



NORTH CAROLINA Department of Transportation



Locally Administered Projects CRTPO

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Locally Administered Projects

- Local Project Agreements
- Authorization of funds – what's required for each phase

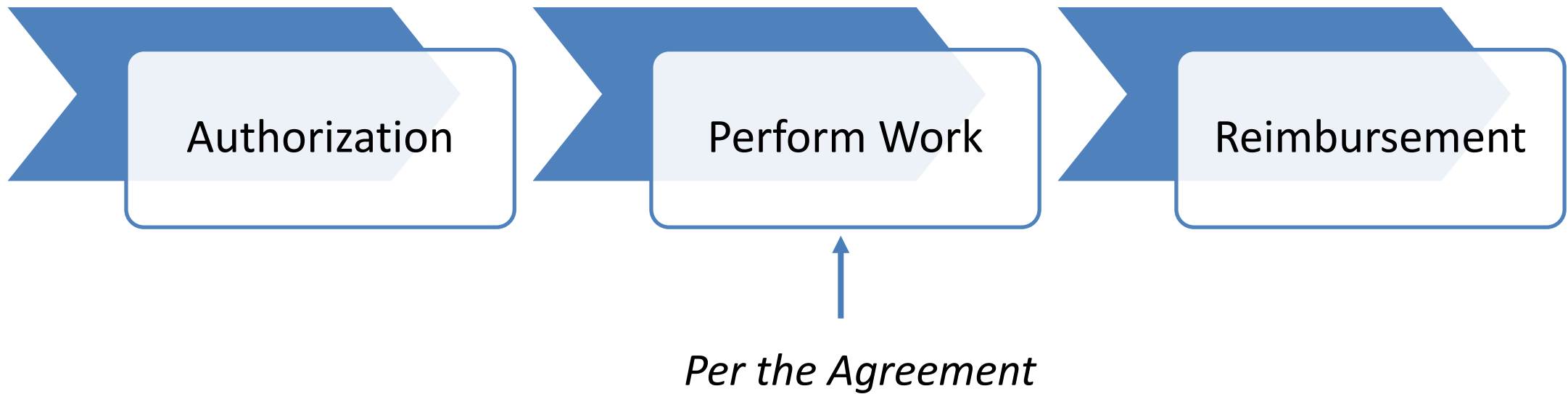
Bonus!

