



SEAGO

***SEAGO Federal Fund Programming
Guidelines and Project Tracking
Procedures***

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1.0 Purpose

The purpose of this procedure is to ensure that the SEAGO region utilizes all federal transportation funds allocated to our region. Federal obligation authority (OA) is the total amount of federal funds that may be obligated in a given fiscal year. It expires at the end of each federal fiscal year. It is SEAGO's goal to utilize all OA made available to the region to avoid loss of federal funding and to ensure the competitiveness of the region in obtaining funding from statewide sources. To do this, jurisdictions must consistently report on progress to ensure that OA is fully used.

2.0 Project Sponsor Responsibilities

- 2.1 The project sponsor is responsible for all aspects of the project development process including:
 - 2.1.1 Initial project scoping to ensure cost estimates are realistic and fully loaded as possible prior to presenting the project to the SEAGO Transportation Advisory Committee (TAC).
 - 2.1.2 Compliance with the SEAGO competitive application process.
 - 2.1.3 Presentation of the project to the SEAGO TAC.
 - 2.1.4 Engineering and design of the project to federal standards, and completion of federal required clearances. The review process will be administered by ADOT or a certification acceptance (CA) agency.
 - 2.1.5 If federal funding is not programmed for design, engineering and clearance work, the project sponsor assumes responsibility for all costs.
 - 2.1.6 The required local match and additional funds needed to complete the project, including any project cost increases. The amount of federal funds available for a project is the programmed amount listed on the SEAGO TIP.
- 2.2 A typical timeline for federal projects, from the application process to the federal obligation/authorization generally takes 18 to 24 months and is identified in ADOT's **Local Government Project Manual**.
- 2.3 Once a project has been programmed, the project sponsor must show continuous progress towards obligation and completion of the project. Failure to work consistently on project development will result in deferral or deletion of the project.
- 2.4 During the project development, the sponsor is responsible for submitting to SEAGO twice a year a project development status report identifying project development milestone progress.

3.0 Regional Project Selection Process

- 3.1 SEAGO will use a competitive selection process to determine allocation of federal funds.
 - 3.1.1 Application due dates and presentations will be established by the SEAGO TAC.
 - 3.1.2 Completed applications must be before or on established due dates. Late applications will not be accepted.
 - 3.1.3 Applications may be submitted via fax, mail, e-mail (must include scan of signed signature), or in person.
 - 3.1.4 SEAGO staff will review the application for required completeness and project eligibility.

- 3.1.5 Jurisdictions will be issued a receipt indicating date and time of submission and whether the application was complete or incomplete. If incomplete, jurisdictions will be advised of the incomplete requirements.
- 3.1.6 The sponsoring agency will be given two days to correct incomplete information. The due date and time will be noted on the receipt.
- 3.1.7 Eligible project applications will be forwarded to the SEAGO TAC in the TAC packet provided to the TAC membership prior to each meeting of the SEAGO TAC.
- 3.1.8 The SEAGO TAC will evaluate, rank, and make project selection recommendations considering the following criteria:
 - 3.1.8.1 Project readiness to proceed and demonstration of a reasonable timeline for implementation.
 - 3.1.8.2 Project cost estimates are accurate and based upon sound cost evaluation principles.
 - 3.1.8.3 The project cost fits appropriately into the region's Five Year Transportation Plan and it can be reasonably anticipated that funding will be available within the time period contemplated for completion of the project.
 - 3.1.8.4 Safety impact of the project.
 - 3.1.8.5 Economic development potential of the project.
 - 3.1.8.6 Multimodal and Mobility considerations and their impact on the region.
- 3.1.9 Project selection information will be sent to the SEAGO Administrative Council for their approval and recommendation to the SEAGO Executive Board.
- 3.1.10 Projects selected and approved by the SEAGO Executive Board to be programmed with funds will be included in the SEAGO Transportation Improvement Plan (TIP).

4.0 Project Development Schedule and Status Report

- 4.1 The Project Development Schedule (Attachment A) forms the basis of SEAGO's project tracking system.
- 4.2 Once a project is awarded, the sponsoring agency shall submit to SEAGO within 30 days following TIP approval their Project Development Schedule.
- 4.3 Project sponsor is responsible for submitting a letter to the ADOT Local Government Engineer requesting project number and providing brief detail of project scope, location, cost, schedule and SEAGO TIP identification number. A copy of this letter must be provided to SEAGO for tracking purposes.**
- 4.4 Once a Project Development Schedule has been finalized, the project sponsor must show continuous progress towards obligation and completion. Failure to demonstrate progress can lead to the moving or deletion of a project from the TIP.
- 4.5 ADOT has set a June 30 deadline for all fiscal year allocated funds to obligate. Status report due dates are based upon that schedule.
- 4.6 Status Reports are due November 1 and March 1 of each year. The Project Schedule form will also act as the Status Report.

