

# Responsible Charge Project Management

(Design and Construction)



# Goal

To get your project to design and through construction

- On Scope
- On Budget
- On Time



# Major Topics

1. Getting a project into a DOTD program
2. Getting a project through project development
3. Getting a project through construction



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Supplying the traveling public with up-to-date travel conditions is a vital task for DOTD. Find real-time information on traffic conditions on your way to home or work.

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TRAFFIC CAMERAS

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How Do I?



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## DOTD Administration Division

- ▶ [Office of the Secretary](#)
- ▶ [Administrative Documents and Manuals](#)
- ▶ [DOTD Accomplishments](#) (\*As of January 2015)
- ▶ [Compliance Programs \(Civil Rights\)](#)
- ▶ [Local Public Agencies](#)
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Contacts and Program Links  
Preconstruction Requirements  
Training  
Reporting Form  
Responsible Charge Form  
LPA Manual and Appendix  
CE&I Requirements

## Local Public Agencies

There are many opportunities for a Local Public Agency (LPA) to receive a project through the Department of Transportation and Development (DOTD). One source of funding emphasized on this site is Federal aid funds from the Federal Highway Administration (FHWA). These are cost reimbursable funds provided to the DOTD by the FHWA and are passed through the DOTD to the LPA with oversight by the DOTD and FHWA.



Please remember that any cost reimbursable phases available for a project require written approval from the DOTD prior to any money being spent.

This website is intended to assist the LPA know the available programs, how to obtain a project, and information that will assist in fulfilling the requirements of planning, environmental clearance, design, utility certification, right-of-way acquisition, construction and maintenance.

Proper execution of this information is critical in the processes, conditions and necessary approvals in order to have a project designed, advertised, bid and let to construction in accordance with DOTD requirements.

### Announcements

- ▶ The DOTD is pleased to announce the "2016 Call for Applications" for the DOTD Transportation Alternatives Program. Applications for projects will be accepted between September 1, 2016 and October 31, 2016. More information can be found at [http://wwwsp.dotd.la.gov/Inside\\_LaDOTD/Divisions/Engineering/Project\\_Management/TAP/Pages/Announcements.aspx](http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Engineering/Project_Management/TAP/Pages/Announcements.aspx)
- ▶ To learn more about the Qualification Core Training or register online, visit the LTAP website at [www.ltrc.lsu.edu/ltap/](http://www.ltrc.lsu.edu/ltap/)
- ▶ The Eastern Federal Lands Access Program Project application period is open now through October 14, 2016. Information can be found at the following link: <http://www.ltrc.lsu.edu/ltap/lpa.html>

### Project of the Quarter

This space will be used for future projects of the quarters. If an entity would like to submit a project to be recognized, please submit the project along with a picture to your Project Manager.

# Stages of a DOTD Transportation Project

- Stage 0 – Feasibility/Planning
- Stage 1 – Environmental (NEPA)
- Stage 2 – Funding
- Stage 3 – Preconstruction (Design, R/W, Utilities)
- Stage 4 – Letting (Bidding)
- Stage 5 – Construction
- Stage 6 – Maintenance

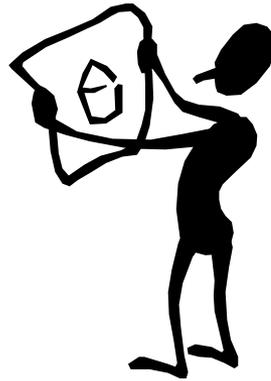
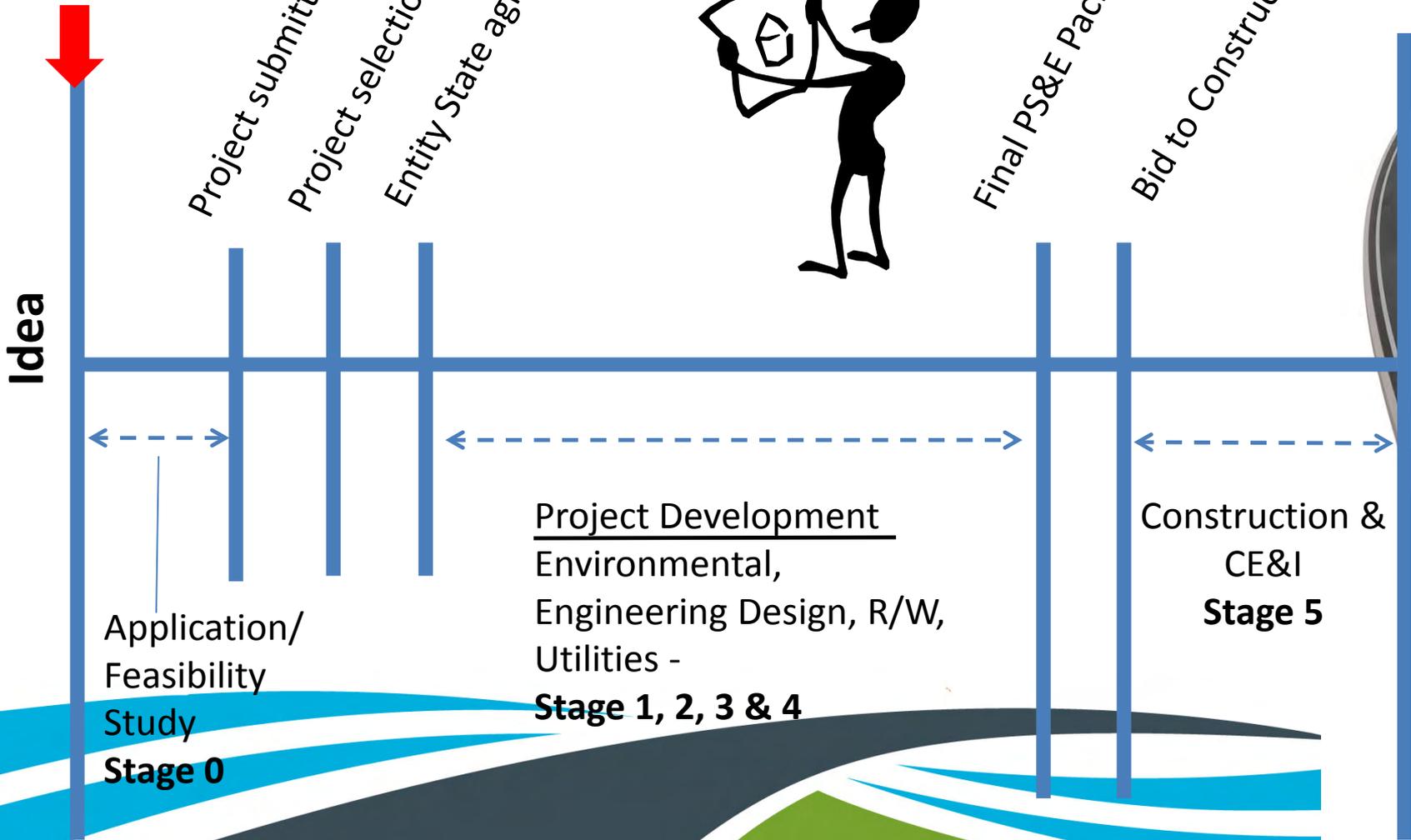




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# Project Life Span

Start here



# Getting Your Project Into A DOTD Program

*Stage 0 – Feasibility/Planning*



# Programs LPAs Can Apply for Project Funding Through DOTD

Program 2017-2018	Allocated Funding	
	Fed Funds	Plus Match
Transportation Alternative Program	\$ 9.6 M	\$12
Recreational Trails	\$ 1.5M	\$1.9
Safe Routes to Public Places	\$ 2.3M	\$2.9
Local Road Safety Program	\$ 2.6M	\$3.2
Off System Bridge Program	\$10.4M	\$13
MPO – Urban System Program	\$54.4M	\$68
Total	\$ 80.8M*	\$101



# Getting a Project into a Program Agenda

- Creating a good Stage 0/Application
- Purpose and Need
- Project Scope and Description
- Maps, Plans, & Photographs
- Calculating a Schedule
- Calculating a Budget

# Application/Stage 0



Program	Method to enter program
1. Transportation Alternatives Program	Application
1a. Recreational Trails Program	Application
2. Safe Route to Public Places Program	Application
3. Local Roads Safety Program	Application
4. Off-System Bridge Replacement Program	Parish Police Jury Prioritizes (Stage 0)
5. (and 5a) Highway Safety Improvement Program – highways and railroads	Discuss with District Administrator (Stage 0)
6. MPO - Urban Systems Program	MPO (Stage 0)



# Project Applications

*How do I put together a good application for a DOTD Program?*





# Objective of a Good Stage 0/Application

- The objective is to acquire funding for a project to improve your local transportation system to benefit the citizens in your local community
  - Projects should support plans to accomplish local and community goals – short & long term  
*(Projects that support local plans will be given priority during evaluation)*



# Steps for a Good Application/ Stage 0 Document

- Identify a program that best fits your project
- Consult program application guidance
- Identify how this project would fit into your local plan
- Utilize a project team





# Steps for a Good Application/ Stage 0 Document

- Create a well defined “Purpose and Need”, “Scope” and “Description” of the Project
  - link to local, regional or statewide plans
- Calculate a reasonable Project Schedule
- Compute a realistic Project Budget



# Purpose and Need

Used in Application /Stage 0 and  
Environmental Clearance





# Purpose and Need Defined

- **Purpose**
  - Defines the transportation need to be solved and outlines the goals and objectives of the specific project
- **Need**
  - Provides data to support the purpose/ problem statement
  - Describes the key problem(s) being addressed and the cause of those problems



# Establishing Preliminary Purpose & Need

- Justifies eligibility
- Important for prioritization
- Sets the stage for identifying and evaluating project alternatives
- Ties project to community/local goals and objectives





# Guidance and Resources

- Purpose & Need document -  
[http://wwwsp.dotd.la.gov/Inside\\_LaDOTD/Divisions/Administration/LPA/Training\\_Project\\_Planning/Purpose%20and%20Need%20Guidance%20Dec%202014.pdf](http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Administration/LPA/Training_Project_Planning/Purpose%20and%20Need%20Guidance%20Dec%202014.pdf)
  - Background
  - Needed for National Environmental Protection Act (NEPA) – Stage 1
  - Logical Termini
  - When to Develop – Preliminary in Planning
  - Types of Proposed Action/Projects

# Purpose(s) of a Project

- System Linkage
- Capacity
- Transportation Demand
- Legislation (rarely used)
- Economic Development
- Modal Interrelationships
- Safety
- Roadway Deficiencies



# Bad Examples of Purpose & Need

- The Mayor needs this project done for his re-election
  - GOOD: Our town plan has the project listed as a priority
- This improvement serves an area where politically powerful people live
  - GOOD: This area serves a population that is having high crash incidences

# Bad Examples of Purpose & Need

- City “A” got this type of project, so we need one too
  - GOOD: There are a high number of documented crashes at this intersection. A roundabout is a proven countermeasure to reduce conflict points at intersections
- The purpose of this project is to widen the roadway from 2 to 4 lanes
  - GOOD: The purpose of this project is to address congestion
- The purpose of this project is to install traffic signals
  - GOOD: The purpose of this project is to address the conflicts, crashes and delays at this intersection.

# Project Scope & Description Defined

- Project Scope
  - What you want to do in the project from the initial point to the ending point
- Description
  - The description of all work necessary to complete the project and should include all major items that will impact the schedule and budget

# Project Scope

- Reflects the statement of the Purpose and Need
- It is the “what” and “where” of the project
- Includes all requirements of the individual LPA Programs



# Project Description

- Reflects level of detail required in individual programs
- Is complete as possible to allow accurate budget compilation
- Reflects all major cost items that will be included in funding request
- Can have multiple descriptions depending on range of project alternatives considered



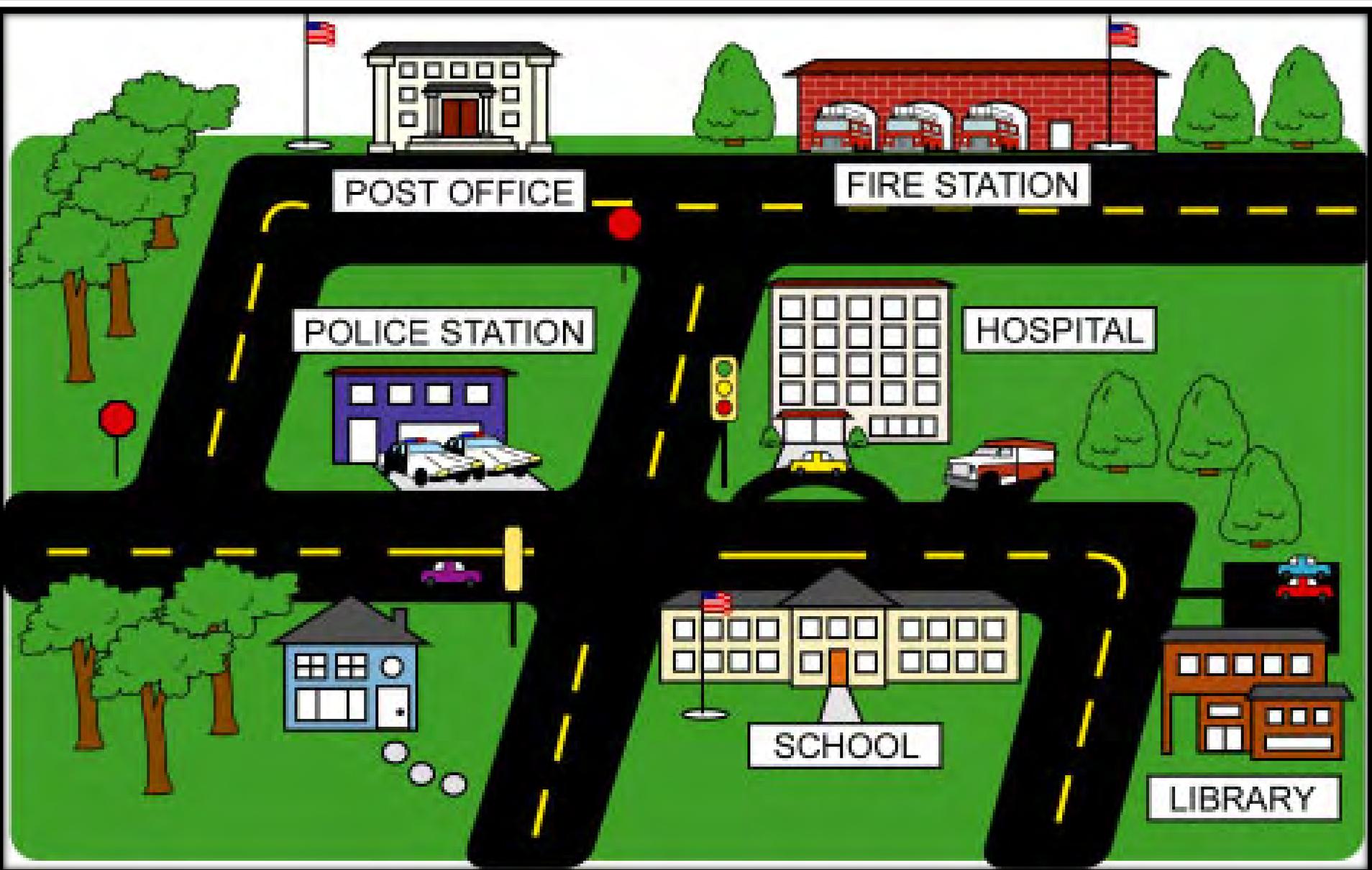
# **Good Examples of Purpose & Need Statements Scope & Description**





# Safety Example

At the signalized intersection of LA “A” and East Drive, there have been a large number of rear end crashes. The community is concerned that due to the presence of a nearby high school, these inexperienced drivers are contributing to this high number of crashes. In order to solve this problem, safety countermeasures will be installed.





# Safety – Good Purpose & Need Example

- **The Purpose** of this project is to improve safety at the intersection of LA “A” and East Drive through the use of safety countermeasures.
- **The Need** for this project is to reduce the number of crashes. Between 2010 and 2012, there were 131 crashes at this location, 82% of these crashes were intersection related. Statistics show that these types of crashes can be decreased by implementing safety countermeasures at the intersection.



