

# Local Programs Development Office

{ Local Government Guidelines Manual Training



# **NOBODY TRASHES TENNESSEE**



**T E N N E S S E E   D E P A R T M E N T  
O F   T R A N S P O R T A T I O N**



# Media Coverage



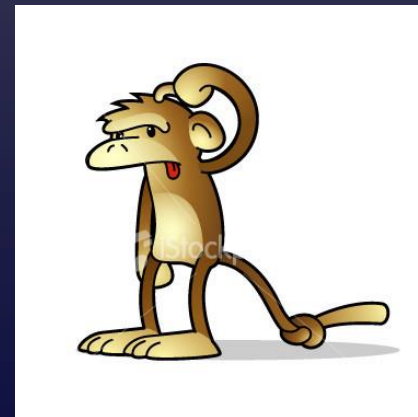
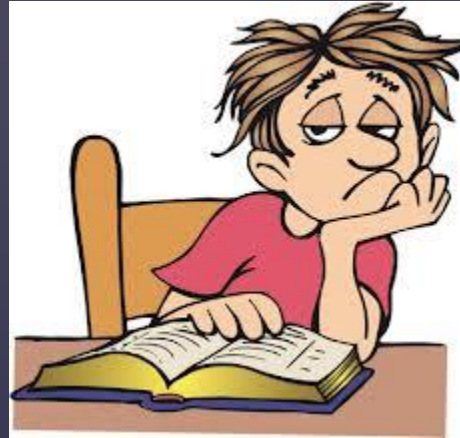
# TENNESSEE ADOPT--HIGHWAY

No Fee Involved!

- Safety Equipment is purchased by TDOT. Safety equipment is loaned to the groups, they are expected to return everything within three days of the cleanup event.
- After a cleanup, groups can call their District Coordinator and request for the bags to be picked up and disposed of by TDOT maintenance crews.
  - Recycling efforts must be conducted by groups
- After groups report their first cleanup, a recognition panel is printed and installed by TDOT. *Free advertisement!*



# Why are you here?



# Why are WE here?



**KEEP  
CALM  
WE'RE  
HERE TO  
HELP**

# Organizational Chart

**Whitney Britt**  
Manager 2

**Charisse Westfall**  
ASA 2

## Traditional

**Kimery Grant**  
Manager 1

**Nate Brugler**  
Supervisor  
Regions 2 & 4

**Eli Jones**  
Supervisor  
Regions 1 & 3

**Taylor Lee**  
Program Monitor 1  
Region 3

**Stanley Burnette**  
Program Monitor 1  
Region 1

**Donovan Chumbley**  
Program Monitor 2  
Region 2

**Meghan Wilson**  
Program Monitor 1  
Region 4

**Vicki McGee**  
ASA 2

## State Aid

**John Phillips**  
Manager 1

**Maria Hunter**  
Program Monitor 2  
State-Let

**Jamica Cook**  
Program Monitor 2  
State Aid

**Amanda Brugler**  
ASA 2

## Finance

**Matt Burcham**  
Manager 1

**Chelsey Buchanan**  
Program Monitor 1

**Charity Cox**  
ASA 1

## Grants

**Neil Hansen**  
Manager 1

**Lisa Dunn**  
Supervisor  
TAP/SRTS

**Diana Benedict**  
Program Monitor 2  
SRTS

**Sarah Sutton**  
Program Monitor 2  
TAP/SRTS



# We are Your Main Point of Contact

Safe Routes to School (SRTS)

Diana Benedict

TAP/SRTS – Regions 1 & 4

Lisa Dunn

TAP/SRTS – Regions 2 & 3

Sarah Sutton

Multimodal Access (Statewide)

