

ADOT LPA Project Initiation Process For Federally Funded Projects

**Presentation by Mark Henige & Jennifer Henderson
CA Academy
October 15, 2020**

Rev 10/15/20

ADOT Local Public Agency Section

Purpose: Provide guidance and assistance with federally funded project delivery as well as oversight to local public agencies such as Counties, Towns, Cities, and Tribal Governments.

What we do:

- Support delivery of the Five-Year Construction Program (20-30-30-20).
- Communicate with stakeholders.
- Build trust while advocating for LPAs.
- Provide assistance and guidance pertaining to the Federal-Aid Highway Program in support of our local partners.
- Develop tools and training programs.
- Conduct oversight and monitoring activities on LPA Projects in accordance with the ADOT/FHWA Stewardship Agreement and O&M Workplan.
- Handle Self-Administration (SA) and Certification Acceptance (CA) requests.
- Project reporting and tracking.

Process Branch

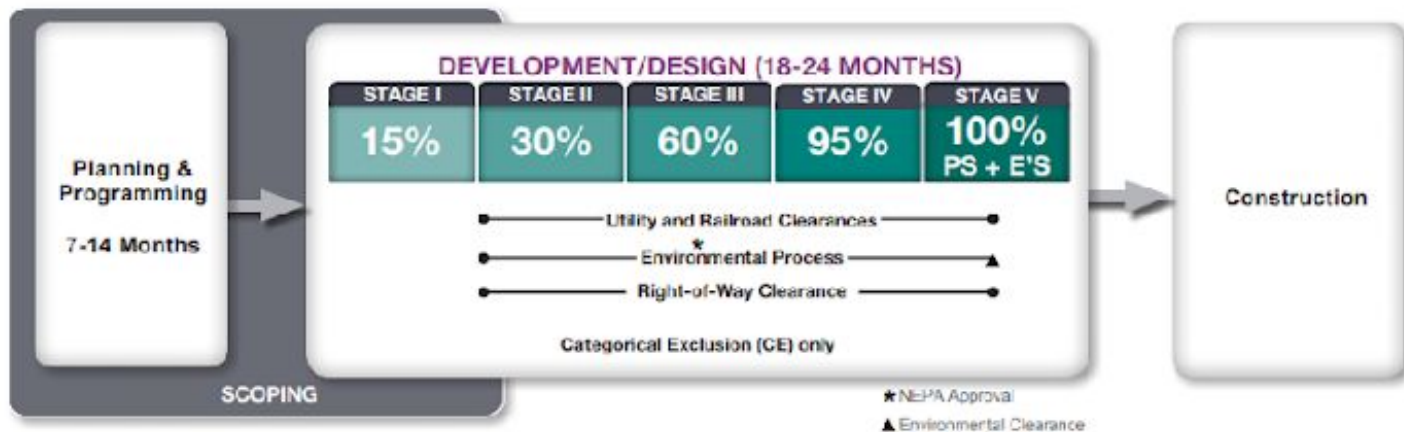
- Develops and carries out processes associated with the oversight and monitoring of LPA projects under the Federal-Aid Highway Program.
- Ensures projects and programs are compliant with federal regulations, laws, and policies.
- Responsible for the oversight and monitoring of the CA and Self-Administration programs.
- Maintains the Local Public Agency and Certification Acceptance (CA) user manuals.

Program Branch

- ❑ Provides the linkage between local project planning and project development for Arizona's LPAs.
- ❑ Provides guidance with the federal process and steps necessary to evaluate and initiate LPA projects.
- ❑ Initiate all federally funded projects for LPAs.
- ❑ Conducts training and facilitates communications between LPAs and ADOT Technical Groups as necessary to assist in delivery of projects.
- ❑ Administer project delivery for Highway User Revenue Fund (HURF) Exchange, Off-System Bridge Program, and Transportation Alternatives Program and set-aside programs such as the Safe Routes to School Support Programs.

Project Development Process





The Federal-Aid **Project Development Process** consists of multiple steps.

Let's take a "high level" look at major project milestones...

Phases

Local Public Agencies (LPAs) move through these phases to satisfy requirements of the federal-aid highway program so the project is eligible for Federal funding \$\$\$.



LPA Section--Where do we fit??

Program & Planning

- TAC Meetings & Discussions with Locals, COGs/MPOs, and other agency partners
- Project Initiation
- Project documentation courtesy reviews (CIP/TIP/STIP, SOW, Cost Estimates, Schedules)
- LPA Programs Oversight
 - SRTS Support Program
 - Off-System Bridge
 - HURF Exchange
- Transportation Alternatives
- Training & Guidance
 - One on One Local Coordination Meetings
- CA Peer Group
- EDC Innovation Initiative
- Program Process Development & Improvements
- Maintain Process Manuals
- Certified Acceptance Agreements
- Self-Administration Applications (Non-Infrastructure projects only)

Development

- Serve as liaison between ADOT Technical Groups & Locals
- Provide project status
 - CA Quarterly Update Meetings
 - TAC Meetings
 - PMG Staff Meetings
 - Group Manager's Meeting
 - Local Coordination Meetings
- Oversight & Monitoring federal –aid projects
- Tracking: Are projects within scope, on schedule, and on budget
- Inactive Projects
- Oversee LPA programs from initiation to closeout/final voucher;
 - Review documentation
 - Coordinate IGAs
 - Coordinate Clearances as applicable
 - Submit for authorizations
 - Coordinate payments & invoices
 - Coordinate close out of projects

Construction

- Monitoring of Obligations and Project Performance Schedules, ensure projects are progressing appropriately
- Construction Site Monitoring
- Track authorization and advertisement dates and work with Locals and Project Managers to coordinate timely delivery
- Monitor Change Orders and Project Agreements to reasonably reflect the Construction cost estimate

Final Acceptance/ Closeout

- Track project end dates and work with locals and Project Manager to closeout projects
- On LPA programs work with locals to collect and review closeout documents and payments, and process through Final Voucher/Resource Admin Office (HURF)
- Regulatory Compliance Reviews (RCRs)

