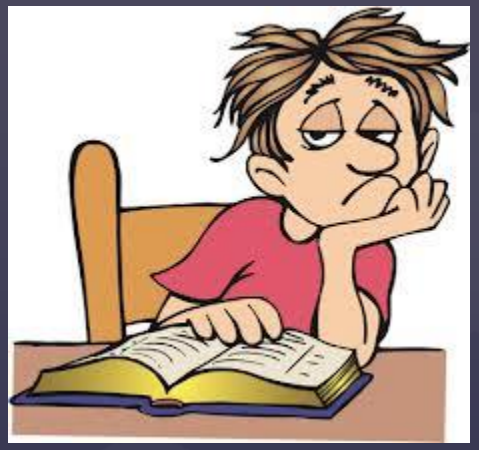
Local Programs Development Office

{ Local Government Guidelines Manual Training

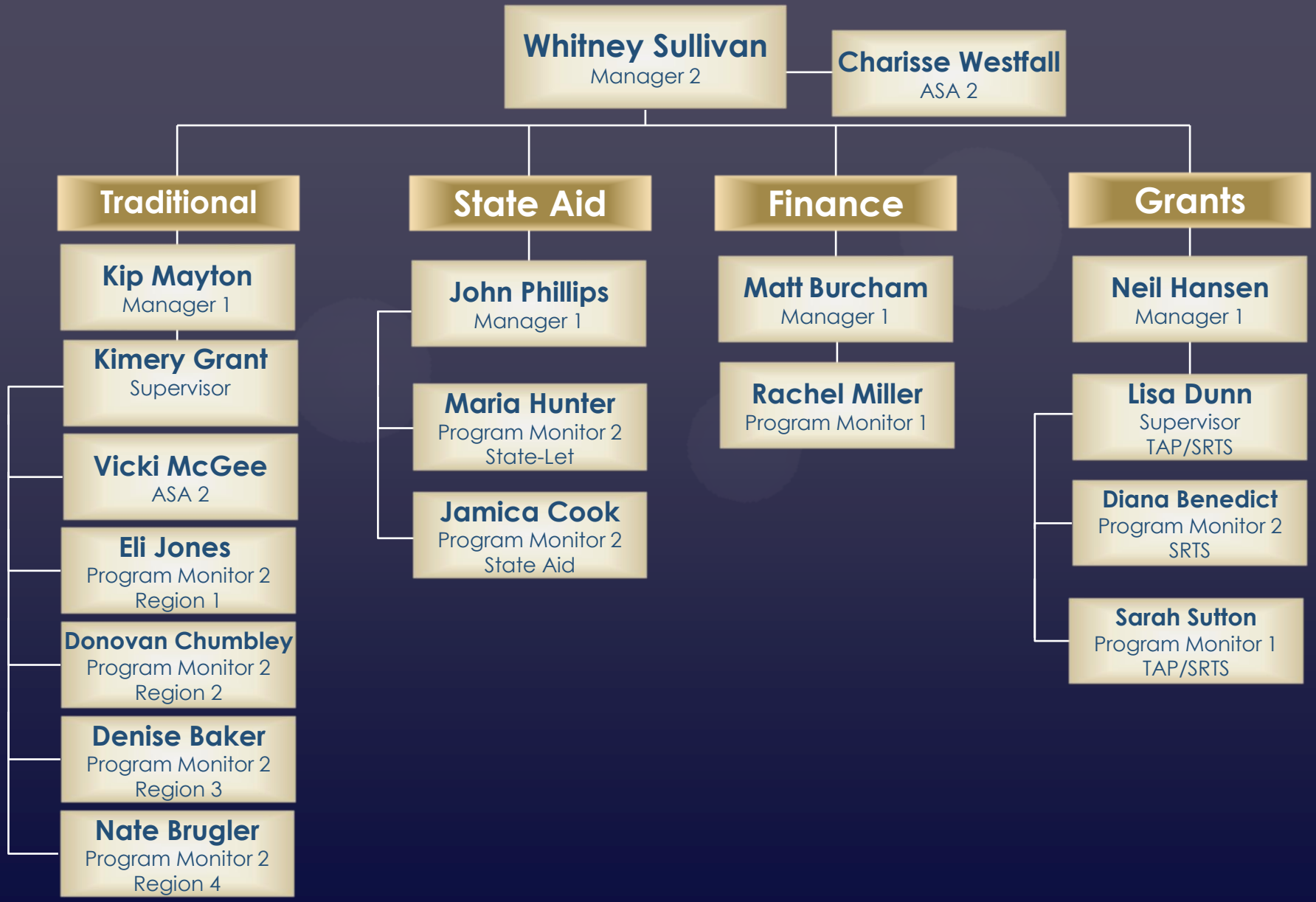
TN TDOT Department of Transportation

Why are you here?



Why are WE here?

Organizational Chart



Who will guide your project through the process?

Your Local Programs Monitor!

We are Your Main Point of Contact

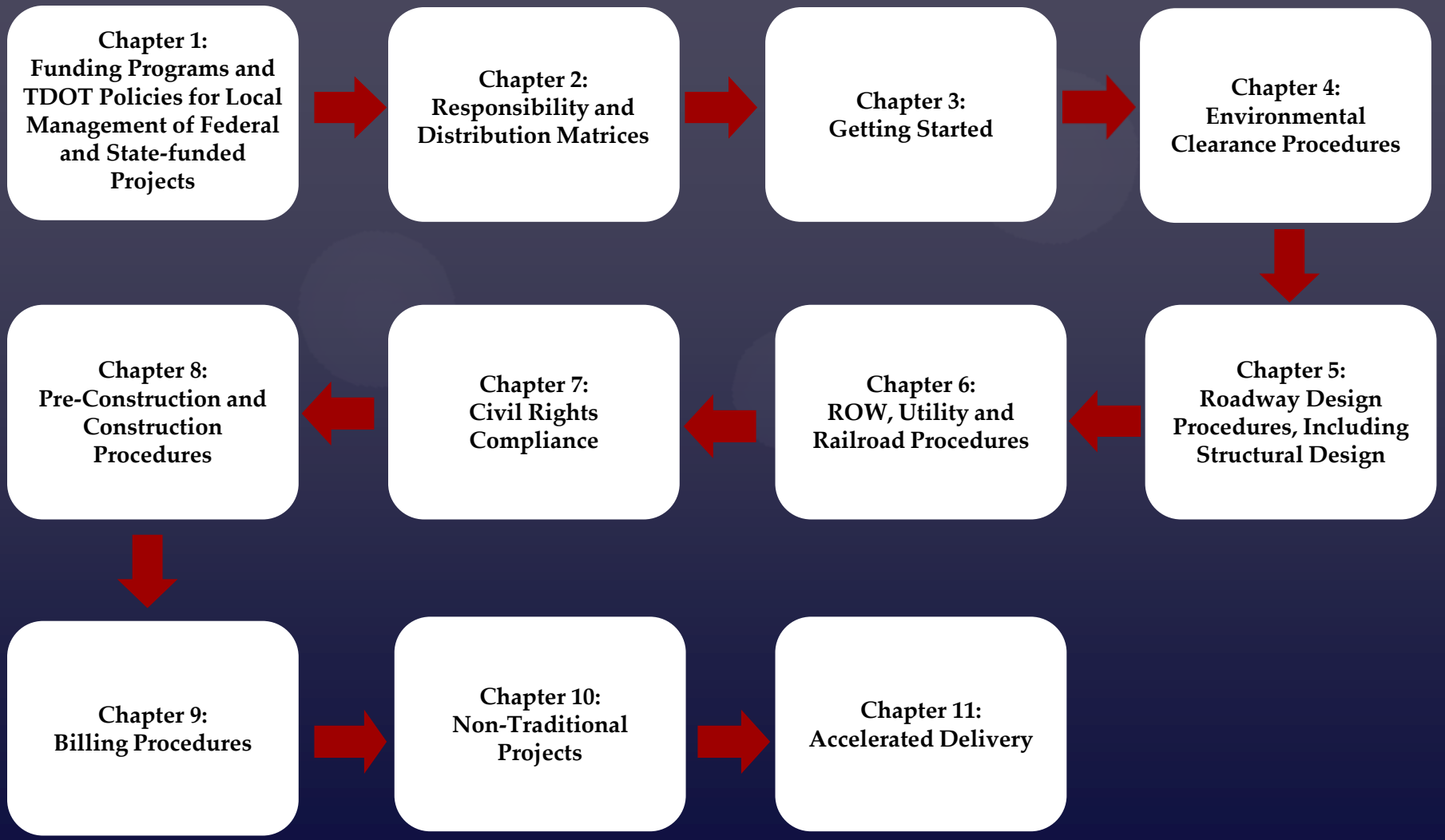
Safe Routes to School (SRTS)	**Diana Benedict**
TAP/SRTS – Regions 1 & 4	**Lisa Dunn**
TAP/SRTS – Regions 2 & 3	**Sarah Sutton**
Multimodal Access (Statewide)	**Monique Hazlewood**
State Managed and Deposits	**Maria Hunter**

We are Your Main Point of Contact

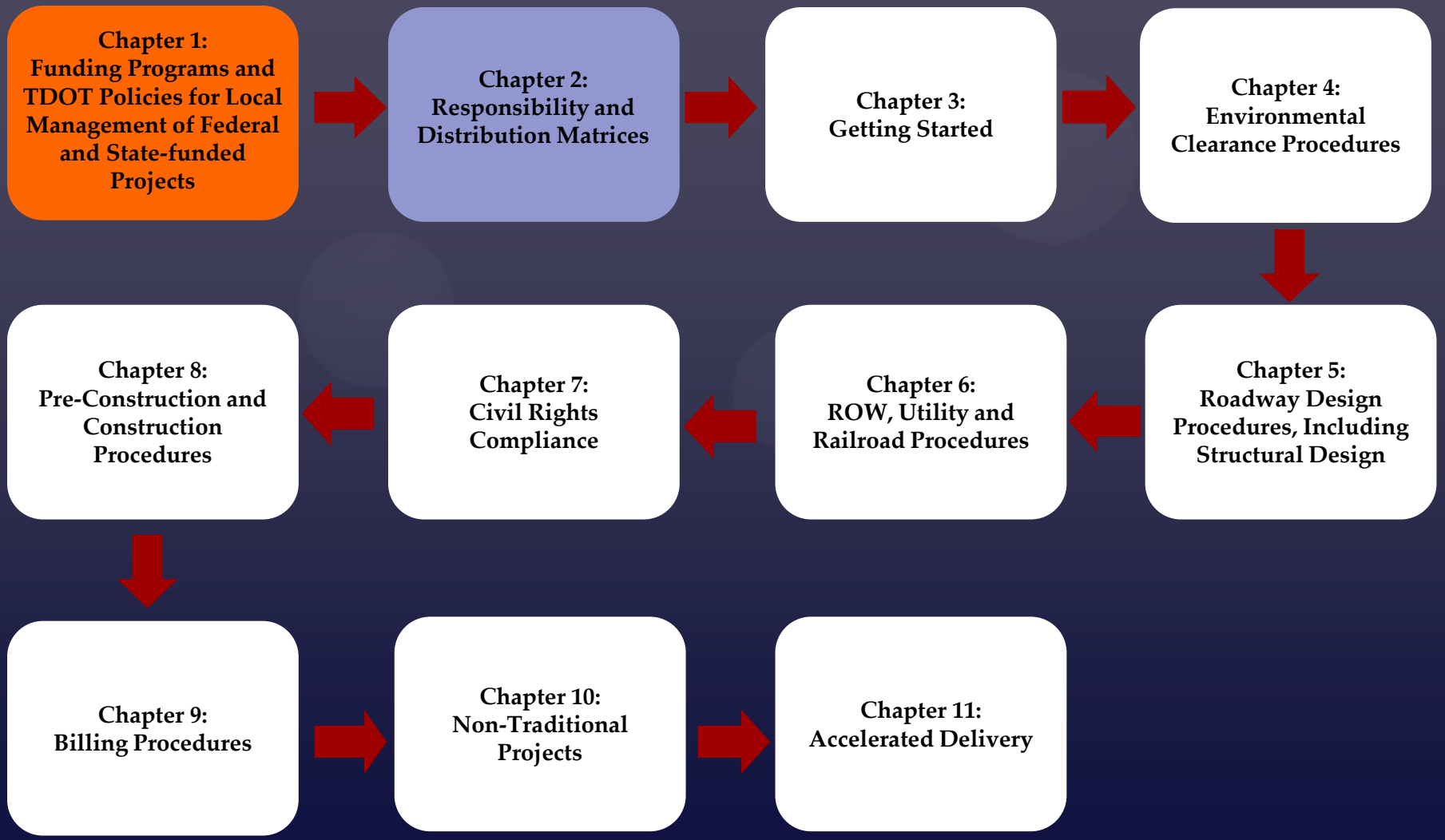
Your contacts for the following programs: Congestion Mitigation and Air Quality (CMAQ), Surface Transportation Program (STP), Roadscapes, Local Interstate Connector (LIC), Federal Lands Access Program (FLAP), and State Industrial Access (SIA):

Region 1	**Eli Jones**
Region 2	**Donovan Chumbley**
Region 3	**Denise Baker**
Region 4	**Nathaniel Brugler**

Chapters Flow Chart



Chapters Flow Chart



The Local Government Guidelines (LGGM)

LGGM

http://www.tn.gov/tdot/

Navigation:

1. Click on 'Government how do I'
2. Select 'Fund a Project'
3. On the 'Grant Information' webpage, find the 'Local Programs Grants' tab
4. Link to webpage: http://www.tn.gov/tdot/section/local-programs

6 Phases in Project Development

1. **Eligibility Determination**
2. **NEPA Phase**
3. **Design Phase**
4. **Right of Way Acquisition Phase**
5. **Construction Phase**
6. **Project Closeout**

Overview

- LPDO is the single point of contact for:
  - Project Correspondence
  - Submittals
  - Project Coordination
- A checklist is provided for project milestones
- If guidelines are not followed, withdrawal of all federal and/or state funding may occur

When Contacting Us, Please Provide…

- **Project Title**
- **Project Location (City and County)**
- **Project Identification Number (PIN), an eight digit number (Example: 016055.00) assigned to each specific project**
- **PIN must also be referenced on all correspondence and reimbursement requests**

Document, Document, Document

- **Assume every project you manage will be audited.**
- **All steps, regulations and procedures are in place to ensure that nobody misuses taxpayer funds.**

Federal Programs

Surface Transportation Block Grant (STBG)

- **Match – 80% federal/20% local**
  - **Safety items are 100% federally eligible**
- **Eligible project types– resurfacing, roadway widening, sidewalks, intersection improvements, etc.**
  - **Eligible STP Items (pg 212)**
- **Funds are allocated based on population**
- **Formerly Surface Transportation Program (STP)**

Surface Transportation Block Grant (STBG)

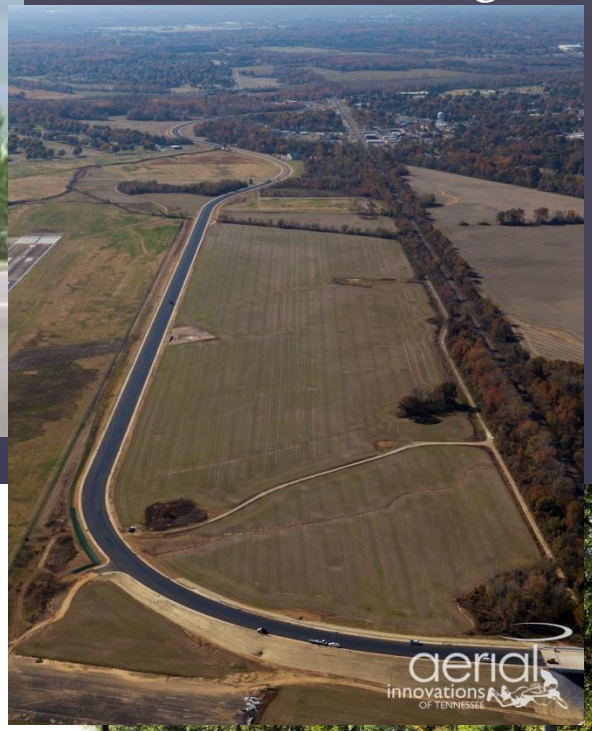
- **Appropriations:**
  - **Metropolitan/Urbanized Areas (populations over 200,000)**
  - **Small MPOs (populations between 50,000 and 200,000)**
  - **Small Cities (populations between 5,000 and 50,000)**

Shelbyville

Traffic Signals

Millington

Veterans Parkway



Portland

Russell Street

Wolf River Blvd

Germantown

Bridge Replacement and Rehabilitation (BRR)

- **Match – 80% federal/20% local**
  - **Can use State Aid to offset match**
- **Eligible project types – off-system bridges**
- **How to apply – TDOT will develop planning report based on bridge rating and offer bridge to Local Government (LG)**

Bridge Replacement and Rehabilitation (BRR)

State Programs

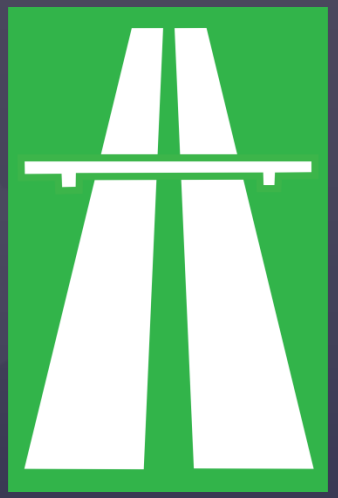
Interchange Lighting

- Match – 50% state/ 50% local
  - Can use federal funds to offset match
- Project types – lighting of an interchange
- How to apply – send request letter to Commissioner

State Industrial Access (SIA)

- Match – ROW-50% state/50% local, Design & Construction-100%
- Project types – Needing access to a new or expanding industry
- How to apply – contact Danielle Hagewood (615-253-2521)

Local Interstate Connector (LIC)



- **Match - 50% state/ 50% local**
- **Project types – connecting an interstate to an interstate-like facility**
- **Cap - $4 million**
- **How to apply – send a request letter to the Commissioner with resolution**

Grant Opportunities

Congestion Mitigation and Air Quality (CMAQ)

- Applications were due July 1
  - http://www.tn.gov/tdot/topic/cmaq
- Match – 80% federal/20% local or 100% federal
- Eligible project types (must be in non-attainment or maintenance area):
  - Strategic Initiatives – park and ride, transit, diesel retrofit
  - General Call – traffic flow improvement, bike/pedestrian improvements
- Contact – Casey Langford (615-532-5824)

Safe Routes to School (SRTS)

- 2016 grants were awarded this Summer
- Match (none) – 100% federal
- Cap – $250,000

- Eligible project types – traffic diversion improvements, sidewalks, education
- Contact - Diana Benedict (615-253-2421)

Multimodal Access Grant

- 2016 grants were awarded this Summer
- Match – 95% state/5% local
- Cap – $1 million
- Eligible project types - sidewalks, bicycle lanes, road diets, separated bicycle facilities
- Contact – Jessica Wilson (615-741-5025)

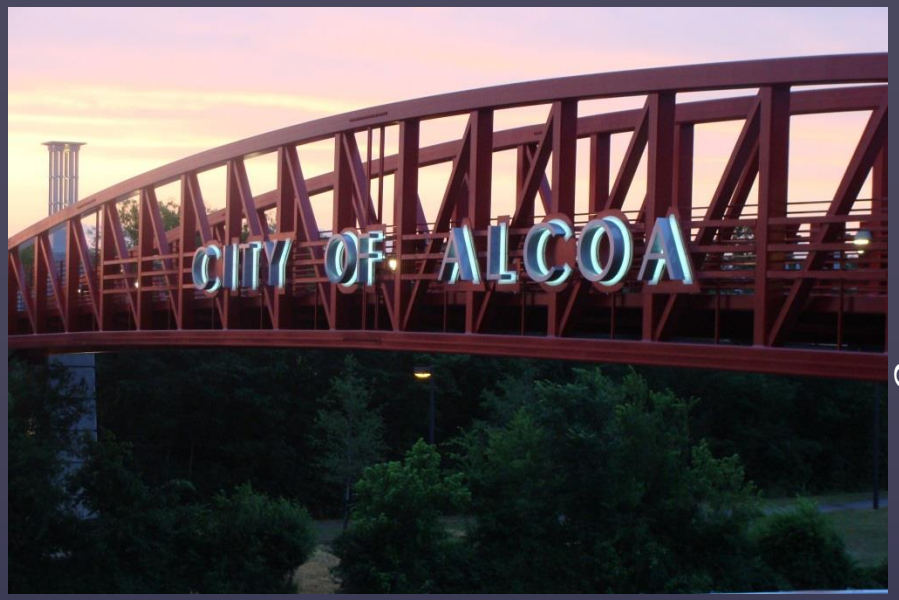
Transportation Alternatives Program (TAP)

- **2017 Applications Due: October 3**
  - **http://www.tn.gov/tdot/topic/tap**
- **Match – construction only, 80% federal/ 20% local**
- **Eligible project types – pedestrian facilities, scenic overlooks, historic preservation, safe routes for non-drivers**
- **Contact – Neil Hansen (615-741-4850)**

Jackson

East Chester Street

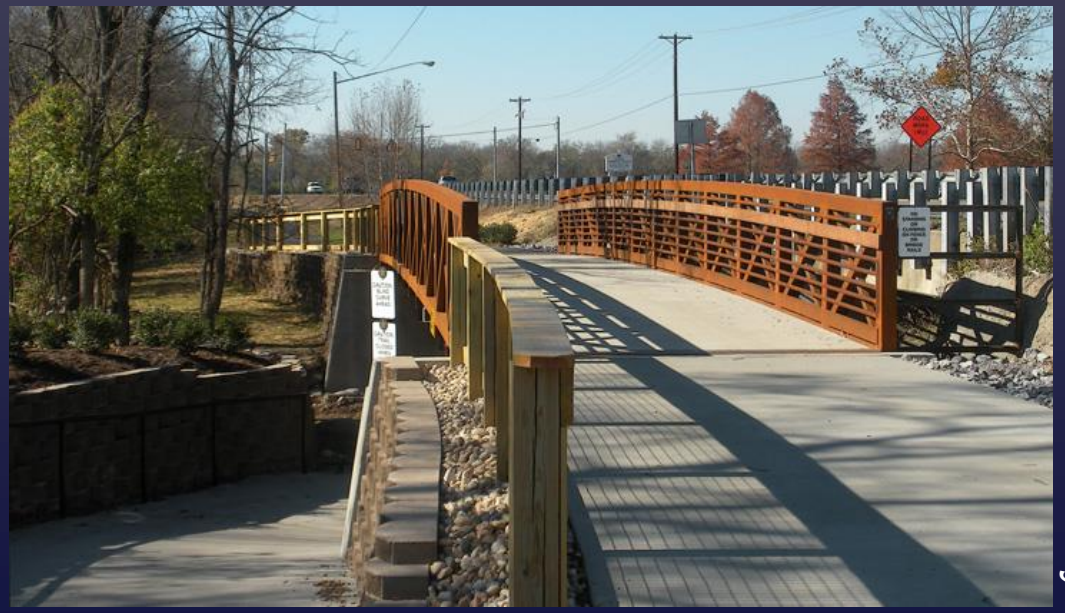
Alcoa



Pedestrian Bridge

Rieverwalk

Chattanooga



Towne Creek Greenway

Gallatin

Distribution Matrix

CHAPTER 2 - DISTRIBUTION MATRIX

The Local Programs Development Office (LPDO) acts as guardian to all phases in locally managed projects in order to establish accountability and to ensure that all activities meet applicable standards. The office provides "Notice to Proceed" documents for NEPA, Design, Right-of-Way (ROW), and Construction phases of project development. Overall, the LPDO is Tennessee Department of Transportation's (TDOT)'s single point of contact for project correspondence and submittals throughout the life of a project. During certain phases of project development, the LG will be required to provide information directly to TDOT personnel and/or other entities. Documents listed in Table 2-1 should be distributed as follows.

Document Type	Recipients	When	Notes
TDOT Policies			
Responsible Charge Form (Form 1-1)	Local Programs Development Office	During initiation, updated as needed	This is part of the Initiation Packet (Form 3-1).
TDOT Selection Policy (Form 1-2)	Local Programs Development Office	During project initiation	
Consultant Advertisement, Procurement Process, Consultant Contract	Local Programs Development Office	After NTP for NEPA	This submittal normally takes place after the NTP for NEPA; however, consultant procurement can happen prior to the NEPA Phase if no reimbursement is expected.
Project Initiation			
Project Initiation Form and Checklist (Form 3-1)	Local Programs Development Office	Before the contract can be issued	
Certification of Compliance Regarding Third-Party Contracts (Form 3-2)	Local Programs Development Office	Before the contract can be issued	
Tennessee ITS Project Identification Checklist	MPO	Prior to inclusion into the TIP/STIP	If the LG is not in an MPO area, the agency will need to consult with the LPDO.
Environmental Clearance			
Draft Environmental Document	TDOT Local Programs Environmental Coordinator- Environmental Division	After NTP for NEPA	
Design			
Proprietary Product Letter Template (Form 5-1a and 5-1b)	Local Programs Development Office	During the Design Phase, if applicable	A justification letter from the LG must accompany the letter template.
Design Exception Request and Justification Form (Form 5-2)	Local Programs Development Office	If applicable, as soon as a design exception is known	
Non-Motorized Transportation Facility Design Checklist (Form 5-3)	Local Programs Development Office	Required with every non-motorized facility plan submittal	
Design Certification Letter (Form 5-4)	Local Programs Development Office	Required prior to moving to the ROW Phase	
Preliminary Plans	Local Programs Development Office	The first plan submittal in the Design Phase	
ROW Plans	Local Programs Development Office	The second plan submittal in the Design Phase	
Construction Plans	Local Programs Development Office	During the ROW Phase	
Preliminary Construction Estimate	Local Programs Development Office	With the ROW plan submittal	
Preliminary Bridge Layout	Local Programs Development Office	Submitted with Form 5-5	The Local Programs Development Office will submit to TDOT Structures for approval
Roadway Design Policies Checklist (Form 5-5)	Local Programs Development Office	Required with every roadway plan submittal	
Structures Design Checklist (Form 5-6)	Local Programs Development Office	Required with all structures plan submittals	
Final Bridge Plans	Local Programs Development Office	During the ROW Phase, submitted with Form 5-5	The Local Programs Development Office will submit to TDOT Structures
Hydraulic Model Files with Hydraulic Design Summary	Local Programs Development Office	During the ROW Phase	The Local Programs Development Office will submit to TDOT Structures
Final Retaining Walls Plans	Local Programs Development Office	During the ROW Phase	The Local Programs Development Office will submit to TDOT Structures
Final Construction Plans	Local Programs Development Office	During the ROW Phase, prior to NTP for Construction	Submittal only
ROW, Utilities, and Railroads			
Utility Consultant Firm Choice	Local Programs Development Office	During the ROW Phase	Submit the contract, overhead rate, and estimate
Railroad Photos	TDOT Headquarters Railroad Coordinator	During the ROW Phase	If applicable
Railroad Coordination Plans	TDOT Headquarters Railroad Coordinator	During the ROW Phase	If applicable
Railroad Estimate	TDOT Headquarters Railroad Coordinator	During the ROW Phase	If applicable
Civil Right Compliance			
Title VI Compliance	Contact the TDOT Civil Rights Office	Prior to the NTP for Construction	
Uniform Report of DBE Commitments/Awards (Form 7-1)	TDOT Civil Rights Office	Semi-annually	Copy the Local Programs Development Office

LGGM Forms

Documents and Forms

The documents provided on this website are outlined in the Local Government Guidelines below. Refer to the manual for additional information. Local governments should start using the new forms and documents immediately for their projects.

Local Government Guidelines Manual

Local Government Guidelines Manual, Sixth Edition, March 1, 2016 Adobe PDF

Forms, Checklists & Letter Templates

- CHAPTER 1: Funding Programs and TDOT Policies
- CHAPTER 3: Getting Started
- CHAPTER 5: Roadway Design Procedures, Including Structural Design
- CHAPTER 6: Right-of-Way, Utility, and Railroad Procedures
- CHAPTER 7: Civil Rights Compliance
- CHAPTER 8: Pre-Construction and Construction Procedures
- CHAPTER 9: Billing Procedures
- CHAPTER 11: Accelerated Delivery
- Other Policies and Further Guidance

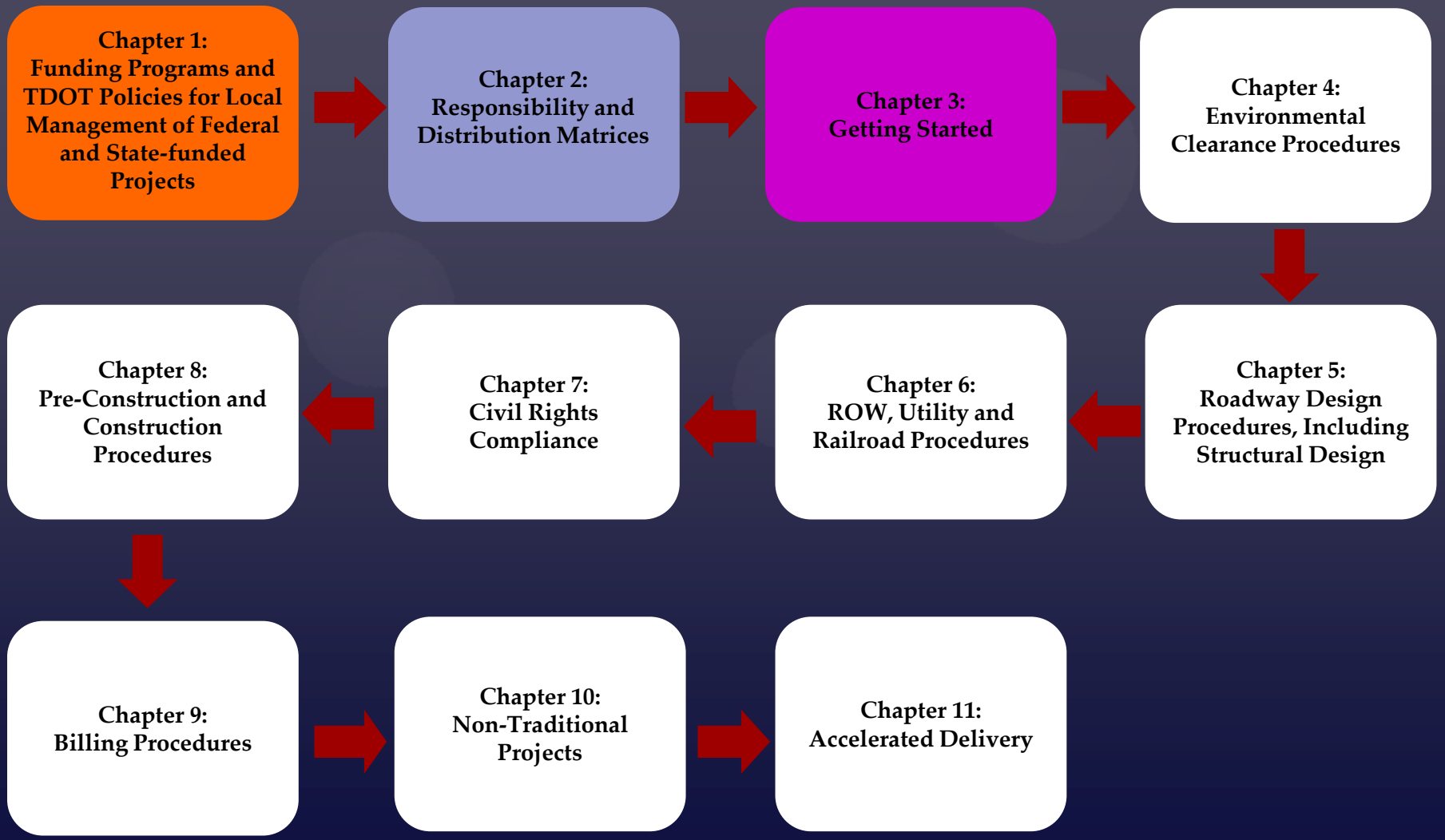
http://www.tn.gov/tdot/topic/local-programs-documents-and-forms

Manual Updates

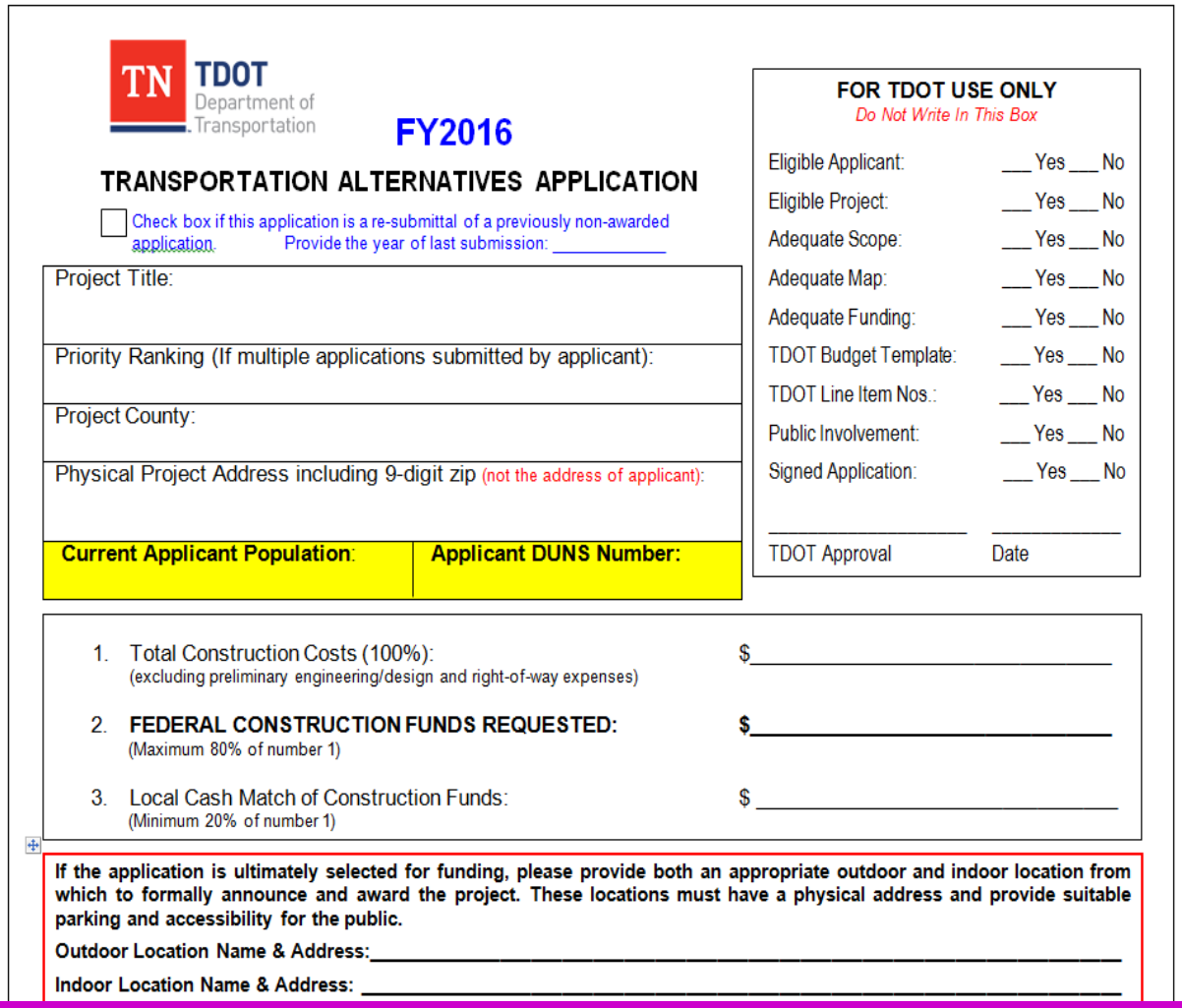
- **Completely Updated Q&A**
- **Responsible Charge Form (Form 1-1)**
- **Deleted Legal Disclaimer (formerly Form 1-1)**
- **User-friendly Responsibility Matrix (Ch. 2)**

Questions?

Chapters Flow Chart



Competitive Grant Application Programs



TN TDOT Department of Transportation

FY2016

TRANSPORTATION ALTERNATIVES APPLICATION

☐ Check box if this application is a re-submittal of a previously non-awarded application. Provide the year of last submission: _____

Project Title:

Priority Ranking (If multiple applications submitted by applicant):

Project County:

Physical Project Address including 9-digit zip (not the address of applicant):

Current Applicant Population: | **Applicant DUNS Number:**

FOR TDOT USE ONLY
Do Not Write In This Box

Eligible Applicant:	___ Yes ___ No
Eligible Project:	___ Yes ___ No
Adequate Scope:	___ Yes ___ No
Adequate Map:	___ Yes ___ No
Adequate Funding:	___ Yes ___ No
TDOT Budget Template:	___ Yes ___ No
TDOT Line Item Nos.:	___ Yes ___ No
Public Involvement:	___ Yes ___ No
Signed Application:	___ Yes ___ No

_____ _____
TDOT Approval Date

1. Total Construction Costs (100%): $_____
   (excluding preliminary engineering/design and right-of-way expenses)
2. **FEDERAL CONSTRUCTION FUNDS REQUESTED:** **$_____**
   (Maximum 80% of number 1)
3. Local Cash Match of Construction Funds: $ _____
   (Minimum 20% of number 1)

If the application is ultimately selected for funding, please provide both an appropriate outdoor and indoor location from which to formally announce and award the project. These locations must have a physical address and provide suitable parking and accessibility for the public.

