Local Public Agency Academy
MODULE 1: PLANNING AND PROGRAMMING

# MULTIMODAL PLANNING DIVISION MPD PLANNING

Presented by:

**Bret Anderson** 

**Program Manager** 

**Multimodal Planning Division** 



## **MPD PLANNING**

#### **FIVE YEAR FACILITIES CONSTRUCTION PROGRAM**

#### After this presentation you should be able to:

- □ WHO
- □ WHAT
- □ WHY
- WHERE
- WHEN
- ☐ HOW

Related to the 5 Year Program and the MPD planning process



#### **WHO**

- ☐ Financial Management Services
- ☐ State Engineer's Office
- Multimodal Planning Division
- District Engineers
- Statewide Project Management
- ☐ COGs MPOs
- State Transportation Board



#### **WHAT**

- Decision Making
   Funding Levels, RIC, Department Policy
- □ Capital Improvement Plan for Department (STIP)
- Project Level



#### **WHY**

- ☐ State Transportation Board Policy
- □ ARS 28-6951 through 28-6955
- □ Annual Requirement
- □ ADOT's TIP
- □ Federal Requirement for use of Federal Funds



#### WHERE

- □ Organization
- ☐ Multimodal Planning Division
- ☐ Infrastructure Delivery and Operations Division
- ☐ District Involvement
- □COG / MPO Coordination
- ☐ Group Managers
  Pavement, Bridge, Sign, Rest Area, POE, etc



## **Federal FY vs State FY**

Federal Year Starts on October 1 end September 30 State FY Starts July 1 and ends June 30



#### WHEN

- ☐ July 1 New Program Available
- ☐ July August Project Evaluation
- ☐ September October District Workshops RAAC Meetings
- ☐ December ADOT, MAG, PAG Coordination
- ☐ February PPAC & STB Adopt Tentative Program
- ☐ March, April, May Public Hearings
- ☐ June STB Approves Final Program



#### Fiscal Year Begins July 1

June

STB approves the Final 5-Year Program for the immediately starting fiscal year and submits to Governor.

PPAC reccomends Final 5-Year Program to STB

Aviation submits Final Program

MAG Final RTPFP added

Finance provides final updates to forecast

**MPD requests DEs** to prepare Project Request Forms for the Fiscal Year that begins July 1st<sup>1</sup>

Planning for the following year's cycle begins

April and May

Mid-May

Public involvement for all TIPs<sup>11</sup>

MPD receives feedback and possible changes to the program

March, Joint STB meetings and public hearings in April and May Northern, Central and Southern AZ

**STB adopts Tentative 5-Year Program** and forwards to public hearings

February

PPAC adopts Draft Tentative
Program for MPD to present to STB<sup>9</sup>

Finance provides updated forecast

MPD meets with each STB member to present recommended program. Feedback and possible changes are provided to MPD.

January

MAG Tentative RTPFP added to Program Final
5-Year Program
is available on the
ADOT website and the
new fiscal year begins

COGs and MPOs draft TIPs for approval by their Boards and for submittal to ADOT MPD and FHWA

> DEs submit Project Request Forms to MPD

MPD evaluates these lists using 7-8 criteria<sup>2</sup>

MPD sends requests to sub-program managers (ITD) to submit requests for the 5th year of the upcoming cycle August

Finance provides initial forecast of funds available for programming the fifth year

MPD sets the Programming TAC<sup>4</sup> Late September and RAAC<sup>5</sup> meetings or Early October

TAC proposes sub-program funding levels to Management Committee for concurrence/ approval RAAC funding amount set<sup>6</sup>

October and November

FHWA and FTA

approve STIP.10

TAC presents
draft Tentative Program to
Management Committee<sup>7,8</sup>
Aviation submits
Tentative Program

ADOT, MAG, PAG December program coordination meetings begin



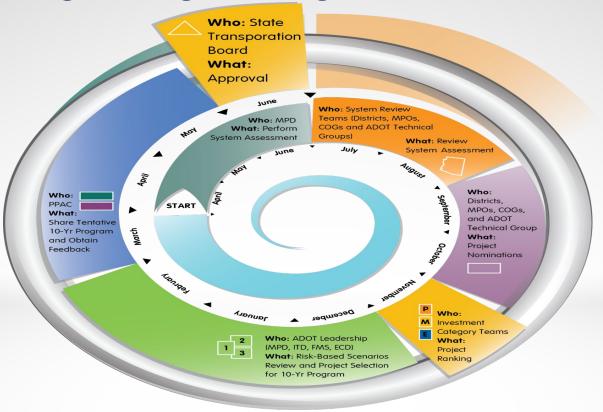
July 31

### **HOW**

□Sub Programs
☐Block of Money set aside for the use of that type of work
□Bridge
□Pavement
□Port of Entry
<b>□Environmental</b>
□Right of Way
□Utilities
☐HSIP (Safety)
□Rest Area
☐Group Managers give approval to use
☐ Take to PRB to Establish a project
☐ Moves to PPAC for approval (1 Month)
☐ Goes to State Transportation Board (1 Month)
□ Approved
□Coordination with COG's and MPO's



