

# Local Programs Development Office

{ Local Government Guidelines Manual Training



# Who are you?

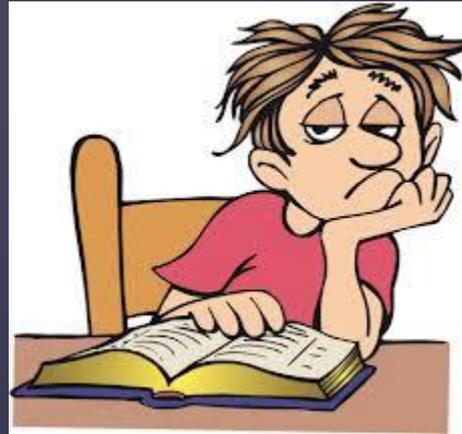
☞ Name

☞ Organization

☞ Position

☞ What do you want to get out of the day?

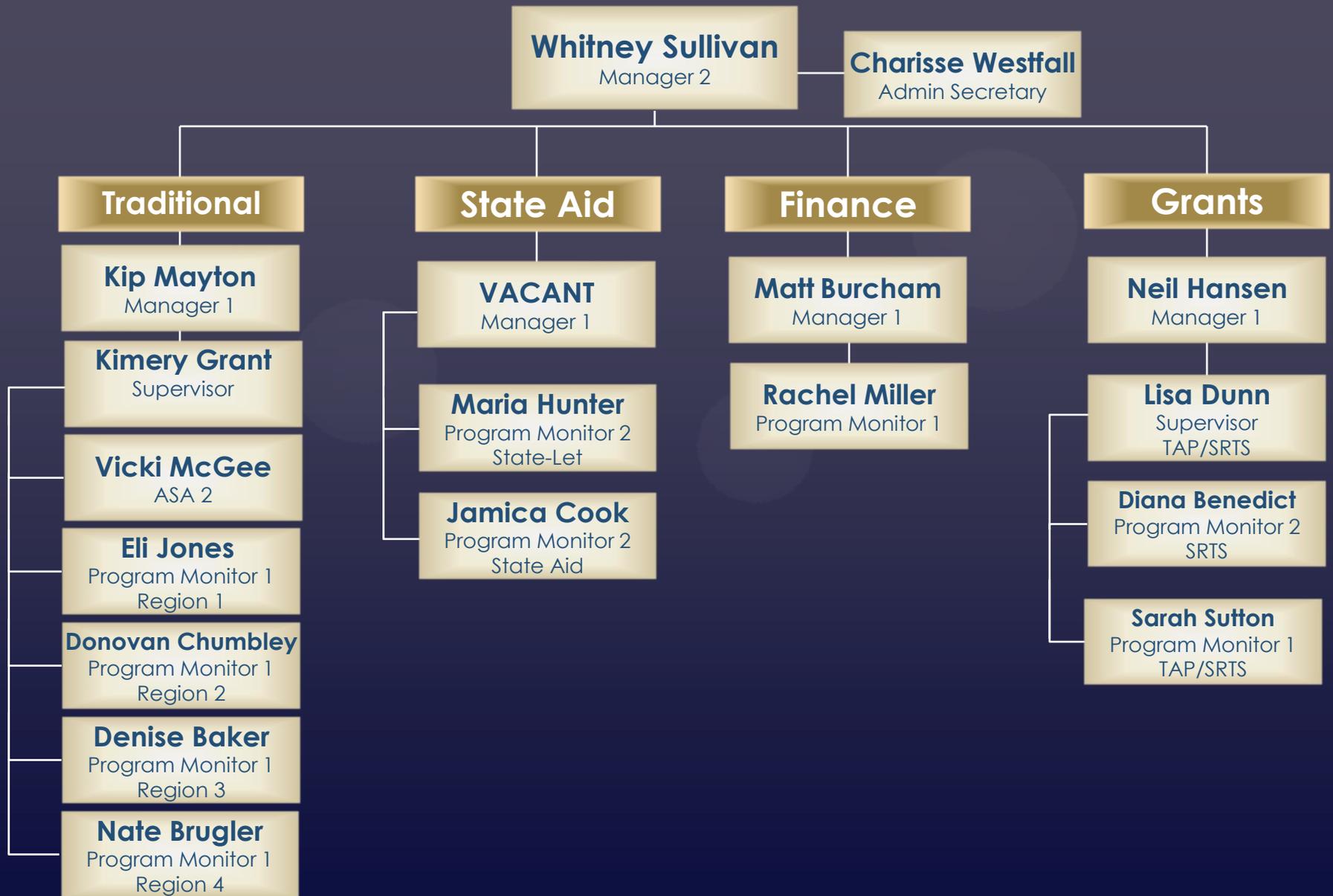
# Why are you here?



# 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**

# Agenda for Day

☞ Chapters 1 & 2

☞ Chapter 3

☞ **BREAK**

☞ Chapter 4

☞ Chapter 5

☞ **LUNCH**

☞ Chapter 6

☞ Chapters 7 & 8

☞ **BREAK**

☞ Chapters 7 & 8

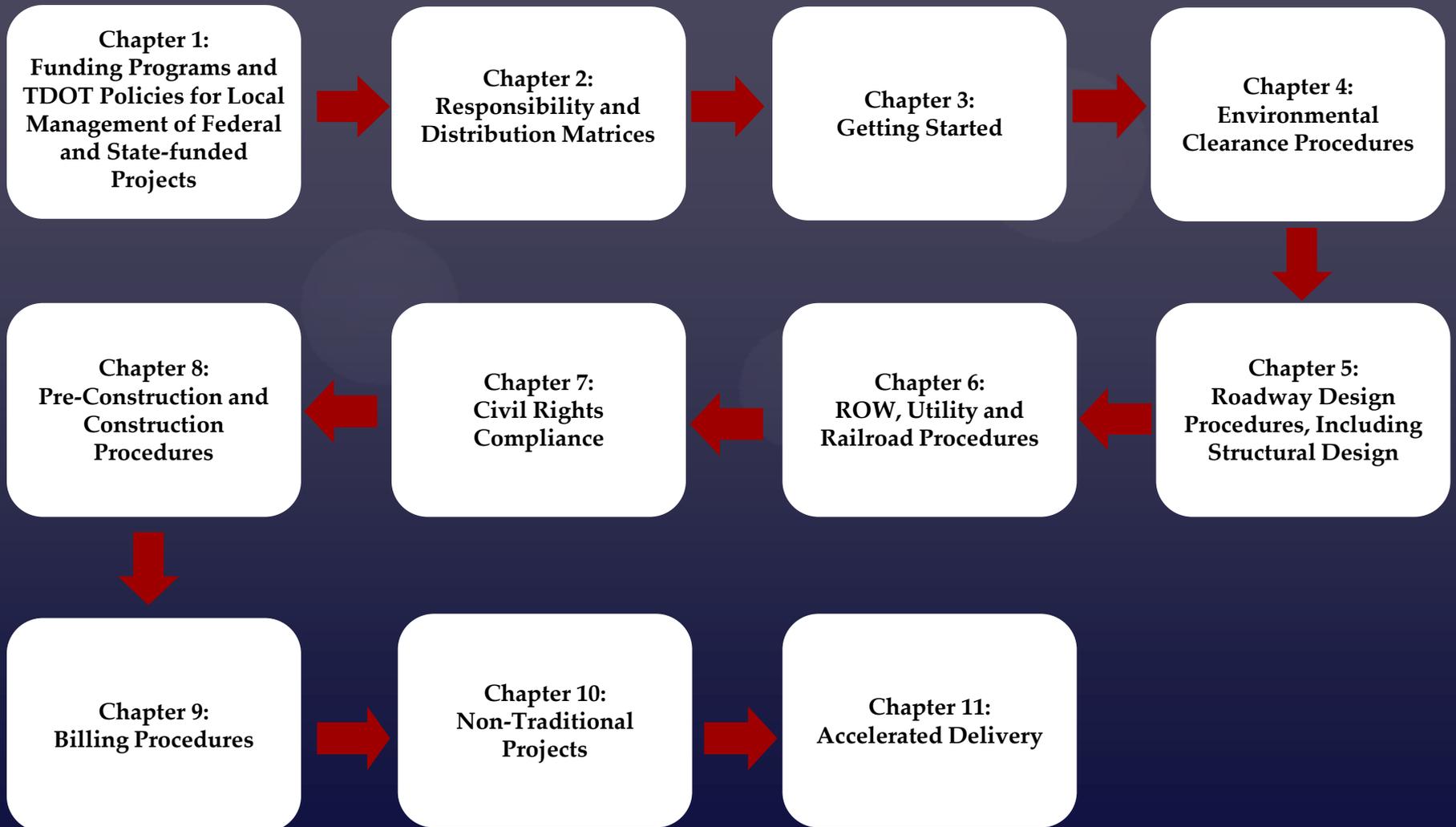
☞ Chapter 9

☞ Chapters 8 & 9 (Close-Out)

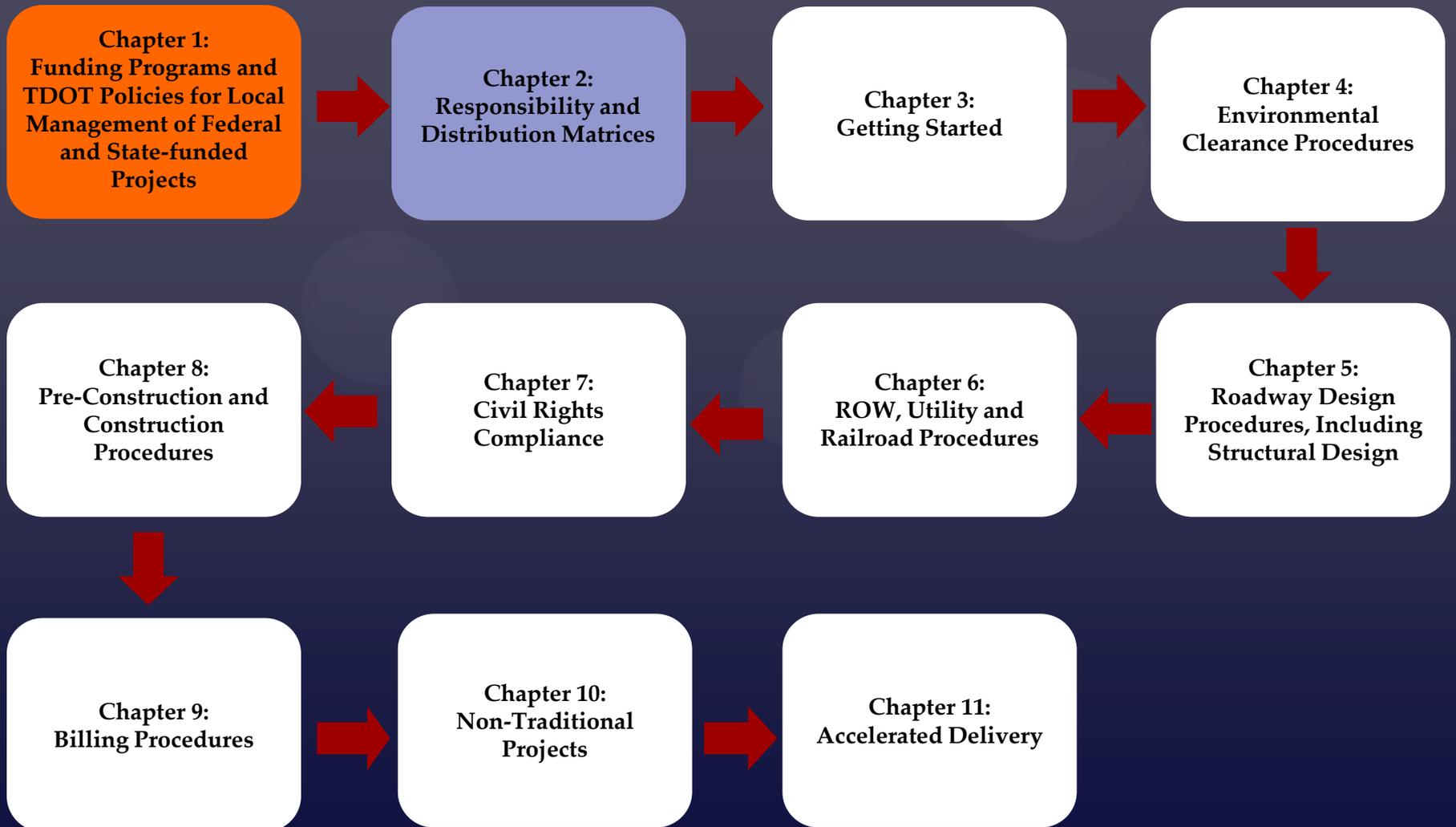
☞ Chapters 10 & 11

☞ Recap & Test

# Chapters Flow Chart



# Chapters Flow Chart



# The Local Government Guidelines (LGGM)

# LGGM

- ⌘ <http://www.tn.gov/tdot/>
- ⌘ [Local Government Guidelines Manual](#)
- ⌘ Click on the “Government” box in the middle of the page
- ⌘ Click on “Local Programs” under the “Grant” tab

