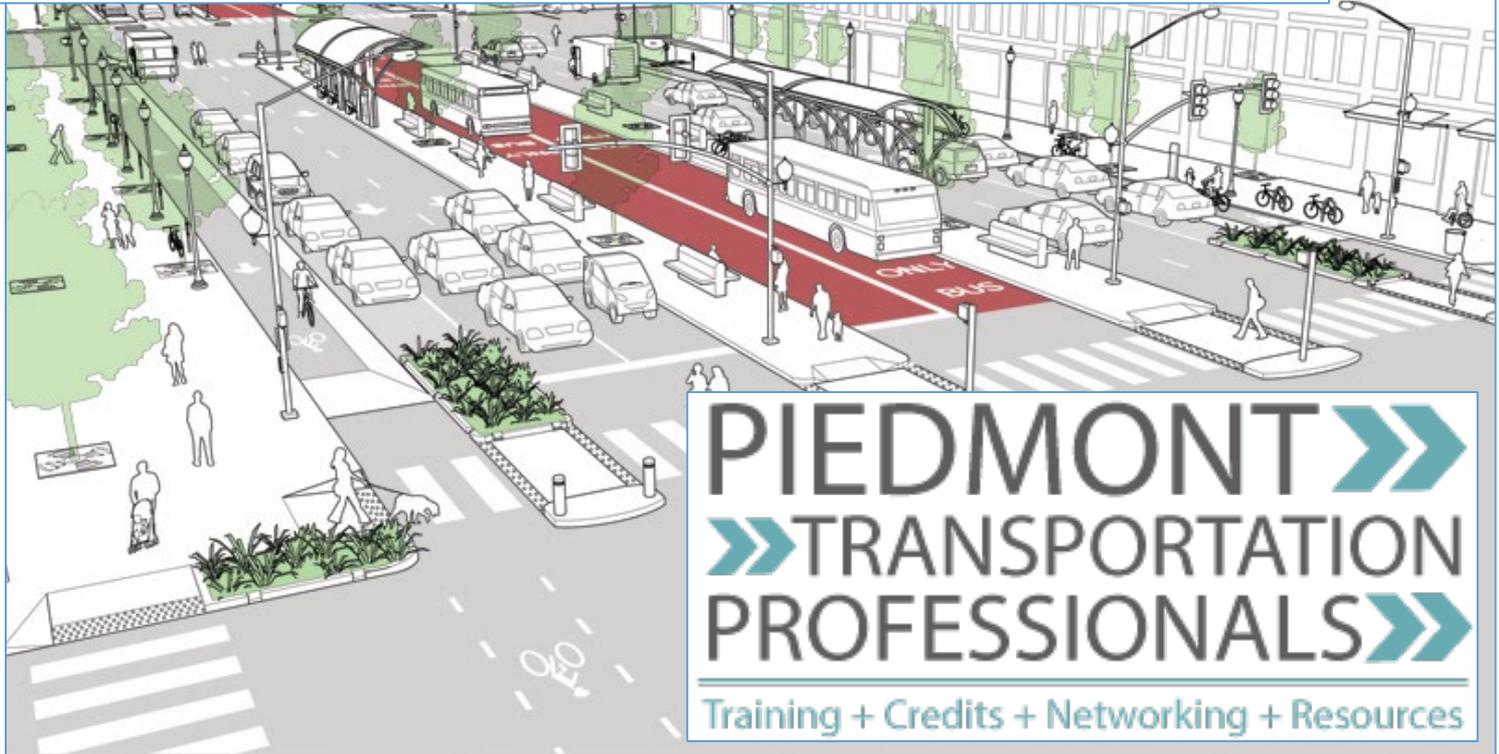


A volunteer partnership facilitated by Piedmont Triad engineering and planning professionals from municipalities, agencies and division offices across the region.





# NORTH CAROLINA

Department of Transportation



# PTRC Lunch & Learn #2

Marta Matthews and Sheila Gibbs

May 16, 2019

# Overview of Session #1

# MPO Process

## MPOs' process for allocating funds

- Winston-Salem
- High Point
- Greensboro

# Project Screening

What should you know before you ask for funding?

- ROW and utility relocation estimates
- Realistic schedules
- Conflict with DOT projects

# Programming Projects

- MTIP and STIP Process
- Timing
- How do changes impact programming

# FHWA

- Inactivity
- Period of Performance

# EBS Portal

- EBS Portal
- Agreement
- Authorization/Reimbursement

# Professional Services

# Today's Presentation

- Procurement of professional services for a ***project-specific contract***
- Procurement of an ***on-call contract***
- Work done by ***in-house staff***

# Rules of Thumb

- If we're paying for it, we want to know about it up front

*NCDOT must review proposed costs before the LGA incurs them*

- All procurement must be competitive
- No advertisement prior to funding authorization

*Limited exceptions to these rules*

# RESOURCES

NCDOT Connect Site –

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

Or, go to [connect.ncdot.gov](https://connect.ncdot.gov):



Doing Business

Bidding & Letting

Projects

Resources

**Local Governments**

Search...



