NC Capital Area **Metropolitan Planning Organization**

CAPITAL AREA MPO

Locally Administered Projects Program (LAPP) Project Management Training

April 13, 2026

9:00 AM – 3:00 PM

Link to Slide Deck: https://www.campo-nc.us/funding/locally-administered-projects-program/training

Today's Agenda

- **Introductions**
- **Locally Administered Projects Program Overview**
  - Program Overview
  - TIP/STIP
- **Project Development Process, Part I**
  - Pre-Design
  - Design
- **Break – Lunch**
- **Project Development Process, Part II**
  - Right of Way
  - Construction
  - FHWA Considerations
- **LAPP Project Delivery Requirements**
- **Wrap Up**

Locally Administered Projects Program Overview

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LAPP - Introduction

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

LAPP - Eligibility

- **Locally- Administered**
  - By applying, the local government or NCDOT Division is committing to sponsor the project.
  - The sponsor will be responsible for all federal and state reporting requirements.
  - There will also be reporting on a regular basis required by CAMPO.
  - An inter-local agreement will be required between NCDOT and the project sponsor.
  - Local sponsors will be required to front all project costs, invoice NCDOT, and get reimbursed for the agreed upon federal percentage.

- **Shovel Ready**
  - Timely execution of agreement to proceed.
  - Requested phase authorized within funding year.

TIP/STIP Considerations & Funding/Schedule Changes

Pre-Design

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TIP Process

- Amendments require Executive Board (TAC) action (2-3 Months)
  - Add or delete a project
  - Change in design or scope, such as termini, number of lanes, etc.
  - Add or substantially modify a phase of work
  - Change in cost
  - Change in schedule

- Modifications that require administrative approval (No TAC action)
  - Minor change in funding amount
  - Use different source of funds
  - Small changes in project scope

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STIP changes*

- Revisions require Board of Tr. (BOT) action + additional 2-3 Months
  - Change Fiscal Year in which $$ to be authorized
  - Add (or modify) a phase of work

- Cases NOT requiring BOT action
  - Minor change in funding amount
  - Use different source of funds

*If LAPP funds involved, MPO must review and concur

Pre-Design

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FHWA
Transportation Conformity
CMAQ/NEPA

Pre-Design

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Transportation Conformity

Pre-Design

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What is Transportation Conformity?

- It’s how we ensure that Federal funding and approval goes to transportation activities that are consistent with air quality (AQ) goals

Pre-Design

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Conformity Impacted Counties

- Franklin
- Granville
- Johnston
- Wake

Pre-Design

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What if conformity determination cannot be made?

- The use of Federal aid funds is stopped
  - Impacts design work, right-of-way acquisition, construction, permitting and approval of environmental documents

Pre-Design

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What are conformity triggers?

- Change of project scope
  - Change in number of lanes
  - Auxiliary lanes
  - Managed lanes (HOV/HOT)
  - Change in project length
  - Addition/deletion of an interchange
  - Replacing an intersection with an interchange

Pre-Design

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What initiates the need for a conformity determination?

- Adoption or amendment of a MTP
- Adoption or amendment of a local TIP or STIP (*project scope, horizon year or termini change during project development – NEPA)*

Pre-Design

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Transportation Conformity Implications

Conformity Implications

- Projects in non-attainment or maintenance areas
- Amendments
- Non-regionally significant, but not exempt projects require a conformity determination, but not a conformity analysis (short form) (unless the project is exempt)

NO Conformity Implications

- Projects NOT in non-attainment or maintenance areas
- Administrative Modifications
- Exempt projects

Pre-Design

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Planning and Transportation Conformity Amendment Timelines

- Planning (no conformity)
  - 3 to 6 months to add a project to MTP/TIP/STIP
  - This is the current process we use for projects in CAMPO
- Planning (with transportation conformity)
  - 4 to 6 months conformity without a regional emissions analysis
  - 9 to 12 months conformity with a regional emissions analysis

Pre-Design

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CMAQ

Pre-Design

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Congestion Mitigation & Air Quality Program (CMAQ)

- Federal program that provides funding for projects or programs in air quality concern areas to help achieve & maintain air quality standards
- Jointly administered by FHWA & FTA, in conjunction with EPA
- Funding available for areas that are (or were) non-attainment or maintenance
- Eligible projects / programs include those with air quality benefit that are likely to contribute to the attainment of the standards

Pre-Design

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Eligible CMAQ Projects

- Congestion Reduction & Traffic Flow Improvements
- Transit & Public Transportation Improvements
- Bicycle & Pedestrian Facilities/Programs
- Transportation Control Measures (TCMs)
- Travel Demand Management
- Public Education & Outreach
- Idle Reduction
- Alternative Fuels & Vehicles
- Carpooling & Vanpooling
- Diesel Engine Retrofits & Other Advanced Truck Technologies
- Value/Congestion Pricing

Pre-Design

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CMAQ Submittal Process

- Initial Discussion with Applicants to Pre-screen Projects
- CMAQ Application
- Submitter review
- MPO/RPO Endorsement and Approval

Pre-Design

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CMAQ Interagency Review

- FHWA, NC Division of AQ (NCDAQ), Environmental Protection Agency (EPA) and Federal Transit Administration (FTA) review applications for eligibility and provide review comments to NCDOT
- Projects are not approved until comments/questions are addressed

Pre-Design

FHWA CMAQ Project Authorization

- CMAQ Application with Emissions Benefits
- Metropolitan Transportation Plan (MTP)/Transportation Improvement Program (TIP)/State TIP
- Right of Way Authorization
- Environmental Document
- Federal Share
- Project Completion Date

Pre-Design

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National Environmental Policy Act (NEPA)

Environmental Document

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NEPA

- NEPA of 1969 (signed January 1, 1970)
- Established Nat'l environmental policy & goals
- Required agency disclosure of impacts of proposed actions and possible mitigation
- Created basis for environmental impact statements (EIS) for major Federal actions
- Created Council on Environmental Quality (CEQ)-monitors Federal actions, provides overall guidance, tracks trends and resources.

Environmental Document

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When Does NEPA Apply?

- For FHWA, basically when a project is proposed for Federal-aid Highway Funding
- Action-highway or transit project proposed for FHWA funding, but…
- …actions must also include activities such as multiple use permits or changes in access control that may or may not involve commitment of funds

Environmental Document

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What must be considered?

- Natural and “built” environments
- Agencies must take a “hard look” at consequences of actions and keep public informed
- NEPA goal: Promote efforts which will prevent or eliminate damage to the environment

Environmental Document

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What are Classes of Actions?

- Categorical Exclusion (CE)-actions which do not individually or cumulatively have a significant effect on the human environment
- Environmental Assessment (EA)-significance of environmental impact is not clearly established; to determine the appropriate environmental document required
- Environmental Impact Statement (EIS)-detailed written statement on major Federal actions significantly affecting the human environment

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What will be needed to receive the Federal Funds?

- Completed/approved environmental document (PCE/CE/EA/EIS)

Environmental Document

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Additional NEPA Resources

- Federal Aid Essentials for Local Public Agencies
- http://www.fhwa.dot.gov/federal-aidessentials/
- NCDOT Local Projects Administration
  - https://connect.ncdot.gov/municipalities/funding/Pages/default.aspx
- Local Programs Management (LPM) Handbook Updates
  - https://connect.ncdot.gov/municipalities/Funding/Pages/LPM%20Handbook.aspx

Environmental Document

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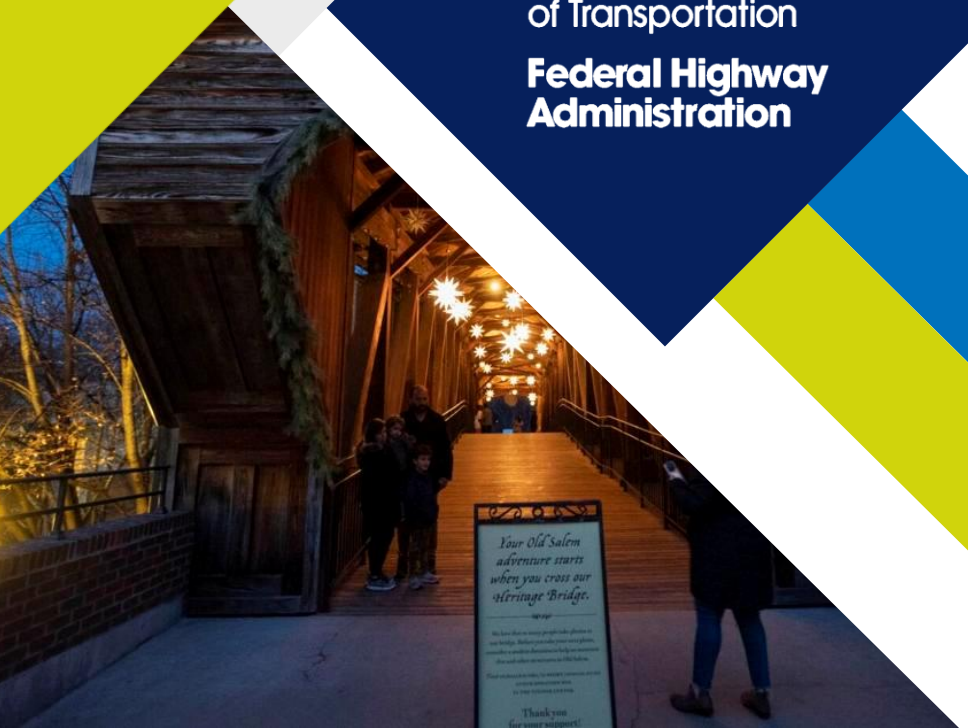
U.S. Department of Transportation
Federal Highway Administration



Funding, Monitoring, & Reporting

FHWA's Role

- Provide Federal funding for your project
- Ensure Federal dollars are spent appropriately
- Ensure there is no fraud, waste, and/or abuse
- Ensure the recipients have a good project
- Ensure that recipients have every opportunity to keep every dollar of their Federal funds
- **Regulations <u>you</u> have agreed to uphold by asking for and receiving federal funds**

NCDOT's Role

- Although NCDOT usually has no funds in LPA projects, they have full oversight and responsibility of all LPA projects established by:
  - 23 CFR 635.105(a) & (b):
    - (a) NCDOT has responsibility for the construction of all Federal-aid projects and is not relieved of such responsibility by authorizing performance of the work by a local public agency or other Federal agency. NCDOT shall be responsible for insuring that such projects receive adequate supervision and inspection to ensure that projects are completed in conformance with approved plans and specifications.
    - (b) Although NCDOT may employ a consultant to provide construction engineering services, such as inspection or survey work on a project, the NCDOT shall provide a full-time employed State engineer to be in responsible charge of the project.
  - Stewardship and Oversight Agreement
- In the unlikely event that funds have to be re-paid or deemed non-participating, they are taken from NCDOT and then the municipality will be responsible for re-paying NCDOT (or it will be taken from your Powell Bill).

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)
  - NCBOT adopts a new "Funding Program" (7-year STIP) every two years
- 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

2 CFR 200 “The Supercircular”

- Period of Performance:
  - Imposes a period when project costs can be incurred
    - Start Date (Project Authorization Date) through the End Date (predetermined by NCDOT using a formula based on projects of similar scope accounting for delays)
    - Costs can **only** be incurred within start and end date
    - After project end date - no additional costs can be incurred
    - Requires that projects be closed out 15 months after the “End Date” established and documented on the FHWA Authorization
- Extension/modification of End Date is authorized by the awarding agency only when there is a project delay beyond the control of the recipient
  - Ex: utility delays, railroad delays, lawsuits, etc.

Project/Funds Authorization

- FHWA commitment that Federal funds are available for the project
  - Preliminary Engineering (PE)
  - Right of Way acquisition (ROW)
  - Construction (CON)
- Authorization is required **prior to** incurring **any** expenses
- Work done before the date of FHWA Authorization is NOT eligible for reimbursement

CEI Contracts/Advice

(We cannot tell you who to hire, but we can offer some things to consider)

- If you are hiring a CEI Firm to handle your project, hiring one that has NCDOT contract administration experience is important
  - You may want to consider putting something in your contract to reflect that
  - Does the specific Project Manager/Inspector that will be working on your job have NCDOT experience?
- Your Municipal officials signed a Municipal Agreement that states:
  - All projects are required to use:
    - NCDOT's Standard Specifications, NCDOT's Construction Manual, NCDOT's Minimum Sampling Guide, and all State and Federal regulations

Inactive Projects

- A project will become inactive if it has not had an expenditure charged to it in FHWA's project tracking system for one year
- Once a project hits the 1-year report, FHWA's Finance Section is REQUIRED to deobligate the unexpended funding amount
- 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.
- The Municipal Agreement also states:
  - *FINAL INVOICE*
    - *All invoices associated with the Project must be submitted within six (6) months of the completion and acceptance of the Project to be eligible for reimbursement by the Department. Any invoices submitted after this time will not be eligible for reimbursement.*

Preliminary Project Reviews

- LPA Program Manager will be conducting three types of reviews:
  - Compliance Assessment Review (CAP) – Directed and selected by our Headquarters Office
  - Pre-Construction Conference Review – When you receive your Concurrence In Award letter from NCDOT, it will have on it that an invitation to the Pre-Construction Conference should be sent to your NCDOT contact, NCDOT M&T Contact, as well as FHWA Local Program Manager(s)
  - Records Reviews – Will consist of a review of all project records and documentation for a project that is 50%-75% complete
    - We will provide a copy of the checklist that will be used!

Buy America

- **All steel and iron products permanently incorporated into a Federal-aid project MUST be domestically produced**
- **Build America, Buy America extends coverage to construction materials**
- Applies to both highway and non-highway projects
- Regulations & Guidance on Buy America:
  - Buy America for LPA - https://highways.dot.gov/fed-aid-essentials/videos/project-construction-and-contract-administration/contract-1
  - 23 CFR 635.410 - https://www.govinfo.gov/content/pkg/CFR-2013-title23-vol1/xml/CFR-2013-title23-vol1-sec635-410.xml
  - Page 86 of CACC - https://www.fhwa.dot.gov/programadmin/contracts/cacc.pdf
  - Build America, Buy America - https://www.fhwa.dot.gov/construction/contracts/buyam_qa_baba_post10232023.cfm

U.S. Department of Transportation
Federal Highway Administration

Project Closeout

Final Inspection
- NCDOT must be present
- Develop punch list
- Invite M&T

Notice of Acceptance

Request for Concurrence in Construction

M&T Review/Certification

Final Estimate

Final Reimbursement Request

Submit NCDOT-1446B

Email NCDOT Fiscal 1446B, M&T Cert, and request to close

NCDOT sends Municipality Final Voucher letter

Important: Project Closeout

- 2 CFR 200 (aka: Supercircular) - Requires that projects be closed out 15 months after the “End Date” established and documented on the FHWA Authorization.
- If timeframes are not met, the Supercircular states that ALL project funds shall be taken back.
- Keep all project records for three years after the Final Voucher Date as they can be audited by FHWA until that time.
- Closeout guide and checklist: https://connect.ncdot.gov/municipalities/Funding/Pages/LPM%20Handbook.aspx

Examples of Items That Are Not Eligible

The rule of thumb is it has to be "transportation related" items – you should be able to walk on it, ride on it, or drive on it.

(Just because it's in the Master Plan, doesn't mean it's eligible for Federal Funding)

Don’t Be Afraid To Ask For Help!

- Please contact your NCDOT partner if:
  - You have questions
  - Run into a problem
  - Don’t know how to handle something
- NCDOT is here to help you and to keep you out of trouble
- If anything needs to be elevated, NCDOT will contact FHWA

NORTH CAROLINA
Department of Transportation

Local Project Delivery and Implementation

Sheila Atwood and Raymond Hayes, PE

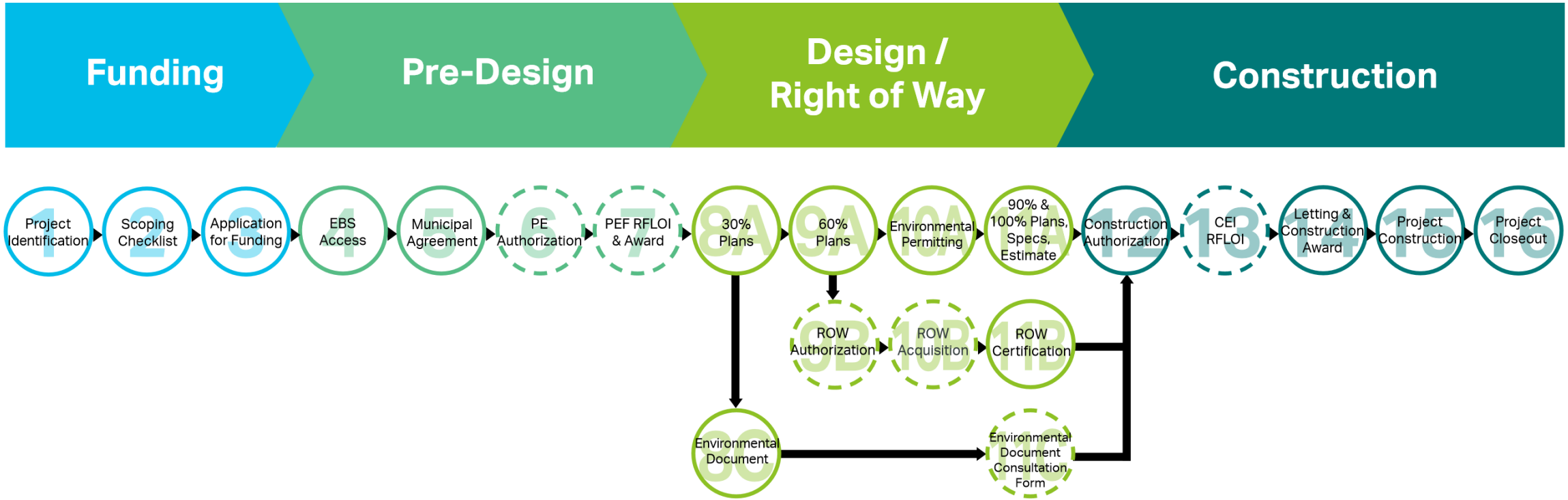
April 13, 2026

Connecting people, products and places safely and efficiently with customer focus, accountability and environmental sensitivity to enhance the economy and vitality of North Carolina

Overview of Presentation

- Resources
- Local Project Delivery
- How to Coordinate Delivery Steps with EBS
- Professional Services
- Reimbursement

Major Phases of Project Development

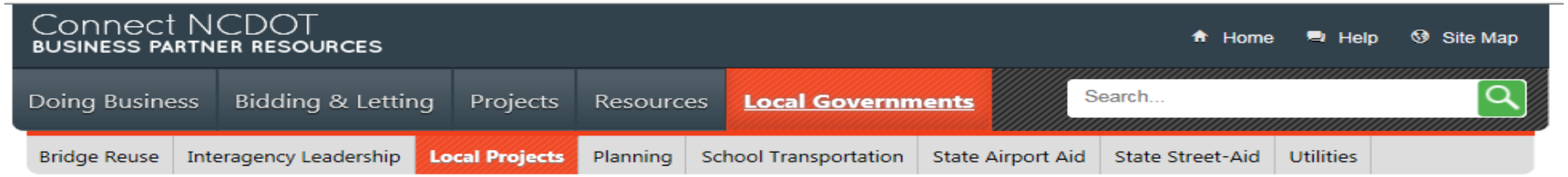


Link to Scoping Guidance Document:
https://connect.ncdot.gov/projects/BikePed/Documents/BikePed%20Project%20Scoping%20Guidance%20for%20Local%20Governments.pdf

LPMO Website

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

- The Department has a website for internal and external customers to utilize for information.
- For Local Projects, click on the “Local Governments” tab, then the “Local Projects” tab.
- The website provides resources and links to other funding areas, project guidance, templates and forms.



Connect NCDOT
BUSINESS PARTNER RESOURCES

Home | Help | Site Map

Doing Business | Bidding & Letting | Projects | Resources | Local Governments

Search...

Airport Grant Programs | Bridge Reuse | Interagency Leadership | Local Projects | Planning | School Transportation | State Street-Aid (Powell Bill) | Utilities

Local Programs

Information on Municipal and Developer Agreements and Locally Administered Projects

Connect NCDOT ▶ Local Governments ▶ Local Projects

Local Programs Management Office (LPMO)

The LPMO is a central office that oversees the creation, delivery, and execution of Municipal and Developer agreements that are requested by NCDOT Business units, Division Offices, or other NCDOT personnel and are connected to the development, construction, and operation of transportation projects.

The LPMO also provides oversight and guidance to locally developed and -delivered projects that NCDOT reimburses with Federal and/or State funds. The LPMO assists with and provides standards for successful administration and close-out of projects.

About | Agreement | Local Projects | Division Resources | FAQs

Please use the above tabs to explore our website further. If you are a local government

Forms and Templates

Forms and Templates have been moved to the **Local Project Delivery Resources** page

LPMO Customer Service Survey

Your feedback is essential in making the NCDOT LPMO team responsive to your needs. Customer Services is a core value at NCDOT.

Take the Survey

WHAT IS A LOCALLY-ADMINISTERED PROJECT?

Local Government Agencies, or LGAs, receive federal and state money based on the recommendations of Metreopolitan or Rural Planning Organizations (MPOs and RPOs); through prioritization via the Strategic Transportation Initiative (STI); by applying and receiving Federal grants; or by Legislative directives. Per NC Board of Transportation (BOT) policy, LGAs are generally responsible for developing and delivering the project or implementing a program. Examples of typical local projects include:

- Greenways or Multi-Use Paths, or Sidewalks
- Intersection Improvements (crosswalks, turn lanes)
- Bicycle Lanes

WHAT IS NCDOT'S ROLE?

NCDOT's role is to advise, approve and oversee the proper expenditure of funds by an LGA on an eligible project or program. NCDOT is committed to establishing appropriate oversight to ensure the best use of public funds and compliance with all applicable state and federal regulations.

ENTERPRISE BUSINESS SERVICES (EBS)

The New Local Project Management Tool is now LIVE! Please use the Security Form to request a user id and password.

ACCESS to the Project Managment Tool: Enterprise Business Services

QUICK GUIDES to navigating the EBS Portal:

- REQUESTING NEW AGREEMENT.pdf
- REQUESTING A SUPPLEMENTAL AGREEMENT.pdf
- SUBMITTING DOCUMENTS FOR REVIEW.pdf
- REQUESTING AUTHORIZATION OF FUNDING.pdf
- REQUESTING REIMBURSEMENT.pdf

WEBINAR: EBS Portal Overview

Local Projects Management Tool - Training Webinar PPT Notes.pdf

Updates

Understand the Requirements of NCDOT and the Federal Highway Administration for federally-funded Projects

Connect NCDOT ▶ Local Governments ▶ Local Projects ▶ Local Programs Management (LPM) Handbook and Updates

Local Project Delivery and Resources

New Handbook and Resources coming soon. Please use existing Handbook below and forms and templates on the right until updates are available

To assist Local Government Agencies, or LGAs, who receive federal and state money to develop and deliver projects, NCDOT is developing a flowchart with step-by-step instructions and links to resource materials and checklists that include timelines, anticipated schedules, EBS guidance, and contact information to help guide LGAs through the process from beginning to end. See training opportunities below.

Note: The resources on this page are for projects that have been allocated funds. If you do not currently have a funded project, visit the Local Projects page for more information about the LAP program.

2025 Local Projects Webinar

DATE	SESSION	VIDEO RECORDING	POWERPOINT PRESENTATION
1/29/2025	Requesting Local Project Agreement In EBS Portal	Video Recording	PowerPoint Presentation
2/26/2025	Federal Grants 101	Video Recording	PowerPoint Presentation
3/26/2025	TBD		

FORMS & TEMPLATES

- Letter Requesting Concurrence with PEF Selection
- Letter from LGA Requesting NCDOT Concurrence with Construction Contractor
- Project Information Data Sheet
- Contract Provision for Non-Federal Entities
- DBE-IS Subcontractor Payment Report
- Utility/RR Certification Form for LGAs
- Letter from LGA Requesting Reimbursement
- Letter from LGA Accepting Project from Contractor
- Letter from LGA Requesting Concurrence - Construction
- FFATA Subrecipient Form
- RFLOI Form for LGA
- LPMO Security Form.pdf

PROGRAM LINKS

Municipal Bridge

RESOURCES

Local Programs Management (LPM) Handbook and Updates

Understand the Requirements of NCDOT and the Federal Highway Administration for federally-funded Projects

Read More →

Materials and Tests

Environmental resource information

Right of Way Support Information

Bicycle/Pedestrian Design Guidance

Professional Services Firms

Bid Proposals

NCDOT Construction Manual

Updates to the 2009 Handbook

- Instructions
- Webinar

* Updates (in red)
  - Introduction (Including Contacts)
  - State Transportation Improvement Program
  - Funding, Eligible Costs, and Match Requirements
  - Schedule
  - Project Agreement
    - Project Information Data Sheet (see Forms & Templates)
  - Funding Authorization Overview
  - Preliminary Engineering Authorization
  - Professional Services
    - Project Specific Solicitation vs On-Call Contract (Overview)
    - GUIDELINES for COMPLETING RFLOI.pdf
    - Template Request for Letters of Interest (see Forms & Templates)
    - Letter from LGA Requesting Review of Proposal (see Forms & Templates)
  - Environmental Documentation
    - LAP Guidance_1.25.2022.pdf
  - Project Types
  - Design
  - Right of Way Utility Authorization
  - RIGHT OF WAY - ACQUISITION and CERTIFICATION
  - Utility Relocation
  - Contract Proposal
  - Engineer's Estimate
  - Construction Authorization
  - Construction Procurement.pdf

FORMS & TEMPLATES

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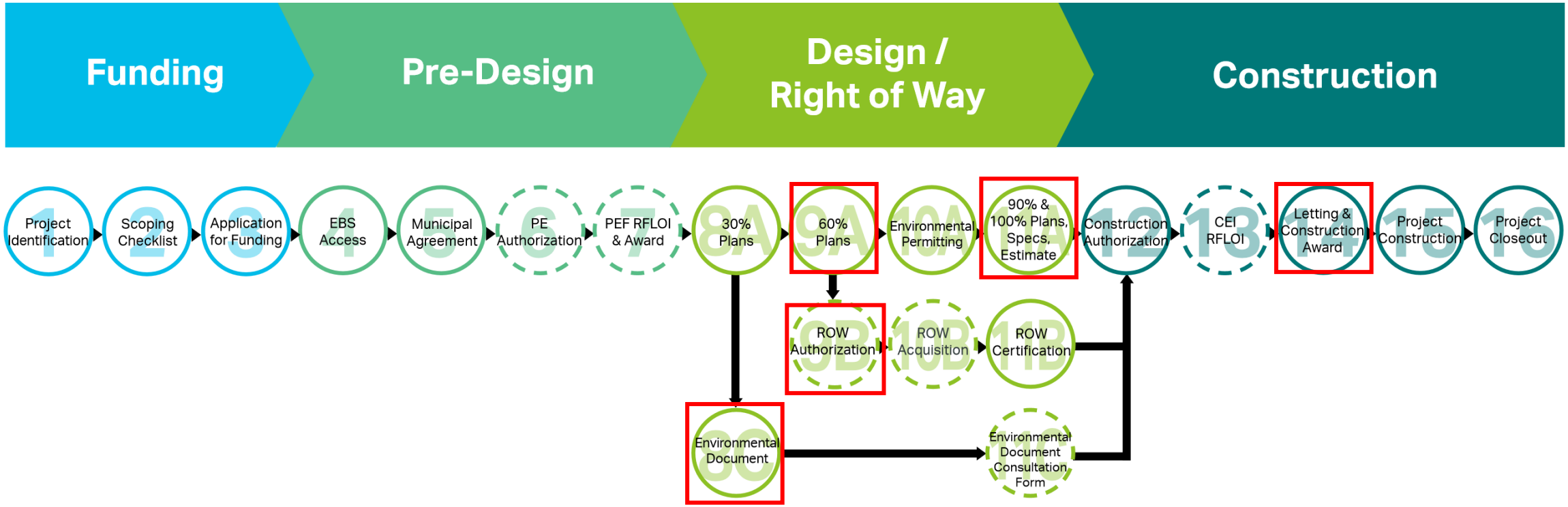
- Letter from LGA Requesting Concurrence - Construction
- LPMO Security Form for EBS Access
- FFATA Subrecipient Form
- RFLOI Form for LGA

