

Network for Success

Local Programs Workshop



2B - Project Initiation

Track: Project Development and Financials

Michael Branscome

Planning and Investment Director
Staunton District

Bernie Schmelz

Program Manager
VDOT

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Title VI Coordinator - VDOT
October 24, 2012

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Local Programs Workshop



Project Initiation – The Triple Constraints

~ Scope ~ Schedule ~ Estimate

Michael Branscome

Planning and Investment Director

Staunton District

Project Initiation

THE TRIPLE CONSTRAINTS

- SCOPE
- SCHEDULE
- ESTIMATE

Project Scoping

- Scoping Requirements are outlined in LAP Manual
 - Section 12.1.3
- Less complex projects may not require a formal scoping report
- LPA's may choose to utilize part A of VDOT's PM100 form

<http://vdotforms.vdot.virginia.gov/SearchResults.aspx?strFormNumber=PM-100>



PM-100
 Revised March 30, 2012

Scoping Report

Date: _____		Project Manager: _____	
UPC: _____	District Drop-down Selection	Residency: _____	City/County: _____
Route: _____	State Project Number: _____		Street Name: _____
FHWA 534#: _____	Federal Number: _____		Road System: _____
Termini From: _____ To: _____			
Project Length: _____			
Project Category M, L, V: Drop-down Selection (Refer to Category Definitions on PMO Website)			
Project Purpose and Need: _____			
Project Narrative: _____			

Relevant Cost and Schedule Risks:

<input type="checkbox"/> Technical <ul style="list-style-type: none"> <input type="checkbox"/> Structures & Geotech <input type="checkbox"/> Stormwater <input type="checkbox"/> Design and access issues <input type="checkbox"/> Construction & MoT 	<input type="checkbox"/> R/W acquisition <ul style="list-style-type: none"> <input type="checkbox"/> Utilities <input type="checkbox"/> Environmental <input type="checkbox"/> Permits <input type="checkbox"/> Political & delayed decisions <input type="checkbox"/> Stakeholder issues <input type="checkbox"/> Multiple contracts
---	---

Delivery

Design-Bid-Build
 Design-Build
 State Forces
 Other _____

Top Project Risks

Public Involvement

Willingness
 Location Public Hearing
 Design Public Hearing

Combined Location and Design Public Hearing

Exception from the Public Hearing Process (refer to [Public Involvement Manual](#))

Estimate and Funding

Fund(s) & Type	PE	RW	CN	
SYP Year _____	PE	RW	CN	Total
Estimate	\$ _____	\$ _____	\$ _____	\$ _____
PCES Recommended Estimate	PE	RW	CN	Total
	\$ _____	\$ _____	\$ _____	\$ _____

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Page 1 of 2 Project Management Office

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Project Scoping

Page 2 of the PM-100 can be used to begin a preliminary schedule based on the elements at the top of the page.



PM-100
 Revised March 30, 2012

Scoping Report

Schedule	
Authorize Preliminary Engineering:	█
Environmental Review Process (completed):	█
Scoping Team Meeting Held:	█
Public Hearing Team Meeting (planned):	█
Field Inspection Team Meeting (planned):	█
Pre-Advertisement Conference Team Meeting (planned):	█
Advertisement (planned):	█
Construction Complete (planned):	█

Proposed Project Elements – Scoping Worksheets Completed
 Scoping Worksheets for each functional area's scope of work are uploaded to iPM Documents

<input type="checkbox"/> Construction	<input type="checkbox"/> Maintenance
<input type="checkbox"/> Community Impacts	<input type="checkbox"/> Materials
<input type="checkbox"/> Environmental	<input type="checkbox"/> Planning and Investment
<input type="checkbox"/> Location and Design - Hydraulics	<input type="checkbox"/> Right of Way
<input type="checkbox"/> Location and Design - Landscape Arch.	<input type="checkbox"/> Structure and Bridge
<input type="checkbox"/> Location and Design - Roadway Design	<input type="checkbox"/> Traffic Engineering
<input type="checkbox"/> Location and Design - Survey	<input type="checkbox"/> Utilities
<input type="checkbox"/> Location and Design – Traffic Design	

Risk-Based Oversight (See IIM-LD-249)
 Tier 1 – All maintenance schedules, SAAPs and NFO < \$5M Construction Cost
 Tier 2 – All FO, all NFO > \$5M, and all projects procured as Design Build

Scope Recommendation
 _____ Date: _____
 Project Manager

Scope Approval
 The following signatures constitute Scope approval for those projects that the Project Manager concludes no further studies are required to determine Scope.

