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Locally Administered Projects Program (LAPP) Programmed Projects Training

Feb. 2, 2012

1:30 p.m.



Today's Agenda

- LAPP Introduction
- TIP / STIP Programming
- Local Project Management
- Project Phase Requirements
- Reporting Requirements & Process
- Reimbursement
- Federal Considerations

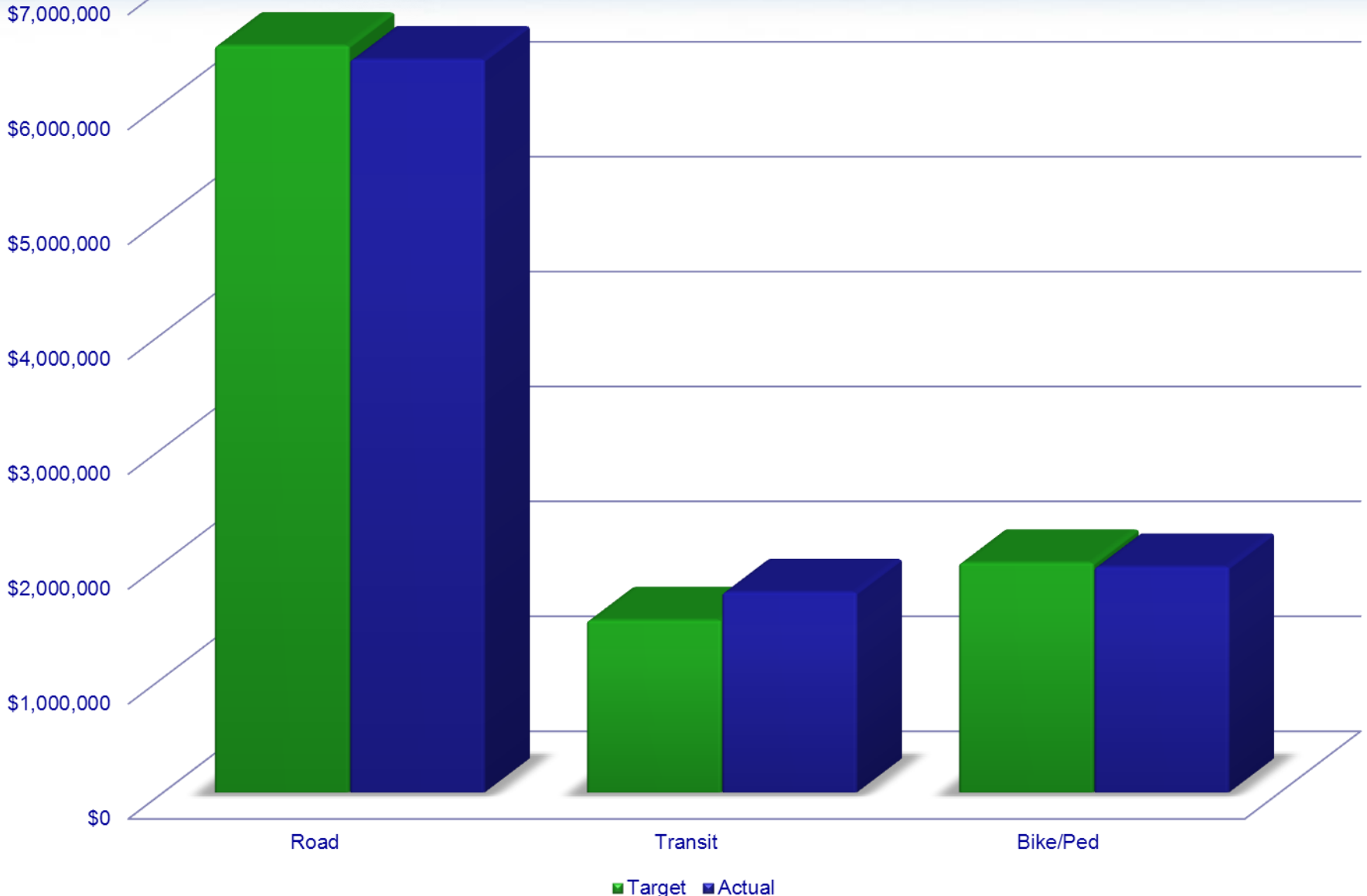


LAPP - Introduction

- In March, 2010 the TAC directed staff to create the Locally Administered Projects Program.
 - Holistic approach to identify & prioritize highly effective projects
 - Efficient use of available funds
 - Avoid future Federal rescissions to the maximum extent possible
 - Annual modal investment mix
 - Project tracking system
 - Training program

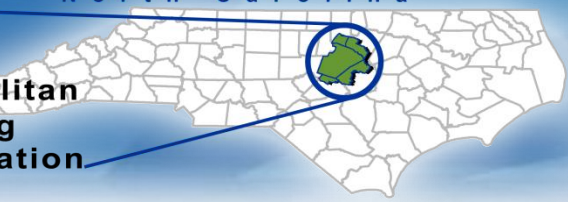


FFY 2013 LAPP Target vs Actual Investment Mix



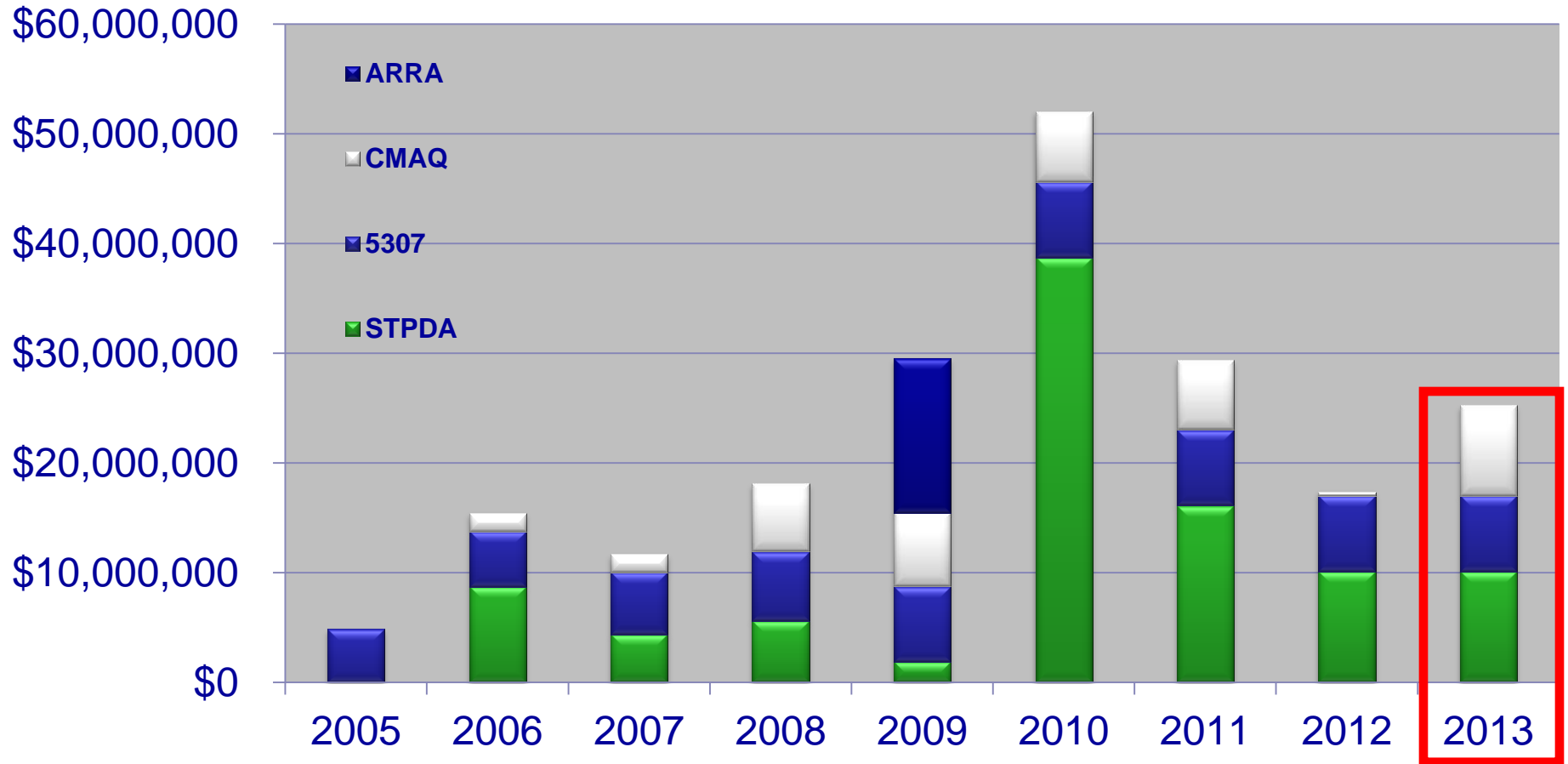
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FFY13 Investment Mix

