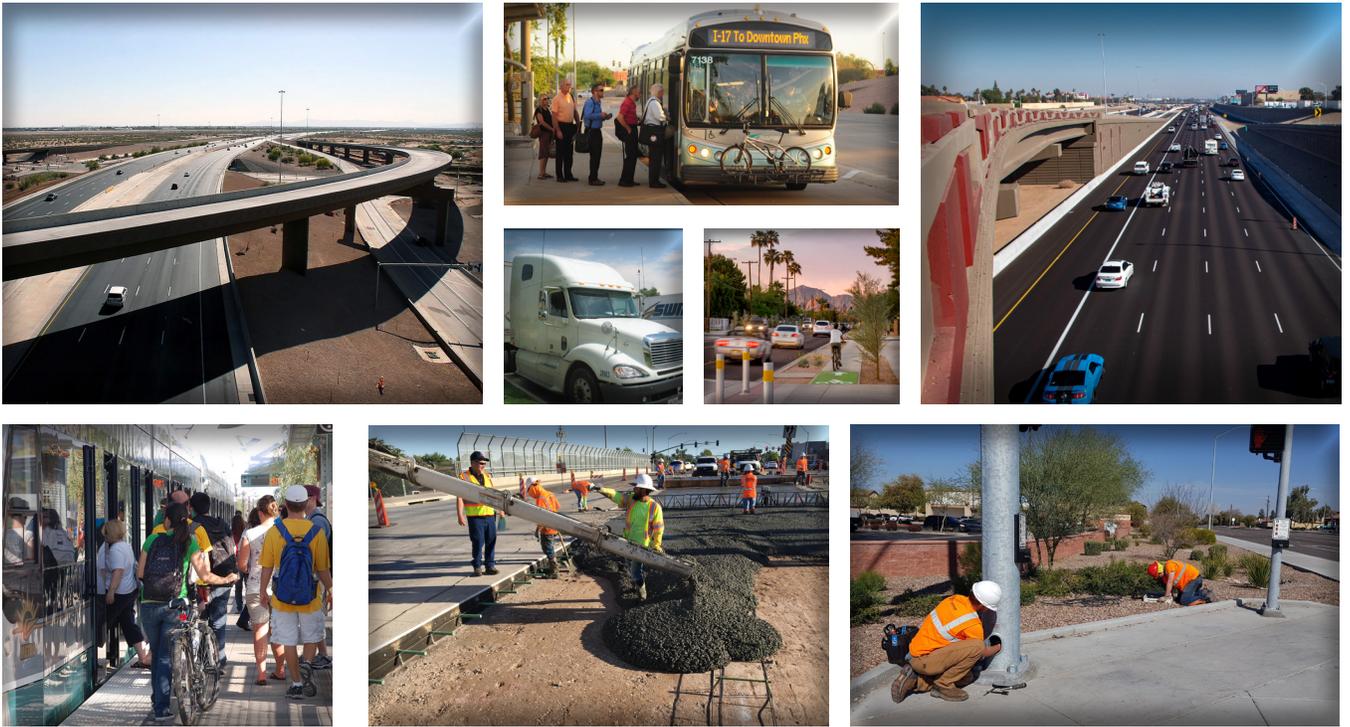


*Fiscal Year 2021*

# Transportation Programming Guidebook



**Maricopa Association of Governments**

August 1, 2020



**INFORMATION**



**RESOURCES**



**CONTACT**



**SCHEDULE**

**August 1, 2020**

This report was funded in part through grant[s] from the Federal Highway Administration and/or Federal Transit Administration, U.S. Department of Transportation. The contents of this report reflect the views and opinions of the author(s) who is responsible for the facts and accuracy of the data presented herein. The contents do not necessarily state or reflect the official views or policies of the U.S. Department of Transportation, the Arizona Department of Transportation, or any other State or Federal Agency. This report does not constitute a standard, specification or regulation.

**Title VI Notice to the Public  
Maricopa Association of Governments**

The Maricopa Association of Governments (MAG) hereby gives public notice that it is the policy of the agency to assure full compliance with Title VI of the Civil Rights Act of 1964, the Civil Rights Restoration Act of 1987, Executive Order 12898 on Environmental Justice, and related statutes and regulations in all programs and activities. Title VI requires that no person in the United States of America shall, on the basis of actual or perceived race, color, or national origin, be excluded from the participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which MAG receives federal financial assistance. Additional protections are provided in other federal and state statutes for discrimination based on religion, sex, disability, age, gender identity (as defined in paragraph 249(c)(4) of title 18, United States Code) or sexual orientation.

Any person who believes they have experienced discrimination under Title VI has a right to file a formal complaint with MAG. Any such complaint must be filed with MAG's Title VI Coordinator within 180 days following the date of the alleged discriminatory occurrence.

[Complaints should, at a minimum, include the following information:

- Your name and address, and a number at which you can be reached during business hours
- A general description of the person(s) injured by the alleged discriminatory acts
- A description of the alleged discriminatory act(s) in sufficient detail to enable the Title VI Coordinator to understand what occurred, when it occurred, and the basis of the alleged discrimination complaint (race, color, national origin, etc.)
- The letter must be signed and dated by the person filing the complaint or by someone authorized to do so on his or her behalf.]

For more information, or to file a complaint, please contact the Title VI Coordinator at (602) 254-6300.

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# Acronyms

ADOT	Arizona Department of Transportation
ALCP	Arterial Life Cycle Program
AQCA	Air Quality Conformity Analysis
AQTAC	Air Quality Technical Advisory Committee
BR	Highway Bridge Replacement and Rehabilitation Program (integrated into the National Highway Performance Program under MAP-21)
CMAQ	Congestion Mitigation and Air Quality Improvement Program
CMAQ PM-2.5	Congestion Mitigation and Air Quality Improvement Program, MAP-21 sub-allocated to PM-2.5 nonattainment areas (two areas in Arizona) only.
CMAQ-Flex	Congestion Mitigation and Air Quality Improvement flex to Transit
CMP	Congestion Management Process
CR	Continuing Resolution (Federal authorization)
CTOC	Citizens Transportation Oversight Committee
CY	Calendar Year (January 1st through December 31st )
EPA	Environmental Protection Agency
FAST Act	Fixing America's Surface Transportation Act, Surface Transportation Bill signed December 4, 2015
FFY	Federal Fiscal Year (October 1st through September 30th )
FHWA	Federal Highway Administration
FRA	Federal Railroad Administration
FTA	Federal Transit Administration
FY	Fiscal Year (July 1st through June 30th )
HES	Hazard Elimination Safety Program
HPMS	Highway Performance Monitoring System
HSIP-AZ	Highway Safety Improvement Program, programmed by ADOT
HSIP-MAG	Highway Safety Improvement Program, programmed by MAG
HOV	High Occupancy Vehicle
HURF	Highway User Revenue Funds
IM	Interstate Maintenance (integrated into the National Highway Performance Program under MAP-21)
ITS	Intelligent Transportation Systems
MAG	Maricopa Association of Governments
MAP-21	Moving Ahead for Progress in the Twenty first Century; Surface Transportation Bill signed July 6, 2012 (In place until December 4, 2015 through continuing resolutions.)
MPO	Metropolitan Planning Organization
NHS	National Highway System (integrated into the National Highway Performance Program under MAP-21)
NHFP	National Highway Freight Program, established in FAST Act.
NHPP	National Highway Performance Program, new in MAP-21 (Integrates SAFETEA-LU programs; IM, NHS, Bridge, and some STP funding)
OA	Obligation Authority (the total amount of FHWA funds that may be obligated in a year)
PAG	Pima Association of Governments
PL	FHWA Planning Funds
PM-2.5	Particulate Matter of 2.5 microns or less. Measurement of pollutant. CMAQ sub-allocated program for funding.
PTF	Public Transit Funds, Maricopa County Prop 400 allocation to Transit
P3	Public-Private Partnership
RARF	Roadway portion of Regional Area Road Funds, Maricopa County Prop 400 sales tax for transportation
RC	Regional Council, MAG
RPTA	Regional Public Transportation Authority (Valley Metro)
RTA	Regional Transportation Authority (Pinal County)
RTP	Regional Transportation Plan

# Acronyms

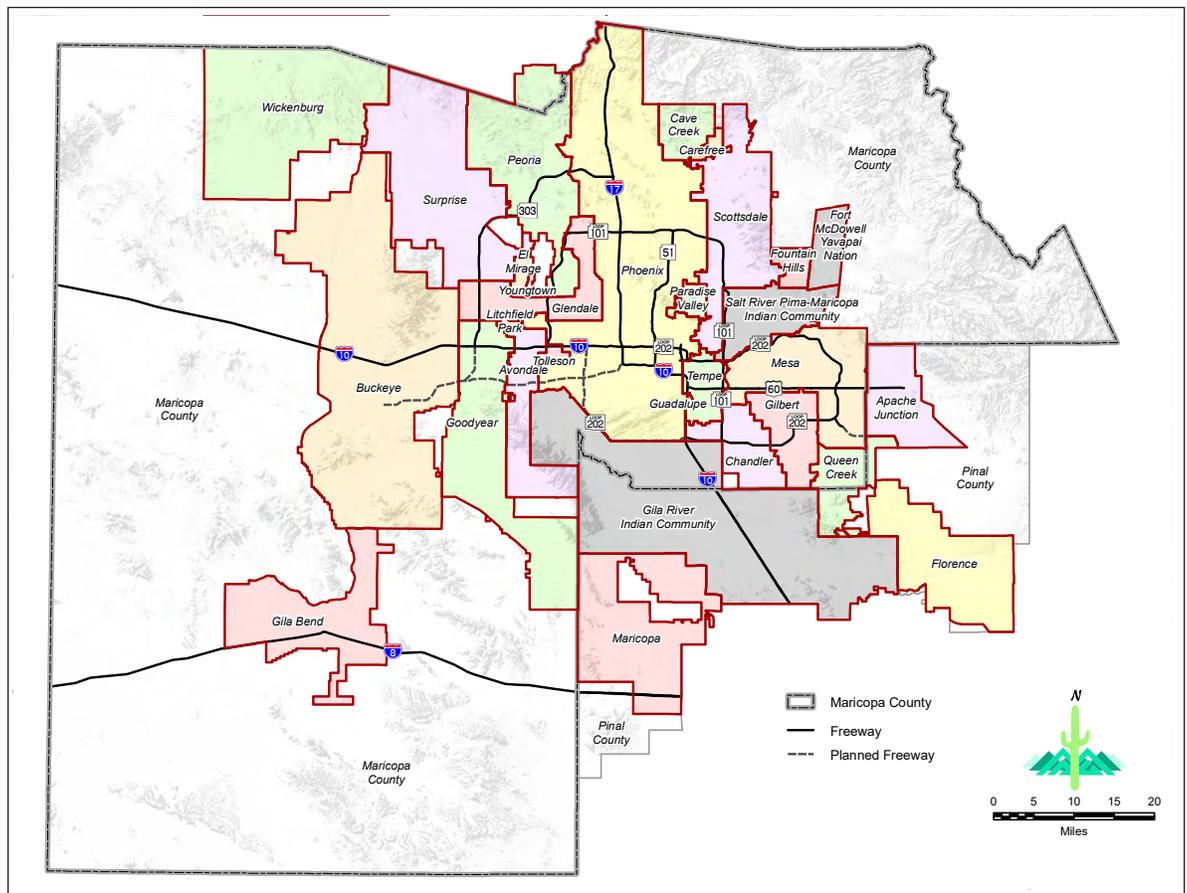
SAFETEA-LU	Safe, Accountable, Flexible, and Efficient Transportation Equity Act— A Legacy for Users. Surface Transportation Bill signed August 10, 2005. (In place until October 1, 2012 through continuing resolutions.)
SCMPO	Sun Corridor Metropolitan Planning Organization
SFY	State Fiscal Year (July 1st through June 30th )
SRTS	Safe Routes to School, (SAFETEA-LU program; sunset, now a part of Transportation Alternatives)
STAN	Statewide Transportation Acceleration Needs
STIP	State Transportation Improvement Program
STBGP	Surface Transportation Block Grant Program is a FHWA program under the FAST ACT that converts the long-standing Surface Transportation Program into the Surface Transportation Block Grant Program acknowledging that this program has the most flexible eligibilities among all Federal-aid highway programs.
STBGP-MAG	Surface Transportation Block Grant Program funding designated for the MAG Region, programmed by MAG (federal notation STBG Program)
STBGP-AZ	Surface Transportation Block Grant Program funding designated for the State of Arizona, programmed by ADOT (federal notation STBG Program)
STBGP-Flex	Surface Transportation Block Grant Program funding flex to Transit (federal notation STBG Program)
STBGP-HES	Surface Transportation Block Grant Program—Hazard Elimination and Safety (federal notation STBG Program)
STBGP-HIP	Surface Transportation Block Grant Program—Highway Infrastructure Program (special one-time federal appropriate for FFY 2018 through FFY 2020)
STBGP-RR	Surface Transportation Block Grant Program—Rail Road Crossing (federal notation STBG Program)
STP-TE	Surface Transportation Program—Transportation Enhancements (moved to Transportation Alternatives under MAP 21 (federal notation STBG Program)
TA-MAG	Transportation Alternatives funding designated for the MAG region: Revised in FAST Act to a sub-allocation of the Surface Transportation Block Grant Program (STBGP). (Includes Transportation Enhancements, Safe Routes to School, Recreational Trails from SAFETEA-LU) funding for the MAG Region, programmed by MAG. Part of the federal notation STBG Program.
TA-AZ	Transportation Alternatives funding designated for the State of Arizona, programmed by ADOT. Part of the federal notation STBG Program.
TAC	Technical Advisory Committee
TCM	Transportation Control Measures
TERC	Transportation Enhancement Review Committee
TIP	Transportation Improvement Program
TLCP	Transit Life Cycle Program
TPC	Transportation Policy Committee
TPP-BIA	Tribal Transportation/Bureau of Indian Affairs funding
TRC	Transportation Review Committee
U.S. DOT	United States Department of Transportation
UZA	Urbanized Area
YOE	Year of Expenditure (in U.S. dollars)
5303	FTA Section 5303 Metropolitan Transit Planning
5304	FTA Section 5304 Statewide and Nonmetropolitan Transit Planning
5305	FTA Section 5305d, Metropolitan Transit Planning (MAP-21)
5307	FTA Section 5307 Urbanized Area Transit (implies Phoenix-Mesa UZA)
5307 AVN	FTA Section 5307 Urbanized Area Transit (implies Avondale-Goodyear UZA)
5309 NS	FTA Section 5309 New Starts Competitive Program > \$75 M
5309 SS	FTA Section 5309 Small Starts Competitive Program < \$75 M
5339	FTA, Bus and Bus Facilities Formula, MAP-21 (previously Section 5309 Competitive Program SAFETEA-LU)
5337	FTA Section 5337 State of Good Repair Formula Grant MAP-21
5310-AZ	FTA Section 5310 Elderly /Disabled Transit Assistance Program, ADOT programs the Avondale-Goodyear UZA, and all rural areas in the state.
5310-MAG	FTA Section 5310 Elderly /Disabled Transit Assistance Program, MAG programs the Phoenix-Mesa UZA

# INTRODUCTION

The Maricopa Association of Governments (MAG) Transportation Division is responsible for managing the region’s *Transportation Improvement Program (TIP)*; developing the long range *Regional Transportation Plan (RTP)*; facilitating the regional competitive programs process; modeling roadway conditions; implementing congestion reduction methods; developing and implementing performance measures; conducting long range transportation planning activities; and working with its member agencies through the MAG Committee Process to identify regional priorities and policy direction. The MAG planning area includes all of Maricopa County and portions of Pinal County, encompassing 10,655 square miles.

The purpose of the *Transportation Programming Guidebook* is to provide MAG member agencies information, instructions, and deadlines on the region’s different transportation programs. This publication does not duplicate the information in the RTP or the TIP, but is a compilation of resources available to member agencies on how transportation projects are programmed in the MAG Region. The Guidebook explains the available transportation funds, funding allocations, projections, and also serves as a source to find the different requirements, resources, policies, processes, schedules, and contact information organized by types of transportation projects.

MAG  
Municipal  
Planning Areas  
Map.



## *FY 2021 Transportation Programming Focus Areas*

In FY 2021, MAG will supplement programming the *FY 2020-2024 MAG TIP* based on updated revenues and federal awards as information is available. The *2040 MAG Regional Transportation Plan Update (RTP)* that was approved by the MAG Regional Council in February 26, 2020 will continue to be the document that guides long-range transportation development in the region. In FY 2021, MAG will focus on:

1. Processing project changes and amendments to the FY 2020-2024 MAG TIP and 2040 MAG RTP Update, the TIP and Plan will use the current financial models, assumptions, methodologies, and programming processes. Actual federal aid revenues may be included for informational purposes.
2. Initiating and completing a Call for Projects for FY 2021 Certified PM-10 Street Sweepers, FY 2022 Roadway Safety Program, FY 2023-2024 Pinal County Arterial-Bridge, FY 2023-2024 Non-infrastructure Safe Routes to School, and programming Federal Transit Administration funding as needed. See [Section 6](#) for additional information.
3. Continue digitization and web-based online application development for each transportation mode. PM-10 Certified street sweeper online application was implemented in FY 2019. Paving of Unpaved Roads was completed in FY 2020. Additional applications may be piloted for FY 2021.
4. Generate and update the transit Program of Projects based on announced federal apportionments.
5. Conduct Closeout of federal fund programs.
6. Integrate new transportation performance measures as information becomes available.
7. Maintain regular processes, such as updating the regional lifecycles for freeways and highways, arterials, and transit.
8. Conduct the Closeout of the RARF component of the ALCP.
9. Develop enhanced TIP reporting elements.

The MAG regional transportation programming, planning, and modeling processes have been designed to respond to federal and state mandates directed at the metropolitan transportation planning processes. The MAG region will continue transitioning from the requirements of the federal transportation authorization acts Moving Ahead for Progress in the Twenty-First Century (MAP-21) to Fixing America's Surface Transportation Act (FAST

P.L. 114-94

# Fixing America's Surface Transportation (FAST) Act

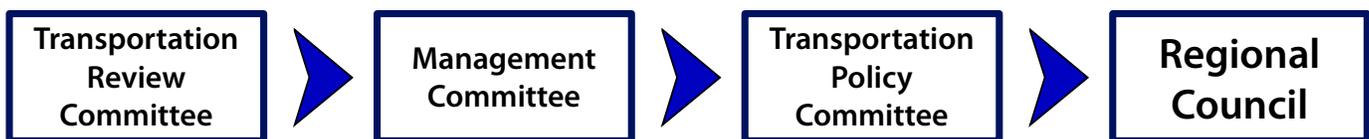


U.S. Department  
of Transportation  
Federal Highway  
Administration

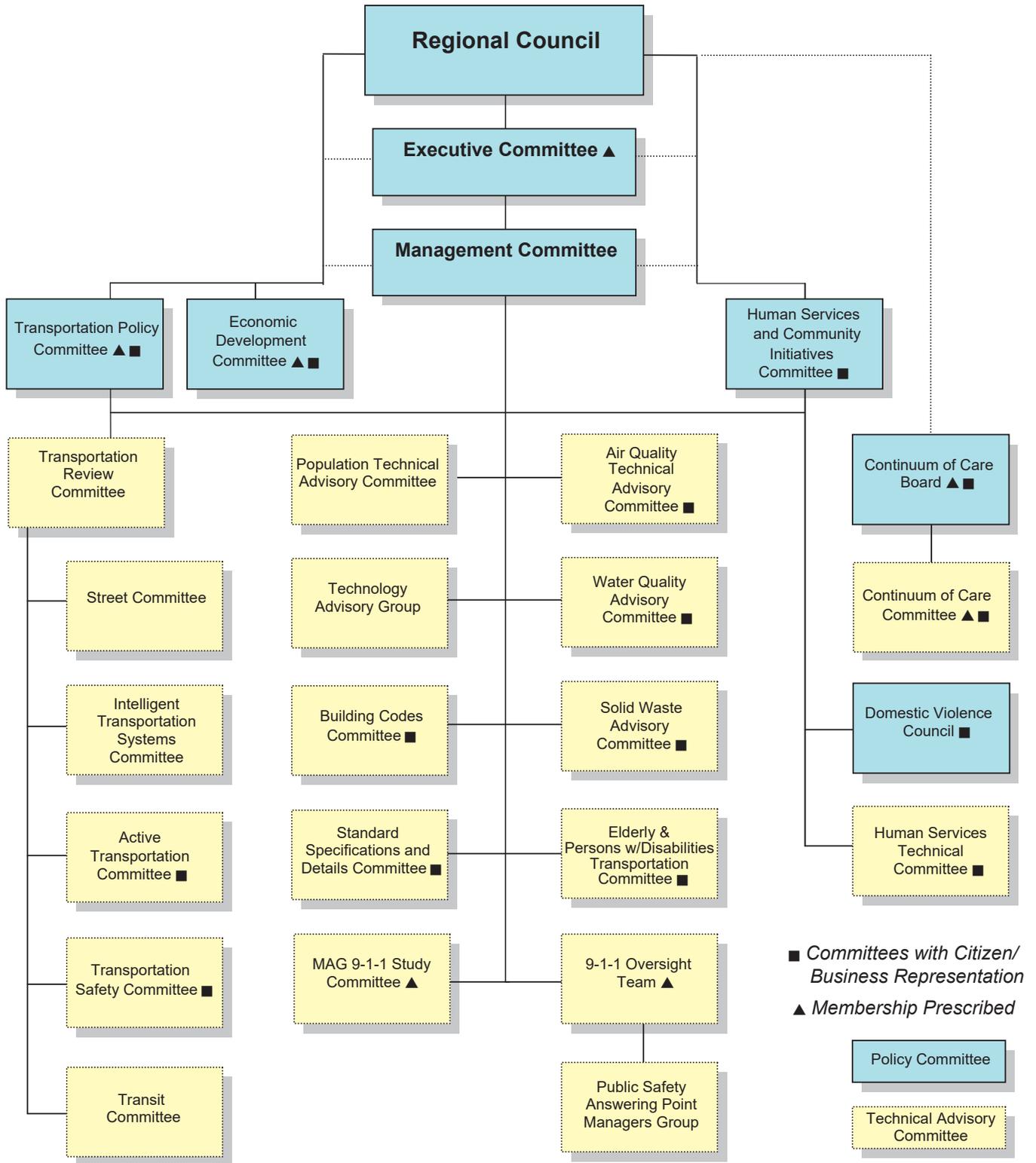
Act), which was signed into law on December 4, 2015. Additional guiding regulations, statutes, and requirements (including the Arizona State statutes related to regional planning, regional area road fund, and public transit fund) guide the MAG transportation processes. MAG is integrating the FAST Act into current planning and programming as federal direction is received for the specific programs and apportioned funding. If there are significant changes to guidance, funding, or schedules in the Guidebook, MAG member agencies will be notified, and a new Guidebook may be issued.

The MAG Committee Process is an integral part of the transportation programming process and is responsible for reviewing and approving the multiple stages of programming and RTP development. Transportation decisions begin at the modal level committees and move through the approval process. (See *committee chart* [page 4](#).)

The typical progression for transportation project approval decisions:



# MAG Committee Structure



# REGIONAL TRANSPORTATION PROGRAMMING

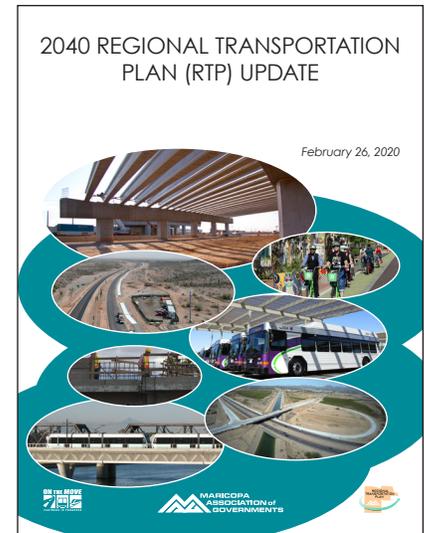


## 2040 MAG Regional Transportation Plan Update & FY 2020-2024 MAG Transportation Improvement Program



RESOURCES

The 2040 MAG Regional Transportation Plan Update (RTP) and the Fiscal Year (FY) 2020-2024 MAG Transportation Improvement Program (TIP) were approved by MAG Regional Council on February 26, 2020. The current approved TIP documents transportation project development phases occurring between 2020 and 2024.



For more information about the 2040 MAG RTP Update, please see the RTP web page: [www.azmag.gov/RTP](http://www.azmag.gov/RTP)

For more information about the FY 2020-2024 MAG TIP, please see the TIP project page: [www.azmag.gov/TIP](http://www.azmag.gov/TIP)

**The FY 2020-2024 MAG TIP is an element of the MAG 2040 MAG RTP Update, which is the region's long-range transportation plan.** Projects included in the FY 2020-2024 MAG TIP are drawn from projects defined in the RTP and major elements of the RTP, such as the life cycle programs for transit, arterial streets, and freeways, as well as the MAG Federal Fund Program.

The FY 2020-2024 MAG TIP is a listing and program of transportation projects covering a five-year period and to meet federal requirements, reports on all projects programmed with federal funds identified in Title 23 and Title 49 - Chapter 53 of the US Code and on all regionally significant projects no matter the funding source. The TIP also reports on projects that have obligated with federal funds in the most recent previous federal fiscal year.



MAG defines a regionally significant project as:

- A transportation project that is on a facility which serves regional transportation needs (e.g., urban freeways, other urban or rural principal arterials; and the one-mile grid street network and extensions thereof), and would normally be included in the modeling of the transportation network. Transportation projects that are greater than one-half mile in length, impact freeways or freeway interchanges, alter the number of striped through-lanes for motor vehicle use, or are reflected in the transportation network used by MAG for regional transportation modeling purposes.
- Fixed guideway transit facilities (e.g., trackage for light rail service, or dedicated busways) that serve regional transportation needs. The government agency with jurisdiction for approving the project is responsible for determining whether or not a transportation project is regionally significant and providing information on the regionally significant projects through the interagency consultation process to MAG.



#### RESOURCES

For more information about transportation programs, reports, and studies in the MAG region, please go to: [www.azmag.gov/Programs/Transportation](http://www.azmag.gov/Programs/Transportation).

### *Transportation Projects Listed in the Current TIP*

The FY 2020-2024 MAG TIP is available in PDF format, and complete updated Excel tables for transit and highway projects are also available. As amendments and administrative modifications are approved, the TIP web page and the comprehensive TIP listings in Excel sheets will be updated.

For up-to-date listings of projects in the current TIP, meetings, agendas and minutes, a Resource Library, and other items related to the TIP, please visit:

<http://www.azmag.gov/TIP>

### *Changes to Transportation Projects*



#### INFORMATION

MAG member agencies play a critical role in providing information for transportation projects that are included in the TIP and RTP. To ensure that the region complies with all applicable air quality plans, regulations, laws and to ensure the timely completion of federally funded projects, all regionally significant projects, regardless of funding source, and all federally funded transportation projects need to be represented accurately in the TIP. Failure to accurately include a regionally significant project can result in a third party lawsuit against the project sponsor per the provisions of the Clean Air Act Amendments of 1990. It can also bring into question adopted regional air quality plans thereby placing the region's federal funding in jeopardy. Additional documentation, project development schedule(s), project status report(s), financial commitment, and project overview or application may be required.

Per the most recently adopted federal transportation act and its immediate predecessors, all projects that are to receive federal transportation funding in an urbanized area such as the MAG region must be accurately reflected in the region's TIP. Failure to appear in the TIP or substantial variance with regard to the project's location, scope, and year to be authorized will result in a denial by the appropriate federal authorities to commit federal funding for the project. All funding expended on a project prior to this commitment is not eligible for federal reimbursement.

MAG has placed a Project Change Form (an Excel spreadsheet) on the TIP page of the MAG website for member agencies to request project changes. The types of changes to request include the following:

1. Adding new federally funded or regionally significant projects to the TIP.
2. Deleting federally funded or regionally significant projects from the TIP.
3. Changes to the following items listed for regionally significant and federally funded projects in the TIP: year programmed, project location, project work description, length of the project, number of through lanes before the project is completed, number of through lanes after the project is completed, and/or source and amount of funding.



#### RESOURCES

To download the Project Change Form, use the following link:

<https://www.azmag.gov/LinkClick.aspx?fileticket=79WNoDRvfzY%3d&tabid=541&portalid=0&mid=3870>

Additional instructions and a sample of the document are included in [Appendix A](#).



#### CONTACT

To submit the completed form to MAG, member agencies should e-mail the form to Stephen Tate at the following e-mail address:

• [state@azmag.gov](mailto:state@azmag.gov)

Once the *Project Change Request Form* is submitted, MAG will review the request and as appropriate, initiate the process to modify the TIP and related plans (e.g., the RTP) and programs (e.g., the ALCP, TLCP, FLCP) to incorporate the changes.

Consistent with the policies as approved by the Regional Council, MAG staff has the authority to directly request approval from the appropriate state and federal authorities of the following types of clerical changes for projects programmed in the TIP:

- Revision of a project description that does not change the project scope or conflict with environmental documents.
- Cost decreases.
- Changes in the source of funds.
- Split or combine individually listed projects (provided cost, schedule, and scope remain unchanged).
- General clerical errors for spelling, etc.

All other project changes are required to be heard through the MAG Committee Process, concluding in Regional Council approval prior to submission to the appropriate state and federal authorities for review and concurrence.

To facilitate state and federal review, project changes are classified as either administrative modifications or amendments. Administrative modifications include the following types of project changes as defined by the Federal Highway Administration:

- Revision of a project description without changing the project scope or conflicting with the environmental document.
- Revision of funding for project phases. Additional funding is limited to the lesser of 25 percent of the total project cost or \$5 million.
- Cost increases.
- Change in a project lead agency.
- Program federal funds for advance construction conversion.
- Change in the program year of funds within the four-year Federal Transportation Improvement Program (FTIP)/State Transportation Improvement Program (STIP) – provided Expedited Project Selection Procedures are in place.
- Change in required information for grouped or lump sum project listings.
- Program FTA projects from the previous FTIP. Prior year funding must be differentiated from the current year funding by including a narrative in the project description or in the Metropolitan Planning Organization (MPO) comment area.
- Minor changes to the FTA-funded, grouped project listings. Minor changes include changing the number of transit vehicles purchased by 20 percent or less and changes to the fuel type of transit vehicles.

All other types of changes are to be heard through the MAG Committee Process, including the addition and deletion of projects that are defined as amendments.

## Special Considerations for Certain Regionally Significant Projects

During project development, changes to projects are required to be reflected in the TIP project listing. These changes may require a TIP amendment. In addition to TIP amendments, some types of project changes may affect the transportation and air quality modeling assumptions made for the most recent regional emissions analysis on the TIP and RTP, and require a new conformity determination. Examples of project changes that would require a new conformity determination include:

- The addition or deletion of a regionally significant road or transit project.
- Changes to the design scope of a regionally significant road or transit project (e.g., changes to the length of project or the number of striped through-lanes available for motor vehicle use).
- Changing the completion date of a project that results in a change to the planned transportation network(s) used for the regional emissions analysis. For this year, the proposed analysis years are:
  - Maricopa Nonattainment and Maintenance Areas: 2020, 2025, 2035 and 2040 build assignments.
  - Pinal PM-10 and PM-2.5 Nonattainment Areas: 2025, 2035 and 2040 build assignments, and 2025, 2035, and 2040 no build assignments.

Projects that are regionally significant or that the federal aid where the project is physically located within two or more transportation planning areas shall be fully listed in each of the planning areas TIPs with a notation as example; “the project resides in both the MAG and the SCMPO planning regions.”

## Material Change Policy for the MAG Freeway Life Cycle Program

In May, 1998 MAG adopted policies regarding material changes for the MAG Regional Freeway and Highway Program. Updates to the Material Cost Change Policy were approved by the MAG Regional Council on December 6, 2017. The currently approved policy is listed below:

- 1. Program Amount:** Funding specified by the MAG Regional Council for a Regional Freeway and Highway Program project, including but not limited to, the pre-construction, design, right-of-way, utilities, and construction phases. Other phases may be defined for a project jointly by MAG and ADOT on a project-specific basis as the project’s program amount is recommended to the MAG Regional Council.
- 2. Material Cost Change:** An increase to the project’s program amount that is more than five percent (5%) overall, but not less than \$500,000. The increase is applicable across all project development phases of the project. Material cost changes less than \$500,000 will be monitored quarterly and cumulated to identify when a project’s

program amount is greater than five percent (5%) overall. When cumulative increases exceed five percent (5%) of the project's program amount, or \$500,000, then a subsequent increase request will need MAG Regional Council approval. Phases added to a project after the program amount is defined by the MAG Regional Council will be considered a material change.



- 3. Material Scope Change:** A change in a project scope that results in a material cost change and all scope changes that modify project limits by a mile or more, a horizontal alignment change outside of the adopted corridor limits that requires an updated environmental assessment, a vertical alignment or cross-section profile modification that causes the profile classification to change from depressed, at grade or elevated, changes to an interchange location of 1/4 mile or more, adds design elements (including additional lanes), or adds a new project to the program. Any scope change that causes a material cost change to occur must be approved by the MAG Regional Council.
  - a. If the material scope change is requested by a local jurisdiction and meets the definition of an enhancement, then the local jurisdiction also must provide the necessary funding to complete the enhancement. If the material scope change is requested by ADOT, the cost of the scope change, if approved, can be paid from Regional Freeway System funding with the concurrence of the Regional Council. (See A.R.S. 28-6353)
  - b. According to A.R.S. 28-6351, enhancement means an addition that exceeds generally accepted engineering or design standards for the specific type of facility. ADOT should ensure that the design elements of each new segment meet generally accepted engineering or design standards adopted or accepted for general use by ADOT and are supported by traffic volumes and patterns, the need to serve major public facilities and the need to provide a balanced, multi-modal transportation system for Maricopa County.
- 4. Material Schedule Change:** A change in the approved schedule for the start of design, right of way, or construction that causes: (1) completion to be delayed by more than three months, or, (2) the completion of the construction phase of the segment to be delayed beyond the year shown on the latest Certified Regional Freeway System map. For the purposes of this policy, completion means that the segment is open to traffic.
- 5. Annual Program Update:** Material changes will be noted annually in April, when MAG updates the program amounts for each project in the Freeway Life Cycle Program. Material cost changes may be completed on an individual basis if needed.

All approved project change requests and MAG staff administrative modifications will be submitted to ADOT, FHWA, and FTA for modification in the MAG TIP and State TIP (STIP). These requests will be processed through the MAG committee process. Please note: MAG project changes receive final approval to be included in the Statewide Transportation improvement Program (STIP) by ADOT, then by FHWA and FTA. The approved FHWA and FTA amendments have a different amendment/administrative modification approval numbers than the MAG approval numbers.

### Major Amendment to the Regional Transportation Plan (RTP)

According to A.R.S. 28-6301, a major amendment to the RTP is necessary for any projects which involve:

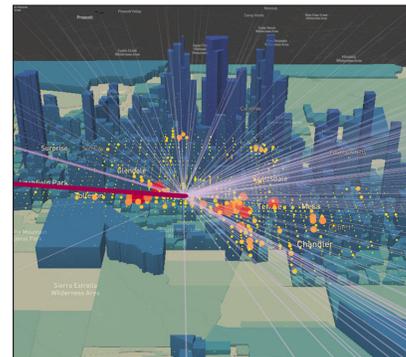
- (a) The addition or deletion of a freeway, route on the state highway system, or a fixed guideway transit system.
- (b) The addition or deletion of a portion of a freeway, route on the state highway system, or a fixed guideway transit system that either exceeds one mile in length or exceeds an estimated cost of forty (\$40) million dollars as provided in the regional transportation plan.
- (c) The modification of a transportation project in a manner that eliminates a connection between freeway facilities or fixed guideway facilities.

Major amendments require a higher level of review through the MAG Committee Process. Member agencies should contact MAG staff regarding any project changes which may require a major amendment.



## *Transportation Modeling and System Analysis*

The regional transportation planning process requires analysis and forecasting of travel demand and level of service provided by the regional transportation system. This information is fundamental for timely recognition of the future transportation challenges and development of appropriate planning solutions. It is important to perform these functions on a regional level, so that system-wide effects and interrelationships between different elements of the transportation system can be properly reflected.



The FAST Act emphasizes the need for data, analytical methods, and modeling techniques that are reliable, defensible, reasonably current, and meet quality requirements. MAG has conducted a number of major technical activities, including data collections, model updates, developments and improvements of travel forecasting tools that were aimed at ensuring compliance with requirements of the act and relevance to the needs of MAG member agencies. The transportation modeling and system analysis component of the regional transportation programming involves collecting, maintaining, analyzing, forecasting, and delivering information relevant to the regional transportation infrastructure. Information collected from the member agencies on RTP and TIP relevant projects provides one of the critical inputs to the analysis and forecasting of the regional transportation system. The information is used by MAG, its member agencies, and the consulting community working on local and regional planning and design projects. Travel simulations and data produced by the Transportation Technology and Service Division serve as a major input for local highway and transit planning and design efforts as well as for regional transportation planning and air quality analysis.

During FY 2020, MAG staff successfully completed modeling efforts for the Air Quality Conformity Analysis, TIP, and RTP relevant work. These efforts are a part of the MAG business process and will continue in FY 2021-2022.

During FY 2019, MAG successfully initiated Regional Special Events Survey. The survey will provide data necessary to update and in development of regional transportation models and to identify additional travel demand from planned special events. The Special Event Model development work will continue in FY 2021-2022. MAG has completed acquisition of commercial vehicle GPS data sets that together with GPS survey data provide a unique insight in regional freight and passenger travel patterns. MAG also completed data purchases of the location-based service data for the Regional External Travel study which was successfully completed. MAG acquired new bicycle and pedestrian data that will be made available to MAG member-agencies, and, as part of the FY 2020-2021 UPWP, MAG initiated the planning and collection of region-wide non-motorized traffic counts. The data will be an important input to regional multimodal planning and modeling.

MAG fully completed region-wide traffic data collections in 2019. The traffic data collections and commercial data acquisitions will continue in FY 2021-2022. The data is a critical component in transportation forecasting model development, performance measurement, and transportation system analysis. MAG continued to closely coordinate with ADOT and the local jurisdictions on traffic counts and formed a coordination group with ADOT staff. Traffic data is available from MAG traffic data web portal at [www.magtrans.org](http://www.magtrans.org).

MAG has been carefully monitoring impact of COVID-19 situation on the regional traffic and travel patterns. A dedicated webpage with detailed traffic and travel analysis is being updated on a weekly basis. In order to monitor impact on the regional transportation system and forecast future scenarios relevant to COVID-19 impact, increased telecommuting, and other emerging phenomena MAG has purchased and analyzed a number of innovative data sets and data products, that provide additional insight into changes in regional travel demand and vehicular and passenger flows.

MAG proceeded with work on improvement and development of major modeling tools required to support regional transportation planning processes. MAG completed the recalibration work of major components for the Trip Based and Activity-Based models based upon the most recent available travel surveys and other data sources. MAG successfully applied the Trip Based as well as the Activity-Based travel demand forecasting model for planning purposes and to fulfill requests from MAG stakeholders. MAG proceeded with integration of the Activity-Based Model with Dynamic Traffic Assignments (DTA). These efforts were pioneered by the FHWA SHRP2 program and MAG is capitalizing on the results of the previous developments. The ABM-DTA integration projects will continue in FY 2021-2022. MAG will also continue to enhance various components of the forecasting models in FY 2021-2022. This includes the development of automated procedures for integration of the land use model into the travel forecasting models.

The microsimulation model proved to be very useful and has been used for important technical requests from MAG stakeholders. MAG continued to maintain, develop and apply the MAG four-step based model to ensure that it represents state-of-the-practice and capitalizes on latest advances in the field. The model was applied for many highway and transit projects.

MAG transportation data management and modeling staff responded to numerous requests from MAG member agencies, federal agencies, MAG planners, and other parties and collaborated on a number of efforts of mutual interest with US DOT, MPOs, research institutions, and other relevant organizations. MAG provided travel demand forecast, data and analysis for a variety of multimodal projects of regional significance. The technical services scope expanded to include advanced analytics, GPS data analysis, and activity-based travel demand forecasting and traffic microsimulation for the purposes of economic development and scenario testing.

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## *Performance Measurement Program*

### History and Requirements

The process of creating the Performance Management Program at MAG began in 2008 with the development of the Performance Measurement Framework and Congestion Management Update Study. The program was formally initiated in 2009 with the participation of MAG Member Agency modal committee representatives, as well as RTP partners including Arizona Department of Transportation (ADOT) and Valley Metro/Regional Public Transit Authority (RPTA). The intention of the program has been to provide a functional component that links planning and programming activities, using performance data and analysis. This process would introduce enhanced transparency and accountability, improving the quality of transportation investment decisions.

Beginning in 2010, the MAG Performance Management program began analyzing and reporting on observed speed and volume data reported by ADOT's Freeway Management Systems (FMS). These data are collected by a series of detectors including passive acoustic detectors and loop detectors which are embedded in the roadway. These reported data allow MAG to calculate and report on throughput, speed, lost productivity, and extent and duration of congestion. Due to the data collection methods, FMS data is provided for all individual lanes, including high occupancy vehicle (HOV) facilities. Starting in 2011, MAG began obtaining speed data from Private Sector providers NAVTEQ (later re-named HERE). These speed-only data sets were/are obtained by Bluetooth detectors that connect to Bluetooth enabled vehicles and devices. Due to the inclusive nature of this detection process, these data provide full coverage of data for both the freeway and major arterial networks. Measures calculated from these data sets include speed, delay, congestion, Planning Time Index, and Travel Time Index. Unlike ADOT FMS data, the collection methods for these data do not allow for reporting on individual traffic lanes.

Beginning in 2012 with the Moving Ahead for Progress in the 21st Century Act (MAP-21) and continuing in 2015 with the Fixing America's Surface Transportation Act (FAST Act), the federal government has established rules for measuring performance and setting future targets on a system-level for states and MPOs. MAG has worked in close coordination with internal and external partners to establish performance targets and report to FHWA.

In addition to federally-mandated performance measures, documents and reports developed by the program also support the state-mandated RTP performance audit. The audit is conducted every five years as outlined in state statute. Last done in 2016, the previous audit examined the effectiveness and performance of the transportation system in relieving congestion and improving mobility and accessibility. The final audit report published November 23, 2016 included very positive results related to performance measurement, project management, and project delivery. A 12-month review of progress in achieving audit recommendations was also completed successfully and was approved by MAG policy committees.

## The Performance Dashboard

# The State of Transportation in the MAG Region

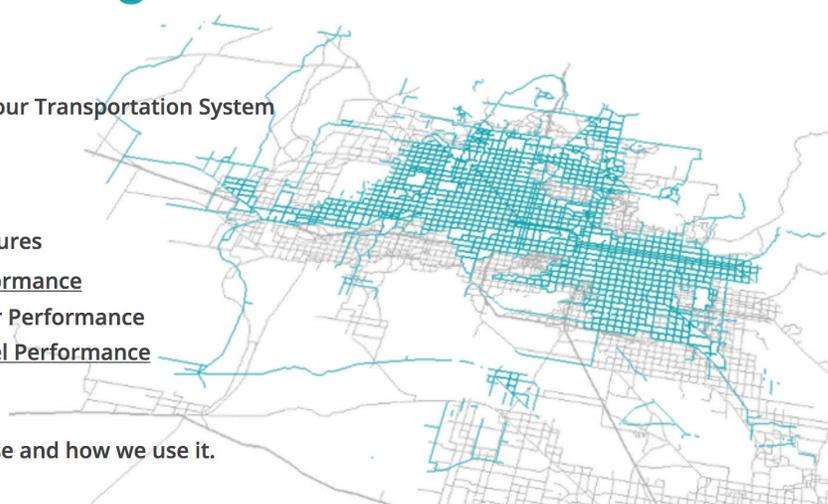


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## Project Evaluation

Born from the Congestion Management Update Study mentioned above, the Congestion Management Process (CMP) tool was designed to complement existing processes. The CMP Tool was built to consider RTP goals and objectives, and to score and rank projects accordingly. The goal of the tool is to:

- Enhance planning and programming decision-making processes.
- Provide the tools necessary to better understand regional trends in transportation system performance.
- Provide a factual basis to better inform policy makers.

The base tool used both quantitative and qualitative criteria in its prioritization process and has since been customized to the specific eligibility and funding requirements of various modal programs. To date, specific tools have been created to help program ALCP project changes, as well as project selections for the Pinal County Arterial and Bridge Program, Active Transportation Program, and Systems Management and Operations (SM&O) Program. MAG is currently in development of the next generation of analytical tools to support a performance-based planning framework.

In 2010, MAG published a performance measures report, which was developed in collaboration with member jurisdictions. The report provided standard methodologies and benchmarks to guide the region's transportation system performance program.

The report also highlighted significant facts regarding performance across selected facilities, corridors, and segments. The next iteration of the Performance Report has been developed, in compliance with the FAST Act Planning Rule, which requires the Regional Transportation Plan to include an associated Performance Report publication.

In effort to provide members of the public with transportation performance data, MAG developed *MAGnitude*, an interactive web-based tool which provides access to freeway and arterial performance measures currently being reported by MAG. This tool was designed to further enhance the communication and dissemination of regional transportation performance information. As new data sources from state and federal agencies, as well as from third party vendors, have become available, MAG has integrated them into the platform as appropriate.

The performance program has also created a series of descriptive RTP project cards, which include an overview of select freeway and arterial projects, both completed and underway. The tool also provides a link to the Valley Metro publications including the Transit Performance Report, the Ridership Report, and the Transit Dashboard.

All information published on *MAGnitude* is based on observed, archived operations data sourced from ADOT and third party commercial providers. Measures are reported at the system, corridor, and segment scale. The *MAGnitude* platform and project cards are currently being revamped to better reflect the expanded responsibilities of the program and provide additional performance information.

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**RESOURCES****MAG Performance Measurement Program information:**

- 2009 Performance Measurement Report:  
[www.azmag.gov/portals/0/Documents/pdf/cms.resource/TRANS\\_2009-10-22\\_MAG-Performance-Measurement-Report\\_89997.pdf](http://www.azmag.gov/portals/0/Documents/pdf/cms.resource/TRANS_2009-10-22_MAG-Performance-Measurement-Report_89997.pdf)
- MAGnitude Performance Dashboard:  
<http://performance.azmag.gov/>
- System Performance Measurement Data Archives:  
[www.azmag.gov/Programs/Transportation/Transportation-Performance-Management/Performance-Measurement-Data-Archive](http://www.azmag.gov/Programs/Transportation/Transportation-Performance-Management/Performance-Measurement-Data-Archive)

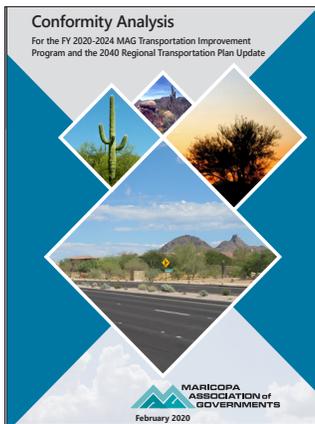




## INFORMATION

## Air Quality Conformity Analysis

The Clean Air Act links transportation and air quality and requires that transportation plans, programs, and projects conform to air quality plans and do not cause violations of air quality standards. Transportation conformity requirements apply to all nonattainment and maintenance areas. Within the MAG planning area, portions of Maricopa County are designated as a nonattainment area for particulate matter (PM-10) and eight-hour ozone, and as a maintenance area for carbon monoxide. In addition, portions of Pinal County are designated as a nonattainment area for PM-10 and PM-2.5. The U.S. Environmental Protection Agency (EPA) regulations at 40 CFR Part 93 establish the criteria and procedures for determining conformity for transportation plans, programs, and projects.



According to U.S. Department of Transportation regulations at 23 CFR 450.326, the Transportation Improvement Program must contain all regionally significant projects proposed to be funded with federal and nonfederal funds. The federal transportation conformity rule defines a regionally significant project as “a transportation project (other than an exempt project) that is on a facility which serves regional transportation needs (such as access to and from the area outside of the region, major activity centers in the region, major planned developments such as new retail malls, sports complexes, etc., or transportation terminals as well as most terminals themselves) and would normally be included in the modeling of a metropolitan area’s transportation network, including at a minimum all principal arterial highways and all fixed guideway transit facilities that offer an alternative to regional highway travel.”

In addition, in the MAG region a proposed roadway facility modification is considered regionally significant if it is on a road which serves regional transportation needs (e.g. urban freeways, other urban or rural principal arterials, and roads on the one-mile grid street network and extensions thereof), is greater than one-half mile in length, or is on a freeway, freeway ramp, or roadway which carries traffic over or under a freeway at an interchange, and would alter the number of striped through-lanes available for motor vehicle use.

Over time, changes may be required to the programmed transportation projects in the Transportation Improvement Program and Regional Transportation Plan. Changes to regionally significant projects that affect the project’s design concept and scope, or planned completion date, may require an amendment that also requires a new conformity determination by MAG. The final determination of conformity on the Transportation Improvement Programs and Regional Transportation Plans, and any amendments, is the responsibility of the FHWA and the FTA.



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MAG conformity analysis page: [www.azmag.gov/Programs/Environmental/Conformity-Analysis](http://www.azmag.gov/Programs/Environmental/Conformity-Analysis)



## Congestion Management Process

Since 1991, metropolitan areas with populations over 200,000—known as Transportation Management Areas (TMAs)—have been federally required to have an ongoing Congestion Management Process (CMP). MAP-21 and the FAST Act maintained that requirement and suggested links between CMP criteria and performance measurement. Federal requirements also state that in all TMAs, the CMP shall be developed and implemented as an integrated part of the metropolitan transportation planning and programming process.



Since a portion of the MAG TMA includes areas designated by the U.S. Environmental Protection Agency as nonattainment, the CMP takes on a greater significance. Federal regulations require that transportation projects that add significant single-occupant-vehicle carrying capacity cannot be programmed for federal funding unless the need for the project is analyzed and demonstrated by the CMP.

At MAG, the CMP is a systematic approach, utilizing customized tools to assist in project evaluation for federally and regionally funded projects. The CMP is intended to address congestion through effective management and operation of transportation facilities and services, based on a cooperatively developed and implemented strategy for the construction of new, and the improvement of existing transportation facilities, through the use of a wide range of solutions.

As mentioned above, the FAST Act, the currently authorized surface transportation legislation, retains the CMP requirements and further reinforces its connection to performance measures, monitoring and reporting functions. The System Congestion, Freight and Congestion Mitigation Air Quality (CMAQ) rule, effective in May 2017 includes specific metrics, thresholds, and measures such as annual hours of excessive delay per capita for the CMAQ federal funding program. All components of the existing CMP are in line with the final regulations.

The development of MAG's CMP has resulted in evaluation methodologies that are implemented in the programming process. As a result, decisions regarding selection and ranking of federally funded projects are supported by a transparent and accountable process, which integrates congestion measures and performance criteria. Pursuant to federal requirements, MAG's Long Range Transportation Plan (MAG 2040 Regional Transportation Plan) and the Transportation Improvement Program integrate the CMP as a structural component.

## MAG's Congestion Management Process Update

MAG developed the Congestion Management Process (CMP) cooperatively with representatives of regional partner agencies and member jurisdictions. In earlier stages, the MAG CMP proposed a series of quantitative and qualitative criteria and methodologies based on key performance measures.

In compliance with the recommendations of the CMAQ Programming Process Review Report of September 2011 by the Local Division of the Federal Highways Administration, and as part of the final development of the CMP, an evaluative spreadsheet-based tool was developed in 2011 based on congestion related performance measures. Since 2011, a number of customized iterations have been implemented as part of the TIP programming cycle for changes in the Arterial Life Cycle Program, project evaluation for the ITS and Bicycle and Pedestrian projects, Transportation System Management and Operations, as well as for Pinal County Arterial-Bridge Program projects. Implementation has been collaborative and successful, resulting in accountable project ranking and prioritization.

It is important to note that CMAQ scores, which measure emissions reductions and cost effectiveness, are calculated by MAG's Environmental Division and will continue to be a component of several project evaluation efforts.

The CMP tool provides a step-by-step planning and programming approach that facilitates the analysis process for evaluating congestion management strategies or projects. The tool uses both quantitative and qualitative criteria to assess strategy and project effectiveness and to assist in the assignment of ranks to projects so they can be prioritized.

In order to continue enhancing and customizing the CMP tool, MAG formed a 14-member CMP Working Group composed of MAG member jurisdiction transportation officials at the management level in April 2012. The group completed a thorough review of the current Congestion Management Process and recommended methodologies and practices for the continued application of the CMP tool in the CMAQ and federally funded projects within MAG programming activities.

With respect to transit projects and evaluative criteria, a Transit Standards and Performance Measurement (TSPM) Technical Advisory Group made up of Valley Metro member agencies and MAG, was formed in November 2012. The group met approximately twice per month for two years to review progress on the development of Regional Transit Standards and Performance Measures. All phases have been completed, resulting in reports that document findings from a peer transit agency review panel, defines service delivery goals, and includes transit operational standards, as well as describes a process for transit service changes. The final report, launched in 2015, includes the development of new and extended service standards, as well as capital facilities. These documents are available on the web via the following link:

<https://www.valleymetro.org/transit-performance-reports>



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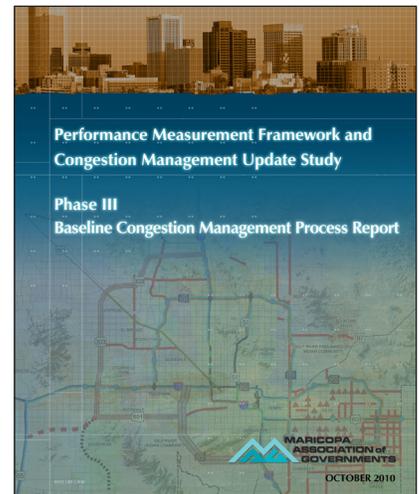
e-mail: [EBrown@azmag.gov](mailto:EBrown@azmag.gov)



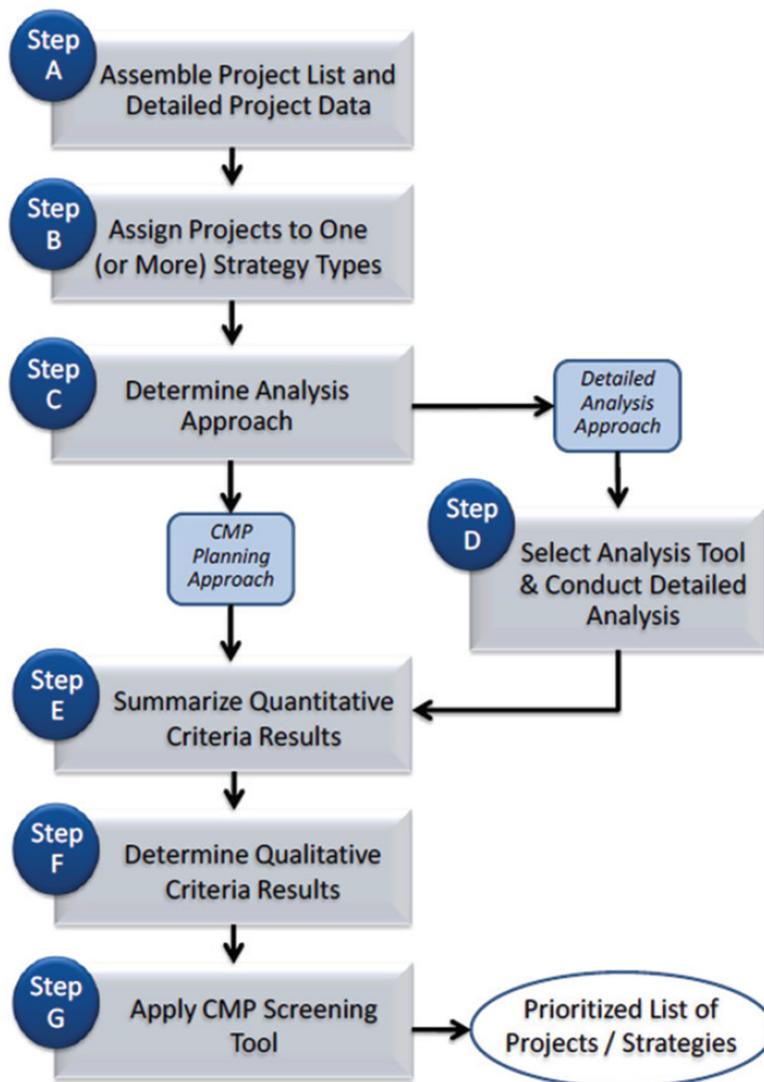
RESOURCES

MAG Congestion Management Process information:

[www.azmag.gov/portals/0/Documents/TRANS\\_2010-11-02\\_MAG-CMP-Final-Baseline-Report.pdf](http://www.azmag.gov/portals/0/Documents/TRANS_2010-11-02_MAG-CMP-Final-Baseline-Report.pdf)



MAG’s CMP process has developed a spreadsheet based screening tool aid in the prioritization of potential projects based on their effectiveness in mitigating congestion in the region. The figure (below) describes the CMP analysis and screening process.

