Winston-Salem MPO
Federal Funding Workshop 2019
Marta Matthews and Madeline Rawley, Local Programs Management Office
November 16, 2021
Locally Administered Projects Overview

What you will learn from this Presentation:

• Major Steps of administering a federal-aid project by a local government agency
• Resources available for local government agencies
• EBS Portal – managing your project online
Basic Requirements for Federal-aid Projects

• Federal-aid funding is cost-reimbursement
• Funding Authorization is required prior to each phase of work
• Local Government Agency (LGA) has the responsibility to deliver the project
• NCDOT has the responsibility to provide oversight to LGAs and ensure appropriate use of funds
PROJECT DELIVERY – MAJOR STEPS
Pre-Construction “Mountain”

Right of Way (ROW) Authorization
- Final Plans, Specifications, and Estimate
- Right of Way/Utility/RR Certification
- Right of Way Acquisition (and Utility Relocation)
- Right of Way Plans
- Environmental Document
- Procuring Professional Services
- Agreement
- Programming (includes Schedule)

Preliminary Engineering (PE) Authorization
Construction "Mountain"

- Construction (CON) Authorization
- Bidding, Letting, and Awarding Construction Contract
- Construction
- Construction Engineering and Inspection
- Final Inspection and Project Acceptance
- Final Reimbursement
- Final Voucher Date
- Maintenance
Agreement

- Requested by the LGA through the EBS Portal
- Executed between NCDOT and the Local Governmental Agency
- Includes provisions that LGA must comply with in order to receive reimbursement
- Includes funding, time frames, scope of work, and responsibilities

**Funding Authorizations cannot occur until a fully executed agreement is in place.**
Agreement

• Federal Funding Accountability and Transparency Act (FFATA)
  – FFATA Subrecipient Form – is required to be completed once each state fiscal year or each time contact or officer information changes, until the project is completed.
  – The NCDOT requires that Subrecipient data be provided by each Local Agency Subrecipient working on federally funded projects of $30,000 or greater.
  – It is only required for Subrecipients that use Federal funds for locally administered Transportation and Infrastructure projects.
  – The form can be found in the Forms & Templates column at https://connect.ncdot.gov/municipalities/Funding/Pages/default.aspx.
  – Form need to be submitted to the NCDOT Fiscal Management Division, Kelly Blackwood (ksblackwood@ncdot.gov).
Funding Authorizations

For every phase that is eligible for reimbursement, the LGA must request funding authorization through the EBS

- **PE: Preliminary Engineering** – pays for professional engineering services, and other pre-construction activities
- **ROW: Right of Way and Utility Relocation** – pays for costs of acquiring ROW, relocating utilities, appraisals and other ROW associated costs
- **CON: Construction** – pays for the construction contract, construction engineering and inspection (CEI), and contract administration.
Funding Authorizations

• Note deliverables (from the steps) that are needed prior to requesting funding authorization

• Funding authorization starts the clock with FHWA

• Funding authorization still requires reviews of proposed costs with NCDOT prior to LGA incurring costs

• NCDOT will use your funding
Professional Services

- LGA is responsible for soliciting and selecting consultants in accordance with federal regulations, state statutes, and NCDOT policy.

- NCDOT provides a standard template that can be adapted for either Design or CEI work as needed.

- LGA must follow a qualifications-based selection process; NCDOT will review and concur with the selection of a consultant and the negotiated amount of the contract.
Environmental Documentation

- Must be in conformance with NEPA – National Environmental Policy Act
- Must also comply with other Federal environmental laws
- Most projects qualify as a Categorical Exclusion (CE) Document

In order to authorize either ROW funds or Construction funds, we must have a completed environmental document.
Design

- Follow NCDOT Design Standards for Roadways and Structures
- Use NCDOT details, for example wheelchair ramps, curb and gutter, etc.
- Work with Division on when plans should be submitted for review; complex projects may need an earlier review than simpler projects
- Review may occur solely at the Division or certain reviews may occur in Raleigh
Right of Way

• Any kind of ROW, whether it’s acquisition in fee simple, or you’re entering into an easement (temporary or permanent), or an encroachment, must be properly documented and then certified.

• All acquisition must be in conformance with the “Uniform Act,” whether ROW Acquisition is being reimbursed with Federal funds or not.