LOCAL PROJECT DELIVERY

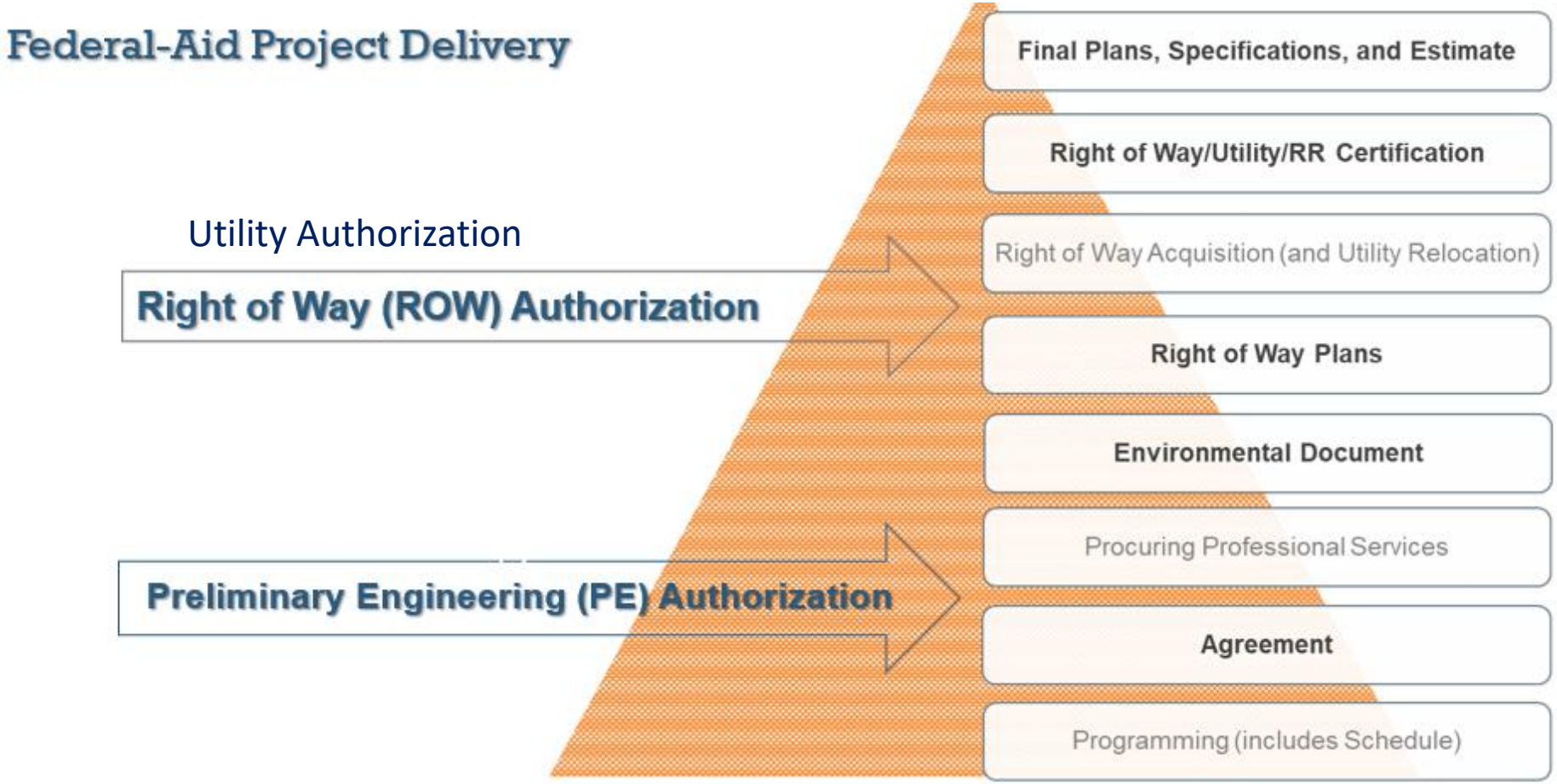
Basic Requirements for Federal-aid Projects

- Federal-aid funding is cost-reimbursement
- Funding Authorization (from FHWA) 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

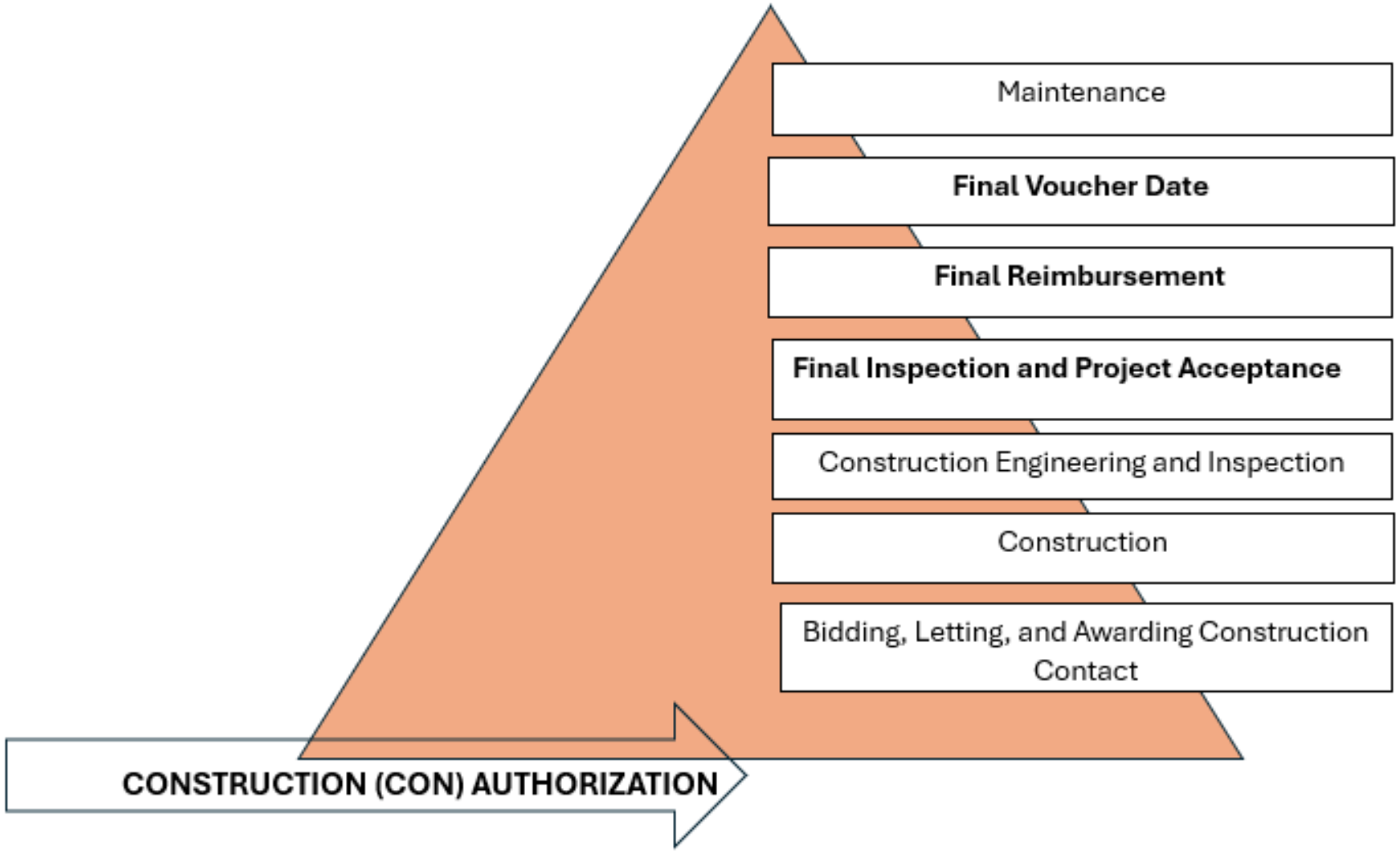
Design Coordination and Schedules



Typical Project Delivery Steps



Project Delivery Steps



Funding Authorization

For every phase that is eligible for reimbursement, the LGA must request funding authorization through the Local Project System (EBS).

- PE: Preliminary Engineering – pays for professional engineering services, and other pre-construction activities
- ROW: Right of Way and Utility Relocation – pays for costs of acquiring ROW, relocating utilities, appraisals and other ROW associated costs
- CON: Construction – pays for the construction contract, construction engineering and inspection (CEI), and contract administration.

SUBMIT CHANGE REQUEST FOR FUNDING AUTHORIZATION

Remember - Funding Authorization

- Refer to the chart to show when funding authorization may be requested for each phase.
- Note deliverables that are needed <u>prior</u> to requesting funding authorization.
- Funding authorization starts the clock with FHWA.

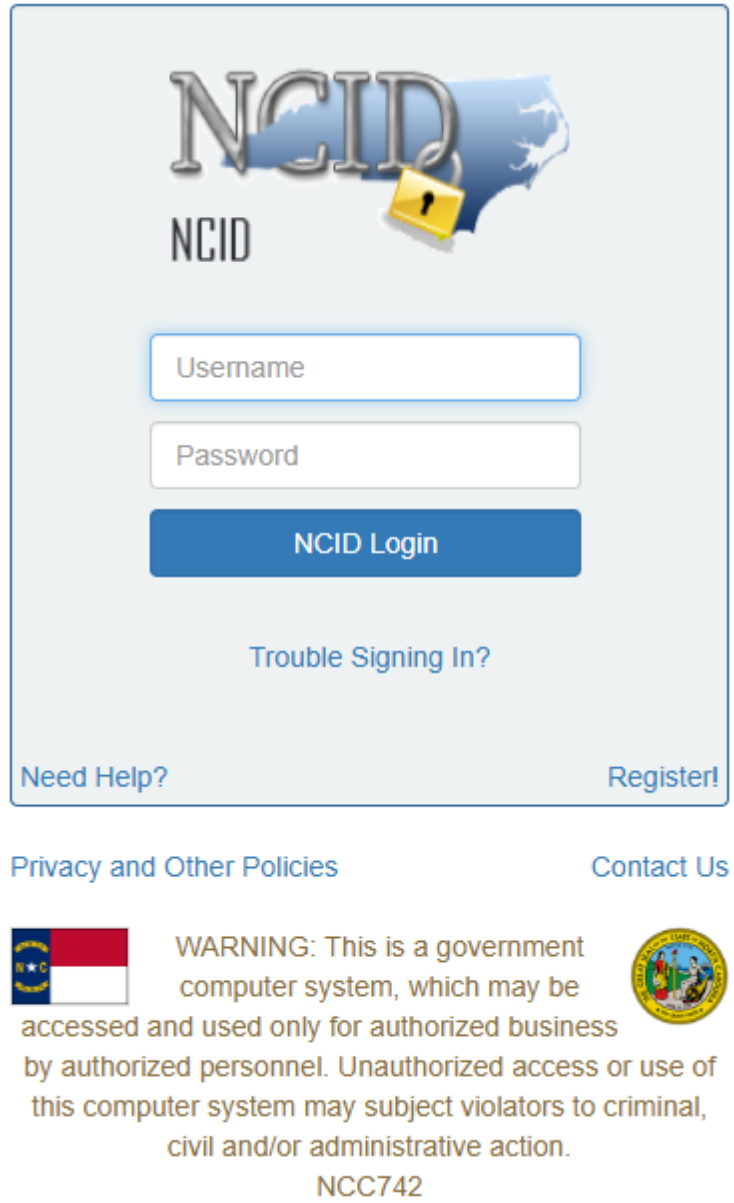
NCDOT will use your funding

- Even if the LGA is not receiving funding for a certain phase of work, the funding is still available for NCDOT to authorize and utilize for the review of plans, appraisals, certification package, proposal, etc.
- The LGA is responsible for the non-federal match on any DOT charges.
- The LGA is responsible for any costs that *exceed* the available funding.

Enterprise Business Systems (EBS)

STEP 1: REQUEST AN NCID

- All users must have an NCID
- You must work with your local entity to obtain an NCID. Use the link below to identify your Delegated Administrator (DA)
- https://accessproxy.myncid.nc.gov/LocalGovernmentEmployee.html
- Once you have an NCID, please proceed to Step 2



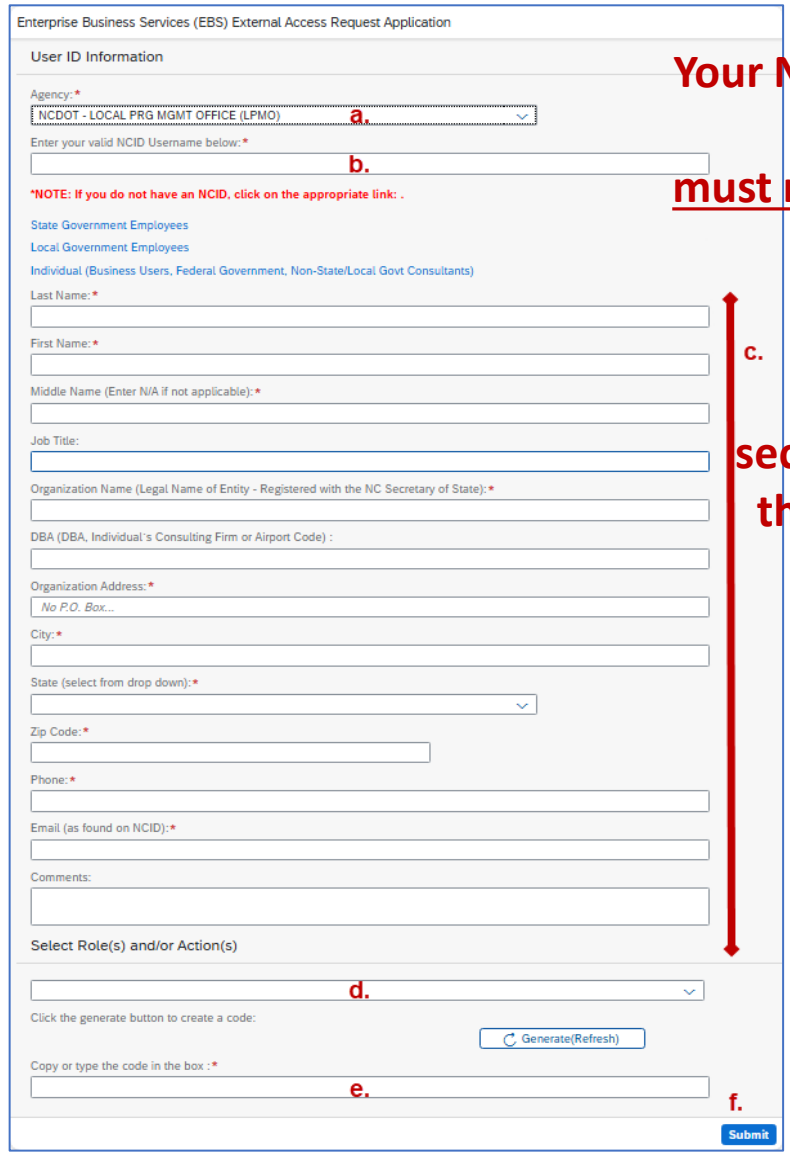
Enterprise Business Services (EBS) External Access Request Procedure

2. Complete an EBS External Access Request Form:

- https://www.ebs.nc.gov/sap/crmaccess/index.html

  a. Select ***Agency*** from the dropdown.
  b. Enter ***NCID Username.***
  c. Complete ***User Information***:
     - Name as found on the NCID
     - Organizational information and address
     - Individual's Phone and Email as found on the NCID
     - If **Remittance Address** differs, enter the Remittance address in the **Comments** section
  d. Select ***Role.***
  e. Complete ***Code Verification.***
  f. Click ***Submit.***

- ***Your request will be rejected if:***
  - ✓ Your NCID does not exist.
  - ✓ Your First, Middle, Last Name or Email does not match your NCID *exactly*.
  - ✓ You already have an active EBS Account under a *different* NCID. Use your *original* NCID on the EBS Access Request.



Your NCID, name and email must match the NCID exactly!

The fields in this section differ based on the Agency selected.

External Access Request Procedure -- EBS

- On average, EBS Access Requests take 3-5 business days to process.
- For the status of your Access Request, contact the EBS Grant Security Coordinator: *lpmo@ncdot.gov*

  Include the following information in your email:

  - ✓ Name
  - ✓ Phone number
  - ✓ EBS Access Request Confirmation Number (Refer to page 2, step f.)

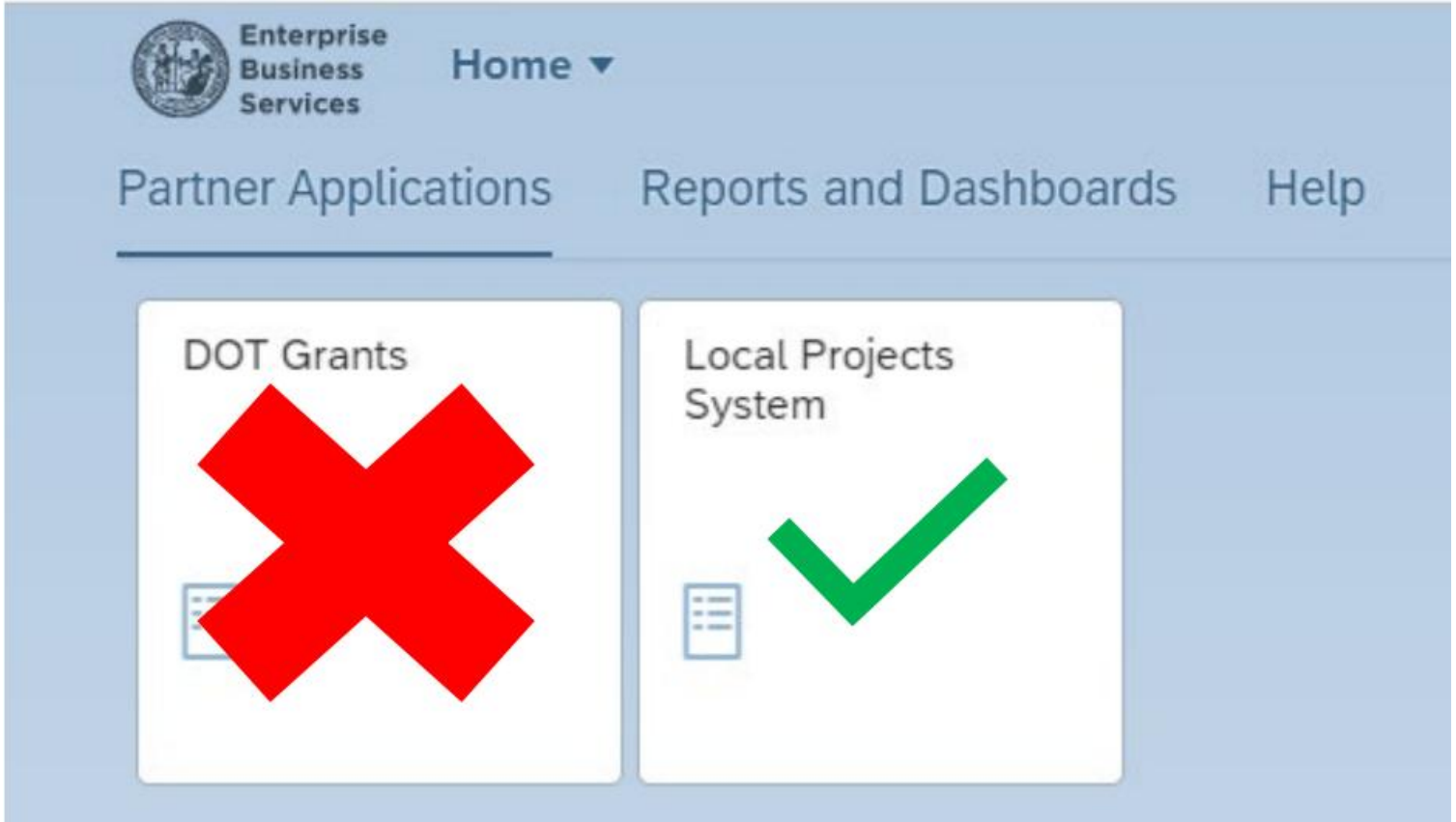
- You will receive an ***EBS Welcome letter*** when your account is ready to use.
  - **Follow the First-Time logon instructions exactly as they are written.**
  - If you are unable to logon, contact EBS Support at *EBSSupport@ncdot.gov*.
- ***Government users*** who access EBS via NCID, should change their password every 90 days: *https://ncid.nc.gov*
- ***Non-Government users*** who access EBS via myNCID, **MUST** change their myNCID password every 90 days: *https://myNCID.nc.gov*

Please note, Government and Non-Government users use different NCID websites to change passwords.

Enterprise Business Services (EBS) Local Projects Management Tool

Enterprise Business System (EBS) Access

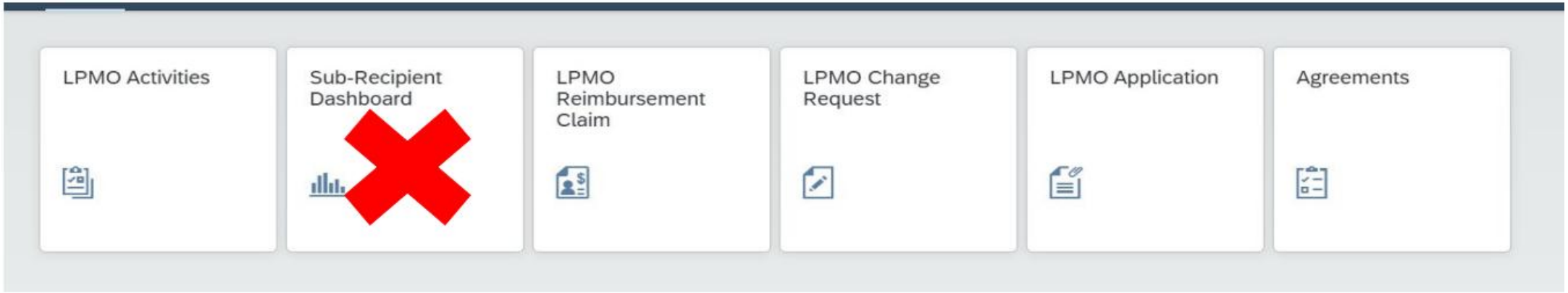
Local Project Management Tool



Enterprise Business System (EBS) Access

EBS PORTAL OVERVIEW

FIORI Interface in EBS



New FIORI Interface in EBS

- Access by TILES not a menu
- LPMO Activities – document submittals for review
- LPMO Reimbursement Claim – for reimbursement requests
- LPMO Change Request – to authorize funds or request a supplemental agreement
- LPMO Application – to request an agreement on a new project

Documents you will Submit

PEF RFLOI & Award

ITEMS YOU WILL SUBMIT for REVIEW

ACTIVITY	DESCRIPTION
PS: PE RFLOI	Advertisement to solicit for engineering firms for design, environmental doc, etc.
PS: PE – PEF SELECTION PROCESS	Letter requesting concurrence on how LGA selected PEF for design or CEI Services
PS: PEF TASKS AND MANDAYS W RATES	Cost Estimate spreadsheet for PEF
PS: PEF CONTRACT – DESIGN OR ROW	Draft contract with PEF/other service provider
PS: ROW RFLOI	Advertisement to solicit for engineering firms for ROW Professional Service.
PS: ROW – CONSULTANT SELECTION AND COST PROPOSAL	Cost Estimate spreadsheet for ROW Professional Service.
PS: CEI EXEMPTION	Request for CEI Exemption for PEF to perform Design and CEI services
PS: CEI RFLOI	Advertisement to solicit for engineering firms for Construction Engineering Inspection (CEI) Services.
PS: CEI – PEF SELECTION PROCESS	*Coming soon…*
PS: CEI COST SPREADSHEET	Cost estimate spreadsheet for PEF
PS: PEF CONTRACT – CEI	Draft contract with PEF for CEI
PS: OTHER DOCUMENTS	Any PS documents that need review but do not match listed PS categories
PRE-CON: ENVIRONMENTAL DOCUMENT	CE Checklist and supporting documentation
PRE-CON: CONCEPT/PRELIMINARY PLANS	No more than 25% plans
PRE-CON: ROW PLANS	65% - 75% plans
PRE-CON: FINAL PLANS & SPECIFICATIONS	80% - 100% plans
PRE-CON: UTILITY RELOCATION COSTS/AGREEMENTS	Cost estimates for Utilities/Relocation

ACTIVITY	DESCRIPTION
PRE-CON: ROW APPRAISAL DOCUMENTS	Documents related to appraisal of ROW
PRE-CON: ROW CERTIFICATION DOCUMENTS	Documents related to acquisition of ROW
PRE-CON: UTILITY/RAILROAD CERTIFICATION	Certification documents for Utilities/Railroad
PRE-CON: CONTRACT PROPOSAL W ESTIMATE	Contract Proposal/Bid Proposal Document and Engineering estimate/bid estimate
PRE-CON: CONCURRENCE REQUEST – CONSTRUCTION AWARD	Letter requesting concurrence in LGA award to low bidder and supporting documents
PRE-CON: OTHER DOCUMENTS	Any PRE-CON documents that need review but do not match listed PRE-CON categories
CON: CONSTRUCTION CONTRACT	Executed Construction Contract (with Contractor)
CON: SUBCONTRACTOR AGREEMENT FORMS	Subcontractor Agreements b/w Contractor and Sub
CON: SUPPLEMENTAL AGREEMENTS (WITH CONTRACTOR)	Executed Supplemental Contracts (with Contractor)
CON: WORKING/SHOP DRAWINGS	Any Drawings done by contractor for retaining walls bridges, culverts, signal equipment, etc.
CON: CONCURRENCE REQUEST – CONSTRUCTION COMPLETE	Letter from LGA to DOT requesting concurrence; includes letter from LGA to Contractor
CON: FINAL ESTIMATE CHECKLIST	Final Estimate Checklist
CON: REQUEST FOR PROJECT CLOSEOUT	Letter requesting close out
CON: OTHER DOCUMENTS	Any CON documents that need review but do not match listed CON categories

Municipal Agreement

Agreement

- Cannot be initiated until funding is programmed in the STIP in correct year.
- 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.

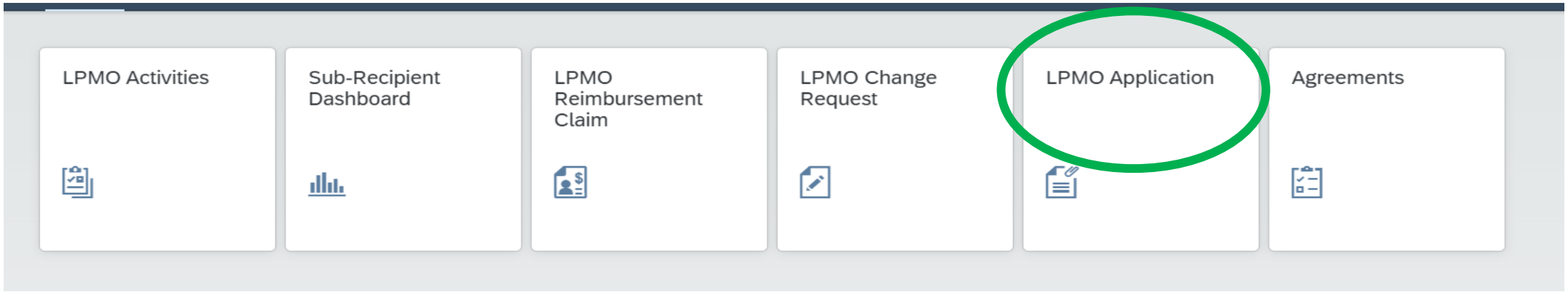
Funding Authorizations cannot occur until a fully executed agreement is in place.

