



CAPITAL AREA MPO

**Locally Administered Projects Program (LAPP) Project Management
Training**

March 18, 2021

9:00 AM – 3:00 PM

WebEx Participants

- Use Chat Feature for Questions/Feedback
- Please keep phone on mute
- Slides are posted online at: <https://www.campo-nc.us/funding/locally-administered-projects-program/training>
- We will take breaks (including lunch) as needed
- “Bite-Sized Learning: Deficiency Analysis” will be recorded- Sorry to double-book!

Trainer Introductions

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Trainer Introductions

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Today's Agenda

- **Locally Administered Projects Program Overview**
 - Program Overview
- **Project Development Process**
 - FHWA Considerations
 - Pre-Design
 - Design
 - Right of Way
 - Construction
- **LAPP Project Delivery Requirements**
- **Wrap Up**



Locally Administered Projects Program Overview

LAPP - Introduction

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

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.

FFY22 Roadway Projects


Project Name	Sponsoring Agency	Total Cost	Local Match %	CAMPO Cost	Amount Funded	Total Score	Rank Total 14
Airport Boulevard Extension	Morrisville	\$7,074,358	40%	\$ 4,244,615	\$ 4,244,615	58.38	1
Add left turn lanes at SR-2233 (South Smithfield Rd) and SR-1007 (Poole Rd) in Wake County	Division5	\$2,102,500	24%	\$ 1,597,500	\$ 1,597,500	55.38	2
Sunset Lake Road Widening Phase II	Fuquay-Varina	\$1,640,259	20%	\$ 1,312,207	\$ 1,312,207	47.92	3
West Street Extension	Raleigh	\$2,387,000	30%	\$ 1,670,900	\$ 1,670,900	46.69	4
Carpenter Fire Station Rd Widening - Construction	Cary	\$14,830,000	55%	\$ 3,645,000	\$ 3,645,000	46.46	5
Holly Springs Road/Main Street Intersection Improvements	Holly Springs	\$1,200,000	35%	\$ 780,000	\$ 780,000	44.38	6
Lake Boone Trail Safety Improvements	Raleigh	\$1,272,000	20%	\$ 1,017,600	\$ 1,017,600	42.54	7
Highway 401/Mill Creek Rd Intersection Operational Improvements	Fuquay-Varina	\$1,536,438	20%	\$ 1,229,151	\$ 1,229,151	39.08	9
NC 55 Bypass Widening	Holly Springs	\$1,500,000	50%	\$750,000	\$508,305	38.92	10

FFY22 Bike/Ped Projects

Project Name	Sponsoring Agency	Total Cost	Local Match %	CAMPO Cost	Recommended Funding	Total Score	Rank Total 11
Crabtree Creek Greenway Trail Gap	Raleigh	\$1,689,000	47%	\$895,170	\$895,170	61.83	1
Holly Ridge Schools Pedestrian Safety	Holly Springs	\$1,115,000	50%	\$557,500	\$557,500	57.00	3
Downtown Varina Pedestrian Improvements	Fuquay-Varina	\$1,457,490	20%	\$1,165,992	\$1,165,992	56.00	4
Louis Stephens Dr./O'Kelly Chapel Rd. Trail Connection	RTP	\$1,461,644	30%	\$1,176,661	\$1,176,661	54.00	5
Connecting Sidewalks for Bus Stop Improvements: Ronald Dr and Forest Ridge Rd	GoRaleigh	\$1,489,000	20%	\$1,191,200	\$1,191,200	52.00	6
NW Cary Parkway Sidewalk	Cary	\$4,965,000	55%	\$2,482,500	\$2,482,500	43.00	7

FFY22 Transit Projects

Project Name	Sponsoring Agency	Total Cost	Local Match %	CAMPO Cost	Recommended Funding	Total Score	Rank Total 5
Downtown Apex Transfer Point Improvements	GoTriangle	\$333,000	50%	\$166,500	\$166,500	58.00	1
Improvements at Existing Bus Stops (Amenities)	GoTriangle	\$671,000	50%	\$335,500	\$335,500	54.50	2
Bundled Enhanced Transfer Points (ETPs)	GoRaleigh	\$984,000	20%	\$787,200	\$787,200	53.50	3
Improvements at Existing Bus Stops (Accessibility)	GoTriangle	\$473,000	50%	\$236,500	\$236,500	52.00	4

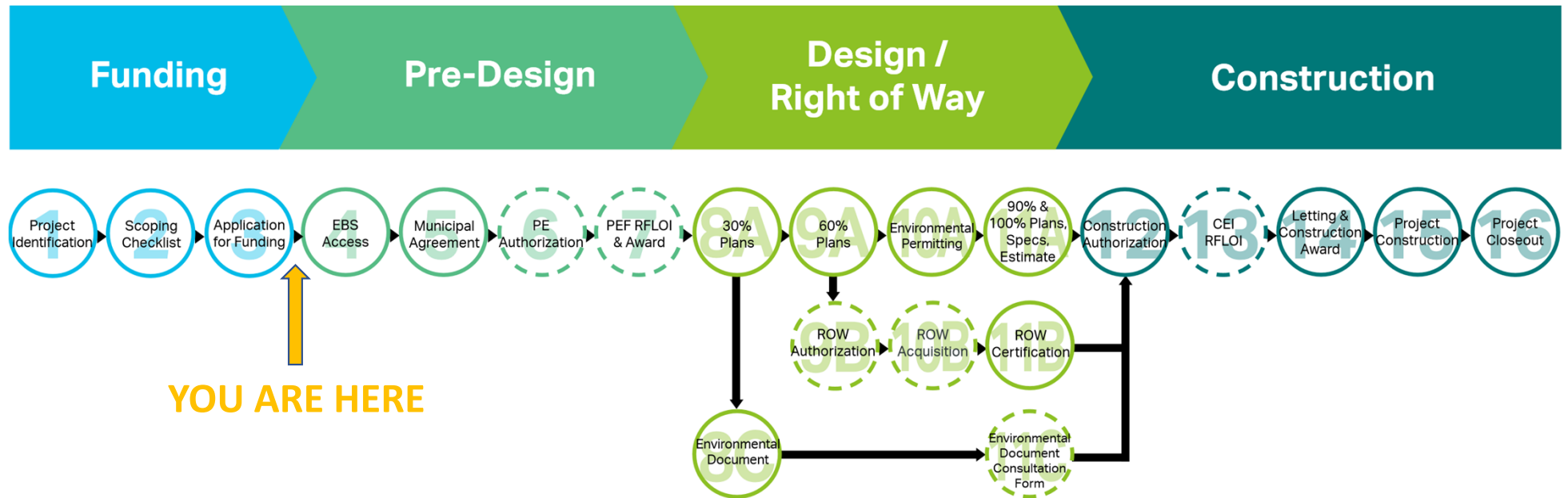


TIP/STIP Considerations & Funding/Schedule Changes



Pre-Design

Project Delivery Steps



Link to Scoping Guidance Document:

<https://connect.ncdot.gov/projects/BikePed/Documents/BikePed%20Project%20Scoping%20Guidance%20for%20Local%20Governments.pdf>

TIP Process

Amendments require CAMPO Executive Board (TAC) action - 2-3 Month Process

- Stand-Alone TIP Project Numbers
 - 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
- Group TIP Project Numbers
 - Substantial change in cost, schedule or scope

Modifications that require administrative approval (No TAC action)

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



STIP changes*

Revisions - requires Board of Tr. (BOT) action – and additional 2-3 Month Process

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

Cases NOT requiring BOT action

- Minor change in funding amount
- Use different source of funds

*If LAPP funds involved, MPO must review and concur



Coordination and Schedules

- When you complete the Application in the EBS/Grants system Example:

Delivery Dates	LGA Proposed	Division Approved
Start of ROW Acquisition (MM/DD/YYYY)*	11/01/2019	
Let Date (MM/DD/YYYY) *	01/01/2020	
Completion Date (MM/DD/YYYY) *	06/30/2021	

- What is wrong with these dates?
- 2 months between start of right of way acquisition and letting is not enough time to get right of way certification (even if you only have a small amount of easements).
- Letting in January may not start construction until spring 2021 so completion date should be pushed out further

Pre-Design

Coordination and Schedules

- Milestone Reporting assists in letting, reimbursements and in coordinating with other DOT units

Project Milestones

Project Schedule	Schedule	C/E
PE Funding Approved (PFA)	09/23/2016	C
CE Type I-A (CE-IA)	08/29/2018	E
R/W Plans Complete (RPC)	11/01/2018	E
R/W Acquisition Begins (R/W)	11/01/2018	E
R/W Certification (R/WCERT)	12/27/2019	E
NON - DOT LET (LAP)	02/28/2020	E

ST	Divi	Locality	Co	Project Description	PE WE	ROW	Final Planning Doc Typ	Final Planning Doc Date	ROW C	LET	Comments
C-5604QA	5	Fayetteville	FRANKLIN	MAIN STREET IMPROVEMENTS - TOWN OF SR 1157 (JAMES STREET) TO DOWNTOWN APEX, PEDESTRIAN IMPROVEMENTS APEX PEAKWAY FROM JAMES STREET TO TOWHEE DRIVE. CONSTRUCT GRADE SEPARATED INTERCHANGE FOR APEX PEAKWAY AT 6700' LINEAR FEET OF GREENWAY FROM MINGO CREEK GREENWAY	43714.1.9		Programmatic CE Approved (PC)	06/29/2018	8/1/18	9/30/18	
U-5530AC	5	Apex	WAKE		44111.1.19		CE Type I-A (CE-IA)	09/29/2017C	8/30/18	9/30/18	
U-5928	5	Apex	WAKE			44822.2.1	CE Type III (CE-III)	01/26/2018C	8/1/18	9/30/18	
C-5604HA	5	Knightdale	WAKE		43714.1.10	43714.2.10	CE Type I-A (CE-IA)	10/30/2017	8/3/18	10/3/18	

Pre-Design

Design Coordination and Schedules

Key Milestones:


- Environmental Document (CE)
- Right of Way Plans Complete (RPC)
- Right of Way Acquisition Begins (R/W)
- Bid Opening (Let)

QUIZ: What happens to CE if 25% plans are delayed?

QUIZ: What is the correct order?

- CON Authorization
- Advertising
- Let
- Award
- Award Concurrence
- Construction Availability
- Ribbon Cutting

Pre-Design



FHWA Transportation Conformity CMAQ/NEPA

Pre-Design

Transportation Conformity

Pre-Design

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



CAMPO

Conformity Impacted Counties

- Franklin
- Granville
- Johnston
- Wake

Pre-Design

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



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

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

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



Planning and Transportation Conformity Amendment Timelines

- Planning (no conformity)
 - 2 to 3 months to add a project to MTP/TIP/STIP
- Planning (with transportation conformity)
 - 4 to 6 months conformity **without** a regional emissions analysis
 - 9 to 12 months conformity **with** a regional emissions analysis



CMAQ

Pre-Design

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

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

CMAQ

- **Project Submittal Process**

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



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



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



National Environmental Policy Act (NEPA)



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.



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

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



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

What will be needed to receive the Federal Funds?

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



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>



Questions????

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Federal Funding, Monitoring & Reporting

FHWA Funding, Monitoring & Reporting

Tammy Richards - FHWA

FHWA's Role



- To provide Federal funding for your project.
- To ensure that our Federal dollars are spent appropriately.
- To ensure that there is no fraud, waste and/or abuse.
- To ensure that the recipient/sub-recipient has a good project.
- To ensure that the recipient/sub-recipient has every opportunity to keep every dollar of their Federal funds.
- I AM NOT here to make the process hard for you or to “ding” you, but there are regulations that YOU have agreed to uphold by asking for and receiving our money.

NCDOT's Role



Although NCDOT doesn't have any funds in LPA projects, they have oversight of all LPA projects.

23 CFR 635.105(a) & (b)

- (a) The State Transportation Department (STD) 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. The STD shall be responsible for insuring that such projects receive adequate supervision and inspection to insure that projects are completed in conformance with approved plans and specifications.
- (b) Although the STD may employ a consultant to provide construction engineering services, such as inspection or survey work on a project, **the STD shall provide a full-time employed State engineer to be in responsible charge** of the project.

If funds have to be re-paid or deemed non-participating, they are taken from NCDOT and then the municipality will be responsible for 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 Effective Authorization Date) through the End Date
 - 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 when there is a project delay beyond the control of the recipient/subrecipient (

Project/Funds Authorization



FHWA commitment that Federal funds are available for the project

- Preliminary Engineering (PE) - (you have 10 years to construct the project - “Studies” are not a good idea) CFR 630.112(2)
- Right of Way acquisition (ROW)
- Construction (CON)
- **Authorization is required prior to incurring any expenses**
 - ✦ Work done before the date of FHWA Division authorization is NOT eligible for reimbursement

Inactive Projects



- An Inactive Project is defined as any project (regardless of the dollar value) that has not had any expenditures charged to it in FHWA's system in the given timeframe.
- Once a project hits the 1-year report, FHWA's Finance Section is REQUIRED to deobligate the funding.
- Remember that the Municipal Agreement states that a project must be invoiced at least once every 6 months to keep the project active and eligible for Federal funding.
- 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.

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 Reviews



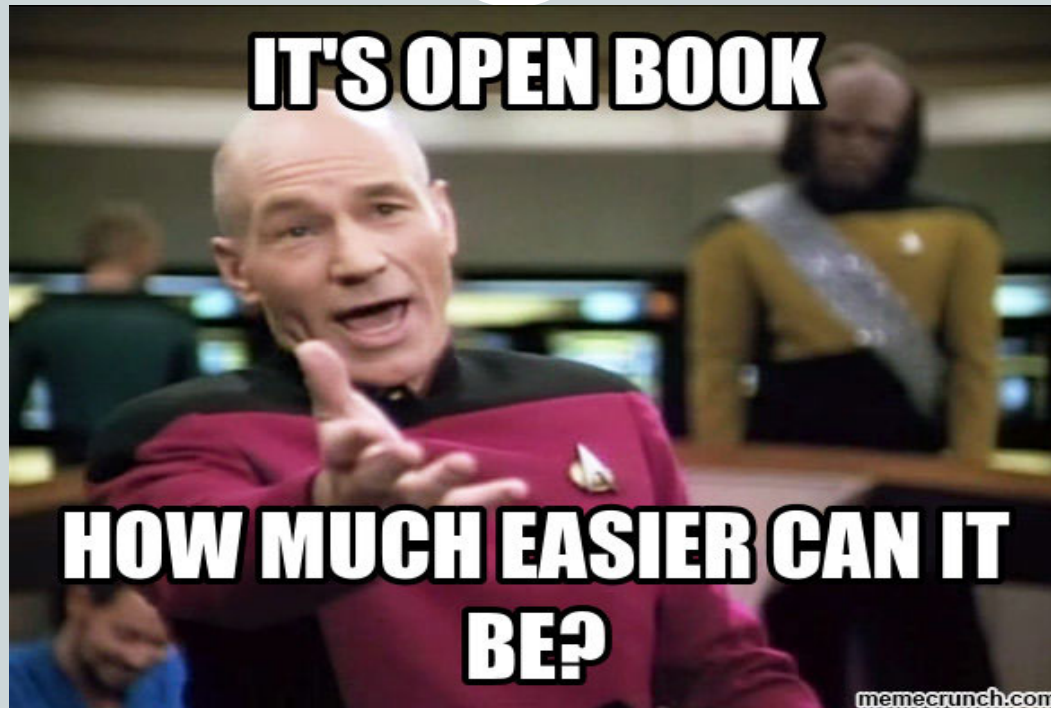
LPA Program Manager will be conducting three types of reviews:

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 myself.

Records Reviews - Will consist of a review of all project records and documentation for the project around 50%-75% of project completion. (I will provide a copy of the checklist that I use!)

Records Reviews



Records Review Checklist

Material Certification



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

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.

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.

Project Closeout & Records Retention



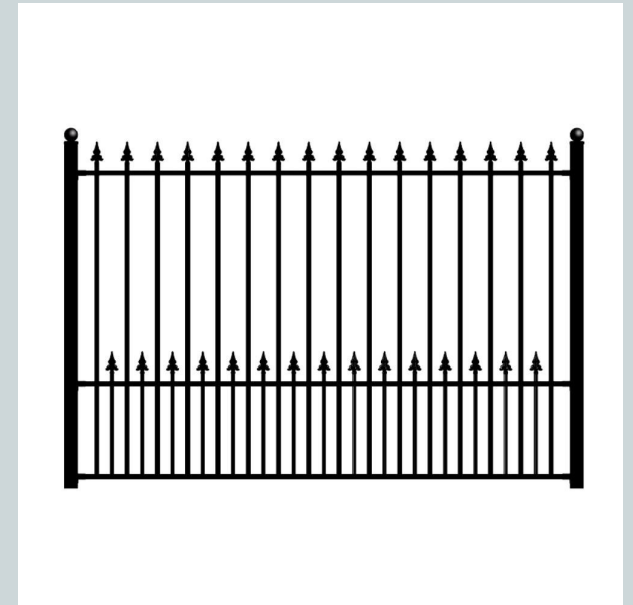
A Federal project is not closed out until FHWA closes it in our project tracking system (FMIS). After NCDOT fiscal has received the NCDOT-1446B and the Material Certification Letter from M&T, they close the project in their accounting system and send it electronically to our FMIS system for closure.

A Final Voucher Date is assigned to the project once it has been closed in FMIS.

The NCDOT Division will send the municipality a letter letting you know what your Final Voucher Date is.

Keep all project records for three years after the Final Voucher Date as they can be audited by FHWA until that time!

Example of Items That Are Not Eligible



Don't Be Afraid To Ask For Help!



Remember: If you have questions, run into a problem or don't know how to handle something, please ask your NCDOT partners. They are there to help you and to keep you out of trouble!

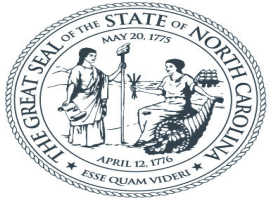


Questions?