Total Funding by Source



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FFY13 Roadway Projects

Total Points	Project Name	Sponsoring Agency	LAPP Cost	Funding Status
55.09	NC 55 Corridor Improvements	Apex	\$490,400	Funded
54.91	US 70 Corridor	Garner	\$2,600,000	Funded
45.55	NC 540/Morrisville Pkwy Interchange	Cary	\$600,000	Funded
43.27	Capital Blvd. Improvements	Raleigh	\$448,000	Funded
43.27	Main St. Extension	Holly Springs	\$1,144,000	Funded
43.09	Avent Ferry Rd. Improvements	Holly Springs	\$144,000	Funded
39.91	Stadium Dr. – Complete Street	Wake Forest	\$234,350	Funded
37.73	Kipling Rd.	Division 6	\$720,000	Funded

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FFY13 Bike/Ped Projects

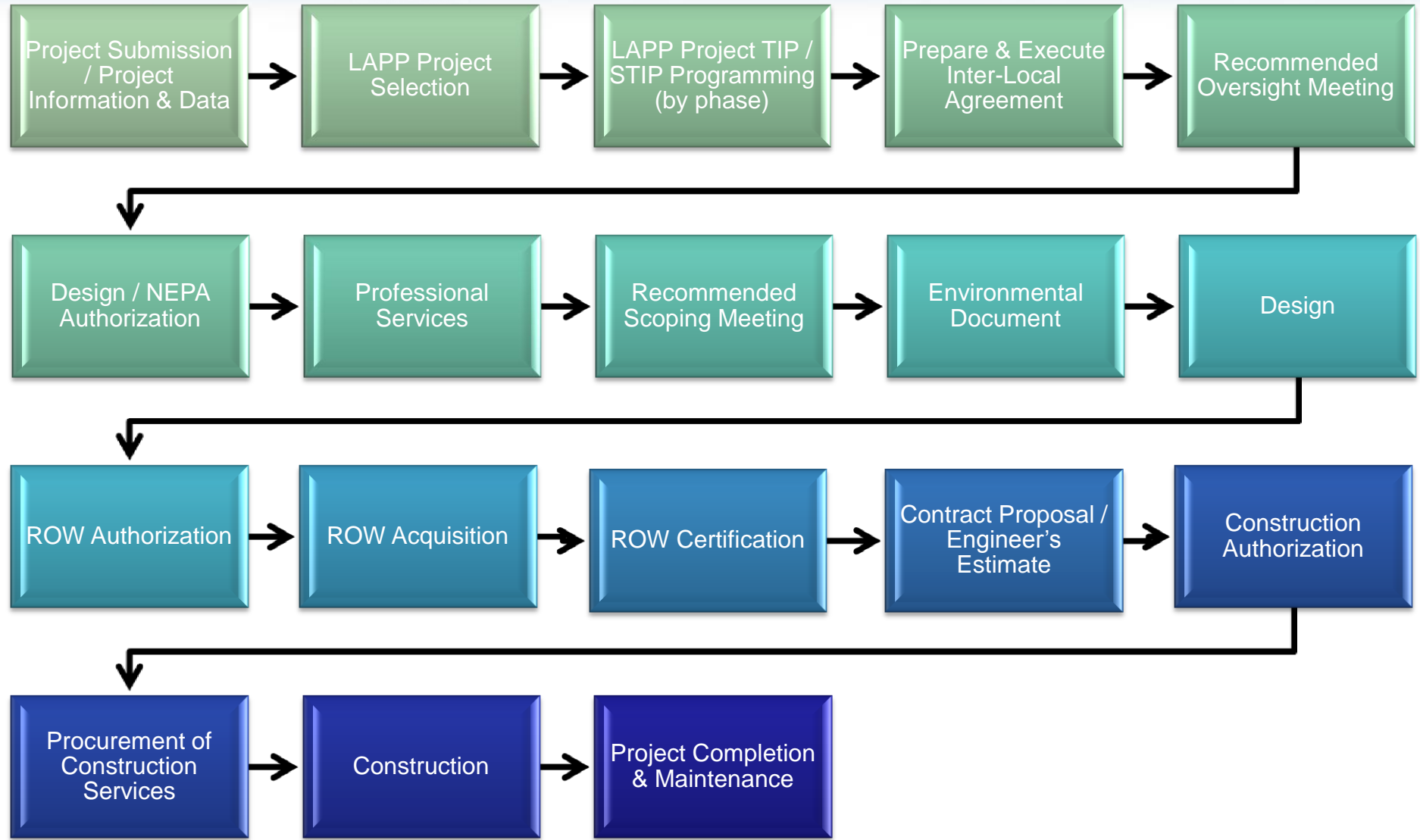
Total Points	Project Name	Sponsoring Agency	LAPP Cost	Funding Status
68.31	NC 55 Multi-Use Trail	Cary	\$357,000	Funded
64.75	Smithfield Rd. Sidewalk Improvements	Knightdale	\$235,900	Funded
53.88	Laura Duncan Multi-Use Path	Apex	\$484,000	Funded
47.50	Dunn Creek Greenway – Downtown Connector	Wake Forest	\$365,440	Funded
44.19	Lillington Street Sidewalk	Angier	\$54,000	Funded
43.94	Willow & Roy Street Sidewalk Connections	Angier	\$192,000	Funded
40.56	Downtown Pedestrian Safety Improvements	Raleigh	\$120,000	Funded
36.13	Priority Pedestrian Corridors	Wake Forest	\$156,880	Funded

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LOCALLY ADMINISTERED PROJECTS PROGRAM Implementation Process





Upcoming Dates

- March/April 2012: STIP/TIP Amendments
- July 31, 2012: Local Execution of ILA

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LAPP – Common Terms

Contract Authority

U.S. Congress: *“You (NCDOT) might be able to obligate X dollars . . .”*

Obligation Ceiling (or Obligation Limitation)

“. . . but, based on overall budget conditions, you can only obligate Y dollars”

Funds programmed (not yet guaranteed)

News headline: *NCDOT outlines a “Program” to obligate funds (7-year STIP)*

Funds obligated (safe from rescission axe)

Upon NCDOT request, FHWA agrees to reimburse for a specific project

Rescission (“Houston, we have a problem”)

Congress decreases the State’s Contract Authority



TIP/STIP Programming

- All FFY 2012 projects will be programmed in the 2012-18 TIP / STIP
- TIP/STIP numbers will be available in the coming months
- CMAQ projects have TIP numbers



TIP changes

Amendments require CAMPO Executive Board (TAC) action

- Add or substantially modify a Phase of work
- Project requiring new stand alone TIP number
- Change Fiscal Year in which \$\$ to be authorized

Modifications that require administrative approval (No TAC action)

- Change funding amount
- Use different source of funds
- Small changes in project scope



STIP changes*

“Revisions” - requires Board of Tr. (BOT) action

- Change Fiscal Year in which \$\$ to be authorized
NOTE: FFY begins Oct 1; ends Sep 30
- Add (or modify) a Phase of work
- Add new stand alone project (not EL-5100 or U-5118)

Cases NOT requiring BOT action

- Change funding amount
- Use different source of funds

*If STPDA funds involved, MPO must review and concur

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Typical Local Project Management & Implementation



LPM Organization

Jimmy Travis, PE, Manager

Program Consultant

Marta Matthews

Contract Officers

- | | |
|--------------------------|--------------------|
| - East (Div 1 - 4, 6, 8) | Lee Ann Billington |
| - Central (Div 5, 7, 9) | Sheila Gibbs |
| - West (Div 10 - 14) | Sheila Elliott |

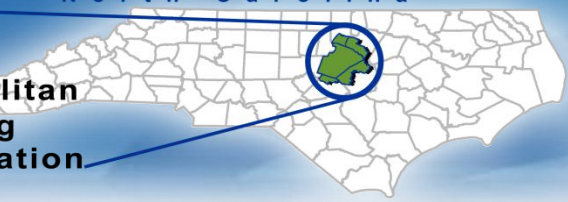


Division Project Managers

- 14 Transportation Divisions across the State
- CAMPO is within parts of Divisions 4, 5, and 6.
 - Division 4 Jerry Page, PE
 - Division 5 Mike Kneis, PE
 - Division 6 Jerry Bradley, PE

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See Project Flow Chart



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.