Planning & Programming

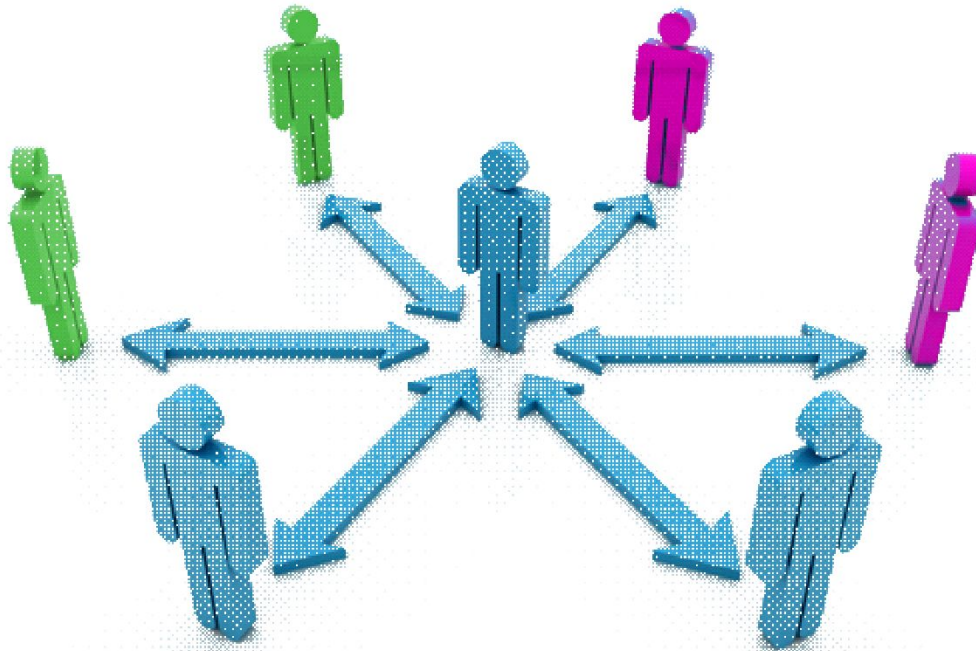
PLANNING/ PROGRAMMING

7-14 Months

ADOT partners with Councils of Governments (COGs) and Metropolitan Planning Organizations (MPOs) as a conduit for federal funding to the local public agencies.

- Before a project can be initiated, Local Sponsors must apply and be selected for federal funding through their regional COG/MPO or through an ADOT Local Program.
- Applications should identify a realistic preliminary scope, schedule, and budget so that appropriate funding can be programmed.
- All phases of the project must be programmed in the regional Transportation Improvement Plan (TIP) and E-Stip.
- Local Sponsor can then start the Project Initiation Process through ADOT LPA Section.

PROJECT INITIATION for Local Public Agencies



Project Initiation with ADOT

ADOT LPA Section will...

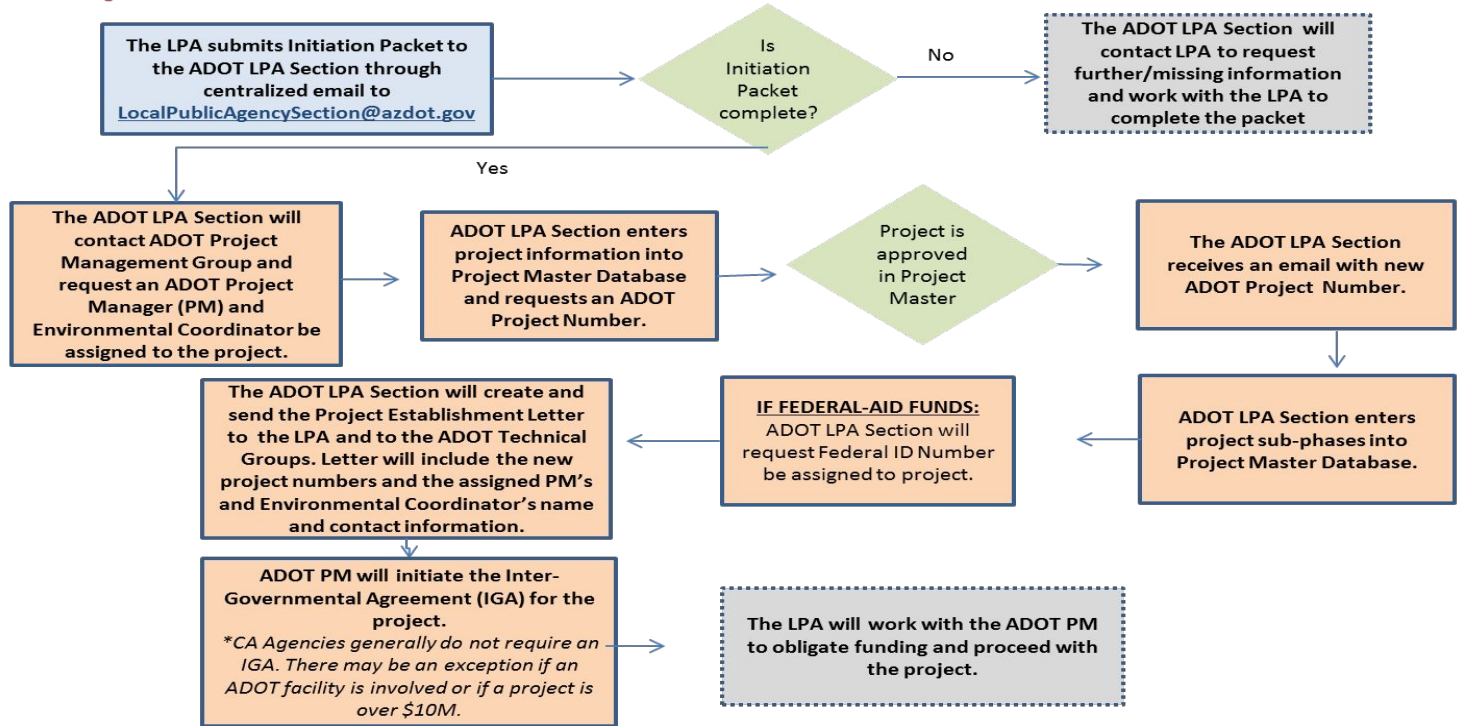
- Review documents to understand scope, schedule and budget to ensure project is feasible and meets program eligibility requirements.
- Coordinate with Local Sponsors if revisions are needed.
- Request an ADOT Project Manager (PM) and Environmental Planner.
- Meet with assigned ADOT PM to discuss scoping and project needs.
- Initiate project in Project Master Database and request Federal ID and ADOT Project numbers.
- Sends an Establishment Letter with the Federal ID, ADOT Project Number, Names and contact information for ADOT PM and Environmental Planner assigned to the project.
- Hand-off project to ADOT PM.

