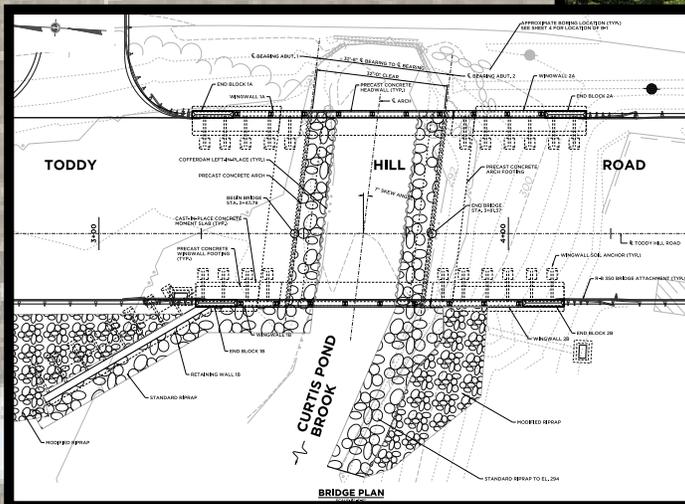


CONNECTICUT DEPARTMENT OF TRANSPORTATION

LOCAL TRANSPORTATION CAPITAL IMPROVEMENT PROGRAM

GUIDELINES

MARCH 2019



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Introduction

This March 2019 update of the Local Transportation Capital Improvement Program (LOTICIP) is the third edition of the guidelines since the program's inception in November 2013. The program is now in its fifth year and has transitioned from a ramp-up period to successful continuous operation with regular Council of Government (COG) solicitations for new proposals and relatively steady output of construction projects. In keeping with the Connecticut Department of Transportation's (Department) original commitment to modify and improve the guidelines as the LOTICIP matures, this updated document is a reflection of lessons learned, clarifications of information and other minor revisions. It is anticipated that these modifications will continue to facilitate achievement of the two main goals of the LOTICIP, as set forth below. The continued success and stable funding of the LOTICIP necessitates the various COGs working together with their member towns to maintain and monitor individual project schedules and overall program delivery. The Department provides regular updates on the LOTICIP at regularly scheduled RPO/COG quarterly meetings held at the Department's Newington headquarters. Should there be any questions with regard to the LOTICIP, please contact the Department's Local Roads section at (860) 594-3219.

Purpose:

The purpose of the LOTICIP is to provide State monies to urbanized area municipal governments in lieu of Federal funds otherwise available through the Federal transportation legislation. The LOTICIP is provided for in Connecticut General Statute (CGS) Sec. 13a-98n. The LOTICIP was established with substantially fewer constraints and requirements, set forth herein, than currently exist when using Federal Title 23 USC funds. The Department sets forth two main goals of the LOTICIP:

1. To establish a State-funded program that allows eligible municipalities to perform capital infrastructure improvements with less burdensome requirements; and
2. To minimize the number and level of State resources (staff) involved in the oversight of municipal infrastructure improvements and to focus those resources on the Federal-Aid program on more regionally-significant improvements of State-owned facilities. The Federal monies typically used for improvements on municipally- owned facilities in the Surface Transportation Block Grant (STBG) Urban program may be utilized by the Department for eligible activities predominantly on State-owned assets.

Background:

In order to administer the Federal Highway Administration's (FHWA) \$50-60 million STBG-Urban program, the Department historically has devoted a significant amount of resources that include staff from the Project Development Unit, Local Roads section, and four District Construction Municipal Systems Action Team (MSAT) groups. Much of this effort is expended to ensure Federal Title 23 requirements are met as a condition for the use of Federal funds. In simple terms, Federal Title 23 requirements are designed so that a

thorough, well thought out process is followed to ensure that when any given project is built, all interrelated issues such as design reviews, public involvement, environmental concerns, contracting requirements, etc. are properly vetted prior to construction. This process is not necessarily conducive to smaller infrastructure improvements administered by a Municipality. The Department regularly designs and oversees projects that meet these requirements on the State-owned highway system and is very familiar with Title 23 requirements. Many municipalities find the FHWA STBG-Urban program burdensome, time consuming, and expensive to execute projects that meet Title 23 requirements on small locally-owned roadways that qualify for Federal aid. The Federal American Recovery and Reinvestment Act of 2009 (ARRA) legislation and subsequent large number of municipal projects also brought focus to the project delivery difficulties facing municipalities. Time spent by both municipal and State resources could be better utilized on the programs they are most familiar with.

Based upon the information above, and in an effort simplify municipalities' ability to implement capital infrastructure improvements while concurrently minimizing the use of Department resources, legislation was drafted in July 2012 to establish the LOTCIP. Public Act 13-239, section 74 was subsequently passed in the spring 2013 legislative session to formally establish the LOTCIP.

The original LOTCIP guidelines were developed in a joint and cooperative effort by members of the Department, regional COGs, and municipalities of the state. The guidelines in their draft form were distributed to the urbanized COG's for review and comment prior to the November 2013 effective date of the LOTCIP. The Department's goals were to develop a program under which the requirements would be substantially less complex than Federal Title 23 parameters, yet reasonably satisfy Department, COG, and Municipality needs to ensure a quality, long term capital improvement with minimal Department oversight and to maintain reasonable program flexibility. CGS sec. 13a-98n allows for, and the Department is committed to, reviewing and modifying these guidelines as necessary to achieve these objectives.

General Overview:

Under the LOTCIP, the COGs across Connecticut will be responsible for the solicitation, ranking and prioritizing of their municipal members' project proposals. Each COG will develop their own respective ranking process and are encouraged to share ways, means and lessons learned with each other. Periodic solicitations will be done on an as-needed basis to develop a sufficient level of participation commensurate with their respective funding allocation. Upon receipt of a project package, the Department will screen submittals resulting from the COG process to ensure eligibility and the proposed purpose and need is met with a reasonable solution.

By participation in this program and the associated certifications required in these guidelines, the primary responsibility for design standards, oversight, rights of way acquisition, environmental permitting, and quality assurance/quality control during construction is with municipal officials and not the Department. Initial review of municipal applications and related materials by State personnel is intended to determine eligibility, and to confirm project purpose and need and service life of the proposed improvements.

General reviews by State personnel at the application stage and of the final package are not to be construed as detailed checks of every aspect of the project. The Department relies on the Municipality for both the actual correct design and complete checking of every aspect of the design by their personnel. It is the Department's intent that construction contracts for projects in the program will be advertised and awarded through a fair, open and competitive low-bid process. An overview of the LOTCIP process is shown in the flow chart included in Appendix A.

Application Process/Preliminary Project Submittals

General:

Projects to be funded under the LOTCIP will require that an application be prepared and submitted to the Department through the COG. Supporting information specific to the project being proposed will also be required to be submitted with the application. The blank LOTCIP application is included in Appendix B.

Project Eligibility:

Projects must meet the eligibility requirements of the Federal STBG-Urban Program. Basic eligibility criteria for two of the most common improvement types include:

- In general, LOTCIP projects must be located on a roadway classified as an urban collector or higher on the Departments Functional Classification database.
- Exclusive (stand-alone) sidewalk projects may be considered eligible along other roadway classifications.
- Bridge improvements may be eligible on other roadway classifications as long as the Federal definition (20 feet or greater span length as defined in 23 CFR 650.305) of a bridge is met.

Functional Classification Maps are available on the Department's website at <http://www.ct.gov/dot/maps>.

Project Selection:

The following are general guidelines for project selection:

1. Pavement preservation, pavement rehabilitation, and exclusive (stand-alone) sidewalk projects should be limited to approximately 15% of the COG's annual LOTCIP funds, or \$500,000 total project cost, whichever is greater. That is, a COG may pursue a combination of new sidewalk and pavement rehabilitation projects for up to 15% of its annual funding, but not 15% for each type of project. Note that full-depth reconstruction, where warranted, is exempt from this cap.
2. Although transportation enhancement/alternative projects will be eligible for LOTCIP funding without an explicit cap initially, it is expected that the COGs will limit funding allocation for such projects to a reasonable level.
3. Projects must have a minimum construction cost of \$300,000 to qualify for LOTCIP funding.
4. Projects that have received a Commitment to Fund from the Federal Local Bridge Program will not be considered for LOTCIP funding. The Federal Local Bridge Program has historically been an underutilized fund source thus, to minimize the potential of lapsing federal funds, programming Federal Local Bridge funding is a priority.

5. Projects that have received a Commitment to Fund from the State Local Bridge Program cannot receive a Commitment to Fund from LOTCIP unless the project is withdrawn from the State Local Bridge Program.
6. Planning studies may be eligible to utilize LOTCIP as a funding source; however, if a COG elects to apply LOTCIP funds to any planning study, it must be screened and selected in accordance with the Department's current Planning Study Selection Process. Planning studies will not be administered in accordance with the LOTCIP guidelines. Funding of capital improvements is one of the primary objectives of LOTCIP; therefore, the Department reserves the right to limit the number of studies funded by the LOTCIP.

The LOTCIP is primarily intended to address regional transportation priorities through capital improvement projects prioritized and endorsed by the COGs, not for maintenance-type work. The LOTCIP was not conceived as a municipal aid or sub-allocation program. COGs should select projects based on regional transportation priorities, deficiencies identified in their long range plans, and the specific merits of the individual projects. Thorough scoping in the earliest stages of project planning to address the purpose and need helps avoid unnecessary re-scoping and re-design.

Application Solicitation:

COGs must solicit and prioritize projects as necessary to ensure that there are a reasonable number of candidate projects available to fully utilize the LOTCIP funding allocation. To aid the COGs in solicitation efforts, the Department will conduct yearly LOTCIP meetings with each individual COG to review the overall financial status of the program. Results of this meeting may be used, in coordination with the Department, to plan future project solicitations. Further information is available in the Financials section of the guidelines.

COGs, at their discretion, may work with member municipalities to pre-screen project proposals prior to submitting a formal application to the COG to evaluate the likelihood of regional endorsement. This two-step process would prevent the preparation of a complete application, which may involve substantial data collection, preliminary concept-level engineering and costs to the Municipality prior to any indication from the COG on how it may be prioritized. It is strongly recommended that COGs adopt this type of an initial screening process.

Party Responsible for Application Preparation:

The Municipality (or municipally-hired consultant) is responsible for preparing the LOTCIP application and any required supporting documentation.

Completeness of Application:

A properly completed LOTCIP application represents a commitment of time and resources. This is required to demonstrate that the concept has been thoroughly considered by others so that a detailed technical review will not be required by the Department.

It is essential that the application be complete, as missing information will directly delay the review process by the COG and the Department.

Application Review by COG:

Upon completion of the LOTCIP application, the Municipality must forward the application and all supporting documentation to the COG. The COG will be responsible for performing a thorough review of each application package and requesting from the Municipality any additional information necessary to fully evaluate the project being proposed.

The COG, through staff review, municipal peer review, or consultant-supported review, must thoroughly evaluate each application for:

1. Project eligibility
2. Valid project purpose and need
3. How the project will address the purpose and need
4. Consideration of proposed impacts including environmental, rights of way, utilities, etc.
5. Checking of estimated project costs
6. Inclusion of all required supporting documentation

Submission of Application to the Department:

The COG will be responsible for forwarding the application(s) it supports for inclusion into the LOTCIP to the Department. Applications are to be submitted as specified in the LOTCIP application. All applications and supporting materials are to be submitted electronically.

Endorsement/Recommendation of LOTCIP Application:

LOTICIP applications submitted to the Department by the COG are to include the following in the appropriate place in the application:

1. Signature and stamp of the Professional Engineer preparing the application and supporting documentation. This may be the municipal engineer or a consultant hired by the Municipality.
2. Signature of the municipal Chief Administrative Officer indicating the Municipality's support and recommendation of the project for inclusion in the LOTICIP.
3. Signature of the Executive Director of the COG indicating the COG's endorsement and recommendation of the project for inclusion into the LOTICIP.

Cost Participation:

1. COG Costs

Each COG may be allocated a defined amount of LOTCIP funds for general LOTCIP program administration costs, as specified in the State/COG agreement providing the administrative funds.

2. Municipal Costs

All costs associated with preparing, reviewing, and submitting the LOTCIP application and any required supporting documentation by the Municipality are not eligible for LOTCIP participation. This includes the cost of any consultant services procured by the Municipality in the application process. This is considered part of the Municipality's share of the project costs.

3. Agreements

If the COG elects to receive LOTCIP funding for costs identified above, this will be drawn from the COG's allocation of LOTCIP funds. These funds will be conveyed to the COG as a lump sum amount through a State/COG Agreement, which includes special conditions with respect to the use of the administrative funds by the COG.

Application Review Process by the Department:

Subsequent to submission of the LOTCIP application by the COG, each proposal will be reviewed by the Department. The review will consist of an on-board meeting attended by a group of experienced Department engineering staff to thoroughly screen the application, using the information/materials submitted, electronic media mapping (e.g. Streetview) and any other resources available to the Department. The intent of this review process is to provide high-level guidance and comments to the Municipality to initiate a dialogue prior to a formal funding commitment from the Department to allow the Municipality to commence design activities in accordance with these guidelines. This review will consist of, but is not limited to:

1. Confirmation of completeness of application package
2. Confirmation of project eligibility
3. General review of project purpose and need
4. General confirmation that project will address purpose and need

NOTE: The Department may request additional information to support or clarify aspects of the application package. The primary intent of the application review is to ensure the above criteria are met. The Department will not perform detailed technical reviews of project scope, cost estimates or any other supporting documentation, etc. Under the LOTCIP, such reviews are the responsibility of the

Municipality and the COG, as will be documented in a complete, signed application package. Timely response to the Department's comments by the Municipality will facilitate progress toward issuance of the formal funding commitment.

Projects on or affecting State Facilities:

In general, there are two possible scenarios based on the level of impact to State facilities:

1) Projects with minor or incidental impacts to State facilities:

Minor improvements on or affecting a State facility will be administered in accordance with the LOTCIP guidelines. Any work on or affecting a State facility may require an encroachment permit. The Municipality must coordinate with the Department's Office of Maintenance during the design phase to ensure the design is acceptable and an encroachment permit will be subsequently issued.

2) Projects primarily on or with significant impacts to State facilities:

Prior to developing the application, the Municipality, through the COG, must contact the Department to discuss the specifics of the project and how it can best advance through design to construction. Based on those discussions, it will be collectively determined that one of the following scenarios apply:

- a. The Municipality administers the project in accordance with the LOTCIP guidelines. Coordination with the Department's Office of Maintenance must occur during the design phase in order to ensure the design is acceptable and an encroachment permit will be subsequently issued.
- b. The Municipality administers the project generally in accordance with the LOTCIP guidelines. However, a Department design review process may be established based on the complexities/specifics and location (e.g. impact to State-owned facilities) of the project.
- c. The design, rights of way, and/or construction phase(s) would be best administered, overseen, and/or performed by the Department. Projects administered, overseen, and/or performed by the Department will not be developed and constructed in accordance with the LOTCIP guidelines. LOTCIP will only serve as a fund source to the project.

Information Provided by the Department:

For projects approved for funding by the Department under the LOTCIP, the Department will perform an environmental screening review, based on information provided in the LOTCIP application, to assist the Municipality in achieving compliance with the Connecticut Environmental Policy Act (CEPA). The purpose of this review is to assist the Municipality in identifying items relative to natural resources, historic/archaeological resources, endangered species etc. that are to be investigated and/or addressed during

the design phase. Should the project involve any Federal actions (i.e. Federal permitting, use of Federal funding, etc.) additional Federal requirements may result, such as adherence to the Federal Endangered Species Act, etc. that may be identified as part of the environmental screening review or later in the design process. Upon completion of the environmental review, the results will be provided to the Municipality and the COG.