Monique  
Hazlewood

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

Stanley Burnette

Region 2

Donovan Chumbley

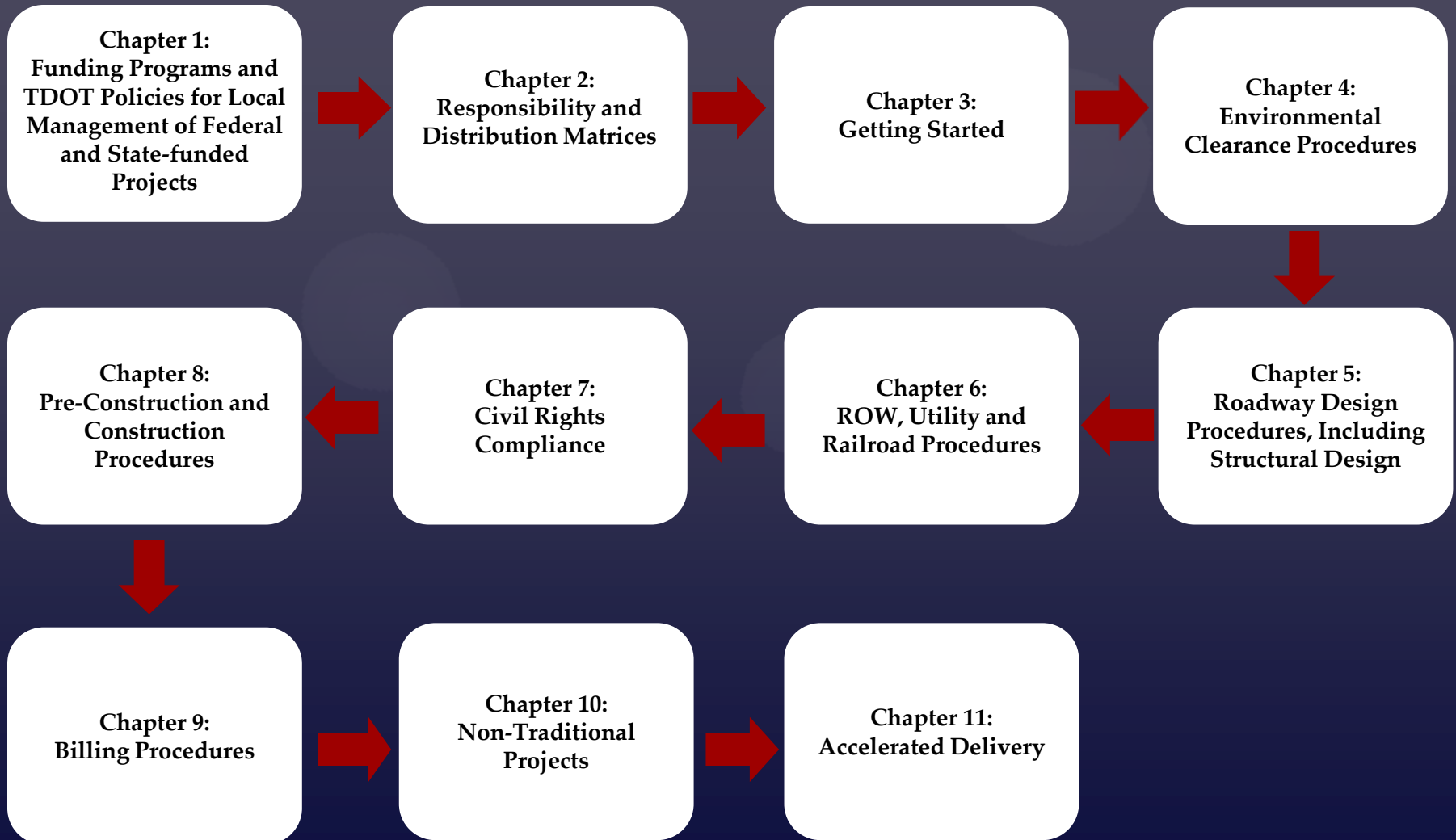
Region 3

Taylor Lee

Region 4

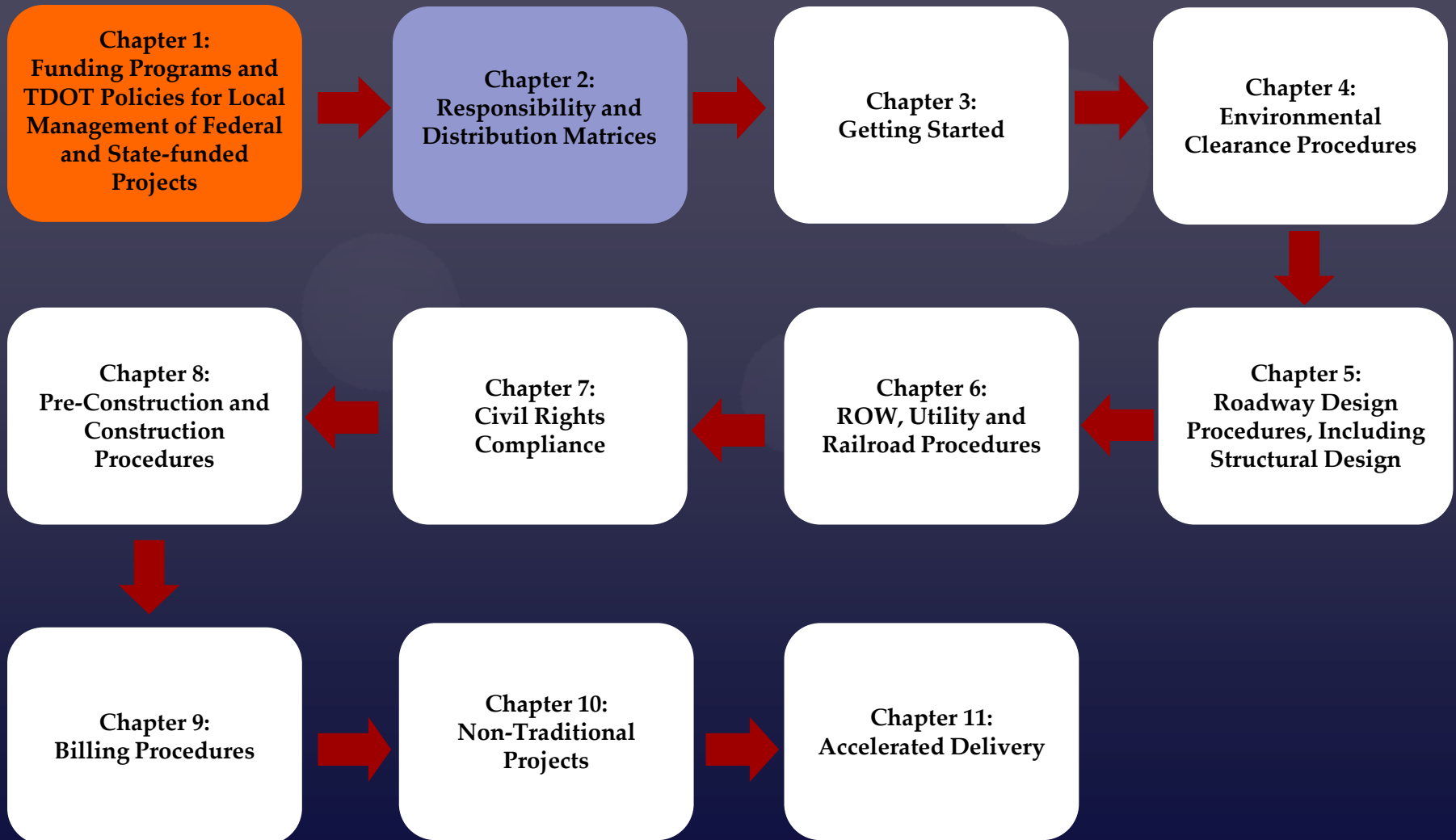
Meghan Wilson

# Chapters Flow Chart





# 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**



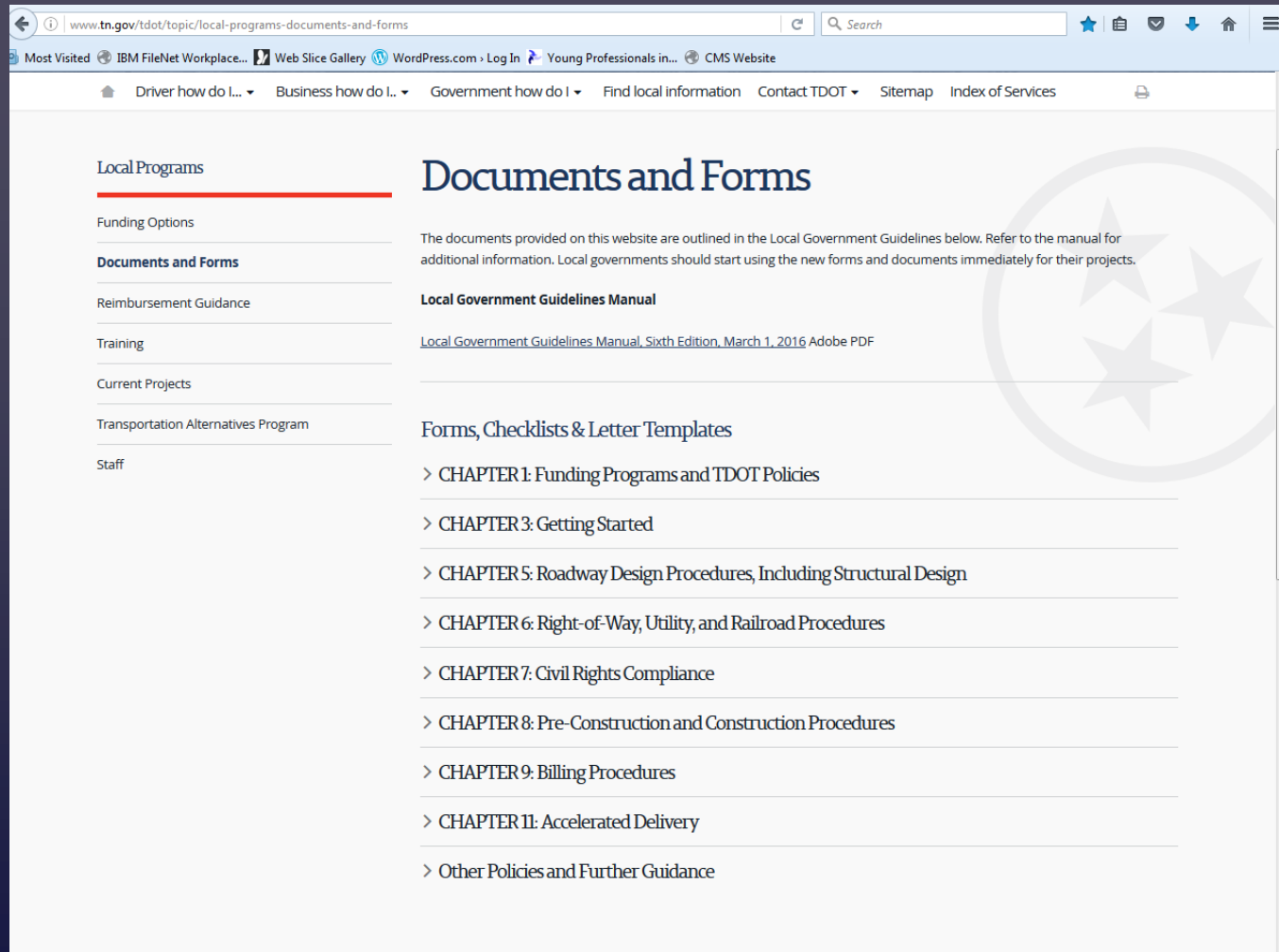
ISSUED BY THE PROGRAM DEVELOPMENT AND  
ADMINISTRATION DIVISION

SEVENTH EDITION

MARCH 9, 2018

[https://www.tn.gov/content/dam/tn/tdot/programdevelopment/localprograms/  
documents-and-forms/LGG\\_Manual.pdf](https://www.tn.gov/content/dam/tn/tdot/programdevelopment/localprograms/documents-and-forms/LGG_Manual.pdf)

# LGGM Forms



<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](#) (pg 212)

⌘ 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)





# 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/program\\_development/stateprograms/2018-2020\\_Bridge\\_Program.pdf](https://www.tn.gov/content/dam/tn/tdot/program_development/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



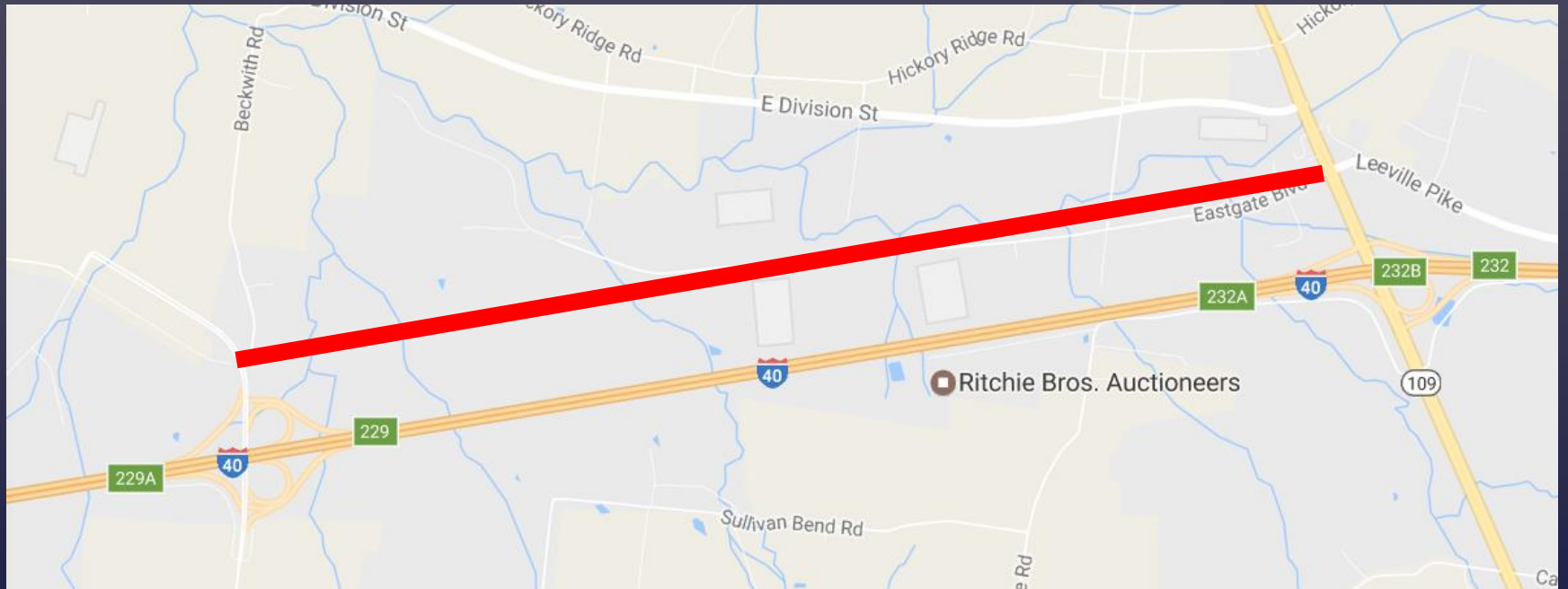
© DALE SAWYER



# 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





# 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 – Tom Doherty (615-253-3068)

# Multimodal Access Grant

- ⌘ Applications are due: **September 28, 2018 by 4PM (central) to TDOT**
  - Apply through your RPO/MPO (they establish when individual applications are due)
  - <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 – Jessica Wilson (615-741-5025)



# Transportation Alternatives Program (TAP)

- ⌘ Applications are due: **October 3, 2018 by 3PM (central)**
  - <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)

## Gallatin Greenway



## Alcoa Pedestrian Bridge

# 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 required to 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 typically be submitted directly through the eGrants system. Documents listed in Table 2-1 should be distributed as follows.

**Table 2-1 - Distribution Matrix**

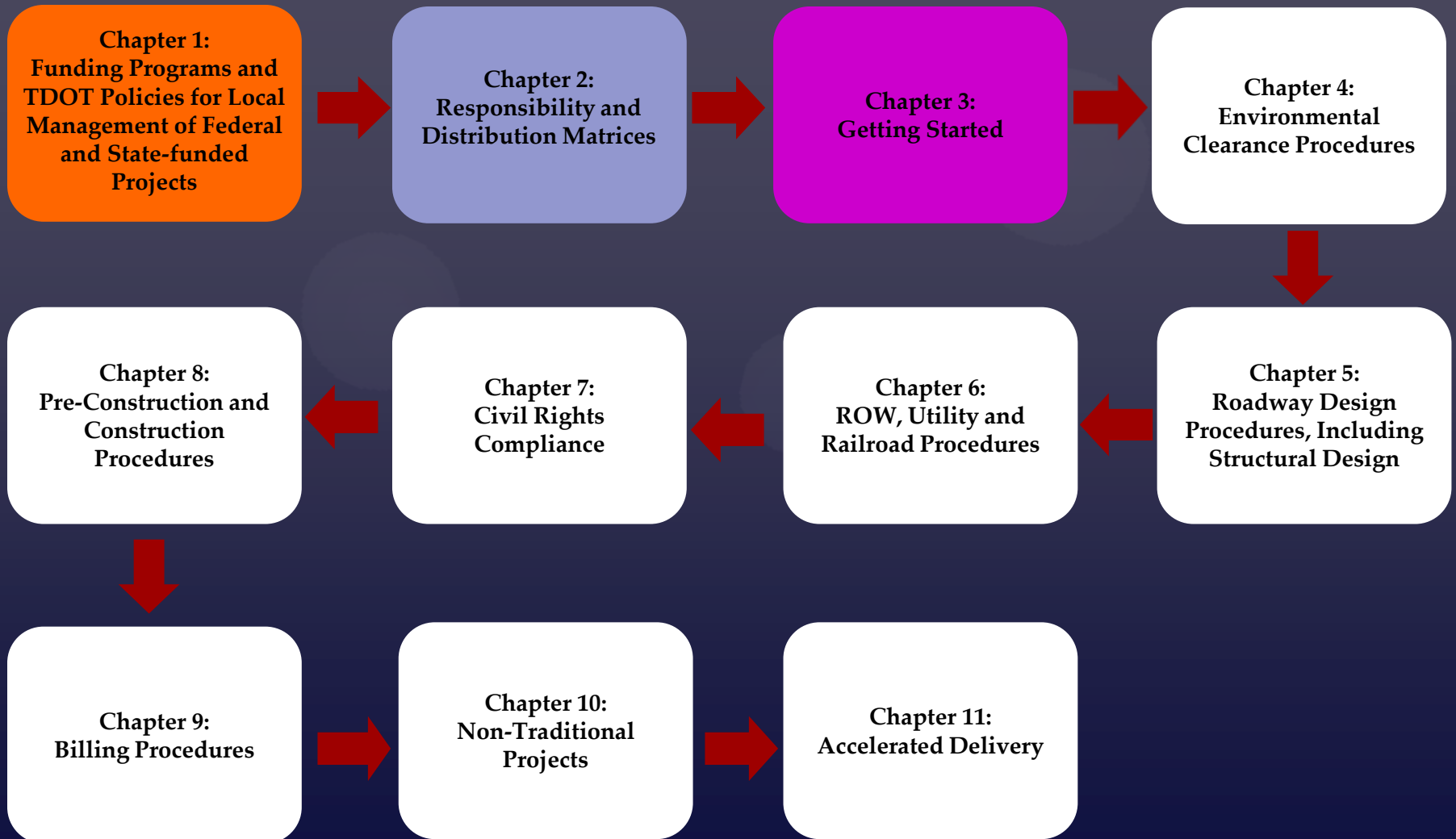
Document Type	Recipients	When	Notes
<i>TDOT Policies</i>			
Responsible Charge Form (Form 1-1)	Local Programs Development Office	During initiation and updated as needed	This is also part of the Initiation Packet (Form 3-1).
TDOT Selection Policy (Form 1-2)	Local Programs Development Office	During project initiation	
Consultant Advertisement Template (Form 1-3)	Local Programs Development Office	Prior to advertising for a consultant	TDOT approval required
Consultant Advertisement, Procurement Process, Consultant Contract	Local Programs Development Office	After NTP for NEPA	This submittal normally takes place after the NTP NEPA; however, consultant procurement can happen prior to the NEPA Phase reimbursement is expected

<i>Design</i>			
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



## 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](mailto: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



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](mailto: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

### Local Government Managed Project Initiation Checklist and Form

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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 Trilliviani*  
Local Government Official /  
Project Supervisor

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.

