

Network for Success

Local Programs Workshop



Urban Maintenance/Construction Program Overview

Breakout Session 2C

Track: Funding Program

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Director, Program & Investment Management – Hampton Roads

October 24, 2012

VDOT Urban Program – Introduction

- **The individuality of the municipalities of the Commonwealth of Virginia has long/been recognized. The relationship between certain cities and towns and the Department of Transportation is one of mutual responsibility and cooperation in regard to street maintenance and construction.**
- **The Code of Virginia establishes the eligibility criteria of localities for receiving funds for these activities. The Code provides for certain localities to receive street maintenance payments; and to receive apportionments for highway construction work.**
- **These localities are responsible for maintenance and operation of their highway systems.**
- **The Code also provides for the Commonwealth Transportation Board to allocate such funds to the municipalities for specific improvement projects.**

VDOT Urban Program – General Information

There are currently 84 municipalities in the urban system as defined under Sections 33.1-23.3 and 33.1-41.1 of the *Code of Virginia*. Includes addition of Berryville, Broadway, and Colonial Beach which were added effective July 1st 2012.

A municipality qualifies for the urban program by satisfying any of the following requirements:

- All cities regardless of population;
- All incorporated towns of more than 3,500 population according to the latest U.S. Census or by evidence of population;
- Six incorporated towns (Chase City, Elkton, Grottoes, Narrows, Pearisburg, and Saltville) which maintained streets under (repealed) Section 33.1-80.
- The towns of Wise, Lebanon, and Altavista pursuant to Section 33.1-23.1.

Urban Maintenance Program

Urban Maintenance Program

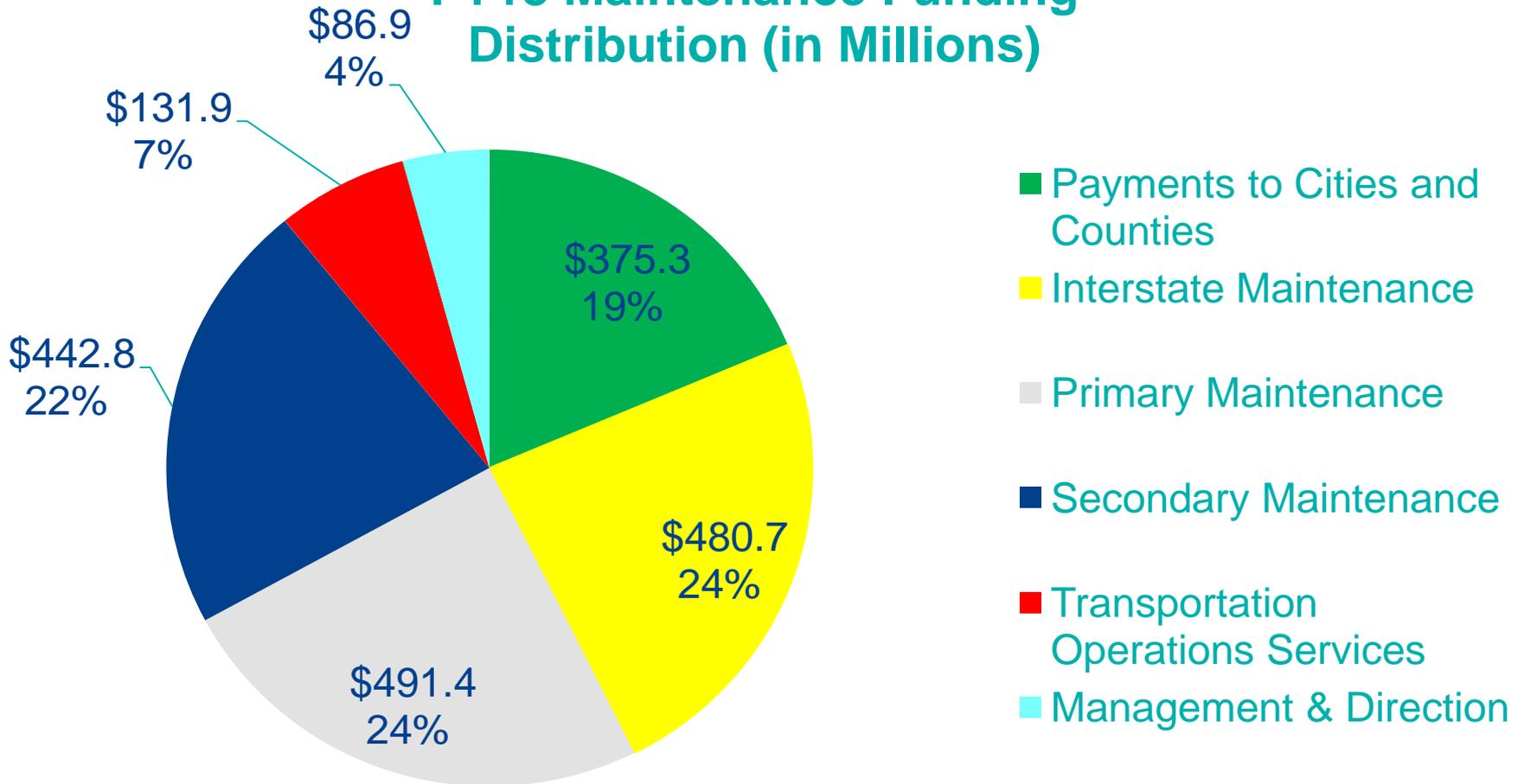
- **Eligibility of Localities and Roads/Streets**
- **Maintenance Payments**
- **Maintenance Inventory**
- **Eligible Maintenance Activities**
- **Financial Accountability**
- **Annual Inspection and Performance Reporting**
- **New Initiatives**
 - CTB Sub-Committee
 - Local Government Workgroup
 - Pavement Data Collection and Analysis

