

Connecticut Department of Transportation

LOCAL TRANSPORTATION CAPITAL IMPROVEMENT PROGRAM (LOTICIP)

GUIDELINES

March 2016

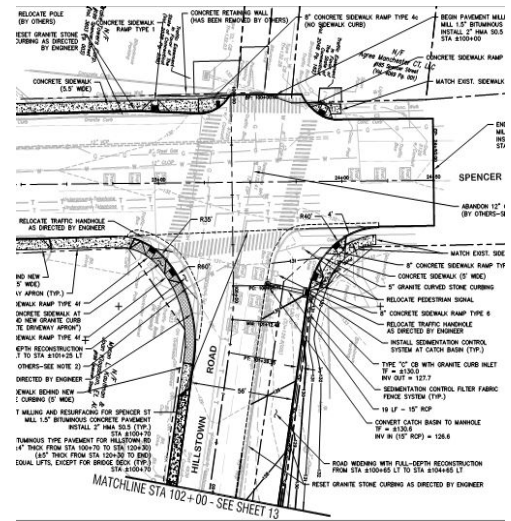


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Introduction

The March 2016 update of the Local Transportation Capital Improvement Program (LOTICIP) is the first revision of the guidelines since the program's inception in November 2013. After a two-plus year ramp up period the program is experiencing construction expenditures, completion of several municipal capital improvement projects and receiving positive feedback. In keeping with the Department's original commitment to modify and improve the guidelines, this updated document is a reflection of lessons learned, clarifications of information and 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. In order to maintain momentum, continued funding and success in the LOTICIP, the various Councils of Governments (COG) must work together with their member towns to maintain individual project schedules and overall program delivery. 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 Section 74 of Public Act 13-239, which can be viewed at <http://www.cga.ct.gov/2013/act/pa/pdf/2013PA-00239-R00SB-00842-PA.pdf>. The LOTICIP program was established with substantially fewer constraints and requirements, set forth herein, than currently exist when using Federal Title 23 USC funds. The Connecticut Department of Transportation (Department) envisions two main benefits to this proposal:

1. The ability of municipalities to perform capital improvements with less burdensome requirements, i.e. do it their way; and
2. Better utilization of State resources (staff) in the Federal-aid program on more regionally significant improvements on State owned facilities. The Federal monies typically used for improvements on municipal owned facilities in the Surface Transportation Program (STP) Urban program may be utilized by the Department for eligible activities predominantly on State owned assets.

Background:

In order to administer the \$40-50 million Federal Highway Administration's (FHWA) STP-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 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, and lengthy 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. The Department regularly designs and oversees projects that meet these requirements on the State owned highway system. Under the current FHWA STP-Urban

program, many municipalities are not familiar with and find it burdensome, time consuming, and expensive to execute projects that meet Title 23 requirements on small locally owned roadways that qualify for Federal-aid. The recent 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 these resources, both municipal and State, could be better utilized on the programs they are most familiar with.

These guidelines have been developed in a joint and cooperative effort by members of the Department, regional Council of Governments (COG), 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 effective date of the LOTCIP program. The Department's guiding charge was to develop a program whose parameters reasonably satisfy Department, COG, and municipality needs. Our goals are to ensure a quality long term capital improvement with minimal Department oversight and to maintain flexibility. Public Act 13-239 allows for, and the Department is committed to, reviewing and modifying these guidelines as necessary to achieve these objectives.

General Overview:

The COGs across Connecticut will be responsible for the solicitation, ranking and prioritizing of their municipal members' initial project submittals. Each COG will develop their own respective ranking process and are encouraged to share ways and means 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 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 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/Selection:

Projects must meet the eligibility requirements of the Federal STP-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.
- 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 Map is available on the Department's website at <http://www.ct.gov/dot/maps>.

The following are modifications to eligibility requirements:

1. The COGs will be allowed to allocate a maximum of 15% of their annual LOTCIP funds or \$500,000 total project cost, whichever is greater, to pavement preservation, pavement rehabilitation, and exclusive (stand-alone) sidewalk projects covered by these guidelines. 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 to such projects to a reasonable level.
3. Projects must have a minimum construction cost of \$300,000 to qualify for LOTCIP funding.
4. 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.

The LOTCIP is intended primarily to address regional transportation priorities through capital improvement projects prioritized and endorsed by the COGs, not 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.

Application Solicitation:

COGs should 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.

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, without any indication from the COG on how it might be prioritized. It is strongly recommended that COGs adopt this type of an initial screening process.

Party Responsible for Application Preparation:

The municipality is responsible for preparing the LOTCIP application and any required supporting documentation.

Application Review by COG:

Upon completion of the LOTCIP application prepared by the municipality, 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, should 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 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.

