**Letters to MaineDOT:**

**Federally Funded Project**

***Note:***

***Documents are current as of February 2020***

***NOTE:*** *This should be put on letterhead and signed by the manager or highest ranking official*

Michael Laberge, Local Projects Coordinator

Maine Department of Transportation

Bureau of Project Development, Multimodal Program

16 State House Station

Augusta, ME 04333-0016

**Subject: Local Project Administration Request**

MaineDOT WIN:      ; Description:

Dear Mr. Laberge:

The Municipality of       is interested in administering a federal-aid project consisting of      . I have enclosed information about the Municipality’s qualifications, including our experience in delivering projects of similar size and scope, and our ability to manage and track federal funds.

*If a person with Local Project Administration certification will manage the project, use this:*

      is the full-time employee of the Municipality who would serve as Local Project Administrator for this project.      ’s Local Project Administration certification is valid through      .

*If a person without Local Project Administration certification will manage the project, use this:*

      is the full-time employee of the Municipality who we are proposing to serve as the Local Project Administrator for this project. This person is not currently certified in Local Project Administration but would be willing to take the next training program. Please let us know when the program is offered.

If MaineDOT concludes that the Municipality is adequately staffed and suitably equipped to undertake this project, please contact me to discuss the details of the project and the requirements for local administration.

I understand that, if approved, the Municipality will be responsible for meeting all federal and state requirements, as described in the latest edition of the MaineDOT Local Project Administration Manual & Resource Guide.

Sincerely,

Enclosure

     , Project Manager

Maine Department of Transportation

Bureau of Project Development, Multimodal Program

16 State House Station

Augusta, ME 04333-0016

**Subject: Project Kickoff,       project**

MaineDOT WIN

Dear      :

The Municipality of       requests your attendance at the kickoff meeting for the subject project on       at      .

Attached is the proposed scope of work, budget and schedule. If you need additional information, please let me know.

We understand that we cannot start work eligible for reimbursement until we take these steps:

1. Hold the kickoff meeting;
2. Execute a Locally Administered Project Agreement with MaineDOT; and
3. Receive notice to proceed from MaineDOT.

We look forward to seeing you at the meeting.

Sincerely,

     , Local Project Administrator

Enclosures: Project scope, budget and schedule

     , Local Projects Coordinator

Maine Department of Transportation

Bureau of Project Development, Multimodal Program

16 State House Station

Augusta, ME 04333-0016

**Subject: Local Project Agreement Execution Request**

MaineDOT WIN

Dear      :

Enclosed is one signed and dated copy of the Locally Administered Project Agreement for       by the Municipality of      .

We understand that MaineDOT cannot reimburse us for project design or right-of-way costs until MaineDOT executes this Agreement and issues us a “Notice to Proceed.”

Please arrange for the agreement to be executed as soon as possible.

Sincerely,

     , Local Project Administrator

Enclosure: Executed agreement

***INSTRUCTIONS:*** *This must be submitted on letterhead with all requested documentation.*

     , Project Manager

Maine Department of Transportation

Bureau of Project Development, Multimodal Program

16 State House Station

Augusta, ME 04333-0016

**Subject: Request for Reimbursement,**       **Project**

MaineDOT WIN      ; Contract #:

Dear      :

The Municipality of       requests reimbursement of MaineDOT’s share of costs incurred for       work on the subject project for the service period of       to      , in accordance with the project agreement with MaineDOT.

Total costs for the period are      . MaineDOT’s      % share is $     , and payment is requested within 30 days of acceptance of this invoice. Project costs during the period include a local share of      %, or $     , which is not from contributions from other federally assisted projects or programs.

