




TRAINING ON



# LOCAL GOVERNMENT GUIDELINES



FOR THE MANAGEMENT OF  
FEDERAL AND STATE-FUNDED  
TRANSPORTATION PROJECTS



BY THE LOCAL PROGRAMS DEVELOPMENT OFFICE



APRIL 30-MAY 1, 2024



KNOXVILLE, TN



# Local Government Guidelines Manual Training

**April 30, 2024**  
Region 1

8:30	Welcome	Matt Burcham
	Getting Started	Chasity Bell
	<b>Break</b>	
	Environmental Phase	Michael Kolor
	Design Phase	Katie Brown
11:30	<b>Lunch</b>	
	ROW Phase	Lisa Dougan
	Pre-Construction	Katie Brown
	Construction	Chasity Bell
	<b>Break</b>	
	Construction	Chasity Bell
	Reimbursements	Matt Burcham
	Close-Out Procedures	Robert Harris
3:00	Wrap-Up	Chasity Bell



Local Programs  
Development Office



**Local Programs Development Office**



Local Government Guidelines Manual Training

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**NOBODY  
TRASHES  
TENNESSEE**

TENNESSEE DEPARTMENT  
OF TRANSPORTATION

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### Why are you here?

A collection of icons representing different reasons for being there: a green dollar sign, a cartoon boy reading a book, a yellow diamond sign that says "CHANGE AHEAD", a scroll with a red seal, a yellow square with a lightbulb and the word "LEARN", and a cartoon monkey.



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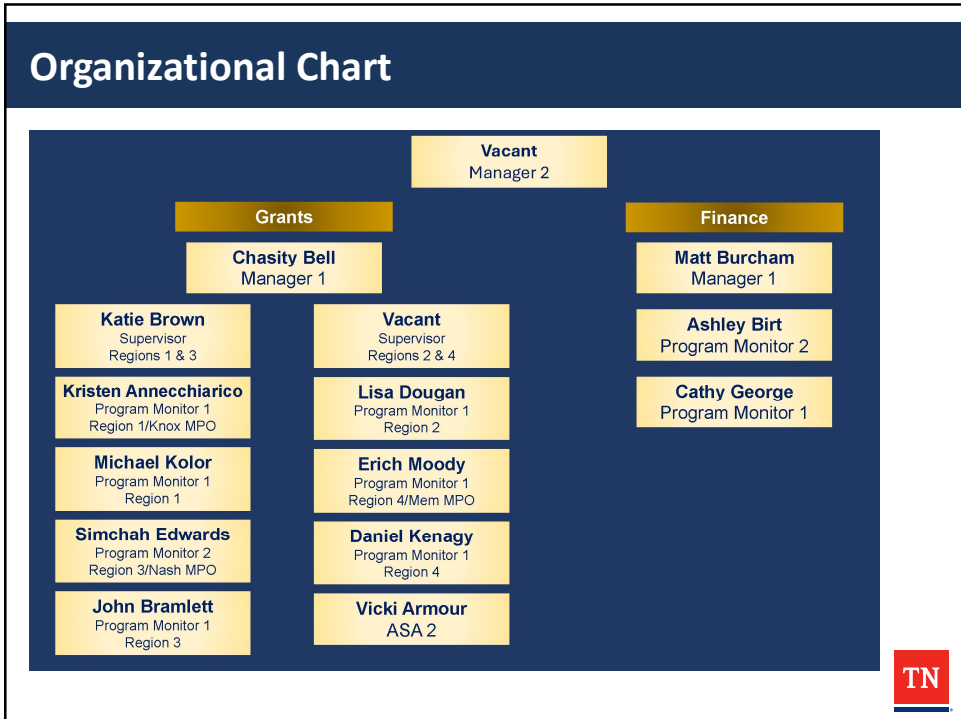
## Why are WE here?







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**We are Your Main Point of Contact**


Region 1 (Knoxville MPO)	Kristen Anneckchiarico
Region 1 (All other MPOs & RPOs)	Michael Kolor
Region 2 (All)	Lisa Dougan



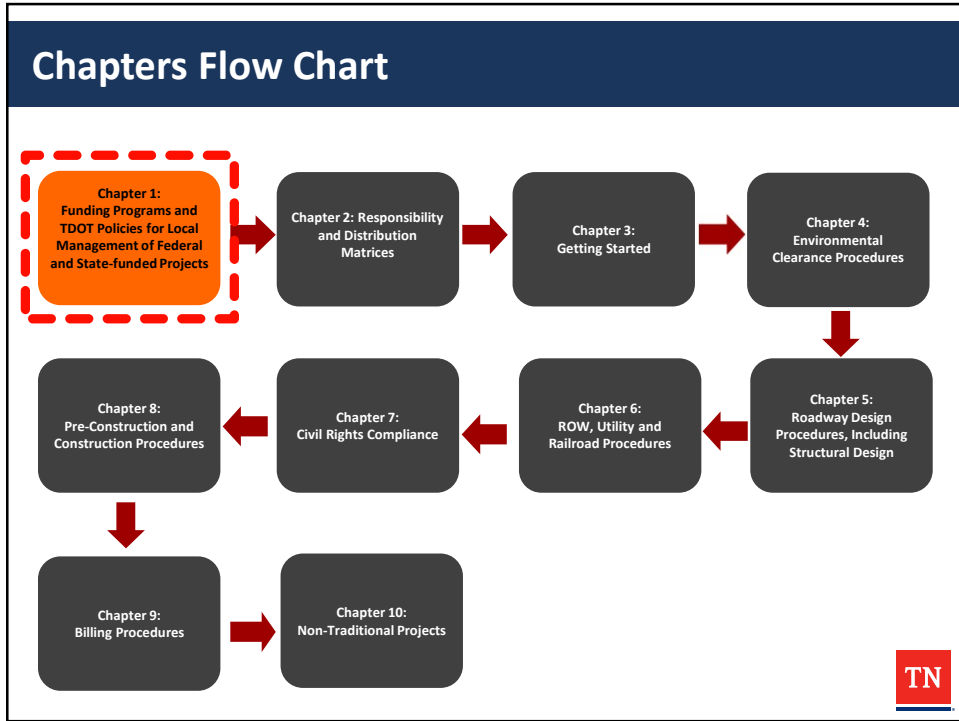
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**We are Your Main Point of Contact**

Region 3 (Nashville MPO excluding Rutherford Co.)	Simchah Edwards
Region 3 (Clarksville MPO, Rutherford Co., & RPOs)	John Bramlett
Region 4 (Memphis MPO)	Erich Moody
Region 4 (RPO & Jackson MPO)	Daniel Kenagy



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## LGGM

TDOT  
Department of Transportation  
IN COOPERATION WITH THE  
FEDERAL HIGHWAY ADMINISTRATION

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

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

ISSUED BY THE LOCAL PROGRAMS DEVELOPMENT OFFICE  
EIGHTH EDITION  
JUNE 1, 2023

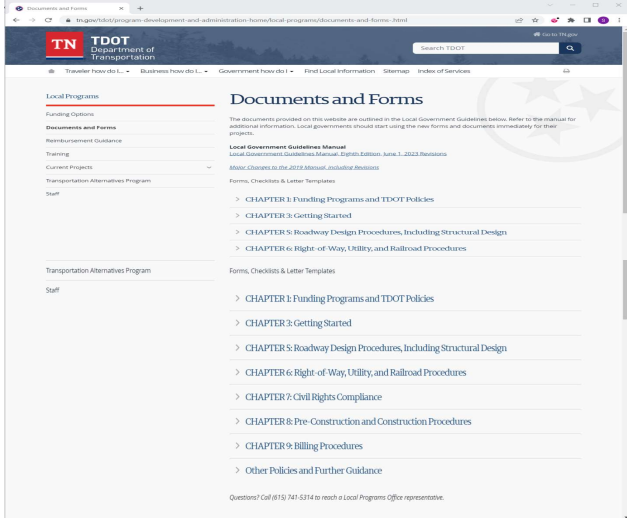
Chapter 1: Funding Programs and TDOT Policies for Local Management of Federal and State-funded Projects

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


TN TDOT Department of Transportation

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LGGM Forms



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




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## 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



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## Overview

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



Chapter 1: Funding Programs and TDOT Policies for Local Management of Federal and State-funded Projects

## Locally Let Project Checklist

PIN _____	AGENCY-LOCALLY LET PROJECT CHECKLIST
	Sent Project Initiation Checklist/Form 3-1 to Program Monitor
	Received Contract from Local Programs Office
	Sent Signed Contract to Local Programs Office
	Received Fully Executed Contract from Local Programs Office
	Received Notice to Proceed for Preliminary Engineering (PE-NEPA funds have been obligated)
	Sent Consultant Contract to Local Programs Office when Executed (with Selection Procedures)
	Began Work on NEPA Document – Contact TDOT Environmental Division
	Contacted TDOT Railroad coordinator, if Railroads Near Project
	Received Approved NEPA Document
	Received Notice to Proceed for PE-Design (PE-Design funds have been obligated)
	Consultants Began Work on Design Plans
	Sent Preliminary Design Plans and Checklist to Local Programs Office for Review and Comments
	Received Plans Review Letter(s) from TDOT – Make Revisions
	Sent ROW Plans to Local Programs Office for Review and Comments
	Local Programs sends Notice to Proceed for ROW to Region ROW Office (ROW funds have been obligated)
	Began Coordination with Regional ROW Office to Obtain ROW Certification
	Began Coordination with Regional Utility Office to Obtain Utility Certification
	Obtained Title VI Certification from TDOT Civil Rights Office (Letter or Email)
	Sent Completed DBE Goal Assessment Sheet, if Construction of Project ≥ \$500,000 to Local Programs for Review and Concurrence
	Sent Final Engineer's Estimate to Local Programs for Review and Concurrence
	Sent Proposal Contract (Using Correct Template) to Local Programs Office for Review and Concurrence
	Received ROW and Railroad/Utility Certifications from Local Programs Office
	Coordinated with Permit Office to get Permit Certification
	Sent Bid advertisement to Local Programs Office for Review and Concurrence
	Receive Notice to Proceed for Construction (Construction funds have been obligated). Advertise for Bids.
	Reviewed and sent Bid Tabs/Documents and Letter Requesting TDOT's Concurrence to Award to Lowest, Responsive, Responsible Bidder
	Received Concurrence from TDOT to Award to Apparent Low Bidder
	Held Pre-Construction Meeting, TDOT Representatives must have been Contacted least 14 days Prior to Meeting

Available in Supplemental Packet – pg. 3



Chapter 1: Funding Programs and TDOT Policies for Local Management of Federal and State-funded Projects

## 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 have been established to ensure the proper use of taxpayer dollars.

## Poll Time!!!

When contacting your program monitor about a project, what information should you provide in the correspondence?

- a) Project Location & Title
- b) SEC Football Predictions
- c) Project Identification Number (PIN)
- d) Both A & C

## Federal Programs

Federal Programs

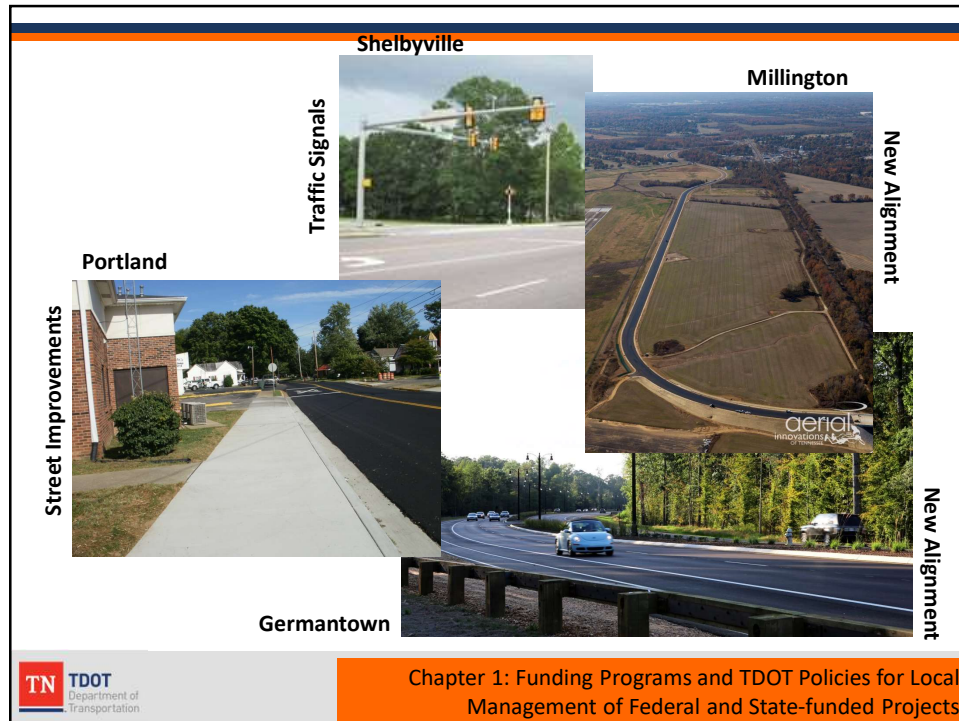
## Surface Transportation Block Grant (STBG)

- Match – 80% federal/20% local
  - Specific items are [100% federally eligible](#)
- Eligible project types– resurfacing, roadway widening, sidewalks, intersection improvements, ADA upgrades, etc.
  - [Eligible STBG Items](#)
- Funds are appropriated based on population

## 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)






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## Bridge Replacement and Rehabilitation (BRR)

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

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BRR EXAMPLE






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## Federal Lands Access Program (FLAP)

- Call for Projects closed in May
  - Next call is TBD
- Match – 100% federal/0% local total project (Previously 80.66% federal/ 19.34% local)
- Established in 23 U.S.C. 204 to improve transportation facilities that provide access to, are adjacent to, or are located within Federal lands.
- Emphasis on high-use recreation sites and economic generators

<https://highways.dot.gov/federal-lands/programs-access/tn>



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## Highway Infrastructure Program (HIP)

- Match – 80% federal/20% local
- Eligible project types– resurfacing, roadway widening, sidewalks, intersection improvements, etc.
- Coronavirus Response and Relief Supplemental Appropriations Act (HIP-CRRSAA)

## State Programs

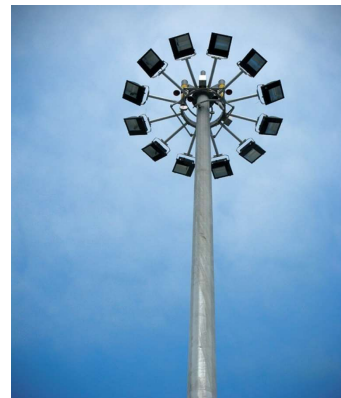
# State Programs

## High Priority Bridge Replacement Program (HPBRP)

- No Local 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/programpdevelopment/stateprograms/2018-2020\\_Bridge\\_Program.pdf](https://www.tn.gov/content/dam/tn/tdot/programpdevelopment/stateprograms/2018-2020_Bridge_Program.pdf)

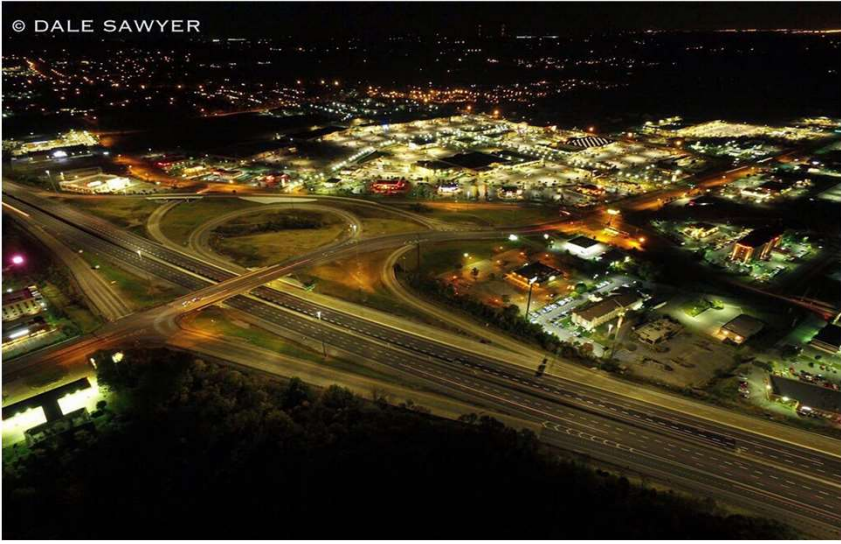
## Interchange Lighting

- 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





**Interchange Lighting**



© DALE SAWYER

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## 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

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LIC EXAMPLE



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## 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 Tintin Czach (615-532-8054)

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## Grant Opportunities

# Grant Opportunities

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## 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/air-quality-planning/cmaq-funding.html>
- Contact: TDOT.cmaq@tn.gov

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## Multimodal Access Grant (MMAG)

- Applications due in eGrants October of every year
  - <https://www.tn.gov/tdot/multimodal-transportation-resources/bicycle-and-pedestrian-program/multimodal-access-grant.html>
  - Match – 90% state/ 10% local OR 95% state/ 5% local
  - Application period is traditionally in Spring
- Cap – \$1.25 million
- Eligible project types - sidewalks, bicycle lanes, road diets, separated bicycle facilities
- In order to qualify for the Multimodal Access Grant, projects SHALL be located along a State Route
- Contact – TDOT.MultimodalPlanning@tn.gov



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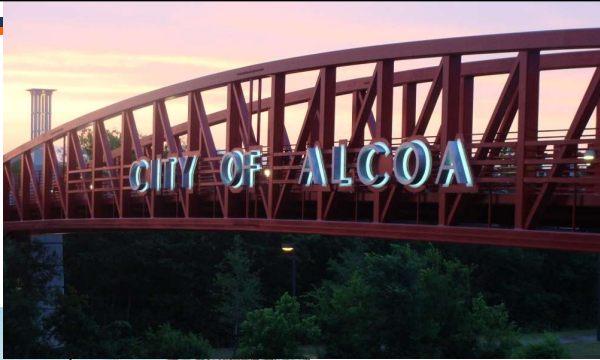
## Transportation Alternatives Program (TAP)

- Applications due in eGrants October of every year
  - <https://www.tn.gov/tdot/program-development-and-administration-home/local-programs/tap.html>
  - Match – 80% federal/ 20% local
  - Only construction phases funded with award
- Eligible project types – pedestrian facilities, scenic overlooks, historic preservation, safe routes for non-drivers
- Contact – Neil Hansen (615-741-4850)




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# TAP PROJECTS



**Alcoa Pedestrian Bridge**



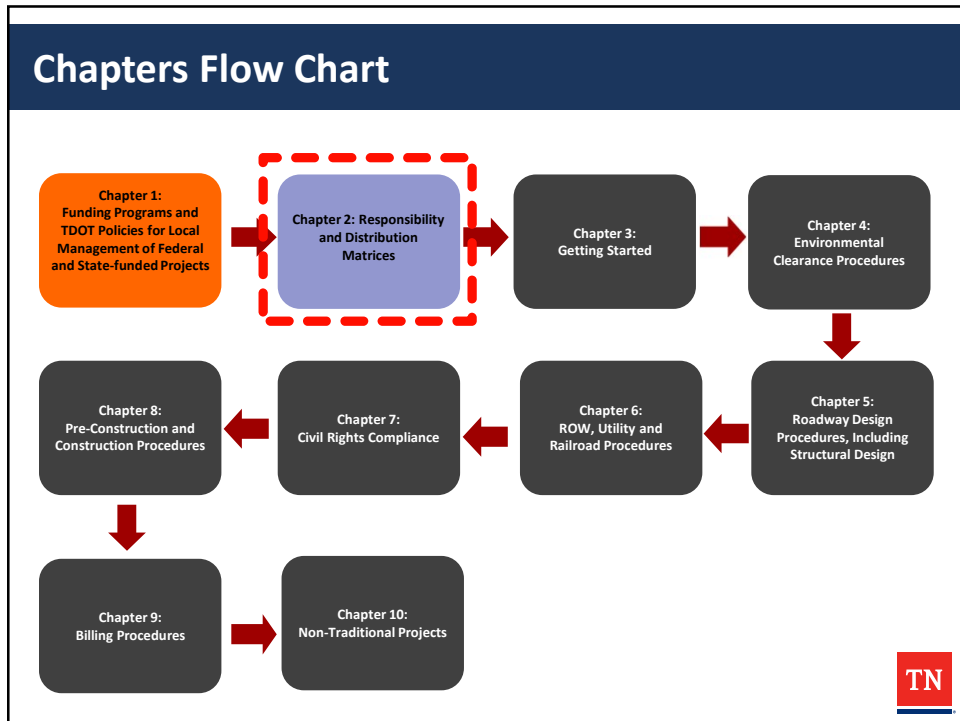
**Gallatin Greenway**



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**Chapter 1: Funding Programs and TDOT Policies for Local Management of Federal and State-funded Projects**

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# 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 provide information directly to TDOT personnel and/or other entities. For projects initiated 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
<b>TDOT Policies</b>			
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 for NEPA, however, consultant procurement can happen prior to the NEPA Phase if reimbursement is expected

<b>Design</b>			
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	LPDO will submit to TDOT Structures for approval



# Poll Time!!!

Which of these funding sources does not use federal dollars?

- a) Federal Lands Access Program (FLAP)
- b) Surface Transportation Block Grant (STBG)
- c) High Priority Bridge Replacement Program (HPBRP)
- d) Highway Infrastructure Program (HIP)





Questions?