Endorsement/Recommendation of LOTCIP Application:

LOTCIP 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 LOTCIP.
3. Signature of the Executive Director of the COG indicating the COG's endorsement and recommendation of the project for inclusion into the LOTCIP.

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

1. The timing of the project scoping is controlled by the municipality and COG
2. The project concept is controlled by the municipality
3. Thorough scoping in the earliest stages of project planning does not increase the overall design effort, but helps to maximize project value and viability

Cost Participation:

1. COG Costs
 - a. Each COG may be allocated a defined amount of LOTCIP funds for general LOTCIP program administration costs as well as costs associated with application review, prioritization, etc.
2. Municipal Costs
 - a. 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
 - a. If the COG elects to receive LOTCIP funding for costs identified above, that this will be a draw down on 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.

Application Review by Department:

Subsequent to submission of the LOTCIP application by the COG, each application will be reviewed by the Department. This review will consist of:

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 will not perform any 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 application package. However, 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.

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 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 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.

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

Upon conclusion of the Department's review and approval of the LOTCIP application, the municipality and the COG will be informed in writing of the approval along with a project funding commitment. This approval denotes the beginning of the preliminary engineering/project design phase, and the municipality may then proceed with project design activities.

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
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.

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.

The Manual of Uniform Traffic Control Devices (MUTCD) shall be followed for all projects as applicable.

All projects shall comply with the 1990 Americans with Disabilities Act (ADA).

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.

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.

Proprietary Items:

Use of any proposed proprietary items (i.e. sole source) is 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.

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 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 are 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's hydraulic and hydrologic guidelines, standards, and requirements.

Therefore, it is strongly recommended that the municipality or their consultant contact both the DEEP Inland Water Resources Division and the New England District Army Corps of Engineers early in the design process to discuss permitting requirements and to identify specific environmental concerns and design considerations. 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 ROW 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 they 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 from the COG's allocation of LOTCIP funds for program administration.

Certifications and Project Records:

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 design submission to be made to the Department through the COG upon completion of design and prior to the disbursement of construction funds. Final design submission documentation and certification forms are included in Appendix M.

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 Design Submission to the Department:

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

1. 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. Final Construction Cost Estimate

3. Final Design Submission Documentation
4. Completed Certification Forms

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.

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, new Small Business Enterprise (SBE) requirements apply to municipally-held public works contracts as required by P.A. 15-5. The Commission of 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.
- 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.
- 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 design submission and will also identify any other requirements such as maintenance of 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 will be 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 design 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 issued.

Authorization to Advertise:

Upon receipt of the signed PAL from the municipality, the Department will issue authorization to advertise the project to the municipality.

Project Advertising:

The municipality is responsible for advertising the project for construction bids. 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.

Submission of Bid Results/Request for Construction Funds:

After the bid opening, the following information needs to be submitted to the Department through the COG:

1. Date of bid opening
2. Number of bidders
3. Bid tabulation of lowest three bids
4. Recommendation from the Municipal Chief Administrative Officer for award of the project
5. Recommendation from COG Executive Director for award of project
6. Explanation and/or justification if the low bid is 10% above or below the final engineer's estimate and if it is determined that the lowest responsible bidder is not the apparent low bidder
7. 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 irrespective of 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 Design 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.

3. 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.)

- 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 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 Design 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 816, 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/cwp/view.asp?a=1410&q=413852>.

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, General Letter 71 (see Appendix F) shall 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.

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:

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

Financials

Sub-allocation of the LOTCIP Funding:

The State funded LOTCIP is being implemented to provide State funding to municipalities in place of Federal STP funds. Funding will, therefore, be sub-allocated to the COGs using the same method that has been followed under the Federal STP program. FAST Act, like prior Federal highway legislation, requires sub-allocation of fifty percent (50%) of each State's STP apportionment to areas based on their relative share of the total state population, while the other fifty percent can be used in any area of the state. The population based STP funds are provided to three areas as listed below:

1. Major urbanized areas with a population over 200,000 (STP Urban - **STPU**),
2. Areas with a population of 5,001 to 200,000 (STP Other Urban - **STPO**), and
3. Areas with a population of 5,000 or less (STP Rural - **STPR**)

The State LOTCIP funds are available to the urbanized areas that are eligible for Federal **STPU or STPO** funding. The Federal STP 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
WCCOG-SWMPO	354,855	11.3
WCCOG-HVMPO	191,380	6.1
NHCOG	47,508	1.5
NVCOG	418,985	13.3
GBRC	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

The percentages noted in TABLE 1 will be applied annually (according to State fiscal year) to the funding level approved in the final adopted budget for the LOTCIP, less a set-aside for Department personnel for program administration, if applicable. These percentages will require updating when the next decennial census figures are published. The most recent census was performed in 2010.