### Planning to Programming Process Annual Cycle





### TIP vs STIP

TIP= Transportation Improvement Program

- All MPO's Required to do
- Shows how Area going to use Federal \$\$
- Similar to a CIP for Town or City

STIP = State Transportation Improvement Program

- Incorporates all TIP's
- Required to receive Federal \$\$'s



## **How to Change TIP/STIP**

#### **Formal Amendments**

- Change in Scope, Schedule, Budget
- Regional Council approval
- State Approval
- FHWA Approval

#### Administrative amendments

- Minor Changes
- Name Change
- State Approval



## Rolling projects from Year to Year

Ideal Situation is to Program the Project in the Year you want to deliver!!

- Early Planning/Programming is Key
- As soon as you know request a TIP amendment
- Must be notified no later than May 15 of the current Year



## FINANCIAL AND REGULATORY CONSIDERATIONS

#### **FINANCIAL**

- LPA projects must first be listed in their regional TIP to be eligible for federal funds.
- If you use any federal funds the project becomes federalized
- Scope and budgets must be aligned.

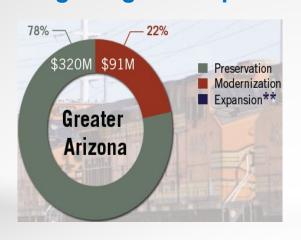
- Project Development Administration (PDA)
- Schedule slippage can jeopardize project funding
- To be eligible, allowable costs must be reasonable, necessary and directly related to the specific project
- Inactive projects ⊗



