VDOT
Virginia Department of Transportation

Agenda

1. Welcome – Russ Dudley
2. General Overview of LAD & LAP's – Russ Dudley
3. VDOT Project Coordinator VS LPA Project Manager – Anthony Ford
4. Challenges to the LAP Program – Todd Halacy
5. Project Administration – Michael Fulcher, Kurt Kuppert, Denetta Cole, Kelly Waldrop, John Simmers
6. VDOT Guidance & Support – Jay Lindsey
7. LAD Initiatives – Julie Brown

LOCAL ASSISTANCE DIVISION
Project Coordinator Training

Russ Dudley

Local Assistance Staff
This is us

585 total years of VDOT experience

25 staff members
20 classified, 4 hourly

Years at VDOT range from 1 to 44

3 former VDOT Resident Engineers

14 have worked in VDOT District or Residency

6 have worked in another state agency

4 have worked in Local Govern-ment

4 have served in the Military

17 have worked in other VDOT divisions

VDOT

Local Programs Administered by Local Assistance Division

Revenue Sharing	**Access Programs (EDA, Rec, Airport)**	**Transportation Alternatives**	**Rural Rustic Roads**
Outreach	**Local System (Urban/ Secondary)**	**Federal Lands Access Program** **ARC Access**	**SGR/Primary Extension/High Volume Unpaved**
Urban Construction Initiative	**Compliance Assessments**	**Locally Administered Projects/Programs**	**Misc** **Coal Severance** **VA Byways**

Revenue Sharing Program Overview

Program Facts:

- **50/50 matching program**

- **Open to Counties and Cities, and Towns in the Urban System**

- **Program allocation up to $100 million**

- **Locality Limit $5M per year – Lifetime Project Limit $10M**

- **Stricter Transfer Limits in Place based on update**

- **Projects prioritized based on Code**

  - **Project previously received Revenue Sharing funds**

  - **Project meets Statewide Transportation need or receipt of funding will accelerate project in locality's capital improvement plan**

  - **Project addresses pavement or bridge deficiency**

FY19 & 20 Revenue Sharing Program

- **Total Requests: $246.7M**
- **Budget for FY19 & 20 Revenue Sharing: $200M**
- **Funds Previously De-allocated by CTB: $17.2M**
- **Total Available for FY19 & 20 Requests: $217.2M**
    - **Request meeting first priority criteria – fund at 100%**
    - **Requests in Priority 2 – fund up to first $1M per locality at 100% and pro-rate requests over $1M at 91.8%**
    - **Insufficient funding available for third priority or other requests**

Revenue Sharing Next Steps

- **Applications for FY21 and FY22 accepted next year**
- **Next Cycle will include a pre-application**
- **Pre-applications likely due in spring 2019 (May-June review)**
- **Final applications due October 1st**
- **Continued focus on schedules and projects progressing**

Access Road Programs

- **Economic Development**
  - **Provides funding for adequate access to qualifying development sites**
  - **May improve existing roadway, construct new roadway, or combination**
  - **Funding maximum is $650,000 ($500,000 unmatched & $150,000 matched)**

- **Recreational Access**
  - **Provides funding for access to public recreational or historic areas owned by the state or a local government**
    - **Roads – Funding Maximums**
      State facility: $400,000; Local facility: $350,000 ($250,000 unmatched & $100,000 matched)
    - **Bikeways – Funding Maximums**
      State facility: $75,000; Local facility: $75,000 (60,000 unmatched & $15,000 matched)

- **Airport Access**
  - **Provides funding for adequate access to licensed, public-use airports**
  - **Funding maximum is $650,000 ($500,000 unmatched & $150,000 matched)**

Urban Maintenance Program Local Maintenance Payments

- **Eligibility Requirements for Maintenance Payments:**
  - Urban street acceptance criteria established in Code Section 33.2-319
  - CTB approves mileage additions/ deletions
- **Payment - General**
  - Payments based on moving lane miles (available to peak-hour traffic)
  - CTB approves payment amounts to localities
  - Localities annual growth rate is based upon the base rate of growth for VDOT's maintenance program
  - Payments to localities made quarterly
- **Payment Categories/FY19 Rates – Based on Functional Classifications**
  1. Principal and Minor Arterial Roads: $21,689 per lane mile
  2. Collector Roads and Local Streets: $12,734 per lane mile
- **Annual Arterials Inspections (typically coordinate with Residencies)**
- **Similar Program for Arlington / Henrico**
- **Total ~ $440M**

State of Good Repair (SGR)/Primary Extension Paving Program Criteria

- **Accept applications on an <u>annual</u> basis to support pavement overlay, rehabilitation, or reconstruction projects** (FY19: Nov – Jan; FY20: Oct – Dec)
  - Maximum request of $1M per locality, per year
  - Roadway must have Combined Condition Index (CCI) rating of less than 60
  - Projects must be advertised within 6 months of allocation
  - Maintenance of Effort Certification required
- **Prioritize projects for funding based on technical score that considers pavement condition, traffic volume, and past expenditures**
  - Pavement condition (CCI) – 45%
  - On the National Highway System (NHS) – 10%
  - Traffic volume – 30%
  - Prior expenditures – 15%
- **The SGR local program is currently exempt from the federal process until FY2021**

FY19 SGR/Primary Extension Paving Applications: General Information

- **Scored 162 applications with requests over $41.9M**
- **Applications received from 48 localities representing all 9 districts**
- **Funding for locality's primary extensions available from both State of Good Repair (SGR) funds and CTB formula funds**
- **Prioritized and selected primary extension projects using SGR funds first followed by the CTB formula funds**
- **75 total paving projects will received funding representing 33 localities**

SGR – Scoring Process – Bridges (Locally Owned)

- **Accept applications on an <u>annual</u> basis to support bridge rehabilitation, or reconstruction projects** (FY19: Nov – Jan; FY20: Oct – Dec)
  - **Bridge must be structurally deficient & on National Bridge Inventory**
  - **The bridge must not have been replaced or undergone a deck and/or superstructure replacement during the ten (10) years prior to the date of application**
  - **Proposed work must take bridge out of structurally deficient status**
  - **Localities must be current on bridge inspections**
  - **Starting in 2021, the prior fiscal year bridge maintenance expenditures, as reported to the Weldon Cooper Center, to be a minimum of 2%**
  - **Project receiving funding under this program must initiate the Preliminary Engineering or the Construction Phase within 24 months of award of funding or become subject to deallocation**
  - **Federal Projects (first year allocations were exempt)**
- **Prioritize projects for funding based on technical score that considers bridge prioritization and cost effectiveness**

SGR Locally Owned Bridges – Second Round Selections

- **Funded for 6 years (FY2019–FY2024)**
  - **Funding programmed according to schedules (to the extent possible)**
    - Localities to refine project schedules as necessary
- **State of Good Repair Projects well distributed**
  - **28 total structures funded (21% of total)**
    - 134 Locally Owned Structurally Deficient Structures as of July 1, 2017
    - 22 Locally Owned Structurally Deficient Structures identified as being funded with other funding sources
- **15 of 40 eligible localities have structures funded**
- **Type of work**
  - **18 Replacement**
  - **10 Rehabilitation**

Transportation Alternatives Program
(Surface Transportation Block Set-Aside Grant)

- **Intended to improve non-motorized transportation, enhance the public's travel experience, revitalize communities and improve the quality of life.**

- **Application Deadline – October 1st (now on a 2-year cycle)**

Transportation Alternatives Program

- **Available funding includes Transportation Alternatives (TA), Safe Routes to Schools (SRTS), and a Recreational Trail Programs mandatory set-aside**

- **Federal program**

- **10 eligibility categories**

- **The program requires a 20% local match**

- **In-Kind Donations acceptable (upon prior VDOT review and approval)**

- **These are typically locally administered projects**

FY19/20 Application Summary

Received November 1, 2017

134 Eligible Applications requesting ~ $66.1M

3 Withdrawn ~ $1.5M

Allocations FY19/20 ~ $40.2M, after Rec Trails distribution

Allocation Distribution	
MPO/TMA Areas	*$12.2M*
District Members	*$18M ($2M per District)*
At-Large Members/Secretary	*$10M*
Total	*$40.2M*

FY19/20 Transportation Alternatives Program Update
District Breakdown

District	# of Requests	Amount Requested	# Selected	Total Allocations
Bristol	12	$3,829,523	9	$2,387,399
Culpeper	8	$4,381,723	7	$4,098,673
Fredericksburg	2	$1,945,880	2	$1,945,880
Hampton Roads	27	$13,000,300	18	$7,729,462
Lynchburg	9	$3,154,681	9	$3,154,681
Northern Virginia	19	$14,662,378	15	$8,225,750
Richmond	24	$11,150,087	14	$5,874,599
Salem	14	$7,257,887	7	$3,073,830
Staunton	16	$5,456,798	11	$3,416,456
Total	131	$64,839,257	92	$39,906,730

Transportation Alternatives Next Steps

- **Applications for FY21 and FY 22 accepted next year**
- **Next Cycle will include a pre-application**
- **Pre-applications likely due in spring (May-June review)**
- **Final applications due October 1st**
- **Continued focus on schedules and meeting federal obligation and projects progressing**

Other Federal Aid Programs

➢ **Federal Lands Access Program**

- **Improve Access to Federal Lands**
- **Administered in Coordination with FHWA Eastern Federal Lands**
- **Funding and Application Periods vary**

➢ **Appalachian Regional Commission Local Access Road Program**

- **Links Appalachian Region together with Appalachian Development Highway System – Primarily Economic Growth**
- **Administered in Coordination by Appalachian Regional Commission**
- **23 Counties / 7 Cities Eligible in Virginia**
- **Rolling Application**

Scenic Byways

- **Distinctive routes with outstanding archeological, cultural, historic, natural, recreational, and scenic value**

- **Approximately 3,500 miles of roads have been designated as Virginia Byways**

- **5 Federally Designated Byways in Virginia**

- **Cooperative Program with the Department of Conservation and Recreation**

- **Context-sensitive design considerations**

Rural Rustic Roads

- **Practical approach to paving Virginia's low-volume roads**

- **Improves the road surface within the current right-of-way**

- **Funding from same sources as traditional unpaved road projects**

- **Traffic volumes must be less than 1,500 VPD**

- **Since Program Inception (2003) > 1,000 miles at cost saving of >$308M**

Board of Supervisors Manual

Board of Supervisors Manual

A quick reference guide to common VDOT activities

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VDOT

Statewide LAP Program Snapshot

| District	Projects	% of LAP Projects	CN $	% of LAP CN $
Bristol	390	11%	$ 1,171,249,810	7%
Culpeper	281	8%	$ 645,515,484	4%
District-Wide	3	0%	$ 50,646	0%
Fredericksburg	205	6%	$ 907,258,159	6%
HR	620	17%	$ 4,411,796,171	27%
Lynchburg	297	8%	$ 502,375,337	3%
Northern VA	490	13%	$ 3,418,492,895	21%
Richmond	574	16%	$ 1,706,637,801	11%
Salem	352	10%	$ 1,257,402,269	8%
Statewide	50	1%	$ 1,113,804,524	7%
Staunton	404	11%	$ 936,535,697	6%
Total	3666	100%	$ 16,071,118,793	100%

*Table values represent all current "Active" projects in VDOT's Project Pool application

LAP Percent of CN Projects

3666 Projects

LAPs 39%

VDOT 61%
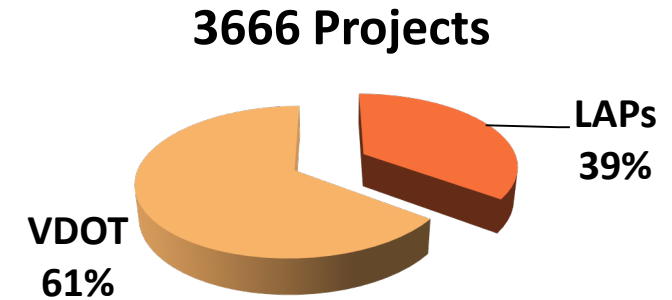
LAP Percent of Construction $$

$16,071,118,793

LAPs 19%

VDOT 81%
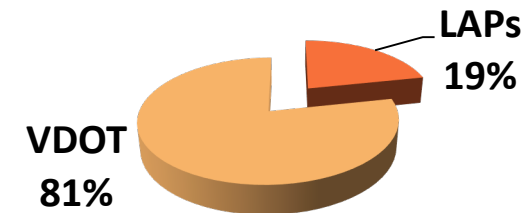
Locally Administered Projects
On-time Advertisements
Performance Reporting Results

Commitments Achieved Historical Data

2012 – 184 / $560M*
2013 – 186 / $284M
2014 – 191 / $249M
2015 – 168 / $288M
2016 – 147 / $326M
2017 – 229 / $327M

2018 – 180 / $264M (planned)

* includes the $320M Dominion Blvd. project in Chesapeake

Compliance Assessments

Two parallel, but <u>not</u> redundant processes:
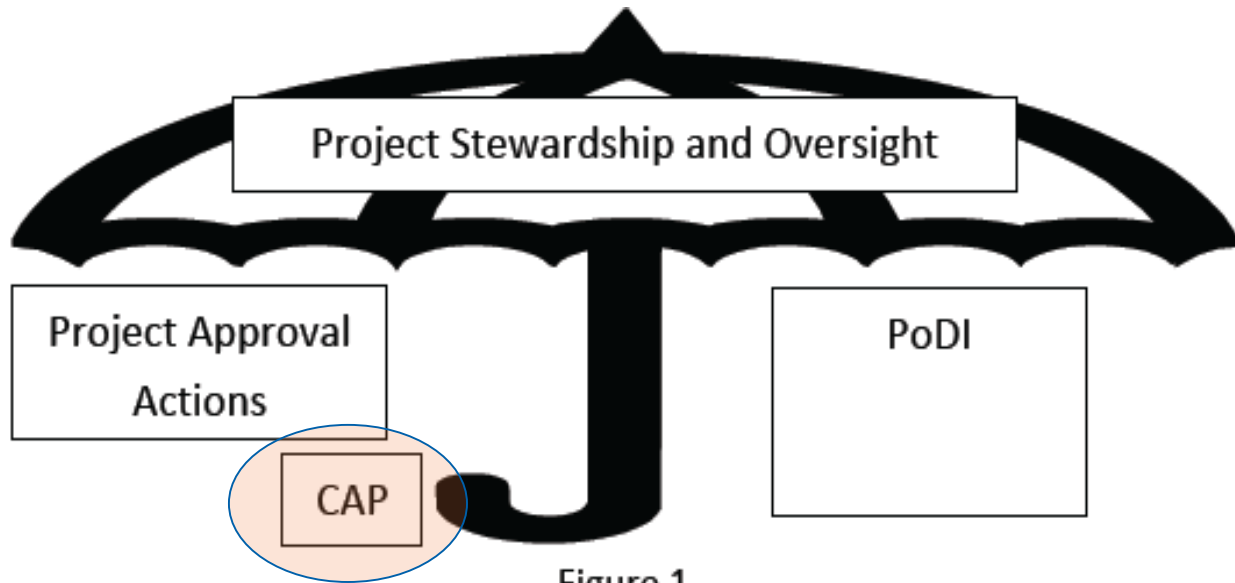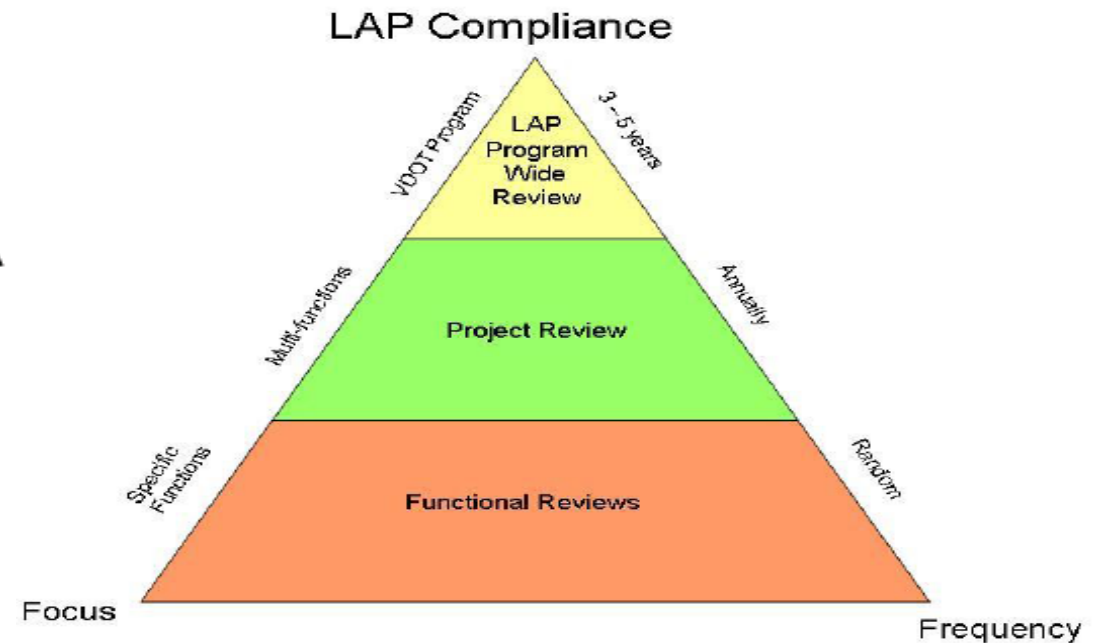
Federal (FHWA)

Figure 1.
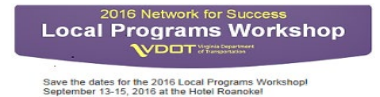
State (VDOT)

Results of Assessments
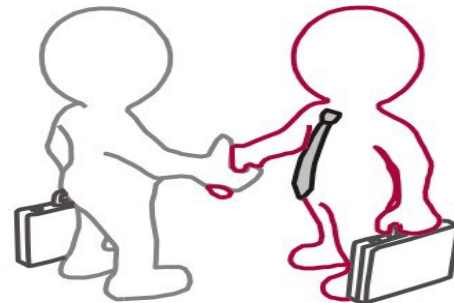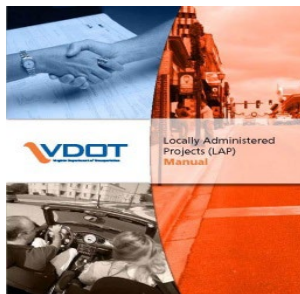

New Guidance
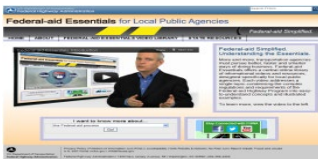
Training

Outreach Programs

Locally Administered Projects
Resources Galore!

- **Annual Local Programs Workshop**
- **LAD Tri-annual Newsletters**
- **LAD Core Curriculum Training**
- **UVA Transportation Training Academy**
- **NHI training modules**
- **FHWA "Federal-aid Essentials" videos**
- **LAP Manual and LAD program area guidance**
- **Function specific VDOT Manuals and Training**
- **The VDOT Project Coordinator**

LAD Webpage

2018 Local Programs Workshop

The Workshop will be held at the Hotel Roanoke

September 18 - 20, 2018

Questions?

Russ Dudley

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VDOT PROJECT COORDINATOR VS LPA PROJECT MANAGER

Project Coordinator Training

Anthony Ford

Who is a LPA Project Manager?

A LPA Project Manager manages the scope, schedule, and budget for a project and at a minimum:

- ✓ **Integrates team members deliverables and budgets**
- ✓ **Directs daily project activities**
- ✓ **Manages project cost and schedule**
- ✓ **Determines actions required to correct project variances**
- ✓ **Manages activities under their direct supervision**
- ✓ **Identifies risks and develops, monitors & manages mitigation plan**
- ✓ **Manages change to approved project requirements**

Who is a LPA Project Manager?

The LPA Project Manager has overall responsibility for guiding the project through the process and is the person who either "accomplishes the task" or "ensures others accomplish the task" necessary for successful project delivery.

Who is a VDOT Project Coordinator?

- **VDOT has a delegated responsibility to ensure that federal transportation funds are properly obligated, authorized, and utilized throughout project development and delivery.**

- **VDOT also is committed to assisting the LPA's so that they are successful in their management and administration of highway construction projects.**

- **In order to ensure effective communication between the LPA and VDOT, each organization is required to assign a governmental employee to lead their efforts.**

Who is a VDOT Project Coordinator?

The Project Coordinator (PC) is VDOT's governmental employee who is assigned to work with the LPA and to provide guidance, as needed, for all aspects of project development.

There is a Fundamental Difference!

A LPA Project Manager guides the project through the process to ensure successful project delivery

VS

A VDOT Project Coordinator guides the locality through the process to ensure successful project delivery and authorization/obligation of funds

⭐ **Acts as a liaison between Locality PM and VDOT technical staff**

What does a VDOT Project Coordinator Do?

- **The PC will be the LPA's liaison with VDOT staff having an approval, review, or advisory role for the project**

- **It is essential that adequate communication and coordination between the LPA and the PC be maintained**

What does a VDOT Project Coordinator Not Do?