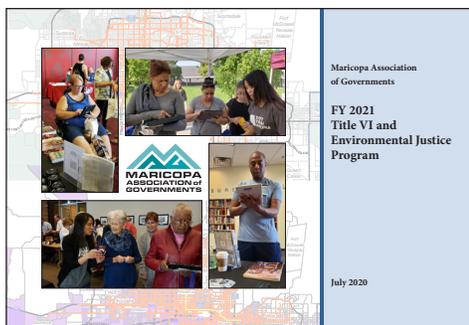




## INFORMATION

## Title VI and Environmental Justice Program

Title VI and Environmental Justice activities are mandated by the federal government to ensure that people of all races, colors, national origin, and incomes levels have an equal voice in the planning process and receive equal benefit from the results of such planning. Additional protections are provided in other federal and state authorities for individuals with limited English proficiency, income status, religion, sex, disability, sexual orientation, gender identity (as defined in paragraph 249(c)(4) of title 18, United States Code), and age.



MAG is actively engaged in Title VI and Environmental Justice activities as a sub-recipient of federal funding. The MAG Environmental Justice and Title VI Program approved by the MAG Regional Council in May 2019 sets forth the process to fully integrate the needs of these vulnerable populations.

The activities listed in the MAG Environmental Justice and Title VI Program respond directly to the guidance provided by the Federal Transit Administration in Circular 4702.1B. Chapter six charges metropolitan planning organizations (MPO), such as MAG, with the development of a demographic profile identifying the locations of Title VI and Environmental Justice groups, a planning process that identifies the transportation needs of people with low incomes and minority populations, and an analytical process that identifies the benefits and burdens of transportation system investments for different socio-economic groups, identifies imbalances, and responds to the analysis produced.

The goals of these activities are as follows:

- Comply with the public involvement and environmental justice requirements of the federal and state regulations.
- Avoid, minimize, or mitigate disproportionately high and adverse human health and environmental effects, including social and economic effects, on minority populations and low-income populations.
- Provide specific opportunities for the public and community-based organizations to discuss their views and provide input on the subject areas addressed in the planning activities of MAG.
- Ensure full and fair participation by all potentially affected communities in the transportation decision-making process.
- Inform the public about ongoing MAG planning activities, and their potential role in those activities.



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## RESOURCES

For more information on MAG's Title VI and Environmental Justice activities, please visit: <http://www.azmag.gov/Programs/Public-Outreach/Title-VI-Program-and-Environmental-Justice>

# REGIONAL TRANSPORTATION FUNDS

As shown in **Chart 1**, the major regional funding sources that are available in the region for transportation projects include:

- Half-Cent Sales Tax
- Local Funds
- Arizona Department of Transportation (ADOT) Funds
- MAG Area Federal Transportation Funds

A summary of how these funds are distributed is shown in **Table 1A** below.

**Chart 1: Major Regional Transportation Funding Revenue Sources**

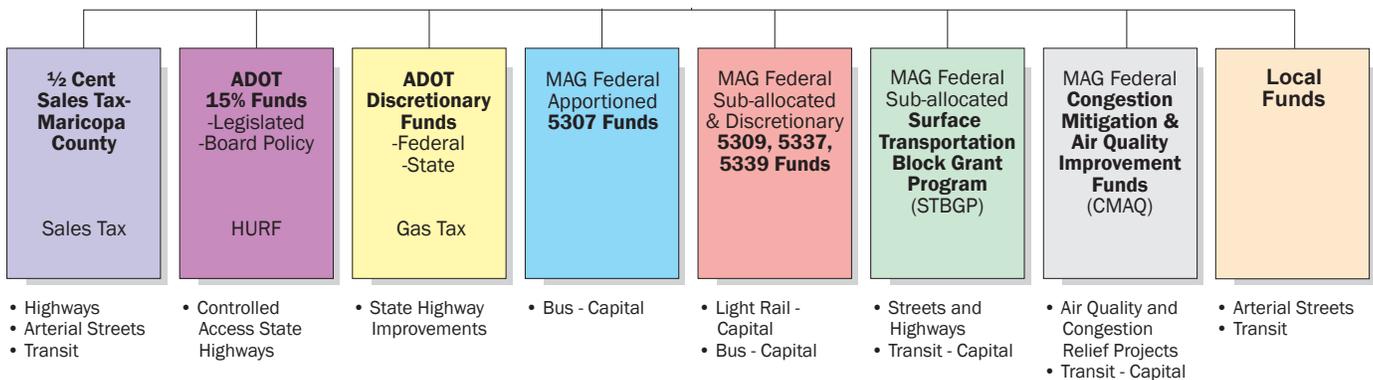


TABLE 1A PERCENTAGE DISTRIBUTION OF REGIONAL REVENUES: FY 2021-2024 (Percentage of Funding Source Total)															
Life Cycle Program	Modes	1/2 Cent	ADOT Funds	FTA (5307)	FTA 5310	FTA 5337	FTA 5339	FTA (5309)	ADOT STP-Flex	STBGP-MAG	CMAQ	CMAQ-2.5	HSIP	TA	Total Regional Mode Portion
FLCP <sup>1</sup>	Freeway	56.2%	100.00%												45.12%
ALCP	Arterial & ITS	10.5%								86.59%	13.40%				7.36%
TLCP	Bus Transit	18.9%		95.03%		48.03%	100.00%	100.00%							25.31%
	Light Rail Transit	14.4%				51.97%					35.90%				
Other	Transit Non-TLCP			4.97%	100.00%				100.00%						0.42%
	ITS										19.10%				0.63%
	Bicycle/ Ped.										17.00%				0.85%
	Air Quality										14.60%	100.00%			0.53%
	Planning									11.27%					0.43%
	TA - Infrastructure													92.36%	0.29%
	TA - SRTS, Non Infrastructure													7.64%	0.52%
	Safety														
Non-ALCP										2.13%					18.82%
<b>Total</b>		<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>0%</b>	<b>100%</b>	<b>100%</b>							

Amounts are rounded, variance may be displayed.

<sup>1</sup>ADOT Cashflow information as of July 2018

<sup>\*</sup> The Transportation Alternatives program includes Safety, Bicycle, Pedestrian, and Transit components.

Transit distributions between TLCP Bus and Rail are subject to change by VM Board.

Safety components are included in all competitively selected projects. ADOT will not distribute safety funds for COG-MPO programming after FY2018.



## *MAG Half-Cent Sales Tax Funds*

The current half-cent sales tax for transportation, approved through Proposition 400, went into effect on January 1, 2006. The revenues collected from the half-cent sales tax are deposited in the Arizona Department of Revenue account, and allocated between the Regional Area Road Fund (RARF) and Public Transportation fund (PTF). As specified in A.R.S. 42-6105.E, 56.2 percent of all sales tax collections will be distributed to free-ways and highways for use in the Freeway Life Cycle Program (FLCP), and 10.5 percent is distributed to arterial street improvements and managed through the Arterial Life Cycle Program (ALCP). The FLCP and ALCP allocations make up the RARF account. Additionally, 33.3 percent of all collections known as the PTF, is distributed to the Transit Life Cycle Program (TLCP). The prioritization and project selection for these funds happen within each life cycle program.

Please see [Section 5](#) for more details, or the ADOT website:

<https://azdot.gov/about/financial-management-services/transportation-funding/regional-area-road-fund-rarf>

## *Local Funds*

Local resources, including taxes, bonds, general funds, the Highway User Revenue Fund (HURF), state funds, and impact fees, allow member agencies to locally fund transportation projects, operations and maintenance, and pavement preservation, and meet various match requirements for capital projects.

## *Arizona Department of Transportation Funds*



ADOT relies on funding from two primary sources: the Highway User Revenue Fund (HURF) and federal transportation funds. The HURF comprises funds from the gasoline and fuel use taxes, a portion of the vehicle license tax, registration fees and other miscellaneous sources

collected within the state. For more information on funding:

<https://azdot.gov/about/financial-management-services/transportation-funding/highway-user-revenue-fund-hurf>



## *MAG Federal Transportation Funds*

In addition to the Maricopa County half-cent sales tax revenues, local funds, and ADOT funding, a number of federal transportation funding sources are programmed in the current FY 2020-2024 MAG TIP.

For a more detailed explanation about Federal Transit funds, please see the Grant Programs web page: <http://www.fta.dot.gov/grants/15926.html>.

For more detailed explanation about Federal Highway funds, please see: <https://www.fhwa.dot.gov/fastact/>

### **Federal Transit Administration (FTA)**

#### **Urbanized Area Formula Program (5307 & 5307-AVN)**

The Urbanized Area Formula Funding program (49 U.S.C. 5307) makes federal resources available to urbanized areas (UZA) and to governors for transit capital and operating assistance in urbanized areas and for transportation related planning. An urbanized area is an incorporated area with a population of 50,000 or more that is designated as such by the U.S. Department of Commerce and Bureau of the Census.

The MAG region comprises two UZAs: Phoenix-Mesa and Avondale-Goodyear. Each UZA receives a separate apportionment to be utilized within its respective boundaries.

#### **Transportation for Enhanced Mobility of Seniors & Individuals with Disabilities (5310)**

This program (49 U.S.C. 5310) provides formula funding to states for the purpose of assisting private, nonprofit groups in meeting the transportation needs of the elderly and persons with disabilities when the transportation service provided is unavailable, insufficient, or inappropriate to meeting these needs. Funds are apportioned based on each State's share of population for these groups of people, as included in the last census.

Funds are obligated based on the annual program of projects included in a statewide, and/or regional grant application. The designated recipient agency (ADOT or the City of Phoenix) ensures that local applicants and project activities are eligible and in compliance with Federal requirements, that private not-for-profit transportation providers have an opportunity to participate as feasible, and that the program provides for coordination of federally assisted transportation services assisted by other federal sources. Once FTA approves the application, funds are available for designated recipient administration of its program and for allocation to individual sub recipients within the jurisdiction. New Freedom activities are eligible within the 5310 program under FAST Act. Please see [Section 5](#) of the guidebook for more information.

**State of Good Repair Grants (5337-HI, 5337-Hi AVN, & 5337 FGM)**

The formula-based State of Good Repair program is FTA's first stand-alone initiative written into law that is dedicated to repairing and upgrading the nation's rail transit systems along with high-intensity motor bus systems, such as bus rapid transit, that use high-occupancy vehicle lanes. These funds reflect a commitment to ensuring that public transit operates safely, efficiently, reliably, and sustainably so that communities can offer balanced transportation choices that help to improve mobility, reduce congestion, and encourage economic development. The MAG region comprises two UZAs: Phoenix-Mesa and Avondale-Goodyear. Each UZA receives a separate apportionment to be utilized within its respective boundaries.

**Bus and Bus Facilities (5339)**

This program provides capital funding to replace, rehabilitate and purchase buses and related equipment and to construct bus-related facilities.

**Fixed Guideway Capital Investment Grants—New Starts (5309-NS) & Small Starts (5309-SS)**

The discretionary Capital Investment Grant (CIG) program provides funding for fixed guideway investments such as new and expanded rapid rail, commuter rail, light rail, streetcars, bus rapid transit, and ferries, as well as corridor-based bus rapid transit investments that emulate the features of rail. There are four categories of eligible projects under the CIG program: New Starts, Small Starts, Core Capacity, and Programs of Interrelated Projects.

- New Starts projects are new fixed guideway projects or extensions to existing fixed guideway systems with a total estimated capital cost of \$300 million or more, or that are seeking \$100 million or more in Section 5309 CIG program funds.
- Small Starts projects are new fixed guideway projects, extensions to existing fixed guideway systems, or corridor-based bus rapid transit projects with a total estimated capital cost of less than \$300 million and that are seeking less than \$100 million in Section 5309 CIG program funds.
- Core Capacity projects are substantial corridor-based capital investments in existing fixed guideway systems that increase capacity by not less than 10 percent in corridors that are at capacity today or will be in five years. Core capacity projects may not include elements designed to maintain a state of good repair.
- Programs of Interrelated Projects are comprised of any combination of two or more New Starts, Small Starts, or Core Capacity projects. The projects in the program must have logical connectivity to one another and all must begin construction within a reasonable time frame.



## Federal Highway Administration (FHWA)

### Federal Highway Administration Surface Transportation Block Grant Program—MAG Surface Transportation Block Grant Program (STBGP-MAG)

The most flexible of federal transportation funds may be used for highways, transit, or streets. Currently, all of the STBGP funds that are project related are allocated to the ALCP and the Pinal County Arterial-Bridge Program as noted in **Table 1A, (page 23)**. MAG has committed an average of \$6.6 million per year for regional transportation planning and air quality studies and contingencies. Currently, 97.9 percent of STBGP-MAG funds are allocated and programmed through the ALCP and the Systems Management and Operations as noted in **Table 1A, (page 23)**, with the remaining 2.1 percent allocated to MAG member agencies in Pinal County.

### Federal Highway Administration Surface Transportation Block Grant Program—Special Appropriation for FFYs 2018-2020, Highway Infrastructure Program (STBGP-HIP)

From a special one-time federal appropriation through the budget bill, approximately \$32.9 million over a three year period of limited STBGP funding is made available to large urbanized, small urbanized, and rural areas with a limitation of three years to authorize and commence work, and for limited activities as identified in 23 U.S.C. Sections 134 and 135.

### National Highway Performance Program (NHPP)

The National Highway Performance Program provides funding for the National Highway system including construction of new facilities to support progress towards performance targets, as established in the Arizona asset management plan.



### Federal Safe Routes to School (SRTS) Eligible Activities

The SRTS was established to enable and encourage children, including those with disabilities, to walk and bicycle to school; to make walking and bicycling to school safe and more appealing; to facilitate the planning, development, and implementation of projects that will improve safety, and reduce traffic, fuel consumption, and air pollution in the vicinity of schools. Please see **Section 5** for more information.

The FAST Act continues the combination of the SAFETEA-LU eligible activities of Transportation Enhancements, Safe Routes to School and the Recreational Trails Program under a new program entitled Transportation Alternatives. MAG has set aside approximately \$400,000 annually to support Safe Routes to School eligible activities regionwide.

### Congestion Mitigation and Air Quality Improvement (CMAQ) Program

Congestion Mitigation and Air Quality Improvement (CMAQ) program funds are available for transportation projects or programs that will contribute to improving nonattainment or maintaining the National Ambient Air Quality Standards (NAAQS) under the Clean Air Act in both nonattainment and maintenance areas for carbon monoxide, ozone, and particulate matter. Projects may include a wide variety of highway, transit, and alternate mode projects that contribute to improved air quality. With the enactment of MAP-21, a new federally mandated sub allocation of CMAQ funding was carved

out of the state's apportionment to address fine PM-2.5 in nonattainment and maintenance areas. In Arizona, EPA designated two PM-2.5 nonattainment areas: the Nogales PM-2.5 Nonattainment Area and the West Central Pinal PM-2.5 Nonattainment Area. The Pinal PM-2.5 Nonattainment Area includes portions of the City of Maricopa, City of Casa Grande, and Pinal County. In the MAG Region, CMAQ funding and the portion of PM-2.5 CMAQ funding are to be used on projects that reduce those air pollutants.

The MAG CMAQ funds are allocated to different modal categories and are noted in **Table 1A, (page 23)**. The arterial, ITS, bicycle, pedestrian, and air quality program make up part of the MAG federal funded program and each mode has an established competitive project selection process that occurs when adding a new year(s) to the MAG TIP. The federal match is 94.3 percent, unless noted otherwise.

MAG prepares a CMAQ evaluation that includes the estimated emission reduction benefits and cost-effectiveness of the projects submitted by member agencies. This evaluation is used by the Transportation Review Committee and modal committees in evaluating and prioritizing projects. MAG has implemented the Congestion Management Process (CMP) which has been integrated into the CMAQ competitive application process for the Bicycle and Pedestrian and ITS projects. The CMP is a flexible evaluation process that meets changing conditions as the federal guidance and regional priorities change. MAG relies on a competitive application process to program CMAQ funds. For more detailed information, a fact sheet is provided in [Appendix B](#).

#### **Federal Railroad-Highway Grade Crossing Program (RGC)**

A share of the Highway Safety Infrastructure Program (HSIP) is set aside to address railroad crossing safety problems. These funds are administered by ADOT on a first-come, first-served basis. The federal match is 90.0 percent. For local projects, ADOT has set a \$500,000 federal fund cap. Please see [Section 5](#) for more information.

#### **Federal Highway Safety Improvement Program (HSIP)**

The purpose of the Highway Safety Improvement Program (HSIP) is to achieve a significant reduction in traffic fatalities and serious injuries on all public roads through the implementation of infrastructure-related highway safety improvements. ADOT is responsible for administering the state program with oversight from FHWA. ADOT's Highway Safety Section is responsible for the development of guidelines related to process and project eligibility.

ADOT has phased out the sub-allocation to MPOs and COGs in the state for safety improvement projects. The HSIP state allocation will be available for safety improvements on all public roads in the state through a statewide competitive process. These new ADOT HSIP procedures are applicable mainly for larger safety improvement projects in FY 2020 and beyond. Please see [Section 5](#) for more information.

# MAG REGIONAL FUNDING ALLOCATIONS AND PROJECTIONS

The distribution of regional revenues takes into account federal and state restrictions on how individual funding sources may be applied to specific program areas. The *Regional Transportation Plan (RTP)* allocates the available regional funds to the different multimodal categories. **Table 1B** displays the allocation of regional revenues in terms of year of expenditure dollars estimated to each program area by funding source, for FY 2020-2024.

These funding allocations are critical to the transportation programming process as they determine the amount of funding designated per modal program/category. In addition, each modal program/category has different programming requirements, deadlines, and processes which are explained in [Section 5](#).

The majority of Surface Transportation Block Grant Program funds that are allocated to MAG (STBGP-MAG) are committed to the *Arterial Life Cycle Program (ALCP)*, with portions based on population as denoted by the 2010 Census and documentation provided by ADOT for projects committed in the MAG portion of Pinal County. Additionally STBGP-MAG funds are allocated to regional planning support activities that are included in the MAG Unified Planning Work Program. The other major category of the MAG Federal Fund

**TABLE 1B**  
**DISTRIBUTION OF PROJECTED REGIONAL REVENUES: Draft FY 2020-2021**  
(in millions of YO E U.S. \$)

Life Cycle Programs	Modes	1/2 Cent (RARF & PTF)	State & HURF	Proceeds, Interest, 3rd PB, & Other	ADOT FHWA Funds	FTA \$5307	FTA \$5337	FTA \$5339	FTA \$5309	FTA \$5310	ADOT-STP Flex	STBGP-MAG FHWA	CMAQ FHWA	CMAQ 2.5 FHWA	Transportation Alternatives* FHWA	Highway Safety FHWA	Total Regional Funding
FLCP	Freeway	1275.9	385.0	389.6	947.2												2997.7
ALCP	Arterial & ITS	239.0										220.8	29.3				489.1
TLCP	Bus Transit	430.3				242.4	17.2	25.6	528.3		12.8						1256.6
	Light Rail Transit	327.8					18.6						78.4				424.8
Non-Life Cycle Programs	**Transit Non-TLCP					12.7				15.1							27.8
	ITS												41.7				41.7
	Bicycle/ Ped.												37.1		19.3		56.5
	Air Quality												31.9	3.2			35.1
	Planning											28.8					28.8
	Highway Safety*					33.2										1.6	34.8
	Non ALCP***				1244.9							5.4					1250.3
<b>Total</b>		<b>2273.0</b>	<b>385.0</b>	<b>389.6</b>	<b>2225.3</b>	<b>255.1</b>	<b>35.9</b>	<b>25.6</b>	<b>528.3</b>	<b>15.1</b>	<b>12.8</b>	<b>255.0</b>	<b>218.4</b>	<b>3.2</b>	<b>20.9</b>	<b>.0</b>	<b>6643.3</b>

Year of Expenditure (YO E) Dollars in Millions, rounding may occur.

\* The Transportation Alternatives program includes Safety, Bicycle and Pedestrian components.

\*\* Transit non LifeCycle substantially varies by year.

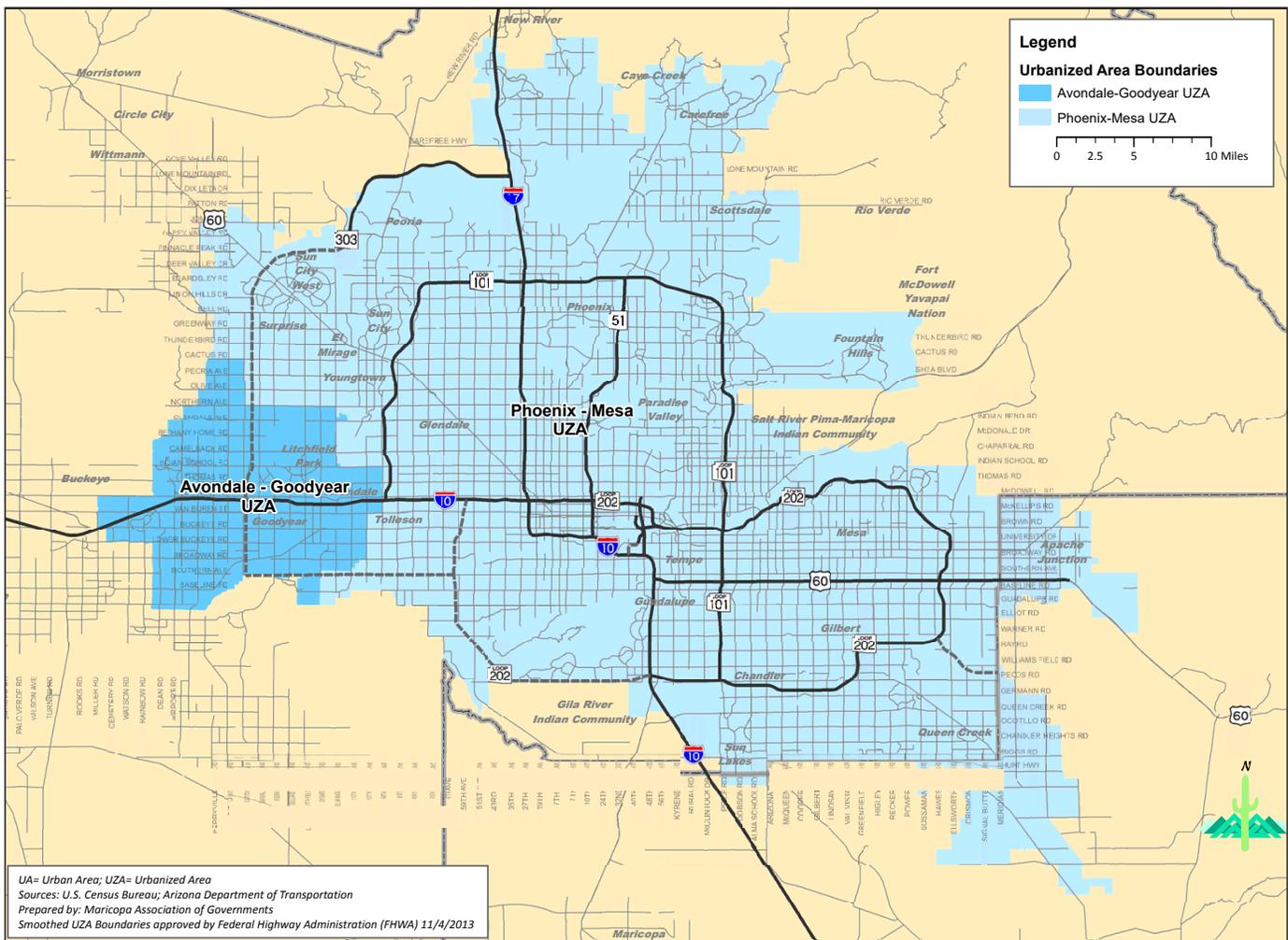
\*\*\*ADOT Statewide FHWA funding is highly competitive and changes substantially each year.

Program comprises funds from the Congestion Mitigation and Air Quality Improvement Program (CMAQ). These funds are split between six major categories. **Table 1A, (page 23)** has breakdowns by percentage and **Table 1B (page 29)**, shows distribution in U.S. millions of dollars.

### MAG Federal Fund Projections

The annual appropriated federal funds that are sub-allocated to the MAG region are Surface Transportation Block Grant Program (STBGP-MAG), Congestion Mitigation and Air Quality (CMAQ), Congestion Mitigation and Air Quality PM 2.5 (CMAQ-2.5), Transportation Alternatives (TA-MAG), , Transit Section 5307–Urbanized Area Formula Program, 5310–Enhanced Mobility of Seniors and Individuals with Disabilities, and 5309 – Rail and Fixed Guideway Modernization.

Generally, for funding eligibility, there are three categories of funding: Phoenix-Mesa Urbanized Areas (UZA), Avondale-Goodyear UZA, and Rural areas.



UA= Urban Area; UZA= Urbanized Area  
 Sources: U.S. Census Bureau; Arizona Department of Transportation  
 Prepared by: Maricopa Association of Governments  
 Smoothed UZA Boundaries approved by Federal Highway Administration (FHWA) 11/4/2013

The Urbanized Area Map displays the Large Urbanized Area, Small Urbanized Area, and Rural categories. Please note, that county islands may be included that are too small to visually be displayed on the map.

The following table lists agencies that have some level of participation in certain categories within the MAG region:

Member Agency Participation					
Member Agency	Phoenix-Mesa UZA	Avondale-Goodyear UZA	Rural Maricopa County	Rural Pinal County	Classification
Apache Junction	X			X	Urban
Avondale		X	X		Urban
Buckeye		X	X		Urban
Carefree	X				Urban
Cave Creek	X		X		Urban
Chandler	X				Urban
El Mirage	X				Urban
Florence				X	Rural
Fountain Hills	X				Urban
Gila Bend			X		Rural
Gilbert	X				Urban
Glendale	X	X			Urban
Goodyear		X	X		Urban
Guadalupe	X				Urban
Litchfield Park		X			Urban
Maricopa				X	Rural
Mesa	X				Urban
Paradise Valley	X				Urban
Peoria	X		X		Urban
Phoenix	X		X		Urban
Queen Creek	X			X	Urban
Scottsdale	X		X		Urban
Surprise	X	X	X		Urban
Tempe	X				Urban
Tolleson	X				Urban
Wickenburg			X		Rural
Youngtown	X				Urban
Maricopa County	X	X	X		n/a
Pinal County	X			X	n/a
Fort McDowell Yavapai Nation	X		X		n/a
Gila River Indian Community	X		X	X	n/a
Salt River Pima-Maricopa Indian Community	X		X		n/a

These revenue sources are discussed below and summarized in **Table 2A, Table 2B and Table 3A**. It is projected that a total of \$875 million (YOE \$'s) will be available from these federal sources for the implementation of projects in the MAG Region between FY 2021 and FY 2024. Additional direct funding for the Freeway Life Cycle Program of \$ 1.1 billion as allocated through the state brings the regional federal aid total to just under \$2 billion.

**Table 2A** lists the projected apportionments and possible nationwide competitive funding amounts for the Phoenix-Mesa UZA from Federal Transit 5307, 5309— Fixed Rail & Guideway Modernization, and 5309—Discretionary programs.

**Table 2B** lists the projected apportionments and possible nationwide/statewide competitive funding amounts for the Avondale-Goodyear UZA. Each year of the FY 2020-2024 MAG TIP has been programmed with projects to meet the anticipated funds. The region will need to adjust programmed projects depending on the actual allocations of funds to develop the FY 2021 Program of Projects. Please see [Section 5](#) for more information.

Table 2A													
Federal Transit Administration Projected Funding Levels In MAG Region										FY2021-2024		7/13/2020	
PHX/MESA UZA										Large UZA MAG			
In Million of YOE U.S. \$ All Funding is subject to change.													
PHX/MESA UZA Apportionments										Competitive			All Transit Total
Fiscal Year	5307~	Phx-Msa	5337			5339 (d) (2)	*FHWA-MAG	*FHWA ADOT	SUB TOTAL	***Discre-tionary			
	5307 & 5340	5310	FGM	SGR HI Bus	Sub Total 5337	5339(d)(2)	Transit CMAQ Flex	STP-AZ Flex		5339(b)(d), LowNo	TIGER, HIP, or Other	5309 S/N Starts	
2021	56.96	3.40	4.23	4.23	8.46	6.50	18.86	3.11	97.29	.00	1.82	150.00	249.11
2022	57.97	3.46	4.31	4.30	8.61	6.62	19.13	3.17	98.97	.00	2.56	150.00	251.53
2023	59.74	3.53	4.39	4.12	8.51	5.67	19.58	3.23	100.25	.00	.74	148.25	249.24
2024	61.53	3.59	5.71	4.24	9.95	5.84	19.90	3.29	104.10	.00	.00	80.00	184.10
21-24	236.19	13.98	18.64	16.89	35.54	24.64	77.46	12.80	400.62	.00	5.12	528.25	933.99

\*MAG Sub-allocated FHWA funding flex, Annual State Tboard award; subject to FAST Act authorization through FY2020. Census updates will change in FY2023. All Funding is subject to change. Information provided for general planning.

~ Portion can be used for operations, see dedicated programming.

\*\*\* Nationwide discretionary

Table 2B														
Federal Transit Administration Projected Funding Levels In MAG Region										FY2021-2024		7/13/2020		
AVN/GY - UZA										NonUrban Sm UZA MAG				
In Million of YOE U.S. \$														
AVN/GY UZA Apportionments										Competitive, subject to substantial change				TOTAL
Fiscal Year	5307~	Avn-GY	5337			Avn-GY	SUB TOTAL	ADOT Discre-tionary**	***Discre-tionary	ADOT Discre-tionary	ADOT Discre-tionary	***Discre-tionary		
	5307 & 5340	5310 (ADOT FFY21-22)(Direct FFY23-24)	FGM	SGR HI Bus	Sub Total 5337	5339(a)		5307 or 5339	5309 S/N Starts	5310** Rural	5311**	5339bc, or Other		
2021	3.34	.28	.00	.08	.08	.00	3.70	.80	.00	.53	.91	.00	5.94	
2022	3.40	.28	.00	.08	.08	.00	3.77	.80	.00	.54	.93	.00	6.03	
2023	2.95	.29	.00	.08	.08	.50	3.82	.00	.00	.25	.93	.00	5.00	
2024	3.00	.29	.00	.09	.09	.50	3.88	.00	.00	.25	.93	.00	5.06	
21-24	12.69	1.15	.00	.33	.33	1.00	15.17	1.60	.00	1.57	3.70	.00	22.04	

Federal allocation for the Small UZA area

Competitive Grants, from State or Nationwide discretionary

~ Portion can be used for operations, see dedicated programming.

\*\*\* Nationwide discretionary, subject to substantial change

FAST Act is authorized through FY2020. Census updates will change in FY2023. All Funding is subject to change. Information provided for general planning.

### Federal Fund Obligation Authority Projections

**Table 3A** lists the projected obligation authority (OA) estimates of sub-allocated MAG CMAQ, STBGP, and TA funding for the FY 2020-2024 MAG TIP. The projections are based on FAST Act funding regular apportionments. The STBGP-MAG is programmed through the Arterial Life Cycle Program (ALCP), the Unified Planning Work Program, and a competitive process for the portion of STBGP-MAG designated for Pinal County member agencies.

Table 3A																
MAG Sub-Allocations FHWA Ledger: Appropriations For The FY2021-2024 TIP																
Program Levels By Mode and MAG Program. In YO E U.S. millions \$.																
STP Breakout - with OA applied						CMAQ Breakout - with OA applied						Specific Programs with OA applied				Grand Total For Programs
Non Lifecycle	SM+O	RSIP* (return)	Arterial - ALCP <sup>4</sup>	Total STP		SM+O <sup>3</sup>	SM+O <sup>8</sup> (return)	Arterial - ALCP <sup>5</sup>	Transfer to Transit	Bicycle/ Ped.	Air Quality	Total CMAQ	CMAQ 2.5 Paving	Transportation Alternatives Urban & Non-Urban SRTS	Transportation Alternatives Urban & NU, Infrastructure	
2021	1.32	1.00	2.00	50.94	55.26	10.15	4.00	3.12	19.08	9.04	7.76	53.16	.79	.40	4.71	114.32
2022	1.34	1.00	2.00	51.66	56.00	10.30	4.00	3.23	19.36	9.17	7.88	53.94	.80	.40	4.78	115.92
2023	1.37	1.00	2.00	52.50	56.87	10.54	6.50	.90	19.81	9.38	8.06	55.19	.81	.40	4.88	118.15
2024	1.40	1.00	2.00	53.72	58.12	10.71	6.50	1.02	20.14	9.54	8.19	56.10	.83	.40	4.97	120.41
21-24	5.43	4.00	8.00	208.81	226.24	41.71	21.00	8.26	78.40	37.13	31.88	218.39	3.23	1.60	19.34	468.80

<sup>1</sup> An \$855,585.60 adjustment from the FLCP to the ALCP to correct historic ADOT error is included in FY2017-2021.  
<sup>2</sup> Loan repayments from ALCP transit advancements are included. See Loan table June 2019.  
<sup>3</sup> MAG Freeway Management Program completes in 2019. Take down completes the \$147 million program. The SM&O plan was approval in Aug 2018.  
<sup>4</sup> Includes RSP and SM+O Return of loaned funding.  
<sup>5</sup> Includes a return of funding to SM+O from loan.  
<sup>7</sup> ITS awarded \$50,000,000 over the life of the RTP. Funding was advanced to early years. With the completion of FY2018 and FY2019, the full ITS program has been funded.  
<sup>8</sup> SM+O Static Dtour Wayfinding project 1-4, postponed from Call For Projects, \$3,000,000 held back at this time. Funding deferred to FY2023-2024.  
<sup>9</sup> Includes a return of funding to SM+O  
 Funding is YO E U.S. \$, subject to substantial change.

**Table 3B** lists the actual and projected additional obligation authority (OA) estimates of sub-allocated MAG STBGP funding for the FY 2020-2024 MAG TIP. The FAST Act made a special Highway Improvement Program funding apportionment, in addition to the regular allocations. Due to the late notice of award, funding will be exchanged with an advance construction project, and redistributed using the programming break outs for sub-allocated funding to all modal areas.

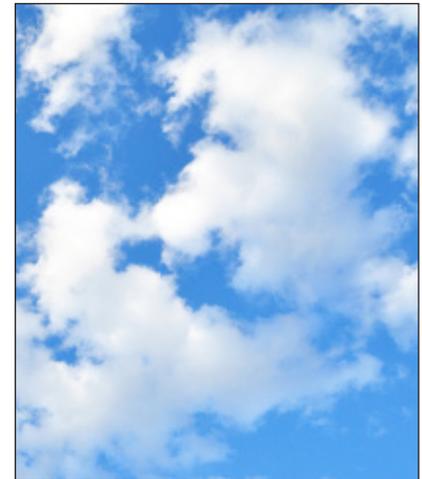
Table 3B		
FHWA: Highway Improvement Program*		
	Year	Additional Federal Aid
Actual	2018	11.08
Actual	2019	15.62
Actual	2020	4.53
<b>Total</b>		<b>\$31.23</b>

\*Special one time allocation and apportionment of HIP funding for years 2018, 2019, 2020. Redistributed for Call For Projects. In YO E, U.S. millions \$

Public Notice: HCFB-10, April 25, 2018. First awarded to ledger in January 2019, missed closeout calculation. 2018 expires Sept 30, 2021.

### Competitive CMAQ Improvement Program, STBG Program, and the Transportation Alternatives allocations

The regular distribution of sub-allocated Federal Highway Administration Funding comes to MAG in several different program types. CMAQ Improvement Program funds are distributed based on the percent allocations as noted in **Table 1A, (page 23)**, CMAQ funds a variety of programs in the MAG region that are specific to air quality such as paving of unpaved roads, regional rideshare, telecommuting, van pools, and PM-10 Certified Street Sweepers. CMAQ funds that will be available to be programmed during FY 2021 are for PM-10 Certified Street Sweepers and PM-10 paving and in Spring 2021, Systems Management and Operations projects.



STBGP funds are allocated to Arterial Lifecycle Program (ALCP) for Maricopa County, and to the Pinal County Arterial—Bridge Program. Transportation Alternatives (TA) funds are allocated to the MAG region for bicycle and pedestrian projects, and Safe Routes to School (SRTS) eligible activities. An additional cost savings from the STBGP program has been allocated to support the new Roadway Safety Program projects through a funding arrangement with ADOT.

Please refer to these specific modal categories in **Section 5** for more information and **Section 6** for programming processes.

**Table 4B**

**MAG Special Sub-Allocation Distribution: FAST ACT HIP\***

**Program Levels By Mode and MAG Program. In YOE U.S. millions \$.**

	STBGP Breakout - with OA applied					CMAQ Breakout - with OA applied					Specific Programs - OA applied			Grand Total For Programs	
	Non Lifecycle	SM+O	RRSIP*	Arterial - ALCP <sup>4</sup>	Total STBGP	SM+O <sup>3</sup>	Arterial - ALCP <sup>5</sup>	Transfer to Transit	Bicycle/ Ped.	Air Quality	Total CMAQ	CMAQ 2.5 Paving	Transportation Alternatives Urban & Non-Urban SRTS		Transportation Alternatives Urban & NU, Infrastructure
	<b>2020</b>			.20		<b>.20</b>						<b>.00</b>			
<b>2021</b>			.28	12.37	<b>12.65</b>	.97	.68	1.82		.08	<b>3.55</b>				<b>16.19</b>
<b>2022</b>			.08	2.10	<b>2.18</b>	1.36	.96	2.56			<b>4.88</b>				<b>7.06</b>
<b>2023</b>	.31				<b>.31</b>	.40	.28	.74	2.07	1.50	<b>4.99</b>	.18	.09	1.08	<b>6.65</b>
<b>2024</b>	.05				<b>.05</b>				.35	.50	<b>.85</b>	.03	.02	.18	<b>1.13</b>
	<b>.36</b>	<b>.00</b>	<b>.55</b>	<b>14.47</b>	<b>15.38</b>	<b>2.72</b>	<b>1.91</b>	<b>5.12</b>	<b>2.43</b>	<b>2.08</b>	<b>14.27</b>	<b>.21</b>	<b>.11</b>	<b>1.27</b>	<b>31.23</b>

\*Special one time allocation of HIP funding for years 2018, 2019, 2020. Redistributed for Call For Projects.

The July 2020 Call For Projects funding level by mode is included in **Table 4C** below.

<b>Table 4C</b>																
<b>Funding Summary: July 2020 Call For Projects*</b>																
<b>FHWA Sub Allocated Federal Aid</b>																
Program Levels By Mode and FHWA Funding Program. In YO E U.S. millions \$.																
STBGP-MAG - With OA applied					CMAQ Breakout - with OA applied							Specific Programs - OA applied			Grand Total For Programming	
Pinal Co. Arterial-Bridge	Systems Management + Ops <sup>3</sup>	RSP**	Arterial - ALCP	Total STBGP	Systems Management + Ops <sup>3</sup>	Arterial - ALCP	Transfer to Transit	Bicycle/ Ped.	Air Quality PM-10 Sweepers	Air Quality PM-10 Paving	Total CMAQ	CMAQ 2.5 Paving	Transportation Alternatives Urban & Non-Urban SRTS	Transportation Alternatives Urban & Non-Urban Infrastructure		
2021				.00					1.42		1.42					1.42
2022				.00							.00					.00
2023	1.35			1.35						5.84	5.84	.87				8.06
2024				.00						4.28	4.28					4.28
1.35 .00 .00 .00 1.35					.00 .00 .00 .00 1.42 10.12 11.54							.87 .00 .00			13.76	

\*Includes special one time allocation of Highway Improvement Program (HIP) funding for years 2018, 2019, 2020. Redistributed for Call For Projects.  
 \*\*New program area, Regional Council approved September 2019.  
<sup>3</sup> Systems Management and Operations (SM+O) programming is ongoing during FY2019-20. Total yearly amounts are displayed.  
 ■ Denotes previously programmed or no funding included during this Call For Projects. Overall revenue detail is included in the 2020 Programming Guidebook for the full 2020-2024 TIP.  
 ■ Will be programmed by the Life Cycle programming process. See the Programming Guidebook for general schedule information.

Note: Funding is subject to substantial change.

Program areas include the new Roadway Safety Program (RSP) funded through an exchange of STBGP funding with Highway User Revenue funding. Also included in the July Call for Projects is the Transportation Alternatives funded Safe Routes to School program that funds non-infrastructure safety projects. **See Table 4D** below.

<b>Table 4D</b>			
<b>FHWA Sub Allocated Funding Summary: July 2020 Call For Projects*</b>			
Program Levels By Mode and MAG Program. In YO E U.S. millions \$.			
<b>Safety Programs</b>			
Year	RSP**	Transportation Alternatives Urban & Non-Urban SRTS	Grand Total For Programming
2021			.00
2022	1.88		1.88
2023		.33	.33
2024		.37	.37
	1.88	.69	2.57

\*Includes Special one time allocation of HIP funding for years 2018, 2019, 2020. Redistributed for Call For Projects.  
 \*\*New program area, Regional Council approved, September 2019. STBGP to exchange for HURF.  
 ■ Denotes previously programmed or no funding included during this Call For Projects.

# TRANSPORTATION PROJECT CATEGORIES AND CONTACTS

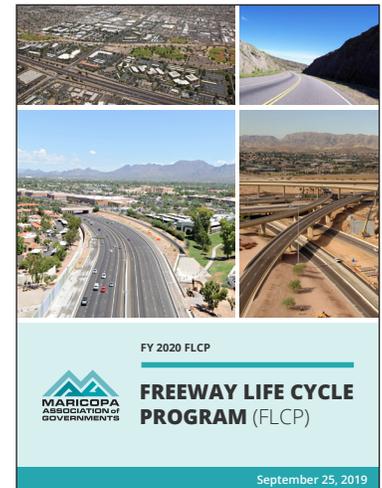
This section of the Transportation Programming Guidebook contains detailed information that is organized by the type of transportation project/program. Each area also will include contact information, programming tools, and deadlines.



## INFORMATION

### *Freeways and Highways*

The Freeway Life Cycle Program (FLCP) is the management tool for the implementation of the freeway and highway projects identified in the MAG Regional Transportation Plan (RTP). The program is maintained by the Arizona Department of Transportation (ADOT) and implements the priorities established by MAG. The program utilizes funding from the Proposition 400 half-cent sales tax as well as from other state and federal revenue sources. MAG works cooperatively with ADOT to program the TIP and the RTP. Biannual Life Cycle Certification reports are produced at the end of January and July of each year. The Five-Year Construction Program is usually approved each June by the State Transportation Board, which incorporates information from the MAG TIP.



For member agencies or private developers who have questions about freeway and highway projects, please contact:



## CONTACT

### **MAG—Transportation Policy and Planning Division**

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### **Arizona Department of Transportation**

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## RESOURCES

<https://azmag.gov/FLCP>  
<https://azdot.gov/projects/central-district-projects>  
<https://azdot.gov/business/project-management-services/regional-freeway-system-project-management>

List of Applicable Funds (See Distribution of Projected Regional Revenues on [page 29](#))

- ½ Cent Sales Tax (RARF and PTF)
- State and HURF
- Proceeds, interest, 3rd PB, & Other
- ADOT FHWA Funds
- CMAQ FHWA
- Local

Project process information for federal fund programs can be found in [Section 6](#) and [Appendix D](#) for MAG federal fund programming guidelines and procedures.

Project process information for locally sponsored federally funded project development can be found in [Section 7](#) and [Appendix D](#) for MAG federal fund programming guidelines and procedures.



Freeway Life Cycle Program—Fiscal Year 2021	
2020	
February	Project Schedule Review, Financial Analysis.
March-April/ May	Project updates and Modeling as needed.
May	Transportation Review Committee to review and recommend approval of project changes for the FY 2021 FLCP.
June	Management Committee, Transportation Policy Committee, and Regional Council to review and recommend approval/approve project changes for the FY 2021 FLCP.
August	Life Cycle Certification of the Regional Transportation Plan, Freeway and Highway Program (RTPFP) report completed.
October	State Transportation Board approves FY 2021 – FY 2025 Five Year Transportation Construction program
November- December	TPC: Review and possible recommendation of project changes to the FLCP for Spring AQCA.
2021	
January	ADOT to generate updated project cost estimates and analyze project schedules. Develop Tentative ADOT Five-Year Transportation Construction Program.
February - March	February project updates and modeling as needed for Conformity and draft TIP/RTP publication.
May	Transportation Policy Committee and Regional Council to review and recommend approval/approve the draft FY 2021 FLCP.
June	State Transportation board approves FY 2022 – FY 2026 Five Year Transportation Construction Program. MAG approves amendments to the FY 2020-2024 TIP and 2040 RTP Update.
July - August	Publish Life Cycle Certification of the Regional Transportation Plan Freeway Program.

*Note: Meetings for Calendar year 2020-2021 are tentative at this time. All scheduled dates are subject to change.*



## Transit

Through the Committee process starting at the MAG Transit Committee, MAG programs capital transit projects to be funded with federal funds according to Regional Programming Guidelines for Federal Transit Formula Funds. MAG staff works with MAG member agencies, the Designated Recipient (City of Phoenix), and the transit operators in the region: City of Phoenix, Regional Public Transportation Authority (RPTA), Valley Metro Rail (METRO), City of Glendale, City of Scottsdale, and the City of Peoria, which also help determine and program capital needs to support the operational aspects of the transit system.



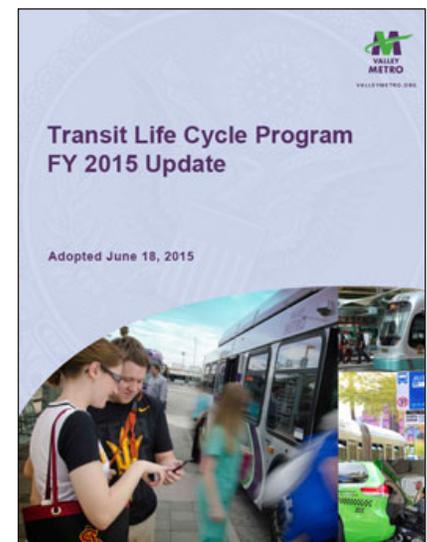
Additionally, the ADOT Transit Section, as the State Designated Recipient, provides programming for rural areas and in some cases for small urbanized areas. General eligibility for certain programs is noted graphically in the maps on [pages 44 and 45](#).

Fiscal Year (FY) 2021 transit programming in the MAG region will focus on:

- Integrating TLCP changes through the MAG Committee process
- Coordinating information with RPTA on upcoming service changes and fleet needs
- Developing the FY 2021 Transit Program of Projects (POP) and Working Draft 2022 POP
- Submitting federal grants to Federal Transit Administration (FTA)
- Updating transit project development status as needed and making changes to the MAG FY 2020 – 2024 TIP.
- Programming transit discretionary projects per the MAG Regional Programming Guidelines for Federal Transit Formula Funds
- Developing a near-term programming methodology for bus stop improvements that addresses Americans with Disabilities Act (ADA) accessibility to transit
- Developing a long-term programming methodology for bus stop improvements that addresses ADA accessibility to transit

## Transit Life Cycle Program

Updates to the *Transit Life Cycle Program (TLCP)* occur annually and the projects are programmed using federal and Public Transportation Funds (PTF). The program is updated as a coordinated effort between RPTA and Valley Metro, working with the member agencies in the region. It reflects the principles and goals as stated in the *Regional Transportation Plan (RTP) Update* and plans for funding of regional routes, capital projects and bus replacements according to its stated guiding principles.



## Transit Program of Projects

The Transit Program of Projects (POP) is a list of transit projects for a fiscal year that reconciled with the actual federal apportionments and allocations that are approved by Congress. The schedule of when MAG moves forward with the Transit POP is dependent on Congressional action, but in general, Congress usually approves the apportionments and allocations in the spring, and then the reconciliation of funds can begin. The FY 2020-2024 MAG TIP programs projects based on FAST Act legislation and funding apportionments. This includes new funding sources and elimination or reduction of traditional funding allocations. Transit funding sources and funding allocations may change depending on Congressional action regarding a transportation reauthorization bill.



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RESOURCES

MAG Transit Committee:

[www.azmag.gov/Committees/Technical-Committees/Transit-Committee](http://www.azmag.gov/Committees/Technical-Committees/Transit-Committee)

List of Applicable Funds (Distribution of Projected Regional Revenues on [page 29](#))

- ½ Cent Sales Tax (PTF)
- FTA 5307 & 5307-AVN
- FTA 5337-HI, 5337-HI AVN, 5337-FGM
- FTA 5339
- FTA New Starts/Small Starts
- Nationwide Competitive Federal Aid
- ADOT-STBGP Flex
- CMAQ FHWA Flex
- MAG-STBGP Flex

Project process information for federal fund programs can be found in [Section 6](#) and [Appendix G](#) for MAG federal fund programming guidelines and procedures.



## SCHEDULE

<b>Transit Committee—2020 and 2021</b>		
<b>2020</b>		
August	3	MAG Transit Committee
September	14	MAG Transit Committee*
	23	Conformity contingent project changes due
October	5	MAG Transit Committee
November	2	MAG Transit Committee
December	7	MAG Transit Committee
<b>2021</b>		
January	11	MAG Transit Committee
February	1	MAG Transit Committee
March	1	MAG Transit Committee* FY 2021 Program of Projects (POP) Recommended Approval**
	25	MAG Transportation Review Committee FY 2021 Program of Projects (POP) Recommended Approval**
April	5	MAG Transportation Review Committee
	7	MAG Management Committee FY 2021 Program of Projects (POP) Recommended Approval**
	28	MAG Regional Council FY 2021 Program of Projects (POP) Approval**
May	3	MAG Transit Committee
June	7	MAG Transit Committee
	15	FTA Grant Submittal Deadline
July	12	MAG Transit committee*
	15	Flex transfer deadline
August	2	MAG Transit Committee
September	6	MAG Transit Committee
October	4	MAG Transit Committee
November	1	MAG Transit Committee
December	6	MAG Transit Committee
*If needed.		
**Timing is dependent on FTA apportionment notification and conformity schedule.		
Note: Dates for calendar year 2021 are tentative at this time. All scheduled dates are subject to change.		



## INFORMATION

## *Transit—Federal Transit Administration, Section 5310: Enhanced Mobility of Seniors and Individuals with Disabilities*

The Fixing America's Surface Transportation (FAST) Act, transportation authorization bill provides for surface transportation infrastructure planning and investment funding. The Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program provides funds to support public transportation capital projects planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, unavailable, or inappropriate (Traditional Section 5310 capital procurement). Additionally, funding is provided for capital and operating expenses that support public transportation services that go beyond those required by the Americans with Disabilities Act (ADA) of 1990 (Other Operating and Capital eligible activities). This grant program is available to private non-profit agencies and public bodies that provide transportation services for older adults and individuals with disabilities.



Under the FAST Act, federal guidelines allow large Urbanized Areas (UZAs) with populations over 200,000, to directly administer Section 5310 funds. In 2013, then Governor Brewer approved to change the Designated Recipient for the Phoenix-Mesa UZA to the City of Phoenix Public Transit Department. In 2015, MAG and the City of Phoenix Public Transit Department mutually agreed for MAG to coordinate the application and programming process. The Section 5310 federal program for the Phoenix-Mesa UZA is programmed through MAG on an annual basis through an open competitive application process with a regional emphasis. The City of Phoenix, as the Designated Recipient, is responsible for capital procurement, grant management, and federal compliance on behalf of the Phoenix-Mesa UZA (5310 program). Applicant eligibility is denoted in the General FTA Eligibility 5310 Areas map. For additional information, please see the MAG website:



Elderly and Persons with Disabilities Transportation Committee:

[www.azmag.gov/Committees/Technical-Committees/Elderly-and-Persons-with-Disabilities-Transportation-Committee](http://www.azmag.gov/Committees/Technical-Committees/Elderly-and-Persons-with-Disabilities-Transportation-Committee)

For more information on MAG Human Services Transportation visit:

<http://azmag.gov/Programs/Transportation/Human-Services-Transportation>



## RESOURCES

For more information on capital procurement, program management, and federal compliance for the Phoenix-Mesa UZA visit:

<https://www.phoenix.gov/publictransit/subrecipient-resources>

The Arizona Department of Transportation (ADOT) is the Designated Recipient responsible for grant management, compliance and programming of the Small Urbanized Areas and the Non-urban areas for Section 5310. **See the *General FTA Eligible 5310 Areas map (page 44)*.**

For more information on the program management and schedule for the ADOT led Section 5310 program visit:

<https://www.azdot.gov/planning/TransitProgramsandGrants/program-handbook-applications-and-awards>

Distribution of FTA 5310 Projected Regional Revenue on [page 29](#).



