

WEST VIRGINIA  
SECRETARY OF STATE  
KEN HECHLER  
ADMINISTRATIVE LAW DIVISION

FILED

MAY 2 12 12 PM '94

OFFICE OF WEST VIRGINIA  
SECRETARY OF STATE

Form #2

NOTICE OF A COMMENT PERIOD ON A PROPOSED RULE

AGENCY: Dept. of Transportation, Div. Highways TITLE NUMBER: 157

RULE TYPE: Procedural; CITE AUTHORITY §17-2A-4b & 17-2A-8

AMENDMENT TO AN EXISTING RULE: YES  NO

IF YES, SERIES NUMBER OF RULE BEING AMENDED: I

TITLE OF RULE BEING AMENDED: Regulations Pertaining to  
Particular Functions of the Commissioner of Highways

IF NO, SERIES NUMBER OF NEW RULE BEING PROPOSED: \_\_\_\_\_

TITLE OF RULE BEING PROPOSED: \_\_\_\_\_

IN LIEU OF A PUBLIC HEARING, A COMMENT PERIOD HAS BEEN ESTABLISHED DURING WHICH ANY INTERESTED PERSON MAY SEND COMMENTS CONCERNING THESE PROPOSED RULES. THIS COMMENT PERIOD WILL END ON June 10, 1994 AT 12:00 P.M. ONLY WRITTEN COMMENTS WILL BE ACCEPTED AND ARE TO BE MAILED TO THE FOLLOWING ADDRESS.

Mr. Norman Roush  
WV Division of Highways  
Building 5, Room A-122  
1900 Kanawha Boulevard, East  
Charleston, WV 25305-0430

THE ISSUES TO BE HEARD SHALL BE LIMITED TO THIS PROPOSED RULE.



Fred VanKirk

Deputy Sec. & State Highway Engineer/Commissioner

ATTACH A **BRIEF** SUMMARY OF YOUR PROPOSAL

12.80



WEST VIRGINIA  
DEPARTMENT OF TRANSPORTATION

1900 Kanawha Boulevard East • Building Five • Room 109  
Charleston, West Virginia 25305-0440 • 304/558-0444

Gaston Caperton  
Governor

Charles L. Miller, P.E.  
Secretary

April 29, 1994

Honorable Ken Hechler  
Secretary of State  
State Capitol Building  
Charleston, West Virginia 25305

Dear Secretary Hechler:

Proposed Amendments to  
Procedural Rules and  
Notice of Comment Period  
Division of Highways, Series I

OFFICE OF WEST VIRGINIA  
SECRETARY OF STATE

MAY 2 12 12 PM '94

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The attached information is being submitted by the Commissioner of Highways with my consent and agreement in accordance with the provisions of Chapter 5G, Article 1 of the State Code. These proposed amendments address changes in Highways' "Procurement Procedures for Negotiated Contracts."

Sincerely,

Charles L. Miller, P.E.  
Secretary

CLM:Bc  
Attachment

Division of Highways, Series I  
Regulations Pertaining to Particular Functions of  
the Commissioner of Highways  
Proposed Amendments to Procedural Rules  
Filed April 29, 1994

SUMMARY OF PROPOSED RULE:

Series I addresses several functions of the Commissioner of Highways and prescribes the procedures by which those functions are conducted. Series I includes the procedures for: the Commissioner's Orders; public hearings; scholarships for prospective Highways' employees; the location, relocation, classification, reclassification, incorporation and abandonment of State roads; and, procurement procedures for negotiated contracts.

STATEMENT OF CIRCUMSTANCES:

This amendment of an existing procedural rule is being filed to acknowledge the West Virginia Division of Highways' adoption of the "Alternate Procedures" provisions of 23 CFR 172.15. The "Alternate Procedures" grant the Division full review and approval authority for all actions in the consultant process from establishing the need for consultant services through the selection, negotiation and contract approval for federally funded projects. However, the Federal Highway Administration remains involved in any action brought under the "Protest Procedures" as well as the process of settlement of contractual/administrative contracts which are federally funded.

The revisions to Section 8 of these rules address the changes resulting from the West Virginia Division of Highways' adoption of "Alternate Procedures" and the Federal Highway Administration's approval of this adoption. Other revisions to this rule reflect editorial changes only.

FISCAL NOTE FOR PROPOSED RULES

Rule Title: Series I, Regulations Pertaining to Particular Functions  
of the Commissioner of Highways  
 Type of Rule: Legislative Interpretive  Procedural  
 Agency Division of Highways Address Building 5, 1900 Kanawha Boulevard, East,  
Charleston, West Virginia 25305-0430

1. Effect of Proposed Rule	ANNUAL		FISCAL YEAR		
	Increase	Decrease	Current	Next	Thereafter
Personal Services	0.00	0.00			
Current Expense	0.00	0.00			
Repairs & Alterations	0.00	0.00			
Equipment	0.00	0.00			
Other	0.00	0.00			
Estimated Total Cost	0.00	0.00	0.00	0.00	0.00

2. Explanation of above estimates:

These rule changes do not impact any annual or fiscal year costs.

3. Objectives of this rule:

This amendment of an existing procedural rule is being filed to acknowledge the West Virginia Division of Highways' adoption of the "Alternate Procedures" provisions of 23 CFR 172.15. The "Alternate Procedures" grant the Division full review and approval authority for all actions in the consultant process from establishing the need for consultant services through the selection, negotiation and contract approval for federally funded projects. However, the Federal Highway Administration remains involved in any action brought under the "Protest Procedures" as well as the process of settlement of contractual/administrative contracts which are federally funded.

The revisions to Section 8 of these rules address the changes resulting from the West Virginia Division of Highways' adoption of "Alternate Procedures" and the Federal Highway Administration's approval of this adoption. Other revisions to this rule reflect editorial changes only.

4. Explanation of Overall Economic Impact of Proposed Rule.

A. Economic Impact on State Government

No economic impact.

B. Economic Impact on Political Subdivisions; Specific Industries; Specific groups of citizens:

No economic impact.

C. Economic Impact on Citizens/Public at Large.

No economic impact.

5. Contact Person and Telephone Number.

Mr. Norman Roush  
Phone - 558-2804

Date April 29, 1994



Fred Van Kirk  
Fred VanKirk  
Deputy Secretary &  
State Highway Engineer/Commissioner

FILING OF PROCEDURAL RULE  
BY THE  
DEPARTMENT OF TRANSPORTATION  
DIVISION OF HIGHWAYS

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WEST VIRGINIA PROCEDURAL RULES

DEPARTMENT OF TRANSPORTATION  
COMMISSIONER OF DIVISION OF HIGHWAYS

MAY 2 12 12 PM '94

OFFICE OF WEST VIRGINIA  
SECRETARY OF STATE

TITLE 157

SERIES I

Title: Regulations Pertaining to Particular Functions of the  
Commissioner of Highways

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Section 1 General

1.1 Scope. -- These ~~is~~ procedural rules ~~and regulations~~ ~~appertain to~~ addresses particular functions of the office of the Commissioner of Highways and ~~are~~ is submitted pursuant to the provisions of ~~Chapter 29A, Article 3, Section 3 of the Code West Virginia Code §29A-3-3.~~

1.2 Authority. -- These rules and regulations are issued pursuant to authority granted to the Commissioner by West Virginia Code, ~~Chapter 17, Article 2A, Sections 4b and 8 §17-2A-4b & 8.~~

1.3 Filing Date. --

1.4 Effective Date. --

Section 2 Commissioner's Orders

2.1 Purpose. -- The purpose of this section is to establish a system by which all orders of the Commissioner of Highways may be permanently recorded and maintained in such manner that they will be conveniently accessible to interested persons.

2.2 Scope of Commissioner's Order. -- The orders of the Commissioner of Highways are official determinations or decisions which relate to the internal management and organization of the Division of Highways, or to a specific person or group of persons, or to the public in general.

2.3 Commissioner's Order Book. -- The Commissioner of Highways shall maintain in his office a record of all orders issued by him, which record shall be designated as the Commissioner of Highways' Order Book. All orders issued by the Commissioner during each day shall be entered therein, and all such orders so entered shall be indexed and cross-indexed so as

to afford a method of ready and convenient access to each such order issued by the Commissioner.

2.4 Effective Date. -- Each order of the Commissioner of Highways filed in the Commissioner's Order Book as provided in the preceding section, shall become effective immediately upon filing, unless some provision of law or some statement as to the effective date of such decision is stated in the order itself.

2.5 Copies of Commissioner's Orders; Distribution. -- The Commissioner of Highways shall provide a certified copy of any Commissioner's Order to any person who is directly affected by any such order and who requests a copy thereof. In addition to any person requesting a copy of such order, the Commissioner may furnish copies to any governmental agency or to such other persons, firms or organizations as he may deem suitable or proper in order to provide the most effective notice of the order.