PE FUNDING AUTHORIZATION

- Occurs after the Agreement is fully executed
- Usually takes 2 - 3 weeks after initial request is made
- LGA will be notified in writing once PE funds have been authorized
- Any work occurring before authorization will not be eligible for reimbursement.



Professional Services

- All professional services must be pre-qualified by NCDOT in the specific area
- Eligible Activities:
 - Preliminary Engineering (conceptual plans, env planning, design, surveys)
 - Right of Way (preparation of plats, appraisals, review of appraisals)
 - Construction (construction administration, engineering & inspections)



Procurement

- Requirements for any Professional Services must be publicly announced.
- Services must be selected on the basis of qualifications.
- LGA is responsible for this phase, with NCDOT providing concurrence and review of rates and man-hours.



Process

- Develop an RFQ using template provided by NCDOT.
- Submit RFQ for review (e-mail) - allow at least two weeks.
- Advertise or otherwise solicit for professional services
 - This should not occur until after PE Funding Authorization is received.
- Review and select most qualified consultant.
 - Optional Scoping Meeting



Process - cont'd

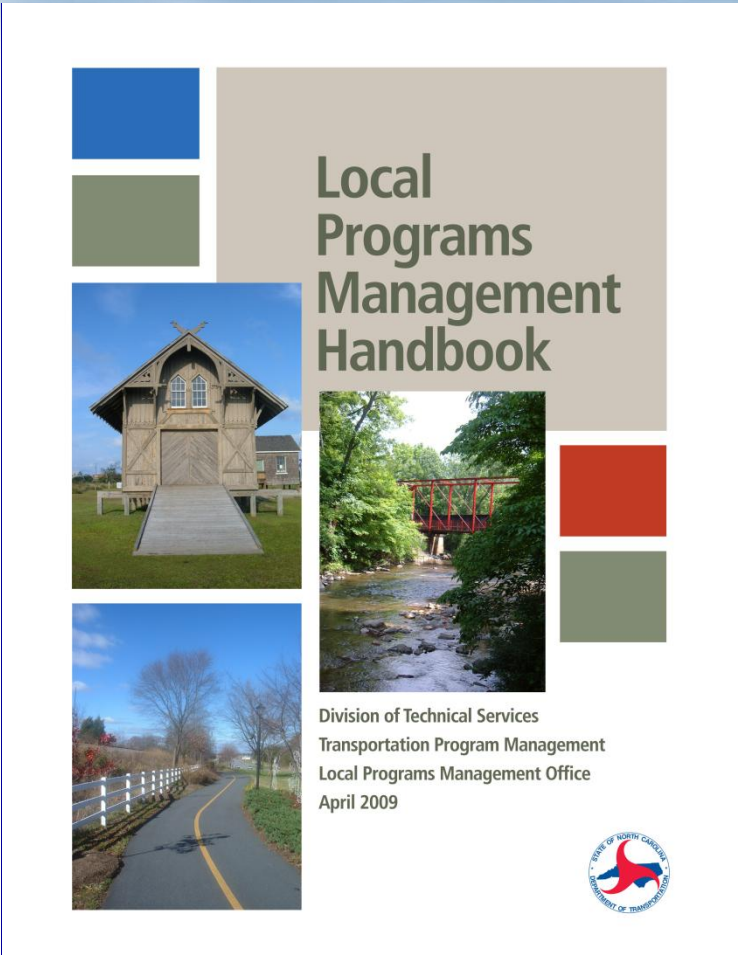
- Request a cost proposal from selected consultant
 - Tasks, personnel, man-hours, rates, and overhead
- Submit letter with overview of selection process (use template) and include proposal from consultant.
- Allow one month for review and comments or concurrence by NCDOT.
- Same process should be followed for construction administration/engineering & inspection



IMPORTANT

- **NCDOT policy prohibits same consultant for design and CEI.**
- **Request for exception to policy must be made in writing.**
- **Reviewed and approved/denied by the Construction Unit.**
- **If approved, cannot automatically extend PE contract to cover CEI - must undergo new solicitation.**

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Design/NEPA Phase(s)

Review NCDOT Design & NEPA guidelines and requirements

- Environmental Documents
- Major Projects
- Minor Projects

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NEPA COMPLIANCE FOR LOCALLY ADMINISTERED PROJECTS



TOPICS

1. Programmatic Categorical Exclusion (PCE)
2. Other Laws and Regulations
3. Type I Categorical Exclusion Screening Form
4. Type II Categorical Exclusion Form



Programmatic Categorical Exclusion

- Most Locally Administered Projects are categorically excluded from NEPA
 - Document that the project is an approved CE action
 - Perform a level of environmental investigation to verify there is no potential for significant project impacts



Other Laws and Regulations

- Section 4(f) Transportation Act
 - Public Areas and Historic Resources
- Section 106 Historic Act
 - Historic Resources
 - SHPO Concurrence
- Section 7 Endangered Species Act
 - Federally Protected Species



TYPE I CATEGORICAL EXCLUSION SCREENING FORM

OTE: You should only use this form if your project meets actions for a Type I as described in "Documentation Requirements and Approval Procedures of Federal-Aid Project Classified as Categorical Exclusion" dated 1/93, as revised and located at:

http://www.fhwa.dot.gov/ncdiv/docs/doc_ce.htm

PROJECT INFORMATION

TIP: _____
WBS: _____
FEDERAL-AID NO: _____

PROJECT NAME: _____

A. PROJECT DESCRIPTION (provide detailed description of entire scope of project):

B. PURPOSE AND NEED (provide a description of the purpose of the project and why it is needed):

C. PROPOSED IMPROVEMENTS (Mark one or more of the following Type I improvements that apply):

- (1) Non-construction activities (program activities); _____
- (2) Approval of utility installations along or across a transportation facility; _____
- (3) Construction of bicycle and pedestrian lanes, paths, and facilities; _____
- (4) Activities included in the State's "highway safety plan" under 23 USC 402 (programs administered by the Division of Motor Vehicles); _____
- (5) Transfer of Federal lands pursuant to 23 USC 317 when the subsequent action is not a FHWA action; _____
- (6) The installation of noise barriers or alterations to existing publicly owned buildings to provide for noise reduction; _____
- (7) Landscaping; _____
- (8) Installation of fencing, signs, pavement markings, small passenger shelters, traffic signals and railroad warning devices; _____



TYPE I FORM CONTINUED

- (9) Emergency repairs under 23 USC 125 (Governor Declared Emergency); _____
- (10) Acquisition of scenic easements; _____
- (11) Determination of payback under 23 CFR Part 480 for property previously acquired with federal-aid participation; _____
- (12) Improvements to existing rest areas and truck weigh stations; _____
- (13) Ridesharing activities; _____
- (14) Bus and Rail car rehabilitation; _____
- (15) Alterations to facilities or vehicles in order to make them accessible for elderly and handicapped persons; _____
- (16) Program administration, technical assistance activities, and operating assistance to transit authorities to continue existing service or increase service to meet changes in routine demand; _____
- (17) The purchase of vehicles by the applicant where the use of these vehicles can be accommodated by existing facilities or by new facilities which themselves are within a CE; _____
- (18) Track and rail bed maintenance and improvements when carried out within the existing right of way; _____
- (19) Purchase and installation of operating or maintenance equipment to be located within the transit facility and with no significant impacts off the site; _____
- (20) Promulgation of rules, regulations and directives; and _____
- (21) Replacement of guardrail. _____



TYPE I FORM

CONTINUED

D. SCREENING QUESTIONS:

1. Right of Way/Easements

Is the project contained within the existing right of way?

YES NO

If no, please describe the amount of additional property to be acquired to complete the project (i.e. existing right of way is 60 feet, 5 additional feet of right of way [easement] will be required).

2. Endangered Species Act [*Title 50 CFR 402*]

Does County of project have any listed or endangered species?

(Go to US Fish and Wildlife Service at www.fws.gov/raleigh)

If yes, list here:

Does project area contain suitable habitat for endangered species? (attach documentation of research and findings, including correspondence with US Fish and Wildlife Service):

3. National Historic Preservation Act [*Title 36 CFR Part 800*]

Are there any historic properties within project area?

