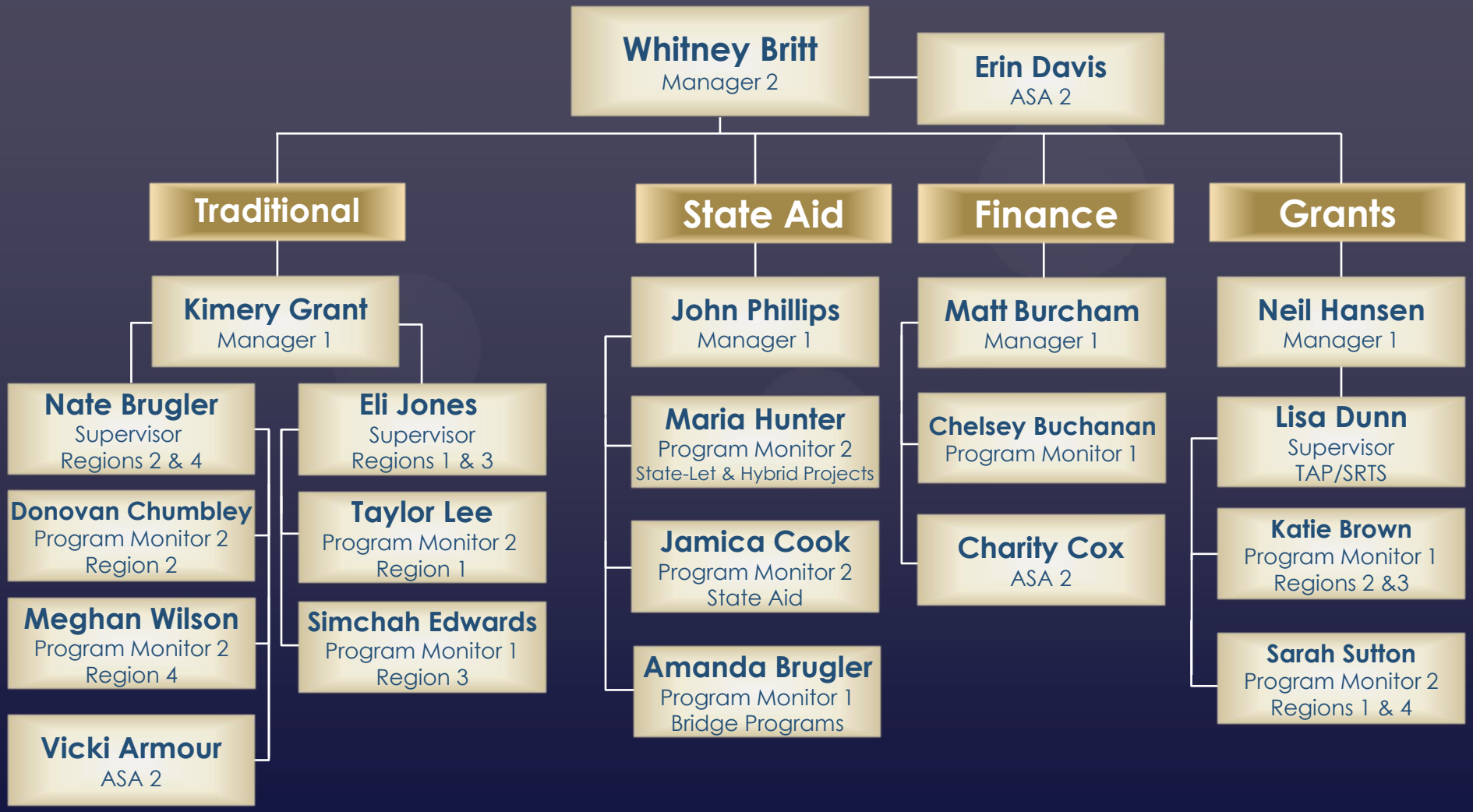
Local Programs Development Office

{ Local Government Guidelines Manual Training

TN TDOT Department of Transportation

Organizational Chart



We are Your Main Point of Contact

Your contacts for the following programs: Transportation Alternatives Program (TAP), Safe Routes to Schools, and Multimodal Access Grants:

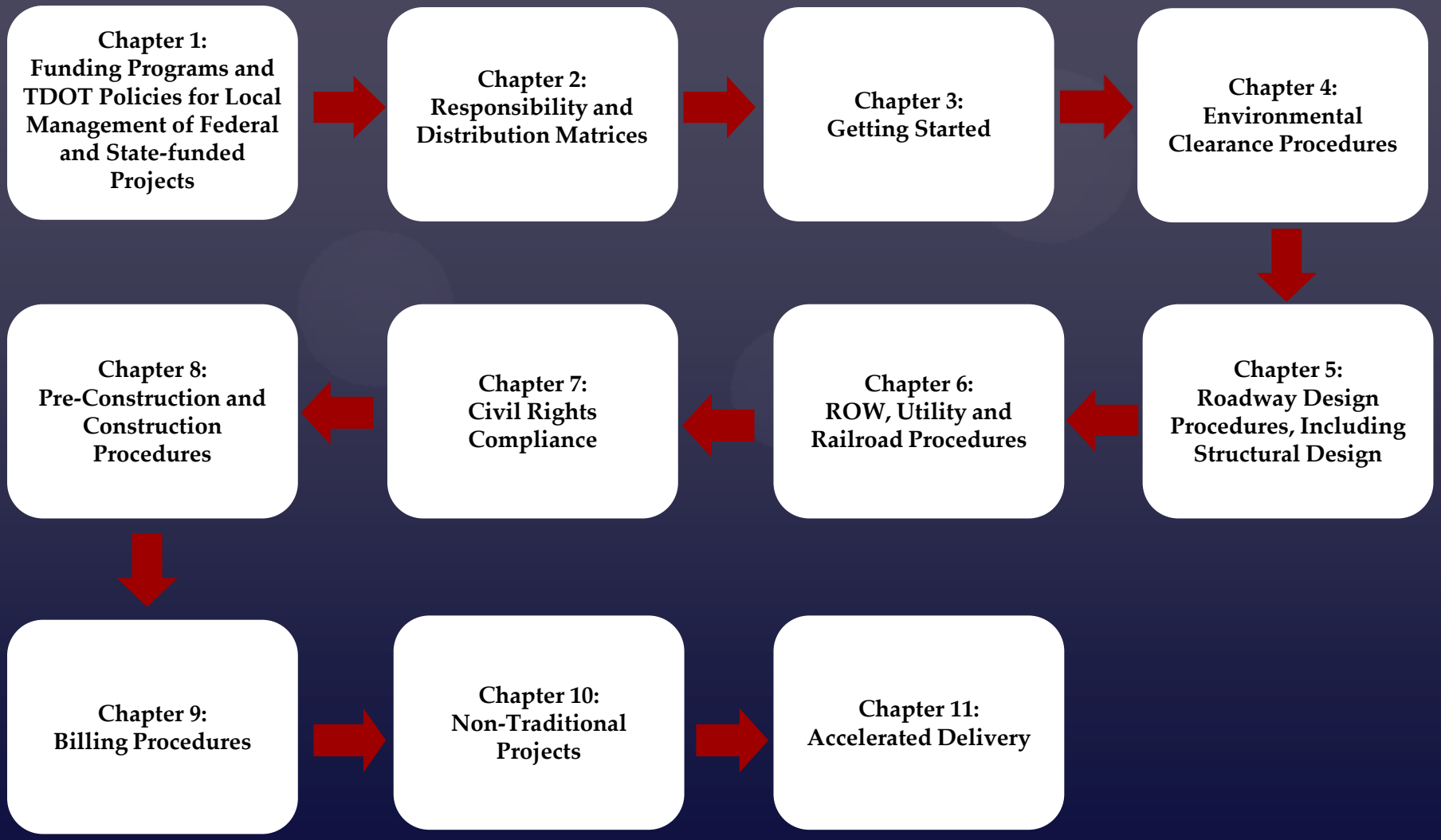
Regions 1 & 4	Sarah Sutton
Regions 2 & 3	Katie Brown
State Managed and Deposits	Maria Hunter

We are Your Main Point of Contact

Your contacts for the following programs: Congestion Mitigation and Air Quality (CMAQ), Surface Transportation Block Grant (STBG), Roadscapes, Local Interstate Connector (LIC), Federal Lands Access Program (FLAP), and State Industrial Access (SIA):

Region 1	Taylor Lee
Region 2	Donovan Chumbley
Region 3	Simchah Edwards
Region 4	Meghan Wilson

Chapters Flow Chart



The Local Government Guidelines (LGGM)

LGGM

Edition Online:

Seventh Edition –

March 9, 2018

TENNESSEE DEPARTMENT OF TRANSPORTATION

IN COOPERATION WITH
THE FEDERAL HIGHWAY ADMINISTRATION

LOCAL GOVERNMENT GUIDELINES FOR THE MANAGEMENT OF FEDERAL AND STATE-FUNDED TRANSPORTATION PROJECTS

ISSUED BY THE PROGRAM DEVELOPMENT AND ADMINISTRATION DIVISION

SEVENTH EDITION

MARCH 9, 2018

https://www.tn.gov/content/dam/tn/tdot/programdevelopment/localprograms/documents-and-forms/LGG_Manual.pdf

LGGM Forms

www.tn.gov/tdot/topic/local-programs-documents-and-forms

Most Visited | IBM FileNet Workplace... | Web Slice Gallery | WordPress.com › Log In | Young Professionals in... | CMS Website

Driver how do I... | Business how do I.. | Government how do I | Find local information | Contact TDOT | Sitemap | Index of Services

Local Programs

- Funding Options
- **Documents and Forms**
- Reimbursement Guidance
- Training
- Current Projects
- Transportation Alternatives Program
- Staff

Documents and Forms

The documents provided on this website are outlined in the Local Government Guidelines below. Refer to the manual for additional information. Local governments should start using the new forms and documents immediately for their projects.

Local Government Guidelines Manual

Local Government Guidelines Manual, Sixth Edition, March 1, 2016 Adobe PDF

Forms, Checklists & Letter Templates

- CHAPTER 1: Funding Programs and TDOT Policies
- CHAPTER 3: Getting Started
- CHAPTER 5: Roadway Design Procedures, Including Structural Design
- CHAPTER 6: Right-of-Way, Utility, and Railroad Procedures
- CHAPTER 7: Civil Rights Compliance
- CHAPTER 8: Pre-Construction and Construction Procedures
- CHAPTER 9: Billing Procedures
- CHAPTER 11: Accelerated Delivery
- Other Policies and Further Guidance

https://www.tn.gov/tdot/program-development-and-administration-home/local-programs/documents-and-forms-.html

6 Phases in Project Development

1. Eligibility Determination
2. NEPA Phase
3. Design Phase
4. Right of Way Phase
5. Construction Phase
6. Project Closeout

Overview

- LPDO is the single point of contact for:
  - Project Correspondence
  - Submittals
  - Project Coordination
- A checklist is provided for project milestones
- If guidelines are not followed, withdrawal of all federal and/or state funding may occur

When Contacting Us, Please Provide…

- Project Title
- Project Location (City and County)
- Project Identification Number (PIN), an eight digit number (Example: 115881.00) assigned to each specific project
- PIN must also be referenced on all correspondence and reimbursement requests

Document, Document, Document

- Assume every project you manage will be audited.
- All steps, regulations and procedures are in place to ensure that nobody misuses taxpayer funds.

Federal Programs

Surface Transportation Block Grant (STBG)

- Match – 80% federal/20% local
  - Some items are 100% federally eligible
- Eligible project types– resurfacing, roadway widening, sidewalks, intersection improvements, etc.
  - Eligible STBG Items
- Funds are appropriated based on population
- Formerly Surface Transportation Program (STP)

Surface Transportation Block Grant (STBG)

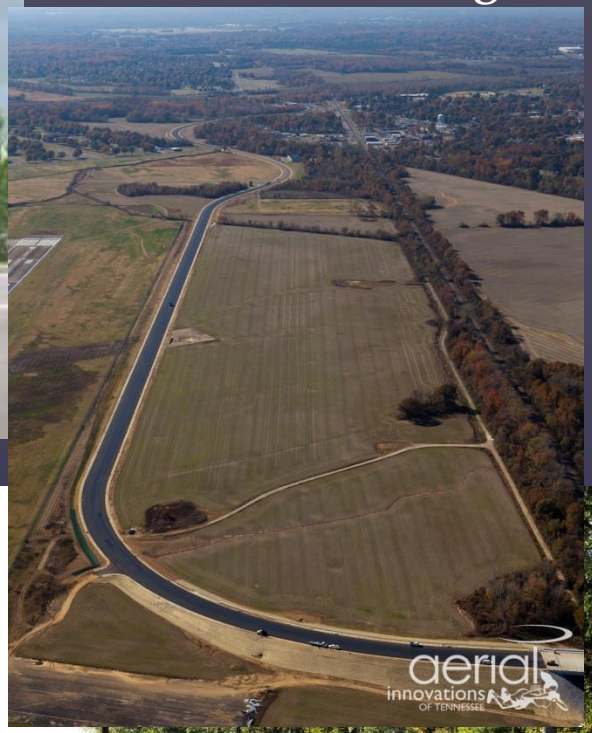
- Appropriations:
  - Metropolitan/Urbanized Areas (populations over 200,000)
  - Small MPOs (populations between 50,000 and 200,000)
  - Small Cities (populations between 5,000 and 50,000)

Shelbyville

Traffic Signals

Millington

New Alignment



Portland

Street Improvements

New Alignment

Germantown

Bridge Replacement and Rehabilitation (BRR)

- Match – 80% federal/20% local
  - Can use State Aid to offset match
- Eligible project types – off-system bridges
- How to apply – TDOT will develop planning report based on bridge rating and offer bridge to Local Government (LG)

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State Programs

High Priority Bridge Replacement Program (HPBRP)

- No match
  - To be eligible for no match, County must commit 33% of their State Bridge Grant funds to projects on bridge program list
- Eligible project types – off-system bridges on the bridge program list https://www.tn.gov/content/dam/tn/tdot/programdevelopment/stateprograms/2018-2020_Bridge_Program.pdf

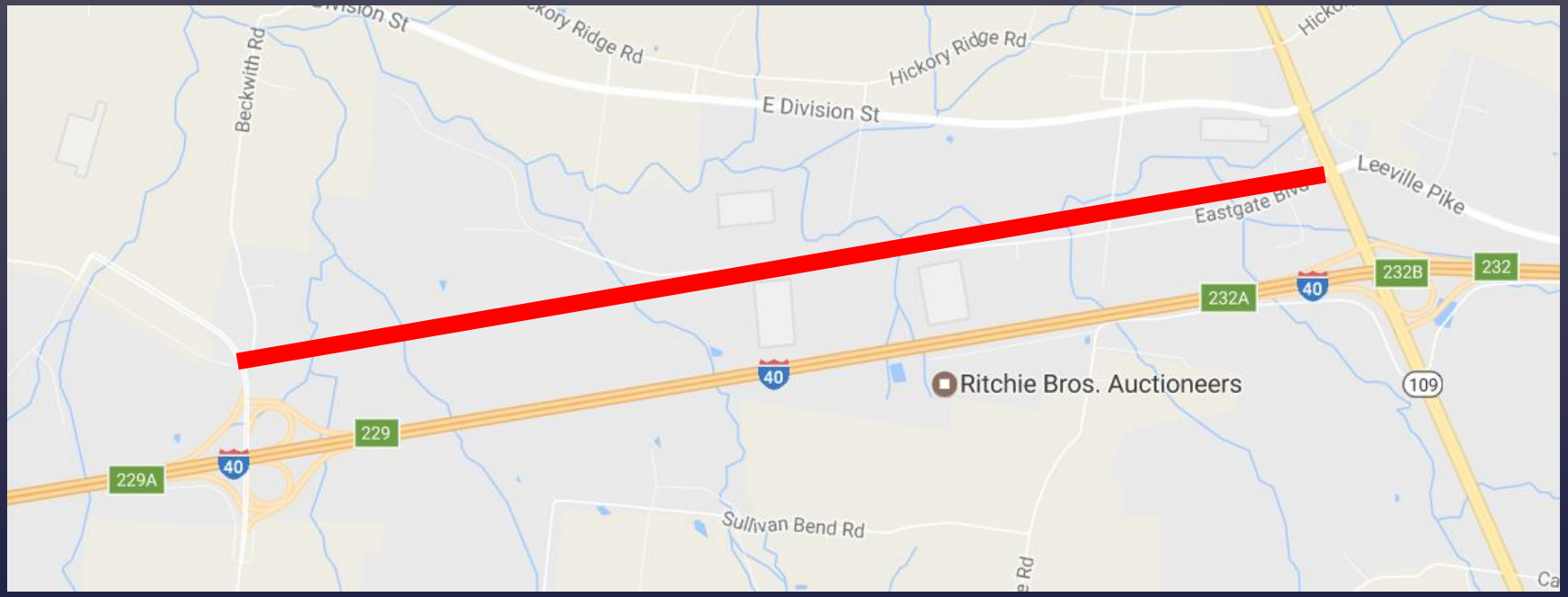
Interchange Lighting

- Match – 50% state/ 50% local
  - Can use federal funds to offset match
- Project types – lighting of an interchange
- How to apply – send request letter to Commissioner

© DALE SAWYER

Local Interstate Connector (LIC)

- Match - 50% state/ 50% local
- Project types – connects an interstate to an area of local interest (another major road, industrial park, etc.)
- Cap - $4 million (total)
- How to apply – send a request letter to the Commissioner with resolution and location map


Hickory Ridge Rd
Hickory Ridge Rd
E Division St
Beckwith Rd
Leeville Pike
Eastgate Blvd
232B
232
232A
40
40
Ritchie Bros. Auctioneers
109
229
229A
40
Sullivan Bend Rd

State Industrial Access (SIA)

- Match – ROW-50% state/50% local, Design & Construction-100%
- Project types – New or improved access road to a new or expanding industry
- How to apply – contact Danielle Hagewood (615-253-2521)

Grant Opportunities

Congestion Mitigation and Air Quality (CMAQ)

- Match – 80% federal/20% local
- Eligible project types (must be in non-attainment or maintenance area):
  - Strategic Initiatives – park and ride, transit, diesel retrofit
  - General Call – traffic flow improvement, bike/pedestrian improvements
- https://www.tn.gov/tdot/long-range-planning-home/longrange-policy/cmaq-funding.html
- Contact – Brianna Benson (615-532-8589)

Multimodal Access Grant

- Not currently accepting applications
  - https://www.tn.gov/tdot/multimodal-transportation-resources/multimodal-access-grant.html
  - Match – 95% state/ 5% local
- Cap – $1 million
- Eligible project types - sidewalks, bicycle lanes, road diets, separated bicycle facilities
- Contact – Byron Head (615-837-5463)

Transportation Alternatives Program (TAP)

- Applications will be due in October 2019
  - https://www.tn.gov/tdot/program-development-and-administration-home/local-programs/tap.html
  - Match – 80% federal/ 20% local
- Eligible project types – pedestrian facilities, scenic overlooks, historic preservation, safe routes for non-drivers
- Contact – Neil Hansen (615-741-4850)

Alcoa Pedestrian Bridge

Gallatin Greenway

Distribution Matrix

CHAPTER 2 - DISTRIBUTION MATRIX

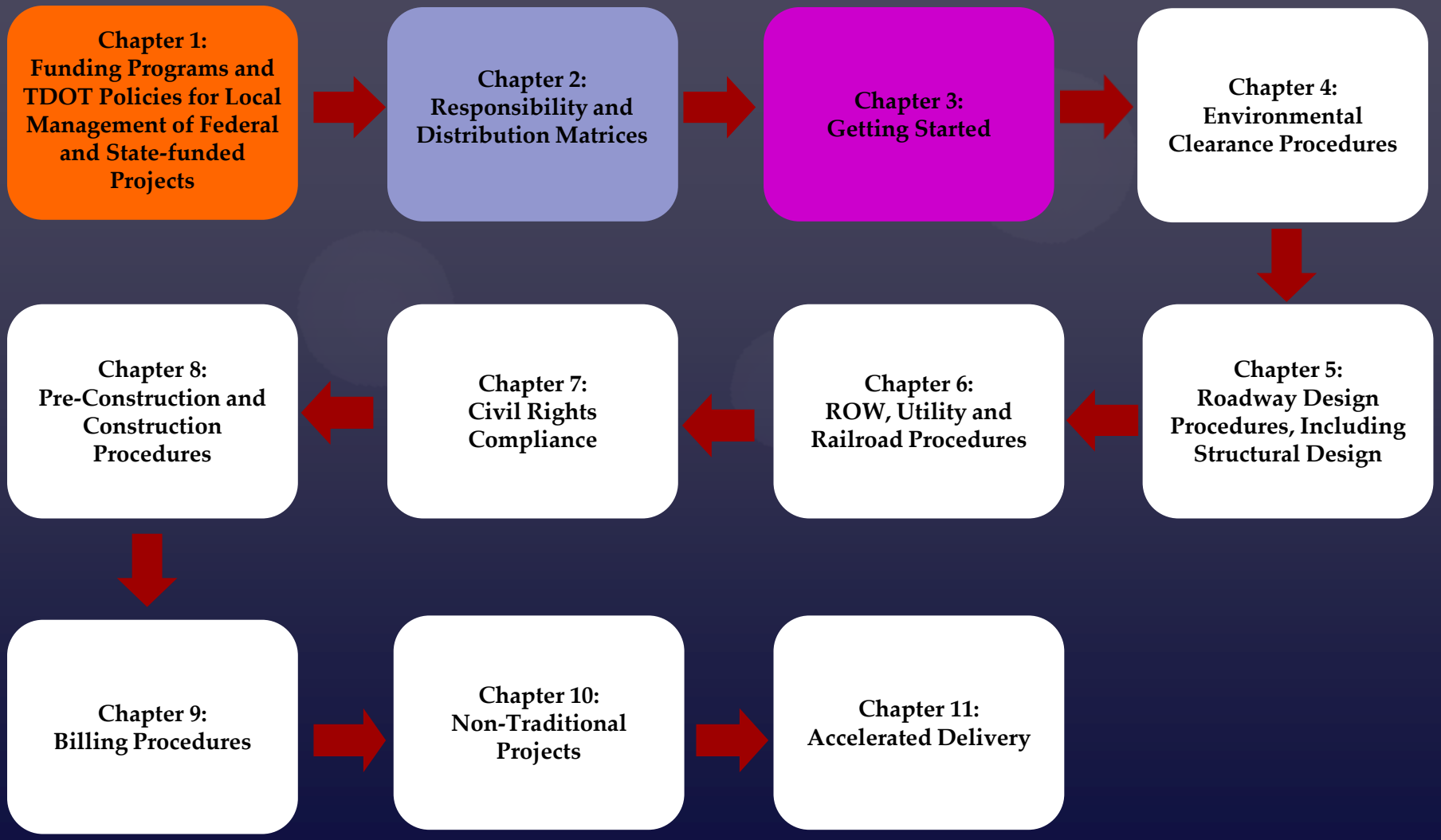
The Local Programs Development Office (LPDO) acts as guardian to all phases in locally managed projects in order to establish accountability and to ensure that all activities meet applicable standards. The office provides "Notice to Proceed" documents for NEPA, Design, Right-of-Way (ROW), and Construction phases of project development. Overall, the LPDO is TDOT's main point of contact for project correspondence and submittals throughout the life of a project. During certain phases of project development, the LG will be requi provide information directly to TDOT personnel and/or other entities. For projects in through TDOT eGrants, when the recipient is listed as LPDO the document should typica submitted directly through the eGrants system. Documents listed in Table 2-1 shou distributed as follows.

Table 2-1 - Distribution Matrix

Document Type	Recipients	When	Notes
TDOT Policies			
Responsible Charge Form (Form 1-1)	Local Programs Development Office	During initiation and updated as needed	This is also part of t Initiation Packet (Form 3-1).
TDOT Selection Policy (Form 1-2)	Local Programs Development Office	During project initiation	
Consultant Advertisement Template (Form 1-3)	Local Programs Development Office	Prior to advertising for a consultant	TDOT approval requi
Consultant Advertisement, Procurement Process, Consultant Contract	Local Programs Development Office	After NTP for NEPA	This submittal normally place after the NTP NEPA; however, cons procurement can hap prior to the NEPA Phas reimbursement is expe
Design			
Proprietary Product Letter Template (Form 5-1a and 5-1b)	Local Programs Development Office	During the Design Phase, if applicable and prior to completion of the ROW plans	A justification letter from the LG must accompany the letter template.
Design Exception Request and Justification Form (Form 5-2)	Local Programs Development Office	If applicable, as soon as a design exception is known	
Preliminary Plans	Local Programs Development Office	The first plan submittal in the Design Phase	The Local Programs Development Office will submit to the necessary TDOT divisions for review.
ROW Plans	Local Programs Development Office	The second plan submittal in the Design Phase	The Local Programs Development Office will submit to the necessary TDOT divisions for review.
Final ROW Plans	Local Programs Development Office	Required prior to moving to the ROW Phase	Submittal only.
Construction Plans	Local Programs Development Office	During the ROW Phase	LPDO will submit to the necessary TDOT divisions for review.
Preliminary Construction Estimate	Local Programs Development Office	With the Final ROW plan submittal, updated every 12 months	Submittal only
Preliminary Bridge Layout	Local Programs Development Office	Submitted with Form 5-3	LPDO will submit to TDOT Structures for review.
Design Policies Checklist and Certification (Form 5-3)	Local Programs Development Office	Required with every plan submittal	
Structures Design Checklist (Form 5-4)	Local Programs Development Office	Required with all structures plan submittals	
Final Bridge Plans	Local Programs Development Office	During the ROW Phase, submitted with Form 5-3	LPDO will submit to TDOT Structures for review
Hydraulic Model Files with Hydraulic Design Summary	Local Programs Development Office	During the ROW Phase along with the hydraulic layout sheet	LPDO will submit to TDOT Structures for approval

Questions?

Chapters Flow Chart



Competitive Grant Application Programs

TN TDOT Department of Transportation

FY2019 TRANSPORTATION ALTERNATIVES APPLICATION

☐ Check box if re-submittal of a previously non-awarded application. Provide the year of last submission: _____

☐ Check box if application was also submitted to the Chattanooga, Knoxville, Nashville, or Memphis MPO/TPO for TAP funding consideration

FOR TDOT USE ONLY *Do Not Write In This Box*	
Eligible Applicant:	___ Yes ___ No
Eligible Project:	___ Yes ___ No
Adequate Scope:	___ Yes ___ No
Adequate Map:	___ Yes ___ No
Adequate Funding:	___ Yes ___ No
TDOT Budget Template:	___ Yes ___ No
TDOT Line Item Nos.:	___ Yes ___ No
Public Involvement:	___ Yes ___ No
Signed Application:	___ Yes ___ No
_____ TDOT Approval	_____ Date

Project Title:	
Priority Ranking (If multiple applications submitted by applicant):	
Project County:	
Physical Project Address including 9-digit zip (not the address of applicant):	
Current Applicant Population:	**Applicant DUNS Number:**

1. Total Construction Costs (100%): $_____
   (excluding preliminary engineering/design and right-of-way expenses)
2. **FEDERAL CONSTRUCTION FUNDS REQUESTED:** $_____
   (Maximum: 80% of number 1)
3. Local Cash Match of Construction Funds: $ _____
   (Minimum: 20% of number 1)

If the application is ultimately selected for funding, please provide both an appropriate outdoor and indoor location from which to formally announce and award the project. These locations must have a physical address and provide suitable parking and accessibility for the public.

Outdoor Location Name & Address:_____

Indoor Location Name & Address: _____

Name of City/County or State Agency Applicant:
Address:

Common Mistakes:

- Not submitting an initiation packet (Form 3-1) once the grant is awarded
- Limiting the project location to a functionally classified system

TIP/STIP

- All Federally funded projects must be included in a TIP or STIP
- ITS Project Identification Form
- These items must be included in the initiation packet

ITS Projects

- **Intelligent Transportation Systems (ITS)**
- **Defined as:** ***"Any project that in whole or in part funds the acquisition of technologies or systems of technologies that provide or significantly contribute to the provision of one or more ITS user services as defined in the National ITS architecture"***
- **Examples:**
  - **Traffic signal control systems**
  - **Traffic detection/monitoring systems**

ITS Projects

- Must determine if ITS **before** placing in TIP/STIP
- Tennessee ITS Project Identification Form must be completed and submitted
  - LG submits to TDOT_ITS@tn.gov to validate if the project is an ITS project and make the risk determination
  - Risk determination defines the level of documentation needed
- Three ITS project levels determined by TDOT:
  - High Risk (require a completed Systems Engineering Analysis Report (SEAR))
  - Low Risk (require a completed Simplified Systems Engineering Analysis Report (SSEAF))
  - Non-SEA
- TDOT will notify LG if any additional documentation required
- Submit signed form with project initiation packet (Form 3-1)

Initiation Packet

TN TDOT Department of Transportation

Local Government Guidelines Form 3-1
March 9, 2018

Local Government Managed Project Initiation Checklist and Form

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

TN TDOT Department of Transportation

Local Government Guidelines Form 3-1
March 9, 2018

Local Government Managed Project Initiation Checklist and Form

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   - ☒ 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

4/6/2018
Date

Greeneville
Local Government

Joey Tribbiani
Local Government Official / Project Supervisor

TN TDOT Department of Transportation

Local Government Guidelines Form 3-1
March 9, 2018

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:	4-6-2018			
County:	Greene		**PIN (if applicable):** 115881.00	
Route:				
Functional Class:	Major Collector			
Log Mile:	**From:** 1.5		**To:** 2.6	
Project Description:	Construction of Phase III of the Fairgrounds Connector Road from the end of Phase I on Fairgrounds Circle to Rufe Taylor Road			
Does Project Affect Railroad?	**Yes** ☐	**No** ☒	**Match Amount**	$549,000
			Funding Type	L-STBG
Anticipated Project Budget:	PE (NEPA) $125,000	Design $50,000	ROW $25,000	Construction* $2,500,000

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

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

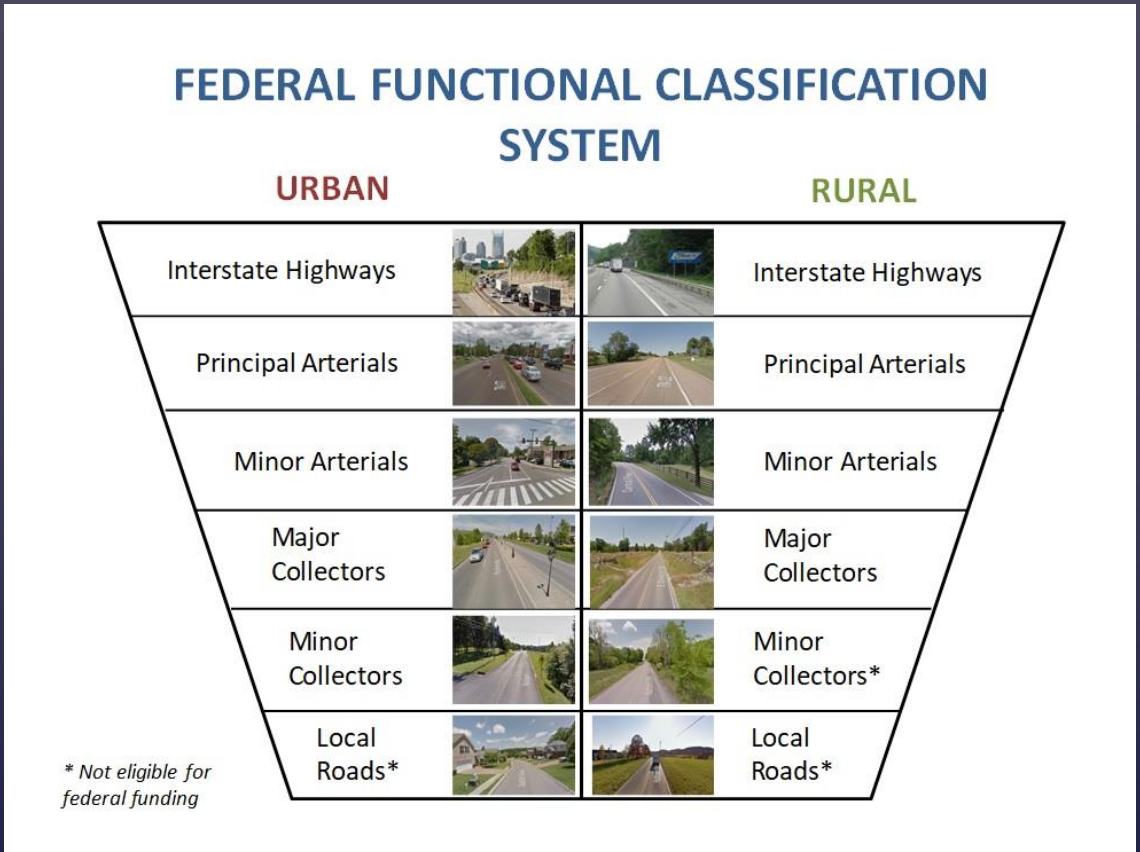
Names	Qualifications	Responsibilities
Monica Geller	P.E.	PE-NEPA

3. Please attach the Local Government's consultant section and procurement policy (Form 1-2)

4. Please describe the Local Government's experience in managing projects similar to the one being contemplated.

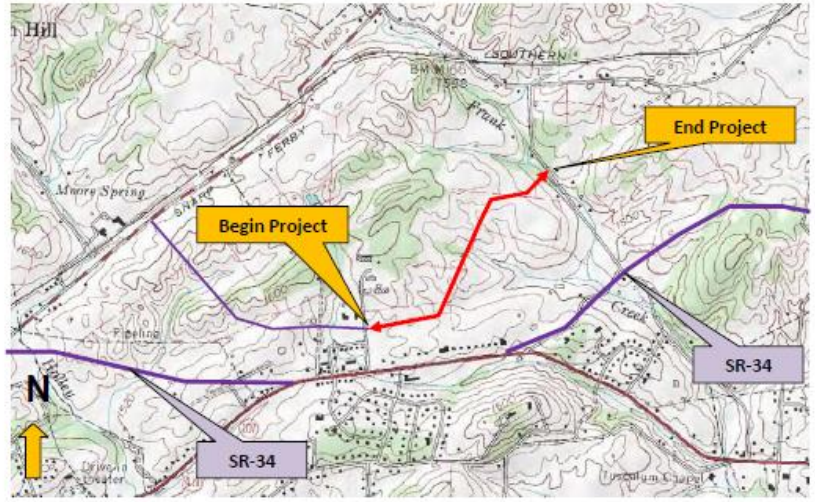
Our City Engineer has managed several Local Programs Projects. He has also completed Local Programs Guidelines and Right of Way certification training.

