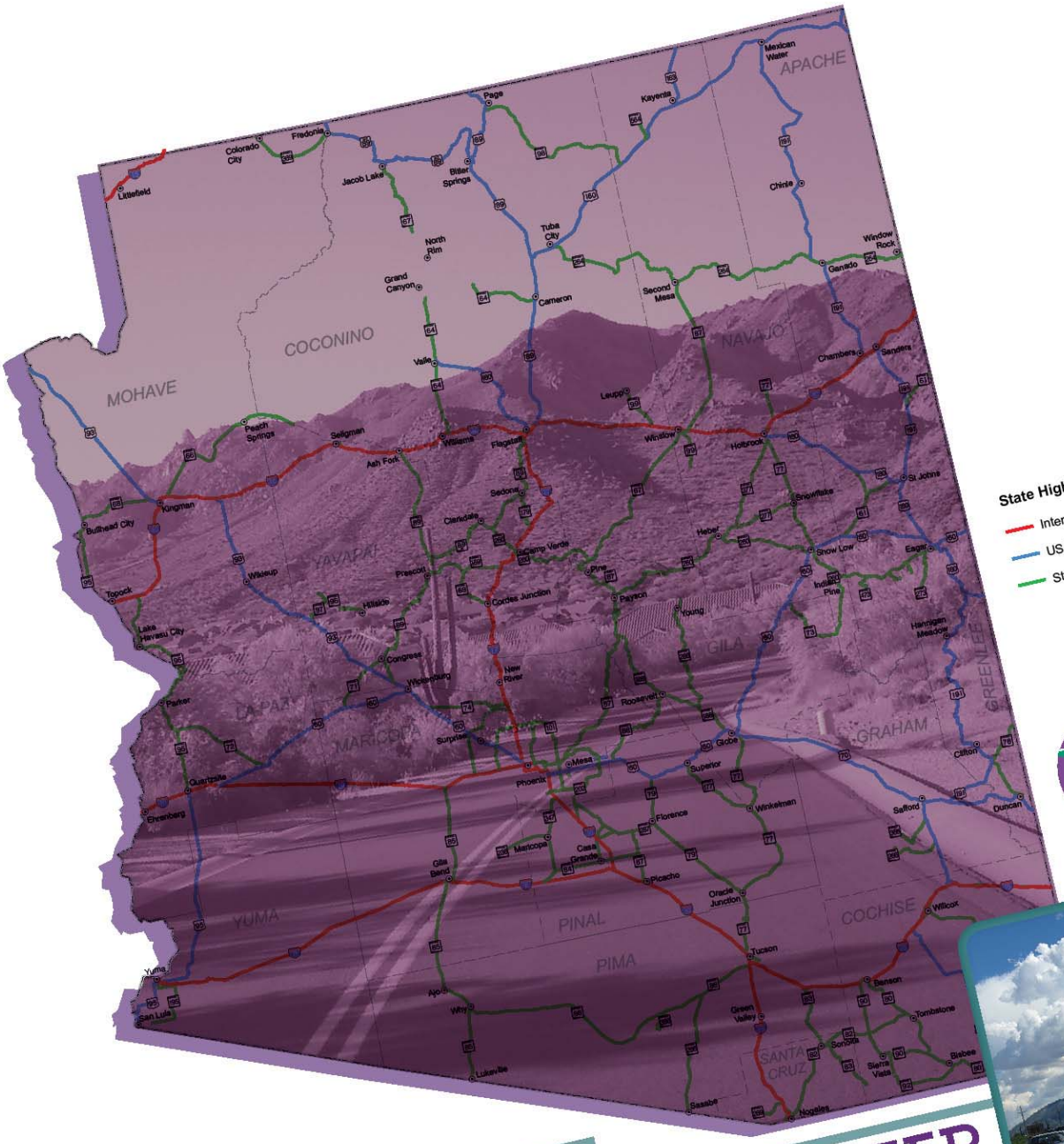
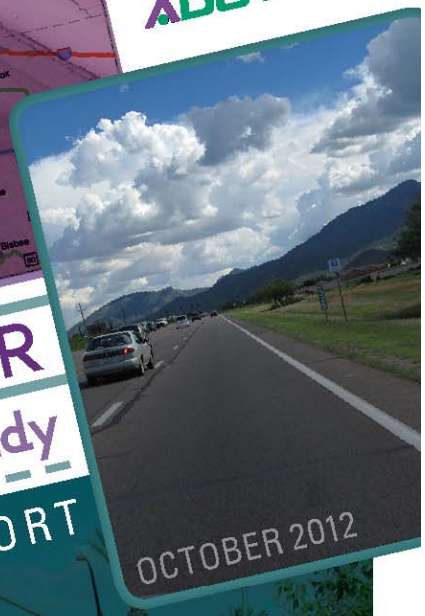


ADOT ROUTE TRANSFER Procedures Study

SUMMARY REPORT



OCTOBER 2012

ADOT Route Transfer Procedures Study Summary Report

ADOT MPD Task Assignment 15-11
PG TD0624
Contract # T08-49-U0001

Prepared by:

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Prepared for:
ARIZONA DEPARTMENT OF TRANSPORTATION
MULTIMODAL PLANNING DIVISION

October 2012
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1. Introduction and Study Objectives

1.1 Introduction

The Arizona Department of Transportation (ADOT) is charged with designating, planning, designing, constructing, operating, and maintaining a network of roadways that serve statewide and regional travel. With the population growth that has taken place in Arizona, certain State highways that originally connected relatively distant urban centers are now serving more localized travel demands associated with adjacent land developments. To ensure that ADOT can sustain their primary mission of facilitating safe and efficient regional and statewide transportation connectivity, a cooperative process is needed to work with local and tribal government agencies to evaluate the historic, current, and future functions of certain State highways to determine which agency is best suited to provide long-term facility ownership and management.

The Route Transfer Procedures Study resulted in development of a *Route Transfer Handbook* that describes the processes and procedures associated with transfers of road jurisdiction, both to and from the State Highway System. The intended users of the Handbook are ADOT, local government agencies, tribal governments, Councils of Governments (COGs), Metropolitan Planning Organizations (MPOs), and other agencies that may be involved in the decision-making processes regarding jurisdictional responsibility for the State Highway System. The Handbook is intended to be a guidance document. There is significant flexibility in the route transfer process. The process outlined in this Handbook may be modified to match the needs of the route transfer proposal.

The *Route Transfer Handbook* is available under separate cover from this document.

1.2 Study Objectives

The objectives of the Route Transfer Procedures Study were to define a process for assessing the function of certain State highways relative to regional and statewide travel criteria and to formulate a rational and mutually agreeable transition strategy to transfer ownership responsibilities between government agencies. The study does not identify specific routes that may be candidates for transfer, but rather focuses on processes, procedures, and policies needed to form the framework for successful transfer agreements.

1.3 The State Highway System

Highways are critical to Arizona's economic vitality. There are 17,100 highway lane miles operated and maintained by ADOT[1]. The State Highway System is shown in **Figure 1**.

Major interstate highways in Arizona are the east-west highways of I-8, I-10, and I-40, and the north-south interstate highways of I-17, I-19, and I-15, which serves the far northwest corner of the State.

U.S. Routes (shown in blue on **Figure 1**) include the following routes: U.S. 60, 70, 89, 89A, 93, 95,160, 163, 180, and 191. U.S. routes are part of an integrated system of highways within the United States, maintained by the State. The Interstate Highway System has largely replaced

[1] *What Moves You Arizona, Transportation in Arizona Executive Summary*

the U.S. Highways for through traffic, though many regional connections are still made by U.S. Highways.

State Routes are shown in green in **Figure 1**.

1.4 Why Transfer Roads

As the road system in Arizona grows and changes to meet land development demands and population growth, the functions of the roads adapt to the needs. Roads that serve primarily local trips may be more suitable to be transferred to the local road system. Conversely, local roads that primarily serve regional and statewide through trips or connect to state roadway facilities may be candidates for transfer to the State Highway System. In both cases, a transparent and cooperative process is needed to determine which agency is best suited to provide long-term ownership and management of the road.

1.4.1 Transfers from the State Highway System to Local or Tribal Roads

The major reason for transferring a state highway to a local jurisdiction is that the road serves primarily local interests. Arizona State Transportation Board Policy 16 states[2]: "Routes primarily providing land access and local movement of people and goods should be the responsibility of local governments."

There are a number of other reasons why ADOT might desire to transfer a state highway segment to a local or tribal government:

- The roadway carries vehicle trips that are mostly local in nature-for shopping, local business, and recreation
- The roadway function has changed and no longer provides higher-capacity continuity in the State Highway System
- A new state highway bypasses a city, and the route through the city is no longer needed as part of the State Highway System
- Highway realignment leaves a remnant portion of a state highway that is useful primarily for local access purposes
- Having only one government making access management, maintenance, and operations decisions on a roadway might result in greater efficiency, support economic vitality, and improve community responsiveness
- The local or tribal government wants to have improvements, permit accesses, or maintain the state route in a way that is different from ADOT
- The highway no longer provides interstate, intrastate, or regional system connectivity

A transfer to a local government may allow the local jurisdiction to maintain the road consistent with local objectives, and to use alternative funding options in order to do so; however, such a transfer may have financial implications on local and/or tribal government budgets (as applicable).

[2] *http://www.azdot.gov/Board/PDF/Board_Policies_010411.pdf*

1.4.2 Transfers from the Local or Tribal Road System to the State Highway System

There are also reasons why a local or tribal road or highway should be added to the State Highway System:

- Long-range planning indicates that the road will serve a regional or statewide function
- The road may connect to a planned state route
- The local road currently serves a statewide or regional function. Examples include a major urban arterial that serves mainly through traffic, or a rural route that has statewide economic importance
- The road is a connector between two interstates or state highways, or between a state highway and an interstate route

Figure 1 - State Highway System

2 Study Process

Working Paper No. 1 – Work Plan provides an overview of the study process. The process included collaboration with a Project Management Team (PMT) and Technical Advisory Committee (TAC), one-on-one stakeholder interviews, and public education. Working Paper No. 1 is included in Appendix 2.

2.1 Technical Advisory Committee

The PMT consisted of ADOT management staff who provided project direction and input to the study. Meetings were held one to two weeks in advance of Technical Advisory Committee (TAC) meetings. The PMT representatives are listed in **Table 1.** Five TAC meetings were held on approximately a bi-monthly basis. TAC meeting agendas and summaries are included in Appendix 1.

Table 1 - ADOT Project Management Team Members

Organization	Name	Email
ADOT Multimodal Planning Division	Scott Omer	somer@azdot.gov
ADOT Multimodal Planning Division	Justin Feek	jfeek@azdot.gov
ADOT Traffic Operations	Mike Manthey	mmanthey@azdot.gov
Arizona State Engineer's Office	Floyd Roehrich	froehrich@azdot.gov
ADOT Intermodal Transportation Division Operations	Dallas Hammitt	dhammit@azdot.gov
Arizona Attorney General's Office	Joe Acosta	joe.acosta@azag.gov
ADOT Communication and Community Partnerships	Bill Pederson	bpederson@azdot.gov
ADOT Communication and Community Partnerships	Lars Jacoby	ljacoby@azdot.gov
ADOT Right-of-Way	Paula Gibson	pgibson@azdot.gov
Kimley-Horn and Associates	Bryan Patterson	bryan.patterson@kimley-horn.com
Kimley-Horn and Associates	Bob Mickelson	rmickelson37@q.com

In addition to the PMT, a broader-based TAC was established to include other key stakeholders, including selected representatives of COGs, MPOs, cities and towns, counties, and tribal communities. PMT members were also members of the TAC. Meetings were held via video conference to encourage broad participation and minimize travel costs. The TAC distribution list is provided in **Table 2.**

Table 2 - Technical Advisory Committee

Organization	Name	Email
ADOT Administration	John McGee	jmcgee@azdot.gov
ADOT Flagstaff District	Audra Merrick	amerrick@azdot.gov
ADOT Flagstaff District	John Harper	jharper@azdot.gov
ADOT Globe District	Matt Moul	mmoul@azdot.gov
ADOT Globe District	Rod Lane	rlane@azdot.gov
ADOT Holbrook District	Lynn Johnson	lynnjohnson@azdot.gov
ADOT Kingman District	Kenneth Paetz	kpaetz@azdot.gov
ADOT Kingman District	Michael Kondelis	mkondelis@azdot.gov
ADOT Prescott District	Greg Gentsch	ggentsch@azdot.gov
ADOT Prescott District	Randy Blake	rblake@azdot.gov
ADOT Public Involvement Director	Teresa Wellborn	twelborn@azdot.gov
ADOT Right of Way Group	Paula Gibson	pgibson@azdot.gov
ADOT Right of Way Group	Sabra Mousavi	smousavi@azdot.gov
ADOT Right of Way Group Operations Section	Patrick Stone	pstone@azdot.gov
ADOT Safford District	Arturo Baeza	abaeza@azdot.gov
ADOT Tucson District	Jerry James	jjames@azdot.gov
ADOT Tucson District	Todd Emery	temery@azdot.gov
ADOT Yuma District	Alvin Stump	astump@azdot.gov
ADOT Yuma District	Bruce Fenske	bfenske@azdot.gov
ADOT Yuma District	Michael Jones	mjones@azdot.gov
Central Arizona Governments (CAG)	Bill Leister	bleister@caagcentral.org
Central Yavapai Metropolitan Planning Organization (CYMPO)	Christopher Bridges	christopher.bridges@co.yavapai.az.us
Federal Highway Administration (FHWA)	Ed Stillings	ed.stillings@dot.gov
FHWA	Nate Banks	nathan.banks@dot.gov
Flagstaff Metropolitan Planning Organization (FMPO)	David Wessel	dwessel@flagstaffaz.gov
FMPO	Martin Ince	mince@flagstaffaz.gov
InterTribal Council of Arizona (ITCA)	Esther Corbett	esther.corbett@itcaonline.com
Maricopa Association of Governments (MAG)	Roger Herzog	rherzog@azmag.gov
MAG	Eric Anderson	eanderson@azmag.gov
Navajo Nation Transportation	Paulson Chaco	pchaco@navajodot.org

Table 2 - Technical Advisory Committee (continued)

Organization	Name	Email
Northern Arizona Council of Governments (NACOG)	Chris Fetzer	cfetzer@nacog.org
PAG	Gary Hayes	ghayes@pagnet.org
PAG	John Liosatos	jliosatos@pagnet.org
PAG	Tim Thurein	tthurein@pagnet.org
Pima Association of Governments (PAG)	Cherie Campbell	ccampbell@pagnet.org
Southeastern Arizona Governments Association (SEAGO)	Luke Droeger	ldroeger@seago.org
Western Arizona Council of Governments	Sharon Mitchell	sharonm@wacog.com
Yavapai County	Chris Bridges	cbridges@pvaz.net
Yuma Metropolitan Planning Organization (YMPO)	Charles Gutierrez	cgutierrez@ympo.org
YMPO	Paul Patane	ppatane@ympo.org
YMPO	Charlene Fitzgerald	cfitzgerald@ympo.org

2.2 Public Involvement

It was determined that public meetings were not appropriate for this project since it involves processes and administrative procedures that may not generate significant general public interest.

In lieu of public meetings, an educational PowerPoint presentation was developed that is available for use by ADOT staff. The presentation can be made to stakeholder groups that may have a specific interest in route transfer procedures. The PowerPoint presentation is discussed more in Chapter 5, and is included in Appendix 4.

It should be noted that the Route Transfer Handbook identifies a public involvement function may be conducted as part of the route transfer process.

2.3 Project Schedule

The project was initiated in March 2011 and a draft Route Transfer Handbook was completed in December of 2011. Following release of the draft handbook, an educational PowerPoint presentation was developed for use in presenting the study process and recommendations to a variety of interested stakeholder groups. In June, 2012 the handbook was published in final form. Additional stakeholder presentations were performed through September 2012.

2.4 Study Tasks

The Project Work Plan included seven tasks that encompass the Scope of Work.

- Task 1: Work Plan/Project Management
- Task 2: Stakeholder Interviews
- Task 3: Justification of Need and Negotiation Criteria Collection Working Paper

- Task 4: Prepare Initial Draft Report
- Task 5: Public Education Presentation
- Task 6: Prepare Final Route Transfer Report
- Task 7: Report Presentations (optional Task)

Details of each Task are included in Working Paper No. 1 – Work Plan, in Appendix 2.

3 Stakeholder Interviews

Stakeholders served as a critical element in the study process. The project team conducted stakeholder interviews with a representative cross-section of staff members from ADOT, FHWA, cities, towns, counties, MPOs, and COGs who have participated in prior route transfer negotiations or may have some involvement in future route transfer negotiations. Fifty-one stakeholders were identified for interviews. Stakeholder interviews were conducted in May, June, and July of 2011 with 31 of the 51 stakeholders contacted. Those interviewed represented ADOT (13), local governments (8), regional planning agencies (7), and other agencies (3). The names, titles, and organizations of survey respondents are summarized in **Table 3**.

Table 3 - Stakeholder Contact List

Survey Respondent	Title	Representing
Cities/Towns/Counties		
Pawan Agrawal	Public Works Director/City Engineer	Bullhead City
Dan Cook	Transportation Director	City of Chandler
Terry Johnson	Deputy Transportation Director	City of Glendale
Mark Clark	Public Works Director	Lake Havasu City
Jack Kramer	City Manager	City of Kingman
John Hauskins	Transportation Department Director	Maricopa County Department of Transportation (MCDOT)
David Moody	City Planning Director	City of Peoria
Grant Anderson	Town Engineer	Youngtown
ADOT		
John McGee	Executive Director for Planning and Policy	ADOT Administration
Floyd Roehrich	ADOT State Engineer	ADOT Administration
Lynn Johnson	District Engineer	ADOT Holbrook District
Walter Link	District Traffic Engineer	ADOT Flagstaff District
Chuck Gillick	Maintenance Engineer	ADOT Flagstaff District
John Harper	District Engineer	ADOT Flagstaff District
Audra Merrick	District Development Engineer	ADOT Flagstaff District
Mike Kondelis	District Engineer	ADOT Kingman District
Tim Wolfe	District Engineer	ADOT Phoenix Maintenance District
Paula Gibson	Chief Right-of-way Agent	ADOT Right of Way
Bill Harmon	District Engineer	ADOT Safford District
Mike Manthey	State Traffic Engineer	ADOT Traffic
Alvin Stump	District Engineer	ADOT Yuma District

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MPOs/COGs		
Bill Leister	Transportation Manager	CAG
Chris Bridges	CYMPO Administrator	CYMPO
Roger Herzog	Senior Project Manager	MAG
Cherie Campbell	Director of Planning	PAG
John Liosotos	Director of Transportation Planning	PAG
Randall Heiss	Executive Director	SEAGO
Sharon Mitchell	Transportation Planner	WACOG
Paul Patane	Senior Transportation Planner	YMPO
Other State and Federal Agencies		
Jennifer Dorsey	Lawyer	Arizona Attorney General's Office
Ruben Ojeda	Manager, Right-Of-Way	Arizona State Land Department
Nathan Banks	Senior Engineering Manager	FHWA

3.1 Stakeholder Interview Questions

Stakeholders were asked the following questions. A summary of responses is provided in Working Paper No. 2 in Appendix 2.

1. Have you been involved in any previous or ongoing route transfer discussions with ADOT? If so, how?
2. What is your understanding of State Statutes and ADOT's policies and administrative procedures regarding route transfer?
3. What do you consider to be the benefits, risks, or impediments to a route transfer?
4. If you were engaged OR will be engaged in a route transfer discussion with ADOT, what is your role (check all that are applicable)?
    a. Negotiator
    b. Decision maker
    c. Advisor
    d. Fact finder / data collector
    e. Other
5. If you have been involved with a route transfer, on a scale of 1 to 5, with 5 being "completely satisfied," how would you rate the following and why?
    a. Negotiation process
    b. Financial responsibilities
    c. Maintenance responsibilities
    d. Time frame for completing the transfer
    e. Outcome of the transfer

6. If you have been involved with the completion of a route transfer, what were the critical decision points in the process and how was agreement reached on those points?
7. What roles should the State Transportation Board and local elected officials have in the route transfer process?
8. If you have been or expect to be involved in a route transfer, what data, criteria, or information should be provided by ADOT and at what point in the process? By other agencies?
9. Who should be involved in negotiating a route transfer?
10. What should be the format for negotiation? Should a facilitator or mediator be involved?
11. Should a route transfer include a public participation component? If so, in what format?
12. How can the time frame for route transfer be minimized?
13. What changes would you recommend to State Statutes or ADOT policies and procedures related to route transfer?
14. Do you have any other comments that we have not covered?
15. Are there any other individuals you would recommend for participation in this survey?

3.2 Summary of Stakeholder Interview Responses

The results of stakeholder interviews served as input to the development of the Route Transfer Handbook. Key findings of the survey were:

- More documentation on the process, including flow charts and time frames, would be useful and is needed.
- Identification of benefits, risks, and impediments for both transferring agencies and accepting agencies, which can be used in developing procedures.
- Satisfaction with the route transfer process was generally high once the transfer was complete.
- The negotiation process was rated the lowest by survey respondents due mainly to frustrations in reaching agreement among all the parties involved.
- Funding for capital improvements and maintenance was mentioned by respondents as the most critical, controversial, and time-consuming decision point.
- Survey information on data requirements indicated that most of the data sources are needed from ADOT early in the route transfer process. It should be noted that the responses might be skewed because respondents assumed transfers from ADOT to local agencies, rather than the reverse. The data provider in most cases should be the transferring agency. Major items that are needed from other agencies include utility information, police reports, transportation network information, development plans, other mode information, desire to use route for local events, and desired aesthetic / enhancement improvements. Underlying ownership of the right–of-way was very

important with ADOT right-of-way interviewees, particularly when, State, federal and tribal lands are involved.

- Most respondents focused on having management-level staff within the ADOT District Offices and City/County Manager or Public Works/Engineering Departments as the primary negotiators for route transfers.
- Most respondents recommended face-to-face meetings with the respective staff responsible for negotiating the transfer agreement. There was a mixed response with respect to the use of a facilitator.
- There was also a mixed response to inclusion of a public involvement component. Many of those supporting a public participation component referenced the fact that the State Transportation Board meetings, City Council meetings, and Board of Supervisors meetings are all open to the public and these venues could serve as the opportunity for public comment. Another option suggested was the use of an online survey or public opinion poll. It was also suggested that the format for public participation should be decided by the entity accepting the route to be transferred. One respondent suggested that possibly a public notice of intent could be issued at the start of the process to get an indication whether the transfer could be controversial.
- Although some survey respondents did not think there was a need to shorten the time frame for a route transfer, there were suggestions made to shorten the process, including developing a clearly defined process and flow chart.
- A key recommended change in procedures was to develop a ***letter of interest approach*** to document the intent of the transfer, identify process decision makers, and develop a time line for the transfer.
- Statute, policy, and procedures changes were suggested.

4 Route Transfer Considerations

Working Paper No. 3 – Route Transfer Evaluation Considerations included the following:

- Existing Route Transfer Process, Guidelines, and Procedures, including a summary of State Transportation Board Policies, State Highway Classification Criteria, and Arizona Revised Statutes.
- Best Practices Review from other states with documented route transfer procedures. The best practices review included information from California, Illinois, Oregon, Florida, Pennsylvania, Minnesota, and Washington.

Working Paper No. 3 is included Appendix 2. The following is key information from Working Paper No. 3.

4.1 Existing Route Transfer Statutes and Policies

A summary of existing relevant state statutes and State Transportation Board (Board) policies is presented in **Table 4**. It is anticipated that the Board policies will be amended to be compatible with the results of this study.

Table 4 - Relevant Arizona Revised Statutes and State Transportation Board Policies

Statute or Policy	Summary
Arizona Revised Statute (A.R.S)	
28-101,(Definitions)	Provides definitions.
28-304. Powers and duties of the board; transportation facilities	Describes powers and duties of the board, including abandonment of state highways.
28-401, Intergovernmental agreements (I.G.A.)	Authorizes the ADOT Director to enter into agreements with cities, tribes, and counties for improvements to state routes.
28-6993, State highway fund; authorized uses	Authorizes state highway funds to be expended on land damages associated with abandoning portions of a state highway.
28-7041,State highways and routes defined	Defines the powers and duties of the State Transportation Board regarding establishing a state highway system.
28-7207, State roadway abandoned	Abandonment of state highways outside of incorporated limits vests to counties.
28-7209, Vacated or abandoned highway; affected jurisdiction; procedure	In conjunction with state highway abandonment, the State Transportation Board will: • Recognize financial and administrative impacts of abandonment on local jurisdictions • Provide four years advance notice to local jurisdiction, except by mutual agreement • Provide 120-day notice to local jurisdiction for the abandonment of new street improvements such as cul-de-sacs and reconnections of existing streets resulting from highway projects • Improve abandoned highway such that surface treatment is not required for at least five years, except by mutual agreement
28-7210, Reservation of easements	Rights-of-way or easements continue as they existed before the disposal or abandonment of the rights-of-way or easements.

Table 4 - Relevant Arizona Revised Statutes and State Transportation Board Policies

Statute or Policy	Summary
A.R.S (continued)	
28-7213, Resolution; effective date	Resolutions vesting a roadway to another jurisdiction must describe the roadway and its use, and take effect when it is recorded in the office of the County Recorder.
28-7214, Extinguishment of easements	Right-of-way easements may be distinguished through resolution.
28-7043, Designation of state route as state highway	• County Board of Supervisors may petition the transportation board to take over and designate a state route as a state highway. • Until designated as a state highway, state routes are constructed and maintained as county highways. • State routes will not be designated as a state highway until funding is programmed for improvement. • ADOT maintains state routes that are designated and accepted by the State Transportation Board as state highways.
28-7049. Classification of streets that connect highways and routes	If the streets of a city or town form necessary connection of sections of state highways or state routes, governing bodies may mutually agree that the streets are deemed state highways or county highways, respectively.
Arizona State Transportation Board Policies	
Policy No. 5 - State Highway System Priorities Policy	Priority is placed on state highways that: • Connect Arizona's regions and population centers by an efficient network of highways to carry travelers and commerce throughout the state; • Connect Arizona, its regions, and population centers with other states and Mexico; and • Connect major population centers and through routes within urban areas with high-volume routes that increase mobility of people and goods. State Highway System should include routes primarily designed to carry through traffic, including: • Interstate Highways; • Other arterial routes connecting Arizona's population centers and interconnecting with those of other states; • High capacity connecting routes needed to form an efficient network.
Policy No.16 - Transfer of State Routes Policy	The State Highway System consists primarily of routes necessary to serve statewide and regional movement of people and goods. Routes primarily providing land access and local movement of people and goods should be the responsibility of local governments. The State Transportation Board will seek to transfer these routes to other jurisdictions. ADOT will maintain a list of state highways that do not serve as integral parts of the State Highway System and therefore are eligible candidates for transfer: • ADOT will not abandon routes that do not serve a need as part of a State Highway System, but serve significant state or national facilities, unless an appropriate jurisdiction can be found to operate the route. • Routes that are not necessary for a network of state routes and serve no significant statewide interest.

Table 4 - Relevant Arizona Revised Statutes and State Transportation Board Policies (continued)

Statute or Policy	Summary
Policy No.16 - Transfer of State Routes Policy (continued)	• Other routes to local jurisdictions when bypasses or parallel routes are constructed. Priorities for route transfer are: a) Routes for which local governments have expressed interest in acquiring; b) Routes for which ADOT is constructing a bypass or alternate route; c) Existing business routes not necessary for system continuity; d) Other routes as ADOT construction and maintenance activities result in opportunities to transfer or as requested improvements provide opportunity to negotiate transfers.

4.2 Best Practices Summary

A best practices review of route transfer processes in other states was conducted. The following are key items gleaned from the best practices review.

1. The best practice review highlighted the convenience of having guidelines for route transfers in one easy-to-use document.
2. Common features of the best practice states that could be incorporated into an Arizona route transfer process are:
   - Flow chart of the process for route transfers.
   - Step-by-step descriptions of each route transfer element, which include who is responsible for the individual step, and what documentation is involved.
   - Communicating the purpose of the transfer with the local government early in the process.
3. The process for changing highway route numbers is a consideration and it can be a separate process.
4. Decision-making criteria and considerations in the best practice states were:
   - Goal of the transfer
   - Trip character
   - Highway function
   - Land use
   - Highway mobility standards
   - Access management
   - Future needs
   - Local government desire
   - Scenic byways
   - Benefits and cost
   - Funding the transfer
   - No longer required as a part of the highway system
   - A municipality has expressed an interest in owning and has the ability to maintain
   - Route has low Average Daily Traffic
   - Route is maintenance functional class D or E or dirt and gravel roadways
   - Route requires maintenance, materials and/or equipment that is more appropriate at the local level

- Route transfer will establish a sound foundation, goodwill, and a good track record for future turnback negotiations
- Turnback will not isolate structures such as bridges, culverts and railroad crossings remaining under the jurisdiction of the state

5. Data to be analyzed in the route transfer were:
    - Ownership of the right-of-way
    - Access control
    - Existing permits, encumbrances, and agreements
    - Highway condition and maintenance agreements
    - Highway improvements and design standards
    - Outdoor advertising
    - Rail crossings
    - Route designations and signs
    - Surplus property
    - Traffic Signals and illumination
    - Traffic engineering documentation (signal warrant studies or other traffic control evaluation)
    - State Legislative District (SLD)
    - Bridge and roadway weight limit postings and restrictions and studies (if appropriate)
    - Active highway permits
    - Utility information
    - Railroad crossing information
    - Construction Plans
6. Negotiation elements that were mentioned in the best practice states are:
    - Cost/benefit analysis for possible compensation
    - Road improvements required before the exchange and scope of work
    - Maintenance clauses
    - Transfer of assets
    - New construction
    - Exchange of services
    - Sharing of costs and funding
    - Working to qualify for federal funds
    - Trading road segments
    - Trades among more than two parties (e.g., state, city, county)
    - Construction of grade changes
    - Changes in location
    - Detours
    - Connecting roads
    - Work completion date
7. In addition to route transfers, some of the guidance documents had separate sections on:
    - Abandonment of State Highway
    - Vacation of State Highway
    - Adoption of State Highway
8. The Pennsylvania Manual had a section on the route adoption process, which was limited to sections with lengths of one mile or less. Adoptions of larger segments are accomplished using specific legislation created for the purpose of transferring jurisdiction of the route to the department.

4.3 Proposed Elements of ADOT Route Transfer Process

The ADOT route transfer process was developed as a cooperative procedure to assess the function of a candidate roadway relative to route transfer evaluation criteria, and to formulate a rational and mutually agreeable transition strategy to transfer ownership responsibilities between government agencies. Route transfer processes were developed for:

- Transfer to the State Highway System
- Transfer from the State Highway System to local or tribal governments

Stakeholder input, best practices review, and direction from the PMT and TAC each served as input to proposed elements of the ADOT Route Transfer Process.

4.3.1 Process Flow Chart

Figure 2 depicts processes for making permanent transfers of responsibilities from the State Highway System to a local or tribal government.

Figure 3 depicts the process for transfer of a roadway from local or tribal government to the State Highway System.

The flow charts reflect the following key steps, which are explained in detail in the following sections:

- Identify and Define a Route Transfer Candidate Segment
  - Route Transfer Candidate Segment – State Route to Local Route
  - Route Transfer Candidate Segment – Local Route to State Route
- Initial Meeting
- Memorandum of Intent
- Preliminary Data Collection
- Preliminary Route Transfer Feasibility Evaluation
- Detailed Data Collection
- Route Transfer Report
- Initial Negotiations
- Public Involvement
- Final Negotiations
- Development of Intergovernmental Agreement (IGA)

Each of the subsequent steps are outlined in detail in the Route Transfer Handbook.

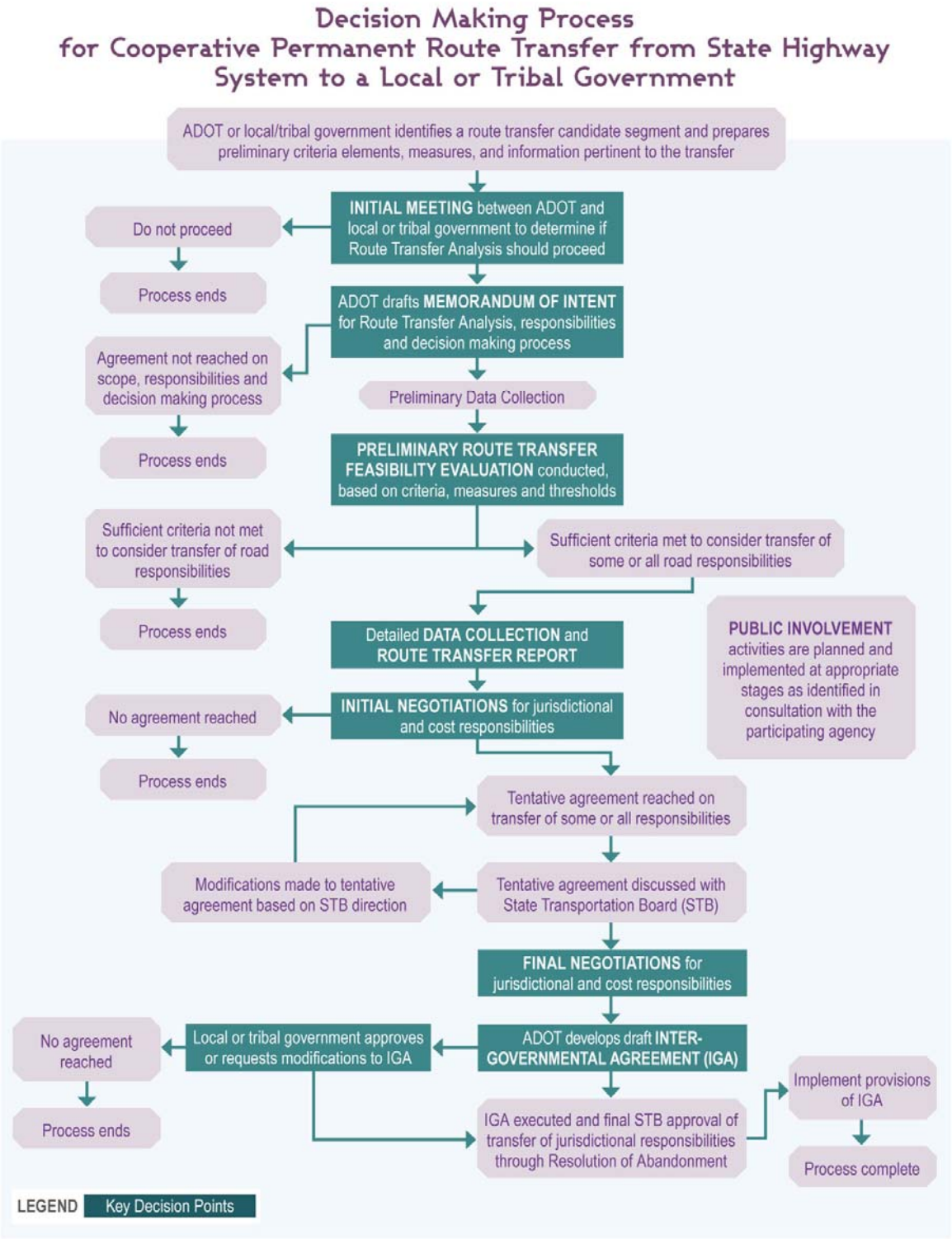


Figure 2 - Transfer from the State Highway System to a Local or Tribal Government

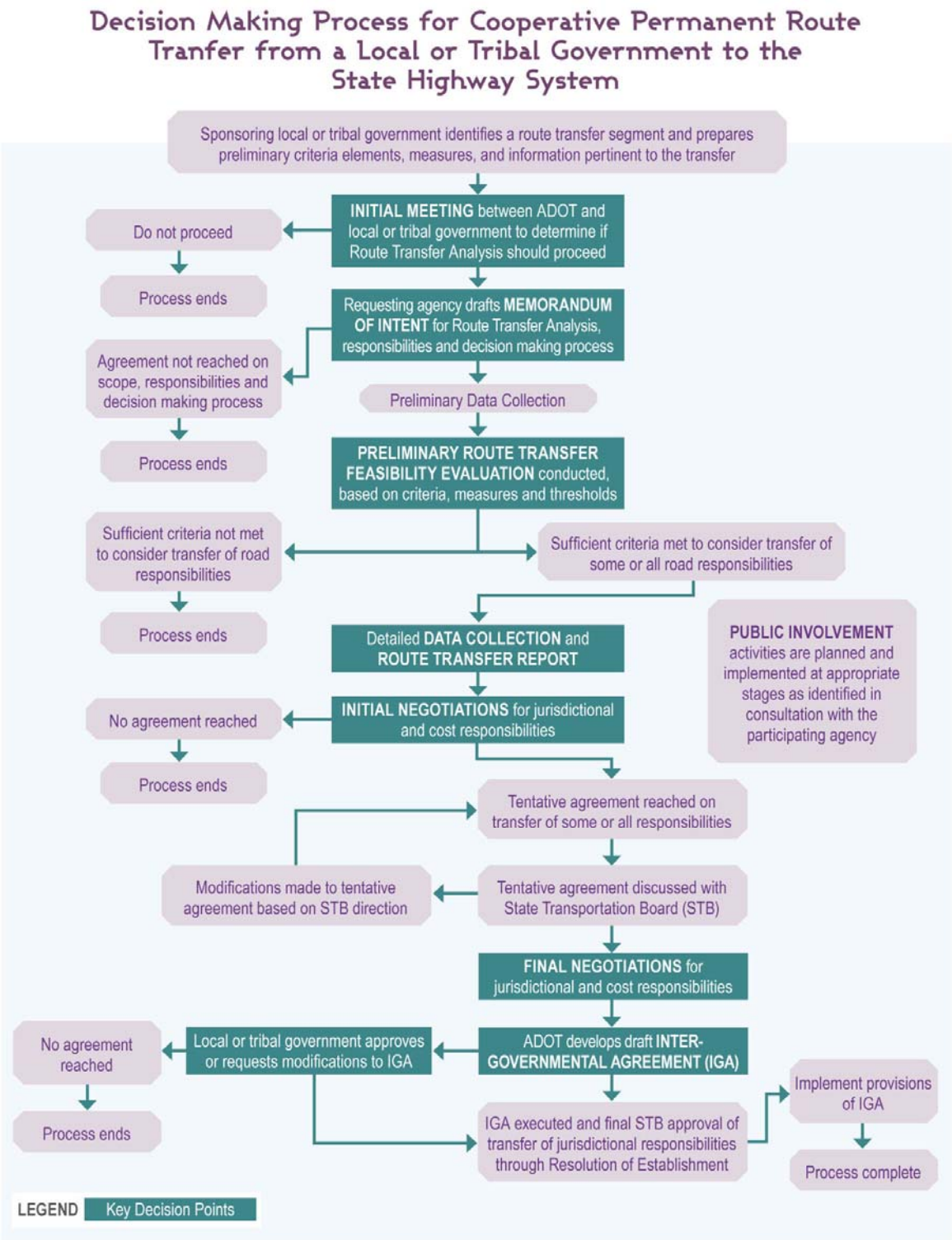


Figure 3 - Transfer from a Local or Tribal Government to State Highway System

4.4 Issues in the Negotiations

Every jurisdictional transfer, whether to or from ADOT, involves a unique set of issues that must be considered during the negotiation process. Issues that may need to be considered include:

- Ownership of the Rights-of-Way
- Access Control
- Existing Permits, Encumbrances, and Agreements
- Roadway Condition and Maintenance
- Roadway Improvements and Design Standards
- Rail Crossings
- Route Signage
- Traffic Signals and Lighting
- Landscaping
- Transfer Time Frames
- Post Transfer Agency Responsibilities
- Financial Considerations

The route transfer process can be a complex and time consuming effort, requiring a strong commitment from the participating agencies to keep the process moving forward. Each transfer will have its own unique characteristics and circumstances that will require tailoring the process to the specific transfer candidate. The end result should be a transfer that meets the goals and objectives of all parties to the transfer agreement and aids decision making regarding the road at the appropriate level of government.

5 Public and Stakeholder Education

5.1 Route Transfer Handbook

A *Route Transfer Handbook* was developed to document the procedures and process that ADOT and local or tribal governments should follow to initiate and implement a route transfer. The *Route Transfer Handbook* is included in Appendix 3.

5.2 Route Transfer PowerPoint Presentation

In addition, a PowerPoint presentation was developed to outline the ADOT route transfer process and procedures. The PowerPoint can be used by ADOT or local and tribal agency staff to educate stakeholders about the ADOT route transfer process. The route transfer PowerPoint presentation is included in Appendix 4.

Appendices

Appendix 1 – TAC and PMT Meeting Summaries

- Kick off Meeting: March 17, 2011
  - Agenda
  - Notes

- PMT Meeting No. 1: April 18, 2011
  - Agenda
  - Sign-in Sheet
  - Notes

- TAC Meeting No. 1: April 27, 2011
  - Agenda
  - Notes
  - PowerPoint Presentation

- PMT Meeting No. 2: September 7, 2011
  - Agenda
  - Notes

- TAC Meeting No. 2: September 15, 2011
  - Agenda
  - Sign-in Sheet
  - Notes
  - PowerPoint Presentation

- PMT Meeting No. 3: November 30, 211
  - Agenda
  - Notes

- TAC Meeting No. 3: December 14, 2011
  - Agenda
  - Sign-in Sheet
  - Notes
  - PowerPoint Presentation

Appendix 2 – Working Papers

1. Working Paper No. 1 – Work Plan
2. Working Paper No. 2 – Stakeholder Interview Summary Report
3. Working Paper No. 3 – Route Transfer Evaluation Criteria

Appendix 3 – Route Transfer Handbook
Appendix 4 – Route Transfer PowerPoint Presentation

Appendix 1

ADOT Route Transfer Procedures Study
MPD Task Assignment 15-11
PG TD0624
Contract # TO849U0001

PROJECT KICK-OFF MEETING

DATE: THURSDAY, MARCH 17, 2011
TIME: 1:00 P.M.
LOCATION: ADOT MPD OFFICES

AGENDA

1. Introductions
2. Review Proposal Scope of Work/Identify Needed Changes
3. Review Schedule/Milestone Dates
4. Identify TAC, Stakeholder Interviewees, and Meeting Locations
5. Discuss Public Involvement Plan
6. Identify Key Resource Documents and "Best Practice" States
7. Administrative Procedures
8. Other Issues
9. Next Steps

FOR MORE INFORMATION CONTACT:
SCOTT OMER, ADOT PROJECT MANAGER, (602) 712-4786
BRYAN PATTERSON, KIMLEY-HORN AND ASSOCIATES, INC., (480) 756-6135

ADOT Route Transfer Procedures Study
MPD Task Assignment 15-11
PG TD0624
Contract # TO849U0001

PROJECT KICK-OFF MEETING SUMMARY

DATE: THURSDAY, MARCH 17, 2011
TIME: 1:00 P.M.
LOCATION: ADOT MPD OFFICES

ATTENDANCE

Scott Omer, ADOT MPD Project Manager
Justin Feek, ADOT MPD Deputy Project Manager
Teresa Welborn, ADOT CCP Public Involvement Director
Robert Mickelson, KHA Project Principal
Bryan Patterson, KHA Project Manager

INTRODUCTIONS

Scott Omer welcomed everyone and congratulated Kimley-Horn for being selected to perform the route transfer study. Meeting participants introduced themselves.

PROJECT SCOPE OF WORK

Bryan Patterson reviewed the highlights of the scope of work. Bryan indicated that the proposed scope included consideration of route transfers from ADOT to other government agencies as well as transfers from other government agencies to ADOT. It was agreed that both cases will be included in the project scope. Scott questioned the need/value of holding a public meeting for this project since it involves processes and administrative procedures that may not generate significant general public interest. In addition, it would not be convenient for the general public to attend a single public meeting for the entire State. It was agreed that it may be more beneficial to develop an educational PowerPoint presentation that could be given by ADOT staff to relevant groups that may have a specific interest in route transfer procedures. This potential modification to the scope will be considered as the study progresses further. It was also suggested that the project scope should include an assessment of a prior or pending route transfer and that 89A or U.S. 60 may offer good case study opportunities.

SCHEDULE/MILESTONE DATES

The overall one-year schedule and milestone dates as shown in the project proposal do not require any modifications at this time.

FOR MORE INFORMATION CONTACT:
SCOTT OMER, ADOT PROJECT MANAGER, (602) 712-4786
BRYAN PATTERSON, KIMLEY-HORN AND ASSOCIATES, INC., (480) 756-6135

TAC, Stakeholders, and Meeting Locations

An initial TAC e-mail distribution list was developed by ADOT to advise them of the route transfer study. There was discussion regarding the need to include all of those on the distribution list as TAC members and the need to meet in multiple locations throughout the State. It was decided that there should be a core ADOT Project Management Team (PMT) to provide project direction and input. Meetings will be held at the MPD conference room. The PMT will include representatives from the following:

- MPD – Scott Omer and Justin Feek
- CCP – Bill Pederson and Lars Jacoby
- ITD Operations – Dallas Hammitt
- Right-of-Way – Paula Gibson
- Traffic Operations– Mike Manthey
- State Engineer's Office – Floyd Roehrich
- Attorney General's Office – Joe Acosta
- Kimley-Horn – Bryan Patterson and Bob Mickelson

In addition to the PMT, a broader-based TAC will be established to include other key stakeholders, including selected representatives of COGs, MPOs, cities and towns, counties, and tribal Communities. Meetings will be held via video conference to encourage broad participation and minimize travel costs. Justin and Bryan will develop a proposed TAC distribution list for discussion with the PMT.

Public Involvement Plan

Teresa Welborn indicated that ADOT CCP will use in-house resources to perform the public involvement elements of the project. She also indicated that a public involvement approach should be included as part of the route transfer process.

Key Resource Documents and "Best Practice" States

Key resource documents will include Arizona Revised Statutes, ADOT Transportation Board Policies, ADOT Access Management Plan, and the 2003 Route Transfer and Level of Development Study. Potential "Best Practice" states include Washington, Pennsylvania, California, and Texas. KHA will contact FHWA and TRB to identify other potential resources.

Administrative Procedures

Justin will serve as the primary contact with KHA. Scott will be copied on all correspondence. Invoices will be submitted on a monthly basis.

Next Steps

- Justin to provide initial TAC e-mail list to KHA
- Justin and Bryan to develop proposed TAC membership list
- Justin to schedule kick-off PMT meeting for mid April to review work plan
- Bryan to develop draft work plan and submit to ADOT by March 31
- Bryan to contact FHWA and TRB regarding resources and "Best Practice" states

For More Information Contact:
Scott Omer, ADOT Project Manager, (602) 712-4786
Bryan Patterson, Kimley-Horn and Associates, Inc., (480) 756-6135

ADOT Route Transfer Procedures Study
MPD Task Assignment 15-11
PG TD0624
Contract # TO849U0001

PROJECT MANAGEMENT TEAM KICK-OFF MEETING

DATE: MONDAY, APRIL 18, 2011
TIME: 2:30 P.M.
LOCATION: ADOT EXECUTIVE CONFERENCE ROOM 141

AGENDA

1. Introductions
2. Review Draft Work Plan
   - Project Scope and Deliverables
   - Schedule
   - Public Involvement
   - TAC Membership
3. Interview Questionnaire and Prospective Interviewees
4. Other Issues
5. Next Steps

FOR MORE INFORMATION CONTACT:
SCOTT OMER, ADOT PROJECT MANAGER, (602) 712-4786
BRYAN PATTERSON, KIMLEY-HORN AND ASSOCIATES, INC., (480) 756-6135

ADOT Route Transfer Study – Project Management Team Attendance Sheet

Organization	Name	Email	4-18-11		
ADOT Flagstaff District	Audra Merrick	amerrick@azdot.gov	X		
ADOT Communication and Community Partnerships	Bill Pederson	bpederson@azdot.gov	X		
Kimley-Horn and Associates	Bob Mickelson	rmickelson@msn.com	X		
Kimley-Horn and Associates	Bryan Patterson	bryan.patterson@kimley-horn.com	X		
ADOT Intermodal Transportation Division Operations	Dallas Hammitt	dhammit@azdot.gov	X		
Arizona State Engineer's Office	Floyd Roehrich	froehrich@azdot.gov			
Arizona Attorney General's Office	Jennifer Dorsey	jennifer.dorsey@azag.gov	X		
ADOT Multimodal Planning Division	Justin Feek	jfeek@azdot.gov	X		
ADOT Communication and Community Partnerships	Lars Jacoby	ljacoby@azdot.gov	X		
ADOT Traffic Operations	Mike Manthey	mmanthey@azdot.gov	X		
ADOT Right of Way Group	Paula Gibson	pgibson@azdot.gov	X		
ADOT Multimodal Planning Division	Scott Omer	somer@azdot.gov	X		

X = In attendance or represented

ADOT Route Transfer Procedures Study
MPD Task Assignment 15-11
PG TD0624
Contract # TO849U0001

PROJECT MANAGEMENT TEAM KICK-OFF MEETING SUMMARY

DATE: MONDAY, APRIL 18, 2011
TIME: 2:30 P.M.
LOCATION: ADOT EXECUTIVE CONFERENCE ROOM 141
ATTENDANCE:
See attached attendance sheet.

INTRODUCTIONS

Scott Omer welcomed everyone, asked for self introductions, provided an overview of the study objectives, and explained the roles of the Project Management Team (PMT) and the Technical Advisory Committee (TAC).

REVIEW OF DRAFT WORK PLAN

Bryan Patterson reviewed the highlights of the Draft Work Plan. Bryan indicated that the project will address route transfers from ADOT to other government agencies as well as transfers from other government agencies to ADOT. It is expected that there will be three TAC/Stakeholder meetings throughout the duration of the study. The PMT will meet a week or two in advance of the TAC meetings to review study progress and recommendations to be presented to the TAC. The Draft Work Plan will be forwarded to the TAC for review and comment.

PROJECT SCOPE AND DELIVERABLES

The project scope of services indentifies the following deliverables:

- Working Paper 1 – Work Plan
- Working Paper 2 – Stakeholder Interviews Summary Report
- Working Paper 3 – Justification of Need and Negotiation Criteria
- Draft Report
- Final Report
- Educational PowerPoint presentation

In addition, the project scope includes an optional task for presenting the study findings and recommendations to the ADOT Board and other government agencies.

FOR MORE INFORMATION CONTACT:
SCOTT OMER, ADOT PROJECT MANAGER, (602) 712-4786
BRYAN PATTERSON, KIMLEY-HORN AND ASSOCIATES, INC., (480) 756-6135

SCHEDULE

The project commenced in late March and is expected to be finished by February 2011. Stakeholder interviews will be conducted in May and June. Justification and negotiation criteria will be developed during the summer months followed with an initial draft report in September.

PUBLIC INVOLVEMENT

In lieu of holding public meetings or open houses to present study findings and solicit input, the TAC, stakeholders, and selected survey participants will serve as the primary mechanism for public involvement. An educational PowerPoint presentation will be developed that ADOT and other agency staff can use to facilitate route transfer discussions with targeted audiences with a specific interest in route transfer.

INTERVIEW QUESTIONNAIRE AND PROSPECTIVE INTERVIEWEES

Generalized interview questions are identified in the project scope. A more detailed survey documents will be developed. It was recommended by the PMT that the questionnaire address transfers in both directions and be structured to identify which side of the transfer the respondent represents. The TAC will comprise the initial pool of interviewees and they will be asked to identify additional individuals to be interviewed. Up to 50 interviews will be conducted.

NEXT STEPS

- Justin to provide updated PMT and TAC e-mail lists to KHA
- Bryan to develop draft questionnaire for distribution to the TAC
- Bryan to begin review of state statutes, Board policies, and "best practice" states
- Justin to forward draft questionnaire to TAC for review and discussion at April 27 TAC meeting

FOR MORE INFORMATION CONTACT:
SCOTT OMER, ADOT PROJECT MANAGER, (602) 712-4786
BRYAN PATTERSON, KIMLEY-HORN AND ASSOCIATES, INC., (480) 756-6135

ADOT Route Transfer Procedures Study

TECHNICAL ADVISORY COMMITTEE MEETING 1

DATE: WEDNESDAY, APRIL 27, 2011
TIME: 2:00 P.M.
LOCATION: ADOT BOARD ROOM/WEBINAR

AGENDA

1. Introductions
2. Project Management Team and Technical Advisory Committee Membership and Roles
3. Review Draft Work Plan
    - Project Scope
    - Project Schedule
    - Project Deliverables
    - Public Involvement
4. Interview Questionnaire and Prospective Interviewees
5. Next Steps
6. Roundtable Discussion

FOR MORE INFORMATION CONTACT:
SCOTT OMER, ADOT PROJECT MANAGER, (602) 712-4786
BRYAN PATTERSON, KIMLEY-HORN AND ASSOCIATES, INC., (480) 756-6135

ADOT Route Transfer Procedures Study
MPD Task Assignment 15-11
PG TD0624
Contract # TO849U0001

TECHNICAL ADVISORY COMMITTEE MEETING 1 SUMMARY

DATE: WEDNESDAY, APRIL 27, 2011
TIME: 2:00 P.M.
LOCATION: ADOT BOARD ROOM/WEBINAR
ATTENDANCE:
See attached attendance sheet

INTRODUCTIONS

Scott Omer welcomed everyone and asked those at the meeting and those participating electronically to introduce themselves. Scott provided an overview of the meeting agenda, study purpose and objectives, and roles of the Project Management Team (PMT) and Technical Advisory Committee (TAC). Scott emphasized that the intent of this project is to develop route transfer processes, policies, and procedures without being route specific. The study will address jurisdictional transfer from ADOT to other agencies as well as transfers from other agencies to ADOT.

DRAFT WORK PLAN

Bryan Patterson reviewed the highlights of the Draft Work Plan and discussed the project schedule and deliverables. It is expected that there will be three TAC/Stakeholder meetings throughout the duration of the study, one in April in initiate the project, one in August to review and discuss preliminary findings and recommendations, and one in December to review and discuss final study recommendations. There will be a PMT will meeting a week or two in advance of the TAC meetings to review study progress and recommendations to be presented to the TAC. A review of current state statutes and Transportation Board policies regarding route transfer has been performed and a review of "best practice" states is underway. The project is scheduled to be complete by February, 2011.

The project scope of services includes the following deliverables:

- Working Paper 1 – Work Plan
- Working Paper 2 – Stakeholder Interviews Summary Report
- Working Paper 3 – Justification of Need and Negotiation Criteria
- Draft Report
- Final Report
- Educational PowerPoint presentation

In addition, the project scope includes an optional task for presenting the study findings and recommendations to the ADOT Board and other government agencies.

FOR MORE INFORMATION CONTACT:
SCOTT OMER, ADOT PROJECT MANAGER, (602) 712-4786
BRYAN PATTERSON, KIMLEY-HORN AND ASSOCIATES, INC., (480) 756-6135

The initial project scope envisioned open houses at several locations to solicit public input. It was decided that this topic may not generate substantial general public interest and that it would be more beneficial to rely on the TAC and stakeholders to provide input to the project. In addition, an educational PowerPoint presentation will be developed near the conclusion of the project that ADOT can use in discussing route transfer with targeted audiences.

Bryan asked that any comments on the Draft Work Plan be submitted by the end of the week.

INTERVIEW QUESTIONNAIRE AND PROSPECTIVE INTERVIEWEES

There was considerable discussion on the draft interview questionnaire and comments are summarized as follows:

- Delete reference to the 30 minute time frame for completing the survey
- Identify if the interviewee represents and accepting or transferring agency
- Ask about benefits, impediments, and risks associated with potential route transfers
- Ask how satisfied interviewees have been with the outcome of route transfers
- Eliminate redundancies in the questions and consolidate questions if possible
- Identify where in the transfer process that specified data, criteria, or information should be provided and who should provide it

It was agreed that revisions would be made to the draft questionnaire and that it would be distributed to the TAC for additional review and comment.

Once the questionnaire is in final form, TAC members will be the first interviewees and they will be asked to identify additional key individuals to include in the survey. The intent is to interview targeted individuals who have an understanding and interest in route transfer. Up to 50 surveys will be completed. The format of the survey will be flexible to provide the options of in-depth discussion over the phone, forwarding an electronic version that can be filled out by the interviewee, or some combination of these to ensure that the surveys are thoroughly completed.

