

The background of the slide is a photograph of a desert highway. A two-lane asphalt road curves from the bottom left towards the center right. In the distance, a large, rugged mountain with a flat top (a mesa) rises against a blue sky with scattered white clouds. The foreground shows the road surface and a metal guardrail on the left side.

# Construction Recap Guidance

## CA Agencies

February 19, 2025

# Agenda

- Guidance for Construction Recaps
- Other Guidance Provided for Project Authorization Requests
- Examples
- Questions

# Construction Recap Guidance

- Federal aid on the recap **must not** exceed the federal aid programmed in the TIP.
- If at the time the project is ready for FHWA authorization, the total project cost estimate is higher than what is programmed in the TIP, provide to ADOT with the authorization packet a letter or email with concurrence from the MPO (MAG or PAG) that the revised project cost estimate will be updated in the TIP. (This is for additional local funding only, if it is additional federal funding it will need to go through the full amendment process).
  - MAG and PAG contacts regarding TIP changes are: Wendy Miller at MAG and Adam Ledford at PAG.
- ADOT's standard is to use the highest federal share pro-rata that the project is eligible to use. **If a lower pro-rata is authorized then the pro-rata cannot be changed at a later date.**
- If there is additional non participating or funding for ineligible work elements (non federal aid) in excess of the federally required match, these are summarized as 100% local funding and are shown separately on the recap.

## Construction Recap Guidance Cont.

- If multiple federal aid sources are programmed on a project, break out the individual columns by federal aid fund source and their respective match.
  - ie. If TA >200K is programmed and STBG >200K is programmed on a project, have columns for each federal aid fund source - TA and STBG and their respective local matches.
- The Federal Participating Column total should include only the Fed/Match components on the Recap. The recap should include any 100% Local/3rd party contributions that are non-participating or ineligible for federal reimbursement in its own column. DO NOT include these non-participating costs in the total of the Federal Participating column.
- The recap and all supporting documents submitted to ADOT (that will be submitted to FHWA), must show the **same** total estimated construction cost for the project, including any non participating (non federal aid and match) cost estimates.
  - Only include costs for Construction (or procurement) in the recap, and exclude any previous phases. For example, do not include the costs of Right of Way or Design in the Construction recap.

## Construction Recap Guidance Cont.

- Updated recaps are required for construction awards or adjustments made after the initial authorization (such as adding close out funds or other fund sources).
  - Submit an updated recap to the ADOT Project Manager. The updated recap should reflect the new project totals and not just the amounts that have been changed.
- Pro-ratas must be accurate on the recap sheet, and all columns and rows must add up to the correct amount. Avoid hard keying numbers to avoid errors and mistakes. If formulas are used to calculate below the line items, make sure they reference the correct cells. Also, make sure to tie out both rows and columns.
- Project name must be consistent on the recap and all other supporting documents submitted for construction authorization.
  - Proper naming convention is the Route Number or Road/Street Name, "Termini 1" to "Termini 2", in or near an appropriate Town/City.

# Construction Recap Guidance Cont.

- Use appropriate improvement type codes on the recap sheet. The Description column on the recap should tie to the improvement type code selected. The most common improvement type codes are:
  - 17- Construction Engineering
  - 3- 4R Added Capacity (Sometimes has a description of 'Roadway' on Recap)
  - 4- 4R No Added Capacity (Sometimes has a description of 'Roadway' on Recap)
  - 21- Safety (Sometimes has a description of 'Roadway' on Recap)
  - Link to Improvement Type Codes: <https://azdot.gov/sites/default/files/2024-06/B-FMIS-5-State-Preparation-Guide-Addendum-GIS-Improvement-Types.pdf>

## Other Guidance for Project Submission

- When requesting authorization, projects should be ready to advertise within 90 days of authorization. That includes procurement projects as well. FHWA Project Fund Management Guidance
  - <https://www.fhwa.dot.gov/cfo/projfundsmgta1.cfm>: *“Division offices should only authorize the work that is “ready to proceed,” which, it is recommended, typically anticipates the State DOT issuing a request for proposals, qualifications, and/or bids within 90 days.”*
- Once the project is awarded, timely reimbursement requests are required to avoid inactivity and to avoid possible loss of funding.
- Please ensure all project authorization requests are submitted to ADOT by the timelines provided.
  - Promptly communicate to ADOT staff and MPO if a project will not deliver in the year programmed. When a project is canceled or deferred, substantial coordination between ADOT and the MPO is required, because federal aid is on a use or lose basis annually. Understanding which projects are ready to deliver helps ADOT and MPOs ensure no funding is lost.

## Example Recaps



# Example 1

## DETAILED ESTIMATE RECAPITULATION

PROJECT NAME								
TIP NO.								
ADOT PROJECT								
FEDERAL ID								
CITY PROJECT								
							DATE:	
							PREPARED BY:	
DESCRIPTION	FHWA CODE	ESTIMATED COST	FEDERAL PARTICIPATING	CMAQ			LENGTH IN MI	
				FEDERAL FUNDS	LOCAL MATCH	LOCAL PARTICIPATION		
				94.30%	5.70%	100%		
SHARED USE PATH CONSTRUCTION	3	\$ 5,097,551	\$ 5,097,551	\$ 4,193,469	\$ 475,823	\$ 428,259	1.6	
SUBTOTAL		\$ 5,097,551	\$ 5,097,551	\$ 4,193,469	\$ 475,823	\$ 428,259		
CONSTRUCTION ENGINEERING	15% 17	\$ 764,633	\$ 764,633	\$ 629,020	\$ 71,373	\$ 64,239		
CONTINGENCY	5% 17	\$ 254,878	\$ 254,878	\$ 209,673	\$ 23,791	\$ 21,413		
ELIGIBLE SUBTOTAL:		\$ 6,117,062	\$ 6,117,062	\$ 4,193,469	\$ 570,987	\$ 513,911		
CIP OVERHEAD	17	\$ 434,239				\$ 434,239		
DESIGN	15	\$ 497,809				\$ 497,809		
ROW ACQUISITION	16	\$ 602,708				\$ 602,708		
INELIGIBLE SUBTOTAL:		\$ 1,534,756				\$ 1,534,756		
PROJECT TOTAL:		\$ 6,717,959	\$ 5,183,203	\$ 4,193,469	\$ 475,823	\$ 2,048,667		

