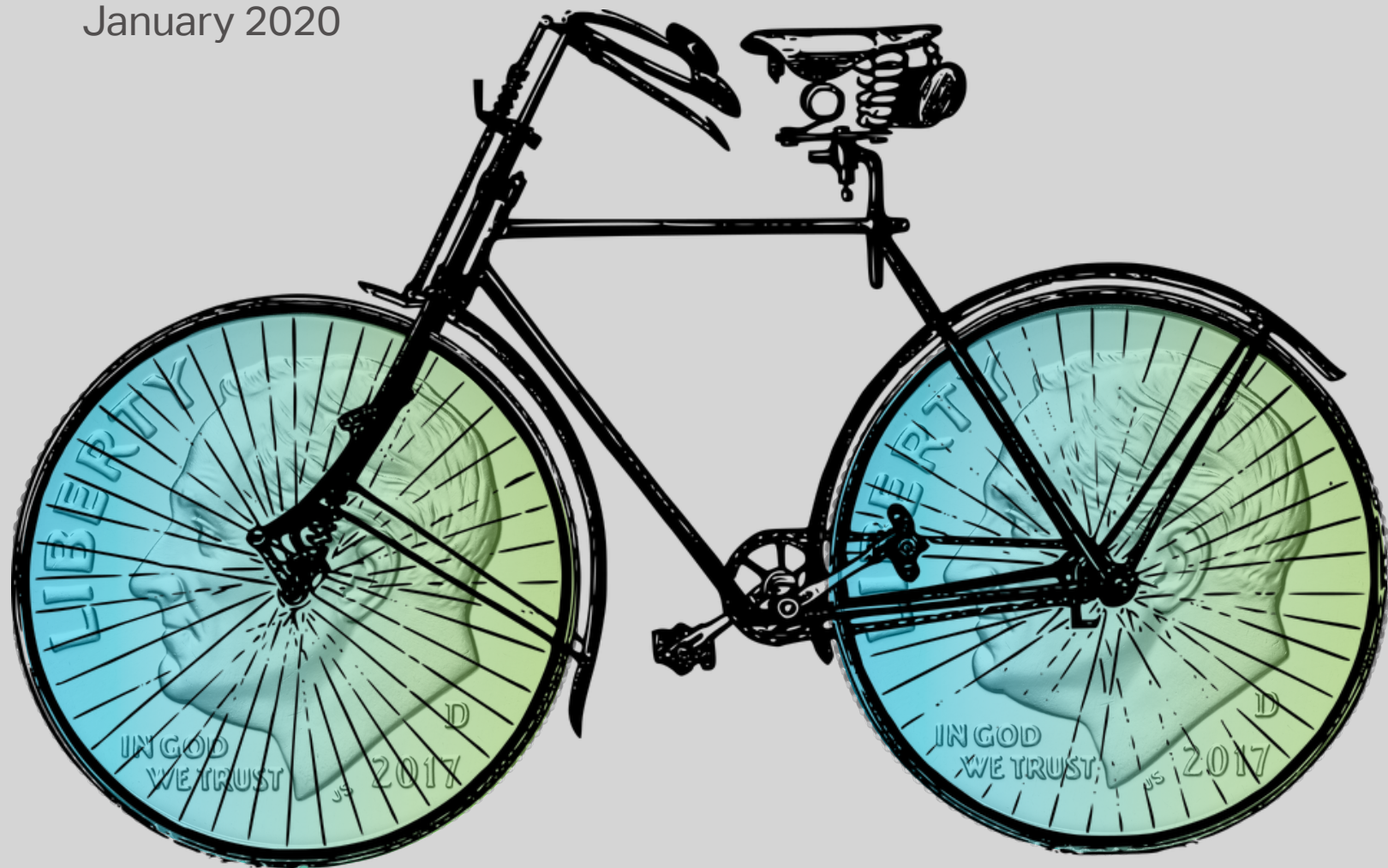


Bike/Ped Project Scoping Guidance for Local Governments



Locally-Programmed Federally-Funded
Project Scoping Packet

January 2020

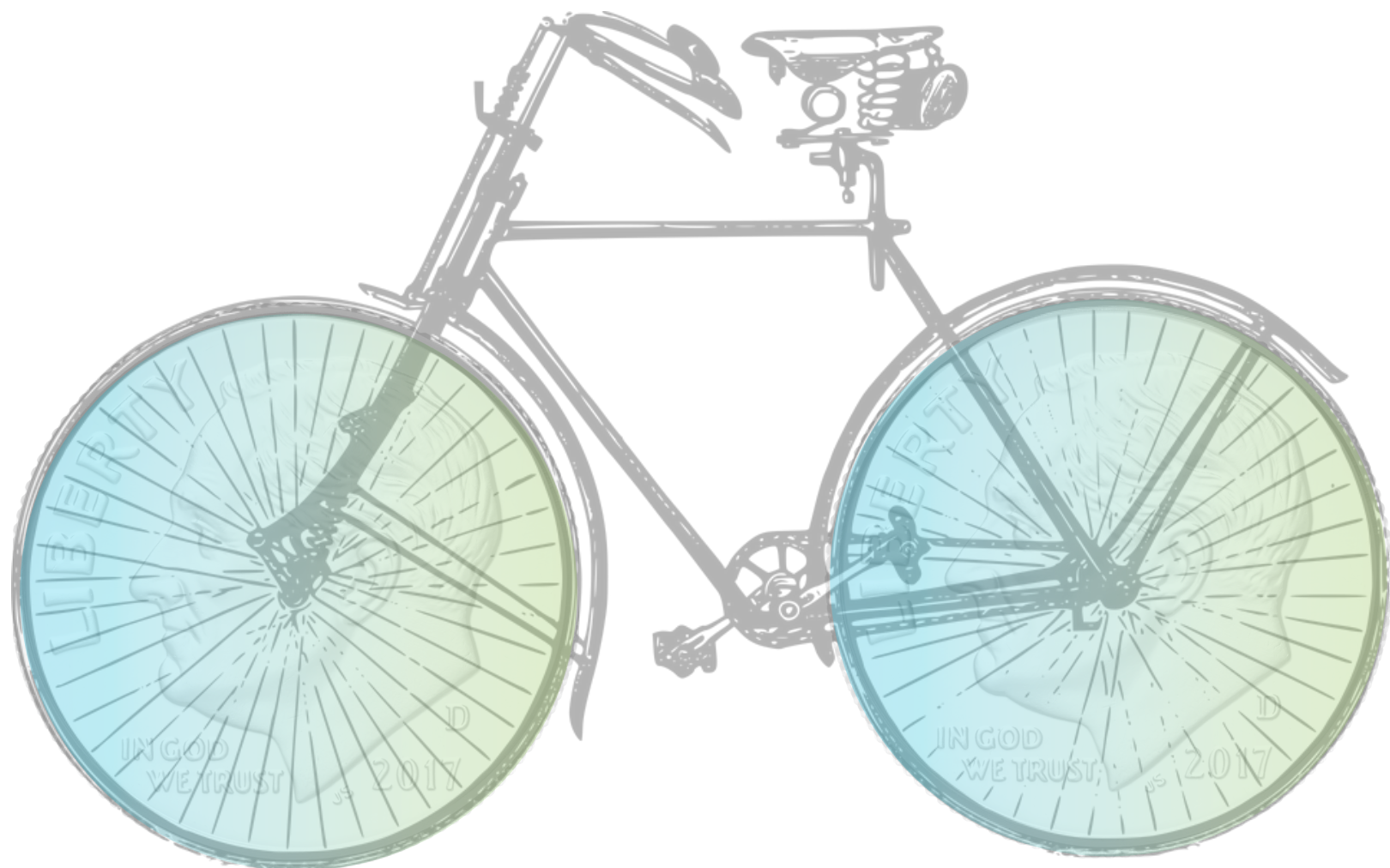


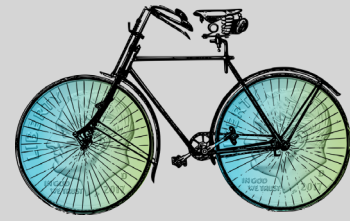
Acknowledgements

This guidance could not have been successfully created without assistance from subject matter experts from multiple different divisions of NCDOT and its partners. We would like to thank the following for their contributions towards the creation of this guidance document:

LaToya Caldwell, NCDOT (Project Manager)
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Mariate Echeverry, AECOM

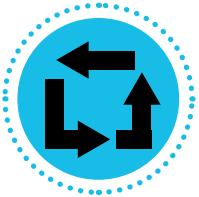




This *Bike/Ped Project Scoping Guidance for Local Governments* provides a compilation of four scoping tools for use in the management of locally-managed federally-funded transportation projects in North Carolina. Before embarking on project development, it is suggested that you review all of the information in this packet. Note that the packet is interactive with clickable icons. A description of how you would use each scoping tool is provided below.

How to Use These Tools:

Project Delivery Process



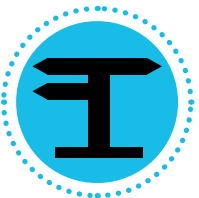
Use this tool to identify the upcoming steps required to take your project through the project delivery process. *Review this tool before you submit a request for project funding and then again before you submit a project application through EBS.* Clicking on steps identified in this tool will provide detailed information about how to accomplish each step.

Scoping Checklist



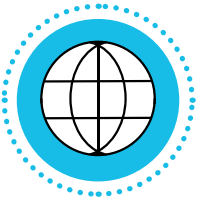
Use this tool as a checklist to ensure you have compiled enough information about your project to embark upon project development. *This Scoping Checklist should be complete before you submit a project for funding.* This tool will prompt you (1) to collect basic project information; (2) to develop a preliminary project budget; (3) to identify project roles; and (4) to develop a preliminary project schedule. The tool will also flag potential project risks (if risks are flagged, you can find mitigation strategies using the Risk Register tool).

Risk Register



Use this tool to help identify some common bicycle and pedestrian project risks, their potential impacts, and potential mitigation strategies. *Review of this Risk Register should be complete as early in the project development process as possible.* As a note, this Risk Register Tool catalogs a series of risks that have had a major impact on the development of other similar locally-managed federally-funded transportation projects in North Carolina but does not and cannot include a full scan of potential project risks.

Connect NCDOT Estimate Database



Use this tool to identify the construction costs of projects similar to yours funded through locally-managed federal transportation funding. *Review this tool before you submit a request for project funding.*

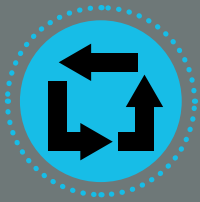
Project Delivery
Process

Scoping
Checklist

Risk
Register

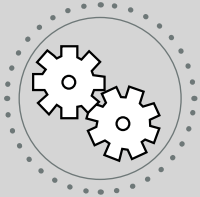
Connect NCDOT
Estimate Database



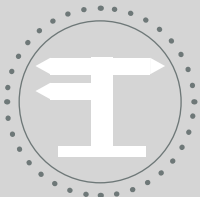


Project Delivery Process

The **Project Delivery Process** is the heart of the *Bike/Ped Project Scoping Guidance for Local Governments*. If you understand how to use this tool and are familiar with all of the project delivery steps, you are very likely to have a successful project.



Scoping Checklist



Risk Register



Connect NCDOT Estimate Database

Project Delivery
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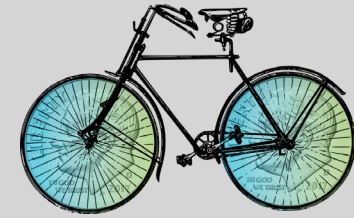
Risk
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Project Delivery Process



PROJECT SCOPING GUIDANCE

INSTRUCTIONS

The boxes below show project phases, and each of the circles indicates sequential steps in the project delivery process. Note that you cannot skip any step in the project delivery process and that several steps can begin concurrently (see the *Design/Right of Way* phase). Click on any **Project Delivery Process Step** (represented by circles in the diagram below) to take you to a detailed set of instructions for LGA project delivery success.

CAUTION - UNIQUE SITUATIONS

Steps with dotted outlines indicate steps that frequently have associated unique situations. Special instructions are available for unique situations upon clicking these steps.

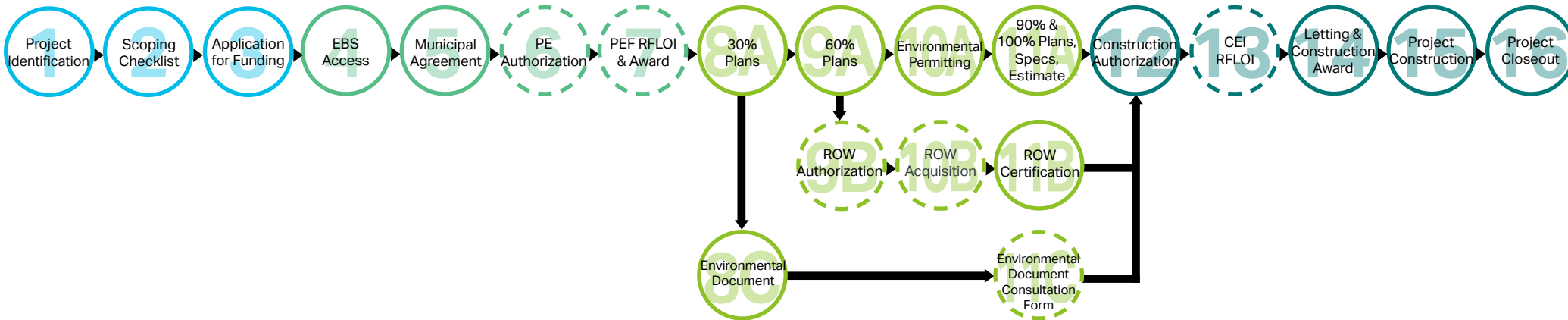


Funding

Pre-Design

Design / Right of Way

Construction



What happens if the project changes after the municipal agreement has been executed?