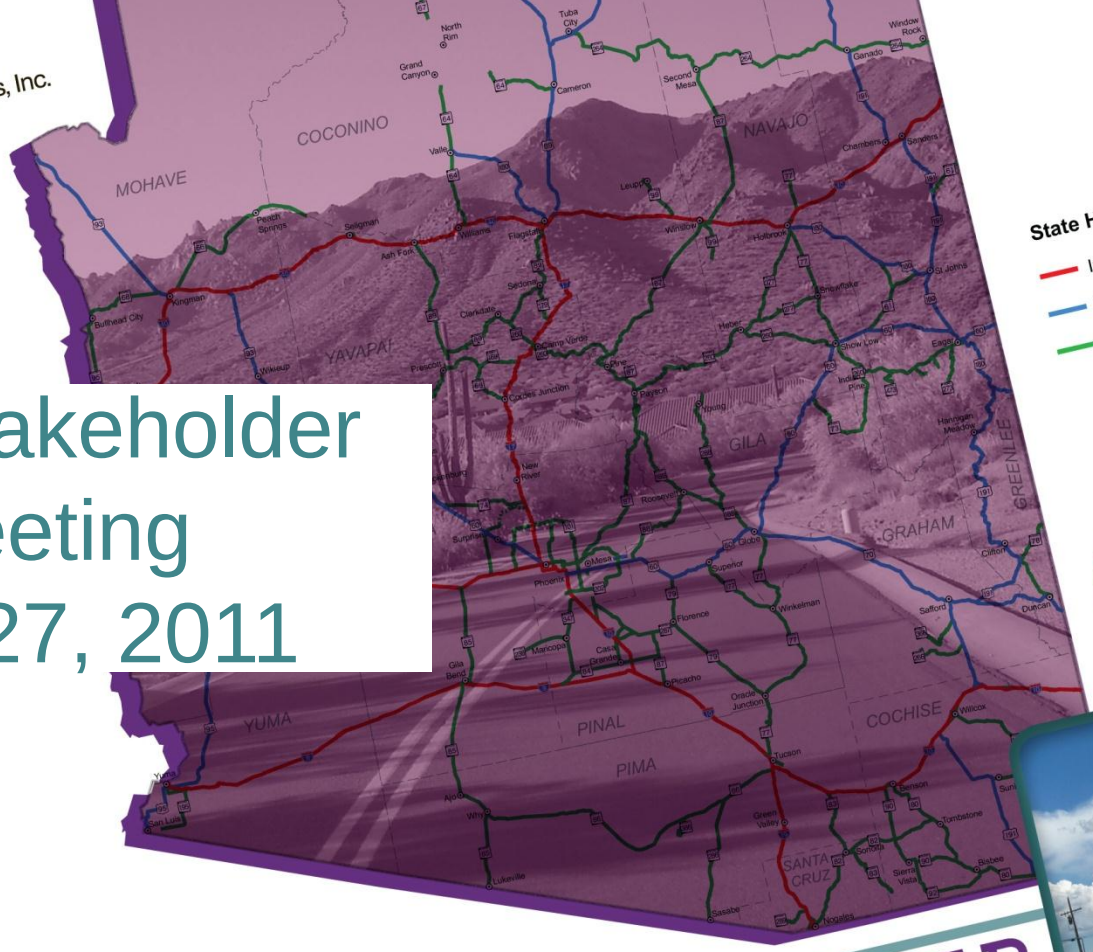
NEXT STEPS

- Bryan to revise interview questionnaire and resubmit to Scott and Justin
- Justin to forward revised draft questionnaire to TAC for final review and comment
- KHA to conduct interviews and “best practice” research during the months of May and June
- KHA to summarize interview findings and develop preliminary findings and recommendations for discussion with the TAC in August.

FOR MORE INFORMATION CONTACT:
SCOTT OMER, ADOT PROJECT MANAGER, (602) 712-4786
BRYAN PATTERSON, KIMLEY-HORN AND ASSOCIATES, INC., (480) 756-6135

Kimley-Horn and Associates, Inc.

TAC/Stakeholder Meeting
April 27, 2011



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ADOT ROUTE TRANSFER
PROCEDURES STUDY, TASK ASSIGNMENT MPD 15-11
APRIL 2011

Meeting Purpose

Present and obtain input from TAC and Stakeholders on:

- Study objectives
- Draft work plan
  - ✓Scope
  - ✓Schedule
  - ✓Deliverables
  - ✓Public Involvement
- Stakeholder interview process
- Next steps

Study Objectives

- Evaluate current processes, procedures, and policies for transferring roadway jurisdiction
- Identify “best practices” and desired approaches to route transfer
- Develop a mutually agreeable route transfer framework
- Develop recommended revisions to current route transfer processes and practices
- Provide educational tools

Project Scope

- Statewide strategy regarding potential route transfers to and from ADOT
- Focus on transfer process, not specific routes or systems

PROPOSED PROJECT SCHEDULE

ACTIVITIES	2011										2012	
	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB
TASK 1. Work Plan												
TASK 2. Stakeholder Interviews												
TASK 3. Justification of Need/ Negotiation Criteria												
TASK 4. Initial Draft Report												
TASK 5. Public Rollout												
TASK 6. Final Report												
TASK 7. Presentations to ADOT Board and Elected Officials (optional)												
PMT/TAC Meetings		1				2				3		

Project Deliverables

- Work plan
- Stakeholder interviews summary report
- Transfer justification and negotiation criteria report
- Draft and final report
- Educational PowerPoint presentation
- PMT/TAC meeting materials

Public Involvement

- Three TAC/Stakeholder meetings
- Stakeholder interviews
- TAC/Stakeholder document review
- Educational PowerPoint presentation

Stakeholder Interviews

- Up to 50 selected participants
- Questions designed to:
  - ✓ Establish a baseline of understanding and knowledge
  - ✓ Indentify roles, responsibilities, and perceptions of the transfer process
  - ✓ Identify critical criteria, data, or information required for negotiations
  - ✓ Identify route transfer success factors and recommended process improvements

Next Steps

- Perform interviews in May and June
- Evaluate current and “best” transfer practices in May and June
- Develop preliminary findings and recommendations for discussion with the TAC and stakeholders in August

Questions and Roundtable Discussion

ADOT Route Transfer Procedures Study

PROJECT MANAGEMENT TEAM MEETING 2

DATE: WEDNESDAY, SEPTEMBER 7, 2011
TIME: 1:00 P.M.
LOCATION: MPD LARGE CONFERENCE ROOM – 3RD FLOOR

AGENDA

1. Introductions
2. Review Draft Working Paper 2 – Stakeholder Interview Summary Report
   - Survey Respondents
   - Summary of Results
3. Review Draft Working Paper 3 – Route Transfer Evaluation Criteria
   - Statutes and Policies
   - Best Practice Review
   - Recommended Enhancements
   - Recommended Processes
   - Evaluation Criteria
4. Other Issues
5. Next Steps

FOR MORE INFORMATION CONTACT:
SCOTT OMER, ADOT PROJECT MANAGER, (602) 712-4786
BRYAN PATTERSON, KIMLEY-HORN AND ASSOCIATES, INC., (480) 756-6135

ADOT Route Transfer Procedures Study
MPD Task Assignment 15-11
PG TD0624
Contract # TO849U0001

PROJECT MANAGEMENT TEAM MEETING 2 SUMMARY

DATE: WEDNESDAY, SEPTEMBER 7, 2011
TIME: 1:00 P.M.
LOCATION: MPD CONFERENCE ROOM
ATTENDANCE:
Jennifer Dorsey, Attorney General's Office
Justin Feek, ADOT MPD
Audra Merrick, ADOT Flagstaff District
Bob Mickelson – Kimley-Horn
Bryan Patterson – Kimley-Horn
James Zumpf – ADOT MPD

INTRODUCTIONS

Justin Feek welcomed everyone, asked for self introductions, and provided an overview of the study status.

REVIEW OF DRAFT WORKING PAPER 2 – STAKEHOLDER INTERVIEW SUMMARY REPORT

Bryan Patterson reviewed the highlights of the interview process and key findings. Survey responses were received from 31 stakeholders who had a very good understanding of route transfer processes and issues. Some of the key findings from the survey were:

- The process needs to be better documented, including process flow charts and time frames.
- Data collection should occur early in the process.
- Even though the negotiation process can be challenging and time-consuming, there is a fairly high level of satisfaction with the end results.
- Underlying ownership of rights-of-way need to be established early in the process.
- Management level staff in the ADOT District Offices and in the participating agencies should be the primary negotiators in the route transfer process.
- Facilitators and public involvement should be used on a case-by-case/as needed basis.
- A "letter of intent" should be developed early in the process to identify the objectives, limits, timeframe and responsible parties in the transfer process.

It was agreed that the draft working paper would be forwarded to the Technical Advisory Committee (TAC) for review in advance of the September 15 TAC meeting.

FOR MORE INFORMATION CONTACT:
JAMES ZUMPF, ADOT PROJECT MANAGER, (602) 712-7477
BRYAN PATTERSON, KIMLEY-HORN AND ASSOCIATES, INC., (480) 756-6135

REVIEW OF DRAFT WORKING PAPER 3 – ROUTE TRANSFER EVALUATION CRITERIA

Bryan summarized the information included in the draft working paper. The working paper includes a review of relevant route transfer provisions contained in Arizona Revised Statutes and State Transportation Board Policies; research and review of "best practice" states; recommended enhancements to Arizona's route transfer process; proposed flow charts for transfers to local/tribal governments, transfers to ADOT, and administrative transfers; proposed criteria to consider in route transfers; and an example format for evaluating a candidate for route transfer.

Audra Merrick stated that the data collection effort needed for the route transfer evaluation process can be very time consuming and costly in terms of the person-hours needed to compile the information. She recommended that this concern be addressed early in the transfer negotiation process as part of a letter of intent to identify the limits of the transfer, the data that needs to be assembled, who will assemble the data, and who will pay for the data collection effort. Bryan responded that language would be added to Section 4.1 of the draft working paper to address this issue.

Audra also commented that the temporary transfers to and from State jurisdiction seemed to be a separate issue that did not need to be addressed in this working paper. Bryan responded that this was identified during the interview process as a significant concern among the District and Right of Way staff. He recommended that the section on temporary transfers remain in the working paper but not be discussed in as much detail in the final document.

With respect to a final document, Bryan suggested that a route transfer handbook be developed that would assist ADOT and local/tribal documents in understanding and executing route transfers. Oregon has a good example of a handbook. There was agreement that this would be a good approach. The Oregon handbook will be provided for further review and consideration.

It was agreed that after making some minor edits to the draft working paper, it would be forwarded to the TAC for review in advance of the September 15 TAC meeting.

NEXT STEPS

- Justin to forward draft Working Papers 2 and 3 to the TAC for review and comment
- Bryan to provide Oregon's route transfer handbook for further consideration and discussion with the TAC
- KHA to revise draft working papers after receipt of TAC comments and submit in final form

FOR MORE INFORMATION CONTACT:
JAMES ZUMPF, ADOT PROJECT MANAGER, (602) 712-7477
BRYAN PATTERSON, KIMLEY-HORN AND ASSOCIATES, INC., (480) 756-6135

ADOT Route Transfer Procedures Study

TECHNICAL ADVISORY COMMITTEE MEETING 2

DATE: THURSDAY, SEPTEMBER 15, 2011
TIME: 2:00 P.M.
LOCATION: MPD 3RD FLOOR CONFERENCE ROOM/WEBINAR

AGENDA

1. Introductions
2. Review Draft Working Paper 2 – Stakeholder Interview Summary Report
   - Survey Respondents
   - Summary of Results
3. Review Draft Working Paper 3 – Route Transfer Evaluation Criteria
   - Statutes and Policies
   - Best Practice Review
   - Recommended Enhancements
   - Recommended Processes
   - Evaluation Criteria
4. Next Steps
5. Roundtable Discussion

FOR MORE INFORMATION CONTACT:
SCOTT OMER, ADOT PROJECT MANAGER, (602) 712-4786
BRYAN PATTERSON, KIMLEY-HORN AND ASSOCIATES, INC., (480) 756-6135

ADOT Route Transfer Study – TAC/Stakeholder Attendance Sheet

Organization	Name	Email	4-27-11	9-15-11	
ADOT Yuma District	Alvin Stump	astump@azdot.gov	X		
ADOT Flagstaff District	Audra Merrick	amerrick@azdot.gov	X		
ADOT Safford District	Bill Harmon	bharmon@azdot.gov			
Central Area Association of Governments	Bill Leister	bleister@caagcentral.org			
ADOT Communication and Community Partnerships	Bill Pederson	bpederson@azdot.gov	X	X	
Kimley-Horn and Associates	Bob Mickelson	rmickelson@msn.com	X	X(1)	
Kimley-Horn and Associates	Bryan Patterson	bryan.patterson@kimley-horn.com	X	X	
Pima Association of Governments	Cherie Campbell	ccampbell@pagnet.org			
Yavapai County	Chris Bridges	cbridges@pvaz.net	X		
Northern Arizona Council of Governments	Chris Fetzer	cfetzer@nacog.org	X	X	
ADOT Intermodal Transportation Division Operations	Dallas Hammitt	dhammit@azdot.gov			
Hopi Tribe	Danny Honanie	danny_honanie@yahoo.com			
Flagstaff Metropolitan Planning Organization	David Wessel	dwessel@flagstaffaz.gov	X	X	
Maricopa Association of Governments	Eric Anderson	eanderson@azmag.gov			
Arizona State Engineer's Office	Floyd Roehrich	froehrich@azdot.gov			
Federal Highway Administration	Georgi Jasenovec	georgi.jasenovec@dot.gov	X	X	
Arizona State Land Department	Gloria Nichols	gnichols@landaz.gov	X		
ADOT Prescott District Engineer	Greg Gentsch	ggentsch@azdot.gov	X	X	
Arizona Attorney General's Office	Jennifer Dorsey	jennifer.dorsey@azag.gov	X	X	
ADOT Multimodal Planning Division	Jim Zumpf	jzumpf@azdot.gov			
ADOT Flagstaff District	John Harper	jharper@azdot.gov			
Pima Association of Governments	John Liosatos	jliosatos@pagnet.org	X		
Executive Director for Planning and Policy	John McGee	jmcgee@azdot.gov	X		
ADOT Phoenix District	Julie Kliewer	jkliewer@azdot.gov			
ADOT Multimodal Planning Division	Justin Feek	jfeek@azdot.gov	X	X	
ADOT Communication and Community Partnerships	Lars Jacoby	ljacoby@azdot.gov		X	
Arizona State Land Department	Lillian Moodey	lmoodey@land.az.gov			
Southeastern Arizona Governments Association	Luke Droeger	ldroeger@seago.org			
ADOT Holbrook District	Lynn Johnson	lynnjohnson@azdot.gov	X		

X = In attendance or represented

ADOT Route Transfer Study – TAC/Stakeholder Attendance Sheet

Organization	Name	Email	4-27-11	9-15-11	
Arizona State Land Department	Manny Patel	mpatel@land.az.gov	X		
Arizona State Land Department	Mark Edelman	medelman@land.az.gov			
ADOT Globe District	Matt Moul	mmoul@azdot.gov	X		
ADOT Kingman District	Michael Kondelis	mkondelis@azdot.gov		X	
ADOT Traffic Operations	Mike Manthey	mmanthey@azdot.gov			
Yuma Metropolitan Planning Organization	Paul Patane	ppatane@ympo.org	X	X	
ADOT Right of Way Group	Paula Gibson	pgibson@azdot.gov	X	X	
Navajo Nation Transportation	Paulson Chaco	pchaco@navajodot.org			
ADOT Globe District	Rod Lane	rlane@azdot.gov			
Maricopa Association of Governments	Roger Herzog	rherzog@azmag.gov	X	X(2)	
Arizona State Land Department	Ruben Ojeda	rojeda@land.az.gov		X	
ADOT Multimodal Planning Division	Scott Omer	somer@azdot.gov	X		
Western Arizona Council of Governments	Sharon Mitchell	sharonm@wacog.com			
ADOT Public Involvement Director	Teresa Wellborn	twelborn@azdot.gov			
ADOT Phoenix District	Tim Wolfe	twolfe@azdot.gov			
ADOT Tucson District	Todd Emery	temery@azdot.gov			

(1) Represented by Debra Brisk
(2) Represented by Micah Henry

ADOT Route Transfer Procedures Study
MPD Task Assignment 15-11
PG TD0624
Contract # TO849U0001

TECHNICAL ADVISORY COMMITTEE MEETING 2 SUMMARY

DATE: THURSDAY, SEPTEMBER 15, 2011
TIME: 2:00 P.M.
LOCATION: MPD CONFERENCE ROOM/WEBINAR
ATTENDANCE:
See attached attendance sheet

INTRODUCTIONS

Justin Feek welcomed everyone and asked those at the meeting and those participating electronically to introduce themselves. Justin provided an overview of the meeting agenda and status of the project.

STUDY OBJECTIVES AND SCHEDULE

Bryan Patterson reviewed the study objectives and schedule. He emphasized that the study is intended to evaluate current route transfer processes and procedures and develop recommendations to enhance the cooperative aspects of the process. The study is roughly at the midpoint of the schedule. The third TAC meeting will be held before the Christmas holiday and the study will be complete in February, 2012.

DRAFT WORKING PAPER 2 – STAKEHOLDER INTERVIEW SUMMARY REPORT

Over 50 individuals were contacted and asked to participate in the interview process. Some declined due to their limited roles in route transfer. Responses were obtained from 31 stakeholders with most of them having considerable involvement in, and understanding of, the process. Key survey findings are:

- Better process documentation is needed
- Negotiation process is challenging, but end result is usually favorable
- Funding is the most critical decision element
- The transferring agency should be the primary date source and should provide data early in the process
- Right-of-way ownership needs to be established early in the process
- District and local/tribal agency staff should be the primary negotiators
- Use of facilitators and public involvement should be determined case-by-case
- Shortening the time frame for route transfers may not be beneficial or desirable
- A letter of intent should be developed early in the process
- Some revisions to Arizona Revised Statutes and State Transportation Board Policies are needed
- A high percentage of route transfers are administrative and should not require negotiation

FOR MORE INFORMATION CONTACT:
JAMES ZUMPF, ADOT PROJECT MANAGER, (602) 712-7477
BRYAN PATTERSON, KIMLEY-HORN AND ASSOCIATES, INC., (480) 756-6135

Greg Gentsch commented that funding issues include both the capital investments associated with route transfer plus the long term maintenance and operations expenses. Dave Wessel emphasized the need to establish right-of-way ownership early in the process, particularly when Federal agencies are involved.

Draft Working Paper 3 – Route Transfer Evaluation Criteria

Bryan summarized the contents of the draft working paper. Recommended revisions to existing State Statutes and State Transportation Board Policies include:

- Revise ARS 28-7213 so that route transfers are effective upon approval by the State Transportation Board as opposed to being effective upon being recorded in the County where the roadway is located.
- Revise State Transportation Board Policy 16 to eliminate reference to biennially updating a list of State highways that are candidates for transfer and to add a reference to follow the process that results from this study.

With respect to "best practice" states, Oregon, Pennsylvania, and Minnesota were selected for closer examination. Process elements common among these states include:

- Process documentation, including flow charts and timelines
- Early definition of responsibilities, data needs, and desired outcomes
- Pre-established decision-making criteria

In addition, Oregon and Pennsylvania have published route transfer handbooks as a tool to help educate and guide the parties involved in route transfer considerations.

As a result of the interview process and review of best practice states, the following enhancements to the Arizona route transfer processes are recommended:

- Develop documentation of the route transfer process, including flow charts and timelines
- Execute a letter of intent early in route transfer negotiations
- Prepare a route transfer report to document data collection and evaluation results
- Identify negotiation elements early in the process
- Use facilitators and public involvement on a case-by-case basis
- Develop a streamlined process for administrative transfers

Proposed process flow charts were discussed that were structured around five key decision points:

- Initial meeting to discuss transfer goals and objectives with affected parties
- Letter of Intent to specify transfer objectives, limits, data needs, time frames, and negotiation elements
- Route Transfer Analysis to document data collection and evaluation results
- Negotiation and agreement on cost responsibilities
- Develop and approve an Intergovernmental Agreement (IGA)

FOR MORE INFORMATION CONTACT:
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BRYAN PATTERSON, KIMLEY-HORN AND ASSOCIATES, INC., (480) 756-6135

Georgi Jasenovec questioned why the IGA occurred so late in the process. The reason for this is that the IGA formalizes all of the elements that are negotiated throughout the process. The letter of intent will provide an early outline of the elements to be included in the IGA.

Bryan then presented a proposed evaluation matrix for assessing the criteria and considerations associated with a hypothetical route transfer. The matrix consists of a series of qualitative true/false/neutral statements that are color coded in green for true, red for false, and yellow for neutral responses. A visual inspection of the matrix gives a quick indication of whether or not the evaluation results support the transfer proposal.

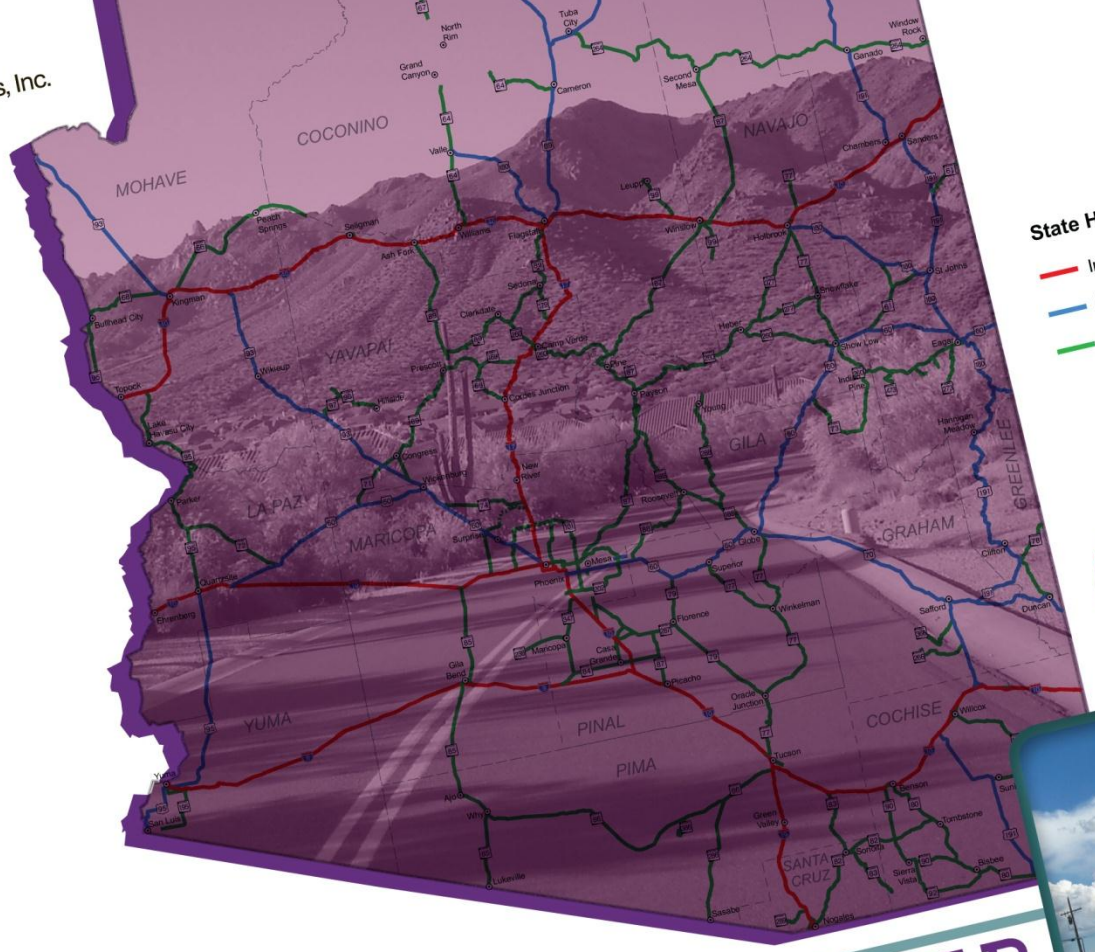
Bryan concluded by recommending that the final product of the study be an Arizona Route Transfer Handbook along with an educational PowerPoint presentation. The handbook would be modeled after the Oregon example. A web link for the Oregon handbook will be provided to TAC members for their consideration.

NEXT STEPS

- Receive comments on Draft Working Papers 2 and 3 by Friday, September 23 (Note: this date was subsequently extended to Friday, September 30)
- Finalize and distribute Working Papers 2 and 3
- Develop draft route transfer handbook
- Hold 3rd TAC Meeting before the Christmas holidays to review draft handbook
- Develop educational presentation
- Submit final deliverables by February, 2012.

FOR MORE INFORMATION CONTACT:
JAMES ZUMPF, ADOT PROJECT MANAGER, (602) 712-7477
BRYAN PATTERSON, KIMLEY-HORN AND ASSOCIATES, INC., (480) 756-6135

Kimley-Horn and Associates, Inc.



State Highway System

- Interstate
- US Route
- State Route

ADOT | PREPARED FOR ADOT

ADOT ROUTE TRANSFER

PROCEDURES STUDY, TASK ASSIGNMENT MPD 15-11

TAC/Stakeholder Meeting 2 - September 15, 2011

Meeting Purpose

Present and Discuss:

- Draft Working Paper 2 – Stakeholder Interview Summary Report
- Draft Working Paper 3 – Route Transfer Evaluation Criteria
- Next steps

Study Objectives

- Evaluate current processes, procedures, and policies for transferring roadway jurisdiction
- Identify “best practices” and desired approaches to route transfer
- Develop a mutually agreeable route transfer framework
- Develop recommended revisions to current route transfer processes and practices
- Provide educational tools

Project Schedule

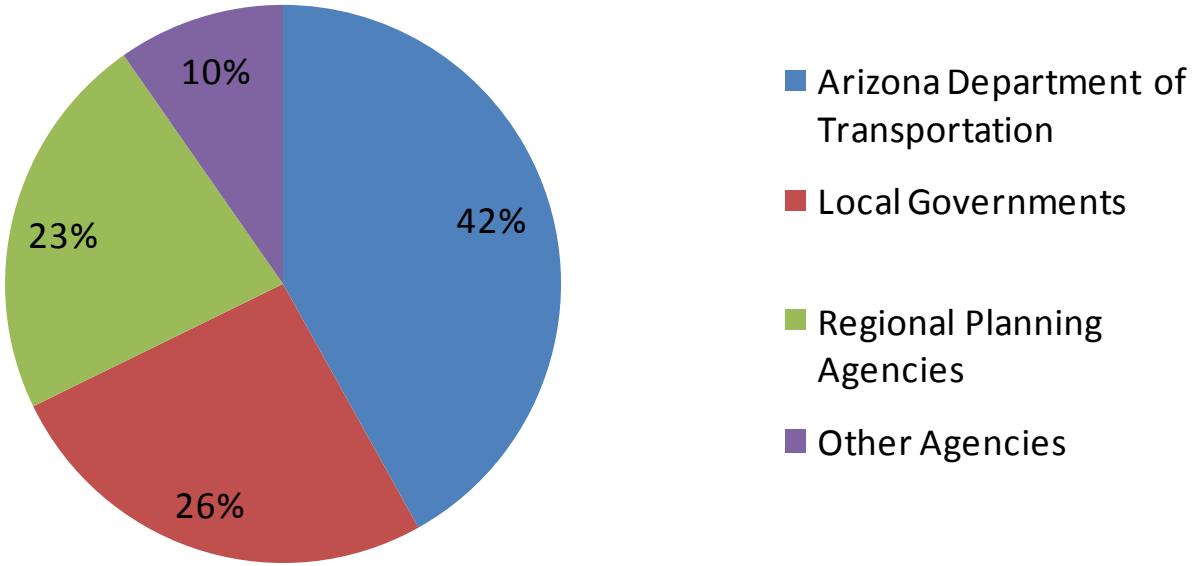
ACTIVITIES	2011										2012	
	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB
TASK 1. Work Plan												
TASK 2. Stakeholder Interviews												
TASK 3. Justification of Need/ Negotiation Criteria												
TASK 4. Initial Draft Report												
TASK 5. Public Rollout												
TASK 6. Final Report												
TASK 7. Presentations to ADOT Board and Elected Officials (optional)												
PMT/TAC Meetings		1				2				3		

Survey Respondents

- 31 participants
- Questions designed to:
  - ✓Establish a baseline of understanding and knowledge
  - ✓Identify roles, responsibilities, and perceptions of the transfer process
  - ✓Identify critical criteria, data, or information required for negotiations
  - ✓Identify route transfer success factors and recommended process improvements

Survey Respondents

- Good Representation/Knowledgeable Participants



Key Survey Findings

- Better process documentation/definition is needed
- Negotiation process is challenging, but end result is usually favorable
- Funding is the most critical decision element
- Transferring agency should be primary data source and provide data early in the process
- Right-of-way ownership needs to be established early in the process

Key Survey Findings

- District and agency management staff should be primary negotiators
- Mixed responses on use of facilitator and public involvement
- Shortening time frame for transfers may not be desirable or beneficial
- Letter of intent is needed early in the process
- Some revisions to State Statutes and Board Policies are needed

Existing Statutes and Board Policies

- 13 references in Arizona Revised Statute Title 28
- 2 Board Policies - #5 and #16

“Best Practice” Search

- Contacted Transportation Research Board, Arizona Transportation Research Center, FHWA, and AASHTO
- Internet Search
- Best Practice States – Oregon, Minnesota, Pennsylvania, Illinois, California, Florida, and Washington State

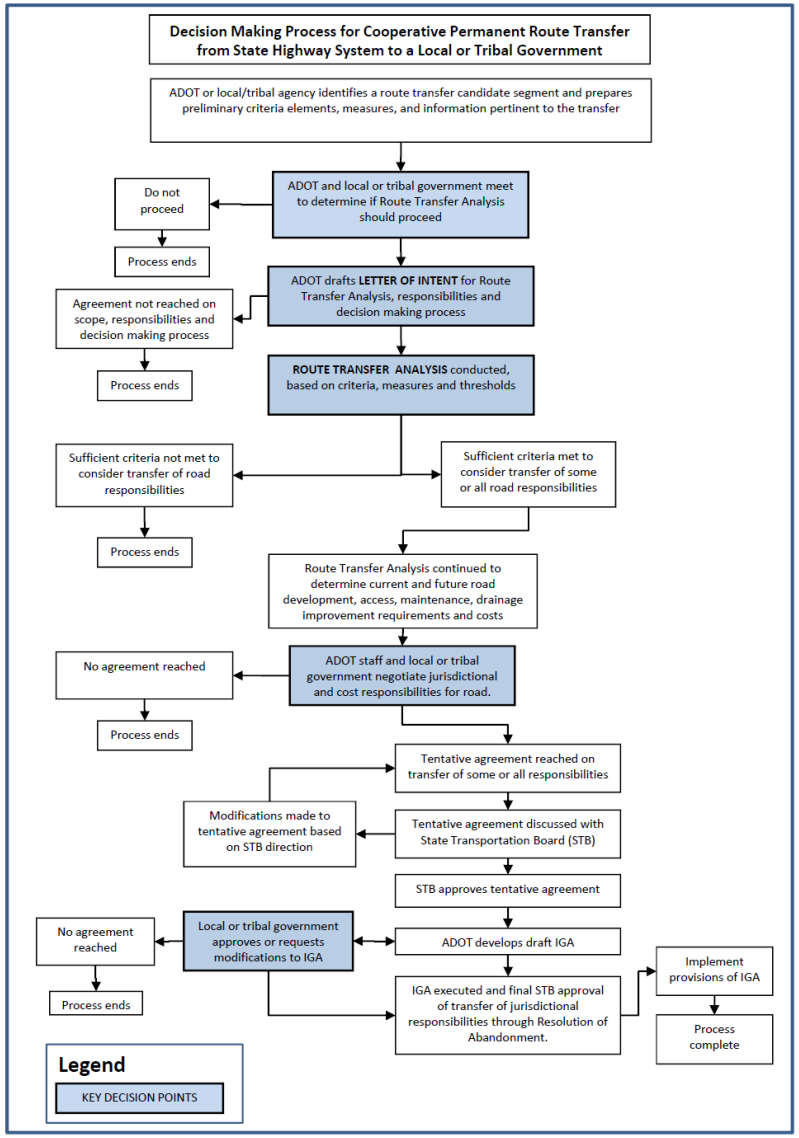
“Best Practice” Common Elements

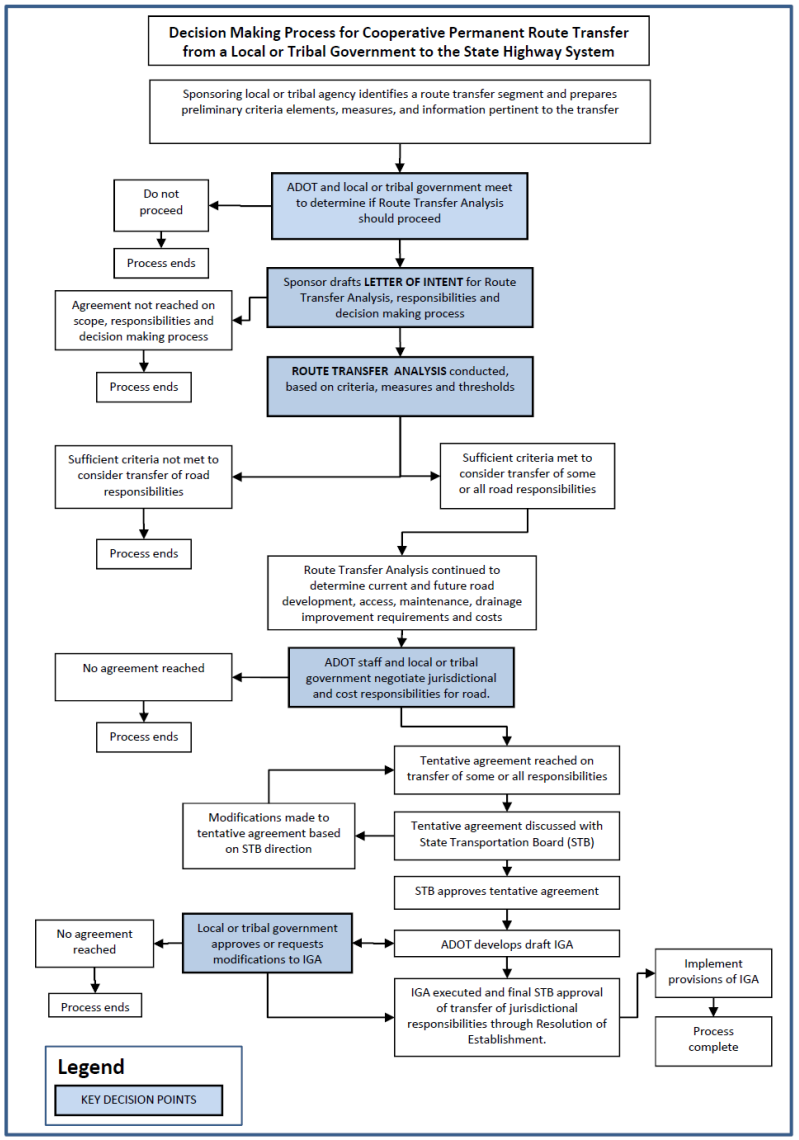
- Process documentation, including flow charts and timelines
- Early definition of responsibilities, data needs, and desired outcomes
- Pre-established decision-making criteria

Recommended Enhancements

- Document route transfer processes
- Execute Letter of Intent early in the negotiation
- Prepare Route Transfer Analysis Report
- Identify Evaluation Criteria
- Identify Negotiation Elements
- Use facilitator and public involvement on case-by-case basis
- Streamline process for administrative transfers

Proposed Process Flow Charts



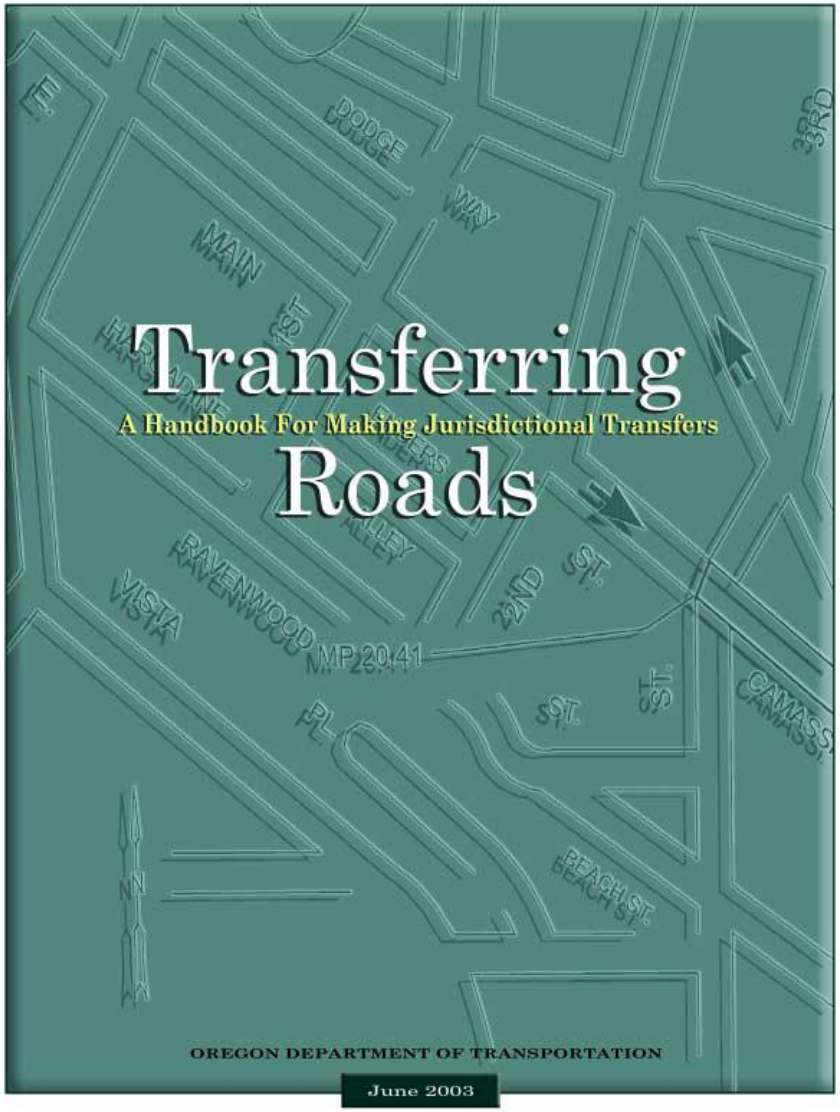


Proposed Criteria and Sample Format

Criteria Category	Transfer Considerations	Criteria for Transfer to Local Jurisdiction	
Goal of the Transfer			
Transfer objective	What is the main objective or goal that is anticipated through completion of the proposed transfer?	A local or tribal agency desires increased control of improvements, maintenance, access decisions, and financial responsibility.	TRUE
Right-of-Way			
	Does ADOT or the local or tribal agency have full title rights to the candidate roadway?	Route transfer evaluation and negotiations require that all roadway owners (e.g. federal, state, tribal, easement) are participants in the process.	TRUE
Trip character			
Trip purpose	Does the road or highway serve statewide, regional, or local travel needs?	Route primarily serves local travel needs. Vehicles trips are primarily local in nature, for shopping, local business, and recreation.	NEUTRAL
Multimodal transportation	Do alternate modes of travel (bicycles, pedestrians, crosswalks, public transit, and school buses) significantly or detrimentally impact the function of the roadway?	Transit, bicycles, and pedestrians have a significant impact on the vehicular capacity of the route.	TRUE
	Is there a desire by the local or tribal agency for significant investment in multimodal facilities such as sidewalks, shared use paths, crosswalks/pedestrian signals?	Significant multimodal infrastructure is needed to accommodate frequent users of the roadway, including bicyclists, pedestrians, and transit users.	TRUE
	Does the route connect to regional multimodal facilities such as airports or rail stations?	Route does not connect to regional multimodal facilities.	TRUE
Highway Function			
Continuity and Connectivity	Is the route needed for statewide or regional system connectivity?	Route is not needed to maintain regional continuity.	TRUE
	Is this route a high capacity connecting route needed to form an efficient network?	Route is not needed to maintain continuity in the state highway system.	TRUE
	Does this route form a convenient or necessary link for connecting sections of state highways or for carrying state highways or state routes through cities or towns?	Route does not form a necessary link for carrying state highways through cities or towns.	TRUE
	Does the route or route segment connect two interstate freeways?	Route does not connect two interstates.	TRUE
	Does the route connect to two state highways?	Route does not connect two state highways.	TRUE
	Does the highway interconnect with those of other states?	Route does not connect to state highways in another state.	TRUE
	Does the route serve as a by-pass for interstate, regional, or local routes?	Route serves as an alternative bypass to local routes	NEUTRAL
	Does this route connect Arizona's population centers?	The route is not essential to connecting Arizona's population centers.	TRUE
	Is this route primarily designed to carry through traffic?	Route is designed primarily to serve local land uses	FALSE
State highway system functionality	Is the route important to the functionality of the statewide highway system?	Route is not critical to the functionality of the state highway system.	TRUE
	Consider whether changes in maintenance, access management or other standards resulting from a transfer negatively impact the function of other nearby state facilities?		
	Does the transfer of a segment affect the functionality of the whole highway? For example, will significant delay be caused for through traffic?	Transfer of route segment to local entity would not impair the functionality of the whole highway.	TRUE
	Does this route provide statewide and regional movement of people and goods?	Route primarily provides for local land access, provides minimal support for regional or statewide movement of people or goods.	TRUE
Frontage roads	Is the route a frontage road to a major state facility that is needed to complement the mainline facility?	The frontage road primarily accommodates local access.	NEUTRAL
Parallel routes	Is the route a parallel route to a state highway?	Route parallels and duplicates the function and purpose of a parallel state highway facility.	TRUE
New or major reconstruction	Is the route affected by a new state highway that bypasses or duplicates the route	• The route is now served by a new state highway that bypasses the city or town; the route is no longer needed as part of the state system	TRUE
		• The route changed as part of a highway realignment that left a portion of the old highway useful only for local access purposes.	

Land Use			
Local land use plans	Do local or regional plans treat the highway as a local road favoring accessibility, or as a statewide facility favoring mobility, as determined by highway classification and access management?	Local and regional plans treat the route as a local road favoring accessibility.	TRUE
	Recognizing that land use decisions are made by local and tribal governments, should consolidation of government decisions for land use and access management decisions provide greater efficiency and community responsiveness?	Consolidation of government decisions for land use and access management decisions would provide greater efficiency and community responsiveness.	TRUE
Access Management			
Driveways/access points	How does existing access management (number of driveways, access points, intersection geometrics, intersection spacing) affect mobility, capacity, and safety?	• Existing access points impact the integrity of the corridor	TRUE
		• Non-compliance for access (nor permitted or not in compliance to DOT standards / requirements) and local jurisdictions will not support actions to correct	
		• Past actions determined that the local agency and / or business community is not supportive of access management implementation	
Access management features	Does the route include access management features (medians, right in / right out, islands	Route includes minimal or no access management features	FALSE
Intersection/interchange access	Does the route cross an Interstate or state highway where state ownership of the highway is required to protect the access management of the interchange, off-ramp or highway?	Route segment does not cross an interstate or state highway where ownership is required to protect access management.	FALSE
Frontage road	Is the frontage road being considered for transfer needed to support the limited access of an interstate, freeway, interchange, or potential freeway?	The route is a frontage road that is intended primarily for local access; route is not needed to support limited access	NEUTRAL
Future Needs			
	Does a planning study say that the route will be needed on the state system to accommodate population growth or a change in the economy?	Route will not be needed on the state highway system to accommodate future growth.	FALSE
Jurisdictional Interest			
Local or Tribal Jurisdiction Interest	Has a local or tribal agency expressed interested in assuming ownership of the route?	A local or tribal agency has expressed interest in assuming ownership of the route.	TRUE
Level of Service	Is there a desire by local government for a different level of service (e.g. permit accesses, maintenance, higher standards or service)?	There is a desire by a local or tribal agency for a different level of service, which state ownership is not prepared to provide.	TRUE
Other non-statewide routes			
State and National points of interest	Does this route meet criteria for "non-statewide routes" serving points of state and national interest?	The route does not serve as a primary route to federal public lands and destinations.	TRUE
Special designations	Does this route meet criteria for "other major facilities" including:	Route does not have special designations.	TRUE
	• Rural routes with more than 5,000 ADT		
	• Connecting rural National Highway System (NHS) routes with more than 1,500 ADT		
	• Key freight routes (more than 1,000 articulated trucks per day)		
	• A regional evacuation route		
	• Scenic Byway or Scenic Corridor		
Maintenance and Operations			
State highway segmentation	Will the transfer result in a state highway being broken into segments owned by different jurisdictions?	Transfer will not result in state highway being broken into segments owned and operated by different jurisdictions.	TRUE
Maintenance resources	Does the receiving agency have the ability to maintain and operate the roadway?	Local or tribal agency has the resources to maintain and operate the roadway.	TRUE
Maintenance requirements	Are maintenance requirements, materials and/or equipment more appropriate or efficient at the local level (signal power and maintenance, plowing, sanding/de-icing, other maintenance work)	Route maintenance requirements are more efficiently provided at the local or tribal level.	FALSE

Proposed Handbook Format



Next Steps

- Receive comments on Draft Working Papers 2 and 3 by Friday, September 23
- Finalize and Distribute Working Papers 2 and 3
- Develop Draft Route Transfer Handbook
- Hold 3rd TAC/Stakeholder Meeting in Early December to Review Draft Handbook
- Develop Educational Presentation
- Submit Final Deliverables in February 2012

Questions and Roundtable Discussion

ADOT Route Transfer Procedures Study

PROJECT MANAGEMENT TEAM MEETING 3

DATE: WEDNESDAY, NOVEMBER 30, 2011
TIME: 9:00 A.M.
LOCATION: MPD LARGE CONFERENCE ROOM – 3RD FLOOR

AGENDA

1. Introductions
2. Comment Resolution on Draft Working Papers 2 and 3 – *Stakeholder Interview Summary Report* and *Route Transfer Evaluation Considerations*
3. Review Draft *Route Transfer Handbook*
4. Discuss Next Steps

FOR MORE INFORMATION CONTACT:
SCOTT OMER, ADOT PROJECT MANAGER, (602) 712-4786
BRYAN PATTERSON, KIMLEY-HORN AND ASSOCIATES, INC., (480) 756-6135

ADOT Route Transfer Procedures Study
MPD Task Assignment 15-11
PG TD0624
Contract # TO849U0001

PROJECT MANAGEMENT TEAM MEETING 3 SUMMARY

DATE: WEDNESDAY, NOVEMBER 30, 2011
TIME: 9:00 A.M.
LOCATION: MPD CONFERENCE ROOM
ATTENDANCE:
Justin Feek, ADOT MPD
Paul Gibson – ADOT ROW
Lars Jacoby – ADOT CCP
Audra Merrick, ADOT Flagstaff District
Bob Mickelson – Kimley-Horn
Bryan Patterson – Kimley-Horn
Bill Pederson – ADOT CCP
James Zumpf – ADOT MPD

INTRODUCTIONS

Justin Feek welcomed everyone, asked for self introductions, and provided an overview of the study status.

COMMENT RESOLUTION ON DRAFT WORKING PAPERS 2 AND 3 – *STAKEHOLDER INTERVIEW SUMMARY REPORT* AND *ROUTE TRANSFER EVALUATION CONSIDERATION*

Bryan Patterson reported that there were minimal comments on draft Working Paper 2 and that minor revisions were made in the final document. There were more extensive comments on draft Working Paper 2 and a comment resolution form was developed to document the comments received and the response to each comment. It was agreed that comments were adequately addressed and that final versions of the working papers would be forwarded to the Technical Advisory Committee (TAC).

REVIEW OF DRAFT ROUTE TRANSFER HANDBOOK

Bryan summarized the information included in the draft handbook. He stated that the handbook is a guide that can be tailored to the specific needs of the transfer and can vary considerably in the time and effort required to evaluate proposed transfers. It was recommended that the handbook introduction be revised to emphasize this point. Paula Gibson stated that there is a handbook on adding interchanges to the interstate system that may be a good example for language to be added.

FOR MORE INFORMATION CONTACT:
JUSTIN FEEK, ADOT PROJECT MANAGER, (602) 712-6196
BRYAN PATTERSON, KIMLEY-HORN AND ASSOCIATES, INC., (480) 756-6135

Audra Merrick asked that more information be included regarding what is expected to occur at the initial meeting between ADOT and the local or tribal government. She also recommended that the initial checklist consideration regarding jurisdiction interest be deleted since transfer discussions typically do not proceed if there is no local or tribal government support for the transfer.

Bryan reported that the review Arizona Revised Statutes (ARS) regarding route transfer revealed only one potential substantive change. ARS28-7213 establishes the effective date of a transfer is upon recording in the office of the county recorder. Although recording is necessary, it may be more appropriate to make the transfer effective upon approval by the State Transportation Board. Paula suggested that the requirement for a two-week advance notice of a transfer to the County Board of Supervisors should also include notice to the affected local jurisdictions. It was decided that these revisions are relatively minor and may be addressed in the future.

With respect to State Transportation Board Policies regarding route transfer, Bryan provided potential language revisions to Policy 16 that would eliminate references to Level of Development designation as a consideration in identifying candidates for route transfer. Also, he suggested clarifying that route transfer may include transfers to the State Highway System. Jim Zumpf responded that ADOT management will consider this and that in lieu of placing Board policies in the route transfer handbook, the handbook should reference the ADOT web site where current Board policies can be found.

Several other edit and corrections were discussed. It was agreed that after making revisions as discussed, the draft handbook would be forwarded to the TAC for review in advance of the December 14 TAC meeting.

NEXT STEPS

- Justin to forward final Working Papers 2 and 3 to the TAC
- Bryan to revise the draft handbook and provide to Justin for distribution to the TAC for review and comment

FOR MORE INFORMATION CONTACT:
JUSTIN FEEK, ADOT PROJECT MANAGER, (602) 712-6196
BRYAN PATTERSON, KIMLEY-HORN AND ASSOCIATES, INC., (480) 756-6135

ADOT Route Transfer Procedures Study
TECHNICAL ADVISORY COMMITTEE MEETING 3

DATE: WEDNESDAY, DECEMBER 14, 2011
TIME: 2:00 P.M.
LOCATION: ADOT BOARD ROOM/WEBINAR

AGENDA

1. Introductions
2. Meeting Purpose
3. Summary of Progress to Date
4. Comment Resolution on Draft Working Papers
   - Working Paper 2 – *Stakeholder Interview Summary Report*
   - Working Paper 3 – *Route Transfer Evaluation Considerations*
5. Draft *Route Transfer Handbook*
   - Overview
   - Steps in the Process
   - Initial Meeting and Checklist
   - Memorandum of Intent
   - Route Transfer Evaluation
   - Route Transfer Report
   - Negotiation Issues
   - Intergovernmental Agreement
6. Next Steps
7. Roundtable Discussion

FOR MORE INFORMATION CONTACT:
JUSTIN FEEK, ADOT PROJECT MANAGER, (602) 712-6196
BRYAN PATTERSON, KIMLEY-HORN AND ASSOCIATES, INC., (480) 756-6135

ADOT Route Transfer Procedures Study
MPD Task Assignment 15-11
PG TD0624
Contract # TO849U0001

TECHNICAL ADVISORY COMMITTEE MEETING 3 SUMMARY

DATE: WEDNESDAY, DECEMBER 14, 2011
TIME: 2:00 P.M.
LOCATION: ADOT BOARD ROOM/WEBINAR
ATTENDANCE:
See attached attendance sheet

INTRODUCTIONS

Justin Feek welcomed everyone and asked those at the meeting and those participating electronically to introduce themselves. Justin provided an overview of the meeting agenda and status of the project.

MEETING PURPOSE

This was the third of three TAC meetings. The purpose was to recap progress to date, present and discuss the draft *Route Transfer Handbook*, and discuss next steps in the study.

PROGRESS TO DATE

Bryan Patterson provided a recap of progress to date, including a review of the study objectives, schedule, and deliverables. Working Paper 1, 2, and 3, *Work Plan*, *Stakeholder Interview Summary Report*, and *Route Transfer Evaluation Considerations* have been completed along with a comment resolution form for Working Paper 2. TAC/Stakeholder meetings were held on April 27, 2011 and September 15, 2011. A draft *Route Transfer Handbook* has been developed for TAC review and comment. Bryan reviewed the results of the stakeholder survey process, key survey findings, "best practice" recommendations, and recommended route transfer process enhancements.

Draft *Route Transfer Handbook*

At the September TAC meeting, it was recommended that a Route Transfer Handbook be developed in lieu of a report and executive summary of the study process and findings. Working Papers 2 and 3 provide supporting information for the handbook.

Bryan summarized the contents of the draft handbook. The route transfer process is intended to be cooperative and flexible with the ability to tailor it to the specific transfer under consideration. It is a two-way process that provides guidelines for transfers both to and from the State Highway System.

The process flow chart includes 6 key decision points: initial meeting, memorandum of intent, preliminary feasibility evaluation, data collection and route transfer report, initial and final negotiations,

FOR MORE INFORMATION CONTACT:
JUSTIN FEEK, ADOT PROJECT MANAGER, (602) 712-6196
BRYAN PATTERSON, KIMLEY-HORN AND ASSOCIATES, INC., (480) 756-6135

and development of an intergovernmental agreement. A screening checklist is provided that will give an early indication if the proposed transfer is feasible by answering several yes/no questions without performing an extensive data collection effort. Check list considerations include trip character, highway function, planned improvements, maintenance and operations, and other considerations.

If it is determined that the proposed transfer is feasible, a more detailed data collection effort and evaluation is performed and documented in a route transfer report. An evaluation matrix spreadsheet has a series of true/false/neutral statements that are performance-based. If a majority of the statements are answered as true, there is reasonable justification for the proposed transfer. The data collection and evaluation are documented in a route transfer report.

The final step in a route transfer is drafting an intergovernmental agreement. As part of the development of the agreement, there are a number of issues to consider in the negotiations, such as right-of-way ownership, access control, permits, agreements, roadway condition, railroad crossings, route signage, traffic signals, lighting, landscape, transfer time frame, post transfer responsibilities, and financial considerations.

Questions and comments regarding the draft handbook are summarized as follows:

- Roger Herzog asked for clarification on how access management is valued and if it must be purchased. In some cases, ADOT purchases access rights from adjacent properties and this should be considered in the transfer negotiations. Roger also asked how the working papers will be handled since not all of the information from the working papers is included in the handbook. It was recommended that the handbook include a reference to the working papers.

- Mike Kondelis asked if there was a recommendation regarding ADOT staff resources for addressing route transfers. Most transfers are administrative in nature and are typically can be processed with existing staff resources. Staff requirements for more complicated transfers are difficult to predict and need to be considered case-by-case.

- Dave Wessel asked for more discussion in the handbook regarding federal interests in the transfer process. FHWA will assist with adding some language on this issue.

NEXT STEPS

- Receive comments on the draft *Route Transfer Handbook* by Friday, January 6
- Revise handbook in response to comments received
- Develop educational PowerPoint presentation and begin public rollout
- Discuss potential revisions to State Transportation Board Policies regarding the route transfer process with ADOT management
- Submit final deliverables by the end of February, 2012.

