

Local Government Guidelines Manual Training

May 23, 2023
Region 1

| | | |
|-------|----------------------|--------------|
| 8:30 | Welcome | Kimery Grant |
| | Getting Started | Erin Rakus |
| 10:00 | Break | |
| | Environmental Phase | Erin Rakus |
| | Design Phase | Taylor Lee |
| 11:30 | Lunch | |
| | ROW Phase | Chasity Bell |
| 12:50 | Pre-Construction | Chasity Bell |
| | Construction | Taylor Lee |
| 1:45 | Break | |
| 1:55 | Construction | Taylor Lee |
| | Reimbursements | Matt Burcham |
| | Close-Out Procedures | Erin Rakus |
| 3:00 | Wrap-Up | Kimery Grant |



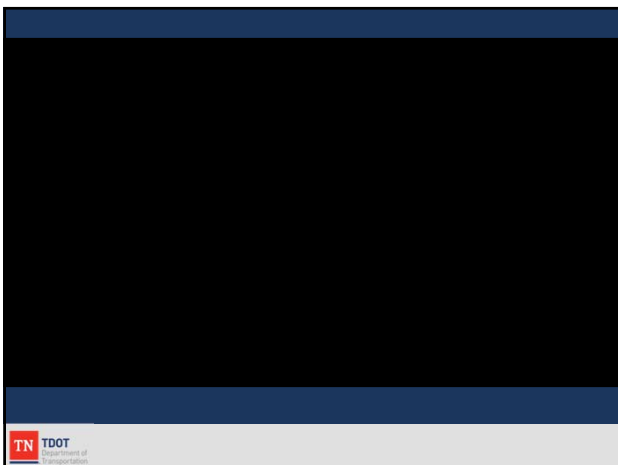
Local Programs
Development Office



1



2



3



4




5



6

We are Your Main Point of Contact


| | |
|----------------------------------|-------------|
| Region 1 (Knoxville MPO) | Erin Rakus |
| Region 1 (All other MPOs & RPOs) | Taylor Lee |
| Region 2 (All) | Katie Brown |



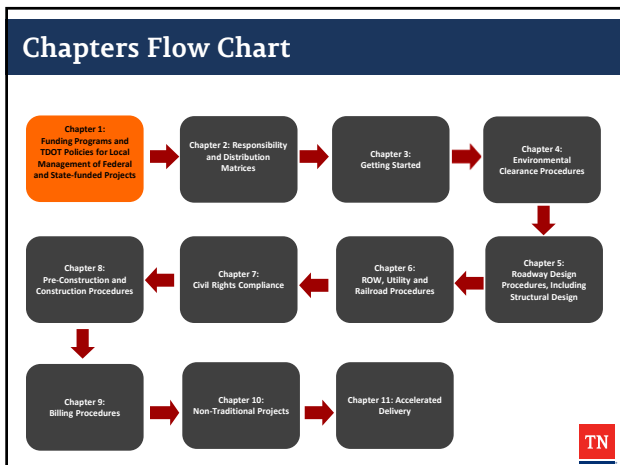
7

We are Your Main Point of Contact

| | |
|---|-----------------|
| Region 3 (Nashville MPO excluding Rutherford Co.) | Simchah Edwards |
| Region 3 (Clarksville MPO, Rutherford Co., & RPOs) | Kat McClung |
| Region 4 (Memphis MPO) | Meghan Wilson |
| Region 4 (RPO & Jackson MPO) | Meghan Wilson |






8



9

LGGM

Seventh Edition
Online: Revised
March 15, 2019
**Revision Coming Soon*




TENNESSEE DEPARTMENT OF TRANSPORTATION
IN COOPERATION WITH
THE FEDERAL HIGHWAY ADMINISTRATION

**LOCAL GOVERNMENT GUIDELINES
FOR THE MANAGEMENT OF
FEDERAL AND STATE-FUNDED
TRANSPORTATION PROJECTS**

ISSUED BY THE PROGRAM DEVELOPMENT AND
ADMINISTRATION DIVISION
SEVENTH EDITION
MARCH 9, 2018
REVISION DATE: MARCH 15, 2019

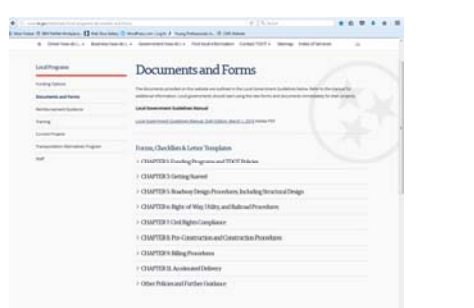
https://www.tn.gov/content/dam/tn/tdot/programdevelopment/localprograms/documents-and-forms/LGG_Manual.pdf

Chapter 1: Funding Programs and TDOT Policies for Local Management of Federal and State-funded Projects


10

LGGM Forms

LGGM Forms




<https://www.tn.gov/tdot/program-development-and-administration-home/local-programs/documents-and-forms-.html>

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11

6 Phases in Project Development


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

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12

Overview

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




Chapter 1: Funding Programs and TDOT Policies for Local Management of Federal and State-funded Projects

13

Locally Let Project Checklist

| PIN | AGENCY LOCALLY LET PROJECT CHECKLIST |
|-----|---|
| | Send Project Initiation Checklist Form 1 to Program Director |
| | Revised Contract Type Local Programs Office |
| | Send Revised Contract to Local Programs Office |
| | Revised City Revised Contract from Local Programs Office |
| | Revised Notice to Proceed for Professional Engineering (PE) Work Item Assigned |
| | Send Consultant Contract to Local Programs Office when Detailed Work Selection Provided |
| | Begin Work on MHS Document – Contact TSP Environmental Division |
| | Completed TSP Natural Coordination, if Feasible New Project |
| | Revised Approval with Reimbursement |
| | Revised Notice to Proceed for all design PE design items have been assigned |
| | Consultants Begin Work on Design Plans |
| | Send Professional Design Plans and Checklist to Local Programs Office for Review and Comments |
| | Revised Plans Review Letter(s) from TSP – Public Review |
| | Send Note Plans to Local Programs Office for Review and Comments |
| | Send the Plans to the Agency to Provide the Official Agency Approval from the Official Field from being assigned |
| | Begin Coordination with Regional Office to Obtain Site Certification |
| | Begin Coordination with Regional Office to Obtain Utility Certification |
| | Obtain File or Certification from TSP (not Agency Office Letter or Email) |
| | Send Consultant TSP Site Assessment Report "Construction of Project" (Submit to Local Programs for Review and Comments) |
| | Send from Agency's Estimate to Local Programs for Review and Comments |
| | Send Project Contract Using Contract Template to Local Programs Office for Review and Comments |
| | Revised Bids and Approved Utility Certifications from Local Programs Office |
| | Completed with Permit Office to get Permit Certification |
| | Send Bid Advertisement to Local Programs Office for Review and Comments |
| | Revised Notice to Proceed for Construction (Contractor Work) has been assigned. Submit to PE. |
| | Reimbursement and the PE comments and other Reimbursement TSP Comments to be used to create Reimbursement Request |
| | Revised Contract from TSP to the Local Programs Office |
| | Send the Construction Meeting, TSP Representative must have been contacted prior to that Prior to Starting |




Chapter 1: Funding Programs and TDOT Policies for Local Management of Federal and State-funded Projects

14

When Contacting Us, Please Provide:

- Project Title
- Project Location (City and County)
- Project Identification Number (PIN), an eight-digit number (Example: 115881.00) assigned to each specific project
- PIN must also be referenced on all correspondence and reimbursement requests



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15

Document, Document, Document

- Assume every project you manage will be **audited**.
- All steps, regulations and procedures have been established to ensure the proper use of taxpayer dollars.

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16

Poll Time!!!

When contacting your program monitor about a project, what information should you provide in the correspondence?

- a) Project Location & Title
- b) SEC Football Predictions
- c) Project Identification Number (PIN)
- d) Both A & C**

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17

Federal Programs

Federal Programs

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18

Surface Transportation Block Grant (STBG)

- Match – 80% federal/20% local
 - Specific items are [100% federally eligible](#)
- Eligible project types– resurfacing, roadway widening, sidewalks, intersection improvements, ADA upgrades, etc.
 - [Eligible STBG Items](#)
- Funds are appropriated based on population

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19

Surface Transportation Block Grant (STBG)

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

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20

Portland Street Improvements

Shelbyville Traffic Signals

Millington New Alignment

Germantown New Alignment

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21

Bridge Replacement and Rehabilitation (BRR)

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

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22



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23

Highway Infrastructure Program (HIP)

- Match – 80% federal/20% local
- Eligible project types- resurfacing, roadway widening, sidewalks, intersection improvements, etc.
- Coronavirus Response and Relief Supplemental Appropriations Act (HIP-CRRSAA)

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24

Federal Lands Access Program (FLAP)

- Call for Projects closed in May
 - Next call is TBD
- Match – 80.66% federal/19.34% local total project
- Established in 23 U.S.C. 204 to improve transportation facilities that provide access to, are adjacent to, or are located within Federal lands.
- Emphasis on high-use recreation sites and economic generators

<https://highways.dot.gov/federal-lands/programs-access/tn>

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25

State Programs

State Programs

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26

High Priority Bridge Replacement Program (HPBRP)

- No Local Match
 - County must commit 33% of their State Bridge Grant funds to projects on bridge program list
- Eligible project types – off-system bridges on the bridge program list


https://www.tn.gov/content/dam/tn/tdot/progrdevelopment/stateprograms/2018-2020_Bridge_Program.pdf


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27

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

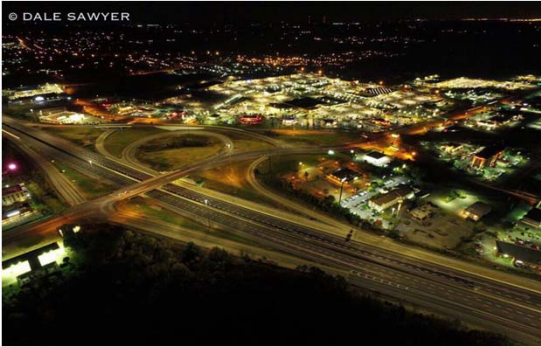





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Chapter 1: Funding Programs and TDOT Policies for Local Management of Federal and State-funded Projects

28






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29

Local Interstate Connector (LIC)

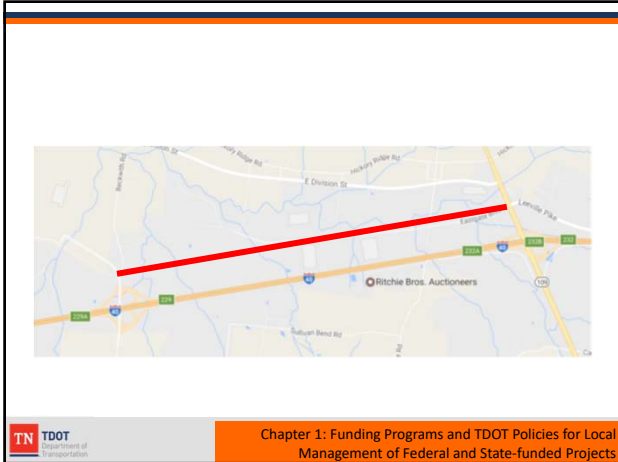
- Match - 50% state/ 50% local
- Project types - connects an interstate to an area of local interest (another major road, industrial park, etc.)
- Cap - \$4 million (total)
- How to apply - send a request letter to the Commissioner with resolution and location map



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30



31

State Industrial Access (SIA)



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

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32

Grant Opportunities

Grant Opportunities

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33

Congestion Mitigation and Air Quality (CMAQ)

- Match – 80% federal/20% local
- Eligible project types (must be in non-attainment or maintenance area):
 - Strategic Initiatives – park and ride, transit, diesel retrofit
 - General Call – traffic flow improvement, bike/pedestrian improvements
- <https://www.tn.gov/tdot/long-range-planning-home/air-quality-planning/cmaq-funding.html>
- Contact – Jennifer Downs (615-253-4671)

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34

Multimodal Access Grant (MMAG)

- Applications due in eGrants October of every year
 - <https://www.tn.gov/tdot/multimodal-transportation-resources/multimodal-access-grant.html>
 - Match – 90% state/ 10% local
 - Next application period is TBD
- Cap – \$1.25 million
- Eligible project types - sidewalks, bicycle lanes, road diets, separated bicycle facilities
- In order to qualify for the Multimodal Access Grant, projects SHALL be located along a State Route
- Contact – TDOT.MultimodalPlanning@tn.gov

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35

Transportation Alternatives Program (TAP)

- Applications due in eGrants October of every year
 - <https://www.tn.gov/tdot/program-development-and-administration-home/local-programs/tap.html>
 - Match – 80% federal/ 20% local
 - Only construction phases funded with award
- Eligible project types – pedestrian facilities, scenic overlooks, historic preservation, safe routes for non-drivers
- Contact – Neil Hansen (615-741-4850)

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36

Poll Time!!!

Which of these funding sources does not use federal dollars?

- a) Federal Lands Access Program (FLAP)
- b) Surface Transportation Block Grant (STBG)
- c) High Priority Bridge Replacement Program (HPBRP)
- d) Highway Infrastructure Program (HIP)

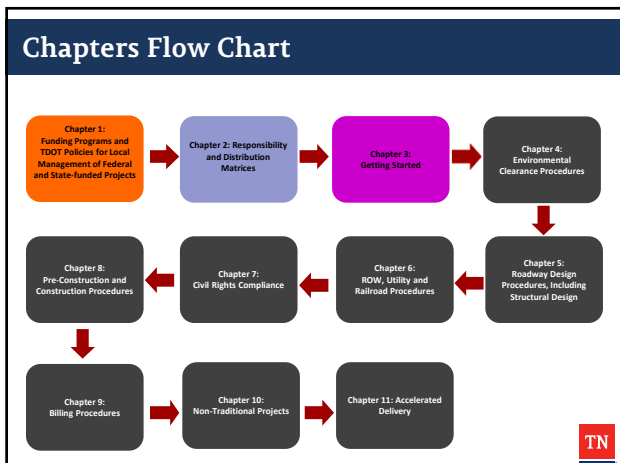
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40

Questions?

