



Local Public Agency

Project Initiation Process for Federally Funded Projects

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LPA Section

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

What we do:

- Support delivery of the Five-Year Construction Program (25-35-25-15)
- Communicate with stakeholders
- Build trust while advocating for local partners
- Provide assistance and guidance pertaining to the Federal-Aid Highway Program
- Develop tools and training programs
- Conduct oversight and monitoring activities for local projects in accordance with the ADOT/FHWA Stewardship Agreement and O&M Workplan
- Process 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 local sponsored projects under the Federal-Aid Highway Program
- Ensures projects and programs are compliant with federal regulations, laws, and policies
- Facilitates training opportunities for local agency partners, including the Project Delivery Academy, LPA Academy, and CA Academy
- Responsible for the oversight and monitoring of the CA and SA programs
- Maintains the LPA and CA user manuals

Program Branch

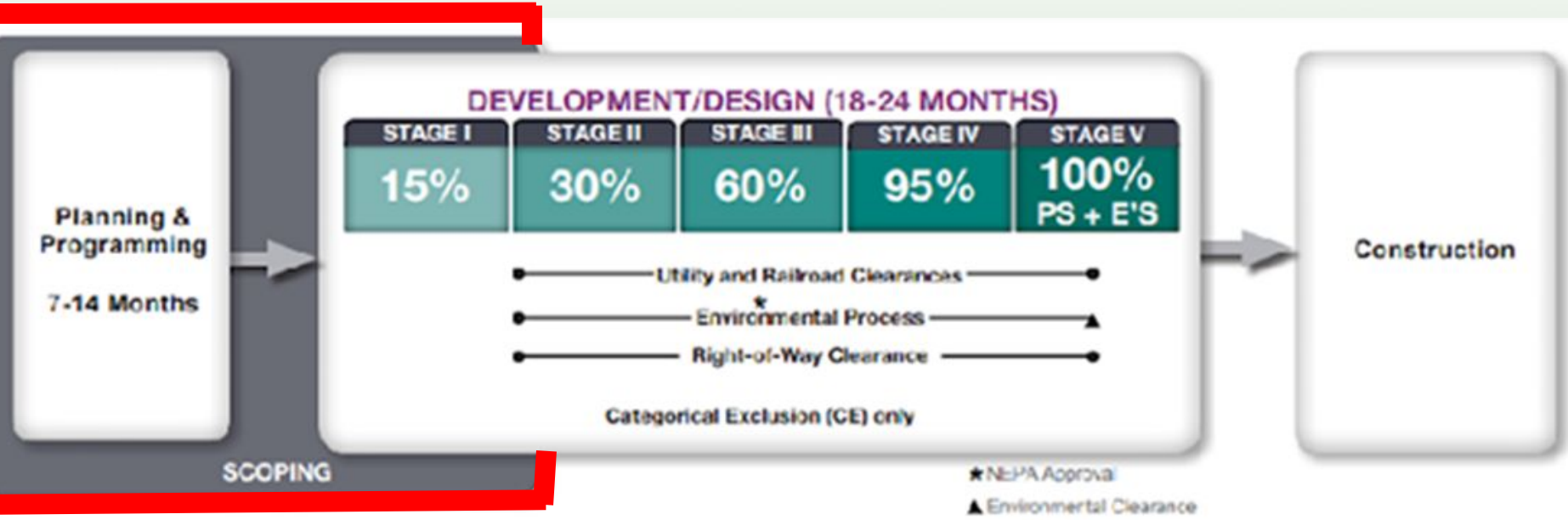
- Provides the linkage between project planning and project development for local agency partners
- Provides guidance with the federal process and steps necessary to to evaluate and initiate local projects
- Initiates federally funded projects for local agencies
- Conducts training and facilitates communications between local agencies partners and ADOT Technical Groups as necessary to assist in the delivery of projects
- Administer project delivery for HURF Exchange
- Process Off-System Bridge (OSB) Program applications

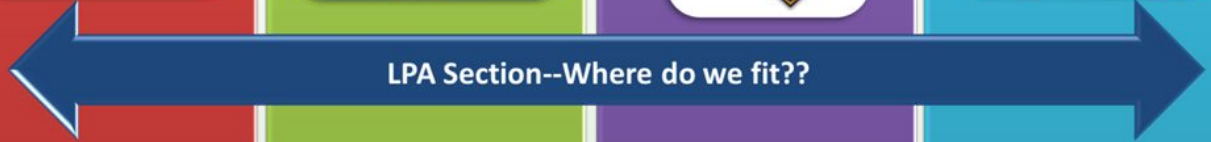
Project Development Process



Federal-Aid Project Development Milestones

The milestones/phases to satisfy requirements of the federal-aid highway program so that the project is eligible for federal funds \$\$\$.