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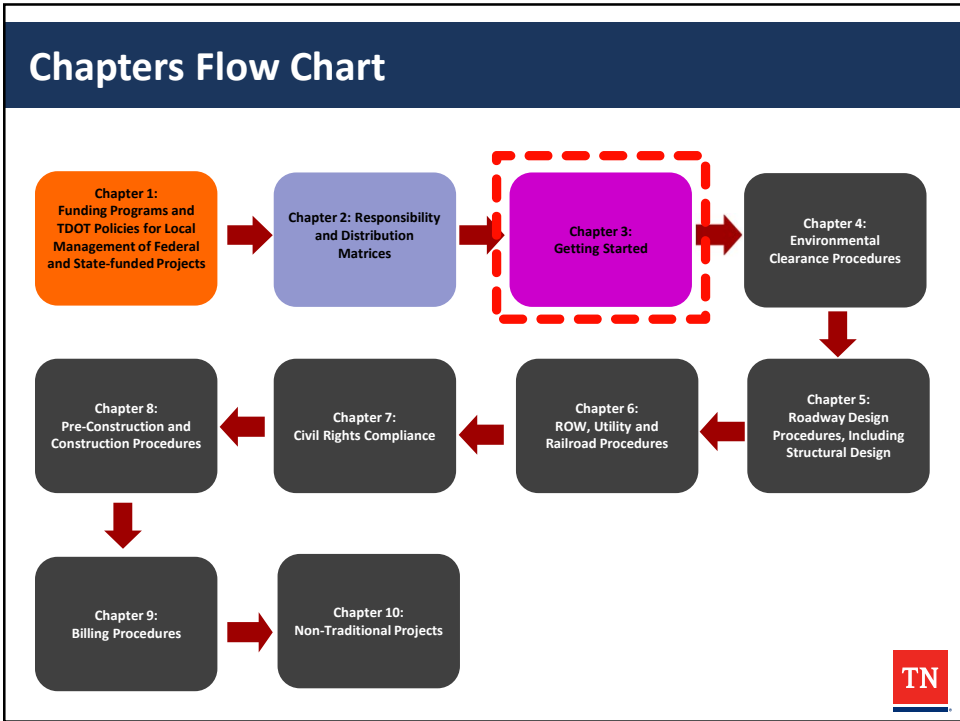
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EIGHTH EDITION  
JUNE 1, 2023

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# 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



eSTIP

New TIP Page

Modified 04.11.2024

ID: 1848 STIP M-2023-03 Length in Miles: 0.1 Lead Agency: Various

County: Shelby

Route: Total Project Cost: \$24,976,437.00

Project Name: Resurfacing Grouping

Terminal: Memphis MPO Planning Area

**Project Description:**  
This grouping will be used to fund road resurfacing, other preventative maintenance, and/or associated project improvements including pavement markings/signs, safety improvements, repair, rehabilitations, preservation, and construction throughout the Tennessee portion of the Memphis MPO Planning Area.

FY	Phase	Fund Code	Conformity Status			
			Total Funds	Federal Funds	State Funds	Local Funds
2023	FE-NAPE-DURROWCONDET	CRSSAA-HP	\$15,200	\$15,200	\$0	\$0
2023	FE-NAPE-DURROWCONDET	STBG	\$877,575	\$10,000	\$0	\$175,515
<b>2024</b>	<b>FE-NAPE-DURROWCONDET</b>	<b>CRSSAA-HP</b>	<b>\$62,700</b>	<b>\$62,700</b>	<b>\$0</b>	<b>\$0</b>
2024	FE-NAPE-DURROWCONDET	STBG	\$15,143,538	\$12,091,830	\$0	\$3,102,908
2025	FE-NAPE-DURROWCONDET	STBG	\$4,088,183	\$1,510,546	\$0	\$877,637
2026	FE-NAPE-DURROWCONDET	STBG	\$4,088,183	\$1,510,546	\$0	\$877,637
<b>Total</b>			<b>\$24,976,437</b>	<b>\$19,200,736</b>	<b>\$0</b>	<b>\$4,976,437</b>

**Comments:**  
 PE Church Church Road (PMP 13822000), PE N (12,500) Federal CRSSAA-HP 02.22.23 and COPSD 01.2021(1)8 Federal STBG  
 12.12.23. Various Local Road/Resurfacing/Asset/Program/Asset/Program  
 10/18/2023 - PE N (6,200) Federal STBG 14.23.1 - Rehabilitation Asset PMP 14.23.05 - PE N (8,500) Federal STBG 01.14.24 - Church Road PMP 14.23.05 - PE N (2,000) Federal STBG 02.12.24 - Safety Street/Asset Road PMP 138217.00 - PE N (24,400) Federal STBG 01.12.24  
 Local Programs concern with the City of Memphis request to modify the Federal Asset Resurfacing group (PMP 13822000) to program additional construction funding for the projects. The total funding programmed for the Asset Resurfacing group is \$8,000,000. \$4,700 in CRSSAA-HP funds are split over the months of STBG. State of \$2,000, \$4,67,248 and \$3,749,752 Federal STBG 01.14.24 - total: The \$4,700 in Federal CRSSAA-HP funds were previously designated and available for the project. STIP MOD 271 & CRSSAA MOD 271.

*\*Note: See the next page for list of projects included in the Resurfacing Grouping.*

**Revision History:**  
 Modification 07: 08.04.2023  
 Modification 16: 12.13.2023  
 Modification 19: 01.10.2024  
 Modification 27: 04.11.2024

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Memphis MPO FY 2023-24 Transportation Improvement Program

Chapter 3: Getting Started


TIP/STIP

### STIP Project Report


4/23/2024

<b>Last Revision</b>	<b>Revision Date</b>		
Modification 257	03/25/2024		
<b>STIP ID</b>	<b>PI#</b>	<b>Length in Miles</b>	<b>Lead Agency</b>
2300000090	126824.00		TDOT
<b>State</b>	<b>County</b>		
TN	Statewide		
<b>State Route</b>	<b>Total Project Cost</b>	<b>TIP ID</b>	
	\$323,702,138		
<b>Project Name</b>			
SURFACE TRANSPORTATION SYSTEM PRESERVATION AND OPERATION			
<b>Term(s)</b>			
SURFACE TRANSPORTATION SYSTEM PRESERVATION AND OPERATION - RURAL GROUPING			
<b>Project Description</b>			
Funding from this grouping is used for projects to preserve and improve roadway conditions and performance. Projects are required to be non-regionally significant, environmentally sound, exempt from air quality conformity requirements, and located in rural, non-metropolitan areas. Except as exempted in Title 23 U.S.C. Section 133, all projects will be located on roadways functionally classified as rural minor collectors or higher. See comments.			
<b>Long Range Plan #</b>	<b>Conformity Status</b>		
GP-1, GP-2, GP-3, GP-4, & 5	Not Applicable		

FY	Phase	Funding	Programmed Funds	Fed Funds	State Fund	Local Funds
2023	Conat PE / ROW / CONST (FC3)	STBG	\$11,401,138	\$9,120,911	\$2,280,227	\$0
2023	Conat PE / ROW / CONST (AC1)	ACRTP	\$1,301,000	\$0	\$1,301,000	\$0
2023	Conat PE, ROW, & CONST	RTP	\$1,500,000	\$1,200,000	\$300,000	\$0
2023	Conat PE / ROW / CONST (FC1)	HIP	\$45,000,000	\$36,000,000	\$9,000,000	\$0
2024	Conat PE, ROW, & CONST	STBG	\$80,000,000	\$64,000,000	\$16,000,000	\$0
2024	Conat PE / ROW / CONST (FC2)	RTP	\$1,500,000	\$1,200,000	\$300,000	\$0
2024	Conat PE / ROW / CONST (FC1)	HIP	\$60,000,000	\$54,000,000	\$6,000,000	\$0
2025	Conat PE, ROW, & CONST	STBG	\$60,000,000	\$48,000,000	\$12,000,000	\$0
2025	Conat PE / ROW / CONST (FC2)	RTP	\$1,500,000	\$1,200,000	\$300,000	\$0
2026	Conat PE, ROW, & CONST	STBG	\$60,000,000	\$48,000,000	\$12,000,000	\$0
2026	Conat PE / ROW / CONST (FC2)	RTP	\$1,500,000	\$1,200,000	\$300,000	\$0
<b>Total</b>			<b>\$323,702,138</b>	<b>\$263,928,911</b>	<b>\$59,781,227</b>	<b>\$0</b>



Tennessee MPO / TPO / RPO Planning Areas





Chapter 3: Getting Started

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## 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






Chapter 3: Getting Started

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## ITS Projects

- Must determine if an ITS project **before** placing in TIP/STIP
- Tennessee ITS Project Identification [Form](#) must be completed and submitted
  - LG submits to [tdot.trafficops.its-reviews@tn.gov](mailto:tdot.trafficops.its-reviews@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 Form (SSEAF))
  - Non-SEA
- TDOT will notify LG if any additional documentation required
- Submit signed form with project initiation packet


Chapter 3: Getting Started

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ITS Projects

### Tennessee ITS Project Identification Form

INSTRUCTIONS: Refer to Section 4.2 of the TDOT ITS Project Development Guidelines. Attach or make available any documents referenced in this form when submitting.

**SECTION 1 – PROJECT INFORMATION**

Agency: \_\_\_\_\_

Agency Information (Address, phone number, e-mail, etc): \_\_\_\_\_

Project Name and Location: \_\_\_\_\_

New Project  
 Modification Project  
 Expansion Project

Nature of Work:

<input type="checkbox"/> Planning	<input type="checkbox"/> Scoping
<input type="checkbox"/> Design Software / Integration	<input type="checkbox"/> Construction
<input type="checkbox"/> Operations	<input type="checkbox"/> Maintenance (Equipment Replacement)
<input type="checkbox"/> Evaluation	<input type="checkbox"/> Other: _____

Please provide the following background information. In most cases, 1-3 sentences will be sufficient for each item.

Brief Description of ITS project objectives – (What is the purpose of the project? What needs are being addressed?):


\_\_\_\_\_

Project Summary – (What solutions will address the needs? What major elements will be installed? What major function(s) will be performed?)

\_\_\_\_\_

Work to Date: (Any preliminary planning, investigation of options, associated internal or external systems examined?)

\_\_\_\_\_


Chapter 3: Getting Started

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ITS Projects

**SECTION 2 – RISK ASSESSMENT**

(For each question, answer Yes, No, Not Sure or N/A for not applicable):

1 – Will the project depend on **only your agency** to implement and operate?  
\_\_\_\_\_

2 - Will the project use only software proven elsewhere, with **no** new software writing?  
\_\_\_\_\_

3 - Will the project use only hardware and communications **proven** elsewhere?  
\_\_\_\_\_

4 - Will the project use only **existing interfaces** (no new interfaces to other systems)?  
\_\_\_\_\_ (If YES include reference)

5 - Will the project use only **existing system requirements** that are well documented?  
\_\_\_\_\_ (If YES include reference)

6 - Will the project use only **existing operating procedures** that are well documented?  
\_\_\_\_\_ (If YES include reference)

7 - Will the project use only technologies with service life **longer** than 2-4 years?  
\_\_\_\_\_

**SECTION 3 – FUNDING**

Identify all that apply:    Local Agency    State    Federal Funds

TIP/STIP Identification and Description:  
\_\_\_\_\_

Agency Representative	Signature	Date
MPORPO Representative	Signature	Date

**FOR TDOT USE ONLY:**

No additional documentation required    Inconclusive risk level determination (SSEAF is required)

Low Risk (SSEAF is required)    High Risk (SEAR is required)

TDOT Representative	Signature	Date
---------------------	-----------	------

Chapter 3: Getting Started

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## Online Grant Management Software: TDOT eGrants

To establish account:

- Visit website
  - <https://tdot.intelligrants.com>
- Determine who your agency wants to be the 'agency administrator'
  - This person can add new users to organization

Chapter 3: Getting Started

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## Project Initiations

- **All** newly initiated locally managed projects must be submitted through eGrants for all funding types
- Special Projects – Contact Program Monitor before initiating
- Training manual and videos available within the TDOT eGrants system
- Contact your Program Monitor if you have questions

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The screenshot displays the TDOT eGrants website interface. At the top, the TDOT logo and navigation menu are visible. The main content area shows the 'PROJECT INITIATION' section with instructions for users. A 'My Training Materials' pop-up window is open, providing links to training manuals and videos. The page footer includes the TDOT logo and the chapter title 'Chapter 3: Getting Started'.

**eGrants Website**

TN TDOT  
Department of  
Transportation

My Home | My Applications | My Project Initiations | My Projects Under Contract | My Invoices | My Amendments  
My Reports | My Administration | My Training Materials | My Organization(s) | My Profile | Logout

NEXT CHECK GLOBAL ERRORS

Forms Menu Status Changes Management I

Back

Document Information: [2018-STP-Nashville-181](#)  
Details

You are here: > [Surface Transportation Block Grant M](#)

**PROJECT INITIATION**

Instructions:

1. Fields with an \* next to them must be completed.
2. After entering all information click the SAVE button.
3. To proceed to the next page you may use the Navigation Links at the bottom of the page.
4. To return to the Forms menu click the Forms Menu link above.

My Training Materials  
Click on the link(s) to open, view or print the training materials

Training Manuals	Training Videos
<a href="#">Grantee Training Manual</a>	<a href="#">LPDO Grantee Training Video (Part 1)</a>
<a href="#">LPDO Admin Training Manual</a>	<a href="#">LPDO Grantee Training Video (Part 2)</a>
	<a href="#">LPDO Admin Training Video</a>

CLOSE


TN TDOT  
Department of  
Transportation

Chapter 3: Getting Started

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LG Project Initiation Checklist

Available in Supplemental Packet – pg. 4-7



Local Government Guidelines Form 3-1  
June 1, 2023

**Local Government Managed Project Initiation Checklist**


This form is for Local Government assistance in Project Initiation and will not be submitted to the Local Programs Development Office.

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. Please check off the items in the checklist below to be sure that you have all of the necessary information that is required to initiate a new project in TDOT eGrants. A detailed description of each item is located on the following pages, TDOT eGrants, and in the Local Government Guidelines Manual.

1.  Description of the Project
  - Location Map (attachment)
  - Length of Project
  - Functional Classification (if applicable)
  - Anticipated Project Budget
2.  List of Consultants Involved in Project
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 (Form 1-1, attachment)
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
11.  TDOT Right-of-Way Training Certificate (attachment)
12.  Local Government Guidelines Manual Certificate (attachment)
13.  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 Self-Evaluation and Status
21.  Authorized Signatures (Form 9-1)


Page 1 of 4

\*\*(New in 2023)



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My Home | My Applications | My Project Initiations | My Projects Under Contract | My Invoices | My Amendments

[My Reports](#) | [My Administration](#) | [My Training Materials](#) | [My Organization\(s\)](#) | [My Profile](#) | [Logout](#)

[Back](#)

### My Project Initiations

Document Template

Document Name

Person

Status

Organization


Fiscal Year

Export Results to  Results Per Page  Sort By

Number of Results 1

Results

Document Type	Organization	Name	Current Status	Year
Surface Transportation Block Grant	<a href="#">Arlington</a>	<a href="#">2018-STP-Arlington-284</a>	Initiation Packet In Process	2017
1				



Chapter 3: Getting Started

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## eGrants Project Menu


---

Document Information: [2018-STP-Arlington-284](#)  
[Details](#)

---

Forms

Status	Page Name	Note	Created By	Last Modified By
Application Forms				
	<a href="#">Project Initiation</a>			
	<a href="#">Miscellaneous Project Initiation Attachments</a>			
	<a href="#">Reimbursement Signatures</a>			


Chapter 3: Getting Started

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eGrants Project Initiation

### PROJECT INITIATION

**Instructions:**

- Fields with an \* next to them must be completed.
- After entering all information click the **SAVE** button.
- To proceed to the next page you may use the Navigation Links at the bottom of the page.
- To return to the Forms menu click the **Forms Menu** link above.

**Project Information**

Please see Chapter 3 Getting Started of the [TDOT Local Government Guidelines Manual](#) for the Management of Federal and State Funded Transportation Projects to information.

County: \* PIN (if applicable):

Secondary County (if applicable):

Route/Termin:

Log Mile:  From:  To:

Note: If you do not know the Log Mile information, please contact your Program Monitor.

**Project Description**

Please include the functional classification of the roadway, if applicable, and other relevant information to best describe the project. A project location map should be Project Initiation Attachments page.

0 of 4000

**Principle Place of Performance**


Street Address:

City:  ZipCode:

Does Project Involve Railroad?  Yes  No \*


Anticipated Project Budget  
Remember, the costs associated with construction inspection and TDOT oversight needs to be taken into consideration when developing the construction estimate.

PE (NEPA)	Design	ROW	Construction	Total (total will calculate after save)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>


Chapter 3: Getting Started

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Staffed and Equipped  
Exception\*\*



Local Governments Guidelines Form 3-0  
June 1, 2023

**STAFFED AND EQUIPPED EXCEPTION REQUEST FORM**  
MIDDLE TO LARGE SIZED PROJECTS

Please complete the following form to provide justification the Local Government is adequately Staffed and Equipped to initiate a middle to large sized project. The Local Government will be required to have a person of Responsible Charge on staff for project oversight. The Local Government will be required to select a TDOT prequalified consultant to serve as the Local Government Engineer (by Consultant). Please submit the completed form to [local.governments@tn.gov](mailto:local.governments@tn.gov).

Project Name: \_\_\_\_\_  
 Local Government: \_\_\_\_\_  
 Name of Responsible Charge: \_\_\_\_\_ Title: \_\_\_\_\_  
 Project Terms: Begin \_\_\_\_\_ End: \_\_\_\_\_  
 Project Length: \_\_\_\_\_  
 Summary of Proposed Work: \_\_\_\_\_

Please provide a project map as an attachment to the form

**ROW/Easement Acquisition:**  
 Will ROW and/or easements be acquired for this project? If so, how many tracts are anticipated to be impacted by the proposed improvements? Tracts impacted \_\_\_\_\_  
 Please provide an estimate of the area of disturbance assumed for this project. Area of disturbance: \_\_\_\_\_ (total area disturbed within the project construction easements)


**Project Schedule (Month/Year):**

- NEPA: \_\_\_\_\_ / \_\_\_\_\_
- ROW: \_\_\_\_\_ / \_\_\_\_\_
- Bid: \_\_\_\_\_ / \_\_\_\_\_
- Const: \_\_\_\_\_ / \_\_\_\_\_

**Project Funding:**  
 How do you plan to fund the project? Are there any 3<sup>rd</sup> party funds anticipated to be used on this project? Please explain.  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Page 1 of 4

See also new LGGM  
Section 3.1.2  
**\*\* (New in 2023)**



Chapter 3: Getting Started

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eGrants Project Initiation

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

Names	Qualifications	Responsibilities
<input type="text"/>	<div style="border: 1px solid #ccc; height: 30px; width: 100%;"></div> <small>0 of 1000</small>	<input type="text"/>
<input type="text"/>	<div style="border: 1px solid #ccc; height: 30px; width: 100%;"></div> <small>0 of 1000</small>	<input type="text"/>

**Agency Experience**  
Please describe the Agency's experience in managing projects similar to the one being contemplated.

Resume Example Available in Supplemental Packet – pg. 8

0 of 4000


Please attach resumes and/or statement of qualifications for each Agency Employee that will be involved in the project.

No file selected. \*

No file selected.

**Responsibility Assignments**  
Please upload the training certificates and responsible charge forms for the employee(s) that will manage this project. Please include the Local Government Guidelines Manual, Right-of-Way and Construction Engineering and Inspection training certificates, which are required to locally manage a project. Please click [HERE](#) to download the Federal Regulation 23 CFR 635.105 form. You must upload a completed version of this form for the responsible person for each phase of the project.


TDOT Training Certificates and Responsible Charge Form:  No file selected. \*



Chapter 3: Getting Started

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Responsible Charge Form



Local Government Guidelines Form 1-1  
June 1, 2023

**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 LG's responsibility to notify the LPDD if the Responsible Charge changes during any phase or date.