TN

41



42

TIP/STIP

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

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Chapter 3: Getting Started

43

TIP/STIP

TIP PROJECT IDENTIFICATION FORM

Project Name: **BRIDGE**

Location: **US 70 OVERPASS**

County: **COVINGTON**

Project Number: **2022 0001**

Project Description: **REPAIR AND REPLACE BRIDGE OVERPASS**

| Project ID | Name | Location | Funding Type | Total Funds | Match | Total Funds | Match |
|------------|--------|----------------|--------------|-------------|-------|-------------|-------|
| 2022 0001 | BRIDGE | US 70 OVERPASS | FEDERAL | \$400,000 | 0% | \$400,000 | 0% |
| 2022 0001 | BRIDGE | US 70 OVERPASS | STATE | \$400,000 | 0% | \$400,000 | 0% |
| 2022 0001 | BRIDGE | US 70 OVERPASS | COUNTY | \$400,000 | 0% | \$400,000 | 0% |
| 2022 0001 | BRIDGE | US 70 OVERPASS | FEDERAL | \$400,000 | 0% | \$400,000 | 0% |

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Chapter 3: Getting Started

44

TIP/STIP

STIP PROJECT REPORT FY 2020 - FY 2023

STIP ID: **12021 0001** Length: **0.5** Route: **SR 202** Amendment: **1** Lead Agency: **710201**

Counties: **COVINGTON**

Project Type: **BRIDGE**

Federal Cost: **\$400,000** TIP No. **2022 0001** Eligibility Status **NEW** LSP No. **2022 0001**

| Fiscal Year | Type of Work | Funding Type | Total Funds | Fed Funds | State Funds | Local Funds |
|-------------|------------------|--------------|-------------|-----------|-------------|-------------|
| 2020 | PAVEMENT CONCRET | FEDERAL | \$1,700,000 | \$500,000 | \$1,200,000 | \$0 |
| 2020 | PAVEMENT CONCRET | FEDERAL | \$1,700,000 | \$500,000 | \$1,200,000 | \$0 |
| 2020 | PAVEMENT CONCRET | FEDERAL | \$1,700,000 | \$500,000 | \$1,200,000 | \$0 |
| 2020 | PAVEMENT CONCRET | FEDERAL | \$1,700,000 | \$500,000 | \$1,200,000 | \$0 |


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Chapter 3: Getting Started

45

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



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46

ITS Projects

- Must determine if ITS **before** placing in TIP/STIP
- Tennessee ITS Project Identification [Form](#) must be completed and submitted
 - LG submits to tdot.trafficops.its-reviews@tn.gov to validate if the project is an ITS project and make the risk determination
 - Risk determination defines the level of documentation needed
- Three ITS project levels determined by TDOT:
 - High Risk (require a completed Systems Engineering Analysis Report (SEAR))
 - Low Risk (require a completed Simplified Systems Engineering Analysis Form (SSEAF))
 - Non-SEA
- TDOT will notify LG if any additional documentation required
- Submit signed form with project initiation packet

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47

Tennessee ITS Project Identification Form

INSTRUCTIONS: Refer to Section 4.2 of the TDOT ITS Project Development Guidelines. Attach or make available any documents referenced in this form when submitting.

SECTION 1 – PROJECT INFORMATION

Agency: _____
 Agency Information (Address, phone number, e-mail, etc): _____

Project Name and Location: _____

New Project
 Modification Project
 Expansion Project

Nature of Work:

| | |
|--|--|
| <input type="checkbox"/> Planning | <input type="checkbox"/> Scoping |
| <input type="checkbox"/> Design Software / Integration | <input type="checkbox"/> Construction |
| <input type="checkbox"/> Operations | <input type="checkbox"/> Maintenance (Equipment Replacement) |
| <input type="checkbox"/> Evaluation | <input type="checkbox"/> Other: _____ |

Please provide the following background information. In most cases, 1-3 sentences will be sufficient for each item.

Brief Description of ITS project objectives – (What is the purpose of the project? What needs are being addressed?):

Project Summary – (What solutions will address the needs? What major elements will be installed? What major function(s) will be performed?)

Work to Date: (Any preliminary planning, investigation of options, associated internal or external systems examined?)

ITS Projects

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48

ITS Projects

SECTION 2 – RISK ASSESSMENT

(For each question, answer Yes, No, Not Sure or NA for not applicable)

- 1 – Will the project depend on **only your agency** to implement and operate?

- 2 – Will the project use **only software** proven elsewhere, with **no new software writing**?

- 3 – Will the project use **only hardware and communications** proven elsewhere?

- 4 – Will the project use **only existing interfaces** (no new interfaces to other systems)?
(If YES include reference)

- 5 – Will the project use **only existing system requirements** that are well documented?
(If YES include reference)

- 6 – Will the project use **only existing operating procedures** that are well documented?
(If YES include reference)

- 7 – Will the project use **only technologies** with service life **longer than 2-4 years**?

SECTION 3 – FUNDING

Identify all that apply: Local Agency State Federal Funds

TIP/STIP Identification and Description:

| | | |
|-----------------------|-----------|------|
| Agency Representative | Signature | Date |
| MORFO Representative | Signature | Date |

FOR TDOT USE ONLY:

| | |
|---|--|
| <input type="checkbox"/> No additional documentation required | <input type="checkbox"/> Inconclusive risk level determination (SSEAF is required) |
| <input type="checkbox"/> Low Risk (SSEAF is required) | <input type="checkbox"/> High Risk (SEAR is required) |

| | | |
|---------------------|-----------|------|
| TDOT Representative | Signature | Date |
|---------------------|-----------|------|

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Chapter 3: Getting Started

49

Online Grant Management Software: TDOT eGrants

To establish account:

- Visit website
 - <https://tdot.intelligrants.com>
- Determine who your agency wants to be the 'agency administrator'
 - This person can add new users to organization

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Chapter 3: Getting Started

50

Project Initiations

- All newly initiated locally managed projects must be submitted through eGrants for all funding types
 - Grant Awards Applications
- Special Projects – Contact Program Monitor before initiating
- Training manual and videos available within the TDOT eGrants system
- Contact your Program Monitor if you have questions

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Chapter 3: Getting Started

51

eGrants Website

TN TDOT Department of Transportation

My Home | My Applications | My Project Initiations | My Projects Under Contract | My Invoices | My Amendments

My Records | My Administration | My Training Materials | My Organizations | My Profile | Logout

Forms Menu | Status Changes | Management

My Training Materials

Click on the links to open, view or print the training materials

| Training Manuals | Training Videos |
|---|---|
| <ul style="list-style-type: none"> Grantee Training Manual LFSG Admin Training Manual | <ul style="list-style-type: none"> LFSG Grantee Training Videos (Part 1) LFSG Grantee Training Videos (Part 2) LFSG Admin Training Video |

Document Information: 2018-STP-Arlington-181

You are here: > Surface Transportation Block Grant M

PROJECT INITIATION

Instructions:

- Fields with an * next to them must be completed.
- After entering all information click the SAVE button.
- To proceed to the next page you may use the Navigation Links at the bottom of the page.
- To return to the Forms menu, click the Forms Menu link above.

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Chapter 3: Getting Started

52

Local Government Managed Project Initiation Checklist and Form

TN TDOT Department of Transportation

Local Government Managed Project Initiation Checklist and Form

Local Government Guidelines Form 3-1
March 5, 2018

Before you fill out a Checklist that will aid you in the process of establishing a locally managed project that your agency wishes to manage and be in operation. 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 Manual. When complete, submit the form to local.transportation@dot.gov

- Description of the Project
 - Location Map (attachment)
 - Description of Project Limits
 - Length of Project
 - Functional Classification (if applicable)
 - Anticipated Project Budget
- List of Consultants Involved in Project (if not seeking reimbursement)
- Local Government's Procurement Policy (Form 1-2, attachment)
- Local Government's Experience
- Resumes/Qualifications for Local Government staff (attachment)
- Responsible Charge Form
- List of Civil Rights Coordinators, Title VI, DBE Liaison
- Copy of any Agreements, Contracts, MOU Or Certification of Compliance Regarding Third Party Contract (attachment)
- Propounder Name
- Method of Bidding Statement (attachment)
- Copy of TDOT Right-of-Way Training Certificate (attachment)
- Copy of Local Government Guidelines Manual Certificate (attachment)
- Copy of Local Government CEI Certificate (attachment)
- Most Recent Audit (attachment or link)
- Purpose and Need Statement (attachment)
- Demolition Services or Land (Federally Funded Only) (attachment)
- Copy of the TIF Page (attachment)
- Copy of Traffic Study Warrant for New Signal (attachment)
- Copy of the TIF Project Identification Form (attachment)
- ADA Transition Plan (link)
- Authorized Signatures

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Chapter 3: Getting Started

53

My Project Initiations

TN TDOT Department of Transportation

My Home | My Applications | My Project Initiations | My Projects Under Contract | My Invoices | My Amendments

My Records | My Administration | My Training Materials | My Organizations | My Profile | Logout

Back

Document Template: [dropdown]

Document Name: 284

Person: [dropdown]

Status: Initiation Packet In Progress

Organization: arlington

Fiscal Year: [dropdown]

SEARCH CLEAR

Export Results to: [Screen] Results Per Page: [20] Sort By: [SELECT] ASCENDING

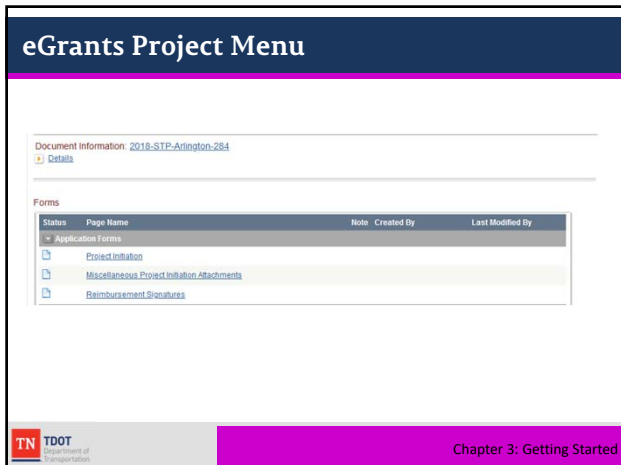
Number of Results: 1

| Document Type | Organization | Name | Current Status | Year |
|------------------------------------|--------------|------------------------|-------------------------------|------|
| Surface Transportation Block Grant | Arlington | 2018-STP-Arlington-284 | Initiation Packet In Progress | 2017 |

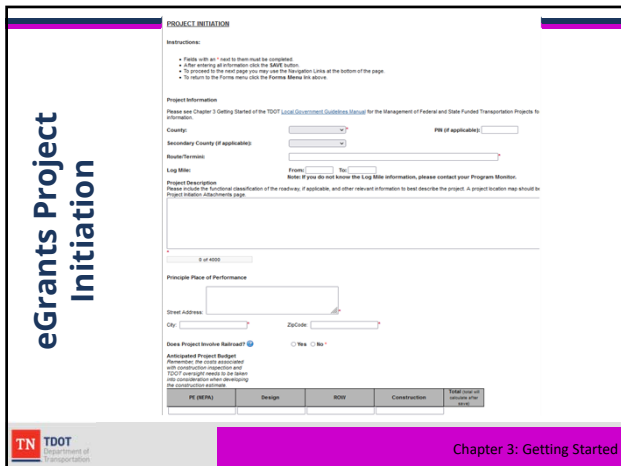
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Chapter 3: Getting Started

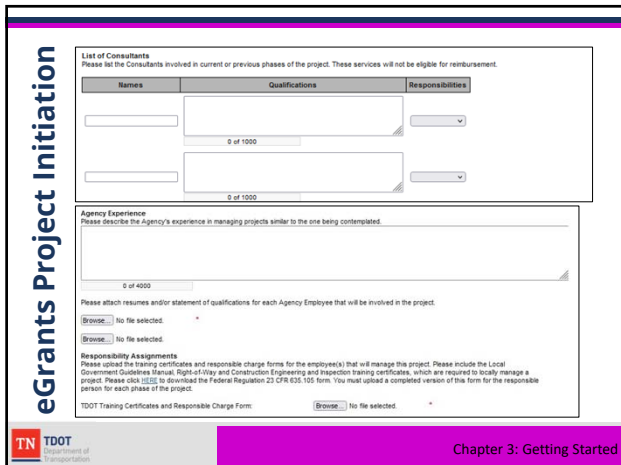
54



55




56



57

Responsible Charge Form


TDOT
 Department of Transportation
 Local Government Guidelines Form 3.1
 March 9, 2018

Responsible Charge Form

In accordance with Federal Regulation 23 CFR 659.105, the Local Government must provide a full-time employee of the Local Government to be its "responsible charge" of the project. This person does not have to be an engineer. This position is required even when consultants have been retained by the LG to manage the entity's engineering activities, including design and construction engineering and inspection services. **Consultants fill gaps for each phase or other all phases if applicable.**

NOTE: The responsible charge and require the same public employees to be in responsible charge over several projects. It allows for the transfer of Responsible Charge duties for different phases, in charge and construction. If design and construction duties are handled by separate individuals on a project, please identify each employee and the phase of the project they are responsible for. **NOTE: Only one employee per phase should be listed. It is only the LG responsibility to notify the TDOT of the Responsible Charge. Change sheets and change orders are OK.**

Project Name: Farragutns Connector Road
File #/Application: 115881.00
Local Government: Greeneville
Responsible Person Name: Jay Tribble Title: City Engineer
Address: 123 Apple Street
Office Phone: 865-555-1234 Cell Phone: 865-432-4567
Email: jay@greeneville.gov
Phases Responsible for: PE (MD/PN) Design ROW Construction

Signature (Responsible Person for the Local Government)
Jay Tribble

Duties may include but are not limited to:
 • The person acts as the primary point of contact for the LG
 • Oversees project activities, cost, time adherence to contract requirements, design and construction quality and scope
 • Ensures the contract is properly executed
 • Checks project staff, agency or consultants to carry out project administration and contract oversight including proper documentation
 • In aware of the qualifications, assignments and on-going performance of the Agency and Consultant at all stages of the project
 • Maintains or participates in oversight about changed conditions or scope changes that require change orders or supplemental agreements
 • Reviews financial processes, transactions and documentation to ensure that obligations are in compliance with budget, statute and policy
 • Maintains familiarity of day to day project operations & safety issues
 • Meets and reviews the project on a frequency that is commensurate with the magnitude and complexity of the project
 • Attends all project related meetings

Page 3 of 6

58

Chapter 3: Getting Started

Civil Rights Staff/ Coordinators

Civil Rights Staff/Coordinators
 Please provide the name of the designated Title VI Coordinator, EEO Officer and DDE Liaison

| Names | Qualifications | Responsibilities |
|----------------------|----------------|---|
| <input type="text"/> | 0 of 1000 | ▼ Title VI Coordinator EEO Officer DDE Liaison All of the Above |
| <input type="text"/> | 0 of 1000 | <input type="text"/> |
| <input type="text"/> | 0 of 1000 | <input type="text"/> |

Third Party Agreements
 Attach a copy of any agreements, contracts, memorandums of understanding or other legal instruments the Agency has entered into with parties other than TDOT that may have bearing on or affect the project in any way. If there are no such agreements, attach the Agency signed affidavit to that effect, which can be viewed [HERE](#).

