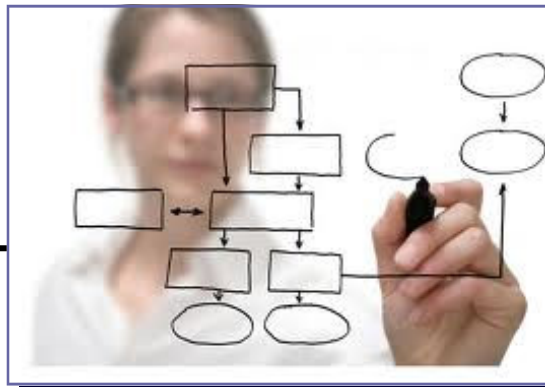


CONNECTICUT DEPARTMENT OF TRANSPORTATION



Local Transportation Capital Improvement Program (LOTICIP)

GUIDELINES



2013



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Introduction

Purpose:

The purpose of the new Local Transportation Capital Improvement Program (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 new LOTICIP program is 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 Planning Organizations (RPO), and municipalities of the state. The guidelines in their draft form were distributed to the urbanized RPO's for review and comment prior to the effective date of the LOTICIP program. The Department's guiding charge was to develop a program whose parameters reasonably satisfy Department,

RPO, 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 RPOs across Connecticut will be responsible for the solicitation, ranking and prioritizing of their municipal members' initial project submittals. Each RPO 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 RPO 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.

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 RPO. 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 Selection/Eligibility:

The LOTCIP is intended primarily to address regional transportation priorities through capital improvement projects prioritized and endorsed by the RPOs, not maintenance-type work. The LOTCIP was not conceived as a municipal aid or sub-allocation program. RPOs should select projects based on regional transportation priorities, deficiencies identified in their long range plans, and the specific merits of the individual projects.

Projects must meet the eligibility requirements of the Federal STP-Urban Program, such as being located on a roadway classified as a collector or higher. The 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 RPOs 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, an RPO 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 RPOs 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 for LOTCIP as a funding source, subject to the Department's current Planning Study Process, and will not be administered in accordance with the LOTCIP guidelines.

Application Solicitation:

RPOs 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.

RPOs, at their discretion, may work with member municipalities to pre-screen project proposals prior to submitting a formal application to the RPO 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 RPO on how it might be prioritized. It is strongly recommended that RPOs 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 RPO:

Upon completion of the LOTCIP application prepared by the municipality, the municipality must forward the application and all supporting documentation to the RPO. The RPO 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 RPO, 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 RPO 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 RPO are to include the following in the appropriate place in the application:

1. Signature and seal 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 Elected Official indicating the municipality's support and recommendation of the project for inclusion in the LOTCIP.
3. Signature of the Executive Director or equivalent of the RPO indicating the RPO'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 RPO
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. RPO Costs
 - a. Each RPO 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 RPO elects to receive LOTCIP funding for costs identified above, it is anticipated that this will be a draw down on the regional allocation of LOTCIP funds. These funds will be conveyed to the RPO as a lump sum amount through a State/RPO Agreement.

Application Review by Department:

Subsequent to submission of the LOTCIP application by the RPO, 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 RPO, 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:

Prior to developing the application for a project proposed on or principally affecting State facilities, the municipality through the RPO should contact the Department to discuss the specifics of the project and how it can best advance through design to construction. Collectively in consultation with the RPO and municipality, it may be determined that the design, right of way, and/or construction phase(s) would be best administered, overseen, and/or performed by the Department. These projects may or may not be developed and constructed in accordance with these guidelines. Minor improvements on or affecting a State facility may be handled through the normal encroachment permit process. If it is determined that an encroachment permit is required, the permit will need to be obtained during the design process and prior to authorization to advertise for construction. While projects administered, overseen, and/or performed by the Department will not follow the LOTCIP guidelines, LOTCIP can still 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 to assist the municipality in achieving compliance with Connecticut Environmental Policy Act (CEPA) based on information provided in the LOTCIP application. The purpose of this review is to assist the municipality in identifying items relative to natural resources, historic/archaeological resources, etc. that are to be investigated and/or addressed during the design phase. Upon completion of the environmental review, the results will be provided to the municipality through the RPO.