<b>Date:</b>	4-6-2018			
<b>County:</b>	Greene	<b>PIN (if applicable):</b> 115881.00		
<b>Route:</b>				
<b>Functional Class:</b>	Major Collector			
<b>Log Mile:</b>	<b>From:</b> 1.5	<b>To:</b> 2.6		
<b>Project Description:</b>	Construction of Phase III of the Fairgrounds Connector Road from the end of Phase I on Fairgrounds Circle to Rufe Taylor Road			
<b>Does Project Affect Railroad?</b>	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	<b>Match Amount</b>	\$549,000
			<b>Funding Type</b>	L-STBG
<b>Anticipated Project Budget:</b>	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

## FEDERAL FUNCTIONAL CLASSIFICATION SYSTEM

### URBAN

### RURAL

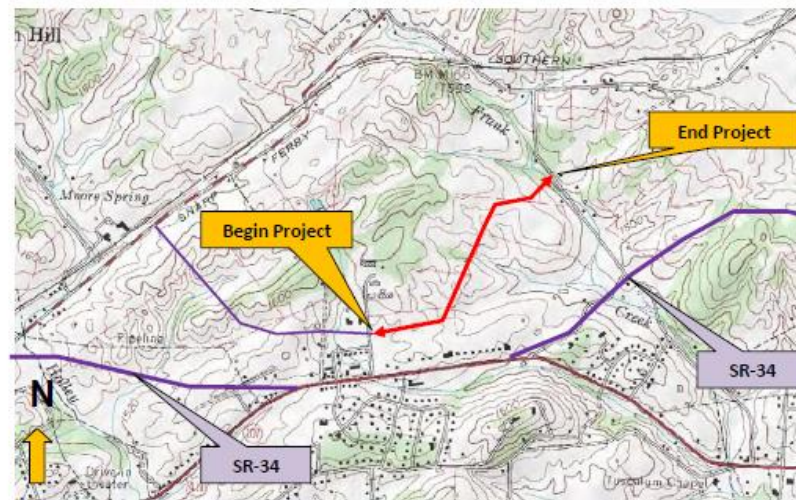
Interstate Highways		
Principal Arterials		
Minor Arterials		
Major Collectors		
Minor Collectors		
Local Roads*		

*\* Not eligible for federal funding*





Project Location Map



Project Location Map – USGS Quad Greenville (181 NE)

MAYOR  
W. T. Daniels  
  
RECORDER  
James L. Warner



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

March 31, 2011

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

PIN 115881  
Contract # 110147

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

## Joey Tribiani, P.E.

<b>OBJECTIVE</b>	To complete TDOT Local Program projects.		
<b>EDUCATION</b>	<b>University of Tennessee</b>		Knoxville, TN
	Major: Civil and Environmental Engineering		
	Minor: Public Relations with an Emphasis in Journalism		
	Graduation Date: May 2003		
<b>WORK EXPERIENCE</b>			Greeneville, TN
	December 2006-Present	<b>City of Greeneville</b> City Engineer Manage TDOT Local Programs Projects Review and approve commercial and residential site plans Create local Ordinances and Regulations	
	March 2006-December 2006	<b>Harper, Jadon and Harlow Beard Engineering, LLC</b> 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	Nashville, TN
	Aug. 2004 – March 2006	<b>Tennessee Department of Transportation</b> Roadway Specialist I Spent one calendar year rotating through various divisions of TDOT Conducted roadway design and resurfacing projects	Nashville, TN
	Jan. – Aug. 2003 & Dec. – Jan. 2003-2004	<b>Baker and Lacey Engineering Consulting Services</b> Cooperative education student Performed geometric roadway design Conducted field surveys using a total station Assisted in revisions to TDOT drainage manual and standard drawings	Nashville, TN
<b>COMPUTER SKILLS</b>	Microstation in conjunction with Geopak Microsoft Office ArcGIS		
<b>ACTIVITIES AND HONORS</b>	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

  
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 must have 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.



**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.

  
\_\_\_\_\_  
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**

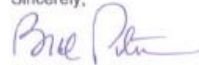
The right-of-way for the project will be donated by private property owner(s).

**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,

A handwritten signature in blue ink, appearing to read "Brad Peters", with a stylized flourish at the end.

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



LTAP  
LOCAL GOVERNMENT  
TRANSPORTATION ASSISTANCE PROGRAM



Instructor



**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*





# 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

**DUNS Number and Authorized Signature Form**

<b>DUNS Number</b>	
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	
<b>Authorized Signatures</b>	
<b>A minimum of two (2) signatures must be shown to permit flexibility in making requests for reimbursement.</b>	
Typed Name and Title  Ross Geller, Title VI and DBE Coordinator	Signature  <i>Ross Geller, Ph.D</i>
Typed Name and Title  Pheobe Buffay, CFO	Signature  <i>Pheobe Buffay</i>
Typed Name and Title  Joey Tribbiani, City Engineer	Signature  <i>Joey Tribbiani</i>
Typed Name and Title  Rachel Greene, Asst. City Engineer	Signature  <i>Rachel Greene</i>
<b>I certify that the signatures of the above individuals are only those persons authorized to sign for the reimbursements requests.</b>	
Signature of Highest Elected Official  <i>Chandler Bing</i>	Date  <i>4/8/18</i>

*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 RUFÉ 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

To establish account:

✧ 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**

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**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 Date John C. Schroer Date  
Mayor Commissioner

APPROVED AS TO  
FORM AND LEGALITY

APPROVED AS TO  
FORM AND LEGALITY

By: \_\_\_\_\_ By: \_\_\_\_\_  
Guthrie Central Perk Date John Reinbold Date  
Attorney General Counsel

## 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.

# TDOT Contract Steps

1. Contract sent to LG
2. LG reviews the contract and returns **ORIGINAL 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

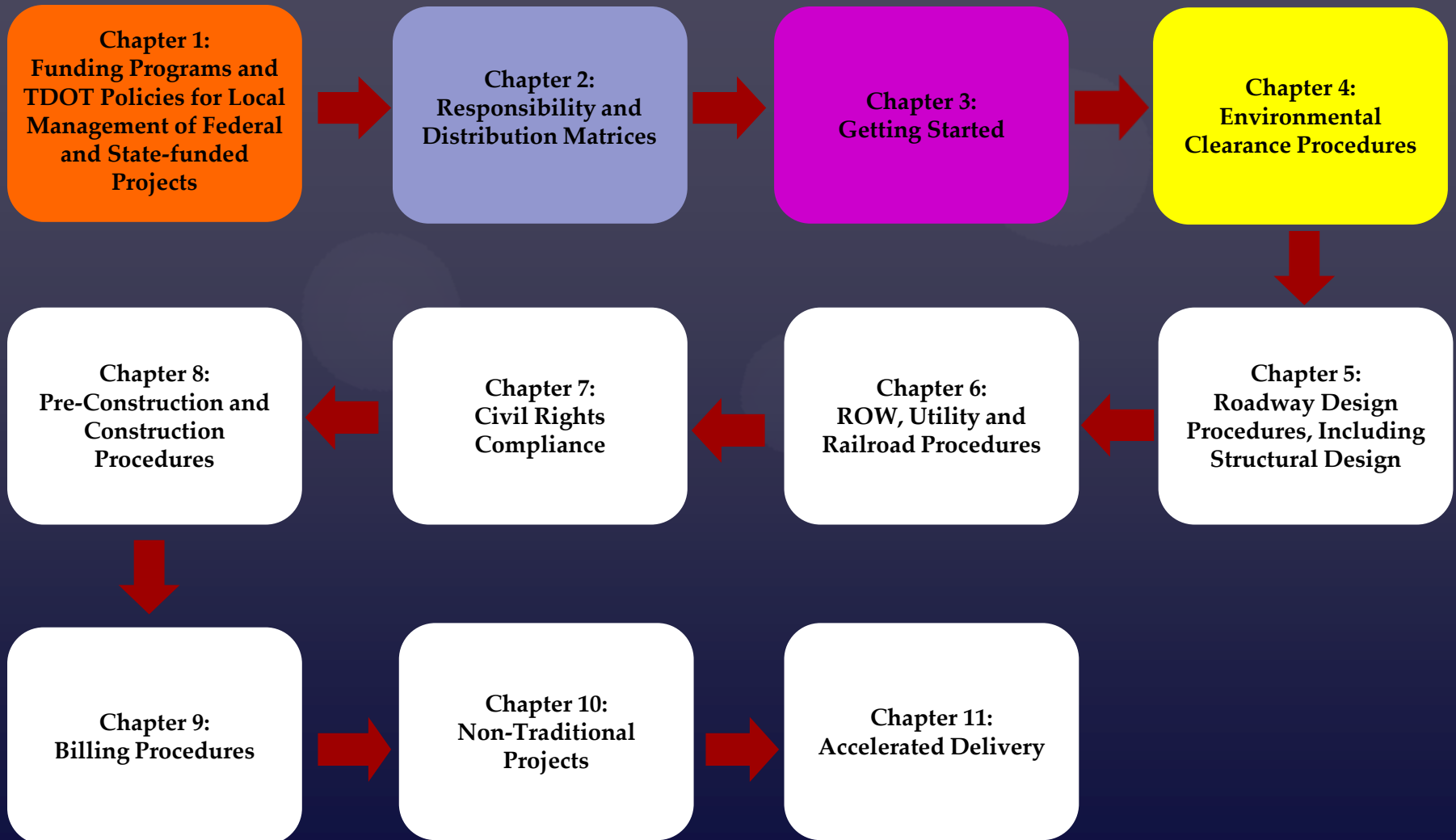
# Contract Amendments

- ⌘ 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](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.



**Nate Brugler** | Transportation Program Supervisor – Regions 2 & 4  
Local Programs Development Office  
James K. Polk Building, 6<sup>th</sup> Floor  
505 Deaderick Street, Nashville, TN 37243  
p. 615-532-4415 f. 615-741-9673  
[Nathaniel.Brugler@TN.gov](mailto:Nathaniel.Brugler@TN.gov)  
[tn.gov/tdot](http://www.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](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](mailto: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](mailto:Local.Programs@tn.gov).

