



**FULL FHWA OVERSIGHT  
REVIEW CHECKLIST - (Page 1 of 10)  
90%, 100% or PS&E (circle one)  
CONNECTICUT DIVISION OFFICE**

*Include all Comments and clarifications in the 'Remarks' section at the end of this Checklist.  
Include in the 'Follow-Up Items' section below any issue(s) which requires close-out by FHWA.*

**1. GENERAL PROJECT INFORMATION**

**State Project # (Design):** \_\_\_\_\_ ; **Related State Project #:** \_\_\_\_\_

**Project Title:** \_\_\_\_\_

**Project Description:** \_\_\_\_\_

**Project Location/Town(s):** \_\_\_\_\_ **Project Length:** \_\_\_\_\_

**Project Route(s) (& Classifications):** \_\_\_\_\_

**Oversight Determination:** Fed  State  Local  **Date of Determination:** \_\_\_\_\_

(Per Stewardship Agreement) – If not Federal Oversight or Recovery Act, STOP – Review generally not required

**Does current Project Description agree with the original PE Authorization:** Yes  No

**Anticipated Advertising Date (ADV):** \_\_\_\_\_

**Federal Funding Program(s) (for Construction):** \_\_\_\_\_

**Is construction project eligible for the type(s) of federal funding utilized:** Yes  No

Are project limits identified on the PS&E for different types of funding used: Yes  No

**Materials Submitted for Review:** (Provide date, titles, and other descriptive information)

- Plans  \_\_\_\_\_;
- Specifications  \_\_\_\_\_;
- Cost Estimate  \_\_\_\_\_;
- Design Report  \_\_\_\_\_;
- \_\_\_\_\_  \_\_\_\_\_;
- \_\_\_\_\_  \_\_\_\_\_;

**FOLLOW-UP ITEMS:** (Provide brief list of issues/items to be tracked by FHWA for follow-up verification)

Empty box for follow-up items.



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**2. ENVIRONMENTAL REVIEW**

**NEPA Document Status:** CE  (Auto / Prog. / Indiv.) **Date of Determination:** \_\_\_\_\_

EA  **Date of FONSI:** \_\_\_\_\_

EIS  **Date of ROD:** \_\_\_\_\_

**Are proposed improvements consistent with NEPA documents:** Yes  No  NA   
(23CFR771.129(c))

**For EIS, is a re-evaluation needed: (3-year limit):** (23CFR771.129(b)) Yes  No  NA

**Have all stipulations in Section 106 MOA been complied with:** Yes  No  NA

**Required permit mitigation(s) completed and/or included in project:** Yes  No  NA   
(23CFR635.309(j))

**Indicate all Permits/Approvals Required:** Are Permits complete: Yes  No  NA   
(See Environmental Engineer for Assistance)

Permit / Approval	Date Approved	Permit/ Approval Valid	Mitigation / Commitments Addressed	Comments
<i>DEP - 401 WQC (sent to ACOE)</i>		Y / N	Y / N	
<i>DEP - Flood Management Cert</i>		Y / N	Y / N	
<i>DEP - Inland/Wetland</i>		Y / N	Y / N	
<i>DEP – Str. Chnl Encr. Line (SCEL)</i>		Y / N	Y / N	
<i>DEP - Water Diversion Per.</i>		Y / N	Y / N	
<i>USACOE - PGP I or II or Indiv</i>		Y / N	Y / N	
<i>USCG - Bridge Permit</i>		Y / N	Y / N	
<i>NPDES – Storm Water Discharge</i>		Y / N	Y / N	
<i>OLISP - TW / SD</i>		Y / N	Y / N	
<i>OLISP - CAM Review (consultation)</i>		Y / N	Y / N	
<i>Section 4(f)</i>		Y / N	Y / N	
<i>Section 106 - MOA</i>		Y / N	Y / N	
<i>FEMA Flood (CLOMR)</i>		Y / N	Y / N	
<i>USFWS Sec. 7 (consultation)</i>		Y / N	Y / N	



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**Air Quality:**

**Is an individual project level conformity determination required:** Yes  No

(See Item #7 'Air Quality' on ConnDOT's completed Environmental Review Form)

If 'Yes': Provide date of *latest* project level conformity determination: \_\_\_\_\_; and

Confirm project level conformity determination is valid (typ. 3-years): Yes  No  NA   
(See Environmental Engineer for assessment on whether a re-determination is required)

**Noise:**

**Project Type:** (23CFR772) (Type I)  (Type II)  NA

**Noise Analysis Performed: Date of Analysis:** \_\_\_\_\_ Yes  No  NA

- Are there Traffic Noise Impacts: Yes  No
- Are Noise Walls included in Project: Yes  No