Functional Classifications of Roadways



- E-trims
- Long Range Planning

Project Location Map



Project Location Map – USGS Quad Greeneville (181 NE)

MAYOR
W. T. Daniels

RECORDER
James L. Warner

GREENEVILLE
TENNESSEE

ALDERMEN
Darrell M. Bryan
Buddy C. Hawk
Keith W. Paxton
Sarah E. T. Webster

March 31, 2011

PIN 115881
Contract # 110147

Local Programs Development Office
Suite 600
James K. Polk Building
Nashville, TN 37243-0341

Re: Fairgrounds Connector Road – Phase III
From Fairgrounds Circle to Rufe Taylor Road
Greeneville, TN

Description

Phase III of the Fairgrounds Connector will begin at the end of Phase I on Fairgrounds Circle and serve as a connector to Rufe Taylor Road. None of the mentioned streets are state routes or interstate highways. Phase III will be located along the southern property line of the Greene County Fairgrounds then through a privately owned parcel before intersecting with Rufe Taylor Road. The proposed road will be composed of two (2) twelve-foot travel lanes with a twelve-foot center turn lane, curb and gutter, and five-foot (5') sidewalks. The proposed right-of-way width for the project is sixty feet (60').

Purpose

The proposed road provides new and improved access between Snapps Ferry Road (a four-lane highway) and Rufe Taylor Road. When incorporated into the Tusculum View Extension and Phases I & II of the Fairgrounds Connector, Phase III will provide access for Tusculum View Elementary School, a medical office building, the Greene County Fairgrounds, and the Metro Business Park.

The alternate connections between these two streets are Old Stage Road, a narrow, meandering street that is not an ideal collector street, and East Andrew Johnson Highway (SR 34/US 11-E) which is plagued by congestion and safety concerns.

Local Government Staff

As in Phase II, the Town of Greeneville will utilize my services, to coordinate and manage the PE, Right-of-Way, and Construction phases of this project. I am a licensed engineer in the State of Tennessee and possess Levels I and II Erosion Prevention and Sedimentation Control certifications from the Tennessee Department of Environment & Conservation. I have also attended the Local Public Agency and Local Governments Guidelines Manual workshops, as required by TDOT.

The Town anticipates acquiring the services of a consultant engineering firm to perform Right-of-Way and Construction plans for this project.

Project Management

The Town of Greeneville has extensive experience in managing projects similar to the one being proposed, including Phases I and II of the Fairgrounds Connector.

Phone: 423-639-7105
TDD: 423-639-5785

200 North College St.
Greeneville, TN 37745

Fax: 423-639-0093
www.greenevilletn.org

JoeyTribiani, P.E.

OBJECTIVE

To compelte TDOT Local Program projects.

EDUCATION

University of Tennessee — Knoxville, TN
Major: Civil and Environmental Engineering
Minor: Public Relations with an Emphasis in Journalism
Graduation Date: May 2003

WORK EXPERIENCE

December 2006-Present — **City of Greeneville** — Greeneville, TN
City Engineer
Manage TDOT Local Programs Projects
Review and approve commercial and residential site plans
Create local Ordinances and Regulations

March 2006-December 2006 — **Harper, Jadon and Harlow Beard Engineering, LLC** — Nashville, TN
Transportation Designer
Conducted rural and urban roadway design for government and private clients
Prepared construction and cost estimates
Assisted in sight distance and traffic studies

Aug. 2004 – March 2006 — **Tennessee Department of Transportation** — Nashville, TN
Roadway Specialist I
Spent one calendar year rotating through various divisions of TDOT
Conducted roadway design and resurfacing projects

Jan. – Aug. 2003 & Dec. – Jan. 2003-2004 — **Baker and Lacey Engineering Consulting Services** — Nashville, TN
Cooperative education student
Performed geometric roadway design
Conducted field surveys using a total station
Assisted in revisions to TDOT drainage manual ans standard drawings

COMPUTER SKILLS

Microstation in conjunction with Geopak
Microsoft Office
ArcGIS

ACTIVITIES AND HONORS

Registered Professional Engineer in the State of Tennessee (ID No. 0524)
Young Professionals in Transportation, Deputy Chair
American Society of Civil Engineers (ASCE)
American Society of Highway Engineers (ASHE)
Erosion Prevention and Sediment Control Level I Certified
Federal Emergency Management Agency (FEMA) Certified Courses:

IS-631 Public Assistance Operations I
IS-632 Introduction to Debris Operations

6. 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:	Fairgrounds Connector Road		
PIN (if applicable):	115881.00		
Local Government:	Greeneville		
Name of Responsible Person:	Joey Tribbiani	**Title:** City Engineer	
Address:	123 Apple Street		
Office Phone:	865-555-1234	**Cell Phone: 865-123-4567**	
Email:	joey@howyoudoin?.com		
Phases Responsible for:	☒ PE (NEPA) ☒ Design	☒ ROW	☒ Construction

Joey Tribbiani

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

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

Names	Qualifications	Responsibilities
Ross Geller	Ph.D.	Title VI and DBE Coordinator

8. 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.

9. Information about any proprietary items the Local Government may wish to use in its performance of the contract. Proprietary items 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

10. 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) be used unless there is TDOT pre-approval of some other method of construction.

11. Right-of-Way Training Certification

YES ☒ NO ☐

12. Local Programs Training Certification

YES ☒ NO ☐

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

YES ☒ NO ☐

Local Programs Training Schedule

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

Civil Rights Coordinator

- LG <u>must have</u> a civil rights coordinator on staff that has completed the Title VI training, which is available online. Designate appropriate person(s) responsible for ensuring compliance with Title VI, EEO and DBE requirements. (Title VI Coordinator, EEO Officer, DBE Liaison).

- This person should have a responsible position in the LG and have easy access to the head of the LG.

Title VI

- Every government receiving federal-aid must have a comprehensive and pro-active Title VI enforcement program to eliminate and prevent discrimination
- Title VI certification must be obtained prior to the issuance of a Notice to Proceed for Construction
- Title VI compliance must be from TDOT

Equal Employment Opportunity (EEO)

The LG must be committed to a policy of Equal Employment Opportunity and will administer its personnel policies and conduct its employment practices in a manner which treats each employee, applicant for employment and contractor/consultant employee on the basis of merit, experience and other work related criteria without regard to race, color, religion, national origin, sex, age, disability or any other protected class.

TN TDOT Department of Transportation

Local Government Guidelines Form 3-2
March 9, 2018

Certification of Compliance Regarding Third Party Contracts

FOR PROJECT PIN: 115881.00

DESCRIBED AS: Fairgrounds Connector Road

I, Chandler Bing, Mayor of Greeneville,
(hereinafter referred to as "Agency") hereby certify by my signature hereunder that:

1. The Agency has no understanding or contract with a third party that will conflict with or negate the Project for which the Agency is requesting funding from the Department; and

2. The Agency has disclosed and provided to the Department a copy of any and all contracts with any third party that relate to this Project or to any work related to this Project for which the Agency is requesting funding from the Department; and

3. The Agency will not enter into any contract with a third party that relates to this Project or to any work for which the Agency is requesting funding from the Department without prior disclosure of such proposed contract to the Department; and

4. The Agency acknowledges and agrees that failure to provide this certification may subject the Agency to the denial of funding for this Project.

Signed, this, the 16 day of April, 2018.

Chandler Bing
Signature of Mayor

Chandler Bing
Printed Name of Signatory (above)

Proprietary Items

No proprietary items will be used for this project.

Method of Construction

Contractor(s) experienced in highway construction will be utilized to construct this project. No local forces or force account will be used.

Donated Services or Land

The right-of-way for the project will be donated by private property owner(s).

Local Force Account

The Town will not use local forces to complete any work on this project.

Should you have any questions regarding this project, you may contact me at 423-639-7105.

Sincerely,

Brad Peters, P.E.
Engineer

Method of Bidding Statement

For project described as: Fairgrounds Connector Road, Fairgrounds Circle to North Rufe Taylor Road. Construction of Phase III of the Fairgrounds Connector Road from the end of Phase I on Fairgrounds Circle to Rufe Taylor Road within the City of Greeneville, Greene County, Tennessee.

The City of Greeneville will use the competitive method of bidding (let to contract) for this project.

Signed, this the 31 day of March, 2015.

Joey Tribbiani
Project Supervisor

Chandler Bing
Mayor

Tennessee Transportation Assistance Program

certifies that

Joey Tribbiani

has completed the requirements for

Local Government Guidelines Manual Training

Tuesday, May 24, 2016 in Nashville, Tennessee

Earning 6 Professional Development Hours

TTAP Director

Instructor

TN TDOT Department of Transportation

Certificate of Completion

Is hereby granted to

Joey Tribbiani

To certify has completed to satisfaction

Local Public Agency Workshop

Granted: May 10, 2017

Jeff Hoge

Right of Way Division Director

TN TDOT Department of Transportation

TENNESSEE DEPARTMENT OF TRANSPORTATION

PROGRAM DEVELOPMENT DIVISION

This is to certify that

Joey Tribbiani

has successfully completed a two-day workshop on
Chapter 8 (Preconstruction and Construction Procedures) of the Local Government Guidelines for the Management of Federal and State Funded Transportation Projects

TDOT Region 3 on June 15-16, 2016

Whitney Sullivan
TDOT Program Development Division

David Donoho, P.E.
Presenter, Smith Seckman Reid

For the Tennessee Department of Transportation
This certificate entitles the recipient to 10 Professional Development Hours

TN TDOT Department of Transportation

Local Government Guidelines Form 3-1
March 9, 2018

DUNS Number and Authorized Signature Form

DUNS Number	
DUNS Number 1234567-0000	Address (must include 9-digit zip code) 123 Apple St, Greeneville, TN 12345-6789
Physical Address of Project (must include 9-digit zip code) 123 Fairgrounds Circle Greeneville, TN 12345-6789	

Authorized Signatures	
A minimum of two (2) signatures must be shown to permit flexibility in making requests for reimbursement.	
Typed Name and Title Ross Geller, Title VI and DBE Coordinator	Signature Ross Geller, Ph.D
Typed Name and Title Pheobe Buffay, CFO	Signature Pheobe Buffay
Typed Name and Title Joey Tribbiani, City Engineer	Signature Joey Tribbiani
Typed Name and Title Rachel Greene, Asst. City Engineer	Signature Rachel Greene
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 Chandler Bing	Date 4/8/18

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

TENNESSEE DEPARTMENT OF TRANSPORTATION
FY 2014 THRU FY 2017
TRANSPORTATION IMPROVEMENT PROGRAM
TITLE 23 U.S.C., SECTIONS 105 & 135

STIP #	1430011	TDOT PIN	100230.00	LENGTH IN MILES	3.7	LEAD AGENCY	TDOT
COUNTY:	GREENE			TOTAL PROJECT COST	$43,900,000		
ROUTE:	SR-35						
TERMINI :	FROM SOUTH OF SR-349 TO SR-34 (US-11E)						
PROJECT DESCRIPTION:	CONSTRUCT NEW 4-LANE						
REMARKS							

FISCAL YEAR	TYPE OF WORK	FUNDING TYPE	TOTAL FUNDS	FED FUNDS	STATE FUNDS	LOCAL FUNDS
2015	ROW	STP	3,000,000	2,400,000	600,000	

STIP #	1430030	TDOT PIN	115881.00	LENGTH IN MILES	0.67	LEAD AGENCY	GREENEVILLE
COUNTY:	GREENE			TOTAL PROJECT COST	$2,676,000		
ROUTE:							
TERMINI :	FROM FAIRGROUNDS CIRCLE TO RUFE TAYLOR ROAD IN GREENEVILLE						
PROJECT DESCRIPTION:	CONSTRUCT PHASE 3 OF FAIRGROUNDS CONNECTOR ROAD.						
REMARKS							

FISCAL YEAR	TYPE OF WORK	FUNDING TYPE	TOTAL FUNDS	FED FUNDS	STATE FUNDS	LOCAL FUNDS
2014	PE-D	STP	48,000	38,400	9,600	
2014	ROW	STP	48,000	38,400	9,600	
2014	CONST	STP	2,420,000	1,936,000	484,000	

New Online Grant Management Software: TDOT eGrants

- All new STBG Initiation Packets (Form 3-1s) must be input into eGrants
- Rolled out July 10, 2017
- Training manual and video available within the TDOT eGrants system

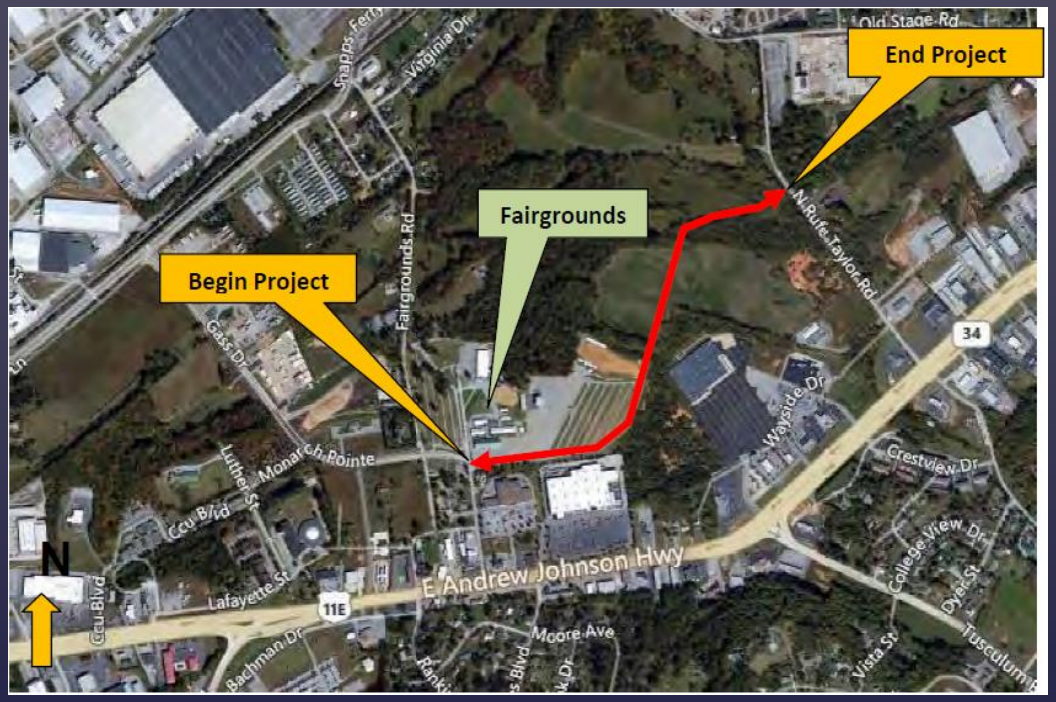
New Online Grant Management Software: TDOT eGrants

<u>To establish account:</u>

- Visit website…
  - https://tdot.intelligrants.com
- Determine who your agency wants to be the 'organization administrator'
  - This person can add new users to organization
- Contact your Monitor if you have questions

Common Mistakes:

- Not including a good map
- All applicable phases not in the TIP
- Road not functionally classified greater than a rural minor collector or a local road to use federal funding
- Not using the most updated version of Form 3-1: Project Initiation Form and Checklist



What are Small Projects?

Small Projects

- Transportation Alternatives (TA)
- Intersection improvements without significant ROW (under one acre of disturbance)
- Safe Route to Schools
- Resurfacing, striping, signing
- Guardrail installation
- Signalization
- Some bridge replacement projects requiring under one acre of acquisition
- Non-construction/service contracts (as listed in Chapter 10)
- Low risk and non-SEA ITS

Requirements

- Full-time employee on staff with experience in managing similar projects
- Must hire consultants for all phases of the project from TDOT's pre-qualified list; the consultants must be qualified in the required area of expertise

NOTE: If local forces are qualified and experienced, the LG can request to Local Programs to do their own engineering and CEI work.

What are Mid-Range Projects?

Mid-Range Projects

- Minor roadway widening
- Realignment of existing roadway
- Signalization projects with the addition of turn lanes
- Intersection improvements requiring over one acre of acquisition
- Bridge replacement projects requiring over one acre of acquisition
- Projects with environmental requirements greater than a categorical exclusion but less than an EIS
- High risk ITS

Requirements

- Must have qualified full-time professional engineer on staff
- Must hire consultants for all phases of the project from TDOT's pre-qualified list; the consultants must be qualified in the required area of expertise
- The selected CEI consultant shall not be associated with any other aspect of the project

What are Large Projects?

Large Projects

- Construction of new facilities
- Widening of existing roadways
- Realignment of existing roadways that require significant land acquisition over 10 acres
- Environmental clearances that require an EIS

Requirements

- Must have qualified full-time professional engineer on staff with extensive experience working with federally-funded transportation projects
- Must hire consultants for all phases of the project from TDOT's pre-qualified list; the consultants must be qualified in the required area of expertise
- The selected CEI consultant shall not be associated with any other aspect of the project

State Managed Projects

The Department may manage your project for you if one of the following circumstances is applicable:

- If your project is within State right-of-way

or

- If your LG is not adequately staffed and equipped for the level of project you wish to pursue

Next…a contract is issued

Federally Funded: Locally, TDOT, or Combination Managed

Agreement Number: 110147

Project Identification Number: 115881.00

Federal Project Number: STP-M-9104(15)

State Project Number: 30LPLM-F3-011

State of Tennessee Department of Transportation

LOCAL AGENCY PROJECT AGREEMENT

THIS AGREEMENT, made and entered into this _____ day of _____, 20___ by and between the STATE OF TENNESSEE DEPARTMENT OF TRANSPORTATION, an agency of the State of Tennessee (hereinafter called the "Department") and City of Greeneville (hereinafter called the "Agency") for the purpose of providing an understanding between the parties of their respective obligations related to the management of the project described as:

Agreement Number: 110147

Project Identification Number: 115881.00

Federal Project Number: STP-M-9104(15)

State Project Number: 30LPLM-F3-011

State of Tennessee Department of Transportation

LOCAL AGENCY PROJECT AGREEMENT

THIS AGREEMENT, made and entered into this _____ day of _____, 20___ by and between the STATE OF TENNESSEE DEPARTMENT OF TRANSPORTATION, an agency of the State of Tennessee (hereinafter called the "Department") and City of Greeneville (hereinafter called the "Agency") for the purpose of providing an understanding between the parties of their respective obligations related to the management of the project described as:

Construction of Phase III of the Fairgrounds Connector Road from the end of Phase I on Fairgrounds Circle to Rufe Taylor Road

A. PURPOSE OF AGREEMENT

A.1 Purpose:

a) The purpose of this Agreement is to provide for the Department's participation in the project as further described in Exhibit A attached hereto and by this reference made a part hereof (hereinafter called the "Project") and state the terms and conditions as to the manner in which the Project will be undertaken and completed.

A.2 Modifications and Additions:

a) Exhibit(s) are attached hereto and by this reference made a part hereof.

B. ACCOMPLISHMENT OF PROJECT

B.1 General Requirements:

a)

	Responsible Party	Funding Provided by Agency or Project.
Environmental Clearance by:	Agency	Project
Preliminary Engineering by:	Agency	Project
Right-of-Way by:	Agency	Project
Utility Coordination by:	Agency	Project
Construction by:	Agency	Project

b) After receiving authorization for a phase, the Agency shall commence and complete the phases as assigned above of the Project as described in Exhibit A with all practical dispatch, in a sound, economical, and efficient manner, and in accordance with the provisions herein, and all applicable laws. The Project will be performed in accordance with all latest applicable Department procedures, guidelines, manuals, standards, and directives as described in the Department's Local Government Guidelines, available in electronic format, which by this reference is made a part hereof as if fully set forth herein.

c) A full time employee of the Agency shall supervise the herein described phases of the Project. Said full time employee of the Agency shall be qualified to and shall ensure that the Project will be performed in accordance with the terms of this Agreement and all latest applicable Department procedures, guidelines, manuals, standards, and directives as described in the Department's Local Government Guidelines and this Agreement.

B.2 Completion Date:

a) The Agency agrees to complete the herein assigned phases of the Project on or before **October 31, 2017**. If the Agency does not complete the herein described phases of the Project within this time period, this Agreement will expire on the last day of scheduled completion as provided in this paragraph unless an extension of the time period is requested by the Agency and granted in writing by the Department prior to the expiration of the Agreement. An extension of the term of this Agreement will be effected through an amendment to the Agreement. Expiration of this Agreement will be considered termination of the Project. The cost of any work performed after the expiration date of the Agreement will not be reimbursed by the Department.

b) For any amounts determined to be ineligible for federal and/or state reimbursement for which the Department has made payment, the Agency shall promptly reimburse the Department for all such amounts within ninety (90) days of written notice.

c) The Agency agrees to pay all costs of any part of this project which are not eligible for federal and/or state funding. These funds shall be provided upon written request therefore by either (a) check, or (b) deposit to the Local Government Investment Pool, whenever requested.

C.4 Payment Methodology:

In the event that the Agency shall receive federal and/or state funds for any portion of the herein described Project, this provision shall apply.

a) The Agency shall submit invoices, in a form outlined in the Local Government Guidelines with all necessary supporting documentation, prior to any reimbursement of allowable costs. Such invoices shall be submitted no more often than monthly but at least quarterly and indicate, at a minimum, the amount charged by allowable cost line-item for the period invoiced, the amount charged by line-item to date, the total amounts charged for the period invoiced, and the total amount charged under this agreement to date. Each invoice shall be accompanied by proof of payment in the form of a canceled check or other means acceptable to the Department.

b) The payment of an invoice by the Department shall not prejudice the Department's right to object to or question any invoice or matter in relation thereto. Such payment by the Department shall neither be construed as acceptance of any part of the work or service provided nor as final approval of any of the costs invoiced therein. The Agency's invoice shall be subject to reduction for amounts included in any invoice or payment theretofore made which are determined by the Department not to constitute allowable costs. Any payment may be reduced for overpayments or increased for under-payments on subsequent invoices.

c) Should a dispute arise concerning payments due and owing to the Agency under this Agreement, the Department reserves the right to withhold said disputed amounts pending final resolution of the dispute.

C.5 The Department's Obligations:

In the event that the Department is managing all phases of the Project herein described, this provision C.5 does not apply.

a) Subject to other provisions hereof, the Department will honor requests for reimbursement to the Agency in amounts and at times deemed by the Department

IN WITNESS WHEREOF, the parties have caused this instrument to be executed by their respective authorized officials on the date first above written.

CITY OF GREENEVILLE		STATE OF TENNESSEE DEPARTMENT OF TRANSPORTATION	
By: _____	_____	By: _____	_____
Chandler Bing **Mayor**	**Date**	**John C. Schroer** **Commissioner**	**Date**

APPROVED AS TO FORM AND LEGALITY		APPROVED AS TO FORM AND LEGALITY	
By: _____	_____	By: _____	_____
Guther Central Perk **Attorney**	**Date**	**John Reinbold** **General Counsel**	**Date**

EXHIBIT "A"

AGREEMENT #: 110147
PROJECT IDENTIFICATION #: 115881.00
FEDERAL PROJECT #: STP-M-9104(15)
STATE PROJECT #: 30LPLM-F3-011

PROJECT DESCRIPTION: Construction of Phase III of the Fairgrounds Connector Road from the end of Phase I on Fairgrounds Circle to Rufe Taylor Road

CHANGE IN COST: Cost hereunder is controlled by the Surface Transportation Program funding available to or allocable to the Agency.

TYPE OF WORK: Construction-New

PHASE	FUNDING SOURCE	FED %	STATE %	LOCAL %	ESTIMATED COST
PE-NEPA	L-STP	80	0	20	$160,000.00
PE-DESIGN	L-STP	80	0	20	$40,000.00
RIGHT-OF-WAY	L-STP	80	0	20	$40,000.00
CONSTRUCTION	L-STP	80	0	20	$2,200,000.00
CONSTRUCTION-CEI	L-STP	80	0	20	$250,000.00
TDOT ES	L-STP	80	0	20	$50,000.00

INELIGIBLE COST: One hundred percent (100%) of the actual cost will be paid from Agency funds if the use of said state or federal funds is ruled ineligible at any time by the Federal Highway Administration.

TDOT ENGINEERING SERVICES (TDOT ES): In order to comply with all federal and state laws, rules, and regulations, the TDOT Engineering Services line item in Exhibit A is placed there to ensure that TDOT's expenses associated with the project during construction are covered. The anticipated TDOT expenses include but are not necessarily limited to Construction Inspection and Material and Testing Expenses (Quality Assurance Testing).

LEGISLATIVE AUTHORITY: STP: 23 U.S.C.A, Section 133, Surface Transportation Program funds allocated or subject to allocation to the Agency.

For federal funds included in this contract, the CFDA Number is 20.205, Highway Planning and Construction funding provided through an allocation from the US Department of Transportation.

TN TDOT Department of Transportation | Local Programs Development Office

Project Schedule

PIN _____

Activity Month/Year	
Begin NEPA Phase	__/__
Select Consultant	__/__
Submit Environmental Document to TDOT for Review	__/__
Begin Design Phase	__/__
Submit Preliminary Engineering Plans to TDOT for Review	__/__
Submit Right-of-Way Plans to TDOT for Review	__/__
Begin Right-of-Way acquisition if Applicable, and Utilities Coordination	__/__
Submit ROW, Utility and Railroad Estimates to TDOT	__/__
Submit Construction Plans to TDOT for Review	__/__
Submit Construction Estimate to TDOT for Review	__/__
Submit Bid Book and Advertisement to TDOT for Review	__/__
Advertise Project for Bids	__/__
Hold Bid Opening	__/__
Submit Bid Tabs to TDOT for Approval	__/__
Award Project	__/__
Hold Pre-Construction Conference	__/__

Date Completed_____

TDOT Contract Steps

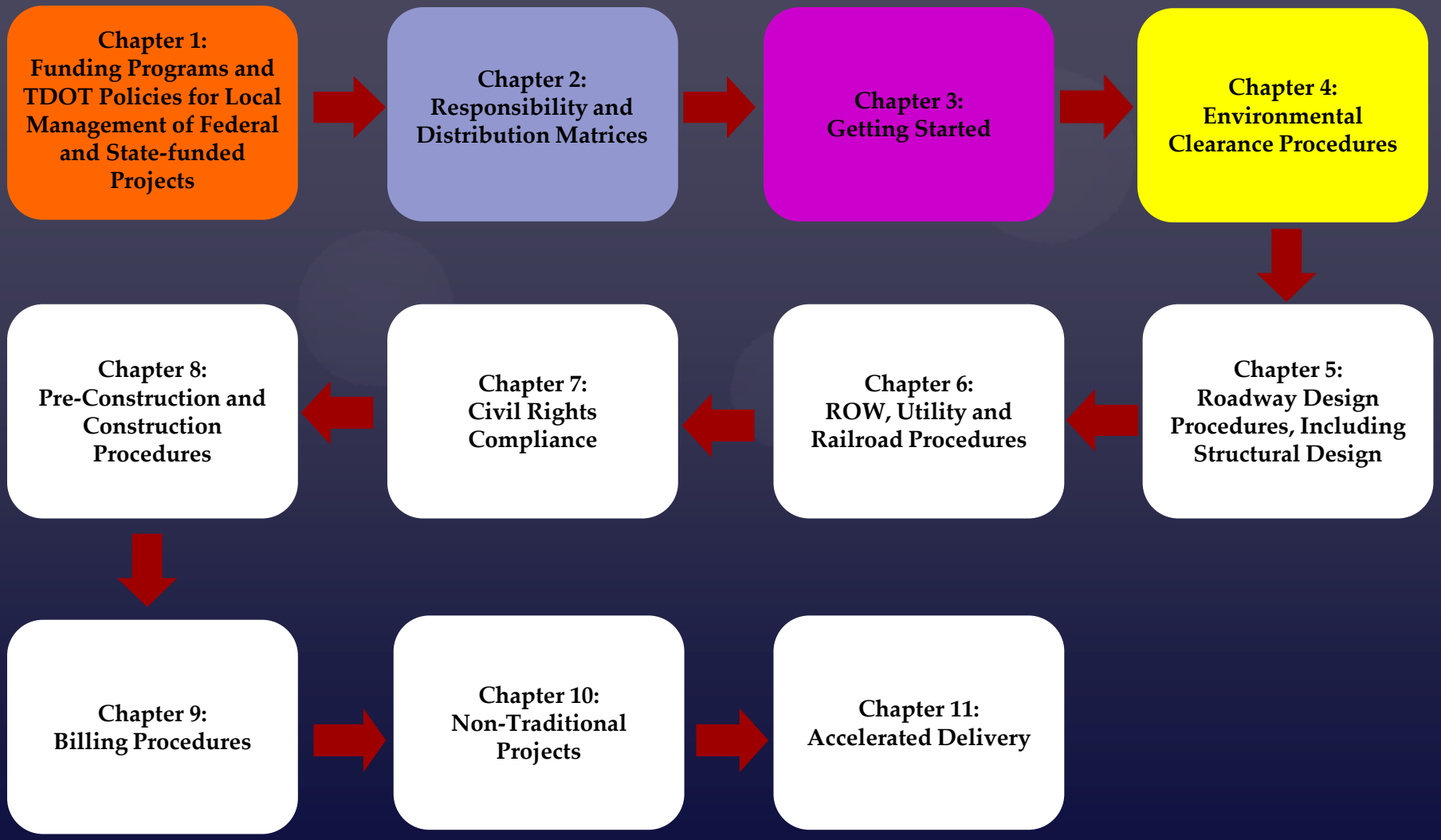
1. Contract sent to LG
2. LG reviews the contract and returns ORGINAL CONTRACT with Mayor and Attorney's signatures
3. TDOT requests obligation of NEPA funds from FHWA
4. Contract sent to TDOT Legal Division for signature
5. Contract sent to Commissioner for execution
6. Contract returned from Commissioner to LPDO
7. Copy of fully-executed contract sent to local agency
8. Notice to Proceed can be issued once funds are obligated

Contract Amendments

- Changing the project's scope
- Adding a new funded phase to the project
- Adding a new funding type to the project
- Increasing the funding by a large amount
- Extending the completion date
- Changing / adding project numbers
- Changing responsibilities of phases
- Correcting errors made on the original contract

Questions?

Chapters Flow Chart



Notice To Proceed

Nathaniel Brugler

To: Joey Tribbiani
Cc: Paul Degges; John Kahle; Whitney Britt; Kimery Grant; Matt Burcham; Eli Jones; TDOT Env.LocalPrograms; Jason Baker; Tabitha Cavaness; Michael Welch
Subject: PIN 115881.00, Notice to Proceed with Funded NEPA, Greeneville, Greene (LPA)

Good Morning Mr. Tribbiani:

The attached Notice to Proceed is for **PE-NEPA** for PIN: (115881.00). Expenses incurred on later phases of the project (design, right-of-way and construction) will not be reimbursed unless you have a Notice to Proceed for those phases. You shall perform this phase of project development in accordance with the Local Government Guidelines Manual which can be found online at the following web address:

https://www.tn.gov/content/dam/tn/tdot/programdevelopment/localprograms/documents-and-forms/LGG_Manual.pdf

NOTE: In order to adequately define the study area, typically 30% plans are necessary to submit along with the draft NEPA document to TDOT.

Per Form 1-2, please be sure to send the consultant RFQ for review and approval prior to advertising for services. Once you have selected your consultant, please forward a fully executed electronic copy of the consultant contract.

Also note, $126,750.84 total has been obligated for this phase ($101,400.67/ $25,350.17 local match).

If you have any questions please feel free to contact me.

TN TDOT

Nate Brugler | Transportation Program Supervisor – Regions 2 & 4
Local Programs Development Office
James K. Polk Building, 6th Floor
505 Deaderick Street, Nashville, TN 37243
p. 615-532-4415 f. 615-741-9673
Nathaniel.Brugler@TN.gov
tn.gov/tdot
http://www.tn.gov/tdot/section/local-programs

NOTICE TO PROCEED WITH THE UNFUNDED

PRELIMINARY ENGINEERING PHASE

(ENVIRONMENTAL ONLY)
OF PROJECT DEVELOPMENT

PIN: 115881.00
FEDERAL PROJECT NUMBER: STP-M-9104(15)
STATE PROJECT NUMBER: 30LPLM-F0-008
TERMINI / PROJECT NAME: Fairgrounds Connector Road, from Fairgrounds Circle to North Rufe Taylor Road
CONTRACTEE: Greeneville
REGION: 1

Effective Date: February 26, 2013
Date of Transmittal: February 27, 2013

This letter serves as your official Notice to Proceed with the above referenced phase of work for the subject project. The Local Government shall perform this phase of project development in accordance with the Local Government Guidelines provided on the Local Program Development Office website at: https://www.tn.gov/content/dam/tn/tdot/programdevelopment/localprograms/documents-and-forms/LGG_Manual.pdf. Work may not be performed for any later phase of project development until an additional Notice to Proceed is issued. Any work performed ahead of a Notice to Proceed's Effective Date will not be reimbursed.

