



NORTH CAROLINA

Department of Transportation



Locally Administered Projects Overview

Mike Calloway, Joe Laws and Jackie McSwain

January 31, 2018

Locally Administered Projects Overview

What you will learn from this Presentation:

- Major Steps of administering a federal-aid project by a local government agency
- Highlights of more complex steps
- Resources available for local government agencies

General Oversight 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

Resources

<https://connect.ncdot.gov/municipalities/Funding/Pages/default.aspx>

The screenshot displays the 'Connect NCDOT BUSINESS PARTNER RESOURCES' website. The navigation menu includes 'Doing Business', 'Bidding & Letting', 'Projects', 'Resources', and 'Local Governments'. The 'Local Governments' menu is expanded, showing 'Local Projects' as the selected item. Below the navigation, the page title is 'Local Projects Administration' with a subtitle: 'Guidance to help municipalities implement and deliver locally-administered transportation projects.' A breadcrumb trail shows 'Local Governments > Local Projects'. The main content area is split into two columns. The left column has an 'Introduction' section stating that the Local Programs Management Office (LPMO) provides guidance to Local Government Agencies (LGA) receiving federal or state funds. The right column is titled 'FORMS & TEMPLATES' and lists three documents: 'Letter from LGA Requesting Review of Proposal', 'Letter from LGA Requesting NCDOT Concurrence', and 'Letter from LGA Requesting'.

Connect NCDOT
BUSINESS PARTNER RESOURCES

Home Help Site Map

Doing Business Bidding & Letting Projects Resources **Local Governments** Search

Bridge Reuse Interagency Leadership **Local Projects** Planning Grant School Transportation State Airport Aid State Street-Aid Statewide Logistics

Local Projects Administration

Guidance to help municipalities implement and deliver locally-administered transportation projects.

Local Governments > Local Projects

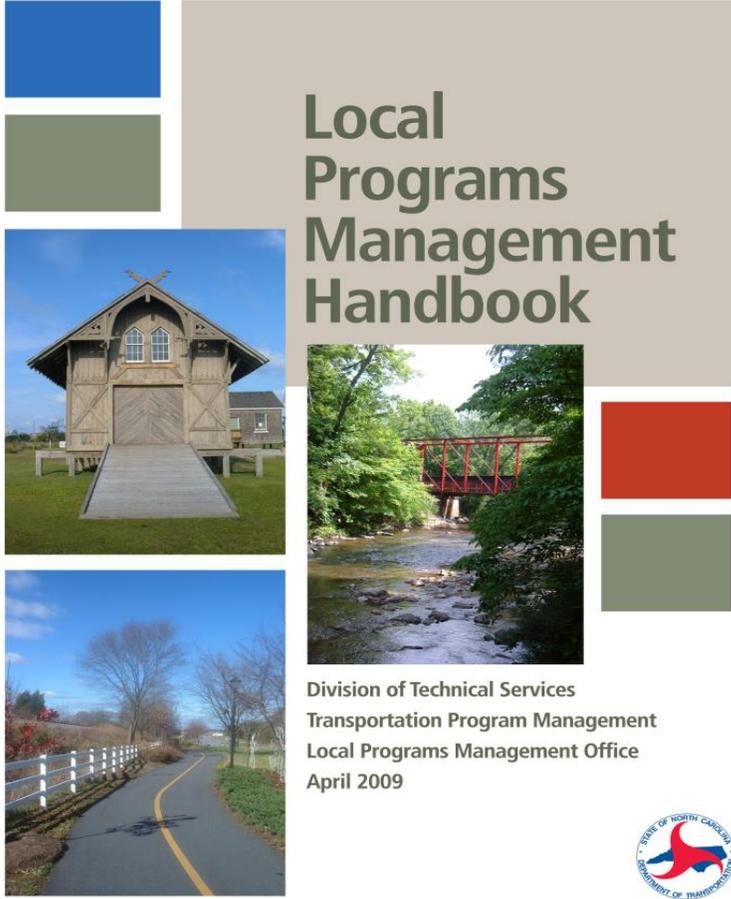
Introduction

The Local Programs Management Office (LPMO) provides guidance and oversight to Local Government Agencies (LGA) that receive federal or state funds to implement a project, program, or study. LPMO establishes standard operating procedures for those projects that are administered by an LGA.