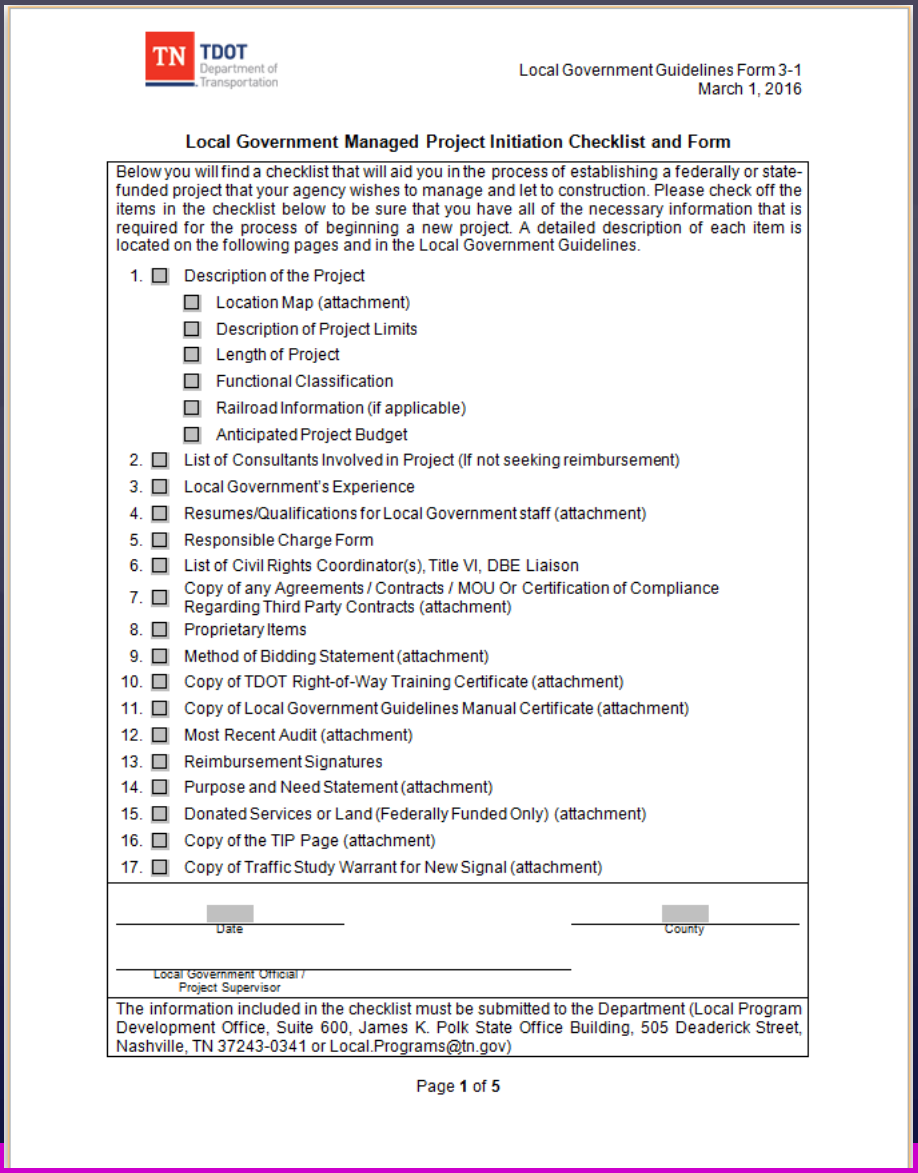
Outdoor Location Name & Address:_____

Indoor Location Name & Address: _____

Common Mistakes:

- An initiation packet (Form 3-1) is not required once the grant is awarded
- Project location is limited to a functionally classified system

Project Initiation



TN TDOT Department of Transportation

Local Government Guidelines Form 3-1
March 1, 2016

Local Government Managed Project Initiation Checklist and Form

Below you will find a checklist that will aid you in the process of establishing a federally or state-funded project that your agency wishes to manage and let to construction. Please check off the items in the checklist below to be sure that you have all of the necessary information that is required for the process of beginning a new project. A detailed description of each item is located on the following pages and in the Local Government Guidelines.

1. ☐ Description of the Project
   - ☐ Location Map (attachment)
   - ☐ Description of Project Limits
   - ☐ Length of Project
   - ☐ Functional Classification
   - ☐ Railroad Information (if applicable)
   - ☐ Anticipated Project Budget
2. ☐ List of Consultants Involved in Project (If not seeking reimbursement)
3. ☐ Local Government's Experience
4. ☐ Resumes/Qualifications for Local Government staff (attachment)
5. ☐ Responsible Charge Form
6. ☐ List of Civil Rights Coordinator(s), Title VI, DBE Liaison
7. ☐ Copy of any Agreements / Contracts / MOU Or Certification of Compliance Regarding Third Party Contracts (attachment)
8. ☐ Proprietary Items
9. ☐ Method of Bidding Statement (attachment)
10. ☐ Copy of TDOT Right-of-Way Training Certificate (attachment)
11. ☐ Copy of Local Government Guidelines Manual Certificate (attachment)
12. ☐ Most Recent Audit (attachment)
13. ☐ Reimbursement Signatures
14. ☐ Purpose and Need Statement (attachment)
15. ☐ Donated Services or Land (Federally Funded Only) (attachment)
16. ☐ Copy of the TIP Page (attachment)
17. ☐ Copy of Traffic Study Warrant for New Signal (attachment)

Date _____ County _____

Local Government Official / Project Supervisor _____

The information included in the checklist must be submitted to the Department (Local Program Development Office, Suite 600, James K. Polk State Office Building, 505 Deaderick Street, Nashville, TN 37243-0341 or Local.Programs@tn.gov)

Page **1** of **5**

TIP/STIP

- All Federally funded projects must be included in a TIP or STIP
- ITS Project Identification Form
- These items must be included in the initiation packet

ITS Projects

- **Intelligent Transportation Systems (ITS)**
- **Defined as:** ***"Any project that in whole or in part funds the acquisition of technologies or systems of technologies that provide or significantly contribute to the provision of one or more ITS user services as defined in the National ITS architecture"***
- **Examples:**
  - **Traffic signal control systems**
  - **Traffic detection/monitoring systems**

ITS Projects

- Must determine if ITS before placing in TIP/STIP
- Tennessee ITS Project Identification Form must be completed and submitted
  - Helps determine whether a Systems Engineering Analysis (SEA) is required
  - Submit signed form with project initiation packet (Form 3-1)
  - LG also submits to TDOT.TrafficOps@tn.gov
- Three ITS project levels determined by TDOT:
  - High Risk
  - Low Risk
  - Non-SEA
- TDOT will notify LG if any additional documentation required

Initiation Packet

TN TDOT Department of Transportation

Local Government Guidelines Form 3-1
March 1, 2016

Local Government Managed Project Initiation Checklist and Form

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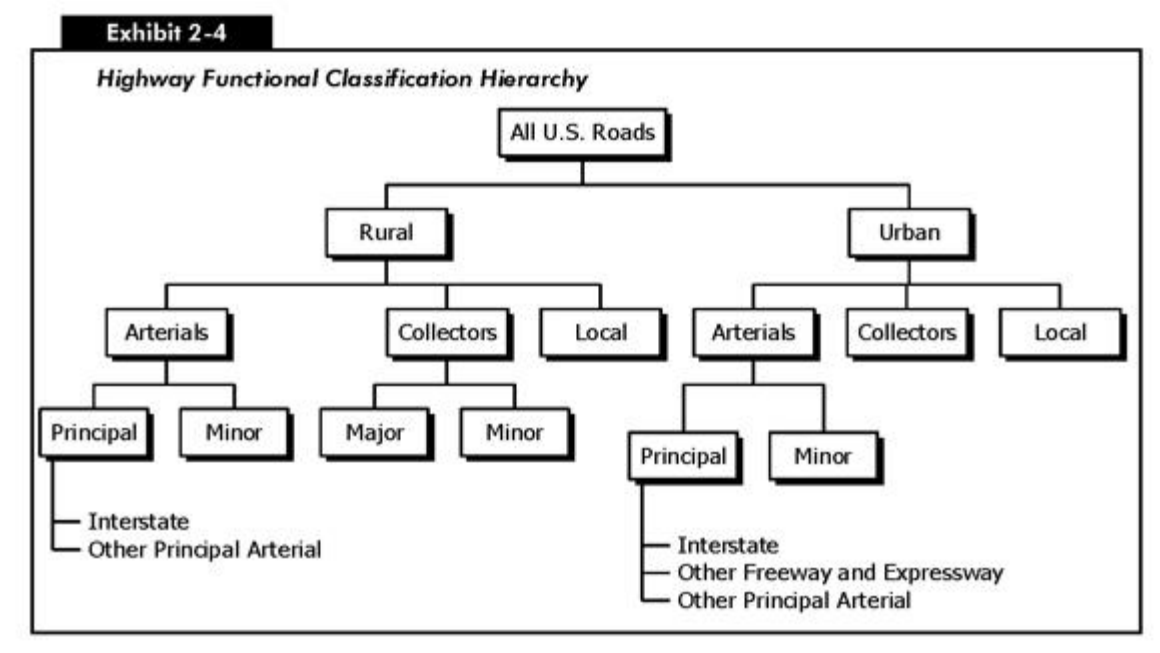
9. ☒ Method of Bidding Statement (attachment)

Functional Classifications of Roadways

- E-trims



- Long Range Planning

Civil Rights Coordinator

- LG must have a civil rights coordinator on staff that has completed the Title VI training, which is available online. Designate appropriate person(s) responsible for ensuring compliance with Title VI, EEO and DBE requirements. (Title VI Coordinator, EEO Officer, DBE Liaison).

- This person should have a responsible position in the LG and have easy access to the head of the LG.

ADA Compliance

1. Designate an ADA Coordinator
2. Notify public of obligations under ADA
3. Establish a grievance procedure
4. Inventory existing facilities
5. Develop a Transition Plan to make structural modifications to provide access
6. Include a schedule and budget to implement the Transition plan
7. Monitor progress on implementation of the Transition Plan

TDOT ADA Coordinator

Margaret Zeman Mahler
Tennessee Dept. of Transportation
505 Deaderick Street #400, Nashville, TN 37243
615- 741-4984
V/TTY 615-253-8311
Margaret.z.mahler@tn.gov

Equal Employment Opportunity (EEO)

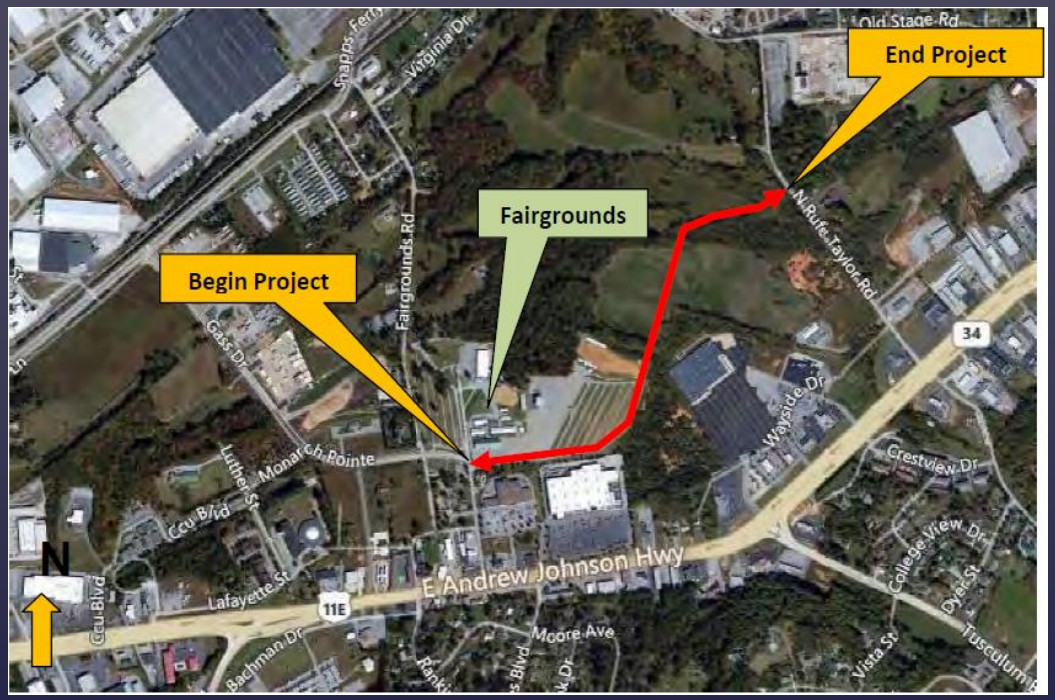
The LG must be committed to a policy of Equal Employment Opportunity and will administer its personnel policies and conduct its employment practices in a manner which treats each employee, applicant for employment and contractor/consultant employee on the basis of merit, experience and other work related criteria without regard to race, color, religion, national origin, sex, age, disability or any other protected class.

Title VI

- Every government receiving federal-aid must have a comprehensive and pro-active Title VI enforcement program to eliminate and prevent discrimination
- Title VI certification must be obtained prior to the issuance of a Notice to Proceed for Construction
- Title VI compliance must be from TDOT

Common Mistakes:

- Not including a map
- All applicable phases not in the TIP
- Road not functionally classified greater than a rural minor collector or a local road to use federal funding
- Not using the most updated version of Form 3-1: Project Initiation Form and Checklist



Staffed and Equipped Interview

State Managed Projects

The Department may manage your project for you if one of the following circumstances is applicable:

- If your project is within State right-of-way

or

- If your LG is not adequately staffed and equipped for the level of project you wish to pursue

What are Small Projects?

Small Projects

- Transportation Alternatives (TA)
- Intersection improvements without significant ROW (under one acre of disturbance)
- Safe Route to Schools
- Resurfacing, striping, signing
- Guardrail installation
- Signalization
- Some bridge replacement projects (under one acre of disturbance)
- Non-construction/service contracts (as listed in Chapter 10)
- Low risk and non-SEA ITS

Requirements

- Staffed and Equipped Interview
- Full-time employee of agency with experience in managing similar projects
- Must hire design and construction engineering and inspection (CEI) consultants from TDOT's pre-qualified list

NOTE: If local forces are qualified and experienced, the LG can request to Local Programs for them to do their own engineering and CEI work.

What are Mid-Range Projects?

Mid-Range Projects

- Roadway widening
- Realignment of existing roadway
- Signalization projects with the addition of turn lanes
- Intersection improvements with significant ROW (over one acre of disturbance)
- Bridge replacement projects requiring significant land acquisition (over one acre of disturbance)
- Projects with environmental requirements greater than a categorical exclusion but lesser than an EIS

Requirements

- Professional registered engineer on staff with experience working with federal and state agencies
- Must hire design and construction engineering and inspection (CEI) consultants from TDOT's pre-qualified list
- The selected CEI consultant shall not be associated with any other aspect of the project

What are Large Projects?

Large Projects

- Construction of new facilities
- Widening of existing roadways
- Realignment of existing roadways that require significant land acquisition (over 10 acres)
- Environmental clearances that require an EIS

Requirements

- Professional registered engineer on staff with extensive experience in managing federally-funded transportation projects
- Must hire design and construction engineering and inspection (CEI) consultants from TDOT's pre-approved list
- The selected CEI consultant shall not be associated with any other aspect of the project

Next…a contract is issued

Federally Funded: Locally, TDOT, or Combination Managed

Agreement Number: 110147

Project Identification Number: 115881.00

Federal Project Number: STP-M-9104(15)

State Project Number: 30LPLM-F3-011

State of Tennessee Department of Transportation

LOCAL AGENCY PROJECT AGREEMENT

THIS AGREEMENT, made and entered into this _____ day of _____, 20___ by and between the STATE OF TENNESSEE DEPARTMENT OF TRANSPORTATION, an agency of the State of Tennessee (hereinafter called the "Department") and City of Greeneville (hereinafter called the "Agency") for the purpose of providing an understanding between the parties of their respective obligations related to the management of the project described as:

TDOT Contract Steps

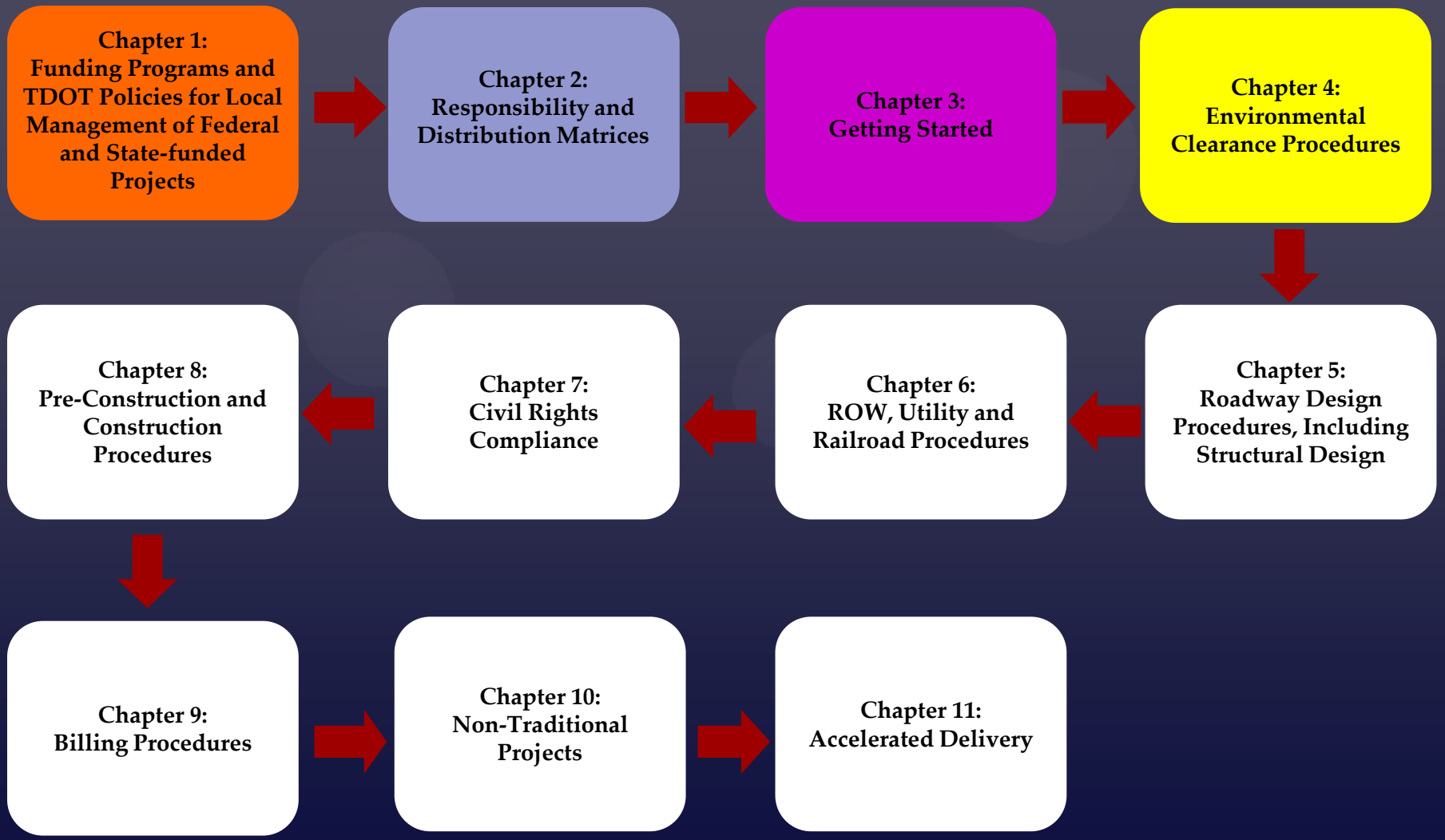
1. Contract sent to LG
2. LG reviews the contract and returns ORGINAL CONTRACT with Mayor and Attorney's signatures
3. TDOT request obligation of NEPA funds from FHWA
4. Contract sent to TDOT Legal Division for signature
5. Contract sent to Commissioner for execution
6. Contract returned from Commissioner to LPDO
7. Copy of fully-executed contract sent to local agency
8. Notice to Proceed can be issued once funds are obligated

Manual Updates

- **Modified the force account procedure**
- **Added section on ITS projects**

Questions?

Chapters Flow Chart



Notice To Proceed

From: Kimery Grant
Sent: Tuesday, February 2, 2013 10:56 AM
To: Joey Tribbiani (j.tribbiani@greenvilletn.com)
Cc: Paul Degges; Ronnie Porter; Whitney Sullivan; Kip Mayton; Matt Burcham; Kimery Grant; TDOT.Env NEPA; Jason Baker; Steve Chapman; Willie Coleman
Subject: PIN 115881.00, Notice to Proceed for NEPA Phase

Good morning,

I have attached the Notice to Proceed for Preliminary Engineering for the Environmental Phase for the project referenced above. You shall perform this phase of project development in accordance with the Local Government Guidelines Manual which can be found online at the following web address: http://www.tn.gov/assets/entities/tdot/attachments/LGG_Manual.pdf.

Please note that this notice is for PE-NEPA for PIN # 115881.00. Expenses incurred on later phases of the project (design, right-of-way and construction) will not be reimbursed unless you have a Notice to Proceed in your possession before you initiate them.

Please be sure to send me the executed consultant contract.

If you have any questions please feel free to contact me. Thank you.

Kind Regards,
Kimery

TN TDOT Department of Transportation

Kimery Grant | Transportation Planner
Local Programs Development Office
James K. Polk Building, 6th Floor
505 Deaderick Street, Nashville, TN 37243
p. 615-777-1111 f. 615-755-0000
Kimery.Grant@TN.gov
tn.gov/tdot
http://www.tn.gov/tdot/section/local-programs

DKM

NOTICE TO PROCEED WITH THE UNFUNDED

PRELIMINARY ENGINEERING PHASE

(ENVIRONMENTAL ONLY)
OF PROJECT DEVELOPMENT

PIN:	115881.00
FEDERAL PROJECT NUMBER:	STP-M-9104(15)
STATE PROJECT NUMBER:	30LPLM-F0-008
ROUTE (STREET NAME):	Fairgrounds Connector Road
FROM:	Fairgrounds Circle
TO:	North Rufe Taylor Road
CITY:	Greeneville
COUNTY:	Greene
REGION:	1

Effective Date: 2/26/2013
Date of Transmittal: 2/27/2013

This letter serves as your official Notice to Proceed with the above referenced phase of work for the subject project. The Local Government shall perform this phase of project development in accordance with the Local Government Guidelines provided on the Local Program Development Office website at http://www.tdot.state.tn.us/local/. Work may not be performed for any later phase of project development until an additional Notice to Proceed is issued. Any work performed ahead of a Notice to Proceed's Effective Date will not be reimbursed.

You may procure, in accordance with law, a consulting engineering firm to do all phases of preliminary engineering at this time. Please refer to Section 1.6 of the Local Government Guidelines for guidance on consultant selection, if needed. *Please provide a copy of the executed contract with the consultant and a copy of the notice sent to the consultant indicating the date work was authorized on the phase of the project mentioned above.* These documents should be addressed to Manager, Local Program Development Office and sent by email to Local.Programs@tn.gov.

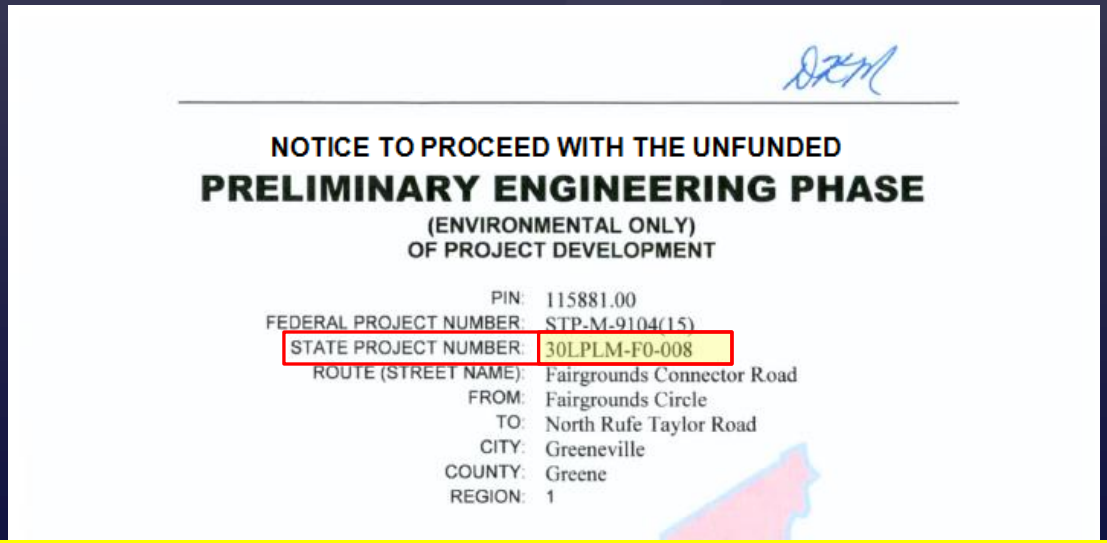
If you have questions or concerns regarding this matter please direct them to Kimery Smith at 615.741.5314 in the Local Program Development Office. You may contact us by email at: Local.Programs@tn.gov.

cc: Paul Degges
Jim Moore
Ronnie Porter
Kip Mayton
Jason McCoy
TDOT.Environmentaldoc@tn.gov
Regional Director
Regional ROW Manager
Regional Utility Manager
File

State Project Numbers

- County Number
- LPLM (Local Programs Locally Managed)
- Federal or State Funding & Phase Number

  0 = NEPA, **1** = Design, **2** = ROW, **3** = Construction
- Route Sequence



NOTICE TO PROCEED WITH THE UNFUNDED

PRELIMINARY ENGINEERING PHASE

(ENVIRONMENTAL ONLY)
OF PROJECT DEVELOPMENT

PIN:	115881.00
FEDERAL PROJECT NUMBER:	STP-M-9104(15)
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Brooks Act of 1972

United States federal law passed in 1972 that requires that the U.S. Federal Government select engineering and architecture firms based upon their competency, qualifications and experience rather than by price

Brooks Act of 1972

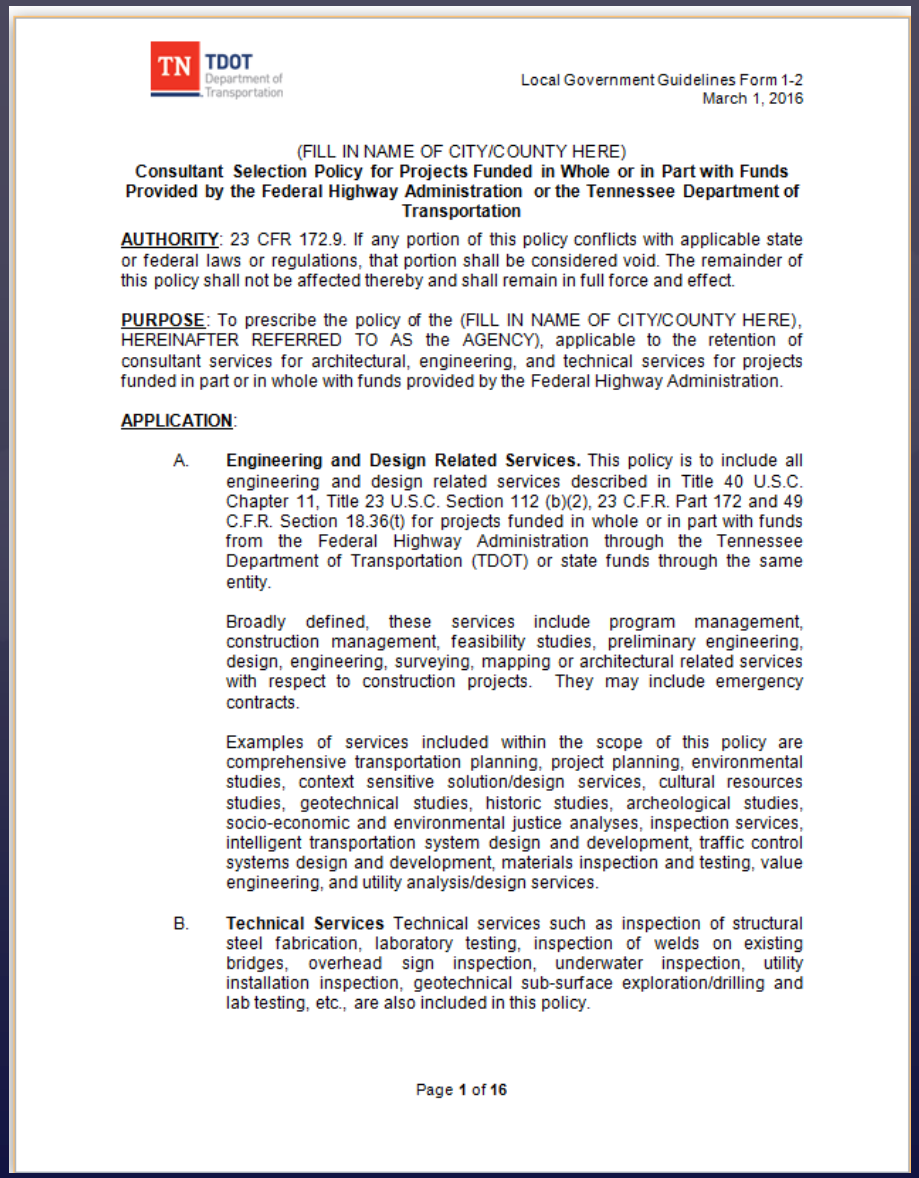
Engineering Services Estimated to be Over $150,000

- Must advertise to get Request for Qualifications (RFQs) or Proposals (RFPs) from qualified firms
- Establish a consultant evaluation committee
- Do not negotiate price until selection made

Engineering Services Estimated to be Under $150,000

- May contact an adequate number (3) of firms for RFQs/RFPs
- Establish a consultant evaluation committee
- Do NOT negotiate price until selection made

Consultant Selection Policy



TN TDOT Department of Transportation

Local Government Guidelines Form 1-2
March 1, 2016

(FILL IN NAME OF CITY/COUNTY HERE)
Consultant Selection Policy for Projects Funded in Whole or in Part with Funds Provided by the Federal Highway Administration or the Tennessee Department of Transportation

AUTHORITY: 23 CFR 172.9. If any portion of this policy conflicts with applicable state or federal laws or regulations, that portion shall be considered void. The remainder of this policy shall not be affected thereby and shall remain in full force and effect.

PURPOSE: To prescribe the policy of the (FILL IN NAME OF CITY/COUNTY HERE), HEREINAFTER REFERRED TO AS the AGENCY), applicable to the retention of consultant services for architectural, engineering, and technical services for projects funded in part or in whole with funds provided by the Federal Highway Administration.

APPLICATION:

A. **Engineering and Design Related Services.** This policy is to include all engineering and design related services described in Title 40 U.S.C. Chapter 11, Title 23 U.S.C. Section 112 (b)(2), 23 C.F.R. Part 172 and 49 C.F.R. Section 18.36(t) for projects funded in whole or in part with funds from the Federal Highway Administration through the Tennessee Department of Transportation (TDOT) or state funds through the same entity.

Broadly defined, these services include program management, construction management, feasibility studies, preliminary engineering, design, engineering, surveying, mapping or architectural related services with respect to construction projects. They may include emergency contracts.

Examples of services included within the scope of this policy are comprehensive transportation planning, project planning, environmental studies, context sensitive solution/design services, cultural resources studies, geotechnical studies, historic studies, archeological studies, socio-economic and environmental justice analyses, inspection services, intelligent transportation system design and development, traffic control systems design and development, materials inspection and testing, value engineering, and utility analysis/design services.

B. **Technical Services** Technical services such as inspection of structural steel fabrication, laboratory testing, inspection of welds on existing bridges, overhead sign inspection, underwater inspection, utility installation inspection, geotechnical sub-surface exploration/drilling and lab testing, etc., are also included in this policy.

Page 1 of 16

Consultant Selection Criteria

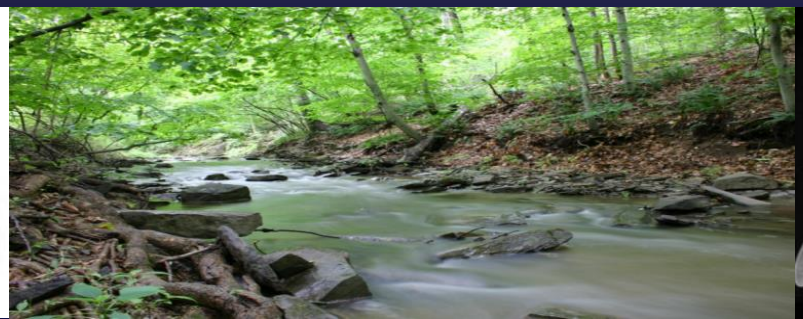
1 lowest to highest 4

Evaluation Criteria	Geller & Assoc.	Brock Engineering	DAC & Assoc.	Swafford Engineering
A. Ability and relevant expertise of the firm's personnel to be used on the project	4	4	4	4
B. Past experience in the discipline, and in projects similar to the types of locally-managed projects listed in the RFQ	3	4	4	4
C. Documented success of previous programs/projects similar in nature	4	4	4	4
D. Education, experience, and availability of staff and subcontractors expected to be utilized for this contract	3	4	4	4
E. Firm's awareness of project's issues, opportunities, and costraints	3	3	3	3
F. Demonstrated ability to meet schedules without compromising sound engineering practice	3	3	3	3
G. Amount of work presently under contract with TDOT and other clients	3	3	3	3
H. Evaluations on prior projects with the City *if applicable*	3	4	3	3
TOTAL SCORE	26	29	28	28

What Is NEPA?

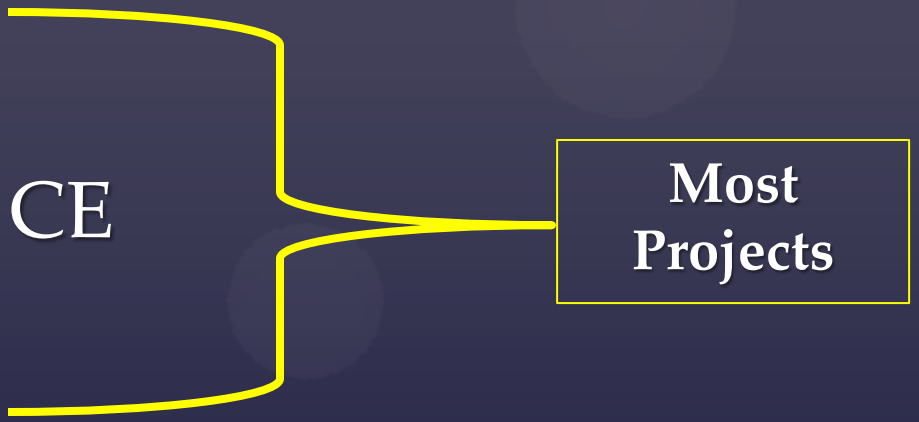
National Environmental Policy Act

Signed into law on January 1, 1970, NEPA establishes national environmental policy and goals for the protection, maintenance, and enhancement of the environment. For proposed actions with a federal nexus, NEPA provides a mechanism for meeting many environmental reviews and approvals.



NEPA Process

- Define Project Area
- Determine NEPA Doc Level
  - C-List CE
  - Programmatic CE
  - D-List CE
  - TEER (State Funded Projects)
  - Environmental Assessment
  - Environmental Impact Statement



Technical Studies

- Air Quality
- Noise
- Historic
- Archaeology
- Hazmat
- Ecology
- Native American Coordination

Agency Letters & Coordination

(responses required)

- Local Officials Coordination
- SHPO Letter
- USFWS Letter
- TWRA Letter
- TDEC

TDOT will distribute letters during the coordination process.

Data Collection

- TIP/STIP
- Project Plans
- Location & FEMA Mapping
- Right-of-Way Easements
- Farmland
- Environmental Justice

Environmental Document

Must Follow:

- NEPA Streamlined Documentation Checklist
  - Programmatic CE & C-List CE
- Tennessee Environmental Procedures Manual
  - TEER, Environmental Assessment & EIS

Environmental Document

TDOT will submit the Environmental Document to FHWA for review and approval, if applicable.

- Once document approved, only valid for 3 years
- May also need to be re-evaluated if there is a scope change

Common Delays

- Revisions
  - Not submitting the best version of plans and drafts will cause extensions to the standard evaluation timeline

- Extended Studies & Coordination
  - Some projects may require extended or season specific studies
  - Bat Studies are only able to be done May 15th – August 15th & the study is valid for 2 years

Public Involvement

- The goal of public involvement is to promote an exchange of information between the public and the project team.
- Activities may include:
  - informal conversations with the affected public
  - notification letters to property owners
  - announcements in local newspapers

Public Involvement

- Must follow TDOT's Public Involvement Plan
- LG determines the proper level of public involvement
  - Coordinate with TDOT Environmental Division
- LG is responsible for holding all public hearings/meetings
- Records of meeting dates, times and comments shall be kept for all public meetings and provided to TDOT
- Disposition of comments shall be collected and included in the NEPA document

Environmental Commitments

- All environmental commitments must be shown in final plans
- If project is audited, records must show that environmental commitments were met

D-List Categorical Exclusion - Fairgrounds Connector, Phase 3
Greene County
TN-PIN: 115881.00
Date: December 6, 2013

Environmental Commitments

☐ Commitments are involved on the project.

List of Environmental Commitments

No project-specific commitments are involved on this project.

Environmental Commitments

- Historic property that cannot be disturbed.
  - At least 2 family cemeteries are at Nashville International Airport; fenced off with rules regarding access to property and maintenance
- Noise impact reduction
- Erosion and Sediment Control
- Visual commitments
  - working closely with local officials and residents to construct project with features that fit the current context of area and any future plans for the area

Local Government Representative Signature (if prepared by local government):

mm/dd/yyyy

Name
Title
Organization
Phone
Email

TDOT Approval

The Environmental Division TDOT has reviewed the proposed project for compliance with environmental laws and regulations. This project as proposed will not involve significant impacts to planned growth, land use, or existing travel patterns. The above findings demonstrate the fact that the proposed improvements will not indirectly or cumulatively have any significant environmental impacts. Therefore; it is our recommendation that this project be classified as a D-List Categorical Exclusion under the provision of 23 CFR 771.117(d).

Reviewed by Scarlett Sharpe **Date:** 11/21/2013

Scarlett Sharpe
Senior Transportation Planner
TDOT Environmental Documentation Office

Approved by Ann Andrews Digitally signed by Ann Andrews DN: cn=Ann Andrews, o=TDOT, ou=Environmental Division, email=ann.andrews@tn.gov, c=US Date: 2013.12.09 12:16:21 -06'00' **Date:** 11/21/2013

Ann Andrews
Transportation Manager II
TDOT Environmental Documentation Office

FHWA Concurrence

Concurrence _____ **Date:** _____

signature

_____
name

_____
title

Common Mistakes

- Termini and Scope on TIP page not included in the NEPA document
- Not billing as invoices and canceled checks become available
- Requesting reimbursement for ad expenses paid before receiving the NTP
- Not sending executed consultant contract to monitor
- Not getting project area re-evaluated when necessary (every 3 years, scope change, etc.)