Bridge Reuse

Interagency Leadership

**Local Projects**

Planning

School Transportation

State Airport Aid

State Street-Aid

Utilities

## Local Projects Administration

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

Home > Connect NCDOT > Local Governments > Local Projects

### Introduction

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

#### WHAT IS A LOCALLY-ADMINISTERED PROJECT?

LGA programs and projects receive federal or state money based on the recommendations of Municipal or Rural Planning Organizations (MPOs and RPOs), NCDOT Program Areas, and Board of Transportation Members. LGAs are responsible for carrying out the design and construction of projects, or implementation of programs.

#### WHAT IS NCDOT'S ROLE?

NCDOT's role is to advise, approve and oversee the proper expenditure of funds by an LGA on an eligible project or program. NCDOT is committed to establishing appropriate oversight in order to ensure the best use of public funds and compliance with all applicable state and federal regulations.

### FORMS & TEMPLATES

[Letter from LGA Requesting Concurrence with PEF Selection](#)



[Letter from LGA Requesting NCDOT Concurrence with Construction Contractor](#)



[Letter from LGA Requesting Reimbursement](#)



[Project Information Data Sheet](#)



[FFATA Subrecipient Information Form](#)



[PCE Checklist](#)



[Request for Letters of Interest \(RFLOI\) \\_Design or CEI](#)



[Contract Provisions for Non-Federal Entities.pdf](#)



## Updates to the 2009 Handbook

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### \* **Instructions**

### \* **Webinar**

### \* Updates (in red)

- Introduction (Including Contacts)
- State Transportation Improvement Program
- **Funding, Eligible Costs, and Match Requirements**
- **Schedule**
- Project Agreement
  - Project Information Data Sheet (see Forms & Templates)
  
- **Funding Authorization Overview**
- **Preliminary Engineering Authorization**
- **Professional Services**
  - **Project Specific Solicitation vs On-Call Contract (Overview)**
  -  **GUIDELINES for COMPLETING RFLOI.pdf**
  - Template Request for Letters of Interest (see Forms & Templates)
  - Letter from LGA Requesting Review of Proposal (see Forms & Templates)

# Typical Project Delivery Steps

## Agreement

### -----Preliminary Engineering Authorization-----

- *Procure Professional Services*

**Environmental Document (required)**

**ROW Plans (required)**

### -----Right of Way Authorization-----

- *Acquire Right of Way*
- *Relocate Utilities*

**Right of Way/Utility/RR Certification (required)**

**Final Plans, Contract Proposal and Estimate (PS&E) (required)**

### -----Construction Authorization-----

- *Advertise and Let Construction Contract*
- *Construct & Administer Contract*

**Final Inspection (required)**

- *Final Reimbursement*

# Professional Services

- All professional services procurement must be in accordance with 23 CFR 172.
- LGA must have their own written procedures or they can comply with NCDOT's *Policies and Procedures for Procurement and Administration of Major Professional or Specialized Services Contracts*
  - Read 23 CFR 172
  - Review **Professional Services** section of Agreement and Handbook
  - Refer to NCDOT's *Policies and Procedures*
  - Utilize DOT's template for a Request for Letters of Interest (RFLOI)

## Initiating the preliminary engineering phase

If PE funding is an eligible phase of work, then after Agreement is executed, the LGA has three choices:

1. Request to advertise an RFOI for a project specific contract (or on-call contract)
2. Request to use a previously solicited on-call contract
3. Request to use in-house services

# Request for Letters of Interest (RFLOI)

- LGAs must complete an RFLOI for engineering services; either for design or for construction engineering and inspection (CEI).
- Use the template on the NCDOT Connect site
- Submit draft RFLOI through EBS Portal.