Note: It is the Municipality's sole responsibility to address concerns and items identified in the environmental screening review and perform all necessary follow-up to ensure full compliance with CEPA. This often requires the Municipality to directly coordinate with other State/Federal/Local agencies (i.e. completion/submission of Project Review Cover Form and related attachments to the State Historic Preservation Office (SHPO)).

Application Approval/Commitment to Fund/Authorization to Proceed with Design:

Upon conclusion of the Department's review of the LOTCIP application, the Municipality and the COG will be informed in writing by issuance of a Commitment to Fund (CTF) letter. This CTF denotes final application approval, authorization to proceed with the design phase, and the beginning of the preliminary engineering/project design phase.

Preliminary Engineering/Project Design

General:

Projects approved for funding under the LOTCIP will require that a complete project design be prepared in accordance with designated design standards. Certain procedures must be followed, and documentation submitted to the Department, as described in these guidelines.

Party Responsible for Preliminary Engineering/Project Design:

For projects funded under the LOTCIP, **all design activities necessary to advance the project to construction will be the responsibility of the Municipality.** Design and design-related activities include, but are not limited to:

1. Survey
2. Stage development of design for all elements of the project as applicable, including roadway, hydraulics, drainage, traffic, structures, roadside safety considerations, etc.
3. Environmental permitting
4. Utility coordination (including test pits)
5. Right of way mapping
6. Hazardous/contaminated material identification, remediation plans and specifications
7. Coordination with Federal, State, and local agencies, as necessary
8. Compliance with CEPA, as applicable
9. Development of final plans, specifications, estimate, and related contract documents

NOTE: The Department will not perform any detailed technical reviews of project design and related documents during the preliminary engineering phase. Under the LOTCIP, such reviews are the responsibility of the Municipality and the COG.

Municipalities may utilize municipal staff or consultants (or a combination thereof) to perform the project design activities.

Consultant Selection, Fee Negotiations, Contracts:

If the Municipality elects to use a consultant to perform all or part of the design, it is recommended that the Municipality utilize its established local procedures to procure the design services, establish the fee, and execute a contract with the consultant. ***The Department will not be reviewing consultant selection materials, scopes of services,***

fee negotiation materials, or contracts/agreements, etc. relative to the design phase.

However, in an effort to ensure that scopes of services are complete, design fees are reasonable, and contracts/agreements are sound, it is strongly recommended that Municipalities and COGs employ a review process whereby individuals with expertise in these areas are consulted. These individuals can be other municipal engineers, COG staff, etc.

Design Standards/General Design Requirements:

Municipally-owned Facilities: Projects on locally-owned roadways are to be designed in accordance with established design standards. These standards can be formally established municipal geometric and other applicable design standards. In the absence of formally established municipal geometric and other applicable design standards, projects shall be designed in accordance with the latest edition of the American Association of State Highway and Transportation Officials (AASHTO) Policy on Geometric Design of Highways and Streets or the Department's Highway Design Manual and all other applicable Department standards. **It should be noted that utilization of Municipal design standards is not to be confused with the need to provide a proper level of design detail, commensurate with the proposed scope of improvements.**

State-owned Facilities: Projects on State-owned roadways or that call for project components to be constructed within the State right of way shall be designed in accordance with the Department's Highway Design Manual and all other applicable Department standards.

- **All projects shall comply with the 1990 Americans with Disabilities Act (ADA).**
- The Manual of Uniform Traffic Control Devices (MUTCD) shall be followed for all projects as applicable.
- Pavement design shall be in accordance with the 1993 AASHTO Guide for Design of Pavement Structures.
- For bridges and structures, design criteria shall be consistent with the latest edition of the AASHTO LRFD Bridge Design Specifications and the Department's Bridge Design Manual.

Load Rating Requirements for Structures: Because the Department maintains a structure inventory and performs routine bridge inspections on both State and Municipally-owned structures, load ratings are required to be prepared and submitted to the Department for review and approval. These ratings shall be prepared in accordance with the most current version of the Department's Bridge Design Manual and Bridge Load Rating Manual, as applicable. Load rating requirements may vary depending on the type of structure and/or scope of structure improvements proposed. For designed structures, load ratings must be submitted as part of the Final Submission package. For pre-fabricated structures (i.e. culverts) load ratings must be submitted as part of the shop drawing approval process.

Regardless of which design standards are used, the design plans and related documents must be developed to a sufficient level of detail as to facilitate a full and complete review of the design prior to the project being approved for advancing to construction. Additionally, the design plans and related documents must contain an adequate level of information and detail such that the project can be accurately and properly constructed by a contractor.

The level of design detail required for a given project must be commensurate with the complexity of the proposed scope of improvements.

The COGs and the Department reserve the right to require the municipal designer to provide a higher level of detail, as appropriate.

Exceptions to Geometric Design Criteria:

Any exceptions from the design criteria utilized for LOTCIP projects on locally-owned roadways must be authorized by the Municipality and be fully documented and retained in the project records. The Department will not be involved in the design exception review and authorization process. The Department recommends the fifteen controlling criteria cited in section 6-6.02, Controlling Design Criteria, of the Department's Highway Design Manual, as may be revised, for use in the exception process. All exceptions from controlling criteria must be based on sound engineering judgment.

Non-Participating Project Elements/Items:

Non-participating project elements/items can be considered:

1. Project elements/items that are not eligible for funding participation in Federal or other State programs, based on regulations and/or current policies and procedures (i.e. project improvements on ineligible roadway classification)
2. Project elements/items that the Department deems non-participating, based on current practices (i.e. reasonable level of landscape amenities, downtown streetscape features, etc.)

Although certain elements and items may be deemed non-participating, determinations may be made on a project-specific basis to allow the Municipality to include these project elements/items at 100% Municipal cost.

Proprietary Items:

Use of any proposed proprietary items (i.e. sole source) are to be approved by the Municipality. Such approvals must be documented and retained in the project records.

Utilities:

Coordination should be established early in the design process with utility companies that have facilities in the project area, as well as with any utilities that currently do not have facilities present but may have plans to expand service to the area. This will ensure that any potential conflicts are identified early and properly addressed. This will also help to

identify any future plans for betterments or other utility work that may compromise or adversely affect the service life of the proposed improvements.

Utility conflicts identified during construction can result in costly change orders and/or project delays. Therefore, utility test pits to locate existing facilities and identify potential utility conflicts shall be completed during the design phase.

Note: Costs associated with utility betterments/upgrades that are not required to accommodate the proposed transportation improvement are not eligible project costs.

Service Life of Proposed Improvements:

The LOTCIP is funded with 20-year State bonds. Therefore, projects funded under the LOTCIP must be designed to provide an approximate 20-year service life of the proposed improvements commensurate with the duration of the bonds. This will include the use of 20-year projections of traffic volumes and full-depth pavement design for an approximate 20-year service life. A simplified method of deriving 20-year projected traffic volumes is provided below to assist the Municipality in computing service life and completing the LOTCIP application.

Pavement design life is determined by the proper computation of cumulative equivalent single axle loads (ESALs) used in conjunction with the 1993 AASHTO Guide for Design of Pavement Structures. Simple tools and guidance for pavement design can be found on the Department's Pavement Management Unit web page under "Pavement Design Documents" at <http://www.ct.gov/dot/cwp/view.asp?a=1400&q=432392>.

Exceptions to Service Life:

Pavement rehabilitation projects may target a 15-year design life; however, cost-effectiveness is diminished for shorter design life periods.

Pavement preservation which is limited to structurally sound pavements only, is exempt from a service life requirement.

Existing and 20-year Projected ADTs and Turning Volumes:

Existing volumes should be no more than 3 years old. For the purposes of LOTCIP, 20-year traffic volume projections may be computed using the following simple growth factors:

1. Within urbanized areas: 0.5% per year (10% growth over 20 years)
2. Within rural areas: 1.0% per year (20% growth over 20 years)

The urban/rural boundaries to be used are the latest boundaries published on the Department's Functional Classification maps for each municipality.

Environmental Permitting:

All environmental permitting is the responsibility of the Municipality. The Department will not be involved in permit preparation, review, or coordination with the regulatory agencies.

While projects that qualify under this program are not deemed State actions when the improvements are on a locally-owned roadway or facility (CGS 13a-98n) and therefore not regulated under Connecticut's Flood Management Act, applicants should be aware that this does not preclude the need to ensure project compliance with the flood ordinance of the local Municipality and the requirements of FEMA's National Flood Insurance Program.

Please be advised that any project that involves work within waters or wetlands may require State and/or Federal environmental permits (i.e. section 404 federal Clean Water Act, Section 401 Federal Clean Water Act, and Connecticut Water Diversion Policy Act). In the case where projects are required to obtain other State permits from the Connecticut Department of Energy and Environmental Protection (DEEP), including but not limited to Diversion Permits or Water Quality Certifications, those projects will most likely be reviewed for compliance with State and FEMA hydraulic and hydrologic guidelines, standards, and requirements.

It is strongly recommended that the Municipality or their consultant contact both the DEEP Inland Water Resources Division (IWRD) and the New England District Army Corps of Engineers (USACE) early in the design process to discuss permitting requirements and to identify specific environmental concerns and design considerations.

If specific concerns are identified, the Department hosts a monthly Interagency Coordination (Municipal) meeting at which the regulatory agencies are present to provide input and/or direction toward resolution of environmental/permitting issues. The intent of this meeting is to provide a forum and guidance for municipal staff to discuss municipal projects with the regulatory agencies. At this meeting, Municipality staff or its engineer present their projects to DEEP IWRD/DEEP Fisheries staff, and USACE staff. The only representation from the Department will be Environmental Permit Coordination staff. This portion of the Interagency Meeting allows Municipalities the opportunity to ensure compliance with 401 Water Quality Certification and other environmental permitting requirements.

The Municipality may request to attend this meeting by contacting the Department's Environmental Permitting Coordination Unit at the following:

DOT-EPC@ct.gov

Filing an application with finalized design plans without previously engaging the DEEP Inland Water Resources Division in a pre-application consultation may result in significant time delays in the permitting process due to the need for design changes and/or denial of the application.

Environmental Permitting Contact:

Connecticut DEEP
Inland Water Resources Division
79 Elm St.
Hartford, CT 06106-5127
Phone: (860) 424-3019

Public Involvement:

It is the Department's policy to engage in effective public involvement efforts during the planning, design, and construction of transportation improvement projects. Projects in the LOTCIP will therefore require public involvement opportunities. Public involvement is the principal mechanism for identifying stakeholders and their concerns. Early coordination improves the opportunity for meaningful consideration of issues and their efficient resolution. Encountering a significant concern late in the process is inherently problematic since modifications are more disruptive and expensive. To avoid this situation, public outreach should be initiated at the onset of the development of any project, and must certainly be made by the 30% design stage.

The extent and specific timing of public outreach for each project is dependent on the project's scope, location, and other factors. A public informational meeting is generally expected for typical projects. The Municipality may elect to have this as an agenda item on a regularly scheduled meeting of boards, councils, or other governing bodies to provide public involvement. Sufficient public notice prior to the meeting and an opportunity for public comment after the meeting is expected. Abutting property owners are typically notified by direct mailing. For very minor projects with no right of way or permit involvement, such as paving projects and traffic signal replacements, a notice in a newspaper with substantial area circulation, posting information on the Municipality's website, and/or a press release to other local media outlets identifying the basic project information and a contact for further inquiry/comment may suffice.

It is required that the Municipality keep a record of the public involvement process including all comments received and how the comments were addressed.

Technical Reviews of the Design:

All elements of the project design should be thoroughly reviewed throughout the design phase to ensure the design is complete and correct, and to minimize the potential for significant cost increases during construction. Because the Municipality will assume full

responsibility for the completeness and accuracy of all aspects of the design, it is highly recommended that a technical review of the design be performed by an independent party.

Technical reviews of the design can be performed by:

1. Municipal staff
2. COG technical staff
3. Peer review (neighboring municipal engineers)
4. Third-party consultant

In general, the Department will not be reviewing any design-related or technical information during the design phase. Typically, no interim submissions or design information will be required to be submitted to the Department until the design is complete and the project is ready to advertise for construction bids.

Scope and Cost Changes during Design:

If there is a change in project scope and/or 20% change in cost, the Municipality will be required to submit documentation in a timely manner after the change(s) is/are identified. The Municipality will submit documentation and justification of the change(s) to the COG for their review and approval. The COG will then submit that information to the Department for review and approval.

Failure to identify and properly notify the COG and the Department in advance of the final design submission to the Department may result in unnecessary project delays.

Eligible Costs, Cost Participation:

1. Project Design
 - a. Costs associated with actual project design and related activities by municipal staff and/or consultants, etc. are not eligible for participation under the LOTCIP. These costs are to be 100% Municipally-funded and are considered the Municipality's share of the project costs.
2. Design Reviews
 - a. Costs associated with design reviews performed by third party consultants, hired by the COG, during the development of the design are eligible costs under the LOTCIP. The costs associated with design reviews by third party consultants are to be drawn from the COG's allocation of LOTCIP funds for program administration.

Project Records:

The Municipality must maintain complete and accurate project records. The Department, at its discretion, may audit project records to ensure compliance with these guidelines.

Final Submission to the Department:

When the project design is completed and the Municipality is preparing to advertise the project for construction bids, the Municipality must forward to the Department, through the COG:

1. A complete set of final project plans, specifications, and contract documents, including the signature and seal of the Professional Engineer preparing the project documents (Engineer of Record).
2. A final construction cost estimate.
3. Final submission documentation.
4. Completed certification forms.

All final submission materials are to be submitted electronically.

It is not the intent of the Department to perform a detailed technical review. The submitted materials will be used to confirm that the project plans and cost estimate are consistent with the project scope and cost approved as part of the application process or as subsequently revised and approved.

Certifications:

The Municipality and project designer (as applicable) will be required to certify that various aspects and elements of the project have been thoroughly vetted, addressed, and included in the design, as applicable. These certifications will be part of the final submission to be made to the Department through the COG upon completion of design and prior to the disbursement of construction funds. Final submission documentation and certification forms are included in Appendix M.

Basic Contract Provisions:

In addition to typical front-end bid documents, project-specific technical specifications, etc., the following items must be adhered to:

- Effective October 1, 2015, Small Business Enterprise (SBE) requirements apply to Municipally-held public works contracts, as required by P.A. 15-5. The Commission on Human Rights and Opportunities (CHRO) is responsible for the administration of these requirements. Refer to the CHRO website for the most current SBE requirements that are to be included in the bid documents and legal notice.
- Disadvantaged Business Enterprise (DBE)/Small Business Participation Pilot Program (SBPPP) goals will not apply to any construction contracts.
- State prevailing wage rates will be applicable to LOTCIP construction contracts; however, certain exclusions may apply. If applicability of prevailing wage rates to a given contract is in question, the Municipality and/or COG must coordinate with the Department and the Department of Labor.

<http://www.ctdol.state.ct.us/wgwkstnd/Contact.htm>

If applicable, the most recent State prevailing wage rates must be included in the construction contract at the time of advertising.

- Local bidder preferences are not allowed.
- It is required that the prime contractor self-perform a minimum of 50% of the total contract value.
- The most current State-required contract provisions are to be included in the contract package and can be found on the LOTCIP web page.

Project Authorization Letter (Municipal/State Agreement):

Upon review of the final submission and confirmation of the project scope and cost, the Department will forward to the Municipality for signature the Project Authorization Letter (PAL) pursuant to their respective executed Master Municipal Agreement for Construction Projects. The PAL will serve as the project agreement between the State and the Municipality for the construction phase and will specify the approved project construction cost based on the final submission. The PAL may also identify other requirements such as maintenance responsibilities for project-specific features, etc. The COG will be copied on the transmittal of the PAL to the Municipality.

