

Alabama Transportation Rehabilitation and Improvement Program-II

Fiscal Year 2023 Procedural Guidelines

This document contains information regarding the Alabama Transportation Rehabilitation and Improvement Program-II (ATRIP-II) for Fiscal Year (FY) 2023. All prospective project-sponsoring local governmental agencies are encouraged to thoroughly review this document, as well as, the FY 2023 ATRIP-II application when considering developing a project application. It is also highly recommended that prospective project sponsors coordinate with their respective Alabama Department of Transportation (ALDOT) Region or Area office prior to finalizing an application. These ALDOT offices will work with sponsors to evaluate scope, cost or other issues which may impact project deliverability or advancement.

A. ELIGIBLE ENTITIES:

Any local public agency of the State of Alabama (Municipal and County Governments) is eligible to apply for funding under ATRIP-II through an application process. Applications may be submitted jointly for projects of interest to more than one local government.

Applications will be accepted and reviewed by ALDOT for compliance with program requirements and guidelines prior to final consideration by the ATRIP-II Committee for project funding.

B. PROJECT ELIGIBILITY:

Applications may be submitted for transportation projects of local interest on the state-maintained highway system, which may also include work on local roads essential to proper functioning of the project on the state road. Projects of local interest on the state-maintained highway system shall include improvements benefitting the state highway system with an emphasis on the economic growth, public safety, and stability of this state. Inclusion of local roads and bridges in a project application should be limited to those portions and specific structures that are essential to accomplish improvements benefitting the state highway system. Should a local road or bridge be included in the application, the project sponsor shall be responsible for sufficiently detailing how the improvements to the local infrastructure are essential to providing a benefit to the state highway system. Applications including local infrastructure that do not provide this type of analysis will not be considered for funding.

ATRIP-II funded projects will be bid and let to contract by ALDOT in accordance with applicable state laws. Disadvantaged Business Enterprise (DBE) goals will be established and applied consistent with existing procedures used for federally-funded projects.

Eligibility and constructability of all proposed project activities and work phases will be evaluated by ALDOT prior to final consideration by the ATRIP-II Committee for funding.

C. COMPETITIVE SELECTION:

ATRIP-II funds will be awarded through a competitive selection process. Application evaluation will include, but may not be limited to, how the proposed project emphasizes economic growth, public safety, and stability of the State.

Project deliverability issues including, but not limited to, design, environmental, right-of-way acquisition, cost, or other factors that could affect or impede project timeframe and advancement consistent with program goals will be considered during application evaluation

When provided, the ATRIP-II Committee will appraise and consider coordination by local government sponsors that reflect racial and ethnic diversity.

D. PROJECT FUNDING:

ATRIP-II is an annual program providing not less than \$30,000,000 and not more than \$50,000,000 of project funding, with the final amount each year determined by the Director of ALDOT.

The maximum funding amount to be provided to an individual project under ATRIP-II in FY 2023 shall be \$2,000,000. The Total ATRIP-II funds to be allocated in FY 2023 is programmed to be \$40,000,000.

Any cost exceeding the maximum amount allowable per project will be the responsibility of the project sponsor and should be shown as local or other funds on the application.

A sponsoring local governmental agency may not submit more than one project application per fiscal year. Each Municipality and County will be viewed as an individual sponsor. Any project submitted by multiple sponsors shall be deemed as the eligible project for each sponsor.

Local or other funding sources to supplement requested ATRIP-II funding is not required, but projects containing a commitment to provide supplemental funding may be given favorable consideration by the ATRIP-II Committee. If there are any federal funds included in the supplemental funding, the application should provide the type of federal funds (i.e. HSIP, IM, CMAQ, etc.), how those funds will be utilized, and who will be responsible for the matching funds that may be required.

Any overrun in total project costs above the amount awarded shall be the responsibility of the sponsoring local agency unless additional funding is approved by the ATRIP-II Committee (or their designee).

E. PROJECT PROGRESS:

ATRIP-II funds are available to selected projects for a period of two (2) years from the notice of award by the ATRIP-II Committee. Awarded funds not let to contract within two (2) years of the notice of award will require an extension by the ATRIP-II Committee (or their designee) to avoid being subject to rescission.

Once selected, a project must be awarded to contract before the local sponsor/sponsors become eligible for consideration by the ATRIP-II Committee for a subsequent project.

F. ALLOWABLE COSTS AND WORK PHASES:

All costs associated with developing an ATRIP-II application, including any requests for additional information from the ATRIP-II Committee or ALDOT necessary to fully review and consider that application, is the responsibility of the project sponsor/sponsors.