No selected
 Yes selected


Proprietary Items
 Please provide information about any proprietary items the Agency may wish to use in its performance of the contract. (Proprietary items are those that can be obtained from any one source.) Please provide a list of these items by the Department before they can be used. More information can be found in Chapter 3 of the Local Government Guidelines Manual.

| Item Number | Description | Source |
|----------------------|----------------------|----------------------|
| <input type="text"/> | <input type="text"/> | <input type="text"/> |

59

Chapter 3: Getting Started

Certification of Compliance Re: Third Party Contracts


TDOT
 Department of Transportation
 Local Government Guidelines Form 3.2
 March 9, 2018

Certification of Compliance Regarding Third Party Contracts

FOR PROJECT PIN: 115881.00
 DESCRIBED AS: Farragutns Connector Road

I, Chandler Briss Mayor of Greeneville
 (hereinafter referred to as "Agency") hereby certify by my signature hereunder that:

- The Agency has no understanding or contract with a third party that will conflict with or impede the Project for which the Agency is requesting funding from the Department; and
- The Agency has disclosed and provided to the Department a copy of any and all contracts with any third party that relates to the Project or to any work related to the Project for which the Agency is requesting funding from the Department; and
- The Agency will not enter into any contract with a third party that relates to the Project or to any work for which the Agency is requesting funding from the Department without prior disclosure of such proposed contract to the Department; and
- The Agency acknowledges and agrees that failure to provide this certification may subject the Agency to the denial of funding for this Project.

Signed this, the 16 day of April, 2018

Chandler Briss
 Signature of Mayor

Chandler Briss
 Printed Name of Signatory (above)

60

Chapter 3: Getting Started

eGrants Project Initiation, Cont.

Method of Bidding, Certificates
Please check the box below which describes the method of construction the Agency wishes to use for the project. Federal law requires that the competitive method of construction (set to contract) be used unless there is a TDOT pre-approval of some other method of construction.

Competitively bid Breaks Aid
 Professional Service Contract Local Forces

Most Recent Audit
Agency must submit a certification from an appropriate fiscal officer. This certification must state the Agency has sufficient accounting controls to properly manage Federal Funds. Agencies receiving funds under the program are subject to compliance audits (A-133 Audit Documentation) by the TDOT Fiscal Officer.

Browse No file selected

Purpose and Need

0 of 2000

Donated Services of Land
If Federally Funded, you are required to upload this document.

Browse No file selected Not Applicable

TIF
If Federally Funded, you are required to upload the TIF here.

Browse No file selected Not Applicable

Traffic Study Warrant

Browse No file selected Not Applicable

Local Government of DDOT Services Policy

Browse No file selected Not Applicable

TN TDOT Department of Transportation Chapter 3: Getting Started

61

eGrants Project Initiation

REIMBURSEMENT SIGNATURES

Instructions

- Fields with an * next to them must be completed.
- Only the Agency Official or Administrators can SAVE this page.

Click on the link for [Authorized Signature Form](#). This must be printed, signed and uploaded on this page.

Authorized Signature Form: No file selected

Select the names below of those agency officials and agency administrators who are authorized to sign reimbursement requests. (Include yourself if applicable)

TN TDOT Department of Transportation Chapter 3: Getting Started

62

UEI Number and Authorized Signature Form

Local Government Guidelines Form S-1 August 30, 2022

UEI Number

UEI Number Address (must include 4 digit zip code)

Physical Address of Project (must include 4 digit zip code) PMS#

Authorized Signatures
A minimum of two (2) signatures must be shown to permit flexibility in making requests for reimbursement.

| | |
|----------------------|-----------|
| Typed Name and Title | Signature |
| Typed Name and Title | Signature |
| Typed Name and Title | Signature |
| Typed Name and Title | Signature |

I certify that the signatures of the above individuals are only those persons authorized to sign for the reimbursements requests.

Signature of Highest Elected Official Date

If new, form must be submitted whenever authorized agency changes

TN TDOT Department of Transportation Chapter 3: Getting Started

63

Functional Classifications of Roadways

- [E-trims](#)
- [Long Range Planning](#)

FEDERAL FUNCTIONAL CLASSIFICATION SYSTEM

| URBAN | | RURAL |
|---------------------|--|---------------------|
| Interstate Highways | | Interstate Highways |
| Principal Arterials | | Principal Arterials |
| Minor Arterials | | Minor Arterials |
| Major Collectors | | Major Collectors |
| Minor Collectors | | Minor Collectors* |
| Local Roads* | | Local Roads* |

* Not eligible for Federal Funding

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Chapter 3: Getting Started

64

Project Location Map

Project Location Map

Fidgrouse Connector, Greeneville, Greene County, Tennessee
Page 2

Project Location Map

Project Location Map - US95 Quad Greenville (181 NE)

TDOT PFM 10081.00 - August 6

TDOT
 Department of Transportation

Chapter 3: Getting Started

65

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

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 Department of Transportation

Chapter 3: Getting Started

66

Title VI


- Every government receiving federal-aid must have a comprehensive and proactive 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

TN TDOT Department of Transportation Chapter 3: Getting Started

67

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.



TN TDOT Department of Transportation Chapter 3: Getting Started

68

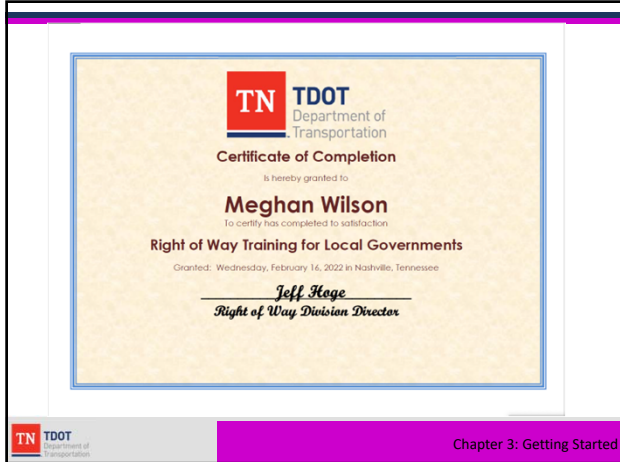


THE UNIVERSITY OF TENNESSEE KNOXVILLE
CENTER FOR TRANSPORTATION RESEARCH
CERTIFIES THAT
Meghan Wilson
HAS COMPLETED THE REQUIREMENTS FOR
Local Government Guidelines Manual Training
Thursday, December 18, 2020 in Nashville, Tennessee
earning
6 Professional Development Hours

David Bell Director Center for Transportation Research
Frank Brown Instructor

TN TDOT Department of Transportation Chapter 3: Getting Started

69



70



71

Competitive Grant Application Programs

APPLICANT INFORMATION

Instructions:

- Fields with an * need to them must be completed.
- After entering all information, click the **SAVE** button.
- To proceed to the next page, you may use the Navigation Links at the top of the page.
- To return to the Forms Menu, click the **Forms Menu** link above.

Application Requirements

- For detailed instructions, access the [Transportation Alternatives Program Instruction Booklet](#).
- Project applications **MUST** be complete and contain all supporting materials as outlined in the application.
- The Transportation Alternatives Program (TAP) is a reimbursement grant program. Local governments are required to pay 100% of all project invoices up-front prior to seeking reimbursement of the 80% federal share.

Application Submittal Information

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

Check box if application was also submitted to the Chattanooga, Knoxville, Nashville, or Memphis MPO for TAP funding consideration.


Project Name and Physical Location

Project Title:

72

Common Mistakes

- Not including a good 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 initiated in eGrants
- Not changing the status in eGrants



TN TDOT Department of Transportation Chapter 3: Getting Started

73

Staffed and Equipped Interview



TN TDOT Department of Transportation Chapter 3: Getting Started

74

What are Small Projects?

| | |
|---|--|
| <p>Small Projects</p> <ul style="list-style-type: none"> ▪ Transportation Alternatives ▪ Intersection improvements without significant ROW (under one acre of disturbance) ▪ Safe Route to Schools ▪ Resurfacing, striping, signing ▪ Guardrail installation ▪ Signalization ▪ Some bridge replacement projects requiring under one acre of acquisition ▪ Non-construction/service contracts (as listed in Chapter 10) ▪ Low risk and non-SEA ITS | <p>Requirements</p> <ul style="list-style-type: none"> ▪ Full-time employee on staff with experience in managing similar projects ▪ Must hire consultants for all phases of the project from TDOT's pre-qualified list; the consultants must be qualified in the required area of expertise <p>NOTE: If local forces are qualified and experienced, the LG can request to Local Programs to do their own engineering and CEI work.</p> |
|---|--|

TN TDOT Department of Transportation Chapter 3: Getting Started

75

What are Mid-Range Projects?

| Mid-Range Projects | Requirements |
|--|---|
| <ul style="list-style-type: none"> Minor roadway widening Realignment of existing roadway Signalization projects with the addition of turn lanes Intersection improvements requiring over one acre of acquisition Bridge replacement projects requiring over one acre of acquisition Projects with environmental requirements greater than a categorical exclusion but less than an EIS High risk ITS | <ul style="list-style-type: none"> Must have qualified full-time professional engineer on staff Must hire consultants for all phases of the project from TDOT's pre-qualified list; the consultants must be qualified in the required area of expertise The selected CEI consultant shall not be associated with any other aspect of the project |

TN TDOT Department of Transportation Chapter 3: Getting Started

76

What are Large Projects?

| Large Projects | Requirements |
|---|---|
| <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> Must have qualified full-time professional engineer on staff with extensive experience working with federally-funded transportation projects Must hire consultants for all phases of the project from TDOT's pre-qualified list; the consultants must be qualified in the required area of expertise The selected CEI consultant shall not be associated with any other aspect of the project |

TN TDOT Department of Transportation Chapter 3: Getting Started

77

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 **and/or**
- If your LG is not adequately staffed and equipped for the type of project initiated

TN TDOT Department of Transportation Chapter 3: Getting Started

78

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:

TN TDOT Department of Transportation

Chapter 3: Getting Started

79

Local Agency Project Agreement

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:

Summary of Phase II of the Tennessee Intermodal Road Show for the road of Phase I on Fingerprint Circle to Park Trestle Road

A. PURPOSE OF AGREEMENT

A.1 Purpose:

- The purpose of this Agreement is to provide for the Department's participation in the project as further described in Exhibit A attached hereto and by this reference make a part hereof (hereinafter called the "Project") and state the terms and conditions on which the project will be undertaken and completed.

A.2 Modifications and Additions:

- Exhibits A are attached hereto and by this reference make a part hereof.

Revised 10/10/19 Version 1.1 1

TN TDOT Department of Transportation

Chapter 3: Getting Started

80

Accomplishment of Project

Federally Funded, Locally, TDOT, or Combination Managed

B. ACCOMPLISHMENT OF PROJECT

B.1 Contract Obligations:

| Contractual Obligation to: | Responsible Party: | Funding Provided for Agency or Project: |
|----------------------------|--------------------|---|
| Agency | Agency | Project |
| Project | Agency | Project |
| Agency | Agency | Project |
| Project | Agency | Project |

B.2 Completion Date:

- The Agency agrees to complete the herein accepted plan of the Project on or before **October 31, 2017**. If the Agency does not complete the herein accepted plan of the Project within the time period, this Agreement will expire on the last day of calendar compliance as provided in the paragraph within six months of the time period as required by the Agency and passed to the Department prior to the expiration of the Agreement. All extensions of the term of this Agreement will be reflected through an amendment to the Agreement. Expenses of this Agreement will be incurred irrespective of the Project. The cost of any work performed after the expiration date of this Agreement will not be reimbursed by the Department.

Revised 10/10/19 Version 1.1 2

TN TDOT Department of Transportation

Chapter 3: Getting Started

81

Project Schedule

| Activity Month/Year | PM |
|--|----|
| Begin NEPA Phase | ✓ |
| Select Consultant | ✓ |
| Submit Environmental Document to TDOT for Review | ✓ |
| Begin Design Phase | ✓ |
| Submit Preliminary Engineering Plans to TDOT for Review | ✓ |
| Submit Right-of-Way Plans to TDOT for Review | ✓ |
| Begin Right-of-Way acquisition if Applicable, and Utilities Coordination | ✓ |
| Submit ROW, Utility and Railroad Estimates to TDOT | ✓ |
| Submit Construction Plans to TDOT for Review | ✓ |
| Submit Construction Estimate to TDOT for Review | ✓ |
| Submit Bid Book and Advertisement to TDOT for Review | ✓ |
| Advertise Project for Bids | ✓ |
| Hold Bid Opening | ✓ |
| Submit Bid Tabs to TDOT for Approval | ✓ |
| Award Project | ✓ |
| Hold Pre-Construction Conference | ✓ |
| Date Completed | |

Chapter 3: Getting Started

85

TDOT Contract Steps

1. Contract sent to LG through Adobe Sign
2. LG reviews the contract and returns with Mayor and Attorney's signatures
3. TDOT requests obligation of NEPA funds
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

Chapter 3: Getting Started

86

Contract Amendments

- Changing the project's scope
- Adding a new funded phase to the project
- Adding a new funding type to the project
- Increasing the funding by a large amount
- Extending the completion date
- Changing/adding project numbers
- Changing responsibilities of phases
- Correcting errors made on the original contract

Chapter 3: Getting Started

87

Initiating Amendments in eGrants

- If your project is not in eGrants, contact your Program Monitor to initiate an amendment
- If your project is in eGrants, create an amendment request in the related items menu for that project

Surface Transportation Block Grant Menu - Related Items

The various sections below can link to items that are associated with this document.

Document Information: [2015-STP-TDOT Test Agency Co-048](#)
[Details](#)

Related Documents

Sort search results by: [Selected] Filter by Document Type: [Go]

| Document Type | Name | Current Status | Period Dates / Task Dates | Created By | Last Modified By |
|----------------------------------|--|----------------|---------------------------|------------|------------------|
| STBG - NEPA Invoice 2017 | Initiate a STBG - NEPA Invoice 2017 | | | | |
| Surface Transportation Amendment | Initiate a Surface Transportation Amendment 2017 | | | | |

TN TDOT Department of Transportation Chapter 3: Getting Started

88

Initiating Amendments in eGrants

Surface Transportation Amendment Menu - Forms

Please complete all required forms below.

Document Information: [AMD-01-123369.00-Anderson](#)
 Parent Information: [2015-STP-TDOT Test Agency Co-048](#)
[Details](#)

Forms

| Status | Page Name | Note | Created By | Last Modified By |
|--------|-------------------|------|--------------|---------------------|
| | Amendment Forms | | | |
| | Amendment Request | | Kimery Grant | 8/4/2017 3:28:48 PM |

TN TDOT Department of Transportation Chapter 3: Getting Started

89

Initiating Amendments in eGrants

AMENDMENT REQUEST

Instructions:

- Fields with an * next to them must be completed.
- After entering all information click the SAVE button.
- To proceed to the next page you may use the RelatedPages section at the bottom of the page.
- To return to the Forms menu click the Forms Menu link above.

Agency: TDOT Test Agency Co
 PIN:
 Route/Team:
 Federal Project No:
 State Project No:
 Type of Work:
 Check all applicable:
 Contract Expired Scope Revision
 Change in Funding Other
 Reason for Amendment:

TN TDOT Department of Transportation Chapter 3: Getting Started

90

Poll Time!!!

What is required for an agency to manage mid-range and large projects?

