Pima Association of Governments  
Transportation Improvement Program (TIP)  
Policies and Procedures  
APPROVED January 27, 2011

**Introduction:** These Policies and Procedures govern the programming of available regional funds through Pima Association of Government’s Transportation Improvement Program (TIP). In addition, projects that are regionally significant, regardless of fund source, are required to be included in the TIP document and, as such, portions of the TIP Policies and Procedures apply to those projects as indicated. Funds associated with the Regional Transportation Authority (RTA) are governed by the RTA Memorandums of Policy and Policy, Objectives and Procedures documents.

**Goal:** To provide consistency in the development of the TIP, which creates a common ground from which everyone can work. To provide consistent and efficient use of the regional funds and complies with all applicable state, federal and other guidelines.

Nothing in the TIP Policies and Procedures are intended to contradict or supersede federal rules, the Arizona Constitution or Statutes and/or the RTA Memorandum of Policies (MOPs) or Policies, Objectives and Procedures (POPs).

**Definitions:**

**Policies** - for the purposes of this document, refers to the consistent rules to be followed by PAG Staff and the jurisdictional sponsors in developing and implementing the TIP.

**Procedure** - for the purposes of this document, refers to the set processes that are followed by PAG to develop the TIP, update the TIP and manage the regional program.

**HURF** – Highway User Revenue Fund.

**PAG HURF 12.6% Funds** – Regional funds that come from the state Highway User Revenue Fund set aside for roadway projects

**STP Funds** – Federal Surface Transportation Program funds

**PDAF** – Project Development Activity Fund. A set-aside of PAG HURF 12.6% funds used to jumpstart projects by doing the necessary study or design that prepares projects for construction.

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1 As defined by 40 CFR 93.101 - Regionally significant project means 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.
HELP Loan - Highway Expansion and Extension Loan Program

Severability: If any part of these Policies and Procedures does not apply, due to any reason, including but not limited to federal rules, Arizona Revised Statutes, RTA policies, to a given set of circumstances, which does not void their application where possible.

Compatibility with Existing Legislation:
The Arizona State Constitution and Arizona Revised Statutes are already in place for HURF funds; use and reimbursement requirements remain in place and are not impacted by these Policies and Procedures.

The federal rules already in place for STP funds’ use, match and obligation requirements remain in place and are not impacted by these Policies and Procedures.

Continuation: The TIP Policies and Procedures are to remain in effect unless modified by action of the PAG Regional Council. Minor individual guidelines and procedures may be modified, added or deleted by the PAG Executive Director acting upon Regional Council’s behalf in lieu of Regional Council action. Change in FHWA or FTA policy or regulation may also necessitate revision of these Policies and Procedures.

Policies:

TIP Development
PO1.0 – The TIP shall be fiscally constrained in each individual fund source in each of the first four years of the TIP. The Subcommittee shall establish a fifth year of the TIP; however, it does not need to be fiscally constrained.

PO1.1 – Only projects that are consistent with the Regional Transportation Plan (RTP) are eligible to be in the TIP.

PO2.0 – No individual jurisdiction may request more funding in any given year from any individual funding source, including STPX funding, which exceeds the total amount available to the region.

PO2.1 – Privately funded projects must provide evidence of funding to be included in the TIP. The jurisdiction shall confirm in writing to PAG that the private funding is available.

PO2.2 - Jurisdictions shall confirm in writing that their local match and any other funds necessary to complete the project will be made available within the specified timeframe.

PO 3.0 – Projects may not appear in the first two years of the TIP unless the phase shown within those years is fully funded.
PO3.1 – Construction ("C") projects may not show up in the first two years of the TIP document unless the project is fully funded. Construction funds should not be shown in year three of the TIP unless the jurisdiction has an “Advanced Construction” plan. The funding set-aside (FS) designation shall be used when a jurisdiction is compiling the necessary funding for a phase. The phase of the project shall be included in the FS designation, e.g. design set-aside funds will be labeled as DFS and construction set-aside as CFS.

PO3.2 – Advanced Construction (AC) funds must be sufficient to complete the construction project and are provided at the sponsor’s risk. Reimbursement of AC funds in later years of the TIP are to be viewed as tentative commitments and are subject to adjustments based on funding availability and other project priorities.

PO4.0 – Should HURF funds not be available for a reimbursement request, reimbursements will be done on a first-come, first-serve basis.

PO5.0 – For STP and 12.6% projects in excess of $3 million, jurisdictions over 100,000 in population may request up to three new projects, and jurisdictions under 100,000 in population may request one new project annually for consideration.