Application Process

- When project has been programmed in the STIP by CAMPO and approved by the BOT, you can request an agreement.
- Submit an APPLICATION in the Local Project System (EBS Portal).

LPMO AGREEMENT APPLICATION IN EBS -- FIORI

FIORI Interface in EBS



- LPMO Application – to request an agreement on a new project

Actions for Application

Your Application will be Returned, Rejected or Approved:

Returned: If the application needs to be corrected, or needs additional information

Rejected: If the Project is not programmed in the STIP, you can't start agreement process.

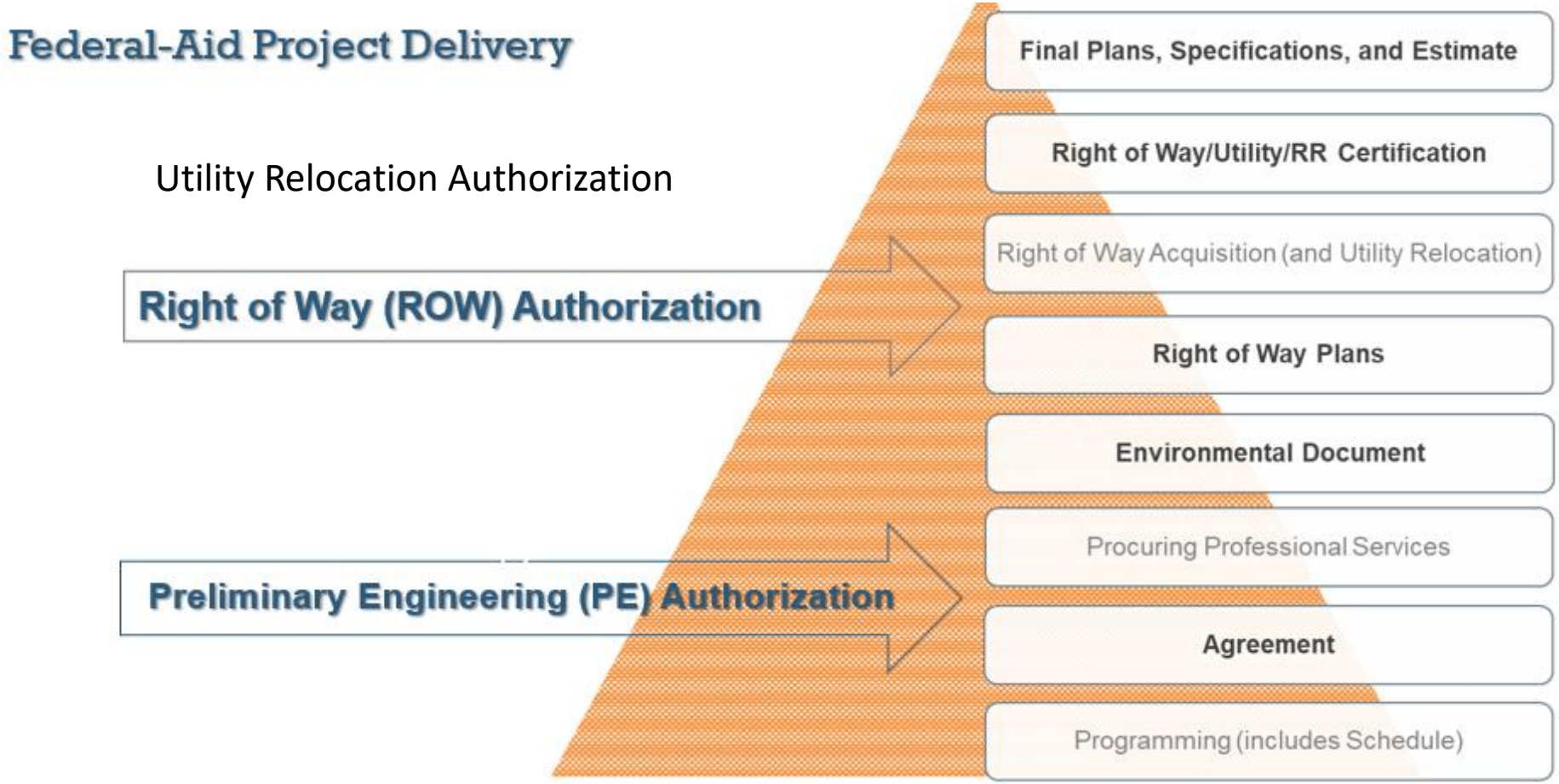
Approved: An Agreement is started by the LPMO

Agreement Preparation and Execution

- LPMO will create the agreement and send via DocuSign
- LGA will review and has three options for execution:
  1. Use the received DocuSign envelope to sign the Agreement
  2. Use the LGA's own DocuSign account to obtain LGA signatures only
  3. Print out agreement, sign in ink and mail one original to LPMO.
- NCDOT will DocuSign the agreement and send an electronic copy to the LGA and upload to EBS Portal.

Typical Project Delivery Steps

We discussed the Agreement now let's more to PE Authorization



Municipal Agreement

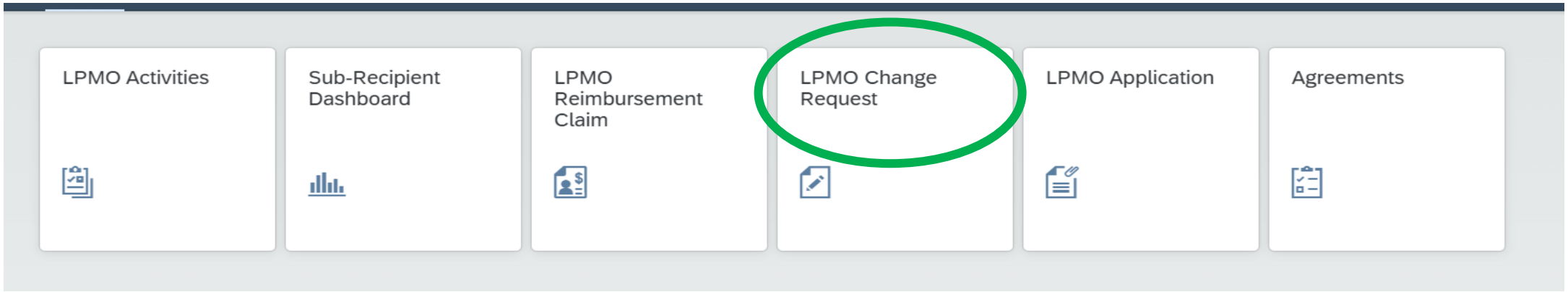
PE Authorization & RFLOI

Important: Funding Authorization

- Allows the LGA to proceed with the *authorized* phase of work
- No costs may be reimbursed if they occur prior to authorization
  - PE Funding Authorization allows the LGA to advertise/solicit for Professional engineering services.
  - ROW Funding will allow the LGA to initiate property acquisition or utility relocation.
  - Construction Funding will allow the LGA to bid out the construction project.

SUBMIT CHANGE REQUEST IN EBS

Funding Authorization – Submit Change Request



PE Funding Authorization

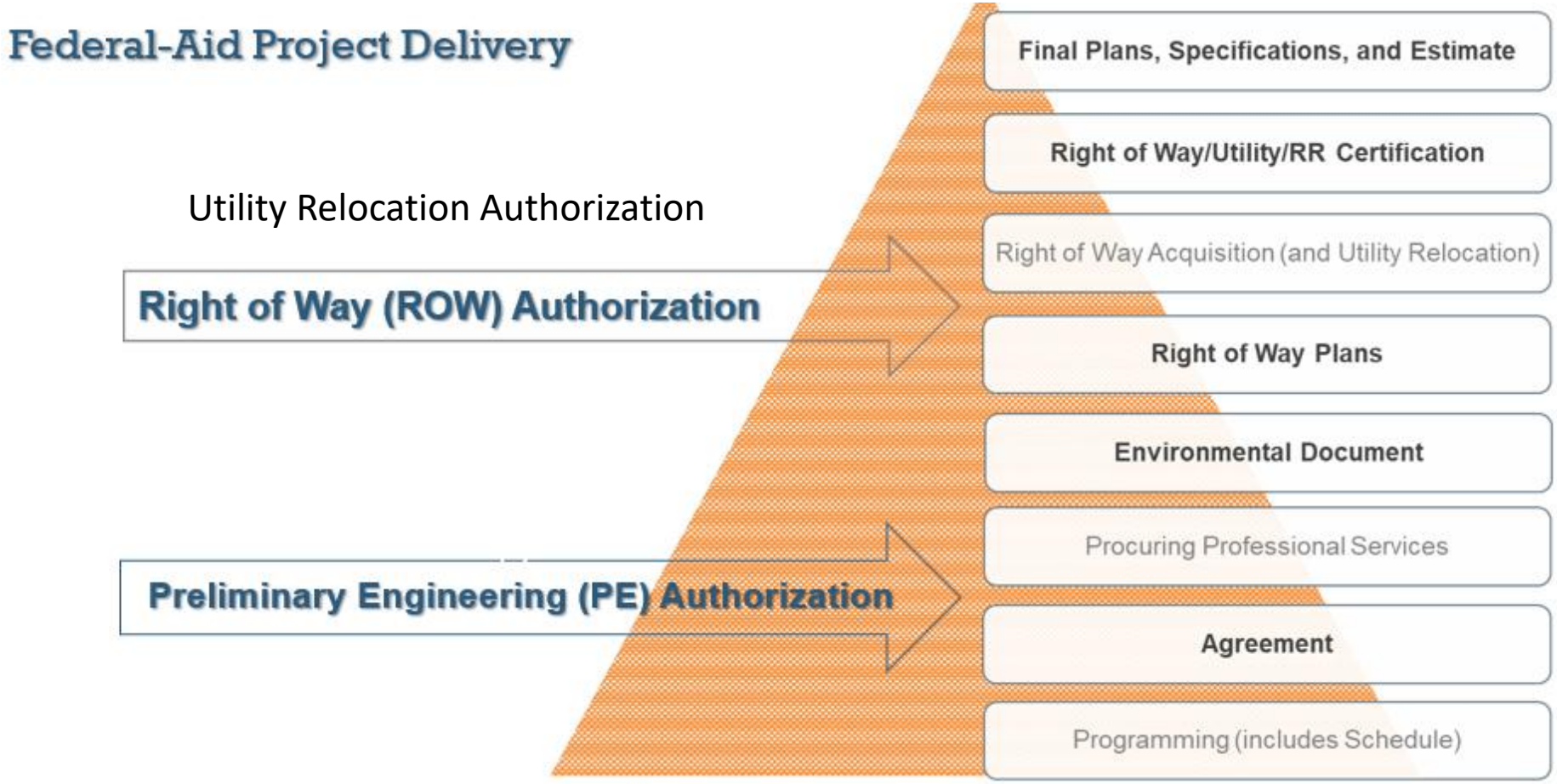
- Change Request will be approved and a letter will be attached that lays out next steps.
- PE Authorization allows the LGA to move forward with solicitation of engineering firms

NOTE

- Some solicitation may occur in advance of authorization
- If PE is <u>not</u> an eligible phase, then no authorization will occur

Typical Project Delivery Steps

We have discussed agreement and PE funding, our next step is Professional Services



Professional Services

- All professional services procurement must be in accordance with 23 CFR 172.
- LGA must have their own written procedures, approved by NCDOT, or they can comply with NCDOT's *Policies and Procedures for Procurement and Administration of Major Professional or Specialized Services Contracts*
- Resources
  - Read 23 CFR 172
  - Review **Professional Services** section of Agreement and Handbook
  - Refer to NCDOT's *Policies and Procedures*
  - Utilize DOT's template for a Request for Letters of Interest (RFLOI)

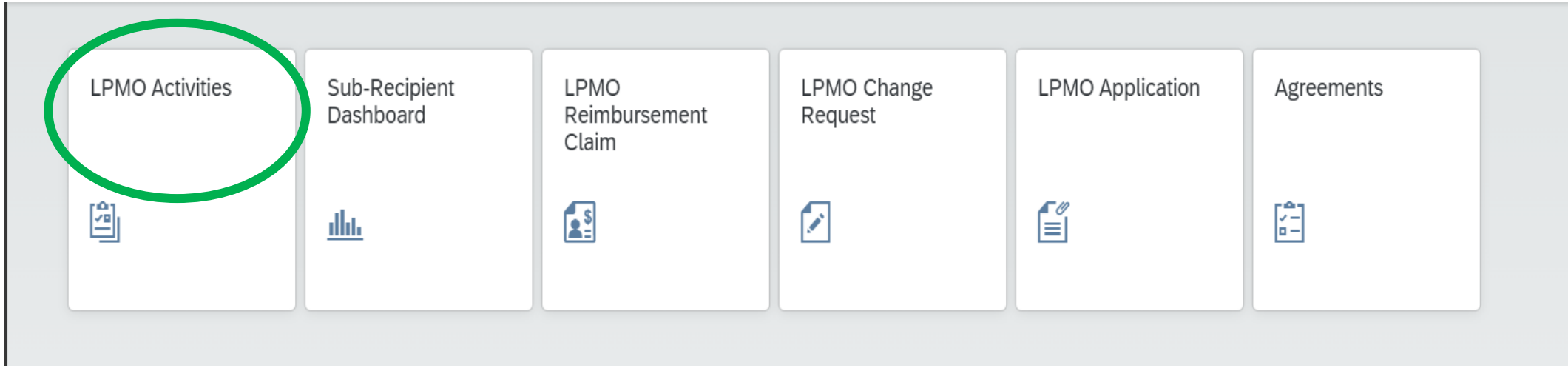
Request for Letters of Interest (RFLOI)

- LGAs must complete an RFLOI for engineering services; either for design or for construction engineering and inspection (CEI).
- Use the template on the NCDOT Connect site
- Submit draft RFLOI through EBS Portal.
  - PS: PE RFLOI
  - PS: ROW RFLOI
  - PS: CON RFLOI

PEF RFLOI & Award

SUBMIT DOCUMENTS IN EBS

Activity – Submit Activity - RFLOI



Local Projects Administration

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

WHAT IS A LOCALLY-ADMINISTERED PROJECT?

LGA programs and projects receive federal or state money based on the recommendations of Municipal or Rural Planning Organizations (MPOs and RPOs), NCDOT Program Areas, and Board of Transportation Members. LGAs are responsible for carrying out the design and construction of projects, or implementation of programs.

WHAT IS NCDOT'S ROLE?

NCDOT's role is to advise, approve and oversee the proper expenditure of funds by an LGA on an eligible project or program. NCDOT is committed to establishing appropriate oversight in order to ensure the best use of public funds and compliance with all applicable state and federal regulations.

FORMS & TEMPLATES

- Letter from LGA Requesting Concurrence with PEF Selection (W)
- Letter from LGA Requesting NCDOT Concurrence with Construction Contractor (W)
- Project Information Data Sheet (X)
- Contract Provisions for Non-Federal Entities.pdf (PDF)
- DBE-IS Subcontractor Payment Report (X)
- RFLOI Form for LGAs (W)
- Utility Certification Form for LGAs (PDF)
- Letter from LGA requesting reimbursement (W)

PEF RFLOI & Award

Updates to the 2009 Handbook

* **Instructions**
* **Webinar**
* Updates (in red)
  - Introduction (Including Contacts)
  - State Transportation Improvement Program
  - **Funding, Eligible Costs, and Match Requirements**
  - **Schedule**
  - Project Agreement
    - Project Information Data Sheet (see Forms & Templates)
  - **Funding Authorization Overview**
  - **Preliminary Engineering Authorization**
  - **Professional Services**
    - **Project Specific Solicitation vs On-Call Contract (Overview)**
    - **GUIDELINES for COMPLETING RFLOI.pdf**
    - Template Request for Letters of Interest (see Forms & Templates)
    - Letter from LGA Requesting Review of Proposal (see Forms & Templates)

PEF RFLOI & Award

RFLOI – Important Notes

- PE RFLOI can be drafted and sent to LPMO for review prior to authorization.
  - Submit under “PS: PE RFLOI”
  - In some instances, approval to advertise prior to funding authorization may be allowed.
- CEI RFLOI can be drafted, sent to LPMO for review and advertised prior to authorization.
  - Submit under “PS: CEI RFLOI”
- **DO NOT sign a consultant contract prior to funding authorization**.

PEF RFLOI & Award

Solicitation & Selection of PEF

- Advertise, announce, or otherwise publicly notify all requirements for services.
- Select most qualified firm to undertake the work. Ensure all consultants are pre-qualified by NCDOT in the work codes advertised.
- LGA will submit a letter requesting review of the PEF selection with documentation of a scoring process.
  - “PS: PE – PEF Selection Process”
  - “PS: CEI – PEF Selection Process”

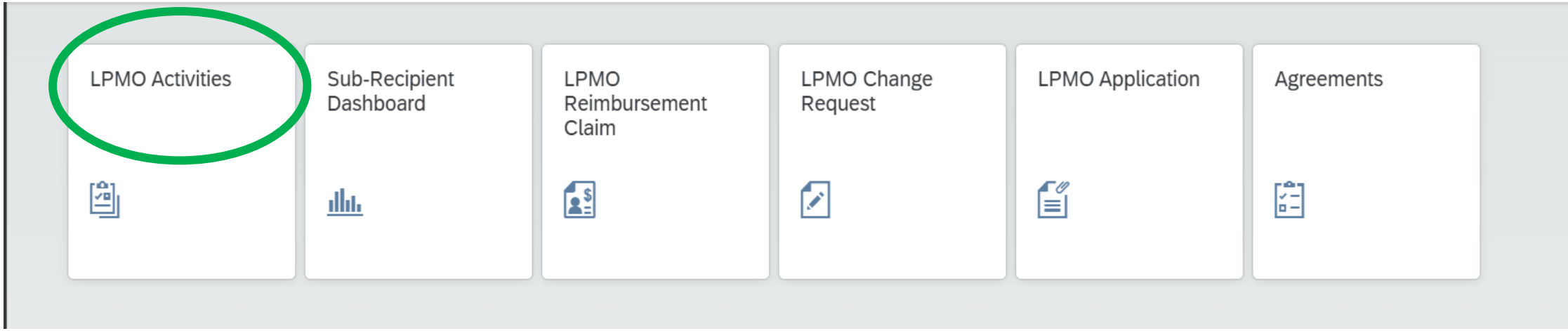
Selection of PEF

- LGA will submit these documents in the EBS Portal.
- Select either:
  - “PE – PEF Selection Process”
  - “CEI – PEF Selection Process”

  to submit your following documents:

- Letter on your letterhead to name the selected firm and why you selected this firm.
- Rating sheets
- Proposal from selected firm
- RS-2 forms

Activity – Submit PEF Selection Process



Approval of PEF

- You will receive back a concurrence letter for your selection.
- LGA will schedule a scoping meeting, if needed.

Negotiate a Contract

Request Cost Proposal from PEF

When the consultant develops their costs proposal, they should use the applicable spreadsheets found under Forms at this website: https://connect.ncdot.gov/business/consultants/Pages/default.aspx

Planning & Design

NCDOT Scope and Manday Estimate Form

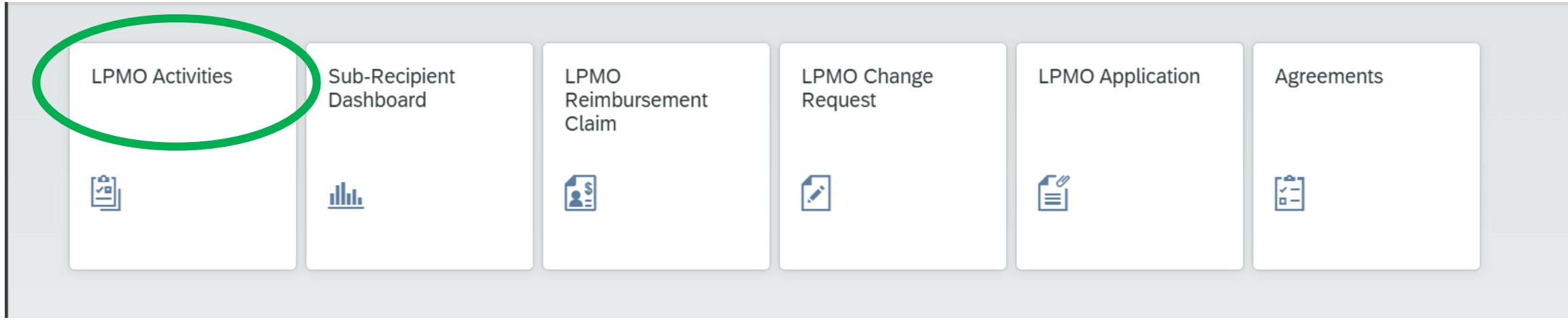
Construction Engineering & Inspection

CEI Technicians' Scope and Estimate Form

Review of Cost Proposal

- Upload completed Cost Proposal Spreadsheet in the EBS Portal.
  - PS: PEF TASKS AND MANDAYS WITH RATES
  - PS: CEI COST SPREADSHEET
- Division will review the scope of work, tasks, and man-hours to ensure effort is consistent with the work needed.
- External Audit will review employee salary rates, overhead rates to ensure all documentation is consistent with the firm's approved audit.
- If revisions are needed, negotiate or modify as allowed and finalize the cost estimate.
- Submit for final review and approval letter.

Activity – Submit PEF Tasks & Mandays with Rates



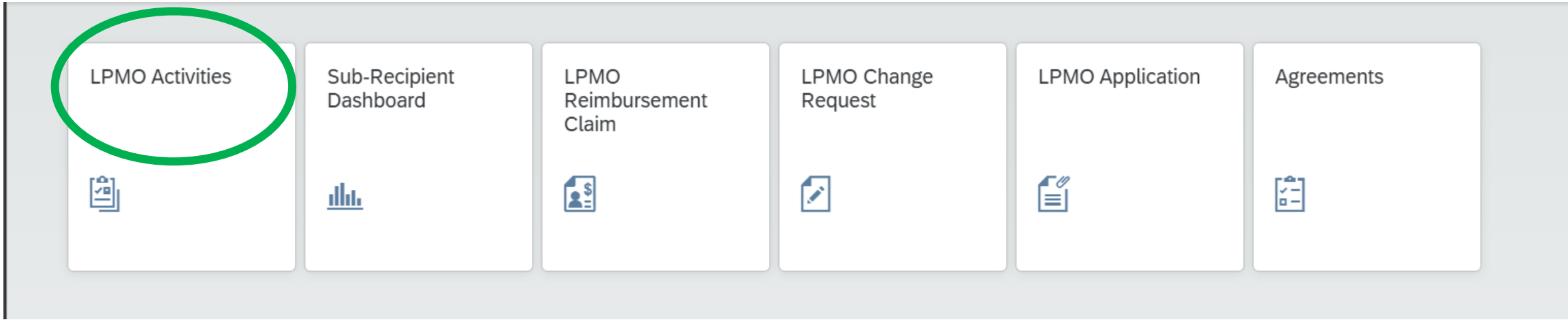
Review of Consultant Contract

- Once cost estimate is finalized, submit a draft copy of the PEF contract.
  - PS: PEF CONTRACT – DESIGN OR ROW
  - PS: PEF CONTRACT – CEI

- Refer to *Contract Provisions for Non-Federal Entities* on the Connect website to include in your contract.

- Payment terms for Design/Planning are generally Lump sum and CEI are Cost Plus.

Activity – Submit PEF Contract



Consultant Contract

- The Department will review contract to ensure appropriate payment terms and costs are the same as approved in the Audit Report.

- The LGA will receive an approval letter then submit the executed Consultant Contract in EBS for the Project file before requesting any reimbursement.

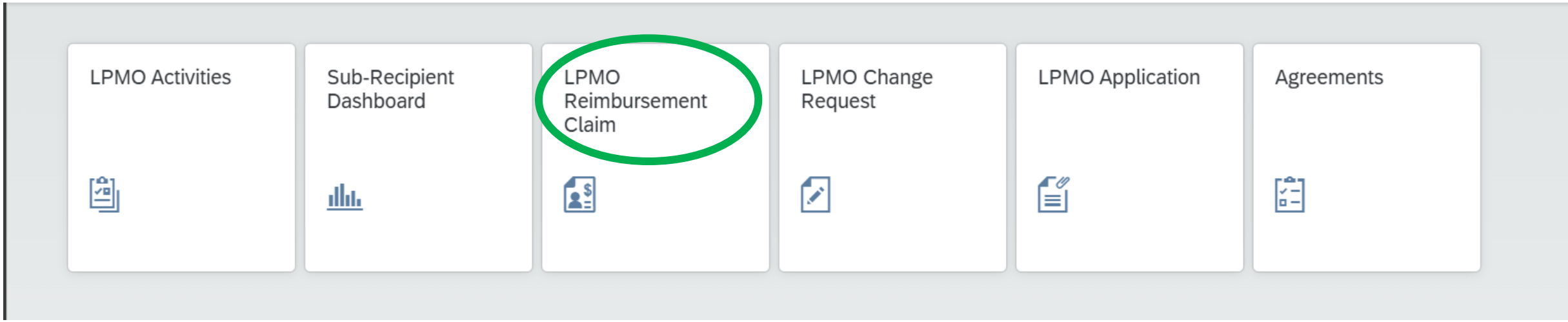
Reimbursement Procedures

Reimbursement

- All reimbursement requests will be submitted through the EBS Portal
- Submit new Reimbursement Claim
- Only one claim can be submitted at a time
- A reimbursement claim must go through final approval before submitting a second claim.

NEW REIMBURSEMENT CLAIM IN EBS

New Reimbursement Claim



Submit Reimbursement Request

New Claim Form - [SAP] - Work - Microsoft Edge

https://qcr.ebs.nc.gov/grants(bD1IbiZjPTYwMCZkPW1pbg==)/default.htm

NCDOT NORTH CAROLINA DEPARTMENT OF TRANSPORTATION

LOCAL PROJECTS

Welcome Agustin Rodriguez

Saved Searches | Go | Advanced

New Claim Form | Back

Home

Help - LPMO

FAQ's

Recent Items

- 2000004525 Interse...
- 3267 Environmental...
- 4000014941 Interse...
- 3000086289 Interse...
- 1000003271 Interse...
- 20759 Environment...
- 20757 PEF Tasks a...
- Allison Brickey 100...
- 20763 ROW Apprai...
- 2000023058 ITS: H...

Enterprise Business Services

Local Program Management Office

Request for Reimbursement

Project Sponsor:	CITY OF CHARLOTTE	Mailing Address:	PO Box 31032 CHARLOTTE, NC 28231-1032
Program:	LOCAL PROJECTS - LPMO - Projects Managed Through LPMO	TIP:	C-5538
Grantee ID:	1000000153	Federal Aid #:	CMS-1003(144)
Division :	10	Agreement Number:	2000004525
Agreement From:	01/19/2016	Agreement To:	09/26/2022
Invoice Number:*		Date Prepared:*	11/15/2021
Invoice Period From:*		Invoice Period To:*	
Remittance Address:	PO Box 31032 CHARLOTTE, NC 28231-1032	Comments:	

DBE/MBE/WBE sub-contractor vendor payments made during this invoice period?* ○ Yes ● No

Final Invoice:* ○ Yes ● No

Reimbursement Request Submittals

Expenses

Exp Type	WBS	Description	Authorized To Date	Approved Expense	Total Expenses This Period	Ineligible Expenses This Period	Eligible Expenses	Reimbursable This Period	Remaining Budget
L002	43714.2.17	ROW – Right of Way	167,115.00	167,115.00	0.00	0.00	0.00	0.00	0.00
L003	43714.3.17	CON – Construction	5,130,519.00	2,406,869.95	1,906,540....	37,802.20	1,868,738.70	1,457,616....	1,266,032.86
LRW2	43714.2.19	UTIL - Utility Relocation	403,845.00	403,839.63	0.00	0.00	0.00	0.00	5.37
		Total	5,701,479.00	2,977,824.58	1,906,540.90	37,802.20	1,868,738.70	1,457,616.19	1,266,038.23

Supporting Documents

AUTHORIZING SUB-RECIPIENT SIGNATURE

☒ The information supplied in this claim is true to the best of my knowledge, and conforms with the terms and conditions of this agreement.