### Section 3 Hearing Procedures

3.1 Purpose. -- The purpose of this section is to provide standards of conduct for all hearings by and before the Commissioner of Highways.

3.2 Scope. -- These rules shall apply to all hearings which may be held by the Commissioner of Highways, whether the same be initiated by the Commissioner or by any citizen, it being the intent hereof that these rules shall be applicable whenever, by any action of the Commissioner of Highways, the rights of any citizen will be adversely and directly affected and it is proper that such citizen have due notice and an opportunity to be heard thereon.

These rules shall also apply to the conduct of all hearings on claims asserted against the Division of Highways, other than claims heard and determined by the Court of Claims. These rules shall not apply to hearings and public meetings held by the Commissioner for purposes of acquiring information, making findings and determining courses of action and procedure relative to the location of any road or proposed road, or to the advancement and improvement of the state road system.

These rules shall be applied in harmony with applicable state statutes and in case of conflict, state statutes shall prevail.

3.3 Records Pertaining to Hearings. -- The Commissioner of the Division of Highways or his designee shall be responsible for all administrative and clerical duties relating to hearings and for all records and pleadings pertaining to hearings. He shall receive all applications, petitions, protests, claims or other written documents relating to a hearing before the Division of Highways. The designee will, upon request, advise any party as to the form or condition of any paper to be filed in any proceeding before the Commissioner. He will maintain a docket book in which shall be entered each formal case on complaint, claim, application or petition, investigation, or protest, with a file number corresponding to the number of the case together with brief chronological notations of the proceedings had in the case. He shall also maintain the Commissioner's Order Book, in which shall be recorded, on the day of their filing, any orders made or passed by the Commissioner of Highways in the performance of his statutory duties.

3.3.1 All papers or documents, of whatever character, which are received or filed with the Division of Highways, shall be stamped showing the date of receipt or filing thereof.

3.4 Complaints, Claims, Applications, Petitions, Protests. -- Claims, complaints or applications may be either informal or formal.

3.4.1 Informal Pleadings and Procedures - Informal claims, complaints or applications may be made by letter or other writing addressed to the WV Department of Transportation, Commissioner of Highways, Building 5, Room A422109, 1900 Kanawha Boulevard, East, Charleston, West Virginia 25305-0430, or the office of the District Engineer. Matters thus presented, if their nature warrants, may be negotiated and settled by the Commissioner of Highways, the District Engineer, or some other duly authorized employee, without formal hearings. If the matters cannot be resolved satisfactorily to all parties, the proceeding is held to be without prejudice to the right of any party to file and prosecute a formal claim, complaint or application, whereupon the informal proceeding will be discontinued. No form of informal complaint, claim or application is prescribed, but the letter or other writing must contain a clear and concise statement of the facts and the specific relief sought. However, the names of all parties affected or involved shall be stated in full, and the address of each party, with the name and address of his attorney, if any, stated therein or thereon.

3.4.2 Formal Pleadings - All formal complaints, claims, applications, petitions and protests shall be in writing and addressed to the Commissioner of Highways. Such papers shall set forth plainly and distinctly the grounds for the relief sought or reasons for protest and should be so drawn as fully and completely to advise the Commissioner of Highways of the nature of the grievances or alleged violations of law.

3.4.2.a The names of all parties affected or involved shall be stated in full and the address of each party, with the name and address of his attorney, if any.

3.4.2.b Formal pleadings shall be substantially in the form hereinafter prescribed, and verification shall likewise be substantially in the form hereinafter prescribed. (See Forms No. 1 and 2, Appendix A, ~~to this Series~~ Regulations Pertaining to Particular Functions of the Commissioner of Highways, 157CSR1.)

3.4.2.c Two copies of all such papers shall be filed with the Commissioner.

3.5 Answers or Responsive Pleadings by Commissioner of Highways. -- Within thirty days after receipt of a formal pleading or protest, the Commissioner of Highways or the director of the division thereby affected shall file an answer to such pleading or protest. Such answer shall fully and plainly inform the parties involved of the nature of the Commissioner's defense or reason for the decision or action upon the particular matter involved. The Commissioner of Highways shall serve such answer upon the parties either in person or by registered or certified mail to the party or his attorney.

3.6 Stipulations or Agreed Facts. -- The parties to any proceeding before the Commissioner of Highways may, by stipulation in writing filed with the Commissioner, agree upon the facts, or any portion thereof, involved in the controversy, which stipulation shall be recorded and used at the hearing.

3.7 Hearings; Notices; Evidence. -- When issue is joined by the service of an answer on the complainant upon any matter for which the Commissioner is required by law to hold a hearing or shall pursuant to these rules and regulations determine that a hearing shall be held, the Commissioner will assign a time and place for such hearing, which will be at his offices in the City of Charleston or elsewhere in the state at the discretion of the Commissioner. The hearing will be held by the Commissioner of Highways or by one or more of his employees who shall have been designated by him to hold hearings.

3.7.1 Notices - The Commissioner shall give all parties not less than ten days' notice of the time and place of hearing, which notice may be served upon the parties by personal delivery, or by registered or certified mail, or in any manner by which a notice may be served at law.

3.7.2 Evidence - The parties must prove the existence of the facts as alleged in their pleadings. The Commissioner, however, will hear such proof of facts as he may deem proper and reasonable, and may make such investigation and enter such order as the facts justify and the circumstances may require.

3.7.2.a The Commissioner of Highways shall not be bound by common law or statutory rules of evidence in conducting hearings. He will admit all testimony or other evidence having reasonable probative value, but will exclude immaterial, irrelevant or unduly repetitious testimony. He shall, however, give effect to any rules of privilege recognized by the law of this state.

3.7.2.b All evidence, including records and documents in the possession of the Commissioner of Highways may be duly offered and made a part of the record in a case. Every party to the proceeding shall be afforded adequate opportunity to rebut or offer countervailing evidence.

3.7.2.c The Commissioner of Highways, or his duly authorized hearing examiner, may take official notice of any generally recognized fact or any established technical or scientific fact; but parties shall be notified either before or during the hearing or by full reference in preliminary reports or otherwise, of the facts so noticed, and they shall be afforded an opportunity to contest the validity thereof.

3.7.2.d At any hearing conducted by the Commissioner, or by a designated employee thereof, witnesses shall be examined under oath in the manner and form, and in the order designated by the presiding officer. If the Commissioner or presiding officer so directs, or any party in interest so requests, the testimony given shall be reduced to writing in the form of shorthand notes or such other form of recording as the Commissioner may direct, and preserved in the Commissioner's files. Should any party in interest request a transcript of the proceedings, or should the Commissioner direct that a transcript be prepared, then sufficient copies shall be made and delivered to each party making such request, and at the expense of the person making the request.

3.8 Depositions. -- The testimony of any witness may be taken by deposition at the instance of a party, in any proceeding or investigation at any time after the same is at issue, by the consent of the Commissioner. The Commissioner may, of his own motion, order testimony to be taken by deposition in any proceeding or investigation pending before him, at any stage of such proceeding or investigation. Depositions shall be taken in a manner consistent with the provisions of Section 3, ~~Series I, of these rules and regulations~~ Regulations Pertaining to Particular Functions of the Commissioner of Highways, 157CSR1.

3.9 Subpoenas. -- Subpoenas requiring the attendance of witnesses, from any place in the State of West Virginia, at any designated place of hearing before the Commissioner, or any employee of the Commissioner whom he shall have designated to hold such hearing, for the purpose of taking the testimony of such witness, and subpoenas requiring the production of documentary evidence, will be issued upon the application of either party, by the Commissioner or his designee.

3.10 Decisions of the Commissioner of Highways. -- Every decision of the Commissioner of Highways in a contested case shall be in writing accompanied by findings of fact and conclusions of law. The findings of fact shall consist of a concise and separate statement of the ultimate conclusions upon each contested issue of fact without recital of evidence.

3.11 Service of Commissioner's Decision, Subpoenas and Notices. -- Every decision when made by the Commissioner of Highways shall be recorded in the Commissioner's Order Book, and a copy thereof shall be served forthwith by personal delivery or by registered or certified mail to each adversary party to the proceeding or to his attorney of record; and all subpoenas for parties or witnesses and all notices shall be served by personal delivery or by registered or certified mail to each adversary party to the proceeding or to his attorney of record, or as provided by law.

FORM 1

STATE OF WEST VIRGINIA  
Commissioner of Highways  
Charleston

TO THE COMMISSIONER OF HIGHWAYS:

Your petitioner, (name of petitioner), respectfully states:

1. That (Here state occupation, or business of petitioner, and address).

2. That petitioner (Here state form of relief sought from Division of Highways, i.e., whether an application, claim, complaint, or protest to a ruling or decision of the Commissioner of Highways, together with a brief statement setting forth plainly the grounds therefore).