- **The PC is not responsible for specific project administration**

- **The LPA must not expect the PC to provide quality control for their consultants' work**

Who is a VDOT Project Coordinator?

- **All communication to VDOT support and review staff must be coordinated with, or through, the VDOT PC**
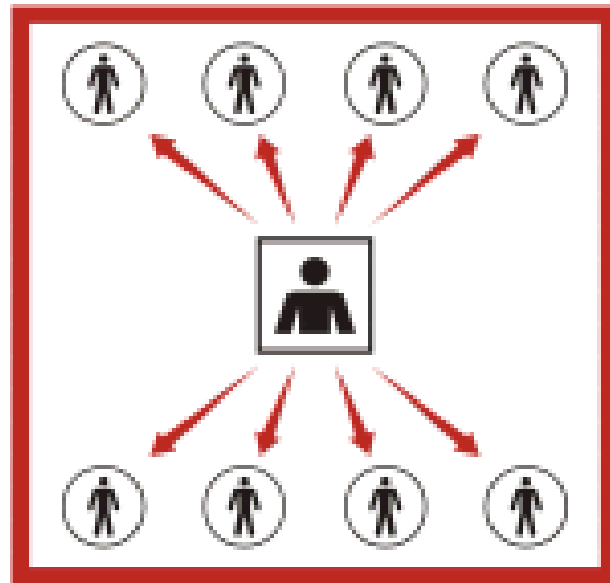
Who is a VDOT Project Coordinator?

General activities that the PC is responsible for include:

- ✓ **Provide the LPA with applicable guidance materials, forms, checklists**

- ✓ **Receive all submittals from LPA and coordinate VDOT reviews**

- ✓ **Provide feedback to LPA on all submittals**

- ✓ **Provide guidance as issues are identified**

- ✓ **Monitor LPA schedule and ensure federal obligations can be met**

- ✓ **Act as a liaison between LPA project manager and VDOT technical staff**

Team Work!

VDOT and Localities work as partners in the delivery of state and federal-aid transportation projects in Virginia

How to Get it Done

Recognize that both agencies (VDOT/Locality) are stakeholders in promoting a successful transportation program

- o **Reciprocal relationship with open and continual communication**

- o **Continue to build and support a partnership that maximizes successful project delivery**
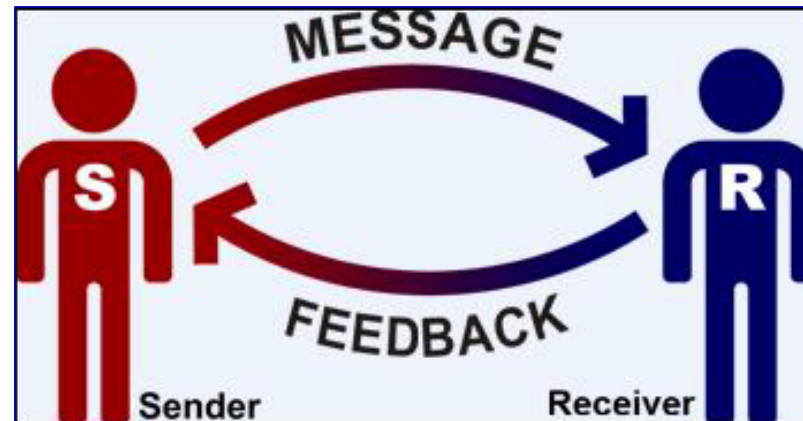
How to Get it Done

Increase and maintain communication

- o Conference Calls

- o Broadcast Emails

- o Monthly Coordination Meetings

- o Project / Task Specific Meetings

- o Use your Subject-Matter-Experts (SME's)

- o District Locality Day

- o Local Programs Workshop
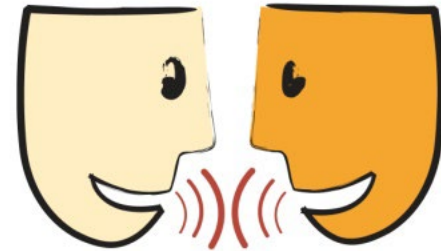
Make it worth their time and effort!

How to Get it Done

Become your own subject-matter-expert

◆ **LAP Manual** ◆ **Revenue Sharing Program Guideline** ◆ **Urban Manual**
◆ **Smart Scale Guide** ◆ **Transportation Alternatives Program Guidelines**
& more!
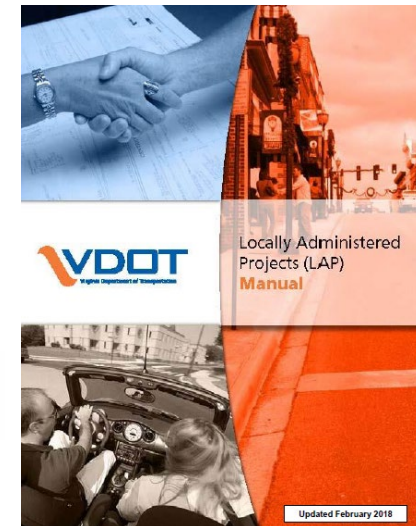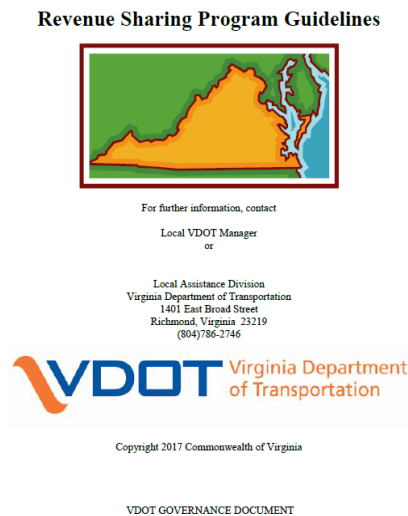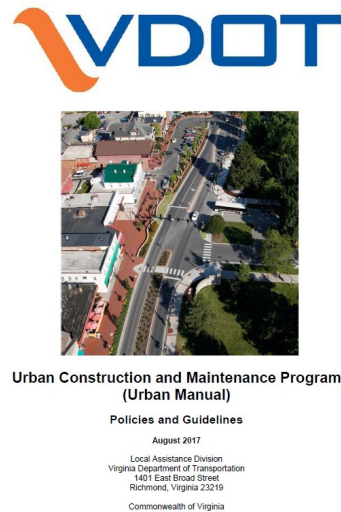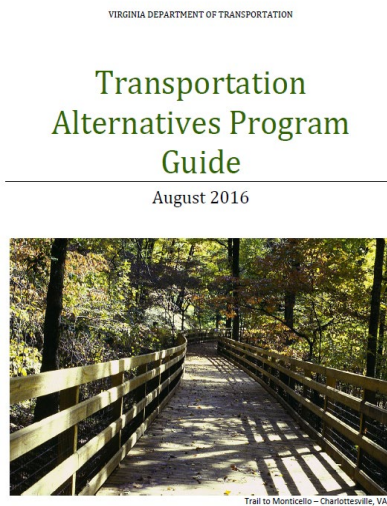
How to Get it Done

Leadership involves producing change through establishing direction, aligning people, and motivating and inspiring.

- **Set the direction**
- **Align resources**
- **Motivate team**
- **Communicate effectively**
- **Build relationships**
- **Successfully negotiate**
- **Lead the change**

Be the liaison between LPA project manager and VDOT technical staff!

Volume of Projects - Multi-Tasking

Remember - the VDOT Project Coordinator guides the locality through the process to ensure successful project delivery

- o Acts as a liaison between Locality PM and VDOT technical staff
- o The PC is not responsible for specific project administration
- o The LPA must provide quality control their consultant's work

Hundreds of Projects

- o Be proactive
- o Guide and assist
- o Prioritize your work
- o Be willing to help facilitate
- o Be willing to employ your SME's
- o Plan the work then work the Plan!

Locality Control of the Project Timeline

VDOT Dashboard

- o We are all accountable for delivery of projects on-time and on-budget!
- o Maintain Focus

When to set schedule and dates?

- o Programming Phase
- o SYP Development
- o Federal Obligation
- o Milestone Submittal

Local Reviews Competing for Resources

Our VDOT colleagues have responsibilities too!
- o **Project Delivery**
- o **Federal Strategy**
- o **Schedules & Estimates**

❖ **Build time into your schedules**

❖ **Milestone activities up to date**

❖ **Open & continual communication**

❖ **Be proactive, Be flexible, Prioritize**

Don't Underestimate the Time

- **Programming**
- **RTA / Agreement**
- **PE Authorization**
- **Scoping**
- **NEPA**
- **Public Involvement**
- **Milestone Submittals**

- **Plan review / QAQC Coordination**
- **Invoices**
- **Advertisement**
- **Award**
- **Project Closeout**

What Else?!

Let's Summarize!

LPA Project Manager guides the project through the process to ensure successful project delivery

VDOT Project Coordinator guides the locality through the process to ensure successful project delivery and authorization/obligation of funds

VDOT Project Coordinator acts as a liaison between Locality PM and VDOT technical staff

- ✓ Prioritize
- ✓ Be Proactive
- ✓ Update schedules
- ✓ Maintain Communication
- ✓ Be a pest, but be a nice pest

- ✓ Be flexible
- ✓ Use your SME's
- ✓ Build a partnership
- ✓ Negotiate resources/time
- ✓ Plan the work and then work the Plan

Questions?

Anthony Ford

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CHALLENGES TO THE LAP PROGRAM

Project Coordinator Training

Todd M. Halacy, P.E.

Misconceptions of LAP Program

By VDOT Staff:

o Minimal staff time

o VDOT projects are more important

o Treat all projects the same (one size fits all)

o Do it like VDOT does it

o Locals do not know what they are doing

o Locals do not want to cooperate

o Don't need locals

By Locality Staff:

o Quicker and cheaper project development

o VDOT bureaucracy w/ no flexibility

o Constant roadblocks

o State and Federal laws don't apply

o No VDOT

New/ Changing Staff

- **VDOT**
  - **VDOT retirements and/or reorganization**
  - **New project coordinators**
  - **More staff/ divisions touching local projects**
  - **Staff inexperience**
  - **Lack of knowledge of federal and state laws**
  - **Large number of Local Programs**

- **Locals**
  - **Localities facing staffing reductions, retirements or reorganization**
  - **Many more local staff working on VDOT projects**
  - **Greater dependency on Federal Funding**
  - **Lack of knowledge of federal and state laws**
  - **Relying on consultants to do more**

Consultants

- **Greater dependency on consultants**
- **Consultants have competing priorities**
- **Lack of knowledge of state and federal project development requirements**
- **Lack of locality oversight of consultant work**
- **Communicating directly with VDOT**
- **Shortcuts - Trying to save locality time and money**
- **Some taking advantage of localities**

Competing Priorities

- **General**
  - Doing more with less
  - Lack of trust
  - More projects being local administered
- **VDOT**
  - Reduction in staff
  - VDOT projects take priority
  - Federal Strategy
  - Reporting requirements

- **Locals**
  - BOS/ Council Priorities
  - Constituent expectations
  - Local vs State/ Federal projects
  - Providing updates for VDOT reports/ systems

Other Project Requirements

Federal Strategy:

- Important to Commonwealth
- Projects on federal strategy take priority
- Depend on locals to assist with federal strategy
- Continue to reemphasize the importance of program
- VDOT/ Localities collaboration
- Updated estimates and schedules
- Need to work off the same spreadsheets
- Other projects

Fire Reports:

- Federal requirement
- Shows project inactivity
- Important that locals invoice VDOT consistently
- Realistic estimates and schedules
- Project Delivery Meetings
- Quarterly Reporting
- Project End Dates (PED) for closeout of phases

VDOT Databases

- **Databases: Dashboard, NVAP, PCES, iPM, SYIP, etc…**
- **General Information:**
  - **Limited access to VDOT programs**
  - **Locals dependent on VDOT entering their data in systems (exception is NVAP and PCES)**
- **Why important?**
  - **Reports being generated with information from systems**
  - **Inaccurate information**
  - **Hurts locality performance records**
  - **Conflicting priorities**
  - **Accountability**

RISK-BASED APPROACH TO LOCAL PROJECT OVERSIGHT

Project Coordinator Training

Todd M. Halacy, P.E.

VDOT and Locality Expectations

The Federal Perspective

o   **VDOT has an oversight (and stewardship) requirement when federal funds are being utilized; VDOT is responsible to ensure that localities have "adequate resources and sufficient accounting procedures" to manage federally funded projects (23 CFR 635.105 (a))**

o   **Localities are required to provide sufficient construction inspection to ensure project is constructed in accordance with contract specifications & plans (23 CFR 635.105(c))**

o   **Localities must provide a government employee to be "responsible charge" on the project (23 CFR 635.105(c)(4))**

o   **While the tasks can be completed by local governments, certain responsibilities cannot be completed deferred/delegated to Localities**

VDOT and Locality Expectations

LAP Manual Chapter 2 – LPA Qualifications

Local Public Agencies (LPA) demonstrate their qualifications:

o **Request to Administer (RtA) – outlines qualifications & capabilities**

o **Adequate project delivery systems – capital project experience, staff experience and education**

o **Sufficient accounting controls – financial records and audits**

Federal law requires document retention for a minimum of three years after final financial closeout of the project.

VDOT and Locality Expectations

LAP Manual Chapter 3 – Roles and Responsibilities

VDOT:

o **Has a delegated responsibility to ensure that federal transportation funds are properly obligated, authorized, and utilized.**

o **This responsibility extends from the programming of the funds through project completion and closeout.**

VDOT and Locality Expectations

LAP Manual Chapter 3 – Roles and Responsibilities

Local Public Agency (LPA):

- Must provide a <u>full-time local government employee</u> responsible for the project.
- Must provide for a Virginia licensed professional engineer *(may be contracted)* to be in responsible charge during design and construction engineering of the project.

★ *The LPA must be diligent to insure compliance with all applicable <u>federal</u> and <u>state</u> requirements.*

Risk-Based Oversight

Not every project needs the same level of review / oversight

**LAP Manual Chapter 9,
   Section 9.4.2**

Oversight = VDOT Risk

PART 1
Program Development
Chapter 9
Project Development
Overview / Summary

Locally Administered
Projects (LAP) Manual

LAP Manual Appendix 9-B:
- **Federal-Aid (NHS/FO)**
- **Federal-Aid (non-NHS)**
- **State-Aid (VDOT Maintained)**
- **State-Aid (Locally Maintained)**

Risk-Based Oversight

NFO (Non-PODI)	**FHWA**	FO (PODI)
Non-NHS	**Facility**	NHS
State	**Funding**	Federal
Locality	**Owner**	VDOT
Type I	**Project Category**	Type V
Extensive	**Experience**	Minimal

LOW ←————————————→ **HIGH**

Putting into Practice?

Appendix 9-C Project Risk and Oversight Evaluation

Risk Based Assessment – Project Categories
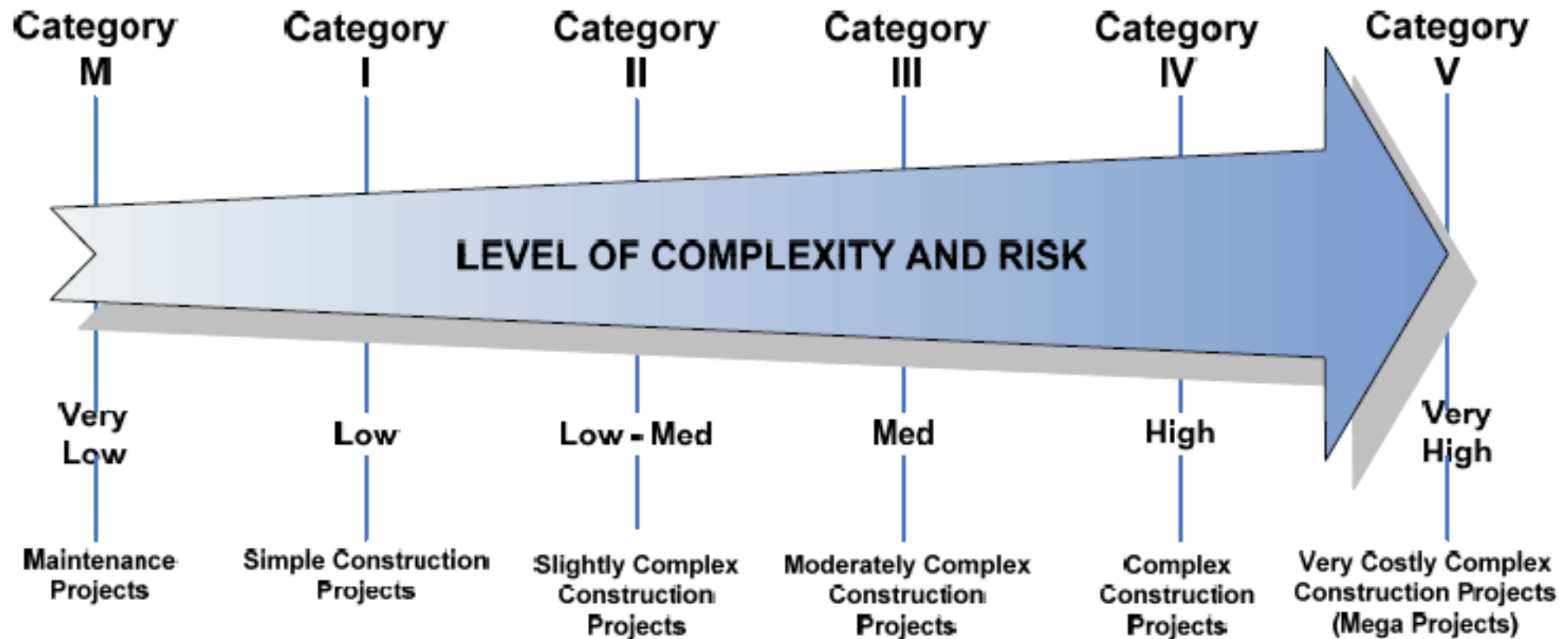
VDOT POST-AWARD SCHEDULING GUIDE (Section I – 5, pg13)

http://www.virginiadot.org/business/resources/const/PostAwardSchedGui.pdf

Risk-Based Oversight

Element	Value (factor)	Check Elements That Apply	Total Factor per Element
Federal Oversight	20		
National Highway System	20		
Funding			
Federal Funded (non-Enhancement)	15		
State Funded	10		
Federal Enhancement (Impacts R/W)	7		
Federal Enhancement (Off R/W)	1		
Completed Project Maintenance			
State Maintained Project	10		
LPA Maintained Project	2		
Project Category *			
Category I	2		
Category II	5		
Category III, IV, V	10		
LPA Experience Administering Project			
Low Level	15		
Intermediate Level	10		
High Level	5		
Factor Total			

Level of Oversight	Range of Factor Total	
High (H)	> 45	
Moderate (M)	25-55	
Low (L)	< 35	

Table 2 – Oversight Assessment

Oversight Level	Minimum Oversight Activities
Low	• Kickoff (scoping) meeting attendance • Plan development coordination meeting • Final plan review • Pre-construction meeting attendance • Random site visits during construction • Final acceptance inspection
Moderate	• Kickoff (scoping) meeting attendance • Plan development coordination meeting • 30 percent plan review • Public hearing attendance • Final plan review • Pre-advertisement contract review • Pre-award bid review • Monthly to quarterly site visits during construction • Final acceptance inspection
High	• Kickoff (scoping) meeting attendance • Monitor consultant procurement process • Environmental coordination meeting • Plan development coordination meeting • Right-of Way coordination meeting • 30 percent plan review • Public hearing attendance • 60 percent plan review • 90 percent plan review • Bid document review • Pre-award bid review • Pre-construction meeting attendance • Weekly to monthly to quarterly site visits during construction • Final acceptance inspection

Risk Based Assessment Tool – Example 1

Locally-Administered Projects
VDOT Oversight level & Manpower Estimate

UPC #	68907
Project	John Rolfe Parkway Phase II
Locality	Henrico County

Element	Value (factor)	Check Elements That Apply	Total Factor per Element
Federal Oversight	20		
National Highway System	20		
Funding			
Federal Funded (non-Enhancement)	15	x	15
State Funded	10		
Federal Enhancement (Impacts R/W)	7		
Federal Enhancement (Off R/W)	1		
Completed Project Maintenance			
State Maintained Project	10		
Locality Maintained Project	2	x	2
Project Category			
Category I	2		
Category II	5		
Category III, IV, V	10	x	10
Locality Experience Administering Project			
Low Level	15		
Intermediate Level	10		
High Level	5		
Manage Own Program	1	x	1
Factor Total			28

Dates	
Begin	*07/01/2009*
End	*11/30/2010*
Duration	17 months
	517 cal days
	74 weeks

CEI Oversight Costs		
	Man-Hours	Cost
High (H)	8 per week	$ 750.00
Moderate (M)	8 per month	$ 750.00
Low (L)	2 per month	$ 188.00

Total:	Manhours	Cost
High (H)	592	$ 55,500.00
Moderate (M)	136	$ 12,750.00
Low (L)	34	$ 3,196.00

Monthly Review of Certifications & Vouchers		
	Man-Hours	Cost
High (H)	8 man-hrs per month	$12,750.00
Moderate (M)	8 man-hrs per month	$12,750.00
Low (L)	4 man-hrs per month	$ 6,375.00

Total Costs			
	CEI	Review	Total
High (H)	$55,500.00	$ 12,750.00	$ 68,250.00
Moderate (M)	$12,750.00	$ 12,750.00	$ 25,500.00
Low (L)	$ 3,196.00	$ 6,375.00	$ 9,571.00

Level of Oversight	Range of Factor Total		Frequency of District Reviews
High (H)	> 45		Weekly to Monthly
Moderate (M)	25-55		Monthly to Quarterly
Low (L)	< 35		Randomly; infrequently

Risk Based Assessment Tool – Example 2

Date	6/13/2018
UPC	113711
Locality	Danville
VDOT PM	
PE Estimate	$31,000
RW Estimate	$10,000
CN Estimate	$164,000
Total Estimate	$205,000

Element	Value Factor	Value Factor of Elements that Apply
Federal Oversight	20	N/A
National Highway System	20	N/A
Design-Build/PPTA	20	N/A
Funding		
Federal Funded (non-Transportation Alternatives)	15	N/A
State Funded	10	N/A
Federal Transportation Alternatives (Impacts R/W)	7	N/A
Federal Transportation Alternatives (Off R/W)	1	1
Completed Project Maintenance		
State Maintained Project	10	N/A
LPA Maintained Project	2	2
Project Category		
Category M, I	2	2
Category II	5	N/A
Category III, IV, V	10	N/A
LPA Experience Administering Project		
Low Level	15	N/A
Intermediate Level	10	N/A
High Level	5	5
Locality Self Certify (applicable to Revenue Sharing Program)	(15)	N/A
TOTAL		10

Risk Level	Factor Total	Oversight Rate/ Percentage	Percentage of Total Estimate
High	Equal to greater than 55	Min $20,000 - 15%	
Medium-High	Between 45 and 55	Min $17,250 - 12%	
Medium	Between 35 and 45	Min $15,000 - 9%	
Medium Low	Between 25 and 35	Min $12,250 - 6%	
Low	Less than 25	Min $10,000 - 3%	$10,000.00

TOTAL VDOT OVERSIGHT $16,500.00

Comments: VDOT completes the NEPA Document on TAP Projects - will need $6,500 for PCE/Architectural Studies/Phase 1. Upon review if it is determined that the Architectural Studies/Phase 1 not needed then those funds can go back to the project. The grant application shows $10,000 for VDOT OS and $2,000 for the Environmental.