- TIP/Utility Agreements on DOT-let Projects

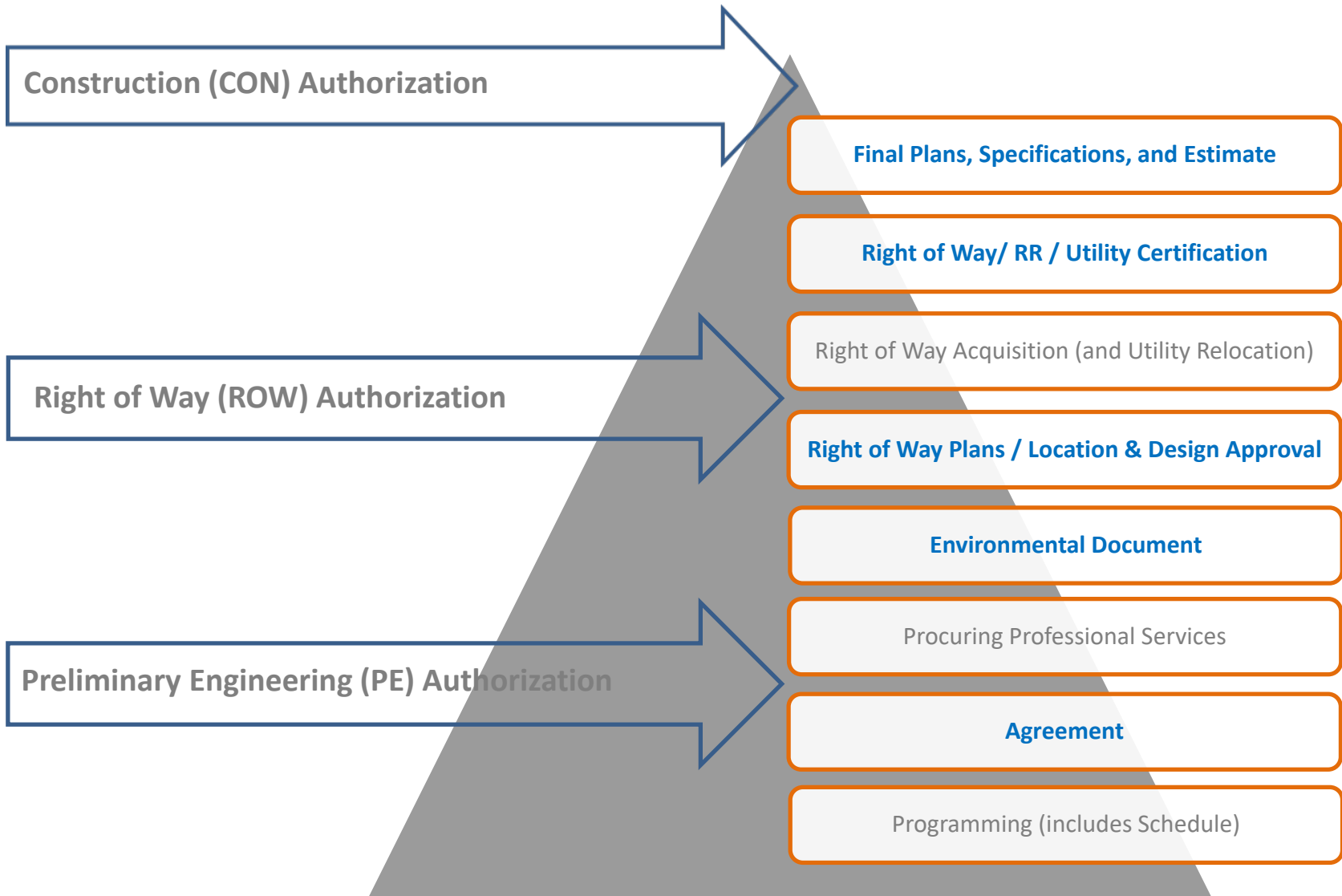
General Local Project Requirements

- Federal-aid funding is cost-reimbursement
- Funding Authorization is required prior to each phase of work
- Local Government Agency (LGA) has the responsibility to deliver the project
- NCDOT has the responsibility to provide oversight to LGAs and ensure appropriate use of funds