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>.

Notification of Funding Amounts by COG:

Included in Public Act 13-239, is authorization for \$45,000,000 of special tax obligation bonds for each of the first two years of the LOTCIP (State fiscal years 2014 and 2015). The percentages found in **Table 1 – 2010 Urbanized Area Population by Planning Region** on the previous page, are to be applied to the \$45,000,000 for fiscal years 2014 and 2015, after a set-aside is deducted for Department personnel for program administration, if applicable. For State fiscal years 2016 and beyond, the COGs will be provided with an “estimated” allocation of funding based on the Capital Budget request submitted by the Department as part of the biennial budget process. The “estimated” funding amounts will be confirmed or revised based upon the final adopted budget. **(Note: funding is not available for use until allocated by the State Bond Commission)**

Disbursement of Funds:

Under the Federal STP Urban program, individual projects had to be established for each transportation improvement, 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 will be established in Core-CT for each COG under the LOTCIP. On a yearly basis after funds have been allocated by the State Bond Commission, a request will be submitted to the Office of Policy and Management (OPM) for approval to allot each COG’s share of funding to these blanket projects. Payments will be made from the appropriate regional project to the member municipalities for each individual transportation improvement supported by the Department as outlined below.

Project phases are eligible for funding as follows:

Preliminary Engineering/Project Design – Actual project design costs are not eligible for LOTCIP funding. 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 ROW section for detail regarding required documents.
3. The municipality requests and the Department agrees to perform right of way acquisition activities with **100% participation from the LOTCIP**. Under this scenario, the Department's ROW personnel and acquisition charges will appear as expenditures against the appropriate regional project. See ROW 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% contingencies 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.** Engineering costs incurred during the construction phase are not eligible under the LOTCIP. Any costs incurred above the grant payment are the responsibility of the municipality. See Construction section for more details.

Funding Accumulation/Carryover:

Funding for this program will not lapse at the end of each State fiscal year; therefore, funds may be accumulated from year to year. COGs are, however, 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 STP Urban 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 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 Local Bridge Program for the same project.”

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). If a municipality’s annual audit will be a single audit, the independent auditor must be notified by the municipality that it has received funds under the LOTCIP. Expenditures directly related to the LOTCIP must be identified separately by the auditor from other State financial assistance using the *Local Transportation Capital Improvement Program Expenditure Summary Form* and submitted to the Department with a copy of the single audit. A copy of this form will be provided to the municipality upon execution of the PAL (a sample of this form can be found 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 to determine if a reimbursement is due the State. 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. Unexpended funds will be returned to the Department through the audit process as described above. Funds returned to the Department will be returned to the COG’s LOTCIP allocation and will be available for use on future LOTCIP projects within the COG.

Quarterly Status Reports:

It is expected that projects will commence and be completed in a timely manner. In order for the Department and COG to monitor project progress, quarterly updates are to be provided to the Department in the format provided in Appendix L. The COG 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, quarterly estimated design completion, cost, and construction schedule updates will be critical to program monitoring. Quarterly Reports must be submitted to the contact listed in these guidelines within two weeks after the end of a quarter. It is therefore important that prompt submission of the quarterly status report be adhered to by each COG.

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 additional funds as required from the funding authorized and allocated for the LOTCIP.

Contacts

General LOTCIP Program and Pre-Construction Questions

Hugh H. Hayward, P.E.

Principal Engineer

Highway Design, Local Roads

860-594-3219

hugh.hayward@ct.gov

Right of Way Questions

Robert W. Ike

Supervising Property Agent

Division of Rights of Way

860-594-2444

robert.ike@ct.gov

Construction Questions

Anthony O. Kwentoh, P.E.

Transportation Supervising Engineer (Construction)