3. That (Here state names of all parties, and their addresses, who may be involved, if any).

WHEREFORE, the petitioner, or complainant, request that (Here set forth specifically the relief sought or action desired to be taken by the Commissioner).

Dated this \_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_.

\_\_\_\_\_  
Petitioner

\_\_\_\_\_  
Attorney for Petitioner

\_\_\_\_\_  
Address

FORM 2  
VERIFICATION

(To be added to all complaints, answers, applications  
and petitions.)

STATE OF WEST VIRGINIA,

COUNTY OF \_\_\_\_\_, to-wit:

\_\_\_\_\_, the (Petitioner, etc.) named in  
the foregoing (petition, etc.) being duly sworn, says that the  
facts and allegations therein contained are true, except so far  
as they are therein stated to be on information, and that, so far  
as they are therein stated to be on information, he believes them  
to be true.

\_\_\_\_\_  
Affiant

Taken, sworn to and subscribed before me this \_\_\_\_ day  
of \_\_\_\_\_, 19\_\_\_\_.

My commission expires \_\_\_\_\_.

\_\_\_\_\_  
Notary Public in and for said County

Section 4      Scholarships for Prospective West Virginia  
Division of Highways Personnel

4.1      General. -- Pursuant to the provisions of ~~Chapter 17, Article 2A, Section 4b, Code WV Code §17-2A-4b~~, the West Virginia Commissioner of Highways is authorized to award scholarships to competent persons whether employed by the West Virginia Division of Highways or not for the purpose of enabling and encouraging them to attend a college or university to pursue such course of study as may be approved by the West Virginia Commissioner of Highways, with the end in view of attracting and holding competent personnel for the West Virginia Division of Highways. No more than twelve persons may hold such scholarships at any one time.

4.2      Application. -- Any person who is eligible to attend any accredited college or university may apply for a West Virginia Division of Highways scholarship. Application blanks shall be furnished at the Commissioner's office and when completed shall be returned to the Commissioner's office.

4.3      Certified Copy of Academic Grades. -- Any person applying for a West Virginia Division of Highways scholarship shall provide the Commissioner, as a part of his application, a certified copy of his grades, and the subjects studied for all previous institutions of higher learning attended by the applicant. Where the applicant has attended high school only, a certified copy of his high school grades shall be sent to the Commissioner with the written application.

4.4      Written Essay. -- Each applicant shall submit to the West Virginia Commissioner of Highways a written essay of not more than one thousand words explaining why he is interested in the Division's scholarship program.

4.5      Personal Interview. -- If after receiving the application and other papers required by the preceding sections, the Commissioner feels that the applicant is entitled to further consideration, a personal interview will be arranged and the applicant will be notified of the time and place at least ten days in advance.

4.6      Award of Scholarship. -- Upon the basis of the information and personal impressions which the Commissioner has received from the information requested by virtue of the preceding subdivisions of this section, the Commissioner may

Division of Highways  
Proc. Rule, 157  
Series I, Sec. 4.6

award a scholarship to such person or persons as he considers competent and entitled thereto. Any such scholarship shall carry a stipend in an amount fixed by the Commissioner, but not to exceed a total of \$4,000.00. The sum so awarded will be paid to the recipient of the scholarship in equal installments at the beginning of each quarter or semester wherein the recipient has agreed to pursue his course of study.

4.7 Execution of Notes. -- The recipient of a scholarship shall execute negotiable promissory notes for the full amount of the scholarship stipends awarded him by the West Virginia Commissioner of Highways and each such note shall be in the amount actually received from the State Road Fund and shall be payable on demand to the order of the State Treasurer.

4.8 Employment Credited Against Notes. -- If, upon graduation, or completion of the approved course of study, the person awarded the scholarship herein described enters the employ of the West Virginia Division of Highways and remains so employed, the West Virginia Commissioner of Highways will credit the oldest outstanding note of such person in the amount of \$400.00 for every six months period that such person is employed by the West Virginia Division of Highways.

4.9 Failure to Graduate or Complete Education. -- If for any reason, except death or physical or mental disability or being drafted into the armed services, the recipient of the scholarship fails to successfully complete the course of study for which the scholarship was granted, or if after the completion of the approved course of study such person does not become or continue to be an employee of the West Virginia Division of Highways, or ceases to be an employee before all such notes have been paid or canceled, the West Virginia Commissioner of Highways shall demand payment of all such unpaid notes, and shall transmit them to the State Treasurer for immediate collection.

Section 5 Location, Relocation, Classification or  
Reclassification of State Roads

5.1 General. -- Pursuant to the provisions of ~~Chapter 17, Article 2-A, Section 8(3) of the Code of West Virginia as amended WV Code §17-2A-8(3)~~, the Commissioner of Highways may conduct investigations and experiments, and he may hold formal or informal hearings or other public meetings and conferences for the purpose of acquiring information from which he can determine future courses of action and procedure relative to the state road system.

5.2 Commissioner's Order; Distribution. -- When the Commissioner has received the results of any engineering study or survey, or investigation, or when as the result of any hearing, public meeting or conference, he determines the location, relocation, classification or reclassification or designation by number of any road in this state, he shall set forth his conclusions in an order and spread such order upon the pages of the Commissioner's Order Book to be retained as a permanent record of his conclusions and his actions regarding any such road. All such orders of the Commissioner shall become effective immediately upon being signed and entered in the Commissioner's Order Book by the Business Manager of the Division of Highways.

5.2.1 Copies of Commissioner's Order - Copies of any such order of the Commissioner shall be sent to the office of the District Engineer of the District wherein any such road is located and shall be kept available for public inspection during all normal business hours. The Commissioner may also send copies of any such order to such public officials or private persons or groups as he may feel will provide adequate public notice of his action.

5.3 Petition of Interested Persons. -- Any group of twenty-five or more persons interested in the location, relocation, classification or reclassification of any road or proposed road may file a petition in writing with the Commissioner of Highways setting forth therein the request, complaint or demand of the persons signing such petition, and the Commissioner shall immediately designate one or more employees of the Division of Highways to investigate the situation described in the petition. All such petitions shall be directed to the WV Department of Transportation, Commissioner of Highways, Building 5, Room A122109, 1900 Kanawha Boulevard, East, Charleston, West Virginia 25305-0430, and shall contain at least the following information:

5.3.1 A description of the road or proposed road in as definite terms as possible, with references to route numbers and approximate distances from intersections with other roads or from city limits where possible.

5.3.2 A concise and clear statement of the problem or situation which the petitioners are asking the Commissioner to resolve.

5.3.3 A concise and clear statement of the action the petitioners want the Commissioner of Highways to take to remedy the situation described in the petition.

5.3.4 Signatures and mailing addresses of the petitioners.

5.4 Investigation by Department. -- Upon receipt of any such petition, the Commissioner of Highways shall immediately forward a copy thereof to the District Engineer of the District wherein the road problem or road situation described in the petition is located, and request that a complete investigation be undertaken. The District Engineer shall then immediately commence such investigation, and during the course thereof, no less than two of the persons who have signed their names to the petition shall be personally interviewed by the District Engineer or his duly authorized representative. Where possible, the first two persons who have signed the petition will be interviewed.

5.5 Hearing. -- If, after completing his investigation, the Commissioner of Highways believes that a hearing should be held, or if the petitioners request a hearing, the Commissioner shall set a time and place for the hearing and shall notify all persons who have signed the petition and any other person he feels may be interested in order that all such persons may appear at the hearing and express their views. The Commissioner may, if in his opinion the situation warrants, cause a notice of the hearing to be published in some newspaper of general circulation in the county in which the road to be affected is situated.

5.6 Commissioner's Determination. -- Upon the completion of his study of the results of the investigation provided for herein, and after reviewing the evidence presented at the hearing provided for herein, if such hearing be held, the Commissioner shall decide whether the relief requested by the petition shall be granted and will notify at least the first five persons whose signatures and mailing addresses appear on the petition of his conclusions, unless the petitioners have designated some other person or group of persons to receive such notice. If the Commissioner's decision is such that it must be put into effect by means of a formal Commissioner's Order as provided for herein, the Commissioner shall send copies of the order to at least the first five persons whose signatures and mailing addresses appear on the petition.

Section 6 Regulations Relating to Roads to be Incorporated into the State Highway System

6.1 General Purposes. -- These regulations prescribe guidelines for standards for roads to be considered by the Division of Highways for incorporation into the West Virginia

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State Highway System, which regulations must be consistent with all other statutes and regulations pertaining to the incorporation of roads generally into the State Highway System.

6.2 Requests for Incorporation - Procedure. -- Initial requests for the Division of Highways to accept a proposed new road into the State Highway System shall be submitted to the West Virginia Division of Highways' District Engineer who has jurisdiction in the area of the facility.

The District Engineer will coordinate with the person or persons making the request and various Divisions of the Division of Highways in the determination of applicable standards, specifications and plan requirements. Coordination meetings may be required.