• Appraisals must be reviewed by NCDOT, even if ROW is not an eligible expense; NCDOT will provide a concurrence in “just compensation”.

If ROW is an eligible phase, ROW Funding must be authorized prior to acquiring ROW.
Right of Way / Utility / RR Certification

• Certification ensures that LGA has control of all ROW needed for project and the ROW is clear from all obstructions.

• Either the LGA owns outright or has a lease, easement, or other legal document to control ROW.

• Certification should also address any utility or railroad conflicts:
  – Utilities should be relocated out of the project area; or,
  – Utility relocation should be included in the construction contract; and,
  – Any RR conflicts must be documented with agreements/approval from RR to encroach on their property.
Contract Proposal and Estimate

- Contract Proposal is prepared in accordance with the 2018 *North Carolina Standard Specifications for Roads and Structures*
- Proposal will include federal provisions that will be part of the contract
- The engineer’s estimate is a line-item estimate that references the Spec Book or special provisions
- The engineer’s estimate is also used to set a goal for Disadvantaged Business Enterprise firms
Construction Procurement

- Advertising and Letting a Construction Contract can only occur after Construction funds are authorized.
- NCDOT must review and concur in the LGA’s proposal to award a construction contract.
- We have template letters and forms to use when requesting concurrence.
Construction

- Contract Administration and Construction Engineering & Inspection (CEI) is accomplished by the LGA in accordance with the NCDOT Construction Manual

- LGA should hire a professional engineering firm to provide these services – follow Professional Services guidance

- NCDOT will provide oversight through the Division Office or the Resident Engineer’s Office

- NCDOT must concur with the LGA’s acceptance of the project before final reimbursement can be made
Reimbursement

- Can occur throughout the project as costs are incurred
- LGA pays full invoice; NCDOT reimburses 80% of eligible costs up to amount in agreement
- Final Reimbursement will not occur until project is complete, accepted by NCDOT, and all reporting and other requirements have been accomplished
Close-Out and Final Voucher Date

- Department will process several items related to closing out the LGA project:
  - Ensuring that LGA has all appropriate records
  - Calculating any costs that the LGA owes the Department
  - Certifying materials permanently incorporated in the Project

- Once these items are accomplished, NCDOT will request FHWA close the project and issue a Final Voucher Date

- Final Voucher date will start retention of records period
RESOURCES

https://connect.ncdot.gov/municipalities/Funding/Pages/default.aspx

Local Projects Administration
Guidance to help municipalities implement and deliver locally-administered transportation projects.

Introduction
The Local Programs Management Office (LPMO) provides guidance and oversight to Local Government Agencies (LGA) that receive federal or state funds to implement a project, program, or study. LPMO establishes standard operating procedures for those projects that are administered by an LGA.

WHAT IS A LOCALLY ADMINISTERED PROJECT?
Local Projects Administration
Guidance to help municipalities implement and deliver locally-administered transportation projects.

ENTERPRISE BUSINESS PORTAL (EBS)
The New Local Project Management Tool is now LIVE! Please use the Security Form (look to the right under "Forms and Templates") to request a user id and password.

ACCESS to the Project Management Tool: Enterprise Business Services

HELPFUL HINTS to navigating the EBS Portal: LGA Helpful Hints for EBS Jan 2019

WEBINAR: February 2015 Notes

Local Projects Management Tool - Training Webinar PPT Notes.pdf

FORMS & TEMPLATES
Letter from LGA Requesting Concurrence with PEF Selection

Letter from LGA Requesting NCDOT Concurrence with Construction Contractor

Project Information Data Sheet

Questions???
Local Project Management Tool

The Project Management Tool on the EBS Portal will be used to:

• Request New Agreements and Supplemental Agreements
• Submit Documents for review by the Department
• Request Funding Authorizations for each phase of work
• Submit Reimbursement Requests for work performed

*The system is only available for projects with CMAQ, STPDA, or TAPDA funding.*
LPMO Security Form

- Must have a user id and password to access the EBS portal and Local Projects.
- Form is on the Connect website.
- If you already have access to EBS portal, then indicate that in Section 2 of the form.
Local Project Management Tool
Application Process – Agreement Request
Application Process – Agreement Request
Actions for Application

Your Application will be Returned, Rejected or Approved:

**Returned:** If the application needs to be corrected, or needs additional information

**Rejected:** If the Project is not programmed in the STIP, you can’t start agreement process.

**Approved:** An Agreement is started by the LPMO
View Agreement / Submit Documents
View Agreement / Submit Documents
View Agreement / Submit Documents

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<tr>
<th>Agreement ID</th>
<th>Description</th>
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View Agreement / Submit Documents
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To attach a document, select the document using the value help. If you upload a document from your local hard disk, you can enter a name for the document. If you choose to enter a name, this name is displayed in the attachment list. If you do not enter a name, the file name is displayed.

