ADOT LPA Project Initiation Process For Federally Funded Projects

Local Public Agency Training Series
May 11, 2022

Presented by Mark Henige & Jennifer Hobert
ADOT LPA Section

5/2/2022

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 (25-35-25-15).
- 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 Technica Groups & Locals
- Provide project status
- CA Quarterly Update Meeting
- TAC Meetings
- PIVIG Staff Meeting
- Group Manager's Meeting
- Local Coordination Meeting
- Oversight & Monitoring federal —aid projects
- Tracking; Are projects within scope, o schedule, and on budget
- Inactive Project
- Oversee LPA programs from initiation to closeout/final voucher;
- Review documentatio
- Coordinate IGA
- Coordinate Clearances as applicabl
- Submit for a
- Coordinate payments & invoice
- Coordinate close out of project

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 (HURE)
- Regulatory Compliance Reviews (RCRs)

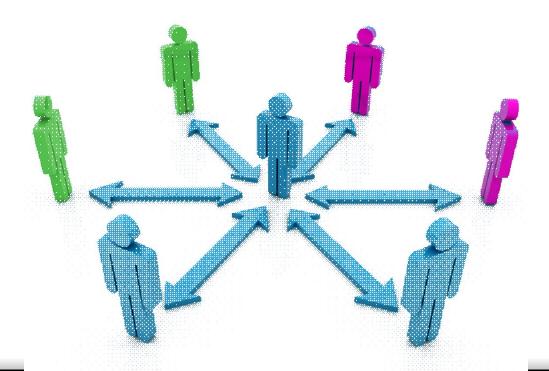
Planning & Programming

PLANNING/ PROGRAMMING

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

- Before a project can be initiated, Local Sponsors must apply and be selected for 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 State Transportation Improvement Program (STIP).
- ☐ Local Sponsor can then start the Project Initiation Process through ADOT LPA Section.

PROJECT INITIATIONfor Local Public Agencies



Project Initiation with ADOT

ADOT LPA Section will...

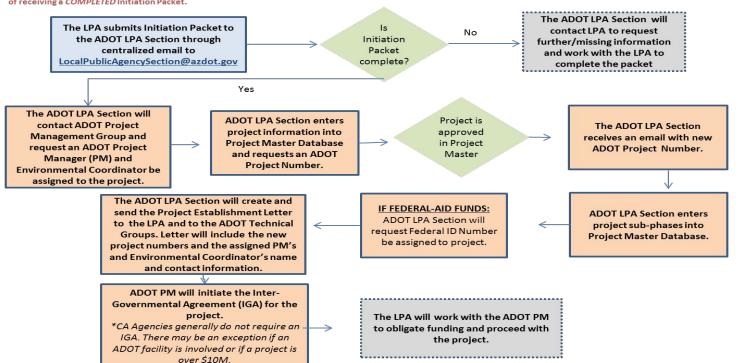
- Review documents to understand scope, schedule and budget to ensure project is feasible and meets program eligibility requirements.
- Coordinate with Local Sponsors if revisions are needed.
- Request an ADOT Project Manager (PM) and Environmental Planner.
- Meet with assigned ADOT PM to discuss scoping 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 Form
- ☐ HURF Exchange Workbook (Scope, Schedule, Budget) 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

Project Initiation

Home (LPA)	Fede	ral Aid Highway Programs	Certification Acceptance (CA)		Self Administration
Project Initia	tion	Communicati	ion Bulletins	St	akeholder Meetings
Resource Mat	erials	Train	ings		Contact Us

Required Documents:

- Project Initiation Sample Letter Rev. 5/21
- Project Initiation Form® Rev. 07/21
- ADOT Functional Classification Map
- Project Location Map, showing beginning and ending terminity both maps are required.
- A regible 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 will depend on the type of project and available documentation.