- a) **Qualified full time professional engineer on staff**
- b) Population over 5,000
- c) Project involves a state route
- d) At least 50 employees on staff

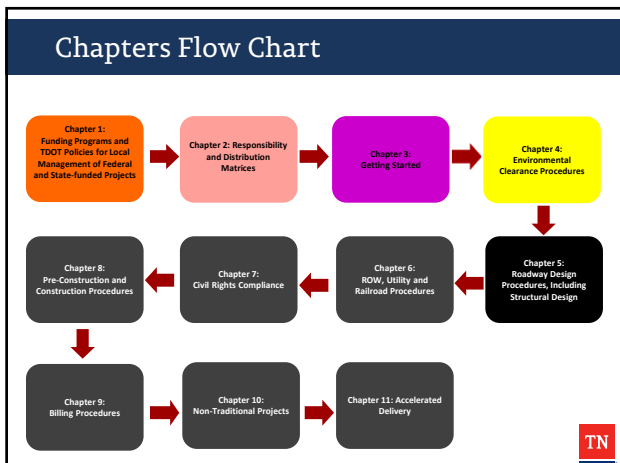
TN TDOT Department of Transportation Chapter 3: Getting Started

91

Questions?

TN TDOT Department of Transportation Chapter 3: Getting Started

92



93

Environmental Contact Information

Tennessee Department of Transportation
 James K. Polk Building, Suite 900
 Environmental Documentation Division
 505 Deaderick Street
 Nashville, Tennessee 37243-7120
TDOT.Env.LocalPrograms@tn.gov

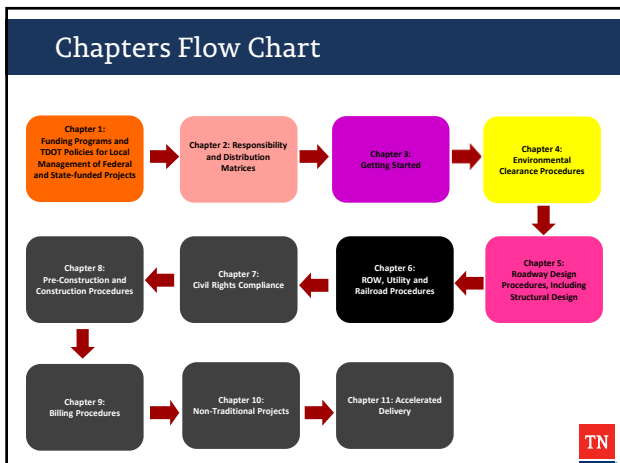
TN TDOT Department of Transportation Chapter 4: Environmental Clearance Procedures

106

Questions?

TN TDOT Department of Transportation Chapter 4: Environmental Clearance Procedures

107



108

Submitting Large Files

- Maximum email size ~ 30MB
- New system for large file sharing: TENN CLOUD to OneDrive
- Contact your Program Monitor for a link, if needed

TN TDOT Department of Transportation Chapter 5: Roadway Design Procedures, Incl Structural Design

115

Submitting Large Files

- Sending large files to LPDO
 - Let Program Monitor know you have a file(s) to submit; you will be provided a link
 - Open link, click "Upload File" button, and attach file(s)
 - Let Program Monitor know that files have been uploaded

TN TDOT Department of Transportation Chapter 5: Roadway Design Procedures, Incl Structural Design

116

Design Policies Checklist

5 Feet Wide (Min) **10 Feet Wide (Min)**

DESIGN POLICIES CHECKLIST AND CERTIFICATION

| | | | | | |
|----------------|--|-----|-------|-------------|-------------|
| Contract: | Contract Name | PI# | PI# # | Federal No. | Federal No. |
| Project Terms: | Project Location & Terms | | | State No. | State No. |
| Plan Set: | Preliminary, ROW, Construction, or Final | | | County | County |

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

| | | | |
|---|--|---|----------------------------------|
| <input type="checkbox"/> New Lanes | <input type="checkbox"/> Bridge | <input type="checkbox"/> Widening | <input type="checkbox"/> 10 Feet |
| <input type="checkbox"/> Full/Partial | <input type="checkbox"/> New/Traditional | <input type="checkbox"/> New Alignment | |
| <input checked="" type="checkbox"/> Interchange | <input type="checkbox"/> SIA | <input checked="" type="checkbox"/> Greenway/Multiuse Path | <input type="checkbox"/> 10 Feet |
| <input checked="" type="checkbox"/> Sidewalk | <input type="checkbox"/> Signalization | <input type="checkbox"/> Other (click to enter type of other) | <input type="checkbox"/> 10 Feet |

Estimated ROW to be acquired: _____ of acres Area: _____ of acres Ticks: _____

Summary of proposed work: _____

Project Specifics (check all that apply):

| | | | |
|--|---|---|--|
| <input type="checkbox"/> Full Lanes, 10' or Greater | <input type="checkbox"/> Taper Lanes | <input type="checkbox"/> Curb/Gutters | <input type="checkbox"/> Flushing Basins |
| <input type="checkbox"/> Lane Width 8' & Shoulders | <input type="checkbox"/> Median (10' or 8') | <input type="checkbox"/> Pedestrian Paths | <input type="checkbox"/> Stormwater Catch Basins |
| <input type="checkbox"/> Lane Width 8' & Center Turn Lanes | <input type="checkbox"/> Signalization | <input type="checkbox"/> Stormwater Detention | <input type="checkbox"/> Stormwater Detention |
| <input type="checkbox"/> New Construction | <input type="checkbox"/> Pavement Markings | <input checked="" 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) | |

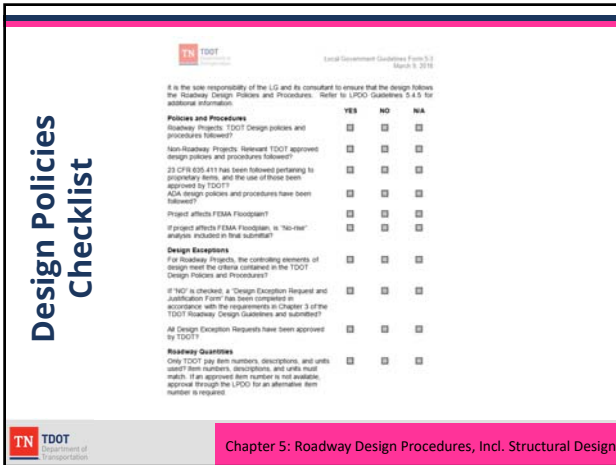
Letting Type: Locally Let State Let Other (click to enter other)

Designer Information:

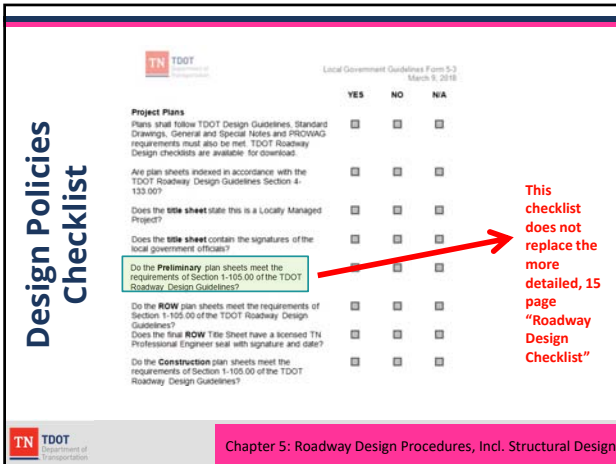
Designer Name: _____
 Contact Number: _____
 Contact Email: _____

TN TDOT Department of Transportation Chapter 5: Roadway Design Procedures, Incl. Structural Design

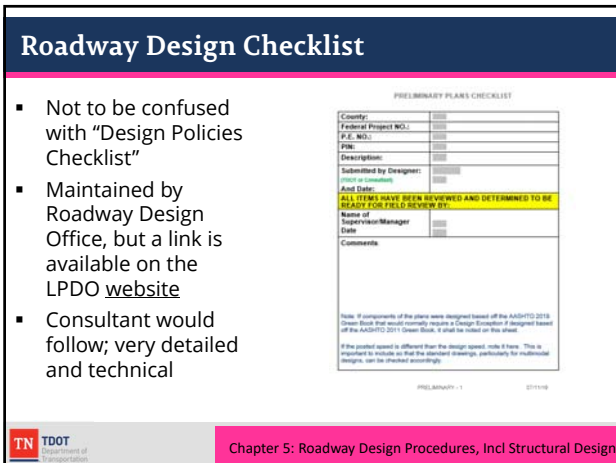
117



118



119



120

Design Policies Checklist

- Now incorporates former Design Certification Letter (old Form 5-4)

| DESIGN CERTIFICATION | | YES | NO | N/A |
|--|--|-------------------------------------|----|-----|
| Project Commitments On the plans contain a comprehensive inclusion of all Project Commitments, including Planning, Right-of-Way and Environmentals? | | | | |
| List below the project commitments that have been made and are reflected in the plans. | | | | |
| Click here to enter text. | | | | |
| Click here to enter text. | | | | |
| Click here to enter text. | | | | |
| Click here to enter text. | | | | |
| No Formal Design Exception is Required By checking the box to the right, this certifies all TDOT Roadway Design Policies and Procedures and all federal and state laws and regulations have been followed and the criteria for the controlling elements of design have been met. Appropriate standards and guidelines used during the development of the project have also been met. | | | | |
| <input type="checkbox"/> | | | | |
| Formal Design Exception is Required By checking the box to the right, this certifies all TDOT Roadway Design Policies and Procedures and all federal and state laws and regulations have been followed and have been met and Formal approval of a Design Exception has been received from the TDOT Design Division Local Program Coordinator. All other elements of the design meet the criteria for the controlling elements of design. Appropriate standards and guidelines used during the development of the project have also been met. | | | | |
| <input type="checkbox"/> | | | | |
| In an attached document, please provide an explanation for any responses marked "NO". Include references to support any designs that do not meet TDOT's minimum standards as indicated. | | | | |
| Local Official Responsible Charge Type Name Here | | Design Consultant Type Name Here | | |

TN TDOT Department of Transportation Chapter 5: Roadway Design Procedures, Incl. Structural Design

121

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 may be submitted and reviewed by TDOT up to 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.)

TN TDOT Department of Transportation Chapter 5: Roadway Design Procedures, Incl Structural Design

122

Common Mistakes

- If ROW is to be acquired (or easements required) 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, along with a signed Form 5-3
- Not labeling plans appropriately
- All layers need to be turned on when submitted

| TRACT | PROJECT CARRIER | COUNT NUMBER | | | AREA | | | AREA TO BE ACQUIRED | | | ADDITIONAL COMMENTS | | |
|-------|-----------------|--------------|------|-------|------|------|-------|---------------------|------|-------|---------------------|------|-------|
| | | PLAN | DEED | TRACT | PLAN | DEED | TRACT | PLAN | DEED | TRACT | PLAN | DEED | TRACT |
| 1 | ... | ... | ... | ... | ... | ... | ... | ... | ... | ... | ... | ... | ... |
| 2 | ... | ... | ... | ... | ... | ... | ... | ... | ... | ... | ... | ... | ... |

TN TDOT Department of Transportation Chapter 5: Roadway Design Procedures, Incl Structural Design

123

Poll Time!!!

In which phase can early utility notification begin?

- a) Initiation
- b) NEPA
- c) Design**
- d) ROW

TN TDOT Department of Transportation Chapter 5: Roadway Design Procedures, Incl Structural Design

124

ADA - PROWAG

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

TN TDOT Department of Transportation Chapter 5: Roadway Design Procedures, Incl Structural Design

125

ADA - PROWAG

- TDOT adopted [PROWAG Guidelines](#) in 2014
- Basic maintenance items do not require ADA upgrades
 - Pot-hole repair, crack fills/seals, **signal maintenance**, etc.
- New Construction and Alteration projects **DO** require ADA upgrades
 - Resurfacing
 - Reconstruction
 - New construction
- Make sure to consider additional costs in early project budgeting (any 80% items?)

TN TDOT Department of Transportation Chapter 5: Roadway Design Procedures, Incl Structural Design

126

ADA - PROWAG

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

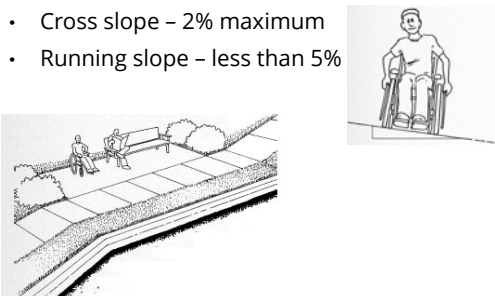


TN TDOT Department of Transportation Chapter 5: Roadway Design Procedures, Incl Structural Design

127

ADA - PROWAG

- Important ADA sidewalk considerations
 - Cross slope – 2% maximum
 - Running slope – less than 5%




TN TDOT Department of Transportation Chapter 5: Roadway Design Procedures, Incl Structural Design

128

ADA Guidance

- Incorporated into the existing [TDOT Roadway Design Guidelines](#)
- Section 9 – Multimodal Design- provides guidance by project type
 - New Construction, Alteration, Resurfacing and Signalization
- Significant clarification to what counts as a “Maintenance” project – **especially signalization**



TN TDOT Department of Transportation Chapter 5: Roadway Design Procedures, Incl Structural Design

129

ADA Transition Plans*

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

*required if the LG has 50 or more employees

TN TDOT Department of Transportation Chapter 5: Roadway Design Procedures, Incl Structural Design

130

TDOT ADA Coordinator

Tennessee Dept. of Transportation
 505 Deaderick Street #400
 Nashville, TN 37243
 615- 741-4984
 V/TTY 615-253-8311
tdot.ada@tn.gov

TN TDOT Department of Transportation Chapter 5: Roadway Design Procedures, Incl Structural Design

131

Next Steps

- In addition to Design Division review comments, you 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

TN TDOT Department of Transportation Chapter 5: Roadway Design Procedures, Incl Structural Design

132

Poll Time!!!

In which phase are ROW plans submitted and reviewed?

- a) Initiation
- b) NEPA
- c) Design**
- d) ROW

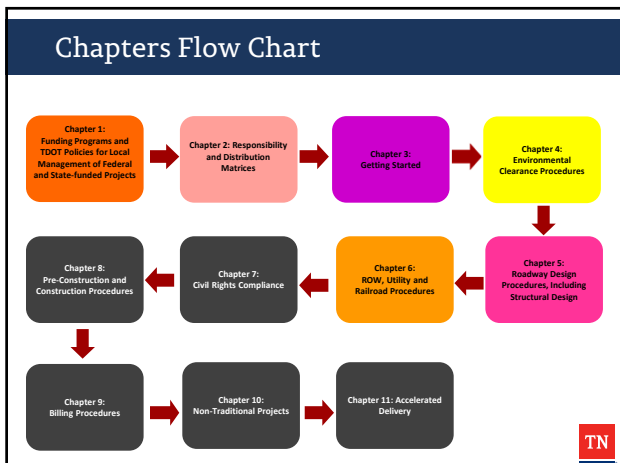
TN TDOT Department of Transportation Chapter 5: Roadway Design Procedures, Incl Structural Design

133

Questions?

