# Locally Managed Projects
# Process Overview Flow Chart

Legend
- TDOT Notice to Proceed
- Submittals to TDOT
- TDOT Review and/or Approval

**Notes:**

The steps outlined in this flow chart are representative of the overall process and correspond with Chapters in the TDOT Local Government Guidelines Manual. Please refer to the manual for additional information. Additional steps may be required based on each individual project and the respective Divisions/Offices of TDOT will provide detailed guidance. Some steps shown may not be applicable based on the individual project.

TDOT's approved Consultant Selection Process provides for a small procurement process to be used when consulting fees are anticipated to be less than $100,000. Contact LPDO for approval to proceed with this process.

* Non-Traditional Projects may include: Building Projects, Parking Improvements, Diesel Retrofits, Van Pool Projects, Studies, Rideshare Projects, Air Quality Alerts, Air Quality Outreach, and Software Projects (i.e. GIS, ITS, rideshare, etc).

** LG may select a single Consultant for the PE/Design/ROW(including Utilities) phase of the project; however the contract should provide separate work orders for each phase of project development. Also, the consultant should have expertise in the type of work involved in the project or the specific phase(s). A separate CEI Consultant must be chosen for the Construction Phase.

*Note: Rail Coordination may begin at the Preliminary Plans stage in order to incorporate rail requirements into the Final ROW Plans. Crossing upgrade design may not begin until after the NTP for ROW.*