Supporting documentation can include: A copy of the approved COC/MPO funding application or workhook, ADOT sub-program eligibility letter and application (CMAQ, HSIR, 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 (Jdoc) Rev. 2/6/18
- Project Scoping Document Guidelines @ (.pdf)
- ADOT Cost Estimate Tool (.xls) Rev. 4/10/19
- Ilistorical Bid Unit Prices E2C2 (apps.azdot.cov)

Additional Resources:

2 Project Initiation Flow Charter (.pdf)

Please submit all Project Initiation requests to the ADOT LPA Section through the email address Local-PublicAgency/Section(plazdot.gov. ADOT Broadband Office

ADOT Business Coach On Demer

Business Engagement and Comp

Civil. Rights/External EEO Contra

Compliance

Engineering and Construction

Contracts and Specifications

Project Management Services

Highway Maintenance

Procurement

Engineering Consultants

Programs and Partnerships

Adopt a Highway

Border Liaison Unit

Arizona Council for Transportation Innovation

Grand Canyon State Logo Sign Prog

Joint Project Agreement

Local Public Agency Home (LPA)

Certification Acceptance

Federal Aid Highway Programs

> Project Initiation

Resource Materials

Self-Administration (SA)

Irainings (LPA)

Communication Bulletins

Stakeholder Council

Contact Us

P3 Initiatives

https://www.azdot.gov/business/programs-an d-partnerships/LocalPublicAgency/Project Initiation



Project Initiation Sample Letter

LOCAL PUBLIC AGENCY PROJECT INITIATION SAMPLE LETTER

Place on Sponsoring Azency'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 empired to the ADOT Local Public Agency Section through the centralized email Local Public Agency Section @azdot.gov.

(Insert Date)

ADOT Local Public Agency Section 205 S 17* Ave Mail Drap FM11 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 T.P)

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

Funding Type: (Insert Type or Funding: HSIP/TAP/ST66/UT-System Bindge/cfc.):

To Whom It May Concern:

On behalf of the (Invertsporsoring 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 CUG/MPC) I ransportation improvement Program (TIP) page, highlighting all phases of the project. All phases of this project, that we been approved and programmed for federal funding in the amount of S (insert total federal amount) with a local contribution of S (insert total local funds), for a total of S (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 MPC/COG TIP page, with project highlighted and all phases shown

A scoping letter that includes:

- icetic instanciones.
- Project Name (As shown on TIP)
- Functional Classification Type
- Scape of Work ("datallithes the three major components of a project agreement scape, budget, and schedule. The project description should provide sufficient detail for the applicable phase of work (e.g., preliminary origineding (*Pt), right-of-way (ROW), construction, or other), specified work to be performed, and opening location limited to the specific work for which the Project Spencer is requesting authorization. A clearly ceffined project scope and schedule provide financial controls and mitigates the risk of unauthorized activities occurring which could result in non-compliance with Fieders requirement and is used in the development of an integrovernmental Agreement. A third party (e.g., the public, Congress, auditors, Office of Inspector General, etc.) should be able to undersoand the scope of work for the project card is Innia's 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 conations, and non-participating costs and include the ADOT Project Design Administrative (POA) fees.

Supporting Documentation (I you of supporting documentation will vary depending on the type of project. Speniar may provide a copy of the CDS (MPC) funding applications worktook, Scoping Document, Cost Edinant Teal, Project Acassament (I/A) or any other planning documents that gives details about the project, and supports the scope, schedule, and budget).

ADU I functional Classification Map, available on the ADU I Webpage (https://watet.gov/mapsis/functional-Map)
Project Location Map that shows beginning and ending termini of the project.

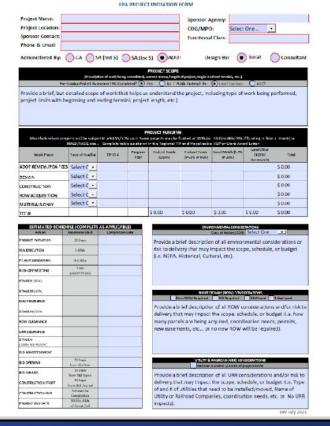
Please contact us if you have any questions regarding this request or require additional information. Thank you. Sincerely,

Project Manager Reme
Title Remay
Authors
City, AZ, Zip code
City, AZ, Zip code
Floore Number
Email address





Project Initiation Form



- 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.