Environmental Contact Person

Katie McKeel
Tennessee Department of Transportation
James K. Polk Building, Suite 900
Environmental Documentation Division
505 Deaderick Street
Nashville, Tennessee 37243-7120
Direct – 615-253-2475
Katie.mckeel@tn.gov

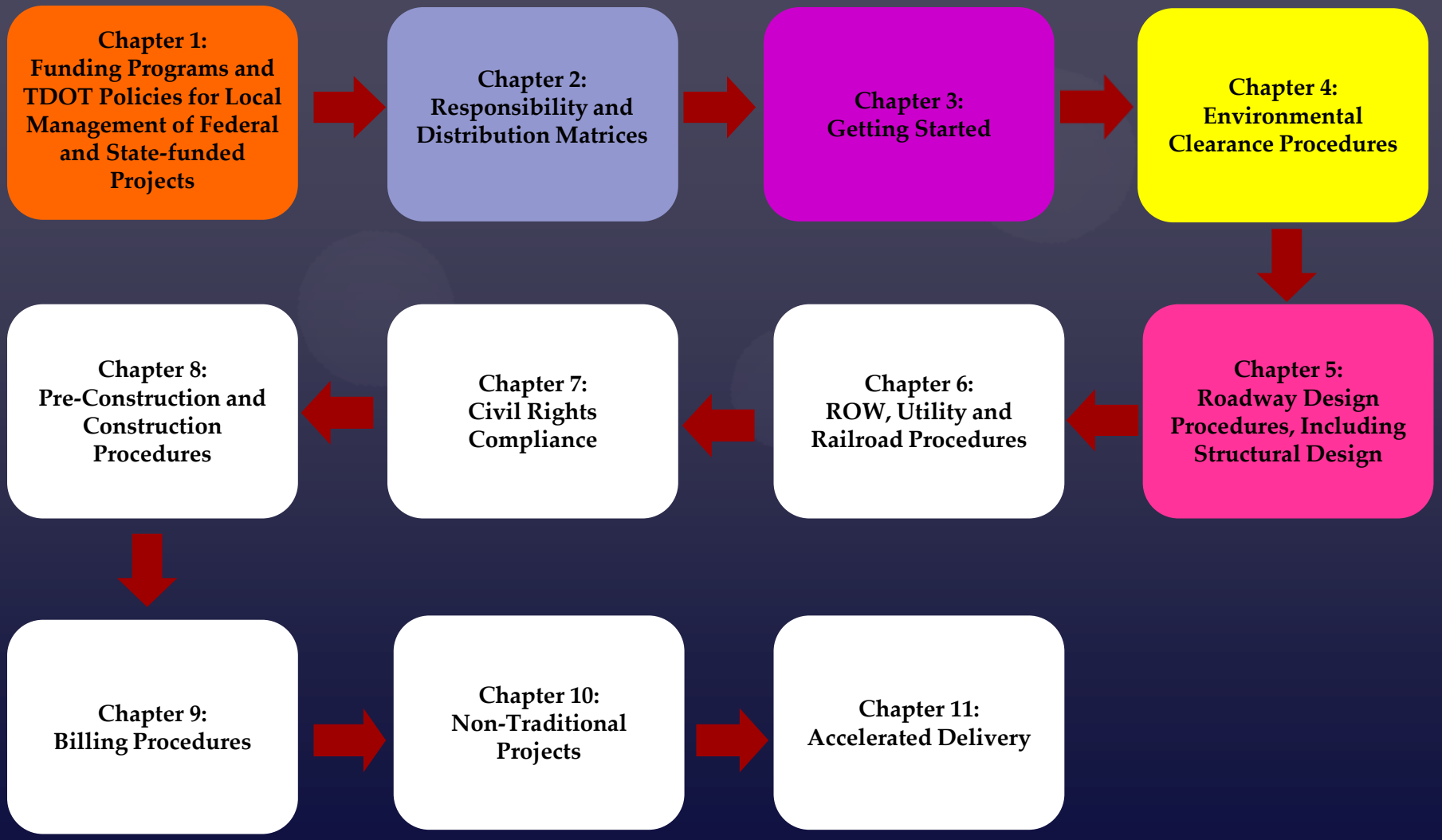
Manual Updates

- Overhaul on environmental clearance procedures (Chapter 4) to make chapter user-friendly

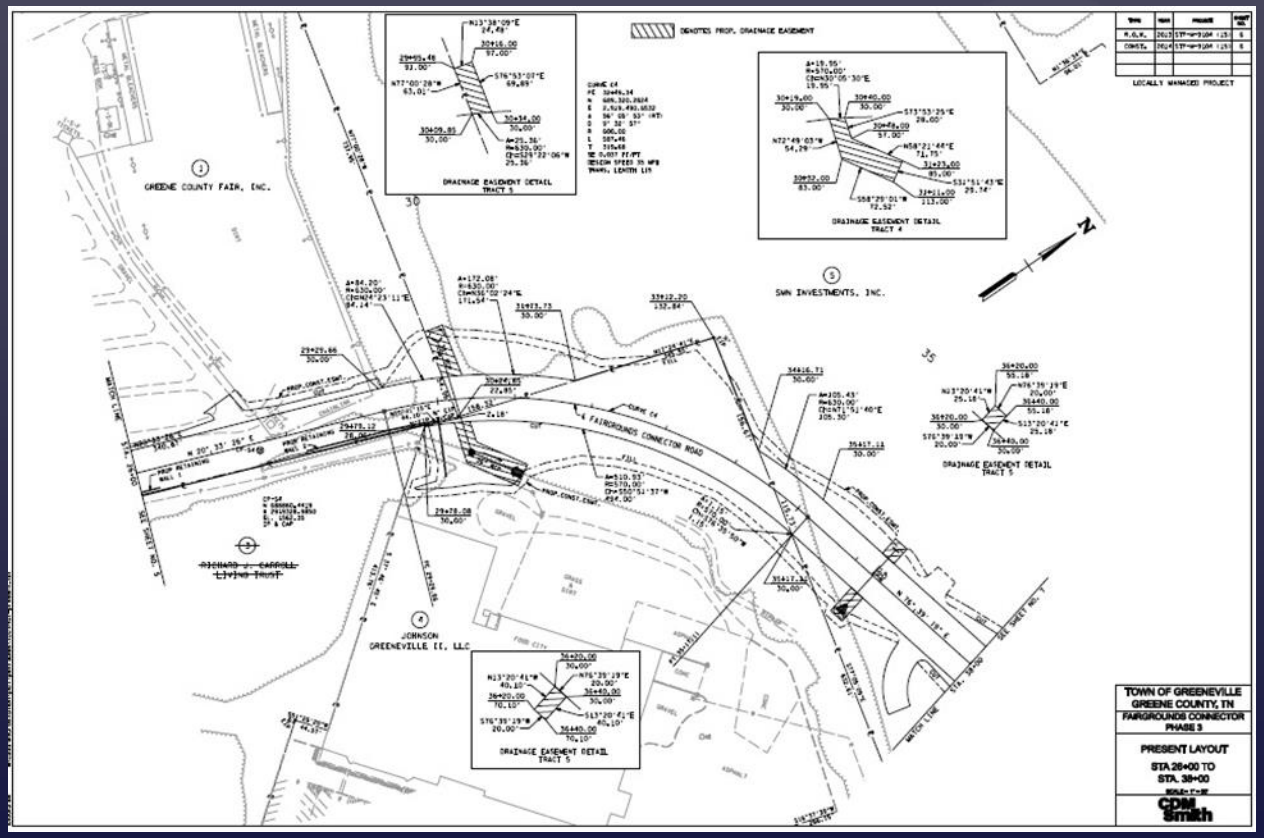
- Must submit copy of the signed consultant contract with selection process

Questions?

Chapters Flow Chart



Preliminary Engineering/Design Phase



Notice to Proceed

NOTICE TO PROCEED WITH THE

PRELIMINARY ENGINEERING FOR

FINAL DESIGN PHASE

OF PROJECT DEVELOPMENT

PIN:	115881.00
FEDERAL PROJECT NUMBER:	STP-M-9104(15)
STATE PROJECT NUMBER:	30LPLM-F1-009
ROUTE (STREET NAME):	Fairgrounds Connector Road
FROM:	Fairgrounds Circle
TO:	North Rufe Taylor Road
CITY:	Greeneville
COUNTY:	Greene
REGION:	1

Effective Date: 12/18/2013
Date of Transmittal: 12/19/2013

This letter serves as your official Notice to Proceed with the above referenced phase of work for the subject project. The Local Government shall perform this phase of project development in accordance with the Local Government Guidelines provided on the Local Program Development Office website at http://www.tdot.state.tn.us/local/. Work may not be performed for any later phase of project development until an additional Notice to Proceed is issued. Any work performed ahead of a Notice to Proceed's Effective Date will not be reimbursed.

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If you have questions or concerns regarding this matter please direct them to Kimery Smith at 615.741.5314 in the Local Program Development Office. You may contact us by email at: Local.Programs@tn.gov.

cc: Paul Degges
Jim Moore
Whitney Sullivan
Ronnie Porter
Kip Mayton
Sue Laaser
Design Division Local Programs Coordinator (Headquarters)
TDOT.Environmentaldoc@tn.gov
Regional Director
Director of Project Development
Regional Design
Regional Environmental Coordinator
File

Un-Funded Notice to Proceed

NOTICE TO PROCEED WITH THE UNFUNDED

PRELIMINARY ENGINEERING FOR

FINAL DESIGN PHASE

OF PROJECT DEVELOPMENT

PIN:	115881.00
FEDERAL PROJECT NUMBER:	STP-M-9104(15)
STATE PROJECT NUMBER:	30LPLM-F1-009
ROUTE (STREET NAME):	Fairgrounds Connector Road
FROM:	Fairgrounds Circle
TO:	North Rufe Taylor Road
CITY:	Greeneville
COUNTY:	Greene
REGION:	1

Effective Date: December 18, 2013
Date of Transmittal: December 19, 2013

This letter serves as your official Notice to Proceed with the above referenced phase of work for the subject project. The Local Government shall perform this phase of project development in accordance with the Local Government Guidelines provided on the Local Program Development Office website at http://www.tn.gov/assets/entities/tdot/attachments/LGG_Manual.pdf. Work may not be performed for any later phase of project development until an additional Notice to Proceed is issued. Any work performed ahead of a Notice to Proceed's Effective Date will not be reimbursed.

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If you have questions or concerns regarding this matter please direct them to Eli Jones at 615-741-5314 in the Local Program Development Office. You may contact us by email at: Local.Programs@tn.gov.

cc: Paul Degges
Jim Moore
Whitney Sullivan
Ronnie Porter
Kip Mayton
Matt Burcham
Kimery Grant
TDOT.DesignDesign.LocalPrograms@tn.gov.
Assistant Chief of Engineering
Director of Regional Project Delivery
Region Design Manager
Environmental Coordinator

Design Phase Submittals

- Preliminary design plans (must meet all TDOT standards)
- Design certification letter from local officials (Form 5-4)
- Appropriate checklist(s)
  - Non-Motorized Transportation Facility Design Checklist (Form 5-3)
  - Design Procedures Checklist (all projects) (Form 5-5)
  - Structures Design Checklist (bridges, etc.) (Form 5-6)
- Approval of any design exceptions (Form 5-2)
- Certification of any proprietary items (Forms 5-1a or 5-1b)
- Preliminary construction estimate
- Right-of-way plans
  - Present and proposed ROW must be shown

TDOT FTP Site

- Maximum email size = 15MB
- TDOT FTP Site – upload/retrieve large files
- https://webftp.tdot.state.tn.us/
- Pass Phrase: "TDOT Go Files" to send files

TDOT FTP Site

Welcome to TDOT's file transfer web site.

Business Partner button - TDOT's business partners use this link to send files to or receive files from TDOT's employees over the Internet.
TDOT Employees button - TDOT's employees use this link to send files to or receive files from business partners over the Internet.
TDOT to TDOT button - TDOT's employees use this link to send files to or receive files from other TDOT employees.

The pass phrase needed by **Business Partners to send files** can be obtained from TDOT employees that click on the "TDOT Employees" button.

Click on the appropriate button below.

Business Partner | TDOT Employees | TDOT to TDOT

TDOT FTP Site

Below are two links that allow you to send files to TDOT and receive files from TDOT. This site is used for TDOT business purposes only.

Send Files

After selecting the **Receive Files** button below, right click on the file you want to download and choose **Save Target As...**

Receive Files

If you need assistance, please call your TDOT contact.

TDOT FTP Site

webftp.tdot.state.tn.us - /FromTDOT/

[To Parent Directory]

6/29/2016 2:12 PM	19621259	001-123-RSA Report.pdf
7/13/2016 1:38 PM	185856	019.sht
6/22/2016 8:01 AM	37462993	08 16 SR 317 City Commission Mtg SM Comments.pptx
7/14/2016 1:29 PM	264167212	081572-00-FileRoom.pdf
5/31/2016 12:25 PM	7544998	083843-01 Bridge.pdf
5/31/2016 12:25 PM	25643624	083843-01 Roadway.pdf
7/13/2016 1:37 PM	140288	09B.sht
6/21/2016 10:05 AM	84578606	100241-03 PreliminaryFieldReview.pdf
7/28/2016 7:30 AM	93829659	100260-01-ROW-REV-10-14-15.pdf
7/14/2016 12:48 PM	108596045	100268-02-StanleyTrice.zip
7/8/2016 10:26 AM	12735617	100282-02-ROWFieldReview.pdf
7/21/2016 12:08 PM	22891568	100286-00-RainbowPlans.pdf
7/14/2016 8:32 AM	72081914	100286-00-ROW-Rev-7-23-15.pdf
7/19/2016 7:46 AM	169185480	100290-00-ROW.pdf
7/8/2016 1:21 PM	181079490	100312-01-DGN.zip
7/8/2016 1:15 PM	52777299	100312.01-PlanandXsec-for the Intersection.pdf
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6/2/2016 1:29 PM	52453125	100326-02-ROWFieldReview.pdf
6/21/2016 8:13 AM	134428877	100339-01-ROW-Rev-03-28-16.pdf
6/21/2016 8:15 AM	237492006	100339-01-ROW-Rev-03-28-16.zip
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7/13/2016 1:40 PM	840242	100966-02-Construction-0055.pdf
7/7/2016 2:02 PM	161733184	101122-00-FileRoom.pdf
7/28/2016 9:45 AM	163971422	101204-00-Info.pdf
6/10/2016 12:40 PM	37829109	101204-00-SR 62Comments.pdf
6/3/2016 7:21 AM	90260824	101343-00-Construction-Rev-02-22-16.pdf
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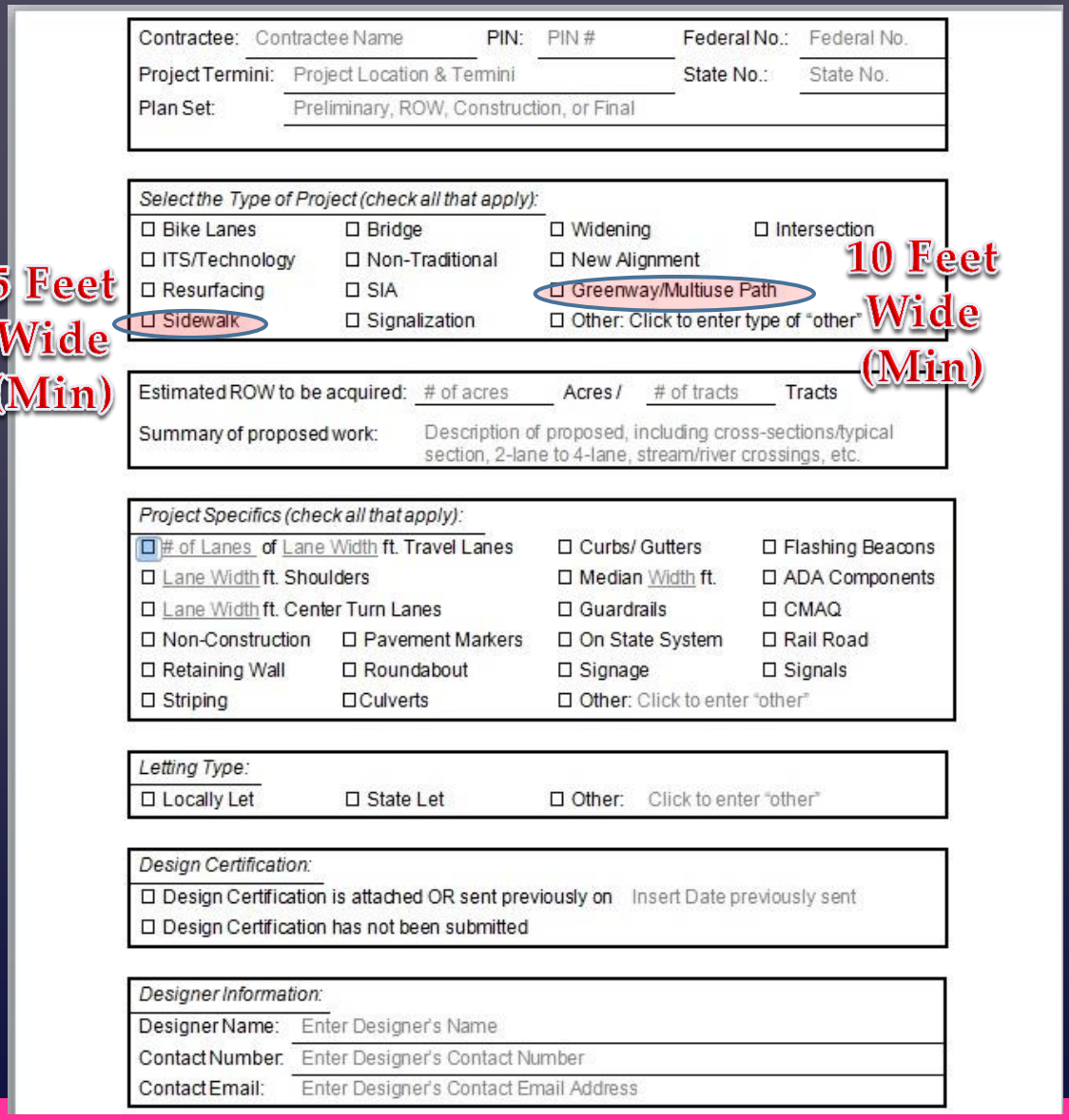
6/16/2016 4:49 PM	30310730	101887-LewisGas-Rainbow.pdf
6/16/2016 4:49 PM	7458130	101887-SR 50 - Revised-SEWER-RAINBOW.pdf

Design Procedures Checklist



Contractee: Contractee Name PIN: PIN # Federal No.: Federal No.
Project Termini: Project Location & Termini State No.: State No.
Plan Set: Preliminary, ROW, Construction, or Final

Select the Type of Project (check all that apply):

☐ Bike Lanes	☐ Bridge	☐ Widening	☐ Intersection
☐ ITS/Technology	☐ Non-Traditional	☐ New Alignment	
☐ Resurfacing	☐ SIA	☐ Greenway/Multiuse Path	
☐ Sidewalk	☐ Signalization	☐ Other: Click to enter type of "other"	

Estimated ROW to be acquired: # of acres Acres / # of tracks Tracks

Summary of proposed work: Description of proposed, including cross-sections/typical section, 2-lane to 4-lane, stream/river crossings, etc.

Project Specifics (check all that apply):

☐ # of Lanes of Lane Width ft. Travel Lanes		☐ Curbs/ Gutters	☐ Flashing Beacons
☐ Lane Width ft. Shoulders		☐ Median Width ft.	☐ ADA Components
☐ Lane Width ft. Center Turn Lanes		☐ Guardrails	☐ CMAQ
☐ Non-Construction	☐ Pavement Markers	☐ On State System	☐ Rail Road
☐ Retaining Wall	☐ Roundabout	☐ Signage	☐ Signals
☐ Striping	☐ Culverts	☐ Other: Click to enter "other"	

Letting Type:

☐ Locally Let ☐ State Let ☐ Other: Click to enter "other"

Design Certification:

☐ Design Certification is attached OR sent previously on Insert Date previously sent
☐ Design Certification has not been submitted

Designer Information:

Designer Name: Enter Designer's Name
Contact Number: Enter Designer's Contact Number
Contact Email: Enter Designer's Contact Email Address

5 Feet Wide (Min)

10 Feet Wide (Min)

Design Procedures Checklist

TN TDOT Department of Transportation

Local Government Guidelines Form 5-5
March 1, 2016

Contact Email: Enter Designer's Contact Email Address

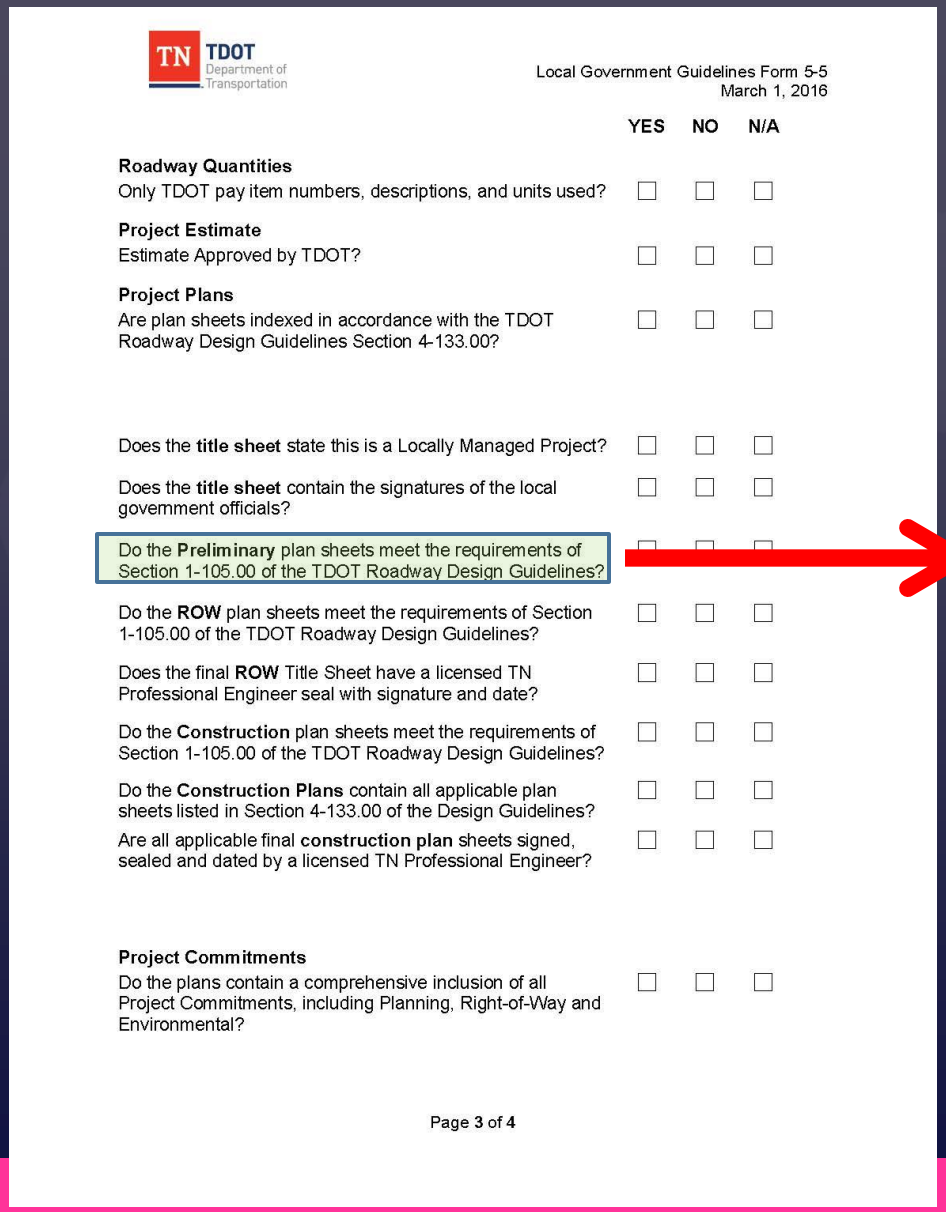
Roadway Design Policies Checklist
(To Be Submitted With Plans)

PIN:
County:
Federal Project No.:
State Project No.:

	YES	NO	N/A
Policies and Procedures			
Roadway Projects: TDOT Design policies and procedures followed?	☐	☐	☐
Non-Roadway Projects: Relevant TDOT approved design policies and procedures followed?	☐	☐	☐
23 CFR 635.411 has been followed pertaining to proprietary items, and the use of those been approved by TDOT?	☐	☐	☐
ADA design policies and procedures have been followed?	☐	☐	☐
Project affects FEMA Floodplain?	☐	☐	☐
If project affects FEMA Floodplain, is "No-rise" analysis included in final submittal?	☐	☐	☐
Design Exceptions			
For Roadway Projects, the controlling elements of design meet the criteria contained in the TDOT Design Policies and Procedures?	☐	☐	☐
If "NO" checked, "Design Exception Request and Justification Form" completed in accordance with the requirements in Chapter 3 of the TDOT Roadway Design Guidelines and submitted?	☐	☐	☐
All Design Exception Requests have been approved by TDOT?	☐	☐	☐
Design Certification Letter			
Design Certification Letter has been submitted to Local Program Development Office?	☐	☐	☐

Page **2** of **4**

Design Procedures Checklist



TN TDOT Department of Transportation

Local Government Guidelines Form 5-5
March 1, 2016

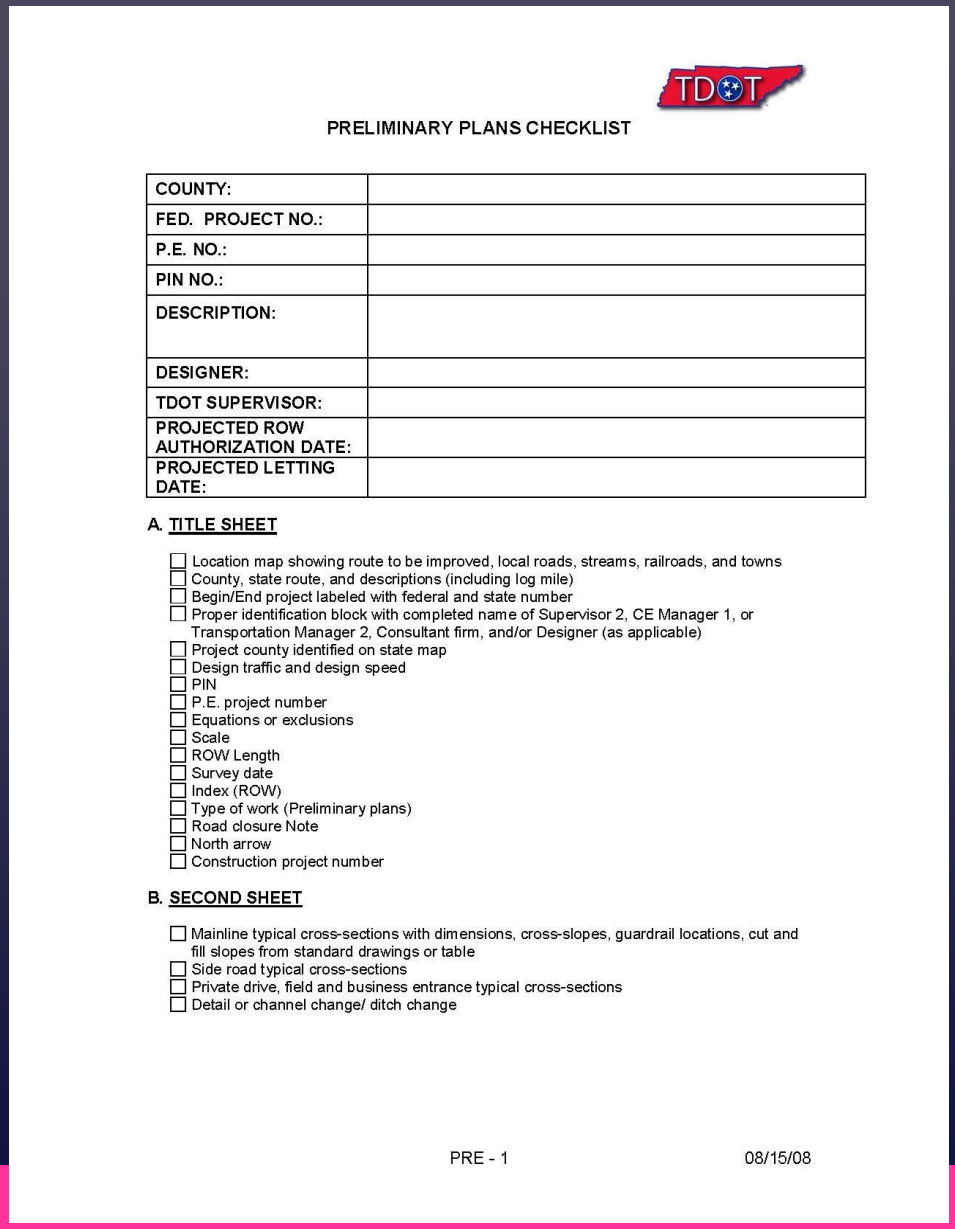
	YES	NO	N/A
Roadway Quantities			
Only TDOT pay item numbers, descriptions, and units used?	☐	☐	☐
Project Estimate			
Estimate Approved by TDOT?	☐	☐	☐
Project Plans			
Are plan sheets indexed in accordance with the TDOT Roadway Design Guidelines Section 4-133.00?	☐	☐	☐
Does the **title sheet** state this is a Locally Managed Project?	☐	☐	☐
Does the **title sheet** contain the signatures of the local government officials?	☐	☐	☐
Do the **Preliminary** plan sheets meet the requirements of Section 1-105.00 of the TDOT Roadway Design Guidelines?	☐	☐	☐
Do the **ROW** plan sheets meet the requirements of Section 1-105.00 of the TDOT Roadway Design Guidelines?	☐	☐	☐
Does the final **ROW** Title Sheet have a licensed TN Professional Engineer seal with signature and date?	☐	☐	☐
Do the **Construction** plan sheets meet the requirements of Section 1-105.00 of the TDOT Roadway Design Guidelines?	☐	☐	☐
Do the **Construction Plans** contain all applicable plan sheets listed in Section 4-133.00 of the Design Guidelines?	☐	☐	☐
Are all applicable final **construction plan** sheets signed, sealed and dated by a licensed TN Professional Engineer?	☐	☐	☐
Project Commitments			
Do the plans contain a comprehensive inclusion of all Project Commitments, including Planning, Right-of-Way and Environmental?	☐	☐	☐

Page 3 of 4

This checklist does not replace the more detailed, 15 page "Roadway Design Checklist"

Roadway Design Checklist

- Not to be confused with "Design Procedures Checklist"
- Not on LPDO website, but Roadway Design website
- Consultant would follow; very detailed and technical



PRELIMINARY PLANS CHECKLIST

COUNTY:	
FED. PROJECT NO.:	
P.E. NO.:	
PIN NO.:	
DESCRIPTION:	
DESIGNER:	
TDOT SUPERVISOR:	
PROJECTED ROW AUTHORIZATION DATE:	
PROJECTED LETTING DATE:	

A. TITLE SHEET

- ☐ Location map showing route to be improved, local roads, streams, railroads, and towns
- ☐ County, state route, and descriptions (including log mile)
- ☐ Begin/End project labeled with federal and state number
- ☐ Proper identification block with completed name of Supervisor 2, CE Manager 1, or Transportation Manager 2, Consultant firm, and/or Designer (as applicable)
- ☐ Project county identified on state map
- ☐ Design traffic and design speed
- ☐ PIN
- ☐ P.E. project number
- ☐ Equations or exclusions
- ☐ Scale
- ☐ ROW Length
- ☐ Survey date
- ☐ Index (ROW)
- ☐ Type of work (Preliminary plans)
- ☐ Road closure Note
- ☐ North arrow
- ☐ Construction project number

B. SECOND SHEET

- ☐ Mainline typical cross-sections with dimensions, cross-slopes, guardrail locations, cut and fill slopes from standard drawings or table
- ☐ Side road typical cross-sections
- ☐ Private drive, field and business entrance typical cross-sections
- ☐ Detail or channel change/ ditch change

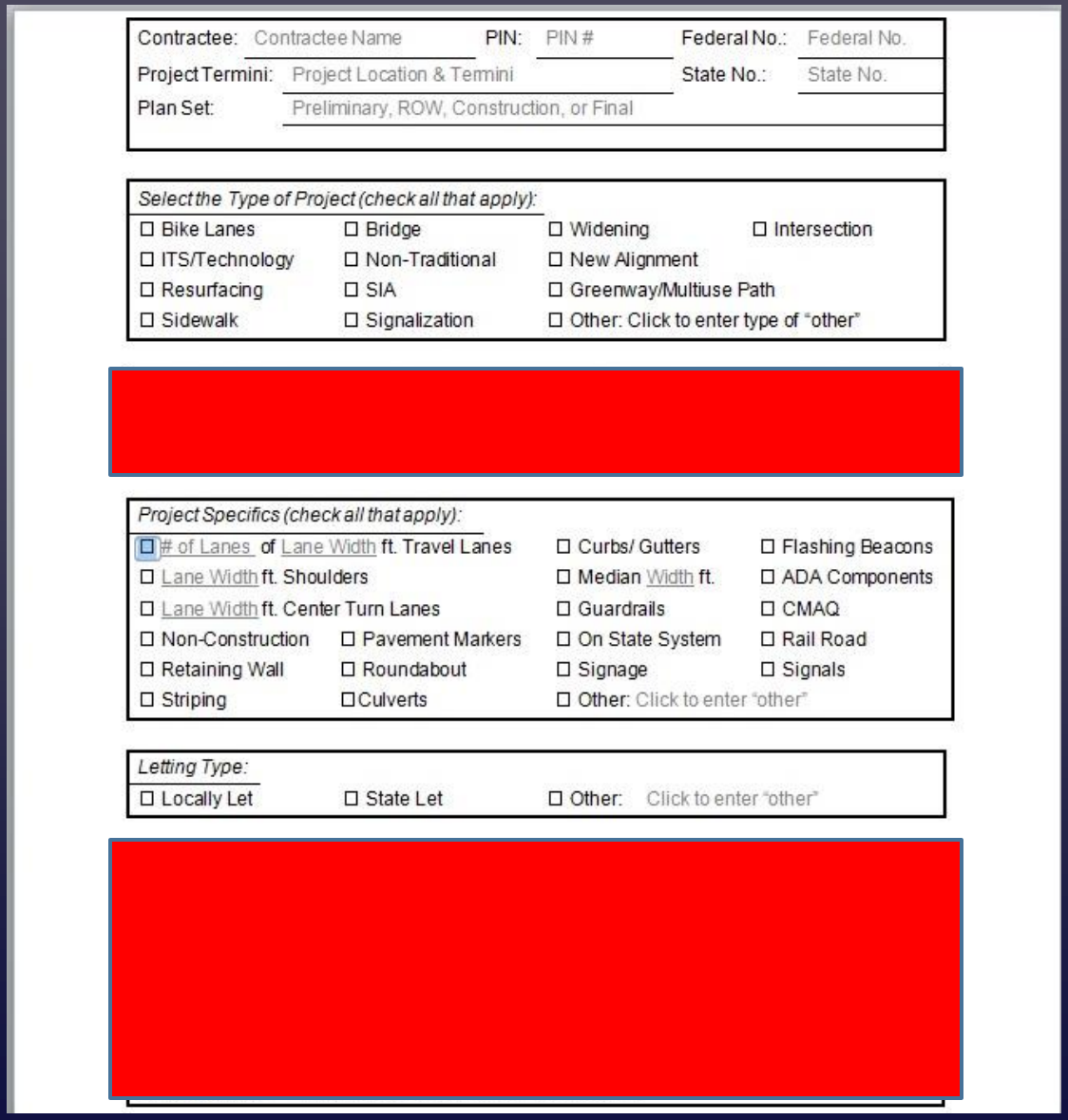
PRE - 1 08/15/08

Design Procedures Checklist: An Activity!

Design Procedures Checklist Activity

- **Using the info from supplemental packet, check the relevant boxes on the Design Procedures Checklist**
  - **Plans cover sheet & typical sections**
  - **Project Initiation Form (3-1)**

Design Procedures Checklist Activity



Contractee: Contractee Name PIN: PIN # Federal No.: Federal No.

Project Termini: Project Location & Termini State No.: State No.