Name:* Ben Henderson

Date: (mm/dd/yyyy)* 04/09/2026

Attachments (1)

NCDOT_BRR BikePed_Invoice_20260408_BJH.p

Created By & Created At: BHENDERSON2 & 4/9/2026 13:18:48

Back Check Save Submit

Submission: Reimbursement Request

DBE/MBE/WBE sub-contractor vendor payments made during this invoice period?* ◯ Yes ◉ No

Final Invoice:* ◯ Yes ◉ No

Code	WBS	Description	Start Date	Authorized To Date ($)	Reimbursements To Date ($)	Total Expenses This Period ($)	Ineligible Expenses This Period ($)	Eligible Expenses This Period ($)	Reimbursable This Period ($)	Remaining Budget ($)
L002	51008.2.1	ROW – Right of Way	09/26/2017	$529,600.0	$392,987.20			$0.00		$136,612.
L003	51008.3.1	CON – Construction	10/21/2019	$2,620,400.	$0.00			$0.00		$2,620,40
Total				**$3,150,000.**	**$392,987.20**	**$0.00**	**$0.00**	**$0.00**	**$0.00**	**$2,757,01:**

AUTHORIZING SUB-RECIPIENT SIGNATURE

☐ The information supplied in this claim is true to the best of my knowledge, and conforms with the terms and conditions of this agreement.

Name:* **Agustin Rodriguez** Date: (mm/dd/yyyy)* **11/15/2021**

Check Save Submit

PE Reimbursement Package

What is needed when I submit my PE claim in EBS?

- Cover Letter (on LGA letterhead) that shows
  - Project TIP # and WBS Elements
  - Invoice #
  - Total costs paid, with cost share calculation (per agreement)
  - List of invoices and firms paid with amounts
  - Materials test results
- Actual invoices from consultants, pay applications from contractors, etc., referencing the work done for the project
- Subcontractor Payment Report (DBE-IS)
- Evidence of Payment
  - Copy of cancelled check, or
  - Copy of bank statement showing where checks have cleared, or
  - A certified EFT / ACH statement

PE Reimbursement Package (EBS)

CLAIM FORM IN EBS

- Make sure remittance address on Claim Form matches address on Cover Letter
- Invoice # on Claim Form must either be unique and also appear on Cover Letter; or,
- Invoice # on Claim Form must be date of Cover Letter in YYYYMMDD format
  - Example: 20230321
  - Example: 20230321C599901 (no hyphens, slashes, or other special characters)
- Calculate the reimbursement amount based on the approved reimbursement rate in your agreement.

NCDOT Review & Administrative Fees

- Varies by Division, but several units of DOT may charge time to the project if they review items.
- These charges accumulate at 100% against the federal money, which is set up at 80%, therefore NCDOT must bill the other 20% from the LGA.
- In addition to direct staff time, NCDOT also applies indirect charges to all open projects per an agreement with FHWA.
- These charges are eligible for federal funds for 80% of their costs, but the Department will still bill the LGA for 20%.

Important: NCDOT Review & Administrative Fees

- If all the federal funds have been used on reimbursement to the LGA or Departmental charges, and there are still costs remaining, then the LGA will be billed 100% of those remaining costs.
- Language has been added to the Agreement to account for NCDOT charges up front.
- This should be calculated into any initial budgets developed for the project.

Questions or Comments

Plan Review

8A 30% Plan

9A 60% Plan

Engineering

Major Projects: Central Preconstruction, Raleigh

Roadway Design Unit - Tatia White, PE

(Either Roadway Design or the Division will engage other Technical Units as needed)

Minor Projects: Division Office

Raymond Hayes, PE, ext-rjhayes@ncdot.gov

8A 30% Plan

9A 60% Plan

Project Design

- What's "minor"? Simple design, no complicating issues.
- What's major? – Closed Drainage systems, culverts, other structures – things a design unit in Raleigh must review.
- All projects to use the NCDOT 2024 Standard Specifications and Standard Drawings.
- Project Plan Consistency - Title Sheet of project plans to have WBS Element numbers and STIP number. All other plan sheets to have STIP number.

Project Review Time

- Is it a complete set of plans and specifications?

MINOR

- Email or Paper Submittal
- Short Review Time – usually within 2 to 3 weeks
- But…..there are dozens of projects (not just LAPP projects), and typically 1 to 2 weeks reviewer!

MAJOR

- Electronic plans, pdf's and Microstation files sent to Roadway Design
- 3 to 4 weeks due to multiple reviewing units and internal coordination

- Check with the Division Office or Roadway Design on the submission of electronic and hard copy plans. Email is the easiest way to transmit electronic plans.
- September is the big "due" month, so everything takes longer due to shear volume.

Major Projects

- Scoping Meeting – **Recommended** with NCDOT, Municipality & Consultant prior to execution of Consultant Contract
- Corridor Modeling/OpenRoads Designer (ORD)
- 25%, 75% (R/W), 90% & 100% Plan Reviews
- U & R type designated STIP projects to be submitted to NCDOT Plan Checking at 100% final review
- Final Contract Documents to be reviewed by NCDOT Proposals & Contracts office.
- Project Plan Submittals – Roadway; Geotechnical; Structures – Retaining Walls, Bridges, Culverts; Pavement Design; Hydraulics; Utilities; TMP's; Signing & Delineation; Signals; with Design, Safety, Maintenance and Future Expandability in mind.
- Municipal Project Design & Review Criteria

  NCDOT - Roadway Design Consultant Coordination Guidelines

  https://connect.ncdot.gov/projects/Roadway/Pages/RDM.aspx

  NCDOT – Municipal/Developer Guidelines Submittals for Plan Reviews
  Call Special Studies Section of Roadway Design Unit (919)707-6275
  https://connect.ncdot.gov/projects/Roadway/RoadwayDesignAdministrativeDocuments/Municipal-Developer%20Submittals%20Guideline.pdf

---

Ben Upshaw, PE/ Raymond Hayes, P.E.

- Planning Document (PCE, CE, EA, etc.) progresses concurrently with design plans. Some projects go through the Merger Process.

What is the main goal of the **Locally Administered Projects Program (LAPP)?**

a) To prioritize projects with the highest costs
b) To ensure projects are administered at the state level
c) To efficiently use available funds and prioritize effective projects
d) To reduce the need for environmental assessments

Who is responsible for **ensuring compliance with federal and state regulations** in locally administered projects?

a) The project contractor
b) The local government agency (LGA)
c) The Federal Highway Administration (FHWA) only
d) NCDOT
e) CAMPO

What **must** a local government do **before receiving reimbursement for project costs**?

a) Submit invoices to NCDOT
b) Wait for project completion
c) Apply for state approval only
d) Pay contractors in advance without documentation

(True/False)

Local sponsors must front all project costs before receiving federal reimbursement.

Any project involving federal aid must follow the **National Environmental Policy Act (NEPA)** regulations.

Short Answer

What is the **"Buy America" requirement**, and what materials does it apply to?

LUNCH BREAK
MEET BACK at 1:00 PM

Environmental Document

Chris Murray, NCDOT Division 5 Environmental Studies, camurray@ncdot.gov

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NORTH CAROLINA
Department of Transportation

2026 Categorical Exclusion Update

Division 5

CAMPO LAPP Project Manager Training

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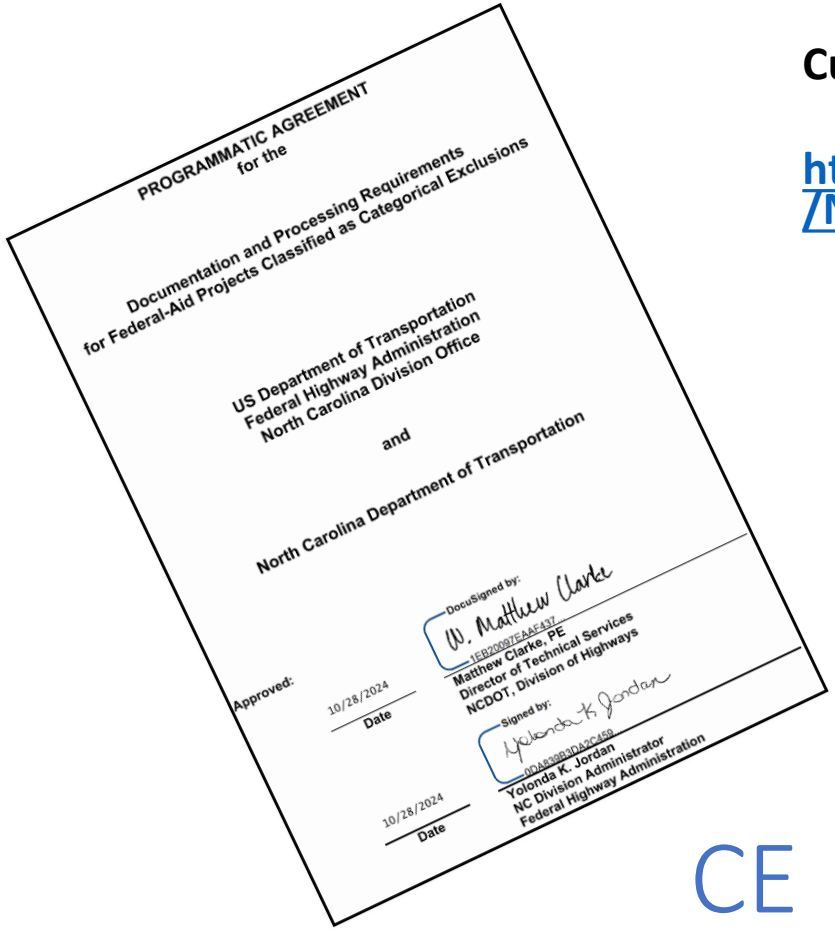

PROGRAMMATIC AGREEMENT
for the

Documentation and Processing Requirements
for Federal-Aid Projects Classified as Categorical Exclusions

US Department of Transportation
Federal Highway Administration
North Carolina Division Office

and

North Carolina Department of Transportation

Approved:

10/28/2024
Date

DocuSigned by:
W. Matthew Clarke
1EB2006F7EAAF437
Matthew Clarke, PE
Director of Technical Services
NCDOT, Division of Highways

10/28/2024
Date

Signed by:
Yolonda K. Jordan
00A39B9DA3C489
Yolonda K. Jordan
NC Division Administrator
Federal Highway Administration

CE Agreement between FHWA and NCDOT

Current 2024 CE format supersedes the previous January 2019 agreement.

https://connect.ncdot.gov/resources/Environmental/EPU/NEPA/Documents/NCDOT-FHWA_2024_CE_Agreement.pdf

- Continues NCDOT responsibility for verifying project is a CE.
- NCDOT will continue to sign CE's for Type I and Type II projects.
- FHWA and NCDOT signature still required for Type III CE Projects.
- Changes to threshold criteria questions when FHWA signature is required for Type I and Type II projects (Tables F1 and F2).
- Changes to questions for Type II and III projects.
- Changes to identified "actions" allowed for each type of CE document.
- There are some "revised" and "new" Type I Actions (see Appendix A).

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Municipality and PEF must anticipate need for a Consultation and ensure that all documentation is up to date.

Surveys for Federally-Protected Species are only good for two years.

Plan ahead with your PEF in regard to this issue.

FHWA and NCDOT CE Agreement

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- <u>Consultations required to establish if the CE remains valid for the requested action.</u>

  A Consultation is required when NCDOT plans to proceed with the authorization of an additional phase, such as right of way or construction and the CE or Consultation document is more than one year old.

  OR

  When the CE or Consultation is less than one year old and substantial change has occurred which include the following:

  - Changes to the threshold criteria in Section V being exceeded.
  - Expansion/additions to the project limits and/or footprint.
  - Changes to the number of travel lanes.
  - Changes in access control.

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- NCDOT has to maintain a project file for CE documents and CE Consultations it makes on behalf of FHWA (SharePoint). <u>See list of documents and deliverables in the new guidance.</u>
- LAP projects are unique as deliverables are prepared/owned for the municipality and the environmental document is signed by NCDOT. The administrative record is very important on LAP projects. <u>Per NCDOT: If it is not in SharePoint it never occurred.</u>
- All projects and documents must adhere to NCDOT Quality Assurance and Quality Control.

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CE Documentation

Actions are now documented in 1 of 4 types with specific descriptions:

Rare-Signs and pavement markings only

Pre-Approved Actions

- Type I(C)

No Ground Disturbance to Limited Ground Disturbance within the Operational ROW

Rare

- Project impact thresholds are not met nor exceeded
  - Type I(A)

Rare

- Project impact thresholds are met or exceeded (i.e. Question 4 only)
  - Type I(B)

Ground Disturbing Actions

Most common

- Project impact thresholds are not met nor exceeded
  - Type I(A) & II(A)

Rare

- Project impact thresholds are met or exceeded
  - Type I(B) & II(B)

Special circumstance-Add another lane

Other Ground Disturbing Actions

- Type III

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Programmatic Agreement – Section IV

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Ground Disturbing Actions – Type I and Type II

Requires "Source" for each question.

The answer should rarely be N/A.

F2. Ground Disturbing Actions – Type I (Appendix A) & Type II (Appendix B)

Proposed improvement(s) that fit Type I Actions (NCDOT-FHWA CE Programmatic Agreement, Appendix A) including 2, 3, 6, 7, 9, 12, 18, 21, 22, 23, 24, 25, 26, 27, 28, &/or 30; &/or Type II Actions (NCDOT-FHWA CE Programmatic Agreement, Appendix B) answer the project impact threshold questions (below) and questions 8–31.

- If any question 1-7 is checked "Yes" then NCDOT certification for FHWA approval is required.
- If any question 1-30 is checked "Yes" then additional information will be required for those questions in Section G.

PROJECT IMPACT THRESHOLDS (FHWA signature required if any of the questions 1-7 are marked "Yes.")		Yes	No
1	Does the project require formal consultation with U.S. Fish and Wildlife Service (USFWS) or National Marine Fisheries Service (NMFS) in which a "likely to adversely affect determination" has been made? (Source: xxx [report, 2024])	☐	☐
2	Does the project result in effects subject to the conditions of the Bald and Golden Eagle Protection Act (BGEPA)? (Source: xxx [report, 2024])	☐	☐
3	Does the project generate substantial controversy or public opposition, regarding human and/or natural environment concerns, following appropriate public involvement? (Source: xxx [report, 2024])	☐	☐
4	Does the project cause disproportionately high and adverse effects relative to low-income and/or minority populations? (Source: xxx [report, 2024])	☐	☐
5	Does the project involve a residential or commercial displacement, or a substantial amount of right of way acquisition? (Source: xxx [report, 2024])	☐	☐
6	Does the project require an Individual Section 4(f) approval? (Source: xxx [report, 2024])	☐	☐
7	Does the project result in adverse effects that cannot be resolved with a Memorandum of Agreement (MOA) under Section 106 of the National Historic Preservation Act (NHPA) or result in an adverse effect on a National Historic Landmark (NHL)? (Source: xxx [report, 2024])	☐	☐
Other Considerations		Yes	No
8	Is an Endangered Species Act (ESA) determination unresolved or resolved utilizing a Section 7 programmatic agreement? Include in Section G any utilization of a Section 7 Programmatic Agreement. (Source: xxx [report, 2024])	☐	☐
9	Is the project located in anadromous fish spawning waters? (Source: xxx [report, 2024])	☐	☐
10	Does the project impact waters classified as Outstanding Resource Water (ORW), High Quality Water (HQW), Water Supply Watershed Critical Areas, 303(d) listed impaired water bodies, buffer rules, or Submerged Aquatic Vegetation (SAV)? (Source: xxx [report, 2024])	☐	☐
11	Does the project impact waters of the United States in any of the designated mountain trout streams? (Source: xxx [report, 2024])	☐	☐
12	Does the project require a U.S. Army Corps of Engineers (USACE) Individual Section 404 Permit? (Source: xxx [report, 2024])	☐	☐
13	Will the project require an easement from a Federal Energy Regulatory Commission (FERC) licensed facility? (Source: xxx [report, 2024])	☐	☐

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Other Considerations for Type I and II Ground Disturbing Actions

Includes PARTF sites and LWCF sites.

These are often very difficult issues and take months to resolve.

See:
NC Land and Water Fund Mapping Tool and RSS Grant Locator Tool

https://experience.arcgis.com/experience/2402d809f69e488f90cf91aed2198b04

https://ncsu.maps.arcgis.com/apps/webappviewer/index.html?id=d84531dfa7d740a2a84300f53fa5cf45

Other Considerations for Type I and II Ground Disturbing Actions (continued)		Yes	No
14	Does the project include a Section 106 of the National Historic Preservation Act (NHPA) effects findings other than a No Effect, including archaeological remains? No matter the effect finding, list any commitments (conditions) in Appendix I made in association with the effect finding detailed in Appendix G. (Source: xxx [report, 2024])	☐	☐
15	Does the project involve GeoEnvironmental Sites of Concerns such as gas stations, dry cleaners, landfills, etc.? (Source: xxx [report, 2024])	☐	☐
16	Does the project require work encroaching and adversely affecting a regulatory floodway or work affecting the base floodplain (100-year flood) elevations of a water course or lake, pursuant to Executive Order 11988 and 23 CFR 650 subpart A? (Source: xxx [report, 2024])	☐	☐
17	Is the project in a Coastal Area Management Act (CAMA) county and substantially affects the coastal zone and/or any Area of Environmental Concern (AEC)? (Source: xxx [report, 2024])	☐	☐
18	Does the project require a U.S. Coast Guard (USCG) permit? (Source: xxx [report, 2024])	☐	☐
19	Does the project involve Coastal Barrier Resources Act (CBRA) resources? (Source: xxx [report, 2024])	☐	☐
20	Does the project involve construction activities in, across, or adjacent to a designated Wild and Scenic River? (Source: xxx [report, 2024])	☐	☐
21	Does the project impact federal lands (e.g., U.S. Forest Service (USFS), USFWS, etc.) or Tribal Lands? (Source: xxx [report, 2024])	☐	☐
22	Does the project involve any changes in access control to the interstate (modification or construction of an interchange)? (Source: xxx [report, 2024])	☐	☐
23	Does the project have a permanent adverse effect on local traffic patterns or community cohesiveness? (Source: xxx [report, 2024])	☐	☐
24	Will maintenance of traffic or detours cause substantial disruption? (Source: xxx [report, 2024])	☐	☐
25	Is the project inconsistent with the NCDOT's federally approved 4-year STIP or NCDOT's BMIP, and where applicable, the Metropolitan Planning Organization's (MPO) Transportation Improvement Program (TIP)? (Source: xxx [report, 2024])	☐	☐
26	Does the project require the acquisition of lands under the protection of the Land and Water Conservation Fund, the Federal Aid in Fish Restoration Act, the Federal Aid in Wildlife Restoration Act, Tennessee Valley Authority (TVA), Tribal Lands, Dedicated Nature Preserves, or other unique areas or special lands that were acquired in fee or easement with public-use money and have deed restrictions or covenants on the property? (Source: xxx [report, 2024])	☐	☐
27	Does the project involve Federal Emergency Management Agency (FEMA) buyout properties under the Hazard Mitigation Grant Program (HMGP)? (Source: xxx [report, 2024])	☐	☐
28	Does the project "use" Section 4(f) property, and/or result in a *de minimis* determination? (Source: xxx [report, 2024])	☐	☐
29	Is the project considered a Type I under the NCDOT Noise Policy? (Source: xxx [report, 2024])	☐	☐
30	Does the project impact VAD-enrolled property, or prime or important farmland soil, as defined by the Farmland Protection Policy Act (FPPA)? (Source: xxx [report, 2024])	☐	☐

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2024 Table F3

F3. Type III Actions

Proposed improvement(s) that fit Type III Actions (NCDOT-FHWA CE Programmatic Agreement, Appendix C) answer questions below.

- NCDOT will certify the Categorical Exclusion for FHWA approval.
- If any questions are marked "Yes" then additional information will be required for those question in Section G.

		Yes	No
1	Does the project involve potential effects to Threatened or Endangered species listed by the US Fish and Wildlife Service (USFWS) or National Marine Fisheries Service (NMFS)? (Source: xxx [report, 2024])	☐	☐
2	Does the project result in impacts subject to the conditions of the Bald and Golden Eagle Protection Act (BGEPA)? (Source: xxx [report, 2024])	☐	☐
3	Does the project generate substantial controversy or public opposition regarding human or natural environment impacts, on environmental grounds, following appropriate public involvement? (Source: xxx [report, 2024])	☐	☐
4	Does the project cause disproportionately high and adverse impacts relative to low-income and/or minority populations? (Source: xxx [report, 2024])	☐	☐
5	Does the project involve substantial residential or commercial displacements, or substantial right of way acquisition? (Source: xxx [report, 2024])	☐	☐
6	Does the project "use" Section 4(f) property, and/or result in a *de minimis* determination? (Source: xxx [report, 2024])	☐	☐
7	Does the proposed project require a Land Use Scenario Assessment (LUSA) based on the NCDOT community studies screening tool? (Source: xxx [report, 2024])	☐	☐
8	Does the project impact anadromous fish spawning waters? (Source: xxx [report, 2024])	☐	☐
9	Does the project impact waters classified as Outstanding Resource Waters (ORW), High Quality Waters (HQW), Water Supply Watershed Critical Areas, 303(d)-listed impaired water bodies, buffer rules, or submerged aquatic vegetation (SAV)? (Source: xxx [report, 2024])	☐	☐
10	Does the project impact waters of the United States in any of the designated mountain trout streams? (Source: xxx [report, 2024])	☐	☐
11	Does the project require a US Army Corps of Engineers (USACE) Individual Section 404 Permit? (Source: xxx [report, 2024])	☐	☐
12	Will the project require an easement from a Federal Energy Regulatory Commission (FERC) licensed facility? (Source: xxx [report, 2024])	☐	☐
13	Does the project include Section 106 of the National Historic Preservation Act (NHPA) effects determination other than a No Effect, including archaeological remains? No matter the effects determination detailed in Appendix G, list commitments (conditions) for the determination in Appendix I. (Source: xxx [report, 2024])	☐	☐
14	Does the project involve GeoEnvironmental Sites of Concerns such as gas stations, dry cleaners, landfills, etc.? (Source: xxx [report, 2024])	☐	☐
15	Does the project require work encroaching and adversely effecting a regulatory floodway or work affecting the base floodplain (100-year flood) elevations of a water course or lake, pursuant to Executive Order 11988 and 23 CFR 650 subpart A? (Source: xxx [report, 2024])	☐	☐

Type III Actions (continued)		Yes	No
16	Is the project in a Coastal Area Management Act (CAMA) county and substantially affects the coastal zone and/or any Areas of Environmental Concern (AEC)? (Source: xxx [report, 2024])	☐	☐
17	Does the project require a US Coast Guard (USCG) permit? (Source: xxx [report, 2024])	☐	☐
18	Does the project involve Coastal Barrier Resource Act (CBRA) resources? (Source: xxx [report, 2024])	☐	☐
19	Does the project involve construction activities in, across, or adjacent to a designated Wild and Scenic River? (Source: xxx [report, 2024])	☐	☐
20	Does the project impact federal lands (e.g., US Forest Service (USFS), US Fish and Wildlife Service (USFWS), etc.) or Tribal Lands? (Source: xxx [report, 2024])	☐	☐
21	Does the project involve any changes in access control or the modification or construction of an interchange on an interstate? (Source: xxx [report, 2024])	☐	☐
22	Does the project have a permanent adverse effect on local traffic patterns or community cohesiveness? (Source: xxx [report, 2024])	☐	☐
23	Will maintenance of traffic or detours cause substantial disruption? (Source: xxx [report, 2024])	☐	☐
24	Is the project inconsistent with the NCDOT's federally approved 4-year STIP or NCDOT's BMIP, and where applicable, the Metropolitan Planning Organization's (MPO) Transportation Improvement Program (TIP)? (Source: xxx [report, 2024])	☐	☐
25	Does the project require the acquisition of lands under the protection of the Land and Water Conservation Act, the Federal Aid in Fish Restoration Act, the Federal Aid in Wildlife Restoration Act, TVA, Tribal Lands, or other unique areas or special lands that were acquired in fee or assessment with public-use money and have deed restrictions or covenants on the property? (Source: xxx [report, 2024])	☐	☐
26	Does the project involve Federal Emergency Management Act (FEMA) buyout properties under the Hazard Mitigation Grant Program (HMGP)? (Source: xxx [report, 2024])	☐	☐
27	Is the project considered a Type I under the NCDOT's Noise Policy? (Source: xxx [report, 2024])	☐	☐
28	Does the project impact VAD-enrolled property, or prime or important farmland soil, as defined by the Farmland Protection Policy Act (FPPA)? (Source: xxx [report, 2024])	☐	☐

H. Categorical Exclusion Approval

STIP/Project No. _____

WBS Element _____

Federal Project No. _____

Prepared By:

_____ Date _____ <Name of Qualified Preparer, Title>
<Organization/Division>

Prepared For: _____
<Project Manager's Name, Title, Organization>

Reviewed By:

_____ Date _____ <Name of Qualified Reviewer, Title>
North Carolina Department of Transportation

☐ **Approved**
- If NO grey boxes are checked in Section F (pages 2 and 3), NCDOT approves the Type I or Type II Categorical Exclusion.

☐ **Certified**
- If ANY grey boxes are checked in Section F (pages 2 and 3), NCDOT certifies the Type I or Type II Categorical Exclusion for FHWA approval.
- If classified as Type III Categorical Exclusion.

_____ Date _____ <Name of Qualified Approver, Title>
North Carolina Department of Transportation

FHWA Approved: For Projects Certified by NCDOT (above), FHWA signature required.

_____ Date _____ *for* Yolonda K. Jordan, Division Administrator
Federal Highway Administration

Yolanda K. Jordan, Division Administrator

Only NCDOT signature required for Type IA and Type IIA CEs (not FHWA)

NCDOT and FHWA signatures required for Type IB, Type IIB, and Type III CEs

Municipal project manager or designated municipal employee signature required for Type IA, Type IB, Type IIA, Type IIB and Type III CE documents

FHWA signature required for all Type IB, Type IIB and Type III CEs

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Green Sheet Commitments

- An appropriate Green Sheet is required for each project.
- The Green Sheet identifies project-specific commitments and can include tasks associated with 1) planning; 2) design; 3) construction; and 4) post-construction.
- The NCDOT should not be identified as a responsible party for any of the commitments. The document needs to specify the appropriate responsible party.
- Updates to commitments are in italics in CE Consultations (Right of Way or construction). Commitments to be deleted (due to change in policy, etc.) are struck through.

H. Project Commitments (as of December 2023)

TIP No. HL-0029
Construct third southbound lane on NC 55 from SR 1115 (Avent Ferry Road) to South Main Street.
Wake County
Federal Aid Project No. 0055071
WBS No. 49614.1.1, 49614.2.2, 49614.3.1

- *There are no project commitments associated with the proposed project.*

H. Project Commitments:

NCDOT PROJECT COMMITMENTS

STIP Project No. **BL-0036**
The Town of Cary proposes to extend Crabtree Creek Greenway from Fred G. Bond Metro Park (Bond Park) to High House Road.
Wake County
Federal Aid Project No. 49876.1.1
WBS Element 0503036

FEMA Floodplains and Floodways (Town of Cary)

This project involves construction activities on or adjacent to FEMA-regulated stream(s). Therefore, the Town of Cary shall submit sealed as-built construction plans to the NCDOT Hydraulics Unit upon completion of project construction, certifying that the drainage structure(s) and roadway embankment that are located within the 100-year floodplain were built as shown in the construction plans, both horizontally and vertically.