Transportation Improvement Plan (TIP)

Graft 2010 2014 TH Amendment #1
Approved by: Administrative Council - Describe Brend

PERMIT P	PROJECT SPONEOR	PROJECT NAME	PROJECT IDEATION	(PATT)	MP-VIK-STRU	Functional Casa Rostlona	BEFORE	AFTER	PEDAD TYPE	FINDS	EXCHANGE	MATCH	PENDS	TOTAL COST
15/00														
100 20-01	Same Only County	parts obsciously the best loss represent Project	*0.39 miles of 37 arconed road segments in unmorphisted Santa Drug County	13,39 miles	MOHPM	Hora Loca		1	SHAG	428.250		\$1,710		\$10,70
socaver.	Same Gruz County	Serie Cue County Ship Seel York Improvement Project	10,35 miles of 27 unpresent road segments in unincorporated Santa DNE CALIFO.	19.39 miles	Greinsten	Plant Louis			DHAG	£1502		\$11,012		F10/0
VOe 20-42	City of Yogutha	Promise Proposit Ballies Cr to Nagaron High School Plan National Paradictor	Orbe, previous win Chans Avenue patr or acuts able of I name Total floratio Hegaline High	Swites	Delign	8.08	Alfa	NA.	bac	\$160.340		\$21,600		\$340,00
50211.00	Barria Crux County	Drive intersector Improvements	Intersection		Construction	Puni Neior Collector			MRRP	\$101,515		\$50,912		\$1,044,08
0G#.09.12	Greten Chirity	Fi Throat Rive Strature No. PUI. Prote I	Pt. Themas River Road (\$ Gills River)		Sorping, Sesign, Environmenta	Miner Colector	1	2	Of System 3/9pt 5/7P	\$121,00		\$10,044		\$346.13
	TOTAL FOR 2000								9.1	SLALES.		2240,041		\$10,00 \$1,00
DATE OF	Otyof Safori	20h km. Przest	Salation St to Cold Course Rd	.6116m	Construction	proprietto Acerta	- 0	. 5	579	15,551,01		2820,642		50,014,40
	Courter County	Character Dunite Addison Security Nation 5 & O Security Dates	JAMESEN HOLD FOR LONDSON O 4.0 Miles South of Foreigners; Cestile Advise Yased Dryn SM 80 to Frankle Flank; Seretoria Saularant Farm Mileson Reed to Name Place.	107 mbs	Carrier	Major Collector		,	HBP	\$354,010		80		\$294,20
-			Produces Crise Tip at Soveite	Topogen		Timblesson			200000				0	
200 St-41	Sava Crus County	Gof Course Food.	See West Sof Course Road from Hopots Seeing to list yest of 20th	25 miles	Desira	Wager Collector		1	HOP	\$24',418		\$14,592		\$295,0
00H 21-21	Granain County	Cotonwood Visio Road- Shoulders and Runble Shou	Avenue: Cotonwood Wash Road Iron Cotonwood Wash Loop to 1200 South	5,7 miles	Cesgn	Hage Selector		1	100	\$213,040		£10,661		\$3067
9214812	szenen szező	Fi Tromas River Scrucium No. 0121 Praesi 2	FL DomorRien Suid @ 266 Sive		tow	Heror Cultister			Of System Skillow STM	\$11,760		M.013		\$73.0° \$10.0
-	TOTAL POWERT						*			14,451,344		1202,488		\$6.713.75
Phot										and the second		100000000	-	
DDH 211-01	Codhlee Courty	Creditator, Devalle Adehe. Sendero Felia E.E.C. St ankle Strps.	Citations food 1 on "ordinate to 1.0 miles on the Torolotics to 1.0 miles out that Torolotics to 1.0 miles from 270 00 in frestly food, 2 miles food to Route Route Route Route Route Route Route Route	107 mlm	Construction	Major Collector		1	HBF	\$381,640		\$c		59334
900 21-21	Kerte Data Deeth	Pendetin Drive - Roadway Do Elizination	Pendiston Drive Clp at Soroits Creek West	25 niles	Construction	Major Collector		1	1937	\$624,310		\$15.800		\$45011
			East site of Grand Avesue from Barled Drive to Country Chib Onle. Interieds with Grand Avenue path on south side of											
	Cry or Nopaes	Particly Project Ballet Or to Negate High School	Frank Rest Rises to Higherto High	20168	Construction	aux.	N/A	NA.	0440	9945,031		\$17:12	-	\$1,002.12
	Craham Essenti	Chili Course Russi, Octomised Visith Read Evenidors and Furnitie Online	Out Course River Loro Floopes America to justiment of SDP America; Cottonings March Street from Cottonings White Loro to 1000 South	S) nlm	Coestruction	Wear Collector			ная	\$1961,480		\$120,375		\$2,711.81
	Golven County	F. Thomas River Structure No. 0121 Physic 3	P. Thumas RiverRead & Gills River		Coestustor	Witor Collector		2	CH System. SHOSS	\$605,077 \$77,665		\$16,10		3636-4
	OFAL FOR 2622								-	\$4,350,77		\$220,530		14,546.52
2013	Page rigidar)						Trans.		are	311.000				8+0.3
	TOTAL FOR 2022								- 10-1	313,000				610.0
2000	OT PLETON JOSE									-				-
2004		Oriro Road Dramion Phase 2	Chinc Road Sth Streets SRSQ	.Briles	Seeg	Unas tener Atlents			8179	375,440		34.30		200,0