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

# State Project Numbers

Ø County Number

Ø LPLM (Local Programs Locally Managed)

Ø Federal or State Funding & Phase Number

0 = NEPA, 1 = Design, 2 = ROW, 3 = Construction

Ø Route Sequence

*DKM*

---

**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



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

✧ New requirement 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

# New Ad Template

✧ New template  
(Form 1-3)  
available as part  
of manual/forms  
update process

✧ Makes it easy to  
meet all of the  
requirements;  
standardizes the  
appearance



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 constraints	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
<b>TOTAL SCORE</b>	<b>26</b>	<b>29</b>	<b>28</b>	<b>28</b>

# 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

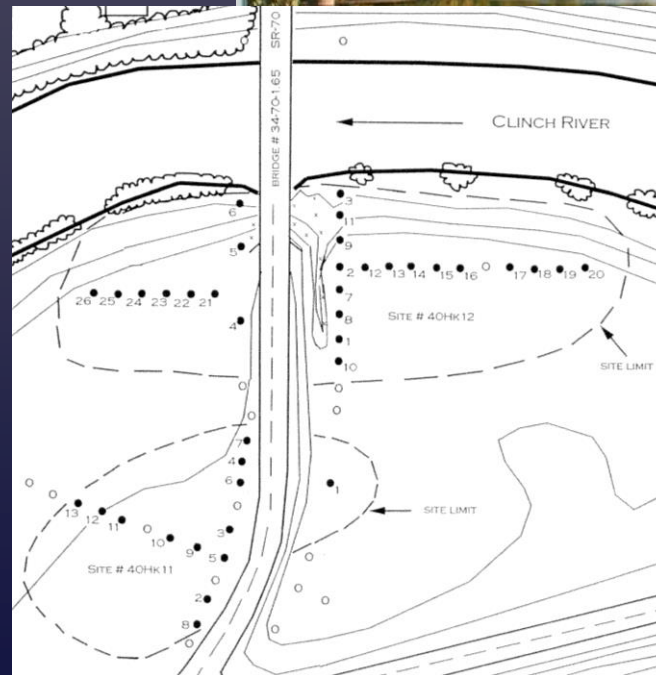
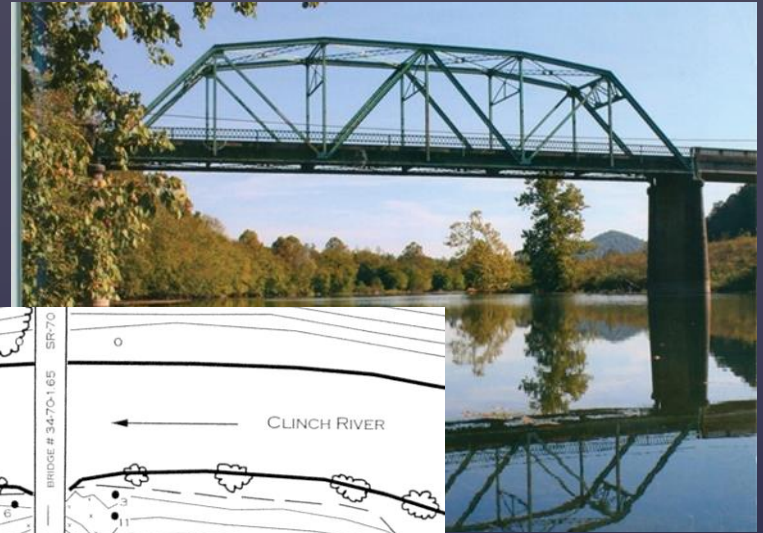
## ⌘ Hazardous Materials and Noise





# 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

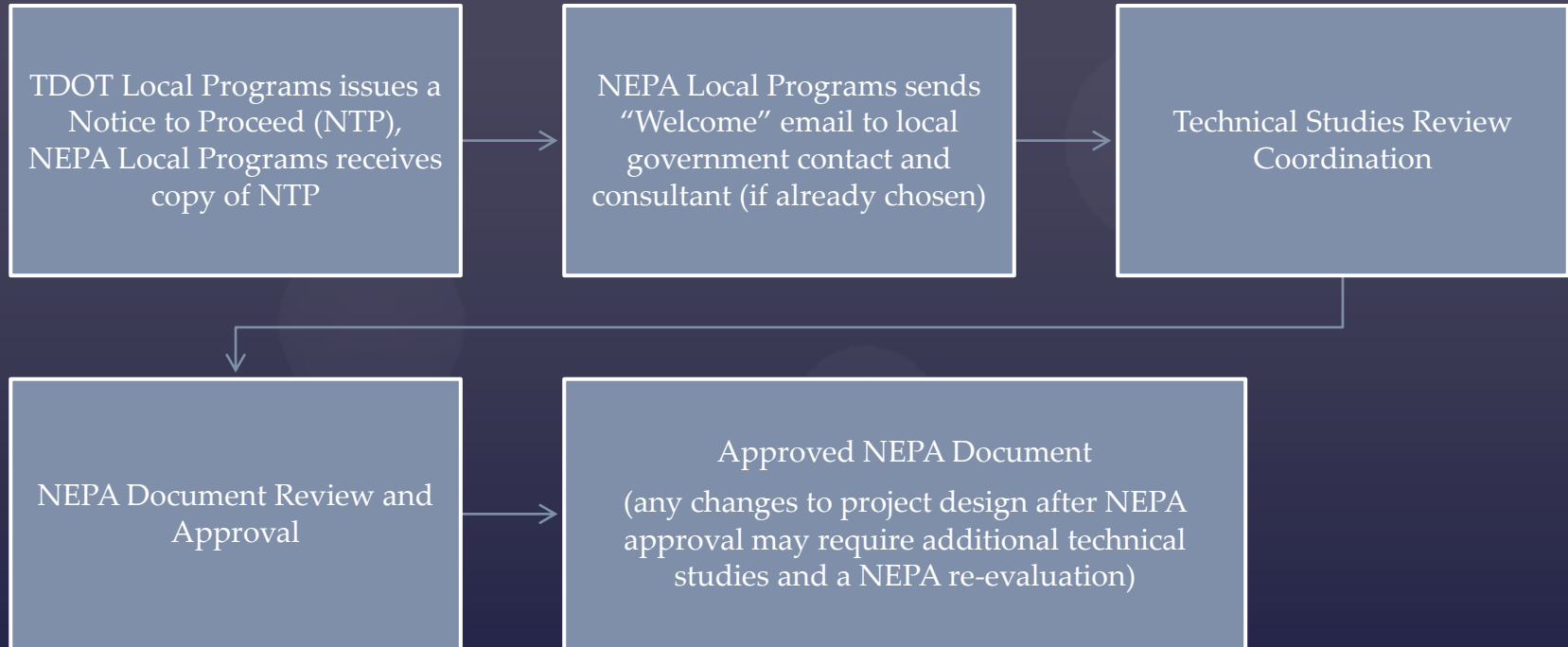
## NEPA Doc Level

- 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



### **TDOT Local Government Guidelines for Completing the NEPA Process**

D List, C List, and Programmatic Categorical Exclusions

For Use by Local Government  
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)



# 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)

PIN

04/24/2018

Version 7.20.18

Page 9

## 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)

PIN

04/24/2018

Version 7.20.18

Page 11

# Environmental Commitments

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

The screenshot shows a web form with three sections: 'Hazardous Materials', 'Bicycle and Pedestrian', and 'Environmental Commitments'. Each section has a question and a '(Yes/No)' dropdown menu. The 'Environmental Commitments' section is currently selected. A warning dialog box is overlaid on the form, titled 'Warning: JavaScript Window - Environmental Commitments'. The dialog contains an information icon and the text: 'A Commitment Greensheet has been generated for this document. Please enter any Environmental Commitments here.' with an 'OK' button.

**Hazardous Materials**

Does the project involve any asbestos containing materials? (Yes/No)

**Bicycle and Pedestrian**

Does this project include accommodations for bicycles and pedestrians? (Yes/No)

**Environmental Commitments**

Does this project involve any environmental commitments? (Yes/No)

**Additional Environmental Issues**

Warning: JavaScript Window - Environmental Commitments

A Commitment Greensheet has been generated for this document. Please enter any Environmental Commitments here.

OK

PIN 04/23/2018 Version 7.20.16 Page 12

# 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

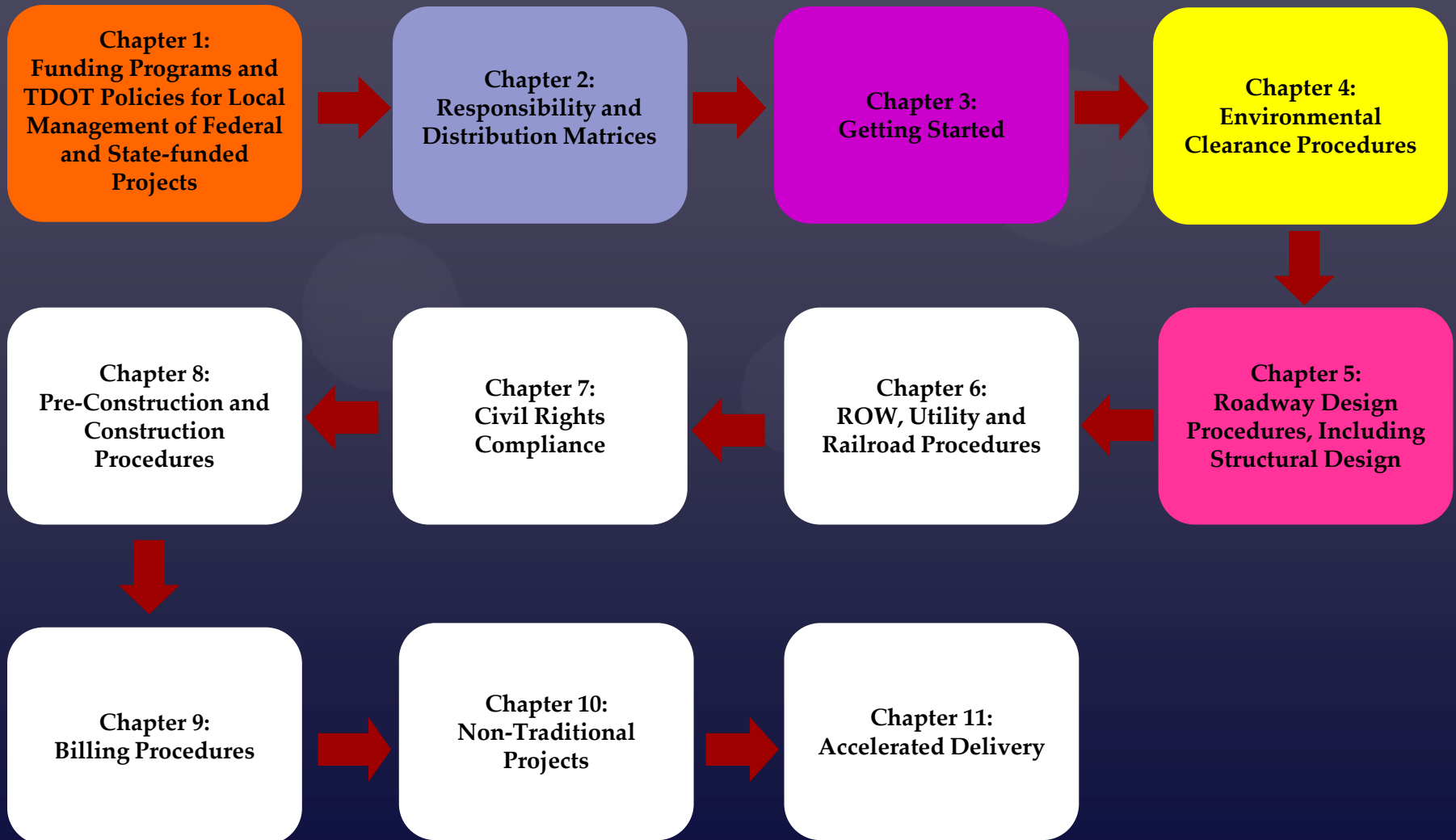
- ⌘ Must follow TDOT's Public Involvement Plan
- ⌘ LG determines the proper level of public involvement
  - Coordinate with TDOT Environmental Division
- ⌘ LG is responsible for holding all public hearings/meetings
- ⌘ Records of meeting dates, times and comments shall be kept for all public meetings 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](mailto:TDOT.Env.LocalPrograms@tn.gov)

Questions?