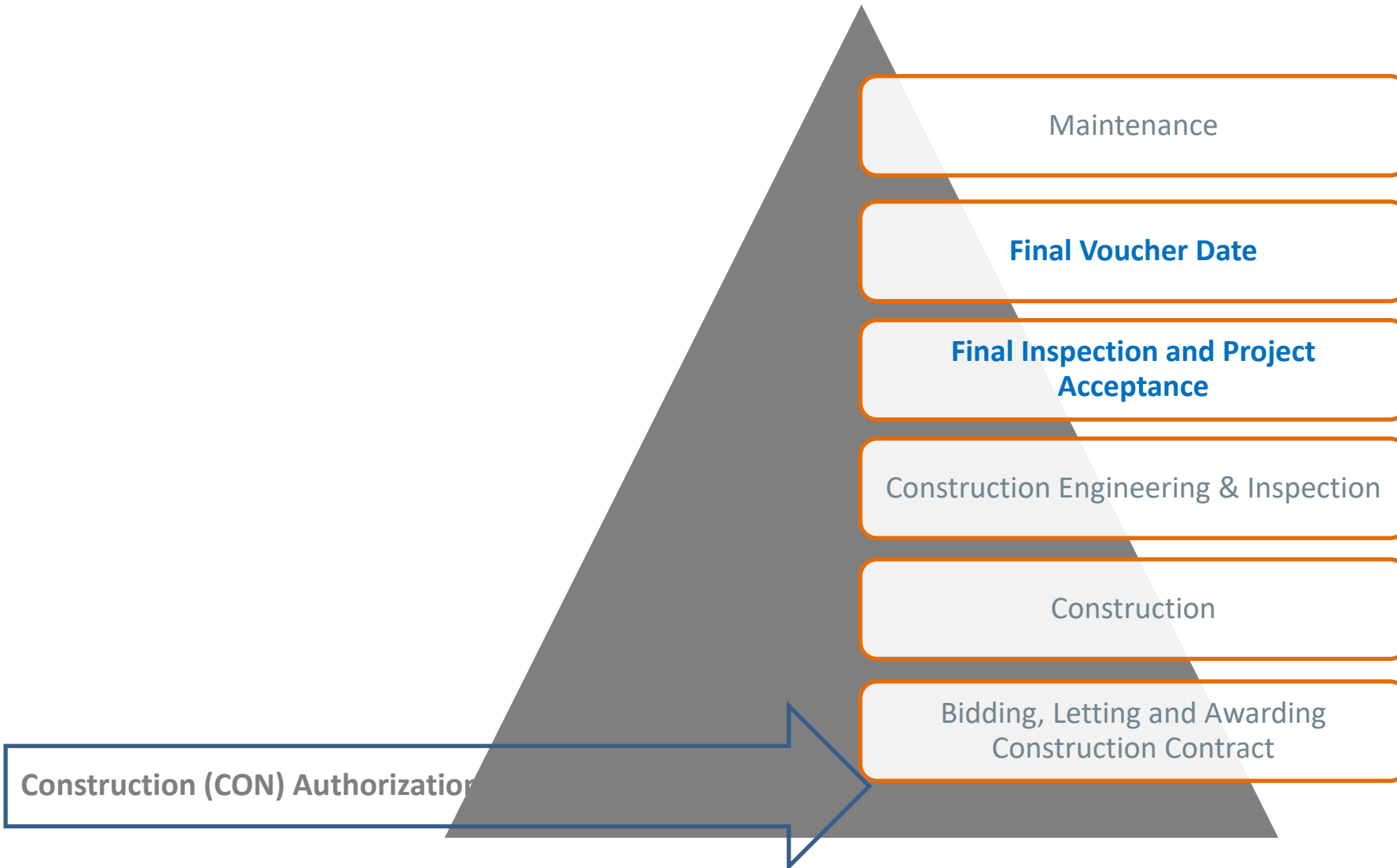
Sequence of Authorization and Work



Pre-Construction Steps (deliverables and authorizations)



Construction Steps (deliverables)



Programming

- All projects must be programmed into the Metropolitan or Local Transportation Improvement Program (TIP) and the State Transportation Improvement Program (STIP)
- Your MPO takes the lead on programming with the concurrence of appropriate Business Units at NCDOT
- Programming includes scope, funding type(s) and amounts, and Federal Fiscal Year.

DIVISION 10

TYPE OF WORK / ESTIM

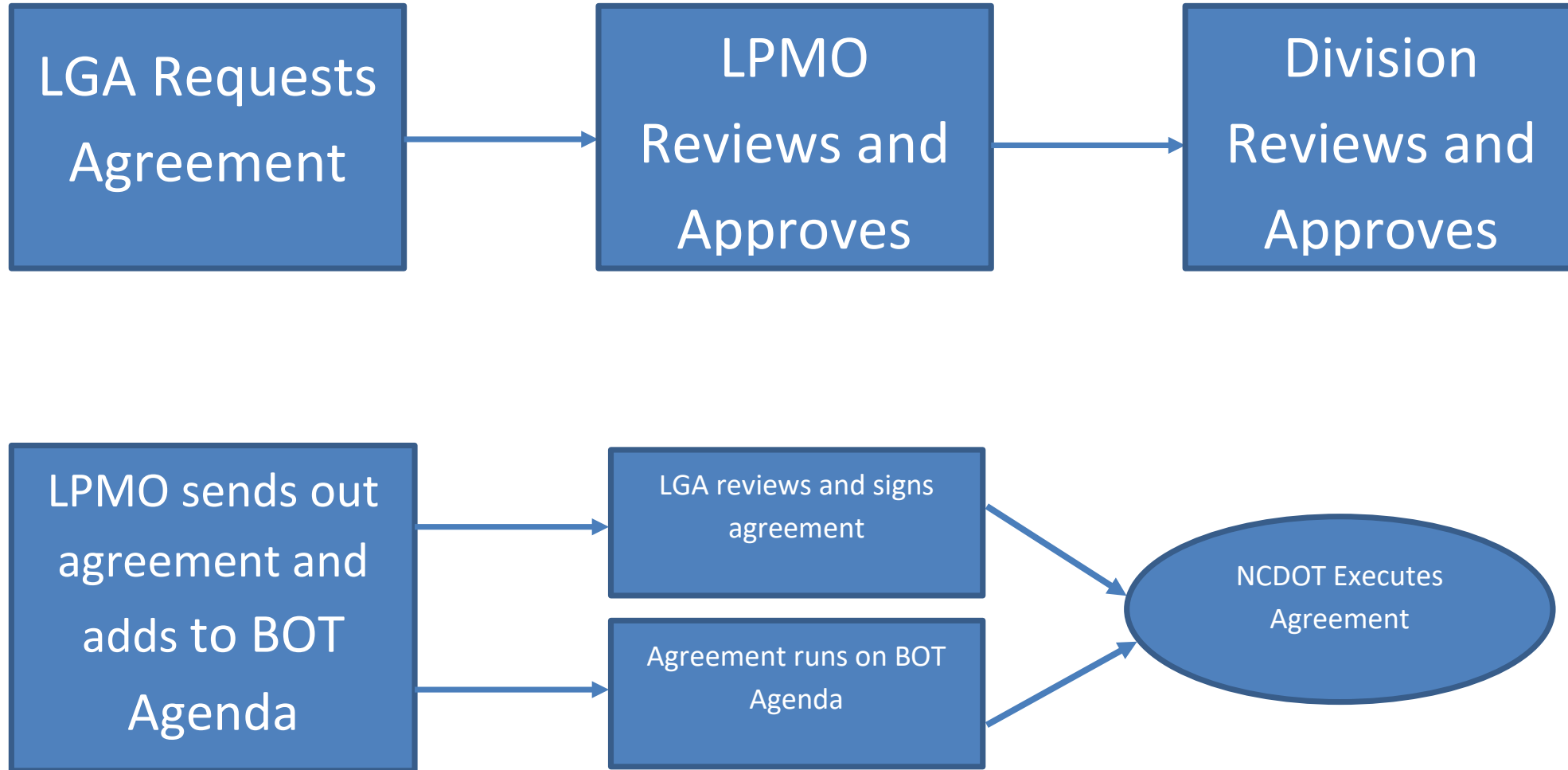
COUNTY	ROUTE/CITY	ID NUMBER	LOCATION / DESCRIPTION	LENGTH	TOTAL PROJ COST (THOU)	PRIOR YEARS COST (THOU)	FUNDS	STATE TRANSPORTATION IMPROVEMENT PROGRAM							
								FY 2018	FY 2019	FY 2020	FY 2021	FY 2022			
URBAN PROJECTS															
MECKLENBURG	HUNTERSVILLE	U-6106	SR 2136 (GILEAD ROAD), SR 2120 (MCCOY ROAD) TO WYNFIELD CREEK PARKWAY. WIDEN ROADWAY TO 4-LANES DIVIDED.		6300		L		PE	1000					
							BGDA				R	400			
							L				R	100			
							BGDA						C	2700	
							L						C	2100	
		DIV													