Office of Construction

860-594-2673

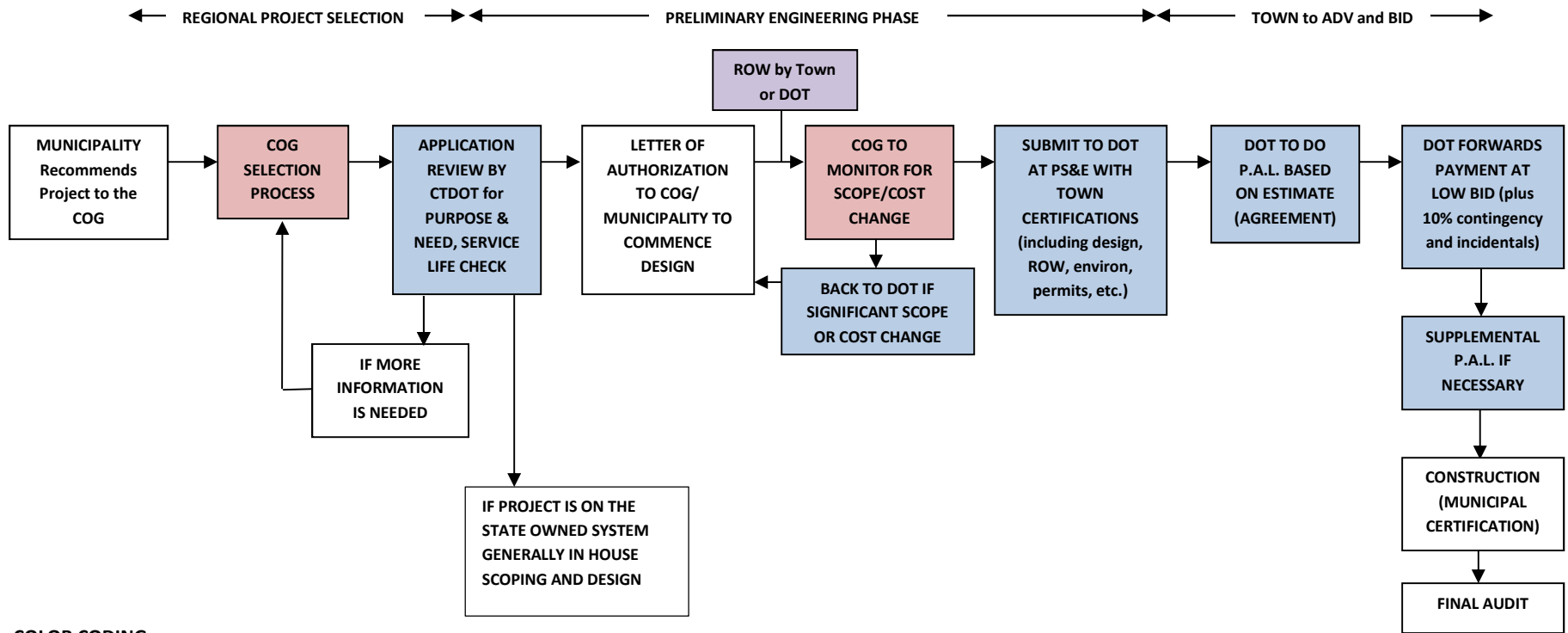
anthony.kwentoh@ct.gov

Appendices

*Current fillable versions available electronically on the Department's LOTCIP webpage:
<http://www.ct.gov/dot/cwp/view.asp?a=2303&Q=577678&PM=1>

- 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. LOTCIP Schedule of Minimum Testing
- I. Final Materials Certification*
- J. CON-501L*
- K. LOTCIP Expenditure Summary Form*
- L. Regional Quarterly Status Report*
- M. Final Design Submission Documentation and Certification Forms*
- N. 2016/17 Regional Allocations Spreadsheet

LOCAL TRANSPORTATION CAPITAL IMPROVEMENT PROGRAM



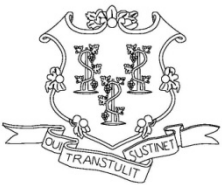
COLOR CODING

- MUNICIPALITY
- DOT
- COG
- ROW

March 2016



Connecticut Department of Transportation
Local Transportation Capital Improvement Program Application



Municipality: _____ COG: _____

Route/Road: _____

Project Title: _____

Roadway Functional Classification (if applicable): _____

COG Contact Information: _____

Name	Title
Phone Number	Email

Municipal Contact Information: _____

Name	Title
Phone Number	Email

The applicant must answer the questions below which are intended to address basic issues about existing conditions, project management, project costs, impacts on private property, utilities, wetlands, etc. **You may provide your answer in the space provided below or submit separate answer sheets. It is important that the application be as thorough as possible as missing information will delay the review process. All project- related sections must be completely filled out or the application will be returned and will require resubmittal.**

The intent of the application is to establish eligibility, service life, and to ensure the municipality is considering all pertinent aspects associated with major infrastructure improvements consistent with the purpose and need of the project.

(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 submitted to the Department previously for funding? No Yes

If yes, when and under what program?

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

If yes, describe the impacts:

7. In the area of the project, are there any known proposed developments?

- No Yes

If yes, describe the proposed developments:

8. 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 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. Accident Experience

Provide a summary of accident experience (most current three years data. An accident diagram is preferred.)

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, was there significant public opposition to the project? Describe below:

(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

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/cwp/view.asp?a=3194&q=484094>

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

(K) Intersection Improvements

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

(L) Bridge Rehabilitation/Replacement

Latest Condition Report

(M) Major Drainage Improvement

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

(N) 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 should be noted. Attach the data obtained. If full depth reconstruction is proposed, cores or test pits are not required.

