

# Arizona Department of Transportation Transportation Enhancement Program

## ROUND 19 APPLICATION INSTRUCTIONS

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### General Instructions

Each application package must include three elements: the application, the cost estimate, and the appendix. The maximum pages allowed for each are as follows:

- Application maximum - 15 pages. Each of the text boxes (except those for questions 1-8) are locked at the maximum number of characters allowed, as indicated by the maximum character count provided in the application. Applicants are not required to fill each text box completely. The boxes are locked to assist the Transportation Enhancement Review Committee members and involved staff during their review of the application, for ease of identifying the total page count of the application.
- Cost estimate maximum - 4 pages, pre-numbered C-1 through C-4.
- Appendix maximum – 19 pages, including all required and optional pages. Note: The right-of-way delineation maps are to be included in the Appendix, but are not included in the total page count.

Carefully read all instructions and answer every question thoroughly.

The application is a pdf document. To save the revised document, choose File > Save As from the main menu.

Review the appendix to ensure all requirements such as format, page count maximums, size limitations, etc., are met.

Cross check the application and the cost estimate in order to confirm that all items are addressed and that the project scope of work is accurately accounted for in the costs.

Review and complete the application submittal requirements checklist to ensure all of the necessary information has been included. Make sure the hard copies of the application are printed one-sided (no duplex), has no tabs or dividers, no clear plastic covers, no fold-out pages, no binding – STAPLE ONLY.

For additional information regarding the Arizona Department of Transportation (ADOT) Transportation Enhancement Program, visit the website at [www.adotenhancement.com](http://www.adotenhancement.com).

### Cover Page

Every application must utilize the Cover page template that includes the seven (7) elements listed below.

- **Round #** - Provided.
- **Application Year** - Provided.
- **Project Name** - Provide the complete Project Name as written on page 4 of the application.
- **Sponsor Name** - Provide the complete Sponsor Name as written on page 4 of the application.

- **Identify application as per the drop down list:**
  - **State Project Application** - The requirement for a State Project is that it must be located on, adjacent to or associated with the state highway system and be located within 75% of the ADOT right-of-way.
  - **Local Project Application** - The requirement for a Local Project is that it must be located outside of the ADOT right-of-way, sponsored by a Metropolitan Planning Organization (MPO) or Council of Government (COG) and incorporate a 5.7% local funding contribution.
  - **Statewide Application** - Project must involve multiple locations located within multiple MPO or COG regions. This may be either a Local or State sponsored project and is submitted directly to ADOT, not through an MPO or COG. Examples would be a study of historic ADOT roads located throughout the state or the development of educational information for distribution to school districts throughout the state.
  
- **Cover Image** – A cover image is not required. However, the applicant may import an image on the cover page to illustrate the proposal. To import an image, click anywhere inside the grey box using the mouse. At the prompt, select the image file from the computer hard drive. Once selected, Adobe Reader will automatically import the image to the grey box. The image can either be in a jpeg or gif format. The image size **must** be 800 pixels in width by 600 pixels in height.

A reset image button has been provided to allow a cover image to be deleted. This button will not appear when the application is printed. After an image is deleted a new image can be imported by again following the above instructions.
  
- **Specify Metropolitan Planning Organization / Council of Government Numerical Rank as assigned to the project (unless this is a Statewide Application, in which case select Unranked from the drop down list)** - Provide the MPO or COG information, as shown on page 17 of the application.

**Application Submittal Checklist**

- Each of the boxes reflects information required in the application submittal packet. All boxes must be checked for the application to be complete.

**Progress Report**

**If the applicant has any active Transportation Enhancement projects, provide the status summary for each project. Include milestones and schedule construction completion date. AND/OR if this application is for a new phase of any previously awarded project(s), provide a status summary for the phase(s)** - If applicable, include projects that have been awarded but may not have started the scoping/environmental effort of those that may be in the maintenance period of the construction contract. If the application is for a new phase of a previously awarded project, outline the status of the other phases of the project. *Note – This section is not for summarizing the project that you are applying for in Round 19.*

**Applicant Information**

**1. Applicant and Sponsor –**

Local Project. Provide the applicant/sponsor’s name.

State Project. Provide the name of the sponsoring ADOT District office. *Must be ADOT if the project is in ADOT right-of-way.*

2. **MPO/COG** - Provide the name of the MPO/COG that has endorsed this project.
3. **Date** - Provide the date of submittal of the application.

4. **Project Name and Limits –**

Project names cannot be longer than 50 characters.

Local Project. Include information in the following order: local street name; termini (limits) – the beginning and ending street names or spot location; and city or town. Local example: Reay Lane from Golf Course Road to Church Street, Thatcher.

State Project. Include information in the following order: State Route number; termini (limits) – the beginning and ending street names or spot location (include beginning and ending mileposts in parentheses); and city or town. State example: SR 80 3rd Street (MP 316.8) to 6th Street (MP 317.8), Tombstone.

