

CTEP DISTRICT LIAISON PERFORMANCE GUIDELINES



**MDT COMMUNITY TRANSPORTATION ENHANCEMENT PROGRAM (CTEP)
CTEP DISTRICT LIAISON - PERFORMANCE GUIDELINES**

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I. POSITION DESCRIPTION:

The District Liaison assists the MDT CTEP Section and the local and tribal government project sponsors in the completion of CTEP projects. Responsibilities include: initial evaluation of the proposed project; participation in project pre-bid and pre-construction conferences as appropriate; ensuring the local government or their consultant provides appropriate construction inspection as required by the project plans and specifications; ensuring the project is in compliance with Federal regulations and project documents; processing construction reimbursement requests submitted by the local government; and initial processing of the project Certificate of Completion.

The CTEP District Liaison is an appointed position made by the MDT District Administrator. The District may have one or more CTEP Liaisons as determined by the District Administrator. Liaisons should have knowledge and experience in Federal Aid project development, design, and construction, including Title VI Civil Rights Requirements.

II. INITIAL PROJECT NOTIFICATION AND EVALUATION:

The District Liaison may assist the local or tribal government with the application process and offer guidance on CTEP project eligibility, requirements, and procedures. The CTEP Section will notify the District Administrator when a new CTEP project application has been received. The DA will in turn assign the project to the appropriate Liaison. The notification will include a CTEP project data sheet (see Exhibit #1) and a District CTEP proposal review (see Exhibit #2) to be completed and returned to the CTEP Section by the Liaison. Upon receipt of the project notification, the Liaison will:

- Evaluate the project in terms of other District projects and priorities in order to determine if the CTEP project might be combined with another department project in the area.
- If necessary, contact the local government sponsor or make an initial site visit to clarify the scope or completeness of the project information sheet.
- Complete the CTEP proposal review document (Exhibit #2), including any comments or recommendations and indicate on the document the level of district participation in the planning and construction of the project.
- Start a project file to include all correspondence and documentation relative to the project.

III. PRELIMINARY ENGINEERING (PE) PHASE

The project PE phase will be completed primarily by the CTEP Section Project Engineer working with the local government and their project consultant. As the project plans and specifications are developed, the CTEP Section will provide copies of the preliminary plans to the Liaison for review and comment. The Liaison will coordinate plan review at the District level as necessary. Typically, for “on-system” projects the Liaison should coordinate the review with the District Traffic, ROW, Utilities, Maintenance, or other

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District sections that the project may impact. For “off-system” projects, review by the Liaison may be sufficient. The Liaison will review plans for completeness and constructability and provide comments to the CTEP Project Engineer as appropriate. In some cases, the Liaison may conduct a site visit with the project owner (local government) or consultant to discuss and resolve design issues.

When the project design is completed and approved by the CTEP Project Engineer, copies of the final documents will be sent to the Liaison for use during project construction.

Although the CTEP Section will have primary responsibility for the PE phase, the District Liaison may be asked to participate in design issues such as:

- Impacts to MDT ROW or other public or private facilities such as utility lines
- Location of features within MDT ROW (such as sidewalks, paths, trees, light standards, retention ponds, Welcome to Community Monuments, etc.)

IV. RIGHT-OF-WAY (ROW) PHASE:

The project ROW phase will be completed primarily by the CTEP Section Project Engineer working with the local government and their project consultant and with the MDT ROW Bureau. However, the District Liaison may be asked to participate in ROW issues such as:

- Necessity of R/W acquisition
- Design options to avoid R/W impacts

V. INCIDENTAL CONSTRUCTION (IC) PHASE:

The project IC phase will be completed primarily by the CTEP Section Project Engineer working with the local government and their project consultant and with the MDT Utilities Section. However, the District Liaison may be asked to participate in IC issues such as:

- Necessity of relocating facilities
- Design options to avoid conflicts with utilities

VI. CONSTRUCTION ENGINEERING (CE) PHASE:

Although the primary responsibility of the District Liaison is to monitor CTEP project construction, the actual construction engineering tasks are the responsibility of the local government and their consultant. The Liaison does not perform inspection or quality control functions, nor does the Liaison direct the actions of the project owner (local government), engineer (consultant), or contractor.