**Public Involvement:**

**Has a Public Information Meeting (PIM) been conducted:** Date: \_\_\_\_\_ Yes  No

If project scope or proposed construction dates have changed significantly since the PIM, an additional PIM should be held. **Additional PIM necessary:** Date: \_\_\_\_\_ Yes  No

**Public Hearing** (23CFR711.111(h)): Date Held: \_\_\_\_\_; Opportunity given  None needed

Has transcript of the Public Hearing w/ Cert. & Report been provided: Yes  No  NA   
(per 23USC120(b))

**3. REQUIRED EFFORTS FOR SIGNIFICANT AND/OR MAJOR PROJECTS**

**Value Engineering Study required:** Final Report Memo Date: \_\_\_\_\_ Yes  No   
(For Bridge projects > \$20 million; NHS Hwy projects > \$25 million); (23CFR627)

**Have the accepted VE recommendations been incorporated:** Yes  No  NA

**Traffic Management Plan (TMP) required:** Yes  No   
(See ConnDOT Memo dated 8/6/2007); (23CFR630.1010)

**TMP Reviewed and Approved by FHWA:** Date Approved: \_\_\_\_\_ Yes  No  NA

**Financial Plan required:** (for Projects > \$100million); (23USC106(h) & (i)) Yes  No

**Initial Financial Plan approved by FHWA:** Date: \_\_\_\_\_ Yes  No  NA   
(Initial Financial Plan must be approved prior to Authorization for construction)

**Financial Plan annual update accepted by FHWA:** Date: \_\_\_\_\_ Yes  No  NA

**Project Management Plan required:** (for Projects > \$500million); (23USC106(h)) Yes  No

**Project Management Plan accepted by FHWA:** Dated: \_\_\_\_\_ Yes  No  NA   
(PMP should be final 90 days following CE/FONSI/ROD)



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**4. RIGHT-OF-WAY (ROW)** (23CFR710 & 49CFR24)

**Is ROW acquisition required for this project:** Yes  No  NA

Federal-aid Project # for ROW Phase: \_\_\_\_\_

**Are ROW, Easements & Rights limits adequate for construction:** Yes  No  NA

**5. UTILITIES, RAILROADS, AIRPORTS, & COAST GUARD**

Will **Utility** facilities be affected by this project Yes  No  NA

Has coordination been progressed with the affected Utilities as necessary: Yes  No  NA

Will **Railroad** facilities be affected by this project Yes  No  NA

Has coordination been progressed with the affected **Railroad** as necessary: Yes  No  NA

Has **Railroad** Liability Insurance been included (23CFR646.107): Yes  No  NA

(Section 1.03.07(5) in ConnDOT Form 816)

Is the project located within 2 miles of an **Airport**: (23CFR620.103) Yes  No  NA

If 'Yes', has the project been coordinated with the FAA Yes  No  NA

If the project is in/near a navigatable waterway, has coordination with the **Coast Guard** occurred (re: navigation lights, channel impacts, etc.) Yes  No  NA

**6. PLAN / DESIGN REVIEW**

**Design Exceptions**

**Indicate the Project Scope of Work this project is classified as:**

New Construction: ; 4R Freeways: ; Pavement Resurfacing/Reclamation: ;

3R (Non-Freeway): ; Spot Improvements: ; Major Reconstruction (Non-Freeway):

**Does the project's design adhere to the 13 Controlling Criteria:** Yes  No  NA

(See ConnDOT HDM 6-6.0 & AASHTO's Policy on Design Standards Interstate System)

**Are Design Exceptions adequately identified:** (See ConnDOT HDM 6-6.02) Yes  No  NA

**Have the Design Exceptions been reviewed and approved:** Yes  No  NA

(See ConnDOT HDM 6-6.04);

Date of Design Exception Approval: \_\_\_\_\_

**Revisions to the Interstate System**

**Does the project involve *Revisions* to the Interstate System:** Yes  No

(See 'Policy and Procedures for New or Revised Interstate Access Approval' – May 2009 for further definition of what qualifies as a 'Revision' to the Interstate System, and thus requires Access Approval from FHWA)