Click here for supplemental agreement instructions if one of these situations arises after the execution of a municipal agreement.



Increase in overall project cost (regardless of source)



Change in scope of project



Change in responsibilities by either party

Project Delivery Process

Scoping Checklist

Risk Register

Connect NCDOT Estimate Database



- ◆ For additional support: North Carolina Association of Metropolitan Planning Organizations, North Carolina Association of Rural Planning Organizations



Municipal Steps to Success

- 1-1. Contact the local MPO or RPO representative to request the latest adopted transportation plans for the geographic area.
- 1-2. Peruse the local adopted transportation plan to identify a desired candidate transportation project for the federally-funded locally-managed project delivery process.
- 1-3. Verify with the local MPO or RPO that the desired candidate project is an appropriate candidate for which to secure federal funding as a locally-managed project.

NCDOT/FHWA Steps

- ◆ In MPO areas, FHWA approves the Metropolitan Transportation Plan (MTP). In RPO and MPO areas, NCDOT Transportation Planning Branch assists with the Comprehensive Transportation Plan (CTP) development process.

Notes

- ◆ If the desired candidate project is not listed in an adopted transportation plan, the local MPO or RPO can assist towards the inclusion of the project in future plans, when appropriate. Schedule a meeting with the local MPO or RPO to discuss.

Resources and Links

- ◆ North Carolina Association of Metropolitan Planning Organizations: <http://www.ncampo.org/>
- ◆ North Carolina Association of Rural Planning Organizations: <http://www.ncarpo.org/>

Project Delivery
Process Tool Chart

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- ◆ Prerequisites: Project identification
- ◆ For additional support: North Carolina Association of Metropolitan Planning Organizations, North Carolina Association of Rural Planning Organizations



Municipal Steps to Success

- 2-1. Review the **Scoping Checklist Tool** in this packet, entering all initial known project information and highlighting items that are unknown at this point.
- 2-2. Schedule an on-site walk-through of the project with a qualified infrastructure design/construction professional (this may be the public works director or the municipal/county engineer). Revise **Section A** of the **Scoping Checklist Tool** in consultation with the design/construction professional after the walk-through.
- 2-3. Consult with the design/construction professional to develop a project cost estimate (**Section B** of the **Scoping Checklist Tool**) after careful review of basic project scope information and the **Risk Register Tool**.
- 2-4. Schedule meetings to discuss the **Scoping Checklist Tool** and **Risk Register Tool** with the local contacts identified in **Section C** of the **Scoping Checklist Tool**.
- 2-5. Develop a Project Schedule (**Section D** of the **Scoping Checklist Tool**) in consultation with the identified local contacts.
- 2-6. Work with an authorized local official to identify a local funding match.

NCDOT/FHWA Steps

- ◆ Based on their availability, the local NCDOT Division may provide feedback if requested by LGA.

Notes

- ◆ For best results, review the entire *Bike/Ped Project Scoping Guidance for Local Governments* packet before completing the **Scoping Checklist Tool**.

Resources and Links

- ◆ Bicycle and Pedestrian Cost Estimation Tool: <https://connect.ncdot.gov/projects/planning/Prioritization%20Data/Forms/AllItems.aspx?RootFolder=%2Fprojects%2Fplanning%2FPrioritization%20Data%2FPrioritization%206%2E0%2FNEW%20BikePed%20Cost%20Estimation%20Tool&FolderCTID=0x0>

Project Delivery
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- ◆ Prerequisites: **Scoping Checklist Tool**
- ◆ For additional support: The local MPO or RPO as applicable



Municipal Steps to Success

- 3-1. Contact the local MPO or RPO for information to identify upcoming opportunities to secure locally-managed federal funding to include STBGP-DA, TAP-DA, CMAQ, or even TAP allocations through the NCDOT Prioritization Process. Each of these programs has unique eligibility and funding requirements and may or may not be available in the local geographic area.
- 3-2. Request information about application procedures and application schedules for relevant funding opportunities from the local MPO or RPO.
- 3-3. Notify the local MPO or RPO about the identified potential project, requesting feedback about applying for funding through different opportunities.
- 3-4. Request funding for the project as per MPO/RPO guidance.
- 3-5. Work with the local MPO/RPO to identify when notification of funding decisions will occur.
- 3-6. Monitor the MPO and RPO agendas (and MTIP items if located in an MPO), to identify if funding has been allocated to the project.

NCDOT/FHWA Steps

- ◆ NCDOT SPOT Unit maintains the process and funding cycle through which TAP funding is allocated statewide.
- ◆ MPOs are federally mandated to maintain the transportation planning documents that identify allocation of funding to local transportation projects. MPOs also program federal funding in an MTIP. In rural areas, RPOs maintain the transportation planning documents that coordinate funding strategies for local transportation projects.
- ◆ NCDOT STIP Unit programs federal funding in a STIP, in coordination with local MPOs and their MTIPs.

Notes

- ◆ Information about funding requests and new transportation project ideas should be funneled through the local MPO or RPO. Work with either an MPO or RPO depending on geographic location.

Resources and Links

- ◆ Information about North Carolina MPOs and RPOs: <https://connect.ncdot.gov/projects/planning/Pages/MPO-RPO.aspx>
- ◆ North Carolina Association of Metropolitan Planning Organizations: <http://www.ncampo.org/>
- ◆ North Carolina Association of Rural Planning Organizations: <http://www.ncarpo.org/>

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- ◆ Duration: 1-2 weeks + LGA production time
- ◆ Prerequisites: Secure project funding, Install Internet Explorer and Adobe Reader
- ◆ For additional support: NCDOT LPMO



Municipal Steps to Success

- 4-1. Complete a separate *LPMO Security Form* (see link in "Resources and Links" below) for each LGA project staff who requires access. Once form is completed, print, sign, scan, and send to lpmo@ncdot.gov.
- 4-2. Each user will receive a User ID and temporary password from NCDOT LPMO as well as a *Helpful Hints* sheet to help with portal navigation.

NCDOT/FHWA Steps

- ◆ NCDOT LPMO creates new EBS profiles upon receipt of completed security forms from LGA and maintains an up-to-date record of security forms and email contacts.

Notes

- ◆ Internet Explorer should be used to access full EBS functionality.
- ◆ NCID passwords will expire every 90 days. Go to NCID.NC.GOV to reset your password before it expires and to prevent account lock-out.
- ◆ LPMO should be notified if LGA staff EBS access needs change (new staff added to project/staff no longer employed on project).

Resources and Links

- ◆ For access to EBS (Enterprise Business Services): <https://www.ebs.nc.gov/irj/portal>
- ◆ To download LPMO Security Form: <https://connect.ncdot.gov/municipalities/Funding/Pages/default.aspx>
- ◆ For EBS Helpful Hints: <https://connect.ncdot.gov/municipalities/Funding/Pages/default.aspx>
- ◆ For additional detailed EBS instructions, see *Local Projects Management Tool - Training Webinar PPT Notes*: <https://connect.ncdot.gov/municipalities/Funding/Pages/default.aspx>
- ◆ **Scoping Checklist Tool Section D - [Project Schedule Development Table](#)**

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INTRODUCTION

- ◆ Duration: 2-4 months + LGA approvals/production time
- ◆ Prerequisites: EBS access
- ◆ For additional support: NCDOT LPMO



Municipal Steps to Success

- 5-1. Request a municipal agreement by submitting a new application in EBS within 90 days of the project's programming in the STIP.
- 5-2. Await project application approval, return, or rejection from NCDOT.
- 5-3. Revise application based on comments until NCDOT approval has been achieved. Await agreement to be sent from NCDOT for LGA approval and signature.
- 5-4. Route municipal agreement through appropriate internal channels for review and signatures. The LGA has 90 days to review, sign, and return to NCDOT.
- 5-5. Send copies of signed municipal agreements to LPMO for final NCDOT signatures.
- 5-6. Await final approval and notification from NCDOT.

NCDOT/FHWA Steps

- ◆ NCDOT Division reviews submitted project application and provides comments on the suggested project schedule.
- ◆ NCDOT LPMO notifies LGA of application approval, return, or rejection.
- ◆ Upon approval of the project application, NCDOT LPMO creates and sends the draft municipal agreement.
- ◆ NCDOT LPMO ensures NCDOT approves the municipal agreement and sends project dates to the STIP unit to ensure applicable funds for preliminary engineering (PE), right-of-way (ROW), and construction (CON) are programmed to the correct fiscal year.

Notes

- ◆ Early internal coordination with LGA contacts (see **Scoping Checklist Tool Section C**) is critical to estimate the duration of this step to include required internal LGA approvals.

Resources and Links

- ◆ For information on municipal agreements, see *Agreements Overview* folder: <https://connect.ncdot.gov/resources/DMPDT/Pages/default.aspx>
- ◆ If there are any changes to a project's magnitude, type, funding, or parties to the agreement prior to project completion, a supplement agreement must be processed and approved. [Municipal Agreement - Supplemental Agreement Cheat Sheet](#)
- ◆ **Scoping Checklist Tool Section D** - [Project Schedule Development Table](#)

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- ◆ Duration: 2-3 months + LGA production time
- ◆ Prerequisites: Municipal agreement
- ◆ For additional support: NCDOT LPMO



Municipal Steps to Success

- 6-1. Submit a "Change Request" form in EBS, selecting, "Request for Fund Authorization/Transfer" in the "Reason/Purpose" dropdown. Attach supporting documentation.
- 6-2. Await NCDOT/FHWA approval of request and authorization notification.
- 6-3. Reimbursable preliminary engineering work can begin.

 **No NCDOT/Federal Funding for PE?** Skip **Step 6** if, and only if, PE funding comes from only local or other non-federal/non-state sources.

NCDOT/FHWA Steps

- ◆ NCDOT's LPMO Unit will review the funding request and verify that PE funds are eligible for reimbursement under the municipal agreement.
- ◆ NCDOT's LPMO Unit will work with FHWA to authorize the use of PE funds.

Notes

- ◆ An RFLOI for a PEF can be drafted while awaiting funding authorization, however advertisement cannot commence prior to PE authorization.
- ◆ Any PE costs incurred prior to authorization are not eligible for reimbursement.

Resources and Links

- ◆ Prequalified professional services firms: <https://connect.ncdot.gov/business/Prequal/Pages/default.aspx>
- ◆ **Scoping Checklist Tool Section D** - [Project Schedule Development Table](#)

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INTRODUCTION

- ◆ Duration: 2-3 months + LGA production time
- ◆ Prerequisites: PE authorization
- ◆ For additional support: NCDOT LPMO



Municipal Steps to Success

- 7-1. Use the *LGA RFLOI Template* (see link in "Resources and Links" below). Work with a professional engineer or other experienced project manager to identify all required work codes, as applicable, to be included in RFLOI.
- 7-2. Submit the PEF RFLOI form through "View Agreement/Submit Document" in EBS as a *new activity* for NCDOT review and approval.
- 7-3. Await NCDOT approval, return, or rejection activity and notification.
- 7-4. Advertise the approved RFLOI (suggested for 2-4 weeks).
- 7-5. Based on RFLOI responses, select the most qualified PEF. Check *NCDOT's Directory of Firms* (see link in "Resources and Links" below) to determine if consultants are prequalified for desired work codes.
- 7-6. Create a letter requesting concurrence from NCDOT for PEF Selection using the *Letter Requesting Concurrence with PEF Selection* (see link in "Resources and Links" below). Submit the letter as a *new activity* in EBS for NCDOT review and approval and include proof of advertisement as an attachment if not advertised on the NCDOT website.
- 7-7. Await NCDOT approval, return, or rejection activity and notification.
- 7-8. Instruct your chosen PEF to prepare a manday estimate.
- 7-9. Submit the manday estimate and then the draft contract for the selected PEF through "View Agreement/Submit Document" in EBS as separate new activities for NCDOT review and approval.
- 7-10. PEF may begin reimbursable work.



No NCDOT/Federal Funding for PE?

Only if no federal or state funds for PE have been secured; modify **Step 7** as follows. **Step 7-1** - use the RFLOI template as a guide. Skip **Steps 7-2, 7-3, 7-6, 7-7, and 7-9**.



What if the LGA uses on-call contracts from consultants?

Click here for the guidance for using an on-call contract.

Resources and Links

- ◆ LGA RFLOI Template: <https://connect.ncdot.gov/municipalities/Funding/Pages/default.aspx>
- ◆ Letter Requesting Concurrence with PEF Selection: <https://connect.ncdot.gov/municipalities/Funding/Pages/default.aspx>
- ◆ NCDOT Directory of Firms: <https://www.ebs.nc.gov/VendorDirectory/default.html>
- ◆ **Scoping Checklist Tool Section D** - [Project Schedule Development Table](#)

NCDOT/FHWA Steps

- ◆ NCDOT LPMO Unit maintains RFLOI template.
- ◆ NCDOT's LPMO Unit reviews and approves the draft RFLOI before municipal advertisement.
- ◆ NCDOT's LPMO Unit concurs with PEF selection and approves the contract and estimate.

Notes

- ◆ To advertise on NCDOT's website, email a request to NCDOT LPMO.
- ◆ If the RFLOI is not advertised on NCDOT's website, work with internal LGA contract specialists to publicly advertise the RFLOI and retain records of publication.
- ◆ Carefully choosing appropriate work codes and a pre-qualified PEF can significantly reduce project risks.