### What is P2P?

**Long Range Transportation Plan** 

#### **Five-Year Construction Program**



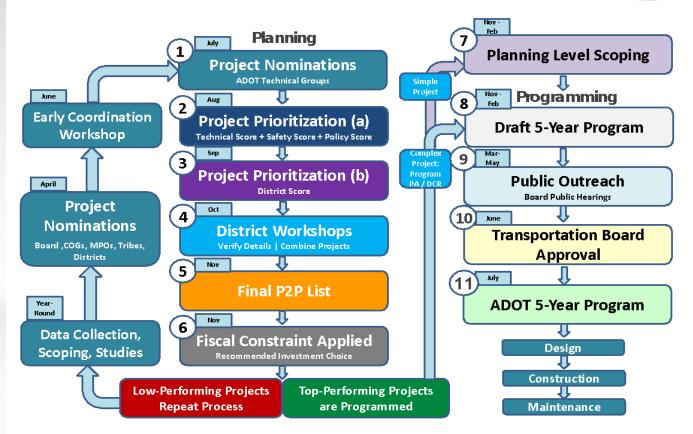






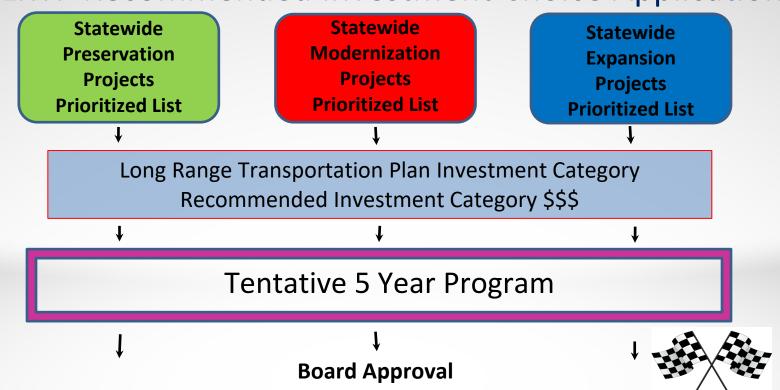
#### **ADOT P2P Process Flowchart**





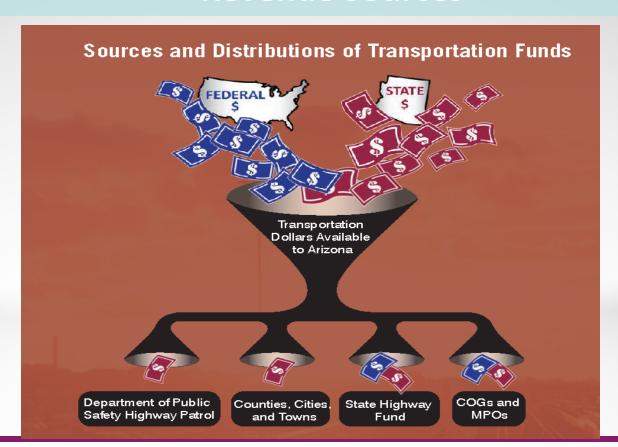


## Planning to Programming LRTP Recommended Investment Choice Application





#### **Revenue Sources**





## **Types of Funds**

NHPP National Highway Performance Program
STPBG Surface Transportation Program Block Grant

Local

State Funds

HURF Exchange Highway User Revenue Fund Contact LPA Section

Transit 5307, 5309, 5310, 5311, etc...

Earmarks Typically from Congress

Grants See next slides

Competitive Programs



## **Competitive Programs**

HSIP Highway Safety Improvement Program Off System Bridge

- Application, Criteria, Ranking, Election
- Time Frame
- See LPA Web Page for more information



## **Seeking Federal Grants?**

- Read the grant announcement if available
  - Most major grants are announced at <u>www.grants.gov</u>
  - Make sure you can provide local match money (non-federal)

Visit ADOT website (<u>azdot.gov/grant</u>) for guidance

Contact ADOT <u>Grant Coordinator</u> early on



## **Seeking Federal Grants?**

- Complete and submit the online form if you request ADOT for any support, e.g., letter of support, joint-project opportunity
  - Complete PDF form available on the website
  - Email form with necessary attachments
- Allow 30-days to ADOT for a response to your request
  - There is a process in place including reviews by multiple entities
  - PDA cost is required for ADOT pass through projects



## **Seeking Federal Grants?**

- Grant 101 one-hour training is available if you are interested
  - Contact Grant Coordinator via email (grant@azdot.gov) or phone (602.712.8239)



## LIFE CYCLE OF THE PROJECT DEVELOPMENT PROCESS

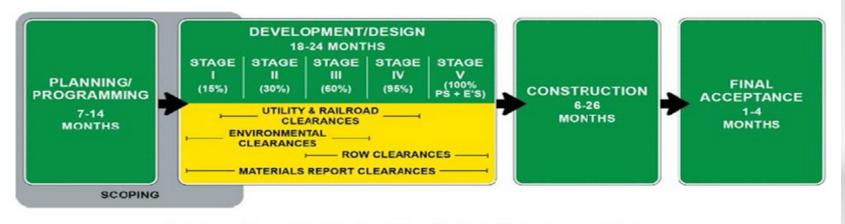


Figure 1-2 Life Cycle of the Project Development Process



### **OVERSIGHT & MONITORING**

ADOT and FHWA Stewardship and Oversight Agreement

Compliance is required to keep the money in AZ which is a

condition of using federal funds

Accountability of funds





## WHAT DOES ACTIVE LOCAL PARTICIPATION LOOK LIKE?

#### **Environmental Documentation**

LPA is responsible for preparing compliant environmental documentation

ADOT EPG is responsible for reviewing the documentation; and, analyzing it for NEPA, i.e., level of categorical exclusion needed for the environmental clearance.

LPA has to provide information so ADOT can provide clearances



- Clean Air Act
- Clean Water Act
- Environmental Justice Executive Order
- Noise ordinances
- U.S. Department of Transportation Act of 1966; Section 4(f) (Parks and Historic Properties)
- Section 106 of the National Historic Preservation Act

- Contaminated materials and substances (CERCLA, RCRA, etc.)
- Endangered Species Act
- Rivers and Harbors Act
- Coastal Zone Management Act
- Migratory Bird Treaty Act
- State Environmental Laws
- Local Environmental Laws



## Two Helpful Resources

#### **Federal-aid Essentials**

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



#### **Local Public Agency Projects Manual**



https://www.azdot.gov/business/programs-and-partnerships/LocalPublicAgency/overview



## QUESTIONS ??



LOCAL PUBLIC AGENCY ACADEMY
MODULE 1: PLANNING AND PROGRAMMING

## **THANK YOU**

