

**SOUTHEASTERN CONNECTICUT
COUNCIL OF GOVERNMENTS**

**LOCAL TRANSPORTATION CAPITAL IMPROVEMENT
PROGRAM
(LOTCIP) GUIDELINES**

Southeastern Connecticut Council of Governments

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INTRODUCTION

This document contains the Southeastern Connecticut Council of Governments' (SCCOG) Local Transportation Capital Improvement Program (LOTICIP) guidelines. These guidelines should be used, jointly with the Connecticut Department of Transportation (CTDOT) LOTICIP Guidelines, in making application into the SCCOG's LOTICIP program (both documents are available at www.seccog.org). All costs associated with preparing a LOTICIP application and the requisite plans and other supporting documents shall be borne by the municipality. If selected for LOTICIP funding, a member municipality will receive 100% of their project's estimated construction cost plus contingencies and incidentals (both fixed at 10% of a project's estimated construction cost) with no local match requirement.

LOTICIP PROGRAM OVERVIEW

The LOTICIP process established by CTDOT and SCCOG focuses on capital improvement projects containing structural road improvements with a minimum design life of 20 years and is not intended to fund ordinary road maintenance activities. SCCOG may allow a maximum of 15% of its LOTICIP funding, or \$500,000 of a total project's cost, whichever is greater, to fund pavement preservation, multi-use/bicycle pathways, or standalone sidewalk projects covered by these guidelines. All LOTICIP projects must have a minimum construction cost of \$300,000 to qualify for funding. Additionally, all proposed projects must meet the eligibility requirements of the Federal STP-Urban program. The STP-Urban program is primarily for roads or highways functionally classified as a collector or higher within a designated urban area. Functional class maps for each town are available on the SCCOG website and a list of all eligible roads within each community is available from SCCOG.

Future LOTICIP projects will be identified by SCCOG via solicitations of its member municipalities. This process will involve an annual solicitation and competitive project selection held under a similar process to previous SCCOG requests. Any changes to schedules, procedures, criteria, selection policies will be identified well in advance by the SCCOG Executive Committee prior to any solicitation. During each solicitation SCCOG will select projects and reserve the appropriate LOTICIP funding based on CTDOT's respective LOTICIP Guidelines. Endorsed and prioritized projects will be forwarded to CTDOT for their review, approval, and commitment to fund.

SCCOG will inform a recipient municipality of CTDOT's commitment to fund and the anticipated construction funding year. The anticipated construction funding year will be dictated by the LOTICIP program status. SCCOG and the municipality will then determine a date when design is expected to commence. The municipality will contact SCCOG when project design commencement is imminent, or has just begun. SCCOG will then hold an initial design meeting. It is anticipated that this meeting will involve a review and determination of project challenges, critical path items, LOTICIP processes, reporting requirements, various design submission phases, a review of any critical findings in CTDOT's Environmental Screening report, and schedule future delivery dates.

LOTICIP PROJECT DESIGN REVIEW – PROCESS AND SUBMISSION REQUIREMENTS

SCCOG is requiring phased submissions for review in order to effectively manage and minimize any potential problems within the region's LOTICIP program. SCCOG will coordinate the review of each interim (Project Application, Intermediate Design, and Final Design) submission. Several review meetings will be held at various stages during each submission phase to discuss and review comments. Review comments will be submitted in writing to municipalities as quickly as possible after each review meeting and after project design vetting at each interim submission stage.

Responses will be required for all comments identified by the SCCOG. The SCCOG is also tasked with identifying design flaws, noting items at risk for change orders, suggesting value engineering ideas, and independently assessing the project's anticipated design schedule and construction costs. Also, the SCCOG will determine the adequacy of any design exceptions to the controlling design criteria. In the absence of a CTDOT-approved municipal road design standard, the applicable AASHTO design criteria will be utilized in all projects. A municipality should retain fully documented rationale and engineering reasoning for any controlling design criteria exceptions that cannot be brought into conformance with the existing CTDOT-approved municipal road design standards or the AASHTO design criteria.

Application Phasing Guidelines

Application phasing will generally consist of the following steps and submission schedule. A copy of CTDOT's LOTICIP Application Form is contained in Appendix A. SCCOG highly recommends and is available at any time for a pre-application sketch review of possible municipal projects (please see page 4 for more information).

1. SCCOG announces a competitive solicitation for projects to be funded under LOTICIP.
2. Municipality submits a complete LOTICIP application, which at a minimum includes all the information required within these guidelines under the Project Application Submission section, in addition to the required information as detailed in the CTDOT's LOTICIP Guidelines along with any other supplemental or helpful information.
3. SCCOG reviews, rates, selects, and reserves sufficient LOTICIP funding for projects.

