Local Transportation Capital Improvement Program (LOTCIP)

GUIDELINES

2013
Table of Contents

Introduction

Application Process/Preliminary Project Submittals

Preliminary Engineering/Project Design

Rights of Way

Construction

Financials

Contacts

Appendices

LOTCIP Flow Chart

LOTCIP Application

Bicycle and Pedestrian Travel Needs Assessment Form

Town Buy Package Checklists

Sample Waiver of Compensation and Appraisal

General Letter 71

LOTCIP Schedule of Minimum Testing

Final Materials Certification

CON-501L

LOTCIP Expenditure Summary Form

Regional Quarterly Status Report

Final Submission Documentation and Master Certification Checklist

2014 Regional Allocations Spreadsheet
Introduction to the Local Transportation Capital Improvement Program

Connecticut Department of Transportation

Draft Guidelines September 2013

The purpose of the new Local Transportation Capital Improvement Program (LOTCIP) is to provide state monies to urbanized area town governments in lieu of federal funds otherwise available through the federal transportation legislation. The new LOTCIP 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 the 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 town owned facilities in the Surface Transportation Program (STP) Urban program will be utilized by the Department for eligible activities on state owned assets.

**Background:**

In order to administer the 40-50 million dollar 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 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 town owned roadways that qualify for Federal-aid. The recent 2009 Federal 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 town 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 LOTCIP program. Our guiding charge was to develop a program whose parameters reasonably satisfy the Department’s, RPOs’ and Municipalities’ needs. Our goals are to ensure a quality long term capital improvement, minimal oversight by the Department, to maintain flexibility, and to review and modify these guidelines as necessary to achieve these objectives.

**Introduction:**

The RPOs across Connecticut will be responsible for the solicitation, ranking, and prioritizing of their member town’s 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 are with municipal officials and not the Department. Initial review of the Town’s plans by State personnel are intended to determine eligibility and service life and we rely on the Town for both the actual correct design and complete checking of every aspect of the design by their personnel. Reviews by State personnel are of selective items at the reviewer’s discretion, and these general reviews are not to be construed as detailed checks of every aspect of the plans.

An overview of the LOTCIP process is shown in the flow chart included in the Appendix.
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 the Appendix.

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 town-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, with the following modifications:

- The RPOs will be allowed to allocate a maximum of 15% of their annual STP Urban 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.
- Although recreational trail 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.
- Projects must have a minimum cost of $300,000 to qualify for LOTCIP funding.

Application Solicitation:
RPOs should solicit and prioritize projects as necessary to ensure there are a reasonable number of candidate projects available to fully utilize the LOTCIP funding allocation.

RPOs, at their discretion, may work with member towns 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 and preliminary concept level engineering, without any indication from the RPO on how it might be prioritized.

**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 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 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. Accuracy of proposed impacts, including environmental, rights of way, utilities, etc.
5. Accuracy of estimated project costs
6. Inclusion of supporting documentation

**Use of Consultants:**

Municipalities and the RPOs may elect to use consultants in the preparation and evaluation of the LOTCIP application and supporting materials.

**Submission of Application to Department:**

The RPO will be responsible for forwarding 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:**

LOTCP 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.
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:**

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

**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, at its discretion the Department may choose to review various aspects of any application package in more detail should it be deemed appropriate. The Department may also ask for additional information or supporting documentation from the municipality or the RPO for any LOTCIP application under review.

**Projects on or affecting State Facilities**
During the application review process and in coordination with the RPO, it may be determined that the design, right of way, and/or construction phase(s) of a project proposed on or otherwise affecting State facilities will be administered by the Department. These projects may not be administered in accordance with these guidelines.

**Information Provided by the Department**

For projects approved for funding by the Department under the LOTCIP, the Department will perform an environmental screening review based on information provided in the LOTCIP application. 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, 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 Connecticut Environmental Policy Act (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, it is strongly recommended that municipalities and RPOs employ a peer review process whereby individuals with expertise in these areas are
consulted to ensure that scopes of services are complete, design fees are reasonable and contracts/agreements are sound.

**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.

**Deviations from Design Standards**

Any deviations from the design standards utilized for the project must be authorized by the municipality, be fully documented and retained in the project records. All deviations from design standards must be based on sound engineering judgment.

**Service Life of Proposed Improvements:**

Projects funded under the LOTCIP must be designed to provide a 20-year service life of the proposed improvements. That will include the use of 20-year projections of traffic volumes, and full-depth pavement design for an approximate 20-year service life.
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.

**Exceptions:**

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.

**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. 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 identifying the basic project information and a contact for further inquiry/comment may suffice.