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INTRODUCTION

- ◆ Duration: 1-2 months + LGA/PEF production time
- ◆ Prerequisites: PE authorization, PEF RFL0I & award
- ◆ For additional support: NCDOT Division LAPP Manager



Municipal Steps to Success

- 8A-1. Instruct the PEF to develop the 30% plans for the project and to review the project cost estimate. (Note - if the project cost estimate changes significantly, notify the MPO/RPO, NCDOT Bicycle and Pedestrian Division, NCDOT LPMO, and the NCDOT Division to identify appropriate next steps).
- 8A-2. Submit 30% plans through "View Agreement/Submit Document" in EBS as a *new activity* for NCDOT review and approval.
- 8A-3. Await NCDOT approval, return, or rejection activity and notification.
- 8A-4. Download any NCDOT comments (available in EBS) and send to your PEF. Instruct the PEF to revise 30% plans.
- 8A-5. Resubmit the updated 30% plan set as a *revised activity* in EBS for NCDOT review and approval of 30% plans.

NCDOT/FHWA Steps

- ◆ NCDOT Division reviews 30% plans submitted through EBS and provides comments to the LGA.
- ◆ NCDOT Division approves, returns, or rejects the 30% plans submitted through EBS.
- ◆ NCDOT Division enters note of 30% approval in EBS when project is ready to move to the next step.

Notes

- ◆ Minimum criteria for 30% plansets include: a layout of the footprint of the project, horizontal alignment, and vertical grade line.
- ◆ Submit authorized reimbursement requests for invoices in EBS by selecting "New Reimbursement Claim" from the EBS homepage and opening the applicable "LPMO-Reimbursement Claim" form. Fill-in the fillable portions of the form, sign and submit.

Resources and Links

- ◆ Scoping Checklist Tool Section D - [Project Schedule Development Table](#)

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INTRODUCTION

- ◆ Duration: 1-2 months + LGA/PEF production time
- ◆ Prerequisites: Approved 30% plans
- ◆ For additional support: NCDOT Division LAPP Manager, NCDOT ROW Agent



Municipal Steps to Success

- 9A-1. Instruct the PEF to develop the 60% plans for the project and to review the project cost estimate. (Note - if the project cost estimate changes significantly, notify the MPO/RPO, NCDOT Bicycle and Pedestrian Division, NCDOT LPMO, and the NCDOT Division to identify appropriate next steps).
- 9A-2. Submit 60% plans through "View Agreement/Submit Document" in EBS as a *new activity* for NCDOT review and approval.
- 9A-3. Contact NCDOT Division ROW Agent to schedule a meeting. Bring 60% draft plans to discuss ROW procedures and Uniform Act compliance. Discuss need to further coordinate with the NCDOT ROW Office to obtain the most updated approved appraiser list from the NCDOT State Appraiser.
- 9A-4. Await NCDOT approval, return, or rejection activity and notification.
- 9A-5. Download any NCDOT comments (available in EBS) and send to your PEF. Instruct the PEF to revise 60% plans.
- 9A-6. Resubmit the updated 60% plan set as a *revised activity* in EBS for NCDOT review and approval of 60% plans.

NCDOT/FHWA Steps

- ◆ NCDOT Division reviews 60% plans submitted through EBS and provides comments to the LGA.
- ◆ NCDOT Division approves, returns, or rejects the 60% plans submitted through EBS.
- ◆ NCDOT Division enters note of 60% approval in EBS when project is ready to move to the next step.
- ◆ NCDOT Division ROW Agent meets with LGA to discuss 60% (ROW) plansets, Uniform Act compliance, and approved geographically competent appraisers.

Notes

- ◆ Minimum criteria for 60% plansets include: relevant hydraulic information and ROW information.
- ◆ Submit authorized reimbursement requests for invoices in EBS by selecting "New Reimbursement Claim" from the EBS homepage and opening the applicable "LPMO-Reimbursement Claim" form. Fill-in the fillable portions of the form, sign and submit.
- ◆ Become familiar with the Uniform Act requirements.
- ◆ Begin coordination with all utilities and railroads during this phase.

Resources and Links

- ◆ Introduction to Right-of-Way Requirements and the Uniform Act: <https://www.fhwa.dot.gov/federal-aidessentials/catmod.cfm?id=6>
- ◆ **Scoping Checklist Tool Section D** - [Project Schedule Development Table](#)

Project Delivery Process Tool Chart

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- ◆ Duration: LGA/PEF production time
- ◆ Prerequisites: Environmental document, 60% plans
- ◆ For additional support: Regional NCDEQ environmental assistance coordinator, Local USACE district



Municipal Steps to Success

10A-1. Instruct your PEF to submit applications for applicable permits.

10A-2. Once a complete application is received by the permitting agency, that agency must issue or deny the requested permit within the time period defined by the applicable state or federal statute.

10A-3. Permit may be awarded once application is approved and all permit requirements have been met.

NCDOT/FHWA Steps

- ◆ Permit applications are not tracked in EBS and do not involve review or assistance from NCDOT.

Notes

- ◆ The LGA is responsible for identifying and complying with all permits. Carefully choosing appropriate work codes and a pre-qualified PEF can significantly reduce project risks and complications with environmental permitting.
- ◆ If no drainage alterations are required for your project, you may begin the environmental permitting process with only 30% approved plans and environmental document.

Resources and Links

- ◆ North Carolina DEQ Permit Handbook: <https://deq.nc.gov/permits-regulations/permit-guidance/permit-handbook/what-is-a-permit>
- ◆ Regional NCDEQ Environmental Assistance Coordinator: <https://deq.nc.gov/about/divisions/environmental-assistance-customer-service/deacs-office-locations>
- ◆ North Carolina USACE Districts: <https://www.usace.army.mil/Locations.aspx>
- ◆ **Scoping Checklist Tool Section D** - [Project Schedule Development Table](#)

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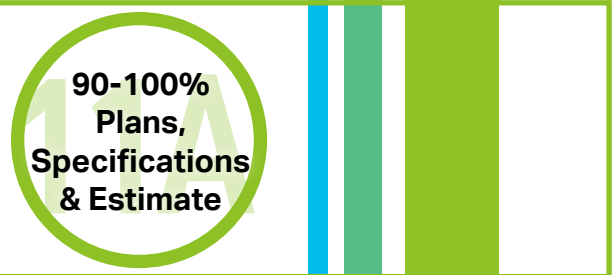
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- ◆ Duration: 1-2 months + LGA/PEF production time
- ◆ Prerequisites: 60% plans
- ◆ For additional support: NCDOT Division LAPP Manager



Municipal Steps to Success

- 11A-1. Instruct the PEF to develop the 90% plans, specifications, and final engineer's estimate (PS&E) for the project (Note - if the project cost estimate changes significantly, notify the MPO/RPO, NCDOT Bicycle and Pedestrian Division, NCDOT LPMO, and the NCDOT Division to identify appropriate next steps).
- 11A-2. Submit PS&E package through "View Agreement/Submit Document" in EBS as a *new activity* for NCDOT review and approval.
- 11A-3. Await NCDOT approval, return, or rejection activity and notification.
- 11A-4. Download any NCDOT comments (available in EBS) and send to your PEF. Instruct the PEF to revise the PS&E package.
- 11A-5. Resubmit the updated PS&E package as a *revised activity* in EBS for NCDOT review and approval of PS&E package.

NCDOT/FHWA Steps

- ◆ NCDOT Division reviews PS&E package submitted through EBS and provides comments to the LGA.
- ◆ NCDOT Division approves, returns, or rejects the PS&E package submitted through EBS.
- ◆ NCDOT Division enters note of PS&E approval in EBS when project is ready to move to the next step.

Notes

- ◆ Submit authorized reimbursement requests for invoices in EBS by selecting "New Reimbursement Claim" from the EBS homepage and opening the applicable "LPMO-Reimbursement Claim" form. Fill-in the fillable portions of the form, sign and submit.

Resources and Links

- ◆ Bid Proposals for LGAs: <https://connect.ncdot.gov/municipalities/Pages/Bid-Proposals-for-LGA.aspx>
- ◆ **Scoping Checklist Tool Section D** - [Project Schedule Development Table](#)

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- ◆ Duration: 2-3 months + LGA production time
- ◆ Prerequisites: 60% plans
- ◆ For additional support: NCDOT LPMO



Municipal Steps to Success

- 9B-1. Submit "Change Request" form in EBS, selecting "Request for Fund Authorization/Transfer" in the "Reason/Purpose" dropdown. Attach supporting documentation to include approved environmental document, approved ROW plans (60% plans), and an estimate of ROW costs.
- 9B-2. Await NCDOT/FHWA approval of request and authorization notification.
- 9B-3. LGA can perform reimbursable activities including selection and award of ROW PEF and property acquisition.

 **No NCDOT/Federal Funding for ROW?** Skip **Step 9B** if ROW funding comes from only local or other non-federal/non-state sources.

 **No New ROW Needed?** Skip **Step 9B** if no ROW purchase is needed in order to complete the project.

NCDOT/FHWA Steps

- ◆ NCDOT's LPMO Unit will review the funding request to check that ROW funds are authorized under the municipal agreement.
- ◆ NCDOT's LPMO Unit will work with FHWA to authorize the use of ROW funds.

Notes

- ◆ An RFLOI for a ROW PEF (if different from that used for PE) can be drafted while awaiting funding authorization; however, advertisement cannot commence prior to ROW authorization.
- ◆ Since this project has received NCDOT/federal funding, an LGA must follow the *Uniform Act* throughout the ROW process.

Resources and Links

- ◆ Introduction to Right-of-Way Requirements and the Uniform Act: <https://www.fhwa.dot.gov/federal-aidessentials/catmod.cfm?id=6>
- ◆ **Scoping Checklist Tool Section D** - [Project Schedule Development Table](#)

Project Delivery Process Tool Chart

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- ◆ Duration: 2-3 months + LGA production time + ROW Acquisition time
- ◆ Prerequisites: ROW authorization
- ◆ For additional support: NCDOT LPMO, NCDOT Division ROW Agent



Municipal Steps to Success

- 10B-1. From the most recent NCDOT approved appraisers list from the NCDOT Area Appraisal Office, directly solicit from at least three firms the submittal of a ROW appraisal qualification package. The ROW appraisal qualification package should include information demonstrating: (a) qualifications to do ROW appraisal work, (b) geographical competency, (c) eminent domain competency from previous NCDOT experience, and (d) an estimate for proposed work.
- 10B-2. Evaluate all ROW firm qualification packages received and identify the preferred firm based on qualifications and cost.
- 10B-3. Contact NCDOT Area Appraisal Office to request feedback on the preferred firm. Along with submittal of the preferred firm's qualification package, the NCDOT Area Appraisal Office should be supplied with the proposed project deadlines. Submit a package of information about the preferred firm (to include (a) an email from the NCDOT Area Appraisal Office showing review of the chosen firm and (b) the estimated cost of the firm's work) through "View Agreement/Submit Document" in EBS as a new activity for NCDOT review and approval.
- 10B-4. Await NCDOT approval, return, or rejection activity and notification.
- 10B-5. Prepare appropriate ROW documentation for each acquisition (claims reports for simple acquisitions under \$10k, appraisals for complex acquisitions and those over \$10k, and waivers for property donations).
- 10B-6. Await NCDOT approval, return, or rejection activity and notification.
- 10B-7. Acquire properties as detailed in the approved ROW (60%) plans and in consultation with the NCDOT Area Appraisal office to ensure conformance with the *Uniform Act*.

! No NCDOT/Federal Funding for ROW?
 Only if no federal or state funds for ROW have been secured; modify **Step 10B** as follows: coordinate with NCDOT Division ROW Agent to ensure compliance with *Uniform Act* can be demonstrated for next step, **11B - ROW Certification**.

NCDOT/FHWA Steps

- ◆ NCDOT Area Appraisal Office will provide feedback on preferred ROW firm.
- ◆ NCDOT Division ROW Agent provides guidance and assistance if ROW acquisition is required.
- ◆ NCDOT LPMO or NCDOT Division will forward to either Division or Area Appraisal Office as appropriate to review and approve offers of just compensation.
- ◆ NCDOT LPMO/Division coordinates with NCDOT ROW Office Property Management to review costs before approval in 10B-4.

Notes

- ◆ Ensure utility and railroad certification is addressed during this phase.
- ◆ Submit authorized reimbursement requests for invoices in EBS by selecting "New Reimbursement Claim" from the EBS homepage and opening the applicable "LPMO-Reimbursement Claim" form. Fill-in the fillable portions of the form, sign and submit.

Resources and Links

- ◆ ROW Connect NCDOT site: <https://connect.ncdot.gov/business/ROW/Pages/default.aspx>
- ◆ NCDOT Right of Way Manual: <https://connect.ncdot.gov/municipalities/Pages/Bid-Proposals-for-LGA.aspx>
- ◆ Introduction to Right-of-Way Requirements and the Uniform Act: <https://www.fhwa.dot.gov/federal-aidessentials/catmod.cfm?id=6>
- ◆ **Scoping Checklist Tool Section D** - [Project Schedule Development Table](#)

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- ◆ Duration: 1-2 months + LGA production time
- ◆ Prerequisites: ROW acquisition (if required)
- ◆ For additional support: NCDOT Division ROW Agent



Municipal Steps to Success

- 11B-1. Submit necessary ROW Certification documents (as instructed by the NCDOT ROW Agent) through "View Agreement/Submit Document" in EBS as a new activity for NCDOT review and approval.
- 11B-2. Await NCDOT approval, return, or rejection activity and notification.
- 11B-3. Download any NCDOT comments (available in EBS) and send to the consultant. Instruct the consultant to address comments.
- 11B-4. Resubmit the updated documentation as a *revised activity* in EBS for NCDOT review and approval.
- 11B-5. Await receipt of a field certification if property acquisition procedures were followed correctly and documentation shows that the LGA has the right to construct the project on the property.
- 11B-6. Submit claims through for eligible ROW funds as applicable. ROW reimbursement claims should include documentation of payment of just compensation for each acquisition. ROW reimbursement claims should also include documentation explaining the differences between the approved ROW estimate and the actual ROW payments, if applicable.