FOR MORE INFORMATION CONTACT:
JUSTIN FEEK, ADOT PROJECT MANAGER, (602) 712-6196
BRYAN PATTERSON, KIMLEY-HORN AND ASSOCIATES, INC., (480) 756-6135

ADOT Route Transfer Study – TAC/Stakeholder Attendance Sheet

Organization	Name	Email	4-27-11	9-15-11	12-14-11
ADOT Yuma District	Alvin Stump	astump@azdot.gov	X		
ADOT Flagstaff District	Audra Merrick	amerrick@azdot.gov	X		
ADOT Safford District	Bill Harmon	bharmon@azdot.gov			
ADOT Communication and Community Partnerships	Bill Pederson	bpederson@azdot.gov	X	X	X
Kimley-Horn and Associates	Bob Mickelson	rmickelson@msn.com	X	X(1)	X
Kimley-Horn and Associates	Bryan Patterson	bryan.patterson@kimley-horn.com	X	X	X
Pima Association of Governments	Cherie Campbell	ccampbell@pagnet.org			
Yavapai County	Chris Bridges	cbridges@pvaz.net	X		
Northern Arizona Council of Governments	Chris Fetzer	cfetzer@nacog.org	X	X	
ADOT Intermodal Transportation Division Operations	Dallas Hammitt	dhammit@azdot.gov			
Hopi Tribe	Danny Honanie	danny_honanie@yahoo.com			
Flagstaff Metropolitan Planning Organization	David Wessel	dwessel@flagstaffaz.gov	X	X	X
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Arizona State Land Department	Lillian Moodey	lmoodey@land.az.gov			
Southeastern Arizona Governments Association	Luke Droeger	ldroeger@seago.org			
ADOT Holbrook District	Lynn Johnson	lynnjohnson@azdot.gov	X		
Arizona State Land Department	Manny Patel	mpatel@land.az.gov	X		

Organization	Name	Email	4-27-11	9-15-11	12-14-11
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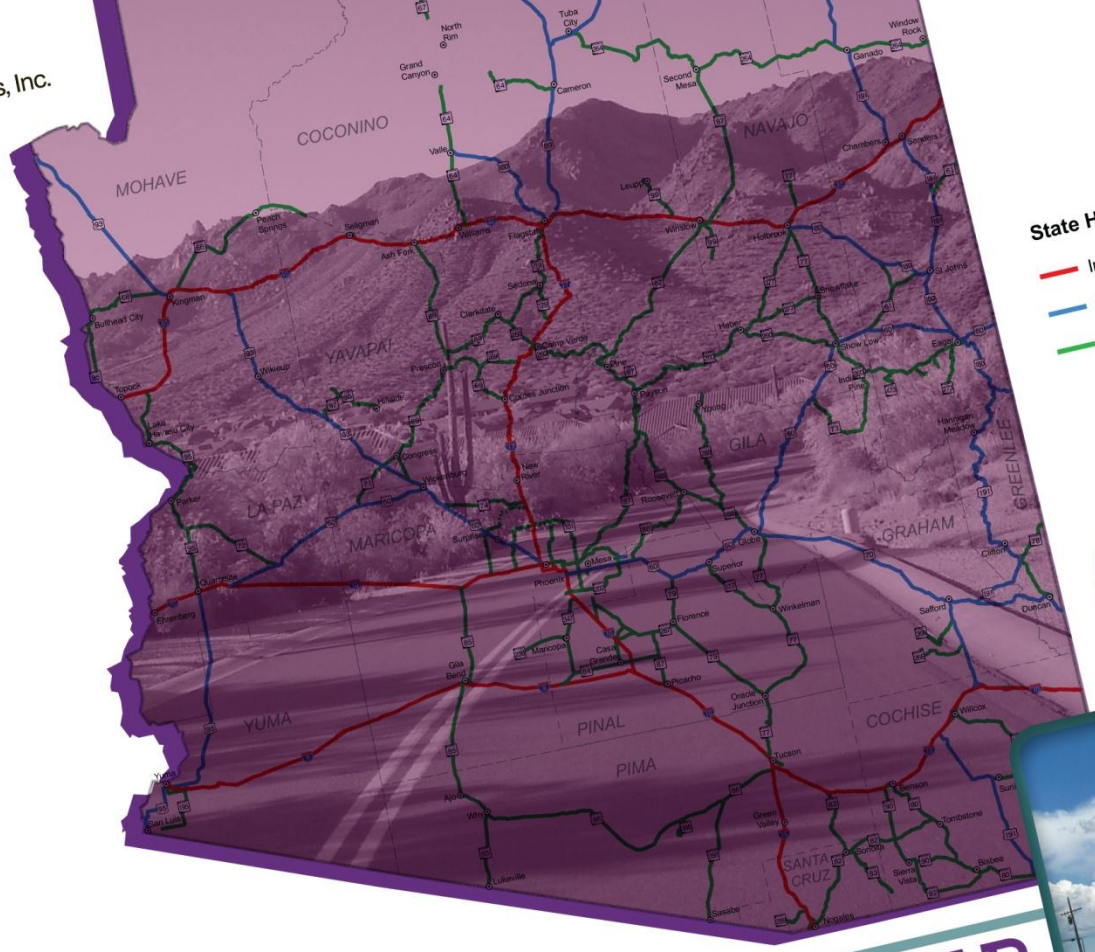
ADOT Globe District	Matt Moul	mmoul@azdot.gov	X		
ADOT Kingman District	Michael Kondelis	mkondelis@azdot.gov		X	X
ADOT Traffic Operations	Mike Manthey	mmanthey@azdot.gov			
Yuma Metropolitan Planning Organization	Paul Patane	ppatane@ympo.org	X	X	
ADOT Right of Way Group	Paula Gibson	pgibson@azdot.gov	X	X	
Navajo Nation Transportation	Paulson Chaco	pchaco@navajodot.org			
ADOT Globe District	Rod Lane	rlane@azdot.gov			X
Maricopa Association of Governments	Roger Herzog	rherzog@azmag.gov	X	X(2)	X
Arizona State Land Department	Ruben Ojeda	rojeda@land.az.gov		X	X
ADOT Multimodal Planning Division	Scott Omer	somer@azdot.gov	X		
Western Arizona Council of Governments	Sharon Mitchell	sharonm@wacog.com			
ADOT Public Involvement Director	Teresa Wellborn	twelborn@azdot.gov			
ADOT Phoenix District	Tim Wolfe	twolfe@azdot.gov			
ADOT Tucson District	Todd Emery	temery@azdot.gov			

(1) Represented by Debra Brisk
(2) Represented by Micah Henry
(3) Represented by Isabelle Garcia

Kimley-Horn and Associates, Inc.



State Highway System

- Interstate
- US Route
- State Route

ADOT | PREPARED FOR ADOT

ADOT ROUTE TRANSFER

PROCEDURES STUDY, TASK ASSIGNMENT MPD 15-11

TAC/Stakeholder Meeting 3 – December 14, 2011

Meeting Purpose

Present and Discuss:

- Recap progress to date
- Draft Route Transfer Handbook
- Next steps

Study Objectives

- Evaluate current processes, procedures, and policies for transferring roadway jurisdiction
- Identify “best practices” and desired approaches to route transfer
- Develop a mutually agreeable route transfer framework
- Develop recommended revisions to current route transfer processes and practices
- Provide educational tools

Project Schedule

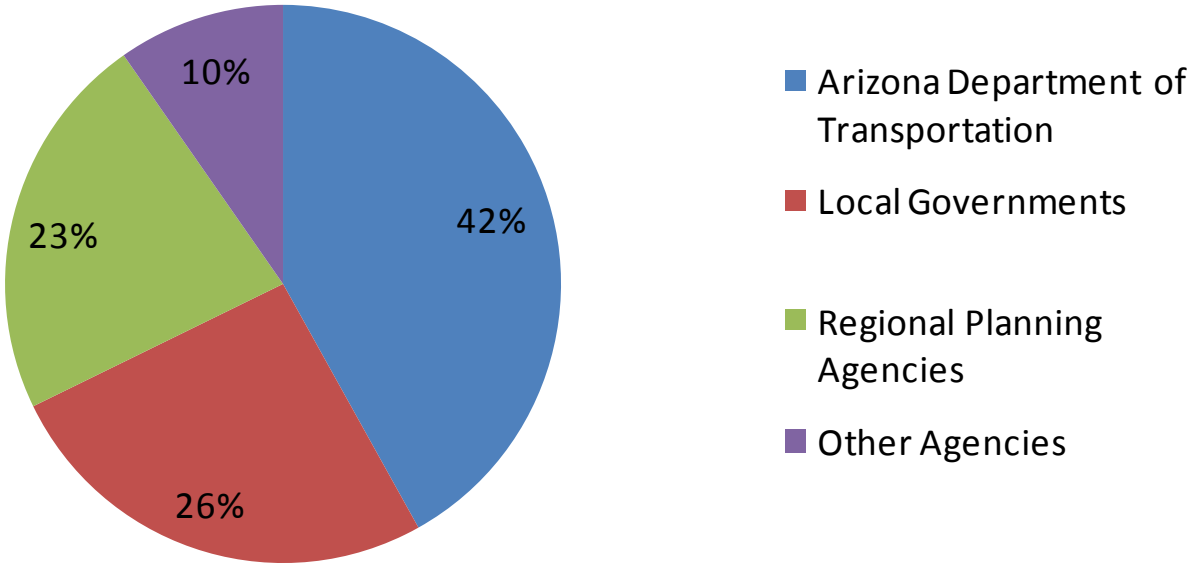
ACTIVITIES	2011										2012	
	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB
TASK 1. Work Plan												
TASK 2. Stakeholder Interviews												
TASK 3. Justification of Need/ Negotiation Criteria												
TASK 4. Initial Draft Report												
TASK 5. Public Rollout												
TASK 6. Final Report												
TASK 7. Presentations to ADOT Board and Elected Officials (optional)												
PMT/TAC Meetings		1				2				3		

Progress to Date

- Completed Working Papers 1, 2, and 3 – *Work Plan, Stakeholder Interview Summary Report and Route Transfer Evaluation Considerations*
- Held TAC/Stakeholder meetings on April 27 and September 15, 2011
- Completed draft route transfer handbook

Survey Respondents

- Good Representation/Knowledgeable Participants



Key Survey Findings

- Better process documentation/definition is needed
- Negotiation process is challenging, but end result is usually favorable
- Funding is the most critical decision element
- Transferring agency should be primary data source and provide data early in the process
- Right-of-way ownership needs to be established early in the process

Key Survey Findings

- District and agency management staff should be primary negotiators
- Mixed responses on use of facilitator and public involvement
- Shortening time frame for transfers may not be desirable or beneficial
- Letter of intent is needed early in the process
- Some revisions to State Statutes and Board Policies are needed

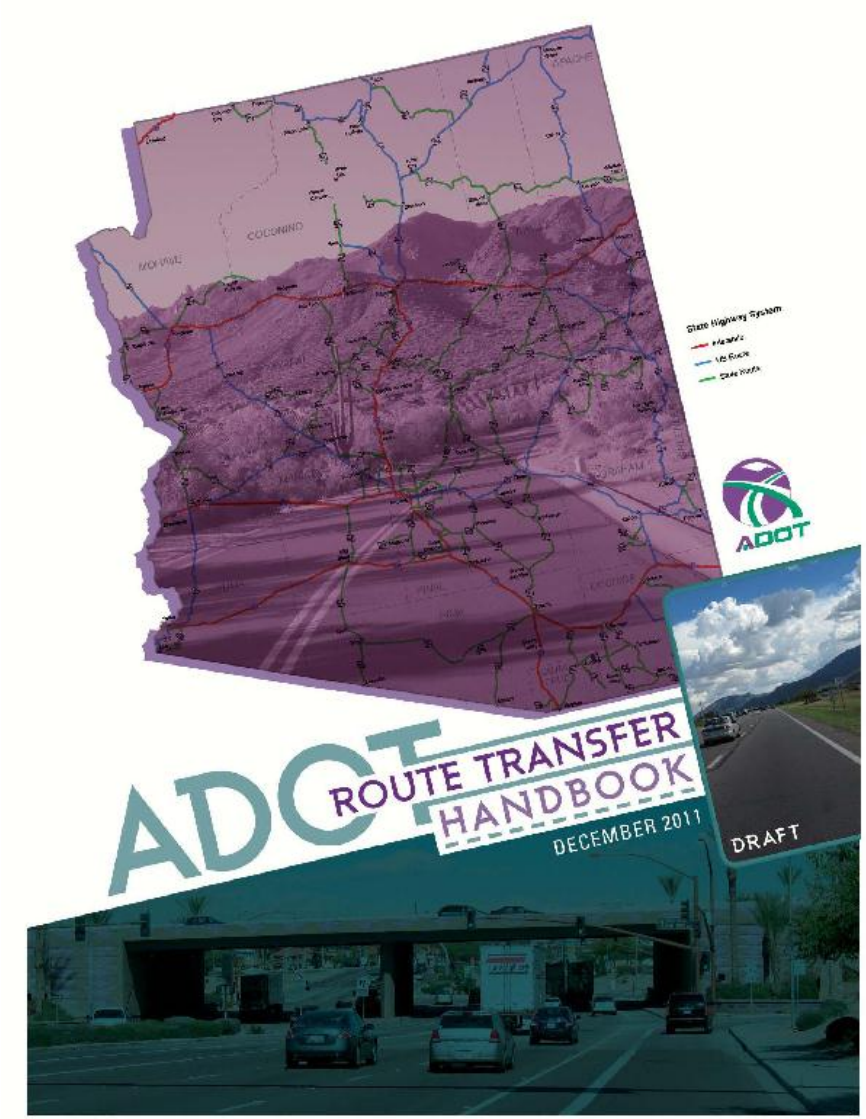
“Best Practice” Common Elements

- Process documentation, including flow charts and timelines
- Early definition of responsibilities, data needs, and desired outcomes
- Pre-established decision-making criteria

Recommended Enhancements

- Document route transfer processes
- Execute memorandum of intent early in the negotiation
- Prepare route transfer analysis report
- Identify evaluation considerations
- Identify negotiation elements
- Use facilitator and public involvement on case-by-case basis
- Streamline process for administrative transfers

Draft Route Transfer Handbook



Handbook Overview

- Cooperative process that fosters open communication
- Flexible process that can be tailored to specific cases
- Two-way process for transfers to and from the State Highway system

Steps/Key Decision Points in the Process

- Initial meeting
- Memorandum of intent
- Preliminary feasibility evaluation
- Data collection and route transfer report
- Initial and final negotiations
- Intergovernmental agreement

Initial Check List Considerations

- Trip character
- Highway function
- Planned improvements
- Maintenance and operation
- Other considerations

Memorandum of Intent

- Segment definition
- Reasons for transfer
- Roles and responsibilities for data collection and evaluation
- Anticipated time frames
- Other considerations

Route Transfer Evaluation

- Transfer objective
- Right-of-way
- Trip Character
- Highway Function
- Land Use
- Access Management
- Future Needs
- Jurisdictional Interest
- Other Routes
- Maintenance and Operations

Sample Evaluation Matrix

Criteria Category	Transfer Considerations	Criteria for Transfer to Local Jurisdiction	
Goal of the Transfer			
Transfer objective	What is the main objective or goal that is anticipated through completion of the proposed transfer?	A local or tribal agency desires increased control of improvements, maintenance, access decisions, and financial responsibility.	TRUE
Right-of-Way			
	Does ADOT or the local or tribal agency have full title rights to the candidate roadway?	Route transfer evaluation and negotiations require that all roadway owners (e.g. federal, state, tribal, easement) are participants in the process.	TRUE
Trip character			
Trip purpose	Does the road or highway serve statewide, regional, or local travel needs?	Route primarily serves local travel needs. Vehicles trips are primarily local in nature, for shopping, local business, and recreation.	NEUTRAL
Multimodal transportation	Do alternate modes of travel (bicycles, pedestrians, crosswalks, public transit, and school buses) significantly or detrimentally impact the function of the roadway?	Transit, bicycles, and pedestrians have a significant impact on the vehicular capacity of the route.	TRUE
	Is there a desire by the local or tribal agency for significant investment in multimodal facilities such as sidewalks, shared use paths, crosswalks/pedestrian signals?	Significant multimodal infrastructure is needed to accommodate frequent users of the roadway, including bicyclists, pedestrians, and transit users.	TRUE
	Does the route connect to regional multimodal facilities such as airports or rail stations?	Route does not connect to regional multimodal facilities.	TRUE
Highway Function			
Continuity and Connectivity	Is the route needed for statewide or regional system connectivity?	Route is not needed to maintain regional continuity.	TRUE
	Is this route a high capacity connecting route needed to form an efficient network?	Route is not needed to maintain continuity in the state highway system.	TRUE
	Does this route form a convenient or necessary link for connecting sections of state highways or for carrying state highways or state routes through cities or towns?	Route does not form a necessary link for carrying state highways through cities or towns.	TRUE
	Does the route or route segment connect two interstate freeways?	Route does not connect two interstates.	TRUE
	Does the route connect to two state highways?	Route does not connect two state highways.	TRUE
	Does the highway interconnect with those of other states?	Route does not connect to state highways in another state.	TRUE
	Does the route serve as a by-pass for interstate, regional, or local routes?	Route serves as an alternative bypass to local routes	NEUTRAL
	Does this route connect Arizona's population centers?	The route is not essential to connecting Arizona's population centers.	TRUE
	Is this route primarily designed to carry through traffic?	Route is designed primarily to serve local land uses	FALSE
State highway system functionality	Is the route important to the functionality of the statewide highway system?	Route is not critical to the functionality of the state highway system.	TRUE
	Consider whether changes in maintenance, access management or other standards resulting from a transfer negatively impact the function of other nearby state facilities?		
	Does the transfer of a segment affect the functionality of the whole highway? For example, will significant delay be caused for through traffic?	Transfer of route segment to local entity would not impair the functionality of the whole highway.	TRUE
	Does this route provide statewide and regional movement of people and goods?	Route primarily provides for local land access, provides minimal support for regional or statewide movement of people or goods.	TRUE
Frontage roads	Is the route a frontage road to a major state facility that is needed to complement the mainline facility?	The frontage road primarily accommodates local access.	NEUTRAL
Parallel routes	Is the route a parallel route to a state highway?	Route parallels and duplicates the function and purpose of a parallel state highway facility.	TRUE
New or major reconstruction	Is the route affected by a new state highway that bypasses or duplicates the route	• The route is now served by a new state highway that bypasses the city or town; the route is no longer needed as part of the state system	TRUE
		• The route changed as part of a highway realignment that left a portion of the old highway useful only for local access purposes.	

Land Use			
Local land use plans	Do local or regional plans treat the highway as a local road favoring accessibility, or as a statewide facility favoring mobility, as determined by highway classification and access management?	Local and regional plans treat the route as a local road favoring accessibility.	TRUE
	Recognizing that land use decisions are made by local and tribal governments, should consolidation of government decisions for land use and access management decisions provide greater efficiency and community responsiveness?	Consolidation of government decisions for land use and access management decisions would provide greater efficiency and community responsiveness.	TRUE
Access Management			
Driveways/access points	How does existing access management (number of driveways, access points, intersection geometrics, intersection spacing) affect mobility, capacity, and safety?	• Existing access points impact the integrity of the corridor	TRUE
		• Non-compliance for access (nor permitted or not in compliance to DOT standards / requirements) and local jurisdictions will not support actions to correct	
		• Past actions determined that the local agency and / or business community is not supportive of access management implementation	
Access management features	Does the route include access management features (medians, right in / right out, islands	Route includes minimal or no access management features	FALSE
Intersection/interchange access	Does the route cross an Interstate or state highway where state ownership of the highway is required to protect the access management of the interchange, off-ramp or highway?	Route segment does not cross an interstate or state highway where ownership is required to protect access management.	FALSE
Frontage road	Is the frontage road being considered for transfer needed to support the limited access of an interstate, freeway, interchange, or potential freeway?	The route is a frontage road that is intended primarily for local access; route is not needed to support limited access	NEUTRAL
Future Needs			
	Does a planning study say that the route will be needed on the state system to accommodate population growth or a change in the economy?	Route will not be needed on the state highway system to accommodate future growth.	FALSE
Jurisdictional Interest			
Local or Tribal Jurisdiction Interest	Has a local or tribal agency expressed interested in assuming ownership of the route?	A local or tribal agency has expressed interest in assuming ownership of the route.	TRUE
Level of Service	Is there a desire by local government for a different level of service (e.g. permit accesses, maintenance, higher standards or service)?	There is a desire by a local or tribal agency for a different level of service, which state ownership is not prepared to provide.	TRUE
Other non-statewide routes			
State and National points of interest	Does this route meet criteria for "non-statewide routes" serving points of state and national interest?	The route does not serve as a primary route to federal public lands and destinations.	TRUE
Special designations	Does this route meet criteria for "other major facilities" including:	Route does not have special designations.	TRUE
	• Rural routes with more than 5,000 ADT		
	• Connecting rural National Highway System (NHS) routes with more than 1,500 ADT		
	• Key freight routes (more than 1,000 articulated trucks per day)		
	• A regional evacuation route		
	• Scenic Byway or Scenic Corridor		
Maintenance and Operations			
State highway segmentation	Will the transfer result in a state highway being broken into segments owned by different jurisdictions?	Transfer will not result in state highway being broken into segments owned and operated by different jurisdictions.	TRUE
Maintenance resources	Does the receiving agency have the ability to maintain and operate the roadway?	Local or tribal agency has the resources to maintain and operate the roadway.	TRUE
Maintenance requirements	Are maintenance requirements, materials and/or equipment more appropriate or efficient at the local level (signal power and maintenance, plowing, sanding/de-icing, other maintenance work)	Route maintenance requirements are more efficiently provided at the local or tribal level.	FALSE

Route Transfer Report

- Goals and limits
- Roadway characteristics
- Current and desired jurisdictional responsibilities
- Anticipated costs and risks
- Evaluation results

Negotiation Issues

- Right-of-way ownership
- Access control
- Permits, encumbrances and agreements
- Roadway condition, upgrades, and standards
- Railroad crossings
- Route signage
- Traffic signals, lighting, and landscape
- Transfer time frame
- Post transfer responsibilities
- Financial considerations

Next Steps

- Receive comments on draft handbook by Friday, December 23
- Finalize handbook
- Develop educational presentation
- Submit final deliverables in February 2012
- Assist as needed with public education efforts

Questions and Roundtable Discussion

Appendix 2

ADOT Route Transfer Procedures Study

ADOT MPD Task Assignment 15-11
PG TD0624
Contract # T08-49-U0001

Final
Working Paper 1
Work Plan

Prepared by:

Kimley-Horn and Associates, Inc.

Prepared for:
ARIZONA DEPARTMENT OF TRANSPORTATION
MULTIMODAL PLANNING DIVISION

May 2011
091374040

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1. INTRODUCTION

1.1 Study Purpose

The Arizona Department of Transportation (ADOT) is charged with designating, planning, designing, constructing, operating, and maintaining a network of roadways that serve statewide and regional travel. With the rapid population growth that has taken place in Arizona, certain State highways that originally connected relatively distant urban centers are now serving more localized travel demands associated with adjacent land developments. To ensure that ADOT can sustain their primary mission of facilitating safe and efficient regional and statewide transportation connectivity, a cooperative process is needed to work with local and tribal government agencies to evaluate the historic, current, and future functions of certain State highways to determine which agency is best suited to provide long-term facility ownership and management. In some cases, shared responsibilities could be a consideration. Additionally, ADOT is sometimes requested to accept local and tribal roads into the State Highway System. The processes developed in this study will also apply to decision-making for accepting a road into the State Highway System.

1.2 Study Objectives

The primary objectives of this study are to develop a cooperative process for assessing the function of certain State highways relative to regional and statewide travel criteria and to formulate a rational and mutually agreeable transition strategy to transfer ownership responsibilities between government agencies. The study will not identify specific routes that may be candidates for transfer, but rather will focus on processes, procedures, and policies needed to form the framework for successful transfer agreements. This framework will include:

- Evaluation procedures and criteria to assess a facility's current and long-term function in serving statewide and regional travel demands;
- A cooperative process to identify and initiate discussions with agencies that may be candidates for negotiating a route transfer or sharing of responsibilities;
- Recommended ADOT administrative and State Transportation Board policies, including the decision-making process, regarding route transfer;
- Recommended revisions to State statutes regarding route transfer; and
- Other elements that are identified as part of the stakeholder interviews, meetings with the Project Management Team (PMT) and Technical Advisory Committee (TAC), public meetings, and presentations to the State Transportation Board and other public agencies.

1.3 Study Area

The study procedures developed will be applicable on a statewide basis. Current state routes, ADOT Engineering Districts, and Councils of Government and Metropolitan Planning Organization planning areas are shown in **Figure 1**.

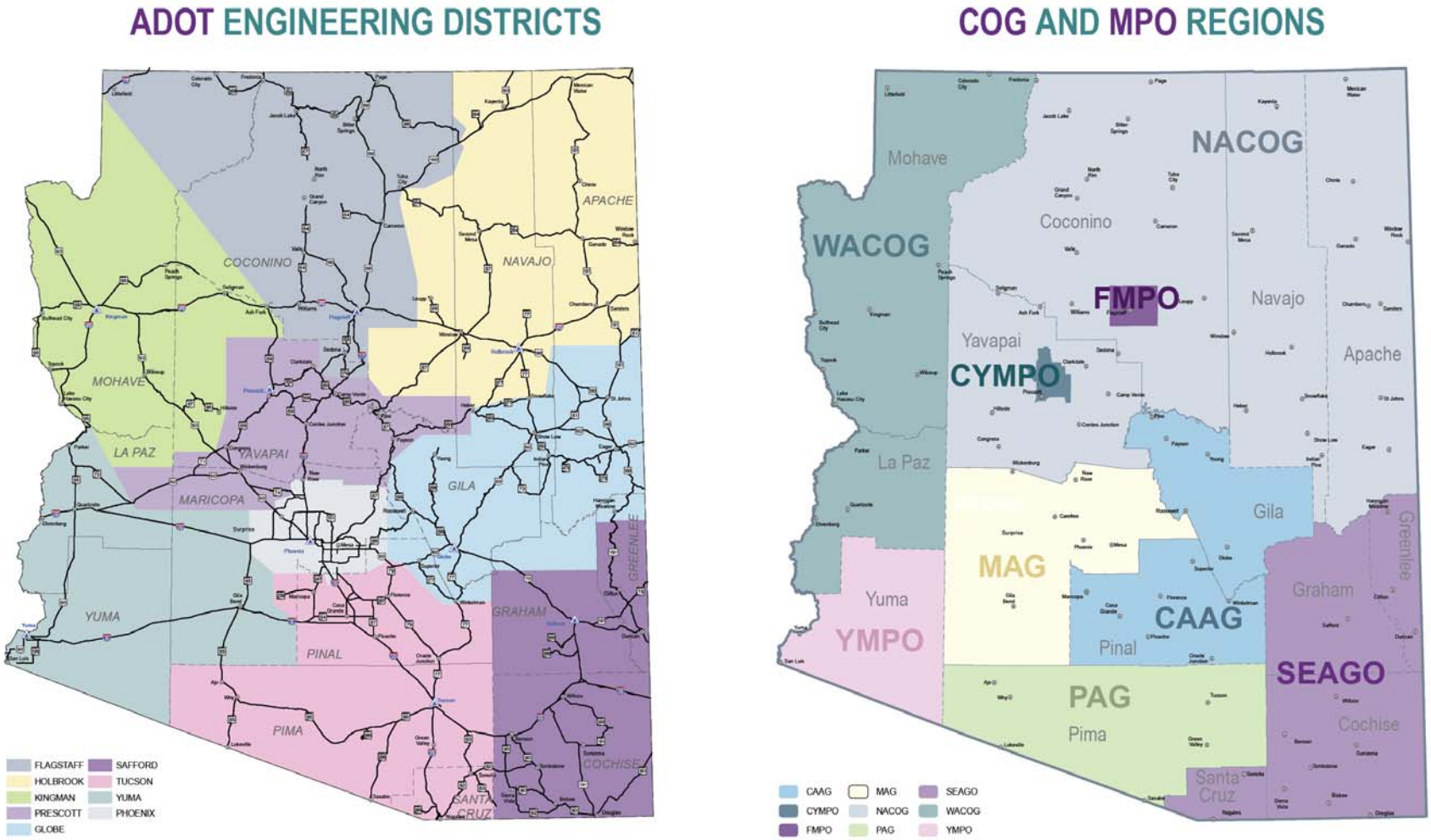

Figure 1- Study Area Maps

1.4 Project Management Team and Technical Advisory Committee

A core ADOT Project Management Team (PMT) will provide project direction and input to the study. Meetings will be held at the MPD conference room, typically one to two weeks in advance of Technical Advisory Committee (TAC) meetings. The PMT representatives are listed in **Table 1**.

Table 1 - ADOT Project Management Team Members

Organization	Name	Email
ADOT CCP	Lars Jacoby	ljacoby@azdot.gov
ADOT CCP	Bill Pederson	bpederson@azdot.gov
ADOT Flagstaff District	Audra Merrick	amerrick@azdot.gov
ADOT ITD	Dallas Hammitt	dhammit@azdot.gov
ADOT Multimodal Planning Division	Scott Omer	somer@azdot.gov
ADOT Multimodal Planning Division	Justin Feek	jfeek@azdot.gov
ADOT Right-of-Way	Paula Gibson	pgibson@azdot.gov
ADOT State Engineer	Floyd Roehrich	froehrich@azdot.gov
ADOT Traffic Operations	Mike Manthey	mmanthey@azdot.gov
Arizona Attorney General's Office	Jennifer Dorsey	jennifer.dorsey@azag.gov
Kimley-Horn and Associates	Bryan Patterson	bryan.patterson@kimley-horn.com
Kimley-Horn and Associates	Bob Mickelson	rmickelson@msn.com

In addition to the PMT, a broader-based TAC will be established to include other key stakeholders, including selected representatives of COGs, MPOs, cities and towns, counties, and tribal communities. PMT members will also be members of the TAC. Meetings will be held via video conference to encourage broad participation and minimize travel costs. The TAC distribution list is provided in **Table 2**.

Table 2 - Technical Advisory Committee (In addition to the PMT)

Organization	Name	Email
ADOT Flagstaff District	John Harper	jharper@azdot.gov
ADOT Globe District	Rod Lane	rlane@azdot.gov
ADOT Holbrook District	Lynn Johnson	lynnjohnson@azdot.gov
ADOT Kingman District	Michael Kondelis	mkondelis@azdot.gov
ADOT Phoenix District	Julie Kliewer	Jkliewer@azdot.gov
ADOT Phoenix District	Tim Wolfe	twolfe@azdot.gov
ADOT Planning and Policy	John McGee	jmcgee@azdot.gov
ADOT Prescott District	Greg Gentsch	ggentsch@azdot.gov
ADOT Safford District	Bill Harmon	bharmon@azdot.gov
ADOT Tucson District	Todd Emery	temery@azdot.gov
ADOT Yuma District	Alvin Stump	astump@azdot.gov
Arizona State Land Department	Ruben Ojeda	rojeda@land.az.gov

Organization	Name	Email
Arizona State Land Department	Lillian Moodey	lmoodey@land.az.gov
Central Arizona Association of Governments	Bill Leister	bleister@caagcentral.org
Central Yavapai Metropolitan Planning Organization	Christopher Bridges	cbridges@pvaz.net
Flagstaff Metropolitan Planning Organization	David Wessel	dwessel@flagstaffaz.gov
Federal Highway Administration	Ed Stillings	ed.stillings@dot.gov
Federal Highway Administration	Nate Banks	nathan.banks@dot.gov
Hopi Tribe	Danny Honanie	danny_honanie@yahoo.com
Maricopa Association of Governments	Eric Anderson	eanderson@azmag.gov
Navajo Nation Transportation	Paulson Chaco	pchaco@navajodot.org
Northern Arizona Council of Governments	Chris Fetzer	cfetzer@nacog.org
Pima Association of Governments	Cherie Campbell	ccampbell@pagnet.org
Southeastern Association of Governments	Luke Droeger	ldroeger@seago.org
Western Arizona Council of Governments	Sharon Mitchell	sharonm@wacog.com
Yuma Metropolitan Planning Organization	Paul Patane	ppatane@ympo.org

2. PUBLIC INVOLVEMENT

It was determined that public meetings would not be appropriate for this project since it involves processes and administrative procedures that may not generate significant general public interest. In addition, it would not be convenient for the general public to attend a single public meeting for the entire State. It was agreed that it may be more beneficial to develop an educational PowerPoint presentation that could be given by ADOT staff on a regional basis to relevant groups that may have a specific interest in route transfer procedures.

A public involvement function will be included as part of the route transfer process and ADOT Communication and Community Partnerships Division staff will provide project direction and input as members of the PMT.

3. PROJECT SCHEDULE

The project is anticipated to be completed within a 12-month timeframe. The project schedule is presented in **Figure 2**. It is anticipated that the optional Task 7 will continue beyond the 12-month project duration.

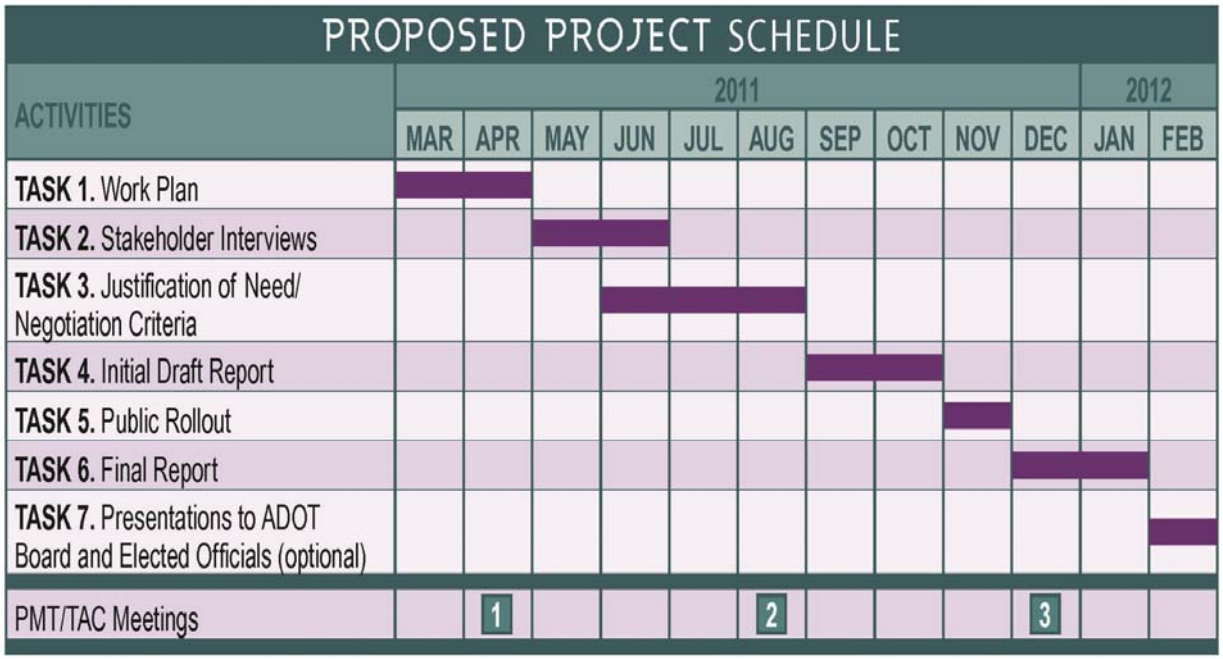

Figure 2- Project Schedule

4. STAFFING PLAN

The staffing plan for the project is summarized in the organization chart presented in **Figure 3**.

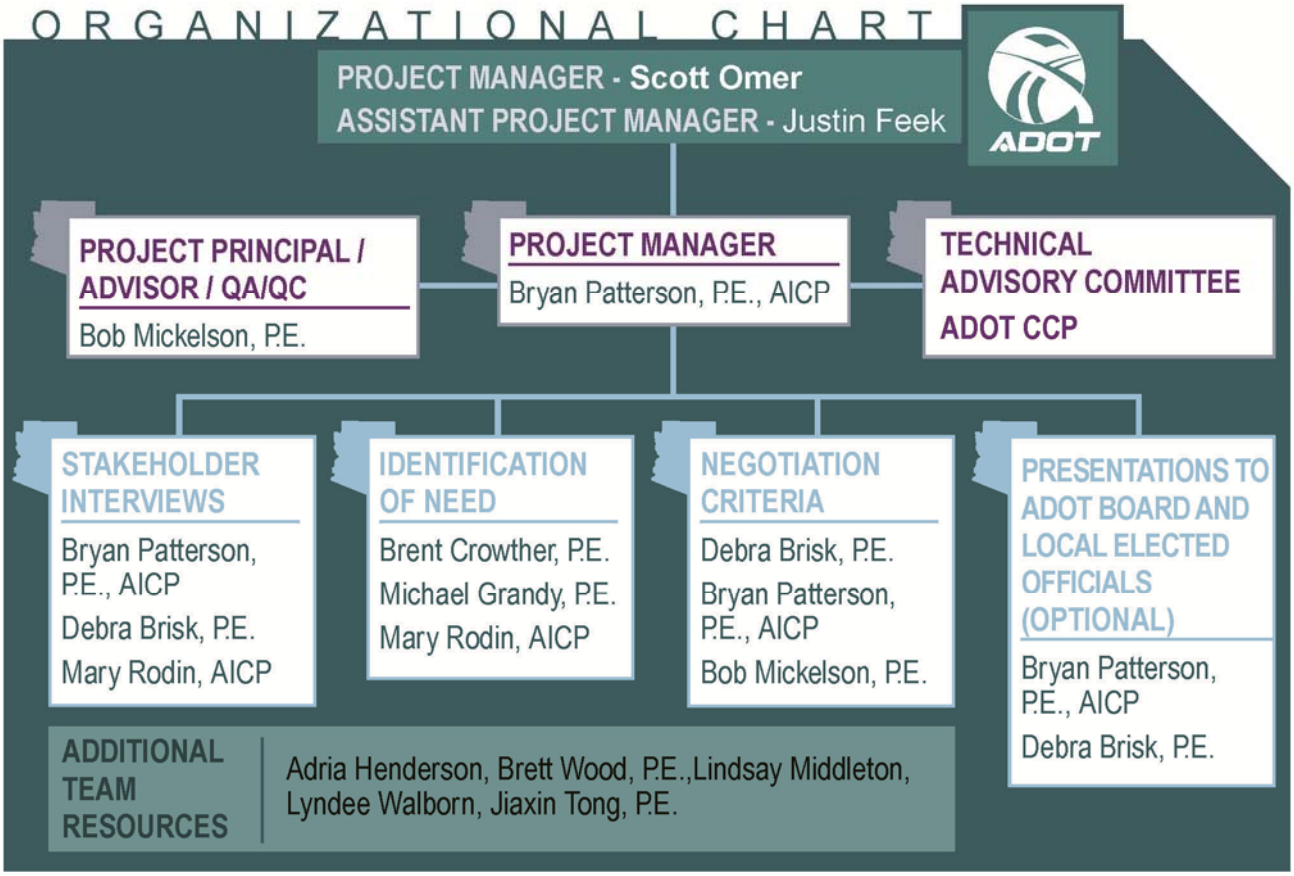

Figure 3- Staffing Plan

5. PROJECT WORK TASKS

The Project Work Plan includes seven tasks that encompass the Scope of Work.

- Task 1: Work Plan/Project Management
- Task 2: Stakeholder Interviews
- Task 3: Justification of Need and Negotiation Criteria Collection Working Paper
- Task 4: Prepare Initial Draft Report
- Task 5: Public Education Presentation
- Task 6: Prepare Final Route Transfer Report
- Task 7: Report Presentations (optional Task)

5.1 Task 1: Work Plan/Project Management

Objective

During the first month of the project, the work plan and schedule will be refined in consultation with the ADOT project manager, PMT, and TAC. The objective of Task 1 is to prepare and present a draft Work Plan for review and comment and then produce the final Work Plan. The Work Plan includes a detailed description of work tasks and associated products, schedule, staffing levels and responsibilities, and a project management and coordination framework to ensure that objectives of ADOT and the TAC are achieved. A project kick-off TAC meeting will be scheduled to review and obtain TAC input on the draft Work Plan.

The study will include consideration of route transfers from ADOT to other government agencies as well as transfers from other government agencies to ADOT. Both cases will be included in the project scope. In some cases, the transfers might involve only some of the responsibilities for the routes.

Justin Feek, the Deputy Project Manager, will serve as the primary contact with Kimley-Horn. Scott Omer, the ADOT project manager, will be copied on all correspondence.

Work Activities

- Prepare an initial draft Work Plan (Working Paper 1) for review and discussion with the ADOT project manager;
- Submit the draft Work Plan to the ADOT project manager for approval and distribution to the PMT and TAC for review and comment;
- Schedule, prepare for, and attend kick-off PMT and TAC meetings to discuss the draft Work Plan. The KHA team will prepare a meeting summary; and
- Address comments made by the PMT and TAC on the Work Plan and submit a final Work Plan to the ADOT project manager for approval and distribution to the PMT and TAC.

Deliverables

- Working Paper 1: Work Plan; and
- Kick-off Meeting (PMT and TAC Meeting 1) agendas, presentation materials, and meeting summaries.

5.2 Task 2: Stakeholder Interviews

Objective

The objectives of Task 2 are to identify up to 50 stakeholders to be interviewed regarding route transfer issues and concerns, develop an interview questionnaire to capture stakeholder input, conduct the interviews via phone or e-mail, and summarize the findings. This is a critical initial step that will be performed in the second and third months of the project schedule. Example questions could include:

- What is your understanding of ADOT's current route transfer procedures and policies?
- What is your potential role in route transfer?
- Have you been involved in any previous or current route transfer negotiations? If so, please describe your perception of the process (both positive and negative perceptions).
- What criteria would you include in the route transfer process, and what kind of data would need to be collected to evaluate those criteria? (If needed, prompt with examples such as roadway functional classification, traffic volumes, trip lengths, driveway spacing, access control, operating speeds, accident rates, route continuity, connections to activity centers, agency financial capabilities, roadway condition, right-of-way, easements, etc).
- What do you consider to be the benefits and drawbacks of route transfer?
- Do you have any suggested changes to ADOT administrative procedures, State Board policies, or State statutes related to route transfer?
- Do you have any other comments or suggestions?

Work Activities

- In consultation with the ADOT project manager, develop a list of stakeholders to be interviewed;
- In consultation with the ADOT project manager and PMT, develop a stakeholder interview questionnaire;
- Conduct interviews;
- Summarize findings in a draft Stakeholder Interviews Summary Report (Working Paper 2);
- Submit the draft Stakeholder Interviews Summary Report to the ADOT project manager for approval and distribution to the PMT and TAC for review and comment;
- Schedule, prepare for, and attend PMT and TAC Meeting 2 to discuss the Stakeholder Interviews Summary Report, and initial transfer justification and criteria. The KHA team will prepare a meeting summary; and
- Address comments made by the PMT and TAC on the Stakeholder Interviews Summary Report and submit a final Stakeholder Interviews Summary Report to the ADOT project manager for approval and distribution to the PMT and TAC.

Deliverables

- Stakeholder interview list and questionnaire;
- Working Paper 2: Stakeholder Interviews Summary Report; and
- PMT and TAC Meeting agendas, presentation materials, and meeting summaries.

5.3 Task 3: Justification of Need and Negotiation Criteria Working Paper

Objective

The objective of this task is to develop policies and procedures to evaluate and negotiate a potential route transfer based on a listing of needs and criteria. The policies and procedures will indicate what background information is needed to justify a route transfer and how to initiate discussions for a route transfer. The policies and procedures will also indicate the decision-making steps needed and criteria to be considered in the negotiation of the actual route transfer. The development of these policies and procedures will be guided by stakeholder and TAC input. An example process is shown in **Figure 4.**

Table 3 provides an initial listing of some potential route transfer evaluation and negotiation criteria elements and categories and their corresponding supporting data requirements that could be used in developing route transfer evaluation and negotiation policies and procedures. By creating defined policies and procedures that have the support of stakeholders ADOT will improve its ability to effectively negotiate transfers of roadways that are consistent with the needs of the state transportation network.

Table 3 - Potential Criteria/Data Needs

Potential Justification of Need and Negotiation Criteria Elements	Potential Justification of Need and Negotiation Criteria Categories	Potential Data/Information Required to Justify the Need for and Negotiate Route Transfer
Transportation / Roadway	• Functionality • Modes of transportation • Safety • Deficiencies (compliance with state standards and criteria, design exceptions) • Right-of-way • Drainage (flow, water quality, erosion control / management) • Annual costs (life cycle costs)	• Level of service (today / future) • Traffic counts (today / future) • Typical section (today / future) • Functional Classification • Crashes / risk evaluation – assessment • As-built drawings • Safety concerns • Modal needs • ADA compliance • Pavement condition • Mapping, easements, prior rights, fencing • Drainage and utility features • Future capital and maintenance costs / planned improvements • Intergovernmental agreements
Access Control/ Management	• Access management / control related to medians, driveways, turn restrictions	• Access permit listing from District offices • Access management / control policies and requirements • Pending applications for access • As-built drawings
Regional and Statewide Route Continuity	• Connectivity • Maintenance activities • Jurisdictional boundaries • Signage	• Maintenance costs relative to manpower, equipment, and materials • Maps / graphics illustrating boundaries • Route numbering, way finding • Traffic counts (today / future)
Local Traffic Connectivity/Mobility	• Daily usage of the roadway • Local / regional mobility / connectivity	• Origin / destination studies • Planned land developments • Traffic counts (today / future) for both local and regional traffic
Roadway Context Relative to Community Needs	• Amenities / features embracing the context • Requests to enhance network beyond 'norm' for ADOT • Local community requests	• Landscaping, public art, aesthetic treatments / enhancements • Permit requests • Requests for parades, community events
Partnerships	• Working relationships and agreements between jurisdictions / entities • Maintenance agreements / working relationships • Adopt a Highway support • Emergency response cooperation • Utility locations / easements • Crash reporting	• Cooperative agreements (memoranda of understanding, joint project agreements, intergovernmental agreements, project federal aid applications)

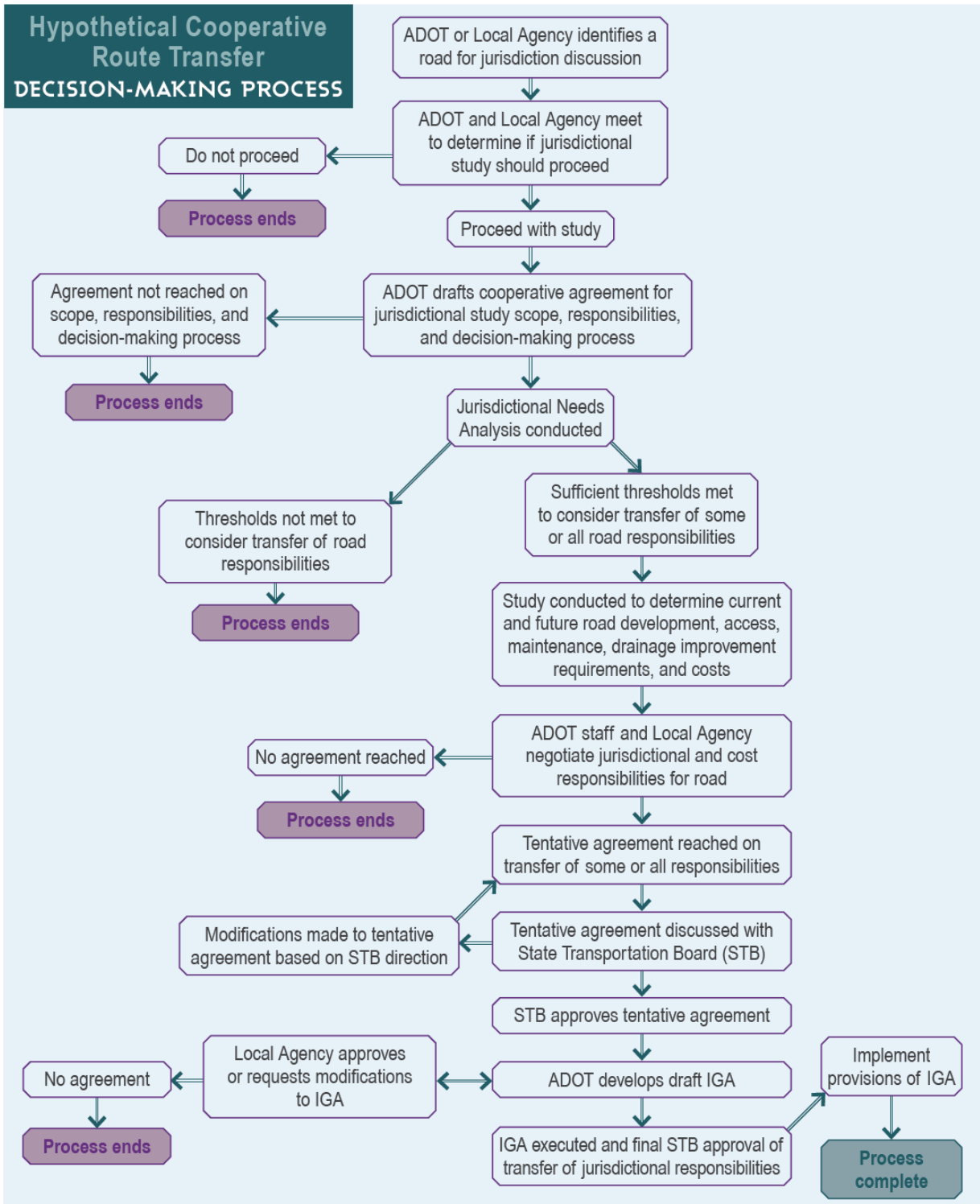

Figure 4- Example Route Transfer Decision-Making Process

Work Activities

- Taking into account the input from the stakeholder interviews, identify the justification of need and negotiation criteria elements and categories that should be evaluated when considering a route transfer, along with the data/information required to assess the proposed transfer. Other key resources include Arizona Revised Statutes, ADOT Transportation Board Policies, and research of "best practice" states;
- Summarize identified best practices related to procedures and policies for justifying the need for and negotiating route transfers by researching the route transfer procedures and policies of up to three other states/agencies. Potential "Best Practice" states include Washington, Pennsylvania, California, and Texas. KHA will contact ATRC, FHWA and TRB to identify other potential resources;
- Develop draft policies and procedures for evaluating a potential route transfer, along with the data/information required to justify the need for and negotiate a route transfer;
- Develop per-mile estimates of roadway capital and operating expenses for various types of roadways (e.g., rural and urban arterial two-lane roads, four-lane roads, and six-lane roads) in order to analyze cost implications of route transfers;
- Evaluate each proposed policy and procedure with respect to the quantifiable and subjective evaluation criteria and recommend revisions to the proposed policies and procedures as needed;
- Summarize findings and initial recommendations in a draft Justification of Need and Negotiation Criteria Report (Working Paper 3);
- Submit the draft Justification of Need and Negotiation Criteria Report to the ADOT project manager for approval and distribution to the PMT and TAC for review and comment;
- Schedule, prepare for, and attend PMT and TAC Meeting 2 to discuss the Justification of Need and Negotiation Criteria Report. The KHA team will prepare a meeting summary; and
- Address comments made by the PMT and TAC on the draft Justification of Need and Negotiation Criteria Report and submit a final Justification of Need and Negotiation Criteria Report to the ADOT project manager for approval and distribution to the PMT and TAC.

Deliverables

- Justification of need and negotiation criteria elements, categories, and corresponding data/information requirements;
- Summary of best practices on policies and procedures related to route transfers;
- Draft policies and procedures for evaluating the justification of need and negotiation criteria;
- Working Paper 3: Justification of Need and Negotiation Criteria Report; and
- PMT and TAC Meeting 2 agendas, presentation materials, and meeting summary.

5.4 Task 4: Initial Draft Report

Objective

The objective of this task is to prepare an initial draft report that compiles study findings and recommendations. In addition, this task will include an analysis of the pros and cons of the policies and procedures developed in the previous task to confirm that the proposed policies and procedures are realistic, implementable, and applicable to likely future route transfer proposals. This analysis will utilize both quantifiable criteria and subjective criteria. To perform this analysis, two route transfer test cases will be performed along with an evaluation of a recently completed route transfer. One test case will address a route transfer from the State highway system to a local jurisdiction with the other test addressing the proposed addition of a local road to the State highway system. The roadway segments selected for the test cases could be real or hypothetical, as determined in consultation with the ADOT project manager and the TAC.

Existing data that is readily available would be used to create the necessary background supporting information. Where existing data is not available, reasonable estimates and assumptions will be developed by the KHA team. Through these test cases, the KHA team will be able to identify where the draft policies and procedures need to be revised.

Work Activities

- Summarize test case and evaluation findings and recommended revisions to the proposed policies and procedures in an Initial Draft Route Transfer Report (Working Paper 4); and
- Submit the Initial Draft Route Transfer Report to the ADOT project manager for approval and distribution to the TAC for review and comment.

Deliverables

- Test case and evaluation findings;
- Recommended revisions to the proposed policies and procedures; and
- Working Paper 4: Initial Draft Route Transfer Report.

5.5 Task 5: Public Education Presentation

Objective

Kimley-Horn will prepare an educational PowerPoint presentation that can be used by ADOT staff to present an overview of the policies and procedures developed for this study. Examples of presentation content will include an overview of ADOT route transfer policies and practices, results of survey and research regarding route transfer, potential recommended future policy and procedure amendments, and steps and timeframes for the route transfer process. ADOT staff will determine the venues for using the educational presentation and deliver the presentations as needed.

Work Activities

- Prepare draft and final versions of an educational PowerPoint presentation, with notes, that can be presented by a wide variety of ADOT staff to targeted audiences.

Deliverables

- Draft and final versions of educational PowerPoint presentation.

5.6 Task 6: Draft Final Report

Objective

The objective of this task is to prepare a Final Draft Route Transfer Report that summarizes the project process, findings, and recommendations.

Work Activities

- Address comments made by the PMT, TAC and other reviewers on the Initial Draft Route Transfer Report;
- Prepare a Final Draft Route Transfer Report that reflects the responses to comments on the Initial Draft Route Transfer Report and includes discussions on:
    - Policy suggestions and a schedule for implementation, including additional engineering studies that may be needed;
    - An outline of a typical process to follow to negotiate and implement a route transfer.
- Schedule, prepare for, and attend PMT and TAC Meeting 3 to present the Final Draft Route Transfer Report. KHA will prepare meeting summaries;
- Address comments made at PMT and TAC Meeting 3 on the Final Draft Route Transfer Report; and
- Submit the Final Draft Route Transfer Report to the ADOT project manager and deputy project manager for approval and distribution to the TAC as the final deliverable for the project.

Deliverables

- PMT and TAC Meeting 3 agendas, presentation materials, and meeting summary; and
- Final Draft Route Transfer Report - one hard copy and one CD copy delivered to each TAC member, plus ten hard copies and ten CD copies delivered to ADOT. Each CD will contain all working papers, the public involvement summaries, and the final report.

5.7 Task 7: Report Presentations (Optional Task)

Objective

It will be important to bring recommended route transfer policies and procedures to the attention of the State Transportation Board, local government elected officials and other interested agencies. The policies and procedures recommendations should also be communicated to ADOT and local government management staff. Additionally, under some conditions ADOT might reach agreements with tribal governments to transfer State highways to tribal ownership or transfer State highways on tribal lands to local government ownership. Consequently, it will also be important to communicate the policies and procedures recommendations to tribal governments. Federal land agencies such as the U.S. Forest Service (USFS), Bureau of Land Management (BLM), and Bureau of Reclamation should also be made aware of the policies and procedures recommendations.

Route transfers may be highly sensitive and controversial. It also will be important to bring the study recommendations to the attention of State political leaders, so that if they are approached by local or tribal governments, they will understand and support the study and its recommendations.

Following is an initial list of potential organizational presentations on the study recommendations:

- State Transportation Board
- Governor's Office and House and Senate Transportation Committees' Chairs
- Arizona Association of County Engineers
- Annual Conference of the League of Arizona Cities and Towns
- Annual Conference of the Arizona Association of Counties
- Inter-Tribal Council of Arizona Tribal Leaders Group and Navajo Nation Chair
- Regional Councils for the MPOs and COGs
- USFS and BLM annual partnering workshops

The educational PowerPoint presentation can be used to communicate the recommendations contained in the Final Route Transfer Report, supplemented by the Executive Summary. Due to the ongoing nature of route transfers, it is expected that this task would extend beyond the one year time frame for Tasks 1 through 6.

Work Activities

To Be Determined

Deliverables

To Be Determined

ADOT Route Transfer Procedures Study

ADOT MPD Task Assignment 15-11
PG TD0624
Contract # T08-49-U0001

FINAL
Working Paper 2
Stakeholder Interview Summary Report

Prepared by:

Kimley-Horn and Associates, Inc.

Prepared for:
ARIZONA DEPARTMENT OF TRANSPORTATION
MULTIMODAL PLANNING DIVISION

October 2011
091374040

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1. Introduction

1.1 Study Purpose

The Arizona Department of Transportation (ADOT) is charged with designating, planning, designing, constructing, operating, and maintaining a network of roadways that serve statewide and regional travel. With the rapid population growth that has taken place in Arizona, some State highways that originally functioned primarily to connect relatively distant urban centers might now primarily serve more localized travel demands associated with adjacent land developments. To ensure that ADOT can sustain their primary mission of facilitating safe and efficient regional and statewide transportation connectivity, a cooperative process is needed to work with local and tribal government agencies to evaluate the historic, current, and future functions of some State highways to determine which agency is best suited to provide long-term operations, maintenance and ownership. In some cases, shared responsibilities could be a consideration. Conversely, ADOT could be requested to accept local and tribal roads into the State Highway System. The processes outlined in this study will support the analysis for decision-making to either accept or transfer a road onto or off of the State Highway System.