In regard to the CE phase, the District Liaison should perform cursory reviews of the project plans and specifications to ensure conformance with the project application and project agreement and assist in identifying issues not addressed in the approved plans and specifications.

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VII. CONSTRUCTION (CN) PHASE:

The primary responsibility of the District Liaison is to monitor the CTEP project construction. The Liaison is the eyes, ears, and legs of CTEP in regard to monitoring construction activities and documentation. The CTEP Liaison is not an “inspector”, but is responsible for ensuring that the local government, consultant/engineer, and the contractor comply with the state and federal rules and regulations that apply to CTEP construction projects.

The local government and their consultant are responsible for conducting the bidding process, awarding the construction contract, and managing the construction. During the construction phase of the project, the CTEP Liaison should:

- Attend the pre-bid conference (if scheduled by local government)
 - Ensure that an attendance list is kept if the pre-bid conference is mandatory
- Attend the pre-construction conference
 - Ensure that Title VI Civil Rights issues are addressed at the pre-construction conference (per the CTEP Civil Preconstruction Agenda located in the MDT CTEP Manual, Chapter 8, Exhibit 8-3).
 - Call attention to the “Buy America” provisions and requirements as contained in the contract documents and in the CTEP Special Provisions.
 - Review/discuss the Contractor’s proposed construction schedule (Contractor is required to have a schedule at the pre-construction conference).
- Make periodic visits to the construction site
 - Ensure that the Contractor has a job bulletin board or other means of making appropriate information available to workers. The job bulletin board must meet FHWA requirements per the following website: <http://www.fhwa.dot.gov/programadmin/contracts/poster.cfm>
 - Review the work progress in terms of project schedule and conformance to the plans and specifications.
 - Keep a record or diary of the site visits with notes of any project-related discussion with the owner and/or contractor. Include photo documentation as appropriate.
- Periodically review the owner/engineer construction records and documentation to include
 - Materials certifications per specifications.
 - Buy America certification, either in the form of manufacturer’s certifications or MDT construction form F406 (See Exhibit #4).
 - Materials testing procedures, results, and follow-up, particularly in regard to resolution of failed tests or acceptance of non-compliant materials.
 - Project inspector’s logs or diaries.
- Review and approve/disapprove local government progress and final reimbursement requests

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- Ensure that the owner/engineer has measured and documented the pay items and is not relying solely on the contractor's claim.
- Forward the approved pay requests to the CTEP Section Project Engineer for payment.
- Review project Change Orders prior to Owner approval
 - Verify the need for the change order and compliance with the project scope of work. Advise Owner if Change Order work is not within scope of work (not eligible for CTEP funding).
 - Verify that the owner/engineer has developed and documented an independent cost estimate for the Change Order and has negotiated the agreed upon prices and time extensions for the work.
 - Notify the CTEP Section Project Engineer of approved Change Orders.
- Monitor contract time assessments and work suspensions
 - Verify that the owner/engineer is tracking work progress per working days or completion date as specified in the contract documents.
 - Verify that work suspensions, weather delays, additional work days granted by the Owner, and winter shutdown dates are documented via Work Directive or Change Order as appropriate.
 - Verify that liquidated damages are assessed and documented per the construction contract.
- Provide guidance or interpretation of state and federal requirements as necessary to the local or tribal project managers.

VIII. CONSTRUCTION CLOSE-OUT

As the project construction nears completion, the Liaison should contact the local government in regard to any outstanding issues or “punch list” items that must be completed prior to acceptance of the project. When the project is complete, the Liaison should review and approve pending reimbursement requests, and facilitate the project Certificate of Completion process as described in the MDT CTEP Manual, Chapter 8, Section 8.2.10.

It is important that the Liaison stay involved in the project close-out through the issuance of the Certificate of Completion to avoid a prolonged close-out period. Activities during the project close-out may include:

- Insuring that the project is completed in reasonable conformance with the approved plans and specifications including any approved change orders.
- Accompanying the project owner, consultant engineer/inspector, and the contractor on the final project inspection to verify the work, including completion of any “punch list” items.
- Review and approval of final construction reimbursement requests, including supporting documentation for measurement and payment.
- Review of the local government project file for inclusion of all required documentation and correspondence relative to the project. Review the Project File Checklist with the local project administrator (see list of Exhibits).