Agreement

- Executed between NCDOT and the Local Governmental Agency
- Includes provisions that LGA must comply with in order to receive reimbursement
- Includes funding, time frames, scope of work, and responsibilities

Funding Authorizations cannot occur until a fully executed agreement is in place.

Agreements – Timing



Supplemental Agreements

Supplemental Agreements needed when:

- Scope Changes
- Additional Funding approved
- Additional time needed/extensions

Supplemental Agreements are not needed when:

- Funding Source changes

Technical Amendment

Technical Amendments are provided at time of authorization of funds -

- Identifies the source of funding
- Identifies the phase of funding authorized
- A separate ***Notice to Proceed*** with the Phase of work is also provided

Funding Authorizations

- Authorizations are made for:
 - PE – preliminary engineering
 - ROW/UTIL – right of way and/or utility relocation
 - CON – construction.
- The authorization request is based on an estimate provided by the LGA.
- Authorization is requested BY NCDOT TO FHWA and generally takes about three to four weeks for approval.
- Authorization requests should not occur until the LGA is ready to begin work.

If any work occurs prior to funding authorization, it will not be reimbursed.

Preliminary Engineering Authorization

NEEDED

- Executed Agreement

ELIGIBLE REIMBURSEMENTS

- Professional Engineering Firms / Work by Qualified Staff
- Surveys, Design, Environmental Analysis, and other Pre-Construction activities



Right of Way Authorization

NEEDED

- Executed Agreement
- Approved Environmental Document
- Approved Right of Way Plans
- Estimate of Right of Way Costs

ELIGIBLE REIMBURSEMENTS

- Right of Way Acquisition
- Utility Relocation
- Services provided by ROW Appraisers/Negotiators



Construction Authorization

NEEDED

- Executed Agreement
- Approved Environmental Document
- Right of Way/Utility/RR Certification
- Final Plans and Technical Specifications
- Contract Proposal
- Engineer's Estimate

ELIGIBLE REIMBURSEMENTS

- Construction Contract
- Construction Engineering and Inspection Services



Professional Services

- LGA is responsible for soliciting and selecting consultants in accordance with federal regulations, state statutes, and NCDOT policy.
- Standard Template for advertisement and other form letters are available on our website.
- LGA should follow a qualifications based selection process and must document that process and obtain concurrence before negotiating a contract.
- Manday Estimate will be reviewed and approved by the Department.
- Consultant Contract should include Federal contract provisions.