1.2 Study Objectives

The primary objectives of this study are to develop a cooperative, collaborative process for assessing the function of candidate roads relative to regional and statewide travel criteria and to formulate a rational and mutually agreeable transition strategy to transfer ownership or other responsibilities between government agencies. This study will not identify specific routes that may be candidates for transfer, but rather will focus on processes, procedures, and policies needed to form the framework for successful transfer agreements. This framework will include:

- A cooperative, collaborative process to identify and initiate discussions with agencies that may be candidates for negotiating a route transfer or sharing of responsibilities;
- Evaluation procedures and criteria needed to assess a facility's current and long-term function in serving statewide, regional and local travel demands;
- A presentation of data and information needed to support a cooperative, collaborative decision-making process to support the discussion of a potential route transfer;
- Recommended ADOT administrative and State Transportation Board policies, including the decision-making process, regarding route transfer;
- Recommended revisions to State statutes regarding route transfer; and
- Other elements that are identified as part of the stakeholder interviews, meetings with the Project Management Team (PMT) and Technical Advisory Committee (TAC), public meetings, and presentations to the State Transportation Board and other public agencies.

1.3 Study Area

The study procedures developed will be applicable on a statewide basis. Current state routes and ADOT Engineering Districts are shown in **Figure 1**. Councils of Governments and Metropolitan Planning Organization planning areas are shown in **Figure 2**.

ADOT ENGINEERING DISTRICTS

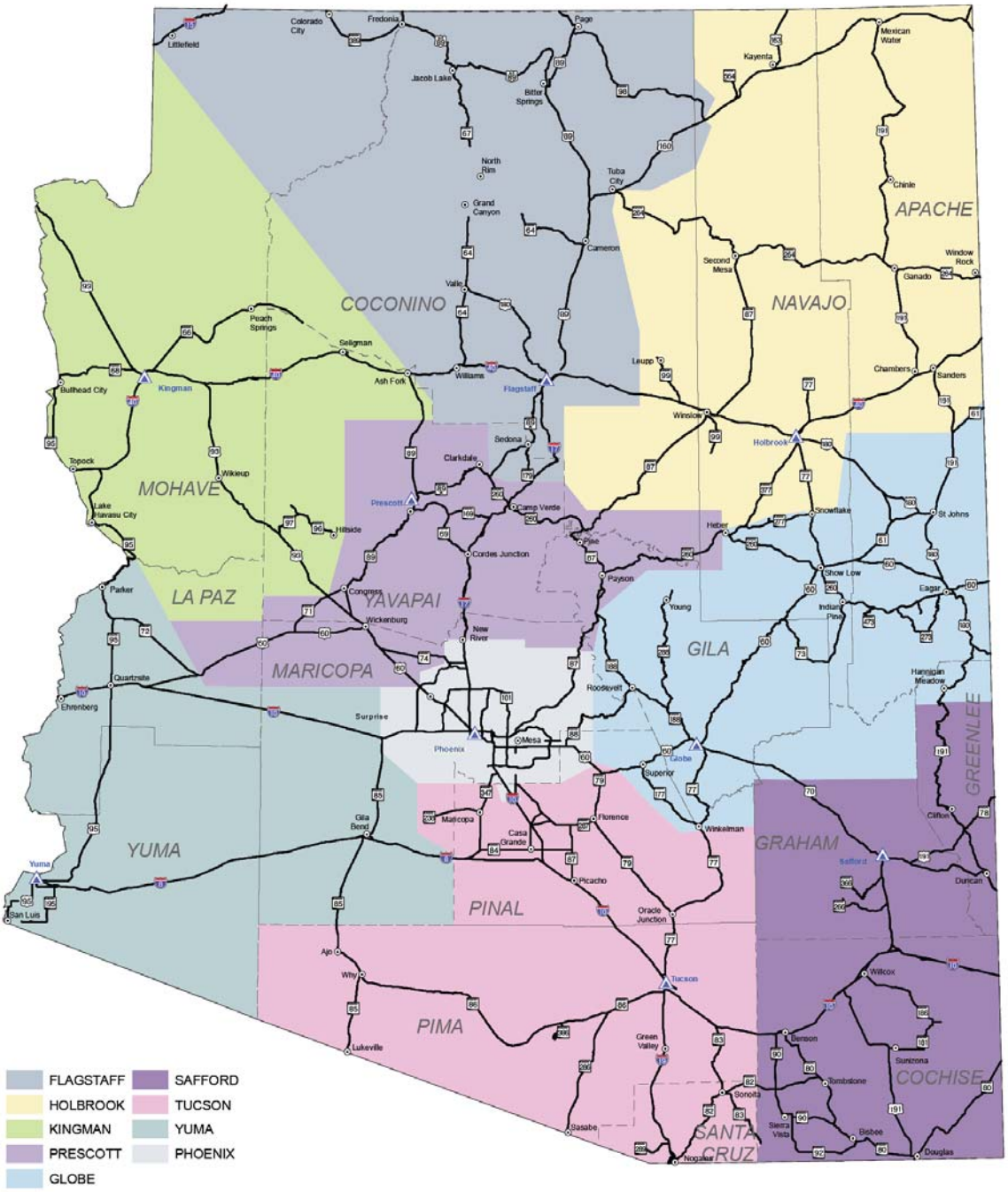

Figure 1 - ADOT Districts

COG AND MPO REGIONS

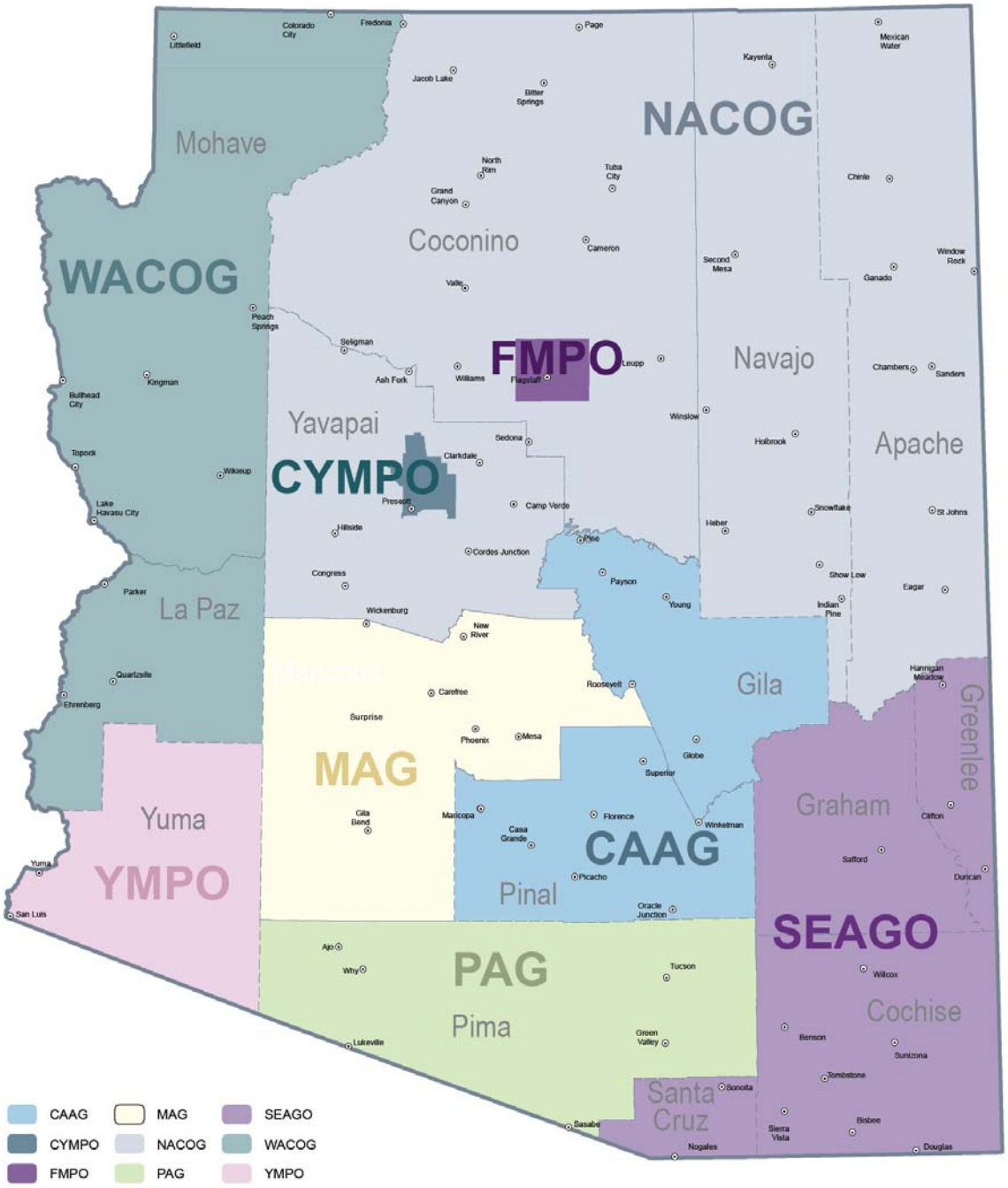

Figure 2 - COG and MPO Regions

1.4 Objectives of This Working Paper

The objectives of this working paper are to document the development of the survey instrument; identify the stakeholders surveyed; summarize the stakeholder interview survey results, and provide conclusions regarding the survey. The findings of the survey will be used as input to developing a route transfer process in future tasks.

2. Route Transfer Survey Questionnaire Development

This chapter discusses the development of the Route Transfer Survey Questionnaire and the list of stakeholders that were interviewed using the survey instrument.

2.1 Survey Content and Development Process

The survey was developed through an iterative process that included:

- Developing a preliminary draft questionnaire for review by the PMT.
- Revising the preliminary draft questionnaire based on review comments by the PMT.
- Presenting the revised draft questionnaire to the TAC for review and comment.
- Preparing the final survey, based on review comments from the TAC.

The final questionnaire is provided in **Table 1**. The survey questions covered four main topic areas:

- Identifying what the individuals know about the process (setting a base line of knowledge and understanding).

- Identifying roles, responsibilities, and perceptions of the process.

- Identifying critical criteria, data or information needed to assist with route transfer discussions. This includes identifying who would supply the data and at what point in the process the information should be provided.

- Identifying route transfer success factors.

The format of the survey was flexible to provide the options of in-depth discussions over the phone or in person; forwarding an electronic version that can be filled out by the interviewee without discussion; or some combination of these to ensure that the surveys are thoroughly completed.

Table 1 - Route Transfer Questionnaire

Route Transfer Procedures Study
Interview Questionnaire

Introduction – My name is _____ with Kimley-Horn and Associates. We are assisting the Arizona Department of Transportation in developing recommended policies and procedures regarding the process for transferring existing State Routes to local jurisdictions and from local jurisdictions to ADOT. You have been identified as a key stakeholder and your input to the study will help us in developing process improvement recommendations for ADOT. We can either record your responses over the phone or can send you an electronic version to complete at your convenience.

The following questions will identify what the individuals know about the process (setting a base line of knowledge and understanding.

1. Have you been involved in any previous or ongoing route transfer discussions with ADOT? If so, how?

2. What is your understanding of State Statutes and ADOT's policies and administrative procedures regarding route transfer?

3. What do you consider to be the benefits, risks, or impediments to a route transfer?

The following questions will identify roles, responsibilities, and perceptions of the process.

4. If you were engaged OR will be engaged in a route transfer discussion with ADOT what is your role (check all that are applicable)?
    a. Negotiator
    b. Decision maker
    c. Advisor
    d. Fact finder / data collector
    e. Other

5. If you have been involved with a route transfer, on a scale of 1 to 5, with 5 being "completely satisfied", how would you rate the following and why?
    a. Negotiation process
    b. Financial responsibilities
    c. Maintenance responsibilities
    d. Time frame for completing the transfer
    e. Outcome of the transfer

6. If you have been involved with the completion of a route transfer, what were the critical decision points in the process and how was agreement reached on those points?

7. What roles should the State Transportation Board and local elected officials have in the route transfer process?

Table 1, Continued - Route Transfer Questionnaire

The following question will assist in identifying critical criteria, data or information needed to assist with route transfer discussions. Potential prompts for answering the following questions are listed in the table below and responses would be tabulated by checking all that apply and indicating at what point in the process the information should be provided.

1. If you have been or expect to be involved in a route transfer, what data, criteria or information should be provided by ADOT and at what point in the process? By other agencies?

Data / Criteria or Information	**ADOT Provided**	**Other Agency Provided**	**When Provided (Before, During, or After Transfer Negotiation)**
Roadway classification			
Current ADT / % of commercial vehicles, projected ADT			
Degree of access control			
As built drawings, right-of-way plans with identified easements, property ownership.			
Utilities (existing, abandoned, permitted, pending)			
Posted speed limit/operating speed			
Sign inventory, signal locations			
Maintenance; active agreements (i.e.: signal, drainage, sidewalk, landscaping), historical maintenance costs			
Police reports / accident reports			
Structures inventory information, inspection reports, maintenance reports, life expectancy, anticipated time frame for rehabilitation, replacement			
Local / regional transportation network (How does route serve local traffic, regional or statewide needs)			
Development plans, zoning applications, and permits			
Other modes – what other modes does the route serve (transit stops, pathways, sidewalks, trails)			
Route condition reports, pavement management system data and information, life expectancy for pavement (anticipated year for rehabilitation or replacement)			
Desire to use route for local events (parades, carnivals, community events, marathons, etc)			
Desired aesthetic treatments (landscaping, street furniture, signing, etc.)			
Other (list)			

Table 1, Continued - Route Transfer Survey Questionnaire

The following questions will identify route transfer success factors.

1. Who should be involved in negotiating a route transfer?
2. What should be the format for negotiation? Should a facilitator or mediator be involved?
3. Should a route transfer include a public participation component? If so, in what format?
4. How can the time frame for route transfer be minimized?
5. What changes would you recommend to State Statutes or ADOT policies and procedures related to route transfer?
6. Do you have any other comments that we have not covered?
7. Are there any other individuals you would recommend for participation in this survey?

Thank you for your participation and input. We anticipate that the results of this study will be available in the spring of 2012.

2.2 Survey Respondents

KHA staff conducted stakeholder interviews with a representative cross-section of staff members from ADOT, FHWA, cities, towns, counties, and Metropolitan Planning Organizations and Councils of Governments who have participated in prior route transfer negotiations or may have some involvement in future route transfer negotiations. Interviews were conducted in May, June, and July of 2011 with 31 of the 51 stakeholders contacted. Those interviewed represented ADOT (13), local governments (8), regional planning agencies (7), and other agencies (3). This is shown graphically in **Figure 3**. The names, titles, and organizations of survey respondents are summarized in **Table 2**.

Figure 3 - Survey Respondents by Agency

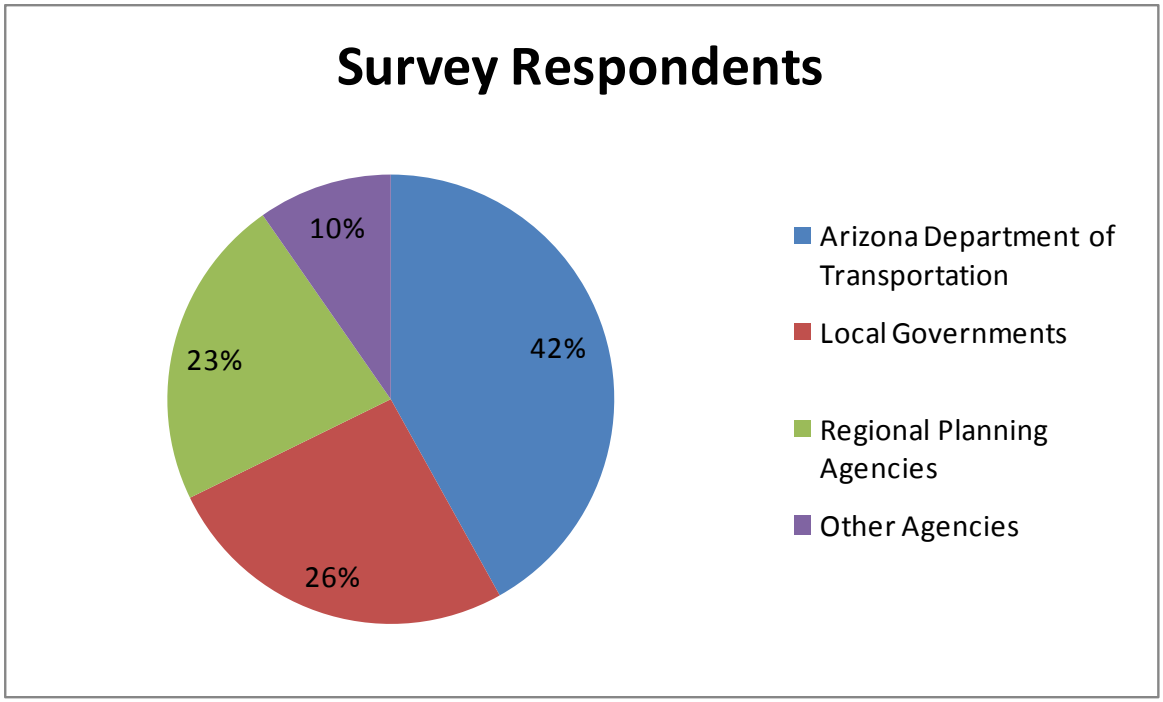

Table 2 - Stakeholder Contact List

Survey Respondent	Title	Representing
ADOT		
Paula Gibson	Chief Right-of-way Agent	ADOT Right-of-Way
Chuck Gillick	Maintenance Engineer	ADOT Flagstaff District
Bill Harmon	District Engineer	ADOT Safford District
John Harper	District Engineer	ADOT Flagstaff District
Lynn Johnson	District Engineer	ADOT Holbrook District
Mike Kondelis	District Engineer	ADOT Kingman District
Walter Link	District Traffic Engineer	ADOT Flagstaff District
Mike Manthey	State Traffic Engineer	ADOT Traffic
John McGee	Executive Director for Planning and Policy	ADOT Administration
Audra Merrick	District Development Engineer	ADOT Flagstaff District
Floyd Roehrich	ADOT State Engineer	ADOT
Alvin Stump	District Engineer	ADOT Yuma District
Tim Wolfe	District Engineer	ADOT Phoenix Maintenance District
City		
Pawan Agrawal	Public Works Director/City Engineer	Bullhead City
Grant Anderson	Town Engineer	Youngtown
Mark Clark	Public Works Director	Lake Havasu City
Dan Cook	Transportation Director	City of Chandler
Terry Johnson	Deputy Transportation Director	Glendale
Jack Kramer	City Manager	City of Kingman
David Moody	City Planning Director	City of Peoria
County		
John Hauskins	Transportation Department Director	MCDOT
Council of Governments		
Randall Heiss	Executive Director	SEAGO
Bill Leister	Transportation Manager	CAAG
Sharon Mitchell	Transportation Planner	WACOG
Metropolitan Planning Organizations		
Chris Bridges	CYMPO Administrator	CYMPO
Cherie Campbell / John Liosatis	Director of Planning / Director of Transportation Planning	PAG

Survey Respondent	Title	Representing
Roger Herzog	Senior Project Manager	MAG
Paul Patane	Senior Transportation Planner	YMPO
Other Agencies		
Jennifer Dorsey	Lawyer	Arizona Attorney General's Office
Ruben Ojeda	Manager, Right-Of-Way	Arizona State Land Department
Nathan Banks	Senior Engineering Manager	FHWA

3. ROUTE TRANSFER PROCEDURES STUDY INTERVIEW QUESTIONNAIRE – SUMMARY RESULTS

This chapter summarizes the responses from the 31 interviews conducted for this project. The following is a list of the interview questions along with a summary of the responses shown in red.

The following questions identify what the individuals know about the process (setting a base line of knowledge and understanding).

1. Have you been involved in any previous or ongoing route transfer discussions with ADOT? If so, how?

   A majority of the respondents (65%) have been involved in route transfer discussions to varying degrees. The highest level of involvement has been at the ADOT District offices, some dating back to 1990. Several respondents have had multiple roles in route transfer processes and their roles have varied depending on the complexity of the transfer and the stage of the transfer process (see response to question 4). Route transfer involvement has included US 60 in the Phoenix area, SR 89 in the Prescott and Flagstaff areas, SR 87 in Chandler and Sunflower, SR 89A in the Sedona area, Route 66 in Flagstaff and Kingman, SR 95 in the San Luis, Yuma, Parker, Lake Havasu City, Topock, and Golden Shores areas, US 180 in Flagstaff, US 191 in the Morenci area, SR 195 in the Yuma area, I-8 frontage roads in the Yuma area, B-10 in the Quartzite area, and B-40 in the Flagstaff area.

2. What is your understanding of State Statutes and ADOT's policies and administrative procedures regarding route transfer?

   Nearly all of the respondents (90%) have some knowledge of ADOT's route transfer policies and administrative procedures. Based on the level of detail provided by the respondents, 39% have a comprehensive understanding of the process. Several local government representatives perceive the statutes and administrative procedures as being one-sided, giving ADOT the authority to unilaterally transfer routes that no longer serve a statewide purpose. They also mentioned that the statutes and administrative procedures focus on transfers away from ADOT and suggested that there needs to be a clearer process for adding routes to the State system. Several ADOT respondents acknowledged the concerns cited by local government representatives, but countered that they were not aware of any transfers that had been done where there was an objection from the local jurisdiction. Several respondents also suggested that more documentation on the process, including flow charts and time frames, would be helpful.

3. What do you consider to be the benefits, risks, or impediments to a route transfer?

   Responses to this question were driven by whether the stakeholder represented an agency that was transferring a route to another jurisdiction or accepting a route from another jurisdiction. The following table (**Table 3**) summarizes the benefits and risks, and impediments from these two perspectives.

Table 3 - Summary of Benefits, Risks, and Impediments to a Route Transfer

	Benefits	Risks	Impediments
Transferring Agency	• Reduced future capital and maintenance costs • Reduced risk exposure (liability) • Reduced responsibility • Reduced administrative responsibilities (permitting) • Responsibility matches route usage • Eliminates decision-making role for future permitting (access, development, local needs) • Transfers risk (liability) to accepting agency • Reduces intergovernmental agreements specifying maintenance requirements	• Cost of transfer • Potential Political/public controversy • Route may not be adequately maintained by accepting agency • Loss of control • Route discontinuity and associated public confusion • Overloading alternate routes • Underlying land ownership uncertainties • Loss of functionality due to multiple responsible jurisdictions • Negotiation duration and associated costs	• Funding availability • Program adjustments • Political/public opposition • Turnover in staff, councils, and commissions. • Lack of Staff for adequate follow-up to facilitate communication regarding the transfer and to implement the transfer • Legal reviews of agreements • Lack of alternate routes • Lack of supporting data • Litigation that is pending or in the court system
Accepting Agency	• Improved responsiveness to agency mission and goals • Greater control and flexibility – signal timing, access management, maintenance, capital	• Long term capital costs, short term potential maintenance / operations costs • Increased liability risk	• Funding availability, estimating future costs • Political/public opposition • Turnover in staff, councils, and commissions

	Benefits	Risks	Impediments
	improvements, operations, etc. • Streamlined review and permitting processes • Accelerated improvements based on local needs • Responsibility matches route and system functions • Enhances the opportunities for Aesthetics and economic development • Allows for local community activities to occur on the route • Eliminates an incident response team; thus streamlining incident • Potentially better access to State Trust Land	exposure • Increased responsibility • Increased administrative costs • Potential to create Political/public controversy • Maintaining a level of acceptance that is acceptable to the public • Law / emergency response responsibility • Overloading alternate routes • Underlying land ownership uncertainties	• Legal reviews of agreements, altering existing agreements • Lack of alternate routes • Summarizing and analyzing the data for decision-making that meets the requirements for varying levels of decision-makers

The following questions identify roles, responsibilities, and perceptions of the process.

4. If you were engaged OR will be engaged in a route transfer discussion with ADOT what is your role (check all that are applicable)?
    a. Negotiator
    b. Decision maker
    c. Advisor
    d. Fact finder / data collector
    e. Other

A high percentage of respondents (87%) indicated that they have or expect to have one or more roles in route transfer negotiations. The predominant roles are negotiator (65%), advisor (71%), followed by fact finder/data collector (42%) and decision-maker (35%). Many respondents reported having multiple roles that vary depending on the nature of the transfer and stage of the transfer process. A summary of responses regarding roles shown by organization is provided in **Table 4**.

Table 4 - Roles in the Route Transfer Process, By Type of Organization

	Organization			
Roles	**ADOT**	**Local Government**	**COG/MPO**	**Others**
Negotiator	11	7	1	2
Decision-maker	8	2	0	1
Advisor	10	8	1	3
Fact finder / data collector	8	4	1	3
Other	5	2	4	1

5. If you have been involved with a route transfer, on a scale of 1 to 5, with 5 being "completely satisfied", how would you rate the following and why?
    a. Negotiation process (Average rating = 3.35)
    b. Financial responsibilities (Average rating = 3.47)
    c. Maintenance responsibilities (Average rating = 3.56)
    d. Time frame for completing the transfer (Average rating =3.61)
    e. Outcome of the transfer (Average rating = 3.68)

Overall, ratings on route transfer experiences were surprisingly high. The negotiation process was rated the lowest at 3.35 out of 5 possible points due mainly to frustrations in reaching agreement among all the parties involved. In general, ADOT respondents rated the negotiation process higher than local/COG/MPO respondents (3.70 versus 2.71 rating).

Similarly, ratings for the financial responsibilities were ranked higher by ADOT staff than by local/COG/MPO respondents (4.00 versus 2.71 rating).

Maintenance responsibilities were also rated higher by ADOT staff than by local/COG/MPO respondents (4.25 versus 2.71 rating).

Time frame for completing a transfer was rated slightly higher by local/COG/MPO respondents than by ADOT staff (3.71 versus 3.50 rating).

Once the transfer was complete, respondents seemed to be fairly satisfied with the outcome, giving it the highest rating with 3.68 out of 5 possible points. Local/COG/MPO respondents rated this higher than ADOT respondents (4.00 versus 3.56 rating).

6. If you have been involved with the completion of a route transfer, what were the critical decision points in the process and how was agreement reached on those points?

   A large number of respondents mentioned funding for capital improvements and maintenance as the most critical, controversial, and time-consuming decision point. Other critical decision points include:

   - Defining the logical location limits of the transfer
   - Identifying and agreeing to a scope of work and developing a time frame that is acceptable for improvements to the facility
   - Getting support and agreement from staff managers and elected officials
   - Establishing a time frame up front for the actual transfer to occur
   - Creating an intergovernmental agreement (IGA) or joint project agreement (JPA) that clearly defines roles, responsibilities and a financial breakdown
   - Collecting required data and completing a route transfer study
   - Coordinating with agency budgetary programming and budgeting process
   - Assessment of third party impacts such as (but not exclusive) pending lawsuits (if applicable), easements, or permits
   - Assessment of impacts to properties, access, development (current or future)

7. What roles should the State Transportation Board and local elected officials have in the route transfer process?

   It should be noted that no State Transportation Board members or elected officials were interviewed, so interview responses are from the staff perspective and / or transportation partner agency perspectives. Most respondents recommended that the State Transportation Board and local elected officials be briefed early in the route transfer discussions and at key decision points throughout the process. While the State Transportation Board and local elected officials have the ultimate authority to approve the agreements between the transferring parties and allocate the necessary funding, most respondents recommended that they not participate directly within the transfer negotiation process. See Question 9 below for responses on who should participate in the negotiation process.

The following question identifies critical criteria, data or information needed to assist with route transfer discussions.

8. If you have been or expect to be involved in a route transfer, what data, criteria or information should be provided by ADOT and at what point in the process? By other agencies?

   Entries in red in **Table 5** indicate various responses for each data source. Most of the data sources are needed from ADOT early in the route transfer process. It should be noted that the responses might be skewed because respondents assumed transfers from ADOT to local agencies, rather than the reverse. The data provider in most cases should be the transferring agency.

Major items that are needed from other agencies include utility information, police reports, transportation network information, development plans, other mode information, desire to use route for local events, and desired aesthetic / enhancement improvements. Underlying ownership of the right–of-way was very important with ADOT right-of-way interviewees, particularly when, State, federal and tribal lands are involved.

Several respondents suggested that this data should be compiled early in the process and documented.

Table 5 - Summary of Criteria, Data Sources and When Provided in the Route Transfer Process

Data / Criteria or Information	ADOT Provided	Other Agency Provided	When Provided (Before, During, or After Transfer Negotiation)
Roadway classification	23	7	Before 20 During 4 After 0
Current ADT / % of commercial vehicles, projected ADT	24	9	Before 21 During 4 After 0
Degree of access control	23	8	Before 18 During 7 After 3
As built drawings along with right-of-way plans with identified easements and property ownership (including BLM, BIA / Tribes, State Lands, Forest Service, etc.)	23	7	Before 12 During 9 After 7
Utilities (existing, abandoned, permitted, pending)	23	11	Before 13 During 7 After 7
Posted speed limit/operating speed	24	6	Before17 During 6 After 3
Sign inventory, signal locations, roadway lighting (illustrate IGA if maintenance agreements are in place)	25	8	Before 15 During 7 After 3
Maintenance; active agreements (i.e.: signal, drainage, sidewalk, landscaping), historical maintenance costs	24	10	Before 19 During 8 After 5
Police reports / accident reports	18	15	Before 17 During 19 After 0
Structures inventory information, inspection reports, maintenance reports, life expectancy, anticipated time frame for rehabilitation, replacement	24	7	Before 20 During 9 After 1
Local / regional transportation network (How does route serve local traffic, regional or statewide needs)	20	16	Before 19 During 8 After 0

Data / Criteria or Information	ADOT Provided	Other Agency Provided	When Provided (Before, During, or After Transfer Negotiation)
Development plans, zoning applications, and permits	10	23	Before 16 During 10 After 2
Other modes – what other modes does the route serve (transit stops, pathways, sidewalks, trails, railroad crossings)	18	16	Before 15 During 9 After 0
Route condition reports, pavement management system data and information, life expectancy for pavement (anticipated year for rehabilitation or replacement)	23	5	Before 18 During 7 After 1
Desire to use route for local events (parades, carnivals, community events, marathons, etc)	4	21	Before 11 During 11 After 2
Desired aesthetic treatments (landscaping, street furniture, signing, etc.)	5	21	Before 9 During 13 After 3
OTHER (list) Drainage concerns Active permits and JPAs ADA existing inventory of features Federal interest in ROW Signal timing plans AASHTO design exception review Future traffic analyses Future capital projects Driveway / access permits Cost estimates for improvements	6	3	Before 2 During 5 After 1

The following questions identify route transfer success factors.

9. Who should be involved in negotiating a route transfer?

   As indicated previously, no State Transportation Board members or elected officials were interviewed, so responses represent agency staff perspectives. Most respondents focused on having management level staff within the ADOT District Offices and City/County Manager or Public Works/Engineering Departments as the primary negotiators. One respondent commented "Persons that are at the right level to make decisions. This may involve more than one level of an agency. As an example, the initial discussion at a high level, details from staff, then decision made at high executive or even elected level for final transfer approval."

   On high profile projects, the State Engineer and Director (or their designee) may need to be involved. Depending on the complexity and potential controversy associated with the transfer, other key participants may include representatives from finance, right-of-way, maintenance, planning, traffic engineering, economic development offices, and State Transportation Board members from the affected area, Attorney General's office, and COGs/MPOs. One person noted that "elected officials would guide the negotiating process."

10. What should be the format for negotiation? Should a facilitator or mediator be involved?

    Most respondents recommended face-to-face meetings with the respective staff responsible for negotiating the transfer agreement. 37% of the respondents did not favor any involvement of a facilitator or mediator; 41% recommended a facilitator or mediator only in those cases where it became necessary (no specifics given for these responses); and 22% recommended using a facilitator or mediator. There were concerns that a facilitator or mediator would be focused on reaching a consensus and may press for compromises that would not be in the best interests of all parties to the transfer agreement. One respondent mentioned that possibly a working group or management Technical Advisory Committee approach be used if the project was complex enough. It was also recommended that a letter of interest or intent be developed early in the process to develop a decision-making framework and schedule for the negotiations. One respondent mentioned that a standard flowchart process should be followed.

11. Should a route transfer include a public participation component? If so, in what format?

    There was a mixed response to this question. 32% thought that public participation should be part of the process; 51% thought it should be an option to consider as needed, and 17% thought it should not be part of the process. The rationale for those in favor of public participation was that it may lead to ill will among property owners if it did not take place, or if the route transfer was controversial.

    The rationale of respondents not in favor of public involvement included a lack of public interest in maintenance responsibility, as opposed to a project that included road widening or more major improvements. Many of those supporting a public participation

component referenced the fact that the State Transportation Board meetings, City Council meetings, and Board of Supervisors meetings are all open to the public and these venues could serve as the opportunity for public comment. Another option suggested was the use of an online survey or public opinion poll. It was also suggested that the format for public participation should be decided by the entity accepting the route to be transferred. One respondent suggested that possibly a public notice of intent could be issued at the start of the process to get an indication if the transfer could be controversial.

12. How can the time frame for route transfer be minimized?

    Seven respondents did not think there is a need to shorten the time frame for route transfer. One comment was that "Once a transfer is executed, it is a long term proposition and the process should not be rushed and the focus should be on an effective outcome for both agencies". Those that did support a shorter time frame suggested the following ideas:

    - Use State funds rather than federal funds (it should be noted that state funds may not always be available).
    - Develop a clearly defined process and flow chart for route transfer.
    - Clarify roles of the staff, public, and elected officials early in the process.
    - Establish a schedule for the transfer with a firm end date.
    - Establish a designated funding source within the program for route transfers
    - Specify transfer time frames in IGAs, particularly in those cases where a route has been temporarily placed on the State system solely to allow for short term expenditure of ADOT funds.
    - Streamline the JPA/IGA process.
    - Transfer funds to the accepting agency for their use in implementing improvements in lieu of ADOT implementing the improvements.
    - Openly communicate with staff, Board, and City Councils to avoid surprises when it is time for a vote.
    - Use a facilitator.
    - Assemble all pertinent data early in the process and compile in a route transfer report.
    - Designate a lead person for each party early in the process that is accountable and responsible to the transfer process.
    - Hire a consultant to assist with required exhibits, data collecting and / or mapping needed to support the route transfer.

13. What changes would you recommend to State Statutes or ADOT policies and procedures related to route transfer?

Recommended changes, as suggested by survey respondents, include:

State Statute Changes

- Amend ARS 28-7209 (A) (1) to remove words "and in full recognition of the financial and administrative impacts……" This would section would then read

  28-7209. Vacated or abandoned highway; affected jurisdiction; procedure

  A. If the board vacates or abandons a portion of a state route or state highway pursuant to section 28-304, the board shall:

  1. Vacate or abandon the portion of the route or highway in cooperation with an affected jurisdiction ~~and in full recognition of the financial and administrative impacts of the changes on the affected jurisdiction.~~

- Amend ARS 28-7213 to become effective upon Transportation Board approval and strike county recordation requirement. This statute would then read:

  28-7213. Resolution; effective date

  A governing body's resolution that disposes of a roadway or a portion of a roadway or that applies the roadway to another public use shall:

  1. Describe the roadway and its disposition or use.

  ~~2. Take effect when it is recorded in the office of the county recorder of the county in which the roadway is located.~~

  2. Take effect upon State Transportation Board approval.

- Amend statutes to require ADOT to consider long term responsibilities that are shifted to local jurisdictions, including the costs to bring the roadway up to current local design standards. It should be noted that currently ARS 28-7209 (B) reads:

  B. Before a paved highway is vacated or abandoned, the pavement before the vacating or abandonment shall be in such a condition that additional surface treatment and major maintenance of the highway are not required for at least five years, unless the board and the affected jurisdiction agree to waive the requirement of this subsection.

- Transfers should be agreement-based and not unilateral.

State Transportation Board Policy Changes

- Modify State Transportation Board Policy 16 to be consistent with State Statutes. This policy reads:

Policy 16. Transfer of State Routes Policy

It is the policy of Board that the State Highway System consist primarily of routes necessary to provide a statewide network to serve the ever-changing environment with regard to the statewide and regional movement of people and goods. Routes primarily providing land access and local movement of people and goods should be the responsibility of local governments. The Transportation Board will seek to transfer these routes to other jurisdictions.

2. The transfer of state highways will be carried out in cooperation with local jurisdictions and in full recognition of their financial capabilities.

3. The ADOT will maintain and update biennially a list of state highways that do not serve as integral parts of the State Highway System and therefore are eligible candidates for transfer. Consistent with the Level of Development (LOD) approach used by ADOT to determine future development needs on State Highway Routes, this list shall consist of two parts:

LOD 4: will include those routes that do not serve a need as a part of the state highway system, but serve significant state or national facilities. Maintenance and development decisions on these routes will be based on appropriate service for the specific facility being served. ADOT will not actively seek to transfer or abandon these routes, but will do so if an appropriate jurisdiction can be found to operate the route. Improvements to these routes that are primarily for the benefit of local development will normally be made only when a local jurisdiction agrees to take over the route.

LOD 5: will include routes that are not necessary for a network of state routes and serve no significant statewide interest. ADOT will actively work to transfer these routes to other jurisdictions. ADOT will normally provide only minimal maintenance and essential safety improvements. Other improvements will normally be considered only when accompanied by an agreement to transfer the route to another jurisdiction. ADOT will seek input from local jurisdictions in preparing the list and will present the list to the Transportation Board for adoption.

4. In addition to routes currently classified as LOD 4 and LOD 5 it is also the policy of the board to transfer other routes to local jurisdictions when bypasses or parallel routes are constructed. In these cases transfer of the old route will be considered part of the project.

5. Priorities for transfer of these routes will be:

a) Routes for which local governments have expressed interest in acquiring;

b) Routes for which ADOT is constructing a bypass or alternate route;

c) Existing business routes not necessary for system continuity;

d) Other routes as ADOT construction and maintenance activities result in opportunities to transfer or as requested improvements provide opportunity to negotiate transfers.

Internal Policy/Procedures Changes

- Develop route transfer guidelines and a generic template for the route transfer report.
- Develop procedures for a more "automatic" transfer of routes that are temporarily placed on the State system to allow expenditure of ADOT funds.
- Include the Arizona State Land Department in transfer negotiations that may impact State Lands.
- Develop a "letter of interest" approach to document the intent of the transfer, identify process decision makers and time line for the transfer.
- Develop ADOT policies and procedures to designate offices responsible to support the required tasks of a route transfer including time frames allotted for each task.

14. Do you have any other comments that we have not covered?
    Other comments include:

    - Identify "fatal flaws" early in the negotiation process.
    - Include FHWA and ADOT Right-of-Way group in the process to determine if any ROW was acquired with federal funds.
    - Consider a designated resource in the Districts or ADOT Headquarters for coordinating and executing transfers.
    - ADOT should make improvements needed for a transfer rather than providing funding to have the local agency perform the improvements.
    - Homeowner associations and the business community may need to be involved in transfer discussions, evaluate abutting land owners and properties that may be impacted to determine outreach needed for route transfer discussions.
    - Make sure a clearly defined process is available for both transfers from ADOT and to ADOT.
    - Prioritize within the Department route transfers that do not meet federal classification requirements or serve statewide transportation needs.
    - Evaluate and assess the affect the route being considered for transfer has on the local, regional and statewide transportation network.
    - Evaluate and require proper signage should a route transfer occur to avoid gaps in route continuity and consider renumbering to establish connectivity within the State transportation system.
    - In the case of multi-jurisdictional route transfers, this type of transfer may be more appropriate to the County, to avoid potential conflicts among multiple jurisdictions.

15. Are there any other individuals you would recommend for participation in this survey?
    Other suggested potential participants are: Walter Link, Chuck Gillick, Layne Patton, John Fink, Lisa Danka, Roger Patterson, Paul Brooberg, Paul Patane, Phil Bourdon, Jack Kramer, Mike Hendrix, Charlie Cassens, Mark Clark, Toby Cotter, Pawan Agrawal, Silvia Hanna, City of Sedona, City of Flagstaff, City of Tucson, Town of Oro Valley, Town of Marana, Pima County, District Engineers, trucking associations, and major road users.
    A number of these respondents were surveyed, including Walter Link, Chuck Gillick, Paul Patane, and Pawan Agrawal, and six ADOT District Engineers as well as other ADOT District staff. Because of time constraints, not all suggested individuals were surveyed.

4. CONCLUSIONS

This working paper describes the development of a stakeholder survey and summarizes the key findings from the 31 interviews conducted for the study. Survey respondents represented a broad cross section of ADOT, local governments, regional planning agencies, and other agencies such as FHWA, Arizona State Lands Department, and the State Attorney General's Office.

The results of this survey will be used in the next stage of work to guide the development of a route transfer guideline, and updated policies and procedures to evaluate and negotiate a potential route transfer. The procedures will include flow charts of the route transfer process for a state route being transferred to a local jurisdiction; a local route being transferred to ADOT; and transfers of temporary construction right of way required for work completed within an ADOT project.

The survey results will also be used in the next task to assist in identifying what background information is needed to justify a route transfer, and criteria to be considered in the negotiation of the actual route transfer.

Key findings of the survey were:

- More documentation on the process, including flow charts and time frames, would be useful and is needed.
- Identification of benefits, risks and impediments for both transferring agencies and accepting agencies, which can be used in developing procedures.
- Satisfaction with the route transfer process was generally high once the transfer was complete.
- The negotiation process was rated the lowest by survey respondents due mainly to frustrations in reaching agreement among all the parties involved.
- Funding for capital improvements and maintenance was mentioned by respondents as the most critical, controversial, and time-consuming decision point.
- Survey information on data requirements indicated that most of the data sources are needed from ADOT early in the route transfer process. It should be noted that the responses might be skewed because respondents assumed transfers from ADOT to local agencies, rather than the reverse. The data provider in most cases should be the transferring agency. Major items that are needed from other agencies include utility information, police reports, transportation network information, development plans, other mode information, desire to use route for local events, and desired aesthetic / enhancement improvements. Underlying ownership of the right–of-way was very important with ADOT right-of-way interviewees, particularly when, State, federal and tribal lands are involved.
- Most respondents focused on having management level staff within the ADOT District Offices and City/County Manager or Public Works/Engineering Departments as the primary negotiators for route transfers.

- Most respondents recommended face-to-face meetings with the respective staff responsible for negotiating the transfer agreement. There was a mixed response with respect to the use of a facilitator.
- There was also a mixed response to inclusion of a public involvement component. Many of those supporting a public participation component referenced the fact that the State Transportation Board meetings, City Council meetings, and Board of Supervisors meetings are all open to the public and these venues could serve as the opportunity for public comment. Another option suggested was the use of an online survey or public opinion poll. It was also suggested that the format for public participation should be decided by the entity accepting the route to be transferred. One respondent suggested that possibly a public notice of intent could be issued at the start of the process to get an indication if the transfer could be controversial.
- Although some survey respondents did not think there was a need to shorten the time frame for a route transfer, there were suggestions made to shorten the process, including developing a clearly defined process and flow chart.
- A key recommended change in procedures was to develop a ***letter of interest approach*** to document the intent of the transfer, identify process decision makers and time line for the transfer.
- Statute, policy and procedures changes were suggested as described in **Chapter 3**.

ADOT Route Transfer Procedures Study

ADOT MPD Task Assignment 15-11
PG TD0624
Contract # T08-49-U0001

Working Paper 3
Route Transfer Evaluation Considerations

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1. Introduction

1.1 Study Purpose

The Arizona Department of Transportation (ADOT) is responsible for designating, planning, designing, constructing, operating, and maintaining a network of roadways that serve statewide and regional travel. With the rapid population growth that has taken place in Arizona, some State highways that originally connected relatively distant urban centers are now serving more localized travel demands associated with adjacent land developments. To ensure that ADOT is able to sustain their primary mission of facilitating safe and efficient regional and statewide transportation connectivity, a cooperative process is needed to work with local and tribal government agencies to evaluate the historic, current, and future functions of certain State highways to determine which agency is best suited to provide long-term facility ownership and management. In some cases, shared responsibilities could be a consideration. Additionally, ADOT is sometimes requested to accept local and tribal roads into the State Highway System. The processes recommended in this study also apply to decision-making for accepting a road into the State Highway System.

1.2 Study Objectives

The primary objectives of this study are to develop a cooperative process for assessing the function of certain State highways relative to regional and statewide travel considerations and to formulate a rational and mutually agreeable transition strategy to transfer ownership responsibilities between government agencies. The study will not identify specific routes that may be candidates for transfer, but rather will focus on processes, procedures, and policies needed to form the framework for successful transfer agreements. This framework will include:

- Evaluation procedures and considerations to assess a facility's current and long-term function in serving statewide and regional travel demands;
- A cooperative process to identify and initiate discussions with agencies that may be candidates for negotiating a route transfer or sharing of responsibilities;
- Recommended ADOT administrative and State Transportation Board policies, including the decision-making process, regarding route transfer;
- Recommended revisions to State statutes regarding route transfer; and
- Other elements that are identified as part of the stakeholder interviews, meetings with the Project Management Team (PMT) and Technical Advisory Committee (TAC), public meetings, and presentations to the State Transportation Board and other public agencies.

1.3 Study Area

The study procedures developed will be applicable on a statewide basis. Current state highways and ADOT Engineering Districts are shown in **Figure 1**. Councils of Governments (C.O.G) and Metropolitan Planning Organization (M.P.O.) planning areas are shown in **Figure 2**.

ADOT ENGINEERING DISTRICTS

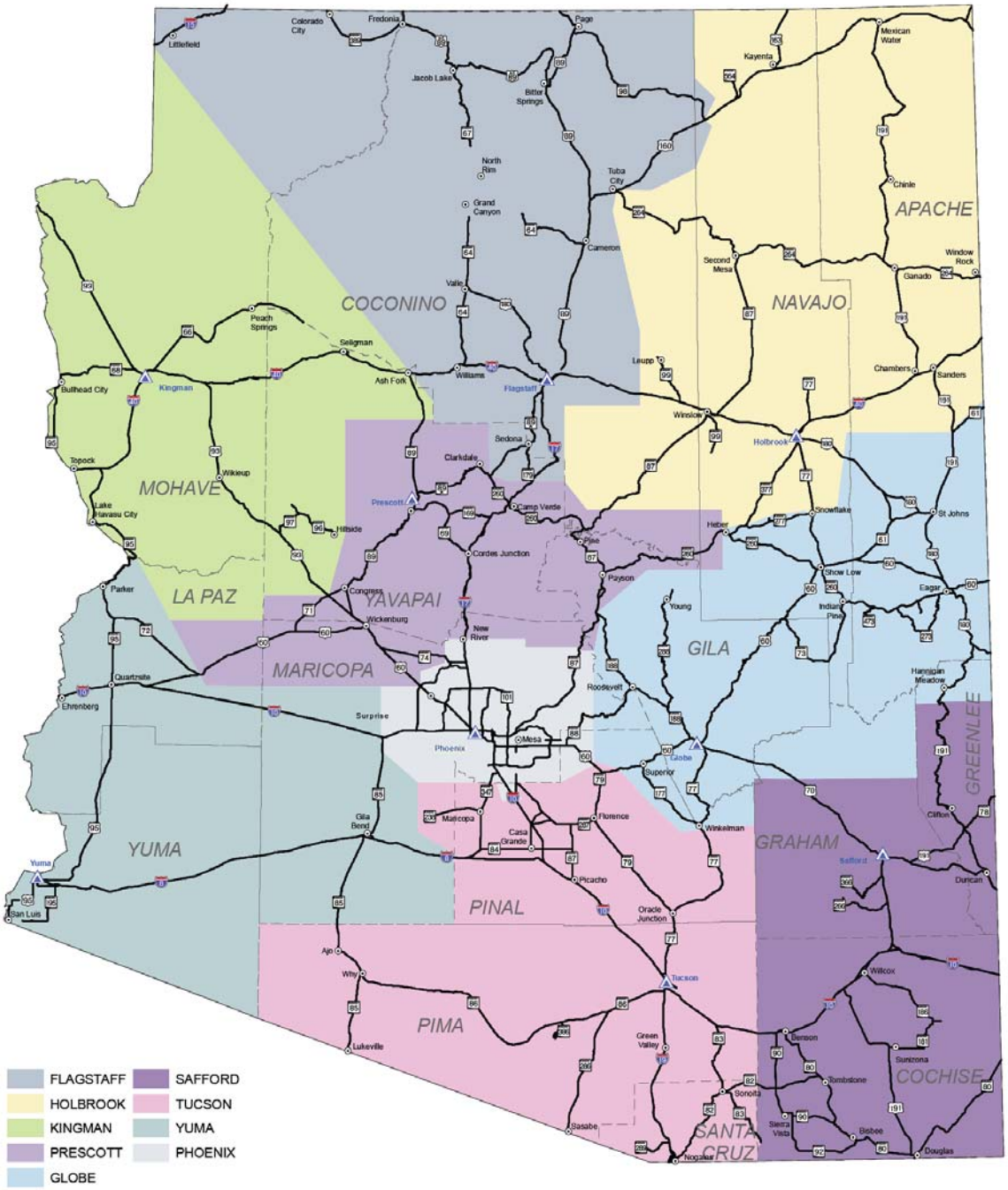


Figure 1 – ADOT Districts

COG AND MPO REGIONS

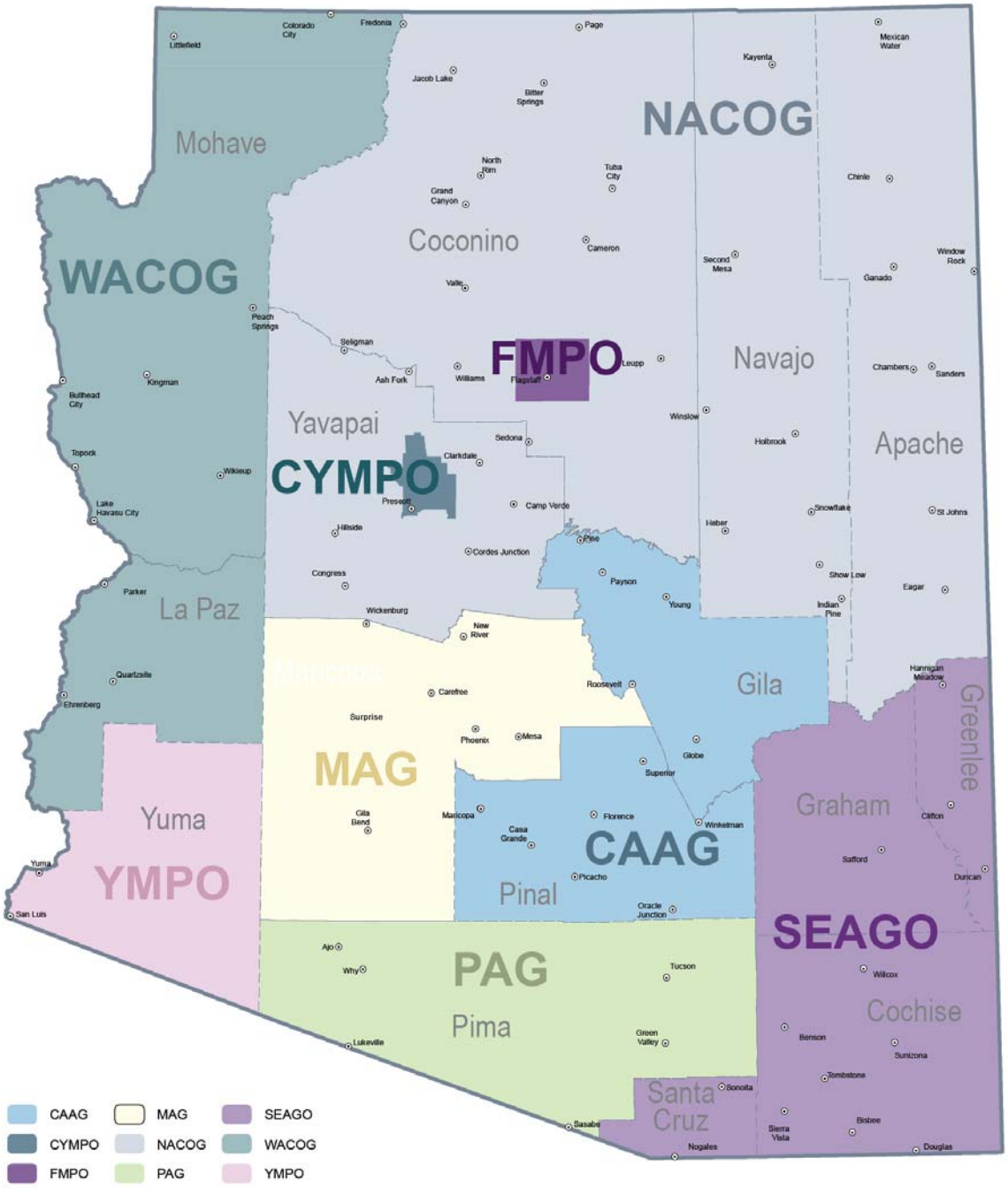


Figure 2 – COG and MPO Regions

2 Existing Route Transfer Process, Guidelines and Procedures

This chapter discusses relevant state statutes, State Transportation Board (Board) policies, and state highway classification criteria contained in the *ADOT Route Transfer and Level of Development Study, Draft Final Report* (October, 2003).

A summary of relevant state statutes and State Transportation Board (Board) policies is presented in **Table 1**. Each of these is outlined in more detail in the following sections. This information outlines requirements of the route transfer process.

Table 1 – Summary of Relevant Statutes, State Transportation Board Policies, and State Highway Classification Criteria

Statute or Policy	Summary
Arizona Revised Statute (A.R.S)	
28-101,(Definitions)	Provides definitions.
28-304. Powers and duties of the board; transportation facilities	Describes powers and duties of the board, including abandonment of state highways.
28-401, Intergovernmental agreements (I.G.A.)	Authorizes the ADOT? Director to enter into agreements with cities, tribes, and counties for improvements to state routes
28-6993, State highway fund; authorized uses	Authorizes state highway funds to be expended on land damages associated with abandoning portions of a state highway.
28-7041,State highways and routes defined	Defines the powers and duties of the State Transportation Board regarding establishing a state highway system.
28-7207, State roadway abandoned	Abandonment of state highways outside of incorporated limits vests to counties.
28-7209, Vacated or abandoned highway; affected jurisdiction; procedure	In conjunction with state highway abandonment, the State Transportation Board will: • Recognize financial and administrative impacts of abandonment on local jurisdictions • Provide four years advance notice to local jurisdiction, except by mutual agreement • Provide 120 days notice to local jurisdiction for the abandonment of new street improvements such as cul-de-sacs and reconnections of existing streets resulting from highway projects. • Improve abandoned highway such that surface treatment is not required for at least five years, except by mutual agreement
28-7210, Reservation of easements	Rights-of-way or easements continue as they existed before the disposal or abandonment of the rights-of-way or easements.
28-7213, Resolution; effective date	Resolutions vesting a roadway to another jurisdiction must describe the roadway and its use, and take effect when it is recorded in the office of the county recorder.
28-7214, Extinguishment of easements	Right of way easements may be distinguished through resolution.