NCDOT/FHWA Steps

- ◆ NCDOT issues a field certification in EBS if property acquisition procedures were followed correctly and documentation shows LGA has the right to construct the project.

Notes

- ◆ In this step, NCDOT provides assurance to FHWA that federal regulations have been adhered to in the acquisition of any property outside of existing public ROW or LGA-owned property for the project, including railroad and utilities.
- ◆ ROW certification is required for all projects, even if additional ROW is not acquired.

Resources and Links

- ◆ NCDOT Right of Way Manual: <https://connect.ncdot.gov/municipalities/Pages/Bid-Proposals-for-LGA.aspx>
- ◆ **Scoping Checklist Tool Section D** - [Project Schedule Development Table](#)

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INTRODUCTION

- ◆ Duration: 1-2 months + LGA/PEF production time
- ◆ Prerequisites: PE authorization
- ◆ For additional support: NCDOT Division Environmental Agent



Municipal Steps to Success

- 8C-1. Instruct the PEF to complete the environmental document, including all necessary supporting information to fulfil the requirements of NEPA and other applicable federal requirements.
- 8C-2. Submit the draft environmental document through "View Agreement/Submit Document" in EBS as a *new activity* for NCDOT review and approval. Include the date and signature of the preparer on the approval page.
- 8C-3. Await NCDOT approval, return, or rejection activity and notification.
- 8C-4. Download any NCDOT comments (available in EBS) and send to the PEF. Instruct the PEF to revise environmental document project files.
- 8C-5. Resubmit the updated environmental document project file as a *revised activity* in EBS for NCDOT review and approval. Note that, once approved, the environmental document is valid for 12 months. After 12 months, an *Environmental Document Consultation* form is required to proceed (see **Step 11C**).

NCDOT/FHWA Steps

- ◆ NCDOT Division Environmental Agent will review the environmental package submitted through EBS and provide comments to the LGA.
- ◆ Once NCDOT comments have been resolved, NCDOT Division will approve the environmental document, or certify the environmental document and send to FHWA for approval.

Notes

- ◆ Carefully choosing appropriate work codes and a pre-qualified PEF can significantly reduce project risks and complications with environmental documentation development.
- ◆ Submit authorized reimbursement requests for invoices in EBS by selecting "New Reimbursement Claim" from the EBS homepage and opening the applicable "LPMO-Reimbursement Claim" form. Fill-in the fillable portions of the form, sign and submit.

Resources and Links

- ◆ Documentation Requirements and Approval Procedures for Federal-Aid Projects Classified as Categorical Exclusions: <https://connect.ncdot.gov/resources/Environmental/Lists/UpdatesAnnouncements/DispForm.aspx?ID=19&Source=https%3A%2F%2Fconnect%2Encdot%2Egov%2Fresources%2FEnvironmental%2FPages%2Fdefault%2Easpx&ContentTypeld=0x01040076E27AAF9D7A56479F518D3D289E7AED>
- ◆ **Scoping Checklist Tool Section D** - [Project Schedule Development Table](#)

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- ◆ Duration: 1-2 months + LGA production time
- ◆ Prerequisites: Approved environmental document
- ◆ For additional support: NCDOT Division LAPP Manager



Municipal Steps to Success

- 11C-1. Review the date of approval for the project's environmental document (**Step 9C**).
- 11C-2. If the date of approval for the project's environmental document is close to or more than 1 year from the anticipated date of construction authorization (**Step 12**), contact the Division Environmental Agent to prepare an *Environmental Document Consultation Form*. (If the date of approval for the project's environmental document is less than 1 year from the date of construction authorization (**Step 12**), no further action is likely required). The *Environmental Document Consultation Form* is also required if the environmental document is more than a year old from the date of construction authorization (**Step 12**).
- 11C-3. Complete the *Environmental Document Consultation Form* as instructed by the Division Environmental Agent.
- 11C-4. Submit the *Environmental Document Consultation Form* to the Division Environmental Agent through EBS as a *revised activity* under "Environmental Document."
- 11C-5. Await NCDOT approval, return or rejection activity and notification.
- 11C-6. Address NCDOT comments if necessary until approval is achieved.

NCDOT/FHWA Steps

- ◆ NCDOT Division Environmental Agent will review the environmental package submitted through EBS and provide comments to the LGA.

Notes

- ◆ Environmental documents older than 1 year must receive approval of an *Environmental Document Consultation Form* before construction authorization can be achieved.

Resources and Links

- ◆ Documentation Requirements and Approval Procedures for Federal-Aid Projects Classified as Categorical Exclusions: <https://connect.ncdot.gov/resources/Environmental/Lists/UpdatesAnnouncements/DispForm.aspx?ID=19&Source=https%3A%2F%2Fconnect%2Encdot%2Egov%2Fresources%2FEnvironmental%2FPages%2Fdefault%2Easpx&ContentTypeId=0x01040076E27AAF9D7A56479F518D3D289E7AED>
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INTRODUCTION

- ◆ Duration: 2-3 months + LGA production time
- ◆ Prerequisites: Environmental document, ROW certification, 100% plans, specifications, and estimate
- ◆ For additional support: NCDOT LPMO, NCDOT Division LAPP Manager



Municipal Steps to Success

- 12-1. Submit a "Change Request" form in EBS, selecting, "Request for Fund Authorization/Transfer" in the "Reason/Purpose" dropdown. Attach supporting documentation.
- 12-2. Await NCDOT/FHWA approval of request and authorization notification.

No NCDOT/Federal Funding for CON?
 Skip **Step 12** if, and only if, construction funding comes from only local or other non-federal/non-state sources.

NCDOT/FHWA Steps

- ◆ NCDOT's LPMO Unit will review the funding request and verify that construction funds are authorized under the municipal agreement.
- ◆ NCDOT Division LAPP Manager confirms that approval has been given for 100% plans, specifications, final engineer's estimate, ROW certification, and environmental document.
- ◆ NCDOT's LPMO Unit will work with FHWA to authorize the use of construction funds.

Notes

- ◆ The LGA should include any environmental permits in the bid proposal to receive construction funding authorization. As a reminder, the LGA is responsible for obtaining all required environmental permits and NCDOT will not review and/or approve these permits.

Resources and Links

- ◆ **Scoping Checklist Tool Section D** - [Project Schedule Development Table](#)



- ◆ Duration: 2-3 months + LGA production time
- ◆ Prerequisites: Construction authorization
- ◆ For additional support: NCDOT LPMO



Municipal Steps to Success

- 13-1. Create an RFLOI using the *NCDOT RFLOI* template (see link in "Resources and Links" below). Work with a professional construction engineer or other experienced project manager to identify all required work codes to be included in the RFLOI.
- 13-2. Submit the CEI RFLOI form through "View Agreement/Submit Document" in EBS as a *new activity* for NCDOT review and approval.
- 13-3. Await NCDOT approval, return, or rejection activity and notification.
- 13-4. Advertise the approved RFLOI (suggested for 2-4 weeks).
- 13-5. Based on RFLOI responses, select the most qualified CEI. Check "NCDOT's Directory of Firms" (see link in "Resources and Links" below) to determine if consultants are prequalified for desired work codes.
- 13-6. Create letter requesting concurrence from NCDOT for CEI selection using the "Letter from LGA Requesting Concurrence with PEF Selection" form (see link in "Resources and Links" below). Submit the letter through "View Agreement/Submit Document" in EBS as a *new activity* for NCDOT review and approval and include proof of advertisement as attachment.
- 13-7. Await NCDOT approval, return, or rejection activity and notification.
- 13-8. Instruct the chosen CEI to prepare a manday estimate.
- 13-9. Submit the manday estimate and then the draft contract for the selected CEI as *revised activities* in EBS for NCDOT review and approval.



No NCDOT/Federal Funding for CON?

Skip **Step 13** if construction funding comes from only local or other non-federal/non-state sources.



What if the LGA uses on-call contracts from consultants?

Click here for the guidance for using an on-call contract.

NCDOT/FHWA Steps

- ◆ NCDOT LPMO Unit maintains RFLOI template.
- ◆ NCDOT's LPMO Unit will review and approve the draft RFLOI before advertisement.
- ◆ NCDOT's LPMO Unit will review and approve the selected CEI and estimate before reimbursable work can begin.

Notes

- ◆ Selection of a CEI firm with DOT roadway construction experience will minimize project risk and help to ensure compliance with NCDOT specifications and standards (per the municipal agreement) so as not to jeopardize any reimbursements of funds.
- ◆ Typically the CEI firm and the PE firm used on this project cannot be the same firm.
- ◆ It is recommended that CEI contract and construction contract award go for approval on the same LGA board agenda.

Resources and Links

- ◆ LGA RFLOI Template: <https://connect.ncdot.gov/municipalities/Funding/Pages/default.aspx>
- ◆ Letter from LGA Requesting Concurrence with PEF Selection: <https://connect.ncdot.gov/municipalities/Funding/Pages/default.aspx>
- ◆ NCDOT Directory of Firms: <https://www.ebs.nc.gov/VendorDirectory/default.html>
- ◆ **Scoping Checklist Tool Section D** - [Project Schedule Development Table](#)

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INTRODUCTION

- ◆ Duration: 1-2 months + LGA approval time
- ◆ Prerequisites: Construction authorization
- ◆ For additional support: NCDOT Division LAPP Manager, NCDOT LPMO



Municipal Steps to Success

- 14-1. Advertise for construction (using the documents approved for construction authorization) for at least 21 days.
- 14-2. At bid opening, select the lowest responsible responsive bidder.
- 14-3. Ensure contractor can meet the DBE goal or provide a good faith effort.
- 14-4. Draft a concurrence request letter identifying the finalized bid opening/Let date, listing all of the received bids, and identifying the lowest qualified bid (use template from LPMO website, see "Resources and Links" below).
- 14-5. Obtain LGA board resolution accepting lowest bid.
- 14-6. Compile concurrence request package including finalized concurrence request letter. For more information, refer to "Local Programs Management Handbook - Construction Procurement" from the LPMO website linked below.
- 14-7. Submit the concurrence request package through "View Agreement/Submit Document" in EBS as a new activity for NCDOT review and approval.
- 14-8. Await NCDOT approval, return, or rejection activity and notification.
- 14-9. Instruct the contractor (and the CEI) that they can begin work per date of availability.

! No NCDOT/Federal Funding for CON?

Only if no federal or state funds for construction have been secured; contact LPMO after project design is complete before letting project to request special direction. LPMO will respond with special bidding/construction instructions to assist in complying with federal requirements/audit procedures.

NCDOT/FHWA Steps

- ◆ NCDOT Division and Contract Standards office approves bid documents prior to advertising.
- ◆ NCDOT LPMO concurs with selection of contractor.

Notes

- ◆ If project is over \$2.5M then the bid proposal must be submitted in EBS for NCDOT Contract Standards Unit review and approval before the advertisement process begins.
- ◆ First advertisement generally requires a minimum of 3 bidders.
- ◆ If a minimum of 3 bids cannot be achieved with first advertisement, second advertisement requires only 1 bidder, with a minimum advertisement period of 7 days.

Resources and Links

- ◆ Bid Proposals for LGAs: <https://connect.ncdot.gov/municipalities/Pages/Bid-Proposals-for-LGA.aspx>
- ◆ Letter from LGA Requesting NCDOT Concurrence with Construction Contractor: <https://connect.ncdot.gov/municipalities/Funding/Pages/default.aspx>
- ◆ Local Programs Management Handbook - Construction Procurement: <https://connect.ncdot.gov/municipalities/Funding/Pages/LPM%20Handbook.aspx>
- ◆ Scoping Checklist Tool Section D - [Project Schedule Development Table](#)

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- ◆ Duration: 1-2 years depending on project complexity and date of availability
- ◆ Prerequisites: Letting & construction award
- ◆ For additional support: NCDOT Division construction engineer, NCDOT LPMO



Municipal Steps to Success

- 15-1. LGA oversees the selected contractor and the CEI. The contractor and the CEI must follow the contract, plans, *NCDOT Standard Specifications*, and *Construction Manual* in accordance with the municipal agreement for the project. Throughout construction, the LGA is responsible for ensuring CEI maintains a complete project record per *NCDOT Standard Specifications and Construction Manual*.
- 15-2. Submit reimbursement requests for invoices in EBS by selecting "New Reimbursement Claim" from the EBS homepage and opening the applicable "LPMO-Reimbursement Claim" form. Fill-in the fillable portions of the form, sign and submit.
- 15-3. Await NCDOT approval, return, or rejection activity and notification for submitted claims.



No NCDOT/Federal Funding for CON?

Skip **Step 15-2** and **15-3** if construction funding comes from only local or other non-federal/non-state sources.

NCDOT/FHWA Steps

- ◆ NCDOT provides construction oversight and technical assistance as needed/ requested during construction.
- ◆ NCDOT approves/denies all claims by construction contractor.
- ◆ NCDOT Materials and Tests reviews all project construction documentation as part of NCDOT's mandated oversight/required by FHWA.
- ◆ NCDOT approves subcontractor agreement forms (SAF) once signed by contractor and/or sub and CEI/LGA project manager.
- ◆ NCDOT Division Offices review and approve reimbursement requests.

Notes

- ◆ Construction is the project phase with the greatest risk of federal reimbursements being denied or rescinded because of unauthorized or incomplete documentation.
- ◆ In order to maintain a complete project record the LGA may either withhold whole monthly estimate from the construction contractor until sufficient documentation is provided or remove line items with insufficient documentation.
- ◆ The LGA should avoid submitting line items for reimbursement that do not meet NCDOT documentation specifications. At the end of construction, NCDOT Materials and Tests will perform a final audit and any line items with insufficient documentation will be denied reimbursement. The LGA is liable for any monies paid on these line items and must return the funds to NCDOT.
- ◆ The LGA cannot request more reimbursement than has been authorized.