Plan Set: Preliminary, ROW, Construction, or Final

Select the Type of Project (check all that apply):

☐ Bike Lanes	☐ Bridge	☐ Widening	☐ Intersection
☐ ITS/Technology	☐ Non-Traditional	☐ New Alignment	
☐ Resurfacing	☐ SIA	☐ Greenway/Multiuse Path	
☐ Sidewalk	☐ Signalization	☐ Other: Click to enter type of "other"	

Project Specifics (check all that apply):

☐ # of Lanes of Lane Width ft. Travel Lanes		☐ Curbs/ Gutters	☐ Flashing Beacons
☐ Lane Width ft. Shoulders		☐ Median Width ft.	☐ ADA Components
☐ Lane Width ft. Center Turn Lanes		☐ Guardrails	☐ CMAQ
☐ Non-Construction	☐ Pavement Markers	☐ On State System	☐ Rail Road
☐ Retaining Wall	☐ Roundabout	☐ Signage	☐ Signals
☐ Striping	☐ Culverts	☐ Other: Click to enter "other"	

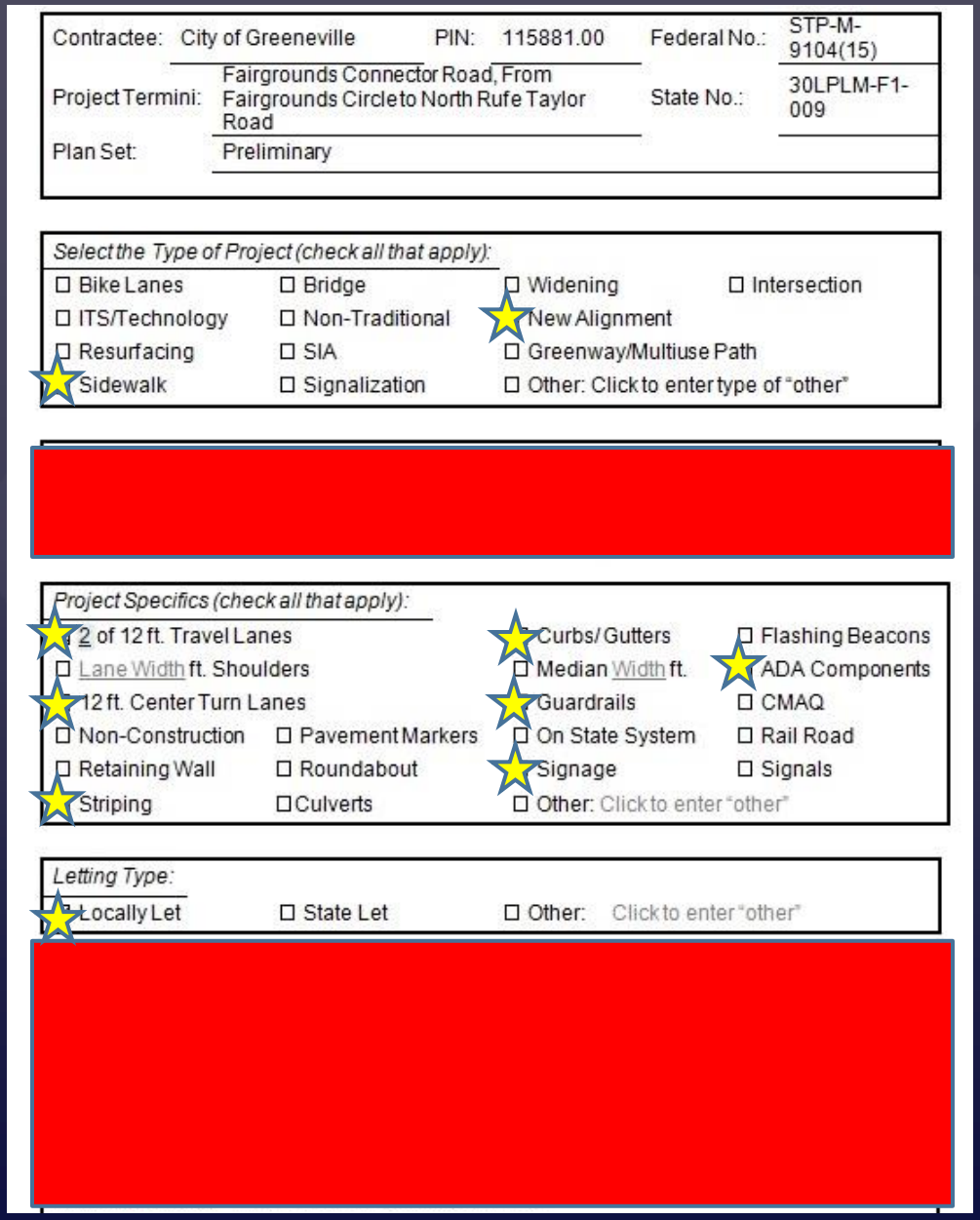
Letting Type:

☐ Locally Let	☐ State Let	☐ Other: Click to enter "other"

Design Procedures Checklist Activity

ANSWERS

Design Procedures Checklist Activity



Contractee:	City of Greeneville	PIN:	115881.00	Federal No.:	STP-M-9104(15)
Project Termini:	Fairgrounds Connector Road, From Fairgrounds Circle to North Rufe Taylor Road			State No.:	30LPLM-F1-009
Plan Set:	Preliminary				

Select the Type of Project (check all that apply):

☐ Bike Lanes	☐ Bridge	☐ Widening	☐ Intersection
☐ ITS/Technology	☐ Non-Traditional	☐ New Alignment	
☐ Resurfacing	☐ SIA	☐ Greenway/Multiuse Path	
☐ Sidewalk	☐ Signalization	☐ Other: Click to enter type of "other"	

Project Specifics (check all that apply):

☐ 2 of 12 ft. Travel Lanes		☐ Curbs/Gutters	☐ Flashing Beacons
☐ Lane Width ft. Shoulders		☐ Median Width ft.	☐ ADA Components
☐ 12 ft. Center Turn Lanes		☐ Guardrails	☐ CMAQ
☐ Non-Construction	☐ Pavement Markers	☐ On State System	☐ Rail Road
☐ Retaining Wall	☐ Roundabout	☐ Signage	☐ Signals
☐ Striping	☐ Culverts	☐ Other: Click to enter "other"	

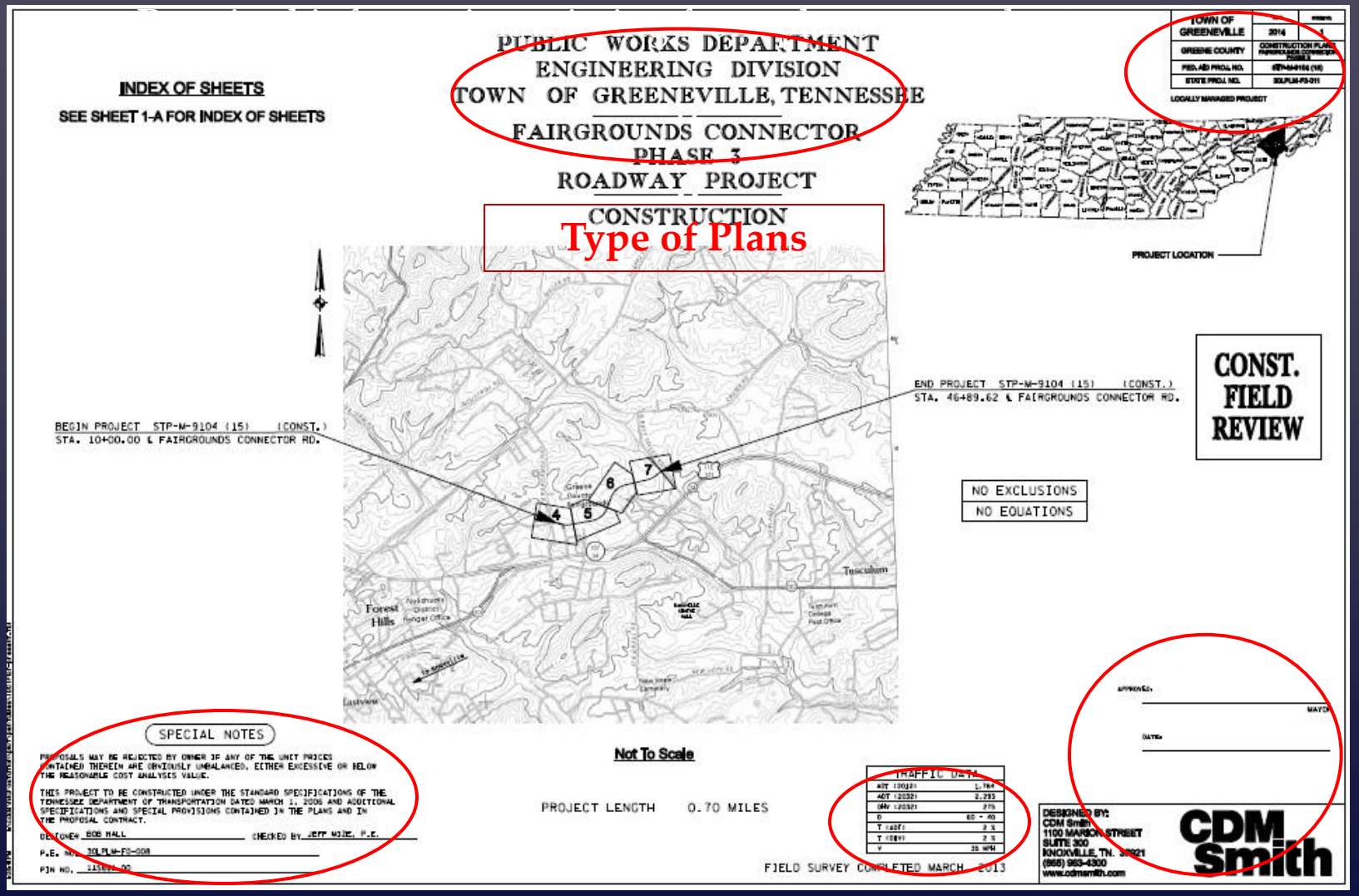
Letting Type:

☐ Locally Let	☐ State Let	☐ Other: Click to enter "other"

Key Points

- Design consultants **must** be on TDOT's pre-qualified list
- Consultants must be procured in accordance with the Brooks Act (qualification based – price discussed after selection)
- Plans are typically submitted and reviewed by TDOT three times: preliminary, right-of-way and construction
  - TDOT checklists available on website
  - Construction plans usually submitted during ROW phase, but not always
- Use TDOT format, standard drawings and construction item numbers
- TDOT does not "approve" your plans – P.E. is responsible
  - Please send revised/corrected plans to your Program Monitor for records and review purposes (cost estimates, etc.)

Common Mistakes

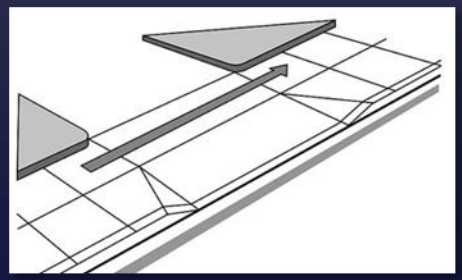


Common Mistakes

- If ROW is to be acquired, must include acquisition table
  - Property owner names, tract numbers, total area, deed book, etc.
- Make sure all required ADA standards are met within the plans (PROWAG 2011)
- Submit entire set of plans
- All layers need to be turned on when submitted

R.O.W. ACQUISITION TABLE

TRACT NO.	PROPERTY OWNERS	COUNTY RECORDS				TOTAL AREA ACRES			AREA TO BE ACQUIRED ACRES			AREA REMAINING ACRES		EASEMENT (SQUARE FEET)		
		TAX MAP NO.	PARCEL NO.	DEED DOCUMENT REFERENCE BK.	PAGE	LEFT	RIGHT	TOTAL	LEFT	RIGHT	TOTAL	LEFT	RIGHT	PERM. DRAINAGE	SLOPE	CONST.
1	GREENE COUNTY FAIR, INC.	87	146.00	*	*	32.283	1.577	33.860	1.300	1.574	2.882	30.975	129 S.F.	591	0.311 AC.	4093
2	LOWE'S HOME CENTERS, INC.	87L A	28.00	195A	809		15.000	15.000		0.287	0.287		14.713		565	2670
3	~~RICHARD J. CARROLL LIVING TRUST~~	~~87L A~~	~~3.01~~	~~363A~~	~~799~~		~~11.950~~	~~11.950~~					~~11.950~~			
4	JOHNSON GREENVILLE II, LLC	87	160.00	512A	580	0.494	14.474	14.968	0.494	0.292	0.786		14.182	2954	0.360 AC.	0.155 AC.
5	SWN INVESTMENTS, INC.	87	159.00	219A	521	50.218	5.074	55.292	0.968	0.875	1.863	49.230	4.199	4175	1.526 AC.	0.640 AC.



ADA - PROWAG

- ADA = Americans with Disabilities Act
  - Prohibits discrimination against people with disabilities in transportation, public accommodation, etc.
- PROWAG = Pubic Right-of-Way Accessibility Guidelines
  - Transportation-related guidelines and design standards.
- ADAAG = ADA Accessibility Guidelines
  - Design standards focused on buildings and facilities

ADA - PROWAG

- TDOT adopted PROWAG guidelines in 2014 (PROWAG 2011)
- Basic maintenance items do not need ADA upgrade
  - pot-hole repair, crack fills/seals, etc.
- Alteration projects DO need ADA upgrade
  - Resurfacings
  - Reconstruction
  - New construction

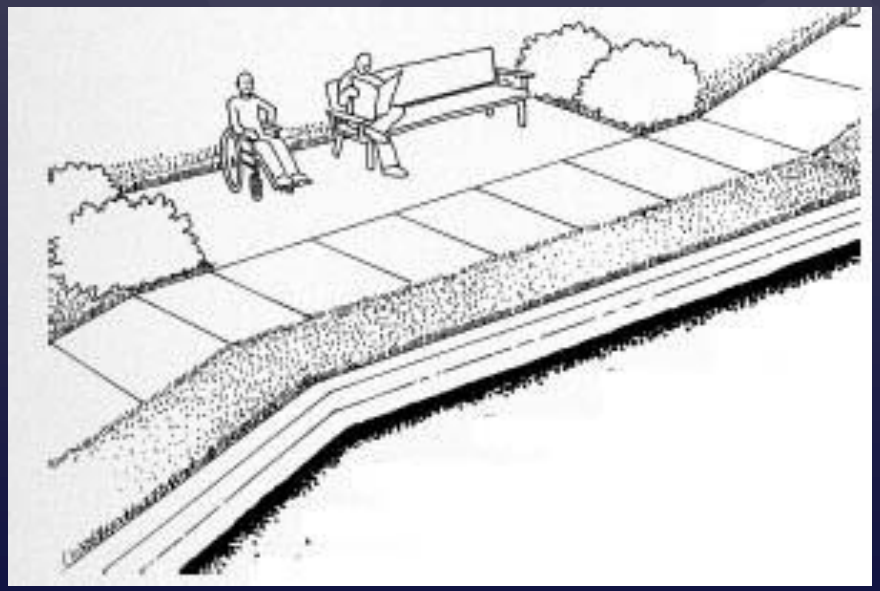
ADA - PROWAG

- Curb ramps: must be installed and meet ADA standards whenever a sidewalk or pedestrian walkway crosses a curb.
- Sidewalks: replacements or new construction must meet ADA standards
- Audible Pedestrian Signals: if signals are being added or replaced, must meet ADA standards

ADA - PROWAG

- Important ADA sidewalk considerations
  - Cross slope – 2% maximum

  - Running slope – less than 5%
    - If more, needs handrails



ADA - PROWAG

- Make sure to consider additional costs in early project budgeting

- For additional information contact:

Margaret Z. Mahler, CADAC

TDOT ADA Compliance

Margaret.Z.Mahler@tn.gov

Phone: 615-741-4984

V/TTY: 615-253-8311

Fax: 615-532-5995

Next Steps

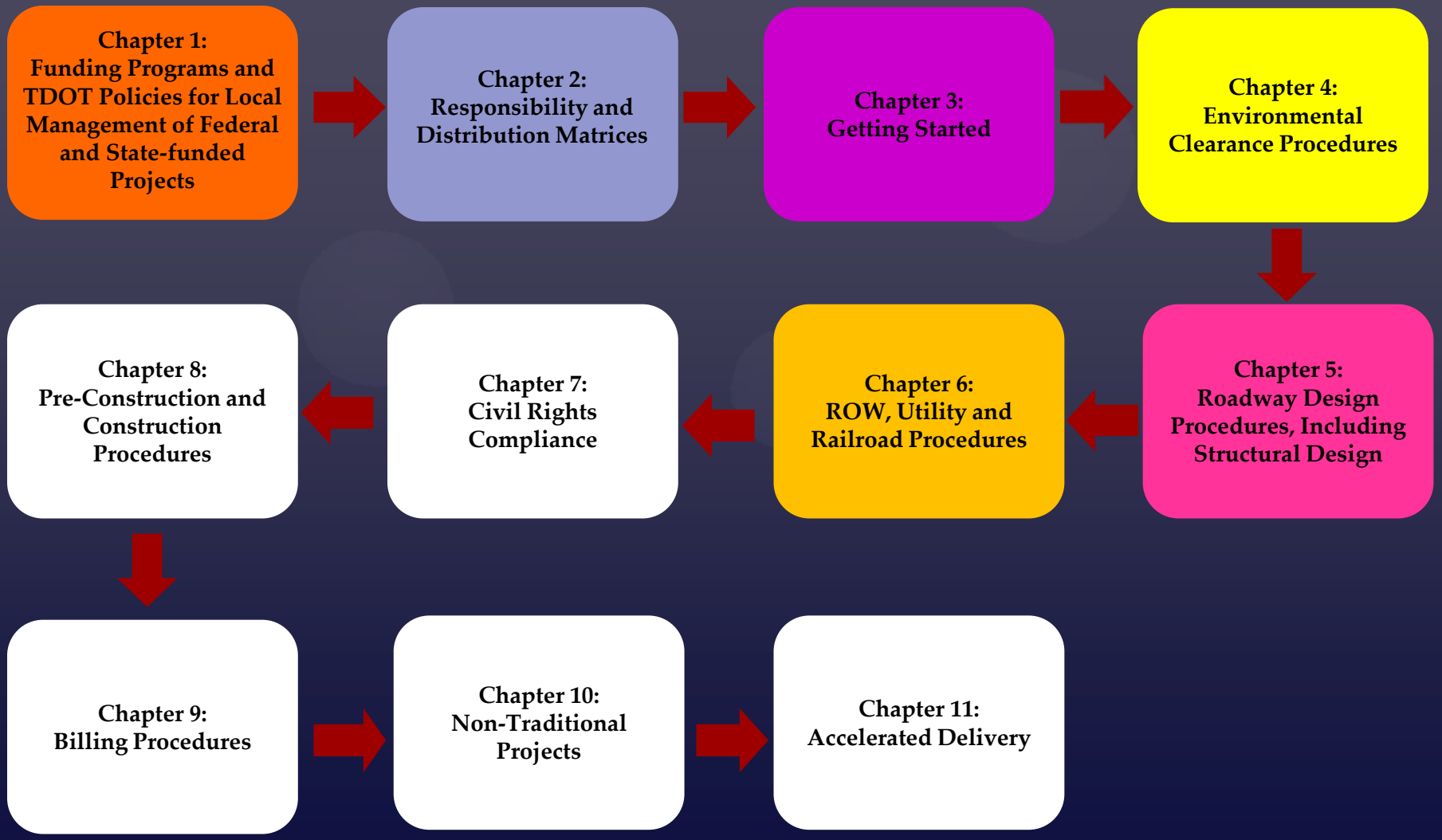
- In addition to Design Review comments, may receive comments from other TDOT divisions, depending on project type (Traffic Operations, Structures, etc.)
  - Which divisions your plans are routed to is based on Design Procedures Checklist – it's very important!
  - There will be occasional conflicts. Let your Program Monitor know and TDOT will resolve and provide final decision.
- Upon receiving all required items and approvals, we will request ROW funding

Manual Updates: Ch. 5

- New templates for proprietary item approval requests
- Plans submitted via PDF – software language removed
- Updated "Non-Motorized Transportation Facility" section (formerly Alternative Design Facilities)
- New checklist for non-motorized transportation facility design
- Updated design guidelines, including addition of ADAAG & PROWAG
- Design certification letter (or design exception approval) now required prior to issuing NTP for ROW phase
- Updated design procedures checklist – send with each plan review request
- Updated process for hydraulic crossings design

Questions?

Chapters Flow Chart



Right-of-Way Phase

- LPDO will Request Right-of-Way funding when applicable
- LPDO will issue a NTP to the TDOT Regional ROW Coordinator
  - The TDOT Regional ROW Coordinator will contact the LG to set up a meeting, and provide guidance and the appropriate documents that will need to be submitted for certification
- The LG will coordinate with Utilities and any Railroads affected by the project

ROW Notices to Proceed

REQUEST FOR RIGHT-OF-WAY CERTIFICATION ON THE UNFUNDED

RIGHT-OF-WAY PHASE

OF PROJECT DEVELOPMENT

PIN:
FEDERAL PROJECT NUMBER:
STATE PROJECT NUMBER:
ROUTE (STREET NAME):
FROM:
TO:
CITY:
COUNTY:
REGION:

Effective Date:
Date of Transmittal:
Region Right-of-Way Contact Person:

This letter is a request for the Regional Right of Way office to coordinate with the Local Government to certify that all Right of Way (ROW) has been properly acquired on this project. Either there is no new ROW to acquire or the ROW has been or will be acquired with local funds only. However, there will be State and/or Federal funding on the Construction phase of this project. The local government has been made aware that **ANY** ROW activities for this project **MUST** be coordinated through your office, and that all State and Federal laws must be followed in any acquisition of ROW.

The Local Government shall perform this phase of project development in accordance with the Local Government Guidelines provided on the Local Program Development Office website at http://www.tn.gov/assets/entities/tdot/attachments/LGG_Manual.pdf. Work may not be performed for any later phase of project development until an additional Notice to Proceed is issued. Any work performed ahead of a Notice to Proceed's Effective Date will not be reimbursed.

If you have questions or concerns regarding this matter please direct them to Kip Mayton at 615.741.5314 in the Local Program Development Office. You may contact us by email at: Local.Programs@tn.gov.

cc: Paul Degges
Jim Moore
Ronnie Porter
Jeff Hoge
Gary Palmer
Kip Mayton
Matt Burcham
Kimery Grant
Regional Assistant Chief Engin
Regional Director of Project D
Regional ROW Manager
Regional Utilities Manager
MPO Coordinator
File

NOTICE TO PROCEED WITH THE UNFUNDED

RIGHT-OF-WAY PHASE

OF PROJECT DEVELOPMENT

PIN:
FEDERAL PROJECT NUMBER:
STATE PROJECT NUMBER:
ROUTE (STREET NAME):
FROM:
TO:
CITY:
COUNTY:
REGION:

Effective Date:
Date of Transmittal:

This letter serves as the official Notice to Proceed with the above referenced phase of work for the subject project. The Local Government shall perform this phase of project development in accordance with the Local Government Guidelines provided on the Local Program Development Office website at http://www.tn.gov/assets/entities/tdot/attachments/LGG_Manual.pdf. Work may not be performed for any later phase of project development until an additional Notice to Proceed is issued. Any work performed ahead of a Notice to Proceed's Effective Date will not be reimbursed.

You may procure, in accordance with TDOT regulations, an acquisition/relocation consultant firm to do all phases of right-of-way at this time. Please refer to Section 1.6 of the Local Government Guidelines for guidance on consultant selection, if needed. Please provide a copy of the executed contract with the consultant and a copy of the notice sent to the consultant indicating the date work was authorized on the phase of the project mentioned above. These documents should be addressed to Manager, Local Program Development Office and sent by email to Local.Programs@tn.gov. **Note:** If the person in responsible charge for this phase of the project has changed since Form 3-1 (Project Initiation Form) was submitted, the Local Government shall resubmit the responsible charge page of Form 3-1 at this time to the Local Programs Development Office at the email below.

If you have questions or concerns regarding this matter please direct them to Kip Mayton at 615.741.5314 in the Local Program Development Office. You may contact us by email at: Local.Programs@tn.gov.

cc: Paul Degges
Jim Moore
Whitney Sullivan
Ronnie Porter
Jeff Hoge
Gary Palmer
Kip Mayton
Matt Burcham
Kimery Grant
Regional Director
Director of Project Development
Regional ROW Manager
Regional Utility Manager
MPO Coordinator
File

NOTICE TO PROCEED WITH THE FUNDED

RIGHT-OF-WAY PHASE

OF PROJECT DEVELOPMENT

PIN:
FEDERAL PROJECT NUMBER:
STATE PROJECT NUMBER:
ROUTE (STREET NAME):
FROM:
TO:
CITY:
COUNTY:
REGION:

Effective Date:
Date of Transmittal:

This letter serves as the official Notice to Proceed with the above referenced phase of work for the subject project. The Local Government shall perform this phase of project development in accordance with the Local Government Guidelines provided on the Local Program Development Office website at http://www.tn.gov/assets/entities/tdot/attachments/LGG_Manual.pdf. Work may not be performed for any later phase of project development until an additional Notice to Proceed is issued. Any work performed ahead of a Notice to Proceed's Effective Date will not be reimbursed.

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cc: Paul Degges
Jim Moore
Whitney Sullivan
Ronnie Porter
Jeff Hoge
Gary Palmer
Kip Mayton
Matt Burcham
Kimery Grant
Regional Director
Director of Project Development
Regional ROW Manager
Regional Utility Manager
MPO Coordinator
File

NOTICE TO PROCEED WITH THE FUNDED

RIGHT-OF-WAY PHASE

OF PROJECT DEVELOPMENT

PIN:	115881.00
FEDERAL PROJECT NUMBER:	STP-M-9104(15)
STATE PROJECT NUMBER:	30LPLM-F2-011
ROUTE (STREET NAME):	Fairgrounds Connector Road
FROM:	Fairgrounds Circle
TO:	North Rufe Taylor Road
CITY:	Greeneville
COUNTY:	Greene
REGION:	1

Effective Date: 3/30/2015
Date of Transmittal: 3/31/2015

This letter serves as the official Notice to Proceed with the above referenced phase of work for the subject project. The Local Government shall perform this phase of project development in accordance with the Local Government Guidelines provided on the Local Program Development Office website at http://www.tn.gov/assets/entities/tdot/attachments/LGG_Manual.pdf. Work may not be performed for any later phase of project development until an additional Notice to Proceed is issued. Any work performed ahead of a Notice to Proceed's Effective Date will not be reimbursed.

You may procure, in accordance with TDOT regulations, an acquisition/relocation consultant firm to do all phases of right-of-way at this time. Please refer to Section 1.6 of the Local Government Guidelines for guidance on consultant selection, if needed. Please provide a copy of the executed contract with the consultant and a copy of the notice sent to the consultant indicating the date work was authorized on the phase of the project mentioned above. These documents should be addressed to Manager, Local Program Development Office and sent by email to Local.Programs@tn.gov. **Note:** If the person in responsible charge for this phase of the project has changed since Form 3-1 (Project Initiation Form) was submitted, the Local Government shall resubmit the responsible charge page of Form 3-1 at this time to the Local Programs Development Office at the email below.

If you have questions or concerns regarding this matter please direct them to Kimery Grant at 615.741.5314 in the Local Program Development Office. You may contact us by email at: Local.Programs@tn.gov.

cc: Paul Degges
Jim Moore
Whitney Sullivan
Ronnie Porter
Jeff Hoge
Gary Palmer
Kip Mayton
Matt Burcham
Kimery Grant
Steve Borden
Daniel Oliver
Andrea Hall
Michael Palmer
Brad Peters
File

Regional ROW Office Meeting

- Deliver and explain plans
- Deliver and explain the FHWA Manual
- Provide an overview of the title report, donation, appraisal, appraisal review, negotiation, administrative settlements, relocation (if applicable) and the closing/condemnation processes
- Provide generic forms as needed

Consultant Selection

- Selection of all consultants used in ROW shall also follow the TDOT Consultant Selection Policy
  - Appraisers
  - Review Appraisers
  - Negotiators
  - Closing and relocation agents
- LG can choose ROW consultant during PE
- Separate work order must be provided for each phase of the project

Important Note!!!

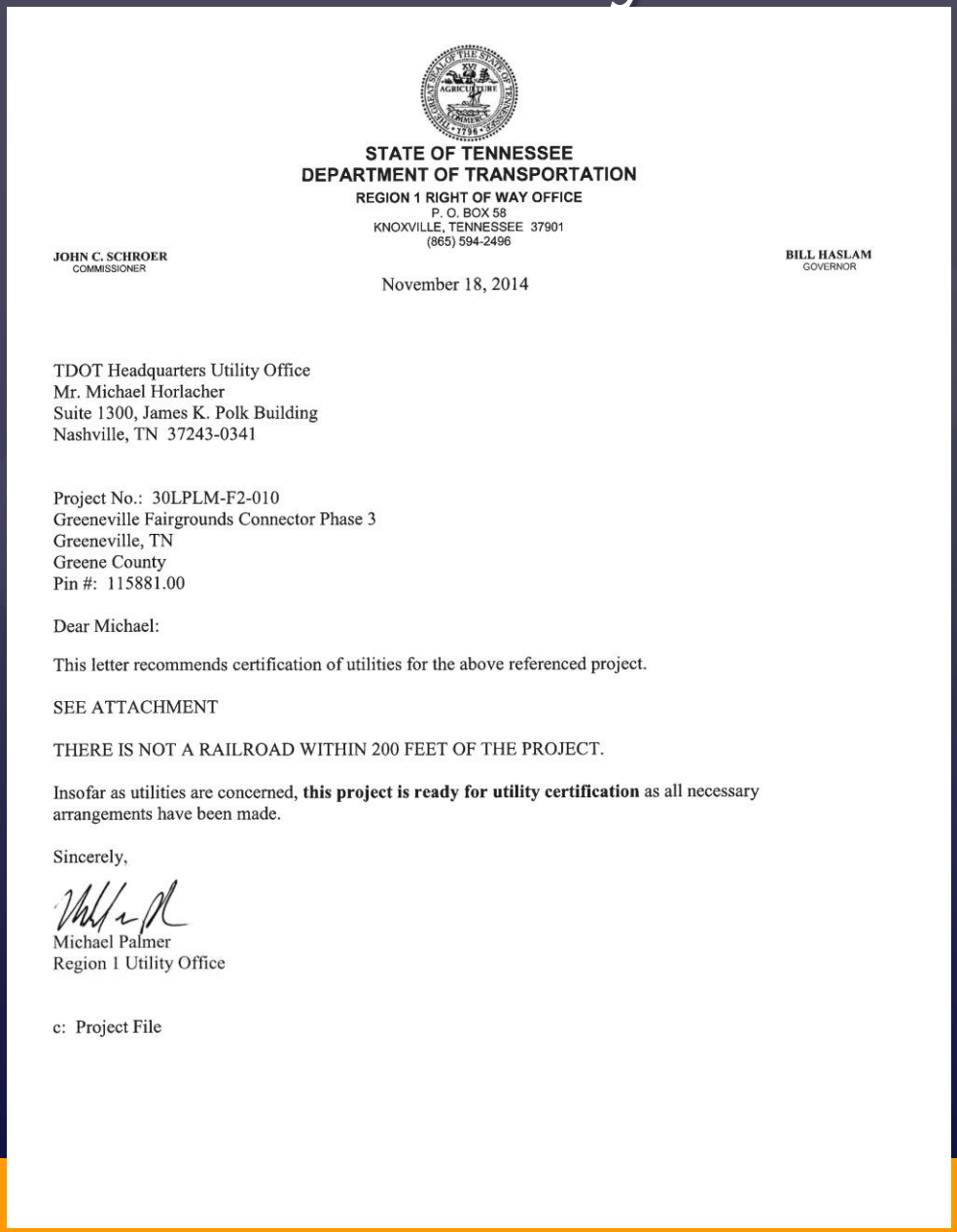
- LGs shall not proceed with any work pertaining to land acquisition for which they expect reimbursement until they receive the NTP from TDOT's Regional Right-of-Way Coordinator

- If land acquisition procedures are found to be flawed, all state and federal funding for the project may be withdrawn for EVERY phase even if other phases were done in accordance with federal law, regulations and procedures

Submittals

- ROW documents are submitted to Regional LPA Coordinator
- Utility documents are submitted to Regional Utility Coordinator
- Railroad coordination documents are submitted to Railroad Coordinator
- License Agreement documents are submitted to Regional Excess Lands Coordinator
- Can be done concurrently

Request for Utility Certification



STATE OF TENNESSEE
DEPARTMENT OF TRANSPORTATION
REGION 1 RIGHT OF WAY OFFICE
P. O. BOX 58
KNOXVILLE, TENNESSEE 37901
(865) 594-2496

JOHN C. SCHROER
COMMISSIONER

BILL HASLAM
GOVERNOR

November 18, 2014

TDOT Headquarters Utility Office
Mr. Michael Horlacher
Suite 1300, James K. Polk Building
Nashville, TN 37243-0341

Project No.: 30LPLM-F2-010
Greeneville Fairgrounds Connector Phase 3
Greeneville, TN
Greene County
Pin #: 115881.00

Dear Michael:

This letter recommends certification of utilities for the above referenced project.

SEE ATTACHMENT

THERE IS NOT A RAILROAD WITHIN 200 FEET OF THE PROJECT.

Insofar as utilities are concerned, **this project is ready for utility certification** as all necessary arrangements have been made.

Sincerely,

Michael Palmer
Region 1 Utility Office

c: Project File

Utility Certification

STATE OF TENNESSEE
DEPARTMENT OF TRANSPORTATION
Right-of-Way Division,
SUITE 600, JAMES K. POLK BUILDING
NASHVILLE, TENNESSEE 37243-0337

JOHN C. SCHROER
COMMISSIONER

BILL HASLAM
GOVERNOR

February 3, 2015

Whitney Sullivan
TDOT Local Program Development Office
Suite 600, James K. Polk Building
Nashville, TN 37243-0341

Fairgrounds Connector Road, Fairgrounds Circle to North Rufe Taylor Road
Pin No. 115881.00, Federal Project No. STP-M-9104(15)
Greene County

Dear Ms. Sullivan,

This certifies the status of utilities for the above referenced project.

No railroad involvement.

Insofar as utilities are concerned, this project is ready for contract letting as all necessary arrangements have been made.

Sincerely,

Michael Horlacher, PE
State Utility Coordinator
R-O-W, Utility Office
Suite 600 J.K. Polk Bldg.
Nashville TN 37243-0337
E-mail: michael.horlacher@tn.gov
Phone: 615.741.6802
Fax: 615.532.1548

cc: Mr. Ronnie Porter, TDOT Headquarters Programming
Mr. John Barrett, TDOT Region 1 Utilities

ROW Certification

- At the completion of the ROW Phase of the project, the LG shall attest to TDOT that all right-of-way was acquired in accordance with the Uniform Act
- TDOT will certify the project upon review of the files to ensure compliance with both state and federal rules and regulations
- Project is certified for construction

Request for ROW Certification

STATE OF TENNESSEE
DEPARTMENT OF TRANSPORTATION
REGION 1 RIGHT OF WAY OFFICE
P O BOX 58
KNOXVILLE, TENNESSEE 37901
(865) 594-2496

JOHN C. SCHROER
COMMISSIONER

BILL HASLAM
GOVERNOR

January 8, 2015

Mr. Gary Palmer
Transportation Specialist 2
Department of Transportation
Suite 600, James K. Polk Building
Nashville, TN 37243-0337

Attention: Mr. Bill Bledsoe

RE: CERTIFICATION FOR LPA PROJECT
State Project: 30-LPLM-F3-011
Federal Project: STP-M-9104(15)
Fairgrounds Connector Phase 3
Greene County (Town of Greeneville)
Pin # 115881.00
Tracts: 4

Dear Mr. Palmer:

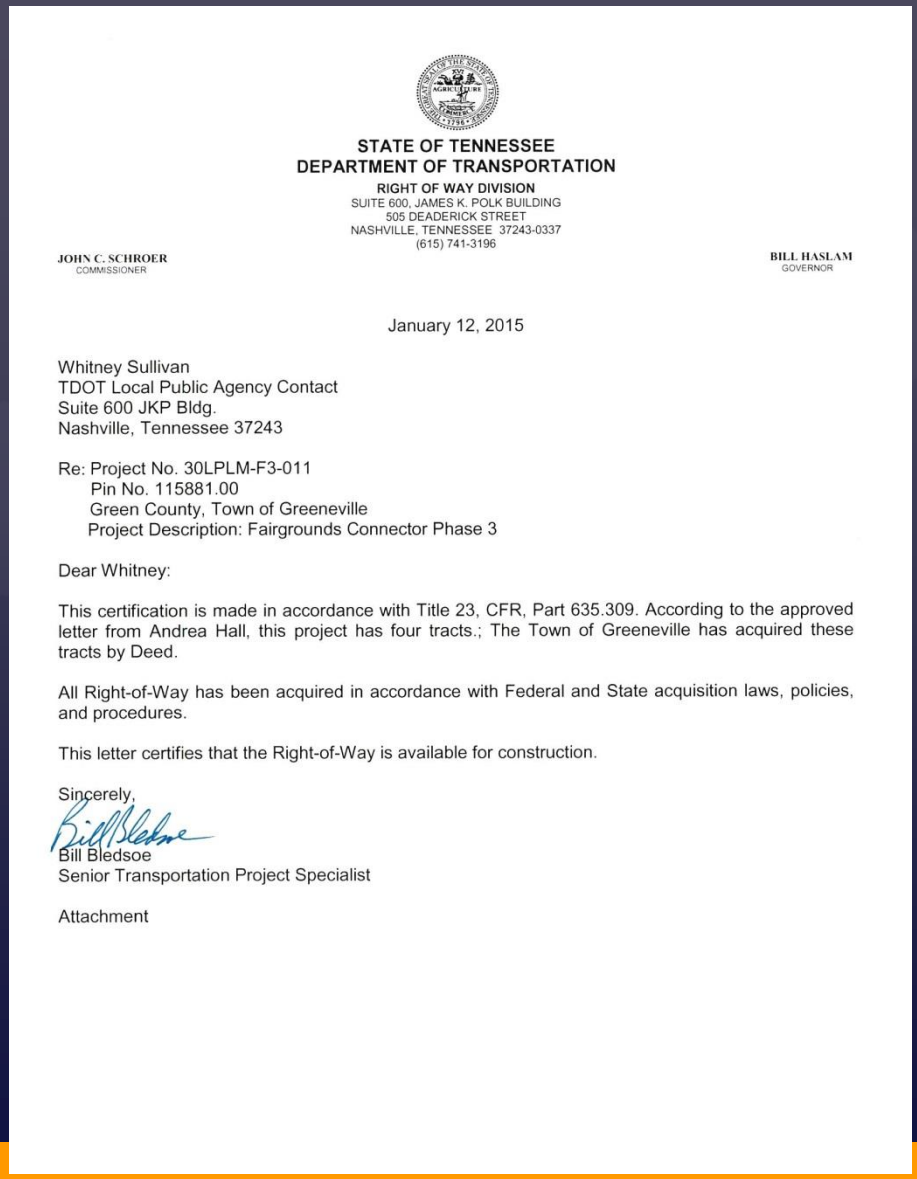
Please find attached the local public agency certification dated January 5, 2015, signed by, W. T. Daniels, Mayor of the Town of Greeneville. The Town of Greeneville has acquired 4 tracts by deed.
Also attached you will find the LPA Acquisition Process Audit conducted by Ms. Judy Walton, Right of Way Agent 3.
Therefore all right of way has been acquired in accordance with federal and state acquisition laws, policies, and procedures.
Please advise if you should have any questions.

Yours truly,
Andrea R. Hall
Andrea Hall
Transportation Manager 2
Right-of-Way Office

AH/jw
Attachments

c: Ms. Whitney Sullivan w/attachments
Utility Office w/attachments
Mayor W. T. Daniels w/attachments
Files w/attachments

ROW Certification



STATE OF TENNESSEE
DEPARTMENT OF TRANSPORTATION
RIGHT OF WAY DIVISION
SUITE 600, JAMES K. POLK BUILDING
505 DEADERICK STREET
NASHVILLE, TENNESSEE 37243-0337
(615) 741-3196

JOHN C. SCHROER
COMMISSIONER

BILL HASLAM
GOVERNOR

January 12, 2015

Whitney Sullivan
TDOT Local Public Agency Contact
Suite 600 JKP Bldg.
Nashville, Tennessee 37243

Re: Project No. 30LPLM-F3-011
Pin No. 115881.00
Green County, Town of Greeneville
Project Description: Fairgrounds Connector Phase 3

Dear Whitney:

This certification is made in accordance with Title 23, CFR, Part 635.309. According to the approved letter from Andrea Hall, this project has four tracts.; The Town of Greeneville has acquired these tracts by Deed.

All Right-of-Way has been acquired in accordance with Federal and State acquisition laws, policies, and procedures.