Submit through EBS Portal

# Submit Documents



## LOCAL PROJECTS

Welcome Craig McKinney

Saved Searches

Agreement: 2000006231, SAP-2010 Back

Save | Cancel | **Submit Documents** | Refresh

**Agreement Overview**

General Data	Application Amounts
Description: SAP-2010	Total Approved Amount: 24,000.00 USD
Grantee ID/Name: 1000000110 / CITY OF GREENSBORO	Authorized Amount: 0.00 USD
Grantee Contact: 1000002786 / Erica Jefferies	Billing Req. Amount: 0.00 USD
Program ID/Desc.: LPMO_PY2014 / LPMO Program	Cleared Item (ERP): 0.00 USD
Posting Date: 02/02/2015	
Employee Responsible: Vimal John	
Start Date: 02/02/2015	
End Date: 02/20/2015	
	<b>Project Information</b>
	FA Project Number: Fa-001
	TIP number: TIP-01
	Division: 07 - Greensboro
	Status: Agreement Approved

**DBE, MBE, WBE Participation Goals**

DBE %: 0.00 MBE %: 0.00 WBE %: 0.00

**Items**

WBS Element	Expense Type	Eligible for Funding	Authorized Amount	Authorized Claim Amt	Open Balance
	Total Project Funding	<input type="checkbox"/>	0.00 USD	0.00 USD	0.00 USD
12.3018287	PE – Preliminary Engin...	<input checked="" type="checkbox"/>	0.00 USD	0.00 USD	0.00 USD
12.3018287	ROW – Right of Way	<input type="checkbox"/>	0.00 USD	0.00 USD	0.00 USD
12.3018287	CON – Construction	<input type="checkbox"/>	0.00 USD	0.00 USD	0.00 USD

20

# Submit Documents

**NCDOT**  
NORTH CAROLINA  
DEPARTMENT OF TRANSPORTATION

## LOCAL PROJECTS

Welcome Craig McKinney

Saved Searches [ ] Go Advanced [ ]

LPMO Activity: New [ Back ]

Save and Back Save | Cancel |

**Task Details** [ Edit ]

**General Data**

Document Type\*: Independent PE Cost Estimate

**Change Status to Submit**

Status: Open

**Notes**

**Attachments** [ Attachment ] [ URL ] [ With Template ] | Advanced

No result found

- PE RFQ
- PE – PEF Selection Process
- PEF Tasks and Mandays/Hours with Rates
- PEF Contract – Design or ROW
- Environmental Documents
- Plans & Specifications
- ROW RFQ
- ROW – Consultant Selection and Cost Proposal
- ROW Appraisal Documents
- ROW Certification Documents
- Contract Proposal
- Concurrence Request
- Construction Contract
- CEI RFQ
- CEI – PEF Selection Process
- CEI Cost Spreadsheet
- PEF Contract – CEI
- Other Documents

# Attach Documentation

Attachment -- Webpage Dialog

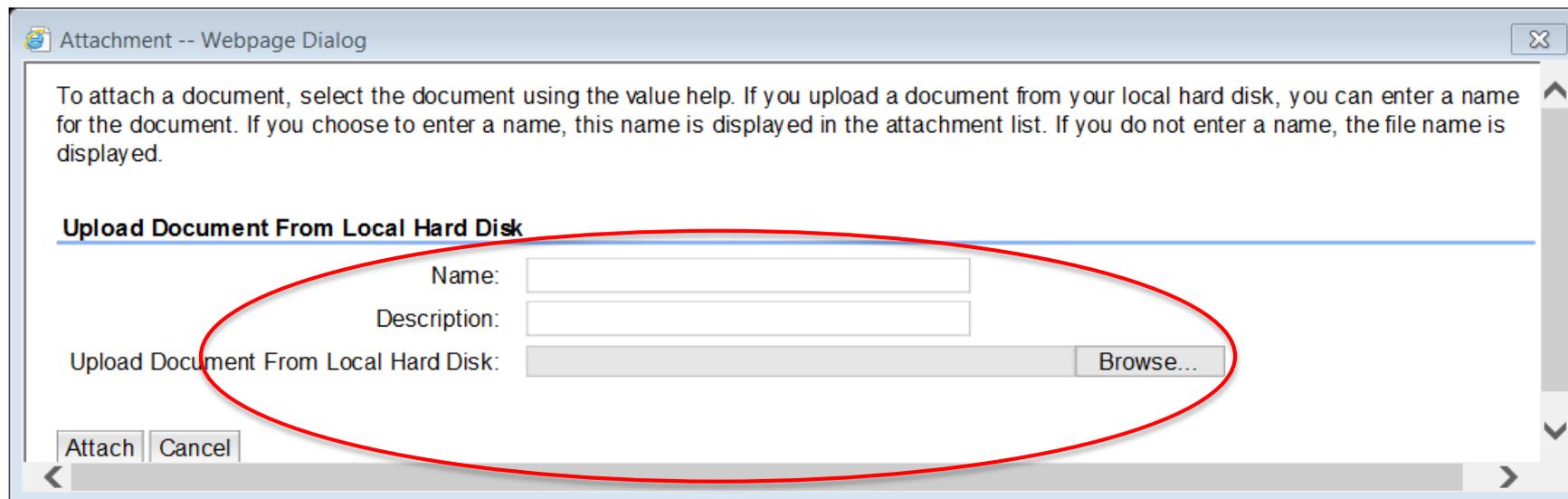
To attach a document, select the document using the value help. If you upload a document from your local hard disk, you can enter a name for the document. If you choose to enter a name, this name is displayed in the attachment list. If you do not enter a name, the file name is displayed.