Floodplain Mapping Coordination (Town of Cary, NCDOT Hydraulic Design Unit)

The Town of Cary and/or NCDOT Hydraulic Design Unit will coordinate with the NC Floodplain Mapping Program (FMP), to determine status of project with regard to applicability of NCDOT'S Memorandum of Agreement, or approval of a Conditional Letter of Map Revision (CLOMR) and subsequent final Letter of Map Revision (LOMR).

Environmental Permitting

CE Guidance

- Consult with FHWA on unusual circumstances to determine appropriate NEPA Class of Action
- Meet applicable documentation requirements (See Division 5-General Content and Format Requirements for CE documents)
- **Ensure only qualified NCDOT staff and Municipal Staff to sign CE approvals and certifications (cannot delegate responsibility to third parties)**
- **Construction/roadway plans (and sometimes erosion control plans) are required for Division staff to review CE and supporting documents (DIST, Shot-form CIA, NRTR, etc.)**
- **Absence of certain documents may not allow for review of the CE or CE Consultation**
- **FHWA Contacts: Seth Wilcher and possibly Joe Geigle for a project that he worked on in the past.**

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Division 5 - General Content and Format Requirements for Environmental Documentation

To establish consistency in the administrative record for Categorical Exclusion (CE) and Minimum Criteria Determination Checklist (MCDC) environmental documentation, the following minimum information shall be completed and uploaded according to the following content and format requirements:

- **CE/MCDC** - The appropriate document shall be complete with summary narratives for all applicable sections and appropriate signatures. The CE document should include direct references (letter/memo title and date) to appropriate supporting documentation as noted below. The CE/MCDC and supporting documentation should be saved as separate files on Sharepoint unless otherwise indicated below.
- **Project Commitment / Green Sheet** - Project Commitments shall document items to be evaluated further through the project development and design process, and/or specific requirements associated with project construction. Project development commitments should remain part of the Green Sheet with information on resolution/completion noted in italics. A Green Sheet is required even if there are no project commitments for the project. The Green Sheet may be combined with the CE/MCDC document.
- **Environmental Features Map with Study Area boundary** – Can be combined with the CE/MCDC document. Separate Environmental Features and Study Area Maps are acceptable; a Vicinity Map is also beneficial. An electronic version of the study area in either GIS format (SHP or GDB) or MicroStation (DGN) should be upload to Sharepoint when possible.
- **Natural Resource Technical Report/Memo or similar environmental report** – A summary of jurisdictional resources and T&E biological conclusions should be included in the CE/MCDC narrative with direct reference (title/date) to the supporting NRTR/NRTM. Upload the NRTR/NRTM as a separate document on Sharepoint.
- **Cultural Resource documents** – A summary of cultural resource effects should be included in the CE/MCDC narrative with direct reference (title/date) to supporting archaeology and historic architecture documentation. Supporting documentation should be uploaded separately on Sharepoint.
- **Community Studies documentation** - As a minimum, a Direct and Indirect Screening Tool should be completed and uploaded to document human environment and community studies evaluations and considerations. The screening tool should include short responses to each question to document the evaluation/consideration given relative to the scope of the project. A Community Impact Assessment (CIA) can be uploaded in lieu of the Direct and Indirect Screening Tool.
- **Preliminary/conceptual plans.**

Other documentation may be required for the project based on the specific project scope, surrounding context, environmental features, and potential resource/community impacts. Supporting documentation for the following should be uploaded to Sharepoint if applicable to the project or generated as part of the environmental documentation effort:

- Start of Study input from regulatory agencies, emergency services, etc.
- Public Involvement documentation
- Section 4(f) – documentation of affected properties and de minimis determinations
- Section 6(f) – documentation of property acquired through LWCF
- Section 106 – documentation and coordination
- Geoenvironmental assessment of known hazardous waste sites/properties
- Section 7 Consultation
- Hydraulic Analysis and FEMA compliance
- Other – CAMA, Coast Guard, FERC, etc.

2/14/19

- https://connect.ncdot.gov/projects/Project-Management/Documents/Quality_Mgmt._Program_QCQA.pdf

NCDOT Quality Control and Quality Assurance

3.1 Quality Control (QC) Reviews

Quality Control reviews occur prior to submitting a deliverable to NCDOT. QC reviews consist of checking project deliverables to ensure that all applicable State and Federal regulations, standards, practices, and policies are met and all calculations, designs, reports, etc. are complete, accurate and reasonable.

Responsible Entity for Performing Quality Control

The designer, PEF, PSF, or internal unit performing the work is responsible for performing Quality Control reviews on their project deliverables before they are submitted to NCDOT. When the deliverable is submitted, NCDOT presumes that all quality expectations, as documented in this manual, are followed. **NCDOT will no longer be performing QC functions and may send the product back at the submitter's expense if quality expectations are not met.**

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NCDOT Quality Control Review Tracking

QUALITY CONTROL

DOCUMENT REVIEW TRACKING SHEET

NCDOT WBS No.:_____

Document Type:_____

PEF Principal Project Manager:_____

Municipality Project Manager:_____

Principal Author/Investigator:_____

Date of Draft Completion:_____

Date of Peer Review: (Reviewer Initials)	[Initials, Date] 1st Review	[Initials, Date] 2nd Review	[Initials, Date] 3rd Review

Date of Project Manager Review:_____

Date of Revisions/Corrections:_____

Date of Final Review:_____

Tracking Sheet Must be Submitted with Draft

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https://connect.ncdot.gov/projects/Project-Management/Pages/Quality-Management.aspx

NCDOT Quality Control and Quality Assurance

Environmental Document

Quality Management

Quality Checklists

- Environmental Analysis
  - Archaeology
  - Biological Surveys
  - Community Studies - *under Tools*
  - ECAP
  - Historic Architecture
  - Jurisdictional Determination
  - NRTR
  - Public Involvement - *under Forms*
  - Traffic Noise and Air Quality
- Environmental Policy
- Geotechnical
- Hydraulics
- Location and Surveys
- Photogrammetry
- Roadway Design - *under Forms, Guidelines, Manuals > Guidelines*
- Signal Systems - *permission to access required*
- Signals and ITS - *under QC/QA Materials*
- Signing and Delineation - *under Private Engineering Firm Resources on right hand side*
- Structures Management
- Traffic Systems Operations - *permission to access required*
- Utilities
- Value Management - *under VMO Guidelines on right hand side*
- Work Zone - *under Integrated Project Delivery QC/QC checklists*
- 2024 Review List for Final Construction Plans NEW

PDN Stage 2EP1 – Environmental Policy QC Checklist

SPOT ID/Project TIP #: Click or tap to edit.

County: Click or tap to edit.

Title of Deliverable: Click or tap to edit.

2EP1: Advance NEPA/SEPA Documentation

Deliverables: NEPA/SEPA Documentation (CE/MCDC, EA, etc.)
Merger Documentation
Other Supporting Environmental Documentation

Item #	Review Item	Yes	No	N/A
1	**NEPA/SEPA Documentation**			
	General/Overview			
1.1	Uses a current NCDOT template and follows current guidance	☐	☐	☐
1.2	No formatting issues, good readability, follows the required prompts	☐	☐	☐
1.3	Figures/graphics are legible, useful, and referenced correctly	☐	☐	☐
1.4	Supporting documents are referenced and uploaded correctly to project Connect site	☐	☐	☐
1.5	Attachments are relevant to key project decisions or are not readily-available otherwise, and no extraneous documents are attached	☐	☐	☐
1.6	Consistent with current STIP and RPO/MPO's TIP project number(s), description, and location/extent	☐	☐	☐
	Description / Need & Purpose / Classification / Prop Improvements			
1.7	Describes the selected alternative (as applicable) in terms of location, length, alignment, number of lanes, lane width, major structures, proposed capacity and safety improvements, multi-modal accommodations, estimated ROW to be acquired, and projected construction year, etc.	☐	☐	☐
1.8	Division, Municipality, and County location(s) are stated	☐	☐	☐
1.9	Describes existing conditions of the transportation facility, accommodations for pedestrians, bicyclists, etc. (as applicable)	☐	☐	☐
1.10	States need(s) and purpose of project (does not state the preferred alternative in the P&N)	☐	☐	☐
1.11	Relevant Action type(s) identified per the CE Agreement or Minimum Criteria	☐	☐	☐
1.12	If applicable, ensure the Action classification and relevant documentation meets the constraints in 23 CFR 771.117(e)	☐	☐	☐
	Special Project Information			
1.13	Briefly summarizes relevant project information that affected alternative selection (e.g. costs, alternative analysis (if any), traffic control, staging, agency coordination, and public involvement comment resolution)	☐	☐	☐
1.14	Provides logical summaries and does not replicate large portions of readily-available project documentation	☐	☐	☐
1.15	Describes any relevant avoidance and minimization that isn't clearly documented elsewhere	☐	☐	☐
	Impact Checklist/Summary			
1.16	Public involvement effort is accurately represented and correctly cited/uploaded	☐	☐	☐
1.17	Right-of-way acquisition impacts are accurately represented and correctly cited/uploaded	☐	☐	☐
1.18	All special acquisitions (protected lands, FERC property, tribal, etc.) impacts are accurately represented and correctly cited/uploaded	☐	☐	☐
1.19	Natural resources documentation is current, accurately represented, and correctly cited/uploaded	☐	☐	☐
1.20	Status of Section 7 Consultation finding is accurate (via IPaC) and clear for each applicable species	☐	☐	☐
1.21	Cultural resources documentation is current, accurately represented, and correctly cited/uploaded	☐	☐	☐
1.22	Status of Section 106 Consultation process is clear for each applicable resource	☐	☐	☐
1.23	Community impacts are accurately represented and correctly cited/uploaded	☐	☐	☐
1.24	Potential 4(f) resource impacts are accurately represented and correctly cited/uploaded	☐	☐	☐
1.25	Changes in access control are accurately represented and correctly cited/uploaded	☐	☐	☐
1.26	Maintenance of traffic issues are accurately represented and correctly cited/uploaded	☐	☐	☐
1.27	Noise analysis documentation is current, accurately represented, and correctly cited/uploaded	☐	☐	☐
1.28	Any potential geoenvironmental risks are accurately represented and correctly cited/uploaded	☐	☐	☐
1.29	Additional documentation contains all applicable summaries, including references to supporting documentation and any applicable mitigation measures being proposed	☐	☐	☐
1.30	If applicable, ensure the documentation meets the constraints in 23 CFR 771.117(e)			
1.31	Any other environmental requirements or considerations potentially affected are accurately represented, and correctly cited/uploaded	☐	☐	☐
	Signatures / Commitments			
1.32	A qualified preparer provided appropriate coordination across the project team and is responsible for the CE content	☐	☐	☐
1.33	The Preparer and Reviewer verify that unusual circumstances do not apply	☐	☐	☐
1.34	Conditions specified in FHWA regulations are met	☐	☐	☐
1.35	Commitments follow NCDOT guidance, have been reviewed and validated by appropriate NCDOT staff, and are correctly entered in the project's Commitments Dashboard	☐	☐	☐
1.36	Commitments made elsewhere in technical reports, memos, emails, etc. are included as Project Commitments on the project's Dashboard	☐	☐	☐
2	**Merger Documentation**			
2.1	Documentation is being coordinated appropriately per the Merger Guidance amongst the project team, 4 Merger signatory agencies, and Merger Team	☐	☐	☐
2.2	No formatting issues, good readability, follows the expected outline/template	☐	☐	☐
2.3	Figures/graphics are legible, useful, and referenced correctly	☐	☐	☐
2.4	Supporting documents are referenced and uploaded correctly to project Connect site	☐	☐	☐
2.5	Attachments are relevant to key project decisions and not readily-available to outside agencies otherwise, and no extraneous documents are attached	☐	☐	☐
2.6	Documentation meets all relevant NCDOT Merger Guidance requirements	☐	☐	☐
2.7	The meeting or decision that the documentation will support has been closely coordinated with all applicable parties per NCDOT Merger Guidance	☐	☐	☐
3	**Other Supporting Env Documentation [4(f), LWCF, agency coord., etc.]**			
3.1	Uses a current NCDOT template and follows current guidance	☐	☐	☐
3.2	No formatting issues, good readability, follows any required prompts	☐	☐	☐
3.3	Figures/graphics are legible, useful, and referenced correctly	☐	☐	☐
3.4	Supporting documents are referenced and uploaded correctly to project Connect site	☐	☐	☐
3.5	Attachments are relevant to key project decisions or are not readily-available otherwise, and no extraneous documents are attached	☐	☐	☐
3.6	Consistent with current STIP and RPO/MPO's TIP project number(s), description, and location/extent	☐	☐	☐
3.7	Content meets any NCDOT guidance/process requirements, documents findings, and clearly conveys any decisions	☐	☐	☐

*For items marked **No** that require further explanation, provide comments or action items in the table below.*

Item #	Comments and Action Items
Click to edit.	Click to edit.

This checklist may not be comprehensive to every project. All items may not be applicable for smaller projects. It is the responsibility of the reviewer to ensure that all necessary information has been provided and an adequate review performed.

QC Reviewer Name: Click to edit. **Date:** Click to edit.

QC Reviewer (Signature): _____

Direct and Indirect Screening Tool:

- Draft prepared by PEF.
- Submit draft in Microsoft Word with mapping/figures as PDF documents through EBS or direct email to Division 5 staff.
- Division 5 staff submits review to PICSViz via ETRACS.
- PICSViz provides response to Division 5 staff which is then sent back to PEF.
- A second review follows before acceptance of DIST document by PICSViz staff.

Environmental Document

Direct and Indirect Screening Tool

Project U-4726HO
SW-44 Carpenter-Fletcher Road Bike/Pedestrian Improvements
Document Type: ☒ NEPA ☐ SEPA
Prepared by: Suzanne Herron, P.E., CPESC and Emily Barzinpour, Dramby Environmental Consulting, Inc.
NCDOT Project Manager: Chris Murray CS Reviewer: Herman Huang

The project includes the construction of sidewalks and striped bicycle lanes along both sides of Carpenter Fletcher Road from East Woodcroft Parkway to South Alston Avenue in the City of Durham, North Carolina, along with the replacement of 3 culverts (35.915349, -78.892552; 35.915374, -78.893257; 35.915565, -78.898876). The existing Carpenter Fletcher Road is a two-lane, undivided road with 12-ft lanes within a 75-ft right-of-way, and the existing speed limit is 35 mph. There are currently no bicycle lanes along the project corridor, and sidewalks only extend along portions of the corridor on either side. The improvements are generally intended to include 10-ft travel lanes with 5-ft bicycle lanes separated by a 2-ft separation buffer, 2-ft curb and gutter, and 5-ft sidewalks on both sides of Carpenter Fletcher Road. Within the project Limits-of-Disturbance (LOD), there will be crosswalks and pedestrian signals implemented at Carpenter Fletcher Road and East Woodcroft Parkway, as well as Carpenter Fletcher Road and Apex Highway. There will be ramps implemented at the intersection of Carpenter Fletcher and South Alston. The existing railroad crossing will be updated with the installation of new signals and crossarms. At this time, the Rail Division has not yet reviewed the proposed plan. This project will be funded with Locally Administered Project Program (LAPP) Funds, in coordination with the North Carolina Department of Transportation (NCDOT).

During construction at the existing railroad track, Carpenter Fletcher Road may be closed between Apex Highway and South Alston Avenue. A detour will traverse Apex Highway to NC-54 to South Alston Avenue. During culvert construction, Carpenter Fletcher Road may be closed between Barbee Road and Apex Highway. A detour will traverse Barbee Road to NC-54 to Apex Highway.

In the project area, there are single-family residential neighborhoods and development occurring at the intersections of Apex Highway and Carpenter Fletcher Road, and well as along Alston Avenue. A fire station is located on Carpenter Fletcher Road east of North Bend Drive. Access for emergency services will need to be coordinated between the contractor and the fire station to ensure their vehicles can function throughout the construction phase of this project with no obstructions.

Census data indicates a notable presence of populations meeting the criteria for Environmental Justice within the Demographic Study Area (DSA), but no minority or low-income communities were observed within the Direct Community Impact Area (DCIA) during the field visit.

Catawba Indian Nation

- Draft prepared by PEF following most recent template.
- Submit draft in Microsoft Word with mapping/figures as PDF documents through EBS or direct email to Division 5 staff.
- Division 5 staff submits CIN letter via US Mail.
- An email response is received by Division 5 and/or FHWA staff in about 30 days which is then forwarded to PEF and municipality.

STATE OF NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION

JOSH STEIN
GOVERNOR

J.R. "JOEY" HOPKINS
SECRETARY

February 12, 2025

Dr. Wenonah Haire
Catawba Indian Nation
Tribal Historic Preservation Office
1536 Tom Steven Road
Rock Hill, SC 29730

Subject: Request for Scoping Comments – Industry Drive Sidewalk (**NCDOT TIP Project No. C-5610B**) – Oxford, NC, Granville County.

Dear Dr. Haire,

The City of Oxford has begun the project development, environmental and engineering studies for State Transportation Improvement Project (STIP) C-5610B. The City of Oxford, in coordination with the North Carolina Department of Transportation (NCDOT), proposes to construct a sidewalk on the north side of East Industry in Oxford, North Carolina. The project consists of the following:

Construction of approximately 4,800 feet of sidewalk. The project will begin approximately 250 feet west of the intersection of East Industry Drive with Lewis Street and continues on the north side of the roadway to the driveway of SPEED EEZ Carwash where a sidewalk currently exists. The project includes the addition of curb and gutter, and a concrete sidewalk that varies in width from 5 to 6 feet . The coordinates of this section are approximately 36.295208, -78.603936.

The purpose of this project is to facilitate and improve pedestrian access along East Industry Drive. The sidewalk will be constructed adjacent to existing roadways in areas that have been identified as lacking pedestrian accommodation or needing improved pedestrian accommodations. The project will provide safe and convenient pedestrian access and will improve access and connectivity for underserved areas by extending sidewalk and by filling in key gaps in the sidewalk system. The infrastructure included in this project was identified in the City of Oxford's 2012 Comprehensive Pedestrian Plan

This project is being funded by the Congestion Mitigation & Air Quality (CMAQ) which is a federal program that funds transportation projects and programs in air quality nonattainment and maintenance areas to help achieve and maintain national standards for air quality pollutants. The Federal Highway Administration (FHWA) is the lead federal agency for compliance with the National Environmental Policy Act (NEPA) and Section 106 of the National Historic Preservation Act (NHPA). US Army Corps of Engineers and NC Division of Water Resources permits will be obtained if required. A project vicinity map and environmental features map are attached.

Mailing Address:
NC DEPARTMENT OF TRANSPORTATION
DIVISION 5 OFFICE
2612 NORTH DUKE STREET
DURHAM, NC 27704
CS # 17-27-03

Telephone: (919) 317-4700
Fax: (919) 317-4710
Customer Service: 1-877-368-4968

Website: ncdot.gov

Location:
2612 NORTH DUKE STREET
DURHAM, NC 27704

We would appreciate any information that you might have that would be helpful in evaluating potential environmental impacts of the project, including recommendations of alternatives to be studied. Your comments may be used in the preparation of a NEPA Environmental Document.

In accordance with Section 106 of the National Historic Preservation Act (NHPA), we also request that you inform us of any historic properties of traditional religious or cultural importance that you are aware of that may be affected by the proposed project. Be assured that, in accordance with confidentiality and disclosure stipulations in Section 304 of the NHPA, we will maintain strict confidentiality about certain types of information regarding historic properties.

Please respond by March 12, 2025, so that your comments can be used in the scoping of this project.

Any project comments that you may have should be sent to Morgan Nelson at the following:

Morgan Nelson, P.E.
FHWA-Local Program Transportation Specialist
310 New Bern Avenue
Suite 410
Raleigh, NC 27601
morgan.nelson@dot.gov

If you have any questions concerning this project, or would like any additional information, please contact Christopher Murray, SPWS at camurray@ncdot.gov. Please include the **TIP project number C-5610B**, in all correspondence.

Sincerely,

Chris Murray, SPWS Planning & Environmental Project Engineer
NCDOT Division 5
2612 N. Duke Street
Durham, NC 27704
camurray@ncdot.gov

cc: Morgan Nelson, P.E., FHWA (morgan.nelson@dot.gov)
Matt Wilkerson, Archaeology Team Leader, EAU, NCDOT (mtwilkerson@ncdot.gov)
Cheryl Hart, City of Oxford, Planning Director (cheryl_hart@oxfordnc.org)
Gary Kreiser, WithersRavenel, Consultant (for Town of Garner) (gkreiser@withersravenel.com)

Attachments: Vicinity Map, Environmental Features Map

Mailing Address:
NC DEPARTMENT OF TRANSPORTATION
DIVISION 5 OFFICE
2612 NORTH DUKE STREET
DURHAM, NC 27704
CS # 17-27-03

Telephone: (919) 317-4700
Fax: (919) 317-4710
Customer Service: 1-877-368-4968

Website: ncdot.gov

Location:
2612 NORTH DUKE STREET
DURHAM, NC 27704

Environmental Document

CAMPO
NC Capital Area Metropolitan Planning Organization

GeoEnvironmental Report for Planning

STATE OF NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION

JOSH STEIN
GOVERNOR

DANIEL H. JOHNSON
SECRETARY

DATE:

MEMORANDUM TO: Matthew J. Alexander, PE
State Geotechnical Engineer

FROM:

TIP NO:
WBS:
COUNTY:

SUBJECT: Request for Geotechnical / Geopavement / GeoEnvironmental Services

This is a request for Geotechnical / Geopavement / GeoEnvironmental services for the project described above.

Geotechnical

- ☐ Geotechnical Report for Planning (1GT1.1)
- ☐ Roadway Subsurface Investigation and Reporting (2GT2.1)
- ☐ Structure Subsurface Investigations and Recommendations (2GT3)
  - Structure Subsurface Inventory Report(s)
  - Bridge Foundation Recommendations (#_____ Bridges)
  - Retaining Wall Recommendations (#_____ Retaining Walls)
  - Sound Barrier/Noise Wall Recommendations (#_____ Noise Walls)
  - Box Culverts (#_____ Culverts)
  - Temporary Shoring

Geopavement

- ☐ Geopavement Planning Report (1GT1.2)
- ☐ Pavement and Subgrade Investigation(2GT2.2)

Pavement Designs (2PD1) should be requested separately from the Pavement Design Engineer

GeoEnvironmental

- ☐ GeoEnvironmental Scoping Comments Report (1GT1.3)
- ☐ Phase I Detailed Geoenvironmental Data (2GT1)
- ☐ Update to Geoenvironmental Data (2GT1)
- ☐ Phase II Investigation(s) (3GT1)
- ☐ Manage GeoEnvironmental Impacts (4GT1)

Special Request

- ☐ Utility Proposals, Infiltration Basins, etc. Use the "Project Description and Additional Information" space on the next page to describe the requested work and deliverables not described in the PDN.

State of North Carolina
Department of Transportation
Request for Geotechnical / Geopavement / GeoEnvironmental Services

Additional Project Information

Project Description and Additional Information:
For Special Requests, explain the objective of the request.
Include brief project description, and any information that may aid in the GEU investigation.
Is there a geotechnical or geoenvironmental consultant on the project team? If so list them here or below under Project Team Contacts.

Project Team Contacts:

Name	Role	Email
	Project Manager	

Project Schedule

Proposed Distribution Date(s) for Requested Deliverable(s):

Attachments/Links

- ☐ Vicinity Map
- ☐ Aerial Mapping
- ☐ GIS Environmental Features Map
- ☐ Study Area Map
- ☐ BSR/CSR
- ☐ Preliminary General Drawing
- ☐ Project SharePoint Site:
- ☐ Other:

Send Request

Please use the appropriate email below to send this request to the Geotechnical Engineering Unit:
Geo_Pre-let_Div1-7@ncdot.gov

Geo_Pre-let_Div8-14@ncdot.gov

80 Environmental Document

CAMPO
NC Capital Area Metropolitan Planning Organization

Right of Way Authorization

ROW
Authorization

Funding Authorization Needs

Once approved by NCDOT and FHWA the LGA will be notified in the EBS Portal by email with a letter attached for the next steps to follow.

- PE Funding Authorization allows the LGA to advertise/solicit for Professional engineering services.
- ROW Funding will allow the LGA to initiate property acquisition or utility relocation.
- Construction Funding will allow the LGA to bid out the construction project.

ROW Authorization

Typical Project Delivery Right of Way Steps

✓**Agreement**

✓----------Preliminary Engineering Authorization----------

- *Procuring Professional Services*

Environmental Document (required)

Plans (required)

ROW Authorization

✓ ----------Right of Way Authorization----------

- *Right of Way Acquisition*
- *Utility Relocation*

Right of Way Certification (required)

Utility / RR Certification (required)

100% Plans, Contract Proposal and Estimate (PS&E) (required)

----------Construction Authorization----------

- *Advertise and Let Construction Contract*
- *Construction & Administration*

Final Inspection (required)

- *Final Reimbursement*

Right of Way Acquisition & Certification

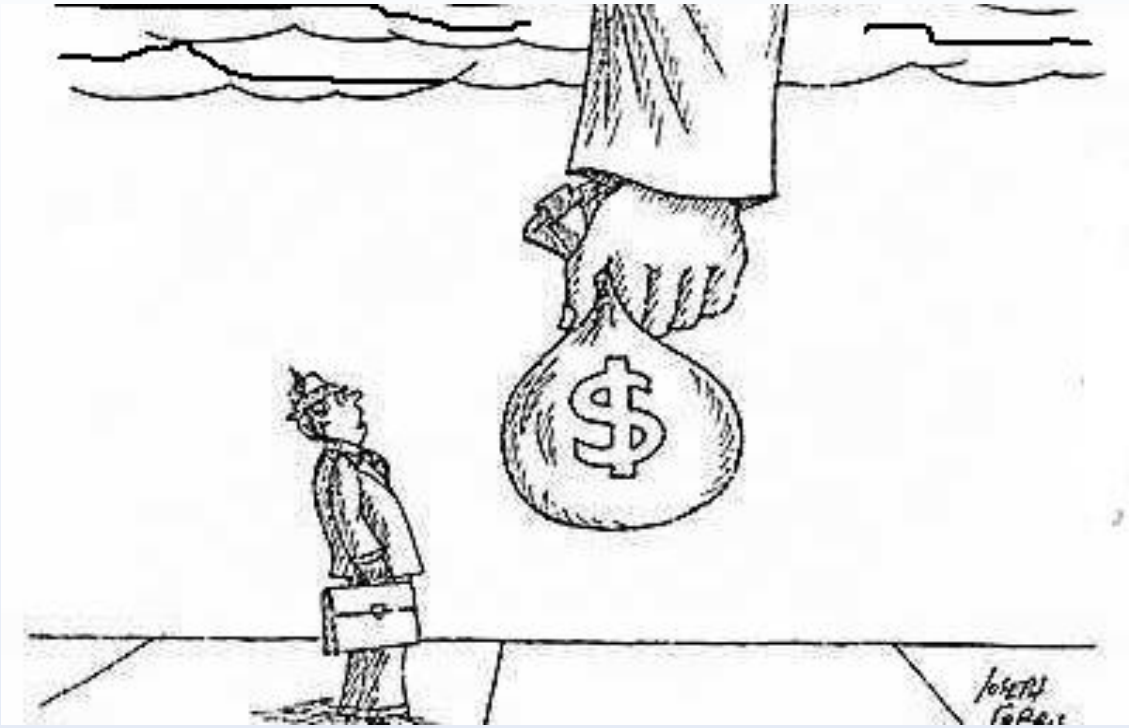
Essential Requirements of the Uniform Act for Local Public Agencies

Learning Outcomes

At the end of this lesson, you will be able to:

- Identify the rights conveyed in the 5th and 14th amendments to the U. S. Constitution
- State the purposes of the Uniform Act.
- Explain who must follow the Uniform Act
- Understand when URA Requirements must be followed

When Using Federal-aid funds, there <u>are</u> Strings Attached……



So, what's the catch?

Non-compliance
with the law
means NO
Federal dollars

The power of any sovereign government
to take private property without
the consent of the owner.