Select Design Consultant **
Conduct Project Survey
Prepare Preliminary Plans
Distribute Plans for Preliminary Review
Conduct Preliminary Review
Geotechnical Design (or after Prelim. Bridge Layout Approval)
Hold Design Public Meeting and Evaluate Design Meeting Transcript
Finalize Preliminary Plans, Submit to TDOT (See Note on Rail Coordination)
Receive Comments from TDOT Design Division
Receive Approval from TDOT if Structures Involved for Prelim. Bridge Layout and/or Hydraulic Analysis
Update Survey
Prepare and Distribute ROW Field Review Plans
Conduct ROW Field Review
Submit Design Exception Request (if applicable)
Receive Design Exception Approval Letter from TDOT (if applicable)
Begin Final Design
Refine Plans
Develop Mitigation Plan
Initial Coordination with TDOT Regional ROW Coordinator, Utility Coordinator, & Headquarters Rail Coordinator
Prepare Mitigation Design
Prepare Permit Sketches
Apply for Permits
Obtain Permits
Incorporate Permit Requirements
Finalize Plans
Prepare Preliminary Construction Estimate
Submit Preliminary Construction Estimate
Submit Design Certification Letter and Final ROW Plans to TDOT
Receive Comments from TDOT Design Division
5 Receive TDOT NTP with Design Phase
Receive TDOT Notice of Approved Final Environmental Document
STOP
6 Receive TDOT NTP with Right-of-Way Phase
Select ROW/Utility Consultant **
Distribute Final ROW or Utility Only Plans to Consultants
Hold Right-of-Way Public Meeting
Stake Right-of-Way
Complete Steps 6a, 6b, and 6c concurrently, as required
3 If in MPO area, project must be included in TIP/ STIP. If in rural area and is regionally significant, project must go through RPO process. (RPO must be advised of all projects.)
Traditional Project?*
YES
NO
Submit TDOT Project Initiation Form
Receive TDOT eligibility approval
TDOT Sends LG Contract & Request for Schedule
LG Returns Signed Contract and Schedule to TDOT
TDOT Executes Contract
LG Receives Fully Executed Contract
4 Receive NTP with Preliminary Engineering Phase for Environmental Only
STOP
Contact TDOT Environmental Division, Environmental Documentation Office to obtain critical information regarding your project. Do NOT Proceed without this step.
Advertise for and Select Consultant from TDOT Approved List**
Requires CE (Refer to TEPM for guidance)
Conduct Initial Environmental Coordination with TDOT (and FHWA, as required)
Requires EA or EIS (Refer to TEPM and TESA for guidance)
Complete Initial Technical Studies
Prepare Conceptual Stage Relocation Plan
Conduct Appropriate Level of Public Involvement
Write Draft Environmental Document (EA or EIS)
Conduct Appropriate Level of Public Involvement
Write Draft Environmental Document (CE)
Submit Draft Environmental Document to TDOT
Of CE
Receive TDOT Notice of Approval
Of Draft EA or EIS
Hold NEPA Hearing
Select Alignment
Prepare Final Environmental Document
Submit Final Environmental Document to TDOT
Rail-Highway Crossing Within Vicinity of Project?
NO
YES
LG Submits to TDOT request for Letter Certifying No Railroad Involvement
TDOT Reviews and Provides Letter Certifying No Railroad Involvement
6a Meet with TDOT HQ Railroad Coordinator
LG Hires Engineering Consultant well Versed in Railroad Crossing Device Installation
LG Contacts Railroad & Requests Rate Data for Special Provisions
LG Submits Plans and Grade Crossing Photos
TDOT Reviews Plans/Photos & Provides Recommendations
LG Transmits Plans and Crossing Recommendation to Railroad for Review & Approval
Railroad Transmits to LG a Letter Approving Plans or Detailing Revisions
LG Engineering Consultant to Review Plans & Cost Estimate (Developed by Railroad)
Submit Railroad Estimate
LG Shall Enter into Contract with Railroad & Wait for TDOT NTP with Construction
6b Meet with TDOT Region Utility Coordinator
Issue Right-of-Way Plans to Utilities
Utilities Request Consultant Use (for Utility Relocation Design)
Local Government Reviews Debarment List
Local Government Reviews Approved Overhead Rates and Estimated Costs
Local Government Approves Consultant
Local Government Issues Authorization for Consultant to Utility
Utilities Submit Response/ Request
LG Reviews and Approves Utility Response
Is Utility on State ROW?
YES
NO
Local Government Directs Utility to TDOT for Permit
Utility Submits Request for TDOT Permit
Utility Receives TDOT Permit
Is Utility Due Compensation?
Utility Provides Local Government Copy of TDOT Permit
Utility Prepares Estimate and Submits to Local Government
Local Government Reviews Utility Estimate
Local Government Generates Reimbursement Contract
Send Contract to Utility
Utility Signs Contract and Returns to Local Government
Local Government Processes Contract for Execution and Authorizes Utility to Proceed
Submit Attestations (for TDOT Utility Certification) and Utility Estimate
ROW Acquisition Required?
NO
YES
Meet with TDOT Region ROW Coordinator
Submit ROW Certification Request
6c Meet with TDOT Region ROW Coordinator
Perform Title Searches
Appraisal Waivers Assessed
Issue Notice to Property Owners
Complete Appraisals
Prepare & Submit Preliminary ROW Estimate
Appraisal Reviews
Formal Offer Approved
Relocation Involved?
YES
NO
Relocation Assistance Reviewed
Relocation Benefits Calculated
Present Formal Offer and Relocation Offer (if applicable)
Offer Accepted?
NO
YES
Administrative Settlement Considered
Offer Presented to Property Owner and Accepted
NO
YES
Local Government Attorney Files Condemnation
Local Government Attorney Completes Condemnations
Court Ordered Possession
Close with Property Owner
Record Deed
Submit Attestations (for TDOT ROW Certification) and ROW Cost Summary