_____ Date: _____
 District Project Development Engineer

_____ Date: _____
 State Location and Design Engineer (or Designee) or
 State Structure and Bridge Engineer (or Designee)
Note: Central Office approval only required on Tier 2 Oversight projects.
 Comments: _____
 Please return the approved scoping report to the Project Manager.
 The Project Manager will upload the approved Scoping Report to iPM Documents.

Electronic Attachments (saved in iPM): _____

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Virginia Department of Transportation
Project Management Office

Page 2 of 2

Project Schedule

Section 12.3.3 LAP Manual Basic Schedule Elements

- **Scoping**
- **Survey**
- **Preliminary Design & Plan Review**
- **NEPA (when applicable)**
- **Public Involvement (when applicable)**
- **Right of Way Authorization (when applicable) (Federal Strategy)**
- **Right of Way Acquisition and or Utility relocations (when applicable)**
- **Final Plan reviews**
- **Construction Submission and Authorization**
- **Advertisement (Federal Strategy & Dashboard Considerations)**
- **Request to Award**
- **Starting C-5**

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PCES Estimate Worksheet

UPC: 78235

VDOT Project Cost Estimating System SUMMARY PAGE

DISTRICT:

PROJECT NUMBER:

CONSTRUCTION END YEAR: UPC:

AD YEAR: RATE OF INFLATION TO AD:

ESTIMATE YEAR: INFLATION RATE BRIDGE COST:

Date of previous estimate: 01/19/12

PROJECT MANAGER / DESIGNER:

Preliminary Engineering Estimate:

Construction Estimate:

Right-of-Way Estimate:

Utilities Estimate:

DATE: 10/3/2012

THE FOLLOWING DATA WILL BE PROVIDED UPON COMPLETION OF THE REMAINDER OF THE WORKBOOK, WHICH IS ACCESSED BY SELECTING THE CONST, RW, & UTIL TABS BELOW

CONSTRUCTION ESTIMATE:

PRELIMINARY ENGINEERING ESTIMATE:

RIGHT-OF-WAY & UTILITIES ESTIMATE:

TOTAL PROJECT ESTIMATE:

© Virginia Department of Transportation 2005
Revised 09/20/12

Estimate Class: Right-of-Way Version 2.92

UPC: 78235

VDOT Project Cost Estimating System CONSTRUCTION / BRIDGE / PE

Project No. **EN05176125**

Interstate Project ? - Select / Enter Data into All Applicable White Boxes (in order from Top to Bottom)

Maintenance Project ?

Route Number

Geometric Standard

Ad Date: 2014

Design Year ADT - Project Terra

OR

Current (Recent) ADT

Box Must Be Empty Design Speed =

Box Must Be Empty

Box Must Be Empty

Project Length (mi.) - Number of Additional Length of Add'l.

Length - Adding or Building Two Lanes (mi.) -

Length - Adding or Building Four Lanes (mi.) -

Length - Building Bumps and Loops (mi.) -

Shoulder or Curb & Gutter ? (Select S or C&G) - Lane Width (ft) >

Median Type - Graded, Raised, or None ? - Normal Lane Width

Number of Crossovers (Divided Highways ONLY)

Length - Curb & Gutter - Left PLUS Right Side (ft.)

Length - Sidewalk - Left PLUS Right Side (ft.)

Bike / Pedestrian Type

Total Length - Raised Median (ft.)

Number of Right Turn Lanes - Left PLUS Right Side

Number of Left Turn Lanes - (Undivided Only)

STAUNTON
50% Cost Factor used

Construction Costs

Signals, ITS, Signs and Lighting Costs* Base #1

Cost of Large Drainage Structures Base #2

In-Plan Utility Costs* Cost CE Cost >

Adjustment for Unusual Construction Costs CE

**Totals include district factor calculations*

Estimate (2013)

Additional (or Unusual) P. E. Costs

Percent % of PE to be performed by Consultants PE Cost

Note: **Do Not Include Bridge P. E. Costs Here** Roadway P. E. / Roadway Const. = 0.0%

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Revised 09/20/12

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PCES Manual Worksheet

UPC: 78235

VDOT Project Cost Estimating System MANUAL ESTIMATE				
	DATE	PE	RW	CN
EXPENDITURES	08/01/12	\$119,870	\$0	\$0
RUMS	09/28/12		\$0	
TRANS*PORT				\$0
AWARD	09/28/12			\$0
PROJECTION	09/28/12			\$0

ESTIMATE YEAR		AD YEAR
<input type="text" value="FY2013"/>		<input type="text" value="FY2013"/>
<input type="text" value="\$171,727"/>	PE	<input type="text" value="\$171,727"/>
<input type="text" value="\$173,000"/>	RW	<input type="text" value="\$173,000"/>
<input type="text" value="\$553,383"/>	CN	<input type="text" value="\$553,383"/>
<input type="text" value="\$898,110"/>	TOTAL	<input type="text" value="\$898,110"/>