- 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 COG/MPO or ADOT:
 - STBGP
 - MAG
 - HSIP
 - CMAQ
 - Off-System Bridge
 - HURF Exchange
 - Grant
 - Emergency Relief Program

Additional Planning Tools

The ADOT LPA Section also has other tools available on our website to help with project planning for scope, 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 (fapplicable)

B. INTRODUCTION

The introduction contains the project program information. The project mane a route name including terminian of Functional classification, location, estimated cost, funding type (TAP, HSIP, CMAC, HUNF, etc. S. Local lunds). Piscal Year of expected construction, expected project development start and completion dates. Include who will pattle project an explainment of the constitution of briefly exclaimment for projects.

C. BACKGROUNDDATA

This section should include a summary describing the needijustification for the project. Please include all project development completed to date such as master planning, public methods, alto.

D. PROJECT SCOPE

Describe project limits and all the components of the recommended project scope. Provide all route names, project lengthe, detail the type of work; describe how the work is to be done, and now the works to be point of to. Included How Cereloomers, Jain describe and construction. Ethe project will be part of a larger project, such as a road wery improvement project, describe the first of the design and construction schedule and diming of funding requests. Describe the roles of the appears, ADOT, etc.

E. PROJECT DEVELOPMENT CONSIDERATIONS

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

- Environmental requirements: Provide a brist description as daternined by the project scope. Detailed discussionwill behandled in the Environmental Determination (CD).
 - a Species Investigation animals & plants
 - b Wetland & Riparian Areas
 - c Flood plain encroachment
 - d. Seption 401/404
 - e Section 4 (1) moacts
 - Fotential Contam nants
 - Social creconomic/impacts
 - h. Eultural Resources Investigation

SCOPING DOCUMENT FORMAT Page 2 014

i. Segnic or Historio Route

2. Construction Contract Method

Will the construction contract be awarded by lowest responsive bid ondic you intend to request ADCTRF-WA approval to utilize a non-traditional construction contracting technique such as Job Order Contracting (JDC) or Construction Manager of RIBAR?

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 clear ance productives (SHPO, Forest Service Bureau of Land Management (BLM), other municipatities, Indian reservations, railroads, utility companies etc.)

5. Right-of-Way Requirements

Describe all projecting H of way. Describe the land ownership (Privare, City, ADU I, Forest Service, BLM, etc.) Describe any RW that will have to be acquired and how it is expected to be accurred (donation, pureness, or pendemention and by when). Note that the need for temporary construction easements is a FAV activity.

6. Utility Relocation Requirements

First twic design project to avoid willify certifiets. Describe any utility impacts and how the relocation of the utilities is expected to be accomplished (work cone by the utility on, idition in the construction project). How the work to be is financed ito call funds, led-aid funds). All there any "Prior Rights" issues for any of the utilities?

7. Traffic Requirements

is there a need for fraffic control plans for this project? What about pedestrian fraffic control? All there se any artwork that will be highly visible from the roadway?

8. Seasonal Considerations

Describe the limits of the construction/planting season. If the projections ides landscaping, how will construction be schedule to ensure that plantings and installed during the proper time of the year? Does the construction schedule need.