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)
- Project Initiation forms and documents can be found on the ADOT website at: <https://azdot.gov/node/14142>
- 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)/Project Sponsor |
| =ADOT |
| =ADOT and LPA |



Revised on 04/14/20

REQUIRED Forms & Documentation

REQUIRED Forms:

- Project Initiation Letter should include:
 - ✓ Project Name (**match project/location 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 Initiation Form
- ADOT Functional Classification Map (<https://azdot.gov/node/5623>)
- Project location map (boundaries of project, beginning termini/ending termini)
- 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.

Project Initiation Resources

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

Project Initiation

| | | | |
|--------------------|------------------------------|-------------------------------|---------------------|
| Home (LPA) | Federal Aid Highway Programs | Certification Acceptance (CA) | Self-Administration |
| Project Initiation | Communication Bulletins | Stakeholder Meetings | |
| Resource Materials | Trainings | Contact Us | |

Required Documents:

 [Project Initiation Sample Letter](#) Rev. 1/23/20

 [Project Initiation Form](#) Rev. 1/23/20

- [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) Rev. 2/6/18

 [Project Scoping Document Guidelines](#) (.pdf)

 [ADOT Cost Estimate Tool](#) (.xls) Rev. 4/10/19

- [Historical Bid Unit Prices E2C2](#) (apps.azdot.gov)

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

Additional Resources:

 [Project Initiation Flow Chart](#) (.pdf)

ADOT Business Coach On Demand

Business Engagement and Compliance

Engineering and Construction

Contracts and Specifications

Project Management Services

Highway Maintenance

Procurement

Engineering Consultants

Programs and Partnerships

Adopt a Highway

Border Liaison Unit

Every Day Counts Initiative

Grand Canyon State Logo Sign Program

Joint Project Agreement

Local Public Agency

Home (LPA)

Certification Acceptance

Federal Aid Highway Programs

▶ Project Initiation

Resource Materials

Self-Administration (SA)

Trainings (LPA)

Communication Bulletins

Stakeholder Council

Contact Us

Project Initiation Sample Letter

LOCAL PUBLIC AGENCY PROJECT INITIATION SAMPLE LETTER

Place on Sponsoring Agency's Letterhead

***Note:** All items in red should be removed and replaced with the information being requested prior to submitting the ADOT Local Public Agency Section for initiation.

All requests should be emailed to the ADOT Local Public Agency Section through the centralized email LocalPublicAgencySection@adot.gov.

(Insert Date)

ADOT Local Public Agency Section
205 S. 17th Ave. Mail Drop EM11
Phoenix, AZ 85007

Re: Request for Local Government Project Initiation
Sponsoring Agency:
Project Name:
Project Location:
COG/MPO TIP ID Number:
Funding Type: (Insert Type of Funding, HSIP/TAP/STGB/OT System Bridge/ELC.)

To Whom It May Concern:

On behalf of the (insert sponsoring agency's name), I am writing to request initiation of a local public agency project and assignment of a Federal project number and an ADOT project number for the above referenced project.

Attached is a copy of the current (insert COG/MPO) Transportation Improvement Program (TIP) page, highlighting all phases of the project. All phases of this project have been approved and programmed for funding in the amount of \$ (insert total amount of requested funding).

Attachments include:

***Note:** All initiation requests that are submitted to the ADOT Local Public Agency Section will be returned without action unless all items listed below are submitted with this initiation letter.

- ☐ ADOT Project Data Sheet
- ☐ A legible copy of the local MPO/COG TIP page, with project highlighted and all phases shown
- ☐ An accompanying letter that includes:
 - Project Name (As shown on TIP)
 - Functional Classification Type
 - Scope of Work (Establishes the three major components of a project agreement: scope, budget, and schedule. The project description should provide sufficient detail for the applicable phase of work (e.g., preliminary engineering (PE), right-of-way (ROW), construction, or other), specified work to be performed, and specific location limited to the specific work for which the project sponsor is requesting authorization. A clearly defined project scope and schedule provide financial controls and mitigate the risk of unauthorized activities occurring which could result in non-compliance with Federal requirements and is used in the development of an Intergovernmental Agreement. A third party (e.g., the public, Congress, auditors, Office of Inspector General, etc.) should be able to understand the scope of work for the project and its limits from the information in the project agreement. The total project cost must account for all costs for the authorized work from all sources—Federal, state, local, private, and donations, and non-participating costs, and include the ADOT Project Design Administrative (PDA) fees.

- ☐ Supporting Documentation (Type of supporting documentation will vary depending on the type of project. Sponsor may provide a copy of the COG/MPO funding application or workbook, Scoping Document, Cost Estimate Tool, Project Assessment (PA) or any other planning documents that gives details about the project and supports the scope, schedule, and budget).
- ☐ ADOT Functional Classification Map, available on the ADOT Webpage (<https://adot.gov/maps/functional-map/>)
- ☐ Project Location Map that shows beginning and ending termini of the project

Please contact us if you have any questions regarding this request or require additional information. Thank you.