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

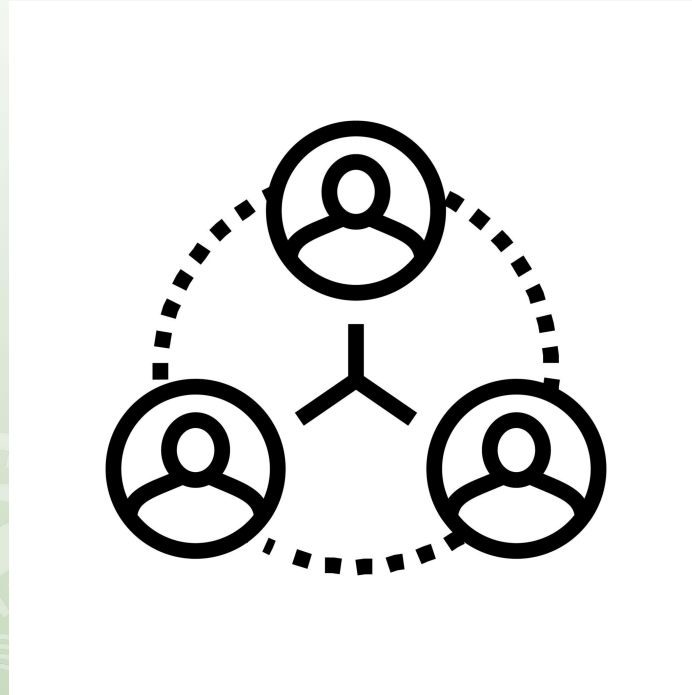
ADOT partners with Regional Planning Organizations as a conduit for funding to the local agency partners.

Regional Planning Organizations include...

- *Councils of Governments (COGs)*
- *Metropolitan Planning Organizations (MPOs)*
- *Transportation Management Areas (TMAs)*

- Before a project can be initiated, Local Sponsors must apply and be selected for funding through their Regional Planning Organization or through an ADOT Sub-program Call for Projects.
- 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 TIP.
- Local Sponsors can then start the Project Initiation Process through the ADOT LPA Section.

Project Initiation for Local Public Agencies



Project Initiation with ADOT

LPA Section will:

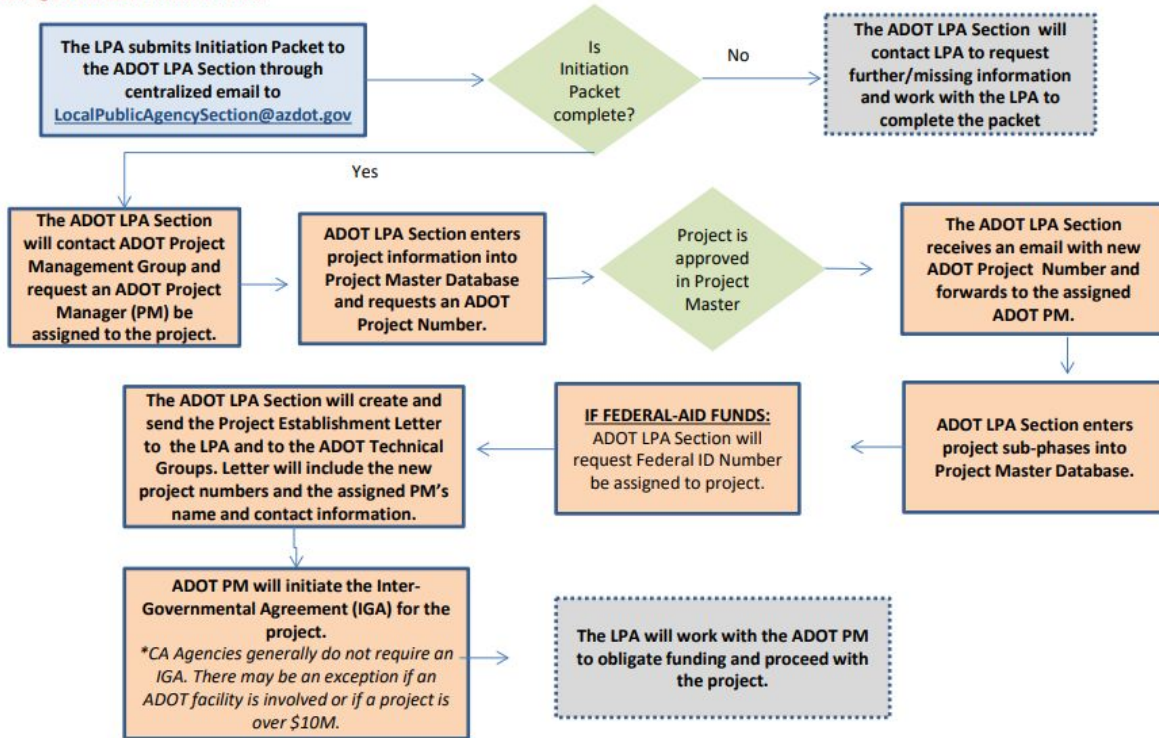
- Review documents to understand scope, schedule, and budget to ensure project feasibility and program eligibility
 - Coordinate necessary revisions with the Local Sponsor
 - Request ADOT PM and Environmental Planner for the project
 - Request an ADOT project number and federal ID number for the project
 - Internal discussions with subject matter experts as needed
 - Distribute the establishment packet to the Local Sponsor and stakeholders
- Next steps - ADOT PM starts the IGA request and Development process