(Show maps, local information concerning historic properties – attach documentation of coordination with the State Historic Preservation Office)

4. Section 4(f) [*Title 23 CFR Part 744*]

Is project near or does it use land from any 4(f) resources? 4(f) resources include public parks, recreation areas (including school facilities open to the public), wildlife and waterfowl refuges. (Identify resources and include their location on a project map):

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TYPE I FORM CONTINUED

E. Type I CE Approval

TIP Project No. _____

State Project No. _____

Federal-Aid Project No. _____

Project Description: (Include project scope and location. Attach location map.)

No adverse environmental actions are associated with this project. This project is classified as a Type I CE in accordance with the "Documentation Requirements and Approval Procedures of Federal-Aid Project Classified as Categorical Exclusion" dated 1/93, as revised.

Prepared by:

_____ Date

_____ Name, Title, Company/Agency, Telephone #

[NOTE: Provide Professional Qualifications of Person completing form]

Reviewed and Approved by:

_____ Date

_____ Name , Title
NCDOT Project Development & Analysis Branch



TYPE II CATEGORICAL EXCLUSION ACTION CLASSIFICATION FORM

TYPE II CATEGORICAL EXCLUSION ACTION CLASSIFICATION FORM

[For completion by a Local Government Agency]

TIP Project No. _____
WBS Element _____
Federal Project No. _____

A. Project Description: (Include project scope and location and refer to the attached project location map and photos.)

B. Purpose and Need:

C. Proposed Improvements:

Circle one or more of the following Type II improvements which apply to the project:

1. Modernization of a highway by resurfacing, restoration, rehabilitation, reconstruction, adding shoulders, or adding auxiliary lanes (e.g., parking, weaving, turning, climbing).
 - a. Restoring, Resurfacing, Rehabilitating, and Reconstructing pavement (3R and 4R improvements)
 - b. Widening roadway and shoulders without adding through lanes
 - c. Modernizing gore treatments
 - d. Constructing lane improvements (merge, auxiliary, and turn lanes)
 - e. Adding shoulder drains
 - f. Replacing and rehabilitating culverts, inlets, and drainage pipes, including safety treatments
 - g. Providing driveway pipes
 - h. Performing minor bridge widening (less than one through lane)
 - i. Slide Stabilization
 - j. Structural BMP's for water quality improvement

2. Highway safety or traffic operations improvement projects including the installation of ramp metering control devices and lighting.
 - a. Installing ramp metering devices
 - b. Installing lights
 - c. Adding or upgrading guardrail
 - d. Installing safety barriers including Jersey type barriers and pier protection
 - e. Installing or replacing impact attenuators
 - f. Upgrading medians including adding or upgrading median barriers
 - g. Improving intersections including relocation and/or realignment
 - h. Making minor roadway realignment
 - i. Channelizing traffic



TYPE II FORM

CONTINUED

- j. Performing clear zone safety improvements including removing hazards and flattening slopes
 - k. Implementing traffic aid systems, signals, and motorist aid
 - l. Installing bridge safety hardware including bridge rail retrofit
3. Bridge rehabilitation, reconstruction, or replacement or the construction of grade separation to replace existing at-grade railroad crossings.
 - a. Rehabilitating, reconstructing, or replacing bridge approach slabs
 - b. Rehabilitating or replacing bridge decks
 - c. Rehabilitating bridges including painting (no red lead paint), scour repair, fender systems, and minor structural improvements
 - d. Replacing a bridge (structure and/or fill)
4. Transportation corridor fringe parking facilities.
5. Construction of new truck weigh stations or rest areas.
6. Approvals for disposal of excess right-of-way or for joint or limited use of right-of-way, where the proposed use does not have significant adverse impacts.
7. Approvals for changes in access control.
8. Construction of new bus storage and maintenance facilities in areas used predominantly for industrial or transportation purposes where such construction is not inconsistent with existing zoning and located on or near a street with adequate capacity to handle anticipated bus and support vehicle traffic.
9. Rehabilitation or reconstruction of existing rail and bus buildings and ancillary facilities where only minor amounts of additional land are required and there is not a substantial increase in the number of users.
10. Construction of bus transfer facilities (an open area consisting of passenger shelters, boarding areas, kiosks and related street improvements) when located in a commercial area or other high activity center in which there is adequate street capacity for projected bus traffic.
11. Construction of rail storage and maintenance facilities in areas used predominantly for industrial or transportation purposes where such construction is not inconsistent with existing zoning and where there is no significant noise impact on the surrounding community.
12. Acquisition of land for hardship or protective purposes, advance land acquisition loans under section 3(b) of the UMT Act. Hardship and protective buying will be permitted only for a particular parcel or a limited number of parcels. These types of land acquisition qualify for a CE only where the acquisition will not limit the evaluation of alternatives, including shifts in alignment for planned construction projects, which may be required in the NEPA process. No project development on such land may proceed until the NEPA process has been completed.



TYPE II FORM CONTINUED

12. Acquisition and construction of wetland, stream and endangered species mitigation sites.
 13. Remedial activities involving the removal, treatment or monitoring of soil or groundwater contamination pursuant to state or federal remediation guidelines.
- D. Special Project Information: (Include Environmental Commitments and Permits Required)



TYPE II FORM CONTINUED

E. Threshold Criteria

The following evaluation of threshold criteria must be completed for Type II actions

ECOLOGICAL

	<u>YES</u>	<u>NO</u>
(1) Will the project have a substantial impact on any unique or important natural resource?	<input type="checkbox"/>	_____
(2) Does the project involve habitat where federally listed endangered or threatened species may occur?	<input type="checkbox"/>	_____
(3) Will the project affect anadromous fish?	<input type="checkbox"/>	_____
(4) If the project involves wetlands, is the amount of permanent and/or temporary wetland taking less than one-tenth (1/10) of an acre and have all practicable measures to avoid and minimize wetland takings been evaluated?	_____	<input type="checkbox"/>
(5) Will the project require the use of U. S. Forest Service lands?	<input type="checkbox"/>	_____
(6) Will the quality of adjacent water resources be adversely impacted by proposed construction activities?	<input type="checkbox"/>	_____
(7) Does the project involve waters classified as Outstanding Water Resources (OWR) and/or High Quality Waters (HQW)?	<input type="checkbox"/>	_____
(8) Will the project require fill in waters of the United States in any of the designated mountain trout counties?	<input type="checkbox"/>	_____
(9) Does the project involve any known underground storage tanks (UST's) or hazardous materials sites?	<input type="checkbox"/>	_____

PERMITS AND COORDINATION

	<u>YES</u>	<u>NO</u>
(10) If the project is located within a CAMA county, will the project significantly affect the coastal zone and/or any "Area of Environmental Concern" (AEC)?	<input type="checkbox"/>	_____
(11) Does the project involve Coastal Barrier Resources Act resources?	<input type="checkbox"/>	_____
(12) Will a U. S. Coast Guard permit be required?	<input type="checkbox"/>	_____
(13) Will the project result in the modification of any existing regulatory floodway?	<input type="checkbox"/>	_____



TYPE II FORM

CONTINUED

(14) Will the project require any stream relocations or channel changes? _____

SOCIAL, ECONOMIC, AND CULTURAL RESOURCES

YES **NO**

(15) Will the project induce substantial impacts to planned growth or land use for the area? _____

(16) Will the project require the relocation of any family or business? _____

(17) Will the project have a disproportionately high and adverse human health and environmental effect on any minority or low-income population? _____

(18) If the project involves the acquisition of right of way, is the amount of right of way acquisition considered minor? _____

(19) Will the project involve any changes in access control? _____

(20) Will the project substantially alter the usefulness and/or land use of adjacent property? _____

(21) Will the project have an adverse effect on permanent local traffic patterns or community cohesiveness? _____

(22) Is the project included in an approved thoroughfare plan and/or Transportation Improvement Program (and is, therefore, in conformance with the Clean Air Act of 1990)? _____

(23) Is the project anticipated to cause an increase in traffic volumes? _____

(24) Will traffic be maintained during construction using existing roads, staged construction, or on-site detours? _____

(25) If the project is a bridge replacement project, will the bridge be replaced at its existing location (along the existing facility) and will all construction proposed in association with the bridge replacement project be contained on the existing facility? _____

(26) Is there substantial controversy on social, economic, or environmental grounds concerning the project? _____

(27) Is the project consistent with all Federal, State, and local laws relating to the environmental aspects of the project? _____

(28) Will the project have an "effect" on structures/properties eligible for or listed on the National Register of Historic Places? _____



TYPE II FORM CONTINUED

- (29) Will the project affect any archaeological remains which are important to history or pre-history? _____
- (30) Will the project require the use of Section 4(f) resources (public parks, recreation lands, wildlife and waterfowl refuges, historic sites, or historic bridges, as defined in Section 4(f) of the U. S. Department of Transportation Act of 1966)? _____
- (31) Will the project result in any conversion of assisted public recreation sites or facilities to non-recreation uses, as defined by Section 6(f) of the Land and Water Conservation Act of 1965, as amended? _____
- (32) Will the project involve construction in, across, or adjacent to a river designated as a component of or proposed for inclusion in the National System of Wild and Scenic Rivers? _____

F. Additional Documentation Required for Unfavorable Responses in Part E
(Discussion regarding all unfavorable responses in Part E should be provided below. Additional supporting documentation may be attached, as necessary.)