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**ADOT Section 5310 contact:**

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Arizona Department of Transportation

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p. 602.712.8774

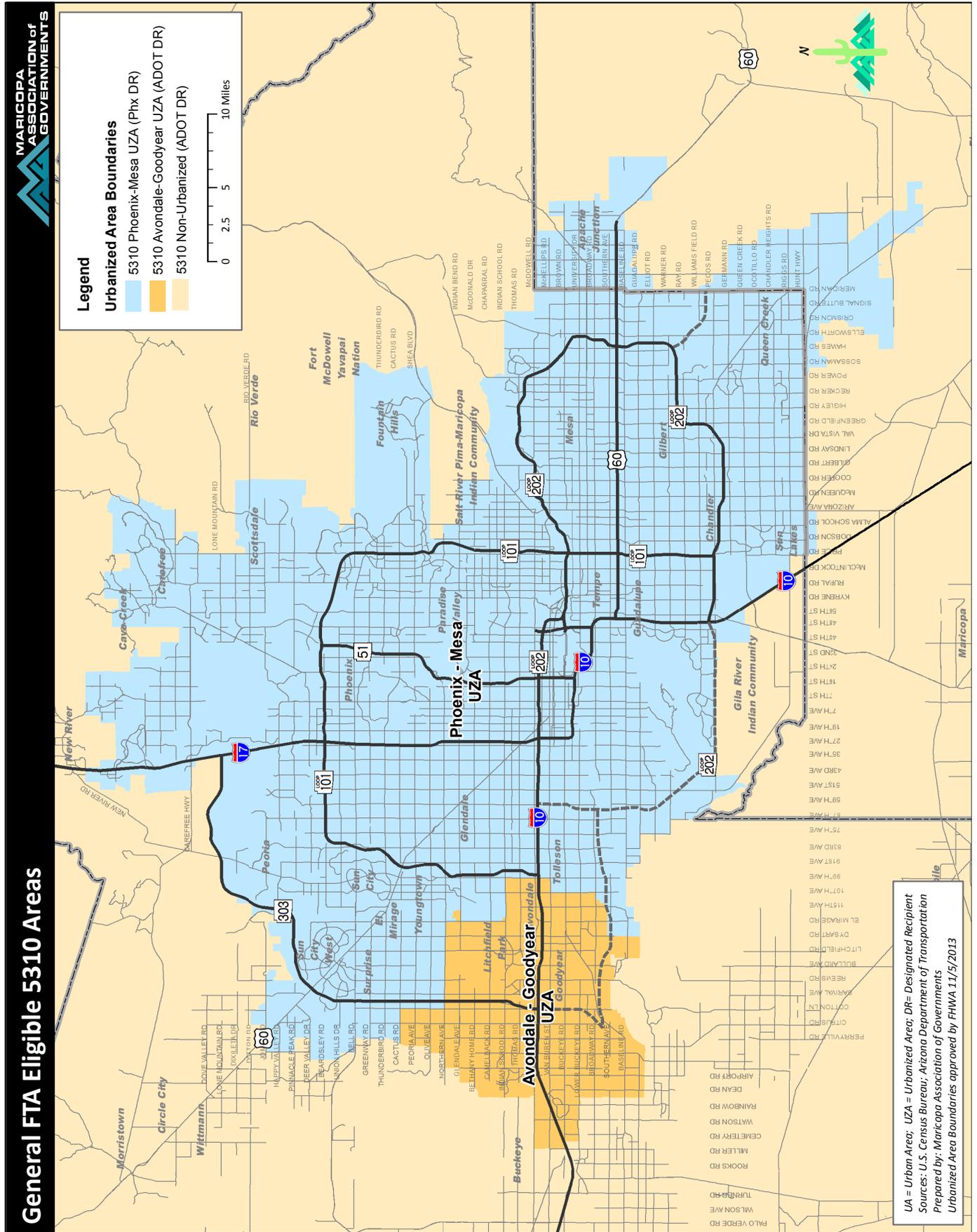
e-mail: [Lpost@azdot.gov](mailto:Lpost@azdot.gov)

**See the following schedule.**



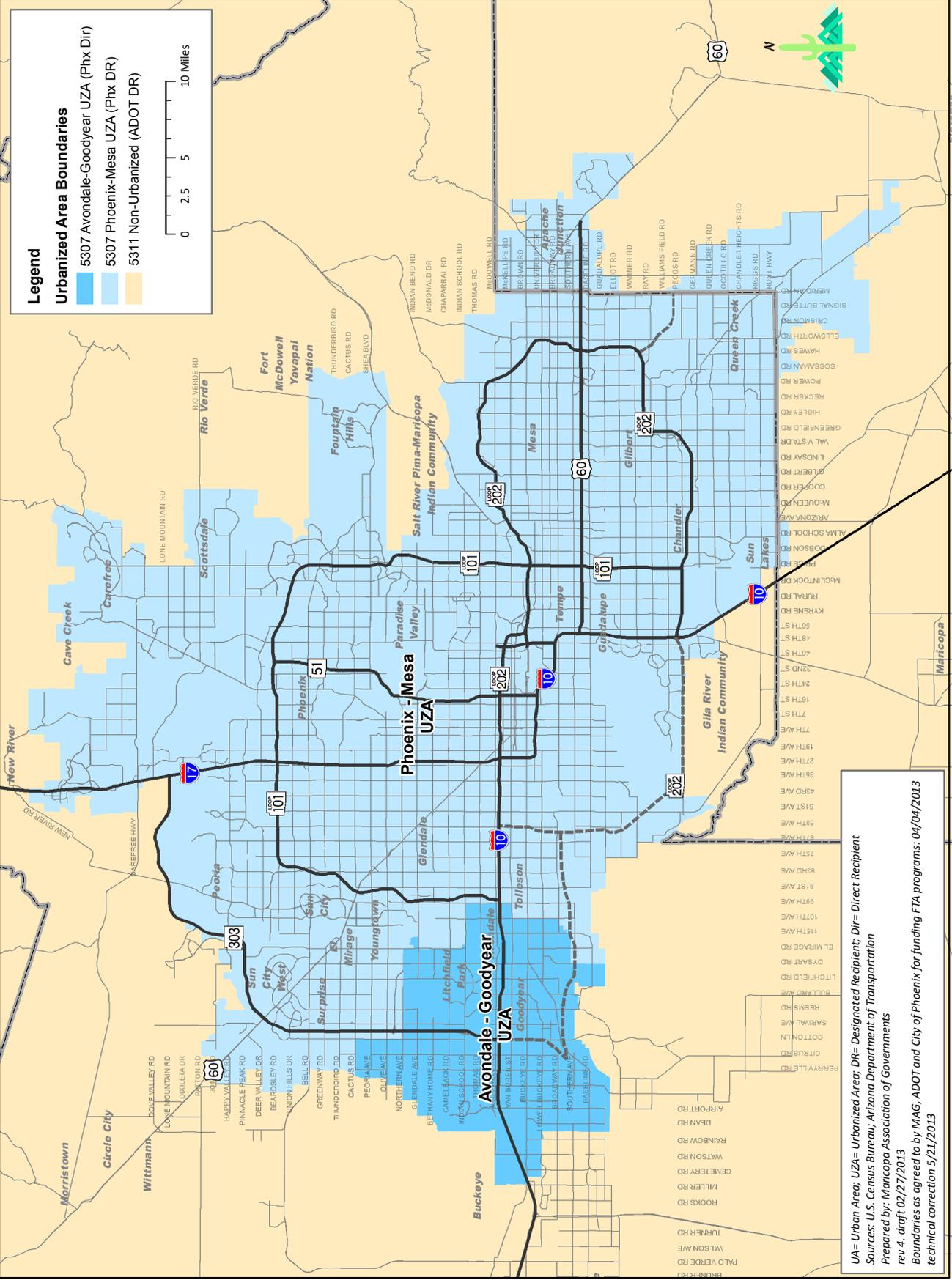
SCHEDULE

<b>5310 - Transportation for Elderly Persons and Persons with Disabilities*</b>	
<b>2021*</b>	
January	Public notice of funding available, application published, support materials available
February	Proposal Assistance Workshop - MAG Office
	Application assistance provided; applications due
	Publish list of applicants for public comment
March	Regional Evaluation Committee receives applications, public comments, instructions for evaluation, and ranking process
April	Applicant Interviews with Regional Evaluation Committee
	Regional Evaluation Committee develops prioritized listing of projects for recommendation
May	Priority listings forwarded through MAG Committees for recommendations
June	Priority listings recommendations forwarded to MAG Regional Council for Approval
	Final funding recommendation forwarded to City of Phoenix Public Transit Department
	MAG TIP Amendment approved at Regional Council
July - August	City of Phoenix Public Transit Department FTA application submittal process
	Notification to applicants regarding project selection; appeal deadline
	Regional Evaluation Committee debriefs on applications process
September - November	City of Phoenix Public Transit Department subrecipient agreement process and subrecipient orientation workshop
Late 2021	Projected availability of funds
<b>2022*</b>	
Spring 2021	Vehicle delivery from previous grant application process.
January	Public notice of funding available, application published, support materials available
February	Proposal Assistance Workshop - MAG Office
	Application assistance provided; applications due
	Publish list of applicants for public comment
March	Regional Evaluation Committee receives applications, public comments, instructions for evaluation, and ranking process
April	Applicant Interviews with Regional Evaluation Committee
	Regional Evaluation Committee develops prioritized listing of projects for recommendation
May	Priority listings forwarded through MAG Committees for recommendation of approval
June	Priority listings recommendations forwarded to MAG Regional Council for Approval
	Final funding recommendation forwarded to City of Phoenix Public Transit Department
	MAG TIP Amendment approved at Regional Council
July - August	City of Phoenix Public Transit Department FTA application submittal process
	Notification to applicants regarding project selection; appeal deadline
	Regional Evaluation Committee debriefs on applications process
September - November	City of Phoenix Public Transit Department subrecipient agreement process and subrecipient orientation workshop
Late 2022	Projected availability of funds
<b>2023*</b>	
Spring 2023	Vehicle delivery from previous grant application process.
<i>Note: Meeting for calendar years are tentative at this time. All scheduled dates are subject to change*.</i>	





General FTA Eligible 5307 & 5311 Areas



**Legend**

**Urbanized Area Boundaries**

- 5307 Avondale-Goodyear UZA (Phx Dir)
- 5307 Phoenix-Mesa UZA (Phx DR)
- 5311 Non-Urbanized (ADOT DR)

0 2.5 5 10 Miles

UA= Urban Area; UZA= Urbanized Area; DR= Designated Recipient; Dir= Direct Recipient  
 Sources: U.S. Census Bureau; Arizona Department of Transportation  
 Prepared by: Maricopa Association of Governments  
 rev 4. draft: 02/27/2013  
 Boundaries as agreed to by MAG, ADOT and City of Phoenix for funding FTA programs: 04/04/2013  
 technical correction 5/21/2013



## Arterials: Private and Locally Developed



### INFORMATION

The TIP and RTP must meet air quality conformity requirements. To demonstrate conformity, current and planned arterial roadways need to be accurately reflected in MAG travel demand networks that are used to estimate future vehicle miles of travel and mobile source emissions.



Member agencies provide data for arterial roadways through the following mechanisms:

- Review of MAG mode networks maps for the current and future years
- Submission of projects to be included in the TIP
- Submission and revision of projects included in the ALCP

The data included in the model networks from these submissions are as follows:

- The alignment of roadways
- The number of through lanes by direction on roadways
- The facility type of roadway—e.g., freeway, expressway, arterial, collector



### RESOURCES

Additional information on all regionally significant projects including freeway, transit, transit rail, and projects on the National Highway System (NHS) will be included in project updates for the TIP and model networks. The Maricopa Association of Governments (MAG) and the Sun Corridor Metropolitan Planning Organization (SCMPO) share two air quality nonattainment areas within Pinal County. MAG, in coordination with SCMPO, will be collecting information on regionally significant projects and performing a conformity analysis July 2020–March 2021. Additionally, MAG will be completing a spring conformity analysis. Schedules are subject to change.



### CONTACT

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List of Applicable Funds

- Locally funded
- Private development

## Conformity Schedules

See the following pages for the Pinal and Maricopa County July 2020–March 2021 Conformity schedule.



July 2020–March 2021 Air Quality Conformity Schedule		
2020		
July	17	MAG: Begin - Compile Listing of FLCP and ADOT Changes
	17	MAG: Begin - Compile Listing of Member Agency Change Requests
	17	MAG: Begin - Compile Listing of Rail Changes
	17	SCMPO: Begin - Compile Listing of SCMPO Changes
September	22	MAG: Begin - Prepare TIP Amendment and Program of Projects (POP)
	22	SCMPO: Begin - Prepare TIP Amendment
	23	MAG: Complete - Compile Listing of FLCP and ADOT Changes
	23	MAG: Complete - Compile Listing of Member Agency Change Requests
	23	MAG: Complete - Compile Listing of Rail Changes
	23	SCMPO: Complete - Compile Listing of SCMPO Changes
	24	MAG: Begin - Update Model Networks
October	21	SCMPO: Complete - Prepare TIP Amendment
	22	SCMPO: Begin - Technical Board Approval to Release for Public Comment
	26	MAG: Complete - Update Model Networks
	27	MAG: Begin - Run Travel Demand Model Simulations
	29	SCMPO: Complete - Technical Board Approval to Release for Public Comment
November	2	SCMPO: Begin - Executive Board Approval to Release for Public Comment
	9	MAG: Begin - Perform Air Quality Modeling
	9	MAG: Complete - Run Travel Demand Model Simulations
	10	SCMPO: Complete - Executive Board Approval to Release for Public Comment
December	9	MAG: Complete - Perform Air Quality Modeling
	9	MAG: Complete - Prepare TIP Amendment and Program of Projects (POP)
	10	MAG: Begin - Prepare Consultation Memo
	10	SCMPO: Begin - Prepare Consultation Memo
	11	SCMPO: Complete - Prepare Consultation Memo
	14	SCMPO: Begin - Place Ad & Post Materials
	14	SCMPO: Complete - Place Ad & Post Materials
	15	SCMPO: Begin - Public Comment Period
	16	MAG: Complete - Prepare Consultation Memo
	17	MAG: Begin - Place Ad and Post Materials
	18	MAG: Complete - Place Ad and Post Materials
	19	MAG: Begin - Public Comment Period

Continued.

<b>July 2020–March 2021 Air Quality Conformity Schedule</b>		
<b>2021</b>		
January	14	SCMPO: Complete - Public Comment Period
	15	SCMPO: Begin - Prepare Public Input Summary
	17	MAG: Complete - Public Comment Period
	18	MAG: Begin - Prepare Public Input Summary
	18	SCMPO: Complete - Prepare Public Input Summary
	21	MAG: Complete - Prepare Public Input Summary
	22	MAG: Begin - TRC Review of TIP Amendment
	28	MAG: Complete - TRC Review of TIP Amendment
February	1	MAG: Begin - Management Committee Action: Review TIP Amendment and Finding of Conformity
	10	MAG: Begin - TPC Review of TIP Amendment
	10	MAG: Complete - Management Committee Action: Review TIP Amendment and Finding of Conformity
	17	MAG: Begin - Regional Council Approval of TIP Amendment and Finding of Conformity
	17	MAG: Complete - TPC Review of TIP Amendment
	17	SCMPO: Begin - TAC Review: Package Prep through Meeting
	24	MAG: Complete - Regional Council Approval of TIP Amendment and Finding of Conformity
	25	MAG: Begin - Convey Amendment and Conformity Finding to ADOT for Approval and to Convey to Federal Agencies for Conformity Approval
	25	SCMPO: Complete - TAC Review: Package Prep through Meeting
	26	MAG: Complete - Convey Amendment and Conformity Finding to ADOT for Approval and to Convey to Federal Agencies for Conformity Approval
March	1	SCMPO: Begin - SCMPO Executive Board
	9	SCMPO: Complete - SCMPO Executive Board
	10	SCMPO: Begin - Convey Amendment and Conformity Finding to ADOT for Approval and to Convey to Federal Agencies for Conformity Approval
	10	SCMPO: Complete - Convey Amendment and Conformity Finding to ADOT for Approval and to Convey to Federal Agencies for Conformity Approval
<p>*Maricopa nonattainment and maintenance areas will be analyzed for 2018 base year, 2025, 2035, and 2040. Pinal County PM-10 and PM-2.5 nonattainment areas will be analyzed for 2018 base year, 2025, 2035, and 2040. Base year will be FY 2019.</p>		
<p>• This schedule is subject to change. Flexibility is needed to meet federal Clean Air Act mandates and changes in guidance from the Environmental Protection Agency and U.S. Department of Transportation.</p>		
<p>• NOTE: Meeting dates for CY 2020 and 2021 are tentative and subject to change. Please verify dates and times of meetings on the MAG website.</p>		
<p>• Regionally Significant includes local, regional, state, and federal projects, regardless of funding type.</p>		
<p>MAG defines a Regionally Significant project as: A transportation project that is on a facility which serves regional transportation needs (e.g., urban freeways, other urban or rural principal arterials; and the one-mile grid street network and extensions thereof), and those that would normally be included in the modeling of the transportation network. Transportation projects that are greater than one-half mile in length, impact freeways or freeway interchanges, alter the number of striped through-lanes for motor vehicle use, or are reflected in the transportation network used by MAG for regional transportation modeling purposes.</p>		



INFORMATION

## Pinal County Arterial—Bridge Program

On May 9, 2013, Governor Brewer approved the MAG metropolitan planning area boundary expansion into Pinal County. The new boundaries included the Town of Florence, City of Maricopa, portions of Pinal County, and the balance of the City of Apache Junction, the Gila River Indian Community, and the Town of Queen Creek. With the addition of this area into MAG came a sub-allocation of federal Surface Transportation Block Grant Program (STBGP-MAG) funds, which are allocated statewide based on population.



P I N A L • C O U N T Y

Only projects within the Pinal County area of MAG are eligible for funding under the Pinal County Arterial-Bridge program, and eligible roadways include parkways, principal arterials, minor arterials, and major collectors. Further, eligible activities include capacity expansion, rehabilitation of existing roadway infrastructure, rehabilitation of existing bridge infrastructure, intersection improvements, and drainage improvements. An estimated \$1.34 million for FY 2023 and FY 2024 is available for the program.

### Program Goals:

1. Expand capacity on existing roadways or intersections of high demand.
2. Maintain and preserve the region's transportation system.
3. Address safety concerns in existing roadways/intersections.
4. Promote connectivity between high demand/high capacity roadways and activity centers to advance economic viability.
5. Maintain consistency with stated jurisdictional policy.
6. Achieve a significant reduction in congestion on the region's transportation system.



SCHEDULE

The application for the competitive project selection process to select projects for FY 2023 and FY 2024 funding was announced on July 30, 2020 with applications due on September 10, 2020. Selected projects are anticipated to be in the TIP by June, 2021. Please see the Programming Schedule for more details.



CONTACT

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RESOURCES

List of Applicable Funds (Distribution of Projected Regional Revenues on [page 29](#))

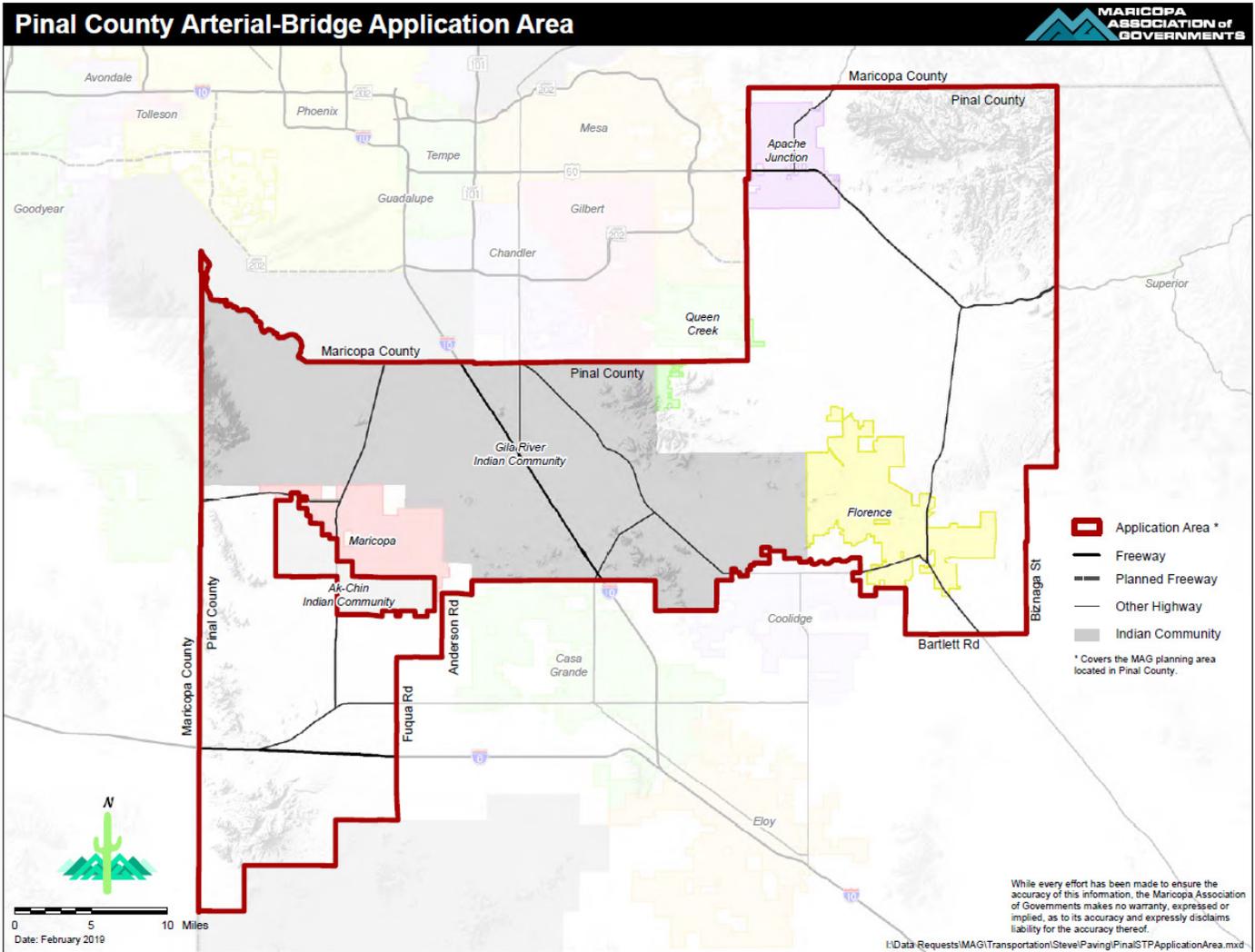
- STBGP-MAG
- STBGP-HIP
- Local
- PRTA, or other



Website: <https://azmag.gov/PCABP>

See map below.

RESOURCES





## Arterial Life Cycle Program

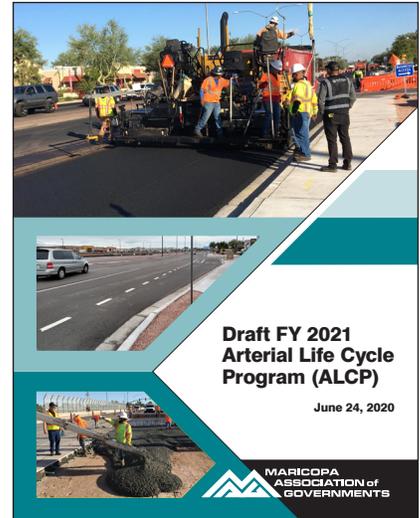
In 2004, MAG initiated development of the Arterial Life Cycle Program (ALCP) to provide management and oversight for the arterial projects contained in the Regional Transportation Plan (RTP). The ALCP is a key safeguard of Proposition 400 and represents almost \$1.6 billion of investment over a 20-year period.

The ALCP facilitates the effective and efficient implementation for each arterial project in the program that spans the 20-year life cycle, including location, regional funding, year of work, type of work, status of project, and the lead agency. The ALCP is updated on an annual basis each fiscal year (FY). However, updates may occur more frequently, as needed.

All project information is due to MAG by January 25, 2021. MAG staff will assist lead agencies with the update process, including the appropriate schedule to follow for projects programmed in the ALCP. The ALCP project information is detailed in an Excel workbook by each lead agency, which allows for members to update project status, work phases, and schedules.

The instructions and workbook are available at the ALCP web page:

[www.azmag.gov/Programs/Transportation/Programming-and-Finance/Arterial-Life-Cycle-Program](http://www.azmag.gov/Programs/Transportation/Programming-and-Finance/Arterial-Life-Cycle-Program)



### MAG—Transportation Policy and Planning Division

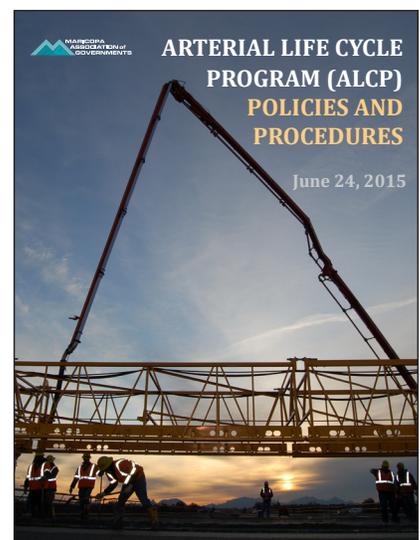
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### ALCP Policies & Procedures FY 2020 Arterial Life Cycle Program

List of Applicable Funds (Distribution of Projected Regional Revenues on [page 29](#))

- ½ Cent Sales Tax (RARF)
- STBGP-MAG FHWA
- STBGP-HIP
- CMAQ FHWA



Project process information for federal fund programs can be found in [Section 6](#).

Arterial Life Cycle Program - Fiscal Year 2021		
2020		
July	7	Street Committee to review the ALCP Status Report for the period between January 2020 and June 2020.
	23	Transportation Review Committee to review the ALCP Status Report for the period between January 2020 and June 2020.
August	12	Management Committee to review the ALCP Status Report for the period between January 2020 and June 2020.
	19	Transportation Policy Committee to review the ALCP Status Report for the period between January 2020 and June 2020.
	26	Regional Council to review the ALCP Status Report for the period between January 2020 and June 2020.
2021		
January	5	MAG provides Lead Agencies with project workbooks to provide work schedule and cost updates to develop the FY 2022 ALCP.
	5	Street Committee to review the ALCP Status Report for the period between July 2020 and December 2020.
	13	<b>DUE DATE:</b> Lead Agencies requesting substitute projects or changes in scope to submit required materials for Street Committee Agenda Packet.
	21	Transportation Review Committee to review the ALCP Status Report for the period between July 2020 and December 2020.
	25	<b>DUE DATE:</b> Lead Agencies provide completed project workbooks to MAG.
February	9	Street Committee to review requests to substitute projects or changes in scope.*
	10	Management Committee to review the ALCP Status Report for the period between July 2020 and December 2020.
	17	Transportation Policy Committee to review the ALCP Status Report for the period between July 2020 and December 2020.
	24	Regional Council to review the ALCP Status Report for the period between July 2020 and December 2020.
March	2	MAG to provide Member Agencies with the first draft of the FY 2022 ALCP.
	9	<b>DUE DATE:</b> Lead Agencies' comments/revisions on the Draft FY 2022 ALCP due to MAG staff.
April	1	<b>DUE DATE:</b> Lead Agencies to notify MAG Staff of FY 2021 RARF and Federal Fund Closeout project eligibility.**
	19	<b>DUE DATE:</b> Lead Agencies must submit a commitment letter signed by the City/County/Town manager or designee and copies of the current draft of the agency's CIP that demonstrate local funding for the project.
	29	Transportation Review Committee to review and recommend approval of the FY 2021 RARF and Federal Fund Closeout ALCP project recommendations.**
May	7	<b>DUE DATE:</b> All FY 2021 RARF funded Project Reimbursement Requests due to MAG by close of business.
	12	Management Committee to review and recommend approval of the FY 2021 RARF and Federal Fund Closeout ALCP project recommendations.**
	19	Transportation Policy Committee to review and recommend approval of the FY 2021 RARF and Federal Fund Closeout ALCP project recommendations.**
	26	Regional Council to review and approve the FY 2021 RARF and Federal Fund Closeout ALCP project recommendations.**
	27	Transportation Review Committee to review and recommend approval of the Draft FY 2022 ALCP.
June	9	Management Committee to review and recommend approval of the Draft FY 2022 ALCP.
	16	Transportation Policy Committee to review and recommend approval of the Draft FY 2022 ALCP.
	23	Regional Council to review and approve the Draft FY 2022 ALCP, contingent on a finding of conformity.

\* As necessary

\*\*Subject to the availability of RARF and federal fund closeout funds.



## Active Transportation

The majority of bicycle and pedestrian projects that are listed in the 2020-2024 TIP are programmed from the MAG CMAQ and Transportation Alternatives federal fund program.

The *Regional Transportation Plan* dedicates 17 percent of MAG CMAQ funding for bicycle and pedestrian projects. The project construction mode cost sharing rate will be 93.4 percent federal funding with a 5.7 percent local contribution. There is an established competitive project selection process to program projects with CMAQ funds that is explained in [Section 6](#). Information on the Transportation Alternatives program can be found on [page 69](#).

The Active Transportation Committee meets the third Tuesday of each month at 1:00 p.m.

<http://www.azmag.gov/Committees/Technical-Committees/Active-Transportation-Committee>

Please contact Jason Stephens with questions.



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List of Applicable Funds (Distribution of Projected Regional Revenues on [page 29](#))

- CMAQ FHWA
- Transportation Alternatives FHWA

Project process information for federal fund programs can be found in [Section 6](#) and [Appendix D](#) for MAG federal fund programming guidelines and procedures.

Project process information for locally sponsored federally funded project development can be found in [Section 7](#).



## INFORMATION

## Intelligent Transportation Systems (ITS)

ITS projects are identified in the System Management and Operations (SM&O) plan approved by the MAG Regional Council in August 2018. The SM&O plan phase 1 implementation recommended a list of projects for the fiscal years 2020-2024 with an approximate cost of \$79.6 million dollars.

[https://www.azmag.gov/Portals/0/Documents/MagContent/SMO\\_2018-07-17\\_Funding-Plan-for-Phase-1-SMO-FY2020-2024\\_ATTACHMNT-B.pdf](https://www.azmag.gov/Portals/0/Documents/MagContent/SMO_2018-07-17_Funding-Plan-for-Phase-1-SMO-FY2020-2024_ATTACHMNT-B.pdf)



The SM&O plan produced a list of investment strategies in transportation technology and ITS infrastructure that will support critical operations and management of the region's transportation system. The Plan established four priority categories: Integrated Corridor Management, Regional Priority Arterials, Local Priority Corridors, and Enhanced Operations & Management. The ITS projects were recommended in the four priority categories, respectively.

**Integrated Corridor Management** – ICM will support improved freeway-arterial coordination, particularly when an incident closes a freeway and diverts traffic to adjacent arterial routes. The ICM priorities include all freeways in the MAG region and the adjacent arterial corridors and intersecting arterials that provide direct support for the freeway as a detour route.

**Regional Priority Arterials** – These are the key corridors that are among the most traveled in the region, are the critical routes for transit and freight, and they connect travelers to freeways and destinations. These corridors were identified as regionally significant based on a data-driven assessment using safety, reliability, and vehicle-miles-traveled as criteria.

**Local Priority Corridors** – Local agencies will be able to identify priorities available for local projects through the Transportation Improvement Program (TIP) programming process.

**Enhanced Operations and Management** – These are regional activities and initiatives essential to support operations at the regional level, such as staffing for virtual traffic management centers (TMCs), traffic management training, traffic incident management, regional data integration, performance reporting, and other related activities. Emphases are given to promote operational collaborations across the region.

By targeting regional funding resources toward high-priority investment categories and corridors identified in the SM&O Plan, MAG will be able to allocate resources in a systematic manner toward system reliability, efficiency, and safety priorities that have been identified for the region.

ITS projects that are recommended in the SM&O Plan will be programmed in the TIP through a competitive process that is overseen by the Intelligent Transportation Systems (ITS) Committee. The Intelligent Transportation Systems (ITS) Committee meets the first Wednesday of each month at 10:00 a.m. Please contact Jeff Jenq with questions.

[www.azmag.gov/Committees/Technical-Committees/Intelligent-Transportation-Systems-Committee](http://www.azmag.gov/Committees/Technical-Committees/Intelligent-Transportation-Systems-Committee)

ITS TIP Project Application—Evaluation		
Evaluation Criteria		
1.	Quantitative Score – measures specific to priority category	30%
2.	Qualitative Score – how well project meets objectives specific to priority category	40%
3.	Air Quality Cost Effectiveness Score – emissions reduction potential; by Air Quality TAC	15%
4.	Presentation Score – project meets scope, schedule and budget	10%
5.	Partner Agency/Companion Project Score – demonstration of regional collaboration with other ITS projects	5%
	<b>Total</b>	<b>100%</b>



#### CONTACT

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#### RESOURCES

Systems Management and Operations Plan:

<https://www.azmag.gov/Programs/Transportation/TSMO-ITS/Systems-Management-and-Operations-Plan>

List of Applicable Funds (Distribution of Projected Regional Revenues on [page 29](#))

- STBGP-MAG FHWA
- CMAQ FHWA
- Local

Project process information for federal fund programs can be found in [Section 6](#) and [Appendix D](#) for MAG federal fund programming guidelines and procedures.

Project process information for locally sponsored federally funded project development can be found in [Section 7](#).



## Highway Safety Improvement Program (HSIP)

The Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) established the Highway Safety Improvement Program (HSIP) as a core Federal-aid program. The HSIP is continued under the current Fixing America's Surface Transportation (FAST) Act, with the purpose of achieving a significant reduction in traffic fatalities and serious injuries on all public roads through the implementation of highway safety improvements. The Arizona Department of Transportation (ADOT) is responsible for administering the state's HSIP program that programs nearly \$42 million per year for road safety improvement projects across the state. ADOT's Highway Safety Section is responsible for the development of guidelines related to process and determining project eligibility. Oversight is provided by the Federal Highway Administration (FHWA).



In April 2016, the Final Rules on HSIP and Safety Performance Management Measures (Safety PM) announced earlier by the FHWA became effective. The HSIP Final Rule updates all existing HSIP requirements and clarifies existing program requirements. The Safety PM Final Rule added federal regulations for implementation of performance management requirements, including specific safety performance measure requirements for the purpose of carrying out the HSIP to assess serious injuries and fatalities on all public roads.

The Safety PM Final Rule has established five performance measures as the five-year rolling averages for:

- Number of Fatalities
- Rate of Fatalities per 100 million Vehicle Miles Traveled (VMT)
- Number of Serious Injuries
- Rate of Serious Injuries per 100 million VMT
- Number of Total Non-motorized Fatalities and Non-motorized Serious Injuries

The Safety PM Final Rule also established the process for State Departments of Transportation (DOTs) and Metropolitan Planning Organization (MPOs) to establish and report their safety targets, and the process that FHWA will use to assess whether State DOTs have met or made significant progress toward meeting their safety targets. The Safety PM Final Rule also established a common national definition for serious injuries.

The current process in Arizona for programming HSIP funds focuses on reducing fatalities and serious injuries on all public roads by three to seven percent as documented in the *2014 Arizona Strategic Highway Safety Plan (SHSP)*. For the most efficient use of the HSIP funds, MPOs & COGs and the State will be nominating safety projects that demonstrate mitigation of fatal and serious injury crashes.

In 2018, The Arizona DOT developed statewide targets to be published in their August 31,

2019 HSIP Annual Report. MAG is required to EITHER establish targets for the same five performance measures within 180 days after the State establishes the targets, OR adopt the statewide targets to be established by ADOT. In February 2020, MAG submitted a letter informing ADOT that, in compliance with the requirements stated in the 2016 FHWA Final Rule on Road Safety Performance, MAG, in consultation with ADOT staff, established five road safety targets for calendar year 2019 for the MAG planning area, compatible with the statewide road safety targets established by ADOT in August 2019.

## Programming of HSIP for Road Safety Improvements

The process for programming HSIP funds has been adopted by ADOT to guide the programming of qualifying safety projects. As of the calendar year cycle for programming FY 2021 safety funds, all candidate road safety projects statewide would compete for federal HSIP funds based on the same criteria, regardless of where the project is located—whether on an ADOT owned-facility or on a locally owned facility.

Here are some highlights of the HSIP programming process:

1. Minimum cost of an HSIP funded project was set to \$250,000 with immediate effect for all HSIP projects. ADOT will not process any new HSIP project application with a total project cost less than \$250,000. This will be applied to all road safety projects in all program years.
2. All project applications seeking federal HSIP funds for road safety improvements on local roads must be submitted to ADOT by an MPO or a COG. Safety projects on state owned facilities need to be submitted to ADOT by the relevant ADOT District.
3. All proposed projects must show a benefit/cost ratio of 1.5 or greater based on the reduction of Fatal and Serious Injury crashes. In computing the benefit/cost ratio, the analysis shall use CMF factors that are rated at least at four stars in the CMF Clearinghouse.
4. A common call for safety projects has been issued in January of each year. However, since we are in a congressional reauthorization cycle of the current transportation bill, and the Arizona HSIP is programmed out to FY 2024, the next call is anticipated in mid-year 2021.
5. When MPO's & COG's submit recommended project applications to ADOT, they can identify the State FY 2025 or 2026 for which they desire a project to be programmed. Provided each project has been carefully nominated based on the greatest impact on reducing fatal and serious injury crashes, projects selected by ADOT to be programmed for HSIP funding would be funded for design in one fiscal year, and for construction in a future fiscal year.
6. Projects will be prioritized and funded to the extent funds are available based on the benefit/cost ratio.



**CONTACT**

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**RESOURCES**

Links for the Excel project application form, additional information, and applications submitted are available at: <https://azmag.gov/Programs/Transportation/Safety-Programs/MAG-Highway-Safety-Improvement-Program>

The ADOT HSIP webpage can be accessed with the following link: <https://azdot.gov/business/transportation-systems-management-and-operations/operational-and-traffic-safety/arizona-0>

List of Applicable Funds (Distribution of Projected Regional Revenues on [page 29](#))

- ADOT Various FHWA Funds
- Transportation Alternatives FHWA
- Highway Safety Improvement Program (HSIP) FHWA
- STBGP-MAG
- Local

Project process information for locally sponsored federally funded project development can be found in [Section 7](#).



**SCHEDULE**

<b>MAG Highway Safety Improvement Program - Fiscal Year 2021</b>	
<b>2020</b>	
HSIP fully programmed for FY 2023 & 2024	
<b>2021 - Tentative</b>	
July	Tentative - Call for projects issued in coordination with ADOT for HSIP projects in FY 2025 & 2026.
September	Applications due September 24th to MAG at <a href="mailto:hsip@azmag.org">hsip@azmag.org</a> for coordination of pre-review process with ADOT.
October	Final applications due to MAG on Monday October 11th for generating a list of projects to be reviewed by the MAG Transportation Safety Committee.
November	November 16, 2021 10:00 a.m. project presentations to the MAG Transportation Safety Committee and possible action to recommend MAG submit to ADOT all applications associated with the list of projects.
	November 19, 2021, MAG submits applications to ADOT.
December	ADOT reviews applications for eligibility conformance.
<b>2022 - Tentative</b>	
January	ADOT HSIP review team meets and recommends a statewide list of HSIP projects to the ADOT Traffic Safety Section for approval by the State Engineer.
February	ADOT provides eligibility letters to local agencies awarded HSIP funds for FY 2025 & 2026.
March-April	MAG approval process for inclusion of FY 2025 & FY 2026 projects in the MAG TIP.



## Roadway Safety Program (RSP)

This program utilizes an allocation of Surface Transportation Program Block Grant (STBG) funds that are exchanged for Highway User Revenue Funds (HURF) with the goal of implementing road safety improvements identified and planned by local agencies, or through MAG Safety Planning programs in coordination with local agencies. These projects may be those not meeting the stringent criteria of the ADOT HSIP program, but still demonstrate a substantial degree of potential for improving roadway safety based on regional safety improvement goals. This program will have the effect of making safety improvements in an expedited manner.



In April 2016, the Final Rules on HSIP and Safety Performance Management Measures (Safety PM) announced earlier by the FHWA became effective. The Arizona DOT develops statewide targets to be published in their HSIP Annual Report. MAG submits a letter of support of the targets established by ADOT, as required within 180 days after the State establishes the targets.

Included in the letter to ADOT is the MAG commitment to support the established safety targets, keeping focus on improving safety, integrate safety goals, objectives, performance measures and targets into the regional planning process, including the MAG TIP and Regional Transportation Plan. The RSP program MAG provides a mechanism consistent with this commitment by supplementing the state's Highway Safety Improvement Program (HSIP) program, and assist with providing additional funding in the short term.

### Programming of MAG RSP Funds (RSP-MAG)

The process for programming RSP funds has been established by MAG, in coordination with local agency safety stakeholders, to guide the programming of qualifying safety projects.

Here are some highlights of the RSP programming process:

1. The amount available for programming in each fiscal year 2020-2024 will be approximately \$2 million, with a maximum of \$1 million and a minimum of \$50,000. For the FY 2020-2024, MAG will coordinate with a ADOT a substitute of MAG Sub-allocated Surface Transportation Block Grant program greater than 200,000, for an equal return of MAG 2.6% Highway User Revenue Fund (HURF). Procure/Construct will be funded 100%. Design costs will be 100% local dollars for all program years in lieu of local match. Design must be a minimum of 10% of the total project cost.

2. For the FY 2022 cycle, a call for projects was issued in July 2020 with applications due on October 1, 2020. The funding authorization deadline for this cycle will be consistent with the state fiscal year, May 15, 2021. For the 2023-2024 RSP program funding, a call will be regularly issued in August for a one-year program.
3. All proposed projects must demonstrate the safety improvement proposed will implement proven safety countermeasure(s). Local agencies shall consult the FHWA Crash Modification Factor (CMF) Clearinghouse for the documented potential for safety improvement. Proposals for safety improvement projects shall be based on application of a countermeasure(s) for similar conditions described in the studies conducted for each CMF associated with their proposed project.
4. Projects will be prioritized and ranked based on a benefit/cost ratio. The benefit-cost calculation will include the Crash Reduction Factor (CRF) associated with the CMF applied to the annualized crashes for the most current available five years, and the associated unit cost of crashes applied to K-Fatal, A-Suspected Serious Injury, B-Non-Suspected Serious Injury, and C-Possible Injury crashes. The use of severity and crash type in the benefit/cost calculation shall be consistent with the documentation provided for each CMF. The calculated benefit/cost ratio must be  $\geq 1$ .
5. Project applications will be reviewed by the MAG Transportation Safety Committee (TSC). The applicant or their designee shall be available at the TSC meeting scheduled to provide a presentation to committee members highlighting the safety merits or the proposed RSP project. Members of the TSC will have the opportunity to ask questions regarding each project proposed and provide a score for the presentations.
6. Oversight for the recommendation of a list of projects for programming of RSP funds will be done by the MAG Transportation Safety Committee (TSC). The recommendations of the TSC will go through the traditional MAG approval process for placing in the MAG TIP.



## CONTACT

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## RESOURCES

List of Applicable Funds (Distribution of Projected Regional Revenues on [page 29](#))

- STBGP-MAG
- Local
- HURF

Roadway Safety Program website:

<https://www.azmag.gov/Programs/Transportation/Safety-Programs/Roadway-Safety-Program>

Project process information for federal fund programs can be found in [Section 6](#) and [Appendix D](#) for MAG federal fund programming guidelines and procedures.

Project process information for locally sponsored federally funded project development can be found in [Section 7](#).



### SCHEDULE

<b>DRAFT MAG Programming Schedule for FY 2022 RSP-MAG and FY 2023 &amp; 2024 TA Non-infrastructure SRTS</b>		
<b>2020</b>		
June	17	RSP-MAG FY 2022 Working Group
	23	Transportation Safety Committee
July	9	FY 2020 & 2021 RSP Progress Reports due to MAG
	27	DRAFT RSP Annual Report
	28	Transportation Safety Committee
	30	Application release
August	4	Application Workshop (Virtual)
	11	Open Office Meeting (Virtual)
	26	Open Office Meeting (Virtual)
September	22	Transportation Safety Committee meeting
October	1	Applications due to MAG 10:00 a.m. to rsp@azmag.gov or srts@azmag.gov
	15	Applications submitted to the RSP and SRTS webpage; e-mail sent to Transportation Safety Committee for review of applications
November	17	Transportation Safety Committee meeting, 8 a.m. to noon; Presentations, recommendation of a list of FY 2022 RSP projects and FY 2023 & 2024 TA Non-infrastructure SRTS projects.
December	10	TRC reviews and recommends RSP-MAG in FY 2022 and TA SRTS projects in FY 2023 & 2024
<b>2021</b>		
January	6	MAG MC recommends RSP-MAG in FY 2022 and TA SRTS projects in FY 2023 & 2024
	20	MAG Regional Council approves RSP-MAG in FY 2022 and TA SRTS projects in FY 2023 & 2024
	21	Project initiation and begin JAA coordination
	26	Transportation Safety Committee meeting
May	14	MAG Deadline to request Authorization/JAA must be executed for FY 2021 RSP projects
	26	MAG Requests authorization for FY 2022 SRTS Studies project TA funding



## *PM-10 Certified Street Sweeper and PM-10 Paving Unpaved Road Projects*

The Maricopa County nonattainment area is classified as a Serious Area for PM-10 particulate pollution. PM-10 Certified Street Sweeper and Paving Unpaved Road projects support PM-10 measures in the regional air quality plans to reduce particulate emissions. In addition, on June 24, 2020, EPA published a final rule reclassifying the West Pinal County nonattainment area for PM-10 as a Serious Area effective July 24, 2020.



In July 2020, MAG will be soliciting PM-10 Certified Street Sweeper projects and Paving Unpaved Road projects from member agencies in the PM-10 nonattainment areas. This includes a competitive project selection process for PM-10 Certified Street Sweeper Projects for federal fiscal year (FFY) 2021 Congestion Mitigation and Air Quality Improvement (CMAQ) Program funding and a competitive project selection process for PM-10 Paving Unpaved Road Projects for FFY 2023 and 2024 CMAQ funding. In addition, a competitive project selection process for Paving Unpaved Road Projects for FFY 2024 CMAQ funding from member agencies in the West Central Pinal PM-2.5 nonattainment area will be conducted. A minimum local cash match of 5.7 percent on the CMAQ eligible portion of the project is required.

For PM-10 Certified Street Sweeper projects, eligible sweepers are defined as those that have been certified by the South Coast Air Quality Management District (SCAQMD) as meeting that agency's Rule 1186 certification standards. A minimum local cash match of 5.7 percent on the CMAQ eligible portion of the project is required. Additional costs for equipment beyond the specifications necessary for compliance with SCAQMD Rule 1186 certification are not eligible for reimbursement.

On March 12, 2019, the Arizona Department of Transportation (ADOT) conducted a workshop for member agencies receiving FY 2019 street sweeper funding to announce three options available for procuring street sweepers that meet all applicable federal requirements. The first option allows local agencies that are a Certification Acceptance (CA) agency to procure the sweeper, the second option allows local agencies that are not a CA agency but approved by ADOT to be Self-Administered to procure the sweeper, and the third option allows local agencies to issue a Purchase Order for the purchase of a street sweeper from the ADOT street sweeper contract. Please see the attached ADOT flowchart.

The MAG Regional Council approved an update to the useful life policies for PM-10 Certified Street Sweepers on August 27, 2014. For CMAQ funded replacement of an older PM-10 certified unit, the unit must be at least 8 years old or have recorded 12,000 hours or 96,000 miles of operation.

Member agencies must also comply with the requirements of the ADOT Federal Property Management Standards and associated ADOT Guidance. A process is in place for the disposal of street sweepers that have reached the end of their useful life. The Federal Property Management Standards require that each jurisdiction contact MAG to obtain ADOT approval prior to disposal of a CMAQ-funded street sweeper.

Following MAG Regional Council approval of the prioritized list of proposed PM-10 Certified Street Sweepers, MAG will send a letter on the approval of the street sweeper project and notify member agencies that procurement activities leading up to the purchase of the sweeper may begin. It is important to note that the Federal Highway Administration (FHWA) has advised MAG that the procurement of CMAQ funded street sweepers should proceed after funding has been authorized.

For PM-10 Paving Unpaved Road projects, eligible activities include the paving of dirt roads, alleys, and shoulders in the Maricopa County PM-10 nonattainment area and Pinal PM-10 and PM-2.5 nonattainment areas. The Arizona Department of Transportation allocates CMAQ PM 2.5 funding to MAG for programming projects that reduce PM-10 and PM-2.5 in portions of the West Central Pinal PM-2.5 Nonattainment Area located within the planning boundaries of both MAG and the Sun Corridor Metropolitan Planning Organization. Jurisdictions in the West Central Pinal PM-2.5 Nonattainment Area that may apply include the City of Maricopa and Pinal County as well as Pinal County as the lead agency for the City of Casa Grande in the Sun Corridor MPO planning area.

To apply for project funding, signed applications must be received before the deadline. The relevant schedule and due dates are below. As part of the competitive project selection process, the MAG Street Committee will conduct a technical review of the street sweeper and paving unpaved road project data from the applications and forward the summary of the discussion made by the Street Committee on the project applications to the MAG Air Quality Technical Advisory Committee (AQTAC). The AQTAC will make a recommendation on a prioritized list of PM-10 certified street sweeper projects to the MAG Management Committee. In addition, the AQTAC will make a recommendation to the Transportation Review Committee on a ranking of the proposed PM-10 Paving Unpaved Road Projects.

In accordance with federal CMAQ guidance, MAG staff completes an evaluation of the project's estimated emission reductions and cost-effectiveness for consideration by the AQTAC. The AQTAC uses emission reductions and cost-effectiveness in ranking proposed projects for CMAQ funding. Cost-effectiveness is based on the annualized CMAQ dollars requested for the project per metric ton of emissions reduced. The AQTAC has also considered other criteria for ranking projects including PM-10 emission reductions and proximity to PM-10 monitors.



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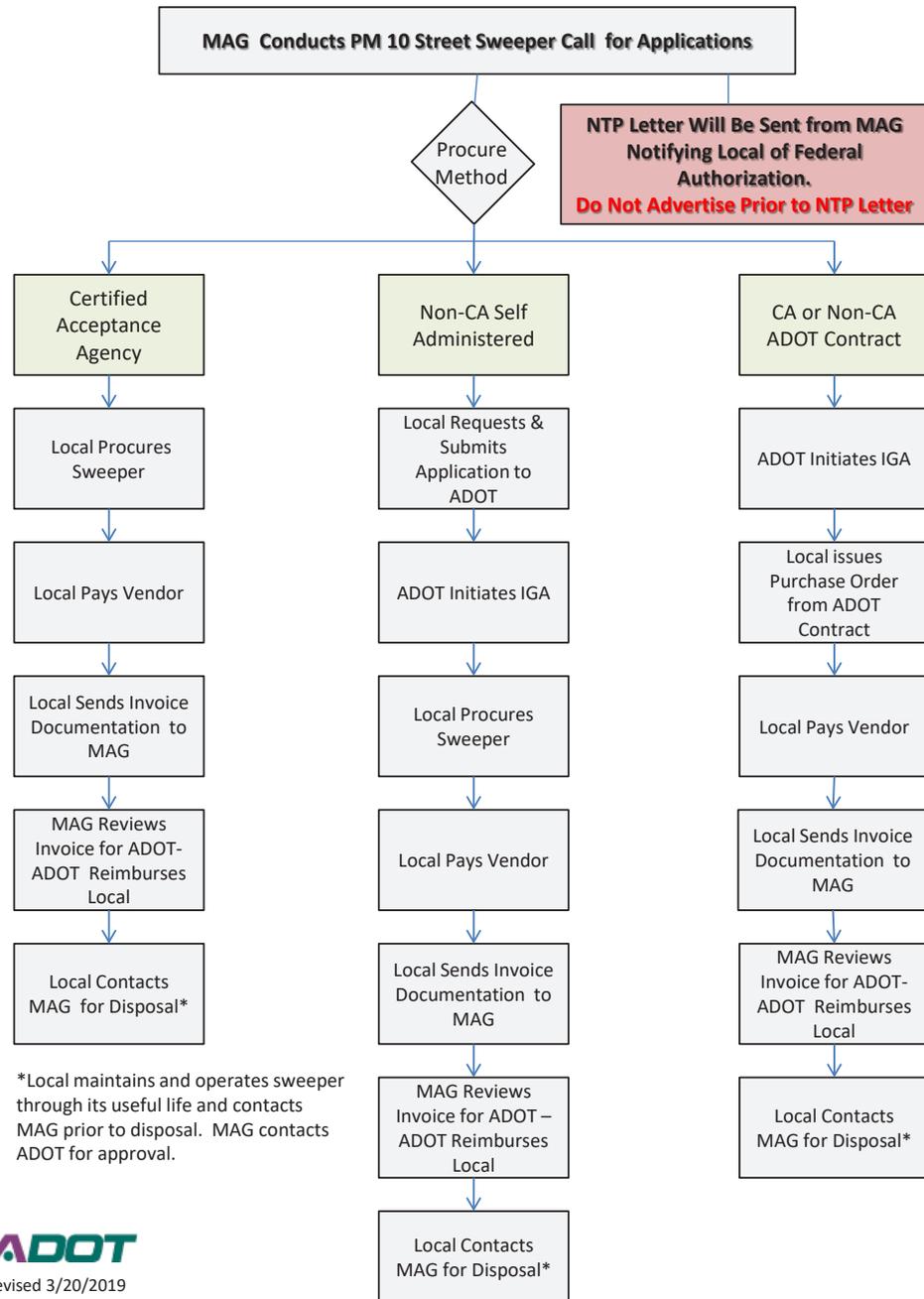
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List of Applicable Funds (Distribution of Projected Regional Revenues on [page 29](#))

- CMAQ FHWA
- CMAQ 2.5 FHWA
- Local

Project process information for federal fund programs can be found in [Section 6](#) and [Appendix D](#) for MAG federal fund programming guidelines and procedures.

Project process information for locally sponsored federally funded project development can be found in [Section 7](#).





## SCHEDULE

FY 2021 PM-10 Certified Street Sweeper Programming Schedule		
2020		
July	23	TRC Agenda: Notice that applications will be available on or about August 1, 2019.
	24	Send e-mail to all identified parties with notice of application and for them to set up passwords. Application open for use.
	30	Web applications go live.
August	4	Federal Fund Project Application Workshop: (Virtual)
	11	Federal Fund Project Application Open Working Group to request assistance (Virtual)
	26	Federal Fund Project Application Open Working Group to request assistance (Virtual)
September	<b>10</b>	<b>10:00 a.m.: Due Date Federal Fund Project Applications. New applications are not accepted after 10:00 a.m.</b>
	1-16	Avondale-Goodyear Urbanized Area Transit Working Group: Avondale-Goodyear Urbanized Area Transit project applications are available for working group review, a priority listing is recommended
	17	Street Committee: PM-10 Certified Street Sweeper, PM-10 Paving Unpaved Road and Pinal Arterial-Bridge Program applications received are available for committee review; members may submit review comments to MAG
October	13	Street Committee: Staff presentation on PM-10 Street Sweepers. Proposal presentations by agencies on PM-10 Paving Unpaved Road applications. Sweeper comments forwarded to AQ staff.
	22	Air Quality Technical Advisory Committee: Recommend a Prioritized List of Proposed PM-10 Street Sweeper Projects for FY 2020 CMAQ Funding to the MAG Management Committee.
November	4	Management Committee: Recommend a Prioritized List of PM-10 Certified Street Sweeper Projects for FY 2020 CMAQ Funding.
	26-27	Offices are closed.
December	2	Regional Council: Approve a Prioritized List of PM-10 Certified Street Sweeper Projects for FY 2020 CMAQ Funding.
	10	Air Quality Technical Advisory Committee: Recommend a ranking of the proposed PM-10 and PM-2.5 Paving Unpaved Road Projects to the Transportation Review Committee.
	10	Notice is sent to agencies to begin pre-procurement activities for FY 2020 PM-10 Certified Street Sweepers. (Subject to substantial change.)
Meeting dates for FY 2021 are tentative at this time and are subject to change. Flexibility is needed to meet federal, state, and regional needs.		



## INFORMATION

## Federal Fund Bridge Replacement and Rehabilitation Program

Federal-aid highway funds are authorized by Congress to assist State Department of Transportation in providing for construction, reconstruction, and improvement of highways and bridges on eligible Federal-aid highway routes and for other special purpose programs and projects. To be eligible for this funding, a bridge must be over a waterway, other topographical barriers or other highways or railroads, and must be significantly important and unsafe because of structural deficiencies, physical deterioration or functional obsolescence.



ADOT is the lead agency for the development and implementation of a Bridge Management System (BMS). The BMS includes a computer database of bridge information, a software system for providing the analytical capabilities suggested by federal regulations and an on-going process for inspecting and collecting information on bridges throughout Arizona. In the MAG area, ADOT, the City of Phoenix, and Maricopa County are involved in the inspection of bridges and the collection of bridge data.

Based on the information in the BMS, bridges are assigned a sufficiency rating. This rating takes into account: structural adequacy and safety, serviceability and functional obsolescence, and importance for public use. To qualify for funds, a bridge must be included in the ADOT Statewide Inventory of Bridges and be inspected on a regular interval either by ADOT or the local jurisdiction. Bridges with a sufficiency rating below 50 and are structurally deficient or functionally obsolete are considered for replacement funds. Bridges with a sufficiency rating between 50 and 80 are eligible for rehabilitation funds. Replacement of bridges rated greater than 50 may be eligible if rehabilitation alternatives are not feasible and/or rehabilitation would not remove all the deficiencies. This federal funding which is administered by ADOT, is available to all MAG member agencies that have bridges listed in [Appendix C](#).

[Appendix C](#) lists bridges that are classified as either structurally deficient or functionally obsolete and that have a sufficiency rating below 80. The federal match for this program is 94.3 percent and the ADOT bridge program averages around \$4 million per year statewide. The funds are available on a first-come, first-served basis. ADOT has set a \$500,000 federal funding cap on local sponsored projects.

Projects using federal funds must be authorized by FHWA prior to June 30th each year. This allows ADOT time to ensure all bridge subprogram dollars are obligated in the year programmed. To meet this deadline, requests for new design and non-construction projects must be requested through the Local Public Agency Section by April 30th. Construction projects to be advertised by ADOT will need to be received by March 31st. For Certification Acceptance, all requests must be received by June 1st.



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<https://www.azdot.gov/business/engineering-and-construction/bridge>



## RESOURCES

List of Applicable Funds (Distribution of Projected Regional Revenues on [page 29](#))

- ADOT FHWA Funds
- STBGP-MAG FHWA
- ½ cent (RARF)

Project process information for locally sponsored federally funded project development can be found in [Section 7](#).



## INFORMATION

## *Railway-Highway Grade Crossing Program (RHGCP), (AKA Section 130)*

The purpose of this program, which is a funding set-aside through the Highway Safety Improvement Program (HSIP), is to improve safety at public railway-highway grade crossings by upgrading the protective devices (lights and gates, signs and signals) and hazard elimination on the crossing surface and roadway. The RHGCP is administrated by the ADOT Utilities and Railroad Engineering Section on behalf of FHWA and is a reimbursement program.



ADOT and its project partners\* identify crossings as candidates for safety improvements with on-site diagnostic meetings and the state's crossing inventory data. The result of that effort is an annual list of proposed projects (Array) of crossings that qualify for RHGCP funding and where the scope of safety improvement has been outlined. The Annual Array is approved by the Arizona Corporation Commission.

\*The RHGCP is a cooperative effort involving the Arizona Corporation Commission, FHWA, FRA, ADOT, the railroad owning the tracks, and the agency with jurisdiction over the road.

### **Eligible Types of Work**

Projects which increase safety or eliminate hazards for vehicles and pedestrians at rail-road grade crossings may be eligible for Section 130 funding. Projects must be located at public crossings, including roadways, bike trails, and pedestrian paths, and cannot be used if a crossing has been modified (e.g., widened). Available statewide funding for RHGCP projects is approximately \$2.3 million annually. The funding allocations are described below.

#### **Protective Devices paid at 90 percent federal funds requiring a 10 percent match by the Road Agency**

- Install/upgrade active signals (RR)
- Upgrade lights to LED (RR)
- Train detection (RR)
- Traffic signal pre-emption (Both RR and road agency)

#### **Hazard Elimination paid at 90 percent federal funds requiring a 10 percent match by the Road Agency**

- Concrete crossing surfaces (RR)
- Paving at approaches near the tracks (road agency)
- Adjusting existing sidewalks around barriers (road agency)
- Right-of-Way acquisition as needed for project (road agency)

**FHWA Requirement paid by the Road Agency**

- Signage and striping at railroad crossings in accordance with current MUTCD (road agency)

RHGCP funding cannot be used for the installation of new, at-grade crossings, roadway or railroad maintenance, or replacement or widening of an existing crossing unless authorized by FHWA. RHGCP also does not pay for Supplemental Safety Measures for Quiet Zones.

**Project Timeline**

A project can take one to five years from the array to construction depending on the complexity of the work and availability of funds. A scope and schedule will be developed as part of the project. As a planning tool, quarterly meetings are held with each railroad.

**RESOURCES**

ADOT Utility and Railroad Section

<https://www.azdot.gov/business/engineering-and-construction/utility-and-railroad-engineering>

FHWA RHGCP

<http://safety.fhwa.dot.gov/xings/>

Rail Highway Grade Crossing Handbook

[https://safety.fhwa.dot.gov/hsip/xings/com\\_roaduser/07010/index.cfm](https://safety.fhwa.dot.gov/hsip/xings/com_roaduser/07010/index.cfm)

FRA Railroad Crossing Inventory

<http://safetydata.fra.dot.gov/OfficeofSafety/publicsite/Query/invtab.aspx>

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List of Applicable Funds (Distribution of Projected Regional Revenues on [page 29](#))

- FHWA Rail Safety
- Local
- State

Project process information for locally sponsored federally funded project development can be found in [Section 7](#).



## *Transportation Alternatives (TA)*

Prior to 2013, there were three distinct types of federal formula funds that were apportioned to the state: Transportation Enhancements (TEA), Safe Routes to School (SRTS), and the Recreational Trails Program. In July 2012, the federal government passed the new federal transportation authorization bill, Moving Ahead for Progress in the 21st Century (MAP-21) which consolidated these three programs into one federal formula funding category called the Transportation Alternatives Program (TAP). Under the FAST Act, the Transportation Alternatives (TA) program is now a sub-program of the Surface Transportation Block Grant Program.



The MAG region receives approximately \$4.4 million per year for this program. **There are two categories of projects: Infrastructure projects and Non-Infrastructure Safe Routes to School (SRTS) eligible activities.** Previously, local schools have applied for TEA and SRTS funds through ADOT. With TA funding, all applications must come through a MAG member agency. Local schools interested in submitting projects should contact their city/town/agency representative for more information.