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“It is my hope that when funds are given to a municipality, that they keep all of them and a great project is created. When I have to take funds back, I take it personally. It’s a bad day at the office for me. It means I failed...we all failed in some way. That’s a bad day for everyone.” - Tammy Richards



NORTH CAROLINA Department of Transportation



Local Project Management & Implementation

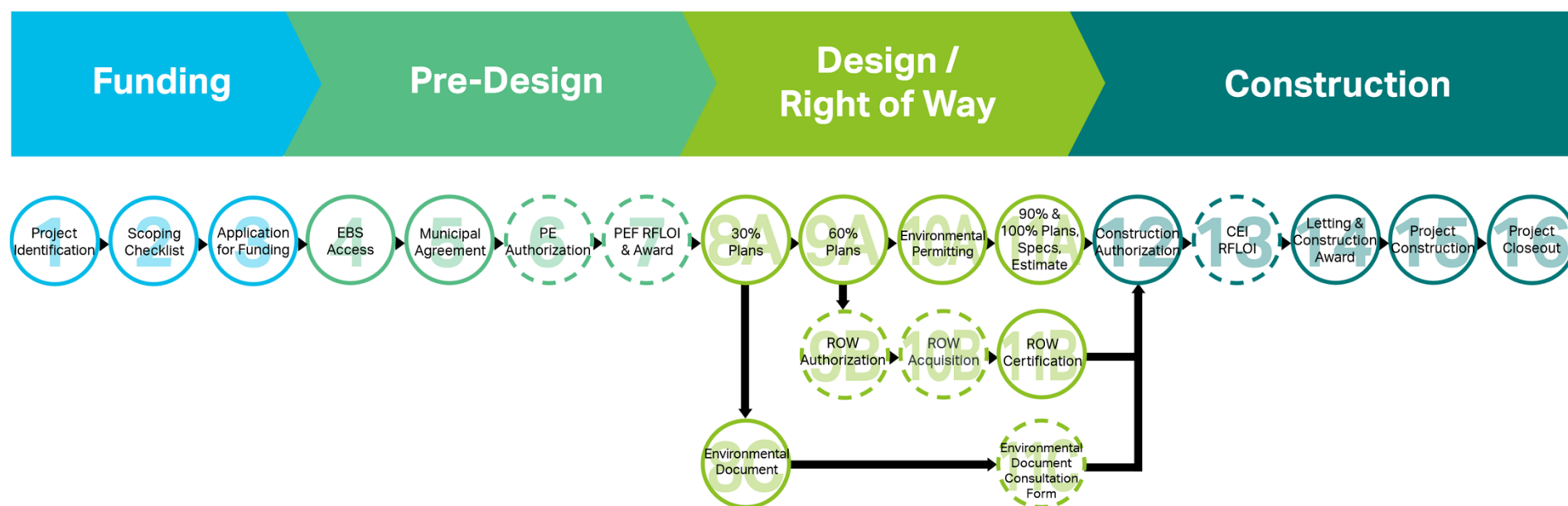
Marta Matthews, Raymond Hayes, LaToya Caldwell and Tracy Parrott

March 18, 2021 - CAMPO

Overview of Presentation

- Resources
- Local Project Delivery
- Local Project System
 - Application for Agreement
 - Submitting Documents for Review
 - Change Requests
 - Reimbursement Requests
- Professional Services
- Reimbursement

Major Phases of Project Development



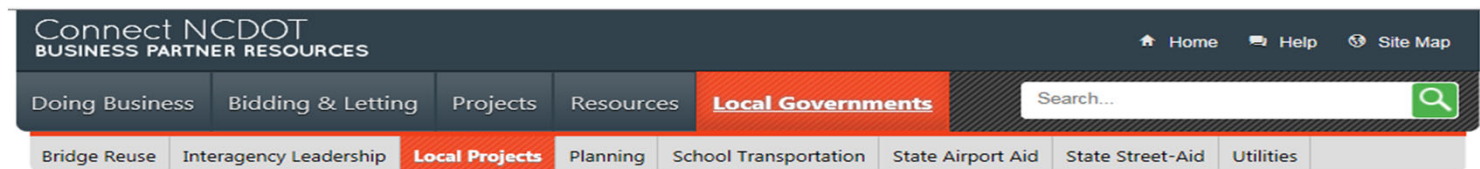
Link to Scoping Guidance Document:

<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.





Local Projects Administration

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

[Home](#) ► [Connect NCDOT](#) ► [Local Governments](#) ► [Local Projects](#)

Introduction

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

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

FORMS & TEMPLATES

[Letter from LGA Requesting
Concurrence with PEF Selection](#)



[Letter from LGA Requesting NCDOT
Concurrence with Construction
Contractor](#)



[Letter from LGA Requesting
Reimbursement](#)



[Project Information Data Sheet](#)



[FFATA Subrecipient Information Form](#)



[PCE Checklist](#)



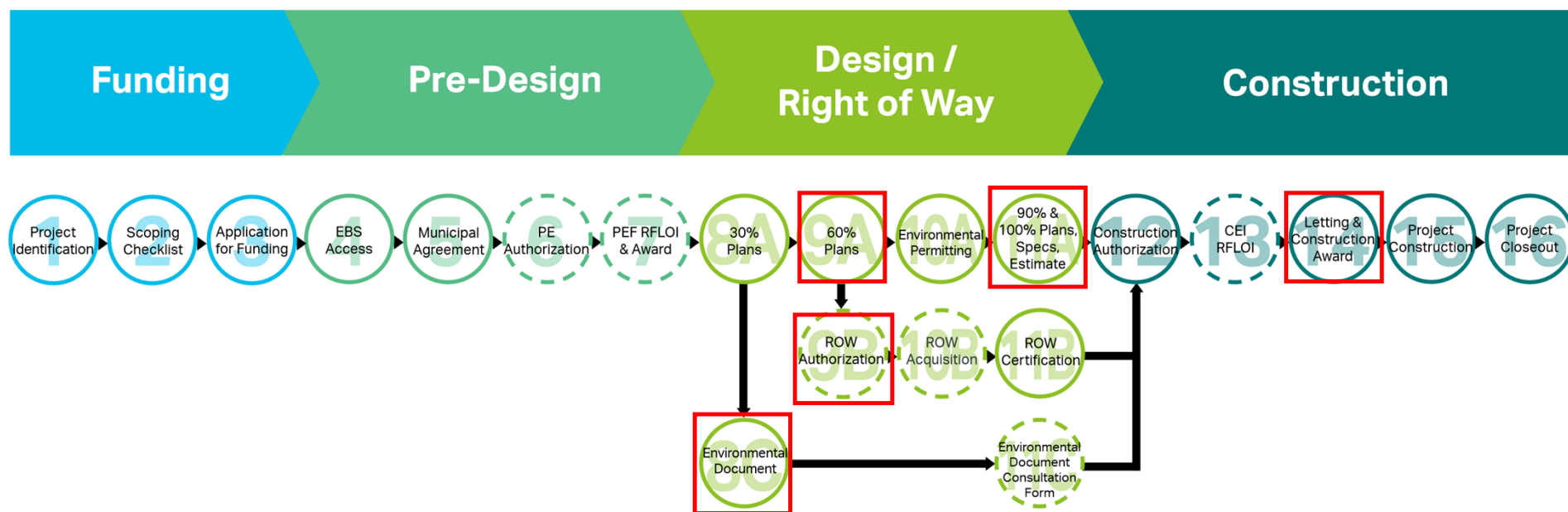
[Request for Letters of Interest \(RFLOI\)
_Design or CEI](#)



LOCAL PROJECT DELIVERY



Design Coordination and Schedules



Typical Project Delivery 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)

Contract Proposal and Estimate (PS&E) (required)



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

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

Final Inspection (required)

- *Final Reimbursement*

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.



Funding Authorization

- Refer to the chart to show when funding authorization may be requested for each phase.
- Note deliverables that are needed prior 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.





Municipal Agreement & EBS

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.



Locally Administered Agreement

Example of Agreement:

NORTH CAROLINA	LOCALLY ADMINISTERED PROJECT - FEDERAL	
[SELECT COUNTY] COUNTY	DATE: 2/8/2019	
NORTH CAROLINA DEPARTMENT OF TRANSPORTATION	TIP #: _____	
AND	WBS Elements:	PE _____ ROW _____ CON _____
	OTHER FUNDING: _____	
	FEDERAL-AID NUMBER: _____	
	CFDA #: 20.205	
Total Funds [NCDOT Participation] \$ _____		

THIS AGREEMENT is made and entered into on the last date executed below, by and between the North Carolina Department of Transportation, an agency of the State of North Carolina, hereinafter referred to as the "Department" and the _____, hereinafter referred to as the "_____".

WITNESSETH:

WHEREAS, Fixing America's Surface Transportation (FAST) Act allows for the allocation of _____ funds to be available for certain specified transportation activities; and,

WHEREAS, the _____ has requested federal funding for _____, hereinafter referred to as the Project, in [Select County] County, North Carolina; and,

WHEREAS, subject to the availability of federal funds, the _____ has been designated as a recipient to receive funds allocated to the Department by the Federal Highway Administration (FHWA) up to and not to exceed the maximum award amount of \$_____ for the Project; and,

WHEREAS, the Department has agreed to administer the disbursement of said funds on behalf of FHWA to the _____ for the Project in accordance with the Project scope of work and in accordance with the provisions set out in this Agreement; and,

WHEREAS, the Department has programmed funding in the approved Transportation Improvement Program for the Project; and,

WHEREAS, the governing board of the _____ has agreed to participate in certain costs and to assume certain responsibilities in the manner and to the extent as hereinafter set out; and,

Agreement ID # _____

1

IN WITNESS WHEREOF, this Agreement has been executed, in duplicate, the day and year hereof set out, on the part of the Department and the _____ by authority duly given.

L. S. ATTEST: _____

BY: _____ BY: _____

TITLE: _____ TITLE: _____

DATE: _____

NCGS 133-32 and Executive Order 24 prohibit the offer to, or acceptance by, any State Employee of any gift from anyone with a contract with the State, or from any person seeking to do business with the State. By execution of any response in this procurement, you attest, for your entire organization and its employees or agents, that you are not aware that any such gift has been offered, accepted, or promised by any employees of your organization.

Approved by _____ of the _____ as attested to by the signature of _____ Clerk of the _____ on _____ (Date)

This Agreement has been pre-audited in the manner required by the Local Government Budget and Fiscal Control Act.

(SEAL)

(FINANCE OFFICER)

Federal Tax Identification Number _____

Remittance Address: _____

DEPARTMENT OF TRANSPORTATION

BY: _____
(CHIEF ENGINEER)

DATE: _____

APPROVED BY BOARD OF TRANSPORTATION ITEM O: _____ (Date)

Agreement ID # _____

22



Application Process

- When you are ready to start an agreement you will need to submit your application in the Local Project System (EBS Portal).
- The application is an updated version of the Project Information Data (PID) Sheet.



LPMO Security Form

- Must have a user id and password to access the EBS portal and Local Projects.
- Form is on the Connect website.
- If you already have access to EBS portal, then indicate that on your form.

<p style="text-align: center;"><u>Local Programs Management System Access Authorization Form</u></p> <p>The new Local Programs Management System requires a User ID and Password for access in the system. Complete Sections 1 and 2 for a User ID and password, if you are going to perform work within the System (i.e. submit a PID application, submit a Reimbursement claim, request changes to an agreement, or view documentation). Scan, attach and email the form to the LPMO Security Coordinator at LPMO@ncdot.gov.</p> <table border="1"><tr><td><p><u>Section 1 - User ID Information</u></p><p>First: _____ Last: _____</p><p>Agency Name: (LGA/MPO/RPO) _____</p><p>Agency Address: _____</p><p>Title: _____</p></td></tr></table>	<p><u>Section 1 - User ID Information</u></p> <p>First: _____ Last: _____</p> <p>Agency Name: (LGA/MPO/RPO) _____</p> <p>Agency Address: _____</p> <p>Title: _____</p>
<p><u>Section 1 - User ID Information</u></p> <p>First: _____ Last: _____</p> <p>Agency Name: (LGA/MPO/RPO) _____</p> <p>Agency Address: _____</p> <p>Title: _____</p>	



EBS System

- Let's look at the EBS system



Enterprise Business System (EBS)

- NCDOT EBS



**Enterprise
Business
Services**

User *

Password *

Passwords are case sensitive

Log On

[Login Help](#) • [Browser Support](#)





LOCAL PROJECTS

Welcome Craig McKinney

Saved Searches ▾

Go

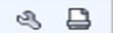
Advanced



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LPMO_PY2014
2000006231 SAP-2...
214 Independent PE...
1000002499 SAP-2...

Processes

New Application
Display Application
Change Application
View Agreement/Submit Document
Submit Change Request
Edit Change Request
Review Reimbursement Claims
New Reimbursement Claim
Change Reimbursement Claims
View Program/Grants



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

Welcome Craig McKinney

NCDOT
NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION

LOCAL PROJECTS

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Search: Application Form Back

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Recent Items

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

Search Criteria [Hide Search Fields](#)

Program ID is

Maximum Number of Results:

Save Search As:

Result List

Application Form	Program ID
No result found	

110%



LOCAL PROJECTS

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Recent Items

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

Search Criteria

[Hide Search Fields](#)

Program ID is

Maximum Number of Results:

Save Search As:

Result List



Application Form	Program ID
LPMO - Application	LPMO_PY2014



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Recent Items

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

1 / 2 69.7% Fill & Sign Comment

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



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

DIRECTIONS: Submit completed form with attachments to Local Programs Office

DEMOGRAPHIC INFO			
Name of Entity	CITY OF GREENSBORO		
MPO/RPO *	Please Select ▾		
Type *	Choose One ▾		
CONTACT INFO - Agreements			
Name	Craig McKinney		
Title			
Address			
Phone #1		Phone #2	
Email	mpandya@NCDOT.GOV		
CONTACT INFO - Project Delivery			<input type="checkbox"/> Same as Agreements
Name			
Title			
Address			

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 mail one original to the LGA.
- LGA will review and sign agreement and send back to LPMO for execution by NCDOT.
- NCDOT will DocuSign the agreement and send an electronic copy to the LGA and upload to EBS Portal.
- NCDOT will keep the LGA's original signature page in our files.



Typical Project Delivery 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)

Contract Proposal and Estimate (PS&E) (required)

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

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

Final Inspection (required)

- *Final Reimbursement*

Submit Change Request

The screenshot shows the NCDOT LOCAL PROJECTS web application. The top navigation bar is dark blue with the NCDOT logo on the left, the text 'LOCAL PROJECTS' in large white letters, and a welcome message 'Welcome Craig McKinney' on the right. Below the navigation bar is a search area with a 'Saved Searches' dropdown, a search input field, and buttons for 'Go', 'Advanced', and 'Back'. A left sidebar contains links for 'Home', 'Help - LPMO', and 'FAQ's', along with a 'Recent Items' list. The main content area features a 'Processes' window with a list of actions. A red arrow points to the 'Submit Change Request' item in this list.

NCDOT
NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION

LOCAL PROJECTS

Welcome Craig McKinney

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- LPMO_PY2014

Processes

- New Application
- Display Application
- Change Application
- View Agreement/Submit Document
- Submit Change Request ←
- Edit Change Request
- Review Reimbursement Claims
- New Reimbursement Claim
- Change Reimbursement Claims
- View Program/Grants



Search your Project

NCDOT NORTH CAROLINA DEPARTMENT OF TRANSPORTATION **LOCAL PROJECTS** Welcome Craig McKinney

Saved Searches Go Advanced

Search: Change Request Form Back

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Recent Items

- 2000006231 SAP-2...
- Erica Jefferies 1000...
- 2000006230 Side W...
- 1000002517 Sidewa...
- LPMO_PY2014

Search Criteria [Hide Search Fields](#)

TIP number is

Maximum Number of Results:

Save Search As:

Result List

Agreement ID	Agreement Description	TIP number	Change Request Form
No result found			



Find your Project

NCDOT
NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION

LOCAL PROJECTS

Welcome Craig McKinney

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Search: Change Request Form

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Recent Items

- 2000006231 SAP-2...
- Erica Jefferies 1000...
- 2000006230 Side W...
- 1000002517 Sidewa...
- LPMO_PY2014

Search Criteria [Hide Search Fields](#)

TIP number IS

Maximum Number of Results:

Save Search As:

Result List

Agreement ID	Agreement Description	TIP number	Change Request Form
2000006230	Side Walk	SHP2001	LPMO - Change Request
2000006231	SAP-2010	TIP-01	LPMO - Change Request
2000006232	Sidewalk	TIP-01	LPMO - Change Request



Change Request Form

NCDOT NORTH CAROLINA DEPARTMENT OF TRANSPORTATION **LOCAL PROJECTS**

Welcome Craig McKinney

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- Erica Jefferies 1000...
- 2000006230 Side W...
- 1000002517 Sidewa...
- LPMO_PY2014

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

**NORTH CAROLINA DEPARTMENT OF TRANSPORTATION
Local Program Management Office
AGREEMENT CHANGE REQUEST**

PROGRAM ID	LPMO_PY2014
DESCRIPTION	LPMO Program
AGREEMENT	2000006230 - Side Walk
SUB-RECIPIENT	CITY OF GREENSBORO
SUBMITTED BY	Craig McKinney
TIP	SHP2001
DIVISION	07
FA PROJECT	
TOTAL AVAILABLE FUNDING	\$20,000.00
REASON/PURPOSE	Choose One
REASON FOR CHANGE	

Preliminary Engineering (PE) Authorization

Submit Change Request

DIVISION	07
FA PROJECT	
TOTAL AVAILABLE FUNDING	\$20,000.00
REASON/PURPOSE	Request for Fund Authorization/Transfer
REASON FOR CHANGE: *	<div>Choose One Request for Fund Authorization/Transfer Request for Supplement Agreement</div>

CODE	WBS	EXPENSE DESCRIPTION	START DATE (MM/DD/YYYY)	APPROVED BUDGET	AUTHORIZED TO DATE	TOTAL AMOUNT REQUESTED	NON FEDERAL MATCH AMOUNT	FEDERAL AMOUNT	PROPOSED AMOUNT
L001	12.3018287	PE – Preliminary Engineering	02/02/2015	\$8,000	\$3,800				\$8,000
TOTAL EXPENSES				\$8,000	\$3,800				\$8,000

SUB-RECIPIENT AUTHORIZING SIGNATURE

☐

I have read and accepted the terms and conditions for funding and all the information and attachments supplied in this application are true to the best of my knowledge.