Table 1 – Summary of Relevant Statutes, State Transportation Board Policies, and State Highway Classification Criteria (continued)

Statute or Policy	Summary
A.R.S (continued)	
28-7043, Designation of state route as state highway	• County Board of Supervisors may petition the transportation board to take over and designate a state route as a state highway. • Until designated as a state highway, state routes are constructed and maintained as county highways. • State routes will not be designated as a state highway until funding is programmed for improvement. • ADOT maintains state routes that are designated and accepted by the State Transportation Board as state highways.
28-7049. Classification of streets that connect highways and routes	If the streets of a city or town form necessary connection of sections of state highways or state routes, governing bodies may mutually agree that the streets are deemed state highways or county highways, respectively.
Arizona State Transportation Board Policies	
Policy No. 5 - State Highway System Priorities Policy	Priority is placed on state highways that: • Connect Arizona's regions and population centers by an efficient network of highways to carry travelers and commerce throughout the state; • Connect Arizona, its regions and population centers with other states and Mexico; and • Connect major population centers and through routes within urban areas with high volume routes that increase mobility of people and goods. State Highway System should include routes primarily designed to carry through traffic, including: • Interstate Highways; • Other arterial routes connecting Arizona's population centers and interconnecting with those of other states; • High capacity connecting routes needed to form an efficient network.
Policy No.16 - Transfer of State Routes Policy	The State Highway System consists primarily of routes necessary to serve statewide and regional movement of people and goods. Routes primarily providing land access and local movement of people and goods should be the responsibility of local governments. The State Transportation Board will seek to transfer these routes to other jurisdictions. The ADOT will maintain a list of state highways that do not serve as integral parts of the State Highway System and therefore are eligible candidates for transfer: • ADOT will not abandon routes that do not serve a need as part of a state highway system, but serve significant state or national facilities, unless an appropriate jurisdiction can be found to operate the route. • Routes that are not necessary for a network of state routes and serve no significant statewide interest. • Other routes to local jurisdictions when bypasses or parallel routes are constructed. Priorities for route transfer are: a) Routes for which local governments have expressed interest in acquiring; b) Routes for which ADOT is constructing a bypass or alternate route;

Table 1 – Summary of Relevant Statutes, State Transportation Board Policies, and State Highway Classification Criteria (continued)

Statute or Policy	Summary
Policy No.16 - Transfer of State Routes Policy (continued)	c) Existing business routes not necessary for system continuity; d) Other routes as ADOT construction and maintenance activities result in opportunities to transfer or as requested improvements provide opportunity to negotiate transfers.

2.1 Arizona Revised Statutes

'Director' denotes ADOT Director and 'Board' denotes State Transportation Board.

2.1.1 State Highway and State Route Definition

Definitions for state highways and state routes are provided in **ARS 28-101, (Definitions):**

- 50. "State highway" means a state route or portion of a state route that is accepted and designated by the board as a state highway and that is maintained by the state.
- 51. "State route" means a right-of-way whether actually used as a highway or not that is designated by the board as a location for the construction of a state highway.

It is important to note that state routes can be designated on existing local roads where no construction has occurred, or they can be planning routes where no road currently exists. Both of these are often referred to as *paper routes*. *Paper routes* are also referred to as *corridors*. If a *corridor/paper route* is not longer needed by ADOT, the *corridor/paper route* can be rescinded. Corridors/paper routes are not subject to the same transfer or abandonment procedures in state statutes and board policies.

2.1.2 Responsibility of the State Transportation Board to Designate a State Highway

Statute 28-304 section B defines the powers and duties of the board regarding establishing a state highway system. A partial excerpt of this statute is provided as follows:

28-304. Powers and duties of the board; transportation facilities

B. With respect to highways, the board shall:

1. *Establish a complete system of state highway routes*.

2. *Determine which state highway routes or portions of the routes are accepted into the state highway system* and which state highway routes to improve.

3. *Establish*, open, relocate or alter a portion of a state route or *state highway*.

4. Vacate or abandon a portion of a state route or state highway as prescribed in section 28-7209.

2.1.3 Intergovernmental Agreements (I.G.A.s)

28-401. Intergovernmental agreements

B. The ADOT Director shall enter into agreements on behalf of this State with political subdivisions or Indian tribes for the improvement or maintenance of state routes or for the joint improvement or maintenance of state routes.

2.1.4 State Highway Funds

28-6993. State highway fund; authorized uses

Except as provided in subsection B of this section and section 28-6538, the state highway fund shall be used for any of the following purposes in strict conformity with and subject to the budget as provided by this section and by sections 28-6997 through 28-7003:

3. To pay the cost of both:

(a) Engineering, construction, improvement and maintenance of state highways and parts of highways forming state routes.

4. To pay land damages incurred by reason of establishing, opening, altering, relocating, widening or *abandoning portions of a state route or state highway*.

2.1.5 Statutes Relating to Route Transfers from the Local Government to the State

In considering route transfer from a local jurisdiction to the state, Statute 28-7041 includes the requirement that a road must be recommended to the Board by the ADOT Director to be designated a state highway, and (in item B) a state highway must first be designated as a state route.

Bold and italics were added to highlight areas that refer to the process for designating a state highway and the requirements for a state highway in A.R.S. 28-7041.

28-7041. State highways and routes defined

A. The state highways, to be known as state routes, consist of the highways declared before August 12, 1927 to be state highways, under authority of law that *the board, after receipt of a recommendation from the director, may add to, abandon or change*. If the board proceeds contrary to the recommendations of the director, it shall file a written report with the governor stating the reasons for the action.

B. *The state highways consist of the parts of the state routes designated and accepted as state highways by the board. A highway that has not been designated as a state route shall not become a state highway and any portion of a state route shall not become a state highway until it has been specifically designated and accepted by the board as a state highway and ordered to be constructed and improved.*

C. All highways, roads or streets that have been constructed, laid out, opened, established or maintained for ten years or more by the state or an agency or political subdivision of the state before January 1, 1960 and that have been used continuously by the public as thoroughfares for free travel and passage for ten years or more are declared public highways, regardless of an error, defect or omission in the proceeding or failure to act to establish those highways, roads or streets or in recording the proceedings.

2.1.6 Process of Designating a State Highway

The process of converting a state route to a state highway is further defined in Statute 28-7043. Statute 28-7043 provides for noticing requirements for the affected county to participate in the board meeting and have their opinion heard regarding the conversion of a state route to a state highway. The statute also states that a state route should not be designated as a state highway until monies for its improvement are provided in the budget of the department.

28-7043. Designation of state route as state highway

A. At least two weeks before the designation and acceptance by the transportation board of a state route or portion of a state route as a state highway, the transportation board shall give notice to the board of supervisors of the county in which the proposed highway is located of the intention of the transportation board to consider the designation.

B. The board of supervisors may:

1. Appear before the transportation board and be heard on the proposal.

2. *Petition the transportation board to take over and designate a state route as a state highway*.

C. ***Until designated and accepted as state highways, all state routes are county highways*** and shall be constructed, improved and maintained as county highways, except as otherwise provided in this title.

D. *A part of a state route shall not be taken over or designated as a state highway until monies for its improvement are provided in the budget of the department. If part of a state route is designated and accepted by the transportation board as a state highway, the department shall maintain the highway.*

A.R.S. 28-7046 states that the director must deliver a written report to the board to establish a state highway, and that the Superior Court may review the action of the board.

28-7046. Opening, altering or vacating highway; review of order

A. If the director or the board desires to *establish*, open, relocate, alter, vacate or abandon a state highway or a portion of *a state highway, the director shall make and deliver a written report to the board describing the highway or portion of the highway to be affected.* If the board decides that the public convenience will be served, it shall enter a resolution on its

minutes approving the proposed action and authorizing the director to proceed and to acquire any property for the action by condemnation or otherwise.

B. The *superior court may review by certiorari the action of the board* establishing, opening, relocating, altering, vacating or abandoning state highways

A.R.S. 28-7049 states that segments of local streets may be designated as state highways they establish connectivity to or between state routes.

28-7049. Classification of streets that connect highways and routes

A. *If the streets of an incorporated city or town form necessary or convenient links for the connection of sections of state highways or state routes, or for carrying the state highways or state routes through the city or town, the director and the governing body of the city or town, in the case of state highways*, or the board of supervisors and the governing body of the city or town, in the case of state routes, *may agree that the streets are deemed state highways* or county highways, respectively.

B. ***The agreement shall provide for maintenance of the streets classified*** pursuant to this section.

2.1.7 Statutes Relating to Route Transfers from the State to a Local Government

A.R.S. 28-7207 and A.R.S. 28-7209 describe respectively, procedures and requirements when a state highway is transferred to a local government.

28-7207. State roadway abandoned

If a roadway is a state roadway, the governing body may resolve that this state's interest in the roadway or portion of the roadway be abandoned. On abandonment:

1. This state's interest in the part of the roadway that is located outside the boundaries of incorporated cities or towns vests in the county where the roadway is located.
2. This state's interest in the part of the roadway that is located within the boundaries of an incorporated city or town vests in that city or town.
3. The director shall promptly notify the city, town or county affected by the abandonment, and that county, city or town may maintain the roadway as other county, city or town roadways are maintained or dispose of it as provided in this article.

28-7209. Vacated or abandoned highway; affected jurisdiction; procedure

A. If the board vacates or abandons a portion of a state route or state highway pursuant to section 28-304, the board shall:

4. Vacate or abandon the portion of the route or highway in cooperation with an affected jurisdiction and in full recognition of the financial and administrative impacts of the changes on the affected jurisdiction.

5. Provide four years' advance notice to the affected jurisdiction, except as provided in paragraph 3 and except that, by mutual agreement, the board and the affected jurisdiction may waive this requirement for notification.
6. Provide at least one hundred twenty days' advance notice to the affected jurisdiction for the abandonment of new street improvements such as cul-de-sacs and reconnections of existing streets resulting from highway projects.

B. Before a paved highway is vacated or abandoned, the pavement before the vacating or abandonment shall be in such a condition that additional surface treatment and major maintenance of the highway are not required for at least five years, unless the board and the affected jurisdiction agree to waive the requirement of this subsection.

28-7210. Reservation of easements

Rights-of-way or easements for the following continue as they existed before the disposal or abandonment of the rights-of-way or easements:

1. Existing sewer, gas, water or similar pipelines and appurtenances.
2. Canals, laterals or ditches and appurtenances.
3. Electric, telephone and similar lines and appurtenances.

28-7213. Resolution; effective date

A governing body's resolution that disposes of a roadway or a portion of a roadway or that applies the roadway to another public use shall:

1. Describe the roadway and its disposition or use.
2. Take effect when it is recorded in the office of the county recorder of the county in which the roadway is located.

28-7214. Extinguishment of easements

If the state or a city, town or county does not own title to a roadway but holds right-of-way easements, the easements may be extinguished by the governing body's resolution.

2.2 State Transportation Board Policies

The State Transportation Board has broad authority to plan and develop Arizona's highways, airports, and other state transportation facilities. In addition to these general policy responsibilities, the Board is responsible for development and oversight of the State's Five-Year Transportation Facilities Construction Program and for policy and rule-making in the following areas:

- Priority Programs
- Establishing, altering or vacating highways

- Construction contracts
- Accelerated funding mechanisms
- Local government airport grants
- Designating or establishing scenic or historic highways

State Transportation Board Policies 5 and 16 serve as criteria for establishing state highways. Key phrases in the policies that serve as criteria are highlighted and bolded. Policy 5 highlights the need for state highways to provide connectivity between population centers and to interconnect with those of other states. Policy 16 highlights the need to provide a statewide network to serve the movement of goods and people.

Policy No. 5 - State Highway System Priorities Policy

1. It is the policy of the Board to implement Arizona's vision for an integrated statewide transportation system by placing priority on state highways that:

- *Connect Arizona's regions and population centers by an efficient network of highways to carry travelers and commerce throughout the state*;
- Connect Arizona, its regions and population centers with other states and Mexico; and
- *Connect major population centers and through routes within urban areas with high volume routes that increase mobility of people and goods.*

2. Consistent with these priorities, the State Highway System should include *routes primarily designed to carry through traffic*, including:

- Interstate Highways;
- *Other arterial routes connecting Arizona's population centers and interconnecting with those of other states; and*
- *High capacity connecting routes needed to form an efficient network.*

Policy No.16 - Transfer of State Routes Policy

1. It is the policy of the Board that the State Highway System consist primarily of routes necessary to provide a statewide network to serve the ever-changing environment with regard to the statewide and regional movement of people and goods. Routes primarily providing land access and local movement of people and goods should be the responsibility of local governments. The Transportation Board will seek to transfer these routes to other jurisdictions.

2. The transfer of state highways will be carried out in cooperation with local jurisdictions and in full recognition of their financial capabilities.

3. The ADOT will maintain and update biennially a list of state highways that do not serve as integral parts of the State Highway System and therefore are eligible candidates for transfer. Consistent with the Level of Development (LOD) approach used by ADOT to determine future development needs on State Highway Routes, this list shall consist of two parts:

LOD 4: will include those routes that do not serve a need as a part of the state highway system, but serve significant state or national facilities. Maintenance and development decisions on these routes will be based on appropriate service for the specific facility being served. ADOT will not actively seek to transfer or abandon these routes, but will do so if an appropriate jurisdiction can be found to operate the route. Improvements to these routes that are primarily for the benefit of local development will normally be made only when a local jurisdiction agrees to take over the route.

LOD 5: will include routes that are not necessary for a network of state routes and serve no significant statewide interest. ADOT will actively work to transfer these routes to other jurisdictions. ADOT will normally provide only minimal maintenance and essential safety improvements. Other improvements will normally be considered only when accompanied by an agreement to transfer the route to another jurisdiction. ADOT will seek input from local jurisdictions in preparing the list and will present the list to the State Transportation Board for adoption.

4. In addition to routes currently classified as LOD 4 and LOD 5, it is also the policy of the Board to transfer other routes to local jurisdictions when bypasses or parallel routes are constructed. In these cases, transfer of the old route will be considered part of the project.

5. Priorities for transfer of these routes will be:

   a) Routes for which local governments have expressed interest in acquiring;
   b) Routes for which ADOT is constructing a bypass or alternate route;
   c) Existing business routes not necessary for system continuity;
   d) Other routes as ADOT construction and maintenance activities result in opportunities to transfer or as requested improvements provide opportunity to negotiate transfers.

NOTE: The Level of Development (LOD) approach referred to in Policy 16 was introduced in the Route Transfer and Level of Development Study, October 2003. The LOD approach assigns to state highways five LODs based on functional class, level of significance, and usage. However, this approach has not been implemented by ADOT. Later sections of this document will address recommended changes to this policy.

3 Best Practices Review

A literature review was conducted to determine route transfer procedures in other states. From this broad review, three best practice states were selected for more detailed review. For each best practice state, the process and the criteria and considerations used for jurisdictional transfers were examined. A secondary purpose of the literature review was to determine if there was any national research on route transfer procedures and practices.

3.1 Literature Review Process

The initial process for the literature review was to conduct an internet search using the Google search engine, the Transportation Research Board (T.R.I.D.) database (this database provides over 900,000 records), and the Arizona Transportation Research Center library listing. The search resulted in references to a number of state manuals and procedural guides. No national research was identified through the literature review.

Project staff consulted with the Arizona Transportation Research Center to determine other potential resources, and subsequently contacted the following agencies:

- FHWA Resource Center
- FHWA Office of Innovative Program Delivery
- FHWA Office of Highway Policy Information
- AASHTO Center for Transportation Finance

The results of these contacts confirmed that there was no national research on route transfer procedures or criteria and considerations. However, a number of state guidebooks, practices, or policies were identified as described below.

3.2 States Surveyed

An internet search of manuals and practices used by other states resulted in the following resources:

- California – Project Development Procedures Manual, Chapter 23 Route Adoptions, California Department of Transportation, July 1, 1999
- Illinois – Highway Jurisdictional Guidelines for Highways and Street Systems, Illinois Department of Transportation, March 2006
- Oregon - A Handbook for Making Jurisdictional Transfers, Oregon Department of Transportation, June 2003
- Florida – Road Jurisdiction and Numbering Procedures, Topic Number 525-020-010-f, July 20, 2006
- Pennsylvania – Publication 310 State Highway Transfer Policies and Procedures Manual Publication 310 State Highway Transfer Policies and Procedures Manual, Pennsylvania Department of Transportation, undated

- Minnesota – Right of Way Manual, Sections 128.1-128.2, Minnesota Department of Transportation, 2004
- Washington State – Washington Administrative Codes relating to route transfers

Each document was reviewed and the project team identified three best practice states, which were Oregon, Minnesota, and Pennsylvania. These states had the most comprehensive set of procedures.

3.3 Best Practice Examples

The route transfer documents from each of these states were reviewed and summarized in terms of the following features:

- Procedures/Process
- Decision-Making Criteria and Considerations
- Data Analysis
- Negotiation Elements

Table 3 summarizes these elements for each best practice state. An overview of features of each state's process is provided below.

3.3.1 Oregon

Oregon publishes a handbook to guide the route transfer process. It is entitled "A Handbook for Making Jurisdictional Transfer." This handbook is available at http://www.oregon.gov/ODOT/TD/TP/docs/orhwyplan/JTH/jthPreface.pdf?ga=t

Sections of the handbook include the following:

- Reasons for transferring roads
- Criteria for choosing roads to transfer
- Roles and responsibilities for the transfer within ODOT
- The legal process
- Issues in the transfer negotiations
- Consideration and options for compensation
- Changing highway route numbers
- The transfer agreement and resolution process
- Samples of transfer agreements and resolution documents
- Relevant Oregon statutes
- Case studies

KEY POINTS:

- The handbook discusses both transfers from the state to a local jurisdiction and from a local jurisdiction to the state.
- Detailed descriptions of the following issues in the negotiation are provided:
  - Ownership of the right-of-way
  - Access control
  - Existing permits, encumbrances, and agreements
  - Highway condition and maintenance agreements
  - Highway improvements and design standards
  - Outdoor advertising
  - Rail crossings
  - Route designation and signs
  - Surplus property
  - Traffic signals and illumination
  - Cost/benefit and possible compensation Funding of the transfer
- A checklist for transfers and a flow chart for route transfers are provided.
- In the Foreword to the handbook, there is a note that if the transfer agreement process will take a long time, then the highway route designation process should be separated from the jurisdictional transfer process. The jurisdictional transfer process is the legal transfer of the road, which may take a number of years. The highway route designation process involves renumbering the road, for example, if a route is moved to a new alignment.

3.3.2 Minnesota

Minnesota Department of Transportation (MnDOT) provides policies on route turnbacks as part of their Right-of-Way Manual.

KEY POINTS:

- MnDOT clarifies FHWA's role / responsibility in the process and when they should be engaged in the process. Preliminary FHWA approval is required on all proposed turnbacks affecting highways on the National Highway System.
- Within their policy, they – call one type of a transfer 'jurisdictional alignment' which is a way of aligning a road to match the usage.
- In lieu of a Notice of Intent, MnDOT calls it a "notice of release or transfer."
- MnDOT considers winter maintenance time frames within their transfer, and not transferring a road onto a local jurisdiction during winter maintenance time frames.
- The Manual contains flow charts for the turnback process.

- The Manual also discusses vacation of roads in a separate section of the document. This is when an existing township or county road is being replaced by the State with a highway or connection to the highway and the highway or connection serves the same purpose as the old road, the State has the authority to vacate the replaced portion of the old road.

3.3.3 Pennsylvania

The Pennsylvania Department of Transportation published a State Highway Transfer Policies and Procedures Manual (Publication 310). The Manual includes four main elements:

- Highway Transfer Program
- Abandonment of State Highway
- Vacation of State Highway
- Adoption of State Highway

KEY POINTS:

- The Manual makes a distinction between route turnback, route abandonments, and route vacations, and state highway adoptions. Abandonments are different from turnbacks. As long as legal requirements are met, a road may be abandoned to a municipality without its consent. Turnbacks, on the other hand, are purely voluntary agreements between the Department and the municipality transferring jurisdiction of a road segment back to the local government. Vacation is the return of a portion of any existing State highway to the private property owner whose abutting property originally contained that portion of State highway vacated. Whether a roadway should be abandoned, vacated, or "turned-back" is dependent on many factors, including safety, convenience of access to property owners and possible damage claims. Adoption is the Department's assumption of jurisdiction or ownership for a locally-owned roadway as a result of lengthening, shortening or relocating routes to connect to State routes or connect State routes to state parks or military properties.
- The Manual provides responsibilities for the different state staff and agencies involved in the turnback process.
- The Manual provides flow charts of the route turnback process, route abandonment, route vacation, and state highway adoption processes.
- The Manual provides a 25-step process for route turnbacks.
- The information in **Table 2** refers to route transfers.

Table 2 – Summary of Route Transfer Procedures from Best Practice States

State	Policies / Guides Title	Procedures / Process	Decision Making Criteria/Considerations	Data Analysis	Negotiation Elements
Oregon	A Handbook for Making Jurisdictional Transfers	Either ODOT or local governments can start preliminary negotiations 1. Identify the purpose of the transfer and the milepost limits 2. Decide whether to transfer that section of highway (see the Decision Making Criteria/Considerations column) 3. Assess benefits and costs 4. Communicate the purpose of the transfer with the local government and see if they are interested 5. Do a preliminary analysis (see the Data Analysis column) 6. Negotiate terms for the transfer (see the Negotiation column) 7. Create a map for the section to be transferred 8. Develop a draft agreement for the transfer. The agreement must clearly provide terms for the transfer of jurisdictional control and the maintenance of the transferred/retained sections. 9. Circulate the draft for reviews - a series of reviews are conducted by all region-affected parties and the local government until all parties agree on the terms 10. Obtain Region Manager's approval of the draft agreement 11. Send draft agreement to Right-of-Way 12. After it has been approved, it is sent for approval and signatures. 13. Other agreements may also be required (e.g. construction finance agreements or cooperative improvement agreements) 14. Formal resolutions and transfer documents are prepared and recorded.	ODOT and local governments must weigh the following factors: • Goal of the transfer • Trip Character • Highway Function • Land use • Highway mobility standards • Access management • Future needs • Local government desire for a different level of service for a road or highway that is currently within the state system • Scenic Byways • Benefits and cost • Funding the transfer	The following are elements that should be analyzed before the transfer and are potential issues in the negotiation: • Ownership of the right-of-way • Access control • Existing permits, encumbrances and agreements • Highway condition and maintenance agreements • Highway improvements and design standards • Outdoor advertising • Rail crossings • Route designations and signs • Surplus property • Traffic signals and illumination	The following items should be negotiated between the State and local government to ensure a fair agreement: • Cost/Benefit Analysis - possible compensation • Road improvements required before the exchange • Maintenance clauses • Transfer of assets • New construction • Exchange of services • Sharing of costs • Working to qualify for federal funds • Trading road segments • Trades among more than two parties (e.g., state, city, county)
Minnesota	Right-of-Way Manual	1. Determine the number, designations, section location, and termini of the highway. District will track jurisdictional alignment projects. 2. Determine the entity from which the roadway was originally acquired by the state and to what governmental jurisdiction the right-of-way of the existing trunk highway will revert. 3. Notify the Office of Investment Management (OIM) regarding proposed changes in legislative and constitutional routes. 4. Determine if the portion of trunk highway to be turned back is eligible for State Aide designation and funds participation. 5. Determine if the release involves any lands included in a re-conveyance in process. A release can't be executed if any of the lands are to be re-conveyed. 6. Determine if FHWA approval is required (interstate highways on the National Highway System only) 7. Prepare turnback authorization map 8. Receive OIM approved rerouting 9. Give preliminary notice to local road authority and submit the turnback authorization map 6 months prior to release date	• It is Mn/DOTs policy to remove those lands from the trunk highway system that are no longer required as a part of the trunk highway system (includes jurisdictional alignments and frontage roads)	• Design and needs study – determine if there are present or future appropriate public uses (rest areas, scenic enhancements, recreational facilities, parks)	• Construction of grade changes • Changes in location • Detours • Connecting roads

Table 2 – Summary of Route Transfer Procedures from Best Practice States (continued)

State	Policies / Guides Title	Procedures / Process	Decision Making Criteria/Considerations	Data Analysis	Negotiation Elements
		10. Notify local road authority of release 60 days prior to release date 11. Submit the turnback authorization map to Legal and Property Management Unit 12. Legal and Property Management Unit checks for pending reconveyance and litigation. Forwards the map to Legal Description and Commissioners Orders Unit 13. Legal Description and Commissioners Orders Unit prepares appropriate orders 14. Complete a Notice of Release and obtain signature of Commissioner of Transportation 15. Send certified copies of the Release to appropriate road authority 16. Prepare right-of-way map			
Pennsylvania	Publication 310-State Highway Transfer Policies and Procedures Manual	Turnback Program Process 1. Identify Highway Transfer Candidates/Table B (Mass Candidate Submission) 2. Meet with Municipality to Develop the Proposed Scope of Work/Cost Estimate 3. Prepare Municipal Resolution 4. Execute the Municipal Resolution/Cost Estimate 5. Preparation and Submission of Project Approval Package to Central Office 6. Develop and Present Turnback Candidate Presentation for Approval 7. Notification of Approved Projects 8. Turnback Agreement Preparation and Forwarding 9. Municipal Signatures 10. Funding the Agreement 11. Signed Agreements to Central Office 12. Central Office Routing 13. Distribution of Executed Agreement 14. Payment Entry/Delivery 15. Official Transfer Letter 16. A) District Office Receives Executed Agreement B) Municipality Receives Executed Agreement 17. Municipality Records Transfer 18. Roadway Data Package Forwarded to the Municipality 19. Mileage Adjustment 20. Verification of Rehabilitation Work	• A municipality has expressed an interest in owning • The municipality has the ability to maintain • Part of the local road network, serves the local community and does not serve in a statewide or regional capacity • Has low Average Daily Traffic (ADT) • Maintenance Functional Class D or E or dirt and gravel roadways • Requires maintenance, materials and/or equipment that is more appropriate at the local level • Identified by County Maintenance Managers as roads better suited to be maintained by a municipality • Establish a sound foundation, goodwill and a good track record for future turnback negotiations • Will not isolate structures such as bridges, culverts and railroad crossings remaining under the jurisdiction of the state	• State Legislative District (SLD) • Right-of-way • Bridge and roadway weight limit postings and restrictions and studies (if appropriate) • Traffic engineering documentation • Active highway permits • Utility information • Railroad crossing information • Construction Plans	• Cost/Benefit Analysis • Rehabilitative work • Funding • Scope of work • Work completion date

Table 2 – Summary of Route Transfer Procedures from Best Practice States (continued)

State	Policies / Guides Title	Procedures / Process	Decision Making Criteria/Considerations	Data Analysis	Negotiation Elements
Pennsylvania (continued)	Publication 310-State Highway Transfer Policies and Procedures Manual	21. Preparation of Form MS-999T 22. Submission of Form MS-999T 23. Letter of Completion Prepared 24. Letter of Completion Filed 25. Certification of Transfers			
		State Highway Adoption Process 1. Initiated by local municipality or PennDOT 2. Discussions between municipality and PennDOT determine whether the adoption is appropriate 3. Project Manager requests Roadway Management System, State Route Number, plan preparation, and for municipality to adopt resolution or ordinance 4. Collect survey data and prepare preliminary plan. Forward to Plans 5. Prepare Final Adoption Plan. Forward resolution or ordinance and plan COMS prepares and distributes Adoption Letter 6. Prepare Final Adoption Plan. Forward to Maintenance	• Result of a lengthening, shortening, or relocation of a route to connect to State routes or to connect State routes to state parks or military property. • The Department may adopt routes up to 1 mile in length. Adoptions of larger segments are accomplished using specific legislation created for the purpose of transferring jurisdiction of the route to the department.	• Survey data	

3.4 Best Practices Summary

The review of best practice states highlighted the convenience of having guidelines for route transfers in one easy to use document. Common features of the best practice states reviewed that could be incorporated into an Arizona route transfer process are:

1. Flow chart of the process for route transfers.
2. Step by step descriptions of each route transfer element, which include who is responsible for the individual step, and what documentation is involved.
3. Communicating the purpose of the transfer with the local government early in the process.
4. The process for changing highway route numbers is a consideration and it can be a separate process.
5. Decision-making criteria/considerations in the best practice states were:
    - Goal of the transfer
    - Trip Character
    - Highway Function (Part of the local road network, serves the local community and does not serve in a statewide or regional capacity)
    - Land use
    - Highway mobility standards
    - Access management
    - Future needs
    - Local government desire for a different level of service for a road or highway that is currently within the state system
    - Scenic Byways
    - Benefits and cost
    - Funding the transfer
    - No longer required as a part of the highway system (includes jurisdictional alignments and frontage roads)
    - A municipality has expressed an interest in owning
    - The municipality has the ability to maintain
    - Has low Average Daily Traffic (ADT)
    - Maintenance Functional Class D or E or dirt and gravel roadways
    - Requires maintenance, materials and/or equipment that is more appropriate at the local level
    - Identified by County Maintenance Managers as roads better suited to be maintained by a municipality
    - Establish a sound foundation, goodwill and a good track record for future turnback negotiations
    - Will not isolate structures such as bridges, culverts and railroad crossings remaining under the jurisdiction of the state

6. Data to be analyzed in the route transfer were:
    - Ownership of the right-of-way
    - Access control
    - Existing permits, encumbrances and agreements
    - Highway condition and maintenance agreements
    - Highway improvements and design standards
    - Outdoor advertising
    - Rail crossings
    - Route designations and signs
    - Surplus property
    - Traffic Signals and illumination
    - Traffic engineering documentation (signal warrant studies or other traffic control evaluation)
    - State Legislative District (SLD)
    - Bridge and roadway weight limit postings and restrictions and studies (if appropriate)
    - Active highway permits
    - Utility information
    - Railroad crossing information
    - Construction Plans
7. Negotiation elements that were mentioned in the best practice states are:
    - Cost/Benefit Analysis for possible compensation
    - Road improvements required before the exchange and scope of work
    - Maintenance clauses
    - Transfer of assets
    - New construction
    - Exchange of services
    - Sharing of costs and funding
    - Working to qualify for federal funds
    - Trading road segments
    - Trades among more than two parties (e.g., state, city, county)
    - Construction of grade changes
    - Changes in location
    - Detours
    - Connecting roads
    - Work completion date
8. In addition to route transfers, some of the guidance documents had separate sections on:
    - Abandonment of State Highway

- Vacation of State Highway
- Adoption of State Highway

9. The Pennsylvania Manual had a section on the route adoption process, which was limited to sections 1 mile or shorter in length. Adoptions of larger segments are accomplished using specific legislation created for the purpose of transferring jurisdiction of the route to the department. An eight-step process was defined.

4 Recommended Route Transfer Enhancements

Stakeholder input indicates that changes are needed to improve the ADOT Route Transfer process.

This chapter summarizes potential revisions to State Transportation Board policies, Arizona Revised Statutes, and enhancements to the ADOT route transfer process.

Potential revisions were gleaned from a review of existing State Statutes, existing State Transportation Board policies, stakeholder surveys, and a review of best practices in route transfer in other states.

Proposed changes to route transfer policies and procedures will emphasize that the process will be completed on a cooperative basis with involvement of local or tribal governments.

4.1 Revisions to State Transportation Board Policies

Proposed revisions to State Transportation Board (Board) policies are presented in **Table 3.**

State Transportation Board policies should be revised to emphasize a cooperative route transfer process conducted with involvement of local or tribal agencies.

State Transportation Board policies should be modified to refer a "Memorandum of Intent" and "Route Transfer Analysis Report" as key elements of the route transfer process. Each of these elements is explained in more detail in Section 4.3 and Chapter 5.

State Transportation Board policies should be modified to remove reference to the 'Level of Development' process. While within current Board policies, the process has not been implemented by ADOT.

Table 3 – Summary of Potential Revisions to State Transportation Board Policies

Existing Policy	Proposed Policy	Reason for Change
Policy No.16 - Transfer of State Routes Policy	STB policies should emphasize that all transfers of existing roads to and from the state highway system, and not related to temporary transfers for construction purposes, will be conducted cooperatively with local or tribal government involvement.	Stakeholders have indicated a need to emphasize the collaborative and cooperative process under which route transfer to and from the state highway should be completed.
	STB policies should state that State Routes, not designated as State Highways, will be established and abandoned in cooperation with affected local and tribal governments.	

Table 3 – Summary of Potential Revisions to State Transportation Board Policies (continued)

Existing Policy	Proposed Policy	Reason for Change
Policy No.16 - Transfer of State Routes Policy (continued)	STB policy should state that the route transfer process will work with local or tribal government agencies to evaluate the historic, current, and future functions of certain State Highway segments to determine which agency is best suited to provide long-term facility ownership and management.	
	Revise STB Policy 16 items 3 and 4, to eliminate reference to Level of Development, to be consistent with ADOT practice.	Level of Development, as referred to in Board Policy #16 has not been implemented by ADOT.
	Add language that describes a "Memorandum of Intent" (MOI) will be issued to initiate the route transfer process.	A Memorandum of Intent will serve as the initiation of the route transfer process. Refer to Section 4.3, and Chapter 5 of this working paper.
	Add language that describes a Route Transfer Analysis Report that will be developed (refer to Chapter 5 of this Working Paper).	A Route Transfer Analysis Report will serve as a key step in the proposed route transfer process. Refer to Section 4.3 and Chapter 5 of this working paper.

4.2 Revisions to Arizona Revised Statutes

One revision to Arizona Revised Statutes is proposed as indicated below.

Existing Statute	Proposed Statute	Reason for Change
A.R.S. 28-7213 A governing body's resolution that disposes of a roadway or a portion of a roadway or that applies the roadway to another public use shall: 1. Describe the roadway and its disposition or use. 2. Take effect when it is recorded in the office of the county recorder of the county in which the roadway is located.	Amend bullet 2 to become effective upon Transportation Board approval and strike county recordation requirement.	Process simplification; avoid indefinite delays in the route transfer process. This would also be consistent with Board Establishments, e.g. when ADOT establishes an existing county or city roadway, the resolution is legally valid upon Transportation Board approval and Director's signature. No other documents required.

4.3 Define Route Transfer Process

Proposed elements of the route transfer process to and from the state highway system include the following:

1. Document the route transfer process utilizing flow charts and timeframes. Develop step by step descriptions of each route transfer element, including responsibilities, and the documentation required.

2. ADOT and local agency meet to discuss mutual interest in the route transfer process.
3. The agency (ADOT or local/tribal agency) that is initiating the route transfer process develops a Memorandum of Intent to outline the purpose and need for the transfer, the segment limits of the candidate route, existing ownership of the route segment (e.g., title or easement), activities and responsibilities to support transfer negotiations such as data collection requirements, process decision makers, and a proposed time line for the transfer.
4. Integrate an appropriate and agreed upon data collection effort into the route transfer process. The data provider, in most cases, is the transferring agency. Potential data elements include:
    - Existing and projected traffic volumes, truck percentage Ownership of the right-of-way
    - Route designations and signs
    - Existing access control
    - Existing permits, encumbrances and agreements
    - Highway condition and maintenance agreements
    - Highway improvements and design standards
    - Outdoor advertising
    - Rail crossings
    - Surplus property
    - Traffic signals and illumination, traffic engineering documentation (e.g. signal warrant studies, other traffic control evaluation).
    - State Legislative District (SLD)
    - Bridge and roadway weight limit postings and restrictions and studies
    - Active highway permits
    - Utility information
    - Railroad crossing information
    - Construction Plans
    - Future Plans/concepts for the roadway, for example, in Regional Transportation Plans
    - State legislation (for example, ARS 28-6353, ARS 28-6301) or local policies that may affect transfer of the specific roadway under consideration.
5. Include evaluation considerations into the route transfer process. Potential evaluation considerations include:
    - Reasons for the transfer
    - Interest of the receiving agency
    - Local or tribal government desire for a different level of service for a road or highway that is currently within the state system
    - Ability of the receiving agency to maintain the roadway
    - Maintenance requirements, materials and/or equipment that is more appropriate at

the local level
- Trip character, daily traffic volumes
- Highway function (primarily serves the local community and does not serve a statewide or regional capacity)
- Adjacent land use
- Desired access management
- Availability of alternative routes
- Parallel routes
- Multimodal accommodation
- Connecting roads
- Future corridor needs
- Special route designations (e.g. Scenic byways, State or National Points of Interest)
- Benefits and cost
- Funding the transfer

6. The route transfer process should identify negotiation elements that will be considered in the route transfer evaluation.
    - Possible compensation
    - Road improvements required before the exchange, scope of work
    - Maintenance clauses
    - Transfer of assets
    - New construction
    - Exchange of services
    - Sharing of costs, funding
    - Working to qualify for federal funds
    - Trading road segments
    - Trades among more than two parties (e.g., state, city, county)
    - Work completion date
7. Implement public involvement only when necessary. Utilize existing mechanisms for public comment such as State Transportation Board meetings, City Council meetings, and Board of Supervisors meetings. The format and extent of public participation should be decided by the entity accepting the route to be transferred.
8. Develop route transfer guidelines and a generic template for a route transfer report.
9. Develop streamlined procedures for temporary transfers of routes to the State system, for construction purposes, to allow expenditure of ADOT funds.

5 Recommended Route Transfer Processes

Route transfer processes are proposed for three types of route transfers:

- Transferring roads permanently from local or tribal jurisdiction onto the State Highway System
- Transferring roads permanently from the State Highway System to a local or tribal jurisdiction
- Transferring roads temporarily to and from the State Highway System

The first two route transfer types can involve a complete transfer of responsibilities or a sharing of responsibilities. The third type of transfer usually involve construction projects on a State Highway for which some work is required on a connecting local or tribal road. Arizona Revised Statutes Title 28, Sections 6922, 6993, 7041, and 7043 establish the requirements for a road to be a State Highway before the Director can use State Highway Funding for its construction.

The flow charts on the next two pages depict processes for making permanent transfers of responsibilities to and from the State Highway System. Integral to the proposed route transfer process are a Memorandum of Intent, and the development of a Route Transfer Jurisdictional Analysis for candidate segments.

Memorandum of Intent: The route transfer process includes issuance of a Memorandum of Intent. The purpose of the Memorandum of Intent is to outline jurisdictional study scope, responsibilities, and the decision making process. The agency (ADOT or local/tribal agency) that is initiating the route transfer process develops a *Memorandum of Intent* to outline the purpose and need for the transfer, the segment limits of the candidate route, existing ownership of the route segment (e.g., title or easement), activities to support transfer negotiations such as data collection, financial responsibility for the data collection activities, decision makers, and a proposed time line for the transfer.

Route Transfer Analysis: A Route Transfer Analysis should be completed for candidate route transfer segment. The Route Transfer Analysis would provide base information and data relevant to the candidate route. The Analysis would include an evaluation consistent with considerations as presented in **Chapter 6.**

5.1 Permanent Transfer from State Highway to Local and Tribal Jurisdictions

The first transfer type involves transfer of local or tribal roadways or roadway segments from the State Highway System to local or tribal governments. This transfer type involves a complete transfer of responsibilities or a sharing of responsibilities.

Figure 3 depicts processes for making permanent transfers of responsibilities from the State Highway System to a local or tribal government.

5.2 Permanent Transfer from Local and Tribal Jurisdiction to State Highway

The second transfer type involves transfer of roadways or roadway from local or tribal jurisdictions to the State Highway System. This transfer type involves a complete transfer of responsibilities or a sharing of responsibilities. **Figure 4** depicts processes for making permanent transfers of responsibilities to the State Highway System.

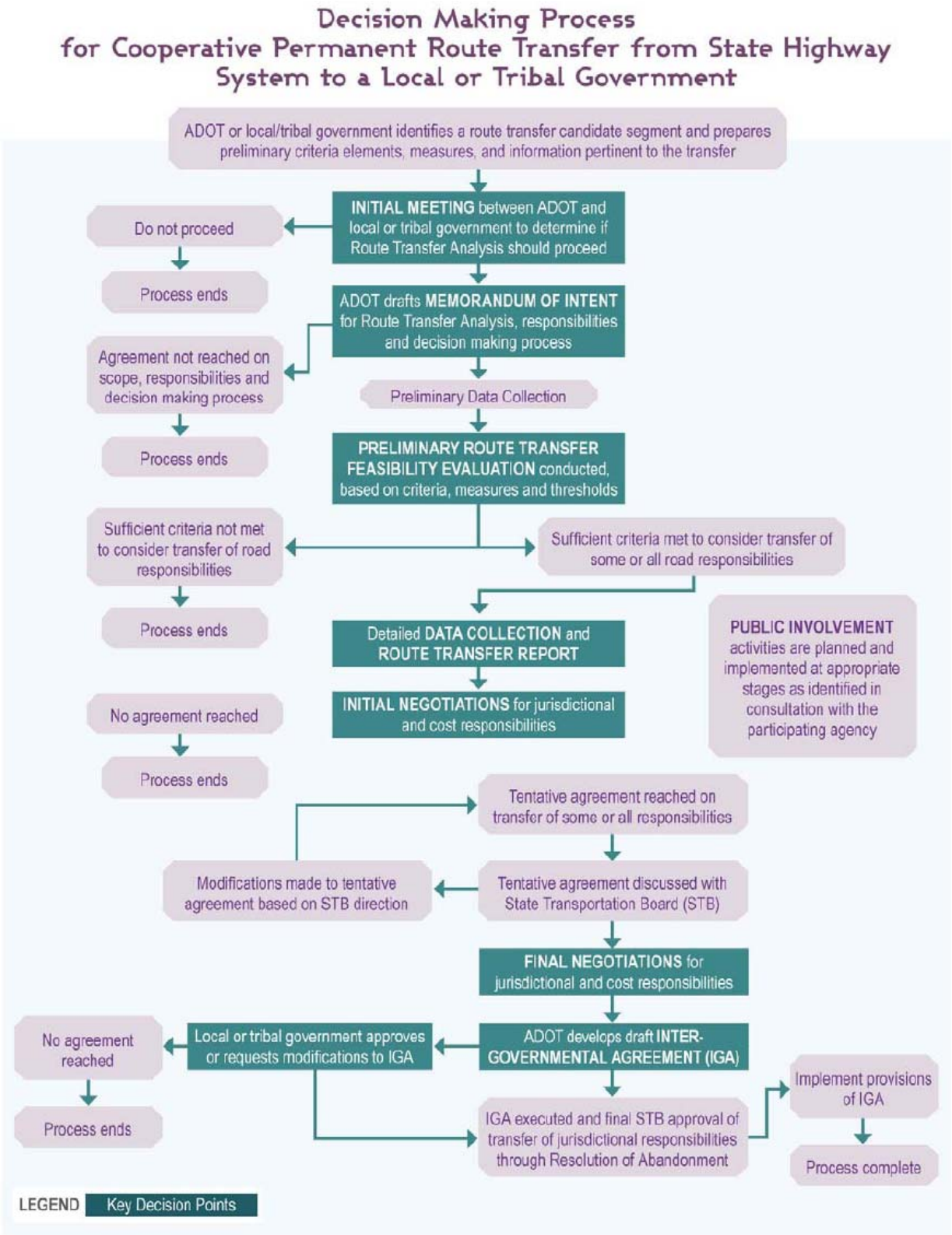


Figure 3 –Transfer from the State Highway System to a Local or Tribal Government

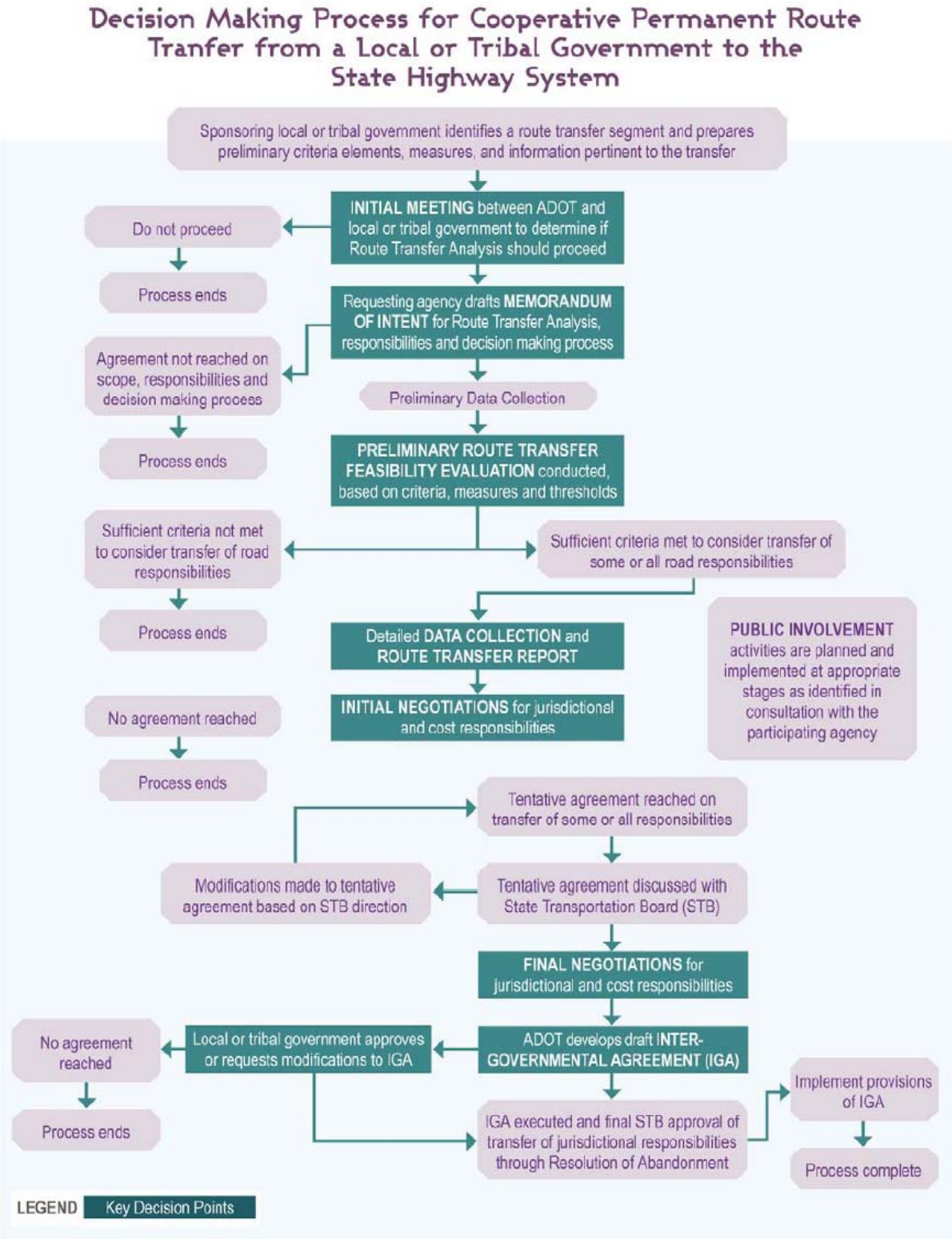


Figure 4 – Transfer from a Local or Tribal Government to State Highway System

5.3 Temporary Transfer to and from State Jurisdictions

Arizona statutes limit highway funding expenditures to roadways designated by the State Transportation Board as state highways. However, many state highway improvement projects require improvements of connections to local or tribal streets. To facilitate completion of construction projects that require improvements to local or tribal streets, ADOT must temporarily transfer these segments of local or tribal streets to the state highway system. The segment is transferred back to the local jurisdiction after construction is completed.

These temporary transfers of local or tribal roads onto the State Highway System represent the largest number of route transfers completed by ADOT.

In some cases, several construction projects are involved and the transfer back to the local or tribal jurisdiction might not be appropriate for years. However, in most cases, a single construction project is involved, and the transfer back to the local jurisdiction should occur soon after the project is completed.

The transfer action back to the local jurisdiction is frequently delayed for a variety of reasons. For example, as-built plans required to facilitate transfers are sometimes not finalized until a year or more after completion of construction. The delay in transferring back to local jurisdictions has resulted in a large backlog of road segments remaining on the State Highway System long after construction has been completed.

A secondary impact involves the Department of Public Safety in that it often retains law enforcement responsibilities for segments remaining on the State Highway System.

Figure 5 illustrates the current process for temporary road transfers. Process improvements are needed to trigger the transfer process to return road segments taken into the State Highway System for construction purposes, back to the local or tribal jurisdiction shortly after the construction is completed. Following are several potential process improvement options to consider for achieving that goal.

1. **Comprehensive List of Road Segments for Abandonment** – There is no established list of road segments on the State Highway System that should be transferred back to the original owning jurisdiction. A comprehensive list of these segments, including the backlog, should be developed, maintained current and distributed on a regularly scheduled basis to affected ADOT units. The list should include an abandonment transfer status statement and a schedule of transfer for each segment. The list could be maintained by each District or by ADOT Right-of-Way Group with input from the Districts and other ADOT units involved in the transfer process. Staff resources required to develop, maintain and distribute the list and to accelerate the abandonment of backlogged road segments could be an issue.

2. **IGA Close-out** – On projects where an IGA has been executed and transfer is recited in the IGA, a trigger mechanism in the IGA Branch could be utilized to not close out the IGA until notice has been provided that the return transfer action has been approved by the State Transportation Board (STB) and all of the conditions of the IGA have been met. A report could be generated by the IGA Branch on a quarterly basis for the State Engineer's Office (SEO) on outstanding IGA abandonment issues. The SEO would communicate with the District Engineers the need to complete the terms of the IGA and process the transfer paperwork to Right of Way, which would prepare the transfer resolution for the STB. This improvement option has the advantage of establishing a monitoring function for transfer and other IGA provisions. A disadvantage is that not all projects involve an IGA. It would also not address the backlog of projects for which IGAs have already been closed out.

3. **Project Schedule** – Route transfer could be incorporated into the Program and Project Management Section's scheduling system. Monthly abandonment status reports could be generated for the SEO, which in turn would communicate with the District Engineers and Right- of-Way Group on the need to process the transfers. This improvement has the advantage of establishing a monitoring and reporting system for transfers. A disadvantage is that it would not address the abandonment backlog.

4. **Right-of-Way Group Temporary Route Transfer Processing and Monitoring Unit** – A small unit could be established in the Right-of-Way Titles Section for temporary route transfers processing and monitoring. The Right-of-Way Group is already responsible for the STB Resolutions for Route Establishment and Abandonment and works closely with other ADOT units and involved agencies in the State Highway establishment and abandonment processes. Monthly route establishment and transfer reports could be generated for the SEO, Districts and other affected ADOT units. Advantages of this approach are the establishment of a focal point for this type of route transfer and the ability to address the abandonment backlog. A disadvantage is a potential need for additional staff resources, particularly to address the abandonment backlog.

5. **District Route Transfer Processing and Monitoring Position** – A route transfer processing and monitoring position could be established in each District or a position could be assigned the function for more than a single District. The ADOT Districts are responsible for much of the work involved in processing route transfers as well as complying with the provisions of IGAs. This approach has the advantage that most route transfer actions and required paperwork are currently initiated by the Districts. This approach also provides the ability to address the transfer backlog. A disadvantage is lack of a central focus on the timely processing of abandonments.

6. **Combining STB Establishment and Abandonment Actions** – The STB could adopt the temporary State Highway Establishment and Abandonment Resolutions at the same time; with the abandonment trigger occurring when the State Engineer reports the completion of the project to the STB. An issue associated with this approach would be the handling of the 120-day advance notice of abandonment or the four year advance waiver as required by A.R.S. 28-7209, as IGA's are not utilized for all projects where this condition could be inserted. A disadvantage of this process would be that the backlog of transfers would not be addressed. Additionally, the Attorney General's Office would need to research to determine if any statutory conflicts would be created or jeopardized.

7. **Combination of Process Improvement Actions** – A combination of the alternatives discussed above could be employed. For example: the Right-of-Way Group Temporary Route Transfer Processing and Monitoring Unit (item 4) could be established for a limited time to clear the backlog of abandonments, while the approach of combining the STB establishment and abandonment actions (item 6) could be employed for new projects.

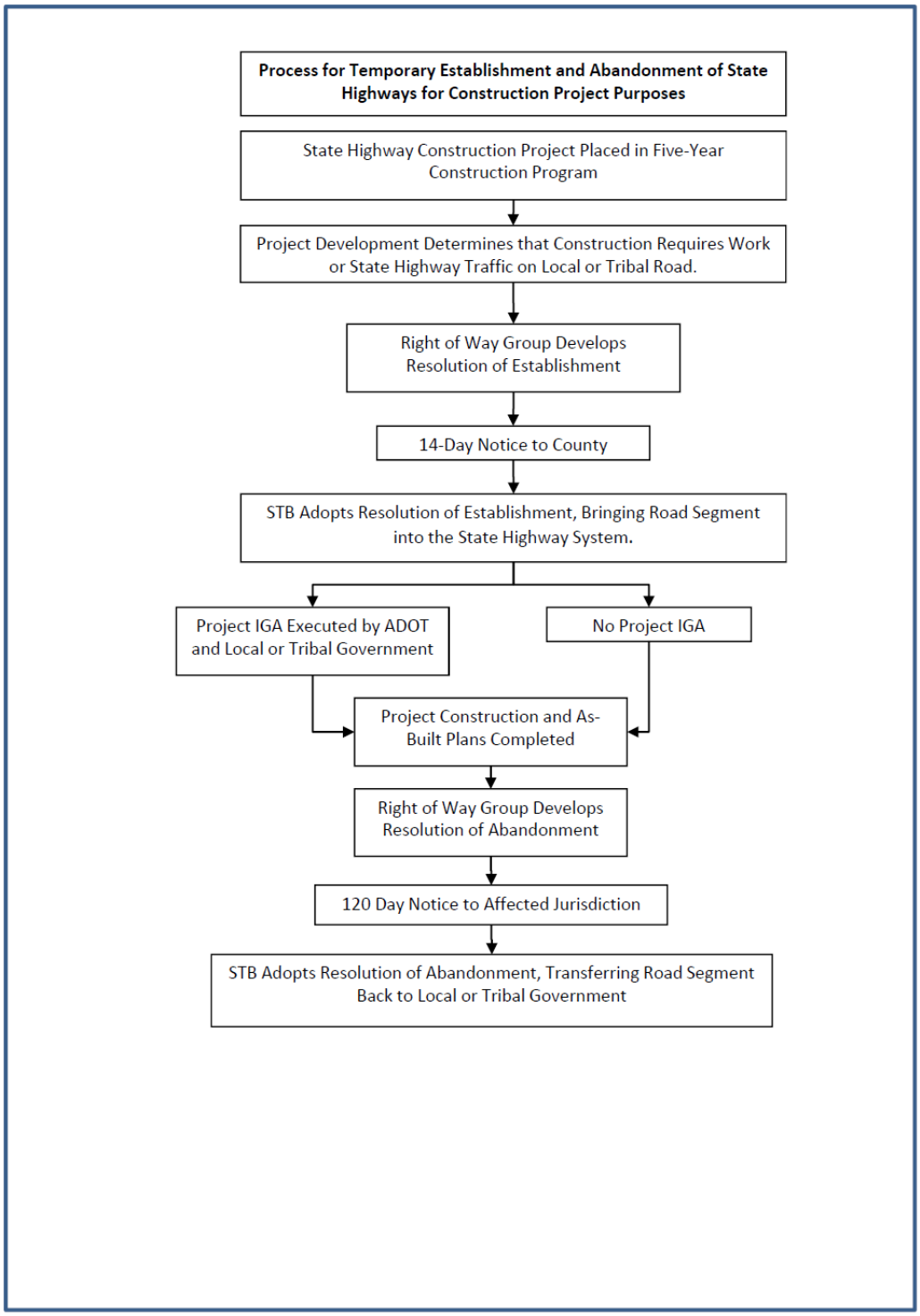


Figure 5 – Process for Temporary Transfer to and from a Local Jurisdiction to the State Highway System

Notes:
"120 Day Notice to Affected Jurisdictions"-Currently, statute is being requested for amendment to read local agency and county.
"14-Day Notice"- Currently, statute is being requested for amendment to read local agency and county.

6 Route Transfer Evaluation Considerations

Chapter 4 outlines essential elements of a route transfer process, including appropriate data collection and evaluation considerations. The data and evaluation considerations are applied in the flow charts presented in Chapter 5. The purpose of this chapter is to define more specifically the evaluation considerations and data requirements.

An evaluation of the proposed transfer corridor/segment will help ADOT and the local agency/jurisdiction to determine if the corridor is either eligible for state highway designation (in the case of a local street being considered for transfer to the state highway system), or if the segment of state highway should be transferred to the local or tribal jurisdiction.

Preliminary considerations, potential measures, and route transfer considerations are outlined in **Table 4**. The considerations draw heavily upon the Oregon best practices review. It is not necessary to respond "yes/true" to every criterion in order to be considered for transfer to local or state jurisdiction. A route that meets a preponderance of the criteria may be suitable for transfer.

A preliminary list of data needs is identified in **Table 5**. This list will be further developed and refined as consensus on criteria in **Table 4** is achieved.

Appendix A illustrates how the route transfer considerations can be applied to a roadway that is under consideration for route transfer. A spreadsheet was developed that includes each of the route transfer considerations listed in **Table 4**. The analyst answers each of the route transfer considerations with a "true" or a 'false". "True/Green" statements are those for which the route transfer candidate is consistent with the considerations. "False/Red" statements indicate that the route transfer candidate is inconsistent with the stated considerations. "Neutral/Yellow" statements indicate that the consideration is either not applicable, or does not have a significant influence on the candidate corridor. Upon completion of the analysis, a preponderance of "True/Green" statements indicates that the corridor is largely consistent with the route transfer considerations.