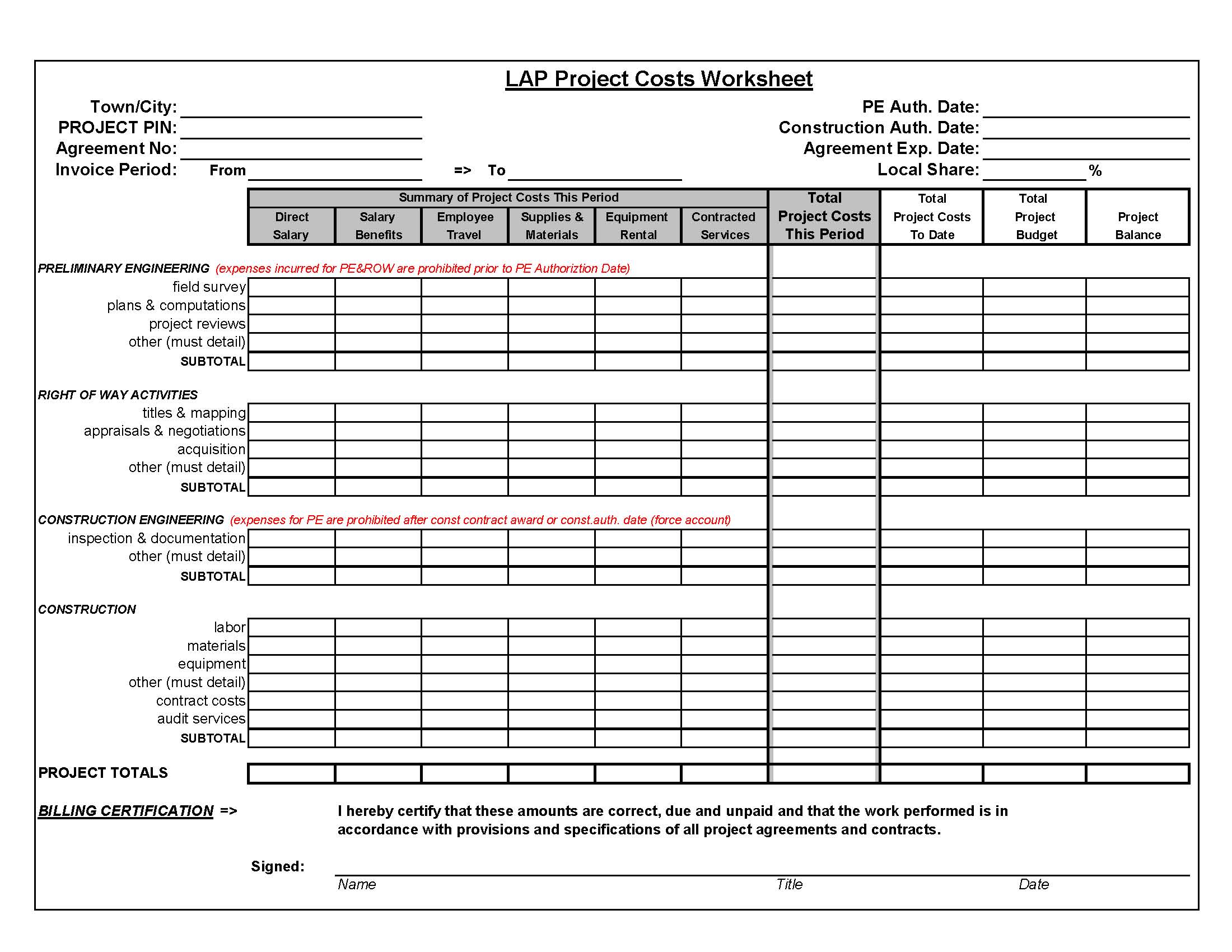
I also have enclosed the items listed below to document that this invoice accurately represents work completed during the service period:

* A completed project costs worksheet with expenditures for the service period and to date;
* A progress report describing the work performed during the service period; and
* Copies of invoices received and checks issued.

*By signing this invoice, I certify to the best of my knowledge and belief that the information provided herein is true, complete, and accurate, and the expenditures, disbursements, and cash receipts are for the purposes and objectives set forth in the terms and conditions of the federal funding award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812.)*

Sincerely,

     , Local Project Administrator



     , Project Manager

Maine Department of Transportation

Bureau of Project Development, Multimodal Program

16 State House Station

Augusta, ME 04333-0016

**Subject: Simplified Acquisition Request,**       **project**

MaineDOT WIN

Dear      :

The Municipality of       is requesting approval to seek a proposal for engineering services for      from      , which is pre-qualified by MaineDOT in the service category of      .