TYPE II FORM CONTINUED

G. CE Approval

TIP Project No. _____
WBS Element _____
Federal-Aid Project No. _____

Project Description: (Include project scope and location. Attach location map and photos.)

Categorical Exclusion Action Classification: (Check one)

_____ TYPE II(A)
_____ TYPE II(B)

NO BOXES Checked
ANY BOX is Checked

Prepared:

_____ Date _____ Name, Title, Company/Agency, Telephone #
[NOTE: Professional Qualifications may be required]

Reviewed:

_____ Date _____ Project Dev. Unit Head / Division Environmental Specialist
NCDOT - PDEA / NCDOT Division _____

Approved: For Type II(B) projects only:

_____ Date _____ Division Administrator
Federal Highway Administration

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Design/NEPA Phase(s)

Review NCDOT Design & NEPA guidelines and requirements

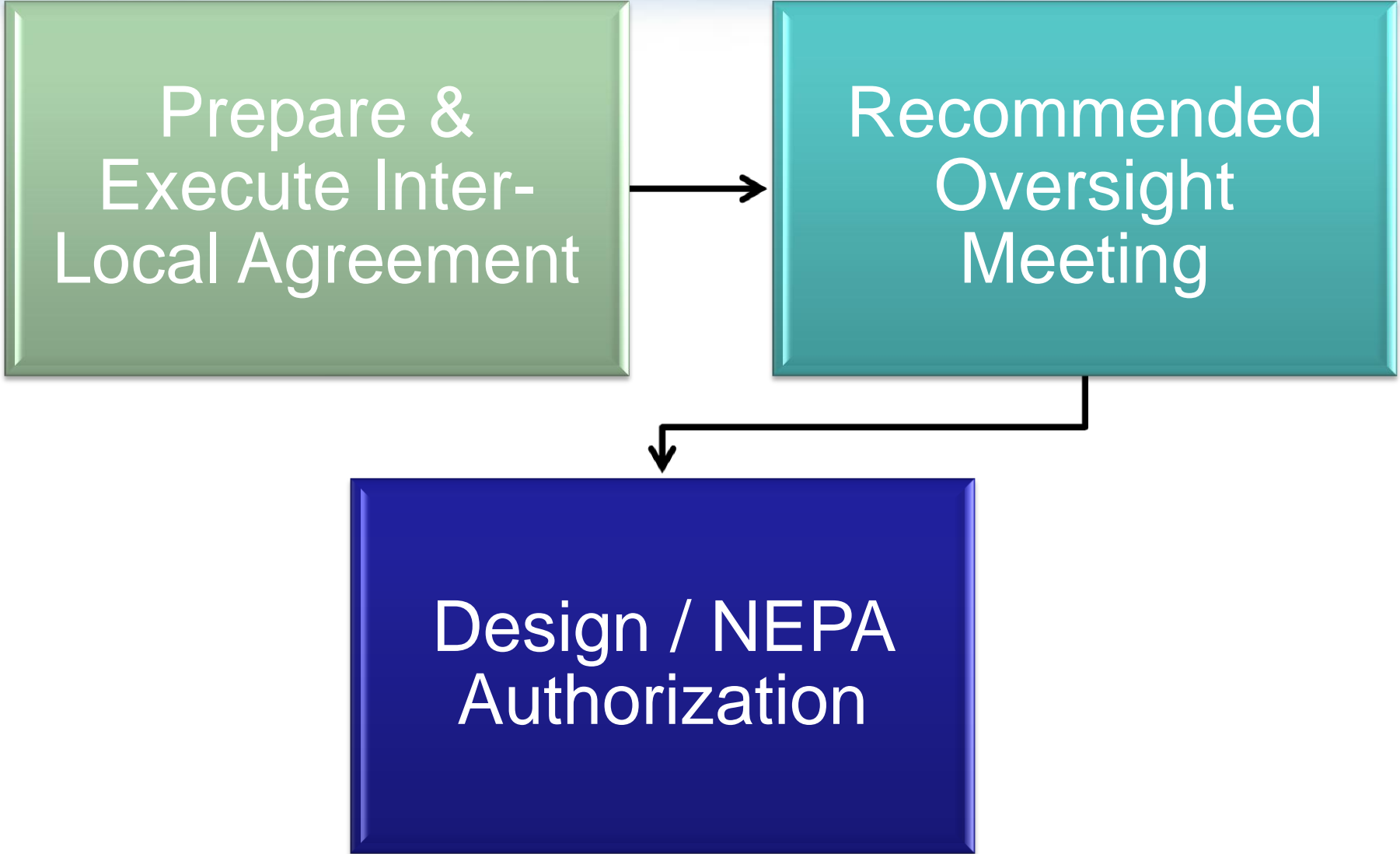
- Environmental Documents
- Major Projects
- Minor Projects

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LOCALLY ADMINISTERED PROJECTS PROGRAM DESIGN/NEPA Phase





Minor Project Design

- What's "minor"? Simple design, no complicating issues.
- What's makes a simple project no longer minor? – Closed Drainage systems, culverts, other structures – things a design unit in Raleigh must review
- Same Standards as Large Projects - Use NCDOT STD Drawings



Minor Project Review Time

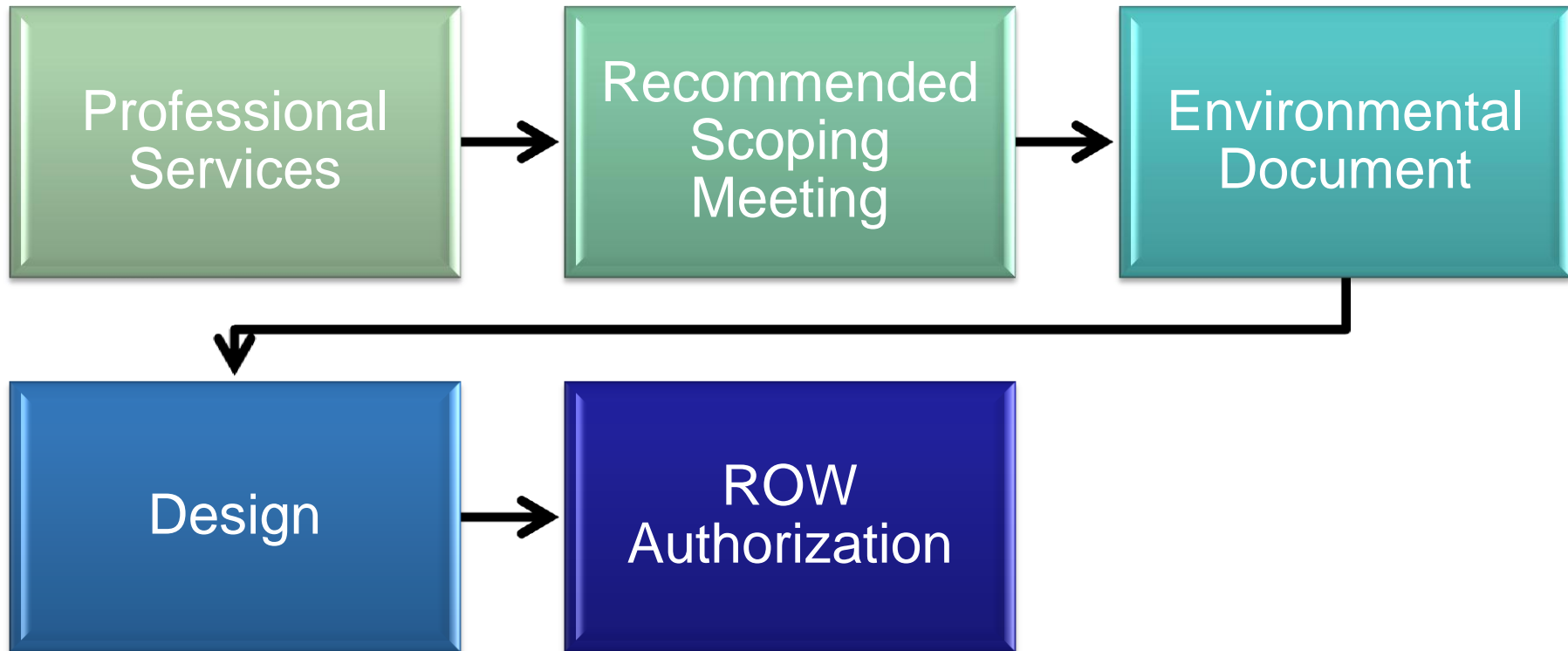
- Is it a complete set of plans?
- Review of simple projects doesn't take long, but.....there are dozens of projects (not just LAPP projects), and typically 1 reviewer!
- Be patient. Normally can get it reviewed in a week or two, if submittals are spread out and expected.
- Simple coordination by email, speeds up process.