Urban Maintenance Program (Continued)

- **Eligibility Requirements:**
 - Urban street acceptance criteria established in Code Section 33.1-41.1
 - 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
 - Payments to localities made quarterly
- **Payment Categories/ FY13 Rates – Functional Classifications**
 1. Principal and Minor Arterial Roads: \$18,157 per lane mile
 2. Collector Roads and Local Streets: \$10,661 per lane mile
- **Overall FY13 Urban Maintenance Budget ≈ \$326M**

Program Comparison – FY13

FY13 Maintenance Funding Distribution (in Millions)



Urban Maintenance Program (Continued)

- **Financial Accountability:**
 - Required annual reporting to CTB
 - In 2004, the CTB adopted Weldon Cooper Center Financial Survey as reporting mechanism
 - Report all expenditures
 - Construction
 - Maintenance
 - Included in locality's annual CPA audit
 - Survey shows that on average, localities are expending 40% more than their annual state maintenance payment
- **Requires annual arterial inspections**

Urban Construction Program

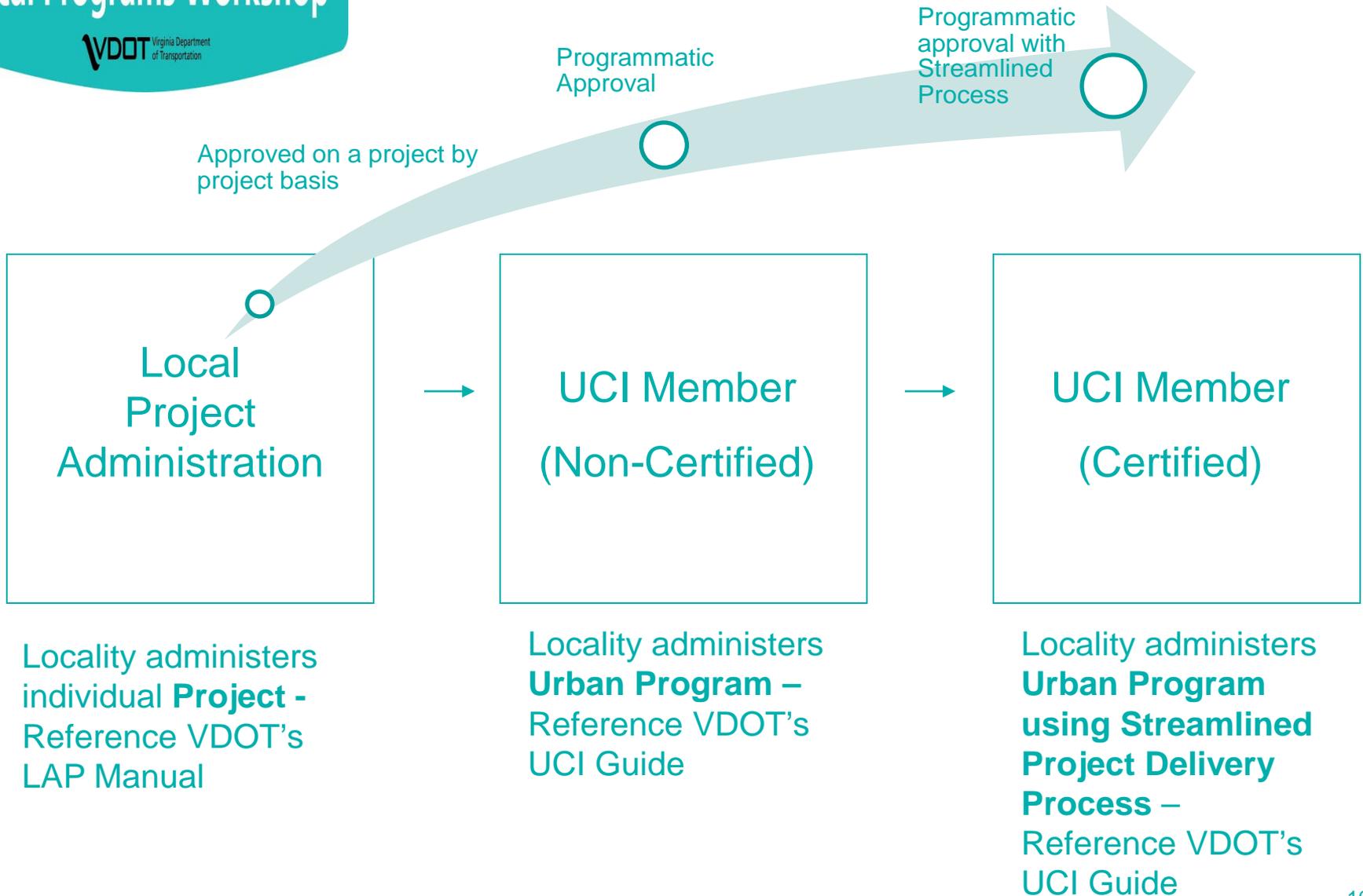
Urban Construction Program

- **Eligibility**
- **Participation**
- **Project and Program Administration**
- **Special Funding Programs**
- **Project Delivery Options**

Urban Construction Program (Continued)

- **Eligibility:**
 - All cities and towns eligible for allocation of construction funds for urban highways under section 33.1-23.3 of the Code of Virginia
- **Participation:**
 - 30% of the combined funds made available under section 33.1-23.1 are apportioned to the Urban System
 - Localities are required to provide a 2% match for the federal/ state urban formula dollars
 - Localities can use 1/3 of the Urban Allocations for reimbursement of debt incurred for eligible project costs
- **Project and Program Administration:**
 - Urban Construction Projects are prioritized by the localities for inclusion in the VDOT Six-Year Improvement Program (SYIP)
 - Localities can request to administer the projects in the SYIP
- **Special Funding Programs:**
 - Localities are eligible to apply for other special funding programs (i.e. HSIP, RSTP, CMAQ, Revenue Sharing, etc...)

Project Delivery Options Available



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New Initiatives