# Chapters Flow Chart



**GREENE COUNTY FAIR, INC.**

**SUN INVESTMENTS, INC.**

**JOHNSON GREENEVILLE II, LLC**

**FAIRGROUNDS CONNECTOR ROAD**

**DRAINAGE EASEMENT DETAIL TRACT 3**

**DRAINAGE EASEMENT DETAIL TRACT 4**

**DRAINAGE EASEMENT DETAIL TRACT 5**

**TOWN OF GREENEVILLE  
GREENE COUNTY, TN  
FAIRGROUNDS CONNECTOR  
PHASE 3**

**PRESENT LAYOUT**

**STA 26+00 TO  
STA 30+00**

**SCALE: 1"=40'**

**CDM Smith**



# 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-FI-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/dot/programdevelopment/localprograms/documents-and-forms/LGG\\_Manual.pdf](https://www.tn.gov/content/dam/tn/dot/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 [LocalPrograms@tn.gov](mailto:LocalPrograms@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: [LocalPrograms@tn.gov](mailto:LocalPrograms@tn.gov).

cc: Paul Degges  
John Kahle  
Whitney Britt  
Kimery Grant  
Matt Burcham  
LP Supervisor  
[TDOT.DesignDesign.LocalPrograms@tn.gov](mailto: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](mailto:Gus.Awali@tn.gov) 865-594-2683
  - ⌘ Region 2: Seth Freer [Seth.Freer@tn.gov](mailto:Seth.Freer@tn.gov) 423-510-1127
  - ⌘ Region 3: Iraj Eghbali & Chris Johnston (Depends on County)  
[Iraj.Eghbali@tn.gov](mailto:Iraj.Eghbali@tn.gov) 615-350-4234  
[Christopher.Johnston@tn.gov](mailto:Christopher.Johnston@tn.gov) 615-350-4235
  - ⌘ Region 4: Willie Coleman [Willie.Coleman@tn.gov](mailto: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



## 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):

<input type="checkbox"/> Bike Lanes	<input type="checkbox"/> Bridge	<input type="checkbox"/> Widening	<input type="checkbox"/> Intersect
<input type="checkbox"/> ITS/Technology	<input type="checkbox"/> Non-Traditional	<input type="checkbox"/> New Alignment	
<input type="checkbox"/> Resurfacing	<input type="checkbox"/> SIA	<input type="checkbox"/> Greenway/Multiuse Path	
<input type="checkbox"/> Sidewalk	<input type="checkbox"/> Signalization	<input type="checkbox"/> 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):

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

Letting Type:

<input type="checkbox"/> Locally Let	<input type="checkbox"/> State Let	<input type="checkbox"/> 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



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
<b>Policies and Procedures</b>			
Roadway Projects: TDOT Design policies and procedures followed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Non-Roadway Projects: Relevant TDOT approved design policies and procedures followed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
23 CFR 635.411 has been followed pertaining to proprietary items, and the use of those been approved by TDOT?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ADA design policies and procedures have been followed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Project affects FEMA Floodplain?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If project affects FEMA Floodplain, is "No-rise" analysis included in final submittal?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Design Exceptions</b>			
For Roadway Projects, the controlling elements of design meet the criteria contained in the TDOT Design Policies and Procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
All Design Exception Requests have been approved by TDOT?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Roadway Quantities</b>			
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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



# Design Policies Checklist

	YES	NO	N/A
<b>Project Plans</b>			
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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are plan sheets indexed in accordance with the TDOT Roadway Design Guidelines Section 4-133.00?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the <b>title sheet</b> state this is a Locally Managed Project?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the <b>title sheet</b> contain the signatures of the local government officials?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do the <b>Preliminary</b> plan sheets meet the requirements of Section 1-105.00 of the TDOT Roadway Design Guidelines?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do the <b>ROW</b> plan sheets meet the requirements of Section 1-105.00 of the TDOT Roadway Design Guidelines?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the final <b>ROW</b> Title Sheet have a licensed TN Professional Engineer seal with signature and date?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do the <b>Construction</b> plan sheets meet the requirements of Section 1-105.00 of the TDOT Roadway Design Guidelines?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

# Roadway Design Checklist

⌘ Not to be confused with “Design Policies Checklist”

⌘ Not on LPDO website, but Roadway Design [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

# Design Policies Checklist

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



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

**INDEX OF SHEETS**

SEE SHEET 1-A FOR INDEX OF SHEETS

**PUBLIC WORKS DEPARTMENT  
ENGINEERING DIVISION  
TOWN OF GREENEVILLE, TENNESSEE**

**FAIRGROUNDS CONNECTOR  
PHASE 3  
ROADWAY PROJECT**

**CONSTRUCTION**

**Type of Plans**

TOWN OF GREENEVILLE	2014	1
GREENE COUNTY	CONSTRUCTION PLANS FAIRGROUNDS CONNECTOR PHASE 3	
FED. AID PROJ. NO.	2274M-014 (15)	
STATE PROJ. NO.	304PLM-F3-011	

LOCALLY FINANCED PROJECT

PROJECT LOCATION

BEGIN PROJECT STP-M-9104 (15) (CONST.)  
STA. 10+00.00 & FAIRGROUNDS CONNECTOR RD.

END PROJECT STP-M-9104 (15) (CONST.)  
STA. 46+89.62 & FAIRGROUNDS CONNECTOR RD.

NO EXCLUSIONS  
NO EQUATIONS

**CONST.  
FIELD  
REVIEW**

**SPECIAL NOTES**

PROPOSALS MAY BE REJECTED BY OWNER IF ANY OF THE UNIT PRICES CONTAINED THEREIN ARE (OBVIOUSLY UNBALANCED), EITHER EXCESSIVE OR BELOW THE REASONABLE COST ANALYSIS VALUE.

THIS PROJECT TO BE CONSTRUCTED UNDER THE STANDARD SPECIFICATIONS OF THE TENNESSEE DEPARTMENT OF TRANSPORTATION (DATED MARCH 1, 2008 AND ADDITIONAL SPECIFICATIONS AND SPECIAL PROVISIONS CONTAINED IN THE PLANS AND IN THE PROPOSAL CONTRACT.

DESIGNER: BOB HALL  
P.E. NO. 304PLM-F3-008  
RJH NO. 2274M-00

CHECKED BY: JEFF MOSE, P.E.

**Not To Scale**

PROJECT LENGTH 0.70 MILES

TRAFFIC DATA

ADT 130221	1,764
ADT 125321	2,293
ADT 120321	2,775
D	60 - 80
T 14871	2.5
T 13811	2.5
V	35 MPH

APPROVED: \_\_\_\_\_ DATE: \_\_\_\_\_

DESIGNED BY:  
CDM Smith  
1100 MARION STREET  
SUITE 200  
KNOXVILLE, TN 37921  
(866) 963-4300  
www.cdmsmith.com

**CDM Smith**

FIELD SURVEY COMPLETED MARCH, 2013



# Common Mistakes

✗ If ROW is to be acquired (or easements required) must include acquisition table

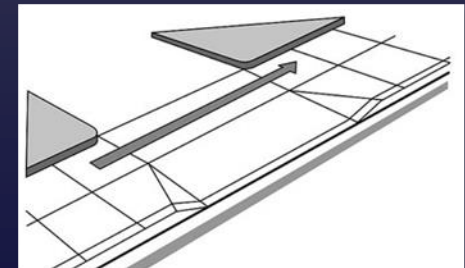
- Property owner names, tract numbers, total area, deed book, etc.

✗ 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		LEFT	RIGHT	TOTAL	LEFT	RIGHT	TOTAL	LEFT	RIGHT	PERM. DRAINAGE	SLOPE	CONST.
				BK.	PAGE											
1	GREENE COUNTY FAIR, INC.	87	148.00	*	*	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	3.01	363A	798		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	2654	0.360 AC.	0.155 AC.
5	SMN INVESTMENTS, INC.	87	159.00	218A	521	30.218	5.074	35.292	0.968	0.875	1.843	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, etc.
- ⌘ 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

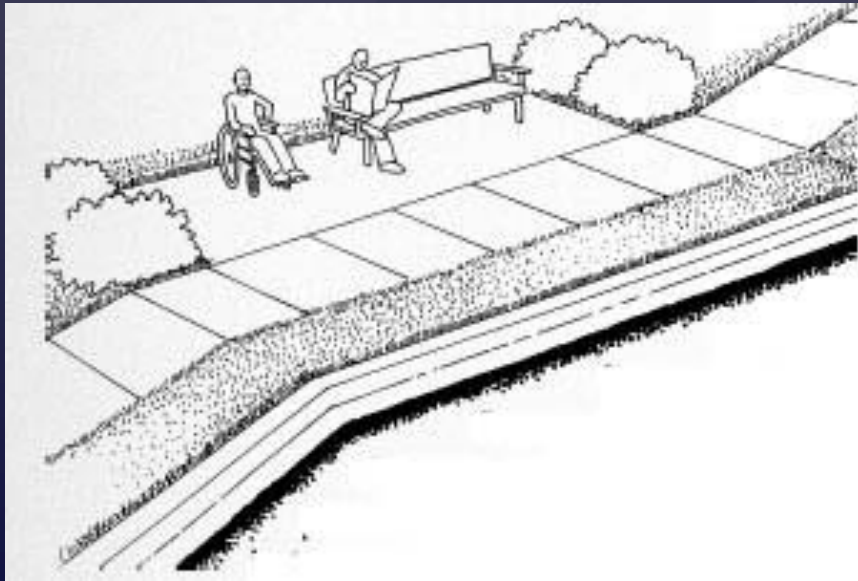
- ⌘ Curb ramps: must be installed and meet ADA standards whenever a sidewalk or pedestrian walkway crosses a curb
- ⌘ Sidewalks: replacements or new construction must meet ADA standards
- ⌘ Audible Pedestrian Signals: if signals are being added or replaced, must meet ADA standards



# ADA - PROWAG

## ⌘ Important ADA sidewalk considerations

- Cross slope – 2% maximum
- Running slope – less than 5%
  - If more, needs handrails





# 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

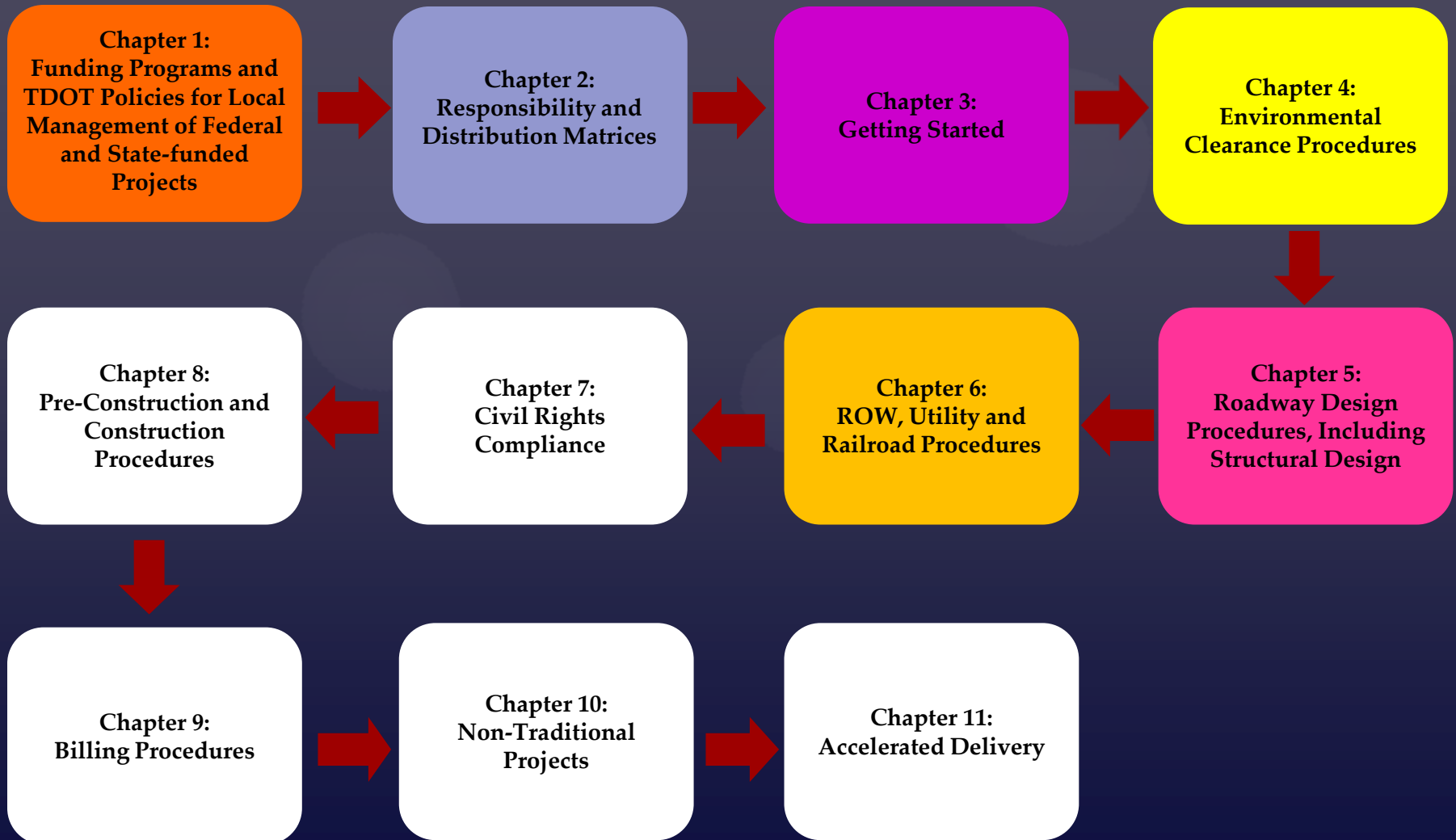
[Margaret.z.mahler@tn.gov](mailto:Margaret.z.mahler@tn.gov)

# Next Steps

- ⌘ In addition to Design review comments, 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
- ⌘ 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

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**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](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 [LocalPrograms@tn.gov](mailto:LocalPrograms@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: [LocalPrograms@tn.gov](mailto:LocalPrograms@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 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,

A handwritten signature in black ink, appearing to read "Michael Palmer".