Project Name: Fairgrounds Connector Road  
 PIN (if applicable): 115881.00  
 Local Government: Greeneville  
 Name of Responsible Charge: Joey Tribbiani Title: City Engineer  
 Address: 495 Grove Street  
 Office Phone: 865-555-5639 Cell Phone: 865-555-1234  
 Email: joey@greeneville.gov  
 Phases Responsible for:  PE (NEPA)  Design  ROW  Construction

*Joey Tribbiani*  
 Signature of 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 executed
- 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


Page 1 of 1



Chapter 3: Getting Started

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Staffed and Equipped Exception



Local Governments Guidelines Form 3-0  
June 1, 2023

**Local Government Responsible Charge:**

Name of Responsible Charge: \_\_\_\_\_ Title: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Office Phone: \_\_\_\_\_ Cell Phone: \_\_\_\_\_  
 Email: \_\_\_\_\_

**Please provide the Responsible Charge's most recent history managing Local Programs**

**Project:**  
 Project Name: \_\_\_\_\_ TDOT PIN: \_\_\_\_\_  
 State No. \_\_\_\_\_ Federal No. \_\_\_\_\_  
 Project Terms: \_\_\_\_\_  
 Summary of Work: \_\_\_\_\_  
 Project begin date: \_\_\_\_\_  
 Phase of work completed: \_\_\_\_\_  
 Project end date: \_\_\_\_\_

-----

Project Name: \_\_\_\_\_ TDOT PIN: \_\_\_\_\_  
 State No. \_\_\_\_\_ Federal No. \_\_\_\_\_  
 Project Terms: \_\_\_\_\_  
 Summary of Work: \_\_\_\_\_  
 Project begin date: \_\_\_\_\_  
 Phase of work completed: \_\_\_\_\_  
 Project end date: \_\_\_\_\_


-----

Project Name: \_\_\_\_\_ TDOT PIN: \_\_\_\_\_  
 State No. \_\_\_\_\_ Federal No. \_\_\_\_\_  
 Project Terms: \_\_\_\_\_  
 Summary of Work: \_\_\_\_\_  
 Project begin date: \_\_\_\_\_  
 Phase of work completed: \_\_\_\_\_  
 Project end date: \_\_\_\_\_

-----

Project Name: \_\_\_\_\_ TDOT PIN: \_\_\_\_\_  
 State No. \_\_\_\_\_ Federal No. \_\_\_\_\_  
 Project Terms: \_\_\_\_\_  
 Summary of Work: \_\_\_\_\_  
 Project begin date: \_\_\_\_\_  
 Phase of work completed: \_\_\_\_\_  
 Project end date: \_\_\_\_\_

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Chapter 3: Getting Started

See also new LGGM Section 3.1.2  
 \*\*(New in 2023)

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# Staffed and Equipped Exception



Local Governments Guidelines Form 3-0  
June 1, 2023

**Please provide the Local Government's most recent history managing Local Programs Projects:**

Project Name: \_\_\_\_\_ TDOT PIN: \_\_\_\_\_  
 State No.: \_\_\_\_\_ Federal No.: \_\_\_\_\_  
 Project Termini: \_\_\_\_\_  
 Summary of Work: \_\_\_\_\_  
 Project begin date: \_\_\_\_\_  
 Phase of work completed: \_\_\_\_\_  
 Project end date: \_\_\_\_\_

-----

Project Name: \_\_\_\_\_ TDOT PIN: \_\_\_\_\_  
 State No.: \_\_\_\_\_ Federal No.: \_\_\_\_\_  
 Project Termini: \_\_\_\_\_  
 Summary of Work: \_\_\_\_\_  
 Project begin date: \_\_\_\_\_  
 Phase of work completed: \_\_\_\_\_  
 Project end date: \_\_\_\_\_

-----


Project Name: \_\_\_\_\_ TDOT PIN: \_\_\_\_\_  
 State No.: \_\_\_\_\_ Federal No.: \_\_\_\_\_  
 Project Termini: \_\_\_\_\_  
 Summary of Work: \_\_\_\_\_  
 Project begin date: \_\_\_\_\_  
 Phase of work completed: \_\_\_\_\_  
 Project end date: \_\_\_\_\_

-----

Project Name: \_\_\_\_\_ TDOT PIN: \_\_\_\_\_  
 State No.: \_\_\_\_\_ Federal No.: \_\_\_\_\_  
 Project Termini: \_\_\_\_\_  
 Summary of Work: \_\_\_\_\_  
 Project begin date: \_\_\_\_\_  
 Phase of work completed: \_\_\_\_\_  
 Project end date: \_\_\_\_\_

Page 2 of 4


See also new LGGM  
Section 3.1.2  
**\*\* (New in 2023)**



Chapter 3: Getting Started

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# Staffed and Equipped Exception



Local Governments Guidelines Form 3-0  
June 1, 2023

**Please Provide the following information regarding the Local Government Engineer (by consultant selection):**

A TDOT prequalified consultant must be selected to serve as the Local Government Engineer (by consultant). The selected Local Government Engineer (by consultant) will serve on the Local Government's behalf providing engineering review and project oversight. The cost associated with this effort will not be eligible for reimbursement by TDOT and the selected Local Government Engineer (by consultant) cannot serve in a design capacity on the project.

Please provide the Local Government Engineer (by consultant) qualification package, detailing the following information:


- Key personnel resumes
- Project Manager's license number and expiration date
- Project Manager's LPDO Training Certification
- Consultant's experience managing/working on Federally Funded projects
- Consultant's experience managing/working on Local Programs projects
- Consultant's TDOT Prequalification Information
- A copy of the fully executed consultant agreement with the LG
- The contract term/expiration date (not less than 5 years)

**Design Engineer**

Note: The Local Government will be required to advertise and select a separate prequalified engineering firm to perform design engineering and related services on the project. The effort by the design consultant will be reimbursable by TDOT (if applicable by grant funding source).

Page 4 of 4

See also new LGGM  
Section 3.1.2  
**\*\* (New in 2023)**



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Civil Rights Staff/  
Coordinators

**Civil Rights Staff/Coordinators**  
Please provide the name of the designated Title VI Coordinator, EEO Officer and DBE Liaison

Names	Qualifications	Responsibilities
<input style="width: 90%;" type="text"/>	<input style="width: 95%;" type="text"/> <small>0 of 1000</small>	<div style="border: 1px solid gray; padding: 2px;"> <div style="text-align: right; font-size: 0.8em;">▼</div> <div style="padding: 2px;">Title VI Coordinator</div> <div style="padding: 2px;">EEO Officer</div> <div style="padding: 2px;">DBE Liaison</div> <div style="padding: 2px;">All of the Above</div> </div>
<input style="width: 90%;" type="text"/>	<input style="width: 95%;" type="text"/> <small>0 of 1000</small>	
<input style="width: 90%;" type="text"/>	<input style="width: 95%;" type="text"/> <small>0 of 1000</small>	<input style="width: 90%;" type="text"/>

**Third Party Agreements**  
Attach a copy of any agreements, contracts, memorandums of understanding or other legal instruments the Agency 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 Agency signed affidavit to that effect, which can be viewed [HERE](#).

No file selected.

No file selected.

**Proprietary Items**  
Please provide information about any proprietary items the Agency 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 by the Department before they can be used. More information can be found in Chapter 5 of the [Local Government Guidelines Manual](#).

Item Number	Description	Source
<input style="width: 90%;" type="text"/>	<input style="width: 95%;" type="text"/> <small>0 of 1000</small>	<input style="width: 90%;" type="text"/> <small>0 of 200</small>

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Cert. of Compliance  
Third Party Contracts

Local Government Guidelines Form 3-2  
June 1, 2023

Certification of Compliance Regarding Third Party Contracts

FOR PROJECT PIN: 115881.00

DESCRIBED AS: Fairgrounds Connector Road

I, Chandler Bing, Mayor of Greenville, (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 16th day of April, 2018.

*Chandler Bing*  
\_\_\_\_\_  
Signature of Mayor

Chandler Bing  
\_\_\_\_\_  
Printed Name of Signatory (above)

Available in  
Supplemental  
Packet – pg. 9

Chapter 3: Getting Started

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eGrants Project Initiation, Cont.

**Method of Bidding, Certificates**  
Please check the box below which describes the method of construction the Agency wishes to use for the project. Federal law requires that the competitive method of construction (let to contract) be used unless there is a TDOT pre-approval of some other method of construction.

Competitively bid  
 Professional Service Contract  
 Brooks Act  
 Local Forces

**Most Recent Audit**  
Agency shall attach a certification from an appropriate fiscal officer. This certification must state the Agency has sufficient accounting controls to properly manage federal funds. Agencies receiving funds under this program are subject to compliance audits (A-133 Audit Documentation) by the TDOT Finance Office.

Browse... No file selected. \*

Browse... No file selected.

**Purpose and Need**

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**Donated Services of Land**

Browse... No file selected. If Federally Funded, you are required to upload this document.

Not Applicable

**TIP**

Browse... No file selected. Upload the TIP here.

Not Applicable

**Traffic Study Warrant**


Browse... No file selected.

Not Applicable

[Local Version of TDOT Selection Policy](#)

Browse... No file selected.

Not Applicable



Chapter 3: Getting Started

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## eGrants Project Initiation

**REIMBURSEMENT SIGNATURES**


**Instructions**

- Fields with an \* next to them must be completed.
- Only the Agency Official or Administrators can SAVE this page.

Click on the link for [Authorized Signature Form](#). This must be printed, signed and uploaded on this page.

Authorized Signature Form: Browse... No file selected. \*


Select the names below of those agency officials and agency administrators who are authorized to sign reimbursement requests. (Include yourself if applicable)



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UEI Number and Authorized Signature Form




Local Government Guidelines Form 9-1  
June 1, 2023

Form Example Available in Supplemental Packet – pg. 10

**UEI Number and Authorized Signature Form**

UEI Number	
UEI 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*















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## Functional Classifications of Roadways

### FEDERAL FUNCTIONAL CLASSIFICATION SYSTEM

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

\* Not eligible for federal funding

- [E-trims](#)
- [Long Range Planning](#)



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Project Location Map

Map Examples Available in Supplemental Packet – pg. 11-12

Fairgrounds Connector, Greenville, Greene County, Tennessee  
Page 2



Project Location Map



Project Location Map – USGS Quad Greenville (181 NE)

TDOT PIN# 115881.00 – Region 1




**TDOT**  
Department of  
Transportation

Chapter 3: Getting Started

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## 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



**TDOT**  
Department of  
Transportation

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## 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
- Region 1 & 2 Contact: Pamela Sharp – (615-253-1074)
- Region 3 & 4 Contact: James Wes White – (615-253-1076)



## Title VI Compliance



BRUCE EILEY  
 CIVIL RIGHTS DIVISION  
 COORDINATOR OF TRANSPORTATION

BILL LEE  
 GOVERNOR

November 20, 2023

Ms. Kimberly Taylor  
 Title VI Coordinator  
 City of Memphis Government  
 125 North Main ST  
 Memphis, TN 38103

Dear Ms. Taylor:

As part of the contractual agreement, any entity receiving federal assistance from the Tennessee Department of Transportation (TDOT) must comply with Title VI of the Civil Rights Act of 1964. In order for TDOT to ensure your agency's compliance, it was necessary for City of Memphis Government to complete a Title VI Assessment. City of Memphis Government was found to be in compliance with Title VI per its TDOT Assessment administered in July 2023 and completed on November 20, 2023.

Your Title VI Compliance determination is now good for three (3) years provided there have been no changes to your Title VI program or the Title VI Coordinator. The July 2023 Title VI compliance determination is valid through July 2026. The "No-Change" Affidavit and Assurance statement is required annually to maintain your Title VI compliance and will be due July 2024.

If you require further assistance, please contact Wes White at 615-253-1076 or [James.W.White@tn.gov](mailto:James.W.White@tn.gov).

Thank you for your efforts.

Sincerely,  
*Cynthia Howard*  
 Cynthia Howard  
 Title VI Program Director



## 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.

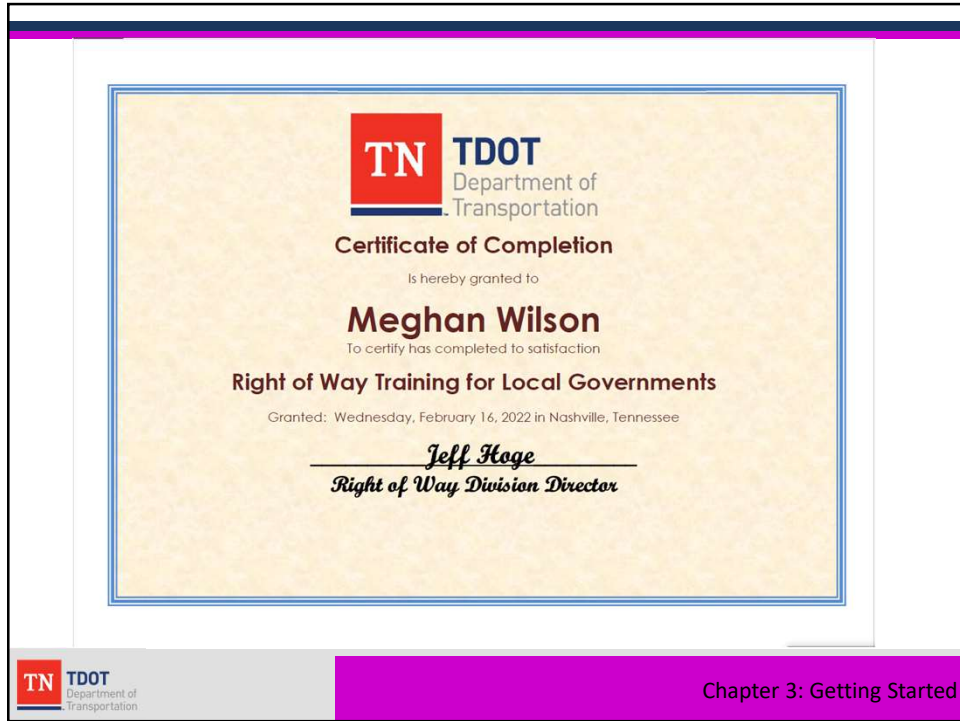


  
 THE UNIVERSITY OF  
 TENNESSEE  
 KNOXVILLE  
 CENTER FOR  
 TRANSPORTATION RESEARCH  
 CERTIFIES THAT  
**Meghan Wilson**  
 HAS COMPLETED THE REQUIREMENTS FOR  
**Local Government Guidelines Manual Training**  
*Thursday, December 18, 2020 in Nashville, Tennessee*  
*earning*  
**6 Professional Development Hours**

  
Director  
Center for Transportation Research



  
Instructor



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# Competitive Grant Application Programs

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**APPLICANT INFORMATION**

**Instructions:**

- Fields with an \* next to them must be completed.
- After entering all information, click the **SAVE** button.
- To proceed to the next page, you may use the Navigation Links at the top of the page.
- To return to the Forms Menu, click the **Forms Menu** link above.

**Application Requirements**

1. For detailed instructions, access the [Transportation Alternatives Program Instruction Booklet](#).
2. Project applications **MUST** be complete and contain all supporting materials as outlined in the application.
3. The Transportation Alternatives Program (TAP) is a reimbursable grant program. Local governments are required to pay 100% of all project invoices up-front prior to seeking reimbursement of the 80% federal share.

**Application Submittal Information**


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 for TAP funding consideration.

**Project Name and Physical Location**

Project Title:



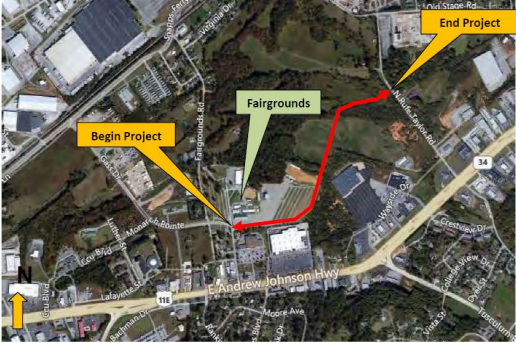
Chapter 3: Getting Started


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# Common Mistakes

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- 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 initiated in eGrants
- Not changing the status in eGrants





Chapter 3: Getting Started

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## Staffed and Equipped Interview



## What are Small Projects?

### Small Projects

- Transportation Alternatives
- 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  
**and/or**
- If your LG is not adequately staffed and equipped for the type of project initiated

## 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 Greenville (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:

Local Agency Project Agreement

Federally Funded Locality, TDOT, or Construction Manager

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**

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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:**

- 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:**

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

Revised 10/19/10 Version 11 1

Agreement example available in Supplemental Packet – pg. 18-23

Chapter 3: Getting Started

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Accomplishment of Project

Federally Funded Locality, TDOT, or Construction Manager

**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
Rights-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:**

- 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 terms 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.

Revised 10/19/10 Version 11 2

Chapter 3: Getting Started

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# Accomplishment of Project, Cont.

Federally Funded, Locally, TDOT, or Combination Managed

- 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

Revised 10/19/10

Version 11



# Accomplishment of Project, Cont.

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: Chandler Bing Date \_\_\_\_\_ By: Howard H. Eley Date \_\_\_\_\_  
 Mayor Commissioner

APPROVED AS TO  
FORM AND LEGALITY

APPROVED AS TO  
FORM AND LEGALITY

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

Revised 03/08/10

Version 5



Exhibit "A"

STP Non-TIP

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**EXHIBIT "A"**

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**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	\$2,260,000.00
CONSTRUCTION-CEI	L-STP	80	0	20	\$250,000.00
TDOT ES	L-STP	80	0	20	\$50,000.00


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**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.



Chapter 3: Getting Started

Project Schedule




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**Project Schedule**

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

Date Completed \_\_\_\_\_



Chapter 3: Getting Started

## TDOT Contract Steps

1. Contract sent to LG through Adobe Sign
2. LG reviews the contract and returns with Mayor and Attorney's signatures
3. TDOT requests obligation of NEPA funds
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

## Initiating Amendments in eGrants

- If your project is not in eGrants, contact your Program Monitor to initiate an amendment
- If your project is in eGrants, create an amendment request in the related items menu for that project

**Surface Transportation Block Grant Menu - Related Items**  
 The various sections below can link to items that are associated with this document.

Document Information: [2015-STP-TDOT Test Agency Co-048](#)  
[Details](#)

Related Documents  
 Sort search results by: --Select-- Filter by Document Type:  GO

Document Type	Name	Current Status	Period Date / Date Due	Created By	Last Modified By
STBG - NEPA Invoice 2017	<a href="#">Initiate a STBG - NEPA Invoice 2017</a>				
Surface Transportation Amendment	<a href="#">Initiate a Surface Transportation Amendment 2017</a>				

Chapter 3: Getting Started

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## Initiating Amendments in eGrants

**Surface Transportation Amendment Menu - Forms**  
 Please complete all required forms below.

Document Information: [AMD-01-123369.00-Anderson](#)  
 Parent Information: [2015-STP-TDOT Test Agency Co-048](#)  
[Details](#)

Forms

Status	Page Name	Note	Created By	Last Modified By
Amendment Forms				
	<a href="#">Amendment Request</a>		Kimery Grant	8/4/2017 3:28:48 PM

Chapter 3: Getting Started

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Initiating Amendments  
in eGrants

**AMENDMENT REQUEST**

**Instructions:**

- Fields with an \* next to them must be completed.
- After entering all information click the SAVE button.
- To proceed to the next page you may use the Related Pages section at the bottom of the page
- To return to the Forms menu click the Forms Menu link above.

Agency:

PIN:

Route/Termini:

Federal Project No:

State Project No:


Type of Work:

Check all applicable:

Contract Expiring:  Scope Revision:

Change in Funding:  Other:

Reason for Amendment:




Chapter 3: Getting Started

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Poll Time!!!

## What is required for an agency to manage mid-range and large projects?

- a) Qualified full time professional engineer on staff
- b) Population over 5,000
- c) Project involves a state route
- d) At least 50 employees on staff



Chapter 3: Getting Started

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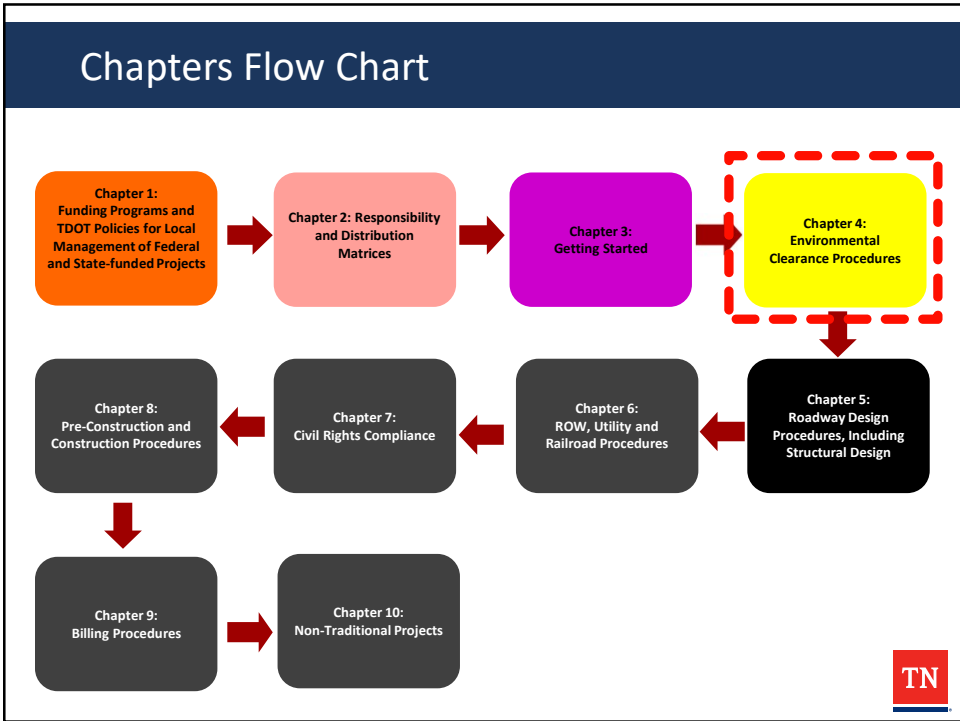
Questions?