# Safety - Good Project Scope & Description Example

- **The Scope** of this project is to implement safety countermeasures to reduce rear end crashes at the intersection at LA “A” and East Drive
- **The Initial Description** of this project is to install new signing and striping, high visibility traffic signal back plates and ADA-compliant ramps for the existing sidewalks





# Maps, Plans & Photographs





# Maps, Plans & Photographs

- Attach project location map(s)
  - Project boundary map
  - Site plan (if available)
- Include photographs of the existing site and/or facility if applicable
- Provide maps in a "reproducible friendly" format (on 8-1/2" X 11" paper)
- Schematic of existing and proposed typical sections





PROJECT SCOPE

# Example



## AREA ASSETS



# Example

## EXISTING CONDITIONS



FIGURE 5: facing west; intersection at Carrollwood and US Hwy 61; existing street lacks pedestrian access, landscaping, and human scale amenities; *photo credit: Google Maps 2016*

# Example

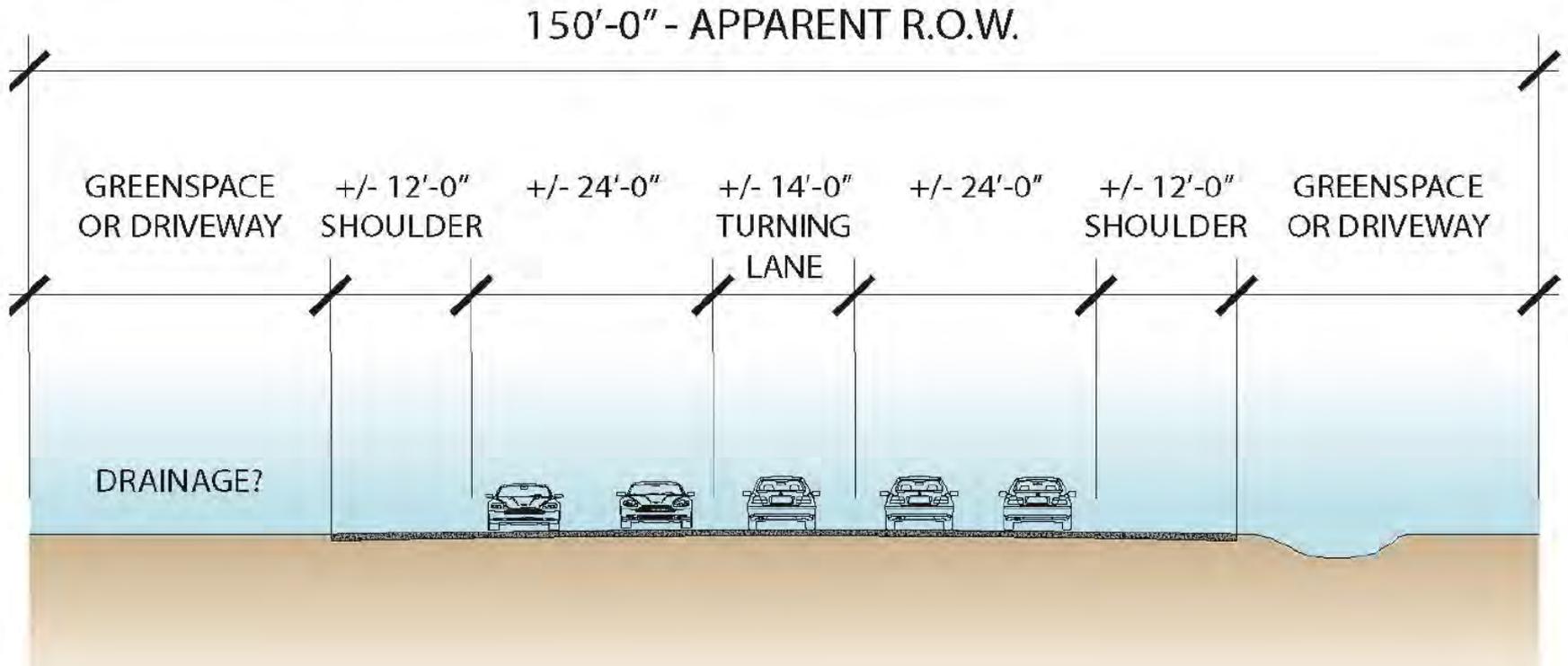
## CYCLIST AND PEDESTRIAN CIRCULATION - PATH NETWORK



FIGURE 39; background image photo credit: Google Maps 2016

# Example

## EXISTING STREET SECTION



# Example

## PROPOSED STREET PLAN

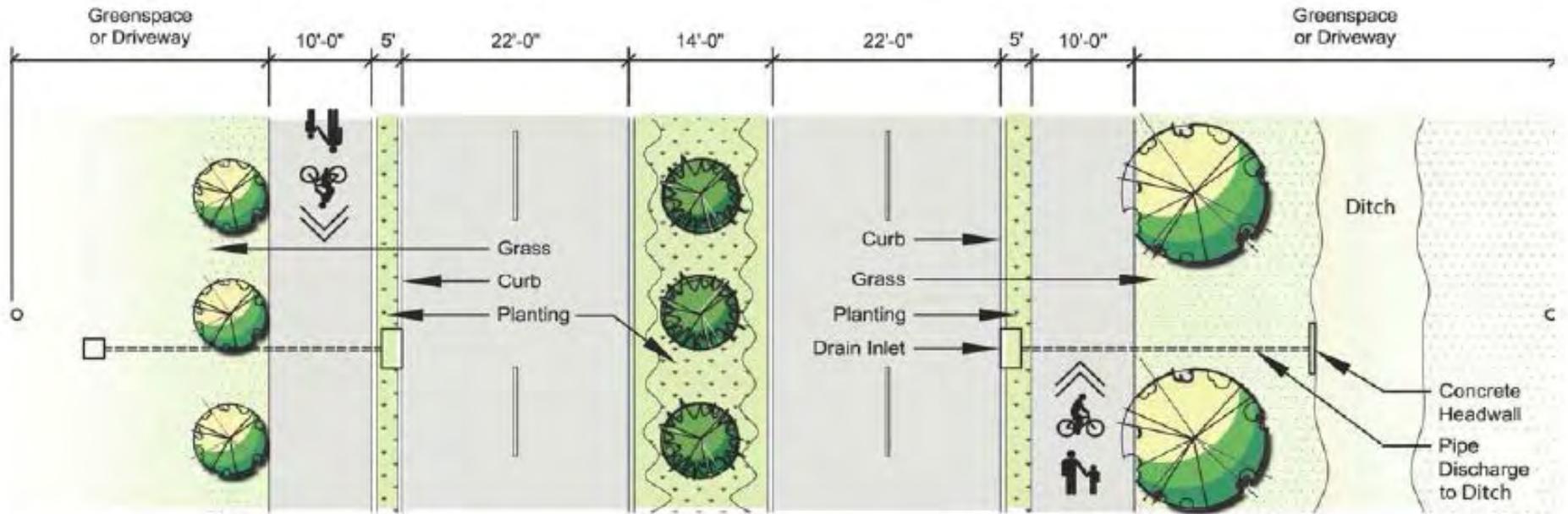


FIGURE 37: Shared bicycle and pedestrian paths

# Example

## PROPOSED STREET SECTION

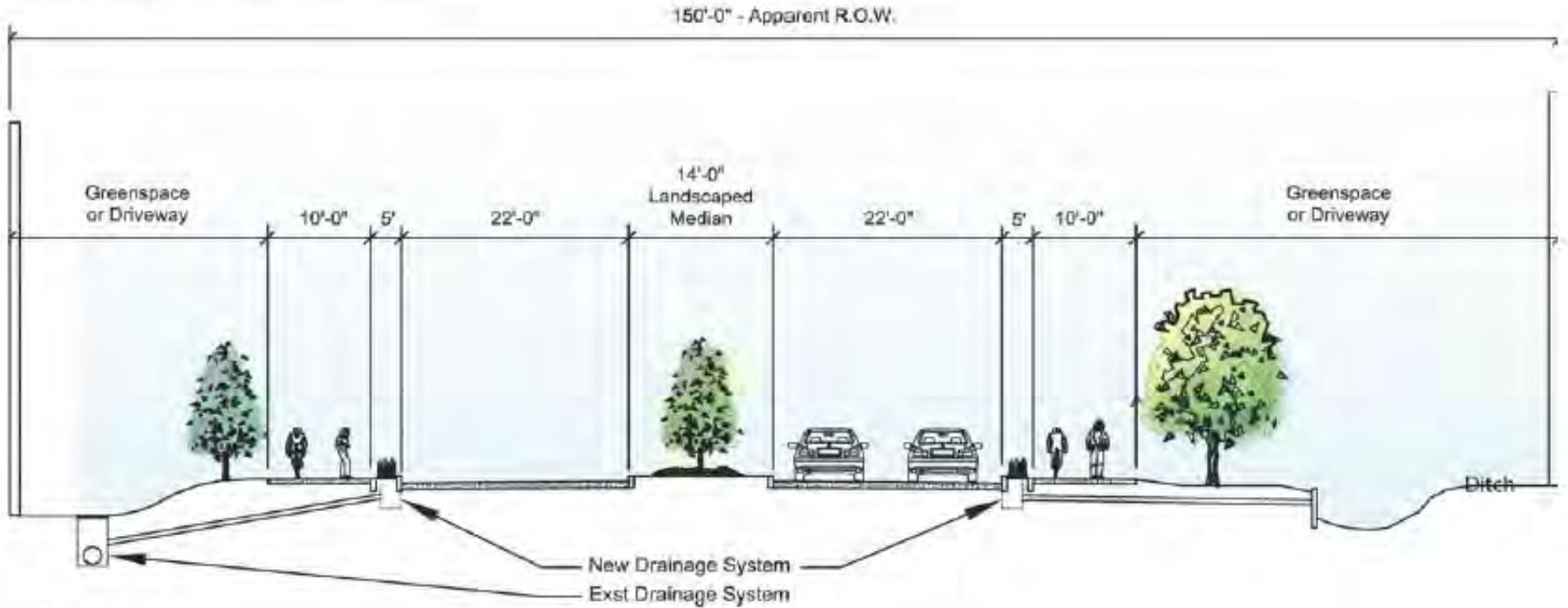


FIGURE 38: Shared bicycle and pedestrian paths

# Example

**ZONE 1: BELLE TERRE TO CARROLLWOOD  
EXISTING CONDITIONS**

**ZONE 1: BELLE TERRE TO CARROLLWOOD  
PROPOSED DESIGN**



FIGURE 40: CONCEPT SUBJECT TO SIGNIFICANT CHANGE BASED ON TRAFFIC ENGINEERING STUDY; LOCATION OF DESIGN ELEMENTS TO BE DETERMINED BY FUTURE TRAFFIC STUDY; *background image photo credit: Google Maps 2016*

STREET NAME      ANALYSIS ZONE

FIGURE 41: CONCEPT SUBJECT TO SIGNIFICANT CHANGE BASED ON TRAFFIC ENGINEERING STUDY; LOCATION OF DESIGN ELEMENTS TO BE DETERMINED BY FUTURE TRAFFIC STUDY; *background image photo credit: Google Maps 2016*

STREET NAME      ANALYSIS ZONE  
 POTENTIAL DESIGN ELEMENT      PERSPECTIVE



# Example

PERSPECTIVE B: @ US HWY 51  
 PROPOSED DESIGN



FIGURE 52: CONCEPT SUBJECT TO SIGNIFICANT CHANGE BASED ON TRAFFIC ENGINEERING STUDY; LOCATION OF DESIGN ELEMENTS TO BE DETERMINED BY FUTURE TRAFFIC STUDY; background image photo credit: Google Maps 2016



# Calculating a Realistic Schedule for Project Implementation





# Schedule Requirements

- Explain how you plan to implement your project (anticipated start date, design date, implementation timeframe, completion date and any anticipated "hold-ups")
- Attach a copy of the Schedule Planner Worksheet showing minimum and maximum time

# Schedule Requirements

- All project must have a schedule
- Consult specific program guidelines
- Schedules must reflect all of DOTD implementation stages
- Schedules must be realistic
- Schedule planner worksheet - [http://wwwsp.dotd.la.gov/Inside\\_LaDOTD/Divisions/Administration/LPA/Training\\_Project\\_Planning/Time%20calculations%2012-9-13.pdf](http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Administration/LPA/Training_Project_Planning/Time%20calculations%2012-9-13.pdf)

NOTE: Expect 2 years minimum for your project





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# Schedule planner worksheet

## Schedule Planner Worksheet

Stage	Range of Time (months)	Estimated Time (months)
<b>Stage 0 - Planning</b>		
<i>MPO</i>		
Develop Stage 0 Check list (LPA)	Up to 3 months	
Approval of Stage 0 Checklist (DOTD)	3 - 6 months	
DOTD project number assigned (DOTD)	1 day - 2 weeks	
<i>Other Programs</i>		
Develop Application (LPA)	1-3 months	
Selection Process (DOTD)	2-6 months	
<b>Stage 1 - Environmental</b>		
<i>MPO</i>		
Complete traffic studies, if needed	3 - 12 months	
Prepares environmental document (LPA)	2 months - 12 months	
Processes & obtains federal approval of the document (DOTD)	2 months	
CE Solicitation of Views (LPA)	2 months	
CE Approved (DOTD)	1 - 2 months	
PCE (DOTD clears)	1 month	
<i>Other Programs</i>		
Prepares environmental document (LPA)	1-2 months	
Processes & obtains federal approval of the document		

See  
Handout



# Typical Causes of Project Schedule Delays

- Applications lacking proper information - such as realistic scope, schedule and budget
- Signature and processing of initial Entity/State agreement and addenda
- Completion of Stage 0 and Environmental Clearance process
- Right of Way acquisition process
- Lack of responses to comments from DOTD
- Submittal of Final Plans incomplete to DOTD

# Calculating Reasonable and Realistic Budgets for Project Costs



# Project Budget

- Calculating realistic project budgets helps to ensure sufficient funds exist throughout the process to:
  - Avoid cutting the scope to stay within budget
  - Avoid requiring more entity out-of-pocket expense
- Preliminary estimates (major project items) are wanted at the application time to help identify the major items included in the project (estimates will become more detailed through design)
- A conservative, but realistic budget may help combat scope creep

Do you know how to do  
this?

If not, who  
will do it?





# Understanding Contract Bid Items

- **Project Cost** will be based on two types of contract bid item types for construction projects:
  - Lump Sum – Varies by type of project
  - Unit Price – Varies by quantity (material cost)
- **Lump Sum Items** - typically the fixed costs that do not vary directly with the scope of the project
- **Unit Price Items** - vary directly with the amount of materials needed to complete the project due to the type of work to be performed

What is your plan  
to develop and  
verify the  
budget?







# Engineering Project Budget

- When engineering costs are funded through the program, they should be estimated as a percent of the total construction cost for the purposes of the application only
- Eventually, the costs will be determined by utilizing scope, man-hours and unit prices
- For small projects, the design and construction engineering cost can be figured as much as 40% of the construction cost

# Estimating Unit Price Items

- Identify major cost items based on DOTD contract bid items that are typically paid for by unit price
- Create a worksheet or use the worksheet in application that includes:
  - Item Description/Bid Item Number
  - Unit of Measure
  - Weighted Unit Price
  - Bid Item Quantity
  - Item Cost
- Determine a unit price subtotal for the work to be performed



# Estimating Unit Price Items

- Use “*Weighted Unit Prices for Contract Bid Items*” on DOTD Website

<http://wwwapps.dotd.la.gov/highways/lettings/>

Under: **Standard Item File - Weighted Unit Price**  
find the file: [20131004 2008 Spec Year \(English\)](#)

- This file is used to obtain the current statewide average unit price for the unit price items of work to be performed



# Unit Price Considerations

- Average quarterly unit price from the DOTD website will most likely be lower than the unit price available for smaller projects with smaller quantities
- Many LPA projects are relatively small, making the unit price higher than for larger volume projects
  - A 150% adjustment is a rule of thumb for adjusting the unit price for a small quantity (Example: shopping at Sam's vs. CVS)



# Required Lump Sum Items

- 1) Mobilization (estimated at 5-15% of Unit Price Subtotal)
- 2) Temporary Signs and Barricades (estimated at 5-10% of Unit Price subtotal)
- 3) Construction Layout (estimated at 5%-10% of Unit Price Subtotal)

*The selected percentage will be determined by the project size (inverse relationship)*



# Contingency Estimates

- *Purpose:* An amount added to account for items that cannot be accurately estimated during the application phase or cannot anticipated
- *Range:* 10-30% based on project complexity



# Internal Control Questionnaire (ICQ)

- Assessment of the LPA's financial capabilities
- Must be sent in with the application/Stage 0 Form

# Internal Control Questionnaire (ICQ)

- Application /Stage 0 Document must be submitted with a completed Internal Control Questionnaire Form (ICQ)

[http://wwwsp.dotd.la.gov/Inside\\_LaDOTD/Divisions/Administration/LPA/Forms/Internal%20Control%20Questionnaire.pdf](http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Administration/LPA/Forms/Internal%20Control%20Questionnaire.pdf)

- This form is to be completed by the **LPA financial personnel**

Your project has been  
selected into a DOTD  
program  
**NOW WHAT?**



[www.faccinefb.com](http://www.faccinefb.com)

# Project Development

*Stage 1 – Environmental (NEPA)*

*Stage 2 - Funding*

*Stage 3 – Preconstruction (Design, R/W, Utilities)*

*Stage 4 – Letting (Bidding)*





# Project Development Agenda

- Responsible Charge Duties
- Key Meetings for LPAs
- Choosing an Engineer/Designer
- Invoicing DOTD and getting reimbursed

# Project Development Agenda (cont.)

- Environmental Process (Stage 1)
- Plan Development (Stage 3)
  - Design requirements
  - Project milestones
  - Survey /Right-of-way maps
  - Right-of-way acquisition
  - Permits & Agreements (Utility, Environmental, Other)
- Project Letting (Bid) Process (Stage 4)

# LPA Responsible Charge Duties



# Responsible Charge Requirements

- Federal regulation provision 23 CFR 635.105 requires a full-time employee of the Entity to be in “*Responsible Charge*” of the Project for the stages/phases for which the Entity is designated as being responsible

# Project Responsible Charge Role

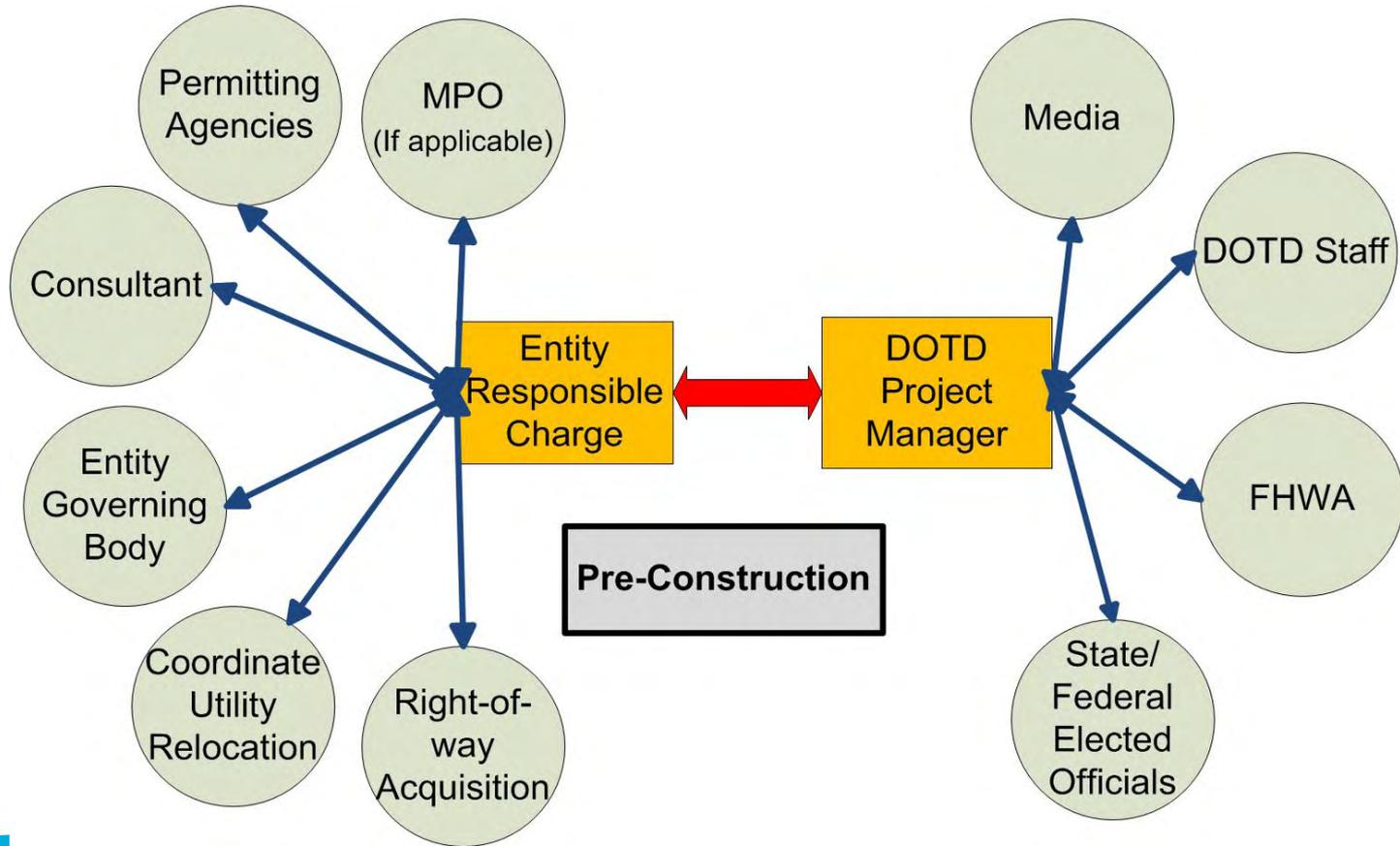
## Bottom Line

You are the project manager and have to work with DOTD to get the project completed