Sincerely,

Project Manager Name
Title
Agency
Address
City, AZ, Zip code
Phone Number
Email address

Project Initiation Form

ADOT

LPA PROJECT INITIATION FORM

| | | | |
|--|---|--|--|
| Project Name: | | Sponsor Agency: | |
| Project Location: | | Functional Class: | |
| Sponsor Contact: | | Phone & Email: | |
| COG/WPO: <input type="text"/> Select One | TIP ID: <input type="text"/> | Program FY: <input type="text"/> DESIGN <input type="checkbox"/> ROW <input type="checkbox"/> CONST <input type="checkbox"/> | |
| Administered By: <input type="radio"/> CA <input type="radio"/> SA (fcd) <input type="radio"/> SA (loc) <input type="radio"/> ADOT | Design By: <input type="radio"/> ADOT Staff (In House) <input type="radio"/> Consultant | | |

PROJECT SCOPE (Detailed description of work being completed, including current status and beginning and end locations)

Pre-existing Project Assessment (PA) Consultant: ☐ Yes ☒ No ☐ Not Applicable ☐ Not Spurred ☐ ADOT

| PROJECT FUNDING (COMPLETE AS APPLICABLE) *Note all costs below should include inflation in the Regional TIP* | | | | |
|---|--------------|------------|----------|----------|
| Item | Source | Federal \$ | Local \$ | Total \$ |
| ADOT Review/FDA Fee (\$10,000 + 1% FTA) | Select One * | | | \$ 0.00 |
| Design (Includes initial design, construction documents, etc.) | Select One * | | | \$ 0.00 |
| Design Order (Includes 2020/Overhead) | Select One * | | | \$ 0.00 |
| Construction (Includes fieldwork, labor, etc.) | Select One * | | | \$ 0.00 |
| Construction Other (Includes 2020/Overhead) | Select One * | | | \$ 0.00 |
| ROW Acquisition (Includes land acquisition, etc.) | Select One * | | | \$ 0.00 |
| ROW Acquisition (Includes 2020/Overhead) | Select One * | | | \$ 0.00 |
| Total Project Cost | | \$ 0.00 | \$ 0.00 | \$ 0.00 |

Environmental Considerations (Identify impacts, scope and risks to delivery)

Design/Assessment/CE: ☐ CE ☐ EA ☐ EIS ☐ NEPA Evaluation

Do not use N/A in this field.

Please provide a brief description of the environmental considerations. An estimate of what type or works will be done to address environmental needs (i.e. NEPA, Historical, Cultural, CE only, EA, only, EA/Ro evaluation).

Rights of Way (Identify scope and major dates to deliver)

New ROW Required? ☐ Yes ☒ No ☐ Not Applicable

Do not use N/A in this field.

Please provide an estimate of what type of work will be done to address ROW needs (i.e. purchase of all of properties will be required, or no new ROW will be required).

Utility & Reliability (Identify scope and major dates to deliver)

Do not use N/A in this field. Please provide an estimate of what type of work will be done to address URH needs (i.e. type of utility will need to be installed/moved or no URH impacts are anticipated).

| ESTIMATED SCHEDULE | |
|---------------------|-----------------|
| Items | Completion Date |
| Project Initiation | |
| IGA Executed | |
| DE Authorization | |
| Kick Off Meeting | |
| Stage I (15%) | |
| Stage II (30%) | |
| Erv Clearance | |
| Stage III (60%) | |
| ROW Clearances | |
| Stage IV (95%) | |
| Utilities Clearance | |
| Bid Packet Ready | |
| Bid Advertisement | |
| Bid Award | |
| Construction Start | |
| Construction End | |
| Project Enc | |

| TOTAL DEVELOPMENT HOURS (ESTIMATE OF ADOT'S FINAL BILL) | |
|--|----------------|
| Item | Per Hour Hours |
| Design Review | |
| Supplying/Fire-Design | |
| Final Design | |
| Right of Way | |
| Environmental | |
| Total | 0 |

Rev. Jan 2020

- LPA Section's "Framework form" or "Napkin".
- Preliminary planning tool to identify scope, schedule, and budget and possible delivery risks.
- All fields should be completed as applicable to the project.

ADOT

- ☐ Must be approved by TAC, ADOT, and FHWA.
- ☐ Must be legible.
- ☐ Must show all work phases for the project (highlighted).
- ☐ Must show project phases in fiscally constrained program years.

Supporting Documentation

Supporting documentation is a required part of the packet, however the type of supporting documentation submitted will vary depending on the type of project and how much pre-scoping has been completed.

Acceptable supporting documents must show details about the project and support the scope, schedule, and budget.

- Project Assessment (PA), Scoping letter, and/or DCR
- A copy of the funding application or workbook approved by:
 - TMA/COG/MPO (STGP, CMAQ (MAG), HURF Exchange)
 - ADOT (HSIP, CMAQ, Off-System Bridge)

Additional Planning Tools

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

- ☐ Sample Scoping Document
- ☐ Cost Estimating Tool
- ☐ Link to ADOT E2C2 Historic Bid Tool

Sample Scoping Document Format

SCOPING DOCUMENT FORMAT (PROJECT ASSESSMENT OR SCOPING LETTER)

A. TITLE PAGE

Include project name and location, ADOT TRACS number, and federal-aid project number (if applicable).

B. INTRODUCTION

The introduction contains the project program information. The program name & route name including termini and functional classification, location, estimated cost, funding type (TAP, HSIP, CMAG, HURF, etc.), & Local funds, Fiscal year of expected construction, expected project development start and completion dates. Include who will bid the project and administer the construction, briefly explain what the project is.

C. BACKGROUND DATA

This section should include a summary describing the need/justification for the project. Please include all project development completed to date such as master planning, public meetings, etc.

D. PROJECT SCOPE

Describe project limits and all the components of the recommended project scope. Provide all route names, project lengths, detail the type of work, describe how the work is to be done, and how the work is to be paid for. Include all development, plan design and construction. If the project will be part of a larger project, such as a roadway improvement project, describe the project components, particularly, terms of the design and construction schedule and timing of other direct requests. Describe the roles of the sponsor, ADOT, etc.