TN TDOT 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 LOCAL PROGRAMS DEVELOPMENT OFFICE  
EIGHTH EDITION  
JUNE 1, 2023

TN TDOT Department of Transportation

Chapter 3: Getting Started

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Notice to Proceed

Nathaniel Brugler

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

Good Morning Mr. Tribbiani:

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

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

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

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

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

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



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



Chapter 4: Environmental Clearance Procedures

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Notice to Proceed

NOTICE TO PROCEED WITH THE UNFUNDED PRELIMINARY ENGINEERING PHASE (ENVIRONMENTAL ONLY) OF PROJECT DEVELOPMENT

PIN: 115881.00
FEDERAL PROJECT NUMBER: STP-N-910476
STATE PROJECT NUMBER: 06PLUM-01009
TERMIN / PROJECT NAME: Fairgrounds Connector Road, from Fairgrounds Circle to North Rule Taylor Road, Greeneville
CONTRACTEE:
REGION: 1

Effective Date: December 4, 2023
Date of Transmittal: December 5, 2023

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

You may procure, in accordance with law, a consulting engineering firm to do all phases of preliminary engineering at this time. Please refer to Section 1.6 of the Local Government Guidelines for guidance on consultant selection. If needed, all consultant solicitation advertisements shall be reviewed and approved by the Local Programs Development Office before publishing. Please provide a copy of the awarded contract with the consultant and a copy of the notice sent to the consultant including the date work was authorized on the pages of the project memorandum. These documents should be emailed to Local.Programs@tn.gov. Note: If the person in responsible charge for this phase of the project has changed since the project was initiated through TDOT grants, the Local Government shall resubmit Form LPA (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 Chasly Bell at 915.741.5314 in the Local Programs Development Office. You may contact us by email at Local.Programs@tn.gov.

cc: Will Reid
John Kahle
Kimery Grant
Matt Burcham
Simhah Edwards
Kate Brown
TDOT.Env.LocalPrograms@tn.gov
Regional Assistant Chief of Engineering
Regional Director of Project Development
Regional Director of Operations
MPO Coordinator
Responsible Charge
File



Chapter 4: Environmental Clearance Procedures


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## State Project Numbers

- County Number
- LPLM (Local Programs Locally Managed)
- Federal or State Funding & Phase Number  
**0** = NEPA, **1** = Design, **2** = ROW, **3** = Construction
- Route Sequence

**NOTICE TO PROCEED WITH THE UNFUNDED  
PRELIMINARY ENGINEERING PHASE**  
 (ENVIRONMENTAL ONLY)  
 OF PROJECT DEVELOPMENT

PIN: 115881.00  
 FEDERAL PROJECT NUMBER: STP-M-91(M-1)S  
 STATE PROJECT NUMBER: **00LPLM-FD-008**  
 ROUTE (STREET NAME): Fairgrounds Connector Road  
 FROM: Fairgrounds Circle  
 TO: North Rufe Taylor Road  
 CITY: Greeneville  
 COUNTY: Greene  
 REGION: 1



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eGrants NEPA Information

### NEPA INFORMATION

**Instructions:**

- Fields with an \* next to them must be completed.
- After entering all information click the **SAVE** button.
- To proceed to the next page you may use the Navigation Links at the bottom of the page.
- To return to the Forms menu click the **Forms Menu** link above.

Obligation Requested: 5/17/2018  
 Obligation Received: 6/14/2018  
 Notice to Proceed Issued: 6/15/2018 [Click here to view Notice to Proceed document](#)

Will you be using a consultant? \*  Yes  No

Local Governments shall use TDOT pre-qualified consultants in the required area of expertise for every phase of the project and follow TDOT's approved Local Version of TDOT Consultant Selection Policy. TDOT's approved Consultant Selection Policy provides for a small procurement process to be used when consulting fees are anticipated to be less than \$150,000. The TDOT pre-qualified list of consultants can be viewed at: <https://www.tn.gov/about/business-redirect/consultant-firm.html>. The Local Government MUST chose a consulting firm based on qualifications not price, per the Brooks Act.

Consultant Advertisement:   No file selected.  Not Applicable  
 Signed Consultant Contract:   No file selected.

**Consultant Information**

Company Name:

Prefix:  First Name:  Last Name:  Suffix:

Title:

Address:

City:  State:  Zip Code:  Phone:


Draft Environmental Document Submitted for Review:

Approved NEPA Document:   No file selected. \*

Approved NEPA Re-evaluation Document:   No file selected.

**Environmental Commitments:**

Are there any Environmental Commitments related to this project? \*  Yes  No



Chapter 4: Environmental Clearance Procedures

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## 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 \$250,000**

- 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 \$250,000 for total project (Design + CEI)**

- May contact an adequate number (3) 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  
June 1, 2023

(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 may logically or justifiably be performed or approved by a person licensed, registered, or certified to provide architectural or engineering services.

Examples of services within the scope of this policy include, without limitation, project planning, environmental studies, context sensitive solution/design services, cultural resources studies, geotechnical studies, historic studies, archeological studies, socio-economic and environmental justice analyses, drainage studies, inspection services, intelligent transportation system design and development.

Page 1 of 18

Small Purchase  
Procedures limit  
raised to \$250k  
\*\*(New in 2023)




Chapter 4: Environmental Clearance Procedures

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## Ad Requirements

- Drafts of consultant advertisements must be reviewed and approved by Local Programs Office prior to publishing **AND ALL ADS MUST BE POSTED ON THE LPDO WEBSITE \*\* (NEW IN 2023)**
  - Competitive Negotiation Procurement Procedures
  - Advertised on Agency's website and any other means required by law
- Consultant advertisement **must** 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



Chapter 4: Environmental Clearance Procedures

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## Ad Template

- Ad template (Form 1-3) available
- Makes it easy to meet all requirements; standardizes the appearance

Chapter 4: Environmental Clearance Procedures

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Consultant Selection Criteria

Evaluation Criteria	1 lowest to highest 4			
	Geller & Assoc.	Brook 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>

Chapter 4: Environmental Clearance Procedures

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## On-Call Consultants

- Use of on-call consultants is limited to LPDO's list
- Agencies cannot use their own contracted on-call for consultant services
- LPDO on-call can be used for some small and mid-range projects
- Contact your Program Monitor to request this service

## Common Mistakes

- Not having the consultant ad for RFQs approved before publishing
- Not starting the selection process soon enough
- 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

## Environmental Contact Information

Tennessee Department of Transportation  
James K. Polk Building, Suite 900  
Environmental Documentation Division  
505 Deaderick Street  
Nashville, Tennessee 37243-7120  
[TDOT.Env.LocalPrograms@tn.gov](mailto:TDOT.Env.LocalPrograms@tn.gov)



Chapter 4: Environmental Clearance Procedures

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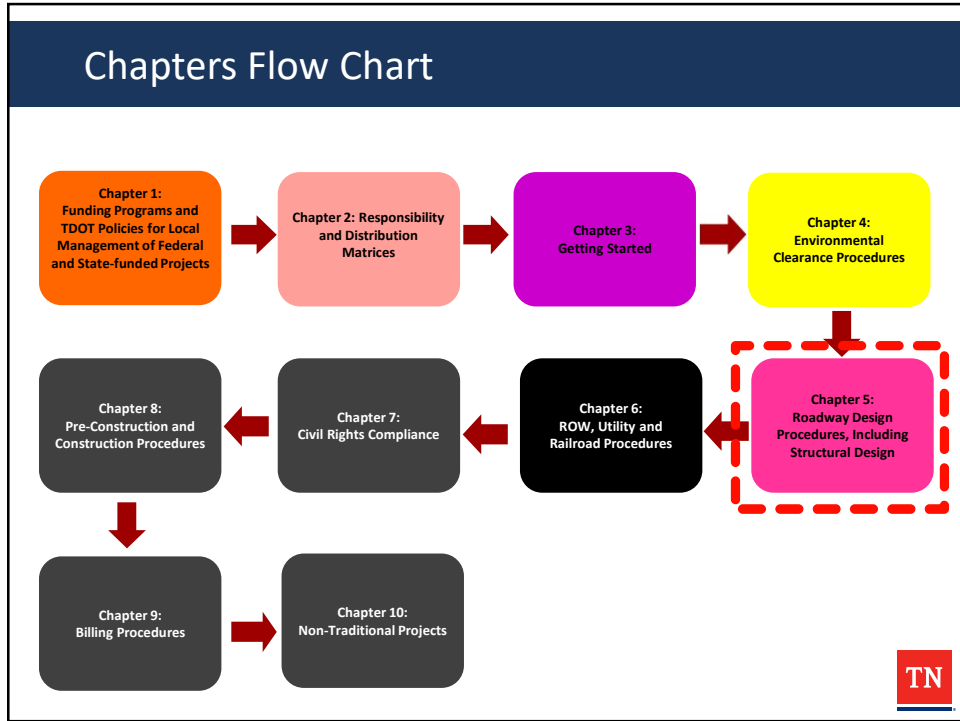
Questions?



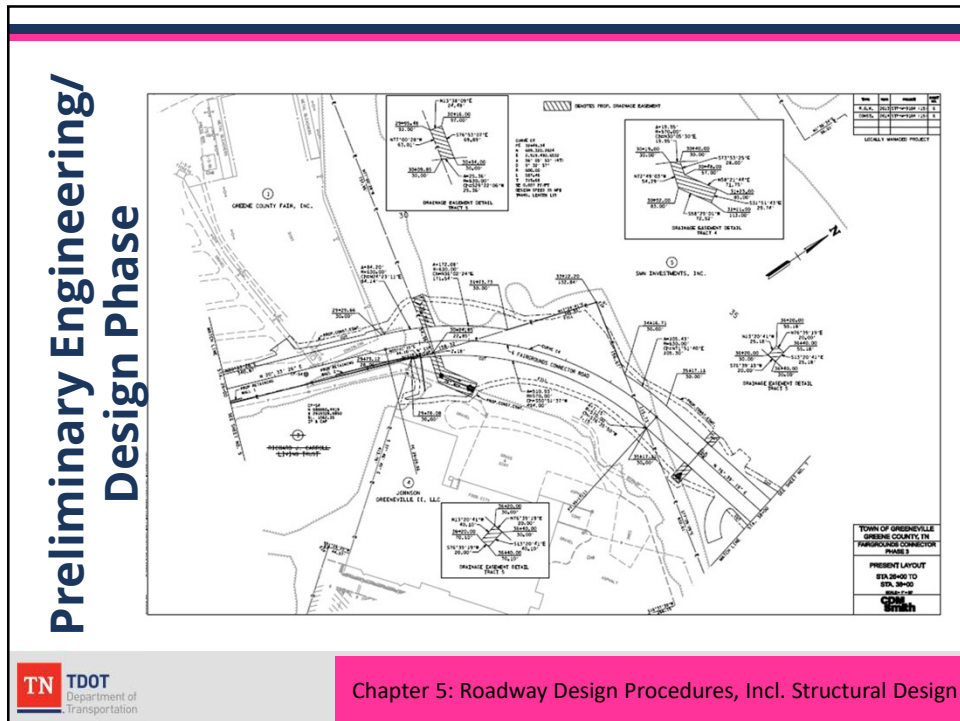
Chapter 4: Environmental Clearance Procedures

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Chapter 5: Roadway Design Procedures, Incl. Structural Design

Notice to Proceed

**NOTICE TO PROCEED WITH THE FUNDED  
PRELIMINARY ENGINEERING FOR  
FINAL DESIGN PHASE  
OF PROJECT DEVELOPMENT**

PIN: 130477.00  
 FEDERAL PROJECT NUMBER: STP-MNH-2003(26)  
 STATE PROJECT NUMBER: 06PLM-F1-081  
 TERMINAL/PROJECT NAME: Paul Huff Parkway N.W. from SR-60  
 (Georgetown Road N.W.) to SR-2 (North Lee Highway); Stuart Road N.E. from SR-2 (North Lee Highway) to Hardwick Farms Parkway N.E.

CONTRACTEE: Cleveland  
 REGION: 2


Effective Date: January 27, 2023  
 Date of Transmittal: February 3, 2023

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/transportationdevelopment/localprogramsdocuments-and-forms/03-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 the project was initiated through TDOT eGrants, 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 Katie Brown at 615-741-5314 or in the Local Programs Development Office. You may contact us by email at [LocalPrograms@tn.gov](mailto:LocalPrograms@tn.gov).

cc: Will Reid  
 John Kahn  
 Kelsey Grant  
 Matt Burcham  
 Chassy Bell  
 Meghan Wilson  
 Assistant Chief of Engineering  
 Director of Regional Project Development  
 Director of Regional Operations  
 MPO Contact  
 Responsible Charge




Chapter 5: Roadway Design Procedures, Incl. Structural Design

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## 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 design exceptions (Form 5-2) OR **design waiver request (Form 5-5) \*\* (New in 2023)**
- Certification of any proprietary items (Forms 5-1a or 5-1b)
- Preliminary construction estimate
- **Transportation Management Plan (Form 5-6) \*\* (New in 2023)**
- Right-of-way plans (**Present** and **proposed** ROW must be shown)



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eGrants - Design

Navigation Links

Status	Page Name	Note	Created By	Last Modified By
	<a href="#">Design Information</a>		System, Grant 2/23/2018 3:03:14 PM	
	<a href="#">TDOT Design</a>		System, Grant 2/23/2018 3:03:14 PM	Hartley, April 8/19/2021 8:52:57 AM
	<a href="#">Miscellaneous Design Attachments</a>		Hartley, April 8/19/2021 8:55:57 AM	Hartley, April 9/13/2021 7:52:40 AM

Checklist:  No file selected.

Preliminary Design Plans:  No file selected.

Checklist:  No file selected.

Right of Way Plans:  No file selected.

Checklist:  No file selected.

Final ROW Plans:  No file selected.

Resurfacing Plans:  No file selected.

Checklist:  No file selected.

Click [HERE](#) for Design [Exception Request Form](#)

Design Exception Request:  No file selected.

Approved Design Exception Request:  No file selected.

Click [HERE](#) for Design Certification Letter form

Design Certification Letter: \*  No file selected.  Not Applicable

Click [HERE](#) for Structures Design Checklist form

Structures Design Checklist:  No file selected.

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## Early Utility Notification

- 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**

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## 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: Macario Reyes [Macario.Reyes@tn.gov](mailto:Macario.Reyes@tn.gov) 865-594-3522
  - Region 2: Andrew Miller [Andrew.Miller@tn.gov](mailto:Andrew.Miller@tn.gov) 423-510-1243
  - Region 3: Iraj Eghbali [Iraj.Eghbali@tn.gov](mailto:Iraj.Eghbali@tn.gov) 615-350-4234
  - Region 4: Willie Coleman [Willie.Coleman@tn.gov](mailto:Willie.Coleman@tn.gov) 731-935-0160

## Submitting Large Files

- Maximum email size ~ 30MB
- Systems for large file sharing: OneDrive, TNCloud
- Contact your Program Monitor for a link, if needed

## Submitting Large Files

- Sending large files to LPDO
  - Let Program Monitor know you have a file(s) to submit; you will be provided a link
  - Open link, click "Upload File" button, and attach file(s)
  - Please notify your Program Monitor when files have been uploaded



## Design Policies Checklist (Form 5-3)

5 Feet Wide (Min)

**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"/> Interchange
<input type="checkbox"/> ITS/Technology	<input type="checkbox"/> Non-Traditional	<input type="checkbox"/> New Alignment	<input type="checkbox"/> Other: _____
<input type="checkbox"/> Resurfacing	<input type="checkbox"/> SIA	<input type="checkbox"/> Greenway/Multiuse Path	<input type="checkbox"/> Other: Click to enter type of "other"
<input type="checkbox"/> Sidewalk	<input type="checkbox"/> Signalization	<input type="checkbox"/> Other: Click to enter type of "other"	

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"/> Curbdrains	<input type="checkbox"/> CMAG
<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"/> 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

10-Foot Wide (Min)




Design Policies Checklist (Form 5-3)



Local Government Guidelines Form 5-3  
June 1, 2023

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>			
TDOT Design policies and procedures followed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SOP 1-5 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 per Chapter 3 of the TDOT Design Guidelines?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Project affects FEMA Floodplain?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If "Yes" is checked, was a "No-rise" analysis included in the final submittal?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Design Waivers</b>			
Multimodal elements 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 Waiver 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 Waiver requests have been approved by TDOT?	<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 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"/>



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Design Policies Checklist (Form 5-3)



	YES	NO	N/A
<b>Roadway Quantities</b>			
Only TDOT pay item numbers, descriptions, and units used? Item numbers, descriptions, and units must match. If an appropriate item number is not available, use a 920 item number with a description that can be edited. Ensure correct item number is chosen with desired unit. If a new item number needs to be created, contact the TDOT Construction Division.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Project Estimate</b>			
Estimate approved by TDOT?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Project Plans</b>			
Plans follow TDOT Design Guidelines, Standard Drawings, General and Special Notes, and PROWAG requirements? (TDOT Roadway Design checklists are available.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are Construction plan sheets indexed in accordance with the TDOT Roadway Design Guidelines Chapter 1-206.01?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the title sheet state this is a Locally Managed Project?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the title sheet state this is a Locally Let project?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the title sheet contain the signatures of the local government officials?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do the Preliminary plan sheets meet the requirements of Chapter 1-201.00 of the TDOT Roadway Design Guidelines?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do the ROW plan sheets meet the requirements of Chapter 1-201.00 of the TDOT Roadway Design Guidelines?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the final ROW Title Sheet have a licensed TN Professional Engineer seal with digital signature and date?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do the Construction plan sheets meet the requirements of Chapter 1-201.00 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"





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## Roadway Design Checklist

- Not to be confused with “Design Policies Checklist”
- Maintained by Roadway Design Office, but a link is available on the LPDO [website](#)
- Consultant would follow; very detailed and technical

PRELIMINARY PLANS CHECKLIST

County:	
Federal Project NO.:	
P.E. NO.:	
PIN:	
Description:	
Submitted by Designer: <small>(TDOT or Consultant)</small>	
And Date:	
ALL ITEMS HAVE BEEN REVIEWED AND DETERMINED TO BE READY FOR FIELD REVIEW BY:	
Name of Supervisor/Manager	
Date	
Comments:	

Note: If components of the plans were designed based off the AASHTO 2018 Green Book that would normally require a Design Exception if designed based off the AASHTO 2011 Green Book, it shall be noted on this sheet.

If the posted speed is different than the design speed, note it here. This is important to include so that the standard drawings, particularly for multimodal designs, can be checked accordingly.

PRELIMINARY - 1      07/11/19

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Design Policies Checklist (Form 5-3)

- Incorporates Design Certification Letter

	YES	NO	N/A
DESIGN CERTIFICATION			
<b>Project Commitments</b>			
Do the plans contain a comprehensive inclusion of all Project Commitments, including Planning, Right-of-Way and Environmental?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
List below the project commitments that have been made and are reflected in the plans.			
Click here to enter text.			
Click here to enter text.			
Click here to enter text.			
Click here to enter text.			
Click here to enter text.			
<b>No Formal Design Exception Is Required</b>			
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.	<input type="checkbox"/>		
<b>Formal Design Exception Is Required</b>			
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.	<input type="checkbox"/>		
In an attached document, please provide an explanation for any responses marked 'NO'. Include references to support any designs that do not meet TDOT's minimum standards as indicated.			
Local Official Responsible Charge Type Name Here	Design Consultant Type Name Here		

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## Key Points

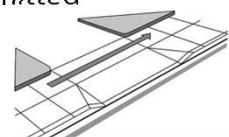
- Design consultants **must** be on TDOT's [pre-qualified list](#)
- Consultants must be procured in accordance with the Brooks Act (qualification based – price discussed after selection)
- Plans may be submitted and reviewed by TDOT up to three times: preliminary, right-of-way and construction
  - TDOT checklists available on [website](#)
  - Construction plans usually submitted during ROW phase
- 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

- 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, along with a signed Form 5-3
- Not labeling plans appropriately
- All layers need to be turned on when submitted

TRACT NO.	PROPERTY OWNERS	R.O.W. ACQUISITION TABLE															
		COUNTY RECORDS				TOTAL AREA ACRES				AREA TO BE ACQUIRED ACRES				AREA REMAINING ACRES		EASEMENT (SQUARE FEET)	
		TAX MAP NO.	PARCEL NO.	DEED DOCUMENT REFERENCE	PAGE	LEFT	RIGHT	TOTAL	LEFT	RIGHT	TOTAL	LEFT	RIGHT	PRISM	SLOPE	CONST.	
1	WARREN COUNTY FARM INC.	07	180.00	07A	824	32.200	1.307	33.507	1.306	1.374	2.680	30.824	126.17	301	3.714 AC	400'	
2	LOUIS L. MOORE CONSULTING, INC.	07A	28.00	07A	824	15.950	13.000	28.950	0.287	0.287	0.574	12.713	261	3.211 AC	350'		
3	SHANNON C. GIBSON & ASSOCIATES, INC.	07A	1.00	07A	824	14.880	14.880	29.760	0.000	0.000	0.000	14.880	261	3.211 AC	350'		
4	JOHNDA O'BRYENVILLE & LLC	07	180.00	07A	824	3.884	14.674	18.558	0.880	0.200	1.080	14.182	261	3.211 AC	3.100 AC		
5	DAVE HAYES TRACT, INC.	07	170.00	07A	824	30.000	3.000	33.000	0.980	0.870	1.850	48.230	4	4.100	1.300 AC	1,000 AC	





## Poll Time!!!

In which phase can early utility notification begin?