PO6.0 – Jurisdictions can request additional funds for scope increases for projects already in the TIP if those funds are going toward project elements up to 10 percent of the budget not beyond the original scope. Increases, scope or budget beyond that amount requires a review and approval of the project charter.

PO7.0 – All HELP loan applications require approval from the TIP Subcommittee prior to submitting application.

PO7.1 – HELP loan cost savings shall be returned to the region, however, in certain instances HELP loan cost savings should remain with the jurisdiction they were issued to (e.g. STP HELP loan funds shall remain with the jurisdiction because if they are returned, apportionment does not increase and the ability to use these funds by the region would be gone). These funds are reprogrammed as local funds at the direction of the region.

PO7.2 – To maintain a “paper” trail for the regional funds, the reprogramming to another regional TIP project shall be done as an action of the Regional Council.

PO8.0 – Jurisdictions shall not enter into STPX exchanges or loan agreements if other regional resources are available to take their place.

Project Charters
PO9.0 – A Project Charter document is required for all projects to be listed in the TIP regardless of fund source. A Project Charter (minor) will be required for projects under $3 million and a Project Charter (major) for projects over $3 million.

TIP Amendments
PO10.0 – PAG has four methods by which the TIP may be amended: Administrative Correction, Technical Amendment, Formal Amendment and Automatic Insertion. (See the attached matrix for details.)

PO11.0 – A jurisdiction can request an expedited approval of an amendment. Expedited approval involves e-mailing the proposed amendment to two of three of the following committees: TIP, TPC or Management, and polling on their concurrence, with the item scheduled on the next available agenda of the committee not previously polled before advancing to Regional Council.

PO12.0 – Amendments, as it is true of all TIP projects, may not add projects that are not consistent with the adopted RTP.

PO13.0 – Amendments may not add capacity-increasing projects unless applicable requirements of the CMP are met and an air quality conformity analysis is run for the region that includes the proposed project.

   PO13.1 – Amendments that impact the conformity analysis (capacity projects that must be modeled) require the same public notice and opportunity for comment as the original TIP document.

   PO13.2 – Due to the nature of the modeling process, an amendment that requests a new capacity-increasing project will not have the ability to be expedited. Jurisdictions are asked to plan ahead accordingly.

   PO13.3 – For the purposes of these Policies and Procedures, a capacity increasing project is defined as one that adds an additional vehicular travel lane one mile or more per the CMP. Turn lanes, road widening, bicycle, pedestrian and transit projects are not, for the purposes of this policy, considered capacity increasing.

PO14.0 – Amendments must maintain fiscal constraint by fund type and by year.

Payments and Obligations
PO15.0 – Excess funds (HURF or STP) that are not required to complete the original or approved scope of the project will be returned to the regional fund balance for reprogramming to other projects.

   PO15.1 – Reprogramming of returned funds shall go through the regular TIP process.

Procedures:

TIP Development
PR1.0 – Annually, during the month of August, PAG staff shall work to develop the fund estimate for the upcoming TIP document. Development of these estimates shall be done in conjunction with FHWA and the State of Arizona. These estimates shall reconcile
previous estimates vs. actual revenues, if available for previous years, as well as determine estimates for the “out” year of the upcoming TIP.

PR2.0 – Annually, at the September Transportation Finance Subcommittee Meeting, PAG staff shall present the fund estimate outlined in PR1.0 for their concurrence. PAG staff shall adjust the estimates based on the recommendations of the PAG Finance Subcommittee as appropriate for the development of the annual Call for Projects. The PAG Finance Subcommittee’s estimates are in concurrence with ADOT’s estimates.

PR2.1 – Annually, PAG shall reserve up to 15 percent of the estimated STP and HURF 12.6% funds available for the current fiscal year as a contingency. Establishment of this contingency fund will allow the region to assist jurisdictions with projects in construction to cover any cost overruns or unforeseen circumstances. It should be stressed that the intent of the contingency fund is for jurisdictions to provide estimates for projects they are developing that are not overly conservative.

PR2.2 – The contingency is not intended to increase the scope of a project beyond what is outlined and agreed upon in the Project Charter (PC) for the project.

PR3.0 – Annually, on or about September 1, after the Transportation Finance Subcommittee Meeting, PAG staff shall make available the Call for Projects, which outlines the funds available over the next five years that cover the upcoming TIP period, by fund source.

PR3.1 - The fund sources included in the Call for Projects shall include: STP, RTA Categorical funds, HURF 12.6%, HURF 2.6%, STPX (HURF Exchange), HURF PDAF, the region’s available HELP Loan Balance, and any other regional funds determined to be specifically available to the region.