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 RPO 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
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 RPO.

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 RPOs employ a review process whereby individuals with expertise in these areas are consulted. These individuals can be other municipal engineers, RPO 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 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 must 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 the project, on locally owned roadways in the LOTCIP process, must be authorized by the municipality and be fully documented and retained in the project records. The Department recommends the fifteen controlling criteria cited in section 6-6.02, Controlling Design Criteria, of the Department's Highway Design Manual for use in the exception process. All exceptions from controlling criteria must be based on sound engineering judgment.

Service Life of Proposed Improvements:

The LOTCIP program 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. Public Act 13-239 places the responsibility of flood management certification (CGS 25-68b to 25-68h) with the municipality when the improvements are on a locally owned roadway or facility.

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 depends 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. RPO 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 RPO for their review and approval. The RPO will then submit that information to the Department for review and approval.

Failure to identify and properly notify the RPO 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 RPO, during the development of the design are eligible costs under the LOTCIP. The costs associated with design reviews by third party consultants will be drawn from the regional 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 RPO upon completion of design and prior to the disbursement of construction funds. Final design submission documentation and certification forms are included in Appendix K.

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 RPO:

1. Complete set of final project plans, specifications, and contract documents, including the signature and seal of the Professional Engineer preparing the project documents (Designer 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.

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 specify any other requirements such as maintenance of project-specific features, etc. If the approved low bid amount exceeds the amount specified in the PAL, a supplemental PAL will be issued. The RPO 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.

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. Small Business Enterprise (SBE)/Disadvantaged Business Enterprise (DBE)/Small Business Participation Pilot Program (SBPPP) goals will not apply to any construction contracts.

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 RPO:

1. Date of bid opening
2. Number of bidders
3. Bid tabulation of lowest three bids

4. Recommendation from RPO Executive Director (or equivalent) for award of project
5. 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
6. 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 the 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.

Party Responsible for Rights of Way Acquisitions:

For projects where it has been determined that rights of way acquisitions **are** required, acquisition activities may be performed by either:

1. The municipality
2. A consultant hired by the municipality. If LOTCIP funds are to be used to pay for consultant services, the services shall be procured as follows:
 - a. For costs up to \$50,000, General Letter 71 (see Appendix E) 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 contracts.

3. The State, if:
 - a. Formally requested of the Department in writing by the municipality; or
 - b. Determined by the State to be in its best interest.

The LOTCIP project application submitted by the municipality through the RPO 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 the 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 or the State performs the right of way acquisition activities.

Cost Participation:

Eligible right of way costs can be funded with:

1. 100% LOTCIP participation with no municipal share; **OR**
2. 100% municipal funds with no participation from LOTCIP

For projects where right of way is to be acquired by the municipality or a consultant hired by the municipality, the municipality may elect to perform the right of way acquisition either:

1. Without funding participation from the LOTCIP
 - a. All costs associated with required acquisitions to be the sole responsibility of the municipality.
2. With funding participation from the LOTCIP
 - a. 100% of eligible documented municipal costs for right of way acquisition 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.

Acquisition of Property by Donation:

On a given project, some or all properties 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, a Waiver of Compensation and Appraisal will be required. See Appendix D for sample.

For Projects Where Right of Way is 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 that there are no right of way acquisition activities required as part of the proposed project.
2. Notify the Department through the RPO if it is discovered during the design phase that right of way acquisitions will in fact be required.

For Projects Where Right of Way is Required:

When it has been determined by the municipality that right of way is required for the project, one of the following cases will apply:

1. Municipality elects to perform right of way acquisition activities for the project at its own cost OR with participation from the LOTCIP.