- a) Initiation
- b) NEPA
- c) Design
- d) ROW

## ADA - PROWAG

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

## ADA - PROWAG

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



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## ADA - PROWAG

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

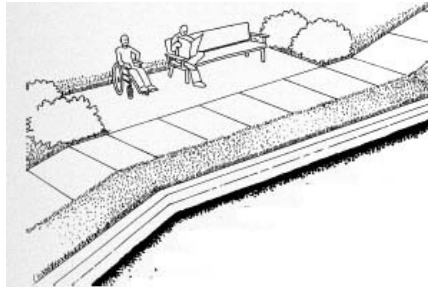


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## ADA - PROWAG

- Important ADA sidewalk considerations
  - Cross slope – 2% maximum
  - Running slope – less than 5%



## ADA Guidance

- Incorporated into the existing [TDOT Roadway Design Guidelines](#)
- Section 9 – Multimodal Design- provides guidance by project type
  - New Construction, Alteration, Resurfacing and Signalization
- Significant clarification to what counts as a “Maintenance” project – **especially signalization**



## ADA Transition Plans\*

1. Designate an ADA Coordinator
2. Notify public of obligations under ADA
3. Establish a grievance procedure
4. Inventory all existing public access 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



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## TDOT ADA Coordinator

Tennessee Dept. of Transportation  
505 Deaderick Street #400  
Nashville, TN 37243  
(615)-741-0465

[TDOT.adacompliance@tn.gov](mailto:TDOT.adacompliance@tn.gov)



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## Next Steps

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

## Poll Time!!!

In which phase are ROW plans submitted and reviewed?

- a) Initiation
- b) NEPA
- c) Design
- d) ROW

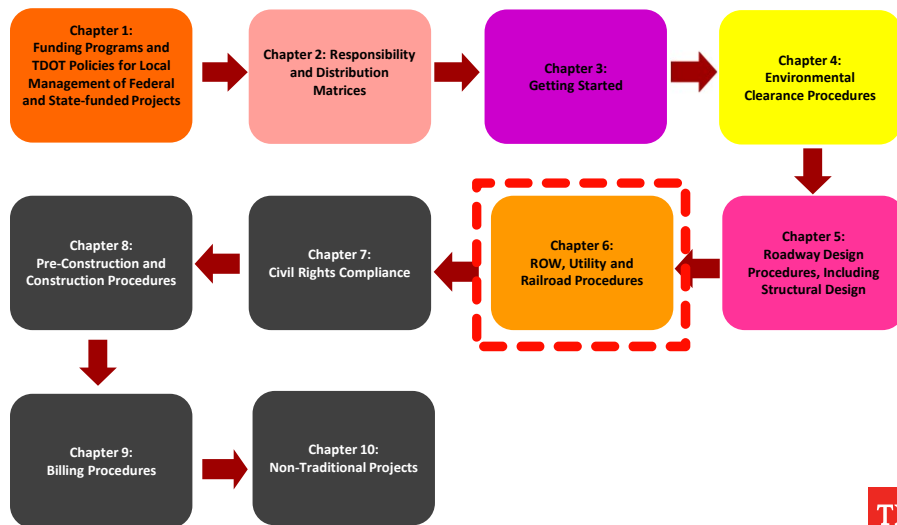
# Questions?



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## Chapters Flow Chart



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## Right-of-Way Phase

- LPDO will Request Right-of-Way funding when applicable
  - Includes acquisitions & utility relocation
- LPDO will issue a NTP to the TDOT Regional ROW Manager
  - 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

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## TDOT Regional ROW Coordinators

- Region 1: Laura Burch (865-594-2693)
- Region 2: Lina Pitchford (423-779-4416)
- Region 3: John D. Lents (615-350-3499)
- Region 4: *\*Vacant\** (731-935-0121)

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ROW Notice to Proceed

**NOTICE TO PROCEED WITH THE UNFUNDED RIGHT-OF-WAY PHASE OF PROJECT DEVELOPMENT**

PIN: 115881.00  
 FEDERAL PROJECT NUMBER: STP-11-0104(15)  
 STATE PROJECT NUMBER: 2017-1M-02-010  
 TERMINI / PROJECT NAME: Fairgrounds Connector Road, Fairgrounds Circle to North Rule Taylor Road  
 CONTRACTEE: Greenville  
 REGION: 1


Effective Date: December 4, 2023  
 Date of Transmittal: December 5, 2023

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/online-services/tdot-program-development/tdot-local-programs-office-contacts-and-templates-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 including the date, time, and authority on the copies of the contract 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 the project was initiated through TDOT eGrants, 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 Katie Brown at 615-741-6314 in the Local Programs Development Office. You may contact us by email at: [LocalPrograms@tn.gov](mailto:LocalPrograms@tn.gov).

cc: Will Reid  
 John Kaithe  
 Jeff Hoge  
 Gary Palmer  
 Aaron Kirkpatrick  
 Kimery Grant  
 Matt Sturham  
 Charisty Bell  
 Meghan Wilson  
 Regional Assistant Chief of Engineering  
 Regional Director of Project Development  
 Regional ROW Manager  
 Regional Utilities Manager  
 MPO Coordinator  
 Responsible Charge




Chapter 6: ROW, Utility and Railroad Procedures

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## 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



Chapter 6: ROW, Utility and Railroad Procedures

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## Consultant Selection

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


## Important Note!!!



- LGs shall not proceed with any work pertaining to land acquisition for which they expect reimbursement until they receive the NTP from TDOT's Regional Right-of-Way Coordinator
- If land acquisition procedures are found to be flawed, all state and federal funding for the project may be withdrawn for **EVERY** phase, even if other phases were done in accordance with federal law, regulations and procedures


## ROW Submittals

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


Chapter 6: ROW, Utility and Railroad Procedures

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Request for Utility Certification



**STATE OF TENNESSEE**  
DEPARTMENT OF TRANSPORTATION  
COMMISSIONER'S OFFICE  
SUITE 700, JAMES K. POLK BUILDING  
505 DEADWICK STREET  
NASHVILLE, TENNESSEE 37243-1402  
(615) 741-2848

BUTCH ELEY  
DEPARTMENT OF TRANSPORTATION

BILL LEE  
GOVERNOR

November 11, 2023

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

State Project No.: 82LPLM-S2-083  
SR-126 Great Stage Road, From SR-394 to Blountville Bypass and Blountville Boulevard, From SR-126 to south of Highland Drive Knox County  
PIN #: 1286066.00

Dear Mr. Greeson:

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,


Macario Reyes, P.E.  
TDOT Manager  
Region 1, Utilities  
*Macario Reyes*

e: Project File-Zip File


Chapter 6: ROW, Utility and Railroad Procedures

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Utility Certification



**STATE OF TENNESSEE**  
**DEPARTMENT OF TRANSPORTATION**  
**RIGHT OF WAY DIVISION**  
SUITE 600, JAMES K. POLK BUILDING  
 NASHVILLE, TENNESSEE 37243-1622  
 (615) 741-3136

BILL LEE  
GOVERNOR

BUTCH ELEY  
SENIOR COUNSEL &  
COMMISSIONER OF TRANSPORTATION

November 22, 2023

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

Intelligent Transportation System  
 SR-171 From SR-205 (Central Pike) to East Hill Street  
 Pin No. 127895.00  
 Wilson County


Ms. Bell,

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

Arrangements are in place to have railroad work undertaken during construction.


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

Sincerely,



Monica Cromer | Asst. State Utility Coordinator  
 Right of Way Division  
 James K. Polk Bldg, 6<sup>th</sup> Floor  
 505 Deaderick Street, Nashville, TN 37243  
 p. 615-741-3331

cc: Mr. John Kahle, TDOT Headquarters Programming  
 Mr. Michael Horlacher, TDOT State Utility Coordinator  
 Ms. Simchah Edwards, TDOT Region 3 Local Programs



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Utility Certification eGrants

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Document Information: [2017-STP-Chattanooga-090](#)

[Details](#)

You are here: > [Surface Transportation Block Grant Menu](#) > [Forms Menu](#)

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**ROW ACQUISITION REQUIRED**

Instructions:

- Fields with an \* next to them must be completed.
- After entering all information click the **SAVE** button.
- To proceed to the next page you may use the Navigation Links at the bottom of the page.
- To return to the Forms menu click the **Forms Menu** link above.


Utility Companies Notified:

Utility Responses Received:

Railroad Notified (if applicable):

Railroad Response Received:


Utility Certification:




Chapter 6: ROW, Utility and Railroad Procedures

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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



Chapter 6: ROW, Utility and Railroad Procedures

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Request for ROW Certification



STATE OF TENNESSEE  
DEPARTMENT OF TRANSPORTATION  
REGION 2 OPERATIONS  
7212 VOLUNTEER DRIVE  
CHAPEL HILL, TN 37616

**BILL LEE**  
GOVERNOR

**BUSCH ELEY**  
August 1, 2023

Mr. Aaron Kirkpatrick  
Transportation Manager 1  
Headquarters Right-of-Way  
Department of Transportation  
505 Deaderick Street  
Suite 600, James K. Polk Building  
Nashville, TN 37243-0837

RE: Audit Report for LPA Project  
State Project: 54946-3464-04  
Federal Project: N/A  
Description: State Industrial Access Road serving N Etowah Industrial Park  
PIN: 127508.00  
Tracts: 12

Dear Mr. Kirkpatrick:

Please find attached the local public agency certification dated 06/28/2023 signed by the Mayor of McMinn County additional right of way was needed for this project. Attached you will also find the LPA Acquisition Process Audit conducted by Lina K. Pitchford, Senior Right of Way Agent.


Please advise if you should have any questions.

State Project: 54946-3464-04  
Federal Project: N/A  
Description: State Industrial Access Road serving N Etowah Industrial Park  
PIN: 127508.00  
Tracts: 12


Dear Mr. Kirkpatrick:

Please find attached the local public agency certification dated 06/28/2023 signed by the Mayor of McMinn County additional right of way was needed for this project. Attached you will also find the LPA Acquisition Process Audit conducted by Lina K. Pitchford, Senior Right of Way Agent.

Please advise if you should have any questions.

Sincerely,  
  
Brad Scott  
Transportation Manager 2  
Region 2, Right of Way Office


Attachments  
BS/lp



Chapter 6: ROW, Utility and Railroad Procedures

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ROW Certification



**STATE OF TENNESSEE  
DEPARTMENT OF TRANSPORTATION**  
1001 N. HOUSTON  
605 EASTWICK DRIVE, SUITE 600  
NASHVILLE, TENNESSEE 37243-4499  
615.741.7400

**BILL LEE**  
GOVERNOR

November 6, 2023

Ms. Roney Grant, Transportation Manager 2  
TODD Local Programs Office  
505 Eastwick Drive, Suite 600  
Nashville, TN 37243

Re: Right-of-Way Certification Request (Local Programs)  
PIN: **122243-00**  
County: **Van Buren** City/Town: **Spencer**  
Project No.: **88PLM-F3-00A** Proj. Prog. No.: **88T-8800111**  
Project Desc: **Spencer Elementary and Van Buren County High School Safe Routes**

Dear Ms. Grant:

After reviewing the certification recommendation and documentation submitted by Brad Scott, TODD Region 2 ROW Transportation Manager 2, I hereby certify that:

**Right-of-Way is available for construction.**

This certification is made in accordance with 23 CFR § 635.309.

The documentation submitted with the recommendation affirms that:

- As required by 23 CFR § 635.309 (c) (1), and other pertinent Federal regulations, right-of-way has been acquired in accordance with the current FHWA directives covering the acquisition of real property.
- All necessary rights-of-way, including control of access rights (when pertinent), have been acquired including legal and physical possession. Trial or appeal of cases may be pending in court but legal possession has been obtained.
- There may be some improvements remaining on the right-of-way, but all occupants have vacated the lands and improvements and the City of Spencer has physical possession and the right to remove, salvage, or demolish these improvements and enter upon all land.

**Right-of-Way is available for construction.**


This certification is made in accordance with 23 CFR § 635.309.

The documentation submitted with the recommendation affirms that:

- As required by 23 CFR § 635.309 (c) (1), and other pertinent Federal regulations, right-of-way has been acquired in accordance with the current FHWA directives covering the acquisition of real property.
- All necessary rights-of-way, including control of access rights (when pertinent), have been acquired including legal and physical possession. Trial or appeal of cases may be pending in court but legal possession has been obtained.
- There may be some improvements remaining on the right-of-way, but all occupants have vacated the lands and improvements and the City of Spencer has physical possession and the right to remove, salvage, or demolish these improvements and enter upon all land.
- No individuals or families were displaced by this project. Therefore, the provisions of the current FHWA directives, including 49 CFR Part 24, covering the relocation of displaced persons to decent, safe and sanitary (DSS) housing and availability of adequate replacement housing are not applicable.

Sincerely,  
*Aaron Kirkpatrick*  
Aaron Kirkpatrick,  
Transportation Manager 2

CC: Brad Scott    Lina Fitchford    Meghan Wilson    Katie Brown  
Aaron Kirkpatrick



Chapter 6: ROW, Utility and Railroad Procedures

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ROW Certification eGrants

▼ Right of Way Forms

<a href="#">ROW Acquisition Required</a>		
<a href="#">Miscellaneous ROW Attachments</a>	Melissa Kelly 3/9/2021 8:58:58 AM	Meghan Wilson 3/22/2021 10:46:35 AM
<a href="#">TDOT ROW</a>	Grant System 9/2/2020 3:03:27 PM	Meghan Wilson 10/22/2020 9:58:12 AM

**Refer to [Local Government Guidelines Manual](#) Chapter 6 for additional information with ROW procedures and processes.**

**DO NOT PROCEED WITH THE ROW PHASE UNTIL YOU HAVE BEEN CONTACTED BY THE REGIONAL ROW REPRESENTATIVE. DOING SO COULD RESULT IN A LOSS IN FUNDING.**

Contacted by TDOT Regional ROW Coordinator:

Notice To Proceed Received: 10/22/2020 [Click here to view Notice to Proceed document](#)

Consultant Firm Hiring ROW Agents through Subcontracts

Please refer to Chapter 6 in the [Local Government Guidelines Manual](#) regarding the appropriate processes when hiring ROW agents and the required separation of duties.

Review Appraiser Hired:   N/A

Appraiser Hired:   N/A


Negotiator Hired:   N/A

Relocation Agent Hired:   N/A

Closing Agency Hired:   N/A

All Properties Acquired:

ROW Certification:



Chapter 6: ROW, Utility and Railroad Procedures

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## What's New?

### New/Revised Sections in the 2023 LGGM\*\*:

- 6.1.5 - TDOT approval needed for Nominal Payment Parcel (NPP)
- 6.1.8 – State handles condemnation on State Routes
- 6.1.9 – Condemnation/Eminent Domain
- 6.1.14 - Demolition

## 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

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## Poll Time!!!

If land acquisition procedures are found to be flawed state and federal funding may be withdrawn for every phase of a project.

- a) True
- b) False

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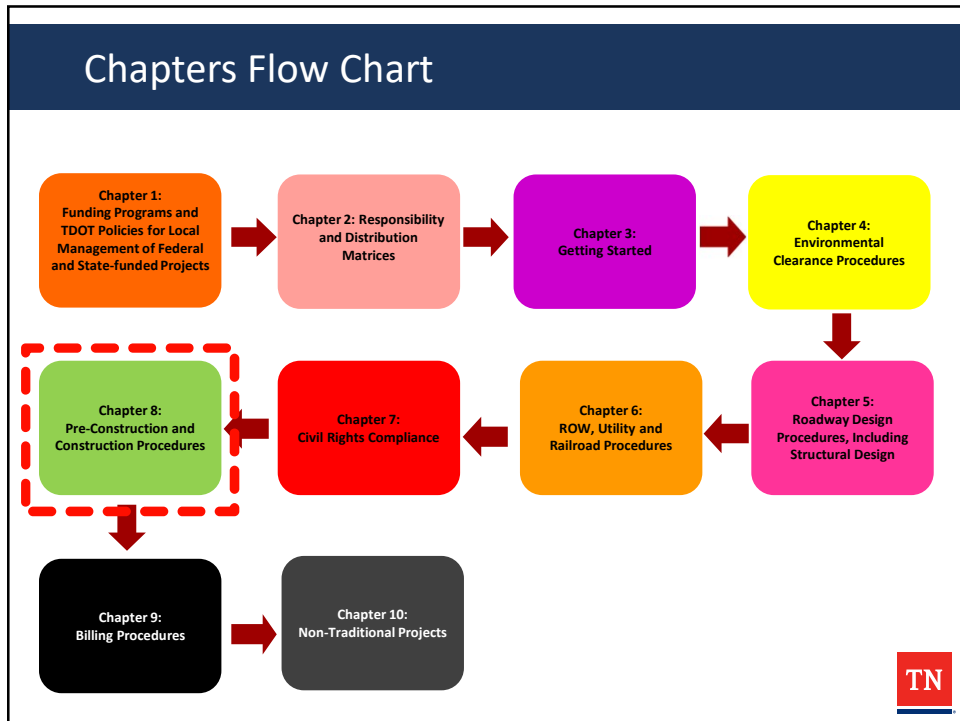
Questions?

TN TDOT 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 LOCAL PROGRAMS DEVELOPMENT OFFICE  
EIGHTH EDITION  
JUNE 1, 2023

TN TDOT Department of Transportation

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## 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
- Should be the same person as “Responsible Charge” of construction (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**

Tips on DBE Goal Setting


Tennessee Department of Transportation Civil Rights Division

**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**.

Available in  
Supplemental  
Packet – pg. 27



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).



Chapter 8: Pre-Construction and Construction Procedures

DBE Goals Worksheet

TN TDOT Department of Transportation

Local Government Guidelines Form 7-0  
June 1, 2023

**DBE GOALS WORKSHEET**

Local Agency \_\_\_\_\_ PIN \_\_\_\_\_


Termini \_\_\_\_\_

ITEM NO.	WORK DESCRIPTION	COST	% OF TOTAL DBE could perform	EST. %
	Construction Stakes, Lines, etc.			
	Clearing & Grubbing			
	Road & Drainage Excavation (Haul)			
	Erosion Control			
	Haul (Stone & Asphalt)			
	Scoring Pavement			
	Pipe Culvert			
	Concrete Catchbasins, Endwalls, etc.			
	Concrete Framework			
	Guardrail			
	Rip Rap			
	Concrete Median Barrier			
	Traffic Control			
	Pavement Markings			
	Signalization Work			
	Seed, Sod, Landscaping, etc.			
	<b>BRIDGE ITEMS</b>			
	Reinforcing Steel			
	Reinforcing Steel (Bridge Deck)			
	Texture Coating			
	Reinforced Concrete Median/Parapet			
			<b>TOTAL</b>	
			<b>GOAL</b>	

Concurred by \_\_\_\_\_ Date \_\_\_\_\_

Available in  
Supplemental  
Packet – pg. 28

Concurrence Signature  
**\*\* (New in 2023)**



Chapter 8: Pre-Construction and Construction Procedures

## Construction Advertisement Authorization Checklist

**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="checkbox"/>	Specifications to be used: Standards to be used:
Proprietary items specified [23 CFR 635.411]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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="checkbox"/>	Date(s): <input type="text"/>
NEPA document approved	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Date: <input type="text"/>
Any environmental commitments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ALL ROW acquired or have necessary easements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ALL UTILITY agreements have been completed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ALL RAILROAD agreements have been completed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Does the Proposal Contract have a defined completion date	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Date: <input type="text"/>

Chapter 8: Pre-Construction and Construction Procedures

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## Notice to Contractors

Local Government Guidelines Form 8-3  
 June 1, 2023

**NOTICE TO CONTRACTORS  
OF CONSTRUCTION BIDS  
BIDS TO BE RECEIVED (DATE)**

Sealed bids will be received by the [CITY/TOWN/COUNTY OF JURISDICTION 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 JURISDICTION 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 JURISDICTION 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 JURISDICTION 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 JURISDICTION NAME]'s telephone number is [TEL] [PHONE 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 permissible and desirable that ads be run as soon as possible after receipt.

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## 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)

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## Plans, Specification, and Estimates (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

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## PS&E Package (Plans)

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

## PS&E Package (Estimate)


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

## Permit Certification

- [Form 8-0 Environmental Permitting Certification Form](#)
- Send all related inquiries/materials to: [TDOT.ENV.PermitsLG@tn.gov](mailto:TDOT.ENV.PermitsLG@tn.gov)
  - Please CC your Program Monitor


Chapter 8: Pre-Construction and Construction Procedures

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Local Government Guidelines Manual Form 8-0  
June 1, 2023

# Environmental Permitting Certification Form

ENVIRONMENTAL PERMITTING CERTIFICATION FORM  
FOR LOCAL GOVERNMENT PROJECTS

**Instructions:** A completed copy of this form will be used as the coversheet for the permit certification submittal package. Complete each section below with the project specific information and include as the first page in the PDF. Please send this form, the ecology concurrence, and all environmental permits to [TDOT.ENV.PermitsLG@tn.gov](mailto:TDOT.ENV.PermitsLG@tn.gov).

**PROJECT INFORMATION**

PIN \_\_\_\_\_

TERMINI \_\_\_\_\_

COUNTY \_\_\_\_\_

SCOPE OF WORK \_\_\_\_\_

**STORMWATER PERMITTING**

Disturbed acreage is less than one acre. No SWPPP needed.

Disturbed acreage is greater than one acre. SWPPP is needed. NOC from TDEC has been attached.

**WATER QUALITY PERMITTING**

No water quality features (streams, wetlands, sinkholes, etc) are impacted by project. No water quality permits are required.


Water quality features (streams, wetlands, sinkholes, etc) are impacted by project. Water quality permits are required and attached. The below table has been filled out.

PERMIT REQUIREMENTS	Required	Obtained	Not Required
TDEC ARAP / 401 Water Quality Certification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
TDEC Class V Injection Well (Sinkhole) Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
USACE Section 404 and/or Section 10	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
TVA Section 216	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**ECOLOGY**

Identification of water resources that may be affected by the project was completed by a Qualified Hydrologic Professional (QHP) and the final ecological concurrence correspondence from the TDOT Ecology Section is attached.