PR3.2 – The Call for Projects will include the “Year of Expenditure” (YOE) factor to be used in the calculation of expenditures anticipated in future years of the TIP.

PR3.3 – The Call for Projects shall include the due date to receive funding requests from the project sponsors.

PR3.4 – PAG shall make available, as attachments or Web postings, all of the necessary forms associated with the Call for Projects.

PR4.0 – Annually, each project sponsor shall submit a status update of all current, programmed and requested projects. PAG shall distribute a spreadsheet to each jurisdiction with its TIP projects and programs listed by TIP ID number. Information requested shall include: project cost estimate, source and date of that estimate, project status and an estimated (month/year) of project start and completion. The request shall contain the date the completed status report is due back to PAG.

PR4.1 – At this time status of Project Charters will be noted.
PR4.2 – Each project sponsor will submit its funding requests with its own prioritized ranking based on its own priority system for new projects.

PR5.0 – TIP development meeting. The TIP Subcommittee shall meet, time, day and duration of the meeting(s) at their discretion, annually to develop the draft TIP.

PR5.1 – New projects submitted for consideration in the new TIP shall include a TIP Criteria form. These forms are used to objectively compare competing projects for the limited available funding.

PR5.1.1 – The Congestion Management Process (CMP), which is required by federal regulation, shall be incorporated into the project selection process. Consideration of congestion mitigation strategies shall be included as part of the TIP application process for capacity-increasing projects. However, congestion mitigation strategies also will be considered for inclusion as part of non-capacity increasing TIP projects when appropriate.

PR5.1.2 - During development of the TIP, the TIP Subcommittee shall consider minor projects separately from major projects with criteria and data analysis designed to accommodate the unique nature of smaller projects. Project classification (e.g. minor and major) shall come from the Region’s Congestion Management Process (CMP) along with any corresponding criteria set forth from the CMP. The CMP terminology of “significant” corresponds to “major” projects.

PR5.2 – After reviewing the funding available, by fiscal year and fund source, the TIP Subcommittee shall review the funding requests made by fiscal year.

PR5.3 – Fiscal constraint must be achieved in the first four years of the TIP by fund source. Jurisdictions are asked to voluntarily modify their funding requests, by changing funding year requests or amounts to achieve constraint.

PR5.4 – If fiscal constraint is not achieved by voluntary adjustments, the TIP Subcommittee shall review the criteria sheets for the projects in question, giving consideration to:

- RTA Projects
- Projects already in the TIP that are ready to go
- Projects already in the TIP
- New projects

PR6.0 – The TIP public comment period shall include the opportunity to comment on the AQ impacts of the proposed projects. This requires that the modeling be finished and the numbers known. To do this by March requires that the TIP project list be made available in early January.
PR7.0 – The TIP Subcommittee has established January 1 as the deadline for finalizing the proposed project list.

PR8.0 - The TIP Subcommittee has established that development of draft TIP materials shall be scheduled so that TIP public open house(s) to review the proposed project list occur in March.

PR9.0 – After development of the draft TIP, PAG is required to hold at least one open house to garner public comment. After review of the public comment, the TIP Subcommittee shall finalize the draft TIP which shall be noticed for a 30-day public comment period while it concurrently moves through the PAG committee process. Both the Public Comment period and the PAG committee process shall culminate in a PAG Regional Council meeting where the TIP is properly noticed for adoption. The Regional Council meeting should take place in May or June, prior to the end of the fiscal year, June 30.

PR10.0 – Funding resources that are designed to accelerate projects, such as HELP loans, shall not be programmed in the TIP, just the re-payment of these resources, to avoid “double counting” of regional funds.

*Project Charter*

PR11.0 – Once a project/program has been approved for inclusion in the TIP, a Project Charter (PC) through Section I. shall be prepared for the project/program jointly between PAG and the sponsoring jurisdiction. The PC is NOT required to be updated annually but must be updated if there is a significant change in scope or funding amount or when the project goes to design or construction.

PR11.1 – The Project Charter shall outline the responsibilities and relationships of all agencies, as well as the project schedule/time line and the available funding (approved budget) for the project; this should include but is not limited to:

- Sponsoring agency
- Funding agency(s), to include PAG and/or RTA, but may also include FTA, FHWA, ADOT or another jurisdiction if they are providing funds (e.g. Pima County if Pima County Bond funds are to be used for the project)
- Utility Companies, if applicable
- Design/Engineering Consultants

PR11.2 – The PC will contain a cost breakdown for design, right-of-way acquisition and construction, as well as maintenance and operations of projects for which such a breakdown is appropriate.