The Municipality must sign the PAL and return it to the Department before authorization to advertise the project is issued by the Department.

The amount specified in the original PAL sent to the Municipality will be based on the final estimate submitted with the final submission. It is not to be confused with the actual payment at low bid. The grant payment to the Municipality will reflect the approved low bid amount plus an additional 10% of low bid for incidentals and 10% of low bid for contingencies. If the approved low bid amount exceeds the amount specified in the PAL, a supplemental PAL will be executed.

Authorization to Advertise:

Upon receipt of the signed PAL from the Municipality, the Department will issue authorization to advertise the project to the Municipality. **No Municipality shall advertise a project for construction bids without prior authorization from the Department, otherwise LOTCIP participation in the project may be withheld.**

Project Advertising:

The Municipality is responsible for advertising the project for construction bids utilizing a fair, open, and competitive process. A 28-day advertising period is recommended; a 21-day minimum advertising period is required.

Receipt of Bids/Bid Opening:

The Municipality will be responsible for receiving and publicly opening bids received for the project.

Bid Review and Analysis:

Subsequent to receipt and opening of bids, the Municipality in coordination with its engineer (as applicable), is responsible for analyzing the bids received and ultimately recommending award. A contract shall be awarded to the lowest bidder deemed to be responsible. The bidder/contractor must also be deemed responsive to all bid requirements and must be qualified to perform the work. The review of bids/bidders encompasses four main aspects:

1. Review of Bid Prices in comparison to other bids and the engineer's estimate
2. Bid/Bidder Responsiveness
3. Bidder Responsibility Determination
4. Contractor Qualifications/Experience

1. Review of Bid Prices:

The bid analysis process is an examination of the unit bid prices for reasonable conformance with the engineer's estimated prices. Beyond a comparison of prices, other factors that a bid analysis may consider include, but not be limited to, the following:

- the number of bids
- range of bids
- unbalancing of bids (see explanation below)
- current market conditions
- geographic location of the bidders
- comparison of bid prices with similar projects
- justification for significant bid price differences (between bidders and when compared to the engineer's estimate)
- potential savings if the project is re-advertised
- other factors, as warranted.

Not all of these factors need to be considered for bids that indicate reasonable prices or show good competition. However, when a low bid differs from the engineer's estimate by an unreasonable amount, a thorough analysis of all bids should be undertaken to justify award of the contract.

This review is done to determine whether or not any unbalancing of bids exists and to ensure clarity and consistency of the interpretation of bid documents (plans and specifications) among the bidders and the Municipality. Item prices that show a significant deviation, either among the bidders or from the engineer's estimate, are to be discussed with the low bidder to assure their understanding of the scope and intent of the project plans and specifications. The low bidder should be allowed the opportunity to explain/justify the reason for their item bid pricing.

Upon completion of the Bid Analysis, if there is cause for concern, both in terms of unbalancing or the bidder's understanding of a particular item or project scope, the bidder

should be questioned and allowed the opportunity to respond to the concerns. Generally speaking, this is usually documented in writing via email but may also require a meeting between the Municipality, the engineer, and the low bidder.

In case of a meeting, an agenda should be forwarded to the bidder prior to the meeting so they can be prepared to respond. Minutes should also be taken. If one side would like to bring their legal counsel, they should inform the other side so that both parties can be represented. In most cases, legal counsel is not necessary as it relates to bid pricing analysis.

FHWA's Core Curriculum Manual is a good source of information. The section on Bid Analysis and Award of Contract offers extensive information as it relates to unbalanced bidding.

<https://www.fhwa.dot.gov/construction/cqit/award.cfm>

Unbalanced Bids

There are two types of unbalanced bidding: mathematically unbalanced bids, and materially unbalanced bids.

Mathematically Unbalanced Bids

A bid is mathematically unbalanced if the bid is structured on the basis of nominal prices for some work and inflated prices for other work; that is, each element of the bid must carry its proportionate share of the total cost of work plus profits.

For example, if there is similar work being done in two time periods and there is a large price differential, this is prima facie evidence that a bid is mathematically unbalanced.

It is widely held that there is no per se prohibition of mathematically unbalanced bids. Evidence of a mathematically unbalanced bid is, however, the first step in proving a bid is materially unbalanced.

Materially Unbalanced Bids

A bid is materially unbalanced if there is a reasonable doubt that award to the bidder submitting the mathematically unbalanced bid will result in the lowest ultimate cost to the Government. Consequently, a materially unbalanced bid may not be accepted.

A bid which is materially unbalanced is defective and thus can be voided by the court.

2. **Bid/Bidder Responsiveness**

A responsive bid/bidder is one that meets all the requirements of the bid solicitation (invitation to bid) including submitting all materials required by the bid solicitation. The bid solicitation requirements and any other requirements of the project specifications, including specific contractor qualifications, should be clearly stated “up front” in the solicitation and/or specifications. Providing clear instructions for bidders helps to reduce bidding errors and bid rejections.

3. **Bidder Responsibility Determination**

A responsible bidder is a bidder who has the financial wherewithal and is physically organized and equipped to undertake and complete the contract. A bidder may be considered not responsible due to unsatisfactory past performance, failure to meet the Municipality’s qualification requirements or Federal suspension or disbarment action. The Municipality should search the Federal System for Award Management (SAM) website to determine if the contractor is currently debarred or suspended from working on Federally funded projects.

A non-responsibility recommendation/determination by the Municipality must be coordinated with the Department, and any subsequent notification should be in writing and the contractor should be allowed an opportunity to respond under due process.

For further guidance, refer to the Department’s Construction Contract Bidding and Award Manual (Section G Rejection of Bids or Bidders) at: <https://www.ct.gov/dot/lib/dot/Documents/dcontracts/construction.pdf>

Rejecting a bidder as non-responsible is a serious matter and can have long-lasting negative implications on the bidder.

4. **Contractor Qualifications/Experience**

The Department does not require contractors bidding on LOTCIP projects to be pre-qualified by the Department. However, Municipalities may choose to use the Department’s list of pre-qualified contractors as a resource and is available at the link below. Generally speaking, a contractor should be capable of performing the work, have adequate experience, personnel, equipment, financial resources and a performance record. For more information on Department Contractor Prequalification, please see the link below.

<http://www.ct.gov/dot/cwp/view.asp?a=2288&q=259250>

Withdrawal of Bids:

A bid is an offer until accepted by the owner. Any bidder may request to withdraw their bid. The Department reserves the right to approve such requests for good cause; otherwise, repeated requests could lead to concerns related to responsibility and responsiveness. It should be noted that preparing a bid is costly and it is very rare that a bidder requests to withdraw their bid.

No Municipality can reject a low bid, go to the second or other bidder or reject all bids and re-advertise the project without prior coordination with and approval from the Department. Failure to adhere to this requirement may result in the loss of current and/or future participation in the LOTCIP by the respective Municipality.

Submission of Bid Results/Request for Construction Funds:

After the bid opening and analysis by the Municipality, the following information is to be submitted to the Department through the COG:

1. Date of bid opening
2. Number of bidders
3. Bid tabulation and analysis of lowest three bids
4. Recommendation from the Municipal Chief Administrative Officer for award of the project, based on the bid analysis
5. Certificate of Compliance with Connecticut General Statute 31-57b from the bidder to which award of the project is being recommended
6. Explanation and/or justification if the low bid is 10% above or below the final engineer's estimate
7. Explanation and/or justification if it is determined that the lowest responsible bidder is not the apparent low bidder
8. Recommendation from COG Executive Director for award of the project
9. Anticipated award date

Authorization to Award/Issuance of Grant Payment:

Subsequent to receipt and review of the above documentation by the Department, approval to award the contract to the lowest responsible bidder and commitment to fund the project at the approved low bid amount plus 10% for contingencies and 10% for incidentals will be issued. This approval will prompt a grant payment from the Department to the Municipality for the total amount.

Rights of Way

General:

Projects being funded under LOTCIP may or may not require the acquisition of right of way. Whether or not right of way is required for the project, certain procedures must be followed and documentation submitted to the Department, as described in these guidelines.

The requirements associated with right of way acquisition by Municipalities for construction projects using State-only funding programs (such as LOTCIP) are governed by a formal Engineering Directive issued by the Department's Engineering Administrator. The procedures and documentation requirements described in these guidelines are based on the requirements of the Engineering Directive. **These requirements apply whether or not State (LOTCIP) funds are used for the acquisitions.**

For Projects Where Right of Way Acquisitions Are NOT Required:

When it has been determined by the Municipality that right of way acquisitions are not required for the project, the Municipality must:

1. Certify to the Department through the COG via the General Municipal Certification form that there are no right of way acquisitions required as part of the proposed project. This certification is submitted as part of the Final Submission made to the Department (See Preliminary Engineering/Project Design section).
2. Notify the Department through the COG if it is discovered during the design phase that right of way acquisitions will be required.

For Projects Where Right of Way Acquisitions ARE Required:

Party Responsible for Rights of Way Acquisitions:

When it has been determined by the Municipality that right of way acquisitions are required for the project, acquisition activities may be performed by either:

1. The Municipality or a consultant hired by the Municipality.

If LOTCIP funds are to be used to pay for consultant or other professional services, these services shall be procured as follows:

- a. For costs up to \$50,000, General Letter 71 (see Appendix F) shall be followed.

- b. For costs greater than \$50,000, a fair, open, and competitive procurement process shall be used. Established municipal procurement procedures may be used, provided they meet these criteria.

SBE/DBE/SBPPP goals will not apply to any consultant or professional service contracts.

2. The State, if:
 - a. Determined by the State to be in its best interest, or
 - b. Formally requested of the Department in writing by the Municipality. The Department may or may not be able to accommodate the request based on work load and/or other factors.

The LOTCIP project application submitted by the Municipality through the COG must indicate who the Municipality anticipates will perform the right of way activities (i.e. the Municipality, a consultant hired by the Municipality, or the State).

Eligible Costs:

Costs associated with right of way acquisitions are considered eligible project costs under LOTCIP. This includes the cost of the acquired property as well as the cost of professional services incurred to acquire the property such as title searches, appraisals, negotiations, closings, etc. This applies when either the Municipality, a consultant hired by the Municipality, or the State performs the right of way acquisition activities.

Note: All costs associated with preparation of property maps are considered a design cost and are not eligible for LOTCIP participation.

Cost Participation:

For projects where right of way will be acquired by the Municipality, or a consultant hired by the Municipality, eligible right of way costs can be funded with either:

1. 100% Municipal funds with no participation from LOTCIP
 - a. All costs associated with required right of way acquisitions will be the sole responsibility of the Municipality.

OR

2. 100% LOTCIP participation with no municipal share
 - a. 100% of eligible documented Municipal costs for right of way acquisitions necessary for the project will be reimbursed by the State.

For projects where right of way will be acquired by the State, the cost of all acquisitions will be funded with 100% LOTCIP funds from the respective COG LOTCIP funding allocation.

Acquisition of Property by Donation:

On a given project, some or all properties required may be acquired by donation. In such cases, the property owner must first be offered the opportunity for an appraisal and compensation. If the property owner agrees to donate the property, they must sign a Waiver of Compensation and Appraisal form (see Appendix E for sample).

Acquisition Process Requirements, Agreements, Required Documentation, Reimbursements:

When it has been determined by the Municipality that right of way acquisitions are required for the project, one of the cases listed below will apply. The Municipality must comply with the requirements shown for the applicable case.

1. The Municipality performs right of way acquisition activities for the project with 100% Municipal funds with no participation from LOTCIP:
 - a. The right of way acquisition process and documentation must be completed in conformance with these procedures.
 - b. For each property acquired, the Municipality must submit the following for approval prior to disbursement of project construction funds to the Municipality by the State:
 - i. Property Map
 - ii. Title Certification
 - iii. Appraisal*
 - iv. Written offer*
 - v. Recorded deed
 - vi. Record of payment*

*Waivers of Compensation and Appraisal must be submitted if property is donated to the Municipality (see Appendix E for sample).

It is recommended that the required documentation be submitted as it becomes available to ensure the requirements are met.

- c. Before the initiation of negotiations, the Municipality or its representative shall establish an amount which it believes is just compensation for the acquisition. The amount shall not be less than an approved appraisal of the Fair Market Value (FMV) of the acquisition, taking into account the value of allowable damages or benefits to any remaining property. FMV must be established by an appraisal based upon the uniform standards of professional appraisal practice.
 - d. If the project will result in an eligible person(s) being displaced from their home(s), business(es) or farm(s), as defined in the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (Uniform Act), the Municipality is responsible for meeting the requirements outlined in the Uniform Act. The Municipality will be required to certify as part of the General Municipal Certification that any relocations were completed in conformance with the Uniform Act. **It should be noted that the requirements associated with relocations are more complex; therefore, close coordination with the Department's Office of Rights of Way should be maintained during the process.**
 - e. Agreement: An executed Master Municipal Agreement for Rights of Way Projects (MMA ROW) and Project Authorization Letter (PAL) are not required if the Municipality elects to perform right of way acquisition activities at its own cost with no participation from the LOTCIP.
2. The Municipality performs right of way acquisition with 100% participation from LOTCIP:
- a. The Municipality must comply with requirements 1(a), 1(b), 1(c) and 1(d) of the preceding section.
 - b. Agreement: An executed MMA ROW and PAL will be required to initiate Right of Way project activities. The PAL, which will be prepared by the Department and forwarded to the Municipality for signature, will include project-specific information and an estimate of the ROW costs. If the actual ROW costs should exceed the estimate, a supplemental PAL will be required.
 - c. Reimbursement to the Municipality for eligible Right of Way expenses:
 - i. The Municipality must submit to the Department through the COG the following materials as part of the Final Submission package:
 1. Completed General Municipal Certification form, which includes certification that all right of way activities associated

with the project have been completed, documentation submitted and the necessary requirements have been met.

2. Documented evidence of the following:
 - a. The services provided and who provided the services*
 - b. Invoice(s) detailing the associated expense(s)
 - c. Evidence of payment

* If a provider of services is employed by the Municipality and provides this type of service as part of their normal duties, the expense is not eligible for reimbursement.

- ii. Upon review and approval of the submitted information, the Department's Right of Way Project Coordinator will process a reimbursement payment based on eligible ROW costs. If the reimbursement amount exceeds the ROW estimate, as stated in the executed ROW PAL, a supplemental ROW PAL will be required.

Note: The Department will process ONE (1) reimbursement package for Right of Way activities. All documentation relative to the Right of Way expenses (invoices, evidence of payment, etc.) must be included in the materials submitted in order for the amount to be included in the reimbursement payment.

3. The State performs right of way acquisition activities for the project
 - a. The Municipality will be responsible for providing to the Department:
 - i. Schedule of Property Owners
 - ii. Title Mylar
 - iii. All required property maps
 - iv. Full set of construction plans
 - b. Agreements: An executed MMA ROW and PAL will be required to initiate Right of Way project activities. The PAL, which will be prepared by the Department and forwarded to the Municipality for signature, will include project specific information and an estimate of the ROW costs.

Construction

General:

Administration and inspection of the project will be performed in accordance with the LOTCIP guidelines. The intent of the LOTCIP is for the Municipality to have responsibility and control of the construction phase and resulting quality of the completed work. Unless specific problems become apparent or the Municipality solicits advice, the Department will generally have no involvement in the construction phase.

Party Responsible for Construction Phase:

For projects funded under the LOTCIP, responsibility for all construction activities will rest with the Municipality. Construction and construction related activities include, but are not limited to:

1. Construction
2. Contract administration
3. Materials testing
4. Inspection
5. Quality Assurance
6. Recordkeeping
7. Final certification of completion of construction

The Municipality is also responsible for providing design services during construction (shop drawing review, change order preparation, design revisions, etc.).