## Pre-Construction Activities

Receive TDOT Approval Letter of DBE Goal
Receive TDOT Approval of Permits
Establish and Submit DBE Goal
Submit Final Construction Plans, Proposed Advertisement for Bid, Final Construction Estimate, and Bid Book to TDOT
Establish OJT Goal and Seek Approval From Local Government Civil Rights
Receive TDOT Plans Comments, then Approval Letter of Bid Documents
Conduct Construction Field Review
Conduct Constructability Review, If Needed
Submit Final Structure Plans & Receive Approval Letter
Prepare Construction Plans, Including Structures
Submit Permit Certification
Confirm Environmental Issues for Construction
8a TDOT Certifies Utilities, Railroad, and ROW
STOP
8b Receive TDOT Notice to Proceed with Construction Phase
Select CEI Consultant **
Advertise Project for Bids
Open Bids in Public Place Three Weeks From Latest Advertisement
Review Bids
Request TDOT Concurrence in Intent to Award
Receive TDOT Concurrence
Award Project to Lowest Responsive Bidder and Execute Contract
Perform Acceptance Testing and Certify Materials. Notify TDOT for Verification and Assurance Testing. Use TDOT Approved Asphalt and Concrete Mix Designs.
**Construction Begins:** Perform CEI throughout construction, submitting all required checklists and documentation
Issue Start Notice
Hold Pre-Construction Conference
Issue Work Order
Issue Plans, Bid Book, and Final Estimate to TDOT Regional Construction and Materials & Test
Submit to TDOT: Contractor and Consultant firm's name, street address (with nine-digit zip), DUNS number, and contact person information
Perform Construction Level Public Involvement
Award Project to Lowest Responsive Bidder and Execute Contract
Contractor Submits Shop Drawings to LG for Review and Approval
Contractor Submits Progress Estimates to LG
LG Reviews and Approves Progress Estimates
LG Sends Reimbursement Request and Copy of Progress Estimates to TDOT for Reimbursement
Conduct Final Inspection (and Initial Bridge Inspection) and Resolve Any Punch Lists Issues
Submit As-Builts, Shop Drawings, and/or Final Plans for Structures to TDOT
LG Issues Completion Notice and Advertisement Period for Claims Begins
Request Contractor Complete CC-3 Forms
Prepare Final Estimate with Explanation of Overruns/ Underruns
LG Completes Material Certification Letter
Pay Contractor's Final Estimate and Submit All Final Invoices to TDOT for Reimbursement
LG Completes "End of Job Certificate"
LG Maintains Project File for the Required Timeframe Outlined in the Guidance
Local Government Authorizes Utility to Begin Work
Local Government Inspects Utility Construction
Utility Completes Utility Relocations
Utility Submits Invoice for Reimbursement to LG
Local Government Receives and Reviews Invoice
Local Government Processes Invoice for Payment
LG sends Copy of Invoice with Cancelled Check to TDOT for Reimbursement
LG Authorizes Railroad to Begin Work
LG Sends Copy of Authorization Letter
Once Construction is Complete and Railroad Has Inspected, Send Railroad Completion Notice to TDOT

## Non-Traditional Projects* (See Chapter 10 of Manual)

Project Involve Construction?
YES
NO
Submit to TDOT Project Initiation Form (or appropriate Enhancement Documentation) for Non-Traditional Construction Projects
Receive NTP with Preliminary Engineering Phase for Environmental Only
Contact TDOT Environmental Division, Environmental Documentation Office to obtain direction on the environmental clearance required.
STOP
Receive TDOT Notice of Approved Final Environmental Document and NTP with Design Phase
Conduct Project Survey
Geotechnical Design
Prepare Preliminary Plans
Distribute Plans for Preliminary Review
Conduct Preliminary Review (including Constructability Review)
Hold Design Public Meeting and Evaluate Design Meeting Transcript
Finalize Preliminary Plans, Submit to TDOT
Finalize Plans (including Property Map, if ROW required) and Quantities
Update Survey
Receive Preliminary Design Approval Letter from TDOT
STOP
Receive TDOT NTP with Right-of-Way Phase
See Steps 6a – 6c
TDOT Certifies Utilities, Railroad, and ROW
See Step 8a
STOP
Receive TDOT NTP with Construction Phase
See Step 8b
Submit to TDOT Project Initiation Form for Non-Construction Projects
Receive NTP with Preliminary Engineering Phase for Environmental Only
Contact TDOT Environmental Division, Environmental Documentation Office to obtain direction on the environmental clearance required.
STOP
Receive TDOT Notice of Approved Final Environmental Document and NTP with Bidding/ Procurement Phase