**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:
In general, the Department will not be reviewing any design-related or technical information during the design phase. Typically, unless project-specific details dictate otherwise, 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. However, if there is a change in project scope and/or 20% change in cost, a revised application will be required to be submitted to the Department through the RPO for review and approval along with any other documentation necessary to support the change.

Eligible/Ineligible 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.

2. Design Reviews
   a. Costs associated with design reviews performed by third-party consultants during the development of the design are eligible costs under the LOTCIP.

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 submission to be made to the Department though the RPO upon completion of design and prior to the disbursement of construction funds. A Master Certification Checklist is included in the Appendix.

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

Final Submission to the Department:

When the project design is completed and the municipality is 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. Completed Master Certification Checklist

The Department will review the project plans and cost estimate to confirm that the project scope and cost is consistent with the scope and cost approved as part of the application process.

**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). The PAL will serve as the project agreement between the State and the Municipality for the construction phase and will specify the approved project construction cost based on the final submission 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 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) goals will not apply to any construction contracts.

**Receipt of Bids/Bid Opening:**
The municipality will be responsible 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. Approval from RPO Executive Director (or equivalent) for award of project
5. Justification if the low bid is 10% above or below than the final engineer's estimate
6. Anticipated award date
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 Right-of-Way Acquisitions:
For projects where it has been determined that right-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, State procurement regulations will apply, as outlined in General Letter 71 (see appendix), SBE goals will not apply to any consultant contracts.
3. The State, if:
   a. Formally requested of the Department in writing by the municipality
   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 plans to have 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 LOTCIP.
   a. All costs associated with required acquisitions to be the sole responsibility of the municipality.
2. With funding participation from 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.

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 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. Case 1: Municipality elects to perform right of way acquisition activities for the project at its own cost with no participation from 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. Municipality must submit the following for approval prior to disbursement of project construction funds to the municipality by the State:
      i. Completed Town Buy Package Checklist (See Appendix for sample)
      ii. Documentation package for each property acquired, including:
         1. Serial number
2. Title Certification
3. Appraisal*
4. Written offer*
5. Recorded deed
6. Record of payment*

*Waivers of Compensation and Appraisal may be requested if property is donated to the Municipality. See Appendix 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 homes, businesses or farms 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: No municipal/State ROW Agreement will be required under Case 1.

2. Case 2: Municipality performs right-of-way acquisition activities for the project with 100% participation from 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. Municipality must submit the following for approval prior to disbursement of project construction funds to the municipality by the State:

i. Completed Town Buy Package Checklist (See Appendix for sample)

ii. Documentation package for each property acquired, including:
   1. Serial number
   2. Title Certification
   3. Appraisal*
   4. Written offer*
   5. Recorded deed
   6. Record of payment*
Waivers of Compensation and Appraisal may be requested if property is donated to the Municipality. See Appendix for sample.

c. 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 homes, businesses or farms 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: A municipal/State ROW Agreement will be required to provide reimbursement for municipal expenditures incurred under Case 2. This agreement will be prepared by the Department and will be forwarded to the municipality for signature.

3. Case 3: 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: A municipal/State ROW 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 LOTCIP guidelines.

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:

- 100% of accepted low bid
- 10% of low bid for contingencies to provide an allowance for normal quantity adjustments and minor unforeseen field conditions
- 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.

Costs associated with design services during construction are not eligible 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 will be adhered to.
**Inspection:**

Inspection must be adequate to satisfy the Designer of Record (PE licensed in CT), as well as to adequately document that the project was built in accordance with the final plans and specifications and that LOTCIP funds were expended properly on the approved project.

**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:

- Be thoroughly knowledgeable of the day-to-day operations of the project, contractors and the inspection forces
- Be aware of and involved in decisions relative to changed conditions, which require construction orders agreements
- Visit the project, as needed, commensurate with the magnitude and complexity of the project and project activity
- Be responsible and in charge of the consultant/inspection staff during all stages of the project
- Attend all project meetings as warranted/requested
- 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.

**Municipal Inspection Staff:**

Minimum qualifications and experience of the municipal inspection staff must be acceptable to the municipal engineer or the Designer of Record and be able to satisfactorily perform the required functions.

**Consultant Inspection Staff:**

If consultant inspection is to be utilized on the project, the Municipality should refer to the Department’s Construction Engineering and Inspection Information Pamphlet for Consulting Engineers for guidance on the roles and responsibilities of the inspection staff and recommended levels of experience and training. The pamphlet can be accessed via the following website:

If LOTCIP funds are to be used to pay for consultant inspection services, State procurement regulations will apply, as outlined in General Letter 71 (see appendix). SBE goals will not apply to any consultant contracts.