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LAPP ROW Authorization





ROW Phase

- **ROW Funding and Authorization**
 - Funds are available for ROW Acquisition and Utility Relocation
 - Must be included in the Agreement
 - ROW Acquisition and/or Utility Relocation cannot occur until funds are authorized.
 - Authorization comes after the Agreement is executed, environmental document complete, LADA issued by Division, and estimate of costs.



Utility Relocation

- Utility Relocation
 - Cost of Utility Relocation is an eligible expense.
 - Should not reimburse if Utility is in ROW by encroachment and is required to pay.
 - Municipally-owned utilities (i.e. water/sewer) are eligible for reimbursement for relocation, not upgrades.

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ROW Phase(s)

Review NCDOT right of way certification guidelines and requirements

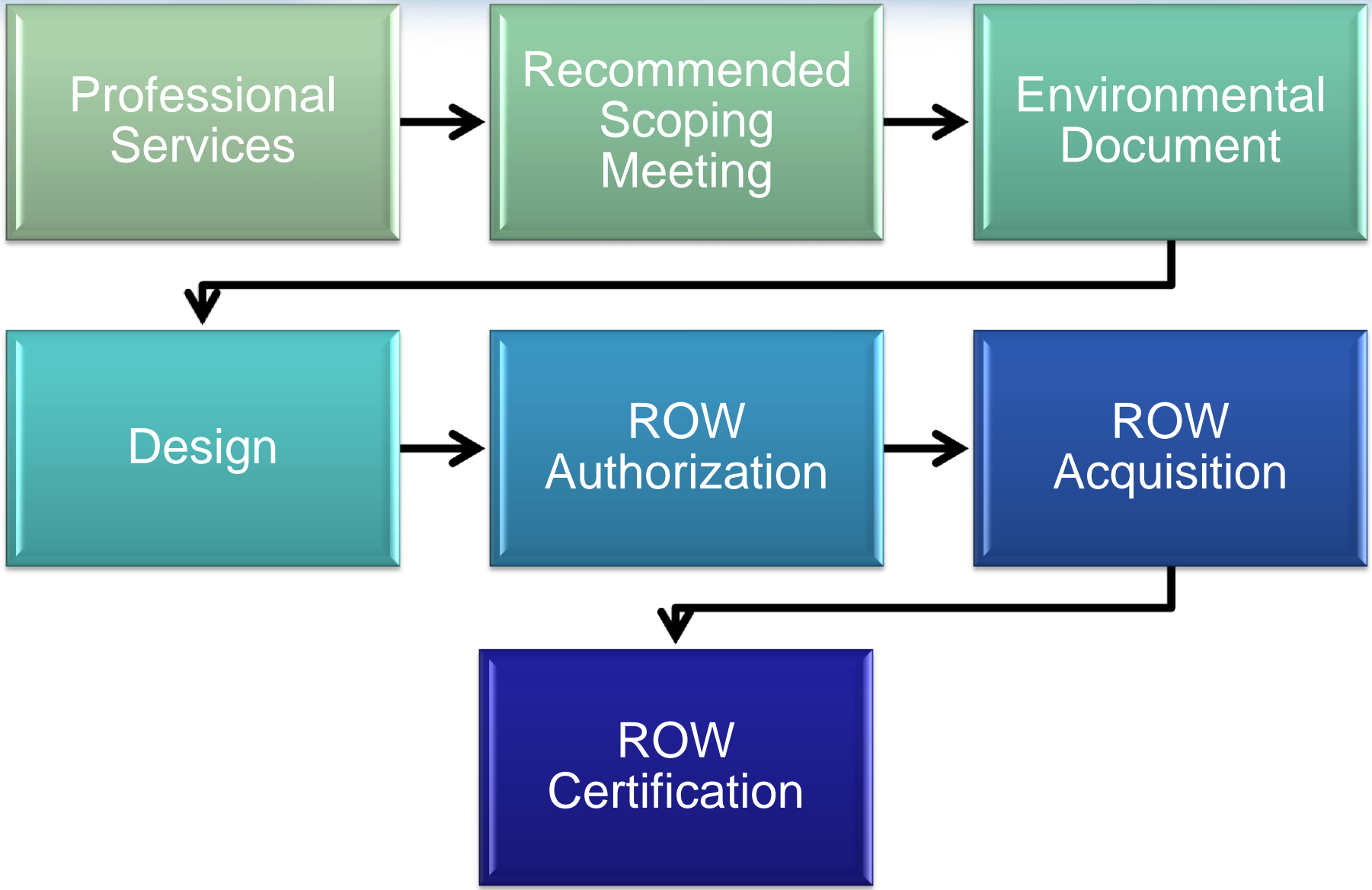
- TIP/TEA CERTIFICATION GUIDELINE PACKAGE

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LOCALLY ADMINISTERED PROJECTS PROGRAM ROW Phase





Right of Way Acquisition

- FOLLOW MUNICIPAL AGREEMENT GUIDELINES
- FOLLOW FEDERAL GUIDELINES/THE UNIFORM RELOCATION ACT
- VERIFY CURRENT RIGHT OF WAY
- CURRENT RIGHT OF WAY SHOULD BE VERIFIED BY PLATS, PLANS, & DEEDS ETC.



Right of Way Acquisition

- PREPARE SOME TYPE OF OFFER LETTER AND VALUE EXPLANATION FOR EACH MONETARY OFFER
- ACQUISITIONS VALUED OVER \$10,000 MUST BE APPRAISED AND REVIEWED BY AN APPRAISAL REVIEWER RECOMMENDED BY THE NCDOT
- NOTATE IN YOUR LETTER IF YOU HAVE A DONATION
- NOTATE IN A LETTER ON AGENCY LETTER HEADLAST MINUTE SUBMISSIONS
- FEDERAL GUIDELINES NOT FOLLOWED
- MUNICIPAL AGREEMENT NOT PROVIDED
- MUNICIPAL AGREEMENT NOT FOLLOWED (ex: utilities relocated a part of right of way certification)



Package Submission

- MUNICIPAL AGREEMENT
- SIGNED TIP/TEA CERTIFICATION GUIDELINE LETTER (IN HAND OUT)
- CONSTRUCTION PLANS WITH IDENTIFYING OWNERS AND PARCEL NUMBERS
- RECORDED PLATS
- RECORDED DEEDS
- REVIEWED APPRAISALS
- STATEMENT INDICATING VALUE ORIGIN ON OTHER APPRAISALS
- OFFER LETTER AND/OR NOTICES TO PROPERTY OWNER
- A LETTER SHOULD INCLUDE EXISTING RIGHT OF WAY, RIGHT OF WAY DONATION, RELOCATION, AND UTILITY EXPLANATION

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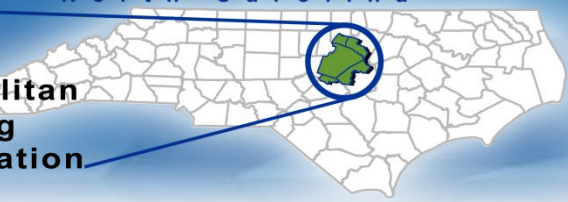
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Construction Phase