# 6 Steps 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 Program (STP)

⌘ 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

⌘ Under the FAST Act, will be called the Surface Transportation Block Grant (STBG)



# Bridge Replacement and Rehabilitation

- ☞ **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 and offer  
bridge to Local  
Government (LG)**



# 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,  
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
- ⌘ How to apply – send a request letter to the Commissioner with resolution

# Grant Opportunities

# Congestion Mitigation and Air Quality (CMAQ)

- ⌘ Match – 80% federal/20% local or 100% federal
- ⌘ Eligible project types – traffic flow improvement, transit, ridesharing, intermodal freight, education and outreach (must be in nonattainment or maintenance area)
  - <http://www.tn.gov/tdot/topic/cmaq>
- ⌘ Contact – Alan Jones (615-741-6832)

# Safe Routes to School (SRTS)

☞ Normally Due in January of Each Year

- Must attend training to apply

☞ Match (none) – 100% federal

☞ Eligible project types – traffic diversion improvements, sidewalks, education

☞ Contact - Diana Benedict (615-253-2421)



# Multimodal Access Grant

- ⌘ Normally Due to TDOT in January of Each Year (submitted by RPOs/MPOs)
- ⌘ Match – 95% state/5% local
- ⌘ Eligible project types - sidewalks, bicycle lanes, road diets, separated bicycle facilities
- ⌘ Contact – Jessica Wilson (615-741-5025)

# Transportation Alternatives Program (TAP)

- ☞ Normally Due in November of Each Year
- ☞ 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)



# 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
<i>TDOT Policies</i>			
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.
<i>Project Initiation</i>			
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	
<a href="#">Tennessee ITS Project Identification Checklist</a>	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.
<i>Environmental Clearance</i>			
Draft Environmental Document	TDOT Local Programs Environmental Coordinator-Environmental Division	After NTP for NEPA	
<i>Design</i>			
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 <a href="#">Form 5-5</a>	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 5-8)	Local Programs Development Office	Required with all structures plan submittals	
Final Bridge Plans	Local Programs Development Office	During the ROW Phase, submitted with <a href="#">Form 5-5</a>	The Local Programs Development Office will submit to TDOT Structures
Hydraulic Model Files with <a href="#">Hydraulic Design Summary</a>	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
<i>ROW, Utilities, and Railroads</i>			
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
<i>Civil Right Compliance</i>			
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

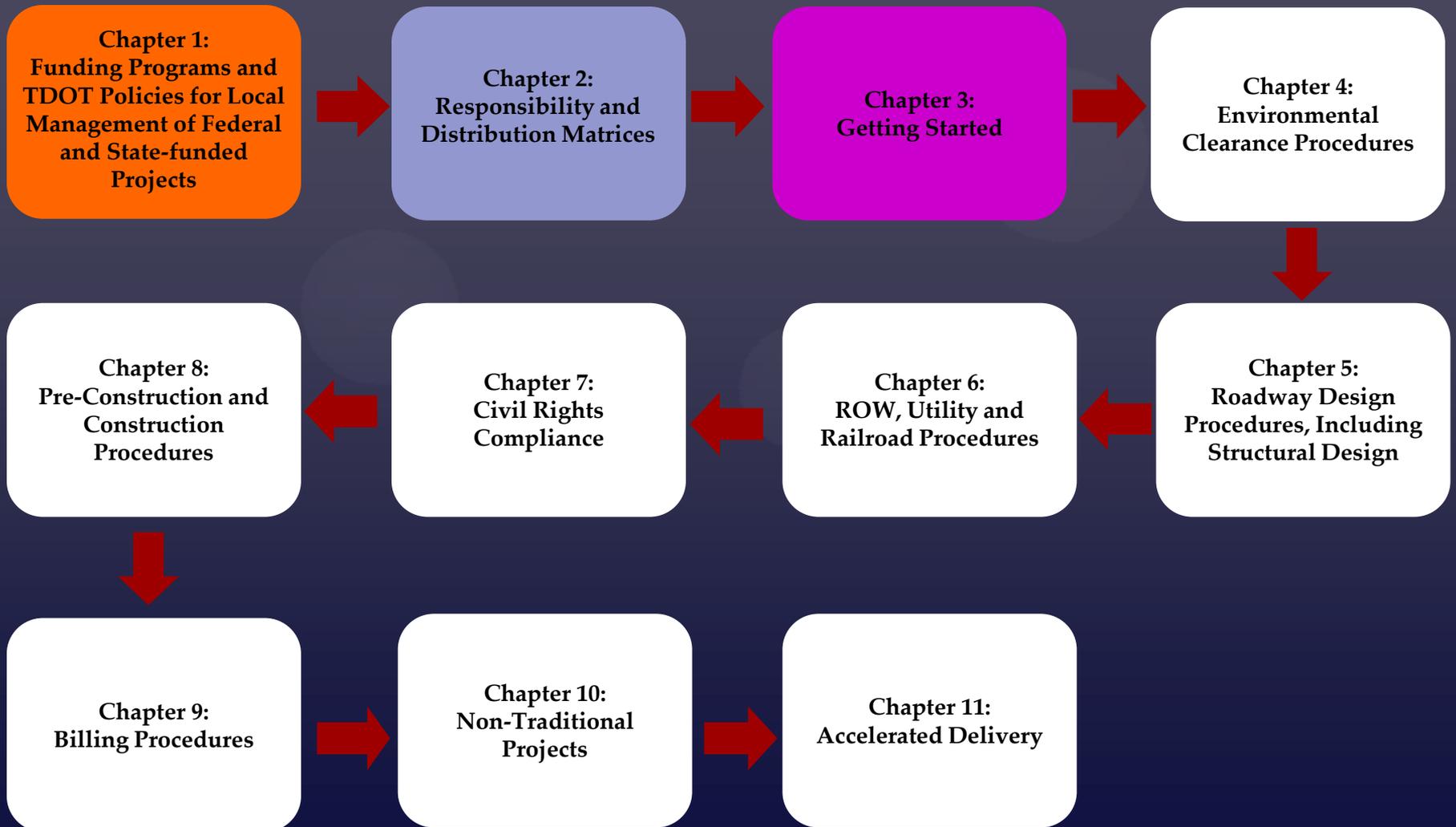
<http://www.tn.gov/tdot/topic/local-programs-documents-and-forms>

# 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

## 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



**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: \_\_\_\_\_

**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

Project Title: \_\_\_\_\_

Priority Ranking (If multiple applications submitted by applicant): \_\_\_\_\_

Project County: \_\_\_\_\_

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

<b>Current Applicant Population:</b>	<b>Applicant DUNS Number:</b>
--------------------------------------	-------------------------------

1. Total Construction Costs (100%): (excluding preliminary engineering/design and right-of-way expenses)	\$ _____
2. <b>FEDERAL CONSTRUCTION FUNDS REQUESTED:</b> (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:** \_\_\_\_\_

# Project Initiation



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 <a href="mailto:Local.Programs@tn.gov">Local.Programs@tn.gov</a> )	

# TIP/STIP

- ⌘ All Federally funded projects must be included in a TIP or STIP
- ⌘ ITS Checklist
- ⌘ 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 Checklist must be completed and submitted
  - Helps determine whether a Systems Engineering Analysis (SEA) is required
  - Submit checklist with project initiation packet (Form 3-1)
  - LG also submits to [TDOT.TrafficOps@tn.gov](mailto: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
- ⌘ **Design can differ substantially from traditional projects**

# ITS Project Checklist

## Tennessee ITS Project Identification Checklist

For ITS projects, this identification checklist must be submitted prior to the development of the SEA document prepared for 23 CFR 940.13 compliance. Attach or make available any documents referenced in this form when submitting.

### Section 1 Project Information

Project Champion:

Contact Information (phone number, email, etc.):

Brief Description / Purpose of ITS project including list of ITS elements

Project Location

New Project or Modification

New Project

Modification to existing project

Nature of Work

Scoping  Design Software / Integration  Construction  Operations  Evaluations  
 Planning  Maintenance (Equipment Replacement)  Other

If Other Please Specify:

### Section 2 Proposed TIP/STIP Identification

Description:

Project Termini:

### Section 3 Initial Risk Determination

\*Refer to Chapter 8 of the [TDOT Traffic Design Manual](#) for risk level guidance.

High Risk ITS Project  Low Risk ITS Project  Exempt ITS Project

Brief Risk Determination Explanation:

MPO Representative

TDOT Representative

Date

Date

(Ver. 1.0)

# Initiation Packet



Local Government Guidelines Form 3-1  
March 1, 2016

## Local Government Managed Project Initiation Checklist and Form

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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)



Microsoft Word  
Document

# 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.**

# 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



# 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: No need for consultant CEI if local forces are qualified, experienced and pre-approved by TDOT

# 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

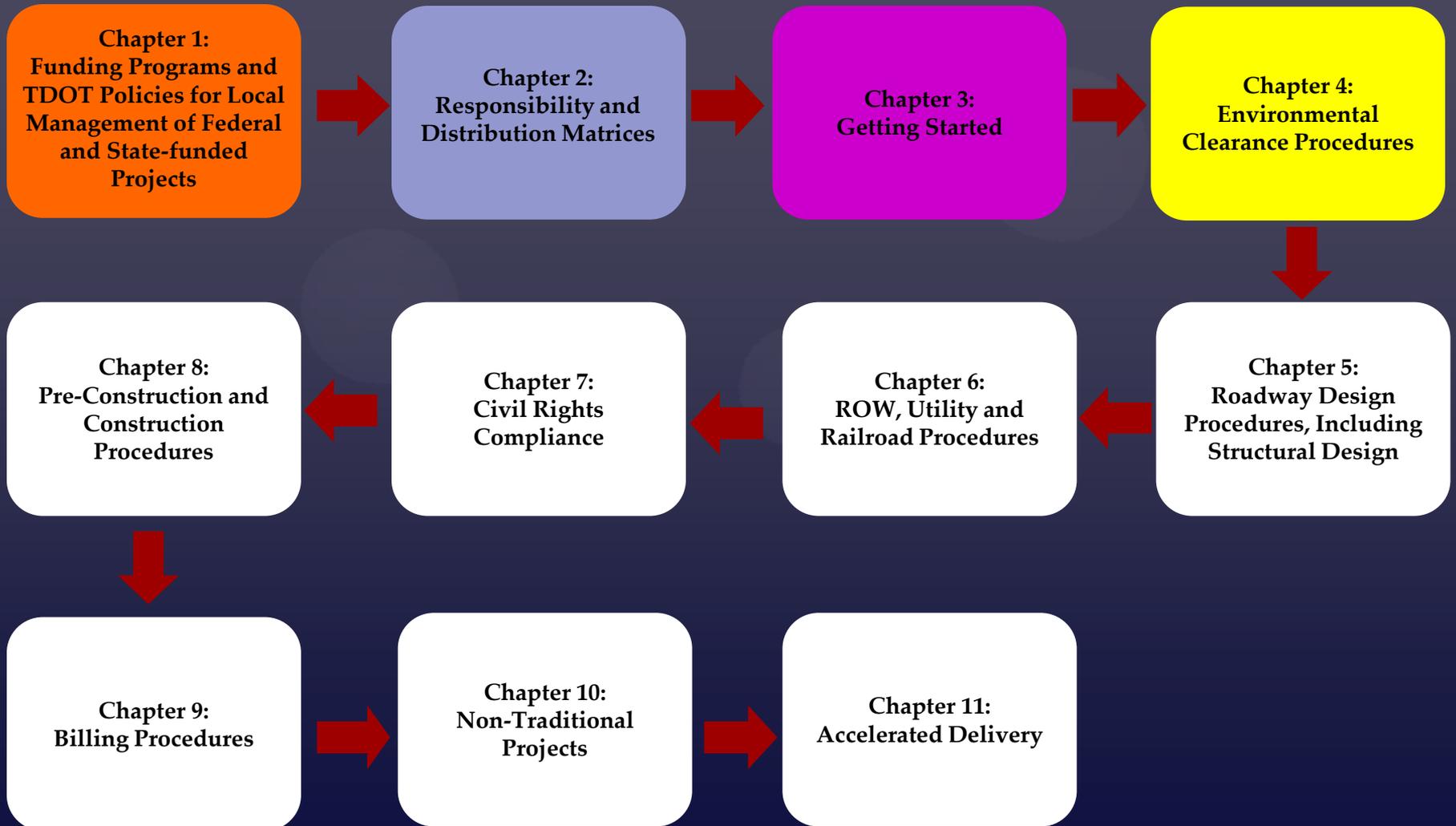
1. Contract sent to LG
2. LG reviews the contract and returns **ORIGINAL CONTRACT** with Mayor and City Attorney's signatures
3. TDOT request obligation of NEPA funds from FHWA
4. Contract sent to TDOT Legal Division for signature
5. Contract sent to Commissioner for execution
6. Contract returned from 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



*DSM*

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](mailto: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](mailto:Local.Programs@tn.gov).