**Quality Assurance Procedures:**

The Municipality and/or their consultant must possess and maintain Quality Assurance procedures that will be employed to monitor the Contractor’s performance.

**Quality Control:**

Quality Control is the responsibility of the Contractor and should be a contractual requirement.

**Material Testing:**

In the absence of equivalent or higher local standards, materials incorporated into the project must be tested in accordance the Department’s Schedule of Minimum Testing for the LOTCIP (See Appendix). Final Materials Certification must be certified by the Designer of Record (PE licensed in CT) 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, subbase, etc.), and HMA to assure the integrity of construction.

**Recordkeeping:**

Recordkeeping must include, but is not limited to:
1. Inspector’s 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.

**Project Updates and Final Package:**

The municipality must submit the following completed certifications and forms to the Department through the RPO:
1. Status of Work Updates: Start, Suspend, Resume, Completed – signed by Municipal Official (copy of respective letters to the Contractor will satisfy this requirement)
2. Acceptance of Project (CON-501L) signed by RPO Official, Municipal Official and Designer of Record (PE licensed in CT). A sample of this form can be found in the Appendix.

3. Final Materials Certification must be certified by the Designer of Record (PE licensed in CT). A sample of this form can be found in the Appendix.

**Project Authorization Letter (Municipal/State Agreement):**

The municipality will be required to execute a Project Authorization Letter (PAL) for the project prior to the disbursement of the grant payment for construction. Refer to the Preliminary Engineering/Project Design section for additional information.
Financials

Suballocation 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 suballocated to the RPOs using the same method that has been followed under the federal STP program. MAP-21, like prior federal highway legislation, requires suballocation 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:

- Major urbanized areas with a population over 200,000 (STP Urban - $STPU$),
- areas with a population of 5,001 to 200,000 (STP Other Urban - $STPO$), and
- 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>
<thead>
<tr>
<th>Planning Region</th>
<th>Urban Population</th>
<th>% Total Urban Pop.</th>
</tr>
</thead>
<tbody>
<tr>
<td>SWRPA</td>
<td>354,855</td>
<td>11.3</td>
</tr>
<tr>
<td>HVCEO</td>
<td>191,380</td>
<td>6.1</td>
</tr>
<tr>
<td>LHCEO</td>
<td>45,295</td>
<td>1.4</td>
</tr>
<tr>
<td>COGCNV</td>
<td>260,231</td>
<td>8.3</td>
</tr>
<tr>
<td>VCOG</td>
<td>88,249</td>
<td>2.8</td>
</tr>
<tr>
<td>GBRC</td>
<td>310,446</td>
<td>9.9</td>
</tr>
<tr>
<td>SCRCOG</td>
<td>553,840</td>
<td>17.6</td>
</tr>
<tr>
<td>CCRPA</td>
<td>222,955</td>
<td>7.1</td>
</tr>
<tr>
<td>RPO</td>
<td>Population</td>
<td>Percentage</td>
</tr>
<tr>
<td>----------------</td>
<td>------------</td>
<td>------------</td>
</tr>
<tr>
<td>CRCOG</td>
<td>701,200</td>
<td>22.3</td>
</tr>
<tr>
<td>MRPA</td>
<td>84,996</td>
<td>2.7</td>
</tr>
<tr>
<td>CRERPA</td>
<td>42,946</td>
<td>1.4</td>
</tr>
<tr>
<td>SECCOG</td>
<td>197,620</td>
<td>6.3</td>
</tr>
<tr>
<td>WINCOG</td>
<td>48,808</td>
<td>1.6</td>
</tr>
<tr>
<td>NECCOG</td>
<td>36,697</td>
<td>1.2</td>
</tr>
<tr>
<td><strong>TOTAL:</strong></td>
<td><strong>3,139,651</strong></td>
<td><strong>100.0</strong></td>
</tr>
</tbody>
</table>

**Note:** The CT River Estuary RPA and the Midstate RPA have merged to form the Lower Connecticut River Valley Council of Governments or River COG.

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 Suballocations by RPO**

The suballocations 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](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 are eligible for 100% funding through the LOTCIP and will be reimbursed upon receipt of required documentation by the Department. See Preliminary Engineering section for more detail regarding required documentation.

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 form 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. See Construction section for more details. Any costs incurred above the grant payment are the responsibility of the municipality.

**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. Municipalities are, however, strongly encouraged to minimize their accumulation of rollover funds. Balances will be monitored by the Department and should significant accumulation of unprogrammed funds be apparent, the Department may limit funding carryover.

**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 speedier 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 or state 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.
**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 below. 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.