Cost Participation:

The construction phase will be funded under the LOTCIP at:

1. 100% of accepted low bid, plus
2. 10% of low bid for contingencies to provide an allowance for normal quantity adjustments, minor unforeseen field conditions and minor field changes that do not increase project scope, extend project limits, etc., plus
3. 10% of low bid for incidentals to provide an allowance for inspection and materials testing services.

A grant payment will be issued to the Municipality for the total of the above items in accordance with the LOTCIP guidelines. **All construction phase costs above the grant payment amount are the sole responsibility of the Municipality.** However, if extenuating circumstances arise, collectively, in consultation with the COG and

Municipality, legitimate cost increases above the cap may be considered to be eligible for participation under the LOTCIP.

Costs associated with design services during construction are considered design functions and as such are not eligible costs under the LOTCIP. These costs must be tracked separately from inspection costs to facilitate final audit by the Department.

Standards and Specifications:

Local standards and specifications may be used. In the absence of local standards and specifications, the Department's Form 817, Construction Manual, and Municipality Manual, as revised, will be adhered to.

Inspection:

Inspection must be adequate to satisfy the Professional Engineer (licensed in CT) overseeing construction (Engineer), as well as to adequately document that the project was built in accordance with the final plans and specifications.

Municipal Staffing:

The Municipality must assign a municipal employee to act in the capacity of Municipal Administrator to be in responsible charge of the LOTCIP project at all times. This individual need not be assigned solely to the project. Responsibilities of the Municipal Administrator must include, but are not limited to:

1. Be thoroughly knowledgeable of the day-to-day operations of the project, contractors, and the inspection forces.
2. Be aware of and involved in decisions relative to changed conditions, which require construction orders.
3. Visit the project as needed, commensurate with the magnitude and complexity of the project and project activity.
4. Be responsible and in charge of the consultant/inspection staff during all stages of the project.
5. Attend all project meetings as warranted/requested.
6. Review the project records for accuracy and compliance with applicable requirements.

Inspection Staffing:

Municipalities may utilize municipal staff or consultants (or a combination of both) to perform construction inspection activities. Staffing levels must be appropriate for the size and complexity of the project.

Qualifications and experience of the inspection staff must be acceptable to the Engineer and be able to satisfactorily perform the required functions.

If consultant inspection is to be utilized on the project, the Engineer may refer to the Department's Construction Engineering and Inspection Information Pamphlet for Consulting Engineers for additional guidance on typical roles and responsibilities of the inspection staff and recommended levels of experience and training. The pamphlet can be viewed at:

http://www.ct.gov/dot/lib/dot/documents/dconstruction/2017_cei_information_pamphlet.pdf

If LOTCIP funds are to be used to pay for consultant inspection services, the services shall be procured as follows:

1. For costs up to \$50,000, the procurement of inspection services shall be in accordance with General Letter 71 (see Appendix F), which establishes dollar value thresholds and procurement methods to be followed.
2. For costs greater than \$50,000, a fair, open, and competitive process shall be used. Established municipal procurement procedures may be used provided they meet these criteria.
3. In accordance with the Department's Policy Statement EX.O-33 (see Appendix G), as may be amended, which establishes limitations on burden, fringe, overhead, and profit rates to be applied to consultant inspection contracts.

SBE/DBE/SBPPP goals will not apply to any consultant inspection contracts.

Quality Assurance:

Quality assurance consists of all planned and systematic actions necessary to provide adequate confidence that a product or service will satisfy specified requirements for quality. Quality assurance serves to provide confidence in the contract requirements, which include materials handling and construction procedures, calibration and maintenance of equipment, production process control and any sampling, testing and inspection which is performed by the Municipality and/or its consultant. The Municipality and/or its consultant must possess and maintain Quality Assurance procedures that will be employed to monitor the Contractor's performance.

Quality Control:

Quality Control is defined as the sum total of activities performed by the Contractor to ensure the end product meets the construction contract requirements. Quality Control is the responsibility of the Contractor and should be a contractual requirement.

Material Testing:

Local standards or materials testing requirements may be used; however, in the absence of local standards or requirements, materials incorporated into the project must be tested in accordance the Department's Schedule of Minimum Testing for the LOTCIP (see

Appendix H). Final Materials Certification must be certified by the Engineer and included in the Final Package submitted to the Department through the COG subsequent to construction completion.

Minimum testing must include sufficient material testing for structural materials (i.e. concrete, steel, reinforcement, etc.), roadway materials (gravel, subbase, etc.), and HMA to assure the integrity of construction.

Recordkeeping:

Recordkeeping must include, but is not limited to:

1. Inspector Reports
2. Contract Items, Material Testing, and Testing Summary
3. Computations and Quantity Summaries
4. Payments to the Contractor
5. Payments to Consultants and Materials Testing services

Final Package Submission:

The Municipality must submit the following completed certifications and forms upon completion and acceptance of construction through the COG to the Department's listed contact:

1. Acceptance of Project (CON-501L) signed by COG Official, Municipal Official, and Engineer. A sample of this form can be found in Appendix J.
2. Final Materials Certification must be certified by the Engineer. A sample of this form can be found in Appendix I.

Audit Requirements/Return of Unexpended Funds:

Refer to the Financials section for information regarding audit requirements and unexpended project funds.

Note that any balance of unexpended project funds cannot be construed as justification to expand the scope of work or items in the contract to fully expend the grant payment.

Financials

Sub-allocation of the LOTCIP Funding:

The State funded LOTCIP was implemented in November 2013 to provide funding to municipalities/Councils of Governments (COGs) in place of Federal sub-allocated Surface Transportation Program funds, currently referred to under the FAST Act as the Surface Transportation Block Grant Program (STBGP). The distribution of LOTCIP funding, therefore, follows the same population based sub-allocation process used by the Federal Highway Administration (FHWA) to provide STBGP funding to the states for urbanized areas. The population based STBGP funds are provided to three areas as listed below:

1. Major urbanized areas with a population over 200,000,
2. Areas with a population of 5,001 to 200,000 (Other Urbanized Areas), and
3. Areas with a population of 5,000 or less (Rural Areas)

The State LOTCIP funds are available for use in urbanized areas with a population of 5,001 or greater. The Federal STBG Rural program will continue to fund projects outside of the urbanized areas. The following table provides a breakdown of the urbanized area population by planning region.

TABLE 1

2010 URBANIZED AREA POPULATION BY PLANNING REGION		
Planning Region	Urban Population	% Total Urban Population
WestCOG	546,235	17.4
NHCOG	47,508	1.5
NVCOG	418,985	13.3
CT MetroCOG	310,446	9.9
SCRCOG	553,840	17.6
CRCOG	877,496	28.0
RiverCOG	127,942	4.1
SECCOG	220,469	7.0
NECCOG	36,730	1.2
TOTAL:	3,139,651	100.0

Population Data Used to Calculate Sub-allocations by COG:

The sub-allocations by COG for the State-funded LOTCIP will be based on the most recent urban population numbers as published by the Department of Commerce, Bureau of the Census in the latest decennial census for the qualifying urban areas. Qualifying urban areas for the 2010 census are published in the Federal Register/Volume 77, Number 59. Population data can be accessed through the Department of Commerce, Bureau of the Census website at <http://www.census.gov>. The urban population numbers and percentages by planning region will require updating when the next decennial census figures are published.

Annual Funding Amount:

The LOTCIP is in its sixth year since initial authorization in fiscal year 2014. Below is a summary of the funding authorized to date by fiscal year:

	SFY2014	SFY2015	SFY2016	SFY2017	SFY2018	SFY2019	TOTAL
<i>Total Authorized for LOTCIP Program</i>	45,000,000	45,000,000	74,000,000	74,000,000	62,000,000	64,000,000	364,000,000

The Department's practice has been to request annual LOTCIP funding levels to align with the anticipated level of Federal STBG funding. The final adopted budget will dictate the available funding in any given State fiscal year.

The percentages found in **Table 1 – 2010 Urbanized Area Population by Planning Region** on the previous page, are to be applied to the LOTCIP funding included in the adopted biennial budget to determine funding for each COG. Funding provided to each COG may be net of a set-aside for Department personnel for program administration and oversight, as required. **(Note: authorized funding cannot be committed to a project until allocated by the State Bond Commission)**

Disbursement of Funds:

Under the Federal STBG program, individual projects are established for each transportation improvement in both the Federal and State financial systems, which is labor and time intensive. To eliminate delays caused by the project initiation process and allow for prompt payments to municipalities, one blanket project has been established in the State accounting system, Core-CT, for each COG under the LOTCIP. Funding will be allocated by the State Bond Commission, based on project delivery schedules and each region's funding needs, and will then be allotted to the appropriate regional project. Payments will be made from the regional blanket projects to the COGs for administrative costs based on COG requests but subject to Department approval. Payments will also be made from the regional blanket projects to the member municipalities for individual transportation improvements following receipt of the Authorization to Award notice from the Department. Payments for planning studies approved by the Department to use LOTCIP as a fund source will also be paid through the regional blanket projects. Planning studies must be screened and selected in accordance with the Department's current

Planning Study Selection Process and will not be administered by Highway Design, Local Roads. The following is a list of the current regional blanket project numbers:

PLANNING REGION	REGIONAL BLANKET PROJECT NUMBER
WestCOG	DOT01703271GR
NHCOG	DOT01703273GR
NVCOG	DOT01703274GR
CT MetroCOG	DOT01703276GR
SCRCOG	DOT01703277GR
CRCOG	DOT01703279GR
RiverCOG	DOT01703280GR
SECCOG	DOT01703281GR
NECCOG	DOT01703283GR

Funding Eligibility by Project Phase:

Preliminary Engineering/Project Design – All design activities necessary to advance a project to construction are not eligible for LOTCIP funding and will be the responsibility of the Municipality. Design review costs and LOTCIP-related administrative activities by the COG are eligible for 100% funding through the LOTCIP. See *Preliminary Engineering/Project Design* section for more detail.

Rights Of Way – If right of way acquisitions are required, these costs can be funded with either 100% municipal funds or 100% LOTCIP funds. One of three scenarios will apply, as determined by the COGs and Municipalities through the application process. The three scenarios include:

1. The Municipality elects to perform the right of way acquisition activities for the project at its own cost with **no participation** from the LOTCIP.
2. The Municipality performs right of way acquisition activities for the project with **100% participation from the LOTCIP**. Under this scenario, the Municipality will receive **reimbursement** of costs incurred after all required documentation has been received by the Department. See *Rights of Way* section for detail regarding required documents.
3. The Municipality requests and the Department agrees to perform right of way acquisition activities on behalf of the Municipality with **100% participation from the LOTCIP**. Under this scenario, the Department will establish a separate right

of way project in Core-CT with funding from the appropriate regional project to cover anticipated Department ROW personnel costs and acquisition charges. See *Rights of Way* section for more detail regarding required documents from the Municipality.

Construction – Construction phases are to be funded 100% with LOTCIP funds. A grant payment will be made promptly to the Municipality after the low bid amount and supporting documentation is received from the COG by the Department. The grant payment will include an additional 10% for contingency and 10% for incidentals. The intent of the 10% contingency is to provide an allowance for normal quantity adjustments and minor unforeseen field conditions. The intent of the 10% incidentals is to provide an allowance for inspection and materials testing services. **It is not the intent of the contingency and incidental allowances to provide for increasing project scope, extending project limits, etc.** Costs associated with Design Services during Construction are considered design functions and as such are not eligible costs under the LOTCIP. See *Construction* section for more details. Any costs incurred above the grant payment are the responsibility of the Municipality. However, if extenuating circumstances arise, collectively, in consultation with the COG and Municipality, legitimate cost increases above the original grant payment may be considered to be eligible for participation under the LOTCIP.

Funding Accumulation/Carryover:

Funding for this program will not lapse at the end of each State fiscal year; therefore, unexpended funds may be carried over from one fiscal year to another. However, COGs are strongly encouraged to minimize their accumulation of rollover funds. Balances will be monitored and the Department will work with the COGs to minimize accumulation of unprogrammed funds.

Use of LOTCIP as Match for Federal Funding:

The LOTCIP was initiated partly in response to long standing concerns from the COGs regarding the complexity and length of the project initiation process for capital improvements funded with Federal aid. The intent of this new State funded program is for it to be a stand-alone program to replace the use of Federal STBG Program funding by the municipalities, resulting in a faster and simpler process for completing capital improvements. Funding received under this program, therefore, is not eligible to be used as local matching funds for receipt of other Federal funds.

Use of LOTCIP in Combination with State Local Bridge Program Funding:

The use of LOTCIP in combination with State Local Bridge Program funding is not allowed. State Local Bridge Program guidelines state that “Since the (State) Local Bridge Program grant is based on the Municipality’s share of eligible project costs, participation in other aid programs that pay for 100% of the construction costs will render the project ineligible for a grant from the (State) Local Bridge Program for the same project.”

Additionally, if a project has received a Commitment to Fund from the State Local Bridge Program, the project cannot receive a Commitment to Fund from LOTCIP unless the project is withdrawn from the State Local Bridge Program.

Use of LOTCIP as Contributory Fund Source:

The LOTCIP was not conceived as a municipal aid or sub-allocation program. COGs should select projects based on regional transportation priorities, deficiencies identified in their long range plans, and the specific merits of the individual projects. However, in cooperation with the COG, it may be collectively determined that LOTCIP funds can be used as a source of funds for larger Department and/or municipally sponsored Federally funded projects. Such use of LOTCIP funds will not relieve Federal aid requirements and will not be administered under these guidelines.

Audit Requirements:

Municipalities must adhere to audit requirements specified in the Municipal Auditing Act (Chapter 111 of the Connecticut General Statutes) and the State Single Audit Act (Chapter 55b of the Connecticut General Statutes). The Office of Finance – Municipal Finance Services (MFS) Unit of the Office of Policy and Management provides technical assistance for, and ensures compliance with both of these Acts. If a Municipality's annual audit will be a single audit, the independent auditor should be notified by the Municipality that it has received funds under the LOTCIP. As part of the State Single Audit Report, LOTCIP expenditures are to be reported on the *Schedule of Expenditures of State Financial Assistance*. In addition to this reporting, LOTCIP expenditures are to be identified by municipal staff for the fiscal year under review using the *Local Transportation Capital Improvement Program Expenditure Summary Form* and submitted to the Department no later than six months after the end of the audit period. The most recent version of this form can be found on the Department's LOTCIP webpage and a sample is also included in Appendix K. Failure to provide an audit is an event of default under the Municipal/State Project Agreement and may result in the Department requesting the return of the grant and may impact the Municipality's future eligibility in the LOTCIP.

The Department's Office of External Audits will review all *Local Transportation Capital Improvement Program Expenditure Summary Forms* for completed projects, as well as State Single Audit Reports, to assist in determining if a reimbursement is due the State. If there are discrepancies in reporting of expenditures between the two reports, additional documentation will be required by the Department from the Municipality to determine the total cost to complete construction for the project under review. If it is determined that a balance is due the State, the Department's Accounts Receivable unit will send an invoice to the Municipality. It is the goal of the Department to conduct the necessary audits as soon as practicable after receipt of required information from the Municipality.

Unexpended Project Funds:

Funds awarded to a Municipality have been provided for a specific project that has received approval from the COG and the Department; therefore, unexpended funds cannot be used for any other purpose or project, or to expand the scope of the existing project.

Unexpended funds will be returned to the Department through the audit process, as described above. Funds returned to the Department will be credited to the COG's regional LOTCIP project and will be available for use on future improvements within the COG.