# Project Responsible Charge

## *Working with DOTD*



# Project Responsible Charge Duties

Keeps Project Moving

Transmits letters and plans to DOTD

Distributes plans internally

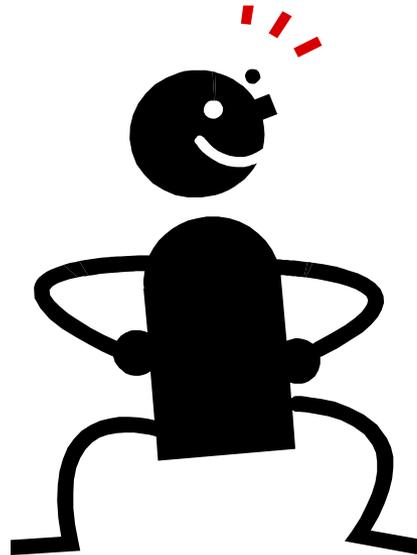
Confirms comments are addressed

Attends all decision meetings

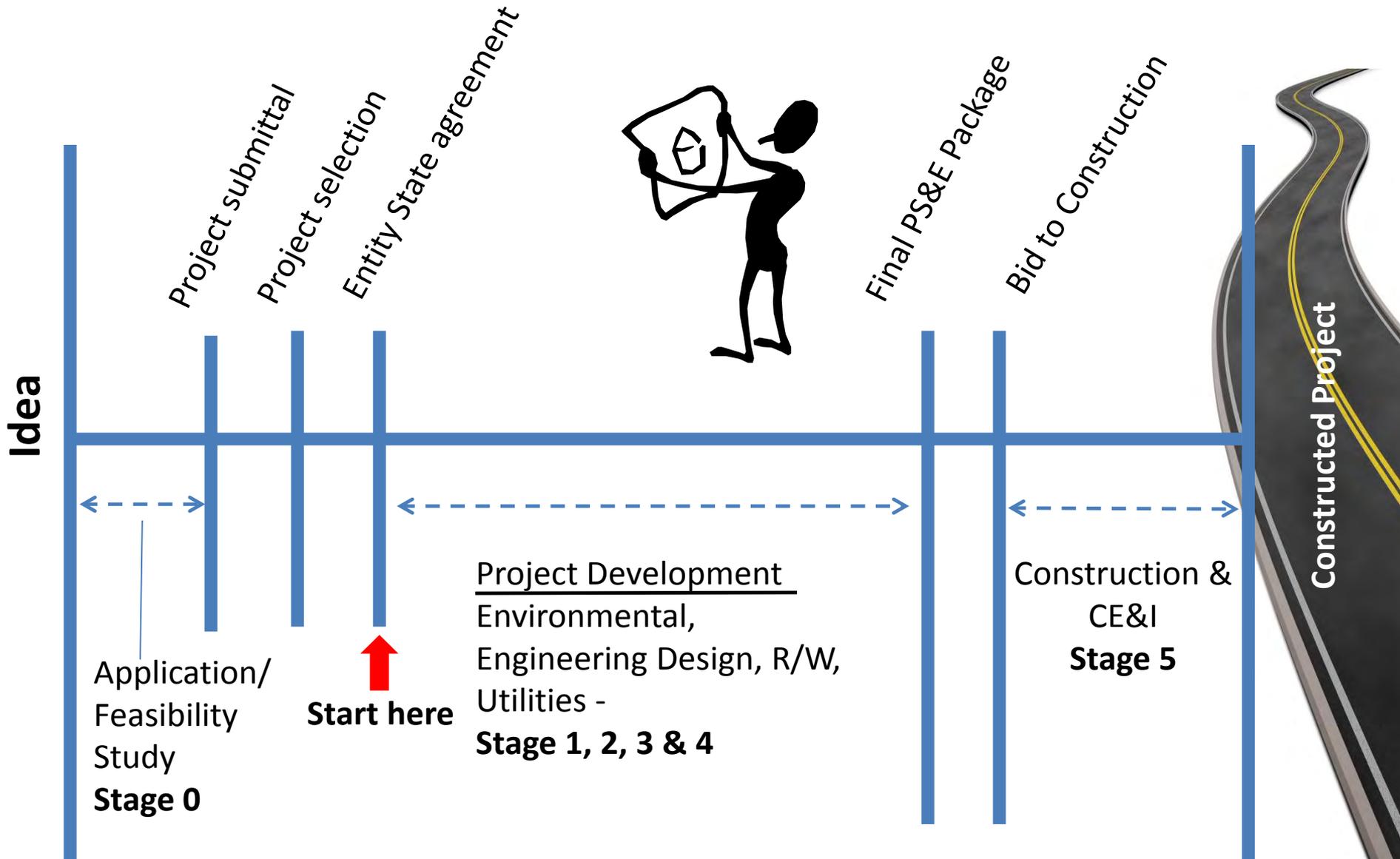
Ensures permits are obtained

Submit Status Reports

Ensures utility relocation is coordinated



# Project Life Span



# Execute Entity-State Agreement



dreamstime.com

(Covered in LPA Qualification Core Training)

# Agreement Articles

- Project Description
- Funding
- Project Responsible Charge
- Period of Performance
- Consultant Selection
- Environmental Process
- Pre-construction Engineering
- Right-of-Way Acquisition & Relocation
- Transfer & Acceptance of Right-of-Way
- Permits
- Utility Relocation /Railroad Coordination
- Bids/Construction
- Construction Engineering & Inspection
- Subcontracting
- DBE Requirements
- Direct and Indirect Costs
- Cost Records
- Cancellation
- Compliance with Civil Rights
- Indemnification
- Final Inspection and Maintenance
- House Bill 1 Compliance

# Project Development Begins

# Key meetings

- On every project a **responsible charge is required to attend key meetings or the meeting will be cancelled**
  - Kickoff
  - Pre-design
  - Plan-in-Hand
  - Joint Plan Review (If Right-of Way)
  - Project Set-up Meeting (Construction)
  - Pre-Construction

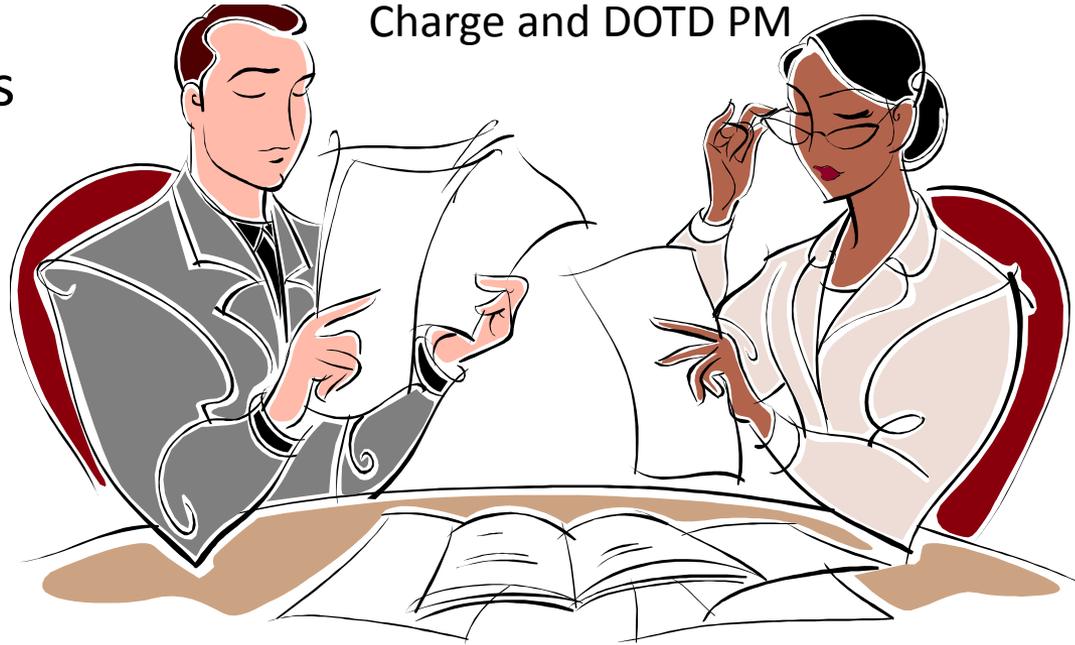


# Project Kickoff Meeting

Responsibilities

Attendees: Responsible  
Charge and DOTD PM

Expectations



LPA Manual Appendix D – Page 2



# Kickoff Meeting Agenda

- Scope of services, schedule, budget
- Expectations if DOTD selects their environmental and design consultant
- Guidance on requirements if the LPA selects consultant
- Full size plans vs. letter size plans
- The requirements for survey



# Kickoff Meeting Agenda (cont.)

- Other plan development related issues
  - Identify DOTD Environmental contact
- DOTD project manager and LPA formulate a plan of action to get the project to letting
- Project Reporting

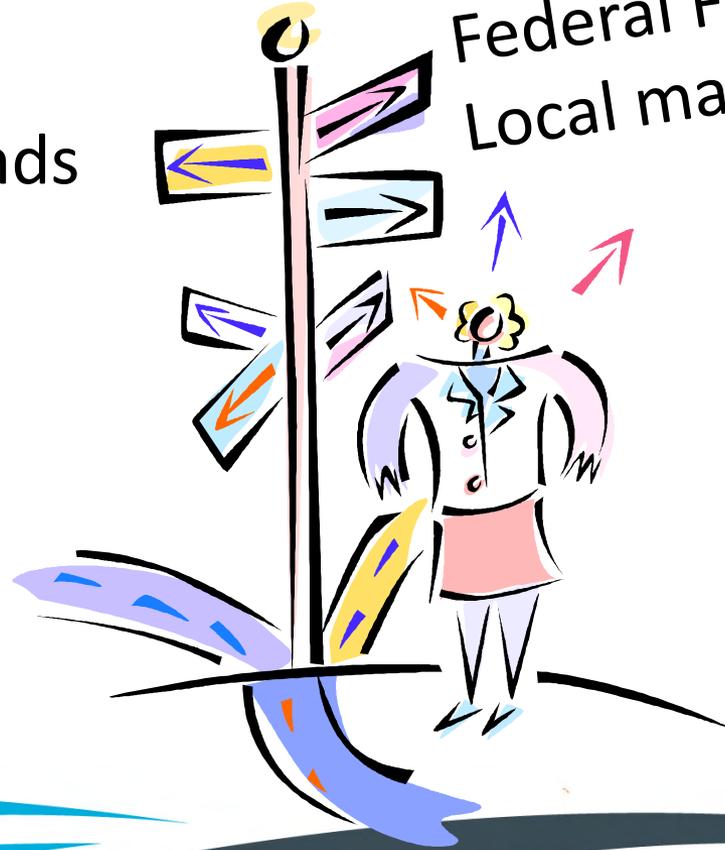
# Selecting the Project Design Engineer

LPA Manual Appendix D - Pages 2-5

# Consultant Selection *Options*

100% Local Funds

Federal Funds with  
Local match



# Consultant Selection

- If Federal Funds are used for engineering, DOTD must select a consultant by Federal requirements

## WHY???



# Consultant Selection

## *The Brooks Act – USC 40 Ch 11*

LA State Law procurement requirements for professional services do NOT meet the Federal Brooks Act

DOTD will select the consultant and prepare the contract for execution between the LPA and consultant – DOTD not a party to the contract

# When LPA selects consultant using 100% local funds

# What the Entity State Agreement Says About Design

*“The design standards shall comply with the criteria prescribed in 23 CFR Part 625 (“Design Standards For Highways”) and DOTD guidelines. The format of the plans shall conform to the latest standards used by DOTD in the preparation of its contract plans for items of work of similar character.*”

# Consultant Contracts

## *Suggestions*

- LPA developed contract should have same requirements as DOTD's contracts because the end results must be the same



Sample Contract – LPA Manual  
Appendix D-1



# Design Engineer (Consultant or In-House) Responsibilities

- *Ensure you instruct your design engineer to follow the DOTD policies and guidelines to deliver a quality set of design plans/package that can be bid by DOTD in a timely manner*
- In general the design engineer is NOT the Responsible Charge

# Important!

- The review of plans by DOTD will **NOT** absolve the LPA , or its professional engineer, of their professional obligation to correct, at their expense, any error in the plans



# Recommended process for LPA if local funds are used for pre-construction

- Choose wisely - Any cost to fix the plans is the LPA's responsibility
- Define a clear scope of services
- Obtain work experience, specialized experience, professional licensure, staff capabilities, workload capacity and past performance from several firms

# Recommended process for LPA if local funds are used for pre-construction (cont.)

- Review qualifications
- Choose best firm
- Ask consultant to submit amount of man-hours calculated and rates to perform work to the standard of DOTD

# Contract Management Recommendations

- Hint: Recommend putting in contract appendix: When paying invoices, require the invoice to show the % of work complete and the amount of man-hours expended to do the work

# **When DOTD selects consultant using Federal funds**

# LPA Responsibilities if Federal funds are used for pre-construction

- Sign and return Entity-State Agreement (cannot be reimbursed without an executed agreement)
- Attend a kickoff meeting with the DOTD PM
- Work with DOTD PM to develop a clear scope of services for design contract with man-hours and schedule

# DOTD Responsibilities If Federal Funds Are Used For Pre-construction On A Local Route

- DOTD will prepare & advertise the contract and evaluate submissions (not LPA)
- DOTD will evaluate the submissions (not LPA)
- DOTD will notify the LPA of the shortlist
- Upon notification of the shortlist, the LPA can send a non-binding recommendation on consultant selection to DOTD Secretary



# DOTD Responsibilities If Federal Funds Are Used For Pre-construction On A Local Route

- DOTD selects the consultant
- DOTD notifies LPA of selected consultant
- DOTD prepares the consultant contract for execution by the LPA with the consultant
- DOTD processes & pays invoices
- *NOTE: DOTD should hold all contracts on state routes*



# LPA Responsibilities if Federal funds are used for pre-construction

- LPA signs the formal contract (prepared by DOTD) with the consulting engineer
- Responsible charge becomes PM for the project



# Contract Obligations During Design

- Notice to Proceed
- Paying Invoices



# Notice to Proceed (NTP)

- Prior to any work to be reimbursed with Federal Funds, a NTP from DOTD to the LPA is required
- The LPA informs the consultant of the NTP



# Reimbursement

Consultant invoices must be submitted by the LPA to DOTD monthly in the format found on the DOTD Consultant Contract Services website





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# Sample Invoice – Lump Sum

Legacy State Project No. : 700-00-0000			Vendor Number: 310000000					
Type of Project :								
Request for Payment Number :			xx / Partial or Final					
PERIOD: MIDY TO MIDY								
			MAXIMUM COMPENSATION	% COMPLETE	AMOUNT EARNED TO DATE	PREVIOUSLY INVOICED	LESS RETAINAGE	AMOUNT DUE THIS PERIOD
<b>Stage 3, Part IA - Topographic Survey - Total</b>								
Consultant	(Notice to Proceed MIDY) - Subtotal (Expiration Date MIDY)	Lump Sum	75,000.00	100.00%	75,000.00	71,250.00	0.00	3,750.00
Subconsultant	(Notice to Proceed MIDY) - Subtotal (Expiration Date MIDY)	Lump Sum	55,500.00	100.00%	55,500.00	55,500.00	0.00	0.00
<b>Supplemental No. 1 - (Description) - Total</b>								
Consultant	(Notice to Proceed MIDY) - Subtotal (Expiration Date MIDY)	Lump Sum	65,450.00	100.00%	65,450.00	62,177.50	3,272.50	0.00
<b>Stage 3, Part III - Preliminary Plans - Total</b>								
Consultant	(Notice to Proceed MIDY) - Subtotal (Expiration Date MIDY)	Lump Sum	199,000.00	50.00%	99,500.00	0.00	4,975.00	94,525.00
<b>Extra Work Letter No. 1 - (Description) - Total</b>								
Consultant	(Notice to Proceed MIDY) - Subtotal (Expiration Date MIDY)	Lump Sum	35,250.00	65.00%	22,912.50	12,000.00	1,145.63	9,766.87
Subconsultant	(Notice to Proceed MIDY) - Subtotal (Expiration Date MIDY)	Lump Sum	58,160.52	95.00%	55,252.49	0.00	2,762.62	52,489.87
<b>Stage 3, Part IV - Final Plans - Total</b>								
Consultant	(Notice to Proceed MIDY) - Subtotal (Expiration Date MIDY)	Lump Sum	22,002.45	5.00%	1,100.12	955.00	55.01	90.11
<b>Total</b>			510,362.97		374,715.11	201,882.50	12,210.76	
			<b>TOTAL AMOUNT DUE THIS PERIOD: \$160,621.95</b>					
Certified Correct by:			Contact Information Regarding Invoicing Questions:					
Principal Member's Signature			Name:		Telephone#:		Email:	
							98	

# Disbursement vs. Reimbursement

- Reimbursement
  - LPA pays contractor
  - LPA submits cancelled check
  - LPA reimbursed for agreed percentage by DOTD
- Disbursement
  - LPA submits copy of invoice to DOTD
  - DOTD sends LPA appropriate percentage
  - LPA pays contractor
  - LPA provides proof of payment to contractor within 60 days to DOTD or with next invoice for engineering consultant contracts



LOUISIANA DEPARTMENT OF  
TRANSPORTATION & DEVELOPMENT

# Cost Disbursement Form

<http://webmail.dotd.louisiana.gov/ContWeb.nsf/38dfde74ffe57a4086256fe00046e825/d348c01c8eac1c6886257854005fc0b2?OpenDocument>



BOBBY JINDAL  
GOVERNOR

STATE OF LOUISIANA  
DEPARTMENT OF TRANSPORTATION AND DEVELOPMENT  
P.O. Box 94245  
Baton Rouge, Louisiana 70804-9245  
www.dotd.la.gov



SHERRI H. LEBAS, P.E.  
SECRETARY

## COST DISBURSEMENT CERTIFICATION

Date:	Entity:	Estimate No:
Project No:	Contract:	Amount:
Project Name:		Phone No:

BY EXECUTION OF THIS DOCUMENT, I CERTIFY, ON BEHALF OF ENTITY THAT THE WORK, AS EVIDENCED BY THE ATTACHED INVOICES, HAS BEEN PERFORMED IN ACCORDANCE WITH THE TERMS OF THE DOTD/ENTITY AGREEMENT AND THAT THE SERVICES HAVE BEEN PERFORMED AND/OR THE GOODS RECEIVED. ENTITY AGREES THAT WITHIN SIXTY (60) DAYS FROM RECEIPT OF DISBURSEMENT BY DOTD, ENTITY WILL PROVIDE PROOF OF PAYMENT FOR THE INVOICED SERVICES AND/OR GOODS.