**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). These requirements are referenced in the Municipal/State Project Agreement. 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 Municipal/State Project Agreement (a sample of this form can be found in the Appendix). 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.

**Quarterly Status Reports**

In accordance with the Municipal/State Project Agreement, 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 the Appendix. The RPO must compile and submit the necessary information from their member towns 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 should 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
Francis Kaminski
Transportation Supervising Engineer (Construction)
Office of Construction
860-258-4616
francis.kaminski@ct.gov
Appendices
Flow Chart
DRAFT LOCAL TRANSPORTATION CAPITAL IMPROVEMENT PROGRAM

REGIONAL PROJECT SELECTION

MUNICIPALITY
Recommends
Project to the
Region

REGIONAL
SELECTION
PROCESS

APPLICATION
REVIEW BY
CTDOT for
PURPOSE &
NEED, SERVICE
LIFE CHECK

LETTER OF
AUTHORIZATION
TO REGION/
MUNICATLY TO
COMMENCE
DESIGN

REGION TO
MONITOR FOR
SCOPE/COST
CHANGE

SUBMIT TO DOT
AT PS&E WITH
TOWN
CERTIFICATIONS
(including design,
ROW, environ,
permits, etc.)

DOT TO DO
P.A.L. BASED
ON ESTIMATE
(AGREEMENT)

DOT FORWARDS
PAYMENT AT
LOW BID (plus
10% contingency
and incidentals)

REGIONAL
SELECTION
PROCESS

REGIONAL
SELECTION
PROCESS

APPLICATION
REVIEW BY
CTDOT for
PURPOSE &
NEED, SERVICE
LIFE CHECK

LETTER OF
AUTHORIZATION
TO REGION/
MUNICATLY TO
COMMENCE
DESIGN

REGION TO
MONITOR FOR
SCOPE/COST
CHANGE

SUBMIT TO DOT
AT PS&E WITH
TOWN
CERTIFICATIONS
(including design,
ROW, environ,
permits, etc.)

DOT TO DO
P.A.L. BASED
ON ESTIMATE
(AGREEMENT)

DOT FORWARDS
PAYMENT AT
LOW BID (plus
10% contingency
and incidentals)

SUPPLEMENTAL
P.A.L. IF
NECESSARY

CONSTRUCTION
(MUNICATL CERTIFICATION)

FINAL AUDIT

COLOR CODING

MUNICIPALITY

DOT

REGION

ROW

IF PROJECT IS ON THE
STATE OWNED SYSTEM
GENERAL IN HOUSE
SCOPING AND DESIGN

IF MORE
INFORMATION
IS NEEDED

LETTER OF
AUTHORIZATION
TO REGION/
MUNICATLY TO
COMMENCE
DESIGN

REGION TO
MONITOR FOR
SCOPE/COST
CHANGE

SUBMIT TO DOT
AT PS&E WITH
TOWN
CERTIFICATIONS
(including design,
ROW, environ,
permits, etc.)

DOT TO DO
P.A.L. BASED
ON ESTIMATE
(AGREEMENT)

DOT FORWARDS
PAYMENT AT
LOW BID (plus
10% contingency
and incidentals)

SUPPLEMENTAL
P.A.L. IF
NECESSARY

CONSTRUCTION
(MUNICATL CERTIFICATION)

FINAL AUDIT

COLOR CODING

MUNICIPALITY

DOT

REGION

ROW

June 2013
Connecticut Department of Transportation
Local Transportation Capital Improvement Program Application

City/Town: ___________________________ RPO: ___________________________
Route/Road: ___________________________ RPO Contact Info: ___________________________
( ) ( )
(Title)
(Phone Number) (Email)
Town Contact Info: ___________________________
( ) ( )
(Title)
(Phone Number) (Email)
Project Title: ___________________________

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.
(A) PROJECT INFORMATION

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

☐ Intersection Improvement
   Provide additional information as required in section K

☐ Roadway Geometric Improvement
   Provide additional information as required in section L

☐ Bridge Rehabilitation/Replacement
   Provide additional information as required in section M

☐ Major Drainage Improvement
   Provide additional information as required in section N

☐ Pavement Structure Improvement
   Provide additional information as required in section O

☐ Stand-Alone Sidewalk Construction
   Provide additional information as required in section P

☐ Bicycle/Pedestrian Improvement, including Multi-Use Trail Facilities
   Provide additional information as required in section Q

☐ Traffic Signal Replacement/Upgrade/New Installation/Coordination
   Provide additional information as required in section R

☐ Other (please specify): _______________________________________
   Provide additional information as required in section S

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:

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

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

If yes, when?
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

☐ 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.