U. S. Constitutional Limitations on Power of Eminent Domain

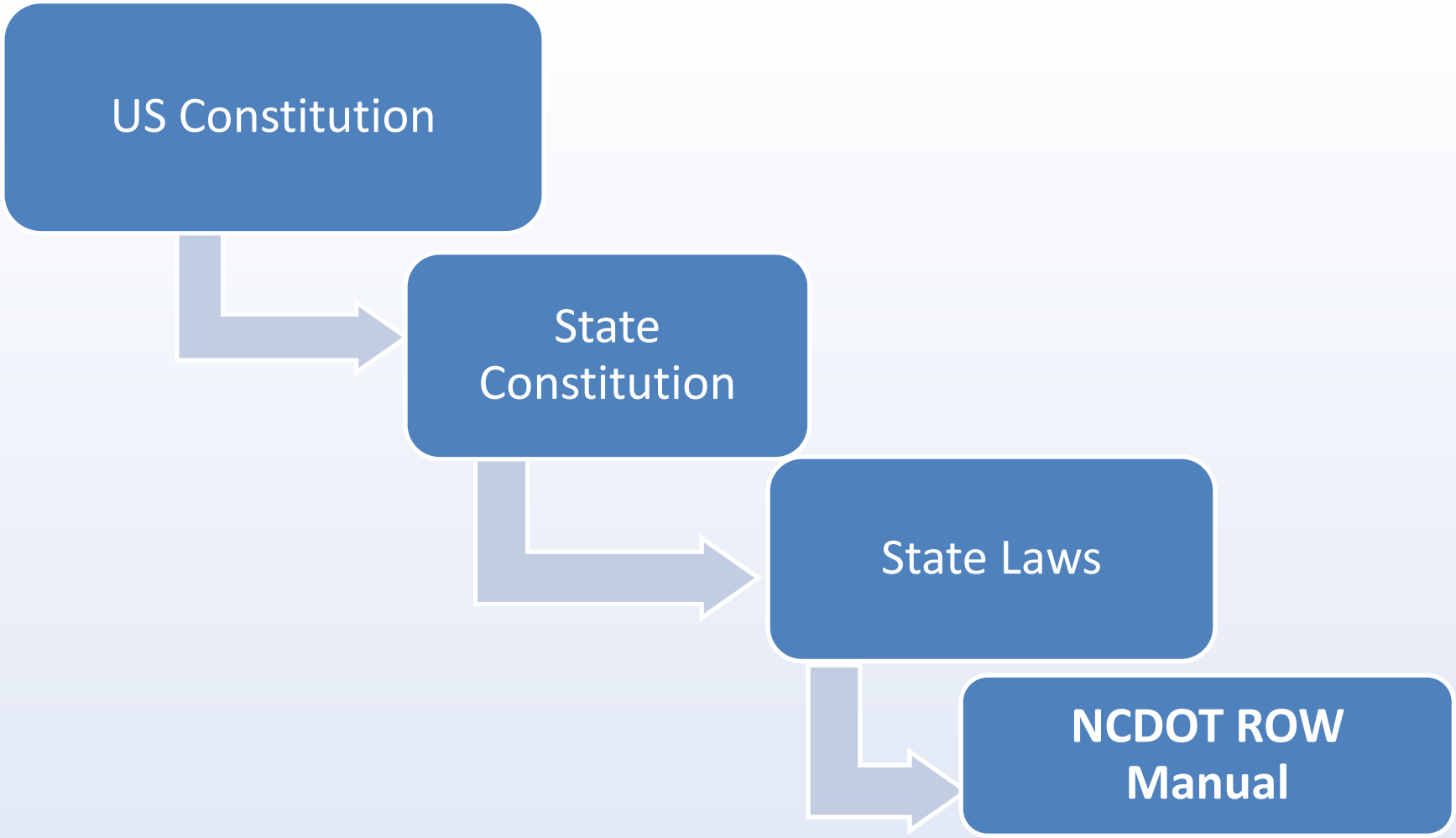
5th Amendment

"…nor shall private property be taken for public use without just compensation."

14th Amendment

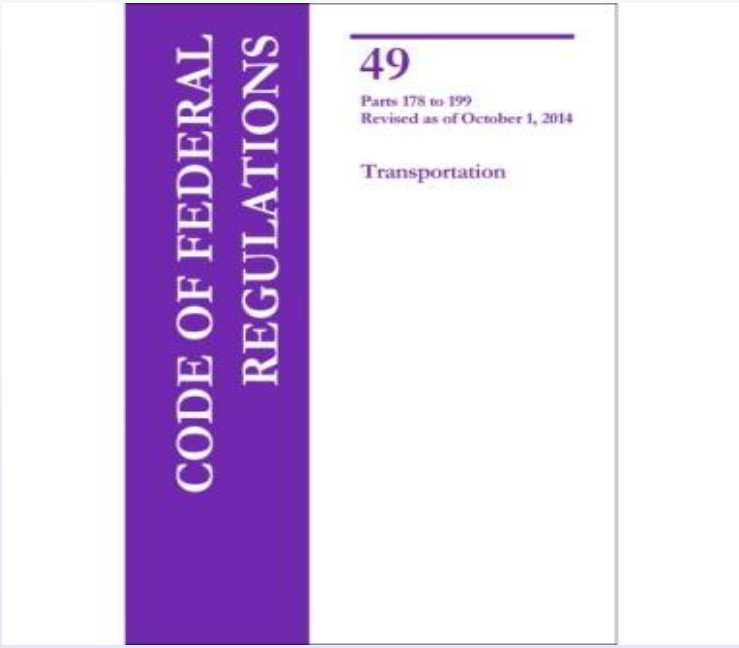
"…nor shall any State deprive any person of life, liberty, or property, without due process of law…"

The Legal Authority to Acquire Property



Uniform Act

Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (Public Law 91-646)



Where can you find the law and the rules to carry out the law?

- The law is codified in 42 U.S.C. 4601
- The regulation governing the law is found in 49 CFR 24
- http://www.ecfr.gov

Uniform Act Twofold Purpose

- Establish uniform and equitable land acquisition policies for Federal and federally-assisted programs.

- Ensure the uniform and equitable treatment of persons displaced from their homes, businesses or farms by Federal and federally-assisted programs.

Who Must Follow the URA?

- Any Federal department or agency in the executive branch
- Any department or Agency of a State or a political subdivision of a State
- Any entity with the authority to acquire property by eminent domain under Federal or State law

When Must an Agency Follow The Uniform Act?

- ✓ When <u>any</u> phase of a project is federally-funded
- ✓ When real property is acquired
- ✓ When property owners and/or tenants are acquired and/or displaced as a direct result of a Federal Aid project

Basic Requirements of 49 CFR Part 24 (URA)

- Appraise FMV of property to be acquired
- Agency Review and approval of appraisals
- Agency Determination of Just Compensation
- Offer no less than FMV, in writing
- Strict Adherence to required Notifications

49 CFR Part 24 (URA)

- Negotiate in Good Faith
- Avoid litigation if possible
- Administration of Relocation Benefits
- Determine Relocation Eligibility
- Relocate residences, businesses, others
- Provide relocation Advisory Services

Federal/State Partnership

FHWA Provides:

- Funding
- Compliance Oversight
- Training
- Technical Assistance
- Technical Research

NCDOT Provides:

- Matching Funds
- Project Development
- Project Design
- Project Delivery
- Program Oversight

A Quick Review

- What rights do the 5th & 14th amendments convey?
- What is the two-fold purpose of the Uniform Act?
- Who must follow the Uniform Act?
- When must an Agency follow the URA Act?
- What do you risk if there is non-compliance?

Any questions?

Right of Way
Division Office:

Authorization & Certification

Raleigh Office:
Appraisal Review

ROW
Acquisition

Right of Way Acquisition

- <u>Authorization and Funds Approved</u>

  NCDOT will charge to your WBS Element for Reviews

- <u>Municipal Agreement</u>

  Must be signed

  Read Right of Way Sections for adherence

  Must be submitted with valuations/appraisals

- <u>Construction Plans</u>

  Identify the existing Right of Way limits

  A Parcel Number is preferred, Owner's Name, Deed Reference, and PIN

  Must be approved and submitted with valuations/appraisals

Right of Way Acquisition

Appraisals/Waiver Valuations

- All appraisals and valuations **must** be approved by NCDOT prior to offers
  - Waiver valuations *can* be used for values $10,000 *or less*
  - Valuations $10,000 *or less* **must** be reviewed and approved by the Division Right of Way Office prior to offers being made
- Values *in excess of* $10,000 **must** be appraised by a NCDOT approved appraiser and reviewed by NCDOT Area 2 Appraisal Department or its Representative
  - Owners **must** know they have a right to accompany the appraiser
  - Appraisals must be done for **all** condemnation cases

Right of Way Acquisition

- Follow the Uniform Act of 1970

  Required adherence if $1 of federal funds is involved in the project

- Make Offers

  All offers must be made in writing

  Revised offers must be made if an appraisal is done for condemnation

- Waiver Forms

  Must be signed by property owners for all donations

  Must always be signed by the LPA

- Clear Title

  It is the responsibility of the LPA to secure clear title of acquired Right of Way prior to certification and construction

- Condemnations

  Property owner rights **must** be applied

- Access Rights

  Recorded Agreement of Conveyance signed by all owners & interested holders and Condemnation Memorandum of Action with offer deposited in the courthouse provides evidence of legal access

Right of Way Certification

- Certification Request Submission Packages
- Checklist will be available on the NCDOT website
- Project submission may take 2 - 8 weeks to be reviewed

Right of Way Certification

- **All acquisition** must be in conformance with the "Uniform Act," whether ROW Acquisition is reimbursed with Federal funds or not
- Certification is done by the Division ROW Agent:
  - Div 4 Lloyd Johnston
  - Div 5 Michelle Winston
  - Div 6 Vacant
- Certification is provided to the LPA but the LPA is responsible for all access rights for project.

Environmental Issues and Permitting

Environmental Permitting

NORTH CAROLINA
Department of Transportation

Environmental and Permitting

Division 5

Environmental Permitting

When is a permit or certification required?

- A Sec. 404 permit or Sec. 401 water quality certification is required when there is a discharge of fill material or excavation in Waters of the U.S./State (streams, ponds, lakes and wetlands).
- Buffer Authorization is required for activities in the regulated riparian buffers.
- This includes activities such as placement of dirt fill in wetlands, pipes in streams, clearing in buffers, etc.
- The municipality is the permit applicant and is responsible for meeting project expectations.

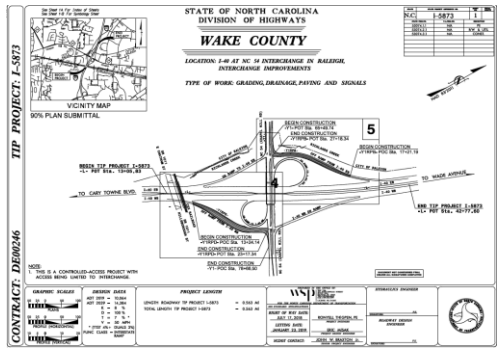
US Army Corps of Engineers®

THE GREAT SEAL OF THE STATE OF NORTH CAROLINA
MAY 20. 1775
APRIL 12. 1776
ESSE QUAM VIDERI
NORTH CAROLINA
Environmental Quality

Environmental Permitting

Development of permit drawings and plans

- Complete wetland delineation, stream determination and riparian buffer determination. Submit PJD to USACE and buffer determination to NCDEQ.
- Determine project scope and complete plans.
- <u>Jurisdictional features must be properly identified on roadway and erosion control plans.</u>



Jurisdictional Determination Request

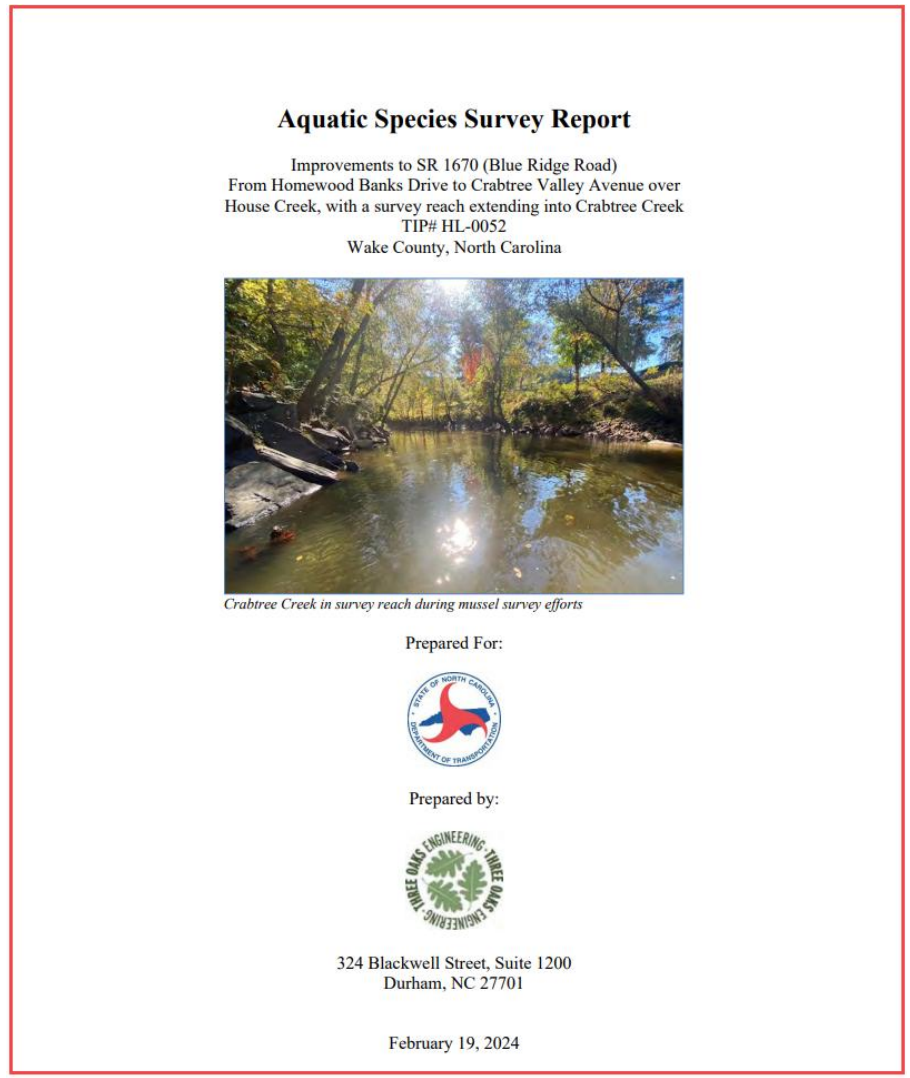
US Army Corps of Engineers
Wilmington District

This form is intended for use by anyone requesting a jurisdictional determination (JD) from the U.S. Army Corps of Engineers, Wilmington District (Corps). Please include all supporting information, as described within each category, with your request. You may submit your request via mail, electronic mail, or facsimile. Requests should be sent to the appropriate project manager of the county in which the property is located. A current list of project managers by assigned counties can be found on-line at: http://www.saw.usace.army.mil/Missions/RegulatoryPermitProgram/Contact/CountyLocator.aspx, by calling 910-251-4633, or by contacting any of the field offices listed below. Once your request is received you will be contacted by a Corps project manager.

Environmental Permitting

Specialized aquatic surveys may be required for specific projects

- Aquatic surveys can only be completed by staff from environmental PEFs that are trained and permitted to conduct the survey.
- This work is only completed by specialty environmental firms. Division staff can provide a list of these firms. Contact Chris Murray at camurray@ncdot. gov
- In two recent instances, the "environmental PEF" did not have the necessary qualifications and the municipality had to engage with the specialty environmental firms to complete the survey and draft the Informal Concurrence request.
- The streams crossed by the projects were Crabtree Creek above Lassiter Mill Dam, Crabtree Creek near House Creek, and House Creek.
- Surveys are seasonal: Neuse River waterdog in January-March and Carolina madtom/freshwater mussels from April-October.



Aquatic Species Survey Report

Improvements to SR 1670 (Blue Ridge Road)
From Homewood Banks Drive to Crabtree Valley Avenue over
House Creek, with a survey reach extending into Crabtree Creek
TIP# HL-0052
Wake County, North Carolina

Crabtree Creek in survey reach during mussel survey efforts

Prepared For:

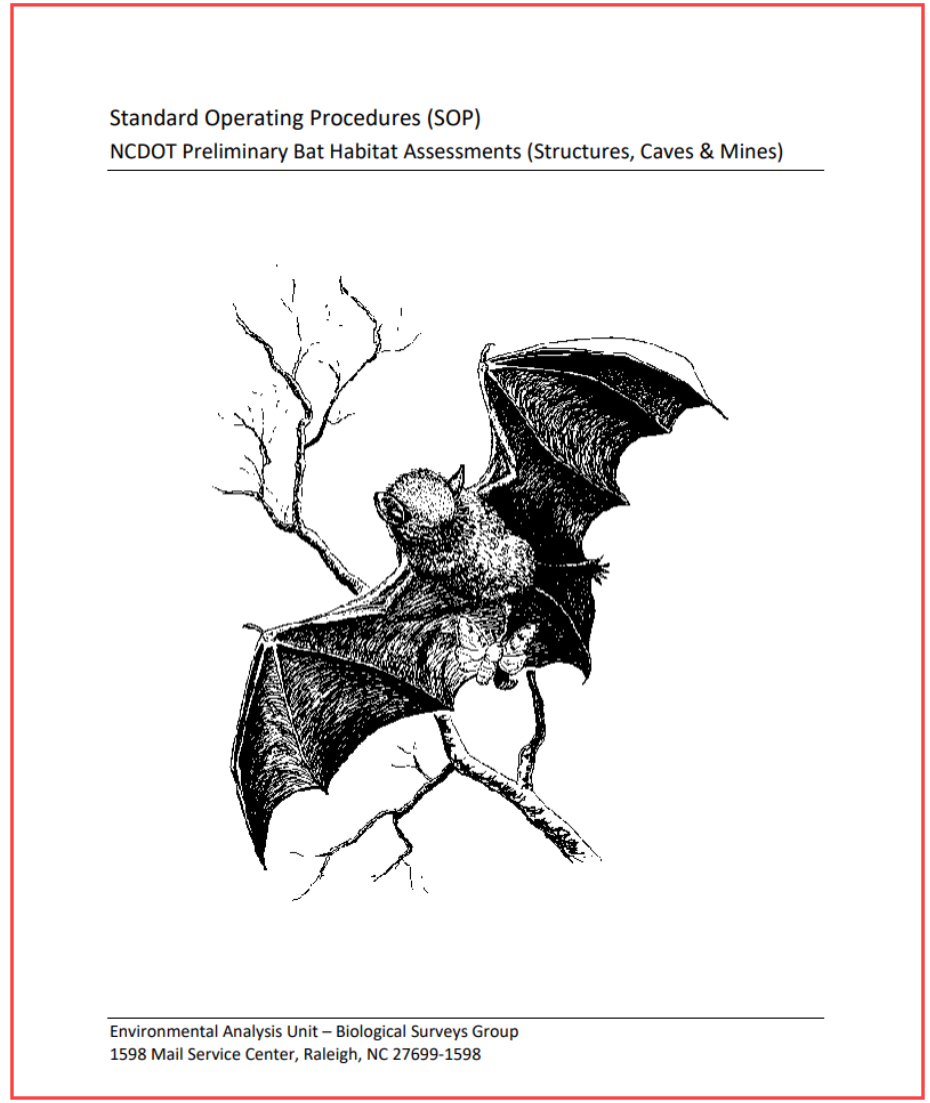
Prepared by:

324 Blackwell Street, Suite 1200
Durham, NC 27701

February 19, 2024

Northern long-eared and Tricolored Bat

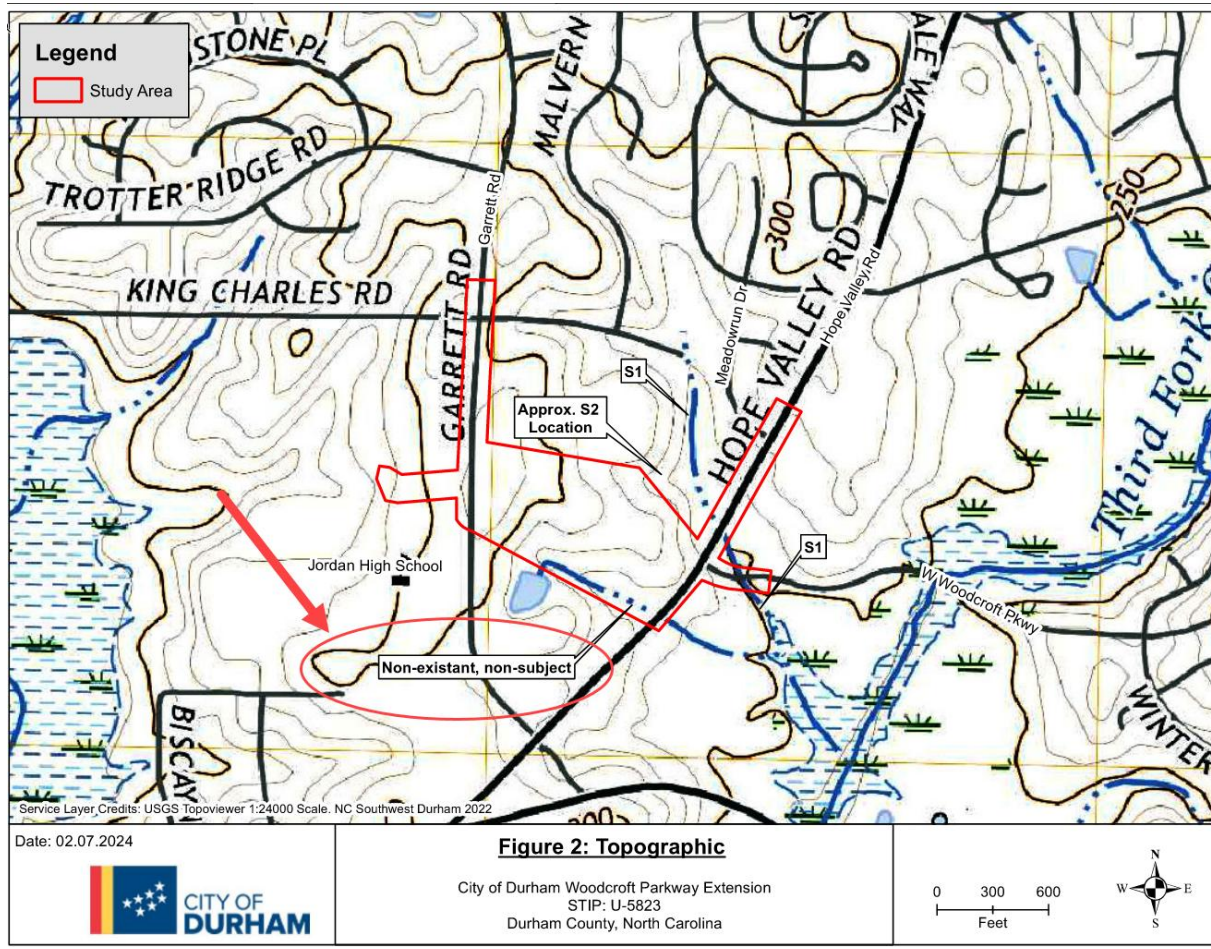
- Updated Division 5-only Biological Conclusions for NLEB and TCB.
- PEF environmental firms must follow the NCDOT Bat Habitat Assessment Standard Operating Procedure (SOP) by completing the bat survey and completing the Bat Habitat Assessment Forms for **LAP projects** that affect bridges and culverts.
- SOP and a video are available on Connect.
- Minimum dimensions for conducting a culvert survey are 5 feet in height and 60 feet in length. Bridge and structure assessments are valid for two years. *Note: Updated survey could be required for a CE Consultation.*
- These forms will be submitted to the NCDOT Biological Surveys Group (BSG) using the Survey 123 application or emailed to clknepp@ncdot.gov or BSG@ncdot.gov


Standard Operating Procedures (SOP)
NCDOT Preliminary Bat Habitat Assessments (Structures, Caves & Mines)

Environmental Analysis Unit – Biological Surveys Group
1598 Mail Service Center, Raleigh, NC 27699-1598

Regulated Riparian Buffers

- Projects located in the Neuse River basin, Tar River basin and the Jordan Watershed of the Cape Fear River basin are subject to the NCDEQ DWR Riparian Buffer Rule.
- Generally, a channel that is depicted on either the Soil Survey or USGS Topo Map is <u>automatically subject to the Riparian Buffer Rule.</u>
- An **<u>On-Site Determination</u>** can be requested by the municipality or a PEF working on their behalf believes that the soil survey or topo map have incorrectly depicted surface waters or if the origin of a stream is in question or unclear.
- <u>Several PEF environmental firms do not understand these regulations. This task is clearly identified in NCDOT QC checklists.</u>



Contract Proposal

- Website for Local Governments
https://connect.ncdot.gov/municipalities/Pages/Bid-Proposals-for-LGA.aspx
- Step by step process for developing bid proposals
- Checklists
- FAQ's
- Links to other resources
- First time users guide

90-100%
Plans,
Specifications
& Estimate

Contract Proposal

- Use appropriate Checklist from LGA website
  - Check effective dates for Specs when updating proposals

2018 Standard Provisions

Name	No.	Provision	Let Date
SP01 G066	SP01G	MINORITY AND WOMEN BUSINESSES (Central Let)	2018-05
SP01 G067	SP01G	MINORITY AND WOMEN BUSINESSES (Division)	2018-05
SP01 G068	SP01G	MINORITY AND WOMEN BUSINESSES (Local Government Agency)	2018-05
SP06 R065	SP06R	ASPHALT CONCRETE PLANT MIX PAVEMENTS	2018-02
SP06 R066	SP06R	PAVEMENT DESIGN MIX TYPE MODIFICATIONS	2018-02
SP01 G061	SP01G	DISADVANTAGED BUSINESS ENTERPRISE (Central Let)	2018-01
SP01 G062	SP01G	DISADVANTAGED BUSINESS ENTERPRISE (Division)	2018-01
SP01 G063	SP01G	DISADVANTAGED BUSINESS ENTERPRISE (Local Government Agency)	2018-01

1	CHECKLIST	Federally Funded Projects	
2			
3		REQUIRED - *provisions for ALL federally funded projects*	
4			*Link to Provision*
5		NCDOT STANDARD NOTES	Link
6		ALLOWABLE CHANGES	Link
7		DISADVANTAGED BUSINESS ENTERPRISES	SP1 G63
8		LETTER OF INTENT FORM	Link
9		CERTIFICATION FOR FEDERAL AID CONTRACTS	SP1 G85
10		U.S. DEPT. OF TRANSPORTATION & CARGO ACT	SP1 G100
11		LOCATING EXISTING UNDERGROUND UTILITIES	SP1 G115
12		DOMESTIC STEEL	SP1 G120

- Use Project Specific Bid Form
  - Include TIP
  - Every reference to SP items, include Provision (DOT or LGA) in Proposal. Should define work, unit of measure, payment.

North Carolina Department of Transportation
ENGINEER'S BID ESTIMATE

9/21/2016

WBS: 44915.3.3
Description: R-5785B, ADA Ramps for Locations Over 5,000 Population in Division 5
County: Durham, Franklin, Granville, Person, Vance, Wake and Warren

TOTAL		213,150.00
ENGINEERING AND CONTINGENCIES (PERCENT):	0	0.00

CONSTRUCTION ESTIMATE FOR PROJECT: **$213,150.00**

ITEM	SECT	DESCRIPTION	QTY	UNIT	UNIT PRICE ($)	AMOUNT BID ($)
1	SP	MOBILIZATION	1	LS	$10,150.00	$10,150.00
2	[illegible]	CONCRETE CURB RAMP	89	EA	$2,000.00	$178,000.00
3	1105	TEMPORARY TRAFFIC CONTROL	1	LS	$25,000.00	$25,000.00

90-100% Plans, Specifications & Estimate

Contract Proposal

- Do NOT use AIA, EJCDC or SCO Specs – often causes conflicts or procedures not allowed by NCDOT.
- Can submit with blanks for letting dates and DBE goals, but must be filled in before advertising
- Division or Contract Standards will review and approve proposal depending on Engineer's Estimate ($2.5 million)
- Proposal review/approval is good for 6 months so need to time review close to proposed letting to prevent proposal from needing multiple re-reviews.
- Contractor prequalifications

90-100%
Plans,
Specifications
& Estimate

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. For example, specific walls types or trash cans on a project where matching existing is desired. Approval could take several weeks!