The MAG region adopted goals and objectives to direct the project selection process for TA funding. The goals and objectives for the program are:

### **Goals:**

1. Improve pedestrian and bicyclist accessibility and connectivity on the transportation network.
2. Assist in providing a safe environment for the bicyclists and pedestrians on both on-street and off-street transportation networks.
3. Make bicycling and walking to public K-8 schools a safer and more desirable transportation alternative to motorized vehicles.



### **Objectives:**

- Fund eligible Transportation Enhancement and Safe Routes to School (SRTS) projects through the federal FAST Act, TA subprogram.
- Fund bike and pedestrian improvement projects that provide a safe transportation route or improve a transportation route for (K-8) students to schools.
- Fund bike and pedestrian improvement projects that address a perceived or observed problem/safety issue, including (but not limited to) unsafe street crossings;

missing, narrow or poorly maintained sidewalks; adding/improving bike lanes (re-striping, widening, colored pavement); or disconnected/inaccessible bike or pedestrian facilities, while connecting residents to transit stops/centers or other destinations.

- Fund Safe Routes to School (SRTS) non-infrastructure projects that educate and encourage K-8 students, parents, and school resource officers/staff on bicycle and walking options.
  - GUIDELINE – Funding will be set aside at nine percent of total Transportation Alternatives funding, with a maximum yearly total of \$400,000. If the total value of projects awarded for Safe Routes to School non-infrastructure projects is less than the total programmed set-aside, remaining funds will be applied toward eligible infrastructure projects.
  - GUIDELINE – These projects will need to be evaluated on a quarterly basis as required by the federal government, and address enforcement and encouragement.
- Utilize evaluative tools based on quantitative and qualitative performance measures to inform project rankings in the application process.

A competitive TA Infrastructure project selection process was implemented in August 2015 and continues.



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#### RESOURCES

List of Applicable Funds (Distribution of Projected Regional Revenues on [page 29](#))

- Transportation Alternatives FHWA
- Local

Project process information for federal fund programs can be found in [Section 6](#) and [Appendix D](#) for MAG federal fund programming guidelines and procedures.

Project process information for locally sponsored federally funded project development can be found in [Section 7](#).



## TA Non-Infrastructure Safe Routes to School (SRTS)

The original Safe Routes to School (SRTS) Program was a Federal-Aid program of the U.S. Department of Transportation's Federal Highway Administration (FHWA). SRTS was created by Section 1404 of SAFETEA-LU.

On July 6, 2012, the president signed the new transportation authorization bill called Moving Ahead for Progress in the 21st Century (MAP-21). The new law was effective October 1, 2012, and, among other things, combined the former SAFETEA-LU programs of Transportation Enhancements, Safe Routes to School, and Recreational Trails Program under a new program entitled Transportation Alternatives (TA). TA provides funding to states and to metropolitan/regional planning organizations. Under the FAST Act, the TA program is now a subprogram of the Surface Transportation Block Grant (STBG) Program.

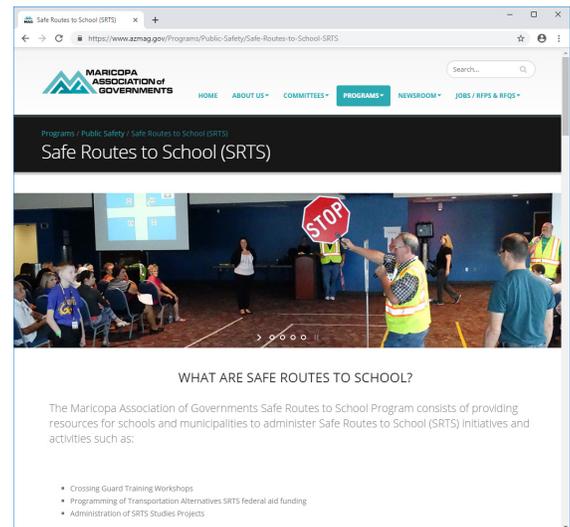
The TA subprogram provides funds to the states (and under MAP-21, to regional planning organizations) to substantially improve the ability of primary and middle school students to walk and bicycle to school safely. The purposes of the program are:

- To enable and encourage children, including those with disabilities, to walk and bicycle to school.
- To make bicycling and walking to school a safer and more appealing transportation alternative, thereby encouraging a healthy and active lifestyle from an early age.
- To facilitate the planning, development, and implementation of projects and activities that will improve safety and reduce traffic, fuel consumption, and air pollution in the vicinity (approximately two miles) of primary and middle schools (Grades K-8).

MAG issues multi-year calls for applications for federal TA funding to eligible applicants within the MAG area. Eligible projects include those of a SRTS nature, of both infrastructure (See Transportation Alternatives in the Pedestrian and Bicycle Modal section) and non-infrastructure types. Projects are currently programmed through FY 2022. MAG anticipates a call for projects in July 2020 for programming FY 2023 and FY 2024 TA funds.

MAG regional goals and objectives for funding projects utilizing TA funds prioritize non-infrastructure projects in the following categories:

- *Priority One:* SRTS Studies; funds to procure consultant services to complete work necessary to provide a SRTS framework, action plan, and recommendations for infrastructure (engineering), enforcement, education, and evaluation initiatives



that address issues and barriers to walking and biking to school. These studies are administered by MAG using on-call consultant contracts.

- *Priority Two:* Support Activity projects; funds to procure materials, modest incentives, crossing guard equipment (rollout signs, vests, STOP paddles), off-duty officer pay for planned walking and biking events, or other items that support walking and biking activities with children at K-8 schools.

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**RESOURCES****Resources:**

<http://srts.azmag.gov>

[https://www.fhwa.dot.gov/environment/safe\\_routes\\_to\\_school/guidance/](https://www.fhwa.dot.gov/environment/safe_routes_to_school/guidance/)

List of Applicable Funds (Distribution of Projected Regional Revenues on [page 29](#))

- Transportation Alternatives FHWA
- Local

Project process information for federal fund programs can be found in [Section 6](#) and [Appendix D](#) for MAG federal fund programming guidelines and procedures.

Project process information for locally sponsored federally funded project development can be found in [Section 7](#).



## Freight Planning

As part of the regional transportation planning process, MAG is required to promote the safe and efficient management, operation, and development of surface transportation systems that will serve the mobility needs of people, freight, and foster economic growth.

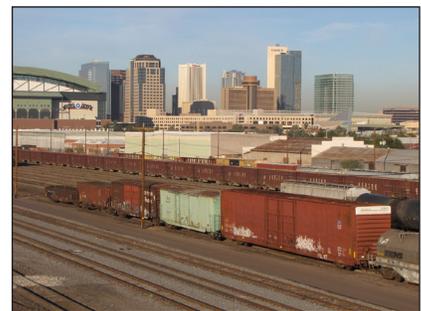
MAG freight planning activities have included the MAG Regional Freight Assessment (2004) and the Joint Planning Advisory Council (JPAC) *Freight Transportation Framework Study (2012)*. The Regional Freight Assessment included a detailed overview of the goods movement process within the MAG region. The JPAC *Freight Transportation Framework Study* was a joint effort between MAG, Central Arizona Governments (CAG), and Pima Association of Governments (PAG) that examined freight and multimodal opportunities in the Arizona Sun Corridor.

MAG recently (Dec 2017) completed the *MAG Freight Transportation Plan* that identified a regional freight network and established facilities for designation as Critical Urban Freight Corridors under the FAST Act.

Based on the recommendations from the MAG Freight Transportation Plan, MAG is in the process of conducting the following four freight subarea project assessments in the industrial areas of the region.

- Southwest Freight Subarea Project Assessment (completed 2019)
- Rio Salado North Freight Study (underway)
- Tempe/Phoenix Freight Study (underway)
- Glendale Freight Subarea Project Assessment (spring 2021)

The Subarea Project Assessments (SPA) are being conducted by MAG in order to move goods more efficiently and safely in the existing industrial clusters of Maricopa County. The goal of the subarea project assessments is to identify freight-related projects on or in the vicinity of the federal approved (Top 60 Lane Miles) MAG Critical Urban Freight Corridors. A detailed traffic analysis is warranted to identify and develop projects and policies that will move goods more efficiently and safely through the communities and develop a plan that helps foster the development of a safe, diverse, and economically thriving place to work and live.



In addition to the ongoing freight subarea project assessments, MAG initiated a truck parking study in FY 2020 that will evaluate truck parking supply and demand, with a specific emphasis in the industrial clusters in the MAG region. In addition, the study will provide MAG member agencies with a better understanding of the impact of the U.S. Department of Transportation mandated hours of service regulations have had on regional truck parking trends, and the logistics market in the MAG region.



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List of Applicable Funds (Distribution of Projected Regional Revenues on [page 29](#)).



RESOURCES

Although no dedicated funding for Freight projects is directly allocated, freight needs are considered within the FLCP, ALCP, Pinal County Arterial-Bridge programs, and through nationwide competitive grant applications.

- ADOT Various FHWA Funds
- ½ cent (RARF)
- Local

Project process information for locally sponsored federally funded project development can be found in [Section 7](#).

<http://azmag.gov/smartmoves/>



# MAG REGIONAL COMPETITIVE PROGRAMS



INFORMATION

The MAG Federal Fund Program consists of both highway and transit projects programmed with federal funds in the MAG region. Each modal or approved plan area receives allocations or projected revenue-funding stream.

The funding received from the Federal Highway Administration generally supports those projects included in the Transportation Improvement Program that are categorized as 'Highway'. Based on the current MAG Regional Transportation Plan, an allocation of sub-allocated Federal Highway Administration funding is transferred or flexed to the Federal Transit Administration for use to support MAG's regional transit program. MAG has an approved programming process for sub-allocated funding and for each specific programming area for several of the Life Cycle or mode specific programs. For FHWA funds that need to be programmed in outer years of the TIP, MAG relies on a competitive project selection process that is explained in detail below.

In general, the primary use of Federal Transit Administration funding that is sub-allocated or directly allocated supports the Transit Life Cycle Program (TLCP). MAG developed the MAG Regional Programming Guidelines for Federal Transit Administration (FTA) Formula Funds. See the Transit Project Prioritization Process section below for further details. Please see transit under [Section 5](#) for more information.

## *Transit Project Prioritization Process*



RESOURCES

On June 26, 2019, the Regional Council approved the updated Transit Programming Guidelines for Federal Transit Funds. The full copy of the guidelines may be downloaded from the MAG Transit Website:

[www.azmag.gov/Portals/0/Documents/TC\\_2016-06-23\\_Regional-Programming-Guidelines-for-Federal-Transit-Formula-Funds\\_June-22-2016.pdf](http://www.azmag.gov/Portals/0/Documents/TC_2016-06-23_Regional-Programming-Guidelines-for-Federal-Transit-Formula-Funds_June-22-2016.pdf)

## Competitive Project Selection Process

The competitive project selection process allocated funding based on the *Regional Transportation Plan*, federal regulations and the MAG Federal Fund Programming Guidelines. The major steps in the process are as follows:

1. Technical advisory committees, with assistance from ADOT and FHWA, develop project applications that address all federal requirements and that are intended to elicit sufficient information necessary to determine the eligibility of the project for the funding source sought; identification of utilities, right-of-way, environmental and other problems; the feasibility of the project and its benefits and costs.
2. Advance notice of the release of applications is provided to key stakeholders: the MAG Transportation Review Committee, the MAG Management Committee and the Intergovernmental Representatives.
3. Once applications are released, a workshop on the applications is held. Also, up to two open working group sessions are held prior to the application due date.
4. When applications are received, MAG staff issues a receipt indicating that the project application was received by the due date and is complete. If the project is not complete, MAG will send a receipt to the agency indicating that the agency has one working day to address deficiencies. Applications that are not received by the due date or that fail to address deficiencies in the allotted time are rejected.
5. Once all applications are received, MAG staff compiles summary data on the applications, implements various technical scoring systems as developed by the Technical Advisory Committees (TACs), and distributes the applications to the TACs.
6. If the funding sought includes CMAQ or CMAQ-2.5, MAG staff develops a CMAQ cost effectiveness score for the project. The Air Quality TAC may make a recommendation to forward the air quality evaluation and CMAQ cost effectiveness score to the other TACs prior to project ranking.
7. Meetings are held for each representative to present the application and to respond to committee questions.
8. At the presentation meetings, the TACs generate, as appropriate, quantitative and qualitative scores for projects, and a ranked list of projects to be conveyed to higher level committees for final project selection. In the case of air quality projects—paving and street sweepers—CMAQ cost effectiveness scores are typically used for project rankings. TACs are not allowed to amend the scope or cost allocation of projects to fit funding levels or spread out project awards.



9. Ranked project listings from the TACs are then reviewed and selected for funding by the Transportation Review Committee and the MAG Management Committee. These committees may adjust project scopes and budgets to fully use available funding.
10. The process is completed when the Regional Council approves the projects for addition to the Transportation Improvement Program. All additions to the TIP are subject to air quality conformity analysis and consultation.

MAG issued a Call for Projects in July 2020 for the following program areas with funding types noted:

- FY 2021 PM-10 Street Sweepers: Congestion Mitigation and Air Quality Improvement Program (CMAQ) funding
- FY 2021, The Regional Roadway Safety Improvement Program (RSIP): STBGP/substitute with Highway User Revenue Fund (HURF) funding.
- FY 2022 Roadway Safety Program (RSP) – STBGP/substitute with Highway User Revenue Fund (HURF) funding
- FY 2023, 2024 PM-10 Paving of Unpaved Roads – CMAQ funding
- FY 2023, 2024 Safe Routes to School – TA funding
- FY 2023 and FY 2024 Pinal County Arterial Bridge Program: Surface Transportation Block Grant program (STBGP) funding
- FY 2024 PM-2.5 Paving Unpaved Roads – CMAQ 2.5 funding

MAG is also expected to issue a Call for Projects in January 2021 for the Systems Management & Operations program.

See [page 35](#) for specific funding by year and program.

## CMAQ Bicycle and Pedestrian Project Evaluation

A new MAG Active Transportation Plan was approved in FY 2020, and evaluation criteria will be revised as needed. For last year's project selection, MAG continued to utilize the project evaluation process for bicycle and pedestrian projects as approved in FY 2015.

Weighting for each of the funding sources for bicycle and pedestrian projects is as follows:

CRITERIA	CMAQ	TA
Quantitative	30%	55%
Qualitative	15%	30%
Air Quality	40%	0%
Committee Rank	15%	15%
Total	100%	100%

Please see **Appendix D, Figure D (page 140)** of the Programming Guidelines.

### Connectivity Measure:

- Does the project improve connectivity in the MAG Regional Bicycle and Pedestrian network and/or is it multi-jurisdictional in nature?
- Does the project promote or improve access to short trip destinations, such as activity centers, commercial destinations, libraries, parks, and schools?
- Does the project improve connections to transit, regional intermodal, or emergency facilities?

### Mode Specific Measure:

- Does the project encourage increased alternative mode share?
- Does the project help reduce pedestrian and bike/vehicle conflicts, travel time variability, and/or crash risk factors?
- Does the project help reduce travel time or delay to motorists, bicyclists, and/or pedestrians?
- Does the project help improve the comfort of bicyclists and pedestrians?
- Does the project create a sense of place or create an attractive atmosphere?

### Design and Support Measure:

- Are the project elements supported by the MAG Pedestrian Policies and Design Guidelines and/or AASHTO Guide for Bicycle Facilities?
- Is the project supported by the jurisdiction or agency's policies, plans, and/or objectives?

## ITS Project Evaluation

The *2018 Systems Management & Operations (SM&O) Plan*, approved in August 2018, produced a list of essential transportation technology and ITS infrastructure strategies that will support critical operations and management of the region's transportation system. The Plan centers around four priority categories, three of which require a competitive project selection process: Integrated Corridor Management, Regional Priority Arterials, and Local Priority Corridors. The MAG ITS Committee conducts a systematic project review and ranking process for recommending ITS projects to be programmed.

All project applications are evaluated against three essential requirements, and scored against five evaluation criteria. During the project review process, the proposing agency or group of agencies (in the case of multi-jurisdictional projects) are provided an opportunity to make a brief presentation to the committee. The committee's final recommendation of ITS projects is based on the projects meeting all Essential Requirements and their rank based on the combined scores for five evaluation criteria. Listed below are the Essential Requirements and Evaluation Criteria.

### Essential Requirements:

- All projects must be identified on the list of strategies recommended in the SM&O Plan
- All projects must be in compliance with the Regional ITS Architecture
- All CMAQ funded projects must be located within a CMAQ eligible area

### Evaluation Criteria:

1. Quantitative Score – quantitative measures related to the project specific to a SM&O priority category.
2. Qualitative Score – Committee members will score each project based on how well the project meets objectives specific to a SM&O priority category.
3. Air Quality Cost Effectiveness Score – Emissions reduction potential of each project compared to project cost – generated by MAG Air Quality Technical Advisory Committee.
4. Presentation Score – Committee members will score each project based on the presentation of the project's sufficiency regarding project scope, schedule, and budget.
5. Partner Agency/Companion Project Score – Committee members will score each project based on the demonstration of regional collaboration with other ITS projects.

Project scores for each of the evaluation criteria are normalized with the highest score of 100 points. These scores are weighted and added to generate the final score that determines the project rank. The weights that are applied for the five evaluation criteria are 30 percent, 40 percent, 15 percent, 10 percent, and 5 percent respectively.

## CMAQ Street Sweepers and Paving Unpaved Roads

In accordance with federal CMAQ guidance, MAG staff completes an evaluation of proposed Street Sweeper and Paving Unpaved Road projects' expected emission reduction benefits for consideration by the Air Quality Technical Advisory Committee (AQTAC). The AQTAC may use cost-effectiveness, also referred to as the CMAQ Score, in ranking proposed sweeper projects for CMAQ funding. Cost-effectiveness is based on the annualized CMAQ dollars requested for the project per metric ton of PM-10 or PM-2.5 reduced. The AQTAC has also considered other criteria for ranking projects including PM-10 and PM-2.5 emission reductions and proximity to PM-10 and PM-2.5 monitors.

More information about the CMAQ methodology can be found here:

[www.azmag.gov/Programs/Environmental/Congestion-Mitigation-and-Air-Quality-Improvement-Project-Evaluations](http://www.azmag.gov/Programs/Environmental/Congestion-Mitigation-and-Air-Quality-Improvement-Project-Evaluations)

## TA-MAG Infrastructure Project Evaluation

The project evaluation process for MAG Transportation Alternatives infrastructure funding begins with an initial review by the Bicycle and Pedestrian Committee. To simplify the application process, a single application may be completed and request to compete for CMAQ and TAP infrastructure funding if the project is eligible. Weighting for each of the funding sources for bicycle and pedestrian projects is as follows:

CRITERIA	CMAQ	TA
Quantitative	30%	55%
Qualitative	15%	30%
Air Quality	40%	0%
Committee Rank	15%	15%
Total	100%	100%

Projects for TA funding will be evaluated and funded based on the following objectives:

- Fund eligible Transportation Enhancement and Safe Routes to School (SRTS) projects through the federal Transportation Alternatives fund.
- Fund bicycle and pedestrian improvement projects that provide a safe transportation route or improve a transportation route for (K-8) students to schools.
- Fund bicycle and pedestrian improvement projects that address a perceived or observed problem/safety issue, including (but not limited to) unsafe street crossings; missing, narrow or poorly maintained sidewalks; adding/improving bicycle lanes (restriping, widening, colored pavement); or disconnected/inaccessible bicycle or pedestrian facilities, while connecting residents to transit stops/centers or other destinations.

- Utilize evaluative tools based on quantitative and qualitative performance measures to inform project rankings in the application process.

Quantitative and qualitative performance measures make up 30 percent each of the project score, and the remaining 40 percent of the project score is based on the presentation to the evaluating committee members and their ranking of projects.

### TA-MAG Non-Infrastructure Safe Routes to School Project Evaluation

The project evaluation process for the TAP-MAG Non-Infrastructure Safe Routes to School set-aside funding is conducted by the MAG Transportation Safety Committee.

Currently, projects are scored by the Safety Committee in two groupings of projects: Studies and Non-infrastructure. Evaluation uses both quantitative factors and qualitative factors. The application and evaluation criteria were accepted in 2015, and will be used for future call for projects.



### HSIP-MAG Project Evaluation

ADOT programming process beginning in FY 2019. Please see the Highway Safety category in [Section 5](#).

### Federal Fiscal Year 2021 Closeout—Deferrals

MAG member agencies will complete a *Project Deferral/Deletion Form* to defer a project, to delete federal funds from a project, or to delete a federal funded project from the current TIP. **An example of this form can be found in [Appendix E1](#)**, or may be downloaded from the MAG TIP web page:

[http://www.azmag.gov/Portals/0/Documents/TIP\\_Project-Change-Request.xls](http://www.azmag.gov/Portals/0/Documents/TIP_Project-Change-Request.xls)

If an agency is requesting a project be deferred for the second time or more, the sponsoring agency for the project will submit a justification memorandum to MAG staff detailing why the project should stay in the MAG Federal Fund Program. A project sponsor will then provide presentations to review committees to justify the request with a final presentation to the MAG Regional Council.

## Federal Fiscal Year 2021 Closeout—Project Submittals, Project Commitments

To ensure that federal funding is utilized in a timely manner and is not lost from the region, twice a year, MAG requests member agencies to update and submit a project status workbook that notes key milestones during project development.

Annually, to ensure that the project sponsor has local resources available for the project programmed in the TIP, a commitment letter stating that local funding and resources are available for federally funded projects within the near-term, two-year period of the TIP is submitted.

Using the information from the workbooks, commitment letters, and a financial evaluation of the current year sub-allocated ledger, MAG staff will determine if funding is reasonably expected to be available to hold a closeout session for the current year available sub-allocated funds. MAG member agencies may complete a Closeout Project Submittal or a new project application (if announced) to submit projects for use of FFY 2021 unobligated Federal funds. The Federal Fund Programming Guidelines and Procedures will be followed. The due date for requests will be announced and distributed to the MAG Management Committee members and MAG Transportation Review Committee members. Forms and applications must be submitted before or on the due date and time. Late applications/requests will not be accepted.

Local jurisdictions submitting a request for project advancement, additional project funds, or closeout funds for a new project will complete and submit a Closeout Project Submittal Form by the due date and time for project submittals as announced. For new project submittals, there are additional information forms to be completed. Closeout project submittal forms will be available prior to notification of closeout. See [Appendix E](#).



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**SCHEDULE**

***See schedule on next page.***

<b>Federal Fund Project Workbooks, Commitment Letters, Closeout and Transfers*</b>		
<b>2020</b>		
September	4	FY2020-21 Workbooks sent to agencies
	<b>28</b>	<b>FY2020-21 Workbooks DUE</b>
October	<b>12</b>	<b>Issue request for Closeout projects if warranted.</b>
	2-16	Workbook information is compiled and verified.
	9-16	Federal financial evaluation of the FY 2021 funding levels is produced. FY 2020 end of year actual report is produced.
	22	TRC: Review Federal Financial Reports. Reviews and recommends project status reports.
November	<b>2</b>	<b>Due date for FHWA closeout funding requests if warranted.</b>
	10	Street Committee: Reviews and recommends project status reports.
	6-13	Financial evaluation of the FY 2021 funding levels and prepare Closeout scenarios.
	12	MC: Review Federal Financial Reports. Reviews and recommends project status reports.
December	2	RC: Review Federal Financial Reports. Reviews and accepts project status reports.
	<b>10</b>	<b>TRC: Reviews closeout funding requests if warranted.</b>
	18	TRC: Second closeout meeting if required. (SPECIAL MEETING)
<b>2021</b>		
January	<b>6, 13, 27</b>	<b>Management Committee, Transportation Policy, and Regional Council review/approve Closeout scenario.</b>
March	<b>11</b>	<b>Federal Fund Project Workbooks: Requirements with letter sent to agencies</b>
	<b>25</b>	<b>Federal Fund Project Workbooks DUE.</b>
April	30	TRC: Reviews and recommends Project Status Report.
May	12	MC: Reviews and recommends Project Status Report.
	13	Evaluation of FHWA projects for authorization in FY2021. Begin ALCP priority list.
	19	TPC: Reviews and recommends Project Status Report.
	26	RC: Reviews and accepts Project Status Report.
	27	TRC: Review ALCP advancements to cover FY2021 OA.
	<b>28</b>	<b>All FY2021 FHWA funded projects due at ADOT</b>
June	<b>1</b>	<b>All FY2019 FHWA funded projects due at ADOT (office closed)</b>
	14	Review of projects that missed June 1 deadline; generate FY2020 TIP listing changes.
	24	RC: FY2020 project changes approved.
	27	Submit the list of transit projects for annual CMAQ transfer.
July	14	ADOT report to MAG due on projects that Authorized for FFY2021.
	15	Deadline: FHWA to FTA transfer is completed.
	15-16	Ledger is evaluated and final listing of projects that will authorize is compiled.
	19	RC EXC: if needed.
	29	TRC: Final FY2021 TIP listings updated, if needed.
	30	Deadline: for submission of commitment letters
August	12	MC: Final FY2021 TIP listings updated, if needed.
	25	RC: Final FY2021 TIP listings updated, if needed.
September	<b>15-30</b>	<b>Federal grant system shuts down for FFY2021.</b>

\* Schedule is subject to change. Meeting dates for CY2021 are estimated. Project changes are completed as needed.

# LOCALLY SPONSORED FEDERALLY FUNDED PROJECT DEVELOPMENT

Local sponsored projects that are programmed to receive federal funds have to work with the ADOT Local Public Agency (LPA) Section to meet the federal requirements.



## *ADOT—Local Public Agency Section*

The ADOT Local Public Agency (LPA) section serves ADOT to support the Federal-Aid Highway Program in Arizona. The function is to provide support to local public agencies in the area of federal process, monitoring, and oversight of federally funded projects/programs, project programming, project initiation, scheduling, coordination with FHWA and appropriate ADOT technical staff, and providing project process manuals and guidelines, including the LPA Projects Manual.



### RESOURCES

<https://azdot.gov/node/5434>

Local Public Agencies are comprised of cities, counties, towns, and tribes. As the project sponsor, the Local agency is required to follow the ADOT project development process in the development and design of federally funded local projects. The typical project will take 18 to 24 months to proceed through the process from project initiation to bid advertisement. The environmental determination can greatly impact the project schedule. Environmental determinations can take 10 to 12 months from initial submittal to environmental clearance. Contact the ADOT Local Public Agency Section for information regarding the project life cycle and the scheduling process for various types of design and construction projects.

The Local Public Agency project model was designed using typical 18 to 24 month project development duration. The total duration can be modified, within reason, to meet the sponsor's needs for the type of project being developed. Please refer to **Table 5** for the milestones, and the minimum amount of time required for each milestone.

As an example of a modified schedule, projects that are predominately Intelligent Transportation System (ITS) improvements may often be shortened with respect to the number of stage submittals if the project team concurs. However, all projects are required to follow the ADOT clearance process including environmental, utilities, and right-of-way processing requirements. As such, the project development will be a minimum 10 to 12 months, or as long as it takes to receive an environmental clearance.

Please refer to **Table 5** for the milestones, and the minimum amount of time required for each milestone.

<b>Table 5: Required Milestones and Schedule—                      Federally Funded Locally Sponsored Project</b>	
<b>The following project milestones are based on a typical project                      procurement process. Some projects may follow an abbreviated process.</b>	
Standard Milestones	Month of Occurrence in Timeline
Apply for ADOT project number	0
Receipt of ADOT project number	1
Initial Design Concept Report (DCR)	4
Final DCR	5
30 percent Preliminary plans, cost estimate and report	7
60 percent Preliminary plans, cost estimate and report	9
95 percent Preliminary plans, cost estimate and report	11
Final Preliminary plans, cost estimate and report	13
Environmental clearance, prior to 60 percent plans	7-8
Utility clearance	12
Right-of-Way clearance	12
Materials memo, prior to 100 percent plans	12
Plans, Specifications and Estimate (PS&E) approval	15
Request authorization	18
Bid opening	21
Final deployment/contract award	24

Each Metropolitan Planning Organization (MPO) and Council of Governments (COG) submits its Local Government Federal-aid Multi-Year Highway Construction Program to ADOT’s Multimodal Planning Division (MPD) for inclusion in the Statewide Transportation Improvement Program (STIP). The goal of the STIP is for projects to be planned, programmed, and developed in accordance with federal-aid procedures and ADOT’s Project Management and Scheduling process; federal-aid obligated; the project advertised for bid; and construction started in the fiscal year that the project is programmed. In order to accomplish this, the following tasks must be completed by the project sponsor.

### Outline of Federally Funded Local Public Agency Projects

The following steps summarize the procedure to be used for processing federally funded local government STPBG, CMAQ, BR, RR, TAP, and HSIP projects. ADOT’s role is to assist the local agencies through the project development process and insure compliance with ADOT/FHWA policies, regulations, and guidelines. ADOT will also administer the construction phase of most local public agency projects. The typical project will take 18 to 24 months from project initiation with ADOT to advertisement. The timeline is shown in **Table 5**.

- 1) Project sponsor contacts their local Council of Governments/Metropolitan Planning Organization (COG/MPO) to include the project in the appropriate five-year transportation improvement program (TIP)
  - Project must be in the TIP/STIP to qualify for federal funding and the local public agency process.
  - Federal-aid projects are to meet functional classifications.
- 2) Project sponsor submits a letter to the ADOT Local Public Agency Section requesting a project number and providing brief detail of project scope, location, and cost, schedule, and COG/MPO TIP identification number. Sponsor submits a location map and a copy of the TIP, showing the project funding and programmed year along with the request. The project must be programmed in the correct federal fiscal year (FFY) for the project initiation packet to be submitted. **A complete packet will avoid initiation delays.**
- 3) If Safety or Bridge Rehabilitation/Replacement funded, appropriate project eligibility report must be prepared and submitted to ADOT for approval of funding.
- 4) ADOT Local Public Agency Section requests the Federal-Aid Sequence Number and ADOT (TRACS) project number following up to notify the local agency via a project establishment letter. An ADOT project manager is then requested to be assigned to the project.
- 5) ADOT sends an invoice to the Local agency to cover ADOT design review fees. Local agency deposits ADOT review fee to ADOT.
- 6) ADOT Local Public Agency Section initiates an IGA (Intergovernmental Agreement) between ADOT & local sponsor; IGA is then handed off to the ADOT project manager. On average it takes 120 days to process an agreement from initiation to execution. Once IGA is executed, the Local agency will be invoiced for any matching funds.
- 7) Local agency arranges a kick-off meeting with sponsor, design consultants, ADOT, and COG/MPO.
- 8) If Federal funds are being used for design, follow ADOT/FHWA consultant procurement guidelines.
- 9) Budget an additional 15 percent construction engineering and 5 percent contingency funds if ADOT is performing construction administration of the project.
- 10) Local agency submits Initial Design Concept Report (DCR) to ADOT project manager. The DCR should include a realistic scope, bid date, and cost estimate.
- 11) ADOT reviews DCR and sends comments to Sponsor.
- 12) Sponsor submits final DCR to ADOT project manager.
- 13) ADOT project manager approves DCR and notifies Sponsor.

- 14) Sponsor submits Initial Environmental Report to ADOT Environmental Planning Group Environmental Planner, copying the ADOT project manager.
  - Pygmy owl situation clearance takes at least 12 to 18 months.
  - Section 404 and 401 permits from US Army Corps of Engineers take at least 12 months. Have a definite window for construction activities.
- 15) ADOT Environmental Planning Group Environmental Planner reviews environmental determination report and provides comments to Sponsor.
- 16) Local agency submits Final Environmental Determination Report to ADOT Environmental Planning Group.
- 17) Environmental clearance is obtained from ADOT or FHWA through the ADOT Environmental Planning Group Environmental Planner. NEPA and FHWA guidelines must be satisfied.
- 18) Sponsor submits Preliminary Plans (30 percent stage), preliminary cost estimate, and reports to ADOT project manager. Required reports depend on the project type and may include drainage report, geotechnical report, pavement design summary, materials memo, structure selection report, etc. Sponsor must obtain approval from ADOT project manager to proceed beyond 30 percent design without an environmental clearance if Federal funds are used for design.
- 19) ADOT 30 percent review comments are transmitted to the sponsor who should resolve at an early stage.
  - Any design exceptions? If so, get prior approval from the ADOT project manager, but try to avoid design exceptions—they have to be justified.
- 20) Sponsor submits 60 percent plans, specifications, and estimate to ADOT Project manager. Do not proceed beyond 60 percent design without an environmental clearance if Federal funds are used for design.
- 21) Sponsor submits initial/final materials memo, geotechnical report, pavement design summary, drainage report, and bridge selection report.
- 22) If necessary, arrange a field review meeting with ADOT district staff, local agency, and design team to resolve ADOT review comments.
- 23) Sponsor initiates the Utility clearance letters.
- 24) Sponsor initiates the Right-of-Way clearance letters.
- 25) Sponsor executes the completed IGA.
- 26) Sponsor requests DBE goal assessment from ADOT BECO.
- 27) Sponsor submits 95 percent PS&E package to ADOT. ADOT conducts final review.
  - All ADOT review comments to be resolved before submitting 95 percent PS&E and all final reports to be approved by ADOT
  - Include in the PS&E package landscaping plans, seed specs, and NPDES requirements if necessary.

- 28) Sponsor submits Final Plans (100 percent complete), final cost estimate, and bidding schedule to ADOT.
- 29) Verify Earthwork calculations (quantity check) to avoid change orders in the field.
- 30) Need local funds from sponsor based on final cost estimate. Include 5 percent surcharge (contingency) if construction administered by ADOT for change orders.
- 31) If federal funds are not adequate to meet the final cost estimate based on project scope, revise, or reduce the scope to fit the budget or sponsor to pay the balance to ADOT.
- 32) Final PS&E approval from sponsor.
- 33) ADOT obtains obligation authority of Federal funds from FHWA subsequent to final PS&E and clearances.
- 34) Allow ADOT Contracts & Specifications Section at least 2 months to advertise the project. DBE requirements, Davis Bacon wages, training, etc. must be satisfied.
- 35) Sponsor to submit all original drawings when requested from ADOT.
- 36) Bid opening (allow 22 working days from the date job advertised).
- 37) ADOT State Transportation Board to award a contract to low bidder (next available Board date after bid opening). Sponsor will provide ADOT project manager with a copy of the final signed contract upon project award.
- 38) See prospective contractor within 2-4 weeks.
- 39) ADOT arranges a partnering workshop if ADOT is administering construction.
- 40) Construction begins.
- 41) Invoices for reimbursement must be submitted to the ADOT project manager within 90 days of contract award and monthly thereafter, until completion of project.
- 42) Close out process, record drawings, and letter submitted to ADOT to close out the project.
- 43) Sponsor shall retain all project records for a period of five years after final project acceptance and close out with FHWA.



**CONTACT**

**ADOT Local Public Agency Section**

11615 W. Jackson St., Mail Drop EM11, Phoenix, AZ 85007

Phone: 602.712.8427

e-mail: [localpublicagencysection@azdot.gov](mailto:localpublicagencysection@azdot.gov)



**RESOURCES**

ADOT Local Public Agency Section web page:

<https://azdot.gov/node/5434>



## *ADOT Planning to Programming Process*

The Moving Ahead for Progress in the 21st Century (MAP-21) initiated and the Fixing America's Surface Transportation Act (FAST Act) requires all state departments of transportation to develop a performance-based project selection and prioritization process. ADOT has developed a performance-based process known as Planning to Programming (P2P). Primary components of the P2P process include increased collaboration and coordination among internal ADOT stakeholders leading to improved project scoping and application of Technical and Policy project evaluation criteria.

The State Long Range Transportation Plan (LRTP) "What Moves You Arizona" was updated in February 2018. The LRTP re-visited key agency policies and goals. As part of this update ADOT engaged the public and internal/external stakeholders to develop targets associated with key areas of performance measurement including bridge, pavement, mobility, safety, freight, and air quality. Targets associated with these performance measure areas informed further refinement and weighting of Technical and Policy evaluation criteria designed to move ADOT towards targets set as part of the LRTP update.

The Long Range Transportation Plan update also included a new Recommended Investment Choice (RIC), defining funding allocations for three investment categories including Preservation, Modernization, and Expansion. All projects nominated by ADOT technical groups (e.g. Districts, Bridge, Pavement, Safety, TSMO, etc.) are assigned one of the three investment categories, and projects need to compete within their category for consideration by the State Transportation Board to be considered in the ADOT Five-Year Construction Program. Technical scores for all projects are driven by ADOT technical group analysis while Policy scores are developed and applied by the ADOT Multimodal Planning Division.

Application of the overall P2P process generates a statewide list of prioritized projects in the Preservation, Modernization, and Expansion categories for State Transportation Board consideration and approval as part of the ADOT 5-Year Construction Program. For more information see:

<https://www.azdot.gov/planning/transportation-programming/planning-to-programming>



**CONTACT**

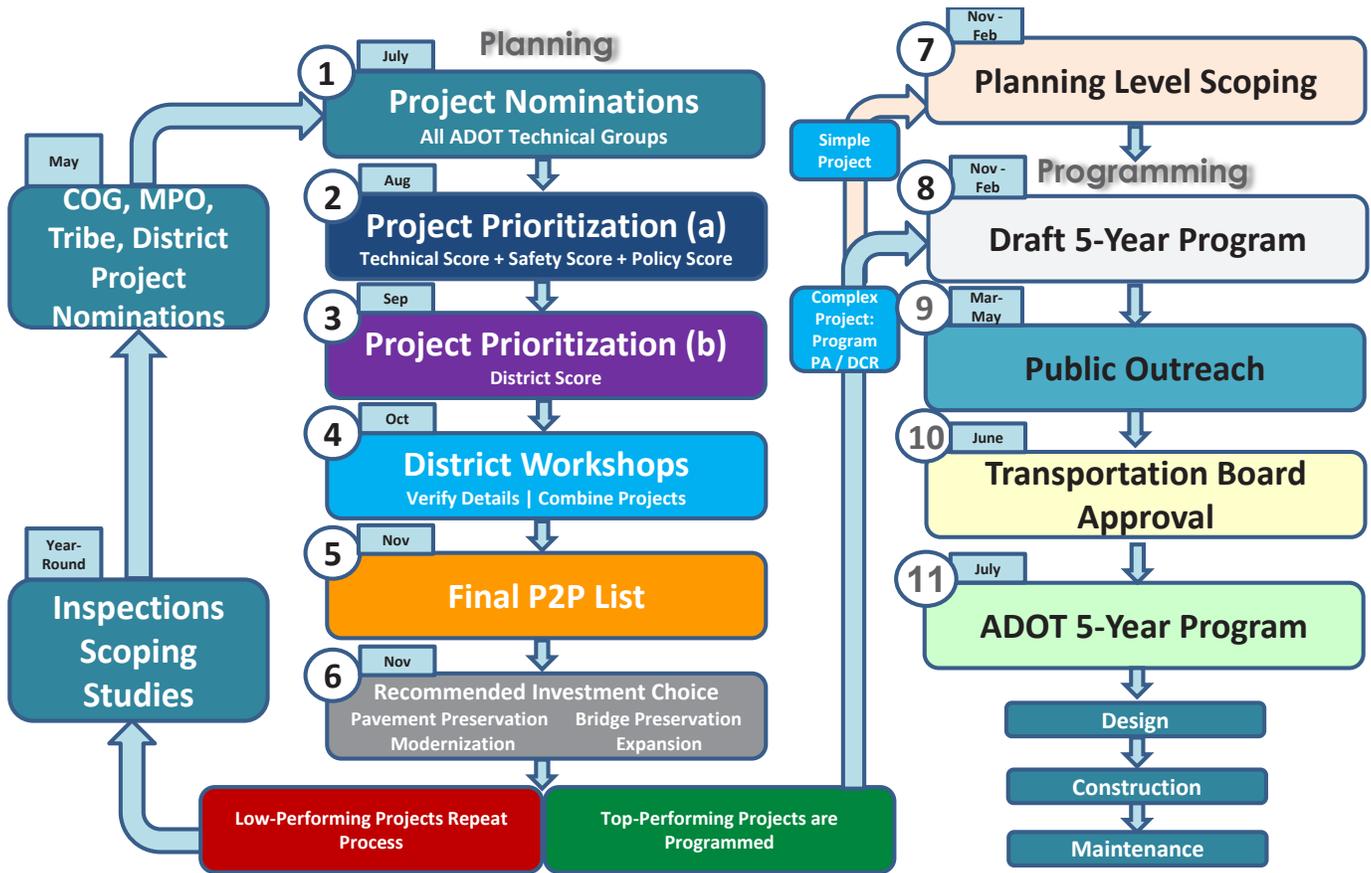
### **ADOT Multimodal Planning Division**

Clem Ligocki, *Planning and Programming Manager*

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ADOT Planning to Programming Process (P2P) Flowchart



## Planning to Programming Project (P2P)

Task #	Responsible Party	Responsibility	Start	Finish
1	MPD P2P Manager IDO District Staff Technical Groups MPD Regional Planners	Early Coordination Meeting(s) for P2P updates	May	June
2	COGs, MPOs, MPD Project Managers, District Engineers	<b>NEW</b> - Submit Project Nominations to the P2P Manager by May 15 <sup>th</sup>	Apr 1 <sup>st</sup>	May 15 <sup>th</sup>
3	MPD P2P Manager	Call for Projects Nominations	Jul 1 <sup>st</sup>	Jul 1 <sup>st</sup>
4	Technical Groups	Technical Groups to email list of prioritized project nominations to P2P Manager by July 31 <sup>st</sup>	Jul 1 <sup>st</sup>	Jul 31 <sup>st</sup>
5	MPD P2P Manager MPD Regional Planners	Initial Project Prioritization: Apply Technical Scores, Safety Scores, & Policy Scores	Aug 1 <sup>st</sup>	Aug 31 <sup>st</sup>
6	MPD P2P Manager	Submit list of prioritized project nominations to Districts for District Ranking	Aug 31 <sup>st</sup>	Aug 31 <sup>st</sup>
7	IDO District Staff	Districts to submit District Rankings to P2P Manager by September 30 <sup>th</sup>	Sep 1 <sup>st</sup>	Sep 30 <sup>th</sup>
8	MPD P2P Manager MPD Regional Planners	Convert District Ranking to District Score and prepare District Workshop spreadsheets	Oct 1 <sup>st</sup>	Oct 15 <sup>th</sup>
9	MPD P2P Manager MPD Regional Planners Technical Groups IDO District Staff	District Workshops: Confirm project details and rankings; combine projects (as appropriate)	Oct 15 <sup>th</sup>	Oct 31 <sup>st</sup>
10	MPD P2P Manager MPD Regional Planners	Apply final edits to the Draft Tentative Five Year Program	Nov 1 <sup>st</sup>	Nov 15 <sup>th</sup>
11	MPD P2P Manager	Submit Draft Tentative Five Year Program to STIP Manager and Major Projects Manager	Nov 15 <sup>th</sup>	Nov 15 <sup>th</sup>
12	MPD STIP Manager MPD, IDO, TSMO, & FMS Management	Management Review of Draft Tentative Five Year Program	Nov 15 <sup>th</sup>	Dec 31 <sup>st</sup>
13	MPD Major Projects Group Roadway Pre-Design Technical Groups	Planning Level Scoping (top ranking priority projects)	Nov 15 <sup>th</sup>	Feb 15 <sup>th</sup>
14	MPD STIP Manager MPD, IDO, TSMO, & FMS Management Transportation Board	Draft Tentative Five Year Program Study Session	Jan 1 <sup>st</sup>	Jan 31 <sup>st</sup>
15	MPD STIP Manager Transportation Board	Draft Five Year Program Public Hearings	Mar 1 <sup>st</sup>	May 31 <sup>st</sup>
16	MPD STIP Manager	Revise Draft Five Year Program based on Public Comments	June	June
17	MPD STIP Manager Transportation Board	Transportation Board Approval of Draft Five Year Program	June	June
18	MPD STIP Manager Governor's Office	Governor's Office Approval of Final Five Year Program	June	June
19	MPD STIP Manager	Distribute Approved Five Year Program	July	July
20	Technical Groups	Field Inspections	Year-round	Year-round

## Five-Year Program Development

ADOT’s planning efforts include developing a Five-Year Transportation Facilities Construction Program. ADOT’s Five-Year Program is a lineup of projects that are revised annually. It serves as a blueprint for future projects and designates how much local, state,

### ADOT Annual Programming Process Cycle



and federal funding is allocated for those projects. The Five-Year Program covers the construction budget for highways, transit, airports and highway-support facilities. The program focuses on multimodal forms of transportation. Funding for the Five-Year Program is generated by the users of transportation services, such as through the gasoline tax and the vehicle license tax.



Legend			
COG	Council of Governments	RAAC	Resource Allocation Advisory Committee
DE	District Engineer	RTP	Regional Transportation Plan
FHWA	Federal Highway Administration	RTPFP	Regional Transportation Plan Freeway Program
FTA	Federal Transportation Administration	STB	State Transportation Board
MAG	Maricopa Association of Governments	STIP	State Transportation Improvement Program
MPD	Municipal Planning Division	TAC	Transportation Advisory Committee
MPO	Municipal Planning Organization	TIP	Transportation Investment Plan
PAG	Pima Association of Governments		
PPAC	Priority Planning Advisory Committee (statutory, Advisory to Director)		

### MAG/ADOT Committee Schedule

Material due MPD	Materials due to MAG	Committee Meeting Date	Committee	Materials Due to ADOT	Meeting Dates	Committee/Board Meeting
<b>Calendar Year 2020</b>						
<b>January 2020</b>	12/30/2019	1/8/2020	MC	12/22/2019	1/6/2020	Priority Planning Advisory Committee
	1/4/2020	1/13/2020	TPC	1/3/2020	1/17/2020	State Transportation Board
	1/20/2020	1/29/2020	RC		1/28/2020	Study Session
1/14/2020	1/21/2020	1/30/2020	TRC	1/16/2020	1/31/2020	Priority Planning Advisory Committee
<b>February 2020</b>	1/27/2020	2/5/2020	MC	2/7/2020	2/21/2020	State Transportation Board
	2/3/2020	2/12/2020	TPC	2/18/2020	3/4/2020	Priority Planning Advisory Committee
	2/17/2020	2/26/2020	RC			
2/11/2020	2/18/2020	2/27/2020	TRC			
<b>Maarch 2020</b>	3/2/2020	3/11/2020	MC	2/18/2020	3/4/2020	Priority Planning Advisory Committee
	3/9/2020	3/18/2020	TPC	3/6/2020	3/20/2020	State Transportation Board
	3/16/2020	3/25/2020	RC			
3/10/2020	3/17/2020	3/26/2020	TRC			
<b>April 2020</b>	3/30/2020	4/8/2020	MC	4/3/2020	4/17/2020	State Transportation Board
	4/6/2020	4/15/2020	TPC	4/14/2020	4/28/2020	State Transportation Board
	4/13/2020	4/22/2020	RC	4/14/2020	4/29/2020	Priority Planning Advisory Committee
4/7/2020	4/14/2020	4/23/2020	TRC			
<b>May 2020</b>	4/27/2020	5/6/2020	MC	5/1/2020	5/15/2020	State Transportation Board
	5/4/2020	5/13/2020	TPC			
	5/11/2020	5/20/2020	RC			
5/10/2020	5/19/2020	5/28/2020	TRC			
<b>June 2020</b>	6/1/2020	6/10/2020	MC	5/25/2020	6/9/2020	Priority Planning Advisory Committee
	6/8/2020	6/17/2020	TPC	5/18/2020	6/2/2020	State Transportation Board
	6/15/2020	6/24/2020	RC	6/5/2020	6/19/2020	State Transportation Board
6/7/2020	6/16/2020	6/25/2020	TRC			
<b>Begin ADOT FY 21</b>						
<b>July 2020</b>				6/16/2020	7/1/2020	Priority Planning Advisory Committee
				7/3/2020	7/17/2020	State Transportation Board
				6/25/2020	7/10/2020	Priority Planning Advisory Committee
7/5/2020	7/14/2020	7/23/2020	TRC			
<b>August 2020</b>	8/3/2020	8/12/2020	MC	7/21/2020	8/5/2020	Priority Planning Advisory Committee
	8/10/2020	8/19/2020	TPC	8/7/2020	8/21/2020	State Transportation Board
	8/17/2020	8/26/2020	RC			
8/9/2020	8/18/2020	8/27/2020	TRC			
<b>September 2020</b>	9/7/2020	9/16/2020	MC	8/18/2020	9/2/2020	Priority Planning Advisory Committee
	9/14/2020	9/23/2020	TPC	9/4/2020	9/18/2020	State Transportation Board
	9/21/2020	9/30/2020	RC	9/15/2020	9/30/2020	Priority Planning Advisory Committee
9/13/2020	9/22/2020	10/1/2020	TRC			
<b>Begin Federal FY 21</b>						
<b>October 2020</b>	9/28/2020	10/7/2020	MC	10/2/2020	10/16/2020	State Transportation Board
	10/12/2020	10/21/2020	TPC		10/27/2020	Study Session
	10/19/2020	10/28/2020	RC			
10/11/2020	10/20/2020	10/29/2020	TRC			
<b>November 2020</b>	10/26/2020	11/4/2020	MC	10/20/2020	11/4/2020	Priority Planning Advisory Committee
10/31/2020	11/9/2020	11/18/2020	TPC	11/6/2020	11/20/2020	State Transportation Board
<b>December 2020</b>	11/23/2020	12/2/2020	RC	11/17/2020	12/2/2020	Priority Planning Advisory Committee
11/22/2020	12/1/2020	12/10/2020	TRC	12/4/2020	12/18/2020	State Transportation Board
NOTE: All projects must follow MAG approval process. Check to determine what approval process is required for your project(s).						
Meeting Dates are subject to change without notice.						

# TIP PROJECT CHANGE REQUEST FORM

This form is available for agencies to download at:

<https://www.azmag.gov/LinkClick.aspx?fileticket=79WNoDRvfzY%3d&tabid=541&portalid=0&mid=3870>

This form is used to request changes to the Transportation Improvement Program. It is an Excel spreadsheet with the following tabs:

1. Request Form. This is the request form itself. It provides a space for contact information, a description of the project as it is currently included in the TIP and a description of how the project will be listed in the TIP if the requested change is approved.
2. Dictionary. This is an item by item description of the data items in used in the form.
3. TIP as of Date. This is a listing of the projects in the current TIP.

To access the form use the link listed above to download the form to your computer.

To complete the form, do the following:

1. Enter the contact information on the Request Form tab
2. If applicable, copy and paste project information on the TIP as of Date tab to the area of the Request Form describing the project as it is currently listed.
3. If applicable, do the same copy to the section of the form describing the proposed listing and modify if needed. If this is a new project to the TIP, enter all applicable information.
4. E-mail the request and any supporting award information you received from ADOT to: Steve Tate, [state@azmag.gov](mailto:state@azmag.gov)

Additional TIP information can be accessed on the TIP webpage: [www.azmag.gov/TIP](http://www.azmag.gov/TIP)

Contact Information of Person Requesting the Change	
Name:	
Phone:	
Email:	
Date Submitted:	

Please see the 'Dictionary' sheet for definitions and entry instructions for cells.

A copy of the latest TIP is included in this spreadsheet for your use.

Current Programming		Please enter the TIP data for the project as it is now programmed (See TIP tab of this spreadsheet). Skip if entering a new project.																				
Project Information														Performance Categories							TIP ID	Fed ID / Grant ID
Agency	Section	MAG ID	Location	Federal Functional Classification (Click on to Access ADOT Maps)	MAG Mode	Estimate Date for Completion/Open to Traffic: MM/YY	AQ Area	In Program	Miles	Through Lanes		Safety	Transit Asset Condition	Pavement Condition	Bridge Condition	Travel Reliability	Non SOV Travel	CMAQ Emissions				
										Before	After								PM1	PM2T		
													No	No	No	No	No	No	No			
													No	No	No	No	No	No	No			
													No	No	No	No	No	No	No			
													No	No	No	No	No	No	No			

Requested Programming		Please enter the TIP data for the revised or new project.																				
Project Information														Performance Categories							TIP ID	Fed ID / Grant ID
Agency	Section	MAG ID	Location	Federal Functional Classification (Click on to Access ADOT Maps)	MAG Mode	Estimate Date for Completion/Open to Traffic: MM/YY	AQ Area	In Program	Miles	Through Lanes		Safety	Transit Asset Condition	Pavement Condition	Bridge Condition	Travel Reliability	Non SOV Travel	CMAQ Emissions				
										Before	After								PM1	PM2T		
													No	No	No	No	No	No	No			
													No	No	No	No	No	No	No			
													No	No	No	No	No	No	No			
													No	No	No	No	No	No	No			

**General reason for the group of changes:**

Provide a brief description of why the change is needed. I.E. the construction of the xxx project was delayed due to environmental clearance. Or Project is requesting closeout funding. Etc.

Work Phase Information								
TRACS / ALI	Work	Work Year	Funding Type	Apportionment Year	Federal	Regional	Local	Total

Work Phase Information									Note/Justification
TRACS / ALI	Work	Work Year	Funding Type	Apportionment Year	Federal	Regional	Local	Total	

**Material Change Policy for the  
MAG Regional Freeway and Highway Program  
Amended 12-6-17**

The 1991 Performance Audit for the MAG Regional Freeway Program recommended that:

Any significant program changes which have major priority or fiscal implications need to be re-solved through the involvement of the MAG Regional Council. This body of elected officials can and should provide a valuable forum for assessing and guiding decisions regarding the scope, timing, and financing of the MAG Program at the program and corridor levels. (Recommendation 4.47 of the 1991 Performance Audit of the MAG Freeway Program.)

Since the 1991 Audit, MAG has processed all changes to budgets, project scope, or schedules requested by the Arizona Department of Transportation (ADOT) through the MAG Regional Council for approval. In 1998, MAG and ADOT proposed limits to the requested changes that are processed through the Regional Council to those that are material. Under this policy, all changes will be provided to MAG, however, only the changes that meet definition of “material change” will be forwarded to the Regional Council for action. Requested changes, including those that are below the material change threshold, will be provided to the MAG Transportation Review Committee (TRC) for information. If a requested change must be expedited to meet ADOT’s project schedule, a material change may go to the Management Committee and Regional Council without going to the TRC first.

Since this policy was initially adopted by the MAG Regional Council in May 1998, an extension of the sales tax was approved by Maricopa County voters in 2004, and the MAG Regional Freeway Program was renamed as the Regional Freeway and Highway Program. During the planning for the extension of the sales tax, the Transportation Policy Committee was formed to advise and recommend policy to the MAG Regional Council on matters related to the Program. In the following amendment to this material change policy, the approval process is revised to account for the Transportation Policy Committee, and additional definitions are provided to improve this Material Change Policy for greater accountability in delivering the Regional Freeway and Highway Program.

### Definition of Material Change

- A. Program Amount:** Funding specified by MAG Regional Council for a Regional Freeway and Highway Program project, including but not limited to, the pre-construction, design, right-of-way, utilities, and construction phases. Other phases may be defined for a project jointly by MAG and ADOT on a project-specific basis as the project’s program amount is recommended to the MAG Regional Council.
- B. Material Cost Change:** An increase to the project’s program amount that is more than five percent (5%) overall, but not less than \$500,000. The increase is applicable across all project development phases of the project. Material cost changes less than \$500,000 will be monitored quarterly and cumulated to identify when a project’s program amount is greater than five percent (5%) overall. When cumulative increases exceed five percent (5%) of the project’s program amount, or \$500,000, then a subsequent increase request will need MAG Regional Council approval. Phases added to a project after the program amount is defined by MAG Regional Council will be considered a material change.
- C. Material Scope Change:** A change in a project scope that results in a material cost change and all scope changes that modify project limits by a mile or more, a horizontal alignment change outside of the adopted corridor limits that requires an updated environmental assessment, a vertical alignment or cross-section profile modification that causes the profile classification to change from depressed, at grade or elevated, changes to an interchange location of a 1/4 mile or more, adds design elements (including additional lanes),

or adds a new project to the program. Any scope change that causes a material cost change to occur must be approved by the Regional Council.

- a. If the material scope change is requested by a local jurisdiction and meets the definition of an enhancement, then the local jurisdiction must also provide the necessary funding to complete the enhancement. If the material scope change is requested by ADOT, the cost of the scope change, if approved, can be paid from Regional Freeway System funding with the concurrence of the Regional Council. (See A.R.S. 28-6353)
- b. According to A.R.S. 28-6351, enhancement means an addition that exceeds generally accepted engineering or design standards for the specific type of facility. ADOT should ensure that the design elements of each new segment meet generally accepted engineering or design standards adopted or accepted for general use by ADOT and are supported by traffic volumes and patterns, the need to serve major public facilities and the need to provide a balanced, multi-modal transportation system for Maricopa County.

**D. Material Schedule Change:** A change in the approved schedule for the start of design, right of way, or construction that causes: (1) completion to be delayed by more than three months, or, (2) the completion of the construction phase of the segment to be delayed beyond the year shown on the latest Certified Regional Freeway System map. For the purposes of this policy, completion means that the segment is open to traffic.

**E. Annual Program Update:** Material changes will be noted annually in April, when MAG updates the program amounts for each project in the Regional Freeway and Highway Program. Material cost changes may be completed on an individual basis if needed.