Name:

Date:

Check

Save

Submit



PE Authorization & RFLOI



Funding Authorization

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 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*

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.





Local Projects Administration

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

Home ► Connect NCDOT ► Local Governments ► Local Projects

Introduction

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

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](#)



[Letter from LGA Requesting NCDOT Concurrence with Construction Contractor](#)



[Letter from LGA Requesting Reimbursement](#)



[Project Information Data Sheet](#)



[FFATA Subrecipient Information Form](#)



[PCF Checklist](#)



[Request for Letters of Interest \(RFLOI\) _Design or CEI](#)



[Contract Provisions for Non-Federal Entities.pdf](#)




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)



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:

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.



RFLOI - Notes

Important Notes

PE RFLOI can be drafted and sent to LPMO for review prior to authorization.

CEI RFLOI can be drafted, sent to LPMO for review and advertised prior to authorization.

DO NOT sign a CEI consultant contract prior to construction funding authorization.



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.



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.
- Prepare a rating sheet



Example of Rating Sheet

Firms	Experience, Knowledge (30%)	Firms Staff experience (40%)	Understanding of project (30%)	Total Score
ABC	25	30	20	75
Lego	28	35	25	88
123 Build	26	30	20	76



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

- Once you have completed your Cost Proposal Spreadsheet you will need to upload in the EBS Portal.
- The tasks, man-hours and rates will be reviewed by our Professional Services Office and External Audit.
- If any revisions needed, or negotiate as allowed and finalize the cost estimate.
- Submit for final review.



Review of Consultant Contract

- Once cost estimate is finalized, submit a draft copy of the PEF contract (submit in EBS).
- 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.



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.



Submit Document in EBS

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DEPARTMENT OF TRANSPORTATION

LOCAL PROJECTS

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Recent Items

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- 2000006230 Side W...
- LPMO_PY2014
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- 214 Independent PE...

Processes

- New Application
- Display Application
- Change Application
- View Agreement/Submit Document
- Submit Change Request
- Edit Change Request
- Review Reimbursement Claims
- New Reimbursement Claim
- Change Reimbursement Claims
- View Program/Grants



Submit Document

Search: Grantor Agreements - [SAP] - Windows Internet Explorer provided by N.C. Dept. of Transportation

Welcome Craig McKinney

NCDOT NORTH CAROLINA DEPARTMENT OF TRANSPORTATION

LOCAL PROJECTS

Saved Searches Go Advanced

Search: Grantor Agreements Back

Archive Search

Search Criteria [Hide Search Fields](#)

TIP number is

Maximum Number of Results:

Save Search As:


Result List

Agreement ID	Description	Grantee Name	TIP number	Program ID	Status
No result found					



Submit Documents

NCDOT
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DEPARTMENT OF TRANSPORTATION



**LOCAL
PROJECTS**

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2000006230 Side W...

LPMO_PY2014

2000006231 SAP-2...

214 Independent PE...

Search: Grantor Agreements

Archive Search

Search Criteria

Hide Search Fields

TIP number is

Maximum Number of Results:

Save Search As:

Result List

Agreement ID	Description	Grantee Name	TIP number	Program ID	Status
2000006230	Side Walk	CITY OF GREENSBO...	SHP2001	LPMO_PY2014	Agreement Approved
2000006231	SAP-2010	CITY OF GREENSBO...	TIP-01	LPMO_PY2014	Agreement Approved
2000006232	Sidewalk	CITY OF GREENSBO...	TIP-01	LPMO_PY2014	Agreement Approved



Submit Documents



NCDOT NORTH CAROLINA DEPARTMENT OF TRANSPORTATION

LOCAL PROJECTS

Welcome Craig McKinney

Saved Searches Go Advanced

Agreement: 2000006231, SAP-2010

Save | X Cancel | **Submit Documents** | Refresh

Back

Agreement Overview

General Data

Description: SAP-2010
Grantee ID/Name: 1000000110 / CITY OF GREENSBORO
Grantee Contact: 1000002786 / Erica Jefferies
Program ID/Desc.: LPMO_PY2014 / LPMO Program
Posting Date: 02/02/2015
Employee Responsible: Vimal John
Start Date: 02/02/2015
End Date: 02/20/2015

Application Amounts

Total Approved Amount: 24,000.00 USD
Authorized Amount: 0.00 USD
Billing Req. Amount: 0.00 USD
Cleared Item (ERP): 0.00 USD

Project Information

FA Project Number: Fa-001
TIP number: TIP-01
Division: 07 - Greensboro
Status: Agreement Approved

DBE, MBE, WBE Participation Goals

DBE %: 0.00 MBE %: 0.00 WBE%: 0.00

Items

WBS Element	Expense Type	Eligible for Funding	Authorized Amount	Authorized Claim Amt	Open Balance
	Total Project Funding	<input type="checkbox"/>	0.00 USD	0.00 USD	0.00 USD
12.3018287	PE – Preliminary Engin...	<input checked="" type="checkbox"/>	0.00 USD	0.00 USD	0.00 USD
12.3018287	ROW – Right of Way	<input type="checkbox"/>	0.00 USD	0.00 USD	0.00 USD
12.3018287	CON – Construction	<input type="checkbox"/>	0.00 USD	0.00 USD	0.00 USD

Submit Documents

NCDOT NORTH CAROLINA DEPARTMENT OF TRANSPORTATION **LOCAL PROJECTS** Welcome Craig McKinney

Saved Searches Go Advanced

LPMO Activity: New Back

Save and Back Save Cancel

Task Details Edit

General Data

Document Type: * Independent PE Cost Estimate

Change Status to Submit

Status: Open

Notes

References

Account: * CITY OF GREENSBORO

Contact: * Craig McKinney

Reference Doc. Date:

Attachments Attachment URL With Template Advanced

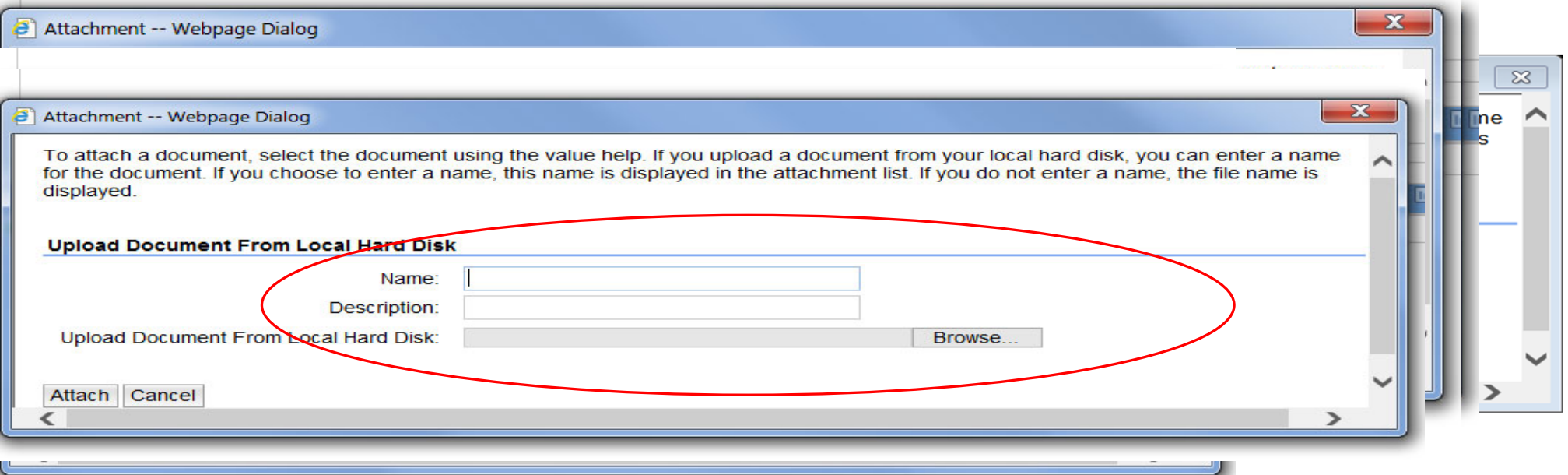
No result found

Recent Items

- 2000006231 SAP-2...
- Erica Jefferies 1000...
- 2000006230 Side W...
- 1000002517 Sidewa...
- LPMO_PY2014



Attach Documentation



Submit Document

LOCAL PROJECTS

Saved Searches Go Advanced

LPMO Activity: New

Back

Save and Back Save **Submit** Cancel

Task Details Edit

General Data

Document Type: Contract Proposal

Date: 02/19/2018

Change Status to Submit

Status: Open

References

Account: CITY OF ASHEVILLE

Contact: Vimal John

Reference Doc. Date:

TIP number: U-5019

Attachments Attachment URL With Template Advanced

Filter:

Description	Name	Created On	Created By
Contract Proposal	Contract Proposal.txt	02/19/2018 17:33	VMJOHN



Documents you will Submit

TITLE	DESCRIPTION
• PE RFQ	Advertisement to solicit for engineering firms for design, environmental doc, etc.
• PE – PEF Selection Process	Letter requesting concurrence on how LGA selected PEF for design
• PEF Tasks and Mandays/Hours with Rates	Cost Estimate spreadsheet for PEF
• PEF Contract – Design or ROW (coming soon)	Draft and final contract with PEF/other service provider
• Environmental Document (CE)	PCE Checklist and supporting documentation
• Plans & Specifications	Plans
• ROW RFQ	Advertisement to solicit for ROW services
• ROW – Consultant Selection and Cost Proposal	Letter requesting concurrence with selection of ROW Consultant and the cost proposal
• ROW Appraisal Documents	Documents related to appraisal of ROW
• ROW Certification Documents	Documents related to acquisition of ROW
• Contract Proposal	Also called project manual, project specifications, bid manual
• Concurrence Request	Letter requesting concurrence in LGA award to low bidder
• CEI RFQ	Advertisement to solicit for CEI services
• CEI – PEF Selection Process	Letter requesting concurrence on how LGA selected PEF for CEI
• CEI Cost Spreadsheet	Cost estimate spreadsheet for PEF
• PEF Contract – CEI (coming soon)	Draft contract with PEF for CEI
• Other Documents (any other Documents you may need for review)	Any other documents that need to be reviewed and do not match one of the above categories



TIPS on EBS

When an item is returned to your workflow:

If an item is returned, you will receive an e-mail with a link to the Activity (however, if you are not already logged into the Portal, then the link will not work). The e-mail should also include an attachment with notes provided by LPMO

1. From your Home Screen, click on **View Agreement/Submit Document**
2. Search for your Project by TIP or Agreement No.
3. Select from ID #
4. Scroll down to TRANSACTION HISTORY
5. Either sort by Created Date into most recent, or search for workflow activity under Transaction ID
6. Open up activity
7. Comment letter will be in attachments list

TIPS on EBS

STEPS FOR SUBMITTING REVISED ACTIVITIES FOR SUBSEQUENT REVIEW

If you have already submitted an activity for review and you are now submitting revised documents or additional information, follow these steps:

1. From your Home Screen, click on **View Agreement/Submit Document**
2. Search for your Project by TIP or Agreement No.
3. Select the ID #
4. Scroll down to TRANSACTION HISTORY
5. Find the Activity that you want to modify and open it.
6. Attach any revised documents or additional documents
7. Hit “submit” at top of page



Reimbursement Procedures

Reimbursement

How do I get my reimbursement from NCDOT?



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

NCDOT
NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION

LOCAL PROJECTS

Welcome Craig McKinney

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Home

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FAQ's

Recent Items

- 2000006231 SAP-2...
- Erica Jefferies 1000...
- 2000006230 Side W...
- 1000002517 Sidewa...
- LPMO_PY2014

Processes

- New Application
- Display Application
- Change Application
- View Agreement/Submit Document
- Submit Change Request
- Edit Change Request
- Review Reimbursement Claims
- New Reimbursement Claim**
- Change Reimbursement Claims
- View Program/Grants

New Reimbursement Claim

NCDOT NORTH CAROLINA DEPARTMENT OF TRANSPORTATION

LOCAL PROJECTS

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Saved Searches Go Advanced

Search: Claim Form

Home
Help - LPMO
FAQ's
Recent Items
2000006231 SAP-2...
Erica Jefferies 1000...
2000006230 Side W...
1000002517 Sidewa...
LPMO_PY2014

Search Criteria [Hide Search Fields](#)

TIP number is


Maximum Number of Results:

Save Search As:

Result List

Agreement ID	Description	TIP number	Claim Form
No result found			

New Reimbursement Claim

**LOCAL
PROJECTS**

Search: Claim Form

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2000006231 SAP-2...

Erica Jefferies 1000...

2000006230 Side W...

1000002517 Sidewa...

LPMO_PY2014

Welcome Craig McKinney

Saved Searches

Search Criteria

Hide Search Fields

TIP number is

Maximum Number of Results:

Save Search As:

Result List

Agreement ID	Description	TIP number	Claim Form
2000006230	Side Walk	SHP2001	LPMO - Reimbursement Claim
2000006231	SAP-2010	TIP-01	LPMO - Reimbursement Claim
2000006232	Sidewalk	TIP-01	LPMO - Reimbursement Claim

New Claim Form

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Recent Items

2000006231 SAP-2...
Erica Jefferies 1000...
2000006230 Side W...
1000002517 Sidewa...
LPMO_PY2014

1 / 1 103%

Please fill out the following form. You can save data typed into this form.

North Carolina Department of Transportation Local Program Management Office Request for Reimbursement

Project Sponsor:				CITY OF GREENSBORO			
Mailing Address:				PO Box 3136 GREENSBORO, NC 27402-3136			
TIP:				TIP-01			
Program:				LPMO_PY2014 - LPMO Program			
Agreement Number:				2000006231		Agreement Period From: 02/02/2015 To: 02/20/2015	
Grantee ID:				1000000110		Federal Aid Number: Fa-001 Division: 07	
Invoice Number: *				Date Prepared: * 02/09/2015			
Invoice Period: From: *				To: *		Final Invoice: * <input type="radio"/> Yes <input type="radio"/> No	
DBE/MBE/WBE sub-contractor vendor payments made during this invoice period? * <input type="button" value="Dropdown"/>							
Submitted by:				Craig McKinney		Date: 2/9/15	

RM_LPMO_GCL_FORM.pdf - Adobe Reader

Edit View Window Help

1 / 1 130%

Fill & Sign Comment Extend

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

EXPENSES:

Code	WBS	Description	Start Date	Approved Budget	Reimbursements To Date	Total Expenses This Period	Ineligible Expenses This Period	Eligible Expenses This Period	Reimbursable This Period	Remaining Budget
L001	12.3018287	PE – Preliminary Engineering	02/02/2015	\$0	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL				\$0	\$0	\$0	\$0	\$0	\$0	\$0

COMMENTS:

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:

Date: (mm/dd/yyyy)*

02/09/2015

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
 - 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 EBT (Electronic Benefits Transfer) statement

Example of PE Package


north carolina

January 4, 2019

Sheila Gibbs
NCDOT, Local Programs Management Office
1595 Mail Service Center
Raleigh, NC 27699-1595

RE: Claim for Reimbursement Project TIP# WBS Element
PE Services

Dear Ms. Sheila Gibbs,

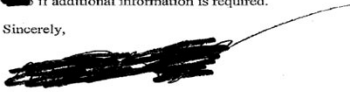
Please see the attached request for reimbursement for U-6096 Purfoy Road/Old Honeycutt Road Intersection. These costs are for PE invoices. The costs are summarized in Table 1 below:

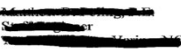
Table 1: PE Cost Summary for U-6096 Purfoy Road/Old Honeycutt Road Intersection


Cost Element	Vendor	Invoice	Check #	Amount Paid
PE		012622016-1018	94837	\$
PE		012622016-1118	94941	\$
Total				\$
Requested Reimbursement 75%				\$
Rounded Total Reimbursement Amount				\$

The total request is for \$ consists of PE Costs. I have included with this request the invoices, our accounting summary, and copies of canceled checks. Please let me know by email or at if additional information is required.

Sincerely,





Firm letterhead


Invoice for Professional Services

ATTN: ACCOUNTS PAYABLE

Please send payments to:
ASSOCIATES, INC.

Federal Tax Id:

Invoice No:
Invoice Date:
Invoice Amount: \$
Project No:
Project Name:
Project Manager:
Client Reference:
For Services Rendered through

LUMP SUM

Description	Contract Value	% Complete	Amount Earned to Date	Previous Amount Billed	Current Amount Due
TASK 1 PROJECT COORDINATION AND ADMINISTRATION		5.00%		0.00	
TASK 2 GROUND SURVEYS/SUE LEVEL B		10.00%		0.00	
TASK 2 GROUND SURVEYS/SUE LEVEL B - MCKIM & CREED		50.00%		0.00	
TASK 3 PROPERTY EXHIBIT MAPS		0.00%		0.00	
TASK 4 TRAFFIC FORECAST AND CAPACITY ANALYSIS		30.00%		0.00	
TASK 5 ROADWAY DESIGN		4.00%		0.00	
TASK 6 HYDRAULIC DESIGN		0.00%		0.00	
TASK 7 TRAFFIC SIGNAL DESIGN		4.00%		0.00	
TASK 8 TRAFFIC MANAGEMENT PLANS		0.00%		0.00	
TASK 9 EROSION AND SEDIMENT CONTROL DESIGN		0.00%		0.00	
TASK 10 SIGNING AND PAVEMENT MARKING		0.00%		0.00	
TASK 11 UTILITY COORDINATION		0.00%		0.00	
PROJECT DIRECT COSTS		0.00%		0.00	
Subtotal				0.00	
Total LUMP SUM					

Total Invoice: \$

[illegible]

TOWN OF [REDACTED] [REDACTED]	DATE 12/05/2018	SUNTRUST ACQ 25 64100014	CS 46531 AMOUNT \$ [REDACTED]	CHECK 94837
-------------------------------------	--------------------	-----------------------------	-------------------------------------	----------------

PAY Nineteen Thousand Eight Hundred Eighty-Five and 16/100 Dollars

TO THE ORDER OF

[REDACTED] HORN & SONS, INC.
[REDACTED]
[REDACTED]

THIS DISBURSEMENT HAS BEEN APPROVED AS REQUIRED BY THE LOCAL GOVERNMENT BUDGET AND FISCAL CONTROL ACT

Carla Morgan
John W. Byrne

PA110107220 TESTIMONIAL

⑈00094837⑈ ⑆053100465⑆0000424058026⑈

[illegible]

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%.