DBE Goal

- Federal Money requires a project specific Disadvantage Business Enterprise (DBE) goal to be set by NCDOT.
- Municipalities may have their own programs with goals in place for their projects but DBE is the required program for Federally funded projects. City specs referencing other programs should be removed from bid documents.
- At bid opening, low bidder's package should be checked to see if goal has been reached. If not, a Good Faith Effort (GFE) will be required to be performed by the Municipality.

Engineer’s Estimate

- Care should be taken to prepare a thorough and accurate engineer’s estimate prior to bid opening. Use NCDOT bid averages and bid tabs from previous projects as a starting point. Consideration should be given for construction schedule (compressed), night work, small quantities/production, etc.
- If low bid is over 10% above engineer’s estimate, justification and/or engineer’s estimate correction will be required. Rebidding may be necessary (coordinate with NCDOT).

Construction Authorization & CEI RFLOI

Funding Authorization for Construction

Once approved by NCDOT and FHWA the LGA will be notified in the EBS Portal by email with a letter attached for the next steps to follow.

- PE Funding Authorization allows the LGA to advertise/solicit for Professional engineering services.
- ROW Funding will allow the LGA to initiate property acquisition or utility relocation.
- Construction Funding will allow the LGA to bid out the construction project.

Typical Project Delivery Construction Authorization Steps

✓**Agreement**

✓----------Preliminary Engineering Authorization----------

- *Procuring Professional Services*

Environmental Document (required)

Plans (required)

✓ ----------Right of Way Authorization----------

- *Right of Way Acquisition*
- *Utility Relocation*

Right of Way Certification (required)

Utility / RR Certification (required)

100% Plans, Contract Proposal and Estimate (PS&E) (required)

✓ ----------Construction Authorization----------

- *Advertise and Let Construction Contract*
- *Construction & Administration*

Final Inspection (required)

- *Final Reimbursement*

RFLOI - PE & CEI

Example of RFLOI

Version: 2018.11.19.RJS

Advertised: 'MMMM dd, YYYY'

LOCAL GOV'T AGENCY (LGA) NAME

REQUEST for LETTERS of INTEREST (RFLOI)

CONTRACT NAME

TITLE: **CONTRACT NAME**

ISSUE DATE: **'MMMM dd, YYYY'**

SUBMITTAL DEADLINE: **'MMMM dd, YYYY'**

ISSUING AGENCY: **LGA NAME**

SYNOPSIS

SUBCONSULTANTS ARE / ARE NOT PERMITTED UNDER THIS CONTRACT.

This contract shall be partially reimbursed with Federal-aid funding through the North Carolina Department of Transportation (hereinafter referred to as the Department). The solicitation, selection, and negotiation of a contract shall be conducted in accordance with all Department requirements and guidelines.

The primary and/or subconsultant firm(s) (*if Subconsultants are allowed under this RFLOI*) **shall be pre-qualified by the Department to perform ALL / ANY COMBINATION of the work codes listed below for the LGA NAME. Work Codes required are:**

- **Work Code Number – Work Code Description**

WORK CODES for each primary and/or subconsultant firm(s) (*if Subconsultants are allowed under this RFLOI*) SHALL be listed on the respective RS-2 FORMS (see section 'SUBMISSION ORGANIZATION AND INFORMATION REQUIREMENTS').

This RFLOI is to solicit responses (LETTERS of INTEREST, or LOIs) from qualified firms to provide professional consulting services to:

1

Version: 2018.11.19.RJS

PROPOSED CONTRACT SCOPE

PROPOSED CONTRACT TIME: PROPOSED CONTRACT TIME -- YEAR(S); and EXTENSION(S).

PROPOSED CONTRACT PAYMENT TYPE: PROPOSED CONTRACT PAYMENT TYPE -- i.e. LUMP SUM and/or COST-PLUS, etc.

SUBMITTAL REQUIREMENTS

All LOIs are limited to **NUMBER OF PAGES in WORDS** (**NUMBER OF PAGES in NUMBERS**) pages (RS-2 forms are not included in the page count) inclusive of the cover sheet, and shall be typed on 8-1/2" x 11" sheets, single-spaced, one-sided.

Fold out pages are not allowed. In order to reduce costs and to facilitate recycling; binders, dividers, tabs, etc. are prohibited. One staple in the upper left-hand corner is preferred.

LOIs containing more than NUMBER OF PAGES in WORDS (**NUMBER OF PAGES in NUMBERS**) pages will not be considered.

NUMBER of COPIES of LOI in WORDS (NUMBER of COPIES of LOI in NUMBERS) total copies of the LOI should be submitted.

Firms submitting LOIs are encouraged to carefully check them for conformance to the requirements stated above. If LOIs do not meet ALL of these requirements they will be disqualified. No exception will be granted.

SELECTION PROCESS

Following is a general description of the selection process:

- The LGA's Selection Committee will review all qualifying LOI submittals.
- For Limited Services Contracts (On-Call type contracts), the LGA's Selection Committee MAY, at the LGA's discretion, choose any number of firms to provide the services being solicited.
- For Project-Specific Contracts (non On-Call type contracts), the LGA's Selection Committee MAY, at the LGA's discretion, shortlist a minimum of three (3) firms to be interviewed. IF APPLICABLE, dates of shortlisting and dates for interviews are shown in the section SUBMISSION SCHEDULE AND KEY DATES at the end of this RFLOI.

3

CEI RFLOI

Bidding, Letting & Award

Construction Procurement

- Advertising and Letting a Construction Contract can only occur after Construction funds are authorized.
- Construction Advertisement should occur as soon as possible after Authorization is received. The clock starts ticking upon authorization.
- CEI RFLOI should be advertised quickly after construction authorization (generally professional services contracts take longer to procure) or on-call CEI services should be set up in advance. Holding up NTP on construction for CEI services in undesirable.
- Consider seasonal restrictions/workload when setting letting schedule and contract dates. Lettings late in the season generally receive less bids and less competitive bid prices.

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

– If Delegation of award to manager etc., the letter should be signed by that position, and include a sentence stating they intend to award.

IF YOU HAVE QUESTIONS OR CONCERNS ABOUT YOUR BID RESULTS PLEASE DON'T WAIT UNTIL YOU SUBMIT CONCURRENCE PACKAGE TO DISCUSS WITH NCDOT.

Concurrence in Award

Please be sure to return complete electronic plans and executed construction contract to NCDOT for our records and to assist with construction oversight.

Make sure to invite proper staff to Pre-Construction Conference per the letter.

The Award Concurrence turns project over to Construction staff at this time.

Reimbursement Procedures: Project Construction

Project Construction

Construction Reimbursement

- All reimbursement requests will be submitted through the EBS Portal
- Submit new Reimbursement Claim
- Only one claim can be submitted at a time
- A reimbursement claim must go through final approval before submitting a second claim.

Project Construction

TOWN *of*
WAKE FOREST

301 S. Brooks Street
Wake Forest, NC 27587
t 919.435.9400

www.wakeforestnc.gov

February 22, 2019

Raymond J Hayes, P.E.
Local Projects Manager
Highway Division 5
2612 North Duke Street
Courier #17-27-03
Durham, NC 27704

RE: Reimbursement Request for 10.1.18 to 1.31.19
Stadium Drive Complete Streets – TIP# U-5515
WBS Element: **PE – 55056.1.1**; ROW – 55056.2.F1; **CON – 55056.3.F1** CFDA#20.205
Federal-Aid No.: STPDA-0527(14)

Dear Mr. Hayes:

Wake Forest is requesting reimbursements for payments made to Kimley-Horn for design services for of Stadium Drive (final invoice) and for the current design services for the Rock Springs intersection traffic signal, Matt MacDonald and Stewart Engineering for CEI and Fred Smith Company for construction services in the amount of **$991,589.48** for the Stadium Drive Complete Streets project, a lump sum project.

Payments to Prime

Invoice #	Contractor Invoice Date	Check No.	Check Date	Check Amt.	Check Cleared	Sales Tax
011311030-0917	09/30/2017	168554	11/03/2017	1,837.24	11/07/2017	-
011311048-1018	10/31/2018	172191	11/16/2018	1,503.63	11/23/2018	-
011311048-1118	11/30/2018	172568	12/28/2018	7,991.13	01/07/2019	-
011311048-1218	12/31/2018	172779	01/25/2019	3,181.79	01/31/2019	
276400	10/30/2018	172198	11/16/2018	3,227.70	11/26/2018	-
274773	09/28/2018	172464	12/14/2016	1,621.88	12/21/2018	-
272863B	08/26/2018	172464	12/14/2016	7,862.50	12/21/2018	-
65640	09/30/2018	Credit Card	-	40,987.63	-	-
66116	10/31/2018	172218	11/16/2018	45,526.20	11/30/2018	-
6663	11/30/2018	172495	12/14/2018	41,243.57	12/21/2018	-
Pay Application	**Contractor Invoice Date**	**Check No.**	**Check Date**	**Check Amt.**	**Check Cleared**	**Sales Tax**
Pay App #6	09/19/2018	171907	10/19/2018	227,323.42	10/24/2018	2,488.48
Pay App #7	**11/29/2018**	**172445**	**12/14/2018**	**180,248.15**	**12/14/2018**	**317.47**
Pay App #8	**12/10/2018**	**172657**	**01/11/2019**	**330,442.90**	**01/11/2019**	**335.82**
Pay App #9	**12/19/2018**	**172656**	**01/11/2019**	**275,368.87**	**01/11/2019**	**280.06**
Pay App #10	**1/10/2019**	**172761**	**01/25/2019**	**74,859.03**	**01/31/2019**	**316.96**
			Total Paid 10.1.18 to 1.31.19	**1,243,225.64**	**Total Sales Tax**	**3,738.79**
			Less Sales Tax	**3,738.79**		
			Subtotal	**1,239,486.85**		
			80% Reimbursement Requested	**991,589.48**		

Wake Forest made payments to the contractors as noted on the table above and shown on the attached invoices, pay applications, cancelled checks and SunTrust wire transfers. Please let us know if you need additional information or if you have any questions.

Sincerely,

Suzette Morales, P.E.
Transportation Planning Manager

Enclosures

Kimley»Horn — Invoice for Professional Services

CEI Firm Invoice and Supporting Information

Total Invoice: $1,837.24

If you have questions or concerns, please call Leta Ward at (919) 678-4120 or Leta.Ward@kimley-horn.com

111GW

Project Construction

SunView Treasury Manager Image Viewer

Page 1 of 2

Image Details

Proof of Payment
- Image of Canceled Check or Screen Shot of ACH Transaction

https://sunview.suntrust.com/s1gcb/bank/common/image/user/retrieveImage?postedDate=VHVIIE5vdiAwNyAwMDowMDow... 2/22/2019

APPLICATION AND CERTIFICATION FOR PAYMENT

AIA DOCUMENT G702

PAGE ONE OF 2 PAGES

TO OWNER:
Town of Wake Forest
301 S. Brooks Street
Wake Forest, NC 27587

PROJECT: U-5515
Stadium Drive

APPLICATION NO: 6

Distribution to:
[ ] OWNER
[X] ARCHITECT
[ ] CONTRACTOR

FROM CONTRACTOR:
FSC II, LLC/dba Fred Smith Company
~~6105 Chapel Hill Road~~
Raleigh, NC 27607

VIA ARCHITECT: Kimley-Horn

PERIOD TO: 08/31/18

PURCHASE ORDER:

CONTRACT FOR:

CONTRACT DATE: 1/18/2018

CONTRACTOR'S APPLICATION FOR PAYMENT

Application is made for payment, as shown below, in connection with the Contract. Continuation Sheet, AIA Document G703, is attached.

The undersigned Contractor certifies that to the best of the Contractor's knowledge, information and belief the Work covered by this Application for Payment has been completed in accordance with the Contract Documents and that current payment shown herin is now due.

1. ORIGINAL CONTRACT SUM		$ 6,789,876.00
2. Net change by Change Orders		$ 34,757.44
3. CONTRACT SUM TO DATE (Line 1 ± 2)		$ 6,824,633.44
4. TOTAL COMPLETED & STORED TO DATE (Column G on G703)		$ 1,363,882.12
5. RETAINAGE:		
a. 0 % of Completed Work (Column D + E on G703)	$	
b. 0 % of Stored Material (Column F on G703)	$	
Total Retainage (Lines 5a + 5b or Total in Column I of G703)		$ 0.00
6. TOTAL EARNED LESS RETAINAGE (Line 4 Less Line 5 Total)		$ 1,363,882.12
7. LESS PREVIOUS CERTIFICATES FOR PAYMENT (Line 6 from prior Certificate)		$ 1,136,558.70
8. CURRENT PAYMENT DUE		$ 227,323.42
9. BALANCE TO FINISH, INCLUDING RETAINAGE (Line 3 less Line 6)	$	5,460,751.32

CHANGE ORDER SUMMARY	ADDITIONS	DEDUCTIONS
Total changes approved in previous months by Owner	$34,757.44	
Total approved this Month		
TOTALS	$34,757.44	$0.00
NET CHANGES by Change Order	$34,757.44	

CONTRACTOR: FSC II, LLC\dba Fred Smith Company

By: [signature] Date: 9-17-18

State of: NC County of: WAKE
Subscribed and sworn to before me this 17th day of September, 2018
Notary Public: Amanda L Byrd
My Commission expires: 8-31-2021

AMANDA L BYRD
Notary Public
North Carolina
Johnston County

ARCHITECT'S CERTIFICATE FOR PAYMENT

In accordance with the Contract Documents, based on on-site observations and the data comprising the application, the Architect certifies to the Owner that to the best of the Architect's knowledge, information and belief the Work has progressed as indicated, the quality of the Work is in accordance with the Contract Documents, and the Contractor is entitled to payment of the AMOUNT CERTIFIED.

AMOUNT CERTIFIED ..... $ 227,323.42

(Attach explanation if amount certified differs from the amount applied. Initial all figures on this Application and onthe Continuation Sheet that are changed to conform with the amount certified.)

ARCHITECT:
By: [signature] Date: 9/19/18

This Certificate is not negotiable. The AMOUNT CERTIFIED is payable only to the Contractor named herein. Issuance, payment and acceptance of payment are without prejudice to any rights of the Owner or Contractor under this Contract.

AIA DOCUMENT G702 · APPLICATION AND CERTIFICATION FOR PAYMENT · 1992 EDITION · AIA® · © 1992 THE AMERICAN INSTITUTE OF ARCHITECTS, 1735 NEW YORK AVE., N.W., WASHINGTON, DC 20006-5292

Users may obtain validation of this document by requesting a completed AIA Document D401 - Certification of Document's Authenticity from the Licensee.

15 Project Construction

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q
Line Item	NCDOT TIP: U-5515 Stadium Drive (SR 1930) From Glencoe Drive to North Main Street/US 1A	UNIT PRICE	Unit of Measure	Bid Quantity	Extension	WORK COMPLETED									PERCENT COMPLETE (O/F)	DOLLAR AMOUNT TO COMPLETE (F-O)
						JOB TO PREVIOUS BILLING			THIS PERIOD			JOB TO CURRENT BILLING				
	DESCRIPTION OF WORK					QUANTITY	STORED MATERIALS	AMOUNT	QUANTITY	STORED MATERIALS	AMOUNT	QUANTITY	STORED MATERIALS	AMOUNT	%	
SITE PREPARATIONS																
1	MOBILIZATION	$339,000.00	LS	1.00	$339,000.00	1.00	-	$ 339,000.00		-	$ -	1.00	-	$ 339,000.00	100.00%	$ -
2	CONSTRUCTION SURVEYING	$60,503.00	LS	1.00	$60,503.00	0.35	-	$ 21,176.05	0.15	-	$ 9,075.45	0.50	-	$ 30,251.50	50.00%	$ 30,251.50
3	UNDERCUT EXCAVATION	$70.00	CY	200.00	$14,000.00	-		$ -			$ -	-		$ -	0.00%	$ 14,000.00
4	GRADING	$1,661,000.00	LS	1.00	$1,661,000.00	0.15	-	$ 249,150.00	0.03	-	$ 49,830.00	0.18	-	$ 298,980.00	18.00%	$ 1,362,020.00
5	DRAINAGE DITCH EXCAVATION	$15.00	CY	20.00	$300.00	-	-	$ -		-	$ -	-	-	$ -	0.00%	$ 300.00
6	FOUND COND MATL, MINOR STRUCTURES	$37.00	TN	470.00	$17,390.00	18.67	-	$ 690.79			$ -	18.67	-	$ 690.79	3.97%	$ 16,699.21
7	FOUND COND MATL, MINOR STRUCTURES (W/S)	$60.00	TN	90.00	$5,400.00	-	-	$ -	20.47		$ 1,228.20	20.47	-	$ 1,228.20	22.74%	$ 4,171.80
8	FOUNDATION CONDITIONING GEOTEXTILES	$2.00	SY	1,450.00	$2,900.00	-	-	$ -			$ -	-	-	$ -	0.00%	$ 2,900.00
9	12" RC PIPE CULVERTS, CLASS III	$60.00	LF	68.00	$4,080.00	-	-	$ -			$ -	-	-	$ -	0.00%	$ 4,080.00
10	15" RC PIPE CULVERTS, CLASS III	$42.00	LF	324.00	$13,608.00	24.00	-	$ 1,008.00	110.50	-	$ 4,641.00	134.50	-	$ 5,649.00	41.51%	$ 7,959.00
11	15" RC PIPE CULVERTS, CLASS IV	$50.00	LF	1,140.00	$57,000.00	449.60		$ 22,480.00	82.40		$ 4,120.00	532.00		$ 26,600.00	46.67%	$ 30,400.00
12	18" RC PIPE CULVERTS, CLASS III	$50.00	LF	276.00	$13,800.00	165.50	-	$ 8,275.00	24.00	-	$ 1,200.00	189.50	-	$ 9,475.00	68.66%	$ 4,325.00
13	18" RC PIPE CULVERTS, CLASS IV	$55.00	LF	2,036.00	$111,980.00	411.00	-	$ 22,605.00	10.00	-	$ 550.00	421.00	-	$ 23,155.00	20.68%	$ 88,825.00
14	24" RC PIPE CULVERTS, CLASS III	$65.00	LF	120.00	$7,800.00			$ -						$ -	0.00%	$ 7,800.00
15	24" RC PIPE CULVERTS, CLASS IV	$75.00	LF	576.00	$43,200.00	-	-	$ -	197.50	-	$ 14,812.50	197.50	-	$ 14,812.50	34.29%	$ 28,387.50
16	6" DRAINAGE PIPE - PVC	$35.00	LF	100.00	$3,500.00	-	-	$ -		-	$ -	-	-	$ -	0.00%	$ 3,500.00
17	PIPE REMOVAL	$17.00	LF	317.00	$5,389.00	78.00	-	$ 1,326.00	98.00	-	$ 1,666.00	176.00	-	$ 2,992.00	55.52%	$ 2,397.00
18	PIPE CLEAN-OUT	$1,000.00	EA	1.00	$1,000.00	-		$ -				-		$ -	0.00%	$ 1,000.00
19	AGGREGATE BASE COURSE	$30.00	TN	2,025.00	$60,750.00	353.47	-	$ 10,604.10	344.27	-	$ 10,328.10	697.74	-	$ 20,932.20	34.46%	$ 39,817.80
20	INCIDENTAL STONE BASE	$30.00	TN	500.00	$15,000.00	91.18	-	$ 2,735.40		-	$ -	91.18	-	$ 2,735.40	18.24%	$ 12,264.60
21	INCIDENTAL MILLING	$12.00	SY	1,500.00	$18,000.00	-	-	$ -		-	$ -	-	-	$ -	0.00%	$ 18,000.00
22	S25.0B	$85.00	TN	1,850.00	$157,250.00	-	-	$ -		-	$ -	-	-	$ -	0.00%	$ 157,250.00
23	I19.0B	$80.00	TN	1,000.00	$80,000.00	-	-	$ -		-	$ -	-	-	$ -	0.00%	$ 80,000.00
24	S9.5B	$80.00	TN	3,300.00	$264,000.00	-	-	$ -		-	$ -	-	-	$ -	0.00%	$ 264,000.00
25	ASPHALT BINDER FOR PLANT MIX	$400.00	TN	340.00	$136,000.00	-	-	$ -		-	$ -	-	-	$ -	0.00%	$ 136,000.00
26	ASPHALT PLANT MIX, PAVT REPAIR	$140.00	TN	825.00	$115,500.00	23.16	-	$ 3,242.40		-	$ -	23.16	-	$ 3,242.40	2.81%	$ 112,257.60
27	ASPHALT PLANT MIX, PAVT REPAIR (W / S)	$140.00	TN	750.00	$105,000.00	36.95	-	$ 5,173.00	12.18	-	$ 1,705.20	49.13	-	$ 6,878.20	6.55%	$ 98,121.80
28	SUPL FIELD SURVEY	$155.00	HR	32.00	$4,960.00	-		$ -	5.50		$ 852.50	5.50	-	$ 852.50	17.19%	$ 4,107.50
29	SUPL SURVEYING OFFICE CALCS	$90.00	HR	16.00	$1,440.00	-		$ -			$ -	-		$ -	0.00%	$ 1,440.00
30	EXPLORATORY EXCAVATION - STND	$340.00	HR	60.00	$20,400.00	13.00	-	$ 4,420.00	2.00	-	$ 680.00	15.00	-	$ 5,100.00	25.00%	$ 15,300.00
31	COLORED CONCRETE VEHICULAR APRON	$190.00	SY	285.00	$54,150.00	-	-	$ -			$ -	-	-	$ -	0.00%	$ 54,150.00
32	R-O-W / PERM EASEMENT MARKERS	$150.00	EA	141.00	$21,150.00	-	-	$ -		-	$ -	-	-	$ -	0.00%	$ 21,150.00
33	SUBDRAIN EXCAVATION	$15.00	CY	75.00	$1,125.00	-	-	$ -		-	$ -	-	-	$ -	0.00%	$ 1,125.00
34	SUBDRAIN FINE AGGR	$25.00	CY	75.00	$1,875.00	-	-	$ -		-	$ -	-	-	$ -	0.00%	$ 1,875.00
35	6" PERF SUBDRAIN PIPE	$10.00	LF	420.00	$4,200.00	-	-	$ -		-	$ -	-	-	$ -	0.00%	$ 4,200.00
36	6" OUTLET PIPE	$25.00	LF	100.00	$2,500.00	-	-	$ -		-	$ -	-	-	$ -	0.00%	$ 2,500.00
37	MASONRY DRAINAGE STRUCTURES	$2,100.00	EA	65.00	$136,500.00	9.00	-	$ 18,900.00		-	$ -	9.00	-	$ 18,900.00	13.85%	$ 117,600.00
38	MASONRY DRAINAGE STRUCTURES	$200.00	LF	31.00	$6,200.00	-	-	$ -		-	$ -	-	-	$ -	0.00%	$ 6,200.00
39	F W/ GRATE 840.03, TYPE E	$900.00	EA	5.00	$4,500.00	-	-	$ -		-	$ -	-	-	$ -	0.00%	$ 4,500.00
40	F W/ GRATE 840.03, TYPE F	$900.00	EA	22.00	$19,800.00	-	-	$ -		-	$ -	-	-	$ -	0.00%	$ 19,800.00
41	F W/ GRATE 840.03, TYPE G	$900.00	EA	27.00	$24,300.00	-	-	$ -		-	$ -	-	-	$ -	0.00%	$ 24,300.00
42	DI F&G 840.16	$900.00	EA	1.00	$900.00	-	-	$ -		-	$ -	-	-	$ -	0.00%	$ 900.00
43	GDI NS SAG F W/ 2 G 840.24	$900.00	EA	3.00	$2,700.00	-	-	$ -		-	$ -	-	-	$ -	0.00%	$ 2,700.00
44	MH F&C 840.54	$900.00	EA	12.00	$10,800.00	-	-	$ -			$ -	-	-	$ -	0.00%	$ 10,800.00
45	PIPE PLUG	$1,200.00	CY	1.00	$1,200.00	0.07	-	$ 78.00			$ -	0.07	-	$ 78.00	6.50%	$ 1,122.00
46	FLOWABLE FILL	$400.00	CY	9.00	$3,600.00	4.00	-	$ 1,600.00			$	4.00	-	$ 1,600.00	44.44%	$ 2,000.00
47	8" X 18" CONC CURB	$18.50	LF	115.00	$2,127.50	-	-	$ -			$ -	-	-	$ -	0.00%	$ 2,127.50
48	1'-6" CONC CURB & GUTTER	$12.00	LF	1,110.00	$13,320.00	-	-	$ -			$ -	-	-	$ -	0.00%	$ 13,320.00
49	2'-6" CONC CURB & GUTTER	$14.00	LF	9,500.00	$133,000.00	-	-	$ -	583.00		$ 8,162.00	583.00	-	$ 8,162.00	6.14%	$ 124,838.00
50	CONC CURB RAMP (NCDOT)	$1,500.00	EA	42.00	$63,000.00	-	-	$ -			$ -	-	-	$ -	0.00%	$ 63,000.00
51	CONC CURB RAMP (MUP)	$2,800.00	EA	10.00	$28,000.00	-	-	$ -			$ -	-	-	$ -	0.00%	$ 28,000.00
52	4" CONC SIDEWALK	$30.00	SY	4,635.00	$139,050.00	-	-	$ -			$ -	-	-	$ -	0.00%	$ 139,050.00
53	4" REINF CONC SIDEWALK	$37.00	SY	385.00	$14,245.00	-	-	$ -			$ -	-	-	$ -	0.00%	$ 14,245.00
54	6" CONC DRIVEWAY (HIGH EARLY)	$56.00	SY	550.00	$30,800.00	-	-	$ -			$ -	-	-	$ -	0.00%	$ 30,800.00
55	CONC SIDEWALK (ON BRIDGE)	$48.00	SY	100.00	$4,800.00	-	-	$ -			$ -	-	-	$ -	0.00%	$ 4,800.00

15 Project Construction

Form DBE-IS

State of North Carolina
Department of Transportation
Subcontractor Payment Information

Submit with Invoice To: Town of Wake Forest
Third Floor
301 S. Brooks Street
Wake Forest, NC 27587

Firm Invoice No. Reference: U-5515 Stadium Drive
NCDOT PO / Contract Number:
WBS No. (State Project No.):
Date of Invoice: 8.31.18
Signed:

Invoice Line Item Reference	Payer Name	Payer Federal Tax Id	Subcontractor / Subconsultant/ Material Supplier Name	Subcontractor / Subconsultant / Material Supplier Federal Tax Id	Amount Paid To Subcontractor / Subconsultant / Material Supplier This Invoice	Date Paid To Subcontractor / Subconsultant / Material Supplier This Invoice
	FSCII LLC dba Fred Smith Company	56-2106089	Narron Contracting	56-2145738	100,752.49	8.31.18
			Total Amount Paid to Subcontractor Firms		$100,752.49	

NOTE: - These documents are scanned into our Fiscal program. Please do not highlight or shade the figures.

I certify that this information accurately reflects actual payments made and the dates the payments were made to Subcontractors/ Subconsultants/Material Suppliers on the above referenced project.

Signature: [signature] Title: DIVISION MANAGER

Print Name: JEFF ALLEN Date: 9-17-18

Rev. 01/07

SUBCONTRACTOR'S SALES TAX REPORT

(A detailed report of all sales and/or use tax on materials that will become a permanent part of the building for the project, invoice, and period listed below.)