**Process to Review and Approve Changes**

- A. ADOT will forward all requested changes to MAG.
- B. MAG staff will review each requested change with respect to the definition of material change. Each material change will be reviewed for the impact on the budget, schedule and scope of the MAG Regional Freeway and Highway Program.
- C. All of the requested changes, except expedited changes that must be forwarded directly to the Management Committee, will be presented to the TRC as information. Those changes that represent material changes will be highlighted.
- D. Material changes will be forwarded to the MAG Management Committee with a recommendation by MAG staff for approval or disapproval.
- E. The material change and the recommendation of the MAG Management Committee will be forwarded to the Transportation Policy Committee for their review.
- F. The material change and the recommendation of the Transportation Policy Committee will be forwarded to the MAG Regional Council for final action.
- G. MAG advises ADOT of approved changes.

Approved by the MAG Regional Council 12-6-17.

# CONGESTION MITIGATION AND AIR QUALITY IMPROVEMENT PROGRAM FACT SHEET

The Congestion Mitigation and Air Quality Improvement (CMAQ) Program was established by the Intermodal Surface Transportation Efficiency Act of 1991 and revised by Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21) Act of 2012. The purpose of the CMAQ program is to fund transportation projects or programs that will contribute to attainment or maintenance of the National Ambient Air Quality Standards (NAAQS) for ozone, carbon monoxide (CO), and particulate matter (both PM<sub>10</sub> and PM<sub>2.5</sub>)

MAP-21 and its processors direct States and Metropolitan Planning Organizations (MPOs) to give priority to cost-effective projects, including diesel retrofits and congestion-mitigation efforts that also produced an air quality benefit. It also continues and expands the focus on efficiency and cost-effective project selection. Transportation Control Measures (TCMs) that are identified in State Implementation Plans (SIPs) for air quality attainment are also to be given funding priority.

Any State that has a PM<sub>2.5</sub> nonattainment or maintenance area, including those with approved SIPs that identify on-road mobile sources as insignificant for regional transportation conformity, is required under MAP-21 to invest a portion of its CMAQ funding in projects that reduce PM<sub>2.5</sub> directly or its precursors. More specifically, an amount equal to 25 percent of the funds attributable to PM<sub>2.5</sub> nonattainment in each of the affected States must be used for projects targeting PM<sub>2.5</sub> reductions in those nonattainment and maintenance areas.

Part of Pinal County in the MAG planning area is in a PM<sub>2.5</sub> nonattainment area. The PM<sub>10</sub> nonattainment area includes areas in both Maricopa and Pinal County area.

Also, the development of a CMAQ-eligible project may occur through a public-private partnership. Private entity proposals that benefit the general public by clearly reducing emissions require a legal written agreement between the public agency and private or nonprofit entity specifying the use of funds, roles and responsibilities of participating entities, cost sharing arrangements for capital investments and/or operating expenses, and how the disposition of land, facilities, and equipment should original terms of the agreement be changed. Eligible costs under this section may not include costs to fund an obligation imposed on private sector or nonprofit entities under the CAA or any other federal law except where the incremental portion of a project that exceeds the obligation under Federal law.

The following is a listing of eligibility provisions contained in the November, 2013 guidance. Footnote references in the document have been removed.

## A. Project Eligibility: General Conditions

Each CMAQ project must meet three basic criteria: ***it must be a transportation project, it must generate an emissions reduction, and it must be located in or benefit a nonattainment or maintenance area.*** In addition, all Federal-aid projects—CMAQ is no exception—must be included in the MPO's current transportation plan and Transportation Improvement Program (TIP) (or the current Statewide Transportation Improvement Program (STIP) in areas without an MPO). In nonattainment and maintenance areas, the project also must meet the conformity provisions contained in section 176(c) of the CAA and the transportation conformity regulations. Lastly, all CMAQ-funded projects need to complete National Environmental Policy Act (42 U.S.C. 4321 *et seq.*) (NEPA) requirements and satisfy the basic eligibility requirements under titles 23 and 49 of the United States Code.

The following should guide CMAQ eligibility decisions:

## 1. Capital Investment

The CMAQ funds may be used to establish new or expanded transportation projects or programs that reduce emissions, including capital investments in transportation infrastructure, congestion relief efforts, vehicle acquisitions, diesel engine retrofits, or other capital projects.

## 2. Operating Assistance

There are several general conditions for operating assistance eligibility under the CMAQ program (see the November 2013 CMAQ Program Interim Guidance for a complete discussion on CMAQ project eligibility requirements):

- a. Operating assistance is limited to start up operating costs for new transportation services or the incremental costs of expanding such services, including transit, commuter and intercity passenger rail services, intermodal facilities, and travel demand management strategies, including traffic operation centers.
- b. In using CMAQ funds for operating assistance, the intent is to help start up viable new transportation services that can demonstrate air quality benefits and eventually cover costs as much as possible. Other funding sources should supplement and ultimately replace CMAQ funds for operating assistance, as these projects no longer represent additional, net air quality benefits but have become part of the baseline transportation network. The provisions in 23 U.S.C. 116 place responsibilities for maintenance of transportation facilities on the States. Since facility maintenance is akin to operations, a time-limited period of CMAQ assistance provides adequate incentive and flexibility while not creating a pattern of excessive or even perpetual support.
- c. Operating assistance includes all costs of providing new transportation services, including, but not limited to, labor, fuel, administrative costs, and maintenance.
- d. When CMAQ funds are used for operating assistance, non-Federal share requirements still apply.
- e. With the focus on start-up, and recognizing the importance of flexibility in the timing of financial assistance, the 3 years of operating assistance allowable under the CMAQ program may now be spread over a longer period, for a total of up to 5 sequential years of support. Grantees who propose to use CMAQ funding for operating support may spread the third year amount (an amount not to exceed the greater of year 1 or 2) across an additional 2 years (i.e. years 4 and 5). This approach will provide an incremental, taper-down approach, while other funding is used for a higher proportion of the operating costs as needed. See the table below for examples of possible funding allocations. At the conclusion of the 5-year period, operating costs would have to be maintained with non-CMAQ funding. It is anticipated that this approach may enable a transition to more independent system operation. The amounts which apply to years 1 and/or 2 are established at the discretion of the State or local sponsor.

Example	Year 1	Year 2	Year 3	Year 4	Year 5	Total
<b>A</b>	\$300	\$300	\$200	\$50	\$50	\$900
<b>B</b>	300	300	100	100	100	900
<b>C</b>	100	400	200	100	100	900

Except as noted in paragraph (f) below, activities that already have received 3 years of operating assistance under prior authorizations of the CMAQ program are not considered to be in a start-up phase and are not eligible for new CMAQ operating assistance or the expanded assistance period.

- f. Section 125 of the 2014 Appropriations Act included changes to the Operating Assistance Section of the CMAQ program (23 USC 149(m)). The changes added new language that specifically prohibits the im-

sition of a time limitation for operating assistance eligibility on a system “for which CMAQ funding was made available, obligated or expended in fiscal year 2012.” The phrase “made available” applies to projects designated for CMAQ operating assistance in statute, or to any commitment by the party that by law selects projects for operating assistance funding so long as it occurred during FY 2012. There must be official documentation demonstrating that there was a specific commitment in FY 2012 to provide CMAQ funding for operating assistance for a particular project or service. Such official documentation could include a TIP or STIP, or other State or MPO official records. The specific project or service for which the CMAQ funds are being sought for operating assistance without a time limitation must be clearly identified in this documentation. Transportation services expressly eligible for CMAQ funding under SAFETEA-LU sections 1808(g)-(k) and certain provisions in previous appropriations acts are eligible to use CMAQ funds for operating assistance without time limitations. Consistent with Section IX of the CMAQ Program Interim Guidance, States retain the discretion to decide whether or not to fund the operating assistance.

- g. Elements of operating assistance prohibited by statute or regulation are not eligible for CMAQ participation, regardless of their emissions or congestion reduction potential.

### 3. Emission Reduction

Air quality improvement is defined by several distinct terms in 23 U.S.C. 149. These terms include contribution to attainment, reduction in pollution, air quality benefits, and others. For purposes of this guidance, **emission reduction** represents this group of terms. CMAQ-funded projects or programs must reduce CO, ozone precursors (NO<sub>x</sub> and VOCs), PM<sub>2.5</sub>, PM<sub>10</sub>, or PM precursor (e.g., NO<sub>x</sub>) emissions from transportation; these reductions must contribute to the area’s overall clean air strategy and can be demonstrated by the emissions reduction analysis that is required under this guidance. States and MPOs also may consider the ancillary benefits of eligible projects, including greenhouse gas reductions, congestion relief, mobility, safety, or other elements, when programming CMAQ funds, though such benefits do not alone establish eligibility.

### 4. Planning and Project Development

Activities in support of other Title 23-eligible projects also may be appropriate for CMAQ investments. All phases of eligible projects—not only construction—are eligible for CMAQ funding. For example, studies that are part of the project development pipeline (e.g., preliminary engineering) under NEPA are eligible for CMAQ support. General studies that fall outside specific project development do not qualify for CMAQ funding. Examples of such ineligible efforts include major investment studies, commuter preference studies, modal market polls or surveys, transit master plans, and others. These activities are eligible for Federal planning funds.

## B. Projects Ineligible for CMAQ Funding

The following projects are ineligible for CMAQ funding:

1. Light-duty vehicle scrappage programs.
2. Projects that add new capacity for SOVs are ineligible for CMAQ funding unless construction is limited to high-occupancy vehicle (HOV) lanes. This HOV lane eligibility includes the full range of HOV facility uses authorized under 23 U.S.C 166, such as high-occupancy toll (HOT) and low-emission vehicles.
3. Routine maintenance and rehabilitation projects (e.g., replacement-in-kind of track or other equipment, reconstruction of bridges, stations, and other facilities, and repaving or repairing roads) are ineligible for CMAQ funding as they only maintain existing levels of highway and transit service, and therefore do not reduce emissions. (See previous section covering eligibility for operational support.) Other funding sources, such as STP and FTA’s Urbanized Area Formula Program (49 U.S.C. 5307), are available for such activities.

4. Administrative costs of the CMAQ program may not be defrayed with program funds, e.g., support for a State's "CMAQ Project Management Office" is not eligible.
5. Projects that do not meet the specific eligibility requirements of Titles 23 and 49, United States Code, are ineligible for CMAQ funds.
6. Stand-alone projects to purchase fuel.
7. Models and Monitors-Acquisition, operation, or development of models or monitoring networks are not eligible for CMAQ funds. As modeling or monitoring emissions, traffic operations, travel demand or other related variables do not directly lead to an emissions reduction, these activities or acquisitions are not eligible. Such efforts may be appropriate for Federal planning funds.
8. Litigation costs surrounding CMAQ or other Federal-aid projects.

### C. Public-Private Partnerships (PPPs)

In a PPP, a private or non-profit entity's resources replace or supplement State or local funds and possibly a portion of the Federal-aid in a selected project. The PPP component of CMAQ has evolved into a critical element of the program, as private sector involvement in such activities as freight and diesel retrofits has grown considerably.

Partnerships should have a legally binding, written agreement in place between the public agency and the private or non-profit entity before a CMAQ-funded project may be implemented. These agreements should be developed under relevant Federal and State law and should specify the intended use for CMAQ funding; the roles and responsibilities of the participating entities; and how the disposition of land, facilities, and equipment will be carried out should the original terms of the agreement be altered (e.g., due to insolvency, change in ownership, or other changes in the structure of the PPP).

Public funds should not be invested where a strong public benefit cannot be demonstrated. Consequently, CMAQ funds should be devoted to PPPs that benefit the general public by clearly reducing emissions, not for financing marginal projects. Consistent with the planning and project selection provisions of the Federal-aid highway program, the FHWA considers it essential that all interested parties have full, open, and timely access to the project selection process.

There are several other statutory restrictions and special provisions on the use of CMAQ funds in PPPs. Eligible costs under this section should not include costs to fund an obligation imposed on private sector or non-profit entities under the CAA or any other Federal law. However, if the private or non-profit entity clearly is exceeding its obligations under Federal law, CMAQ funds may be used for that incremental portion of the project.

Eligible non-monetary activities that satisfy the non-Federal match requirements under the partnership provisions include the following:

- Ownership or operation of land, facilities, or other physical assets
- Construction or project management
- Other forms of participation approved by the Department.

Sharing of total project costs, both capital and operating, is a critical element of a successful public-private venture, particularly if the private entity is expected to realize profits as part of the joint venture. State and local officials are urged to consider a full range of cost-sharing options when developing a PPP, including a larger State/local match.

## D. Costs and other Regulatory Requirements

The CMAQ projects must comply with other applicable Federal requirements, including those affecting determinations of eligible project costs. All Federal projects must conform to the appropriate cost principles for Federal-aid. Most CMAQ projects are subject to 2 CFR Part 225-also known as OMB Circular A-87-the [cost principles for State, local, and Indian tribal governments](#). These principles focus on determining the allowable costs for the subject government entities and also provide a discussion of the relationship between appropriate costs and the purpose of the program.

Sponsors also should be familiar with the general cost and accounting components of 49 CFR Part 18, which provides direction on administering Federal grants to State and local governments.

## E. Programmatic Eligibility

The MAP-21 provides flexibility for States and MPOs to conduct a technical assessment of the program of CMAQ projects under review that fulfills the requirement for an emissions reduction demonstration. This technical assessment is fully optional and can include the full program as listed in the TIP or a subset of that full program. The technical methods are at the discretion of the MPO but can include modeling or other contemporary tools generally found acceptable by professionals in the field. If the assessment is successful in demonstrating an emissions reduction, no further analysis will need to be provided by the MPO for those projects included, and these efforts can proceed to CMAQ obligation. However, emissions reductions also should be demonstrated for CMAQ projects not included in the selected subset covered by the technical assessment.

## F. Eligible Projects and Programs

Eligibility information is provided below. Not all possible requests for CMAQ funding are covered-this section provides examples of general project types that may be eligible for CMAQ funds.

### 1. Diesel Engine Retrofits & Other Advanced Truck Technologies

The MAP-21 continues the emphasis SAFETEA-LU placed on diesel engine retrofits and the various types of projects that fall under this broad category. These efforts are defined as vehicle replacement, repowering (replacing an engine with a cleaner diesel engine, alternative fuels, etc.), rebuilding an engine, or other technologies determined by the EPA as appropriate for reducing emissions from diesel engines. This latter point, highlighting developing technologies, establishes a degree of flexibility and a need for periodic adjustment in the definition by the EPA. The legislation defines retrofit projects as applicable to both on-road motor vehicles and non-road construction equipment; the latter must be used in Title 23 projects based in nonattainment or maintenance areas for either PM or ozone.

The MAP-21 expands the prior focus created by the SAFETEA-LU. Specifically for PM<sub>2.5</sub> areas, diesel retrofits are called out as eligible projects in the Priority Consideration section. Similarly, such efforts are again highlighted in the discussion of the PM<sub>2.5</sub> priority set-aside, and emphasized again in the closely related section on construction vehicles and equipment.

More than 13 million diesel engines make up the legacy fleet operating in the U.S. The vast majority of these power on-road heavy-duty and medium-duty trucks, locomotives, and off-road construction equipment-all of which may be eligible for CMAQ funding.

There are a number of specific project types in the diesel retrofit area for which CMAQ funds are eligible. Assuming all other CMAQ criteria are met, eligible projects could include diesel engine or full vehicle replacement; full engine rebuilding and reconditioning; and purchase and installation of after-treatment hardware, including particulate matter traps and oxidation catalysts, and other technologies; and support for heavy-duty vehicle retirement programs. Project agreements involving replacements for either engines or full vehicles should include a provision for disposal or destruction of the engine block, verification that the engine is no longer contributing emissions in the nonattainment or maintenance area, or for other processes at the State's discretion that track the retirement of the vehicle or engine in accordance with the State's or sub-grantee's program. The MAP-21 provided one change to the approach in establishing eligibility for emissions control equipment. After-treatment and other on-board control devices are restricted to those EPA or the California Air Resources Board (CARB) verified and/or technologies as defined in section 791 of the Energy Policy Act of 2005 (42 U.S.C. 16131).

A strong component of the SAFETEA-LU focus on diesel retrofits, construction vehicles and equipment also are eligible under MAP-21. Eligible acquisitions or retrofits would be for those capital items used for highway construction projects in PM-2.5 nonattainment or maintenance areas. Equipment or vehicles used predominantly in a maintenance role would not qualify. These would include loaders or backhoes in yard or depot work, tractors assigned to mowing or other median maintenance, compactors or rollers involved in routine work, such as pothole repair, and others.

The CMAQ funds may be used to purchase and install emission control equipment on school buses. (Such projects, generally, should be administered by FHWA; see Transit Improvements, below). In addition, although CMAQ funds should not be used for the initial purchase of conventionally fueled airport parking lot shuttles, funds may be used for purchase and installation of after treatment hardware or repowering (with a hybrid drive train, for example).

Refueling is not eligible as a stand-alone project, but is eligible if it is required to support the installation of emissions control equipment, repowering, rebuilding, or other retrofits of non-road engines.

In addition to equipment and technology, outreach activities that provide information exchange and technical assistance to diesel owners and operators on retrofit options are eligible investments. These projects could include the actual education and outreach program, construction or acquisition of appropriate classroom buildings, and other efforts to promote the use of retrofit technologies.

Non-road mobile source projects also are eligible for CMAQ funding. Most notably, a considerable amount of CMAQ support has been directed to locomotive retrofit and the acquisition of clean locomotives, such as rail yard switchers and shunters that fit the generator-set criterion (See Freight and Intermodal, Section VII. F. 4). The FHWA acknowledges that diesel retrofit projects may include non-road mobile source endeavors, which traditionally have been outside the Federal-aid process. However, the MAP-21 clarifies CMAQ eligibility for non-road diesel retrofit projects. Areas that fund these projects are not required to take credit for the projects in the transportation conformity process. For areas that want to take credit, the EPA developed guidance for estimating diesel retrofit emission reductions and for applying the credit in the SIP and transportation conformity processes.

Transportation projects that are part of an effort associated with EPA's Diesel Emissions Reduction Act (DERA) also may be eligible. Federal field offices, State DOTs, and other local sponsors should consult with the nearest EPA Regional Office on projects that feature DERA elements or mutual funding with CMAQ.

In addition to retrofit projects, upgrading long-haul heavy-duty diesel trucks with EPA and/or CARB verified advanced technologies, such as idle reduction devices, cab and trailer aerodynamic fixtures, and single-wide or other efficient tires, has been demonstrated by the EPA's *Smart Way Transport Partnership Program* to reduce NO<sub>x</sub> emissions and save fuel. These strategies also are eligible for CMAQ support. Such projects funded directly by CMAQ that involve the private sector should be part of a PPP, as discussed in Section VII.C.

Many diesel retrofit projects involve private sector participation. Although standard match rates established in 23 U.S.C. 120 apply to these efforts, States and local governments are encouraged to seek a higher non-Federal match from those participants that ultimately will own the equipment. An even 50-50 split share between the Federal CMAQ and all other sources has been a frequent compromise for many past projects in this arena.

## 2. Idle Reduction

Idle reduction projects that reduce emissions and are located within, or in proximity to and primarily benefiting, a nonattainment or maintenance area are eligible for CMAQ investment. (The geographic requirement mainly applies to off-board projects, i.e., truck stop electrification (TSE) efforts.) However, if CMAQ funding is used for an on-board project (i.e. auxiliary power units, direct fired heaters, etc.) the vehicle—usually a heavy-duty truck—should travel within, or in proximity to and primarily benefiting, a nonattainment or maintenance area. Idle reduction devices are verified by the EPA.

There have been several instances where operating assistance funds have been requested for TSE services. The CMAQ funding for TSE projects has been limited to capital costs (i.e. deployment of TSE infrastructure). Operating assistance for TSE projects should not be funded under the CMAQ program since TSE projects generate their own revenue stream and therefore should be able to cover all operating expenses from the accumulated revenue.

Commercial idle reduction facilities cannot be located within rest areas of the Interstate right-of-way (ROW). The SAFETEA-LU initially provided for these facilities in the ROW. However, this provision was removed with the SAFETEA-LU Technical Corrections Bill that followed.

## 3. Congestion Reduction & Traffic Flow Improvements

Traffic flow improvements may include the following:

### *a. Traditional Improvements*

Traditional traffic flow improvements, such as the construction of roundabouts, HOV lanes, left-turn or other managed lanes, are eligible for CMAQ funding provided they demonstrate net emissions benefits through congestion relief.

### *b. Intelligent Transportation Systems*

ITS projects, such as traffic signal synchronization projects, traffic management projects, and traveler information systems, can be effective in relieving traffic congestion, enhancing transit bus performance, and improving air quality. The following have the greatest potential for improving air quality:

- Regional multimodal traveler information systems
- Traffic signal control systems
- Freeway management systems
- Electronic toll-collection systems
- Transit management systems
- Incident management programs.

The FHWA has provided a lengthier discussion of the benefits associated with various operational improvements.

### c. Value/Congestion Pricing

Congestion pricing is a market-based mechanism that allows tolls to rise and fall depending on available capacity and demand. Tolls can be charged electronically, thereby eliminating the need for full stops at tollbooths. In addition to the benefits associated with reducing congestion, revenue is generated that can be used to pay for a wide range of transportation improvements, including Title 23-eligible transit services in the newly tolled corridor.

Parking pricing can include time-of-day parking charges that reflect congested conditions. These strategies should be designed to influence trip-making behavior and may include charges for using a parking facility at peak periods, or a range of employer-based parking cash-out policies that provide financial incentives to avoid parking or driving alone. Parking pricing integrated with other pricing strategies is encouraged.

Pricing encompasses a variety of market-based approaches such as:

- **HOT lanes**, or High Occupancy Toll lanes, on which variable tolls are charged to drivers of low-occupancy vehicles using HOV lanes, such as the “FasTrak” Lanes on I-15 in San Diego and the recently converted I-394 in Minneapolis in which prices vary dynamically every two minutes based on traffic conditions.
- **New variably tolled express lanes** on existing toll-free facilities, such as the “91 Express Lanes” on State Route 91 in Orange County, CA.
- **Variable tolls on existing or new toll roads**, such as on the bridges and tunnels operated by the Port Authority of New York and New Jersey.
- **Network-wide or cordon pricing**, such as implemented in Stockholm, London, and Singapore.
- **Usage-based vehicle pricing**, such as mileage-based vehicle taxation being explored by the State of Oregon, or pay-per-mile car insurance.

As with any eligible CMAQ project, value pricing should generate an emissions reduction. Marketing and outreach efforts to expand and encourage the use of eligible pricing measures may be funded indefinitely. Eligible expenses for reimbursement include, but are not limited to: tolling infrastructure, such as transponders and other electronic toll or fare payment systems; small roadway modifications to enable tolling, marketing, public outreach, and support services, such as transit in a newly tolled corridor. Innovative pricing approaches yet to be deployed in the U.S. also may be supported through the *Value Pricing Pilot Program*.

Operating expenses for traffic operating centers (TOCs) are eligible for CMAQ funding if they can be shown to produce air quality benefits, and if the expenses are incurred from new or additional capacity. The operating assistance parameters discussed in Section VII.A.2 apply.

Projects or programs that involve the purchase of integrated, interoperable emergency communications equipment are eligible for CMAQ funding.

## 4. Freight/Intermodal

Projects and programs targeting freight capital costs-rolling stock or ground infrastructure-are eligible provided that air quality benefits can be demonstrated. Freight projects that reduce emissions fall generally into two categories: primary efforts that target emissions directly or secondary projects that reduce net emissions.

Successful primary projects could include new diesel engine technology or retrofits of vehicles or engines. See discussion in Section VII.F.1. Eligibility under CMAQ is not confined to highway projects, but also applies to non-road mobile freight projects such as rail.

Secondary projects reduce emissions through modifications or additions to infrastructure and the ensuing modal

shift. Support for an intermodal container transfer facility may be eligible if the project demonstrates reduced diesel engine emissions when balancing the drop in truck VMT against the increase in locomotive or other non-highway activity. Intermodal facilities, such as inland transshipment ports or near/on-dock rail, may generate substantial emissions reductions through the decrease in miles traveled for older, higher-polluting heavy-duty diesel trucks. This secondary, indirect effect on truck traffic and the ensuing drop in diesel emissions help demonstrate eligibility.

The transportation function of these freight/intermodal projects should be emphasized. Marginal projects that support freight operations in a very tangential manner are not eligible for CMAQ funding. Warehouse handling equipment, for example, is not an eligible investment of program funds. Warehouses, themselves, or other similar structures, such as transit sheds, bulk silos or other permanent, non-mobile facilities that function more as storage resources are not eligible. However, equipment that provides a transportation function or directly supports this function is eligible, such as rail yard switch locomotives or shunters that fall into the generator-set or other clean engine category. Similarly, large-scale container gantry cranes, or other heavy-duty container handling equipment that is a clear link in the intermodal process can be eligible as well. Also, on the ground operations side of aviation, the purchase or retrofit of airport handling equipment can be eligible, including baggage handlers, aircraft tow motors, and other equipment that plays a role in this intermodal link.

## 5. Transportation Control Measures (TCM)

Most of the TCMs included in Section 108 of the CAA, listed below, are eligible for CMAQ funding. We would note that one particular CAA TCM, created to encourage removal of pre-1980 light-duty vehicles, is specifically excluded from CMAQ eligibility.

- i. Programs for improved public transit;
- ii. Restriction of certain roads or lanes to, or construction of such roads or lanes for use by, passenger buses or HOV;
- iii. Employer-based transportation management plans, including incentives;
- iv. Trip-reduction ordinances;
- v. Traffic flow improvement programs that reduce emissions;
- vi. Fringe and transportation corridor parking facilities serving multiple-occupancy vehicle programs or transit service;
- vii. Programs to limit or restrict vehicle use in downtown areas or other areas of emission concentration particularly during periods of peak use;
- viii. Programs for the provision of all forms of high-occupancy, shared-ride services;
- ix. Programs to limit portions of road surfaces or certain sections of the metropolitan area to the use of non-motorized vehicles or pedestrian use, both as to time and place;
- x. Programs for secure bicycle storage facilities and other facilities, including bicycle lanes, for the convenience and protection of bicyclists, in both public and private areas;
- xi. Programs to control extended idling of vehicles;
- xii. Reducing emissions from extreme cold-start conditions;
- xiii. Employer-sponsored programs to permit flexible work schedules;

- xiv. Programs and ordinances to facilitate non-automobile travel, provision and utilization of mass transit, and to generally reduce the need for SOV travel, as part of transportation planning and development efforts of a locality, including programs and ordinances applicable to new shopping centers, special events, and other centers of vehicle activity; and
- xv. Programs for new construction and major reconstructions of paths, tracks, or areas solely for the use by pedestrian or other non-motorized means of transportation when economically feasible and in the public interest.

## 6. Transit Improvements

Many transit projects are eligible for CMAQ funds. The general guideline for determining eligibility is whether the project increases transit capacity and would likely result in an increase in transit ridership and a potential reduction in congestion. As with other types of CMAQ projects, there should be a quantified estimate of the project's emissions benefits accompanying the proposal.

The FTA administers most transit projects. For such projects, after the FTA determines a project eligible, CMAQ funds will be transferred, or "flexed," from the FHWA to the FTA, and the project will be administered according to the appropriate FTA program requirements. Certain types of eligible transit projects for which FTA lacks statutory authority, such as diesel retrofit equipment for public school bus fleets, may be the responsibility of the State or other eligible project sponsor and are administered by FHWA.

### *a. Facilities*

New transit facilities (e.g., lines, stations, terminals, transfer facilities) are eligible if they are associated with new or enhanced public transit, passenger rail, or other similar services. Routine maintenance or rehabilitation of existing facilities is not eligible, as it does not reduce emissions. However, rehabilitation of a facility may be eligible if the vast majority of the project involves physical improvements that will increase transit service capacity. In such cases there should be supporting documentation showing an expected increase in transit ridership that is more than minimal. If the vast majority of the project involves capacity enhancements, other elements involving refurbishment and replacement-in-kind also are eligible.

### *b. Vehicles and Equipment*

New transit vehicles (bus, rail, or van) to expand the fleet or replace existing vehicles are eligible. Transit agencies are encouraged to purchase vehicles that are most cost-effective in reducing emissions. Diesel engine retrofits, such as replacement engines and exhaust after-treatment devices, are eligible if certified or verified by the EPA or California Air Resources Board (CARB). See discussion in Section VII.F.1. Routine preventive maintenance for vehicles is not eligible as it only returns the vehicles to baseline conditions. Other than diesel engine retrofits, other transit equipment may be eligible if it represents a major systemwide upgrade that will significantly improve speed or reliability of transit service, such as advanced signal and communications systems.

### *c. Fuel*

Fuel, whether conventional or alternative fuel, is an eligible expense only as part of a project providing operating assistance for new or expanded transit service under the CMAQ program. This includes fuels and fuel additives considered diesel retrofit technologies by the EPA or CARB. Purchase of alternative fuels is authorized in some States based on the continuation of a series of exemptions for uses expressly eligible for CMAQ funding under SAFETEA-LU section 1808(k) and certain provisions in subsequent appropriations acts. The maximum allowable assistance level and time limitation described in Section VII.A.2. will apply.

*d. Operating Assistance*

Operating assistance to introduce new transit service or expand existing transit service is eligible. The eligibility applies regardless of the size of the urbanized area (UZA) or whether a particular grantee is or was previously authorized to use funding under Chapter 53 of Title 49 U.S.C. for operating assistance. For a detailed discussion of operating assistance eligibility, including the changes brought about by MAP-21, please see Section VII.A.2 above.

*e. Transit Fare Subsidies*

The CMAQ funds may be used to subsidize regular transit fares in an effort to prevent the NAAQS from being exceeded, but only under the following conditions: The reduced or free fare should be part of a comprehensive areawide program to prevent such an anticipated exceedance. For example, “Ozone Action” programs vary in scope around the country, but they generally include actions that individuals and employers can take, and they are aimed at all major sources of air pollution, not just transportation. The subsidized fare should be available to the general public and may not be limited to specific groups. It may only be offered during periods of elevated pollution when the threat of exceeding the NAAQS is greatest; e.g., it is not intended for the entire high-ozone season. The fare subsidy proposal should demonstrate that the responsible local agencies will combine the reduced or free fare with a robust marketing program to inform SOV drivers of other transportation options. Because the fare subsidy is not strictly a form of operating assistance, it would not be subject to the 5-year limit.

**7. Bicycle and Pedestrian Facilities and Programs**

Bicycle and pedestrian facilities and programs are included as a TCM in section

108(f)(1)(A) of the CAA (42 U.S.C. 7408(f)(1)(A)). The following are eligible projects:

- Constructing bicycle and pedestrian facilities (paths, bike racks, support facilities, etc.) that are not exclusively recreational and reduce vehicle trips.
- Non-construction outreach related to safe bicycle use.
- Establishing and funding State bicycle/pedestrian coordinator positions for promoting and facilitating non-motorized transportation modes through public education, safety programs, etc. (Limited to one full-time position per State).

Bicycle and pedestrian programs that are not supported under 23 CFR Part 652, *Pedestrian and Bicycle Accommodations and Projects*, also are not eligible for CMAQ funding. For example, under 23 CFR 652.9(b)(3), a non-construction bicycle project does not include salaries for administration, maintenance costs, and other items akin to operational support under 23 CFR 652.9(b)(3), and, therefore, these are not allowable CMAQ costs.

Additional activities related to bicycle and pedestrian programs can be supported by other elements of the Federal-aid highway program. These efforts are described at the FHWA’s Bicycle and Pedestrian Programs Website.

**8. Travel Demand Management**

Travel demand management (TDM) encompasses a diverse set of activities that focus on physical assets and services that provide real-time information on network performance and support better decision making for travelers choosing modes, times, routes, and locations. Such projects can help ease congestion and reduce SOV use-contributing to mobility, while enhancing air quality and saving energy resources. Similar to ITS and Value Pricing, today’s TDM programs seek to optimize the performance of local and regional transportation networks. The following activities are eligible if they are explicitly aimed at reducing SOV travel and associated emissions:

- Fringe parking

- Traveler information services
- Shuttle services
- Guaranteed ride home programs
- Carpools, vanpools
- Traffic calming measures
- Parking pricing
- Variable road pricing
- Telecommuting/Teleworking
- Employer-based commuter choice programs.

The CMAQ funds may support capital expenses and, as discussed in Section VII.A.2, up to five years of operating assistance to administer and manage new or expanded TDM programs. Marketing and outreach efforts to expand use of TDM measures may be funded indefinitely, but only if they are broken out as distinct line items.

Eligible telecommuting activities include planning, preparing technical and feasibility studies, and training. Construction of telecommuting centers and computer and office equipment purchases should not be supported with CMAQ funds.

## 9. Public Education and Outreach Activities

The goal of CMAQ-funded public education and outreach activities is to educate the public, community leaders, and potential project sponsors about connections among trip making and transportation mode choices, traffic congestion, and air quality. Public education and outreach can help communities reduce emissions and congestion by inducing drivers to change their transportation choices. More important, an informed public is likely to support larger regional measures necessary to reduce congestion and meet CAA requirements.

A wide range of public education and outreach activities is eligible for CMAQ funding, including activities that promote new or existing transportation services, developing messages and advertising materials (including market research, focus groups, and creative), placing messages and materials, evaluating message and material dissemination and public awareness, technical assistance, programs that promote the Tax Code provision related to commute benefits, transit “store” operations, and any other activities that help forward less-polluting transportation options.

Using CMAQ funds, communities have disseminated many transportation and air quality public education messages, including maintain your vehicle; curb SOV travel by trip chaining, telecommute and use alternate modes; fuel properly; observe speed limits; don’t idle your vehicle for long durations; eliminate “jack-rabbit” starts and stops; and others.

Long-term public education and outreach can be effective in raising awareness that can lead to changes in travel behavior and ongoing emissions reductions; therefore, these activities may be funded indefinitely.

## 10. Transportation Management Associations

Transportation Management Associations (TMAs) are groups of citizens, firms, or employers that organize to address the transportation issues in their immediate locale by promoting rideshare programs, transit, shuttles, or other measures. The TMAs can play a useful role in brokering transportation services to private employers.

Subject to applicable cost principles under 2 CFR Part 225, CMAQ funds may be used to establish TMAs provided that they reduce emissions. Eligible expenses include TMA start-up costs and up to 5 years of operating assistance as discussed in Section VII.A.2. Eligibility of specific TMA activities is addressed throughout this guidance.

## 11. Carpooling and Vanpooling

Eligible activities can be divided into two types of costs: *marketing* (which applies to both carpools and vanpools) and *vehicle* (which applies to vanpools only).

- a. Carpool/vanpool marketing covers existing, expanded, and new activities designed to increase the use of carpools and vanpools, and includes purchase and use of computerized matching software and outreach to employers. Guaranteed ride home programs are also considered marketing tools. Marketing costs may be funded indefinitely.
- b. Vanpool vehicle capital costs include purchasing or leasing vans for use in vanpools. Eligible operating costs, limited to five years as set forth in Section VII.A.2, empty-seat subsidies, maintenance, insurance, administration, and other related expenses. Prorated cost sharing plans that establish grant proportions for undefined shares of capital and operating costs need to be broken down to the specific components or line items that establish the capital-operating shares.

The CMAQ funds should not be used to buy or lease vans that would directly compete with or impede private sector initiatives. States and MPOs should consult with the private sector prior to using CMAQ funds to purchase vans, and if private firms have definite plans to provide adequate vanpool service, CMAQ funds should not be used to supplant that service.

In accordance with 23 U.S.C. 120(c)(1), carpooling and vanpooling activities may be supported with up to 100 percent Federal funding, under certain limitations.

## 12. Carsharing

The MAP-21 specifically highlights carsharing projects in the amended section on traffic demand. These efforts involve the pooling of efficient, low-emission vehicles, provided to travelers who have occasional need for a vehicle but not the constant, daily necessity that demands ownership. As with any CMAQ project, sponsors need to demonstrate an emissions reduction from the carsharing program. If a programwide emissions reduction cannot be demonstrated, CMAQ funding may be available to support vehicle costs under Alternative Fuels and Vehicles eligibility, discussed in Section VII.F.17.

## 13. Extreme Low-Temperature Cold Start Programs

Projects intended to reduce emissions from extreme cold-start conditions are eligible for CMAQ funding. Such projects include retrofitting vehicles and fleets with water and oil heaters and installing electrical outlets and equipment in publicly owned garages or fleet storage facilities.

## 14. Training

States and MPOs may use Federal-aid funds to support training and educational development for the transportation workforce. Such activities are subject to applicable cost principles in 2 CFR Part 225. The FHWA encourages State and local officials to weigh the air quality benefits of such training against other cost-effective strategies detailed elsewhere in this guidance before using CMAQ funds for this purpose. Training funded with CMAQ dollars should be directly related to implementing air quality improvements and be approved in advance by the FHWA Division office.

## 15. Inspection/Maintenance (I&M) Programs

Funds under the CMAQ program may be used to establish either publicly or privately owned I&M facilities. Eligible activities include construction of facilities, purchase of equipment, I&M program development, and one-time start-up activities, such as updating quality assurance software or developing a mechanic training curriculum. The I&M program must constitute new or additional efforts, existing funding (including inspection fees) should not be displaced, and operating expenses are eligible for five years as discussed in Section VII.A.2.

States or other sponsors planning new or expanded I&M programs that incorporate other elements of a State's vehicle administrative function, e.g. registration, safety inspection, titling, etc., must remove these line items from the CMAQ project. These tasks are not linked to the CMAQ purpose and are, therefore, not allowable costs.

### *Privately Owned I&M Facilities*

In States that rely on privately owned I&M facilities, State or local I&M program-related administrative costs may be funded under the CMAQ program as in States that use public I&M facilities. However, CMAQ support to establish I&M facilities at privately owned stations, such as service stations that own the equipment and conduct emission test-and-repair services, requires a PPP.

The establishment of "portable" I&M programs, including remote sensing, is also eligible under the CMAQ program, provided that they are public services, reduce emissions, and do not conflict with statutory I&M requirements or EPA regulations.

## 16. Innovative Projects

State and local organizations have worked with various types of transportation services to better meet the travel needs of their constituents. These innovative projects also may show promise in reducing emissions, but do not yet have supporting data. The FHWA has supported and funded some of these projects as demonstrations to determine their benefits and costs. Such innovative strategies are not intended to bypass the definition of basic project eligibility, but seek to better define the projects' future role in strategies to reduce emissions.

For a project or program to qualify as an innovative project, it should be defined as a transportation project and be expected to reduce emissions by decreasing VMT, fuel consumption, congestion, or by other factors. The FHWA encourages States and MPOs to creatively address their air quality problems and to consider new services, innovative financing arrangements, PPPs, and complementary approaches that use transportation strategies to reach clean air goals.

Given the untried nature of these innovative projects, before-and-after studies should be completed to determine actual project impacts on air quality as measured by net emissions reduced. These assessments should document the project's immediate impacts in addition to long-term benefits. A schedule for completing the study should be a part of the project agreement. Completed studies should be submitted to the FHWA Division office within 3 years of implementation of the project or 1 year after the project's completion, whichever is sooner.

## 17. Alternative Fuels and Vehicles

The FHWA issued a memorandum in April 2011, covering the relationship between the required emissions reduction benefits of alternative fuel vehicles and the associated cost principles at 2 CFR Part 225. Essentially, this guidance illustrates the cost-benefit relationship between different vehicle types and functions and the air quality benefit provided as a cost basis under the CMAQ program. The memorandum, outlining the requirements in 23 U.S.C. 149, supports eligibility only for the incremental cost, limited to the marginal emissions-reducing elements of the alternative fuel vehicles that are acquired through PPPs or that are purchased by public sponsors.

Program funds may be used to support projects involving the alternative or renewable fuels defined in the Energy Policy Act of 1992 or the Energy Independence and Security Act of 2007. All standard eligibility criteria apply. Aside from fuel acquisitions that are part of a transit operating support effort, stand-alone purchase of any fuel-alternative or otherwise-is not an eligible CMAQ cost. However, the few exceptions provided by Section 1808(k) of SAFETEA-LU continue under MAP-21, subject to the limitation on operating assistance as described in Section VII.A.2.

Generally, CMAQ support for alternative fuel vehicle projects can be broken into the following areas:

### *Infrastructure*

Except as noted below, establishing publicly owned fueling facilities and other infrastructure needed to fuel alternative-fuel vehicles is an eligible expense, unless privately-owned fueling stations are in place and reasonably accessible. Fueling facilities can dispense one or more of the alternative fuels identified in section 301 of the 1992 Energy Policy Act or biodiesel, or provide recharging for electric vehicles. Additionally, CMAQ funds may support converting a private fueling facility to support alternative fuels through a public-private partnership agreement. In accordance with 23 U.S.C. 149(c)(2), and 23 U.S.C. 111, regarding the prohibition of commercial activities in the Interstate ROW, CMAQ-funds may be used to establish or support refueling facilities within the Interstate ROW, providing these services are offered at no charge.

### *Non-transit Vehicles*

The CMAQ funds may be used to purchase publicly-owned alternative fuel vehicles, including passenger vehicles, service trucks, street cleaners, and others. However, only publicly owned vehicles providing a dominant transportation function can be fully funded, such as paratransit vans, incident management support vehicles, refuse haulers, and others. Costs associated with converting fleets to run on alternative fuels are also eligible. When non-transit vehicles are purchased through PPPs, only the cost difference between the alternative fuel vehicles and comparable conventional fuel vehicles is eligible. Such vehicles should be fueled by one of the alternative fuels identified in section 301 of the 1992 Energy Policy Act or biodiesel.

Eligible projects also include alternatives to diesel engines and vehicles. Alternative fuel vehicle projects that are implemented as diesel retrofits and involve the replacement of an operable engine-not standard fleet turnover-would be eligible for full Federal participation, i.e. an 80 percent Federal share of the full vehicle cost.

### *Hybrid Vehicles*

Although not defined by the Energy Policy Act of 1992 as alternative fuel vehicles, certain hybrid vehicles that have lower emissions rates than their non-hybrid counterparts may be eligible for CMAQ investment. Hybrid vehicle models that are in part the focus of State legislation addressing HOV exemptions for alternative fuel and low emissions vehicles are considered eligible for CMAQ support. Other hybrid vehicles will be assessed on a case specific basis, as there is no specific EPA regulation available to rate the lower emissions and energy efficiency advantages of the models involved.

Projects involving heavier vehicles, including refuse haulers and delivery trucks, also may be appropriate for program support. Eligibility should be based on a comparison of the emissions projections of these larger candidate vehicles and other comparable models.

Owner Agency	Structure Number	Roadway Carried	Facility Under	Deficiency Classification*	Sufficiency Rating**	Bridge Condition***
Maricopa Co	08021	Old US 80	Gila River		43.3	Fair
Scottsdale	09647	64th St Driveway	Drain Channel		46.8	Fair
Scottsdale	09648	64th St Driveway	Drain Channel		46.8	Fair
Maricopa Co	09375	Broadway Rd EB	Tempe Canal		54.0	Fair
Maricopa Co	09384	Broadway Rd WB	Tempe Canal		54.0	Fair
Glendale	09500	Cactus Road	Arizona Canal		57.3	Fair
Scottsdale	08794	Doubletree Road EB	Doubletree Golf Course		58.1	Fair
Scottsdale	10482	McDowell Rd	Indian Bend Wash		60.9	Fair
Scottsdale	10078	105th Street	Wash		61.0	Good
Scottsdale	09364	Thomas Rd & 64 St	Ariz Crosscut Canal		63.1	Fair
Scottsdale	07776	Goldwater Blvd	No-Name Street		63.7	Fair
Scottsdale	09358	McDowell Road EB	Indian Bend Wash		63.8	Fair
Scottsdale	09582	Camelback Road	Indian Bend Wash		63.8	Fair
Scottsdale	10472	Doubletree Road WB	Doubletree Golf Course		63.8	Fair
Maricopa Co	07696	Sun Valley Pkwy-78	Wash		63.9	Good
Maricopa Co	07699	Sun Valley Pkwy-81	Wash		63.9	Good
Glendale	09141	Glendale Avenue	New River		64.2	Fair
Scottsdale	10811	Mountain View Road	Wash & Golf Path		64.5	Fair
Peoria	10966	Lone Mt Pkwy	Drainage Basin		65.0	Good
Maricopa Co	08570	RH Johnson Blvd	Drainage Ditch		65.1	Fair
Scottsdale	10812	Mountain View Road	Wash & Golf Path		65.2	Good
Mesa	07940	Main St -Old 60	Eastern Canal		65.3	Good
Gilbert	09450	Val Vista Drive	Eastern Canal		67.0	Fair
Tempe	09954	Mill Avenue SB	Salt River, Lakeview Dr		67.3	Fair
Tempe	07874	Priest Drive	Salt River		67.8	Fair
Tempe	07875	Priest Drive	Salt River		68.0	Fair
Maricopa Co	07645	Sun Valley Pkwy-01	Wash		68.6	Fair
Maricopa Co	07646	Sun Valley Pkwy-02	Wash		68.6	Fair
Maricopa Co	07705	Sun Valley Pkwy-88	Wash		68.6	Fair
Maricopa Co	07692	Sun Valley Pkwy-72	Wash		68.8	Good
Maricopa Co	10458	Happy Valley Pkwy	Wash		69.0	Good
Scottsdale	10468	Mckellips Road	Indian Bend Wash		69.4	Fair
Maricopa Co	07687	Sun Valley Pkwy-65	Wash		69.8	Fair
Maricopa Co	07688	Sun Valley Pkwy-66	Wash		69.8	Good
Maricopa Co	07689	Sun Valley Pkwy-68	Wash		69.8	Fair
Maricopa Co	07690	Sun Valley Pkwy-69	Wash		69.8	Good
Maricopa Co	07691	Sun Valley Pkwy-70	Wash		69.8	Fair
Maricopa Co	07693	Sun Valley Pkwy-74	Wash		69.8	Good
Maricopa Co	07694	Sun Valley Pkwy-75	Wash		69.8	Good
Maricopa Co	07695	Sun Valley Pkwy-76	Wash		69.8	Good
Maricopa Co	07697	Sun Valley Pkwy-79	Wash		69.8	Fair
Maricopa Co	07698	Sun Valley Pkwy-80	Wash		69.8	Good
Maricopa Co	07700	Sun Valley Pkwy-82	Wash		69.8	Good

Owner Agency	Structure Number	Roadway Carried	Facility Under	Deficiency Classification*	Sufficiency Rating**	Bridge Condition***
Maricopa Co	07701	Sun Valley Pkwy-83	Wash		69.8	Good
Maricopa Co	07702	Sun Valley Pkwy-84	Wash		69.8	Good
Maricopa Co	07703	Sun Valley Pkwy-85	Wash		69.8	Good
Maricopa Co	07704	Sun Valley Pkwy-87	Wash		69.8	Fair
Mesa	09390	Southern Ave	Tempe Canal		69.9	Fair
Fountain Hills	09682	Shea Blvd	Cereus Wash		70.0	Good
Goodyear	07586	Estrella Parkway	Wash		70.0	Good
Maricopa Co	10457	Happy Valley Pkwy	Wash		70.0	Good
Scottsdale	09658	Shea Blvd	Wash		70.0	Good
Scottsdale	09835	Shea Blvd	Wash		70.0	Good
Scottsdale	11213	Indian Bend Rd	Indian Bend Wash		70.0	Good
Peoria	10459	Happy Valley Rd	Wash		70.1	Good
Mesa	08861	Signal Butte Road	CAP Canal		70.8	Good
Gilbert	08033	Warner Road	Eastern Canal		71.1	Fair
Maricopa Co	09859	Camelback Rd	Agua Fria River		71.9	Fair
Scottsdale	09580	Scottsdale Rd	CAP Canal		72.1	Good
Glendale	09793	Thunderbird Road	Arizona Canal		72.7	Fair
Scottsdale	11220	117th Way	Wash	S	72.7	Poor
Scottsdale	07506	Shea Blvd	Drain Channel		72.8	Good
Scottsdale	09653	McCormick Parkway	Golf Cart Path		72.8	Fair
Scottsdale	10481	McDonald Drive	Indian Bend Wash		73.1	Good
Peoria	09125	Bell Road	New River		73.2	Fair
Goodyear	09432	Rainbow Valley Rd	Waterman Wash		73.5	Fair
Mesa	09158	University Drive	Eastern Canal		73.6	Fair
Mesa	07939	Main St-Old US 60	Consolidated Canal		73.8	Fair
Scottsdale	10077	Miller Road	Wash		74.0	Fair
Paradise Valley	09587	McDonald Drive	Cuida City Wash		74.1	Good
Glendale	09501	Camelback Road	Grand Canal		75.3	Good
Maricopa Co	10405	Anthem Way	Wash		75.3	Fair
Scottsdale	11227	Cactus Rd	Channel		75.3	Good
Glendale	09794	59th Avenue	Arizona Canal		75.4	Fair
Surprise	07553	Deer Valley Rd	Wash		75.4	Fair
Surprise	07855	Deer Valley Road	Wash		75.4	Fair
Maricopa Co	07657	Sun Valley Pkwy-16	Wash		75.7	Fair
Peoria	10703	Happy Valley Road	New River		75.8	Good
Scottsdale	09356	McDonald Drive	Indian Bend Wash		75.8	Fair
Peoria	10704	Happy Valley Road	New River		75.9	Good
Scottsdale	10359	Thomas Rd.	Indian Bend Wash Br WB		76.2	Fair
Scottsdale	08873	Pinnacle Pk Rd	Drainage Way		76.3	Good
Scottsdale	08759	Pima Road	Okie Laura Wash		76.5	Fair
Peoria	09427	Peoria Ave	New River		76.7	Fair
Scottsdale	09357	McKellips Road EB	Indian Bend Wash		77.4	Fair
Tempe	08664	Lakeshore Drive	The Lakes		77.6	Fair

Owner Agency	Structure Number	Roadway Carried	Facility Under	Deficiency Classification*	Sufficiency Rating**	Bridge Condition***
Glendale	09124	Bell Road	Skunk Creek		77.7	Fair
Avondale	09896	McDowell Road	Agua Fria River		77.8	Fair
Goodyear	10567	McDowell Rd	Wash		77.8	Good
Scottsdale	07525	Scottsdale Rd	Drain Channel		77.9	Fair
Surprise	09691	Bell Road	Agua Fria River		78.0	Fair
Maricopa Co	11496	Bush Hwy	Wash		78.4	Good
Mesa	11469	Williams Fld Rd EB	RWCD Canal		78.4	Good
Scottsdale	09639	Indian School Rd	Indian Bend Wash		78.4	Fair
Scottsdale	10210	Thompson Peak Pkwy	Wash & Golf Path		78.4	Good
Scottsdale	10211	Thompson Peak Pkwy	Wash & Golf Path		78.4	Good
Scottsdale	10373	Indian School Rd	Indian Bend Wash		78.4	Fair
Maricopa Co	07648	Sun Valley Pkwy-04	Wash		78.5	Good
Maricopa Co	07780	Gilbert Rd-FAS 229	Salt River		78.5	Fair
Scottsdale	09655	Via De Venture	Drainage Waterway		78.6	Good
Scottsdale	09353	IRR Pima Road	Arizona Canal		78.7	Fair
Peoria	10438	Vistancia Blvd	Wash		78.8	Fair
Scottsdale	09361	Camelback Road	Arizona Canal		78.8	Good
Scottsdale	09654	Via De Venture	Camelback Walk Drainage		78.9	Fair
Surprise	09735	Bell Rd	Drainage Ditch		78.9	Fair
Maricopa Co	10627	Daisy Mtn Drive	Wash		79.1	Good
Maricopa Co	10628	Daisy Mtn Drive	Wash		79.1	Good
Maricopa Co	10229	Citrus Road	Wash		79.3	Fair
Scottsdale	09360	Scottsdale Rd	Arizona Canal		79.3	Fair
Maricopa Co	07681	Sun Valley Pkwy-56	Wash		79.4	Good
Maricopa Co	07682	Sun Valley Pkwy-57	Wash		79.4	Good
Scottsdale	11219	110th Way	Wash		79.4	Good
Goodyear	11479	Camelback Rd	Bullard Wash		79.5	Good
Scottsdale	07520	Via Linda Road	CAP Canal		79.5	Fair
Scottsdale	09578	Thomas Road	Indian Bend Wash		79.5	Fair
Mesa	07558	Sossaman Road	Sossaman Drain		79.6	Good
Scottsdale	11247	Bell Rd	Wash		79.7	Good
Tempe	07872	Priest Drive	Grand Canal & SPRR		79.8	Good
Maricopa Co	07659	Sun Valley Pkwy-18	Wash		79.9	Fair
Glendale	10604	Beardsley	Multiuse Path		80.0	Good
Glendale	10832	95th Ave	Bethany Home Outfall Channel		80.0	Good
Maricopa Co	09289	91st Ave	RID Canal		80.0	Fair
Surprise	09127	Bell Road	Truck Overpass		80.0	Fair

\* Deficiency Classification: S = Structurally Deficient

\*\* Sufficiency Ratings are calculated by BrM based on bridge inspection data maintained by ADOT Bridge Management

\*\*\* Bridge Condition: Good N58, 59, 60 or 62 = 7, 8 or 9; Fair N58, 59, 60 or 62 = 5 or 6; Poor N58, 59, 60 or 62 <=4

\*\*\*\*City of Phoenix Bridge Tables will have to be obtained by contacting the City of Phoenix Transportation Department Bridge Group

Owner Agency	Structure Number	Roadway Carried	Facility Under	Deficiency Classification*	Sufficiency Rating**	Bridge Condition***
Coolidge	08436	Selma Highway	Casa Grande Canal Ext	S	19.8	Poor
Pinal Co	08440	El Camino Viejo	Queen Creek		39.1	Fair
Florence	08215	Butte Ave	Florence-Casa Gr Canal		39.4	Fair
Pinal Co	08618	Queen Creek Drive	Queen Creek		61.2	Fair
Pinal Co	08439	El Camino Viejo	Sand Tanks Wash		65.0	Fair
Pinal Co	10588	Gantzel Rd	Queen Creek		70.0	Good
Pinal Co	11383	Hunt Hwy	Wash		70.0	Good
Maricopa City	09055	Anderson Rd	Santa Cruz River		70.1	Fair
Pinal Co	10124	Aravaipa Road	Aravaipa Creek		71.0	Good
Eloy	08141	Toltec Buttes Rd	Florence-CasaGrande Canl		71.9	Fair
Pinal Co	11403	Hunt Hwy	Wash		72.2	Good
Coolidge	09061	Kenilworth Road	Florence-Casa Grande Cnl		76.0	Good
Apache Jct	07905	Old W Hwy - EB	Weekes Wash		76.4	Fair
Superior	08479	Magma Ave	Queen Creek		76.7	Fair
Maricopa City	10945	Honeycutt Rd	Santa Rosa Wash		78.2	Good
Pinal Co	11412	Gary Rd	Wash		78.7	Fair
Pinal Co	11448	S Mountainbrooke D	Wash		80.0	Good

\* Deficiency Classification: S = Structurally Deficient

\*\* Sufficiency Ratings are calculated by BrM based on bridge inspection data maintained by ADOT Bridge Management

\*\*\* Bridge Condition: Good N58, 59, 60 or 62 = 7, 8 or 9; Fair N58, 59, 60 or 62 = 5 or 6; Poor N58, 59, 60 or 62 <=4

# MAG FEDERAL FUND PROGRAMMING GUIDELINES & PROCEDURES

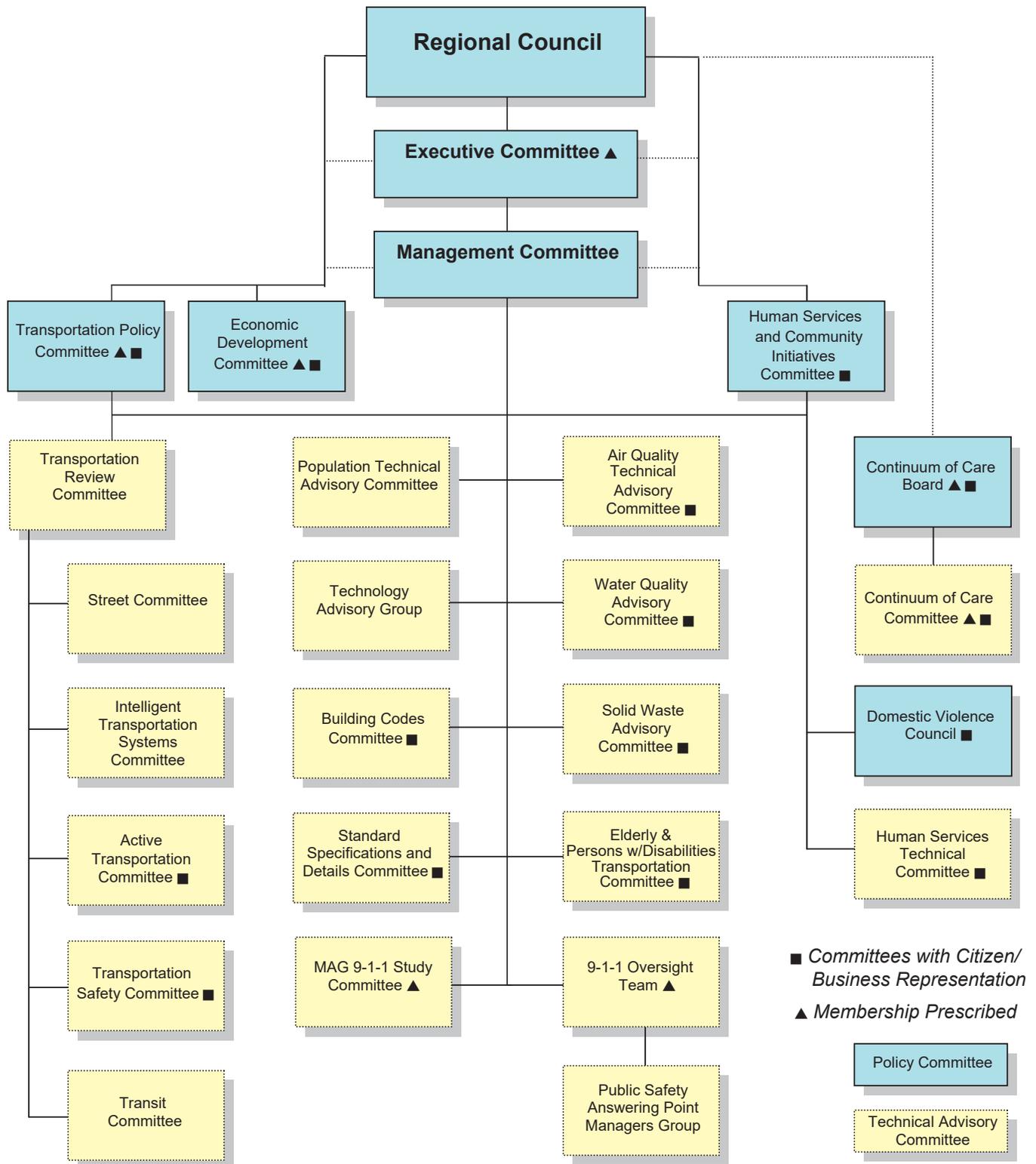
## *Competitive Project Selection Process for MAG CMAQ Federal Funds*

Approved June 24, 2015

### 100. Guiding Principles

1. The MAG Federal Fund Programming Principles for the Region shall comply with federal laws. The Principles will be reviewed and updated for compliance as new state, and federal laws are adopted.
2. The MAG Federal Fund Programming Principles will incorporate policy direction, as appropriate from Regional Council approved MAG Transportation Plans. Adopted policy direction is included in the Appendix.
3. The MAG Federal Fund Programming Principles and changes to the Principles will be approved through the MAG Committee Process including the Transportation Review Committee, the Management Committee, the Transportation Policy Committee, and the Regional Council. Please see **Figure A** for the MAG Committee Structure chart.
4. Except where excluded, the MAG Federal Fund Programming Principles are applicable regardless of project sponsor to all projects programmed with Federal funds that are accounted for in the MAG Sub Allocated Ledger maintained by Arizona Department of Transportation (ADOT). These projects compose the MAG Federal Fund Program. As of May 2015, these include Congestion Mitigation and Air Quality Improvement Program (CMAQ, CMAQ-2.5), Pinal County Surface Transportation Program (STP-MAG), sub allocated Highway Safety Improvement Program (HSIP-MAG), and the Transportation Alternatives Program (TAP-MAG).
5. The following are excluded from the MAG Federal Fund Program and are not covered by the MAG Federal Fund Programming Principles:
  - Transit projects funded with flex funding – Congestion Mitigation Air Quality (CMAQ) and Surface Transportation Program (STP) funding
  - Freeway Grant Anticipation Note payments funded with urbanized area sub allocated STP-MAG
  - Arterial Life-Cycle Program projects funded with urbanized area sub allocated STP-MAG, CMAQ or other federal funding
  - Projects funded through the MAG Unified Planning Work Program
6. When first selected through the competitive programming process, all project work phases to receive federal funding in the MAG Federal Fund Program will be programmed at the maximum Federal share of the total project cost eligible for federal reimbursement.