Abbreviations are allowed such as St. for street or MP for mile post.

5. **Contact Person – Name and Title**

Local Project. Provide the name and contact information requested of the appropriate individual from the entity who will be the principal point of contact.

State Project. Provide the name and contact information from the ADOT District in which the project is located.

**Mailing Address** - Provide the mailing address of the contact person.

**City/Town** - Provide the city/town of the contact person.

**Zip Code** - Provide the zip code of the contact person.

**Phone Number** - Provide the phone number of the contact person.

**Fax Number** - Provide the fax number of the contact person.

**Email Address** - Provide the email address of the contact person.

6. **County** - Provide the name of the county where the project is located.

7. **Congressional District** - Provide the number of the Congressional District where the project is located.

8. **Alternate Contact Person – Name and Title**

Local Project. Provide the name and contact information for alternate contact person who may be reached in the event that main contact person is not available.

State Project. Provide the name and contact information for representative from the ADOT District office to be contacted in the event the primary District contact is not available.

**Mailing Address** - Provide the mailing address of the alternate contact person.

**Phone Number** - Provide the phone number of the alternate contact person.

**Fax Number** - Provide the fax number of the alternate contact person.

**Email Address** - Provide the email address of the alternate contact person.

## Project Activity Category

9. Project activities 1-12 are eligible for Transportation Enhancement funds. More information regarding the categories can be found at <http://www.fhwa.dot.gov/environment/te/teas.htm>.

Indicate the primary activity for the proposal with the number 1 (one). A proposal may be relevant in no more than two project activities. If applicable, indicate a secondary category with the number 2 (two). Select no more than 2 (two) activities applicable to the proposal. The proposal will be evaluated based on the primary activity.

- (1) **Provisions of Facilities for Pedestrians and Bicycles** - This category includes pedestrian related elements such as walkways, pedestrian bridges, multi-use pathways and sidewalks. It does not include such elements as vehicular travel lanes, traffic signals or crosswalks.
- (2) **Provisions of Safety and Educational Activities for Pedestrians and Bicyclists** - This category includes activities such as safety displays and educational activities related to surface transportation. These activities must have a broad and preferably regional distribution.
- (3) **Acquisition of Scenic Easements or Historic Sites** - This category includes those activities that enhance the travel experience while preserving the scenic or historic authenticity or integrity of the project site. The project site must be strikingly distinct from the surroundings and offer a memorable visual or historic experience.
- (4) **Scenic or Historic Highway Programs (including the Provisions of Tourist and Welcome Center Facilities)** - This category includes activities that relate to the scenic, historic, cultural, archaeological, recreational or natural qualities which contribute to a highway's designation as a scenic road. Separate grant funding is available for projects on state-designated scenic or historic roads under the ADOT Parkways, Historic and Scenic Roads program. This program is separate from the TE program and has separate submittal requirements.
- (5) **Landscaping and Other Scenic Beautification** - This category includes activities primarily for landscape installations, as well as the installation of street furniture such as benches, trash receptacles, etc. Landscape maintenance does not qualify under this program.
- (6) **Historic Preservation** - This category includes activities that have a strong transportation link and will retain their eligibility in the National Register of Historic places.
- (7) **Rehabilitation of Historic Transportation Buildings, Structures, or Facilities (Including Historic Railroad Facilities and Bridges)** - This category includes activities that require the rehabilitation of historic transportation related facilities such as highway maintenance facilities, train depots or bridges.
- (8) **Preservation of Abandoned Railway Corridors (Including the Conversion and Use Thereof for Pedestrian or Bicycle Trails)** - This category includes activities that preserve the integrity of an abandoned railway corridor. This category also includes the conversion of such corridors into pedestrian or bicycle trails such as the Rails to Trails program.

- (9) **Control and Removal of Outdoor Advertising** - This category includes activities that relate to the control or removal of outdoor advertising that affects the aesthetic quality of a roadway.
- (10) **Archaeological Planning and Research** - This category includes activities that relate to the planning and implementation of archaeological research related to surface transportation routes.
- (11) **Environmental Mitigation to Address Water Pollution Due to Highway Runoff or Reduce Vehicle-caused Wildlife Mortality While Maintaining Habitat Connectivity** - This category includes activities that address mitigation measures relating to highway runoff. Resultant construction may be for wildlife underpasses, bridges or fences.
- (12) **Establishment of Transportation Museums** - This category includes activities that relate to the establishment of transportation museums. This category requires the applicant to meet a series of seven (7) objectives to establishing and operating a transportation museum. These objectives are listed in the Transportation Enhancement Handbook.

For additional resources and information regarding incorporating aesthetic elements, contact the Arizona Commission on the Arts, 602-771-6502, [www.azarts.gov](http://www.azarts.gov), or [info@arts.gov](mailto:info@arts.gov).