FORMS & TEMPLATES

- Letter from LGA Requesting Review of Proposal
- Letter from LGA Requesting NCDOT Concurrence
- Letter from LGA Requesting

Resources



The image shows the cover of a handbook titled "Local Programs Management Handbook". The cover features a light beige background with the title in a large, dark, sans-serif font. To the left of the title are three colored squares: a blue square at the top, a green square in the middle, and a red square at the bottom. Below the title is a photograph of a wooden bridge over a stream, surrounded by lush green trees. To the right of the bridge photo are two more colored squares: a red square at the top and a green square at the bottom. Below the bridge photo is the text: "Division of Technical Services", "Transportation Program Management", "Local Programs Management Office", and "April 2009". At the bottom right of the cover is the logo of the North Carolina Department of Transportation, which consists of a circular emblem with a red and blue design and the text "STATE OF NORTH CAROLINA" and "DEPARTMENT OF TRANSPORTATION".

Local Programs Management Handbook

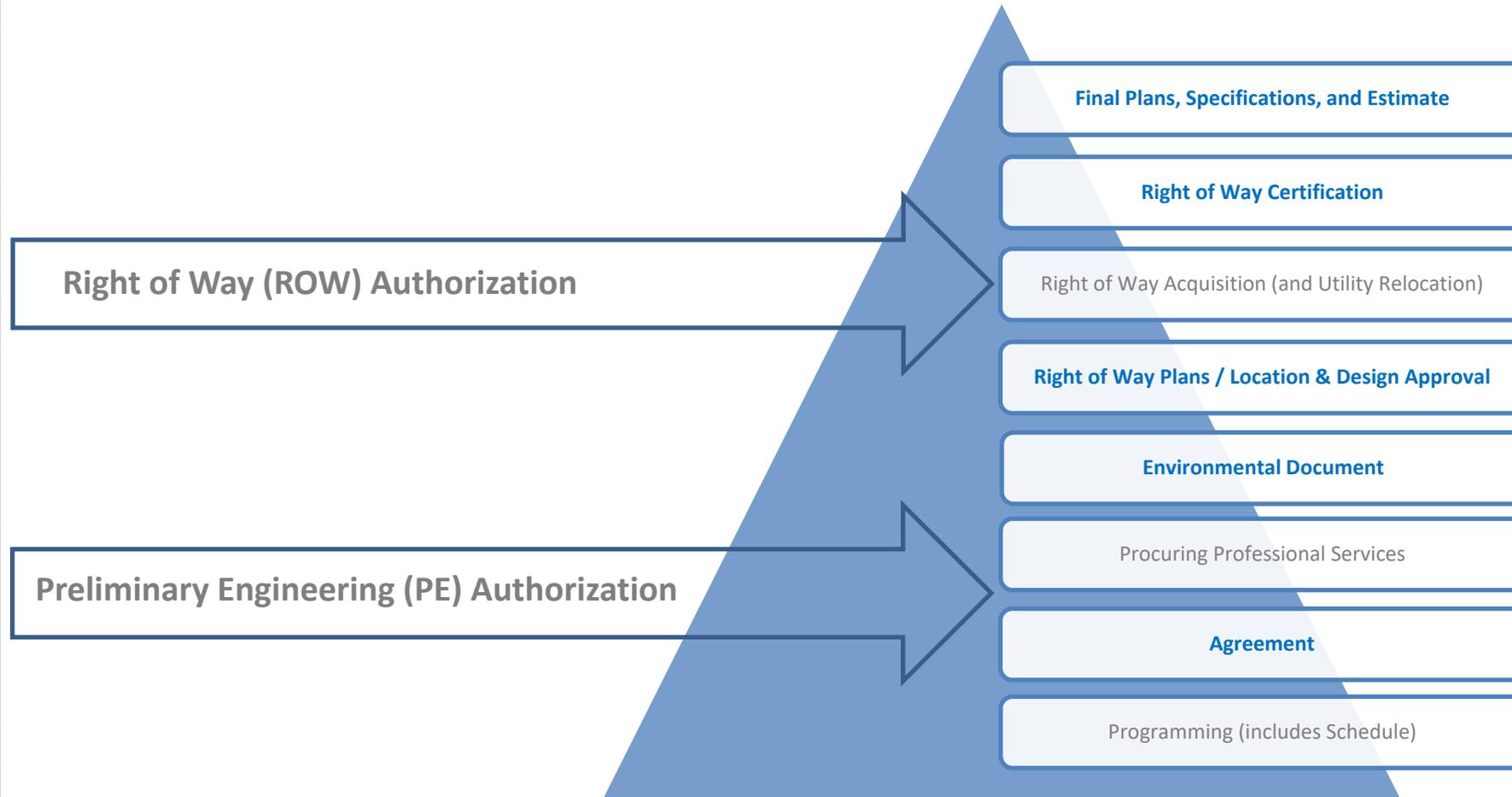
Division of Technical Services
Transportation Program Management
Local Programs Management Office
April 2009