<table>
<thead>
<tr>
<th>Overhead</th>
<th>Underground</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
2. Are any utility impacts anticipated?  □ No  □ Yes

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

____________________________________________________________________
____________________________________________________________________
____________________________________________________________________
____________________________________________________________________
____________________________________________________________________

3. Are there any plans to expand or improve existing utilities in the future that would compromise the service life of the proposed improvements?  □ No  □ Yes

If yes, describe the improvements and proposed 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 stormwater 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 Bicycle and Pedestrian Needs Assessment Form to this application. (A copy of this form is included in the Appendix)

(G) ENVIRONMENTAL RESOURCE INVOLVEMENT

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

**(H) PUBLIC INVOLVEMENT**

1. Has public involvement been conducted?  
   - [ ] No  
   - [ ] Yes

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

   __________________________________________________________
   __________________________________________________________
   __________________________________________________________
   __________________________________________________________
   __________________________________________________________

   Note: Certification of public involvement will be required prior to the disbursement of construction funds.

**(I) 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
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

(J) 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:

Hugh H. Hayward, P.E.
Department of Transportation
2800 Berlin Turnpike
P.O. Box 317546
Newington, CT 06131-7546
ADDITIONAL INFORMATION TO BE PROVIDED BASED ON IMPROVEMENT TYPE SELECTED IN SECTION (A)1:

(K) INTERSECTION IMPROVEMENTS

- Existing and 20-year Projected ADTs and Turning Volumes
- Capacity Analyses (Level of Service – Existing and Proposed)
- Summary of Accident Experience (most current three years data, an accident diagram is preferred)
- 85th Percentile Speeds
- Existing Traffic Signal Plans, as applicable

(L) ROADWAY GEOMETRIC IMPROVEMENT

- Existing and 20-year Projected ADTs
- Summary of Accident Experience (most current three years data, an accident diagram is preferred)
- 85th Percentile Speeds

(M) BRIDGE REHABILITATION/REPLACEMENT

- Latest Condition Report
- Existing and 20-year Projected ADTs
- Summary of Accident Experience (most current three years data, an accident diagram is preferred)

(N) MAJOR DRAINAGE IMPROVEMENT

- Material, Age, Hydraulic adequacy assessment of existing drainage system (Condition Report, post-cleaning is preferred)
- Existing and 20-year Projected ADTs
- Summary of Accident Experience (most current three years data, an accident diagram is preferred)
(O) **PAVEMENT STRUCTURE IMPROVEMENT**

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 roadway indicating the possibility of different pavement conditions, a test pit should be performed in each roadway section. Pavement thickness and type, subbase thickness and type, and the presence of fines and/or groundwater should be noted. Attach the data obtained.

Existing and 20-year Projected ADTs with percentage of heavy trucks

Summary of Accident Experience (most current three years data, an accident diagram is preferred)

Roadside Safety Assessment

85th Percentile Speeds

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

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

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

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

(P) **STAND-ALONE SIDEWALK CONSTRUCTION**

Existing and 20-year Projected ADTs and Turning Volumes

Summary of Accident Experience (most current three years data, an accident diagram is preferred)

Existing Traffic Signal Plans for projects involving signalized intersections

(Q) **BICYCLE/PEDESTRIAN IMPROVEMENT, INCLUDING MULTI-USE TRAIL FACILITIES**

Existing and 20-year Projected ADTs and Turning Volumes

Summary of Accident Experience (most current three years data, an accident diagram is preferred)

Existing Traffic Signal Plans for projects involving signalized intersections

(R) **TRAFFIC SIGNAL REPLACEMENT/UPGRADE/NEW INSTALLATION/COORDINATION**

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

Age of existing signals

Existing and 20-year Projected ADTs and Turning Volumes

Capacity Analyses (Level of Service – Existing and Proposed)

Summary of Accident Experience (most current three years data, an accident diagram is preferred)

85th Percentile Speeds
Existing Traffic Signal Plans, as applicable

Warrant Analysis for new signals

(S) OTHER

To be determined based on type of improvement proposed

Prepared by: ___________________________ Date: _____________

Responsible P.E. (Municipal or Consultant)

Reviewed/Recommended by: ___________________________ Date: _____________

Municipal First Elected Official

Endorsed/Recommended by: ___________________________ Date: _____________

RPO Executive Director or Equivalent
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.

_____________________________________________________________________
_____________________________________________________________________
_____________________________________________________________________
_____________________________________________________________________
_____________________________________________________________________
_____________________________________________________________________
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.

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________


________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

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 cctrash.uconn.edu.