You may procure, in accordance with law, a consulting engineering firm to do all phases of preliminary engineering at this time. Please refer to Section 1.6 of the Local Government Guidelines for guidance on consultant selection, if needed. All consultant solicitation advertisements shall be reviewed and approved by the Local Programs Development Office before publishing. *Please provide a copy of the executed contract with the consultant and a copy of the notice sent to the consultant indicating the date work was authorized on the phase of the project mentioned above.* These documents should be emailed to Local.Programs@tn.gov. **Note:** If the person in responsible charge for this phase of the project has changed since Form 3-1 (Project Initiation Form) was submitted, the Local Government shall resubmit Form 1-1 (Responsible Charge Form) at this time to the Local Programs Development Office at the email below.

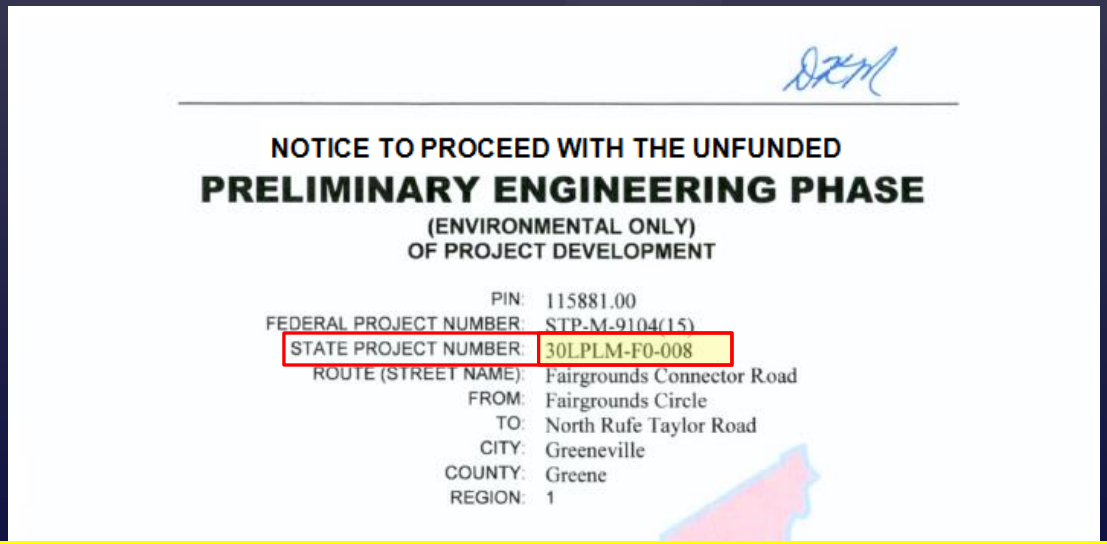
If you have questions or concerns regarding this matter please direct them to Stanley Burnette at 615.741.5314 in the Local Programs Development Office. You may contact us by email at: Local.Programs@tn.gov.

cc: Paul Degges
John Kahle
Whitney Britt
Kimery Grant
Matt Burcham
LP Supervisor
TDOT.Env.LocalPrograms@tn.gov
Regional Assistant Chief of Engineering
Regional Director of Project Development
Regional Director of Operations
MPO Coordinator

State Project Numbers

- County Number
- LPLM (Local Programs Locally Managed)
- Federal or State Funding & Phase Number

  0 = NEPA, **1** = Design, **2** = ROW, **3** = Construction
- Route Sequence



NOTICE TO PROCEED WITH THE UNFUNDED

PRELIMINARY ENGINEERING PHASE

(ENVIRONMENTAL ONLY)
OF PROJECT DEVELOPMENT

PIN:	115881.00
FEDERAL PROJECT NUMBER:	STP-M-9104(15)
STATE PROJECT NUMBER:	30LPLM-F0-008
ROUTE (STREET NAME):	Fairgrounds Connector Road
FROM:	Fairgrounds Circle
TO:	North Rufe Taylor Road
CITY:	Greeneville
COUNTY:	Greene
REGION:	1

Brooks Act of 1972

United States federal law passed in 1972 that requires that the U.S. Federal Government select engineering and architecture firms based upon their competency, qualifications and experience rather than by price

Brooks Act of 1972

Engineering Services Estimated to be Over $150,000

- Must advertise to get Request for Qualifications (RFQs) or Proposals (RFPs) from qualified firms
- Establish a consultant evaluation committee
- Do not negotiate price until selection made

Engineering Services Estimated to be Under $150,000 for total project (Design + CEI)

- May contact an adequate number (3) of firms for RFQs/RFPs
- Establish a consultant evaluation committee
- Do NOT negotiate price until selection made

Consultant Selection Policy

TN TDOT Department of Transportation

Local Government Guidelines Form 1-2
March 9, 2018

(FILL IN NAME OF CITY/COUNTY HERE)
Consultant Selection Policy for Projects Funded in Whole or in Part with Funds Provided by the Federal Highway Administration or the Tennessee Department of Transportation

AUTHORITY: T.C.A. § 12-4-107. If any portion of this policy conflicts with applicable state or federal laws or regulations, that portion shall be considered void. The remainder of this policy shall not be affected thereby and shall remain in full force and effect.

PURPOSE: To prescribe the policy of the (FILL IN NAME OF CITY/COUNTY HERE), hereinafter referred to as the Agency, applicable to the procurement, management and administration of consultant services for architectural, engineering, and right-of-way services for projects.

APPLICATION:

A. Engineering and Design Related Services
This policy is to include all engineering and design related services described in T.C.A. §12-4-107, 40 U.S.C. Chapter 11, 23 U.S.C. §112 (b)(2), 23 CFR Part 172, and 2 CFR 200.317.

B. Right-of-Way Acquisition Services
This policy also includes right-of-way acquisition services for required projects. These services include contracts for appraisal, acquisition, or relocation services related to the acquisition of land entered into by the Agency for the purpose of acquiring right-of-way. Since compensation for these services is not paid pursuant to federal regulation, the terms of this policy regarding methodology of compensation are not applicable.

DEFINITIONS:

A. *Competitive Negotiation* means a qualifications-based selection procurement procedure complying with 40 U.S.C. §§1101–1104, commonly referred to as the Brooks Act.

B. *Engineering and Design Related Services* means –

1. Program management, construction management, feasibility studies, preliminary engineering, design engineering, surveying, mapping, or architectural related services with respect to a highway construction project or projects; and

2. Professional services of an architectural or engineering nature, as defined by Tennessee law, including T.C.A. §12-4-107, which are required to or

Ad Requirements

- Effective 4/15/2017

- Draft of consultant advertisements must be reviewed and approved by Local Programs Office prior to publishing
  - Competitive Negotiation Procurement Procedures
  - Advertised on Agency's website and any other means required by law

- Consultant advertisement must now include the evaluation criteria used in all phases of the selection process, including relative weights/importance

- See Form 1-2, section III for complete details

Ad Template

- Ad template (Form 1-3) available as part of manual/forms update process
- Makes it easy to meet all of the requirements; standardizes the appearance

TN TDOT Department of Transportation

Notice to Consultant Engineers Form 1-3
March 9, 2018

NOTICE TO CONSULTANT ENGINEERS REGARDING A REQUEST FOR QUALIFICATIONS AND LETTERS OF INTEREST

Date

Agency, an Equal Opportunity, Affirmative Action Employer, seeks to retain the services of a professional consultant engineering firm to provide services related to construction of **Purpose and description of the project. You may want to include whether it is federally funded or state funded**. The project shall be accomplished in accordance with TDOT Local Programs guidelines. The professional consultant engineering consulting firm must be on TDOT's pre-approved list or have a completed pre-qualification form filed with TDOT by the deadline for the Letters of Interest. The prequalified firm must have unlimited status. Responsibilities of the professional consultant firm include, but are not limited to:

Required Scope of Services

- For mid-range and large size projects, the agency must advertise separately for design and CEI or separate the project into phases on one advertisement and require the consultant to indicate to which phase they are responding.
-
-
-
-
-
-

Estimated Schedule for Performance of Work

-
-
-
-
-

Firms may request consideration by submitting a letter of interest along with qualifications to **Agency**, **Agency Address** **City**, **TN** **ZIP Code** **Attn: Responsible Charge**. All letters of interest must be received by **Agency** on or before **Time and Date (Not less than 14 days from the date of the solicitation).** The letter of interest and qualifications shall indicate the scope of services to be completed by any sub-consultants. **Specify the method of payment (i.e., lump sum.)**

Phase I Evaluation

For Phase I evaluations firms shall submit letters of interest with firm contact information including name, address and e-mail of primary contact. The letters of interest shall also include:

Consultant Selection Criteria

1 lowest to highest 4

Evaluation Criteria	Geller & Assoc.	Brock Engineering	DAC & Assoc.	Swafford Engineering
A. Ability and relevant expertise of the firm's personnel to be used on the project	4	4	4	4
B. Past experience in the discipline, and in projects similar to the types of locally-managed projects listed in the RFQ	3	4	4	4
C. Documented success of previous programs/projects similar in nature	4	4	4	4
D. Education, experience, and availability of staff and subcontractors expected to be utilized for this contract	3	4	4	4
E. Firm's awareness of project's issues, opportunities, and costraints	3	3	3	3
F. Demonstrated ability to meet schedules without compromising sound engineering practice	3	3	3	3
G. Amount of work presently under contract with TDOT and other clients	3	3	3	3
H. Evaluations on prior projects with the City *if applicable*	3	4	3	3
TOTAL SCORE	26	29	28	28

Common Mistakes

- Not having the consultant ad for RFQs approved before publishing
- Not billing as invoices and canceled checks become available
- Requesting reimbursement for ad expenses paid before receiving the NTP
- Not sending executed consultant contract to monitor

National Environmental Policy Act

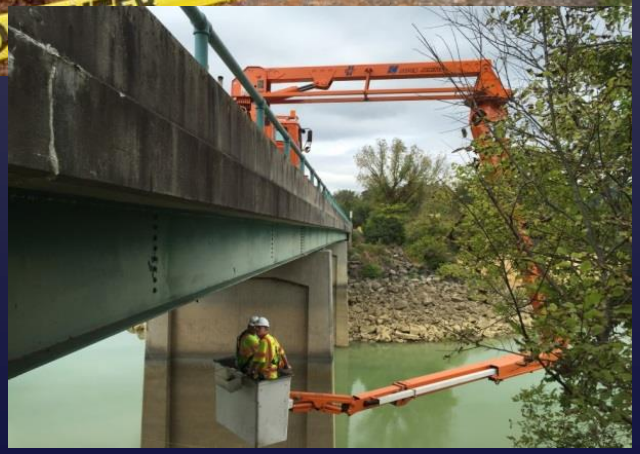
- Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970
- Section 4(f) of USDOT Act (49 USC 303)
- Clean Air Act
- Safe Water Drinking Act
- Farmland Protection Policy Act
- Solid Waste Disposal Act
- Resource Conservation and Recovery Act of 1976 (RCRA)
- Title VI of Civil Rights Act of 1964
- Americans with Disabilities Act
- Executive Order 12898 (Environmental Justice)
- Comprehensive Environmental Response, Compensation and Liability Act (CERCLA)
- Emergency Planning and Community Right to Know Act of 1986
- National Historic Preservation Act
- Economic, Social and Environmental Effects of Highways and Transit
- Highway Noise Standards
- Public Hearing Requirements
- Archaeological and Historic Preservation Act
- Archaeological Resources Protection Act
- AND MORE…

Technical Studies

- Air Quality
- Noise
- Historic
- Archaeology
- Hazmat
- Ecology
- Native American Coordination

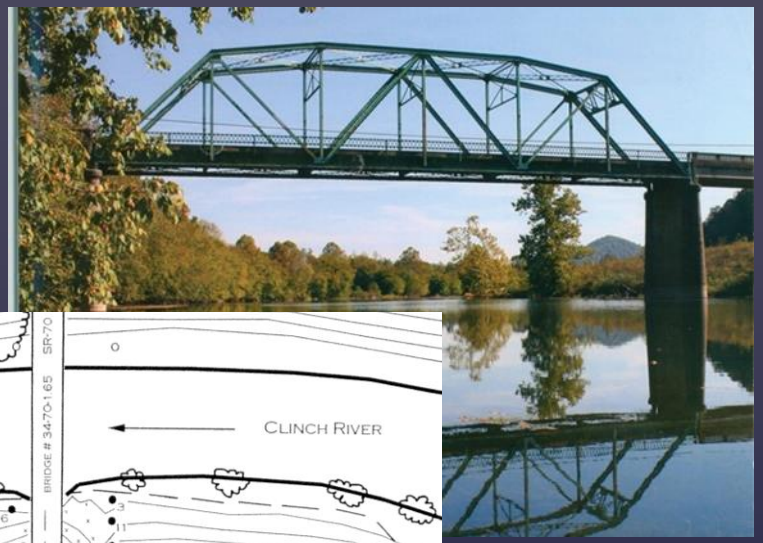
Environmental Technical Studies

- Hazardous Materials and Noise



Environmental Technical Studies

- Cultural Resources: Historic Preservation and Archaeology

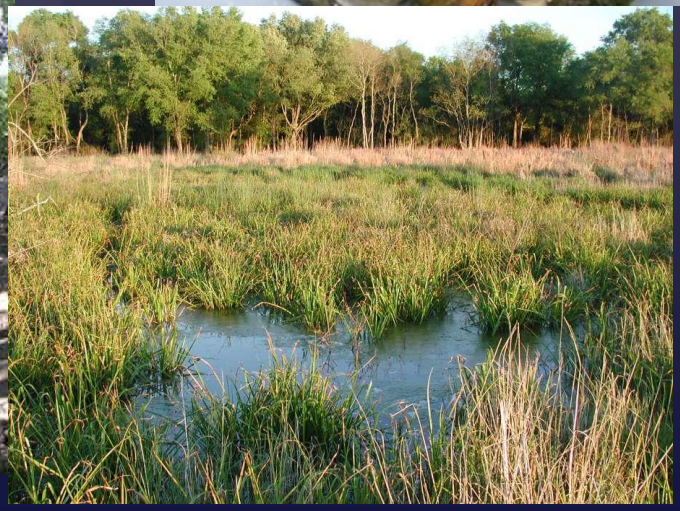


Environmental Technical Studies

- Native American Consultation
  - There are 13 federally-recognized Native American tribes with ancestral lands in Tennessee
  - Section 106 of the National Historic Preservation Act of 1966 requires consultation when a project has a federal action
  - Consultation requires early coordination and providing written documentation when requested

Environmental Technical Studies

- Ecology

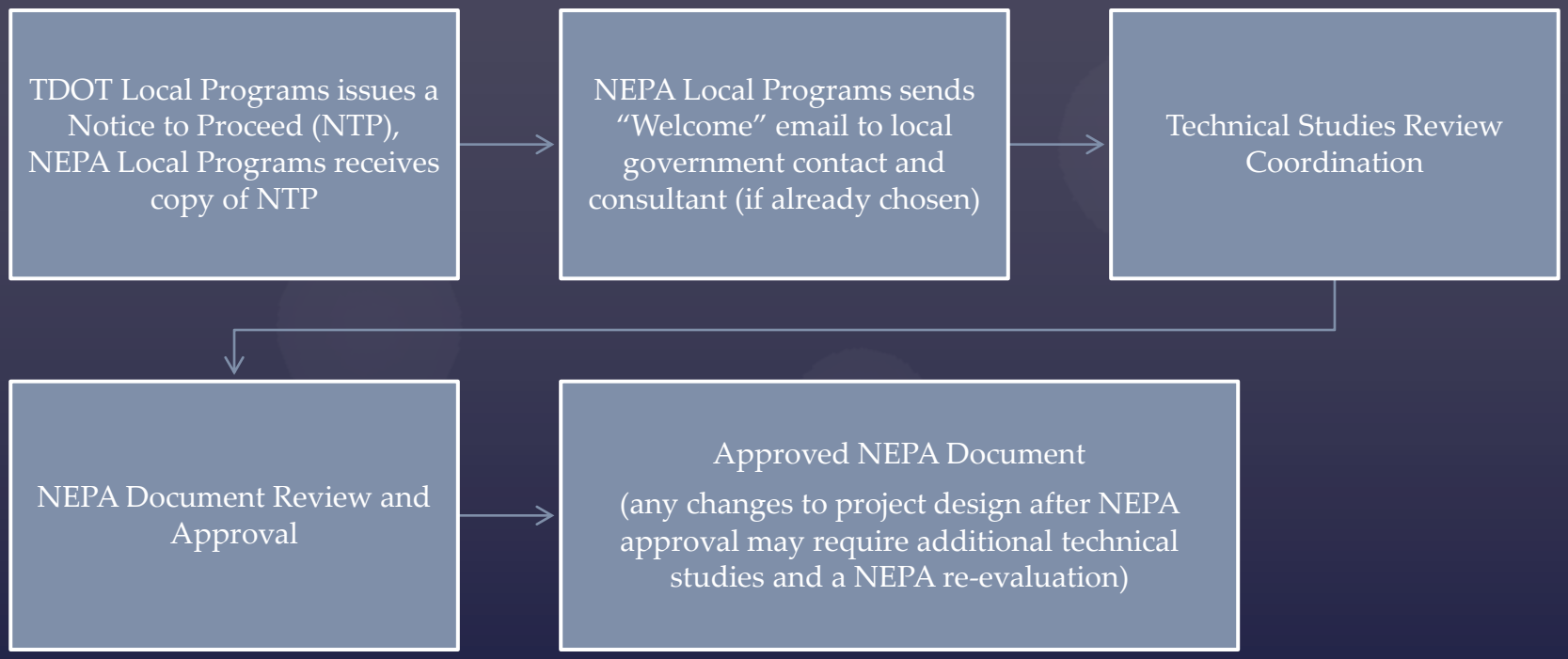


NEPA Process

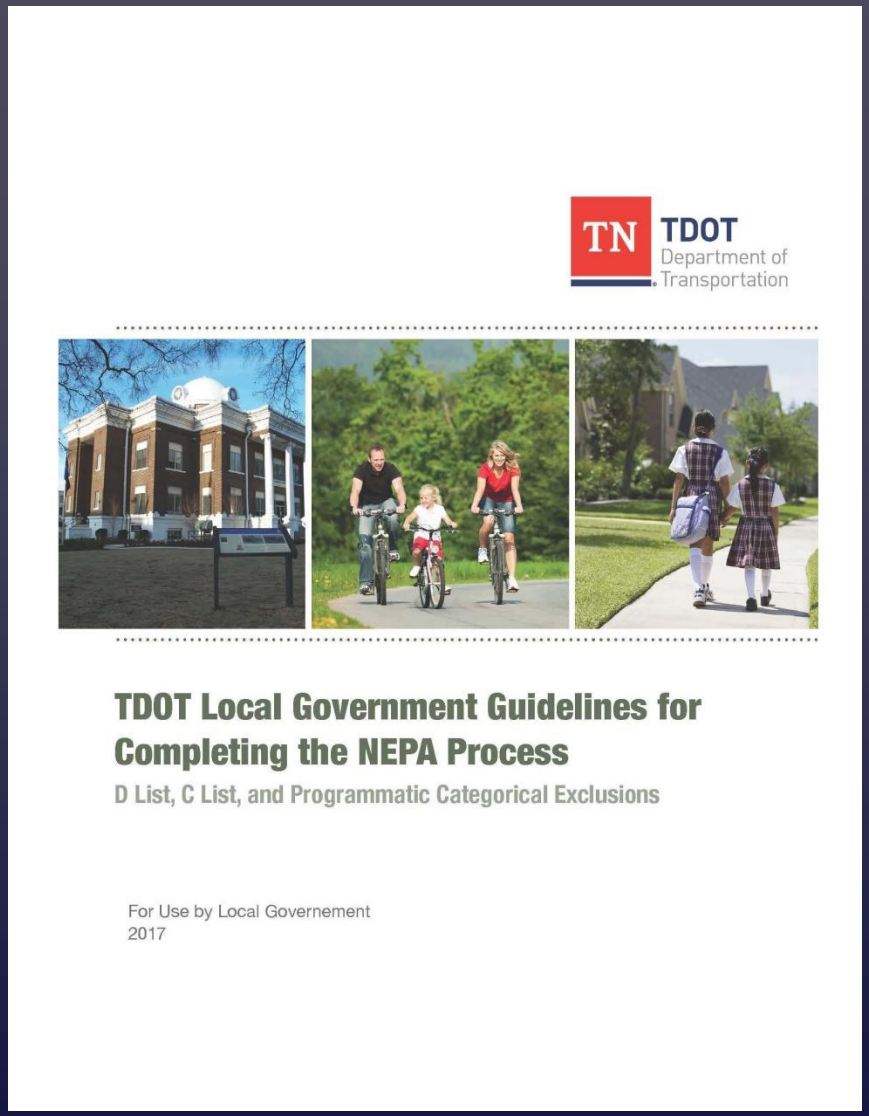
- NEPA Doc Level
  - C-List CE
  - Programmatic CE
  - D-List CE
  - TEER (State Funded Projects)
  - Environmental Assessment
  - Environmental Impact Statement

Most Projects

Environmental Review Process



The Environmental Document



Local Government Guidelines for Completing the NEPA Process, 2017

- C-list and PCE NEPA documents are approved by in-house TDOT NEPA Specialists
- D-list Documents are submitted to the Federal Highway Administration (FHWA) for review and approval

The Environmental Document

STATE OF TENNESSEE
DEPARTMENT OF TRANSPORTATION

ENVIRONMENTAL DIVISION
SUITE 900, JAMES K. POLK BUILDING
505 DEADERICK STREET
NASHVILLE, TENNESSEE 37243-1402
(615) 741-3655

JOHN C. SCHROER
COMMISSIONER

BILL HASLAM
GOVERNOR

To:

Title

Agency:

Address/Street

City/State/Zip

From:

Title

Agency:

Address/Street

City/State/Zip

Local Programs

Route

Termini

Municipality

County

PIN

Submitted Pursuant to the National Environmental Policy Act of 1969, 42 U.S.C. 4332(2)

TN TDOT Department of Transportation

U.S. Department of Transportation
Federal Highway Administration

The Environmental Document

Project Design

Existing Layout

Describe the existing layout of the roadway.

Proposed Scope of Work

Describe the scope of work.

Right-of-Way

Enter Right-of-Way details here.

Right-of-Way Acquisition Table

Permanent Acquisition			Temporary Acquisition		
R.O.W Acquisition	Drainage Easements	Total	Slope Easements	Construction Easements	Total

*Measured in acres

Displacements and Relocations

Will this project result in residential, business or non-profit displacements and relocations? (Yes/No)

Changes in Access Control

Will changes in access control impact the functional utility of any adjacent parcels? (Yes/No)

Traffic and Access Disruption

At this time, are traffic control measures and temporary access information available? (Yes/No)

Floodplain Management

Flood Zone: (Choose FEMA Zone)

Air Quality

Transportation Conformity:

Enter Transportation Conformity Statement from Air Section.

Noise

In accordance with FHWA requirements and TDOT's Noise Policy this project is determined to be (Type)

Farmland

Is this project exempt from the provisions of the Farmland Protection Policy Act (FPPA)? (Yes/No)

Section 4(f)

Does this project involve the use of publicly owned parks, recreation areas, or wildlife/waterfowl refuges, or publicly or privately owned historic properties that are listed on or eligible for listing on the National Register of Historic Places (see 23 CFR 774)? (Yes/No)

Section 6(f)

Does this project involve the use of recreational properties funded through the Land and Water Conservation Fund (LCWF)? (Yes/No)

Cultural Resources

Does the Interstate Highway exemption or MOU between TDOT and the SHPO (2015) apply? (Yes/No)

Native American Consultation

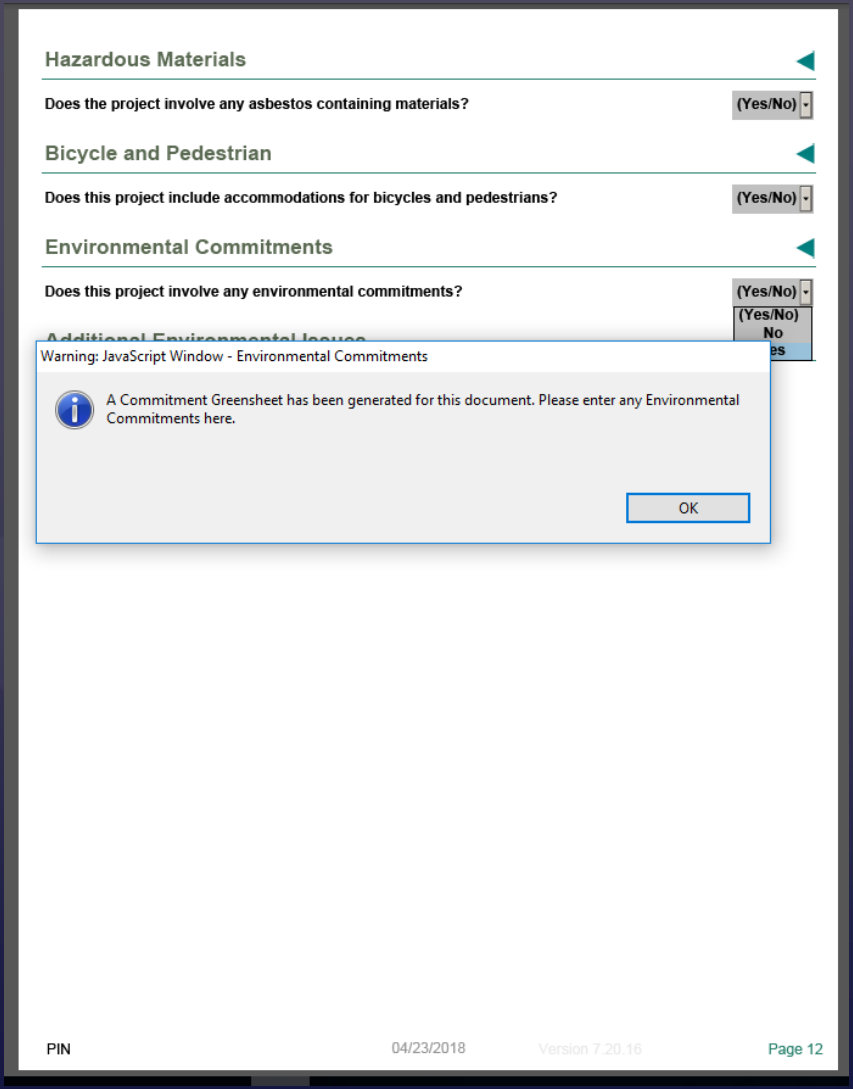
Does this project require Native American consultation? (Yes/No)

Environmental Justice

Are there any disproportionately high or adverse effects on low-income or minority populations? (Yes/No)

Environmental Commitments

- All environmental commitments must be shown in final plans.
- If project is audited, records must show that environmental commitments were met.



Public Involvement

- The goal of public involvement is to promote an exchange of information between the public and the project team

- Activities may include:
  - informal conversations with the affected public
  - notification letters to property owners
  - announcements in local newspapers

Public Involvement

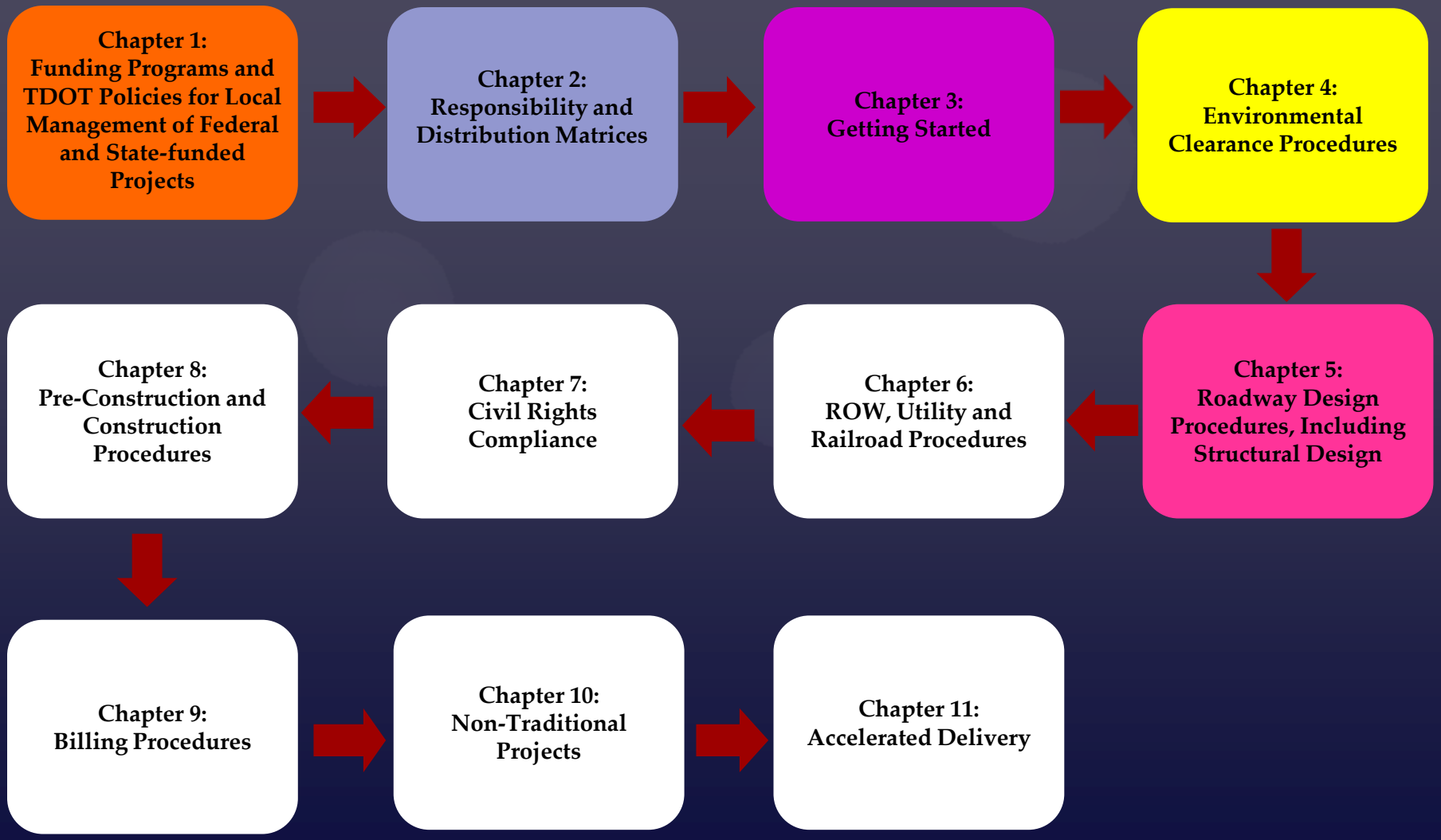
- Must follow TDOT's Public Involvement Plan
- LG determines the proper level of public involvement
  - Coordinate with TDOT Environmental Division
- LG is responsible for holding all public hearings/meetings
- Records of meeting dates, times and comments shall be kept for all public meetings and provided to TDOT
- Disposition of comments shall be collected and included in the NEPA document

Environmental Contact Information

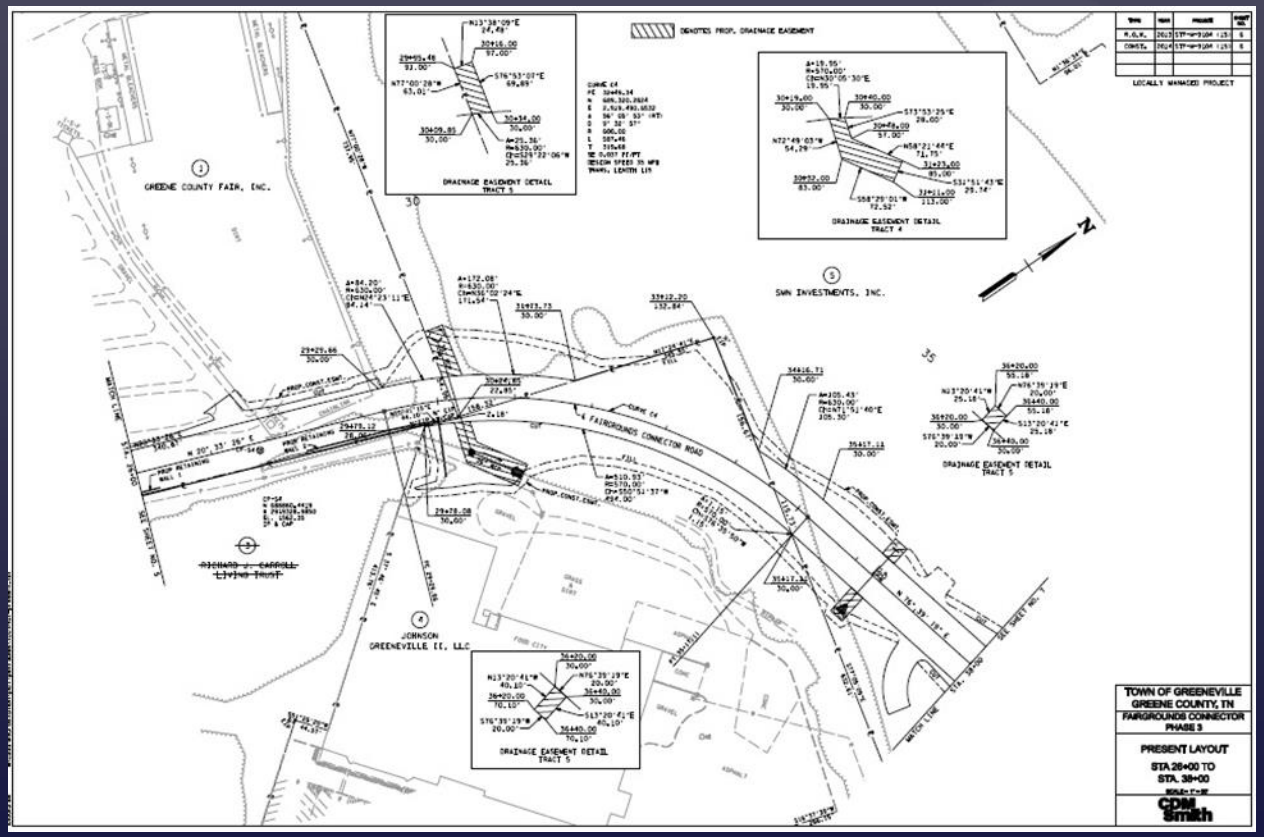
Tennessee Department of Transportation
James K. Polk Building, Suite 900
Environmental Documentation Division
505 Deaderick Street
Nashville, Tennessee 37243-7120
Direct – 615-253-2475
TDOT.Env.LocalPrograms@tn.gov

Questions?