Risk Based Assessment (Continued)

- **General Take-Away:**
  - **VDOT has limited time and resources, so don't treat each local project the same**
  - **Use Risk Based Assessment to determine the level of VDOT oversight**
  - **This should be done early along with the Local Project Manager**
  - **The level of oversight should be reviewed and re-evaluated throughout the life of the project**
- **Upcoming Activities:**
  - **Working with District Advisory Group (DAG) on possible modifications/ changes to the Risk Based Assessment documentation**
  - **LAD evaluating VDOT oversight costs for similar projects statewide**

Risk-Based Oversight – State Aid Certification

State-Aid Project Certification

- o **No requirement to provide oversight / review**
- o **Poses no or minimal risk to VDOT**

Locality certifies proper administration of:

- o **Design (VDOT review for VDOT-maintained)**
- o **State procurement**
- o **Right of Way Acquisition / Relocations**
- o **Public Involvement**
- o **Environmental (SERP > $500,000 exception)**

Not applicable to projects developed as federal

State-Aid Project Certification

Appendix 5-A

Certification Form for State Funded Projects

Project Number: UPC:

This certification form is to be used to certify adherence to all applicable laws and regulations pertaining to locally administered state funded projects. This certification form will not be used for projects utilizing any federal funds. The signature at the bottom will certify that <INSERT LOCAL GOVERNMENT NAME> has met the following requirements for state funded projects. VDOT may perform project audits to verify compliance with this certification. False or inaccurate statements identified by VDOT or other state regulatory agencies may result in the requirement to return state aid and/or other penalties as allowed by State law.

Initials	Certification Statement
	Check applicable statement: ☐For highways maintained by the LPA, project plans have been designed in accordance with AASHTO standards and signed and sealed by a Virginia registered P.E. in accordance with DPOR; **OR** ☐For highways which will be operated and maintained by VDOT, project plans have been designed in accordance with VDOT Standards and that VDOT has reviewed the plans in accordance with the agreed upon schedule and all necessary design variances/waivers have been attained and the plans have been signed and sealed by a Virginia registered P.E. in accordance with DPOR.
	All required regulatory agency coordination has been made and applicable permits or approvals have been acquired.
	Where VDOT will operate and maintain the highway, that the LPA has performed appropriate due diligence to identify environmental hazards on new right of way and to the best of our knowledge, any existing environmental hazards have been identified and mitigated or a plan for mitigation during construction has been made.
	Project was developed in accordance with State laws and regulations governing public involvement so that adequate and appropriate public notice and opportunity for public comment was provided.
	All right of way has been obtained and that the LPA has legal right of entry onto each and every parcel for the advertisement and construction of the referenced Project.
	The LPA has complied with the Code of Virginia requirements pertaining to relocations and the acquisition of real property.
	All affected utilities have been relocated or companies authorized to relocate their facilities. If not, they are included as in-plan work to be performed by the road contractor.
	The project was advertised in accordance with the Virginia Public Procurement Act and that the advertisement package included all appropriate EEO provisions.
	All environmental regulations as are applicable to local government capital improvement projects and as required by State or federal laws applicable to non federal-aid projects have been met or provisions to meet continuing requirements during construction have been made.

<INSERT LOCAL GOVERNMENT NAME> acknowledges that failure to fulfill its legal obligations associated with those requirements identified in this certification may result in project delays and/or delays or forfeiture of State reimbursements. <INSERT LOCAL GOVERNMENT NAME> further acknowledges that obligations associated with those requirements identified in this certification may be subject to audit by VDOT or State oversight agencies.

_____

Local Government Manager (City Manager, County Administrator, City Engineer or County Director of Public Works or designated authority to sign)

_____

Date

cc: Project file
VDOT Project Coordinator
VDOT Local Assistance Director

State-Aid Certification form located in LAP Manual Appendix 5-A

Local Project Delivery Options Available

Programmatic approval with Streamlined Process

Programmatic Approval

Approved on a project by project basis

VDOT Project Administration	Local Project Administration	UCI Member (Non-Certified)	UCI Member (Certified)
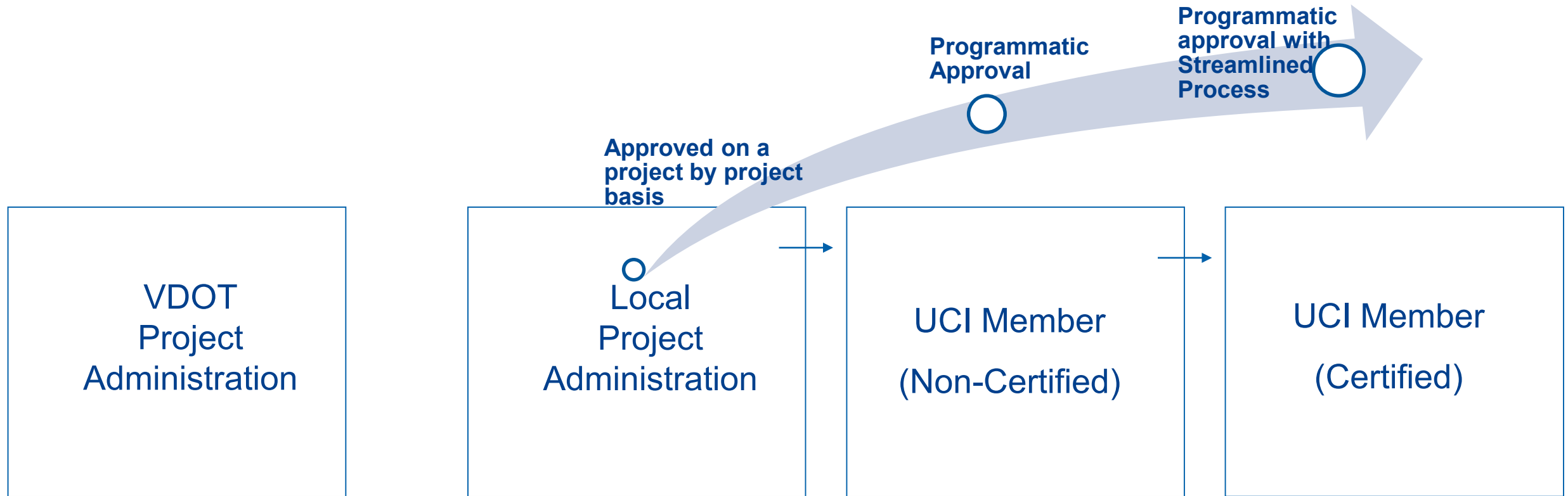
VDOT administers individual Project on behalf of locality – Reference VDOT Road & Design Manual

Locality administers individual Project – Reference VDOT's LAP Manual

Locality administers Urban Program – Reference VDOT's UCI Guide

Locality administers Urban Program using Streamlined Project Delivery Process – Reference VDOT's UCI Guide

Compliance: Following Regulations

- **FHWA Compliance Assessment Program (CAP)**
  - **Core Checklist**
  - **Technical Review**

Figure 1.

- **VDOT Locally Administered Projects Compliance Assessment Program**
  - **Program wide reviews:**
    - **LAP program evaluation (3-5 years)**
  - **Project reviews:**
    - **individual project (8-10 per year)**
  - **Functional reviews:**
    - **discipline specific (ongoing)**
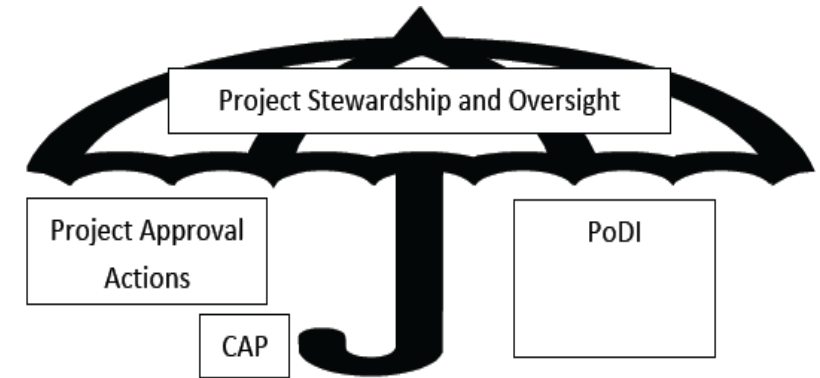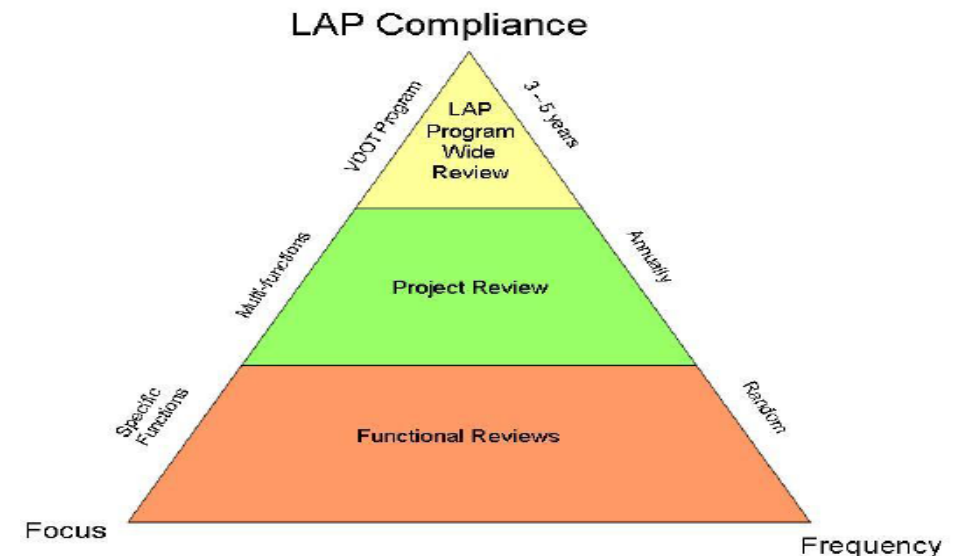
Questions?

Todd M. Halacy, P.E.

Todd.Halacy@vdot.virginia.gov

USING THE LOCALLY ADMINISTERED PROJECTS (LAP) MANUAL & SMART PORTAL

Project Coordinator Training

Michael Fulcher

LOCALLY ADMINISTERED PROJECTS (LAP) MANUAL
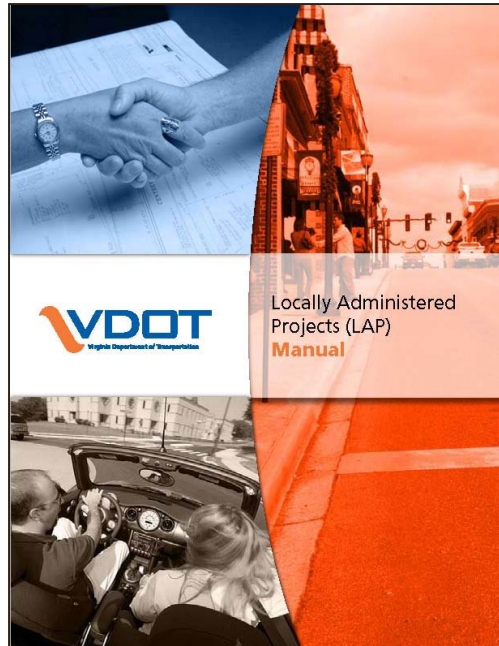
- **The LAP Manual was reviewed and approved by the FHWA – Virginia Division and VDOT in July 2009**

- **The primary source of guidance for local governments in Virginia administering locally administered projects**

THE LAP MANUAL - PURPOSE

- **To provide guidance and direction to all stakeholders**

- **Outlines federal requirements for localities choosing to administer VDOT funded projects, with an emphasis on federal-aid**

- **Provides guidance to VDOT staff assigned an oversight role to locally administered projects**

THE LAP MANUAL - ACCESSING

▶ Local Assistance Division

About | Access Programs | Training-Outreach | Local Projects | Other Programs | Revenue Sharing
Rural Rustic Roads | Scenic Byways | State Programs | Transportation Enhancement/Transportation Alternatives | Urban Construction
Initiative | Devolution | Urban Highways

Locally Administered Projects

Virginia's transportation program delivery continues to evolve to include increasing roles and responsibilities by local governments.

Much of this change has been initiated through changes in Virginia Department of Transportation (VDOT) business philosophy, the Virginia General Assembly's direction through legislation, and an increase in local funding to meet transportation needs.

- Locally Administered Projects Manual

http://www.virginiadot.org/business/locally_administered_projects_manual.asp
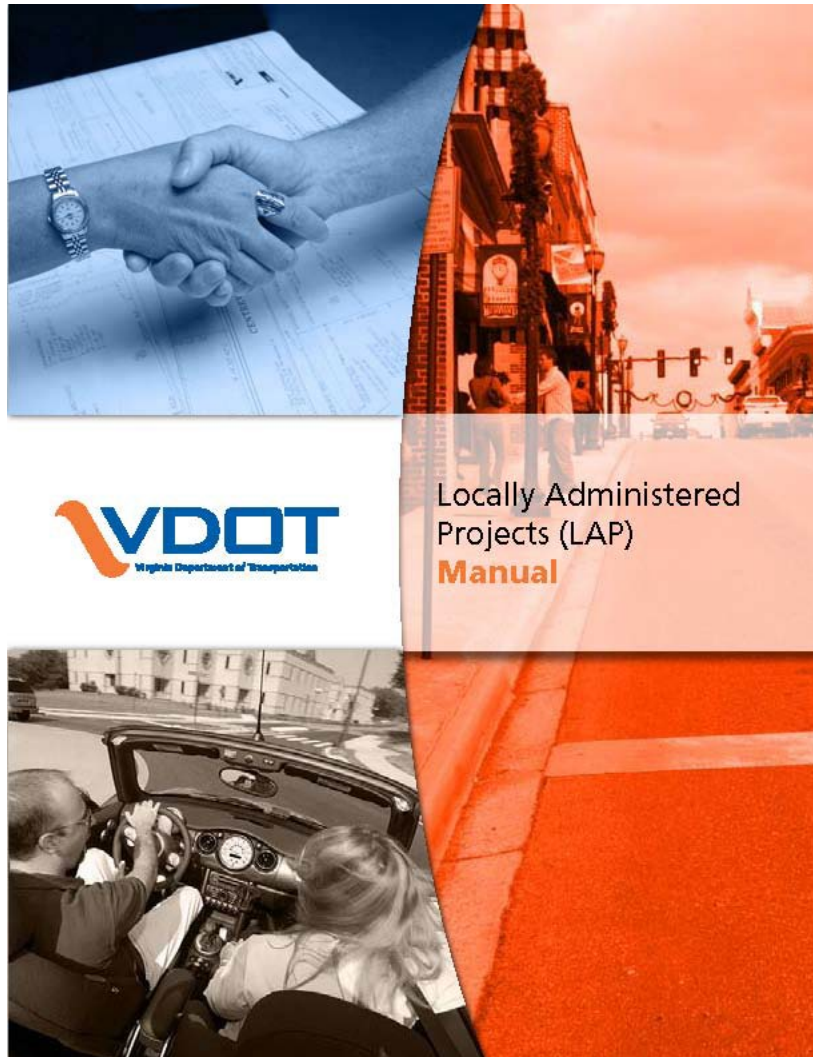
- **LAP Manual is divided into 4 major topic areas, 19 chapters**
- **LAP Manual has been formatted for easy searching**
- **Extensive use of hyperlinks & cross chapter links**
- **PDF format reduces the document to reasonable size**

THE LAP MANUAL - TABLE OF CONTENTS

THE LAP MANUAL - SYMBOLS

Three key symbols are used throughout the manual

Important Information

Required Submission

Must be kept on-file

Bold text and *italics* are also used to highlight important information

THE LAP MANUAL - CHAPTER STRUCTURE

All chapters are generally structured the same way

- o **Flow Chart**
- o **Table of Contents**
- o **Introduction**
- o **Applicability**
- o **Purpose/Process**
- o **VDOT Responsibilities**
- o **Special Program Requirements**
- o **Key Submittals/Requirements**
- o **Checklists**
- o **References**

Flow Chart
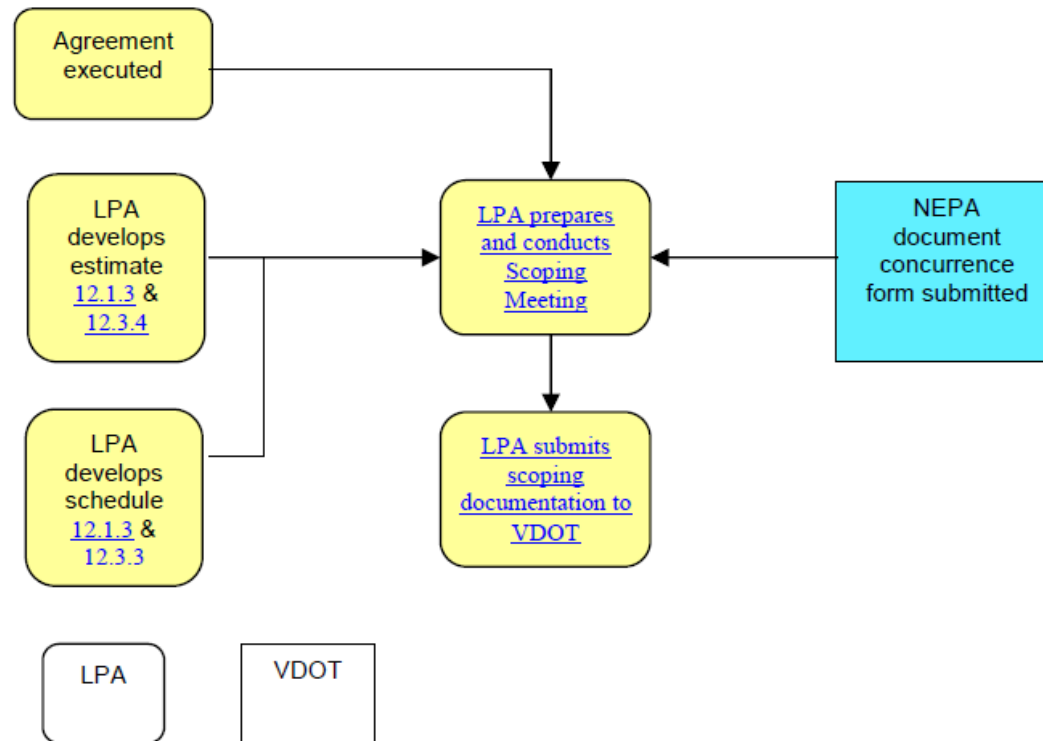
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- o **References**

Applicability

12.2.2 Applicability

- Processes in this manual apply to federal-aid projects, projects on the NHS and Primary Routes, and projects to be maintained by VDOT, regardless of funding.