Figure A: MAG Committee Structure



7. It is MAG policy to obligate CMAQ and sub allocated urbanized area STP at the same rate to avoid building fund balances that may be subjected to Congressional rescissions.
8. To avoid the loss of Federal Obligation Authority—the legal authority to commit federal funding for the reimbursement of eligible costs - and thereby the ability to fully use or loan Federal funding and minimize funding losses from Congressional rescissions, it is MAG policy to fully use the total amount of annual Obligation Authority allocated to MAG prior to its expiration or State mandated date.
9. To avoid the waste and/or loss of federal funding, MAG encourages the Federal Highway Administration and ADOT to authorize projects or project phases at the maximum federal share up to the programmed amount and to allow the transfer of unused authorized federal funding between project phases (e.g. transfer unused federal funding from a design phase to construction phase). Changes to work phases should include TIP change(s).
10. The MAG Federal Fund Status Report will closely monitor the development of projects in the MAG Federal Fund Program to ensure that Obligation Authority is used, and to guide decisions on project obligation, de-obligation, deletion, deferment and advancement within the program.
11. Through the MAG Federal Fund Status Report, sponsors of projects (including ADOT) in the MAG Federal Fund Program are required to report twice a year on the project scope, budget and schedule of projects.
12. *The Transportation Programming Guidebook (Guidebook)* will be published annually, prior to the start of the application process. The Guidebook will describe and provide the programming schedule and deadlines for the MAG Federal Fund Program, application forms, federal fund estimates, programming process information per modal type, and contact information.
13. In accordance with the Clean Air Act, projects that are committed measures in the MAG air quality plans are legally binding for implementation. Examples include: Paving Unpaved Road Projects, PM-10 Certified Street Sweepers, and Paving Unpaved Road Shoulders. In addition, these types of projects are essential for demonstrating air quality conformity for the Transportation Improvement Program (TIP) and Regional Transportation Plan (RTP).
14. If a project does not use the full amount of its programmed and obligated federal funds, the remaining balance of unused federal funds, will be returned to the region to be reprogrammed.
15. Safety will be explicitly considered when selecting and programming projects with MAG Federal funds.

## 200. Project Sponsor Responsibilities

The term “project sponsor” refers to the agency responsible for developing a project for Federal funding as identified in the Transportation Improvement Program (TIP) listing of the project or if the project is not listed in the TIP, agency identified in the project application for federal funding through MAG.

The project sponsor is responsible for the following:

1. All project costs not covered by federal funding as identified in the TIP, including the local match, review fees, cost increases and any work phases necessary to complete the project that are not identified in the TIP or are not listed as having federal funding.
2. Developing the project application and providing the applicable MAG review committees with accurate and timely information on the project and where requested by MAG, updating the project application to reflect changes to the TIP.
3. Initiating contact with ADOT to start the development process, exercising project oversight, participating in project meeting and reviews and where applicable, exercising full responsibility for completing the development process including preliminary engineering, acquisition of rights-of-way, construction or any other activity necessary to complete the project under applicable State and Federal law.
4. Providing reports and letters to MAG as detailed in Section 300, 500 and 600.
5. Requesting TIP changes.

## 300. Progress Reporting

### 300.1. Scope and Purpose

1. **Scope.** A Commitment Letter and Status Report is required for each MAG Federal Fund Program project work phase (e.g. design, right-of-way, construction, procurement, etc.) identified in the TIP that is federally funded and is programmed for work twenty-four months from the State Mandated Deadline.
2. **Purpose.** The Commitment Letter and Status Report is intended to meet the following needs:
  - a. Verification that the sponsoring agency has committed sufficient staff and other resources necessary to complete the project as programmed and that it has budgeted adequate funding to cover the local funding share of the project.
  - b. Demonstration of continuous effort by the project sponsor to complete the project as programmed. Demonstration of continuous effort is a requirement for a second or later deferral.
  - c. Verification that the project or project work phase will meet the State Mandated Deadline. This verification is necessary for the project to continue in the TIP in the year it is programmed for authorization and for the project to receive funding in the MAG Closeout.
  - d. Providing financial information necessary for MAG to implement the MAG Closeout and to re-program MAG Federal Fund Projects. The funding amounts used will be based on information provided by the Status Report and the Transportation Improvement Program.

### *300.2. State Mandated Deadline*

The critical deadline for the project development process is **June 1st of the year the project work phase is programmed** in the TIP as the State has mandated that all paperwork necessary to obtain federal authorization to proceed with work that is reimbursable with federal funding must be completed by that date. Failure to meet this deadline without an extension granted by ADOT, will result in loss of funding for the project and for the Region.

### *300.3. Notice Letter*

Six months prior to the date the Commitment Letter and the first Status Report is due to MAG, MAG will provide the project sponsor with a notice containing the following information:

1. The date the Commitment Letter and Status Report is due (See Section 300.2)
2. A listing of Commitment Letter requirements, and
3. The date that the project must complete the design and review process – the State Mandated Deadline.
4. A spreadsheet template or form necessary to complete a Status Report (See Section 300.4) for each federally funded work phase in the project.

### *300.4. Commitment Letter*

Project sponsors are required to provide MAG with a letter and documentation of financial commitment twenty-four months prior to the State Mandated Deadline.

1. **Commitment Letter requirements.** The Commitment Letter is required to include all of the following:
  - a. The letter is to appear on the sponsoring agency's letter head.
  - b. The letter is to be signed by the sponsoring agency representative on the MAG Management Committee or a designated representative as identified in Item 2 of this section. If the agency does not have a representative on the Management Committee, the letter is to be signed by the highest ranking responsible nonelected official from the agency or his designated representative as defined in Item 2 of this section.
  - c. The letter is to include the TIP number of the project work phase, location and work description as listed in the TIP.
  - d. The letter is to affirm that the sponsoring agency:
    - i. is aware of the State Mandated Deadline, and
    - ii. has allocated sufficient staff resources to comply with the State Mandated Deadline.
  - e. Includes a copy of an approved local Capital Improvement Program (CIP)/budget document that identifies the project and budgets agency funds to complete the project.
2. **Designation of alternative signee.** The sponsoring agency representative on the Management Committee may designate an alternative signee for the Commitment Letter by providing MAG a letter on the Agency's letterhead identifying the alternative signee of the Commitment Letter. The designated signee must have control over budget and staff. The designation letter will be in force

as long as the sponsoring agency representative is a member of the MAG Management Committee or until a new designation alternative signee letter is received.

3. **Inclusion of multiple projects in a single letter.** Project sponsors may include multiple projects in a single letter provided that the requirements as identified in Item 1 are met for each project.
4. **Inclusion of multiple work phases in a single letter.** Project sponsors may include multiple work phases (e.g. design, right-of-way, construction) for a project in a single letter provided that the work phases are contiguous and the requirements as identified in Item 1 are met for each work phase.
5. **Reprogramming.** If a Commitment Letter has been received and the project is deferred, advanced, split into multiple work phases, or combined into one or more work phases in the TIP, MAG may require the project sponsor to resubmit an updated Commitment Letter.
6. **Advancing and adding new projects in the commitment period.** Agencies that are sponsoring a MAG Federal Fund project that is added or advanced within the twenty-four month period prior to the State Mandated Deadline may be required by MAG as appropriate, to submit or resubmit an updated Commitment Letter
7. **Failure to provide or update a Commitment Letter.** If a Commitment Letter is not received by the due date or an updated letter is not provided when requested by MAG, MAG is authorized to delete the project from the TIP.

### *300.5. Status Report*

To provide MAG with information necessary to manage the MAG Closeout Process, to revise the programming of MAG Federal Fund Program projects and to aid in full filling various federal reporting requirements, a Status Report is required periodically until projects are completed.

1. **Reporting schedule.** Beginning with the date in the MAG Notice, Status Reports will be provided every six months until the project work phase is authorized or the project work phase is deleted from the TIP.
2. **Report contents.** The Status Report will be designed by MAG to include, at a minimum, a schedule for tracking key milestones in the ADOT administered design review and clearance process.
3. **Reprogramming applications.** A project sponsor is required to provide a Status Report prior to the approval of the addition, advancement or deferral of a project or project work phase out of the twenty-four month period prior to the State Mandated Deadline.
4. **Failure to provide or update a Status Report.** If a completed Status Report is not received by the due date, MAG is authorized to delete the project from the TIP.

### 300.6. Annual Listing of Obligated Projects

1. **Purpose.** This section is intended to comply with Federal regulations for reporting on federally funded projects that authorized in the prior program year. These regulations were put into place in 2007 and require that an annual listing of federally funded projects that either authorized in the prior program year or for which authorizations were revised in the prior program year be produced by a Metropolitan Planning Organization (e.g. MAG) within 90 days after the end of the program year and in accordance with the MPO's public involvement process.
2. **Report Scope.** The Annual Listing of Obligated projects will apply to all MAG Federal Fund projects.
3. **Report schedule.** In October of each year, MAG will distribute a listing of projects to sponsoring agencies to review and update. The sponsoring agencies will provide appropriate updates and corrections, as needed, within two weeks of the distribution of the report. The report will be released to the public in November.
4. **Report Update and content.** The project sponsors will update the listing to provide the following information for each project:
  - a. Project Federal identification number
  - b. TRACS number
  - c. TIP identification number
  - d. TIP location description
  - e. TIP work description
  - f. The type of federal funding (e.g. CMAQ, HSIP, etc.) authorized
  - g. The amount of federal funding authorized
  - h. The amount of federal funding remaining for the project

## 400. Regional Project Selection

### 400.1. Transportation Programming Guidebook

1. **Transportation Programming Guidebook.** Each year MAG will make available on its website, a Guidebook to help member agencies apply for Federal funding. For each call for projects the Guidebook will include:
  - a. *Schedule.* Identify the date applications are to be released for member agency use and the deadline that applications are due to MAG.
  - b. *Funding.* Identify the anticipated amount and type of federal funding available.
  - c. *Scope.* Detail the scope (e.g. eligibility requirements, etc.) of the planned call for projects.
  - d. *Review and ranking process.* Detail what technical committee(s) will review and rank projects. In some cases an ad hoc committee may be formed for some calls for projects and in some cases the review and ranking of projects may be split between technical committees (e.g. paving projects are split between the Street Committee and AQTAC).

2. **Addenda.** If during the year substantial new or revised information on calls for projects becomes available. Addendums to the Guidebook will be made available on the MAG website and notice of changes will be transmitted to all MAG member agencies.

#### 400.2. Release and Submission of Applications

1. **Notice of availability.** When applications are released, MAG will notify all member agencies of the release of applications, the location of the applications on the MAG website and the deadline for application submission. At a minimum this notice will be sent to all MAG Intergovernmental coordinators, members of the MAG Management Committee and members of modal technical committees that will review the applications.
2. **Application availability.** When notice is conveyed to MAG member agencies, applications will be made available on the MAG website for MAG member agencies to complete and transmit back to MAG.
3. **Pre-application workshops.** One or more pre-application workshop/meeting will be held for MAG member agencies to obtain information on available funding, applications, schedules, and due dates for the competitive project selection process for MAG Federal funds.
4. **Submission of single agency applications.** A new, complete application is required for each call for projects submittal. For each application submission the following are required:
  - a. *A new application for the call for projects.* Recycled or edited versions of old applications will not be accepted. The new form must be used.
  - b. *Completion of all required fields as identified in the application.* Each application will include a checklist of required items.
  - c. *Original signed copy required.* A printed hardcopy copy of the application signed by the Member Agency's chief executive officer (e.g. a City Manager or County Administrator or Community Manager) or his/her designee is required with each application.
  - d. *Electronic versions required.* An electronic version of the application in the format provided by MAG (e.g. Excel) on the MAG website is required to be transmitted to the designated MAG staff member who is collecting completed applications. A signature is NOT required for electronic versions of applications, however, the electronic version must match the signed hardcopy.
5. **Submission of multiagency applications.** Projects with funding from multiple participating agencies may be submitted, but must meet all of the requirements for single agency submissions plus meet the following additional requirements:
  - a. Be submitted by the agency that will be responsible for implementing and reporting on the project. (Lead Agency)
  - b. Provide contact information for each participating agency.
  - c. Document the local cost contribution of each participating agency.
  - d. Include signatures of the chief executive officer of each participating agency or their designees.

6. **Designation of regional projects.** A project may only be designated as a regional project where it is consistent with the MAG Regional Transportation Plan, it affects multiple member agencies and multiple member agencies have submitted letters on behalf of the project as being a "regional project."
7. **Submission deadline.** Either an electronic or printed copy of an application must be received by the deadline for the application. **Late applications will be rejected.**
8. **Incomplete applications.** If a submitted application is not complete, MAG will provide the member agency with a receipt identifying the area(s) where the application is not complete. The member agency then has two working days to resubmit a complete application. If a completed application is not received in two working days, the application will be rejected.
9. **Submission of Faxes or PDF files in lieu of printed copies.** MAG will accept faxed and PDF versions of signed printed documents, but requires that the printed version of the application be received in the MAG offices within five working days of the application deadline. If a completed application is not received in five working days, the application will be rejected.
10. **Application Receipts.** All MAG applications will include a checklist of required items. When an application is received from a member agency, MAG staff will review the application to confirm that all checklist items are complete and will generate a receipt. The receipt will be sent to the member agency by e-mail. If the application is incomplete, the receipt will identify the deficiencies and provide a deadline for the resubmission of the application as detailed above (see bullets 4 and 5 of this section).

#### 400.3. Technical Committee Application Review and Project Ranking

1. **Eligibility review.** Once a completed application is received, MAG will review the application to ensure that the proposed project and its components are generally eligible to receive federal funding. If it is determined that the proposed project or components of the project are not eligible for federal funding, the member agency will be notified within two weeks of the determination and MAG will work with the member agency to revise the application to address the eligibility issue. If the member agency decides to move forward with the revised application, both the original and revised application will be presented to the reviewing modal technical committee and an explanation will be provided by MAG and the member agency of the reason for the revision(s). Members of ADOT and FHWA may comment on and provide additional eligibility determination at the modal technical committee meetings. Certain types of applications may require Federal and/or State eligibility determinations after committee review, prior to being included in the TIP and STIP.
2. **Modal Technical committee information review and ranking.** All applications will be reviewed and evaluated by a MAG modal technical committee as identified in the *Transportation Programming Guidebook*. This review and technical analysis will be completed in one or two meetings as appropriate.
  - a. *First meeting—information review.* At the first meeting, the modal technical committee will review the application information provided by the sponsoring agency for its reasonableness and accuracy. At the meeting:

- i. **Presentation and Q&A Session.** An opportunity will be provided for each application to be presented, for committee members to ask questions, and for the sponsoring agency to respond to questions. Presentations will provide information needed for the five determinations listed below, have a length of no more than ten minutes and be followed by a ten minute question and answer session with the committee.
- ii. **Committee determinations.** For each application, the committee will determine the following:
  1. **Project definitional adequacy.** The committee will determine that the project is defined in sufficient detail to allow technical review.
  2. **Project feasibility.** The committee will determine that the project is free from fatal flaws (e.g. major utilities and drainage issues) that would prevent it from being implemented.
  3. **Schedule adequacy.** The committee will determine that the schedule laid out for the project, including locally funded work phases is reasonable and adequate for the year the project is requested to be authorized.
  4. **Cost estimate adequacy.** The committee will determine that cost estimates for the project are reasonable, accurate and account for all work phases (e.g. preliminary engineering, right-of-way, construction, etc.) and fees (e.g. ADOT review fees) necessary to complete the project.
  5. **Performance data adequacy.** The committee will determine that performance data (e.g. ADT, miles of sweeping) or surrogate measures used to determine performance (e.g. number of trip generators along a bicycle route) is reasonable and well documented.
- iii. **Revisions.** If there are outstanding questions concerning the project, MAG may require the sponsoring agency to revise its application to address the questions. If an updated application is required, the sponsoring agency has one week to provide an updated application. The revisions will be presented at the second meeting of the Committee.
- b. **Second meeting—project ranking.** At the second meeting the committee will review and address outstanding issues from the previous meeting and recommend a ranked listing of projects for review by the Transportation Review Committee. This ranked list will include all projects presented to the Committee along with the committee’s determinations and the results of required analyses as identified below. If there are no outstanding issues from the information review, this meeting may be combined with the first meeting.

Street Sweeper Projects will be forwarded to the TRC for information only.

3. **Required analysis for committee review and ranking.** In reviewing and ranking projects, review committees will do the following:
  - a. **Air Quality Cost Effectiveness Analysis.** If Congestion Mitigation Air Quality (CMAQ) funding is sought, air quality effectiveness analysis is required. Technical review committees will review the reasonableness and accuracy of data provided for the calculation of air quality cost effectiveness scores; the Air Quality Technical Advisory Committee will review cost effectiveness scores; and committees will be presented with these scores prior to the ranking of projects.
  - b. **Congestion Management Process (CMP).** All projects types (e.g. bicycle-pedestrian, ITS, etc.) that

are covered by the CMP will be analyzed by technical committees. This analysis will include a review of the reasonableness and data used for CMP and development, and consideration of CMP scoring in the ranking of projects.

- c. *Safety.* The safety benefits and impacts of proposed projects will be considered by modal technical committees – Street, Bicycle-Pedestrian, ITS, Safety– based on the MAG Regional safety mission and goals, and evaluated on criteria and processes developed by the modal technical committees. The review will apply to the specific mode and specific federal funding source(s) funding the selected project. The criteria and evaluation process will be detailed in the application or made available with the applications.
- d. *Limitations on the scope of modal technical committee review and ranking.* The scope of technical review committees is limited to a review of the information provided and the development of a recommended ordering of projects. Technical review committees may not:
  - i. Change the project scope,
  - ii. Change the project schedule,
  - iii. Change the project budget or amount of requested federal funds.

#### **400.4. Transportation Review Committee and Policy Committee Project Selection**

1. **Transportation Review Committee (TRC).** Unless specifically identified in the Transportation Programming Guidebook, project recommendations from all technical committees will be transmitted to the Transportation Review Committee for initial project selection. The results of the Committee's action will be transmitted to the MAG Management Committee as a recommendation for action.
2. **Management Committee.** The Management Committee as appropriate will take action on the TRC recommendation and transmit their action to the Regional Council for action.
3. **Regional Council.** As appropriate the Regional Council will take action on the Management Committee recommendation. Actions by the Regional Council are final. Limitations may only occur if a project or portions of a project is deemed ineligible by Federal Highway Administration or their designee.
4. **Sponsoring agency acceptance of changes.** If changes are made during the selection process to the scope, schedule, budget, or federal funding requested, the sponsoring agency will be requested to resubmit a revised application that reflects the changes, including applicable agency manager(s) signature(s). If a revised application is not received prior to date of the next scheduled committee action or within two weeks after Regional Council action on the project, the project will be considered to have been withdrawn by the project sponsor and will not be included in the TIP.
5. **Air Quality Effectiveness Scores.** If a project is to be funded with CMAQ, a cost effectiveness score will be developed for the project based on the latest application data and presented to the modal or technical committees prior to project selection.

## 500. Program Management

### 500.1. Rationale and Basic Characteristics

MAG exercises overall oversight of the program to insure that adequate federal funding is available to member agency projects that are selected in Section 400 and to avoid the loss of federal funding that could be used by member agencies. To accomplish this it is important to recognize that member agencies need to retain control of the development of projects and as a result, policies designed to manage the program focus on encouraging member agencies to make decisions that preserve federal funding for both their own and other agencies uses.

### 500.2. Project Progression Requirements

Typically MAG programs projects three to four years in advance of the year they are to authorize. As projects proceed to their authorization year, their project sponsors must establish the readiness of the project to authorize as follows:

1. **Commitment letters.** Twenty-four months prior to the State Mandated Deadline for authorization, member agencies must submit a Commitment Letter for the project (Please see Section 300 for Commitment Letter requirements).
2. **Project reporting.** Beginning at least twenty-four months prior to the State Mandated Deadline for authorizations, member agencies are to submit project status reports as detailed in Section 300 of these Guidelines.
3. **Construction and right-of-way project milestones.** Prior to entering the current federal year or being added to the current federal year, construction project must have achieved the following milestones:
  - a. *Project initiation.* The project sponsor must initiate the project with ADOT by obtaining ADOT and Federal identification numbers.
  - b. *Draft in-house 60 percent plans.* The project sponsor must have completed draft in-house 60 percent plans. These plans need not have been submitted to ADOT as of this date.
  - c. *Technical documents for environmental clearance.* The project sponsor must either have submitted technical documents necessary for a Group 2 environmental clearance or have had a determination by ADOT that the project requires only a Group 1 environmental clearance
  - d. *Right-of-way inventory.* Consistent with federal regulations, the project sponsor must complete an in-house inventory or assessment of right-of-way needs for the project.
4. **Procurement project milestones.** Prior to entering the current fiscal year, procurement projects must have achieved the following milestones:
  - a. *Project initiation.* The project sponsor must initiate the project with ADOT by obtaining ADOT and Federal identification numbers.

b. *In-house specifications and estimates.* The project sponsor must have completed in-house specifications and estimates of purchases.

5. **Studies and Pre-design project milestones.** The project sponsor must initiate the project with ADOT by obtaining ADOT and Federal identification numbers.

### 500.3. Project Assessments

Twice a year MAG will assess the readiness of projects to authorize by the State Mandated Deadline and to determine the amount of unused funding available for redistribution. To initiate each assessment MAG will provide notice to project sponsor representatives as identified 300.4 of the Guidelines for Commitment Letters. This notice will include requirements and deadlines.

The first assessment will occur in June/July and the second in December/January. Projects assessed as being able to authorize by the deadline will be added to a list called the “Ready List.” Projects programmed for the current fiscal year that are assessed as not being able to authorize by the deadline will either be deferred to a later year or be removed from the program.

The assessment of projects will be conducted in two meetings as follows:

1. **First meeting.** At the first meeting, the Transportation Review Committee (TRC) will review all projects programmed for the upcoming fiscal year plus all projects requested for advancement into the upcoming year to determine whether they have a reasonable chance to authorize by the State Mandated Deadline. Those projects that are deemed likely to authorize will be placed on a list—the Ready List—and are eligible for redistribution of unused federal funding. Projects not on the list programmed for the current fiscal year will need either to be deferred to a later year in the TIP or be removed from the TIP.
2. **Second meeting.** At the second meeting, the TRC will hear appeals from agencies with projects that are excluded from the Ready List and as appropriate update the Ready List.
3. **Review and approvals.** Following the second TRC meeting, the action of the TRC will be reviewed, revised and as appropriate approved by the MAG Management Committee and Regional Council.

### 500.4. Redistribution of Unused Funding (i.e., Closeout)

The ability to commit federal funding to reimburse eligible costs expires at the end of the federal fiscal year—September 30th—and unused federal funding balance may be subject to Congressional rescissions. To avoid the loss of federal funding, MAG will, contingent on the funding availability, redistribute federal funding to member agency projects. If excess federal funding is not available, MAG will not redistribute federal funding (i.e. hold closeout).

All projects that receive redistributed federal funding must be able to authorize in the current federal fiscal year. The steps in this redistribution process are as follows:

1. **Funding estimate.** In August of each year, MAG staff will release an estimate of funding available

for redistribution for the current federal fiscal year. Typically this estimate is calculated as the difference between the anticipated sum of federal funding from appropriations, closed out projects and project deferrals and the sum of projects anticipated to authorize. This estimate will be updated if warranted by new information.

2. **Cost estimates for redistribution.** Cost estimates to be used in the redistribution of federal funding to current year and advancing projects must meet the following criteria:
  - a. *TIP cost estimates.* Only costs as reported in the TIP or in pending TIP amendments will be used for the redistribution of federal funding. MAG members may update costs estimates for projects whenever MAG processes changes to the TIP. Member agencies are strongly encouraged to update the TIP for changes in project costs as they occur in the development process and when MAG distributes project workbooks.
  - b. *Engineering cost estimates required.* Up to date engineering cost estimates are required for all projects that are to receive redistributed federal funding. These estimates must be provided by either the sponsoring agency or ADOT project manager. The costs listed must be sufficient to use the redistributed federal funding.
3. **Advancing projects.** MAG member agencies may at any time request to advance projects to take advantage of the anticipated redistribution of federal funding. At a minimum, projects that are requested to be advanced must meet all requirements for inclusion in the current year as identified in Section 500.2. Actions to approve project advancements will occur at the same time as the decision to redistribute federal funding.
4. **Redistribution meeting.** Early in the calendar year, the Transportation Review Committee will consider priorities for the redistribution of federal funding. As a default, advancing projects will be given first priority, increased funding for currently programmed projects will have second priority and loans to projects or programs will have third priority.
5. **Review and approvals.** Following the redistribution meeting, the action of the TRC will be reviewed, revised and as appropriate approved by the MAG Management Committee and Regional Council.
6. **Notice of redistribution.** Following Regional Council approval MAG staff will provide notice to MAG member agencies that will receive redistributed funding. This notice will be distributed to project sponsor representatives as identified in 300.4 of the Guidelines for Commitment Letters.

### **500.5. Failure to Use Redistributed Funding**

Redistributed federal funding must be used in the year it is programmed. If a project receives redistributed federal funding and is deferred to a future year, the redistributed federal funding will be removed from the project. If the deferred project that lost its redistributed federal funding was advanced from a future year, it will return to the year it was advanced from and its deferment will not use up its one time opportunity to defer without justification.

## 600. TIP Amendments, Administrative Modifications and Clerical Corrections

This section addresses policies to amend and administratively modify projects in the TIP. For the purposes of this section the following actions to modify the TIP are defined as follows:

1. **TIP amendment.** A TIP amendment is any TIP change that requires Regional Council action. These include changes to the project sponsor, year programmed, the location, work description, increases in the amount of Federal or Regional funding or any action that would impact the air quality conformity analysis of the TIP or Regional Transportation Plan.
2. **Administrative modification.** An administrative modification is defined as any change to the TIP that is typically sent to the Regional Council for approval, but is not explicitly required to be approved by the Regional Council. These include decreases in Federal and Regional funds, changes to the type of federal funding on projects, changes to the amount of funding consistent with Federal matching requirements, and the splitting or combining of projects.
3. **Clerical corrections.** Clerical corrections refer to changes that do not require Regional Council action. These include corrections of spelling and grammar errors and changes to informational elements in TIP listings that do not affect the work scope, location, year programmed, identify of the agency sponsoring the project, funding amounts or project information in the TIP listing. Clerical corrections may not impact the air quality conformity analysis of the TIP or Regional Transportation Plan.

### 600.1. Federal Funds in Excess of Needs or from Abandonments

1. All federal funding programmed pursuant to these policies is the responsibility of MAG to administer. Excess federal funding left over after the project is completed or if the project is abandoned will be returned to MAG for use in the competitive selection process. The excess funding may not be transferred to another project or used to expand an existing project beyond the scope of the project identified in the TIP.

### 600.2. Project Abandonments and Failures to Authorize in Year Programmed

1. **Type of action.** Project abandonments are TIP amendments.
2. **Abandonment requests.** To abandon a project, the project sponsor is required to send MAG programming staff an e-mail or other written notice of the intention of the agency to abandon the project.
3. **Failures to authorize.** Should a project fail to authorize in the year programmed without the project sponsor requesting the of deferral of the project, the project will be considered abandoned and action to delete the project from the TIP will be initiated unless the project sponsor contacts MAG within 90 days of the end of the Federal Fiscal Year and requests its re-establishment in the TIP. If the project was advanced from a previous year in the TIP, the project will be held harmless and return to its previously programmed year minus any additional funding it received in the MAG closeout and

without loss of its one time deferral option. If the project was not advanced in closeout, it may be considered for deferral to a future year minus any additional funding it received in the MAG closeout (Please see the section on deferrals for additional information).

4. **Approval actions.** The approval of an abandonment request will begin at the Transportation Review Committee and include the Management Committee, the Transportation Policy Committee and the Regional Council.

### 600.3. Project Deferrals

1. **Type of action.** Project deferrals are TIP amendments.
2. **First time deferrals.** Agencies may defer a project one time without justification. The year to be deferred to will be determined in coordination with MAG staff and will be based on the availability of federal funding in the year to be programmed, the status of the project and the minimum time needed to complete the project. Typically this will not exceed two years.

If the project has already submitted a commitment letter and project schedule, an updated commitment letter and project schedule will be required in order to defer a project.

3. **Approval actions for first time deferrals.** The Approval of a first time deferral will begin at the Transportation Review Committee and will include the Management Committee, the Transportation Policy Committee and the Regional Council.
4. **Additional deferrals.** Additional deferrals require the successful completion of the approval process identified in Section 600.7.

### 600.4. Project Advancements

1. **Type of action.** Project advancements are TIP amendments.
2. **Advancement requests.** To request advancement of a project, the project sponsor is required to send MAG staff an e-mail or other written notice of the intention of the agency to advance the project. This request should provide sufficient information to indicate that the project can be authorized in the year requested. Approval of the request will be dependent on the availability of federal funding.

If the project has already submitted a commitment letter and project schedule or the request for advancement is within two years of its programmed year of authorization, an updated commitment letter and project schedule may be required in order to advance the project.

3. **Advancement during closeout.** Projects that are advanced in closeout are held harmless should they fail to authorize as programmed and will not lose their one time option to defer without justification.

4. **Approval Actions.** Projects that are advanced in the Closeout process will proceed through the normal approval process beginning at the Transportation Review Committee. The approval of advancement outside the closeout process is required to begin with the approval by the modal technical committee (e.g. Street, Bicycle-Pedestrian, ITS, Safety) from which the project was first programmed and then proceed through an approval process that includes the Transportation Review Committee, the Management Committee, the Transportation Policy Committee and the Regional Council.

### *600.5. Project Modifications (Other than changes to year programmed)*

1. **Type of action.** Project changes are TIP amendment, administrative modifications or clerical corrections.
2. **Permitted modifications.** The following types of changes are permitted under Section 600.5:
  - i. Segmenting or combining contiguous projects for ease of project development and implementation,
  - ii. Combining or splitting work phase. For example, dividing projects into design, right-of way and construction phases,
  - iii. Changes to the amount and type of local funding for a project consistent with federal matching requirements,
  - iv. Change in the sponsoring agency,
  - v. Minor changes to the work descriptions of projects that do not deviate from the original application. For example, removing lighting or parking from a bicycle lane construction project.
  - vi. Minor changes to the location of a project that do not deviate from the original location of a project.
  - vii. Increasing or decreasing the limits of a project by 0.25 miles or less.
  - viii. Clerical changes that correct the of spelling and grammar errors and changes to informational elements in TIP listings that do not affect the work scope, location, year programmed, identification of the agency sponsoring the project, funding types and amounts or project information in the TIP listing that would impact the air quality conformity analysis of the TIP or Regional Transportation Plan.
3. **Modifications not permitted.** The following types of changes not permitted in Section 600.5:
  - i. Increasing or adding federal funding to a project. These are addressed in the project selection and MAG closeout,
  - ii. Major changes to the work scope or location of a project beyond those identified above,
  - iii. Deferral (see 600.3), advancement (see 600.4) and abandonment of projects (see 600.2).
4. **Modification requests.** To request a project change, the project sponsor is required to send MAG staff an e-mail or other written notice of the intention of the agency to change the project description.
5. **Approval Actions.** Projects that are classified as TIP amendments that modify the work scope of a project, must be first approved by the modal technical committee (e.g. Street, Bicycle-Pedestrian, ITS, Safety) from which the project was first programmed and then proceed through an approval

process that includes the Transportation Review Committee, the Management Committee, the Transportation Policy Committee and the Regional Council. All other TIP amendments and Administrative Modifications will begin the approval process at the Transportation Review Committee and include the policy committees as listed above. Project changes that are classified as clerical corrections do not require additional approval actions.

### *600.6. Project Deletions*

1. **Type of action.** Project deletions are TIP amendments.
2. **Initiation of action.** Actions to delete projects will be initiated by MAG staff pursuant to the requirements of the project reporting and project management sections of these policies guidelines and to remove unauthorized projects from previous federal fiscal years. These include requirements to provide commitment letters and project schedules, comply with required project milestones and authorize projects in the year programmed.
3. **Notice of anticipated action to delete projects.** Prior to initiating action at the Transportation Review Committee, MAG staff will provide notice to project sponsors that their projects will be requested for deletion.
4. **Agency actions to halt deletions.** Project sponsors may halt deletion actions by requesting as appropriate to defer the project to a later year, continue the project in the year it is programmed or reinstate the project in the year it was advanced in the closeout. If the project request is to reinstate or defer the project, the approval of the request is subject to the provisions of Section 600.4 and 600.3, respectively. If the request is to continue the project in the current year programmed, the project sponsor will need to avail themselves of the appeals process defined in section 600.7.
5. **Approval Actions.** The approval of project deletions will begin at the Transportation Review Committee and will include the Management Committee, Transportation Policy Committee and the Regional Council.

### *600.7. Project Appeals Process*

1. **Purpose.** The purpose of the appeals process is to provide project sponsors with the opportunity to halt the deletion of projects or in cases where the project has previously been deferred, to request a second deferral for the project.
2. **Appeals request.** To request an appeal, the project sponsor must send an e-mail or provide other written notice to MAG staff.
3. **Appeals Schedule.** Beginning at the modal technical committee from which the project originated and proceeding through the Transportation Review Committee, the Management Committee and the Regional Council, the project sponsor will provide a presentation and written documentation supporting their appeals request. The hearing committees will then engage in a question and answer session with the project sponsor and take action on whether to approve or disapprove the

request. A written record on the question and answer session, as well as the action of the committee, will be provided to all subsequent committees hearing the appeal.

4. **Presentation Requirements.** The presentation will be provided by the member agency staff and will accomplish the following:
  - a. Identification and explanation of specific problems or issues beyond the control of the agency other than financial issues that have caused the delay (e.g. the actions of outside actors), failure to achieve a required milestone or need to defer the project.
  - b. Demonstration of financial commitment (e.g. staff time, funds) by the agency to develop the project prior to the rescheduling or deletion decision.
  - c. A revised schedule and plan that addresses the specific issues identified.
  - d. If a project has been previously deferred, demonstration that the previous cause of delay has been addressed and/or explanation of why the revised approach will address the problem causing the delay.
  
5. **“Beyond the control of the agency”.** For the purpose of the hearing the phrase “beyond the control of the agency” refers to actions for which a project sponsor does not have decision making authority—e.g. the actions of third parties such as utility companies, railroads, property owners, the courts, other governmental agencies; and reviewing agencies who may fail to provide timely reviews and approvals. Actions also not under the control of a sponsor also include issues that could not have been reasonably anticipated when the project was initiated such as the discovery archaeological artifacts, hazardous materials, or impacts to endangered or threatened species in areas where none of these issues had been encountered or known to exist previously.

Actions within the control of a sponsoring agency may not be used to justify an appeal. These include the allocation of funding and staff time, project management, scheduling decisions, and the coordination of the project with other projects in the agency’s boundaries such as developer or other agency projects.

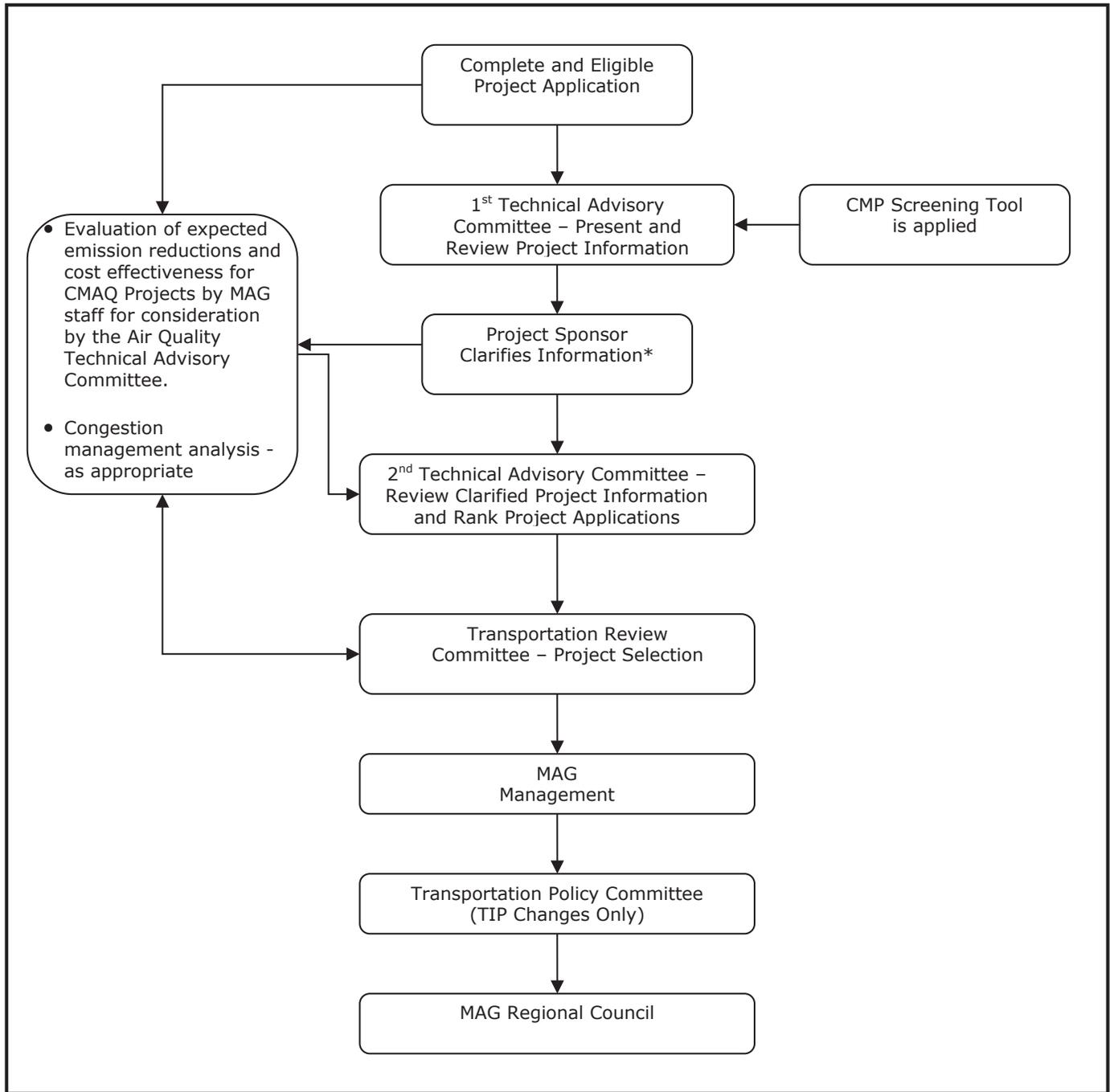
**FIGURE B - General Schedule for Competitive Application Process**



**SCHEDULE**

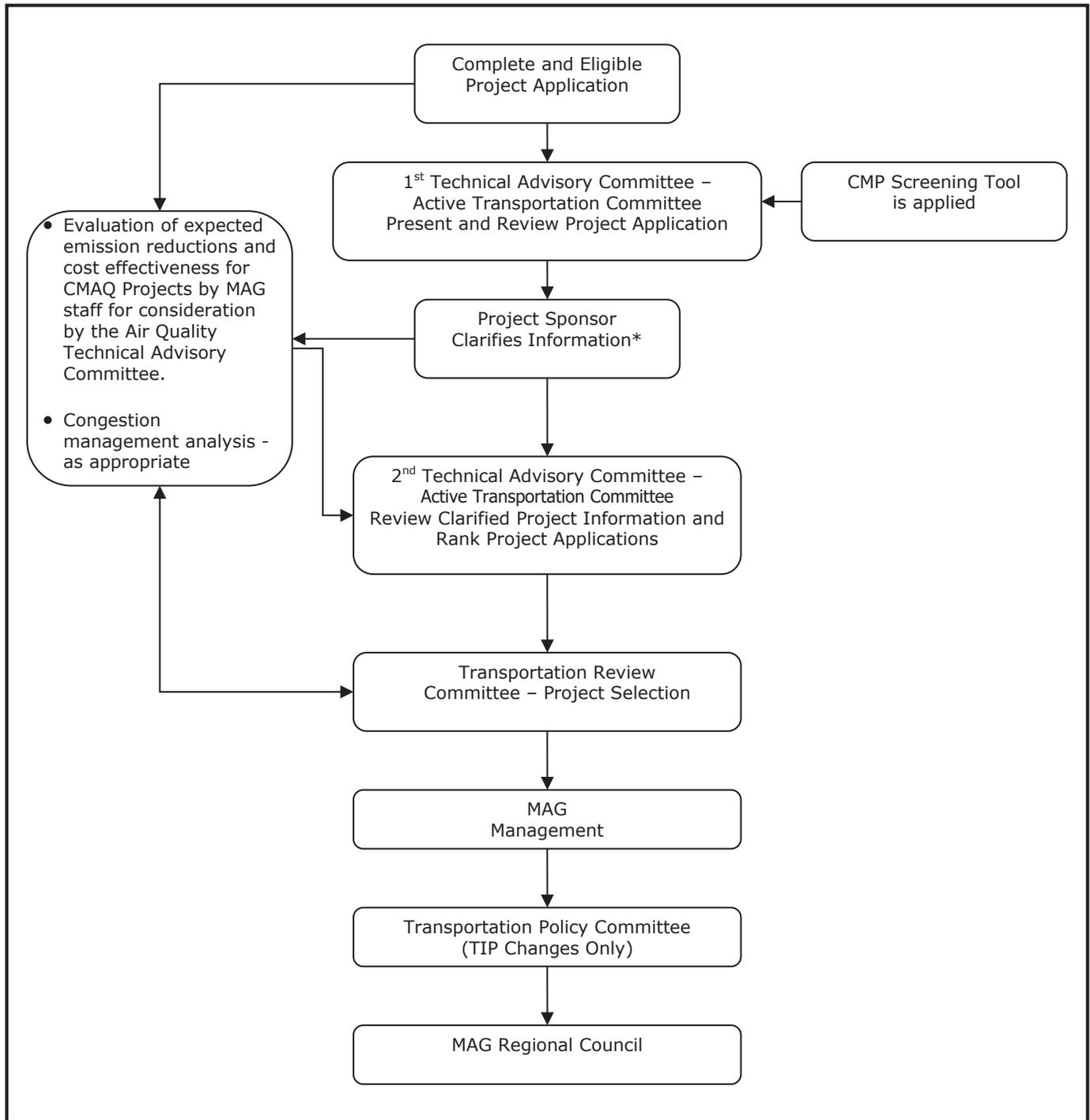
<b>General Schedule for Competitive Application Process*</b>	
July	Transportation Guidebook is updated.
August	Transportation Guidebook is published documenting funds available per mode in future years, schedules, evaluation criteria, etc.
	1st - 2nd week: Federal Fund Project Applications available
	Mid - Month: Workshop on MAG Transportation Programming and Federal Fund Project Applications
	End of month: Open Working Group, if needed - Federal Fund Project Applications
September	Early - Mid Month: Open Working Group, if needed - Federal Fund Project Applications
	Mid month: Due Date and Time, signed Project Applications due to MAG. <b>Late Applications will not be accepted.</b>
October	Technical Committees review and Lead Agencies present project applications for Projects Submitted
	AQTAC review and recommends CMAQ evaluations for project submitted
November	2nd Technical Committee Meeting: second review and ranking of project applications
December	TRC review/recommend/approve funding for projects
January	Managers review/recommend/approve funding for projects
	TPC review/recommend/approve funding for projects
	RC review/recommend/approve funding for projects
February	Projects are incorporated in DRAFT TIP or current approved TIP
* <i>PM-10 Paving Dirt Road projects and PM-10 Street Sweeper projects have two technical advisory committees involved in their review process.</i>	

**FIGURE C - Generic Flowchart of the Competitive Selection Process**



\*If needed

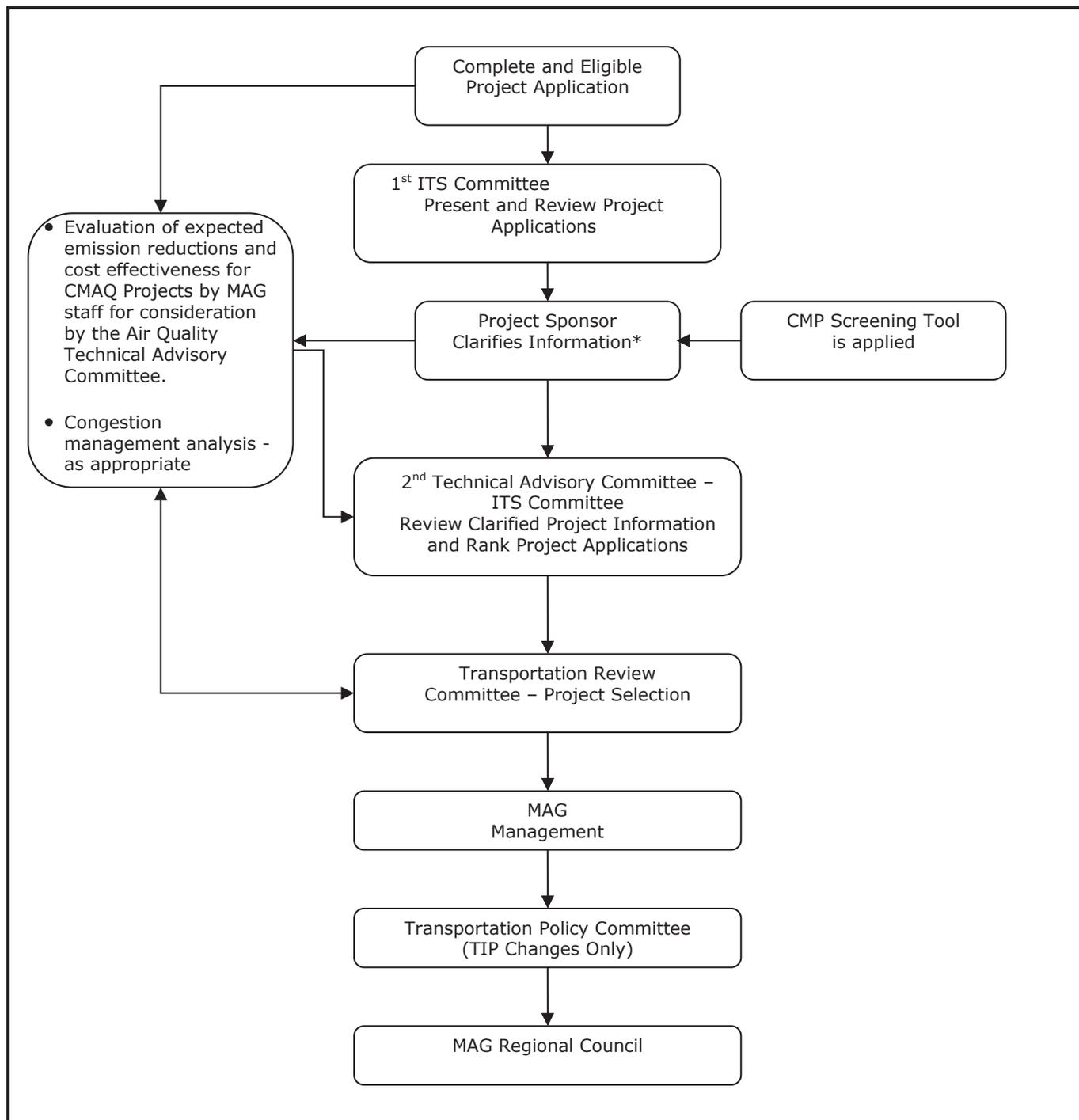
**FIGURE D - Competitive Selection Process for Bike/Ped Modes**



\*If needed

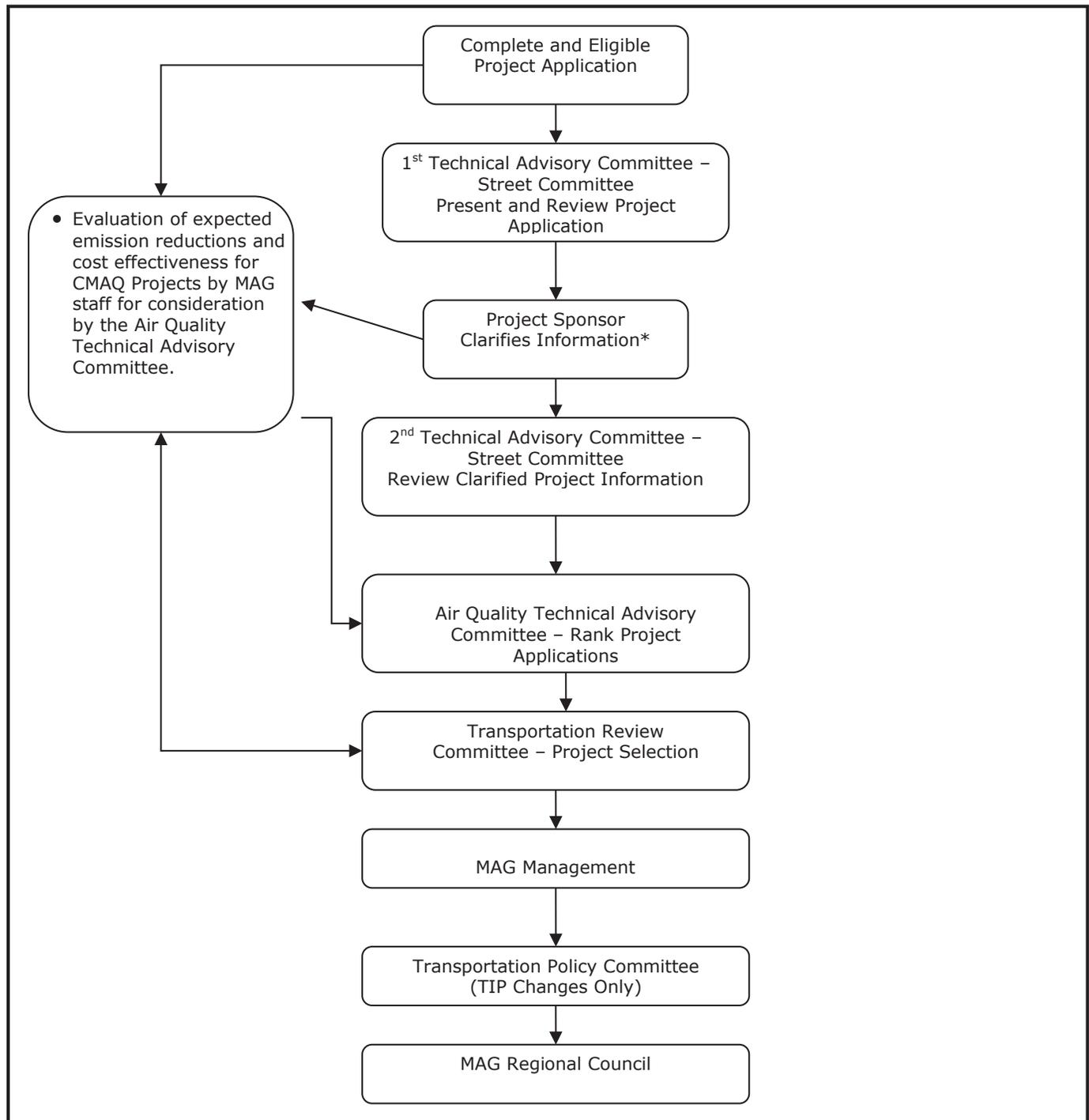
Note: Applies only to bicycle and pedestrian projects.

FIGURE E - Competitive Selection Process for ITS Projects



\*If needed

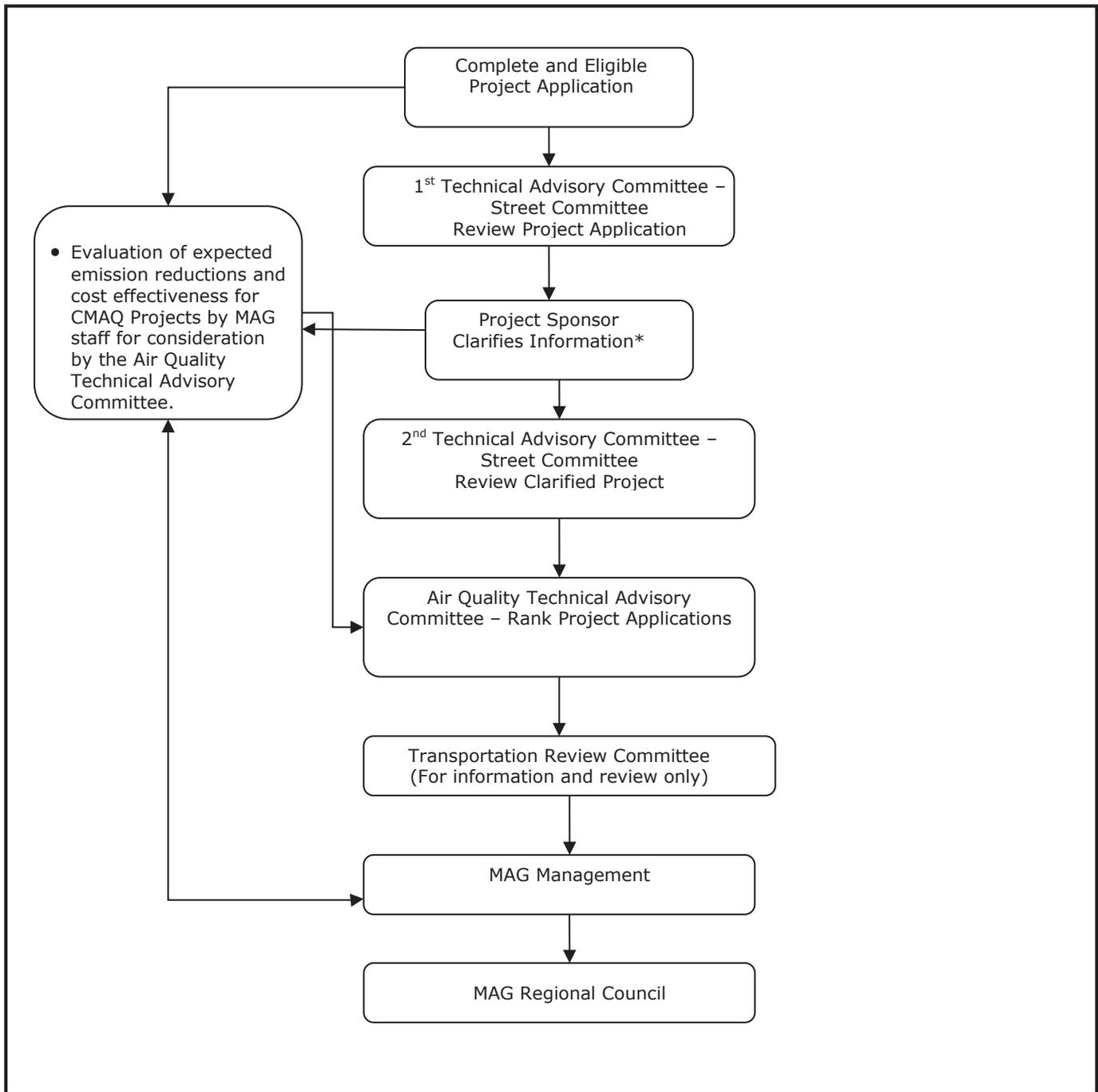
**FIGURE F - Flowchart of the Competitive Selection Process Paving Projects**



\*If needed

Note: Applies only to the paving of unpaved roadways for dust mitigation purposes.