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

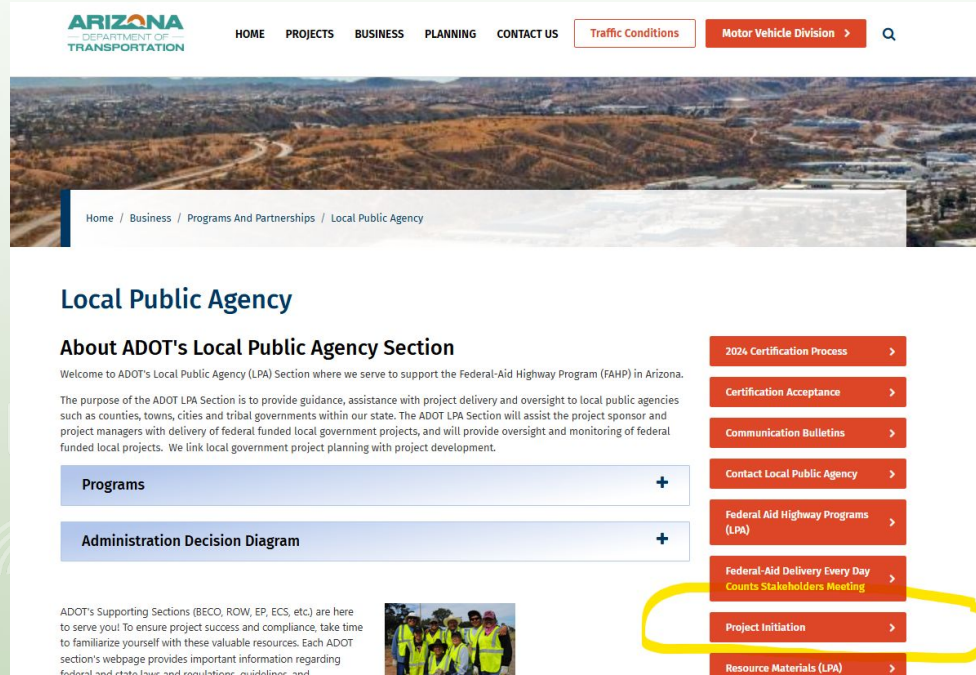


Required Forms and Documentation to Initiate

- Project initiation Letter
- Project Initiation Form (PIF)
- A legible copy of the MPO/COG TIP page, with all project phases highlighted
- Scoping Letter
- Supporting Documentation
- ADOT Functional Classification Map
<https://experience.arcgis.com/experience/e28f77ad6cfc4c14ae8cb20a0e944fc4/page/Page?org=azgeo>
- Project Location Map (identify project boundaries, beginning and ending termini)

How to Find Required Forms to Initiate a Project

- From the ADOT homepage azdot.gov
 - Click Business
 - Click Programs and Partnerships
 - Click Local Public Agency
 - Project Initiation
 - Bookmark
- <https://azdot.gov/business/programs-and-partnerships/local-public-agency/project-initiation>



Project Initiation Documents



[HOME](#) [PROJECTS](#) [BUSINESS](#) [PLANNING](#) [CONTACT US](#)

[Traffic Conditions](#)

[Motor Vehicle Division >](#)



[Home](#) / [Business](#) / [Programs And Partnerships](#) / [Local Public Agency](#) / [Project Initiation](#)

Project Initiation

Required Documents:

- [Project Initiation Sample Letter](#) Rev. 5/21
- [Project Initiation Form](#) Rev. 10/25
- [ADOT Functional Classification Map](#)
- Project Location Map, showing beginning and ending termini - both maps are required
- 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

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@azdot.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 (As shown in the TIP):

Project Location: (As shown in the TIP)

COG/MPO TIP ID Number(s) (List for all phases programmed):

Funding Type: (Insert Type of Funding: HSIP/TAP/STGB/Off-System Bridge/Etc.):

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 federal funding in the amount of \$ (insert total federal amount) with a local contribution of \$ (insert total local funds), for a total of \$ (insert total amount of funding for all phases).

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 LPA Project Initiation Form
- A legible copy of the local MPO/COG TIP page, with project highlighted and all phases [shown](#)
- A scoping 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 mitigates 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 give details about the project and supports the scope, schedule, and budget).
- ADOT Functional Classification Map, available on the ADOT Webpage (<https://azdot.gov/maps#Functional-Maps>)
- 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 (PIF)



LPA PROJECT INITIATION FORM

Project Name: Sponsor Agency:
 Project Location: COG/MPO: Select One...
 Sponsor Contact: Functional Class:
 Phone & Email:

Administered By: CA SA (fed \$) SA (loc \$) ADOT Design By: Local ADOT/Consultant

PROJECT SCOPE

(Description of work being completed, current status, length of project, begin and end termini, etc.)

Pre-Scoping/Project Assessment (PA) Completed? Yes No / PA/IC Outstanding by: Local Sponsor ADOT

Provide a brief, but detailed scope of work that helps us understand the project, including type of work being performed, project limits with beginning and ending termini, project length, etc.)

PROJECT FUNDING

Most federal-aid projects will be subject to a 94.9%/5.1% split. Some projects may be funded at 100% (ie. HSIP) or 80%/20% if funding is from a Grant (i.e. BUILD/RAISE, etc.). Complete table as shown in the Regional TIP and if applicable HSIP or Grant Award Letter.

Work Phase	Type of Funding	TIP ID #	Program Year	Federal/State (100%)	Federal/State (94.9% or 80%)	Local Match (5.1% or 20%)	Local Other (100% Overmatch)	Total
ADOT PDA FEES	Select One							\$ 0.00
DESIGN	Select One							\$ 0.00
CONSTRUCTION	Select One							\$ 0.00
ROW ACQUISITION	Select One							\$ 0.00
MATERIALS ONLY	Select One							\$ 0.00
TOTAL				\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

ESTIMATED SCHEDULE FOR KEY MILESTONES

Item	Recommended	Completion Date
Project Initiation	30 Days (initial packet read)	
IGA Execution	3-4 Months (after IGA execution)	
PE Authorization	4-6 Weeks (after IGA execution)	
Bid Ready (100% Final Design)	18-24 Months (estimated date)	

CONSTRUCTION MILESTONES

Item	Estimated date
Construction Start	Estimated date (required by FHWA)
Project End	Estimated date (required by FHWA)

ENVIRONMENTAL CONSIDERATIONS

Class of Action (COA) Select One

Provide a brief description of all environmental considerations or risk to delivery that may impact the scope, schedule, or budget (i.e. NEPA, Historical, Cultural, etc).