Since the cost is estimated to be $25,000 or less – based on our Independent Estimate (enclosed) – we request approval to use Simplified Acquisition, allowing us to solicit a proposal from one consultant pre-qualified by MaineDOT to perform the service. Our draft request for proposals is attached for your review.

We understand that MaineDOT cannot participate financially in contract costs exceeding $25,000, since Simplified Acquisition will be used, and that we must use a separate process to solicit additional consultant services (if required).

Please review the submitted materials and notify us if we are approved to solicit a proposal and subsequently to negotiate a contract with this firm. We understand that we cannot award a contract without your approval.

Sincerely,

Local Project Administrator

Enclosure: Independent estimate

     , Project Manager

Maine Department of Transportation

Bureau of Project Development, Multimodal Program

16 State House Station

Augusta, ME 04333-0016

**Subject: RFP Review Request,**       **project**

MaineDOT WIN

Dear      :

The Municipality of       intends to solicit proposals for consultant engineering services for      . Attached is the request for proposals that we intend to use for this solicitation.

*If estimated price is $25,000 to $250,000, use the following language:*

Based on our Independent Estimate of the cost of the proposed services (enclosed), we understand that we may select potential consultants from a pool of 3 to 5 pre-qualified firms. We intend to send the RFP to the following consultants on the MaineDOT pre-qualification listing for      :



*If estimated price is $250,000 or greater, use the following language:*

Based on our Independent Estimate of the cost of the proposed services (enclosed), we understand that we must use a publicly advertised solicitation in accordance with the federal Brooks Act. We intend to advertise the RFP on       as follows:

Sincerely,

     , Local Project Administrator

Enclosure: Draft RFP

     , Project Manager

Maine Department of Transportation

Bureau of Project Development, Multimodal Program

16 State House Station

Augusta, ME 04333-0016

**Subject: Consultant Selection Approval Request,**       **Project**

MaineDOT WIN

Dear      :

The Municipality of       has selected the consultant firm of       for      work on the subject project. Attached for your review is the negotiated contract, price proposal and our independent estimate. We understand that we cannot award this contract without your approval.

We have verified that our selected consultant is not debarred or otherwise prohibited from working on federally funded contracts. We have attached documentation verifying this, in the form of a screen shot from the federal SAM database: [www.sam.gov](http://www.sam.gov).

Please review these documents as soon as possible and inform me of your decision so that we may execute a contract with this firm. We understand that no work eligible for reimbursement may begin until we execute the contract upon MaineDOT’s approval and give our selected consultant notice to proceed.

Sincerely,

     , Local Project Administrator

Enclosures:

1. Draft contract
2. Independent estimate

     , Project Manager

Maine Department of Transportation

Bureau of Project Development, Multimodal Program

16 State House Station

Augusta, ME 04333-0016

**Subject: Preliminary Design Report (PDR) Submittal**

MaineDOT WIN      ,       project

Dear      :

Attached for MaineDOT review is the Preliminary Design Report for      in the Municipality of      **.** With this letter, the Municipality hereby affirms its commitment to move forward with the project.

***If there are design exceptions:***

The following design exceptions were approved by MaineDOT on      and are noted on the plans:

***If there are no design exceptions:***

This project will not require exceptions to controlling standards for project design.

If you would like to visit the project site, please notify me and I will make the arrangements. Please let me know if you need additional information.

Sincerely,

     , Local Project Administrator

Enclosure: Draft Preliminary Design Report

     , Project Manager

Maine Department of Transportation

Bureau of Project Development, Multimodal Program

16 State House Station

Augusta, ME 04333-0016

**Subject: Plan Impacts Submittal**

MaineDOT WIN      , project

Dear      :

Attached for MaineDOT’s review are the Design Plan Impacts for     ,located in the Municipality of      . With this letter, the Municipality hereby reaffirms its commitment to move forward with the project.

The plans show all impacts to utilities and abutting properties, as well as cross-sections with proposed limits of slopes and new construction. These plans meet standards specified in the MaineDOT Right of Way Manual (August 2018), Table 2-3, “Design Plan Impacts Complete,” found on page 2-6(9).