Upload Document From Local Hard Disk:

Name: 
Description: 

Upload Document From Local Hard Disk: Browse...
View Agreement / Submit Documents
### Documents you will Submit

#### Items You Will Submit for Review

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<th>Activity</th>
<th>Description</th>
<th>Activity</th>
<th>Description</th>
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<td>PS: PE RFLOI</td>
<td>Advertisement to solicit for engineering firms for design, environmental doc, etc.</td>
<td>PRE-CON: ROW APPRAISAL DOCUMENTS</td>
<td>Documents related to appraisal of ROW</td>
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<td>PS: PE – PEF SELECTION PROCESS</td>
<td>Letter requesting concurrence on how LGA selected PEF for design or CEI Services</td>
<td>PRE-CON: ROW CERTIFICATION DOCUMENTS</td>
<td>Documents related to acquisition of ROW</td>
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<td>PS: PEF TASKS AND MANDAYS W RATES</td>
<td>Cost Estimate spreadsheet for PEF</td>
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<td>Certification documents for Utilities/Railroad</td>
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<td>Advertisement to solicit for engineering firms for ROW Professional Service.</td>
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<td>Letter requesting concurrence in LGA award to low bidder and supporting documents</td>
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<td>Cost Estimate spreadsheet for ROW Professional Service.</td>
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<td>PS: CEI EXEMPTION</td>
<td>Request for CEI Exemption for PEF to perform Design and CEI services</td>
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<td>PS: CEI RFLOI</td>
<td>Advertisement to solicit for engineering firms for Construction Engineering Inspection (CEI) Services.</td>
<td>CON: SUBCONTRACTOR AGREEMENT FORMS</td>
<td>Subcontractor Agreements b/w Contractor and Sub</td>
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<td>PS: CEI COST SPREADSHEET</td>
<td>Cost estimate spreadsheet for PEF</td>
<td>CON: WORKING/SHOP DRAWINGS</td>
<td>Any Drawings done by contractor for retaining walls, bridges, culverts, signal equipment, etc.</td>
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<td>PS: PEF CONTRACT – CEI</td>
<td>Draft contract with PEF for CEI</td>
<td>CON: CONCURRENCE REQUEST – CONSTRUCTION COMPLETE</td>
<td>Letter from LGA to DOT requesting concurrence; includes letter from LGA to Contractor</td>
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<td>PRE-CON: ENVIRONMENTAL DOCUMENT</td>
<td>CE Checklist and supporting documentation</td>
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<td>Cost estimates for Utilities/Relocation</td>
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Submit Change Request
Submit Change Request

Search Criteria
- TIP number
- Is

Maximum Number of Results: 100

Search Criteria
- Search
- Clear

Result List

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Change Request Form
Submit Change Request
Submit Reimbursement Request
Submit Reimbursement Request
Submit Reimbursement Request
# Submit Reimbursement Request

**DBE/MBE/WBE sub-contractor vendor payments made during this invoice period?**

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**AUTHORIZING SUB-RECIPIENT SIGNATURE**

- The information supplied in this claim is true to the best of my knowledge, and conforms with the terms and conditions of this agreement.

**Name:** [Agustin Rodriguez]  
**Date (mm/dd/yyyy):** 11/15/2021

[Check] [Save] [Submit]
Submit Reimbursement Request
Helpful Hints for Using EBS Portal

• We now suggest browsers other than Internet Explorer

• If you forget your password, you must CALL the SAP Help Desk

• System times out quickly – plan your work accordingly

• Check your SPAM or JUNK Folder for system e-mails

• All notification e-mails should include TIP number

• Use the “wrench” symbol to personalize each section for viewing
Questions???
Thank you!

Local Programs Management Office
NCDOT – Transportation Program Management

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