All phases of ATRIP-II projects will be performed or overseen by ALDOT. At the discretion of ALDOT, it may be permissible for a local sponsor to address a work phase at no cost to the project.

Right-of-way (ROW) acquisition may be an eligible phase of work for ATRIP-II funding, unless there is an agreement with ALDOT for the local sponsor/sponsors to acquire the ROW at no cost to the project. Applications should indicate if the local sponsor/sponsors are offering to fund ROW costs. When possible, applications should indicate if ROW is required on state and/or locally maintained facility. If ROW acquisition involves easements/permitted work on the property of another entity, indication should be noted on the application.

For projects where ROW is to be acquired on a state-maintained facility, ROW will be purchased by ALDOT in the name of the State. For ROW to be acquired on a local-maintained facility, purchasing of ROW will be coordinated through the respective ALDOT Region or Area office in cooperation with the project sponsor.

Utility relocation is not an eligible phase of work for ATRIP-II funding.

Preliminary Engineering (PE) shall be administered by ALDOT as an eligible phase of work for ATRIP-II funding, unless there is an agreement with ALDOT for the local sponsor/sponsors to advance the PE at no cost to the project. If ALDOT is to perform the PE, the estimated PE cost must be included in the application as an eligible cost to the project. If the sponsor is to perform the PE at no cost to the project, that must be indicated in the application. The PE should include, but is not limited to, items such as locating, surveying, mapping, environmental (including permitting and mitigation), development of engineering plans and specifications, and the bidding and letting of a project to contract.

- a. The ATRIP-II application requires the identification of any potential impacts to cultural or environmental resources by the project, as well as any environmental permitting/mitigation requirements. Costs associated with the identification of impacts to cultural or environmental resources and the cost of permitting and/or mitigation should be included in the application unless the local sponsor agrees to provide separate funding for these activities.
- b. Costs associated with any potential PE phase not identified and included in the application may not be eligible for reimbursement.

For projects where sponsors are proposing to advance the PE at no cost to the project, applications must include a funding line item for PE review by ALDOT (also at no cost to the project). The PE review cost should not exceed 2% of the overall project cost, up to a maximum of \$20,000.00.

The cost of construction engineering and inspection (CE&I) (including the testing and inspection of materials) shall be included in the application. To ensure that these costs are accounted for, a separate

funding line item for CE&I (including the testing and inspection of materials) must be included in the construction cost estimate. These costs shall not exceed 15% of the total project construction cost.

ALDOT will perform or oversee the CE&I, testing and inspection of materials on all projects, unless the local sponsor requests that they be allowed to perform the CE&I, inspection and testing at no cost to the projects.

Contingency costs may be included in the cost estimate as a separate line item, but cannot exceed 20% of the total project cost (limits for ATRIP-II funding requests still apply - \$2,000,000 for FY 2023).

Indirect costs for ATRIP-II projects can be established by ALDOT and may be added to projects as an eligible expense utilizing similar procedures for projects currently applying indirect costs.

G. MISCELLANEOUS PROVISIONS:

Larger, more comprehensive projects are allowed; however, such projects may need to be separated into manageable and logical phases for multi-year application and funding. Such project applications should be accompanied with an overall master plan, including a narrative explaining the entire scope of the project and how the entire project is to be separated into logical phases. Approval of one phase of a multi-phase project does not guarantee approval of any subsequent phase/phases by the ATRIP-II Committee.

For projects proposing to utilize financing in addition to ATRIP-II funds (such as Federal funds), all requirements necessary for the use of those funds must be followed and should be addressed in the application by the sponsoring local government agency, including any factors that may affect project timeframe and advancement requirements.

All applications that propose to install new traffic control signals must follow the Traffic Signal Warrant and Justification procedure as identified in the Alabama Department of Transportation Traffic Signal Design Guide and Timing Manual, latest edition. A copy of the warrant study/analysis must be included in the application. For proposed traffic control signals which do not satisfy a traffic signal warrant or warrants, an *Agreement for the Installation, Operation, and/or Maintenance of Traffic Control Signals* must be included in the application and be signed by the sponsor.

Once a project is approved by the ATRIP-II Committee, any costs incurred prior to issuance of written Notice to Proceed from ALDOT is ineligible.

ATRIP-II funds have reporting requirements. Recipients will be required to furnish all requested data to the ATRIP-II Committee, ALDOT or other specified or required entities necessary to satisfy any reporting obligations.

For approved projects, a kickoff meeting will be held with each ALDOT Region or Area office to discuss project details, funding agreement requirements and other issues necessary to begin advancement of the project.