TN TDOT Department of Transportation Chapter 5: Roadway Design Procedures, Incl Structural Design


134



135

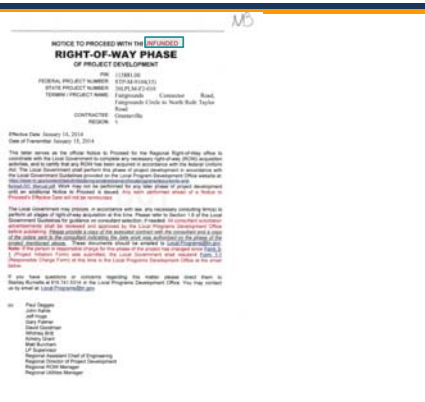
Right-of-Way Phase


- LPDO will Request Right-of-Way funding when applicable
 - Includes acquisitions & utility relocation
- 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


Chapter 6: ROW, Utility and Railroad Procedures

136

ROW Notice to Proceed





Chapter 6: ROW, Utility and Railroad Procedures

137

Regional ROW Office – Initial Contact

- You will be contacted by Regional ROW Office
- LG will submit and discuss project plans
- TDOT will provide and explain the "[TDOT ROW Procedures Manual](#)"
- TDOT will provide an overview of the title report, donation, appraisal, appraisal review, negotiation, administrative settlements, relocation (if applicable) and the closing/condemnation processes
- TDOT will provide generic forms as needed


Chapter 6: ROW, Utility and Railroad Procedures

138

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(s) during Design Phase
- Separate work order must be provided for each phase of the project

TN TDOT Department of Transportation Chapter 6: ROW, Utility and Railroad Procedures

139

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

TN TDOT Department of Transportation Chapter 6: ROW, Utility and Railroad Procedures

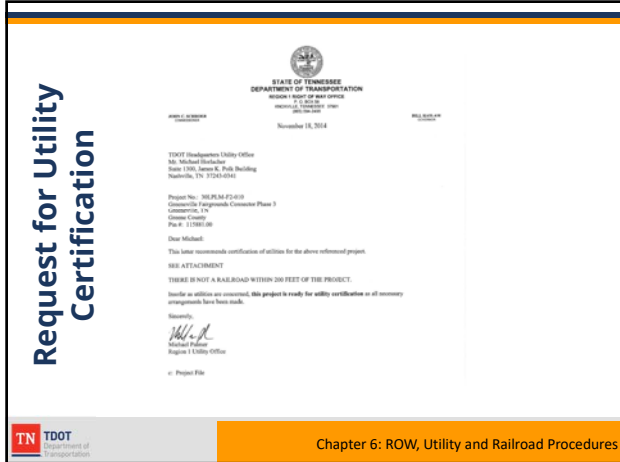
140

ROW Submittals

- ROW documents are submitted to Regional LPA Coordinator
- Utility documents are submitted to Regional Utility Coordinator. **NOTE: Utilities that are on public right-of-way will be relocated at the utility's expense**
- Affected utilities are sent a copy of ROW plans, cross-sections & project specifics (be able to prove this contact)
- Railroad coordination documents are submitted to Railroad Coordinator
- License Agreement documents are submitted to Regional Excess Lands Coordinator
- Can be done concurrently

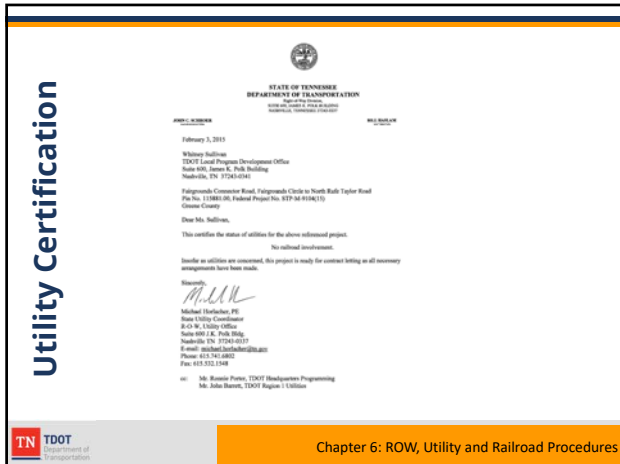
TN TDOT Department of Transportation Chapter 6: ROW, Utility and Railroad Procedures

141



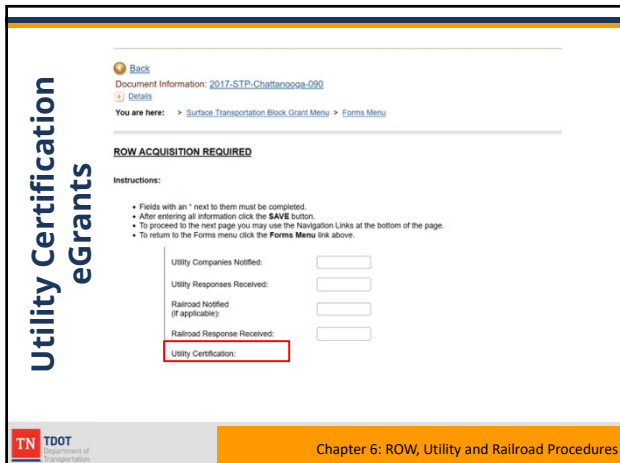
Chapter 6: ROW, Utility and Railroad Procedures

142



Chapter 6: ROW, Utility and Railroad Procedures


143



Chapter 6: ROW, Utility and Railroad Procedures

144

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

TN TDOT Department of Transportation Chapter 6: ROW, Utility and Railroad Procedures

145


Request for ROW Certification



TN TDOT Department of Transportation Chapter 6: ROW, Utility and Railroad Procedures

146

ROW Certification



TN TDOT Department of Transportation Chapter 6: ROW, Utility and Railroad Procedures

147

ROW Certification eGrants

Right of Way Forms

| | | |
|-------------------------------|--------------------------------------|--|
| ROW Acquisition Required | | |
| Miscellaneous ROW Attachments | Melissa Kelly 3/9/2021 8:58:58 AM | Meghan Wilson 3/22/2021 10:46:35 AM |
| TDOT ROW | Grant System 9/20/2020 3:03:27 PM | Meghan Wilson 10/22/2020 9:58:12 AM |

Refer to [Local Government Guidelines Manual Chapter 6](#) for additional information with ROW procedures and processes.

DO NOT PROCEED WITH THE ROW PHASE UNTIL YOU HAVE BEEN CONTACTED BY THE REGIONAL ROW REPRESENTATIVE. DOING SO COULD RESULT IN A LOSS OF FUNDING.

Contacted by TDOT Regional ROW Coordinator: _____

Notice To Proceed Received: 10/22/2020 [Click here to view Notice to Proceed document](#)

Consultant Firm Hiring ROW Agents through Subcontracts

Please refer to Chapter 6 in the [Local Government Guidelines Manual](#) regarding the appropriate processes when hiring ROW agents and the required separation of roles.

Review Appraiser Hired: N/A

Appraiser Hired: N/A

Negotiator Hired: N/A

Relocation Agent Hired: N/A

Closing Agency Hired: N/A

All Properties Acquired:


ROW Certification:

TN TDOT Department of Transportation

Chapter 6: ROW, Utility and Railroad Procedures

148

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

TN TDOT Department of Transportation

Chapter 6: ROW, Utility and Railroad Procedures

149

Examples of Reimbursable ROW Activities

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

TN TDOT Department of Transportation

Chapter 6: ROW, Utility and Railroad Procedures

150

Poll Time!!!

If land acquisition procedures are found to be flawed state and federal funding may be withdrawn for every phase of a project.

a) True
b) False

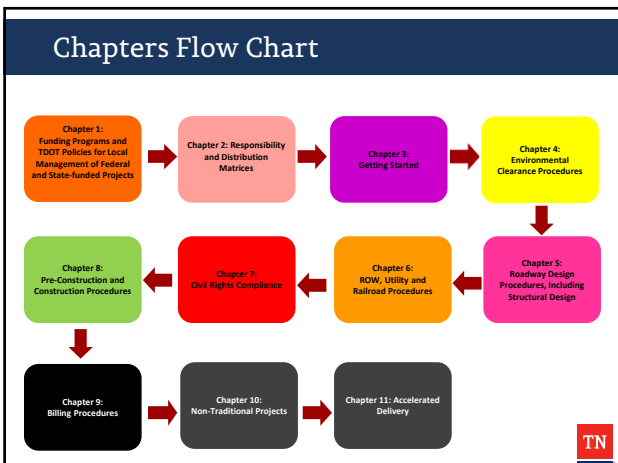
TN TDOT Department of Transportation Chapter 6: ROW, Utility and Railroad Procedures

151

Questions?

TN TDOT Department of Transportation Chapter 6: ROW, Utility and Railroad Procedures

152



153

Pre-Construction Activities

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

TN TDOT Department of Transportation Chapter 8: Pre-Construction and Construction Procedures

154

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
- Should be the same person as "Responsible Charge" of construction (Form 1-1 or Form 3-1)
- As such, this person should take Level 1 CEI training

TN TDOT Department of Transportation Chapter 8: Pre-Construction and Construction Procedures

155

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
<https://www.tn.gov/tdot/civil-rights/small-business-development-program.html>
 - Submit a completed Construction Advertisement Authorization Checklist, Form 8-2
 - Minimum Ad Requirements can be found in Form 8-3

TN TDOT Department of Transportation Chapter 8: Pre-Construction and Construction Procedures

156

Disadvantaged Business Enterprise (DBE)

- All federally-funded projects should be assessed for inclusion of DBEs
- All federally funded projects where the Construction costs are estimated 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



Chapter 8: Pre-Construction and Construction Procedures

157

Tips on DBE Goal Setting

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 examples).
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 % DBE 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 Neece with any further questions at (615) 741-3683 or toll free (888) 370-3647 or email David.Neece@dot.gov.



Chapter 8: Pre-Construction and Construction Procedures

158

DBE Goals Worksheet

DBE GOALS WORKSHEET

| ITEM NO. | WORK DESCRIPTION | COST | % OF TOTAL DBE goal portion | EST % |
|---------------------|---------------------------------|-------|-----------------------------------|-------|
| _____ | Construction Notes, Specs, Etc. | _____ | _____ | _____ |
| _____ | Cleaning & Grouting | _____ | _____ | _____ |
| _____ | Rein & Drainage Pipes (Steel) | _____ | _____ | _____ |
| _____ | Excavation Control | _____ | _____ | _____ |
| _____ | Hand (Shovel & Auger) | _____ | _____ | _____ |
| _____ | Soiling Prevention | _____ | _____ | _____ |
| _____ | Applicator | _____ | _____ | _____ |
| _____ | Cuts, Curbsides, Embank. Etc. | _____ | _____ | _____ |
| _____ | Concrete Patchwork | _____ | _____ | _____ |
| _____ | Handed | _____ | _____ | _____ |
| _____ | Big Rip | _____ | _____ | _____ |
| _____ | Concrete Median Barrier | _____ | _____ | _____ |
| _____ | Traffic Control | _____ | _____ | _____ |
| _____ | Permanent Markings | _____ | _____ | _____ |
| _____ | Signification Work | _____ | _____ | _____ |
| _____ | Soil, Not Landscaping Etc. | _____ | _____ | _____ |
| BRIDGE ITEMS | | | | |
| _____ | Reinforcing Steel | _____ | _____ | _____ |
| _____ | Reinforcing Steel (Bridge Deck) | _____ | _____ | _____ |
| _____ | Formwork Casting | _____ | _____ | _____ |
| _____ | Rein Concrete Median/Parapet | _____ | _____ | _____ |
| | | | TOTAL | _____ |
| | | | GOAL | _____ |



Chapter 8: Pre-Construction and Construction Procedures

159

Construction Advertisement Authorization Checklist

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 | PROXIMAL PAGE | COMMENTS |
|--|--------------------------|--------------------------|--------------------------|---------------------------|
| PS&E approved by Local Government | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Specifications to be used |
| Proprietary items specified (23 CFR 416.411) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Standards to be used |
| ALL PERMITS have been obtained | <input type="checkbox"/> | <input type="checkbox"/> | | |
| <ul style="list-style-type: none"> TDEC ANAP TDEC §401 WQ Certification CSE §404 TVA Section 216 TWRA NPDES USCG Bridge Permit LOCAL Permits | <input type="checkbox"/> | <input type="checkbox"/> | | Date: _____ |
| NEPA document approved | <input type="checkbox"/> | <input type="checkbox"/> | | Date: _____ |
| Any environmental commitments | <input type="checkbox"/> | <input type="checkbox"/> | | |
| ALL UTILITIES agreements have been completed | <input type="checkbox"/> | <input type="checkbox"/> | | |
| ALL SOCIAL agreements have been completed | <input type="checkbox"/> | <input type="checkbox"/> | | |
| Does the Proposal Contract have a defined completion date | <input type="checkbox"/> | <input type="checkbox"/> | | Date: _____ |

Chapter 8: Pre-Construction and Construction Procedures

160

Notice to Contractors

Local Government Guidelines Form 8-3
 March 9, 2018

**NOTICE TO CONTRACTORS
OF CONSTRUCTION BIDS**

BIDS TO BE RECEIVED BY:

Sealed bids will be received by the [CITY/COUNTY OF JURISDICTION NAME] at the office of [ADDRESS] until [TIME] [DAYS/LOCAL TIMEZONE] [DATE] and opened publicly at [ADDRESS] at that hour. The reading of the bids will begin at [TIME] [AM/PM] [LOCAL TIMEZONE].

TDOT PIN: [TDOT PIN #]
 Federal Project No.: [FEDERAL PROJECT #]
 State Project No.: [STATE PROJECT #]

PROJECT DESCRIPTION

THIS PROJECT INVOLVES: [] (THE PROJECT IS LOCATED AT: []) (THE WORK TO BE DONE CONSISTS OF: []) (THE TOTAL PROJECT LENGTH IS: [])

PROXIMAL CONTRACTS WILL BE ISSUED UNTIL THE TIME SET FOR OPENING BIDS

A Prime Contractor must comply with the Department of Transportation in accordance with Section 54-5-117 of the "Tennessee Code Annotated" and Tennessee Department of Transportation Rule 1000-0-3 (prequalification of contractors before bid date) processes will be furnished.

The [CITY/COUNTY OF JURISDICTION NAME] hereby notifies all bidders that a DISB GOAL (Disadvantaged Business Enterprise goal) has been set for this project and must be met or exceeded.

The [CITY/COUNTY OF JURISDICTION NAME] hereby notifies all bidders that it will affirmatively procure that in any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded fair opportunity to submit bids in response to this invitation, and will not be discriminated against on the grounds of age, race, color, religion, national origin, sex, or disability in consideration for all awards for Disadvantaged Business Enterprise (DBE) goal has been set on this contract. However, the use of DBE or minority-owned contract firms are encouraged.