- State-aid projects, off the NHS and maintained by the LPA, will be designed in accordance with this manual; however, VDOT oversight of these designs is limited to technical assistance as requested by the LPA.

Plan Design		
Federal-aid	State-aid / VDOT Maintained	State-aid / LPA Maintained
X	X	X*

* Projects are to be designed in accordance with this manual; however, VDOT oversight to these designs is limited to technical assistance as requested by the LPA

Special Program Requirements are noted at the end of each section.

Applicability

12.4.2 Applicability

- Federal-aid Highway Projects and State-aid Highway Projects that are **NOT** federally exempt must follow the processes defined in this chapter.

- State-aid Highway Projects that have a federal exemption must follow processes defined in §15.2-2204, §15.2-2239, § 15.2-1800 and any other sections of the Code of Virginia applicable to a LPA's capital improvement program. The LPA will certify adherence to those processes as noted in Chapter 5 (state funded projects) of this manual.

Public Involvement		
Federal-aid	State-aid / VDOT Maintained	State-aid / LPA Maintained
X	*	*

* State-aid projects that are not federally exempt shall follow the processes applicable to Federal-aid projects.

THE LAP MANUAL - CHAPTER STRUCTURE

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- o Table of Contents
- o Introduction
- o Applicability
- o Purpose/Process
- o VDOT Responsibilities
- o Special Program Requirements
- o Key Submittals/Requirements
- o Checklists
- o References

VDOT Responsibilities

VDOT Responsibilities:

- Design Waivers are processed at the District Location and Design Office.

- The VDOT Project Coordinator will forward the Design Waiver request to the District Location and Design Engineer for review and action (approval or denial).

- The VDOT Project Coordinator will notify the LPA of the decision.

- All documents relating to the Waiver and the approval notification must be uploaded into iPM.

THE LAP MANUAL - CHAPTER STRUCTURE

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- o **Special Program Requirements**
- o **Key Submittals/Requirements**
- o **Checklists**
- o **References**

Special Program Requirements

Special Program Requirements

Transportation Alternatives

All trail, roadside, and bridge plans must be reviewed by the Department; however, Transportation Alternatives / Enhancement projects do not require Department signatures on the title sheet. When plans are submitted for review, the title sheet should include the project name, state / federal project numbers, local signature boxes, and a professional engineer's seal. It should also specify the standards and specifications under which the project is to be constructed; but they should not be submitted for VDOT signature.

Urban Construction Initiative

UCI projects do NOT require VDOT signatures on Title Sheets. The Title Sheet must be signed by a person of responsible charge with the municipality. By this signature, the municipality is certifying that the plans have been prepared, by staff or consultants, to an appropriate level of completion and accuracy, that the designer has followed accepted standards, procedures, policies, methods of practice, etc., that are consistent with the engineering and design of plans for such work.

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- o **Checklists**
- o **References**

Key Submittals Requirements

12.5.8 Key Submittals / Requirements

Task/Submittal / File Documentation	Locality Responsibility	VDOT PC Responsibility	Submittal Timing / Recordkeeping Requirements
Plan Reviews	Submit plans for review	Coordinate VDOT Reviews of plans – focused on constructability and bidability	Based on the schedule agreed upon by the Local PM & VDOT PC
Right of Way Plan Approval	Submit PM130, RW-301 and RW plans for approval/authorization package to the VDOT PC	Process VDOT reviews and approvals of plans and, prepare and submit LD-368 and secure RW authorization	60-90 days before initiation of RW phase
Construction Plan Approval	Submit CN plans for approval/authorization package to the VDOT PC	Process VDOT reviews and approvals of plans and secure CN authorization	60-90 days prior to advertisement

THE LAP MANUAL - CHAPTER STRUCTURE

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- o VDOT Responsibilities
- o Special Program Requirements
- o Key Submittals/Requirements
- o Checklists
- o References

Checklists

This section outlines the processes and responsibilities associated with Public Information and Participation for federal-aid projects. The final outcome of this process is that all projects are developed in a manner that provides the general public with a well-publicized opportunity to both review and discuss proposed plans and potential impacts for the project.

SUBMIT	COMPL	F	S-V	S-L	T-A	UCI	Requirement	Reference LAP	Other
	☐	X	X	X	X**	X	Public Hearing Requirements determined at Scoping	12.1 12.4.1 12.4.3	23CFR771.111 23USC128
	☐	X	X	X	X	X	Offer public involvement opportunities as directed by applicable code. Projects with a CE, PCE or BCE may not require public involvement opportunity.	12.4.2	
							If opportunity is offered, or a public hearing is held:		
📄	☐	X	*	*	X	X	Project information documents & public notice prepared and submitted to PC for review by district PE manager, DCRO and Public Affairs	12.4.6	Public Involvement Manual
📄	☐	X	*	*	X	X	Notice of Public Hearing or Willingness Published 2x and submit	12.4.5 12.4.6	Public Involvement Manual
📄	☐	X	*	*	X***	X	Public Hearing Transcript Prepared & Submitted (within 15 days of close of written comment period)	12.4.7	23CFR771.111 23USC128
	☐	X	*	*		X	Location and Design Approval	12.4.8 12.4.9	Public Involvement Manual

* If determined by VDOT that a Willingness or Public Hearing is required, then this item is applicable

** Public involvement opportunity given during application process

*** If a second public hearing is held during the project development process

THE LAP MANUAL - CHAPTER STRUCTURE

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- o **Key Submittals/Requirements**
- o **Checklists**
- o **References**

THE LAP MANUAL - UPDATES

The LAP Manual is periodically updated for various reasons

- o **Reflect changes in funding programs**

- o **Policy**

- o **Federal and state requirements**

- o **User suggestions and recommendations**

LAD staff will evaluate and prioritize the sequencing of updates

THE LAP MANUAL - UPDATES

Detailed Updates

- February 2018 update summary

- December 2017 update summary

- March 2016 update summary

Part	Last updated	PDF
Table of contents	February 2018	554 KB
Preface	Oct. 1, 2014	602 KB
Index	Oct. 1, 2014	484 KB
Part 1- Program development	n/a	n/a
1. VDOT policy	February 2018	106 KB
2. Qualifications for federal- and state-aid project administration	March 1, 2016	144 KB
3. Roles and responsibilities	Oct. 1, 2014	628 KB

The LAP Manual is a fundamental part of VDOT's continued and effective relationship with FHWA for the delivery of federally-funded, locally administered projects.
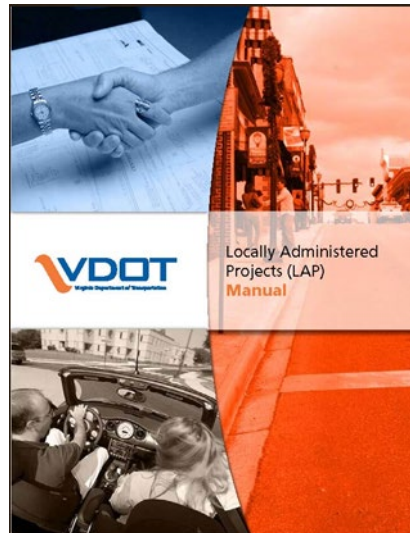
LAP "STARTER PACK"
"Beginners' Guide to Locally Administered Projects"

- **A great resource for anyone new or have limited understanding for the expectations and requirements in administering a transportation project**

- **Outlines the major components, processes and procedures, but should NOT be used as a substitute to the LAP Manual**
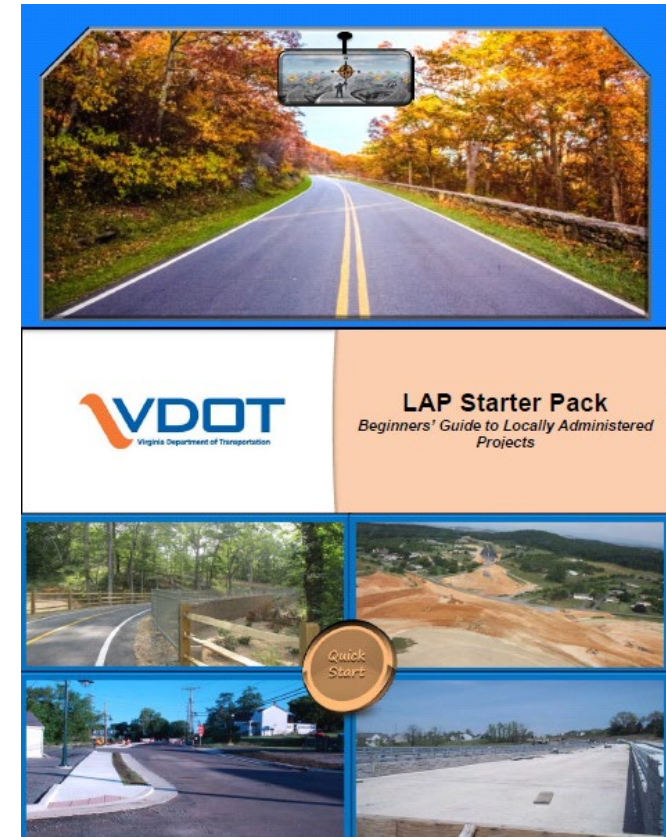
LAP MAP

- **Navigational tool using the LAP Manual for locally administered projects**

- **Maps out project milestones/tasks**

- **Creates a flowchart from beginning to end; providing hyperlinks along the chart to obtain specific information**

Tools – LAP MAP Project Selector

Project Selector

1. How will this project be funded?	Federal Funds
2. Will the construction costs be more than $10M?	Tier 2 CN>$10M
3. How will this project be delivered?	Design-Bid-Build
4. Who maintains the affected roadway?	LPA-maintained
5. Is the roadway on the National Highway System?	non-NHS
Display Map	**LAP-MAP Project Process Type 8 flow-chart**

Tools – LAP-MAP Tool

Smart Portal

Smart Portal

- **Account Access**
  - **VDOT & Local Governments need accounts to submit or view applications**
  - **To view particular programs District Smart Portal personnel will need to grant access**
    - **District point of contacts can be found on website**

Smart Portal – What's New?

- **Improved project filters**

- **GIS Mapping tool improved**

- **Pre-applications**

- **NVAP**

Questions?

Michael Fulcher

Michael.Fulcher@vdot.Virginia.gov

PROJECT ADMINISTRATION AGREEMENTS

Project Coordinator Training

Kurt Kuppert

Let's take a look at …
Chapter 10 PROJECT ADMINISTRATION AGREEMENTS

LAP Manual

Chapter 10 of the LAP Manual

Discusses Agreements

- o **Applicability**

- o **Purpose**

- o **RtA's**

- o **Agreement Types**

- o **Appendix A's (and Appendix B's)**

- o **Documentation**

PART 2
Project Management
Chapter 10
Project Administration
& Agreements

Locally Administered
Projects (LAP) Manual
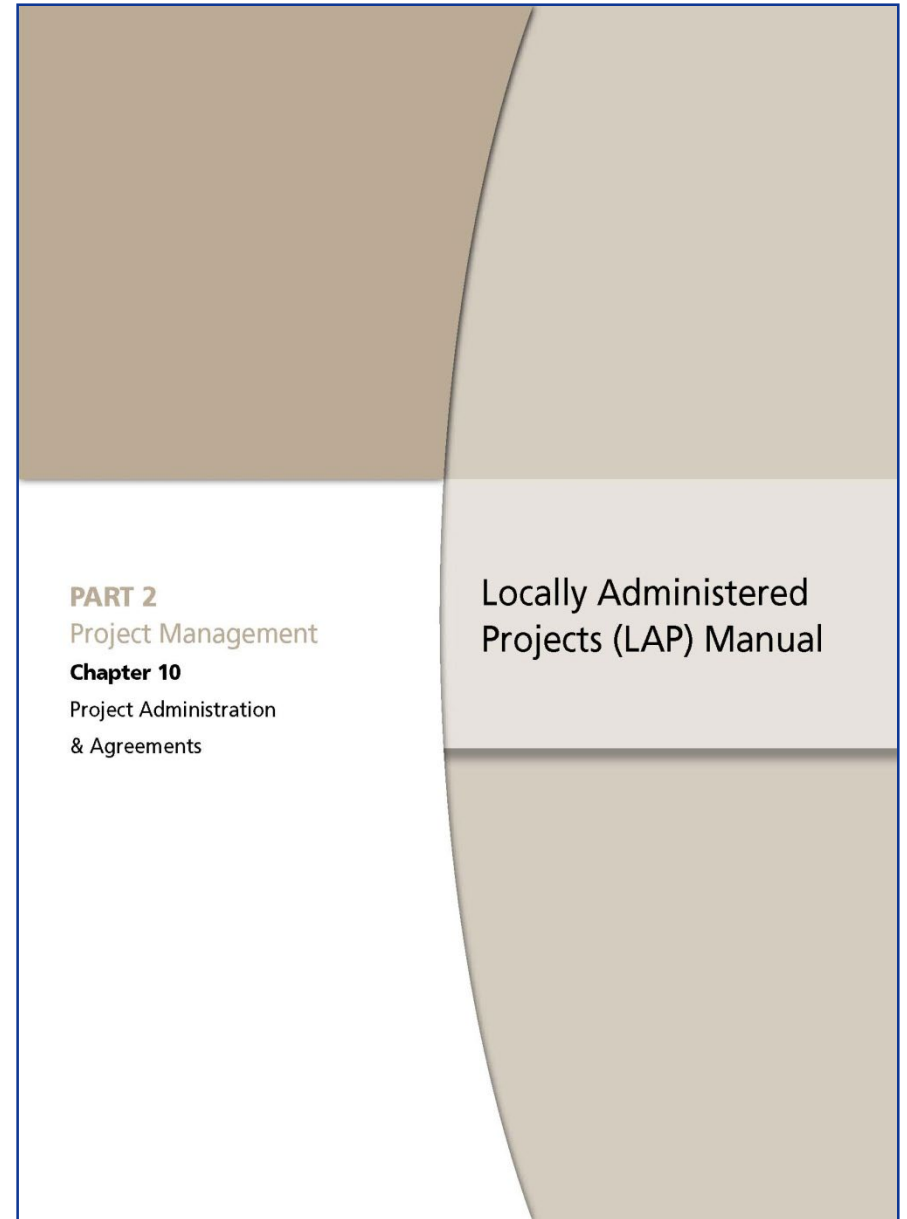
Applicability 10.2 *(determine agreement type)*

- **All locally administered projects using federal or state-aid funding reimbursed by VDOT must have a project agreement.**

- **LPAs which administer their construction program, such as Urban Construction Initiative Program, local governments may administer projects through a programmatic agreement.**

- **Projects funded by LPAs and administered by VDOT must have a Project Administration Agreement.**

- **Projects funded/ administered by VDOT and maintained by LPA's**

Project Administration Agreements		
Federal-aid	State-aid/VDOT Maintained	State-aid/LPA Maintained
X	X	X

Allow a minimum of 90 days to develop and execute the agreement

LPA
- Project included in TIP/STIP/SSYP/SYP
- RtA submitted
- Agreement reviewed
- Agreement signed & dated
- LPA receives executed agreement

District PE
- District concurrence (Tier 1 approved by the District)
- Estimate of risk & oversight charges prepared/ submit to LAD
- Agreement reviewed / concurrence
- Signed agreement reviewed / forwarded to LAD
- Agreement distributed & uploaded into IPM Documents

VDOT LAD
- RtA forwarded to LAD for Chief Engineer (Tier 2 ONLY)
- Draft agreement prepared
- Agreement reviewed / forwarded to Chief of Policy
- Executed agreement forwarded to District

VDOT Administration
- Chief Engineer approves/ rejects
- Chief of Policy approves / executes

Rejected

Changes

Work conducted prior to execution of a Project Administration Agreement may _NOT_ be eligible for reimbursement!

Locally Administered Projects "Starter Pack" (Getting Started Guide)

- The starter pack was developed to improve local governments' understanding of the requirements associated with administering a transportation project.

- The starter pack is coined as a "Beginners Guide to Locally Administered Projects," and is intended as a getting-started resource for local government project managers and others that may be new or have limited familiarity with the expectations and requirements to administer a transportation project.

LAP Starter Pack
Beginners' Guide to Locally Administered Projects
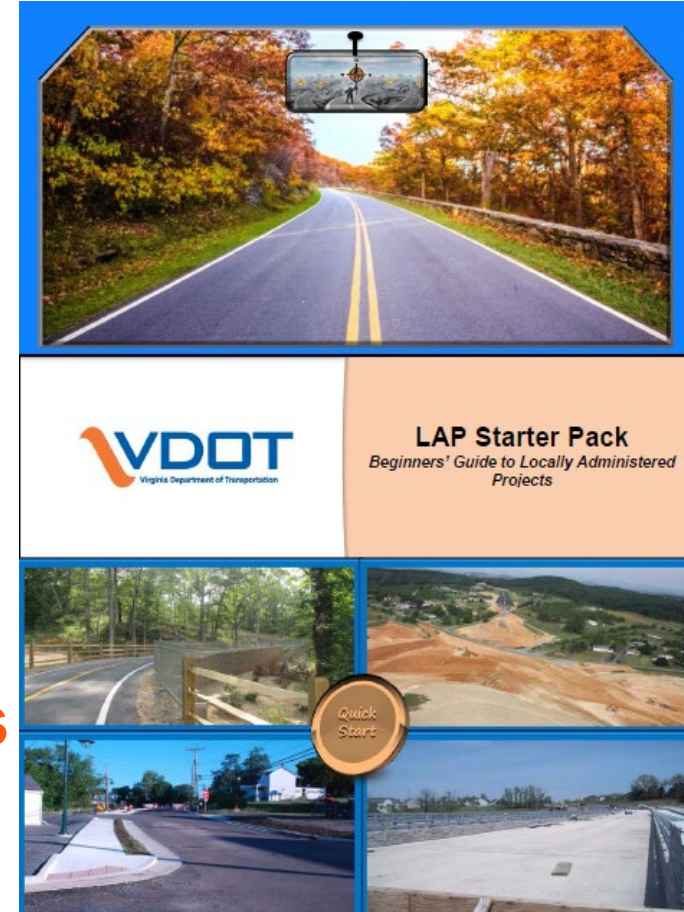
Request to Administer a Project (RtA) Form

- **Submitted by Locality**

- **District evaluates / concurs** (District Engineer approves Tier 1)

- **Submits to LAD for concurrence by the Chief Engineer** (Tier 2)

<u>Before</u> approving the RTA, consider:

- **Type of project**
  - o **Federal or State**
  - o **Simple or complex**
  - o **Tier 1 or Tier 2**
  - o **Smart Scale funded?**
- **Is the locality committed to delivering the project?**
- **How will the project be delivered (DB or DBB)?**
  - o **Locally administrated design-build projects are automatically Tier 2 (regardless of funding).**
- **Will all phases be administered by the locality?**
- **Is project location urban / rural (impacts to traffic, waterways, railroad)?**

Before approving the RTA, consider: (Continued)

- **Constraints** (Design, Right of Way/Utilities, Construction)

- **Property Impacts** (does the project require residential / commercial relocations)

- Is the locality prepared for condemnation if necessary?

- Is the locality familiar with the Locally Administered Project development/delivery process?

- Locality's past experience of delivering similar type of projects

- Does the locality have any outstanding issues or audit findings?

The RTA must be approved (signed) by VDOT before agreement is signed by the locality!

Standard Project Agreements

- **LPA Federal-aid Projects**

- **LPA State-aid Projects**

- **Locally Funded – VDOT Administered**

- **Urban Project Construction Agreement**

- **Custom (limited)**

STANDARD PROJECT ADMINISTRATION AGREEMENT
Federal-aid Projects

Project Number	UPC	Local Government

THIS AGREEMENT, made and executed in triplicate this _____ day of _____, 200_, by and between the <City/Town/County> of _____, Virginia, hereinafter referred to as the LOCALITY and the Commonwealth of Virginia, Department of Transportation, hereinafter referred to as the DEPARTMENT.