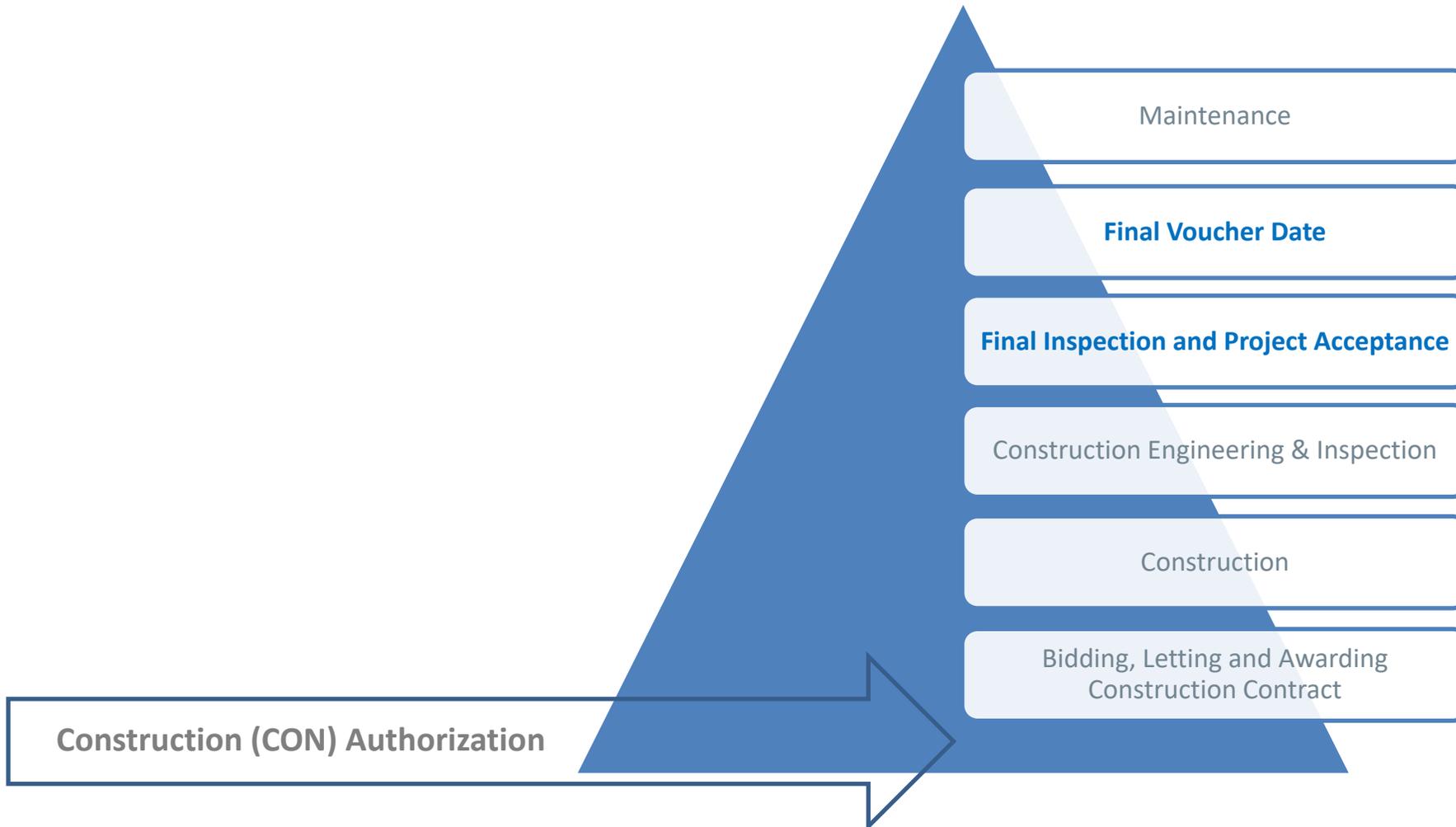
Initial Project Proposal

- Identify project scope – from Long-Range Transportation Plan, citizen input, etc.
- Due Diligence:
 - Environmental Concerns
 - ROW issues
 - Utility relocations
 - Project delivery
 - Budget/Schedule
- Identify funding source & process for approval for funds

Pre-Construction Steps



Construction Steps



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.

