**Local Government Managed Project Initiation Checklist and Form**

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| Below you will find a checklist that will aid you in the process of establishing a federally or state-funded project that your agency wishes to manage and let to construction. Please check off the items in the checklist below to be sure that you have all of the necessary information that is required for the process of beginning a new project. A detailed description of each item is located on the following pages and in the Local Government Guidelines Manual. When complete, submit this form to local.programs@tn.gov.

|  |  |  |
| --- | --- | --- |
| 1. | [ ]  | Description of the Project |
|  | [ ]  | Location Map (attachment) |
|  | [ ]  | Description of Project Limits |
|  | [ ]  | Length of Project |
|  | [ ]  | Functional Classification (if applicable) |
|  | [ ]  | Anticipated Project Budget |
| 2. | [ ]  | List of Consultants Involved in Project (If not seeking reimbursement) |
| 3. | [ ]  | Local Government’s Procurement Policy (Form 1-2, attachment) |
| 4. | [ ]  | Local Government’s Experience |
| 5. | [ ]  | Resumes/Qualifications for Local Government staff (attachment) |
| 6. | [ ]  | Responsible Charge Form |
| 7. | [ ]  | List of Civil Rights Coordinator(s), Title VI, DBE Liaison |
| 8. | [ ]  | Copy of any Agreements / Contracts / MOU Or Certification of Compliance Regarding Third Party Contracts (attachment) |
| 9. | [ ]  | Proprietary Items |
| 10. | [ ]  | Method of Bidding Statement (attachment) |
| 11. | [ ]  | Copy of TDOT Right-of-Way Training Certificate (attachment) |
| 12. | [ ]  | Copy of Local Government Guidelines Manual Certificate (attachment)  |
| 13. | [ ]  | Copy of Local Government CEI Certificate (attachment) |
| 14. | [ ]  | Most Recent Audit (attachment or link) |
| 15. | [ ]  | Purpose and Need Statement (attachment) |
| 16. | [ ]  | Donated Services or Land (Federally Funded Only) (attachment) |
| 17. | [ ]  | Copy of the TIP Page (attachment) |
| 18. | [ ]  | Copy of Traffic Study Warrant for New Signal (attachment) |
| 19. | [ ]  | Copy of the ITS Project Identification Form (attachment) |
| 20. | [ ]  | ADA Transition Plan (link) |
| 21. | [ ]  | Authorized Signatures  |

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|       |  |       |
| Date |  | Local Government |
|  |  |  |
| Local Government Official /Project Supervisor |  |  |

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1. Please see Chapter 3 Getting Started of the TDOT Local Government Guidelines for the Management of Federal and State Funded Transportation Projects for additional details and information.

|  |  |
| --- | --- |
| **Date:** |       |
| **County:** |       | **PIN (if applicable):**       |
| **Route:** |       |
| **Functional Class:** |       |
| **Log Mile:** | **From:** |       | **To:** |       |
| **Project Description:** |       |
| **Does Project Affect Railroad?** | **Yes** [ ]  | **No** [ ]  | **Match Amount** | $      |
|  |  |  | **Funding Type** |       |
| **Anticipated Project Budget:** | PE (NEPA)      | Design      | ROW      | Construction\*      |

*\* CEI and TDOT oversight needs to be taken into consideration when doing the construction estimate*

1. Please list the Consultants involved in current or previous phases of the project. These services will not be eligible for reimbursement.

|  |  |  |
| --- | --- | --- |
| **Names** | **Qualifications** | **Responsibilities** |
|       |       |       |
|       |       |       |
|       |       |       |
|       |       |       |
|       |       |       |

1. Please attach the Local Government’s consultant section and procurement policy ([Form 1-2](http://www.tn.gov/assets/entities/tdot/attachments/1-2_Local_Version_of_TDOT_selection_policy.docx)).
2. Please describe the Local Government’s experience in managing projects similar to the one being contemplated.

Click here to enter text.

1. Please attach resumes and/or statement of qualifications for each Local Government Employee that will be involved in the project.
2. Responsible Charge Form

**In accordance with Federal Regulation 23 CFR 635.105, the Local Government must provide a full time employee of the Local Government to be in “responsible charge” of the project. This person does not have to be an engineer. This person is required even when consultants have been retained by the LG to manage the entity’s engineering activities, including design and construction engineering and inspection services. Complete this page for each phase or check all phases if applicable.**

**NOTE: The regulation does not require the same public employees to be in responsible charge over several projects. It allows for the transfer of responsible charge duties for different phases, i.e. design and construction. If design and construction duties are handled by separate individuals on a project, please identify each employee and the phase of the project they are responsible for. (Note: Only one employee per phase should be listed.) It is also the LGs responsibility to notify the LPDO if the Responsible Person in Charge changes during any phase or duty.**

|  |  |
| --- | --- |
| **Project Name:** |       |
| **PIN (if applicable):** |       |
| **Local Government:** |       |
| **Name of Responsible Person:** |       | **Title:**       |
| **Address:** |       |
| **Office Phone:** |       | **Cell Phone:** |
| **Email:** |       |
| **Phases Responsible for:** | [ ]  PE (NEPA) | [ ]  Design | [ ]  ROW | [ ]  Construction |
|

|  |
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|  |
| **Signature (Responsible Person for the Local Government)** |