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

# 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

## **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 adequate number (3) of firms for RFQs/RFPs
- ⌘ Establish a consultant evaluation committee
- ⌘ Do not negotiate price until selection made

# Consultant Selection Policy



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.

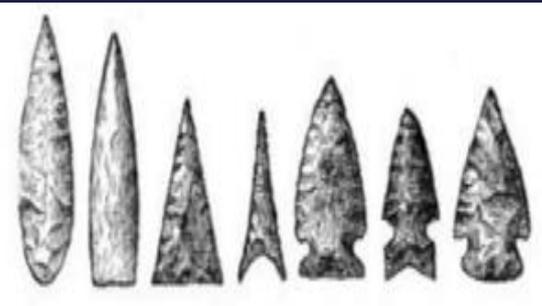
Examples of services included within the scope of this policy are comprehensive transportation planning, project planning, environmental studies, context sensitive solution/design services, cultural resources studies, geotechnical studies, historic studies, archeological studies, socio-economic and environmental 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.

# 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

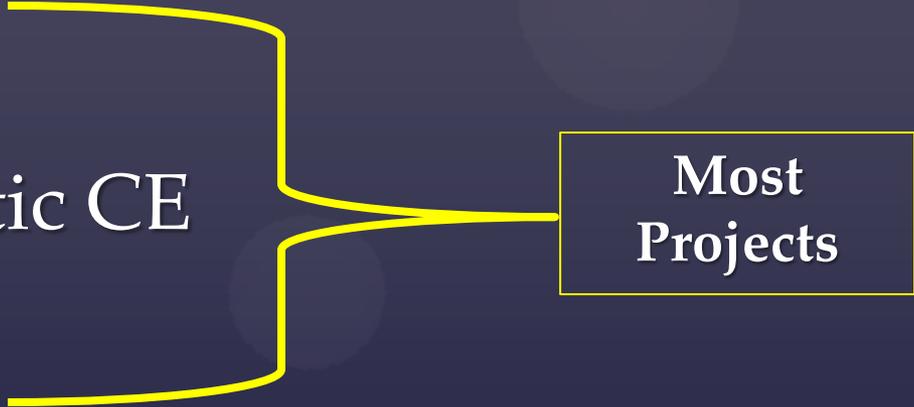
○ Programmatic CE

○ D-List CE

○ TEER (State Funded Projects)

○ Environmental Assessment

○ Environmental Impact Statement



**Most  
Projects**

# 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 15<sup>th</sup> – August 15<sup>th</sup> & 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

D-List Categorical Exclusion - Fairgrounds Connector, Phase 3  
Greene County  
TN-PIN: 115881.00  
Date: December 6, 2013  
Page EC-1

## ★ Environmental Commitments ★

Commitments are involved on the project.

List of Environmental Commitments

No project-specific commitments are involved on this project.

# Environmental Commitments

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

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

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 -0600

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

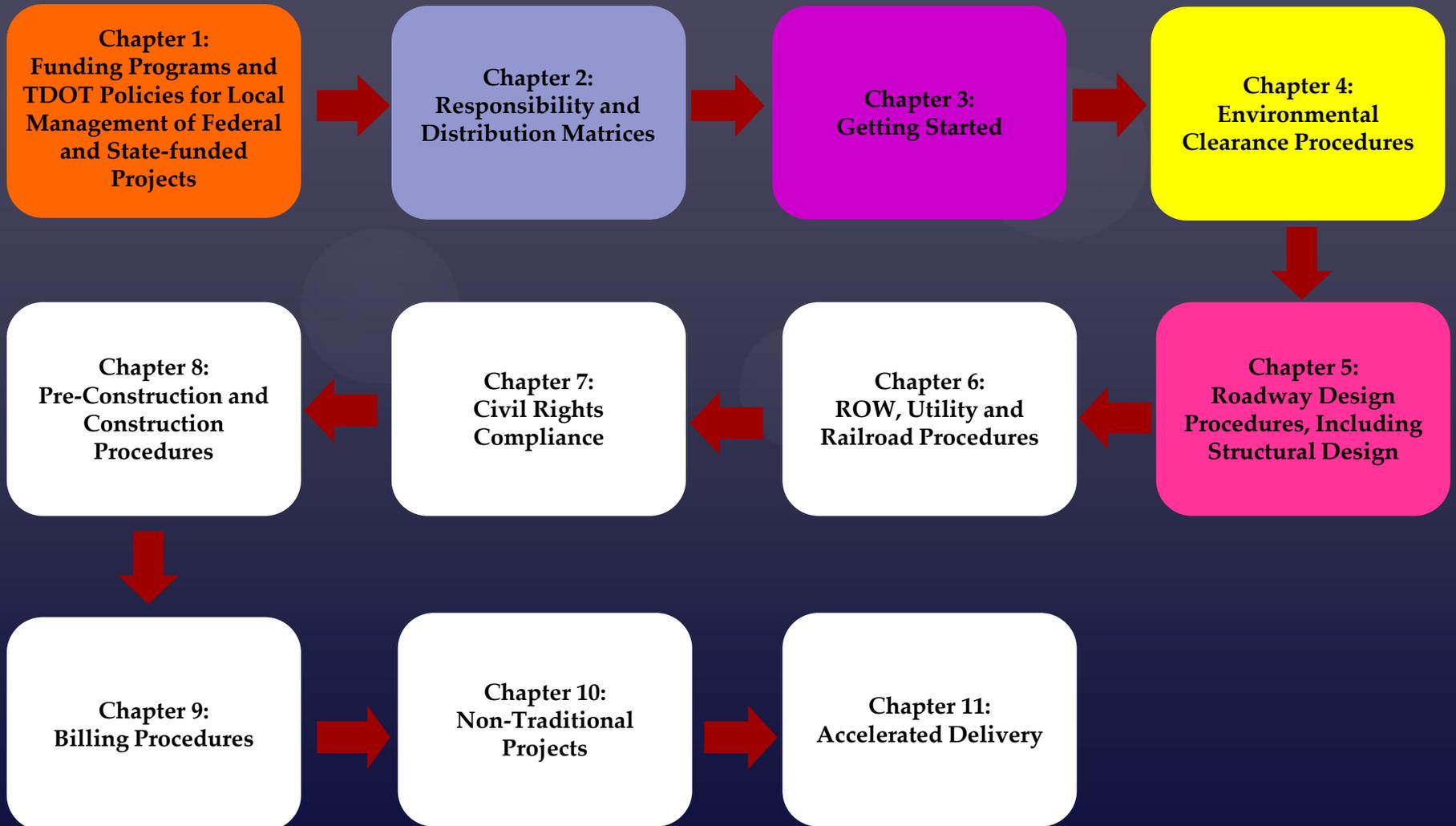
[Katie.mckeel@tn.gov](mailto:Katie.mckeel@tn.gov)

# Manual Updates

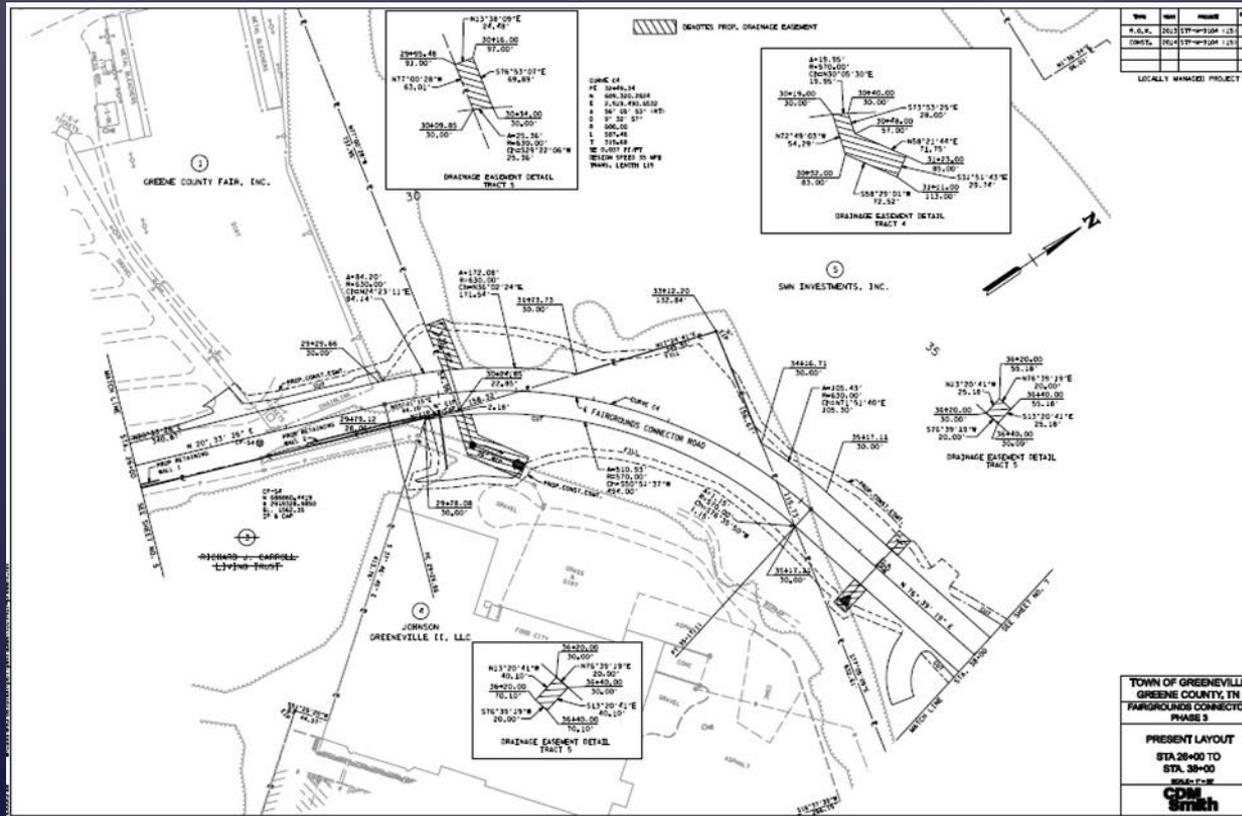
- ⌘ Overhaul on environmental clearance procedures (Chapter 4) to make chapter user-friendly
- ⌘ Must submit copy of the signed consultant contract with selection process

Questions?

# Chapters Flow Chart



# Preliminary Engineering/Design Phase



# Notice to Proceed

*JSK*

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.