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:

(O) 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

(P) 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#3.3>. 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 addressed to:

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 & Title of Municipal Chief Administrative Officer

Signature

Endorsed/Recommended by: _____ Date: _____

Name & Title of COG Executive Director

Signature

CONNECTICUT DEPARTMENT OF TRANSPORTATION
BICYCLE AND PEDESTRIAN TRAVEL NEEDS ASSESSMENT FORM

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. This form provides the documentation and information needed to make decisions on the need and extent of bicycle and pedestrian features. This form is not intended to dictate what features should be included in a project design - guidance on those questions can be found in numerous other reference documents. This form should be completed to the extent practical (at least Sections 1-3) during the project scoping phase and fully completed no later than at the completion of the Preliminary Design and attached to the Preliminary Design Statement.

Project Number(s): _____
Type of work: _____
Municipality(s): _____
Route(s): _____
Planning Region(s): _____

SECTION 1 - APPLICABILITY

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. If this project falls into this category, please explain why below, then skip to Conclusions section on the last page, sign the form, and file this form with the project documents. For all other projects, skip this section, go to Section 2 and complete the rest of the form.

CONNECTICUT DEPARTMENT OF TRANSPORTATION
BICYCLE AND PEDESTRIAN TRAVEL NEEDS ASSESSMENT FORM

SECTION 2 – EXISTING CONDITIONS

1. What is the suitability of the project area for bicycle travel according to the ConnDOT Bicycle Map website (<http://www.ctbikemap.org/bikemap.html>)? For town roads, is any portion of the project located on a road identified in a Regional Planning Organization, or Municipal Bicycle Plan? If the route is designated as “less suitable” or “least suitable”, would it be feasible to include improvements in the project to improve these ratings?

2. Describe any existing bicycle and pedestrian facilities within or just beyond the project limits, including features such as sidewalks (include width and material type), shoulder widths, bicycle markings/signs, and bike racks. Also describe any current or proposed features that hinder bicycle or pedestrian travel and the practicality of removing any such obstacles.

3. Is the project located on, or in close proximity to, a route identified in the Department’s Americans with Disabilities Act (ADA) Transition Plan?
http://www.ct.gov/dot/lib/dot/documents/ddbe/ADATransition_Plan_March_2011.pdf

4. Is there a history of bicycle or pedestrian crashes/incidents in the project area? If so, provide details. In addition to ConnDOT crash records, crash information can be found at ctcrash.uconn.edu.

CONNECTICUT DEPARTMENT OF TRANSPORTATION
BICYCLE AND PEDESTRIAN TRAVEL NEEDS ASSESSMENT FORM

SECTION 3 – ASSESSMENT OF CURRENT AND FUTURE NEEDS

Using a location map or aerial photograph, indicate the location of any of the following currently existing or planned typical bicycle and/or pedestrian generators, using the letters indicated (for planned facilities, precede the letter with a P). If the preparer's knowledge of the area is insufficient, consult with appropriate municipal officials. Generally, any facilities within approximately one-half mile of the project limits should be noted. Use this information to answer the following questions.

- Residential Areas (R): Indicate any general areas of dense residential housing
- Parks (P): Include areas that would attract people, whether officially designated as a park or not
- Recreational Areas (RA): Examples include athletic fields, dog parks
- Religious Facilities (C)
- Schools (S)
- Town Centers (TC): typically would include areas where Town Halls, Libraries and other public facilities exist
- Shopping Centers (M): especially centers with businesses where non-motorized customers might be expected (restaurants, bookstores, drug stores, etc.)
- Large Employment Businesses (E): Factories, large office buildings, hospitals, government offices
- Bus Stops (B)
- Public Transit Facilities (T): train/bus stations, airports
- Other (O): other known facilities expected to generate or attract non-motorized users

5. Does the project provide unique or primary access (defined as access which is not otherwise available within approximately one-half mile of the project):

- | | Yes | No |
|---|--------------------------|--------------------------|
| a. Across a river, highway corridor or other natural and/or man-made barrier? | <input type="checkbox"/> | <input type="checkbox"/> |
| b. Into or out of any of the bicycle and pedestrian generators listed above? | <input type="checkbox"/> | <input type="checkbox"/> |
| c. Between communities? | <input type="checkbox"/> | <input type="checkbox"/> |

6. Characterize the existing and future anticipated pedestrian and bicycle travel within the study area, with emphasis on locations and corridors of high demand.