'Concept Approval' provided by: FHWA HQ ; FHWA CT ; NA ; Date: \_\_\_\_\_

'Access Approval' provided by: FHWA HQ ; FHWA CT ; NA ; Date: \_\_\_\_\_



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**Design Approval**

**Design Approval Date:** \_\_\_\_\_ ; **FHWA Concurrence Date:** \_\_\_\_\_

**Has FHWA previously commented on project:** Date of Comments: Yes  No

Have the previous comments been addressed: Yes  No  NA

**General Design Review** - (See Page 10 of Checklist for additional design review guidance)

**Do design documents provide sufficient detail to construct project:** Yes  No  NA

**Has a Safety Analysis/Field Review been conducted and documented:** Yes  No  NA

The following detailed questions are from various FHWA Process Reviews and are asked to minimize cost overruns and construction conflicts on all Federal-aid projects:

- Is the traffic control adequate for construction staging: Yes  No  NA
- Does the contract allow the contractor reasonable access to the work zone and provide an adequate work area: Yes  No  NA
- Are proposed utilities shown on the cross sections: Yes  No  NA
- Are quantities for hazardous and contaminated soils estimated: Yes  No  NA
- Are clear zones and safety appurtenances in accordance with the latest edition of AASHTO's Roadside Design Guide: Yes  No  NA
- Are appropriate accommodations provided for bicyclists and pedestrians along the project and at intersecting roadways: (23CFR652) Yes  No  NA
- Are pedestrian facilities designed in accordance with the Americans with Disabilities Act (ADA) requirements: (<http://www.access-board.gov/>) Yes  No  NA
- Are all ROW, easements and non-access lines shown on the plans: Yes  No  NA
- Are the project safety improvements commensurate with level of work proposed (23CFR625.2(c)): Yes  No  NA

**Additional Reviews:** Unique project design elements should be reviewed by FHWA engineers from appropriate fields. (Include all comments in the 'Remarks' and/or 'Follow-Up Items' sections as appropriate)

- Safety Engineer \_\_\_\_\_ ;  ROW Officer \_\_\_\_\_ ;
- Materials Engineer \_\_\_\_\_ ;  Design Engineer \_\_\_\_\_ ;
- ITS Engineer \_\_\_\_\_ ;  Structural Engineer \_\_\_\_\_ ;
- Construction Engineer \_\_\_\_\_ ;  Major Project Leader \_\_\_\_\_ ;
- Environmental Engineer \_\_\_\_\_ ;  Civil Rights Specialist \_\_\_\_\_ ;

**List Field Visits by FHWA Division Office:** (Review any Field Notes available)

**Attendees:** \_\_\_\_\_ ; **Date:** \_\_\_\_\_

**Attendees:** \_\_\_\_\_ ; **Date:** \_\_\_\_\_

**7. SPECIFICATIONS REVIEW**



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**Specifications** – Is ConnDOT’s Form 816 included by appropriate reference: Yes  No

Are the latest Supplemental Specifications incorporated: Date: \_\_\_\_\_ Yes  No  NA

**Do the project special provisions adhere to the following conditions:** Yes  No  NA

- Includes a general but complete description of the work to be performed under each item.
- Includes Description, Materials, Construction Methods, Method of Measurement and Basis of Payment sections for each item.
- The unit noted in ‘Basis of Payment’ matches the ‘unit’ listed in the quantities summary.
- References to any proprietary item include adequate alternates and/or ‘approved equals’ unless a public interest finding has been made.

**If contract has Guaranty & Warranty clauses, has FHWA approved:** Yes  No  NA   
(23CFR635.413) *Guaranty and Warranty restriction apply only to NHS contracts.*

**Salvaged Items: Has salvage item value been credited back to project** Yes  No  NA

**Public Interest Findings** (Note: If past approval has not been granted, approval of the PS&E will constitute FHWA approval. Appropriate documentation must be attached)

**If required, confirm FHWA issued cost effective/public interest finding for the following:**

- **Any Proprietary Products included in project:** (23CFR635.411) Yes  No   
Provide date(s) of FHWA’s public interest finding letter(s): \_\_\_\_\_
- **Any materials to be supplied by State/Local Agencies** (23CFR635.407) Yes  No   
Provide date(s) of FHWA’s public interest finding letter(s): \_\_\_\_\_
- **Project to be awarded by non-competitive bidding:** (23CFR635.309(e)) Yes  No   
Provide date(s) of FHWA’s public interest finding letter(s): \_\_\_\_\_
- **Projects with State or Local force account work:** (23CFR635.204) Yes  No   
Provide date(s) of FHWA’s public interest finding letter(s): \_\_\_\_\_

**8. ESTIMATED CONSTRUCTION COSTS**

**Estimated Construction Cost:** \$ \_\_\_\_\_ **Dated:** \_\_\_\_\_

**Estimated Mid-Year of Construction:** \_\_\_\_\_

**Does Estimate include a pay item for all work included in the plans:** Yes  No

**Confirm costs for the following items are reasonably estimated:**

Inflation: ; RR Force Account: ; Incidental: ; Contingency: ;  
Maintenance and Protection of Traffic: ; Mobilization: ; Utilities Force Account:

**Are Unit Prices and Quantities reasonable:** (spot check significant items) Yes  No  NA

**Non-Participating quantities properly identified on plans & estimate:** Yes  No  NA

**Is the Utility participation % accurate (fed/state/utility shares):** Yes  No  NA

**9. COMPLETE THIS CHECKLIST PAGE ONLY FOR: ‘100%’ & ‘PS&E’ SUBMISSIONS**



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**Confirm ConnDOT's 'Certification Checklist' has been fully completed and has been approved by ConnDOT's Engineering Administrator**

Yes  No

**STIP DATA:** (23CFR450.216 & 450.220)

Construction Project included in current STIP: STIP Year: \_\_\_\_\_ Yes  No

Project Description & Estimated Construction Cost consistent with the STIP: Yes  No

Is this an Advanced Construction Project: Yes  No

**RIGHT-OF-WAY (ROW)** (23CFR710 & 49CFR24)

**Has ConnDOT provided Rights of Way Certificate indicating:** (Per 23CFR635.309(b),(c),(h))

- All ROW clearance has been completed or that all necessary arrangements have been made to complete as required for construction: Yes  No  NA
- All individuals/families have been relocated: (Title II) Yes  No  NA
- Steps relative to relocation advisory assistance & payments as required have been taken or that they are not required: (Title II) Yes  No  NA

**If ROW has not been acquired/ cleared, confirm the following:**

- FHWA has approved waiver to obligate funds & advertise project w/out cleared ROW: Yes  No  NA
- ConnDOT submitted a 'dirty' Rights of Way Certificate: Yes  No  NA
- ConnDOT will not Award project until all ROW is cleared: Yes  No  NA

*(Include note in 'Follow-Up Items' section that a Notice indicating all 'ROW activities are complete' is required from ConnDOT prior to providing Concurrence in Award.)*

**UTILITIES & RAILROADS**

- Have the required signed **utility** agreements or certificates been executed: *(FHWA should have all agreements in file to confirm)* Yes  No  NA
- If required **utility** agreements have not yet been executed, include a note in project files that "Utility agreements shall be executed prior to Concurrence in Award."
- Has an agreement been signed between the **Railroad** & ConnDOT (23CFR646.216(d)): Date: \_\_\_\_\_ Yes  No  NA
- Has ConnDOT provided a Statement indicating the following: (23CFR635.309(b)) "All **utility** and **railroad** work has been completed or that all necessary arrangements have been made to complete as required for construction": Yes  No  NA
- If **utility** and **railroad** work has not been completed, do the Special Provisions contain notifications identifying the work to be underway concurrently with the construction:  
**Utility Work:** Yes  No  NA ; **Railroad Work:** Yes  No  NA



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**10. COMPLETE THIS CHECKLIST PAGE ONLY FOR: 'PS&E' SUBMISSIONS**

**Confirm ConnDOT's Bureau Chief has approved the PS&E (Memorandum)** Yes  No

**CONTRACT & SPECIFICATIONS:** *The required Contract Provisions listed should all be included and the contract package should not conflict or change the intent of these provisions:*

**Package includes required Contract Provisions (FHWA-1273):** (23CFR633) Yes  No

1. General
2. Nondiscrimination
3. Non-segregated Facilities
4. Payment of Predetermined Minimum Wage
5. Statements and Payrolls
6. Record of Materials, Supplies, and Labor
7. Subletting or Assigning the Contract
8. Safety: Accident Prevention
9. False Statements Concerning Highway Projects
10. Implementation of Clean Air Act and Federal Water Pollution Control Act
11. Certification Regarding Debarment, Suspension Ineligibility, and Voluntary Exclusion
12. Certification Regarding Use of Contract Funds for Lobbying

**Are current Davis-Bacon Wage Rates included:** (23CFR635.309(f)) Yes  No

**Are the following required Contract Provisions included and/or intact:** Yes  No

- Buy America (23CFR635.410); (Section 1.06.01 in ConnDOT Form 816)
- Changed Conditions Clause (23CFR635.109)
  - Differing Site Conditions Clause (Section 1.04.04 in ConnDOT Form 816)
  - Significant Changes in the Character of Work (Section 1.04.03 in ConnDOT Form 816)
  - Suspensions of Work Ordered by Engineer (Section 1.08.06 in ConnDOT Form 816)