Table 4 – Summary of Potential Route Transfer Considerations

Category	Transfer Considerations	Considerations for Transfer to Local or Tribal Jurisdiction	Considerations for Transfer to State Jurisdiction
Transfer Objective			
	What is the main objective or goal that is anticipated through completion of the proposed transfer?	The state highway primarily serves local trips, state highway is no longer a critical element of the State Highway System, and a local or tribal agency desires increased control of improvements, maintenance, access decisions, and financial responsibility.	ADOT desires to gain or maintain control and/or financial responsibility.
Right-of-Way			
	Does ADOT or the local or tribal agency have full title rights to the candidate roadway?	Route transfer evaluation and negotiations require that all roadway owners (e.g. federal, state, tribal, easement) are participants in the process.	Route transfer evaluation and negotiations require that all roadway owners (e.g. federal, state, tribal, easement) are participants in the process.
Trip character			
Trip purpose	Does the road or highway serve statewide, regional, or local travel needs?	Route primarily serves local travel needs. Vehicle trips are primarily local in nature, for shopping, local business, and recreation.	Route primarily serves regional or statewide travel needs; vehicle trips are mostly regional or statewide in nature.
Multimodal transportation	Do alternate modes of travel (bicycles, pedestrians, public transit, and school buses) that primarily serve local trips, significantly or detrimentally impact the function of the roadway?	Trips made by local transit, bicycles, and pedestrians have a significant impact on the function of the route. This does not pertain to regionally-oriented transit such as Express Bus or other high-capacity transit.	Local transit, bicycles, and pedestrians do not have a significant impact on the function of the route. This does not pertain to regionally-oriented transit such as Express Bus or other high-capacity transit.
	Is there a desire by the local or tribal agency for significant investment in multimodal facilities, such as sidewalks, shared use paths, crosswalks/pedestrian signals?	Significant multimodal infrastructure is needed to accommodate frequent users of the roadway, including bicyclists, pedestrians, and transit users.	There is not a desire or need for significant multimodal infrastructure.
	Does the route connect to regional multimodal facilities, such as airports or rail stations?	Route does not connect to significant regional multimodal facilities.	Route connects to significant regional multimodal transportation facilities.

Table 4 – Summary of Potential Route Transfer Considerations (continued)

Category	Transfer Considerations	Considerations for Transfer to Local or Tribal Jurisdiction	Considerations for Transfer to State Jurisdiction
Highway Function			
Continuity and Connectivity	Is the route needed for statewide or regional system connectivity?	Route is not needed to maintain regional continuity.	Route is needed to maintain regional continuity.
	Is this route a high capacity connecting route needed to form an efficient network?	Route is not needed to maintain continuity in the state highway system.	Route is needed to maintain continuity in the state highway system.
	Does this route form a convenient or necessary link for connecting sections of state highways or for carrying state highways or state routes through cities or towns?	Route does not form a necessary link for carrying state highways through cities or towns.	Route forms a necessary link for carrying state highways through cities or towns.
	Does the route or route segment connect two interstate freeways?	Route does not connect two interstates.	Route connects two interstates.
	Does the route connect two state highways?	Route does not connect two state highways.	Route connects two or more state highways.
	Does the route connect a state highway to an interstate?	Route does not connect a state highway to an interstate.	Route connects a state highway to an interstate.
	Does the highway interconnect with those of other states?	Route does not connect to state highways in another state.	Route connects to state highways in another state.
	Does the route serve as a by-pass for interstate, regional, or local routes?	Route serves as an alternative bypass to local routes.	Route serves as an alternative bypass to regional and interstate routes.
	Does this route connect Arizona's population centers?	The route is not essential to connecting Arizona's population centers.	The route is essential to connecting Arizona's population centers.
	Is this route primarily designed to carry through traffic?	Route is designed primarily to serve local land uses.	Route is designed primarily to support through traffic.
State highway system functionality	Is the route important to the functionality of the statewide highway system? Will the changes in maintenance, access management or other standards resulting from a transfer, negatively impact the function of other nearby state facilities?	Route is not critical to the functionality of the state highway system.	Route is critical to the functionality of the state highway system.
	Does the transfer of a segment affect the functionality of the whole highway? For example, will significant delay be caused for through traffic?	Transfer of route segment to local entity would not impair the functionality of the whole highway.	Transfer of route segment to local entity would impair the functionality of the whole highway.

Table 4 – Summary of Potential Route Transfer Considerations (continued)

Category	Transfer Considerations	Considerations for Transfer to Local or Tribal Jurisdiction	Considerations for Transfer to State Jurisdiction
State highway system functionality (continued)	Does this route provide statewide and regional movement of people and goods?	Route primarily provides for local land access; provides minimal support for regional or statewide movement of people or goods.	Route primarily provides for the statewide movement of people and goods.
Frontage roads	Is the route a frontage road to a major state facility that is needed to complement the mainline facility?	The frontage road primarily accommodates local access.	Frontage road serves emergency purposes, accommodates wide loads, and relieves congestion.
Parallel routes	Is the route a parallel route to a state highway?	Route parallels and duplicates the function and purpose of the parallel state highway facility.	Route is parallel to another state highway facility, but is essential to serve emergency purposes and to relieve congestion.
New or major reconstruction	Is the route affected by a new state highway that bypasses or duplicates the route	• The route is now served by a new state highway that bypasses the city or town; the route is no longer needed as part of the state system • The route changed as part of a highway realignment that left a portion of the old highway useful only for local access purposes.	The route is not served by a new state highway facility; the route is needed as part of the state highway system.
Land Use			
Local land use plans	Do local or regional plans treat the highway as a local road favoring accessibility, or as a statewide facility favoring mobility, as determined by highway classification and access management?	Local and regional plans treat the route as a local road favoring accessibility.	Local and regional plans treat the route as a statewide facility favoring mobility, as evidenced by roadway classification and access management.
	Recognizing that land use decisions are made by local and tribal governments, should consolidation of government decisions for land use and access management decisions provide greater efficiency and community responsiveness?	Consolidation of government decisions for land use and access management decisions would provide greater efficiency, economic development potential, and community responsiveness.	Local and tribal agencies effectively collaborate with ADOT in making land use decisions which influence access management.

Table 4 – Summary of Potential Route Transfer Considerations (continued)

Category	Transfer Considerations	Considerations for Transfer to Local or Tribal Jurisdiction	Considerations for Transfer to State Jurisdiction
Access Management			
Driveways/access points	How does existing access management (number of driveways, access points, intersection geometrics, intersection spacing) affect mobility, capacity, and safety?	• Existing access points impact the integrity of the corridor • Non-compliance for access (nor permitted or not in compliance to DOT standards / requirements) and local jurisdictions will not support actions to correct • Past actions determined that the local agency and / or business community is not supportive of access management implementation	Access management is sufficient.
Access management features	Does the route include access management features (medians, right in / right out, islands)?	Route includes minimal or no access management features.	Route is controlled or limited access, route includes significant access management.
Intersection/interchange access	Does the route cross an Interstate or state highway where state ownership of the highway is required to protect the access management of the interchange, off-ramp or highway?	Route segment does not cross an interstate or state highway where ownership is required to protect access management.	Route segment crosses an interstate or state highway where ownership is required to protect access management.
Frontage road	Is the frontage road being considered for transfer needed to support the limited access of an interstate, freeway, interchange, or potential freeway?	The route is a frontage road that is intended primarily for local access; route is not needed to support limited access.	The route is a frontage road that is needed to support a limited access state highway.
Future Needs			
Plans	Does a Regional Plan or planning study say that the route will be needed on the state system to accommodate population growth or a change in the economy?	Route will not be needed on the state highway system to accommodate future growth.	Route will be needed on the state highway system to accommodate future growth.

Table 4 – Summary of Potential Route Transfer Considerations (continued)

Category	Transfer Considerations	Considerations for Transfer to Local or Tribal Jurisdiction	Considerations for Transfer to State Jurisdiction
Jurisdictional Interest			
Local or Tribal Jurisdiction Interest	Has a local or tribal agency expressed interested in assuming ownership of the route?	A local or tribal agency has expressed interest in assuming ownership of the route.	The state has expressed interest to maintain or assume control of the route.
Service Expectations	Is there a desire by local government for a different standard of service (e.g. permit accesses, maintenance)?	There is a desire by a local or tribal agency for a different standard of service, which state ownership is not prepared to provide.	State ownership is able to provide the standard of service desired by local or tribal jurisdictions.
Other non-statewide routes			
State and National points of interest	Does this route meet criteria for "non-statewide routes" serving points of state and national interest?	The route does not serve as a primary route to federal public lands and destinations.	The route serves as a primary route to federal public lands and destinations.
Special designations	Does this route meet criteria for "other major facilities" including: • Rural routes with more than 5,000 ADT • Connecting rural National Highway System (NHS) routes with more than 1,500 ADT • Key freight routes (more than 1,000 articulated trucks per day) • A regional evacuation route • Scenic Byway or Scenic Corridor • Or others as identified	Route does not have special designations.	Route has special designations as listed.
Maintenance and Operations			
State highway segmentation	Will the transfer result in a state highway being broken into segments owned by different jurisdictions?	Transfer will not result in state highway being broken into segments owned and operated by different jurisdictions.	Transfer will result in state highway being broken into segments owned and operated by different jurisdictions.
Maintenance resources	Does the receiving agency have the ability to maintain and operate the roadway?	Local or tribal agency has the resources to maintain and operate the roadway.	Local or tribal agency does not have the resources to maintain and operate the roadway.

Table 4 – Summary of Potential Route Transfer Considerations (continued)

Category	Transfer Considerations	Considerations for Transfer to Local or Tribal Jurisdiction	Considerations for Transfer to State Jurisdiction
Maintenance requirements	Are maintenance requirements, materials and/or equipment more appropriate or efficient at the state or local level (signal power and maintenance, plowing, sanding/de-icing, other maintenance work)	Route maintenance requirements are more efficiently provided at the local or tribal level.	Route maintenance requirements are more efficiently provided by the state.

Table 5 – List of Potential Route Transfer Data Needs

Category	Data Needs	Data Sources
Goal of the Transfer	• Formal agreements: IGAs / JPAs • Informal agreements: Memoranda of Understanding (MOUs), Memoranda of Agreement (MOAs), Letter of Interest (LOIs)	• District office • Local or Tribal agency/jurisdiction
Trip Character	• Average daily traffic volumes • Average trip lengths • Projected average daily traffic volumes • Percentage of through traffic • Percentage of truck traffic	• Traffic studies (origin-destination) • ADOT traffic volume databases
Highway Function	• Connecting routes (interstates, other state highways) • Design exceptions • Design speed / posted speed • Right-of-way width and ownership • Funding sources (was highway acquired with federal funds) • Typical section of roadway (number and width of travel lanes, shoulders, and turn lane(s)	• ADOT materials report • As-builts • Crash reports • ROW plans • Speed studies • State highway system maps
Land Use	• Land uses • Pending and planned developments	• Agency land use plan of affected jurisdictions • Pending development plans
Access Management	• Access management features (Medians, right in / right out, islands, etc.) • Existing permits, encumbrances and agreements, Access spacing, Intersection geometrics / type of intersection control • Number of permitted driveways / number of non-permitted driveways • Pedestrian crosswalks	• Accident report(s) based on locations of each driveway / access point • District permit inventory listing • Intersection analysis; ownership of intersecting roads, who maintains JPAs / IGAs for intersection control maintenance (signals / roadway lighting) • Non-compliance for access locations?
Future Needs	• Future planned projects • Future projects programmed • History of projects planned (not programmed) and programmed (funded) projects within the route	• Asset management report, Dollar value for the route • Local / state / private planned projects in and around route • Local / state / private programmed projects in and around the route

Table 5 – List of Potential Route Transfer Data Needs

Category	Data Needs	Data Sources
Other non-statewide routes	• Access to federal lands • Right-of-way ownership • Special use / considerations (Home Owners Association (HOA), adopted landscaping, grazing, etc)	• Mandatory or restricted access to federal lands / properties • Underlying fee (mineral rights, federal land easements, etc)
Maintenance and Operations	• Bridge and roadway weight limit postings and restrictions and studies • ADA compliance • Adopted highway (litter pickup or sponsored) • Construction plans • Cultural properties / sensitive properties • Drainage • Emergency response • Flooding / wetlands • Hazardous – contaminated sites • Highway condition • Historical properties (state / national register) • History overview of route life cycle • IGAs / MOUs in place for maintenance / operations • Intersection control / equipment • Landscaping and roadside features • Lighting inventory • Maintenance agreements • Maintenance annual cost by feature (road, shoulder, signal(s), signs, etc) • Outdoor advertising • Pavement type, thickness, and condition • Rail crossings • Signing inventory • Stormwater management (ponds, BMPs) • Traffic counters • Utility information	• ADOT ADA inventory • ADOT sign inventory , type of signs / sign structures • As-Built plans • As-built plans identifying fence, guardrail, end treatments • IGAs (e.g., for emergency vehicle preemption) • IGAs / MOUs from District and Central offices • Local agency report on cost for their annual maintenance on route • PErformance COntrolled System (PeCoS) PECOS report for route identifying the costs for manpower, materials and equipment • Responses to incidents on route (accident reports, maintenance reports / diaries) • Traffic engineering documentation

APPENDIX A – Sample Application of Route Transfer Considerations

SAMPLE EVALUATION FOR TRANSFER TO STATE JURISDICTION

Route: Sample Highway
Location: Sample City
Segment Limits: Sample MP 0 to Sample MP 10

Yellow = Neutral or Not Applicable

Criteria Category	Transfer Considerations	Criteria for Transfer to State Jurisdiction	
Goal of the Transfer			
Transfer objective	What is the main objective or goal that is anticipated through completion of the proposed transfer?	ADOT desires to gain or maintain control and/or financial responsibility.	TRUE
Right-of-Way			
	Does ADOT or the local or tribal government have full title rights to the candidate roadway?	Route transfer evaluation and negotiations require that all roadway owners (e.g. federal, state, tribal, easement) are participants in the process.	TRUE
Trip character			
Trip purpose	Does the road or highway serve statewide, regional, or local travel needs?	Route primarily serves regional or statewide travel needs; vehicle trips are mostly regional or statewide in nature.	NEUTRAL
Multimodal transportation	Do alternate modes of travel (bicycles, pedestrians, crosswalks, local public transit, and school buses) that are primarily local in nature significantly or detrimentally impact the function of the roadway?	Local transit, bicycles, and pedestrians do not have a significant impact on the vehicular capacity of the route.	FALSE
	Is there a desire by the local or tribal government for significant investment in multimodal facilities such as sidewalks, shared use paths, crosswalks/pedestrian signals?	There is not a desire or need for significant multimodal infrastructure.	FALSE
	Does the route connect to regional multimodal facilities such as airports or rail stations?	Route connects to regional multimodal transportation facilities such as airports	TRUE
Highway Function			
Continuity and Connectivity	Is the route needed for statewide or regional system connectivity?	Route is needed to maintain regional continuity.	TRUE
	Is this route a high capacity connecting route needed to form an efficient network?	Route is needed to maintain continuity in the state highway system.	TRUE
	Does this route form a convenient or necessary link for connecting sections of state highways or for carrying state highways or state routes through cities or towns?	Route forms a necessary link for carrying state highways through cities or towns.	TRUE
	Does the route or route segment connect two interstate freeways?	Route connects two interstates.	FALSE
	Does the route connect two state highways or a state highway to an interstate?	Route connects two or more state highways.	TRUE
	Does the highway interconnect with those of other states?	Route connects to state highways in another state.	FALSE
	Does the route serve as a by-pass for interstate, regional, or local routes?	Route serves as an alternative bypass to regional and interstate routes.	NEUTRAL
	Does this route connect Arizona's population centers?	The route is essential to connecting Arizona's population centers.	TRUE
	Is this route primarily designed to carry through traffic?	Route is designed primarily to support through traffic.	TRUE
State highway system functionality	Is the route important to the functionality of the statewide highway system?	Route is critical to the functionality of the state highway system.	TRUE
	Will the changes in maintenance, access management or other standards resulting from a transfer negatively impact the function of other nearby state facilities?		
	Does the transfer of a segment affect the functionality of the whole highway? For example, will significant delay be caused for through traffic?	Transfer of route segment to local entity would impair the functionality of the whole highway.	NEUTRAL
	Does this route provide statewide and regional movement of people and goods?	Route primarily provides for the statewide movement of people and goods.	TRUE
Frontage roads	Is the route a frontage road to a major state facility that is needed to complement the mainline facility?	Frontage road serves emergency purposes, accommodates wide loads, and relieves congestion.	NEUTRAL
Parallel routes	Is the route a parallel route to a state highway?	Route is parallel to another state highway facility, but is essential to serve emergency purposes and to relieve congestion.	NEUTRAL
New or major reconstruction	Is the route affected by a new state highway that bypasses or duplicates the route	The route is not served by a new state highway facility; the route is needed as part of the state highway system.	TRUE
Land Use			
Local land use plans	Do local or regional plans treat the highway as a local road favoring accessibility, or as a statewide facility favoring mobility, as determined by highway classification and access management?	Local and regional plans treat the route as a statewide facility favoring mobility, as evidenced by roadway classification and access management	TRUE
	Recognizing that land use decisions are made by local and tribal governments, should consolidation of government decisions for land use and access management decisions provide greater efficiency, economic development potential, and community responsiveness?	Local and tribal agencies effectively collaborate with ADOT in making land use decisions which influence access management.	TRUE

ADOT ROUTE TRANSFER STUDY

Sample Jurisdictional Route Transfer Criteria

Route: Sample Highway

Location: Sample City

Segment Limits: Sample MP 0 to Sample MP 10

Yellow = Neutral or Not Applicable

Criteria Category	Transfer Considerations	Criteria for Transfer to State Jurisdiction	
Access Management			
Driveways/access points	How does existing access management (number of driveways, access points, intersection geometrics, intersection spacing) affect mobility, capacity, and safety?	Access management is sufficient	FALSE
Access management features	Does the route include access management features (medians, right in / right out, islands	Route is controlled or limited access, route includes significant access management	TRUE
Intersection/interchange access	Does the route cross an Interstate or state highway where state ownership of the highway is required to protect the access management of the interchange, off-ramp or highway?	Route segment crosses an interstate or state highway where ownership is required to protect access management.	TRUE
Frontage road	Is the frontage road being considered for transfer needed to support the limited access of an interstate, freeway, interchange, or potential freeway?	The route is a frontage road that is needed to support a limited access state highway.	NEUTRAL
Future Needs			
Plans	Does a Regional Plan or planning study say that the route will be needed on the state system to accommodate population growth or a change in the economy?	Route will be needed on the state highway system to accommodate future growth.	TRUE
Jurisdictional Interest			
Local or Tribal Government Interest	Has a local or tribal government expressed interested in assuming ownership of the route?	The state has expressed interest to maintain or assume control of the route	TRUE
Level of Service	Is there a desire by local government for a different level of service (e.g. permit accesses, maintenance, higher standards or service)?	State ownership is able to provide the level of service desired by local or tribal governments.	TRUE
Other non-statewide routes			
State and National points of interest	Does this route meet criteria for "non-statewide routes" serving points of state and national interest?	The route serves as a primary route to federal public lands and destinations.	NEUTRAL
Special designations	Does this route meet criteria for "other major facilities" including: • Rural routes with more than 5,000 ADT • Connecting rural National Highway System (NHS) routes with more than 1,500 ADT • Key freight routes (more than 1,000 articulated trucks per day) • A regional evacuation route Scenic byway or Scenic Corridor Others as identified	Route has special designations as listed.	FALSE
Maintenance and Operations			
State highway segmentation	Will the transfer result in a state highway being broken into segments owned by different jurisdictions?	Transfer will result in state highway being broken into segments owned and operated by different jurisdictions.	TRUE
Maintenance resources	Does the receiving agency have the ability to maintain and operate the roadway?	Local or tribal government does not have the resources to maintain and operate the roadway.	TRUE
Maintenance requirements	Are maintenance requirements, materials and/or equipment more appropriate or efficient at the local level (signal power and maintenance, plowing, sanding/de-icing, other maintenance work)	Route maintenance requirements are more efficiently provided by the state.	TRUE

SAMPLE EVALUATION FOR TRANSFER TO LOCAL OR TRIBAL GOVERNMENT

Route: Sample Highway
Location: Sample City
Segment Limits: Sample MP 0 to Sample MP 10

Yellow = Neutral or Not Applicable

Criteria Category	Transfer Considerations	Criteria for Transfer to Local Jurisdiction	
Goal of the Transfer			
Transfer objective	What is the main objective or goal that is anticipated through completion of the proposed transfer?	A local or tribal government desires increased control of improvements, maintenance, access decisions, and financial responsibility.	TRUE
Right-of-Way			
	Does ADOT or the local or tribal government have full title rights to the candidate roadway?	Route transfer evaluation and negotiations require that all roadway owners (e.g. federal, state, tribal, easement) are participants in the process.	TRUE
Trip character			
Trip purpose	Does the road or highway serve statewide, regional, or local travel needs?	Route primarily serves local travel needs. Vehicles trips are primarily local in nature, for shopping, local business, and recreation.	NEUTRAL
Multimodal transportation	Do alternate modes of travel (bicycles, pedestrians, crosswalks, local public transit, and school buses) significantly or detrimentally impact the function of the roadway?	Local transit, bicycles, and pedestrians do not have a significant impact on the vehicular capacity of the route.	TRUE
	Is there a desire by the local or tribal government for significant investment in multimodal facilities such as sidewalks, shared use paths, crosswalks/pedestrian signals?	Significant multimodal infrastructure is needed to accommodate frequent users of the roadway, including bicyclists, pedestrians, and transit users.	TRUE
	Does the route connect to regional multimodal facilities such as airports or rail stations?	Route does not connect to regional multimodal facilities.	TRUE
Highway Function			
Continuity and Connectivity	Is the route needed for statewide or regional system connectivity?	Route is not needed to maintain regional continuity.	TRUE
	Is this route a high capacity connecting route needed to form an efficient network?	Route is not needed to maintain continuity in the state highway system.	TRUE
	Does this route form a convenient or necessary link for connecting sections of state highways or for carrying state highways or state routes through cities or towns?	Route does not form a necessary link for carrying state highways through cities or towns.	TRUE
	Does the route or route segment connect two interstate freeways?	Route does not connect two interstates.	TRUE
	Does the route connect to two state highways?	Route does not connect two state highways.	TRUE
	Does the highway interconnect with those of other states?	Route does not connect to state highways in another state.	TRUE
	Does the route serve as a by-pass for interstate, regional, or local routes?	Route serves as an alternative bypass to local routes	NEUTRAL
	Does this route connect Arizona's population centers?	The route is not essential to connecting Arizona's population centers.	TRUE
	Is this route primarily designed to carry through traffic?	Route is designed primarily to serve local land uses	FALSE
State highway system functionality	Is the route important to the functionality of the statewide highway system?	Route is not critical to the functionality of the state highway system.	TRUE
	Will the changes in maintenance, access management or other standards resulting from a transfer negatively impact the function of other nearby state facilities?		
	Does the transfer of a segment affect the functionality of the whole highway? For example, will significant delay be caused for through traffic?	Transfer of route segment to local entity would not impair the functionality of the whole highway.	TRUE
	Does this route provide statewide and regional movement of people and goods?	Route primarily provides for local land access; provides minimal support for regional or statewide movement of people or goods.	TRUE
Frontage roads	Is the route a frontage road to a major state facility that is needed to complement the mainline facility?	The frontage road primarily accommodates local access.	NEUTRAL
Parallel routes	Is the route a parallel route to a state highway?	Route parallels and duplicates the function and purpose of a parallel state highway facility.	TRUE
New or major reconstruction	Is the route affected by a new state highway that bypasses or duplicates the route	• The route is now served by a new state highway that bypasses the city or town; the route is no longer needed as part of the state system	TRUE
		• The route changed as part of a highway realignment that left a portion of the old highway useful only for local access purposes.	

ADOT ROUTE TRANSFER STUDY

Sample Jurisdictional Route Transfer Criteria

Route: Sample Highway

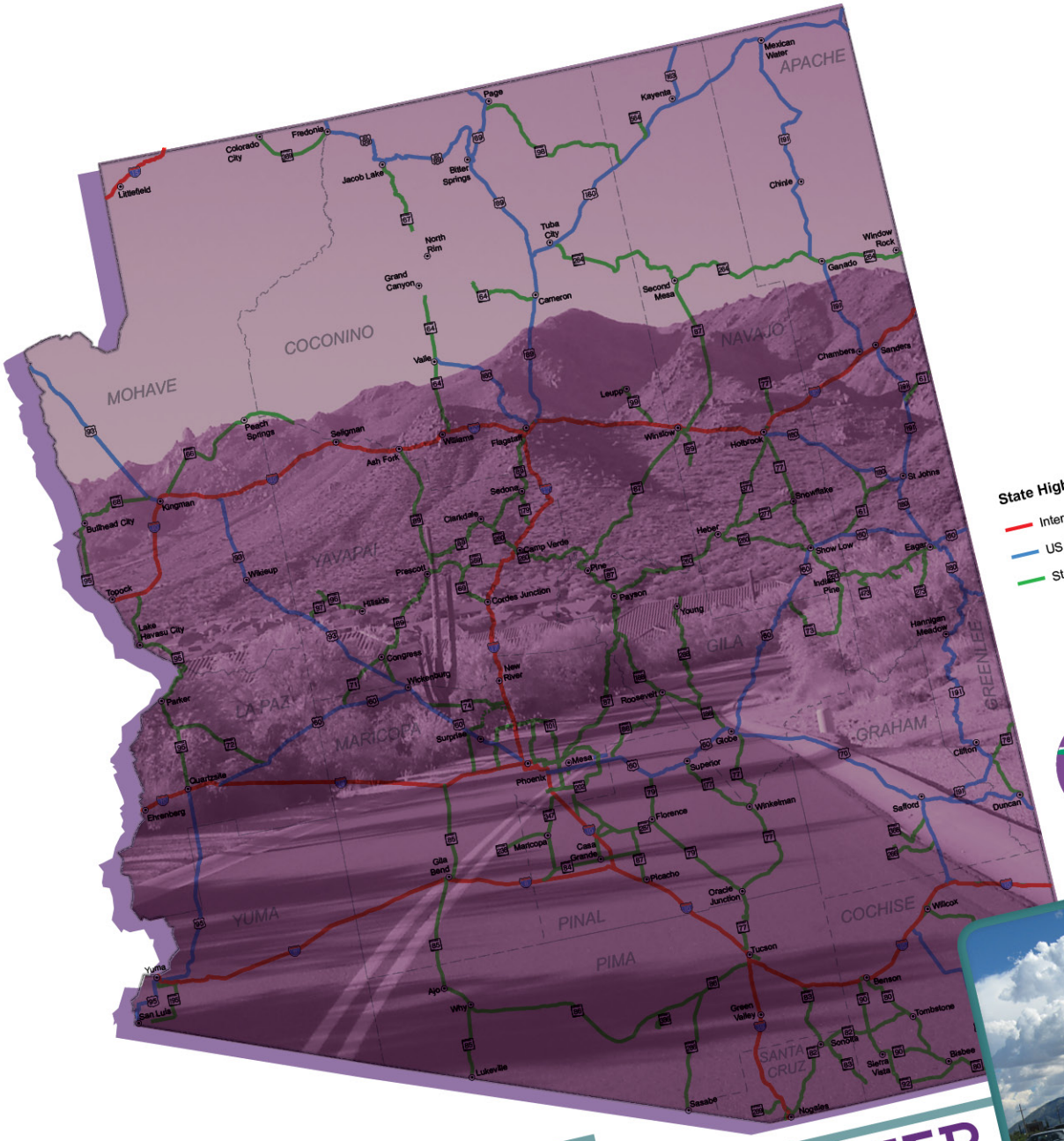
Location: Sample City

Segment Limits: Sample MP 0 to Sample MP 10

Yellow = Neutral or Not Applicable

Criteria Category	Transfer Considerations	Criteria for Transfer to Local Jurisdiction	
Land Use			
Local land use plans	Do local or regional plans treat the highway as a local road favoring accessibility, or as a statewide facility favoring mobility, as determined by highway classification and access management?	Local and regional plans treat the route as a local road favoring accessibility.	TRUE
	Recognizing that land use decisions are made by local and tribal governments, should consolidation of government decisions for land use and access management decisions provide greater efficiency, economic development potential, and community responsiveness?	Consolidation of government decisions for land use and access management decisions would provide greater efficiency and community responsiveness.	TRUE
Access Management			
Driveways/access points	How does existing access management (number of driveways, access points, intersection geometrics, intersection spacing) affect mobility, capacity, and safety?	• Existing access points impact the integrity of the corridor • Non-compliance for access (nor permitted or not in compliance to DOT standards / requirements) and local jurisdictions will not support actions to correct • Past actions determined that the local agency and / or business community is not supportive of access management implementation	TRUE
Access management features	Does the route include access management features (medians, right in / right out, islands	Route includes minimal or no access management features	FALSE
Intersection/interchange access	Does the route cross an Interstate or state highway where state ownership of the highway is required to protect the access management of the interchange, off-ramp or highway?	Route segment does not cross an interstate or state highway where ownership is required to protect access management.	FALSE
Frontage road	Is the frontage road being considered for transfer needed to support the limited access of an interstate, freeway, interchange, or potential freeway?	The route is a frontage road that is intended primarily for local access; route is not needed to support limited access	NEUTRAL
Future Needs			
Plans	Does a Regional Plan or planning study say that the route will be needed on the state system to accommodate population growth or a change in the economy?	Route will not be needed on the state highway system to accommodate future growth.	FALSE
Jurisdictional Interest			
Local or Tribal Government Interest	Has a local or tribal government expressed interested in assuming ownership of the route?	A local or tribal government has expressed interest in assuming ownership of the route.	TRUE
Level of Service	Is there a desire by local government for a different level of service (e.g. permit accesses, maintenance, higher standards or service)?	There is a desire by a local or tribal government for a different level of service, which state ownership is not prepared to provide.	TRUE
Other non-statewide routes			
State and National points of interest	Does this route meet criteria for "non-statewide routes" serving points of state and national interest?	The route does not serve as a primary route to federal public lands and destinations.	TRUE
Special designations	Does this route meet criteria for "other major facilities" including: • Rural routes with more than 5,000 ADT • Connecting rural National Highway System (NHS) routes with more than 1,500 ADT • Key freight routes (more than 1,000 articulated trucks per day) • A regional evacuation route · Scenic Byway or Scenic Corridor Others as identified	Route does not have special designations.	TRUE
Maintenance and Operations			
State highway segmentation	Will the transfer result in a state highway being broken into segments owned by different jurisdictions?	Transfer will not result in state highway being broken into segments owned and operated by different jurisdictions.	TRUE
Maintenance resources	Does the receiving agency have the ability to maintain and operate the roadway?	Local or tribal government has the resources to maintain and operate the roadway.	TRUE
Maintenance requirements	Are maintenance requirements, materials and/or equipment more appropriate or efficient at the local level (signal power and maintenance, plowing, sanding/de-icing, other maintenance work)	Route maintenance requirements are more efficiently provided at the local or tribal level.	FALSE

Appendix 3



ADOT

ADOT ROUTE TRANSFER HANDBOOK

JUNE 2012

ADOT Route Transfer Procedures Study
Route Transfer Handbook

ADOT MPD Task Assignment 15-11
PG TD0624
Contract # T08-49-U0001

Prepared by:

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Prepared for:
ARIZONA DEPARTMENT OF TRANSPORTATION
MULTIMODAL PLANNING DIVISION

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1. Overview

This handbook describes processes and procedures associated with transfers of road jurisdiction, both to and from the State Highway System. The intended users of this handbook are the Arizona Department of Transportation (ADOT), local government agencies, tribal governments, Councils of Governments, Metropolitan Planning Organizations, and other agencies that may be involved in the decision-making processes regarding jurisdictional responsibility for the State Highway System.

This handbook is intended to be a guidance document. There is significant flexibility in the route transfer process. Since each request for a route transfer to or from the State Highway System has its own unique circumstances, ADOT will take into account these circumstances in judging the relative merits of each proposal. To that end, ADOT recognizes that there must be flexibility to ensure a level of analysis appropriate to the circumstances surrounding each proposal. The process outlined in this Handbook may be modified to match the needs of the route transfer proposal.

1.1 The State Highway System

Highways are critical to Arizona's economic vitality. There are 17,100 highway lane miles operated and maintained by ADOT (Source: *What Moves You Arizona, Transportation in Arizona Executive Summary*). The State Highway System is shown in **Figure 1**.

Major interstate highways in Arizona (shown in red on **Figure 1**) are the east-west highways of I-8, I-10, and I-40, and the north-south interstate highways of I-17, I-19, and I-15, which serves the far northwest corner of the State.

U.S. Routes (shown in blue on **Figure 1**) include the following routes: U.S. 60, 70, 89, 89A, 93, 95,160, 163, 180, and 191. U.S. routes are part of an integrated system of highways within the United States, maintained by the State. The Interstate Highway System has largely replaced the U.S. Highways for through traffic, though many regional connections are still made by U.S. Highways.

State Routes are shown in green in **Figure 1** on the next page.

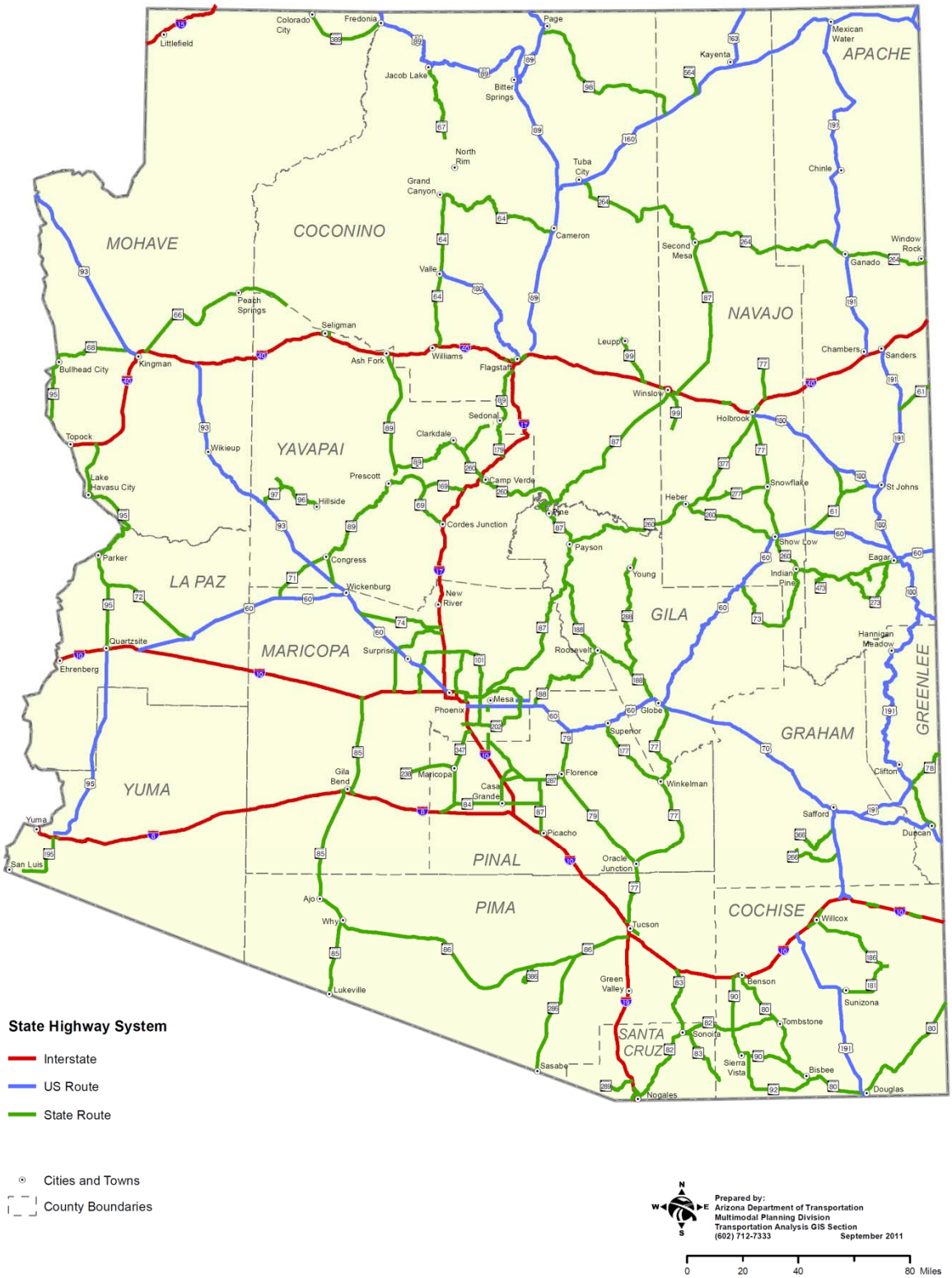


Figure 1 – State Highway System

1.2 Why Transfer Roads

As the road system in Arizona grows and changes to meet land development demands and population growth, the functions of the roads adapt to the needs. Roads that serve primarily local trips may be more suitable to be transferred to the local road system. Conversely, local roads that primarily serve regional and statewide through trips or connect to state roadway facilities may be candidates for transfer to the State Highway System. In both cases, a transparent and cooperative process is needed to determine which agency is best suited to provide long-term ownership and management of the road.

1.2.1 Transfers from the State Highway System to Local or Tribal Roads

The major reason for transferring a state highway to a local jurisdiction is that the road serves primarily local interests. Arizona State Transportation Board Policy 16 states: "Routes primarily providing land access and local movement of people and goods should be the responsibility of local governments."

There are a number of other reasons why ADOT might desire to transfer a state highway segment to a local or tribal government:

- The roadway carries vehicle trips that are mostly local in nature-for shopping, local business, and recreation
- The roadway function has changed and no longer provides higher-capacity continuity in the State Highway System
- A new state highway bypasses a city, and the route through the city is no longer needed as part of the State Highway System
- Highway realignment leaves a remnant portion of a state highway that is useful primarily for local access purposes
- Having only one government making access management, maintenance, and operations decisions on a roadway might result in greater efficiency, support economic vitality, and improve community responsiveness
- The local or tribal government wants to have improvements, permit accesses, or maintain the state route in a way that is different from ADOT
- The highway no longer provides interstate, intrastate, or regional system connectivity

A transfer to a local government may allow the local jurisdiction to maintain the road consistent with local objectives, and to use alternative funding options in order to do so; however, such a transfer may have financial implications on local and/or tribal government budgets (as applicable).

1.2.2 Transfers from the Local or Tribal Road System to the State Highway System

There are also reasons why a local or tribal road or highway should be added to the State Highway System:

- Long-range planning indicates that the road will serve a regional or statewide function
- The road may connect to a planned state route

- The local road currently serves a statewide or regional function. Examples include a major urban arterial that serves mainly through traffic, or a rural route that has statewide economic importance
- The road is a connector between two interstates or state highways, or between a state highway and an interstate route

2 Legal and Policy Framework

This chapter presents summaries of relevant Arizona Revised Statutes which establish the legal framework for the route transfer process.

Table 1 identifies relevant Arizona Revised Statutes (A.R.S). Excerpts of applicable A.R.S. are included in **Appendix A**.

ADOT also develops and periodically updates State Transportation Board Policies regarding the Board's statutory authority to plan and develop Arizona's state transportation facilities. The most recent State Transportation Board Polices can be found at http://azdot.gov/Board/PDF/Board_Policies_010411.pdf .

Table 1 – Relevant State Statutes Regarding Route Transfer

Statute or Policy	Summary
Arizona Revised Statute (A.R.S)	
28-101, (Definitions)	Provides definitions.
28-304, Powers and duties of the board; transportation facilities	Describes powers and duties of the board, including abandonment of state highways.
28-401, Intergovernmental agreements (I.G.A)	Authorizes the ADOT Director to enter into agreements with cities, tribes, and counties for improvements to state routes.
28-6993, State highway fund; authorized uses	Authorizes state highway funds to be expended on land damages associated with abandoning portions of a state highway.
28-7041, State highways and routes defined	Defines the powers and duties of the State Transportation Board regarding establishing a State Highway System.
28-7207, State roadway abandoned	Abandonment of state highways outside of incorporated limits vests to counties.
28-7209, Vacated or abandoned highway; affected jurisdiction; procedure	In conjunction with state highway abandonment, the State Transportation Board will: • Recognize financial and administrative impacts of abandonment on local jurisdictions. • Provide four years advance notice to local jurisdiction, except by mutual agreement. • Provide 120 days' notice to local jurisdiction for the abandonment of new street improvements such as cul-de-sacs and reconnections of existing streets resulting from highway projects. • Improve abandoned highway such that surface treatment is not required for at least five years, except by mutual agreement.
28-7210, Reservation of easements	Rights-of-way or easements continue as they existed before the disposal or abandonment of the rights-of-way or easements.
28-7213, Resolution; effective date	Resolutions vesting a roadway to another jurisdiction must describe the roadway and its use, and take effect when it is recorded in the office of the county recorder.
28-7043, Designation of state route as state highway	• County Board of Supervisors may petition the transportation board to take over and designate a state route as a state highway. • Until designated as a state highway, state routes are constructed and maintained as county highways. • State routes will not be designated as a state highway until funding is programmed for improvement. • ADOT maintains state routes that are designated and accepted by the State Transportation Board as state highways.
28-7049, Classification of streets that connect highways and routes	If the streets of a city or town form necessary connection of sections of state highways or state routes, governing bodies may mutually agree that the streets are deemed state highways or county highways, respectively.

3 Steps in the Route Transfer Process

This chapter provides an overview of the steps in the route transfer process. The route transfer process was developed as a cooperative procedure to assess the function of a candidate roadway relative to route transfer evaluation criteria, and to formulate a rational and mutually agreeable transition strategy to transfer ownership responsibilities between government agencies. This chapter presents processes for:

- Transfer to the State Highway System;
- Transfer from the State Highway System to local or tribal governments.

3.1 Process Flow Chart

The processes for transfers to the State Highway System and transfers to local or tribal governments are nearly identical. The primary differences relate to which governmental agency initiates the transfer and how the transfer is implemented, either by State Transportation Board resolution of abandonment or resolution of establishment. **Figure 2** depicts processes for making transfers of responsibilities from the State Highway System to a local or tribal government, while **Figure 3** depicts that process for transfer of a roadway from local or tribal government to the State Highway System.

The flow charts reflect the following key steps, which are explained in more detail in the following sections:

- Identify and Define a Route Transfer Candidate Segment (Section 3.2)
- Initial Meeting (Section 3.3)
- Memorandum of Intent (Section 3.4)
- Preliminary Data Collection and Route Transfer Feasibility Evaluation (Section 3.5)
- Detailed Data Collection (Section 3.6)
- Route Transfer Report (Section 3.7)
- Initial Negotiations (Section 3.8)
- Public Involvement (Section 3.9)
- Final Negotiations (Section 3.10)
- Development of Intergovernmental Agreement (Section 3.11)

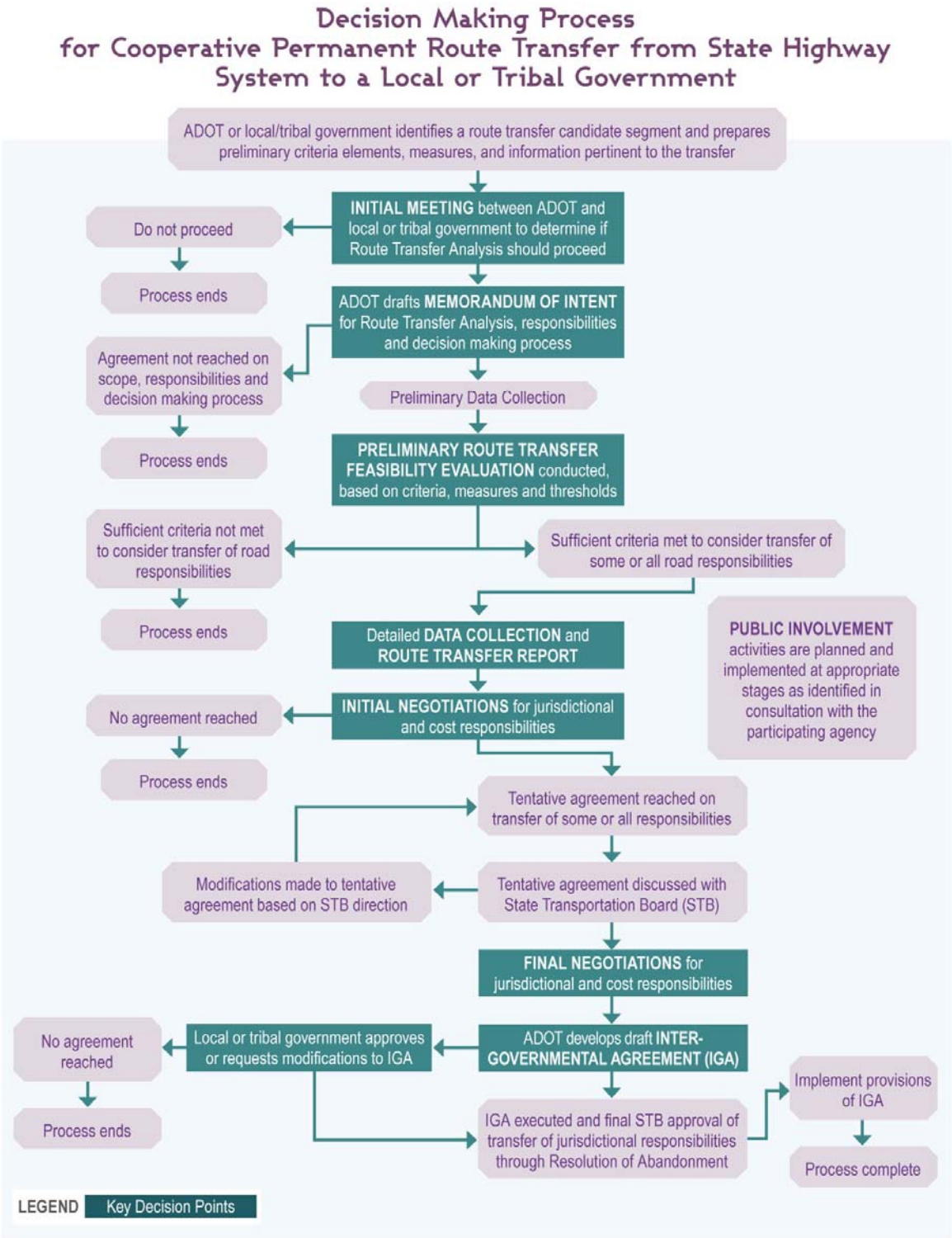


Figure 2 – Transfer from the State Highway System to a Local or Tribal Government

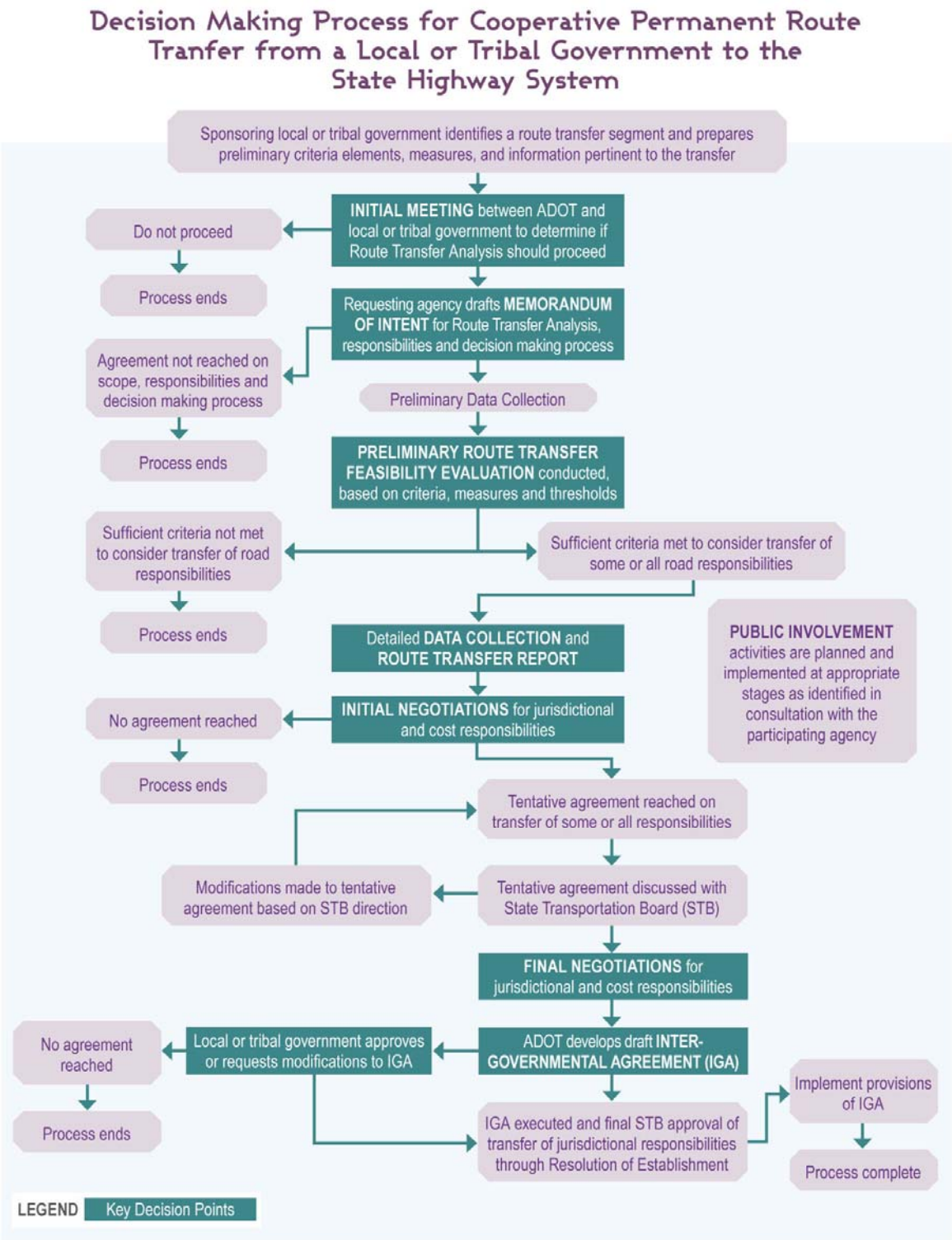


Figure 3 – Transfer from a Local or Tribal Government to State Highway System

3.2 Define the Route Transfer Candidate Segment

The route transfer process may be initiated by ADOT or by a local or tribal agency that wants to pursue transferring a route segment to another jurisdiction. The first step in the process is to define the segment that is being proposed for transfer. Route transfer can either include transfer to the State Highway System from a local jurisdiction or tribal government, or a transfer from the State Highway System to a local jurisdiction or tribal government.

3.2.1 Route Transfer Candidate Segment – State Route to Local or Tribal Route

Candidate routes for transfers from the state system to the local system are those primarily providing land access and local movement of people and goods. The Arizona State Transportation Board has defined priorities for route transfers from state routes to local routes. Examples of potential candidates for transfer to local or tribal jurisdiction are:

- Routes for which local governments have expressed interest in acquiring
- Routes for which ADOT is constructing a bypass or alternate route
- Routes that provide duplicative services
- Business routes that are not necessary for system continuity
- Routes that primarily serve local or tribal travel

An initial checklist (**Table 2)** serves as an early tool, prior to detailed investigation, to assess whether route transfer from the State Highway System to a local or tribal government may be feasible and detailed investigation should continue. The checklist can help to validate a decision to proceed with the route transfer process, including the detailed data collection and analysis that will be required.

A preponderance of "yes" statements indicates that the corridor is largely consistent with the route transfer considerations, and that the route transfer process should proceed to the next step. A preponderance of "no" statement indicates that the candidate route likely does not meet route transfer criteria, and that the analysis should not continue.

Table 2 – Initial Checklist for Transfer from State Highway System to Local or Tribal Government

NOTE: This checklist will help to determine if route transfer investigation should continue. A preponderance of "no" responses indicates that the candidate route likely does not meet route transfer criteria, and effort and expense of detailed investigation is not warranted. "Yes" responses indicate that route transfer criteria may be satisfied and additional detailed investigation should continue.

DATE			
ROUTE NAME			
CANDIDATE SEGMENT LIMITS (MAJOR STREETS, MILEPOSTS)			
Route Transfer Consideration		**Yes**	**No**
Trip Character	Does the route primarily serve local travel needs?		
	Are vehicles trips primarily local in nature, for shopping, local business, and recreation?		
Highway Function	Is the route considered non-essential for statewide or regional system connectivity?		
New or Major Reconstruction	Is the route affected by a new state highway that bypasses or duplicates the route?		
Maintenance and Operations	Does a receiving agency (local or tribal jurisdiction) have the ability to maintain and operate the highway?		
Other Compelling Considerations	Please explain.		

3.2.2 Route Transfer Candidate Segment – Local or Tribal Route to State Route

Candidate routes for transfers from the local system to the state system are those primarily providing State Highway System continuity and through movement of people and goods. Examples of potential candidates for transfer to a state route are:

- Routes that primarily serve regional or statewide travel
- Routes that are needed to maintain statewide or regional continuity
- Routes that form necessary links for carrying state highways through cities, towns or population centers
- Routes that connect two interstates or state highways, including connections to a state highway in another state or Mexico's primary corridors

An initial checklist, shown in **Table 3**, serves as an early tool, prior to detailed investigation, to assess whether route transfer from a local or tribal government to the State Highway System may be feasible and detailed investigation should continue. Completion of the checklist can validate a decision to proceed with the route transfer process, including the detailed data collection and analysis that will be required.

A preponderance of "yes" statements indicates that the corridor is largely consistent with the route transfer considerations, and that the route transfer process should proceed to the next step. A preponderance of "no" statement indicates that the candidate route likely does not meet route transfer criteria, and that the analysis should not continue.

Table 3 – Initial Checklist for Transfer from a Local or Tribal Government to the State Highway System

NOTE: This checklist will help to determine if route transfer investigation should continue. A preponderance of "no" responses indicates that the candidate route likely does not meet route transfer criteria, and effort and expense of detailed investigation is not warranted. "Yes" responses indicate that route transfer criteria may be satisfied and additional detailed investigation should continue.

DATE			
ROUTE NAME			
CANDIDATE SEGMENT LIMITS (MAJOR STREETS, MILEPOSTS)			
Route Transfer Consideration		**Yes**	**No**
Trip Character	Does the route primarily serve statewide or regional travel needs?		
	Are vehicles trips mostly regional or statewide in nature?		
Highway Function	Is the route needed for statewide or regional system connectivity?		
	Do local or regional plans treat the highway as a statewide facility favoring mobility, as determined by highway classification and access management?		
Maintenance and Operations	Are route maintenance requirements more efficiently provided by the state?		
Other Compelling Reasons	Please explain.		

3.3 Initial Meeting

If a review of preliminary route considerations confirms that the route segment discussions should continue, ADOT or a local or tribal government can initiate the process of a route transfer through an initial meeting to determine if the preliminary considerations have merit.

The initial meeting would typically involve:

- ADOT District Engineer(s)
- Local jurisdiction or tribal government directors or managers

Discussion topics at the initial meeting should include:

- Is there state, local or tribal interest in a route transfer?
- Defining the logical termini of the transfer
- Justification / rationale for the transfer

The outcome of this meeting would be an agreement to further investigate route transfer. No formal commitments are made at the meeting. After the parties informally agree to continue to discuss a potential transfer, the agency initiating the transfer can begin agency coordination, and background research, and initiate informal negotiations with more detail and data available. A Memorandum of Intent (described in section 3.4), outlining key points in the transfer, would document the informal understanding discussed at the initial meeting.

If there is no consensus that the preliminary considerations have merit, or there is not state, local, or tribal interest in a route transfer, the route transfer process would typically end.

3.4 Memorandum of Intent

A Memorandum of Intent is a non-binding document which outlines the framework for an agreement between two or more parties before the route transfer agreement is finalized and documented within an Intergovernmental Agreement (IGA).