Job #	Phase	Comment	Estimate
<input type="text"/>	<input type="text" value="PE"/>	<input type="text" value="Preliminary Engineering"/>	<input type="text" value="\$171,727"/>
<input type="text"/>	<input type="text" value="RW"/>	<input type="text" value="Permanent Property Acquisition"/>	<input type="text" value="\$10,400"/>
<input type="text"/>	<input type="text" value="RW"/>	<input type="text" value="Dominion Power Relocations"/>	<input type="text" value="\$137,000"/>
<input type="text"/>	<input type="text" value="RW"/>	<input type="text" value="Verizon Relocations"/>	<input type="text" value="\$15,000"/>
<input type="text"/>	<input type="text" value="RW"/>	<input type="text" value="Comcast Relocations"/>	<input type="text" value="\$10,600"/>
<input type="text"/>	<input type="text" value="CN"/>	<input type="text" value="Project Construction (incl. 10% contingency)"/>	<input type="text" value="\$553,383"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Network for Success Local Programs Workshop



PCES Alternate R/W Sheet

PCES Alternate Right-of-Way Worksheet UPC: 78235

ESTIMATE OF RIGHT OF WAY COST SUMMARY

Date: 09/28/12
 Project No.: EN05176125
 Estimate Stage:
 The Estimate is for: Internal Files
 Project Description: TOWN OF BRIDGEWATER - SIDEWALKS, BIKE LANES & BIKE PATHS

This estimate is based on: approved plans Participating

Type of Cost: Preliminary Engineering Participating

Preliminary Engineering
 a. All R/W cost prior to NTP, such as Scopings, Estimates, PFI's, FI's, PH's, CIM's, etc. \$0
 b. Utility P.E. (all utility costs prior to NTP) \$0
Preliminary Engineering Total \$0

1 **Acquisitions** Total Number of Parcels: 2

a. Land	\$10,400
b. Buildings	\$0
c. Other Improvements	\$0
d. Damages	\$0
e. Sub-Total	\$10,400
f. Condem./Settle. Increment <input type="text" value="0"/> %	\$0
g. Administrative (all labor, including attorney fees plus incidental expenses for NTP to Project Closing)	\$0
h. Demolition Contracts (include Demolition Inspector charges)	\$0
i. Survey charges for R/W stakings	\$0
j. Hazardous Materials Removal	\$0
k. Property Management Costs	\$0
l. Total (Acquisitions)	\$10,400

2 **Relocation Assistance** Total Displacements: 0

Families <input type="text" value="0"/>	Businesses <input type="text" value="0"/>	Farms <input type="text" value="0"/>
Non-Profit <input type="text" value="0"/>	Personal Property Only <input type="text" value="0"/>	

a. Relocation Costs	\$10,600
b. Cable TV Relocation	\$0
c. Total (Relocation)	\$10,600

3 **Utility Adjustments (Attach PCES Utilities Summary Sheet)**

a. Project Cost and Contingencies	\$152,000
b. Utility In-Plan Design Costs	\$0
c. Utility Plan Review, Construction Inspector & Survey Charges	\$0
d. Total	\$152,000
e. Owner Cost	\$0
f. Cost of work to be included in plans as construction cost, if known at this stage	\$0

4 **Grand Total (Right of Way, Relocation Assistance & Utility R/W Project Costs)**
 (exclude preliminary engineering, utility owner cost and utility construction cost)

\$173,000

PCES Right of Way Worksheet UPC: 78235

ESTIMATE OF RIGHT OF WAY COST SUMMARY (Continued)

Date: September 28, 2012
 UPC Number: 78235
 Project: EN05176125

Prepare a separate report for each segment of scheme in preliminary engineering study. Prepare a separate report for each participating and non-participating cost at design hearing stage, programming stage, or for approval funds.

Complete Stage I Relocation Assistance Report and Tax Loss form, if necessary.