On-Line STIP

HIGHWAY PROGRAM

DIVISION 12

ROUTE/CITY/ TRANSIT PARTNER	ID NUMBER	LOCATION / DESCRIPTION	LENGTH (Miles)	TOTAL PROJ COST (THOU)	PRIOR YEARS COST (THOU)	FUNDS	STATE TRANSPORTATION PROGRAM				TYPE OF WORK											
							FY 2016	FY 2017	FY 2018	FY 2019												
CONGESTION MITIGATION PROJECTS																						
CRAMER MOUNTAIN ROAD	C-5623	BALTIMORE DRIVE TO SOUTH NEW HOPE ROAD. CONSTRUCT SIDEWALK.		402	75	CMAQ	R	5														
						L	R	2														
						CMAQ	C	240														
						L	C	80														
GASTON	EX																					
CRAMERTON	C-5563	FLEET VEHICLE CONVERSIONS (RETROFIT) TO LPG BI-FUEL.		150		CMAQ	I	120														
						L	I	30														
GASTON	EX																					
DALLAS	C-5508	DALLAS-HIGH SHOALS ROAD (OLD US 321), DALLAS CHERRYVILLE HIGHWAY TO PARK ROAD AND EAST ON PARK ROAD TO CAM		237		CMAQ	C	190														
						L	C	47														

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.

New Application Form - [SAP] - Windows Internet Explorer provided by N.C. Dept. of Transportation

Welcome Craig McKinney

NCDOT
NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION

LOCAL PROJECTS

Saved Searches [] Go Advanced []

New Application Form [Back]

Home
Help - LPMO
FAQ's

Recent Items

- 2000006230 Side W...
- LPMO_PY2014
- 2000006231 SAP-2...
- 214 Independent PE...
- 1000002499 SAP-2...

Please fill out the following form. You can save data typed into this form. [Highlight Existing Fields]

Project Information Data Sheet
LOCAL PROGRAMS MANAGEMENT OFFICE
1595 MAIL SERVICE CENTER
RALEIGH, NC 27699-1595

DIRECTIONS: Submit completed form with attachments to Local Programs Office

DEMOGRAPHIC INFO	
Name of Entity	CITY OF GREENSBORO
MPO/RPO *	Please Select
Type *	Choose One

CONTACT INFO - Agreements	
Name	Craig McKinney
Title	
Address	
Phone #1	Phone #2
Email	mpandya@NCDOT.GOV

CONTACT INFO - Project Delivery	
<input type="checkbox"/> Same as Agreements	
Name	
Title	
Address	
Phone #1	Phone #2
Email	