The [CITY/COUNTY OF JURISDICTION NAME] is an equal opportunity affirmative action employer that does not discriminate on the basis of race, religion, color, national or ethnic origin, age, disability or military service. The [CITY/COUNTY OF JURISDICTION NAME] (TELEPHONE NUMBER WITH AREA CODE) AND [TIME] (AM/PM) [LOCAL TIMEZONE] ON [DATE] for a non-refundable fee of [FEE AMOUNT] (IN \$).

THE RIGHT TO REJECT ANY AND ALL BIDS IS RESERVED

Bidding documents and information, and plans, may be obtained at the office of [ADDRESS] (TELEPHONE NUMBER WITH AREA CODE) AND [TIME] (AM/PM) [LOCAL TIMEZONE] ON [DATE] for a non-refundable fee of [FEE AMOUNT] (IN \$).

NOTE TO PUBLISHER: The above notice is to be published no later than [DATE]. It is

Chapter 8: Pre-Construction and Construction Procedures

161

Design Consultant Responsibilities


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

Chapter 8: Pre-Construction and Construction Procedures

162

Plans, Specification, and Estimates (PS&E) Package


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

 **Chapter 8: Pre-Construction and Construction Procedures**

163

PS&E Package (Plans)


- Construction Plans (including Form 5-3) 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

 **Chapter 8: Pre-Construction and Construction Procedures**

164

PS&E Package (Estimate)

- Detailed cost estimate must be submitted for review and concurrence
 - Must be comprehensive
 - Must contain TDOT item numbers
 - Must not contain contingency items
 - No additive/deductive alternates
 - Either/or alternates allowed
 - Final Estimate will not be reviewed until the Final Stamped Construction Plans are submitted

 **Chapter 8: Pre-Construction and Construction Procedures**

165

Permit Certification

- Form 8-0 Environmental Permitting Certification Form
- Send all related inquiries/materials to: TDOT.ENV.PermitsLG@tn.gov

TN TDOT Department of Transportation **Chapter 8: Pre-Construction and Construction Procedures**

166

Environmental Permitting Certification Form

TN TDOT Department of Transportation **Chapter 8: Pre-Construction and Construction Procedures**

167

Permit Certification

Mr. [Name],

As you requested, I have reviewed the information you provided regarding the subject project. This includes your email statement that you, in accord with the Environmental Division's memo on requirements for TDOT environmental approvals, have determined that no permits are required (no water resource impacts will occur on the project and it will disturb less than one acre of land).

I concur that this project is ready for construction, as far as environmental permits are concerned. This opinion is based solely on the information you have provided to me, with no independent investigation by this office.

Any changes in the project scope that result in water resource impacts or additional land disturbance may require permits, and additional review by this office will be needed.

Please let me know if you have any questions.

Thanks,

TN

James E. Park, PE, CPESC | Permit Section Manager
Environmental Division
James E. Park Bldg, 9th Floor
333 Davidson St., Nashville, TN 37243
p: 615-532-4554
jpark@dot.gov
dot.gov

TN TDOT Department of Transportation **Chapter 8: Pre-Construction and Construction Procedures**

168

Pre-Construction & Construction Procedures

- Common mistakes:
 - Not using standard bid book template
 - Using incorrect bid bond form
 - Contradictory language
 - Out of Date Standard and Supplemental Specifications, Special Provisions, and Wage Rates
 - Not uploading documents to eGrants

Chapter 8: Pre-Construction and Construction Procedures

169

eGrants ROW Acquisition Required

Chapter 8: Pre-Construction and Construction Procedures

170

eGrants ROW Acquisition Required

Chapter 8: Pre-Construction and Construction Procedures

171

Poll Time!!!

DBE goals are required for both federally and state funded projects over \$500,000.

a) True
b) False

TN TDOT Department of Transportation Chapter 8: Pre-Construction and Construction Procedures

172

Upon Review and Concurrence of Submittals:

- Your Program Monitor will:
 - Request Obligation of Construction Funds
 - Receive Confirmation of the Obligation of Funds
 - Issue the NTP for Construction Phase

TN TDOT Department of Transportation Chapter 8: Pre-Construction and Construction Procedures

173

Notice to Proceed with the Funded Construction Phase

NOTICE TO PROCEED WITH THE FUNDED CONSTRUCTION PHASE

FEDERAL PROJECT NUMBER: 017JX500010
 STATE PROJECT NUMBER: 2021R2M-F3-021
 FEDERAL PROJECT NAME: Fayetteville - Cherokee Road, from Fayetteville Clovis to North Bull Taylor Road
 CONTRACTOR: Cimarrone
 REGION: 3

Effective Date: March 30, 2023
 Date of Issuance: March 29, 2023

This letter serves as your official Notice to Proceed with the above referenced phase of work for the above project. The Local Government shall confirm the receipt of all required documents in accordance with the Local Government Guidelines provided on the Local Program Development Office website at <http://tdot.tn.gov/transportation/construction/programdevelopmentoffice/contracting> and email confirmation to tdot@tdot.tn.gov. This work performance phase of a Notice to Proceed is Effective Date and not the construction.

This work proceeds in accordance with the existing engineering firm to do all phases of construction at the site during which to ensure 100% of the local Government Guidelines for project and materials. It is noted that the existing engineering firm to do all phases of construction is not to be used for the Local Program Development Office to ensure 100% of the local Government Guidelines for project and materials. The project shall be completed and all the required documents shall be provided to the Local Government Office in accordance with the Local Government Guidelines for project and materials. The project shall be completed and all the required documents shall be provided to the Local Government Office in accordance with the Local Government Guidelines for project and materials. The project shall be completed and all the required documents shall be provided to the Local Government Office in accordance with the Local Government Guidelines for project and materials.

If you have questions or concerns regarding this matter please direct them to the project manager at (615) 542-5200 or the Local Program Development Office. The only contact to be made at tdot@tdot.tn.gov.

TN TDOT Department of Transportation Chapter 8: Pre-Construction and Construction Procedures

174

Construction NTP E-mail

Subject: PIN 11581-00, Notice to Proceed with Construction, Greenville, Greene County (PA)


Good Morning John,

The attached Notice to Proceed is for **Construction** for PIN (11581 00). You may now advertise the project for bids to be received.

1. The advertisement must be submitted to the Local Programs Development Office at <https://www.tn.gov/bidprogram-development-and-administration/home/local-programs/current-projects.html> to be placed on TDOT's website for publication. The ad must be submitted to Local_Programs@tn.gov at a minimum of 24 days prior to the bid opening date. If any changes to the advertisement arise during the advertisement period, LPDO must be alerted immediately in order to make necessary changes. Local governments no longer have to advertise in newspapers, unless required by local procurement rules. **Please notify me of your ad's posting date.**
2. Per federal law, you cannot require a license of your bidders if there are federal funds on any phase of the project.
3. Only TDOT pre-qualified bids are to be opened publicly and read aloud. If a bid is not read, the bidder is to be identified and the reason for not reading the bid announced.
4. In order to obtain TDOT's concurrence in award, the following documents must be submitted electronically in accordance with Section 8 2 6 of the Local Government Guidelines:
 - a. A completed [Form 8-4](#)
 - b. An electronic copy of the bid tabulations (Excel spreadsheet comparing bids received)
 - c. Documentation certifying that the bids have been reviewed and found responsive
 - d. A letter requesting concurrence in the decision to award signed by the Local Government Official or to reject the bids including the necessary explanations for the request made (this may include the letter from the CEI)
 - e. A PDF of the proposal contract for the apparent low bidder
 - f. DBE Award Information, if applicable ([Form 8-5](#))
5. **You must email me a copy of the fully executed CEI contract for the referenced project before the pre-construction meeting.**

Also note, \$2,522,185.00 total has been obligated for this phase (\$2,017,732.00 Federal; \$ 0.00 State; \$504,433.00 local match.)


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


Chapter 8: Pre-Construction and Construction Procedures

175

Construction Engineering and Inspection (CEI)


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


Chapter 8: Pre-Construction and Construction Procedures

176

CEI 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](#))


Chapter 8: Pre-Construction and Construction Procedures

177

Local Government CEI Training Course

- Mandatory for CEIs and LGs actively managing projects (valid for 5 years)
 - Level 1 (one day) is for LGs (project supervisors)
 - Level 2 (two day) is for consultants and LGs wishing to perform CEI services on their own projects

NOTE: If an LG wants to provide CEI services for its own projects, prior approval must be obtained from LPDO

TN TDOT Department of Transportation Chapter 8: Pre-Construction and Construction Procedures

178

Poll Time!!!

Which size project can the designing engineer also provide CEI services for?

- a) Small
- b) Mid-Range
- c) Large
- d) The CEI firm can't be associated with the project before the construction phase for any sized project

TN TDOT Department of Transportation Chapter 8: Pre-Construction and Construction Procedures

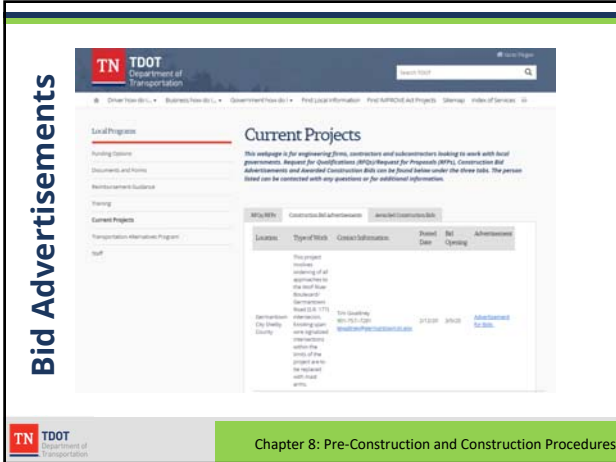
179

Bid Advertisements

- All locally managed projects **must** be advertised on the LPDO website: <https://www.tn.gov/tdot/program-development-and-administration-home/local-programs/current-projects.html>
- In addition, must meet all local procurement rules
 - This MAY still require traditional newspaper advertisements
- **Must submit to LPDO at least 24 days prior to bid opening**
- Bid ad language requirements and 21-day advertising period still apply
- All electronic bidding processes must be reviewed and approved by LPDO

TN TDOT Department of Transportation Chapter 8: Pre-Construction and Construction Procedures

180



181

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
 - Contractors *may* participate if they are within the 90-day grace period after the expiration date shown on the TDOT pre-qualified list
 - Be careful, as their bid will be invalid should this period lapse prior to the letting
- LG is responsible for checking all bid proposals to ensure that the contractors are prequalified prior to opening bid proposal

182


Licensing of Prime Contractors

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

183

“In Good Standing”


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

 Chapter 8: Pre-Construction and Construction Procedures

184

If there is a DBE Goal:

- Special Provision 1247LP will be included in the bid book
- Each Contractor must submit with the 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


 Chapter 8: Pre-Construction and Construction Procedures

185

Special Provision 1247LP

If the Contractor fails to comply with Special Provision 1247LP, 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.

 Chapter 8: Pre-Construction and Construction Procedures

186

Disadvantaged Business Enterprise (DBE)

- DBE goals apply to construction contracts, not to professional services
- When a contract is executed, DBE goals will be met, unless [Good Faith Effort](#) can be proven
 - Per [23 CFR 230](#)
- If DBE goal is not met, Local Agency will be subject to repayment of work performed that would have been performed by DBE

TN TDOT Department of Transportation Chapter 8: Pre-Construction and Construction Procedures

187

Bid Document Agenda

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

TN TDOT Department of Transportation Chapter 8: Pre-Construction and Construction Procedures

188

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 contractors
 - Responsive bids shall be opened from contractors who are within the 90 day grace period of their TDOT prequalification expiration date
 - <https://www.tn.gov/tdot/tdot-construction-division.html>

TN TDOT Department of Transportation Chapter 8: Pre-Construction and Construction Procedures

189

Bid Review

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

TN TDOT Department of Transportation Chapter 8: Pre-Construction and Construction Procedures

190

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

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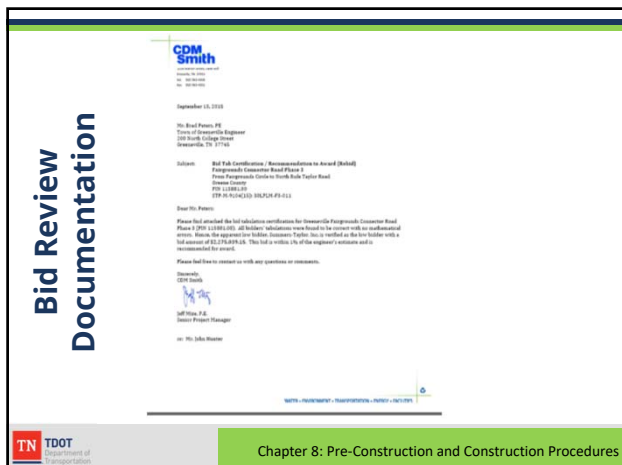
191

After Receiving Bids, LG Will:

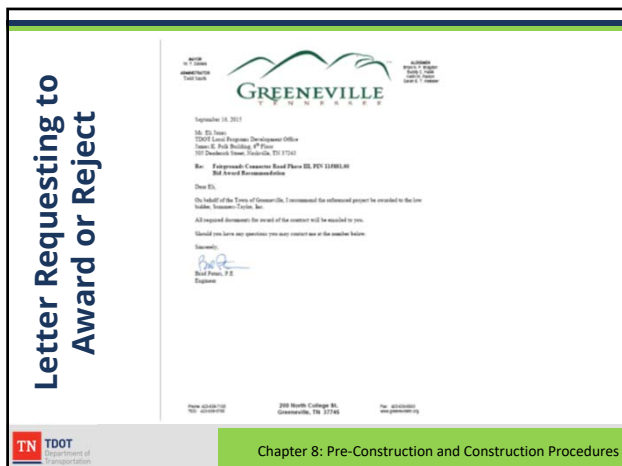
- Electronically submit the following to TDOT, at least **21 days** prior to expiration of bids:
 - Letter requesting to award or reject signed by LG Official
 - A completed Form 8-4: Construction Advertising and Award Checklist
 - Tabulated bids with Engineer's estimate in Excel format
 - Documentation certifying that bids have been reviewed and found to be responsive
 - A PDF of the proposal contract for the apparent low bidder
 - DBE Award Information, if applicable (Form 8-5)

TN TDOT Department of Transportation Chapter 8: Pre-Construction and Construction Procedures

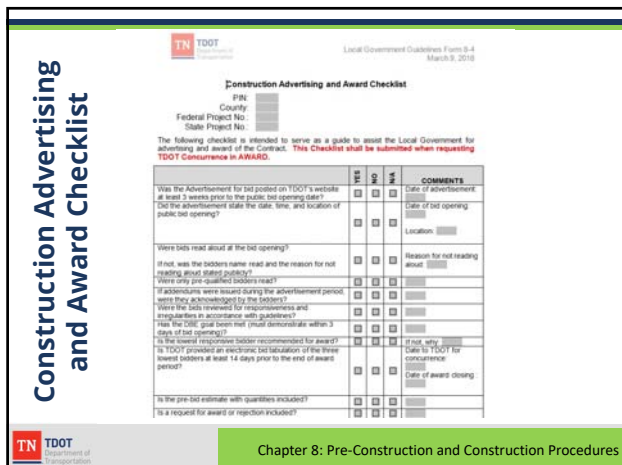
192



193



194



195

Proposal


PROPOSAL
TO THE TOWN OF GREENVILLE
GREENVILLE, TENNESSEE

By submitting this Proposal, the undersigned bidder represents that it has carefully examined the list of 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 Highway and Structure Overlay adopted by the State of Tennessee, Department of Transportation, with relevant amendments which are incorporated in as a part of the Proposal, the Survey Information and Proposed work, the list of Contract, and the Contract Proposal and Performance Bond, and thoroughly understands their obligations, requirements, and provisions.