If you would like to visit the project site, please notify me and I will make the arrangements. Please let me know if you need additional information.

Sincerely,

     , Local Project Administrator

Enclosure: Design Plan Impacts

***INSTRUCTIONS****: This must be submitted on letterhead to MaineDOT with Communication 11.*

     , Project Manager

Maine Department of Transportation

Bureau of Project Development, Multimodal Program

16 State House Station

Augusta, ME 04333-0016

**Subject: Public Process Certification,**       **Project**

MaineDOT WIN

Dear      :

The Municipality of       hereby certifies that a public process was carried out for the       project in accordance with Title 23 in the Code of Federal Regulations, Part 771.111, “Early coordination, public involvement, and project development.”

DESCRIBE ANY PUBLIC OPPOSITION HERE, IF APPLICABLE.

I have attached for your information the following:

* A copy of the notification that was sent to abutters by registered mail;
* A copy of the meeting notice;
* A copy of the sign-in sheet; and
* Meeting minutes / hearing transcript.

DESCRIBE ANY PUBLIC OPPOSITION HERE, IF APPLICABLE.

If you need any additional information, please let me know.

Sincerely,

     , Local Project Administrator

Enclosures

***INSTRUCTIONS****: This letter and the checklist on the next page should be provided to MaineDOT’s Environmental Office when the Preliminary Design Report is approved.*

     , Project Manager

Maine Department of Transportation

Bureau of Project Development, Multimodal Program

16 State House Station

Augusta, ME 04333-0016

**Subject: National Environmental Policy Act (NEPA) Documentation**

MaineDOT WIN      :       project

Dear      :

Attached is the required NEPA documentation checklist for the       project in the Municipality of      .

Also attached is Communication 10, certifying that the Municipality carried out a public process in accordance with 23 CFR part 771.111.

If you need additional information, please let me know.

Sincerely,

     , Local Project Administrator

Enclosures:

* NEPA documentation checklist
* Public process certification (Communication 10)

**NEPA DOCUMENTATION**

**For the Maine Department of Transportation, Federally Funded Projects**

Project Title & Location:

Federal Project #:       MaineDOT WIN:

Description of Work:

MaineDOT Project Manager:

**Answer the following questions and attach supporting documentation as requested. If there is a “yes” response, explain on a separate sheet or contact your MaineDOT Project Manager for guidance.**

**1.)** **Public Involvement:** Is there substantial public opposition to proposed action? Yes  No

*The answer should become apparent at a public meeting.*

**Documentation**: Approved capital plan; meeting records; letters from the public; board meeting minutes; or Communication 10 (Public Process).

**2.)** **Right-of-Way:** Does action include a residential or commercial displacement Yes  No

or acquisition of property rights that will result in substantial abutter impacts?

*For help with “substantial,” contact your Project Manager at MaineDOT.*

**Documentation:** Design Plan Impacts Complete for the project

**3.)** **Endangered Species & Essential Fish Habitat:**

a. Has a qualified person surveyed the project area for streams, rivers, Yes  No

coastal waters, wetlands, and vernal pools?

b. Were streams, rivers, coastal waters / wetlands, freshwater wetlands, Yes  No

or vernal pools identified?

c. Is any work proposed in or adjacent to a stream, river or coastal waters? Yes  No

d. Does the project require clearing trees or trimming limbs 3” or greater in diameter? Yes  No

**Documentation:** Resource delineation and plans with location of resource and work planned. If in-water work is proposed, project will be screened by the MaineDOT Environmental Office for intersection with habitat for endangered species and critical fish. Additional coordination with the Environmental Office will be required if the project is in one of these areas and includes in-water work or involves clearing.

**4.)** **Section 4(f) or 6(f):**

a. Does project area include or abut resources protected by Section 4(f) of the Yes  No

Department of Transportation Act: publicly owned land, parks, recreation areas,

wildlife and waterfowl refuges, or historic sites?

b. Will project require temporary or permanent rights on any protected 4(f) resource? Yes  No

**Documentation:** Existing and proposed right-of-way plan, and a description of how impacts to these properties were avoided and minimized.