Comments:

Distribution List
 cc: Mr. E. T. Robb (Env. C.O.)
 Mr. M. A. Estes (Local Assistance C.O. - Urban Projects)
 Ms. D. L. Mitchell (Programming C.O.)
 Mr. J. R. Cromwell (Env. C.O.)
 Resident Administrator
 Project Manager
 Mr. W. A. Brown (Programming C.O.)
 Ms. P. E. Goswick (Programming C.O.)
 Ms. D. A. Grant (Programming C.O.)
 Mr. D. P. Lewis (Programming C. O.)
 Mr. W.E. Meador (HazMat)
 Ms. J. H. Layne (Relocation)
 Ms. C. D. Akins
 Central File

Version 2.92

Network for Success Local Programs Workshop



PCES Alternate Utility Sheet

PCES Alternate Right-of-Way Worksheet					UPC: 78235
ESTIMATE OF UTILITY ADJUSTMENT COST					
				DATE:	09/28/12
PROJECT NO.:	EN05176125				
ESTIMATE STAGE:	Right-of-Way				
PROJECT DESCRIPTION:	TOWN OF BRIDGEWATER - SIDEWALKS, BIKE LANES & BIKE PATHS				
ESTIMATE IS BASED ON	approved plans				
Utility Preliminary Engineering Costs:				\$0	
(all utility costs prior to NTP - Scopings, Estimates, P.E. Inspections, Field Inspections, etc.)					
TYPE OF FACILITY	UTILITY OWNER	UTILITY OWNER COST	R/W PROJECT COST	CONSTRUCTION PROJECT COST	
ELECTRICAL/DISTRIBUTION	DOMINION VA POWER	\$0	\$137,000	\$0	
TELEPHONE	VERIZON	\$0	\$15,000	\$0	
		\$0	\$0	\$0	
		\$0	\$0	\$0	
		\$0	\$0	\$0	
		\$0	\$0	\$0	
		\$0	\$0	\$0	
		\$0	\$0	\$0	
		\$0	\$0	\$0	
(a) Project Cost		\$0	\$152,000		
CONTINGENCIES	Enter Percentage	0%	\$0		
(b) Utility In-Plan Design Cost			\$0		
(c) Utility Plan Review, Construct. Inspector & Survey Charges			\$0		
TODAY'S TOTAL COST		(e) \$0	(d) \$152,000	(f)	\$0
CABLE TV - RELOCATION ASSISTANCE					
(TOTAL)		\$0	\$0		
(Relocation of Cable Television facilities is a R/W Relocation Assistance Cost and is to be shown on Summary as Relocation Assistance.)					
Please prepare a separate report for each scheme or segment in preliminary study for each project.					

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Local Programs Workshop



Enhanced Request to Administer a Project Process

Bernie Schmelz

Program Manager

VDOT

Enhanced Request to Administer a Project Process

Local Public Agencies are required to submit an RtA to obtain concurrence to administer federally eligible projects.

Effective July 1, 2012, VDOT enhanced the RtA to streamline the approval process and to more objectively evaluate the local government's ability prior to entering into a project administration agreement.

Certain projects are not required to submit an RtA:

- **Enhancement Program Projects**
- **Revenue Sharing Projects**
- **Safe Routes to Schools Program Projects**
- **UCI Participant Projects**

Enhanced Request to Administer a Project Process

- **Aligned with the delegated Tier 1 / Tier 2 project approval process –**
 - **District Administrators review and approve / deny RtA's for Tier 1 projects**
 - **The Chief Engineer will review and approve / deny RtA's for Tier 2 projects**
- **Includes a locality self evaluation –**
 - **Formalizes those elements that the LPA should consider prior to making a request for project administration**
 - **Update when key LPA project staff or experience levels change**

Enhanced Request to Administer a Project Process

The Locality self evaluation –

Improves VDOT’s ability to consistently evaluate that localities have adequate project delivery systems in-place, and are staffed and suitably equipped to undertake and satisfactorily complete the work



SAFETEA-LU Section: 1904 –

“...States will be responsible for determining that sub-recipients of Federal funds have adequate project delivery systems...”

Enhanced Request to Administer a Project Process

The enhanced RtA form is located on the external VDOT forms website at:

<http://vdotforms.vdot.virginia.gov/SearchResults.aspx?filename=ReqToAdminrevised.doc>