The undersigned bidder has determined the quality and quantity of materials required for completion of the project and determined the nature of the work to be performed. The undersigned bidder has arranged for the continuous possession of the work from inception.

By submitting this Proposal, the undersigned bidder agrees to provide all necessary equipment, tools, labor, materials, and other means of completion, to do the work in accordance with the specifications and standards which are necessary to complete the work. The undersigned bidder agrees to accept the work as set forth in the Proposal, but the cost prices for the various items identified in the Specifications that are not listed in the Proposal. The undersigned bidder agrees to specify any appropriate units and are subject to increase or decrease and that any such increase or decrease will not affect the unit prices set forth in the Proposal. Compensation for items not specified by the undersigned bidder in the Proposal, but which are necessary for the completion of the work, will be included in the Plans and Specifications at the time of bidding, and the results of the bidding shall be binding on the undersigned bidder. Compensation for items not specified by the undersigned bidder in the Proposal, but which are necessary for the completion of the work, shall be included in the Plans and Specifications at the time of bidding, and the results of the bidding shall be binding on the undersigned bidder. Compensation for items not specified by the undersigned bidder in the Proposal, but which are necessary for the completion of the work, shall be included in the Plans and Specifications at the time of bidding, and the results of the bidding shall be binding on the undersigned bidder.

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 Proposal and Performance Bond within 10 days after receipt of notice of the award. The undersigned bidder admits towards the required Proposal amount to an amount of not less than the amount (100%) of the total amount of the Proposal. The undersigned bidder admits towards the required Proposal amount to an amount of not less than the amount (100%) of the total amount of the Proposal. The undersigned bidder admits towards the required Proposal amount to an amount of not less than the amount (100%) of the total amount of the Proposal.



Chapter 8: Pre-Construction and Construction Procedures

199

Proposal

THIS PROPOSAL SUBMITTED BY
Sumner Construction, Inc.

By
J. S. BERRY

J.S. BERRY VICE PRESIDENT
Printed Name and Title

1000
Address

GREENVILLE TN
City/State/Zip

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


Sumner Construction, Inc. Sumner Construction, Inc. Vice President
Name/Title

Sumner Construction, Inc. Sumner Construction, Inc. Vice President
Name/Title

Sumner Construction, Inc. Sumner Construction, Inc. Vice President
Name/Title

Sumner Construction, Inc. Sumner Construction, Inc. Vice President
Name/Title

Sumner Construction, Inc. Sumner Construction, Inc. Vice President
Name/Title




Chapter 8: Pre-Construction and Construction Procedures

200

Bid Form

| BID FORM | | | |
|----------------------|------------------------------|---------------|-----------|
| ESTIMATED QUANTITIES | | | |
| ITEM NO. | DESCRIPTION | UNIT QUANTITY | UNIT COST |
| 00100 | CONCRETE FOR CURB AND GUTTER | 1.00 | 15,000.00 |
| 00101 | CONCRETE FOR CURB AND GUTTER | 1.00 | 15,000.00 |
| 00102 | CONCRETE FOR CURB AND GUTTER | 1.00 | 15,000.00 |
| 00103 | CONCRETE FOR CURB AND GUTTER | 1.00 | 15,000.00 |
| 00104 | CONCRETE FOR CURB AND GUTTER | 1.00 | 15,000.00 |
| 00105 | CONCRETE FOR CURB AND GUTTER | 1.00 | 15,000.00 |
| 00106 | CONCRETE FOR CURB AND GUTTER | 1.00 | 15,000.00 |
| 00107 | CONCRETE FOR CURB AND GUTTER | 1.00 | 15,000.00 |
| 00108 | CONCRETE FOR CURB AND GUTTER | 1.00 | 15,000.00 |
| 00109 | CONCRETE FOR CURB AND GUTTER | 1.00 | 15,000.00 |
| 00110 | CONCRETE FOR CURB AND GUTTER | 1.00 | 15,000.00 |
| 00111 | CONCRETE FOR CURB AND GUTTER | 1.00 | 15,000.00 |
| 00112 | CONCRETE FOR CURB AND GUTTER | 1.00 | 15,000.00 |
| 00113 | CONCRETE FOR CURB AND GUTTER | 1.00 | 15,000.00 |
| 00114 | CONCRETE FOR CURB AND GUTTER | 1.00 | 15,000.00 |
| 00115 | CONCRETE FOR CURB AND GUTTER | 1.00 | 15,000.00 |
| 00116 | CONCRETE FOR CURB AND GUTTER | 1.00 | 15,000.00 |
| 00117 | CONCRETE FOR CURB AND GUTTER | 1.00 | 15,000.00 |
| 00118 | CONCRETE FOR CURB AND GUTTER | 1.00 | 15,000.00 |
| 00119 | CONCRETE FOR CURB AND GUTTER | 1.00 | 15,000.00 |
| 00120 | CONCRETE FOR CURB AND GUTTER | 1.00 | 15,000.00 |

Bid Form - Sheet 1 of 2



Chapter 8: Pre-Construction and Construction Procedures

201

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. Unit 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

TN TDOT Department of Transportation **Chapter 8: Pre-Construction and Construction Procedures**

211

Beware of Unbalanced Bids

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

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

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

TN TDOT Department of Transportation **Chapter 8: Pre-Construction and Construction Procedures**

212

Poll Time!!!

TDOT requires that the bid advertisement for letting be:


- a) Run in a local paper of record
- b) On the agency's website
- c) Hung on the courthouse's bulletin board
- d) Posted on the Local Programs website for a minimum of 21 days

TN TDOT Department of Transportation **Chapter 8: Pre-Construction and Construction Procedures**

213

Award of the Contract

- Upon TDOT Concurrence, the LG will:
 - Issue the Contractor a copy of the Proposal Contract for signatures
 - Send CEI contract to LPDO
- 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
 - Submit any necessary railroad insurance 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)

 Chapter 8: Pre-Construction and Construction Procedures

214

Award of the Contract


I am pleased to announce that TDOT has concurred with **(name of contractor and amount (bids))** as the lowest responsive bidder. You are hereby approved to inform them that they are the lowest responsive bidder and to set up the mandatory pre-construction meeting.

TDOT Materials & Tests Office and TDOT District Operations Office representatives must be present at the Pre-Construction Conference. If both of these offices are not represented at the Pre-Construction Conference, the Pre-Construction Conference must be postponed until TDOT representatives can be present. The contact for Materials and Test is (insert name, phone number and email). The contact for the TDOT District Operations Office is (insert name, phone number and email). In addition, please also contact Erin Strake with the Headquarters Materials and Tests at (615) 355-4116 or via e-mail at Erin.Strake@tn.gov. A meeting announcement (Pre-Construction Conference Notice, [Form 8-15a](#)) shall be sent 14 days in advance, to all parties with a vested interest in the project including, but not limited to prime and subcontractors, material suppliers, permitting agencies, utility owners, the TDOT District Operations Engineer/Manager, TDOT Regional Materials and Tests Supervisor and other affected Local Governments. At least seven days prior to the Pre-Construction Conference, the LG shall send, by electronic means, a set of plans, a copy of the bid book and final cost estimate to the TDOT District Operations Engineer/Manager and the TDOT Regional Materials and Tests Supervisor. A copy of this email shall also be sent to LocalPrograms@tn.gov.

Electronic PDF's I must have for my information include:

1. Signed proposal contract
2. The work order provided to the contractor identifying the effective Date of Construction
3. Upon award of the contract, please complete TDOT [Form 22](#) with all relevant project prime contractor and subcontractor (both OSE and non-OSE) information, as soon as it is available, and return the form to your program monitor.


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

 Chapter 8: Pre-Construction and Construction Procedures

215

FHWA 1391 Reporting

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

 Chapter 8: Pre-Construction and Construction Procedures

216

Post Award/Pre-Construction

- The LG shall submit contractor and subcontractor information to LPDO using Form 7-2, Contractor Award Information:
 - General project information
 - Prime contractor information
 - Information for all subcontractors (both DBE and non)
 - Form replaces the old LP NIC system

217

Local Government Question Form 7-2
Revised 5/2018

CONTRACTOR AWARD INFORMATION FOR CONTRACTORS ON LOCALLY LET FEDERAL AID CONTRACTS

City/County: _____ Pkg: _____
 State Project No: _____ Federal Project No: _____
 Start Date: _____ Completion Date: _____
 DBE Goal (%): _____ DBE Goal Amount (\$): _____

Prime Contractor Information

Company Name: _____ Contract Name: _____
 Street Address: _____ Contact E-mail: _____
 City, State, Zip: _____ Contract Phone: _____
 DUAB No: _____ Contract Amount: _____
 DBE: Yes No Material Supplier: Yes No

Subcontractor Information

Company Name: _____ Contract Name: _____
 Street Address: _____ Contact E-mail: _____
 City, State, Zip: _____ Contract Phone: _____
 DUAB No: _____ Contract Amount: _____
 DBE: Yes No Material Supplier: Yes No

Company Name: _____ Contract Name: _____
 Street Address: _____ Contact E-mail: _____
 City, State, Zip: _____ Contract Phone: _____
 DUAB No: _____ Contract Amount: _____
 DBE: Yes No Material Supplier: Yes No

Company Name: _____ Contract Name: _____
 Street Address: _____ Contact E-mail: _____
 City, State, Zip: _____ Contract Phone: _____
 DUAB No: _____ Contract Amount: _____
 DBE: Yes No Material Supplier: Yes No

*Many sub-contractors change, please re-submit this form to Local Programs

Local Government Approval: _____ Date: _____

Page 2 of 2

TN TDOT Department of Transportation Chapter 8: Pre-Construction and Construction Procedures

218


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 must attend
- Subcontractors and DBEs will be introduced

219

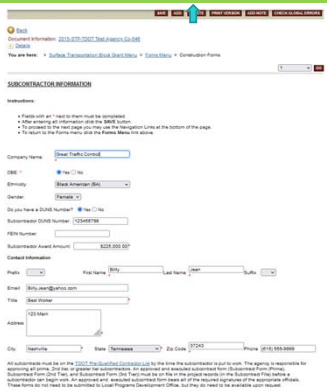
Pre-Construction Conference Related Forms


- 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, establishes the date for Contractor to begin work on the project
- Form 8-18 – Contractor attests that he will not knowingly employ illegal immigrants


Chapter 8: Pre-Construction and Construction Procedures

223

Subcontractor Information





Chapter 8: Pre-Construction and Construction Procedures

224

TDOT 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


Chapter 8: Pre-Construction and Construction Procedures

225

Materials Testing


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

 **Chapter 8: Pre-Construction and Construction Procedures**

226

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 file
- 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

 **Chapter 8: Pre-Construction and Construction Procedures**

227

Miscellaneous Construction Forms


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

 **Chapter 8: Pre-Construction and Construction Procedures**

228

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

 Chapter 8: Pre-Construction and Construction Procedures

229

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

 Chapter 8: Pre-Construction and Construction Procedures

230

Change Order Process

- Form 8-30, Change Order Form or eGrants Change Order
- 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?
 - Does it change the scope of the project?
- The LG provides the final approval of change orders, as it is your project

 Chapter 8: Pre-Construction and Construction Procedures

231

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 & certification on file
5. Source Documents for Payment – such as:
 - Inspector’s Daily Reports
 - Material Certifications
 - Invoice / Bill of Lading


- [FHWA LPA Change Order Resource Website](#)

 Chapter 8: Pre-Construction and Construction Procedures

235

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

 Chapter 8: Pre-Construction and Construction Procedures

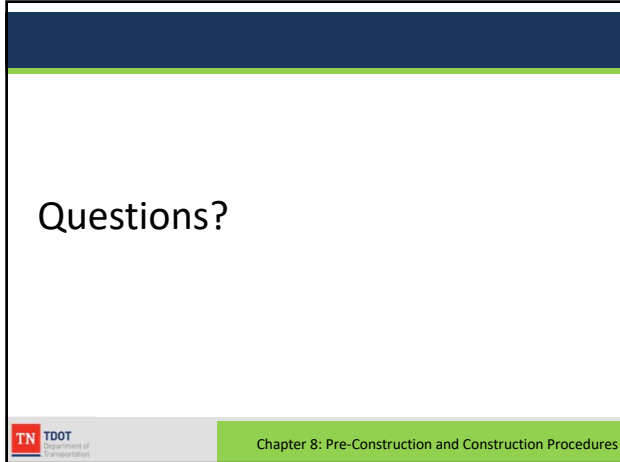
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Recurring Audit Issues

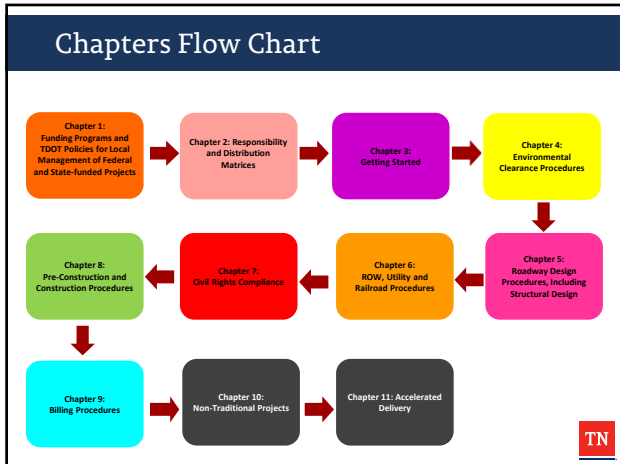
- Daily diary of work activity not kept by CEI
- CEI not on site at times of inspections as required by 23 CFR 635.105
- If original low bid was rejected, TDOT concurrence to reject and justification from LG not in project file
- Buy America certifications not on file
 - All phase(s) could be subject to penalties if Buy America requirements are not met

 Chapter 8: Pre-Construction and Construction Procedures

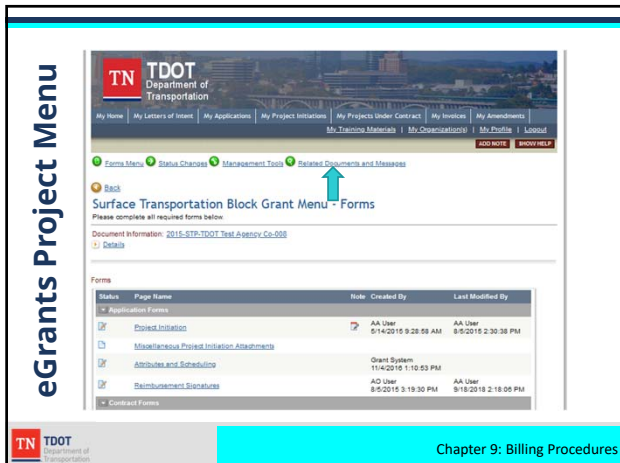
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238



239



240

Changing the Status of an Invoice in eGrants, Cont.