E. PROJECT DEVELOPMENT CONSIDERATIONS

Please describe how the following criteria impact your project. If there is no impact please state why.

1. Environmental requirements: Provide a brief description as determined by the project scope. Detailed discussion will be handled in the Environmental Determination (ED).
 - a. Species Investigation - animals & plants
 - b. Wetland & Riparian Areas
 - c. Flood plain encroachment
 - d. Section 401/404
 - e. Section 4(f) impacts
 - f. Potential Contaminants
 - g. Socio-economic impacts
 - h. Cultural Resources Investigation

SCOPING DOCUMENT FORMAT

Page 2 of 4

i. Scenic or Historic Route

2. Construction Control Method

Will the construction contract be awarded by lowest responsive bid or do you intend to request ADOT/FHWA approval to utilize a non-traditional construction contracting technique such as Job Order Contracting (JOC) or Construction Manager at Risk?

3. Geotechnical and Drainage Requirements

Address geotechnical and drainage implications of the project and the need for geotechnical investigation and materials design and drainage report.

4. Critical Outside Agency Involvement

Describe any project locations that are likely to involve lengthy clearance procedures (SHPD, Forest Service, Bureau of Land Management (BLM), other municipalities, Indian reservations, railroads, utility companies, etc.)

5. Right-of-Way Requirements

Describe all project right of way. Describe the land ownership (Private, City, ADOT, Forest Service, BLM, etc.) Describe any ROW that will have to be acquired and how it is expected to be acquired (donation, purchase, or condemnation and by whom). Note that the need for temporary construction easements is a ROW activity.

6. Utility Relocation Requirements

First try to design project to avoid utility conflicts. Describe any utility impacts, and how the relocation of the utilities is expected to be accomplished (work done by the utility or, written in the construction project). How the work to be financed (local funds, federal funds). Are there any "Prior Rights" issues for any of the utilities?

7. Traffic Requirements

Is there a need for traffic control plans for this project? What about pedestrian traffic control? Will there be any artwork that will be highly visible from the roadway?

8. Seasonal Considerations

Describe the limits of the construction/blasting season. If the project includes landscaping, how will construction be scheduled to ensure that plantings are installed during the proper time of the year? Does the construction schedule need

Rev. 8-10-2011

to coordinate with any local special or school events, or the school year, that would otherwise be impacted by construction activities?

9. Design Criteria

Describe the design criteria to be used. Does the design criteria comply with standards being used (AASHTO, MAIG, County, AUO, etc.)? Are there features which do not comply with the above standards? Address your intent for either meeting the criteria or requesting a design exception. The appropriate ADOT Technical Section Manager approves design exceptions.

Note that reference to design standards other than ADOT standards need to be physically included in document submittals, not just a reference to the standard. AUO staff cannot be expected to hunt online or take the time to contact the LGAs for a copy of the standard. They need to physically be included in the submittal to ADOT so that the ADOT reviewer can compare the standard with the applicable ADAAO and AASHTO standards.

F. OTHER REQUIREMENTS

Describe the funding sources for the project. State the desired bid advertisement date. The construction start date will be a minimum of three months after the project has initially advertised for bid. Describe how the project will be developed (designed in-house, or by a consultant firm).

G. ESTIMATED COST

Describe project cost by funding source and address the following criteria:

- Design (preliminary engineering) costs and if those costs are to be funded with local funds or reimbursed with federal program funds?
- Right-of-way acquisition costs and if those costs are to be funded with local funds or reimbursed with federal program funds?
- Utility relocation costs and if those costs are to be funded with local funds or reimbursed with program/federal funds?
- Identify project components that need to be funded entirely with local funds including items ineligible for federal reimbursement with program funds.
- Construction costs, preferably itemized by ADOT line number and including construction engineering (15%) and contingencies (5%).
- Total Cost

II. ITEMIZED ESTIMATE

Be sure to divide out Federal Funds, Local Matching Funds and Local Additional Funds if any.

I. VICINITY MAP

Provide a detailed vicinity map showing project termini, and indicate appropriate street names.

J. TYPICAL SECTIONS

Provide typical sections for major project locations that show property lines, right-of-way and known easement limits, slope dimensions, and proposed pavement structural elements. The sections should show critical horizontal and vertical dimensions.

K. SCHEDULE

Preferably in bar chart format. Show milestones and include all major project development tasks such as clearance phases and design development review periods of project.

L. 16% PLANS

Provide half size 16% plans with topographic survey base map.

END OF DOCUMENT

I

ADOT Cost Estimate Tool

| Estimated Project Costs | | | | | |
|---|------|-------|------------|--------|-----------------------|
| INSTRUCTIONS: List all items associated with your project. The applicant is responsible for verifying all costs and that they are reasonable. The program will automatically calculate the total and federal share of 94.3%. | | | | | |
| Enter values into GREEN CELLS: The program will automatically calculate the total and federal share of 94.3%. | | | | | |
| LOCAL PROJECTS: Please note that the Stage I Costs shown below are to be funded by the sponsoring agency and are not eligible for Federal reimbursement. | | | | | |
| ITEM DESCRIPTION | UNIT | QUAN. | UNIT PRICE | TOTAL | FEDERAL FUNDS @ 94.3% |
| STAGE I - SCOPING [15% Preliminary Design] | | | | | |
| SCOPING COSTS | | | | | |
| Costs cannot be applied toward the federal participation or local match. | | | | | |
| Professional Services (Design, Survey, etc.) (Enter \$9 in Unit Price column if none required) | \$0 | 1 | | \$0.00 | |
| Design and Construction Documents (Enter \$9 in Unit Price column if none required) | \$0 | 1 | | \$0.00 | |
| Engineering Materials (Enter \$9 in Unit Price column if none required) | \$0 | 1 | | \$0.00 | |
| SUBTOTAL - PROJECT SCOPING COSTS | | | | \$ - | \$0 |
| STAGE II - DESIGN [35%, 60%, 95% Design] | | | | | |
| DESIGN COSTS | | | | | |
| Note: The use of federal funds for design is optional and subject to authorization. Design should not go beyond Stage II (60%) without environmental approval. | | | | | |
| Professional Services (Design, Survey, etc.) (Enter \$9 in Unit Price column if none required) | \$0 | 1 | | \$0.00 | |
| Design and Construction Documents (Enter \$9 in Unit Price column if none required) | \$0 | 1 | | \$0.00 | |
| Engineering Materials (Enter \$9 in Unit Price column if none required) | \$0 | 1 | | \$0.00 | |
| SUBTOTAL - PROJECT DESIGN COSTS | | | | \$ - | \$0 |