Rev. Feb 2013



SCOPING DCCUIVENT FORMAT Page 3 of 4

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

Design Criteria

Describe the design priterate be used. Does the design or tera comply with standards being used IAAS-1 0, IAAS. Country, AUDITY Are there features which do not complywith the above standards \$7 Address your intentior of their mosting the criterian or requesting a design exception. The appropriate ADOT Technical Section Manager approves design exceptions.

Note that reference to design standards other than ADDT standards need to be physically included in document submittable not just arreference to the standard ADDT state cannot be expected to brunt online or take the lame to contact the LSA for a copy of the standard. They need to physically be included in the submittable ADDT seviewers can compare the standard with the aDDT reviewers can compare the standard with the applicable ADAAB and ADSITO is tandard st.

F. OTHER REQUIREMENTS

Describe the funding scurces for the project. State the desired bid advertisement date. The constructions traditate will be a minimum of three months after the project has initially advertised for bid. Describe how the project will be developed (designed inhouse, 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 furified with local funds or relimbursed with federal program funds?
- Right-of-way acquisition costs and if the secosts are to be funded with local funds or reimbursed with federal program funds?
- Utility relocation costs and if those costs are to be funced 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 faderal reimburs ement with program funds.
- Construction costs, preferable temized by ADOT item number and including construction engineering (15%) and confingencies (5%).
- Total Cost

H. ITEMIZED ESTIMATE

De sure to divide our Federal Funds, Local Matching Funds and Local Additional Funds if any

Bev. Feb 2018

SCOPING DOCUMENT FORMAT Page 4 014

I. VICINITY MAP

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

J. TYPICAL SECTIONS

Provided ypical sections for major project locations that show property lines in ght-of-way and known easier entitinities, slope dimensions, and projected partier entitinities, slope dimensions, and projected partier entitions are common to the sections about show critical horizontal and vertical dimensions.

K. SCHEDULE

Pretenably in bar chart format. Showmilestones and include all major project development tasks such as clearance phases and design development/review periods of project.

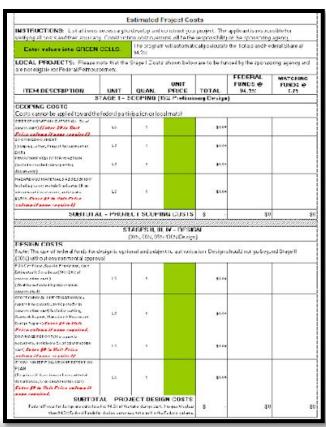
L. 15% PLANS

Provide half size 16% plans with topographic survey basemap.

END OF DOCUMENT

Ray. Feb 2018

ADOT Cost Estimate Tool



- 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 matching5.7% funds.