Review NCDOT Construction Phase guidelines and requirements

- Major Projects
- Minor Projects



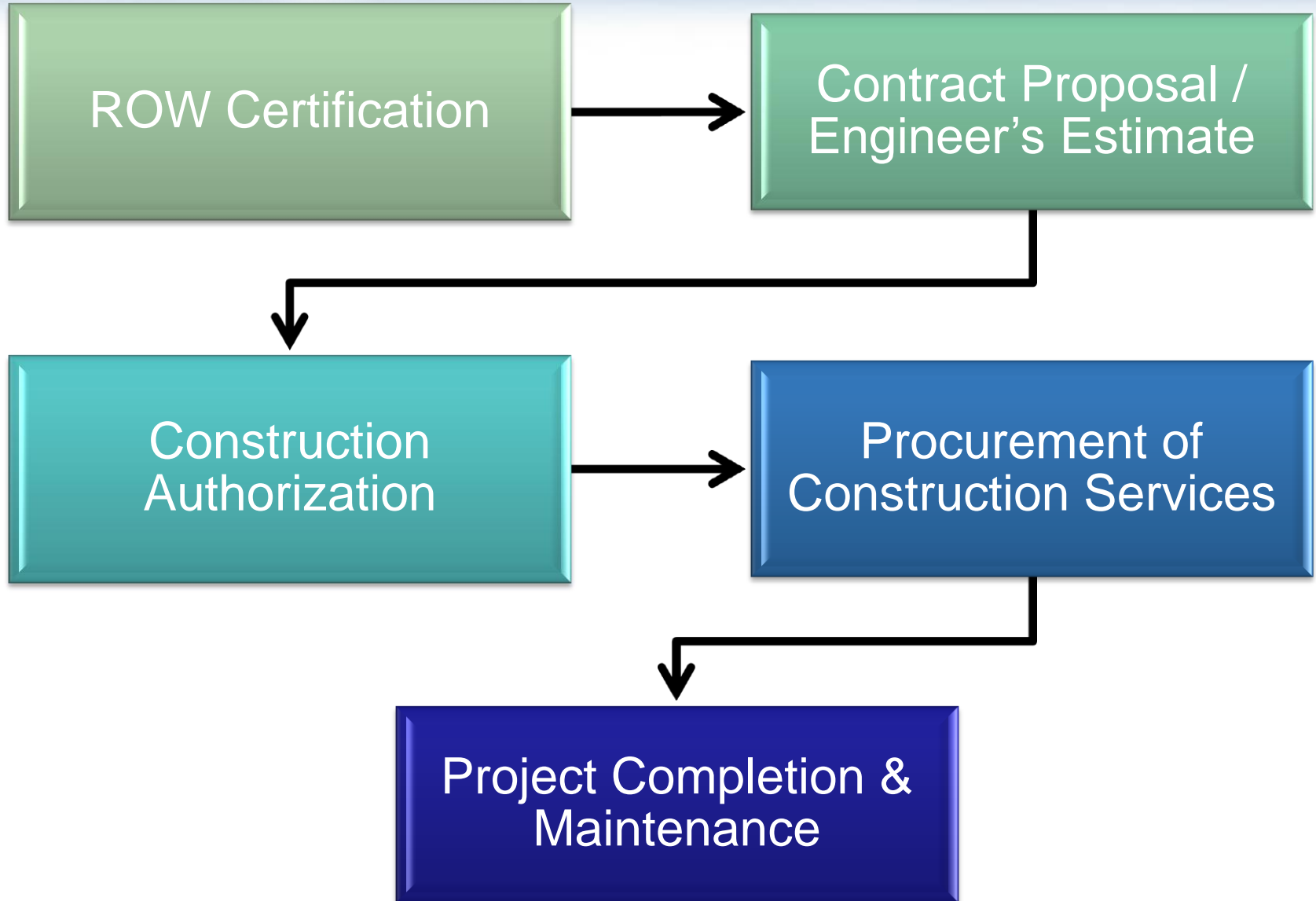
- Major Projects
 - Chris Haire
- Minor Projects
 - Mike Kneis

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LOCALLY ADMINISTERED PROJECTS PROGRAM Construction Phase





Contract Proposal

- Contract Proposal
 - Use Line-Up Sheet – see LPMO Handbook for more information
 - Check effective dates for Specs when updating proposals.
 - Do NOT use AIA, EJCDC or SCO Specs – often causes conflict.
 - Division or Contract Standards will approve
 - Need Line Item Estimate at this point for goal setting



Specialty or Proprietary Items

- Avoid if at all possible.
- If using name brand items, must list 3 brands and also “or equivalent”.
- Specialty Items **MUST** be approved well in advance of letting. i.e. trash cans on a streetscape project where matching existing trashcans on previous projects is desired. Approval could take several weeks!

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Contract Proposal

Check website below for current Provisions

http://www.ncdot.org/doh/preconstruct/ps/specifications/specifications_provisions.html

New Municipal Website coming in
March 2012!



Construction Authorization

Items Needed:

- R/W Certification
- Approved NEPA document
- Approved Plans and Proposal
- Approved Line Item Estimate

Next Step by NCDOT:

- LADA memo and Request Memo internally at NCDOT, Request to FHWA



Concurrence in Award

Items Needed:

- Bid tabs
- All forms filled out by bidders
- Letters of Intent from listed DBE subs
- Resolution from Council OR proof of delegation to Manager, etc.
- Letter from Town requesting Concurrence



Construction Inspection/Oversight

Your Responsibilities:

- Daily Inspection/Observation
- Testing by NCDOT Certified Inspectors at frequency required by DOT Specs.
- Get Change Orders approved by NCDOT PRIOR to the contractor doing the work, even if it's only for time. Must be on NCDOT Form 880LG
- Oversight

NCDOT Responsibilities:

- Answer your questions
- Review Change Orders and Claims.
- Audit

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LAPP – Project Management Process

Online project management/reporting
– Live Demo...

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LAPP – Reimbursement Request Process

Contractor does work

Contractor bills the Local Agency

Local Agency pays the contractor

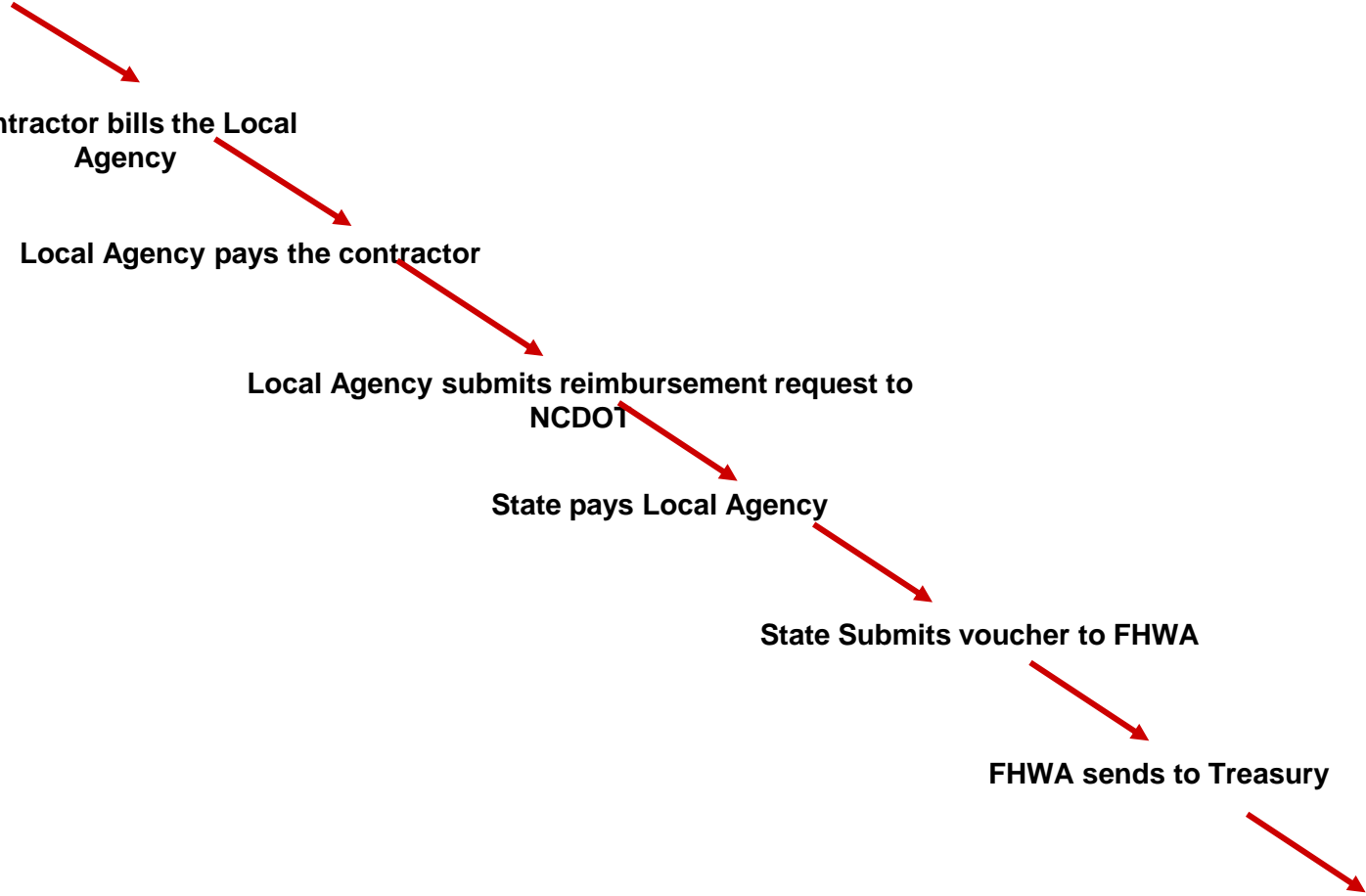
Local Agency submits reimbursement request to NCDOT