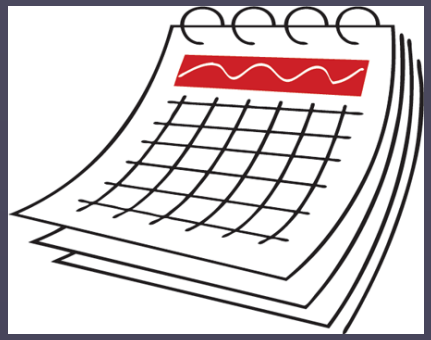
This letter certifies that the Right-of-Way is available for construction.

Sincerely,

Bill Bledsoe
Senior Transportation Project Specialist

Attachment

How Long?



Length of the Right-of-Way Phase will depend on…

- Complexity of ROW acquisition
- Number of tracts to acquire
- Whether property owners support project
- If utilities are to be relocated

Examples of Reimbursable ROW Activities

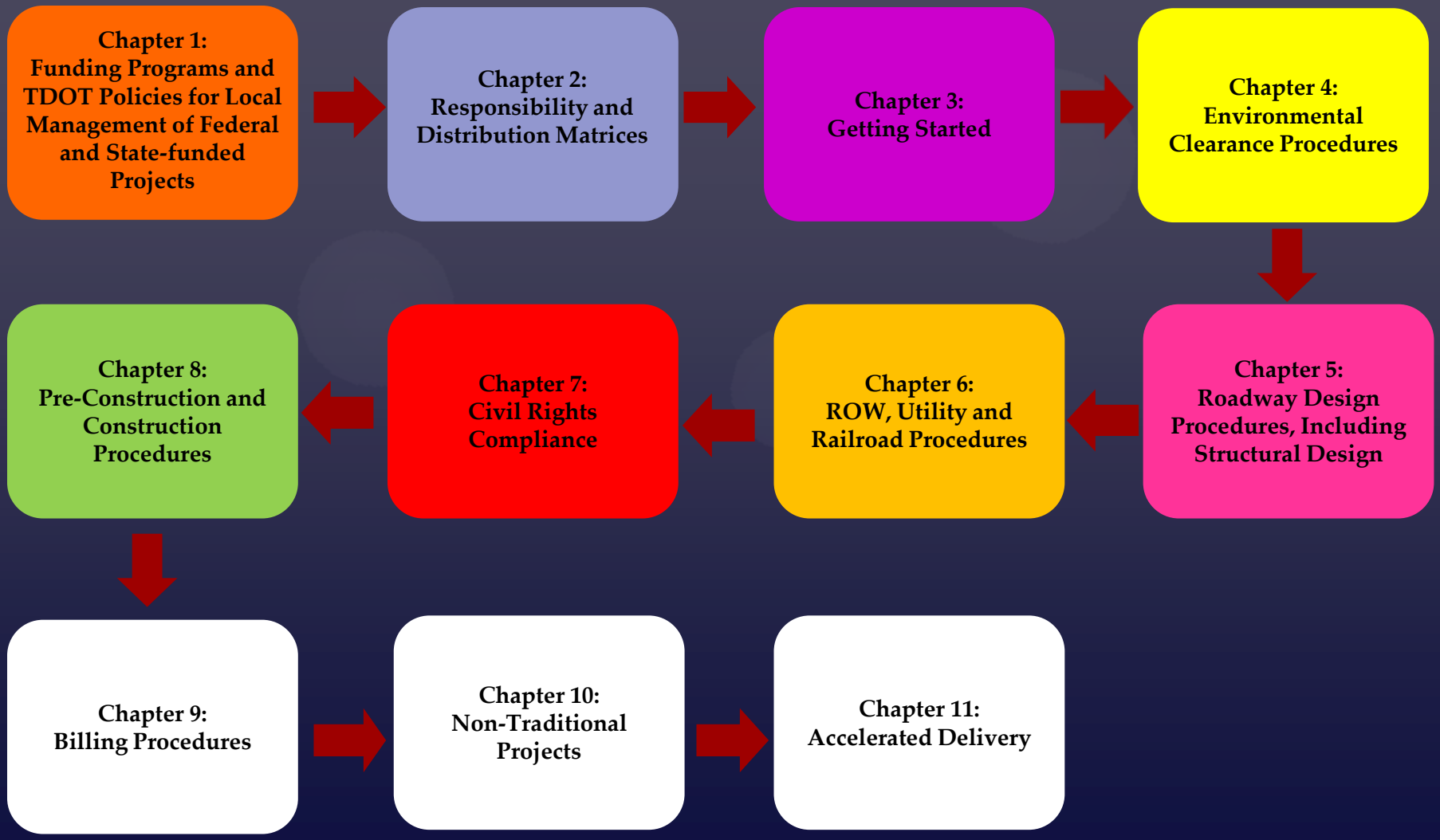
- Courthouse Fees
- Title Searches
- Attorney Fees
- Appraisals
- Relocating utilities located on private ROW
- Utility relocation work not in the contract
- Relocation Costs (Residential & Business)
- Condemnations
- Closings

Manual Updates: Ch. 6

- Changed required railroad co-ordination from the '200 ft. rule' to 'near'
- Updated/Clarified ROW Procedures, roles, and responsibilities

Questions?

Chapters Flow Chart



Pre-Construction Activities

- Local Government Representative Chosen
- Title VI
- DBE Goal
- Construction Authorization Checklist (Form 8-2)
- Construction Advertisement (Form 8-3)
- Bid Book (Forms 8-1 Federal and 8-1 State)
- Construction Plans with Estimate
- Permit Certification

LG Project Supervisor

- LG must designate a qualified full-time staff member who will be responsible for project administration; including:
  - Supervision of the hired CEI
  - Authority to request TDOT approval of change orders
  - Accountability for contract compliance
  - All local points of contact with TDOT
  - Maintaining a complete project file
- This person is in "Responsible Charge" of the project (Form 1-1)
- As such, this person should take Level 1 CEI training

LG Responsibilities

- Prior to the Notice to Proceed for Construction, LG must:
  - Be Title VI Certified by the TDOT Civil Rights Office
  - Establish a DBE goal, Based on the Estimated Construction Cost of the project (http://www.tn.gov/tdot/topic/small-business)
  - Submit a completed Construction Advertisement Authorization Checklist, Form 8-2
    - Minimum Ad Requirements can be found in Form 8-3

Title VI Requirements and Obligations

As a Sub-recipient of Federal Funds, LG shall:

I. Develop a Title VI Program
II. Designate a Civil Rights Coordinator
III. Endorse Nondiscrimination Assurances
IV. Ensure that there is nondiscriminatory language in all contracts
V. Develop a Limited English Proficiency (LEP) Plan
VI. Develop a Public Participation Plan
VII. Develop Procedures for Prompt Processing and Disposition of Title VI Complaints
VIII. Develop Procedures for the Collection of Statistical Data
IX. Ensure that Programs and Activities Provide for a Fully Coordinated Process
X. Ensure that Beneficiaries are Aware of Their Rights Under Title VI

Disadvantaged Business Enterprise (DBE)

- All federally-funded projects should be assessed for inclusion of DBEs
- All federally funded projects where the Construction costs are expected to exceed $500,000.00 will be assigned a DBE goal (read "requirement")
- LGs should establish an appropriate DBE goal and obtain concurrence from TDOT
- All established DBE goals must be met or exceeded

Tennessee Department of Transportation Civil Rights Office

TIPS ON DBE GOAL SETTING FOR LOCAL AID CONSTRUCTION CONTRACTS

When setting a DBE goal on construction projects, the following steps can be utilized:

1. Utilize staff with construction background to set DBE goals.
2. Review projects based on the following criteria:
   - Federal funding allocation (approximately $500,000 and above)
   - Work Items (quantities & estimated costs per unit)
   - Availability of DBEs to perform work
3. Create a DBE goal-setting worksheet that includes all work items that a DBE could perform (see attached example).
4. Determine each work item for the project at hand and review the list of DBEs who have performed similar work in the project's geographical area (using historical data). It may be helpful to write the names of these DBEs on goal-setting worksheet.
5. Fill in the individual work items that have the potential of being subcontracted to DBEs. Insert the cost for each item in the **COST** column of the worksheet. The **% OF TOTAL** can then be completed by dividing the cost of the work item by the overall project cost.
6. Adjust the **% of Total** amounts (if necessary) to find a figure that would be more realistically attained through subcontracting. This would be the Estimated Percentage and can be added to the worksheet in the **EST %** field.
7. Total all individual work item percentages (**EST %** column) which may be used for goal work (this figure will go in the **TOTAL** field at bottom of form). Review the total percentage to determine if further adjustments may be necessary. The adjusted figure is your **GOAL.**

Please contact David Neese with any further questions at (615) 741-3681 or toll free (888) 370-3647 or email David.Neese@tn.gov.

DBE GOALS WORKSHEET

ITEM NO.	WORK DESCRIPTION	COST	% OF TOTAL DBE could perform	EST. %
_____	Construction Stakes, lines, Etc.	_____	_____	_____
_____	Clearing & Grubbing	_____	_____	_____
_____	Road & Drainage Excav. (Haul)	_____	_____	_____
_____	Erosion Control	_____	_____	_____
_____	Haul (Stone & Asph.)	_____	_____	_____
_____	Scoring Pavement	_____	_____	_____
_____	Pipe Culvert	_____	_____	_____
_____	Conc. Catchbasins, Endwalls, Etc.	_____	_____	_____
_____	Concrete Flatwork	_____	_____	_____
_____	Guardrail	_____	_____	_____
_____	Rip-Rap	_____	_____	_____
_____	Concrete Median Barrier	_____	_____	_____
_____	Traffic Control	_____	_____	_____
_____	Pavement Markings	_____	_____	_____
_____	Signalization Work	_____	_____	_____
_____	Seed, Sod, Landscaping, Etc.	_____	_____	_____
	BRIDGE ITEMS			
_____	Reinforcing Steel	_____	_____	_____
_____	Reinforcing Steel (Bridge Deck)	_____	_____	_____
_____	Texture Coating	_____	_____	_____
_____	Rein. Concrete Median/Parapet	_____	_____	_____
			TOTAL	_____
			GOAL	_____

Construction Advertisement Authorization Checklist

PIN:	
County:	
Federal Project No.:	
State Project No.:	

The following checklist is intended to serve as a guide to assist the Local Government prior to advertising. This checklist shall be completed with the Proposal Contract and certification. The checklist must be submitted with the Proposal Contract (bid book) when it is submitted to the Local Program Development Office for review. **The bid book will not be reviewed if the completed checklist is not sent with it.**

FUNDING SOURCE: Federal % State % Local % Other %

	YES	NO	PROPOSAL PAGE	COMMENTS
PS&E approved by Local Government	☐	☐		Specifications to be used: Standards to be used:
Proprietary items specified [23 CFR 635.411]	☐	☐		
ALL PERMITS have been obtained: • TDEC ARAP • TDEC §401 WQ Certification • COE §404 • TVA Section 26a • TWRA • NPDES • USCG Bridge Permit • LOCAL Permit(s)	☐	☐		Date(s):
NEPA process completed	☐	☐		
Approved NEPA documentation and environmental commitments	☐	☐		
ALL ROW acquired or have necessary easements	☐	☐		
ALL UTILITY agreements have been completed	☐	☐		
ALL RAILROAD agreements have been completed	☐	☐		
Does the Proposal Contract have a defined completion date	☐	☐		Date:

	YES	NO	PROPOSAL PAGE	COMMENTS
Does the Proposal Contract contain statement: • "All work shall be completed in accordance with the most current version of the Tennessee Department of Transportation Standard Specifications...." * • Contractors and subcontractors must be pre-qualified by TDOT (or other as allowed in the LPO guidelines). * • How the project will be awarded? *	☐	☐		
No contractor shall be required to obtain a license before submission of a bid or before the bid may be considered for award of a contract. Is there language about obtaining a license in the Proposal Contract?	☐	☐		
Does the Proposal Contract contain ALL federal requirements and provisions per 23 CFR, e.g.:	☐	☐		
• Employing and Contracting with Illegal Immigrants (SP102I) *	☐	☐		
• Buy America Requirements (SP106A) *	☐	☐		
• Permits, Water Quality and Storm Water Permits (SP107FP)	☐	☐		Include copy of permits
• Specialty Items (SP108A)	☐	☐		
• Equal Employment Opportunity (EEO) (SP1230) *	☐	☐		
• Standard Federal Equal Employment Opportunity Construction Contract Specifications (Executive Order 11246) (SP1231) *	☐	☐		
• Notice of Requirement for Affirmative Action to Ensure Equal Employment Opportunity (Executive Order 11246) (SP1232) *	☐	☐		
• Disadvantage Business Enterprise Participation (SP1246) *	☐	☐		
• Disadvantaged Business Enterprise Contract Goal (Is this project more than $500,000.00? If so, DBE Goal) (SP1247)	☐	☐		
• Required Contract Provisions Federal aid Construction Contracts) and ALL its requirements [23 CFR 633] (SP1273) *	☐	☐		
• TDOT Minimum Wage Scales (Federal Wage Rates and State Wage Rates) (SP1320) *	☐	☐		

	YES	NO	PROPOSAL PAGE	COMMENTS
Does the Proposal Contract, if using State funds, contain ALL Special Provisions in lieu of federal requirements and provisions per 23 CFR, e.g.:				
• Unbalanced Bids (SP102B)	☐	☐		
• Employing and Contracting with Illegal Immigrants (SP102I)*	☐	☐		
• Specialty Items (SP108A)*	☐	☐		
• Certification regarding Debarment, Suspension, and Other Responsibility Matters Primary and Lower Tier Covered Transactions (SP1275)	☐	☐		
• Labor, including state labor rates (SP1280)	☐	☐		
• Non-Discrimination in Employment (SP1290)	☐	☐		
• State Wage Rates*	☐	☐		
Other Special Provisions:				
• SP109A	☐	☐		
• SP109B	☐	☐		
• SP624	☐	☐		
• SP730SIG	☐	☐		
• Changed Conditions [23 CFR 635.109]	☐	☐		
• Noncollusion statement [23 CFR 635.112] *	☐	☐		
• Subcontracting [23 CFR 635.116] *	☐	☐		
• Labor and employment [23 CFR 635.117]	☐	☐		
• Termination of Contract [23 CFR 635.125]	☐	☐		
• Liquidated damage rates [23 CFR 635.127]	☐	☐		

* This language is covered in the TDOT boilerplate documents

I certify that that ALL necessary requirements have been met.

Signature

Date

ADVERTISEMENT FOR BIDS

NOTICE IS HEREBY GIVEN that the Town of Greeneville, Tennessee will receive sealed bids at Town Hall , 200 North College Street, Greeneville, TN 37745 until **2:00 P.M. on xxxday, xxx xx, 2015**, at which time the bids will be publicly opened and read aloud for the following project:

FAIRGROUNDS CONNECTOR ROAD, PHASE 3, from FAIRGROUNDS CIRCLE to NORTH RUFE TAYLOR ROAD in the Town of Greeneville, Tennessee.
PIN No. 115881.00

The project includes, but is not necessarily limited to: Roadway Grading, Drainage, Placement of Base Stone, Asphalt Paving, Curb and Gutter, Sidewalk, Pavement Marking, Guardrail, and Signs.

Bid documents will be issued until the time set for opening bids.

The Prime Contractor and all subcontractors must prequalify with the Department of Transportation in accordance with Section 54-5-117 of the "**Tennessee Code Annotated**" and Tennessee Department of Transportation Rule 1680-5-3 prequalification of contractors before biddable proposals will be furnished.

For bid qualifications, Bidders must obtain Plans, Specifications and Contract Documents at the office of CDM Smith, 1100 Marion Street Suite 300, Knoxville, TN, 37921, telephone 865-963-4300, at a non-refundable cost of $150.00. The Plans, Instruction to Bidders, the Bid Form and the proposed Contract Documents will be available at **11:00 a.m. on xxx xx, 2015**. Contract Documents may be examined at the Knoxville Builders Exchange located at 300 Clark St. Knoxville, TN. 37921 or at the Associated General Contractors of East Tennessee, 249 Neal Dr., Kingsport, TN 37660.

Each bid must be submitted on forms provided in the Bid Documents and either accompanied by a Bid Bond, properly executed on the form provided or a Certified Check or Cashiers Check drawn on a National or Tennessee Bank in the amount of 5% of the Total Bid Price.

The envelope containing the vendors bid must be sealed, the special Bid Envelope Cover attached and the required information affixed.

The Town of Greenville is an equal opportunity affirmative action employer, drug-free with policies of non-discrimination on the basis of race, sex, religion, color, national or ethnic origin, age, disability or military service.

The Town of Greeneville in accordance with Title VI of the Civil Rights Act of 196, 78 Stat. 252, 42 U.S.C. 2000d to 2000d-4 and Title 49, Code of Federal Regulations, Department of Transportation, subtitle A, Office of the Secretary, Part 21, nondiscrimination in federally assisted programs of the Department of Transportation issued pursuant to such Act, hereby notifies all bidders that it will affirmatively insure that in any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded full opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color or national origin in consideration for an award. General Contractors are encouraged to actively solicit the participation of minority subcontractors. The DBE goal for this project is **10%.**

No bidder may withdraw his bid within sixty (60) days after the actual date of opening thereof. The governing body of the Town of Greeneville, Tennessee shall reserve the right to reject any and all bids if said body deems it necessary in the best interest of the citizens of Greeneville. For additional information call Mr. Brad Peters PE, Public Works Director at (423) 639-7105.

Brad Peters, PE
Public Works Director
Town of Greeneville

Design Consultant Responsibilities

- Prior to the Notice to Proceed for Construction, the PS&E package must be submitted
- Obtain permit concurrence from TDOT Environmental Division (Manual section 8.1.3)

Plans, Specifications, and Estimate (PS&E) Package

- Forms 8-1: Contract Proposal Template (Sample Bid Book) must be used or bid books will be returned
  - Form 8-1 Federal - **Licensing requirement prohibited**
    - **Related Special Provisions (Manual, section 8.1.4.1)**
  - Form 8-1 State - **Contractor's License Required on Bid Envelope**
    - **Related Special Provisions (Manual, section 8.1.4.2)**
  - Additional Special Provisions as Needed (Manual, section 8.1.4.3)
  - Must use TDOT standards, specifications, and item numbers

PS&E Package (Plans)

- Construction Plans (including Form 5-5) must be submitted for review. After comments are addressed, the Final Construction Plans must be submitted
  - Must be stamped and sealed by a Professional Engineer licensed in the State of Tennessee
  - Must contain Estimated Construction Item Quantities
  - Must be complete and unambiguous
  - Submitted electronically in PDF format

PS&E Package (Estimate)

- Detailed cost estimate must be submitted for review and concurrence
  - Must be comprehensive
  - Must contain TDOT item numbers
  - Must not contain contingency items
  - No additive/deductive alternates
  - Either/or alternates allowed

Permit Certification

Mr. Mize,

I just discovered that I did not complete the concurrence process for this project after you sent the NPDES Notice of Coverage. I thought I had already done so, and apologize for the delay.

As you requested, I have reviewed the materials provided regarding the subject project. They include the project plans, your email statement that no water resource impacts will occur, and the Notice of Coverage issued for the project under the NPDES Construction Stormwater General Permit.

I concur that this project is ready for construction, as far as environmental permits are concerned. This opinion is based solely on the materials you have provided to me, with no independent investigation by this office. Any changes in the project scope that result in additional impacts may require other permits, and additional review by this office will be needed.

Please let me know if you have any questions.

John

John L. Hewitt, P.E.
Civil Engineering Manager 2
Natural Resources Office
Environmental Division
Tennessee Department of Transportation
Suite 900, J. K. Polk Bldg.
505 Deaderick Street
Nashville, TN 37243-0334
(615) 253-2477
John.Hewitt@tn.gov

Please consider the environment and only print this e-mail if necessary

Pre-Construction & Construction Procedures

- **Common mistakes:**
  - **Not using standard template**
  - **Using incorrect bid bond form**
  - **Contradictory language**

Upon Review and Concurrence of Submittals:

- Your Program Monitor will:
  - **Request Obligation of Construction Funds**
  - **Receive Confirmation of the Obligation of Funds**
  - **Issue the Notice to Proceed for Construction Phase**

NOTICE TO PROCEED WITH THE

CONSTRUCTION PHASE

OF PROJECT DEVELOPMENT

PIN:	115881.00
FEDERAL PROJECT NUMBER:	STP-M-9104(15)
STATE PROJECT NUMBER:	30LPLM-F3-011
ROUTE (STREET NAME):	Fairgrounds Connector Road
FROM:	Fairgrounds Circle
TO:	North Rufe Taylor Road
CITY:	Greeneville
COUNTY:	Greene
REGION:	1

Effective Date: 3/30/2015
Date of Transmittal: 3/31/2015

This letter serves as your official **Notice to Proceed** with the above referenced phase of work for the subject project. The Local Government shall perform this phase of project development in accordance with the Local Government Guidelines provided on the Local Program Development Office website at http://www.tdot.state.tn.us/local/. ***Any work performed ahead of a Notice to Proceed's Effective Date will not be reimbursed.***

You may procure, in accordance with law, a consulting engineering firm to do all phases of construction at this time. Please refer to Section 1.6 of the Local Government Guidelines for guidance on consultant selection, if needed. Please provide a copy of the executed contract with the consultant and a copy of the notice sent to the consultant indicating the date work was authorized on the phase of the project mentioned above. These documents should be addressed to Manager, Local Program Development Office and sent by email to Local.Programs@tn.gov. **Note:** If the person in responsible charge for this phase of the project has changed since Form 3-1 (Project Initiation Form) was submitted, the Local Government shall resubmit the responsible charge page of Form 3-1 at this time to the Local Programs Development Office at the email below.

If you have questions or concerns regarding this matter please direct them to Kimery Smith at 615.741.5314 in the Local Program Development Office. You may contact us by email at: Local.Programs@tn.gov.

cc: Paul Degges
Jim Moore
Whitney Sullivan
Ronnie Porter
Will Reid
Sherree Hall Crowder
Kip Mayton
Matt Burcham
Design Division LP Coordinator
Steve Borden
Daniel Oliver
Paul Beebe
Nathan Vatter
Ben Price
Jay Rosen
AA.CC@tn.gov
File

Good Afternoon,

I am attaching a Notice to Proceed for the Construction phase of the referenced project. You may now advertise the project for bids to be received.

1. Your ad should be placed in a grand division newspaper, a minority newspaper, and a local newspaper (if available). You should not open bids until three weeks after the date of the last advertisement. (So, if the paper runs it on Monday and the minority paper doesn't run it until Wednesday, you can't open bids until three weeks from Wednesday). I will need a copy of the actual ad in the newspaper showing the name of the newspaper and the date the ad ran. I need that copy as soon as you have advertised.
2. The bids should be opened in a public place and each one read aloud.
3. You will determine the lowest responsive bidder, then send your bid tabs to us for review with a request that we concur in your intent to award to the lowest bidder. You cannot award until you have our concurrence.
4. You cannot require a license of your bidders.
5. You cannot accept a bid from a contractor who is not on TDOT's pre-qualified contractor's list. If you accept a bid from a non-pre-qualified contractor, you won't be able to award to that contractor (since your advertisement for bids to be received states all contractors must be pre-qualified) and you will have to re-advertise and begin anew.
6. You must email me a copy of the fully executed CEI contract for the referenced project.

Let me know if you have any questions,

TN TDOT Department of Transportation

Eli Jones | Transportation Program Monitor - Region 1
Local Programs Development Office
James K. Polk Building, 6th Floor
505 Deaderick Street, Nashville, TN 37243
p. 615-532-3184
Eli.Jones@tn.gov
tn.gov/tdot
http://www.tn.gov/tdot/section/local-programs

Construction Engineering and Inspection (CEI)

- LG must hire a pre-qualified consultant to oversee construction in the field
- CEI consultant must be on TDOT's pre-qualified list
- CEI consultant must have completed LPDO CEI Training and show proof of attendance
- LG's CEI will conduct all acceptance testing of materials

Construction Engineering Inspector Duties

- Oversee Contractor's work to ensure adherence to plans and specifications
- Keep project diary, material test results, and other records
- Prepare contractor pay requests
- Perform on-site interviews:
  - Davis-Bacon Wage Rates
  - CUF (Form 8-9, Commercially Useful Function Checklist)

Local Government CEI Training Course

- LPDO has a training course specifically for LGs to better understand what is required
- Mandatory for CEIs and city employees actively managing projects (valid for 5 years)
- Level 1 (one day) is for LGs (project supervisors)
- Level 2 (two day) is for consultants and LGs wishing to perform CEI services on their own projects
- **NOTE: If an LG wants to provide CEI services for its own projects, prior approval must be obtained from Local Programs.**

Advertisement for bids

- Must advertise once in the grand division newspaper, local paper and minority paper
- Verify that the advertisement was indeed published!
  - Affidavit of publication, or
  - Cut sheets from the paper
- Must open bids a minimum of three weeks after the date of the last insertion
- A list of minority newspapers is in your supplemental packet.

Activity Time!

- In your supplemental packet, you will find:
  1. An August 2015 calendar
  2. An September 2015 calendar
  3. The list of minority newspapers
- On Friday, August 14, 2015, Greeneville placed an order with the newspapers to run the advertisement for their project.
  1. In which minority paper should they advertise?
  2. The minority paper runs on Wednesday. When can they open bids?
  3. How many newspapers must your agency advertise in?

Bidding Requirements

- All contractors must be on TDOT's Pre-qualified list Contractors must use and only use the name as shown on pre-qualification records
- All sub-contractors must be on TDOT's pre-qualified list before beginning any work
- Bid book and bid form must be marked VOID if sold to non-prequalified contractors or those pending qualification
- LG is responsible for checking all bid proposals to ensure that the contractors are prequalified prior to opening bid proposal

Licensing of Prime Contractors

- The State of Tennessee requires Contractors who work on State contracts to be licensed.
- Federal regulations prohibit licensure as a requirement to bid on federally-funded projects.
- For state-funded projects, TDOT requires the license number be written on the bid envelope.
- For federally-funded projects, contractors have the 21-days to be come licensed.
- If a project has both federal and state funds on it, it follows the federal requirements.

“In Good Standing”

TDOT will not execute any contracts or approve subcontracts with contractors that are not in good standing with the Secretary of State (i.e. have a valid Certificate of Existence/Authorization)

If there is a DBE Goal:

- Special Provision 1247 will be included in the bid book
- The Contractor must submit with his bid, or within 3 business days of bid opening:
  - The names, ethnicities, and genders of the TNUCP certified DBEs that will be used on the project
  - The amount of subcontracts to be completed by the DBE (Form 8-5)
- The LG must submit this form with their bid concurrence package to the LPDO and TDOT Civil Rights Office

Special Provision 1247

If the Contractor fails to comply with this Special Provision 1247, the Department may take one or a combination of the following steps:

1) Require the Contractor to have its entire management staff attend DBE training arranged by the Department and paid by the Contractor.
2) The next bid when Contractor is the low bidder on a DBE goal project, require that Contractor shall achieve a DBE participation that is twice the stated goals.
3) For the Contractor's failure to find another DBE subcontractor to substitute for a DBE that is terminated or fails to complete its work on the contract for any reason or to provide the CRO - SBDP documentation clearly evidencing good faith efforts, as detailed in D.1. above, then **the Department may withhold from the Contractor an amount not to exceed the amount of money originally committed to the non-complying DBE subcontractor, not as a penalty but as liquidated damages.**
4) Suspend the Contractor from participation in Department bid lettings pursuant to rules promulgated by the Department.
5) For repeated failures to comply, debar the Contractor pursuant to rules promulgated by the Department.
6) Invoke other remedies available by law and/or in the contract.

Disadvantaged Business Enterprise (DBE)

- DBE goals apply to construction contracts, not to professional services
- When a contract is executed, DBE goals will be met, unless Good Faith Effort can be proven
  - 23 CFR 230: http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=032b6ff46ceff5f2f28b98eb4b8b0994&mc=true&r=PART&n=pt23.1.230#sp23.1.230.b
- If DBE goal is not met, Local Agency will be subject to repayment of work performed that would have been performed by DBE

Bid Document Addenda

- The LG should keep track of every contractor who purchases a set of bid documents.
- If the LG finds an error in the ad within the advertisement period, the LG MUST notify all proposal holders.
- The LG must document where the correction was distributed to all proposal holders. (An email is acceptable in most cases.)
- EVERY proposal holder must acknowledge in writing that they received the Addendum before opening bids.

LG Requirements, Time of Bids

- Must not allow bids to be submitted after the date and time set in the bid advertisement
- Must begin to open bids on the date and time set in the bid advertisement
- Must read each responsive bid out loud and in public
- Must select the lowest responsive bidder pending TDOT concurrence
- Must not open bids by non-prequalified contractor
  - http://www.tn.gov/tdot/section/tdot-construction-division

Bid Review

- Bids are to be submitted in the original bound bid book
- Bids are to be completed and signed
- Bids must be completed on the forms provided in the bid book
- There must be a unit price of $0.00 or greater for each bid item
- License? – Dependent on funding source

After Receiving Bids, LG Will:

- Announce the apparent low bidder, adding the words "pending TDOT concurrence"
- Tabulate the Engineer's Estimate along with the bid prices for all bidders, or at least the lowest three bidders
- Review the bids to determine if they are unbalanced (Manual, section 8.2.6)
- Prepare a submittal package to send to TDOT

TDOT Review of Bids

LG will electronically submit the following to TDOT, at least 15 days prior to expiration of bids:

- Request to award on local letterhead
- A completed Form 8-4: Construction Advertising and Award Checklist
- Tabulated bids with Engineer's estimate in Excel format
- Documentation certifying that bids have been reviewed and found to be responsive
- Completed bid book of lowest, responsive, responsible bidder.
- DBE Award Information, if applicable (Form 8-5)

CDM Smith
1100 Marion Street, Suite 200
Knoxville, TN 37921
tel: 865 963-4300
fax: 865 963-4301

September 15, 2015

Mr. Brad Peters, PE
Town of Greeneville Engineer
200 North College Street
Greeneville, TN 37745

Subject: **Bid Tab Certification / Recommendation to Award (Rebid)**
Fairgrounds Connector Road Phase 3
From Fairgrounds Circle to North Rufe Taylor Road
Greene County
PIN 115881.00
STP-M-9104(15); 30LPLM-F3-011

Dear Mr. Peters:

Please find attached the bid tabulation certification for Greeneville Fairgrounds Connector Road Phase 3 (PIN 115881.00). All bidders' tabulations were found to be correct with no mathematical errors. Hence, the apparent low bidder, Summers-Taylor, Inc, is verified as the low bidder with a bid amount of **$2,275,039.15**. This bid is within 1% of the engineer's estimate and is recommended for award.

Please feel free to contact us with any questions or comments.

Sincerely,
CDM Smith

Jeff Mize, P.E.
Senior Project Manager

cc: Mr. John Hunter

MAYOR
W. T. Daniels

ADMINISTRATOR
Todd Smith

GREENEVILLE
TENNESSEE

ALDERMEN
Brian N. F. Bragdon
Buddy C. Hawk
Keith W. Paxton
Sarah E. T. Webster

September 16, 2015

Mr. Eli Jones
TDOT Local Programs Development Office
James K. Polk Building, 6th Floor
505 Deaderick Street, Nashville, TN 37243

Re: Fairgrounds Connector Road Phase III, PIN 115881.00
Bid Award Recommendation

Dear Eli,

On behalf of the Town of Greeneville, I recommend the referenced project be awarded to the low bidder, Summers-Taylor, Inc.

All required documents for award of the contract will be emailed to you.

Should you have any questions you may contact me at the number below.

Sincerely,

Brad Peters, P.E.
Engineer

Phone: 423-639-7105
TDD: 423-639-5785

200 North College St.
Greeneville, TN 37745

Fax: 423-639-0093
www.greenevilletn.org

Construction Advertising and Award Checklist

PIN:	
County:	
Federal Project No.:	
State Project No.:	

The following checklist is intended to serve as a guide to assist the Local Government for advertising and award of the Contract. **This Checklist shall be submitted when requesting TDOT Concurrence in AWARD.**

	YES	NO	COMMENTS
Was the Advertisement for bid in the newspapers at least 3 weeks prior to the public bid opening date?	☐	☐	Date of advertisement:
Did the advertisement state the date, time, and location of public bid opening?	☐	☐	Date of bid opening: Location:
Were bids read aloud at the bid opening? If not, was the bidders name read and the reason for not reading aloud stated publicly?	☐	☐	Reason for not reading aloud:
Were only pre-qualified bidders read?	☐	☐	
If addendums were issued during the advertisement period, were they acknowledged by the bidders?	☐	☐	
Were the bids reviewed for responsiveness and irregularities in accordance with guidelines?	☐	☐	
Has the DBE goal been met (must demonstrate within 3 days of bid opening)?	☐	☐	
Is the lowest responsive bidder recommended for award?	☐	☐	If not, why:
Is TDOT provided an electronic bid tabulation of the three lowest bidders at least 14 days prior to the end of award period	☐	☐	Date to TDOT for concurrence: Date of award closing :
Is the pre-bid estimate with quantities included?	☐	☐	
Is a request for award or rejection included?	☐	☐	
Has a qualified CEI firm been selected properly and with the necessary information submitted to TDOT (or other approved by TDOT)?	☐	☐	

I certify that that ALL necessary requirements have been met.