You may procure, in accordance with law, a consulting engineering firm to do all phases of design 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](mailto: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](mailto: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](mailto:TDOT.Environmentaldoc@tn.gov)  
Regional Director  
Director of Project Development  
Regional Design  
Regional Environmental Coordinator  
File

# Un-Funded Notice to Proceed

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**NOTICE TO PROCEED WITH THE UNFUNDED  
PRELIMINARY ENGINEERING FOR  
FINAL DESIGN PHASE  
OF PROJECT DEVELOPMENT**

PIN: 115861.00  
FEDERAL PROJECT NUMBER: STP-M-9104(15)  
STATE PROJECT NUMBER: 30PLM-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](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 law, a consulting engineering firm to do all phases of design 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](mailto: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 Eli Jones at 615-741-5314 in the Local Program Development Office. You may contact us by email at: [Local.Programs@tn.gov](mailto: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

# 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):

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

5 Feet  
Wide

10 Feet  
Wide

Estimated ROW to be acquired:	# of acres	Acres /	# of tracts	Tracts
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):

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

Letting Type:

<input type="checkbox"/> Locally Let	<input type="checkbox"/> State Let	<input type="checkbox"/> Other: Click to enter "other"
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Design Certification:

<input type="checkbox"/> Design Certification is attached OR sent previously on	Insert Date previously sent
<input type="checkbox"/> 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

# Design Procedures Checklist



Local Government Guidelines Form 5-5  
March 1, 2016

Contact Email:

## Roadway Design Policies Checklist (To Be Submitted With Plans)

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

	YES	NO	N/A
<b>Policies and Procedures</b>			
Roadway Projects: TDOT Design policies and procedures followed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Non-Roadway Projects: Relevant TDOT approved design policies and procedures followed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
23 CFR 635.411 has been followed pertaining to proprietary items, and the use of those been approved by TDOT?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ADA design policies and procedures have been followed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Project affects FEMA Floodplain?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If project affects FEMA Floodplain, is "No-rise" analysis included in final submittal?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Design Exceptions</b>			
For Roadway Projects, the controlling elements of design meet the criteria contained in the TDOT Design Policies and Procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
All Design Exception Requests have been approved by TDOT?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Design Certification Letter</b>			
Design Certification Letter has been submitted to Local Program Development Office?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

# Design Procedures Checklist

	YES	NO	N/A
<b>TN</b> <b>TDOT</b> Department of Transportation			
Local Government Guidelines Form 5-5 March 1, 2016			
<b>Roadway Quantities</b>			
Only TDOT pay item numbers, descriptions, and units used?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Project Estimate</b>			
Estimate Approved by TDOT?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Project Plans</b>			
Are plan sheets indexed in accordance with the TDOT Roadway Design Guidelines Section 4-133.00?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the <b>title sheet</b> state this is a Locally Managed Project?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the <b>title sheet</b> contain the signatures of the local government officials?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do the <b>Preliminary</b> plan sheets meet the requirements of Section 1-105.00 of the TDOT Roadway Design Guidelines?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do the <b>ROW</b> plan sheets meet the requirements of Section 1-105.00 of the TDOT Roadway Design Guidelines?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the final <b>ROW</b> Title Sheet have a licensed TN Professional Engineer seal with signature and date?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do the <b>Construction</b> plan sheets meet the requirements of Section 1-105.00 of the TDOT Roadway Design Guidelines?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do the <b>Construction Plans</b> contain all applicable plan sheets listed in Section 4-133.00 of the Design Guidelines?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are all applicable final <b>construction plan</b> sheets signed, sealed and dated by a licensed TN Professional Engineer?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Project Commitments</b>			
Do the plans contain a comprehensive inclusion of all Project Commitments, including Planning, Right-of-Way and Environmental?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

# Design Procedures Checklist: An Activity!



# Design Procedures Checklist Activity

- ✧ Using the info from supplemental packet, complete the relevant boxes of 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):*

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



*Project Specifics (check all that apply):*

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

*Letting Type:*

<input type="checkbox"/> Locally Let	<input type="checkbox"/> State Let	<input type="checkbox"/> Other: Click to enter "other"
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# 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):

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



Project Specifics (check all that apply):

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

Letting Type:

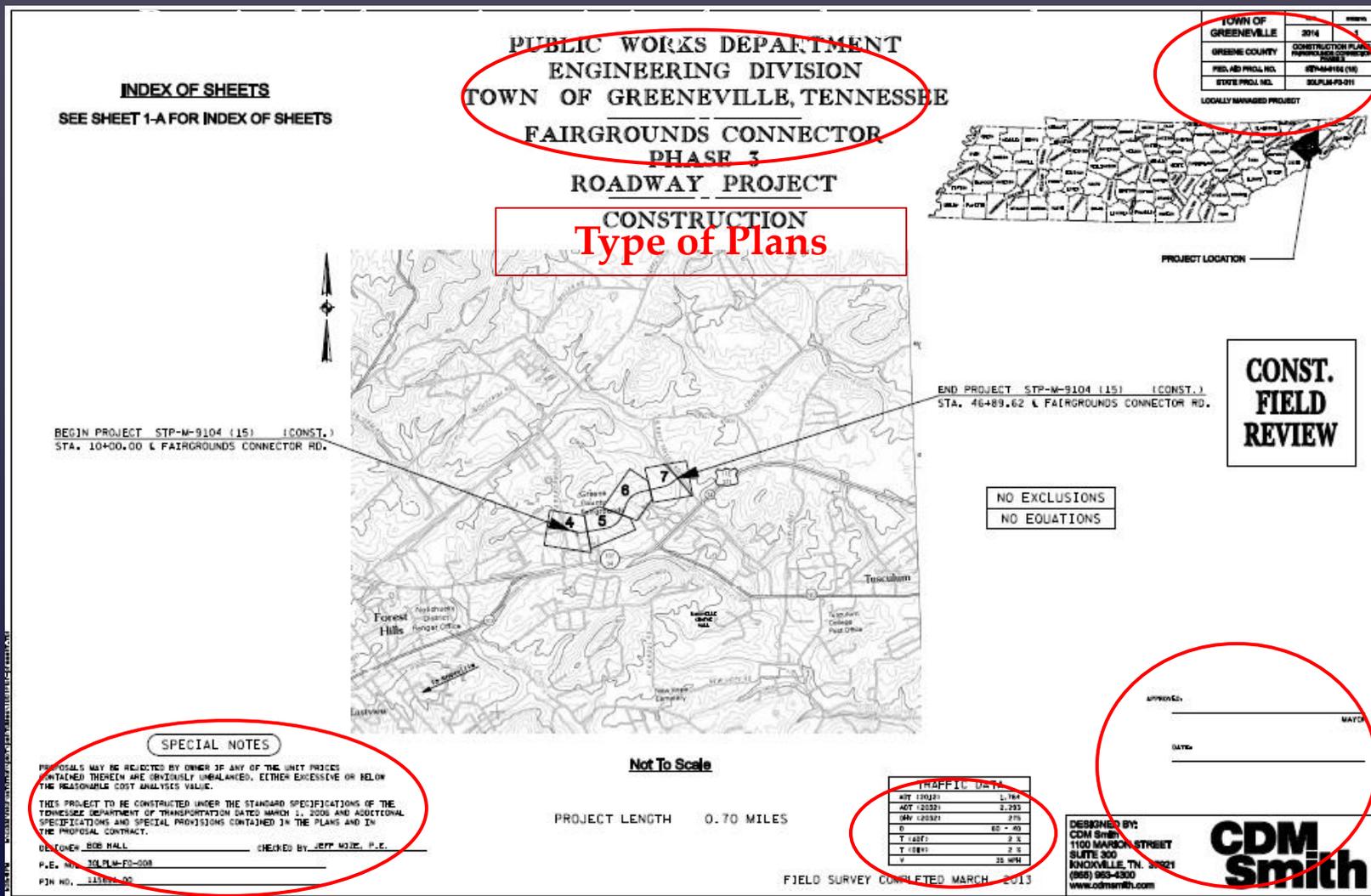
<input checked="" type="checkbox"/> Locally Let	<input type="checkbox"/> State Let	<input type="checkbox"/> Other: Click to enter "other"
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# Key Points

- ⌘ 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

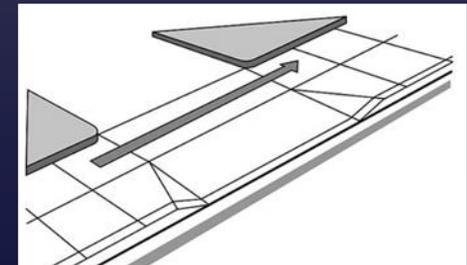
- Property owner names, tract numbers, total area, deed book, etc.

⌘ 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		LEFT	RIGHT	TOTAL	LEFT	RIGHT	TOTAL	LEFT	RIGHT	PERM. DRAINAGE	SLOPE	CONST.
				BK.	PAGE											
1	GREENE COUNTY FAIR, INC.	87	148.00	*	*	32.283	1.577	33.860	1.308	1.574	2.882	30.975	179 S.F.	591	0.311 AC.	4063
2	LOWE'S HOME CENTERS, INC.	87LA	28.02	195A	809		15.000	15.000	0.287	0.287		14.713		965	2670	
3	ROHARD J. CARRALL-LIVING TRUST	87LA	3.01	383A	798		11.860	11.860				11.860				
4	JOHNSON GREENVILLE II, LLC	87	190.00	512A	580	0.494	14.474	14.968	0.494	0.292	0.786	14.182	2654	0.360 AC.	0.155 AC.	
5	SMN INVESTMENTS, INC.	87	159.00	218A	521	30.215	5.074	35.289	0.068	0.875	1.063	49.230	4.109	4175	1.526 AC.	0.640 AC.



# 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

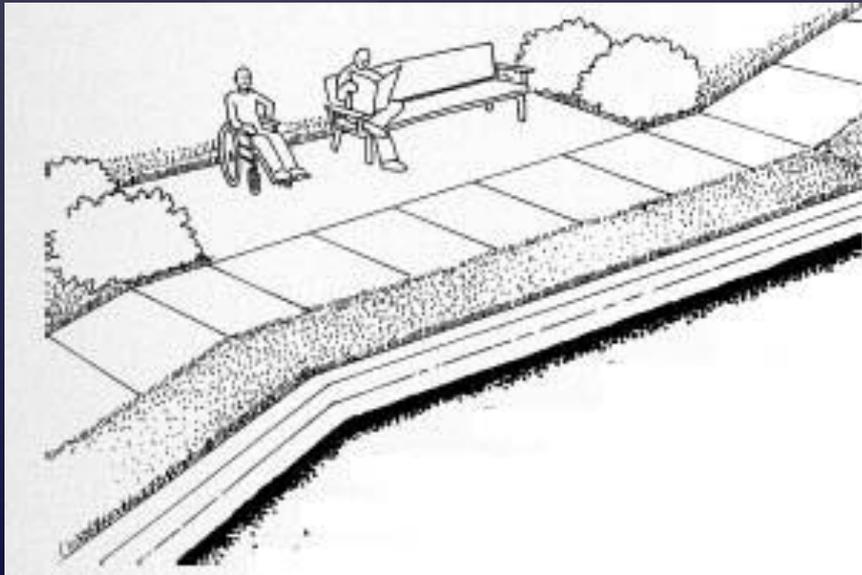
- ⌘ Curb ramps: must be installed and meet ADA standards whenever a sidewalk or pedestrian walkway crosses a curb.
- ⌘ Sidewalks: replacements or newly construction must meet ADA standards
- ⌘ Audible Pedestrian Signals: if signals are being added or replaced, must meet ADA standards



# 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 Mahler – TDOT ADA  
Compliance**

[Margaret.Z.Mahler@tn.gov](mailto:Margaret.Z.Mahler@tn.gov)