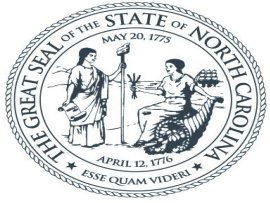
NCDOT Review & Administrative Fees

- 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.



Environmental Document





NORTH CAROLINA Department of Transportation



2019 Categorical Exclusion Update

Division 5

CAMPO LAPP Project Manager Training



Documentation Requirements and Approval Procedures
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:

10/21/2019
Date

Christopher M. Werner, P.E.
Director of Technical Services
NCDOT, Division of Highways

10/21/2019
Date

John F. Sullivan, Jr., P.E.
Division Administrator
Federal Highway Administration

CE Agreement between FHWA and NCDOT



Current CE Format. This supersedes the previous January 2017 agreement.

- Continues NCDOT responsibility for verifying project is a CE.
- NCDOT will continue to sign most CE's for Type I and Type II projects.
- FHWA signature still required for Type III CE Projects
- Defines threshold criteria when FHWA signature is required for Type I and Type II projects.
- Actions described in previous agreement remain unchanged; however, there are significant revisions to the specific CE type and associated description.
- Provides clarification or revisions to several issues including the following:
 - Threatened and Endangered Species issues
 - Geo Environmental issues

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CE Documentation



Programmatic Agreement – Section IV

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

Pre-Approved Actions

- Type I(C)

No Ground Disturbance or Limited Ground Disturbance within the Operational ROW

- Project impact thresholds are not met nor exceeded
 - Type I(A)
- Project impact thresholds are met or exceeded (i.e. Question 4 only)
 - Type I(B)

Ground Disturbing Actions

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

Other Ground Disturbing Actions

- Type III

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CE Types and Approvals

Pre-Approved & No Ground Disturbance or Limited Ground Disturbance within Operational ROW



Type	Descriptions	Identified Actions	Required Documentation	Grey Box Checked	Who Approves
I(C)	Pre-Approved (No Further CE Approval Required)	Appendix A Actions including: 1, 5, 8 (signs and pavement markings only), 11, 13, 14, 15, 16, 17, 19, and 20 and several other Type I Action subcategories identified in past programmatic agreements included in Appendix D.	Appendix E Section A-D	N/A	N/A
I(A)	No Ground Disturbance or Limited Ground Disturbance within the Operational ROW	Appendix A Actions including 4, 7, 8 (except for signs and pavement markings), 10, 22 (no to limited ground disturbing) and/or 29 and that result in either no, or limited, ground disturbance within the operational ROW.	Appendix E Section A-E, F1, & G-I	No	NCDOT
I(B)	No Ground Disturbance or Limited Ground Disturbance within the Operational ROW	Appendix A Actions including 4, 7, 8 (except for signs and pavement markings), 10, 22 (no to limited ground disturbing) and/or 29 and that result in either no, or limited, ground disturbance within the operational ROW.	Appendix E Section A-E, F1, & G-I	Yes	FHWA

Pre-approval as a CE does not exempt activities from compliance with other federal environmental laws



CE Types and Approvals

Ground Disturbing Actions

Type	Descriptions	Identified Actions	Required Documentation	Grey Box Checked	Who Approves
I(A)	Ground Disturbing Actions	Appendix A Actions including: 2, 3, 6, 7, 9, 12, 18, 21, 22 (ground disturbing), 23, 24, 25, 26, 27, 28, &/or 30	Appendix E Section A-E, F2 , & G-I	No	NCDOT
II(A)		Appendix B Actions where project impact thresholds are not met nor exceeded.			
I(B)	Ground Disturbing Actions	Appendix A Actions including: 2, 3, 6, 7, 9, 12, 18, 21, 22 (ground disturbing), 23, 24, 25, 26, 27, 28, &/or 30	Appendix E Section A-E, F2 , & G-I	Yes	FHWA
II(B)		Appendix B Actions where project impact thresholds are met or exceeded.			

Programmatic Agreement – Section IV



CE Types and Approvals

Other Ground Disturbing Actions

Type	Descriptions	Identified Actions	Required Documentation	Grey Box Checked	Who Approves
III	Other Ground Disturbing Actions	These are activities not identified as Type I or II and do not involve significant environmental impacts.	Appendix E Sections A-E, F3 , & G-I	N/A	FHWA

Type I (C) Pre-Approved

STIP Project No.	_____
WBS Element	_____
Federal Project No.	_____

A. Project Description: (Include project scope and location, including Municipality and County. Refer to the attached vicinity map.)

B. Description of Need and Purpose:

C. Categorical Exclusion Action Classification: (Check one)

_____	TYPE I
_____	TYPE II
_____	TYPE III

D. Proposed Improvements – Include ALL Type I Actions (included in NCDOT-FHWA CE Programmatic Agreement, Appendix A) and/or Type II Actions (included in NCDOT-FHWA CE Programmatic Agreement, Appendix B) that apply. For Type III CEs, leave blank.

Locally Administered Project examples:

- Activities which do not involve or lead directly to construction such as: planning and research activities, engineering to define the elements of an action so that social, economic and environmental effects can be assessed, etc.
- Signs and pavement markings **only**
- Alterations to facilities or vehicles in order to make them accessible for elderly and handicapped persons



Type I (A) or Type 1(B) No Ground Disturbance or Limited Ground Disturbance within the Operational ROW

F1. No Ground Disturbance or Limited Ground Disturbance within the Operational ROW

Proposed improvement(s) that fit within one of the following Type I Actions (NCDOT-FHWA CE Programmatic Agreement, Appendix A) including 4, 7, 8 (except for signs and pavement markings), 10, 22 (no to limited ground disturbing) and/or 29 and that result in either no, or limited, ground disturbance within the operational ROW. Answer questions 1, 2, 3, and 4.

- If any question is checked "Yes", additional information will be required for those questions in Section G.
- If question 4 is checked "Yes," NCDOT certification for FHWA approval is required.

		Yes	No
1	Is the project inconsistent with the federally approved State Transportation Improvement Program (STIP) or the Metropolitan Planning Organization's (MPO's) TIP (where applicable)?	<input type="checkbox"/>	<input type="checkbox"/>
2	Is the project located within a Historic District? If yes, FHWA coordination is required to determine the effects of the project on the district. FHWA approval on the CE may not be required (see Question 4 below).	<input type="checkbox"/>	<input type="checkbox"/>
3	Does the project include habitat associated with Threatened and Endangered Species listed by the U.S. Fish and Wildlife Service (USFWS) or National Marine Fisheries Service (NMFS)?	<input type="checkbox"/>	<input type="checkbox"/>
4	Does the project include adverse effects that cannot be resolved with a Memorandum of Agreement (MOA) under Section 106 of the National Historic Preservation Act (NHPA) or have an adverse effect on a National Historic Landmark (NHL)?	<input type="checkbox"/>	<input type="checkbox"/>



Locally Administered Project examples:

- Landscaping
- Fencing, small passenger shelters, traffic signals, RR warning signs with no substantial land acquisition
- Projects which take place entirely within existing operational ROW (ROW that has been disturbed for an existing transportation facility or is managed for a transportation purpose) and includes the following:
 - roadway
 - bridges
 - interchanges
 - culverts
 - drainage
 - clear zone
 - traffic control signage
 - **NOTE: PORTIONS OF ROW THAT HAVE NOT BEEN DISTURBED OR THAT ARE NOT MAINTAINED FOR TRANSPORTATION PURPOSES ARE NOT IN THE EXISTING OPERATIONAL ROW**



Type I (A), Type I (B), Type II (A) and Type II (B) Ground Disturbing Actions

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 (ground disturbing), 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 8-31 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)?	<input type="checkbox"/>	<input type="checkbox"/>
2	Does the project result in impacts subject to the conditions of the Bald and Golden Eagle Protection Act (BGEPA)?	<input type="checkbox"/>	<input type="checkbox"/>
3	Does the project generate substantial controversy or public opposition, for any reason, following appropriate public involvement?	<input type="checkbox"/>	<input type="checkbox"/>
4	Does the project cause disproportionately high and adverse impacts relative to low-income and/or minority populations?	<input type="checkbox"/>	<input type="checkbox"/>
5	Does the project involve a residential or commercial displacement, or a substantial amount of right of way acquisition?	<input type="checkbox"/>	<input type="checkbox"/>
6	Does the project require an Individual Section 4(f) approval?	<input type="checkbox"/>	<input type="checkbox"/>
7	Does the project include adverse effects that cannot be resolved with a Memorandum of Agreement (MOA) under Section 106 of the National Historic Preservation Act (NHPA) or have an adverse effect on a National Historic Landmark (NHL)?	<input type="checkbox"/>	<input type="checkbox"/>





If any question 8-31 is checked "Yes" then additional information will be required for those questions in Section G.

Other Considerations		Yes	No
8	Is an Endangered Species Act (ESA) determination unresolved or is the project covered by a Programmatic Agreement under Section 7?	<input type="checkbox"/>	<input type="checkbox"/>
9	Is the project located in anadromous fish spawning waters?	<input type="checkbox"/>	<input type="checkbox"/>
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)?	<input type="checkbox"/>	<input type="checkbox"/>
11	Does the project impact waters of the United States in any of the designated mountain trout streams?	<input type="checkbox"/>	<input type="checkbox"/>
12	Does the project require a U.S. Army Corps of Engineers (USACE) Individual Section 404 Permit?	<input type="checkbox"/>	<input type="checkbox"/>
13	Will the project require an easement from a Federal Energy Regulatory Commission (FERC) licensed facility?	<input type="checkbox"/>	<input type="checkbox"/>

14	Does the project include a Section 106 of the National Historic Preservation Act (NHPA) effects determination other than a No Effect, including archaeological remains?	<input type="checkbox"/>	<input type="checkbox"/>
15	Does the project involve GeoEnvironmental Sites of Concerns such as gas stations, dry cleaners, landfills, etc.?	<input type="checkbox"/>	<input type="checkbox"/>
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?	<input type="checkbox"/>	<input type="checkbox"/>
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)?	<input type="checkbox"/>	<input type="checkbox"/>
18	Does the project require a U.S. Coast Guard (USCG) permit?	<input type="checkbox"/>	<input type="checkbox"/>
19	Does the project involve construction activities in, across, or adjacent to a designated Wild and Scenic River present within the project area?	<input type="checkbox"/>	<input type="checkbox"/>
20	Does the project involve Coastal Barrier Resources Act (CBRA) resources?	<input type="checkbox"/>	<input type="checkbox"/>
21	Does the project impact federal lands (e.g. U.S. Forest Service (USFS), USFWS, etc.) or Tribal Lands?	<input type="checkbox"/>	<input type="checkbox"/>
22	Does the project involve any changes in access control or the modification or construction of an interchange on an interstate?	<input type="checkbox"/>	<input type="checkbox"/>
23	Does the project have a permanent adverse effect on local traffic patterns or community cohesiveness?	<input type="checkbox"/>	<input type="checkbox"/>
24	Will maintenance of traffic cause substantial disruption?	<input type="checkbox"/>	<input type="checkbox"/>
25	Is the project inconsistent with the STIP, and where applicable, the Metropolitan Planning Organization's (MPO's) Transportation Improvement Program (TIP)?	<input type="checkbox"/>	<input type="checkbox"/>
26	Does the project require the acquisition of lands under the protection of Section 6(f) of the Land and Water Conservation Act, the Federal Aid in Fish Restoration Act, the Federal Aid in Wildlife Restoration Act, Tennessee Valley Authority (TVA), Tribal Lands, 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?	<input type="checkbox"/>	<input type="checkbox"/>
27	Does the project involve Federal Emergency Management Agency (FEMA) buyout properties under the Hazard Mitigation Grant Program (HMGP)?	<input type="checkbox"/>	<input type="checkbox"/>
28	Does the project include a <i>de minimis</i> or programmatic Section 4(f)?	<input type="checkbox"/>	<input type="checkbox"/>
29	Is the project considered a Type I under the NCDOT Noise Policy?	<input type="checkbox"/>	<input type="checkbox"/>
30	Is there prime or important farmland soil impacted by this project as defined by the Farmland Protection Policy Act (FPPA)?	<input type="checkbox"/>	<input type="checkbox"/>
31	Are there other issues that arose during the project development process that affected the project decision?	<input type="checkbox"/>	<input type="checkbox"/>

Locally Administered Project examples

- Bike and pedestrian lanes, paths and facilities
- Noise barriers
- Landscaping
- Deployment of electronics/communications used in a fully integrated system to enhance security or passenger convenience.
- Projects which take place entirely within existing operational ROW (ROW that has been disturbed for an existing transportation facility or is managed for a transportation purpose) and includes the following:
 - roadway
 - bridges
 - interchanges
 - culverts
 - drainage
 - clear zone
 - traffic control signage
 - **NOTE: PORTIONS OF ROW THAT HAVE NOT BEEN DISTURBED OR THAT ARE NOT MAINTAINED FOR TRANSPORTATION PURPOSES ARE NOT IN THE EXISTING OPERATIONAL ROW.**



- Federally-funded projects that receive less than \$5,000,000 of federal funds or with a total estimated cost not more than \$30,000,000 and federal funds comprising less than 15% of the total estimated project cost
- Modernization of a highway by resurfacing, restoration, rehabilitation, reconstruction, adding shoulders, or adding auxiliary lanes (including parking, weaving, turning and climbing lanes)
- Highway safety/traffic operation improvement projects (ramp metering devices and lighting)
- Bridge rehabilitation, reconstruction, replacement or construction grade separation to replace exist RR crossings
- Approvals for changes in access control
- Construction of new bus storage facilities



Type III Other Ground Disturbing Actions

F3. Type III Actions		
Proposed improvement(s) that fit Type III Actions (NCDOT-FHWA CE Programmatic Agreement, Appendix C) answer questions below.		
<ul style="list-style-type: none"> 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)?	<input type="checkbox"/> <input type="checkbox"/>
2	Does the project result in impacts subject to the conditions of the Bald and Golden Eagle Protection Act (BGEPA)?	<input type="checkbox"/> <input type="checkbox"/>
3	Does the project generate substantial controversy or public opposition, for any reason, following appropriate public involvement?	<input type="checkbox"/> <input type="checkbox"/>
4	Does the project cause disproportionately high and adverse impacts relative to low-income and/or minority populations?	<input type="checkbox"/> <input type="checkbox"/>
5	Does the project involve substantial residential or commercial displacements or right of way acquisition?	<input type="checkbox"/> <input type="checkbox"/>
6	Does the project include a determination under Section 4(f)?	<input type="checkbox"/> <input type="checkbox"/>
7	Is a project-level analysis for direct, indirect, or cumulative effects required based on the NCDOT community studies screening tool?	<input type="checkbox"/> <input type="checkbox"/>
8	Does the project impact anadromous fish spawning waters?	<input type="checkbox"/> <input type="checkbox"/>
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)?	<input type="checkbox"/> <input type="checkbox"/>
10	Does the project impact waters of the United States in any of the designated mountain trout streams?	<input type="checkbox"/> <input type="checkbox"/>
11	Does the project require a US Army Corp of Engineers (USACE) Individual Section 404 Permit?	<input type="checkbox"/> <input type="checkbox"/>
12	Will the project require an easement from a Federal Energy Regulatory Commission (FERC) licensed facility?	<input type="checkbox"/> <input type="checkbox"/>
13	Does the project include Section 106 of the National Historic Preservation Act (NHPA) effects determination other than a No Effect, including archaeological remains?	<input type="checkbox"/> <input type="checkbox"/>
14	Does the project involve GeoEnvironmental Sites of Concerns such as gas stations, dry cleaners, landfills, etc.?	<input type="checkbox"/> <input type="checkbox"/>
15	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?	<input type="checkbox"/> <input type="checkbox"/>
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)?	<input type="checkbox"/> <input type="checkbox"/>
17	Does the project require a US Coast Guard (USCG) permit?	<input type="checkbox"/> <input type="checkbox"/>

Type III Actions (continued)		Yes	No
18	Does the project involve construction activities in, across, or adjacent to a designated Wild and Scenic River present within the project area?	<input type="checkbox"/>	<input type="checkbox"/>
19	Does the project involve Coastal Barrier Resource Act (CBRA) resources?	<input type="checkbox"/>	<input type="checkbox"/>
20	Does the project impact federal lands (e.g. US Forest Service (USFS), US Fish and Wildlife Service (USFWS), etc.) or Tribal Lands?	<input type="checkbox"/>	<input type="checkbox"/>
21	Does the project involve any changes in access control or the modification or construction of an interchange on an interstate?	<input type="checkbox"/>	<input type="checkbox"/>
22	Does the project have a permanent adverse effect on local traffic patterns or community cohesiveness?	<input type="checkbox"/>	<input type="checkbox"/>
23	Will maintenance of traffic cause substantial disruption?	<input type="checkbox"/>	<input type="checkbox"/>
24	Is the project inconsistent with the STIP, and where applicable, the Metropolitan Planning Organization's (MPO's) Transportation Improvement Program (TIP)?	<input type="checkbox"/>	<input type="checkbox"/>
25	Does the project require the acquisition of lands under the protection of Section 6(f) 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?	<input type="checkbox"/>	<input type="checkbox"/>
26	Does the project involve Federal Emergency Management Act (FEMA) buyout properties under the Hazard Mitigation Grant Program (HMGP)?	<input type="checkbox"/>	<input type="checkbox"/>
27	Is the project considered a Type I under the NCDOT's Noise Policy?	<input type="checkbox"/>	<input type="checkbox"/>
28	Is there prime or important farmland soil impacted by this project as defined by the Farmland Protection Policy Act (FPPA)?	<input type="checkbox"/>	<input type="checkbox"/>
29	Is the project in an Air Quality non-attainment or maintenance area for a National Ambient Air Quality Standard (NAAQS)?	<input type="checkbox"/>	<input type="checkbox"/>
30	Are there other issues that arose during the project development process that affected the project decision?	<input type="checkbox"/>	<input type="checkbox"/>