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
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):

   a. Across a river, highway corridor or other natural and/or man-made barrier? □ □
   b. Into or out of any of the bicycle and pedestrian generators listed above? □ □
   c. Between communities? □ □

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

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
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
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 Buy Package Checklists
TOWN BUY PACKAGE CHECKLIST FOR RIGHT OF WAY ACQUISITION IN LOCAL TRANSPORTATION CAPITAL IMPROVEMENT PROGRAM

NOTE: ALL TOWNS MUST PROVIDE THIS CHECKLIST UPON COMPLETION OF RIGHT OF WAY ACTIVITY

<table>
<thead>
<tr>
<th>SERIAL NUMBER</th>
<th>TITLE CERTIFICATE</th>
<th>APPRAISAL*</th>
<th>WRITTEN OFFER*</th>
<th>DEED</th>
<th>PAYMENT*</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
TOWN BUY PACKAGE CHECKLIST FOR RIGHT OF WAY ACQUISITION IN LOCAL TRANSPORTATION CAPITAL IMPROVEMENT PROGRAM WITH DONATIONS REQUESTED

NOTE: ALL TOWNS MUST PROVIDE THIS CHECKLIST UPON COMPLETION OF RIGHT OF WAY ACTIVITY

<table>
<thead>
<tr>
<th>SERIAL NUMBER</th>
<th>TITLE CERTIFICATE</th>
<th>DEED</th>
<th>WAIVER OF APPRAISAL/COMPENSATION</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

DRAFT
Sample Waiver of Compensation and Appraisal
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, 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 signatory

By: _ Date __/__/09

Title: _

Witness: _ Date __/__/09
General Letter 71
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.
### Schedule of Minimum Testing

**Local Transportation Capital Improvement Program**

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

**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**

<table>
<thead>
<tr>
<th>Test Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>LABT</td>
<td>Laboratory Test</td>
</tr>
<tr>
<td>FLDT</td>
<td>Test performed in the field</td>
</tr>
<tr>
<td>QPL</td>
<td>ConnDOT Qualified Products List <a href="http://www.ct.gov/dot/lib/dot/documents/dresearch/conndot_qpl.pdf">Link</a></td>
</tr>
<tr>
<td>PC-1</td>
<td>MAT-308 Required from producer with shipment</td>
</tr>
<tr>
<td>MC*</td>
<td>Materials Certificate</td>
</tr>
</tbody>
</table>

*Should comply with ConnDOT Standard Specification Section 1.06.07*
Final Materials Certification
ConnDOT - LOTCIP
MATERIALS CERTIFICATION

LOTCIP PROJECT NO.: ___________________

LOTCIP PROJECT DESCRIPTION: _____________________________________________

MUNICIPALITY: ___________________

THIS IS TO CERTIFY THAT:

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

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

- NONE

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

Signature: ____________________________ Date: __________

Typed Name: ____________________________

Title: ____________________________

License No.: ____________________________
**CERTIFICATE OF ACCEPTANCE OF PROJECT**

**STATE OF CONNECTICUT**

**DEPARTMENT OF TRANSPORTATION**

_Bureau of Engineering and Construction_

<table>
<thead>
<tr>
<th>DESCRIPTION OF CONTRACT</th>
<th>TOWN(S)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>NAME OF HIGHWAY / ROUTE NO.</th>
<th>BEGINNING AT (Specific Location - No Station Nos.)</th>
<th>ENDING AT (Specific Location - No Station Nos.)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>TO CONTRACTOR (Street Address Only - No PO Boxes)</th>
<th>DATE OF AWARD</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>TYPE OF IMPROVEMENT</th>
<th>DATE WORK ACCEPTED</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

---

**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.**

**REVIEWED BY REGION OFFICIAL** *(Signature in BLUE Ink)*

<table>
<thead>
<tr>
<th>NAME / TITLE</th>
<th>DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**MUNICIPAL OFFICIAL** *(Signature in BLUE Ink)*

<table>
<thead>
<tr>
<th>NAME / TITLE</th>
<th>DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

---

**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 Designer of Record (Architect or PE, licensed in CT)** *(Signature In BLUE Ink)*

<table>
<thead>
<tr>
<th>NAME</th>
<th>DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

---

**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.

---

Municipality to fill out form and submit to Region for Review

Region returns to sign Review By and return to Municipality

Mun. sends to Designer of Record (PE, licensed in CT) to sign Certified by

Designer of Record Returns to Municipality for their signature

Municipality to send completed original form to contractor with copy to ConnDOT

---

Revised 08/22/08/13
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

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

<table>
<thead>
<tr>
<th>Route/Road</th>
<th>Project Title¹</th>
<th>Phase²</th>
<th>Current Period Expenditures³</th>
<th>Total Expenditures to Date⁴</th>
<th>Final Expenditures⁵</th>
</tr>
</thead>
<tbody>
<tr>
<td>CT44</td>
<td>Realign W. Middle Tpke @ Center &amp; New State</td>
<td>CN</td>
<td>$1,000,000</td>
<td>$3,000,000</td>
<td>☒</td>
</tr>
</tbody>
</table>