- 4.7 The report will serve as a basis for necessary actions related to moving, adding, or deleting projects.

5.0 Project Failure to Progress

- 5.1 Progress reports that are not showing progress to obligation will be forwarded to the SEAGO TAC for review, discussion and action, at its November and March meetings.
- 5.2 Sponsors for projects that are not demonstrating progress towards obligation shall be required to present the specific reasons that has caused the projects delay and a revised schedule and plan that addresses the specific issues identified.
- 5.3 The SEAGO TAC may take one of the following actions:
 - 5.3.1 Issue a deferral, thereby providing time for the sponsoring agency to correct deficiencies. Deferral progress shall be reviewed at the next meeting of the TAC.
 - 5.3.2 Recommending the delaying of the project to another fiscal year.
 - 5.3.3 Recommend deleting the project from the TIP.
 - 5.3.4 The SEAGO Executive Board will make the final decision on project movement or deletion.
- 5.4 SEAGO shall maintain a list of projects ready for advancement and a list of COG/MPO loan requests to ensure that unobligated OA and apportionments are not zeroed out by ADOT.
- 5.5 Any SEAGO member agency may request advancement of a project on the current TIP.
 - 5.5.1 Advancement requests shall be submitted to SEAGO. Requests shall include an updated Project Schedule.
 - 5.5.2 To be considered for advancement, the sponsor agency must be able to demonstrate readiness to proceed and the ability to comply with newly-established timeline as provided in the Project Schedule Report.
 - 5.5.3 Projects ready for advancement shall be presented to the SEAGO TAC for discussion and action.
 - 5.5.4 The SEAGO Executive Board will make the final decision on project advancement.

6.0 Appeals Process

- 6.1 Should a project sponsor want to appeal a recommendation by the SEAGO TAC to delay or delete a project, they may request through SEAGO a separate agenda item to be heard before the SEAGO Executive Board on the project.
- 6.2 Upon receipt of such a request, the following action will be taken:
 - 6.2.1 An agenda item will be scheduled for the next meeting of the Executive Board for action to hear the project sponsor appeal.
 - 6.2.2 SEAGO staff and the project sponsor will work together to prepare written material to be sent to the Executive Board prior to the meeting. At a minimum, this material will respond in detail to the issues that resulted in project delay or deletion recommendation.
 - 6.2.3 The project sponsor shall address to the Executive Board in detail all items to that led to the TAC recommendation.

6.2.4 Failure to attend the meeting of the Executive Board will be considered as a withdrawal of the appeal.

6.3 The SEAGO Executive Board will take action to delay, delete, or continue the project as currently programmed.

7.0 Use of Funds That Will Not Obligate

7.1 As soon as it becomes apparent that a project will not obligate in its programmed fiscal year, SEAGO will notify the SEAGO TAC of the availability of these funds. The following are programming priorities associated with these funds.

7.1.1 Reprogram them to a project that has a high chance of obligating within the given fiscal year.

7.1.2 Reprogram them to a planning activity that has a high chance of obligating within the given fiscal year.

7.1.2.1 The SEAGO TAC will identify and prioritize a list of potential planning activities during its September meeting.

7.1.3 Identify another COG/MPO that can obligate the funds within the given fiscal year. A loan agreement will be implemented prior to any transfer of funding.

7.1.4 Enter into a loan agreement with ADOT.

8.0 Post Obligation Responsibilities

8.1 All local sponsored federally funded projects that have obligated need to show financial activity within six (6) months of obligation and on a routine basis until completion of the project. If for a 12-month consecutive period, an obligated project has not shown financial activity, it may in some cases be deemed by FHWA as inactive and may be subject to de-obligation by the Federal Highway Administration.

8.2 Once a project is obligated, the sponsor agency shall notify SEAGO of the date of obligation.

8.3 Progress reports shall be submitted to SEAGO via e-mail in November and March of each year demonstrating that financial activity is occurring.



PROJECT SCHEDULE & TRACKING REPORT

Project Schedule: Please enter anticipated dates for completing the steps in the process for obtaining FHWA commitment (obligation) to fund your project. If the step is not applicable, please enter N/A.