- Provides a complete, realistic picture of preliminary costs for Scoping, Design, Environmental, Right of Way, Utilities, Construction, and Post Construction costs.
- Itemized list of work items.
- Calculates quantities and unit prices.
- Splits federal 94.3% and local matching 5.7% funds.

| ITEM DESCRIPTION | UNIT | QUAN. | UNIT PRICE | TOTAL | FEDERAL FUNDS @ 94.3% | MATCHING FUNDS @ 5.7% | |
|---|------|-------|------------|-----------|-----------------------|-----------------------|---|
| OTHER CONSTRUCTION ITEMS (Use line items) | | | | | | | |
| | | | | \$0.00 | \$0.00 | \$0.00 | |
| | | | | \$0.00 | \$0.00 | \$0.00 | |
| | | | | \$0.00 | \$0.00 | \$0.00 | |
| | | | | \$0.00 | \$0.00 | \$0.00 | |
| | | | | \$0.00 | \$0.00 | \$0.00 | |
| | | | | \$0.00 | \$0.00 | \$0.00 | |
| | | | | \$0.00 | \$0.00 | \$0.00 | |
| | | | | \$0.00 | \$0.00 | \$0.00 | |
| | | | | \$0.00 | \$0.00 | \$0.00 | |
| SUBTOTAL - OTHER CONSTRUCTION LINE ITEMS | | | | \$ | \$0 | \$0 | |
| MOBILIZATION AND ADMINISTRATION COSTS | | | | | | | |
| CONSTRUCTION REGISTRATION (Fee only) | 1.0 | 1 | | \$0.00 | \$0.00 | \$0.00 | |
| TRAFFIC CONTROL (Indicate number of lanes) | 1.0 | 1 | | \$0.00 | \$0.00 | \$0.00 | |
| CONSTRUCTION ZONE LAYOUT (Fee only, first construction year) | 1.0 | 1 | | \$0.00 | \$0.00 | \$0.00 | |
| CONSTRUCTION CONTINGENCIES (Fee only, first construction year) | 1.0 | 1 | | \$0.00 | \$0.00 | \$0.00 | |
| CONSTRUCTION ADMINISTRATION (Average of first construction year) | 1.0 | 1 | | \$0.00 | \$0.00 | \$0.00 | |
| SUBTOTAL - MOBILIZATION & ADMINISTRATION COSTS | | | | \$ | \$0.00 | \$0.00 | |
| TOTAL STAGE V COSTS (CONSTRUCTION) | | | | \$ | \$0.00 | \$0.00 | |
| (Include this amount in Box 6 below) | | | | | | | |
| ADDITIONAL FEES (Amount to apply for the federal participation in the total cost of the project, including all construction and administration costs, above) | | | | | | | |
| | 1.0 | 1 | \$0.00.00 | \$0.00.00 | NO ENTRY | | |
| TOTAL PROJECT COST (All applicable + ADCT review fee) | | | | \$ 30.000 | NO ENTRY | | |
| SUMMARY OF FEDERAL AND LOCAL FUNDS | | | | | | | |
| TOTAL STAGE V COSTS (CONSTRUCTION) FROM THE ESTIMATE ABOVE, AND DESIGN COSTS IF BORROWING FEDERAL FUNDS FOR DESIGN. | | | | | BOX A | \$ | - |
| (Both design and Stage V construction costs are reported for design on a calendar year or quarter basis, depending on the project) | | | | | | | |
| TOTAL FEDERAL FUNDS CAPPED @ 94.3% (94.3% maximum shown in Box 6 above). | | | | | BOX B | \$ | - |
| (This is the federal cap, shown as a percentage of the total project cost, capped at 94.3% (94.3% of the total project cost)) | | | | | | | |
| TOTAL SPONSOR MATCHING FUNDS (45% maximum shown in Box 6 above). | | | | | BOX C | \$ | - |
| (This is the maximum amount of matching funds shown as a percentage of the total project cost, capped at 45% (45% of the total project cost)) | | | | | | | |
| TOTAL SPONSOR ADDITIONAL FUNDS (OPERATION). Enter the amount in Box 6 above. | | | | | BOX D | \$ | - |
| (Enter the amount of additional funds shown as a percentage of the total project cost, capped at 45% (45% of the total project cost)) | | | | | | | |
| TOTAL SPONSOR FUNDS (Sum of Box C and Box D) | | | | | BOX E | \$ | - |
| | | | | | | | |

Maps

There are two types of maps required with the Project Initiation packet.

Location Map:

- Shows beginning and ending termini of the project

Functional Classification Map:

- Available on the ADOT Webpage (<https://azdot.gov/maps#Functional-Maps>)
- Functional Classification Maps are approved by FHWA

Project Establishment

- Once ADOT and Federal project numbers are assigned, the ADOT LPA Section will send a “Project Establishment Letter to the Local Sponsor (copy ADOT PM and Technical Areas) with the ADOT Project Number, Federal ID Number, ADOT PM Contact Information, Environmental Planner Contact Information, and instructions on the next steps in the process.
- Letter is the official hand-off to ADOT PM. Based on the supporting documentation provided with the Establishment Letter, ADOT PM will initiate the Intergovernmental Agreement (IGA) as applicable.