Locally Administered Project examples

- These are activities not identified as Type I or Type II and do not individually or cumulatively have a significant affect on the human or natural environments.
- Including:
 - Highway widening projects that add an additional lane (automobile capacity increases) and require ROW acquisition
 - Projects that add or modify an interchange while changing capacity (projects that require an Interchange Access Report)



CE Checklists - Section I for All Types except I(C)

I. Categorical Exclusion Approval:

STIP Project No. _____ Project Number (e.g. R-1234)
 WBS Element _____ WBS Element Number (e.g. 12345.1.1)
 Federal Project No. _____ Federal Aid Number

Prepared By:

 Date Name of Preparer, Title of Preparer
 Preparer's Organization/Division

Prepared For: _____ PM's Name, PM's Organization (typically NCDOT)

Reviewed By:

 Date Reviewer's Name, Reviewer's Title
 Reviewer's Organization (typically NCDOT)

☐

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 Approver/Certifier's Name, Approver/Certifier's Title
 North Carolina Department of Transportation

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

 Date for John F. Sullivan, III, PE, Division Administrator
 Federal Highway Administration

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

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



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)
 - Perform Consultations
 - Required if more than one year has elapsed between approval of CE and ROW authorization and/or construction authorization
- OR
- When the approved action is less than one year and substantial changes have occurred (i.e. project limits and/or footprint, changes to number of lanes, threshold criteria being met).
 - NOTE: This includes updates to Endangered/Threatened species per USFWS county list AND include review list of environmental commitments
- **Ensure only qualified NCDOT staff sign CE approvals and certifications (cannot delegate responsibility to third parties)**



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

CE Checklists Templates

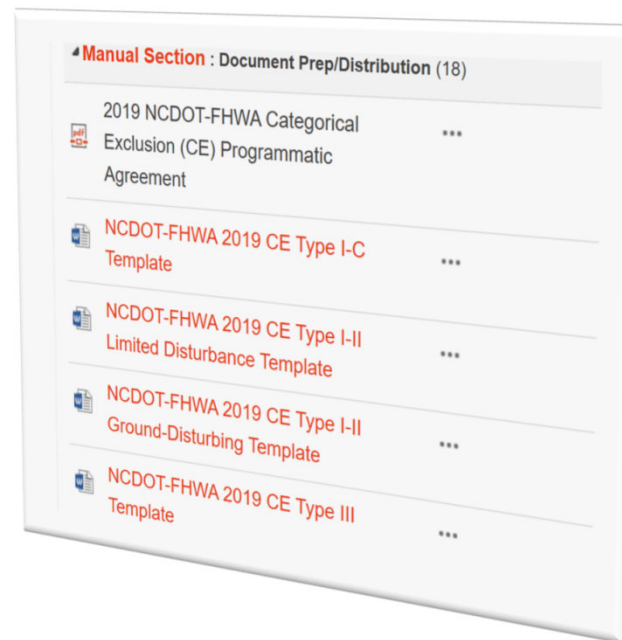
Links to the NCDOT-FHWA 2019 CE Checklist Templates located on the Connect NCDOT site are provided below:

[NCDOT-FHWA 2019 CE Type I\(C\)](#) – Pre-Approved

[NCDOT-FHWA 2019 CE Type I](#) – No/Limited Ground Disturbance

[NCDOT-FHWA 2019 CE Type I & II](#) – Ground Disturbance

[NCDOT-FHWA 2019 CE Type III](#)



CE Checklists

Section H for All Types

H. Project Commitments (attach as Green Sheet to CE Form):

NCDOT PROJECT COMMITMENTS

STIP Project No. Project Number (e.g. R-1234)

Short Project Description

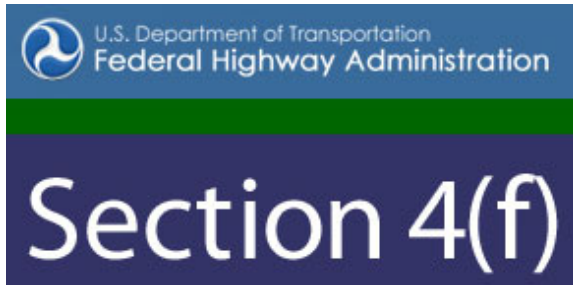
County

Federal Aid Project No. Federal Aid Number

WBS Element WBS Element Number (e.g. 12345.1.1)

- A Green Sheet is needed for all projects, even if there are no Commitments
- Commitments should be unique to the project – do not include standard procedures
- Provide brief context for design or construction staff who won't know the commitment's origin
- Regularly review (and update as needed) commitments with project team to ensure compliance





de minimis

- A *de minimis* impact involves the use of Section 4(f) property that is generally minor in nature that results in no adverse effect to the activities, features and attributes.
- 4(f) properties include publicly owned parks and recreation areas.
- Who makes Section 4(f) determination for highway projects: FHWA or in some instances the state when the state has assumed responsibility for Section 4(f) compliance.
- The municipality should provide a letter from appropriate staff indicating *de minimis* findings including information regarding satisfaction of the **three *de minimis* criteria.**



DE MINIMIS IMPACT AND PARKS, RECREATION AREAS, AND REFUGES

A determination of *de minimis* impact on parks, recreation areas, and wildlife and waterfowl refuges, may be made when all three of the following criteria are satisfied:

1. The transportation use of the Section 4(f) resource, together with any impact avoidance, minimization, and mitigation or enhancement measures incorporated into the project, does not adversely affect the activities, features, and attributes that qualify the resource for protection under Section 4(f);
2. The public has been afforded an opportunity to review and comment on the effects of the project on the protected activities, features, and attributes of the Section 4(f) resource; and
3. The official(s) with jurisdiction over the property are informed of U.S. DOT's intent to make the *de minimis* impact determination based on their written concurrence that the project will not adversely affect the activities, features, and attributes that qualify the property for protection under Section 4(f).

- The Department will review the *de minimis* findings and provide comments for CEs that are Approved by the NCDOT. Department review of the *de minimis* finding will be forwarded to FHWA.
- The municipality will need to coordinate the review of *de minimis* finding with FHWA for all CEs that are Certified by the NCDOT and require FHWA approval.





Federally recognized Tribal coordination

- Federally recognized Tribes in Division 5 include the Catawba Indian Nation (all seven counties) and Monacan Indian Nation (Person, Granville, Vance and Warren Counties).
- The National Historic Preservation Act (NHPA) was amended in 1992 to establish tribal historic preservation programs. THPOs assume any and all of the functions of a State Historic Preservation Officer (SHPO) on their tribal lands.
- Start of Study letters to Catawba Indian Nation sent out via USPS (i.e. mail). Start of Study letters to Monacan Indian Nation sent out via email.



- General guidance regarding Indian Nation coordination is found on the NCDOT Connect Site (Revised Tribal Coordination procedures). NCDOT is currently finalizing template for Start of Study letter for Locally Administered Projects.
- Start of Study letter (including vicinity map, project study area map, etc.) for Locally Administered Projects will likely follow these guidelines:
 - Start of Study letter sent out on NCDOT letterhead signed by Division staff member.
 - Information to Monacan Indian Nation sent out from an NCDOT email account.
 - Information to Catawba Indian Nation sent out in a NCDOT-labeled envelope.
 - Comments sent to Tammy Richards (FHWA).





STATE OF NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION

ROY COOPER
GOVERNOR

J. ERIC BOYETTE
SECRETARY

February 9, 2021

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

Subject: Request for Scoping Comments--Widening of SR 2000 (Smith Road) SR 3555 (Rogers Road) from SR 2015/SR 2041 (Main Street) to US 5 (First Street) in Wake County (TIP Number: U-7000)

Dear ~~Dr. Haire~~,

The City of Raleigh has begun the project development, environmental and engineering studies for the SR 2000 (Smith Road) SR 3555 (Rogers Road) from SR 2015/SR 2041 (Main Street) to US 5 (First Street) in Wake County. These improvements will be funded with Locally Administered Project Program (LAPP) Funds, in coordination with the North Carolina Department of Transportation (NCDOT). The Federal Highway Administration (FHWA) is the lead federal agency for compliance with National Environmental Policy Act (NEPA) for LAPP-funded projects. Based on reviews of the project study area, no environmental permits are anticipated under Section 404 process with the United States Army Corps of Engineers (USACE). The coordinates of the project are approximately 35.00000, -78.00000.

We would appreciate any information that you might have that would be helpful in evaluating potential environmental impacts of the project. Your comments may be used in preparation of a NEPA Environmental Document. Please find attached maps, documents and figures to assist in your review of the project.

In accordance with Section 106 of the 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.

Mailing Address:
NC DEPARTMENT OF TRANSPORTATION
DIVISION 5 OFFICE
2612 NORTH DUKE STREET
DURHAM, NC 27704
CS # 17-07-03

Telephone: (919) 220-4600
Fax: (919) 565-3371
Customer Service: 1-877-365-4968
Website: ncdot.gov

Location:
2612 NORTH DUKE STREET
DURHAM, NC 27704

Please respond by March 9, 2021 so that your comments can be used in the scoping of this project. Any comments that you may have should be sent to the following:

Tammy Richards
FHWA-NC Division of Transportation Specialist
310 New Bern Avenue
Suite 410
Raleigh, NC 27601
tammy.richards@dot.gov

This project is Federally funded through Capital Area Metropolitan Planning Organization's (CAMPO) Locally Administered Projects Program (LAPP) to prioritize and program local transportation projects. The project is being locally administered by the City of Raleigh with NCDOT providing technical and administrative oversight.

If you have any questions concerning this project, or would like any additional information, please contact me at tparrott@ncdot.gov. Please include the TIP Number: U-7000 in all correspondence and comments.

Sincerely,

Tracy N. Parrott, P.E.
NCDOT Division 5 Project Delivery Engineer
2612 N. Duke Street
Durham, NC 27704
tparrott@ncdot.gov

cc: Tammy Richards, FHWA
Steve Smith, PE, City of Bluster Project Manager
Sally Smith, Consultant Project Manager (for City of Bluster)

Environmental
Document

CAMPO
153
NC Capital Area Metropolitan Planning Organization



Plan Review



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

Tracy Parrott, PE

Raymond Hayes, PE



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 2018 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/RoadwayDesignAdministrativeDocuments/Roadway%20Design%20Consultant%20Coordination%20Guidelines.pdf>

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>

Tracy Parrott, PE/ Raymond Hayes, P.E.

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





Right of Way Authorization



Funding Authorization

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 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*

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 are Strings Attached.....



So, what's the catch?



**Non-compliance
with the law
means NO
Federal dollars**

EMINENT DOMAIN

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

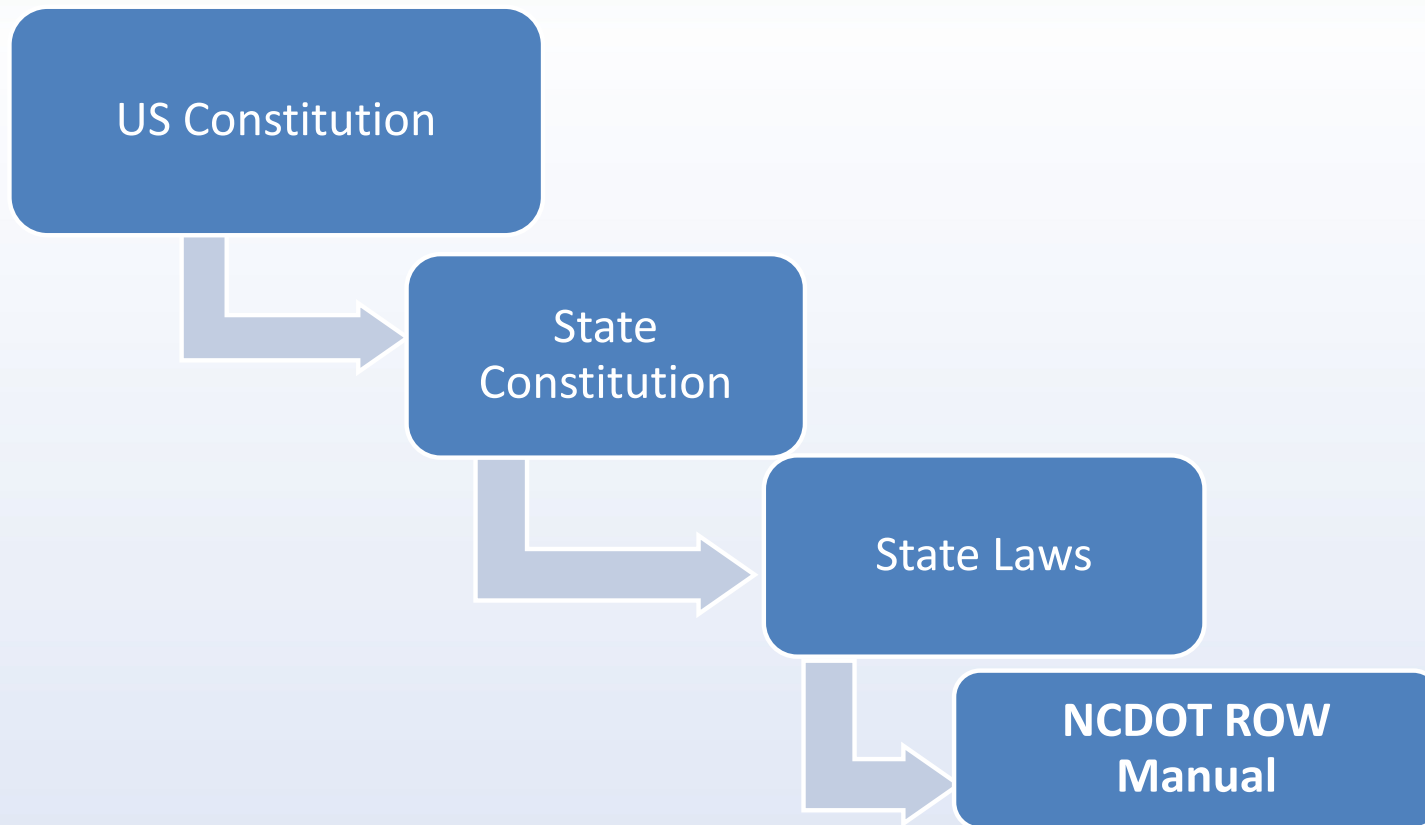
5th Amendment

“...nor shall private property be taken for public use without just compensation.”

14th Amendment

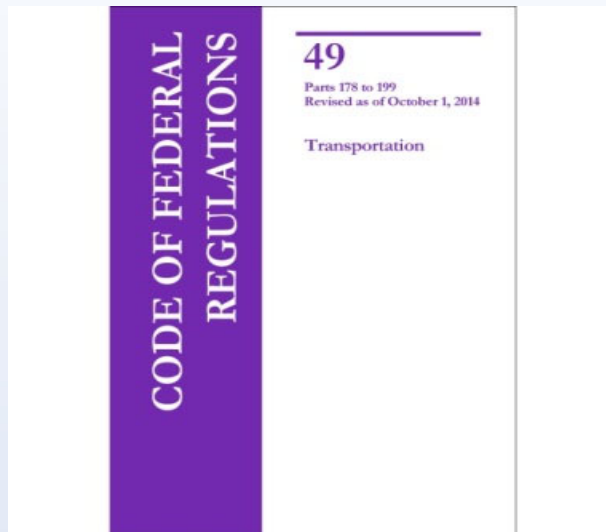
“...nor shall any State deprive any person of life, liberty, or property, without due process of law...”

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 any 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

Basic Requirements of 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



Federal/State Partnership

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 must follow the URA Act?
- What do you risk if there is non-compliance?



Contact Information:

Michael Dawson

Realty Officer

FHWA NC Division

310 New Bern Ave, Suite 424

Raleigh, NC 27601

919-747-7009

michael.dawson@dot.gov





Right of Way
Division Office:
Authorization & Certification
Raleigh Office:
Appraisal Review



Right of Way Acquisition

GETTING STARTED

- **AUTHORIZATION AND FUNDS APPROVED**
 - NCDOT WILL CHARGE TO YOUR WBS ELEMENT FOR REVIEWS
- **MUNICIPAL AGREEMENT**
 - MUST BE SIGNED
 - READ RIGHT OF WAY SECTIONS FOR ADHERENCE
 - MUST BE SUBMITTED WITH VALUATIONS/APPRAISALS
- **CONSTRUCTION PLANS**
 - IDENTIFY THE EXISTING RIGHT OF WAY LIMITS
 - PREFER A PARCEL NUMBER, OWNERS 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 \$10,000.00 OR LESS
- VALUATIONS \$10,000.00 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

NEXT STEPS

- **FOLLOW THE UNIFORM ACT OF 1970**
 - REQUIRED ADHERENCE IF ONE DOLLAR 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

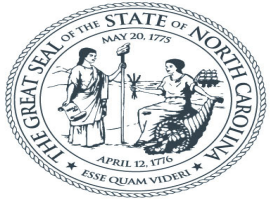
- All acquisition must be in conformance with the “Uniform Act,” whether ROW Acquisition is being reimbursed with Federal funds or not
- Certification is done by the Division ROW Agent:
 - Div 4 Lloyd Johnston
 - Div 5 Brian Rogers
 - Div 6 Raphael A. Marshall
- Certification is provided to the LPA but the LPA is responsible for all access rights for project.





Environmental Permitting





NORTH CAROLINA Department of Transportation



Environmental Permitting

Division 5

CAMPO LAPP Project Management Training - March 18, 2021



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.