Chapters Flow Chart



Preliminary Engineering/Design Phase



Notice to Proceed

NB

NOTICE TO PROCEED WITH THE FUNDED

PRELIMINARY ENGINEERING FOR

FINAL DESIGN PHASE

OF PROJECT DEVELOPMENT

PIN:	115881.00
FEDERAL PROJECT NUMBER:	STP-M-9104(15)
STATE PROJECT NUMBER:	30LPLM-F1-009
TERMINI / PROJECT NAME:	Fairgrounds Connector Road, from Fairgrounds Circle to North Rufe Taylor Road
CONTRACTEE:	Greeneville
REGION:	1

Effective Date: December 18, 2013
Date of Transmittal: December 19, 2013

This letter serves as your official Notice to Proceed with the above referenced phase of work for the subject project. The Local Government shall perform this phase of project development in accordance with the Local Government Guidelines provided on the Local Program Development Office website at: https://www.tn.gov/content/dam/tn/tdot/programdevelopment/localprograms/documents-and-forms/LGG_Manual.pdf. Work may not be performed for any later phase of project development until an additional Notice to Proceed is issued. Any work performed ahead of a Notice to Proceed's Effective Date will not be reimbursed.

You may procure, in accordance with law, a consulting engineering firm to do all phases of preliminary engineering at this time. Please refer to Section 1.6 of the Local Government Guidelines for guidance on consultant selection, if needed. All consultant solicitation advertisements shall be reviewed and approved by the Local Programs Development Office before publishing. *Please provide a copy of the executed contract with the consultant and a copy of the notice sent to the consultant indicating the date work was authorized on the phase of the project mentioned above.* These documents should be emailed to Local.Programs@tn.gov. **Note:** If the person in responsible charge for this phase of the project has changed since Form 3-1 (Project Initiation Form) was submitted, the Local Government shall resubmit Form 1-1 (Responsible Charge Form) at this time to the Local Programs Development Office at the email below.

If you have questions or concerns regarding this matter please direct them to Stanley Burnette at 615.741.5314 in the Local Programs Development Office. You may contact us by email at: Local.Programs@tn.gov.

cc: Paul Degges
John Kahle
Whitney Britt
Kimery Grant
Matt Burcham
LP Supervisor
TDOT.DesignDesign.LocalPrograms@tn.gov
Regional Assistant Chief of Engineering
Regional Director of Project Development
Regional Director of Operations
MPO Coordinator
File

Design Phase Submittals

- Preliminary design plans (must meet all TDOT standards)
- Design Policies Checklist and Certification (Form 5-3)
  - New checklist combines multiple previous checklists + design certification letter
  - Separate Structures Design Checklist (Form 5-4) still needed, if applicable
- Approval of any design exceptions (Form 5-2)
- Certification of any proprietary items (Forms 5-1a or 5-1b)
- Preliminary construction estimate
- Right-of-way plans
  - Present and proposed ROW must be shown

Early Utility Notification

- Manual revision as of 4/15/2017 (Section 5.1.1)
- Local agency required to provide early notification to all potentially affected utilities within county
- Contact Regional TDOT Utility Coordinator for list of utility companies in project's county
- Utilities have 60 days to respond whether they are affected
  - 10 additional days after second/final notice
  - If no response at that point, you may proceed
- Utility certification will be declined if early notification was not provided

Early Utility Notification

- Should begin ASAP upon receiving PE-Design Notice to Proceed
- Must be able to verify that notice was sent/received (certified mail, FedEx/UPS, etc.)
- TDOT Regional Utility Coordinators
  - Region 1: Gus Awali Gus.Awali@tn.gov 865-594-2683
  - Region 2: Lando Santos Lando.Santos@tn.gov 423-510-1243
  - Region 3: Iraj Eghbali & Chris Johnston (Depends on County)

    Iraj.Eghbali@tn.gov 615-350-4234

    Christopher.Johnston@tn.gov 615-350-4235
  - Region 4: Willie Coleman Willie.Coleman@tn.gov 731-935-0160

TENNCLOUD

- Maximum email size ~ 15MB
- TDOT FTP Site – recently retired
- New system for large file sharing: TENNCLOUD

TENNCLOUD

- Receiving Files from TDOT
  - Your Program Monitor will email you a link
  - May be password protected - Monitor will provide
  - Open link, type password, and document will appear
  - Download from the preview screen

TENNCLOUD

- Sending Files to TDOT
  - Direct TENNCLOUD access only for State of TN Employees
  - Let Program Monitor know you have a file(s) to send us; he/she will provide you a link via email
  - Open link, click "Upload File" button, and attach one or more files.
  - Let monitor know that files have been uploaded

TENNCLOUD

owncloud
TN
Tennessee
State Government
Files Drop
Upload file
max. 4.9 GB
Uploaded files:
PIN 010619.00, Sound Wall Issue
Documents 1-25-15.pdf
Shelby, Bartlett, Old Brownsville, Austin
Peay, PIN 010619, us1funding.pdf

Design Policies Checklist

DESIGN POLICIES CHECKLIST AND CERTIFICATION

Contractee:	Contractee Name	PIN:	PIN #	Federal No.:	Federal No.
Project Termini:	Project Location & Termini			State No.:	State No.
Plan Set:	Preliminary, ROW, Construction, or Final			County:	County

Select the Type of Project (check all that apply):

☐ Bike Lanes	☐ Bridge	☐ Widening	☐ Intersection
☐ ITS/Technology	☐ Non-Traditional	☐ New Alignment	
☐ Resurfacing	☐ SIA	☐ Greenway/Multiuse Path	
☐ Sidewalk	☐ Signalization	☐ Other: Click to enter type of "other"	

5 Feet Wide (Min)

10 Feet Wide (Min)

Estimated ROW to be acquired: # of acres Acres / # of tracts Tracts

Summary of proposed work: Description of proposed, including cross-sections/typical section, 2-lane to 4-lane, stream/river crossings, etc.

Project Specifics (check all that apply):

☐ # of Lanes of Lane Width ft. Travel Lanes		☐ Curbs/ Gutters	☐ Flashing Beacons
☐ Lane Width ft. Shoulders		☐ Median Width ft.	☐ Pedestrian Items (crosswalks, curb ramps, sidewalks)
☐ Lane Width ft. Center Turn Lanes		☐ Guardrails	☐ CMAQ
☐ Non-Construction	☐ Pavement Markers	☐ On State System	☐ Rail Road
☐ Retaining Wall	☐ Roundabout	☐ Signage	☐ Signals
☐ Striping	☐ Culverts	☐ Other: Click to enter "other"	

Letting Type:

☐ Locally Let ☐ State Let ☐ Other: Click to enter "other"

Designer Information:

Designer Name:	Enter Designer's Name
Contact Number:	Enter Designer's Contact Number
Contact Email:	Enter Designer's Contact Email Address

Design Policies Checklist

TN TDOT Department of Transportation

Local Government Guidelines Form 5-3
March 9, 2018

It is the sole responsibility of the LG and its consultant to ensure that the design follows the Roadway Design Policies and Procedures. Refer to LPDO Guidelines 5.4.5 for additional information.

	YES	NO	N/A
Policies and Procedures			
Roadway Projects: TDOT Design policies and procedures followed?	☐	☐	☐
Non-Roadway Projects: Relevant TDOT approved design policies and procedures followed?	☐	☐	☐
23 CFR 635.411 has been followed pertaining to proprietary items, and the use of those been approved by TDOT?	☐	☐	☐
ADA design policies and procedures have been followed?	☐	☐	☐
Project affects FEMA Floodplain?	☐	☐	☐
If project affects FEMA Floodplain, is "No-rise" analysis included in final submittal?	☐	☐	☐
Design Exceptions			
For Roadway Projects, the controlling elements of design meet the criteria contained in the TDOT Design Policies and Procedures?	☐	☐	☐
If "NO" is checked, a "Design Exception Request and Justification Form" has been completed in accordance with the requirements in Chapter 3 of the TDOT Roadway Design Guidelines and submitted?	☐	☐	☐
All Design Exception Requests have been approved by TDOT?	☐	☐	☐
Roadway Quantities			
Only TDOT pay item numbers, descriptions, and units used? Item numbers, descriptions, and units must match. If an approved item number is not available, approval through the LPDO for an alternative item number is required.	☐	☐	☐

Design Policies Checklist

TN TDOT Department of Transportation

Local Government Guidelines Form 5-3
March 9, 2018

	YES	NO	N/A
Project Plans			
Plans shall follow TDOT Design Guidelines, Standard Drawings, General and Special Notes and PROWAG requirements must also be met. TDOT Roadway Design checklists are available for download.	☐	☐	☐
Are plan sheets indexed in accordance with the TDOT Roadway Design Guidelines Section 4-133.00?	☐	☐	☐
Does the **title sheet** state this is a Locally Managed Project?	☐	☐	☐
Does the **title sheet** contain the signatures of the local government officials?	☐	☐	☐
Do the **Preliminary** plan sheets meet the requirements of Section 1-105.00 of the TDOT Roadway Design Guidelines?	☐	☐	☐
Do the **ROW** plan sheets meet the requirements of Section 1-105.00 of the TDOT Roadway Design Guidelines?	☐	☐	☐
Does the final **ROW** Title Sheet have a licensed TN Professional Engineer seal with signature and date?	☐	☐	☐
Do the **Construction** plan sheets meet the requirements of Section 1-105.00 of the TDOT Roadway Design Guidelines?	☐	☐	☐

This checklist does not replace the more detailed, 15 page "Roadway Design Checklist"

Roadway Design Checklist

- Not to be confused with "Design Policies Checklist"
- Maintained by Roadway Design Office, but a link is available on the LPDO website
- Consultant would follow; very detailed and technical

PRELIMINARY PLANS CHECKLIST

COUNTY:	
FED. PROJECT NO.:	
P.E. NO.:	
PIN NO.:	
DESCRIPTION:	
DESIGNER:	
TDOT SUPERVISOR:	
PROJECTED ROW AUTHORIZATION DATE:	
PROJECTED LETTING DATE:	

A. TITLE SHEET

- ☐ Location map showing route to be improved, local roads, streams, railroads, and towns
- ☐ County, state route, and descriptions (including log mile)
- ☐ Begin/End project labeled with federal and state number
- ☐ Proper identification block with completed name of Supervisor 2, CE Manager 1, or Transportation Manager 2, Consultant firm, and/or Designer (as applicable)
- ☐ Project county identified on state map
- ☐ Design traffic and design speed
- ☐ PIN
- ☐ P.E. project number
- ☐ Equations or exclusions
- ☐ Scale
- ☐ ROW Length
- ☐ Survey date
- ☐ Index (ROW)
- ☐ Type of work (Preliminary plans)
- ☐ Road closure Note
- ☐ North arrow
- ☐ Construction project number

B. SECOND SHEET

- ☐ Mainline typical cross-sections with dimensions, cross-slopes, guardrail locations, cut and fill slopes from standard drawings or table
- ☐ Side road typical cross-sections
- ☐ Private drive, field and business entrance typical cross-sections
- ☐ Detail or channel change/ ditch change

PRE - 1 08/15/08

Design Policies Checklist

- Now incorporates former Design Certification Letter (old Form 5-4)

TN TDOT Department of Transportation

Local Government Guidelines Form 5-3
March 9, 2018

No Formal Design Exception Is Required

By checking the box to the right, this certifies all TDOT Roadway Design Policies and Procedures and all federal and state laws and regulations have been followed and the criteria for the controlling elements of design have been met. Appropriate standards and guidelines used during the development of the project have also been met. ☐

Formal Design Exception Is Required

By checking the box to the right, this certifies all TDOT Roadway Design Policies and Procedures and all federal and state laws and regulations have been followed and have been met and Formal approval of a Design Exception has been received from the TDOT Design Division Local Program Coordinator. All other elements of the design meet the criteria for the controlling elements of design. Appropriate standards and guidelines used during the development of the project have also been met. ☐

Note: Items documented on the check list shall be stored and maintained by the Local Government for seven (7) years after the project is finalized.

Local Official Responsible for Project

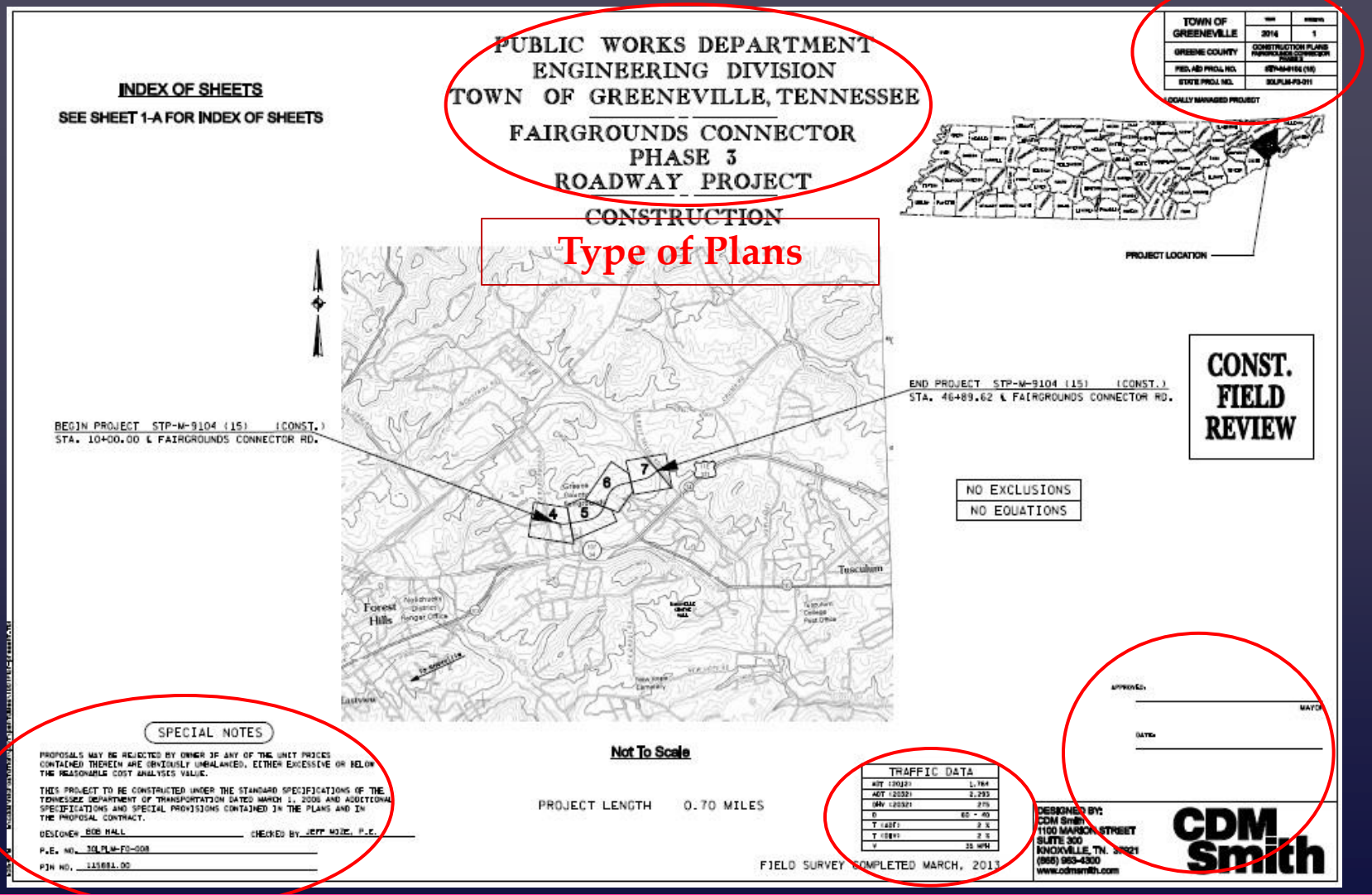
Design Consultant

Key Points

- Design consultants **must** be on TDOT's pre-qualified list
- Consultants must be procured in accordance with the Brooks Act (qualification based – price discussed after selection)
- Plans may be submitted and reviewed by TDOT up to three times: preliminary, right-of-way and construction
  - TDOT checklists available on website
  - Construction plans usually submitted during ROW phase, but not always
- Use TDOT format, standard drawings and construction item numbers
- TDOT does not "approve" your plans – P.E. is responsible
  - Please send revised/corrected plans to your Program Monitor for records and review purposes (cost estimates, etc.)

Common Mistakes

- Required information often missing from plans cover sheet

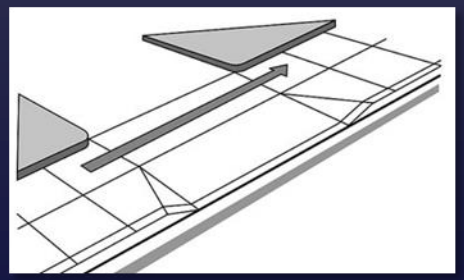


Common Mistakes

- If ROW is to be acquired (or easements required) must include acquisition table
  - Property owner names, tract numbers, total area, deed book, etc.
- Make sure all required ADA standards are met within the plans (PROWAG 2011)
- Submit entire set of plans
- All layers need to be turned on when submitted

R.O.W. ACQUISITION TABLE

TRACT NO.	PROPERTY OWNERS	COUNTY RECORDS				TOTAL AREA ACRES			AREA TO BE ACQUIRED ACRES			AREA REMAINING ACRES		EASEMENT (SQUARE FEET)		
		TAX MAP NO.	PARCEL NO.	DEED DOCUMENT REFERENCE BK.	DEED DOCUMENT REFERENCE PAGE	LEFT	RIGHT	TOTAL	LEFT	RIGHT	TOTAL	LEFT	RIGHT	PERM. DRAINAGE	SLOPE	CONST.
1	GREENE COUNTY FAIR, INC.	87	146.00	*	*	32.283	1.577	33.860	1.308	1.574	2.882	30.975	129 S.F.	591	0.311 AC	4063
2	LOWE'S HOME CENTERS, INC.	87L A	28.00	195A	809		15.000	15.000		0.287	0.287		14.713		565	2670
3	~~RICHARD J. CARROLL LIVING TRUST~~	~~87L A~~	~~1.01~~	~~363A~~	~~793~~		~~11.860~~	~~11.860~~					~~11.860~~			
4	JOHNSON GREENVILLE II, LLC	87	160.00	512A	580	0.494	14.474	14.968	0.494	0.292	0.786		14.182	2954	0.390 AC	0.155 AC
5	SWN INVESTMENTS, INC.	87	159.00	219A	521	50.218	5.074	55.292	0.988	0.875	1.863	49.230	4.199	4175	1.526 AC	0.640 AC



ADA - PROWAG

- ADA = Americans with Disabilities Act
  - Prohibits discrimination against people with disabilities in transportation, public accommodation, etc.
- ADAAG = ADA Accessibility Guidelines
  - Design standards focused on buildings and facilities
- PROWAG = Public Right-of-Way Accessibility Guidelines
  - Transportation-related guidelines and design standards

ADA - PROWAG

- TDOT adopted PROWAG Guidelines in 2014
- Basic maintenance items do not require ADA upgrades
  - pot-hole repair, crack fills/seals, signal maint., etc.
- New Construction and Alteration projects DO need ADA upgrades
  - Resurfacings
  - Reconstruction
  - New construction
- Make sure to consider additional costs in early project budgeting (any 80% items?)

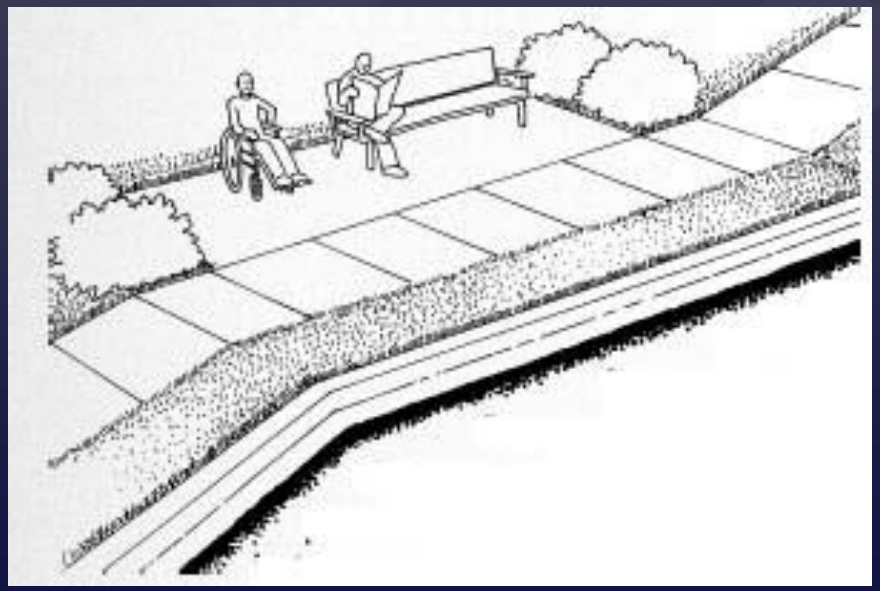
ADA - PROWAG

- Curb ramps: must be installed and meet current ADA standards whenever a sidewalk or pedestrian walkway crosses a curb
- Sidewalks: replacements or new construction must meet ADA standards
- Audible Pedestrian Signals: if signals are being added or replaced, must meet ADA standards

ADA - PROWAG

- Important ADA sidewalk considerations
  - Cross slope – 2% maximum

  - Running slope – less than 5%
    - If more, needs handrails



NEW ADA Guidance!

- TDOT Instructional Bulletin 19-02 (1/31/2019)
- Abrogates the text/flowchart in IB 18-12
- Provides guidance by project type
  - New Construction, Alteration, Resurfacing and Signalization
- Significant clarification to what counts as a "Maintenance" project – especially signalization

ADA Transition Plans*

1. Designate an ADA Coordinator by Dec. 1, 2016
2. Notify public of obligations under ADA
3. Establish a grievance procedure
4. Inventory existing facilities
5. Develop a Transition Plan to make structural modifications to provide access
6. Include a schedule and budget to implement the Transition Plan
7. Monitor progress on implementation of the Transition Plan

*required if the LG has 50 or more employees

TDOT ADA Coordinator

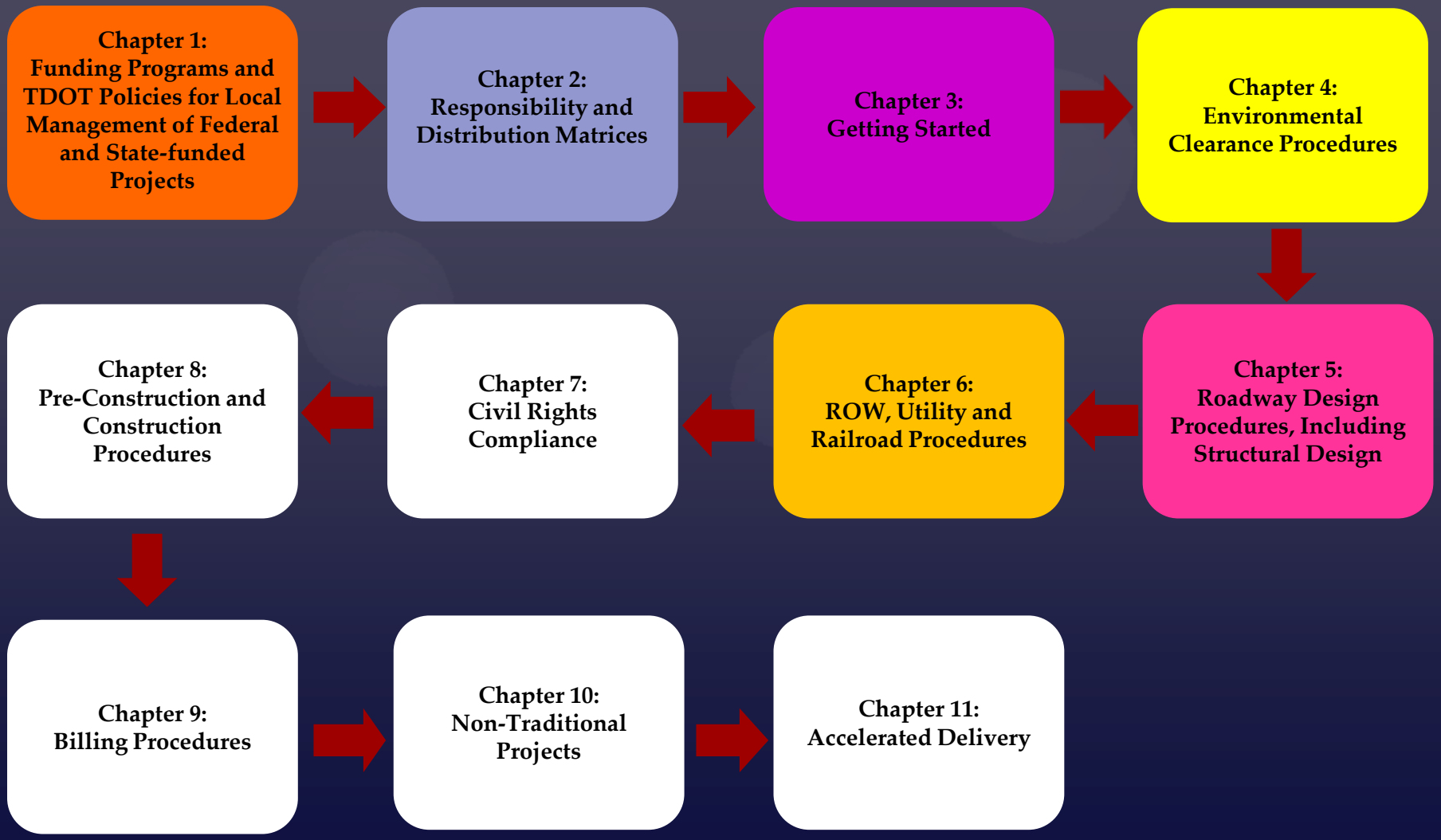
Margaret Zeman Mahler
Tennessee Dept. of Transportation
505 Deaderick Street #400, Nashville, TN 37243
615- 741-4984
V/TTY 615-253-8311
Margaret.z.mahler@tn.gov

Next Steps

- In addition to Design review comments, you may receive comments from other TDOT divisions, depending on project type (Traffic Operations, Structures, etc.)
  - Which divisions your plans are routed to is based on Design Procedures Checklist – it's very important!
  - There will be occasional conflicts. Let your Program Monitor know and TDOT will resolve and provide final decision.
- Upon receiving all required items and approvals, we will request ROW funding

Questions?

Chapters Flow Chart



Right-of-Way Phase

- LPDO will Request Right-of-Way funding when applicable
  - Only needed for acquisitions & utility relocation
- LPDO will issue a NTP to the TDOT Regional ROW Coordinator
  - The TDOT Regional ROW Coordinator will contact the LG to set up a meeting, and provide guidance and the appropriate documents that will need to be submitted for certification
- The LG will coordinate with Utilities and any Railroads affected by the project

ROW Notice to Proceed

NB

NOTICE TO PROCEED WITH THE UNFUNDED

RIGHT-OF-WAY PHASE

OF PROJECT DEVELOPMENT

PIN: 115881.00
FEDERAL PROJECT NUMBER: STP-M-9104(15)
STATE PROJECT NUMBER: 30LPLM-F2-010
TERMINI / PROJECT NAME: Fairgrounds Connector Road, Fairgrounds Circle to North Rufe Taylor Road
CONTRACTEE: Greeneville
REGION: 1

Effective Date: January 14, 2014
Date of Transmittal: January 15, 2014

This letter serves as the official Notice to Proceed for the Regional Right-of-Way office to coordinate with the Local Government to complete any necessary right-of-way (ROW) acquisition activities, and to certify that any ROW has been acquired in accordance with the federal Uniform Act. The Local Government shall perform this phase of project development in accordance with the Local Government Guidelines provided on the Local Program Development Office website at: https://www.tn.gov/content/dam/tn/tdot/programdevelopment/localprograms/documents-and-forms/LGG_Manual.pdf. Work may not be performed for any later phase of project development until an additional Notice to Proceed is issued. Any work performed ahead of a Notice to Proceed's Effective Date will not be reimbursed.

The Local Government may procure, in accordance with law, any necessary consulting firm(s) to perform all stages of right-of-way acquisition at this time. Please refer to Section 1.6 of the Local Government Guidelines for guidance on consultant selection, if needed. All consultant solicitation advertisements shall be reviewed and approved by the Local Programs Development Office before publishing. *Please provide a copy of the executed contract with the consultant and a copy of the notice sent to the consultant indicating the date work was authorized on the phase of the project mentioned above.* These documents should be emailed to Local.Programs@tn.gov. **Note:** If the person in responsible charge for this phase of the project has changed since Form 3-1 (Project Initiation Form) was submitted, the Local Government shall resubmit Form 1-1 (Responsible Charge Form) at this time to the Local Programs Development Office at the email below.

If you have questions or concerns regarding this matter please direct them to Stanley Burnette at 615.741.5314 in the Local Programs Development Office. You may contact us by email at: Local.Programs@tn.gov.

cc: Paul Degges
John Kahle
Jeff Hoge
Gary Palmer
David Goodman
Whitney Britt
Kimery Grant
Matt Burcham
LP Supervisor
Regional Assistant Chief of Engineering
Regional Director of Project Development
Regional ROW Manager
Regional Utilities Manager

Regional ROW Office – Initial Contact

- You will be contacted by Regional ROW Office
- LG will submit and discuss project plans
- TDOT will provide and explain the "TDOT ROW Procedures Manual"
- TDOT will provide an overview of the title report, donation, appraisal, appraisal review, negotiation, administrative settlements, relocation (if applicable) and the closing/condemnation processes
- TDOT will provide generic forms as needed

Consultant Selection

- Selection of all consultants used in ROW shall also follow the TDOT Consultant Selection Policy
  - Appraisers
  - Review Appraisers
  - Negotiators
  - Closing and relocation agents
- LG can choose ROW consultant(s) during Design Phase
- Separate work order must be provided for each phase of the project

Important Note!!!

- LGs shall not proceed with any work pertaining to land acquisition for which they expect reimbursement until they receive the NTP from TDOT's Regional Right-of-Way Coordinator

- If land acquisition procedures are found to be flawed, all state and federal funding for the project may be withdrawn for EVERY phase, even if other phases were done in accordance with federal law, regulations and procedures

ROW Submittals

- ROW documents are submitted to Regional LPA Coordinator
- Utility documents are submitted to Regional Utility Coordinator. NOTE: Utilities that are on public right-of-way will be relocated at the utility's expense
- Affected utilities are sent a copy of ROW plans, cross-sections & project specifics (be able to prove this contact)
- Railroad coordination documents are submitted to Railroad Coordinator
- License Agreement documents are submitted to Regional Excess Lands Coordinator
- Can be done concurrently

Request for Utility Certification

STATE OF TENNESSEE
DEPARTMENT OF TRANSPORTATION
REGION 1 RIGHT OF WAY OFFICE
P. O. BOX 58
KNOXVILLE, TENNESSEE 37901
(865) 594-2496

JOHN C. SCHROER
COMMISSIONER

BILL HASLAM
GOVERNOR

November 18, 2014

TDOT Headquarters Utility Office
Mr. Michael Horlacher
Suite 1300, James K. Polk Building
Nashville, TN 37243-0341

Project No.: 30LPLM-F2-010
Greeneville Fairgrounds Connector Phase 3
Greeneville, TN
Greene County
Pin #: 115881.00

Dear Michael:

This letter recommends certification of utilities for the above referenced project.

SEE ATTACHMENT

THERE IS NOT A RAILROAD WITHIN 200 FEET OF THE PROJECT.

Insofar as utilities are concerned, **this project is ready for utility certification** as all necessary arrangements have been made.