RIGHT OF WAY (ROW) CONSIDERATIONS

New ROW Required ECE Required RUM Land Tribal Land

Provide a brief description of all ROW considerations and/or risk to delivery that may impact the scope, schedule, or budget (i.e. how many parcels are being acquired, coordination needs, permits, new easements, etc... or no new ROW will be required).

UTILITY & RAILROAD (URR) CONSIDERATIONS

Railroad is within 50 feet of project limits

Provide a brief description of all URR considerations and/or risk to delivery that may impact the scope, schedule, or budget (i.e. Type of and # of utilities that need to be installed/moved, Name of Utility or Railroad Companies, coordination needs, etc. or No URR impacts).

- Preliminary worksheet to identify project scope, schedule, budget, and potential risks
- Complete all fields as applicable to the project
- Project funding should match the programmed TIP and award/eligibility letter (if applicable to the project, ex. HSIP)
- Previous versions of the PIF are available upon request for a more detailed schedule for planning purposes

Required Maps

- Location Map
- Functional Classification Map
 - Available on the ADOT site
 - Functional Classification Maps are provided by FHWA
 - Include the key with the printed page submitted in the initiation packet

Functionally Classified Roads

Zoom in on the map to view more route types

Arterials

- Interstate
- Principal Arterial - Other Freeways or Expressways
- Principal Arterial - Other
- Minor Arterial

Collectors

- Major Collector
- Minor Collector

Minor Arterial (FS 4)

Functional System

Functional System	Minor Arterial (FS 4)
Urban/Rural	Urban

Route Details

Route ID	105 NOGALES HWY
Route ID with delimiters	105--NOGALES---- -----HWY----
Route Name	
Route Type	Locally Owned Route
Cardinality	C-Cardinal
Owner	TUC-Tucson (4)

Transportation Improvement Plan (TIP)

- Approved by TAC, ADOT, and/or FHWA
- Legible
- Match the project details in the award/eligibility letter (if applicable)
- Show all work phases for the project
- Show all funding sources
- Show project phases in fiscally constrained program years
- **Highlight** or **circle** applicable project

Lake Havasu Metropolitan Planning Organization (MPO) FY 2022-2031 Transportation Improvement Program

Highway Safety Improvement Program (HSIP) Projects

TP ID #	A.DOT # & C.BIP	Project Phase	Project Sponsor	Project Name	Project Location	Length	Functional Classification	Lanes Before	Lanes After	Fed. Aid Type	Federal Funds	Other Fed Funds	Local Match	Other Funds Local	Total Cost
2028															
LHM-H2-102	10434	Construction	Lake Havasu City	Swenson Ave Interchange Westbound Rapid Flash Stracoms, High Visibility Crosswalks	Swenson Ave Interchanges (Wing Loop, Mariposa Dr., and Wing Loop)	-	Urban Major Collector	2	2	HSIP	FHWA	\$ 62,101.00	\$ -	\$ -	\$ 62,101.00
											TOTALS	\$ 62,101.00	\$ -	\$ -	\$ 62,101.00
2027															
LHM-H2-102	10465	Construction	Mohave County	Horizon 6 - Gold Springs Rd and Blue Canyon Rd	Horizon 6 - Gold Springs Rd, Blue Canyon Rd	1.1 Miles	Rural Minor Collector	2	2	HSIP	FHWA	\$ 280,310.00	\$ -	\$ 19,740.00	\$ 299,950.00
LHM-H2-102	10646	Design	Mohave County	Landon Bridge Rd from County Limit to 140 feet north of Retail Center Blvd (RCS) Landon Bridge Rd from County Limit to Pavilion Dr. (Shoulder widening)	Landon Bridge Rd from County Limit to 140 feet north of Retail Center Blvd (RCS) Landon Bridge Rd from County Limit to Pavilion Dr. (Shoulder widening)		Rural Minor Collector			HSIP	FHWA	\$ 238,803.00	\$ -	\$ 18,967.00	\$ 257,770.00
LHM-H2-102	10658	Design	Lake Havasu City	160 Collins Blvd - Douglas Ave to Pavilion Blvd	160 Collins Blvd		Urban Minor Arterial			HSIP	FHWA	\$ 1,116,854.00	\$ -	\$ -	\$ 1,116,854.00
											TOTALS	\$ 479,377.00	\$ -	\$ 19,740.00	\$ 499,117.00
2026															
LHM-H2-102	10646	Construction	Mohave County	Landon Bridge Rd, County Limit to 140 feet north of Retail Center Blvd	Landon Bridge Rd from County Limit to 140 feet north of Retail Center Blvd (RCS) Landon Bridge Rd from County Limit to Pavilion Dr. (Shoulder widening)		Rural Minor Collector			HSIP	FHWA	\$ 1,692,370.00	\$ -	\$ 102,296.00	\$ 1,794,666.00
LHM-H2-102	10658	Construction	Lake Havasu City	160 Collins Blvd - Douglas Ave to Pavilion Blvd	160 Collins Blvd		Urban Minor Arterial			HSIP	FHWA	\$ 741,216.00	\$ -	\$ -	\$ 741,216.00
											TOTALS	\$ 2,433,586.00	\$ -	\$ 102,296.00	\$ 2,535,882.00
2025															
											FHWA	\$ -	\$ -	\$ -	\$ -
											FHWA	\$ -	\$ -	\$ -	\$ -
											TOTALS	\$ -	\$ -	\$ -	\$ -
2024															
											FHWA	\$ -	\$ -	\$ -	\$ -
											FHWA	\$ -	\$ -	\$ -	\$ -
											TOTALS	\$ -	\$ -	\$ -	\$ -
2023															
											FHWA	\$ -	\$ -	\$ -	\$ -
											FHWA	\$ -	\$ -	\$ -	\$ -
											TOTALS	\$ -	\$ -	\$ -	\$ -
2022															
											FHWA	\$ -	\$ -	\$ -	\$ -
											FHWA	\$ -	\$ -	\$ -	\$ -
											TOTALS	\$ -	\$ -	\$ -	\$ -