PR11.3 – The PC shall contain a detailed scope of the project, including identification of congestion mitigation strategies committed to the project for capacity-adding projects.
PR11.4 – PC modifications must be submitted to PAG for approval and processing to obtain a concurrence of a majority of the PAG jurisdictions by either discussion at a TPC meeting or via e-mail poll of TPC members.

**TIP Amendments**
PR12.0 – When a TIP amendment is requested by a jurisdiction, PAG staff will first determine if the request follows PAG policies that govern TIP amendments. If so, the request will be presented at the next TIP meeting for a vote. If the nature of a TIP amendment request is such that time is of the essence, a jurisdiction can request an expedited approval.

PR12.1 – If the nature of the request falls within the parameters of an “administrative” amendment, the PAG Executive Director may, at his/her discretion, administratively approve the amendment. The Executive Director may request that one or more of the following committees be polled via e-mail on the request: TIP Subcommittee, TPC, Management and/or Regional Council.

PR12.2 – If the request cannot be done administratively, a proposed amendment can be e-mailed to two or more of the following committees: TIP, TPC or Management. With majority concurrence, the item can be scheduled on the next available agenda of at least one Committee (TIP, TPC and/or Management), not previously polled, before advancing to Regional Council. If no meetings are scheduled and there is a dire need, a special TIP meeting could be called prior to Regional Council to discuss the amendment, provided that the TIP special meeting is properly noticed and a quorum is present. After the special TIP meeting, TPC and Management should be polled via e-mail prior to the Regional Council meeting.

**Special TIP Meetings**
PR13.0 – Deadlines associated with different fund sources necessitate special TIP meetings to be held from time to time. Special meetings can be called by PAG staff or the TIP Subcommittee Chair.

PR13.1 – If the nature of the special meeting is to develop a draft work product, neither notice nor quorum is required. NO ACTION MAY BE TAKEN AT THESE WORKING MEETINGS.

PR13.2 – If action is anticipated to be taken by the Subcommittee, the meeting shall be properly noticed with the posting of an agenda within the time period specified by the Open Meeting Law.

**Payments and Obligations**
PR14.0 – Regional HURF funds are provided on a reimbursement basis. Thus, if funds appear in the current year of the TIP, a jurisdiction may proceed with the project and submit billings for reimbursement. Federal funds also are provided on a reimbursement basis and projects must first comply with all federal requirements prior to funding.
PR14.1 – HURF 12.6% funds are reimbursed by submitting to PAG’s Transportation Programming a completed “drawdown” request, including documentation of work performed. After PAG review/concurrence, the request can either be sent back to the jurisdiction for further explanation/documentation, adjusted by PAG to reflect eligible cost items only or forwarded to ADOT for payment.

PR14.2 – Federal STP reimbursements work differently. A jurisdiction must “obligate” STP funds before the work starts for design, right-of-way and construction activities. “Obligate” means when FHWA authorizes the STP funds are moved from a general PAG account into a project specific account. The jurisdictions receive reimbursement from that project specific account. Construction obligation cannot occur until the project plans are completed and the PS&E submittal has been approved. This requires all necessary clearances for Right-of-Way, Environmental, Utilities, Railroad, etc.

PR14.2.1 – Due to the cost and scope of some large infrastructure projects there will be occasions where the a project needs to obligate more federal funding for a project then is available in the current fiscal year. A jurisdiction may obligate the available funds in the current fiscal year and then obligate the remaining amount(s) in subsequent fiscal year(s). Before the project begins the sponsoring jurisdiction shall enter into an agreement with FHWA, known as an "advanced construction agreement", that outlines the estimated total cost of the project and the schedule for subsequent obligations. Within the agreement the sponsor acknowledges that they are starting the project at "their own risk" as future federal fund availability cannot be guaranteed.

PR14.3 – For HURF projects, drawdown requests will not be processed if the request does not agree with the scope or budget provided in the PC.

PR14.4 – For STP projects, obligations and/or additional obligations will not be supported if the obligation request does not agree with the scope or budget provided in the PC.

PR15.0 – STP funds typically become available on an annual basis. The region needs to work cooperatively to make sure that obligations for the coming year are identified early so that no STP funds are lost because they were not obligated in a timely fashion.

PR16.0 - If a project using STP funds in the current fiscal year is not ready to obligate, the sponsoring jurisdiction shall notify PAG immediately so that other plans to obligate those funds can be made.