Sincerely,

Michael Palmer
Region 1 Utility Office

c: Project File

Utility Certification

STATE OF TENNESSEE
DEPARTMENT OF TRANSPORTATION
Right-of-Way Division,
SUITE 600, JAMES K. POLK BUILDING
NASHVILLE, TENNESSEE 37243-0337

JOHN C. SCHROER
COMMISSIONER

BILL HASLAM
GOVERNOR

February 3, 2015

Whitney Sullivan
TDOT Local Program Development Office
Suite 600, James K. Polk Building
Nashville, TN 37243-0341

Fairgrounds Connector Road, Fairgrounds Circle to North Rufe Taylor Road
Pin No. 115881.00, Federal Project No. STP-M-9104(15)
Greene County

Dear Ms. Sullivan,

This certifies the status of utilities for the above referenced project.

No railroad involvement.

Insofar as utilities are concerned, this project is ready for contract letting as all necessary arrangements have been made.

Sincerely,

Michael Horlacher, PE
State Utility Coordinator
R-O-W, Utility Office
Suite 600 J.K. Polk Bldg.
Nashville TN 37243-0337
E-mail: michael.horlacher@tn.gov
Phone: 615.741.6802
Fax: 615.532.1548

cc: Mr. Ronnie Porter, TDOT Headquarters Programming
Mr. John Barrett, TDOT Region 1 Utilities

ROW Certification

- At the completion of the ROW Phase of the project, the LG shall attest to TDOT that all right-of-way was acquired in accordance with the Uniform Act
- TDOT will certify the project upon review of the files to ensure compliance with both state and federal rules and regulations
- Project is certified for construction

Request for ROW Certification

STATE OF TENNESSEE
DEPARTMENT OF TRANSPORTATION
REGION 1 RIGHT OF WAY OFFICE
P O BOX 58
KNOXVILLE, TENNESSEE 37901
(865) 594-2496

JOHN C. SCHROER
COMMISSIONER

BILL HASLAM
GOVERNOR

January 8, 2015

Mr. Gary Palmer
Transportation Specialist 2
Department of Transportation
Suite 600, James K. Polk Building
Nashville, TN 37243-0337

Attention: Mr. Bill Bledsoe

RE: CERTIFICATION FOR LPA PROJECT
State Project: 30-LPLM-F3-011
Federal Project: STP-M-9104(15)
Fairgrounds Connector Phase 3
Greene County (Town of Greeneville)
Pin # 115881.00
Tracts: 4

Dear Mr. Palmer:

Please find attached the local public agency certification dated January 5, 2015, signed by, W. T. Daniels, Mayor of the Town of Greeneville. The Town of Greeneville has acquired 4 tracts by deed.

Also attached you will find the LPA Acquisition Process Audit conducted by Ms. Judy Walton, Right of Way Agent 3.

Therefore all right of way has been acquired in accordance with federal and state acquisition laws, policies, and procedures.

Please advise if you should have any questions.

Yours truly,

Andrea R. Hall

Andrea Hall
Transportation Manager 2
Right-of-Way Office

AH/jw
Attachments

c: Ms. Whitney Sullivan w/attachments
Utility Office w/attachments
Mayor W. T. Daniels w/attachments
Files w/attachments

ROW Certification

STATE OF TENNESSEE
DEPARTMENT OF TRANSPORTATION
RIGHT OF WAY DIVISION
SUITE 600, JAMES K. POLK BUILDING
505 DEADERICK STREET
NASHVILLE, TENNESSEE 37243-0337
(615) 741-3196

JOHN C. SCHROER
COMMISSIONER

BILL HASLAM
GOVERNOR

January 12, 2015

Whitney Sullivan
TDOT Local Public Agency Contact
Suite 600 JKP Bldg.
Nashville, Tennessee 37243

Re: Project No. 30LPLM-F3-011
Pin No. 115881.00
Green County, Town of Greeneville
Project Description: Fairgrounds Connector Phase 3

Dear Whitney:

This certification is made in accordance with Title 23, CFR, Part 635.309. According to the approved letter from Andrea Hall, this project has four tracts.; The Town of Greeneville has acquired these tracts by Deed.

All Right-of-Way has been acquired in accordance with Federal and State acquisition laws, policies, and procedures.

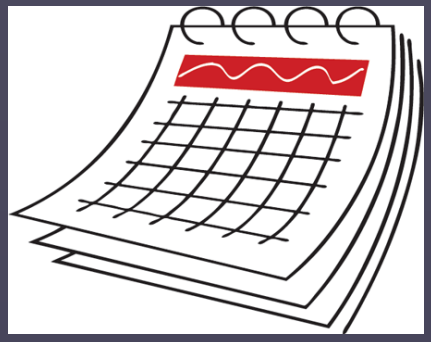
This letter certifies that the Right-of-Way is available for construction.

Sincerely,

Bill Bledsoe
Senior Transportation Project Specialist

Attachment

How Long?



Length of the Right-of-Way Phase will depend on…

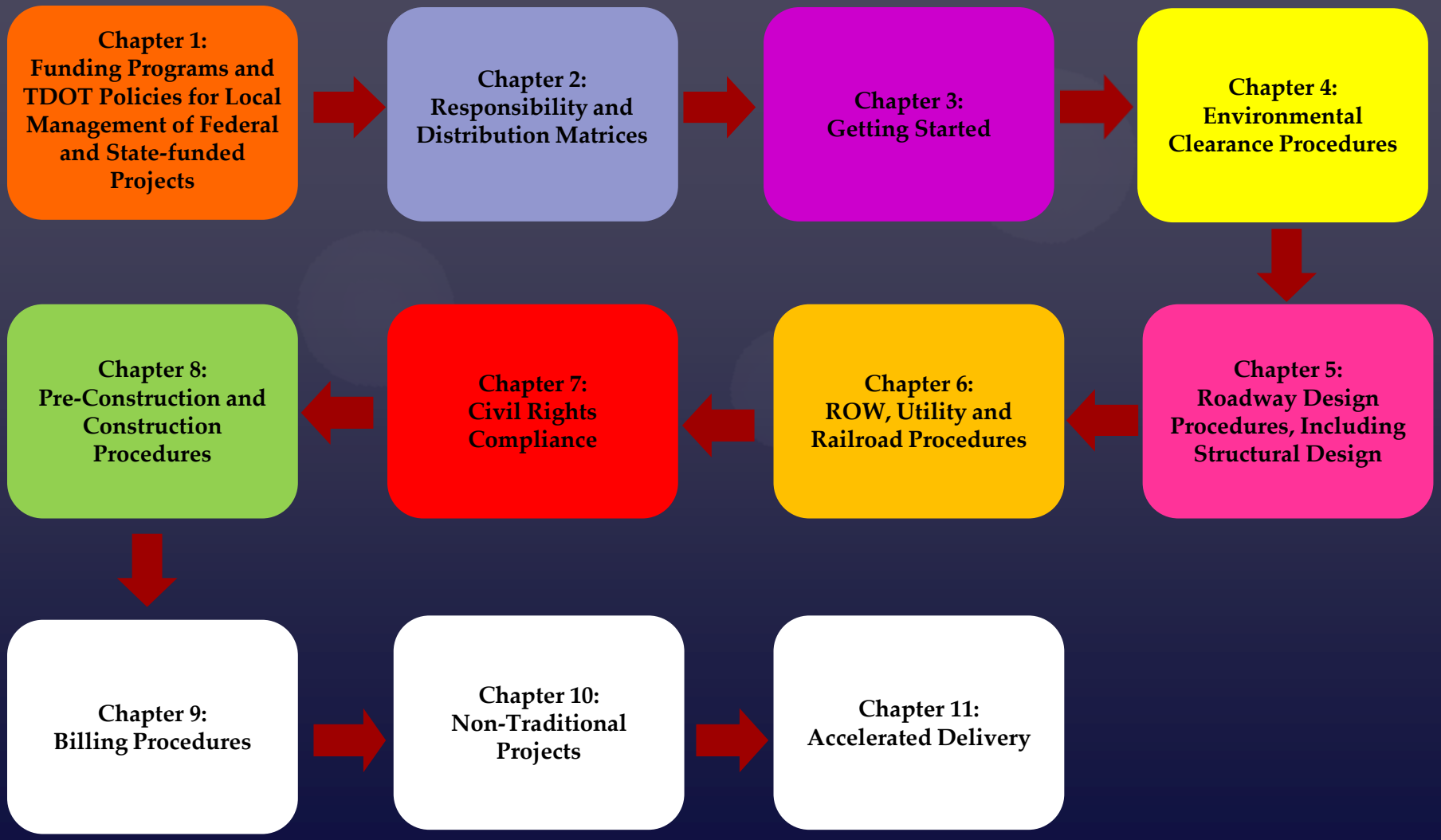
- Complexity of ROW acquisition
- Number of tracts to acquire
- Whether property owners support project
- If utilities are to be relocated

Examples of Reimbursable ROW Activities

- Courthouse Fees
- Attorney Fees
- Appraisals
- Relocating utilities located on private ROW
- Utility relocation work not in the contract
- Relocation Costs (Residential & Business)
- Condemnations
- Closings

Questions?

Chapters Flow Chart



Pre-Construction Activities

- Local Government Representative Chosen
- Title VI Certification
- DBE Goal
- Construction Authorization Checklist (Form 8-2)
- Construction Advertisement (Form 8-3)
- Bid Book (Forms 8-1 Federal and 8-1 State)
- Construction Plans with Estimate
- Permit Certification

LG Project Supervisor

- LG must designate a qualified full-time staff member who will be responsible for project administration; including:
  - Supervision of the hired CEI
  - Authority to request TDOT approval of change orders
  - Accountability for contract compliance
  - All local points of contact with TDOT
  - Maintaining a complete project file
- Might be the same person in "Responsible Charge" of the project (Form 1-1 or Form 3-1)
- As such, this person should take Level 1 CEI training

LG Responsibilities

- Prior to the Notice to Proceed for Construction, LG must:
  - Be Title VI Certified by the TDOT Civil Rights Office
  - Establish a DBE goal, Based on the Estimated Construction Cost of the project https://www.tn.gov/tdot/civil-rights/small-business-development-program.html
  - Submit a completed Construction Advertisement Authorization Checklist, Form 8-2
    - Minimum Ad Requirements can be found in Form 8-3

Disadvantaged Business Enterprise (DBE)

- All federally-funded projects should be assessed for inclusion of DBEs
- All federally funded projects where the Construction costs are estimated to exceed $500,000.00 will be assigned a DBE goal (read "requirement")
- LGs should establish an appropriate DBE goal and obtain concurrence from TDOT
- All established DBE goals must be met or exceeded

Tennessee Department of Transportation Civil Rights Office

TIPS ON DBE GOAL SETTING FOR LOCAL AID CONSTRUCTION CONTRACTS

When setting a DBE goal on construction projects, the following steps can be utilized:

1. Utilize staff with construction background to set DBE goals.
2. Review projects based on the following criteria:
   - Federal funding allocation (approximately $500,000 and above)
   - Work Items (quantities & estimated costs per unit)
   - Availability of DBEs to perform work
3. Create a DBE goal-setting worksheet that includes all work items that a DBE could perform (see attached example).
4. Determine each work item for the project at hand and review the list of DBEs who have performed similar work in the project's geographical area (using historical data). It may be helpful to write the names of these DBEs on goal-setting worksheet.
5. Fill in the individual work items that have the potential of being subcontracted to DBEs. Insert the cost for each item in the **COST** column of the worksheet. The **% OF TOTAL** can then be completed by dividing the cost of the work item by the overall project cost.
6. Adjust the **% of Total** amounts (if necessary) to find a figure that would be more realistically attained through subcontracting. This would be the Estimated Percentage and can be added to the worksheet in the **EST %** field.
7. Total all individual work item percentages (**EST %** column) which may be used for goal work (this figure will go in the **TOTAL** field at bottom of form). Review the total percentage to determine if further adjustments may be necessary. The adjusted figure is your **GOAL.**

Please contact David Neese with any further questions at (615) 741-3681 or toll free (888) 370-3647 or email David.Neese@tn.gov.

DBE GOALS WORKSHEET

ITEM NO.	WORK DESCRIPTION	COST	% OF TOTAL DBE could perform	EST. %
_____	Construction Stakes, lines, Etc.	_____	_____	_____
_____	Clearing & Grubbing	_____	_____	_____
_____	Road & Drainage Excav. (Haul)	_____	_____	_____
_____	Erosion Control	_____	_____	_____
_____	Haul (Stone & Asph.)	_____	_____	_____
_____	Scoring Pavement	_____	_____	_____
_____	Pipe Culvert	_____	_____	_____
_____	Conc. Catchbasins, Endwalls, Etc.	_____	_____	_____
_____	Concrete Flatwork	_____	_____	_____
_____	Guardrail	_____	_____	_____
_____	Rip-Rap	_____	_____	_____
_____	Concrete Median Barrier	_____	_____	_____
_____	Traffic Control	_____	_____	_____
_____	Pavement Markings	_____	_____	_____
_____	Signalization Work	_____	_____	_____
_____	Seed, Sod, Landscaping, Etc.	_____	_____	_____
		BRIDGE ITEMS		
_____	Reinforcing Steel	_____	_____	_____
_____	Reinforcing Steel (Bridge Deck)	_____	_____	_____
_____	Texture Coating	_____	_____	_____
_____	Rein. Concrete Median/Parapet	_____	_____	_____
			TOTAL	_____
			GOAL	_____

Construction Advertisement Authorization Checklist

PIN:
County:
Federal Project No.:
State Project No.:

The following checklist is intended to serve as a guide to assist the Local Government prior to advertising. This checklist shall be completed with the Proposal Contract and certification. The checklist must be submitted with the Proposal Contract (bid book) when it is submitted to the Local Program Development Office for review. **The bid book will not be reviewed if the completed checklist is not sent with it.**

FUNDING SOURCE: Federal % State % Local % Other %

	YES	NO	PROPOSAL PAGE	COMMENTS
PS&E approved by Local Government	☐	☐		Specifications to be used: Standards to be used:
Proprietary items specified [23 CFR 635.411]	☐	☐		
ALL PERMITS have been obtained: • TDEC ARAP • TDEC §401 WQ Certification • COE §404 • TVA Section 26a • TWRA • NPDES • USCG Bridge Permit • LOCAL Permit(s)	☐	☐		Date(s):
NEPA document approved	☐	☐		Date:
Any environmental commitments	☐	☐		
ALL ROW acquired or have necessary easements	☐	☐		
ALL UTILITY agreements have been completed	☐	☐		
ALL RAILROAD agreements have been completed	☐	☐		
Does the Proposal Contract have a defined completion date	☐	☐		Date:

TN TDOT Department of Transportation

Local Government Guidelines Form 8-3
March 9, 2018

NOTICE TO CONTRACTORS

OF CONSTRUCTION BIDS

BIDS TO BE RECEIVED [DATE]

Sealed bids will be received by the [CITY/TOWN/COUNTY OF JURSDICTION NAME] at their offices in [ADDRESS], until [TIME] [AM/PM] [LOCAL TIMEZONE], [DATE] and opened publicly at [ADDRESS] at that hour. The reading of the bids will begin at [TIME] [AM/PM] [LOCAL TIMEZONE].

TDOT PIN: [TDOT PIN #]
Federal Project No.: [FEDERAL PROJECT #]
State Project No.: [STATE PROJECT #]

PROJECT DESCRIPTION

[THIS PROJECT INVOLVES...]. [THE PROJECT IS LOCATED AT...]. [THE WORK TO BE DONE CONSISTS OF; ...]. [THE TOTAL PROJECT LENGTH IS...]

PROPOSAL CONTRACTS WILL BE ISSUED UNTIL THE TIME SET FOR OPENING BIDS

A Prime Contractor must prequalify with the Department of Transportation in accordance with Section 54-5-117 of the "Tennessee Code Annotated" and Tennessee Department of Transportation Rule 1680-5-3 prequalification of contractors before biddable proposals will be furnished.

The [CITY/TOWN/COUNTY OF JURSDICTION NAME] hereby notifies all bidders that a [DBE GOAL %] Disadvantaged Business Enterprise (DBE) goal has been set for this project and must be met or exceeded.

The [CITY/TOWN/COUNTY OF JURSDICTION NAME] hereby notifies all bidders that it will affirmatively insure that in any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded full opportunity to submit bids in response to this invitation, and will not be discriminated against on the grounds of age, race, color, religion, national origin, sex or disability in consideration for an award. No Disadvantaged Business Enterprise (DBE) goal has been set on this contract. However, the use of DBE or minority/women owned firms are encouraged.

The [CITY/TOWN/COUNTY OF JURSDICTION NAME] is an equal opportunity affirmative action employer, drug-free with policies of non-discrimination on the basis of race, sex, religion, color, national or ethnic origin, age, disability or military service. The [CITY/TOWN/COUNTY OF JURSDICTION NAME]'s telephone number is [TELEPHONE NUMBER WITH AREA CODE].

THE RIGHT TO REJECT ANY AND ALL BIDS IS RESERVED

Bidding documents and information, and plans, may be obtained at the office of [ADDRESS]; [TELEPHONE NUMBER WITH AREA CODE] after [TIME] [AM/PM] [LOCAL TIMEZONE] on [DATE] for a non-refundable fee of [FEE AMOUNT (IN $)].

NOTE TO PUBLISHER: The above notice is to be published no later than [DATE]. It is

Design Consultant Responsibilities

- Prior to the Notice to Proceed for Construction, the Plans, Specifications & Estimates (PS&E) package must be submitted
- Obtain permit concurrence from TDOT Environmental Division (Manual section 8.1.3)

Plans, Specifications, and Estimate (PS&E) Package

- Forms 8-1: Contract Proposal Template (Sample Bid Book) must be used or bid books will be returned
  - **Form 8-1 Federal - Licensing requirement prohibited**
    - **Related Special Provisions (Manual, section 8.1.4.1)**
  - **Form 8-1 State - Contractor's License Required on Bid Envelope**
    - **Related Special Provisions (Manual, section 8.1.4.2)**
  - Additional Special Provisions as Needed (Manual, section 8.1.4.3)
  - Must use TDOT standards, specifications, and item numbers

PS&E Package (Plans)

- Construction Plans (including Form 5-3) must be submitted for review. After comments are addressed, the Final Construction Plans must be submitted
  - Must be stamped and sealed by a Professional Engineer licensed in the State of Tennessee
  - Must contain Estimated Construction Item Quantities
  - Must be complete and unambiguous
  - Submitted electronically in PDF format

PS&E Package (Estimate)

- Detailed cost estimate must be submitted for review and concurrence
  - Must be comprehensive
  - Must contain TDOT item numbers
  - Must not contain contingency items
  - No additive/deductive alternates
  - Either/or alternates allowed
  - Final Estimate will not be reviewed until the Final Stamped Construction Plans are submitted.

Permit Certification

Mr. Haas,

As you requested, I have reviewed the information you provided regarding the subject project. This includes your email statement that you, in accord with the Environmental Division's memo on requirements for TDOT environmental approvals, have determined that no permits are required (no water resource impacts will occur on the project and it will disturb less than one acre of land).

I concur that this project is ready for construction, as far as environmental permits are concerned. This opinion is based solely on the information you have provided to me, with no independent investigation by this office.

Any changes in the project scope that result in water resource impacts or additional land disturbance may require permits, and additional review by this office will be needed.

Please let me know if you have any questions.

Thanks,

DJ Wiseman, PE, CPESC | Permits Section Manager
Environmental Division
James K. Polk Bldg, 9th Floor
505 Deaderick St., Nashville, TN 37243
p. 615-532-4554
DJ.Wiseman@tn.gov
tn.gov/tdot

Permit Certification

- Recent change in permit certification contact
  - Used to be John Hewitt
  - Now, send all related inquiries/materials to: TDOT.ENV.PermitsLG@tn.gov

Pre-Construction & Construction Procedures

- Common mistakes:
  - Not using standard bid book template
  - <u>Using incorrect bid bond form</u>
  - Contradictory language

Upon Review and Concurrence of Submittals:

- Your Program Monitor will:
  - Request Obligation of Construction Funds
  - Receive Confirmation of the Obligation of Funds
  - Issue the NTP for Construction Phase

NB

NOTICE TO PROCEED WITH THE FUNDED

CONSTRUCTION PHASE

OF PROJECT DEVELOPMENT

PIN:	115881.00
FEDERAL PROJECT NUMBER:	STP-M-9104(15)
STATE PROJECT NUMBER:	30LPLM-F3-011
TERMINI / PROJECT NAME:	Fairgrounds Connector Road, from Fairgrounds Circle to North Rufe Taylor Road
CONTRACTEE:	Greeneville
REGION:	1

Effective Date: March 30, 2015
Date of Transmittal: March 31, 2015

This letter serves as your official Notice to Proceed with the above referenced phase of work for the subject project. The Local Government shall perform this phase of project development in accordance with the Local Government Guidelines provided on the Local Program Development Office website at: https://www.tn.gov/content/dam/tn/tdot/programdevelopment/localprograms/documents-and-forms/LGG_Manual.pdf. Any work performed ahead of a Notice to Proceed's Effective Date will not be reimbursed.

You may procure, in accordance with law, a consulting engineering firm to do all phases of construction at this time. Please refer to Section 1.6 of the Local Government Guidelines for guidance on consultant selection, if needed. All consultant solicitation advertisements shall be reviewed and approved by the Local Programs Development Office before publishing. *Please provide a copy of the executed contract with the consultant and a copy of the notice sent to the consultant indicating the date work was authorized on the phase of the project mentioned above.* These documents should be emailed to Local.Programs@tn.gov. **Note:** If the person in responsible charge for this phase of the project has changed since Form 3-1 (Project Initiation Form) was submitted, the Local Government shall resubmit Form 1-1 (Responsible Charge Form) at this time to the Local Programs Development Office at the email below.

If you have questions or concerns regarding this matter please direct them to Stanley Burnette at 615.741.5314 in the Local Programs Development Office. You may contact us by email at: Local.Programs@tn.gov.

cc: Paul Degges
Whitney Britt
John Kahle
Lori Lange
Matt Burcham
Kimery Grant
LP Supervisor
Regional Assistant Chief of Engineering
Regional Director of Project Development
Regional Design Manager
Regional Traffic Engineer
Regional Construction Supervisor
Regional Materials & Test
MPO Coordinator
AA.CC@tn.gov
File

Construction NTP E-mail

Subject: PIN:115881.00 , Notice to Proceed with Construction, Greeneville, Greene County (LPA)

Good Morning John,

The attached Notice to Proceed is for **Construction** for PIN: (115881.00). You may now advertise the project for bids to be received.

1. The advertisement must be submitted to the Local Programs Development Office at https://www.tn.gov/tdot/program-development-and-administration-home/local-programs/current-projects.html to be placed on TDOT's website for publication. The ad must be submitted to Local.Programs@tn.gov at a minimum of 24 days prior to the bid opening date. If any changes to the advertisement arise during the advertisement period, LPDO must be alerted immediately in order to make necessary changes. Local governments no longer have to advertise in newspapers, unless required by local procurement rules. **Please notify me of your ad's posting date.**
2. Per federal law, you **cannot** require a license of your bidders if there are federal funds on any phase of the project.
3. Only TDOT pre-qualified bids are to be opened publicly and read aloud. If a bid is not read, the bidder is to be identified and the reason for not reading the bid announced.
4. In order to obtain TDOT's concurrence in award, the following documents must be submitted electronically in accordance with Section 8.2.6 of the Local Government Guidelines:
   a. A completed Form 8-4
   b. An electronic copy of the bid tabulations (Excel spreadsheet comparing bids received)
   c. Documentation certifying that the bids have been reviewed and found responsive
   d. A letter requesting concurrence in the decision to award signed by the Local Government Official or to reject the bids including the necessary explanations for the request made (this may include the letter from the CEI)
   e. A PDF of the proposal contract for the apparent low bidder
   f. DBE Award Information, if applicable (Form 8-5)
5. You **must** email me a copy of the fully executed CEI contract for the referenced project before the pre-construction meeting.

Also note, $2,522,165.00 total has been obligated for this phase ($2,017,732.00 Federal/ $ 0.00 State/ $504,433.00 local match).

If you have any questions please feel free to contact me.

Construction Engineering and Inspection (CEI)

- LG must hire a pre-qualified consultant to oversee construction in the field
- CEI consultant must be on TDOT's pre-qualified list
- CEI consultant must have completed LPDO CEI Training and show proof of attendance
- LG's CEI will conduct all acceptance testing of materials

CEI Duties

- Oversee Contractor's work to ensure adherence to plans and specifications
- Keep project diary, material test results, and other records
- Prepare contractor pay requests
- Perform on-site interviews:
  - Davis-Bacon Wage Rates
  - CUF (Form 8-9, Commercially Useful Function Checklist)

Local Government CEI Training Course

- Mandatory for CEIs and LGs actively managing projects (valid for 5 years)
  - Level 1 (one day) is for LGs (project supervisors)
  - Level 2 (two day) is for consultants and LGs wishing to perform CEI services on their own projects

NOTE: If an LG wants to provide CEI services for its own projects, prior approval must be obtained from Local Programs.

Bid Advertisements: UPDATED REQUIREMENTS!

- Effective January 1, 2018 all locally managed projects must be advertised on the LPDO website: https://www.tn.gov/tdot/program-development-and-administration-home/local-programs/current-projects.html
- In addition, must meet all local procurement rules
  - This MAY still require traditional newspaper advertisements
- Must submit at least 24 days prior to bid opening
- Bid ad language requirements and 21 day advertising period still apply

Bid Advertisements: UPDATED REQUIREMENTS!

TN TDOT Department of Transportation

Go to TN.gov

Search TDOT

Driver how do I... | Business how do I... | Government how do I | Find Local Information | Find IMPROVE Act Projects | Sitemap | Index of Services

Program Development and Administration

State Programs

Local Programs

- Funding Options
- Documents and Forms
- Reimbursement Guidance
- Training
- **Current Projects**
- Transportation Alternatives Program
- Staff

Current Projects

RFQs/RFPs | Bid Ads

Location (City/County)	Type of Work	Contact Information	Posted Date	Bid Opening	Advertisement
City of Memphis, Shelby County	Construction of Phase 5A of Wolf River Greenway (which includes bicycle lanes beginning at the intersection of McLean Blvd. & Chelsea Ave. and continuing north; work also includes traffic signal modification)	Mark Lindstrom ETI Corporation 901-758-0400	12/15/17	2/2/18	Bid Advertisement
City of Portland, Sumner County	1,300 of Sidewalk Construction for Watt Hardison Elementary School (at WT Hardison Ave and Abbigael Dr)	Trey Arnold HFR Design, Inc. 615-370-8500 tarnold@hfrdesign.com	1/4/18	1/25/18	Bid Advertisement

Bidding Requirements

- All contractors must be on TDOT's Pre-qualified list Contractors must use, and only use, the name as shown on pre-qualification records
- All sub-contractors must be on TDOT's pre-qualified list before beginning any work
- Bid book and bid form must be marked VOID if sold to non-prequalified contractors
  - Contractors *may* participate if they are within the 90 day grace period after the expiration date shown on the TDOT pre-qualified list
  - Be careful, as their bid will be invalid should this period lapse prior to the letting
- LG is responsible for checking all bid proposals to ensure that the contractors are prequalified prior to opening bid proposal

Licensing of Prime Contractors

- The State of Tennessee requires Contractors who work on State contracts to be licensed.
- Federal regulations prohibit licensure as a requirement to bid on federally-funded projects.
- For state-funded projects, TDOT requires the license number be written on the bid envelope.
- For federally-funded projects, contractors have 21-days to become licensed.
- If a project has both federal and state funds on it, it follows the federal requirements.

"In Good Standing"

TDOT will not execute any contracts or approve subcontracts with contractors that are not in good standing with the Secretary of State (i.e. have a valid Certificate of Existence/Authorization)

If there is a DBE Goal:

- Special Provision 1247 will be included in the bid book
- The Contractor must submit with his bid, or within 3 business days of bid opening:
  - The names, ethnicities, and genders of the TNUCP certified DBEs that will be used on the project
  - The amount of subcontracts to be completed by the DBE (Form 8-5)
- The LG must submit this form with their bid concurrence package to the LPDO and TDOT Civil Rights Office

Special Provision 1247

If the Contractor fails to comply with this Special Provision 1247, the Department may take one or a combination of the following steps:

1) Require the Contractor to have its entire management staff attend DBE training arranged by the Department and paid by the Contractor.
2) The next bid when Contractor is the low bidder on a DBE goal project, require that Contractor shall achieve a DBE participation that is twice the stated goals.
3) For the Contractor's failure to find another DBE subcontractor to substitute for a DBE that is terminated or fails to complete its work on the contract for any reason or to provide the CRO - SBDP documentation clearly evidencing good faith efforts, as detailed in D.1. above, then **the Department may withhold from the Contractor an amount not to exceed the amount of money originally committed to the non-complying DBE subcontractor, not as a penalty but as liquidated damages.**
4) Suspend the Contractor from participation in Department bid lettings pursuant to rules promulgated by the Department.
5) For repeated failures to comply, debar the Contractor pursuant to rules promulgated by the Department.
6) Invoke other remedies available by law and/or in the contract.

Disadvantaged Business Enterprise (DBE)

- DBE goals apply to construction contracts, not to professional services
- When a contract is executed, DBE goals will be met, unless Good Faith Effort can be proven
  - Per 23 CFR 230
- If DBE goal is not met, Local Agency will be subject to repayment of work performed that would have been performed by DBE

Bid Document Addenda

- The LG should keep track of every contractor who purchases a set of bid documents
- If the LG finds an error in the ad within the advertisement period, the LG MUST notify all proposal holders
- The LG must document where the correction was distributed to all proposal holders (an email is acceptable in most cases)
- EVERY proposal holder must acknowledge in writing that they received the Addendum before opening bids

LG Requirements, Time of Bids

- Must not allow bids to be submitted after the date and time set in the bid advertisement
- Must begin to open bids on the date and time set in the bid advertisement
- Must read each responsive bid out loud and in public
- Must select the lowest responsive bidder, pending TDOT concurrence
- Must not open bids by non-prequalified contractors
  - Responsive bids shall be opened from contractors who are within the 90 day grace period of their TDOT prequalification expiration date
    - https://www.tn.gov/tdot/tdot-construction-division.html

Bid Review

- Bids are to be submitted in the original bound bid book
- Bids are to be completed and signed
- Bids must be completed on the forms provided in the bid book
- There must be a unit price of $0.00 or greater for each bid item
- License? – Dependent on funding source

After Receiving Bids, LG Will:

- Announce the apparent low bidder, adding the words "pending TDOT concurrence"
- Tabulate the Engineer's Estimate along with the bid prices for all bidders, or at least the lowest three bidders
- Review the bids to determine if they are unbalanced (Manual, section 8.2.6)
- Prepare a submittal package to send to TDOT

After Receiving Bids, LG Will:

electronically submit the following to TDOT, at least 15 days prior to expiration of bids:

- Letter requesting to award or reject signed by LG Official
- A completed Form 8-4: Construction Advertising and Award Checklist
- Tabulated bids with Engineer's estimate in Excel format
- Documentation certifying that bids have been reviewed and found to be responsive
- A PDF of the proposal contract for the apparent low bidder
- DBE Award Information, if applicable (Form 8-5)

CDM Smith
1100 Marion Street, Suite 200
Knoxville, TN 37921
tel: 865 963-4300
fax: 865 963-4301

September 15, 2015

Mr. Brad Peters, PE
Town of Greeneville Engineer
200 North College Street
Greeneville, TN 37745

Subject: **Bid Tab Certification / Recommendation to Award (Rebid)**
Fairgrounds Connector Road Phase 3
From Fairgrounds Circle to North Rufe Taylor Road
Greene County
PIN 115881.00
STP-M-9104(15); 30LPLM-F3-011

Dear Mr. Peters:

Please find attached the bid tabulation certification for Greeneville Fairgrounds Connector Road Phase 3 (PIN 115881.00). All bidders' tabulations were found to be correct with no mathematical errors. Hence, the apparent low bidder, Summers-Taylor, Inc, is verified as the low bidder with a bid amount of $2,275,039.15. This bid is within 1% of the engineer's estimate and is recommended for award.

Please feel free to contact us with any questions or comments.

Sincerely,
CDM Smith

Jeff Mize, P.E.
Senior Project Manager

cc: Mr. John Hunter

MAYOR
W. T. Daniels

ADMINISTRATOR
Todd Smith

GREENEVILLE
TENNESSEE

ALDERMEN
Brian N. F. Bragdon
Buddy C. Hawk
Keith W. Paxton
Sarah E. T. Webster

September 16, 2015

Mr. Eli Jones
TDOT Local Programs Development Office
James K. Polk Building, 6th Floor
505 Deaderick Street, Nashville, TN 37243

Re: Fairgrounds Connector Road Phase III, PIN 115881.00
Bid Award Recommendation

Dear Eli,

On behalf of the Town of Greeneville, I recommend the referenced project be awarded to the low bidder, Summers-Taylor, Inc.

All required documents for award of the contract will be emailed to you.

Should you have any questions you may contact me at the number below.