Determine Agreement Type Needed

Review/verify the information in iPM such as:

- **How will the project be developed, federal or state?**
  - **Does it have an exception?**
  - **Will the project seek an exception?**

- **Who will administer the project?**

- **Ensure the workflow is shown as "Active"**

- **Review/verify the estimate (PE, RW, CN)**

- **Determine VDOT oversight costs and concur with Locality's estimate**

Agreement and Appendix A General Instructions

IMPORTANT NOTE: The agreement package should be developed cooperatively with LAD with concurrence received from LAD prior to obtaining locality signatures
The following items are required prior to submission of the "complete" package to LAD for execution:

1) The Agreement Transmittal Memorandum is complete and includes-
   a) Approved RtA (unless program exempt)
   b) Locality Resolution (project specific fund commitment and signatory authority)
   c) Project is fully funded and all funds included in Live SYP or exception has been granted (which is included in package)
   d) A copy of the Live SYP
   e) Live SYP and App A allocations and estimates match
   f) Scoping date bullet included on App A
   g) Agreement and Appendices are properly formatted (see below)

2) Signing and Dating -
   a) Agreement must NOT be dated on first page; Chief of Policy will provide date in the first sentence upon his execution
   b) All three originals of the Agreement and appendices are signed and dated in the appropriate areas
   c) Agreement includes latest OAG approval date
   d) Agreement is signed by the authorized locality individual per the included signatory authority
   e) Agreement is signed by locality first, VDOT second
   f) Locality signature date occurs after the date of their resolution

3) Document and Formatting -
   a) Three paper originals of the agreement and all appendices
   b) Agreement originals are printed "single-sided"
   c) App A financials reviewed for accuracy
   d) App A Bullets are appropriate for project and fund type(s)
   e) App A Bullets referencing expenditure dates are not past due
   f) App A Bullets do NOT include blank lines or fields
   g) App A Bullets use consistent font and font size
   h) App A does NOT include hand-written notes or strike-throughs

Instructions -

This Excel based Appendix A includes several tabs that are to be used as indicated below.

Spreadsheet Tab:

This tab is the main Appendix A page that is printed and submitted with the agreement.

The finance sections include both data entry cells (numerical value) as well as formula driven cells.

The formula driven cells are generally to be used as-is and should not be overwritten with a numerical data value.

Applicable bullets are included in the "Program and project specific funding requirements" section at the bottom of the sheet.

General project information is located at the top of the sheet.

Standard Bullets Tab:

Contains bullets commonly used on most Appendix A's.

Includes federal fund expenditure bullets for CMAQ, RSTP, HSIP federal fund types.

Includes funding related bullets for other funding types as well as VDOT administered projects.

Urban Bullets Tab:

Contains bullets that are to be included on Urban Program projects and VDOT administered Urban Projects.

Select the applicable bullets from the available list.

Use in conjunction with the applicable Standard Bullets as appropriate.

TAP & SRTS Bullets Tab:

Contains bullets that are to be included on Transportation Alternatives Program projects.

Select the applicable Transportation Alternatives Program bullets from the available list.

A SRTS bullet is also available on this tab and is to be used on SRTS projects.

Use in conjunction with the applicable Standard Bullets as appropriate.

Revenue Sharing Bullets Tab:

Contains bullets that are to be included on Revenue Sharing Program projects.

Select the applicable Revenue Sharing Program bullets from the available list.

Use in conjunction with the applicable Standard Bullets as appropriate.

Access Bullets Tab:

Contains bullets that are to be included on Access Program projects.

Select the applicable Access Program bullets from the available list.

Use in conjunction with the applicable Standard Bullets as appropriate.

Smart Scale (HB2) Bullets Tab:

Contains bullets that are to be included on Smart Scale (HB2) funded projects.

Use in conjunction with the applicable Standard Bullets as appropriate.

Revised: June 15, 2016; August 14, 2017; July 3, 2018

					$0	$0	
					$0	$0	
					$0	$0	
Total RW	$0				$0	$0	$0
Construction	$0		0%		$0	$0	
					$0	$0	
					$0	$0	
					$0	$0	
					$0	$0	
Total CN	$0				$0	$0	$0
Total Estimated Cost	$0				$0	$0	$0

Total Maximum Reimbursement by VDOT to Locality (Less Local Share)	$0
Estimated Total Reimbursement by VDOT to Locality (Less Local Share and VDOT Expenses)	$0

Project Financing					
					Aggregate Allocations
					$0

Program and Project Specific Funding Requirements

- This project shall be administered in accordance with VDOT's Locally Administered Projects Manual
- In accordance with Chapter 12.1.3 (Scoping Process Requirements) of the LAP Manual, the locality shall complete project scoping on or before (INSERT DATE).
- This is a limited funds project. The LOCALITY shall be responsible for any additional funding in excess of $_____.
- Reimbursement for eligible expenditures shall not exceed funds allocated each year by the Commonwealth Transportation Board in the Six Year Improvement Program.

This attachment is certified and made an official attachment to this document by the parties to this agreement.

Authorized Locality Official and Date   Authorized VDOT Official and Date

Typed or printed name of person signing   Typed or printed name of person signing

Appendix A

Project Number:	0011-139-R44	UPC:	107236	CFDA #	20.205	Locality:	Town of Wytheville

Project Location ZIP+4: 24382-0533	Locality DUNS #04487146	Locality Address (incl ZIP+4): 150 East Monroe Street Wytheville, VA 24382-0533

Project Narrative

Scope:	Construct pedestrian, drainage improvements, curb and cutter, landscaping and lighting along Rte. 11.
From:	Lithia Road
To:	Withers Road/Cassell Road
Locality Project Manager Contact info:	C. Wayne Sutherland (276) 233-3350 waynesutherland@wytheville.org
Department Project Coordinator Contact Info:	Tabitha Crowder (276) 696-3482 tabitha.crowder@vdot.virginia.gov

Project Estimates

	Preliminary Engineering	Right of Way and Utilities	Construction	Total Estimated Cost	
Estimated Locality Project Expenses	$0	$0	$2,929,116	$2,929,116	
Estimated VDOT Project Expenses	$0	$0	$20,000	$20,000	
Estimated Total Project Costs	$0	$0	$2,949,116	$2,949,116	

VDOT

Spending Priorities

Typically the order is:

1. Federal

2. State

3. Local

4. Smart Scale

★ *Always reference the SYIP to determine when funding will be available and determine funding obligation!*

Project Cost and Reimbursement						
Phase	Estimated Project Costs	Funds type *(Choose from drop down box)*	Local % Participation for Funds Type	Local Share Amount	Maximum Reimbursement (Estimated Cost - Local Share)	Estimated Reimbursement to Locality (Max. Reimbursement - Est. VDOT Expenses)
Preliminary Engineering						
Total PE						
Right of Way & Utilities						
Total RW						
Construction	$190,320	Urban	2%	$3,806	$186,514	
	$2,758,796	Revenue Sharing	50%	$1,379,398	$1,379,398	
				$0	$0	
Total CN	$2,949,116			$1,383,204	$1,565,912	$1,545,912
Total Estimated Cost	$2,949,116			$1,383,204	$1,565,912	$1,545,912

Total Maximum Reimbursement by VDOT to Locality (Less Local Share)	$1,565,912
Estimated Total Reimbursement by VDOT to Locality (Less Local Share and VDOT Expenses)	$1,545,912

Project Financing						
Urban	Local Match	Revenue Sharing State Match	Revenue Sharing Local Match			Aggregate Allocations
$186,514	$3,806	$1,379,398	$1,379,398			$2,949,116

Program and Project Specific Funding Requirements
● This project shall be administered in accordance with VDOT's Locally Administered Projects Manual and Urban Manual.
● This is a Revenue Sharing project and must follow the proceedures set forth in the Guide to the Revenue Sharing Program.
● In accordance with Chapter 12.1.3 (Scoping Process Requirements) of the LAP Manual, the locality completed project scoping on 11/3/2016.
● This is a limited funds project. The Locality shall be responsible for any additional funding in excess of $1,565,912
● Reimbursement for eligible expenditures shall not exceed funds allocated each year by the Commonwealth Transportation Board in the Six Year Improvement Program.
● All local funds included on this appendix have been formally committed by the local government's board or council resolution subject to appropriation.
● This project has Revenue Sharing Program allocations. Per §33.2-357 the project must progress in order to prevent these funds from being de-allocated.
● Revenue Sharing Program funds are not available until July 1 of the fiscal year in which they are allocated.
● Revenue Sharing Program funds, as indicated in the Project Financing section, were approved in the following fiscal years:
⬜ FY16 - $1,878,796 ($939,398 locality match and $939,398 VDOT match)
⬜ FY18 - $630,000 ($315,000 locality match and $315,000 VDOT match)
⬜ FY19 - $300,000 ($125,000 locality match and $125,000 VDOT Match)
● This project was previously under Revenue Sharing Programmatic Project Administrative Agreement. Urban funds have been added thereby requiring a standalone agreement. This Agreement supersedes any previous versions.

VDOT
Virginia Department of Transportation

Agreement Transmittal Memorandum

To: Local Assistance Division Administrator

          Attn: [▼]

From: [ ]

Date: [ ]

RE: Transmittal of Final Project Administration Agreement and Appendix

Please find attached, a Project Administration Agreement prepared for the Commissioner's approval: UPC [ ]   Project # [ ]

The following items have been reviewed and are certified complete:

☐   A Request to Administer (RtA) has been approved (following the applicable Tier1/Tier2 process) and forwarded to LAD.

Comments: [ ]

☐   The locality's Signatory Authority and Funding Commitment resolution(s) are included.

Comments: [ ]

☐   All project phases are fully funded and allocations necessary for completion of the project as identified in the Agreement/Appendix A are available and identified in the live six year plan and a copy attached.

Comments: [ ]

☐   A current estimate is provided in the live six year plan, and the estimate matches that of the phases identified in the Agreement/Appendix A.

Comments: [ ]

☐   A draft schedule is developed and the Scoping date included on the Appendix A. The schedule will be updated after scoping is complete or has been updated if scoping is complete.

Comments: [ ]

☐   Agreement and Appendices are properly formatted, and all originals signed and dated.

PROJECT COORDINATOR:

[ ]   [ ]

NAME   SIGNATURE   DATE

LAD PROGRAM MANAGER COMMENTS: [ ]

Summary

Task/Submittal / File Documentation	Locality Responsibility	VDOT Responsibility	Submittal Timing / Recordkeeping Requirements
Request to Administer Form	Prepare and send to RA or UPM	Review request and make recommendation /approval to LAD/Chief Engineer (Tier 2) (VDOT approves before locality signs agreement)	At initiation of the project; VDOT review time approximately 15 business days
Agreement and Appendix A Preparation	Review Appendix A	District/LAD preparation	90 Calendar days
LPA reviews and approves agreement	Agreement signed & dated by local official (Appendix is dated same date or before agreement)	N/A	N/A
Agreement Execution	Sign/date agreement and provide signatory authority and commitment of funding resolution as applicable	Chief of Policy Signature	15 business days

These checklists can be found in their entirety in the VDOT online forms library

| | | | CH 10 - Project Administration and Agreements | | | | | | |

For all LPA administered projects, a Project Administration Agreement is required. The agreement identifies the terms for an LPA to administer a specific project to include specific responsibilities of the LPA/VDOT, funding sources, VDOT charges, reimbursement amounts, and general project estimates by phase.

SUBMIT	COMPL	F	S-V	S-L	T-A	UCI	Requirement	Reference LAP	Other

📄	☐	X	X	X			Submit completed Request to Administer Form[1]
							     Tier 1 Approved by DA
							     Tier 2 Approved by CE
								10.4	

	☐	X	X	X			Project Administration Agreement & Appendix A prepared prior to reimbursable expenses incurred
							     Prepared by District
							     Reviewed by LAD
								10.5
								 10.6	

📄	☐	X	X	X			Appendix A Updates -
							     Scope Change
							     Funding Change
							     Adding/Removing Phases
							     Award
							 Appendix A revision signed by LPA
								10.6.1	

[1]RTA's are **NOT** required for Transportation Alternatives Projects, Revenue Sharing and UCI Participant Projects

Common Issues

- **Not using the most current version of the agreement or appendix**

- **Transmittal cover sheet not included**

- **Agreement / appendix not signed or dated** **(or appendix signed by the locality after the locality's agreement date)**

- **Estimate does not match funding**

- **Scoping bullet date incorrect**

- **Applicable bullets not included**

Common Issues (Continued)

- **Resolution <u>does not</u> provide funding commitment**

- **Funding / estimate shown in the resolution <u>does not</u> match appendix (consider <u>not</u> including specific amounts)**

- **If someone other than the BOS / Council delegation authority is signing the agreement, documentation must be provided to ensure that they have the authority**

- **Expenditures occurred prior to agreement execution (need to provide explanation)**

- **LAD did not review agreement / appendix prior to the locality's signature**

Questions?

Kurt Kuppert
Kurt.Kuppert@vdot.virginia.gov

ACCOUNTING FOR LOCALLY ADMINISTERED PROJECTS

Project Coordinator Training

Denetta Coles

Locally Administered Projects

- **VDOT often enters into agreements with localities in which the locality will administer a highway project and incur most of the expenses and VDOT will provide oversight support.**

- **VDOT will provide funding for all or part of the project through state and/or federal funding.**

Appendix A

- **Lists the estimated project costs for each phase.**

- **Lists the estimated cost of VDOT support work.**

- **Order of funding to be utilized**

  o **Federal funding should be utilized first**

- **If there are any changes in federal obligation, the Appendix A need to be updated**

Accounting for Payments to Localities for Locally Administered Projects

Past Process:

o The locality billed VDOT for 100% reimbursement of their eligible expenses

o VDOT reimbursed the locality 100% of eligible costs

o VDOT then billed the locality for their local share (i.e. 2%, etc…)

Current Process:

o Locality bills VDOT for 100% reimbursement of eligible expenses

o VDOT will reimburse the locality, subtracting their match requirement (i.e. 2%, 20%, etc…)

o Locality match for VDOT support work will also be deducted from locality's invoice

Agreements with Localities

- A project number is created when the project is set up in Cardinal by IID.

- Support work (VDOT labor charges) will be charged to the project number.

- The locality will submit invoices to VDOT to reimburse the locality for the work that occurred (no more frequently than monthly). VDOT payments to the localities are charged to the same project number as the support work.

When Paying Invoices from a locality…

The preparer of the AP Voucher transmittal form must be aware of:

- o **The order in which the funding is to be used**
- o **The amount of the VDOT support work that has been charged to date**
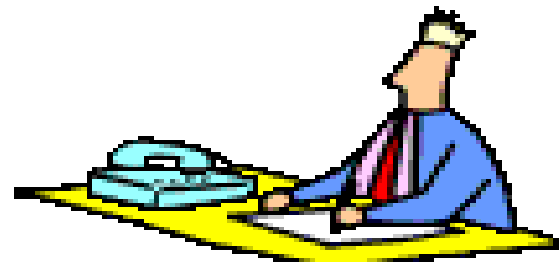
Where and how does the preparer find this?

Where and how does the preparer find this?

1. The order of funding can be determined from the agreement with the locality documented in the Appendix A.

2. Using the Detail Project Expenditures query, filter by Journal (or create a pivot table), and determine the amount of VDOT support work by eliminating charges to account codes used for reimbursement to the locality. (5014310, 5014510, 50232302*)

Detail Project Expenditures Query

V_PA_PRJ_EXPEND_DTL - Detail Project Expenditures

Business Unit 50100

Project 0000071614

Activity Type (% for all) 9104

Accounting Period (% For All) 12

Fiscal Year (% for all) 2018

Allowable \ Unallowable \ % %

View Results

Let's Try one.
Let's get out the Appendix A (Project 71614).

Accounts Used for Reimbursements to Localities

5014310 (Debit)

Categorical Aid to Local Governments and Constitutional Officers (Not Technology):

Include expenditures for aid to… local governments for …street and highway maintenance related to VDOT activities.

REMEMBER:

- o **VDOT's share of the locality's expenditures**
- o **Increases expenditures on the project**
- o **Charges to 5014310 are a Debit.**

5014510 (Credit)

Grants to Intergovernmental Organizations:

Include expenditures for grants and assistance to intergovernmental organizations at the State and substate levels not specifically created by the Code of Virginia.

REMEMBER:

- o **Locality's portion of VDOT support work**
- o **Decreases expenditures on the project**
- o **Charges to 5014510 are credits charged to a non-participating activity.**

If Federal Funding is involved…

50232302*
(Debit to 6XX Activity)

Construction, Highways-In Kind Contributions

REMEMBER:

- These entries represents the locality's share of the locality's expenditures.
- This account is used to correctly bill FHWA.
- 6XX activity should be a Debit
- Net balance for account 50232302 within the same journal is $0.00

If Federal Funding is involved…

50232302*

(Credit to 7XX Activity)

Construction, Highways-In Kind Contributions

REMEMBER:

o **This entry is used to offset the previous debit to correctly bill FHWA.**

o **7XX activity should be a Credit**

o **Net balance for account 50232302 within the same journal is $0.00**

If Federal Funding is NOT involved…

Do you need any entries to 50232302?

NO

If the project does not have any federal funding you do not code to 50232302

Project Pool: Federal Funding

Accounts Used for Reimbursements to the Locality

- **5014310 (Cat Aid Local Govts & Const Off)**
  - Amount reimbursed to the locality

- **5014510 (Grnt-Intergovernmental Ord)**
  - Locality participation for VDOT support work
  - *Only used when VDOT charges are present

- **50232302* (Construct, Hwy-InKind Contrbtn)**
  - Locality participation for non-VDOT support work
  - *Only used on projects with federal funding involved

How do I do the Pay Voucher?

Pay Voucher Documentation
(submitted to Business Support Office)

1. Completed AP Voucher Transmittal form with authorizing signatures

2. Original invoice from locality

3. Copy of Appendix A (for projects with local share)

4. Copy of the Tracking Spreadsheet relating to the current payment.
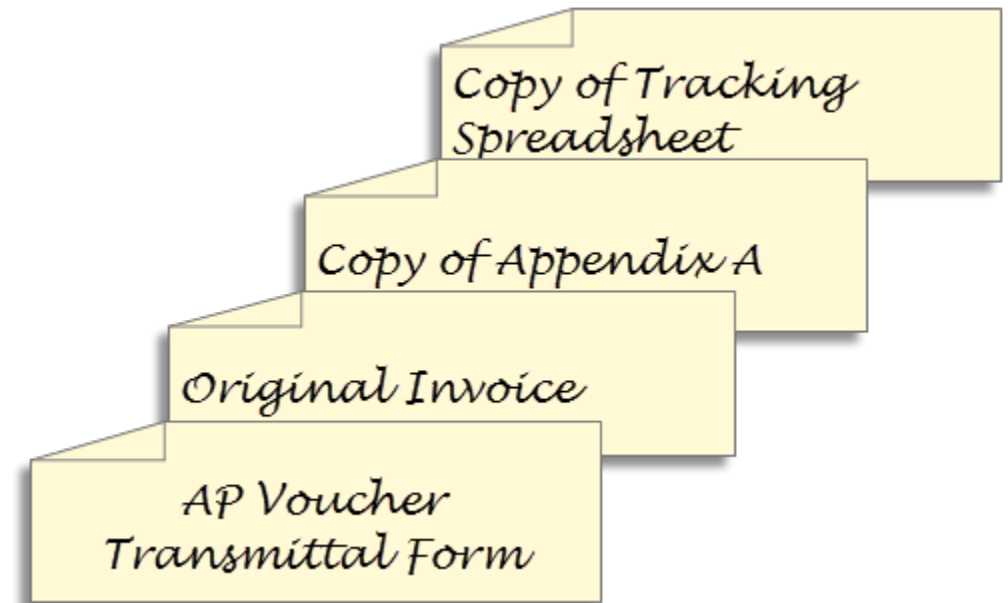
Basic Steps to Preparing this Documentation:

- ❑ **Print the Latest Appendix A**
  - ○ **Verify this is the <u>latest</u> Appendix A by comparing this to the Project Pool or PCES**
- ❑ **Populate the Spreadsheet Template with the Basic Information**
  - ○ **Project ID**
  - ○ **Payment #**
  - ○ **Time Period Covered (per agreement, VDOT should be billed monthly)**
    - ▪ **Locality**
    - ▪ **VDOT**
  - ○ **Total Grant/Funding by Phase**
    - ▪ **As indicated on the <u>latest</u> Appendix A**

Basic Steps to Preparing this Documentation (Continued):

❑ **Calculate Expenditures**

- o **Run the Detail Project Expenditures query by phase and period; filter by journal account or run a pivot table**
  - ▪ **Eliminate any transactions referencing account 5014310, 50232302 and 5014510 – these represent payments to the Locality.**
  - ▪ **Under VDOT Expenditures - Populate expenditures by phase**
  - ▪ **Populate Locality's Expenditures by phase**

Basic Steps to Preparing this Documentation (Continued):

❑ **Check the Total of the bottom 4 fields on your spreadsheet. It should net to $0.00.**
  - o **If these values do not equal $0, then the funding source under this "Priority" column has been exhausted and the remaining amount must be moved to the subsequent funding Priority column**
    - ▪ **If the excess is to be applied to subsequent funding sources, populate the Amount of Excess Applied field and populate the Locality's expenditures (appropriate phase) in the subsequent priority column with the same amount.**
    - ▪ **If these values equal $0, then proceed to the next step**

Basic Steps to Preparing this Documentation (Continued):

❑ **Code voucher per Summary at the bottom right of the Template**
- o **If the priority is not federally funded, there will not be an entry to 50232302**
- o **If there are no VDOT expenditures, there will not be an entry for 5014510**

Review by District Accounting Office/CO Accounts Payable

As part of the review process for final approval of payments to localities for locally administered projects, the District Accounting Office or Central Office Accounts Payable section as applicable shall review the completed voucher package, including the Appendix A and tracking spreadsheet for projects with local share, for proper coding.