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.
⁵Important - 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.
Regional Quarterly Status Report
## AWARDED PROJECTS:

<table>
<thead>
<tr>
<th>TOWN</th>
<th>ROUTE/ROAD</th>
<th>PROJECT DESCRIPTION</th>
<th>LOTCIP AWARD</th>
<th>PROJECT AWARD DATE</th>
<th>ESTIMATED COMPLETION DATE</th>
<th>PAYMENTS TO DATE BY MUNICIPALITY</th>
<th>ACTUAL COMPLETION DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bloomfield</td>
<td>CT 189</td>
<td>Intersection Improvements @ Gabb Rd</td>
<td>$2,975,000</td>
<td>01/09/12</td>
<td>08/01/13</td>
<td>$1,705,405</td>
<td></td>
</tr>
</tbody>
</table>

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

## PROJECTS RECEIVING AUTHORIZATION TO PROCEED WITH DESIGN:

<table>
<thead>
<tr>
<th>TOWN</th>
<th>ROUTE/ROAD</th>
<th>PROJECT DESCRIPTION</th>
<th>ESTIMATED COST</th>
<th>ESTIMATED DESIGN COMPLETION</th>
<th>ESTIMATED ADV DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>South Windsor</td>
<td>Avery Street</td>
<td>Recon &amp; Minor Widening on Avery St</td>
<td>$2,620,000</td>
<td>01/28/15</td>
<td>02/25/15</td>
</tr>
</tbody>
</table>
Final Submission Documentation and
Master Certification Checklist
Final Submission is hereby made by the Town/City/Borough of _____________ for consideration for funding under the provisions and regulations 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**

<table>
<thead>
<tr>
<th></th>
<th>Initial Application</th>
<th>Final Submission</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rights-of-Way Cost (If Applicable)</td>
<td>$ __________________</td>
<td>$ __________________</td>
</tr>
<tr>
<td>Estimated Construction Costs (Include Detailed Estimate)</td>
<td>$ __________________</td>
<td>$ __________________</td>
</tr>
<tr>
<td>Incidentals (10% of Construction Costs Only)</td>
<td>$ __________________</td>
<td>$ __________________</td>
</tr>
<tr>
<td>Contingencies (10% of Construction Costs Only)</td>
<td>$ __________________</td>
<td>$ __________________</td>
</tr>
<tr>
<td>Eligible Utility Relocation Costs</td>
<td>$ __________________</td>
<td>$ __________________</td>
</tr>
<tr>
<td>Total Estimated Project Cost</td>
<td>$ __________________</td>
<td>$ __________________</td>
</tr>
</tbody>
</table>
Local Transportation Capital Improvement Program

GENERAL MUNICIPAL CERTIFICATION

Project Title: ____________________________________________________________

I, ____________________________, ____________________________, duly authorized

name title
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 deviations 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 municipality, and will promote the health, safety and general welfare of its residents and provide for convenience and safety of the motoring 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 for all work within the State right of way.

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

10. 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

Municipal Certification for Right of Way Acquisition

Project Title: ______________________________________________________________

I, ________________________________, ________________________________, duly

authorized by the (Town, City, Borough) of ______________________________ as so

signified by the attached authorization, do certify and attest to the following:

(Option A or B must be signed)

Option A

There are no right of way acquisition activities required as part of the proposed project.

Signed ________________________________________________________________

Date________________________

Option B

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.

All property rights have been acquired in conformance with the Uniform Relocation

Assistance and Real Property Acquisition Policies Act of 1970, as amended, if an

eligible person(s) was displaced from their homes, businesses or farms as defined in

the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970,

as amended.