**Duties may include but are not limited to:** |
|  | This person acts as the primary point of contact for the LG |
|  | Oversees project activities; cost, time adherence to contract requirements, design and construction quality and scope |
|  | Ensures the contract is properly recorded |
|  | Directs project staff, agency or consultant, to carry out project administration and contract oversight including proper documentation |
|  | Is aware of the qualifications, assignments and on-the-job performance of the agency and consultant staff at all stages of the project |
|  | Makes or participates in decisions about changed conditions or scope changes that require change orders or supplemental agreements |
|  | Reviews financial processes, transactions and documentation to ensure that safeguards are in place to minimize fraud, waste and abuse |
|  | Maintains familiarity of day to day project operations & safety issues |
|  | Visits and reviews the project on a frequency that is proportionate with the magnitude and complexity of the project |
|  | Attends all project related meetings |

1. Please list the Civil Rights Staff / Coordinators involved in the project.

|  |  |  |
| --- | --- | --- |
| **Names** | **Qualifications** | **Responsibilities** |
|       |       |       |
|       |       |       |
|       |       |       |

1. Attach a copy of any agreements, contracts, memorandums of understanding or other legal instruments the Local Government has entered into with parties other than TDOT that may have bearing on or affect the project in any way. If there are no such agreements, attach the Local Government signed affidavit to that effect.
2. Information about any proprietary items the Local Government may wish to use in its performance of the contract. [Proprietary items](http://www.fhwa.dot.gov/construction/cqit/propriet.cfm) are those that can be obtained from **only one source**. Federal law requires pre-approval of these items before they can be used. More information can be found in the Local Government Guidelines.

|  |  |  |
| --- | --- | --- |
| **Item Number** | **Description** | **Source** |
|       |       |       |
|       |       |       |
|       |       |       |
|       |       |       |
|       |       |       |

1. Attach a statement about the method of construction the Local Government wishes to use for the project. [Federal law requires that the competitive method of construction (let to contract)](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=4326b3462801c075d9d260366f1f811e&rgn=div5&view=text&node=23:1.0.1.7.23&idno=23) be used unless there is TDOT pre-approval of some other method of construction.
2. Right-of-Way Training Certification

|  |  |  |  |
| --- | --- | --- | --- |
|   |  | YES | [ ]  |
|  |  |  |  |

NO[ ]

1. Local Programs Training Certification

|  |  |  |  |
| --- | --- | --- | --- |
|   |  | YES | [ ]  |

NO[ ]

1. Local Programs Construction Engineering and Inspection (CEI) Certification

|  |  |  |  |
| --- | --- | --- | --- |
|   |  | YES | [ ]  |

NO[ ]

[Local Programs Training Schedule](http://www.tn.gov/tdot/topic/local-programs-training)

\*It is prudent the Local Government request to see these certifications from interested engineering firms during the procurement process as well.

1. Local Government shall attach a certification from an appropriate fiscal officer. This certification must state the Local Government has sufficient accounting controls to properly manage federal funds. Local Governments receiving funds under this program are subject to compliance audits (A-133 Audit Documentation) by the TDOT Finance Office.
2. Attach the purpose and need statement for the reasoning behind the project, which will be included in the environmental document. This can include items such as traffic congestion problems, economic development/growth, safety concerns, etc.
3. For federally funded projects, if any services or land have been or will be donated, attach documentation for those transactions.
4. Attach a copy of the Transportation Improvement Program (TIP) project page, if the project is located within a Metropolitan Planning Organization area (cities with populations of 50,000 and over).
5. If a new traffic signal will be installed as part of the project, attach the traffic study warrant to show the new signal is justified.
6. Attach a copy of the signed Tennessee ITS Project Identification Form if the project is potentially an Intelligent Transportation System (ITS) type project.
7. If the Local Government has over 50 employees, an ADA Transition Plan is required. Please provide a link to the Local Government’s ADA Transition Plan and the name of the ADA Coordinator:

|  |  |
| --- | --- |
| **ADA Coordinator Name** | **Link to ADA Transition Plan** |
|       |       |

Plan Not Complete [ ]  Plan Not Applicable [ ]

1. The Local Government shall provide the Local Program Development Office with the \*signatures of persons authorized to sign as “Local Government Project Supervisor” and “Local Government Official”. The Local Program Development Office will verify the original signatures on each invoice submitted for payment. Invoices received that do not contain the original signature of an authorized person will not be submitted to the TDOT Finance Office for payment.

**\*See next page for authorized signature form.**

**DUNS Number and Authorized Signature Form**

|  |
| --- |
|  **DUNS Number** |
| DUNS Number      | Address (must include 9-digit zip code)      |
| Physical Address of Project (must include 9-digit zip code)      |
| **Authorized Signatures** |
| **A minimum of two (2) signatures must be shown to permit flexibility in making requests for reimbursement.**  |
| Typed Name and Title      | Signature |
| Typed Name and Title      | Signature |
| Typed Name and Title      | Signature |
| Typed Name and Title      | Signature |
| **I certify that the signatures of the above individuals are only those persons authorized to sign for the reimbursements requests.** |
| Signature of Highest Elected Official Date |

*A new form must be submitted whenever authorized signers change (Form 9-1)*