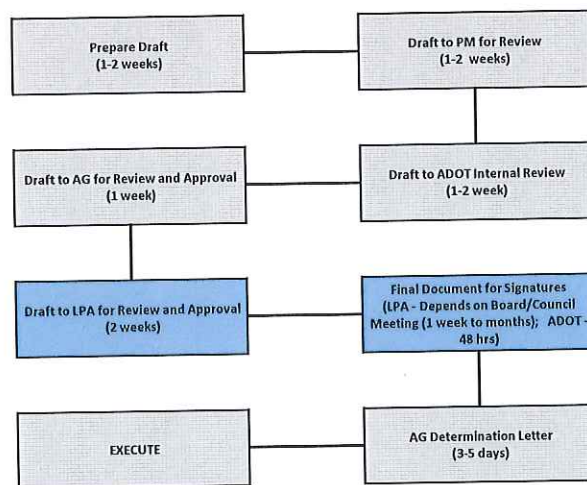
JPA Section

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

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

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

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

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

HURF Exchange
IGA UPDATE

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 JPA Contacts:

Joint Project Agreement Section
205 S. 17th Ave., MD 637E
Phoenix, AZ 85007
JPABranch@azdot.gov
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JPA Section Manager
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Cynthia Childers
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602.712.7785

Jennifer Workman
Senior JPA Specialist
602.712.7814

Diane Gillies
JPA Specialist
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Liliana Rubinstein
JPA Specialist
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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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Duane Eitel	Casa Grande	480-600-2091	deitel@casagrandeaz.gov
Irene Higgs	SCMPO	520-705-5143	ihiggs@scmpo.org
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