615-741-4984

# Next Steps

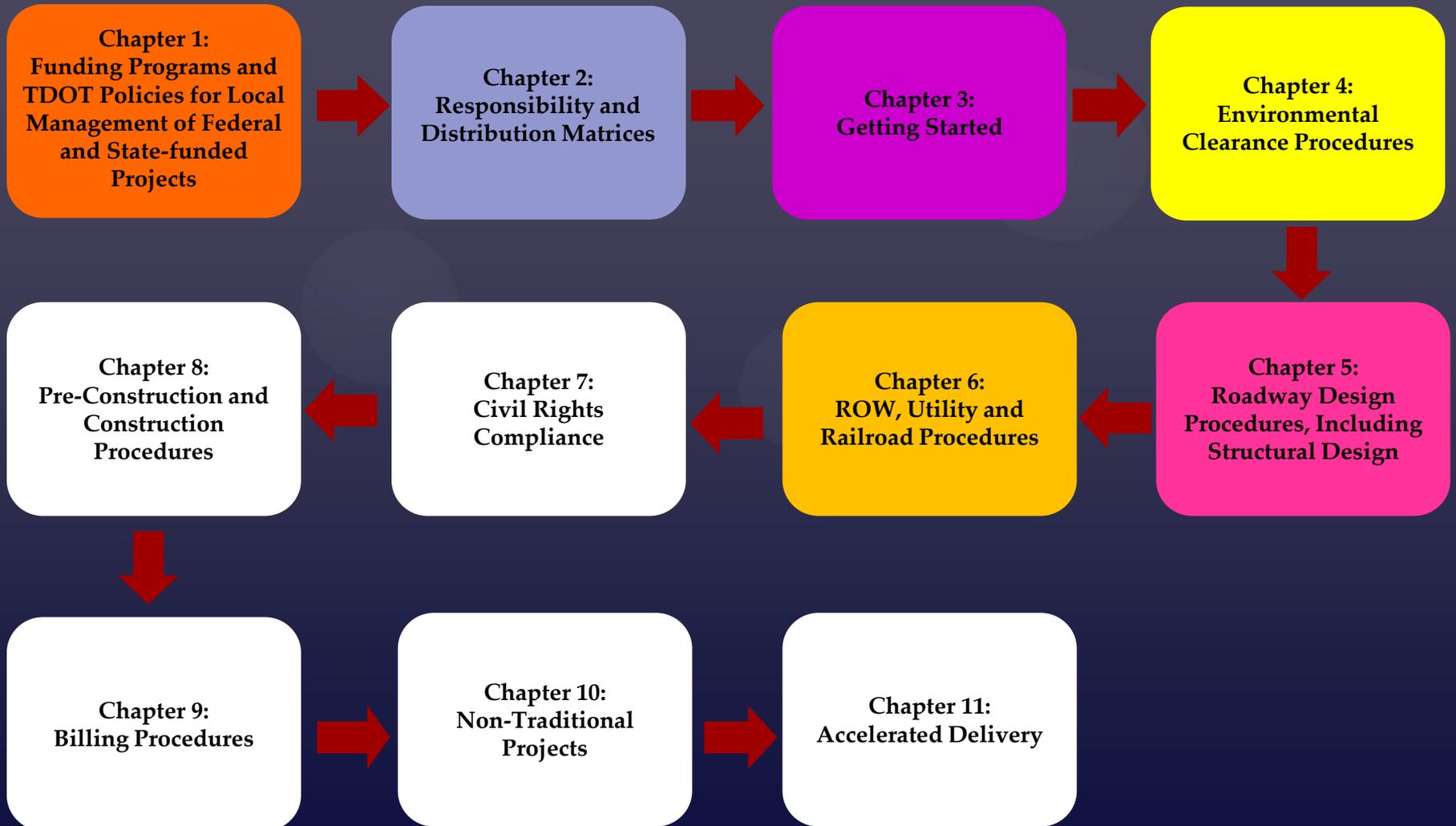
- ⌘ In addition to Design Review comments, may receive comments from other TDOT divisions, depending on project type (Traffic Operations, Structures, etc.)
  - Which divisions your plans are routed to is based on Design Procedures Checklist – it's very important!
  - There **will** be occasional conflicts. 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

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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](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: [LocalPrograms@tn.gov](mailto:LocalPrograms@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](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](mailto: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](mailto: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:

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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](mailto: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

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**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](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](mailto: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](mailto: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
- ⌘ 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,

A handwritten signature in black ink, appearing to read "Michael Palmer".

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,

A handwritten signature in black ink, appearing to read 'Michael Horlacher'.

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](mailto: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,

A handwritten signature in black ink that reads "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.

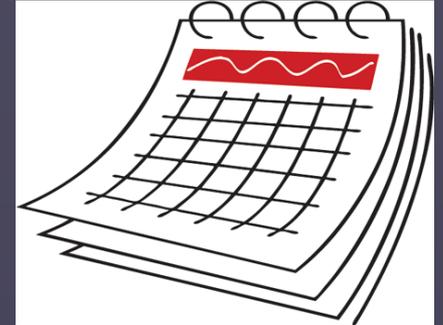
Sincerely,

A handwritten signature in blue ink that reads "Bill Bledsoe".

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

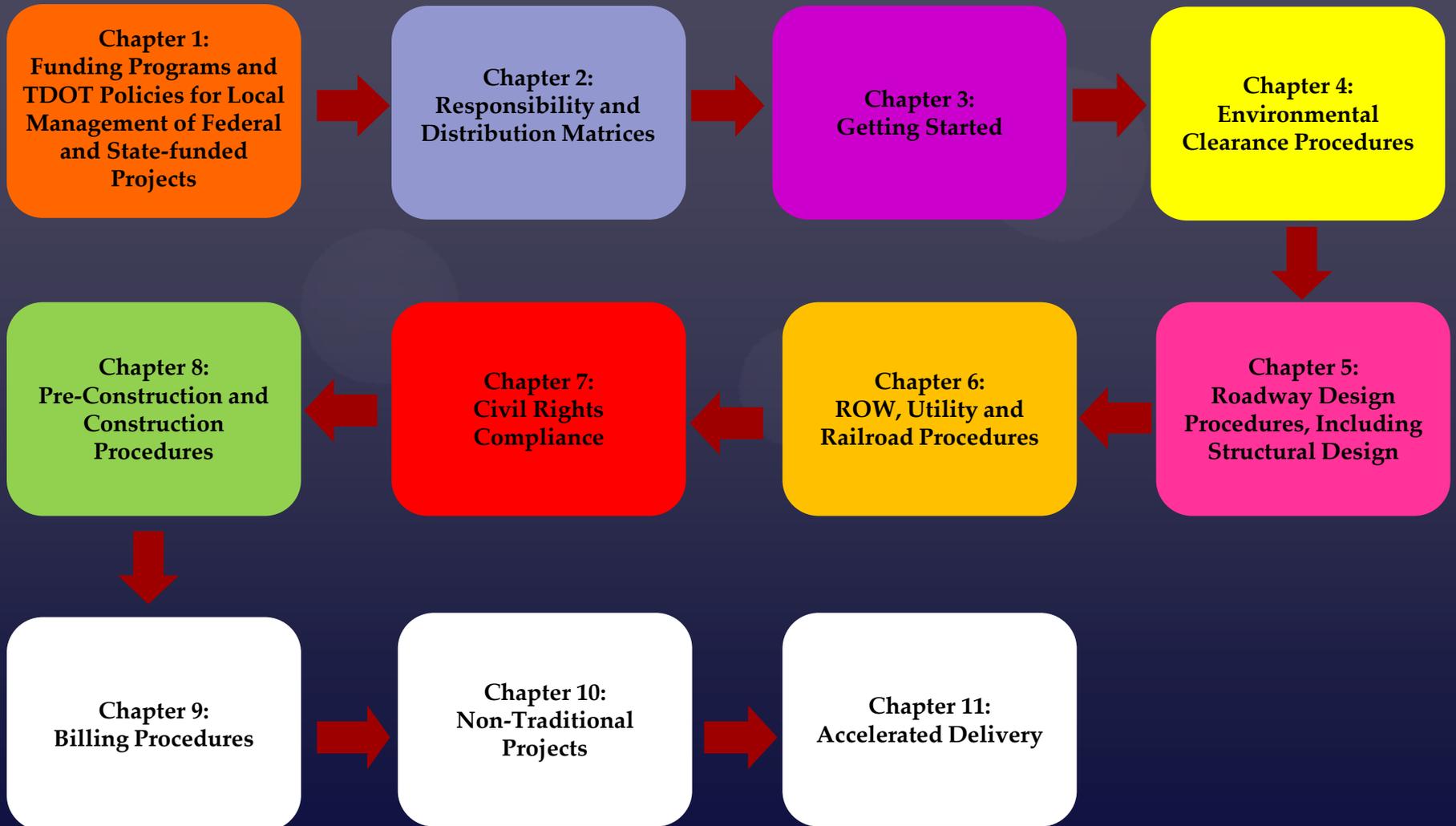
- ∅ Courthouse Fees
- ∅ Title Searches
- ∅ Attorney Fees
- ∅ Appraisals
- ∅ Relocating utilities located on private ROW
- ∅ Utility relocation work not in the contract
- ∅ Relocation Costs (Residential & Business)
- ∅ Condemnations
- ∅ Closings

# Manual Updates: Ch. 6

- ⌘ Changed required railroad coordination 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
- ∅ Permit Certification
- ∅ Bid Book (Forms 8-1 Federal and 8-1 State)
- ∅ Construction Plans with Estimate
- ∅ Construction Authorization Checklist (Form 8-2)
- ∅ Construction Advertisement (Form 8-3)

# 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](mailto: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	_____	_____	_____
			<b>TOTAL</b>	_____
			<b>GOAL</b>	_____

### 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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Specifications to be used: <input type="checkbox"/> Standards to be used: <input type="checkbox"/>
Proprietary items specified [23 CFR 635.411]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ALL PERMITS have been obtained: <ul style="list-style-type: none"> <li>• TDEC ARAP</li> <li>• TDEC §401 WQ Certification</li> <li>• COE §404</li> <li>• TVA Section 26a</li> <li>• TWRA</li> <li>• NPDES</li> <li>• USCG Bridge Permit</li> <li>• LOCAL Permit(s)</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Date(s): <input type="checkbox"/>
NEPA process completed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Approved NEPA documentation and environmental commitments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ALL ROW acquired or have necessary easements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ALL UTILITY agreements have been completed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ALL RAILROAD agreements have been completed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the Proposal Contract have a defined completion date	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Date: <input type="checkbox"/>

	YES	NO	PROPOSAL PAGE	COMMENTS
Does the Proposal Contract contain statement: <ul style="list-style-type: none"> <li>• "All work shall be completed in accordance with the most current version of the Tennessee Department of Transportation Standard Specifications...."*</li> <li>• Contractors and subcontractors must be pre-qualified by TDOT (or other as allowed in the LPO guidelines). *</li> <li>• How the project will be awarded? *</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the Proposal Contract contain ALL federal requirements and provisions per 23 CFR, e.g.:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Employing and Contracting with Illegal Immigrants (SP102I) *	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
• Buy America Requirements (SP106A) *	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
• Permits, Water Quality and Storm Water Permits (SP107FP)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Include copy of permits
• Specialty Items (SP108A)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Equal Employment Opportunity (EEO) (SP1230) *	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Standard Federal Equal Employment Opportunity Construction Contract Specifications (Executive Order 11246) (SP1231) *	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Notice of Requirement for Affirmative Action to Ensure Equal Employment Opportunity (Executive Order 11246) (SP1232) *	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Disadvantage Business Enterprise Participation (SP1246) *	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Disadvantaged Business Enterprise Contract Goal (Is this project more than \$500,000.00? If so, DBE Goal) (SP1247)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Required Contract Provisions Federal aid Construction Contracts) and ALL its requirements [23 CFR 633] (SP1273) *	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• TDOT Minimum Wage Scales (Federal Wage Rates and State Wage Rates) (SP1320) *	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	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)	<input type="checkbox"/>	<input type="checkbox"/>		
• Employing and Contracting with Illegal Immigrants (SP102)*	<input type="checkbox"/>	<input type="checkbox"/>		
• Specialty Items (SP108A)*	<input type="checkbox"/>	<input type="checkbox"/>		
• Certification regarding Debarment, Suspension, and Other Responsibility Matters Primary and Lower Tier Covered Transactions (SP1275)	<input type="checkbox"/>	<input type="checkbox"/>		
• Labor, including state labor rates (SP1280)	<input type="checkbox"/>	<input type="checkbox"/>		
• Non-Discrimination in Employment (SP1290)	<input type="checkbox"/>	<input type="checkbox"/>		
• State Wage Rates*	<input type="checkbox"/>	<input type="checkbox"/>		
Other Special Provisions:				
• SP109A	<input type="checkbox"/>	<input type="checkbox"/>		
• SP109B	<input type="checkbox"/>	<input type="checkbox"/>		
• SP624	<input type="checkbox"/>	<input type="checkbox"/>		
• SP730SIG	<input type="checkbox"/>	<input type="checkbox"/>		
• Changed Conditions [23 CFR 635.109]	<input type="checkbox"/>	<input type="checkbox"/>		
• Noncollusion statement [23 CFR 635.112] *	<input type="checkbox"/>	<input type="checkbox"/>		
• Subcontracting [23 CFR 635.116] *	<input type="checkbox"/>	<input type="checkbox"/>		
• Labor and employment [23 CFR 635.117]	<input type="checkbox"/>	<input type="checkbox"/>		
• Termination of Contract [23 CFR 635.125]	<input type="checkbox"/>	<input type="checkbox"/>		
• Liquidated damage rates [23 CFR 635.127]	<input type="checkbox"/>	<input type="checkbox"/>		

\* 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 RUFÉ 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 Greeneville 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 (P,S,&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

# P,S,&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

# P,S,&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](mailto: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: 116881.00  
FEDERAL PROJECT NUMBER: STP-M-8104(15)  
STATE PROJECT NUMBER: 3CLPLM-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.tccot.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](mailto: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](mailto:Local.Programs@tn.gov).

cc: Pau Degges  
Jim Moore  
Whitney Sullivan  
Ronnie Porter  
Will Reic  
Sherree Hall Crowder  
Kip Maylon  
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,



Eli Jones | Transportation Program Monitor - Region 1

Local Programs Development Office

James K. Polk Building, 6<sup>th</sup> Floor

505 Deaderick Street, Nashville, TN 37243

p. 615-532-3184

[Eli.Jones@tn.gov](mailto:Eli.Jones@tn.gov)

[tn.gov/tdot](http://tn.gov/tdot)

<http://www.tn.gov/tdot/section/local-programs>

# Construction Engineering Inspector (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 a 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 a calendar for the month of May 2016.
- ∞ On the following page, you will find the list of minority newspapers.
- ∞ On Friday, May 6, you place an order with the newspapers to run the advertisement for your project
  1. In which minority paper should you advertise?
  2. The minority paper runs on Wednesday. When can you open bids?
  3. How many newspapers must your ad be placed 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 all PRIME contractors (except mowing and litter removal contractors) to be licensed** with the Tennessee Department of Commerce and Insurance, Board for Licensing Contractors.