Questions ?

Denetta Coles
Denetta.Coles@vdot.virginia.gov

PROJECT DEVELOPMENT

Project Coordinator Training

Kelly Waldrop

Kurt Kuppert

Pre-scoping Activities

- **Review project application for scope, schedule, and estimate. Save in the project file**

- **Review applicable requirements and deliverables (eg. Federal/State, special funding, etc.)**

- **Establish regular communication with the locality project manager or POC**

- **Prepare a preliminary oversight calculation (Chapter 9, App 9-B)**

Consultant Procurement (LAP Chapter 11)

- **Reviewing the RFP/Competitive Advertisement (~60 days from target advertisement)**
  - **The PC will distribute the draft RFP and detailed estimate with work activities to the District Civil Rights Manager and other disciplines as appropriate for comment (DBE Goal evaluation)**
  - **Verify mandatory provisions/selection factors (must NOT contain price or local preference criteria)**
    - **VDOT's RFP and MOA templates**
    - **Title VI Assurance – Appendix A (CH17, Appendix 17F) is required to be physically placed in each Request for Proposal (RFP)**

> LAP Manual 11.2.1

- **Selecting the "right consultant" for the job**
  - **VDOT can review services scope and provide sample RFPs for various types of professional services**

> LAP Manual 11.2.2

Consultant Procurement (continued)

- **Qualification – based selection process for professional services** (23 CFR Part 172, Public Law 92-582 (Brooks Act) and 40 USC, Chapter 11, Sections 1101 – 1104)

  LAP Manual 11.1.1

- **VDOT allows three types of compensation (11.2.4):**
    - **Cost plus fixed fee**
    - **Fixed billable rates**
    - **Lump sum**

- **Minimum advertisement is 14 days.**
    - **VDOT recommends 30 days**

  LAP Manual 11.2.5

Consultant Procurement (continued)

- **VDOT Pre-award FAR audit if contract value is over $200,000**

  LAP Manual 11.2.8

  o **Submittal package includes direct labor costs, indirect (overhead) costs, non-salary direct costs, contingency**

- **Locality pre-award evaluation if contract value is less than $200,000**

  o **Appendix C – Pre-Award Evaluation Requirements**

  LAP Manual 11.2.9

- **Locality's on-call consultant requirements**

  o **On Call agreements that have a fixed fee amount of $200,000 or more, or that do not specify a fee amount, shall receive a pre-award review in accordance with the procedures outlined in Section 11.2.8.**

Clear Purpose & Need

Locality's Coordination/Kick-Off Meeting

- **VDOT should attend along with the Locality's project team members and discuss:**
  - o **Purpose & Need**
  - o **Determine VDOT's Risk & Project Oversight role**
  - o **Project funding requirements/deadlines**
  - o **Deliverables**
  - o **Schedule/Estimates (and updates)**
  - o **Determine who will be developing the Environmental Document (VDOT or Locality's consultant)**
  - o **VDOT touchpoints**
  - o **Documentation requirements**
  - o **Invoices/reimbursements**

LAP Manual
9.4.2

Project Scoping – Critical Issues

- **Defines the physical limits and features of the project, establishes project <u>estimate</u> and <u>schedule</u> (District acceptance)**

- **All projects shall consider the accommodation of bicycles and pedestrians at the project scoping stage**

- **Determine Public Involvement level**

- **Scoping report shall be completed (within 12 months) typically at the conclusion of the preliminary field inspection (PFI) milestone phase and submitted to VDOT , VDOT does <u>NOT</u> sign**

LAP Manual 12.1.3

Project Scope/Schedule/Estimate – Updates

- **Scope**
  - Changes should be coordinated with the special funds manager, if applicable
  - Example – HSIP Funding and revised B/C ratio calculation
- **Evaluate and/or update at each major milestone**
- **Schedule**
  - Consider impact to Dashboard and funding requirements
  - Example – TAP requirement for 4 years to completion
- **Estimate**
  - Monitor STIP/TIP impacts (https://insidevdot.cov.virginia.gov/div/FPMD/ENTDA/SitePages/Home.aspx)
  - Assists in identifying funding deficits

Project Schedule & Estimate – Monitoring

- **Monthly project delivery meeting utilizes Tableau reports.**

- **Benefits include:**

  - **Refreshed daily**

  - **Combines both SMART Scale and non-SMART Scale projects into one reporting tool**

  - **Emulates the VDOT Dashboard**

  - **Robust tool with real-time modifiable report filters and formats**

  - **Useful to track upcoming schedule due dates and past due activities**

Link to Report:
**https://tableau.cov.virginia.gov/views/LDProgramDeliveryReport/Monthly
ProjectTracking?iframeSizedToWindow=true&:embed=y&:showAppBann
er=false&:display_count=no&:showVizHome=no#4**

Project Schedule & Estimate – Tableau Report
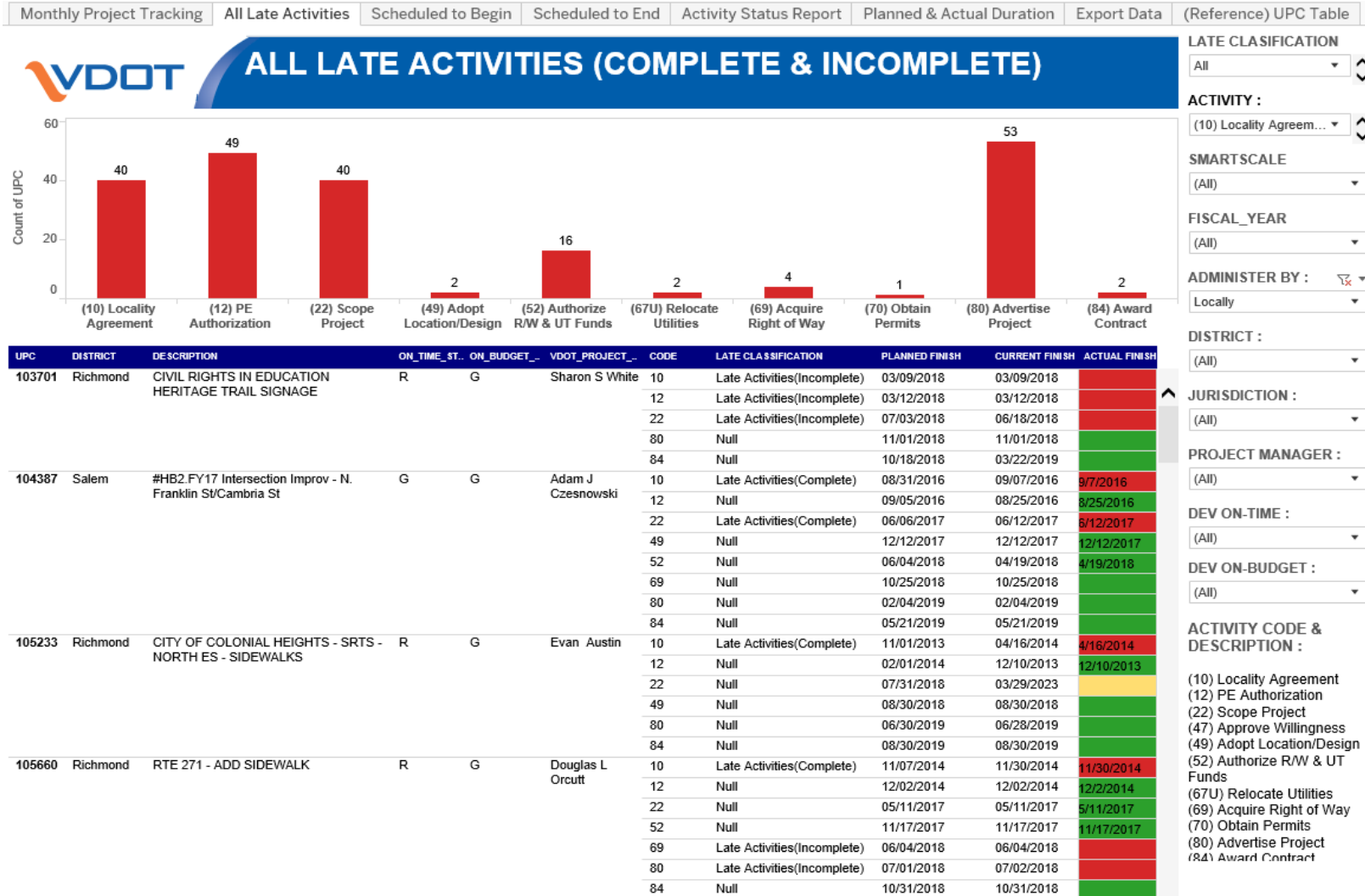
Environmental Coordination (LAP Chapter 15)

Environmental Document– Deliverables

- **Early Project Notification Form (EQ-429)**
  - Submitted by locality at scoping
  - For state funded projects, District Environmental will begin SERP

  LAP Manual 15.1.1

- **NEPA Concurrence**
  - Submitted by locality prior to beginning NEPA coordination

  LAP Manual 15.2.3

- **NEPA Documentation**
  - Generally, submitted by locality between 30% and 60% plans

  LAP Manual 15.2.4

- **NEPA re-evaluation at RW & CN authorizations**
  - VDOT PC submits PM-130 to Environmental to initiate review
  - For CN, searches must be within 6 months of advertisement date

  LAP Manual 15.11.3 & 4

Environmental Document– Potential Risks

- **Locality's experience with the NEPA process**

- **Impacts to schedule**
  - **Delays in agency coordination**
  - **Permitting**
  - **Public Involvement**

- **Modifying scope**
  - **Any modification in scope should be submitted to District Environmental to evaluate impact to environmental document**

- **Ensuring environmental commitments are included in plans, bid specifications and in construction delivery**

LAP Manual 15.12.1

Plan Reviews
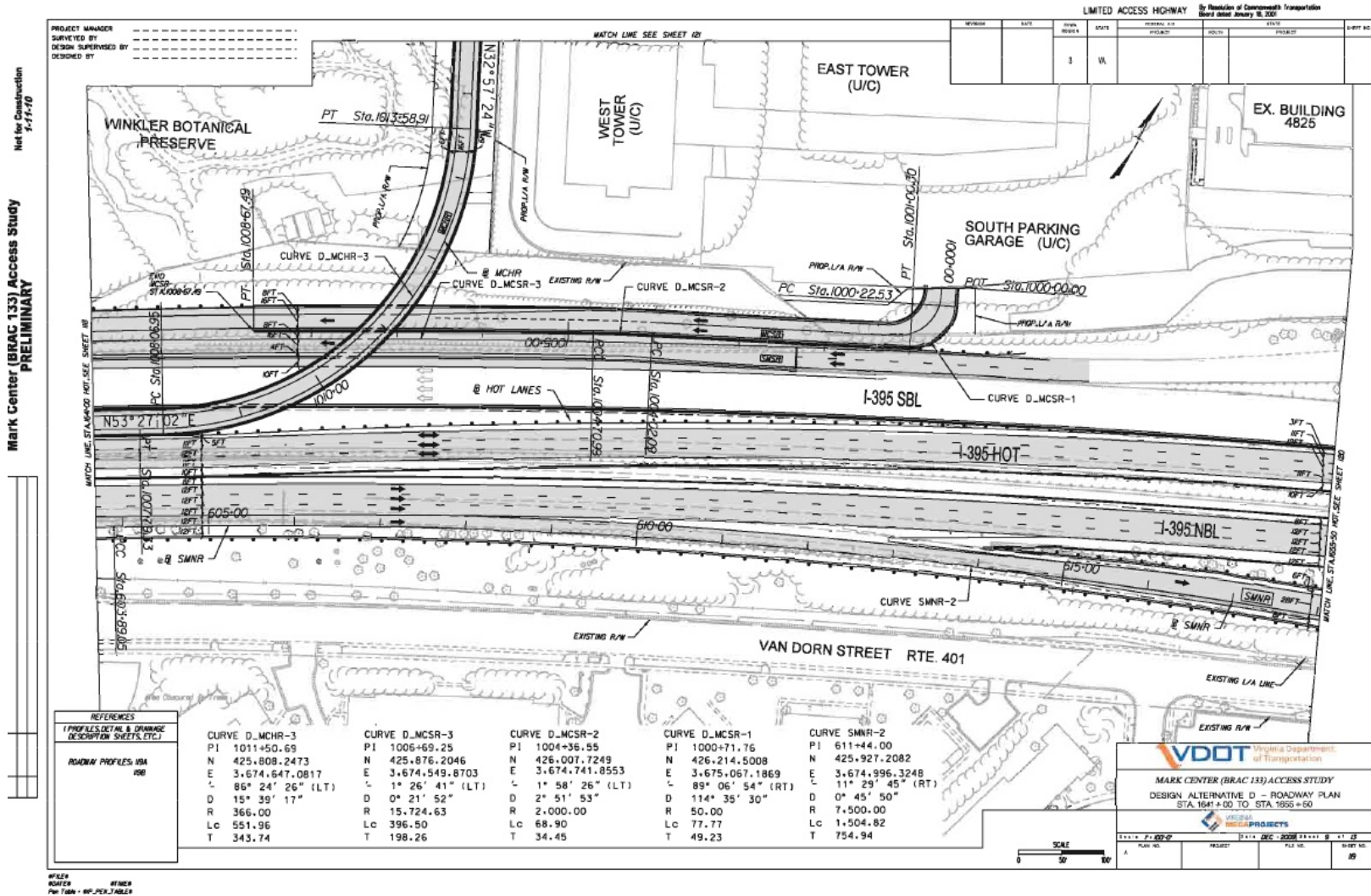
Plan Reviews

- **Generally, plans should be reviewed by VDOT prior to the Public Hearing (30%), prior to Right of Way Acquisition (60%), and prior to Advertisement (90%-100%)**

- **Develop RW plan sheets (typically begin at 60%)**

- **Typically, VDOT's review will focus <u>only</u> on the completeness, comprehensiveness, constructability and biddability of the plans (not a quality control review)**

- **Value Engineering study is required for projects with a construction estimate over $15 million (12.2.5.10)**

Design Waivers/Exceptions

- **Projects maintained by LPA shall meet AASHTO and ADA**

- **Projects maintained by VDOT shall meet VDOT 's Road Design Manual**

- **Design Exceptions**
  o **For projects that do not meet the minimum AASHTO design standards**
  o **Approved by the State Location and Design Engineer – also FHWA on projects with federal oversight**

- **Design Waivers**
  o **For projects that will be maintained by VDOT and the design does not meet VDOT's minimum design standards but exceed AASHTO**
  o **Approved by the District Location and Design Engineer**

Public Involvement

Public Involvement

- **Type of public involvement determined at scoping**
  - Factors impacting decision include right-of-way impacts, substantial changes to function, or significant social, economic or environmental impacts.

  LAP Manual 12.4.5

- **VDOT's Public Involvement Manual is an excellent resource for processes.**

- **VDOT Concurrence on NEPA must be received prior to announcement of a posting or public hearing (15.2.4.3)**

  LAP Manual 15.2.4.3

- **VDOT PC will review draft notices for willingness or public hearing (12.4.6)**

  LAP Manual 12.4.6

Public Involvement – Deliverables

- **Posting of Willingness**
  - Posted twice – first notice at least 15 days prior to the expiration, second notice 5-7 days prior to expiration

  <div style="border:1px solid #1a4a8a; background:#fbe5d6; display:inline-block; padding:4px;">LAP Manual 12.4.10</div>

- **Public Hearing**
  - VDOT PC will coordinate review of draft project information sheet for public hearing (~30 days prior to hearing)
  - Review and process public hearing transcript documentation (in accordance with Appendix A-5 of the Public Involvement Manual)
  - Coordinate location and/or design approval

  <div style="border:1px solid #1a4a8a; background:#fbe5d6; display:inline-block; padding:4px;">LAP Manual 12.4.10</div>

Right of Way

Tom Saunders, VDOT

Right-of-Way and Utility Relocation

- **"Right of Way" includes all interests in the land, whether fee simple, permanent easement or temporary easement and refers to the real property rights which the LPAs must possess to construct transportation projects.**

  LAP Manual 16.3

- **Authorizations (2 steps) Federal Authorization & VDOT NTP**

- **Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (Uniform Act)**

- **VDOT Special Project Coordinator for LPA projects**

Right of Way (continued)

- **If the LPA does not have the qualified staff to perform the acquisition of the necessary rights of way, they shall hire qualified Consultants (16.4.3)**

  LAP Manual 16.4.3

- **Develop detailed RW Estimate to include number and type of properties to be acquired on the project. (16.4.4)**

  LAP Manual 16.4.4

- **Licensed appraisers and reviewers**

- **The owner must also be given a written explanation of the LPA's land acquisition procedure. The LPA must use VDOT's brochure entitled "A Guide for Property Owners and Tenants" if they do not already have a VDOT approved brochure of their own**

  LAP Manual 16.6

Right of Way (continued)

Donations

- **The Code of Virginia, Statute 25.1- 417(10) addresses donations. Also, steps of a "Donation Process" are explained in Chapter 5, Section 5.5.1 of the VDOT Right of Way Manual of Instructions.**

- **The Locality's agent must:**

  - Explain the project/acquisition and the probable impact to the remaining property

  - Advise the owner of the right to just compensation

  - All contacts should be maintained in the written diary

- **It is recommended that the Locality ask the owner to execute a Donation Acknowledgment Form**

Right of Way - Deliverables

In preparation for RW authorization (16.5)

- **Submit RW plans and RW-301 to VDOT Right-of-Way for review. Will receive a RW-300 upon approval**

- **Submit RW plans and PM-130 to VDOT Environmental for re-evaluation**

- **Ensure RW estimate is updated/approved in PCES. Workbook must include the Alternate RW/Utility worksheets.**

- **Obtain funding verification (IID-4)**

- **VDOT signatures on title sheet (does not apply to TAP, UCI or state funded/LPA maintained projects)**

Right of Way - Deliverables

In preparation for RW Notice-to-Proceed

- **Prepare LD-368**

- **Request and RW phase open to charges**

- **Signed Title sheet**

★ For State-funded projects - review RW plans to ensure only right-of-way necessary for the project is being purchased

Advertisement

Advertisement Preparation

- **Final review of plans and specifications ensuring comments are addressed and federal provisions included**

- **Update schedule and estimate.**

  o **Monitor STIP/TIP, address any funding deficits**

  o **Reevaluate VDOT's Risk & Project Oversight role for construction phase**

- **Proprietary Equipment requests (12.6.4.1)**

  o **Detailed information is available in IIM-CD-2015-01.01**

Advertisement Preparation (continued)

- **DBE Goal evaluation/determination (12.6.5 & 17.3)**
  - Approximately, 20 business day turnaround
- **Environmental Reevaluation at PS&E**
  - Threatened & Endangered searches need to be current (within 6 months of advertisement)
  - Upon approval, VDOT PC will receive EQ-103 and EQ-200
- **RW Certification**
  - Must be completed even if there are no right-of-way or utility impacts
  - Three types: I, II, III
- **Quality Assurance Plan**

LAP Manual
12.6.5 & 17.3

Advertisement Authorization

- **Locality submits PS&E package which includes:**
  - PS&E Submittal Form
  - Signed/sealed plans
  - Final bid specifications
  - Current engineer's estimate (within 90 days)
  - LAP-402A

- **VDOT Project Coordination requests:**
  - Funding verification
  - Central Office Construction review/concurrence

- **Advertisement Authorization – minimum 21 days, recommend 30-45 days. Locality should notify VDOT PC of advertisement date and publication. (12.6.8)**

LAP Manual 12.6.7

LAP Manual 12.6.8

Advertisement/Award

- **For state-aid projects, locality should provide:**
  - **Appendix 5-A (Certification) – at advertisement but no later than award**

  - **Final engineer's estimate**

  - **Advertisement date**

  - **Award Summary**

  - **Award Date**

Appendix 5-A

Certification Form for State Funded Projects

Project Number: [   ]   UPC: [   ]

This certification form is to be used to certify adherence to all applicable laws and regulations pertaining to locally administered state funded projects. This certification form will not be used for projects utilizing any federal funds. The signature at the bottom will certify that <insert locality name> has met the following requirements for state funded projects. VDOT may perform project audits to verify compliance with this certification. False or inaccurate statements identified by VDOT or other state regulatory agencies may result in the requirement to return state aid and/or other penalties as allowed by State law.

Initials	Certification Statement
	Check applicable statement: (Check only one box)
	☐ For highways maintained by the LPA, project plans have been designed in accordance with AASHTO standards and signed and sealed by a Virginia registered P.E. in accordance with DPOR;
	OR
	☐ For highways which will be operated and maintained by VDOT, project plans have been designed in accordance with VDOT Standards and that VDOT has reviewed the plans in accordance with the agreed upon schedule and all necessary design variances/waivers have been attained and the plans have been signed and sealed by a Virginia registered P.E. in accordance with DPOR.