- a. The right of way acquisition process and documentation will be completed in conformance with the current State of Connecticut DOT-Bureau Of Engineering and Construction – Division of Rights Of Way 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 Serial number
 - 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 D for sample.
- c. Fair Market Value (FMV) must be established by appraisal based upon the uniform standards of professional appraisal practice.
- d. If the project involves an eligible person(s) 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, then the sponsor is responsible for meeting the requirements outlined in the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and providing written certification of conformance with the act.
- e. Agreements:
 - i. If the municipality elects to perform right of way acquisition activities at its own cost with no participation from the LOTCIP, a Municipal/State Right of Way Agreement will not be required.

- ii. If the municipality elects to perform right of way acquisition activities WITH participation from the LOTCIP, a municipal/State right of way Agreement will be required to provide reimbursement for eligible documented municipal right of way expenditures. This Agreement will be prepared by the Department and forwarded to the municipality for signature.

2. The State performs right of way acquisition activities for the project

- a. The municipality will be responsible for providing to the State:
 - i. Schedule of Property Owners
 - ii. Title Mylar
 - iii. All required Property Maps
- b. Agreements:
 - i. A Municipal/State Right of Way Agreement will be required. This Agreement will be prepared by the Department and will be forwarded to the municipality for signature.

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 and minor unforeseen field conditions, 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 RPO 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 E) 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.

SBE/DBE/SBPPP goals will not apply to any consultant 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 F). Final Materials Certification must be certified by the Engineer and included in the Final Package submitted to the Department through the RPO subsequent to construction completion.

Minimum testing must include sufficient material testing for structural materials (i.e. concrete, steel, reinforcement, etc.), roadway materials (gravel, sub base, 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 RPO to the Department's listed contact:

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

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 RPOs using the same method that has been followed under the Federal STP program. MAP-21, like prior Federal highway legislation, requires sub-allocation of fifty percent 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
SWRPA	354,855	11.3
HVCEO	191,380	6.1
NORTHWEST HILLS	45,428	1.4
COGCNV	260,231	8.3
VCOG	88,249	2.8
GBRC	310,446	9.9
SCRCOG	553,840	17.6
CCRPA	222,955	7.1
CRCOG	701,200	22.3
RIVERCOG	127,942	4.1

SECCOG	197,620	6.3
WINCOG	48,808	1.6
NECCOG	36,697	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. 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 RPO:

The sub-allocations by RPO 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 RPO:

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. For State fiscal years 2016 and beyond, the RPOs 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:

The LOTCIP does not become effective until November 1, 2013. Therefore, allocation of funding authorized under P.A. 13-239 for State fiscal year 2014 will be requested by the Department at the first meeting of the State Bond Commission to be held after the program’s effective date of November 1, 2013. In future fiscal years, an allocation request for the **full amount** of funding authorized in the Department’s Capital Budget will become part of the annual July bond package submission by the Department.

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 RPO 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 RPO'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 RPO 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 RPOs 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 determines that it would like the Department to perform right of way acquisition activities. 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 RPO 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. RPOs are, however, strongly encouraged to minimize their accumulation of rollover funds. Balances will be monitored and the Department will work with the RPOs to minimize accumulation of unprogrammed funds.

Use of Funds as Match for Federal Funding:

The LOTCIP was initiated partly in response to long standing concerns from the RPOs 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. However, in cooperation with the RPO, LOTCIP funds can be used as a source of construction funds for larger Department 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 I). 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 RPO 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 RPO's LOTCIP allocation and will be available for use on future LOTCIP projects within the RPO.

Quarterly Status Reports:

It is expected that projects will commence and be completed in a timely manner. In order for the Department to monitor project progress, quarterly updates are to be provided to the Department in the format provided in Appendix J. The RPO 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 advertising 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.

The Department will provide a quarterly report to each RPO that will identify payments made and funds available to program as of the date of the report. Please note that preparation of quarterly reports by the Department will require use of the information to be provided by the RPOs in their required quarterly status report. It is therefore important that prompt submission of the quarterly status report be adhered to by each RPO. The Department will provide a quarterly report to each RPO within two weeks after receipt of the quarterly status report from the RPO.