State pays Local Agency

State Submits voucher to FHWA

FHWA sends to Treasury

Treasury sends check to State



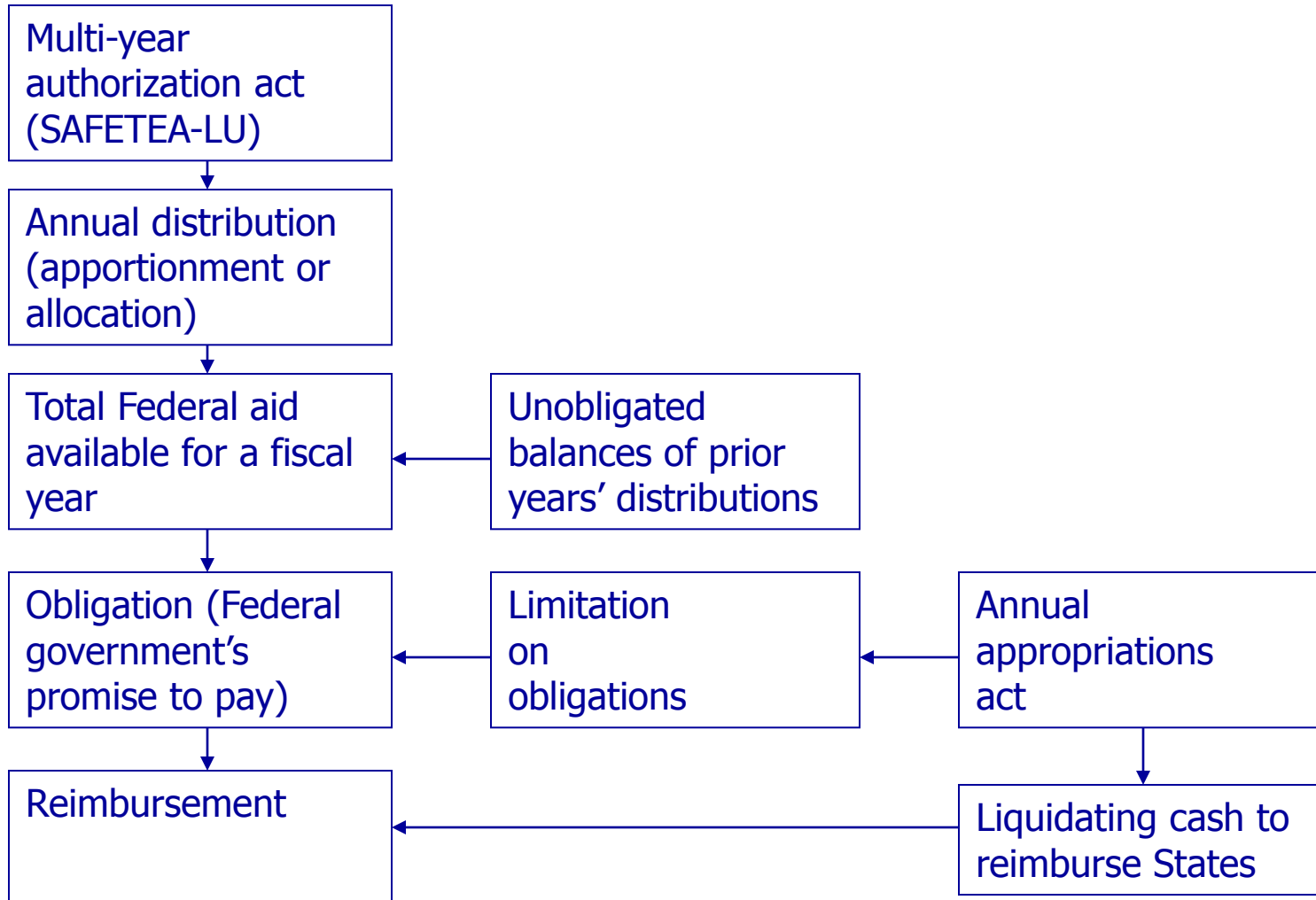


Invoices to NCDOT

- **Reimbursement Request (80% of elig. expenses)**
(See LPM Handbook for complete procedure)
 1. **Cover letter to NCDOT:**
 - Basic project information
 - Amounts paid by project work phase
 - Bills paid by LGA (summary of invoices)
 - Phase-specific items (e.g., material testing - QA & QC rpt)
 2. **Actual invoices from consultants**
 3. **Subcontractor payment report**
 4. **Evidence of LGA's payments to consultants and contractors**



FAHP financial procedures





Federal Funding Categories

- Transportation Enhancement (TE)
- Transportation, Community and System Preservation (TCSP)
- Congestion Mitigation and Air Quality (CMAQ)
- Surface Transportation Program (STP-DA)
- Safe Routes to School (SRTS)
- Congressional Earmarks
- ARRA (“Stimulus”)



U.S. Department
of Transportation
Federal Highway
Administration

A Guide To Federal-Aid Programs And Projects



- This guide provides basic information about the Federal-Aid programs, projects, and other program characteristics.
- Much of the information provided in this guide was included in the FHWA's 1999 edition of the same publication.
- This publication updates information from the past document and includes information resulting from the latest multi-year Federal-Aid authorizing legislative act, the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU, Public Law 109-59).
- As new or updated information becomes available, the electronic version of this guide will be updated.

<http://www.fhwa.dot.gov/federalaid/projects.cfm>



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Project Authorization / Funds Obligation

FHWA commitment that Federal funds are available for the project

1. Preliminary Engineering (PE) – (you have 10 years to construct the project – “Studies” are not a good idea)
 2. Right of Way acquisition (ROW)
 3. Construction (CON)
- **Required prior to incurring any expenses**
- Work done before the date of FHWA Division authorization is **NOT** eligible for reimbursement



Inactive Projects Reports

- 4 Reports – 9-Month, 1-Year, 2-Year & 3-Year Project Reports (each have dollar amount thresholds)
- These reports are a list of projects that have had no expenditure activity for the specified timeframe.
- Once a project hits a report, we have one quarter to get the project off the list or FHWA's Finance Section is **REQUIRED** to deobligate the funding.
- Remember that the Municipal Agreement states that a project must be invoiced at least once every 6 months to keep the project active and eligible for Federal funding.



FHWA NC LPA Review Findings

1. Expenditures occurred before FHWA
Authorization was signed
2. Projects not competitively bid
3. No pay records/diaries
4. No weigh tickets
5. No certified payrolls
6. No wage rate interviews
7. No material received reports
8. No Buy America Certification
9. No testing/test reports
10. No DBE documentation
11. No NCDOT oversight
12. NCDOT personnel were not verifying pay quantities before approving invoices
13. Force Account by local agency
14. Municipality destroyed records before the end of the records retention date



Locally Administered Project Reviews

- Advertisement/Bid documents
- Consultant Selection process
- Project Diaries
- Pay Record Books
- Concrete/Asphalt/ABC test results/frequencies
- Weight tickets
- Pay Estimates
- Supplemental Agreements
- Wage Rates
- DBE/Subcontractors
- Grading
- Traffic Control
- Erosion Control
- Signs
- Material Certifications
- Job-site Posters
- LPA/NCDOT Oversight
- Project Closeout

Contract Administration Training will be held soon for LPA's.

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