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,

A handwritten signature in black ink, appearing to read "Michael Horlacher".

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](mailto: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,

A handwritten signature in blue ink that reads "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.

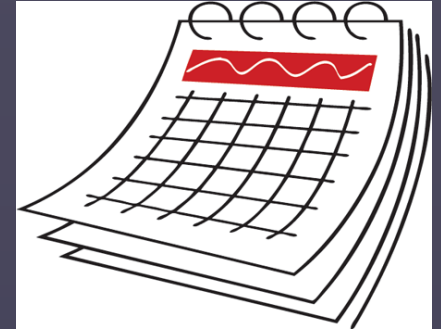
Sincerely,

A handwritten signature in blue ink that reads "Bill Bledsoe".

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

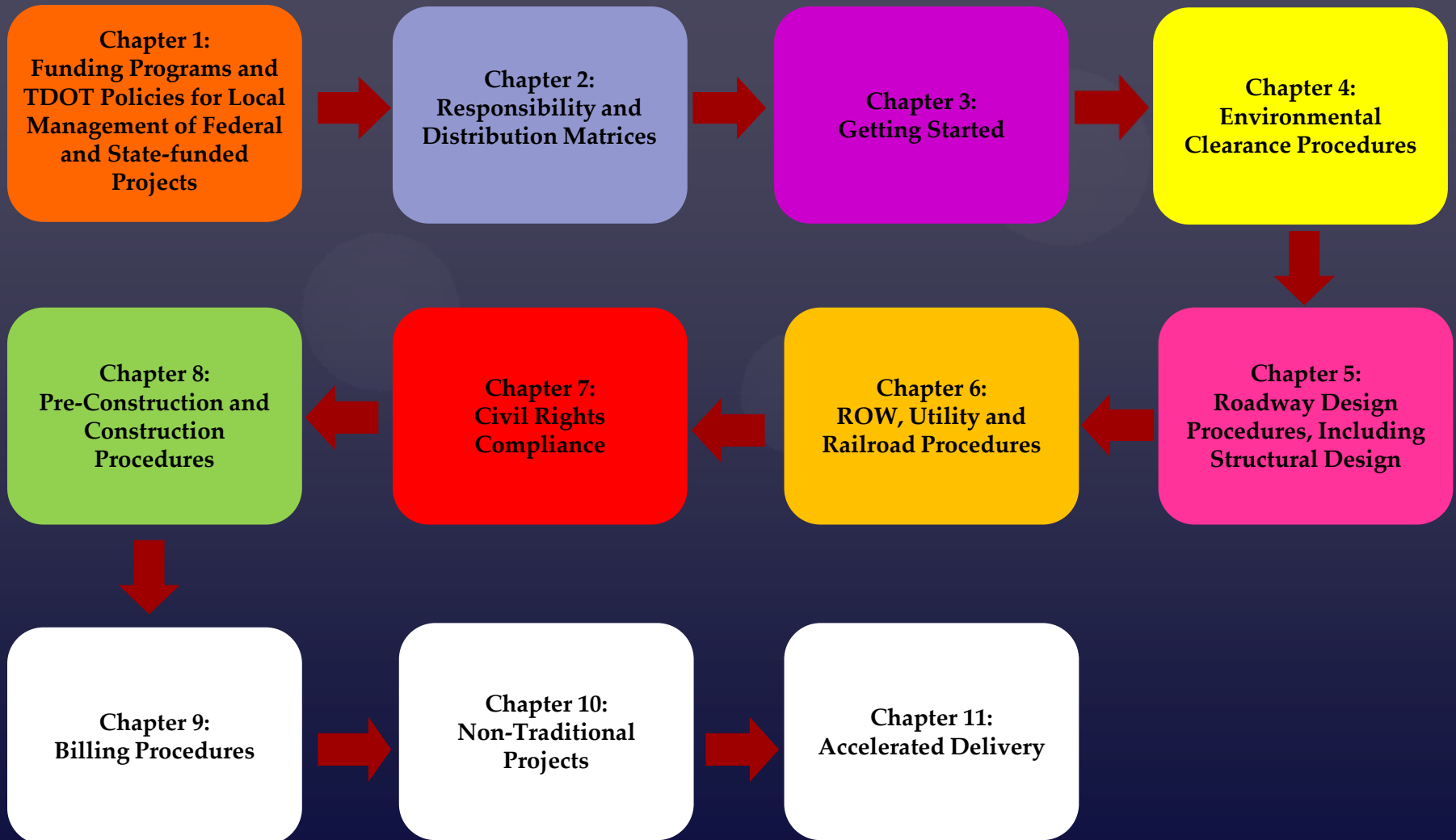


# Examples of Reimbursable ROW Activities

- ⌘ 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](mailto: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.	_____	_____	_____
<b><u>BRIDGE ITEMS</u></b>				
_____	Reinforcing Steel	_____	_____	_____
_____	Reinforcing Steel (Bridge Deck)	_____	_____	_____
_____	Texture Coating	_____	_____	_____
_____	Rein. Concrete Median/Parapet	_____	_____	_____
			<b>TOTAL</b>	_____
			<b>GOAL</b>	_____

## 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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	Specifications to be used: <input type="text"/> Standards to be used: <input type="text"/>
Proprietary items specified [23 CFR 635.411]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
ALL PERMITS have been obtained: <ul style="list-style-type: none"> <li>• TDEC ARAP</li> <li>• TDEC §401 WQ Certification</li> <li>• COE §404</li> <li>• TVA Section 26a</li> <li>• TWRA</li> <li>• NPDES</li> <li>• USCG Bridge Permit</li> <li>• LOCAL Permit(s)</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	Date(s): <input type="text"/>
NEPA document approved	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	Date: <input type="text"/>
Any environmental commitments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
ALL ROW acquired or have necessary easements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
ALL UTILITY agreements have been completed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
ALL RAILROAD agreements have been completed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
Does the Proposal Contract have a defined completion date	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	Date: <input type="text"/>

**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

# Permit Certification

Mr. Mize,

I just discovered that I did not complete the concurrence process for this project after you sent the NPDES Notice of Coverage. I thought I had already done so, and apologize for the delay.

As you requested, I have reviewed the materials provided regarding the subject project. They include the project plans, your email statement that no water resource impacts will occur, and the Notice of Coverage issued for the project under the NPDES Construction Stormwater General Permit.

I concur that this project is ready for construction, as far as environmental permits are concerned. This opinion is based solely on the materials you have provided to me, with no independent investigation by this office. Any changes in the project scope that result in additional impacts may require other permits, and additional review by this office will be needed.

Please let me know if you have any questions.

John

John L. Hewitt, P.E.  
Civil Engineering Manager 2  
Natural Resources Office  
Environmental Division  
Tennessee Department of Transportation  
Suite 900, J. K. Polk Bldg.  
505 Deaderick Street  
Nashville, TN 37243-0334  
(615) 253-2477  
[John.Hewitt@tn.gov](mailto:John.Hewitt@tn.gov)



Please consider the environment and only print this e-mail if necessary

# 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](mailto:TDOT.ENV.PermitsLG@tn.gov)

# Pre-Construction & Construction Procedures

## ⌘ Common mistakes:

- Not using standard bid book template
- Using incorrect bid bond form
- 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

MB

**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/dot/programdevelopment/localprograms/documents-and-forms/LGG\\_Manual.pdf](https://www.tn.gov/content/dam/tn/dot/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 [LocalPrograms@tn.gov](mailto:LocalPrograms@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: [LocalPrograms@tn.gov](mailto:LocalPrograms@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, Contractee, County (LPA)

Good Afternoon Mayor Smith:

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](mailto: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/ \$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!

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	<a href="#">Bid Advertisement</a>
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 <a href="mailto:tarnold@hfrdesign.com">tarnold@hfrdesign.com</a>	1/4/18	1/25/18	<a href="#">Bid Advertisement</a>

# 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 or those pending qualification
- ⌘ 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
  - <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:

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 )



ANALYTICAL SERVICES, DESIGN AND  
KNOWLEDGE, TN 37921  
tel: 615 963-4300  
fax: 615 963-4301

September 15, 2015

Mr. Brad Peters, PE  
Town of Greenville Engineer  
200 North College Street  
Greenville, 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 Greenville 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



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, 6<sup>th</sup> 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 Greenville, 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: 423-639-6785

200 North College St.  
Greenville, TN 37745

Fax: 423-639-0093  
[www.greenvilletn.org](http://www.greenvilletn.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?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Date of advertisement: <input type="text"/>
Did the advertisement state the date, time, and location of public bid opening?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Date of bid opening: <input type="text"/> Location: <input type="text"/>
Were bids read aloud at the bid opening?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Reason for not reading aloud: <input type="text"/>
If not, was the bidders name read and the reason for not reading aloud stated publicly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
Were only pre-qualified bidders read?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
If addendums were issued during the advertisement period, were they acknowledged by the bidders?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
Were the bids reviewed for responsiveness and irregularities in accordance with guidelines?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
Has the DBE goal been met (must demonstrate within 3 days of bid opening)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
Is the lowest responsive bidder recommended for award?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If not, why: <input type="text"/>
Is TDOT provided an electronic bid tabulation of the three lowest bidders at least 14 days prior to the end of award period?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Date to TDOT for concurrence: <input type="text"/> Date of award closing : <input type="text"/>
Is the pre-bid estimate with quantities included?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
Is a request for award or rejection included?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>

**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](mailto: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: _____ <input type="checkbox"/> 2 <sup>nd</sup> Tier	_____	_____	\$ _____
DBE Certified Work Type to be performed: _____ <input type="checkbox"/> 2 <sup>nd</sup> Tier	_____	_____	\$ _____
DBE Certified Work Type to be performed: _____ <input type="checkbox"/> 2 <sup>nd</sup> Tier	_____	_____	\$ _____
DBE Certified Work Type to be performed: _____ <input type="checkbox"/> 2 <sup>nd</sup> Tier	_____	_____	\$ _____
DBE Certified Work Type to be performed: _____ <input type="checkbox"/> 2 <sup>nd</sup> Tier	_____	_____	\$ _____
<b>TOTAL DBE COMMITMENT:</b>			<b>\$ _____</b>
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