CERTIFIED BY: \_\_\_\_\_  
Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
Title: \_\_\_\_\_

AN EQUAL OPPORTUNITY EMPLOYER  
A DRUG-FREE WORKPLACE



LOUISIANA DEPARTMENT OF  
TRANSPORTATION & DEVELOPMENT

# Cost “Disbursement” Form Example

<b>Date:</b>  November 26, 2012	<b>Entity:</b>  Anytown, LA	<b>Estimate No:</b>  4
<b>Project No:</b>  H.001234	<b>Contract:</b>  Nothing is required here	<b>Amount:</b>  \$2,454.56 (Total amount of invoice/ partial estimate)
<b>Project Name:</b>  Streetscaping for Any Town		<b>Phone No:</b>  225-987-5432

# Common Reasons for Invoice Rejection



**REJECTED**

- Dates worked “From” and “To” not listed
- Work done prior to the Notice to Proceed date is not eligible
- Expiration date has passed without an extension or justification letter to Project Manager

# Common Reasons for Invoice Rejection (cont.)

- Certification statement and/or the principal's signature not included
- No disbursement form if disbursement is chosen in ESA
- Sub-consultant's invoice not provided
- Employee's classification on the hour/rate breakdown of labor charges not shown



# Common Reasons for Invoice Rejection (cont.)

- Standard invoice format not used
- Previous amounts not correct on current invoice
- Missing invoice(s) – skipping a number(s)
- Math errors
- State Project Number incorrect on invoice
- Project related material, receipts, etc., were not included
- Direct expense calculations not included





# Invoices - Documents Available on DOTD Website

## **INVOICE SUBMITTAL INFORMATION FOR PROJECT MANAGERS**

**Invoicing Tips for Consultants**

## **ENTITY COST DISBURSEMENT CERTIFICATION LETTER**

**Tips for Project Managers When Submitting Invoices**

**Lump Sum Invoice/Summary Sheet**

**Cost Plus Invoice with Premium Overtime and Overhead Adjustments**

**Cost Plus Summary Sheet Combined with Invoices and Backup**

**Retainer Contract Invoice**

**Billable Unit Rates**

**Back up for Billable Rates Invoice**

**Reasons for Returning Invoices**

**Notice of Completion - SAMPLE -**

**Policy Change in Submitting Invoices for Payment to Consultant Contract Services**

**Sample Invoices**

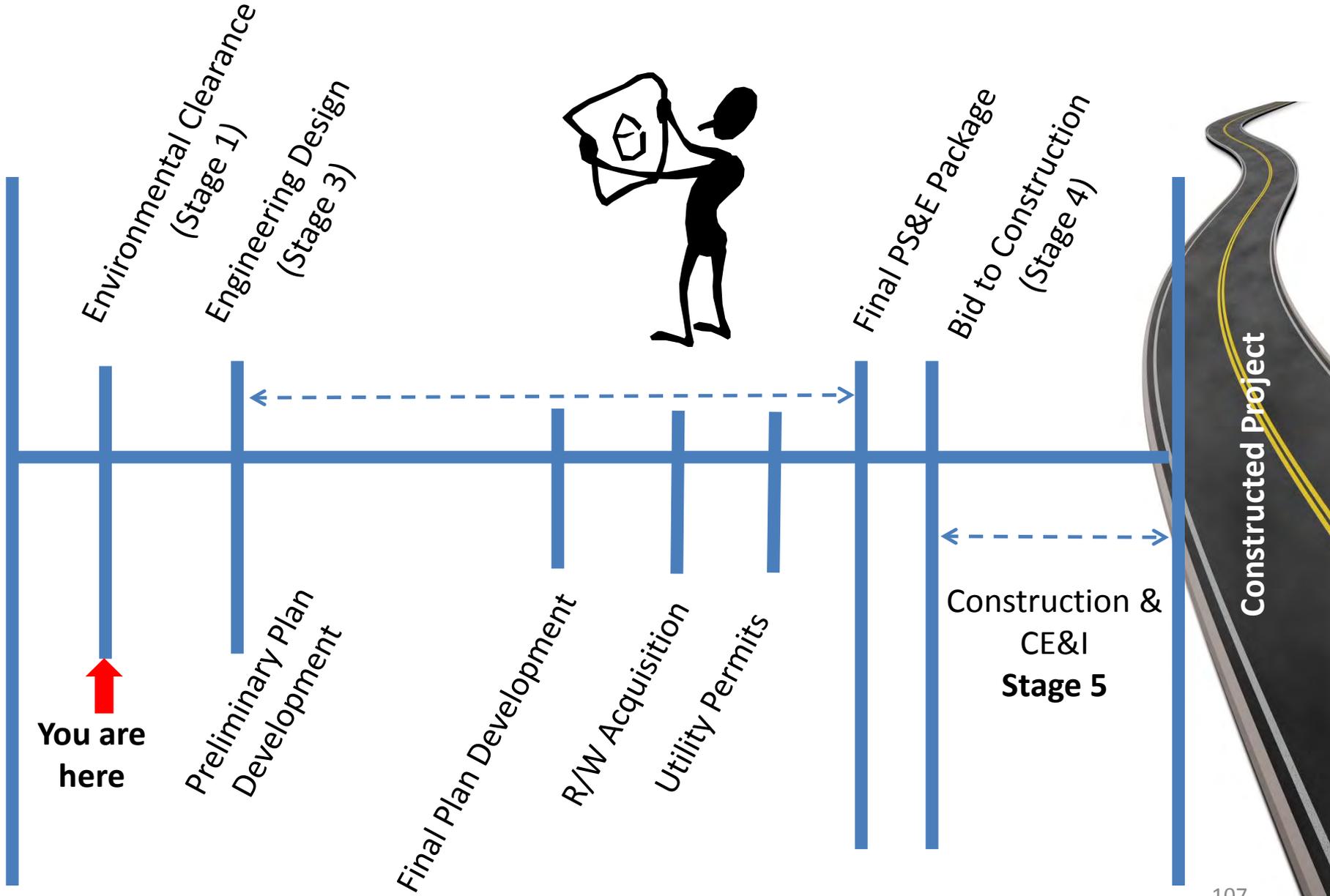
**Submitting a Claim?**

# Project Development Continues



# Project Life Span

## Entity-State Agreement Execution



# Prior to Beginning Design

- Pre-Design Meeting: DOTD, Entity, Designer and other interested parties meet to discuss the design, any potential issues and how to address them

# Pre-Design Meeting Agenda

- Scope, Schedule, Budget & Reporting
- Consultant/Designer requirements (consultant/designer has been selected)
- Plan development expectations (reviews)
- NEPA requirements (coordination with DOTD Environmental Section)
- Right-of-Way

LPA Manual

# Project Reporting Starts Now

- Standard form to complete
- Quarterly or monthly reporting on project status as a project moves through the various stages – depending on the program type
  - Keeps everyone informed of status
  - Documents any problems

# Reporting Form

DOTD Local Road Safety Program/Safe Routes to School  
Quarterly Project Status Report of Current Project Phase

The first page of this form has checkboxes for the applicable actions

Project Name  For the Month of

Project Number

Entity  Year

#### Pre-Design Activities

- Not Applicable
- RFP Advertised
- Consultant Selected
- Retainer Contract Executed

#### Design

- Preparing Plans
- 50% Plans submitted to DOTD
- TC Details received from DOTD
- Construction Cost Estimate submitted to DOTD
- Draft Proposal submitted to DOTD
- 100% Plans submitted to DOTD
- Bid Documents submitted to DOTD

#### Right-of-Way

- Not Applicable
- Submitted LPA Assurance Letter to DOTD
- Contacted DOTD RW Section for guidance
- RW offers made to owners
- RW acquisition complete
- DOTD reviewed & certification received

#### Utility Relocation

- Not Applicable
- Contacted DOTD Utility Section for guidance
- Contacted Utility Companies
- Utility relocation complete

#### Letting/Award

- Project advertised
- Compared cost to Entity-State Agreement
- Recommend award to DOTD
- Construction contract executed
- Contract recorded in local Clerk of Court

#### Construction

- Project Under Construction
- Daily work reports in SiteManager
- Partial estimate paid to contractor
- Sampling plan being followed

#### Project Completion

- Request final inspection by DOTD
- Final Inspection made
- Resolution adopted granting final acceptance to contractor
- Final Acceptance recorded in Clerk of Court
- Final Estimate submitted to DOTD



# Reporting Form

DOTD Local Road Safety Program/Safe Routes to School  
Quarterly Project Status Report of Current Project Phase

The 2<sup>nd</sup> page of this form requests the status and any issues that are project specific

Provide a brief description of progress made since last report

Explain any delays experience and efforts made to correct

Describe anticipated work efforts for next three (3) months

Information required from DOTD for project development

Completed by (Entity Responsible Charge)

Title

Date

Check each activity that applies. Complete the form quarterly and submit to the Program Project Manager with copies to the District Administrator



# National Environmental Policy Act of 1969 (NEPA)

# Environmental NEPA Process

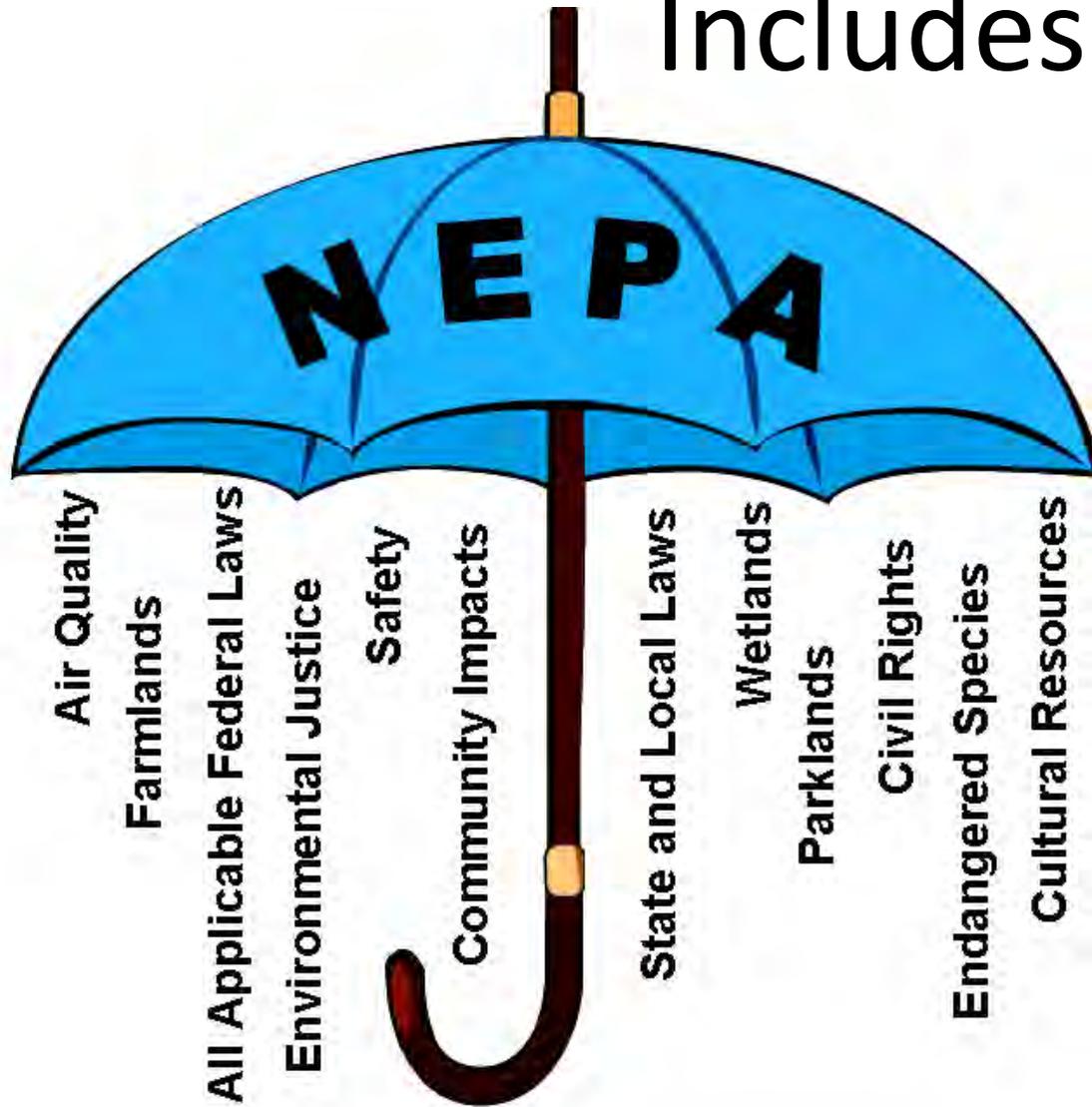
- The National Environmental Policy Act (NEPA) is the basic national charter for protection of the environment” 40 CFR 1500.1(a)



LPA Manual

# Environmental NEPA Process

Includes



\*Includes  
Historic  
Preservation

# Environmental NEPA

- **EVERY** project has to have environmental clearance prior to letting to construction
- **NO PROJECT** can progress further than preliminary plans without having environmental clearance (don't proceed with the preferred alternative design until you get NEPA clearance)
- **ALL** consultants working on NEPA documents must have Federal NEPA class

# Entity-State Agreement

*“The Project will be developed in accordance with the latest version of DOTD’s “Environmental Manual of Standard Practice”. All environmental documents and public involvement proposals are required to be developed under these requirements and shall be submitted to DOTD for review and comments”*

# Types of NEPA Documents

- Programmatic Categorical Exclusions (PCE) – By DOTD
- Categorical Exclusion (CE) - LPA sends out Solicitation of Views (SOVs)
- Environmental Assessment (EA)
- Environmental Impact Statement (EIS)

# Probable Types of NEPA Documents

Program	PCE	CE	EA	EIS
Safe Routes to Public Places	√			
Local Road Safety Program	√			
Transportation Alternatives	√	√		
Urban Systems	√	√	√	
Large Projects			√	√

# Before You Start!!!

- Coordinate with DOTD
  - Project Manager
  - Environmental Section
  - Traffic Engineering



# Programmatic Categorical Exclusion's (PCE)

- 1-3 months to process
- A streamlined process for Categorical Exclusions (CE)
  - Projects must meet criteria in DOTD Environmental Manual
- Examples
  - Installation of signs
  - New pavement markings
  - Highway lighting
  - Highway overlays



# Categorical Exclusions (CE)

- 6-8 months to process
- Project **does not have a significant impact** to the environment
- Solicitation of Views must be sent out
- Examples
  - Highway reconstruction
  - Minor bridge replacement or rehab
  - Hiking trails
  - Roundabouts

# CE's

- A typical CE has these major items in its body:
  - A summary of Commitments, Mitigation and Permits required
  - Checklist
  - Project Description
  - Purpose and Need statement
  - Alternatives
  - Impacts/Effects
  - Comments and Coordination

## CE's cont.

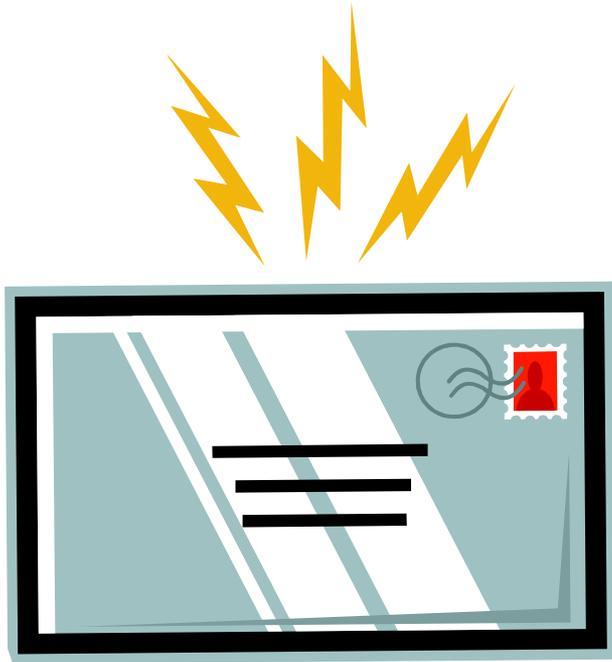
- A typical CE has the following in its appendices:
  - SOV and responses
  - Mailing list for SOV
  - Exhibits (items like layouts, typical sections, plan sheets, etc.)
  - Technical reports such as wetland finding
  - Landowner Coordination (If taking Right-of-Way)



# Solicitation of Views (SOV)

- Early coordination effort
  - Assists in the identification of reasonable alternatives
  - Evaluates potential social, economic, and environmental impacts
- Stakeholders - Informs interested agencies, officials, and the public of proposed projects
  - DOTD must coordinate – Tribal, Endangered Species, and Historic Preservation (106) coordination
- Packet includes cover letter, project description, and vicinity map
- Musts use DOTD SOV mailing list (Check with your DOTD PM)

# Solicitation of Views (SOV)



- Requests stakeholder feedback
- The LPA is responsible for sending out the solicitation of views for their routes (can have consultant assistance must be reviewed by DOTD)
- All document except PCEs



LOUISIANA DEPARTMENT  
TRANSPORTATION & DEVELOPMENT

# SAMPLE SOV PACKET



## Environmental Section

PO Box 94245 | Baton Rouge, LA 70804-9245  
Phone: 225-379-4502

Bobby Jindal, Governor  
Sherri H. LeBas, P.E., Secretary

August 13, 2014

State Project No. H.002281  
F.A.P. No. H.002281  
Name: Big Bayou Sara Bridge Rehabilitation  
Route: LA 66  
Parish: West Felicianas

---

**SUBJECT: Solicitation of Views**

Early in the planning stages of a transportation facility, views from federal, state, and local agencies, organizations, and individuals are solicited. The special expertise of these groups can assist DOTD with the early identification of possible adverse economic, social, or environmental effects or concerns. Your assistance in this regard will be appreciated.