Infrastructure Delivery and Operations

Douglas A. Busey, Governor
John S. Hallerbach, Director
Dallas Hammi, State Engineer
Steve Baughen, Division Director

Enter Date

Name of Requestor

Title of Requestor

Address

City, State, ZIP

Dear Suffix Insert Last Name of Requestor:

Subject: Establishment of Federal Project Number and ADOT Project Number

The following Federal Project Number and ADOT Project Number have been established and should be used in any correspondence for this project.

| | |
|------------------------|---|
| Project Name/Location: | <u>Insert Project Name (as shown on T.P.)</u> |
| Local Agency: | <u>Insert Sponsoring LPA</u> |
| COG/MPU IIP No.: | <u>Insert IIP Number</u> |
| Federal ID: | <u>Insert Federal ID Number</u> |
| ADOT Project No.: | <u>Insert ADOT Project Number</u> |

Establishment of these project numbers initiates the Project Development Process. This is not an approval for funding. The Project Development Process typically takes 18 to 24 months to complete. The process requires completion and approval of the following submittal documents (as applicable):

- Executed Intergovernmental Agreement (IGA), as applicable
- Project Assessment (PA) or Design Concept Report (DCR)
- Required clearances (Environmental, Right-of-Way, Utilities and Materials), as applicable
- 30%, 60%, 95% and 100% stage submittals, as applicable

ADOT can proceed with the request for authorization of construction funds from FHWA on/upon completion of this development process.

The ADOT Project Manager assigned to this project is Insert Name of ADOT PM, (Area Code) Insert ADOT PM's Phone Number. The ADOT Environmental Planner assigned to this project is Insert Name of Env Planner, (Area Code) Insert Env Planner's Phone Number. Please note that Environmental Planners should only be contacted at this time for preliminary exploratory environmental questions; no funding has been obligated for in depth environmental consultation services.

Sincerely,

Mark Herige
Program Manager
ADOT Local Public Agency Section
205 S. 17th Avenue, Mail Drop EM11
Phoenix, AZ 85007

cc: File COG/MPD, FMG, MPD, FHWA, PRO, EPG, ROW, URR, JFA

- Does not authorize work to begin, only initiates the Project Development Process.
- Establishes project in ADOT System.
- Shows assigned Federal ID Number and ADOT Project Number.
- Shows ADOT PM and Environmental Planner assigned to the project and their contact information.

Intergovernmental Agreements (IGA)

- ADOT PM assigned to the project will initiate an Intergovernmental Agreement (IGA).
- ADOT JPA staff will assign an analyst to draft the IGA.
- ADOT JPA staff will draft the IGA and coordinate the execution of the IGA.
- Once an IGA is executed, ADOT JPA staff will request an invoice be sent to the LPA for the LPA local match funds (if applicable).
- Once LPA local match funds are received, ADOT PM will request a Task Order to procure a Consultant to begin the Final Design and continue working with the LPA to complete the Development Process through the life-cycle of the project.

Intergovernmental Agreements (IGA) for Certification Acceptance (CA) Agencies

The Certification Acceptance Agreement typically serves as the “IGA” for CA Agencies. Exceptions include:

- ❑ Advance Construction Projects
- ❑ Federal-aid funding over \$10M
- ❑ Project is in ADOT Right of Way

If any of these exceptions occur, the ADOT Project Manager assigned to the project, will initiate an Intergovernmental Agreement on behalf of the CA Agency.

ADOT Project Development Administration (PDA) Fee

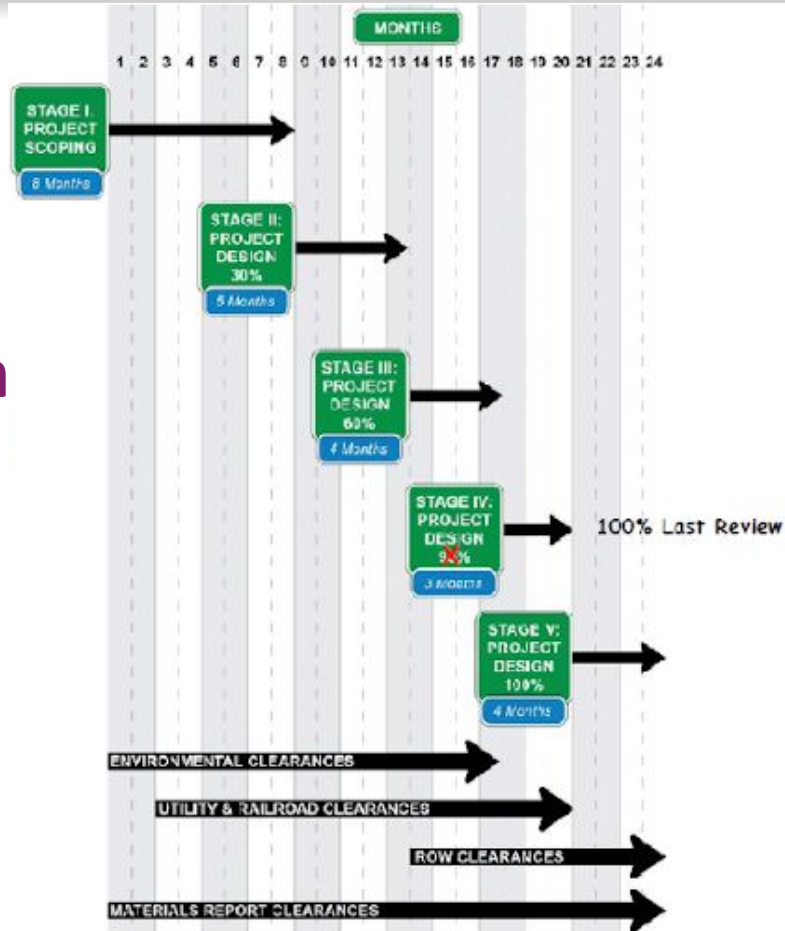
Before any work can be done on a project, the ADOT Review/PDA fees must be collected so that ADOT Project Managers and Technical Areas can charge time for administrative time spent working on projects.

CA Agencies: This amount is typically \$10,000, but can differ depending on the size and scope of a project.