Department Oversight Costs:

A project will be established by the Department for program and project level administration of the LOTCIP. Each State fiscal year, an amount based on projected administrative needs will be set aside 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

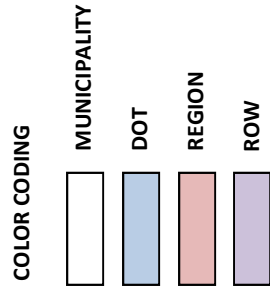
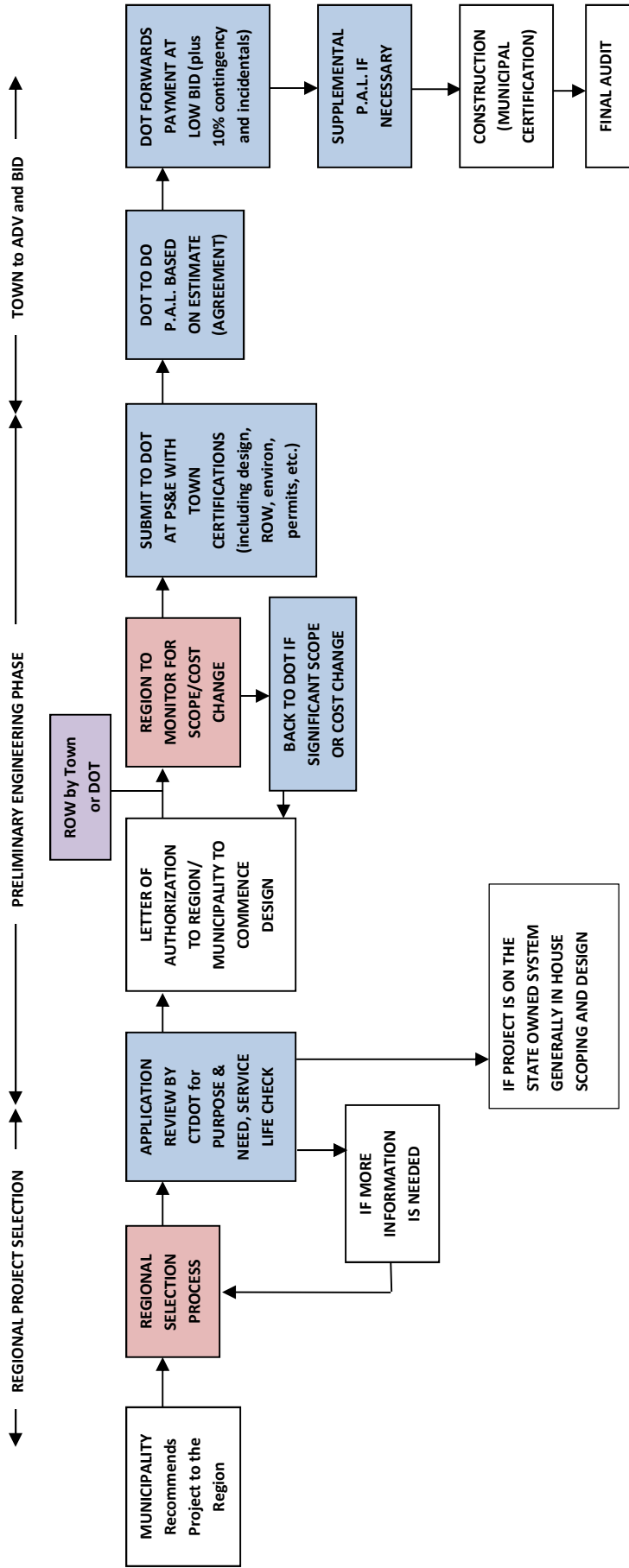
860-594-2673

anthony.kwentoh@ct.gov

Appendices

- A. LOTCIP Flow Chart
- B. LOTCIP Application
- C. Bicycle and Pedestrian Travel Needs Assessment Form
- D. Sample Waiver of Compensation and Appraisal
- E. General Letter 71
- F. LOTCIP Schedule of Minimum Testing
- G. Final Materials Certification
- H. CON-501L
- I. LOTCIP Expenditure Summary Form
- J. Regional Quarterly Status Report
- K. Final Design Submission Documentation and Certification Forms
- L. 2014 Regional Allocations Spreadsheet