CONNECTICUT DEPARTMENT OF TRANSPORTATION
BICYCLE AND PEDESTRIAN TRAVEL NEEDS ASSESSMENT FORM

SECTION 4 – EVALUATION OF BICYCLE AND PEDESTRIAN ACCOMMODATION

7. Describe any bicycle/pedestrian accommodation features that were considered for inclusion in the project, including benefits, approximate costs and other factors that were considered (e.g. environmental effects, feasibility).

8. Summarize the results of any coordination with stakeholders and general public outreach with regards to bicycle and pedestrian needs, including accommodations proposed during construction. Some of the stakeholder organizations that may be considered for coordination include: Regional Planning Organization, Local Municipalities, ConnDOT Non-Motorized Transportation Coordinator, ConnDOT Bureau of Public Transportation, CT Department of Public Health, Bike Walk Connecticut, and Board of Education Services for the Blind (BESB).

SECTION 5 - CONCLUSION

Describe how the anticipated bicycle/pedestrian travel, including those with disabilities, will be accommodated through existing infrastructure, project-proposed features and features that are planned for the future. If no bicycle/pedestrian features are proposed to be included, explain the reasons for not including them (e.g. project scope applicability from Section 1, excessive environmental or social impacts or costs, safety concerns, etc.).

Prepared by: _____ **Date Prepared:** _____
Project Engineer

Approved by: _____ **Date Approved:** _____
Project Manager

CONNECTICUT DEPARTMENT OF TRANSPORTATION
BICYCLE AND PEDESTRIAN TRAVEL NEEDS ASSESSMENT FORM

GUIDELINES FOR COMPLETING THE FORM:

Section 1: If the type of improvement does not lend itself to including bicycle and/or pedestrian improvements, describe that condition in this section. This section does not apply to reasons such as the project limits are felt to be too short to include meaningful improvements, there is an absence of need, the cost would be too high or the impacts would be too severe.

Section 2, Question 1: For projects on roads that are deemed suitable, designers should consider that the volume of bike traffic is already likely to be significant. For projects on roads deemed “less suitable” or “least suitable”, designers should consider what factors have led to this rating and consider whether the project could improve these ratings.

Question 2: Describe in general terms the existing bicycle and pedestrian facilities (i.e. “Five foot wide concrete sidewalks are provided throughout the project limits with the exception of _____ to _____ where no sidewalks exist”). Also, describe any existing hindrances to bicycle and/or pedestrian travel (such as a narrow bridge, steep side slopes, busy commercial driveways, etc.) and the feasibility of removing or improving the hindrances.

Question 3: If the project is on or close to a route identified in the Department’s ADA Transition Plan, coordination with those improvements is required. Leo Fontaine is in charge of the Department’s Transition Plan. Note: ADA related improvements are still required even if the project is not on one of these routes.

Section 3, Question 6: Based on the information provided on the map, describe where it can be reasonably expected that pedestrians and bicyclists will travel to and from and a general expectation of where these volumes will be high. For example, in an area of dense residential development relatively close to a school, high pedestrian volumes would be expected if sidewalks are present and high volumes of bicyclists could be expected between residential developments and large businesses.

Question 7: List bicycle and/or pedestrian features that were considered for inclusion in the project, regardless of whether or not they were actually included in the design. Describe why these features were, or were not, included.

Question 8: List the stakeholders the designers coordinated with regarding bicycle and pedestrian accommodations. The stakeholders listed are some suggestions. It is not necessary to contact all of these groups and there also may be other groups that could provide useful information.

Section 5: Summarize the results of this form by describing the methods in which bicycle and pedestrian travel is accommodated. For projects described in Section 1 as not being conducive to including these accommodations, describe why.



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, minor nonrecurring purchases of goods and/or services costing less than \$50,000.00 may be made, subject to the limitations set forth below, without prior and specific approval of the Department of Administrative Services (DAS) or Department of Information Technology (DOIT), as appropriate, provided that a DAS or DOIT 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 the \$50,000 limitation. THE AUTHORITY GRANTED BY THIS GENERAL LETTER 71 TO AGENCIES IS PERMISSIVE, NOT MANDATORY; DAS AND DOIT WILL SOLICIT QUOTATIONS, BIDS OR PROPOSALS ON BEHALF OF ANY AGENCY UPON REQUEST.