**On Federally-funded projects, Contractors will not be required to have a license to bid.** However, prior to recommending award of the Contract, TDOT will confirm that the lowest responsible bidder is licensed. The Contractor will be considered for award for twenty-one (21) days after the letting date (bid submittal). If the contractor does not have a license, on or before the 21 days, the contractor will be considered non-responsive, and the next lowest responsible bidder will be considered for award.

It is recommended that all PRIME Contractors who are not currently licensed and intend to bid on future projects begin the process to obtain their contractor's license.

For more information on obtaining a Contractor's License please visit the Board for Licensing Contractors website at the following:

<http://www.tn.gov/regboards/contractors/contractor.shtml>

# **\*\*NOTICE: Title 48 of Tenn. Code Ann.\*\***

Title 48 of Tenn. Code Ann. requires all contractors and subcontractors that are domestic or foreign Corporations, Limited Liability Companies, Limited Partnerships, or Limited Liability Partnerships to be in good standing with the Secretary of State. This includes being duly incorporated, authorized to transact business, and/or in compliance with other requirements as detailed by the Secretary of State. Please contact the Secretary of State should you have any questions at (615) 741-2286 or visit [http://www.tn.gov/sos/bus\\_svc/index.htm](http://www.tn.gov/sos/bus_svc/index.htm) .

**TDOT will not execute any contracts or approve subcontracts with contractors that are domestic or foreign Corporations, Limited Liability Companies, Limited Partnerships, or Limited Liability Partnerships, who are not in good standing with the Secretary of State (i.e. have a valid Certificate of Existence/Authorization).**

# 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 in ink, 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

# Prequalification Check Exercise

- ∅ Summers-Taylor is the apparent low bidder on PIN 115881.00. Check their pre-qualification. In your supplemental packet, there are two pages from the Prequalified Contractors List.
- ∅ 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, and if so, why?

# 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

# Disadvantaged Business Enterprise (DBE)

- ∅ DBE goals apply to construction contracts, not to professional services.
- ∅ When contract is executed, DBE goals will be met
- ∅ If DBE goal is not met, Local Agency will be subject to repayment of work performed that would have been performed by DBE
- ∅ Federal audit will catch this

# 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

# 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.

# 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](#) )



1500 ANTON DRIVE, SUITE 200  
KNOXVILLE, TN 37921  
tel: 865 963-4300  
fax: 865 963-4301

September 15, 2015

Mr. Brad Peters, PE  
Town of Greenville Engineer  
200 North College Street  
Greenville, 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 Greenville 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



ALDERMEN  
Brian N. F. Bragdon  
Sudoy C. Hsiwk  
Keith W. Paxton  
Sarah E. T. Webster

September 16, 2015

Mr. Eli Jones  
TDOT Local Programs Development Office  
James K. Polk Building, 6<sup>th</sup> 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: 423-639-6785

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?	<input type="checkbox"/>	<input type="checkbox"/>	Date of advertisement: <input style="width: 50px;" type="text"/>
Did the advertisement state the date, time, and location of public bid opening?	<input type="checkbox"/>	<input type="checkbox"/>	Date of bid opening: <input style="width: 50px;" type="text"/> Location: <input style="width: 50px;" type="text"/>
Were bids read aloud at the bid opening?	<input type="checkbox"/>	<input type="checkbox"/>	Reason for not reading aloud: <input style="width: 50px;" type="text"/>
If not, was the bidders name read and the reason for not reading aloud stated publicly?	<input type="checkbox"/>	<input type="checkbox"/>	
Were only pre-qualified bidders read?	<input type="checkbox"/>	<input type="checkbox"/>	<input style="width: 50px;" type="text"/>
If addendums were issued during the advertisement period, were they acknowledged by the bidders?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input style="width: 50px;" type="text"/>
Were the bids reviewed for responsiveness and irregularities in accordance with guidelines?	<input type="checkbox"/>	<input type="checkbox"/>	<input style="width: 50px;" type="text"/>
Has the DBE goal been met (must demonstrate within 3 days of bid opening)?	<input type="checkbox"/>	<input type="checkbox"/>	<input style="width: 50px;" type="text"/>
Is the lowest responsive bidder recommended for award?	<input type="checkbox"/>	<input type="checkbox"/>	If not, why: <input style="width: 50px;" type="text"/>
Is TDOT provided an electronic bid tabulation of the three lowest bidders at least 14 days prior to the end of award period	<input type="checkbox"/>	<input type="checkbox"/>	Date to TDOT for concurrence: <input style="width: 50px;" type="text"/> Date of award closing : <input style="width: 50px;" type="text"/>
Is the pre-bid estimate with quantities included?	<input type="checkbox"/>	<input type="checkbox"/>	<input style="width: 50px;" type="text"/>
Is a request for award or rejection included?	<input type="checkbox"/>	<input type="checkbox"/>	<input style="width: 50px;" type="text"/>
Has a qualified CEI firm been selected properly and with the necessary information submitted to TDOT (or other approved by TDOT)?	<input type="checkbox"/>	<input type="checkbox"/>	<input style="width: 50px;" type="text"/>

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:	<input type="text"/>
State Project No. / PIN No.:	<input type="text"/> <input type="text"/>
Contract Award Amount:	<input type="text"/>
Federal Dollars in the Contract:	<input type="text"/>
Contract Award Date:	<input type="text"/>
Name of Prime Contractor/Consultant:	<input type="text"/>
Proposed DBE Goal or None:	<input type="text"/> % or <input type="checkbox"/> None

NAMES OF SUBCONTRACTORS	ETHNICITY**	GENDER	SUBCONTRACT AMOUNT
<input type="text"/>			
DBE Certified Work Type to be performed:			
<input type="text"/> <input type="checkbox"/> 2 <sup>nd</sup> Tier	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>
<input type="text"/>			
DBE Certified Work Type to be performed:			
<input type="text"/> <input type="checkbox"/> 2 <sup>nd</sup> Tier	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>
<input type="text"/>			
DBE Certified Work Type to be performed:			
<input type="text"/> <input type="checkbox"/> 2 <sup>nd</sup> Tier	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>
<input type="text"/>			
DBE Certified Work Type to be performed:			
<input type="text"/> <input type="checkbox"/> 2 <sup>nd</sup> Tier	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>
<input type="text"/>			
<b>TOTAL DBE COMMITMENT:</b>			\$ <input type="text"/>
SUBMITTED BY: <input type="text"/>		DATE: <input type="text"/>	

\*\*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

PI# 115881.00

ITEM NO.	DESCRIPTION	UNIT	QUANTITY	Summerr Taylor, Inc		Eart TN Turf & Landscap		Thumar Court. Co.		Bids' Opinion of Probable C	
				UNIT COST	TOTAL COST	UNIT COST	TOTAL COST	UNIT COST	TOTAL COST	UNIT PRICE	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	3	\$ 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	\$ 9,093.00	\$ 3.10	\$ 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 (3/4 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	\$ 2.00	\$ 12,555.00	\$ 1.47	\$ 6,151.95	\$ 1.50	\$ 6,277.50
209-03.08	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	CARBASS	EAG	30	\$ 5.00	\$ 400.00	\$ 2.00	\$ 160.00	\$ 12.41	\$ 93.20	\$ 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	9832	\$ 23.25	\$ 228,617.25	\$ 24.00	\$ 235,968.00	\$ 25.99	\$ 265,292.67	\$ 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 (FG64-22) (BFMB-HM) GRADING A	TON	2713	\$ 89.00	\$ 241,457.00	\$ 93.00	\$ 252,309.00	\$ 90.82	\$ 246,294.66	\$ 89.00	\$ 241,457.00
307-01.03	ASPHALT CONCRETE MIX (FG64-22) (BFMB-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 (FC)	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 (FG64-22) 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 (FG64-22) 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	\$ 10,002.36	\$ 2.50	\$ 3,025.00
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.	2985	\$ 68.00	\$ 202,860.00	\$ 54.00	\$ 161,190.00	\$ 83.82	\$ 250,025.82	\$ 65.00	\$ 259,025.00
607-03.02	18" CONCRETE PIPE CULVERT (CLASS III)	L.F.	2922	\$ 34.00	\$ 99,688.00	\$ 50.00	\$ 146,100.00	\$ 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	\$ 112.14	\$ 10,192.60	\$ 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, 3' 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	19	\$ 2,500.00	\$ 47,500.00	\$ 2,500.00	\$ 47,500.00	\$ 2,323.61	\$ 39,501.37	\$ 3,000.00	\$ 57,000.00
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	\$ 4,300.00	\$ 4,300.00
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	\$ 263.01	\$ 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	\$ 16,585.30	\$ 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	\$ 10,617.00	\$ 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	\$ 38.75	\$ 193.75	\$ 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 RIF - 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 RIF - 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 (0.030" 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	\$ 103,300.00	\$ 103,300.00
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	\$ 67						

## 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 ELIX AVENUE  
ELIZABETHTON, TN 37643  
423-543-3181 - Phone  
423-543-6189 - 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 SECOING - DBE  
ALH CONSTRUCTION - DBE  
REYNOLDS FENCE + GUARDRAIL - DBE  
DYKES TRACKING, INC. - DBE  
EAST COAST DOORING + BLASTING, INC.  
TYSTLER, 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: 

TED L. BAYANT VICE-PRESIDENT  
Printed Name and Title

P.O. Box 1128

Address

ESSELBETHTON, TN 37644

City/State/Zip

Bidder (1) being \_\_\_\_\_ composed of officers, partners, or owners as  
a \_\_\_\_\_ follows:

COOPERATION  
(Type of business entity)

R.T. SUMMERS CHAIRMAN OF THE BOARD DANNY MITCHELL - VICE PRESIDENT OF ESTIMATE

Name/Title

Name/Title

GRANT SUMMERS - PRESIDENT

Name/Title

SCOTT FULLER - VICE PRESIDENT OF CONSTRUCTION

Name/Title

TED BAYANT - EXECUTIVE VICE PRESIDENT

Name/Title

CHRIS HYDER - CHIEF FINANCIAL OFFICER

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 \_\_\_\_\_ composed of officers, partners, or owners as  
a \_\_\_\_\_ follows:

N/A  
(Type of business entity)

N/A

Name/Title

N/A

Name/Title

N/A

Name/Title

N/A

Name/Title

N/A

Name/Title

N/A

Name/Title

**BID FORM  
ESTIMATED QUANTITIES**

ITEM NO.	DESCRIPTION	UNIT	QUANTITY	UNIT COST	TOTAL COST
106-01	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	24,360.00
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	228,617.25
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
307-01.06	ASPHALT CONCRETE MIX (PG64-22) (BPMB-HM) GRADING B-M2	TON	1954	94.25	174,739.50
402-01	BITUMINOUS MATERIAL FOR PRIME COAT (PC)	TON	30	325.00	9,750.00
402-02	AGGREGATE FOR COVER MATERIAL (FC)	TON	99	40.00	3,960.00
403-01	BITUMINOUS MATERIAL FOR TACK COAT (TC)	TON	3	465.00	1,395.00
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 26+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.	2032	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.	80	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, > 18" - 20" DEPTH	EACH	1	5,900.00	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, > 4' - 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	3,900.00	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, > 4' - 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	2,904.75
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	87,860.00
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.	880	12.35	10,821.00
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 (0.060" 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
718-12.01	ENHANCED FLATLINE THERMO PVMT MRKNG (4IN LINE)	LM.	2.5	3,500.00	8,750.00
717-01	MOBILIZATION	LS	1	56,500.00	56,500.00
740-10.03	GEOTEXTILE (TYPE III)(EROSION CONTROL)	S.Y.	3385	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.	1578	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 (2,275,039.15)  
In Words In Numbers  
NINE DOLLARS AND FIFTEEN CENTS.