Resources and Links

- ◆ NCDOT Construction Resources: <https://connect.ncdot.gov/projects/construction/Pages/Construction-Resources.aspx>
- ◆ NCDOT Construction Manual: <https://connect.ncdot.gov/projects/construction/Pages/Construction-Manual.aspx>
- ◆ **Scoping Checklist Tool Section D** - [Project Schedule Development Table](#)

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INTRODUCTION

- ◆ Duration: 3-6 months after project construction is complete
- ◆ Prerequisites: Project construction
- ◆ For additional support: NCDOT Division construction engineer, NCDOT LPMO, FHWA



Municipal Steps to Success

- 16-1. Ensure all recorded construction line items match the quantities on the last pay application and any liquidated damages assessed.
- 16-2. Provide project acceptance letter to contractor specifying the project acceptance date.
- 16-3. Send a letter to the NCDOT Division Construction Engineer requesting concurrence in construction which specifies the project acceptance date along with a copy of project acceptance letter.
- 16-4. Await NCDOT approval, return, or rejection activity and notification.
- 16-5. Schedule a meeting with NCDOT Materials and Testing to complete final document review.
- 16-6. Complete final estimate once document review is completed and accepted, then pay final estimate.
- 16-7. Submit the final reimbursement request.
- 16-8. Retain project record for three years from FHWA's final voucher date.

No NCDOT/Federal Funding for CON?
 Only if no federal or state funds for construction have been secured; contact LPMO after project construction is complete and in advance of project closeout. Supply any information as requested to LPMO to assist in compliance with federal regulations/audit procedures.

NCDOT/FHWA Steps

- ◆ NCDOT Division Construction Engineer reviews request for concurrence in construction and sends LGA completed concurrence in construction letter.
- ◆ NCDOT LPMO completes 1446B form once final estimate is completed and paid.
- ◆ After the final reimbursement request has been processed and all paperwork accepted, FHWA issues a final voucher.
- ◆ NCDOT Division provides the final voucher date to the LGA to start the required three year records retention period.

Notes

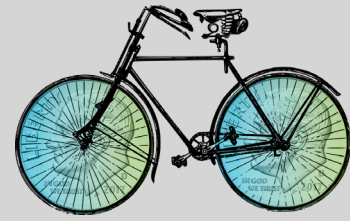
- ◆ To closeout a project all justified claims, time extensions, or liquidated damages must be approved by NCDOT. Time cannot be added to the project schedule to "give away" liquidated damages.

Resources and Links

- ◆ NCDOT Materials and Tests: <https://connect.ncdot.gov/resources/Materials/Pages/default.aspx>
- ◆ Scoping Checklist Tool Section D - [Project Schedule Development Table](#)



Municipal Agreement - Supplemental Agreement Cheat Sheet



Municipal Steps to Success

1. On EBS Home Screen, select "*Submit Change Request*".
2. Search by your STIP number and click "*LMPO - Change Request Form*".
3. On the change request form, select "*Request for Supplement Agreement*" in the "*Reason/Purpose*" dropdown. .
4. Specify the "*Reason for Change*".
5. Click "*Check*", "*Save*", or "*Submit*".
6. Attach supporting documentation on the pop-up window if needed.
7. Await NCDOT approval, return, or rejection activity and notification.

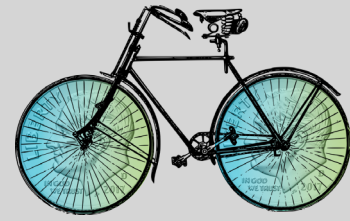
NCDOT/FHWA Steps

- ◆ NCDOT LPMO reviews and approves change requests.

Resources and Links

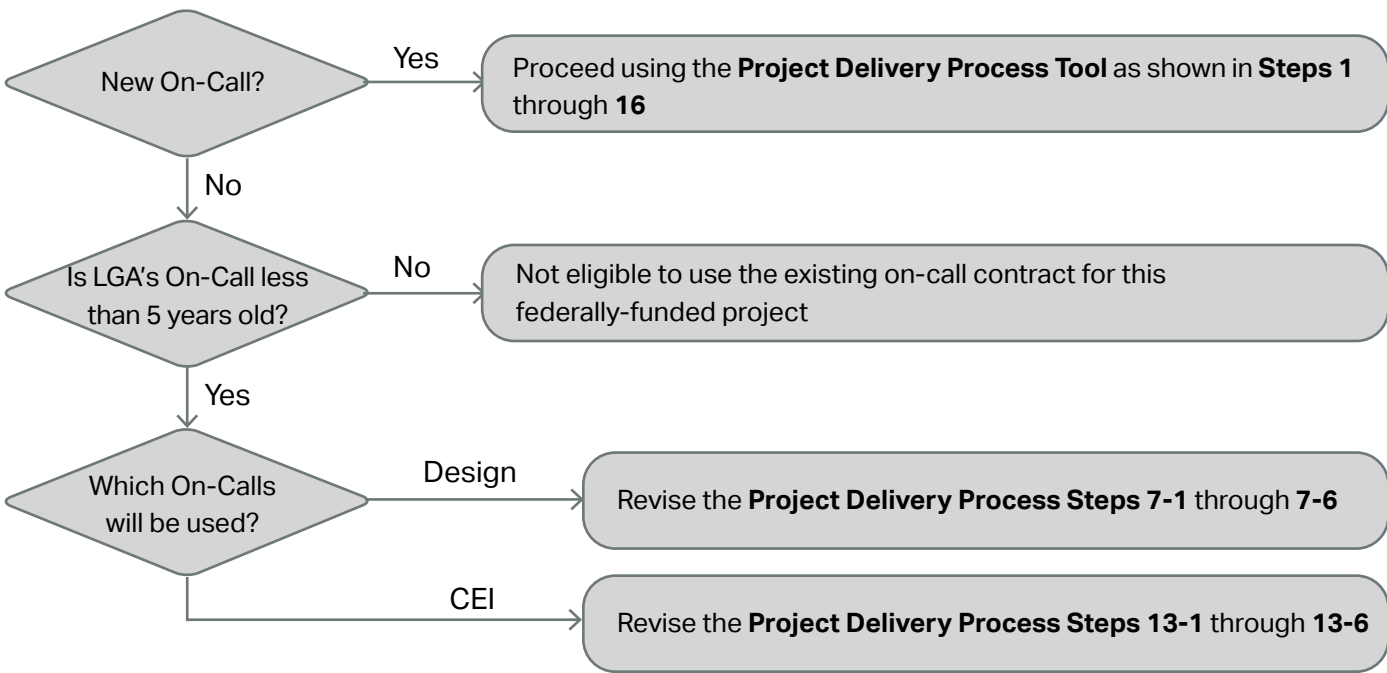
- ◆ Local Projects Management Tool - Training Webinar PPT Notes:
<https://connect.ncdot.gov/municipalities/Funding/Pages/default.aspx>

Guidance for On-Call Contracts



If the LGA is issuing an RFLOI to acquire a new pool of on-call consultants, the LGA should follow the **Project Delivery Process** as for other projects without an on-call contract. However, if the LGA is using an existing on-call contract from a previous solicitation, the LGA should follow the below steps in replacement of design **Steps 7-1** through **7-6** and/or construction **Steps 13-1** through **13-6**.

Municipal Steps to Success



To replace Steps 7-1 through 7-6 and/or 13-1 through 13-6 as applicable:

Submit "New Activity" in EBS, selecting, "Request to Use and On-Call Consultant". Attach the following documentation:

- Request for Letters of Interest
- Selection Process used by LGA
- Pool of Firms selected
- Executed Master Agreement

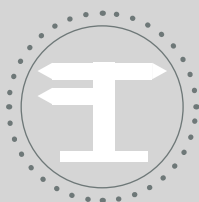


Project Delivery Process



Scoping Checklist

The **Scoping Checklist Tool** contains four sections that build upon each other to identify initial project information critical to identifying the appropriate amount of project funding, to budgeting an appropriate amount of time for project delivery, and for anticipating special circumstances that will require measured care in the development of a project.



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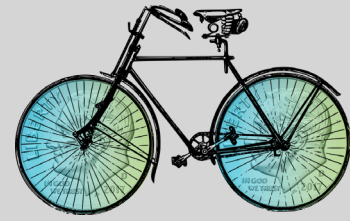
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Scoping Checklist



Section A – Basic Project Scope Information

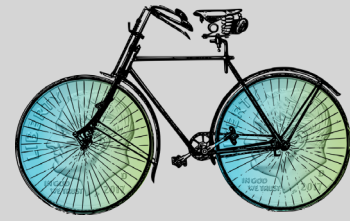
Fill-in and maintain **Section A** of the **Scoping Checklist Tool** in order to document basic project scoping information. **Section A** should be updated throughout project development and a recent version of the updated and filled-in checklist should always be made available for those identified in **Section C** as having a project development role.

<input type="checkbox"/> Project Name(s) and ID(s):	<input type="checkbox"/> Intersects the Following Roadways: <i>(See R2, R10, R11, and R12)</i>
<input type="checkbox"/> County(ies): <i>(See R1)</i>	
<input type="checkbox"/> City(ies): <i>(See R1)</i>	
<input type="checkbox"/> Project Length in Feet:	
<input type="checkbox"/> Proposed Facility Type (e.g., Sidewalks or MUP):	
<input type="checkbox"/> Proposed Facility Cross Section:	<input type="checkbox"/> Of Roadways Intersected, the Following are Private Roadways: <i>(See R7)</i>
<input type="checkbox"/> Proposed Facility Width:	
<input type="checkbox"/> Identified Available ROW Width (i.e. the width of the undeveloped ROW currently available for project construction – oftentimes this is the “plaza” width):	
<input type="checkbox"/> Is Available ROW At Least 10' Greater Than the Proposed Facility Width? <i>(See R2)</i> <input type="checkbox"/> Does Available ROW Include a Drainage Ditch? <i>(See R2, R3)</i> <input type="checkbox"/> Does Available ROW Include a Significant Slope/Potential for Topography-Related Concerns? <i>(See R2, R4)</i> <input type="checkbox"/> Does Available ROW Include Curb and Gutter? <i>(See R2, R5)</i> <input type="checkbox"/> Does Available ROW Include Subsurface Utilities? <i>(See R2, R6)</i>	<input type="checkbox"/> Of Roadways Intersected, the Following are NCDOT Roadways: <i>(See R8)</i>





Scoping Checklist



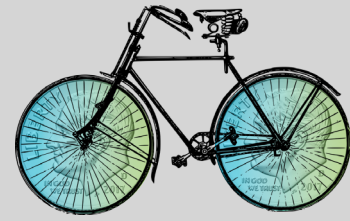
Section A – Basic Project Scope Information (Cont'd)

<input type="checkbox"/> Of Roadways Intersected, the Following are Signalized Roadways: <i>(See R11)</i>	Additional Notes:
<input type="checkbox"/> Surrounding Development Types: <ul style="list-style-type: none"> <input type="checkbox"/> Forested <input type="checkbox"/> Rural <i>(See R13)</i> <input type="checkbox"/> Industrial <i>(See R14)</i> <input type="checkbox"/> Commercial <i>(See R14)</i> <input type="checkbox"/> High-Density Residential <i>(See R13, R14)</i> <input type="checkbox"/> High-Density Mixed Used (e.g. downtown) <i>(See R13, R14)</i> <input type="checkbox"/> Suburban <i>(See R13)</i> 	
<input type="checkbox"/> Traverses the Following Environmentally Sensitive Areas/Habitats: <ul style="list-style-type: none"> <input type="checkbox"/> A Registered Historic district <i>(See R15)</i> <input type="checkbox"/> Streams <i>(See R16)</i> <input type="checkbox"/> Wetlands <i>(See R17)</i> <input type="checkbox"/> Floodplains <i>(See R18)</i> <input type="checkbox"/> Railroad Track or Railroad ROW <i>(See R19)</i> <input type="checkbox"/> An Existing Bridge <i>(See R20)</i> <input type="checkbox"/> School <i>(See R21)</i> <input type="checkbox"/> Cemetery <i>(See R22)</i> <input type="checkbox"/> Government Building <i>(See R23)</i> 	
<input type="checkbox"/> Will Require Coordination with a Nearby STIP Project (Check with Your Local MPO/ RPO or NCDOT Division) <i>(See R24)</i>	





Scoping Checklist



Section B – Project Budget Development

Fill-in and maintain **Section B** of the **Scoping Checklist Tool** in order to document basic project budgetary information. **Section B** should be updated throughout project development and a recent version of the updated and filled-in checklist should always be made available for those identified in **Section C** as having a project development role.

Use the **Connect NCDOT Estimate Database** and available cost estimation tools to help you identify appropriate cost estimates for a locally-managed and federally-funded project. Note that projects of this nature can have significantly higher associated costs than projects that are funded solely through private grants or local funding sources. Significant additional coordination, administration, and federal requirements increase the cost of constructing a transportation project with federal dollars.

I have conducted a walk-through on the project site

<input type="checkbox"/>	On the following day:
<input type="checkbox"/>	With this qualified infrastructure design/construction professional(s):
<input type="checkbox"/>	With the following additional people:
<input type="checkbox"/>	The walk-through of the project site included a professional with experience managing a locally-managed federally-funded transportation project in coordination with NCDOT's LPMO Unit (See <i>R25</i>)

I have reviewed/revised Scoping Checklist Section A inputs and developed the following project budget estimates in coordination with the qualified design/construction professional listed above:

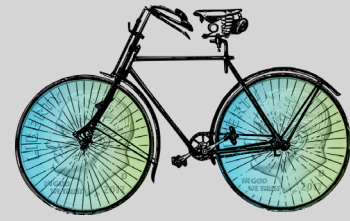
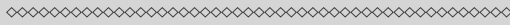
<input type="checkbox"/>	Project Design, Environmental Document Preparation, and Permitting Estimate:
<input type="checkbox"/>	ROW Estimate:
<input type="checkbox"/>	Construction and Inspection Estimate:
<input type="checkbox"/>	Subtotal:
<input type="checkbox"/>	TOTAL COST ESTIMATE = Subtotal X 1.1 (Contingency):

I have verified with the local MPO/RPO that this proposed project will not be impacted by/require coordination with a nearby STIP project (See *R24*)





Scoping Checklist



Section C – Identification of Project Roles

Fill-in and maintain **Section C** of the **Scoping Checklist Tool** in order to keep a current record of contacts with an impact on project development.