ITEM DESCRIPTION	UNIT	QUAN.	UNII PRICE	TOTAL	FEDERAL FUNUS @ 94.3%	MATCHING FUND: A 5.73
	ST	AGE Y C	DASTRUCT	TON	amanari e	
SITE ACQUISITION & HARD	SCAPE CO	INSTRUCT	INN	***************************************		
RIGHT-0F-WA* ACTUSTION OF	Li .	7.02		74.05	45%	0000
neservery)				\$0.00	g>.00	(0.50
INSTALLATION OF STORMMAKER						
CATTOLINA CHEMINIST LINES OF 2011						200-02
averlaces a deturbance, \$6 af caret:	4.0			\$0.04	\$2.00	10.50
carta) Entere (Min Baile Poins Callema III acon all alternationes	900	155		7037850	2003	55800
is fact than men area.		0	4			
SITEPACEAVETOR	307	130		17.00	25/01	630
(Charicans port say reteriors)	1.5	1		\$11.11	\$1.00	10.00
percurier	300000	333334	HAMANAN T			
Souch	1,7			\$0.00	\$3,00	30.30
Finance Street was and State of time	1.0	1		\$1,00	\$0.00	\$0.50
Females facility	1.7	0	MR :	\$6.04	\$3,00	10.30
Famora Physician Canada				\$1.04	\$3.00	10.20
Forese Rephalt of inscrete Pasamont	07			\$1.04	\$3.00	\$0.00
Facers December Sides also, Slate				45.04	60.00	(0.20)
MAZARDOUS MATERIALS ABATTMENT						
(Charged wildles in a month consensate decir						
orburner, Scorkenarinier en carei	8.0			\$5.00	\$3.00	\$0.50
Later St in Mair Price swimm it		1				
UTIL TYPE CONTONION OF THE PARTY OF THE	_	-				
the carrantine restinguise from an						
direct meditafiths exhause necturiest						
and all gift to the fall to put to bed your many.	32	- 1		\$0.00	\$3,00	(0.50
Microsoph the continuous ved, the						
undergreen ding at over he of will block						
postalist li						
RETAINING VALE	cer			\$0.00	\$2.00	10.50
(Concentral SF of these shows the feature)	vinner.		erenanana.			
General Economic	2222222		2222222	\$1.60	900000000000000000000000000000000000000	10.70
France/Security				\$0.00	\$3.00	10.30
Stratural Lournina	W			\$0.00	\$1.00	10.70
Stractural Rankvill	35			\$0.00	\$3.00	10.30
Strecturel Easterill Earneu (a frioca)		-		20.04	\$3,00	10.30
CURD & GUTTER	1.7			\$0.04	\$2.00	10.70
AGGNOCATEDACE	97			\$0.00	20.00	10.30
PATRIA" OLSIEEVALKHATENALS	10000000			0.000000000000	**************	
Comparts	V.00.00.00			\$0,00	20.00	10.20
Colored Casero to	1			\$0.00	\$3,00	10.38
Danger Orlan Carant	- 21			40.00	80.00	40.20
Propert Canada Farem				\$1.00	\$2.00	10.70
Grana tic Grantests	Ten.			\$0.00	\$3.00	10.30
helymerer form hostoline filter and	31			\$0.00	97.00	10.70
CROSSMALK ENHANCEMENT	Vaniana	in annual and			and the second	0000000000
Capacity Favors	P. 1200000000	1.1223333333		\$0.04	\$3.00	46.50
Stanger Ambali	1			\$0.00	\$2.00	10.30
Stanger Opposite	3.			20.00	27.00	10.20
Canarate	1			\$6.00	\$2.00	10.30
Internal Cultur Consumption	1			\$0.00	0.00	40.20
PEDESTRANGONFAME	31			\$0.00	\$2.00	10.30

ITEM DESCRIPTION	UNIT	QUAN.	IINIT	TOTAL	FEDERAL FIINDS @ 94.5%	MATCHING FUND! @ 5.G
COUNTERTEXIENSIONS	1,7	420010		\$5.00	\$3.00	10.30
processas updated Uncluder sade tend tracking others July to be made ight far lessed July avenue.	res.			40.00	().00	40.50
HARDEAK.	0.000000	anne e e e e e e e e e e e e e e e e e e	88888888	3000000	22.23.23.23.23.23.23.23.23.23.23.23.23.2	2222222222
Standard	enning.			\$9.04	\$3.00	10.00
Evan rike	100			90.00	\$0.00	10.50
	LACGOR	HON & III	UIDSCALE	4	\$0	\$0
		COMS	TRUCTION.	,	*0	30
200000000000000000000000000000000000000	<u> aanaan aan aan aan aan aan aan aan aan</u>		<u>GGGGGGGGG</u>	<u>aaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaa</u>		
LANDSCAPING & INDICATION	ON ITCMS					
naus (Abavo (Sedian in zu arrequired ser Janel en Benege Kalderinen erien (200)	Each			\$1,00	\$3.00	\$0.50
TABLE (M. GAL., GH CIEC)	East			45.00	\$2.00	40.50
TREES (9 SALLON SIZE)	insk			\$0.04	\$3.00	\$0.30
SHR (FS (S 64) 108 S 29)	Sack			\$0.00	\$3.00	40.30
LORGINAL TOPACH	i-mile:			\$1.44	\$1.00	10.20
CACTUS (SIGALLON SIZE)	Lack			\$0.00	\$3.00	10.30
BIDLIN	333333333			255555		
Compagned Gravita	127			\$0.00	\$3.00	10.30
Grans	ur			\$5.00	\$0.00	10.30
TOPSOIL	97			\$0.00	\$3.00	\$0.50
STEDING	5-4			45.00	63.00	49.39
TURE SOD	57			\$0.04	\$0.00	\$0.30
man ners	Tarih:			40.04	93.00	10.30
INNIGATIONS 15 EM	2000000	(COMMITTEE				
Sele	57	Section 1		\$1.74	\$1.00	10.30
Tus*	2000			\$1.00	\$3.00	10.30
SLEEVINGFORIBRIKATIONS/STEM	Manage Commence		aaaaaaaa			
DirectionalDana	11			\$0.00	\$3.00	40.50
Super-diPatet		5		\$0.04	\$3,00	10.30
LANGSCAPELEAGENDUNG	141			\$1.0	\$0.00	\$6.20
 Landscaptestablished Concelled Scattle are allerdouped	LS			\$1.0-	\$0.00	\$6.50
SUBTOTAL - LAND	SCAFING	& IBBIGAT	IDNITEMS	\$	\$0	\$0
SITE FUENISHINGS						
DEHONES	Saide			\$0.00	\$3,00	10.30
CTACHARI C	17	le .		\$0.00	\$3.00	10.30
DIREFROND	1415			\$1.00	\$3,00	\$9.79
TRASHREOIPTACLES	Lank			\$4.0	\$3,00	40.30
DARKHOFIUHTANZ	Sach			\$1,00	\$3,00	\$0.50
SIGNAGE(Standark Traffic Contra)	Sach			\$0.04	\$3.00	\$0.50
THEE GRAPES	166			\$6.0-	\$0.00	10.50
9	URTOTAL	- SITE FUE	PAISHINGS	\$	\$0	\$0
NOO O O O O O O O O O O O O O O O O O O	20000000	manning.	2222222	mmmmm	0000000000	2222222222