Non-CA Agencies: This amount is typically \$30,000, but can differ depending on the size and scope of a project.

Once a project is established and IGA is executed (if applicable), the assigned ADOT Project Manager will request an invoice for the PDA fees.

Federal-Aid Process Development/Design 18-24 Months



Stage II: 30% Stage Submittal



- Environmental analysis and utility coordination may be in process.

Changes in project scope can significantly impact the environmental process and require a need for re-evaluation, which can cause time delays and increase the project cost.

Stage III: 60% Stage Submittal



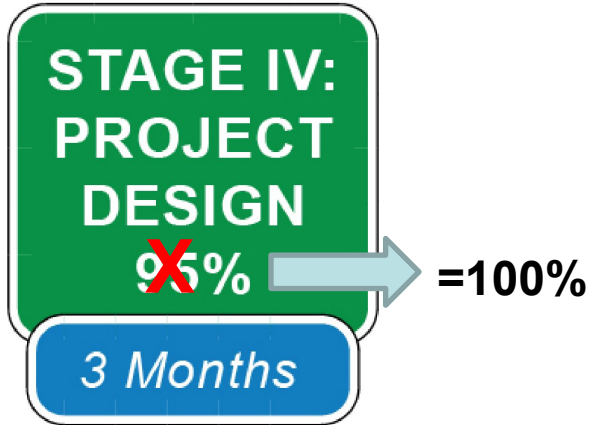
Plans are being refined in this phase. The “footprint” is set.

Design can proceed up to 95% with ADOT PM approval; National Environmental Policy Act (NEPA) requirements have to be satisfied.

In Process:

- ☐ Right of Way (ROW)
- ☐ Utility/Railroad

Stage IV: 95% Stage Submittal



During this phase, Local Sponsors coordinate with Utility companies to define how utility conflicts will be resolved.

- Environmental Process complete.
- Utility/Railroad and ROW working to be cleared
- 100% Plans – “Final Review”

Stage V: 100% Stage Submittal



Cost incurred PRIOR to authorization are NOT eligible for reimbursement.

100% Plans “Final Sealed”
(No further reviews)

Specifications & Estimate (PS&E)

☐ Complete:

- ✓ Environmental NEPA Approval
- ✓ ROW
- ✓ Utility/Railroad
- ✓ Materials Memo

☐ Funding Authorization \$\$\$

☐ Project is advertised

Construction Phase

CONSTRUCTION

6-26 Months

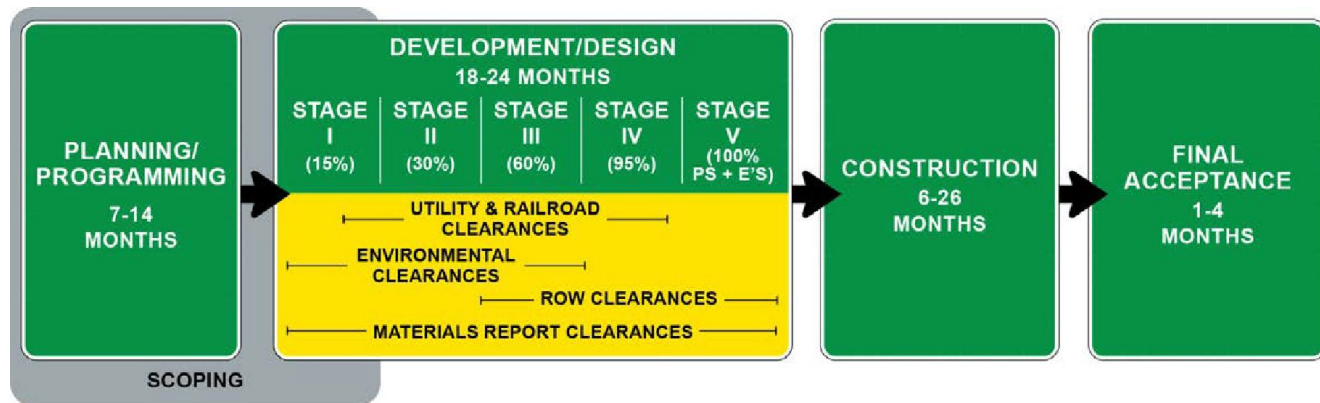
ADOT is responsible for ensuring that Local Public Agencies are in compliance with:

- ☐ *All federal procurement requirements*
- ☐ *Providing adequate inspection & supervision*
- ☐ *Meeting FHWA closeout requirements*
- ☐ *Environmental commitments implemented and tracked.*

- ☐ Award
- ☐ Construction Administration
- ☐ Construction Oversight
- ☐ Mitigation

Closeout/Final Acceptance

A final walk-through and inspection by ADOT, and occasionally FHWA, is conducted to evaluate compliance with contract documents and federal-aid requirements.



The project is not closed until FHWA records the final voucher payment.

ADOT LPA Section Contacts/Resources

LPA Section Email: LocalPublicAgencySection@azdot.gov

Lisa Pounds

LPA-PRO Section Manager

Lpounds@azdot.gov

(602) 712-8088

Mark Henige

LPA Program Manager

Mhenige@azdot.gov

(480) 486-4216

Jennifer Henderson

LPA Project Coordinator

Jhenderson@azdot.gov

(480) 486-9576

David Do

LPA Project Coordinator

Ddo@azdot.gov

(480) 486-4883

LPA Section Website

<https://azdot.gov/node/5434>

(Azdot.gov- Business- Programs and Partnerships- Local Public Agency Section)

- ❖ Certification Acceptance (CA) Information
- ❖ Project Initiation
- ❖ Federal Aid Program Overviews
- ❖ Communication Bulletins
- ❖ EDC Stakeholder Meetings
- ❖ Training Resources
- ❖ Resource Materials (LPA Manual, CA Manual)
- ❖ Links to other ADOT Technical Group Pages

Federal-aid Essentials for Local Public Agencies

<https://www.fhwa.dot.gov/federal-aidessentials>

Questions?