I have identified the following contacts relevant to the development of this project:

LGA Contacts (list name, email address, and phone number)

NCDOT Contacts (list name, email address, and phone number)

<input type="checkbox"/>	Contact for LGA PEF Coordination: <i>(typically staffed in the LGA's Engineering Department)</i> Name: Email address: Phone number:
<input type="checkbox"/>	Contact for LGA Board Agenda Items: <i>(typically staffed in the LGA's Clerk's Office)</i> Name: Email address: Phone number:
<input type="checkbox"/>	Contact for LGA Reimbursement Requests: <i>(typically staffed in the LGA's Finance Department)</i> Name: Email address: Phone number:
<input type="checkbox"/>	Contact for LGA Contract/Bidding Coordination: <i>(typically staffed in the LGA's Finance Department)</i> Name: Email address: Phone number:
<input type="checkbox"/>	Contact for LGA ROW Coordination: <i>(typically staffed in the LGA's Engineering Department)</i> Name: Email address: Phone number:
<input type="checkbox"/>	Contact for LGA Environmental Review/ Permitting/Stormwater Coordination: <i>(typically staffed in the LGA's Engineering Department)</i> Name: Email address: Phone number:

<input type="checkbox"/>	LPMO: Name: Email address: Phone number:
<input type="checkbox"/>	Division LAPP Management: Name: Email address: Phone number:
<input type="checkbox"/>	Division Environmental Agent: Name: Email address: Phone number:
<input type="checkbox"/>	Division ROW Agent: Name: Email address: Phone number:

Other Contacts (list name, email address, and phone number)

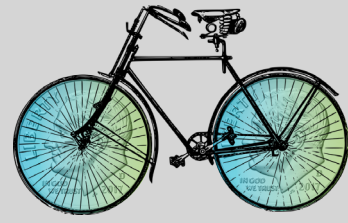
<input type="checkbox"/>	MPO/RPO: Name: Email address: Phone number:
<input type="checkbox"/>	FHWA: Name: Email address: Phone number:
<input type="checkbox"/>	CMAQ (if CMAQ funding is used): Name: Email address: Phone number:

I have identified a local transition plan to ensure seamless project development continuity should any of the identified LGA Contacts leave their current position.





Scoping Checklist



Section D – Project Schedule Development

Fill-in and maintain **Section D** of the **Scoping Checklist** in order to identify a tentative project development schedule. **Section D** should be updated throughout project development and a recent version of the updated and filled-in checklist should always be made available for those identified in **Section C** as having a project development role.

Completion of **Section D** involves five steps, identified below:

- 1) Review the Project Delivery Process Tool and understand all steps needed to successfully complete the project.**
- 2) Schedule a meeting with staff from the following LGA departments (with preference given to the representatives listed in Section C of the Scoping Checklist Tool).**

- City/County Manager
- Finance Department
- City Clerk
- Engineering
- Planning

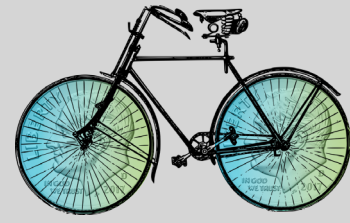
This can be structured as one meeting with all players or several individual meetings, but priority should be placed on meeting with the City/County Manager and Finance Department first.

- 3) Work with the City/County Manager and Finance Department to discuss potential project finances.**
 - Note that federal funding comes with risks, restrictions, and is provided through (up to 80%) reimbursement when records can show that money has been expended according to regulation and contract
 - Identify a local fund to provide initial project expenditures, project match, and project overages
 - Identify if the LGA has or has not completed a federally-funded locally-managed project within the last year (*See R25*)
- 4) At the meeting(s) scheduled with LGA department representatives:**
 - Walk through the **Project Delivery Process Steps** to identify the steps that require LGA approvals/LGA board action
 - For **Project Delivery Process Steps** requiring local approvals/action, identify the local process, roles, and anticipated timeframe for action towards completing each step
- 5) Complete the Project Schedule Development table on the following pages in order to identify the timeframe required to complete the project's development.**





Scoping Checklist



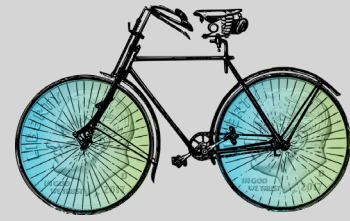
Section D (Cont'd) – Project Schedule Development Table (Page 1)

Pre-Design Schedule Calculation		Step 4 - 7	<input type="text"/> weeks
Step 4	Base Duration of "EBS Access" A	<input type="text"/> week(s) <i>(typically 1-2 weeks)</i>	
	Local Production/Approval of "EBS Access". B	<input type="text"/> week(s)	
	Review Project Delivery Process Step 4 instructions to estimate the amount of time needed for you to complete Step 4-1 and 4-2		
	Total "EBS Access" Step Duration Add A and B		<input type="text"/> week(s)
Step 5	Base Duration of "Municipal Agreement" A	<input type="text"/> week(s) <i>(typically 2-4 months)</i>	
	Local Production/Approval of "Municipal Agreement". B	<input type="text"/> week(s)	
	Review Project Delivery Process Step 5 instructions to estimate the amount of time needed for you to complete Steps 5-1, 5-2, 5-3, 5-4, 5-5, and 5-6		
	Total "Municipal Agreement" Step Duration Add A and B		<input type="text"/> week(s)
Step 6	Base Duration of "PE Authorization" A	<input type="text"/> week(s) <i>(typically 2-3 months)</i>	
	Local Production/Approval of "PE Authorization" B	<input type="text"/> week(s)	
	Review Project Delivery Process Step 6 instructions to estimate the amount of time needed for you to complete Step 6-1, 6-2, and 6-3		
	Total "PE Authorization" Step Duration Add A and B		<input type="text"/> week(s)
Step 7	Base Duration of "PEF RFLOI & Award" A	<input type="text"/> week(s) <i>(typically 2-3 months)</i>	
	Local Production/Approval of "PEF RFLOI & Award" B	<input type="text"/> week(s)	
	Review Project Delivery Process Step 7 instructions to estimate the amount of time needed for you to complete Steps 7-1, 7-2, 7-3, 7-4, 7-5, 7-6, 7-8, 7-9, and 7-10		
	Total "PEF RFLOI & Award" Step Duration Add A and B		<input type="text"/> week(s)
Step 4 - 7	Total Estimate of Duration for "Pre-Design" Phase	Add Step 4, 5, 6, and 7	<input type="text"/> week(s)





Scoping Checklist



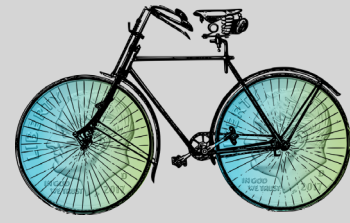
Section D (Cont'd) – Project Schedule Development Table (Page 2)

Design / Right of Way Schedule Calculation		Step 8 - 11	_____ weeks
Step 8A	Base Duration of "30% Plans"	A _____	week(s) (typically 1-2 months)
	Local Production/Approval of "30% Plans" <small>Review Project Delivery Process Step 8A instructions to estimate the amount of time needed for you to complete Step 8A-1, 8A-2, 8A-3, 8A-4, and 8A-5</small>	B _____	week(s)
	Total "30% Plans" Step Duration	Add A and B	_____ week(s)
Step 9A	Base Duration of "60% Plans"	A _____	week(s) (typically 1-2 months)
	Local Production/Approval of "60% Plans" <small>Review Project Delivery Process Step 9A instructions to estimate the amount of time needed for you to complete Step 9A-1, 9A-2, 9A-3, 9A-4, 9A-5, and 9A-6</small>	B _____	week(s)
	Total "60% Plans" Step Duration	Add A and B	_____ week(s)
Step 10A	Base Duration of "Environmental Permitting"	A _____	week(s)
	Local Production/Approval of "Environmental Permitting" <small>Review Project Delivery Process Step 10A instructions to estimate the amount of time needed for you to complete Step 10A-1, 10A-2, and 10A-3</small>	B _____	week(s)
	Total "Environmental Permitting" Step Duration	Add A and B	_____ week(s)
Step 11A	Base Duration of "90% & 100% Plans, Specs, Estimate"	A _____	week(s) (typically 1-2 months)
	Local Production/Approval of "90% & 100% Plans, Specs, Estimate" <small>Review Project Delivery Process Step 11A instructions to estimate the amount of time needed for you to complete Step 11A-1, 11A-2, 11A-3, 11A-4, and 11A-5</small>	B _____	week(s)
	Total "90% & 100% Plans, Specs, Estimate" Step Duration	Add A and B	_____ week(s)
Step 9B	Base Duration of "ROW Authorization"	A _____	week(s) (typically 2-3 months)
	Local Production/Approval of "ROW Authorization" <small>Review Project Delivery Process Step 9B instructions to estimate the amount of time needed for you to complete Step 9B-1, 9B-2, 9B-3</small>	B _____	week(s)
	Total "ROW Authorization" Step Duration	Add A and B	_____ week(s)
Step 10B	Base Duration of "ROW Acquisition"	A _____	week(s) (typically 2-3 months)
	Local Production/Approval of "ROW Acquisition" <small>Review Project Delivery Process Step 10B instructions to estimate the amount of time needed for you to complete Step 10B-1, 10B-2, 10B-3 10B-4, 10B-5, 10B-6, and 10B-7</small>	B _____	week(s)
	Total "ROW Acquisition" Step Duration	Add A and B	_____ week(s)
Step 11B	Base Duration of "ROW Certification"	A _____	week(s) (typically 1-2 months)
	Local Production/Approval of "ROW Certification" <small>Review Project Delivery Process Step 11B instructions to estimate the amount of time needed for you to complete Step 11B-1, 11B-2, 11B-3, 11B-4, 11B-5, and 11B-6</small>	B _____	week(s)
	Total "ROW Certification" Step Duration	Add A and B	_____ week(s)
Step 8C	Base Duration of "Environmental Document"	A _____	week(s) (typically 1-2 months)
	Local Production/Approval of "Environmental Document" <small>Review Project Delivery Process Step 8C instructions to estimate the amount of time needed for you to complete Step 8C-1, 8C-2, 8C-3, 8C-4, and 8C-5</small>	B _____	week(s)
	Total "Environmental Document" Step Duration	Add A and B	_____ week(s)
Step 11C	Base Duration of "Environmental Document Consultation Form"	A _____	week(s) (typically 1-2 months)
	Local Production/Approval of "Environmental Document Consultation Form" <small>Review Project Delivery Process Step 11C instructions to estimate the amount of time needed for you to complete Step 11C-1, 11C-2, 11C-3, 11C-4, 11C-5, and 11C-6</small>	B _____	week(s)
	Total "Environmental Document Consultation Form" Step Duration	Add A and B	_____ week(s)
Step 8 - 11	Estimated Duration for "Design / Right of Way" Phase Calculated by Identifying the Largest from the Following:		
	• (Design Steps) 8A + 9A + 10A + 11A		
	• (ROW Steps) 8A + 9B + 10B + 11B		
	• (Environmental Document Steps) 8C + 11C		_____ week(s)





Scoping Checklist



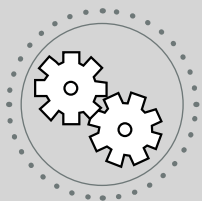
Section D (Cont'd) – Project Schedule Development Table (Page 3)

Construction Schedule Calculation		Step 12 - 16	<input type="text"/> weeks
Step 12	Base Duration of "Construction Authorization"	A <input type="text"/> week(s) <i>(typically 2-3 months)</i>	
	Local Production/Approval of "Construction Authorization"	B <input type="text"/> week(s)	
	<small>Review Project Delivery Process Step 12 instructions to estimate the amount of time needed for you to complete Step 12-1 and 12-2</small>		
Total "Construction Authorization" Step Duration		Add A and B	<input type="text"/> week(s)
Step 13	Base Duration of "CEI RFLOI"	A <input type="text"/> week(s) <i>(typically 2-3 months)</i>	
	Local Production/Approval of "CEI RFLOI"	B <input type="text"/> week(s)	
	<small>Review Project Delivery Process Step 13 instructions to estimate the amount of time needed for you to complete Step 13-1, 13-2, 13-3, 13-4, 13-5, 13-6, 13-7, 13-8, and 13-9</small>		
Total "CEI RFLOI" Step Duration		Add A and B	<input type="text"/> week(s)
Step 14	Base Duration of "Letting & Construction Award"	A <input type="text"/> week(s) <i>(typically 1-2 months)</i>	
	Local Production/Approval of "Letting & Construction Award"	B <input type="text"/> week(s)	
	<small>Review Project Delivery Process Step 14 instructions to estimate the amount of time needed for you to complete Step 14-1, 14-2, 14-3, 14-4, 14-5, 14-6, 14-7, 14-8, and 14-9</small>		
Total "Letting & Construction Award" Step Duration		Add A and B	<input type="text"/> week(s)
Step 15	Base Duration of "Project Construction"	A <input type="text"/> week(s) <i>(typically 1-2 years)</i>	
	Local Production/Approval of "Project Construction"	B <input type="text"/> week(s)	
	<small>Review Project Delivery Process Step 15 instructions to estimate the amount of time needed for you to complete Step 15-1, 15-2, and 15-3</small>		
Total "Project Construction" Step Duration		Add A and B	<input type="text"/> week(s)
Step 16	Base Duration of "Project Closeout"	A <input type="text"/> week(s) <i>(typically 3-6 months)</i>	
	Local Production/Approval of "Project Closeout"	B <input type="text"/> week(s)	
	<small>Review Project Delivery Process Step 16 instructions to estimate the amount of time needed for you to complete Step 16-1, 16-2, 16-3, 16-4, 16-5, 16-6, 16-7, and 16-8</small>		
Total "Project Closeout" Step Duration		Add A and B	<input type="text"/> week(s)
Step 12 - 16	Total Estimate of Duration for "Construction" Phase	Add Step 12, 13, 14, 15, and 16	<input type="text"/> week(s)