Construction Award

- **Locality submits award recommendation package**
  - **Locality's intent to award letter**
  - **Bid analysis and detailed explanation**
  - **DBE forms (C-111, C-112, C-48, C-49 as applicable)**
  - **Proof of requirement bonds**
  - **Contractor Certification Forms (C-104, C-105)**

- **PC coordinates review with Civil Rights & Construction**

LAP Manual 12.6.9

Construction Award

- **Update award estimate and details in Pool and PCES**

- **VDOT provides written Award Authorization**

- **Update Project Administration Agreement Appendix-A**

LAP Manual 12.6.9

Keys to Effective Project Delivery

- **Kick-Off Meetings, Pre-construction meetings, quarterly reports**

- **Monthly Meetings – emphasize realistic timeframes for project development**

- **Clear lines of communication/partnership**

- **Prompt response to inquiries – decisive responses**

- **Keep alert for local project management changes**

Federal-aid Project Checklist

Chapter 9 – Federal-Aid and State-Aid Checklists

Federal-aid Project Checklist

Required	Complete	Task Name	Chapter Reference
		Project Programming and Initiation	
☐	☐	Project and Funding in STIP and TIP (where applicable)	
☐	☐	Local Government Resolution (Urban Localities)	
☐	☐	Request to Administer Form	
☐	☐	Project Administration Agreement (updated when total reimbursable costs change and prior to Construction)	
☐	☐	*PE Phase Authorized*	
☐	☐	PCES Estimates Updated at project milestones during project development	
☐	☐	Project Scoping Report	
☐	☐	Submit Project Definition Form EQ-429 to VDOT PC	
☐	☐	Consultant Selection; Pre-Award Audit	
☐	☐	NEPA Concurrence	
☐	☐	NEPA Documentation	
☐	☐	Bridge "touch-down" points approved (when applicable)	
☐	☐	30% Plan Submittal	
☐	☐	Design Exception/Variance Requests	
☐	☐	Value Engineering for Projects over $5 M	
☐	☐	60% Plan Submittal	
☐	☐	Right of Way Plan Review	
☐	☐	Public Hearing/Posting of Willingness	
☐	☐	Design and Public Hearing Resolution	
☐	☐	NEPA R/W Reevaluation	
☐	☐	Project RW listed in STIP and estimates are current	
☐	☐	*Right of Way Authorization*	
☐	☐	Submit Final RW Plans, Cost Estimate including breakdown of Utilities, and Title Sheet	
☐	☐	Complete RW and Utilities Checklist, RW-301	
☐	☐	LPA performs final QA/QC on plans prior to submittal to VDOT for Advertisement Authorization	
☐	☐	Environmental Re-evaluation at PS&E (EQ-200); Environmental Certification (EQ-103)	
		Advertisement/Construction Authorization	
☐	☐	RW Acquisition completed	
☐	☐	Utility relocation completed	
☐	☐	Water quality permits/finalize coordination with environmental regulatory agencies	
☐	☐	Project Construction listed in STIP and estimates are current	
☐	☐	Final Plan, Specifications and Estimates Submitted for VDOT approval DBE Goals	
☐	☐	IFB and Contract Documents	
		Publicly Advertise Project/Federal-aid Contracts must use	

State-aid Project Checklist

Required	Complete	Task Name	Chapter Reference
☐	☐	Local Government Resolution (Urban Localities)	
☐	☐	Request to Administer Form	
☐	☐	Project Administration Agreement (updated when total reimbursable costs change and prior to Construction)	
		Project State Authorization	
☐	☐	EQ 429 / State Environmental Review Process (SERP): construction projects > $500,000	
☐	☐	Plan Submittals for VDOT maintained highways	
☐	☐	Design Exception Requests	
☐	☐	Value Engineering for Projects over $5 M	
☐	☐	Right of Way Plan Review for sufficient R/W for VDOT maintained highways	
☐	☐	RW Acquisition completed	
☐	☐	Utility relocation completed	
☐	☐	Submission of Project State-aid Certification Form	
☐	☐	Contract Award Information submitted to VDOT for concurrence to award	
☐	☐	Concurrence to award by CTB or Commissioner	
		Award Authorization	
☐	☐	City/State Agreement or Modification of Project Agreement	
☐	☐	Include Project in Dashboard - SYIP / SSYP Projects	
☐	☐	Materials Certifications /Project Records – VDOT maintained projects	
☐	☐	Final Inspection Reports, VDOT Maintained	
☐	☐	Notification of Project Completion	
☐	☐	Final Acceptance Inspection, VDOT Maintained	
☐	☐	LAP C-5 submitted / Project Closed	
☐	☐		

Questions?

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PROJECT DELIVERY

Project Coordinator Training

John Simmers

LPA Responsibilities for Administering Construction

- **Assign a full time local government employee responsible for the project**

- **Provide a Professional Engineer licensed in Virginia to serve as the Responsible Charge Engineer (RCE) during Construction (this position may be contracted)**

- **Provide adequate construction engineering and inspection (CEI) to ensure project is constructed per the contract**

- **Maintain construction documentation to demonstrate that the project is constructed per the contract**

LAP Manual
13.1.3

VDOT Responsibilities

Involve your District's LAP Construction staff early…

Contact the appropriate VDOT ACE:
- **As early as scoping for more complex projects.**
- **At constructability and/or bid-ability reviews when applicable.**
- **Prior to construction advertisement**
  - **LAP construction oversight responsibility.**
  - **Delegation to the VDOT Construction Project Monitor (CPM).**

Use available resources…

- **The LAP Manual**
  - **Key Submittals - Section 13.1.6, Appendix 13.2-B**
  - **Checklists (at end of each main section)**
- **VDOT's Construction and Inspection Manuals,**
- **VDOT's Materials Manual of Instructions,**
- **FHWA Contract Administration Core Curriculum Manual**

…are excellent resources for LPAs during construction administration.

Project Coordinator/Construction Project Monitor will also…

- Establish an appropriate level of oversight in accordance with the Guidance provided in *Appendix 13.1-B* of this chapter.

- Attend any pre-advertisement meeting and discuss the determined level of oversight with the LPA.

- Facilitate any discussions between other VDOT disciplines and the LPA.

- Develop a cost estimate detailing necessary project oversight costs, off site quality assurance and inspections by discipline, and provide to the LPA. The cost estimate should match the VDOT budget for construction identified in the Project Administration Agreement unless the project scope has changed.

- Obtain a copy of the executed construction contract between the LPA and the contractor; and upload to iPM.

LAP Manual 13.1.3

Preconstruction Conference

From the LAP Manual…

A preconstruction meeting is required for all projects. For most projects, a single preconstruction meeting to include the LPA, the LPA-designated construction project engineer and inspection staff, the contractor, the VDOT CPM and PC, and other stakeholders and appropriate VDOT staff shall be held. However, for complicated projects requiring a high level of planning and coordination with VDOT, the LPA may find it desirable to hold a separate preconstruction meeting with their construction project engineer and VDOT staff. Appendix 13.1-C, to this chapter, contains a list of issues and topics which should be discussed with both VDOT staff and the construction contractor during the preconstruction meeting(s).

LAP Manual
13.1.4.3

Preconstruction Conference

From the LAP Manual…

VDOT Responsibilities:

- Review previously agreed upon arrangements to ensure VDOT support to the project and VDOT oversight costs to the project are still valid.

- Outline VDOT's oversight expectations during construction.

- Provide LPA with the final oversight cost estimate.

LAP Manual
13.1.4.3

Project Documentation

Maintain Project Documents		
Federal aid	State aid / VDOT Maintained	State aid / LPA Maintained
X	X	X

- **Project Schedule/Earnings Schedule**
- **Civil Rights Forms**
- **Daily Construction Diaries**
- **Materials Quality Assurance Plan**
- **Source of Materials (C-25)**
- **Materials Notebook**
- **Reimbursement requests with appropriate documentation/certification**

LAP Manual 13.1.5.1

Project Documentation

★ **Project records must be retained for no less than three (3) years following FHWA and/or VDOT acceptance of the final voucher**

LAP Manual 19.7

VDOT Responsibilities:

- *For LPAs with limited experience or those requesting support, the VDOT CPM will provide the LPA with assistance in establishing a Project File.*

- *Periodically, the VDOT CPM will inspect project diaries and materials notebooks and provide recommendations for improvement.*

LAP Manual 13.1.5.1

Civil Rights Requirements

- **Title VI**
- **DBE Goals**
- **On the Job Training**
- **Contract Provisions**
- **Compliance and Reporting**
- Forms (C-111, C-112, C-48, C-49, + others)

Reference: LAP Manual Chapter 17 and Appendices

LAP Manual
Chapter 17

Buy America

Requires the use of domestic steel and iron in Title 23 (federal aid) funded contracts according to 23 CFR 635.410.

"…all manufacturing processes, from melting and initial mixing through the coating stage…"

There are a few exceptions: Minimum use, alternative bidding, waivers, temporary elements,

…and Utilities, if not reimbursed by the state

LAP Manual
13.1.5.6

Materials Quality Assurance

Applicability		
Federal Aid	State Aid / VDOT Maintained	State Aid / LPA Maintained
X*	X**	N/A

* Federal aid projects on the NHS may have additional requirements not specifically identified in this Manual and additional requirements will be identified during preliminary planning and the development of the Project Administration Agreement.

** The requirements of this chapter apply to VDOT-funded projects which will be maintained by VDOT and any federal aid project.

Materials Definitions

Quality Assurance (QA) – the comprehensive process to determine that a product or service satisfies quality requirements. Performed by a third party not affiliated with the contractor such as a CEI firm.

Acceptance Testing (AT) – evaluation of test results to determine if the quality of a product or material complies with specifications.

Quality Control (QC) – the assessment of production and construction processes that control the quality of the end product or material.

Independent Assurance (IA) – independent assessment of the product or reliability of the test results. Note: IA may be performed by the same CEI firm, but must use a different individual then AT or QC.

LAP Manual
Appendix 13.2-A

Materials Approvals

- **LPA's are required to submit documentation of the source of materials to the VDOT CPM. A VDOT form C-25 (Source of Materials) MUST be used to meet this requirement.**

- **For federal-aid projects or projects to be maintained by VDOT, project materials and materials sources MUST be pre-approved by VDOT.**

Materials Acceptance Must Meet VDOT Standards		
Federal Aid	State Aid / VDOT Maintained	State Aid / LPA Maintained
X	X	N/A

LAP Manual 13.2.2

Materials Approvals

VDOT Responsibilities:

- *The VDOT CPM, with the Materials QA section support will review the submitted Source of materials document C-25 (or equivalent) to ensure proper testing of VDOT approved sources have been identified and that proper acceptance methods are listed. Where discrepancies are found, the VDOT CPM will immediately contact the LPA to discuss corrective actions.*

LAP Manual
13.2.2

Materials Source/Plant Inspections

Source inspection is acceptance testing of manufactured and/or prefabricated materials at locations other than the job site.

- **Materials requiring source inspection will be identified on the C-25.**

- **The LPA must identify if they are requesting that VDOT perform source inspections for those materials.**

Materials Source/Plant Inspections

- **Source inspections that are necessary for all projects and performed by the department through Plant QA programs are identified in *Table 1 on LAP Manual page 13-30*.**

- **PC's and CPM's should encourage LPA's to utilize the services provided by VDOT to perform source/plant inspections. VDOT has contracts in place across the nation for these services and can often combine inspections to reduce the costs to LPA's.**

LAP Manual
13.2.3

Materials Source/Plant Inspections

VDOT Responsibilities

- *The VDOT CPM will submit any LPA source inspector qualifications to the appropriate staff in the Materials QA section for review and approval.*

- *The VDOT CPM will submit any LPA requests for VDOT to perform source testing to the Materials QA section for review and approval.*

- *Approvals and/or comments associated with inspector qualifications, VDOT source testing along with associated a cost estimate to perform inspection(s) will be prepared and will be submitted to the LPA, within seven (7) business days of the initial LPA request.*

LAP Manual
13.2.3

Materials Records and Documentation

- **Quality Assurance Plan**
- **Source of Materials (C-25)**
- **Materials Notebook**
- **Materials Test Reports**
- **Materials QA Technician/Inspector Qualifications**
- **Sign Inventory**
- **Manufacturers Certification/Local Tracking Numbers**
- **Materials Certification (TL-131LAP)**

LAP Manual 13.1.5.3

LAP Manual 13.2.2

LAP Manual 13.2.6

LAP Manual 13.2.9

LAP Manual 13.2.11

Construction Related Updates

- **Retainage (new policy) –** *LAP Manual 12.6.4.2*

  o **The withholding of retainage is not allowed on federal or state funded projects except under very specific circumstances.**

- **Structural Steel and Pre-stressed Concrete Materials and Inspections (strengthened and clarified language) –** *coming soon to LAP Manual 13.2.2 and 13.2.3*

  o **Inspections must occur, before, during, and after fabrication, and be documented per AASHTO AWS (applicable to federal and state funded projects)**

Change Orders

13.3.2 Applicability

Change Orders		
Federal aid	State aid / VDOT Maintained	State aid / LPA Maintained
X	*	*

* State aid projects that require additional state funding or a design exception or waiver

Note: UCI Program – localities have authority to approve change orders on non-federal oversight projects.

LAP Manual 13.3.2

Change Orders

The LPA must receive written approval from the VDOT CPM prior to executing any change order which:

(1) Will result in the need for additional federal or state aid beyond the funding identified in the project administration agreement; or

(2) Requires additional right-of-way, a design exception or design waiver; or

(3) Is federal aid and requires additional time; or

(4) Is federal aid and may result in work outside the project limits identified in environmental documentation (the NEPA documentation); or

(5) When a previously approved pay-item is being removed or replaced.

LAP Manual 13.3.3

Change Orders

Approval Process-

1. **LPA may submit a "conceptual" change order request Includes general nature and justification for request. VDOT will provide comments, and outline any required supporting documentation.**

2. **LPA revises per VDOT comments and submits a "final" change order to include supporting documentation. The final change order will include associated costs and time impacts.**

LAP Manual
13.3.4

Change Orders

VDOT Responsibilities:

- *The VDOT CPM will notify the LPA PM, in writing of the approval or denial of the change order request. Change order request reviews, that do not require additional design or environmental evaluation, should generally take no longer five business days.*

- *For federal oversight projects, the VDOT CPM must coordinate and receive concurrence from the FHWA Area Engineer.*

LAP Manual
13.3.4

Claims

A claim is a dispute between the **LPA** and the contractor. While **VDOT** must be informed of any claim, **VDOT** is not a party to the claim. If the LPA plans to utilize federal or state aid to resolve a claim, coordination with VDOT must be made in accordance with this chapter.

LAP Manual
13.4.1

VDOT Dashboard
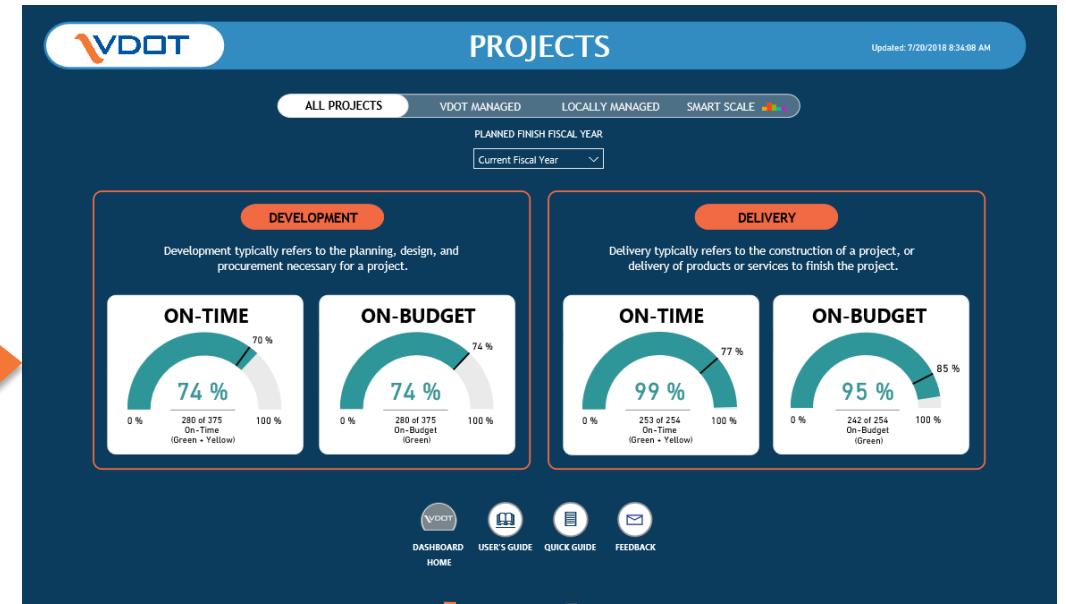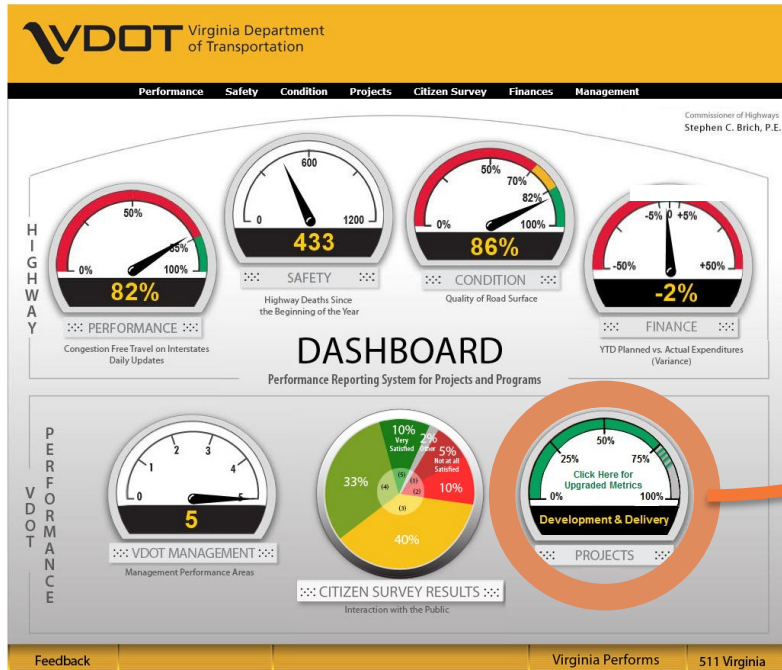
Interface from DB3 to new DB
From DB3 'Project Dial' users redirected to new Dashboard Power BI generated web page.

Project Development

Project Delivery

What Projects are Included?

- **All active projects in SYIP with an Award (Activity 84) planned finish date in FY19 and beyond**

- **All SMART Scale projects regardless of Award date (FY17 and FY18 cohorts)**

- **These are different rules than used for Dashboard 3**

'Excluded' Project Status codes:
Study Only, Critical Decision Needed, Project Closeout Complete, Monitoring Funds, Canceled
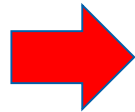
SCHEDULE

G   Start Delivery milestone finished 212 days early

PROJECT DEVELOPMENT MILESTONE

Milestone	Code	Planned Start	Planned Finish	Actual Start	Actual Finish	Status
Agreement with Locality	10	9/2/2015	9/28/2015	9/2/2015	9/28/2015	G
Start Development	12	12/30/2015	1/13/2016	12/30/2015	1/13/2016	G
Determine Requirements	22	1/14/2016	9/7/2016	1/14/2016	9/7/2016	G
Start Purchasing Right-of-Way	52	7/28/2016	8/10/2017	7/28/2016	8/10/2017	G
Solicit Bids	80	9/15/2017	1/16/2018	8/11/2017	8/11/2017	G
Start Delivery	84	6/1/2018	11/21/2018	9/14/2017	4/23/2018	G

What has changed – Project Development

OLD	NEW
Tracked 1 activity (advertisement) at the end of development process	Tracking 10 key milestones in project development
No incentive to finish early – just meet the deadlines	Encouraging activities to finish early

Business Rules: Project Development On-Time

Project Milestone	Activity Code	Early Finish		Baseline Finish Date	Late Finish
Local Agreement	10	> 30 days early	≤ 30 days early		> 0 days late
Start Development (Authorize PE)	12				
Determine Requirements (Scope Project)	22				
Engage Public (Approve Willingness, Adopt Location/Design)	47, 49				
Start Purchasing Right-of-Way (Authorize R/W & UT Funds)	52				
Utility Relocation	67U				
Complete Purchasing Right-of-Way (Acquire Right-of-Way)	69	> 60 days early	≤ 60 days early		
Obtain Permits	70				
Solicit Bids (Advertise Project)	80				
Start Delivery (Award Contract)	84	> 30 days early	≤ 30 days early		> 0 days late

Business Rules: Project Development On-Budget

Approved Budget	Current Estimate in PCES		
< $5 million	≤ 0	> 0 to < 20%	≥ 20%
$5 million to $10 million	≤ 0	> 0 to > $1M	≥ $1M
> $10 million	≤ 0	> 0 to < 10% or < $5M*	≥ 10% or ≥ $5M*
Whichever is less			

VDOT Dashboard

What has changed – Project Delivery

- **Under the old Dashboard, construction contract information (Project Delivery) was optional**

  - Under the new Dashboard – projects will be red if information is missing – including locally administered projects

- **SmartPortal NVAP module is the tool used to enter progress for construction contracts**

Dashboard Construction Data

From the LAP Manual…

Construction project information is required for Dashboard tracking

PCES / Dashboard Updates		
Federal aid	State aid / VDOT Maintained	State aid / LPA Maintained
X	X	X

*Note that this is also a requirement for locally maintained projects

…using the SMART Portal - NVAP Module

LAP Manual
13.1.4.2

SMART Portal – Non-VDOT Administered Projects (NVAP) Module

- **Using the NVAP module, Localities directly enter construction project information into the Dashboard environment utilizing their existing SMART Portal accounts**

  Important Note: The NVAP module permission will need to be assigned and this can be done through the Locality's SMART Portal "POC" (or District "POC")

- **Effective for <u>all</u> projects having an Award date of July 1, 2018 and later**

- **Monthly project uploads occur at the beginning of each month for LAPs awarded in the previous month**

- **Locality PM's receive email alerts to update the construction information**

  Important Note: District Project Coordinators are responsible to ensure that locality contact email addresses are correct in the Project Pool

- **If updates are not made, the project will go "RED"**

SMART Portal - NVAP Module
What is needed for communicating Delivery status?