Notes: 1. Only "HSIP" & "CSIP" funded programs are selected by LHMPO; projects with other funding sources, such as HSIP, are required to be included, but are selected through various grant applications.
2. Projects selected with "Best Approval" or "Not Approved" and highlighted in "Blue" are considered to be in "Parking Lot" status and waiting for slightly additional from ADOT, FHWA and approval by LHMPO TAC & Executive Board. They
3. Projects highlighted in "Yellow" show an amended change in this updated summary.

Terms: "HSIP" - Highway Safety Improvement Program

Supporting Documentation:

The type of supporting documentation will depend on the type of project and available documentation.

Supporting documentation can include: A copy of the approved COG/MPO funding application or workbook, ADOT Sub-program eligibility letter and application (CMAQ, HSIP, etc.), Project Assessment (PA), Design Concept Report (DCR), or any other supporting documentation that gives details about the project.

ADOT LPA Section also has additional resources available that can be used as supporting documentation and to help with projecting schedules and estimated costs, including:

- [Sample Scoping Document](#) (.doc) Rev. 2/6/18
- [Project Scoping Document Guidelines](#) (.pdf)
- [ADOT Cost Estimate Tool](#) (.xls) Rev. 9/16/24
- [Historical Bid Unit Prices E2C2](#) (apps.azdot.gov)

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. In some cases, a program application can serve as a scoping document.

- Project Assessment (PA), Scoping letter, and/or DCR
- A copy of the funding award notification and application or workbook approved by COG/MPO or ADOT:
 - ADOT TA
 - HSIP
 - OSB
 - CMAQ (if available)
 - STBGP (if available)
 - Grant: Award Letter, Notice of Funding Notice, and application

Sample Scoping Document

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. 15% PLANS

Provide half-size 15% plans with topographic survey basemap.

END OF DOCUMENT

2. Construction Contract 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 (SHPO, 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 R/W 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 R/W 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 co., bid item in the construction project). How the work to be financed (local funds, fed-aid 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/planting season. If the project includes landscaping, how will construction be schedule to ensure that plantings are installed during the proper time of the year? Does the construction schedule need 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, MAG, County, ADOT)? 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 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. ADOT staff cannot be expected to hunt online or take the time to contact the LGA for a copy of the standard. They need to physically be included in the submittal to ADOT so that the ADOT reviewers can compare the standard with the applicable ADAAG 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, preferable itemized by ADOT item number and including construction engineering (15%) and contingencies (5%).
- Total Cost

H. 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

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 project name & route name including termini and Functional classification, location, estimated cost, funding type (TAP, HSIP, CMAQ, 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 PA 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 in terms of the design and construction schedule and timing of funding 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. Social or economic Impacts
 - h. Cultural Resources Investigation
 - i. Scenic or Historic Route



ADOT Cost Estimate Tool

Estimated Project Costs

INSTRUCTIONS: List all items necessary to develop and construct your project. The applicant is responsible for verifying all costs and their accuracy. Construction cost overruns will be the responsibility of the sponsoring agency. Enter values into GREEN CELLS. The program will automatically calculate the Totals and Federal Share at 34.3%.

LOCAL PROJECTS: Please note that the Stage I Costs shown below are to be funded by the sponsoring agency.

ITEM DESCRIPTION	UNIT	QUANTITY	UNIT PRICE	TOTAL	FEDERAL FUNDS @ 34.3%	SPONSOR MATCHING FUNDS @
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STAGE I - SCOPING (15% Preliminary Design)

SCOPING COSTS						
SITE TOPOGRAPHIC SURVEY (1X-5X of actual cost) <i>Enter \$0 in Match column if none required.</i>	LS	1		\$0.00		
SCOPING DOCUMENT (Sealing Letter, Project Reassessment or DCR)	LS	1		\$0.00		
ENVIRONMENTAL DETERMINATION (Including Technical Supporting Documents)	LS	1		\$0.00		
HAZARDOUS MATERIALS ASSESSMENT (including leachate analysis) <i>Enter \$0 in Match column if none required.</i>	LS	1		\$0.00		
SUBTOTAL - PROJECT SCOPING COSTS				\$0		

STAGES II, III, IV - DESIGN (30%, 60%, 95%-100% Design)

DESIGN COSTS
Note: The use of federal funds for design is optional and subject to authorization. Design should not go beyond 34.3% without environmental approval.