Quarterly Status Reports/Annual Program Review Meetings:

It is expected that projects will commence and be completed in a timely manner. In order for the Department and COGs to monitor project progress, quarterly updates are to be provided to the Department in the format provided in Appendix L. The COGs must compile and submit the necessary information from their member municipalities for all approved projects under the LOTCIP, as this information is critical to program monitoring and program transparency. Project progress, estimated design completion, cost, and construction schedule updates will be critical to determining when funding requests shall be submitted for State Bond Commission approval. Quarterly Reports must be submitted to the contact listed in these guidelines within two weeks after the end of a quarter. Late submission or lack of submission of the Quarterly Status Report may impact available funding and the ability to make payments from a region's LOTCIP project.

The Department will provide copies of an updated *Cash Flow Summary* spreadsheet for each COG on a quarterly basis (see sample copy in Appendix M). In addition to quarterly reporting by the Department of expenditures and available funding, Department staff will meet on an annual basis with each COG to complete a program review. The annual Program Review Meeting will include project status reporting by the COGs, a financial overview by the Department, and planning for future solicitations.

Department Oversight Costs:

A project has been established by the Department for program and project level administration of the LOTCIP. The Department will monitor expenditures necessary to administer the program and set aside funds, as required, from the funding authorized and allocated for the LOTCIP. Funding sub-allocated to the regional LOTCIP blanket projects will be net of any required administrative funds for Department oversight and administration of the program.

Contacts

General LOTCIP and Pre-Construction Questions

Hugh H. Hayward, P.E.

Principal Engineer

Division of Highway Design, Local Roads

860-594-3219

Hugh.Hayward@ct.gov

Right of Way Questions

Steven L. Degen

Supervising Property Agent

Division of Rights of Way

860-594-2579

Steven.Degen@ct.gov

Construction Questions

Anthony O. Kwentoh, P.E.

Transportation Supervising Engineer (Construction)

Office of Construction

860-594-2673

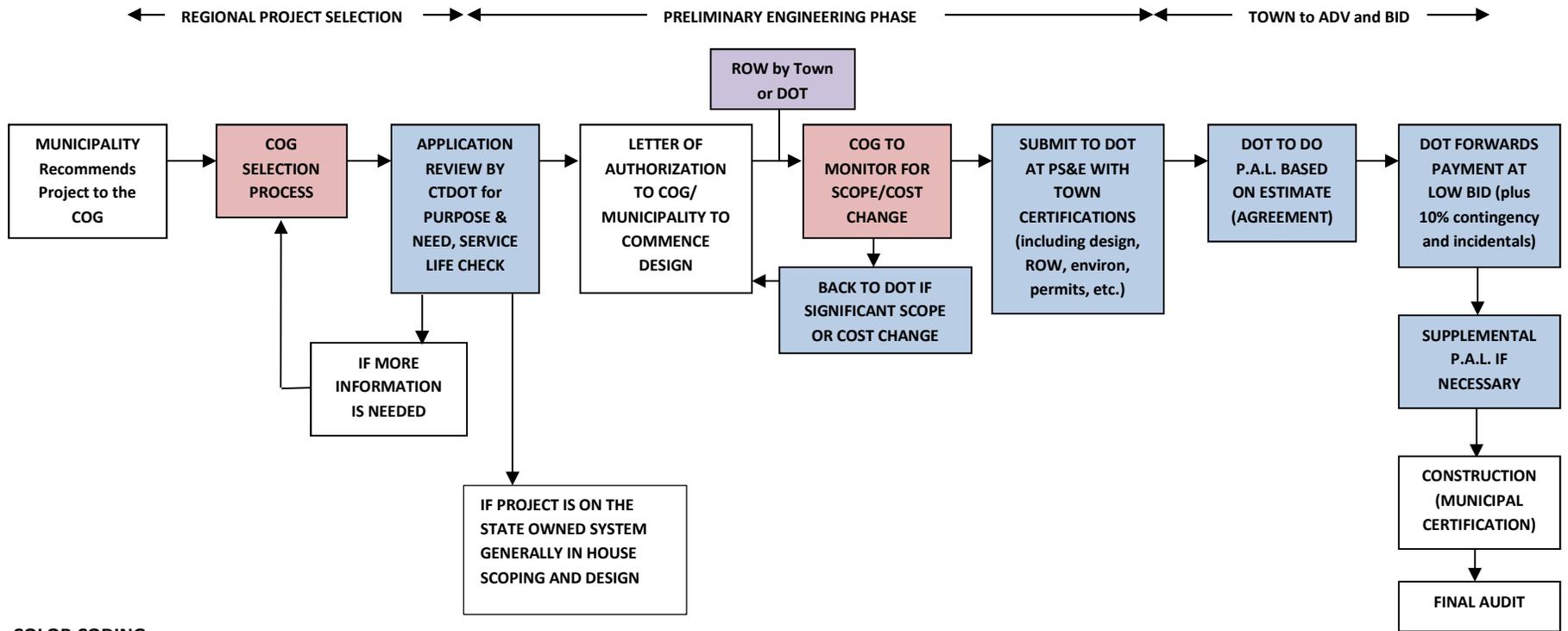
Anthony.Kwentoh@ct.gov

Appendices

*Current fillable versions available electronically on the Department's LOTCIP webpage:
<http://www.ct.gov/dot/lotcip>

- A. LOTCIP Flow Chart
- B. LOTCIP Application*
- C. Sample Cost Estimate Form*
- D. Bicycle and Pedestrian Travel Needs Assessment Form*
- E. Sample Waiver of Compensation and Appraisal
- F. General Letter 71
- G. Policy No. EX.O-33
- H. Certificate of Compliance with Connecticut General Statute 31-57b
- I. LOTCIP Schedule of Minimum Testing
- J. Final Materials Certification*
- K. CON-501L*
- L. LOTCIP Expenditure Summary Form*
- M. Regional Quarterly Status Report*
- N. LOTCIP Cash Flow Summary
- O. Final Submission Documentation and Certification Forms*

LOCAL TRANSPORTATION CAPITAL IMPROVEMENT PROGRAM



COLOR CODING

- MUNICIPALITY
- DOT
- COG
- ROW

(A) Project Information

1. Select the type of proposed improvement (select all that apply):

Please note: The entire application must be completed for all projects in addition to any necessary supplemental sections (K through P) as determined by the type of project.

- Roadway Geometric Improvement
- Stand-Alone Sidewalk Construction
- Bicycle/Pedestrian Improvement, including Multi-Use Trail Facilities
- Intersection Improvement

Provide additional information as required in section K

- Bridge Rehabilitation/Replacement

Provide additional information as required in section L

- Major Drainage Improvement

Provide additional information as required in section M

- Pavement Structure Improvement

Provide additional information as required in section N

- Traffic Signal Replacement/Upgrade/New Installation/Coordination

Provide additional information as required in section O

- Other (please specify): _____

Provide additional information as required in section P

4. Provide concept plans of the proposed improvement. The plans must be sufficiently developed and provide enough detail on a scaled drawing (including aerial photography base mapping if possible) to identify the following:

Inc. N/A

- Project location
- Limits of project
- Approximate limits and extent of any pavement widening or realignment
- Proposed number of lanes, widths, and arrangements
- Approximate limits and extent of any anticipated ROW acquisitions (based on available ROW information from Assessors maps, GIS data, etc.)
- Structures (i.e. Retaining walls, bridges)
- Watercourses
- Typical Cross Section including lane and shoulder widths, pavement structure, etc.

5. Have the improvements at this location been previously submitted to the Department for funding? No Yes

If yes, when and under what program?

6. Have any other Federal or State funding sources been applied for or awarded for the improvements at this location?

If yes, please list source, amount, and when awarded in detail below:

7. Does the project impact any State-owned Facilities (i.e. roads, bridges, etc.)?
 No Yes

If yes, describe the impacts:

8. In the area of the project, are there any known proposed developments?
 No Yes

If yes, describe the proposed developments:

9. Design Standards to be used:

- Established municipal standards
- AASHTO Policy on Geometric Design of Highways and Streets
- Connecticut Department of Transportation Highway Design Manual
- AASHTO LRFD Bridge Design Specifications and Connecticut Department of Transportation Bridge Design Manual
- Other, please specify: _____

(B) Rights of Way

1. Are any Right of Way (ROW) impacts anticipated? No Yes

If yes, describe the nature, extent, and type of impacts:

2. If ROW acquisitions will be required, who does the Municipality plan to have perform acquisition activities?

Municipal staff Consultant hired by Municipality State

3. If ROW acquisitions are to be performed by the Municipality's staff or their consultant, will the Municipality be seeking reimbursement for ROW costs?

No Yes

(C) Utilities

1. List all utilities within the project area, including their owners.

<u>Overhead</u>	<u>Underground</u>

2. Are any utility impacts anticipated? No Yes

If yes, explain the nature and extent of the impacts:

Note: Costs associated with utility betterments/upgrades that are not required to accommodate the proposed transportation improvement are not eligible project costs.

3. Have the utility companies been contacted to identify any plans to expand or improve existing utilities that would compromise the service life of the proposed improvements?

No Yes

If yes, describe any proposed improvements and their schedule:

(D) Storm water drainage system and under drains

1. Do any existing storm water drainage problems exist? No Yes

If yes, describe the problem(s):

2. Is any storm water drainage system work anticipated, including any new or modified drainage outlets? No Yes

If yes, explain the nature and extent of the improvements:

3. Are there any existing watercourse crossings that are proposed to be modified, rehabilitated, or replaced as part of the project? No Yes

If yes, indicate the type of improvement needed and the reason for it. Please also indicate if any existing watercourse crossings have inadequate hydraulic capacity:

(E) Rail Crossings

1. Are there any railroad crossings that are likely to be impacted as part of the project?

No Yes
 At-grade
 Grade separated

If yes, describe impacts and any necessary modifications:

(F) Pedestrian/Bicycle Safety and Mobility

1. Complete and attach the Department's Bicycle and Pedestrian Needs Assessment Form to this application (a copy of this form is included in Appendix D). In accordance with Connecticut General Statutes, Section 13a – 153f, and the Department's focus on accommodating non-motorized travel modes, accommodation of all users shall be a routine part of the planning, design, construction, and operating activities of all highways. The need for inclusion of accommodations for bicyclists and pedestrians, including those with disabilities, must be reviewed for every project, regardless of funding source.

(G) Traffic

The information below needs to be provided or reviewed (as specified) by the designer for all project types except for stand-alone sidewalk projects and bicycle/pedestrian improvements, and multi-use trail facilities that do not involve pedestrian crossings

1. Volumes

Provide existing and 20-year Projected ADTs and Turning Volumes. Refer to the Preliminary Engineering/Preliminary Design section for guidance on traffic volumes.

2. Crash Experience

Provide a summary of crash experience using the most current three year data, including a crash summary diagram, and analysis noting any discernable crash patterns.

3. Traffic Signals

Review the existing traffic signal plans for projects involving signalized intersections

4. Speed Data

Provide 85th percentile speeds in the project area

Provide all posted speed limits in the project area

(H) Environmental Resource Involvement

Refer to Application Process/Preliminary Project Submittals - Information provided by the Department for more information.

1. Parks, Cemeteries, Historic Structures

- a. Are there any parks, cemeteries, or historic structures that are likely to be affected by the project? No Yes

If yes, describe the type and extent of the anticipated impact.

2. Wetlands

a. Are there any wetlands that are likely to be affected by the project?

No Yes

If yes, describe the type and extent of the anticipated impact.

3. Hazardous or Contaminated Sites

a. Has the potential for hazardous or contaminated sites and materials in the project area been investigated? No Yes

If yes, describe the type and extent of the anticipated impact.

(I) Public Involvement

Refer to Preliminary Engineering/Project Design - Public Involvement section for more information.

1. Has public involvement been conducted? No Yes

If yes, describe the public involvement effort, when it was conducted, and any public support or opposition to the project:

If no, describe the planned public involvement effort should the project move forward:

(J) Cost Estimate

1. Attach a preliminary cost estimate identifying:
 - a. Approximate quantities and assumed unit prices of the major contract items
 - b. An allowance for minor items (percentage of a)
 - c. Standard lump sum items (i.e. clearing and grubbing, mobilization, construction staking, maintenance and protection of traffic), as applicable (percentages of a + b)
 - d. Total contract items (a + b + c)
 - e. Contingencies (10% of d)
 - f. Incidentals to construction, (i.e. construction inspection, materials testing) (10% of d)
 - g. Rights of way costs
 - h. Eligible utility relocation costs (in accordance with CGS13a-98f)

Note: Costs associated with utility betterments/upgrades that are not required to accommodate the proposed transportation improvement are not eligible project costs
 - i. Total project costs (d + e + f + g + h)

Sample cost estimate form provided in Appendix M and the Excel spreadsheet is available for download from the Department's LOTCIP webpage: <https://www.ct.gov/dot/lotcip>

Refer to the Department's most current Cost Estimating Guidelines for cost estimate guidance or use town-generated unit prices. The anticipated costs for each phase of the project shall be well documented and based on reasonable anticipated costs.

The guidelines are located at:

http://www.ct.gov/dot/lib/dot/documents/aec/cost_estimating_guidelines.pdf

ADDITIONAL INFORMATION TO BE PROVIDED BASED ON IMPROVEMENT TYPE SELECTED IN SECTION (A)1:

(K) Roadway Geometric Improvements

Proposed Design Speed

(L) Intersection Improvements

Capacity Analyses (For build and no-build conditions using existing and projected traffic volumes).*

(M) Bridge Rehabilitation/Replacement

Latest Condition Report

(N) Major Drainage Improvement

Material, Age, Hydraulic adequacy assessment of existing drainage system (Condition Report, post-cleaning is preferred)

(O) Pavement Structure Improvement

The level of investigation will be dependent upon the proposed improvements. **Cores or test pits must be performed** such that a representative sample of the existing roadway condition is obtained. If varying pavement conditions exist along the roadway indicating the possibility of different pavement conditions, a test pit should be performed in each roadway section. **Pavement thickness and type, sub-base thickness and type**, and the presence of fines and/or groundwater must be noted. Attach the data obtained. If full depth reconstruction is proposed, cores or test pits may be required to justify the scope of the proposed improvements.

Approximate percentage of heavy vehicles: _____

What is the existing pavement type, condition, and thickness?

What is the anticipated pavement design? Describe the type and depth of each course including the base that is suitable for the ADT and percentage of heavy vehicles. Does it meet current design standards? Describe the cross-section (i.e. lanes and shoulder widths, etc.).

Describe how the service life requirement for the proposed pavement design was determined:

(P) Traffic Signal Replacement/Upgrade/New Installation/Coordination

Who is/will be responsible for ownership, maintenance, and electrical costs

Age of existing signals

Capacity Analyses (For build and no-build conditions using existing and projected traffic volumes).*

Warrant Analysis for new signals

Systems Engineering Analysis Form (SEAFORM) for Intelligent Transportation Systems (ITS) projects

(Q) Other

To be determined based on type of improvement proposed.

***Capacity Analysis:** For the purposes of this application, a simplified analysis may be performed for signalized intersections that do not require detailed assumptions, proprietary software or specialized traffic engineering skills. The “Quick Estimation Method” is described in detail in the 2010 Highway Capacity Manual, with accompanying worksheets that can be completed by hand. A brief description of the method is also described in Section 3.3.6 of the FHWA Signal Timing Manual, where it is referred to as a “Critical Movement Analysis.” The relevant section of the FHWA publication can be accessed at: <http://ops.fhwa.dot.gov/publications/fhwahop08024/chapter3.htm>. This simplified analysis will yield an approximate critical volume/capacity ratio that can be used to assess overall operation of the intersection. The build and no-build conditions should be analyzed for the existing and projected traffic volumes.