PR16.1 – If a jurisdiction fails to notify PAG in a timely fashion, and no later than July 1 of that federal fiscal year, and if the federal STP obligation authority is lost, the jurisdiction in question may be required to “make the region whole” by providing an amount equal to those lost funds for that project with jurisdictional funds.
PR16.2 – Excess obligation of federal funds also may require “making the region whole.” Jurisdictions should only obligate the amount of federal funds that will be needed for the project, as excess funds must be de-obligated later. De-obligated funds must be re-obligated within the same federal fiscal year in which they were de-obligated or they will be lost. In addition, they will count against the current year’s Obligation Authority (OA), meaning the original year of obligation’s OA is lost.

PR17.0 – Projects showing no progress or activity for five (5) years may be removed from the TIP and the funds reprogrammed.

PR17.1 – For obligated STP funds, federal rules will dictate if previously expended funds would need to be repaid to the region if a project is removed from the TIP or canceled.

PR17.2 – For regional HURF funds, the expectation is that a jurisdiction may be required to repay any already expended funds if a project is removed from the TIP or not completed per the PC.

PR18.0 – A jurisdiction may appeal to the Management Committee to have regional HURF repayments waived. The Management Committee may determine by majority vote that there are extenuating circumstances beyond the control of the jurisdiction that necessitated the canceling of the regional HURF project. Repayment of federal STP funds previously received for a canceled project cannot be waived.

PR19.0 – When a jurisdiction no longer needs funding for a project, they need to notify PAG that the funds are available for reprogramming.

PR19.1 - The TIP is a financial document and even if a project has not yet received its certificate of completion, but the billing activities have significantly ceased, the expectation is that the jurisdiction will notify PAG and return any unused funding. It is acceptable for a jurisdiction to maintain an appropriate amount of funding for landscape establishment remembering that this amount needs to continue in the TIP as it is the mechanism for which the funds can be drawn.

PR19.1.2 – Within 30 days of bid acceptance, the jurisdiction shall notify PAG and return bid savings funds to the region. Jurisdictions are encouraged to maintain within the project contract an appropriate contingency fund not to exceed 10%.

PR19.2 - Once regional STP funds get obligated to a project, the region has no way of tracking closeout or landscape establishment. Unused STP funds that are beyond the first year of obligation, that are unused, are returned as apportionment to the region but not as obligation authority. These funds are not able to be used by the region; therefore, the jurisdiction should get the most out of obligated STP before project closeout.
PROJECT CHARTER TEMPLATE

<PROJECT NAME>

<TIP ID #>

*This form is for use on projects over $3M

Instructions
Each project will have its own unique Project Charter which may be catered to jurisdictional guidelines. Jurisdictions should feel free to add additional text as they see appropriate.

I. Pre-design

<Paragraph 1: Formally authorize the project>
This Charter sets forth a framework and expectations for the development of plans and specifications for the construction of <complete the sentence with the title of the project, and its TIP ID number>. Project plans will be developed in accordance with the policies of the Region and the <Lead Agency>. Commencement of project activities may begin upon approval of this Project Charter, all required Intergovernmental Agreements and identification of the sources of all needed financial resources necessary to execute it by the Project Sponsor. Included in this Project Charter are to be a scope statement; schedule; cost estimate; budget for planning and design; and provisions for public involvement, communications and stakeholder management as required by established regional policies.

<Paragraph 2a: Project Scope (RTA Projects) - State the RTA scope of the project, as described in the RTA Administrative Code and any project enhancements to be designed and constructed in conjunction with the project. >
The purpose of the <Project Name> project is to plan, design and construct the voter-approved improvements described as: <insert the project scope, as described in the RTA Administrative code>. This project meets the requirements of the voter-approved RTA Plan.<Add any additional scope element enhancements desired by the Lead Agency >.

<Paragraph 2b: Project Scope (non-RTA Projects) - State the scope of the project, and any project enhancements to be designed and constructed in conjunction with the project. >
The purpose of the <Project Name> project is to plan, design and construct the improvements described as: <insert the project scope>.

Disclaimer of Fund Availability: PAG does not generate or directly collect any regional funding but through the programming process makes state and federal funds available for jurisdictional projects/programs as identified in the Transportation Improvement Program (TIP) document. The funding programmed available in the TIP is based on the best estimates available. However, it should be noted that regional HURF funds, both 12.6% and 2.6% funds are derived from PAG’s portion of state gasoline use fees (as well as other components) and that PAG receives monthly distributions to an account from which jurisdictional reimbursement requests are paid. All of the funds programmed in a fiscal year are based on the entire year; therefore, the fund balance may not reach the estimate...
until the end of the fiscal year. If all programmed projects request reimbursement at the beginning of the fiscal year, it may be necessary to hold payments until the fund has been replenished to accommodate the drawdown requests.