Signature		Date

DBE AWARD INFORMATION FOR CONTRACTORS AND CONSULTANTS ON LOCALLY LET FEDERAL AID CONTRACTS

County:	
State Project No. / PIN No.:	
Contract Award Amount:	
Federal Dollars in the Contract:	
Contract Award Date:	
Name of Prime Contractor/Consultant:	
Proposed DBE Goal or None:	% or ☐ None

NAMES OF SUBCONTRACTORS	ETHNICITY**	GENDER	SUBCONTRACT AMOUNT
DBE Certified Work Type to be performed: ☐ 2nd Tier			$
DBE Certified Work Type to be performed: ☐ 2nd Tier			$
DBE Certified Work Type to be performed: ☐ 2nd Tier			$
DBE Certified Work Type to be performed: ☐ 2nd Tier			$
DBE Certified Work Type to be performed: ☐ 2nd Tier			$
		TOTAL DBE COMMITMENT:	$

SUBMITTED BY: DATE:

**Ethnicity= Black American (BA), Hispanic American (HA), Native American (NA), Asian Indian American (AIA), Asian-Pacific American (APA), Non-Minority Women (FBE), Other (OT)

Fairgrounds Connector Road Phase 3; CERTIFIED BID FORM

9/9/2015

PIN 115881.00

ITEM NO.	DESCRIPTION	UNIT	QUANTITY	Summerr Taylor, Inc UNIT COST	Summerr Taylor, Inc TOTAL COST	Earl TM Turf & Landscape UNIT COST	Earl TM Turf & Landscape TOTAL COST	Thomar Const. Co. UNIT COST	Thomar Const. Co. TOTAL COST	gineer's Opinion of Probable Co UNIT PRICE	gineer's Opinion of Probable Co TOTAL PRICE
105-01	CONSTRUCTION STAKES, LINES AND GRADES	LS	1	$15,000.00	$ 15,000.00	$ 20,000.00	$ 20,000.00	$ 18,553.50	$ 18,553.50	$ 46,000.00	$ 46,000.00
201-01.03	CLEARING AND GRUBBING	ACRE	8	$ 2,500.00	$ 20,000.00	$ 3,000.00	$ 24,000.00	$ 11,411.82	$ 91,294.56	$ 5,000.00	$ 40,000.00
203-01	ROAD & DRAINAGE EXCAVATION (UNCLASSIFIED)	C.Y.	63579	$ 4.65	$ 295,642.35	$ 4.50	$ 286,105.50	$ 4.41	$ 280,383.39	$ 5.00	$ 317,895.00
203-04	PLACING AND SPREADING TOPSOIL	C.Y.	2140	$ 6.00	$ 12,840.00	$ 4.25	$ 9,095.00	$ 8.10	$ 17,334.00	$ 3.10	$ 6,634.00
203-06	WATER	M.G.	108	$ 5.00	$ 540.00	$ 30.00	$ 3,240.00	$ 52.50	$ 5,670.00	$ 5.10	$ 550.80
209-02.04	10" TEMPORARY SLOPE DRAIN	L.F.	266	$ 18.00	$ 4,788.00	$ 10.00	$ 2,660.00	$ 11.94	$ 3,176.04	$ 12.25	$ 3,258.50
209-03.20	FILTER SOCK (8 INCH)	L.F.	168	$ 3.10	$ 520.80	$ 12.00	$ 2,016.00	$ 3.15	$ 529.20	$ 7.00	$ 1,176.00
209-03.03	TEMPORARY SILT FENCE (WITHOUT BACKING)	L.F.	4185	$ 1.50	$ 6,277.50	$ 3.00	$ 12,555.00	$ 1.47	$ 6,151.95	$ 1.50	$ 6,277.50
209-03.07	ROCK CHECK DAM PER	EACH	43	$ 171.00	$ 7,353.00	$ 225.00	$ 9,675.00	$ 168.00	$ 7,224.00	$ 200.00	$ 8,600.00
209-03.08	ENHANCED ROCK CHECK DAM	EACH	7	$ 350.00	$ 2,450.00	$ 275.00	$ 1,925.00	$ 341.25	$ 2,388.75	$ 320.00	$ 2,240.00
209-09.01	SANDBAGS	BAG	80	$ 5.00	$ 400.00	$ 2.00	$ 160.00	$ 12.41	$ 992.80	$ 3.00	$ 240.00
209-10.20	TEMPORARY SEDIMENT TRAP	C.Y.	609	$ 40.00	$ 24,360.00	$ 3.00	$ 1,827.00	$ 11.50	$ 7,003.50	$ 7.00	$ 4,263.00
209-40.31	CATCH BASIN PROTECTION (TYPE B)	EACH	4	$ 400.00	$ 1,600.00	$ 500.00	$ 2,000.00	$ 444.79	$ 1,779.16	$ 460.00	$ 1,840.00
209-40.33	CATCH BASIN PROTECTION (TYPE D)	EACH	40	$ 215.00	$ 8,600.00	$ 300.00	$ 12,000.00	$ 444.79	$ 17,791.60	$ 270.00	$ 10,800.00
303-01	MINERAL AGGREGATE, TYPE A BASE, GRADING D	TON	9833	$ 23.25	$ 228,617.25	$ 24.00	$ 235,992.00	$ 26.99	$ 265,392.67	$ 18.00	$ 176,994.00
303-10.01	MINERAL AGGREGATE (SIZE 57)	TON	240	$ 32.00	$ 7,680.00	$ 25.00	$ 6,000.00	$ 30.20	$ 7,248.00	$ 21.00	$ 5,040.00
307-01.01	ASPHALT CONCRETE MIX (PG64-22) (BPMB-HM) GRADING A	TON	2713	$ 89.00	$ 241,457.00	$ 93.00	$ 252,309.00	$ 90.82	$ 246,394.66	$ 89.00	$ 241,457.00
307-01.08	ASPHALT CONCRETE MIX (PG64-22) (BPMB-HM) GRADING B-M2	TON	1854	$ 94.25	$ 174,739.50	$ 100.00	$ 185,400.00	$ 96.08	$ 178,132.32	$ 85.00	$ 157,590.00
402-01	BITUMINOUS MATERIAL FOR PRIME COAT (PC)	TON	30	$ 325.00	$ 9,750.00	$ 325.00	$ 9,750.00	$ 341.25	$ 10,237.50	$ 250.00	$ 7,500.00
402-02	AGGREGATE FOR COVER MATERIAL (PC)	TON	99	$ 40.00	$ 3,960.00	$ 40.00	$ 3,960.00	$ 42.00	$ 4,158.00	$ 30.00	$ 2,970.00
403-01	BITUMINOUS MATERIAL FOR TACK COAT (TC)	TON	3	$ 965.00	$ 2,895.00	$ 1,000.00	$ 3,000.00	$ 1,013.25	$ 3,039.75	$ 530.00	$ 1,590.00
411-01.07	ACS MIX (PG64-22) GRADING E SHOULDER	TON	288	$ 116.00	$ 33,408.00	$ 125.00	$ 36,000.00	$ 118.13	$ 34,021.44	$ 76.00	$ 21,888.00
411-01.10	ACS MIX (PG64-22) GRADING D	TON	1170	$ 112.00	$ 131,040.00	$ 118.00	$ 138,060.00	$ 114.19	$ 133,602.30	$ 107.00	$ 125,190.00
415-01.02	COLD PLANING BITUMINOUS PAVEMENT	S.Y.	1214	$ 7.85	$ 9,529.90	$ 8.00	$ 9,712.00	$ 8.24	$ 10,003.36	$ 2.50	$ 3,035.00
604-07.01	RETAINING WALL (STA 24+30 TO STA 26+25)	S.F.	1790	$ 63.00	$ 112,770.00	$ 60.00	$ 107,400.00	$ 94.76	$ 169,620.40	$ 60.00	$ 107,400.00
604-07.02	RETAINING WALL (STA 28+20 TO STA 29+98.70)	S.F.	3985	$ 68.00	$ 270,980.00	$ 54.00	$ 215,190.00	$ 83.82	$ 334,022.70	$ 65.00	$ 259,025.00
607-03.02	18" CONCRETE PIPE CULVERT (CLASS III)	L.F.	2932	$ 34.00	$ 99,688.00	$ 50.00	$ 146,600.00	$ 61.37	$ 179,936.84	$ 46.00	$ 134,872.00
607-05.02	24" CONCRETE PIPE CULVERT (CLASS III)	L.F.	718	$ 52.00	$ 37,336.00	$ 65.00	$ 46,670.00	$ 74.64	$ 53,591.52	$ 60.00	$ 43,080.00
607-06.02	30" CONCRETE PIPE CULVERT (CLASS III)	L.F.	90	$ 73.00	$ 6,570.00	$ 75.00	$ 6,750.00	$ 113.14	$ 10,182.60	$ 72.00	$ 6,480.00
607-07.02	36" CONCRETE PIPE CULVERT (CLASS III)	L.F.	76	$ 125.00	$ 9,500.00	$ 100.00	$ 7,600.00	$ 138.25	$ 10,507.00	$ 80.00	$ 6,080.00
607-39.02	18" PIPE CULVERT (SIDE DRAIN)	L.F.	85	$ 55.00	$ 4,675.00	$ 40.00	$ 3,400.00	$ 54.72	$ 4,651.20	$ 40.00	$ 3,400.00
611-01.05	MANHOLES, > 16' - 20' DEPTH	EACH	1	$ 5,900.00	$ 5,900.00	$ 20,000.00	$ 20,000.00	$ 5,692.77	$ 5,692.77	$ 5,500.00	$ 5,500.00
611-07.01	CLASS A CONCRETE (PIPE ENDWALLS)	C.Y.	14	$ 975.00	$ 13,650.00	$ 800.00	$ 11,200.00	$ 1,243.80	$ 17,413.20	$ 600.00	$ 8,400.00
611-07.02	STEEL BAR REINFORCEMENT (PIPE ENDWALLS)	LB.	406	$ 2.00	$ 812.00	$ 2.00	$ 812.00	$ 1.60	$ 649.60	$ 2.00	$ 812.00
611-12.01	CATCH BASINS, TYPE 12, 0' - 4' DEPTH	EACH	17	$ 2,500.00	$ 42,500.00	$ 2,500.00	$ 42,500.00	$ 2,323.61	$ 39,501.37	$ 3,000.00	$ 51,000.00
611-12.02	CATCH BASINS, TYPE 12, > 4' - 8' DEPTH	EACH	19	$ 2,500.00	$ 47,500.00	$ 3,500.00	$ 66,500.00	$ 2,470.94	$ 46,947.86	$ 4,000.00	$ 76,000.00
611-12.03	CATCH BASINS, TYPE 12, > 8' - 12' DEPTH	EACH	1	$ 3,000.00	$ 3,000.00	$ 6,000.00	$ 6,000.00	$ 3,495.88	$ 3,495.88	$ 4,800.00	$ 4,800.00
611-12.04	CATCH BASINS, TYPE 12, > 12' - 16' DEPTH	EACH	1	$ 3,900.00	$ 3,900.00	$ 9,000.00	$ 9,000.00	$ 5,860.66	$ 5,860.66	$ 5,000.00	$ 5,000.00
611-14.02	CATCH BASINS, TYPE 14, > 4' - 8' DEPTH	EACH	2	$ 5,000.00	$ 10,000.00	$ 4,000.00	$ 8,000.00	$ 5,809.42	$ 11,618.84	$ 4,000.00	$ 8,000.00
611-42.01	CATCH BASINS, TYPE 42, 0' - 4' DEPTH	EACH	2	$ 2,500.00	$ 5,000.00	$ 3,500.00	$ 7,000.00	$ 2,003.33	$ 4,006.66	$ 3,600.00	$ 7,200.00
611-42.03	CATCH BASINS, TYPE 42, > 8' - 12' DEPTH	EACH	1	$ 7,300.00	$ 7,300.00	$ 3,000.00	$ 3,000.00	$ 3,548.24	$ 3,548.24	$ 5,000.00	$ 5,000.00
701-01.01	CONCRETE SIDEWALK (4")	S.F.	506	$ 5.75	$ 2,909.50	$ 5.00	$ 2,530.00	$ 5.96	$ 3,015.76	$ 4.00	$ 2,024.00
701-01.02	CONCRETE SIDEWALK (6")	S.F.	1711	$ 6.50	$ 11,121.50	$ 7.00	$ 11,977.00	$ 8.01	$ 13,705.11	$ 5.00	$ 8,555.00
702-01	CONCRETE CURB	C.Y.	2	$ 765.00	$ 1,530.00	$ 300.00	$ 600.00	$ 1,369.86	$ 2,739.72	$ 300.00	$ 600.00
702-03	CONCRETE COMBINED CURB & GUTTER	C.Y.	416	$ 210.00	$ 87,360.00	$ 235.00	$ 97,760.00	$ 268.01	$ 111,492.16	$ 215.00	$ 89,440.00
705-02.02	SINGLE GUARDRAIL (TYPE 2)	L.F.	1373	$ 15.75	$ 21,624.75	$ 18.00	$ 24,714.00	$ 16.54	$ 22,709.42	$ 15.50	$ 21,281.50
705-02.03	SINGLE GUARDRAIL (TYPE 2) LONG POST	L.F.	718	$ 22.00	$ 15,796.00	$ 23.00	$ 16,514.00	$ 23.10	$ 16,585.80	$ 20.00	$ 14,360.00
705-04.02	GUARDRAIL TERMINAL (TYPE 12)	EACH	1	$ 1,500.00	$ 1,500.00	$ 200.00	$ 200.00	$ 1,575.00	$ 1,575.00	$ 500.00	$ 500.00
705-04.07	TAN ENERGY ABSORBING TERM (NCHRP 350, TL3)	EACH	3	$ 2,000.00	$ 6,000.00	$ 1,500.00	$ 4,500.00	$ 2,100.00	$ 6,300.00	$ 2,000.00	$ 6,000.00
707-01.11	CHAIN LINK FENCE (6 FOOT)	L.F.	860	$ 12.35	$ 10,621.00	$ 15.00	$ 12,900.00	$ 16.55	$ 14,233.00	$ 20.00	$ 17,200.00
707-01.12	END & CORNER POST ASSEMBLY (CHAIN-LINK FENCE 6')	EACH	5	$ 160.00	$ 800.00	$ 250.00	$ 1,250.00	$ 36.75	$ 183.75	$ 200.00	$ 1,000.00
707-01.13	GATE - CHAIN-LINK FENCE-6 FOOT (30-FT SLIDING GATE AT DRIVEWAY)	EACH	1	$ 1,650.00	$ 1,650.00	$ 4,000.00	$ 4,000.00	$ 600.00	$ 600.00	$ 2,000.00	$ 2,000.00
709-05.05	MACHINED RIP-RAP (CLASS A-3)	TON	50	$ 35.00	$ 1,750.00	$ 30.00	$ 1,500.00	$ 35.99	$ 1,799.50	$ 32.00	$ 1,600.00
709-05.06	MACHINED RIP-RAP (CLASS A-1)	TON	1199	$ 36.00	$ 43,164.00	$ 30.00	$ 35,970.00	$ 35.98	$ 43,140.02	$ 30.00	$ 35,970.00
710-02	AGGREGATE UNDERDRAINS (WITH PIPE)	L.F.	7212	$ 5.00	$ 36,060.00	$ 5.00	$ 36,060.00	$ 4.26	$ 30,723.12	$ 4.00	$ 28,848.00
712-01	TRAFFIC CONTROL	LS	1	$14,000.00	$ 14,000.00	$ 6,000.00	$ 6,000.00	$ 918.75	$ 918.75	$ 5,000.00	$ 5,000.00
712-04.01	FLEXIBLE DRUMS (CHANNELIZING)	EACH	63	$ 15.00	$ 945.00	$ 25.00	$ 1,575.00	$ 37.80	$ 2,381.40	$ 30.00	$ 1,890.00
712-05.01	WARNING LIGHTS (TYPE A)	EACH	4	$ 15.00	$ 60.00	$ 100.00	$ 400.00	$ 44.10	$ 176.40	$ 22.00	$ 88.00
712-06	SIGNS (CONSTRUCTION)	S.F.	110	$ 5.00	$ 550.00	$ 7.00	$ 770.00	$ 8.93	$ 982.30	$ 7.00	$ 770.00
712-07.03	TEMPORARY BARRICADES (TYPE III)	L.F.	70	$ 6.00	$ 420.00	$ 20.00	$ 1,400.00	$ 14.18	$ 992.60	$ 14.00	$ 980.00
712-09.01	REMOVABLE PAVEMENT MARKING LINE	L.F.	860	$ 2.50	$ 2,150.00	$ 2.50	$ 2,150.00	$ 2.63	$ 2,261.80	$ 2.00	$ 1,720.00
713-11.02	PERFORATED/KNOCKOUT SQUARE TUBE POST	LB.	56	$ 3.60	$ 201.60	$ 4.00	$ 224.00	$ 8.40	$ 470.40	$ 4.00	$ 224.00
713-13.02	FLAT SHEET ALUMINUM SIGNS (0.080" THICK)	S.F.	13	$ 39.00	$ 507.00	$ 13.00	$ 169.00	$ 18.64	$ 242.32	$ 12.00	$ 156.00
716-02.04	PLASTIC PAVEMENT MARKING (CHANNELIZATION STRIPING)	S.Y.	20	$ 18.00	$ 360.00	$ 16.00	$ 320.00	$ 19.43	$ 388.60	$ 16.00	$ 320.00
716-02.05	PLASTIC PAVEMENT MARKING (STOP LINE)	L.F.	45	$ 12.00	$ 540.00	$ 10.00	$ 450.00	$ 11.02	$ 495.90	$ 9.00	$ 405.00
716-02.06	PLASTIC PAVEMENT MARKING (TURN LANE ARROW)	EACH	15	$ 150.00	$ 2,250.00	$ 110.00	$ 1,650.00	$ 141.75	$ 2,126.25	$ 110.00	$ 1,650.00
716-12.01	ENHANCED FLATLINE THERMO PVMT MRKNG (4IN LINE)	L.M.	2.5	$ 3,500.00	$ 8,750.00	$ 3,000.00	$ 7,500.00	$ 3,045.00	$ 7,612.50	$ 2,400.00	$ 6,000.00
717-01	MOBILIZATION	LS	1	$56,500.00	$ 56,500.00	$100,000.00	$ 100,000.00	$56,315.74	$ 56,315.74	$ 103,800.00	$ 103,800.00
740-10.03	GEOTEXTILE (TYPE III)(EROSION CONTROL)	S.Y.	3395	$ 2.10	$ 7,129.50	$ 3.00	$ 10,185.00	$ 4.04	$ 13,715.80	$ 2.50	$ 8,487.50
801-01	SEEDING (WITH MULCH)	UNIT	219	$ 21.00	$ 4,599.00	$ 30.00	$ 6,570.00	$ 21.00	$ 4,599.00	$ 28.00	$ 6,132.00
801-03	WATER (SEEDING & SODDING)	M.G.	18	$ 52.00	$ 936.00	$ 25.00	$ 450.00	$ 52.50	$ 945.00	$ 15.00	$ 270.00
801-07	SEED (SUPPLEMENTAL APPLICATION)	LB.	50	$ 5.10	$ 255.00	$ 25.00	$ 1,250.00	$ 5.25	$ 262.50	$ 1.50	$ 75.00
801-08	FERTILIZER (SUPPLEMENTAL APPLICATION)	TON	1	$ 670.00	$ 670.00	$ 400.00	$ 400.00	$ 682.50	$ 682.50	$ 600.00	$ 600.00
803-01	SODDING (NEW SOD)	S.Y.	1576	$ 4.20	$ 6,619.20	$ 3.50	$ 5,516.00	$ 4.20	$ 6,619.20	$ 3.00	$ 4,728.00
805-01.01	TURF REINFORCEMENT MAT (CLASS I)	S.Y.	328	$ 3.60	$ 1,180.80	$ 5.00	$ 1,640.00	$ 3.68	$ 1,207.04	$ 3.00	$ 984.00

Date: 09-10-2015
Calculations Conducted By: Brenda Hall
Checked By: Jeff Mize, PE

	Summerr Taylor, Inc	Earl TM Turf & Landscape	Thomar Const. Co.	gineer's Opinion of Probable Co
CDM Smith's Calculations	$$$$$$$	$$$$$$$	$$$$$$$	$$$$$$$$$
Bidder Calculations Actual Bid	$$$$$	$$$$$$	$$$$$$$	

BID ENVELOPE COVER

NAME OF PROJECT: FAIRGROUNDS CONNECTOR ROAD PHASE 3,
FROM Fairgrounds Circle to North Rufe Taylor Road; Town of Greeneville, TN

SEALED BIDS WILL BE RECEIVED:

Town Engineer's Office
Town Hall, 200 North College Street, Greeneville, TN 37745

UNTIL: 2:00 PM (LOCAL TIME) September 9, 2015 (DATE)

COMPLETE ALL BLANKS!

BIDDER: SUMMERS-TAYLOR, INC.
ADDRESS: 300 WEST ELK AVENUE
ELIZABETHTON, TN 37643
423-543-3181 - PHONE
423-543-6188 - FAX

SUBCONTRACTORS TO BE USED ON THIS PROJECT:
If no subcontract work is required, write "none required".
Indicate each subcontractor that is a DBE on the list below.
Sealed proposal document shall also include a completed DBE worksheet.

SOUTHEAN SEEDING - DBE
ALH CONSTRUCTION - DBE
REYNOLDS FENCE + GUARDRAIL - DBE
DYKES TRUCKING, INC. - DBE
EAST COAST DRILLING + BLASTING, INC.
TYSINGER, HAMPTON + PARTNERS
MCCALL COMMERCIAL FENCING
SUPERIOR PAVEMENT MARKING, INC.

NO HVAC SUBCONTRACTORS
NO PLUMBING SUBCONTRACTORS
NO ELECTRICAL SUBCONTRACTORS

BIDDERS MUST COMPLETE ALL AREAS OF THIS FORM!

PROPOSAL

TO THE TOWN OF GREENEVILLE

GREENE, TENNESSEE

By submitting this Proposal, the undersigned bidder represents that it has carefully examined the site of the work described herein, has become familiar with local conditions and the character and extent of the work; has carefully examined the Plans, the most current version of the *Standard Specifications for Road and Bridge Construction* and the Standard Roadway and Structures Drawings adopted by the State of Tennessee, Department of Transportation, with subsequent revisions which are acknowledged to be a part of this Proposal, the Special Provisions, the Proposal Form, the Form of Contract, and the Form of Contract Payment and Performance Bond; and thoroughly understands their stipulations, requirements, and provisions.

The undersigned bidder has determined the quality and quantity of materials required; has investigated the location and determined the sources of supply of the materials required; has investigated labor conditions; and, has arranged for the continuous prosecution of the work herein described.

By submitting this Proposal, the undersigned bidder agrees to provide all necessary equipment, tools, labor, incidentals, and other means of construction, to do all the work, and furnish all the materials of the specified requirements which are necessary to complete the work in accordance with the Plans, and the Specifications, and agrees to accept as payment in full the unit prices for the various items described in the Specifications that are set forth in this Proposal. The bidder understands that the quantities of work specified are approximate only and are subject to increase or decrease and that any such increase or decrease will not affect the unit prices set forth in this Proposal. Compensation for "extra work" which may be required by the **TOWN** in connection with the construction and completion of the work but which was not reflected in the Plans and Specifications at the time of bidding, will be made in the following manner: work for which there is a unit price set forth in this Proposal will be compensated at that unit price; work for which there is no unit price set forth in this Proposal will be compensated in accordance with the applicable Tennessee Department of Transportation Standard Specifications.

By submitting this Proposal, the undersigned bidder hereby agrees to be bound by the award of the Contract and, if awarded the Contract on this Proposal, to execute the required Contract and the required Contract Payment and Performance Bond within ten (10) days after receipt of notice of the award. The undersigned bidder submits herewith the required Proposal guaranty in an amount of not less than five percent (5%) of the total amount of the Proposal offered and agrees and consents that the Proposal guaranty shall immediately be at the disposal of the **TOWN**, not as a penalty, but as an agreed liquidated damage if the required Contract and Contract Payment and Performance Bond are not executed within ten (10) days from receipt of the notice of award.

THIS PROPOSAL SUBMITTED BY:

Summers-Taylor, Inc.
Bidder (1)

By: [signature]

Ted L. Bryant Vice-President
Printed Name and Title

P.O. Box 1628
Address

Elizabethton, TN 37644
City/State/Zip

Bidder (1) being a Corporation composed of officers, partners, or owners as follows:
(Type of business entity)

P.T. Summers Chairman of the Board	Danny Mathews - Vice President of Estimating
Name/Title	Name/Title
Grant Summers - President	Scott Fuller - Vice President of Construction
Name/Title	Name/Title
Ted Bryant - Executive Vice President	Chris Hyder - Chief Financial Officer
Name/Title	Name/Title

N/A
Bidder (2)*

By: N/A

N/A
Printed Name and Title

N/A
Address

N/A
City/State/Zip

Bidder (2) being a N/A composed of officers, partners, or owners as follows:
(Type of business entity)

N/A	N/A
Name/Title	Name/Title
N/A	N/A
Name/Title	Name/Title
N/A	N/A
Name/Title	Name/Title

BID FORM
ESTIMATED QUANTITIES

ITEM NO.	DESCRIPTION	UNIT	QUANTITY	UNIT COST	TOTAL COST
105-01	CONSTRUCTION STAKES, LINES AND GRADES	LS	1	15,000.00	15,000.00
201-01.03	CLEARING AND GRUBBING	ACRE	8	2,500.00	20,000.00
203-01	ROAD & DRAINAGE EXCAVATION (UNCLASSIFIED)	C.Y.	63579	4.65	295,642.35
203-04	PLACING AND SPREADING TOPSOIL	C.Y.	2140	6.00	12,840.00
203-06	WATER	M.G.	108	5.00	540.00
209-02.04	10" TEMPORARY SLOPE DRAIN	L.F.	266	18.00	4,788.00
209-03.20	FILTER SOCK (8 INCH)	L.F.	168	3.10	520.80
209-06.03	TEMPORARY SILT FENCE (WITHOUT BACKING)	L.F.	4185	1.50	6,277.50
209-08.07	ROCK CHECK DAM PER	EACH	43	171.00	7,353.00
209-08.08	ENHANCED ROCK CHECK DAM	EACH	7	350.00	2,450.00
209-09.01	SANDBAGS	BAG	80	5.00	400.00
209-10.20	TEMPORARY SEDIMENT TRAP	C.Y.	609	40.00	24360.00
209-40.31	CATCH BASIN PROTECTION (TYPE B)	EACH	4	400.00	1,600.00
209-40.33	CATCH BASIN PROTECTION (TYPE D)	EACH	40	215.00	8,600.00
303-01	MINERAL AGGREGATE, TYPE A BASE, GRADING D	TON	9833	23.25	228617.25
303-10.01	MINERAL AGGREGATE (SIZE 57)	TON	240	32.00	7,680.00
307-01.01	ASPHALT CONCRETE MIX (PG64-22) (BPMB-HM) GRADING A	TON	2713	89.00	241,457.00
307-01.08	ASPHALT CONCRETE MIX (PG64-22) (BPMB-HM) GRADING B-M2	TON	1954	94.25	174,789.50
402-01	BITUMINOUS MATERIAL FOR PRIME COAT (PC)	TON	30	325.00	9750.00
402-02	AGGREGATE FOR COVER MATERIAL (PC)	TON	99	40.00	3,960.00
403-01	BITUMINOUS MATERIAL FOR TACK COAT (TC)	TON	3	965.00	2,895.00
411-01.07	ACS MIX (PG64-22) GRADING E SHOULDER	TON	288	116.00	33,408.00
411-01.10	ACS MIX(PG64-22) GRADING D	TON	1170	112.00	131,040.00
415-01.02	COLD PLANING BITUMINOUS PAVEMENT	S.Y.	1214	7.85	9,529.90
604-07.01	RETAINING WALL (STA 24+30 TO STA 25+25)	S.F.	1790	63.00	112,770.00
604-07.02	RETAINING WALL (STA 28+20 TO STA 29+98.70)	S.F.	3985	68.00	270,980.00
607-03.02	18" CONCRETE PIPE CULVERT (CLASS III)	L.F.	2932	34.00	99,688.00
607-05.02	24" CONCRETE PIPE CULVERT (CLASS III)	L.F.	718	52.00	37,336.00
607-06.02	30" CONCRETE PIPE CULVERT (CLASS III)	L.F.	90	73.00	6,570.00
607-07.02	36" CONCRETE PIPE CULVERT (CLASS III)	L.F.	76	125.00	9,500.00
607-39.02	18" PIPE CULVERT (SIDE DRAIN)	L.F.	85	55.00	4,675.00
611-01.05	MANHOLES, > 16' - 20' DEPTH	EACH	1	5900.00	5,900.00
611-07.01	CLASS A CONCRETE (PIPE ENDWALLS)	C.Y.	14	975.00	13,650.00
611-07.02	STEEL BAR REINFORCEMENT (PIPE ENDWALLS)	LB.	406	2.00	812.00
611-12.01	CATCH BASINS, TYPE 12, 0' - 4' DEPTH	EACH	17	2,500.00	42,500.00
611-12.02	CATCH BASINS, TYPE 12, > 4' - 8' DEPTH	EACH	19	2,500.00	47,500.00
611-12.03	CATCH BASINS, TYPE 12, > 8' - 12' DEPTH	EACH	1	3,000.00	3,000.00
611-12.04	CATCH BASINS, TYPE 12, > 12' - 16' DEPTH	EACH	1	3900.00	3,900.00
611-14.02	CATCH BASINS, TYPE 14, > 4' - 8' DEPTH	EACH	2	5,000.00	10,000.00
611-42.01	CATCH BASINS, TYPE 42, 0' - 4' DEPTH	EACH	2	2,500.00	5,000.00
611-42.03	CATCH BASINS, TYPE 42, > 8' - 12' DEPTH	EACH	1	7,300.00	7,300.00

BID FORM
ESTIMATED QUANTITIES

ITEM NO.	DESCRIPTION	UNIT	QUANTITY	UNIT COST	TOTAL COST
701-01.01	CONCRETE SIDEWALK (4 ")	S.F.	505	5.75	2,904.50
701-01.02	CONCRETE SIDEWALK (6 ")	S.F.	1711	6.50	11,121.50
702-01	CONCRETE CURB	C.Y.	2	765.00	1,530.00
702-03	CONCRETE COMBINED CURB & GUTTER	C.Y.	416	210.00	87,360.00
705-02.02	SINGLE GUARDRAIL (TYPE 2)	L.F.	1373	15.75	21,624.75
705-02.03	SINGLE GUARDRAIL (TYPE 2) LONG POST	L.F.	718	22.00	15,796.00
705-04.02	GUARDRAIL TERMINAL (TYPE 12)	EACH	1	1,500.00	1,500.00
705-04.07	TAN ENERGY ABSORBING TERM (NCHRP 350, TL3)	EACH	3	2,000.00	6,000.00
707-01.11	CHAIN LINK FENCE (6 FOOT)	L.F.	860	12.35	10,621.00
707-01.12	END & CORNER POST ASSEMBLY(CHAIN-LINK FENCE 6')	EACH	5	160.00	800.00
707-01.13	GATE - CHAIN-LINK FENCE-6 FOOT (30-FT SLIDING GATE AT DRIVEWAY)	EACH	1	1,650.00	1,650.00
709-05.05	MACHINED RIP-RAP (CLASS A-3)	TON	50	35.00	1,750.00
709-05.06	MACHINED RIP-RAP (CLASS A-1)	TON	1199	36.00	43,164.00
710-02	AGGREGATE UNDERDRAINS (WITH PIPE)	L.F.	7212	5.00	36,060.00
712-01	TRAFFIC CONTROL	LS	1	14,000.00	14,000.00
712-04.01	FLEXIBLE DRUMS (CHANNELIZING)	EACH	63	15.00	945.00
712-05.01	WARNING LIGHTS (TYPE A)	EACH	4	15.00	60.00
712-06	SIGNS (CONSTRUCTION)	S.F.	110	5.00	550.00
712-07.03	TEMPORARY BARRICADES (TYPE III)	L.F.	70	6.00	420.00
712-09.01	REMOVABLE PAVEMENT MARKING LINE	L.F.	860	2.50	2,150.00
713-11.02	PERFORATED/KNOCKOUT SQUARE TUBE POST	LB.	56	3.60	201.60
713-13.02	FLAT SHEET ALUMINUM SIGNS (0.080" THICK)	S.F.	13	39.00	507.00
716-02.04	PLASTIC PAVEMENT MARKING (CHANNELIZATION STRIPING)	S.Y.	20	18.00	360.00
716-02.05	PLASTIC PAVEMENT MARKING (STOP LINE)	L.F.	45	12.00	540.00
716-02.06	PLASTIC PAVEMENT MARKING (TURN LANE ARROW)	EACH	15	150.00	2,250.00
716-12.01	ENHANCED FLATLINE THERMO PVMT MRKNG (4IN LINE)	L.M.	2.5	3,500.00	8,750.00
717-01	MOBILIZATION	LS	1	56,300.00	56,300.00
740-10.03	GEOTEXTILE (TYPE III)(EROSION CONTROL)	S.Y.	3395	2.10	7,129.50
801-01	SEEDING (WITH MULCH)	UNIT	219	21.00	4,599.00
801-03	WATER (SEEDING & SODDING)	M.G.	18	52.00	936.00
801-07	SEED (SUPPLEMENTAL APPLICATION)	LB.	50	5.10	255.00
801-08	FERTILIZER (SUPPLEMENTAL APPLICATION)	TON	1	670.00	670.00
803-01	SODDING (NEW SOD)	S.Y.	1576	4.20	6,619.20
805-01.01	TURF REINFORCEMENT MAT (CLASS I)	S.Y.	328	3.60	1,180.80

Grand Total $ TWO MILLION TWO HUNDRED SEVENTY FIVE THIRTY NINE DOLLARS AND FIFTEEN CENTS. ($ 2,275,039.15)

In Words In Numbers

Bid Form - Sheet 2 of 2

DBE GOALS WORKSHEET
PIN 115811.00
Greene County
Greeneville Fairgrounds Connector Phase 3

DBE Company Name	General Work Description	Cost	Estimated % of Total Project
SOUTHERN SEEDING	EROSION CONTROL-SEEDING-SODDING	30,150.00	1.33
ALN CONSTRUCTION	CONCRETE SIDEWALK-EARTHWORK	28,443.00	1.25
REYNOLDS FENCE + GUARDRAIL	GUARDRAILS + TERMINALS	44,920.76	1.97
DYKES TRUCKING, INC.	HAULING	35,000.00	1.54

TOTAL DBE COMMITMENT 6.08 %

DBE GOAL 6%

Submitted By: JOHN T. BOWMAN Date: 9/9/15

*NOTE: The signature and information for Bidder (2) is to be provided when there is a joint venture.

PROPOSAL CERTIFICATION

The undersigned, being first duly sworn, certifies on behalf of the bidder that it has not, either directly or indirectly, entered into any agreement, participated in any collusion, or otherwise taken any action in restraint of free competitive bidding in connection with this Proposal or Contract. This is an official document that is required or authorized by law to be made under oath and is presented in an official proceeding. A person who makes a false statement in this certification is subject to the penalties of perjury.

The undersigned further certifies that said bidder is not under the control of any person, firm, partnership, or corporation, which has or exercises any control of any other person, firm, partnership, or corporation, which is submitting a bid on this Contract.

Summers-Taylor, Inc.
Bidder (1)

By: [signature]

Ted L. Bryant Vice-President
Printed Name and Title

Sworn to and subscribed before me

this 9TH day of September, 2015

Angela M. Knapp
Notary Public

ANGELA MARIE KNAPP
NOTARY PUBLIC
STATE OF TENNESSEE
COUNTY OF GREENE

My commission expires 03/23/2019

(Seal)

SUMMERS TAYLOR, INC. CORPORATE SEAL 1970 TENNESSEE

N/A
Bidder (2)

By: N/A

N/A
Printed Name and Title

Sworn to and subscribed before me

this N/A day of N/A, N/A

N/A
Notary Public

My commission expires N/A

(Seal)

*NOTE: The signature and information for Bidder (2) is to be provided when there is a joint venture.

TOWN OF GREENEVILLE

GREENE, TENNESSEE

PROPOSAL BOND

CONTRACT NO. FAIRGROUNDS CONNECTOR ROAD PHASE III

Principal: SUMMERS-TAYLOR, INC.
Print Name of Principal

Surety: FIDELITY & DEPOSIT CO OF MARYLAND
Print Name of Surety

KNOW ALL MEN BY THESE PRESENTS, that we, the Principal and Surety above named, are held and firmly bound unto the **TOWN** in the full and just sum of five percent (5%) of the total amount bid by the Principal for the project stated above, for the payment of which sum well and truly to be made, we bind ourselves, our heirs, executors, administrators, and successors, jointly and severally, firmly by these presents.

NOW, THEREFORE, the condition of this obligation is: the Principal shall not withdraw its bid within sixty (60) days after the opening of the bids, or within such other time period as may be provided in the Proposal, and if the **TOWN** shall award a Contract to the Principal, the Principal shall, within ten (10) days after written notice of the award is received by him, fully execute a Contract on the basis of the terms, conditions and unit prices set forth in his Proposal or bid and provide bonds with good and sufficient surety, as required for the faithful performance of the Contract and for the protection of all persons supplying labor, material, and equipment for the prosecution of the work. In the event the Principal withdraws its bid after bids are opened, or after award of the Contract has been made fails to execute such the Contract and/or such additional documents as may be required and to provide the required bonds within the time period specified above, then the amount of the Proposal Bond shall be immediately paid to the **TOWN**, not as a penalty, but as agreed upon liquidated damages.

IN WITNESS WHEREOF, the Principal has caused these presents to be signed by a duly authorized officer and the Surety has caused these presents to be duly signed and sealed by an authorized agent or attorney-in-fact.

SUMNERS TAYLOR INC.
Principal (1)

By: [signature]

Danny Matthews — Vice President
Print Name and Title

9-9-15
Date

FIDELITY & DEPOSIT CO OF MARYLAND
Surety (1)

By: [signature]
General Agent or Attorney-in-Fact

9-9-15
Date

(Seal)

Principal (2)

By:

Print Name and Title

Date

Surety (2)

By:
General Agent or Attorney-in-Fact

Date

(Seal)

*NOTE: The signature and information for Principal(2) and Surety(2) is to be provided when there is a joint venture.

Power of Attorney
FIDELITY AND DEPOSIT COMPANY OF MARYLAND

KNOW ALL MEN BY THESE PRESENTS: That the FIDELITY AND DEPOSIT COMPANY OF MARYLAND, a corporation of the State of Maryland, by FRANK E. MARTIN JR., Vice President, and ERIC D. BARNES, Assistant Secretary, in pursuance of authority granted by Article VI, Section 2, of the By-Laws of said Company, which are set forth on the reverse side hereof and are hereby certified to be in full force and effect on the date hereof, does hereby nominate, constitute and appoint **Mark B. SIZEMORE and Karen LARGE, both of Johnson City, Tennessee, EACH** its true and lawful agent and Attorney-in-Fact, to make, execute, seal and deliver for, and on its behalf as surety, and as its act and deed: **any and all bonds and undertakings,** and the execution of such bonds or undertakings in pursuance of these presents, shall be as binding upon said Company, as fully and amply, to all intents and purposes, as if they had been duly executed and acknowledged by the regularly elected officers of the Company at its office in Baltimore, Md., in their own proper persons. This power of attorney revokes that issued on behalf of Mark B. SIZEMORE, Karen LARGE, Karen DUNKIN, dated August 30, 2004.

The said Assistant Secretary does hereby certify that the extract set forth on the reverse side hereof is a true copy of Article VI, Section 2, of the By-Laws of said Company, and is now in force.

IN WITNESS WHEREOF, the said Vice-President and Assistant Secretary have hereunto subscribed their names and affixed the Corporate Seal of the said FIDELITY AND DEPOSIT COMPANY OF MARYLAND, this 19th day of May, A.D. 2011.

ATTEST:

FIDELITY AND DEPOSIT COMPANY OF MARYLAND

By:

Eric D. Barnes *Assistant Secretary* *Frank E. Martin Jr.* *Vice President*

State of Maryland }
City of Baltimore } ss:

On this 19th day of May, A.D. 2011, before the subscriber, a Notary Public of the State of Maryland, duly commissioned and qualified, came FRANK E. MARTIN JR., Vice President, and ERIC D. BARNES, Assistant Secretary of the FIDELITY AND DEPOSIT COMPANY OF MARYLAND, to me personally known to be the individuals and officers described in and who executed the preceding instrument, and they each acknowledged the execution of the same, and being by me duly sworn, severally and each for himself deposeth and saith, that they are the said officers of the Company aforesaid, and that the seal affixed to the preceding instrument is the Corporate Seal of said Company, and that the said Corporate Seal and their signatures as such officers were duly affixed and subscribed to the said instrument by the authority and direction of the said Corporation.

IN TESTIMONY WHEREOF, I have hereunto set my hand and affixed my Official Seal the day and year first above written.

Maria D. Adamski *Notary Public*
My Commission Expires: July 8, 2015

POA-F 164-4367

EXTRACT FROM BY-LAWS OF FIDELITY AND DEPOSIT COMPANY OF MARYLAND

"Article VI, Section 2. The Chairman of the Board, or the President, or any Executive Vice-President, or any of the Senior Vice-Presidents or Vice-Presidents specially authorized so to do by the Board of Directors or by the Executive Committee, shall have power, by and with the concurrence of the Secretary or any one of the Assistant Secretaries, to appoint Resident Vice-Presidents, Assistant Vice-Presidents and Attorneys-in-Fact as the business of the Company may require, or to authorize any person or persons to execute on behalf of the Company any bonds, undertaking, recognizances, stipulations, policies, contracts, agreements, deeds, and releases and assignments of judgments, decrees, mortgages and instruments in the nature of mortgages,...and to affix the seal of the Company thereto."

CERTIFICATE

I, the undersigned, Assistant Secretary of the FIDELITY AND DEPOSIT COMPANY OF MARYLAND, do hereby certify that the foregoing Power of Attorney is still in full force and effect on the date of this certificate; and I do further certify that the Vice-President who executed the said Power of Attorney was one of the additional Vice-Presidents specially authorized by the Board of Directors to appoint any Attorney-in-Fact as provided in Article VI, Section 2, of the By-Laws of the FIDELITY AND DEPOSIT COMPANY OF MARYLAND.

This Power of Attorney and Certificate may be signed by facsimile under and by authority of the following resolution of the Board of Directors of the FIDELITY AND DEPOSIT COMPANY OF MARYLAND at a meeting duly called and held on the 10th day of May, 1990.

RESOLVED: "That the facsimile or mechanically reproduced seal of the company and facsimile or mechanically reproduced signature of any Vice-President, Secretary, or Assistant Secretary of the Company, whether made heretofore or hereafter, wherever appearing upon a certified copy of any power of attorney issued by the Company, shall be valid and binding upon the Company with the same force and effect as though manually affixed."

IN TESTIMONY WHEREOF, I have hereunto subscribed my name and affixed the corporate seal of the said Company,

this 9th day of September, 2015.

Geoff E. Mincy

Assistant Secretary

Prequalification Check Exercise

- In your supplemental packet, there are two pages from the Pre-qualified Contractors List.
- Summers-Taylor is the apparent low bidder on PIN 115881.00. Check their pre-qualification. What types of work is Summers-Taylor pre-qualified to perform?
- If Superior Traffic Control is chosen as a subcontractor, what types of work can Superior Traffic Control perform?
- If you were Greeneville, would this choice of subcontractor raise any questions at the time they opened bids, and if so, why?