APPLICATION SUBMISSION

This application and supporting documents must be submitted by the Municipality to their COG. At such time when the application is to be forwarded to the Department of Transportation by the COG, it must be forwarded electronically to:

Hugh.Hayward@ct.gov

Mr. Hugh H. Hayward, P.E.
Department of Transportation
2800 Berlin Turnpike
P.O. Box 317546
Newington, CT 06131-7546

Prepared by: _____ Date: _____

Name, Title and stamp of Responsible P.E. (Municipal or Consultant)

Signature

(Stamp)

Reviewed/Recommended by: _____ Date: _____

Name and Title of Municipal Chief Administrative Officer

Signature

Endorsed/Recommended by: _____ Date: _____

Name and Title of COG Executive Director

Signature



CONNECTICUT DEPARTMENT OF TRANSPORTATION BICYCLE AND PEDESTRIAN TRAVEL NEEDS ASSESSMENT FORM (BPTNA)



In accordance with Connecticut General Statutes, Section 13a-153f, Accommodations and Provisions of Facilities for All Users and the Department’s Policy Statement No. EX.0-31, It is the policy of the Department to consider the needs of all users of all abilities and ages (specifically including pedestrians, bicyclists, transit users, and vehicle operators) in the planning, programming, design, construction, retrofit and maintenance activities related to all roads and streets as a means of providing a "safe, efficient transportation network which enhances quality of life and economic vitality." Therefore, the need for inclusion of accommodations specifically for bicyclists and pedestrians, including those with disabilities, must be reviewed for **every** project.

This form shall apply to all Department projects, mainline utility projects within the state right-of-way, the Office of the State Traffic Administration (OSTA) certificate applications receiving state or federal funding, and municipal transportation projects that receive state or federal funding. This form provides designers the documentation and information needed to make decisions on the need and extent of bicycle and pedestrian features that should be included in a project. This form is not intended to dictate what features should be included in a project design, as guidance on those questions can be found in numerous other reference documents. This form should be completed to the extent practical (at least Sections 1 & 2) during the project scoping phase and finalized by the completion of the Preliminary Design. Once signed, this form should be retained with the project documents.

Project Number(s):		Route(s):	
Project Name:			
Municipality(s):		Planning Region(s):	

SECTION 1: APPLICABILITY	
<p>Although bicycle and pedestrian accommodations should be considered for all projects, certain types of projects (e.g. bridge deck patching, culvert re-lining, projects on expressway mainlines) do not typically provide reasonable opportunity to provide improvements for these travel modes. Considering the <u>project type</u> answer the question below. If the question below is answered no, please explain why, then skip to the last page, sign the form, and file this form with the project documents. If the answer is yes, go to Section 2 and complete the rest of the form.</p>	
Does this <u>project type</u> provide reasonable opportunity to provide improvements for non-motorized access?	Yes <input type="checkbox"/> No <input type="checkbox"/>
If no, why?	

SECTION 2: ASSESSMENT OF STUDY AREA

2.1 Study Area Map

Identify any non-motorized and/or transit generators located within the Study Area (Study Area is generally defined as approximately ½ mile radius from the project limits). Using the letters in the code column below, create a map from a location plan or aerial photograph indicating the location of existing or planned non-motorized or transit user generators identified below (for planned facilities, precede the letter with a P-).

Non-Motorized/Transit User Generators	Code
<u>Residential Areas:</u> Indicate any general areas of dense residential housing	R
<u>Parks:</u> Include areas that would attract people, whether officially designated as a park or not	P
<u>Recreational Areas:</u> Examples include athletic fields, dog parks	RA
<u>Religious Facilities</u>	C
<u>Schools (including public and private schools, colleges, universities, daycare or other educational institution)</u>	S
<u>Health / Medical Facilities</u>	H
<u>Town Centers:</u> typically would include areas where Town Halls, Libraries and other public facilities exist	TC
<u>Shopping Centers:</u> especially centers with businesses where non-motorized customers might be expected (restaurants, bookstores, drug stores, etc.)	M
<u>Large Employment Businesses:</u> Factories, large office buildings, hospitals, government offices	E
<u>Bus Stops</u>	B
<u>Public Transit Facilities:</u> train/bus stations, airports	T
<u>Shared-use trail access / parking</u>	TA
<u>Other:</u> other known facilities expected to generate or attract non-motorized users _____	O

2.2 Analysis of Study Area		
Using the map prepared in Section 2.1, and the resources suggested below, answer the following questions about the study area. [For State/District-wide or Division of Traffic Engineering projects with many locations use the “Multi-location Table” at: https://www.ct.gov/dot/lib/dot/bptna-table_multiloc.docx to answer questions marked with an (*)]		Explain as needed (attach additional sheet(s) if needed)
a. * Referencing the CTDOT Interactive Bike Map located at: http://www.ctbikepedplan.org/interactivemap.html is this project located on the Connecticut Statewide On-Road or Off-Road Bicycle Planning Network?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
b. * Have all existing bicycle, pedestrian and transit features within and just beyond the project limits (such as: features and ADA accessibility of existing bus stops, sidewalks, shoulder widths, bicycle markings/signs, shared-use paths, etc.) been identified and assessed for condition and need? (If assistance is needed identifying Transit requirements a request can be sent to: DOT.PTransBikePed@ct.gov)	Yes <input type="checkbox"/> No <input type="checkbox"/>	
c. * Are there any areas of concern where physical impediments to non-motorized travel through the study area exist? Physical impediments can be excessive grade, limited width of roads/bridges, gaps or need for sidewalks (indicated by worn foot paths), utility poles or other appurtenances restricting access, etc.	Yes <input type="checkbox"/> No <input type="checkbox"/>	
d. * Is there any reason to anticipate an increase in travel by non-motorized and /or transit users through the project limits in the future?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
e. * Based on the U.S. Access Board’s Proposed Guidelines for Pedestrian Facilities in the Public Right-of-Way (PROWAG) , are there barriers to mobility inhibiting continuous access between schools, hospitals, senior care, or community centers, etc. for persons with disabilities that cannot be addressed in this project?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
f. * Is there a pattern of bicycle or pedestrian crashes within the project area? Crash information can be found by accessing the UCONN Crash Repository at (https://www.ctcrash.uconn.edu/).	Yes <input type="checkbox"/> No <input type="checkbox"/>	

<p>g. Does the project provide <u>unique or primary access</u> (defined as access which is not otherwise available within approximately one-half mile of the project) :</p> <ul style="list-style-type: none"> • across a river, highway corridor or other natural and/or man-made barrier? • into or out of any of the bicycle and pedestrian generators listed above? • between communities? 	<p>Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/></p>	
<p>h. Is the project located near or provide new access or connectivity to state parks, forests or CT Designated Greenways? Information on State Parks, Forests and Greenways can be found at: http://www.ct.gov/deep/cwp/view.asp?a=2707&q=323852 and http://www.ct.gov/deep/parkmaps If yes, please notify the Trails and Greenways Program Coordinator at the Department of Energy & Environmental Protection, State Parks Division, by sending a location and description of the project to: deep.stateparks@ct.gov. This is for notification and not intended to be a formal review and /or concurrence.</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	
<p>i. In accordance to the Complete Streets Policy, the Department will include non-motorized users in traffic counts to the extent possible. Has the existing pedestrian and/or bicyclist usage patterns within the project limits, particularly at intersection and midblock crossings, been observed / collected?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	
<p>j. Has there been any documented public concern or comments about non-motorized and/or transit needs in the area?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	
<p>k. Are there any comprehensive regional or local planning documents (such as Complete Streets Plan, Sidewalk Plan, Plan of Conservation & Development, etc.) that address bicyclists, pedestrian or transit user conditions within or proximate to the project limits? (Can usually be found on applicable website) Contact the RPO Coordination or Intermodal Planning units in the Bureau of Policy and Planning if assistance is needed.</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	

SECTION 3: NON-MOTORIZED AND TRANSIT ACCOMMODATIONS			
Identify any non-motorized and/or transit user accommodations/improvements that may be considered as part of this project. This section is provided as a list of countermeasures that may be appropriate and is not intended to dictate what features should be included in the project design. [For State/District-wide or Division of Traffic Engineering projects with many locations answer this section by considering all sites as if they were one location]			
3.1 Pedestrian Facilities and Crossing Treatments		3.2 Bike Facilities (Cont.)	
a. New sidewalks	Yes <input type="checkbox"/> N/A <input type="checkbox"/>	e. Signage and/or pavement markings	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
b. Pedestrian median crossing island	Yes <input type="checkbox"/> N/A <input type="checkbox"/>	f. Bicycle parking, bike racks/lockers	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
c. Curb extension/bulb-outs	Yes <input type="checkbox"/> N/A <input type="checkbox"/>	g. Trail Improvements, including parking	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
d. Reduced Corner Radius	Yes <input type="checkbox"/> N/A <input type="checkbox"/>	h. Special height railings	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
e. Pedestrian bridge/tunnel	Yes <input type="checkbox"/> N/A <input type="checkbox"/>	3.3 Bike & Pedestrian Treatments	
f. New or relocated unsignalized or mid-block crossing	Yes <input type="checkbox"/> N/A <input type="checkbox"/>	a. Road diet	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
g. Enhanced illumination at pedestrian crossings	Yes <input type="checkbox"/> N/A <input type="checkbox"/>	b. Narrowing travel lane width	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
h. Pedestrian signing and yield lines	Yes <input type="checkbox"/> N/A <input type="checkbox"/>	c. Corridor-wide speed calming	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
i. Parking restrictions near crossings	Yes <input type="checkbox"/> N/A <input type="checkbox"/>	3.4 Transit Facilities	
j. Pedestrian hybrid beacon [PHB; also known as the High intensity Activated crossWalk (HAWK)]	Yes <input type="checkbox"/> N/A <input type="checkbox"/>	a. New or revised bus stops	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
k. Rectangular rapid flashing beacon (RRFB)	Yes <input type="checkbox"/> N/A <input type="checkbox"/>	b. Bus shelters	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
l. Pedestrian fencing on bridges	Yes <input type="checkbox"/> N/A <input type="checkbox"/>	c. Standing pads	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
		d. New or revised crossing for bus stop	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
		3.5 Streetscape Elements	
3.2 Bike Facilities		a. Landscaping, street trees, planters, buffer strips, etc.	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
a. Dedicated bike lane or cycle track	Yes <input type="checkbox"/> N/A <input type="checkbox"/>	b. Decorative lighting	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
b. Shared-used lanes	Yes <input type="checkbox"/> N/A <input type="checkbox"/>	c. Public seating or benches	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
c. Shared-used path	Yes <input type="checkbox"/> N/A <input type="checkbox"/>	3.6 Other (please specify):	
d. Wider shoulders	Yes <input type="checkbox"/> N/A <input type="checkbox"/>		

Once completed this form should be signed, attached to the Preliminary Design Statement, and filed with the project documents in ProjectWise. If the answer to the question under Section 1 "Applicability" is "Yes", please email the link to the completed form in ProjectWise (or a PDF copy) to: CTDOT.BikePedReviews@ct.gov. Comments will be provided if necessary however, designers are not required to obtain concurrence to move forward with design. This form will be maintained and periodically updated by the Office of Strategic Planning & Projects in the Bureau of Policy & Planning.

Prepared By:

Project Engineer - Print Name

Signature

Date: _____

Approved By:

Project Manager - Print Name

Signature

Date _____



Town of Redding

100 Hill Road, PO Box 1028
Redding, Connecticut 06875

Natalie Ketcham
First Selectman

203-938-2002
FAX 203-938-8816

WAIVER OF COMPENSATION & APPRAISALS

Whereas, _____ is the owner of certain real property situated in the Town of Redding, County of Fairfield, and State of Connecticut, upon which the Town of Redding requires certain permanent acquisition of an easement to construct and maintain sidewalk, and easement for right to grade, easement for temporary work area for the purpose of accessing the subject area during site construction.

Whereas, _____ has been informed of its right to receive any and all just compensation for said acquisition of permanent and temporary easements in compliance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970; and

Now therefore, said _____ does hereby waive its right to receive any and all just compensation for said acquisition of permanent and temporary easements described on the map entitled:

“TOWN OF REDDING. MAP SHOWING EASEMENTS ACQUIRED FROM

No. 116-013, Serial No. 1, Sheet 1 of 1.

Please provide proof that, as the _____, that you are an authorized signatory.

By: _____

Date 11/6/09

Title: _____

Witness: _____

Date 11/6/09

GENERAL LETTER NUMBER: 71

Authorization:

Pursuant to the authority granted in Title 4a, Chapter 58, of the Connecticut General Statutes, as it may be amended from time to time, purchases of goods and/or services costing less than \$200,000 may be made, subject to the limitations set forth in sections a) through c) below, without prior and specific approval of the Department of Administrative Services (DAS), as appropriate, **provided that a DAS contract does not exist for the goods and/or services being acquired.**

Additionally, purchases of goods and/or services specifically listed in section d) below may be made, as appropriate, **provided that a DAS contract does not exist for the goods and/or services being acquired.** Non-competitive purchases, as defined in section “d” below, are not subject to any monetary or date limitations.

THE AUTHORITY GRANTED BY THIS GENERAL LETTER 71 TO AGENCIES IS PERMISSIVE, NOT MANDATORY; DAS WILL SOLICIT QUOTATIONS, BIDS OR PROPOSALS ON BEHALF OF ANY AGENCY UPON REQUEST.

Application:

a) Minor nonrecurring purchases of any type of goods or services up to \$5,000 (annually, per item) ., also known as direct or open market purchases, may be made without obtaining quotations or bids.

b) Purchases over \$5,000 and up to \$50,000 (annually, per item) must be based upon, when possible, at least three written quotations or bids, from responsible and qualified sources of supply.

c) Purchases over \$50,000 and less than \$200,000 (annually, per item) must be based upon, when possible, at least three written quotations or bids, from responsible and qualified sources of supply. Agencies must also publish their request for quotation or bid notice on the State Contracting Portal in accordance with the provisions in Connecticut General Statutes Section 4e-13. Instruction on posting bids to the State Contracting Portal can be found here: <https://portal.ct.gov/DAS/Procurement/Contracting/DAS-Procurement-Biznet-Instructions-to-Post-Solicitations>

d) The nature of certain purchases preclude competition and may be purchased directly without obtaining competitive quotations or bids. Such non-competitive purchases are limited to the following items only:

- Seminar or Certification Fees for Employees (i.e., Skill Path, Fred Pryor (or other local) seminars and/or professional designation/certification type trainings or workshops)
- Rental of conference and/or hotel facilities
- Publications
- Subscriptions (including electronic subscriptions)
- Advertising (including online and/or social media advertising fees)
- Dues, Fees, Tuitions, Honorariums, Sponsorships, Mentorships
- Certain public utility services (electric generation services, electric distribution services; water services, and natural gas distribution services)
- Cable and satellite television equipment and services (excluding internet services and excluding telephone services)
- Renewal of software licenses and Renewal of software maintenance
- Postage
- Licenses (*excluding software licenses*)
- Eyeglasses
- Dentures
- Hearing aids and hearing aid supplies
- Transportation of persons and freight
- Prosthetics
- Rehabilitation technology and placement equipment

d) Continued

- Donations to charitable organizations and scholarship funds
- Gift cards
- Exhibit space and booths at trade-shows/conventions or other events
- Hiring of guest speakers (i.e., notable persons or personalities) for conferences and/or other events
- Catering services
- Car wash services
- Florist services
- Payments of parking fees (including validations)
- Law enforcement service dogs
- Products or services from professional associations to which the agency is a member
- Railroad or utility flagging services, materials and/or installation of materials for railroad and utility services required by the Department of Transportation
- Reimbursements to educational institutions (i.e., regional education service centers) for training, professional development and program evaluation services required by the Department of Education
- Purchases by the Board of Education and Services for the Blind (BESB) and Department of Correction Enterprise Program of commodities for resale to BESB and DOC Enterprise customers
- Historical document conservation treatment
- Purchases by the Department of Emergency Services and Public Protection of various services to support the maintenance and operation of “undercover” residential homes throughout the state.
- Expert Witnesses
- Purchases by the Department of Economic and Community Development of Fine Arts and Fine Art related services

No annual limits or restrictions are established for the specific categories of items listed in this section. Upon the request of one or more agencies, DAS may supplement on a case-by-case basis the above categories of items and issue a revised General Letter 71 evidencing the change.

e) Emergency repairs and emergency purchases costing up to \$200,000 may be made without obtaining quotations or bids (excluding real property). An “emergency” exists where the normal operation of an agency (or portions thereof), the health or safety of any person, or the preservation of property would be seriously impaired, threatened or jeopardized if immediate action were not taken to correct the situation. All emergency purchases exceeding \$200,000 must be directed to DAS for processing through a Standardization Transaction request. Such emergency requests must be submitted in writing to DAS for approval. **Purchases for repairs, changes or renovations to real property must be made in accordance with the Department of Administrative Services/Division of Construction Services (“DAS/DCS”) guidelines and procedures for Agency Administered Projects.**

f) Purchase transactions between or among State agencies do not require competitive quotes and are not subject to annual limits or restrictions.

g) Agencies may purchase goods or contractual services from the United States Government, a federal agency, and any state government or any of their political subdivisions without obtaining quotes or competitive bids and without being subject to annual limits or restrictions. Agencies may not purchase from persons or entities who have contracts with any department, agency or instrumentality of the federal government (including cooperative purchase agreements and the use of federal contracts) without first obtaining the written approval from DAS, as appropriate.

h) Agencies are required to ensure that purchases for equipment or appliances meet or exceed the federal energy conservation standards and meet or exceed the federal Energy Star standards consistent with Connecticut General Statutes Section 4a-67c.