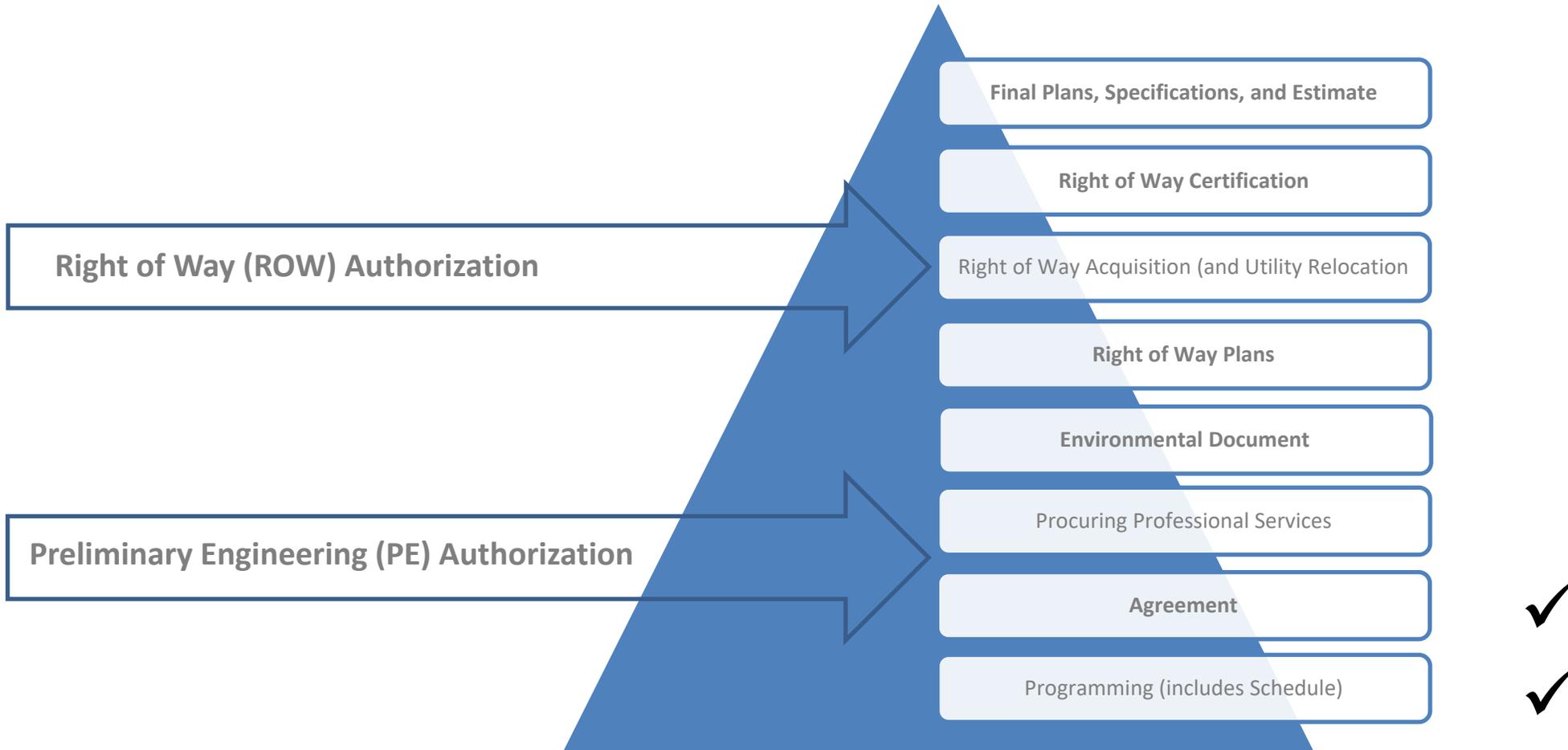
Done [110%]

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 two 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.

Pre-Construction Steps



PE Funding Authorization

- LGA will request through Local Project System or from NCDOT Project Manager.
- Requires an executed Agreement and an estimate of costs from LGA.
- The estimate, ideally, should be a breakdown of tasks and man-hours needed to complete the pre-construction phase (i.e. design, environmental analysis)
- PE can pay for environmental analysis, design, & the professional services to produce those items

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

Professional Services – Steps

- Solicit for services (using approved template for advertisement)
- Select the most qualified firm
 - Send to NCDOT for concurrence
- Negotiate a cost proposal (tasks, man-hours, rates)
 - Send to NCDOT for review
 - Professional Services Management Unit
 - External Audit
- Adjust/modify/or finalize as needed and draft contract
 - Send to NCDOT for review
- Execute contract and provide NCDOT a copy
- Any supplemental agreements need to be reviewed by NCDOT prior to execution

Questions or Comments?



Environmental Documentation

- Must be in conformance with NEPA – National Environmental Policy Act.
- Must also comply with other Federal environmental laws.
- Most projects qualify as a Programmatic Categorical Exclusion (PCE) Document

Environmental Documentation

- Guidance on the Local Programs Website
 - PCE Checklist
 - Guidance on who to consult
- Ensure that you have qualified people undertaking the work
- Documents may be reviewed at the Division or may be sent to Raleigh for review
- This step should occur early in the design process

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

- Right of Way is probably the biggest “unknown” when an LGA is working on a Project
- Any kind of ROW, whether it’s acquisition in fee simple, or you’re entering into an easement (temporary or permanent), or an encroachment, must be properly documented and then certified