TDOT reviews the documents for:

- Completeness of the bid package
- Use of TDOT standards and item numbers
- Mathematical or material unbalancing
- Evidence of collusion / bid rigging

TDOT may:

- Concur with award
- Concur with rejection
- Not concur –
  - Suggest going with another bidder
  - Suggest a rebid

Reasons for not Awarding a Bid

1. Failure to sign the bid (proposal form, proposal certification, proposal bond, Power of Attorney)
2. Failure to furnish the required bid bond and Power of Attorney, with the same dates
3. Omissions, alterations of form, additions, or conditions not called for
4. Unauthorized bids or irregularities
5. Failure to include a unit bid price for each item (must be an amount of zero or greater)
6. Units prices are mathematically unbalanced
7. Failure to submit a non-collusion affidavit
8. Failure to utilize the required forms approved by TDOT (Form 8-1 Federal or Form 8-1 State)
9. Failure to submit a bid within the original bound bid book
10. Failure of bidder to acknowledge all addenda
11. Bidder not prequalified or not in good standing the day of the letting

Beware of Unbalanced Bids

In the process of bidding, Contractors will seek advantage opportunities.

If the estimated quantity of an item is much lower than the plans indicate, a Contractor may place a high value on that item, while lowering the value on some other item of work.

In this way, that contractor may get the low bid, but when final quantities of work are established, he may no longer be the low bidder.

Activity Time!

1. In your supplemental packet, you have two bid submissions.
    - The first one is good. The second one isn't. Why?
2. In your supplemental packet, there are two completed bid tabulations.
    - Notice what can happen if items are materially or mathematically unbalanced.

Award of the Contract

- Upon TDOT Concurrence, the LG will:
  - Issue the Contractor a copy of the Proposal Contract for signatures
- The Contractor will:
  - Return the signed contract to the LG with a fully executed Payment and Performance Bond equal to 100% of the contract amount within 10 days
  - Any necessary railroad insurance must also be submitted prior to final execution of the contract (20 calendar days allowed)
- Signed Contracts will be distributed to the Contractor, the Surety, the LG, and LPDO (electronically for LPDO)

FHWA 1391 Reporting

- Required per 23 CFR 230, Subpart A
- TDOT Civil Rights Office sends letters to all prime contractors working on locally managed projects in the month of July
- Contractors respond with required information by August 15th of each year
- Placed in End of Job File

Post Award / Pre - Construction

- The LG shall electronically submit to LPDO:
  - Contractor Firm Name
  - Street Address (with nine digit zip code)
  - DUNS Number
  - Contact Person's Information
  - Use LP NIC system to provide this information

LP NIC System

- Upon Issuance of the NTP for Construction, the Program Monitor will enter project information into the LP NIC System
- The System will automatically generate an email to the LG for their FIRST LP project
- This email will instruct the LG how to log in to the LP NIC System.
- Subsequent projects will be added to the LG's dashboard in LP NIC, but the LG will not receive an email for subsequent projects In this case, the award concurrence email is your notification to add information to LP NIC
- One person per LG will receive a username and password, but it can be shared
- If you change your username and password, you will need to alert any users within your organization
- Do not enter dollar signs or commas in amounts

Local Programs

- Funding Guidance
- Documents and Forms
- Reimbursement Guidance
- Training
- Current Projects
- Transportation Alternatives Program
- Staff

Local Programs Development Office

James K. Polk Building, Suite 600
505 Deaderick Street
Nashville, TN 37243-0341
Phone: 615.741.5314
Fax: 615.741.9673

The Local Programs Development Office assists Local Governments with administering State and Federal Aid projects. Types of projects administered in Local Programs include projects such as roadway resurfacing, greenways, signalization of intersections, and bridge replacements. These projects must follow the Local Government Guidelines Manual.

Local Programs Resources:

- LP NIC Reporting
- Safe Routes to Schools
- Functional Classification

TN Local Programs

Tennessee Department of Transportation - Local Programs

Users

Welcome back.

Go to Log In

What You Can Do

- Revise Project and Contractor information
- Add and Edit Subcontractor information

What You Will Need

- Contractor and Subcontractor information including their ID - Duns, Contact Name/Address, Contract Numbers and more

This online service uses cookies.

TN Local Programs

Log In

Log In to Local Programs

User Name

Password

Log In

Forgot your user name or password?

Update account information or change your password.

Local Programs

Dashboard

Modified Date	Program PIN	Description
05/02/2012	12345.67.89	Bonbon marzipan tootsie roll marzipan chocolate cake gingerbread halvah biscuit.
04/12/2012	12345.67.24	Donut bear claw chocolate muffin donut jelly pie donut jelly.
04/07/2012	12345.67.34	Macaroon sweet roll jelly beans pie. Sweet jelly-o sweet cotton candy marzipan.
04/02/2012	12345.67.12	Jelly soufflé cupcake fruitcake chocolate bar soufflé gummies.

Edit Program

Project Information

Region	Region Name
PIN	**1234.567.89**
FED #	123456789
Contract Agency Name	Agency Name
Contact #1 Name	John Smith
Contact #1 Primary Phone	(615)555-5555
Contact #1 Alternative Phone	N/A
Contact #1 Email	john.smith@tn.gov
City	
County	Davidson
Route	
Termini/Description	
Type of Work	
Construction Award Date	
Contract Award Amount	$
Start Date/Anticipated Start Date	
Contract Completion Date	
DBE Goal	%
DBE Commitment	%

Actual Completion Date	

Contractor Information

Contact Name	
ID - Duns	
Company Name	
Location Address	
City	
State	TN

Local Programs

Confirmation

Thank you for submitting your Program information.

Return to Dashboard

Home | Log Out

Help and FAQs Privacy Statement

LPDO Help and FAQs

Questions about NIC:

Whitney Sullivan
Local Programs Office
615-253-1387
whitney.sullivan@tn.gov

Technical Questions:

NIC, TN - Tennessee.gov
Help Desk
(615) 313-0300 or
1-866-8TN-EGOV
help@egovtn.org

Pre-Construction Conference

- Locally managed projects are required to conduct a Pre-Construction Conference
- Form 8-10a: Pre-Construction Conference Notice - will be sent to all attendees at least two weeks prior to the conference
- On complex projects, secondary conferences may be held as well (see Form 8-10b Erosion Conference Notice and Form 8-10c Utility Conference Notice)
- LG, Contractor, Subcontractors, Utility Companies, CEI, and TDOT representatives will attend
- Subcontractors and DBE's will be introduced

Post Award / Pre-Construction

- **At least 7 days prior to the Pre-Construction Conference:**
  - **LG will electronically send PS&E Package to the TDOT District Operations Engineer/Manager and TDOT Regional Materials and Tests Supervisor and**
  - **A copy of this email shall be sent to Local.Programs@tn.gov**

Pre-Construction Conference Discussion Items

- Start Date
- Construction Schedule
- Critical Path Activities
- Materials Delivery and Storage
- Required Postings
- DBE goal
- Traffic Control Measures
- Erosion Control Measures
- Potential Obstacles
- Local Special Events

Pre-Construction Conference Related Forms

- Form 8-6 Construction Project Files
- Subcontract Forms 8-7a, 8-7b, 8-7c(Manual, section 8.2.9)
- DBE Company Profile, Form 8-8a
- DBE Material Supplier/Trucker Contract Certification, Form 8-8b
- Forms 8-11a, 8-11b, and 8-11c – Guidance for keeping minutes of the conference or conferences as the case may be
- Form 8-12– Sign In Sheet for recording all attendees
- Utility Forms 8-13 and 8-14 if utilities are being relocated as part of the project
- Form 8-16–Construction Checklist, guidance for submittals
- Start Notice – Form 8-17, directing Contractor the date to begin work on the project
- Form 8-18 – Contractor attests that he will not knowingly employ illegal immigrants

TDOT Performed Oversight During Construction

- TDOT will assign an inspector to the job
- TDOT Engineering Services (TDOT ES) Line on Exhibit A of your contract
- TDOT's inspector and a representative of the Regional Materials and Tests Division must attend the mandatory pre-construction conference
- The TDOT inspector will:
  - Attend regularly scheduled progress meetings
  - Make monthly visits to the project site

Materials Testing

- LG's CEI will conduct all acceptance testing
- TDOT will perform verification and independent assurance testing

Miscellaneous Construction Forms

- Form 8-19: Hot Mix Asphalt Plant Inspector Checklist – Form used by the inspector who is checks that the asphalt at the plant meets specifications of the project, kept in project files
- Form 8-20: Hot Mix Asphalt Roadway Inspector Checklist – used by the construction inspector to ensure placement of the asphalt is in accordance with specifications
- Form 8-21: Work Zone Traffic Control Inspection Form – to be kept in the project file
- Form 8-22: Bridge Construction Inspector Checklist – to be completed by CEI and sent to TDOT Structures Division
- Form 8-23: Bridge Deck Pre-Pour Checklist
- Form 8-24: Bridge Deck During Pour Checklist
- Form 8-25 : Bridge Deck Post-Pour Checklist
- Form 8-26: Structures Construction Checklist – to be completed after bridge construction

Miscellaneous Construction Forms

- Form 8-15: Railroad Completion Notice - used when work is done on railroad right-of-way, indicates acceptance of work by railroad
- Form 8-27: TDOT EPSC Inspection Form – evaluates the contractor's erosion protection and sediment control measures
- Form 8-28: Notice of Termination Form – submitted to TDEC when water quality permit coverage can be terminated
- Form 8-29: Prompt Payment to Subcontractors Form – completed by Prime Contractor and submitted to local agency 60 days after payments
- Form 8-30: Change Order Form – all change orders should be sent to LPDO to ensure funding is available
- See Chapter 2 (Distribution Matrix) of the LGGM for submittal requirements of various applicable forms

Change Order Process

- The LG provides the final approval of change orders, as it is your project
- Your program monitor needs to be aware of each change order, as the project funds are bound by the amount in the TIP/STIP
- For all change orders, prior approval is required by LPDO for funding availability
  - Is there enough money in the TIP / STIP?
  - Are requested items eligible?

Project Records – FHWA's "Big Five"

1. Environmental Commitments – must be addressed
2. ADA – Project must be ADA compliant
3. DBE – Goal must be met
4. Buy America – Steel and Iron Products must be domestically produced
5. Source Documents for Payment – such as:
   - Inspector's Daily Reports
   - Material Certifications
   - Invoice / Bill of Laden

Recurring Audit Issues

- Engineer or CEI not on TDOT's pre-qualified list
- Sub-contracts with FHWA 1273 missing
- Change Orders not approved for funding by TDOT prior to execution
- Material acceptance test documentation not in project file
- TDOT assurance testing not in project file
- DBE participation not met
- CUF interviews not performed

Commercially Useful Function (CUF)

- DBEs must perform a Commercially Useful Function (CUF), to be confirmed by CEI
- Commercially Useful Function Checklist (Form 8-9) should be completed WHENEVER a DBE performs work (even if there is no goal assigned to the project)
- Sent to TDOT Civil Rights Office and LPDO

Common Contractor (DBE) Mistakes:

- Swapping out DBE work with non-DBE contractors
- No CUF interviews performed
- Elimination of DBE work and not finding replacement work
- Not submitting necessary forms to TDOT Civil Rights Office and LPDO

Recurring Audit Issues

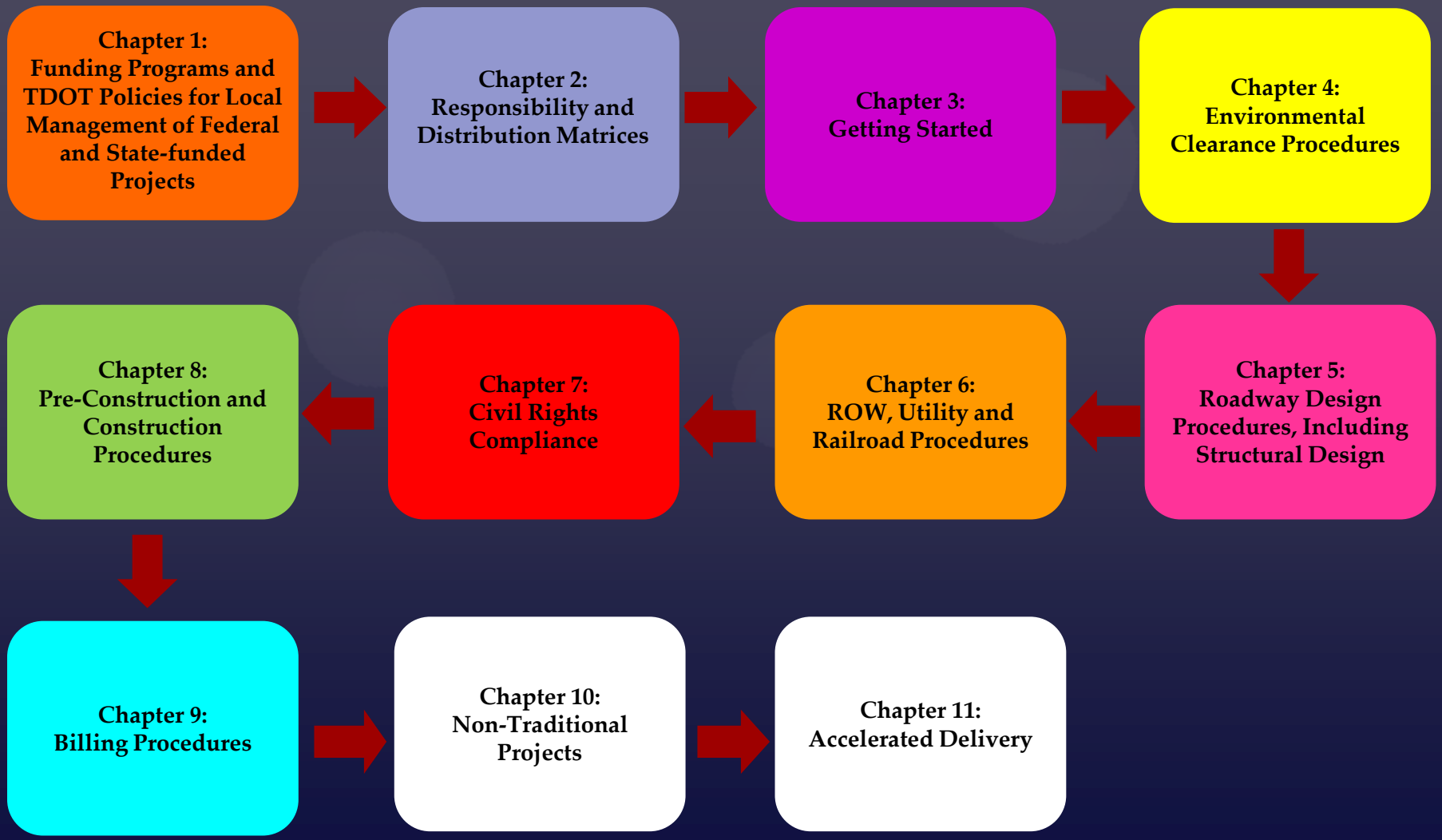
- Daily diary of work activity not kept by CEI
- CEI not on site at times of inspections as required by 23 CFR635.105
- If original low bid was rejected, TDOT concurrence to reject and justification from LG not in project file
- Buy America certifications not on file
  - Any phase(s) could be subject to penalties if Buy America requirements are not met

Manual Updates to Chapter 8

- Updated Permitting section, including additional permits
- Created two Proposal Contract Templates
  - Form 8-1 Federal
  - Form 8-1 State
- Added new Specialty Items
- Reorganized Construction Phase Process for differences between state-only and federal funds
- Added Bid Advertisement Template (Form 8-3)
- Added submittal requirement of all Change Orders to LPDO
- Updated Materials and Tests process, including mix designs, testing, and acceptance

Questions?

Chapters Flow Chart



Billing Procedures

- Invoices must be sent by email as an attachment to lpd.invoices@tn.gov in PDF form
- Label attachment with PIN
- Email subject must contain PIN
- Local Government Invoice Cover Sheet
- All invoices without the correct invoice cover sheet and summary page will be returned

Billing Procedures

Each request must include:

- Copies of paid invoices
- Copies of canceled checks or other acceptable proof of payments
- Approved submittal signature
- Invoices must be signed by the Project Supervisor with the local agency

Invoicing Checklist

Cost/Expense Categories and Required Supporting Documentation

- Labor Schedule* – employee name and/ or employee ID, title, rate of pay, number of hours, date(s) worked, and total.
- Burden Benefits* – itemized reports from payroll or accounting systems
- Equipment* – logs or summaries of equipment usage that includes the date, description of equipment, usage rate, and total. If rental equipment is utilized, then invoices must accompany the log. Note: There must be a rental receipt/invoice for equipment in order to claim reimbursement for gasoline.
- Materials & Supplies* –Itemized statements detailing the items purchased or used.
  - If materials/supplies/minor materials are supplied from company stores, then an itemized statement detailing the part, unit cost, quantity, and date are needed.
  - If materials/supplies/minor materials are purchased for a project, then copies of invoices for materials are needed. Note: City/Vendor must indicate which materials and what quantities are being used for a TDOT project, when the invoice contains materials for more than one job.

Invoicing Checklist Cont…

- Business Expenses* – copies of receipts must accompany invoice for all amounts. Travel expenses or phone charges should not be included here.
- Phone Charges*- copy of bill/receipt and purpose, if the charges are not included in overhead costs.
- Overhead – If the City wishes to bill for indirect costs, the rate used and/or the method of allocation must be stated on the invoice. The overhead rate used must be in effect as of the date of the invoice.
- ALL supporting documentation must be legible. No "highlighting" that may result in copies not being legible.
- Subcontractor Invoices* – an invoice from the subcontractor that performed the work and proof of payment

Mileage, Travel Expenses, & Meals

Use of the State of TN comprehensive travel regulations:

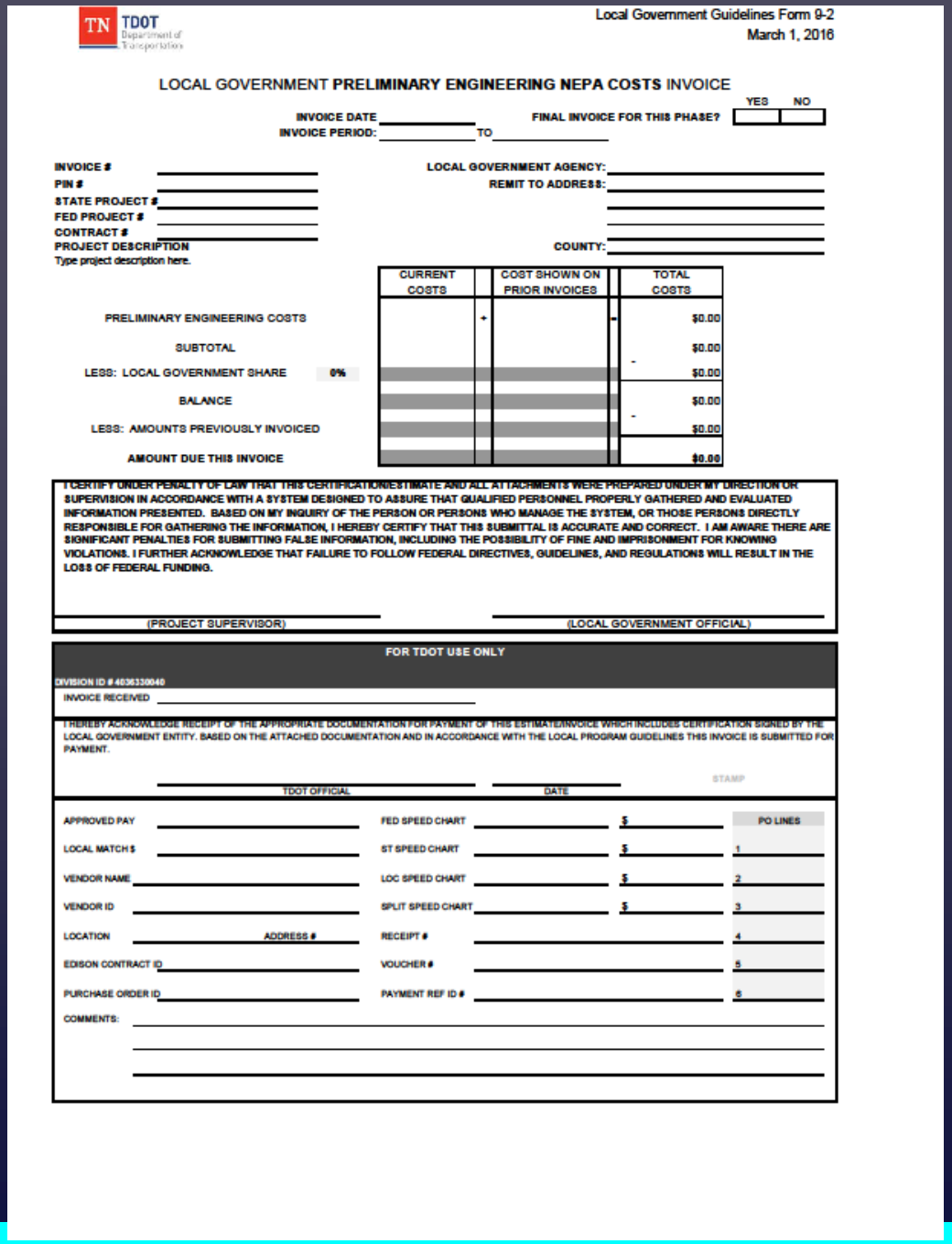
- The Department of Finance and Administration's Comprehensive Travel Regulations will be used. (http://www.tn.gov/assets/entities/finance/attachments/policy8.pdf)
- State of Tennessee Comprehensive Travel Regulations define guidelines for:
  - ✓ Lodging (CONUS Rates: http://www.gsa.gov/portal/content/104877)
  - ✓ Travel with personally owned automobile
  - ✓ Parking
  - ✓ Per Diem Rates for Meals/Incidentals
  - ✓ Per Diem Rates for three-fourths Calculations
  - ✓ Other Travel Related Items

- The detailed documentation required will be according to the State travel policy.
  - ✓ Mileage logs containing the following information – The employee name, date(s) of travel, beginning and ending location, number of miles, rate, and purpose of travel should be included. Note: The travel regulation would state the approved mileage rate that can be charged, but the log must be included.
  - ✓ Travel expenses (meals, per diem, hotel rates, etc.) must be in accordance with the travel regulation selected. An example of support could be a detailed expense report or copies of lodging and meal receipts.
- If a subcontractor has travel expenses, they will be reimbursed according to the State travel policy.

EXAMPLE:

TDOT NEPA INVOICE

COVER SHEET



TN TDOT Department of Transportation

Local Government Guidelines Form 9-2
March 1, 2016

LOCAL GOVERNMENT **PRELIMINARY ENGINEERING NEPA COSTS** INVOICE

YES NO

INVOICE DATE _____ FINAL INVOICE FOR THIS PHASE? [ ] [ ]
INVOICE PERIOD: _____ TO _____

INVOICE # _____
PIN # _____
STATE PROJECT # _____
FED PROJECT # _____
CONTRACT # _____
PROJECT DESCRIPTION
Type project description here.

LOCAL GOVERNMENT AGENCY: _____
REMIT TO ADDRESS: _____

COUNTY: _____

	CURRENT COSTS		COST SHOWN ON PRIOR INVOICES		TOTAL COSTS
PRELIMINARY ENGINEERING COSTS		+		=	$0.00
SUBTOTAL					$0.00
LESS: LOCAL GOVERNMENT SHARE 0%				-	$0.00
BALANCE					$0.00
LESS: AMOUNTS PREVIOUSLY INVOICED				-	$0.00
AMOUNT DUE THIS INVOICE					$0.00

I CERTIFY UNDER PENALTY OF LAW THAT THIS CERTIFICATION/ESTIMATE AND ALL ATTACHMENTS WERE PREPARED UNDER MY DIRECTION OR SUPERVISION IN ACCORDANCE WITH A SYSTEM DESIGNED TO ASSURE THAT QUALIFIED PERSONNEL PROPERLY GATHERED AND EVALUATED INFORMATION PRESENTED. BASED ON MY INQUIRY OF THE PERSON OR PERSONS WHO MANAGE THE SYSTEM, OR THOSE PERSONS DIRECTLY RESPONSIBLE FOR GATHERING THE INFORMATION, I HEREBY CERTIFY THAT THIS SUBMITTAL IS ACCURATE AND CORRECT. I AM AWARE THERE ARE SIGNIFICANT PENALTIES FOR SUBMITTING FALSE INFORMATION, INCLUDING THE POSSIBILITY OF FINE AND IMPRISONMENT FOR KNOWING VIOLATIONS. I FURTHER ACKNOWLEDGE THAT FAILURE TO FOLLOW FEDERAL DIRECTIVES, GUIDELINES, AND REGULATIONS WILL RESULT IN THE LOSS OF FEDERAL FUNDING.

_____ (PROJECT SUPERVISOR)

_____ (LOCAL GOVERNMENT OFFICIAL)

FOR TDOT USE ONLY

DIVISION ID # 4036330040

INVOICE RECEIVED _____

I HEREBY ACKNOWLEDGE RECEIPT OF THE APPROPRIATE DOCUMENTATION FOR PAYMENT OF THIS ESTIMATE/INVOICE WHICH INCLUDES CERTIFICATION SIGNED BY THE LOCAL GOVERNMENT ENTITY. BASED ON THE ATTACHED DOCUMENTATION AND IN ACCORDANCE WITH THE LOCAL PROGRAM GUIDELINES THIS INVOICE IS SUBMITTED FOR PAYMENT.

_____ TDOT OFFICIAL _____ DATE STAMP

APPROVED PAY _____
LOCAL MATCH $ _____
VENDOR NAME _____
VENDOR ID _____
LOCATION _____ ADDRESS # _____
EDISON CONTRACT ID _____
PURCHASE ORDER ID _____

FED SPEED CHART _____ $ _____
ST SPEED CHART _____ $ _____
LOC SPEED CHART _____ $ _____
SPLIT SPEED CHART _____ $ _____
RECEIPT # _____
VOUCHER # _____
PAYMENT REF ID # _____

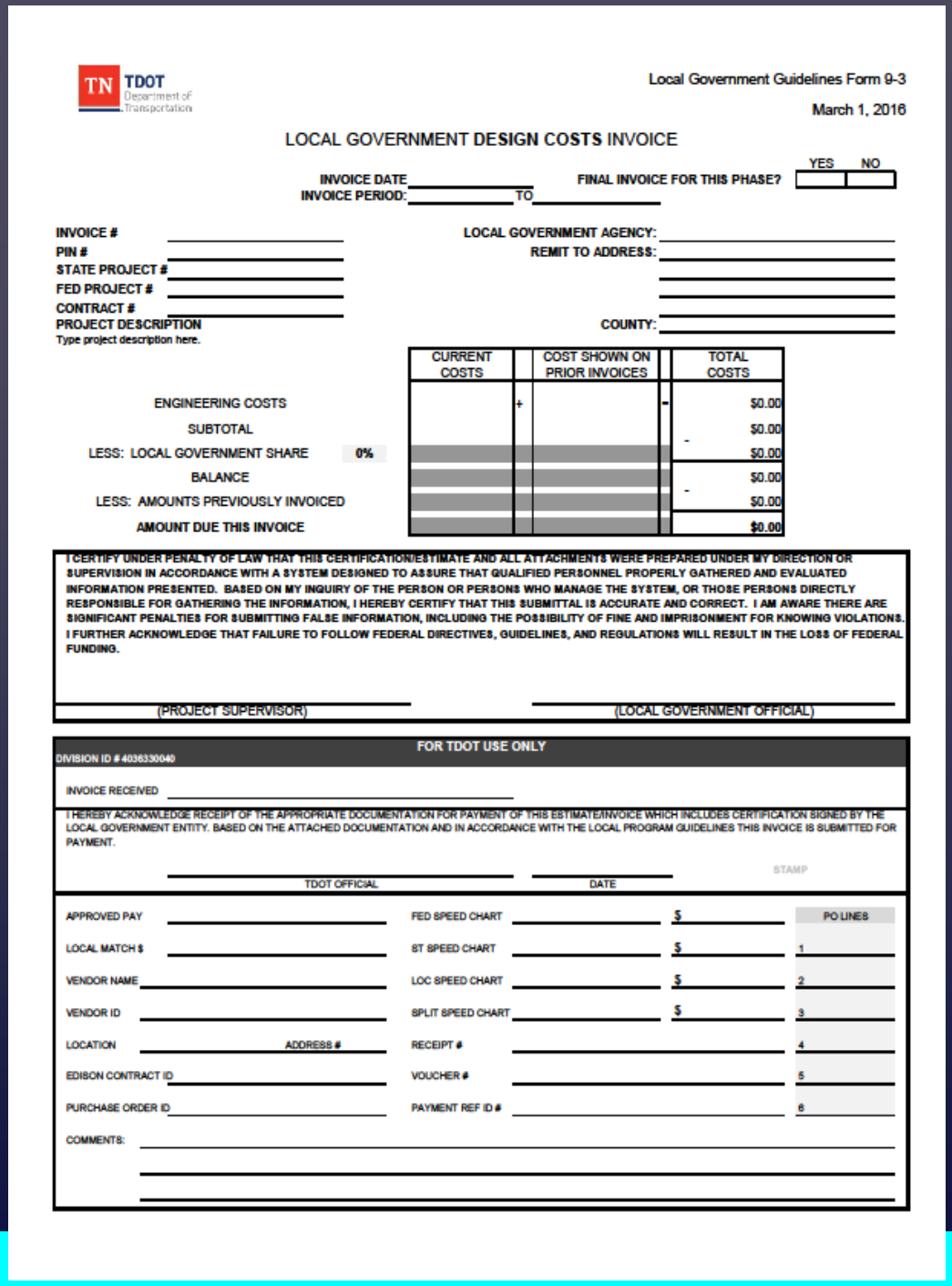
PO LINES
1
2
3
4
5
6

COMMENTS: _____

EXAMPLE:

TDOT DESIGN INVOICE

COVER SHEET



TN TDOT Department of Transportation

Local Government Guidelines Form 9-3

March 1, 2016

LOCAL GOVERNMENT DESIGN COSTS INVOICE

INVOICE DATE _____ FINAL INVOICE FOR THIS PHASE? YES ☐ NO ☐

INVOICE PERIOD: _____ TO _____

INVOICE # _____

PIN # _____

STATE PROJECT # _____

FED PROJECT # _____

CONTRACT # _____

PROJECT DESCRIPTION

Type project description here.

LOCAL GOVERNMENT AGENCY: _____

REMIT TO ADDRESS: _____

COUNTY: _____

	CURRENT COSTS		COST SHOWN ON PRIOR INVOICES		TOTAL COSTS
ENGINEERING COSTS		+		-	$0.00
SUBTOTAL					$0.00
LESS: LOCAL GOVERNMENT SHARE 0%				-	$0.00
BALANCE					$0.00
LESS: AMOUNTS PREVIOUSLY INVOICED				-	$0.00
AMOUNT DUE THIS INVOICE					$0.00

I CERTIFY UNDER PENALTY OF LAW THAT THIS CERTIFICATION/ESTIMATE AND ALL ATTACHMENTS WERE PREPARED UNDER MY DIRECTION OR SUPERVISION IN ACCORDANCE WITH A SYSTEM DESIGNED TO ASSURE THAT QUALIFIED PERSONNEL PROPERLY GATHERED AND EVALUATED INFORMATION PRESENTED. BASED ON MY INQUIRY OF THE PERSON OR PERSONS WHO MANAGE THE SYSTEM, OR THOSE PERSONS DIRECTLY RESPONSIBLE FOR GATHERING THE INFORMATION, I HEREBY CERTIFY THAT THIS SUBMITTAL IS ACCURATE AND CORRECT. I AM AWARE THERE ARE SIGNIFICANT PENALTIES FOR SUBMITTING FALSE INFORMATION, INCLUDING THE POSSIBILITY OF FINE AND IMPRISONMENT FOR KNOWING VIOLATIONS. I FURTHER ACKNOWLEDGE THAT FAILURE TO FOLLOW FEDERAL DIRECTIVES, GUIDELINES, AND REGULATIONS WILL RESULT IN THE LOSS OF FEDERAL FUNDING.

(PROJECT SUPERVISOR) _____ (LOCAL GOVERNMENT OFFICIAL) _____

FOR TDOT USE ONLY

DIVISION ID # 4036330040

INVOICE RECEIVED _____

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TDOT OFFICIAL _____ DATE _____ STAMP

APPROVED PAY _____ FED SPEED CHART _____ $ _____ PO LINES

LOCAL MATCH $ _____ ST SPEED CHART _____ $ _____ 1 _____

VENDOR NAME _____ LOC SPEED CHART _____ $ _____ 2 _____

VENDOR ID _____ SPLIT SPEED CHART _____ $ _____ 3 _____

LOCATION _____ ADDRESS # _____ RECEIPT # _____ 4 _____

EDISON CONTRACT ID _____ VOUCHER # _____ 5 _____

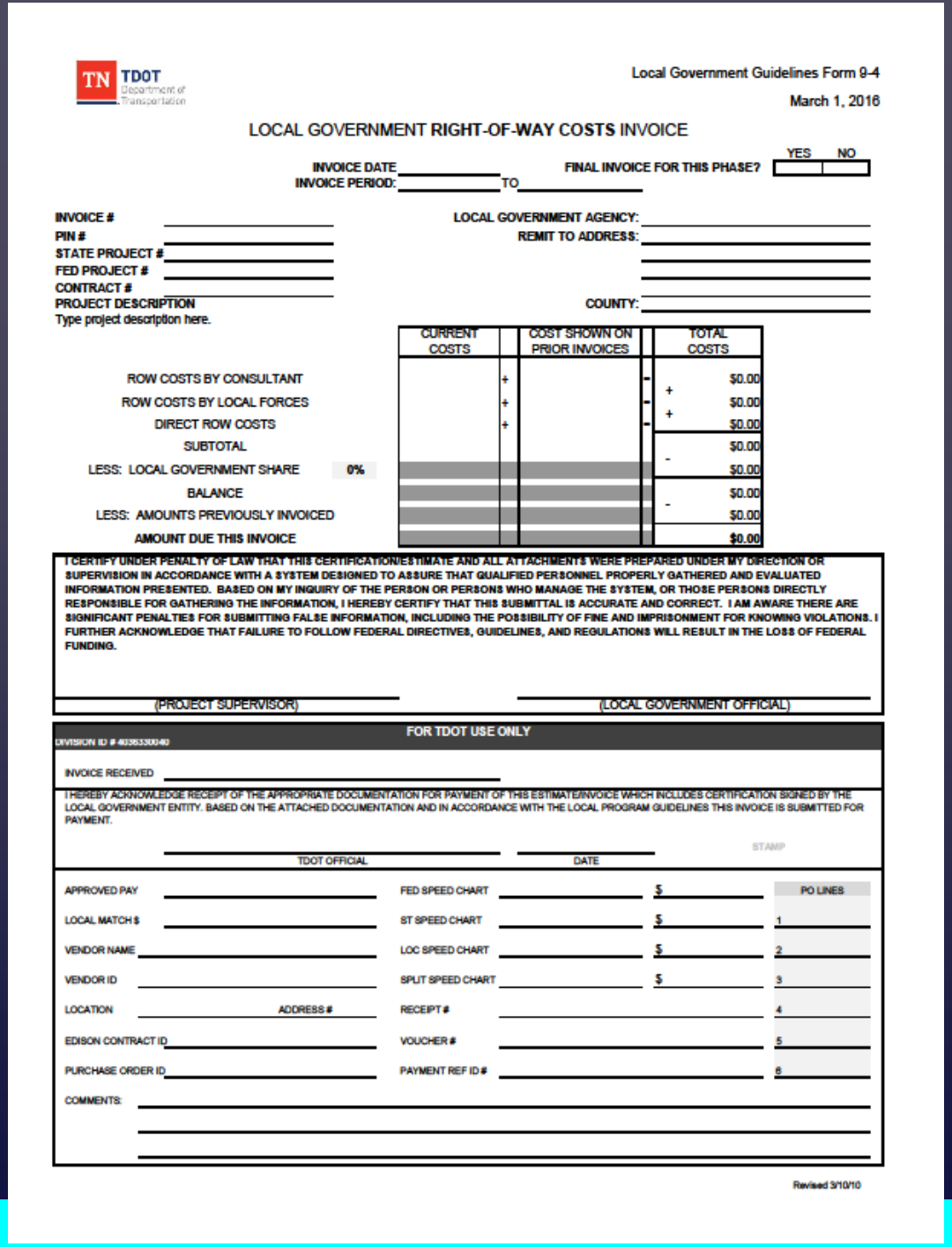
PURCHASE ORDER ID _____ PAYMENT REF ID # _____ 6 _____

COMMENTS: _____

EXAMPLE:

TDOT ROW INVOICE

COVER SHEET



TN TDOT Department of Transportation

Local Government Guidelines Form 9-4

March 1, 2016

LOCAL GOVERNMENT RIGHT-OF-WAY COSTS INVOICE

INVOICE DATE _____ FINAL INVOICE FOR THIS PHASE? YES ☐ NO ☐

INVOICE PERIOD: _____ TO _____

INVOICE # _____

PIN # _____

STATE PROJECT # _____

FED PROJECT # _____

CONTRACT # _____

PROJECT DESCRIPTION

Type project description here.

LOCAL GOVERNMENT AGENCY: _____

REMIT TO ADDRESS: _____

COUNTY: _____

		CURRENT COSTS		COST SHOWN ON PRIOR INVOICES		TOTAL COSTS
ROW COSTS BY CONSULTANT			+		-	$0.00
ROW COSTS BY LOCAL FORCES			+		-	+ $0.00
DIRECT ROW COSTS			+		-	+ $0.00
SUBTOTAL						$0.00
LESS: LOCAL GOVERNMENT SHARE	0%					- $0.00
BALANCE						$0.00
LESS: AMOUNTS PREVIOUSLY INVOICED						- $0.00
AMOUNT DUE THIS INVOICE						$0.00

I CERTIFY UNDER PENALTY OF LAW THAT THIS CERTIFICATION/ESTIMATE AND ALL ATTACHMENTS WERE PREPARED UNDER MY DIRECTION OR SUPERVISION IN ACCORDANCE WITH A SYSTEM DESIGNED TO ASSURE THAT QUALIFIED PERSONNEL PROPERLY GATHERED AND EVALUATED INFORMATION PRESENTED. BASED ON MY INQUIRY OF THE PERSON OR PERSONS WHO MANAGE THE SYSTEM, OR THOSE PERSONS DIRECTLY RESPONSIBLE FOR GATHERING THE INFORMATION, I HEREBY CERTIFY THAT THIS SUBMITTAL IS ACCURATE AND CORRECT. I AM AWARE THERE ARE SIGNIFICANT PENALTIES FOR SUBMITTING FALSE INFORMATION, INCLUDING THE POSSIBILITY OF FINE AND IMPRISONMENT FOR KNOWING VIOLATIONS. I FURTHER ACKNOWLEDGE THAT FAILURE TO FOLLOW FEDERAL DIRECTIVES, GUIDELINES, AND REGULATIONS WILL RESULT IN THE LOSS OF FEDERAL FUNDING.