PH 115881.00

ITEM NO.	DESCRIPTION	UNIT	QUANTITY	Summers Taylor, Inc		East TN Turf & Landscape		Thomson Const. Co.		Engineer's Opinion of Probable Cost	
				UNIT COST	TOTAL COST	UNIT COST	TOTAL COST	UNIT COST	TOTAL COST	UNIT PRICE	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	3	\$ 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 TOP SOIL	C.Y.	2140	\$ 6.00	\$ 12,840.00	\$ 4.25	\$ 9,095.00	\$ 3.10	\$ 17,334.39	\$ 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	\$ 3,255.50
209-03.20	FILTER SOCK (3 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	EAG	30	\$ 5.00	\$ 150.00	\$ 3.00	\$ 90.00	\$ 12.41	\$ 372.30	\$ 3.00	\$ 90.00
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
209-40.32	CATCH BASIN PROTECTION (TYPE D)	EACH	40	\$ 215.00	\$ 8,600.00	\$ 200.00	\$ 8,000.00	\$ 444.79	\$ 17,791.60	\$ 270.00	\$ 10,800.00
303-01	MINERAL AGGREGATE, TYPE A BASE, GRADING D	TON	9832	\$ 23.25	\$ 228,617.25	\$ 24.00	\$ 235,968.00	\$ 25.99	\$ 252,992.67	\$ 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 (FG64-22) (BPM-B-HM) GRADING A	TON	2713	\$ 89.00	\$ 241,457.00	\$ 93.00	\$ 252,309.00	\$ 90.82	\$ 246,294.66	\$ 89.00	\$ 241,457.00
307-01.03	ASPHALT CONCRETE MIX (FG64-22) (BPM-B-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 (FC)	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	AC MIX (FG64-22) 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	AC MIX (FG64-22) 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.	2985	\$ 68.00	\$ 202,980.00	\$ 54.00	\$ 161,190.00	\$ 83.82	\$ 249,022.70	\$ 65.00	\$ 194,025.00
607-03.02	18" CONCRETE PIPE CULVERT (CLASS III)	L.F.	2922	\$ 34.00	\$ 99,688.00	\$ 50.00	\$ 146,600.00	\$ 61.37	\$ 179,366.94	\$ 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	\$ 112.14	\$ 10,092.60	\$ 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, 3' 6" - 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	\$ 4,000.00	\$ 4,000.00
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	\$ 900.00	\$ 1,369.86	\$ 2,739.72	\$ 300.00	\$ 900.00
702-03	CONCRETE COMBINED CURB & GUTTER	C.Y.	416	\$ 210.00	\$ 87,360.00	\$ 235.00	\$ 97,760.00	\$ 263.01	\$ 109,491.36	\$ 215.00	\$ 89,440.00
705-02.02	SINGLE GUARDRAIL (TYPE 2)	L.F.	1273	\$ 15.75	\$ 20,024.25	\$ 18.00	\$ 24,714.00	\$ 16.54	\$ 21,099.42	\$ 15.50	\$ 19,815.00
705-02.03	SINGLE GUARDRAIL (TYPE 2) LONG POST	L.F.	718	\$ 22.00	\$ 15,796.00	\$ 23.00	\$ 16,514.00	\$ 23.10	\$ 16,593.30	\$ 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 RIF - 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 RIF - RAP (CLASS A-1)	TON	1199	\$ 36.00	\$ 43,164.00	\$ 30.00	\$ 35,970.00	\$ 35.99	\$ 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	\$ 3.40	\$ 190.40	\$ 4.00	\$ 224.00
713-13.02	FLAT SHEET ALUMINUM SIGNS (0.030" 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	\$ 103,300.00	\$ 103,300.00
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

Date: 09-10-2015

Calculations

Conducted By: Brenda Hall

Checked By: Jeff Mize, PE

CDM Smith's Calculations

Bidder Calculations

Actual Bid

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## BID ENVELOPE COVER

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

### SEALED BIDS WILL BE RECEIVED:

Town Engineer's Office  
Town Hall, 200 North College Street, Greenville, 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.

SOUTHEAST SEEDING - DBE  
ALH CONSTRUCTION - DBE  
REYNOLDS FENCE + GUARDRAIL - DBE  
DYKES TRUCKING, INC. - DBE  
EAST COAST DOORING + 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. BAYANT VICE-PRESIDENT

Printed Name and Title

P.O. Box 11028

Address

ESPLANATION, TN 37644

City/State/Zip

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

(Type of business entity)

R.T. SUMMERS CHAIRMAN OF THE BOARD DANNY MITCHELL - VICE PRESIDENT OF ESPLANATION

Name/Title

Name/Title

GRANT SUMMERS - PRESIDENT

Name/Title

SCOTT FULLER - VICE PRESIDENT OF CONSTRUCTION

Name/Title

TED BAYANT - EXECUTIVE VICE PRESIDENT CHARS 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 composed of officers, partners, or owners as  
a follows:

(Type of business entity)

N/A

Name/Title

N/A

Name/Title

N/A

Name/Title

N/A

Name/Title

N/A

Name/Title

N/A

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	295,642.35
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
209-06.03	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	1954	94.25	174,739.50
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	465.00	1,395.00
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	9,528.90
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.	2032	34.00	69,088.00
607-05.02	24" CONCRETE PIPE CULVERT (CLASS III)	L.F.	718	52.00	37,336.00
607-08.02	30" CONCRETE PIPE CULVERT (CLASS III)	L.F.	80	73.00	5,840.00
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, > 18" - 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, > 4' - 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, > 4' - 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.	415	210.00	87,150.00
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.	880	12.35	10,868.00
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.	880	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 (0.060" 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
718-12.01	ENHANCED FLATLINE THERMO PVMT MRKNG (4IN LINE)	LM.	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.	3385	2.10	7,129.50
801-01	SEEDING (WITH MULCH)	UNIT	219	21.00	4,599.00
801-03	WATER (SEEDING & SODDING)	M.G.	18	52.00	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.	1578	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 THIRTY4 (\$ 2,275,039.15)  
In WordsIn Numbers  
NINE DOLLARS AND FIFTEEN CENTS.

## Greeneville Fairgrounds Connector Phase 3

## Ch. 7



\*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)

Sworn to and subscribed before me

By: [Signature]  
Ted L. Bryant VICE-PRESIDENT  
Printed Name and Title

this 9<sup>TH</sup> day of September, 2015

Ana Marie Knapp  
Notary Public  
My commission expires 09/23/2019



N/A  
Bidder (2)

Sworn to and subscribed before me

By: N/A  
N/A  
Printed Name and Title

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

FAIRGROUNDS CONNECTOR ROAD PHASE III

CONTRACT NO. \_\_\_\_\_

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.

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

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, and on its behalf to execute, 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 is hereby made 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



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

State of Maryland } ss:  
City of Baltimore }

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 depose and swear, 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

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, undertakings, recognizances, stipulations, policies, contracts, agreements, deeds, and releases and assignments of judgments, 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.

  
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](mailto: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](mailto: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 15<sup>th</sup> 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



# 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](mailto: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

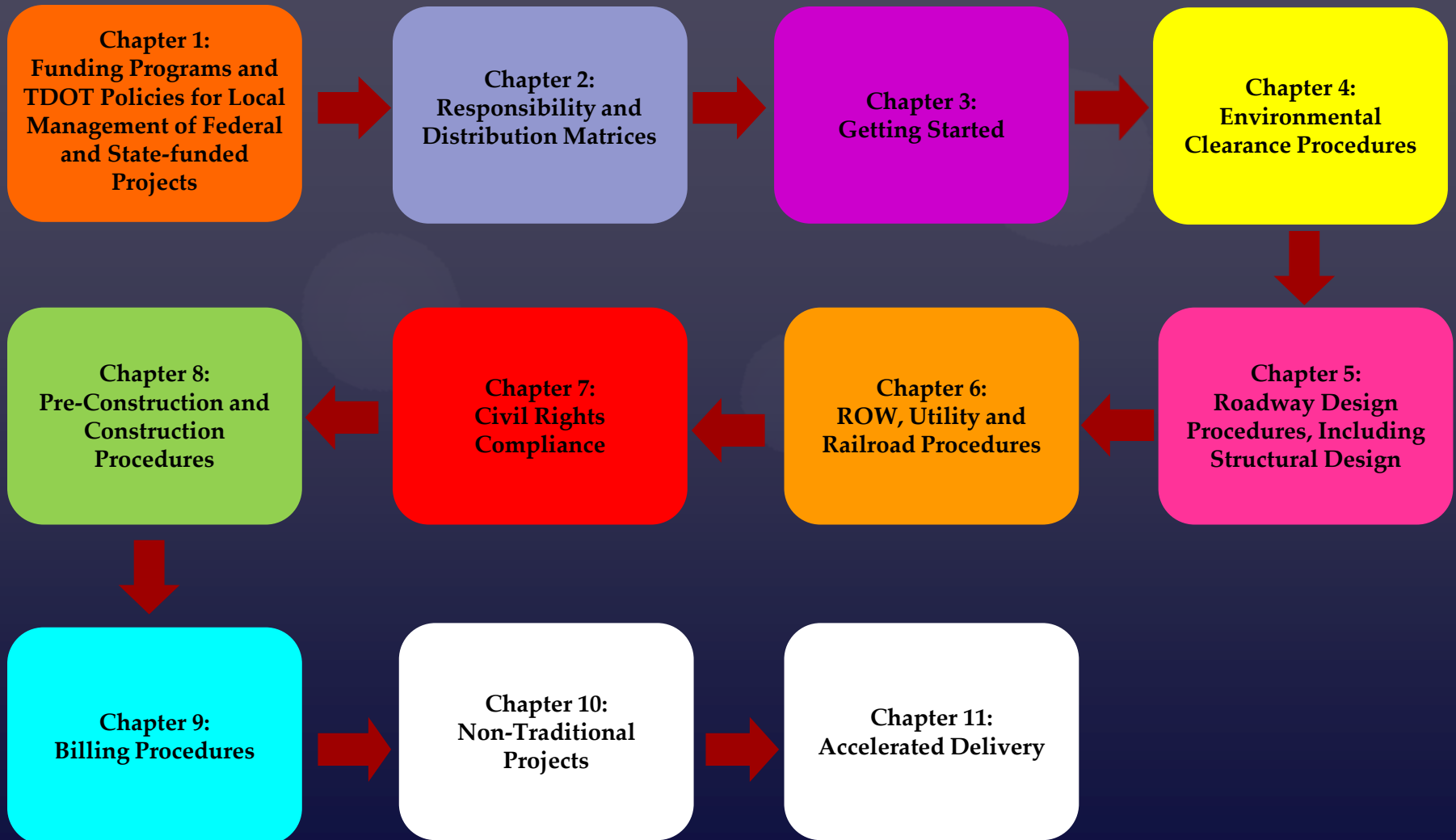
- ⌘ Engineer or CEI not on TDOT's pre-qualified list
- ⌘ Sub-contracts with FHWA 1273 missing
- ⌘ Change Orders not approved for funding by TDOT prior to execution
- ⌘ Material acceptance test documentation not in project file
- ⌘ TDOT assurance testing not in project file
- ⌘ DBE participation not met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



## 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: \_\_\_\_\_

PRELIMINARY ENGINEERING COSTS  
SUBTOTAL  
LESS: LOCAL GOVERNMENT SHARE 0.0%  
BALANCE  
LESS: AMOUNTS PREVIOUSLY INVOICED  
AMOUNT DUE THIS INVOICE

CURRENT COSTS		COST SHOWN ON PRIOR INVOICES		TOTAL COSTS
	+		=	\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$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	_____	_____	_____
LOCAL MATCH \$	_____	_____	_____
VENDOR NAME	_____	_____	_____
VENDOR ID	_____	_____	_____
LOCATION	_____ ADDRESS # _____	_____	_____
EDISON CONTRACT ID	_____	_____	_____
PURCHASE ORDER ID	_____	_____	_____

	FED SPEED CHART	ST SPEED CHART	LOC SPEED CHART	SPLIT SPEED CHART	RECEIPT #	VOUCHER #	PAYMENT REF ID #	PO LINES
	_____	_____	_____	_____	_____	_____	_____	1
	_____	_____	_____	_____	_____	_____	_____	2
	_____	_____	_____	_____	_____	_____	_____	3
	_____	_____	_____	_____	_____	_____	_____	4
	_____	_____	_____	_____	_____	_____	_____	5
	_____	_____	_____	_____	_____	_____	_____	6