Final approval to accept the facility into the State System shall be made by the Commissioner.

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DISTRICT ENGINEERS

District One  
1334 Smith Street  
Charleston, WV 25301-1492  
Phone: 558-3001

District Six  
904 Third Street  
Moundsville, WV 26041-1605  
Phone: 843-4000

District Two  
801 Madison Avenue  
Huntington, WV 25704-2550  
Phone: 528-5600

District Seven  
P. O. Box 1228  
Weston, WV 26452-1288  
Phone: 269-0400

District Three  
P.O. Box 308  
Parkersburg, WV 26102-0308  
Phone: 420-4595

District Eight  
P. O. Box 1516  
Elkins, WV 26241-1516  
Phone: 637-0220

District Four  
P. O. Box 2570  
Bridgeport, WV 26302-2570  
Phone: 842-1500

District Nine  
210 Maple Street  
Ronceverte, WV 24970-1547  
Phone: 647-7450

District Five  
P. O. Box 99  
Burlington, WV 26701-0099  
Phone: 289-3521

District Ten  
120 Scott Street  
Princeton, WV 24740-2737  
Phone: 425-2155

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INSERT DOH DISTRICT MAP

6.3 Definitions. --

6.3.1 AASHTO - The American Association of State Highway and Transportation Officials.

6.3.2 Adverse Possession - Adverse possession is the occupying and possession of land by a person or persons other than the legal owner thereof. If such possession is open, continuous, visible, distinct and hostile to all other claimants for a sufficient period of time, such occupants may acquire title to such land. A sufficient period of time for purposes of this directive will be 10 years.

6.3.3 Average Daily Traffic - Number of vehicles using the road on an average 24-hour day, being the total volume during a stated period divided by the number of days in that period. The term is commonly abbreviated ADT.

6.3.4 Commissioner's Order - The Orders of the Commissioner of Highways are official determinations or decisions which relate to the internal management and organization of the West Virginia Division of Highways, or to a specific person or groups of persons, or the public in general.

6.3.5 Dollar Deed - A dollar deed is a simplified version of a standard form deed of the West Virginia Division of Highways, which conveys certain right of way and easements for state road purposes in, upon or over lands of the grantor.

6.3.6 Easement - An easement is the right to use or control the property of another for designated purposes.

6.3.6.a Drainage Easement: An easement for directing the flow of water.

6.3.6.b Planting Easement: An easement for reshaping roadside areas and establishing, maintaining, and controlling plant growth thereon.

6.3.6.c Scenic Easement: An easement for conservation and development of roadside views and natural features.

6.3.6.d Sight Line Easement: An easement for maintaining or improving the sight distance.

6.3.6.e Slope Easement: An easement for cuts or fills including at times ditches.

6.3.6.f Utility Easement: An easement to be occupied by one or more utilities.

6.3.7 Encroachment - An encroachment is a building, structure, or part of a building or structure or any other obstruction which intrudes upon or invades upon property of another, including a highway or sidewalk.

6.3.8 Existing Highway System - Existing highway system shall mean and include all highways and roads shown on the official maps and records of the West Virginia Division of Highways at the particular time a request for an addition is received.

6.3.9 Orphan Roads - Orphan roads shall mean those roads used by the traveling public not under control of any Governmental Agencies.

6.3.10 Petition - A petition is a request by the property owner or owners along a specific section of a public road not on the state road system for the road to be incorporated into the state road system.

6.3.11 Public Dedication - Public dedication is setting apart by the owner and the acceptance by the public of the property for public use in accordance with statutory or common law provisions.

6.3.12 Right of Way - A property right or interest in land usually acquired for or devoted to a roadway and being of sufficient width to maintain the road and its appurtenances. The minimum width should be forty (40) feet, however, thirty (30) feet may be accepted in areas where forty (40) feet may not be feasible or necessary for maintenance purposes.

6.3.13 Roadway - The portion of a highway, including shoulders, for vehicular use.

6.3.14 Subdivision Roads - Subdivision roads are those roads indicated by a recorded or unrecorded plat where a landowner has subdivided a tract of land into lots, streets and alleys and sells lots by reference to plat, whether such plat is duly recorded or not. Purchasers of such lots become entitled to the use of its streets and alleys as necessary to complete their enjoyment of the lot.

6.3.15 Traveled Way - The portion of the roadway for the movement of vehicles exclusive of shoulders and auxiliary lanes.

6.3.16 Unrecorded Plats - Unrecorded plats are those plats that have not been recorded in the Office of the Clerk of the County Commission. Mere existence of the plat with reference to the sales of lots is sufficient providing that it has been certified by a registered Professional Engineer or licensed Land Surveyor.

6.3.17 Water Course - An established natural drainage course that leads to a drainage basin, stream, creek, river, watershed or waterway.

6.4 Methods of Determining Eligibility. -- New roads constructed outside of incorporated places, which are proposed for inclusion in the State Highway System shall be constructed in accordance with Division of Highways guidelines and specifications:

6.4.1 New roads for the purpose of public access may be taken into the state highway system two years after completion or after a substantial part of the development in the particular subdivision is completed, whichever is longer. Necessary maintenance will be provided by the developer in the interim during construction until acceptance into the State System.

6.4.2 Ten years of dedicated and active public use may be required for consideration for inclusion of the roadway into the state highway system without justification being presented showing public necessity.

6.5 Right of Way and Utilities. --

6.5.1 Widths - Right of way in accordance with Division of Highways' Policy, is required to be dedicated to public use. If the dedication is not legally implemented, then in such instances, the developer shall provide the Division of Highways with proper and acceptable deeds, transferring easements and right of way for a public road, free and clear of all encumbrances. Right of way width shall be sufficient to maintain the road and its appurtenances.

If a sidewalk is to be provided, additional right of way width will be required to the extent necessary to accommodate the sidewalk. Maintenance of the sidewalk will be the responsibility of the adjacent property owner.

6.5.2 Utilities - It is the policy of the Division of Highways to require an unencumbered dedication of right of way on all additions to the system. Therefore, any easements or other interests within the platted right of way must be quitclaimed to the Division of any prior rights therein, in exchange for a permit to occupy the area. The permit shall be initiated by the parties involved once the acknowledgement of the street has been received and a route number assigned.

6.5.2.a All longitudinal underground activities shall be located outside of the public right of way with the exception of situations where it is impractical. In those cases, utilities shall be placed under the shoulder of the road conforming with the Division of Highways' "Policy on the Accommodation of Utilities on State Highway Rights of Way."

6.5.2.b The Division of Highways' Policy restricts the open-cutting of paved roads. Therefore, all lateral underground utilities to be installed prior to the acceptance of the street should be made prior to the final surface application.

6.5.3 Restrictive Strips - The Division of Highways will not approve plans that include reserved areas which prohibit the use of streets by adjacent properties, whether within or outside the development proper.

6.5.4 Drainage - Drainage easements shall be provided from all drainage outfalls to extend to a watercourse as defined by the Division of Highways, and said easements shall include a release for damages to the residue of lands that may be occasioned by reason of the construction and maintenance of the facilities or an acceptable agreement to save the Division harmless from future claims.

6.5.5 Monuments - Any right of way to be dedicated to the Division of Highways shall be monumented by permanent right of way markers. These markers shall be shown on all plats, plans or other documents and shall be adequate in number and location to permit location of the street or road right of way limits by field survey.

6.6 Design Criteria. --

6.6.1 Widths and Typical Sections - Widths and Typical Sections for the various road requirements based on the average daily traffic are shown in Figures 1 and 2. Additional lanes may be required on approaches to intersections and where

traffic volumes or roadside development warrant. It shall be the prerogative of the West Virginia Division of Highways to require the construction of these lanes.

6.6.2 Drainage - Drainage facilities including off-site facilities when necessary to provide adequate drainage, shall be provided in accordance with the Division of Highways' current drainage design practices.

In instances where developments divert more intensified runoff into existing Division of Highways facilities to the extent that the facilities must be adjusted, such adjustments shall be at the developer's expense, and the developer shall be required to furnish any additional easements that are required.

Drainage design and the criteria to be used, shall be in accordance with the Division's design criteria and methods of analysis and subject to approval by the Division of Highways. A copy of the drainage design data and computations shall be submitted to the Division at the time that the plans are submitted for review. Peak discharges shall be determined by methods appropriate for the size, location and character of the watersheds involved. Appropriate design storm frequencies will be utilized depending upon the risk of damage to both adjacent property and the roadway.

Minimum design criteria applicable to the roadway may not be applicable to the adjacent property damage potential, thus requiring higher design criteria.

In the design of drainage structures, the following risk evaluations should be considered:

- (a) Damage to adjacent property
- (b) Damage to the roadway and/or structure
- (c) Traffic interruption
- (d) Hazard to human life
- (e) Damage to stream flood plain environment

Design and analysis techniques shall be appropriate for the type of structure or system of structures involved and may require flood profiles and water surface profile analysis. In areas involving flood plains, the Federal Flood Insurance requirements relative to zoning and hydraulic design to accompany the 100 year flood shall be considered.

