



Arizona Department of Transportation

Intermodal Transportation Division

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AUGUST 10, 2011

REQUIREMENTS TO ADVANCE A LOCAL SELF-ADMINISTERED TRANSPORTATION ENHANCEMENT PROJECT AFTER SCOPING

1. Through contact with your MPO/COG, ensure that your project remains addressed in the **Transportation Improvement Plan (TIP)** for the fiscal year when the obligation of the federal funds is anticipated.
2. If the **preliminary engineering phase includes federal funds, do not incur design or environmental costs until the funds receive federal authorization.** Additionally, do proceed past the 30% design without having an approved NEPA clearance. If the project is covered by a **SHPO agreement**, copies of each staged plans will need to be submitted for SHPO review and comment. *The mitigation measures from the environmental clearance document must be included verbatim in the special provisions.*
3. Continue to coordinate with your ADOT NEPA Planner on the resolution of comments to obtain **environmental clearance** for the project. Additionally, coordinate with the ADOT project manager and JPA Branch of ECS on the development of an **intergovernmental agreement** pertinent to the project's development, funding and maintenance.
4. **Sole sourcing** of items is subject to the Federal Acquisition Regulations and approval by ADOT. Additionally, if you plan to use in-house forces for construction and intend to request reimbursement for those costs, a **Public Interest Finding (PIF)** must be submitted for approval in advance of submitting your request for the federal funds for construction. All costs must be fully documented.
5. Submit copies of the **60% plans, specifications, cost estimate and engineering reports and calculations** supporting the design (Geotech, pavement design, drainage, etc.) to ADOT for staff review.
6. Submit the following documents to the ADOT PM when ready to request the federal funds and authorization for construction: **2-copies of the bid package, including special provisions (or specifications) and half-size plans.** *The mitigation measures from the environmental clearance document must be included verbatim in the special provisions.*
 - a) Right-of-Way and Utility clearance procedures must follow FHWA/ADOT processes. The sponsoring agency must address the ADOT **Right-of-Way Section and Utility & Railroad Section** to receive the clearances; a clearance memo from each Section is needed before the funding can be requested. Under both procedures, the sponsor's consultant may do the correspondence work, but the clearance letter must be on the sponsoring agency's letterhead.
 - b) **Estimated project cost** including construction contract administration (including construction engineering) and contingency costs. Estimate the amount of federal funds at the federal pro-rata share and the local share of matching funds.

ADOT will request the authorization of federal funds on behalf of the project sponsor. An authorization letter will be sent to you documenting the authorization of federal funds. **Do not advertise until you receive the authorization letter** noted above.
7. Upon **bid opening**, submit the bidders list and subcontractors/suppliers lists. Upon contract award, submit a copy of the **bid opening report, engineers estimate, construction contract, Project Information Form, and Subcontracts Executed Form.**
8. Before construction startup, conduct a **partnering session/pre-construction meeting** with the contractor and others to insure proper execution of the contract and effective project administration to achieve a well-built enhancement project.
9. Coordinate with the Contractor for collecting **federal labor compliance** documentation (including, but not limited to, DBE, EEO, Davis-Bacon, and OJT as applicable) and compliance with the Buy America Act. Ensure that documentation is being appropriately collected in accordance with the Federal Aid process and recorded and filed for potential auditing purposes. Ensure that the Contractor posts the required federal posters and performs DBE compliance reporting to ADOT's Civil Rights Office.
10. Communicate with the ADOT project manager and District Construction Supervisor on progress during construction. Include the ADOT project manager in the distribution of monthly construction progress reports, which are to address major construction issues.
11. To ensure that billings progress in a timely manner, **you must request reimbursement within 12 months from the date the federal funds are authorized. Upon project completion, you must complete your billings within 90 days.** As costs are incurred, but not more than once per month, submit your reimbursement requests to the ADOT project manager on the TE Reimbursement Request Form along with backup data showing **proof of payment.** ADOT cannot participate in any undocumented costs. This is a reimbursable program, so billing must coincide with percentage of work completed. Include ADOT and FHWA staff on final inspection for acceptance and dedication ceremonies. Submit required **project closeout documentation** with, or subsequent to, the final payment request.
12. If during the environmental, design or construction, the approved scope of the project is proposed to change, please send a request for change with justification to the ADOT Project Manager.

END OF DOCUMENT