DRAFT LOCAL TRANSPORTATION CAPITAL IMPROVEMENT PROGRAM



June 2013



Connecticut Department of Transportation



Local Transportation Capital Improvement Program Application

Municipality: _____ RPO: _____

Route/Road: _____

Project Title: _____

Roadway Functional Classification (if applicable): _____

RPO 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

2. Describe the purpose and need of the project. Please include specific information and describe in enough detail for those unfamiliar with the project. Provide a range of digital photographs to document the existing conditions and support the purpose and need.

3. Provide a project description and specifically describe how the proposed improvements address the purpose and need. What alternates were considered?

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:

- a. Project location
- b. Limits of project
- c. Approximate limits and extent of any pavement widening or realignment
- d. Proposed number of lanes, widths, and arrangements
- e. Approximate limits and extent of any anticipated ROW acquisitions (based on available ROW information from Assessors maps, GIS data, etc.)
- f. Structures (i.e. Retaining walls, bridges)
- g. Watercourses
- h. 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? _____

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 identified 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 C). 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

Attach a preliminary cost estimate identifying:

- 1. Rights of Way
- 2. Approximate quantities and assumed unit prices of the major contract items
- 3. An allowance for minor items

4. Standard lump sum items (i.e. clearing & grubbing, mobilization, construction staking, maintenance & protection of traffic) as applicable
5. Eligible Utility Relocation Costs (in accordance with CGS13a-98f)
6. Incidentals to Construction, i.e. construction inspection, materials testing (10% of items 2, 3, and 4 above)
7. Contingencies (10% of items 2, 3, 4 above)

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

(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 RPO. At such time when the application is to be forwarded to the Department of Transportation by the RPO, 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 of Responsible P.E. (Municipal or Consultant)

Signature

Reviewed/Recommended by: _____ Date: _____

Name & Title of Municipal Chief Administrative Officer

Signature

Endorsed/Recommended by: _____ Date: _____

Name & Title of RPO Executive Director (or equivalent)

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.

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
Chemcial Anchor	lb.	QPL MC	project	
Concrete-Ready Mixed	c.y.	T22 FLDL	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

LOTCIP PROJECT NO.: _____

LOTCIP PROJECT DESCRIPTION: _____

MUNICIPALITY: _____

THIS IS TO CERTIFY THAT:

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

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

- NONE

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

Signature: _____ Date: _____

Typed Name: _____

Title: _____

License No.: _____

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

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

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

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

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

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

MUNICIPAL 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.

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

Municipality to fill out form and submit to Engineer for signature of acceptance.
 Engineer Returns to Municipality for their signature
 Municipality to send completed original form to contractor with copy to ConnDOT

CONNECTICUT DEPARTMENT OF TRANSPORTATION

LOCAL TRANSPORTATION CAPITAL IMPROVEMENT PROGRAM EXPENDITURE SUMMARY FORM

REGION: Capitol Region Council of Governments

MUNICIPALITY: Manchester

CTDOT PROJECT NO.: (regional project # to be established)

STATE GRANT ID NO.: Fund_DOT57000_SID (still to be assigned)

PERIOD COVERED: July 1, 2011 to June 30, 2012

Route/Road	Project Title ¹	Phase ²	Current Period Expenditures ³	Total Expenditures to Date ⁴	Final Expenditures ⁵
CT44	Realign W. Middle Tpke @ Center & New State	CN	\$1,000,000	\$3,000,000	<input checked="" type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>

Note: The audit period covers the state fiscal year, although a project may not span the entire fiscal year.

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

²ROW (if municipality received reimbursement from the LOTCIP program for right-of-way costs) or CN for construction.

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

⁴For projects that span multiple fiscal years.

⁵**Important** - check box if project is complete and these are final expenditures. The final expenditures will be audited by the CTDOT External Audit Unit against the Project Authorization Letter/grant payment made for the project under review to determine if funds are due the Department.