Sincerely,

Brad Peters, P.E.
Engineer

Phone: 423-639-7105
TDD: 423-639-5785

200 North College St.
Greeneville, TN 37745

Fax: 423-639-0093
www.greenevilletn.org

Construction Advertising and Award Checklist

PIN:
County:
Federal Project No.:
State Project No.:

The following checklist is intended to serve as a guide to assist the Local Government for advertising and award of the Contract. **This Checklist shall be submitted when requesting TDOT Concurrence in AWARD.**

	YES	NO	N/A	COMMENTS
Was the Advertisement for bid posted on TDOT's website at least 3 weeks prior to the public bid opening date?	☐	☐	☐	Date of advertisement:
Did the advertisement state the date, time, and location of public bid opening?	☐	☐	☐	Date of bid opening: Location:
Were bids read aloud at the bid opening? If not, was the bidders name read and the reason for not reading aloud stated publicly?	☐	☐	☐	Reason for not reading aloud:
Were only pre-qualified bidders read?	☐	☐	☐	
If addendums were issued during the advertisement period, were they acknowledged by the bidders?	☐	☐	☐	
Were the bids reviewed for responsiveness and irregularities in accordance with guidelines?	☐	☐	☐	
Has the DBE goal been met (must demonstrate within 3 days of bid opening)?	☐	☐	☐	
Is the lowest responsive bidder recommended for award?	☐	☐	☐	If not, why:
Is TDOT provided an electronic bid tabulation of the three lowest bidders at least 14 days prior to the end of award period?	☐	☐	☐	Date to TDOT for concurrence: Date of award closing :
Is the pre-bid estimate with quantities included?	☐	☐	☐	
Is a request for award or rejection included?	☐	☐	☐	

TN TDOT Department of Transportation

Local Government Guidelines Form 8-5
March 9, 2018

DBE AWARD INFORMATION FOR CONTRACTORS AND CONSULTANTS ON LOCALLY LET FEDERAL AID CONTRACTS

County: _____ PIN: _____

Contract Award Amount: _____ Federal Project Number: _____

Federal Dollars in Contract: _____ State Project Number: _____

Contract Award Date: _____

Name of Prime Contractor: _____

Proposed DBE Goal or None: % or ☐ None

This form must be resubmitted to Local.Programs@tn.gov if the DBEs change on the project.

NAMES OF SUBCONTRACTORS	ETHNICITY**	GENDER	SUBCONTRACT AMOUNT
DBE Certified Work Type to be performed: ☐ 2nd Tier			$
DBE Certified Work Type to be performed: ☐ 2nd Tier			$
DBE Certified Work Type to be performed: ☐ 2nd Tier			$
DBE Certified Work Type to be performed: ☐ 2nd Tier			$
DBE Certified Work Type to be performed: ☐ 2nd Tier			$
	TOTAL DBE COMMITMENT:		$

SUBMITTED BY: _____ DATE: _____

**Ethnicity= Black American (BA), Hispanic American (HA), Native American (NA), Asian Indian American (AIA), Asian-Pacific American (APA), Non-Minority Women (FBE), Other (OT)

Fairgrounds Connector Road Phase 3; CERTIFIED BID FORM

9/9/2015

PIN 115881.00

ITEM NO.	DESCRIPTION	UNIT	QUANTITY	Summers Taylor, Inc UNIT COST	Summers Taylor, Inc TOTAL COST	Earl TN Turf & Landscape UNIT COST	Earl TN Turf & Landscape TOTAL COST	Thomas Court, Co. UNIT COST	Thomas Court, Co. TOTAL COST	Engineer's Opinion of Probable Co UNIT PRICE	Engineer's Opinion of Probable Co TOTAL PRICE
105-01	CONSTRUCTION STAKES, LINES AND GRADES	LS	1	$15,000.00	$ 15,000.00	$ 20,000.00	$ 20,000.00	$18,553.50	$ 18,553.50	$ 46,000.00	$ 46,000.00
201-01.03	CLEARING AND GRUBBING	ACRE	8	$ 2,500.00	$ 20,000.00	$ 3,000.00	$ 24,000.00	$ 11,411.82	$ 91,294.56	$ 5,000.00	$ 40,000.00
203-01	ROAD & DRAINAGE EXCAVATION (UNCLASSIFIED)	C.Y.	63579	$ 4.65	$ 295,642.35	$ 4.50	$ 286,105.50	$ 4.41	$ 280,383.39	$ 5.00	$ 317,895.00
203-04	PLACING AND SPREADING TOPSOIL	C.Y.	2140	$ 6.00	$ 12,840.00	$ 4.25	$ 9,095.00	$ 8.10	$ 17,334.00	$ 3.10	$ 6,634.00
203-06	WATER	M.G.	108	$ 5.00	$ 540.00	$ 30.00	$ 3,240.00	$ 52.50	$ 5,670.00	$ 5.10	$ 550.80
209-02.04	10" TEMPORARY SLOPE DRAIN	L.F.	266	$ 18.00	$ 4,788.00	$ 10.00	$ 2,660.00	$ 11.94	$ 3,176.04	$ 12.25	$ 3,258.50
209-03.20	FILTER SOCK (8 INCH)	L.F.	168	$ 3.10	$ 520.80	$ 12.00	$ 2,016.00	$ 3.15	$ 529.20	$ 7.00	$ 1,176.00
209-08.03	TEMPORARY SILT FENCE (WITHOUT BACKING)	L.F.	4185	$ 1.50	$ 6,277.50	$ 3.00	$ 12,555.00	$ 1.47	$ 6,151.95	$ 1.50	$ 6,277.50
209-08.07	ROCK CHECK DAM PER	EACH	43	$ 171.00	$ 7,353.00	$ 225.00	$ 9,675.00	$ 168.00	$ 7,224.00	$ 200.00	$ 8,600.00
209-08.08	ENHANCED ROCK CHECK DAM	EACH	7	$ 350.00	$ 2,450.00	$ 275.00	$ 1,925.00	$ 341.25	$ 2,388.75	$ 320.00	$ 2,240.00
209-09.01	SANDBAGS	BAG	80	$ 5.00	$ 400.00	$ 2.00	$ 160.00	$ 12.41	$ 992.80	$ 3.00	$ 240.00
209-10.20	TEMPORARY SEDIMENT TRAP	C.Y.	609	$ 40.00	$ 24,360.00	$ 3.00	$ 1,827.00	$ 11.50	$ 7,003.50	$ 7.00	$ 4,263.00
209-40.31	CATCH BASIN PROTECTION (TYPE B)	EACH	4	$ 400.00	$ 1,600.00	$ 500.00	$ 2,000.00	$ 444.79	$ 1,779.16	$ 460.00	$ 1,840.00
209-40.33	CATCH BASIN PROTECTION (TYPE D)	EACH	40	$ 215.00	$ 8,600.00	$ 300.00	$ 12,000.00	$ 444.79	$ 17,791.60	$ 270.00	$ 10,800.00
303-01	MINERAL AGGREGATE, TYPE A BASE, GRADING D	TON	9833	$ 23.25	$ 228,617.25	$ 24.00	$ 235,992.00	$ 26.99	$ 265,392.67	$ 18.00	$ 176,994.00
303-10.01	MINERAL AGGREGATE (SIZE 57)	TON	240	$ 32.00	$ 7,680.00	$ 25.00	$ 6,000.00	$ 30.20	$ 7,248.00	$ 21.00	$ 5,040.00
307-01.01	ASPHALT CONCRETE MIX (PG64-22) (BPMB-HM) GRADING A	TON	2713	$ 89.00	$ 241,457.00	$ 93.00	$ 252,309.00	$ 90.82	$ 246,394.66	$ 89.00	$ 241,457.00
307-01.08	ASPHALT CONCRETE MIX (PG64-22) (BPMB-HM) GRADING B-M2	TON	1854	$ 94.25	$ 174,739.50	$ 100.00	$ 185,400.00	$ 96.08	$ 178,132.32	$ 85.00	$ 157,590.00
402-01	BITUMINOUS MATERIAL FOR PRIME COAT (PC)	TON	30	$ 325.00	$ 9,750.00	$ 325.00	$ 9,750.00	$ 341.25	$ 10,237.50	$ 250.00	$ 7,500.00
402-02	AGGREGATE FOR COVER MATERIAL (PC)	TON	99	$ 40.00	$ 3,960.00	$ 40.00	$ 3,960.00	$ 42.00	$ 4,158.00	$ 30.00	$ 2,970.00
403-01	BITUMINOUS MATERIAL FOR TACK COAT (TC)	TON	3	$ 965.00	$ 2,895.00	$ 1,000.00	$ 3,000.00	$ 1,013.25	$ 3,039.75	$ 530.00	$ 1,590.00
411-01.07	ACS MIX (PG64-22) GRADING E SHOULDER	TON	288	$ 116.00	$ 33,408.00	$ 125.00	$ 36,000.00	$ 118.13	$ 34,021.44	$ 76.00	$ 21,888.00
411-01.10	ACS MIX (PG64-22) GRADING D	TON	1170	$ 112.00	$ 131,040.00	$ 118.00	$ 138,060.00	$ 114.19	$ 133,602.30	$ 107.00	$ 125,190.00
415-01.02	COLD PLANING BITUMINOUS PAVEMENT	S.Y.	1214	$ 7.85	$ 9,529.90	$ 8.00	$ 9,712.00	$ 8.24	$ 10,003.36	$ 2.50	$ 3,035.00
604-07.01	RETAINING WALL (STA 24+30 TO STA 26+25)	S.F.	1790	$ 63.00	$ 112,770.00	$ 60.00	$ 107,400.00	$ 94.76	$ 169,620.40	$ 60.00	$ 107,400.00
604-07.02	RETAINING WALL (STA 28+20 TO STA 29+98.70)	S.F.	3985	$ 68.00	$ 270,980.00	$ 54.00	$ 215,190.00	$ 83.82	$ 334,022.70	$ 65.00	$ 259,025.00
607-03.02	18" CONCRETE PIPE CULVERT (CLASS III)	L.F.	2932	$ 34.00	$ 99,688.00	$ 50.00	$ 146,600.00	$ 61.37	$ 179,936.84	$ 46.00	$ 134,872.00
607-05.02	24" CONCRETE PIPE CULVERT (CLASS III)	L.F.	718	$ 52.00	$ 37,336.00	$ 65.00	$ 46,670.00	$ 74.64	$ 53,591.52	$ 60.00	$ 43,080.00
607-06.02	30" CONCRETE PIPE CULVERT (CLASS III)	L.F.	90	$ 73.00	$ 6,570.00	$ 75.00	$ 6,750.00	$ 113.14	$ 10,182.60	$ 72.00	$ 6,480.00
607-07.02	36" CONCRETE PIPE CULVERT (CLASS III)	L.F.	76	$ 125.00	$ 9,500.00	$ 100.00	$ 7,600.00	$ 138.25	$ 10,507.00	$ 80.00	$ 6,080.00
607-39.02	18" PIPE CULVERT (SIDE DRAIN)	L.F.	85	$ 55.00	$ 4,675.00	$ 40.00	$ 3,400.00	$ 54.72	$ 4,651.20	$ 40.00	$ 3,400.00
611-01.05	MANHOLES, > 16' - 20' DEPTH	EACH	1	$ 5,900.00	$ 5,900.00	$ 20,000.00	$ 20,000.00	$ 5,692.77	$ 5,692.77	$ 5,500.00	$ 5,500.00
611-07.01	CLASS A CONCRETE (PIPE ENDWALLS)	C.Y.	14	$ 975.00	$ 13,650.00	$ 800.00	$ 11,200.00	$ 1,243.80	$ 17,413.20	$ 600.00	$ 8,400.00
611-07.02	STEEL BAR REINFORCEMENT (PIPE ENDWALLS)	LB.	406	$ 2.00	$ 812.00	$ 2.00	$ 812.00	$ 1.60	$ 649.60	$ 2.00	$ 812.00
611-12.01	CATCH BASINS, TYPE 12, 0' - 4' DEPTH	EACH	17	$ 2,500.00	$ 42,500.00	$ 2,500.00	$ 42,500.00	$ 2,323.61	$ 39,501.37	$ 3,000.00	$ 51,000.00
611-12.02	CATCH BASINS, TYPE 12, > 4' - 8' DEPTH	EACH	19	$ 2,500.00	$ 47,500.00	$ 3,500.00	$ 66,500.00	$ 2,470.94	$ 46,947.86	$ 4,000.00	$ 76,000.00
611-12.03	CATCH BASINS, TYPE 12, > 8' - 12' DEPTH	EACH	1	$ 3,000.00	$ 3,000.00	$ 6,000.00	$ 6,000.00	$ 3,495.88	$ 3,495.88	$ 4,800.00	$ 4,800.00
611-12.04	CATCH BASINS, TYPE 12, > 12' - 16' DEPTH	EACH	1	$ 3,900.00	$ 3,900.00	$ 9,000.00	$ 9,000.00	$ 5,860.66	$ 5,860.66	$ 5,000.00	$ 5,000.00
611-14.02	CATCH BASINS, TYPE 14, > 4' - 8' DEPTH	EACH	2	$ 5,000.00	$ 10,000.00	$ 4,000.00	$ 8,000.00	$ 5,809.42	$ 11,618.84	$ 4,000.00	$ 8,000.00
611-42.01	CATCH BASINS, TYPE 42, 0' - 4' DEPTH	EACH	2	$ 2,500.00	$ 5,000.00	$ 3,500.00	$ 7,000.00	$ 2,003.33	$ 4,006.66	$ 3,600.00	$ 7,200.00
611-42.03	CATCH BASINS, TYPE 42, > 8' - 12' DEPTH	EACH	1	$ 7,300.00	$ 7,300.00	$ 3,000.00	$ 3,000.00	$ 3,548.24	$ 3,548.24	$ 5,000.00	$ 5,000.00
701-01.01	CONCRETE SIDEWALK (4")	S.F.	506	$ 5.75	$ 2,909.50	$ 5.00	$ 2,530.00	$ 5.96	$ 3,015.76	$ 4.00	$ 2,024.00
701-01.02	CONCRETE SIDEWALK (6")	S.F.	1711	$ 6.50	$ 11,121.50	$ 7.00	$ 11,977.00	$ 8.01	$ 13,705.11	$ 5.00	$ 8,555.00
702-01	CONCRETE CURB	C.Y.	2	$ 765.00	$ 1,530.00	$ 300.00	$ 600.00	$ 1,369.86	$ 2,739.72	$ 300.00	$ 600.00
702-03	CONCRETE COMBINED CURB & GUTTER	C.Y.	416	$ 210.00	$ 87,360.00	$ 235.00	$ 97,760.00	$ 268.01	$ 111,492.16	$ 215.00	$ 89,440.00
705-02.02	SINGLE GUARDRAIL (TYPE 2)	L.F.	1373	$ 15.75	$ 21,624.75	$ 18.00	$ 24,714.00	$ 16.54	$ 22,709.42	$ 15.50	$ 21,281.50
705-02.03	SINGLE GUARDRAIL (TYPE 2) LONG POST	L.F.	718	$ 22.00	$ 15,796.00	$ 23.00	$ 16,514.00	$ 23.10	$ 16,585.80	$ 20.00	$ 14,360.00
705-04.02	GUARDRAIL TERMINAL (TYPE 12)	EACH	1	$ 1,500.00	$ 1,500.00	$ 200.00	$ 200.00	$ 1,575.00	$ 1,575.00	$ 500.00	$ 500.00
705-04.07	TAN ENERGY ABSORBING TERM (NCHRP 350, TL3)	EACH	3	$ 2,000.00	$ 6,000.00	$ 1,500.00	$ 4,500.00	$ 2,100.00	$ 6,300.00	$ 2,000.00	$ 6,000.00
707-01.11	CHAIN LINK FENCE (6 FOOT)	L.F.	860	$ 12.35	$ 10,621.00	$ 15.00	$ 12,900.00	$ 16.55	$ 14,233.00	$ 20.00	$ 17,200.00
707-01.12	END & CORNER POST ASSEMBLY (CHAIN-LINK FENCE 6')	EACH	5	$ 160.00	$ 800.00	$ 250.00	$ 1,250.00	$ 36.75	$ 183.75	$ 200.00	$ 1,000.00
707-01.13	GATE - CHAIN-LINK FENCE-6 FOOT (30-FT SLIDING GATE AT DRIVEWAY)	EACH	1	$ 1,650.00	$ 1,650.00	$ 4,000.00	$ 4,000.00	$ 600.00	$ 600.00	$ 2,000.00	$ 2,000.00
709-05.05	MACHINED RIP-RAP (CLASS A-3)	TON	50	$ 35.00	$ 1,750.00	$ 30.00	$ 1,500.00	$ 35.99	$ 1,799.50	$ 32.00	$ 1,600.00
709-05.06	MACHINED RIP-RAP (CLASS A-1)	TON	1199	$ 36.00	$ 43,164.00	$ 30.00	$ 35,970.00	$ 35.98	$ 43,140.02	$ 30.00	$ 35,970.00
710-02	AGGREGATE UNDERDRAINS (WITH PIPE)	L.F.	7212	$ 5.00	$ 36,060.00	$ 5.00	$ 36,060.00	$ 4.26	$ 30,723.12	$ 4.00	$ 28,848.00
712-01	TRAFFIC CONTROL	LS	1	$14,000.00	$ 14,000.00	$ 6,000.00	$ 6,000.00	$ 918.75	$ 918.75	$ 5,000.00	$ 5,000.00
712-04.01	FLEXIBLE DRUMS (CHANNELIZING)	EACH	63	$ 15.00	$ 945.00	$ 25.00	$ 1,575.00	$ 37.80	$ 2,381.40	$ 30.00	$ 1,890.00
712-05.01	WARNING LIGHTS (TYPE A)	EACH	4	$ 15.00	$ 60.00	$ 100.00	$ 400.00	$ 44.10	$ 176.40	$ 22.00	$ 88.00
712-06	SIGNS (CONSTRUCTION)	S.F.	110	$ 5.00	$ 550.00	$ 7.00	$ 770.00	$ 8.93	$ 982.30	$ 7.00	$ 770.00
712-07.03	TEMPORARY BARRICADES (TYPE III)	L.F.	70	$ 6.00	$ 420.00	$ 20.00	$ 1,400.00	$ 14.18	$ 992.60	$ 14.00	$ 980.00
712-09.01	REMOVABLE PAVEMENT MARKING LINE	L.F.	860	$ 2.50	$ 2,150.00	$ 2.50	$ 2,150.00	$ 2.63	$ 2,261.80	$ 2.00	$ 1,720.00
713-11.02	PERFORATED/KNOCKOUT SQUARE TUBE POST	LB.	56	$ 3.60	$ 201.60	$ 4.00	$ 224.00	$ 8.40	$ 470.40	$ 4.00	$ 224.00
713-13.02	FLAT SHEET ALUMINUM SIGNS (0.080" THICK)	S.F.	13	$ 39.00	$ 507.00	$ 13.00	$ 169.00	$ 18.64	$ 242.32	$ 12.00	$ 156.00
716-02.04	PLASTIC PAVEMENT MARKING (CHANNELIZATION STRIPING)	S.Y.	20	$ 18.00	$ 360.00	$ 16.00	$ 320.00	$ 19.43	$ 388.60	$ 16.00	$ 320.00
716-02.05	PLASTIC PAVEMENT MARKING (STOP LINE)	L.F.	45	$ 12.00	$ 540.00	$ 10.00	$ 450.00	$ 11.02	$ 495.90	$ 9.00	$ 405.00
716-02.06	PLASTIC PAVEMENT MARKING (TURN LANE ARROW)	EACH	15	$ 150.00	$ 2,250.00	$ 110.00	$ 1,650.00	$ 141.75	$ 2,126.25	$ 110.00	$ 1,650.00
716-12.01	ENHANCED FLATLINE THERMO PVMT MRKNG (4IN LINE)	L.M.	2.5	$ 3,500.00	$ 8,750.00	$ 3,000.00	$ 7,500.00	$ 3,045.00	$ 7,612.50	$ 2,400.00	$ 6,000.00
717-01	MOBILIZATION	LS	1	$56,500.00	$ 56,500.00	$ 100,000.00	$ 100,000.00	$ 56,315.74	$ 56,315.74	$ 103,800.00	$ 103,800.00
740-10.03	GEOTEXTILE (TYPE III) (EROSION CONTROL)	S.Y.	3395	$ 2.10	$ 7,129.50	$ 3.00	$ 10,185.00	$ 4.04	$ 13,715.80	$ 2.50	$ 8,487.50
801-01	SEEDING (WITH MULCH)	UNIT	219	$ 21.00	$ 4,599.00	$ 30.00	$ 6,570.00	$ 21.00	$ 4,599.00	$ 28.00	$ 6,132.00
801-03	WATER (SEEDING & SODDING)	M.G.	18	$ 52.00	$ 936.00	$ 25.00	$ 450.00	$ 52.50	$ 945.00	$ 15.00	$ 270.00
801-07	SEED (SUPPLEMENTAL APPLICATION)	LB.	50	$ 5.10	$ 255.00	$ 25.00	$ 1,250.00	$ 5.25	$ 262.50	$ 1.50	$ 75.00
801-08	FERTILIZER (SUPPLEMENTAL APPLICATION)	TON	1	$ 670.00	$ 670.00	$ 400.00	$ 400.00	$ 682.50	$ 682.50	$ 600.00	$ 600.00
803-01	SODDING (NEW SOD)	S.Y.	1576	$ 4.20	$ 6,619.20	$ 3.50	$ 5,516.00	$ 4.20	$ 6,619.20	$ 3.00	$ 4,728.00
805-01.01	TURF REINFORCEMENT MAT (CLASS I)	S.Y.	328	$ 3.60	$ 1,180.80	$ 5.00	$ 1,640.00	$ 3.68	$ 1,207.04	$ 3.00	$ 984.00
		CDM Smith's Calculations			*******		*******		*******		*********
		Bidder Calculations									
		Actual Bid			$$$$$		$$$$$$		$$$$$$$		

Date: 09-10-2015
Calculations
Conducted By: Brenda Hall
Checked By: Jeff Mize, PE

BID ENVELOPE COVER

NAME OF PROJECT: FAIRGROUNDS CONNECTOR ROAD PHASE 3,
FROM Fairgrounds Circle to North Rufe Taylor Road; Town of Greeneville, TN

SEALED BIDS WILL BE RECEIVED:

Town Engineer's Office
Town Hall, 200 North College Street, Greeneville, TN 37745

UNTIL: 2:00 PM (LOCAL TIME) September 9, 2015 (DATE)

COMPLETE ALL BLANKS!

BIDDER: SUMMERS-TAYLOR, INC.
ADDRESS: 300 WEST ELK AVENUE
ELIZABETHTON, TN 37643
423-543-3181 - PHONE
423-543-6189 - FAX

SUBCONTRACTORS TO BE USED ON THIS PROJECT:
If no subcontract work is required, write "none required".
Indicate each subcontractor that is a DBE on the list below.
Sealed proposal document shall also include a completed DBE worksheet.

SOUTHERN SEEDING - DBE
ALH CONSTRUCTION - DBE
REYNOLDS FENCE + GUARDRAIL - DBE
DYKES TRUCKING, INC. - DBE
EAST COAST DRILLING + BLASTING, INC.
TYSINGER, HAMPTON + PARTNERS
MCCALL COMMERCIAL FENCING
SUPERIOR PAVEMENT MARKING, INC.

NO HVAC SUBCONTRACTORS
NO PLUMBING SUBCONTRACTORS
NO ELECTRICAL SUBCONTRACTORS

BIDDERS MUST COMPLETE ALL AREAS OF THIS FORM!

PROPOSAL

TO THE TOWN OF GREENEVILLE

GREENE, TENNESSEE

By submitting this Proposal, the undersigned bidder represents that it has carefully examined the site of the work described herein, has become familiar with local conditions and the character and extent of the work; has carefully examined the Plans, the most current version of the *Standard Specifications for Road and Bridge Construction* and the Standard Roadway and Structures Drawings adopted by the State of Tennessee, Department of Transportation, with subsequent revisions which are acknowledged to be a part of this Proposal, the Special Provisions, the Proposal Form, the Form of Contract, and the Form of Contract Payment and Performance Bond; and thoroughly understands their stipulations, requirements, and provisions.

The undersigned bidder has determined the quality and quantity of materials required; has investigated the location and determined the sources of supply of the materials required; has investigated labor conditions; and, has arranged for the continuous prosecution of the work herein described.

By submitting this Proposal, the undersigned bidder agrees to provide all necessary equipment, tools, labor, incidentals, and other means of construction, to do all the work, and furnish all the materials of the specified requirements which are necessary to complete the work in accordance with the Plans, and the Specifications, and agrees to accept as payment in full the unit prices for the various items described in the Specifications that are set forth in this Proposal. The bidder understands that the quantities of work specified are approximate only and are subject to increase or decrease and that any such increase or decrease will not affect the unit prices set forth in this Proposal. Compensation for "extra work" which may be required by the **TOWN** in connection with the construction and completion of the work but which was not reflected in the Plans and Specifications at the time of bidding, will be made in the following manner: work for which there is a unit price set forth in this Proposal will be compensated at that unit price; work for which there is no unit price set forth in this Proposal will be compensated in accordance with the applicable Tennessee Department of Transportation Standard Specifications.

By submitting this Proposal, the undersigned bidder hereby agrees to be bound by the award of the Contract and, if awarded the Contract on this Proposal, to execute the required Contract and the required Contract Payment and Performance Bond within ten (10) days after receipt of notice of the award. The undersigned bidder submits herewith the required Proposal guaranty in an amount of not less than five percent (5%) of the total amount of the Proposal offered and agrees and consents that the Proposal guaranty shall immediately be at the disposal of the **TOWN**, not as a penalty, but as an agreed liquidated damage if the required Contract and Contract Payment and Performance Bond are not executed within ten (10) days from receipt of the notice of award.

THIS PROPOSAL SUBMITTED BY:

Summers-Taylor, Inc.
Bidder (1)

By:

Ted L. Bryant Vice-President
Printed Name and Title

P.O. Box 1628
Address

Elizabethton, TN 37644
City/State/Zip

Bidder (1) being a Corporation (Type of business entity) composed of officers, partners, or owners as follows:

D.T. Summers Chairman of the Board	Danny Matthews - Vice President of Estimating
Name/Title	Name/Title
Grant Summers - President	Scott Fuller - Vice President of Construction
Name/Title	Name/Title
Ted Bryant - Executive Vice President	Chris Hyder - Chief Financial Officer
Name/Title	Name/Title

N/A
Bidder (2)*

By: N/A

N/A
Printed Name and Title

N/A
Address

N/A
City/State/Zip

Bidder (2) being a N/A (Type of business entity) composed of officers, partners, or owners as follows:

N/A	N/A
Name/Title	Name/Title
N/A	N/A
Name/Title	Name/Title
N/A	N/A
Name/Title	Name/Title

BID FORM

ESTIMATED QUANTITIES

ITEM NO.	DESCRIPTION	UNIT	QUANTITY	UNIT COST	TOTAL COST
105-01	CONSTRUCTION STAKES, LINES AND GRADES	LS	1	15,000.00	15,000.00
201-01.03	CLEARING AND GRUBBING	ACRE	8	2,500.00	20,000.00
203-01	ROAD & DRAINAGE EXCAVATION (UNCLASSIFIED)	C.Y.	63579	4.65	295,642.25
203-04	PLACING AND SPREADING TOPSOIL	C.Y.	2140	6.00	12,840.00
203-06	WATER	M.G.	108	5.00	540.00
209-02.04	10" TEMPORARY SLOPE DRAIN	L.F.	266	18.00	4,788.00
209-03.20	FILTER SOCK (8 INCH)	L.F.	168	3.10	520.80
209-08.03	TEMPORARY SILT FENCE (WITHOUT BACKING)	L.F.	4185	1.50	6,277.50
209-08.07	ROCK CHECK DAM PER	EACH	43	171.00	7,353.00
209-08.08	ENHANCED ROCK CHECK DAM	EACH	7	350.00	2,450.00
209-09.01	SANDBAGS	BAG	80	5.00	400.00
209-10.20	TEMPORARY SEDIMENT TRAP	C.Y.	609	40.00	24,360.00
209-40.31	CATCH BASIN PROTECTION (TYPE B)	EACH	4	400.00	1,600.00
209-40.33	CATCH BASIN PROTECTION (TYPE D)	EACH	40	215.00	8,600.00
303-01	MINERAL AGGREGATE, TYPE A BASE, GRADING D	TON	9833	23.25	228,617.25
303-10.01	MINERAL AGGREGATE (SIZE 57)	TON	240	32.00	7,680.00
307-01.01	ASPHALT CONCRETE MIX (PG64-22) (BPMB-HM) GRADING A	TON	2713	89.00	241,457.00
307-01.08	ASPHALT CONCRETE MIX (PG64-22) (BPMB-HM) GRADING B-M2	TON	1854	94.25	174,789.50
402-01	BITUMINOUS MATERIAL FOR PRIME COAT (PC)	TON	30	325.00	9,750.00
402-02	AGGREGATE FOR COVER MATERIAL (PC)	TON	99	40.00	3,960.00
403-01	BITUMINOUS MATERIAL FOR TACK COAT (TC)	TON	3	965.00	2,895.00
411-01.07	ACS MIX (PG64-22) GRADING E SHOULDER	TON	288	116.00	33,408.00
411-01.10	ACS MIX(PG64-22) GRADING D	TON	1170	112.00	131,040.00
415-01.02	COLD PLANING BITUMINOUS PAVEMENT	S.Y.	1214	7.85	9,529.90
604-07.01	RETAINING WALL (STA 24+30 TO STA 26+25)	S.F.	1790	63.00	112,770.00
604-07.02	RETAINING WALL (STA 28+20 TO STA 29+98.70)	S.F.	3985	68.00	270,980.00
607-03.02	18" CONCRETE PIPE CULVERT (CLASS III)	L.F.	2932	34.00	99,688.00
607-05.02	24" CONCRETE PIPE CULVERT (CLASS III)	L.F.	718	52.00	37,336.00
607-06.02	30" CONCRETE PIPE CULVERT (CLASS III)	L.F.	90	73.00	6,570.00
607-07.02	36" CONCRETE PIPE CULVERT (CLASS III)	L.F.	76	125.00	9,500.00
607-39.02	18" PIPE CULVERT (SIDE DRAIN)	L.F.	85	55.00	4,675.00
611-01.05	MANHOLES, > 16' - 20' DEPTH	EACH	1	5,900.00	5,900.00
611-07.01	CLASS A CONCRETE (PIPE ENDWALLS)	C.Y.	14	975.00	13,650.00
611-07.02	STEEL BAR REINFORCEMENT (PIPE ENDWALLS)	LB.	406	2.00	812.00
611-12.01	CATCH BASINS, TYPE 12, 0' - 4' DEPTH	EACH	17	2,500.00	42,500.00
611-12.02	CATCH BASINS, TYPE 12, > 4' - 8' DEPTH	EACH	19	2,500.00	47,500.00
611-12.03	CATCH BASINS, TYPE 12, > 8' - 12' DEPTH	EACH	1	3,000.00	3,000.00
611-12.04	CATCH BASINS, TYPE 12, > 12' - 16' DEPTH	EACH	1	3,900.00	3,900.00
611-14.02	CATCH BASINS, TYPE 14, > 4' - 8' DEPTH	EACH	2	5,000.00	10,000.00
611-42.01	CATCH BASINS, TYPE 42, 0' - 4' DEPTH	EACH	2	2,500.00	5,000.00
611-42.03	CATCH BASINS, TYPE 42, > 8' - 12' DEPTH	EACH	1	7,300.00	7,300.00

BID FORM
ESTIMATED QUANTITIES

ITEM NO.	DESCRIPTION	UNIT	QUANTITY	UNIT COST	TOTAL COST
701-01.01	CONCRETE SIDEWALK (4")	S.F.	505	5.75	2,904.50
701-01.02	CONCRETE SIDEWALK (6")	S.F.	1711	6.50	11,121.50
702-01	CONCRETE CURB	C.Y.	2	765.00	1,530.00
702-03	CONCRETE COMBINED CURB & GUTTER	C.Y.	416	210.00	87,360.00
705-02.02	SINGLE GUARDRAIL (TYPE 2)	L.F.	1373	15.75	21,624.75
705-02.03	SINGLE GUARDRAIL (TYPE 2) LONG POST	L.F.	718	22.00	15,796.00
705-04.02	GUARDRAIL TERMINAL (TYPE 12)	EACH	1	1,500.00	1,500.00
705-04.07	TAN ENERGY ABSORBING TERM (NCHRP 350, TL3)	EACH	3	2,000.00	6,000.00
707-01.11	CHAIN LINK FENCE (6 FOOT)	L.F.	860	12.35	10,621.00
707-01.12	END & CORNER POST ASSEMBLY(CHAIN-LINK FENCE 6')	EACH	5	160.00	800.00
707-01.13	GATE - CHAIN-LINK FENCE-6 FOOT (30-FT SLIDING GATE AT DRIVEWAY)	EACH	1	1,650.00	1,650.00
709-05.05	MACHINED RIP-RAP (CLASS A-3)	TON	50	35.00	1,750.00
709-05.06	MACHINED RIP-RAP (CLASS A-1)	TON	1199	36.00	43,164.00
710-02	AGGREGATE UNDERDRAINS (WITH PIPE)	L.F.	7212	5.00	36,060.00
712-01	TRAFFIC CONTROL	LS	1	14,000.00	14,000.00
712-04.01	FLEXIBLE DRUMS (CHANNELIZING)	EACH	63	15.00	945.00
712-05.01	WARNING LIGHTS (TYPE A)	EACH	4	15.00	60.00
712-06	SIGNS (CONSTRUCTION)	S.F.	110	5.00	550.00
712-07.03	TEMPORARY BARRICADES (TYPE III)	L.F.	70	6.00	420.00
712-09.01	REMOVABLE PAVEMENT MARKING LINE	L.F.	860	2.50	2,150.00
713-11.02	PERFORATED/KNOCKOUT SQUARE TUBE POST	LB.	56	3.60	201.60
713-13.02	FLAT SHEET ALUMINUM SIGNS (0.080" THICK)	S.F.	13	39.00	507.00
716-02.04	PLASTIC PAVEMENT MARKING (CHANNELIZATION STRIPING)	S.Y.	20	18.00	360.00
716-02.05	PLASTIC PAVEMENT MARKING (STOP LINE)	L.F.	45	12.00	540.00
716-02.06	PLASTIC PAVEMENT MARKING (TURN LANE ARROW)	EACH	15	150.00	2,250.00
716-12.01	ENHANCED FLATLINE THERMO PVMT MRKNG (4IN LINE)	L.M.	2.5	3,500.00	8,750.00
717-01	MOBILIZATION	LS	1	56,500.00	56,500.00
740-10.03	GEOTEXTILE (TYPE III)(EROSION CONTROL)	S.Y.	3395	2.10	7,129.50
801-01	SEEDING (WITH MULCH)	UNIT	219	21.00	4,599.00
801-03	WATER (SEEDING & SODDING)	M.G.	16	57.00	936.00
801-07	SEED (SUPPLEMENTAL APPLICATION)	LB.	50	5.10	255.00
801-08	FERTILIZER (SUPPLEMENTAL APPLICATION)	TON	1	670.00	670.00
803-01	SODDING (NEW SOD)	S.Y.	1576	4.20	6,619.20
805-01.01	TURF REINFORCEMENT MAT (CLASS I)	S.Y.	328	3.60	1,180.80

Grand Total $ TWO MILLION TWO HUNDRED SEVENTY FIVE THIRTY NINE DOLLARS AND FIFTEEN CENTS. ($ 2,275,039.15)

In Words — In Numbers

DBE GOALS WORKSHEET
PIN 115811.00
Greene County
Greeneville Fairgrounds Connector Phase 3

DBE Company Name	General Work Description	Cost	Estimated % of Total Project
SOUTHERN SEEDING	EROSION CONTROL-SEEDING-SODDING	30,150.00	1.33
ALN CONSTRUCTION	CONCRETE SIDEWALK-CURBWALLS	28,443.00	1.25
REYNOLDS FORCE + GUARDRAIL	GUARDRAILS + TERMINALS	44,920.76	1.97
DYKES TRUCKING, INC.	HAULING	35,000.00	1.54

TOTAL DBE COMMITMENT 6.08 %

DBE GOAL 6%

Submitted By: JOHN T. BOWMAN Date: 9/9/15

***NOTE: The signature and information for Bidder (2) is to be provided when there is a joint venture.**

PROPOSAL CERTIFICATION

The undersigned, being first duly sworn, certifies on behalf of the bidder that it has not, either directly or indirectly, entered into any agreement, participated in any collusion, or otherwise taken any action in restraint of free competitive bidding in connection with this Proposal or Contract. This is an official document that is required or authorized by law to be made under oath and is presented in an official proceeding. A person who makes a false statement in this certification is subject to the penalties of perjury.