ITEM DESCRIPTION	UNIT	QUAN.	UNIT	TOTAL	FEDERAL FUNUS @ 94.3%	MATCHING FUNDS & 5.73
OTHER CONSTRUCTION HE	MS (List)	neitema)				
		1		\$1.04	\$9.00	40.50
				\$0.00	\$3.00	10.20
				\$1.00	20.00	40.30
			- 3	\$8.04	\$3,00	10.30
				\$1.04	\$ 0.00	1638
				\$0.00	\$3.00	10.30
		-		\$0.0a	\$2.00	10.30
				\$6.04	\$3.00	10.30
SUBTOTAL OTHE				0	40	60
						466666000
MOBILIZATION AND ADMIN	ISTRATIC	N COSTS				
CONTRACTOR HIDLIDATION (Topically	14			4004	53.00	10.30
Si al carutraction curi)	3.5	::4		40.00	\$3.00	30.30
MACE CONTROL SO THE CONTROL PARTY OF THE CONTROL PA	LS	Si .		\$0.00	\$3.00	10.30
curi;	- 75				*****	10.20
CONSTRUCTION SUMETIMES ALFORD	45			P1.00	\$1.00	10.30
(Towards that environment wort) CONSTRUCTION CHINGSHOES	- 67	12 72		100	500	
(Ive cells 80 of construction and)	4.0			\$1.00	\$9.00	40.50
CONSTRUCTION CONTRACTOR	15	-				
(Averaging 10: at anythractics card)	4.0			\$1.00	(27,00	40.50
SUSTUIAL - MUS	LIZATION	V & AUMINI	STEPFIUM		\$1.00	19.20
7077	or u occ	TO 1008101	COSTS		\$3.00	10.70
TOTAL STA					\$3.00	\$0.50
ADDIFICATION COMMENTS and the	1011111111111	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	Ecs Abelow	10101010101010101		
the habital participation or the local match On have Out Granisa Assertance or Self-combistration projects, chosen het (Ann)	r.o	,	\$30,000,00	\$22,000.64	NO EN	
	9970777	amann	0.7.7.7.7.7.7.7.	Additional Confession of the C		
TOTAL PROJECT D	DOT (All s	ubiccals - ADI	CT review (se)	\$ 30,000	NO EN	TITAL
				TOTAL CONTRACTOR	0000000000	aarraanii ka
SUMMARY OF FEDERAL AN						
TOTAL STAGE V COSTS report DESIGN COSTS or acceptation both to design on to (2 tops 1 thm 11) 2 to design on the cost of thm 11) 2 to design of the cost of the co	PEDENAL	UNDS FOR DE	514H.		BOX A	•
TOTAL LULIIAL UNIX; carr					8 × 08	•
TOTAL SPONSOR MATCHING F					0	S ₄
Maria Barn minero assemble mekes distrib puntade)	no activity	L#:02275p-an	trojav (166,48	P Tangeton	X08	*
TOTAL SPONSOR <u>ALLITIUNAL</u>			Ester Neanaus i	nBeckin	ğ	4
IOTAL SPONSOR FINDS (*	f Sev C	and Ray D)			X D	t -