Application a) Direct purchases of any type of goods or services up to \$2,500.00 (also known as open market purchases) may be made without obtaining quotations or bids. **No Annual limits or restrictions are established.**

b) Purchases over \$2,500.00 and up to \$10,000.00 (annually) must be based upon, when possible, at least three written quotations (utilizing Form STO-93) or bids, from responsible and qualified sources of supply.

c) Purchases over \$10,000.00 and less than \$50,000.00 (annually) 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 (Form STO-93) or bid notice on the State Bid/Contracting Portal at <http://das.ct.gov/portal> in accordance with the provisions in Executive Order #3 of Governor M. Jodi Rell, promulgated December 15, 2004.

d) “Non-competitive purchases” are purchases that may be made without obtaining quotations or bids for the following items only: employee training or certification (i.e., local seminars and/or professional designation/certification type training or workshops), rental of conference and/or hotel facilities, publications, subscriptions (including electronic subscriptions), advertising, dues, fees, certain public utility services (electric generation services, electric distribution services; water services, and natural gas distribution services); cable and satellite television equipment and services; postage, licenses (*excluding software licenses*), eyeglasses, dentures, hearing aids and hearing aid supplies, transportation of persons and freight, prosthetics, media, rehabilitation technology and placement equipment; donations to charitable organizations and scholarship funds; gift cards; sponsorships, 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; payments of parking fees for parking validations; railroad flagging 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; and 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. No annual limits or restrictions are established. Upon the request of one or more agencies, DAS and DOIT, as appropriate, 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 \$10,000.00 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 \$10,000.00 must be directed to DAS or DOIT for processing through a Standardization Transaction request. Such emergency requests must be submitted in writing to DAS or DOIT for approval. **Purchases for repairs, changes or renovations to real property must be made in accordance with the Department of Public Work’s 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 or DOIT, 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 4a-67c.

Review

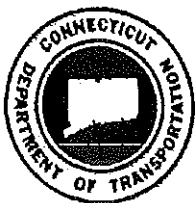
An agency's failure to follow any of the terms or conditions in this General Letter 71 may result in DAS and/or DOIT rescinding the agency's authority to purchase under this General Letter until such time as DAS and DOIT are satisfied that the failure is not likely to recur. DAS and DOIT may review any purchases made under this authority at any time. Agencies must retain copies of their request for quotations (Form STO-93) 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 or DOIT 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 and shall submit reports quarterly to the Commissioner of Administrative Services on its purchase orders issued under this authority. These reports can be formulated in Core-CT through the use of EPM Reporting Tools.

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 or DOIT 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 or DOIT 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 and DOIT 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.

Other Information:

To obtain instructions and assistance in publishing your bid notices under the authority of this General Letter, 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

8/1/2013

Schedule of Minimum Testing

Local Transportation Capital Improvement Program

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 FLDT	75	4 cyl
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	See Note 2 & 3
Topsoil	c.y.	FLDT	project	See Note 1
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

LOTICIP PROJECT NO.: _____

LOTICIP 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/CI/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

Local Transportation Capital Improvement Program Expenditure Summary Form

The following is a brief summary of the audit requirements for the Local Transportation Capital Improvement Program (LOTICIP), which apply to both municipalities and Regional Planning Organizations that receive funding under this program. For your convenience, the *Local Transportation Capital Improvement Program Expenditure Summary Form* can be found on the Department's website at <http://www.ct.gov/dot/cwp/view.asp?a=2303&Q=536574&PM=1>. Questions regarding the form can be directed to Kelly.Cain@ct.gov or via phone at 860-594-2981.

Municipalities and audited agencies (includes a regional planning agency, council of governments, or regional council of elected officials) 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 Intergovernmental Policy Division, Municipal Finance Services Unit. As part of the annual audit process, the *Local Transportation Capital Improvement Program Guidelines* dated November 2013, stipulate that municipalities and Regional Planning Organizations must notify their independent auditor that they have received funds under the LOTICIP. The Independent auditor shall then identify expenditures directly related to the LOTICIP separately from other State financial assistance using the attached *Local Transportation Capital Improvement Program Expenditure Summary Form*. Municipalities should forward completed forms to the appropriate Regional Planning Organization. The Regional Planning Organizations 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 this form is to provide verification by an independent auditor that funds granted to a municipality or Regional Planning Organization have been FULLY expended for the intended purpose, therefore, only expenditures for construction phases and/or studies need to be reported on this form (unexpended funds must be returned to the Department per the LOTICIP guidelines). ROW expenditures approved for LOTICIP will either be reimbursed or incurred by the Department. If a municipality is reimbursed for ROW costs incurred, a payment will be made upon receipt by the Department of required documents supporting the acquisition costs as stated in the LOTICIP guidelines, therefore, expenditure verification by an auditor is not required. If a ROW phase is to be administered by the Department, LOTICIP funding from the appropriate regional summary project will be utilized to fund acquisitions and Department ROW personnel costs, which will be recorded in the State Core-CT accounting system. Expenditure status of LOTICIP funding received by the Regional Planning Organizations for administration of the program should be reported by the RPOs on the *LOTICIP Regional Quarterly Status Report*.