Added Ecology/  
QHP Section  
\*\*(New in 2023)


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## Permit Certification

Mr. Haas,

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

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

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

Please let me know if you have any questions.

Thanks,



DJ Wiseman, PE, CPESC | Permits Section Manager  
 Environmental Division  
 James K. Polk Bldg, 9<sup>th</sup> Floor  
 505 Deaderick St., Nashville, TN 37243  
 p. 615-532-4554  
[DJ.Wiseman@tn.gov](mailto:DJ.Wiseman@tn.gov)  
[tn.gov/tdot](http://tn.gov/tdot)



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## Pre-Construction & Construction Procedures

- Common mistakes:
  - Not using standard bid book template
  - Using incorrect bid bond form
  - Contradictory language
  - Out of Date Standard and Supplemental Specifications, Special Provisions, and Wage Rates
  - Not uploading documents to eGrants



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eGrants ROW Acquisition Required

Document Information: [2015-STP-TDOT Test Agency Co-046](#)

[Details](#)

You are here: > [Surface Transportation Block Grant Menu](#) > [Forms Menu](#) > [Right of Way Forms](#)

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**ROW ACQUISITION REQUIRED**

Instructions:

- Fields with an \* next to them must be completed.
- After entering all information click the **SAVE** button.
- To proceed to the next page you may use the [Navigation Links](#) at the bottom of the page.
- To return to the Forms menu click the [Forms Menu](#) link above.

Refer to [Local Government Guidelines Manual](#) Chapter 6 for additional information with ROW procedures and processes.

**DO NOT PROCEED WITH THE ROW PHASE UNTIL YOU HAVE BEEN CONTACTED BY THE REGIONAL ROW REPRESENTATIVE. DOING SO COULD RESULT IN A LOSS IN FUNDING.**

Contacted by TDOT Regional ROW Coordinator:

Notice To Proceed Received: 10/12/2016 [Click here to view Notice to Proceed document](#)

Consultant Firm Hiring ROW Agents through Subcontracts

All Properties Acquired:

ROW Certification: [Click here to view ROW Certification document](#)

The final construction plans must contain all applicable TDOT items and must be stamped by a Professional Engineer. The Roadway Design Checklist may be found [HERE](#).

LPOD Design Procedures Checklist:  No file selected.  DELETE  
4575-PIN121824.00 Contractwithletter.pdf

Construction Plans:  No file selected.  DELETE  
4575-PIN121824.00 Contractwithletter.pdf

Construction Plans Concurrency:

Final (Stamped) Construction Plans:  No file selected.  DELETE  
4575-PIN121824.00 Contractwithletter.pdf

Construction will be Let by TDOT


Utility Companies Notified:

Utility Responses Received:

Railroad Notified (if applicable):

Railroad Response Received:

Utility Certification: [Click here to view Utility Certification document](#)



Chapter 8: Pre-Construction and Construction Procedures

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eGrants ROW Acquisition Required

The applicable Proposal Contract template provided in Chapter 6 of the [Local Government Guidelines Manual](#) MUST be used. ([State funded template](#) / [Federally funded template](#))

Construction Proposal Contract:  No file selected.  DELETE  
4575-PIN121824.00 Contractwithletter.pdf

Construction Proposal Contract Concurrency:

The Construction Advertisement Authorization Checklist MUST be submitted when the proposal contract is submitted for review.

[Construction Advertisement Authorization Checklist](#):  No file selected.  DELETE  
4575-PIN121824.00 Contractwithletter.pdf

Construction Advertisement:  No file selected.  DELETE  
4575-PIN121824.00 Contractwithletter.pdf

Construction Advertisement Concurrency:

If the final engineer's construction estimate is over the amount available for construction in the TIP/STIP, then the Local Programs Office needs to be contacted immediately.

Construction Estimate:  No file selected.  DELETE  
4575-PIN121824.00 Contractwithletter.pdf

Construction Estimate Concurrency:

If you are trying to determine whether or not a DBE goal is required on a project, refer to the [Local Government Guidelines Manual](#), Chapter 7. For DBE worksheet information when establishing a deadline, go to <https://www.tn.gov/content/sam/tn/tdot/civilrights/small-business/GOALTutorialWorksheet1.doc>

Calculated DBE Goal Worksheet (if applicable):  No file selected.  DELETE  
4575-PIN121824.00 Contractwithletter.pdf

DBE Goal Worksheet Concurrency:

DBE Goal Percentage:  %

TDOT Civil Rights Office Contacted for Title VI:


Title VI Certification:  No file selected.  DELETE  
4575-PIN121824.00 Contractwithletter.pdf

Title VI Certification Verified:

TDOT Environmental Permits Office Contacted:

Permit Certification:  No file selected.

Permits Certification Verified:



Chapter 8: Pre-Construction and Construction Procedures

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## Poll Time!!!

DBE goals are required for both federally and state funded projects over \$500,000.

- a) True
- b) False

## 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

Notice to Proceed with  
the Funded  
Construction Phase

**NOTICE TO PROCEED WITH THE FUNDED  
CONSTRUCTION PHASE  
OF PROJECT DEVELOPMENT**

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


Effective Date: December 4, 2023  
 Date of Transmittal: December 5, 2023

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/developmentandprogramdevelopment/developmentandprogramdevelopment-and-forms/GG\\_Manual.pdf](https://www.tn.gov/developmentandprogramdevelopment/developmentandprogramdevelopment-and-forms/GG_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 this awarded 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 the project was initiated through TDOT eGrants, the Local Government shall resubmit [Form 1.4](#) (Responsible Charge Form) at this time to the Local Programs Development Office in the email below.

If you have questions or concerns regarding this matter, please direct them to Simziah Edwards 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: Will Reid  
 Kinsey Grant  
 John Kainie  
 Jason Blankenship  
 Matt Burcham  
 Chasity Bell  
 Katie Brown  
 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



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Construction NTP E-mail

Construction NTP Email Available in Supplemental Packet – pg. 30

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


Good Morning John,

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

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

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

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



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## 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:
  - The Davis-Bacon Act (DBA) applies to each federal government or District of Columbia contract in **excess of \$2,000** for the construction
  - 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 LPDO

**NOTE: New in 2023\*\* – Responsible Charge MUST have CEI Level 1 training**


## Poll Time!!!

Which size project can the designing engineer also provide CEI services for?

- a) Small
- b) Mid-Range
- c) Large
- d) The CEI firm can't be associated with the project before the construction phase for any sized project

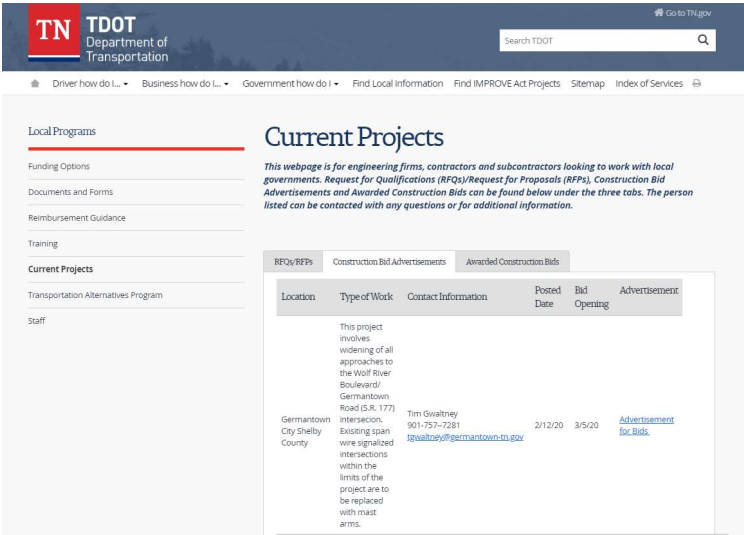
## Bid Advertisements

- 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 to LPDO at least 24 days prior to bid opening**
- Bid ad language requirements and 21-day advertising period still apply
- **\*\*Any form of electronic bidding processes must be reviewed and approved by LPDO**



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Bid Advertisements



RFQs/RFPs	Construction Bid Advertisements	Awarded Construction Bids			
Location	Type of Work	Contact Information	Posted Date	Bid Opening	Advertisement
Germantown City Shelby County This project involves widening of all approaches to the Wolf River Boulevard/ Germantown Road (S.R. 177) intersection. Existing span wire signalized intersections within the limits of the project are to be replaced with mast arms.	Tim Gwaltney 901-757-7281 <a href="mailto:tgwaltney@germantown-tn.gov">tgwaltney@germantown-tn.gov</a>	2/12/20 3/5/20	<a href="#">Advertisement for Bids</a>		


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## Bidding Requirements

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

## Licensing of Prime Contractors

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

## “In Good Standing”

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

## If there is a DBE Goal:

- Special Provision 1247LP will be included in the bid book
- Each Contractor must submit with the 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 1247LP

If the Contractor fails to comply with Special Provision 1247LP, 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 Addendum

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

## LG Requirements, Time of Bids

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

## Bid Review

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

## After Receiving Bids, LG Will:

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

## After Receiving Bids, LG Will:

- Electronically submit the following to TDOT, at least **21 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)



## Bid Review Documentation



September 15, 2015

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

Subject: Bid Tab Certification / Recommendation to Award (Rebid)  
 Fairgrounds Connector Road Phase 3  
 From Fairgrounds Circle to North Ruff-Taylor Road  
 Greene County  
 PIN: 110881.00  
 STP-36-9104(43) 10LPLM-F3-011

Dear Mr. Peters:

Please find attached the bid tabulation certification for Greerville Fairgrounds Connector Road Phase 3 (PIN 110881.00). 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 \$1,275,039.15. 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

*[Signature]*  
 Jeff Mize, P.E.  
 Senior Project Manager

cc: Mr. John Hunter



Letter Requesting to Award or Reject



**GREENVILLE**  
T E N N E S S E E

MAJOR  
W. T. DAVIS  
ADMINISTRATOR  
Toll Free

ALDERMEN  
Bryan N. P. Singleton  
Gailly N. P. Rose  
Sally M. Mason  
Garth E. T. Walker

September 15, 2015

Mr. Eli Jones  
TDOT Local Program Development Office  
James K. Polk Building, 6<sup>th</sup> Floor  
505 Deshaens Street, Nashville, TN 37243


**Re: Fairgrounds Connector Road Phase III, PIN 116961.00  
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 423-438-7128  
TDD 423-438-5735

200 North College St.  
Greenville, TN 37745


Fax 423-438-0293  
www.greenvilletn.org



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Construction Advertising and Award Checklist



Local Government Guidelines Form 8-4  
June 1, 2023

**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:
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: Location:
Were bids read aloud at the bid opening?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Reason for not reading aloud:
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"/>	
Were only pre-qualified bidders read?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
If addendums were issued during the advertisement period, were they acknowledged by the bidders?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Were the bids reviewed for responsiveness and irregularities in accordance with guidelines?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Has the DBE goal been met (must demonstrate within 3 days of bid opening)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is the lowest responsive bidder recommended for award?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If not, why:
Is TDOT provided an electronic bid tabulation of the three lowest bidders at least 14 days prior to the end of award period?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Date to TDOT for concurrence: Date of award closing:
Is the pre-bid estimate with quantities included?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is a request for award or rejection included?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Has a qualified CEI firm been selected properly and with the necessary information submitted to TDOT (or other approved by TDOT)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

I certify that that ALL necessary requirements have been met.

Signature \_\_\_\_\_

Date \_\_\_\_\_



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Bid Envelope Cover

BID ENVELOPE COVER

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

SEALED BIDS WILL BE RECEIVED:

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

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

COMPLETE ALL BLANKS!

BIDDER: SUMMERS-TAYLOR, INC.  
ADDRESS: 300 WEST E.W. AVENUE  
GREENEVILLE, TN 37643  
423-543-3181 - PHONE  
423-543-6104 - FAX  
SUBCONTRACTORS TO BE USED ON THIS PROJECT:  
SOUTHEAST SECURITY - DBE  
ALH CONSTRUCTION - DBE  
REPAIRS FENCE + GARAGE - DBE  
DYKES TOOLING, INC. - DBE  
EAST COAST DESIGN + PLANNING, INC.  
TYPENGA, HANCOCK + PARTNERS  
METCAL COMMERCIAL FINISHING  
SUPERIOR PAVEMENT MARKING, INC.  
NO HVAC SUBCONTRACTORS  
NO PUMPING SUBCONTRACTORS  
NO ELECTRICAL SUBCONTRACTORS

BIDDERS MUST COMPLETE ALL AREAS OF THIS FORM



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Proposal

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.



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Proposal

THIS PROPOSAL SUBMITTED BY:

Summers-Deloe, Inc.  
Bidder (1)

By: [Signature]

TED G. BOUGHT - VICE PRESIDENT

P.O. Box 1628

GRANGETON, TN 37614

City/State/Zip

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

D.T. Summers - Chairman of the Board Danny McMichael - Vice President of Operations

Grant Summers - President Scott Fuller - Vice President of Construction

Ted Bought - Executive Vice President Chris Hyde - Chief Equipment Operator

N/A

Bidder (2)

By: N/A

N/A

N/A

N/A

N/A

N/A

N/A

N/A

N/A

N/A

N/A



Bid Form

BID FORM  
ESTIMATED QUANTITIES

ITEM NO.	DESCRIPTION	UNIT	QUANTITY	UNIT COST	TOTAL COST
109-01	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.	85879	4.165	357,642.25
203-04	PLACING AND SPREADING TOPSOIL	C.Y.	2140	6.00	12,840.00
203-08	WATER	MG	108	5.00	540.00
209-02.04	10" TEMPORARY SLOPE DRAIN	L.F.	286	10.00	4,708.00
209-03.20	FILTER SOCK (8 INCH)	L.F.	168	3.10	520.80
209-03.03	TEMPORARY SILT FENCE (WITHOUT BACKING)	L.F.	4185	1.40	6,277.00
209-03.07	ROCK CHECK DAM PIPE	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
209-11.20	TEMPORARY SEDIMENT TRAP	C.Y.	659	40.00	26,360.00
209-40.51	CATCH BASIN PROTECTION (TYPE B)	EACH	4	400.00	1,600.00
209-40.33	CATCH BASIN PROTECTION (TYPE D)	EACH	40	213.00	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 B1)	TON	240	32.00	7,680.00
307-01.01	ASPHALT CONCRETE MIX (PG64-22) (BRMB-HM) GRADING A	TON	2713	69.00	241,447.00
307-01.08	ASPHALT CONCRETE MIX (PG64-22) (BRMB-HM) GRADING B-M2	TON	1854	94.25	174,789.50
402-01	BITUMINOUS MATERIAL FOR PRIME COAT (PC)	TON	30	325.00	9,750.00
402-02	AGGREGATE FOR COVER MATERIAL (CO)	TON	89	40.00	3,560.00
403-01	BITUMINOUS MATERIAL FOR TACK COAT (TC)	TON	3	965.00	2,895.00
411-01.07	ACS MIX (PG64-22) GRADING B 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	9,523.90
604-07.01	RETAINING WALL (STA 24+30 TO STA 28+25)	S.F.	1790	63.00	112,770.00
604-07.02	RETAINING WALL (STA 28+20 TO STA 29+88.70)	S.F.	3685	60.00	221,100.00
607-03.02	18" CONCRETE PIPE CULVERT (CLASS III)	L.F.	2932	34.00	99,688.00
607-03.03	24" CONCRETE PIPE CULVERT (CLASS III)	L.F.	716	52.00	37,236.00
607-03.02	30" CONCRETE PIPE CULVERT (CLASS III)	L.F.	90	73.00	6,570.00
607-03.02	36" CONCRETE PIPE CULVERT (CLASS III)	L.F.	76	133.00	9,508.00
607-03.02	18" PIPE CULVERT (SIDE DRAIN)	L.F.	85	55.00	4,675.00
611-01.05	MANHOLE 3' x 18" x 22" DEPTH	EACH	1	5,400.00	5,400.00
611-07.01	CLASS A CONCRETE (PIPE ENDWALLS)	C.Y.	14	915.00	12,810.00
611-07.02	STEEL BAR REINFORCEMENT (PIPE ENDWALLS)	LB	400	2.00	800.00
611-12.01	CATCH BASIN, TYPE 12, 0' x 4' DEPTH	EACH	17	2,500.00	42,500.00
611-12.02	CATCH BASIN, TYPE 12, 4' x 8' DEPTH	EACH	19	2,500.00	47,500.00
611-12.03	CATCH BASIN, TYPE 12, 8' x 12' DEPTH	EACH	1	3,000.00	3,000.00
611-12.04	CATCH BASIN, TYPE 12, 12' x 18' DEPTH	EACH	1	3,900.00	3,900.00
611-14.02	CATCH BASIN, TYPE 14, 8' x 8' DEPTH	EACH	2	5,000.00	10,000.00
611-42.01	CATCH BASIN, TYPE 42, 0' x 4' DEPTH	EACH	2	2,500.00	5,000.00
611-42.02	CATCH BASIN, TYPE 42, 8' x 12' DEPTH	EACH	1	7,300.00	7,300.00








**Proposal Certification**

\*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.

Sworn to and subscribed before me  
 Bidder (1) Surrendis-Taylor, Inc. this 9<sup>th</sup> day of September, 2015  
 By: [Signature]  
TLO C. BRYANT - VICE-PRESIDENT My commission expires 08/23/2019  
 Printed Name and Title  
 (Seal) 

Sworn to and subscribed before me  
 Bidder (2) N/A this N/A day of N/A, N/A  
 By: N/A  
N/A My commission expires N/A  
 Printed Name and Title Notary Public  
 (Seal)

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**TN** TDOT Department of Transportation

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**Proposal Bond**

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

**TOWN OF GREENEVILLE  
 GREENE, TENNESSEE**

**PROPOSAL BOND**  
 CONTRACT NO. FINANCIALS CONNECTOR ROAD PHASE II

Principal: SURRENDIS-TAYLOR, INC. Print Name of Principal  
 Surety: FIDELITY & SECURITY 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 sums well and truly to be made, we bind ourselves, our heirs, executors, administrators, and successors, jointly and severally, freely 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 employing labor, materials, 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.

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**TN** TDOT Department of Transportation

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Proposal Bond

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

Principal (1) FIDELITY & DEPOSIT CO. OF MARYLAND Surety (1)
By: Darryl Mathews, Vice President Date: 9-9-15
By: Karen Large, General Agent or Attorney-in-Fact Date: 9-9-15

Principal (2) Surety (2)
By: General Agent or Attorney-in-Fact
Print Name and Title Date (Seal)

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



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Proposal Bond

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 day hereof, have hereby constituted, created and appointed Mark B. SZEMORE and Karen LARGIE, both of Baltimore, Maryland, EACH as true and lawful agent and attorney-in-fact, to make, execute, seal and deliver, and to do all things in and to be done and any and all deeds and undertakings, and the execution of any and all of the foregoing of these presents, shall be as binding upon said Company, as fully and as effectually as if they had been duly executed and acknowledged by the regularly elected officers of the Company at its office in Baltimore, Md., to their own proper persons. This power of attorney expires the first day of May, A.D. 2011.

The said Assistant Secretary hereby certifies 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 }
City of Baltimore }

On this 19th day of May, A.D. 2011, before the undersigned, 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 foregoing instrument, and they each acknowledged the execution of the same, and being by me duly sworn, severally and each for himself, deposed and said, that they are the said officers of the Company aforesaid, and that the seal affixed to the foregoing 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.

Notary Public
My Commission Expires: July 8, 2015



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Proposal Bond

**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 as 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 Assistant 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, endorsements, mortgages, 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 thereon."

**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 seal 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 herebefore or hereafter, whenever 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.

*George A. Myers*  
Assistant Secretary

**TDOT**  
Department of  
Transportation

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## eGrants Construction Award Information

Document Information: [2015-STP-TDOT Test Agency Co-046](#)

[Details](#)

You are here: > [Surface Transportation Block Grant Menu](#) > [Forms Menu](#) > Construction Forms

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**CONSTRUCTION AWARD INFORMATION**

Obligation Requested:

Obligation Received: 3/8/2017

Notice to Proceed Received: 10/8/2016 [Click here to view Notice to Proceed document](#)

Advertisement for Bids:

Bid Opening Date:

Once the Local Government has reviewed the bids, the Local Government Official shall submit all of the following documents to TDOT for review (TDOT will not review unless all documents are submitted):

- A completed "Construction Advertising and Award Checklist"
- An electronic copy of the bid tabulations (spreadsheet comparing bids received)
- Documentation certifying that the bids have been reviewed and found responsive
- 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
- A PDF of the proposal contract for the apparent low bidder
- The "DBE Award Information", if applicable

This information shall be submitted to the appropriate Program Monitor in the Local Programs Development Office electronically.

Bid Concurrence Package Sent:  Low Bid Amount:

**TDOT**  
Department of  
Transportation

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## 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. Unit 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 may 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, they may no longer be the low bidder.