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- Assisting with the CTEP Certificate of Completion process, including signing and forwarding the document to the CTEP Section Project Engineer.

IX. CIVIL RIGHTS TITLE VI PROJECT REVIEWS

The MDT Civil Rights Bureau will conduct Title VI reviews each year on selected CTEP projects. The MDT Civil Rights Title VI coordinator will set up meetings with the local government project sponsor to review their project files for Title VI compliance.

Although attendance is not mandatory, the District CTEP Liaison will usually be invited to attend the Title VI review to provide assistance and relevant information to the MDT Title VI reviewer.

X. AMERICANS WITH DISABILITIES ACT (ADA)

All CTEP projects must conform to the requirements of ADA. While it is the primary responsibility of the project owner (local and tribal governments) and their design consultants to include proper ADA features in the project plans and specifications, the CTEP District Liaisons should also be reviewing the project plans and monitoring the project construction for ADA compliance. Although not providing project inspection, it is reasonable for the CTEP Liaison to observe the placement of concrete forms, paving machine set-up, materials (tactile warning devices, etc.), and other ADA-related items for compliance (or non-compliance) and alert the project owner (local government) or representative (engineer) of potential non-compliance. The goal is to achieve ADA compliance throughout the project, and experience has shown that attention to ADA details at the very start of construction provides the best results.

XI. FEDERAL HIGHWAYS (FHWA) COMPLIANCE REVIEWS

Federal Highways (FHWA) will conduct compliance reviews each year on selected CTEP projects to ensure that MDT and local government agencies comply with provisions in the CTEP Manual and operate in accordance with Federal laws, regulations and policies. The compliance reviews will be initiated by FHWA and the CTEP Section. Project files will be reviewed both in Helena and at the sponsoring local government agency offices. If appropriate, a project site visit will also be made by the FHWA compliance reviewer. The FHWA compliance reviews will be coordinated by the CTEP Project Engineer. The District CTEP Liaison will normally be invited to attend the local government compliance review and site visit to provide assistance and relevant information to the FHWA reviewer and CTEP Project Engineer.

XII. BUY AMERICA PROVISIONS

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By law, American-made steel and iron products must be used in all federal transportation projects, including CTEP projects. Again, it is the primary responsibility of the project owners (local and tribal governments) and their consultants to insure compliance with Buy America provisions. The “Domestic Materials” section of the CTEP Special Provisions, which are included in all CTEP project documents, explain the Buy America provisions. The District Liaison should point out these provisions at the project pre-bid and pre-construction meetings. Also, if on site during construction, the Liaison should check iron and/or steel products for obvious non-compliances, such as stamps or labels indicating foreign origin or manufacture. It is also appropriate to remind the project owner (local government) and its representative (engineer) that proper certifications of iron and steel products are to be furnished by the contractor or supplier prior to installing or incorporating the product into the project. Federal (CTEP) funds will be withheld if foreign made iron and steel products are permanently installed, so it is important to avoid this situation.

XIII. TIME SHEET CHARGES:

District Liaisons may charge time spent working on CTEP projects to a CTEP annual federal program. The annual program is based on the federal fiscal year, and the charge numbers will change with the start of a new federal fiscal year. The CTEP Section will notify the Liaisons when the project charge numbers change. For the current FFY 2012 (through September 30, 2012), time should be charged as follows:

Account Number:	9402
Activity Number:	200
Class Number:	10
Project (UPN):	03031
Agreement Num:	118

NOTE: District Liaisons should **never** charge time to the individual CTEP projects.

XIV. CTEP Manual and Forms

The CTEP Manual and many of the forms relation to CTEP Projects can be found on the MDT CTEP Website at <http://www.mdt.mt.gov/business/ctep/>

A bound hard copy CTEP Manual can also be obtained from the CTEP Section. Please call the CTEP office in Helena at (406) 444-4221.