**FIGURE G - Competitive Selection Process for Street Sweepers**



\*If needed

Note: Applies only to the purchase of PM-10 Certified Street Sweepers

**FIGURE H – Example Project Schedule Page**

Phase		Planned Date		Current Status	Notes
		Start	End		
Design	Preliminary Project Assessment				
	Design Concept Report				
	30 Percent Plans				
	60 Percent Plans				
	95 Percent Plans				
	PS&E Package				
Environmental Clearance	Hazmat Report				
	Biological Report				
	Cultural Report				
	Environmental Document/Clearance				
Right-of-way Clearance	Initial Actions - Inventory and Appraisals				
	Acquisitions - Offers, Purchases and Condemnations				
	ROW Certification				
Utilities Clearance					
Materials Memo					
IGA/JPA					
Authorize Project					

FIGURE I – General Schedule for Project Assessments and Closeout



## SCHEDULE

April - July	<b>Project Assessment and Readiness List</b>	
	1.	Agencies submit project workbooks (and commitment letters if needed)
	2.	TRC develops list of projects ready to obligate in the coming fiscal year; projects programmed for the coming fiscal year not on the list are required to be deferred or abandoned
	3.	TRC hears appeals from agencies that will be required to defer or abandon projects
	4.	The list and related TIP amendments are approved by the Management Committee, Transportation Review Committee and the Regional Council.
August/ September	<b>Funding Estimate</b>	
	1.	MAG Staff releases estimate of anticipated federal funding for authorization
October - December	<b>Projects Assessment and Programming Requests</b>	
	1.	Agencies submit project workbooks and commitment letters
	2.	Program revisions and requests: <ul style="list-style-type: none"> <li>a. Projects on the Readiness List that cannot obligate in the current fiscal year are required to be deferred or abandoned</li> <li>b. Request to advance projects into the current fiscal year are submitted with as appropriate commitment letters and workbooks</li> <li>c. Request to update cost estimates for current year projects are submitted.</li> </ul>
January	<b>Redistribution of Funding (i.e. Closeout)</b>	
	1.	Priorities for redistributing excess current year funding will be established and approved by the TRC, Management Committee, the Transportation Review Committee and the Regional Council
	2.	MAG will send notice to agencies that they have received redistributed funding

## DEFINITIONS

**‘Actions In an Agency’s Control’**—Actions for which a project sponsor has decision making authority, such as the allocation of funding and staff time, project management, scheduling decisions, and the coordination of the project with other projects in the agency’s boundaries such as developer or other agency projects

**‘Actions Not In Control of an Agency’**—Actions of third parties such as utility companies, railroads, property owners, the courts, other governmental agencies and reviewing agencies who may fail to provide timely reviews or provide inconsistent, ambiguous or erroneous guidance. Actions also not under the control of a sponsor include issues that could not have been reasonably anticipated when the project was initiated such as the discovery archaeological artifacts, hazardous materials or impacts to endangered or threatened species in areas where none of these features had been encountered or known to exist previously.

**Clean Air Act**—The Clean Air Act (CAA) is the comprehensive federal law that regulates air emissions from stationary and mobile sources. Among other things, this law authorizes the Environmental Protection Agency to establish National Ambient Air Quality Standards (NAAQS) to protect public health and public welfare and to regulate emission of hazardous air pollutants.—*Summary of the Clean Air Act*, <http://www.epa.gov/lawsregs/laws/caa.html>, Retrieved on May 9, 2008)

**Congestion Mitigation and Air Quality (CMAQ) Improvement Program**—Congestion Mitigation and Air Quality Program are federal funds that are available for projects that improve congestion and air quality in areas that do not meet clean air standards (“non-attainment” areas). The transportation projects and programs that are eligible under the Congestion Mitigation and Air Quality Improvement Program are: Transportation Control Measures (TCMs), Extreme Low-Temperature Cold Start Programs, Alternative Fuels, Congestion Relief & Traffic Flow Improvements (ITS projects and programs), Transit Improvements, Bicycle and Pedestrian Facilities and Programs, Travel Demand Management, Public Education and Outreach Activities, Transportation Management Associations, Carpooling and Vanpooling, Freight/Intermodal, Diesel Engine Retrofits, Idle Reduction, Training, I/M Programs, and Experimental Pilot Projects. The current federal guidelines related to the available CMAQ funding for the Competitive Project Selection Process for MAG Federal Funds is titled, ‘The Congestion Mitigation and Air Quality Program (CMAQ) under MAP-21 and can be accessed online at: <http://www.fhwa.dot.gov/map21/guidance/guidecmaq.cfm>

**Contingency Projects**—Projects identified during Interim Closeout if the number of projects submitted to use Closeout funds, exceeds the Interim Closeout amount. These projects would then be funded during Final Closeout under the condition that additional funds were identified by changes to a project schedule, to the apportionment or appropriations formulas, and/or notification of redistributed obligation authority (OA) that would increase the funds available.

**Designated Representative**—A designated representative of a jurisdiction is an employed staff person of the jurisdiction designated by the chief administrator to sign MAG funding request documents on behalf of that jurisdiction.

**Eligible Projects/Project Components**—Eligible projects/project components are defined by the current federal guidelines related to the type of federal fund that is being considered.

**Incomplete Application**—An application that does not have required application fields filled-in is defined as incomplete.

**'In an Agency's Control'**—Actions for which a project sponsor has decision making authority, such as the allocation of funding and staff time, project management, scheduling decisions, and the coordination of the project with other projects in the agency's boundaries such as developer or other agency projects

**Joint Project**—A joint project is a project that has more than one jurisdiction financially committed to the project.

**MAG Approved Plan**—MAG approved plans are used in the evaluation of Regional Projects. The list of MAG approved plans that can be used are the most recently approved *Regional Transportation Plan*, *MAG ITS Strategic Plan – April 2001*, *MAG Strategic Transportation Safety Plan – October 2005*, *MAG Regional Bikeway Master Plan – 2007*, *Pedestrian Plan – 2000*, *MAG Regional Action Plan on Aging and Mobility*, *MAG Regional Off-Street System Plan – February 2001*, and the *Arizona Strategic Highway Safety Plan – August 2007*.

**MAG Committee Process**—For purposes related to this document and process: Transportation Review Committee, the Management Committee, the Transportation Policy Committee, and the Regional Council. Please see **FIGURE A**.

**MAG Federal Fund Program**—The MAG Federal Fund Program consists of projects in the MAG Transportation Improvement Program (TIP) that are funded with federal funds, both highway and transit projects. A component of this Program are the projects that are local sponsored, competitively selected and programmed through the MAG Process with Federal Funds. The categories that are available for local agencies to apply for federal funds through the MAG Process are: Arterial-ITS Projects – CMAQ funded, Arterial Projects – STP-MAG funded, Bicycle and Pedestrian Projects – CMAQ funded, and Air Quality Projects – CMAQ funded.

**MAP-21**—On July 6, 2012, President Barack Obama signed the Moving Ahead for Progress in the Twenty First Century Act. MAP-21 authorizes the Federal surface transportation programs for highways, highway safety, and transit for the two-year period 2013-2014 (<http://www.fhwa.dot.gov/map21/>) and as continued by the Congress.

**Project Sponsor**—The project sponsor is the local agency that is responsible for all steps of the process related to all aspects of the federal project development process including: the MAG Competitive application process, engineering and design of the project to the federal standards, and completion of federal required clearances. This review process is administered by the Arizona Department of Transportation (ADOT) or a certified accepted (CA) agency. If federal funding is not programmed for design, engineering, and clearance work, the project sponsor is responsible for the costs. The federal required local match and additional funds that are needed to complete the project, including any project cost increases. The amount of MAG federal funds available for a project is the programmed amount listed in an approved TIP.

**Regional Project**—A transportation project that is sponsored and funded by one or more MAG member agency that impacts other jurisdictions besides those sponsoring the project. The project concept has to be consistent with an approved MAG Plan.

**SAFETEA-LU**—On August 10, 2005, President George W. Bush signed the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU). SAFETEA-LU authorizes the Federal surface transportation programs for highways, highway safety, and transit for the 5-year period 2005-2009<sup>1</sup>.

**Surface Transportation Program (STP) funds**—Surface Transportation Program funds are federal funds designated to be used on highways, transit or street projects.

**The Transportation Programming Guidebook**—The Guidebook is published on a yearly basis and its purpose is to provide MAG member agencies background information, instructions, and deadlines on the different transportation programs and requirements for the RTP, the MAG TIP, and the MAG Federal Fund Program for the upcoming fiscal year.

**Technical Advisory Committees (TAC)**—The MAG Technical Advisory Committees that are related to Competitive Project Selection Process for MAG Federal Funds are the MAG Street Committee, MAG Intelligent Transportation System (ITS) Committee, Air Quality Technical Advisory Committee, and the Bicycle and Pedestrian Committee. Please see FIGURE A

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<sup>1</sup> SAFETEA-LU Home Page. US Department of Transportation, Federal Highway Administration. Retrieved on July 9, 2008 from <http://www.fhwa.dot.gov/safetealu/index.htm>.

## Transportation Alternative Program (TA)

### Transportation Alternatives Program (TA) Goals and Objectives, and Process Approved by Regional Council on August 26, 2013

#### Goals:

1. Improve pedestrian and bicyclist accessibility and connectivity on the transportation network.
2. Assist in providing a safe environment for the bicyclists and pedestrians on both the on-street and the off-street transportation networks.
3. Make bicycling and walking to public K-8 schools a safer and more desirable transportation alternative to motorized vehicles.

#### Definitions

- **Accessibility:** The ability of transportation infrastructure improvements to provide better access to transit stops, destinations, schools, homes/subdivisions, and employment for people that are walking or biking for all ages and abilities.
- **Connectivity:** The ability of transportation infrastructure improvements to link the proposed project to other bike/pedestrian facilities, completing a gap in a bike/pedestrian facility, or a city/town.
- **Safety:** Projects that make a street safer by addressing a perceived or observed safety problem, including (but not limited to): high vehicle speed, crashes, striping, intersection crossings, or mid-block crossings.

#### Objectives:

- Fund eligible Transportation Enhancement and Safe Routes to School (SRTS) projects through the federal MAP-21 Transportation Alternatives fund.
- Fund bike and pedestrian improvement projects that provide a safe transportation route or improve a transportation route for (K-8) students to schools.
- Fund bike and pedestrian improvement projects that address a perceived or observed problem/safety issue, including (but not limited to) unsafe street crossings; missing, narrow or poorly maintained sidewalks; adding/improving bike lanes (restriping, widening, colored pavement); or disconnected/inaccessible bike or pedestrian facilities, while connecting residents to transit stops/centers or other destinations.
- Fund Safe Routes to School (SRTS) non-infrastructure projects that educate and encourage K-8 students, parents, and school resources officers/staff on bicycle and walking options.
  - GUIDELINE - Funding will be set aside at 9% of total Transportation Alternatives funding, with a maximum yearly total of \$400,000. If the total value of projects awarded for Safe Routes to School non-infrastructure projects is less than the total programmed set-aside, remaining funds will be applied toward eligible infrastructure projects.

- GUIDELINE – These projects will need to evaluate on a quarterly basis as required by the federal government, and address enforcement and encouragement.
- Utilize evaluative tools based on quantitative and qualitative performance measures to inform project rankings in the application process.

**Proposed Evaluation – Infrastructure -** Transportation Alternatives (TA) applications are reviewed, presented, evaluated, and ranked by the MAG Bicycle and Pedestrian Committee. Prior to the TA application being released, the MAG Transportation Safety Committee will review, edit, and develop questions to address safety issues and aspects of the proposed project. The MAG Transportation Safety Committee will also provide guidance on how to evaluate and score the TA application questions related to safety.

One representative from each of the MAG Transportation Safety Committee and the MAG Street Committee will participate in the TA application review, presentation, evaluation, and ranking process at the Bicycle and Pedestrian Committee. The representative will be identified by Safety and Streets Committee before the process begins.

**Proposed Evaluation– SRTS Non-Infrastructure**

The SRTS Non-Infrastructure projects would be evaluated by the MAG Transportation Safety Committee.

## MAG Pinal County Arterial and Bridge Program Programming and Evaluation Policy

Approved September 27, 2017

### I. Program Goals and Objectives

A. The MAG Pinal County Arterial and Bridge Program has six key goals and objectives:

1. Expand capacity on existing roadways or intersections of high demand
2. Maintain and preserve the region's transportation system
3. Address safety concerns in existing roadway/intersection conditions
4. Promote connectivity between high demand/capacity roadways and activity centers to advance economic vitality
5. Maintain consistency with stated jurisdiction policy
6. Achieve a significant reduction in congestion on the region's transportation system

### II. Eligibility

A. Only projects within the Pinal County area of MAG are eligible for funding under the program. Funding for programming is provided by the Federal Highway Administration Surface Transportation Block Grant Program as identified in the current transportation authorization act.

B. Roadways eligible for funding under the program include:

1. Parkways
2. Principal arterials
3. Minor arterials
4. Major collectors

C. Activities eligible for funding under the program include:

1. Capacity expansion
2. Rehabilitation of existing infrastructure – roadways
3. Rehabilitation of existing infrastructure – bridges
4. Intersection improvements

D. Phases eligible for funding under the program include the ADOT design-review fee, design, and construction.

E. Funding for the program may not be flexed to the Federal Transit Administration.

1. Projects can include transit-oriented improvements such as bus pullouts (ancillary activities) if they are part of a larger project

### III. Funding Limits

A. The MAG Pinal County sub-allocated Surface Transportation Block Grant Program contribution for a project's construction phase may not exceed \$3.00 million for a single-jurisdiction project and \$4.00 million for a joint or regional project.

1. A joint project has more than one agency financially contributing to the project. It is required that the application:

## MAG Pinal County Arterial and Bridge Program Programming and Evaluation Policy

Approved September 27, 2017

- a. Be submitted by the sponsoring agency that will be responsible for implementing the project and reporting to MAG
  - b. List the main contacts for all agencies involved
  - c. Document how the local cost component and maintenance of the facility will be shared between the partnering agencies
  - d. Include signatures from each jurisdiction's manager(s), administrator(s), or designated representatives.
2. A regional project is a transportation project that is sponsored and funded by one or more MAG member agencies that impacts other jurisdictions besides those sponsoring the project and the project concept is consistent with an approved MAG plan.

#### IV. Application Process

- A. Project applications will be technically evaluated by the MAG Street Committee and a list of recommended projects will be forwarded through the committee process for review and approval.
1. Projects will be presented, reviewed, and ranked at the Streets Committee and then forwarded to TRC.
    - a. The Street Committee will assess the application and data provided to determine its reasonableness and accuracy relative to the evaluation criteria
    - b. The Street Committee will provide an application ranking on the evaluation criteria included.
    - c. The Street Committee cannot change the project scope, schedule, budget, or requested federal funds during the evaluation process. The Street Committee's purpose will be to rank order the projects as submitted in the application through a technical evaluation process.
    - d. The Transportation Review Committee will review the evaluation and analysis completed by the Streets Committee and recommend projects to be selected and programmed with federal funds based on the guidelines established for project selection.
    - e. The Transportation Review Committee can make recommendations to change the project scope, schedule, or budget during the project selection process.

**MAG Pinal County Arterial and Bridge Program  
Programming and Evaluation Policy  
Approved September 27, 2017**

B. Projects shall be evaluated by the Street Committee using the following measures and weights:

1. Quantitative
  - a. Annual average daily traffic (AADT) – 12%
    - i. Mid-block count
  - b. Pavement/bridge condition – 12%
  - c. Peak period speed – 12%
  - d. Segment/intersection capacity (VPLPH) – 12%
  - e. Crash rate – 8.5%
  - f. Crash reduction factors (see Appendix A)– 8.5%
2. Qualitative
  - a. Connectivity (regional) – 5%
    - i. Provided through a committee ranking (1-5)
  - b. Proximity to activity centers – 5%
    - i. Provided through a committee ranking (1-5)
  - c. Intersection improvement throughput – 5%
    - i. Provided through a committee ranking (1-5)
  - d. Intersection improvement safety – 5%
    - i. Provided through a committee ranking (1-5)
  - e. Jurisdictional policy – 5%
    - i. Provided through a committee ranking (1-5)
  - f. Community involvement – 5%
    - i. Provided through a committee ranking (1-5)
  - g. Committee project ranking – 5%

C. MAG will try to provide at least 5 weeks for agencies to prepare applications during each call for projects.

**V. Other**

A. The Pinal County Arterial and Bridge Program shall adhere to all of MAG's Federal Fund Programming Guidelines and Procedures

**MAG Pinal County Arterial and Bridge Program  
Programming and Evaluation Policy  
Approved September 27, 2017**

**Appendix A: Crash Reduction Factors**

1. "Stop Ahead" pavement markings
2. "Vehicles Entering When Flashing" (VEWF) system (advance post mounted signs on major and loops on minor)
3. 12 inch signal heads all faces all directions
4. Actuated advance warning dilemma zone protection system
5. 3-inch yellow retroreflective sheeting to signal backplates
6. Advance street name signs
7. All red clearance interval new or existing signals
8. All-way stop control (with flashing beacons)
9. All-way stop control (without flashing beacons)
10. Centerline rumble strips
11. Composite shoulders (5 feet minimum) on rural two lane roads
12. Three-lane roadways with center turn lane
13. Flashing lights and sound signals at Railroad grade crossings
14. Gates with signs at railroad at grade crossings
15. Improve 2 lane roadway to 4 lane divided roadway
16. Improvements that include reducing 11 feet lanes to 9 feet
17. Install a traffic signal (engineering study demonstrates meeting MUTCD Warrant 7)
18. Install dynamic signal warning flashers
19. Install dynamic speed feedback sign at high speed crash curve sites with identified speeding problems
20. Install intersection conflict warning systems (ICWS) for four-lane at two-lane intersections
21. Install intersection conflict warning systems (ICWS) for two-lane at two-lane intersections
22. Install shoulder rumble strips
23. Install wide edgelines (6 in min)
24. Intersection conflict warning system (ICWS) with a combination of overhead and advanced post mounted signs (various messages) and flashers
25. Intersection conflict warning system (ICWS) with overhead signs (various messages) and flashers at the intersection on minor; loop on major
26. Intersection conflict warning system (ICWS) with post mounted signs (various messages) and flashers in advance of the intersection on major; loop on minor
27. Modern roundabout where a signalized intersection exists
28. Modify zero or negative left-turn lane offset to create positive offset
29. New left-turn lanes with positive offset
30. Pavement friction (Microsurfacing, Open Graded Friction Course, High Friction Surfacing)
31. Pedestrian hybrid beacon (PHB or HAWK)
32. Positive offset left-turn lanes on both major road approaches
33. Protected only left-turn signal equipment
34. Protected-permissive left-turn signal equipment
35. Raised median
36. Right-turn lane geometry with increased line of sight
37. Roundabout at a high-speed 3 or 4 leg rural intersection
38. Rural two lane roads with TWLTL (two-way left turn lanes)
39. Safety edge treatment on rural highways
40. Single- or multi-lane roundabout at a two-way stop-controlled intersection
41. Single- or multi-lane roundabout at existing signalized intersection
42. Two-way stop control at uncontrolled neighborhood intersections
43. Urban two lane road with TWLTL (two-way left turn lane)
44. Wet-reflective pavement markings

STEP 1: Enter Contact Information	
Contact Information	
Name:	
Title:	
Phone:	
Email:	
Date Submitted:	

Optional
<b>General reason for the Closeout Request</b> Provide a brief description of the overall request. For example, "Additional funding is needed as bid costs for the projects were substantially over the engineering cost estimate for the project" or "Buried utilities were discovered during design resulting in substantial increases in cost estimates that are well beyond funding programmed for the project."

Current Programming	STEP 2 : Enter or copy/paste the TIP data for the project as it is now programmed (See the TIP tab of this spreadsheet for current TIP data). Skip if entering a new project.																					
Project Information																						
Agency	Section	MAG ID	Location	Federal Functional Classification (Click on to Access ADOT Maps)	MAG Mode	Estimate Date for Completion/Open to Traffic: MM/YY	AQ Area	In Program	Miles	Through Lanes		Performance Categories							TIP ID	Fed ID / Grant ID	TRACS / ALI	Work
										Before	After	PM1	PM2T	PM2N	PM2B	PM3F	PM3S	PM3E				
												No	No	No	No	No	No					
												No	No	No	No	No	No					
												No	No	No	No	No	No					
												No	No	No	No	No	No					

Requested Programming	STEP 3: Enter Project data with the requested amount (Hint: Copy/paste from Current Programming and modify as needed)																					
Project Information																						
Agency	Section	MAG ID	Location	Federal Functional Classification (Click on to Access ADOT Maps)	MAG Mode	Estimate Date for Completion/Open to Traffic: MM/YY	AQ Area	In Program	Miles	Through Lanes		Performance Categories							TIP ID	Fed ID / Grant ID	TRACS / ALI	Work
										Before	After	PM1	PM2T	PM2N	PM2B	PM3F	PM3S	PM3E				
												No	No	No	No	No	No					
												No	No	No	No	No	No					
												No	No	No	No	No	No					
												No	No	No	No	No	No					

Work Phase Information						
Work Year	Funding Type	Apportionment Year	Federal	Regional	Local	Total

Work Phase Information								STEP 4: Add Attachments			
Work Year	Funding Type	Apportionment Year	Federal	Regional	Local	Total	Note/Justification	Additional Fields for Closeout		Attachments	
								Type of Request	Change in Federal Funding	Cost Estimate Attached ( <a href="#">Link to MAG Cost Form</a> )	Project Schedule Attached ( <a href="#">Link to MAG Schl Form</a> )
								Included for Information Only	No Funding Change Requested from Closeout	No	No
								Included for Information Only	No Funding Change Requested from Closeout	No	No
								Included for Information Only	No Funding Change Requested from Closeout	No	No
								Included for Information Only	No Funding Change Requested from Closeout	No	No

MAG Status Workbook

Project Status Form

Current TIP Listing (For Information Only): The following lists the project as it appears in the MAG Transportation Improvement Program					
Agency					
Fiscal Year Programmed in TIP					
TIP IDN					
MAG ID					
Project Location					
Work Description					
Fund Type					
Federal Cost					
Local Cost	\$	-			
Total Cost	\$	-			
If you need to make a TIP Amendment, please click on the following link to download a TIP request form:			<a href="#">Download TIP Change Request Form</a>		
Other Programming Information (For Information Only)					
Project Application					
Times Deferred	0	( The project is eligible for a one time deferred in the TIP without justification )			<a href="#">(See MAG Guidelines and Procedures, pg. 20)</a>
Project has Commitment Letter on File	No	( A Commitment Letter from Senior Management is due to MAG by June 1, -2)			<a href="#">(See MAG Guidelines and Procedures, pg. 15)</a>
Project has CIP Page on File	No				
Basic Project Information					
ADOT ID (TRACS)	None	( An ADOT ID should be assigned by Oct 1, 2019 to continue in the TIP )			<a href="#">(See MAG Guidelines and Procedures, pg. 16)</a>
Federal ID	None	( A Federal ID should be assigned by Oct 1, 2019 to continue in the TIP. )			<a href="#">(See MAG Guidelines and Procedures, pg. 16)</a>
Project Type (Study, Design/ROW/Procurement/Construction)	Construction				
Type of Categorical Exclusion (Documented or Undocumented)	Documented CE - Technical Studies Required (e.g. HAZMAT, Cultural, Biological)				
Anticipated Final Bid Documents Submitted to ADOT Date					
Anticipated Federal Authorization/Obligation Date		( The project must authorize by September 30, 2020 )			
Anticipated Bid Advertisement Date					
Anticipated Bid Award Date					
Current Cost Estimate					
Schedule Information: Please enter anticipated dates for completing the steps in the process for obtaining the FHWA commitment (e.g. obligation) to fund the projects.					
Phase	Step	Target Completion Date		Status	Notes
		Initial	Current		
IGA/JPA	IGA/JPA (Not applicable for CA Agencies)				
Design	Stage I (15 %)				
	Stage II (30%)				
	Stage III (60%)				
	Stage IV (95%)				
	Final (100%)				
Environmental Clearance	Hazmat Report				
	Biological Report				
	Cultural Report				
	Envir Document/Clearance				
Right-of-Way Clearance	Inventory Completed (In-House Only)				
	Acquisitions Completed				
	ROW Clearance				
Other Clearances	Utilities Clearance				
	Materials Memo				
Contact Information: Please enter contact information for the agency and ADOT project managers.					
		Name	Phone	Email	
Project Manager for					
Project Manager for ADOT					

Regional Programming  
Guidelines for  
**Federal Transit  
Formula Funds**



Approved by the MAG Regional Council on **June 26, 2019**

## 100. GUIDING PRINCIPLES

The MAG Regional Programming Guidelines for Federal Transit Administration (FTA) Formula Funds shall comply with all federal laws. The Guidelines will be reviewed and updated for compliance as new state and federal laws are adopted, or as deemed necessary by Regional Council.

The MAG Regional Programming Guidelines for FTA formula funds will incorporate policy direction, as appropriate, from Regional Council approved MAG Transportation Plans.

The MAG Regional Programming Guidelines for Federal Transit Formula Funds and changes to the Guidelines will be approved through the MAG Committee Process including the Transit Committee, the Transportation Review Committee, the Management Committee, the Transportation Policy Committee, and the Regional Council. Please see **Figure A of Appendix D: MAG Committee Structure Chart**.

The MAG Regional Programming Guidelines for Federal Transit Formula Funds, including 5307, 5309, 5310, 5337-FGM, 5337-HI, 5339, CMAQ, and STBGP-AZ, are applicable to federal formula funds received from the Federal Transit Administration, and flexed Federal Highway Administration (FHWA) Surface Transportation Block Grant Program (STBGP) funds from the Arizona Department of Transportation (ADOT).

The MAG Regional Programming Guidelines for FTA formula funds will abide by federal guidance regarding federal and local shares depending on funding and project type.

FTA formula funds will be used within the period of apportionment. Funds flexed from FHWA, have an extended period of availability, however due to the deficit at the federal level, it is the region's goal to follow the same guidelines as FTA formula apportionments and program them within the appropriate years.

Transit operators and recipients of federal funds are required to work with MAG and the City of Phoenix, the designated grant recipient, to submit information for the Short Range Transit Plan/Transit Service Inventory Report/Transit Asset Management Plan. The information is necessary to make informed programming decisions for a comprehensive, coordinated, transparent, data driven process.

It is recognized that the Regional Public Transportation Authority (RPTA) is the agency designated to manage the Transit Life Cycle Program (TLCP).

## 200. PUBLIC TRANSPORTATION SUPPORTED BY THE REGIONAL TRANSPORTATION PLAN

### 201. Regional Transportation Plan

The MAG Regional Transportation Plan (RTP) that was approved in 2003 established the Transit Life Cycle Program (TLCP) that is supported by the regional half-cent sales tax/public transportation fund (PTF), federal funds from transit formula accounts, farebox receipts, transit discretionary awards, and 'flexed' highway funds from Congestion Mitigation Air Quality (CMAQ) and state Surface Transportation Block Grant Program (STBGP-AZ). Since the initial approval, the RTP has been updated several times.

### 202. Transit Life Cycle Program

The TLCP is a 20 year (2006-2026) program that includes:

- Fleet replacement for all transit services – State of Good Repair Program: rural, local, regional, Express, RAPID, Bus Rapid Transit, vanpools, and dial-a-ride/paratransit). Buses funded under the Transit Life Cycle Program include any buses currently in the system as of January 1, 2019.
- Construction and acquisition of high capacity and light rail transit corridors, including associated park and rides, transit centers, maintenance facility upgrades and vehicles.
- Regional transit expansion program: Expansion of regional public transportation service including capital, procurement, and operations.
- Regional Park and Rides identified from the 2000 Regional Park and Ride Study. Please note, locations and scopes may have been modified since 2000; no additional regional park and rides have been added.
- Regional Transit Centers as identified in the 2003 RTP. Please note, locations and scopes may have been modified since 2003; no additional regional transit centers have been added.
- Regional operations and maintenance facilities to support an expanded regional transit system, including new and upgraded bus facilities, paratransit facilities, rural and vanpool facilities.
- Local routes that are identified to turn into supergrid routes in the TLCP. Refer to the latest version of the TLCP for route detail.
- ADA service, which is the service required by the Americans with Disabilities Act (ADA) for all areas within  $\frac{3}{4}$  mile of a fixed route; and alternative transportation services for ADA certified passengers.
- Bus stop improvements Safety and Security.
- Intelligent Transportation System projects including fare collection and communication systems.

The TLCP does not include:

- Operations for local routes.
- Operations for light rail or other high capacity fixed guideway modes.
- Operations for vanpool services.
- Operations for non-ADA paratransit or alternative transportation services.
- Preventive maintenance.
- Expansion of local public transportation since 2003, including fleet purchase, replacements, and operations.
- Expansion of non-ADA paratransit/dial-a-ride service since 2003, including fleet purchase, replacements, and operations.
- Bike or pedestrian connections.

### **300. PROGRAMMING PROJECTS FOR A NEW MAG TRANSPORTATION IMPROVEMENT PROGRAM**

Through the MAG Committee process starting at the MAG Transit Committee, MAG programs transit projects to be funded with federal funds via the MAG Transportation Improvement Program while working cooperatively with MAG member agencies, the designated grant recipient (City of Phoenix), and the transit operators in the region: City of Phoenix, Regional Public Transportation Authority (RPTA), Valley Metro Rail (METRO), City of Glendale, City of Scottsdale, and the City of Peoria. The MAG TIP and RTP are updated biennially.

The Transit Life Cycle Program (TLCP) is updated annually and the projects are programmed using federal and Public Transportation Funds (PTF). The program is updated as a coordinated effort between RPTA and METRO, working with the member agencies in the region. It reflects the principles and goals as stated in the Regional Transportation Plan (RTP) and plans for funding of regional routes, capital projects and bus replacements according to its stated guiding principles.

When developing a new TIP and RTP, MAG/City of Phoenix will work with member agencies and collect information that goes into the Short Range Transit Plan/Transit Service Inventory Report/Transit Asset Management Plan. This information will be made available at the beginning of the fiscal year when programming a new TIP and RTP.

When developing a new TIP and RTP, RPTA will submit a project list from the TLCP to MAG.

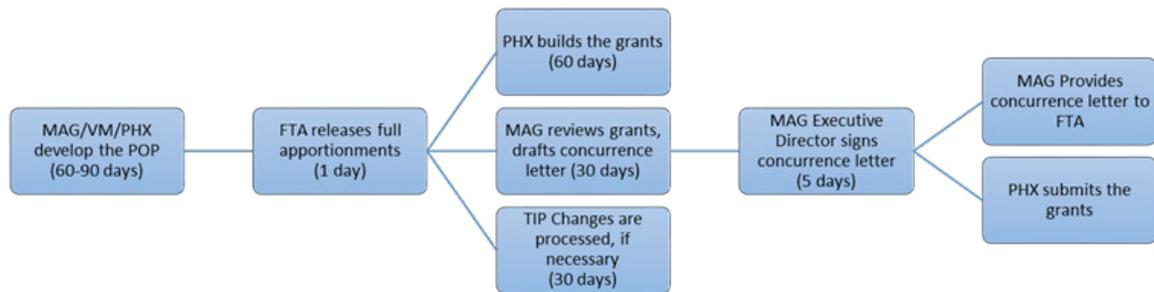
MAG will take the information from the Short Range Transit Plan/Transit Service Inventory Report/Transit Asset Management Plan and the project list from the TLCP. A draft listing of projects will be produced and reviewed with the MAG Transit Committee. Based on estimate funding levels of federal funds and the draft listings of projects, a calculation will be made to determine funding available for the Regional Competitive Evaluation Process, Section 700.

If funding is available for the Regional Competitive Evaluation Process (Section 700), that process will move forward.

Projects that are classified as TIP amendments that modify the work scope of a project, must be first approved by the modal technical committee (e.g., Street, Active Transportation, ITS, Safety, Transit) from which the project was first programmed and then proceed through an approval process that includes the Transportation Review Committee, the Management Committee, the Transportation Policy Committee and the Regional Council. All other TIP amendments and Administrative Modifications will begin the approval process at the Transportation Review Committee and include the policy committees as listed above. Project changes that are classified as clerical corrections do not require additional approval actions.

### 400. TRANSIT PROGRAM OF PROJECTS (POP)

The Transit Program of Projects, or POP, is a list of transit projects for a given fiscal year, that is reconciled with the actual Federal apportionments and allocations that are approved by Congress. The schedule for MAG to move forward with a Transit Program of Projects is dependent on Congressional action. See typical POP Process below.



### 500. TRANSPORTATION PROGRAMMING PRIORITIES

1. Provide services and improvements as required by law.
2. Provide funding for support services for grant management to the designated recipient, the City of Phoenix.
3. Fund Preventive Maintenance/Operations/Complementary ADA Service.
  - Preventive maintenance funding for the Phoenix-Mesa UZA is distributed based on approved methodology outlined in Section 600.
  - Avondale-Goodyear UZA utilizes some of the annual apportionment for operating assistance at 50% federal match. See Section 800 for additional information.
4. Support the Transit Life Cycle Program (TLCP) capital bus program.
5. Support the TLCP capital facility program.

6. Support the other TLCP projects as the program is updated.
7. Fund additional projects through a collaborative process by assessing regional transit needs, implementing elements of adopted regional efforts, and meeting regional performance based criteria. See Section 700 for additional information.

## 600. PREVENTIVE MAINTENANCE DISTRIBUTION METHODOLOGY FOR 5307 FORMULA FUNDS

On May 25, 2011, the MAG Regional Council approved the current methodology for programming Preventive Maintenance (PM) for the MAG region. The annual amount allocated for PM is 25 percent (%) of the annual apportionment of 5307 PHXMSA funds.

The PM distribution methodology first distributes the amounts between the bus and rail program based on operating expense, then distributes funds for bus operators based on a combination of passenger miles traveled (PMT) and vehicle revenue miles (VRM). Passenger miles are weighted by 10 percent and vehicle revenue miles are weighted by 90 percent. The distribution methodology is updated annually using the most recent NTD published data.

*Step 1: Find amount to program for Preventive Maintenance (PM)*

$$\text{PM} = \text{Phoenix-Mesa 5307 Apportionment} \times 25\%$$

*Step 2: Find % Allocation Rail PM*

$$\% \text{ Allocation Rail PM} = \frac{\$ \text{ Valley Metro Rail Operating Expense}}{\$ \text{ Total Regional Operating Expense}}$$

*Step 3: Find \$ Allocation Rail PM*

$$\$ \text{ Allocation Rail PM} = \% \text{ Allocation Rail PM} \times \text{PM}$$

*Step 4: Find % Allocation Bus PM*

$$\% \text{ Allocation Bus PM} = \frac{\$ \text{ Sum of Bus Operators Operating Expenses}}{\$ \text{ Total Regional Operating Expense}}$$

*Step 5: Find % Suballocation per Bus Operator*

$$\% \text{ Suballocation per Bus Operator} = \frac{\text{Bus Operator} [(PMT \times 10\%) + (VRM \times 90\%)]}{\text{Total All Bus Operator} [(PMT \times 10\%) + (VRM \times 90\%)]}$$

*Step 6: Find \$ Suballocation per Bus Operator*

$$\$ \text{ Suballocation per Bus Operator} = \% \text{ Allocation per Operator} \times \text{PM}$$

Small Transit Operators Eligible for Operating Assistance in Large Urbanized Areas may choose to utilize Operating Assistance in lieu of PM.<sup>1</sup> This option does not change the agency's allocation or the regional allocation formula for PM. Complementary ADA Service may be awarded on a case by case basis in lieu of PM. Transit operators shall not have more than two year's worth of PM funding in awarded grants.

<sup>1</sup> Per FTA, Eligible operators are public entities that operate fixed route bus service with 100 or fewer buses in maximum peak hour service, and that operate transit service in a UZA.

## 700. "PRIORITY 7" PROJECTS (PHOENIX-MESA UZA)

Any project request that is not part of Priorities 1 - 6 are addressed through Priority 7. Also included as part of Priority 7 are: a) any bus expansion vehicle, b) advancement of replacement vehicles, c) change in vehicle types for replacement vehicles (i.e. 40' standard to 60'), d) cost increases of replacement vehicles due to special requests related to specs and/or technology that is not part of the standard fleet, e) projects that fit within the definition of Job Access and Reverse Commute (JARC).

### 701. REGIONAL COMPETITIVE EVALUATION PROCESS

The Phoenix-Mesa UZA will conduct a Regional Competitive Evaluation Process to program remaining Federal Transit Funds, when available. The process will be initiated every two years, consistent with the Regional Transportation Improvement Programming (TIP) cycle or as necessary, per the recommendation of the Transit Committee. The application will be made available on the MAG website.

The Transit Committee may request a Competitive Evaluation Process during the non-TIP Programming years, however, it is recommended that the process is not conducted more than once a year. In the event it is necessary to program a balance of funds subject to FTA obligation and/or utilization deadlines, the Committee may recommend:

- Funding additional projects submitted during the evaluation process but not initially chosen;
- Increasing funding of awarded projects;
- Allocating additional resources to regional Preventive Maintenance;
- Other options subject to MAG Regional Council approval.

### 702. TRANSIT SERVICE INVENTORY

In lieu of a Competitive Process, the Transit Committee may elect to request that MAG work with Valley Metro to review the Short Range Transit Plan/Transit Service Inventory Report/Transit Asset Management Plan to identify projects for programming. In such cases, projects identified will be taken discussion and consideration at the Transit Committee. The process will be initiated every two years, consistent with the Regional Transportation Improvement Programming (TIP) cycle, or as necessary, per the recommendation of the Transit Committee. The process will focus funding implementation of on-going and existing regional planning efforts at Valley Metro and MAG.

703. NON-TLCP BUS CAPITAL

Bus expansion purchases will be programmed for replacement so long as the route remains in service. Any discontinuation or significant change in service will require the agency work through the TSPM/SRTP and competitive process. These buses remain outside the Transit Life Cycle Program.

800. AVONDALE-GOODYEAR UZA

The utilization of Avondale-Goodyear (AVN-GDY) UZA Federal Transit Funds will be discussed during working group meetings comprising members of the AVN-GDY UZA. The interested members will conduct a sub-regional discussion with general guidelines and adhering to Arizona Open Meeting Laws under A.R.S. § 38-431. Recommendations from the working group would be reviewed by the Transit Committee and recommended to MAG Regional Council for approval. Additional guidelines may be evaluated and established as the UZA’s Transit planning and network becomes more established.

The UZA must expend at least 1 percent of its annual 5307 apportionment, plus any funding received through discretionary or competitive award programs, on security. To meet this requirement, \$50,000, with at least a 20 percent local match, will be made available each year for projects that fall within the safety and security conditions as described in Section 803.

Expense Category	Amount
Program Administration Costs	up to 10%
Operating Assistance (as federally eligible)	50% federal match
Transit Security	at least 1%
Associated Transit Improvements	\$400k annual
Capital Needs/Rolling Stock	balance of apportionment

801. Program Administration Costs

Up to 10% of the recipient’s total fiscal year apportionment may be used to fund program administration costs including administration, planning, and technical assistance.

802. Operating Assistance

Current FTA regulations allow for UZA’s with populations less than 200,000 to utilize a 50% federal match for operating assistance.

803. Transit Security

FTA Circular 9030.1E considers Crime Prevention and Security Projects to be eligible expenses. Eligible capital projects related to crime prevention and security activities include, but are not limited to:

- Increased lighting in or adjacent to a public transportation system.
- Increased camera surveillance of an area in or adjacent to a public transportation system.
- Providing emergency telephone lines in or adjacent to a public transportation system to contact law enforcement or security personnel.
- Any other capital project intended to increase security and safety of public transportation.

Eligible public transportation security operating assistance projects (for UZAs with a population of 200,000 or less) include, but are not limited to:

- Staff salaries for personnel exclusively involved with security;
- Contracts for security services; and
- Any other operation projects intended to increase the security and safety of an existing or planned public transportation system.

#### 804. Associated Transit Improvements (ATI's)

Per FTA Circular 9030.1E, an Associated Transit Improvement (ATI) is a project designed to enhance public transportation service or use and that is physically or functionally related to transit facilities. As defined in 5302(1), eligible ATI projects are: historic preservation, rehabilitation, and operation of historic public transportation buildings, structures, and facilities (including historic bus and railroad facilities) intended for use in public transportation service; bus shelters; landscaping and streetscaping, including benches, trash receptacles, and street lights; pedestrian access and walkways; bicycle access, including bicycle storage facilities and installing equipment for transporting bicycles on public transportation vehicles; signage; or enhanced access for persons with disabilities to public transportation.

The AVN-GY UZA has elected to make up to \$400,000 of federal 5307 monies available annually, contingent upon local match. Planning Studies and design are eligible activities. Right of way acquisition is cost prohibitive and therefore is not an eligible activity with federal funds; any right of way acquisitions will be the responsibility of the local agency(ies). Projects must have at least 60 percent design complete before they can apply for construction funds for the project.

#### 805. Capital Needs/Rolling Stock/Other

Members of the AVN-GY UZA will work collaboratively to program funds for additional needs such as capital facilities, rolling stock, planning studies, etc.

### 900. PROGRAMMING OF TRANSIT FEDERALLY FUNDED NON-TLCP PROJECTS:

Applies to Non-TLCP projects.

- a. Before federal funds may be programmed within the next two fiscal years of the TIP, the lead agency must develop a project work schedule that demonstrates a reasonable expectation of project implementation. The timeline should be consistent with the standard development timeline of federally funded projects of similar complexity.
- b. Submit a commitment letter signed by the Lead Agency (City/County/Town/Community/RPTA) manager or designee and copies of the current draft of the agency's CIP that demonstrate local funding for the project.

#### 901. PROJECT DEFERRALS

- a. **Type of action.** Project deferrals are TIP amendments.
- b. **First time deferrals.** Agencies may defer a project one time without justification. The year to be deferred to will be determined in coordination with MAG staff and will be based on the availability of federal funding in the year to be programmed, the status of the project and the minimum time needed to complete the project. Typically this will not exceed two years.

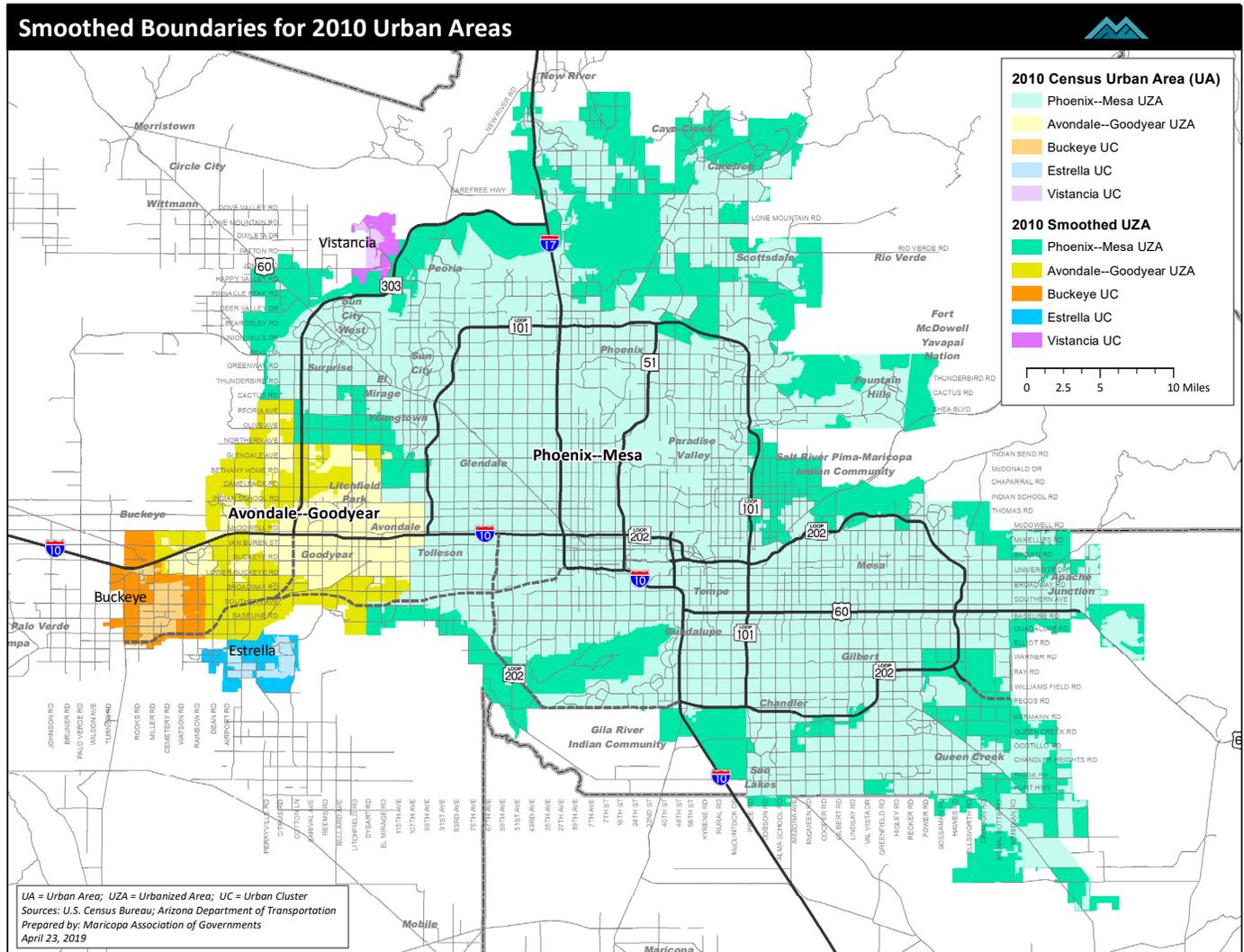
- If the project has already submitted a commitment letter and project schedule, an updated commitment letter and project schedule will be required in order to defer a project.
- c. **Approval actions for first time deferrals.** The Approval of a first time deferral will begin at the Transportation Review Committee and will include the Management Committee, the Transportation Policy Committee and the Regional Council.
  - d. **Additional deferrals.** Additional deferrals require the successful completion of the approval process identified in appeals process.

## 902. PROJECT APPEALS PROCESS

- a. **Purpose.** The purpose of the appeals process is to provide project sponsors with the opportunity to halt the deletion of projects or in cases where the project has previously been deferred, to request a second deferral for the project.
- b. **Appeals request.** To request an appeal, the project sponsor must send an e-mail or provide other written notice to MAG staff.
- c. **Appeals Schedule.** Beginning at the modal technical committee from which the project originated and proceeding through the Transportation Review Committee, the Management Committee and the Regional Council, the project sponsor will provide a presentation and written documentation supporting their appeals request. The hearing committees will then engage in a question and answer session with the project sponsor and take action on whether to approve or disapprove the request. A written record on the question and answer session, as well as the action of the committee, will be provided to all subsequent committees hearing the appeal.
- d. **Presentation Requirements.** The presentation will be provided by the member agency staff and will accomplish the following:
  - i. Identification and explanation of specific problems or issues beyond the control of the agency other than financial issues that have caused the delay (e.g., the actions of outside actors), failure to achieve a required milestone or need to defer the project.
  - ii. Demonstration of financial commitment (e.g., staff time, funds) by the agency to develop the project prior to the rescheduling or deletion decision.
  - iii. A revised schedule and plan that addresses the specific issues identified.
  - iv. If a project has been previously deferred, demonstration that the previous cause of delay has been addressed and/or explanation of why the revised approach will address the problem causing the delay.
- e. **“Beyond the control of the agency”.** For the purpose of the hearing the phrase “beyond the control of the agency” refers to actions for which a project sponsor does not have decision making authority – e.g., the actions of third parties such as utility companies, railroads, property owners, the courts, other governmental agencies; and reviewing agencies who may fail to provide timely reviews and approvals. Actions also not under the control of a sponsor also include issues that could not have been reasonably anticipated when the project was initiated such as the discovery archaeological artifacts, hazardous materials, or impacts to endangered or threatened species in areas where none of these issues had been encountered or known to exist previously.

Actions within the control of a sponsoring agency may not be used to justify an appeal. These include the allocation of funding and staff time, project management, scheduling decisions, and the coordination of the project with other projects in the agency's boundaries such as developer or other agency projects.

## MAG Smoothed Urbanized Area





VALLEYMETRO.ORG

# Transit Life Cycle Policies

Updated June 18, 2015



# TRANSIT LIFE CYCLE POLICIES

Adopted June 18, 2015

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**Guiding Principle 1:** A defined and consistent process will be established for allocating funding for projects in the Regional Transportation Plan.

### **Adopted Policies**

- a) The Transit Life Cycle Program (TLCP) will identify the roles and responsibilities for affected agencies in implementing TLCP projects.
- b) RPTA will manage the Public Transportation Fund (PTF) in accordance with ARS 48-5103 and will allocate funds for the transit projects of the Regional Transportation Plan with funds deposited in the Public Transportation Fund pursuant to ARS 42-6105.E.3.
- c) A Lead Agency will be identified for each project.
  - 1) RPTA shall be the designated Lead Agency for all bus operations projects, unless a different arrangement is agreed upon by RPTA and the impacted jurisdiction(s).
  - 2) The impacted jurisdiction(s) shall have the option to be the designated Lead Agency for all non-rail related capital projects. If a jurisdiction opts to not be the Lead Agency for a specific project, then RPTA shall be the Lead Agency for that project.
  - 3) VMR shall be the designated Lead Agency for all light rail transit (LRT) projects. VMR may also serve as the Lead Agency for other major high capacity transit projects.
- d) A Project Agreement will be developed for all projects for which RPTA is not the Lead Agency. A Project Agreement may include multiple projects or a complete program, such as for LRT.
  - 1) Lead Agency designations will be identified in Project Agreements along with Lead Agency responsibilities and appropriate performance measures for the project. The Lead Agency designations and Project Agreements must be approved by the RPTA Board of Directors. The Lead Agency must adhere to all TLCP Policies and Procedures and provide appropriate documentation to RPTA as required by the Project Agreement.
  - 2) Any Lead Agency that cannot fulfill its responsibilities may have its Lead Agency designation removed and RPTA would assume the Lead Agency responsibilities for the remainder of the project. Only the RPTA Board of Directors may make that determination.
  - 3) The Lead Agency will be responsible for all aspects of project implementation, including preparation of preliminary assessments, identification of required resources, project management and maintenance of all required documentation as specified in the project Agreement. The Lead Agency will have final approval of all aspects of project implementation including site selections, specific corridor definitions and specific facility

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designs, unless such approvals alter the scope, schedule or cost of the project as to require a Plan amendment as defined in Guiding Principle 2. Preliminary assessments will be required for all projects as follows:

- i. For bus operations projects, a Project Assessment Report that details the specific routing, headways, fleet requirements, operating contract assignment, cost estimates, fare revenue estimates, and performance expectations.
  - ii. For bus capital projects, a Design Concept Report that identifies the preliminary concept for the project, including potential site(s), size, scope and cost.
  - iii. For high capacity capital projects, Federal Transit Administration (FTA) project development reports for approved projects.
- 4) A Lead Agency must request reimbursement from RPTA by completing a “PTF Expenditure Reimbursement Request” form.
- i. Only eligible expenditures identified in the approved Project Agreement and in RPTA’s current Operating and Capital Budget may be submitted for reimbursement.
  - ii. Expenditures must have been incurred.
  - iii. Payment must have been made or payment must be due within 30 days to be eligible for reimbursement.
  - iv. Requests must be certified as to eligibility and authenticity by the Lead Agency’s Chief Executive Officer (CEO) or the CEO’s designee.
  - v. Certified requests may be made electronically with an electronic signature.
  - vi. If adequate PTF funds are available at the time of the receipt of the request, RPTA will electronically transfer the reimbursement funds to the Lead Agency within 10 business days of the request. RPTA may use financing options, such as utilizing a line of credit, to ensure that reimbursements can be made in a timely manner. Financing options will only be used with approval of the RPTA Executive Director.
  - vii. If adequate PTF funds are not available at the time of the receipt of the request, RPTA will electronically transfer the reimbursement funds to the Lead Agency in the order in which the requests are received when the funds become available.
- 5) Lead agencies other than RPTA will submit the following to RPTA for each year they receive Public Transportation Funds:
- i. One copy of the independently audited annual financial statements.
  - ii. If the project includes federal funding, one copy of the independently audited annual federal single audit report.
- e) RPTA’s Executive Director will consult with the Regional Transit Advisory Group (RTAG) to advise the Executive Director on issues regarding implementation of PTF funded transit projects in the Regional Transportation Plan. Actions taken by the RTAG will be forwarded by the Executive Director to the Transit Management Committee and Board of Directors. If

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the Executive Director does not agree with a committee recommendation, the issue will be presented to the Transit Management Committee (TMC) for discussion and both the Executive Director's and the committee's recommendations will be presented to the RPTA Board of Directors. (This change is effective October 1, 2010).

- 1) The RTAG will review and/or make recommendations on issues related to the TLCP, including but not limited to:
    1. The financial status of the program, including reasonable assumptions of revenues by source and expenditures over the life of the program,
    2. Allocation of PTF to projects and jurisdictions,
    3. Financial policies and procedures and audit results.
    4. Financing options and strategies, cost controls, and policies for managing surpluses and shortfalls in revenues,
    5. Project Assessment Reports, Design Concept Reports, Memoranda of Understanding, Project Agreements, or other technical documentation for project implementation,
    6. Proposed projects and plan changes and their impacts on the financial status to ensure the financial integrity of the program,
    7. RPTA Operating policies and procedures, contracting strategies, and vehicle specifications related to PTF funded projects,
    8. Other issues relating to the implementation of Proposition 400.
- ..
- f) RPTA shall be the owner of all capital assets purchased or constructed with monies in the Public Transportation Fund, unless a different ownership arrangement is agreed to by the impacted Agency(ies) and the RPTA.

### **Arizona Revised Statute (ARS) References**

The following Arizona Revised Statutes (ARS) govern the Regional Transportation Plan and the Transit Life Cycle Program:

#### **ARS 28-6357.B**

*The duties of the special assistant [appointed by ADOT Director] for the regional transportation plan include:*

1. *Life cycle management for the funding and programming of the regional transportation plan, including ombudsman services and oversight of gathering, analyzing, reporting, forecasting, coordinating, monitoring and executing information and programs related to the regional transportation plan.*

**ARS 28-6356.F**

*The citizens transportation oversight committee shall:*

1. *Review and advise the [ADOT] board, the governor, the director, the governing body of the regional planning agency and the board of directors of the regional public transportation authority on matters relating to all projects funded pursuant to section 42-6104 and in the regional transportation plan.*

**ARS 42-6105.E**

*The net revenues collected under this section shall be distributed and deposited as follows for use consistent with the regional transportation plan adopted under Title 28, Chapter 17, Article 1.*

**ARS 42-6105.E.3 (County Transportation Excise Tax: Distributions)**

*33.3 per cent to the public transportation fund pursuant to section 48-5103 for:*

- (a) *Capital costs, maintenance and operation of public transportation classifications.*
- (b) *Capital costs and utility relocation costs associated with a light rail public transit system.*

**ARS 48-5103.A.3 (RPTA: Public Transportation Fund)**

*A public transportation fund is established for the authority. The fund consists of:*

- 3) *Transportation excise tax revenues that are allocated to the fund pursuant to section 42-6104 or 42-6105. The board shall separately account for monies from transportation excise tax revenues allocated pursuant to section 42-6105, subsection E, paragraph 3 for:*
  - (a) *A light rail public transit system.*
  - (b) *Capital costs for other public transportation.*
  - (c) *Operation and maintenance costs for other public transportation.*

**ARS 48-5103.B**

*On behalf of the authority, the fiscal agent shall administer monies paid into the public transportation fund. Monies in the fund may be spent pursuant to or to implement the regional public transportation system plan, including reimbursement for utility relocation costs as prescribed in section 48-5107, adopted pursuant to section 48-5121 and for projects identified in the regional transportation plan adopted by the regional planning agency pursuant to section 28-6308.*

**48-5122.1 (RPTA: Board Powers and Duties)**

*The board shall:*

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*Determine the exclusive public transportation systems to be acquired and constructed, the means to finance the systems and whether to operate the systems or to let contracts for their operation.*

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Adopted June 18, 2015

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**Guiding Principle 2:** A defined and consistent process for Plan amendments and changes will be established.