## **Project Description**

**10. A. Provide Specifications and List all key elements of the project scope** - Include the following: project concept, length, mileposts, number of acres, functional classification and any additional pertinent information.

**10. B. What major construction, design, and right-of-way (ROW) work does the project entail. Describe any need for major land modification, retaining walls, etc.** - Include any major construction, design or ROW work that the project requires. The costs must be accounted for in the cost estimate included within the project application. The acquisition of ROW or long term leases may increase the project cost and lengthen the project schedule if railroads or other governmental entities are involved.

**11. A. Where is the project located?** - Describe the actual physical location of the project. Include beginning and ending locations of the route. Provide an 8-1/2 x 11 legible state map showing the location of the project in relationship to the state. Provide a separate 8-1/2 x 11 legible vicinity map showing the location of the project in relationship to the community including street names. For State Projects include beginning and ending mileposts. These two (2) maps are to be included in the appendix - see the appendix instructions for further information.

**11. B. Who owns the ROW of the proposed project?** - Fully research the ROW to determine land ownership. Provide verification and include a copy of the property map in the appendix, as per the Appendix instructions. County and local property information can be obtained and accessed through each county's web site. The State of Arizona maintains a useful interactive web tool that can locate each local government located at [http://az.gov/government\\_county\\_statemap.html](http://az.gov/government_county_statemap.html). For additional information refer to [http://www.azdot.gov/highways/SWProjMgmt/enhancement\\_scenic/enhancement/Enhancement\\_Common/Support\\_FAQs.asp](http://www.azdot.gov/highways/SWProjMgmt/enhancement_scenic/enhancement/Enhancement_Common/Support_FAQs.asp).

If the project is a rail corridor project and currently before the Interstate Rail Commission, provide status and projected approval timeframe.

**11. C. Are there any drainage issues to consider?** - Fully research the project site drainage to determine if there are any drainage issues. Describe if the preliminary drainage solutions pose any

potential impacts to Waters of the U.S. More information can be found at [www.azdot.gov/highways/EPG/EPG\\_Common/Services\\_Water\\_Quality.asp](http://www.azdot.gov/highways/EPG/EPG_Common/Services_Water_Quality.asp).

**11. D. Are utility relocations necessary?** - Fully research any utilities on site and describe any modifications or relocations necessary. More information can be found at [www.azdot.gov/highways/Utilities/team.asp](http://www.azdot.gov/highways/Utilities/team.asp).

**11. E. What is the proposed time frame for completion of the project?** - Provide a proposed schedule of project milestones with accompanying dates. Project must be advertised for construction prior to July 2016.

**11. F. Will the project be Americans with Disabilities Act (ADA) accessible?** - If the project will not be ADA accessible, please provide further information to explain why it cannot be accessible. More information can be found at [www.access-board.gov/ada](http://www.access-board.gov/ada).

**12. A. Identify the organization(s) responsible for on-going maintenance and repairs of the TE project.** - Indicate the local government entity responsible for the long term maintenance of the project once completed.

**12. B. Proposed on-going maintenance and repair program** - Indicate the local government program source that will be responsible for the long term maintenance of the project, i.e. Public Works streets program.

**12. C. Source of funds for on-going maintenance and repairs** - Indicate the local government funding source the will pay for the long term maintenance of the project.

*The information in question 12 is critical and must be answered fully due to the requirements. Prior to project construction, all projects will require a signed Joint Project Agreement (JPA) with the government sponsoring entity. If the project is a State project, the local government sponsor/applicant will be responsible for long term maintenance. If agreement is not signed the project will be terminated. It is a requirement that all Transportation Enhancement projects local or State be maintained by the local entity once completed. The JPA is a document developed by ADOT and signed off by the local entity who will assume responsibility for the long term maintenance of the completed project. More information about the JPA process can be found at [www.azdot.gov/highways/JPA/](http://www.azdot.gov/highways/JPA/).*

**13. A.** In order to avoid potential problems during the review process, the applicant is encouraged to consult with the State Historic Preservation Office (SHPO), in preliminary review of the application, to ascertain any potential Historic Preservation issues. If the project is located on tribal land with a Tribal Historic Preservation Office (THPO), the THPO should be contacted. All construction projects are of the type that could effect historic properties; and therefore all are defined as Federal Undertakings. In compliance with the National Historic Preservation Act, Section 106, review of Federal Undertakings is required, irrespective of the presence, or absence, of historic properties. Following project approval, all construction projects will be submitted by the Environmental Planning Group of ADOT, to the SHPO or THPO for review and comment, pursuant to 36 CFR Part 800. Additional information can be found at:

[www.azstateparks.com/SHPO/](http://www.azstateparks.com/SHPO/), [www.nathpo.org/THPO/state\\_list.htm#Arizona](http://www.nathpo.org/THPO/state_list.htm#Arizona), and [http://www.azdot.gov/highways/EPG/EPG\\_Common/Services\\_Cultural.asp](http://www.azdot.gov/highways/EPG/EPG_Common/Services_Cultural.asp).

