



5.1 INTRODUCTION

This chapter provides guidelines for specific project requirements associated with the use of Federal funding. This chapter is not intended to be a stand-alone section, but rather provides supplemental information to the items covered in previous chapters. Sections between 5.3 and 5.21, when not reserved, correspond to those same sections found in Chapter 3, with sections 5.22 and 5.23 being stand-alone.

5.2 (RESERVED)

5.3 UTILITY COORDINATION AND DESIGN

Utility coordination and design associated with roadway improvement projects are found in Chapter 3.3. When Federal funding is used the following requirements shall also apply.

Federal Requirements

Buy America

For any utility work elements included in the project construction contract, the requirements of Buy America shall apply. Although federal specifications allow the consideration of a waiver or exemption, PCDOT shall require all materials be in accordance with Buy America requirements.

Cost Reimbursement

For any utility work elements included in the project construction contract, all bid items, work activities and costs shall be designated as ‘non-federal participation’, and shall be paid for using local funding sources. These bid items shall be highlighted in the bid item summary and provided to Pima County finance as a tool for federal reimbursements.

Railroad

A railroad clearance letter is required whether or not there are any railroads impacted by the project. If no railroads are affected, the clearance letter shall state there is no railroad involvement.

5.4 (RESERVED)

5.5 FEDERAL, STATE AND LOCAL COORDINATION

Federal, State and Local coordination, design efforts and activities associated with roadway improvement projects are found in Chapter 3.5. When Federal funding is used the following requirements shall also apply.

Federal Requirements

1. Plan for working with ADOT LPA

- Program Specific Issues: ADOT will be notified when an issue arises that needs to be resolved. PCDOT will work with the ADOT LPA Section CA Agency Coordinator, who will work with the ADOT LPA Section and appropriate technical teams. If an issue cannot be resolved at the lowest level, then the program-specific issue resolution matrix in Table 1 shall be followed to resolve the issue.

Table 5-1. Program-specific Issue Resolution Matrix

CA Agency	ADOT	FHWA*
Project Manager / Agency Liaison	LPA Section CA Agency	LPA Coordinator
Project Manager / Agency Liaison	LPA Section Manager / LPA Process Manager / Assistant State Engineer	Area Engineer / Program Specialist / LPA Coordinator
Director/Deputy Director	Deputy State Engineer / Assistant Director	Appropriate Team Leader
Director/Deputy Director	Deputy Director of Transportation / State Engineer	Assistant Division Administrator

* ADOT will contact FHWA when necessary or when the CA Agency requests FHWA involvement.

- Project specific issues: PCDOT shall attempt to resolve project concerns internally and at the lowest level of responsibility. For project-specific issues that cannot be resolved internally, PCDOT shall promptly notify the ADOT Project Manager (PM). If an issue cannot be resolved at the lowest level, then the project-specific issue resolution matrix in Table 2 shall be used to resolve the issue. Conflict resolution using partnering principles shall be followed.

Table 5-2. Project-specific Issue Resolution Matrix

CA Agency	ADOT	FHWA*
Resident Engineer / Project Manager	Project Manager / Resident Engineer	Area Engineer / Program Specialist
Project Manager / Agency Liaison	Sr. Project Manager / Resident Engineer	Area Engineer / Program Specialist
Project Manager / Agency Liaison	District Engineer / Assistant State Engineer	Area Engineer / Program Specialist
Director/Deputy Director	Deputy State Engineer	Appropriate Team Leader
Director/Deputy Director	Deputy Director of Transportation / State Engineer	Assistant Division Administrator

* ADOT will contact FHWA when necessary or when the CA Agency requests FHWA involvement.

5.6 – 5.17 (RESERVED)

5.18 ENVIRONMENTAL ASSESSMENT AND MITIGATION REPORT

Environmental, assessment and mitigation efforts and activities associated with roadway improvement projects are found in Chapter 3.18. When Federal funding is used the following requirements shall also apply.

Federal Requirements

In order to be eligible for the use of Federal funds at any time during the life of the project, the project must adhere to the requirements outlined in the National Environmental Policy Act (NEPA). The Project Team shall consult with ADOT Environmental Planning team to identify the appropriate level of documentation (i.e. EIS, CE, or EA), as early as possible during the project initiation phase.

On larger reconstruction projects, the Department has identified opportunities where there may be overlap between the EAMR and the accompanying NEPA document:

- For those projects in which a CE is the appropriate NEPA clearance document, the project team shall prepare both an EAMR and a CE for the appropriate reviews and approvals.
- For those projects in which an EA is the appropriate NEPA clearance document, the project team shall prepare the EA in accordance with ADOT and FHWA guidelines and formatting requirements. This document will also be able to satisfy the purposes of the

EAMR (due to the similarities in the various subject matters contained). Note that a short accompanying summary may be necessary for purposes of explaining the comparison to the Citizen’s Advisory Committee and/or Board of Supervisors.

The ADOT Environmental Clearance Memo (ECM) contains mitigation requirements for both Pima County and the contractor. It is critical to ensure all items are properly documented as complete.

The ECM shall be included in the prime contract as an appendix in the Special Provisions. The mitigation measures included in the ECM are not subject to change without prior written approval from the Federal Highway Administration. This includes but is not limited to additions to meet local mitigation requirements. Any local mitigation requirements or changes to the ECM shall be provided to ADOT for review and inclusion in the ECM.

5.19 – 5.20 (RESERVED)

5.21 PROJECT REVIEW, APPROVAL AND CLEARANCE PROCESSES

Review and approval processes associated with roadway improvement projects are found in Chapter 3.21. When Federal funding is used the following requirements shall also apply.

Federal Requirements

Authorization to Proceed

Prior to sending the final PS&E package to Procurement, the project team shall obtain authorization from ADOT and FHWA to proceed with advertisement. The following documents will need to be included as part of the package submission to ADOT/FHWA:

1. Letter addressed to the ADOT PM summarizing the project and requesting authorization to advertise.
2. Financial recapitulation spreadsheet showing the various funding amounts and sources.
3. Clearance Documents: Environmental, Utility, and Railroad.
4. Right of Way Certification.
5. Materials Certification: As part of the Request for Authorization to Proceed with Advertisement, package, the project team shall develop the materials memorandum as well as Quality Assurance project plan in accordance with ADOT forms and requirements. This memo must be approved by ADOT prior to construction authorization submission. Note: Examples of these are available on the ADOT website.
6. Complete copy of the advertisement package from Procurement.

This package shall be assembled and proofed prior to sending to ADOT, with a copy of the recapitulation spreadsheet submitted to Finance concurrent with submission of the package to ADOT.

A typical time frame for approval by ADOT/FHWA is considered to be 4-8 weeks for smaller projects, and 4-12 weeks for larger projects.

5.22 MATERIALS QUALITY ASSURANCE

The Quality Assurance requirements for projects using Federal funds shall be in accordance with the Arizona Department of Transportation (ADOT) Local Public Agency (LPA) Certification Acceptance (CA) Quality Assurance (Q/A) requirements. Note for pavement materials associated with a roadway improvement project, see Chapter 3.13.

Buy America

For all projects using federal funds, the project team shall include all necessary specifications and special provisions relating to Buy America. See PCDOT website for latest versions.

5.23 STORAGE OF PROJECT INFORMATION:

All records retention shall be in accordance with all FHWA and ADOT requirements.