The TIP is updated annually and therefore only fund amounts in the current fiscal year listed in the TIP should be counted on. Multi-year funding plans may use future TIP years for planning purposes but any sort of “advanced construction” beyond the first year of the TIP is done at the jurisdiction’s risk.

**Regional Fund Type:** (STP or 12.6%)
**Consistent with the adopted RTP:** (RTP #)
**Project Length:** (length in miles)

**Project elements – Check all that apply**
- Rubberized asphalt
- Sound walls
- Bus pullouts
- Turn lanes
- Striping
- Bridge
- Culverts
- Signing
- Drainage Improvements
- Overpass
- Underpass
- Wildlife crossing
- Signals
- Detection cameras
- Median
- Purchase of property
- Pedestrian lighting
- Street lighting
- Sidewalks
- Curbs
- Bike lanes
- Multi-use paths
- Art
- Bike racks
- Landscaping
- ADA enhancements
- Pavement preservation
- Utility relocation
- Guard rails
- Other:

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<td>($ construction)</td>
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<tr>
<td>Estimated Total Project Cost:</td>
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**Estimated Design completion date:** (date)
**Estimated Right-of-way completion date:** (date)
**Estimated Construction completion date:** (date)

*For federal projects, estimate obligation dates and obligation amounts*

**TRANSPORTATION PLANNING COMMITTEE (TPC)**

Approved by the Transportation Planning Committee (TPC):

__________________________________________________________ Date: __________________________
< TPC Representative Name>
< Title>
II. Planning and Design

<Paragraph 3: Identify the Project Manager, give him authority to apply organization resources to the project, and identify performance expectations >
The Project Manager for the Lead Agency, <Project Manager Name>, is hereby authorized to negotiate for resources, delegate responsibilities within the framework of the project, and communicate with all consultants, outside agencies, permitting authorities, utilities, contractors and management, as required, to ensure successful and timely completion of the project. The Project Manager is responsible for monitoring the schedule, cost and scope of the project during planning, design, implementation and maintaining control over the project by measuring/reporting performance and taking corrective action.

<Paragraph 4: Identify the Prime Project Design Consultant>
The Project Consultant Team is led by <Project Manager Name> of <Prime Consultant Name>, and is responsible for directing and coordinating the efforts of the Consultant Team. The Consultant Team commits to adherence to the minimum requirements of the regionally approved Scope of Work and delivery of the most cost effective project it can develop. The Consultant Team further commits to awareness of and adherence to the project schedule and budget. The Consultant Team consists of:
  <Sub Consultant Name>
  <Sub Consultant Name>
  <Sub Consultant Name>

<Paragraph 5: Describe the Prime Public Participation Process, any committee membership and the scope of the committee’s duties and authority >
<Insert description of the public participation process to be used. If a citizen’s committee is established, the individuals appointed should be named, and they should be signatories to the charter>

<Paragraph 6: Provide the summary milestone schedule >
RTA Projects only:
This Project is in RTA Implementation Period # <insert period>, with project construction required to commence prior to June 30, <insert period>, in accordance with the voter-approved RTA Plan.

All Projects:
The planning phase of this project is to conclude by <insert date>, with the delivery of a Design Concept Report and 15% plans (Stage I). Project design, including preparation of final plans, specifications and estimates are to be delivered by <insert date>, with the project to be bid by <insert date>. <If you have hard dates for milestones which the project must meet, include them here – for example a regulatory requirement could impose a hard date for a milestone>
TRANSPORTATION PLANNING COMMITTEE (TPC)

Approved by the Transportation Planning Committee (TPC):

________________________________________ Date: __________________________
< TPC Representative Name>

<Title>

III. Construction

<Paragraph 7: Revised Project Budget – state the budget for the project and identify funding sources>
The budget for the <Project Name> project is $<amount>. It is to be funded through <funding source/budget>. It is acknowledged that it shall be the responsibility of the <Lead Agency> to identify the source of any additional funds which may be required to fund any enhancements which are beyond the scope identified in Paragraph 2, or for costs which exceed the project budget.