6.6.3 Pavement Thicknesses - The Pavement Thickness shall be designed to meet current Division of Highways' design requirements.

All new pavements shall be constructed as specified by and in conformance with the Division of Highways' procedures for roadway improvements.

On existing pavements the structural adequacy shall be determined and the thickness increased if required to carry the roadway traffic loads.

6.6.4 Curb - Roll-type or mountable curb may be considered on an individual case-by-case basis. When considering such curb sufficient storm sewer receptacles (drop inlets), shall be provided to make the installation comparable to the Division of Highways' design drainage requirements. At intersections where curbs are used and where sidewalks are constructed or contemplated, provisions for curb ramps for the handicapped are to be made.

6.6.5 Grades - The minimum grade, essential for adequate drainage shall not be less than 0.5 percent. It is desirable that the maximum grade be 12 percent, however, for short distances a steeper grade may be utilized.

6.6.6 Structures and Retaining Walls - All bridges, culverts and retaining walls shall be designed in accordance with current AASHTO specifications. The live loading on bridges shall be HS20-44.

Design calculations for each structure and retaining wall shall be submitted to the Division of Highways for review.

Clear widths shall be provided on all structures to be compatible with the approach roadway section. Approach guardrail in accordance with Division of Highways Standards shall be provided at bridges.

6.6.7 Intersections - The safety and efficiency of operation of the street system will depend on the intersections. The following guidelines are for intersections within the subdivisions as well as for intersections with through highways.

At all intersections, adequate sight distance along the through street is required for safety. Sight distance for traffic controlled by a STOP sign should not be less than shown in Figure 3.

Intersections to be controlled by STOP signs should be at right angles and shall be at no less than 60 degrees. Closely spaced offset intersections are to be avoided. Where a subdivision

is constructed on one side of a through highway, the entrance should be lined up with a major street or major entrance across the highway, if one exists.

At all intersecting streets a relatively flat landing should be provided on the side streets which have STOP or YIELD situations. It should be of sufficient length to accommodate at least one vehicle, with additional length depending upon the projected traffic volume of the side street. Where volumes of turning traffic warrant, additional lanes should be constructed to accommodate these vehicles. It shall be a ~~Department~~ Division of Highways prerogative to require these lanes or additional length of landing area when needed.

A minimum turning radius of 30 feet should be provided at all major intersections with larger radii recommended for commercial and industrial areas. In all cases, it should be possible for the vehicle to turn without forcing the vehicle to stop and back up or "track" outside the street or shoulder area. On low-volume streets, a tighter turning radius may be used and the vehicle allowed to encroach on adjacent lanes while turning.

6.6.8 Driveways - Driveways should be constructed in accordance with the current edition of the Division of Highways publication, "Rules and Regulations for Constructing Driveways on State Highway Rights of Way."

Particular care should be taken to assure adequate sight distance at driveways. Cut slopes, retaining walls or landscaping which restrict sight distance from driveways should be avoided.

6.6.9 Sidewalks - If a sidewalk is provided immediately adjacent to the curb section the sidewalk must be constructed in accordance to the Division of Highways' requirements. The sidewalk must be at least 4' wide on an appropriate grade so as to be compatible with the curb.

6.6.10 Railroad Grade Crossings - Construction of a new railroad grade crossing or upgrading of an existing crossing will require that the developer have an appropriate agreement with the railroad company involved. It will be necessary for the developer to supply documentation of the legal status of the crossing to the Division of Highways. Contacts with the railroad company will ordinarily be through the Office of the Chief Engineer of the respective railroad.

The grade crossing surface type and construction will be recommended by the railroad to provide adequate service under the train and highway traffic anticipated. The surface width shall be, as a minimum, curb to curb where curbs are present and pavement plus shoulders where curbs are not used. If sidewalks are provided, the railroad crossing surface should be extended to provide a walking surface for pedestrians.

The need for active warning devices (flashers, or flashers and gates) at grade crossings will be determined on a case-by-case basis. If active warning devices are not installed, sight distance should be in accordance with Figure 4. This table defines the minimum "sight triangle" at the crossing. Inability to provide this sight triangle indicates that active warning devices may be advisable.

All traffic control devices at railroad grade crossings are to comply with the current edition of the *Manual on Uniform Traffic Control Devices*. The use of STOP at railroad crossings is discouraged.

Crossings should be compatible with highway design speed and located to avoid steep or "hump-backed" approaches. Roads should cross the tracks as nearly at right angles as possible.

6.6.11 Construction Cuts and Fills - When terrain conditions permit, foreslopes, backslopes, and roadside drainage channels should have gentle well-rounded transitions. The embankment slope guide indicates the slope for various fill heights. Cut slopes are to be constructed to minimize future maintenance costs and protect the roadway and safety of the traffic. Cut sections should be designed with adequate ditches and provide an average slope of no steeper than 1 1/2' horizontal to 1' vertical (See Figure 5.)

6.6.12 Dead End Streets - Provision shall be made for turning vehicles. Several types of Cul-De-Sacs and Dead End Streets are shown in Figure 6.

Other variations of shapes of Cul-De-Sacs as necessary to fit right of way and site controls may be used to permit vehicles to turn around by backing once.

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FIGURE 1  
TYPICAL SECTION

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FIGURE 2  
GUIDE FOR MINIMUM ROADWAY WIDTH

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FIGURE 3  
SIGHT DISTANCE AT INTERSECTIONS

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FIGURE 4  
SIGHT DISTANCES FOR COMBINATIONS  
OF STREET AND TRAIN SPEEDS

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FIGURE 5  
CONSTRUCTION CUTS AND FILLS

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FIGURE 6  
CUL-DE-SACS AND DEAD END STREETS

6.7 Plans. --

6.7.1 The plans shall include a title sheet, typical sections, road layout, profiles and appropriate special details.

6.7.2 Generally accepted nomenclature or wording should be used wherever possible.

6.7.3 The scale to be used for plan and profile sheets shall be adequate to show the necessary details as governed by the topography and the complexity of the work. Plans should be drawn to a horizontal scale of 1" = 50' or 1" = 100'. Profiles should be drawn to the same horizontal scale as the plan but the vertical scale may be five to ten times that of the horizontal scale.

6.7.4 The general road plan shall show the centerline of the survey which, if practical, should be the centerline of the proposed road bed. In a subdivision the road plan can be shown upon the subdivision map providing that it is 1" = 50' or 1" = 100' scale.

6.7.5 Right of way lines shall be shown on the plans with the widths acquired or to be acquired appropriately tied to centerline. Stationing, intersecting property lines and changes in right of way widths shall be shown. Parcels shall be identified by owners' names and if in a subdivision, also by lot number and subdivision name.

6.7.6 Format of the plans shall be as simple as possible.

6.7.7 For filing purposes it is desirable that the original drawings be not more than 22 inches in width and 36 inches in length.

6.7.8 Plans and Specifications shall be certified by a registered Professional Engineer of West Virginia.

Section 7 Abandonment and Discontinuance of State Roads

7.1 General. -- Pursuant to the provisions of ~~Chapter 17, Article 2A, Section 8(12)~~ of the West Virginia Code WV Code §17-2A-8(12), the Commissioner of Highways may discontinue, vacate and close any road or highway, or any part thereof, where he finds the continuance and maintenance of any such road unnecessary and improper.

7.2 Petition of Interested Persons. -- Any person whose property or property interests are affected by any road or highway subject to the control and jurisdiction of the Commissioner of Highways may petition the Commissioner for the abandonment and discontinuance of any such road. The petition shall describe the road, or portion of the road, in such a fashion and by reference to some form of land marks so that it can be readily located by Division of Highways' personnel; the petition shall state the reasons why the petitioner wants the road abandoned; and the petitioner shall sign his full name and provide his mailing address.

7.3 Hearing. -- Upon receiving a petition for the abandonment of a road, the Commissioner may, if he deems it necessary or desirable, or shall, if the petitioner so requests, set the matter for a hearing as provided in Section 3 of Series I of these regulations, and upon the basis of the evidence produced at the hearing, the Commissioner shall determine whether the road or portion of the road should be abandoned. If requested by the petitioner or if the Commissioner in his discretion deems it advisable, a notice of the proposed abandonment of said road shall be advertised in a newspaper of general circulation in the county in which the road is located as a Class I legal advertisement advising any person having objections to the proposed abandonment to notify the Commissioner by registered letter at least ten days prior to said date of the proposed abandonment of his desire for a hearing in which event the Commissioner shall set a hearing at the earliest convenient time. If a public hearing is requested, the time and place of said hearing shall be advertised in the same manner as above set forth.