**13. B.** Provide the name and the date of the applicant's contact with the SHPO or THPO.

**13. C.** Summarize the results of the preliminary review of the project by the SHPO or THPO and any next steps, if identified.

**13. D.** If the SHPO or THPO was contacted, explain why this contact was not initiated.

**14. A. Is the project on** – A planned transportation corridor, for purposes of this application, is a thoroughfare and its associated buffer zone for passage or conveyance of vehicle or people. Examples include: major roads, arterial roads, and highways for moving people and goods. If the project is proposed on a corridor or segment of a corridor that is planned or under construction, the scheduled completion date needs to be identified.

**14. B. Describe how the community was or will be involved in this project.** – Define the community being served with this project. Describe how the community has been or will be involved during the project's planning, scoping, design stages, and implementation. If the project has already completed a planning process with extensive public participation, identify the date the process was completed and local adoption or endorsement of the plan.

**15. Describe why the project is an enhancement.** - Describe how the project meets one or more of the twelve (12) federally eligible Enhancement categories described in the Project Activity section of the application and also in ADOT's Transportation Enhancement handbook. Detail should be added that explains how the project relates to the transportation infrastructure of the community, region and/or state. The description should also include whether the project will interconnect or remove barriers to other transportation facilities or destinations, if applicable. Items to consider when describing the enhancement: the project's proximity to a highway or a pedestrian/bicycle corridor, whether the project enhances the aesthetic, cultural, or historic aspects of the travel experience, and whether it serves a current or past transportation purpose. Specific examples can be found at [http://www.azdot.gov/highways/SWProjMgmt/enhancement\\_scenic/enhancement/Enhancement\\_Common/Support\\_FAQs.asp](http://www.azdot.gov/highways/SWProjMgmt/enhancement_scenic/enhancement/Enhancement_Common/Support_FAQs.asp).

**16. Approval of Authorized Official (Sponsor)** - Provide the project sponsor's contact information, along with their signature. Signatures may not be electronic. For local projects (involving more than 75 percent or more of the land outside of ADOT ROW), the sponsoring agency means the governing body of a county, city, or town, or, for projects that involve multiple governments, including federal agencies with land jurisdiction, concurrence and consistency with each government entity is required. State applications must be also signed by the ADOT District Engineer. State projects will use at least 75 percent of ADOT's ROW for the project. If there are questions regarding whether or not the project is a state project, please contact your ADOT District Engineer or MPO or COG representative.

**17. Project applications must also have the endorsement of the Metropolitan Planning Organization or Council of Government, unless it is a Statewide application.** - Provide the MPO or COG contact information, along with their signature. Signatures may not be electronic.

**18. Cost Estimate Review. State and Local Projects.** - The estimate must be prepared, or at a minimum reviewed, by a professional having a working knowledge and experience in estimating infrastructure projects and who agrees to sign and date this element.

# Arizona Department of Transportation Transportation Enhancement Program

## ROUND 19 COST ESTIMATE INSTRUCTIONS

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**Note:** The cost estimate comprises of pages C1 through C4 of the application submittal package.

### General Information

1. It is important that the estimate be a true, unbiased representation of the cost to develop the project in compliance with federal aid requirements and the ADOT Project Development Process.
2. The applicant is responsible for verifying all costs and their accuracy. The form will require that the estimate be prepared by an individual having working knowledge of MS Excel. The estimate must be prepared, or at a minimum reviewed, by a professional having a working knowledge and experience in estimating infrastructure projects and who agrees to sign and date the cost estimate review certification in the application form.
3. In general, estimating projects that cost at or below the maximum amount of federal funds available (\$750,000 for Local Projects; \$943,000 for State Projects) and whose components are all eligible for TEA funding (that is, beyond normal roadway work or are required as a direct result of the TE project) may simply require the preparer to enter values in the green cells, in which case the program will automatically calculate the sum of the totals, federal share (94.3%), and local match (5.7%). However, there are limitations to using this spreadsheet for complex, high dollar projects and projects having a mix of eligible and non-eligible items. In these instances, the estimator may need to manually override formulas and data entered into some cells, particularly where noted in these instructions.
4. List all items necessary to develop and construct or implement your project. Possible resources for unit prices include:
  - a. Professional cost estimating consultant services.
  - b. Consultations with manufacturers, suppliers, growers, and contractors.
  - c. Local government current bid tabulations and estimates on projects of similar scope, location, and unit quantities. Available from local DOT's, public works, engineering, parks & recreation departments.
  - d. ADOT historic unit price index program (Estimated Engineering Construction Cost program (E2C2) (<http://wwwa.azdot.gov/e2c2/HistoricalPrice.aspx>)).
  - e. RS Means Cost Books.
  - f. Cost estimating software.
5. The use of federal funds for project Scoping and Design is optional.
6. Local Projects:
  - a. For infrastructure projects, the bulk of federal aid requested shall be applied to project construction. As a general rule, the amount of federal funds requested for project scoping and design should not exceed 30% of the total amount of federal aid requested.
  - b. Cost overruns will be the responsibility of the Local sponsoring agency.
  - c. Costs related to donated material, materials produced by the prison industry, alternate add or deduct items, volunteer labor, or the use convict labor or the sponsoring agency's own forces for construction shall not be applied to this estimate by any measure.