4. SCCOG submits to CTDOT the selected and endorsed LOTCIP project applications for their review and funding commitment.

5. CTDOT, coordinating through SCCOG to the applying municipality, determines if the project is to advance under the LOTCIP guidelines, or is to be administered by CTDOT. CTDOT project administration is mainly for projects involving extensive alterations along a state highway facility.

6. CTDOT provides to the SCCOG and the applying municipality a Commitment of Funding Letter and results of an Environmental Review Memorandum.

7. SCCOG informs the applying municipality of the anticipated funding year. SCCOG and the applying municipality determines when the Intermediate Design activities are expected to begin.

Pre-Application Sketch Review

The pre-application sketch review is an optional step. A pre-application sketch review is strongly recommended for all projects and can be made to the SCCOG at any time without regard to the LOTCIP solicitation schedule. SCCOG's role during sketch review is to assist and facilitate successful future municipal LOTCIP submissions. Additionally, this effort is to eliminate errors or ineligible projects prior to a municipality expending funds on preparing a full Project Application Submission LOTCIP application. The following items are the minimum required for a typical pre-application sketch review.

- Two copies of sketch plans consisting of a basic outline of the project location with roadway reconstruction plans, existing roadway cross sections, proposed new roadway cross-sections, existing signing, and proposed pavement markings.
- Two copies of the construction cost estimate.
- Two copies of a list of anticipated permits, right-of-way acquisitions, and utility coordination efforts.

Project Application Submission

The Project Application Submission is the opening step and the initial application to the SCCOG's LOTCIP program. The following items are the minimum required for a complete LOTCIP Project Application Submission:

- Four (4) copies of all plan sheets (minimum paper size of 24" x 36") consisting of:
 - Roadway reconstruction plans;
 - Existing roadway cross section(s);
 - Proposed roadway cross-section(s);
 - Existing road centerline profile(s);
 - Proposed road centerline profile(s)
 - Existing drainage detail;
 - Proposed drainage detail;
 - Existing signing and pavement marking;
 - Proposed signing and pavement marking; and,
 - Other necessary existing or proposed project details.
- Two copies of any non-standard design specifications that an applying municipality would like to use within this LOTCIP application. All non-standard design specifications must be reviewed by CTDOT and approved to prevent any possible project delays or exclusions later in the project design process. If a municipality does not have existing CTDOT-approved design specifications on record with CTDOT, this is required information. Additionally, municipal subdivision and zoning regulations generally do not provide the road design standards that are specifically used during a municipal road reconstruction or rehabilitation project.
- Two copies of the maintenance and protection of traffic specifications either in descriptive form or as part of the plan sheets mentioned earlier.
- Two copies of the construction cost estimate that details any and all construction activities and other expenses. All construction cost estimates shall be based upon unit prices and procedures provided in CTDOT's Cost Estimating information or other widely accepted professional project estimating and costing source. All applicants should recognize that, during the **Final Design Submission phase, any costs above the approved CTDOT grant payment amount are the sole responsibility of the applying municipality.**
- Two copies of a project design schedule/timeline with critical milestones.
- Two copies of a list of all required and or anticipated permits, right-of-way acquisitions, and utility coordination efforts.

All Project Application Submissions must clearly and completely depict all the following items, as applicable and within the project's extent using available GIS data and or other source:

- topographic survey and mapping including property ownership of parcels and all rights-of-way;
- proposed roadway/sidewalk/trail features, including lane configurations and approximate slope limits;
- recent traffic count data and peak period turning movement counts at signalized and unsignalized intersections, within the project's extent, including percent of heavy vehicles for each movement;
- geo-technical information and mapping portraying the existing soils and groundwater within the roadway's right-of-way and the project's extent;
- information reviewing the roadway's existing sub-base, base, and pavement structures;

- explanation and details for all prior construction, rehabilitation, repaving, and or repair activities over the prior 10 years;
- estimation of the proposed new materials, gravel fill, sub-base, base, and pavement structures;
- locations, descriptions, dimensions, and summaries of all existing drainage systems, bridges, culverts, and retaining walls, as needed;
- rights-of-way, environmental, archeological, cultural, railroad, and any other anticipated impacts and or permitting that may be required;
- preliminary drainage designs and bridge layout, as needed;
- construction phasing and road closure schedules;
- indication on the appropriate plans of the existing and proposed values for the following, as needed and within the project's limits: roadway functional classifications; posted speed limits; proposed roadway design speeds; travel lane, paved shoulder, and gravel shoulder widths; culvert dimensions and lengths, if affected or changed by project; bridge lengths, widths, and heights, if affected or changed by project; roadway centerline grades; stopping sight distances at all intersections, excluding residential and minor commercial driveways; cross-slopes and super-elevations, if affected or changed by project; vertical and horizontal clearances for any possible obstructions; and, sidewalks and other features that may relate to ADA accessibility.