### **Adopted Policies**

- a) Requests for changes in the bus transit program will be entered in the TLCP financial model and the impacts will be reviewed by the RTAG.
  - 1) A written request must be submitted for each change requested. The request will highlight the type of change (advancement, deferral, addition or deletion) and the impacts on implementation date, cost, the Transportation Improvement Program (TIP) and the RPTA Capital Improvement Program.
  - 2) All change requests will include proposed revenues by source.
  - 3) Changes will be categorized as major amendments, material changes, TIP changes or non-material changes.
- b) Major amendments will follow the process mandated in State statutes.
- c) Material changes for the transit program are defined as follows:
  - 1) Material Cost Change
    - i. Bus Capital Projects: An increase in the total cost of a project that is either 1) more than five (5) percent of the project budget developed in the Design Concept Report and greater than \$500,000; or 2) greater than \$2.5 million, whichever is less.
    - ii. Rail Capital Projects: An increase in the total cost of a project that is either 1) more than five (5) percent of the total project budget developed during Preliminary Engineering or 2) greater than \$10 million, whichever is less.
  - 2) Material Scope Change
    - i. Bus Capital Projects: A change in a project scope is considered a material change when 1) a change in project location requires an updated or new environmental assessment; 2) it adds design elements that results in a material cost change; or 3) it adds a new project not currently identified in the Regional Transportation Plan to the program.
    - ii. Bus Operating Projects: A change in a project scope is considered a material change when an alignment change outside of the adopted corridor 1) affects more than 25% of the corridor; 2) changes the directional route miles by more than 25%; or 3) adds a new project not currently identified in the Regional Transportation Plan to the program. A change in project scope is considered a material change when

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route characteristics such as frequency and span of service are adjusted such that weekly revenue vehicle miles increase by more than twenty five (25) percent.

- iii. Rail Capital Projects: A change in project scope is considered a material change when a change in project location requires a supplemental environmental impact statement.

If the material scope change is requested by a local jurisdiction and meets the definition of an enhancement, then the local jurisdiction must execute an approved Intergovernmental Agreement (IGA) and provide the necessary funding to complete the enhancement. If the material scope change is requested by the Lead Agency, the cost of the scope change, if approved, can be paid from the Public Transportation Fund (PTF) after a review through the standard committee process and with approval of the RPTA Board if it is not considered an enhancement and will not negatively impact the allocation of funds to other projects identified in the Transit Life Cycle Program.

According to ARS 28-6351, enhancement means an addition that exceeds generally accepted engineering or design standards for the specific type of facility. The Lead Agency should ensure that the design elements of each project meet generally accepted engineering or design standards adopted or accepted for general use by the Federal Transit Administration (FTA).

### 3) Material Schedule Change

- i. Bus Capital Projects: A change in the schedule developed in the Design Concept Report for the start of design, property acquisition or construction that causes: 1) completion to be delayed by more than three months or; 2) completion of the construction phase of the project to be delayed beyond the fiscal year shown in the Transit Life Cycle Program. For the purposes of this policy, completion means that the project is operational.
  - ii. Bus Operating Projects: A change in the approved implementation schedule that results in any advancement of a new route or route improvements of more than one year or deferment of a new route or route improvements of more than three years.
  - iii. Rail Capital Projects: A change that would advance or defer project completion by one or more fiscal years from the target completion identified in the TLCP.
- d) Non-material changes are defined as changes that alter the cost, scope or schedule for a project but do not meet the definitions of material change or major amendment.
  - e) Proposed changes will be forwarded by the RPTA Executive Director to the RPTA Transit Management Committee for recommendation and to the RPTA Board of Directors for approval. Non-material changes do not require any further action.
  - f) Changes to the Regional Transportation Plan that are major amendments, material changes or changes that require an amendment to the TIP are not final until they have been adopted by the Maricopa Association of Governments Regional Council.

## Arizona Revised Statute (ARS) References

The following Arizona Revised Statutes (ARS) govern changes to the Regional Transportation Plan (RTP) in two general categories, Major Amendments and Other Amendments.

### MAJOR AMENDMENTS

#### ARS 28-6301.7

"Major amendment" means either:

- (a) The addition or deletion of a freeway, route on the state highway system or a fixed guideway transit system.
- (b) The addition or deletion of a portion of a freeway, route on the state highway system or a fixed guideway transit system that either exceeds one mile in length or exceeds an estimated cost of forty million dollars as provided in the regional transportation plan.
- (c) The modification of a transportation project in a manner that eliminates a connection between freeway facilities or fixed guideway facilities.

#### ARS 28-6353

- A. The regional planning agency in the county [MAG] shall approve any change in the regional transportation plan and the projects funded in the regional transportation plan that affect the planning agency's transportation improvement program, including project priorities.
- B. Requests for changes to transportation projects funded in the regional transportation plan that would materially increase costs shall be submitted to the regional planning agency for approval and submitted by the regional planning agency to the [ADOT] board for approval.
- C. If a local authority requests an enhancement to a transportation project funded pursuant to the regional transportation plan, the local authority shall pay all costs associated with the enhancement.
- D. The process prescribed in subsection E of this section is required if:
  1. An audit finding pursuant to section 28-6313 recommends that a project or system in the regional transportation plan is not warranted or requires a modification that is a major amendment as defined in section 28-6301.
  2. The transportation policy committee recommends to the regional planning agency a modification of the regional transportation plan that is a major amendment as defined in section 28-6301.

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- E. A major amendment requires the following:*
- 1. Consideration by the transportation policy committee of alternatives in the same modal category that will relieve congestion and improve mobility in the same general corridor addressed by the originally planned project or system.*
  - 2. If a reasonable option is identified as an alternative for the originally planned project or system, the transportation policy committee shall submit the proposed amendment for review by the regional public transportation authority in the county, the state board of transportation, the county board of supervisors, Indian communities, cities and towns in the county and the citizens transportation oversight committee. After reviewing the proposed amendment, the board of directors of the regional public transportation authority, the state board of transportation and the county board of supervisors, by a majority vote of the members of each board within thirty days after receiving the proposed amendment, shall submit a written recommendation to the transportation policy committee that the proposed amendment be approved, modified or disapproved. Within thirty days after receiving the amendment, the citizens transportation oversight committee and the Indian communities, cities and towns may also submit written recommendations to the transportation policy committee that the proposed amendment be approved, modified or disapproved.*
  - 3. If no reasonable option for an alternative to the originally planned project or system is identified, the transportation policy committee shall submit an amendment to delete the original project for review by the regional public transportation authority, the state board of transportation, the county board of supervisors, Indian communities, cities and towns in the county and the citizens transportation oversight committee. After reviewing the proposed amendment the board of directors of the regional public transportation authority, the state board of transportation and the county board of supervisors, by a majority vote of the members of each board within thirty days after receiving the proposed amendment, shall submit a written recommendation to the transportation policy committee that the proposed amendment be approved, modified or disapproved. Within thirty days after receiving the proposed amendment, the citizens transportation oversight committee and Indian communities, cities and towns in the county may also submit written recommendations to the transportation policy committee that the proposed amendment be approved, modified or disapproved.*
  - 4. The transportation policy committee must consider any written recommendations submitted by any of the reviewing entities as prescribed by paragraph 2 or 3 of this subsection.*
  - 5. The transportation policy committee shall recommend approval, disapproval or modification of the proposed amendment to the regional planning agency for consideration.*

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- F. The affirmative vote of seventeen members of the transportation policy committee is required to approve and proceed with either of the following:*
- 1. Recommendation of a major amendment to the regional planning agency that fails to receive approval of either the regional public transportation authority in the county, the state board of transportation or the county board of supervisors as prescribed in this section.*
  - 2. A transportation project or system that is found to be unwarranted by an audit as prescribed in this section.*

**ARS 28-6356.F.2**

*The citizens transportation oversight committee shall:*

*Review and make recommendations regarding any proposed major amendment of the regional transportation plan by the governing body of the regional planning agency pursuant to section 28-6353.*

**OTHER AMENDMENTS****ARS 28-6308.B**

*Through the regional planning agency, the transportation policy committee shall:*

- 1. By a majority vote of the members, recommend approval of a twenty year comprehensive, performance based, multimodal and coordinated regional transportation plan in the county, including transportation corridors by priority and a schedule indicating the dates that construction will commence for projects contained in the plan.*
- 2. Develop the plan in cooperation with the regional public transportation authority in the county and the department of transportation and in consultation with the County Board of Supervisors, Indian communities, and cities and towns in the county.*
- 3. Submit the plan for review by the regional public transportation authority in the county, the state board of transportation, the county board of supervisors, Indian communities and cities and towns in the county at the alternatives stage of the plan and the final draft stage of the plan. After reviewing the plan, the regional public transportation authority in the county, the county board of supervisors and the state board of transportation, by majority vote of the members of each entity within thirty days after receiving the plan, shall submit a written recommendation to the transportation policy committee that the plan be approved, modified or disapproved. Within thirty days after receiving the plan, Indian communities and cities and towns in the county may submit a written recommendation to the transportation policy committee that the plan be approved, modified or disapproved.*

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4. Consider plan modifications proposed by any of the entities as prescribed in paragraph 3 of this subsection.
5. By majority vote, approve, disapprove or further modify each proposed plan modification.
6. Provide a written response to the regional public transportation authority, the state board of transportation, the county board of supervisors and the entity that submitted the proposed modification within thirty days after the vote on the proposed modification explaining the affirmation, rejection or further modification of each proposed modification.
7. Recommend the plan to the regional planning agency for approval for an air quality conformity analysis.

**ARS 28-6351.2**

*"Enhancement" means an addition that exceeds generally accepted engineering or design standards for the specific type of facility.*

**ARS 48-5121.D**

*If the plan includes a rail component and if the [RPTA] board adopts estimates of capital and maintenance and operation costs of the rail system, each member municipality in which the rail system is constructed shall pay to the public transportation fund amounts by which the actual capital, maintenance and operation costs exceed the estimated costs by more than fifteen per cent, computed in constant dollars. The excess costs shall be allocated among the affected member municipalities according to the proportion of the rail system facilities that are located in each municipality. The affected member municipalities shall:*

1. *Pay the monies from their respective general funds to the public transportation fund in the fiscal year following the fiscal year in which the excess costs were incurred.*
2. *Not pay to the public transportation fund under this subsection monies that it received from any source pursuant to title 28.*
3. *Not reduce its support of transportation projects funded by any source pursuant to title 28 in order to make payments under this subsection.*

**ARS 48-5121.E**

*The [RPTA] board may modify the regional public transportation system plan to reflect changes in population density or technological advances in the approved public transportation modes. A majority of the members of the board voting at a public hearing called for that purpose must approve a modification to the plan.*

**Guiding Principle 3:** Funding allocations will be regularly monitored and managed.

### Adopted Policies

- a) The split between transit and non-transit programs is a legal firewall (ARS 42-6105.E and 28-6308.D).
- b) The split between bus and rail (56.76% bus, 43.24% rail) is a defined allocation which can only be changed through a major amendment or material change (see Guiding Principle 2). Funds for rail will be managed by RPTA and reimbursed to Valley Metro Rail, Inc. (VMR) pursuant to Guiding Principle 1.d)4.
- c) The split between bus transit operations, including paratransit and regional services, and bus capital is a flexible allocation which will be managed in accordance with the adopted annual budget by RPTA staff and monitored at least annually by the RTAG .
- d) Inflation will occur throughout the TLCP. The original project budgets listed in the 2003 approved RTP were expressed in 2002 dollars. The annual update of the TLCP will require that the project budgets be adjusted to account for the past year's inflation.
  - 1) The regional funding specified in the original RTP for a project will be adjusted annually for inflation. Forecasted inflation for future costs will be differentiated between short term (3 years) and long term rates.
    - i. Short term rates will use the following categories and be based on recent experience and/or published forecasts:
      - 1. Transit vehicle costs will be adjusted using the Producer Price Index, Total Manufacturing Industries.
      - 2. Capital facilities construction costs will be adjusted using the Engineering News Record Construction Cost Index.
      - 3. Operating costs will be based on the average increase in regional operating rates for the previous five years, taken from the Regional Transit Performance report. Known increases based on existing contracts will be considered.
      - 4. Other costs will be based on the All Goods United States Consumer Price Index (CPI).
    - ii. Long term rates will be used for all categories beginning in the fourth year of planned expenditures and will be based on Consumer Price Index history.

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- e) Regional services will be fully funded by the Public Transportation Fund. An annual review of the regional services program and budget will be completed in cooperation with member agencies to ensure that only appropriate expenditures are included. The RTAG will review budget requests and advise the Executive Director as to the appropriateness of the requests.
- f) ADA Complementary Paratransit expenses will be funded by the Public Transportation Fund (PTF) in the amount identified in the most recently adopted TLCP financial model. The ADA Certification program and Mobility Center will be fully funded with PTF.
- g) If there is a surplus or deficit of revenues versus expenditures in the TLCP financial model updated with the most recent forecast of revenues, project changes will be determined by the following method during the subsequent update to the TLCP financial model:
  - a. Available excise tax revenues will be allocated to jurisdictions based on Table A in Guiding Principle 6,
  - b. Jurisdictions will be provided with cost estimates for the projects in their jurisdictions,
  - c. Jurisdictions will prioritize their projects based on current needs,
  - d. RPTA staff will compile the priorities and meet with the jurisdictions individually, in sub-regional groups and/or as a whole to negotiate changes based on submitted priorities.
  - e. The proposed changes will be approved through the standard committee process.

### **Arizona Revised Statute (ARS) References**

The following Arizona Revised Statutes (ARS) govern the funding allocations of the Proposition 400 sales tax monies:

#### **ARS 42-6105.E**

*The net revenues collected under this section shall be distributed and deposited as follows for use consistent with the regional transportation plan adopted under title 28, chapter 17, article 1:*

1. *56.2 per cent to the regional area road fund pursuant to section 28-6303 for freeways and other routes in the state highway system, including capital expense and maintenance.*
2. *10.5 per cent to the regional area road fund pursuant to section 28-6303 for major arterial streets and intersection improvements, including capital expense and implementation studies.*
3. *33.3 per cent to the public transportation fund pursuant to section 48-5103 for:*
  - (a) *Capital costs, maintenance and operation of public transportation classifications.*

- (b) *Capital costs and utility relocation costs associated with a light rail public transit system.*

**ARS 28-6308.D**

*Transportation excise tax revenues that are distributed pursuant to section 42-6105, subsection E shall not be redistributed or used for other transportation modes. Except as provided by section 28-6353, subsections D, E and F, transportation excise tax revenues that are dedicated in the plan to a specific project or transportation system may only be redistributed to or otherwise used for another project within the same transportation mode if approved by a majority vote of the transportation policy committee.*

**Guiding Principle 4:** A defined and consistent process will be established to ensure that legislated compliance audit, reporting and performance requirements are met.

### Adopted Policies

- a) Performance and cost control measures will be established, maintained, and reported for the transit system and for Public Transportation Fund funded projects. Project Agreements will identify performance measures and standards for each project.
- b) Plan elements will be implemented in accordance with expected performance measures, where defined, subject to annual internal reviews and five-year performance audit findings.
- c) The Regional Public Transportation Authority will ensure that compliance audit and reporting requirements are met.
- d) All Lead Agency records pertaining to a Plan project will be subject to audit for compliance, financial or legislative purposes as determined by law or by RPTA. A Lead Agency will maintain adequate financial records and supporting documentation and will make them available to RPTA and RPTA's auditors when requested. While not a complete list, potential audits may include:
  - 1) Legislatively mandated compliance and performance audits.
  - 2) Certified "PTF Expenditure Reimbursement Request" audits for compliance with Transit Life Cycle Program policies and procedures.
  - 3) RPTA Board audit requests.

### Arizona Revised Statute (ARS) References

The following Arizona Revised Statutes (ARS) govern the performance and compliance responsibilities of RPTA.

#### **ARS 28-6313**

- A. *Beginning in 2010 and every fifth year thereafter, the auditor general shall contract with a nationally recognized independent auditor with expertise in evaluating multimodal transportation systems and in regional transportation planning to conduct a performance audit, as defined in section 41-1278, of the regional transportation plan and projects scheduled for funding during the next five years.*

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- B. With respect to light rail systems, the audit shall consider the criteria used by the federal transit administration pursuant to 49 United States Code section 5309(e)(1)(B) and the interrelationship among the criteria to provide federal funding for light rail systems. For light rail systems, the audit shall also consider:*
- 1. Service levels.*
  - 2. Capital costs.*
  - 3. Operation and maintenance costs.*
  - 4. Transit ridership.*
  - 5. Farebox revenues.*
- C. The audit shall:*
- 1. Examine the regional transportation plan and projects scheduled for funding within each transportation mode based on the performance factors established in section 28-505, subsection A, in the context of the transportation system.*
  - 2. Review past expenditures of the regional transportation plan and examine the performance of the system in relieving congestion and improving mobility.*
  - 3. Make recommendations regarding whether further implementation of a project or transportation system is warranted, warranted with modifications or not warranted.*
- D. The auditor general or the auditors contracted to conduct the audit shall periodically update the transportation policy committee regarding the progress of the audit.*
- E. Within forty-five days after the release of the audit, the regional public transportation authority, the citizens transportation oversight committee, the state transportation board and the county board of supervisors, by a majority vote of each entity, shall submit written recommendations to the transportation policy committee that the findings are agreed to or disagreed with and the recommendations should be implemented, implemented with modification or not be implemented.*
- F. Within forty-five days after the audit's release, the regional planning agency shall hold a public hearing on the audit findings and recommendations.*
- G. The auditor general shall distribute copies of the audit to:*
- 1. The regional planning agency.*
  - 2. The transportation policy committee.*
  - 3. The citizens transportation oversight committee.*
  - 4. The regional public transportation authority in the county.*
  - 5. The county board of supervisors.*
  - 6. The state transportation board.*

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7. *The governor, secretary of state, president of the senate and speaker of the house of representatives.*
  8. *The Arizona state library, archives and public records.*
  9. *Any other person who requests a copy pursuant to title 39, article 2.*
- H. The state transportation board, regional planning agency, regional public transportation authority and county board of supervisors shall cooperate with and submit to the auditor general and the auditors contracted to conduct the audit information necessary to conduct the audits under this section.*
- I. The cost incurred by the auditor general in contracting with independent auditors for conducting performance audits under subsection A of this section shall be paid from revenues of the county transportation excise tax under section 42-6105. When due, the payments have priority over any other distribution authorized by section 42-6105. The auditor general shall deposit the payments in the audit services revolving fund established by section 41-1279.06. The state transportation board, regional planning agency, regional public transportation authority and county board of supervisors shall cooperate with and submit to the auditor general and the auditors contracted to conduct the audit information necessary to conduct the audits under this section.*

**ARS 28-6356.F**

*The citizens transportation oversight committee shall:*

1. *Review and advise the [ADOT] board, the governor, the director, the governing body of the regional planning agency and the board of directors of the regional public transportation authority on matters relating to all projects funded pursuant to section 42-6104 or 42-6105 and in the regional transportation plan.*
2. *Review and make recommendations regarding any proposed major amendment of the regional transportation plan by the governing body of the regional planning agency pursuant to section 28-6353.*
3. *Annually review and comment on the criteria developed pursuant to section 28-6354, subsection B.*
4. *Hold public hearings and issue public reports as it deems appropriate.*
5. *Annually contract with an independent auditor who is a certified public accountant to conduct a financial compliance audit of all expenditures from the regional area road fund and the public transportation fund and receive the auditor's report. The department shall reimburse the committee for the cost of this audit from the highway user revenue fund pursuant to section 28-6538, subsection B, paragraph 1.*
6. *In consultation with the auditor general, set parameters for the performance audit prescribed in section 41-1279.03, subsection A, paragraph 6 in the county, review*

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*the results of the auditor general's performance audit and make recommendations to the regional planning agency, the regional public transportation authority, the department, the speaker of the house of representatives, the president of the senate and the governor.*

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Adopted June 18, 2015

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**Guiding Principle 5:** Budgeting and accounting systems will be established to manage Public Transportation Funds and monitor and report results.

### **Adopted Policies**

- a) Systems will be maintained in conformance with generally accepted accounting principles and standards of the Governmental Accounting Standards Board and the Government Finance Officers Association.
- b) An annual financial statement audit and an audit of all Federal financial assistance revenue will be performed by an independent public accounting firm.
- c) Current operating revenues will be sufficient to support current operating expenditures.
- d) Current operating expenditures will not be funded by debt issuances or loans.
- e) Federal and State grant revenue should be considered to leverage the program. Inconsistent, one time and/or fluctuating grants should not be used to fund ongoing programs.
- f) Financial systems will be maintained to monitor revenues, expenditures and departmental performance on an ongoing basis.
- g) Long range (five year) revenue and expenditure forecasts will be prepared annually to examine RPTA's ability to finance future operating costs and capital improvements and to assess the impact of changes in the economy and changing service demands on current operations.
- h) Cash and investment programs will be maintained in accordance with an adopted investment policy and funds will be managed in a prudent and diligent manner with an emphasis on safety of principal, liquidity and return on principal, in that order.
- i) A five-year capital improvement program will be developed and updated annually, including anticipated funding sources.
- j) Capital improvement financing should not exceed the useful life of the asset constructed or purchased with the average (weighted) bond/loan maturities at or below ten years.

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- k) An Unreserved/Undesignated General fund balance equal to at least 45 days of current budgeted operating expenditures will be maintained.
- l) A Reserve for Debt Service may be maintained in order to ensure the repayment of existing debt obligations, as identified in the adopted Master Resolution for Transportation Excise Tax Revenue Bonds.
- m) Contingency appropriations to be determined annually will be maintained to offset unanticipated revenue shortfalls and/or unexpected expenditure increases. Contingency appropriations may also be used for unanticipated and/or inadequately budgeted events threatening the public health or safety.
- n) A reserve for bus refurbishment will be established for the rehabilitation of major components of fleet that has reached mid-life. The reserve will be funded with PTF and the amount deposited in the reserve will be determined annually based on fleet age and size.
- o) RPTA shall calculate and distribute annually estimates of PTF expenditures by project and jurisdiction and shall reconcile those costs after each fiscal year. Reconciled costs shall be distributed to jurisdictions no later than October 31 for the previous fiscal year and cumulative to date.

**Arizona Revised Statute (ARS) References**

The following Arizona Revised Statutes (ARS) govern the fiduciary responsibilities of RPTA.

**ARS 48-5122.2**

*The [RPTA] board shall adopt an annual budget and fix the compensation of its employees.*

**ARS 48-5122.4**

*The [RPTA] board shall cause a postaudit of the financial transactions and records of the board to be made at least annually by a certified public accountant.*

**Guiding Principle 6:** Jurisdictional equity will be maintained.

**Adopted Policies**

- a) Jurisdictional equity applies to transportation excise tax revenues collected pursuant to ARS 42-6105 and expended through the Public Transportation Fund (PTF).
- b) Jurisdictional equity is the percent share of expected PTF revenues allocated to each jurisdiction over the 20-year life of the regional transit program as listed in Table A – Jurisdictional Equity Allocation.
- c) The RTAG will review the TLCP financial model at least annually and make recommendations to maintain jurisdictional equity over the 20 year life of the program based on the following parameters:
  - a. Jurisdictional equity will be maintained by sub-region, with each sub-region not to exceed  $\pm 2.5\%$  of allocated transportation excise tax revenues.
  - b. No individual jurisdiction may be under allocated by more than \$7.5 million without that jurisdiction's expressed consent.
- d) Expenditures for activities that are regional in nature will not be counted as part of the jurisdictional equity calculation and include Regional Services, ADA Certification and Mobility Center costs, capital financing costs and RPTA planning and administration costs. (This change will be effective when the Mobility Center begins operation).
- e) Jurisdictional allocations will be based on cost allocations for projects according to the following parameters:
  - a. Supergrid, local and arterial bus rapid transit services will be allocated based on the net PTF subsidy. Costs will be calculated using actual contract rates for fiscal years 2006 through 2016. Costs will be calculated using average contract rates for fiscal years 2017 through 2026. Costs then will be allocated to jurisdictions on a mileage basis and fares allocated based on ridership.
  - b. Express and freeway bus rapid transit services will be allocated on the net PTF subsidy. Costs will be calculated using actual contract rates for fiscal years 2006 through 2016. Costs will be calculated using average contract rates for fiscal years 2017 through 2026. Costs then will be allocated to jurisdictions on a mileage basis for jurisdictions in which there are boarding/alighting locations and fares will be allocated based on ridership.
  - c. Rural routes are allocated to Maricopa County based on the PTF subsidy.
  - d. All capital facilities are allocated to the jurisdiction in which they are located based on the PTF contribution. Additionally, depreciation of the cost of

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- Operations and Maintenance Facilities, excluding any FTA federal share, will be included in the operating rates charged for service. (This policy will be effective July 1, 2011 unless current practice)
- e. Fixed route fleet costs are allocated to the agency operating the fleet. The costs will be included in the operating rates charged for service, excluding any FTA federal share. (This policy will be effective July 1, 2011 unless current practice)
  - f. Paratransit fleet costs are allocated to the jurisdictions for which the vehicles were purchased based on the PTF contribution. If the vehicles were purchased for a sub-regional service, the costs are further allocated based on the distribution of revenue hours by jurisdiction within that sub-regional service.
  - g. Rural fleet costs are allocated to Maricopa County based on the PTF contribution.
  - h. Vanpool fleet costs are considered regional and therefore not allocated to jurisdictions.
- f) For the light rail program the primary goal will be to implement the entire program as defined in the Regional Transportation Plan. If there is a surplus of light rail funds, these funds may be utilized for rail equipment and facility modernization and upgrades.
- g) A jurisdiction with a light rail/high capacity transit project in the current TLCP may request that a portion of its bus PTF jurisdictional equity allocation be transferred to supplement capital funding for such light rail/high capacity transit project provided that:
- a. The transfer of funds does not cause the sub-regional jurisdictional equity to be out of balance, (as defined in policy c); and
  - b. The requesting jurisdiction reduces funding for other bus program projects in the amount of the transfer to the rail program to ensure its jurisdictional equity does not become negative; and
  - c. The transfer of funds does not result in a reduction of regional or cross-jurisdictional bus service, unless such reduction is a result of Board-approved performance-based service changes completed through the Short Range Transit Program; and
  - d. If the transfer of funds is completed over time resulting in an increased need for financing the rail program, additional funds will be transferred from the requesting jurisdiction to pay the incremental finance costs.
  - e. Each succeeding update to the TLCP will review and confirm the provisions of policy g) are upheld.

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Table A –Jurisdictional Equity Allocation

Jurisdiction	Bus PTF % Share
Avondale	1.538%
Buckeye	0.073%
Carefree	0.000%
Cave Creek	0.000%
Chandler	9.463%
El Mirage	0.226%
Fountain Hills	0.085%
Gila Bend	0.136%
Gilbert	6.117%
Glendale <sup>(2)</sup>	5.679%
Goodyear	0.259%
Guadalupe	0.007%
Litchfield Park	0.227%
Maricopa County <sup>(1)</sup>	0.652%
Mesa	19.441%
Paradise Valley	0.535%
Peoria	2.217%
Phoenix	31.735%
Queen Creek	0.061%
Scottsdale	10.407%
Surprise	0.232%
Tempe	10.564%
Tolleson	0.308%
Wickenburg	0.022%
Youngtown	0.016%
<b>Total</b>	<b>100.000%</b>
<b>West Valley</b>	<b>11.585%</b>
<b>Central Valley</b>	<b>31.735%</b>
<b>East Valley</b>	<b>56.680%</b>

(1) Includes Gila River Indian Community and Salt River Pima-Maricopa Indian Community

(2) The Glendale Avenue Adjustment is incorporated into the policy percentages.

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### **Arizona Revised Statute (ARS) References**

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There are no statutory requirements related to this Guiding Principle.

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Adopted June 18, 2015

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**Amendments to Policies and Procedures****Adopted Policies**

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- a) Member agencies and RPTA staff may submit to the RPTA Executive Director suggestions for new provisions, additions and revisions to the TLCP Policies and Procedures.
- b) Recommended changes to policies and procedures will follow the standard RPTA committee process.
- c) The RPTA Executive Director is authorized to approve procedural changes.
- d) The RPTA Board of Directors must approve policy changes.

Casa Grande Resolves  
A Brief History & Background  
Eric Anderson, Executive Director  
Maricopa Association of Governments  
September 28, 2018

### **The Setting**

Transportation planners from around Arizona met in Casa Grande on April 29-30, 1999, to examine the transportation planning and programming process and to reach a consensus on potential improvements. The gathering in Casa Grande was the latest in a series of such forums that started in August 1993 to facilitate better communications, build a mutual understanding of issues and processes, and improve relationships. The meeting in Casa Grande was called by ADOT Director Mary Peters to convene the transportation planning community from the Councils of Governments, Metropolitan Planning Organizations, and the Arizona Department of Transportation.

There was extensive discussion over the two days about the processes used to develop long range transportation plans and transportation improvement programs across the state. In particular, the relationship between local plans and programs, and ADOT's plan and program were discussed. The major elements of each process were reviewed and charted, with recommendations made to enhance coordination during the preparation of the plans. A primary concept that was developed during the mapping included the recommendation that all entities would use a common set of assumptions, such as the overall forecast of state and federal funds. A major point of the continuing discussion included how transportation funding was being distributed within the state. When the Transportation Efficiency Act for the 21<sup>st</sup> Century (TEA-21) was passed by Congress in 1998, additional federal highway funding was available in Arizona; this enhanced the need to provide a shared understanding for how these funds were assigned across the state, and to increase the collaboration among the stakeholders regarding these allocations.

### **Casa Grande Resolves Guiding Principles**

On the last day of the meeting on April 30, 1999, the Casa Grande Resolves document was signed. The group agreed to a set of overall guiding principles that were memorialized as part of the Casa Grande Resolves:

- One multimodal transportation planning process for each region that is seamless to the public; includes early and regular dialogue and interaction at the state and regional level; and recognizes the needs of state, local and tribal governments, and regional organizations.
- Process that encourages early and frequent public participation and stakeholder involvement and that meets the requirements of TEA-21 and other state and federal planning requirements.
- The policy and transportation objectives of the state, regional and local plans will form the foundation of the Statewide Long Range Transportation Plan.
- The Statewide Transportation Plan and Programs will be based on clearly defined and agreed-to information and assumptions, including the resources available, performance measures, and other technical information.
- Each project programmed shall be linked to the Statewide Long Range Transportation Plan, with each project selected to achieve one or more of the Plan objectives, and the program represents an equitable allocation of resources.

- Implementation of the Plan and Program shall be monitored using a common database of regularly updated program information and allocations.
- There is a shared responsibility by state, local and tribal governments, and regional organizations to ensure that Plan and Program implementation meets the transportation needs of the people of Arizona.

#### **Resource Allocation Advisory Committee**

Another major recommendation from the meeting was to establish the Resource Allocation Advisory Committee (RAAC) at ADOT that would make recommendations to the ADOT Director on the appropriate allocation of ADOT discretionary funding. This is the funding that remains after ADOT makes its debt service payments, pays operating and other expenses, and makes statutory and policy-mandated allocations. This funding is allocated to ADOT projects through the Five-Year Highway Construction Program that the State Transportation Board approves in June of each year.

The composition of the RAAC is:

- ADOT Deputy Director, Chair
- ADOT Director of Planning
- ADOT Chief Financial Officer
- ADOT State Engineer
- 2 TMA Directors (MAG & PAG)
- 2 MPO/COG Directors
- 1 TMA Transit Director (from MAG or PAG)

Leading up to the Casa Grande Resolves meeting, the Maricopa Association of Governments' analysis of the ADOT Five-year Highway Construction program found that the MAG region was allocated just over 10 percent of the program in the 1990s. It was believed at the time that this was because funding from the region's Proposition 300 sales tax was building new freeways in Maricopa County, and state funding could be allocated to other parts of the state. This penalized voters in Maricopa County for taking the initiative to tax themselves. This was unacceptable.

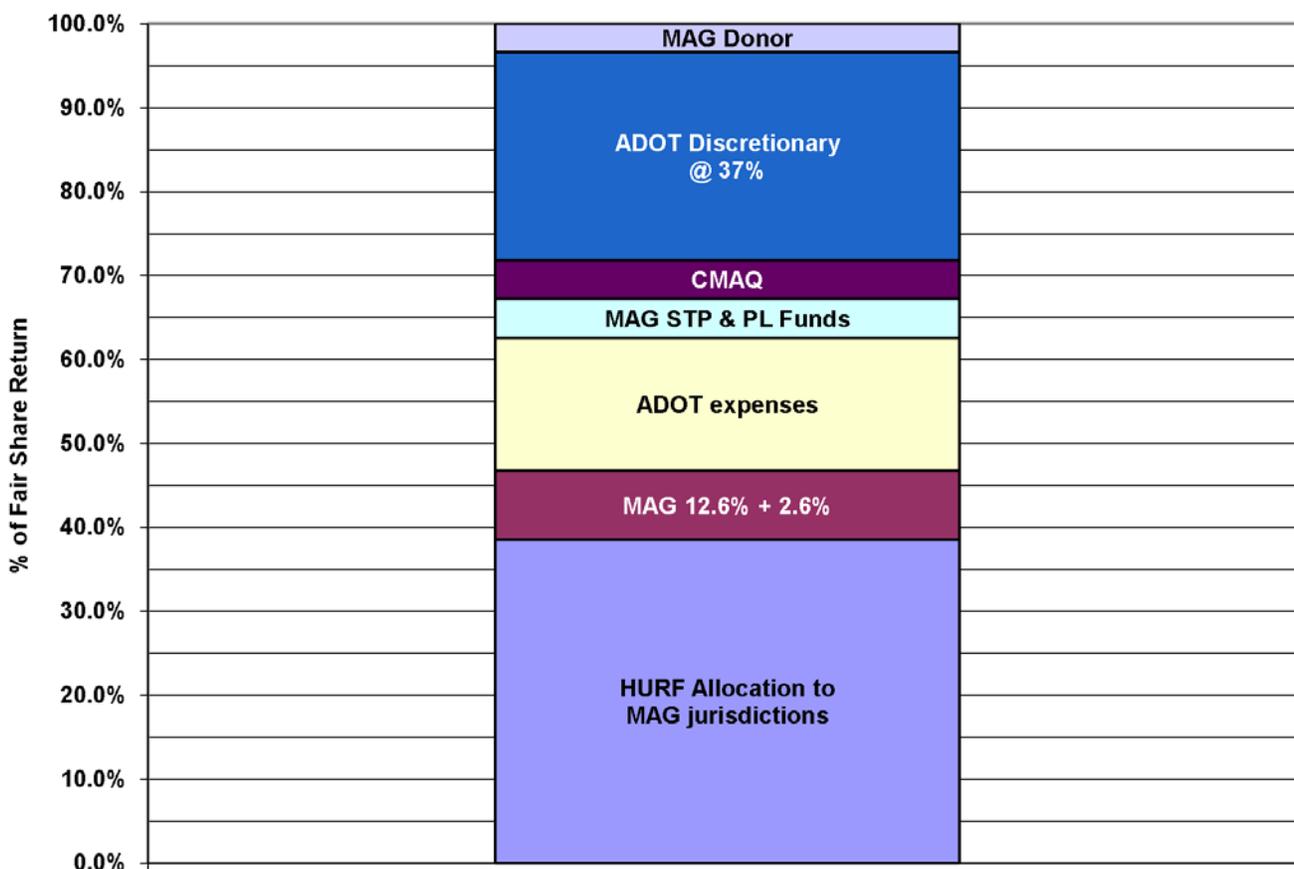
#### **Fair Share Analysis**

This finding prompted a "fair share analysis" of highway funding in Arizona. The fair share analysis was one of the key discussion points of the Casa Grande meeting and for the initial RAAC meetings. Working with John McGee, ADOT's Chief Financial Officer at the time, and staff from the Pima Association of Governments, a fair-share framework was developed. The concept was to determine how much of the Arizona Highway User Revenue Fund (HURF) revenues and the national highway trust fund revenues were being paid by the citizens of Maricopa County. This was then compared to funding that was being provided to the MAG region from these sources. Note that this analysis included the ADOT expenses related to operations and maintenance of the highway system in Maricopa County and the expenses related to ADOT administrative operations in the county.

To help understand one of the foundational elements of the fair share analysis, the graphic below might be useful. The chart shows how tax dollars coming from Maricopa County come back to the county from various sources. Moving from the bottom to the top of the chart, the first element was the allocation of the Arizona Highway User Revenue Fund (HURF) to cities and towns in Maricopa County, as well as the County itself. The next element is the allocation of ADOT funding directly to the MAG and PAG regions. This comprised the 12.6 percent funds that are

allocated per Arizona Revised Statute (A.R.S. 28-6538 (B)) and the 2.6 percent allocation according to State Transportation Board policy. The third element includes the direct expenditures of ADOT funds related to the ADOT administrative functions in Maricopa County. The fourth component is the allocation of federal highway administration funds in the form of Surface Transportation Program (STP, now Surface Transportation Block Grant Program (STPBG) funds) and federal highway planning funds.

The last major allocated element is for the Congestion Mitigation and Air Quality (CMAQ) funds allocated to Arizona. The agreement made at the time was that the MAG region would be allocated all of the CMAQ funds in Arizona. This was because the allocation of CMAQ funds from the federal level to Arizona used a formula that included the population in non-attainment areas only in Maricopa County and not statewide. In addition, MAG would also be responsible for all of the reporting requirements that are associated with CMAQ funding.



The remaining balance indicated at the top of the chart is the remaining five percent of the MAG fair share over and above the 37 percent RAAC allocation that is available for state highway projects outside of the MAG region.

**RAAC Meetings and Process**

The RAAC met for the first time on June 10, 1999. Over the course of the next few months, a number of RAAC meetings were held to discuss the various issues related to the allocation of highway funds in Arizona. The RAAC discussed seven resource allocation methodologies. These included the procedures used by the U.S. DOT to allocate funds to all states; a method based on the origin of the tax funds; a regional need indicator; and a number of methodologies based on modifications of these. No single methodology was satisfactory to all RAAC members. Using these methods, the allocation to the combined MAG and PAG regions ranged from 40.4 percent to 67.7 percent.

The RAAC determined that the allocation methods suggested that about one-half of the ADOT discretionary funding should be allocated to the MAG and PAG regions. In addition, the allocation for the MAG region would be 37 percent and 13 percent for the PAG region. In reaching consensus, the RAAC adopted the following 10 findings:

1. Transportation needs throughout Arizona far exceed available revenues.
2. The 20-year Statewide Long-Range Plan, after it is completed and adopted, should be the primary tool driving a defined methodology for allocation.
3. The methodology used by the RAAC for the FY 2005 revenue allocation is an interim procedure.
4. A review of ADOT's past transportation expenditures and program allocations indicates that an increase allocation for the two urban counties is reasonable.
5. The urban share of the proposed 50-50 urban-rural allocation of state resources includes an average of \$50 million per year committed to complete acceleration of the MAG Regional Freeway System.
6. The rural transportation needs resulting from high recreational and commercial travel is significant. Its low population and extensive public land ownership requires financial support for the transportation investments from the urban areas.
7. Pavement preservation is a vital program for preservation of the state highway system. The resources allocated to Pavement Preservation must be standards-based. The performance of the system should be evaluated based on these standards and allocations adjusted as required.
8. Revenue allocations for the urban and rural areas may vary from year to year because of the high priority projects, but will reach the desired balance over time.
9. The estimated allocations to Maricopa and Pima Counties includes estimates for all lump sum categories.
10. If state or federal transportation revenues change materially during the annual transportation program update, the RAAC should review the impact of these changes on the existing allocations. Significant consideration will be given to reaching agreed upon allocation share.

At the RAAC meetings each year, ADOT presents financial information for the new "5<sup>th</sup> year" of the Five-Year Highway Construction program. The information includes revenues to the State Highway Fund from HURF, projections of federal highway funds, debt service payments, and ADOT expenses for staff and overhead. Based on this information, the total funding available for the new year of the program is determined. The committee then discusses the allocation of this funding to MAG, PAG and the balance of the state.

The RAAC has made a number of refinements to the allocation method over the years; however, the percentage allocations have remained at their original levels of 37 percent for MAG, 13 percent for PAG and 50 percent for the balance of the state. One refinement was to have some programs taken "off-the-top" before the allocations are made. These include programs such as the ports of entry, risk management, bridge inspection and repair, legislative services, and other programs that are not associated with specific highway projects.

Another refinement was related to the various subprograms, such as pavement preservation. For this subprogram as well as some others, a lump sum amount is programmed in the out years of the five-year program. Actual pavement preservation and other types of subprogram projects are usually just before the next fiscal year or during the current fiscal year. Therefore, there has to be a reconciliation of the RAAC allocation recommendations and the actual location of these projects after they are identified and completed. ADOT prepares an analysis of the distribution of these projects and uses a three-year moving average of the subprogram amounts to determine

how much of the allocation to the MAG, PAG and other 13 counties will be set aside for the ADOT subprograms. The difference between the total RAAC allocation and the subprogram set-aside determines the amount of funding available for major projects in each region.

One suggestion to the RAAC process would be the compilation of a report that documents the RAAC recommendations over time. Although the data available during the RAAC deliberations each year is adequate, having an annual report that presents all of the data in a historical format would be helpful. In addition, the report could include the reconciliation of the RAAC recommendations with the actual expenditures.

In 2004, Arizona State Revised Statutes were changed to incorporate the MAG Regional Transportation Plan and the funding that represented the investment plan for the ballot measure to extend the half-cent sales in Maricopa County. A.R.S. 28-304 (C) was modified to include the language highlighted in italics below:

C. The board shall:

1. Establish policies to guide the development or modification of the five year transportation facilities construction program that are consistent with the principles of performance based planning developed pursuant to article 7 of this chapter. *The percentage of department discretionary monies allocated to the region in the regional transportation plan approved pursuant to chapter 17, article 1 of this title shall not increase or decrease unless the board, in cooperation with the regional planning agency, agrees to change the percentage of the discretionary monies.*

### **Summary**

The funding problem in Arizona is related to the fact that Arizona Highway User Revenue Fund (HURF) revenues in general have not be changed since 1991--the last time the gas tax was changed. Forty-five other states have increased their state gas tax since that time. The diversion of HURF revenues also has reduced the funding available for highway and street maintenance and improvements. Arizona is currently 15 cents below the national gas tax average, and only four states have gone longer without changes to the gas tax. The 15-cent increase would raise the gas tax to a level where it would be if the tax had been indexed to inflation since 1991. A 15 cent per gallon increase for both gas and diesel fuel in Arizona would translate into about \$575 million of added funding each year, a nearly 40 percent increase in HURF funding.

One of the arguments against raising the gas tax is the emergence of electric vehicles in the fleet. Although the share of electric vehicles will continue to grow, the proportion will still be relatively small. A recent report from the Boston Consulting Group (The Electric Car Tipping Point, January 2018) estimates that electric vehicles might comprise 20 percent of new car sales in 2030. Since about eight percent of the car fleet is replaced by new cars each year, this means that gasoline and diesel fuel vehicles will still represent the vast majority of the vehicle fleet in the United States for the next decade or two. In the meantime, the need for basic road maintenance funds will continue to be hampered if the gas tax is not increased. Alternatively, Arizona could look to adopt a different user fee mechanism, such as a vehicle miles tax.

Casa Grande Resolves  
· Attendees

FMPO:  
Ron Spinar  
Dave Wessel

YMPO:  
John Gross

WACOG:  
Dave Barber

SEAGO:  
Joe Brannan  
Rich Gaar

CAAG:  
Maxine Leather  
Dean Giles

NACOG:  
Ken Sweet  
Chris Fetzer

PAG:  
Tom Swanson  
Cherie Campbell  
Joe Mccullogh  
Jim Glock (COT)  
Tom Amparano (COT)

RPTA:  
Ken Driggs  
Bryan Jungwirth

MAG:  
Jim Bourey  
Dennis Smith  
Terry Johnson  
Eric Anderson

ADOT:  
Tim Ahrens  
John McGee  
Bill Sapper  
Mary Peters  
Dick Wright  
John Louis  
Bob Miller  
John Pein  
Dale Buskirk  
Arnold Burnham  
Dean Lindsey  
Harry Reed  
Chuck Eaton  
Bill Higgins  
Jennifer Macdonald

ADOT Board:  
Katie Dusenberry

FHWA:  
Bob Hollis  
Dennis Mittelstedt



**ARIZONA DEPARTMENT OF TRANSPORTATION  
POLICIES AND PROCEDURES**

**FIN-8.01 Inactive Projects**

Effective: January 31, 2018

Supersedes: None

Responsible Office: Financial Management Services (FMS), (602) 712-7469

Review: January 31, 2020

Transmittal: 2018 - January

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**1.01 PURPOSE**

This policy establishes the treatment of inactive projects.

**1.02 SCOPE**

This policy applies to projects contained within the Statewide Transportation Improvement Program (STIP).

**1.03 AUTHORITY**

23 CFR 630.106(a)(5)

FHWA Order 4560.1c Financial Integrity and Review (FIRE)

A.R.S. §28-6954

ADOT Stewardship and Oversight Agreement

**1.04 BACKGROUND**

The following policy, procedures and responsibilities apply to project close outs and the identification and treatment of inactive projects.

Responsible fiscal control requires closing out projects in a timely manner to prevent funds from becoming idle and projects becoming inactive.

Inactive projects represent state, regional, local and/or federal funding that could be applied to other projects, thereby improving Arizona's transportation infrastructure and the fiscal stewardship. The objective of this policy is the efficient use of funding for projects across the state, while providing opportunities to more effectively apply available funding to those projects ready to proceed forward.

ADOT strives to keep all programmed projects advancing on schedule and is committed to working with LPAs, COGs/MPOs and other stakeholders to accomplish that mission. Foremost to this is communication among the project team, Project Manager, Financial Management Services (FMS) and others to effectively track project progress, identify points of concern and deploy countermeasures to ensure that projects advance and that funds are being applied to their most effective use.

FIN-8.01

## FIN-8.01 Inactive Projects

Effective: January 31, 2018  
Supersedes: None

Transmitted: 2018 – January  
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Nothing in this policy shall restrict a de-authorized project from again seeking authorization once the project is ready to proceed.

Generally, the most common reasons projects become inactive include:

- The project funding authorization was requested too early (i.e., more than 90 days before the project will incur expenses, including costs associated with kick-off meetings, advertisements or billable work);
- A local public agency not invoicing ADOT for incurred costs in a timely fashion. ADOT requests that projects be billed at least monthly and no less than quarterly on self-administered (SA) projects or those administered by agencies with certification acceptance (CA) status;
- Lack of notification to responsible parties within ADOT of the completion of the project or specific project phases.

**1.05 DEFINITIONS**

Agreement Estimate Recapitulation	Final construction recap based on the awarded construction project and all below the line costs
Authorization	Approval of project funding by FHWA for federal aid projects or by Resource Administration for non-federal projects
Certification Acceptance Agency (CA)	Local Public Agency with a signed agreement with ADOT allowing them to administer most aspects of project development and construction
COG	Council of Government – regional planning organization for non-metropolitan areas
COG/MPO Ledger	The COG/MPO federal aid funding ledger. This document reflects the authorization status of projects in the current federal fiscal year, apportionments and obligation authority, transfers and loans, available and lapsing funds. Ledgers are prepared by ADOT Resource Administration for each COG/MPO and posted monthly on ADOT’s website.
FHWA	Federal Highway Administration, a division of the US Department of Transportation specializing in highway transportation
FMS	Financial Management Services - ADOT division responsible for project funding, accounting, final vouchers, accounts receivable, accounts payable and other accounting and financial management functions
Inactive Project Phase	Project phase that has not had billing activity (including staff, consultant and contractor charges) within 180 calendar days

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LPA	Local Public Agency – refers to a city, county, town or tribal entity that is a sponsor or provides financial contribution to a project phase
MPO	Metropolitan Planning Organizations (MPOs) are agencies or organizational arrangements that carry out the required planning process as described in the Federal-Aid Highway Act of 1962
Project Phase	Specific work phase of a project. Inactives are measured at the project phase level
Ready to Proceed	Stage of work for which funding is being requested is ready to begin expendable and/or reimbursable work activities (advertise/begin scoping or design - including project kick off meetings, acquire rights of way, relocate utilities, begin construction or commence a non-infrastructure project phase
Resource Administration	ADOT's Financial Management Services Resource Administration Unit, which processes and obligates project funding
Self-administration project	A Self-administration project is one where a Local Public Agency has been approved to administer the project development

**1.06 POLICY****A. It is the policy of ADOT that:**

1. Finance authorization is requested only when a project phase is ready to proceed. This is defined as the stage of work for which funding is requested is ready to incur costs (advertise/begin scoping or design - including project kick off meetings, acquire rights of way, relocate utilities, begin construction or commence a non-infrastructure project phase);
2. Project phases are closed out in a process consistent with this policy and FMS Technical Bulletin 18-01, Inactive Projects; and
3. ADOT FMS reviews, tracks and reports on all inactive project phases on a weekly and monthly basis, and takes action to adjust funding on project phases that do not demonstrate progress as defined by this policy or are no longer valid.

**B. Inactive Project Phases**

ADOT reviews and reports inactive project phases on a weekly and monthly basis for all project funding sources.

**C. Tracking Project Phase Status**

Resource Administration tracks the status of all authorized project phases. Project phases that have not shown any financial expenditure activity for a period of 150 days are identified and included on the Potential Inactive Project Phase Report. This report is produced monthly and

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## FIN-8.01 Inactive Projects

Effective: January 31, 2018  
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uploaded to the Inactive Projects section of the FMS Transportation Funding page on the ADOT Internet site. This report identifies all project phases that will go inactive in the next month.

Each month, Resource Administration will send out the link to Division Representatives for the current month's report. The intent is for the Division Representatives to work with Project Managers in resolving any pending issues on potential inactive project phases. The Project Manager is expected to work with their project team to ensure legitimate charges are billed against the project phase (staff time, consultant/contractor invoices or invoices from the Local Public Agency) to keep the project phase active. If the project phase is complete, the Project Manager should email Resource Administration and request that the project phase be closed out; this includes working with all technical areas to ensure all billings are complete and any open encumbrances are liquidated.

If a project phase has not billed within 180 days, it appears on the Weekly Inactive Project Phase Report. This report is produced weekly and individual project managers are contacted to inquire about the status of their particular project.

Any inactive project phases not resolved within the first month will appear on the Inactive Project Phase Report. This report is produced monthly and uploaded to the Inactive Projects section of the FMS Transportation Funding page on the ADOT Internet site. This report includes all project phases that have not had billable activity for at least 180 days. The Project Manager will be required to provide documentation to Resource Administration within thirty (30) working days of appearing on the report justifying why the project phase needs to remain open. This justification should include:

- What is the current status of the project phase?
- Why is the project phase inactive?
- When is the next action or invoice expected? A specific date is required.
- Are there open contracts against the project phase that need to be accounted for?
- Is there excess funding that needs to be released? If not, what is the justification to keep the project phase funded?

If the project phase is complete, the Project Manager should email Resource Administration and request that the project phase be closed out; this includes working with all technical areas to ensure all billings are complete and any open encumbrances are liquidated. ADOT FMS will release excess funding back to the appropriate funding source; Statewide or Maricopa Association of Governments Regional Transportation Plan Freeway Program (MAG RTPFP) contingency for ADOT projects, or for local projects the funding will be released back to the COG or MPO for reprogramming on other projects (by June 30<sup>th</sup>) or loan to another COG or MPO by March 31<sup>st</sup>.

#### D. Deobligation of Inactive Project Funding

ADOT will make every effort to ensure projects remain active and funding is maintained through frequent and expected communication, coordination with the PM and examination/deployment of countermeasures to keep project phases advancing. However, for projects that cannot demonstrate substantial progress pursuant to Section 1.06 C, Tracking Project Status, funding may be subject to deobligation.

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Effective: January 31, 2018  
Supersedes: None

Transmitted: 2018 – January  
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If ADOT identifies a project for deobligation, Resource Administration will send an email to the ADOT Project Manager. For local projects the Local Public Agency Section and Local Agency will be copied. The email will outline the current project status (funds available, days inactive) and steps necessary to remove the project from Inactive/Pending Deobligation status or to close out the project. The Project Manager will have 30 days to respond to Resource Administration identifying project status and next steps to be taken. If project cannot be removed from Inactive status, or if the project will not move forward, the funding will be deobligated from the project.

1. ADOT Projects

If funding from an ADOT project is deobligated, an email will be sent to the ADOT PM, ECS and MPO (if project is within an MPO boundary) identifying the project cancellation. The email will contain the following information:

- Notification of the date of the deobligation action
- Copy of the paperwork showing the project cancellation

Funds deobligated from an inactive project will be returned to the appropriate subprogram for reprogramming on another eligible project in the current state fiscal year.

2. Local Public Agency Projects

If funding from an LPA project is deobligated, a letter from the ADOT Chief Financial Officer will be sent to the LPA, FHWA, the applicable COG/MPO, the ADOT Local Public Agency Section and the ADOT Project Manager. The letter will contain the following information:

- Notification of the date of the deobligation action, noting various federal and IGA provisions
- Treatment of the deobligated funding
- If applicable, an invoice for any funding which must be repaid to FHWA with a due date

For local projects with COG/MPO administered funding the released funds will be returned to the COG/ MPO for reprogramming and reflected on the next month's COG/MPO Ledger. The funds must be either transferred or loaned by March 31 or obligated to another project by June 30. Any unobligated funds will revert to ADOT after June 30.

For ADOT administered local projects, the released funds will be returned to the appropriate subprogram (Modernization of Projects, Statewide Contingency or Project of Opportunity-Local TAP Projects) for reprogramming on another eligible project in the current state fiscal year.

**1.07 CORRESPONDING DOCUMENTATION**

Obligation Funds, Management Guide, Federal Highway Administration

FIN-5.01 HURF Exchange Program

FIN-8.01

<b>Call for Projects*</b>		
<b>2020</b>		
July	14	Street Committee: Provide committee with notice of call including schedule, funding amounts and years. Also, provide account setup information.
	16	Avondale-Goodyear Urbanized Area Transit Working Group: Provide working group with notice of call including schedule, funding amounts and years.
	23	Transportation Review Committee: Provide Committee with notice of call including schedule, funding amounts and years. Also, provide account setup information.
	24	All Member Agencies: To all member agencies send notice of call including schedule, funding amounts and years. Also, provide account setup information.
	28	Transportation Safety Committee: Provide Committee with notice of call including schedule, funding amounts and years.
	<b>30</b>	<b>All Member Agencies: Application release</b>
August	4	All Member Agencies: Application Workshop (Virtual)
	11	All Member Agencies: Open Office Meeting (Virtual)
	26	All Member Agencies: Open Office Meeting (Virtual)
September	<b>10</b>	<b>All Member Agencies: PM-10 Certified Street Sweeper, PM-10 Paving Unpaved Road, Avondale-Goodyear Urbanized Area Transit Applications, and Pinal County Arterial-Bridge Program Due at 10:00 am</b>
	<b>Mid-Sept</b>	<b>Avondale-Goodyear Urbanized Area Transit Working Group: Avondale-Goodyear Urbanized Area Transit project applications are available for working group review, a priority listing is recommended</b>
	17	Street Committee: PM-10 Certified Street Sweeper, PM-10 Paving Unpaved Road and Pinal Arterial-Bridge Program applications received are available for committee review; members may submit review comments to MAG
	17	Transit Committee: Recommendation of a priority listing of Avondale-Goodyear Urbanized Area Transit projects
October	<b>1</b>	<b>All Member Agencies: Roadway Safety Program, and TA Non-Infrastructure Safe Routes to School Applications Due at 10:00 am</b>
	13	Street Committee: PM-10 Certified Street Sweeper, PM-10 Paving Unpaved Road and Pinal Program applications presentations and submission of preliminary scoring for Pinal County Arterial-Bridge Program
	15	Transportation Safety Committee: RSP and TA-SRTS Applications received are available for committee review; members may submit review comments to MAG
	19	Transportation Review Committee: Recommendation of a priority listing of Avondale-Goodyear Urbanized Area Transit projects
	22	Air Quality TAC: Recommendation of a prioritized list of proposed PM-10 Certified Street Sweeper Projects for FY 2021 CMAQ Funding to the MAG Management Committee. Recommendation to rank the Proposed PM-10 Paving Unpaved Road Projects for FY 2023 and FY 2024 CMAQ Funding and forward to the MAG Transportation Review Committee.
November	4	MAG Management Committee: Review and recommendation for street sweepers and Avondale-Goodyear Urbanized Area transit projects
	10	Street Committee: Reviews applications and recommends priority listing for Pinal County Arterial-Bridge Program projects. Reviews scores and recommends funding scenario for PM-10 Paving Unpaved Road Projects.
	17	Transportation Safety Committee: RSP and TA-SRTS Application Presentations and Recommendation of a list of projects for FY 2022 RSP and FY2023 & 2024 TA non-infrastructure SRTS
December	2	Regional Council: Review and approval for street sweepers and Avondale-Goodyear Urbanized Area transit projects
	10	Transportation Review Committee: Review and recommendation for PM-10 Paving Unpaved Road, Pinal County Arterial-Bridge Program, Roadway Safety Program, and TA Non-Infrastructure Safe Routes to School projects.
<b>2021</b>		
January	6	Management Committee: Review and recommendation for paving, Pinal County Arterial-Bridge Program Roadway Safety Program, and TA Non-Infrastructure Safe Routes to School projects.
	20	Regional Council: Review and approval for paving, Pinal County Arterial-Bridge Program, Roadway Safety Program, and TA Non-Infrastructure Safe Routes to School projects.
* Schedule for SM+O Project is to be determined		



**MARICOPA  
ASSOCIATION of  
GOVERNMENTS**

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