**Determine if the following EO/EEO provisions are included:** *(For each project, confirm status with the Civil Rights Specialist when this section is completed)*

On-the-Job Training (23CFR230); # of hours: \_\_\_\_\_; Specification: Yes  No  NA

Disadvantaged Business Enterprise (DBE) (23CFR2300, 23CFR230); DBE Goal (%): \_\_\_\_\_

Work Force Utilization – Confirmed with Civil Rights Specialist: Yes  No  NA

**CONTRACT TIME** (23CFR635.121)

Are contract times & winter shutdowns clearly defined & reasonable: Yes  No  NA

If liquidated damage rates are included, are the amounts reasonable: Yes  No  NA   
(23CFR635.127)

Is an Incentive/Disincentive (I/D) clause included: (23CFR635.127(d)) Yes  No  NA

Is the I/D clause warranted and has the rate been calculated: Yes  No  NA

Are differences between I/D times and Contract Time clearly defined: Yes  No  NA



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**11. REMARKS SECTION:**

Provide detailed comments or explanatory notes here. If supplemental documentation (calcs, pictures, meeting notes, comments summary, etc.) are necessary, reference those documents here and attach them to this Checklist.

File all submitted materials in Project Library along with this completed Checklist (file all comments/checklist under **Subject #509**). Following review of next submission and resolution of comments, discard previous submission materials. Retain all Checklists until final project closeout.

**Design Review:** Consider the following list of typical project plan sheets and issues during the review. Ensure



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all issues are adequately addressed in the proposed design package. *(Place all comments in the Remarks section or attach supplemental review notes, calculations, etc):*

- **Title Sheet:** includes project title, project location, project limits, project length, index of sheets, project scale(s), Federal Aid project numbers, design data (ADT, Design Speed, and roadway functional classification), and reference to Standard & Supplemental Specifications.
- **General Notes/Project Legend:** This information may also be on the Title Sheet.
- **Schedule of Quantities:** listing of all pay items, units of measurement, and quantities. Quantities should be broken down between participating and non-participating quantities (if applicable). Perform limited cross comparison of these quantities with the Engineers Estimate and Specifications.
- **Typical Sections:** confirm appropriate materials, lane/shoulder widths, pavement designs, sideslope treatments, superelevation application
- **Alignment Layout and Geometric Controls Plan:** check alignment geometrics, confirm geometrics agree b/t roadway and bridge plans; ensure adequate survey control points
- **Detail Sheets:** review for appropriate use of standards, potential proprietary products, adequate details provided for pavements, drainage & sedimentation/Erosion control; ADA compliant design features.
- **Plans & Profiles:** confirm project limits agree w/ Title Sheet and all improvement are w/in project limits, project funding limits should be noted clearly on plans, impacts to adjoining features are addressed; weaving areas; clear zones and other safety features; guiderail/barrier layout; limits of cut/fill slopes; vertical clearance at all structures; pedestrian accommodations and ADA compliance.
- **Drainage & Utility Plans:** ensure existing utilities and proposed utility improvements are identified; conflicts between various utilities suitably addressed; utility relocations correlate with utility agreements in place or anticipated.
- **Sedimentation & Erosion Control Plans:** confirm suitable measures in place; details provided are adequate for plan layout.
- **Signing and Pavement Marking Plans:** confirm conformance to MUTCD; no promotional signs proposed. (23CFR635.309(n)); (23CFR655.603); adequate passing, stopping and decision sight distances
- **Maintenance and Protection of Traffic:** Includes protection of construction work zone; signing conforms to MUTCD; temporary access needs and temporary work zone protections are included in the plans, quantities, & specifications. (23CFR630.1010(a)(2)); maintenance and protection of traffic scheme appropriate for traffic levels;
- **Traffic Control Signal Plans:** Appropriate pedestrian and bicycle accommodations provided throughout project, including intersections ((23CFR652) & 2-24-1999 FHWA HQ Memorandum)
- **Rights-of-Way:** confirm adequate ROW, Easements and Access Control obtained and indicated on plans
- **Structural Plans:** confirm layout matches remaining plan sheet layouts; clearances and protection to structures is sufficient; all proposed structural improvements addressed (culverts, retaining walls, etc.)
- **Cross Sections:** confirm general layout of improvements depicted, slope limits and grades; confirm utilities are depicted; utilities plotted based on known test pit data; ROW information depicted accurately
- Mapping of, and impacts to, environmental resources (wetlands, historic, waterbodies, 4(f) properties, floodzones, etc.) shown on appropriate relevant plans and details
- Confirm the project design considers and addresses any accident history within project limits as appropriate