**Upload Document From Local Hard Disk**

Name:

Description:

Upload Document From Local Hard Disk:



# Review of RFLOI

- LPMO and Division
- Dates
- Payment terms
- Scope and Work codes

*After review and coordination with LGA on timing of advertisement, PE will be available to request.*

# Advertise RFLOI

- Submit final version of RFLOI with dates
- DOT will post on website

<https://connect.ncdot.gov/letting/Pages/Private-Engineering-Firm-Advertisements-.aspx>

- LGA may post on their website
- Do not recommend soliciting directly to consultants\*
- **Make sure PE funding is authorized\***

*\*There is an exception to this*

# Selection of PEF

- Receive and review all Letters of Interest (LOIs)
- Evaluate all firms in accordance with the published evaluation criteria
- Nominal criteria (location and SPSF)
- Select most qualified firm – make sure all consultants are prequalified in the work codes advertised
- Recommend using consultants who have already been pre-audited by NCDOT.

# Selection of PEF

- LGA will submit
  - Request for concurrence in selection (use template)
- Select either:
  - “PE – PEF Selection Process”
  - “CEI – PEF Selection Process” to submit your documents.
- You will receive back a concurrence letter for your selection.
- At that time, LGA will schedule a scoping meeting, if needed, to determine tasks

# Review of Cost Proposal

Consultants should use the applicable spreadsheets found under Forms at this website:

<https://connect.ncdot.gov/business/consultants/Pages/default.aspx>

## Planning & Design

NCDOT Scope and Manday Estimate Form

## Construction Engineering & Inspection

CEI Technicians' Scope and Estimate Form

# Review of Cost Proposal

- Submit cost proposal for review in EBS portal. Select:
  - PEF Tasks and Mandays/Hours with Rates, or
  - CEI Cost Spreadsheet
- The tasks, man-hours and rates will be reviewed by our Professional Services Office and External Audit.
- LPMO will return for any revisions needed.
- Submit for final review and concurrence with amount.

# Review of Consultant Contract

- Once DOT concurs with Cost Estimate, submit draft contract under the following:
  - PEF Contract – Design or ROW
  - PEF Contract – CEI
- Include certification of Contract Provisions (template available)
- Payment terms for Design/Planning are generally Lump sum and CEI are Cost Plus.\*

# Consultant Contract

- The Department will review contract to ensure appropriate payment terms and costs are the same as approved in the Audit Report.
- The LGA will receive an approval letter, then submit the executed Consultant Contract in EBS for the Project file before requesting any reimbursement.

QUESTIONS??

# Use of On-Call Consultant

- Use of on-call consultant must meet certain requirements:
  - Solicitation and selection in accordance with 23 CFR 172
  - Procurement must be less than five years previously
  - Master Agreement must include federal contract provisions
- Submit request for use of on-call consultant (use template letter) and current Master Agreement.

# Use of On-Call Consultant

- After concurrence with use of on-call, submit a request for PE funding
- When funds are authorized, proceed with negotiation with selected consultant for specified task order
- Submit task order cost proposal for review and approval
- Submit final signed task order

QUESTIONS??

# Use of In-House Staff

- LGAs may use qualified, in-house staff to perform needed design work and request reimbursement
- Estimated costs and scope of work should be reviewed by NCDOT prior to initiating work.
- Submit a request to utilize in-house staff:
  - Explanation of use of staff (scope of work, qualifications of staff)
  - Cost breakdown (phase of work, wage rates, other direct costs)

New Solicitation for PEF (Project Specific/On-Call)	Use of Existing On-Call contract	Work by In-House Staff
AGREEMENT EXECUTED	AGREEMENT EXECUTED	AGREEMENT EXECUTED
Submit Draft RFLOI	Submit request to use existing on-call contract & receive concurrence	Submit request to use qualified in-house staff & receive concurrence
	Include:	Include:
	- process of solicitation/selection	- letter of request
	- master agreement	- cost breakdown
Submit Change Request - PE	Submit Change Request - PE	Submit Change Request - PE
<b>PE FUNDING AUTHORIZATION</b>	<b>PE FUNDING AUTHORIZATION</b>	<b>PE FUNDING AUTHORIZATION</b>
Advertise RFLOI		
Select most qualified & submit for concurrence		
Negotiate cost proposal & submit for concurrence	Negotiate task order with on-call consultant & submit for concurrence	
Draft Contract & Submit for concurrence		
Submit executed contract	Submit final signed task order	
Start work	Start Work	Start Work

FINAL QUESTIONS??