Section 7-393 of the General Statutes stipulates that certified copies of the annual audit report shall be filed within six months from the end of the fiscal year of the auditee. Copies of the *Local Transportation Capital Improvement Program Expenditure Summary Form* should be filed with the CTDOT Local Roads section within 30 days of completion of the annual audit report, and no later than six months after the end of the audit period.

When does the requirement to complete the *Local Transportation Capital Improvement Program Expenditure Summary Form* become effective? The LOTICIP was authorized under Public Act 13-239, with an effective date of November 1, 2013. A review of payments made under the LOTICIP in the State's Core-CT system has determined that there have been no payments to municipalities or Regional Planning Organizations for construction projects or studies as of June 30, 2014, therefore, the first submission of the *Local Transportation Capital Improvement Program Expenditure Summary Form* (if required) should be for the fiscal year that begins July 1, 2014.

CONNECTICUT DEPARTMENT OF TRANSPORTATION

LOCAL TRANSPORTATION CAPITAL IMPROVEMENT PROGRAM EXPENDITURE SUMMARY FORM

REGION:

MUNICIPALITY:

LOTICIP PROJECT NO.: (see page -2- 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-SWMPO; Western CT Council of Governments
- **DOT01703272GR** – LOTICIP HVCEO; Western CT Council of Governments
- **DOT01703273GR** – LOTICIP NORTHWEST HILLS; Northwest Hills Council of Governments
- **DOT01703274GR** – LOTICIP NVCOG; Naugatuck Valley Council of Governments
- **DOT01703276GR** – LOTICIP GBRC; 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 SCCOG; Southeastern CT Council of Governments
- **DOT01703283GR** – LOTICIP NECCOG; Northeastern CT Council of Governments

FINAL DESIGN SUBMISSION DOCUMENTATION

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

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

____ 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

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. 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. Project complies with Connecticut Environmental Policy Act as applicable.
7. 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.

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

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, 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

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 LOTCIP 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)

CT Total Pop. = 3,574,097

2010 Urbanized Area Population by Planning Region

Planning Region	SWMPO	HVMPO	NHCOG	NVCOG	METROCOG	SCRCOG	CRCOG	RIVERCOG	SECCOG	NECCOG	Total
Bridgeport-Stamford Urbanized Area	354,741	30,181	9	120,016	310,446	62,237	0	0	0	0	877,630
Colchester Urban Cluster	0	0	0	0	0	0	975	453	8,670	0	10,098
Danbury Urbanized Area	0	161,199	124	0	0	0	0	0	0	0	161,323
Hartford Urbanized Area	0	0	4,621	77,912	0	0	774,442	67,884	0	0	924,859
Jewett City Urban Cluster	0	0	0	0	0	0	0	0	6,350	3,769	10,119
Lake Pocotopaug Urban Cluster	0	0	0	0	0	0	0	9,267	183	0	9,450
New Haven Urbanized Area	0	0	0	27,144	0	490,981	0	44,714	0	0	562,839
New York-Newark Urbanized Area	114	0	0	0	0	0	0	0	0	0	114
Norwich-New London Urbanized Area	0	0	0	0	0	0	0	5,624	182,417	0	188,041
Springfield Urbanized Area	0	0	0	0	0	0	89,711	0	0	0	89,711
Stafford Springs Urban Cluster	0	0	0	0	0	0	5,581	0	0	0	5,581
Torrington Urban Cluster	0	0	42,754	0	0	0	0	0	0	0	42,754
Waterbury Urbanized Area	0	0	0	193,913	0	622	0	0	0	0	194,535
Willimantic Urban Cluster	0	0	0	0	0	0	6,787	0	22,849	33	29,669
Worcester Urbanized Area	0	0	0	0	0	0	0	0	0	32,928	32,928
Total Urban	354,855	191,380	47,508	418,985	310,446	553,840	877,496	127,942	220,469	36,730	3,139,651
% Total urban Population	11.3%	6.1%	1.5%	13.3%	9.9%	17.6%	28%	4.1%	7%	1.2%	100.0%

Percentage :	0.113	0.061	0.015	0.133	0.099	0.176	0.280	0.041	0.070	0.012	1.00
FY2016/17 LOTCIP Allocation: \$	8,362,000	\$ 4,514,000	\$ 1,110,000	\$ 9,842,000	\$ 7,326,000	\$ 13,024,000	\$ 20,720,000	\$ 3,034,000	\$ 5,180,000	\$ 888,000	\$ 74,000,000
74,000,000											

Note:

[1] suballocation excludes the Litchfield (2,590) and Moodus (2,701) urban clusters because their total population is less than 5,000, therefore, these areas do not qualify for STP Other Urban federal funding.

[2] suballocation excludes 429,155 people located in rural areas. These areas receive funding under the federal STP Rural program