PS&E - Plans, Spatial Propositions, Cost Estimates & Subtotals (100-200% of actual cost) <i>(All to be entered if project is not cancelled)</i>	LS	1		\$0.00		
GEOTECHNICAL INVESTIGATION (If required in accordance with 5% of actual cost including field tests, Geotank Report, Materials & Parameter Design Report) <i>Enter \$0 in Match column if none required.</i>	LS	1		\$0.00		
DRAINAGE REPORT (If required in accordance with 5% of actual cost) <i>Enter \$0 in Match column if none required.</i>	LS	1		\$0.00		
STORMWATER POLLUTION PREVENTION PLAN (Required if there is over 1 acre of total disturbance, 5% of actual cost) <i>Enter \$0 in Match column if none required.</i>	LS	1		\$0.00		
SUBTOTAL - PROJECT DESIGN COSTS Federal funds for design are calculated at 34.3% of the total design cost. If reporting from less than 34.3% Federal funds for design, enter one (0) in the Federal column.				\$0		

STAGE V - CONSTRUCTION

SITE ACQUISITION & HARDSCAPE CONSTRUCTION		LS	1		\$0.00	\$0.00	\$0.00
RIGHT-OF-WAY ACQUISITION (If necessary)							
INSTALLATION OF STORMWATER POLLUTION PREVENTION MEASURES (If over 1 acre of disturbance, 5% of actual cost) <i>Enter \$0 in Match column if none of disturbance is less than one acre.</i>	LS	1		\$0.00		\$0.00	\$0.00
SITE PREPARATION (Clearing and grubbing, plant removal)							
Demolition	LF				\$0.00	\$0.00	\$0.00
Soilcut	LF				\$0.00	\$0.00	\$0.00
Remove Structures and Obstructions	LS	1		\$0.00		\$0.00	\$0.00
Remove Fencing	LF				\$0.00	\$0.00	\$0.00
Remove Structural Concrete	CY				\$0.00	\$0.00	\$0.00
Remove Rebar/Rein Concrete Parameter	CY				\$0.00	\$0.00	\$0.00
Remove Concrete Sidewalk, Slab	CY				\$0.00	\$0.00	\$0.00
HAZARDOUS MATERIALS REMOVAL (If applicable; include leachate analysis & analysis; 5% of actual cost) <i>Enter \$0 in Match column if none required.</i>							
UTILITY RELOCATION (If necessary) (Only the cost of utility relocations as a direct result of the environmental project are eligible for Federal reimbursement. Expenses of the utility, the undergrounding of utility, utilities in and eligible	LS	1		\$0.00		\$0.00	\$0.00
RETAINING WALL (Concrete, 2% of four-phase fee)							
SPF					\$0.00	\$0.00	\$0.00
EARTHWORK							
General Excavation					\$0.00	\$0.00	\$0.00
Drainage Excavation					\$0.00	\$0.00	\$0.00
Structural Excavation	CY				\$0.00	\$0.00	\$0.00
Structural Backfill					\$0.00	\$0.00	\$0.00
Barrow (In Place)					\$0.00	\$0.00	\$0.00
CURB & GUTTER	LF				\$0.00	\$0.00	\$0.00
AGGREGATE BASE	CY				\$0.00	\$0.00	\$0.00
PAVEMENT OR SIDEWALK MATERIALS							
Concrete					\$0.00	\$0.00	\$0.00
Colored Concrete	SP				\$0.00	\$0.00	\$0.00
Stamped Color Concrete					\$0.00	\$0.00	\$0.00
Parade Concrete Pavers					\$0.00	\$0.00	\$0.00
Rebar/Rein Concrete	Ton				\$0.00	\$0.00	\$0.00
Rebar/Rein Skid/Load Surface	SP				\$0.00	\$0.00	\$0.00
CRUSTAL ENHANCEMENT							
Concrete Pavers					\$0.00	\$0.00	\$0.00
Stamped Rebar/Rein					\$0.00	\$0.00	\$0.00
Stamped Concrete	SP				\$0.00	\$0.00	\$0.00
Concrete					\$0.00	\$0.00	\$0.00
Integral Color Concrete					\$0.00	\$0.00	\$0.00
PEDESTRIAN ADA RAMP	SP				\$0.00	\$0.00	\$0.00
CULVERT EXTENSIONS	LF				\$0.00	\$0.00	\$0.00
PERCEIVING LIGHTING (Includes conduit and (breaking) Street Lighting in and eligible for Federal reimbursement.	Each				\$0.00	\$0.00	\$0.00
HARDPAVEMENT							
Standard	LF				\$0.00	\$0.00	\$0.00
Decorative					\$0.00	\$0.00	\$0.00
SUBTOTAL - SITE ACQUISITION & HARDSCAPE CONSTRUCTION					\$0	\$0	\$0