\*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. Sworn to and subscribed before me  
Bidder (1)  
By: [Signature] this 9<sup>TH</sup> day of September, 2015  
T&O L. Bryant VICE-PRESIDENT Angela M. Knapp  
Printed Name and Title Notary Public

My commission expires 09/23/2019  




N/A Sworn to and subscribed before me  
Bidder (2)  
By: N/A this N/A day of N/A, N/A  
N/A N/A  
Printed Name and Title 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

FAIRGROUNDS CONNECTOR ROAD PHASE III

CONTRACT NO. \_\_\_\_\_

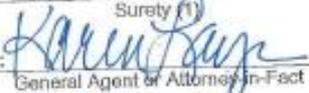
Principal: SUMMERS-TAYLOR, INC. \_\_\_\_\_  
Print Name of Principal

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 official and the Surety has caused these presents to be duly signed and sealed by an authorized agent or attorney-in-fact.

**SURBERS TAYLOR INC.** FIDELITY & DEPOSIT CO OF MARYLAND  
Principal (1) Surety (1)  
By:  By:   
Denny Matthews Vice President General Agent or Attorney-in-Fact  
Print Name and Title Date  
9-9-15 9-9-15  
Date (Seal)

Principal (2) Surety (2)  
By: \_\_\_\_\_ By: \_\_\_\_\_  
General Agent or Attorney-in-Fact  
Print Name and Title Date  
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, and on its behalf receive, 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 is made this 19th day of May, 2011, by 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



*Eric D. Barnes*

Eric D. Barnes Assistant Secretary

By:

*Frank E. Martin Jr.*

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 depose and swear, 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*

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

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, undertakings, 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.

*Gregory F. Murray*  
Assistant Secretary

# 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

# 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

# Activity Time!

1. In your supplemental packet, you have two bid submissions.
2. The first one is good. The second one isn't. Why?
3. In your supplemental packet, there are two completed bid tabulations.
4. 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 15<sup>th</sup> 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

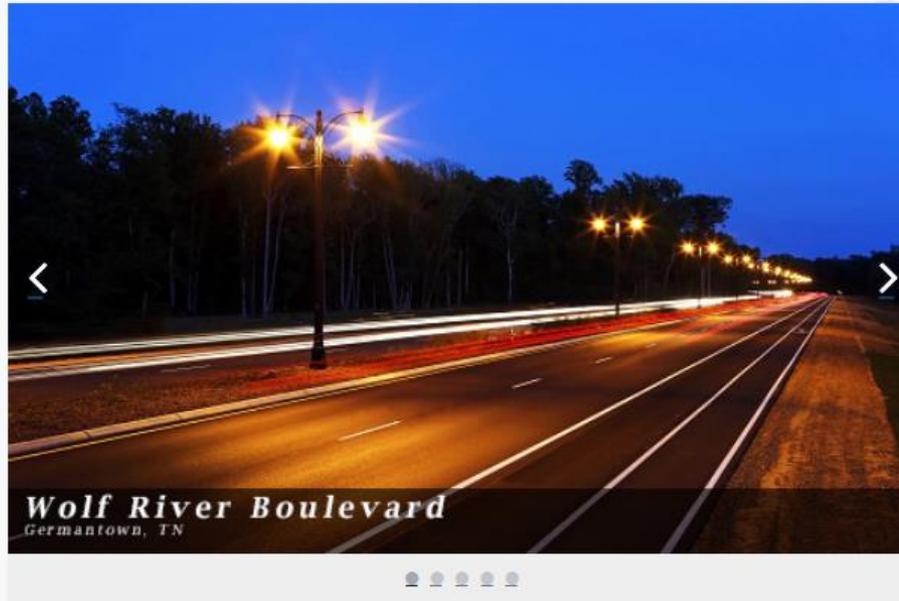
Training

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](#)

# 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

[Help and FAQs](#)

[Privacy Statement](#)

Tennessee Department of Transportation

This online service uses [cookies](#).

The logo consists of the letters 'TN' in white, bold, serif font, set against a red square background. Below the square is a thin blue horizontal line.

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](#).



## Dashboard

---

<u>Modified Date</u>	<u>Program PIN</u>	<u>Description</u>
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.

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## 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	<input type="text"/>
County	Davidson ▾
Route	<input type="text"/>
Termini/Description	<input type="text"/>
Type of Work	<input type="text"/>
Construction Award Date	<input type="text"/>
Contract Award Amount	\$ <input type="text"/>
Start Date/Anticipated Start Date	<input type="text"/>
Contract Completion Date	<input type="text"/>
DBE Goal	<input type="text"/> %
DBE Commitment	<input type="text"/> %

Actual Completion Date	<input type="text"/>
------------------------	----------------------

### Contractor Information

Contact Name	<input type="text"/>
ID - Duns	<input type="text"/>
Company Name	<input type="text"/>
Location Address	<input type="text"/>
City	<input type="text"/>
State	TN ▾



## 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](mailto:whitney.sullivan@tn.gov)

## Technical Questions:

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

# Recurring Audit Issues

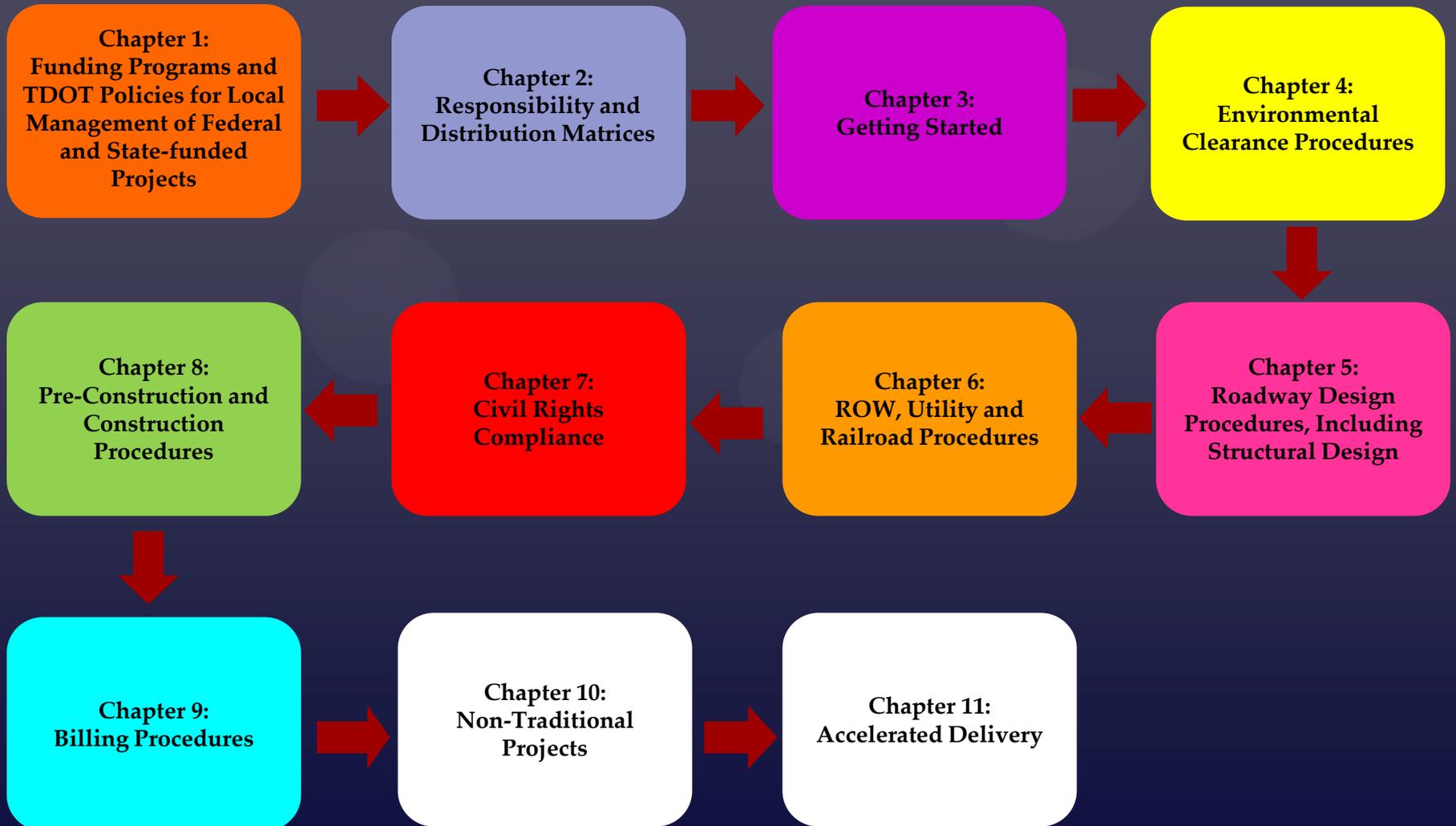
- ⌘ Daily diary of work activity not kept by CEI
- ⌘ CEI not on site at times of inspections as required by 23 CFR635.105
- ⌘ If original low bid was rejected, TDOT concurrence to reject and justification from LG not in project file
- ⌘ Buy America certifications not on file
  - Any phase(s) could be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

**LOCAL GOVERNMENT PRELIMINARY ENGINEERING NEPA 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: \_\_\_\_\_

PRELIMINARY ENGINEERING COSTS  
SUBTOTAL  
LESS: LOCAL GOVERNMENT SHARE 0%  
BALANCE  
LESS: AMOUNTS PREVIOUSLY INVOICED  
AMOUNT DUE THIS INVOICE

CURRENT COSTS	COST SHOWN ON PRIOR INVOICES	TOTAL COSTS
	+	-
		\$0.00
		\$0.00
		-
		\$0.00
		\$0.00
		-
		\$0.00
		\$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 # 4636320048  
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: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**EXAMPLE:**  
**TDOT**  
**NEPA**  
**INVOICE**  
**COVER**  
**SHEET**

EXAMPLE:

TDOT  
DESIGN  
INVOICE

COVER  
SHEET



LOCAL GOVERNMENT DESIGN COSTS INVOICE

INVOICE DATE \_\_\_\_\_ TO \_\_\_\_\_ 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: \_\_\_\_\_

ENGINEERING COSTS  
SUBTOTAL  
LESS: LOCAL GOVERNMENT SHARE 0%  
BALANCE  
LESS: AMOUNTS PREVIOUSLY INVOICED  
AMOUNT DUE THIS INVOICE

CURRENT COSTS	COST SHOWN ON PRIOR INVOICES	TOTAL COSTS
	+	-
		\$0.00
		\$0.00
		\$0.00
		\$0.00
		\$0.00

I CERTIFY UNDER PENALTY OF LAW THAT THIS CERTIFICATION IS MY OWN 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:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**LOCAL GOVERNMENT RIGHT-OF-WAY COSTS INVOICE**

INVOICE DATE \_\_\_\_\_ TO \_\_\_\_\_ 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: \_\_\_\_\_

**EXAMPLE:**

**TDOT  
ROW  
INVOICE**

**COVER  
SHEET**

ROW COSTS BY CONSULTANT \_\_\_\_\_  
 ROW COSTS BY LOCAL FORCES \_\_\_\_\_  
 DIRECT ROW COSTS \_\_\_\_\_  
 SUBTOTAL \_\_\_\_\_  
 LESS: LOCAL GOVERNMENT SHARE **0%** \_\_\_\_\_  
 BALANCE \_\_\_\_\_  
 LESS: AMOUNTS PREVIOUSLY INVOICED \_\_\_\_\_  
 AMOUNT DUE THIS INVOICE \_\_\_\_\_

CURRENT COSTS		COST SHOWN ON PRIOR INVOICES		TOTAL COSTS
	+		-	\$0.00
	+		+	\$0.00
	+		-	\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00

I CERTIFY UNDER PENALTY OF LAW THAT THIS CERTIFICATION IS MY OWN 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 # 4026530040

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  
CONSTRUCTION  
INVOICE

COVER SHEET

(NAME OF LOCAL GOVERNMENT)



Local Government Guidelines Form 9-5

March 1, 2016

LOCAL GOVERNMENT CONSTRUCTION COSTS INVOICE

INVOICE DATE: \_\_\_\_\_ TO \_\_\_\_\_ 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: \_\_\_\_\_