The purpose of the Memorandum of Intent is to define roles and responsibilities for activities that will be completed during the route transfer decision-making process and it sets the framework for the negotiation process. The Memorandum of Intent should illustrate the following:

- Proposed limits of route transfer segment (description and map)
- Justification / rationale for the transfer
- Anticipated time frame for completion of the transfer
- Notation of the initial meeting (including individuals who participated, outcomes), each Agency's roles and responsibilities for collecting identified data, their agency's financial responsibility to collect the data, and development of further analysis and reports

A Memorandum of Intent template is shown in **Table 5** below. The Memorandum of Intent should be signed by authorized representatives of both ADOT (the ADOT District Engineer) and the local or tribal government. A copy of the Memorandum of Intent should be provided to the appropriate MPO and/or COG for early consideration in their respective regional transportation planning processes.

If there is no agreement on the scope and responsibilities for the route transfer analysis and the route transfer decision-making process, as expressed in the Memorandum of Intent, then the route transfer process will end.

Table 4 – Memorandum of Intent Template

Address (Agency requesting/initiating the route transfer)

Date

Re: Route Transfer of (Route Description) from (Local Jurisdiction, Tribal Government or ADOT) to (Local Jurisdiction, Tribal Government or ADOT)

The purpose of this Memorandum of Intent is to initiate document discussions regarding the potential route transfer of (description of street segment, or highway including major cross streets and mileposts if applicable) from ----- (Local Jurisdiction, Tribal Government or ADOT) to ----- (Local Jurisdiction, Tribal Government or ADOT).

The route transfer is being considered for the following reasons:

- The function of the road is more consistent with a (local, state, or tribal) road because--------.
- The transfer of this road will support economic development because-----.
- The road segment will be improved by the following projects: ------- prior to the transfer.
- (Local Jurisdiction, Tribal Government or ADOT) will be able to reduce its maintenance budget.
- (Local Jurisdiction, Tribal Government or ADOT) will accept this route transfer without reservation.
- (Local Jurisdiction, Tribal Government or ADOT) has the resources to maintain this road segment.

ADOT and ____ (Local Jurisdiction, Tribal Government or ADOT) have agreed to further consider route transfer and complete data collection and analysis required for an informed decision. The following is a list of roles and responsibilities during the route transfer evaluation process:

- Data collection will be completed by _____(Local Jurisdiction, Tribal Government or ADOT). Costs for data collection will be the responsibility of _____(Jurisdiction, Tribal Government or ADOT)
- Data analysis will be the responsibility of _____(Local Jurisdiction, Tribal Government or ADOT).
- Report development and documentation will be the responsibility of _____(Local Jurisdiction, Tribal Government or ADOT).
- Other discussion items

The terms as outlined in this Memorandum of Intent provide the framework for initiating route transfer negotiations. The desired time frame for completing the transfer is _____.

_____
Signatory #1 (ADOT)

_____
Signatory #2 (Local Jurisdiction or Tribal Government)

Enclosures – Map of Route segment to be considered for transfer

3.5 Preliminary Route Transfer Data Collection and Evaluation

The Memorandum of Intent launches a preliminary data collection and evaluation effort that is ultimately documented in a Route Transfer Report. The purpose of the preliminary route transfer evaluation is to provide an early assessment of whether or not both ADOT and the local or tribal government are better served through route transfer and to identify fatal flaws that may preclude further investigation and discussion of the route transfer.

Route transfer evaluation considerations are outlined in **Table 5**. A route that meets a preponderance of the criteria may be suitable for transfer.

Appendix B illustrates how the route transfer considerations can be applied to a roadway that is under consideration for route transfer. A spreadsheet was developed that includes each of the route transfer considerations listed in **Table 5.** The analyst answers each of the route transfer considerations with a "true" or a "false." "True/Green" statements are those for which the route transfer candidate is consistent with the considerations. "False/Red" statements indicate that the route transfer candidate is inconsistent with the stated considerations. "Neutral/Yellow" statements indicate that the consideration is either not applicable, or does not have a significant influence on the candidate corridor. Upon completion of the analysis, a preponderance of "True/Green" statements indicates that the corridor is largely consistent with the route transfer considerations.

3.6 Data Collection

To validate the preliminary route transfer evaluation and provide supporting justification to be included in a Route Transfer Report significant data collection may be required. A list of potential date needs is identified in **Table 6**.

Table 5 – Route Transfer Considerations

Category	Transfer Considerations	Considerations for Transfer to Local or Tribal Government	Considerations for Transfer to State Jurisdiction
Transfer Objective			
	What is the main objective or goal that is anticipated through completion of the proposed transfer?	A local or tribal government desires increased control of improvements, maintenance, access decisions, and financial responsibility.	ADOT desires to gain or maintain control and/or financial responsibility.
Right-of-Way			
	Does ADOT or the local or tribal government have full title rights to the candidate roadway?	Route transfer evaluation and negotiations require that all roadway owners (e.g. federal, state, tribal, easement) are participants in the process.	Route transfer evaluation and negotiations require that all roadway owners (e.g. federal, state, tribal, easement) are participants in the process.
Trip character			
Trip purpose	Does the road or highway serve statewide, regional, or local travel needs?	Route primarily serves local travel needs. Vehicle trips are primarily local in nature, for shopping, local business, and recreation.	Route primarily serves regional or statewide travel needs; vehicle trips are mostly regional or statewide in nature.
Multimodal transportation	Do alternate modes of travel (bicycles, pedestrians, public transit, and school buses) that primarily serve local trips, significantly impact the function of the roadway?	Trips made by local transit, bicycles, and pedestrians have a significant impact on the function of the route. This does not pertain to regionally-oriented transit such as Express Bus or other high-capacity transit.	Local transit, bicycles, and pedestrians do not have a significant impact on the function of the route. This does not pertain to regionally-oriented transit such as Express Bus or other high-capacity transit.
	Is there a desire by the local or tribal government for significant investment in multimodal facilities, such as sidewalks, shared use paths, crosswalks/pedestrian signals?	Significant multimodal infrastructure is needed to accommodate locally-oriented users of the roadway, including bicyclists, pedestrians, and transit users.	There is not a desire or need for significant locally-oriented multimodal infrastructure.
	Does the route connect to regional multimodal facilities, such as airports or rail stations?	Route does not connect to significant regional multimodal facilities.	Route connects to significant regional multimodal transportation facilities.

Table 5 – Route Transfer Considerations (continued)

Category	Transfer Considerations	Considerations for Transfer to Local or Tribal Government	Considerations for Transfer to State Jurisdiction
Highway Function			
Continuity and Connectivity	Is the route needed for statewide or regional system connectivity?	Route is not needed to maintain regional continuity.	Route is needed to maintain regional continuity.
	Is this route a high-capacity connecting route needed to form an efficient network?	Route is not needed to maintain continuity in the State Highway System.	Route is needed to maintain continuity in the State Highway System.
	Does this route form a convenient or necessary link for connecting sections of state highways or for carrying state highways or state routes through cities or towns?	Route does not form a necessary link for carrying state highways through cities or towns.	Route forms a necessary link for carrying state highways through cities or towns.
	Does the route or route segment connect two interstate freeways?	Route does not connect two interstates.	Route connects two interstates.
	Does the route connect two state highways?	Route does not connect two state highways.	Route connects two or more state highways.
	Does the route connect a state highway to an interstate?	Route does not connect a state highway to an interstate.	Route connects a state highway to an interstate.
	Does the highway interconnect with those of other states?	Route does not connect to state highways in another state.	Route connects to state highways in another state.
	Does the route serve as a by-pass for interstate, regional, or local routes?	Route serves as an alternative bypass to local routes.	Route serves as an alternative bypass to regional and interstate routes.
	Does this route connect Arizona's population centers?	The route is not essential to connecting Arizona's population centers.	The route is essential to connecting Arizona's population centers.
	Is this route primarily designed to carry through traffic?	Route is designed primarily to serve local land uses.	Route is designed primarily to support through traffic.
State Highway System functionality	Is the route important to the functionality of the statewide highway system? Will the changes in maintenance, access management, or other standards resulting from a transfer negatively impact the function of other nearby state facilities?	Route is not critical to the functionality of the State Highway System.	Route is critical to the functionality of the State Highway System.
	Does the transfer of a segment affect the functionality of the whole highway? For example, will significant delay be caused for through traffic?	Transfer of route segment to local entity would not impair the functionality of the whole highway.	Transfer of route segment to local entity would impair the functionality of the whole highway.

Table 5 – Route Transfer Considerations (continued)

Category	Transfer Considerations	Considerations for Transfer to Local or Tribal Government	Considerations for Transfer to State Jurisdiction
State Highway System functionality (continued)	Does this route provide statewide and regional movement of people and goods?	Route primarily provides for local land access; provides minimal support for regional or statewide movement of people or goods.	Route primarily provides for the statewide movement of people and goods.
	Does this route provide statewide and regional movement of people and goods?	Route primarily provides for local land access; provides minimal support for regional or statewide movement of people or goods.	Route primarily provides for the statewide movement of people and goods.
Frontage roads	Is the route a frontage road to a major state facility that is needed to complement or be a detour for the mainline facility?	The frontage road primarily accommodates local access.	Frontage road serves emergency purposes, accommodates wide loads, and relieves congestion.
Parallel routes	Is the route a parallel route to a state highway? (identify actual distance from state route)	Route parallels and duplicates the function and purpose of the parallel state highway facility.	Route does not parallel or duplicate the function of another state highway; or if it does parallel or duplicate another state highway the route is essential to serve emergency purposes and to relieve congestion.
New or major reconstruction	Is the route affected by a new state highway that bypasses or duplicates the route?	• The route is now served by a new state highway that bypasses the city or town; the route is no longer needed as part of the state system. • The route changed as part of a highway realignment that left a portion of the old highway useful only for local access purposes.	The route is not served by a new state highway facility; the route is needed as part of the State Highway System.
Land Use			
Local land use plans	Do local or regional plans treat the highway as a local road favoring accessibility, or as a statewide or regional facility favoring mobility, as determined by highway classification and access management?	Local and regional plans treat the route as a local road favoring accessibility.	Local and regional plans treat the route as a statewide or regional facility favoring mobility, as evidenced by roadway classification and access management.

Table 5 – Route Transfer Considerations (continued)

Category	Transfer Considerations	Considerations for Transfer to Local or Tribal Government	Considerations for Transfer to State Jurisdiction
Local land use plans (continued)	Recognizing that land use decisions are made by local and tribal governments, should consolidation of government decisions for land use and access management decisions provide greater efficiency and community responsiveness?	Consolidation of government decisions for land use and access management decisions would provide greater efficiency, economic development potential, and community responsiveness.	Local and tribal agencies effectively collaborate with ADOT in making land use decisions which influence access management.
Access Management			
Driveways/access points	How does existing access management (number of driveways, access points, intersection geometrics, intersection spacing) affect mobility, capacity, and safety?	• Existing access points impact the integrity of the corridor. • Non-compliance for access (nor permitted or not in compliance to DOT standards / requirements) and local jurisdictions will not support actions to correct. • Past actions determined that the local agency and / or business community is not supportive of access management implementation.	Access management is sufficient.
Access management features	Does the route include access management features (medians, right in / right out, islands)?	Route includes minimal or no access management features.	Route is controlled or limited access, route includes significant access management.
Intersection/interchange access	Does the route cross an Interstate or state highway where state ownership of the highway is required to protect the access management of the interchange, off-ramp or highway?	Route segment does not cross an interstate or state highway where ownership is required to protect access management.	Route segment crosses an interstate or state highway where ownership is required to protect access management.
Frontage road	Is the frontage road being considered for transfer needed to support the limited access of an interstate, freeway, interchange, or potential freeway?	The route is a frontage road that is intended primarily for local access; route is not needed to support limited access.	The route is a frontage road that is needed to support a limited access state highway.

Table 5 – Route Transfer Considerations (continued)

Category	Transfer Considerations	Considerations for Transfer to Local or Tribal Government	Considerations for Transfer to State Jurisdiction
Future Needs			
Plans	Does a Regional Plan or planning study say that the route will be needed on the state system to accommodate population growth or a change in the economy?	Route will not be needed on the State Highway System to accommodate future growth.	Route will be needed on the State Highway System to accommodate future growth.
Jurisdictional Interest			
Local or Tribal Government Interest	Has a local or tribal government expressed interested in assuming ownership of the route?	A local or tribal government has expressed interest in assuming ownership of the route.	The state has expressed interest to maintain or assume control of the route.
Service Expectations	Is there a desire by local government for a different standard of service (e.g. permit accesses, maintenance)?	There is a desire by a local or tribal government for a different standard of service, which state ownership is not prepared to provide.	State ownership is able to provide the standard of service desired by local or tribal jurisdictions.
Other Non-Statewide Routes			
State and National points of interest	Does this route meet criteria for "non-statewide routes" serving points of state and national or international interest?	The route does not serve as a primary route to federal public lands and destinations.	The route serves as a primary route to federal public lands and destinations.
Special designations	Does this route meet criteria for "other major facilities" including: • Rural routes with more than 5,000 ADT. • Connecting rural National Highway System (NHS) routes with more than 1,500 ADT. • Key freight routes (more than 1,000 articulated trucks per day). • A regional evacuation route. • Scenic Byway or Scenic Corridor. • Or others as identified.	Route does not have special designations.	Route has special designations as listed.

Table 5 – Route Transfer Considerations (continued)

Category	Transfer Considerations	Considerations for Transfer to Local or Tribal Government	Considerations for Transfer to State Jurisdiction
Maintenance and Operations			
State highway segmentation	Will the transfer result in a state highway being broken into segments owned by different jurisdictions?	Transfer will not result in state highway being broken into segments owned and operated by different jurisdictions.	Transfer will result in route being consolidated into segments owned and operated by the state.
Maintenance resources	Does the receiving agency have the ability to maintain and operate the roadway?	Local or tribal government has the resources to maintain and operate the roadway.	Local or tribal government does not have the resources to maintain and operate the roadway.
Maintenance requirements	Are maintenance requirements, materials and/or equipment more appropriate or efficient at the state or local level (signal power and maintenance, plowing, sanding/de-icing, other maintenance work)	Route maintenance requirements are more efficiently provided at the local or tribal level.	Route maintenance requirements are more efficiently provided by the state.

Table 6 – List of Route Transfer Potential Data Collection Needs

Category	Data Needs	Potential Data Sources
Goal of the Transfer	• Formal agreements: IGAs / JPAs • Informal agreements: Memorandum of Understanding (MOUs), Memoranda of Agreement (MOAs), Memoranda of Intent (MOIs) • Relevant state legislation or local policies	• District office, ADOT central office • Regional, local or tribal government/jurisdiction • Arizona Revised Statutes
Trip Character	• Average daily traffic volumes • Average trip lengths • Projected average daily traffic volumes • Percentage of through traffic • Percentage of truck traffic	• Traffic studies (origin-destination) • ADOT traffic volume databases • MPO / COG traffic data
Highway Function	• Connecting routes (interstates, other state highways) • Design exceptions • Design speed / posted speed • Right-of-way width and ownership • Permits and Encumbrances • Funding sources (was highway acquired with federal funds) • Typical section of roadway (number and width of travel lanes, shoulders, and turn lane(s)	• ADOT materials reports for specified projects • As-builts • Crash reports (ADOT MPD, local police / tribal police) • ROW plans • Speed studies • State Highway System maps • Permits • Records of encumbrances
Land Use	• Land uses • Pending and planned developments	• Land use plan of affected jurisdiction • Pending development plans (local agencies / tribal governments, economic development offices)
Access Management	• Access management features (medians, right in / right out, islands, etc.) • Existing permits, encumbrances and agreements, access spacing, intersection geometrics / type of intersection control • Number of permitted driveways / number of non-permitted driveways • Pedestrian crosswalks	• Accident report(s) based on locations of each driveway / access point • District permit inventory listing • Intersection analysis; ownership of intersecting roads, who maintains JPAs / Intergovernmental Agreements (IGAs) for intersection control maintenance (signals / roadway lighting) •

Table 6 – List of Route Transfer Potential Data Collection Needs (continued)

Category	Data Needs	Potential Data Sources
Future Needs	• Future planned projects • Future projects programmed • History of projects planned (not programmed) and programmed (funded) projects within the route	• Asset management report, Dollar value for the route • Local / state / private planned projects in and around route • Local / state / private programmed projects in and around the route • Regional Transportation Plans
Other non-statewide routes	• Access to federal lands • Right-of-way ownership • Special use / considerations ((Home Owners Association (HOA), adopted landscaping, grazing, etc.)	• Mandatory or restricted access to federal lands / properties • Underlying fee (mineral rights, federal land easements, etc.)
Maintenance and Operations	• Bridge and roadway weight limit postings and restrictions and studies • Americans with Disabilities Act (ADA) compliance • Adopted highway (litter pickup or sponsored) • Construction plans • Cultural properties / sensitive properties • Drainage • Flooding / wetlands • Hazardous – contaminated sites • Historical properties (state / national register) • History overview of route life cycle • IGAs / MOUs in place for maintenance / operations • Intersection control / equipment • Landscaping and roadside features • Lighting inventory • Maintenance agreements • Maintenance annual cost by feature (road, shoulder, signal(s), signs, etc.) • Outdoor advertising • Pavement type, thickness, and condition • Railroad crossings • Signing inventory • Storm water management (ponds, BMPs) • Utility information • Emergency response incidents	• ADOT ADA inventory • ADOT sign inventory , type of signs / sign structures • As-Built plans • As-built plans identifying fence, guardrail, end treatments • IGAs (e.g., for emergency vehicle preemption) • IGAs / MOUs from District and Central offices • Local agency report on cost for their annual maintenance on route • PECOS report for route identifying the costs for manpower, materials and equipment • Responses to incidents on route (accident reports, maintenance reports / diaries) • Traffic engineering documentation

3.7 Route Transfer Report

If completion of prior steps indicates that the route transfer process should continue, the next step is to update the preliminary evaluation and requisite data and document the findings in a Route Transfer Report. The Route Transfer Report expands upon the preliminary evaluation described in **Section 3.5** to include current and future roadway development considerations, access, maintenance, drainage improvements and requirements, and anticipated costs. The Route Transfer Report is a reference tool that can be used both during and after the negotiation process.

Table 7 outlines a sample table of contents for the report. The Route Transfer Report should summarize considerations as identified in **Table 6**. The result of this analysis is a determination of whether criteria are met to consider some or all road responsibilities.

Table 7 – Table of Contents for Route Transfer Report

Route Transfer Report Table of Contents

1. Why is this Route Jurisdictional Transfer being requested?
2. What are the limits of the transfer request?
3. What are the characteristics of the roadway within those limits?
    a. Traffic volumes
    b. Functional classification
    c. Roadway cross-sections
    d. Speed limits
    e. Access control
    f. Right-of-way widths
    g. Property ownership
    h. Multimodal provisions
4. What are the current responsibilities?
    a. Jurisdiction
    b. State
5. What will be the result of the change in responsibilities?
    a. Description of roadway improvements that will be required prior to completion of route transfer.
    b. Description of how improvements will be funded.
6. What are costs and risks to this change in responsibilities?
    a. Typical annual maintenance costs
    b. Weather conditions that may increase average maintenance costs
    c. Status of pavement
    d. Benefit/cost analysis
7. Does this transfer request meet criteria for a change to the system?
8. Summary – Route Transfer Feasibility Evaluation

   Appendix – Map showing limits of Route Transfer

3.8 Initial Negotiations

The initial negotiations should result in an agreement regarding the issues that will be discussed and eventually resolved and included in the Intergovernmental Agreement for the route transfer. Issues in the negotiation can vary depending on the specific road to be transferred, and are discussed in Chapter 4. Types of issues include:

- Ownership of Rights-of-Way
- Access Control
- Existing Permits, Encumbrances, and Agreements
- Roadway Condition and Maintenance
- Roadway Improvements and Design Standards
- Rail Crossings
- Route Signage
- Traffic Signals and Lighting
- Landscaping
- Transfer Time Frames
- Post Transfer Agency Responsibilities
- Financial Considerations

If no agreement is reached on the issues to be negotiated, the route transfer process ends at this point.

3.9 Public Involvement

Public involvement activities should be left up to the participating agencies to determine on a case-by-case basis. Types of public involvement activities that can be conducted during the process include:

- Meeting individually with property owners on the route
- Public meetings / open houses
- State Transportation Board meetings
- Local government or tribal meetings
- Public hearings
- Press releases

3.10 Final Negotiations

Final negotiations will set the basis for the development of the Intergovernmental Agreement, which is the legal document that is used to accomplish the route transfer. The final negotiations will result in the terms of agreement for state, local jurisdiction, and tribal obligations, and will resolve the issues discussed in the initial negotiations. More description of issues in the negotiations is provided in Chapter 4.

3.11 Development of Intergovernmental Agreement (IGA)

The IGA will describe in detail the road to be transferred, and will include the road name, all route numbers, the mile points and descriptions (with the beginning and end points) and a location map. It will also include a detailed description of responsibilities for the right-of-way, appurtenances, easements, crossings, traffic monitoring sites, and other items or agreements related to the transferred road. A sample IGA is provided in **Appendix C.**

Details of issues for discussion and possible inclusion in the IGA are provided in **Chapter 4**.

4 Issues in the Negotiations

Every jurisdictional transfer, whether to or from ADOT, involves a unique set of issues that must be considered during the negotiation process. The purpose of this chapter is to identify and discuss some of the issues that may need to be considered. It should be kept in mind that a transfer might not involve transferring all jurisdictional responsibilities.

4.1 Ownership of the Rights-of-Way

The rights to ownership of the land that a road occupies can be complex. Sometimes the transportation agency owns the land outright through fee title and without encumbrances, but frequently that is not the case. There are situations where the road owner may not have any legal right or may have restricted rights to the property that the road occupies. Thorough research and understanding of the road land ownership are critical in the jurisdictional transfer process.

Road rights-of-way across state, federal, tribal, and even private lands, such as railroads, are often conveyed through easements or other instruments. The provisions of the rights-of-way conveyance instruments should be reviewed to determine the conditions, if any, under which the road owner can transfer road rights-of-way to another owner. Some instruments might even include a rights-of-way reversion clause to the underlying property owner for lack of compliance with any provisions in the original agreement. This could include restrictions on transferring ownership of the road.

Other rights-of-way related issues are discussed in the sections on Access Control and Existing Permits, Encumbrances and Agreements.

4.2 Access Control

Access control has significant implications for how a road functions and how adjacent properties are developed. Access control is a public asset that has value in the transfer negotiation process. Access control may be a purchased asset or it may be achieved through design criteria for roadway elements such as driveway spacing, raised medians, turn restrictions, or other similar control features.

Typically, roads with higher functional classification have higher levels of access control. Depending on the long-term operational intent for the road to be transferred, it may be in the best interest of the public for the transferring agency to retain responsibility for access control. For example, a road that is expected to continue to carry large traffic volumes at high speeds should retain a higher level of access control. Facilities that are expected to primarily provide property access and operate at lower speeds may require significantly less access control.

On the Interstate system, all access control changes require Federal Highway Administration (FHWA) approval (including all adjacent ramps and roadways where access control was purchased with federal funds). On non-interstate portions of the National Highway System (NHS), FHWA approval is also required when federal funds were used to acquire access control.

Responsibility for access control needs to be explicitly addressed in the route transfer agreements. The approach to access control will have some fundamental differences when the transfer is from State jurisdiction to local or tribal jurisdiction versus a transfer from local or tribal jurisdiction to the State.

For transfers from ADOT jurisdiction to local or tribal governments, ADOT should first determine if they are willing and able to relinquish responsibility for access control. If ADOT is willing and able to relinquish control, a value should be placed on this public asset and included in the financial considerations associated with the transfer agreement. If ADOT desires to retain responsibility for access control, adjacent property owners may have to purchase access rights from ADOT and obtain necessary access permits for any new points of access. Retention of access control could also be achieved by including language in the transfer agreement stating that the receiving jurisdiction cannot remove or in any way dilute existing access control provisions.

For transfers from local or tribal jurisdiction to ADOT, the transfer agreement should identify existing permitted and non-permitted access points. If current access controls are not sufficient to meet ADOT's anticipated operational and safety requirements, ADOT should consider requiring the development of an access management plan before the transfer takes place.

4.3 Existing Permits, Encumbrances, and Agreements

Permits are often issued by the roadway owner to provide access to the roadway or roadway rights-of-way. Additionally, permits from resource agencies, such as the U.S. Army Corps of Engineers and the Environmental Protection Agency (EPA) could put restrictions on how the road can be used or developed. Full disclosure of the permits associated with a road and the conditions specified in those permits should be elements in the transfer negotiation process.

Encumbrances on the rights-of-way, such as utility easements, might also be a negotiation issue for jurisdictional transfers. Accommodating utilities, particularly if they hold prior rights, could be costly and restrict the development of the road facility by a new road owner.

Any intergovernmental agreements impacting the development or use of the road should be disclosed and considered in negotiations for route transfer. In some cases, rights-of-way are purchased with funds from sources other than transportation, and there might be restrictions on how the land can be used.

4.4 Federal Interest

Acquisition of rights-of-ways which were reimbursed with Federal-aid Highway Program Funds have a federal interest which must be accounted for in any transfer of the route to another governmental agency or disposal action. In the situation of transferring the route to another governmental agency the provisions of Title 23 Code of Federal Regulation (CFR) 710 Subpart D (disposal actions) and 23 CFR 620 (continued highway use) would still apply. This federal interest would be accounted for in the situation where a local agency desires to dispose of rights-of-way with a federal interest. This interest must be applied back to federally eligible Title 23 projects and not to their general fund. Once the property is disposed of and funds applied back to another federally eligible project, the previous federal interest ends at that point.

4.5 Roadway Condition and Maintenance

The condition of the roadway and appurtenances has a direct relationship to the amount and cost of maintenance for the facility, which is obviously an important negotiating consideration in any jurisdictional transfer. The age of the roadway and structures are important, even if in good condition. Also critical is how well the facility works. For example, do the culverts work well—can they handle expected flows and are they self-cleaning? Sub-grade conditions, resistance of structure foundations to scour, condition of guardrail, and resistance of slopes to erosion are other examples of roadway conditions that should be considered in negotiating jurisdictional transfers.

An inspection of the facility by maintenance personnel should be made prior to a jurisdictional transfer, and a report of inspection findings made. It is recommended that an estimated annualized maintenance cost be included in the report.

4.6 Roadway Improvements and Design Standards

Design standards are typically dictated by a road's functional classification, location, amount and character of traffic, and federal highway system designation. A determination of appropriate design standards and improvements and cost necessary to bring the road up to standards should be made in conjunction with the jurisdictional transfer process.

Traffic safety should be a major consideration in assessing road improvements to be made in conjunction with a jurisdictional transfer. A transfer of responsibilities should not leave the accepting jurisdiction in a position of significant liability. A review of motor vehicle crash records should be made and consideration should be given to making safety improvements at high crash or serious injury/fatal locations prior to transfer.

4.7 Rail Crossings

Rail crossings, whether at-grade or separated, will generally involve agreements between the railroad and road owner. These agreements specify the rights of each party to the rights-of-way and responsibilities for and terms of construction and maintenance (C&M) work. Insurance will be required for any work within the railroad right-of-way, and the railroad will normally require advance notice and separate permits for work within its right-of-way, particularly if not covered in the C&M agreement. In addition to these construction and maintenance agreements, separate licenses for utility and other types of railroad right-of-way crossings are usually required.

The terms and transferability of existing railroad agreements and licenses should be a consideration for any jurisdiction considering accepting responsibilities for a road with railroad crossings. A meeting should be held with the railroad(s) and parties to the jurisdictional transfer to determine the conditions for transferring the agreements and licenses. If the existing agreements and licenses are not transferable, the owning jurisdiction might have to retain responsibility for the crossings, or the accepting jurisdiction should have some assurance from the railroad(s) regarding the terms of new agreements and licenses before accepting the transfer.

4.8 Route Signage

Route signage and continuity is particularly important for motorists unfamiliar with an area. It is also important for mapping. Although mapping through GIS companies is updated on a frequent basis, hard copy map updating is less frequent.

Retaining existing route signage for some period of time should be a consideration in any jurisdictional transfer. For jurisdictional transfers from the State Highway System to local governments that would result in breaking state highway continuity, consideration should be given to retaining state highway signing for an extended period of time. The terms of a jurisdictional transfer should also address tort liability issues associated with retaining existing route signing after the transfer.

4.9 Traffic Signals and Lighting

Maintenance and operational responsibilities for traffic signals, lighting, and pedestrian facilities vary among and even along specific state highways. Jurisdictional transfers might in some cases be limited to these facilities exclusively.

In situations where the transfer involves the roadway itself, expectations and decision making responsibilities regarding traffic signal, lighting, pedestrian facilities features, operation, and maintenance should be thoroughly discussed, agreed to, and documented. Agreement is important on these issues to resolve philosophical issues. For example, ADOT might favor traffic signal progression to efficiently move traffic along a corridor. Conversely, a local agency might oppose signal progression to reduce speed in order to increase safety or attract attention to adjacent development. Reaching agreement on administering these features prior to jurisdictional transfer could reduce the likelihood of disagreements arising after the transfer.

4.10 Landscaping

Local jurisdictions and ADOT might have differences in opinion on roadway landscaping because of theme, cost of installation, maintenance costs, and safety considerations. For example, as a safety measure, ADOT does not want trees that will achieve a diameter in excess of four inches planted in the clear zone. These issues should be included in the jurisdictional transfer negotiations. A clear understanding should be achieved and documented on landscaping principles, responsibilities, and decision-making as part of the jurisdictional transfer agreement.

4.11 Transfer Time Frames

Time frames for route transfers can vary greatly depending on the nature of the transfer, the extent of necessary research and data collection, complexity of transfer agreements, and investments that may be required in advance of executing the transfer. While there may be pressure to accelerate the transfer process, it should be kept in mind that route transfers are a relatively permanent transaction that need to be supported by all parties to the agreement and to be sustainable over the long term.

One of the most important considerations with respect to time frames is to establish realistic expectations early in the transfer process and clearly communicate these expectations to all parties to the transfer. Time frame goals with intermediate milestones should be identified in

the Memorandum of Intent to document expectations and provide an impetus for keeping the process moving forward. Some typical milestones and general time frame ranges could include the following:

- Draft and execute Memorandum of Intent – 2-3 months
- Collect data and prepare route transfer report – 3-6 months
- Negotiate cost responsibilities – 3-6 months
- Draft and execute agreements – 3-6 months
- Transfer funds or implement improvements – 3 – 12 months
- Execute final transfer – 1-2 months

4.12 Post Transfer Agency Responsibilities

After a route transfer is executed, it important that all parties to the agreement continue to communicate with each other to ensure that the transfer is carried out as intended. There are likely to be significant changes in jurisdictional responsibilities and there may be some "learning curves" associated with these new responsibilities. Ideally, the transition will be seamless and invisible to the general public.

The most critical post-transfer responsibilities are those associated with safety, such as signal operations, signing, striping, lighting, emergency response, and law enforcement. Other post-transfer responsibilities will include items such as roadway and landscape maintenance, utility payments, capital improvements, access permitting, and completing the legal and administrative aspects of the transfer. These post transfer responsibilities should be clearly delineated in the transfer agreements and follow-up meetings should be conducted periodically with all participating agencies to assess performance and address any unanticipated consequences of the transfer.

4.13 Financial Considerations

Financial considerations are frequently the driving force in initiating route transfer discussions and negotiations. Typically, the transferring agency is looking for a way to reduce its current and future financial obligations while the accepting agency is looking for a way to generate or reallocate revenues that will needed to finance their newly acquired responsibilities.

One of the basic financial analysis tools is the benefit/cost approach. This analysis requires quantification of the benefits and costs associated with the transfer. Benefits and costs may include such as:

- Right-of-way value
- Improvements / equipment value
- Access control value
- Revenue streams and anticipated grants
- Required capital investments
- Required maintenance and operating costs
- Law enforcement and liability costs

For those elements that can be quantified, benefits and costs should be estimated for a given time frame, typically 20 years, using assumed inflation and discount rates to calculate the present value of all benefits and costs. In an ideal transfer, the benefits to each party to the transfer would be greater than their respective costs.

In addition to these benefits and costs, there are also a number of considerations that are more intangible or difficult to quantify. For example, a local agency may realize benefits associated with local control of the roadway such as enhancing economic development potential for adjacent properties and generating additional property and sales taxes. In addition, local control may allow for temporary road closures for special events, enhanced aesthetic treatments, and/or higher levels of maintenance that all benefit the community.

Once the decision is made to proceed with a route transfer, it is incumbent on the accepting agency to budget adequate funds to maintain and operate the roadway in a safe and efficient manner. The motoring public should not experience a decline in service or performance levels.

5 Summary

The route transfer process can be a complex and time consuming effort, requiring a strong commitment from the participating agencies to keep the process moving forward. Each transfer will have its own unique characteristics and circumstances that will require tailoring the process to the specific transfer candidate. The end result should be a transfer that meets the goals and objectives of all parties to the transfer agreement and provides decision making regarding the road at the appropriate level of government.

Route transfer considerations and requirements may change over time and periodic updates to this handbook may be required. The most recent version of the handbook will be available on the ADOT website.

APPENDIX A – Arizona Revised Statues Relating to Route Transfers

Arizona Revised Statutes Excerpts

The following are excerpts of Arizona Revised Statutes that are applicable to route transfer.

Within the statues, "Director" denotes the ADOT Director and "Board" denotes the State Transportation Board.

A.1.1 State Highway and State Route Definition

Definitions for state highways and state routes are provided in **ARS 28-101**:

28-101. Definitions

50. "State highway" means a state route or portion of a state route that is accepted and designated by the board as a state highway and that is maintained by the state.

51. "State route" means a right-of-way whether actually used as a highway or not that is designated by the board as a location for the construction of a state highway.

State routes can be designated on existing local roads where no construction has occurred, or they can be planning routes where no road currently exists. Both of these are often referred to as paper routes. A paper route can be rescinded if no longer needed. A paper route is not subject to the same transfer or abandonment procedures, as no funds were expended on route improvements, maintenance, or operations.

A.1.2 Responsibility of the State Transportation Board to Designate a State Highway

Statute 28-304 section B defines the powers and duties of the board regarding establishing a State Highway System. A partial excerpt of this statute is provided as follows:

28-304. Powers and duties of the board; transportation facilities

B. With respect to highways, the board shall:

1. Establish a complete system of state highway routes.

2. Determine which state highway routes or portions of the routes are accepted into the State Highway System and which state highway routes to improve.

3. Establish, open, relocate or alter a portion of a state route or state highway.

4. Vacate or abandon a portion of a state route or state highway as prescribed in section 28-7209.

A.1.3 Intergovernmental Agreements (IGAs)

28-401. Intergovernmental agreements

B. The director shall enter into agreements on behalf of this state with political subdivisions or Indian tribes for the improvement or maintenance of state routes or for the joint improvement or maintenance of state routes.

A.1.4 State Highway Funds

28-6993. State highway fund; authorized uses

Except as provided in subsection B of this section and section 28-6538, the state highway fund shall be used for any of the following purposes in strict conformity with and subject to the budget as provided by this section and by sections 28-6997 through 28-7003:

3. To pay the cost of both:

(a) Engineering, construction, improvement, and maintenance of state highways and parts of highways forming state routes.

4. To pay land damages incurred by reason of establishing, opening, altering, relocating, widening, or abandoning portions of a state route or state highway.

A.1.5 Statutes Relating to Route Transfers from the Local Government to the State

In considering route transfer from a local jurisdiction to the state, Statute 28-7041 includes the requirement that a road must be recommended to the State Transportation Board by the ADOT Director to be designated a state highway, and (in item B) a state highway must first be designated as a state route.

Bold and italics were added to highlight areas that refer to the process for designating a state highway and the requirements for a state highway in A.R.S. 28-7041.

28-7041. State highways and routes defined

A. The state highways, to be known as state routes, consist of the highways declared before August 12, 1927 to be state highways, under authority of law that the board, after receipt of a recommendation from the director, may add to, abandon, or change. If the board proceeds contrary to the recommendations of the director, it shall file a written report with the governor stating the reasons for the action.

B. The state highways consist of the parts of the state routes designated and accepted as state highways by the board. A highway that has not been designated as a state route shall not become a state highway and any portion of a state route shall not become a state highway until it has been specifically designated and accepted by the board as a state highway and ordered to be constructed and improved.

C. All highways, roads, or streets that have been constructed, laid out, opened, established, or maintained for 10 years or more by the state or an agency or political subdivision of the state before January 1, 1960 and that have been used continuously by the public as thoroughfares for free travel and passage for 10 years or more are declared public highways, regardless of an error, defect, or omission in the proceeding or failure to act to establish those highways, roads, or streets or in recording the proceedings.

A.1.6 Process of Designating a State Highway

The process of converting a state route to a state highway is further defined in Statute 28-7043. Statute 28-7043 provides for noticing requirements for the affected county to participate in the board meeting and have their opinion heard regarding the conversion of a state route to a state

highway. The statute also states that a state route should not be designated as a state highway until monies for its improvement are provided in the budget of the department.

28-7043. Designation of state route as state highway

A. At least two weeks before the designation and acceptance by the transportation board of a state route or portion of a state route as a state highway, the transportation board shall give notice to the board of supervisors of the county in which the proposed highway is located of the intention of the transportation board to consider the designation.

B. The board of supervisors may:

1. Appear before the transportation board and be heard on the proposal.
2. Petition the transportation board to take over and designate a state route as a state highway.

C. Until designated and accepted as state highways, all state routes are county highways and shall be constructed, improved, and maintained as county highways, except as otherwise provided in this title.

D. A part of a state route shall not be taken over or designated as a state highway until monies for its improvement are provided in the budget of the department. If part of a state route is designated and accepted by the transportation board as a state highway, the department shall maintain the highway.

ARS 28-7046 states that the director must deliver a written report to the board to establish a state highway, and that the Superior Court may review the action of the board.

28-7046. Opening, altering, or vacating highway; review of order

A. If the director or the board desires to establish, open, relocate, alter, vacate, or abandon a state highway or a portion of a state highway, the director shall make and deliver a written report to the board describing the highway or portion of the highway to be affected. If the board decides that the public convenience will be served, it shall enter a resolution on its minutes approving the proposed action and authorizing the director to proceed and to acquire any property for the action by condemnation or otherwise.

B. The superior court may review by certiorari the action of the board establishing, opening, relocating, altering, vacating, or abandoning state highways.

A.R.S. 28-7049 states that segments of local streets may be designated as state highways if they establish connectivity to or between state routes.

28-7049. Classification of streets that connect highways and routes

A. If the streets of an incorporated city or town form necessary or convenient links for the connection of sections of state highways or state routes, or for carrying the state highways or state routes through the city or town, the director and the governing body of the city or town, in the case of state highways, or the board of supervisors and the governing body of the city or town, in the case of state routes, may agree that the streets are deemed state highways or county highways, respectively.

B. The agreement shall provide for maintenance of the streets classified pursuant to this section.

A.1.6 Statutes Relating to Route Transfers from the State to a Local Government

A.R.S. 28-7207 and A.R.S. 28-7209 describe respectively, procedures and requirements when a state highway is transferred to a local government.

28-7207. State roadway abandoned

If a roadway is a state roadway, the governing body may resolve that this state's interest in the roadway or portion of the roadway be abandoned. On abandonment:

3. This state's interest in the part of the roadway that is located outside the boundaries of incorporated cities or towns vests in the county where the roadway is located.
4. This state's interest in the part of the roadway that is located within the boundaries of an incorporated city or town vests in that city or town.
5. The director shall promptly notify the city, town or county affected by the abandonment, and that county, city, or town may maintain the roadway as other county, city, or town roadways are maintained or dispose of it as provided in this article.

28-7209. Vacated or abandoned highway; affected jurisdiction; procedure

A. If the board vacates or abandons a portion of a state route or state highway pursuant to section 28-304, the board shall:

1. Vacate or abandon the portion of the route or highway in cooperation with an affected jurisdiction and in full recognition of the financial and administrative impacts of the changes on the affected jurisdiction.
2. Provide four years' advance notice to the affected jurisdiction, except as provided in paragraph 3 and except that, by mutual agreement, the board and the affected jurisdiction may waive this requirement for notification.
3. Provide at least 120 days' advance notice to the affected jurisdiction for the abandonment of new street improvements such as cul-de-sacs and reconnections of existing streets resulting from highway projects.

B. Before a paved highway is vacated or abandoned, the pavement before the vacating or abandonment shall be in such a condition that additional surface treatment and major maintenance of the highway are not required for at least five years, unless the board and the affected jurisdiction agree to waive the requirement of this subsection.

28-7210. Reservation of easements

Rights-of-way or easements for the following continue as they existed before the disposal or abandonment of the rights-of-way or easements:

1. Existing sewer, gas, water, or similar pipelines and appurtenances.
2. Canals, laterals, or ditches and appurtenances.

3. Electric, telephone, and similar lines and appurtenances.

28-7213. Resolution; effective date

A governing body's resolution that disposes of a roadway or a portion of a roadway or that applies the roadway to another public use shall:

1. Describe the roadway and its disposition or use.
2. Take effect when it is recorded in the office of the county recorder of the county in which the roadway is located.

APPENDIX B – Sample Evaluation Spreadsheet

SAMPLE EVALUATION FOR TRANSFER TO STATE JURISDICTION

Route: Sample Highway
Location: Sample City
Segment Limits: Sample MP 0 to Sample MP 10

Yellow = Neutral or Not Applicable

Criteria Category	Transfer Considerations	Criteria for Transfer to State Jurisdiction	
Goal of the Transfer			
Transfer objective	What is the main objective or goal that is anticipated through completion of the proposed transfer?	ADOT desires to gain or maintain control and/or financial responsibility.	TRUE
Right-of-Way			
	Does ADOT or the local or tribal agency have full title rights to the candidate roadway?	Route transfer evaluation and negotiations require that all roadway owners (e.g. federal, state, tribal, easement) are participants in the process.	TRUE
Trip character			
Trip purpose	Does the road or highway serve statewide, regional, or local travel needs?	Route primarily serves regional or statewide travel needs; vehicle trips are mostly regional or statewide in nature.	NEUTRAL
Multimodal transportation	Do alternate modes of travel (bicycles, pedestrians, crosswalks, local public transit, and school buses) that are primarily local in nature significantly or detrimentally impact the function of the roadway?	Local transit, bicycles, and pedestrians do not have a significant impact on the vehicular capacity of the route.	FALSE
	Is there a desire by the local or tribal agency for significant investment in locally-oriented multimodal facilities such as sidewalks, shared use paths, crosswalks/pedestrian signals?	There is not a desire or need for significant locally-oriented multimodal infrastructure.	FALSE
	Does the route connect to regional multimodal facilities such as airports or rail stations?	Route connects to regional multimodal transportation facilities such as airports	TRUE
Highway Function			
Continuity and Connectivity	Is the route needed for statewide or regional system connectivity?	Route is needed to maintain regional continuity.	TRUE
	Is this route a high capacity connecting route needed to form an efficient network?	Route is needed to maintain continuity in the state highway system.	TRUE
	Does this route form a convenient or necessary link for connecting sections of state highways or for carrying state highways or state routes through cities or towns?	Route forms a necessary link for carrying state highways through cities or towns.	TRUE
	Does the route or route segment connect two interstate freeways?	Route connects two interstates.	FALSE
	Does the route connect two state highways or a state highway to an interstate?	Route connects two or more state highways.	TRUE
	Does the highway interconnect with those of other states?	Route connects to state highways in another state.	FALSE
	Does the route serve as a by-pass for interstate, regional, or local routes?	Route serves as an alternative bypass to regional and interstate routes.	NEUTRAL
	Does this route connect Arizona's population centers?	The route is essential to connecting Arizona's population centers.	TRUE
	Is this route primarily designed to carry through traffic?	Route is designed primarily to support through traffic.	TRUE
State highway system functionality	Is the route important to the functionality of the statewide highway system?	Route is critical to the functionality of the state highway system.	TRUE
	Will the changes in maintenance, access management or other standards resulting from a transfer negatively impact the function of other nearby state facilities?		
	Does the transfer of a segment affect the functionality of the whole highway? For example, will significant delay be caused for through traffic?	Transfer of route segment to local entity would impair the functionality of the whole highway.	NEUTRAL
	Does this route provide statewide and regional movement of people and goods?	Route primarily provides for the statewide movement of people and goods.	TRUE
Frontage roads	Is the route a frontage road to a major state facility that is needed to complement the mainline facility?	Frontage road serves emergency purposes, accommodates wide loads, and relieves congestion.	NEUTRAL
Parallel routes	Is the route a parallel route to a state highway?	Route is or is not parallel to another state highway, but is essential to serve emergency purposes and to relieve congestion.	NEUTRAL
New or major reconstruction	Is the route affected by a new state highway that bypasses or duplicates the route	The route is not served by a new state highway facility; the route is needed as part of the state highway system.	TRUE
Land Use			
Local land use plans	Do local or regional plans treat the highway as a local road favoring accessibility, or as a statewide facility favoring mobility, as determined by highway classification and access management?	Local and regional plans treat the route as a statewide facility favoring mobility, as evidenced by roadway classification and access management	TRUE
	Recognizing that land use decisions are made by local and tribal governments, should consolidation of government decisions for land use and access management decisions provide greater efficiency, economic development potential, and community responsiveness?	Local and tribal agencies effectively collaborate with ADOT in making land use decisions which influence access management.	TRUE

Route: Sample Highway
Location: Sample City
Segment Limits: Sample MP 0 to Sample MP 10

Yellow = Neutral or Not Applicable

Criteria Category	Transfer Considerations	Criteria for Transfer to State Jurisdiction	
Access Management			
Driveways/access points	How does existing access management (number of driveways, access points, intersection geometrics, intersection spacing) affect mobility, capacity, and safety?	Access management is sufficient	FALSE
Access management features	Does the route include access management features (medians, right in / right out, islands	Route is controlled or limited access, route includes significant access management	TRUE
Intersection/interchange access	Does the route cross an Interstate or state highway where state ownership of the highway is required to protect the access management of the interchange, off-ramp or highway?	Route segment crosses an interstate or state highway where ownership is required to protect access management.	TRUE
Frontage road	Is the frontage road being considered for transfer needed to support the limited access of an interstate, freeway, interchange, or potential freeway?	The route is a frontage road that is needed to support a limited access state highway.	NEUTRAL
Future Needs			
Plans	Does a Regional Plan or planning study say that the route will be needed on the state system to accommodate population growth or a change in the economy?	Route will be needed on the state highway system to accommodate future growth.	TRUE
Jurisdictional Interest			
Local or Tribal Jurisdiction Interest	Has a local or tribal agency expressed interested in assuming ownership of the route?	The state has expressed interest to maintain or assume control of the route	TRUE
Level of Service	Is there a desire by local government for a different level of service (e.g. permit accesses, maintenance, higher standards or service)?	State ownership is able to provide the level of service desired by local or tribal jurisdictions.	TRUE
Other non-statewide routes			
State and National points of interest	Does this route meet criteria for "non-statewide routes" serving points of state and national interest?	The route serves as a primary route to federal public lands and destinations.	NEUTRAL
Special designations	Does this route meet criteria for "other major facilities" including:	Route has special designations as listed.	FALSE
	• Rural routes with more than 5,000 ADT		
	• Connecting rural National Highway System (NHS) routes with more than 1,500 ADT		
	• Key freight routes (more than 1,000 articulated trucks per day)		
	• A regional evacuation route		
	Scenic byway or Scenic Corridor		
	Others as identified		
Maintenance and Operations			
State highway segmentation	Will the transfer result in a state highway being broken into segments owned by different jurisdictions?	Transfer will result in route being consolidated into segments owned and operated by the State.	TRUE
Maintenance resources	Does the receiving agency have the ability to maintain and operate the roadway?	Local or tribal agency does not have the resources to maintain and operate the roadway.	TRUE
Maintenance requirements	Are maintenance requirements, materials and/or equipment more appropriate or efficient at the local level (signal power and maintenance, plowing, sanding/de-icing, other maintenance work)	Route maintenance requirements are more efficiently provided by the state.	TRUE

SAMPLE EVALUATION FOR TRANSFER TO LOCAL JURISDICTION

Route: Sample Highway
Location: Sample City
Segment Limits: Sample MP 0 to Sample MP 10

Yellow = Neutral or Not Applicable

Criteria Category	Transfer Considerations	Criteria for Transfer to Local Jurisdiction	
Goal of the Transfer			
Transfer objective	What is the main objective or goal that is anticipated through completion of the proposed transfer?	A local or tribal agency desires increased control of improvements, maintenance, access decisions, and financial responsibility.	TRUE
Right-of-Way			
	Does ADOT or the local or tribal agency have full title rights to the candidate roadway?	Route transfer evaluation and negotiations require that all roadway owners (e.g. federal, state, tribal, easement) are participants in the process.	TRUE
Trip character			
Trip purpose	Does the road or highway serve statewide, regional, or local travel needs?	Route primarily serves local travel needs. Vehicles trips are primarily local in nature, for shopping, local business, and recreation.	NEUTRAL
Multimodal transportation	Do alternate modes of travel (bicycles, pedestrians, crosswalks, local public transit, and school buses) significantly or detrimentally impact the function of the roadway?	Local transit, bicycles, and pedestrians do not have a significant impact on the vehicular capacity of the route.	TRUE
	Is there a desire by the local or tribal agency for significant investment in locally-oriented multimodal facilities such as sidewalks, shared use paths, crosswalks/pedestrian signals?	Significant locally-oriented multimodal infrastructure is needed to accommodate frequent users of the roadway, including bicyclists, pedestrians, and transit users.	TRUE
	Does the route connect to regional multimodal facilities such as airports or rail stations?	Route does not connect to regional multimodal facilities.	TRUE
Highway Function			
Continuity and Connectivity	Is the route needed for statewide or regional system connectivity?	Route is not needed to maintain regional continuity.	TRUE
	Is this route a high capacity connecting route needed to form an efficient network?	Route is not needed to maintain continuity in the state highway system.	TRUE
	Does this route form a convenient or necessary link for connecting sections of state highways or for carrying state highways or state routes through cities or towns?	Route does not form a necessary link for carrying state highways through cities or towns.	TRUE
	Does the route or route segment connect two interstate freeways?	Route does not connect two interstates.	TRUE
	Does the route connect to two state highways?	Route does not connect two state highways.	TRUE
	Does the highway interconnect with those of other states?	Route does not connect to state highways in another state.	TRUE
	Does the route serve as a by-pass for interstate, regional, or local routes?	Route serves as an alternative bypass to local routes	NEUTRAL
	Does this route connect Arizona's population centers?	The route is not essential to connecting Arizona's population centers.	TRUE
	Is this route primarily designed to carry through traffic?	Route is designed primarily to serve local land uses	FALSE
State highway system functionality	Is the route important to the functionality of the statewide highway system?	Route is not critical to the functionality of the state highway system.	TRUE
	Will the changes in maintenance, access management or other standards resulting from a transfer negatively impact the function of other nearby state facilities?		
	Does the transfer of a segment affect the functionality of the whole highway? For example, will significant delay be caused for through traffic?	Transfer of route segment to local entity would not impair the functionality of the whole highway.	TRUE
	Does this route provide statewide and regional movement of people and goods?	Route primarily provides for local land access; provides minimal support for regional or statewide movement of people or goods.	TRUE
Frontage roads	Is the route a frontage road to a major state facility that is needed to complement the mainline facility?	The frontage road primarily accommodates local access.	NEUTRAL
Parallel routes	Is the route a parallel route to a state highway?	Route parallels and duplicates the function and purpose of a parallel state highway facility.	TRUE
New or major reconstruction	Is the route affected by a new state highway that bypasses or duplicates the route	• The route is now served by a new state highway that bypasses the city or town; the route is no longer needed as part of the state system	TRUE
		• The route changed as part of a highway realignment that left a portion of the old highway useful only for local access purposes.	

Route: Sample Highway
Location: Sample City
Segment Limits: Sample MP 0 to Sample MP 10

Yellow = Neutral or Not Applicable

Criteria Category	Transfer Considerations	Criteria for Transfer to Local Jurisdiction	
Land Use			
Local land use plans	Do local or regional plans treat the highway as a local road favoring accessibility, or as a statewide facility favoring mobility, as determined by highway classification and access management?	Local and regional plans treat the route as a local road favoring accessibility.	TRUE
	Recognizing that land use decisions are made by local and tribal governments, should consolidation of government decisions for land use and access management decisions provide greater efficiency, economic development potential, and community responsiveness?	Consolidation of government decisions for land use and access management decisions would provide greater efficiency and community responsiveness.	TRUE
Access Management			
Driveways/access points	How does existing access management (number of driveways, access points, intersection geometrics, intersection spacing) affect mobility, capacity, and safety?	• Existing access points impact the integrity of the corridor • Non-compliance for access (nor permitted or not in compliance to DOT standards / requirements) and local jurisdictions will not support actions to correct • Past actions determined that the local agency and / or business community is not supportive of access management implementation	TRUE
Access management features	Does the route include access management features (medians, right in / right out, islands	Route includes minimal or no access management features	FALSE
Intersection/interchange access	Does the route cross an Interstate or state highway where state ownership of the highway is required to protect the access management of the interchange, off-ramp or highway?	Route segment does not cross an interstate or state highway where ownership is required to protect access management.	FALSE
Frontage road	Is the frontage road being considered for transfer needed to support the limited access of an interstate, freeway, interchange, or potential freeway?	The route is a frontage road that is intended primarily for local access; route is not needed to support limited access	NEUTRAL
Future Needs			
Plans	Does a Regional Plan or planning study say that the route will be needed on the state system to accommodate population growth or a change in the economy?	Route will not be needed on the state highway system to accommodate future growth.	FALSE
Jurisdictional Interest			
Local or Tribal Jurisdiction Interest	Has a local or tribal agency expressed interested in assuming ownership of the route?	A local or tribal agency has expressed interest in assuming ownership of the route.	TRUE
Level of Service	Is there a desire by local government for a different level of service (e.g. permit accesses, maintenance, higher standards or service)?	There is a desire by a local or tribal agency for a different level of service, which state ownership is not prepared to provide.	TRUE
Other non-statewide routes			
State and National points of interest	Does this route meet criteria for "non-statewide routes" serving points of state and national interest?	The route does not serve as a primary route to federal public lands and destinations.	TRUE
Special designations	Does this route meet criteria for "other major facilities" including: • Rural routes with more than 5,000 ADT • Connecting rural National Highway System (NHS) routes with more than 1,500 ADT • Key freight routes (more than 1,000 articulated trucks per day) • A regional evacuation route · Scenic Byway or Scenic Corridor Others as identified	Route does not have special designations.	TRUE
Maintenance and Operations			
State highway segmentation	Will the transfer result in a state highway being broken into segments owned by different jurisdictions?	Transfer will not result in state highway being broken into segments owned and operated by different jurisdictions.	TRUE
Maintenance resources	Does the receiving agency have the ability to maintain and operate the roadway?	Local or tribal agency has the resources to maintain and operate the roadway.	TRUE
Maintenance requirements	Are maintenance requirements, materials and/or equipment more appropriate or efficient at the local level (signal power and maintenance, plowing, sanding/de-icing, other maintenance work)	Route maintenance requirements are more efficiently provided at the local or tribal level.	FALSE

APPENDIX C – Sample Intergovernmental Agreement

400.03

A. G. Contract No. KR99 0117TRN
ADOT ECS File No. JPA 99-03
TRACS No. H5078 01C
Section: SR-89A

INTERGOVERNMENTAL AGREEMENT
BETWEEN
THE STATE OF ARIZONA
AND
YAVAPAI COUNTY, ARIZONA

THIS AGREEMENT is entered into 17 FEBRUARY, 2000, pursuant to Arizona Revised States, Sections 11-951 through 11-954, as amended, between the STATE OF ARIZONA, acting by and through its DEPARTMENT OF TRANSPORTATION (the "State") and YAVAPAI COUNTY, ARIZONA, acting by and through its BOARD OF SUPERVISORS (the "County").

I. RECITALS

1. The State is empowered by Arizona Revised Statues Section 28-401 to enter into this agreement and has by resolution, a copy of which is attached hereto and made a part hereof, resolved to enter into this agreement and has delegated to the undersigned the authority to execute this agreement on behalf of the state.

2. The County is empowered by Arizona Revised Statutes Section 11-251 to enter into this agreement and has by resolution, a copy of which is attached hereto and made a part hereof, resolved to enter into this agreement and has authorized the undersigned to execute this agreement on behalf of the County.