- d. In-kind match is not permitted. The local match is addressed at the time payment requests are submitted for reimbursement by applying the percent of local share to eligible costs incurred or, for construction, deposited in an account with ADOT on local projects administered by ADOT.
  - e. The base fee addressed in this estimate for ADOT staff reviews and charges is an upfront fee funded 100% by the sponsoring agency that cannot be applied to the local match.
7. State Projects - To be eligible for State designation, the project must be on, adjacent to, or associated with the State Highway System, must be located on a minimum of 75% of ADOT ROW, and must have the signature and support of the appropriate ADOT District Engineer. State Projects shall not exceed \$1,000,000 in total project cost including the State match unless local funds are available to cover the overage. The source of this additional funding shall be identified in the application submitted for the State Project.
  8. Non-Infrastructure Projects are projects having no ground disturbing activities. Address only parts A.2 (WORKPLAN), C.4 (Itemized Costs), D (ADOT Review Fee), E (Total Project Cost), and F (Funding Breakdown). ADOT will issue the environmental clearance memo based on the final project description defined in the sponsor's detailed WORKPLAN.
  9. **All federal funds must have FHWA authorization prior to incurring any costs to be reimbursed.**
  10. Federal funds paid for reimbursement of costs incurred shall be returned to the Federal Highway Administration if the project is not constructed.

### **A. Scoping (Stage I - 15% Preliminary Engineering Design)**

Requesting the use of federal funds at this stage is optional. All projects must include the following costs regardless if the application is for a State or Local project. Regardless of any previous planning or design efforts, all projects will be required to have an approved scoping document and the National Environmental Policy Act (NEPA) clearance that addresses public scoping. Any previous planning and design work done for the project is ineligible for federal aid. For non-infrastructure projects, only #2, below, applies.

**1. Site Topographic Survey** - Enter estimated lump sum cost. The base map of all construction contract plans is required to be an accurate, professional, sealed topographic survey. On simple projects, aerial maps may be acceptable for Stage I design, but are not acceptable for use as base maps for plans prepared for final preliminary engineering (Stages II through PS&E) for showing current site conditions. For pre-design purposes (this application), a cost of 2% to 5% of the cost of construction may be used if more accurate costs are unavailable.

**2. Project Assessment Report** (infrastructure projects) or **Detailed Workplan Including Schedule and Costs** (non-infrastructure projects) - Enter estimated lump sum cost. For pre-design purposes, a cost of 5% of the cost of construction may be used if more accurate costs are unavailable.

**3. Environmental Determination** - Enter estimated lump sum cost. For infrastructure projects, include estimated costs for technical supporting documents. For pre-design purposes, anticipate \$20,000 to \$40,000 or more depending on the complexity of the project, if more accurate costs are unavailable. Note that projects requiring a geotechnical investigation will require a separate geotechnical environmental clearance.

**4. Hazardous Materials Assessment** - Enter estimated lump sum cost. Hazardous materials may include oils, heavy metals, asbestos, etc. For pre-design purposes, anticipate about \$1,500 if more accurate costs are unavailable. Enter \$0 in the unit price column if not applicable to the project.

**5. Subtotal – Project Scoping Costs** - The program will automatically sum the total of scoping line item costs and calculate the federal funds at 94.3% and local funds required for Stage I - 15% preliminary engineering design. If requesting less than 94.3% in federal funds, manually enter the new value here and adjust the values above, or enter \$0 in the federal column of each line item.

## **B. Final Design (Final Preliminary Engineering)**

Final preliminary engineering is Stages II, III, IV and PS&E (Plans, Specification and Estimate) of the project development process. These stages are also referred to as 30% and 60% preliminary design, 95% pre-final design, and 100% final design. These stages are usually not considered applicable to non-infrastructure projects, but all infrastructure projects must include these costs regardless if the application is for a State or Local project. Do not assume a project can be advanced by skipping any stage. If federal funds are used for design, the project shall not advance beyond Stage II (30%) until it has received environmental clearance.

**1. Right-of-Way Acquisition** - The right-of-way acquisition process is frequently costly and time consuming, must comply with the Uniform Act, and requires that awarded projects have NEPA clearance before any right-of-way activities commence. The sponsoring agency is encouraged to have clear ownership of all rights-of-way necessary to construction the project prior to submitting this application. If the acquisition of new right-of-way is anticipated and reliable costs are available, enter the estimated lump sum value for acquisition and administrative costs in the unit price column. The use of federal funds for reimbursement of right-of-way activities is optional.