Chapter 9: Billing Procedures

247

Billing Procedures

Each request must include:

- Copies of **paid** invoices
- Copies of canceled checks or other acceptable proof of payments
- Authorized signatures

Chapter 9: Billing Procedures

248

Invoicing Checklist

The following items must be shown on the invoices (this information is on our provided coversheet)

- Supplier name
- Supplier contact information
- Remittance address
- TDOT State project number for the correct phase being billed
- PIN, Federal Project number if available
- Unique invoice number – all invoices are to be titled with the invoice number only. Do not place any additional information or markings in the invoice number as Edison will not accept it.
- Invoice date
- Pay terms
- Total amount requested on the invoice
- TDOT Contract and / work order # (when applicable)
- Previously Invoiced Amount: If the vendor includes the previously invoiced amount on the invoice, this amount should reflect the correct amount billed to date.

Chapter 9: Billing Procedures

249

Invoicing Checklist

- Service Period and all charges are within the contract terms.
- Check all addition and mathematical calculations.
- Our office will use the industry standard in regard to "rounding" being three decimals (i.e. \$1,080.927 will be considered \$1,080.93).
- The invoice must be marked "Partial" or "Final".
- Invoice must be signed by company representative.
- The invoice must summarize the total amount being billed and the documents that support a given cost must accompany the invoice.

TN TDOT Department of Transportation Chapter 9: Billing Procedures

250

Invoicing Checklist

Project Costs

- Each invoice must include a summary detailing the individual expense items and show categorized subtotals. To as much degree as possible the support should be collated to match the order of the items listed in the cover sheet.
- For each expense type, the supporting documentation for the reimbursable expenditures must include itemization of the charges being billed.
- Labor Schedule- summary table of employee name and/or employee ID, title, rate of pay, Date(s) worked, and number of hours involved. Must list actual dates worked not a date range.
- Net Fee- the formula used to calculate the net fee must be shown on the invoice. The Local Programs office will note if there is a difference in the amount billed/calculated.
- Burden (Benefits)*- Itemized reports from payroll or accounting systems
*not applicable when using audited overhead rates.

TN TDOT Department of Transportation Chapter 9: Billing Procedures

251

Invoicing Checklist

- Overhead- The overhead rate used must be stated on the invoice. Overhead used must be in effect as of the date of the invoice. If overhead rates changes due to an audit you must use the rate in effect at the time of invoicing.
- Equipment- Logs or summaries of equipment usage with the times, usage rates, and total amounts for all equipment used. Rental equipment invoices should presented if applicable.
- Business Expenses- Copies of receipts. All receipts must be legible with no highlighting that may result in redaction on scanned copies.
- Phone Charges – Bill/Receipt if charges are not included in overhead costs.
- Materials & Supplies- Itemized statements detailing the items purchased or used.

Travel Expenses (all expenses in this category must be in accordance with State of TN travel regulations)

- Mileage logs- Logs must contain employee name, date(s) or travel, beginning and ending location, number of miles, and purpose of travel.

TN TDOT Department of Transportation Chapter 9: Billing Procedures

252

Authorized Signature Form

Local Government Guidelines Form 9-1
August 30, 2022

UET Number and Authorized Signature Form

UET Number

UET Number: _____ Address: _____
Address must include a regular street

Physical Address of Project (must include regular street): _____ P.O. Box: _____

Authorized Signatures

A minimum of two (2) signatures must be shown to permit flexibility in making requests for reimbursements.

| | |
|----------------------|-----------|
| Typed Name and Title | Signature |
| Typed Name and Title | Signature |
| Typed Name and Title | Signature |
| Typed Name and Title | Signature |

I certify that the signatures of the above individuals are only those persons authorized to sign for the reimbursements requests.
 Signature of Highest Elected Official: _____ Date: _____

A new form must be submitted whenever authorized signers change.

253

Surface Transportation Block Grant Menu

Surface Transportation Block Grant Menu

Document Information: 2025-STB-TDOT-Test Agency Co-008

| ID# | Document Type | Organization | Role | Current Status | Printed Date / Last Print |
|-----|------------------------------------|----------------------|----------------------|--------------------------|---------------------------|
| 1 | Surface Transportation Block Grant | TDOT, Test Agency Co | Agency Administrator | Design Phase in Progress | 05/18/2025 12:00PM EDT |

View, Edit and Complete Forms
 Select the View Forms button below to view, edit, and complete forms.

Change the Status
 Select the View Status Options button below to perform actions such as submitting applications or request modifications.

Access Management Tools
 Select the View Management Tools button below to perform actions such as adding people to this document or viewing the document history.

Examine Related Items
 Select the View Related Items button below to view related items such as emails, messages, etc.

254

Surface Transportation Block Grant Menu - Forms

Surface Transportation Block Grant Menu - Forms

Document Information: 2025-STB-TDOT-Test Agency Co-008

| Form | Form Name | Role | Created By | Last Modified By |
|-------------------|----------------------------------|---------|-----------------------|------------------|
| Application Forms | Request for Proposal | AA User | 5/18/2025 9:28:58 AM | AA User |
| | Reimbursable Contract Attachment | AA User | 5/18/2025 10:53:32 AM | AA User |
| Contract Forms | Contract Administration | AA User | 5/18/2025 5:19:30 PM | AA User |
| MEPA Forms | MEPA Information | AA User | 5/18/2025 11:00:58 AM | AA User |
| | MEPA MEPA | AA User | 5/18/2025 11:00:58 AM | AA User |
| | MEPA Attachments | AA User | 5/18/2025 11:00:58 AM | AA User |
| | MEPA Attachments | AA User | 5/18/2025 11:00:58 AM | AA User |
| | MEPA Attachments | AA User | 5/18/2025 11:00:58 AM | AA User |

255


Money Tracker

| Invoice # | DATE | EXPENDITURE AMOUNT | | | | | NOTES |
|-----------|------|--------------------|--------|-----|-------|-------|-------|
| | | NEPA | DESIGN | ROW | CONST | OVERS | |
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TN TDOT Department of Transportation Chapter 9: Billing Procedures

262

Need More Money?



- Funds must be available in the TIP/STIP
- MPOs email modification/amendments to LPDO and STIP.Requests@tn.gov
- Modifications vs. Amendments
- Contact Program Monitor to adjust funds

TN TDOT Department of Transportation Chapter 9: Billing Procedures

263

Common Issues

- Submitting invoices for more funds than available
- Incorrect address
- Incorrect project numbers or cover sheet
- Not including canceled checks
- Insufficient amount of proof of payment
- Overlapping fiscal years
- PPI (Personal, Private Information) not redacted
- Not correcting previously submitted invoices

TN TDOT Department of Transportation Chapter 9: Billing Procedures

264

Common Issues, Continued

- Not submitting actual invoices
- Missing signatures on cover sheet or backup documents
- Rounding errors
- Invoice date not within 5 days of submittal
- Not submitting for review in eGrants

TN TDOT Department of Transportation Chapter 9: Billing Procedures

265

Invoicing FAQs

- Where are the project numbers for phases other than construction?
- How fast can I get reimbursed?

TN TDOT Department of Transportation Chapter 9: Billing Procedures

266

Poll Time!!!


Invoices can be submitted via both eGrants and LPD.invoices@tn.gov for every project.

a) True
b) False

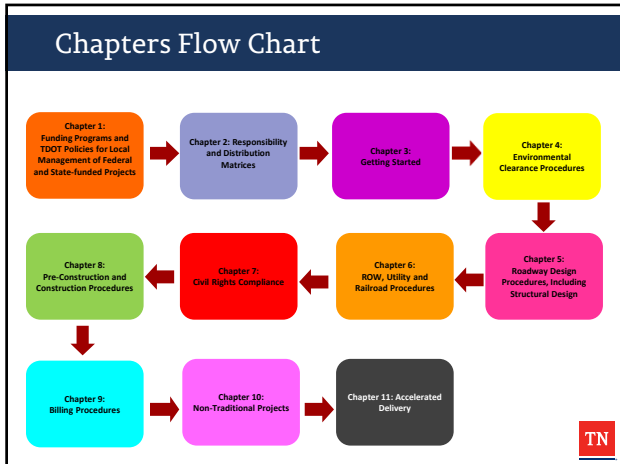
TN TDOT Department of Transportation Chapter 9: Billing Procedures

267

Questions?



 Chapter 9: Billing Procedures

268



269

Project Close Out


 Chapter 10: Non-Traditional Projects

270

Closeout Documents in eGrants

Surface Transportation Block Grant Menu

Document Information: 654321.00-STP-TDOT_Test_Agency-Co-091

| Info | Document Type | Organization | Role | Current Status | Period Date / Date Due |
|------|------------------------------------|---------------------|----------------------|-----------------------------|------------------------|
| | Surface Transportation Block Grant | TDOT_Test_Agency-Co | Agency Administrator | Project Closeout in Process | NA - N/A NA - N/A |

View, Edit and Complete Forms

Click the View Forms button below to view, edit, and complete forms.

View Forms

Closeout Forms

- Project Closeout Procedures
- TDOT Project Closeout Procedures
- Miscellaneous Closeout Attachments

TN TDOT Department of Transportation Chapter 10: Non-Traditional Projects

271

Closeout Documents in eGrants

Document Information: 654321.00-STP-TDOT_Test_Agency-Co-091

You are here: Surface Transportation Block Grant Menu > Forms Menu

PROJECT CLOSEOUT PROCEDURES

When all work is complete, the Local Government Official responsible for the administration of the project or the CEI shall submit the following items to ensure all work was completed according to the Local Government Guidelines Manual and State and federal regulations. Please refer to Section 6.4 of the Local Government Guidelines Manual for information related to closing out your project.

Material Certification (DT-1696LP) No file selected *

Final Inspection Checklist No file selected *

Completion Notice No file selected *

Claim Notice Advised Claim Notice Expires: No file selected *

Contractor's Labor and Materials Affidavit No file selected *

Final Estimate and Summary Change Order: Yes No

Were DBEs used on the project? Yes No

No reimbursement requests can be submitted after the End of Job Certificate is uploaded.

End of Job Certificate No file selected *

For TDOT's Retention of Records Policy that must be followed, please refer to Section 6.4.5 of the Local Government Guidelines Manual

TN TDOT Department of Transportation Chapter 10: Non-Traditional Projects

272

LPDO Material and Tests Certification

- Complete Form [DT-1696LP](#) at completion of the project
- Include documentation for all failing material tests and the corrective actions taken
 - Form 8-31: Materials Certification
- Submit to the LPDO
- Ensures the quality of all materials incorporated into the project is in conformance with the plans and specifications

TN TDOT Department of Transportation Chapter 10: Non-Traditional Projects

273

Contractor's Affidavit Pertaining to Labor and Materials

Chapter 10: Non-Traditional Projects

280

Summary Change Order

- A Summary Change Order and Final Estimate must be prepared to adjust the contract amount to an amount that coincides with the final quantities
- All differences must be identified and submitted to the LPDO
- All overruns/underruns shall be explained in accordance with [Circular Letter 109-03.01](#)
- Determination of time based on quantity increase can be determined following [Circular Letter 108.06.02](#)

Chapter 10: Non-Traditional Projects

281


Supplemental Agreement and/or Request for Change Order

Chapter 10: Non-Traditional Projects

282


DBE Payments


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


Chapter 10: Non-Traditional Projects

283

Certification Re: Money Paid to Disadvantaged Business Enterprises





Chapter 10: Non-Traditional Projects

284

End of Job Certificate

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


Chapter 10: Non-Traditional Projects

285

Common Mistakes

- Not submitting an End of Job Certificate
- Consultant signing End of Job Certificate instead of the LG
- Submitting End of Job Certificate before final reimbursement has been received
- Not submitting CC-3 form when DBEs performed work
- Not submitting a Summary Change Order
- Not submitting documents within 90 days of project completion

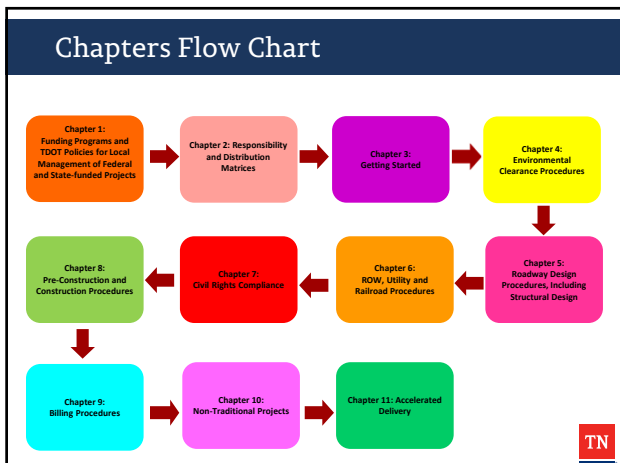
TN TDOT Department of Transportation Chapter 10: Non-Traditional Projects

289

Questions?


TN TDOT Department of Transportation Chapter 10: Non-Traditional Projects

290



291


**It's time to...
Name That Phase!**



292

Rules of the Game


- Answers are based on a project in which all applicable phases are funded.
- The 6 Phases of Project Development are:
 - Eligibility Determination
 - NEPA
 - Design
 - Right of Way
 - Construction
 - Closeout



293

In what phase do the following occur?

| | |
|----------------------------|--------|
| DBE goal established - | ROW |
| Initial Surveying - | NEPA |
| ROW Plans Submitted - | Design |
| Proprietary Item Request - | Design |



294

| In what phase do the following occur? | |
|---------------------------------------|--------------|
| Environmental Permits Obtained - | ROW |
| End of Job Certificate - | Closeout |
| Bid Book Submitted for Review - | ROW |
| CEI Hired - | Construction |



295

| In what phase do the following occur? | |
|--|---------------------------|
| Local Responsible Charge Person Chosen - | Eligibility Determination |
| Bid Award Concurrence - | Construction |
| Utility Coordination - | ROW |
| Advertisement for Claims - | Closeout |



296

| In what phase do the following occur? | |
|---------------------------------------|---------------------------|
| DBE Award Information - | Construction |
| Native American Coordination - | NEPA |
| Project Initiation Form - | Eligibility Determination |
| Design (PE) Plans Submitted- | Design |



297

BONUS QUESTION:

Title VI Certification -

Any time prior to Construction!



298

Thank you!



299