Project Sponsor: _____ **Project Name:** _____

Step	Action Required	Planned Date		Actual Date		Current Status	Notes
		Start	End	Start	End		
1	<i>Project placed on TIP</i>						
2	<i>Letter to ADOT Local government Section (LGS) requesting project manager, federal project number, & TRACS number.</i>						
3	<i>Project manager assigned</i>						
4	<i>Project/TRACS Number assigned</i>						
5	<i>IGA Completed</i>						
6	<i>ADOT Design Review fee deposited</i>						
7	<i>Initial DCR submitted to ADOT LGS</i>						
8	<i>Initial environmental report submitted to ADOT LGS</i>						
9	<i>ADOT LGS approval of DCR</i>						
10	<i>Environmental Clearance Obtained</i>						
11	<i>FHWA Authorization to Proceed with ROW</i>						
12	<i>30% plans submitted</i>						
13	<i>60% plans submitted</i>						
14	<i>If applicable, materials memo, geotechnical memo, pavement design summary, drainage report, and bridge selection report submitted.</i>						
15	<i>Utility Clearance Letter initiated</i>						
16	<i>ROW Clearance Letter initiated</i>						
17	<i>95% PS & E Package submitted</i>						
18	<i>Final plans submitted</i>						
19	<i>ADOT submits authorization request to FHWA</i>						
20	<i>Obligation Authority obtained</i>						

Submitted By: _____

Date: _____



Annual TAC, Administrative Council, and Executive Board Coordination Schedule

<i>Annual Transportation Improvement Program (TIP)</i>				
Activity	Month	TAC Action Required	Administrative Council Review/Approval	Executive Board Review/ Approval
Draft Annual TIP to TAC	March	Review/Approve	April <small>(Administrative Committee)</small>	April <small>(Executive Committee)</small>
45 Day Public Comment*	May	None	None	None
Draft Annual TIP/Substantive Comment Received*	July	Review Comments & Amend TIP if Needed	August	August
Annual TIP submitted to ADOT	August	None	None	None
<i>Annual Work Plan</i>				
Activity	Month	TAC Action Required	Administrative Council Review/Approval	Executive Board Review/ Approval
ADOT Provides Draft Work Plan (WP) to SEAGO	March	Review, Comments, & Recommendations	April <small>(Administrative Committee)</small>	April <small>(Executive Committee)</small>
SEAGO Submits WP to ADOT	April	None	May <small>(if needed)</small>	May <small>(if needed)</small>
Final WP Due to Regional Planner	May	None	None	None
Execute Amendment to Extend WP	June	None	None	None
<i>Surface Transportation Program (STP)**</i>				
Activity	Month	TAC Action Required	Administrative Council Review/Approval	Executive Board Review/ Approval
Call For Applications	October	None	None	None
Applications Due	December	Review Applications	None	None
Application Ranking and TIP Placement	January	Rank / Approve TIP Placement	February	February
<i>Highway Safety Improvement Program (HSIP)</i>				
Activity	Month	TAC Action Required	Administrative Council Review/Approval	Executive Board Review/ Approval
Call For Applications	January	None	None	None
Applications Due	March	Review Applications	None	None
Application Ranking and TIP Placement	March	Rank /Approve TIP Placement	April <small>(Administrative Committee)</small>	April <small>(Executive Committee)</small>
Project Priority List & Final Applications to ADOT	May	None	None	None

Transportation Enhancement (TE)				
Activity	Month	TAC Action Required	Administrative Council Review/Approval	Executive Board Review/ Approval
Call for Applications	January	None	None	None
Applications Due	March	None	None	None
Application Ranking	May	Review and Rank Applications	None	None
Final Applications to SEAGO	June	None	None	None
Final Applications to ADOT	July	None	None	None
Site Reviews	August	None	None	None
TERC Meeting/TE Selection	October	None	None	None
State Board TE Project Approval	November	None	None	None
TIP Placement	January	Approve TIP Placement	February	February
High Risk Rural Road Program (HRRRP), Coordinated Border Infrastructure (CBI), Highway Bridge Program (HBP), Safe Routes To School (SRTS)				
These programs/projects are largely out of SEAGO's control. These projects can be considered for TIP placement at any TAC meeting. The sponsoring agency must submit a TIP request to SEAGO at least 10 days prior to the scheduled TAC meeting to ensure placement on the agenda. However, the Amended TIP will not presented to SEAGO's Administrative Council and Executive Board*** until their next regularly scheduled meeting. To be considered prior to these meetings, the sponsoring agency must demonstrate that the project is time sensitive and that delay will result in a hardship for the sponsor.				

* If no substantive comment is received, the May approved TIP will become final and will be submitted to ADOT on August 1st. No further action will be required. Substantive public comment will require TAC review. Any changes to the Draft Annual TIP shall require approval by the TAC and shall create a need for Administrative and Executive Committee Meetings in July to approve any changes that resulted from public comment.

** SEAGO's STP funds have been allocated through FY2017. There will be no call for STP applications in FY2013 unless a project is dropped and/or funding levels are increased.

***SEAGO's Administrative Council meets the first Friday of February, May, August, and November. The Executive Board meets the third Friday of February, May, August, and November.