COMMENTS: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

# EXAMPLE:

# TDOT DESIGN INVOICE

# COVER SHEET



Local Government Guidelines Form 9-3

March 9, 2018

LOCAL GOVERNMENT **DESIGN COSTS** INVOICEINVOICE 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: \_\_\_\_\_ENGINEERING COSTS  
SUBTOTAL  
LESS: LOCAL GOVERNMENT SHARE 0.0%  
BALANCE  
LESS: AMOUNTS PREVIOUSLY INVOICED  
AMOUNT DUE THIS INVOICE

CURRENT COSTS		COST SHOWN ON PRIOR INVOICES		TOTAL COSTS
	+		=	\$0.00
				\$0.00
			-	\$0.00
				\$0.00
			-	\$0.00
				\$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) \_\_\_\_\_

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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



Local Government Guidelines Form 9-4

March 9, 2018

## LOCAL GOVERNMENT RIGHT-OF-WAY COSTS INVOICE

INVOICE DATE \_\_\_\_\_ TO \_\_\_\_\_  
INVOICE PERIOD: \_\_\_\_\_ TO \_\_\_\_\_

YES NO  
☐ ☐

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

LOCAL GOVERNMENT AGENCY: \_\_\_\_\_  
REMIT TO ADDRESS: \_\_\_\_\_  
COUNTY: \_\_\_\_\_

ROW COSTS BY CONSULTANT  
ROW COSTS BY LOCAL FORCES  
DIRECT ROW COSTS  
SUBTOTAL  
LESS: LOCAL GOVERNMENT SHARE 0.0%  
BALANCE  
LESS: AMOUNTS PREVIOUSLY INVOICED  
AMOUNT DUE THIS INVOICE

CURRENT COSTS		COST SHOWN ON PRIOR INVOICES		TOTAL COSTS
	+		=	\$0.00
	+		=	\$0.00
	+		=	\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$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)

DIVISION ID # 4036330040

### FOR TDOT USE ONLY

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: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Revised 3/10/10



EXAMPLE:

# TDOT CONSTRUCTION INVOICE

## COVER SHEET



(NAME OF LOCAL GOVERNMENT)

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: \_\_\_\_\_

COSTS PER ENGINEER'S ESTIMATE OR  
LOCAL FORCES INVOICE  
CONSTRUCTION ENGINEERING COSTS  
SUBTOTAL  
LESS: LOCAL GOVERNMENT SHARE 0%  
BALANCE  
LESS: AMOUNTS PREVIOUSLY INVOICED  
AMOUNT DUE THIS INVOICE

CURRENT COSTS		COST SHOWN ON PRIOR INVOICES		TOTAL COSTS
	+		=	\$0.00
	+		=	\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$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)

DIVISION ID # 4036330040

#### FOR TDOT USE ONLY

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:



# Materials and Tests Billing

**TN. Dept. of Transportation - Finance Division**

505 Deaderick St, Suite 800, Nashville, TN 37243

Phone 615-350-4100 Fax 615-350-4128 TDOT.MaterialsTests@tn.gov

**INVOICE #1624**

## 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 Transportation - Finance Division 505 Deaderick St, Suite 800, Nashville, TN 37243

Phone 615-350-4100 Fax 615-350-4128 TDOT.MaterialsTests@tn.gov

# TDOT Finance Statement of Progress Cost

## TENNESSEE DEPARTMENT OF TRANSPORTATION

### INVOICE

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

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

<u>PLEASE REMIT YOUR PAYMENT TO:</u>	
TENNESSEE DEPARTMENT OF TRANSPORTATION	
Finance Division	
ATTN: Anna Biggs	
505 Deaderick Street, Suite 800	
Nashville, TN 37243-0529	

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
<b>COST SUMMARY</b>				
PRELIMINARY ENGINEERING COSTS:		\$ 12,332.50		
RIGHT-OF-WAY COSTS:			\$ 62,289.32	
CONSTRUCTION COSTS:				\$ 16.23
Construction Contract Payments				4.18
Other Expenditures				
<b>TOTAL PROJECT COSTS</b>		\$ 12,332.50	\$ 62,289.32	\$ 20.41
<b>PROJECT PARTICIPANTS:</b>				
Federal Highway Administration	80.00%	\$ 10,000.00	\$ 60,000.00	\$ 13.00
CITY	20.00%	2,332.50	2,289.32	7.41
<b>TOTAL PARTICIPANT COSTS</b>		\$ 12,332.50	\$ 62,289.32	\$ 20.41
<b>CALCULATED AMOUNT OWED/DUE</b>				
CITY's SHARE OF COSTS		\$ 2,332.50	\$ 2,289.32	\$ 7.41
LESS: PRIOR DEPOSITS/PAYMENTS				(3,000.00)
INTEREST				
<b>AMT DUE TDOT OR BALANCE REMAINING</b>		\$ 2,332.50	\$ 2,289.32	\$ (3,000.00)

# SAMPLE: AUTHORIZED SIGNATURE FORM

## DUNS Number and Authorized Signature Form

DUNS Number	
DUNS Number	Address (must include 9-digit zip code)
Physical Address of Project (must include 9-digit zip code)	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*

# 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

[illegible]

## LOCAL GOVERNMENT PRELIMINARY ENGINEERING NEPA COSTS INVOICE

INVOICE DATE: 12/20/2013 FINAL INVOICE FOR THIS PHASE? YES ☐ NO ☒  
 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

LOCAL GOVERNMENT AGENCY: Town of Greenville

REMIT TO ADDRESS: 200 N College St  
Greeneville, TN 37745

COUNTY: Greene

Fairgrounds Road Connector

PRELIMINARY ENGINEERING COSTS  
 SUBTOTAL  
 LESS: LOCAL GOVERNMENT SHARE 20%  
 BALANCE  
 LESS: AMOUNTS PREVIOUSLY INVOICED  
 AMOUNT DUE THIS INVOICE

CURRENT COSTS		COST SHOWN ON PRIOR INVOICES		TOTAL COSTS
\$85,830.00	+	\$40,475.00	=	\$126,305.00
				\$126,305.00
				\$25,261.00
				\$101,044.00
				\$32,380.00
				\$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](mailto: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](mailto: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

Distribution: [Local Programs Development Office](#)  
[Regional Materials & Tests](#)  
[Headquarters Materials & Tests](#)  
[Regional Operations Supervisor](#)

\_\_\_\_\_  
Maintaining Agency Representative/Title

\_\_\_\_\_  
Date

## Date:

Project No.: \_\_\_\_\_

PIN: \_\_\_\_\_

County: \_\_\_\_\_

Region:

This image shows a single sheet of white paper with horizontal blue ruling lines. The lines are evenly spaced and run across the width of the page. There is a vertical margin line on the left side, creating a narrow left margin. The paper appears to be a standard notebook or legal pad style.

**DRIVE HOME**

Date \_\_\_\_\_

2

# 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



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.

**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](#)

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

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

Whereas, we Summers-Taylor, Inc. with Fidelity & Deposit Co. of Maryland, as a Surety, entered into a contract with Town of Greeneville, 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

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

I, \_\_\_\_\_, certify that to the best of my knowledge, \_\_\_\_\_  
Name of Owner or Authorized Representative 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**

_____	Original DBE
Firm Name	Subcontract \$
_____	Original DBE
	Subcontract Date

PRIME  
CONTRACTOR: \_\_\_\_\_

SIGNATURE: \_\_\_\_\_ Paid to date

TITLE: \_\_\_\_\_ Est. final pmt.

DATE: \_\_\_\_\_ TOTAL

I, \_\_\_\_\_, certify that to the best of my knowledge, \_\_\_\_\_  
Name of DBE Owner or Authorized Representative 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**

_____	Original DBE
Firm Name	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

## 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:

  
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.

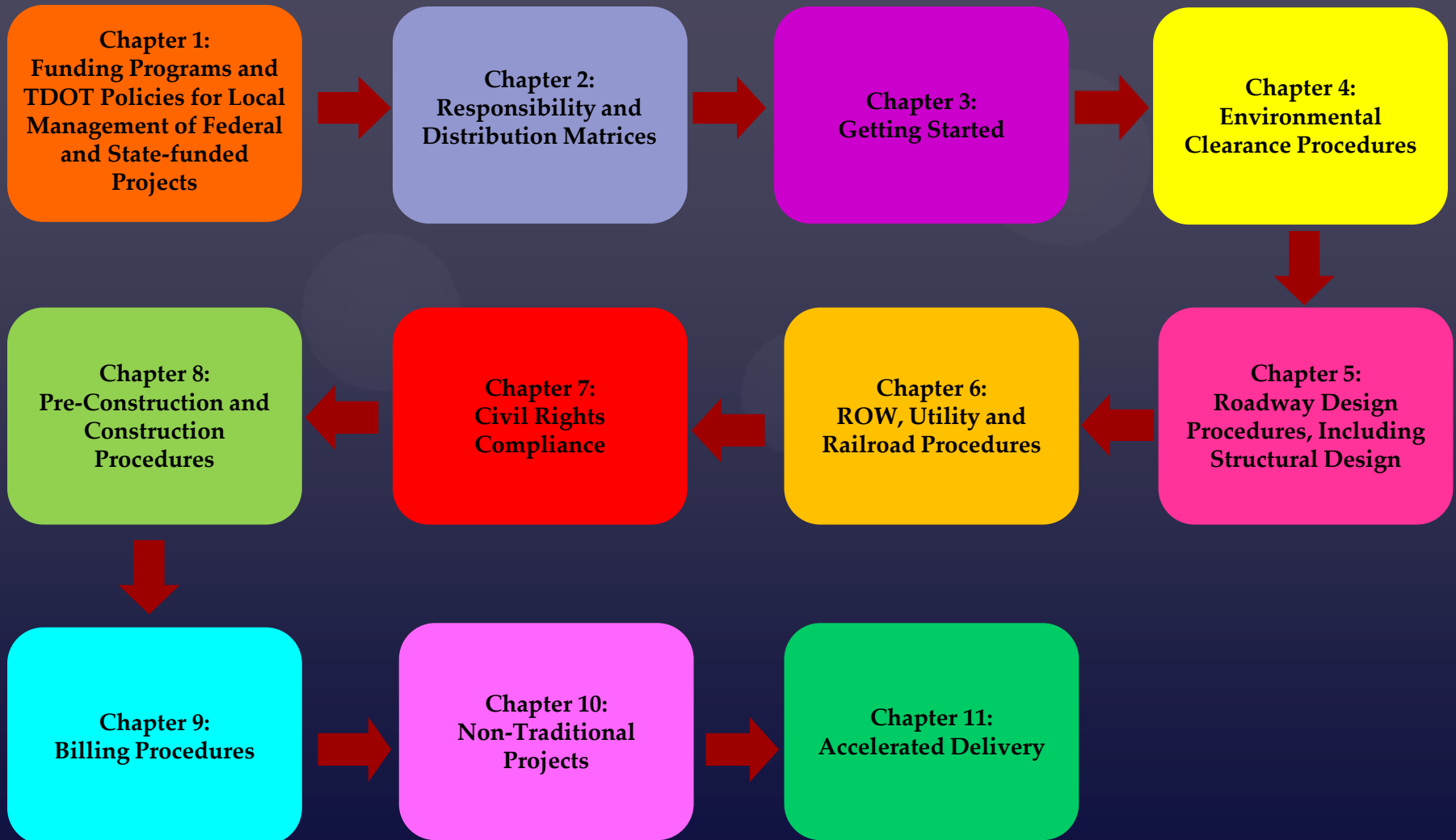


# Common Mistakes

- ⌘ 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!

## Local Programs

Funding Options

Documents and Forms

Reimbursement Guidance

Training

Current Projects

Transportation Alternatives Program

Staff

## Local Programs Development Office

