



# RW AND CN CHECKLISTS FOR UCI LOCALITIES

Ensuring Successful RW and CN Submissions

 Michael S. Fulcher – Staunton District Program Manager

June 27, 2019

# RW and CN Checklists for UCI Localities

- **Why Important?**
- **History/Background (UCI Workgroup)**
  - **Incorporate UCI into LAP Manual**
  - **Completeness Review Checklist**
- **Moving Forward**

# RW Submission Requirements

- **Why Needed?**
- **What is required in “Normal” Submission?**
- **What is required in UCI Submission?**
- **UCI Certification Form for RW -- Appendix 12.5A**
- **Completeness Checklist for RW**
- **PM/PC Responsibilities**
- **Questions?**

# RW Submission Requirements

- **Why Needed?**
  - **Ensure compliance with required processes**
  - **FHWA Phase Authorization!!**
    - Phase must be authorized prior to any costs being incurred for that phase
    - If work occurred prior to authorization... **NOT** eligible for reimbursement
    - This includes private utility relocation identified to be project cost

# RW Submission Requirements

- **What is required in “Normal” Submission? (12.5.6)**
  - **Right of Way Plan Package**
    - Right of Way Data Sheet
    - Right of Way Plan Sheet(s)
    - Project Title Sheet for Right of Way Authorization signed by Locality Responsible Person and VDOT signature block
  - **Current Estimate**
    - Including Utility Relocation broken out by Utility Owner
    - Use Alternate RW & Utility PCES Spreadsheet
    - Number of parcels must match RW Data Sheet number
  - **PM-130 and RW-301**

# RW Submission Requirements

- **What is required in UCI Submission? (12.5.6 – Special Program Requirements – UCI)**
  - **Complete Set of RW Plans (Not signed by VDOT)**
  - **Current Estimate**
  - **RW Phase Project Certification Letter**
  - **Differences.....?**
    - No PM-130 submission required
    - No VDOT signatures on Title Sheet
    - Should there be more.....?

# RW Submission Requirements

- **UCI Certification Form for RW -- Appendix 12.5A**
  - **Project Description**
  - **PAA Reference**
  - **NEPA, Public Involvement, Design Statements**
  - **Certification Form acts as a Checklist**



# RW Submission Requirements

- **Completeness Checklist for RW**
  - **Should be released soon. Still finalizing to ensure consistency and no contradictions. Still in Workgroup.**

	<b>Required Submittal</b>
	Current Engineer's Estimate including a utilities cost estimate, broken down by utility company (dated within the last 90 days)
	Complete set of Right of Way Plans (Road Design Manual – Chapter 2F)
	Completed and Signed RW-301/EQ-121
	Performed final QA/QC on plans prior to submittal to VDOT Authorization
	Project Title Sheet for Right of Authorization signed by the person of responsible charge from the locality

- **Could be another useful tool**

# RW Submission Requirements

- **PM/PC Responsibilities**
  - **PM responsibilities is to submit the complete RW package**
  - **PC responsibilities**
    - Ensure comments from previous plan reviews have been adequately addressed
    - Request/Perform Funding Verification based on current estimate
    - Request Federal Authorization first, once received then...
    - Request NTP from RW division. This comes after RW-300 Memo is distributed
- **Questions?**

# CN Submission Requirements

- **Why Needed?**
- **What is required in “Normal” Submission?**
- **What is required in UCI Submission?**
- **UCI Certification Form for CN -- Appendix 12.5B**
- **Completeness Checklist for CN**
- **PM/PC Responsibilities**
- **Questions?**

# CN Submission Requirements

- **Why Needed?**
  - **Ensure compliance with required processes**
    - DBE Goal Setting
    - Appropriate and latest Federal Special Provision inclusion (CR, EEO, Wage Rates, etc.)
  - **FHWA Phase Authorization!!**
    - Federal Authorization must be received prior to advertisement
    - Phase must be authorized prior to any costs being incurred for that phase
    - If work occurred prior to authorization... **NOT** eligible for reimbursement

# CN Submission Requirements

- **What is required in “Normal” Submission? (12.5.7 & 12.6.7)**
  - **Construction Plan Package (12.5.7)**
    - Complete Plans with Project Title Sheet for Advertisement Authorization signed by Locality Responsible Person and VDOT signature block and sealed by PE
    - PS&E Submission
  - **Plans Specifications and Estimate (PS&E) Submission (12.6.7)**
    - PS&E Submittal Form with Certification of Documents form (LAP402A)
    - RW Certification Letter
    - Environmental Certification (EQ-103) and Reevaluation (EQ-200) from VDOT\*
    - Current Estimate and complete set of Bid Documents\*
      - \* (These items require work ahead of time to produce such as T&E and DBE)
    - Evidence of Public Hearing or Willingness (or Waiver)
    - Smart Scale Certification Statement

# CN Submission Requirements

- **What is required in UCI Submission? (12.5.7 – Special Program Requirements – UCI – 12.6.7 refers to same)**
  - **Complete Set of Signed CN Plans (Not signed by VDOT)**
  - **Current Estimate**
  - **CN Phase Project Certification Letter**
    - Includes RW Certification statement
    - EQ-103 referenced in the letter to be provided
    - Public Involvement and Design commitments/certification
    - Complete Bid Documents
  - **Differences.....?**
    - No VDOT signatures on Title Sheet
    - No demonstration of Public Involvement
    - Should there be more.....?

# CN Submission Requirements

- **UCI Certification Form for CN -- Appendix 12.5B**
  - **Project Description**
  - **PAA Reference**
  - **NEPA statement and EQ-103 attachment referenced**
    - No reference made to EQ-200
  - **Public Involvement, Design Statements**
  - **Reference to plans, bid documents and other checklists referenced**
  - **Certification Form acts as a Checklist**

# CN Submission Requirements

- **Completeness Checklist for CN**
  - **Should be released soon. Still finalizing to ensure consistency and no contradictions. Still in Workgroup.**

	<b>Required Submittal</b>
	RW Certification
	Threatened and Endangered Species List (dated within 6 months of the advertisement date)
	Current Engineer's Estimate, including CEI, VDOT Oversight, City Administrative Costs, and Contingency (dated within the last 90 days)
	Complete Set of Plans
	Performed Final QA/QC on Plans Prior to Submittal to VDOT Authorization
	Project Title Sheet for Construction Authorization Signed by the Person of Responsible Charge

- **Could be another useful tool, but missing PS&E elements**



# CN Submission Requirements

- **PM/PC Responsibilities**
  - **PM responsibilities is to submit the complete CN package**
  - **PC responsibilities**
    - Ensure comments from previous plan reviews have been adequately addressed
    - Review Bid documents and ensure previously requested and set DBE Goal is included
    - Request RW Certification from RW Division
    - Request/Perform Funding Verification based on current estimate
    - Request Federal Authorization from CN Division
      - Ensure comments and correspondence from CN Division is passed along
- **Questions?**