Project Delivery Process



Scoping Checklist



Risk Register



Connect NCDOT Estimate Database

Project Delivery
Process

Scoping
Checklist

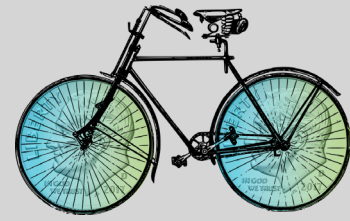
Risk
Register

Connect NCDOT
Estimate Database





Risk Register

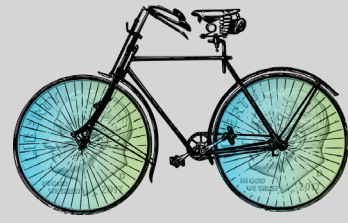


Risk Description	Potential for Significant Budget Impacts	Potential for Significant Schedule Impacts	Mitigation Actions
<p>R1 – Project traverses multiple jurisdictional boundaries – If your project crosses corporate city limits/county limits, additional stakeholders (city, town or county) and communities are involved both administratively and politically which can complicate decision-making.</p>	Some Risk	More Risk	<p>Early coordination amongst all jurisdictional stakeholders is key to minimizing project risk. This coordination should involve: (a) coordination with technical staff (planners, engineers, finance, and administration); (b) early buy-in from and communication with all political bodies; and (c) coordinated public involvement/public information plans. It is recommended to adopt a memorandum of agreement (MOA) to clarify roles and expectations.</p>
<p>R2 – Project ROW area is small in comparison to proposed facility width – Projects located in areas with narrow, busy or otherwise insufficient ROW will likely require ROW acquisition for completion. ROW acquisition can be a very costly, time-consuming process. It can be difficult to predict the amount of time and associated expense for ROW acquisition early in project development. ROW acquisition will also require coordination with external entities.</p>	More Risk	More Risk	<p>The ROW acquisition process can significantly impact project schedule and budget; so early identification of potential ROW needs will best position the project for the development of an accurate scope, schedule, and budget. In addition, ROW acquisition will involve coordination with external property owners. Good faith outreach to the property owners early in and throughout project development can allow for a win-win problem solving partnership to develop rather than an adversarial relationship. Regular and thoughtful communication with adjacent property owners is key to project success.</p>





Risk Register

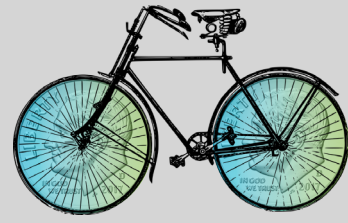


Risk Description	Potential for Significant Budget Impacts	Potential for Significant Schedule Impacts	Mitigation Actions
<p>R3 – Project ROW includes a drainage ditch – Projects located adjacent to drainage ditches oftentimes experience two-fold ROW issues. Available ROW is often smaller than first anticipated (see R2) because the drainage ditch requires a large amount of ROW. Secondly, addressing drainage issues within the ROW in order to construct a bicycle or pedestrian facility often requires stormwater engineering design and construction which can be very costly.</p>	More Risk	More Risk	<p>Early identification of potential ROW and stormwater design/mitigation needs will best position the project for the development of an accurate scope, schedule, and budget. Stormwater constraints often have multiple solutions with different trade-offs which should be considered before project scope is defined.</p>
<p>R4 – Project ROW includes topography-related concerns – Projects located adjacent to or along a slope oftentimes experience two-fold ROW issues. Available ROW is often smaller than first anticipated (see R2). Secondly, addressing topographical issues within the ROW in order to construct a bicycle or pedestrian facility often requires additional engineering design and construction which can be very costly.</p>	More Risk	More Risk	<p>Early identification of potential ROW and topography-related design/mitigation needs will best position the project for the development of an accurate scope, schedule, and budget. Topography-related constraints often have multiple solutions with different trade-offs – to include an alternate project location/path - which should be considered before project scope is defined.</p>
<p>R5 – Project ROW includes curb and gutter drainage facilities - Addressing drainage issues within the ROW in order to construct a bicycle or pedestrian facility often requires stormwater engineering design and construction which can be very costly.</p>	More Risk	More Risk	<p>Early identification of potential ROW and stormwater design/mitigation needs will best position the project for the development of an accurate scope, schedule, and budget. Stormwater constraints often have multiple solutions with different trade-offs which should be considered before project scope is defined.</p>





Risk Register

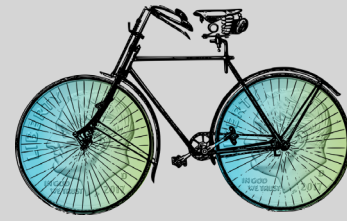


Risk Description	Potential for Significant Budget Impacts	Potential for Significant Schedule Impact	Mitigation Actions
<p>R6 – Project area will require coordination with utilities – If utilities are located within or adjacent to the project site coordination with public and private utilities is inevitable. Utility coordination can significantly impact budget. Lack of proactive utility coordination can have a severe impact on schedule.</p>	More Risk	More Risk	<p>After project survey, carefully discuss design opportunities to best mitigate conflicts with utilities. Coordinate with your local NCDOT Division Office Division ROW Agent regarding potential project impacts to private and public utilities as early as possible and definitely after 30% design. Contact utility stakeholders as soon as practicable.</p>
<p>R7 – Project will traverse private roadways - If the project traverses a private roadway, the need to coordinate with private roadway owners is inevitable. Lack of proactive coordination with external entities can have a severe impact on schedule.</p>	Some Risk	More Risk	<p>Good faith outreach to the HOAs or the owners of private roadways early in and throughout project development can allow for a win-win problem solving partnership to develop rather than an adversarial relationship. Regular and thoughtful communication with private roadway owners is key to project success.</p>
<p>R8 – Project will traverse NCDOT roadways - Coordination with and approval from NCDOT is required in order to traverse NCDOT ROW.</p>	More Risk	More Risk	<p>Coordinate with your local NCDOT Division and District Office regarding potential project impacts to NCDOT roadways as early as possible before embarking in project design to develop partnership-based solutions. Regular and thoughtful communication with NCDOT is key to project success.</p>
<p>R9 – Project will traverse signalized roadways - Projects traversing signalized roadways oftentimes experience two-fold constraints. Available ROW is often smaller than first anticipated because of the traffic signal equipment (see R2). Secondly, addressing signalization requires additional traffic engineering analysis, design, and construction which add to project cost.</p>	More Risk	More Risk	<p>Early identification of potential ROW and traffic signal needs will best position the project for the development of an accurate scope, schedule, and budget.</p>





Risk Register

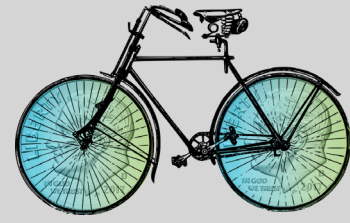


Risk Description	Potential for Significant Budget Impacts	Potential for Significant Schedule Impacts	Mitigation Actions
<p>R10 – Project will intersect roadways with potential for grade-related concerns at intersections – Topography changes that have been addressed sufficiently in roadway design may present themselves as significant issues at intersections in the construction of crosswalks and curb ramps.</p>	Most Risk	More Risk	Early identification of potential ROW and topography-related design/mitigation needs will best position the project for the development of an accurate scope, schedule, and budget. Topography-related constraints often have multiple solutions with different trade-offs – to include an alternate project location/path - which should be considered before project scope is defined.
<p>R11 – Project will intersect roadways with potential for utility conflicts at intersections – Coordination with public and private utilities is inevitable. Utility coordination can significantly impact budget. Lack of proactive utility coordination can have a severe impact on schedule.</p>	More Risk	Most Risk	After project survey, carefully discuss design opportunities to best mitigate conflicts with utilities. Coordinate with your local NCDOT Division Office Division ROW Agent regarding potential project impacts to private and public utilities as early as possible and definitely after 30% design. Contact utility stakeholders as soon as practicable.
<p>R12 – Project will intersect roadways with potential for drainage issues at intersections - Addressing drainage issues within the ROW in order to construct a bicycle or pedestrian facility often requires stormwater engineering design and construction which can be very costly.</p>	Most Risk	More Risk	Early identification of potential ROW and stormwater design/mitigation needs will best position the project for the development of an accurate scope, schedule, and budget. Stormwater constraints often have multiple solutions with different trade-offs which should be considered before project scope is defined.
<p>R13 – Project located adjacent to residential properties - If project location abuts residential properties, property owners may fear what change the project will/ could bring.</p>	Some Risk	Some Risk	Good faith outreach to the property owners early in and throughout project development can allow for a win-win problem solving partnership to develop rather than an adversarial outcome. Regular and thoughtful communication with adjacent property owners is key to project success.





Risk Register

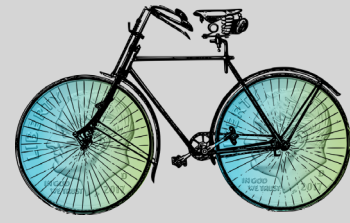


Risk Description	Potential for Significant Budget Impacts	Potential for Significant Schedule Impacts	Mitigation Actions
<p>R14 – Project located adjacent to commercial properties - If project location abuts residential properties, property owners may fear what change the project will/could bring.</p>	More Risk	More Risk	<p>Good faith outreach to the property owners early in and throughout project development can allow for a win-win problem solving partnership to develop rather than an adversarial outcome. Regular and thoughtful communication with adjacent property owners is key to project success.</p>
<p>R15 – Project area traverses a registered historic district – If the project traverses a registered historic district it will likely require additional permitting and be subject to additional regulation.</p>	More Risk	More Risk	<p>Identify historic permit requirements and schedule impacts as early as possible to accommodate sufficient time into your project schedule. Anticipate that additional regulation will also increase the costs of some aspects of project permitting, design, ROW, and construction.</p>
<p>R16 – Project area traverses streams – If your project traverses a stream, additional environmental mitigation and permitting will be required. Stream crossings will also increase costs of project design and construction with the potential need to include structural engineering costs.</p>	More Risk	More Risk	<p>Identify required permits as early as possible to accommodate sufficient time into your project schedule. Identify and compare different conceptual design solutions to address the stream crossings as early as possible. Anticipate that additional regulation will also increase the costs of some aspects of project permitting, design, ROW, and construction.</p>
<p>R17 – Project area traverses wetland areas – If your project traverses wetland area, additional environmental mitigation and permitting will be required. Wetland mitigation will also increase costs of project design and construction with the potential need to include structural engineering costs.</p>	More Risk	More Risk	<p>Identify required permits as early as possible to accommodate sufficient time into your project schedule. Identify and compare different conceptual design solutions to address environmental mitigation needs as early as possible. Anticipate that additional regulation will also increase the costs of some aspects of project permitting, design, ROW, and construction.</p>





Risk Register

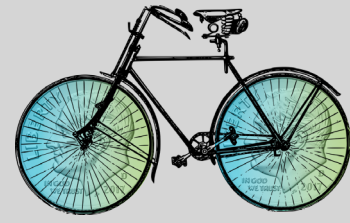


Risk Description	Potential for Significant Budget Impacts	Potential for Significant Schedule Impacts	Mitigation Actions
<p>R18 - Project area traverses floodplains – If your project traverses floodplain areas, additional environmental mitigation and permitting will be required. Floodplain mitigation will also increase costs of project design and construction with the potential need to include structural engineering costs.</p>	More Risk	More Risk	Identify required permits as early as possible to accommodate sufficient time into your project schedule. Identify and compare different conceptual design solutions to address environmental mitigation needs as early as possible. Anticipate that additional regulation will also increase the costs of some aspects of project permitting, design, ROW, and construction.
<p>R19 – Project area traverses active railroad track or railroad right-of-way – The need to coordinate with railroad companies can significantly impact project schedule, budget, and scope.</p>	Most Risk	Most Risk	Identify railroad coordination needs as early as possible and develop an approach to addressing the railroad in close coordination with your project design team. Coordinate with the railroads as early as practicable.
<p>R20 - Project traverses an existing bridge – Scope, schedule, and costs associated with structural engineering considerations are extremely site-specific and specific to design choices.</p>	More Risk	More Risk	Early consultations with the project designer will reveal if an in-depth feasibility study is required to appropriately identify estimated project budget and schedule impacts.
<p>R21 – Project located adjacent to school properties - If project location abuts school properties, stakeholders at the school may fear what change the project will/could bring.</p>	Some Risk	Some Risk	Good faith outreach to the property owners early in and throughout project development can allow for a win-win problem solving partnership to develop rather than an adversarial outcome. Regular and thoughtful communication with adjacent property owners is key to project success.