**2. PS&E** - Plans, Special Provisions, Estimate. Enter the lump sum cost for contract bid document preparation. For pre-design purposes, enter an amount that represents 18% to 20% of construction costs if more accurate costs are unavailable.

**3. Geotechnical Investigation** - Enter the lump sum cost the geotechnical investigation, which include on-site borings or pits, laboratory testing, and preliminary and final geotechnical report and materials & pavement design reports. For pre-design purposes, enter an amount that represents 5% of the construction costs if more accurate costs are unavailable. Enter \$0 in unit price column if it is determine by a professional engineer upon consultation with the ADOT Materials Geotechnical Section that the project will have no geotechnical involvement.

**4. Drainage Report** - Enter the lump sum cost of the drainage investigation, calculations, and report. For pre-design purposes, enter an amount that represents 5% of the construction costs if more accurate costs are unavailable. Enter \$0 in unit price column if it is determine by a professional engineer upon consultation with the ADOT Roadway Engineering Group - Drainage Section that the project will not require a drainage report.

**5. Storm Water Pollution Prevention Plan (SWPPP)** - A SWPPP will be required if there is over 1 acre of total ground disturbance during project construction. Enter the lump sum estimated cost to prepare the SWPPP for the contract. For pre-design purposes, enter an amount that represents about 1% of construction costs if more accurate costs are unavailable. Enter \$0 in unit price column if the project will not require a SWPPP.

**6. Subtotal – Project Design Costs** - The program will automatically sum the total of design line item costs and calculate the federal funds at 94.3% and local funds required for final preliminary engineering. If requesting less than 94.3% in federal funds, manually enter the new value here and adjust the values above, or enter \$0 in the federal column of each line item.

## **C. Construction or Implementation**

When justified by accurate cost data, units of measure may be changed. For non-infrastructure projects, address only parts 4, D and F.

### **1. Hardscape Construction**

**Installation of SWPPP Measures** - A SWPPP will be required if there is over 1 acre of total disturbance. If a SWPPP is addressed above in Part B Design, enter the lump sum estimated cost for the contractor to implement the SWPPP. For pre-design purposes, enter an amount that represents 5% of construction costs if more accurate costs are unavailable. Enter \$0 in unit price column if the project will not have a SWPPP.

**Site Preparation** - Enter appropriate lump sum cost for site preparation for construction including clearing and grubbing, plant salvage, etc.

**Demolition** - Enter appropriate quantity and unit price for required saw cutting and removal of structures and other obstructions, fencing, structural concrete, asphaltic concrete pavement and concrete sidewalks and slabs.

**Hazardous Material Abatement** - This cost may be quite variable without having a final, approved Preliminary Initial Site Assessment (PISA). For a lack of accurate information at this time, enter an amount that represents 5% of construction costs. Enter \$0 in unit price column if reasonably reliable information suggests that no HAZMAT issues are anticipated.

**Utility Relocation** - Because of the exorbitant cost, the relocation of power lines is ineligible under the State Transportation Enhancement Program. Only the costs of utilities needing relocation as a direct result of the enhancement project are eligible for federal reimbursement. Enter \$0 in unit price column if it is anticipated that no utilities will need to be relocated.

**Retaining Walls** - This entry is for the ADOT standard reinforced concrete cantilever retaining wall priced at square feet of face above the footing. It is recommended that the use of other types of wall construction be based on consultations with a professional civil or structural engineer. Address other types of wall construction in Part 4, Other Construction Items.

**Earthwork** - Enter appropriate quantity and unit price for general excavation, drainage excavation, structural excavation, structural backfill, and borrow in place or imported.

**Aggregate Base** - The use of an aggregate base course would be supported by recommendations of the geotechnical investigation and materials design memo prepared during final project design, or to match a structural section of existing pavement or slab. Preliminary consultant with a professional engineer of ADOT Materials Pavement Design Section may be beneficial for pre-design purposes. Enter appropriate quantity and unit price for aggregate base course required for pavements and structures. Note: The applicant may refer to ADOT's Standard Specifications page at <http://www.azdot.gov/highways/ConstGrp/Contractors/StandardSpecifications.asp>. Aggregate base is discussed in Section 303 within Division III of the Standard Specifications, located online at: [http://www.azdot.gov/highways/ConstGrp/Contractors/PDF/2000\\_Standard\\_Spec/Sec301\\_307.pdf](http://www.azdot.gov/highways/ConstGrp/Contractors/PDF/2000_Standard_Spec/Sec301_307.pdf).

**Pathway or Sidewalk Materials** - If applicable, enter appropriate quantity and unit price for concrete, colored concrete, stamped color concrete, precast concrete pavers, asphaltic concrete pavements, or polymer or resin stabilized surface pavements.

**Crosswalk Enhancement** - If applicable, enter appropriate quantity and unit price for concrete unit pavers or interlocking pavers, stamped asphalt, stamped concrete, concrete, integral color concrete.