Environmental Documentation

- Must be in conformance with NEPA – National Environmental Policy Act and other Federal environmental laws.
- Most projects qualify as a Categorical Exclusion (CE) Document.
- Ensure that you have qualified people undertaking the work.
- Documents will usually be reviewed and approved at the Division.
- This step should occur early in the design process.
- If Environmental Document is more than a year old when Construction Funding is requested, a consultation must occur.

Design

- Follow NCDOT Design Standards for Roadways and Structures.
- Use NCDOT details, for example wheelchair ramps, curb and gutter, etc.
- Plans should be submitted at 25% for review, continuing on to 100% for final review.
- Review may occur solely at the Division or certain reviews may occur in Raleigh.

Right of Way

- If ROW is an eligible expense per the agreement, then submit ROW plans for review (usually about 75%).
- ROW Plans show the limits of the project and what property is needed.
- The Division will issue a LADA “Location and Design Approval” memo or other approval of ROW plans.

Right of Way Acquisition

- All acquisition must be in conformance with the “Uniform Act,” whether ROW Acquisition is being reimbursed with Federal funds or not.
- Appraisers must be NCDOT approved and appraisals must follow DOT process.
- Appraisals must be reviewed by NCDOT, even if ROW is not an eligible expense.
- NCDOT will provide a concurrence in “just compensation”.

Utility Relocation

- Most utility relocation should occur in the pre-construction phase and be complete prior to construction.
- Exception: if plans for relocation are included in the construction contract, then relocation can occur during the construction phase.

Right of Way / Utility / RR Certification

Certification ensures that LGA has control of all ROW needed for project and the ROW is clear from all obstructions.

- Either the LGA owns outright or has a lease, easement, or other legal document to control ROW.
- Utilities should be relocated or a plan for their relocation is in the contract documents.
- Coordination with any railroads has occurred.
- Division ROW Agent will provide ROW certification. LGA will provide utility/RR certification.

Proposal and Estimate

- Contract Proposal is prepared in accordance with the 2018 *North Carolina Standard Specifications for Roads and Structures*.
- Proposal will include federal provisions that will be part of the contract.
- The engineer's estimate is a line-item estimate that references the Spec Book or special provisions.
- The engineer's estimate is also used to set a goal for Disadvantaged Business Enterprise firms.

Construction Procurement

- Advertising and Letting a Construction Contract can only occur after Construction funds are authorized.
- NCDOT must review and concur in the LGA's proposal to award a construction contract.
- We have template letters and forms to use when requesting concurrence.

Construction

- Construction Administration and Engineering & Inspection is accomplished by the LGA in accordance with the NCDOT Construction Manual.
- NCDOT will provide oversight through the Division Office or the Resident Engineer's Office.
- Projects must meet material certification requirements
- NCDOT must concur with the LGA's acceptance of the project before final reimbursement can be made.

Reimbursement

- Can occur throughout the project as costs are incurred.
- LGA pays full invoice; NCDOT reimburses 80% of eligible costs up to amount in agreement.
- Final Reimbursement will not occur until project is complete, accepted by NCDOT, and all reporting and other requirements have been accomplished.

Close-Out and Final Voucher Date

- Department will process several items related to closing out the LGA project
 - Ensuring that LGA has all appropriate records
 - Calculating any costs that the LGA owes the Department
 - Certifying materials permanently incorporated in the Project
- Once these items are accomplished, NCDOT will request FHWA close the project and issue a Final Voucher Date.
- Final Voucher date will start retention of records period.

Important Dates to Remember

- August 16 – last date to get an agreement on the September BOT Agenda
- September 13 – last date to submit for funding authorization for Federal Fiscal Year 2019
- June 1, 2020 – last date to submit for Bonus Allocation funding authorization

Questions or Comments?

TIP and UTILITY AGREEMENTS

TIP Agreements

Must be developed if

- Project is within a municipality, and
- Municipality requests betterments; or,
- Municipality is participating in Project costs; or,
- Municipality is requesting utility relocation; or,
- Municipality has maintenance responsibilities.

Utility Agreements

Our office prepares two types of utility agreements

- A municipality asks the Department to include municipal utilities relocation work in the construction contract and has cost responsibilities.
- A municipality asks us to design the utility relocation and has cost responsibilities.
- These agreements may be requested by the Utilities Unit (Raleigh) or the Division Office.

Municipal Responsibilities

- Ensure you have a good understanding of scope and financial commitment.
- Most agreements are written for estimated costs; will be billed actual costs.
- Coordinate approval process on municipal side.
- Opportunity to pay in advance of final billing.
- Non-Powell Bill entities must pay upon letting of contract.

Questions or Comments?

THANK YOU

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LOCAL PROGRAMS MANAGEMENT OFFICE

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