Risk Register

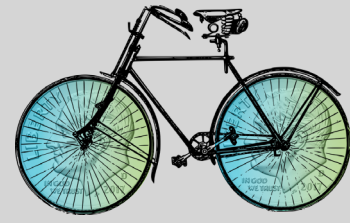


Risk Description	Potential for Significant Budget Impacts	Potential for Significant Schedule Impacts	Mitigation Actions
<p>R22 – Project located adjacent to a cemetery – Project impacts to cemetery/grave sites can be very sensitive for stakeholders and require additional permitting/surveying all of which impacts project schedule, scope, and budget.</p>	Some Risk	More Risk	<p>Good faith outreach to the property owners early in and throughout project development can allow for a win-win problem solving partnership to develop rather than an adversarial outcome. Regular and thoughtful communication with adjacent property owners is key to project success. Early coordination with regulatory agencies and careful project surveying is advised before project design begins. Be prepared for additional permitting impacts related to project schedule and budget.</p>
<p>R23 – Project located adjacent to government buildings - If project location abuts government properties, any government action required may add additional expense to project development. Government review and approvals of changes to/adjacent to government properties often involve additional committee review which will add time to the project schedule.</p>	Some Risk	Some Risk	<p>Early outreach to discuss partnerships needed with government stakeholders will best position the project for the development of an accurate scope, schedule, and budget.</p>
<p>R24 – Project area is proximal to a STIP project - The needs of large STIP projects often usurp adjacent local project needs. Coordination with adjacent STIP projects is inevitable and can significantly impact project scope, schedule, and budget.</p>	More Risk	Most Risk	<p>Coordinate with your local NCDOT Division Office regarding potential project impacts to as early as possible before embarking on project design. Identify a communication plan to ensure both (all) projects are coordinated throughout development.</p>





Risk Register

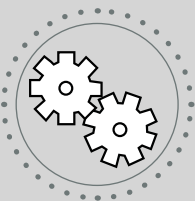


Risk Description	Potential for Significant Budget Impacts	Potential for Significant Schedule Impacts	Mitigation Actions
<p>R25 – This funding source is new to the LGA – LGAs often feel a false sense of preparation for utilization of federal transportation funds. Federal transportation funding includes additional regulations, requirements, and (incorrectly used) consequences.</p>	<p>Most Risk</p>	<p>Most Risk</p>	<p>Read through the entire <i>Bike/Ped Project Scoping Guidance for Local Governments</i> before embarking on project development. Use all of the <i>Bike/Ped Project Scoping Guidance for Local Governments</i> tools for project delivery.</p>





Project Delivery Process



Scoping Checklist



Risk Register



Connect NCDOT Estimate Database

The **Connect NCDOT Estimate Database** Tool is accessed online through NCDOT's Bidding and Letting website on Connect NCDOT. This tool can be utilized to identify the actual bids received for constructing comparable bicycle and pedestrian projects which have been federally-funded.

Project Delivery
Process

Scoping
Checklist

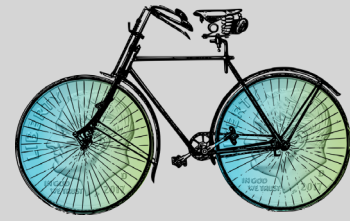
Risk
Register

Connect NCDOT
Estimate Database





Connect NCDOT Estimate Database



PROJECT
SCOPING
GUIDANCE

The use of federal funding for the construction of bicycle and pedestrian projects in North Carolina involves unique requirements with significant budgetary impacts. This means that federally-funded bicycle and pedestrian project costs are not equitably comparable to bicycle and pedestrian projects funded completely through local funding sources or grant funding sources. The **Connect NCDOT Estimate Database** is accessed through NCDOT's Bidding and Letting website on Connect NCDOT <https://connect.ncdot.gov/letting/Pages/Bicycle-Pedestrian.aspx>. This database contains cost estimates of most locally-managed federally-funded projects which have been bid since 2013. Review this **Connect NCDOT Estimate Database** before submitting a request for project funding.

Project Delivery
Process

Scoping
Checklist

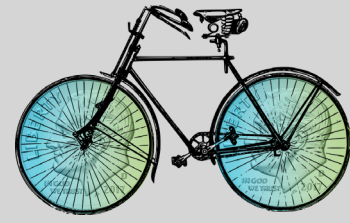
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Connect NCDOT
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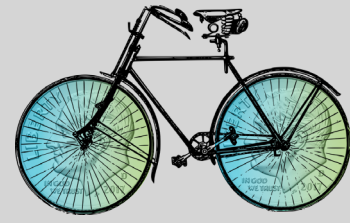
INTRODUCTION

Acronym List



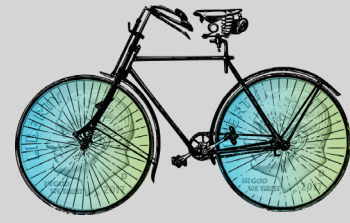
Acronym	Name	Definition	Usage Notes
CEI	Construction Engineering and Inspection	Conducting the day-to-day oversight of the agreement, and monitoring and/or auditing the contractor's construction, schedule, and quality.	For LGAs managing TAP projects in NC, CEI personnel are a second contractor (other than the construction contractor) that is hired to perform work during construction to oversee and inspect services performed by the construction contractor.
CMAQ	Congestion Mitigation & Air Quality	A program administered by FHWA to support surface transportation projects and other related efforts that contribute air quality improvements and provide congestion relief.	For LGAs managing TAP projects in NC, CMAQ represents an additional federal funding source that may be available to fund a bicycle/pedestrian project. CMAQ projects typically must comply with additional regulations in consultation with NCDOT and the area MPO/RPO.
EBS	Enterprise Business Services	NCDOT's local project management portal.	For LGAs managing TAP projects in NC, EBS is the name of the website that is used for submittal and management of documents to be reviewed by NCDOT's applicable LPMO and Division personnel. Comments on LGA submittals from NCDOT will also be available for viewing/download through EBS.
FHWA	Federal Highway Administration	An agency within the U.S. Department of Transportation that supports state and local governments in the design, construction, and maintenance of the nation's highway system and various federally and tribal owned lands.	For LGAs managing TAP projects in NC, FHWA is the agency that makes final funding and regulatory decisions regarding TAP projects. Most project development/funding LGA questions should initially be posed to NCDOT, but NCDOT may seek final clarifications from FHWA.
LAPP	Locally Administered Projects Program	A program used by MPOs to prioritize and program local transportation projects in the region that utilize federal funding and are the responsibility of the MPO.	For LGAs managing TAP projects in NC, LAPP is the general name used by most NC MPOs to describe the program that administers federal funds that area locally managed. LAPP funds may include TAP, TAP-DA, CMAQ, and/or STBGP-DA funds. LAPP may also be used by some NC RPOs to describe projects funded by TAP or CMAQ.

Acronym List



Acronym	Name	Definition	Usage Notes
LGA	Local Government Agency	Municipality, county, or state agency, who proposes to construct a transportation project or carry out a transportation program.	For LGAs managing TAP projects in NC, LGA is the name used generally to refer to the particular city, town, or county government managing a particular project. May also be referred to as LPA - Local Public Agency. LGAs are the targeted readers of the <i>Bike/Ped Project Scoping Guidance for Local Governments</i> .
LPMO	Local Program Management Office	An office within NCDOT that provides guidance and oversight to LGA that receive federal or state funds to implement a project, program, or study.	For LGAs managing TAP projects in NC, LPMO is an NCDOT office that oversees LGA activities in coordination with FHWA, the local NCDOT Division, and other applicable actors to include the local MPO/RPO.
MPO	Metropolitan Planning Organization	A federally designated policy board of an organization created and designated to carry out the metropolitan transportation planning process.	For LGAs managing TAP projects in NC, MPOs are entities that coordinate transportation funding in urbanized areas. Requests to change project funding or schedule in urbanized areas should be coordinated through the local MPO.
MTIP	Metropolitan Transportation Improvement Program	A short-term listing of surface transportation projects in metropolitan area that receive federal funds, are subject to a federally required action, or are regionally significant.	For LGAs managing TAP projects in NC, the MTIP is a regional funding document identifying the budget for all local transportation projects. Any changes to the schedule or funding amount for a federally-funded transportation project will require a revision to the MTIP in coordination with the local MPO.
MTP / CTP	Metropolitan Transportation Plan / Comprehensive Transportation Plan	The MTP/CTP is the official multi-modal transportation plan resulting from regional collaboration and consensus on a region's transportation system, and serving as the defining vision for the region's or state's transportation systems and services.	For LGAs managing TAP projects in NC, the MTP and/or CTP should list the TAP project as well as all projects that are funded through federal dollars. Any changes to federally funded projects must be consistent with the MTP or require an MTP amendment.

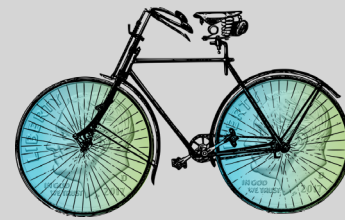
Acronym List



Acronym	Name	Definition	Usage Notes
MUP	Multi-Use Path	Facilities on exclusive right-of-way that provide multiple recreation and transportation opportunities, such as walking, bicycling, inline skating and allows usage by people in wheelchairs with minimal interaction with motor vehicles.	For LGAs managing TAP projects in NC, Multi-Use Paths represent a facility type that accommodates both pedestrians and bicyclists. MUPs are typically 10'-15' wide and composed of asphalt.
NCDEQ	North Carolina Department of Environmental Quality	A state government agency in North Carolina responsible for administering regulatory programs designed to preserve and protect environmental resources and public health.	For LGAs managing TAP projects in NC, NCDEQ serves as a regulatory agency that governs several environmental permits (Step 10A).
NCDOT	North Carolina Department of Transportation	A state government agency in North Carolina that is responsible for building, repairing, and operating highways, bridges, and other modes of transportation, including ferries.	For LGAs managing TAP projects in NC, NCDOT is the oversight agency for the development of all locally-managed federally-funded projects.
NEPA	National Environmental Policy Act	A federal environmental law that promotes the protection, restoration, and enhancement of the environment.	For LGAs managing TAP projects in NC, NEPA represents a set of federal requirements to be addressed through the completion of the environmental document (Step 8C).
PE	Preliminary Engineering	Analyses and design work to produce construction plans, specifications, and cost estimates.	For LGAs managing TAP projects in NC, PE represents Steps 8A, 9A, 10A, 11A, 8C (and 11C if applicable) of the Project Delivery Process Tool .

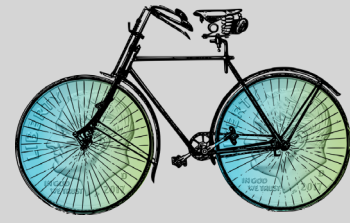


Acronym List



Acronym	Name	Definition	Usage Notes
PEF	Private Engineering Firm	A private firm that provides engineering-related services such as design, supervision, execution, repair, operation, maintenance, technology, creation of drawings and specifications, and make recommendations to public, companies, firms, and industries.	For LGAs managing TAP projects in NC, the PEF is the designer (typically contracted by the LGA) who will develop the 30% plans, 60% plans, 90% plans, 100% PS&E package, and the environmental document for review and approval of the LGA in coordination with NCDOT and applicable MPOs/RPOs.
PS&E	Plans, Specifications, & Estimate	The complete sets of plans; proposal assembly including bidding documents, special provisions, and required contract provisions; final engineer's estimate; and approved agreements with railroads, utilities, and other governmental agencies.	For LGAs managing TAP projects in NC, the PS&E package is created by the PEF and submitted as part of Step 11A of the Project Delivery Process Tool .
RFLOI	Request for Letters of Interest	A request to solicit letters of interest from qualified private engineering firms to provide PE, CEI, or ROW services for federally-funded projects.	For LGAs managing TAP projects in NC, RFLOIs are documents that are created to solicit services from consultants when an LGA wants to contract with a private entity for the PE, CEI, and/or ROW services associated with the development of a project.
ROW	Right-of-Way	Type of easement granted or reserved over the land for transportation purposes, such as a highway, public footpath, rail transport, canal, as well as electrical transmission lines, oil and gas pipelines.	For LGAs managing TAP projects in NC, ROW refers to the property (land) upon which the project will be constructed.
RPO	Rural Planning Organization	A local organization coordinating transportation planning in rural North Carolina areas not within an MPO.	For LGAs managing TAP projects in NC, RPOs are entities that are funded by NCDOT to help coordinate transportation funding in non-urbanized areas.

Acronym List



Acronym	Name	Definition	Usage Notes
STBGP-DA	Surface Transportation Block Group Program - Direct Allocation	A federal-aid transportation program, administered by the FHWA, which provides funding used by MPOs for transportation improvement projects.	For LGAs managing TAP projects in NC, STBGP-DA represents an additional federal funding source that may be available to fund a bicycle/pedestrian project.
STIP	State Transportation Improvement Program	A 10-year state and federal-mandated plan that identifies the construction funding for and scheduling of transportation projects throughout the state.	For LGAs managing TAP projects in NC, the STIP is the statewide funding document identifying the budget for all transportation projects. Any changes to the schedule or funding amount for a federally-funded transportation project will require a revision to the STIP in coordination with the local MPO and NCDOT.
TAP	Transportation Alternatives Program	A federal-aid transportation program that provides funding for programs and projects defined as transportation alternatives, including on- and off-road pedestrian and bicycle facilities, infrastructure projects for improving non-driver access to public transportation and enhanced mobility, community improvement activities, and environmental mitigation, trails that serve a transportation purpose, and safe routes to school projects.	For LGAs managing TAP projects in NC, TAP represents a federal funding source that may be available to fund a bicycle/pedestrian project.
USACE	United States Army Corps of Engineers	A federal agency under the Department of Defense that primarily oversees dams, canals, and flood protection.	For LGAs managing TAP projects in NC, USACE serves as a regulatory agency that governs several environmental permits (Step 10A). USACE has a district office in Wilmington, NC.