Signed ________________________________________________________________

Date________________________
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, AASHTO, the Department’s Highway Design Manual, and/or the Department’s Bridge Design Manual, as applicable. Any deviations 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 title

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)
2014 Regional Allocation Spreadsheet
## 2010 Urbanized Area Population by Planning Region

| Planning Region                                      | SWRPA  | HVCEO  | NWCCOG | LHCEO  | COGCNV | VCDG  | GBRC  | SCRCOG | CRCOG  | MRPA  | CRERPA | SECCOG | WNECOC | NECCOG | Total   |
|------------------------------------------------------|--------|--------|--------|--------|--------|-------|-------|--------|--------|-------|--------|--------|--------|--------|---------|---------|
| Bridgeport-Stamford Urbanized Area                   | 354,741| 30,181 | 9      | 0      | 0      | 0     | 0     | 0      | 0      | 0     | 0      | 0      | 0      | 0      | 877,630 |
| Colchester Urban Cluster                             | 0      | 0      | 0      | 0      | 0      | 0     | 0     | 0      | 0      | 0     | 0      | 0      | 0      | 0      | 10,098  |
| Danbury Urbanized Area                               | 0      | 161,199| 124    | 0      | 0      | 0     | 0     | 0      | 0      | 0     | 0      | 0      | 0      | 0      | 161,323 |
| Hartford Urbanized Area                              | 0      | 0      | 0      | 2,541  | 7,487  | 0     | 0     | 0      | 0      | 0     | 0      | 0      | 0      | 0      | 924,859 |
| Jewett City Urban Cluster                            | 0      | 0      | 0      | 0      | 0      | 0     | 0     | 0      | 9,267  | 0     | 0      | 0      | 0      | 0      | 10,119  |
| Lake Pocotalpaug Urban Cluster                       | 0      | 0      | 0      | 0      | 0      | 0     | 0     | 0      | 0      | 0     | 0      | 0      | 0      | 0      | 9,450   |
| New Haven Urbanized Area                             | 0      | 0      | 0      | 27,144 | 0      | 0     | 0     | 0      | 0      | 0     | 0      | 0      | 0      | 0      | 562,839 |
| New York-Newark Urbanized Area                       | 114    | 0      | 0      | 0      | 0      | 0     | 0     | 0      | 0      | 0     | 0      | 0      | 0      | 0      | 114     |
| Norwich-New London Urbanized Area                    | 0      | 0      | 0      | 0      | 0      | 0     | 0     | 0      | 0      | 0     | 0      | 0      | 0      | 0      | 188,041 |
| Springfield Urbanized Area                           | 0      | 0      | 0      | 0      | 0      | 0     | 0     | 0      | 0      | 0     | 0      | 0      | 0      | 0      | 89,711  |
| Stafford Springs Urban Cluster                       | 0      | 0      | 0      | 0      | 0      | 0     | 0     | 0      | 0      | 0     | 0      | 0      | 0      | 0      | 5,582   |
| Torrington Urban Cluster                             | 0      | 0      | 0      | 42,754 | 0      | 0     | 0     | 0      | 0      | 0     | 0      | 0      | 0      | 0      | 42,754  |
| Waterbury Urbanized Area                             | 0      | 0      | 0      | 0      | 193,833| 0     | 0     | 622    | 80     | 0     | 0      | 0      | 0      | 0      | 194,535 |
| Willimantic Urban Cluster                            | 0      | 0      | 0      | 0      | 0      | 0     | 0     | 0      | 0      | 0     | 0      | 0      | 0      | 0      | 29,669  |
| Worcester Urbanized Area                             | 0      | 0      | 0      | 0      | 0      | 0     | 0     | 0      | 0      | 0     | 0      | 0      | 0      | 0      | 32,928  |
| Total Urban                                          | 354,855| 191,380| 133    | 45,295 | 260,231| 88,249| 310,446| 553,840| 222,955| 701,200| 84,996| 42,946 | 197,620| 3,139,651|

### Percentage (rounded):

<table>
<thead>
<tr>
<th>Percentage (rounded)</th>
<th>FY2014 Allocation:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0.113</td>
</tr>
<tr>
<td></td>
<td>0.061</td>
</tr>
<tr>
<td></td>
<td>0.004</td>
</tr>
<tr>
<td></td>
<td>0.014</td>
</tr>
<tr>
<td></td>
<td>0.083</td>
</tr>
<tr>
<td></td>
<td>0.028</td>
</tr>
<tr>
<td></td>
<td>0.099</td>
</tr>
<tr>
<td></td>
<td>0.176</td>
</tr>
<tr>
<td></td>
<td>0.071</td>
</tr>
<tr>
<td></td>
<td>0.233</td>
</tr>
<tr>
<td></td>
<td>0.027</td>
</tr>
<tr>
<td></td>
<td>0.014</td>
</tr>
<tr>
<td></td>
<td>0.063</td>
</tr>
<tr>
<td></td>
<td>0.016</td>
</tr>
<tr>
<td></td>
<td>0.012</td>
</tr>
<tr>
<td></td>
<td>0.000</td>
</tr>
</tbody>
</table>

Note: $1,000,000 has been deducted from the $45,000,000 authorized for the LoTCIP program for FY2014 to fund an Administrative oversight project for DOT personnel charges.

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

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