**Pedestrian ADA Ramp** - If applicable, enter appropriate quantity and unit price of ADA accessible curb ramps.

**Culvert Extensions** - If applicable, enter appropriate quantity and unit price for culvert extension required for the project. Insert additional rows to address additional culvert sizes.

**Pedestrian Lighting** - Enter appropriate quantity and unit price of pedestrian lights. The unit price should include conduit and trenching. Address other types of lighting wall in Part 4, Other Construction Items. The use of bollard style lights is discouraged since they are highly prone to vandalism. Roadway lighting and lighting used purely for architectural accent are ineligible for reimbursement.

**Handrail** - If applicable, enter appropriate quantity and unit price for standard or decorative safety railing required for the project, such as along retaining walls.

**Subtotal – Hardscape Construction** - The program will automatically sum the total hardscape construction item costs and calculate the federal funds at 94.3% and local funds required.

**2. Landscaping and Irrigation Items** - Enter appropriate quantity and unit price for the landscaping and irrigation materials shown. For the cost of landscape establishment, enter an amount that represents about 4.5% of construction costs if more accurate costs are unavailable.

**Subtotal – Landscaping and Irrigation Items** - The program will automatically sum the total of the landscaping and irrigation line item costs and calculates the federal funds at 94.3% and local funds required.

**3. Site Furnishings** - Enter appropriate quantity and unit price for the site furnishings shown.

**Subtotal – Site Furnishings** - The program will automatically sum the total of the site furnishing items proposed for the project and calculate the federal funds at 94.3% and local funds required.

**4. Other Construction Items** - List other project components not addressed in the above line items. These are usually items unique to a project, and itemized line items for non-infrastructure projects. Enter the unit of measure, quantity, and unit price. The program will automatically total the amount and calculate the amount of federal funds at 94.3% and local funds required to furnish and install/construct these items. If requesting less than 94.3% in federal funds, manually enter new amount or \$0 in the federal column. Insert additional rows within the form if necessary.

## **5. Mobilization and Administration Costs**

**Contractor Mobilization** - Enter the lump sum cost for contractor's mobilization. For pre-design purposes, enter an amount that represents about 8% of construction costs if more accurate costs are unavailable.

**Traffic Control** - Enter the lump sum cost for traffic control during construction. For pre-design purposes, enter an amount that represents up to 8% of construction costs if more accurate costs are unavailable.

**Construction Survey and Layout** - Enter the lump sum cost for contractor surveyor and layout of the project. For pre-design purposes, enter an amount that represents about 1% of construction costs if more accurate costs are unavailable.

**Construction Contingencies** - Enter the lump sum cost for a contingency amount to address unknown conditions during construction and minor errors omissions during design. For this

conceptual, pre-design stage, enter an amount that represents about 15% to 20% of construction costs. This amount should be reduced as design advances toward completion, about 10% for preliminary design Stages II and III and 5% for Stage IV pre-final design and PS&E.

**Construction Administration** - Enter the lump sum cost for construction contract administration (CA), which includes construction engineering (CE). ADOT typically applies an amount of 15% of construction costs.

**Subtotal – Mobilization and Administration Costs** - The program will automatically calculate the lump sum totals for contractor mobilization, construction layout, and traffic control, and the agency allowance for construction contingencies and contract administration. The program will also automatically calculate the federal prorata share for those costs at 94.3% and the amount of local funds required.

**Total Construction or Implementation Cost** - The program will automatically calculate the subtotal amounts for construction and construction administration.

#### **D. ADOT Review Fee**

Applicable only to Local Projects. The program automatically applies a base lump sum charge of \$5,000 for ADOT PE submittal reviews and staff charges. This fee cannot be applied to the federal participation or the Local match and is not a fixed fee. On State Projects, manually change the amount to \$0.

#### **E. Total Project Cost**

The program will automatically sum totals of line items cost in parts A-Scoping, B-Design, C-Construction or Implementation, and D-ADOT Fee.

#### **F. Summary of Federal and Non-Federal Funds**

**Box A: Total Cost for Project Development or Implementation** - The program will automatically enter the sum of the total cost for project scoping (Stage I), final design (Stages II through IV), and construction/implementation.

**Box B: Total Federal Funds @ 94.3%** - The program will automatically calculate the amount of federal funds for reimbursement, which will be 94.3% of the value shown in Box A. However, the maximum amount that can be requested for a Local Project is \$750,000, \$943,000 for a State Project. If the amount automatically calculated by this program exceeds the maximum amount allowed for a State or Local project, manually change value entered in Box B to the appropriate maximum amount.

**Box C: Total Sponsor Matching Funds @ 5.7%** - The program will automatically calculate the amount of the local match, which will be 5.7% of the value shown in Box A. However, the maximum amount that should be shown on this line is \$45,334 for Local Projects, \$57,000 for State Projects. If the amount automatically calculated by this program exceeds the maximum amount for the Local or State match, manually change value entered in Box C to the appropriate maximum amount.