Development of permit drawings

- Complete wetland delineation, stream determination and riparian buffer determination. Submit PJD to USACE and buffer determination to NCDEQ.
- Determine project scope and complete plans

A technical drawing titled 'STATE OF NORTH CAROLINA DIVISION OF HIGHWAYS WAKE COUNTY'. It shows a plan view of a highway interchange improvement project. The drawing includes a vicinity map, a plan view of the interchange, and a cross-section view. The project is located at the intersection of US 1 and NC 14. The drawing is labeled 'CONTRACT: DE0246' and 'TIP PROJECT: I-5873'. It includes various engineering details and a north arrow.

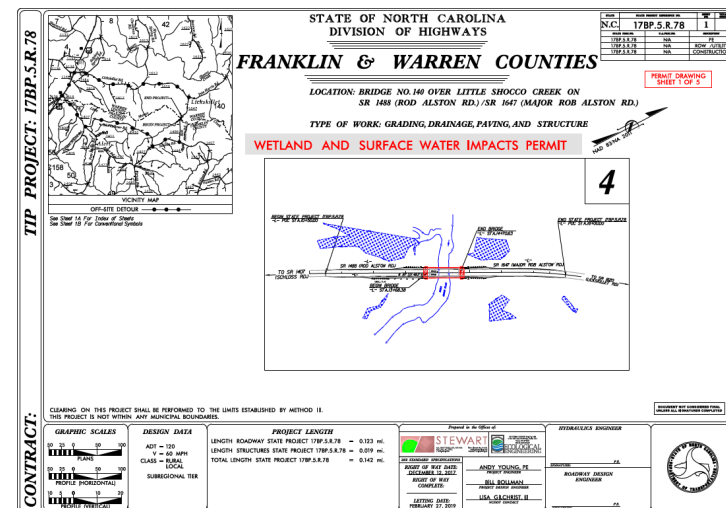
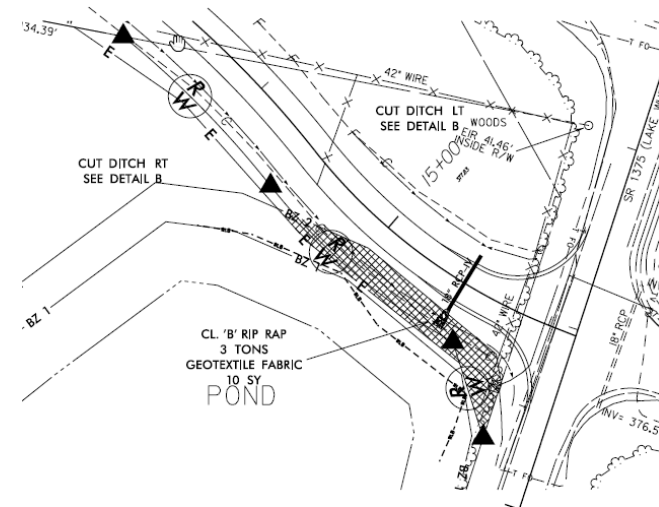
Jurisdictional Determination Request



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.



- Depict jurisdictional features on plans.
- Coordinate with hydraulic firm to complete permit drawing package that includes all anticipated impacts, including placement of temporary and permanent in streams, wetlands. Also include areas to install EC devices.



- Submit e-PCN via website (possibly FTRO)



- Wait on permits from regulatory agencies

Pre-Construction Notification (PCN) Form

For Nationwide Permits and Regional General Permits
(along with corresponding Water Quality Certifications)

September 29, 2018 Ver 3

U.S. ARMY CORPS OF ENGINEERS
WILMINGTON DISTRICT

Action Id: SAW-2016-01260 County: Warren County U.S.G.S. Quad: Gold Sand

GENERAL PERMIT (REGIONAL AND NATIONWIDE) VERIFICATION

Permittee: NCDOT, Division of Highways
ATTN: Mr. J. R. Hopkins, P.E., Division Engineer
Address: 2612 North Duke Street
Durham, North Carolina 27704
Telephone: (252) 598-5106 (Hasther Mountain)

Size (acres): 1.2 Nearest Town: Warrenton
Nearest Waterway: Little Shocco Creek River Basin: Pamlico
USGS HUC: 04020102 Coordinates: Latitude: 36.2480, Longitude: -78.16216
Location description: Bridge No. 140 over Little Shocco Creek, on SR 1489 (Red Alton Road)/SR 1647 (Major Red Alton Road), south of Warrenton

Description of project area and activity: Project No. 17BP-S-R-79, Bridge replacement impacting 0.01 acre of wetlands

Applicable Law: ☒ Section 404 (Clean Water Act, 33 USC 1344); ☐ Section 10 (Rivers and Harbors Act, 33 USC 403)

Authorization: Nationwide Permit Number: NWP 3 Maintenance
SEE ATTACHED NWP GENERAL, REGIONAL AND/OR SPECIAL CONDITIONS

Your work is authorized by the above referenced permit provided it is accomplished in strict accordance with the attached conditions and your submitted application and attached information dated August 22, 2018. Any violation of the attached conditions or deviation from your submitted plans may subject the permittee to a stop work order, a restoration order, a Class I administrative penalty, and/or appropriate legal action. Note: mitigation is required to replace mitigation impacted by removal of buffer from an existing NCDMS in-lieu-fee stream mitigation site.

SPECIAL CONDITIONS

1. In order to compensate for impacts associated with this permit, mitigation shall be provided in accordance with the provisions outlined on the most recent version of the attached Compensatory Mitigation Responsibility Transfer Form. The requirements of this form, including any special conditions listed on this form, are hereby incorporated as special conditions of this permit authorization.

2. The U.S. Fish and Wildlife Service's (USFWS's) Programmatic Biological Opinion (BO) titled "Bridge and Culvert Replacement/Repairs/Rehabilitations in Eastern North Carolina, NCDOT Divisions 1-47, dated June 13, 2018, contains mandatory terms and conditions to implement the reasonable and prudent measures that are associated with 'incidental take' that are specified in the BO. As such, this permit verification contains a special condition requiring compliance with all the mandatory terms and conditions (incorporated by reference into this permit verification) associated with incidental take of the BO. These terms and conditions might include an in-lieu-fee payment, and if so, must be completed as soon as possible after all internal coordination allowing for this payment is complete. The Corps Project Manager must be notified by email when this in-lieu-fee payment is satisfied. Reasonable and prudent measures are actions necessary to minimize the impacts of incidental take that is anticipated to result from implementing the project that the Service regarded as not likely to jeopardize the species or adversely modify designated critical habitat.

3. This USACE permit does not authorize you to take a threatened or endangered species, in particular, the Northern Long-eared Bat (NLEB) (*Myotis septentrionalis*). In order to legally take a listed species, you must have separate authorization under the Endangered Species Act (ESA) (e.g., a Biological Opinion (BO) under the ESA, Section 7, with 'incidental take' provisions with which you must comply). The U.S. Fish and Wildlife Service's (USFWS's) Programmatic BO titled "Northern Long-eared Bat (NLEB) Programmatic Biological Opinion for North Carolina Department of Transportation (NCDOT) Activities in Eastern North Carolina Divisions 1-47, dated March 25, 2015, and adopted on May 4, 2015, contains mandatory terms and conditions to implement the reasonable and prudent measures that are associated with 'incidental take', that are specified in the BO. Your authorization under this USACE permit is conditioned upon your compliance with all the mandatory terms and conditions (incorporated by reference into this permit) associated with incidental take of the BO. Failure to comply with the terms and conditions associated with incidental take of the BO, where a take of the listed species occurs, would constitute an unauthorized take, and would also constitute non-compliance with your USACE permit. The USFWS is the appropriate authority to determine compliance with the terms and conditions of its BO and with the ESA.



NORTH CAROLINA
Environmental Quality

ROY COOPER
Governor
MICHAEL S. REGAN
Secretary
LINDA CULPEPPER
Deputy Secretary

August 29, 2018
Franklin Warren County
NCDWR Project No. 20181172
Bridge 140 on SR 1488/1647
State Project No. 17BP-S-R-78

APPROVAL OF 401 WATER QUALITY CERTIFICATION AND TAR-PAMILCO BUFFER AUTHORIZATION, with ADDITIONAL CONDITIONS

Mr. Joey Hopkins, P.E., Division Engineer
NCDOT, Division 5
2612 North Duke Street
Durham, NC 27704

Dear Mr. Hopkins:

You have our approval, in accordance with the conditions listed below, for the following impacts for the purpose of replacing Bridge 140 in Franklin & Warren Counties:

Wetland Impacts in the Tar-Pamlico River Basin		
Site	Mechanized Clearing (ac)	Total Wetland Impact (ac)
Total	0.01	0.01

Total Wetland Impact for Project: 0.01 acres.

Site	Tar-Pamlico Riparian Buffer Impacts			
	Zone 1 Impact (sq ft)	Zone 1 Buffer Mitigation Required (using 3:1 ratio)	Zone 2 Impact (sq ft)	Zone 2 Buffer Mitigation Required (using 1.5:1 ratio)
Totals	3054	N/A	1382	N/A

* w/a - Total for Site is less than 1/3 acre and 150 linear feet of impact, no mitigation required
Total Buffer Impact for Project: 4436 square feet.

The project shall be constructed in accordance with your application received August 22, 2018. After reviewing your application, we have decided that these impacts are covered by General Water Quality Certification Number 4152. This certification corresponds to the Nationwide Permit 3 issued by the Corps of Engineers. This approval is also valid for the Tar-Pamlico Riparian Buffer Rules (15A NCAC 2B.0259). In addition, you should acquire any other federal, state or local permits before you proceed with your project including (but not limited to) Sediment and Erosion Control, Non-Discharge and Water Supply Watershed regulations. This approval will expire with the accompanying 404 permit.



North Carolina Department of Environmental Quality - Division of Water Resources
512 North Salisbury Street - 1811 Main Service Center - Raleigh, North Carolina 27603-1617
919.757.9030



Contract Proposal

- ✦ Website for Local Governments <http://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*



Contract Proposal

- 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

CHECKLIST	Federally Funded Projects
REQUIRED - provisions for ALL federally funded projects	Link to Provision
NCDOT STANDARD NOTES	Link
ALLOWABLE CHANGES	Link
DISADVANTAGED BUSINESS ENTERPRISES	SP1 G63
LETTER OF INTENT FORM	Link
CERTIFICATION FOR FEDERAL AID CONTRACTS	SP1 G85
U.S. DEPT. OF TRANSPORTATION & CARGO ACT	SP1 G100
LOCATING EXISTING UNDERGROUND UTILITIES	SP1 G115
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

WBS: 44315.3.3
Description: 44-315.3.3, Ramps for Locations Over 5,000 Population in Division 5
County: Franklin, Franklin, Granville, Person, Vance, Wake and Warren

ENGINEERING AND CONTINGENCIES (PERCENT): TOTAL 0 213,150.00 8.00

CONSTRUCTION ESTIMATE FOR PROJECT: \$213,150.00

ITEM	SECT	DESCRIPTION	QTY	UNIT	UNIT PRICE (\$)	AMOUNT BID (\$)
1	SP	1195 CONCRETE CURB RAMP	1	LS	\$10,150.00	\$10,150.00
2	SP	1195 CONCRETE CURB RAMP	89	EA	\$2,000.00	\$178,000.00
3	1195	TEMPORARY TRAFFIC CONTROL	1	LS	\$25,000.00	\$25,000.00



Contract Proposal



- 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

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

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 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:

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.





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 is 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



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

NCDOT
NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION

LOCAL PROJECTS

Welcome Craig McKinney

Saved Searches Go Advanced

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FAQ's

Recent Items

- 2000006231 SAP-2...
- Erica Jefferies 1000...
- 2000006230 Side W...
- 1000002517 Sidewa...
- LPMO_PY2014

Processes

- New Application
- Display Application
- Change Application
- View Agreement/Submit Document
- Submit Change Request
- Edit Change Request
- Review Reimbursement Claims
- New Reimbursement Claim**
- Change Reimbursement Claims
- View Program/Grants

New Reimbursement Claim

NCDOT NORTH CAROLINA DEPARTMENT OF TRANSPORTATION

LOCAL PROJECTS

Welcome Craig McKinney

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Search: Claim Form

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FAQ's

Recent Items

- 2000006231 SAP-2...
- Erica Jefferies 1000...
- 2000006230 Side W...
- 1000002517 Sidewa...
- LPMO_PY2014

Search Criteria [Hide Search Fields](#)

TIP number is


Maximum Number of Results:

Save Search As:

Result List

Agreement ID	Description	TIP number	Claim Form
No result found			

New Reimbursement Claim



NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION

LOCAL PROJECTS

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Recent Items

2000006231 SAP-2...


Erica Jefferies 1000...


2000006230 Side W...

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LPMO_PY2014


Welcome Craig McKinney

Saved Searches Go Advanced 


Search: Claim Form Back 

Search Criteria




Hide Search Fields

TIP number is 

Maximum Number of Results:

Search Clear Save Search As: Save 

Result List



Agreement ID	Description	TIP number	Claim Form
2000006230	Side Walk	SHP2001	LPMO - Reimbursement Claim
2000006231	SAP-2010	TIP-01	LPMO - Reimbursement Claim
2000006232	Sidewalk	TIP-01	LPMO - Reimbursement Claim



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Recent Items

2000006231 SAP-2...
Erica Jefferies 1000...
2000006230 Side W...
1000002517 Sidewa...
LPMO_PY2014



[Fill & Sign](#) [Comment](#)

Please fill out the following form. You can save data typed into this form.

[Highlight Existing Fields](#)

North Carolina Department of Transportation Local Program Management Office Request for Reimbursement

Project Sponsor:				CITY OF GREENSBORO			
Mailing Address:				PO Box 3136 GREENSBORO, NC 27402-3136			
TIP:				TIP-01			
Program:				LPMO_PY2014 - LPMO Program			
Agreement Number:				2000006231		Agreement Period From: 02/02/2015 To: 02/20/2015	
Grantee ID:				1000000110		Federal Aid Number: Fa-001 Division: 07	
Invoice Number: *				Date Prepared: * 02/09/2015			
Invoice Period: From: *				To: *		Final Invoice: * <input type="radio"/> Yes <input type="radio"/> No	
DBE/MBE/WBE sub-contractor vendor payments made during this invoice period? * <input type="text"/>							
Submitted by:				Craig McKinney		Date: 2/9/15	

Project
Construction

EXPENSES:

Code	WBS	Description	Start Date	Approved Budget	Reimbursements To Date	Total Expenses This Period	Ineligible Expenses This Period	Eligible Expenses This Period	Reimbursable This Period	Remaining Budget
L001	12.3018287	PE – Preliminary Engineering	02/02/2015	\$0	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL				\$0	\$0	\$0	\$0	\$0	\$0	\$0

COMMENTS:

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:

Date: (mm/dd/yyyy)*

02/09/2015

Check

Save

Submit





TOWN of
WAKE FOREST

301 S. Brooks Street
Wake Forest, NC 27587
919.435.9400
www.wakeforestnc.gov

February 22, 2019

Raymond J. Hayes, P.E.
Local Projects Manager
Highway Division 5
2612 North Duke Street
Counter #17-27-09
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 reimbursement 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
01131 0345-1018	09/20/2017	168054	11/02/2017	1,807.24	11/02/2017	-
01131 0345-1018	10/31/2018	172191	11/14/2018	1,903.43	11/29/2018	-
01131 0345-1118	11/30/2018	172568	12/28/2018	7,991.13	01/07/2019	-
01131 0345-1218	12/31/2018	172779	01/25/2019	3,181.79	01/31/2019	-
21460	10/30/2018	172188	11/14/2018	3,227.50	11/29/2018	-
214773	09/28/2018	172444	12/14/2018	1,421.88	12/21/2018	-
272638	08/26/2018	172444	12/14/2018	7,862.30	12/21/2018	-
65440	09/20/2018	Credit Card		40,987.63	-	-
66116	10/31/2018	172918	11/14/2018	45,026.90	11/30/2018	-
6663	11/30/2018	172495	12/14/2018	41,243.52	12/21/2018	-
Pay Application	Contractor Invoice Date	Check No.	Check Date	Check Amt.	Check Cleared	Sales Tax
Pay App #5	09/17/2018	171987	09/19/2018	277,283.40	10/24/2018	2,485.48
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	280.08
Pay App #10	1/10/2019	172761	01/25/2019	74,659.00	01/31/2019	314.76
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) 678-4100 or Leta.Ward@kimley-horn.com

111.09



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=VHVIIISvdiAwNyAwMDowMDow...> 2/22/2019

APPLICATION AND CERTIFICATION FOR PAYMENT

AIA DOCUMENT G702

PAGE ONE OF 2 PAGES

TO OWNER:

PROJECT: U-5515

APPLICATION NO: 6

Distribution to:

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

Stadium Drive

PERIOD TO: 08/31/18

☒ OWNER

FROM CONTRACTOR:

VIA ARCHITECT: Kimley-Horn

PURCHASE ORDER:

☒ ARCHITECT

FSC II, LLC/Oba Fred Smith Company

4400 Shiloh Church Road

Raleigh, NC 27607

CONTRACT FOR:

CONTRACT DATE: 1/18/2018

☐ CONTRACTOR

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 herein is now due.

1. ORIGINAL CONTRACT SUM	\$	6,789,876.00
2. Net change by Change Orders	\$	14,757.44
3. CONTRACT SUM TO DATE (Line 1 + 2)	\$	6,804,633.44
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)	\$	1,365,882.12
7. LESS PREVIOUS CERTIFICATES FOR PAYMENT (Line 6 from prior Certificate)	\$	1,126,548.70
8. CURRENT PAYMENT DUE	\$	239,333.42
9. BALANCE TO FINISH, INCLUDING RETAINAGE (Line 3 less Line 6)	\$	5,407,513.32

CONTRACTOR: FSC II, LLC/Oba Fred Smith Company

By: *[Signature]* Title: 9-17-18

State of: NC County of: WAKE

Subscribed and sworn to before me this 17th day of September, 2018.

Notary Public: *[Signature]*

My Commission Expires: 9-23-2024

AMANDA L BYRD
Notary Public
North Carolina
Industrious 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 on the Continuation Sheet that are changed to conform with the amount certified.)