The undersigned further certifies that said bidder is not under the control of any person, firm, partnership, or corporation, which has or exercises any control of any other person, firm, partnership, or corporation, which is submitting a bid on this Contract.

Summers-Taylor, Inc.
Bidder (1)

By: [signature]

Ted L. Bryant Vice-President
Printed Name and Title

Sworn to and subscribed before me

this 9TH day of September, 2015

Angela M. Knapp
Notary Public

My commission expires 03/23/2019

(Seal)

N/A
Bidder (2)

By: N/A

N/A
Printed Name and Title

Sworn to and subscribed before me

this N/A day of N/A, N/A

N/A
Notary Public

My commission expires N/A

(Seal)

*NOTE: The signature and information for Bidder (2) is to be provided when there is a joint venture.

TOWN OF GREENEVILLE

GREENE, TENNESSEE

PROPOSAL BOND

CONTRACT NO. FAIRGROUNDS CONNECTOR ROAD PHASE III

Principal: SUMMERS-TAYLOR, INC.
Print Name of Principal

Surety: FIDELITY & DEPOSIT CO OF MARYLAND
Print Name of Surety

KNOW ALL MEN BY THESE PRESENTS, that we, the Principal and Surety above named, are held and firmly bound unto the **TOWN** in the full and just sum of five percent (5%) of the total amount bid by the Principal for the project stated above, for the payment of which sum well and truly to be made, we bind ourselves, our heirs, executors, administrators, and successors, jointly and severally, firmly by these presents.

NOW, THEREFORE, the condition of this obligation is: the Principal shall not withdraw its bid within sixty (60) days after the opening of the bids, or within such other time period as may be provided in the Proposal, and if the **TOWN** shall award a Contract to the Principal, the Principal shall, within ten (10) days after written notice of the award is received by him, fully execute a Contract on the basis of the terms, conditions and unit prices set forth in his Proposal or bid and provide bonds with good and sufficient surety, as required for the faithful performance of the Contract and for the protection of all persons supplying labor, material, and equipment for the prosecution of the work. In the event the Principal withdraws its bid after bids are opened, or after award of the Contract has been made fails to execute such the Contract and/or such additional documents as may be required and to provide the required bonds within the time period specified above, then the amount of the Proposal Bond shall be immediately paid to the **TOWN**, not as a penalty, but as agreed upon liquidated damages.

IN WITNESS WHEREOF, the Principal has caused these presents to be signed by a duly authorized official and the Surety has caused these presents to be duly signed and sealed by an authorized agent or attorney-in-fact.

SUMMERS TAYLOR INC.	FIDELITY & DEPOSIT CO OF MARYLAND
Principal (1)	Surety (1)
By:	By: Karen Kaye
Denny Matthews	General Agent or Attorney-in-Fact
Vice President	9-9-15
Print Name and Title	Date
9-9-15	(Seal)
Date	
Principal (2)	Surety (2)
By:	By:
	General Agent or Attorney-in-Fact
Print Name and Title	Date
Date	(Seal)

***NOTE: The signature and information for Principal(2) and Surety(2) is to be provided when there is a joint venture.**

Power of Attorney
FIDELITY AND DEPOSIT COMPANY OF MARYLAND

KNOW ALL MEN BY THESE PRESENTS: That the FIDELITY AND DEPOSIT COMPANY OF MARYLAND, a corporation of the State of Maryland, by FRANK E. MARTIN JR., Vice President, and ERIC D. BARNES, Assistant Secretary, in pursuance of authority granted by Article VI, Section 2, of the By-Laws of said Company, which are set forth on the reverse side hereof and are hereby certified to be in full force and effect on the date hereof, does hereby nominate, constitute and appoint **Mark B. SIZEMORE and Karen LARGE, both of Johnson City, Tennessee, EACH** its true and lawful agent and Attorney-in-Fact, to make, execute, seal and deliver for, and on its behalf as surety, and as its act and deed: **any and all bonds and undertakings,** and the execution of such bonds or undertakings in pursuance of these presents, shall be as binding upon said Company, as fully and amply, to all intents and purposes, as if they had been duly executed and acknowledged by the regularly elected officers of the Company at its office in Baltimore, Md., in their own proper persons. This power of attorney revokes that issued on behalf of Mark B. SIZEMORE, Karen LARGE, Karen DUNKIN, dated August 30, 2004.

The said Assistant Secretary does hereby certify that the extract set forth on the reverse side hereof is a true copy of Article VI, Section 2, of the By-Laws of said Company, and is now in force.

IN WITNESS WHEREOF, the said Vice-President and Assistant Secretary have hereunto subscribed their names and affixed the Corporate Seal of the said FIDELITY AND DEPOSIT COMPANY OF MARYLAND, this 19th day of May, A.D. 2011.

ATTEST:

FIDELITY AND DEPOSIT COMPANY OF MARYLAND

By:

Eric D. Barnes *Assistant Secretary* *Frank E. Martin Jr.* *Vice President*

State of Maryland }
City of Baltimore } ss:

On this 19th day of May, A.D. 2011, before the subscriber, a Notary Public of the State of Maryland, duly commissioned and qualified, came FRANK E. MARTIN JR., Vice President, and ERIC D. BARNES, Assistant Secretary of the FIDELITY AND DEPOSIT COMPANY OF MARYLAND, to me personally known to be the individuals and officers described in and who executed the preceding instrument, and they each acknowledged the execution of the same, and being by me duly sworn, severally and each for himself deposeth and saith, that they are the said officers of the Company aforesaid, and that the seal affixed to the preceding instrument is the Corporate Seal of said Company, and that the said Corporate Seal and their signatures as such officers were duly affixed and subscribed to the said instrument by the authority and direction of the said Corporation.

IN TESTIMONY WHEREOF, I have hereunto set my hand and affixed my Official Seal the day and year first above written.

Maria D. Adamski *Notary Public*
My Commission Expires: July 8, 2015

POA-F 164-4357

EXTRACT FROM BY-LAWS OF FIDELITY AND DEPOSIT COMPANY OF MARYLAND

"Article VI, Section 2. The Chairman of the Board, or the President, or any Executive Vice-President, or any of the Senior Vice-Presidents or Vice-Presidents specially authorized so to do by the Board of Directors or by the Executive Committee, shall have power, by and with the concurrence of the Secretary or any one of the Assistant Secretaries, to appoint Resident Vice-Presidents, Assistant Vice-Presidents and Attorneys-in-Fact as the business of the Company may require, or to authorize any person or persons to execute on behalf of the Company any bonds, undertaking, recognizances, stipulations, policies, contracts, agreements, deeds, and releases and assignments of judgements, decrees, mortgages and instruments in the nature of mortgages,...and to affix the seal of the Company thereto."

CERTIFICATE

I, the undersigned, Assistant Secretary of the FIDELITY AND DEPOSIT COMPANY OF MARYLAND, do hereby certify that the foregoing Power of Attorney is still in full force and effect on the date of this certificate; and I do further certify that the Vice-President who executed the said Power of Attorney was one of the additional Vice-Presidents specially authorized by the Board of Directors to appoint any Attorney-in-Fact as provided in Article VI, Section 2, of the By-Laws of the FIDELITY AND DEPOSIT COMPANY OF MARYLAND.

This Power of Attorney and Certificate may be signed by facsimile under and by authority of the following resolution of the Board of Directors of the FIDELITY AND DEPOSIT COMPANY OF MARYLAND at a meeting duly called and held on the 10th day of May, 1990.

RESOLVED: "That the facsimile or mechanically reproduced seal of the company and facsimile or mechanically reproduced signature of any Vice-President, Secretary, or Assistant Secretary of the Company, whether made heretofore or hereafter, wherever appearing upon a certified copy of any power of attorney issued by the Company, shall be valid and binding upon the Company with the same force and effect as though manually affixed."

IN TESTIMONY WHEREOF, I have hereunto subscribed my name and affixed the corporate seal of the said Company,

this 9th day of September, 2015.

Gregg E. Minning

Assistant Secretary

TDOT reviews the documents for:

- Completeness of the bid package
- Use of TDOT standards and item numbers
- Mathematical or material unbalancing
- Evidence of collusion / bid rigging

TDOT may:

- Concur with award
- Concur with rejection
- Not concur –
  - Suggest going with another bidder
  - Suggest a rebid

Reasons for not Awarding a Bid

1. Failure to sign the bid (proposal form, proposal certification, proposal bond, Power of Attorney)
2. Failure to furnish the required bid bond and Power of Attorney, with the same dates
3. Omissions, alterations of form, additions, or conditions not called for
4. Unauthorized bids or irregularities
5. Failure to include a unit bid price for each item (must be an amount of zero or greater)
6. Units prices are mathematically unbalanced
7. Failure to submit a non-collusion affidavit
8. Failure to utilize the required forms approved by TDOT (Form 8-1 Federal or Form 8-1 State)
9. Failure to submit a bid within the original bound bid book
10. Failure of bidder to acknowledge all addenda
11. Bidder not prequalified or not in good standing the day of the letting

Beware of Unbalanced Bids

In the process of bidding, Contractors will seek advantage opportunities.

If the estimated quantity of an item is much lower than the plans indicate, a Contractor may place a high value on that item, while lowering the value on some other item of work.

In this way, that contractor may get the low bid, but when final quantities of work are established, he may no longer be the low bidder.

Award of the Contract

- Upon TDOT Concurrence, the LG will:
  - Issue the Contractor a copy of the Proposal Contract for signatures
  - Send CEI contract to LPDO
- The Contractor will:
  - Return the signed contract to the LG with a fully executed Payment and Performance Bond equal to 100% of the contract amount within 10 days
  - Any necessary railroad insurance must also be submitted prior to final execution of the contract (20 calendar days allowed)
- Signed Contracts will be distributed to the Contractor, the Surety, the LG, and LPDO (electronically for LPDO)

Award of the Contract

I am pleased to announce that TDOT has concurred with **(name of contractor and amount (bold)**) as the lowest responsive bidder. You are hereby approved to inform them that they are the lowest responsive bidder and to set up the mandatory pre-construction meeting.

TDOT Materials & Tests Office and TDOT District Operations Office representatives must be present at the Pre-Construction Conference. If both of these offices are not represented at the Pre-Construction Conference, the Pre-Construction Conference must be postponed until TDOT representatives can be present. The contact for Materials and Test is (insert name, phone number and email). The contact for the TDOT District Operations Office is (insert name, phone number and email). In addition, please also contact Erin Brake with the Headquarters Materials and Tests at (615) 350-4116 or via e-mail at Erin.Brake@tn.gov. A meeting announcement (Pre-Construction Conference Notice, Form 8-10a) shall be sent 14 days in advance, to all parties with a vested interest in the project including, but not limited to: prime and subcontractors, material suppliers, permitting agencies, utility owners, the TDOT District Operations Engineer/Manager, TDOT Regional Materials and Tests Supervisor and other affected Local Governments. At least seven days prior to the Pre-Construction Conference, the LG shall send, by electronic means, a set of plans, a copy of the bid book and final cost estimate to the TDOT District Operations Engineer/Manager and the TDOT Regional Materials and Tests Supervisor. A copy of this email shall also be sent to Local.Programs@tn.gov.

Electronic PDFs I must have for my information include:

1. Signed proposal contract
2. The work order provided to the contractor identifying the effective Date of Construction
3. Upon award of the contract, please complete TDOT Form 7-2 with all relevant project, prime contractor and subcontractors' (both DBE and non-DBE) information, as soon as it is available, and return the form to your program monitor

If you have any questions please feel free to contact me.

FHWA 1391 Reporting

- Required per 23 CFR 230, Subpart A
- TDOT Civil Rights Office sends letters to all prime contractors and subcontractors working on locally managed projects in the month of July
- Contractors respond with required information by August 15th of each year
- Placed in End of Job File

Post Award / Pre - Construction

- The LG shall submit contractor and subcontractor info to LPDO using new Form 7-2, Contractor Award Information:
  - General project info
  - Prime contractor info
  - Info for all subcontractors (both DBE and non)
  - Form replaces the old LP NIC system

CONSTRUCTION AWARD INFORMATION FOR CONTRACTORS ON LOCALLY LET FEDERAL AID CONTRACTS

County: _____ PIN: _____
State Project No.: _____ Federal Project No.: _____
Start Date: _____ Completion Date: _____
DBE Goal (%): _____ DBE Goal Amount ($): _____

Prime Contractor Information

Company Name: _____ Contact Name: _____
Street Address: _____ Contact E-mail: _____
City, State, Zip: _____ Contact Phone: _____
DUNS No.: _____ Contract Amount: _____
DBE: Yes ☐ No ☐

Sub-Contractor Information

Company Name: _____ Contact Name: _____
Street Address: _____ Contact E-mail: _____
City, State, Zip: _____ Contact Phone: _____
DUNS No.: _____ Contract Amount: _____
Tier: 2nd ☐ 3rd ☐ 4th ☐ Material Supplier: Yes ☐ No ☐
DBE: Yes ☐ No ☐

Company Name: _____ Contact Name: _____
Street Address: _____ Contact E-mail: _____
City, State, Zip: _____ Contact Phone: _____
DUNS No.: _____ Contract Amount: _____
Tier: 2nd ☐ 3rd ☐ 4th ☐ Material Supplier: Yes ☐ No ☐
DBE: Yes ☐ No ☐

Company Name: _____ Contact Name: _____
Street Address: _____ Contact E-mail: _____
City, State, Zip: _____ Contact Phone: _____
DUNS No.: _____ Contract Amount: _____
Tier: 2nd ☐ 3rd ☐ 4th ☐ Material Supplier: Yes ☐ No ☐
DBE: Yes ☐ No ☐

Company Name: _____ Contact Name: _____
Street Address: _____ Contact E-mail: _____
City, State, Zip: _____ Contact Phone: _____
DUNS: _____ Contract Amount: _____
Tier: 2nd ☐ 3rd ☐ 4th ☐ Material Supplier: Yes ☐ No ☐
DBE: Yes ☐ No ☐

Company Name: _____ Contact Name: _____
Street Address: _____ Contact E-mail: _____
City, State, Zip: _____ Contact Phone: _____
DUNS: _____ Contract Amount: _____
Tier: 2nd ☐ 3rd ☐ 4th ☐ Material Supplier: Yes ☐ No ☐
DBE: Yes ☐ No ☐

Company Name: _____ Contact Name: _____
Street Address: _____ Contact E-mail: _____
City, State, Zip: _____ Contact Phone: _____
DUNS: _____ Contract Amount: _____
Tier: 2nd ☐ 3rd ☐ 4th ☐ Material Supplier: Yes ☐ No ☐
DBE: Yes ☐ No ☐

Company Name: _____ Contact Name: _____
Street Address: _____ Contact E-mail: _____
City, State, Zip: _____ Contact Phone: _____
DUNS: _____ Contract Amount: _____
Tier: 2nd ☐ 3rd ☐ 4th ☐ Material Supplier: Yes ☐ No ☐
DBE: Yes ☐ No ☐

**If any sub-contractors change, please resubmit this form to Local Programs.*

Local Government Approval: _____ Date: _____

Pre-Construction Conference

- Locally managed projects are required to conduct a Pre-Construction Conference
- Form 8-10a: Pre-Construction Conference Notice - will be sent to all attendees at least two weeks prior to the conference
- On complex projects, secondary conferences may be held as well (see Form 8-10b Erosion Conference Notice and Form 8-10c Utility Conference Notice)
- LG, Contractor, Subcontractors, Utility Companies, CEI, and TDOT representatives will attend
- Subcontractors and DBEs will be introduced

Post Award / Pre-Construction

- **At least 7 days prior to the Pre-Construction Conference:**
  - **LG will electronically send PS&E Package to the TDOT District Operations Engineer/Manager and TDOT Regional Materials and Tests Supervisor and**
  - **A copy of this email shall be sent to Local.Programs@tn.gov**

Pre-Construction Conference Discussion Items

- Start Date
- Construction Schedule
- Critical Path Activities
- Materials Delivery and Storage
- Required Postings
- DBE goal
- Traffic Control Measures
- Erosion Control Measures
- Potential Obstacles
- Local Special Events

Pre-Construction Conference Related Forms

- Form 8-6, Construction Project Files
- Subcontract Forms 8-7a, 8-7b, 8-7c (Manual, section 8.2.9)
- DBE Company Profile, Form 8-8a
- DBE Material Supplier/Trucker Contract Certification, Form 8-8b
- Forms 8-11a, 8-11b, and 8-11c – Guidance for keeping minutes of the conference or conferences, as the case may be
- Form 8-12– Sign In Sheet for recording all attendees
- Utility Forms 8-13 and 8-14 if utilities are being relocated as part of the project
- Form 8-16–Construction Checklist, guidance for submittals
- Start Notice – Form 8-17, establishes the date for Contractor to begin work on the project
- Form 8-18 – Contractor attests that he will not knowingly employ illegal immigrants

TDOT Oversight During Construction

- TDOT will assign an inspector to the job
- TDOT Engineering Services (TDOT ES) Line on Exhibit A of your contract
- TDOT's inspector and a representative of the Regional Materials and Tests Division must attend the mandatory pre-construction conference
- The TDOT inspector will:
  - Attend regularly scheduled progress meetings
  - Make monthly visits to the project site

Materials Testing

- LG's CEI will conduct all acceptance testing
- TDOT will perform verification and independent assurance testing

Miscellaneous Construction Forms

- Form 8-19: Hot Mix Asphalt Plant Inspector Checklist – Form used by the inspector who checks that the asphalt at the plant meets specifications of the project - kept in project file
- Form 8-20: Hot Mix Asphalt Roadway Inspector Checklist – used by the construction inspector to ensure placement of the asphalt is in accordance with specifications
- Form 8-21: Work Zone Traffic Control Inspection Form – to be kept in the project file
- Form 8-22: Bridge Construction Inspector Checklist – to be completed by CEI and sent to TDOT Structures Division
- Form 8-23: Bridge Deck Pre-Pour Checklist
- Form 8-24: Bridge Deck During Pour Checklist
- Form 8-25 : Bridge Deck Post-Pour Checklist
- Form 8-26: Structures Construction Checklist – to be completed after bridge construction

Miscellaneous Construction Forms

- Form 8-15: Railroad Completion Notice - used when work is done on railroad right-of-way, indicates acceptance of work by railroad
- Form 8-27: TDOT EPSC Inspection Form – evaluates the contractor's erosion protection and sediment control measures
- Form 8-28: Notice of Termination Form – submitted to TDEC when water quality permit coverage can be terminated
- Form 8-29: Prompt Payment to Subcontractors Form – completed by Prime Contractor and submitted to local agency 60 days after payments
- Form 8-30: Change Order Form – all change orders should be sent to LPDO to ensure funding is available
- See Chapter 2 (Distribution Matrix) of the LGGM for submittal requirements of various applicable forms

Commercially Useful Function (CUF)

- DBEs must perform a Commercially Useful Function (CUF), to be confirmed by CEI
- Commercially Useful Function Checklist (Form 8-9) should be completed WHENEVER a DBE performs work (even if there is no goal assigned to the project)
- Sent to TDOT Civil Rights Office and LPDO

Common Contractor (DBE) Mistakes:

- Swapping out DBE work with non-DBE contractors
- No CUF interviews performed
- Elimination of DBE work and not finding replacement work
- Not submitting necessary forms to TDOT Civil Rights Office and LPDO

Change Order Process

- Form 8-30, Change Order Form
- Your program monitor needs to be aware of each change order, as the project funds are bound by the amount in the TIP/STIP
- For all change orders, prior approval is required by LPDO for funding availability
  - Is there enough money in the TIP / STIP?
  - Are requested items eligible?
  - Does it change the scope of the project?
- The LG provides the final approval of change orders, as it is your project

Project Records – FHWA's "Big Five"

1. Environmental Commitments – must be addressed
2. ADA – project must be ADA compliant
3. DBE – goal must be met
4. Buy America – steel and iron products must be domestically produced & certification on file
5. Source Documents for Payment – such as:
   - Inspector's Daily Reports
   - Material Certifications
   - Invoice / Bill of Lading

Recurring Audit Issues

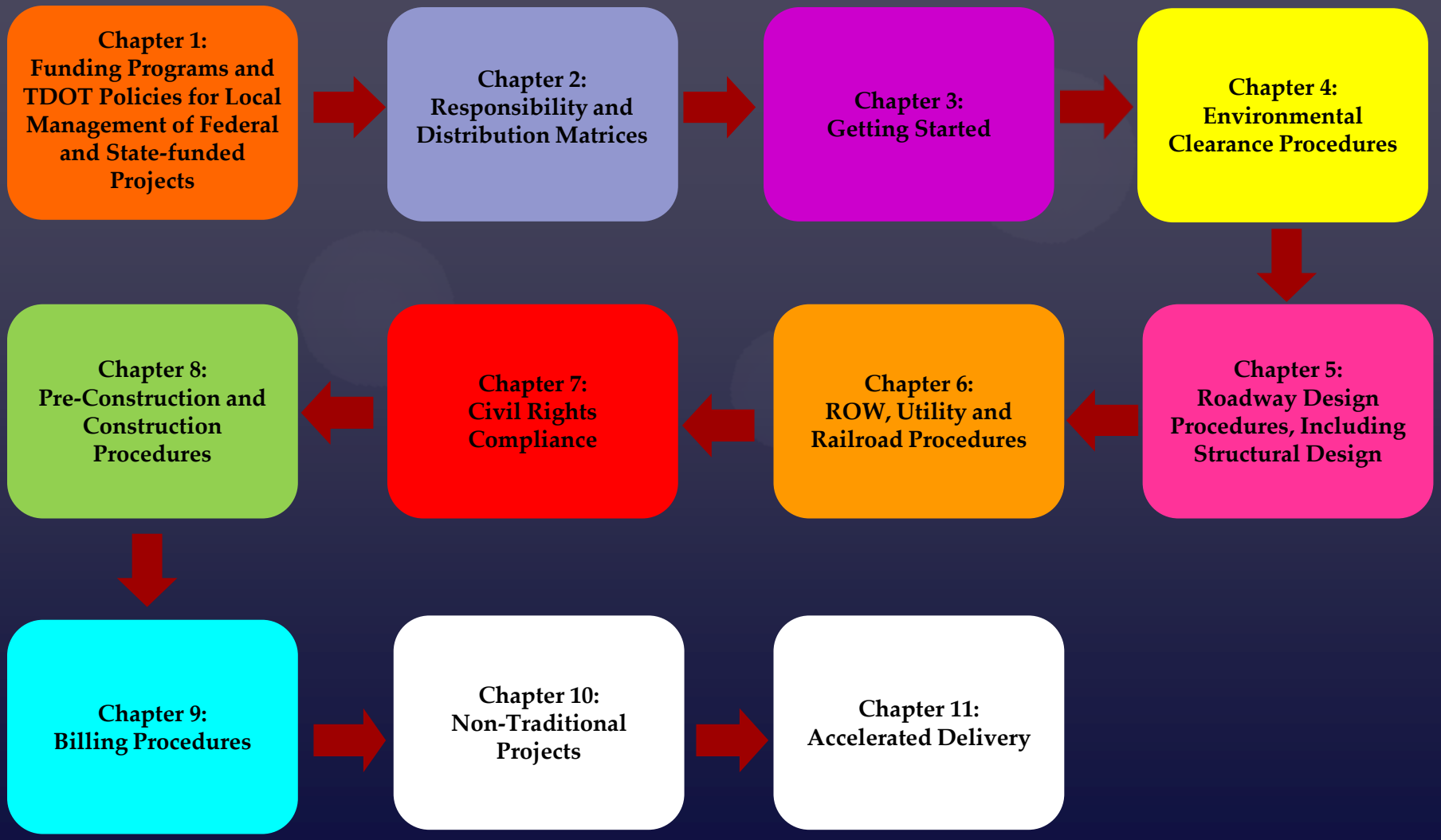
- Engineer or CEI not on TDOT's pre-qualified list
- Sub-contracts with FHWA 1273 missing
- Change Orders not approved for funding by TDOT prior to execution
- Material acceptance test documentation not in project file
- TDOT assurance testing not in project file
- DBE participation not met
- CUF interviews not performed

Recurring Audit Issues

- Daily diary of work activity not kept by CEI
- CEI not on site at times of inspections as required by 23 CFR635.105
- If original low bid was rejected, TDOT concurrence to reject and justification from LG not in project file
- Buy America certifications not on file
  - Any phase(s) could be subject to penalties if Buy America requirements are not met

Questions?

Chapters Flow Chart



Billing Procedures

- Invoices must be sent by email as an attachment to lpd.invoices@tn.gov in PDF form
- Label attachment with PIN
- Email subject must contain PIN
- Local Government Invoice Cover Sheet
- All invoices without the correct invoice cover sheet and summary page will be returned

Billing Procedures

Each request must include:

- Copies of paid invoices
- Copies of canceled checks or other acceptable proof of payments
- Approved submittal signature
- Invoices must be signed by the Project Supervisor with the local agency

Invoicing Checklist

Cost/Expense Categories and Required Supporting Documentation

- Labor Schedule* – employee name and/ or employee ID, title, rate of pay, number of hours, date(s) worked, and total.
- Burden Benefits* – itemized reports from payroll or accounting systems
- Equipment* – logs or summaries of equipment usage that includes the date, description of equipment, usage rate, and total. If rental equipment is utilized, then invoices must accompany the log. Note: There must be a rental receipt/invoice for equipment in order to claim reimbursement for gasoline.
- Materials & Supplies* –Itemized statements detailing the items purchased or used.
  - If materials/supplies/minor materials are supplied from company stores, then an itemized statement detailing the part, unit cost, quantity, and date are needed.
  - If materials/supplies/minor materials are purchased for a project, then copies of invoices for materials are needed. Note: City/Vendor must indicate which materials and what quantities are being used for a TDOT project, when the invoice contains materials for more than one job.

Invoicing Checklist Cont…

- Business Expenses* – copies of receipts must accompany invoice for all amounts. Travel expenses or phone charges should not be included here.
- Phone Charges*- copy of bill/receipt and purpose, if the charges are not included in overhead costs.
- Overhead – If the City wishes to bill for indirect costs, the rate used and/or the method of allocation must be stated on the invoice. The overhead rate used must be in effect as of the date of the invoice.
- ALL supporting documentation must be legible. No "highlighting" that may result in copies not being legible.
- Subcontractor Invoices* – an invoice from the subcontractor that performed the work and proof of payment

Mileage, Travel Expenses, & Meals

Use of the State of TN comprehensive travel regulations:

- The Department of Finance and Administration's Comprehensive Travel Regulations will be used. (http://www.tn.gov/assets/entities/finance/attachments/policy8.pdf)
- State of Tennessee Comprehensive Travel Regulations define guidelines for:
  - ✓ Lodging (CONUS Rates: http://www.gsa.gov/portal/content/104877)
  - ✓ Travel with personally owned automobile
  - ✓ Parking
  - ✓ Per Diem Rates for Meals/Incidentals
  - ✓ Per Diem Rates for three-fourths Calculations
  - ✓ Other Travel Related Items

- The detailed documentation required will be according to the State travel policy.
  - ✓ Mileage logs containing the following information – The employee name, date(s) of travel, beginning and ending location, number of miles, rate, and purpose of travel should be included. Note: The travel regulation would state the approved mileage rate that can be charged, but the log must be included.
  - ✓ Travel expenses (meals, per diem, hotel rates, etc.) must be in accordance with the travel regulation selected. An example of support could be a detailed expense report or copies of lodging and meal receipts.
- If a subcontractor has travel expenses, they will be reimbursed according to the State travel policy.

EXAMPLE:

TDOT NEPA INVOICE

COVER SHEET

TN TDOT Department of Transportation

Local Government Guidelines Form 9-2
March 9, 2018

LOCAL GOVERNMENT **PRELIMINARY ENGINEERING NEPA COSTS** INVOICE

INVOICE DATE _____ **FINAL INVOICE FOR THIS PHASE?** YES [ ] NO [ ]
INVOICE PERIOD: _____ TO _____

INVOICE # _____
PIN # _____
STATE PROJECT # _____
FED PROJECT # _____
CONTRACT # _____
PROJECT DESCRIPTION
Type project description here.

LOCAL GOVERNMENT AGENCY: _____
REMIT TO ADDRESS: _____
COUNTY: _____

		CURRENT COSTS		COST SHOWN ON PRIOR INVOICES		TOTAL COSTS
PRELIMINARY ENGINEERING COSTS			+		=	$0.00
SUBTOTAL						$0.00
LESS: LOCAL GOVERNMENT SHARE	0.0%				-	$0.00
BALANCE						$0.00
LESS: AMOUNTS PREVIOUSLY INVOICED					-	$0.00
AMOUNT DUE THIS INVOICE						**$0.00**

I CERTIFY UNDER PENALTY OF LAW THAT THIS CERTIFICATION/ESTIMATE AND ALL ATTACHMENTS WERE PREPARED UNDER MY DIRECTION OR SUPERVISION IN ACCORDANCE WITH A SYSTEM DESIGNED TO ASSURE THAT QUALIFIED PERSONNEL PROPERLY GATHERED AND EVALUATED INFORMATION PRESENTED. BASED ON MY INQUIRY OF THE PERSON OR PERSONS WHO MANAGE THE SYSTEM, OR THOSE PERSONS DIRECTLY RESPONSIBLE FOR GATHERING THE INFORMATION, I HEREBY CERTIFY THAT THIS SUBMITTAL IS ACCURATE AND CORRECT. I AM AWARE THERE ARE SIGNIFICANT PENALTIES FOR SUBMITTING FALSE INFORMATION, INCLUDING THE POSSIBILITY OF FINE AND IMPRISONMENT FOR KNOWING VIOLATIONS. I FURTHER ACKNOWLEDGE THAT FAILURE TO FOLLOW FEDERAL DIRECTIVES, GUIDELINES, AND REGULATIONS WILL RESULT IN THE LOSS OF FEDERAL FUNDING.

(PROJECT SUPERVISOR) _____ (LOCAL GOVERNMENT OFFICIAL) _____

FOR TDOT USE ONLY

DIVISION ID # 4036330040

INVOICE RECEIVED _____

I HEREBY ACKNOWLEDGE RECEIPT OF THE APPROPRIATE DOCUMENTATION FOR PAYMENT OF THIS ESTIMATE/INVOICE WHICH INCLUDES CERTIFICATION SIGNED BY THE LOCAL GOVERNMENT ENTITY. BASED ON THE ATTACHED DOCUMENTATION AND IN ACCORDANCE WITH THE LOCAL PROGRAM GUIDELINES THIS INVOICE IS SUBMITTED FOR PAYMENT.