Intermediate Design Submission

The Intermediate Design Submission is the second step in the LOTCIP program application process. Intermediate Design Submissions will only be accepted after (1) submission, review, and completion of a Project Application Submission, (2) receipt of CTDOT's Commitment to Fund letter, and (3) SCCOG's signed endorsement. The following items are the minimum required for an Intermediate Design Submission which has a for all plan sheets.

- ⑩ All plan sheets and items required within a Project Application Submission;
- ⑩ Four (4) copies of plan sheets (minimum paper size of 24" x 36") consisting of all anticipated Final Design sheets.
- ⑩ Two (2) copies of the construction cost estimate for the information detailed on the Intermediate Design Submission plan sheets that confirms the information supplied during the Project Application Submission.
- ⑩ Two (2) copies of soils and foundation reports with boring logs for structures and as applicable for certain features and all road surface components.
- ⑩ Two (2) copies of the projected construction schedule that identifies critical paths and milestones.
- ⑩ Two (2) copies of documentation of progress made on permits, right-of-way acquisitions, and utility coordination.

The submission should clearly depict the following items:

- ⑩ All items recommended for depiction in the Project Application Submission phase including responses for comments identified by the SCCOG.
- ⑩ Significant project alterations or changes since the Project Application Submission phase not required or recommended by CTDOT.
- ⑩ Progress on the drainage design per a hydraulic analysis, including any necessary water handling, if necessary.
- ⑩ Progress on the maintenance and protection of traffic and construction phasing plans, if necessary.
- ⑩ Advancement of the traffic signal phasing/timing/structure plans based on calculations and all appropriate intersection traffic analyzes, as necessary.
- ⑩ Advancement of the structural plans based on the information provided through sub-surface and soil borings for structural and other appropriate geo-technical analyzes.
- ⑩ A full set of cross sections, including all significant features and design constraints.

Final Design Submission

CTDOT guidelines specify and require a Final Design Submission to CTDOT through the SCCOG. SCCOG and CTDOT will only review Final Design Submissions for the presence of all required items. The content of the Final Design Submission will not be thoroughly reviewed by CTDOT and SCCOG. The Final Design Submission materials will be used to confirm that the project plans and cost estimate are consistent with the project scope and cost approved as part of the Project Application Submission and Intermediate Design phases or as subsequently revised and approved.

During the Project Application Submission and Intermediate Design phases, CTDOT guidelines clearly specify that if there is a change in project scope and or a 20% or greater increase in cost above the initial project approval amount, municipalities are required to submit justifying documentation to CTDOT, through SCCOG, for approval. **However, all Final Design Submission costs above the CTDOT grant payment amount are the sole responsibility of the municipality.** Notwithstanding the prior statements, CTDOT and SCCOG do recognize that if significant and extenuating circumstances arise, collectively, and in consultation with the municipality, reasonable and legitimate cost increases and overages above the project cap may be considered to be eligible for future LOTCIP funding subject to SCCOG approval.

Each item below is required for CTDOT and SCCOG resulting in the following Final Design Submission requirements which has a for all plan sheets:

- ⑩ Two (2) copies of a complete set of Final Project Plans (minimum paper size of 24" x 36"), Specifications, and Contract Documents, including the signature and an embossed seal of the Professional Engineer preparing the project documents (Designer of Record).
- ⑩ Two (2) copies of the construction cost estimate for all the information detailed in the Final Design Submission that confirms and details the information supplied during the Project Application Submission and Intermediate Design phases, or as subsequently revised and approved.
- ⑩ Two (2) copies of Final Design Submission documentation.
- ⑩ Two (2) copies of the completed certification forms.

QUARTERLY REPORTING REQUIREMENTS

Municipalities with projects active in the Intermediate Design, Final Design, and construction phases will be required to submit quarterly updates to SCCOG. Updates should be provided by September 30th, December 31st, March 31st, and June 30th. Updates will include information needed for SCCOG to compile and submit to CTDOT the Regional Quarterly Status Report. Municipal reporting requirements and format will be reviewed at an Intermediate Design phase meeting.