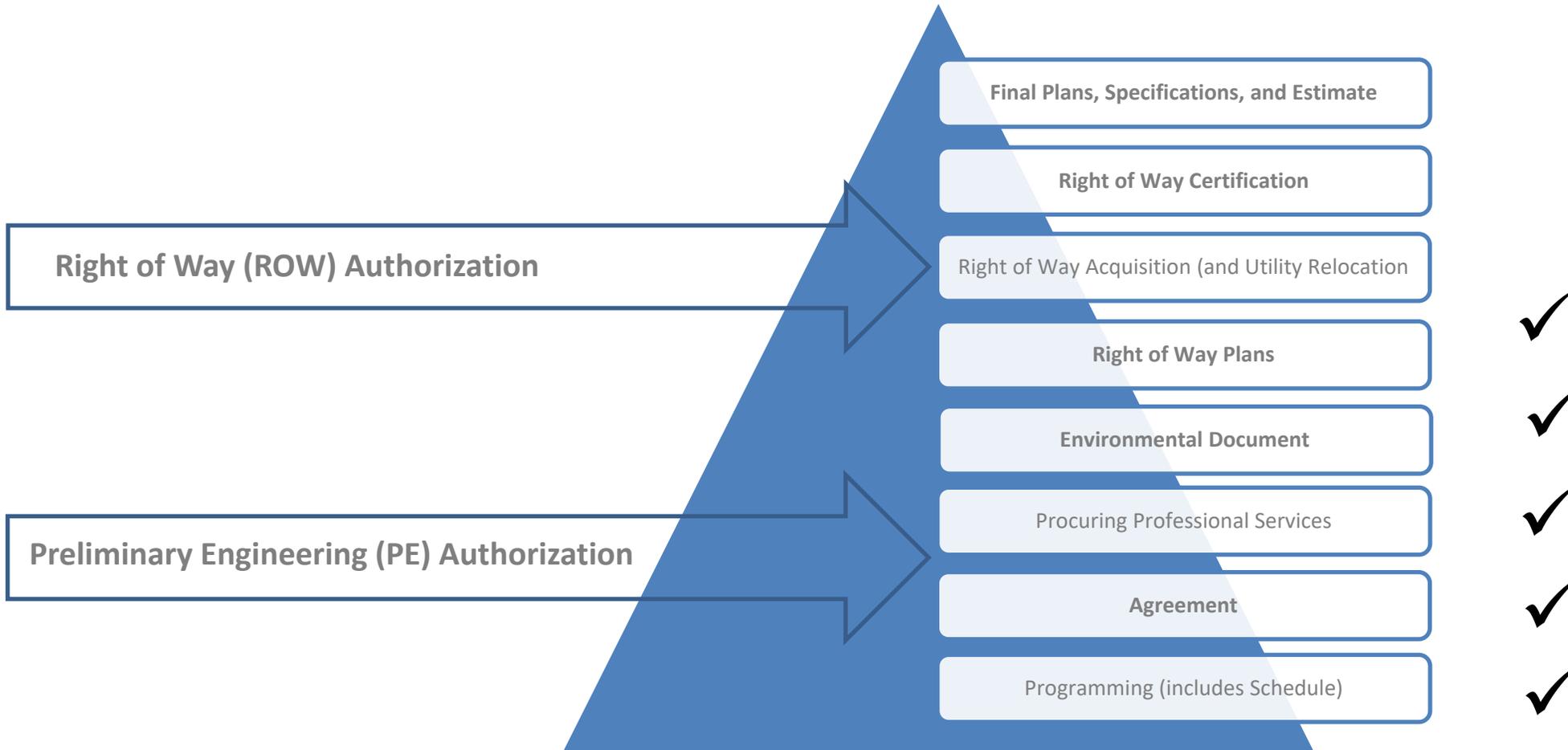
Right of Way

- 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

Questions or Comments?



Pre-Construction Steps



Right of Way Funding Authorization

- LGA will request through Local Project System or from NCDOT Project Manager
- Requires an executed Agreement, an approved environmental document, a Location and Design Approval, and an estimate of ROW costs from LGA
- The estimate can be developed from tax values, comparable sales, etc.
- If utility costs are eligible, an estimate for utility costs should also be submitted

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
- 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 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.
- LGA submits all documentation to the Division ROW Agent for certification.