3. The State and the County desire to improve SR89A as an access controlled highway from its new intersection with US89 at milepost 319.2 easterly 8 miles to the easterly point of the future Lone Mesa interchange that will connect to the new County Fain Road. The road improvement project will be constructed in three phases in accordance with the maps marked Exhibit A & B, which is attached hereto and made a part thereof, as follows :

==========

NO. 23840
Filed with the Secretary of State
Date Filed: 02/17/2000
Betsey Bayless
Secretary of State
By Vicky V. Graenewald

A. PHASE 1 A new 3.5 mile controlled four lane section of SR89A, from US89 at approximately milepost 319.2 to approximately ¾ miles west of the intersection of Glassford Hill Road and SR89A. Transfer ownership and maintenance responsibility to the County of the old section of SR89A from the current intersection of US89 at milepost 319.2 and SR89A to Great Western Drive. The estimated cost of this phase is $28,915,000. The State's share is 74.2%, or $21,453,000, and the County's share is 25.8%, or $7,462,000. The State and County have these amounts budgeted for and available in FY 1999/00.

B. PHASE 2 Realign and construct the next 1.5 mile section of SR89A through the Glassford Hill intersection as a four-lane section. The estimated cost of this phase is $6,571,000. The State's share is 74.2%, or $4,875,000, and the County's share is 25.8%, or $1,696,000. The State and County shall have these amounts budgeted for and available in FY 2001/02.

C. PHASE 3 Realign and construct the next 3 mile section of SR89A as a four lane section through the future Robert Road T.I. and then to a two lane section to align with the new County Fain Road. The estimated cost of this phase is $11,014,000. The State's share is 74.2%, or $8,172,000, and the County's share is 25.8%, or $2,842,000. The State and County shall have these amounts budgeted for and available in FY 2002/03.

4. The estimated total cost of all three phases of this project is $46,500,000. The State's total share is 74.2%, or $34,500,000, and the County's total share is 25.8%, or $12,000,000. Any unused State or County funds from PHASE 1 or PHASE 2 may be used for PHASE 3 if necessary. Any shortage of funds will require a reevaluation of the design. There are no additional State funds available at this time. Change orders during construction will be charged 74.2% to the State and 25.8% to the County.

5. This project will include the construction of the Larry Caldwell T.I. overpass. All other intersections will be at-grade. The responsibility for funding future grade separate structures will be funded as follows: The State will fund Highway 89; Glassford Hill, Robert Road, and Lone Mesa T.I.'s. The County and other local sources will fund Side Road, Great Western, and Coyote T.I.'s, when warranted.

6. When the Fain Road/Lone Mesa T.I. is constructed, the State will relocate SR89A from its intersection with Coyote Road to a connection with Lone Mesa. The roadway of existing SR89A between Coyote Road and relocated SR89A will be abandoned by the State to the County for ownership and maintenance responsibility.

THEREFORE, in consideration of the mutual agreements expressed herein, it is agreements expressed herein, it is agreed as follows:

II. SCOPE OF WORK

1. The County will:

A. Be the lead agency for the scoping phase of the project (Phase 1,2,&3), and provide to the State standard design studies and environmental documents. Acquire all required right of way for the project (Phase 1,2 &3) including that needed for future T.I.'s with access prohibited except at identified T.I. locations. Right of way acquisition will start immediately after the design concept report is approved. The County will deed the right of way to the State. (Right of way costs will be split 74.2% to the State and 25.8% to the County. These costs are already estimated in the project costs.)

B. Be the lead agency for the PHASE 1 pre-construction phase (administration of the design). As lead agency provide to State standard design studies, plans, specifications and such other documents including all necessary permits, clearances, or approvals from any other impacted agencies, and services required for construction bidding and construction of PHASE 1 of the project.

C. Review the design documents and provide comments for Phase 2 and Phase 3 of the project. Through zoning, protect the corridor for the relocation of SR89A at the Fain Road/Lone Mesa connection until that relocation is constructed. Provide for any mitigation required in excess of that described in Phase 1. Incorporate or promptly resolve State review comments.

D. Be responsible for twenty-five and eight tenths percent (25.8%) of the costs of the entire project in an amount currently estimated at $12,000,000.

E. During construction, reimburse the State for the County share of construction costs within 30 days after receipt of an invoice, and be responsible for any contractor claims for extra compensation due to delays or whatever reason attributable to the County.

F. Upon completion of the project and upon approval and by resolution of the Board of Supervisors, accept jurisdiction and maintenance responsibility for the old section of SR89A between the intersection of the new SR89A and old SR89A, to the intersection with SR89. Provide interim maintenance to (old) SR-89A during construction of the (new) SR89A. Waive the four-year advance notification requirements of Arizona Revised Statute 28-7209.

G. Construct new Fain Road as a limited access two-lane highway that will align to the new Highway 89A alignment. Insure that Fain Road is completed on the same schedule as the Phase 3 89A project.

2. The State will:

A. Be the lead agency for the pre-construction phase for Phase 2 and Phase 3 of the project and also for the construction phase (construction administration) of the project. Review the design documents and provide comments for Phase 1 of the project.

B. Direct the Project Manager for Phase 3 to be on the County's Fain Road management team. Insure that Phase 3 is completed on the same schedule as the Fain Road construction.

C. Call for bids and award one or more construction contracts for the project. Administer same and make all payments to the contractor(s). Confer with the County on any project related contract modifications. Provide construction engineering for the project at no cost to the County. Be responsible for any contractor claims for extra compensation due to delays or whatever reason attributable to the State.

D. Be responsible for seventy-four and two tenths percent (74.2%) of the entire cost of the project in an amount currently estimated at $34,500,000.00. During construction, invoice the County for its share of the Project construction costs. ~~Take the cost of change orders, if any, from savings from other projects.~~ WGA 2/4 for 4 GD

E. Upon completion, approve and accept the Project as complete and designate the new controlled access roadway as SR89A. Be responsible for interim maintenance costs of (old) SR89A during construction of (new) SR89A. Upon approval by resolution of the State Transportation Board, abandon ownership jurisdiction and maintenance responsibility for the old section of SR89A between the intersection of the new SR89A and old SR89A.

F. When SR89A is relocated from its intersection with Coyote road to a connection with the Fain Road/Lone Mesa T.I., the State will abandon to the County for ownership and maintenance responsibility the roadway between Coyote Road and relocated SR89A.

G. ADOT's New SR89a maintenance responsibility will begin from the west right of way of US89, and include each intersection through to the Lone Mesa TI. At each of the intersections the responsibility extend to the curb returns.

III. MISCELLANEOUS PROVISIONS

1. This agreement shall remain in force and effect until completion of said project and abandonment; provided, however, that this agreement, except any provisions herein for maintenance, which shall be perpetual, may be cancelled at any time prior to the award of a project contract, upon thirty (30) days written notice to the other party

2. This agreement shall become effective upon filing with the Secretary of State.

3. This agreement may be cancelled in accordance with Arizona Revised Statutes Section 38-511.

4. The provisions of Arizona Revised Statutes Section 35-214 are applicable to this contract.

5. In the event of any controversy which may arise out of this agreement, the parties hereto agree to abide by required arbitration as is set forth for Public Works contracts in Arizona Revised Statutes Section 12-1518.

6. All notices or demands upon any party to this agreement shall be in writing and shall be delivered in person or sent by mail addressed as follows:

   Arizona Department of Transportation
   Joint Project Administration
   205 South 17th Avenue, Mail Drop 616E
   Phoenix, AZ 85007

   Yavapai County Administrator
   1015 Fair Street
   Prescott, AZ 86305

7. Attached hereto and incorporated herein is the written determination of each party's legal counsel that the parties are authorized under the laws of this state to enter into this agreement and that the agreement is in proper for.

IN WITNESS WHEREOF, the parties have executed this agreement the day and year first above written.

YAVAPAI COUNTY, ARIZONA

By _____
A.G. "CHIP" DAVIS, CHAIRMAN
Board of Supervisors

STATE OF ARIZONA
Depart. of Transportation

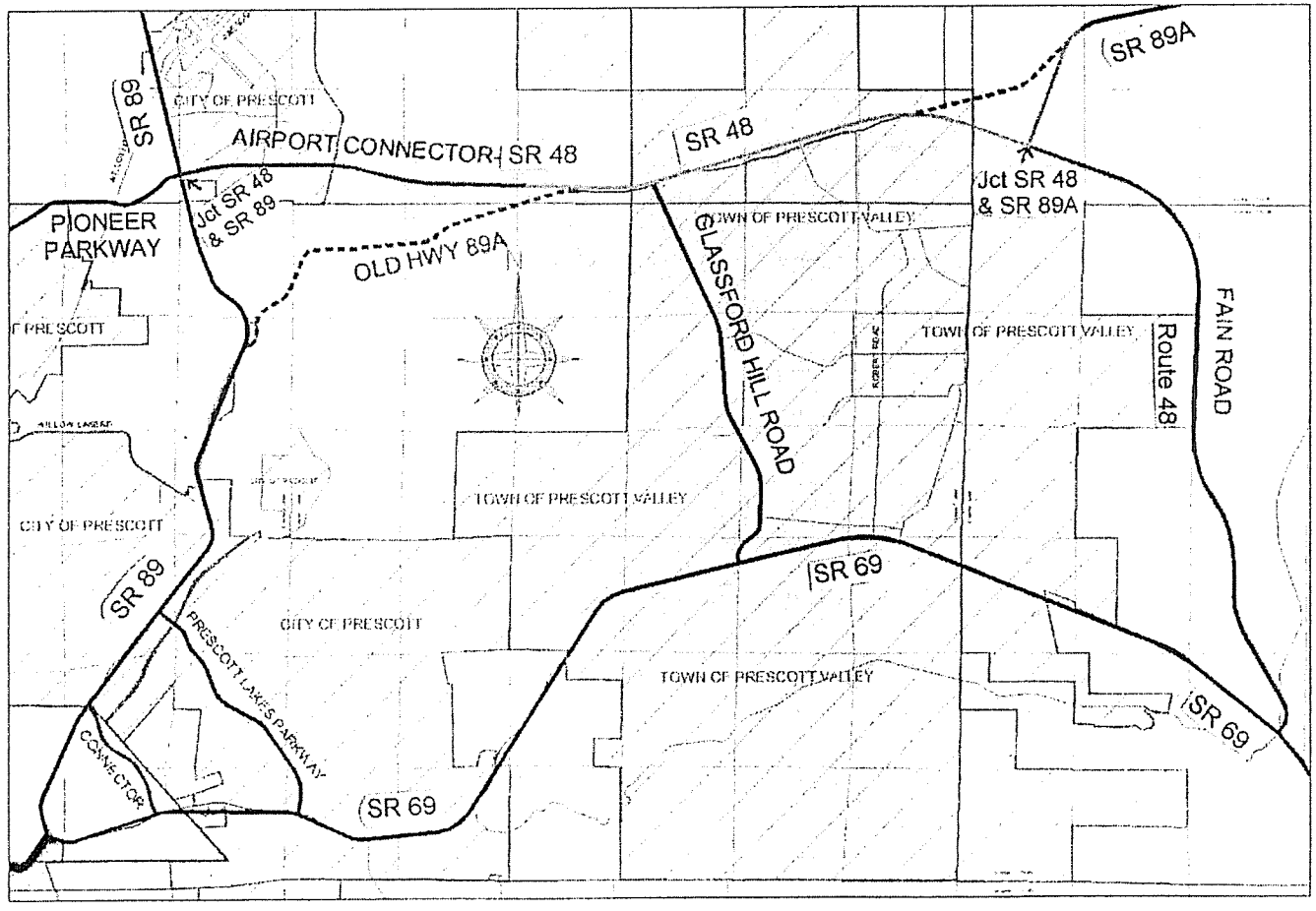
By _____
WILLIAM J. HIGGINS
Deputy State Engineer

ATTEST

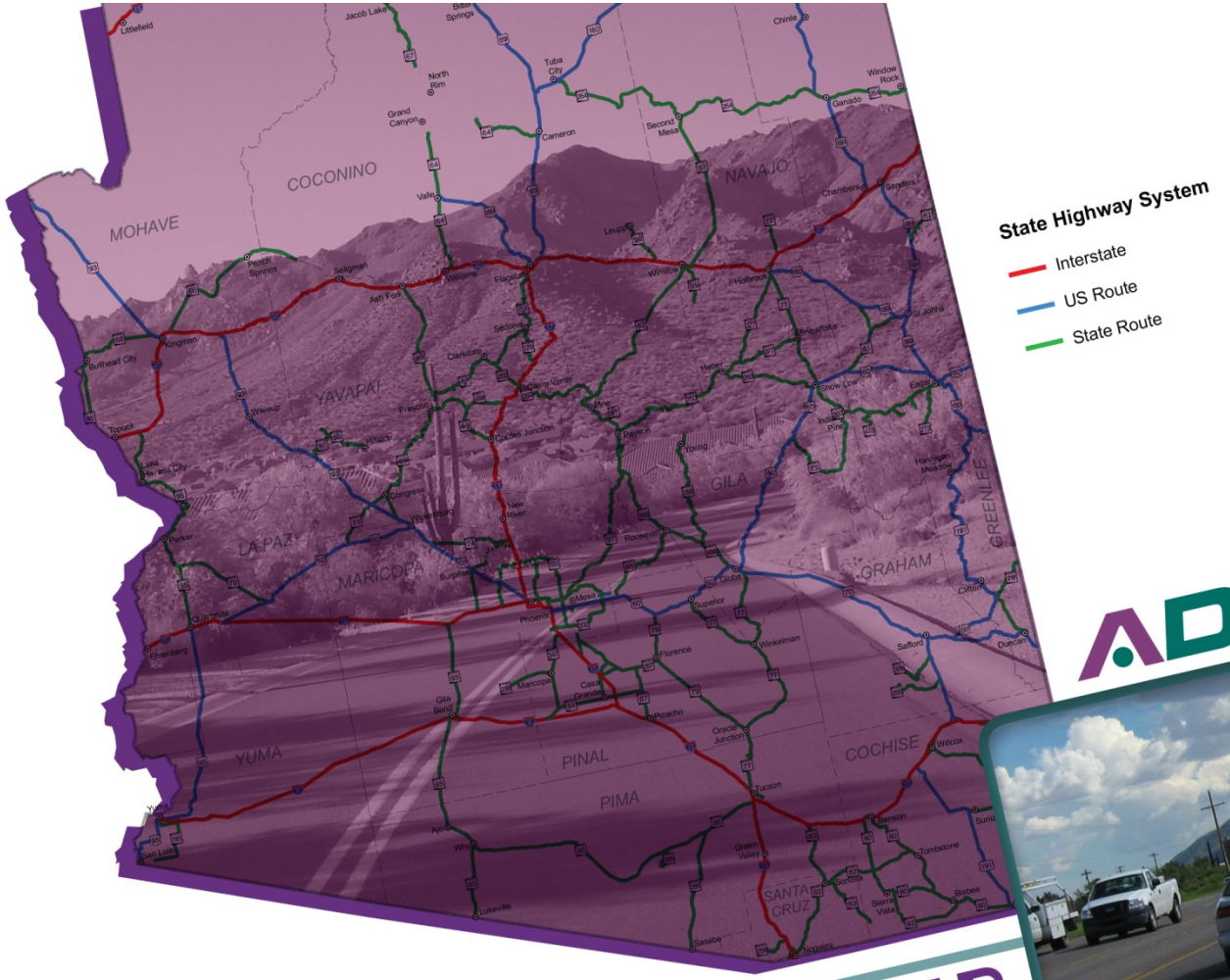
By _____
BEV STADDON
Clerk of the Board

REGIONAL ROAD SYSTEM

SCALE: 1in = 6000ft



Appendix 4



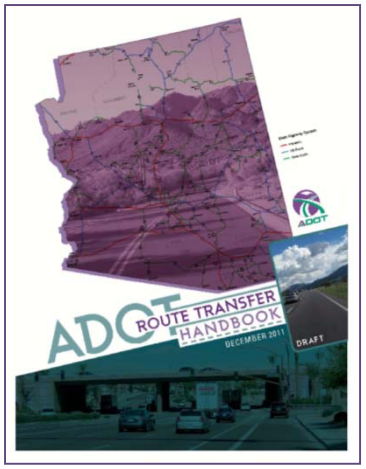
ADOT

ADOT ROUTE TRANSFER

PROCESS OVERVIEW

Route Transfer Process – How it Evolved

- 2011 Study evaluated:
  - Processes
  - Procedures
  - Policies
- Researched "best practices"
- Conducted stakeholder survey
- Developed route transfer framework
- Recommended revisions to current practices
- Published Handbook

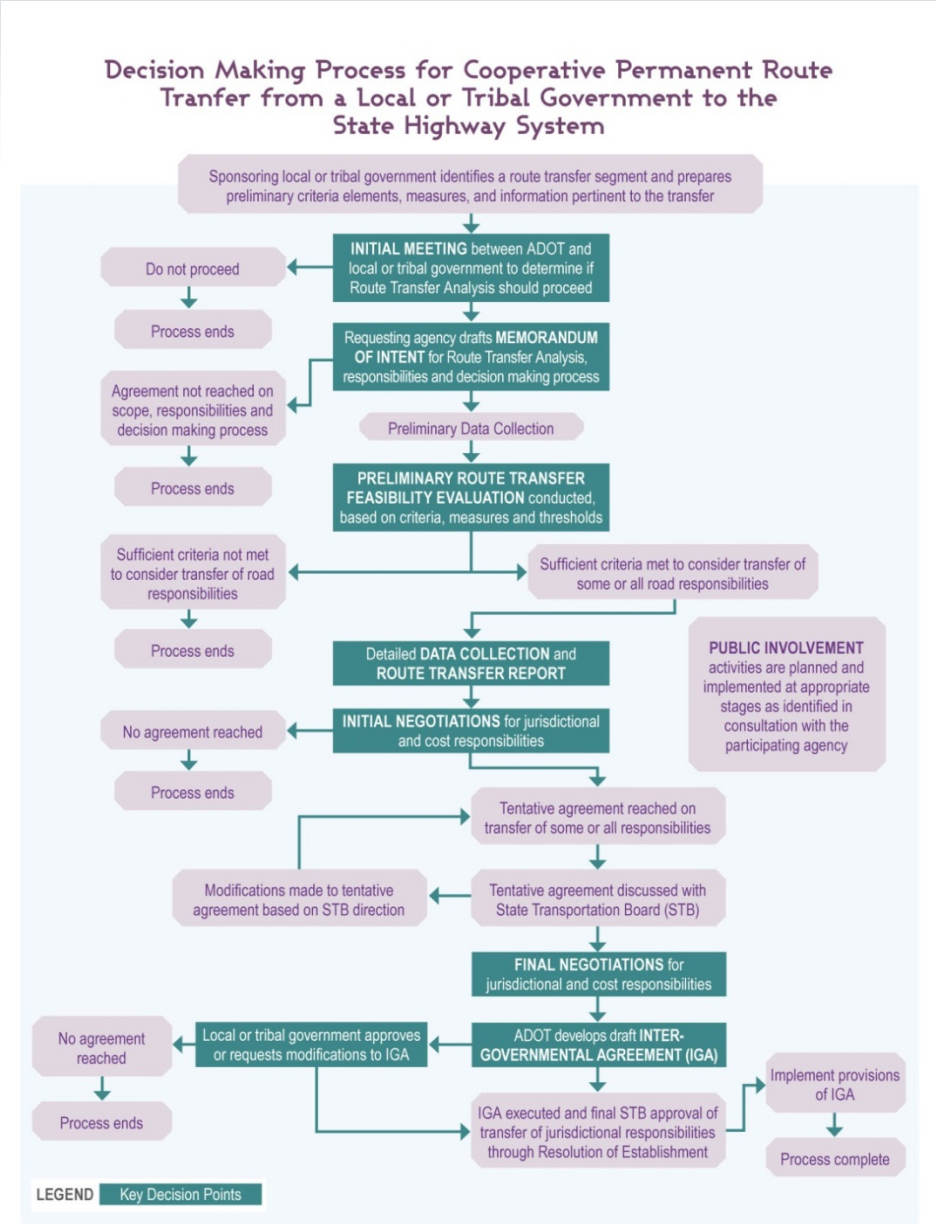


Process Overview

- Cooperative process
- Open communication between stakeholders
- Flexibility — tailored to specific cases
- Two-way process for transfers to and from the State Highway system

Key Decision Points

- Identify candidate route transfer segment
- Initial meeting
- Memorandum of Intent
- Preliminary evaluation
- Data collection and route transfer report
- Initial and final negotiations
- Intergovernmental agreement



Route Transfer Candidates

- Transfer to the State Highway System from a local jurisdiction or tribal government

or

- Transfer from the State Highway System to a local jurisdiction or tribal government

Initial Check List –State to Local / Tribal

DATE			
ROUTE NAME			
CANDIDATE SEGMENT LIMITS (MAJOR STREETS, MILEPOSTS)			
Route Transfer Consideration		Yes	No
Trip Character	Does the route primarily serve local travel needs?		
	Are vehicles trips primarily local in nature, for shopping, local business, and recreation?		
Highway Function	Is the route considered non-essential for statewide or regional system connectivity?		
New or Major Reconstruction	Is the route affected by a new state highway that bypasses or duplicates the route?		
Maintenance and Operations	Does a receiving agency (local or tribal jurisdiction) have the ability to maintain and operate the highway?		
Other Compelling Considerations	Please explain.		

Initial Check List – Local / Tribal to State

DATE			
ROUTE NAME			
CANDIDATE SEGMENT LIMITS (MAJOR STREETS, MILEPOSTS)			
Route Transfer Consideration		Yes	No
Trip Character	Does the route primarily serve statewide or regional travel needs?		
	Are vehicles trips mostly regional or statewide in nature?		
Highway Function	Is the route needed for statewide or regional system connectivity?		
	Do local or regional plans treat the highway as a statewide facility favoring mobility, as determined by highway classification and access management?		
Maintenance and Operations	Are route maintenance requirements more efficiently provided by the state?		
Other Compelling Considerations	Please explain.		

Initial Meeting

- Typically involves:
  - ADOT District Engineer(s)
  - Local jurisdiction or tribal government directors or managers
- Discussion topics include:
  - Level of interest in a route transfer
  - Defining the logical termini of the transfer
  - Justification / rationale for the transfer
- Outcome – decision on further investigation of route transfer or no formal commitments made

Memorandum of Intent

- Non-binding document
- Outlines framework for agreement
- Outlines roles/responsibilities for transfer process
- Contents:
  - Segment definition
  - Reasons for transfer
  - Roles and responsibilities for data collection and evaluation
  - Anticipated time frames
- Signed by authorized representatives of ADOT and local/tribal government

Memorandum of Intent Template

Address (Agency requesting/initiating the route transfer)
Date
Re: Route Transfer of (Route Description) from (Local Jurisdiction, Tribal Government or ADOT) to (Local Jurisdiction, Tribal Government or ADOT)

The purpose of this Memorandum of Intent is to initiate document discussions regarding the potential route transfer of (description of street segment, or highway including major cross streets and mileposts if applicable) from ----- (Local Jurisdiction, Tribal Government or ADOT) to ----- (Local Jurisdiction, Tribal Government or ADOT).

The route transfer is being considered for the following reasons:

- The function of the road is more consistent with a (local, state, or tribal) road because--------.
- The transfer of this road will support economic development because-----.
- The road segment will be improved by the following projects: ------- prior to the transfer.
- (Local Jurisdiction, Tribal Government or ADOT) will be able to reduce its maintenance budget.
- (Local Jurisdiction, Tribal Government or ADOT) will accept this route transfer without reservation.
- (Local Jurisdiction, Tribal Government or ADOT) has the resources to maintain this road segment.

ADOT and ____ (Local Jurisdiction, Tribal Government or ADOT) have agreed to further consider route transfer and complete data collection and analysis required for an informed decision. The following is a list of roles and responsibilities during the route transfer evaluation process:

- Data collection will be completed by _____(Local Jurisdiction, Tribal Government or ADOT). Costs for data collection will be the responsibility of _____(Jurisdiction, Tribal Government or ADOT)
- Data analysis will be the responsibility of _____(Local Jurisdiction, Tribal Government or ADOT).
- Report development and documentation will be the responsibility of _____(Local Jurisdiction, Tribal Government or ADOT).
- Other discussion items

The terms as outlined in this Memorandum of Intent provide the framework for initiating route transfer negotiations. The desired time frame for completing the transfer is _____.

_____
Signatory #1 (ADOT)

_____
Signatory #2 (Local Jurisdiction or Tribal Government)

Enclosures – Map of Route segment to be considered for transfer

Data Needs – Categories

- Goal of transfer
- Trip character
- Highway function
- Land use
- Access management
- Future needs
- Other non-statewide routes
- Maintenance and operations

Route Transfer Evaluation

- Data analysis documented in Route Transfer Report
- Criteria-based evaluation
- Transfer recommendations

Route Transfer Report – Contents

- Goals and limits
- Roadway characteristics
- Current and desired jurisdictional responsibilities
- Anticipated costs and risks
- Evaluation results

Route Transfer Report Table of Contents

1. Why is this Route Jurisdictional Transfer being requested?
2. What are the limits of the transfer request?
3. What are the characteristics of the roadway within those limits?
   a. Traffic volumes
   b. Functional classification
   c. Laneage
   d. Speed limits
   e. Access control
   f. Right-of-way widths
   g. Property ownership
4. What are the current responsibilities?
   a. Jurisdiction
   b. State
5. What will be the result of the change in responsibilities?
   a. Description of roadway improvements that will be required prior to completion of route transfer.
   b. Description of how improvements will be funded.
6. What are costs and risks to this change in responsibilities?
   a. Typical annual maintenance costs
   b. Weather conditions that may increase average maintenance costs
   c. Status of pavement
   d. Benefit/cost analysis
7. Does this transfer request meet criteria for a change to the system?
8. Summary – Route Transfer Feasibility Evaluation
   Appendix – Map showing limits of Route Transfer

Sample Evaluation Matrix – Excerpt

SAMPLE EVALUATION FOR TRANSFER TO STATE JURISDICTION			
Route: Sample Highway			
Location: Sample City			
Segment Limits: Sample MP 0 to Sample MP 10			
Green = Route meets consideration (True)			
Criteria Category	**Transfer Considerations**	**Criteria for Transfer to State Jurisdiction**	
Goal of the Transfer			
Transfer objective	What is the main objective or goal that is anticipated through completion of the proposed transfer?	ADOT desires to gain or maintain control and/or financial responsibility.	TRUE
Right-of-Way			
	Does ADOT or the local or tribal government have full title rights to the candidate roadway?	Route transfer evaluation and negotiations require that all roadway owners (e.g. federal, state, tribal, easement) are participants in the process.	TRUE
Trip character			
Trip purpose	Does the road or highway serve statewide, regional, or local travel needs?	Route primarily serves regional or statewide travel needs; vehicle trips are	NEUTRAL
Multimodal transportation	Do alternate modes of travel (bicycles, pedestrians, crosswalks, local public transit, and school buses) that are primarily local in nature significantly or detrimentally	Local transit, bicycles, and pedestrians do not have a significant impact on the vehicular capacity of the route.	FALSE
	Is there a desire by the local or tribal government for significant investment in multimodal facilities such as sidewalks, shared use paths, crosswalks/pedestrian	There is not a desire or need for significant multimodal infrastructure.	FALSE
	Does the route connect to regional multimodal facilities such as airports or rail	Route connects to regional multimodal transportation facilities such as	TRUE

Matrices in handbook for transfer to state system and to local/tribal road systems

Results of Matrix Analysis

- A majority of **"True/Green"** statements indicates that there is reasonable justification for the transfer

- A majority of **"False/Red"** Statements indicates that there is limited justification for the transfer

Financial Considerations

- Assess benefits and costs
- Benefits and costs may include:
  - Right-of-way value
  - Improvements / equipment value
  - Access control value
  - Revenue streams
  - Anticipated grants
  - Required capital investments
  - Required maintenance and operating costs
  - Law enforcement costs
  - Liability costs

Negotiation Issues

- Right-of-way ownership
- Access control
- Permits, encumbrances, and agreements
- Roadway condition, upgrades, and standards
- Railroad crossings
- Route signage
- Traffic signals, lighting, and landscape
- Transfer time frame
- Post-transfer responsibilities
- Financial considerations

Right-of-Way Ownership

- Ownership understanding is critical in transfer process
- Determine who has legal right to property that the road occupies
- Ownership often conveyed through easements / other instruments

Access Control

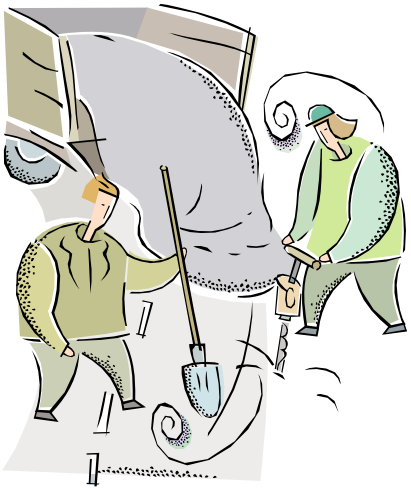
- For transfers from ADOT jurisdiction, ADOT should first determine if they are willing and able to relinquish responsibility for access control
- For transfers from local or tribal jurisdiction to ADOT, the transfer agreement should identify existing permitted and non-permitted access points
- FHWA approval may be required

Permits, Encumbrances, and Agreements

- Permits issued to provide access to the roadway or roadway rights-of-way
- Encumbrances on right-of-way, such as utility easements, might be a negotiation issue for transfers
- Any intergovernmental agreements impacting the development or use of the road should be disclosed

Roadway Conditions and Maintenance

- An inspection of the facility by maintenance personnel should be made and documented prior to a jurisdictional transfer
- Estimated annualized maintenance cost should be in report



Roadway Improvements and Design Standards

- Design standards dictated by:
  - Functional classification
  - Location
  - Amount and character of traffic
  - Federal Highway System designation
- Determine appropriate design standards and improvements and cost necessary to bring the road up to standards

Rail Crossings

- The terms and transferability of existing railroad agreements and licenses should be a consideration

- Meet with the railroad(s) and parties to the jurisdictional transfer to determine the conditions for transfer

Route Signage

- Consider retaining existing route signage for some period of time
- Terms of a jurisdictional transfer should also address liability issues associated with retaining existing route signing after the transfer

Traffic Signals, Lighting, Pedestrian Facilities

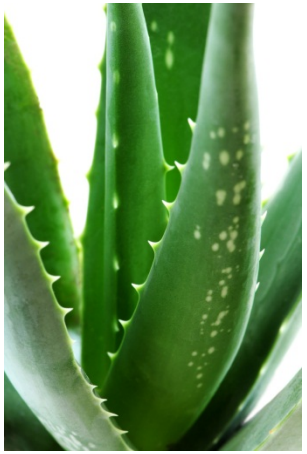
- There may be differences in signal equipment and operational practices

- Reach agreement on administering these features prior to jurisdictional transfer.

Landscaping

- Understand each agencies practices and expectations

- Document landscaping principles, responsibilities, and decision-making as part of the jurisdictional transfer agreement



Public Involvement

- Determine on a case-by-case basis
- Types of activities include:
  - Meeting individually with property owners on the route
  - Public meetings / open houses
  - State Transportation Board meetings
  - Local government or tribal meetings
  - Public hearings
  - Press releases

Final Negotiations

- Sets the basis for the development of the Intergovernmental Agreement, which is the legal document that is used to accomplish the route transfer

Intergovernmental Agreement (IGA) – Contents

- Road to be transferred
  - Name and route numbers
  - Mile posts and descriptions (with beginning and end points)
  - Location map
- Description of responsibilities
  - Right-of-way
  - Appurtenances
  - Easements
  - Crossings
  - Traffic monitoring sites
  - Other items or agreements

Typical Time Frames

- Can vary greatly
- Typical milestones include:
  - Draft and execute Memorandum of Intent (2-3 months)
  - Collect data and prepare route transfer report (3-6 months)
  - Negotiate cost responsibilities (3-6 months)
  - Draft and execute agreements (3-6 months)
  - Transfer funds or implement improvements (3-12 months)
  - Execute final transfer (1-2 months)

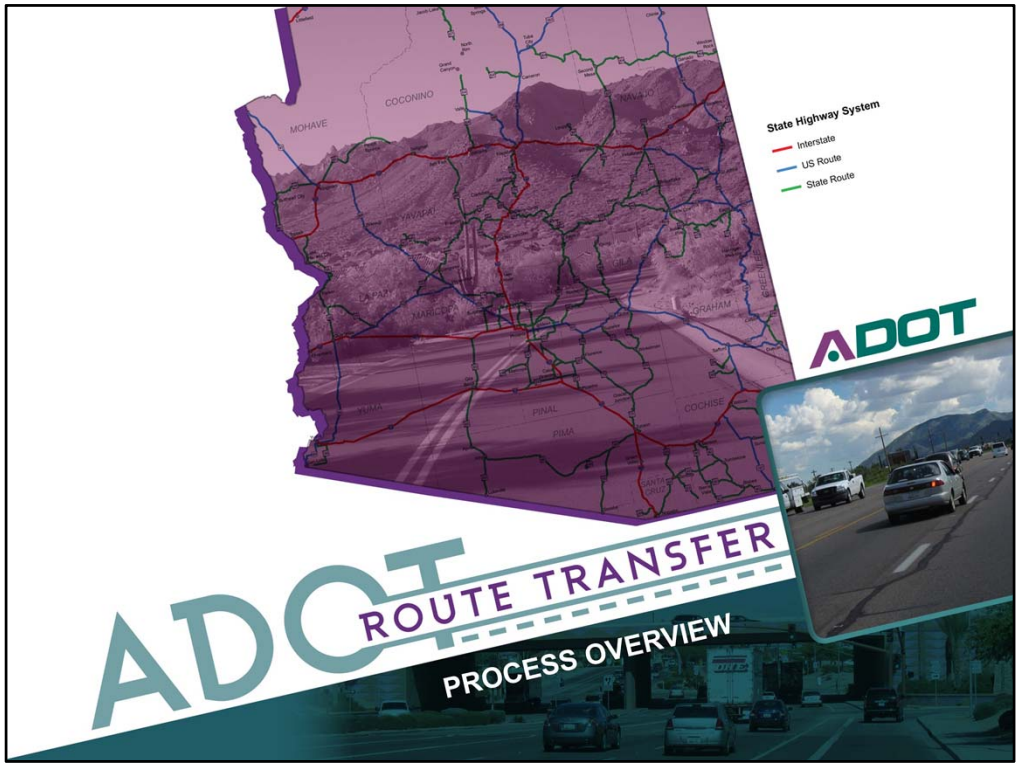
Post-Transfer Agency Responsibilities

- Clearly delineate in the transfer agreements
- Follow-up meetings should be conducted periodically
- Most critical are those responsibilities associated with safety

In Summary….

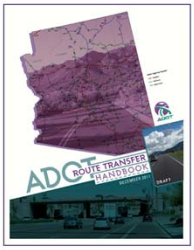
- Each route transfer is unique
- Can be a complex process
- Requires commitment from all parties
- The end result should be a transfer that meets the goals and objectives of all parties

Questions and Comments?


State Highway System
Interstate
US Route
State Route
MOHAVE
COCONINO
NAVAJO
YAVAPAI
LA PAZ
MARICOPA
GRAHAM
YUMA
PINAL
COCHISE
PIMA
ADOT
ADOT
ROUTE TRANSFER
PROCESS OVERVIEW

Route Transfer Process – How it Evolved

- 2011 Study evaluated:
  - Processes
  - Procedures
  - Policies
- Researched "best practices"
- Conducted stakeholder survey
- Developed route transfer framework
- Recommended revisions to current practices
- Published Handbook



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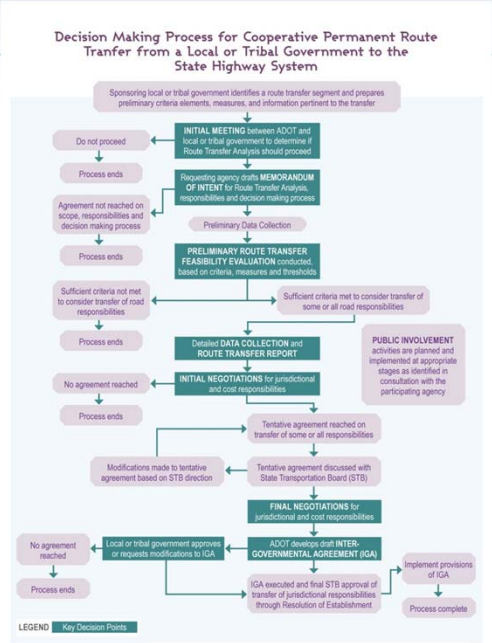

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or

- Transfer from the State Highway System to a local jurisdiction or tribal government

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ROUTE NAME			
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Maintenance and Operations	Does a receiving agency (local or tribal jurisdiction) have the ability to maintain and operate the highway?		
Other Compelling Considerations	Please explain.		

This checklist will help to determine if route transfer investigation should continue. A preponderance of “no” responses indicates that the candidate route likely does not meet route transfer criteria, and effort and expense of detailed investigation is not warranted. “Yes” responses indicate that route transfer criteria may be satisfied and additional detailed investigation should continue.

Initial Check List – Local / Tribal to State

DATE			
ROUTE NAME			
CANDIDATE SEGMENT LIMITS (MAJOR STREETS, MILEPOSTS)			
Route Transfer Consideration		Yes	No
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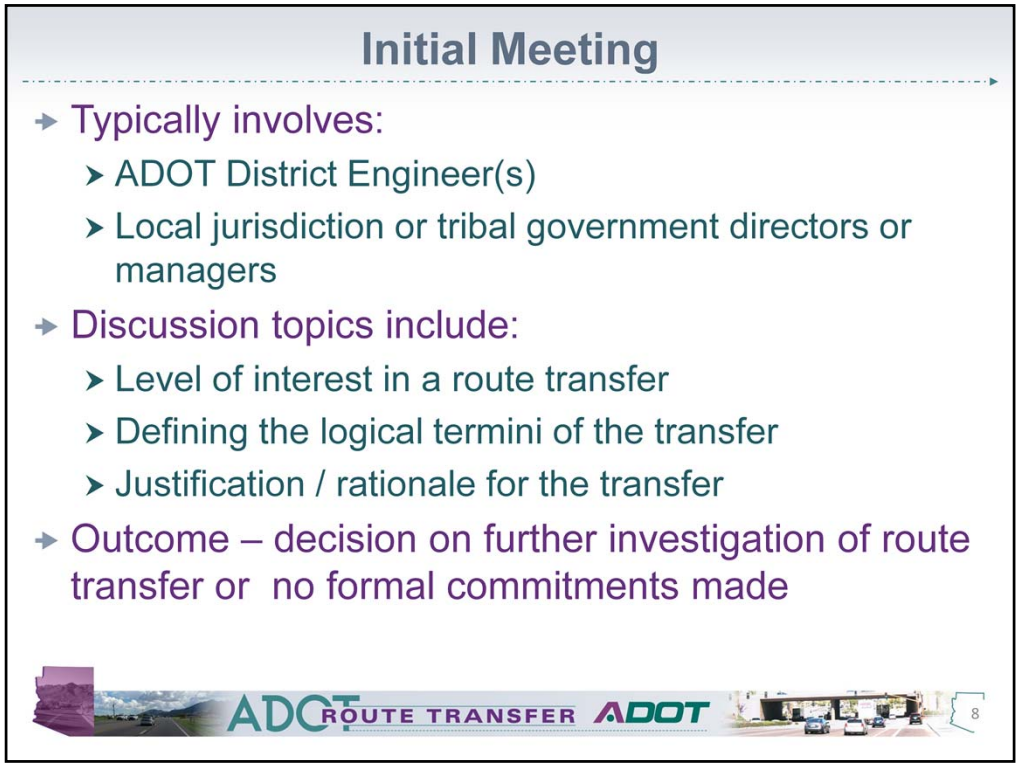

No formal commitments are made at the meeting. After the parties informally agree to continue to discuss a potential transfer, the agency initiating the transfer can begin agency coordination, and background research, and initiate informal negotiations with more detail and data available. A Memorandum of Intent (described in section 3.4), outlining key points in the transfer, would document the informal understanding discussed at the initial meeting.

Memorandum of Intent

- Non-binding document
- Outlines framework for agreement
- Outlines roles/responsibilities for transfer process
- Contents:
  - Segment definition
  - Reasons for transfer
  - Roles and responsibilities for data collection and evaluation
  - Anticipated time frames
- Signed by authorized representatives of ADOT and local/tribal government

ADOT ROUTE TRANSFER ADOT 9

Authorized ADOT representatives include District Engineers and State Engineer. (Need ADOT confirmation)

Memorandum of Intent Template

Address (Agency requesting/initiating the route transfer)
Date
Re: Route Transfer of (Route Description) from (Local Jurisdiction, Tribal Government or ADOT) to (Local Jurisdiction, Tribal Government or ADOT)

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- The road segment will be improved by the following projects: ------- prior to the transfer.
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_____
Signatory #1 (ADOT)

_____
Signatory #2 (Local Jurisdiction or Tribal Government)

Enclosures – Map of Route segment to be considered for transfer

Contained in the handbook

Data Needs – Categories

- Goal of transfer
- Trip character
- Highway function
- Land use
- Access management
- Future needs
- Other non-statewide routes
- Maintenance and operations

Route Transfer Evaluation

- Data analysis documented in Route Transfer Report
- Criteria-based evaluation
- Transfer recommendations

If there is no agreement on the scope and responsibilities for the route transfer analysis and the route transfer decision-making process, as expressed in the Memorandum of Intent, then the route transfer process will end.

Route Transfer Report – Contents

- Goals and limits
- Roadway characteristics
- Current and desired jurisdictional responsibilities
- Anticipated costs and risks
- Evaluation results

Route Transfer Report Table of Contents

1. Why is this Route Jurisdictional Transfer being requested?
2. What are the limits of the transfer request?
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   b. Functional classification
   c. Laneage
   d. Speed limits
   e. Access control
   f. Right-of-way widths
   g. Property ownership
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5. What will be the result of the change in responsibilities?
   a. Description of roadway improvements that will be required prior to completion of route transfer.
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   c. Status of pavement
   d. Benefit/cost analysis
7. Does this transfer request meet criteria for a change to the system?
8. Summary – Route Transfer Feasibility Evaluation

   Appendix – Map showing limits of Route Transfer

Sample Evaluation Matrix – Excerpt

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Transfer objective	What is the main objective or goal that is anticipated through completion of the proposed transfer?	ADOT desires to gain or maintain control and/or financial responsibility.	TRUE
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Trip purpose	Does the road or highway serve statewide, regional, or local travel needs?	Route primarily serves regional or statewide travel needs; vehicle trips are	NEUTRAL
Multimodal transportation	Do alternate modes of travel (bicycles, pedestrians, crosswalks, local public transit, and school buses) that are primarily local in nature significantly or detrimentally	Local transit, bicycles, and pedestrians do not have a significant impact on the vehicular capacity of the route.	FALSE
	Is there a desire by the local or tribal government for significant investment in multimodal facilities such as sidewalks, shared use paths, crosswalks/pedestrian	There is not a desire or need for significant multimodal infrastructure.	FALSE
	Does the route connect to regional multimodal facilities such as airports or rail	Route connects to regional multimodal transportation facilities such as	TRUE

Matrices in handbook for transfer to state system and to local/tribal road systems

The spreadsheet includes a comprehensive list of route transfer considerations .The analyst answers each of the route transfer considerations with a “true” or a “false.” “True/Green” statements are those for which the route transfer candidate is consistent with the considerations. “False/Red” statements indicate that the route transfer candidate is inconsistent with the stated considerations. “Neutral/Yellow” statements indicate that the consideration is either not applicable, or does not have a significant influence on the candidate corridor. Upon completion of the analysis, a preponderance of “True/Green” statements indicates that the corridor is largely consistent with the route transfer considerations.

Results of Matrix Analysis

- A majority of **"True/Green"** statements indicates that there is reasonable justification for the transfer
- A majority of **"False/Red"** Statements indicates that there is limited justification for the transfer

Financial Considerations

- Assess benefits and costs
- Benefits and costs may include:
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  - Improvements / equipment value
  - Access control value
  - Revenue streams
  - Anticipated grants
  - Required capital investments
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  - Law enforcement costs
  - Liability costs

Negotiation Issues

- Right-of-way ownership
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- Permits, encumbrances, and agreements
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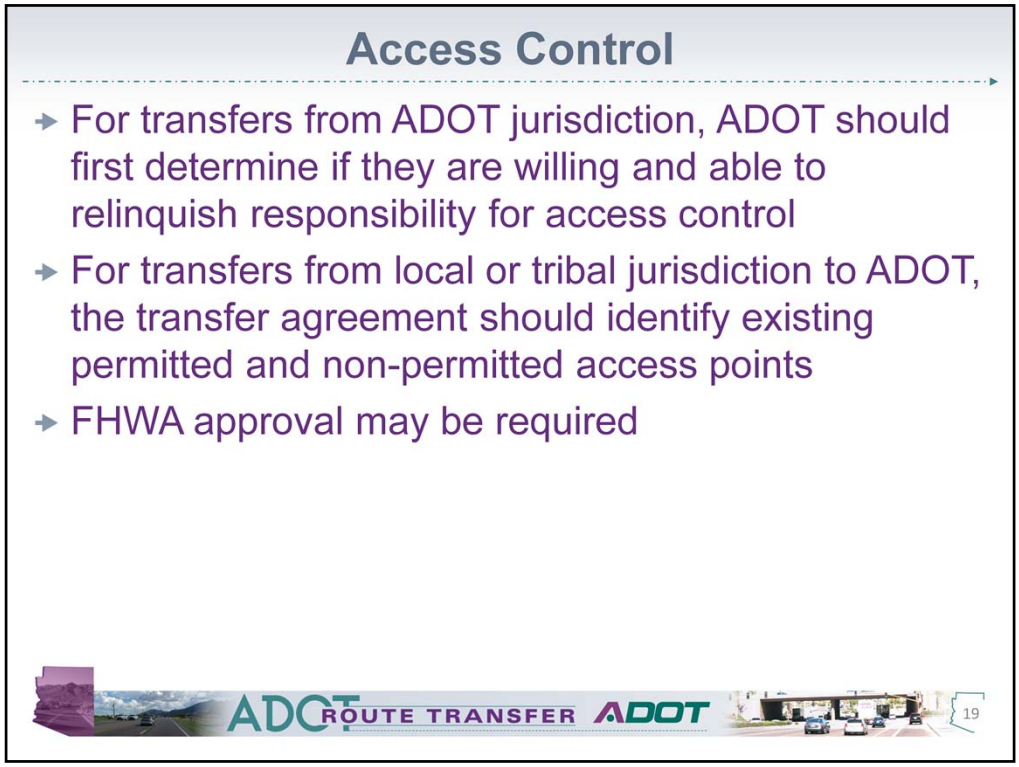
- Traffic signals, lighting, and landscape
- Transfer time frame
- Post-transfer responsibilities
- Financial considerations

Right-of-Way Ownership

- Ownership understanding is critical in transfer process
- Determine who has legal right to property that the road occupies
- Ownership often conveyed through easements / other instruments

Title documents, permits, and other relevant documents should be reviewed to determine conditions that may affect ability to transfer road ROW to another owner.



it may be in the best interest of the public for the transferring agency to retain responsibility for access control.

On the Interstate system, all access control changes require Federal Highway Administration (FHWA) approval (including all adjacent ramps and roadways where access control was purchased with federal funds). On non-interstate portions of the National Highway System (NHS), FHWA approval is also required when federal funds were used to acquire access control.

Permits, Encumbrances, and Agreements

- Permits issued to provide access to the roadway or roadway rights-of-way
- Encumbrances on right-of-way, such as utility easements, might be a negotiation issue for transfers
- Any intergovernmental agreements impacting the development or use of the road should be disclosed

Roadway Conditions and Maintenance

- An inspection of the facility by maintenance personnel should be made and documented prior to a jurisdictional transfer
- Estimated annualized maintenance cost should be in report

Roadway Improvements and Design Standards

- Design standards dictated by:
  - Functional classification
  - Location
  - Amount and character of traffic
  - Federal Highway System designation
- Determine appropriate design standards and improvements and cost necessary to bring the road up to standards

Rail Crossings

- The terms and transferability of existing railroad agreements and licenses should be a consideration
- Meet with the railroad(s) and parties to the jurisdictional transfer to determine the conditions for transfer

Route Signage

- Consider retaining existing route signage for some period of time
- Terms of a jurisdictional transfer should also address liability issues associated with retaining existing route signing after the transfer

Route signage and continuity is particularly important for motorists unfamiliar with an area and for local government economic development strategies..

Traffic Signals, Lighting, Pedestrian Facilities

- There may be differences in signal equipment and operational practices
- Reach agreement on administering these features prior to jurisdictional transfer.

For example, ADOT might favor traffic signal progression to efficiently move traffic along a corridor. Conversely, a local agency might oppose signal progression to reduce speed in order to increase safety or attract attention to adjacent development. Reaching agreement on administering these features prior to jurisdictional transfer could reduce the likelihood of disagreements arising after the transfer.

Landscaping

- Understand each agencies practices and expectations
- Document landscaping principles, responsibilities, and decision-making as part of the jurisdictional transfer agreement

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Local jurisdictions and ADOT might have differences in opinion on roadway landscaping because of theme, cost of installation, maintenance costs, and safety considerations. For example, as a safety measure, ADOT does not want trees that will achieve a diameter in excess of four inches planted in the clear zone. These issues should be included in the jurisdictional transfer negotiations.

Public Involvement

- Determine on a case-by-case basis
- Types of activities include:
  - Meeting individually with property owners on the route
  - Public meetings / open houses
  - State Transportation Board meetings
  - Local government or tribal meetings
  - Public hearings
  - Press releases

Final Negotiations

- Sets the basis for the development of the Intergovernmental Agreement, which is the legal document that is used to accomplish the route transfer

The final negotiations will result in the terms of agreement for state, local jurisdiction, and tribal obligations, and will resolve the issues discussed in the initial negotiations.

Intergovernmental Agreement (IGA) – Contents

- Road to be transferred
  - Name and route numbers
  - Mile posts and descriptions (with beginning and end points)
  - Location map
- Description of responsibilities
  - Right-of-way
  - Appurtenances
  - Easements
  - Crossings
  - Traffic monitoring sites
  - Other items or agreements

Typical Time Frames

- Can vary greatly
- Typical milestones include:
  - Draft and execute Memorandum of Intent (2-3 months)
  - Collect data and prepare route transfer report (3-6 months)
  - Negotiate cost responsibilities (3-6 months)
  - Draft and execute agreements (3-6 months)
  - Transfer funds or implement improvements (3-12 months)
  - Execute final transfer (1-2 months)

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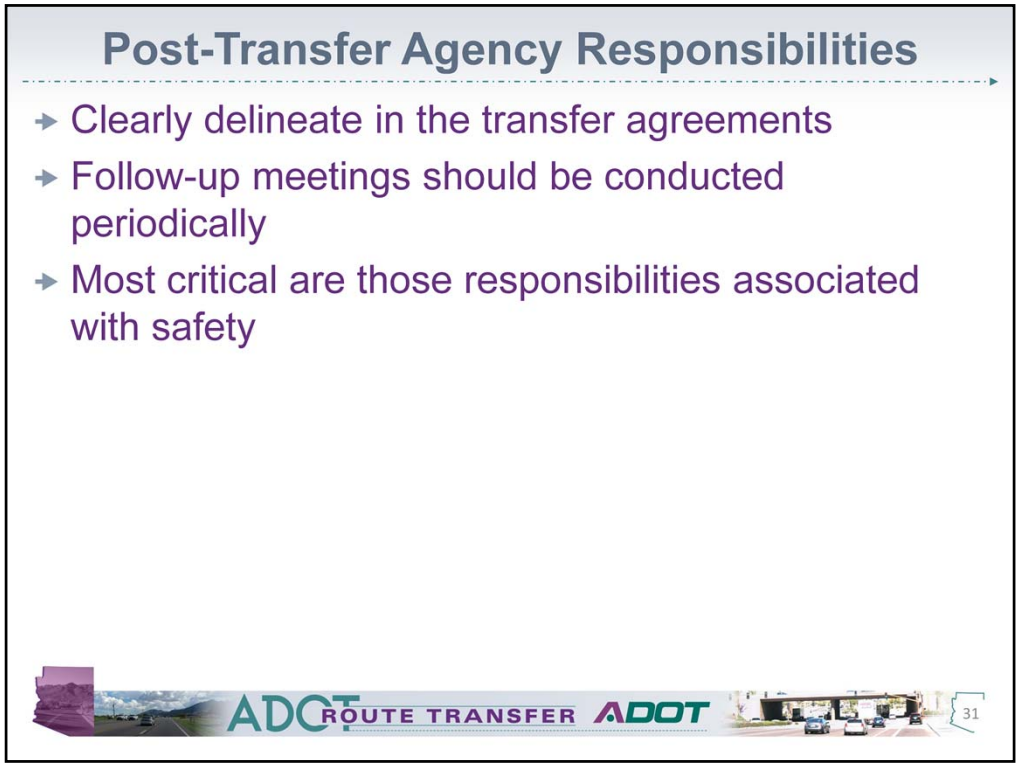
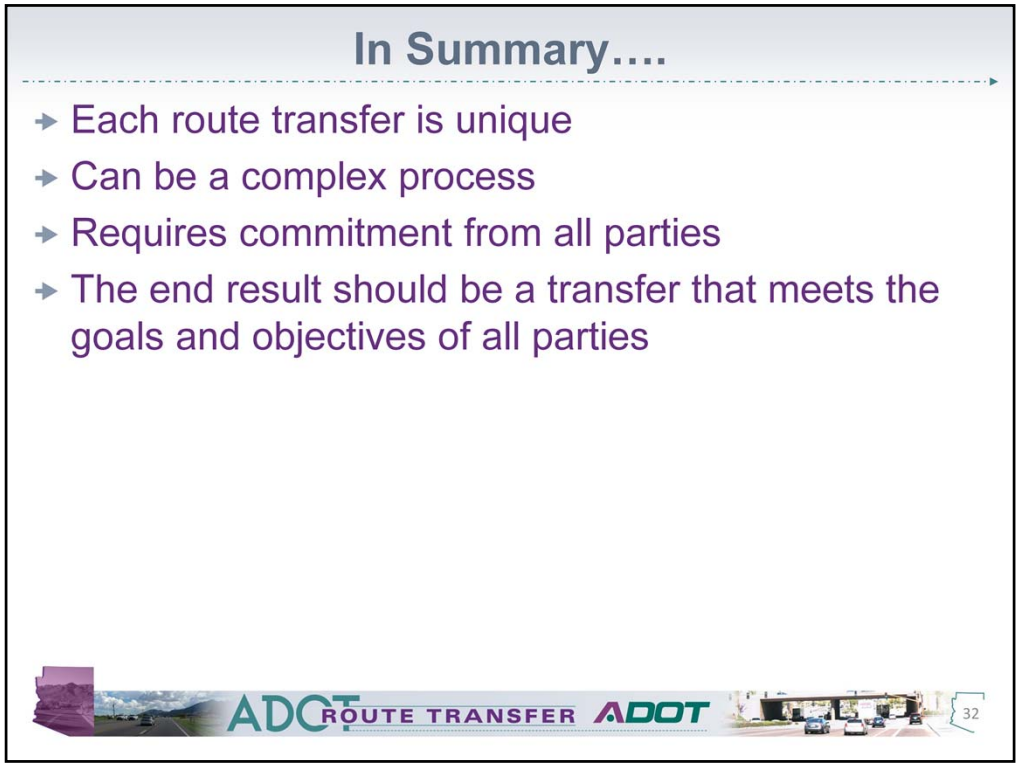
Complex transfer agreements with significant capital improvement requirements may take 10 years or more to complete.



The most critical post-transfer responsibilities are those associated with safety, such as signal operations, signing, striping, lighting, emergency response, and law enforcement. Other post-transfer responsibilities will include items such as roadway and landscape maintenance, utility payments, capital improvements, access permitting, and completing the legal and administrative aspects of the transfer. These post transfer responsibilities should be clearly delineated in the transfer agreements and follow-up meetings should be conducted periodically with all participating agencies to assess performance and address any unanticipated consequences of the transfer.



The route transfer process can be a complex and time consuming effort, requiring a strong commitment from the participating agencies to keep the process moving forward. Each transfer will have its own unique characteristics and circumstances that will require tailoring the process to the specific transfer candidate. The end result should be a transfer that meets the goals and objectives of all parties to the transfer agreement and provides decision making regarding the road at the appropriate level of government.

Questions and Comments?