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: _____

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

Name: _____

Firm: _____

License No.: _____ Telephone: _____ FAX: _____

Street Address: _____

City, State, ZIP: _____

E-Mail: _____

Municipal Information:

Name & Title of Official Contact: _____

Street Address: _____

City, State, ZIP: _____

Telephone Number: _____ FAX: _____

E-Mail: _____

RPO 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
- ___ Master Certification Checklist

Project Cost Data Summary

	<u>Initial Application</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. An encroachment permit has been obtained from the Department during the design phase 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.

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.

All property rights have been acquired and 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 DESIGNER 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 or Seal)

Local Transportation Capital Improvement Program

RPO ENDORSEMENT

Project Title: _____

I, _____, duly authorized
name

by the _____
name of RPO

do certify and attest to the following:

- 1. That the final submission package for the project is complete.
- 2. That the RPO has selected this project as a regional priority and has authorized the use of the RPO'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 RPO hereby fully supports the proposed project.

Signed _____ Date _____

Title _____

(Executive Director or Equivalent)

CT Total Pop. = 3,574,097

2010 Urbanized Area Population by Planning Region														
Planning Region	SWRPA	HVCEO	NORTHWEST HILLS	COSNV	VOOG	GBRC	SCRCOG	CCRPA	CRCOG	RIVERCOG	SECCOG	WINCOG	NECCOG	Total
Bridgeport-Stamford Urbanized Area	354,741	30,181	9	31,767	88,249	310,446	62,237	0	0	0	0	0	0	877,630
Colchester Urban Cluster	0	0	0	0	0	0	0	0	0	453	8,670	0	0	10,098
Danbury Urbanized Area	0	161,199	124	0	0	0	0	0	0	0	0	0	0	161,323
Hartford Urbanized Area	0	0	2,541	7,487	0	0	0	222,875	604,933	67,884	0	19,139	0	924,859
Jewett City Urban Cluster	0	0	0	0	0	0	0	0	0	0	6,350	0	3,769	10,119
Lake Pocotopaug Urban Cluster	0	0	0	0	0	0	0	0	0	9,267	183	0	0	9,450
New Haven Urbanized Area	0	0	0	27,144	0	0	490,981	0	0	44,714	0	0	0	562,839
New York-Newark Urbanized Area	114	0	0	0	0	0	0	0	0	5,624	182,417	0	0	114
Norwich-New London Urbanized Area	0	0	0	0	0	0	0	0	89,711	0	0	0	0	188,041
Springfield Urbanized Area	0	0	0	0	0	0	0	0	5,581	0	0	0	0	89,711
Stafford Springs Urban Cluster	0	0	0	0	0	0	0	0	0	0	0	0	0	5,581
Torrington Urban Cluster	0	0	42,754	0	0	0	0	0	0	0	0	0	0	42,754
Waterbury Urbanized Area	0	0	0	193,833	0	0	622	80	0	0	0	0	0	194,535
Williamantic Urban Cluster	0	0	0	0	0	0	0	0	0	0	0	29,669	0	29,669
Worcester Urbanized Area	0	0	0	0	0	0	0	0	0	0	0	0	32,928	32,928
Total Urban	354,855	191,380	45,428	260,231	88,249	310,446	553,840	222,955	701,200	127,942	197,620	48,808	36,697	3,139,651
% Total Urban Populator	0.1130237	0.0609558	0.0144691	0.0828853	0.0281079	0.0988791	0.1764018	0.0710127	0.2233369	0.0407504	0.0629433	0.0155457	0.0116882	1.0000000

Percentage (rounded):	0.113	0.061	0.014	0.083	0.028	0.099	0.176	0.071	0.223	0.041	0.063	0.016	0.012	1
FY2014 Allocation:	\$ 4,972,000	\$ 2,664,000	\$ 616,000	\$ 3,652,000	\$ 1,232,000	\$ 4,386,000	\$ 7,744,000	\$ 3,124,000	\$ 9,812,000	\$ 1,804,000	\$ 2,772,000	\$ 704,000	\$ 528,000	\$ 44,000,000

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