7.4 Investigation by Commissioner. -- The Commissioner of Highways may on his own motion, cause an investigation to be made of any road or highway, and upon the basis of the information so produced, determine whether it is in the best interests of the state for a road, or a part of a road, to be abandoned and discontinued, and if he finds that it is in the best interests of the state so to do, he may abandon and discontinue the same. Where such an investigation is made by the Commissioner prior to a hearing, as provided for in the preceding section, the Commissioner shall produce the findings of his investigation at the hearing and allow all other interested parties to either rebut or support his findings.

7.5 Abandonment by Commissioner's Order. -- In every case where the Commissioner of Highways determines that it is in the best interests of the state to abandon and discontinue a road or portion of a road, he shall abandon, discontinue, vacate or close the same by a formal Commissioner's Order, duly entered in the permanent

Commissioner's Order Book as provided for in Section 1, of ~~Series I of these regulations~~ Regulations Pertaining to Particular Functions of the Commissioner of Highways, 157CSR1. Any such road or portion of a road, shall be abandoned as of the date the Commissioner's Order is entered in the Commissioner's Order Book.

7.6 Copies of Commissioner's Order of Abandonment. -- The Commissioner shall send a certified copy of any order wherein a road or a part of a road is abandoned, discontinued, vacated or closed to the following persons:

7.6.1 The office of the District Engineer of the District wherein any such road is located, which order shall be available for public inspection during all normal business hours;

7.6.2 The Clerk of the County Court of the county wherein the abandoned road is located;

7.6.3 Any person who has notified the Commissioner that his personal or property interests may be affected by the abandonment, discontinuance, vacating or closing of the road in question.

## Section 8 Procurement Procedures for Negotiated Contracts

8.1 Purpose. -- To set forth procedures for negotiated contracts to ensure that a qualified consultant is obtained through an equitable selection process and that prescribed work is properly accomplished in a timely manner at a just and reasonable cost pursuant to 23 CFR 172 for federally funded work and to ~~Article 1, Chapter 5G of the Code of West Virginia~~ WV Code §5G-1, et seq., for state funded work.

8.2 Application. -- This regulation applies to all engineering and design related service contracts financed with Federal-aid highways funds and contracts authorized under procedures codified in State statutes funded by State funds such as:

- |   |   |
|---|---|
| a) project management                     | i) mapping                                      |
| b) construction management and inspection | j) architectural                                |
| c) feasibility studies                    | k) materials, inspection, sampling, and testing |
| d) preliminary engineering                | l) related services                             |
| e) design engineering                     | m) archaeological investigation                 |
| f) design                                 | n) historic investigation                       |
| g) engineering                            |   |
| h) surveying                              |   |

When it is necessary to utilize the services of a consultant, the Division Director will submit his reasons for so doing through appropriate channels to the Commissioner or his delegate for approval. The request will also indicate whether competitive or noncompetitive selection is appropriate. In the case of noncompetitive selections, justification, in accordance with the procedures in Section 8.6, Regulations Pertaining to Particular Functions of the Commissioner of Highways, 157CSR1, will be given.

It is the policy of the West Virginia Department of Transportation, Division of Highways, that Disadvantaged Businesses shall have the maximum opportunity to participate in the performance and award of contracts financed in whole or in part with Federal funds in accordance with the Division of Highways' Disadvantaged Business Enterprise Program.

As allowed in 23 CFR 172.15, the West Virginia Division of Highways has requested approval under "Alternate Procedures" and the Federal Highway Administration (FHWA) has concurred. (See Exhibit D, Regulations Pertaining to Particular Functions of the Commissioner of Highways, 157CSR1.)

### 8.3 Definitions.

8.3.1 Alternate Procedure - The process outlined in 23 CFR 172.15 whereby the Division of Highways has the review and approval authority for all actions in the process from establishing the need for consultant services through the selection, negotiation and contract approval except in any action brought under the Protest Procedures in Section 8.13 and contractual/administrative issues in Section 8.14, Regulations Pertaining to Particular Functions of the Commissioner of Highways 157CSR1.

8.3.42 CFR - Code of Federal Regulations.

8.3.23 Competitive Selection - All procurement transactions conducted in such a manner as to provide unrestricted opportunities for any and all prospective consultants to obtain work with the Division.

8.3.34 Consultant - A business, educational institution, individual or public agency qualified to perform a service required by the Division. A consultant may be a consulting engineer, architect, public agency or other professional firm or agency.

8.3.45 Contract Modification - An agreement modifying the existing contract, such as an agreement to accomplish work beyond the scope of the original contract.

8.3.56 Cost Accounting Information Statement - A statement that provides adequate details to demonstrate that the prospective consultant has a job cost accounting system that is capable of segregating, identifying and accumulating costs for cost-type contracts.

8.3.67 Cost Analysis - A review and evaluation of the separate cost elements and proposed fixed fee of (a) a consultant's cost or pricing data and (b) the judgmental factors applied in projecting from the data to the Engineer's Cost Estimate in order to form an opinion on the degree to which the proposed costs represent what the cost of the contract should be, assuming reasonable economy and efficiency. Any major variations from Norms shall be documented and supported.

8.3.78 Disadvantaged Business Enterprise (DBE) - A small business concern which is owned and controlled by one or more socially or economically disadvantaged individuals which have been certified under the Small Business Administration's 8(a) program or by the Division of Highways.

8.3.89 Engineer's Cost Estimate - A written detailed estimate prepared after the detailed scope of work meeting and prior to the receipt of the consultant's priced proposal. This will have an appropriate breakdown of specific types of labor required, work hours, indirect cost, and an estimate of the consultant's fixed fee (considering the risk and complexity of the work) for use during negotiations.

8.3.910 Exempt Projects - Federally funded projects where FHWA and the Division of Highways have agreed that the Commissioner of Highways will act on behalf of the FHWA.

8.3.1011 Extra Work - Any service or actions required of the consultant above and beyond the obligations of the original or modified contract.

8.3.1112 Fixed Fee - A dollar amount established to cover the consultant's profit and business expenses not allocable to overhead.

8.3.1213 Letter of Intent - A letter from the Commissioner to a consultant authorizing work to begin prior to the execution of an agreement with the understanding that the consultant will be reimbursed by ~~DOE~~ Division of Highways for any and all reasonable monies expended for work authorized if agreement is not executed by any and all of the parties concerned.

8.3.1314 Letter of Qualification - A written expression of interest made by the consultant indicating his desire to perform a particular project, task or service. This shall include, as minimum, a current qualification questionnaire, location of where work would be performed, Cost Accounting Information Statement and a description of the firms overall capabilities to handle the work, including work force available to be assigned to the project, personnel qualifications, and present workload. Additional statements as to the consultants particular abilities and qualifications, pertinent to preliminary scope of work may be included if deemed necessary. (See Exhibit A, Regulations Pertaining to Particular Functions of the Commissioner of Highways, 157CSR1.)

8.3.1415 Master Agreement - An agreement written for a specified period of time for a particular service or services establishing specific rates of pay.

8.3.1516 Methods of Pay - Methods of pay which may be used are as follows:

- (1) Lump sum.
- (2) Cost per unit of work.
- (3) Cost plus a fixed fee.
- (4) Specific rates of compensation.
- (5) Cost plus percentage of cost (State funded work only).

Each contract shall have a maximum amount payable which shall not be exceeded unless adjusted by a contract modification.

8.3.1617 Negotiation Memorandum - At the conclusion of each negotiation of an initial or revised price, the Division shall promptly prepare a memorandum of the principal elements of the price negotiation. The memorandum shall be included in the contract file and shall include as a minimum:

- (1) The project number.
- (2) The purpose of the negotiation.
- (3) The name and position of each person representing the consultant and the Division.
- (4) The most significant facts or considerations controlling the establishment of the negotiated price.

8.3.1718 Noncompetitive Selection - The procurement through solicitation of a proposal from only one source or, after solicitation of a number of sources, competition is determined to be inadequate.

8.3.19 Non-Project Specific Work - Work of a general nature such as soils investigations, materials sampling and testing and aerial photography.

8.3.1820 Performance Reports - A report prepared by the Division monitoring the service after the final acceptance of work or after contract termination, as applicable, evaluating the overall performance of the consultant.

8.3.1921 Preliminary Selection Committee - A committee consisting of the State Highway Engineer, the next lower level manager under whose direction the work will be performed and Director of the Division requesting the service. The State Highway Engineer may appoint additional members at his discretion. At least three members are necessary to transact the short list.

8.3.2022 Pre negotiation Audit - An examination of a consultant's records made in accordance with generally accepted auditing standards. (See Exhibit C, Regulations Pertaining to Particular Functions of the Commissioner of Highways, 157CSR1.)

8.3.2123 Priced Proposal - A statement by a consultant which is submitted after the consultant is selected to accomplish the work and after the detailed scope of work meeting indicating his proposed costs to perform the required service.