## Poll Time!!!

TDOT requires that the bid advertisement for letting be:

- a) Run in a local paper of record
- b) On the agency's website
- c) Hung on the courthouse's bulletin board
- d) Posted on the Local Programs website for a minimum of 21 days

## 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
  - Submit any necessary railroad insurance 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 [LocalPrograms@tn.gov](mailto:LocalPrograms@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



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## Post Award/Pre-Construction


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



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Local Government Guidelines Form 7-2  
December 1, 2023

**CONSTRUCTION AWARD INFORMATION FOR CONTRACTORS  
ON LOCALLY LET FEDERAL AID CONTRACTS**

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

**Prime Contractor Information**

Company Name: \_\_\_\_\_ Contact Name: \_\_\_\_\_  
 Street Address: \_\_\_\_\_ Contact E-mail: \_\_\_\_\_  
 City, State, Zip: \_\_\_\_\_ Contact Phone: \_\_\_\_\_  
 UEI No.: \_\_\_\_\_ Contract Amount: \_\_\_\_\_  
 DBE: Yes  No


**Sub-Contractor Information**

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

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

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

Page 1 of 2



Local Government Guidelines Form 7-2  
December 1, 2023

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

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


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

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

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

Local Government Approval: \_\_\_\_\_ Date: \_\_\_\_\_

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## 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 must attend
- Subcontractors and DBEs will be introduced



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eGrants Pre-Construction Conference Information

Document Information: [2015-STP-TDOT Test Agency Co-046](#)  
[Details](#)

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**PRE-CONSTRUCTION CONFERENCE**

Instructions:

- Fields with an \* next to them must be completed.
- After entering all information click the **SAVE** button.
- To proceed to the next page you may use the Navigation Links at the bottom of the page.
- To return to the Forms menu click the [Forms Menu](#) link above.

Contract Number:  Award Date:

Construction Start Date:  Proposed Completion Date:

Low Bidder Company Name:  Low Bid Amount: \$780,000.00

Contact Information

Prefix:  First Name:  Last Name:  Suffix:

Email:

Title:


Address:

City:  State:  Zip Code:  Phone:

Company DUNS Number:

DBE Goal: 15% \$117,000.00

DBE Participation:   
(The DBE Participation must be greater than or equal to the DBE Goal)




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## 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
  - A copy of this email shall be sent to [Local.Programs@tn.gov](mailto:Local.Programs@tn.gov)



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## 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, and 8-11b– 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

Subcontractor Information

[HOME](#) [ADD](#) [DELETE](#) [PRINT VERSION](#) [ADD NOTE](#) [CHECK GLOBAL ERRORS](#)

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### SUBCONTRACTOR INFORMATION

**Instructions:**

- Fields with an \* next to them must be completed.
- After entering all information click the **SAVE** button.
- To proceed to the next page you may use the **Navigation Links** at the bottom of the page.
- To return to the **Forms menu**, click the **Forms Menu** link above.

Company Name:

DBE: \*  Yes  No

Ethnicity:

Gender:

Do you have a DUNS Number?  Yes  No

Subcontractor DUNS Number:

FEIN Number:

Subcontractor Award Amount:

**Contact Information**

Prefix:  First Name:  Last Name:  Suffix:

Email:

Title:

Address:

City:  State:  Zip Code:  Phone:

All subcontracts must be on the [TDOT Pre-Qualified Contractor List](#) by the time the subcontractor is put to work. The agency is responsible for approving all prime, 2nd tier, or greater tier subcontractors. An approved and executed subcontract form (Subcontract Form (Prime), Subcontract Form (2nd Tier), and Subcontract Form (3rd Tier) must be on file in the project records (in the Subcontract File) before a subcontractor can begin work. An approved and executed subcontract form bears all of the required signatures of the appropriate officials. These forms do not need to be submitted to Local Programs Development Office, but they do need to be available upon request.

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## 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

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## 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 or eGrants Change Order
- 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

# eGrants Change Order

Construction Forms			
	<a href="#">Construction Award Information</a>	AA User 10/12/2016 3:23:43 PM	AA User 10/12/2016 3:36:25 PM
	<a href="#">Miscellaneous Construction Attachments</a>	AA User 10/12/2016 3:44:49 PM	Christopher YuergensLPDO 11/25/2019 8:07:37 AM
	<a href="#">Construction Forms for Agency Use</a>		
	<a href="#">Pre-Construction Conference</a>	AA User 10/12/2016 3:30:36 PM	AA User 10/12/2016 3:34:38 PM
	<a href="#">Subcontractor Information (2)</a>		
	<a href="#">Construction Change Order Request</a> ←	AA User 10/12/2016 3:59:15 PM	AA User 10/12/2016 4:31:25 PM



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# eGrants Change Order

[SAVE](#)
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[ADD NOTE](#)
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**CONSTRUCTION CHANGE ORDER REQUEST**

**Instructions:**

- Fields with an \* next to them must be completed.
- After entering all information click the **SAVE** button.
- To proceed to the next page you may use the Navigation Links at the bottom of the page.
- To return to the Forms menu click the Forms Menu link above.
- Upon approval by TDOT, please print, obtain appropriate signatures and upload fully executed Change Order

Extra work shall be completed in accordance with subsections 104.02 and 104.03 of the [TDOT Standard Specifications](#) as outlined in [23\\_CER 535.120](#). Any changes to the original proposal contract or plans must be documents by a Change Order according to TDOT Circular Letter 104.03.02, along with all supporting documentation for costs associated with the Change Order. All Change Order requests must be submitted to the TDOT Local Programs Development Office for funding eligibility approval prior to proceeding with the Change Order request. After approval is received from the TDOT Local Programs Development Office, it can then be signed by the contractor, his surety, the CBI, and Local Government Project Supervisor. An executed copy shall also be submitted to the TDOT Local Programs Development Office at the bottom of this page. The approved change order becomes part of the construction contract.

Route/Termini: SR 8W City Limits to E City Limits, SR-258, SR-6 to N City Limits    PIN: 108805.00  
 Agency Name: TDOT Test Agency Co.    State Project No: 83LPD1-F3-003  
 Address: Test, TN 11111-0000    Federal Project No: CM/STP-MNH-9307(13)  
 Date Prepared: 10/18/2016    Agreement Number: 000162  
 County: Sullivan County  
 Bonding Company: Blue Bonds

The purpose of this Change Order is to:

To add 345 days.

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## Chapter 8: Pre-Construction and Construction Procedures

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eGrants Change Order

**TDOT USE ONLY**

Eligible for Funding Approved  Yes  No

Yes  No

Comments:

Approved/Denied By: \_\_\_\_\_ Date \_\_\_\_\_

Do not execute until Change Order has been reviewed by TDOT.

Fully Executed Change Order:  
[http://shared.agatesoftware.com/intelligrants\\_TNDOT/\\_Upload/4584-PIN121824.00\\_Contractwithletter.pdf](http://shared.agatesoftware.com/intelligrants_TNDOT/_Upload/4584-PIN121824.00_Contractwithletter.pdf)

CEI	_____	_____	_____
	Printed Name	Signature	Date
Contractor	_____	_____	_____
	Printed Name	Signature	Date
Surety	_____	_____	_____
	Printed Name	Signature	Date


02/04/2022 Page 2 of 3

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Organization: TDOT Test Agency Co Surface Transportation Block Grant 2015-STP-TDOT Test Agency Co-046

Construction Change Order Request

Owner	_____	_____	_____
	Printed Name	Signature	Date




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## 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

- [FHWA LPA Change Order Resource Website](#)



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## 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

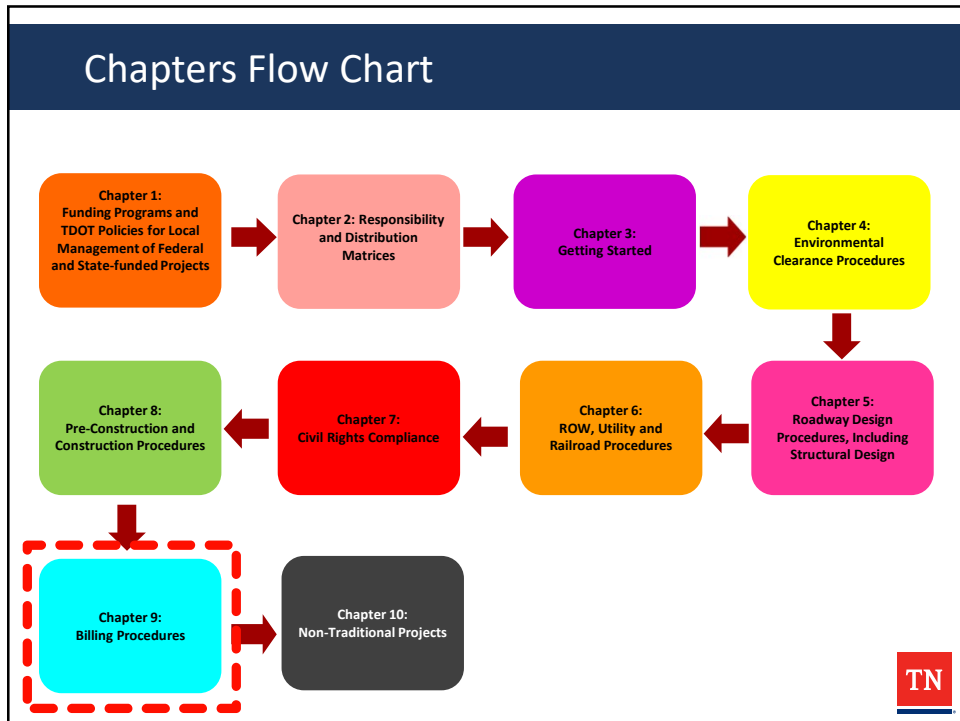
## Recurring Audit Issues

- Daily diary of work activity not kept by CEI
- CEI not on site at times of inspections as required by 23 CFR 635.105
- If original low bid was rejected, TDOT concurrence to reject and justification from LG not in project file
- Buy America certifications not on file
  - All phase(s) could be subject to penalties if Buy America requirements are not met

Questions?

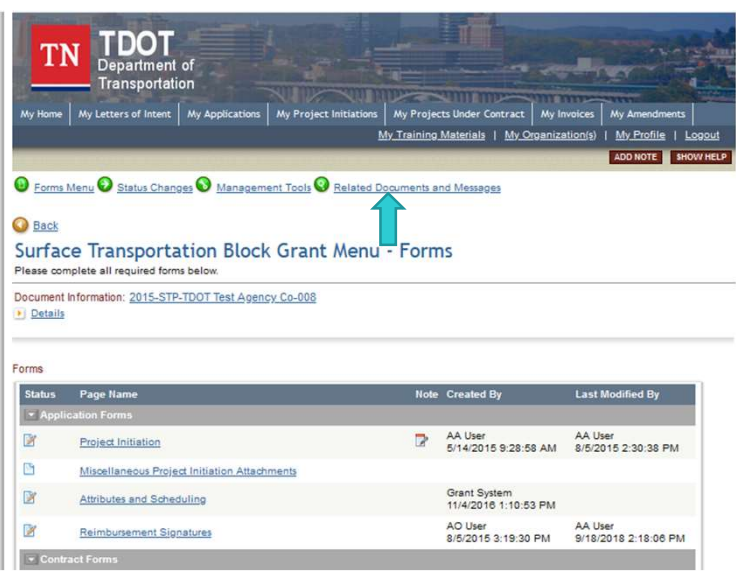
Chapter 8: Pre-Construction and Construction Procedures

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eGrants Project Menu



**Surface Transportation Block Grant Menu - Forms**


Please complete all required forms below.

Document Information: [2015-STP-TDOT Test Agency Co-008](#)

[Details](#)

**Forms**

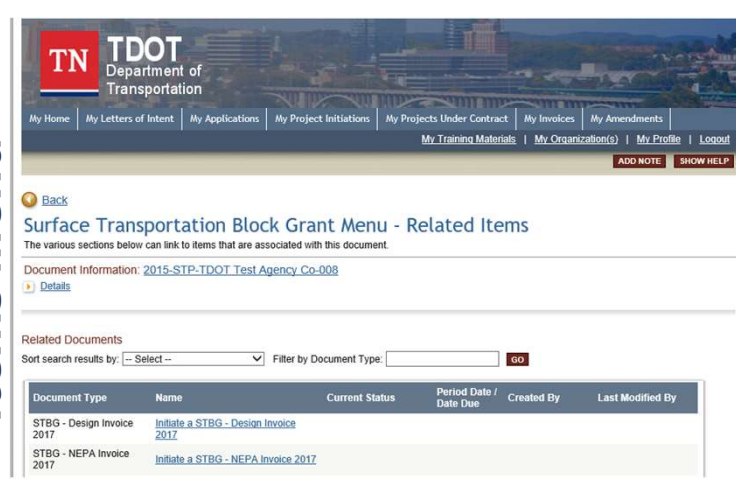
Status	Page Name	Note	Created By	Last Modified By
Application Forms				
	<a href="#">Project Initiation</a>		AA User 5/14/2015 9:28:58 AM	AA User 8/5/2015 2:30:38 PM
	<a href="#">Miscellaneous Project Initiation Attachments</a>			
	<a href="#">Attributes and Scheduling</a>		Grant System 11/4/2016 1:10:53 PM	
	<a href="#">Reimbursement Signatures</a>		AO User 8/5/2015 3:19:30 PM	AA User 9/18/2018 2:18:06 PM
Contract Forms				



Chapter 9: Billing Procedures

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eGrants Project Related Items Menu



**Surface Transportation Block Grant Menu - Related Items**

The various sections below can link to items that are associated with this document.


Document Information: [2015-STP-TDOT Test Agency Co-008](#)

[Details](#)

**Related Documents**

Sort search results by:  Filter by Document Type:

Document Type	Name	Current Status	Period Date / Date Due	Created By	Last Modified By
STBG - Design Invoice 2017	<a href="#">Initiate a STBG - Design Invoice 2017</a>				
STBG - NEPA Invoice 2017	<a href="#">Initiate a STBG - NEPA Invoice 2017</a>				



Chapter 9: Billing Procedures

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eGrants Invoice Form Menu

**Forms Menu** | **Status Changes** | **Management Tools** | **Related Documents and Messages**

[Back](#)

**STBG - Design Invoice 2017 Menu - Forms**

Please complete all required forms below.

Document Information: [2001515-026](#)  
 Parent Information: [2015-STP-TDOT Test Agency Co-008](#)  
[Details](#)

Forms

Status	Page Name	Note	Created By	Last Modified By
	Invoice Forms			
	<a href="#">Local Government Main Invoice for Design</a>		AA User	1/27/2022 1:42:27 PM
	<a href="#">Modification Notes</a>			

Chapter 9: Billing Procedures

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eGrants Invoice Cover Sheet

**LOCAL GOVERNMENT MAIN INVOICE FOR DESIGN**

LOCAL GOVERNMENT DESIGN COSTS INVOICE

Invoice Date: \_\_\_\_\_ Check here if final invoice for this phase:

Services Rendered From: \_\_\_\_\_ To: \_\_\_\_\_

PIN #: 101203.00 Remit To Address: \_\_\_\_\_

State Project #: \_\_\_\_\_ Country: Sullivan County

Fed Project #: STP-H-85(11)  
 Contract #: 2001515

PROJECT DESCRIPTION

	Current Costs	Cost Shown On Prior Invoices	Total Costs
Engineering Costs			
Subtotal			
Less: Local Government Share			
Balance			
Less: Amounts Previously Invoiced			
Amount Due This Invoice			

Chapter 9: Billing Procedures

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# eGrants Invoice Cover Sheet, Cont.

**INVOICE SUMMARY**  
Click [HERE](#) to view/complete required Invoice Summary form.

**SUPPORTING DOCUMENTATION UPLOAD**  
Click [HERE](#) to download **optional** LPDO backup document templates for upload below. You may also provide this information in the format of your choice.

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.

(LOCAL GOVERNMENT OFFICIAL)

(PROJECT SUPERVISOR)

Chapter 9: Billing Procedures

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# Saving in eGrants

My Home | My Letters of Intent | My Applications | My Project Initiations | My Projects Under Contract | My Invoices | My Amendments | Logoff

My Training Materials | My Organizations | My Profile

[SAVE](#) [PRINT VERSION](#) [ADD NOTE](#) [CHECK GLOBAL ERRORS](#)

Back

Document Information: [2001515-026](#)

Parent Information: [2015-STP-TDOT Test Agency Co-008](#)

Details

You are here: > STBG - Design Invoice 2017 Menu > Forms Menu > Invoice Forms

---

**LOCAL GOVERNMENT MAIN INVOICE FOR DESIGN**

LOCAL GOVERNMENT DESIGN COSTS INVOICE

Invoice Date: \_\_\_\_\_ Check here if final invoice for this phase:

Services Rendered From: \_\_\_\_\_ To: \_\_\_\_\_

PIN # 101203.00 Remit To Address: \_\_\_\_\_

State Project # \_\_\_\_\_

Fed Project # STP-H-85(11) County: Sullivan County

Contract # 2001515

**PROJECT DESCRIPTION**

	Current Costs	Cost Shown On Prior Invoices	Total Costs
Engineering Costs			
Subtotal			
Less: Local Government Share			
Balance			
Less: Amounts Previously Invoiced			
Amount Due This Invoice			

Chapter 9: Billing Procedures

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# Changing the Status of an Invoice in eGrants

**TN TDOT**  
Department of Transportation

My Home | My Letters of Intent | My Applications | My Project Initiations | My Projects Under Contract | My Invoices | My Amendments | My Training Materials | My Organization(s) | My Profile | Logout

SAVE | SAVE NEXT | NEXT | PRINT VERSION | ADD NOTE | CHECK GLOBAL ERRORS

Forms Menu | **Status Changes** | Management Tools | Related Documents and Messages

Back

Document Information: [2001515-026](#)  
Parent Information: [2015-STP-TDOT Test Agency Co-008](#)  
Details

You are here: > STBG - Design Invoice 2017 Menu > Forms Menu > Invoice Forms

**LOCAL GOVERNMENT MAIN INVOICE FOR DESIGN**

LOCAL GOVERNMENT DESIGN COSTS INVOICE

Invoice Date: \_\_\_\_\_ Check here if final invoice for this phase:

Services Rendered From: \_\_\_\_\_ To: \_\_\_\_\_

PIH # 101203.00 Remit To Address: \_\_\_\_\_

State Project # \_\_\_\_\_

Fed Project # STP-4-85(11) County: Sullivan County

Contract # 2001515

PROJECT DESCRIPTION



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# Changing the Status of an Invoice in eGrants, Cont.

**TN TDOT**  
Department of Transportation

My Home | My Letters of Intent | My Applications | My Project Initiations | My Projects Under Contract | My Invoices | My Amendments | My Training Materials | My Organization(s) | My Profile | Logout

ADD NOTE | SHOW HELP

Back

**STBG - Design Invoice 2017 Menu - Status Options**  
Select a button below to execute the appropriate status push.

Document Information: [2001515-026](#)  
Parent Information: [2015-STP-TDOT Test Agency Co-008](#)  
Details

Possible Statuses

**INVOICE SUBMITTED**  
[CLICK HERE TO SUBMIT INVOICE](#)

**INVOICE CANCELLED**  
[APPLY STATUS](#)

Top of the Page



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## Billing Procedures

Each request must include:

- Copies of **paid** invoices
- Copies of canceled checks or other acceptable proof of payments
- Authorized signatures

Examples available  
in Supplemental  
Packet – pg. 30-39

**The following items must be shown on the invoices** *(this information is on our provided coversheet)*

### Invoicing Checklist

- Supplier name
- Supplier contact information
- Remittance address
- TDOT State project number for the correct phase being billed
- PIN, Federal Project number if available
- Unique invoice number – all invoices are to be titled with the invoice number only. Do not place any additional information or markings in the invoice number as Edison will not accept it.
- Invoice date
- Pay terms
- Total amount requested on the invoice
- TDOT Contract and / work order # (when applicable)
- Previously Invoiced Amount: If the vendor includes the previously invoiced amount on the invoice, this amount should reflect the correct amount billed to date.



## Invoicing Checklist

- Service Period and all charges are within the contract terms.
- Check all addition and mathematical calculations.
- Our office will use the industry standard in regard to “rounding” being three decimals (i.e. \$1,080.927 will be considered \$1,080.93).
- The invoice must be marked “Partial” or “Final”.
- Invoice must be signed by company representative.
- The invoice must summarize the total amount being billed and the documents that support a given cost must accompany the invoice.

## Invoicing Checklist

### Project Costs


- Each invoice must include a summary detailing the individual expense items and show categorized subtotals. To as much degree as possible the support should be collated to match the order of the items listed in the cover sheet.
- For each expense type, the supporting documentation for the reimbursable expenditures must include itemization of the charges being billed.
- Labor Schedule- summary table of employee name and/or employee ID, title, rate of pay, Date(s) worked, and number of hours involved. Must list actual dates worked not a date range.
- Net Fee- the formula used to calculate the net fee must be shown on the invoice. The Local Programs office will note if there is a difference in the amount billed/calculated.
- Burden (Benefits)\*- Itemized reports from payroll or accounting systems  
\*not applicable when using audited overhead rates.

Invoicing Checklist

- Overhead- The overhead rate used must be stated on the invoice. Overhead used must be in effect as of the date of the invoice. If overhead rates changes due to an audit you must use the rate in effect at the time of invoicing.
- Equipment- Logs or summaries of equipment usage with the times, usage rates, and total amounts for all equipment used. Rental equipment invoices should presented if applicable.
- Business Expenses- Copies of receipts. All receipts must be legible with no highlighting that may result in redaction on scanned copies.
- Phone Charges – Bill/Receipt if charges are not included in overhead costs.
- Materials & Supplies- Itemized statements detailing the items purchased or used.

**Travel Expenses** *(all expenses in this category must be in accordance with State of TN travel regulations)*


- Mileage logs- Logs must contain employee name, date(s) or travel, beginning and ending location, number of miles, and purpose of travel.