By: *[Signature]* Date: 9/19/18

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

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

AIA DOCUMENT G702 - APPLICATION AND CERTIFICATION FOR PAYMENT - 1982 EDITION - AIA® © 1982

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

THE AMERICAN INSTITUTE OF ARCHITECTS, 1735 NEW YORK AVE., N.W., WASHINGTON, DC 20005-5022



Line Item	NCDOT TP: U-5515 Stadium Drive (SR 1930) From Glencoe Drive to North Main Street/US 1A	UNIT PRICE	Unit of Measure	Bid Quantity	Extension	WORK COMPLETE										PERCENT COMPLETE (OF)	DOLLAR AMOUNT TO COMPLETE (F+O)								
						JOB TO PREVIOUS BILLING						THIS PERIOD			JOB TO CURRENT BILLING										
						QUANTITY			STORED MATERIALS		AMOUNT	QUANTITY			STORED MATERIALS			AMOUNT	QUANTITY			STORED MATERIALS		AMOUNT	
DESCRIPTION OF WORK																									
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%	-	\$	-	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	95.00	\$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	\$69.00	LF	98.00	\$6,762.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	6,762.00					
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	\$69.00	LF	1,140.00	\$79,260.00	448.60	-	\$	22,440.00	62.40	-	\$	4,120.00	632.00	-	\$	26,600.00	46.87%	\$	30,400.00					
12	18" RC PIPE CULVERTS, CLASS III	\$50.00	LF	276.00	\$13,800.00	166.50	-	\$	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	\$111,880.00	411.00	-	\$	22,605.00	10.00	-	\$	550.00	421.00	-	\$	23,155.00	20.68%	\$	88,625.00					
14	24" RC PIPE CULVERTS, CLASS III	\$85.00	LF	120.00	\$10,200.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	10,200.00					
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	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	55.62%	\$	2,397.00					
17	PIPE CLEAN-OUT	\$1,000.00	EA	1.00	\$1,000.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	1,000.00					
18	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					
19	INCIDENTAL STONE BASE	\$12.00	SY	1,500.00	\$18,000.00	91.18	-	\$	2,735.40	-	-	\$	-	91.18	-	\$	2,735.40	18.24%	\$	15,264.60					
20	INCIDENTAL MILLING	\$85.00	TN	1,850.00	\$157,250.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	157,250.00					
21	B/S OS	\$60.00	TN	1,000.00	\$60,000.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	60,000.00					
22	J/S OS	\$60.00	TN	3,300.00	\$198,000.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	198,000.00					
23	S/S OS	\$40.00	TN	340.00	\$13,600.00	23.16	-	\$	934.40	-	-	\$	-	23.16	-	\$	934.40	2.81%	\$	12,665.60					
24	ASPHALT BINDER FOR PLANT MIX	\$140.00	TN	655.00	\$91,700.00	38.95	-	\$	5,453.00	12.18	-	\$	1,705.20	49.13	-	\$	6,878.20	6.55%	\$	84,821.80					
25	ASPHALT PLANT MIX, PAVT. REPAIR	\$140.00	TN	750.00	\$105,000.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	105,000.00					
26	ASPHALT PLANT MIX, PAVT. REPAIR (W / S)	\$155.00	HR	32.00	\$4,960.00	-	-	\$	-	5.50	-	\$	862.50	5.50	-	\$	862.50	17.19%	\$	4,100.00					
27	SUPL. FIELD SURVEY	\$90.00	HR	18.00	\$1,620.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	1,620.00					
28	SUPL. SURVEYING OFFICE CALCS	\$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					
29	EXPLORATORY EXCAVATION - STD	\$190.00	SY	285.00	\$54,150.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	54,150.00					
30	COLOR-ED CONCRETE VEHICULAR APRON	\$150.00	EA	141.00	\$21,150.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	21,150.00					
31	R/O-W / PERM. EASEMENT MARKERS	\$15.00	CY	75.00	\$1,125.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	1,125.00					
32	SUBDRAIN EXCAVATION	\$25.00	CY	75.00	\$1,875.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	1,875.00					
33	SUBDRAIN FINE AGGR.	\$15.00	LF	420.00	\$6,300.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	6,300.00					
34	6" PERF SUBDRAIN PIPE	\$25.00	LF	100.00	\$2,500.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	2,500.00					
35	6" OUTLET PIPE	\$2,100.00	EA	65.00	\$13,650.00	8.00	-	\$	16,800.00	-	-	\$	-	-	-	\$	-	0.00%	\$	16,800.00					
36	MASONRY DRAINAGE STRUCTURES	\$200.00	LF	31.00	\$6,200.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	6,200.00					
37	MASONRY DRAINAGE STRUCTURES	\$900.00	EA	5.00	\$4,500.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	4,500.00					
38	F W/ GRATE 840 G3, TYPE E	\$900.00	EA	27.00	\$24,300.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	24,300.00					
39	F W/ GRATE 840 G3, TYPE F	\$900.00	EA	27.00	\$24,300.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	24,300.00					
40	F W/ GRATE 840 G3, TYPE G	\$900.00	EA	27.00	\$24,300.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	24,300.00					
41	DI F&G 840.16	\$800.00	EA	1.00	\$800.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	800.00					
42	GOINS SAG F W/ 2 G 840.24	\$900.00	EA	3.00	\$2,700.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	2,700.00					
43	MH F&C 840.54	\$900.00	EA	12.00	\$10,800.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	10,800.00					
44	PIPE PLUG	\$1,200.00	CY	1.00	\$1,200.00	0.07	-	\$	84.00	-	-	\$	-	0.07	-	\$	84.00	6.00%	\$	1,116.00					
45	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					
46	8" X 18" CONC CURB	\$12.00	LF	1,110.00	\$13,320.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	13,320.00					
47	12" CONC CURB & GUTTER	\$14.00	LF	3,500.00	\$49,000.00	-	-	\$	-	583.00	-	\$	8,162.00	583.00	-	\$	8,162.00	6.14%	\$	124,838.00					
48	2'-6" CONC CURB & GUTTER	\$15,000.00	EA	42.00	\$63,000.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	63,000.00					
49	CONC CURB RAMP (NCDOT)	\$2,800.00	EA	10.00	\$28,000.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	28,000.00					
50	CONC CURB RAMP (MUP)	\$30.00	SY	4,635.00	\$139,050.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	139,050.00					
51	4" CONC SIDEWALK	\$37.00	SY	385.00	\$14,245.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	14,245.00					
52	6" CONC DRIVEWAY (HIGH EARLY)	\$55.00	SY	250.00	\$13,750.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	13,750.00					
53	CONC SIDEWALK (ON BRIDGE)	\$45.00	SY	100.00	\$4,500.00	-	-	\$	-	-	-	\$	-	-	-	\$	-	0.00%	\$	4,500.00					



Submit with Invoice To:

Town of Wake Forest
Third Floor
301 S. Brooks Street
Wake Forest, NC 27587

Firm Invoice No. Reference
NCDOT PO / Contract Number
WBS No. (State Project No.)
Date of Invoice
Signed

U-5515 Stadium Drive

8.31.18

[illegible]

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 Jeff Allen
Print Name JEFF ALLEN

Title DIVISION MANAGER
Date 9-17-18

Rev. 01/07

(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

Pay Application # 6

Address: 6105 Chapel Hill Rd

For Period THRU 8.31.18

Raleigh, NC 27607

SUPPLIERS	Total Invoice	Invoice Before Tax	Tax Amount	NC Tax Amount	County Tax	% Wake Co Transit	County
Angier	453.46	\$379.00	\$27.48	\$18.00	7.58	\$1.90	WAKE
Perquimans Enterprises Inc	12,288.99	\$30,106.83	2,182.76	1,430.08	602.15	\$150.53	WAKE
Perquimans Enterprises Inc	3,221.22	\$1,138.66	82.56	54.09	22.77	\$5.70	WAKE
Perquimans Enterprises Inc	1,448.49	\$1,341.24	97.24	63.71	26.82	\$6.71	WAKE
Perquimans Enterprises Inc	3,089.72	\$545.20	39.53	25.90	10.90	\$2.73	WAKE
Perquimans Enterprises Inc	5,082.02	\$2,853.63	206.89	135.55	57.17	\$14.27	WAKE
Perquimans Enterprises Inc	87.40	\$81.68	5.93	3.89	1.63	\$0.41	WAKE
Perquimans Enterprises Inc	1,065.85	\$151.85	11.01	7.21	3.04	\$0.76	WAKE
Perquimans Enterprises Inc	137.48	\$147.27	10.67	7.00	2.98	\$0.73	WAKE
Perquimans Enterprises Inc	123.48	\$117.00	8.48	5.56	2.34	\$0.58	WAKE
Perquimans Enterprises Inc	4.00	\$37.75	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	% Wake Co Transit	County
Subtotals							
Grand Totals	\$39,538.73	\$36,865.91	\$2,672.82	\$1,751.16	\$737.32	\$184.34	Grand Totals

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 Forest 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 IN _____ Day of September, 2018
Amender 2 Blvd
 Notary Public
 My commission expires 8-31-2021

(Contractor Signature) Jeff Allen
Jeff Allen - Division Manager

AMANDA L BYRD
Notary Public
North Carolina
Johnston County



Project Construction



INVOICE



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: DONALD TIMOTHY

ORDER #	CUSTOMER #	CUSTOMER PO #	PROJECT #	PROJECT DESCRIPTION	INVOICE NUMBER
43005	4305	750P69-5813225-00	78036	U-5515 STADIUM DR WIDENING	91146245

INVOICE DATE	TICKET #	QTY	UOM	ITEM #	ITEM DESCRIPTION	UNIT PRICE	EXTENDED	TOTAL
07/16/2018	18504370	4.000	YDS	0004744	00WSPCHOFFLMTN1305	94.00	376.00	X
07/16/2018	18504370	1	EA	8120380	ENVIRONMENTAL FEE PER LOAD	3.00	3.00	X
07/16/2018	18504370	1	EA	8120382	FUEL SURCHARGE PER LOAD	0.00	0.00	X
INVOICE TOTAL		4.000	YDS	0004744	00WSPCHOFFLMTN1305		376.00	
		1	EA	8120380	ENVIRONMENTAL FEE PER LOAD		3.00	
		1	EA	8120382	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 join up for electronic funds transfer, please use the following instructions:
Wire Transfer: AT&T Worldnet Banking # 021 000 021 SWIFT: KJUS33US, Account # 750 583 253 Argos USA LLC
ACH: # Argos: Chase Routing # 021 000 021, Account # 750 583 253 Argos USA LLC
Please send payment remittance information to: cashapp@argosusa.com

Page 1 of 1

000004305

- ORIGINAL -

Revised 3.0 Version Factors USA - CANS - RCH2001000301

0597





Construction Oversight



Construction

- Mark Craig, PE- Division Construction Engineer
- Cameron Richards, PE- Deputy Division Construction Engineer
- Resident Engineer
- Raymond Hayes, PE (AECOM)- Local Projects Manager
 - Main Point of Contact During Construction
 - Email- rjhayes@ncdot.gov
 - Phone 919-628-8999
- Kelly Adams- Division 5
Final Estimates Technicians
 - Checking all Final Estimates



Construction

- **Project Reviews**
 - Conducted by Raymond Hayes or Cameron Richards
 - 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 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-1S.				
Subcontr agr have fed-aid provision (i.e. 1273).				
Is Form FHWA-1301 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 AGREEMENTS	Yes	No	N/A	Comments
Are there copies of all Supplemental Agmts?				
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 concour. 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 receipt / 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 Embnkmnt - Compctn results - 95%				
Rdwy Subgr - Compctn results - 100% within 8"				
Trail Embnkmnt - Compctn results - 90%				1 minimum
Trail Subgr - Compctn results - 92% within 8"				1 minimum
Testing frequency per specifications				



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 805 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				
Does that retroreflective sheeting meets specs				

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

MATERIAL RECEIPT REVIEW	In Project Yes / No	MRR Yes / No	Required Items			Comments
			Bill of Lading	Cert / Stamp / Tag / Alt ID	Pre Appr / QPL	
Mat'l Receipt Items						
Traffic Control						Cert-3,4,7
Erosion Control						
Timber - Sec 1082-4						3rd Party Insp, AWPA U1 T1
Pipe-Conc/Merl/Pist'c						
Precast						
Iron Castings-Drainage						
Utility - Water / Sewer						Cert-3,8
Brick/Block/Seg Wall						
Steel / Prestress Str						Sl' Cert-1,3,4,7
Guard/Guiderail, Fence						Fence Cert-8
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: _____



Construction Completion Concurrence Letter


STATE OF NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION

ROY COOPER
GOVERNOR
November 18, 2019

JAMES H. TROGDON, III
SECRETARY

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) 220-4000
Fax: (919) 560-3371
Customer Service: 1-877-368-4968
Website: www.ncdot.gov

Location: 2612 NORTH DUKE STREET
DURHAM, NORTH CAROLINA 27704



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.

Final Inspection with NCDOT Present	Date (MM/DD/YYYY)	Punchlist Complete? (Y/N)	Date Punchlist Complete
Project Acceptance Letter from Municipality to Contractor	Date Written	Date Submitted to NCDOT	Date Received from NCDOT
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)			
Materials and Test Review (NCDOT)	Date reviewed by NCDOT	Materials Certification Date	

	Total'd (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)			





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



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 Reviews



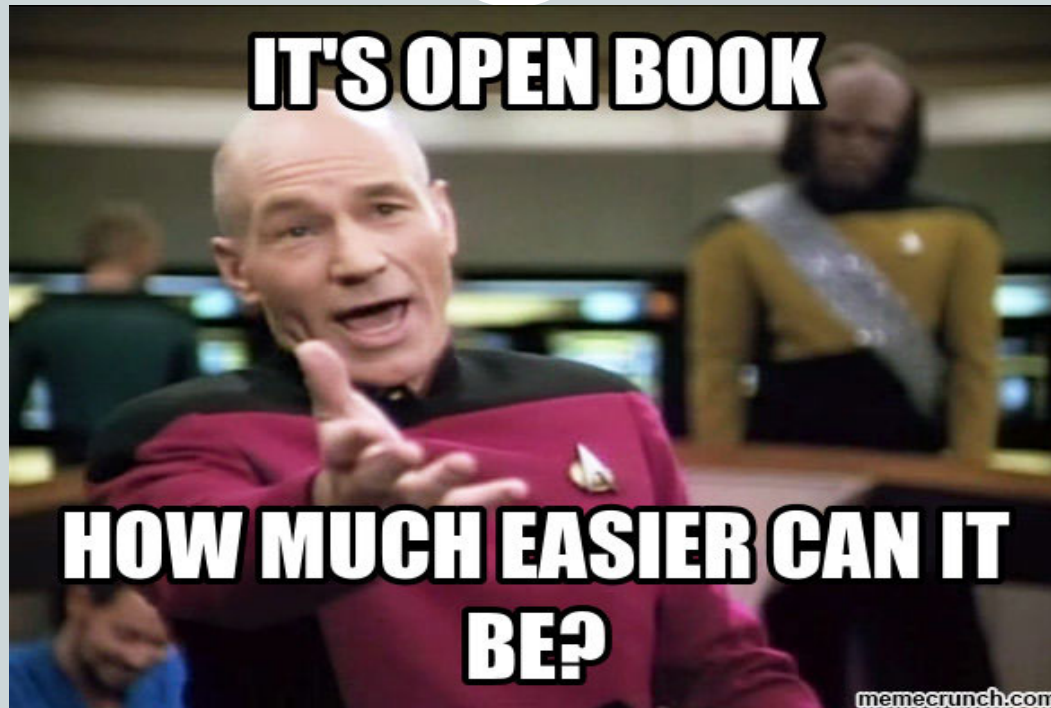
LPA Program Manager will be conducting two types of reviews:

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.



Records Reviews



Records Review Checklist

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

LAPP – Project Delivery Requirements

- Reporting and Communications
- Scope, Funding and Schedule Changes
- CAMPO LAPP Deadlines
 - Holistic approach to identify & prioritize highly effective projects
 - Efficient use of available funds
 - Avoid future Federal rescissions to the maximum extent possible
 - Annual modal investment mix
 - Project tracking system
 - Training program

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.
- Applicant 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.”

Scope, Funding and Schedule Changes

		CFFY Carry Forward	Current Year Appropriations	Total Appropriations	Net Available Funding	Obligation or Committed Amount	Funding Balance
Fund		\$	\$	\$	\$	\$	\$
1500/2713M301R	Transp Alt. Prog >200K Raleigh	1,661,763.00		1,661,763.00	1,495,586.70		1,495,586.70
1500/2713M3E1R	Transp Alt. Prog >200K Raleigh - Ext.		670,899.00	670,899.00	603,809.10		603,809.10
1500/2731L230R	STP >200K POPULATION-RALEIGH	37,071.59		37,071.59	33,364.43	36,485.00	-3,120.57
1500/2731L23ER	STP >200K POP-RALEIGH-SAFETEA-LU EXT	356,621.00		356,621.00	320,958.90	-194,507.00	515,465.90
1500/2731L23RR	STP >200K POPULATION-RALEIGH-RE	449,401.41		449,401.41	404,461.27	449,401.00	-44,939.73
1500/2731M230R	Urban Over 200K Population-Raleigh	9,127,968.00	-1,004,000.00	8,123,968.00	7,311,571.20	1,329,572.00	5,981,999.20
1500/2731M23ER	Urban Over 200K Population-Raleigh Ext.		8,224,102.00	8,224,102.00	7,401,691.80	649,600.00	6,752,091.80
Result		11,632,825.00	7,891,001.00	19,523,826.00	17,571,443.40	2,270,551.00	15,300,892.40

All LAPP Awarded projects are funded with CAMPO STPDA and TAPDA Appropriations and NC CMAQ Allocations.

- Funds are programmed (not yet guaranteed). CAMPO over-programs because some projects get delayed or cancelled.
- Obligation Ceiling is the net available funding.
- Funds obligated by FHWA are committed to the project.
- FFY (Oct 1-Sept 30): Funding Balance.