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XV. List of Exhibits:

- #1 – CTEP Project Data Sheet
- #2 – District CTEP Proposal Review
- #3 – Buy America Form (MDT Construction Form F406)
- #4 - Local Government Project File Checklist

CTEP Project Data Sheet

UPN/Unit: 7688000
Project Number:
Name: SIDEWALKS II- FT. BENTON
Functional Class:
Category: Pedestrian and bicycle facilities

Status: Candidate
Project Manager: INMAN-PHILLIP
County: CHOUTEAU

Entity: Fort Benton

Contact: Steinmetz, Krystal
 Title: Planner
 Phone: 265-9226

Project Scope of Work

Removal, design and replacement of approx 3,500 sq ft of deteriorated sidewalk to include ADA features.

Project Location

The west side of Front Street between 12-13th St in Ft. Benton.

Project Flow Detail

The local agency will engage a project engineer for preliminary engineering, contract bid document preparation and construction engineering. Construction will be by competitive bid. The state will perform a final inspection to ensure substantial compliance with project plans, specifications and estimates.

Obligations by Phase

Phase	Fund Source	Total	Federal	State	Local	Other	Additional Contribution
PE (9102)	STPE (86.58/13.42)	\$2,834.00	\$2,453.68	\$0.00	\$380.32	\$0.00	\$0.00
CE (9402)	STPE (86.58/13.42)	\$1,519.00	\$1,315.15	\$0.00	\$203.85	\$0.00	\$0.00
CN (9502)	STPE (86.58/13.42)	\$36,274.00	\$31,406.03	\$0.00	\$4,867.97	\$0.00	\$0.00
Total		\$40,627.00	\$35,174.86	\$0.00	\$5,452.14	\$0.00	\$0.00

Comments

DISTRICT CTEP PROPOSAL REVIEW REPORT

THIS REVIEW FORM IS TO DOCUMENT DISTRICT CONCERNS REGARDING THE FOLLOWING:

1. Scope of Work: adequate comments attached
2. Cost Estimate: adequate comments attached
3. District Preliminary Field Review:
not required required comments attached
4. District recommendations for the development of the plans, specifications and cost/quantity Estimates and the extent of district involvement in their development and review:
No District review required
District to review final drafts
District to participate in the development
Comments attached
5. District Prebid Conference recommendation:
not required required comments attached
6. District Preconstruction Conference recommendation:
not required required comments attached
7. District participation in contract administration and construction monitoring:
District to visit local agency prior to construction and for a final inspection.
District to visit local agency prior to construction, at least weekly and for a final inspection.
District to visit local agency prior to construction, continuously during construction and perform a final inspection.
Comments attached.
8. Are there any environmental or other concerns you may have regarding the development of this proposed enhancement project?
None
Comments attached

Reviewers signature: _____ Date: _____

Project Name: **UPN 6451 Olive Drive Sidewalks-Colstrip**

File Number: **16.322.02**

DISTRICT CTEP REPRESENTATIVE? _____

Print

**CONTRACTOR'S CERTIFICATE OF COMPLIANCE
FOR MISCELLANEOUS STEEL & IRON ITEMS**
For Compliance with the "Buy America" Provision
23 CFR 635.410

Federal-aid Project No. _____ MDT Project No. _____

Project Name _____

The _____
(Name of Manufacturer/Supplier) (Address) (City,State) (Phone)

has furnished to _____
(Name of Contractor) (Address) (City,State) (Phone)

the following materials for use in the construction of the above referenced project.

Bid Item No.	Product Description	Quantity *	Unit LF, YD2, m, m3, etc.	Heat Number	Category 1 or 2

Submit all required documentation with this form. See Documentation Instructions for general guidance on "Buy America" documentation.

Contractor's Statement of Certification

Domestic Material. I hereby certify that all manufacturing processes, including application of coating, occurred in the United States for the above listed materials and that those materials do meet all other requirements as set forth in the plans and specifications.

Non-Domestic Material. I hereby certify that the above listed materials do meet the requirements as set forth in the plans and specifications with the exception that all or part of the manufacturing process may have occurred outside the United States. The material is considered non-domestic. The cost of this material, including delivery to the project, is _ _____.