Chapter 9: Billing Procedures

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Authorized Signature Form




Local Government Guidelines Form 9-1  
June 1, 2023

**UEI Number and Authorized Signature Form**

UEI Number	
UEI 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*



Chapter 9: Billing Procedures

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Surface Transportation Block Grant Menu

**Back**  
Surface Transportation Block Grant Menu

Document Information: 2015-STP-TDOT Test Agency Co-008

Info	Document Type	Organization	Role	Current Status	Period Date / Date Due
	Surface Transportation Block Grant	TDOT Test Agency Co	Agency Administrator	Design Phase in Process	N/A - N/A 01/16/2018 12:00PM EST

**View, Edit and Complete Forms**  
Select the **View Forms** button below to view, edit, and complete forms.  
**VIEW FORMS**

**Change the Status**  
Select the **View Status Options** button below to perform actions such as submitting applications or request modifications.  
**VIEW STATUS OPTIONS**

**Access Management Tools**  
Select the **View Management Tools** button below to perform actions such as adding people to this document or viewing the document history.  
**VIEW MANAGEMENT TOOLS**

**Examine Related Items**  
Select the **View Related Items** button below to view related items such as claims, messages, etc.  
**VIEW RELATED ITEMS**

Chapter 9: Billing Procedures

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Surface Transportation Block Grant Menu -Forms

**Back**  
Surface Transportation Block Grant Menu - Forms

Please complete all required forms below.

Document Information: 2015-STP-TDOT Test Agency Co-008

Status	Page Name	Note	Created By	Last Modified By
<b>Application Forms</b>				
<input checked="" type="checkbox"/>	Project Initiation		AA User 5/14/2015 9:28:58 AM	AA User 8/5/2015 2:30:38 PM
	Miscellaneous Project Initiation Attachments			
<input checked="" type="checkbox"/>	Attributes and Scheduling	Grant System	11/4/2016 1:10:53 PM	
<input checked="" type="checkbox"/>	Reimbursement Signatures		AO User 8/5/2015 3:19:30 PM	AA User 9/18/2018 2:18:06 PM
<b>Contract Forms</b>				
<input checked="" type="checkbox"/>	Contract Information		ContractProcessor User 8/5/2015 3:49:03 PM	Program Manager User 12/28/2015 9:42:10 AM
<b>NEPA Forms</b>				
<input checked="" type="checkbox"/>	NEPA Information		AA User 1/19/2016 11:00:10 AM	AA User 1/19/2016 11:00:26 AM
<input checked="" type="checkbox"/>	TDOT NEPA	Grant System	11/8/2016 3:20:22 PM	
	Miscellaneous NEPA Attachments			
<b>Design Forms</b>				
<input checked="" type="checkbox"/>	TDOT Design	Grant System	11/8/2016 3:20:22 PM	
<input checked="" type="checkbox"/>	Miscellaneous Design Attachments		AA User 2/7/2019 2:24:12 PM	AA User 2/7/2019 2:29:26 PM

Chapter 9: Billing Procedures

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Reimbursement Signatures

**REIMBURSEMENT SIGNATURES**

**Instructions**

- Fields with an \* next to them must be completed.
- Only the Agency Official or Administrators can SAVE this page.

Click on the link for [Authorized Signature Form](#). This must be printed, signed and uploaded on this page.

Authorized Signature Form:  Browse...  DELETE\*

4180\_1088945-9 | [Authorized Signatures.pdf](#)

Select the names below of those agency officials and agency administrators who are authorized to sign reimbursement requests. (Include yourself if applicable)

AA User	<input type="checkbox"/>
AO User	<input type="checkbox"/>
	<input type="checkbox"/>
	<input type="checkbox"/>
	<input type="checkbox"/>

Chapter 9: Billing Procedures

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Local Government Guidelines Form 9-2  
June 1, 2023

### 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  
Type project description here.

Fairgrounds Road Connector

LOCAL GOVERNMENT AGENCY: Town of Greenville

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

COUNTY: Greene

	CURRENT COSTS	COST SHOWN ON PRIOR INVOICES	TOTAL COSTS
PRELIMINARY ENGINEERING COSTS	\$85,830.00	\$40,475.00	\$126,305.00
SUBTOTAL			\$126,305.00
LESS: LOCAL GOVERNMENT SHARE			-\$25,261.00
BALANCE			\$101,044.00
LESS: AMOUNTS PREVIOUSLY INVOICED			-\$32,328.00
AMOUNT DUE THIS INVOICE			\$68,664.00

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

*Joey Tribbiani*

(PROJECT SUPERVISOR)

*Rachel Greene*

(LOCAL GOVERNMENT OFFICIAL)

Chapter 9: Billing Procedures

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# Materials and Tests Billing

**TN. Dept. of Transportation - Finance Division**      **INVOICE #1624**  
 501 Deaderick St, Suite 800, Nashville, TN 37243  
 Phone 615-550-4200 Fax 615-550-4128 TDOT.Materials@dot.ga.gov

Customer: **Town of Greenville**      Invoice Date: **12/28/2015**  
 200 N. College St.      Sales Person: **Materials & Tests Division**  
 Greenville, TN 37745      P.O. #

Phone: **423-787-4382**  
 Fax:

Job	Payment Due	Payment Terms
30PLM-F3-011 PIN 125882	1/28/2016	NET 30

Product	Quantity	Unit Price	Line Total
Cement Sampling & Testing	1	\$189.90	\$189.90
Aggregate Quality Report	1	\$189.38	\$189.38

PLEASE INCLUDE A COPY OF INVOICE WITH PAYMENT

Services Total	\$0.00
Products Total	\$379.28
Taxes	\$0.00
<b>Invoice Total</b>	<b>\$379.28</b>

Thank you for your business  
 TN. Dept. of Transportation - Finance Division 501 Deaderick St, Suite 800, Nashville, TN 37243  
 Phone 615-550-4200 Fax 615-550-4128 TDOT.Materials@dot.ga.gov

Page 1 of 1



Chapter 9: Billing Procedures

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# Statement of Progress Cost

**TENNESSEE DEPARTMENT OF TRANSPORTATION**  
**INVOICE**

INVOICE DATE: 12/29/15      INVOICE NUMBER: 12345-4567-89

Payment Terms: Net 30

Customer Address: CITY, Address 1, Address 2      Contact Person(s)

PLEASE REMIT YOUR PAYMENT TO:  
 TENNESSEE DEPARTMENT OF TRANSPORTATION  
 Finance Division  
 ATTN: Area Reps  
 501 Deaderick Street, Suite 800  
 Nashville, TN 37243-4533

Federal Project Number	State Project Number	Amount
879-12-4567	12345-4567-89	\$ 2,332.00
	12345-4567-89	\$ 2,289.32
	12345-4567-89	\$ 7.41

Description: Description

TOTAL COSTS TO DATE: \$ 4,627.23  
 LESS: TOTAL PAYMENTS TO DATE: \$ (3,000.00)  
**TOTAL AMOUNT DUE THIS BILLING: \$ 1,627.23**

[DEFAULT.INVOICE@dot.ga.gov](mailto:DEFAULT.INVOICE@dot.ga.gov)

LOP SAMPLE      LOP SAMPLE

**TENNESSEE DEPARTMENT OF TRANSPORTATION**  
**STATEMENT OF PROGRESS COST**

Bill to: PROJECT CITY      Federal Project Number      STP#

STATE PROJECT NUMBERS	Federal Project Number	STP#
12345-4567-89	12345-4567-89	12345-4567-89

FUNDING METHOD: LOP

CUSTOMER CONTRACT NUMBERS: 123456789      987654321

COST SUMMARY	Federal	State	Local
PRELIMINARY ENGINEERING COSTS:	\$ 12,332.00		
RIGHT-OF-WAY COSTS:		\$ 62,289.32	
CONSTRUCTION COSTS:			\$ 16.23
Construction Contract Payments			4.18
Other Expenditures			12.05
<b>TOTAL PROJECT COSTS</b>	<b>\$ 12,332.00</b>	<b>\$ 62,289.32</b>	<b>\$ 20.41</b>
<b>PROJECT PARTICIPANTS</b>			
Federal Highway Administration	80.00%	\$ 10,000.00	\$ 80,000.00
CITY	20.00%	2,332.00	2,289.32
<b>TOTAL PARTICIPANT COSTS</b>		<b>\$ 12,332.00</b>	<b>\$ 62,289.32</b>
<b>CALCULATED AMOUNT DUE/DUE</b>			
CITY'S SHARE OF COSTS		\$ 2,332.00	\$ 2,289.32
LESS: PRIOR DEPOSITS/PAYMENTS			(3,000.00)
INTEREST			
<b>AMT DUE TDOT ON BALANCE REMAINING</b>	<b>\$ 2,332.00</b>	<b>\$ 2,289.32</b>	<b>\$ (3,000.00)</b>



Chapter 9: Billing Procedures

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## 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

A Copy of this is available in your supplemental packet --- page 40

**PIN**

**Funds Remaining**

**\$0.00**

Status as of 4/14/2016

DSN Contract		
Beginning Date	Ending Date	Maximum Amount

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

Enter Starting Balances Above.

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


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



## Money Tracker


A Copy of this is available in your supplemental packet --- page 40

Invoice #	DATE	EXPENDITURE AMOUNT					NOTES
		NEPA	DESIGN	ROW	CONST	OVERS	


 Chapter 9: Billing Procedures

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## Need More Money?



- Funds must be available in the TIP/STIP
- MPOs email modification/amendments to LPDO and [STIP.Requests@tn.gov](mailto:STIP.Requests@tn.gov)
- Modifications vs. Amendments
- Contact Program Monitor to adjust funds

 Chapter 9: Billing Procedures

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## Common Issues

- Submitting invoices for more funds 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

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## Common Issues, Continued

- Not submitting actual invoices
- Missing signatures on cover sheet or backup documents
- Rounding errors
- Invoice date not within 5 days of submittal
- Not submitting for review in eGrants

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## Invoicing FAQs

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

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## Poll Time!!!

Invoices can be submitted via both eGrants and [LPD.invoices@tn.gov](mailto:LPD.invoices@tn.gov) for every project.

- a) True
- b) False

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Questions?

TN TDOT Department of Transportation  
IN COOPERATION WITH THE FEDERAL HIGHWAY ADMINISTRATION

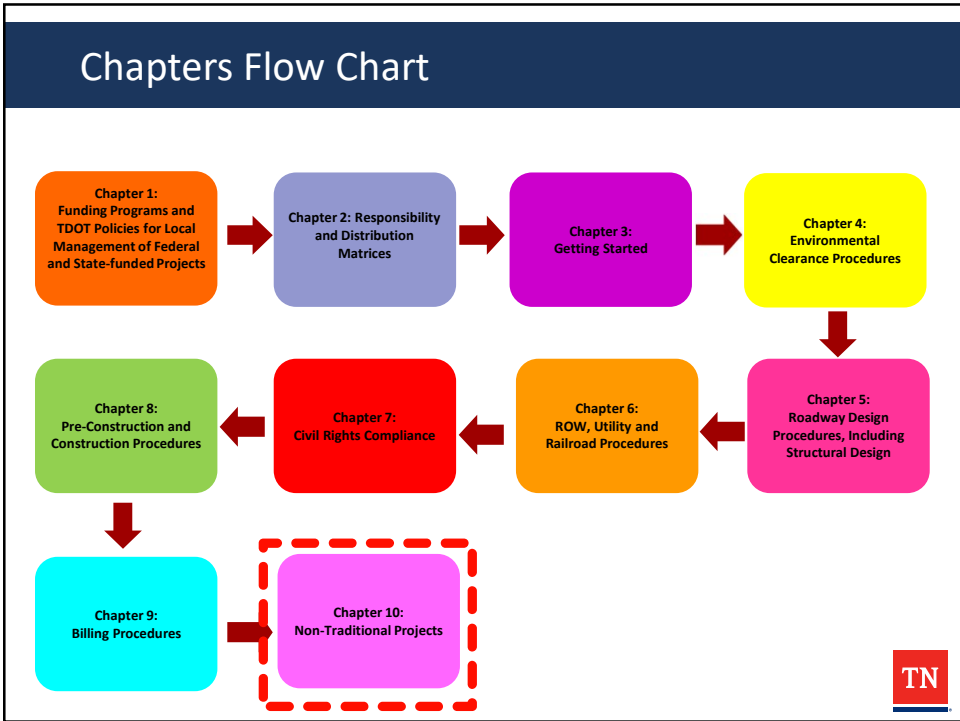
**LOCAL GOVERNMENT GUIDELINES**  
FOR THE MANAGEMENT OF FEDERAL AND STATE-FUNDED TRANSPORTATION PROJECTS

ISSUED BY THE LOCAL PROGRAMS DEVELOPMENT OFFICE  
EIGHTH EDITION  
JUNE 1, 2023

TN TDOT Department of Transportation

Chapter 9: Billing Procedures

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# Project Close Out

## Closeout Documents in eGrants

### Surface Transportation Block Grant Menu

Document Information: 654321.00-STP-TDOT\_Test\_Agency.Co-091

[Details](#)

Info	Document Type	Organization	Role	Current Status	Period Date / Date Due
	Surface Transportation Block Grant	<a href="#">TDOT_Test_Agency.Co</a>	Agency Administrator	Project Closeout in Process	N/A - N/A N/A

#### View, Edit and Complete Forms

Select the **View Forms** button below to view, edit, and complete forms.

**VIEW FORMS**

#### Closeout Forms

- [Project Closeout Procedures](#)
- [TDOT Project Closeout Procedures](#)
- [Miscellaneous Closeout Attachments](#)

Closeout Documents in eGrants

Document Information: [654321.00-STP-TDOT Test Agency Co-091](#)  
[Details](#)

You are here: > [Surface Transportation Block Grant Menu](#) > [Forms Menu](#)

---

**PROJECT CLOSEOUT PROCEDURES**

When all work is complete, the Local Government Official responsible for the administration of the project or the CEI shall submit the following items to ensure all work was completed according to the Local Government Guidelines Manual and State and federal regulations. Please refer to Section 8.4 of the [Local Government Guidelines Manual](#) for information related to closing out your project.

**Material Certification (DT-1696LP):**  No file selected. \*

**Final Inspection Checklist:**  No file selected. \*

**Completion Notice:**  No file selected. \*

Claim Notice Advised:  Claim Notice Expires:


**Contractor's Labor and Materials Affidavit:**  No file selected. \*

Final Estimate and Summary Change Order:  
Were DBEs used on the project? \*  Yes  No

No reimbursement requests can be submitted after the End of Job Certificate is uploaded.

**End of Job Certificate:**  No file selected. \*

For TDOT's Retention of Records Policy that must be followed, please refer to Section 8.4.5 of the [Local Government Guidelines Manual](#).




Chapter 10: Non-Traditional Projects

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**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




Chapter 10: Non-Traditional Projects

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## 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


Chapter 10: Non-Traditional Projects

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Local Government Guidelines Form 8-33  
June 1, 2023

Completion Notice

Manager: TDOT Local Programs Office  
 509 Building, Suite 600  
 555 Deaderick Street  
 Nashville, TN 37243-0344

**RE: COMPLETION NOTICE**  
 PIN: \_\_\_\_\_ State Project No.: \_\_\_\_\_  
 County: \_\_\_\_\_ Contract No.: \_\_\_\_\_  
 Federal Project No.: \_\_\_\_\_ Reference No.: \_\_\_\_\_  
 Description: \_\_\_\_\_

**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 *pdobus*, sending a Completion Notice.)  
 If any exceptions, date completed: \_\_\_\_\_

Sincerely,

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

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## 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

### 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



Local Government Guidelines Form 6-34  
June 1, 2023

**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




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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](#)



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## 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, LG **must** send a copy to the TDOT Civil Rights Office and the LPDO



## Certification Re: Money Paid to Disadvantaged Business Enterprises



Local Government Guidelines Form 8-35  
June 1, 2023

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

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

has been paid in full, per the amount of the contract for actual work performed on:

Contract No. \_\_\_\_\_ County \_\_\_\_\_, as of \_\_\_\_\_

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

DISADVANTAGED BUSINESS ENTERPRISE	AMOUNT
_____ Firm Name _____	_____ Original DBE Subcontract \$
_____	_____ Original DBE Subcontract Date

PRIME CONTRACTOR: \_\_\_\_\_  
 SIGNATURE: \_\_\_\_\_ Paid to date  
 TITLE: \_\_\_\_\_ Est. final pmt.  
 DATE: \_\_\_\_\_ TOTAL

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

has paid the named DBE, in full, per the amount of the contract for actual work performed on:

Contract No. \_\_\_\_\_ County \_\_\_\_\_, as of \_\_\_\_\_

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


DISADVANTAGED BUSINESS ENTERPRISE	AMOUNT
_____ Firm Name _____	_____ Original DBE Subcontract \$
_____	_____ Original DBE Subcontract Date

SIGNATURE: \_\_\_\_\_ Paid to date  
 TITLE: \_\_\_\_\_ Est. final pmt.  
 DATE: \_\_\_\_\_ TOTAL



## End of Job Certificate

- After verifying all records, work performed, 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 form 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


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Local Government Guidelines Form 8-36  
June 1, 2023

# End of Job Certificate

## END of JOB CERTIFICATE

Project Title/Termini: \_\_\_\_\_

Owner: \_\_\_\_\_

Address: \_\_\_\_\_

Date Prepared: \_\_\_\_\_

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

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

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

Contract No.: \_\_\_\_\_

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

The foregoing record, as noted on the various forms and for the various items, is a true representation of the work done by \_\_\_\_\_, the contractor on the above listed contract, and any part of the record which has been copied from the field books is a true copy of the field notes.

Furthermore, I certify that all work on this contract, including all amendments thereto, has been satisfactorily completed and is accepted as complete, subject to the terms and conditions of the contract and specifications; and that all charges or bills for labor or services performed or materials furnished, and other charges against the project, including those incurred by subcontractors, have been paid in full and in accordance with the terms of the contract.

By signing below, I am stating all eligible invoices have been submitted to TDOT and reimbursement has been received by the owner.

Signed: \_\_\_\_\_

Local Government Official


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## 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.

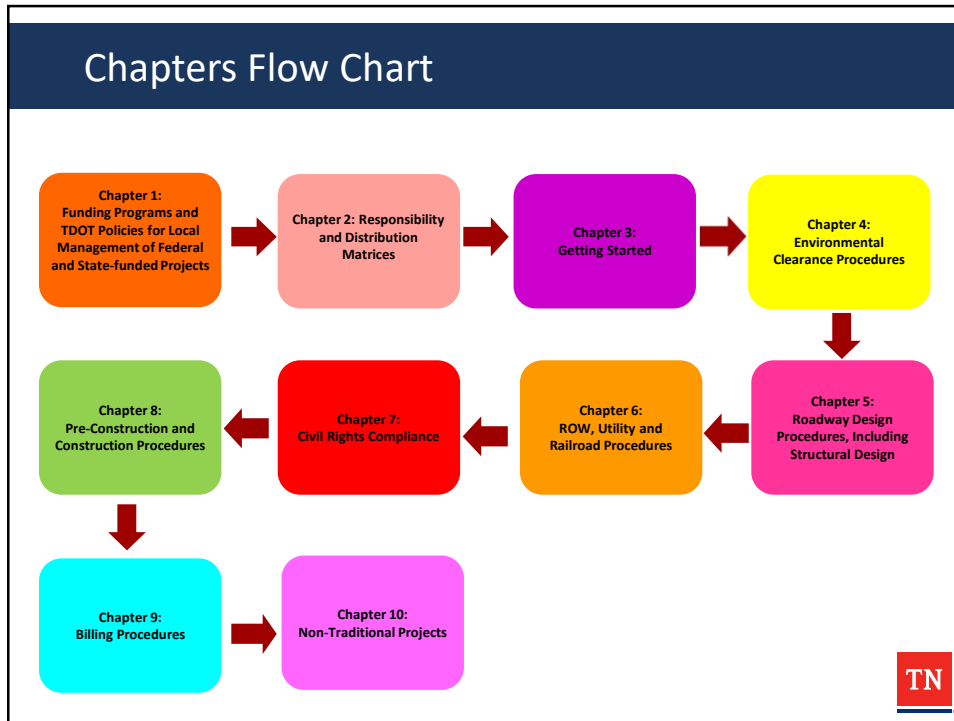
Should you have any questions, please contact me at 615-741-5314 or via e-mail at [Local.Programs@tn.gov](mailto:Local.Programs@tn.gov).

## 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
- Not submitting documents within 90 days of project completion

## Questions?





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# It's time to... Name That Phase!

TN

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## Rules of the Game

- Answers are based on a project in which all applicable phases are funded.
- The 6 Phases of Project Development are:
  - Eligibility Determination
  - NEPA
  - Design
  - Right of Way
  - Construction
  - Closeout



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## In what phase do the following occur?

DBE goal established -

Initial Surveying -

ROW Plans Submitted -

Proprietary Item Request -



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### In what phase do the following occur?

Environmental  
Permits Obtained -

End of Job Certificate -

Bid Book Submitted  
for Review -

CEI Hired -



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### In what phase do the following occur?

LG Responsible  
Charge Person Chosen -

Bid Award Concurrence -

Advertisement for  
Claims -

Utility Coordination -



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### In what phase do the following occur?

DBE Award Information -

Native American  
Coordination-

Project Initiation Form -

Design (PE) Plans  
Submitted -



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### BONUS QUESTION:

Title VI Certification -



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Thank you!



TN

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