Request to Administer Project		
To: District Office Local Liaison		
From: _____	_____	_____
<i>(Printed Name of Responsible Local Official Issuing Request) (Email Address) (Phone)</i>		
Signature (Typed when e-mailed) By: _____	Date: _____	
Locality: _____	Project #: _____	UPC: _____
Project Scope (short narrative): _____		
Local Government Project Delivery Self-evaluation attached: <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A		
Local Responsible Person* Name: _____	Phone: _____	
Email: _____		
* See Chapter 3.1 of L&P Manual for Responsible Person qualifications		
Phase of project to be administered: <input type="checkbox"/> PE <input type="checkbox"/> RW <input type="checkbox"/> CN <input type="checkbox"/> Other; describe: _____		
State Funding Source(s): <input type="checkbox"/> Federal Highway <input type="checkbox"/> State Formula (Urban / Secondary) <input type="checkbox"/> Other (specify): _____		
Check as applicable: Project will be pursued through PPTA: <input type="checkbox"/> Project will be administered as Design-Build: <input type="checkbox"/>		
To be completed by District Office		
The project is: <input type="checkbox"/> Tier 1 (provide copy to LAD after District Administrator Approval/Denial) <input type="checkbox"/> Tier 2 (Submit with Self-evaluation to LAD for Chief Engineer Review)		
District Local Liaison Include Comments if needed	Recommendation: <input type="checkbox"/> Approval <input type="checkbox"/> Denial	
	Signature & Date (Typed when e-mailed)	
District Project Development Engineer/PIM or Construction Engineer Include Comments if needed	Recommendation: <input type="checkbox"/> Approval <input type="checkbox"/> Denial	
	Signature & Date (Typed when e-mailed)	
	VDOT Project Coordinator Assigned: _____	
District Administrator (Tier 1 Projects) / Chief Engineer (Tier 2 Projects)		
<input type="checkbox"/> Approved <input type="checkbox"/> Denied _____		
Signature & Date (Typed when e-mailed)		
Revised July 1, 2012		
*Tier 1 projects are defined in I&D#249 (www.extranet.vdot.state.va.us/locdes/electronic%20pubs/ijm/ID%249.pdf) and generally are projects which are non-federal oversight, under \$5 Million in Construction Value, and are not Design-Build		
Upon completion, provide a copy of this form to the Local Assistance Division Director.		
Use Ctrl-Enter to create paragraph breaks within comments.		
Sheet 1 of 8		

Enhanced Request to Administer a Project Process

Advantages for Local Governments –

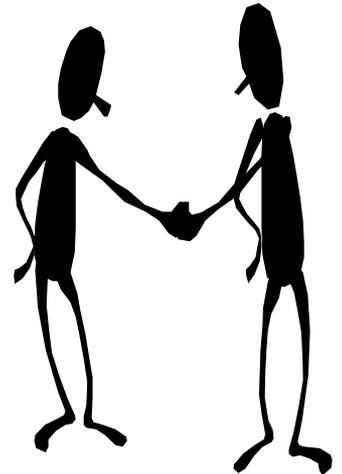
- **Tier 1 RtA approvals made at District Office which streamlines the approval process.**
- **The self-evaluation provides the Locality with sufficient information to assess their ability to manage federal-aid transportation projects.**
- **The self-evaluation identifies strengths and weaknesses may be used by the Locality to tailor a training plan to increase their project administration and management capability.**

The enhanced RtA has helped our locality's Board/Council understand the requirements necessary to administer transportation projects.

Enhanced Request to Administer a Project Process

Advantages for Project Coordinators (VDOT) –

- Tier 1/Tier 2 RtA approval process now aligned and consistent with other VDOT approval processes.
- The self-evaluation provides additional information to assist with identifying risks and applying the appropriate level of oversight to the respective project.
- Increases opportunities for partnering and project success by working together to exploit strengths and overcome weaknesses.



Enhanced Request to Administer a Project Process

Self Evaluation Topics include:

- **Qualified staff**
 - **“Responsible Person”** – must be a locality employee (CFR Title 23 §635.105)
 - **Project Manager** – may or may not be a locality employee

- **Project Delivery Experience**
 - **General experience**
 - **Consultant procurement**
 - **Project scheduling**
 - **Construction work orders**
 - **Compliance / Audit processes**