Work	Work Year	Funding	Apportionment Year	Federal	Regional	Local	Total
Construction	2024	TA-MAG	2024	4,136,752	0	250,048	4,386,800
Construction	2024	TA-MAG	2024	56,717	0	225,775	282,492
				4,193,469		475,823	4,669,292

# Example 1 Cont.

			RECAPITULATION					
PROJECT NAME								
TIP NO.								
ADOT PROJECT								
FEDERAL ID								
CITY PROJECT							DATE:	
							PREPARED BY:	
					CMAQ			LENGTH IN MI
DESCRIPTION		FHWA CODE	ESTIMATED COST	FEDERAL PARTICIPATING	FEDERAL FUNDS	LOCAL MATCH	LOCAL PARTICIPATION	
					94.30%	5.70%	100%	
SHARED USE PATH CONSTRUCTION		3	\$ 3,891,076	\$ 3,705,787	\$ 3,494,557	\$ 211,230	\$ 185,289	
SUBTOTAL			\$ 3,891,076	\$ 3,705,787	\$ 3,494,557	\$ 211,230	\$ 185,289	
CONSTRUCTION ENGINEERING	15%	17	\$ 583,662	\$ 555,868.00	\$ 524,184	\$ 31,684	\$ 27,794	
CONTINGENCY	5%	17	\$ 194,554	\$ 185,290.00	\$ 174,728	\$ 10,562	\$ 9,264	
PROJECT TOTAL:			\$ 4,669,292	\$ 4,446,945	\$ 4,193,469	\$ 253,476	\$ 222,347	

## Example 2

[illegible]

## Example 2 Cont.

### DETAILED ESTIMATE RECAPITULATION

LOCATION:

Federal Aid Project No.

ADOT Project Number

DESCRIPTION		FHWA CODE	ESTIMATED COST	FEDERAL PARTICIPATING	FEDERAL FUNDS 94.30%	LOCAL MATCH 5.70%	LOCAL FUNDS 100.00%	LENGTH IN MILES
Other (Box Culvert Extension)		44	\$1,643,142	\$1,228,938	\$1,158,889	\$70,049	\$414,204	
GENERAL LOCATION								
SUBTOTAL			\$1,643,142	\$1,228,938	\$1,158,889	\$70,049	\$414,204	0.000
CONSTRUCTION ENGINEERING			\$0	\$0	\$0	\$0	\$0	
CONSTRUCTION CONTINGENCIES	10%	17	\$164,314	\$0	\$0	\$0	\$164,314	
PROJECT TOTAL:			\$1,807,456	\$1,228,938	\$1,158,889	\$70,049	\$578,518	0.00

# Example 3

## AGREEMENT ESTIMATE RECAPITULATION

<div> <div></div> <div>MAG TIP #</div> <div>ADOT TRACS Number</div> <div>Federal Number</div> </div>									
					CMAQ				
DESCRIPTION	PERCENT	FHWA CODE	ESTIMATED COST	Obligated	FEDERAL PARTICIPATING	FEDERAL FUNDS	LOCAL MATCH	LOCAL PARTICIPATION	LENGTH IN MI
						94.30%	5.70%	100.00%	
CONSTRUCTION		28	\$12,212,470	\$5,927,591	\$5,272,487	\$4,971,955	\$300,532		
CM SERVICES (14% of Construction cost)	14%	17	\$1,709,746	\$829,863	\$738,148	\$696,074	\$42,074		
CONTINGENCY (10%)	10%	28	\$1,221,247	\$592,759	\$527,249	\$497,196	\$30,053	\$1,000,000	
SUBTOTAL			\$15,143,463	\$7,350,213	\$6,537,884	\$6,165,224	\$372,659	\$1,000,000	
PROJECT TOTAL:			\$15,143,463	\$7,350,213	\$6,537,884	\$6,165,224	\$372,659	\$1,000,000	

# Example 3 Cont.

## AGREEMENT ESTIMATE RECAPITULATION

<div> <div></div> <div>MAG TIP #</div> <div>ADOT TRACS Number</div> <div>Federal Number</div> </div>								
			CMAQ					
DESCRIPTION	PERCENT	FHWA CODE	ESTIMATED COST	FEDERAL PARTICIPATING	FEDERAL FUNDS	LOCAL MATCH	LOCAL PARTICIPATION	LENGTH IN MI
					94.30%	5.70%	100.00%	
Facilities for Pedestrians and Bicycles		28	\$12,212,470	\$11,558,373	\$10,899,546	\$658,827	\$654,097	
CM SERVICES (14% of Construction cost)	14%	17	\$1,709,746	\$1,618,172	\$1,525,936	\$92,236	\$91,574	
CONTINGENCY (10%)	10%	28	\$1,221,247	\$1,155,837	\$1,089,955	\$65,883	\$65,410	
SUBTOTAL			\$15,143,463	\$14,332,383	\$13,515,437	\$816,946	\$811,080	
PROJECT TOTAL:			\$15,143,463	\$14,332,383	\$13,515,437	\$816,946	\$811,080	

**Questions?**