Signed by: Date:

***INSTRUCTIONS****: This must be submitted on letterhead with the PS&E package for a project.*

     , Project Manager

Maine Department of Transportation

Bureau of Project Development, Multimodal Program

16 State House Station

Augusta, ME 04333-0016

**Subject: Environmental Certification,**       **Project**

MaineDOT WIN

Dear      :

***If permits were required, use this paragraph:***

The Municipality of       hereby certifies that it has obtained all environmental permits and approvals for the subject project, satisfying a pre-construction requirement in the executed project agreement with MaineDOT. Attached are copies of the permits, which are required for MaineDOT to complete the Environmental Summary Sheet for the contract package.

***If NO permits were required, use this paragraph:***

The Municipality of       hereby certifies that no environmental permits were needed for the subject project. This certification satisfies one of the pre-construction requirements in the executed project agreement with MaineDOT. *NOTE: If no permits were required, please briefly explain.*

Sincerely,

     , Local Project Administrator

Cc: MaineDOT Environmental Office

***INSTRUCTIONS****: This must be submitted on letterhead with the PS&E package.*

     , Project Manager

Maine Department of Transportation

Bureau of Project Development, Multimodal Program

16 State House Station

Augusta, ME 04333-0016

**Subject: Utility Certification, MaineDOT WIN**

Dear      :

The Municipality of       hereby certifies that all utility and railroad work necessitated by the subject project has been identified and coordinated with the respective parties. All arrangements have been made for utility work to be undertaken and completed as required for proper coordination with the construction schedule, in accordance with Title 23 in the Code of Federal Regulations, Part 645, “Utilities,” Subpart A and Subpart B.

Based on 23 CFR 635.309(b), the Municipality further certifies that either all railroad work has been completed or that all arrangements have been made for such work to be undertaken and completed as required for proper coordination with the construction schedule, in accordance with 23 CFR 140 Subpart I and 23 CFR 646 Subpart B.

The utilities/railroads listed below have been identified as having facilities within the project limits:

**Utility/Railroad Impacted facilities? (yes/no)**

All of the entities listed above were first informed of the project on      **,** were involved as necessary throughout design, and received the latest plans on     . Furthermore, the above entities have been informed of the proposed advertising date:      . There are no direct payments anticipated to utilities/railroads as a part of this project.

The primary utility/railroad contacts involved in the coordination of this project are as follows:

**Utility/Railroad Contact Name Telephone #**

Sincerely,

     , Local Project Administrator

***INSTRUCTIONS****: If a local agency acquired rights or otherwise carried out the right-of-way process, this letter must be signed by the agency’s highest-ranking administrative officer and submitted to MaineDOT with the final PS&E package.*

[DATE]

[NAME], Project Manager

Maine Department of Transportation

Bureau of Project Development, Multimodal Program

16 State House Station

Augusta, ME 04333-0016

**Subject: Right-of-Way Certification, Federal Project**

MaineDOT WIN:

Dear [NAME]:

***If right-of-way was acquired, use this statement:***

The Municipality of [NAME] hereby certifies that:

1. The Municipality has acquired all rights-of-way necessary for construction and maintenance of [DESCRIPTION AND LOCATION], and the Municipality has legal and physical possession of those rights;
2. The acquisition was performed in accordance with Title III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, “Uniform Real Property Acquisition Policy”; and
3. No acquisition required compliance with Title II of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, “Uniform Relocation Assistance.”

***If NO right of way was required, delete the text above and use this statement:***

The Municipality of [NAME] hereby certifies that no right-of-way acquisition was necessary for construction and maintenance of the subject project. All work will occur within the exiting right-of-way, as documented in the final design plans stamped by the Engineer of Record.

All information about the right-of-way process can be made available upon request. If you need additional information, please let me know.