8.3.2224 Procurement Standards - The Division's own procurement procedures which reflect applicable state and local laws and regulations.

8.3.2325 Qualification Questionnaire - A Division form on which a consultant's experience data, personnel, fields of work performed and present and past activities are listed.

8.3.2426 Qualification & Technical Analysis - A review of the consultant's qualifications, including review of experience, reputation, expertise for a particular project under consideration, demonstrated ability, capability to meet requirements, location of offices, distribution of work to individuals and firms (specifically DBEs), time frame proposed by the consultant or required by the Division and past performance both administratively and technically. Other criteria may be required in special cases.

8.3.2527 Scope of Work -

(a) Preliminary: A general description of the work to be accomplished including the location.

(b) Detailed: A clear, accurate and detailed description of the technical requirements for the services to be rendered.

8.3.2628 Selection Committee - This committee shall consist of the Secretary of Transportation, the Commissioner of Highways, the State Highway Engineer and the next lower level of management beneath the State Highway Engineer under whose direction the work will be performed. The Secretary of Transportation may appoint additional members at his discretion. At least three members are necessary to transact the selection.

8.3.2729 Short List - A list of consultants, the number being two (2) more than needed, considered to be most qualified to accomplish a proposed project.

8.4 Competitive Selection. -- State funded projects where services are estimated to cost \$250,000 or more and on federal aid projects estimated to cost over \$25,000. When the service of a consultant under this procedure is desired, the Division will advertise for letters of qualification from consultants interested in performing the service and develop a list for the specific project.

(1) The minimum requirements for publicizing the solicitation are that the advertisement shall appear once each week, on a weekday, for at least two successive weeks in the daily Charleston newspapers. The advertisement will also be posted in various offices of the Division which will afford the greatest dissemination of the solicitation. The notice will also be furnished to other organizations, such as engineering societies, upon their specific request, who may desire to disseminate the information to their members.

(2) The solicitation shall include a clear and accurate description of the service to be performed, shall identify all significant evaluation factors, and their relative importance and shall include the date to be submitted. (See Exhibit B, Regulations Pertaining to Particular Functions of the Commissioner of Highways, 157CSR1.)

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(3) All Letters of Qualification received from consultants will be reviewed by the Division initiating the request to assure that all pertinent information and data have been submitted. Any letters which were received not complete or which were not received prior to the submission date (deadline), shall be rejected and the consultant so notified. The deadline shall be at least 10 working days after the last day of advertisement.

(4) The Division responsible for the direct conduct of the contract, will provide a qualifications and technical analysis for each proposal which will be furnished to the Preliminary Selection Committee and which will be filed in the Division's records.

(5) The Preliminary Selection Committee will develop a short list of consultants, the number being two (2) more than needed, who are in their opinion best qualified to perform the desired service.

(6) All Disadvantaged Business Enterprises on the list of consultants who submitted proposals will be so identified on the qualifications and technical analysis.

(7) Multiple consultants may be obtained through the use of a single solicitation when the services to be performed are of a similar nature and can be clearly defined in the advertisement. The listing submitted to the Selection Committee should indicate the number of consultants required.

(8) When the services of a consultant are desired for a continuing or master agreement for items such as inspection services, subsurface investigation, or minor design services, the procedures of this section shall be utilized.

(9) This short list shall be submitted to the Selection Committee with a copy of the qualification and technical analysis of each firm contained in the list. ~~A copy of the list shall also be sent to FHWA on non-exempt projects.~~

(10) The Selection Committee will review the short list and schedule interviews with each firm. Discussions will be held regarding anticipated concepts and proposed methods of approach to the assignment including those items noted in the qualification and technical analysis, provided that if interviews were conducted concerning qualifications and capabilities prior to or during the selection process, then the committee may in its discretion forego further interviews and discussions.

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(11) After scheduled interviews with the short listed consultants, the highest qualified is selected. The remaining consultants will be ranked in order of preference for future use if negotiations fail with the highest rated consultant.

(12) The award of negotiated contracts financed with federal funds will take into consideration the annual DBE award goals.

(13) All consultants who have submitted proposals will be notified promptly in writing that the selection has been made and the name of the preferred consultant.

(14) For non-project specific work, when more than one consultant has been selected, the responsible Division shall evaluate each assigned task. This evaluation shall consider consultant qualifications to perform the individual task. When qualifications are equivalent, price may be considered as a criteria for selection.

8.5 Small Purchases. -- State funded projects where services are estimated to cost less than \$250,000 and federal aid projects estimated to cost less than \$25,000.

(1) The Director of the Division shall obtain approval to use this process from the Commissioner ~~or the FEWA~~ as appropriate.

(2) The Director of the Division requesting the service shall conduct discussions with three or more professional firms solicited on the basis of known or submitted qualifications for assignment prior to awarding of any contract, provided that if interviews were conducted concerning qualifications and capabilities prior to or during the selection process, then the committee may in its discretion forego further interviews and discussions.

(3) The Director of the Division requesting the service shall submit a qualification analysis to the Selection Committee for selection of a consultant.

8.6 Noncompetitive Selection. --

(1) Circumstances under which a contract may be awarded by noncompetitive negotiations are limited to the following:

(a) The item is available only from a single source; or

- (b) When there is an emergency which will not permit the time necessary to conduct competitive negotiations; or  
(c) After solicitation of a number of sources, competition is determined inadequate; or  
(d) When it is determined appropriate to use available services of a public agency or educational institution.

(2) The name of the consultant who is considered qualified to perform the service will be submitted to the Selection Committee with an explanation of the circumstance in Paragraph (1), Section 8.6, Regulations Pertaining to Particular Functions of the Commissioner of Highways, 157CSR1.

(3) Approval from the Commissioner must be received prior to using this process and ~~from FHWA on non-exempt federally funded project(s).~~

#### 8.7 Negotiation of Fee. --

(1) The consultant selected for the service will be requested to attend a detailed scope of work meeting, after which time he is to submit a priced proposal. ~~On non-exempt federally funded projects, FHWA will be invited to attend as an observer. The initial scope of work meeting may be waived for those consultants that are satisfactorily providing the same service such as drilling, sampling, inspection, etc.~~

(2) The Director of the Division initiating the request for service will be responsible for preparing an independent engineer's cost estimate prior to the receipt of the fee proposal from the consultant and for negotiating an agreement with the consultant selected number one, except for services obtained on a per unit cost.

(3) Fee proposals will be subjected to prenegotiation audits in accordance with 23 CFR 172.5. (See Exhibit C, Regulations Pertaining to Particular Functions of the Commissioner of Highways, 157CSR1.)

(4) Negotiations shall be conducted by the Division requesting the service.

(5) The proposed contract, including the agreed upon cost figures, shall be submitted to the Commissioner for approval and execution. ~~On applicable federally funded work, it shall be submitted to the FHWA for approval prior to execution. The consultant may be given a Letter of Intent subject to FHWA's oral approval. On federal aid projects, reimbursement will be limited to actual costs based on subsequently approved negotiated fees.~~

~~If the subsequent negotiated fee fails to be approved by FHWA, these associated charges will be non-participating.~~

~~A copy of Letters of Intent shall be sent to FHWA on non-exempt projects.~~

(6) When approved by the Commissioner of Highways, the consultant may be given a letter of intent. On federally funded work, this action shall be subject to authorization of federal funds. Also on federal aid projects, reimbursement will be limited to actual costs based on subsequently approved negotiated fees. If the subsequent negotiated fee fails to be approved, those associated charges will be non-participating.

~~(6)~~(7) In the event that an agreement with the fee is unable to be reached, the Division shall advise the Commissioner in writing, through the appropriate channels, and with approval, initiate action to begin negotiations with the consultant who was listed number two by the Selection Committee and so on, if necessary.

~~(7)~~(8) Should it be impossible to reach an agreement with any of the consultants selected, the Commissioner will be so advised in writing.

~~(8)~~(9) The Commissioner will then request the Selection Committee to make a reassessment to determine whether or not to extend the list, to renegotiate with consultants from the existing selections, to accomplish the service "in-house" or to remove the work from the program.

~~(9) An executed copy of the agreement or supplemental agreements, shall be transmitted to FHWA on non-exempt projects.~~

(10) A negotiation memorandum shall be maintained for a three year period after final payment.

#### 8.8 Contract Modifications. --

(1) Contract modifications are required for any modifications in the terms of the original contract; significantly change the character, scope, complexity, or duration of the work; or significantly change the conditions under which the work is required to be performed.

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(2) A contract modification shall clearly outline the changes made and determine a method of compensation. ~~On non-exempt projects, FHWA approval of contract modifications shall be obtained prior to beginning the work except as noted in paragraph (d) of this section and on state funded contracts.~~

(3) Overruns in the costs of the work shall not warrant an increase in the fixed fee portion of a cost plus fixed fee contract. Significant changes to the Scope of Work may require adjustment of the fixed fee portion in a cost plus fixed fee contract or in a lump sum contract.