LEAD AGENCY ACCEPTANCE

Approved by the Lead Agency:

________________________________________ Date: __________________________
< Lead Agency Representative Name>

<Title>

TRANSPORTATION PLANNING COMMITTEE (TPC)

Approved by the Transportation Planning Committee (TPC):

________________________________________ Date: __________________________
< TPC Representative Name>

<Title>
**Prime Consultant Acceptance**

Approved by the Prime Consultant:

_________________________________________________________ Date: ______________________

<Consultant Representative Name>

<Title>

<Firm Name>

**Sub Consultants**

**Sub Consultant Acceptance**

Approved by the Sub Consultant:

_________________________________________________________ Date: ______________________

<Sub Consultant Representative Name>

<Title>

<Firm Name>

**Sub Consultant Acceptance**

Approved by the Sub Consultant:

_________________________________________________________ Date: ______________________

<Sub Consultant Representative Name>

<Title>

<Firm Name>

**Sub Consultant Acceptance**

Approved by the Sub Consultant:

_________________________________________________________ Date: ______________________

<Sub Consultant Representative Name>

<Title>

<Firm Name>
CITIZEN’S COMMITTEE MEMBER ACCEPTANCE (RTA PROJECTS ONLY)

_________________________________________  Date: ______________________
<Name>

_________________________________________  Date: ______________________
<Name>

_________________________________________  Date: ______________________
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<Name>
MINOR PROJECT CHARTER TEMPLATE

<Project Name>

<TIP ID #>

*THIS FORM IS FOR USE ON PROJECTS UNDER $3M

Instructions
Each project will have its own unique Project Charter which may be catered to jurisdictional guidelines. Jurisdictions should feel free to add additional text as they see appropriate.

<Paragraph 1: Formally authorize the project>
This Charter sets forth a framework and expectations for the development of plans and specifications for the construction of <complete the sentence with the title of the project, and its TIP ID number.>. Project plans will be developed in accordance with the policies of the Region and the <Lead Agency>. Commencement of project activities may begin upon approval of this Project Charter, all required Intergovernmental Agreements and identification of the sources of all needed financial resources necessary to execute it by the Project Sponsor. Included in this Project Charter are to be a scope statement; schedule; cost estimate; budget for planning and design; and provisions for public involvement, communications and stakeholder management as required by established regional policies.

<Paragraph 2a: Project Scope (RTA Projects) - State the RTA scope of the project, as described in the RTA Administrative Code and any project enhancements to be designed and constructed in conjunction with the project.>
The purpose of the <Project Name> project is to plan, design and construct the voter-approved improvements described as: <insert the project scope, as described in the RTA Administrative code >. This project meets the requirements of the voter-approved RTA Plan.<Add any additional scope element enhancements desired by the Lead Agency >.

<Paragraph 2b: Project Scope (non-RTA Projects) - State the scope of the project, and any project enhancements to be designed and constructed in conjunction with the project.>
The purpose of the <Project Name> project is to plan, design and construct the improvements described as: <insert the project scope>.

Disclaimer of Fund Availability: PAG does not generate or directly collect any regional funding but through the programming process makes state and federal funds available for jurisdictional projects/programs as identified in the Transportation Improvement Program (TIP) document. The funding programmed available in the TIP is based on the best estimates available. However, it should be noted that regional HURF funds, both 12.6% and 2.6% funds are derived from PAG’s portion of state gasoline use fees (as well as other components) and that PAG receives monthly distributions to an account from which jurisdictional reimbursement requests are paid. All of the funds programmed in a fiscal year are based on the entire year; therefore, the fund balance may not reach the estimate until the end of the fiscal year. If all programmed projects request reimbursement at the
beginning of the fiscal year, it may be necessary to hold payments until the fund has been replenished to accommodate the drawdown requests.

The TIP is updated annually and therefore only fund amounts in the current fiscal year listed in the TIP should be counted on. Multi-year funding plans may use future TIP years for planning purposes but any sort of “advanced construction” beyond the first year of the TIP is done at the jurisdiction’s risk.

**Regional Fund Type:** (STP or 12.6%)

**Consistent with the adopted RTP:** (RTP #)

**Project Length:** (length in miles)

**Project elements – Check all that apply**

<table>
<thead>
<tr>
<th>Rubberized asphalt</th>
<th>Sound walls</th>
<th>Bus pullouts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Turn lanes</td>
<td>Striping</td>
<td>Bridge</td>
</tr>
<tr>
<td>Culverts</td>
<td>Signing</td>
<td>Drainage Improvements</td>
</tr>
<tr>
<td>Overpass</td>
<td>Underpass</td>
<td>Wildlife crossing</td>
</tr>
<tr>
<td>Signals</td>
<td>Detection cameras</td>
<td>Median</td>
</tr>
<tr>
<td>Purchase of property</td>
<td>Pedestrian lighting</td>
<td>Street lighting</td>
</tr>
<tr>
<td>Sidewalks</td>
<td>Curbs</td>
<td>Bike lanes</td>
</tr>
<tr>
<td>Multi-use paths</td>
<td>Art</td>
<td>Bike racks</td>
</tr>
<tr>
<td>Landscaping</td>
<td>ADA enhancements</td>
<td>Pavement preservation</td>
</tr>
<tr>
<td>Utility relocation</td>
<td>Guard rails</td>
<td>Other</td>
</tr>
</tbody>
</table>