_____ (PROJECT SUPERVISOR) _____ (LOCAL GOVERNMENT OFFICIAL)

FOR TDOT USE ONLY

DIVISION ID # 4036330040

INVOICE RECEIVED _____

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_____ TDOT OFFICIAL _____ DATE STAMP

APPROVED PAY		FED SPEED CHART		$	PO LINES
LOCAL MATCH $		ST SPEED CHART		$	1
VENDOR NAME		LOC SPEED CHART		$	2
VENDOR ID		SPLIT SPEED CHART		$	3
LOCATION	ADDRESS #	RECEIPT #			4
EDISON CONTRACT ID		VOUCHER #			5
PURCHASE ORDER ID		PAYMENT REF ID #			6

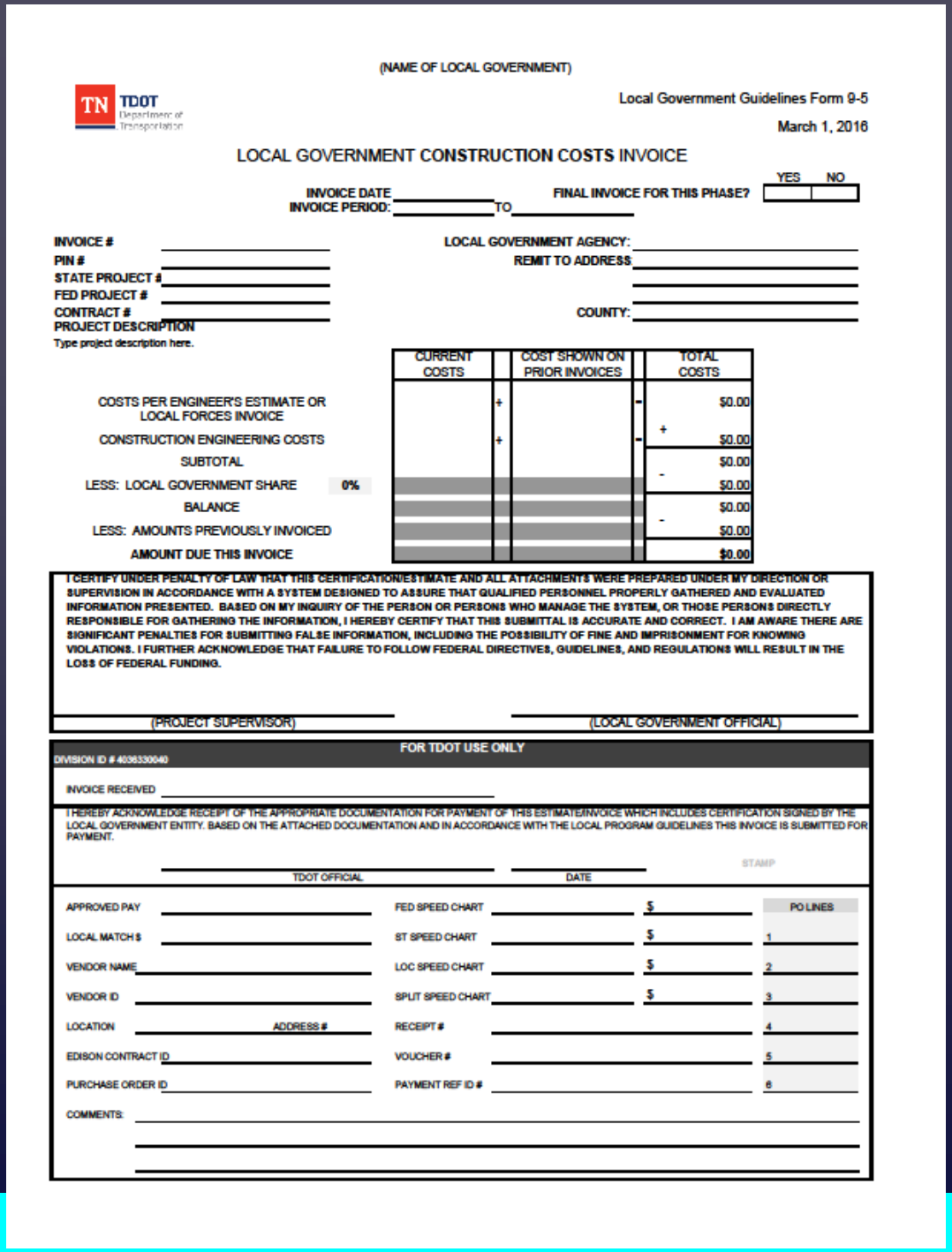
COMMENTS: _____

Revised 3/10/10

EXAMPLE:

TDOT CONSTRUCTION INVOICE

COVER SHEET



(NAME OF LOCAL GOVERNMENT)

TN TDOT Department of Transportation

Local Government Guidelines Form 9-5

March 1, 2016

LOCAL GOVERNMENT CONSTRUCTION COSTS INVOICE

INVOICE DATE _____
INVOICE PERIOD: _____ TO _____

FINAL INVOICE FOR THIS PHASE? YES [ ] NO [ ]

INVOICE # _____
PIN # _____
STATE PROJECT # _____
FED PROJECT # _____
CONTRACT # _____
PROJECT DESCRIPTION
Type project description here.

LOCAL GOVERNMENT AGENCY: _____
REMIT TO ADDRESS _____
_____
COUNTY: _____

	CURRENT COSTS		COST SHOWN ON PRIOR INVOICES		TOTAL COSTS
COSTS PER ENGINEER'S ESTIMATE OR LOCAL FORCES INVOICE		+		-	$0.00
CONSTRUCTION ENGINEERING COSTS		+		-	+ $0.00
SUBTOTAL					$0.00
LESS: LOCAL GOVERNMENT SHARE 0%					- $0.00
BALANCE					$0.00
LESS: AMOUNTS PREVIOUSLY INVOICED					- $0.00
AMOUNT DUE THIS INVOICE					$0.00

I CERTIFY UNDER PENALTY OF LAW THAT THIS CERTIFICATION/ESTIMATE AND ALL ATTACHMENTS WERE PREPARED UNDER MY DIRECTION OR SUPERVISION IN ACCORDANCE WITH A SYSTEM DESIGNED TO ASSURE THAT QUALIFIED PERSONNEL PROPERLY GATHERED AND EVALUATED INFORMATION PRESENTED. BASED ON MY INQUIRY OF THE PERSON OR PERSONS WHO MANAGE THE SYSTEM, OR THOSE PERSONS DIRECTLY RESPONSIBLE FOR GATHERING THE INFORMATION, I HEREBY CERTIFY THAT THIS SUBMITTAL IS ACCURATE AND CORRECT. I AM AWARE THERE ARE SIGNIFICANT PENALTIES FOR SUBMITTING FALSE INFORMATION, INCLUDING THE POSSIBILITY OF FINE AND IMPRISONMENT FOR KNOWING VIOLATIONS. I FURTHER ACKNOWLEDGE THAT FAILURE TO FOLLOW FEDERAL DIRECTIVES, GUIDELINES, AND REGULATIONS WILL RESULT IN THE LOSS OF FEDERAL FUNDING.

_____ (PROJECT SUPERVISOR)

_____ (LOCAL GOVERNMENT OFFICIAL)

FOR TDOT USE ONLY

DIVISION ID # 4036330040

INVOICE RECEIVED _____

I HEREBY ACKNOWLEDGE RECEIPT OF THE APPROPRIATE DOCUMENTATION FOR PAYMENT OF THIS ESTIMATE/INVOICE WHICH INCLUDES CERTIFICATION SIGNED BY THE LOCAL GOVERNMENT ENTITY. BASED ON THE ATTACHED DOCUMENTATION AND IN ACCORDANCE WITH THE LOCAL PROGRAM GUIDELINES THIS INVOICE IS SUBMITTED FOR PAYMENT.

_____ TDOT OFFICIAL _____ DATE STAMP

APPROVED PAY	_____	FED SPEED CHART	_____ $	PO LINES
LOCAL MATCH $	_____	ST SPEED CHART	_____ $	1
VENDOR NAME	_____	LOC SPEED CHART	_____ $	2
VENDOR ID	_____	SPLIT SPEED CHART	_____ $	3
LOCATION	_____ ADDRESS #	RECEIPT #	_____	4
EDISON CONTRACT ID	_____	VOUCHER #	_____	5
PURCHASE ORDER ID	_____	PAYMENT REF ID #	_____	6

COMMENTS: _____

Invoice Summary Sheet

TN TDOT Department of Transportation

Local Government Guidelines Form 9-2
March 1, 2016

CONSTRUCTION INVOICE SUMMARY

This is required with every invoice submittal.

Invoice # *(Numbered Chronologically)*	**Billing Amount**	**Amount Requested for Reimbursment**	**Check/Wire #**
		100%	
#####	$ -	$ -	
#####	$ -	$ -	
#####	$ -	$ -	
#####	$ -	$ -	
#####	$ -	$ -	
#####	$ -	$ -	
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#####	$ -	$ -	
#####	$ -	$ -	
#####	$ -	$ -	
#####	$ -	$ -	
#####	$ -	$ -	
Total:	**$** -	**$** -	

Additional Notes:

Materials and Tests Billing

TN. Dept. of Transportatation - Finance Division **INVOICE #1624**

505 Deaderick St, Suite 800, Nashville, TN 37243
Phone 615-350-4100 Fax 615-350-4128 TDOT.MaterialsTests@tn.gov

Customer
Town of Greeneville
200 N. College St.
Greeneville, TN 37745

Phone 423-787-6382
Fax

Invoice Date 12/28/2015
Sales Person Materials & Tests Division
P.O. #

Job	Payment Due	Payment Terms
30LPLM-F3-011 PIN 115881	1/28/2016	NET 30

Product	Quantity	Unit Price	Line Total
Cement Sampling & Testing	1	$189.90	$189.90
Aggregate Quality Report	1	$185.38	$185.38

PLEASE INCLUDE A COPY OF INVOICE WITH PAYMENT

Services Total	$0.00
Products Total	$375.28
Taxes	$0.00
Invoice Total	**$375.28**

Thank you for your business

TN. Dept. of Transportatation - Finance Division 505 Deaderick St, Suite 800, Nashville, TN 37243
Phone 615-350-4100 Fax 615-350-4128 TDOT.MaterialsTests@tn.gov

Page 1 of 1

TDOT Finance Statement of Progress Cost

TENNESSEE DEPARTMENT OF TRANSPORTATION

INVOICE

INVOICE DATE:	1/29/2016	INVOICE NUMBER:
In Account With: 000000000000330		This invoice includes cost incurred and payment received as of the invoice date

Payment Terms Net 30	Customer Address:	Contact Person(s):
	CITY Address 1 Address 2	

PLEASE REMIT YOUR PAYMENT TO:

TENNESSEE DEPARTMENT OF TRANSPORTATION
Finance Division
ATTN: Anna Biggs
505 Deaderick Street, Suite 800
Nashville, TN 37243-0329

Federal Project Number	STP-12-4567	
State Project Number	12345-4567-89	$ 2,332.50
State Project Number	12345-4567-89	$ 2,289.32
State Project Number	12345-4567-89	$ 7.41
Description:	Description	
TOTAL COSTS TO DATE		$ 4,629.23
LESS: TOTAL PAYMENTS TO DATE		$ (3,000.00)
TOTAL AMOUNT DUE THIS BILLING		$ 1,629.23

FOR T.D.O.T. FINANCE DIVISION USE ONLY:

LGIP SAMPLE

TENNESSEE DEPARTMENT OF TRANSPORTATION

STATEMENT OF PROGRESS COST		1/29/2016		
Bill to: CITY		Federal Project Number:		STP-1
PROJECT DESCRIPTION:		Description		
STATE PROJECT NUMBERS:		Prelim. Engineer 12345-4567-89	Right-of-Way 12345-4567-89	Construction 12345-4567-89
FUNDING METHOD: LGIP				
CUSTOMER CONTRACT NUMBER(S)		S0209801		S0209800
COST SUMMARY				
PRELIMINARY ENGINEERING COSTS:		$ 12,332.50		
RIGHT-OF-WAY COSTS:			$ 62,289.32	
CONSTRUCTION COSTS:				
Construction Contract Payments				$ 16.23
Other Expenditures				4.18
TOTAL PROJECT COSTS		$ 12,332.50	$ 62,289.32	$ 20.41
PROJECT PARTICIPANTS:				
Federal Highway Administration	80.00%	$ 10,000.00	$ 60,000.00	$ 13.00
CITY	20.00%	2,332.50	2,289.32	7.41
TOTAL PARTICIPANT COSTS		$ 12,332.50	$ 62,289.32	$ 20.41
CALCULATED AMOUNT OWED/DUE				
CITY's SHARE OF COSTS		$ 2,332.50	$ 2,289.32	$ 7.41
LESS: PRIOR DEPOSITS/PAYMENTS				(3,000.00)
INTEREST				
AMT DUE TDOT OR BALANCE REMAINING		$ 2,332.50	$ 2,289.32	$ (3,000.00)

LGIP SAMPLE

SAMPLE:

AUTHORIZED SIGNATURE FORM

TN TDOT Department of Transportation

Local Government Guidelines Form 9-1
March 1, 2016

DUNS Number and Authorized Signature Form

DUNS Number	
DUNS Number	Address (must include 9-digit zip code)
Physical Address of Project (must include 9-digit zip code)	

Authorized Signatures	
A minimum of two (2) signatures must be shown to permit flexibility in making requests for reimbursement.	
Typed Name and Title	Signature
Typed Name and Title	Signature
Typed Name and Title	Signature
Typed Name and Title	Signature
I certify that the signatures of the above individuals are only those persons authorized to sign for the reimbursements requests.	
Signature of Highest Elected Official	Date

A new form must be submitted whenever authorized signers change

Page 1 of 1

Billing Procedures

Invoices may be submitted no more often than monthly

C.4 Payment Methodology:

In the event that the Agency shall receive federal and/or state funds for any portion of the herein described Project, this provision shall apply.

a) The Agency shall submit invoices, in a form outlined in the Local Government Guidelines with all necessary supporting documentation, prior to any reimbursement of allowable costs. Such invoices shall be submitted no more often than monthly but at least quarterly and indicate, at a minimum, the amount charged by allowable cost line-item for the period invoiced, the amount charged by line-item to date, the total amounts charged for the period invoiced, and the total amount charged under this agreement to date. Each invoice shall be accompanied by proof of payment in the form of a canceled check or other means acceptable to the Department.

Will not issue Notice to Proceed without billing of prior phase

Money Tracker

PIN

Funds Remaining
$0.00

Status as of 4/14/2016

DSN Contract		
Beginning Date	Ending Date	Maximum Amount

STARTING BALANCES					
NEPA	DESIGN	ROW	CONSTRUCTION	OVERS	TOTAL
$0.00	$0.00	$0.00	$0.00	$0.00	$0.00

Enter Starting Balances Above.

AMOUNT SPENT					
NEPA	DESIGN	ROW	CONSTRUCTION	OVERS	TOTAL
$0.00	$0.00	$0.00	$0.00	$0.00	$0.00

REMAINING BALANCE					
NEPA	DESIGN	ROW	CONSTRUCTION	OVERS	TOTAL
$0.00	$0.00	$0.00	$0.00	$0.00	$0.00

Money Tracker

Invoice #	DATE	EXPENDITURE AMOUNT					NOTES
		NEPA	DESIGN	ROW	CONST	OVERS	

TN TDOT Department of Transportation

Local Government Guidelines Form 9-2
March 1, 2016

LOCAL GOVERNMENT **PRELIMINARY ENGINEERING NEPA COSTS** INVOICE

	YES	NO
FINAL INVOICE FOR THIS PHASE?		X

INVOICE DATE 12/20/2013
INVOICE PERIOD: 7/28/2013 TO 11/30/2013

INVOICE # 110147-14-02
PIN # 115881.00
STATE PROJECT # 30LPLM-F0-008
FED PROJECT # STP-M-9104(15)
CONTRACT # 110147
PROJECT DESCRIPTION
Fairgrounds Road Connector

LOCAL GOVERNMENT AGENCY: Town of Greenville
REMIT TO ADDRESS: 200 N College St
Greeneville, TN 37745

COUNTY: Greene

	CURRENT COSTS		COST SHOWN ON PRIOR INVOICES		TOTAL COSTS
PRELIMINARY ENGINEERING COSTS	$85,830.00	+	$40,475.00	=	$126,305.00
SUBTOTAL					$126,305.00
LESS: LOCAL GOVERNMENT SHARE 20%					- $25,261.00
BALANCE					$101,044.00
LESS: AMOUNTS PREVIOUSLY INVOICED					- $32,380.00
AMOUNT DUE THIS INVOICE					$68,664.00

I CERTIFY UNDER PENALTY OF LAW THAT THIS CERTIFICATION/ESTIMATE AND ALL ATTACHMENTS WERE PREPARED UNDER MY DIRECTION OR SUPERVISION IN ACCORDANCE WITH A SYSTEM DESIGNED TO ASSURE THAT QUALIFIED PERSONNEL PROPERLY GATHERED AND EVALUATED INFORMATION PRESENTED. BASED ON MY INQUIRY OF THE PERSON OR PERSONS WHO MANAGE THE SYSTEM, OR THOSE PERSONS DIRECTLY RESPONSIBLE FOR GATHERING THE INFORMATION, I HEREBY CERTIFY THAT THIS SUBMITTAL IS ACCURATE AND CORRECT. I AM AWARE THERE ARE SIGNIFICANT PENALTIES FOR SUBMITTING FALSE INFORMATION, INCLUDING THE POSSIBILITY OF FINE AND IMPRISONMENT FOR KNOWING VIOLATIONS. I FURTHER ACKNOWLEDGE THAT FAILURE TO FOLLOW FEDERAL DIRECTIVES, GUIDELINES, AND REGULATIONS WILL RESULT IN THE LOSS OF FEDERAL FUNDING.

Joey Tribbiani
(PROJECT SUPERVISOR)

Rachel Greene
(LOCAL GOVERNMENT OFFICIAL)

Need More Money?

- Funds must be available in the TIP/STIP
- MPOs email adjustments/amendments to STIP.Requests@tn.gov
- Adjustments vs. Amendments
- Contact monitor to adjust funds

Common Mistakes

- Submitting invoices for more than available
- Incorrect address
- Incorrect project numbers or cover sheet
- Copies of checks not cancelled checks
- Insufficient amount of proof of payment
- Overlapping Fiscal Years
- Not updating signature form
- Not correcting previously submitted invoices
- Not submitting actual invoices
- Missing signatures on cover sheet or backup documents

Invoicing FAQ's

- Where are the project numbers for phases other than construction?

- How fast can I get reimbursed?

Manual Updates

- Updated cover sheets for each phase as of March 1, 2016
- New summary sheet effective March 1, 2016
- Invoices shall be submitted no more often than monthly but at least quarterly

Questions?

Project Close Out

LPDO Material and Tests Certification

- Complete form DT-1696LP at completion of project
- Include documentation for all failing material tests and the corrective action taken
- Submit to the LPDO
- Ensures the quality of all materials incorporated into the project is in conformance with the plans and specifications

Local Programs Materials & Tests Certification

Date: _____

Project Reference No.: _____
Project No.: _____
PIN: _____
County: _____
Region: _____

Local Programs Development Office
500 Deaderick St.
Suite 600 James K. Polk Bldg.
Nashville, TN 37243
Local.Programs@tn.gov

The results of the test(s) on acceptance samples indicate that the materials incorporated into the construction work and the construction operations controlled by sampling and testing, conform in substance with the approved plans and specifications.

Furthermore, all mix designs, verifications and assurance samples have been approved and conducted according to TDOT Standard Operating Procedures (SOPs).

Any exceptions to the plans, specifications or SOPs including any failing results are explained in the attachment.

☐ All Tests meet specifications and were conducted according to TDOT SOPs.

☐ See attached supplement to this certification for items below standard specifications.

Were Independent Assurance Samples required on this project? ☐ YES ☐ NO

Remarks:

_____
_____
_____
_____

_____ _____
CEI Inspector/Records Clerk **Date**

_____ _____
CEI Director/Engineer/Manager **Date**

_____ _____
Maintaining Agency Representative/Title **Date**

Distribution: Local Programs Development Office
Regional Materials & Tests
Headquarters Materials & Tests
Regional Operations Supervisor

Form DT-1696(LP)

SUPPLEMENT TO LOCAL PROGRAMS
MATERIALS AND TESTS CERTIFICATION
Items Below Standard Specification(s)

Date: ____________

Project Reference No.: ____________

Project No.: ____________

PIN: ____________

County: ____________

Region: ____________

Listed below are all items on the above project that are below TDOT Standard Specifications. This includes any exceptions to the plans, Standard Operating Procedures and any failing test results.

____

____________ ____________
Signature/Title Date

(supplement should be attached to Local Programs Materials & Tests Certification page 1)
Form DT-1696(LP)

Completion Notice

- Indicates all items of work have been inspected and are complete
- The Local Government Project Supervisor will send (Form 8-33) to the LPDO, TDOT Operations Representative, TDOT Regional Materials and Tests Supervisor, the contractor, and the surety
- The Notice should be sent as soon as possible after all items are accepted as complete
- The completion date is the date all charges are stopped

Advertisement for Claims

- The LG will issue a Completion Notice to advertise the contract for claims
- Should be published in an area press service with the greatest coverage for two consecutive weeks (one ad per week)
- The notice must also include a due date for claims that is at least 30 days from the last published date
- The contractor must provide an affidavit (Form 8-34) as evidence that materials, labor, and payment comply with T.C.A. 54-05-122
- All claims should be made in accordance with Sections 105.16 and 107.19 of TDOT Standard Specifications and 23 CFR 635.124
- The LG will mail copies of the request to the Prime Contractor, Surety Agent, and the LPDO.

NOTICE TO FURNISHERS OF LABOR AND MATERIALS

TO: Summers-Taylor, Inc.

STATE PROJECT NO.: 30LPLM-F3-011

FEDERAL PROJECT NO.: STP-M-9104(15)

PIN: 115881.00

CONTRACT NO.: 110147

COUNTY: Greene

The City of Greeneville is about to make final settlement with the contractor for construction of the above project as noted. All persons wishing to file claims pursuant to T.C.A. 54-05-122 must file same with Mayor John Doe, 200 N. College Street, Greeneville, TN on or before July 1, 2016.

Contractor's Affidavit Pertaining to Labor and Materials

The undersigned contractor on Contract No. [ ], Project No. [ ], Reference No. [ ], County [ ], hereby certifies that all laborers, mechanics, apprentices, trainees, watchmen, and guards employed by him or by any subcontractor performing the work under the contract on the project have been paid wages at rates not less than those required by the contract provisions, and that the work performed by each such laborer, mechanic, apprentice, or trainee conformed to the classifications set forth in the contract or training program provisions applicable to the wage rate paid.

The undersigned contractor further certifies that all sums of money which have been due for labor and material used in the construction of this project, that all damages suffered on account of such construction, and that all claims for which we are held liable under the laws of Tennessee, with the exception of the outstanding claims now on file with the Tennessee Department of Transportation, the provisions of our contract and the terms of our bond, have been paid. In the event that any just claim is presented of which we do not now have knowledge, we agree to protect the State of Tennessee Department of Transportation by making at once the proper settlement of such claims.

CONTRACTOR

By _____

Title [ ] _____

Date _____

State of [ ] _____

County [ ] _____

Date [ ] _____

Personally appeared before me, a notary public for said county and state, on this date the above named person who, on behalf of the named contractor, makes oath that this affidavit is true to the best of his information, knowledge, and belief.

_____
Notary Public

_____
My Commission Expires

Manager, TDOT Local Programs Office
JKP Building, Suite 600
505 Deaderick Street
Nashville, TN 37243-0341

RE: **COMPLETION NOTICE**

PIN:
County:
Federal Project No.:
Description:

State Project No.:
Contract No.:
Reference No.:

To Whom it May Concern:

The above project was inspected and accepted as complete on _____ by _____ representing the Tennessee Department of Transportation.

THE HISTORY OF THE PROJECT IS AS FOLLOWS:

Notice to Proceed Date:

Work Begin Date:

Substantial Work Complete Date:

Original Completion Date: ON/BEFORE

Adjusted Completion Date: ON/BEFORE

Actual Number of days used:

Contractor:

S.P. 108B: ☐ No ☐ Yes

Did contract have a **Notice Of Coverage** from TDEC? ☐ No ☐ Yes (If yes, a copy of the **Notice Of Termination** submitted to TDEC must be sent to Local Programs before sending a Completion Notice.)

If any exceptions, date completed:

Sincerely,

cc: Contract file
Regional Construction Engineer
Regional Materials & Tests Engineer
Regional Environmental Coordinator
Director, Material & Tests Division
Director, Small Business Development Office

Summary Change Order

- A Summary Change Order must be prepared to adjust the contract amount to an amount that coincides with the final quantities
- All differences must be corrected on the Final Estimate and submitted to the LPDO
- All overruns/underruns shall be explained in accordance with Circular Letter 109-03.01 and attached to the Final Estimate as well
- Determination of Time based on Quantity Increase can be determined through Circular Letter 108.06.02

DBE Payments

- After the project is complete, the contractor will submit a CC-3 form for EACH DBE that performed work on the project to the LG (Form 8-35)
- The CC-3 form certifies the amount of monies paid to the DBE for the project
- Once in receipt, the LG will send a copy to the TDOT Civil Rights Office and the LPDO

Certification Regarding Money Paid to Disadvantaged Business Enterprises

I, _____ (Name of Owner or Authorized Representative), certify that to the best of my knowledge, _____ (Name of DBE) has been paid in full, per the amount of the contract for actual work performed on:

Contract No. _____ County _____, as of _____

I further certify that I am duly authorized to make this certification on behalf of the named contractor.

DISADVANTAGED BUSINESS ENTERPRISE	AMOUNT	
_____ (Firm Name)	_____	Original DBE Subcontract $
	_____	Original DBE Subcontract Date
PRIME CONTRACTOR: _____		
SIGNATURE: _____	_____	Paid to date
TITLE: _____	_____	Est. final pmt.
DATE: _____	_____	TOTAL

I, _____ (Name of DBE Owner or Authorized Representative), certify that to the best of my knowledge, _____ (Name of Contractor) has paid the named DBE, in full, per the amount of the contract for actual work performed on:

Contract No. _____ County _____, as of _____

I further certify that I am duly authorized to make this certification on behalf of the named contractor.

DISADVANTAGED BUSINESS ENTERPRISE	AMOUNT	
_____ (Firm Name)	_____	Original DBE Subcontract $
	_____	Original DBE Subcontract Date
SIGNATURE: _____	_____	Paid to date
TITLE: _____	_____	Est. final pmt.
DATE: _____	_____	TOTAL

End of Job Certificate

- After verifying all records, work performed, and item quantities are correct and the final quantities are covered by the required material certifications, the *Local Government Supervisor* will submit Form 8-36 to the LPDO.
- This submission will close out the project with TDOT.
- **NO requests for reimbursement may be submitted after this time.**
- For projects with railroad involvement, once construction is complete, the LG shall submit a Railroad Completion Notice (Form 8-15).

TN TDOT Department of Transportation

Local Government Guidelines Form 8-36
March 1, 2016

END of JOB CERTIFICATE

Project Title/Termini:	Fairgrounds Connector Road, Fairgrounds Circle to North Rufe Taylor Road		
Owner:	City of Greeneville	PIN:	115881.00
Address:	200 N. College Street	State Project No.:	30LPLM-F3-011
	Greeneville, TN 37745	Federal Project No.:	STP-M-9104(15)
Date Prepared:	4/5/2015	Contract No.:	110147
		County:	Greene

The foregoing record, as noted on the various forms and for the various items, is a true representation of the work done by Summers-Taylor, Inc., the contractor on the above listed Contract and that any part of the record which has been copied from the field books is a true copy of the notes, field notes mentioned above being submitted.

Signed: _____

Project Supervisor

Retention of Records

All documents shall be kept for a minimum of seven (7) years after everything is closed and finalized. A letter will be sent to the LG stating when the seven year period begins.
These documents include but are not limited to:

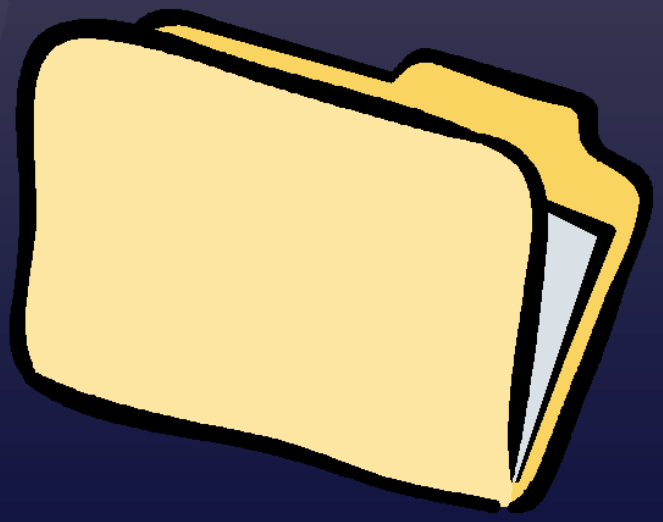
- Copies of the contract
- Starting invoice/work order
- Correspondence
- Field books
- Diaries
- Material tickets
- Test reports
- Progress estimates
- Final record books
- As built drawings and specifications
- Contractor payroll and certifications
- Signed bid books
- Project specifications and provisions
- Job estimate
- Contract and bond certificates
- Notice to contractors
- Estimates
- Correspondence for advertising and receiving bids
- Letting advertisements
- Bid tabulations
- Inspection reports
- Field notes

Common Mistakes

- Not submitting an End of Job Certificate
- Consultant signing End of Job Certificate instead of the LG
- Submitting End of Job Certificate before Final Reimbursement has been received
- Not submitting form 8-35 even when DBEs performed work
- Not submitting a Summary Change Order
- Not submitting any of the forms previously mentioned

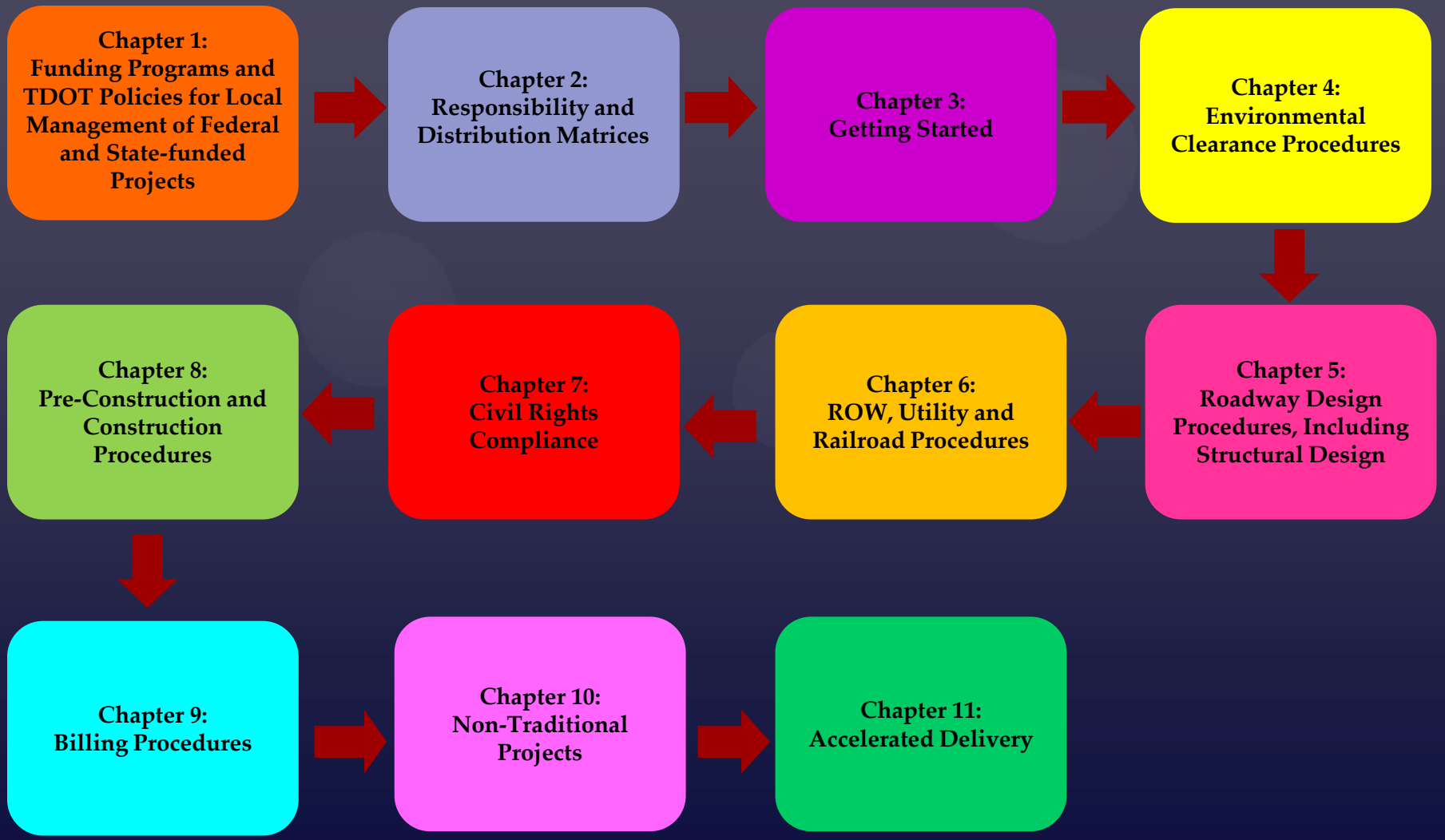
Manual Updates

- Retention of Records updated to 7 years for all projects.



Questions?

Chapters Flow Chart



Accelerated Delivery (AD) Process

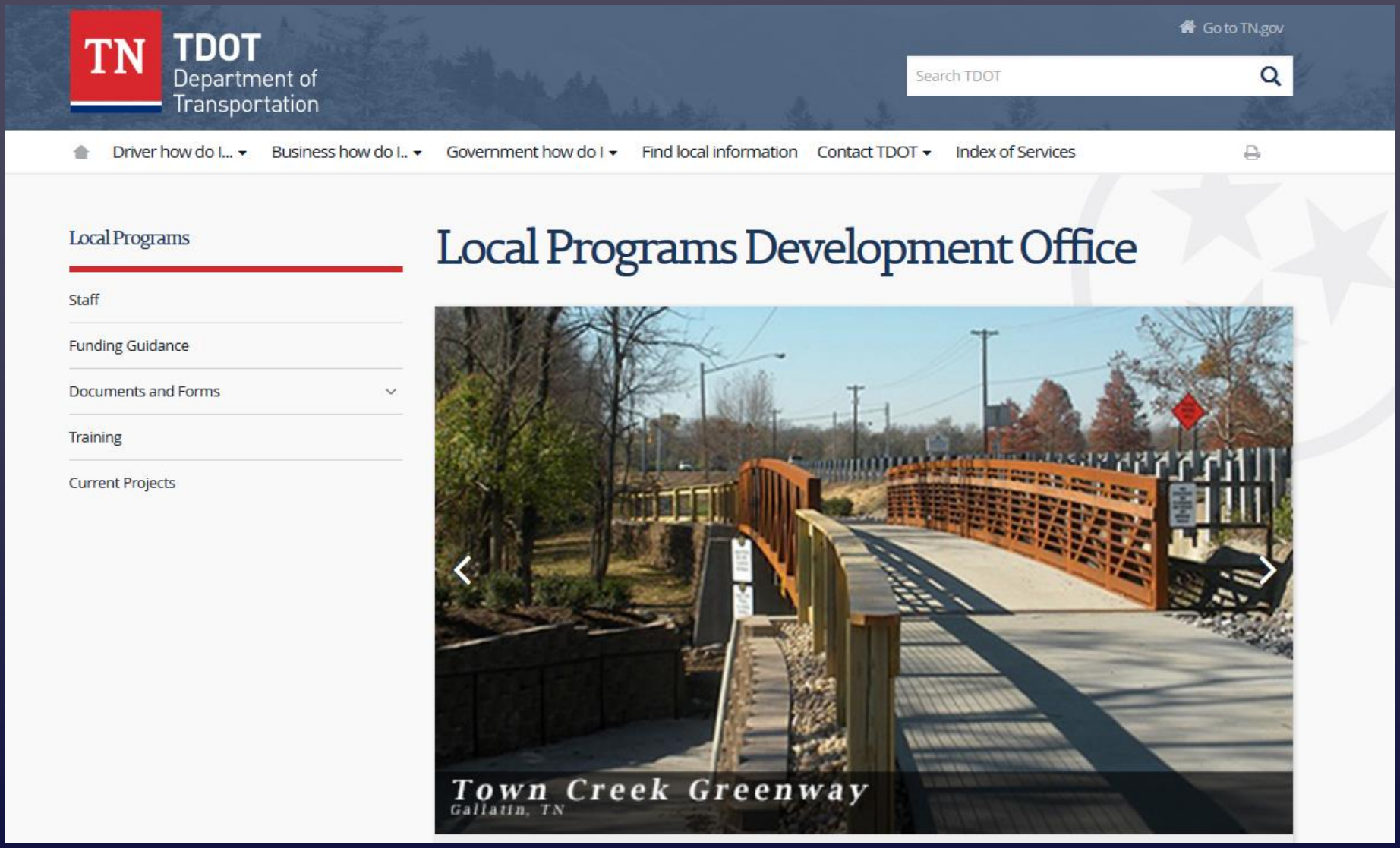
- An option that allows LGs to deliver transportation projects with limited TDOT oversight during project development
- Cannot be on the State or National Highway System or funded by a competitive grant
- The LG will pay for all project work, following the NEPA Phase, USING THEIR OWN FUNDS
- The LG must alert LPDO when they are ready to proceed with construction
- Upon completion of the project, the LG will notify LPDO and request a project review

AD Process – Pilot Program

- Currently two cities have decided to be the frontrunners in developing their projects using this pilot program process
  - Both are resurfacing projects with no ROW
- Upon completion of two pilot projects, LPDO, FHWA and the LG will meet to discuss best practices and areas of improvement for the program

Test Time!

Thank you!


TN
TDOT
Department of Transportation
Go to TN.gov
Search TDOT
Driver how do I...
Business how do I..
Government how do I
Find local information
Contact TDOT
Index of Services
Local Programs
Staff
Funding Guidance
Documents and Forms
Training
Current Projects
Local Programs Development Office
Town Creek Greenway
Gallatin, TN