Maps

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

Location Map	Lc	oca	tic	วท	M	la	p	:
---------------------	----	-----	-----	----	---	----	---	---

☐ 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.
- ADOT Project Numbers for Local Agency projects will usually start with a "T" followed by four digits and then three digit sub-phases. Sub-phases most commonly used:
 - □ 01D for PDA (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
 - □ 01X for Procurement Materials (PDA Fees or cost of materials if no PDA fees are needed)
 - □ 02X for Procurement Materials Only (cost of materials)
- 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.



Our True North: Safely Home

Infrastructure Delivery and Operations

Douglas A. Ducey, Governor John S. Hallkowski, Director Gregory Byres, Deputy Director for Transportation Steve Boschen, 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: Insert Project Name (as shown on TIP)
Local Agency: Insert Sponsoring LPA|
COG/IMPO TIP No.: Insert Tip Number
Federal ID: Insert Federal ID Number
Local Troject No.: Insert ADOT Project No.: Insert ADOT Project No.:

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

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

ARIZONA DEPARTMENT OF TRANSPORTATION 1801 W. Jefferson St., Suite 120, MD 102M | Phoenix, AZ 85007 | azdot.gov

Does <u>not</u> authorize work to begin, only
initiates the Project Development
Process.
Establishes project in ADOT System.

Shows assigned ADOT Project Numbe
and sub-phases.

☐ Shows LPA Coordinator assigned to the
project and their contact information.

Intergovernmental Agreements (IGA)

- Process can take 3 to 6 months.
- 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 funds (if applicable).
- Once LPA local 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 Cortification Assertance (CA) Assertion

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

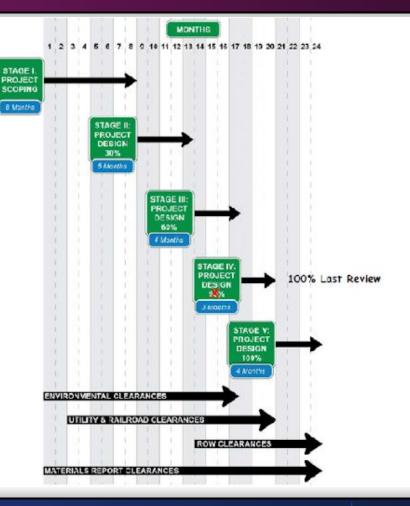
Be fore any work can be done on a project, the ADOT Review/PDA fees must be collected so that ADOT Project Managers and Technical Areas can charge time for administrative time spent working on projects.

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

STAGE II: PROJECT DESIGN 30%

5 Months

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.

☐ Environmental analysis and utility coordination may be in process.

Stage III: 60% Stage Submittal

STAGE III: PROJECT DESIGN 60%

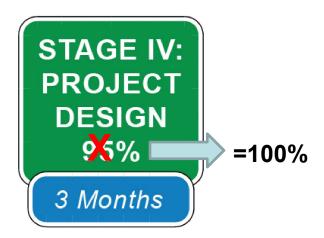
Plans are being refined in this phase. The "footprint" is set.

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

STAGE V: PROJECT DESIGN 100%

4 Months

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



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.

 \square Award

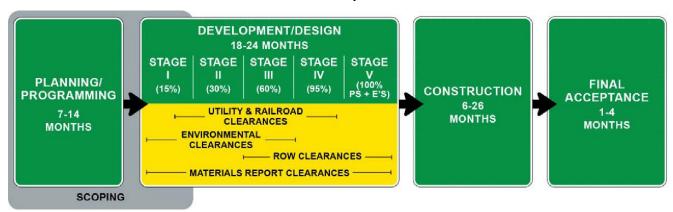
Construction Administration

☐ 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 Hobert

LPA Sr. Project Coordinator Jhobert@azdot.gov (480) 486-9576

Dylan Renner

LPA Project Coordinator drenner@azdot.gov (602) 712-8923

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?