Sincerely,

Highest-ranking administrative officer

***NOTE:*** *THIS MUST BE SUBMITTED WITH THE FINAL PS&E PACKAGE.*

     , Project Manager

Maine Department of Transportation

Bureau of Project Development, Multimodal Program

16 State House Station

Augusta, ME 04333-0016

**Subject: Construction Authorization Request, Federal Project**

MaineDOT WIN

Dear      :

Attached for your review, comment and approval are the final plans, specifications and estimate (PS&E) for       in the Municipality of      . The latest estimate for the project is      , and the Municipality has approved its       percent matching share of this amount. With this letter, the Municipality reaffirms its commitment to moving forward with the project.

Also attached are the following certifications:

* Communication 12, environment;
* Communication 13, utilities; and
* Communication 14, right of way *(if municipality acquired rights).*

The Municipality hopes to advertise for construction services on      , but we understand that we cannot put the project out to bid without MaineDOT’s written approval.

We further acknowledge that construction authorization will be contingent upon:

1. The Municipality addressing to MaineDOT’s satisfaction any final comments on the PS&E package; and
2. MaineDOT obtaining authorization for the construction stage of the project from the Federal Highway Administration.

Sincerely,

     , Local Project Administrator

Enclosure: Draft PS&E package

     , Project Manager

Maine Department of Transportation

Bureau of Project Development, Multimodal Program

16 State House Station

Augusta, ME 04333-0016

**Subject: Contract Award Request, Federal Project**

MaineDOT WIN

Dear      :

Attached for your review are the bid tabulations, engineer’s estimate and completed Contractor DBE Utilization Form for       in the Municipality of      .       is the apparent successful bidder. We request authorization to award the project to that contractor.

In making this request, we acknowledge that we cannot send out the Notice of Intent to Award without written authorization from MaineDOT.

If you need additional information, please let me know.

Sincerely,

     , Local Project Administrator

Enclosures:

1. Bid tabulations

2. Cost estimate

3. Contractor DBE Utilization Form

     , Project Manager

Maine Department of Transportation

Bureau of Project Development, Multimodal Program

16 State House Station

Augusta, ME 04333-0016

**Subject: Pre-Construction / Pre-Utility Meeting**

MaineDOT WIN

Dear      :

The Municipality of       requests your attendance at the pre-construction / pre-utility meeting for       on       at      . I have attached an agenda for your convenience.

If you need additional information, please let me know.

Sincerely,

     , Local Project Administrator

Cc:      , Construction Manager, MaineDOT Multimodal Program

**AGENDA ITEMS FOR PRE-CONSTRUCTION MEETING**

**(Federally Funded Project)**

1. Introductions
2. Review Scope of Project
   1. Acknowledge Amendments
   2. Completion Date
   3. Liquidated Damages
3. Permits Obtained (if required)
4. Construction Safety
   1. Primary consideration during construction
   2. Emergency contact list including 24 hour contacts
   3. Contractor safety plan to be provided
   4. Traffic Control Plan (TCP) must be reviewed and approved by Maine DOT
5. Schedule for the completion of work to be provided
   1. Are there utility issues?
   2. Update schedule as required
   3. Daily construction activities to be recorded
   4. Town must pay contractor first, then request reimbursement on a monthly basis
6. Labor Requirements
   1. Davis-Bacon wage rates apply to prime and all subs if project has federal money
   2. Certified payrolls with classifications to be submitted & reviewed in Elations
   3. Payroll labor interviews
   4. DBE participation & CUF form
7. Construction Control
   1. Minimum Testing Requirements
   2. Subcontract Approval *(FHWA-1273 must be inserted in all subcontracts)*
   3. Measurement & documentation of materials used for payment purposes
   4. Engineering oversight of activities
   5. Manufacturer’s certification for materials
   6. Soil Erosion and Water Pollution Plan (SEWPCP)
   7. Quality control plans, mix design submittals, pre-pave meeting
   8. Buy America: steel/iron product certifications
8. Communications
   1. Requests for Information (RFIs)
   2. Change Orders require MaineDOT review; must include detailed description of scope change, independent cost estimate & time
   3. Notification of anticipated issues, claims or disputes

Jen Paul, Construction Manager

Maine Department of Transportation

Bureau of Project Development, Multimodal Program

16 State House Station

Augusta, ME 04333-0016

**Subject: Contract Modification Request**

MaineDOT WIN

Dear      :

Attached for your review is proposed Contract Modification #     . The proposed change will consist of      .