SUBTOTAL - LANDSCAPING & IRRIGATION ITEMS		\$	-	\$0	\$0
SITE FURNISHINGS					
BENCHES	Each			\$0.00	\$0.00
BENTHALLS	LF			\$0.00	\$0.00
BIKE RACKS	Each			\$0.00	\$0.00
TRASH RECEPTACLES	Each			\$0.00	\$0.00
DRINKING FOUNTAINS	Each			\$0.00	\$0.00
STORAGE (Standard Traffic Control)	Each			\$0.00	\$0.00
TREE GRATES	Each			\$0.00	\$0.00
SUBTOTAL - SITE FURNISHINGS				\$0	\$0
OTHER CONSTRUCTION ITEMS (List 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
SUBTOTAL - OTHER CONSTRUCTION LINE ITEMS				\$0	\$0
MOBILIZATION AND ADMINISTRATION COSTS					
CONTRACTOR MOBILIZATION (Typically 5% of actual cost)	LS	1		\$0.00	\$0.00
TRAFFIC CONTROL (5% of actual cost)	LS	1		\$0.00	\$0.00
CONSTRUCTION SURVEY & LAYOUT (Typically 5% of actual cost)	LS	1		\$0.00	\$0.00
CONSTRUCTION CONTINGENCIES (Typically 5% of actual cost)	LS	1		\$0.00	\$0.00
CONSTRUCTION ADMINISTRATION (Maximum 1% of actual cost)	LS	1		\$0.00	\$0.00
SUBTOTAL - MOBILIZATION & ADMINISTRATION COSTS				\$0	\$0
TOTAL STAGE V COSTS (CONSTRUCTION)		\$	-	\$0.00	\$0.00
BOOT REVIEW FEES (Certification)					
Professional Review, Above is \$10,000	LS	1	\$10,000.00	\$10,000.00	NO ENTRY
TOTAL PROJECT COST (All subtotals + ADOT PDA Fees)		\$	30,000		NO ENTRY
SUMMARY OF FEDERAL AND LOCAL FUNDS					
TOTAL STAGE V COSTS (CONSTRUCTION) FROM THE ESTIMATE ABOVE, AND DESIGN COSTS IF REQUESTING FEDERAL FUNDS FOR DESIGN.					
Includes design costs (Stage III to IV) if Federal funds are requested for design on above other Design Costs.					
TOTAL FEDERAL FUNDS CAPPED @ 34.3% (1,343 - annual value in Box B above)				\$	-
TOTAL SPONSOR MATCHING FUNDS (1,657 - annual value in Box B above)				\$	-
TOTAL SPONSOR ADDITIONAL FUNDS (OVERMATCH)				\$	-
TOTAL SPONSOR FUNDS (Sum of Box C and Box D)				\$	-

Project Establishment

- The ADOT LPA Section will send a “Project Establishment Letter” to Local Sponsors and copy Regional Planning Organizations, ADOT PM, and ADOT Technical Areas.
- The letter will include the the ADOT Project Number, Federal ID Number, Contact Information for the ADOT PM and Environmental Planner, and instructions on the next steps in the process.
- ADOT Project Numbers for local projects will usually start with a “T” followed by four digits and then three digit sub-phases. Sub-phases most commonly used include:
 - 01D for PDA fees (and/or Design if On-Call not being used)
 - 03D for Design (If ADOT On-Call is being used)
 - 01C for Construction
 - 01R for ROW
 - 01L for Studies & Scoping Only Projects PDA fees
 - 03L for Studies & Scoping Only (if On-Call is being used)
 - 01X for Procurement Materials
- This letter is the official hand-off to the ADOT PM who will schedule a pre-scoping meeting with the Local Sponsor to start the development process and to start the IGA process.

Project Establishment Packet



205 S. 17th Avenue
Mail Drop EM11
Phoenix, AZ 85007

KATIE HOBBS
GOVERNOR
JENNIFER TOTH
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:	Insert Project Name (as shown on TIP)
Local Agency:	Insert Sponsoring LPA
COG/MPO TIP No.:	Insert TIP Number
ADOT ESTIP No.:	Insert ESTIP Number
Federal ID:	Insert Federal ID Number
ADOT Project No.:	Insert ADOT Project Number (sub-phases 01D/03D/01C)

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

ADOT can proceed with the request for authorization of construction funds from FHWA only 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 Henige
Program Manager
ADOT Local Public Agency Section

Cc: COG/MPO, MPD, PMG, District, JPA, EPG, ROW, PRO, Resource Admin, Project Acct, BECO

- Provides information related to the Project
- Does not authorize work to begin, only initiates the Project Development Process
- Establishes project in ADOT system
- Provides contact information for the Project