**Estimated Design Costs:** ($ design)

**Estimated Public Involvement Cost:** ($ Public Involvement)

**Estimated Right-of-way Cost:** ($ R/W)

**Estimated Construction Cost:** ($ construction)

**Estimated Total Project Cost:** ($ total)

**Estimated Design completion date:** (date)

**Estimated Right-of-way completion date:** (date)

**Estimated Construction completion date:** (date)

*For federal projects, estimate obligation dates and obligation amounts

**Paragraph 3: Provide the summary milestone schedule >**

**RTA Projects only:**

This Project is in RTA Implementation Period # <insert period>, with project construction required to commence prior to June 30, <insert period>, in accordance with the voter-approved RTA Plan.

**All Projects:**

The planning phase of this project is to conclude by <insert date>, with the delivery of a Design Concept Report and 15% plans (Stage I). Project design, including preparation of final plans, specifications and estimates are to be delivered by <insert date>, with the
project to be bid by <insert date>. <if you have hard dates for milestones which the project must meet, include them here – for example a regulatory requirement could impose a hard date for a milestone>

TRANSPORTATION PLANNING COMMITTEE (TPC)

Approved by the Transportation Planning Committee (TPC):

______________________________ Date: ____________________

<TPC Representative Name>

<Title>
### TIP Amendment Policy
Adopted by TIP Subcommittee on 4/17/07

<table>
<thead>
<tr>
<th>Amendment Type</th>
<th>May Be Initiated By:</th>
<th>Recommendation for Approval Needed From:</th>
<th>Final Approval Required By:</th>
<th>Air Quality Conformity</th>
<th>Fiscal Constraint</th>
<th>Other/Notes Examples</th>
</tr>
</thead>
<tbody>
<tr>
<td>Automatic Insertion</td>
<td>Previously approved</td>
<td>Previously approved</td>
<td>PAG Executive Director</td>
<td>Previously approved</td>
<td>Previously approved</td>
<td>Incorporation of RTA Board adopted projects and RTA funding levels into the PAG TIP Incorporation of Transportation Enhancement Projects adopted by the Arizona State Transportation Board</td>
</tr>
<tr>
<td>Administrative Correction</td>
<td>PAG Staff or Implementing Agency</td>
<td>PAG Staff or Implementing Agency and TIP Subcommittee</td>
<td>PAG Executive Director</td>
<td>Projects Must be Exempt or the Amendment of a Nature That Does Not Require Analysis</td>
<td>Must Have No Adverse Impact</td>
<td>Scrivener's errors Revisions to project name Change of funding source, including transfer of funds, of $100,000 or less between projects already in TIP Changes in funding schedule up to one year Minor changes to project description or scope, as determined by the Executive Director – such as reducing, or increasing the purchase of a quantity of buses from 11 to 10, or vice-versa; changing the phase (design, construction etc.) for which funds will be used Correction of other minor oversights that do not impact air quality, fiscal constraint, or project scope.</td>
</tr>
<tr>
<td>Technical Amendment</td>
<td>Implementing Agency</td>
<td>TIP Subcommittee, TPC, and Management Committee</td>
<td>PAG Executive Director, subsequently reported at the next available Regional Council</td>
<td>Projects Must be Exempt or the Amendment of a Nature That Does Not Require Analysis</td>
<td>Must Have No Adverse Impact</td>
<td>Change of funding source, including transfer of funds, of over $100,000 but less than $200,000 between projects already in TIP Change of project sponsor Change in funding schedule over one year Deletion of non-regionally significant (no air quality analysis required) projects Reasonably substantive change (as determined by the TIP Subcommittee) in project description, limits, scope or phase start dates Adding new projects of $200,000 or less for which funding has been identified Adjustments of $200,000 or less in existing project funding Changes in federal projects that involve $200,000 or less in federal funding Other adjustments which would not trigger a formal amendment</td>
</tr>
<tr>
<td>Formal Amendment</td>
<td>Implementing Agency</td>
<td>TIP Subcommittee, TPC, and Management Committee</td>
<td>Regional Council</td>
<td>Project Impact Requires New Conformity Analysis</td>
<td>Fiscal Impact Must Be Addressed</td>
<td>Additions or deletions of projects which require an air quality analysis Major change in project description, limits, scope or phase start dates Adding new projects over $200,000 for which funding has been identified Additions, deletions, adjustments or transfers of funding amounts in excess of $200,000</td>
</tr>
</tbody>
</table>