Scope, Funding and Schedule Changes

U-5501	SR 1850 (REEDY CREEK ROAD), NC 54 (NE MAYNARD ROAD) TO SR 16	4548B.1.1	U-5501 - PE - CARY	Prel Eng	11/03/2011	REL ACPT	#	WAKE	15002731L23ER	STP >200K POP-RALEIGH-SAFETEA-LU EXT	160,000.00	152,783.57	160,000.00	152,783.57
U-5501	SR 1850 (REEDY CREEK ROAD), NC 54 (NE MAYNARD ROAD) TO SR 16	4548B.1.1	U-5501 - PE - CARY	Prel Eng	11/03/2011	REL ACPT	#	WAKE	15002731M23OR	Urban Over 200K Population-Raleigh	200,000.00	112,039.02	200,000.00	112,039.02
U-5501	SR 1850 (REEDY CREEK ROAD), NC 54 (NE MAYNARD ROAD) TO SR 16	Result									360,000.00	264,822.59	360,000.00	264,822.59
U-5503	MORRISVILLE - SR 3014 (MORRISVILLE-CARPENTER ROAD) FROM WEST	45490.1.1	CLOSED U-5503 - PE - MORRISVILLE	Prel Eng	12/20/2011	REL ACPT	#	WAKE	1500W	1500Not assigned	0.00	23,654.82		
U-5503	MORRISVILLE - SR 3014 (MORRISVILLE-CARPENTER ROAD) FROM WEST	45490.1.1	CLOSED U-5503 - PE - MORRISVILLE	Prel Eng	12/20/2011	REL ACPT	#	WAKE	15002731L23ER	STP >200K POP-RALEIGH-SAFETEA-LU EXT	45,500.00	45,500.00	45,500.00	45,500.00
U-5503	MORRISVILLE - SR 3014 (MORRISVILLE-CARPENTER ROAD) FROM WEST	45490.1.1	CLOSED U-5503 - PE - MORRISVILLE	Prel Eng	12/20/2011	REL ACPT	#	WAKE	15002731M23OR	Urban Over 200K Population-Raleigh	147,000.00	147,000.00	147,000.00	147,000.00
U-5503	MORRISVILLE - SR 3014 (MORRISVILLE-CARPENTER ROAD) FROM WEST	45490.3.F1	U-5503 - CON - MORRISVILLE	Construction	01/08/2014	REL ACPT	#	WAKE	1500W	1500Not assigned	0.00	102,000.70		
U-5503	MORRISVILLE - SR 3014 (MORRISVILLE-CARPENTER ROAD) FROM WEST	45490.3.F1	U-5503 - CON - MORRISVILLE	Construction	01/08/2014	REL ACPT	#	WAKE	15002731M23OR	Urban Over 200K Population-Raleigh	665,000.00	665,000.00	665,000.00	665,000.00
U-5503	MORRISVILLE - SR 3014 (MORRISVILLE-CARPENTER ROAD) FROM WEST	Result									857,500.00	863,164.32	857,500.00	863,164.32
U-5504	RALEIGH - SR 1009 (LAKE WHEELER ROAD) FROM SR 1009-1301 (TRY	45491.3.1	CLOSED U-5504 - CON - RALEIGH	Construction	12/04/2012	CLSD ACPT	05/13/2015	WAKE	15002702999	Local Government Match_Statewide	4,470.13	4,470.13		
U-5504	RALEIGH - SR 1009 (LAKE WHEELER ROAD) FROM SR 1009-1301 (TRY	45491.3.1	CLOSED U-5504 - CON - RALEIGH	Construction	12/04/2012	CLSD ACPT	05/13/2015	WAKE	15002731L23ER	STP >200K POP-RALEIGH-SAFETEA-LU EXT	679,290.00	679,290.00	679,290.00	679,290.00
U-5504	RALEIGH - SR 1009 (LAKE WHEELER ROAD) FROM SR 1009-1301 (TRY	45491.3.1	CLOSED U-5504 - CON - RALEIGH	Construction	12/04/2012	CLSD ACPT	05/13/2015	WAKE	15007101999	FHWA Construction State Match HTF	483.92	483.92		
U-5504	RALEIGH - SR 1009 (LAKE WHEELER ROAD) FROM SR 1009-1301 (TRY	Result									684,243.83	684,243.83	679,290.00	679,290.00
U-5514	CAPITAL BOULEVARD FROM SR 2041 (SPRING FOREST ROAD) TO SR 35	50555.1.1	U-5514 - PE - RALEIGH	Prel Eng	12/13/2012	REL ACPT	#	WAKE	15002731M23OR	Urban Over 200K Population-Raleigh	448,000.00	91,094.44	448,000.00	91,094.44
U-5514	CAPITAL BOULEVARD FROM SR 2041 (SPRING FOREST ROAD) TO SR 35	50555.3.1	U-5514 - CON - RALEIGH	Construction	09/23/2015	REL	#	WAKE	15002731M23ER	Urban Over 200K Population-Raleigh Ext.	413,000.00	123.00	413,000.00	123.00
U-5514	CAPITAL BOULEVARD FROM SR 2041 (SPRING FOREST ROAD) TO SR 35	Result									861,000.00	91,217.50	861,000.00	91,217.50
U-5515	WAKE FOREST - SR 1930 (STADIUM DRIVE), 1933 (WEST NORTH AVENUE)	50556.1.1	U-5515 - PE - WAKE FOREST	Prel Eng	04/11/2013	REL ACPT	#	WAKE	1500W	1500Not assigned	0.00	35,960.18		
U-5515	WAKE FOREST - SR 1930 (STADIUM DRIVE), 1933 (WEST NORTH AVENUE)	50556.1.1	U-5515 - PE - WAKE FOREST	Prel Eng	04/11/2013	REL ACPT	#	WAKE	15002731M23OR	Urban Over 200K Population-Raleigh	235,400.00	235,400.00	235,400.00	235,400.00
U-5515	WAKE FOREST - SR 1930 (STADIUM DRIVE), 1933 (WEST NORTH AVENUE)	50556.2.F1	U-5515 - RW - SR 1930 WAKE FOREST	Right of Way	11/10/2015	REL	#	WAKE	15002731M23ER	Urban Over 200K Population-Raleigh Ext.	479,000.00	0.00	479,000.00	0.00
U-5515	WAKE FOREST - SR 1930 (STADIUM DRIVE), 1933 (WEST NORTH AVENUE)	Result									714,400.00	270,460.18	714,400.00	235,400.00
U-5520	GARNER - CONSTRUCT IMPROVEMENTS ON I-40 / US 70 EASTBOUND RA	44091.3.F1	U-5520 - CON - I-40/US 70 INTERCHANGE	Construction	09/16/2013	REL ACPT	#	WAKE	15002731M23OR	Urban Over 200K Population-Raleigh	2,600,000.00	2,444,091.45	2,600,000.00	2,444,091.45
U-5520	GARNER - CONSTRUCT IMPROVEMENTS ON I-40 / US 70 EASTBOUND RA	Result									2,600,000.00	2,444,091.45	2,600,000.00	2,444,091.45
U-5529	SR 1115 (AVANT FERRY ROAD), WEST OF SR 1101 (PINEY GROVE -	44107.1.F1	U-5529 - PE - SR 1115 (AVANT FERRY ROAD)	Prel Eng	11/25/2013	REL ACPT	#	WAKE	15002731M23OR	Urban Over 200K Population-Raleigh	144,000.00	105,879.39	144,000.00	105,879.39
U-5529	SR 1115 (AVANT FERRY ROAD), WEST OF SR 1101 (PINEY GROVE -	Result									144,000.00	105,879.39	144,000.00	105,879.39
U-5530AA	APEX - OLD RALEIGH ROAD FROM LAKE PINE DRIVE TO CARY LIMITS	44111.1.F2	U-5530AA - PE - APEX	Prel Eng	01/14/2014	REL ACPT	#	WAKE	15002731M23OR	Urban Over 200K Population-Raleigh	14,000.00	26.63	14,000.00	26.63
U-5530AA	APEX - OLD RALEIGH ROAD FROM LAKE PINE DRIVE TO CARY LIMITS	44111.3.F2	U-5530AA - CON - APEX	Construction	10/15/2014	REL ACPT	#	WAKE	15002702999	Local Government Match_Statewide	810.96	810.96		
U-5530AA	APEX - OLD RALEIGH ROAD FROM LAKE PINE DRIVE TO CARY LIMITS	44111.3.F2	U-5530AA - CON - APEX	Construction	10/15/2014	REL ACPT	#	WAKE	15002731M23OR	Urban Over 200K Population-Raleigh	140,000.00	104,957.76	140,000.00	104,957.76
U-5530AA	APEX - OLD RALEIGH ROAD FROM LAKE PINE DRIVE TO CARY LIMITS	Result									154,810.96	105,795.35	154,000.00	104,884.39
U-5530AB	APEX - ALONG THE WEST SIDE OF TINGEN ROAD FROM THE APEX ELEM	44111.1.F3	U-5530AB - PE - APEX	Prel Eng	01/14/2014	REL ACPT	#	WAKE	15002702999	Local Government Match_Statewide	336.22	336.22		
U-5530AB	APEX - ALONG THE WEST SIDE OF TINGEN ROAD FROM THE APEX ELEM	44111.1.F3	U-5530AB - PE - APEX	Prel Eng	01/14/2014	REL ACPT	#	WAKE	15002731M23OR	Urban Over 200K Population-Raleigh	336.00	336.00	336.00	336.00
U-5530AB	APEX - ALONG THE WEST SIDE OF TINGEN ROAD FROM THE APEX ELEM	44111.1.F3	U-5530AB - PE - APEX	Prel Eng	01/14/2014	REL ACPT	#	WAKE	15007101999	FHWA Construction State Match HTF	0.21	0.21		
U-5530AB	APEX - ALONG THE WEST SIDE OF TINGEN ROAD FROM THE APEX ELEM	44111.2.F3	U-5530AB - RW - APEX	Right of Way	04/29/2014	REL ACPT	#	WAKE	15002702999	Local Government Match_Statewide	105.37	105.37		
U-5530AB	APEX - ALONG THE WEST SIDE OF TINGEN ROAD FROM THE APEX ELEM	44111.2.F3	U-5530AB - RW - APEX	Right of Way	04/29/2014	REL ACPT	#	WAKE	15002731L23ER	STP >200K POP-RALEIGH-SAFETEA-LU EXT	7,473.00	7,473.00	7,473.00	7,473.00
U-5530AB	APEX - ALONG THE WEST SIDE OF TINGEN ROAD FROM THE APEX ELEM	44111.2.F3	U-5530AB - RW - APEX	Right of Way	04/29/2014	REL ACPT	#	WAKE	15007101907	FHWA State Match FY15 Transfer	0.37	0.37		
U-5530AB	APEX - ALONG THE WEST SIDE OF TINGEN ROAD FROM THE APEX ELEM	44111.3.F3	U-5530AB - CON - APEX	Construction	08/07/2014	REL ACPT	#	WAKE	15002702999	Local Government Match_Statewide	1,803.28	1,803.28		
U-5530AB	APEX - ALONG THE WEST SIDE OF TINGEN ROAD FROM THE APEX ELEM	44111.3.F3	U-5530AB - CON - APEX	Construction	08/07/2014	REL ACPT	#	WAKE	15002731L23ER	STP >200K POP-RALEIGH-SAFETEA-LU EXT	4,527.00	1,460.00	4,527.00	1,460.00
U-5530AB	APEX - ALONG THE WEST SIDE OF TINGEN ROAD FROM THE APEX ELEM	44111.3.F3	U-5530AB - CON - APEX	Construction	08/07/2014	REL ACPT	#	WAKE	15002731M23OR	Urban Over 200K Population-Raleigh	77,684.00	77,684.00	77,684.00	77,684.00
U-5530AB	APEX - ALONG THE WEST SIDE OF TINGEN ROAD FROM THE APEX ELEM	44111.3.F3	U-5530AB - CON - APEX	Construction	08/07/2014	REL ACPT	#	WAKE	15007101999	FHWA Construction State Match HTF	0.76	0.76		
U-5530AB	APEX - ALONG THE WEST SIDE OF TINGEN ROAD FROM THE APEX ELEM	Result									92,248.23	89,188.23	90,000.00	86,942.00
U-5530GA	FUQUAY-VARINA - PARK-DEPOT GREENWAY TRAIL IN THE TOWNS OLD	44111.1.F8	U-5530GA - PE - FUQUAY-VARINA	Prel Eng	03/11/2014	REL ACPT	#	WAKE	1500271M001R	Transp AE Prog >200K Raleigh	85,000.00	73,670.89	85,000.00	73,670.89
U-5530GA	FUQUAY-VARINA - PARK-DEPOT GREENWAY TRAIL IN THE TOWNS OLD	Result									85,000.00	73,670.89	85,000.00	73,670.89
U-5530GB	FUQUAY-VARINA - BRIDGE STREET PEDESTRIAN IMPROVEMENTS, CONST	44111.1.11	U-5530GB - PE - FUQUAY-VARINA	Prel Eng	12/03/2015	REL ACPT	#	WAKE	15002731M23OR	Urban Over 200K Population-Raleigh	84,000.00	58.21	84,000.00	58.21
U-5530GB	FUQUAY-VARINA - BRIDGE STREET PEDESTRIAN IMPROVEMENTS, CONST	Result									84,000.00	58.21	84,000.00	58.21

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 22 Deadlines

- January – May 2021
 - Public Involvement
 - TIP & STIP Amendment Process
 - CMAQ Applications
 - Executive Board adopts project list
 - Training for LAPP selected project managers
- February – September 2021
 - Municipal Agreements signed by local gov.
 - Municipal Agreements signed by NCDOT
 - FTA Request for Draft Grant # for Transit Flex Projects
 - **SEPTEMBER 15, 2021: ALL AGREEMENTS MUST BE SIGNED OR FUNDS MAY BE PROGRAMMED TO ANOTHER SHOVEL READY PROJECT – THIS IS A CRITICAL DEADLINE**
- October 1, 2021 – September 30, 2022
 - FFY 22 LAPP Funds Obligated
 - **SEPTEMBER 15, 2021: FINAL CHANCE FOR FFY2021 TRANSIT FUNDS TO BE FLEXED TO FTA AND FFY2020 ROADWAY AND BIKE/PED PROJECT TO RECEIVE AUTHORIZATION – THIS REQUIRES FINAL SUBMITTALS TO NCDOT IN JUNE THROUGH JULY, 2021**

LAPP - FFY 22 Deadlines

- June 2022
 - Target deadline for obligation of all LAPP funds
 - Consideration given to reprogramming funds that are not anticipated to be obligated before October
- October 2022
 - All unobligated funds for LAPP projects eligible for de-programming
- NOTE: Upon obligation of funds for any particular project phase, the applicant has the obligation year plus two more years to complete the project and expend the funds authorized for that project phase.
- NOTE: Since funds are anticipated to be over-programmed (i.e., more funds will be programmed for projects than may be actually available for projects) annually, applicants are encouraged to achieve obligation as quickly as possible for each phase requested through LAPP.

Typical Project Delivery Steps

Agreement

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

- *Procuring Professional Services*

Environmental Document (required)

Location and Design Approval (required)

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

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

Right of Way Certification (required)

Utility / RR Certification (required)

Contract Proposal and Estimate (PS&E) (required)

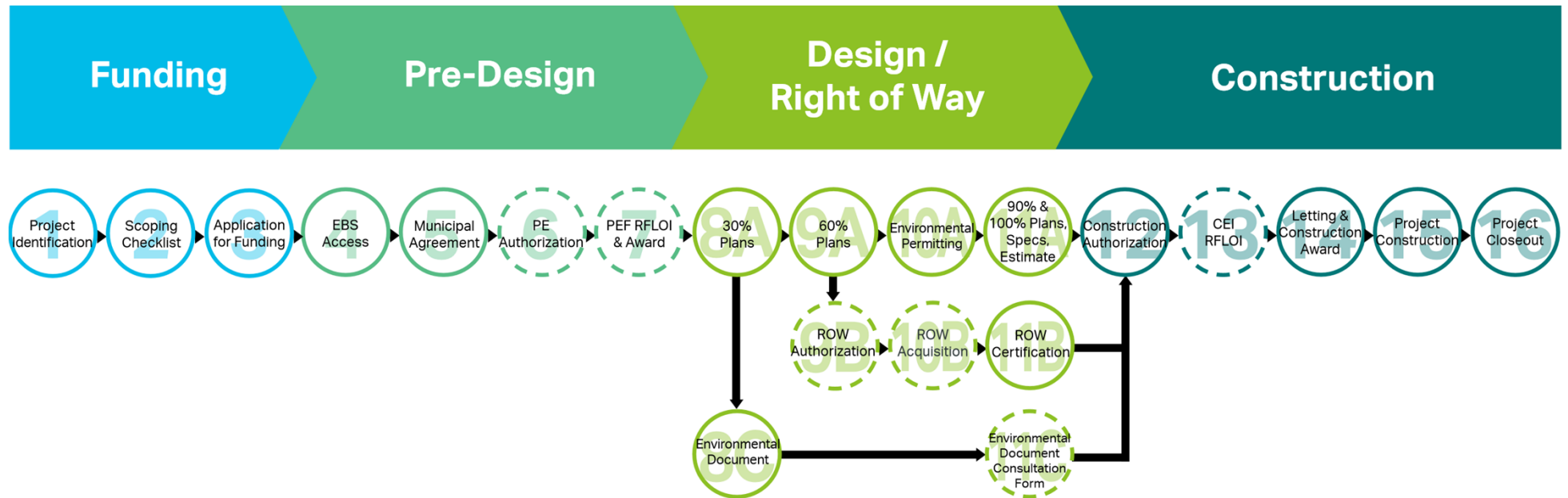
-----Construction Authorization-----

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

Final Inspection (required)

- *Final Reimbursement*

Project Delivery Steps



Link to Scoping Guidance Document:

<https://connect.ncdot.gov/projects/BikePed/Documents/BikePed%20Project%20Scoping%20Guidance%20for%20Local%20Governments.pdf>

Questions?


Contacts:

Gretchen Vetter

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