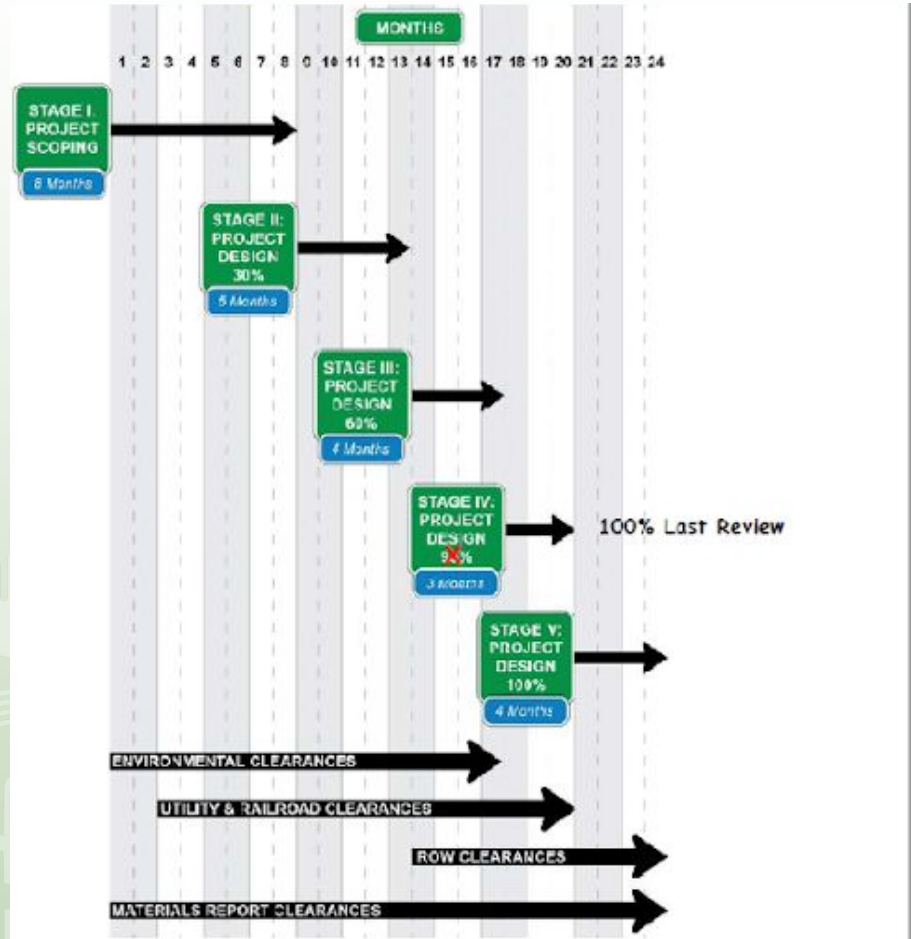
IGAs for CA Agency

- The Certification Acceptance Agreement is typically sufficient
- Exceptions when an IGA is needed:
 - Advance Construction Projects and federal funding is over \$10M
 - Project is within ADOT's right of way
 - ADOT is administering a federally funded phase of the project
- The ADOT PM would then initiate the IGA after the project is established (allow approximately 120 days for the execution of the IGA)
- Establishes project in ADOT system
- Provides contact information for the Project

ADOT Project Development Administration (PDA) Fee

- ADOT will invoice and collect the PDA prior to working on and charging to the project
- CAs typically \$10,000 PDA Cost
 - Size and scope of the project
 - ADOT's administration role
- After local's costs are received the ADOT PM establishes the project through the Project Review Board (PRB) and requests authorization through FHWA

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



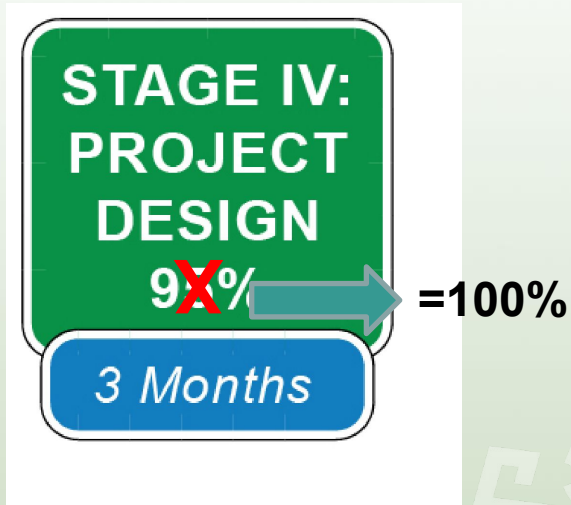
Design can proceed up to 95% with ADOT PM approval; National Environmental Policy Act (NEPA) requirements have to be satisfied.

In Process:

- Right of Way (ROW)
- Utility/Railroad

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

Stage IV: 95% Stage Submittal



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

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

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



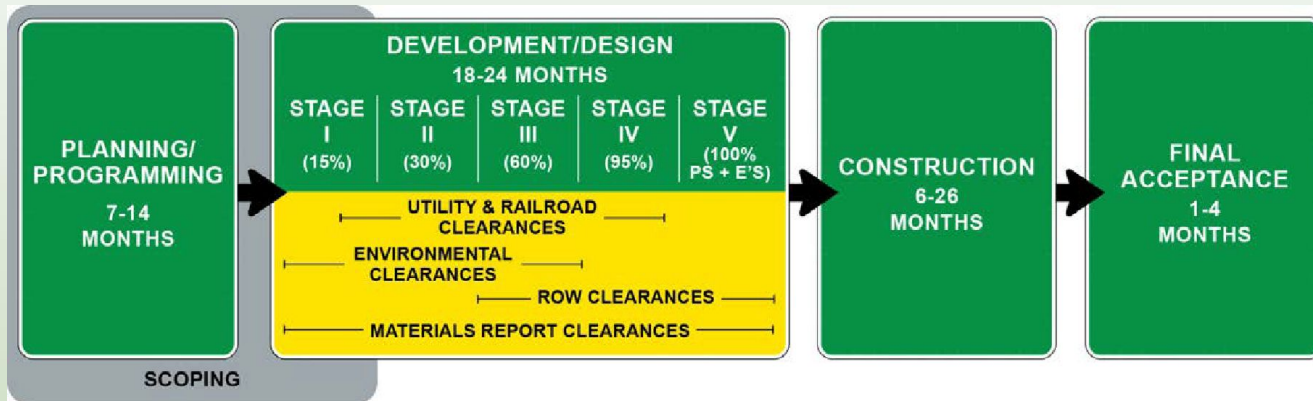
ADOT is responsible for ensuring that Local Public Agencies are in compliance with:

- 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.



LPA Contacts

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480.486.4883

LPA Section Email: LocalPublicAgencySection@azdot.gov



Federal link resource

<https://highways.dot.gov/fed-aid-essentials/federal-aid-essentials-local-public-agencies>

It's time to initiate your programmed projects