TDOT OFFICIAL _____ DATE _____ STAMP

APPROVED PAY		FED SPEED CHART	$	PO LINES
LOCAL MATCH $		ST SPEED CHART	$	1
VENDOR NAME		LOC SPEED CHART	$	2
VENDOR ID		SPLIT SPEED CHART	$	3
LOCATION	ADDRESS #	RECEIPT #		4
EDISON CONTRACT ID		VOUCHER #		5
PURCHASE ORDER ID		PAYMENT REF ID #		6

COMMENTS: _____

EXAMPLE:

TDOT DESIGN INVOICE

COVER SHEET

TN TDOT Department of Transportation

Local Government Guidelines Form 9-3

March 9, 2018

LOCAL GOVERNMENT **DESIGN COSTS** INVOICE

INVOICE DATE _____ **FINAL INVOICE FOR THIS PHASE?** YES [ ] NO [ ]

INVOICE PERIOD: _____ TO _____

INVOICE # _____

PIN # _____

STATE PROJECT # _____

FED PROJECT # _____

CONTRACT # _____

PROJECT DESCRIPTION

Type project description here.

LOCAL GOVERNMENT AGENCY: _____

REMIT TO ADDRESS: _____

COUNTY: _____

		CURRENT COSTS		COST SHOWN ON PRIOR INVOICES		TOTAL COSTS
ENGINEERING COSTS			+		=	$0.00
SUBTOTAL						$0.00
LESS: LOCAL GOVERNMENT SHARE	0.0%				-	$0.00
BALANCE						$0.00
LESS: AMOUNTS PREVIOUSLY INVOICED					-	$0.00
AMOUNT DUE THIS INVOICE						**$0.00**

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(PROJECT SUPERVISOR) _____ (LOCAL GOVERNMENT OFFICIAL) _____

FOR TDOT USE ONLY

DIVISION ID # 4036330040

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TDOT OFFICIAL _____ DATE _____ STAMP

APPROVED PAY		FED SPEED CHART		$	PO LINES
LOCAL MATCH $		ST SPEED CHART		$	1
VENDOR NAME		LOC SPEED CHART		$	2
VENDOR ID		SPLIT SPEED CHART		$	3
LOCATION	ADDRESS #	RECEIPT #			4
EDISON CONTRACT ID		VOUCHER #			5
PURCHASE ORDER ID		PAYMENT REF ID #			6

COMMENTS: _____

EXAMPLE:

TDOT ROW INVOICE

COVER SHEET

TN TDOT Department of Transportation

Local Government Guidelines Form 9-4

March 9, 2018

LOCAL GOVERNMENT **RIGHT-OF-WAY COSTS** INVOICE

INVOICE DATE _____ **FINAL INVOICE FOR THIS PHASE?** YES [ ] NO [ ]

INVOICE PERIOD: _____ TO _____

INVOICE # _____

PIN # _____

STATE PROJECT # _____

FED PROJECT # _____

CONTRACT # _____

PROJECT DESCRIPTION

Type project description here.

LOCAL GOVERNMENT AGENCY: _____

REMIT TO ADDRESS: _____

COUNTY: _____

		CURRENT COSTS		COST SHOWN ON PRIOR INVOICES		TOTAL COSTS
ROW COSTS BY CONSULTANT			+		=	$0.00
ROW COSTS BY LOCAL FORCES			+		=	+ $0.00
DIRECT ROW COSTS			+		=	+ $0.00
SUBTOTAL						$0.00
LESS: LOCAL GOVERNMENT SHARE	0.0%					- $0.00
BALANCE						$0.00
LESS: AMOUNTS PREVIOUSLY INVOICED						- $0.00
AMOUNT DUE THIS INVOICE						**$0.00**

I CERTIFY UNDER PENALTY OF LAW THAT THIS CERTIFICATION/ESTIMATE AND ALL ATTACHMENTS WERE PREPARED UNDER MY DIRECTION OR SUPERVISION IN ACCORDANCE WITH A SYSTEM DESIGNED TO ASSURE THAT QUALIFIED PERSONNEL PROPERLY GATHERED AND EVALUATED INFORMATION PRESENTED. BASED ON MY INQUIRY OF THE PERSON OR PERSONS WHO MANAGE THE SYSTEM, OR THOSE PERSONS DIRECTLY RESPONSIBLE FOR GATHERING THE INFORMATION, I HEREBY CERTIFY THAT THIS SUBMITTAL IS ACCURATE AND CORRECT. I AM AWARE THERE ARE SIGNIFICANT PENALTIES FOR SUBMITTING FALSE INFORMATION, INCLUDING THE POSSIBILITY OF FINE AND IMPRISONMENT FOR KNOWING VIOLATIONS. I FURTHER ACKNOWLEDGE THAT FAILURE TO FOLLOW FEDERAL DIRECTIVES, GUIDELINES, AND REGULATIONS WILL RESULT IN THE LOSS OF FEDERAL FUNDING.

(PROJECT SUPERVISOR) _____ (LOCAL GOVERNMENT OFFICIAL) _____

FOR TDOT USE ONLY

DIVISION ID # 4036330040

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TDOT OFFICIAL _____ DATE _____ STAMP

APPROVED PAY		FED SPEED CHART	$	PO LINES
LOCAL MATCH $		ST SPEED CHART	$	1
VENDOR NAME		LOC SPEED CHART	$	2
VENDOR ID		SPLIT SPEED CHART	$	3
LOCATION	ADDRESS #	RECEIPT #		4
EDISON CONTRACT ID		VOUCHER #		5
PURCHASE ORDER ID		PAYMENT REF ID #		6

COMMENTS: _____

Revised 3/10/10

EXAMPLE:

TDOT CONSTRUCTION INVOICE

COVER SHEET

(NAME OF LOCAL GOVERNMENT)

TN TDOT Department of Transportation

Local Government Guidelines Form 9-5

March 9, 2018

LOCAL GOVERNMENT **CONSTRUCTION COSTS** INVOICE

INVOICE DATE _____
INVOICE PERIOD: _____ TO _____

FINAL INVOICE FOR THIS PHASE? YES [ ] NO [ ]

INVOICE # _____
PIN # _____
STATE PROJECT # _____
FED PROJECT # _____
CONTRACT # _____
PROJECT DESCRIPTION
Type project description here.

LOCAL GOVERNMENT AGENCY: _____
REMIT TO ADDRESS _____

COUNTY: _____

		CURRENT COSTS		COST SHOWN ON PRIOR INVOICES		TOTAL COSTS
COSTS PER ENGINEER'S ESTIMATE OR LOCAL FORCES INVOICE			+		=	$0.00
CONSTRUCTION ENGINEERING COSTS			+		=	$0.00
SUBTOTAL						$0.00
LESS: LOCAL GOVERNMENT SHARE	0%					$0.00
BALANCE						$0.00
LESS: AMOUNTS PREVIOUSLY INVOICED						$0.00
AMOUNT DUE THIS INVOICE						**$0.00**

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(PROJECT SUPERVISOR) _____ (LOCAL GOVERNMENT OFFICIAL) _____

FOR TDOT USE ONLY

DIVISION ID # 4036330040

INVOICE RECEIVED _____

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TDOT OFFICIAL _____ DATE _____ STAMP

APPROVED PAY		FED SPEED CHART		$	PO LINES
LOCAL MATCH $		ST SPEED CHART		$	1
VENDOR NAME		LOC SPEED CHART		$	2
VENDOR ID		SPLIT SPEED CHART		$	3
LOCATION	ADDRESS #	RECEIPT #			4
EDISON CONTRACT ID		VOUCHER #			5
PURCHASE ORDER ID		PAYMENT REF ID #			6

COMMENTS: _____

Invoice Summary Sheet

TN TDOT Department of Transportation

Local Government Guidelines Form 9-2
March 9, 2018

PRELIMINARY ENGINEERING INVOICE SUMMARY
This is required with every invoice submittal.

Invoice # (*Numbered Chronologically*)	Billing Amount	Amount Requested for Reimbursment	Check/Wire #
		100.0%	
#####	$ -	$ -	
#####	$ -	$ -	
#####	$ -	$ -	
#####	$ -	$ -	
#####	$ -	$ -	
#####	$ -	$ -	
#####	$ -	$ -	
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#####	$ -	$ -	
#####	$ -	$ -	
#####	$ -	$ -	
#####	$ -	$ -	
Total:	**$ -**	**$ -**	

Additional Notes:

Materials and Tests Billing

TN. Dept. of Transportatation - Finance Division **INVOICE #1624**

505 Deaderick St, Suite 800, Nashville, TN 37243
Phone 615-350-4100 Fax 615-350-4128 TDOT.MaterialsTests@tn.gov

Customer
Town of Greeneville
200 N. College St.
Greeneville, TN 37745

Invoice Date 12/28/2015
Sales Person Materials & Tests Division
P.O. #

Phone 423-787-6382
Fax

Job	Payment Due	Payment Terms
30LPLM-F3-011 PIN 115881	1/28/2016	NET 30

Product	Quantity	Unit Price	Line Total
Cement Sampling & Testing	1	$189.90	$189.90
Aggregate Quality Report	1	$185.38	$185.38

PLEASE INCLUDE A COPY OF INVOICE WITH PAYMENT

Services Total	$0.00
Products Total	$375.28
Taxes	$0.00
Invoice Total	**$375.28**

Thank you for your business

TN. Dept. of Transportatation - Finance Division 505 Deaderick St, Suite 800, Nashville, TN 37243
Phone 615-350-4100 Fax 615-350-4128 TDOT.MaterialsTests@tn.gov

Page 1 of 1

TDOT Finance Statement of Progress Cost

TENNESSEE DEPARTMENT OF TRANSPORTATION

INVOICE

INVOICE DATE:	1/29/2016	INVOICE NUMBER:
In Account With: 000000000000330	This invoice includes cost incurred and payment received as of the invoice date	

Payment Terms Net 30	Customer Address:	Contact Person(s):
	CITY Address 1 Address 2	

PLEASE REMIT YOUR PAYMENT TO:

TENNESSEE DEPARTMENT OF TRANSPORTATION
Finance Division
ATTN: Anna Biggs
505 Deaderick Street, Suite 800
Nashville, TN 37243-0329

Federal Project Number	STP-12-4567	
State Project Number	12345-4567-89	$ 2,332.50
State Project Number	12345-4567-89	$ 2,289.32
State Project Number	12345-4567-89	$ 7.41
Description:	Description	
TOTAL COSTS TO DATE		$ 4,629.23
LESS: TOTAL PAYMENTS TO DATE		$ (3,000.00)
TOTAL AMOUNT DUE THIS BILLING		**$ 1,629.23**

FOR T.D.O.T. FINANCE DIVISION USE ONLY:

TENNESSEE DEPARTMENT OF TRANSPORTATION

STATEMENT OF PROGRESS COST		1/29/2016		
Bill to:	CITY	Federal Project Number:		STP-1
PROJECT DESCRIPTION:		Description		
STATE PROJECT NUMBERS:		Prelim. Engineer 12345-4567-89	Right-of-Way 12345-4567-89	Construction 12345-4567-89
FUNDING METHOD: LGIP				
CUSTOMER CONTRACT NUMBER(S)		S0209801		S0209800
COST SUMMARY				
PRELIMINARY ENGINEERING COSTS:		$ 12,332.50		
RIGHT-OF-WAY COSTS:			$ 62,289.32	
CONSTRUCTION COSTS: Construction Contract Payments Other Expenditures				$ 16.23 4.18
TOTAL PROJECT COSTS		$ 12,332.50	$ 62,289.32	$ 20.41
PROJECT PARTICIPANTS:				
Federal Highway Administration CITY	80.00% 20.00%	$ 10,000.00 2,332.50	$ 60,000.00 2,289.32	$ 13.00 7.41
TOTAL PARTICIPANT COSTS		$ 12,332.50	$ 62,289.32	$ 20.41
CALCULATED AMOUNT OWED/DUE				
CITY's SHARE OF COSTS LESS: PRIOR DEPOSITS/PAYMENTS INTEREST		$ 2,332.50	$ 2,289.32	$ 7.41 (3,000.00)
AMT DUE TDOT OR BALANCE REMAINING		$ 2,332.50	$ 2,289.32	$ (3,000.00)

SAMPLE:

AUTHORIZED SIGNATURE FORM

TN TDOT Department of Transportation

Local Government Guidelines Form 9-1
March 9, 2018

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)	PIN #:

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

Page **1** of **1**

Billing Procedures

Invoices may be submitted no more often than monthly but at least quarterly

C.4 Payment Methodology:

In the event that the Agency shall receive federal and/or state funds for any portion of the herein described Project, this provision shall apply.

a) The Agency shall submit invoices, in a form outlined in the Local Government Guidelines with all necessary supporting documentation, prior to any reimbursement of allowable costs. Such invoices shall be submitted no more often than monthly but at least quarterly and indicate, at a minimum, the amount charged by allowable cost line-item for the period invoiced, the amount charged by line-item to date, the total amounts charged for the period invoiced, and the total amount charged under this agreement to date. Each invoice shall be accompanied by proof of payment in the form of a canceled check or other means acceptable to the Department.

Will not issue Notice to Proceed without quarterly billing

Money Tracker

PIN

Funds Remaining
$0.00

Status as of 4/14/2016

DSN Contract		
Beginning Date	Ending Date	Maximum Amount

STARTING BALANCES					
NEPA	DESIGN	ROW	CONSTRUCTION	OVERS	TOTAL
$0.00	$0.00	$0.00	$0.00	$0.00	$0.00

Enter Starting Balances Above.

AMOUNT SPENT					
NEPA	DESIGN	ROW	CONSTRUCTION	OVERS	TOTAL
$0.00	$0.00	$0.00	$0.00	$0.00	$0.00

REMAINING BALANCE					
NEPA	DESIGN	ROW	CONSTRUCTION	OVERS	TOTAL
$0.00	$0.00	$0.00	$0.00	$0.00	$0.00

Money Tracker

Invoice #	DATE	EXPENDITURE AMOUNT					NOTES
		NEPA	DESIGN	ROW	CONST	OVERS	

TN TDOT Department of Transportation

Local Government Guidelines Form 9-2
March 9, 2018

LOCAL GOVERNMENT **PRELIMINARY ENGINEERING NEPA COSTS** INVOICE

INVOICE DATE 12/20/2013 FINAL INVOICE FOR THIS PHASE? YES [ ] NO [X]

INVOICE PERIOD: 7/28/2013 TO 11/30/2013

INVOICE # 110147-14-02
PIN # 115881.00
STATE PROJECT # 30LPLM-F0-008
FED PROJECT # STP-M-9104(15)
CONTRACT # 110147
PROJECT DESCRIPTION
Fairgrounds Road Connector

LOCAL GOVERNMENT AGENCY: Town of Greenville
REMIT TO ADDRESS: 200 N College St
Greeneville, TN 37745

COUNTY: Greene

		CURRENT COSTS		COST SHOWN ON PRIOR INVOICES		TOTAL COSTS
PRELIMINARY ENGINEERING COSTS		$85,830.00	+	$40,475.00	=	$126,305.00
SUBTOTAL						$126,305.00
LESS: LOCAL GOVERNMENT SHARE	20%					- $25,261.00
BALANCE						$101,044.00
LESS: AMOUNTS PREVIOUSLY INVOICED						- $32,380.00
AMOUNT DUE THIS INVOICE						$68,664.00

I CERTIFY UNDER PENALTY OF LAW THAT THIS CERTIFICATION/ESTIMATE AND ALL ATTACHMENTS WERE PREPARED UNDER MY DIRECTION OR SUPERVISION IN ACCORDANCE WITH A SYSTEM DESIGNED TO ASSURE THAT QUALIFIED PERSONNEL PROPERLY GATHERED AND EVALUATED INFORMATION PRESENTED. BASED ON MY INQUIRY OF THE PERSON OR PERSONS WHO MANAGE THE SYSTEM, OR THOSE PERSONS DIRECTLY RESPONSIBLE FOR GATHERING THE INFORMATION, I HEREBY CERTIFY THAT THIS SUBMITTAL IS ACCURATE AND CORRECT. I AM AWARE THERE ARE SIGNIFICANT PENALTIES FOR SUBMITTING FALSE INFORMATION, INCLUDING THE POSSIBILITY OF FINE AND IMPRISONMENT FOR KNOWING VIOLATIONS. I FURTHER ACKNOWLEDGE THAT FAILURE TO FOLLOW FEDERAL DIRECTIVES, GUIDELINES, AND REGULATIONS WILL RESULT IN THE LOSS OF FEDERAL FUNDING.

Joey Tribbiani
(PROJECT SUPERVISOR)

Rachel Greene
(LOCAL GOVERNMENT OFFICIAL)

Need More Money?

- Funds must be available in the TIP/STIP
- MPOs email adjustments/amendments to STIP.Requests@tn.gov
- Adjustments vs. Amendments
- Contact monitor to adjust funds

Common Mistakes

- Submitting invoices for more than available
- Incorrect address
- Incorrect project numbers or cover sheet
- Not including canceled checks
- Insufficient amount of proof of payment
- Overlapping fiscal years
- PPI (Personal, Private Information) not redacted
- Not correcting previously submitted invoices
- Not submitting actual invoices
- Missing signatures on cover sheet or backup documents

Invoicing FAQs

- Where are the project numbers for phases other than construction?
- How fast can I get reimbursed?

Questions?

Project Close Out

LPDO Material and Tests Certification

- Complete Form DT-1696LP at completion of the project
- Include documentation for all failing material tests and the corrective actions taken
  - Form 8-31: Materials Certification
- Submit to the LPDO
- Ensures the quality of all materials incorporated into the project is in conformance with the plans and specifications

Local Programs Materials & Tests Certification

Date: _____

Project Reference No.: _____
Project No.: _____
PIN: _____
County: _____
Region: _____

Local Programs Development Office
500 Deaderick St.
Suite 600 James K. Polk Bldg.
Nashville, TN 37243
Local.Programs@tn.gov

The results of the test(s) on acceptance samples indicate that the materials incorporated into the construction work and the construction operations controlled by sampling and testing, conform in substance with the approved plans and specifications.

Furthermore, all mix designs, verifications and assurance samples have been approved and conducted according to TDOT Standard Operating Procedures (SOPs).

Any exceptions to the plans, specifications or SOPs including any failing results are explained in the attachment.

☐ All Tests meet specifications and were conducted according to TDOT SOPs.

☐ See attached supplement to this certification for items below standard specifications.

Were Independent Assurance Samples required on this project? ☐ YES ☐ NO

Remarks:

_____
_____
_____
_____

_____ _____
CEI Inspector/Records Clerk **Date**

_____ _____
CEI Director/Engineer/Manager **Date**

_____ _____
Maintaining Agency Representative/Title **Date**

Distribution: Local Programs Development Office
Regional Materials & Tests
Headquarters Materials & Tests
Regional Operations Supervisor

Form DT-1696(LP)

SUPPLEMENT TO LOCAL PROGRAMS
MATERIALS AND TESTS CERTIFICATION
Items Below Standard Specification(s)

Date: _____

Project Reference No.: _____

Project No.: _____

PIN: _____

County: _____

Region: _____

Listed below are all items on the above project that are below TDOT Standard Specifications. This includes any exceptions to the plans, Standard Operating Procedures and any failing test results.

_____

_____

_____

_____

_____

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_____

_____

_____

_____

_____

_____

_____

Signature/Title Date

(supplement should be attached to Local Programs Materials & Tests Certification page 1)
Form DT-1696(LP)

Completion Notice

- Indicates all items of work have been inspected and are complete
- The Local Government Project Supervisor will send Form 8-33 to the LPDO, TDOT Operations Representative, TDOT Regional Materials and Tests Supervisor, the contractor, and the surety
- The notice should be sent as soon as possible after all items are accepted as complete
- The completion date is the date all construction charges stop

TN TDOT Department of Transportation

Local Government Guidelines Form 8-33
March 9, 2018

Manager, TDOT Local Programs Office
JKP Building, Suite 600
505 Deaderick Street
Nashville, TN 37243-0341

RE: **COMPLETION NOTICE**

PIN:
County:
Federal Project No.:
Description:

State Project No.:
Contract No.:
Reference No.:

To Whom it May Concern:

The above project was inspected and accepted as complete on by representing the Tennessee Department of Transportation.

THE HISTORY OF THE PROJECT IS AS FOLLOWS:

Notice to Proceed Date:

Work Begin Date:

Substantial Work Complete Date:

Original Completion Date: ON/BEFORE

Adjusted Completion Date: ON/BEFORE

Actual Number of days used:

Contractor:

S.P. 108B: ☐ No ☐ Yes

Did contract have a **Notice Of Coverage** from TDEC? ☐ No ☐ Yes (If yes, a copy of the **Notice Of Termination** submitted to TDEC must be sent to Local Programs before sending a Completion Notice.)

If any exceptions, date completed:

Sincerely,

cc: Contract file
Regional Construction Engineer
Regional Materials & Tests Engineer
Regional Environmental Coordinator
Director, Material & Tests Division
Director, Small Business Development Office
Contractor
Surety

Advertisement for Claims

- The LG will advertise the contract for claims
  - Published in an area press service with the greatest coverage for two consecutive weeks (one ad per week)
  - Must include a due date for claims, which is at least 30 days from the last published date
- The contractor must provide an affidavit (Form 8-34) as evidence that materials, labor, and payment comply with T.C.A. 54-05-122 to the CEI
- All claims should be made in accordance with Sections 105.16 and 107.19 of TDOT Standard Specifications and 23 CFR 635.124
- The LG will mail copies of the request to the Prime Contractor, Surety Agent, and the LPDO

NOTICE TO FURNISHERS OF LABOR AND MATERIALS

TO: Summers-Taylor, Inc.

STATE PROJECT NO.: 30LPLM-F3-011

FEDERAL PROJECT NO.: STP-M-9104(15)

PIN: 115881.00

CONTRACT NO.: 110147

COUNTY: Greene

The City of Greeneville is about to make final settlement with the contractor for construction of the above project as noted. All persons wishing to file claims pursuant to T.C.A. 54-05-122 must file same with Mayor John Doe, 200 N. College Street, Greeneville, TN on or before July 1, 2016.

TN TDOT Department of Transportation

Local Government Guidelines Form 8-34
March 9, 2018

Contractor's Affidavit Pertaining to Labor and Materials

The undersigned contractor on Contract No. , Project No. , Reference No. , County , hereby certifies that all laborers, mechanics, apprentices, trainees, watchmen, and guards employed by him or by any subcontractor performing the work under the contract on the project have been paid wages at rates not less than those required by the contract provisions, and that the work performed by each such laborer, mechanic, apprentice, or trainee conformed to the classifications set forth in the contract or training program provisions applicable to the wage rate paid.

The undersigned contractor further certifies that all sums of money which have been due for labor and material used in the construction of this project, that all damages suffered on account of such construction, and that all claims for which we are held liable under the laws of Tennessee, with the exception of the outstanding claims now on file with the Tennessee Department of Transportation, the provisions of our contract and the terms of our bond, have been paid. In the event that any just claim is presented of which we do not now have knowledge, we agree to protect the State of Tennessee Department of Transportation by making at once the proper settlement of such claims.

CONTRACTOR

By _____

Title _____

Date _____

State of _____

County _____

Date _____

Personally appeared before me, a notary public for said county and state, on this date the above named person who, on behalf of the named contractor, makes oath that this affidavit is true to the best of his information, knowledge, and belief.

_____
Notary Public

_____
My Commission Expires

Summary Change Order

- A Summary Change Order and Final Estimate must be prepared to adjust the contract amount to an amount that coincides with the final quantities
- All differences must be identified and submitted to the LPDO
- All overruns/underruns shall be explained in accordance with Circular Letter 109-03.01
- Determination of time based on quantity increase can be determined following Circular Letter 108.06.02

TN TDOT Department of Transportation

Local Government Guidelines Form 8-30
March 9, 2018

Supplemental Agreement and/or Request for Construction Change
Change Order Request # 2

Project Title/Termini:	Greeneville Fairgrounds Connector Road, Phase 3		
Owner:	Town of Greeneville	PIN:	115881.00
Address:	200 North College St.	State Project No.:	30LPLM-F3-011
	Greeneville, TN 37745	Federal Project No.:	STP-M-9104(15)
Date Prepared:	4/18/2018	Contract No.:	110147
		County:	Greene

Whereas, we Summers-Taylor, Inc. with Fidelity & Deposit Co. of Maryland, as a Surety, entered into a contract with Town of Greenville, on November 9, 2015, for the construction by said Contractor of the above designated contract; and *Whereas*, certain items of construction encountered, are not covered by the original contract, we desire to submit the following additional items of construction to be performed by the Contractor and paid by the Owner at the price(s) scheduled therefore below:

The purpose of this Change Order is to:

Establish contract item number and unit price for added items and balance quantities for the final Pay Application Request and project close out.

As a result of this Change Order, contract time shall:

☒ Not Change, ☐ Increase by _____ days, ☐ Decrease by _____ days

Original contraction Completion Time: 365 days (Date: November 8, 2016)

Approved Change Orders: 0

Current Change Order: 0

Contract Completion Time with Change Orders: 365 days (Date: November 8, 2016)

Now, Therefore, We, Summers-Taylor, Inc., Contractors, and Fidelity & Deposit Co. of Maryland, Surety, hereby agree to the Supplemental Agreement consisting of the above mentioned items and prices, and agree that this Supplemental Agreement is hereby made a part of the original contract and will be performed by this Contractor in accordance with specifications thereof, and that the original contract remain in full force and effect, except insofar as specifically modified by this Supplemental Agreement.

Recommended for Approval

By: _____
Engineer/CEI (Printed and Signature) Date

Approved By:

By: _____
Contractor (Printed and Signature) Date

By: _____
Surety (Printed and Signature) Date

By: _____
Owner (Printed and Signature) Date

Approved for Eligibility:

By: _____

DBE Payments

- After the project is complete, the contractor will submit a CC-3 form (Form 8-35) to the LG for EACH DBE that performed work on the project
- The CC-3 form certifies the total amount paid to the DBE for the project
- Once received by the LG, they will send a copy to the TDOT Civil Rights Office and the LPDO

TN TDOT Department of Transportation

Local Government Guidelines Form 8-35
March 9, 2018

Certification Regarding Money Paid to Disadvantaged Business Enterprises (CC-3)

I, _____ (Name of Owner or Authorized Representative), certify that to the best of my knowledge, _____ (Name of DBE) has been paid in full, per the amount of the contract for actual work performed on:

Contract No. _____ County _____, as of _____

I further certify that I am duly authorized to make this certification on behalf of the named contractor.

DISADVANTAGED BUSINESS ENTERPRISE	AMOUNT	
_____ Firm Name	_____	Original DBE Subcontract $
	_____	Original DBE Subcontract Date
PRIME CONTRACTOR: _____		
SIGNATURE: _____	_____	Paid to date
TITLE: _____	_____	Est. final pmt.
DATE: _____	_____	TOTAL

I, _____ (Name of DBE Owner or Authorized Representative), certify that to the best of my knowledge, _____ (Name of Contractor) has paid the named DBE, in full, per the amount of the contract for actual work performed on:

Contract No. _____ County _____, as of _____

I further certify that I am duly authorized to make this certification on behalf of the named contractor.

DISADVANTAGED BUSINESS ENTERPRISE	AMOUNT	
_____ Firm Name	_____	Original DBE Subcontract $
	_____	Original DBE Subcontract Date
SIGNATURE: _____	_____	Paid to date
TITLE: _____	_____	Est. final pmt.
DATE: _____	_____	TOTAL

End of Job Certificate

- After verifying all records, work performed, and item quantities are correct and the final quantities are covered by the required material certifications, submit an End of Job Certificate (Form 8-36) to the LPDO
- This submission *will* close out the project with TDOT
- NO requests for reimbursement may be submitted after this is submitted
- For projects with railroad involvement, once construction is complete, the LG shall also submit a Railroad Completion Notice (Form 8-15) to LPDO

TN TDOT Department of Transportation

Local Government Guidelines Form 8-36
March 9, 2018

END of JOB CERTIFICATE

Project Title/Termini:	Fairgrounds Connector Road, from Fairgrounds Circle to North Rufe Taylor Road		
Owner:	Town of Greeneville	PIN:	115881.00
Address:	200 N. College St.	State Project No.:	30LPLM-F3-011
	Greeneville, TN 37745	Federal Project No.:	STP-M-9104(15)
Date Prepared:	4/5/2015	Contract No.:	110147
		County:	Greene

The foregoing record, as noted on the various forms and for the various items, is a true representation of the work done by Summers-Taylor, Inc, the contractor on the above listed Contract and that any part of the record which has been copied from the field books is a true copy of the notes, field notes mentioned above being submitted.

Signed: Joey Tribbiani

Project Supervisor

Retention of Records

- All documents shall be kept for a minimum of seven (7) years after everything is closed and finalized.
- A letter will be sent to the LG stating when the seven year period begins.

Retention of Records

The Honorable Mayor Name
Mayor, Agency
Address

RE: PIN: PIN ; Project Title/Termini

Dear Mayor Mayor's Last Name:

This letter is to advise you that the Federal Highway Administration's (FHWA) last action in the Fiscal Management Information System (FMIS) for the above referenced project was its Final Voucher on Final Voucher Date. You are required to keep all records for the above referenced project for seven years from the Final Voucher date.

Please note, however, that all records must be retained for seven (7) years *after* completion of any litigation, claim, negotiation, audit or other action and resolution of all issues.

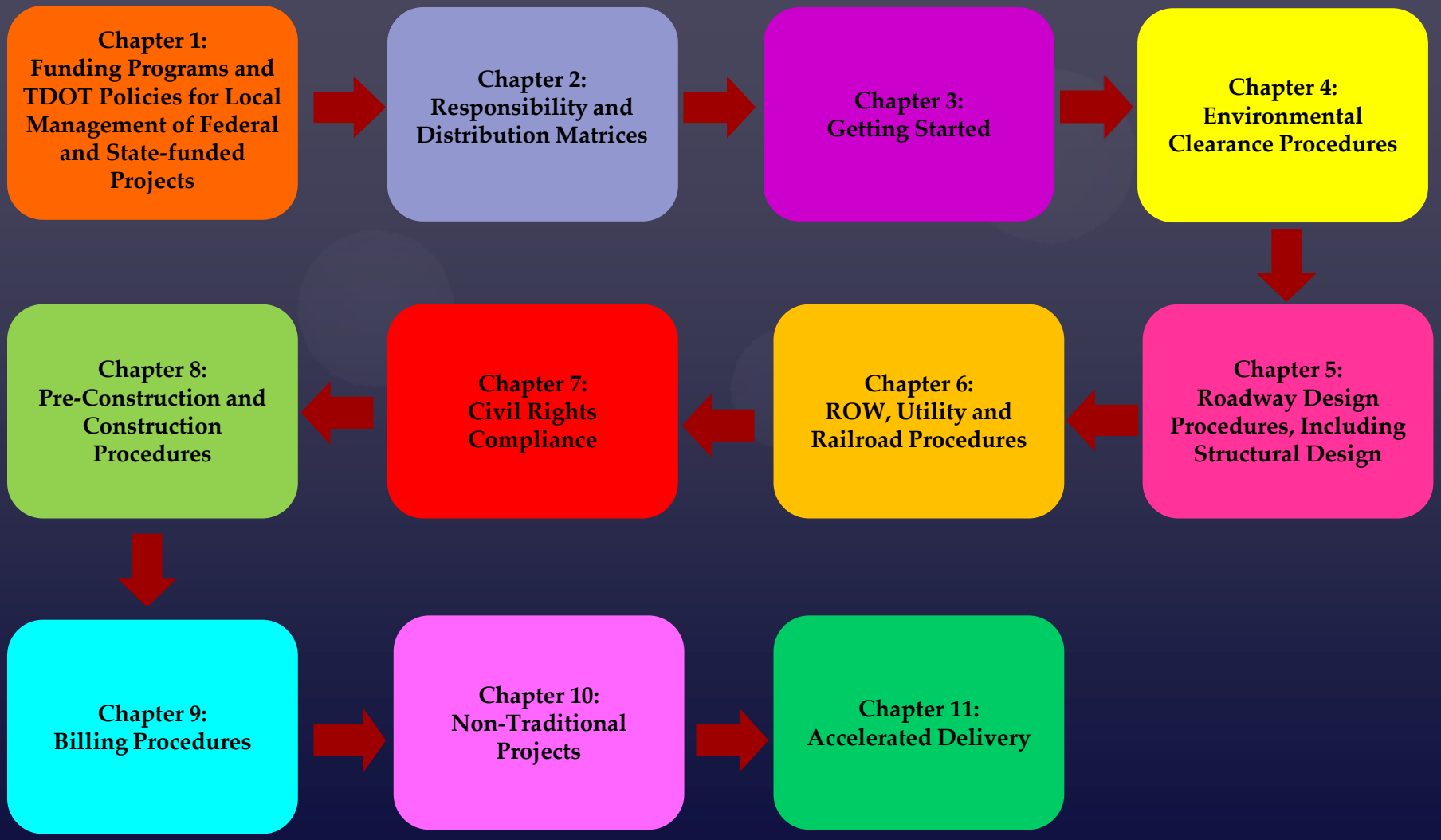
Should you have any questions, please contact me at 615-741-5314 or via e-mail at Local.Programs@tn.gov.

Common Mistakes

- Not submitting an End of Job Certificate
- Consultant signing End of Job Certificate instead of the LG
- Submitting End of Job Certificate before final reimbursement has been received
- Not submitting CC-3 form when DBEs performed work
- Not submitting a Summary Change Order

Questions?

Chapters Flow Chart



Thank you!

TN TDOT Department of Transportation

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Local Programs

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Local Programs Development Office