Due to the earliness of this request for your views, very limited data concerning the proposed project exists. We have, however, attached a sketch map showing the general location of the project, along with a preliminary project description.

It is requested that you review the attached information and furnish us with your views and comments by September 19, 2014. Replies should be addressed to LA DOTD; Environmental Engineer Administrator, P.O. Box 94245; Baton Rouge, Louisiana 70804-9245. Please reference the State Project Number in your reply. If you have any questions, please call my office at (225) 242-4502.

Sincerely,

A handwritten signature in blue ink that reads "Noel Ardoin".

A small handwritten letter "A" in blue ink to the left of the typed name.  
Noel Ardoin  
Environmental Engineer Administrator

# SAMPLE SOV PACKET

## PROJECT DESCRIPTION

**STATE PROJECT NO. H.002281**  
**FEDERAL AID PROJECT NO. H00281**  
**BIG BAYOU SARA BRIDGE REHABILITATION**  
**ROUTE: LA 66**  
**WEST FELICIANA PARISH**

The Louisiana Department of Transportation and Development is proposing to rehabilitate the existing Big Bayou Sara Bridge (Structure No. 61632510101511) on LA 66 in West Feliciana Parish. The rehabilitation consists of replacing the existing deck and girders, strengthening the existing truss, painting the bridge and adding riprap at the abutments and the piers in the main channel for scour protection. During construction, the traffic will be shifted to a temporary detour bridge on the north side of the existing bridge. The proposed project begins on LA 66 at Control Section 251-01, Control Section Log Mile (CSLM) 1.510 and proceeds southeastward along LA 66 to CSLM 1.645. The Big Bayou Sara Bridge is located at Latitude 30.84475, Longitude -91.406633; Township T2S, Range R3W, Section 51. The existing bridge is a low Warren truss (or pony truss) with steel I-beam approach spans and it is 30.1 feet in width and 712.5 feet in length. The bridge has a 24-foot roadway and consists of two travel lanes. The rehabilitated bridge will be the same type, width, and length as the existing bridge.

The project limits encompasses approximately 7.367 acres, which consists of 6.427 acres of existing right-of-way, and 0.940 acre of required right-of-way. The overall project length is approximately 0.383 miles.



LOUISIANA DEPARTMENT OF  
TRANSPORTATION & DEVELOPMENT

# SAMPLE SOV PACKET



## PROJECT LOCATION MAP

STATE PROJECT No.: H.002281  
 FEDERAL AID PROJECT No.: H002281  
 BIG BAYOU SARA BRIDGE REHAB  
 STR# 61632510101511  
 LA 66  
 WEST FELICIANA PARISH





# Environmental Assessments (EA) & Environmental Impact Statement (EIS)

- Must Coordinate with DOTD from the beginning
- Must use a consultant with experience
- These documents take much longer (years)



# Project Scope Changes

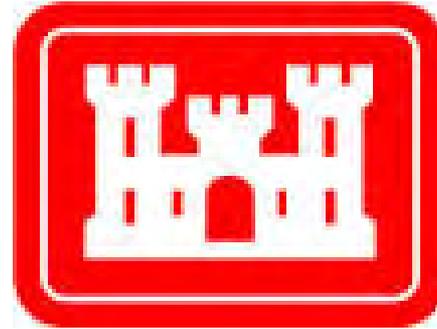
- If any issues occur during the environmental clearance process, a scope change may be necessary and require:
  - Concurrence and approval
  - Supplemental Agreement to the Entity-State Agreement
  - Revision to Funding Commitment Letter (non-MPO areas) or TIP modification in MPO areas

# Scope Change Effects

- May affect the environmental clearance (including restarting the process)
- Added work may be non-participating

LPA Manual Appendix D -

# Environmental Permits



# NEPA Clearance Facts

- NEPA documents should identify permits required before construction
- NEPA documents must be routed to DOTD
- Must be updated every 3 years

# Federal Aid Essentials



<http://www.fhwa.dot.gov/federal-aidessentials/catmod.cfm?category=environm>

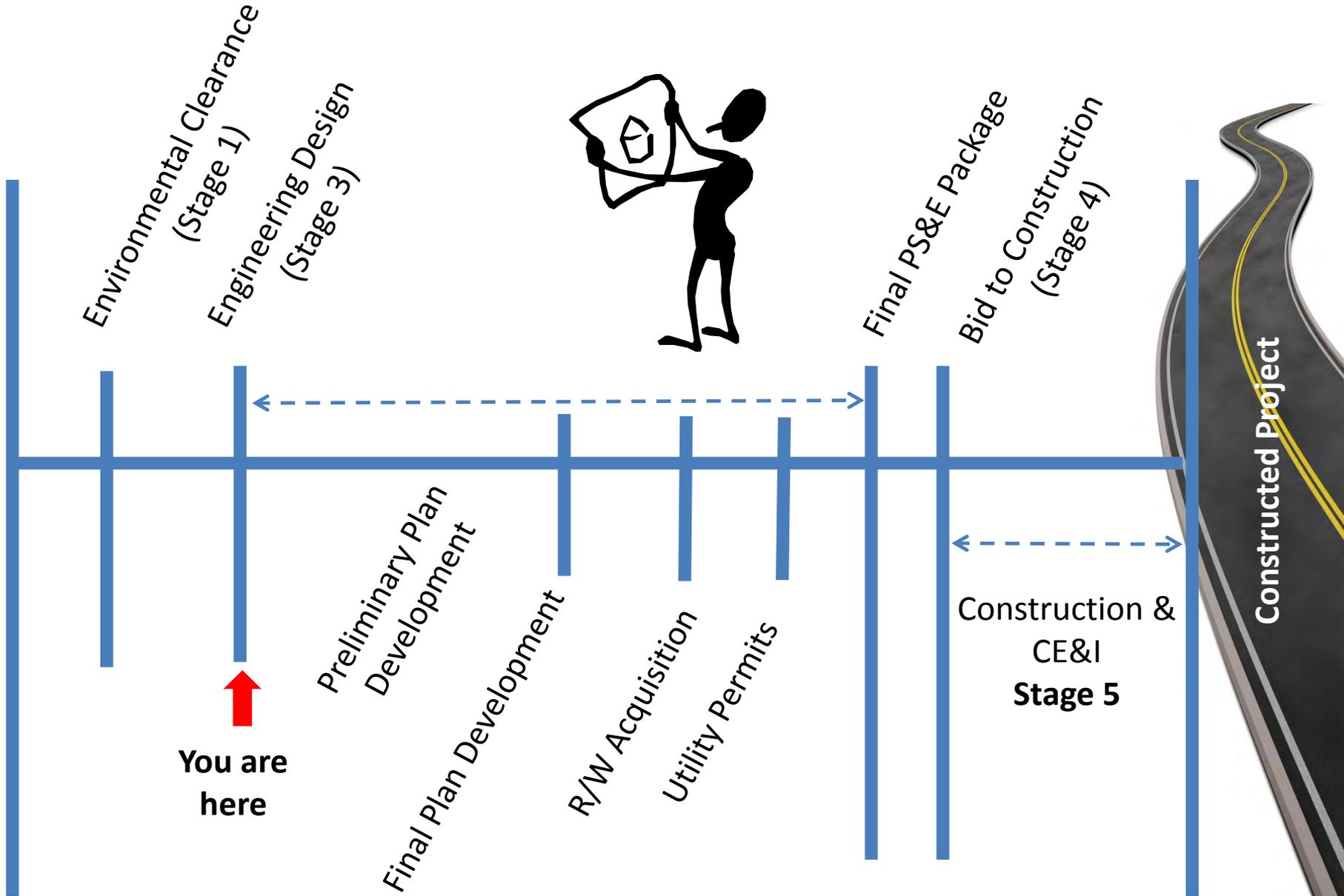
# Additional Links

- All Federal Aid Essentials Videos (this includes several additional NEPA related videos)
- <http://www.fhwa.dot.gov/federal-aidessentials/indexofvideos.cfm>
- I want to know more about...
- <http://www.fhwa.dot.gov/federal-aidessentials/knowmore.cfm>
- Federal Aid Essentials for Local Public Agencies
- <http://www.fhwa.dot.gov/federal-aidessentials/>

# Begin Design Plan Development

# Project Life Span

## Entity-State Agreement Execution



# What the Entity State Agreement Says About Design

*“The design standards shall comply with the criteria prescribed in 23 CFR Part 625 (“Design Standards For Highways”) and DOTD guidelines. The format of the plans shall conform to the latest standards used by DOTD in the preparation of its contract plans for items of work of similar character.*



# What the Entity State Agreement Says About Design (cont.)

*Conformance to the applicable Publications and Manuals found on the DOTD website is required. The deliverables must incorporate all applicable accessibility codes and all related regulations...”*



# Design Requirements

All DOTD requirements (policies, procedures, schedule, milestone submittals, deliverables) must be followed prior to the project being bid to construction



# What Should Your Design Engineer Be Doing?

- Designing in accordance to DOTD:
  - Engineering Design Standards Manual (EDSM)
  - Design Manuals
    - Especially Chapter 8 of the DOTD Road Design Manual
  - Design Guidelines
  - Policies and Procedures
- DOTD is in compliance with Federal Policies and Procedures

# DOTD Policies and Procedures

The LPA is required to use State design standards as per State Law, RS §48:35, Minimum safety guidelines of highway design, maintenance and construction exemptions, Section “C”.



# What Happens if a Design Standard Cannot Be Met?

Design  
Waiver



Design  
Exception

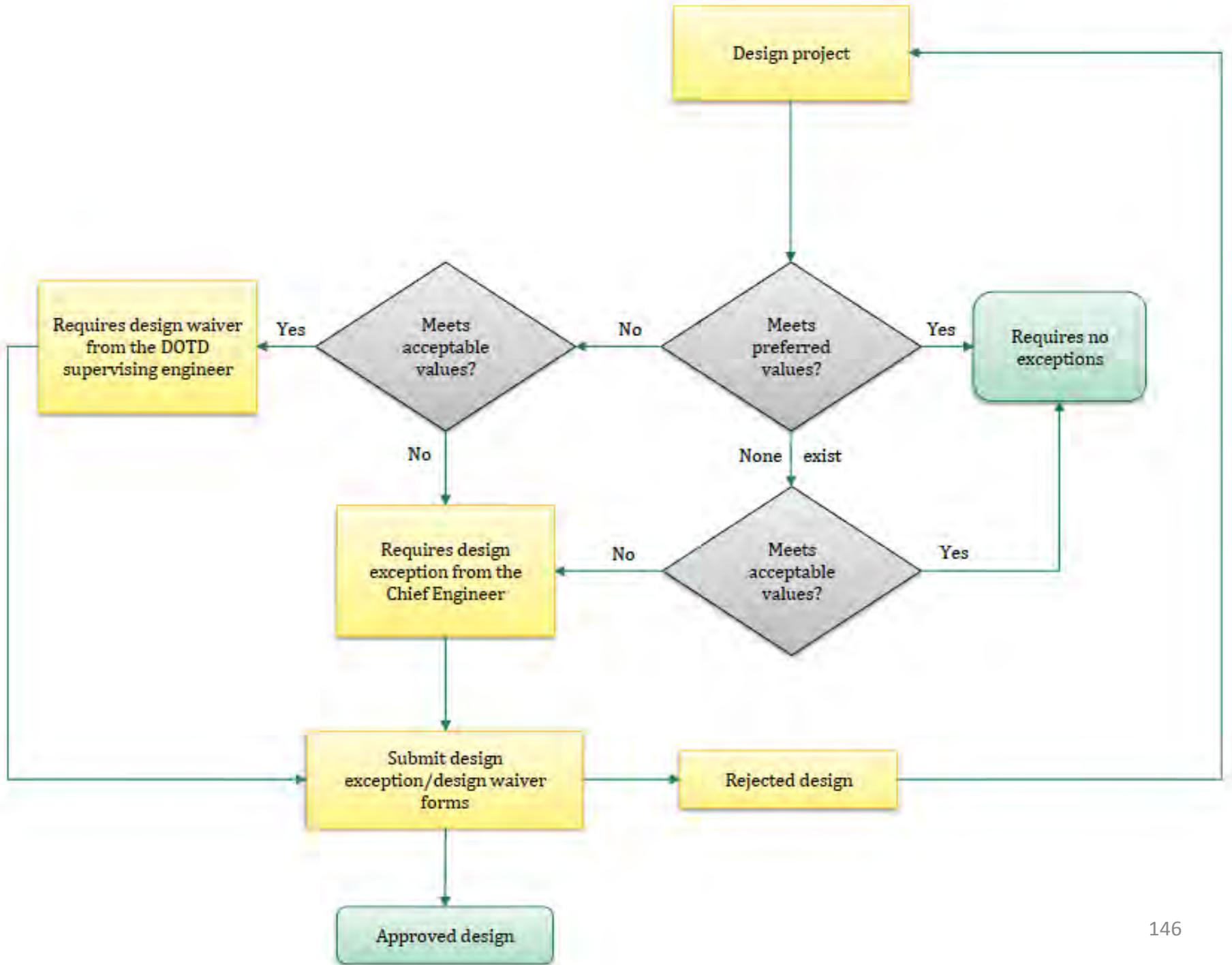
LPA Manual Appendix D  
– Page 40



# Design Waiver or Exception to the Design Guideline?

Design Exception: A design exception is outside the acceptable ranges

Design Waiver: A waiver is for a value outside the preferred range, but still meets acceptable values



# Design Exception/Design Waiver



- Any design exception on the project must be sent by the LPA and approved by the DOTD Chief Engineer
- A design waiver is approved by a supervising DOTD engineer



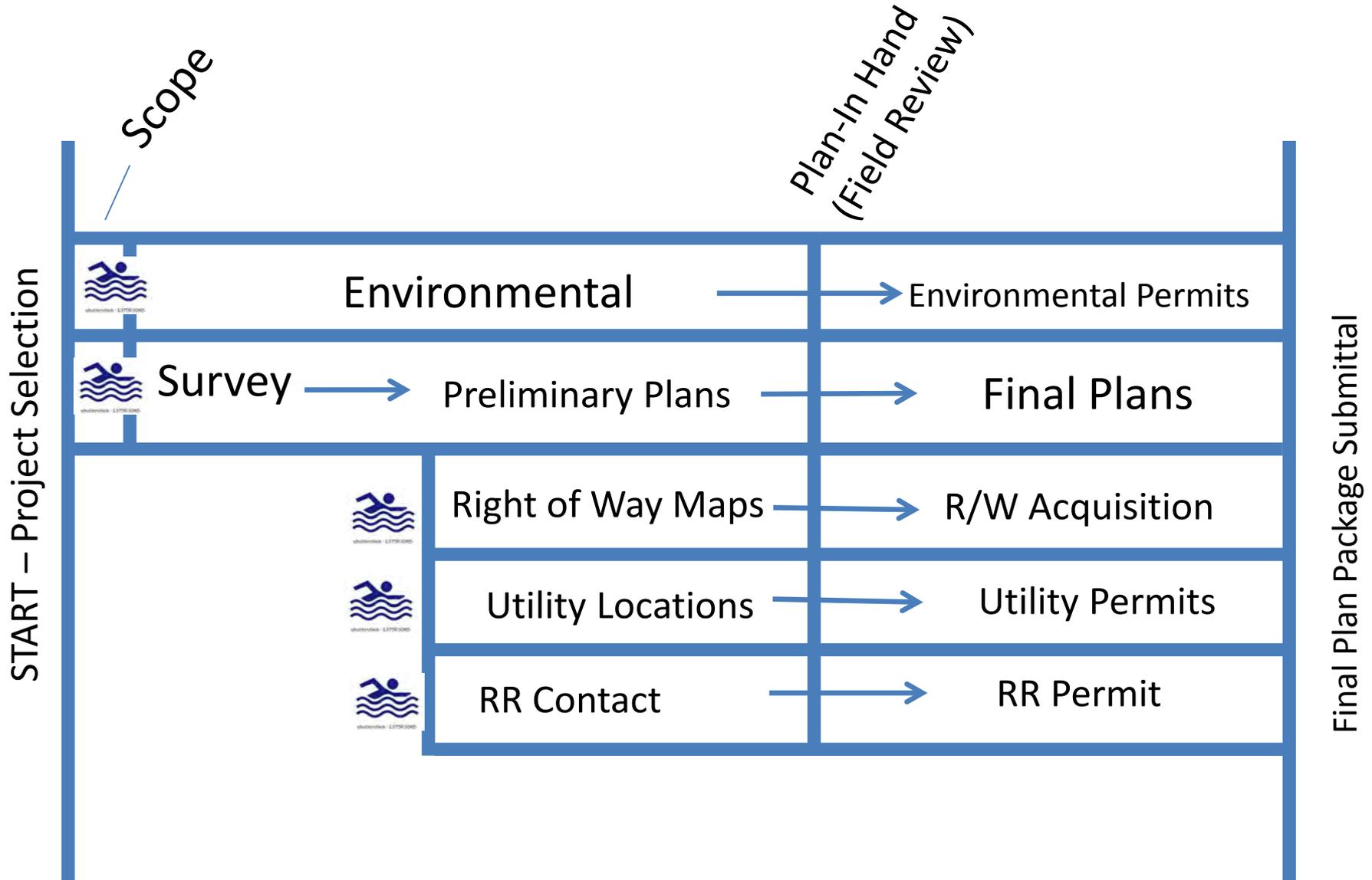
# Your Design Must Meet ADA Requirements

- This U.S. Department of Justice (DOJ) law affects *all* public agencies
- Do you have a transition plan?
  - DOJ require agencies to have a plan to make all of their facilities accessible
- Is your project on your transition plan?