By _____ Title _____
(Prime Contractor's Name, Typed or Printed)

_____ Date _____
(Prime Contractor's Signature)

Number of Item pages attached _____

CONTRACTOR'S CERTIFICATE OF COMPLIANCE FOR MISCELLANEOUS STEEL & IRON ITEMS

For Compliance with the "Buy America" Provision
23 CFR 635.410

Documentation Instructions

For Buy America documentation, steel items are divided into 2 categories. A general guide is given below. The category of an item may vary on a case-by-case basis depending on the quantity and usage. The Project Manager determines the category of an item.

Category 1

- Bridge Beams
- Plate Girders
- Piling (Most Items)
- Diaphragms
- Drilled Shaft Casing
- Fluted Steel Piling
- Frang. Sign Post Bkwy.
- Guard Angles
- Guardrail (Most items)
- Guardrail Posts (T-101, etc.)
- Impact Attenuators
- Luminaire Standards and Lighting
- Pedestrian Stairway
- Reinforcing Steel
- Sign Posts and Bases (Most Items)
- SSPP (Struc.Stl. Plate Pipe)
- Traffic Signals and Supports
- Welded Wire (Most Items)
- Wire Rope (Most Items)

Category 2

- Barbwire
- Butterfly Valves
- Cattleguard & Wing Ends
- Conduit-Steel
- CSP (Corrugated Steel Pipe)
- Delineator Posts
- Ductile Iron Pipe
- Fencing (Most Items)
- Gate Valves
- Ice Breakers
- Irrigation Canal Gate
- Trash Guard
- Smooth Wire
- Stock Tank
- Water Service Line-Steel
- Miscellaneous Nuts, Bolts, etc.

Some items, like reinforcing steel, will be in different categories for different uses. In major items such as bridges, it should be considered Category 1.

The required Buy America documentation varies for these categories.

Category 1 requires this form, Mill Test Reports and documentation on all other steps in the process.

Category 2 requires this form and material test reports and certifications.

For non-domestic material, documentation of the cost of the material including delivery to the project is also required.

Only list actual quantities delivered to the job site.

For **category 1**: Only one heat number is to be entered per line and if one item has multiple heat numbers only use this form for one item and put the total at the bottom of this form.

Exhibit 4

LOCAL GOVERNMENT CTEP PROJECT FILE CHECKLIST

Project Application

- Signed project application form (Long form or EZ form)
- Public involvement documentation (Newspaper ads, Commission/Council minutes)
- MDT CTEP letter of project approval

Project Agreement / Notice to Proceed

- Signed project agreement (PSA) and all amendments
- MDT CTEP letter giving notice to proceed with project activities

Consultant Selection (when applicable)

- Copy of advertisement for Request for Proposal / Statement of Qualifications
- Documents used for consultant selection
- Signed copy of the Consultant Services Agreement (CSA)
- MDT CTEP letter of approval for consultant selection/agreement

Environmental Documentation

- Signed copy of the Designation of Environmental Certifying Official form letter
- Signed copy of the Categorical Exclusion group “c” or “d” letter, including environmental checklist

Right-of-Way Documentation (when applicable)

- Signed copy of Appraisal Services contract (if applicable)
- Property Appraisal documents
- Waiver documents
- Landowner purchase/relocation agreements
- Signed copy of MDT Encroachment or Enhancement permits

Utilities Documentation (when applicable)

- Signed agreement with Utility
- Documentation for payments made to Utility

Preliminary Engineering

- Signed/stamped copy of final project Plans and Specifications
- Engineers estimate for cost of project work
- Engineering reports, investigations, testing documentation

Bid Letting

- Copy of bid letting advertisement
- Minutes from bid opening
- Notice of Award to Contractor
- MDT CTEP letter of bid award concurrence

Construction

- Complete set of signed contract documents
- Pre-construction meeting minutes
- Contractor's construction schedule
- Materials Certifications
- Testing/results/follow-up
- Buy America documentation
- Copies of signed Work Directives or Change Orders
- Inspection reports or inspector's logs

Financial

- Original consultant and/or contractor invoices
- Records of payments made to consultants and/or contractors
- Copies of reimbursements requests made to MDT CTEP
- Records of payments received from MDT CTEP

Civil Rights

- Certified payrolls
- Contractors DBE certification