An independent estimate of the cost of the additional work is attached. This modification will add       to the original contract.

*(****Note:*** *The amount of time required by the modification must be noted. If there is no change in the schedule, then state “0 days” or indicate that the modification will not change the amount of time associated with the contract.)*

If you need additional information, please let me know.

Sincerely,

     , Local Project Administrator

Cc: Project Manager, MaineDOT Multimodal Program

|  |  |
| --- | --- |
| **PROJECT DESCRIPTION:** |  |
| **CONTRACT MOD. NO.:** |  |
| **PROJECT/WIN:** |  |
| **TOWN/RR/COMPANY:** |  |
| **DATE ISSUED:** |  |

To:      **!Unexpected End of Formula**, you are hereby notified, the following work is to be accomplished in accordance with the provisions of your Contract. The work will not be considered authorized for payment without the required signatures. Payment will be made as described.

*(By signing this Order the Contractor agrees that all issues, including time, relating to the described work are satisfactorily resolved by this Order. No other compensation will be sought or made.)*

DESCRIPTION:

|  |
| --- |
|  |

REASON:

|  |
| --- |
|  |

COST:

|  |
| --- |
|  |

Amount of this Order: $

|  |  |
| --- | --- |
| Original Contract Amount | $ |
| Total Cost of this Contract Modification | $ |
| Total Cost of all Contract Modifications Including this Mod | $ |
| Percentage of Contract for this Mod | % |
| Total Percentage of Contract including all Mods | % |
| Total Contract Amount Including this Mod | $ |

|  |  |
| --- | --- |
| Additional Days Added (This Mod): | New Completion Date: |

|  |  |  |
| --- | --- | --- |
| **TITLE:** | **SIGNATURE:** | **DATE:** |
| Resident or Inspector |  |  |
| Contractor |  |  |
| Municipality/Railroad/Company |  |  |
| DOT Project Manager (if applicable) |  |  |

Jen Paul, Construction Manager

Maine Department of Transportation

Bureau of Project Development, Multimodal Program

16 State House Station

Augusta, ME 04333-0016

**Subject: Final Inspection,** MaineDOT WIN

Dear      :

Your attendance is requested at the final inspection for      project in the Municipality of       on      at      . At the time, we can also make available all documentation and testing results for the project.

If you need additional information, please let me know.

Sincerely,

     , Local Project Administrator

Cc: Project Manager, MaineDOT Multimodal Program

***INSTRUCTIONS:*** *This must be submitted on letterhead with all requested documentation.*

     , Project Manager

Maine Department of Transportation

Bureau of Project Development, Multimodal Program

16 State House Station

Augusta, ME 04333-0016

**Subject: Final Invoice and Notification of Completion of Work**

MaineDOT WIN      ; Contract #

This Municipality of       certifies that the contractor has completed all work on the subject project in accordance with the construction contract and approved modifications, and that:

* The Municipality has accepted the work;
* All quantities were measured in accordance with the contract;
* Final quantities have been reconciled and agreed to by the contractor;
* The Municipality has all required supporting documentation for the final quantities;
* There are no outstanding claims or disputes associated with the project; and
* All fees and contract balances have been paid, including expenses from preliminary engineering, right-of-way, construction, inspection, and construction engineering.

Attached is the final invoice for the project requesting reimbursement of $      as MaineDOT’s      % share of expenditures for the service period,      . Attached is the documentation necessary to support this request, including copies of invoices received and checks issued. I understand that the Municipality’s      % share of MaineDOT’s internal charges to the project will be reconciled and deducted from this final invoice.

Also attached is a copy of the federally required consultant evaluation for the project.

*By signing this invoice, I certify to the best of my knowledge and belief that the information provided is true, complete, and accurate, and the expenditures, disbursements, and cash receipts are for the purposes and objectives set forth in the terms and conditions of the federal funding award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812.)*

Sincerely,

     , Local Project Administrator

Enclosure: Final billing