# Project Development Milestones

# LPA Project Delivery Process



# Preliminary Plan Development Review

## Large Road Project Review

30% Review

60% Review

90% Review

95% Review (Plan-in-Hand - DOTD schedules and chairs)

100% Review

## Pavement Preservation Projects & LRSP

Preliminary Submittal

Field Review

## TAP & SRTS/SRTPP

Preliminary Submittal

Plan-in-Hand (Office and/or Field Reviews)

*LPA Manual Appendix D - Pages 38-39*

**Tasks concurrent with plan development:** 1. Begin property survey for R/W maps 2. Begin preliminary discussions with utility companies (if requesting Federal Funding contact the DUS and PM immediately) 3. Begin discussions with any affected RR companies

# Plan-in-Hand Inspection Format



LPA Manual Appendix D -  
Pages 39-40

# Survey/ROW Map – Joint Plan Review



LPA Manual  
Appendix D  
Pages 12-15



# Survey/ROW Maps Revisions

- ROW Map revisions
  - There is one original set – Revisions must be on the original - do NOT duplicate
  - A revision is required when taking lines/limits of construction (LOC) change
  - Servitudes must be acquired prior to letting

# Survey/ROW Maps Revisions

- ROW Map revisions
  - Causes time delay: Restarts timeline and adds revision time
  - Minor changes could have major impact on the project schedule
  - Revisions will delay or stop ROW acquisition

# Final Plan Development Reviews

## Large Road Project

### Review

- 60% Review
- 95% Advanced Check Print Submittal & Review
- 100% Submittal
- DOTD Chief Signs Plans

## Right-of-Way Acquisition –

- Joint Plan Review Meeting
- Finalize R/W maps
- Entity acquires R/W
- DOTD audits and approves R/W acquisition

## Pavement Preservation Projects, TAP, SRTS & LRSP

- Final Submittal
- DOTD Chief Signs Plans

## Permits and Utility Relocation

- Finalize utility agreements
- Certification letter by Entity
- Finalize permits & provide executed copy to DOTD

# Questions To Ask the Designer during Plan Development

- Are the plans readable at ½ size?
- Do the plans reproduce well?
- Are all basic design decisions and recommendations included in the plans including design exceptions and/or waivers?
- Are the required checklist and forms submitted? (Constructability/Biddability, QA/QC)



# Questions To Ask the Designer during Plan Development

- Are all comments addressed?
  - Each comment must be listed and addressed in writing from the designer
    - If agreed – acknowledge the change has been made
    - If disagree – state reason for disagreement
- What is the latest cost estimate?



# Questions To Ask the Designer during Plan Development

- Have the final plan sheets been stamped, signed, dated by the Engineer of Record?
- Are the specifications for bid items (standard and non-standard) submitted?
  - If supplemental specifications are required have they been submitted early for approval?
- Has the Notice of Intent (NOI) (SWPPS) for storm water been provided?



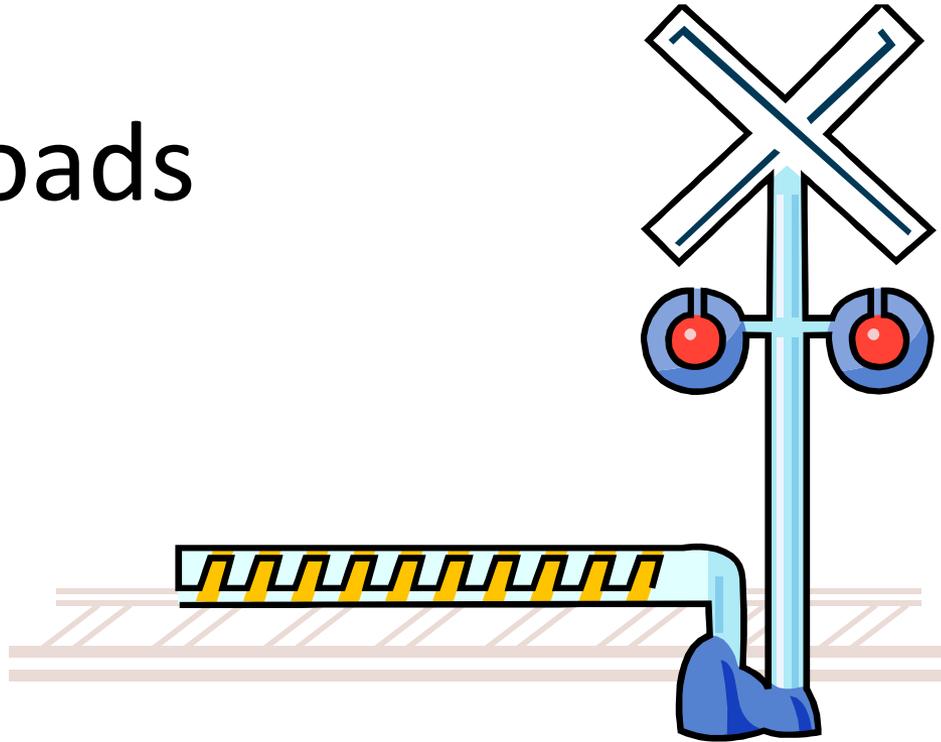
# Questions To Ask the Designer during Plan Development

- Have the required checklists been completed and submitted to the DOTD PM?
- Are there any schedule changes?



# Permits

## Railroads



LPA Manual  
Appendix D  
Pages 20-22



LOUISIANA DEPARTMENT OF  
TRANSPORTATION & DEVELOPMENT

# Required Checklists

## QA/QC

**ROAD DESIGN 100% PRELIMINARY PLANS QA/QC**

State Project No. \_\_\_\_\_ Route No. \_\_\_\_\_  
Name: \_\_\_\_\_ Parish: \_\_\_\_\_

**General Directions:**  
Designer should go through the QA/QC process prior to submitting to a reviewer, check all previous checklists for review, and sign. The designer should also provide the location for the plan set being reviewed.

**Reviewer should:**

1. Review Plan-in-Hand checklist, have all comments been addressed?
2. Review ACP checklist, have all comments been addressed?
3. Review Constructability / Biddability checklist, have all comments been addressed?
4. Sign the checklist upon completion. When completing this process, it is recommended that the reviewer use a highlighter and a red pen to mark major items on plans that include at least information including the right). These documents should also be attached to this document and kept as part of the design calculations for the project.

Description	Designer	Reviewer	NA
<b>TITLE SHEET</b>			
The sheet count is correct.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The latest versions of Standard Plans are used.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The type of construction is correct.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The project limits, bridge sites, easements and encroachments are shown on the layout map. If matches the length in the project table.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Design encroachments (if any) are shown on this sheet and can be located in ProjectWise.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>TYPICAL SECTION SHEETS</b>			
All station ranges are accounted for. They match items shown on Title Sheet and Plan/Profile sheets.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Asphalt pavements (if required) are provided.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The joint or nesting and section are shown.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Typical sections are provided for transitions and detour roads.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Applicable job limits are located.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintainability agreement (if needed) has been completed for sidewalks, lighting or bike paths, and can be located.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>SUMMARY SHEETS</b>			
Detailed check of all quantity submissions (sections and multiplications) has been completed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

September 2013 Page 1 of 3

## Final

**ROAD DESIGN FINAL PLANS QA/QC**

State Project No. \_\_\_\_\_ Route No. \_\_\_\_\_  
Name: \_\_\_\_\_ Parish: \_\_\_\_\_

**General Directions:**  
Designer should go through the QA/QC process prior to submitting to a reviewer, check all previous checklists for review, and sign. The designer should also provide the location for the plan set being reviewed.

**Reviewer should:**

1. Review Plan-in-Hand checklist, have all comments been addressed?
2. Review ACP checklist, have all comments been addressed?
3. Review Constructability / Biddability checklist, have all comments been addressed?
4. Sign the checklist upon completion. When completing this process, it is recommended that the reviewer use a highlighter and a red pen to mark major items on plans that include at least information including the right). These documents should also be attached to this document and kept as part of the design calculations for the project.

Description	Designer	Reviewer	NA
<b>TITLE SHEET</b>			
The sheet count is correct.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The latest versions of Standard Plans are used.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The type of construction is correct.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The project limits, bridge sites, easements and encroachments are shown on the layout map. If matches the length in the project table.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Design encroachments (if any) are shown on this sheet and can be located in ProjectWise.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>TYPICAL SECTION SHEETS</b>			
All station ranges are accounted for. They match items shown on Title Sheet and Plan/Profile sheets.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Asphalt pavements (if required) are provided.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The joint or nesting and section are shown.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Typical sections are provided for transitions and detour roads.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Applicable job limits are located.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintainability agreement (if needed) has been completed for sidewalks, lighting or bike paths, and can be located.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>SUMMARY SHEETS</b>			
Detailed check of all quantity submissions (sections and multiplications) has been completed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

September 2013 Page 1 of 3

## Biddability/Constructability

Revised 05/15/08

**PLAN-IN-HAND INSPECTION REPORT  
AND  
CONSTRUCTABILITY / BIDDABILITY REVIEW**

Description	Design Review/Comments			Construction			PS&E Biddability		
	NA	Yes	No	Plan-in-Hand Constructability	ACP		Yes	No	
<b>I. TYPICAL SECTION SHEETS</b>									
1. Has District been consulted on the pavement type?									
2. Is District in agreement with the typical section?									
3. Are project limits covered by typical sections?									
4. Are superelevation diagrams and tables provided? 4a. If yes, is the design speed noted on the diagram?									
5. Does the typical section fit within existing and/or proposed right-of-way? (Check cross sections)									
6. Will the typical section drain water from the base course? 6a. If yes, is there a method/detail to drain and required items?									
7. Is a subgrade layer required? 7a. If yes, what types are applicable? (List Types)									
7b. If no, is lime treatment provided in the plans?									
8. Are all measurements, thicknesses, and slope rates labeled and accurately indicate what is to be constructed?									
9. Is the minimum ditch elevation dimension shown on the typical section?									
<b>II. SUMMARY SHEETS</b>									
1. Will existing ditch cleaning be required? 1a. If yes, are there limits and pay items?									
2. Are there sufficient removal items for the types of pavement/structures being removed?									
3. Is method of payment for earthwork design addressed (e.g. "Temporary" borrow)?									

5

## Preliminary

# Responsible Charge Design Phase Expectations

- Ensure any right-of-way acquisition and relocation is performed according to Uniform Act
- Ensure utility agreements are acquired
- Acknowledge and plan for LPA accepting maintenance and liability for sidewalks/bike paths
- Ensure LPA has an operation & maintenance plan for landscaping

# Responsible Charge Design Phase Expectations

- Acknowledge and plan for LPA accepting operating expenses for lighting
- Plan for communication about the project to the public during construction
- Ensure all environmental permits are acquired



# Right-of-Way Acquisition (R/W) and Relocation

NOTE: The Federal Relocation Assistance and Real Property Acquisition Policies (The Uniform Act) has different requirements than state law.

The Entity **must** contact the DOTD Real Estate Section FIRST to make sure the Entity knows the Federal requirements!

# Right-of-Way Acquisition (R/W) and Relocation

- The Entity shall acquire all real property and property rights required for the project in accordance with all applicable State and Federal laws and regulations.
- *This applies even if the project has not begun the state/federal process*

# Right-of-Way Acquisition and Relocation

- Important!
  - Acquisition **MUST BE** in accordance with the Federal Uniform Act
  - Do **NOT** acquire R/W prior the NEPA clearance
  - Do not begin acquiring R/W prior to the written Notice To Proceed from DOTD if seeking Federal reimbursement

# Right-of-Way Acquisition (R/W) and Relocation

- Donations and appraisals must be done in accordance with State & Federal requirements
- Right-of-entry/construction servitude agreements should be obtained by Entity prior to project delivery
  - Contractors are not allowed to obtain right-of-entry agreements



# Right-of-Way Acquisition and Relocation

- Any purchased or donated publically owned land must have proper documentation
- All R/W must certified (by DOTD) prior to project letting
- Entity pays the R/W administration cost
- If right of way is required, will property owners have enough room to turn around in their driveway, without backing up into the street?



# Right-of-Way Acquisition and Relocation

The screenshot shows the FHWA website interface. At the top, the U.S. Department of Transportation Federal Highway Administration logo is on the left, and navigation links for 'About', 'Programs', 'Resources', 'Briefing Room', 'Contact', and 'Search FHWA' are on the right. Below this is a secondary navigation bar for the 'Office of Planning, Environment, & Realty (HEP)' with links for 'HEP', 'Events', 'Guidance', 'Publications', 'Awards', and 'Contacts'. The main content area features a 'Realty' banner with the tagline 'Providing Global Leadership and Innovation in Public Sector Real Estate and Outdoor Advertising Control through Information Sharing and Knowledge Exchange'. Below the banner are four tabs: 'Owners & Tenants', 'Practitioners', 'Publications', and 'Newsletter'. The 'Practitioners' tab is active, showing a breadcrumb trail 'FHWA → Real Estate → Practitioners'. The main heading is 'The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (Uniform Act)'. The introductory text states: 'The pages in this section provide policy, guidance, information and resources for programs or projects which receive federal financial assistance and require the acquisition of real property and/or displace people from their real property.' To the right, a 'Related Resources' box lists: 'FHWA Division Office Right Of Way Telephone Roster', 'Uniform Act Training', and 'Other Federal Agencies'. On the left side of the page, a vertical menu lists 'Outdoor Advertising Control', 'Right-of-Way', and 'Uniform Act', with 'Uniform Act' expanded to show sub-items: 'Acquisition', 'Annual Right-of-Way Statistics', 'Legislation and Regulations', and 'Policy & Guidance'.

[http://www.fhwa.dot.gov/real\\_estate/practitioners/uniform\\_act](http://www.fhwa.dot.gov/real_estate/practitioners/uniform_act)

L

# DOTD Right-of-Way Contacts



# Utility Relocations and Certifications

## **Entity-State Agreement:**

*The Entity is responsible for any and all costs associated with utility relocations, adjustments and construction time delays on non-state routes*



LPA Manual  
Appendix D  
Pages 22-29

# Responsible Charge Utility Agreement Expectations

- Identify all utilities during the design phase and obtain all of the utility agreements
  - The contractor is not responsible for obtaining the agreements
  - Provide a list of utilities in project area including contact information

# Responsible Charge Utility Agreement Expectations

- Provide required information to DOTD Project Manager
  - Send a Utility Certification Form with a copy of the agreements to the DOTD Project Manager
  - TAP only pays for vertical adjustment for utilities



# Utility Certification Form Urban System Example

{THIS LETTER MUST BE ON THE LETTERHEAD OF THE ENTITY}

## UTILITY CERTIFICATION

STATE PROJECT NO. \_\_\_\_\_ (CONST.)  
 STATE PROJECT NO. \_\_\_\_\_ (R/W)  
 F.A.P. NO. \_\_\_\_\_ (R/W)  
 {Project Name}  
 ROUTE { }  
 PARISH { }

TO: DOTD District Utility Specialist

Attached are copies of the agreements between the City and the Utility Company on the captioned project. The total cost of relocating the utilities listed is \_\_\_\_\_.

This list includes all known utility facilities within the limits of this project and the number of calendar days required to complete their relocation. The entity has received design plans from all respective utility operators and letters from each utility operator stating their intentions to adjust their utility facilities to accommodate the project

The entity will relocate their own lines that are not included in the construction plans.

Utility Operator and Address	Calendar Days
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

\_\_\_\_\_  
 Parish Representative Signature                      Date

Print or Type Name \_\_\_\_\_

Print or Type Title \_\_\_\_\_



# Utility Assurance Form TAP and LRSP Example

{THIS LETTER MUST BE ON THE LETTERHEAD OF THE ENTITY}

## UTILITY ASSURANCE LRSP, SRTS and TAP Projects

STATE PROJECT NO.  
F.A.P. NO.  
{Project Name}  
PARISH { }

TO: *DOTD Program Manager*

I hereby certify that I have reviewed the construction plans for the captioned project and provide assurance that ...

there are no known utility conflicts within the project that would inhibit construction of the planned improvements.

*Or*

that all known utilities conflicts within the project that would inhibit construction of the planned improvements have been relocated.

It is understood that the Entity is responsible for all costs associated with known or unknown utility relocations, adjustments and construction time delays after the project is awarded.