Review

An agency’s failure to follow any of the terms or conditions in this General Letter 71 may result in DAS rescinding the agency’s authority to purchase under this General Letter until such time as DAS is satisfied that the failure is not likely to recur. DAS may review any purchases made under this authority at any time. Agencies must retain copies of their request for quotations or invitations to bids, purchase orders, specifications, proposals and all corresponding documentation for the normal legal retention period or as otherwise provided for in Connecticut General Statutes Sections 11-8 and 11-8a. **Agencies should not send to DAS copies of these documents unless otherwise requested.** Agencies shall comply with Connecticut General Statute Section 4a-52a(e), as it may be amended from time to time, and all other applicable statutes, regulations and procedures..

Limitations

1. Agencies may not use the authority granted by this General Letter to purchase goods and contractual services that are already the subject of existing DAS contracts. Those goods and contractual services must be purchased against those existing contracts.
2. Agencies may not use the authority granted by this General Letter to enter into Personal Services Agreements or Purchase of Services Agreements.
3. Agencies may not issue Requests for Proposals (“RFPs”) to make purchases of goods and contractual services unless previously so authorized in writing by DAS for each particular purchase.
4. As used in this General Letter, the terms “purchase” and “purchases” shall also mean “rent” and “rentals” (excluding purchases and rentals of real property).
5. When issuing bids or RFPs, agencies must follow all of the applicable requirements found in the DAS statutes, regulations and procedures governing purchases.
6. Agencies shall only allow purchasing under GL71 by staff holding any of the “Fiscal/Administrative” series of state job classifications.
7. Agencies shall establish procedures for Purchasing Card (p-card) holders that do not hold one of the above mentioned job classifications to ensure the p-card holders are trained in the use of state contracts and GL71, and to have an oversight and/or approval process in place for p-card purchases. This p-card oversight and/or approval process should be handled by agency fiscal staff who have sufficient purchasing experience and expertise.
8. All information technology purchases are required to have the approval of the DAS, Bureau of Enterprise Systems and Technology (BEST) prior to the purchase being made, regardless if it’s a GL71 or a contract purchase.

Other Information:

To obtain instructions and assistance in publishing your bid notices under the authority of this General Letter or for other related questions, please contact the DAS Procurement Division at 860-713-5095.



CONNECTICUT DEPARTMENT OF TRANSPORTATION

POLICY STATEMENT

POLICY NO. EX.O. - 33
June 25, 2015

SUBJECT: Policy on Non-Federally Funded Contract Fees for Architects, Engineers and Consultants performing services for the Department

On May, 4 2015 the Office of Policy and Management (OPM) rescinded OPM General Letter No. 97-1. OPM is currently working, in consultation with DOT, to establish revised guidelines regarding the reasonableness and allow-ability of various cost factors related to engineering consultant services as required by Section 13b-20m of the Connecticut General Statutes.

In the interim, the Department will utilize the following Policy on Non-Federally Funded Contract Fees for Architects, Engineers and Consultants performing services for the Department:

All contracts for architects, engineers and consultants shall be negotiated and awarded on the following basis:

1. Burden, Fringe, Overhead and Profit – Actual but not to exceed 165% for work utilizing a Home Office rate and 130% for work utilizing a Field Office rate.
2. Travel – Maximum is established per the State Travel Regulations (Manager's Agreement).

Each such contract must contain appropriate language to clearly acknowledge the parameters of this letter.

A handwritten signature in cursive script, appearing to read "James Redeker", is written over a horizontal line.

James Redeker
Commissioner

Local Transportation Capital Improvement Program (LOTICIP)

4/2/2019

ONLY Applies to Municipal Adminstered LOTICIP Projects **not** on National Highway System

Material Name	Unit	Test/Documentation	Frequency 1 per	Notes
Anchor Bolts	ea.	MC	project	1 per size
Asphalt Emulsions (CSS-1, RS-1 or SS-1)	gal	MC	10k	
Bituminous Concrete (HMA)	ton	D 2950 FLDT	day	See Note 3
Cement - Portland Type I/II	bag	FLDT	project	empty bag
Chemical Anchor	lb.	QPL MC	project	
Concrete-Ready Mixed	c.y.	T22 FLDL	75	4 cylinders
Construction Signing	ea.	MC	project	
Geotextile	s.y.	QPL MC	project	
Gravel (Bank Run or Crushed)	c.y.	T27 LABT	5k	
Grout, Non-shrink	bag	MC	project	
Masonry Brick & Block (Solid)	ea.	FLDT	project	See Note 1
Pipe - Reinforced Concrete	l.f.	PC-1	project	See Note 1
Pipe (Metal & Plastic) All types	lf	MC	project	See Note 1
Pipe Arch - Aluminum	lf	MC	project	See Note 1
Precast Concrete Items (not pipe)	ea.	PC-1	Item type	
Prestressed Concrete Members	ea.	LABT	1	See Note 2 & 3
Reclaimed Misc. Aggregate	c.y.	T27/Chem Analysis	2500	See Note 5
Reclaimed Waste	c.y.	T180 LABT	50k	See Note 5
Sand (Masonry /Trenching & Backfilling)	c.y.	T27 LABT	2500	
Sheet Piling	l.f.	MC	project	See Note 4
Sign Post	ea	MC	project	See Note 1
Span Pole - Steel or Wood	ea.	MC	project	See Note 3
Steel Reinforcing Bars (Plain or Epoxy)	lb.	T244 MC	200t	
Stone (Broken/Crushed)	c.y.	T27 LABT	20k	
Structural Steel	cw	Shop Drawings	project	Notes 2, 3 & 4
Traffic Signal Equipment	ea.	MC	project	NA

Notes

1	Material should be inspected on the project site prior to use. Suspect material should be physically tested to determine conformance.
2	QC Inspection should be provided and documented during fabrication.
3	Contact the Department of Transportation Division of Materials Testing to determine vendor qualifications and QA inspection availability.
4	Documentation should be provided to determine conformance to Buy America requirements.
5	FORM MAT-212 should be completed and provided by the Contractor prior to use of material.

Test Method/Test Type

LABT	Laboratory Test
FLDT	Test performed in the field
QPL	ConnDOT Qualified Products List (http://www.ct.gov/dot/lib/dot/documents/dresearch/conndot_qpl.pdf)
PC-1	MAT-308 Required from producer with shipment
MC*	Materials Certificate

*Should comply with ConnDOT Standard Specification Section 1.06.07

ConnDOT - LOTCIP
MATERIALS CERTIFICATION

LOTCIP PROJECT NO.: _____

LOTCIP PROJECT DESCRIPTION: _____

MUNICIPALITY: _____

THIS IS TO CERTIFY THAT:

Results of tests on acceptance samples indicate the materials incorporated in the construction work and the construction operations controlled by sampling and testing were in conformity with approved plans and specifications and that such results compare favorably with the results of independent assurance sampling and testing.

Exceptions to the plans and specifications are documented in the project records and are also listed below:

- NONE

Certified by Designer of Record (PE, licensed in CT):

Signature: _____ Date: _____

Typed Name: _____

Title: _____

License No.: _____

CERTIFICATE OF ACCEPTANCE OF PROJECT	STATE OF CONNECTICUT DEPARTMENT OF TRANSPORTATION <i>Bureau of Engineering and Construction</i>	LOT/STATE PROJECT NO(S).
CON-501L		

DESCRIPTION OF CONTRACT	TOWN(S)
-------------------------	---------

NAME OF HIGHWAY / ROUTE NO.	BEGINNING AT <i>(Specific Location - No Station Nos.)</i>	ENDING AT <i>(Specific Location - No Station Nos.)</i>
-----------------------------	---	--

TO CONTRACTOR <i>(Street Address Only - No PO Boxes)</i>	DATE OF AWARD
--	---------------

TYPE OF IMPROVEMENT	DATE WORK ACCEPTED
---------------------	--------------------

All work and administrative requirements under the above described contract has been completed in accordance with the plans, specifications, and special provisions of the contract, and is recommended for acceptance in fulfillment of the terms of said contract.

(1) MUNICIPAL OFFICIAL <i>(Signature In BLUE Ink)</i>	NAME / TITLE	DATE
---	--------------	------

(2) COUNCIL OF GOVERNMENTS OFFICIAL <i>(Signature In BLUE Ink)</i>	NAME / TITLE	DATE
--	--------------	------

THE ABOVE DESCRIBED PROJECT IS HEREBY ACCEPTED AS OF _____

The payment of a certified final estimate of the full amount owing, including the reserved amount.

(3) BY ENGINEER (PE, licensed in CT) <i>(Signature In BLUE Ink)</i>	NAME	DATE
---	------	------

CUT LINE

Instructions:

Addresses:

Include street addresses - not PO Boxes.

Municipal project, provide the mailing (street) address below for the municipal official who signed the CON-501L, and include this with the CON-501L submitted to ConnDOT :

Location:

BEGINNING AT / ENDING AT

Include a physical description in addition to available Milepoints - Do NOT use stations.

EX: 1		EX: 2	
BEGINNING AT	ENDING AT	BEGINNING AT	ENDING AT
East Main Street @ School Street	East Main Street @ Harris Hill	I-91 @ EX 3 BR. 1234 MP .04	I-91 @ EX 6 MP 20.4

- 1) Municipality to fill out form and submit to Engineer for signature of acceptance.
- 2) Municipality obtains signature of COG official.
- 3) Engineer Returns to Municipality for their signature
- 4) Municipality to send completed original form to contractor with copy to ConnDOT

INSTRUCTIONS:

Local Transportation Capital Improvement Program Expenditure Summary Form

The following is a brief summary of the requirements for completing the *Local Transportation Capital Improvement Program Expenditure Summary Form*, which applies to both municipalities and Council of Governments that receive funding under this program. For your convenience, a pdf fillable version of the form can be found on the Department's website at <http://www.ct.gov/dot/lotcip>

Questions regarding the form can be directed to:

- Kelly.Cain@ct.gov or via phone at 860-594-2981
- Hugo.Rivera@ct.gov or via phone at 860-594-3147
- Robert.Buchan@ct.gov or via phone at 860-594-3366

Municipalities and Council of Governments that expend state financial assistance equal to or in excess of three hundred thousand dollars in a fiscal year are subject to a single audit and must adhere to audit requirements specified in the State Single Audit Act (Chapter 55b of the Connecticut General Statutes). Guidance and technical assistance for the State Single Audit can be obtained through the Office of Policy and Management's Office of Finance – Municipal Finance Services (MFS). As part of the annual State Single Audit process, the *Local Transportation Capital Improvement Program Guidelines* dated March 2019, stipulate that municipalities and Council of Governments must separately identify expenditures directly related to the LOTCIP using the *Local Transportation Capital Improvement Program Expenditure Summary Form* and submit this form to the Department no later than six months after the audit period. Municipalities should forward completed forms to the appropriate Council of Governments. The Council of Governments should then forward copies of the municipal forms, along with their own completed form if required, to Mr. Hugh H. Hayward, P.E., Highway Design, Local Roads. An electronic version can be submitted to Hugh.Hayward@ct.gov

The intent of the *Local Transportation Capital Improvement Program Expenditure Summary Form* is to provide verification that funds granted to a municipality or Council of Government have been FULLY expended and no funds are to be returned to the LOTCIP program. Because payments for construction phases and studies are provided upfront rather than as a reimbursement, and are not based on actual costs (construction grant payments include 10% for contingencies and 10% for incidentals), only these phases need to be reported on the form. Unexpended funds under either of these phases must be returned to the Department per the LOTCIP guidelines for use on a future project. Right-of-way activities completed by a municipality and approved for LOTCIP funding, however, will be **reimbursed** based on documentation of actual costs, therefore, expenditure verification using the form is NOT required. Expenditure status of LOTCIP funding received by the Council of Governments for administration of the program should be reported on the *LOTCIP Regional Quarterly Status Report*.

The Department's Office of External Audits will review all payments in the State's Core-CT accounting system against the *Local Transportation Capital Improvement Program Expenditure Summary Forms and State Single Audit Reports* for completed projects to determine if a reimbursement is due the State. Additional documentation may be required by the Department from the municipality to verify the total

cost to complete construction for the project under review. If it is determined that a balance is due the State, the Department's Accounts Receivable unit will send an invoice to the municipality and the funds will be returned to the appropriate LOTCIP regional blanket project. Unexpended funds cannot be used for any other purpose or project than what is specified in the Project Authorization Letter. Funds returned will be available for use on future LOTCIP projects.

Note: Municipalities may hold an amount as retainage, particularly if there is a warranty, so it may take up to a year after a project is complete to make final payment.

A sample copy of the LOTCIP Expenditure Summary Form is included below with a brief description of each field to be completed by the municipality:

CONNECTICUT DEPARTMENT OF TRANSPORTATION
LOCAL TRANSPORTATION CAPITAL IMPROVEMENT PROGRAM EXPENDITURE SUMMARY FORM

REGION: ①

MUNICIPALITY: ②

LOTCIP PROJECT NO.: DOT0170XXXXGR (see page -2- for appropriate regional project number) ③

STATE GRANT ID NO.: 13033_DOT57000_43584 ④

⑤ PERIOD COVERED: 7/1/2018 to 6/30/2019

Route/Road ⑥	Project Title ¹ ⑦	Phase ² ⑧	Current Period Expenditures ³ ⑨	Total Expenditures to Date ⁴ ⑩	Final Expenditures ⁵ ⑪
					□
					□
					□
					□

- ① Select the correct region your municipality is located within. This is noted on the Commitment to Fund letter.
- ② Enter the name of the municipality the project is located within.
- ③ Enter the regional LOTCIP project number for your municipality (a list is provided on page 2 of the fillable form).
- ④ This field identifies the Fund, SID and Department for the payment.