Four fields denoted in green are updated over the course of the contract.

1. Non-VDOT Contact	**Locality contract manager**
2. Non-VDOT Contact Phone	**Locality contract manager phone number**
3. Non-VDOT Contact Email	**Locality contract manager email address**
4. Construction Company	**Contractor that was awarded contract**
5. Original Contract Completion Date	**Contract completion date specified in contract**
6. Current Contract Completion Date	**Contract completion date specified in contract plus any approved time modifications/extensions**
7. Contract Acceptance Date	**Date the C-5 document is signed indicating that all work is completed, punch-list items are finished and the contract is accepted**
8. Contract Award Amount	**Amount of the award in the contract**
9. Current Contract Amount	**The awarded contract amount plus any approved modifications due to task orders/work orders**
10. Cost of Work To Date	**Expenditures charged to the project**

SMART Portal - NVAP Module

SMART Portal - NVAP Module

SMART Portal - NVAP Module

Project Info

Milestones

Project Info

UPC	**Organization**	**District**	**Residency**
98815	Suffolk City	Hampton Roads	NORFOLK
Contract ID	**Road System**	**Route**	**Administered By**
	Urban	0000	Locally

Description
#HB2.FY17 Godwin Blvd/Route 58 Park & Ride Lot

Is archived?
No

Project Team Site

Type Of Work	**VDOT Project Coordinator**	**VDOT Contact Phone**	**VDOT Contact Email**
Road Work & Paving	Joshua D Negovan	(757) 925-1572	Joshua.Negovan@vdot.virginia.gov
Construction Company	**Locality Project Manager**	**Locality Project Manager Phone**	**Locality Project Manager Email**
Shamrock Construction Corporation	Sherry Earley	(757) 514-7703	searley@suffolkva.us

Original Contract Completion Date	**Current Contract Completion Date**	**Contract Acceptance Date**
2018-05-28	2018-07-31	
Contract Award Amount	**Current Contract Amount**	**Cost of Work to Date**
$697,950	$697,950	$455,307

Questions?

John Simmers

John.Simmers@vdot.Virginia.gov

VDOT GUIDANCE AND LAD SUPPORT

Jay Lindsey

September 17, 2018

Local Assistance Division

LAD Family Portrait

VDOT Guidance and LAD Support

Two very useful links that provide an abundance of assistance and information

1. **Local Assistance Division (LAD) external web page:**
    - **http://www.virginiadot.org/business/local-assistance.asp**

2. **Local Assistance Division (LAD) team site on Inside VDOT:**
    - **https://insidevdot.cov.virginia.gov/div/LA/Pages/default.aspx**

Local Assistance Division - External Web-Page

http://www.virginiadot.org/business/local-assistance.asp

Local Assistance Division - External Web-Page

Program specific information-reference material:

- **Locally Administered Projects Manual (LAP Manual)**
- **UCI Guide**
- **Revenue Sharing Guidelines**
- **Transportation Alternatives Set-Aside Program Guide**
- **Economic Development Access Program Guidelines**

Project Information Reports

Forms

Training-Outreach

Staff Directory!
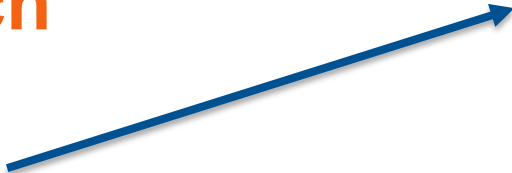
LOCAL ASSISTANCE DIVISION
Office Main Line (804) 786-2746
Fax (804) 371-0847
Enhancement Project Assistance (800) 444-7832

(As of June 07, 2018)

Julie R. Brown   Director

Russell Dudley   Assistant Division Administrator
Program Administration - Oversees Special Federal and State Funding Programs

Todd Halacy   Assistant Division Administrator
Program Administration - Oversees Urban and Secondary Policy, Local Project Administration, and Local Partnership/Local Compliance

Local Assistance Division Inside VDOT

Local Assistance Division Inside VDOT

Links for Local Assistance

- **Local Agreement Database**
  - Agreement status of all agreements
- **Fully Executed Agreements by Districts**
- **Request to Administer Forms and Tracking**

LAD Division Sites

- **Local Assistance Program Areas**
- **Local Programs Workshop**
- **District Locality Days**
- **Monthly Videoconference Notes**

VDOT AND LOCALITY TRAINING, SUPPORT AND RESOURCES

Tools – Starter Pack

http://www.virginiadot.org/business/locally_administered_projects_manual.asp

Tools – LAP MAP

http://www.virginiadot.org/business/locally_administered_projects_manual.asp

SMART SCALE | DASHBOARD

Virginia Roads

Your one-stop source for VDOT maps, data and project info.

VIRGINIA ROADS

Connect With Us!
Visit Our Social Media Pages »

@MotleyDiver Hi Tim, we have no major incidents reported as of now in Woodbridge, but please be sure to check the m... https://t.co/0oizH4I00n

#VDOT Crews out in @VaDOTSalem are already out clearing gutters in preparation for #HurricaneFlorence. We encourag... https://t.co/V8WgyjWQa5

Other Links

- VirginiaRoads.org Portal
- Open to the Public
- Highway Safety Challenge
- Six-Year Improvement Program database
- Organizational Chart
- E-ZPass Virginia
- Transparency in Procurement *eVA*

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expectations and requirements to administer a transportation project.

The guide briefly outlines the major components, processes and procedures necessary to administer a transportation project, but should NOT be used as a substitute to the comprehensive Locally Administered Projects Manual.

Lap - Map

LAP - MAP is an intelligent flowchart-based navigational tool to guide users through the locality administered project development and delivery processes. LAP-MAP consists of two sections: A project "selector" tool which asks five basic project characteristic questions, conveniently listed in drop-down menus. Based on the users input, the tool will automatically take the user to the applicable project development and delivery process flowchart. The flowchart provides a detailed outline of the necessary steps required for the respective project development and delivery process according to the input provided in the selector tool. The LAP-MAP flowchart shows each step and includes hyperlinks to the appropriate page or form in the LAP Manual. In addition, LAP-Map employs user friendly graphics, hints and reminders to the project manager and also incorporates VDOT's Project Web Access (PWA) schedule activity numbers. LAP-MAP promises to be a useful tool for both the novice and experienced project manager to assist in project development, delivery, close out and audit. LAP-MAP is a useful tool or both the novice and experienced project manager to assist in project development, delivery, closeout and audit.

LAP-Map is **NOT** to be used as a substitute to the actual Locally Administered Projects (LAP) Manual, but is intended to provide the user a quick resource in locating specific project information/guidance/

Please click the **LAP-MAP** icon below to start.

Instruction how to use LAP-MAP

1. Click on LAP-MAP icon
2. Select open
3. This will take you to the LAP-MAP Project Selector (excel file). This is the first section of the LAP-MAP.
4. There are five basic questions, which are conveniently listed in a pull-down menu regarding the project characteristics.
5. After selecting the appropriate responses from the pull-down menu questions, you will see the name of related project process flow-chart pop up automatically; e.g. "**Project Process Type X flow-chart**" right below the selection table on right.
6. On the left you will see a box "Display Map".
7. Click "Display Map" and this will take you to proper project process flow chart.
8. On the top left corner, you will see the project characteristics which you selected. This is a confirmation to ensure you are using the appropriate project flow-chart for your specific project type.
9. The LAP-MAP flow chart provides a detailed outline of all necessary steps required for project delivery from the very beginning (RtA/Agreement) to the very end construction completion (LAP C-5) and project closeout.
10. LAP-MAP shows each step with a hyper-links to the appropriate page or form in the LAP Manual.
11. You may also save the project flow-chart to your computer or network, and if you have Adobe Pro you are able to add your own project specific notes onto the flowchart.

LAP ⊕ Map
Beta

"Finalized"
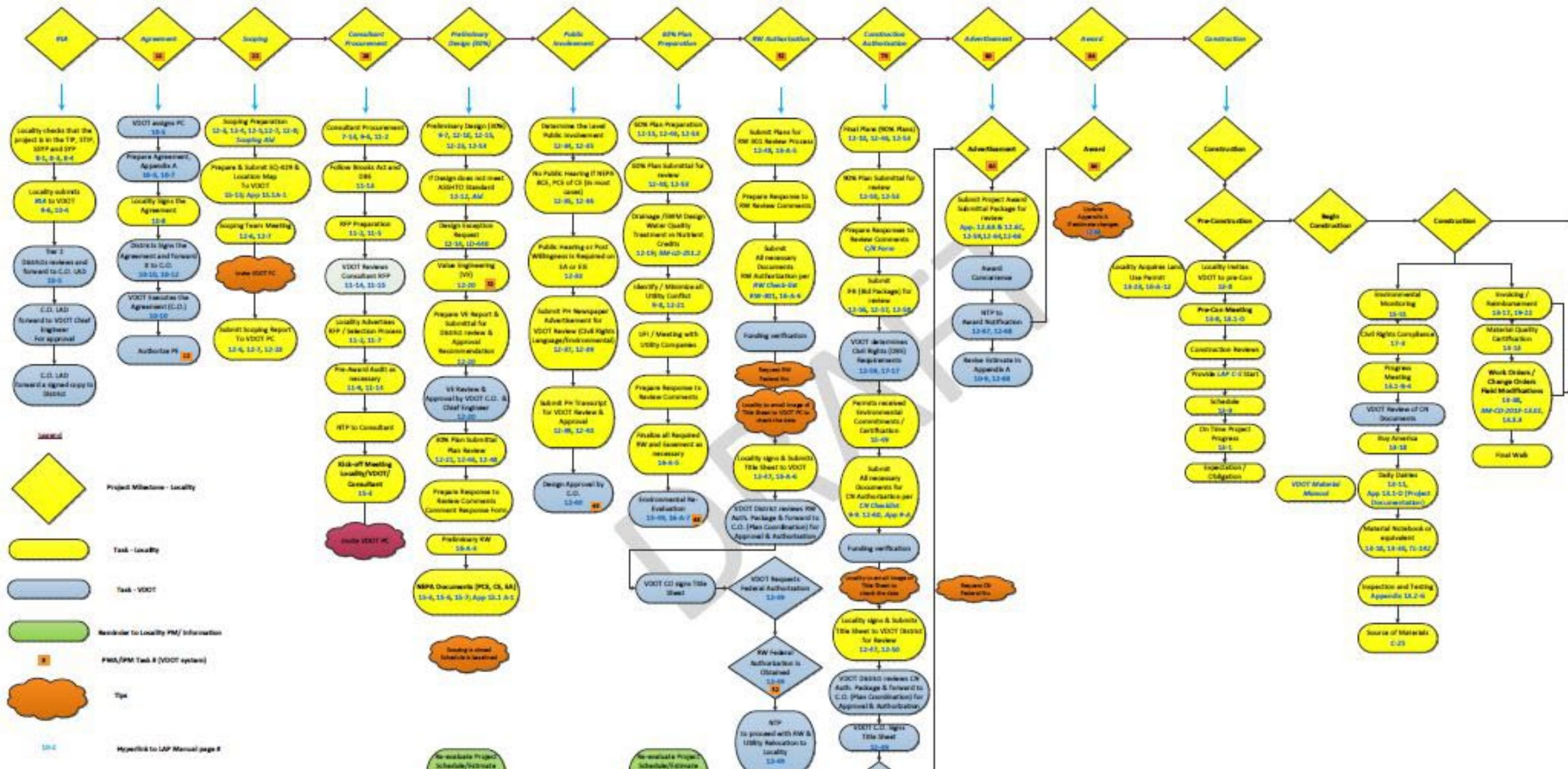
VDOT

Tools – LAP MAP Project Selector

Project Selector

1. How will this project be funded?	Federal Funds
2. Will the construction costs be more than $10M?	Tier 2 CN>$10M
3. How will this project be delivered?	Design-Bid-Build
4. Who maintains the affected roadway?	LPA-maintained
5. Is the roadway on the National Highway System?	non-NHS
Display Map	**LAP-MAP Project Process Type 8 flow-chart**

Tools – LAP MAP

Local Programs Workshop

Networking for Success!

- **Local Government Staff**
- **VDOT Staff**
- **Private Sector Staff**

Two days of training

- **Project Management**
- **Project Development**

VDOT District Locality Days

- **Compliments the Local Programs Workshop**
- **Training and Networking**

VDOT Virginia Department of Transportation

Local Programs Workshop ▪ September 18-20, 2018, Roanoke, Virginia

"Network for Success"

General Information

| General Information |
| Program |
| Location & Lodging |
| Registration |
| Sponsors |
| Project Showcase |
| Workshop Materials |
| Other Events |

General Information

This Workshop will focus on providing an overview of local programs and provide training for program management and project development. The Workshop will be held on September 18-20, 2018 at The Hotel Roanoke. The theme of the Workshop is "Network for Success" and will bring together local government, VDOT, and private sector staff to discuss delivery of the local transportation program. In addition to the plenary sessions, the workshop will feature 20 breakout sessions, scheduled in four concurrent tracks, over the two-day workshop.

This workshop is intended for those within local public agencies that have oversight of locally administered projects, in addition to Transportation Alternatives project sponsors, consultants and VDOT staff involved in locally administered projects.

For additional information regarding the Local Programs Workshop, please contact Penny Forrest at 804-786-9810 or penny.forrest@vdot.virginia.gov.

Continuing Education Credits

The Local Programs Workshop provides up to 9.5 educational hours. For purposes of the VA DPOR continuing education requirements for Virginia Professional Engineer license holders this

Thanks to Our Sponsors

WRA

CONTACT:
For additional information regarding the Local Programs Workshop, please contact

Support and Resources – Web Modules

Core Curriculum

- **Internally-developed Web-based modules**
- **NHI Web-based modules (goes to FHWA Site)**
  1. **Introduction to Highway federal aid**
  2. **Introduction to NEPA**
  3. **Introduction to the Uniform Act**

Federal-Aid Essentials for Public Agencies

- **Buy America Requirements**
- **Federal-aid Process**
- **Basics of Project Development**
- **Closing Out a Project**
- **Tons of other helpful videos!**
- **Home of the FHWA Core Curriculum Manual**

Support and Resources

Quarterly Newsletters

- **LAP Manual Updates**
- **Hot Topics**
- **Program Updates**
- **Performance Updates**
- **Upcoming Training Opportunities**

Local Technical Assistance Program

- **TTA - Provides technical workshops, seminars, and short courses in the various transportation related topics**

Support and Resources

LAD Forms Site

- Templates – Resolutions, Consultant MOA & RFP, Materials QA, and UCI Contract
- Project Interaction Guidelines
- LAP Schedule Tool
- Project Delivery Plan
- Project Development Timeline
- LAP Project Development Checklist
- Title Sheets
- C-5
- Fresh Appendix A's

VDOT Online Forms

Perform a new search

Click the name of any document listed below to open that document

1.) **Sample LAP Consultant MOA Template**

Sample of Consultant MOA for Locally Administered projects. Required federal provisions are highlighted in yellow.

☑ Approved? Delete

Sample of Consultant MOA for Locally Administered projects. Required federal provisions are highlighted in yellow.
(254464 bytes)

2.) **AppendixA - Final Bill VDOT Administered Urban**

This Appendix A is used when a VDOT Administered Urban Project is complete and a final bill is to be sent to the locality.

☑ Approved? Delete

This Appendix A is used when a VDOT Administered Urban Project is complete and a final bill is to be sent to the locality.
(110080 bytes)

3.) **Materials Quality Assurance Plan Guidance**

Instructions for preparation of Quality Assurance Plans

☑ Approved? Delete

Instructions for preparation of Quality Assurance Plans

Questions?

Jay Lindsey

Jay.Lindsey@vdot.Virginia.gov

INITIATIVES TO SUPPORT LOCAL PROGRAM

Project Coordinator Training

Julie Brown

Stakeholder Groups Business Plan Initiatives

- **Starter Pack**

- **Scheduling Tool**

- **Locality Days**

- **Project delivery plan**

- **Local Access to IT applications/information**

- **Project Coordinator White paper**

Local Projects Stakeholder Membership

District Advisory Group:

Tabitha Crowder	Bristol
Gregory Cooley	Culpeper
Byrd Holloway	Fredericksburg
Bryant Porter	Hampton Roads
Sharon White	Lynchburg
Bud Siegel	Northern Virginia
Brian Lokker	Richmond
Anthony Ford	Salem
Steve Damron	Staunton

Local Projects Stakeholder Membership

Local Government Stakeholders:

Wallace McCulloch	Bristol	Lee Newland	Lynchburg
Todd Flippen	Colonial Heights	Chloe Delhomme	Manassas
Brian Dunevant	Danville	Brian Stilley	Newport News
Todd Minnix	Fairfax Co.	Anne Doyle	Norfolk
Erik Nelson	Fredericksburg	Mary Ankers	Prince Wm. Co.
Joe Vidunas	Hanover Co.	Sherry Earley	Suffolk
Jamie Oliver	Isle of Wight Co.	Perry Eisenach	Winchester
Susan Glass	Loudoun Co.		

Other Past Local Project Initiatives

- **Enhanced RTA**

- **Performance Reports**

- **Commitments Report**

- **Local Programs Workshop**

- **NVAP for Local Construction Data**

Future Local Project Initiatives

- **LAP-MAP**

- **E-Forms/E-Signature for Local Project Agreements**

- **Job Book for Project Coordinators**

- **New Business Plan?**

- **Qualifications Program**

Why Develop a LAP Qualification Program?

- **FHWA requires localities to provide a full-time local government employee who is responsible for all major project decisions regardless of use of consultants.**

- **VDOT is responsible for reviewing a locality's capabilities**

- **Encouraged through FHWA Every Day Counts initiatives**

- **Increasing numbers of projects are locally administered in Virginia**

Qualification Program Concept

- **Potentially replace/modify VDOT's existing RtA process for evaluating locality capability**

- **Set series of trainings to provide a fundamental level of knowledge for LPAs**

- **Required for LPAs that request to administer federal aid projects**

- **Re-qualification process**

Qualification Program Benefits

- **Compliance**
  - Limit federal project administration to those with demonstrated knowledge
  - Risk mitigation
  - Ensures locality responsible person understands federal regulations and guidelines
- **Resource reduction**
  - Allows VDOT to reduce oversight for LAPs (fewer high oversight projects)
- **Consistent Training for Localities**

Advisory Committee Members

- **Jesse Smith – Chesterfield County**
- **Katie Shannon – City of VA Beach**
- **Tom Hartman – City of Harrisonburg**
- **Laura Craft – Town of Wise**
- **Steve Carter – Nelson County**
- **Todd Minnix – City of Fairfax**
- **Keith Barker – Town of Galax**

- **Rob Tieman – PMO, VDOT**
- **Ian Millikan – Construction, VDOT**
- **Rob Ridgell – Fredericksburg District, VDOT**
- **Bud Siegel – NOVA District, VDOT**
- **Mark Riblett – Richmond District, VDOT**
- **Gilberto DeLeon – FHWA**
- **LAD Staff**

Schedule for kicking off program

- ✓ Research other states – May 2018
- ✓ Assemble Advisory Committee – July/August 2018
- o Develop program framework – Fall 2018
- o Develop program training content for 1st part – Spring 2019
- o Draft role out of program – Fall 2019

Questions?

Julie Brown

Julie.Brown@vdot.Virginia.gov