<p>Local Government Responsible Person (submit one for each RP)</p> <p>Locality is required to provide a full-time local government employee who is responsible for all major project decisions. This person is referred to as the Locality Responsible Person (LRP) and may or may not be the project manager. This requirement is outlined in Chapter 3.1 of VDOT's Locally Administered Projects (LAP) Manual. An IOWA memorandum dated August 4, 2013 provides further explanation of this person's duties (www.vhwa.vdot.gov/256c9a16d110841ad5).</p> <p>Identify the full-time Local Government Employee assigned as the "Responsible Person": Name: _____ Title: _____</p> <p>Is the RP also the Project Manager? <input type="checkbox"/> Yes <input type="checkbox"/> No (complete the project manager evaluation page)</p> <p>VDOT is required by federal regulation to ensure that the locality is adequately staffed to ensure the project is satisfactorily completed. Accordingly, local staff must have a working knowledge of the locally administered projects process and those federal regulations affecting federal aid projects. The following provides the experience and training of the Locality Responsible Person.</p> <p>Select from the following the best choice describing the RP's experience:</p> <p><input type="checkbox"/> The RP has successful experience providing oversight or managing a federal aid project within the previous five years. Identify and describe applicable projects on an attachment to include: Project Name and Description, Phases Included (PE/RW/CN), Approximate Date Advertised, Construction Value, Funding Source, if known, etc.</p> <p><input type="checkbox"/> The RP has successful experience participating as a team member, but not a RP, for federal aid projects. Identify and describe applicable projects on an attachment to include: Project Name and Description, Phases Included (PE/RW/CN), Approximate Date Advertised, Construction Value, Funding Source, if known, etc.</p> <p><input type="checkbox"/> The assigned RP has no successful experience with federal aid projects, but has provided oversight for a state aid transportation project, such as Revenue Sharing or Access.</p> <p><input type="checkbox"/> The RP has no experience providing oversight for a transportation project.</p> <p>Has the RP completed VDOT's Core Curriculum on-line training, found on VDOT's Locally Administered Projects Webpage (https://www.vdot.state.va.us/business/local_requirements.asp)?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Describe or attach a list of other formal and/or informal training that qualifies him/her to act as a Responsible Person.</p>	<p>Local Government: _____ Submitted Date: _____ Name of Local Official Submitting Information: _____</p> <p>Signature: _____ Printed Name: _____ Title: _____</p> <p>The LRP is not also the RP? <input type="checkbox"/> Yes <input type="checkbox"/> No If not also the RP, locality is adequately staffed to ensure the project is satisfactorily completed. Local staff may supplement their staff accordingly. Local staff and their administered projects process and the following provides the experience and training of the Locality Responsible Person.</p> <p>RP, however, the consultant has not completed procurement) or managing a federal aid project on an attachment to include: Approximate Date Advertised, Construction Value, Funding Source, if known, etc.</p> <p>RP, but has provided oversight for a state aid transportation project. Identify and describe applicable projects on an attachment to include: Project Name and Description, Phases Included (PE/RW/CN), Approximate Date Advertised, Construction Value, Funding Source, if known, etc.</p>
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Enhanced Request to Administer a Project Process

Staff and Locality Experience –

- **Take into account previous five years**
- **May include a mix of federal-aid, state-aid and capital funded highway projects**
- **Direct project management experience**
- **Completion of VDOT's Core Curriculum on-line training**

Enhanced Request to Administer a Project Process

To avoid RtA denials, VDOT will partner with localities to ensure steps are taken to secure opportunities for future work:

- **Develop a corrective action plan to overcome deficiencies.**
- **Avoid violations of federal and state laws and requirements.**
- **Improve staff experience through training and other educational opportunities.**
- **Document successes to meet federal phase obligation dates and advertisements.**

Enhanced Request to Administer a Project Process

Resources –

- **FHWA – VDOT Efficiencies Agreement**
- **VDOT Locally Administered Projects Manual**
 - Chapters 2, 9, 10, 11, 12, 13, 19
- **FHWA Contract Administration Core Curriculum Manual**
- **FHWA Financing Federal-Aid Highways Curriculum Manual**
- **VDOT Manual for the Procurement & Management of Professional Services**
- **Highway Laws of Virginia**



Network for Success

Local Programs Workshop



TITLE VI PROGRAM

Corina E. Herrera

Title VI Coordinator - VDOT

October 24, 2012

TITLE VI PROGRAM

Civil Rights Act of 1964 - Title VI

“No person in the United States shall, on the grounds of race, color or national origin be excluded from participation in, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.”

Civil Rights Restoration Act of 1987

Restored original intent and scope of Title VI to include all programs and activities of Federal aid recipients and contractors whether federally funded or not.

TITLE VI PROGRAM

What is a Title VI Program?

A Title VI Program is the “system of requirements” developed to implement Title VI of the Civil Rights Act of 1964 and civil rights related provisions of other Federal statutes and authorities.

TITLE VI PROGRAM

VDOT's Title VI Program

As a recipient of federal funds, the Virginia Department of Transportation (VDOT) is required to have a comprehensive and proactive Title VI enforcement program to prevent and eliminate discrimination in each of the federally- assisted programs it administers.

Further, VDOT strives to achieve nondiscrimination whether or not its programs and activities are federally funded.