- ⑤ Select the fiscal year that is being reported on.
- ⑥ Enter the route number/road name for the location of the improvement.
- ⑦ Enter the project title for the improvement or Study – should be the title used on the LOTCIP application.
- ⑧ Enter CN for construction or STUDY if funds are used to complete a study.
- ⑨ Enter the payments made during the fiscal year selected in the *Period Covered* above.
- ⑩ For projects that span multiple state fiscal years, this amount should include *Current Period Expenditures* plus prior year expenditures.
- ⑪ This box should be checked if the project is complete and the *Current Period Expenditures* are the final expenditures for the project. **This notification is important to the project close out process.** Upon receipt of final expenditures, the project will be audited by the CTDOT External Audit Unit to determine if funds are to be returned to the LOTCIP blanket project for use on a future improvement.

CONNECTICUT DEPARTMENT OF TRANSPORTATION

LOCAL TRANSPORTATION CAPITAL IMPROVEMENT PROGRAM EXPENDITURE SUMMARY FORM

REGION:

MUNICIPALITY:

LOTICIP PROJECT NO.: _____ (see page -5- for appropriate regional project number)

STATE GRANT ID NO.: **13033_DOT57000_43584**

PERIOD COVERED:

Route/Road	Project Title ¹	Phase ²	Current Period Expenditures ³	Total Expenditures to Date ⁴	Final Expenditures ⁵
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>

¹Should be the same project title listed on the LOTICIP Application.

² **CN** for construction or **STUDY** if funds are used to complete a study.

³These costs should agree with those in the municipal/RPO annual audit.

⁴For projects that span multiple fiscal years, this amount should include Current Period Expenditures plus prior year expenditures.

⁵**Important - check box if project is complete** and these are final expenditures. Upon report of final expenditures, the project will be audited by the CTDOT External Audit Unit to determine if funds are due the Department. Funds will be returned to the regional project from which they originated.

Prepared By:

LOTICIP REGIONAL PROJECT NUMBERS:

DOT01703271GR – LOTICIP WestCOG; Western CT Council of Governments*

DOT01703273GR – LOTICIP NHCOC; Northwest Hills Council of Governments

DOT01703274GR – LOTICIP NVCOG; Naugatuck Valley Council of Governments

DOT01703276GR – LOTICIP CT MetroCOG; CT Metropolitan Council of Governments

DOT01703277GR – LOTICIP SCRCOG; South Central Regional Council of Governments

DOT01703279GR – LOTICIP CRCOG; Capitol Region Council of Governments

DOT01703280GR – LOTICIP RiverCOG; Lower CT River Valley Council of Governments

DOT01703281GR – LOTICIP SECCOG; Southeastern CT Council of Governments

DOT01703283GR – LOTICIP NECCOG; Northeastern CT Council of Governments

***Note:** In 2018, WestCOG authorized merging the LOTICIP projects for the Housatonic Valley MPO towns and the Southwestern MPO towns into one LOTICIP project as part of efforts to expedite project delivery and use of available funds.

LOCAL TRANSPORTATION CAPITAL IMPROVEMENT PROGRAM

REGIONAL QUARTERLY STATUS REPORT

REGION: _____

AS OF: _____

Note: Quarterly Status Reports should be completed as of September 30, December 31, March 31, and June 30th.

*includes contract items, contingency, and incidentals

PROJECTS RECEIVING AUTHORIZATION TO AWARD/AUTHORIZATION TO PROCEED:								
LOTICIP #	TOWN	ROUTE/ROAD	PROJECT DESCRIPTION	TOTAL GRANT AMOUNT* <small>(Based on Award)</small>	ACTUAL OR ANTICIPATED PROJECT AWARD DATE	ESTIMATED COMPLETION DATE	PROJECT EXPENDITURES TO DATE*	ACTUAL COMPLETION DATE

PROJECTS RECEIVING COMMITMENT LETTER TO FUND:							
LOTICIP #	TOWN	ROUTE/ROAD	PROJECT DESCRIPTION	CURRENT COMMITMENT TO FUND VALUE*	CURRENT COST ESTIMATE*	ESTIMATED FINAL DESIGN SUBMISSION DATE	ANTICIPATED CONSTRUCTION START DATE

LOTICIP ADMINISTRATIVE AWARD:	<p>Grant Amount:</p> <p>Funds Expended to Date:</p>
--------------------------------------	---

CAPITOL REGION COG CASH FLOW SUMMARY DOT1703279GR

**As of 3/4/2019

	SFY2014	SFY2015	SFY2016	SFY2017	SFY2018	SFY2019	SFY2020	SFY2021	
BEGINNING BALANCE	0.00	9,517,640.00	17,895,199.00	27,437,014.46	28,734,993.32	17,624,602.47			
BUDGET ALLOTMENTS/(RELEASES):									TOTAL
Allocation By State Bond Commission	9,812,000.00	10,035,000.00	12,600,000.00	8,120,000.00		10,580,000.00			51,147,000.00
Transfer from WINCOG			1,424,000.00						1,424,000.00
Transfer from CCRPA					500,441.55				500,441.55
DOTL1310001RW Southington Jude Lane					-42,000.00				-42,000.00
									0.00
									0.00
TOTAL FUNDS IN	9,812,000.00	10,035,000.00	14,024,000.00	8,120,000.00	458,441.55	10,580,000.00	0.00	0.00	53,029,441.55
PAYMENTS/(UNEXPENDED GRANT):									TOTAL
CRCOG Admin Grant	294,360.00		378,000.00	621,600.00		537,600.00			1,831,560.00
L164-0001CN Windsor Kennedy Rd		777,441.00			-82,818.35				694,622.65
CRCOG UConn Study		880,000.00							880,000.00
L051-0001CN Farmington South Rd			1,972,713.14						1,972,713.14
L076-0001RW Manchester Hillstown Rd/Spencer St			8,000.00						8,000.00
L076-0001CN Manchester Hillstown Rd/Spencer St			2,123,471.40						2,123,471.40
L118-0001CN Rocky Hill Old Forge Rd				779,173.56					779,173.56
L164-0002CN Windsor Prospect Hill Rd				1,581,885.00					1,581,885.00
L048-0001CN Enfield Freshwater Blvd				1,054,287.31					1,054,287.31
L132-0001CN South Windsor Avery St Phase 2				1,715,795.16					1,715,795.16
L032-0001CN Coventry Lake St/Cross St				1,069,280.11					1,069,280.11
L139-0001CN Suffield Thrall Ave					1,340,863.80				1,340,863.80
L164-0003CN Windsor Kennedy Rd Phase 2					722,708.64				722,708.64
L078-0001CN Marlborough South Main St					1,317,139.00				1,317,139.00
L076-0002CN Manchester North Main St					1,790,730.31				1,790,730.31
L055-0001CN Granby Salmon Brk St & Hartford Ave					500,710.20				500,710.20
L053-0001CN Glastonbury Hebron Ave					1,276,806.00				1,276,806.00
L109-0002CN Plainville Northwest Drive					928,045.20				928,045.20
L076-0003CN Manchester Tolland Turnpike					860,208.60				860,208.60
L011-0001CN Bloomfield Granby St					1,292,000.00				1,292,000.00
L164-0004CN Windsor Day Hill Road					1,622,439.00				1,622,439.00
L132-0002RW South Windsor Buckland Sidewalk						29,248.00			29,248.00
L132-0002CN South Windsor Buckland Sidewalk						1,267,488.40			1,267,488.40
L132-0003CN South Windsor Avery St						1,352,558.40			1,352,558.40
L077-0001CN Mansfield Eastwood Rd Sidewalk						371,323.80			371,323.80
L131-0001CN Southington Jude Lane/West St						676,691.62			676,691.62
									0.00
TOTAL FUNDS OUT	294,360.00	1,657,441.00	4,482,184.54	6,822,021.14	11,568,832.40	4,234,910.22	0.00	0.00	29,059,749.30
AVAILABLE BALANCE	9,517,640.00	17,895,199.00	27,437,014.46	28,734,993.32	17,624,602.47	23,969,692.25			23,969,692.25

Note: Unexpended grant amounts returned to CTDOT based on final audit are reflected in Core and the Cash Flow summary as a reduction to expenditures

PROJECTS FUNDED UNDER CCRPA PROJECT DOT01703278GR	SFY2015	SFY2016	SFY2017	SFY2018					
L088-0001CN New Britain Allen Street	1,600,000.00								1,600,000.00
L109-0001CN Plainville Cooke Street		1,368,290.40							1,368,290.40
DOTL1310001RW Southington Jude Lane (CTDOT administered ROW)			30,000.00						30,000.00
TOTAL FUNDED UNDER CCRPA PROJECT	1,600,000.00	1,368,290.40	30,000.00	0.00					2,998,290.40

**CCRPA dissolved as a result of the OPM redesignated planning regions. The CCRPA regional project was kept open to make payments for projects that received a Commitment to Fund Letter prior to dissolution. All commitments have now been paid from the CCRPA project except for Southington project at Jude Lane/West Street. The balance of funding (\$500,441.55) under the CCRPA regional project has been transferred to CRCOG project DOT01703279GR.

	SUMMARY BOND AUTHORIZATIONS/UNALLOCATED BALANCE BY FISCAL YEAR								
	SFY2014	SFY2015	SFY2016	SFY2017	SFY2018	SFY2019	SFY2020	SFY2021	TOTAL
Total Authorized for LOTCIP Program	45,000,000	45,000,000	74,000,000	74,000,000	62,000,000	64,000,000	0	0	364,000,000
CRCOG Suballocation	9,812,000	10,035,000	20,720,000	20,580,000	17,360,000	17,780,000	0	0	96,287,000
Allocated to Date by SBC	9,812,000	10,035,000	20,720,000	10,580,000	0	0	0	0	51,147,000
Remaining to be Allocated	0	0	0	10,000,000	17,360,000	17,780,000	0	0	45,140,000

**Periodic draw downs of funding are processed as needed prior to suballocation to the regions to fund CTDOT oversight project DOT01703299PE.

These draw downs account for the variation in suballocated amounts between years that have the same authorized amount

-\$1,000,000 against the SFY2014 authorized amount

-\$500,000 against the SFY2017 authorized amount

-\$500,000 against the SFY2019 authorized amount

FINAL SUBMISSION DOCUMENTATION

Final Submission is hereby made by the Town/City/Borough of _____ for funding under the guidelines of the LOTCIP for the following project:

LOTCIP Project Number: _____

Project Title: _____

Project Location: _____

Engineer of Record (CT Professional Engineer Responsible for Project Design):

Name: _____

Firm: _____

License No.: _____ Telephone: _____ FAX: _____

Street Address: _____

City, State, ZIP: _____

E-Mail: _____

Municipal Administrator (Employee Responsible for Construction Administration See Construction – Municipal Staffing):

Name & Title of Official Contact: _____

Street Address: _____

City, State, ZIP: _____

Telephone Number: _____ FAX: _____

E-Mail: _____

COG Information:

Name & Title of Official Contact: _____

Street Address: _____

City, State, ZIP: _____

Telephone Number: _____ FAX: _____

E-Mail: _____

Project Schedule:

Final Design (Accepted by Municipality)	_____
Rights of Way (Acquisition Complete)	_____
Utilities (Coordination Completion)	_____
Public Involvement/Meeting (Completed)	_____
Anticipated Construction Advertising	_____
Anticipated Construction Contract Award	_____
Anticipated Construction Start	_____
Anticipated Construction Completion	_____

Items to be submitted as part of the final package

- _____ Plans
- _____ Specifications
- _____ Contract Documents
- _____ Engineer's Final Estimates
- _____ Structural Load Ratings (as applicable)
- _____ General Municipal Certification
- _____ Certification of Engineer of Record
- _____ COG Endorsement

Project Cost Data Summary

	<u>Commitment to Fund</u>	<u>Final Submission</u>
Rights of Way Cost (If Applicable)	\$ _____	\$ _____
Estimated Construction Costs (Include Detailed Estimate)	\$ _____	\$ _____
Incidentals (10% of Construction Costs Only)	\$ _____	\$ _____
Contingencies (10% of Construction Costs Only)	\$ _____	\$ _____
Eligible Utility Relocation Costs	\$ _____	\$ _____
Total Estimated Project Cost	\$ _____	\$ _____

Local Transportation Capital Improvement Program

GENERAL MUNICIPAL CERTIFICATION

LOTICIP Project Number: _____

Project Title: _____

I, _____, duly authorized

name

by the (Town, City, Borough) of _____ do certify and attest to the following:

1. That the project plans, specifications, and estimates have been approved and accepted. Any design exceptions from established local, AASHTO, the Department's Highway Design Manual, and/or the Department's Bridge Design Manual, as applicable, have been authorized by the Municipality and are documented and retained in the project records.
2. That the Municipality owns or has the responsibility for maintaining the facility for which funding is sought and will be responsible for all future maintenance of the facility.
3. That all public and private utility relocations have been addressed.
4. That all permits required from Federal, State, and local agencies have been obtained, and all applicable permits, permit conditions, and regulations will be complied with.
5. That the public involvement process has been completed, the concerns of the residents have been considered, the project is in the best interest of the general public.
6. That the project complies with Connecticut Environmental Policy Act as applicable.
7. That the project is consistent with the local conservation and development plan.
8. The Municipality has coordinated with the Department's Office of Maintenance during the design phase and the design has been deemed acceptable for issuance of an encroachment permit for all work within the State right of way.
9. Rights of Way (select one)
 - There are no right of way acquisition activities required as part of the proposed project.
 - All right of way activities associated with the project have been completed, as evidenced by submission of the required documentation described in the Rights of Way section of the Local Transportation Capital Improvement Program guidelines.

The purchase price for all property rights being acquired represents the fair market value of such property rights, as established by a certified appraiser.

For all property rights that were acquired by donation, a Waiver of Compensation and Appraisal Form has been properly executed.

Any relocations were completed in conformance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended.

- Right of way acquisitions are required. Acquisition activities were performed by the State.

10. Plans and specifications are complete and signed and sealed by the Engineer of Record.

11. That separate accounts have been established specifically for this project and all additions or disbursements will be made therefrom.

Signed _____ Date _____

Title _____ *Municipal Seal*

Local Transportation Capital Improvement Program

CERTIFICATION BY ENGINEER OF RECORD

LOTICIP Project Number: _____

Project Title: _____

I, _____, do hereby certify:

name

1. That the project is designed to provide an approximate service life of:
 - Not Applicable (Pavement Preservation Projects Only)
 - 15 Years (Pavement Rehabilitation Projects Only)
 - 20 Years (All Other Projects)

2. That the design complies with Americans with Disabilities Act of 1990, as applicable.

3. That the design complies with the established local standards, AASHTO, the Department's Highway Design Manual, and/or the Department's Bridge Design Manual and the Department's Bridge Load Rating Manual, as applicable. Any design exceptions from the above standards are based on sound engineering judgment, have been authorized by the Municipality, and are documented and retained in the project records.

Signed _____ Date _____

Title _____

Conn. P. E. Registration _____

(Stamp)

Local Transportation Capital Improvement Program

COG ENDORSEMENT

LOTICIP Project Number: _____

Project Title: _____

I, _____, duly authorized

name

by the _____

name of COG

do certify and attest to the following:

1. That the final submission package for the project is complete.
2. That the COG has selected this project as a regional priority and has authorized the use of the COG's LOTICIP funds for construction activities.
3. That based on the information contained in the final submission package and by virtue of this endorsement, the COG hereby fully supports the proposed project.

Signed _____ Date _____

Title _____

(Executive Director)