(4) ~~In unusual circumstances~~ When necessary to maintain schedules and/or as determined by the Commissioner of Highways, the consultant may be authorized to proceed with work prior to agreement on the amount of compensation and execution of the contract modifications. (See Letter of Intent) ~~If the project is not exempt, the FHWA shall have previously approved the work and concurred that additional compensation is warranted.~~ (This Letter of Intent process is used primarily when first initiating work).

8.9 Control of Work. -- After notification to proceed is given to a consultant in writing, the responsible Division will meet regularly with the consultant to discuss progress and problems as they may occur with notes of the meetings recorded in the project files. These meetings are usually held every month. At these meetings, a complete review of the progress to date is made with emphasis on acceptability of costs billed, as well as the next phases of the work to be performed. Periodic submission of data is also made in accordance with the applicable type project involved. All phases of contract work are viewed by the Division within the Division of Highways concerned with that particular type of work and that Division's opinion of the consultant's performance and expertise in their field is considered in the evaluation of the consultant for future work. If deemed necessary by the Division, visitation of the Consultant's office shall be made. For those tasks of short duration, the need for regular meetings may be waived. The responsible Division shall discuss problems as they occur. Documentation of the discussions shall be kept in the consultant's file.

8.10 Evaluation of Work. -- Upon completion or performance termination of the consultant's work, the responsible Division will prepare a report recording its evaluation of the consultant's efforts. It should include comments from other Divisions of the Division of Highways when appropriate. A copy shall be sent to the consultant for review and comment and any written comments received

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shall be attached to the final report. ~~A copy will be sent to FHWA on non-exempt federally funded work.~~ All consultants with active contracts shall be evaluated in March of each year on each active project. On contracts where the final product has been accepted by the Division but the final invoice has not been paid, the consultant will not need to be evaluated. Consultant contracts that are based on the calendar or fiscal year shall be evaluated in the last month of the contract.

8.11 Contract Closeout or Finalization. -- Upon completion of all contractual obligations by the consultant, a final audit will be requested from the Auditing Division by the responsible contracting officer.

8.12 Audit Followup. -- Primary responsibility for action and followup on audit findings and recommendations rest with the Division supervising the work. Timely action by these officials is an integral part of the audit system.

8.13 Protest Procedures. -- Consultants who feel they have not been selected to perform work for unjust cause may appeal to the Commissioner of Highways for a hearing to be held on their behalf. They must do so in writing within ten (10) days after the date of being notified of the determination. In addition, any claims or disputes in reference to payment, work, method of compensation or performance evaluation may be appealed to the Commissioner.

Matters concerning work performed, wherein federal funds are utilized in whole or part, may be protested to FHWA once all administrative procedures have been exhausted with the State. However, reviews of protests by the Federal agency will be limited to:

- (1) Violations of Federal law or regulations and;
- (2) Violations of the State's protest procedures for failure to review a complaint or protest. Protests received by the FHWA other than those specified above will be referred to the State.

8.14 Contractual Responsibilities. -- The Division of Highways is responsible for the settlement of all contractual/administrative issues. All settlements relating to contracts utilizing FHWA federal-aid funds shall be reviewed and approved by FHWA prior to participation in any additional costs

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(only on non-exempt work). The Division of Highways is responsible for determining the extent to which consultants are accountable for the professional quality, technical accuracy, coordination of services, and costs, for which consultants may be reasonably liable, resulting from errors or deficiencies in design furnished under its contracts. [See 23 CFR 172.5(c)(f)]

8.15 Disposition of Errors and Deficiencies. -- When it is determined that an error or deficiency exists, the Division responsible for oversight of the consultant's contracted work shall report its findings to the next highest level of management under whose direction the work was performed.

A review and analysis of the findings shall be made to confirm whether or not an error or deficiency exists, with agreement being reached on such with the reporting Division.

After an agreement has been reached, the findings shall be reported to the State Highway Engineer who, at his discretion, shall form a committee made up of the next lower level of management beneath the State Highway Engineer under whose direction the work was performed, the reporting Division and the State Highway Engineer, to further review the findings.

The State Highway Engineer shall report his findings to the Commissioner for final disposition.

8.16 Record Keeping. -- Unless otherwise noted, all documentation under this procedure will be retained on file at the Division of Highways and would be available for review by FHWA.

EXHIBITS

- A. Solicitation of Letters of Qualification.
- B. Suggested Notice for Consulting Services.
- C. 23 CFR 172.5(c).
- D. Alternate Procedure Concurrence

EXHIBIT A

SOLICITATION OF LETTERS OF QUALIFICATION

The following items are typical of those to be obtained from or furnished to the consultants from whom Letters of Qualification are solicited:

Typical information to be obtained from consultant:

1. Overall capabilities to handle the project, i.e., work force, work load;
2. Work to be subcontracted;
3. Location of office in which the work will be performed;
4. Assurance that a job order cost accounting system is maintained and is capable of segregating and identifying accumulating costs for cost-type contracts; and
5. Consultant's Qualification Questionnaire, if a current copy is not on file with the Department.

These items should be listed in the advertisement in their relative order of importance for evaluation.

Typical information to be furnished to consultant:

1. Type of service required;
2. Description and location of the work;
3. Any data or work that is a prerequisite to the project;
4. Anticipated schedule for performing the service; and
5. Date by which proposal must be submitted.

SUGGESTED  
NOTICE  
FOR  
CONSULTING SERVICES

Notice is hereby given that consulting engineering services will be utilized for the preparation of construction contract plans and related documents for Project \_\_\_\_\_ in \_\_\_\_\_ County. The work will consist of \_\_\_\_\_

Firms interested in being considered for this project must submit a letter of interest and unpriced proposal to \_\_\_\_\_, Director, \_\_\_\_\_ Division, Room \_\_\_\_\_, Division of Highways, Building Five, State Capitol Complex, Charleston, West Virginia 25305 prior to 4:00 p.m. on \_\_\_\_\_, 199\_\_\_\_.

As a minimum, the proposal will include the following items listed in their relative order of importance for evaluation:

1. Overall capabilities to handle this work, including work force available to assign to the project, personnel qualifications and present work load.
2. Location of office in which the engineering work would be performed.
3. Amount of the proposed to be subcontracted.
4. Division's Cost Accounting Information Statement indicating whether a cost accounting system has been maintained and is in effect.

Additionally, a completed copy of the Division's Consultant Engineer Confidential Qualification Questionnaire and Cost Accounting Information Statement, if not already on file, and any brochures or other information that may have a direct relation to the subject project.

The method of payment to be used on this project will be:

It is the policy of the West Virginia Division of Highways that Disadvantaged Business Enterprises shall have the maximum opportunity to participate in the performance of contracts financed in whole or in part with Federal funds.

23 CFR 172.5(c)

Prenegotiation audits. The contracting agencies shall prepare prenegotiation audits to provide the necessary data to assure that the consultant has an acceptable accounting system, adequate and proper justification of the various rates charged to perform work and is aware of the Federal Highway Administration's cost eligibility and documentation requirements.

- (1) Prenegotiation audits and the resultant audit opinions are required for all contracts expected to exceed \$250,000 and for contracts of less than \$250,000 where:
  - (i) There is insufficient knowledge of the consultant's accounting system.
  - (ii) There is previous unfavorable experience regarding the reliability of the consultant's accounting system, or
  - (iii) The contract involves procurement of new equipment or supplies for which cost experience is lacking.
- (2) The use of an independent audit, an audit performed by another State/Federal agency or an audit performed by another local governmental agency is acceptable if the information is current and of sufficient detail.
- (3) Prenegotiation audits may be waived when sufficient audited consultant data is available to permit reasonable comparisons with the cost proposal.

ALTERNATE PROCEDURE CONCURRENCE

The section contained in Series I, Section 8, of the Rules and Regulations of the West Virginia Department of Transportation, Division of Highways, dated April 1992 details the various procedures and documentation required for procuring and using consulting services.

In several paragraphs, reference is made to the involvement and/or approval of the Federal Highway Administration (FHWA). The regulations in 23 CFR 172.15 allows the Division of Highways to request approval under "Alternate Procedures." The Division has requested this option and FHWA has concurred.

Based on this concurrence, the Division has the review and approval authority for all actions in the process from establishing the need for consultant services through the selection, negotiation and contract approval except as noted below. The Commissioner of Highways or his designee will handle all approvals noted in the Procedures as being the responsibility of FHWA.

The FHWA shall remain involved in any action brought under the Protest Procedures in Section 8.13 and contractual/administrative issues in Section 8.14 of the Procurement Procedures for Negotiated Contracts.

Further, the FHWA has agreed that in the interest of simplifying procedures and reducing paperwork, all executed contracts and contract modifications are to be transmitted to and be retained in the Commissioner's files. This eliminates the requirement to submit executed contracts to FHWA.