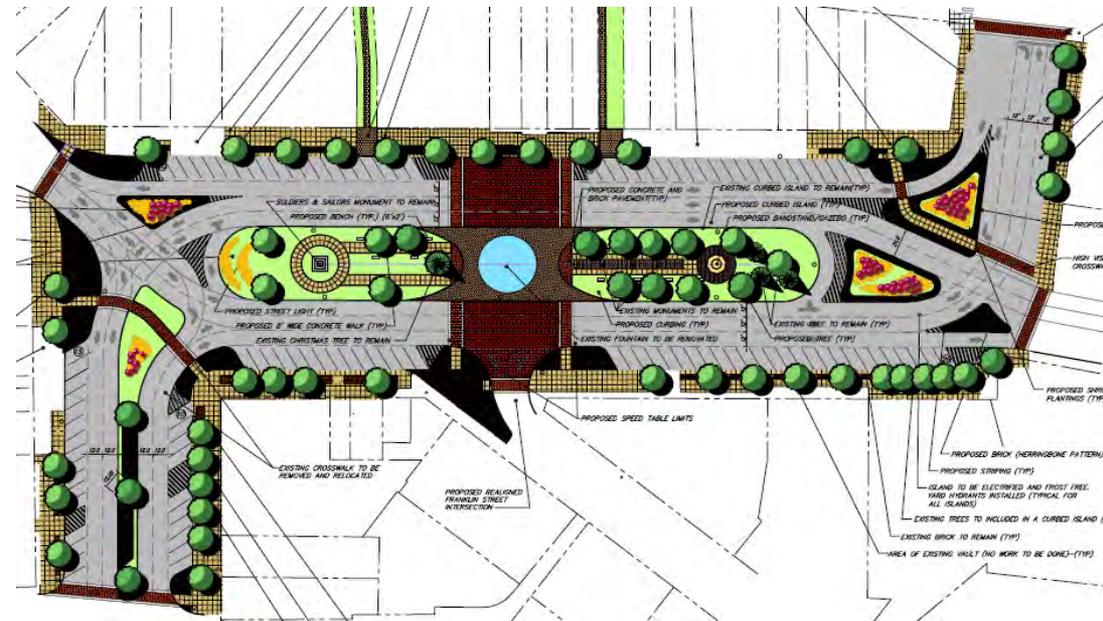
RECOMMENDED FOR APPROVAL

\_\_\_\_\_  
PROJECT DESIGN ENGINEER / DATE

\_\_\_\_\_  
LPA RESPONSIBLE CHARGE / DATE

# Does Your Project Have Landscaping?

- Landscaping plans must be stamped, signed, dated by Louisiana licensed landscape architect
- Minimum of 3 plant sources listed



Appendix D – Page 43

# Vegetation Policy

- *Deviations must have written approval of the DOTD Chief Landscape Architect and the DOTD Chief Engineer*

## Policy objectives:

- Provide for safety of the traveling public
- Blend the roadside with adjacent land uses
- Improve aesthetic quality
- Reduce erosion
- Increase efficiency of maintenance operations

**POLICY  
FOR  
ROADSIDE VEGETATION  
MANAGEMENT**



LOUISIANA DEPARTMENT OF TRANSPORTATION  
AND DEVELOPMENT



# Does Your Project Have Lighting?



Street  
Lighting



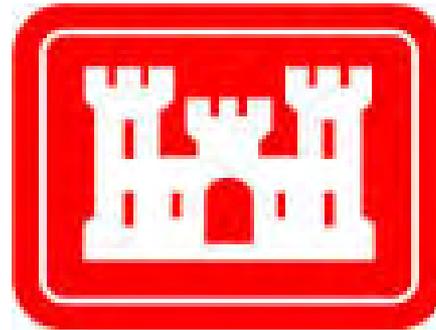
Sidewalk  
Lighting – TAP



- Street Lighting has a separate Entity-State Agreement and requirements from sidewalk lighting contact your PM
- DOTD requirements for TAP - sidewalk lighting only for pedestrian and bike paths
- Electrical plans must be stamped and signed by a Louisiana licensed electrical engineer

LPA Manual Appendix D - Page 42

# Acquire Environmental Permits in Final Design





# Plans, Specifications & Estimate (PS&E) Bid Package

- Final Plan Sheets (stamped, signed, dated by EOR)
- Specifications for Bid Items (standard and non-standard)
- Cost estimate
- Other documentation
  - Checklists – Constructability/Biddability, QA/QC
  - Design Exceptions/Waivers
  - All permits and Notice of Intent (NOI) (SWPPS)
  - R/W Clearance and Utility Agreements

I've turned in my PS&E package so my project is letting next week, right?

# Timing

- DOTD prepares construction proposal – *approx. 1 month*
- DOTD Chief Engineer signs plans
- DOTD requests authorization from FHWA – *approx. 1 month*
- DOTD advertises project – *1 month*
- ***Total = 3 months***

# Construction Proposals

- A construction proposal is required for projects let through DOTD's letting process
- Estimated quantities are put on proposal form for contractors to fill out
- Supplemental Specifications
- Special provisions



# PS&E Bid Package to be Signed by DOTD's Chief Engineer

If the DOTD Chief Engineer rejects the plans, the Entity and their designer are responsible for addressing the comments

Depending on the severity of the comments, your letting may be delayed

# Bids/Construction

## *Construction Contract Time*

- 30-days is the minimum allowed time
- For non-roadway projects the entity may be required to provide construction time

# FHWA Authorization Requirements

- PS&E package signed by DOTD Chief Engineer
- Right-of-way certifications
- Utility permits
- Environmental permits
- Other applicable permits



# Congratulations!!!!

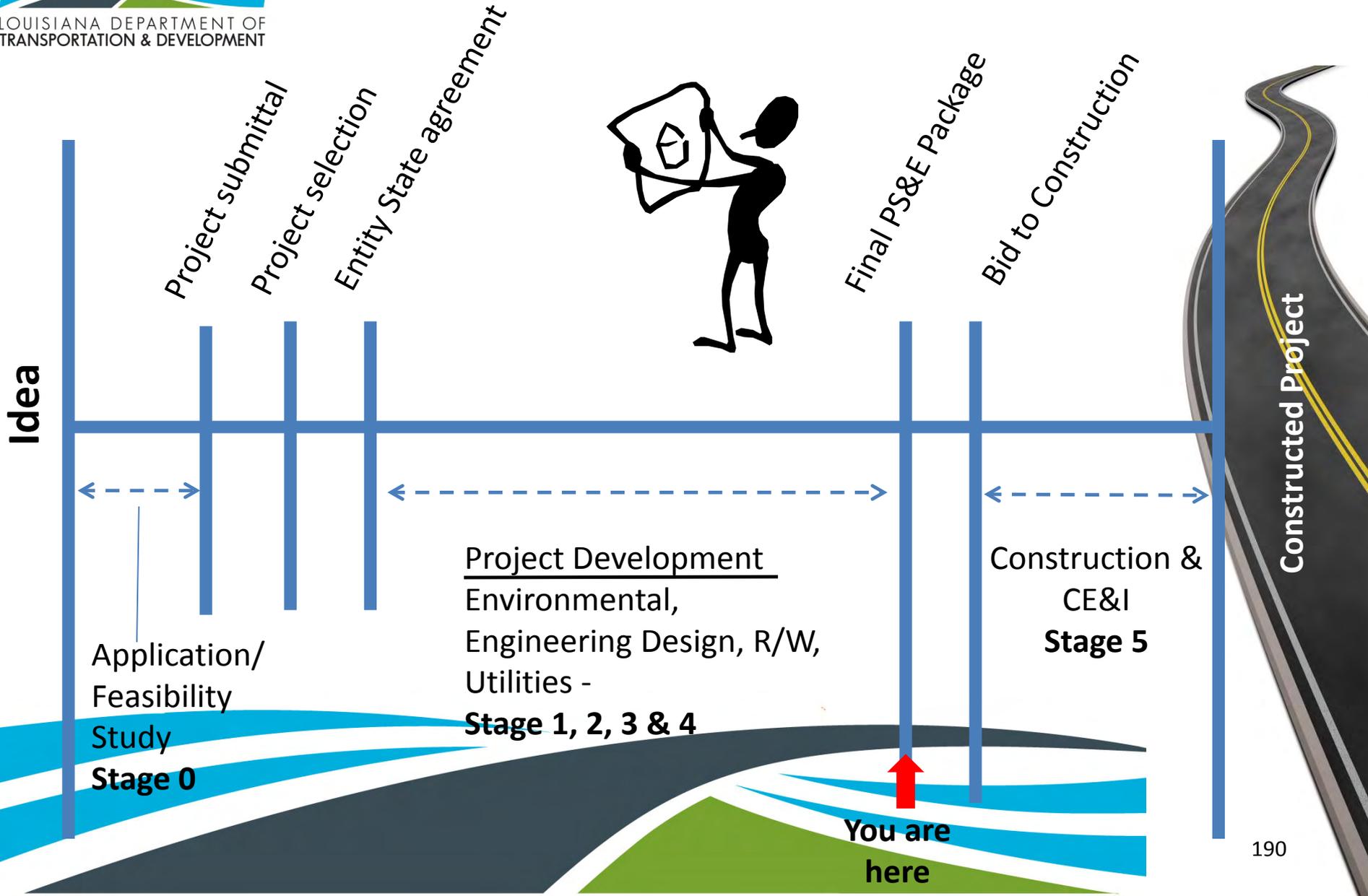


- Your project is authorized and advertised – DOTD takes over through bidding.
- Bidding process **MAY** require input from the LPA or designer, so be ready!



LOUISIANA DEPARTMENT OF TRANSPORTATION & DEVELOPMENT

# Project Life Span





# **Caution** to the Responsible Charge

- Once advertised, ALL questions **MUST** be answered through DOTD's electronic process in their FALCON program you **cannot** talk directly to any contractor

# Bids/Construction

## *FALCON*

- Falcon - DOTD's file sharing system to facilitate open competition in bidding
- Q & A Procedures for each project **MUST BE ADDRESSED THROUGH FALCON!**
  - Any information not in Falcon is not part of the contract
  - Questions submitted within 96 hours of the bid deadline may not be answered prior to bidding



LOUISIANA DEPARTMENT OF  
TRANSPORTATION & DEVELOPMENT

# Bid Results

<http://wwwaps.dotd.la.gov/engineering/lettings/>

HOME + business

**Construction Letting Information**

Search Projects

Electronic Bidding Information

Special Announcements 12/08/2016 Postponement of the 12-09-2016 Letting

Notice to Contractors 04/28/2016 New Orleans

Online Bidder Registration

**DOTD Plans Room (Falcon)**

Addenda 04/13/2016 Headquarters

Information Only Bidders 04/28/2016 New Orleans

Prospective Bidder List 04/28/2016 New Orleans

Apparent Bid Results

Letting Results 03/14/2016 New Orleans

Bid Tabulations 03/14/2016 New Orleans

DBE Directory for Federal Aid Projects 04/13/2016 Headquarters

SBE Directory 04/13/2016 Headquarters

- Monthly Price Indices for Asphalt Cement and Fuel
- List of Active Contractors (view html) (download - comma delimited)
- Ready, Willing, & Able Firms
- State Transportation Improvement Program (STIP)
- Design-Build Projects
- Projects Let in the Past Year
- Projects to be let in the next 6 months

Contractors Forms

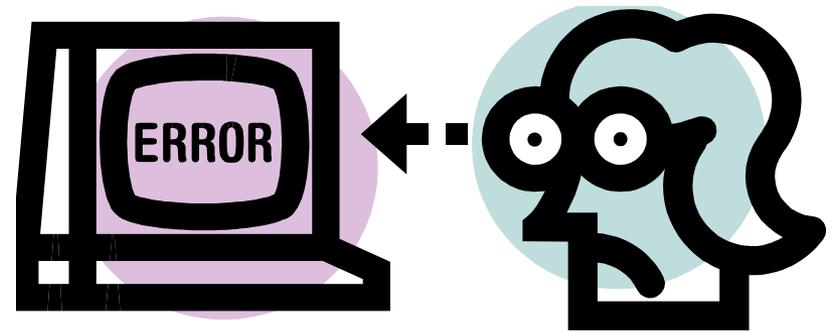
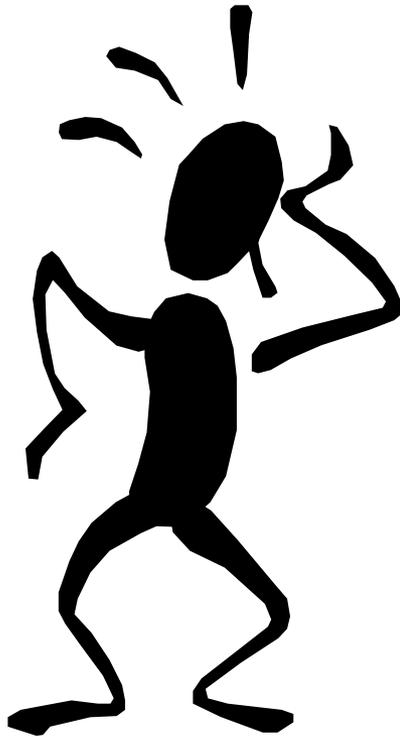
- Bidders Assurance of DBE Participation (Form CS-6AAA)
- Request to Sublet and Extract of Subcontract (Form DMF-1A) - Online

Standard Item File - Weighted Unit Price

- 2007 Spec Year (Metric)
- 2008 Spec Year (English)
- View 2008 Spec Year

# Bids/Construction

## *Revisions, Postponements, Withdrawals*



LPA Manual Appendix D -  
Pages 52-53

# Bids/Construction

## *Revisions, Postponements, Withdrawals*

- Revisions - any change to the plans after final plans are signed - 3 weeks lead time to avoid postponement or withdrawal
- Postponed – has to be let in the next thirty days
- Withdrawn - has to re-advertise at a later letting date scheduled
- Postponing and/or withdrawing hurts pricing!

# Bids/Construction *Letting*



LPA Manual Appendix D - Pages 51-53



LOUISIANA DEPARTMENT OF  
TRANSPORTATION & DEVELOPMENT

# Bid Results

<http://wwwaps.dotd.la.gov/engineering/lettings/>

HOME > business

**Construction Letting Information**

Search Projects

Electronic Bidding Information

Special Announcements 12/08/2016 Postponement of the 12-09-2016 Letting

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Standard Item File - Weighted Unit Price

- 2007 Spec Year (Metric)
- 2008 Spec Year (English)
- View 2008 Spec Year

# Bid Concurrence

- The LPA must send in a written concurrence with the bid for the project (email is acceptable)

# What are you looking for in the Bid Analysis?

- Awareness of an error in a quantity of an item shown in the bidding document
- An item is found to be both significant to the contract and significantly unbalanced

# What are you looking for in the Bid Analysis?

- Significant contract items - Items with bid extended amounts differing from the estimated extended amounts by greater than:
    - For contracts  $< \$2,000,000$ 
      - 0.50% of the total contract amount
    - For contracts  $= > \$2,000,000$ 
      - 0.25% of the total contract amount
- (Extended Amount = Unit Price X Quantity)

# What are you looking for in the Bid Analysis?

- Unbalanced - Items with bid unit price that differ from the estimated unit price by :
  - Greater than
    - +50% of the estimated unit price
  - Less than
    - -75% of the estimated unit price

# DOTD Process for Bids for Construction

*Steps from letting for Entity held contracts (From Entity-State Agreement)*

1. DOTD will advertise for and receive bids in accordance with DOTD's standard procedures
2. All bids are tabulated, extended, and summarized to determine the official low bidder
3. DOTD will submit copies of the bid tabulations to the Entity for review and comment
4. DOTD Review Committee will concurrently analyze the bids

# DOTD Process for Bids for Construction

*Steps from letting for Entity held contracts  
(From Entity-State Agreement) (cont)*

5. The Entity is notified of the official low bid and is requested to review and concur.
6. The contract is awarded by DOTD on behalf of the Entity following the favorable recommendation of award by the DOTD Review Committee and the Entity



# DOTD Process for Bids for Construction

*Steps from letting for Entity held contracts  
(From Entity-State Agreement) (cont.)*

7. The Entity is responsible for all costs above the amounts shown in their *Funding Commitment Letter* and must acknowledge this with an approval letter
8. DOTD transmits the construction contract to the Entity for its further handling toward execution

# DOTD Process for Bids for Construction

*Steps from letting for Entity held contracts  
(From Entity-State Agreement)(cont)*

9. The Entity is responsible for construction contract recordation with the Clerk of Court in the Project's parish
10. A receipt of filing shall be sent to DOTD Financial Services Section
11. DOTD will inform the Entity in writing to issue to the Contractor an official NTP for construction

# Getting a Project Through Construction

*Stage 5 – Construction*



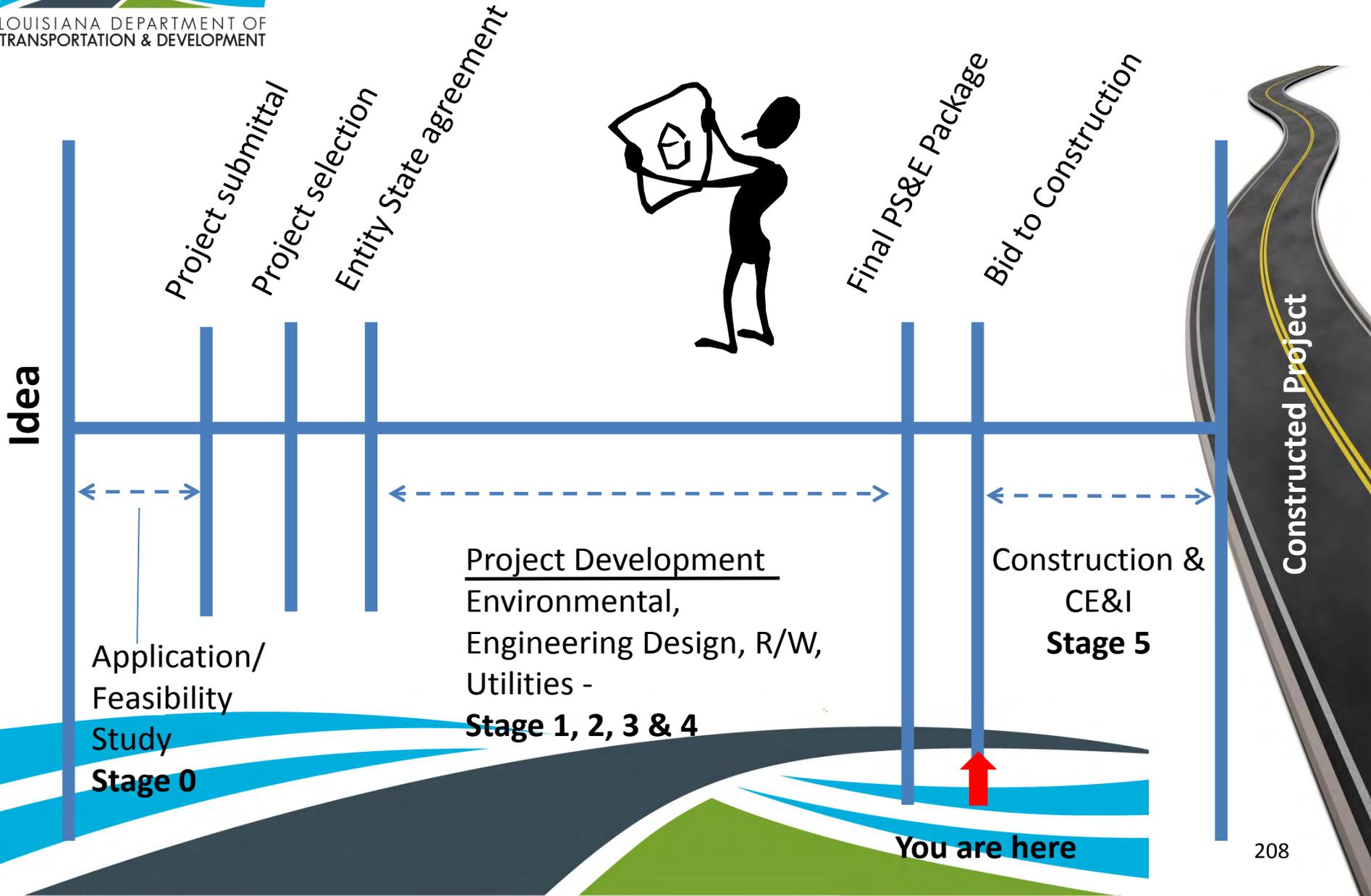
# Agenda for Getting a Project Through Construction

- What is Construction Engineering & Inspection (CEI)?
- Roles and responsibilities
- Project kickoff meeting & pre-construction meeting
- Inspection Requirements
- Partial Estimate –How to get paid
- Project Closeout



LOUISIANA DEPARTMENT OF TRANSPORTATION & DEVELOPMENT

# Project Life Span



# Construction Contract

- It is the legally binding written agreement between the **Entity** and the **Contractor** setting forth obligations for the performance of work for a specific project
  - Specifies:
    - What work is required
    - How to pay for work performed



# Bids/Construction

## *Notice of Entity Contract Execution & Notice to Proceed - LPA*

- Time limits 60 days for contract execution
- After issuance of Notice to Proceed to the contractor schedule Project Set-up and Preconstruction meetings

# What is Construction Engineering and Inspection (CEI)?

It is the administration of the construction project (engineering and inspection)

– It ensures quality work by the contractor by:

- Making Timely inspections
- Issuing clear instructions
- Ensuring early sampling and testing of materials
- Promptly furnishing data needed by the Contractor
- Promptly resolving conflicts and being decisive
- Timely preparing payment estimates/change orders



# DOTD Construction Contract Administration Manual

- This manual is the “*How To*” for inspection
- It is located on the Construction tab on the LA DOTD Web Page ([www.dotd.la.gov](http://www.dotd.la.gov))
- It contains detailed instruction on contract administration, diaries, contractor payments, change orders, final estimates, etc.