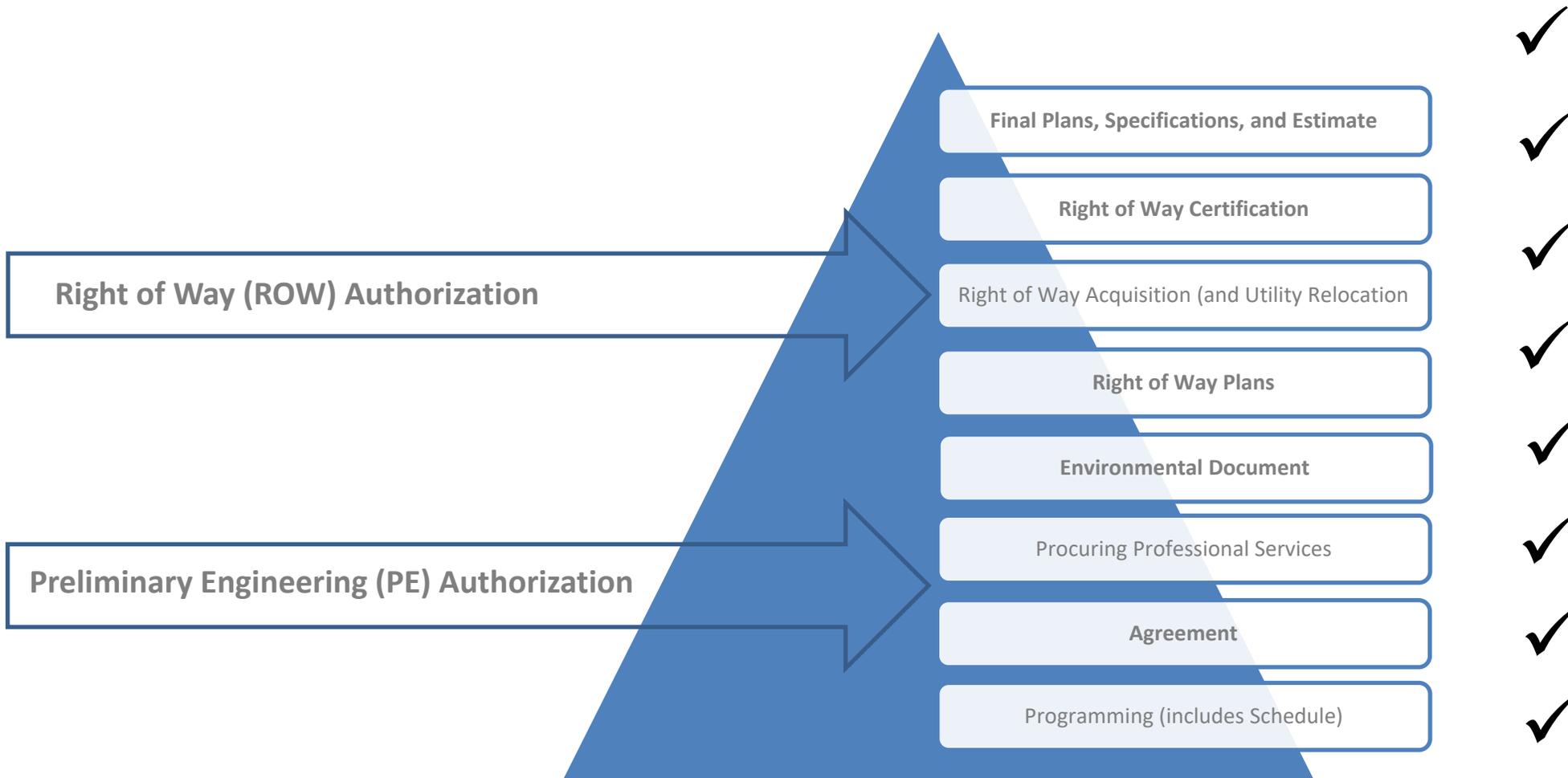
Questions or Comments?