**Box D: Total Sponsor Additional Funds (overmatch)** - The program will automatically calculate the difference between total project design and construction cost (Box A) and the federal funds and local match funds (Boxes B and C). However, enter the amount in Box A in excess, if any, of \$795,334 for Local Projects or \$1,000,000 for State Projects.

**Box E: Total Non-Federal Funds** - The program will automatically calculate the estimated non-federal funding portion of the project, which is the sum of Box C and Box D.

# Arizona Department of Transportation Transportation Enhancement Program

## ROUND 19 APPENDIX REQUIREMENTS

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### General Information

1. The maximum number of pages in the appendix is 19, plus the Right-of-Way delineation maps.
2. Every page in the appendix is to be consecutively numbered, beginning with the number one (1) as the first page.

### Mandatory/Required Appendices

#### 1. Local Government Resolution

- a. Required for all Local Project applications.
- b. If the cost of a State Project exceeds the federal cap, a Local Government must attach a resolution designating the overmatch responsibility. The resolution **can not exceed three (3) pages** and is included in the appendix total page count.
- c. Must be signed by an authorized official (Sponsor).
- d. Must include the following:
  - Commitment to a 5.7% match and any overmatch.
  - Commitment to funding project scoping document, environmental, right-of-way, and utility clearances, and design as applicable.
  - Commitment that the project will be ready for advertisement in 36 months from Notice-to-Proceed.
  - Commitment to pay for all cost overruns.
  - Commitment to reimburse ADOT/FHWA for all federal funds used if the project is cancelled by the sponsor.
  - Commitment to ADOT review fee.
  - Joint Project Agreement commitment.

#### 2. State Map

- a. **Maximum one (1), 8 1/2 x 11 inch page.**
- b. Must be a clear and legible electronic and hard-copy version. This includes street names and all pertinent information.
- c. Must include north arrow.
- d. Must include at a minimum all county boundaries with location and name of each county seat.
- e. Delineate the project location with a minimum ½-inch circle and label it as the project location.

*Note: The following link can be used to create a state map*

[http://www.adotenvironmental.com/EPG\\_Common/Documents\\_General\\_State\\_Map\\_Wizard.asp](http://www.adotenvironmental.com/EPG_Common/Documents_General_State_Map_Wizard.asp)

#### 3. Vicinity Map

- a. **Maximum one (1), 8 1/2 x 11 inch page.**
- b. Application reviewer/reader must be able to find the project location in the field using this map.
- c. Must include north arrow.
- d. Delineate project limits.
- e. Label street names and highway route numbers.

#### 4. Photos of Existing Location (Before Photos)

- a. **Maximum three (3) pages of photos.**
- b. Maximum six (6) photos per application.
- c. Must have minimum of one (1) color photo of existing project location.
- d. Minimum photo size - 3 x 5 inches. Maximum photo size - 4 x 6 inches.
- e. Photos must be labeled.
- f. Counts as one (1) page minimum and three (3) pages maximum (if including optional "after" photos)

#### 5. Letter(s) of Support

- a. **Must have minimum of one (1) letter** of support.
- b. **Maximum of five (5) letters**, each letter may not be longer than one (1) page.
- c. Counts as one (1) page minimum and five (5) pages maximum.

#### 6. Right-of-Way Ownership Documents

- a. Required for all activities except (2) and (10) from pages 3 and 4 of the application instructions.
- b. Include documentation as described in application question 11B.
- c. Property maps shall be counted as one (1) page total AND placed at the end of the Appendix.

### **Optional Appendices**

**Note:** The optional appendices are at the applicant's discretion, and will be included in the maximum page count of the Appendix.

#### 1. "After" Photos

- a. "After" Photos count as part of the **maximum six (6) photos** allowed per application.
- b. Minimum size - 3 x 5 inches. Maximum size - 4 x 6 inches.
- c. Maximum three (3) pages total of photos – this includes both "before" and "after" photos.

*Example: Three (3) "before" photos of the existing project location and three (3) "after" photos with two (2) to a page would be the maximum allowance of six (6) photos on three (3) pages.*

#### 2. Artistic Renderings

- a. Shall be counted in the total number of pages allowed in the Appendix and **shall not exceed two (2) pages.**

*Note: Renderings should depict the site condition, whether an existing condition or an "after" condition, as realistically as possible.*

#### 3. Site Plan and/or Profile

- a. **Maximum two (2), 8 ½ X 11 inch pages.**
- b. Must include north arrow.
- c. Must include the scale of drawing.
- d. Label property lines.
- e. Label street names, highway route numbers and any easements.
- f. Include dimensions of proposed structures.

*Note: Site Plans/Profiles shall show existing conditions; the proposed activity envelope; and the footprint of all proposed structures and other improvements*

#### 4. News Articles

- a. **Maximum two (2) pages.**