COSTS PER ENGINEER'S ESTIMATE OR LOCAL FORCES INVOICE  
 CONSTRUCTION ENGINEERING COSTS  
 SUBTOTAL  
 LESS: LOCAL GOVERNMENT SHARE 0%  
 BALANCE  
 LESS: AMOUNTS PREVIOUSLY INVOICED  
 AMOUNT DUE THIS INVOICE

CURRENT COSTS		COST SHOWN ON PRIOR INVOICES		TOTAL COSTS
	+		-	\$0.00
			+	\$0.00
			-	\$0.00
				\$0.00
			-	\$0.00
				\$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: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_



# Materials and Tests Billing

**TN. Dept. of Transportation - Finance Division**

505 Deaderick St, Suite 800, Nashville, TN 37243

Phone 615-350-4100 Fax 615-350-4128 TDOT.MaterialsTests@tn.gov

**INVOICE #1624**

## Customer

Town of Greeneville

200 N. College St.

Greeneville, TN 37745

Invoice Date 12/28/2015

Sales Person Materials &amp; Tests Division

P.O. #

Phone 423-787-6382

Fax

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
<b>Invoice Total</b>	<b>\$375.28</b>

**Thank you for your business**

TN. Dept. of Transportation - Finance Division 505 Deaderick St, Suite 800, Nashville, TN 37243

Phone 615-350-4100 Fax 615-350-4128 TDOT.MaterialsTests@tn.gov

# TDOT Finance Statement of Progress Cost

**TENNESSEE DEPARTMENT OF TRANSPORTATION**

**INVOICE**

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

<b>Payment Terms</b> Net 30	<b>Customer Address:</b>	<b>Contact Person(s):</b>
	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

<b>Federal Project Number</b>	STP-12-4567		
<b>State Project Number</b>	12345-4567-89	\$	2,332.50
<b>State Project Number</b>	12345-4567-89	\$	2,289.32
<b>State Project Number</b>	12345-4567-89	\$	7.41
<b>Description:</b>	Description		
	<b>TOTAL COSTS TO DATE</b>	\$	4,629.23
	<b>LESS: TOTAL PAYMENTS TO DATE</b>	\$	(3,000.00)
	<b>TOTAL AMOUNT DUE THIS BILLING</b>	\$	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		
		<b>Prelim. Engineer</b> 12345-4567-89	<b>Right-of-Way</b> 12345-4567-89	<b>Construction</b> 12345-4567-89
STATE PROJECT NUMBERS:				
FUNDING METHOD:	LGIP			
CUSTOMER CONTRACT NUMBER(S)		S0209801		S0209800
<b>COST SUMMARY</b>				
PRELIMINARY ENGINEERING COSTS:	\$	12,332.50		
RIGHT-OF-WAY COSTS:			\$	62,289.32
CONSTRUCTION COSTS:				\$
Construction Contract Payments				16.23
Other Expenditures				4.18
<b>TOTAL PROJECT COSTS</b>	\$	12,332.50	\$	62,289.32
<b>PROJECT PARTICIPANTS:</b>				
Federal Highway Administration	80.00%	\$	10,000.00	\$
CITY	20.00%		2,332.50	\$
				13.00
				7.41
<b>TOTAL PARTICIPANT COSTS</b>	\$	12,332.50	\$	62,289.32
<b>CALCULATED AMOUNT OWED/DUE</b>				
CITY's SHARE OF COSTS	\$	2,332.50	\$	2,289.32
LESS: PRIOR DEPOSITS/PAYMENTS				7.41
INTEREST				(3,000.00)
<b>AMT DUE TDOT OR BALANCE REMAINING</b>	\$	2,332.50	\$	2,289.32
				\$
				(3,000.00)

LGIP SAMPLE

**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
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*

**SAMPLE:**

**AUTHORIZED  
SIGNATURE  
FORM**

# 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



**LOCAL GOVERNMENT PRELIMINARY ENGINEERING NEPA COSTS INVOICE**

INVOICE DATE: 12/20/2013 FINAL INVOICE FOR THIS PHASE? YES  NO   
 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

PRELIMINARY ENGINEERING COSTS  
 SUBTOTAL  
 LESS: LOCAL GOVERNMENT SHARE 20%  
 BALANCE  
 LESS: AMOUNTS PREVIOUSLY INVOICED  
 AMOUNT DUE THIS INVOICE

CURRENT COSTS		COST SHOWN ON PRIOR INVOICES		TOTAL COSTS
\$85,830.00	+	\$40,475.00	=	\$126,305.00
				\$126,305.00
				- \$25,261.00
				\$101,044.00
				- \$32,380.00
				\$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.

*Matthew Burcham*  
 (PROJECT SUPERVISOR)

*Whitney Sullivan*  
 (LOCAL GOVERNMENT OFFICIAL)

# Need More Money?



- ⌘ Funds must be available in the TIP/STIP
- ⌘ MPOs email adjustments/amendments to [STIP.Requests@tn.gov](mailto:STIP.Requests@tn.gov)
- ⌘ Adjustments vs. Amendments
- ⌘ Contact monitor to adjust funds

# Common Mistakes

- ✧ Submitting invoices for more available
- ✧ Incorrect address
- ✧ Incorrect project numbers or coversheet
- ✧ 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 coversheet or backup documents

# Invoicing FAQ's

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

⌘ How fast can I get reimbursed?

# Manual Updates: Chapter 9

- ⌘ Update 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](mailto: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:

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\_\_\_\_\_  
CEI Inspector/Records Clerk Date

\_\_\_\_\_  
CEI Director/Engineer/Manager Date

Distribution: [Local Programs Development Office](#)  
[Regional Materials & Tests](#)  
[Headquarters Materials & Tests](#)  
Regional Operations Supervisor

\_\_\_\_\_  
Maintaining Agency Representative/Title Date



# Advertisement for Claims

- ∅ The LG will issue a Completion Notice ([Form 8-33](#))
  - published in the county where the work is performed or an adjoining county if none exist
- ∅ 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](#)).
- ∅ Any claims against the LG 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:** Ford Construction Company

**STATE PROJECT NO.:** 92LPLM-F3-010

**FEDERAL PROJECT NO.:** STP-EN-9408(9)

**PIN:** 110487.02

**CONTRACT NO.:** 100300

**COUNTY:** Weakley

The City of Martin 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 Section 54-5-122, T.C.A. must file same with Mayor Randy Brundige, 109 University Street, Martin, TN on or before August 8, 2015.

### Contractor's Affidavit Pertaining to Labor and Materials

The undersigned contractor on Contract No. [REDACTED], Project No. [REDACTED], Reference No. [REDACTED], County [REDACTED], 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 [REDACTED] \_\_\_\_\_

Date \_\_\_\_\_

State of [REDACTED] \_\_\_\_\_

County [REDACTED] \_\_\_\_\_

Date [REDACTED] \_\_\_\_\_

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.



# 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](#)).

## 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:



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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:

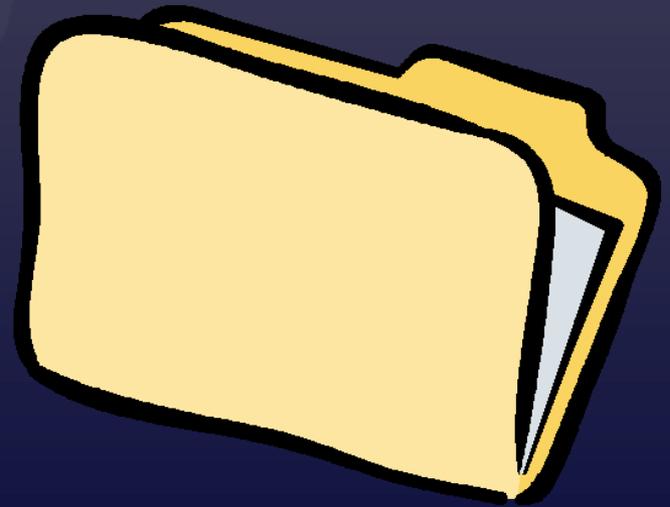
- ∅ Copies of the contract
- ∅ Starting invoice/work order
- ∅ Correspondence
- ∅ Field books
- ∅ Diaries
- ∅ Material tickets
- ∅ Test reports
- ∅ Progress estimates
- ∅ Final record books
- ∅ As built drawings and specifications
- ∅ Contractor payroll and certifications
- ∅ Signed bid books
- ∅ Project 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 turning in 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 any of the forms previously mentioned

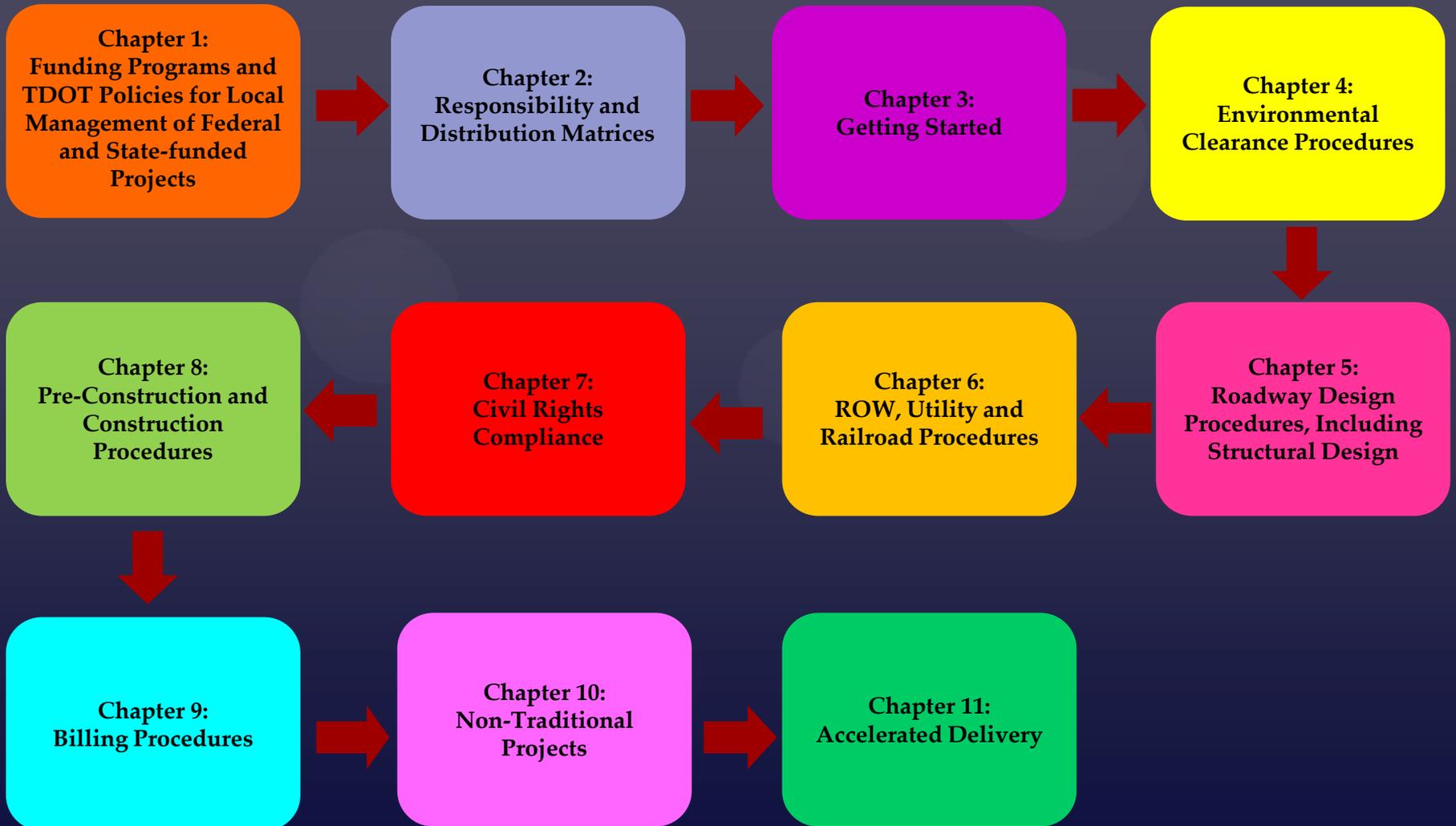
# Manual Updates

⌘ 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!



## Local Programs

Staff

Funding Guidance

Documents and Forms

Training

Current Projects

## Local Programs Development Office