TITLE VI PROGRAM

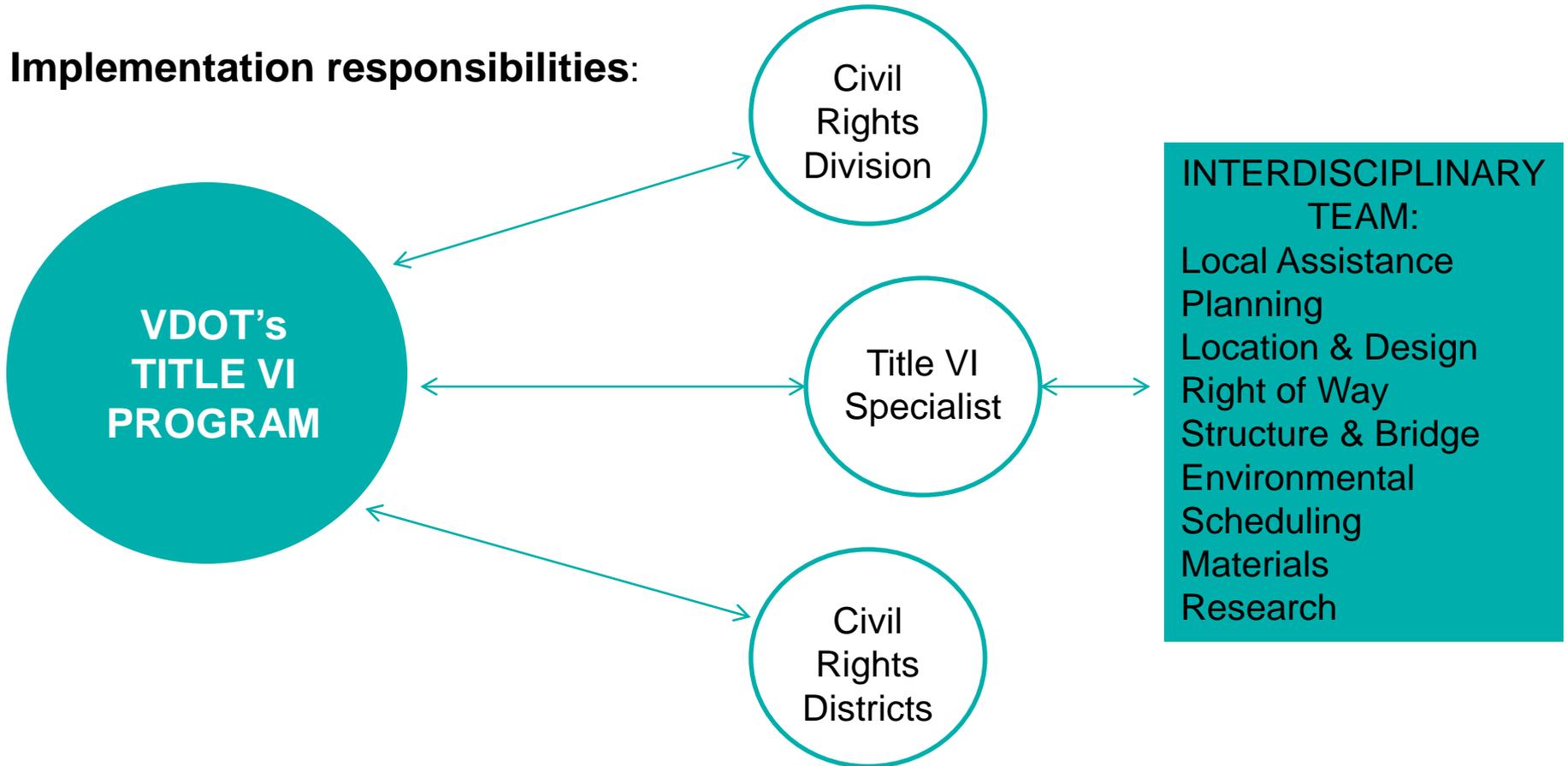
VDOT's Title VI Program

Primary Goal:

To ensure that all management, staff, sub-recipients and service beneficiaries are aware of provisions and responsibilities of Title VI and Civil Rights of 1964.