Project: U-5515 STADIUM DRIVE

Subcontractor: FSCII LLC, dba Fred Smith Company

Address: 6105 Chapel Hill Rd
Raleigh, NC 27607

Pay Application # 6

For Period THRU 8.31.18

SUPPLIERS	Total Invoice	Invoice Before Tax	Tax Amount	NC Tax Amount	County Tax	.5% Wake Co Transit Tax	County
Argos	408.48	$379.00	$ 27.48	$ 18.00	$ 7.58	$1.90	WAKE
Ferguson Enterprises Inc	32,289.39	$30,106.63	$ 2,182.76	$ 1,430.08	$ 602.15	$150.53	WAKE
Ferguson Enterprises Inc	1,221.22	$1,138.66	$ 82.56	$ 54.09	$ 22.77	$5.70	WAKE
Ferguson Enterprises Inc	1,438.48	$1,341.24	$ 97.24	$ 63.71	$ 26.82	$6.71	WAKE
Ferguson Enterprises Inc	584.73	$545.20	$ 39.53	$ 25.90	$ 10.90	$2.73	WAKE
Ferguson Enterprises Inc	3,060.52	$2,853.63	$ 206.89	$ 135.55	$ 57.07	$14.27	WAKE
Ferguson Enterprises Inc	87.61	$81.68	$ 5.93	$ 3.89	$ 1.63	$0.41	WAKE
Ferguson Enterprises Inc	162.86	$151.85	$ 11.01	$ 7.21	$ 3.04	$0.76	WAKE
Ferguson Enterprises Inc	157.94	$147.27	$ 10.67	$ 7.00	$ 2.94	$0.73	WAKE
Ferguson Enterprises Inc	125.48	$117.00	$ 8.48	$ 5.56	$ 2.34	$0.58	WAKE
Ferguson Enterprises Inc	4.02	$3.75	$ 0.27	$ 0.17	$ 0.08	$0.02	WAKE
Subtotals	**$39,538.73**	**$36,865.91**	**$2,672.82**	**$1,751.16**	**$737.32**	**$184.34**	**WAKE**

INVENTORY	Total Inventory	Inventory Before Tax	Tax Amount	NC Tax Amount	County Tax	.5% Wake Co Transit Tax	County
Subtotals							
							Grand Totals
Grand Totals	**$39,538.73**	**$36,865.91**	**$2,672.82**	**$1,751.16**	**$737.32**	**$184.34**	

I certify that the above listing includes **ALL SALES AND/OR USE TAX** on materials used in the completion of our contract with the Town of Wake Forrest during the period indicated above. I further certify that all items listed above were either taken from our stock and/or purchased from the vendor indicated above and that the materials have been or will be used in the performance of this contract. As a part of our contract, these materials have been included in our invoice or pay application indicated above to the Town of Wake Forest.

MATERIALS MATERIALS SHALL INCLUDE ONLY THOSE ITEMS THAT WILL BECOME A PERMANENT PART OF OR BE ANNEXED TO THE BUILDING OR STRUCTURE BEING ERECTED, ALTERED OR REPAIRED. **NO RENTALS, TOOLS, AND/OR EQUIPMENT HAS BEEN INCLUDED.**

SWORN TO AND SUBSCRIBED BI 17th Day of September, 2018

Notary Public: Amanda L Byrd
My commission expires: 8-31-2021

(Contractor Signature) [signature]
(Title) Jeff Allen - Division Manager

AMANDA L BYRD
Notary Public
North Carolina
Johnston County

Project Construction

READY MIXED CONCRETE COMPANY

INVOICE

ARGOS

RETURN SERVICE REQUESTED

BILL TO:
FRED SMITH COMPANY LLC
701 CORPORATE CENTER DR SUITE 101
RALEIGH NC 27607-5111

SHIP TO:
U-5515 STADIUM DR WIDENING
U-5515 STADIUM DR
WAKE FOREST NC 27587-2558

Invoice Date 07/16/2018

Sales Rep: DUMAS TIMOTHY

ORDER #	CUSTOMER #	CUSTOMER PO #	PROJECT #	PROJECT DESCRIPTION	INVOICE NUMBER
190005	4305	FSCP85-181121603	78036	U-5515 STADIUM DR WIDENING	91146245

TICKET DATE	TICKET #	QTY	UOM	ITEM #	ITEM DESCRIPTION	UNIT PRICE	EXTENDED	TAXABLE
07/16/2018	18004370	4.000	YDS	000AF44	00WASPCNCRFLWFFNX18G	94.00	376.00	X
07/16/2018	18004370	1	EA	8100380	ENVIRONMENTAL FEE PER LOAD	3.00	3.00	X
07/16/2018	18004370	1	EA	8100382	FUEL SURCHARGE PER LOAD	0.00	0.00	X
INVOICE TOTAL		4.000	YDS	000AF44	00WASPCNCRFLWFFNX18G		376.00	
		1	EA	8100380	ENVIRONMENTAL FEE PER LOAD		3.00	
		1	EA	8100382	FUEL SURCHARGE PER LOAD		0.00	

Payment Terms: Net due day 10 next month

DUE DATE: 08/10/2018

SUBTOTAL:	379.00
WAKE NC 7.25 %:	27.48
TOTAL:	406.48

Argos USA LLC
3015 Windward Plaza Suite 300
Alpharetta GA 30005

CUSTOMER NAME: FRED SMITH COMPANY LLC
CUSTOMER NUMBER: 4305
INVOICE NUMBER: 91146245
INVOICE DATE: 07/16/2018
AMOUNT DUE: 406.48

Invoice Inquiries: 678-368-4300

FRED SMITH COMPANY LLC
701 CORPORATE CENTER DR SUITE 101
RALEIGH NC 27607-5111

REMIT TO:
Argos USA LLC
P.O. Box 733134
Dallas TX 75373-3134

OVERDUE INVOICES SUBJECT TO INTEREST AT 1.5% PER MONTH ON ALL INVOICES NOT PAID BY THE 25TH OF MONTH DUE.
If you wish to pay via EFT (Electronic Funds Transfer), please use the following instructions.
Wire Transfers: JPMorgan Chase Routing #: 021 000 021, SWIFT: CHASUS33, Account #: 730 183 253 Argos USA LLC
ACH: JPMorgan Chase Routing #: 021 000 021, Account #: 730 183 253 Argos USA LLC
Please send payment remittance information to: cashapplication@argos-us.com

Page 1 of 1

0000004305

- ORIGINAL -

0507

Project Construction

Construction Oversight

Project Construction

Construction

- Vacant - Division Construction Engineer
- Chad Hinnant, PE- Deputy Division Construction Engineer
  - Resident Engineer
- Raymond Hayes, PE (Benesch) - Local Projects Manager
  - Main Point of Contact During Construction

    Email- ext-rjhayes@ncdot.gov

    Phone 919-628-8999
- Daniel Keel - Division 5

  Final Estimates Technicians
  - Checking all Final Estimates

Project Construction

Construction

- Project Reviews
  - Conducted by Raymond Hayes
  - New Project Review Form
- Materials and Test
  - New Guide for Material Certifications
  - Receive Materials as they Arrive on Site
- Supplemental Agreements
  - Involve NCDOT Early in Process
    - Thorough Vetting of Contractor Pricing
      - Breakdown of Costs(Labor, Equip, Materials, Subcontractors)
      - Use Force Account Documentation as Guide

Construction

- Supplemental Agreements- Cont'd
  - Description of Work
    - Justification
    - Referencing Specs or Provision
- Continue Good Pay Record Documentation
  - Contact NCDOT with Questions
- Project Closeout
  - Timely Submission of Final Estimate

Project Construction

PROJECT REVIEW - LOCALLY ADMINISTERED PROJECTS

TIP / Proj #	WBS Number		Date of Visit/Review
Municipality	Project Description		
Contractor	CEI Representative		Division
Date of Availability (NTP)	Date Work Started	Contract Completion Date	Percent Complete

PROJECT SCHEDULE	Yes	No	N/A	Comments
What is the expected completion date?				
Have there been any delays to date?				
Are there any foreseeable delays?				

PROJECT DIARIES	Yes	No	N/A	Comments
Are diaries kept for this project?				
Do diaries indicate Contractor's activities daily?				
Do they indicate equipment/personnel on site?				
Do they indicate weather conditions each day?				
Are Engineer's Weekly Summary complete?				

JOB-SITE POSTERS	Yes	No	N/A	Comments
Are all job site posters in place on the project?				

DBE / SUBCONTRACTORS	Yes	No	N/A	Comments
Are the DBE goal in the Contract? If yes, what %?				
Has the DBE participation goal been met?				
Have SAF's been submitted?				
Have SAF's been signed / returned?				
Did the DBE do the work listed?				
Verification that DBE's were paid, DBE-IS.				
Subcontr agr have fed-aid provision (i.e. 1273).				
Is Form FHWA-1391 complete (FHWA-1273, II (11)(b))?				

CERTIFIED PAYROLLS	Yes	No	N/A	Comments
Have payrolls been submitted?				
Are the submitted payrolls current?				
Have payrolls been checked against Minimum Wages General Decision?				
Have any wage discrepancies been found? (If "Yes", has correction been done?)				
Have wage rate interviews been done (1 / sub / Qrt)?				

TIP / Proj #	WBS Number	Date of Visit/Review
Municipality	Project Description	

SUPPLEMENTAL AGGREMENTS	Yes	No	N/A	Comments
Are there copies of all Supplemental Agrmts?				
Is there justification for SA's?				
Were quantities verified?				
Is there justification for price of new items?				
Are there updated project quantities for all SA's?				
Was FHWA concur. obtained (if over $50K or 30 days)?				

PAY ESTIMATES	Yes	No	N/A	Comments
Are pay estimates being withheld?				
Are any line items being withheld from pay est?				
Are there copies of all pay estimates?				
Are there quantity calcs shown for each pay item?				
Do quantities match work (See Line Code Test)?				
Do quantities reflect all SA's?				

PAY RECORD BOOKS	Yes	No	N/A	Comments
Are PRB's kept for this project?				
Inspector name and initials in front of book.				
Are the PRB's format and entries satisfactory?				
(Pay items will be selected from the last estimate and quantities will be tracked from the source document to the monthly estimate and, when appropriate, to the Weight Ticket Books. This will be shown in the Line Code Testing section below.)				

WEIGHT TICKETS	Yes	No	N/A	Comments
Are there Ticket Books for this project?				
Are there separate books by day/material?				
Are Weight Master's signature/initials on tickets?				
Do Inspector's signature/initials appear on tickets?				
Do station numbers/ locations appear on tickets?				

MATERIAL RECEIPTS	Yes	No	N/A	Comments
Is there a notarized Buy America Certification?				
Are there mat'l recpt / certs for required items?				
Was payment made without mat'l receipts?				
Tickets for tack coat				
Apprv'd supplier / mat'l verification of tack coat.				
See Material Receipt Review for specific MRR				

GRADING	Yes	No	N/A	Comments
AASHTO T99 test results for compaction %				
Rdwy Embnkmt - Compctn results - 95%				
Rdwy Subgr - Compctn results - 100% within 8"				
Trail Embnkmt - Compctn results - 90%				1 minimum
Trail Subgr - Compctn results - 92% within 8"				1 minimum
Testing frequency per specifications				

Project Construction

TIP / Proj #	WBS Number	Date of Visit/Review
Municipality	Project Description	

AGGREGATE BASE COURSE	Yes	No	N/A	Comments
Producer QC reports				
Contractor's QC compaction test results				Rdwy - 98%, Trail - 92%
Contractor's QA compaction test results				
Testing frequency per specifications				
Corrective action taken for tests out of compliance				

ASPHALT	Yes	No	N/A	Comments
M&T FORM 605 complete for each day of paving				
Contractor's QC results for all tests				
State's QA results for all tests are within limits				
Documentation for tests on mix				
Documentation for tests on percent compaction				
Documentation of thickness results				
Random numbers used for test locations				
Testing frequency per specifications				
Corrective action taken for tests out of compliance				
Tickets for all trucks				
Tickets calculated for each day				
Asphalt placed during adequate weather				
Tickets for prime coat				
Materials verification of prime coat				

CONCRETE	Yes	No	N/A	Comments
Tickets for all trucks				
Documentation of slump tests				
Documentation of air content tests				
Documentation of all compressive strength tests				
Concrete poured during adequate weather				
Testing frequency per specifications				
Corrective action taken for tests out of compliance				

EROSION CONTROL	Yes	No	N/A	Comments
Daily reports current?				
Is erosion control installed per plans?				
Are EC plans up-to-date?				
Is erosion control maintained adequately?				

TRAFFIC CONTROL	Yes	No	N/A	Comments
Are advanced warning signs in place?				
Are lane tapers installed per plans?				
Are detours in place per plans and plans?				
Is time of work in compliance with contract?				

SIGNS	Yes	No	N/A	Comments
Are signs installed per plans?				
Documentation that sign fabrication meets specs				
Docs that retroreflective sheeting meets specs				

TIP / Proj #	WBS Number	Date of Visit/Review
Municipality	Project Description	

MATERIAL RECEIPT REVIEW

Mat'l Receipt Items	In Project Yes / No	MRR Yes / No	Required Items: Bill of Lading	Required Items: Cert / Stamp / Tag / Alt ID	Required Items: Pre Appr / QPL	Comments
Traffic Control						Cert-3,4,7
Erosion Control						
Timber - Sec 1082-4						3rd Party Insp, AWPA U1 T1
Pipe-Conc/Met'l/Plst'c						
Precast						
Iron Castings-Drainage						
Utility - Water / Sewer						Cert-3,6
Brick/Block/Seg Wall						
Steel / Prestress Str						Stl Cert-1,3,4,7
Guard/Guiderail, Fence						Fence Cert-6
Signal / ITS						
Truncated Domes						Cert-3
Pav't Marking						
Landscaping						Cert-6, NCDA Cert-???

LINE CODE TESTING

Line No.	Description	Quantity Paid	Pay Record Quantity	Difference	Comments
				-	
				-	
				-	
				-	
				-	
				-	
				-	
				-	
				-	
				-	

ADDITIONAL COMMENTS

-

Reviewed by: _____

Project Construction

Construction Completion Concurrence Letter

STATE OF NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION

ROY COOPER
GOVERNOR

JAMES H. TROGDON, III
SECRETARY

November 18, 2019

WBS:	501488.3.1
TIP NO.:	B-5556
COUNTY:	Wake
DESCRIPTION:	Lake Dam Road Bridge Replacement – Bridge No. 910490 over Walnut Creek

Mr. Gilles Bellot, PE
Project Manager
City of Raleigh
PO Box 590
Raleigh, NC 27602-0590

SUBJECT: Project Concurrence

Dear Mr. Bellot:

This is to advise that the Department concurs that work on the Lake Dam Road Bridge Replacement Project, also known as TIP Project B-5556, was satisfactorily completed as of July 31, 2019.

To fully complete the project in accordance with the municipal agreement (and applicable supplement agreements), the following administrative tasks and project documentation must be completed within six (6) month as stipulated in the agreement(s):

- **NCDOT Materials & Test Unit Project Certification** – All final quantities must be confirmed and reconciled with corresponding test reports and/or material certification documentation.
- **Final Estimate** – Final quantities, contract time and intermediate contract times, and all final claims must be compiled, reconciled with the Contractor, and approved by NCDOT. The Final Estimate package must be submitted to NCDOT for checking with a DBE utilization/compliance summary.
- **Final Payment to the Contractor** – Payment should be made in strict accordance with the approved Final Estimate and any approved claims.
- **Final Payment for CEI Services (if applicable)** – Per the terms of the municipal agreement, reimbursement for construction contract administration is limited to no more than fifteen (15%) percent of the actual construction contract.
- **Final Reimbursement Request** – The municipality shall submit a final request for reimbursement, clearly marked as FINAL, in accordance with the project funding outlined in the municipal agreement and applicable supplemental agreements. Upon approval and reimbursement, NCDOT will issue Form 1446B.

Mailing Address:
NC DEPARTMENT OF TRANSPORTATION
DIVISION FIVE OFFICE
2612 NORTH DUKE STREET
DURHAM, NORTH CAROLINA 27704
CS 17-27-03

Telephone: (919) 220-4600
Fax: (919) 560-3371
Customer Service: 1-877-368-4968

Website: www.ncdot.gov

Location:
2612 NORTH DUKE STREET
DURHAM, NORTH CAROLINA 27704

Project Construction

Project Closeout Checklist

Project Closeout Checklist

TIP / Proj #:	WBS #:	Federal Aid #:
Municipality:	Project Description:	
Contractor:	CEI Representative:	Division:
NTP:	Date Work Started:	
Contract Completion Date:	Actual Completion Date:	

ALL INVOICES ASSOCIATED WITH THE PROJECT MUST BE SUBMITTED WITHIN SIX (6) MONTHS OF THE COMPLETION OF CONSTRUCTION AND ACCEPTANCE OF THE PROJECT TO BE ELIGIBLE FOR REIMBURSEMENT BY THE DEPARTMENT. ANY INVOICES SUBMITTED AFTER THIS TIME WILL NOT BE ELIGIBLE FOR REIMBURSEMENT.

	Date (MM/DD/YYYY)	Punchlist Complete? (Y/N)	Date Punchlist Complete
Final Inspection with NCDOT Present			

	Date Written	Date Submitted to NCDOT	Date Received from NCDOT
Project Acceptance Letter from Municipality to Contractor			
Request for Concurrence in Construction from Municipality to NCDOT (including date of Acceptance)			
Concurrence in Construction Letter from NCDOT (send to Raymond Hayes - Div 5 LAP Oversight)			

	Date reviewed by NCDOT	Materials Certification Date
Materials and Test Review (NCDOT)		

	Totaled (Y/N)	Comp'd (Y/N)	Checked (Y/N)	Received from Testing firm? (Y/N)
As-built drawings				
Pay Record Books for Final estimate				
Ticket Books				
Materials Receipts				
Concrete Reports (903, 250)				
Asphalt Reports (605)				
Test Results Received for:				
Density/Test Results				
Asphalt (Core or Nuclear? Circle Appropriate)				
Concrete				
ABC (For Pavement, not Class IV)				
Roadway Subgrade				
Roadway Embankment				
Samples				
Roadway Embankment				
Roadway Subgrade				
Roadway ABC				

TIP / Proj #:	WBS #:	Federal Aid #:
Municipality:	Project Description:	
Contractor:	CEI Representative:	Division:
NTP:	Date Work Started:	
Contract Completion Date:	Actual Completion Date:	

	Fully Executed (Reviewed and signed by NCDOT) (Y/N)	Reviewed and verified against the FHWA 1273 (Y/N)	Completed & Signed by CEI/RE (Y/N)	Completed/Signed/ Notarized by Contractor/Employee (Y/N)
Pay Applications				
DBE-IS Form (Can be included in pay app)				
Certified Payrolls				
Sales Tax Reports				
SAFs (to include prime and subcontract agreement, FHWA 1273)				
Daily Reports				
Weekly Summaries				
Wage Rate Interviews				
DBE-IS Contract Goal & Commitment Payment Summary Form				

	Written/Drafted?	Approved/Executed?	Total Additional Time &/OR Money
Claims (time, money, final)			
Claim 1 - Description			
Insert additional lines as necessary			
Force Account (Form 480 w/ Supporting Documentation) to be paid as a SA			
FA 1 - Description			
Insert additional lines as necessary			
Supplemental Agreement(s)			
SA 1 - Description			
Insert additional lines as necessary			

	Approved & Executed (Y/N)	Written (Y/N)	Submitted to Contractor
Final Pay Application/Estimate (Include with other pay applications)			
Pay Adjustments or 105-3 Acceptance Letters			
Ex. Asphalt Letter			
Ex. Asphalt Letter			
Ex. Asphalt Letter			

	Created/Drafted (Y/N)	Date Records Delivered to NCDOT Facility For Review	Completed and Signed off by NCDOT Checker
Final Estimate Transmittal			
See attached Transmittal example of items to be included in submission to NCDOT for Final Review (Kelly Adams)			

16 Project Closeout

Questions?

FHWA Review & Audit

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

Project Construction

Items Typically Reviewed

- 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/Interviews
- DBE/Subcontractors
- Grading
- Traffic Control
- Erosion Control
- Signs
- Material Certifications
- Job-site Posters
- LPA/NCDOT Oversight
- Project Final Acceptance Process

Preliminary Project Meetings/Reviews

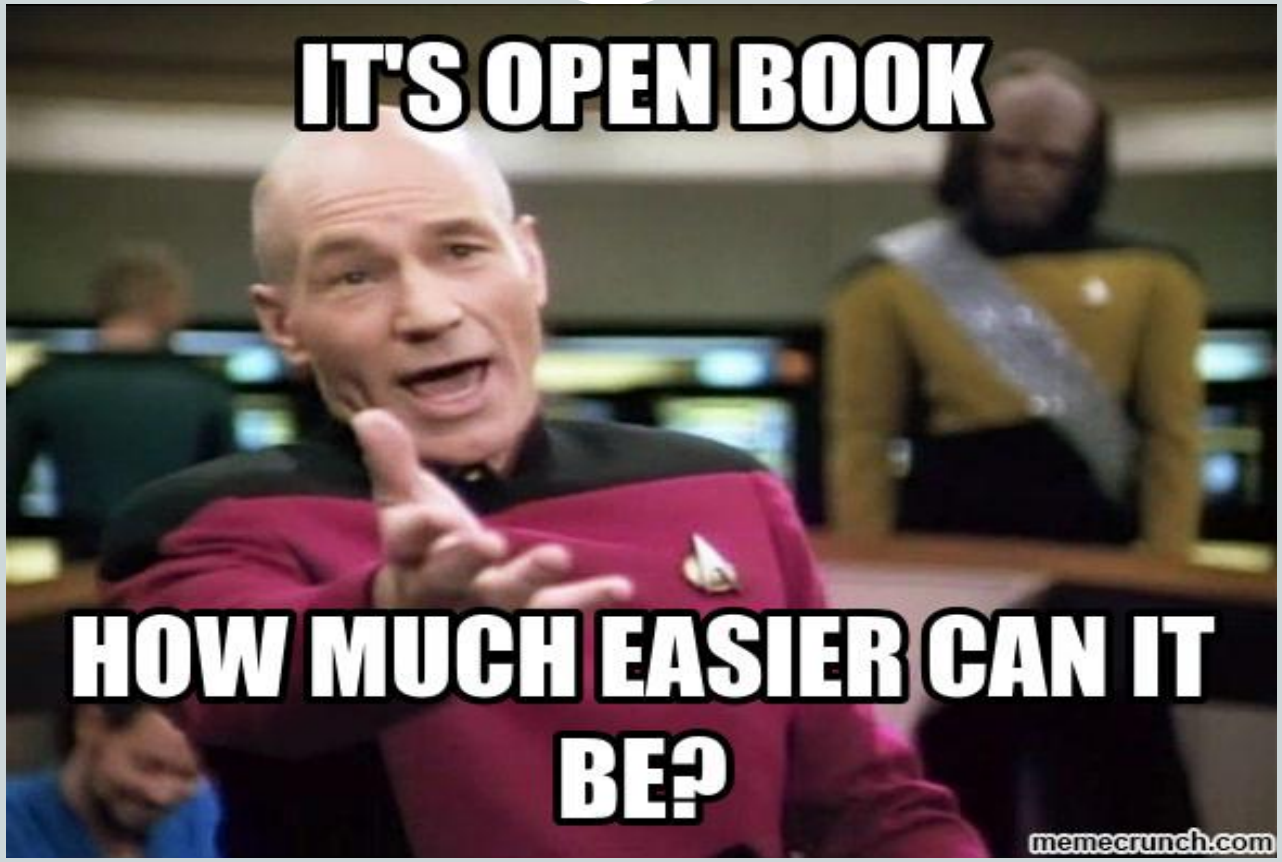
LPA Program Manager will be conducting two types of reviews:

Pre-Construction Meetings/Reviews – Please don't forget to invite me, the DOT and DOT-Materials and Test Unit. (It's stated on your Concurrence In Award letter.)

I want to be included in these meetings to ensure everyone is on the same page as far as expectations and requirements.

Project Construction

Records Reviews



Records Review Checklist

Project Construction

Material Certification & Project Closeout

In order to achieve project final acceptance, the NCDOT (Materials & Test Unit) will need to certify your project (requested by an NCDOT-1446B form by NCDOT). Please make sure all records are available for their review.

2 CFR 200 (aka: Supercircular) - Requires that projects be closed out 15 months after the "End Date" established and documented on the FHWA Authorization.

Note to NCDOT & Municipalities: Please schedule M&T's review, the punch list walk through, final invoice, etc. as soon as you can in the final acceptance process to ensure proper (and timely) project closeout.

If timeframes are not met, the Supercircular states that ALL project funds shall be taken back.

LAPP Project Delivery Requirements

Project Reporting Requirements

- In addition to the requirements associated with receiving federal funding, the MPO will also require regular reporting on projects funded through the LAPP.
- Applicants are required to provide updates to the MPO outlining where the project is in the timeline toward funding obligation of all phases awarded for the project. This includes NEPA, plan and right-of-way submittals.
- More frequent communications are required if project location, schedule or funding changes are likely to occur.
- Applicants are also required to include CAMPO on key date communications toward implementation of the project, such as bidding, ground-breaking and opening ceremonies.
- References to funding in communications should include: “Federal funds were provided for this project by the Capital Area Metropolitan Planning Organization through the Federal Highway Administration.”

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LAPP Project Adjustments:

What: Projects in the LAPP Program are permitted to submit requests to CAMPO for additional funding. If approved, this additional funding is provided at a 50/50 match with the jurisdiction.

When: Jurisdictions are encouraged to only request additional funding for their LAPP project ONE TIME throughout project delivery. Make sure that you have STRONG cost estimates at time of additional funding request.

How: Additional funding requests are submitted to CAMPO and should provide an explanation of the cost overage, current plans, and an updated budget. Minor project adjustments can be approved administratively by the CAMPO Executive Director, larger adjustments need approval by the CAMPO Executive Board.

*Due to the limited nature of LAPP funding, additional funding can never be guaranteed.

LAPP - FFY 27 Deadlines

- January – May 2026
  - Public Involvement
  - Executive Board adopts project list
  - CMAQ Applications
  - **Training for LAPP selected project managers**
  - TIP & STIP Amendment Process

- **May – September 2026**
  - Municipal Agreements signed by local gov.
  - Municipal Agreements signed by NCDOT
  - FTA Request for Draft Grant # for Transit Flex Projects
  - **SEPTEMBER 15, 2026: ALL AGREEMENTS MUST BE SIGNED OR FUNDS MAY BE PROGRAMMED TO ANOTHER SHOVEL READY PROJECT – THIS IS A CRITICAL DEADLINE**

- **October 1, 2026 – September 30, 2027**
  - FFY 27 LAPP Funds Obligated

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What is the **first step** in the locally administered project delivery process?

a) Right-of-Way Acquisition
b) Agreement Execution
c) Environmental Review
d) Construction Authorization

What must be **approved before a locally administered project** can be advertised for bidding?

a) Final Inspection
b) Construction Authorization
c) Right-of-Way Certification
d) Environmental Documentation

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What is the **Supercircular (2 CFR 200)** requirement regarding project closeout?

a) Projects must be closed within 15 months after the "End Date"
b) Projects can remain open indefinitely
c) Projects must close immediately after funding authorization
d) Project funds can be used for non-transportation expenses

What happens if a project sponsor does not **invoice NCDOT within 6 months** of project completion?

a) The project is automatically extended
b) The sponsor will not be eligible for reimbursement
c) The funding is automatically increased
d) The project sponsor can request an exemption

What happens if a federally funded project is **inactive for more than 1 year**?

a) The funding remains available indefinitely
b) FHWA's Finance Section is required to deobligate unspent funding
c) The local government automatically receives an extension
d) The project must be restarted from the beginning

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What is the **deadline for all municipal agreements to be signed** for the FFY 27 LAPP program?

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www.campo-nc.us/funding/locally-administered-projects-program

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