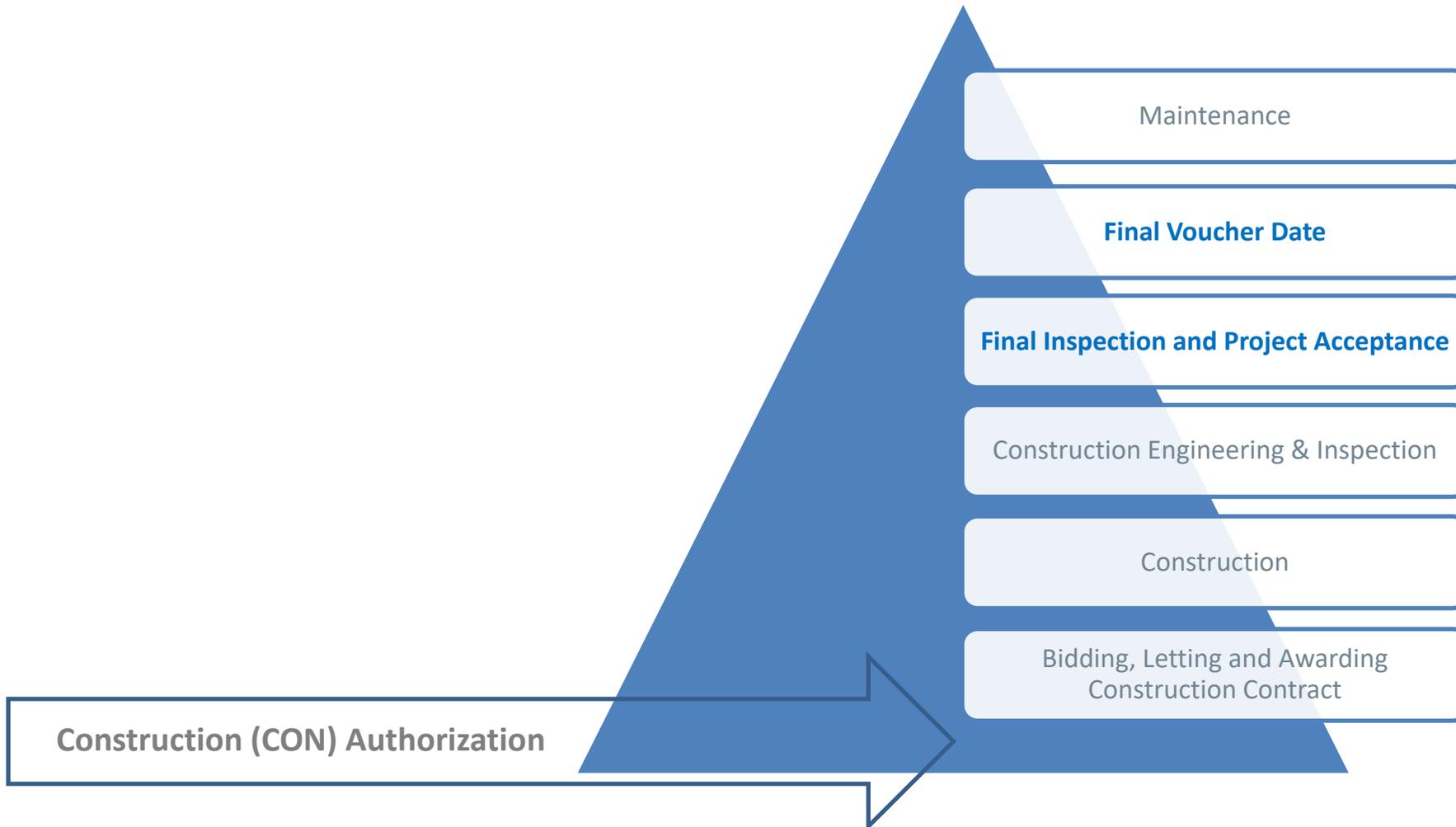
Proposal and Estimate

- 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.

Pre-Construction Steps



Construction Steps



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.
- 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

Remember!

Proposal Due Diligence

- Do you own the Right of Way?
- Do utilities need to be moved?
- What is the environmental situation?
- Is your schedule realistic?
- Have you included some breathing room in your Budget?

Remember!

Professional Services

- Need to be pre-qualified by DOT in all the work codes listed OR have subs that are pre-qualified.
- Average length of time to sign a contract with a PEF once funding is authorized? 8 months.
- City holds the contract with the consultant, not NCDOT.

Remember!

Professional Services

- Need to be pre-qualified by DOT in all the work codes listed OR have subs that are pre-qualified.
- Average length of time to sign a contract with a PEF once funding is authorized? 8 months.
- City holds the contract with the consultant, not NCDOT.

Remember!

Funding Authorization

- No costs can be incurred prior to authorization.
- Certain *deliverables* need to be complete prior to requesting the authorization.
- Once funds are authorized, move quickly to incur costs and request reimbursement.

Remember!

Right of Way

- All acquisition must follow the Uniform Act, even if you're not receiving reimbursement.
- Acquisition of Right of Way always takes longer than you think.

Remember!

Contract/Bid Proposal

- Must use NCDOT Standard Specifications (unless project is one that NCDOT does not have standards for).

Construction

- Be familiar with NCDOT Construction Manual.

Remember!

Close-Out

- Be aware of costs that LGA may need to reimburse to NCDOT
- Keep all records in a safe place for future audits

THANK YOU

Division 11 Joe Laws jlaws@ncdot.gov

Division 12 Jackie McSwain jmcswain@ncdot.gov

Division 13 Mike Calloway mkalloway@ncdot.gov