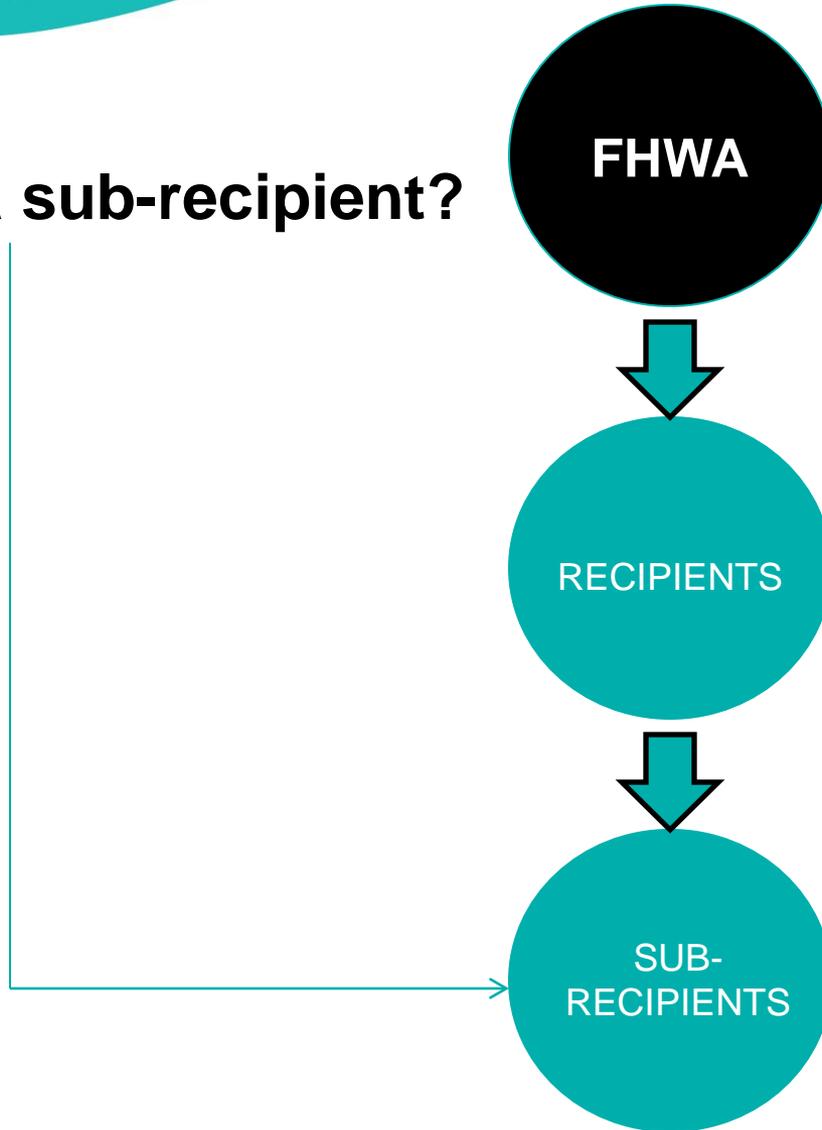
TITLE VI PROGRAM

Implementation responsibilities:



TITLE VI PROGRAM

Who is a sub-recipient?



- Administrative entity or person to whom Federal assistance is **DIRECTLY** extended
- Example: State Departments of Transportation

- Administration entity or person to whom Federal assistance is **INDIRECTLY** extended.
- Example: MPOs, Local & Public Agencies, Cities, Counties, Institutions of Higher Learning.

TITLE VI PROGRAM

Local Agencies' Title VI Program

FHWA'S REQUIREMENT: each local agency that receives federal funds through VDOT shall establish a Title VI Program.

TITLE VI PROGRAM: A system of policies and procedures designed to:

- prevent discrimination in the provision of benefits and services on federally funded services and activities,
- help monitor the agency compliance,
- address complaints regarding discrimination, and
- eliminate discrimination where found to exist.

Policies and procedures to address nondiscrimination must be included in a TITLE VI PLAN.

TITLE VI PROGRAM

Local Agencies' Title VI Plan

Main Components:

- Nondiscrimination Policy Statement
- Designation of Title VI Coordinator
- Procedures for assuring compliance and enforcement:
 - Public input and Public education, training, processing complaints, conducting reviews, sanctions, methods for data collection and analysis
- Accomplishment report
- Annual work plan
- Required contract provisions
- DBE

TITLE VI PROGRAM

TITLE VI PLAN DOCUMENT

- Nondiscrimination Policy Statement
- Authorities
- Organization and Staffing
- Program Emphasis Areas : Title VI implementation activities in each area
- Plan implementations and Program administration including Accomplishment Report and annual work plan.
- Title VI Standard Assurances and its Appendices
- Complaint Procedures

TITLE VI PROGRAM

Local Agencies' Title VI Reporting requirements

Local Agencies are to provide the following reports to VDOT :

- Annual Title VI update and accomplishment report
- Revision's to the Local Agency's Title VI Plan or Nondiscrimination Agreement

TITLE VI PROGRAM

Title VI Compliance Reviews

VDOT will conduct periodic reviews of Local Agencies compliance with Federal Title VI regulations.

FOCUS: How effectively the local agency has implemented its approved Title VI Plan.

- Documentation
- Desk review and On-site review.
- Interviews of individuals with Title VI responsibilities.
- If no deficiencies are found, the local agency will be informed at conclusion of review and notified in writing
- If deficiencies are found, the local agency will be appraised of them at the conclusion of the review and be given 90 days to correct them. If the agency fails to correct deficiencies, it may be subject to sanctions including suspension of FHWA funding.

Coming to your area in 2013

TITLE VI TRAINING

- » Title VI Plan Development
- » Monitoring and enforcement

SAVE THE DATE WILL BE SENT OUT TO ALL WORKSHOP PARTICIPANTS

Network for Success
Local Programs Workshop



Enhanced Request to Administer a Project Process

QUESTIONS?