# Who Performs CEI?

- Project on a locally owned route options
  1. Entity inspects using in-house personnel
  2. Entity hires a consultant with Entity funds
  3. Consultant obtained through DOTD's consultant selection process (Entity pays match)
- DOTD will perform CEI on State routes

# Roles & Responsibilities

- **LPA Project Engineer (LPA P.E.)** – A licensed engineer in the State of Louisiana assigned by the Entity to provide contract administration for construction engineering and inspection 
  - In accordance with DOTD policies, this person is responsible for the administration of the contract in accordance with DOTD’s Contract Administration Manual
  - Person may be an Entity (engineer) employee or a hired consultant by the Entity

# Roles & Responsibilities

- **Responsible Charge** – Is accountable and responsible for administering the project
  - Knows about the project scope, schedule/status and budget
  - Does not have to be in the field everyday if there is a CE&I consultant
  - Need to be able to answer project status questions if called by DOTD

# Roles & Responsibilities

- **DOTD Project Coordinator** – An engineer from the DOTD district office that provides oversight for the construction project and is a resource to the LPA Responsible Charge and their Project Engineer
  - Verifies conformity with first estimate involving DBE work (reviewing the Form CP-1A if applicable) as outlined in the DBE /SBE Contract Provisions
  - Reviews payrolls with the LPA Project Engineer for conformity with the first estimate
  - Attends any meeting requested by the Responsible Charge or LPA Project Engineer

# Roles & Responsibilities

- **DOTD Project Coordinator** – Cont...
  - Makes periodic inspections of the work (varies based on project scope and complexity)
  - Documents the inspection
    - FHWA has assigned DOTD to provide oversight. DOTD will not issue instructions to the contractor’s superintendent, foreman or any of his personnel, nor direct work in any manner other than advising the Entity’s project personnel that the contractor’s work does not conform to plans and/or specs
  - Advises the LPA Project Engineer or LPA inspector of any noted construction deficiencies & unacceptable methods of written records/field documentation

# LPA P.E. Construction Tasks

- All documentation must follow the format in the Construction Contract Administration Manual  
[http://wwwsp.dotd.la.gov/Inside\\_LaDOTD/Divisions/Engineering/Misc%20Documents/Construction%20Contract%20Administration%20Manual/Construction%20Contract%20Administration%20Manual%202011.pdf](http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Engineering/Misc%20Documents/Construction%20Contract%20Administration%20Manual/Construction%20Contract%20Administration%20Manual%202011.pdf)
- All pay items should be measured and documented in both field books/ spreadsheets and Site Manager
- A detailed estimate in Site Manager must be prepared monthly (every 30 days) whether work is performed or not

# LPA P.E. Construction Tasks

- Responsible for obtaining all necessary samples and performing tests in the field - must have a certified inspector to assist him
  - All sampling and testing must be performed in accordance with the DOTD Materials Sampling Manual and/or Sampling Plan of the project  
[http://wwwsp.dotd.la.gov/Inside\\_LaDOTD/Divisions/Engineering/Materials\\_Lab/Pages/MSM\\_2006\\_Specs.aspx](http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Engineering/Materials_Lab/Pages/MSM_2006_Specs.aspx)



# LPA P.E. Construction Tasks

- The project must be built in accordance with the contract
  - The contract includes the DOTD Louisiana Standard Specifications for Roads and Bridges, Special Provisions, Supplemental Specifications and Plans
- All required DBE/SBE forms are completed in accordance with the DOTD Compliance Programs requirements as outlined in the DBE /SBE Contract Provisions (i.e. monthly DBE/ SBE participation/ CP-1A Form)

# Project Set-up Meeting

- This meeting is recommended to discuss and fulfill project set-up tasks
  - Who (Attendees) – Responsible Charge, LPA Project Engineer (LPA P.E.), DOTD District Project Coordinator, DOTD District Lab Engineer
  - When – Between the Notice of Contract Execution and prior to the Pre-construction Conference (Max. of 30-days after the Entity Notice of Contract Execution)

# Set-up Meeting Agenda Topics

- Role and Responsibilities
- Review of Legal Documents
  - Entity-State Agreement
  - Construction Contract
- CE&I Topics
  - Construction Engineering & Inspection Guidelines
  - Compliance Goals
  - Construction Contract Administration Manual
  - Sampling Plan
  - Site Manager (& Set-up)
  - QA/QC Materials Testing
    - Certified Lab
  - Pre-construction Conference Schedule & Checklist
  - Progress Schedule & Approval
  - Inspection Requirements
    - Inspectors, Work Zone
  - Final Audit Checklist
  - Partial Estimate & Change Orders

# Pre-Construction Conference

- A pre-construction conference is attended by the contractor, establishes contract obligations and requirements of the contractor, and identifies key personnel contact information
  - Timing - After the contract has been awarded and the Entity Notice of Contract Execution (ENOCE) has been sent to the entity, the Responsible Charge and the LPA P.E. will schedule within 30 days. (The Notice to Proceed (NTP) must be set within 30-days of the ENOCE)
  - Agenda – Completion of the Pre-construction Checklist

# Inspection Requirements

Inspectors will be on the job site during construction activities

- Areas requiring certifications:
  1. Embankment and Base Course
  2. Asphaltic Concrete Paving
  3. Asphaltic Concrete Plant
  4. Structural Concrete
  5. Portland Cement Concrete Paving
- Other qualifications include :
  1. sampling/testing
  2. Traffic Control (TCS & TCT)





# Inspection Requirements

- A registered engineer is **NOT** the same as a certified inspector
- Certification training is available through DOTD LTRC

# Work Zone Requirements

- **Traffic Control Supervisor (TCS)** - Shall be provided by the contractor to patrol the project to assure that the traffic control devices are properly placed in accordance with the traffic control plans and standards. Record daily documentation in Site Manager regarding traffic control





# Quality Control/Quality Assurance (QC/QA)

- The District Lab Engineer/District Project Coordinator can assist the LPA P.E. in developing a sampling plan (a list of all materials that have to be sampled and all tests that have to be taken on the job)





# 2059 Report - Project Sample Summary

- Sampling Plan with Final Tests and Quantities
  - Test Reports
    - List of test results by type of material: Date Sampled, Contract Item #, Quantity Represented, Test Results, Pass/Fail or % Pay
  - Certificates, Job Mix Formulas, Mix Designs
- Disposition of Failing Reports
- Errors and Omissions

# Construction Documentation

- **Project diaries/Daily Work Reports (DWRs) in Site Manager**
  - Diary entries shall be written and kept by the P.E./inspectors on a daily basis through the duration of the project
    - They record the work done each day with quantities, equipment, and personnel on the project as well as weather conditions and whether a contract day was charged
  - DWRs begin on the NTP date
  - Entries should be accurate and thorough (Diaries are important, especially if a claim or lawsuit arises (may be many years later))



# Construction Documentation

- **Measurement of the Work** - The LPA P.E. and his inspectors are responsible for measuring work that has been completed on a daily basis:
  - Items and quantities are documented in a field book and/or spreadsheet and then into SiteManager for pay purposes

# CAUTION

- Failure to supply the required documentation as per DOTD policies will result in either a delay in reimbursement or possible withdrawal of federal funding should the matter not be resolved in a timely manner
- This is a requirement, not an option

# Construction Payment



- **Partial Estimate**

- Developed each month by the LPA P.E. in SiteManager regardless of work activity
- The entity will be issued a reimbursement check for the percentage specified in the Entity/State Agreement for the partial estimate amount once the partial estimate has been approved by DOTD

- **Payment**

- The entity is responsible by law for paying the contractor correctly and on time (within 30 days) for work performed on a monthly basis



# Partial Estimate Step 1 - Determine Compensation Method

Cost “Reimbursement” or Cost “Disbursement”  
will be stated in the Entity-State Agreement



# Partial Estimate Step 2 – Daily Work Report (DWR)

- Quantities are entered into the Field Book or Spreadsheet daily
- Quantities are entered into SiteManager by the LPA P.E. or the LPA Inspector on the Daily Work Report (DWR) Screen



# Partial Estimate Step 3 – LPA Creates Estimate

- SiteManager Office Manager- Generates the partial estimate every 30 days & approves
- LPA Project Engineer approves
- LPA Responsible Charge (designated as contractor in SiteManager) approves



# Partial Estimate Example Approval

I hereby certify that the contract time as summarized herein and quantities herein shown are correct to the best of my knowledge and belief and that the work has been performed and the materials used in accordance with the plans and specifications for this project.

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Local Public Agency Project Engineer



# Partial Estimate Example Approval

I acknowledge that the pay quantities and Summary of Contract Time for this Estimate have been reviewed. If I disagree with pay quantities on this estimate I will immediately notify the Project Engineer in writing. If I disagree with time charges then I must notify the Project Engineer via mail/fax within 14 days and further follow the procedure as detailed in the 2008 Standard Specs section 108.07(4); however, I am not rejecting this estimate, as that action may result in a delay of payment.

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RESPONSIBLE CHARGE





# Prepare Cost Reimbursement Documentation

- Attach information for the compensation method which is specified in the Agreement – “Disbursement” or “Reimbursement” (Step 1)





# Partial Estimate Step 4 - DOTD Partial Estimate Approval

- DOTD Compliance Section verifies payrolls for compliance with Federal wage rates and approves on all projects
- DOTD Construction Audit Section audits estimate and processes for payment



# DOTD Partial Estimate Approval

- All projects with Federal funds are required to submit certified payroll document for both prime and sub contractors
- DOTD Compliance Section reviews the payroll documents
  - Must be submitted 2 weeks prior to a partial estimate submittal

Failure to do so will result in the partial estimates being held



# DOTD Partial Estimate Approval

## DOTD Construction Audit Section review steps

1. Confirm receipt of cancelled check in 60 days if “disbursement” from previous partial estimate payment
2. Ensure cancelled check (reimbursement) or disbursement form submitted for this estimate
3. Notify LPA P.E. to submit a change order for next partial estimate for any item over or under 5%
4. Ensure sufficient total project budget to cover the payment or reject estimate



# Partial Estimate Step 5 – Payment of Contractor

- Entity pays contractor
  - No matter what type of cost reimbursement method is used, the Entity is responsible to pay the contractor within the timeframe specified in the contract
  - The Entity must maintain the project records for 5 years

# Construction Documentation

- **Change Order** - Any change to the plans or specifications
  - The LPA P.E. is responsible for writing all change orders and submitting them for approval

# Construction Documentation

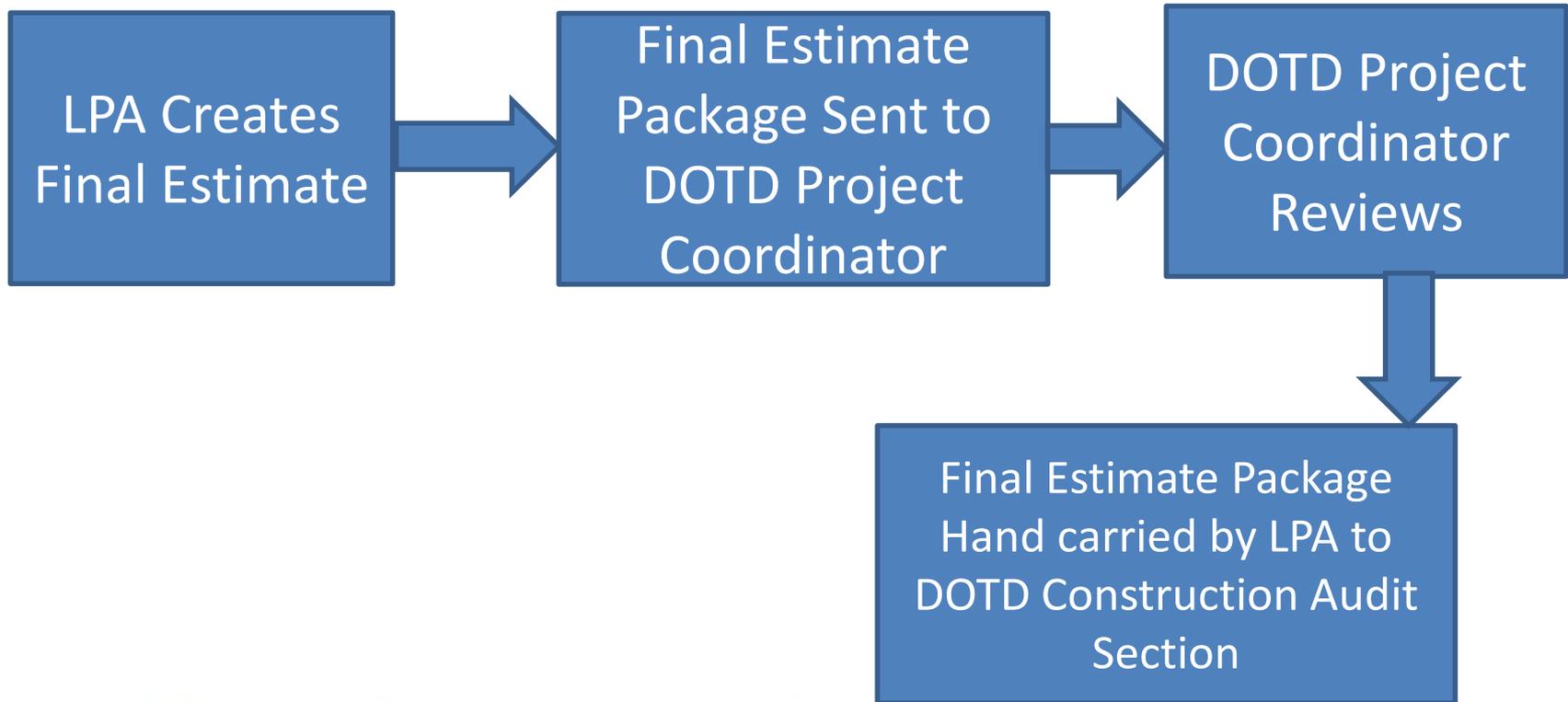
## Change Orders:

- The Entity is listed as the Contractor, DOTD is the owner, and the contractor is not represented in SiteManager
- The contractor's concurrence with the change order is denoted by the contractor's signature on a printed draft copy scanned as an attachment to the change order using Content Manager
- Authorization or approval is set up for each Change Order separately in SiteManager and will always include a DOTD representative

# Construction Documentation

- **Final Estimate Package** – Submitted by the LPA P.E. within 30 days of the final acceptance and includes:
  - Form 2059 report
  - Completed final estimate
  - “As-built” drawings signed by LPA P.E.
  - Field books

# Final Estimate Process



# Project Closeout Tasks

- **Final Inspection** - The responsible charge/LPA P.E. shall set up a final inspection and acceptance meeting for the project when it is complete which includes the contractor, the Responsible Charge and DOTD
- **Final Acceptance** - The Entity must pass a resolution accepting the project before the project can be accepted

# LPA P.E. Closeout Tasks

- Notify DOTD of project completion
  - Schedule final inspection
- Prepare the final estimate package and hand-deliver with all backup documentation to the DOTD Project Coordinator for review



# DOTD Project Coordinator Closeout Tasks

- Attends the final inspection
- Provides guidance to the LPA Project Engineer to prepare the final estimate package
- Reviews the final estimate package with backup documentation

# Procedure

- Required Forms - Construction Contract Administration Manual – page 44, Section 7.5
- Must be **HAND CARRIED** to Room 510-G
- LPA P.E. must hand carry
  - Submittal is cursory reviewed by DOTD while LPA P.E. is present
  - Missing signatures are addressed
  - Missing documents identified



# Rejection Reasons

- Traffic Control Diaries omitted or not done consecutively as per spec book
  - Penalty assessed if not done properly
- Final References not added correctly
- Every sheet of As-built plans not signed (even standard plans)

# Rejection Reasons (Cont.)

- Missing category 2 & 3
  - **NOTE**: Category 1 change orders must be submitted prior to the final submittal
- Tracking numbers of the signed change orders are different from the Site Manager approved change orders
- Original documentation is not submitted
  - Copies are unacceptable

# Rejection Reasons (Cont.)

- Not following DOTD policy – A “final” is the summation of all that has been paid to date
  - No items are paid on the final estimate
  - The final estimate must show the total earned to date
    - Any retainage held will be released after the records are submitted and the audit is complete

# Questions?





# Contact Information

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