CTB Subcommittee on Local Maintenance Payments

- **The CTB meeting on June 20, 2011:**
 - **adopted local maintenance payments for fiscal year 2011-2012**
 - **significant discussion regarding the distribution of maintenance funds across systems and localities**
- **The CTB meeting on July 20, 2011 established a subcommittee of the Board, which consists of all at-large members to:**
 - **evaluate the issues surrounding equalization of maintenance fund allocations**
 - **and to consider options which could be addressed administratively and legislatively**
 - **to develop recommendations for the effective and equitable distribution of maintenance funds**
 - **to present those recommendations to the Board on or before December 31, 2011.**

CTB Subcommittee on Local Maintenance Payments (Continued)

- **Resolution of the CTB in December 2011:**
 - **An analysis and comparison of needs across systems is desired before recommending legislative changes**
 - Lack of available data on local system condition and performance limits further analysis
 - **The most equitable approach to distribution of scarce maintenance funding may be a formula that incorporates a prioritized needs-based factor along with a commitment to maintain our statewide assets, regardless of maintenance responsibility**
 - **Reconvene the local government working group (in partnership with the Virginia Municipal League and Virginia First Cities Coalition) to advance the collection and analysis of system condition and performance data on the locally maintained system**

Local Government Workgroup

- **General Information:**

- **Was comprised of 13 different localities, VDOT, the VA Municipal League, and the VA First Cities Coalition**
- **Met 4 times since January**
- **Sent out a survey to all 83 localities that maintain their own systems**

- **Survey Data:**

- **Included Questions Related to:**
 - Pavement Data Collection and Management Systems
 - Traffic Signals
 - Drainage
 - Sidewalks
 - Other Assets Maintained by the 83 Localities
- **Compared the survey data to the annual Weldon Cooper Survey**
- **The existence of collected data varied greatly across jurisdictions**
- **Pavement was the top maintenance expense followed by traffic control operations and devices**
- **Survey also showed that localities that maintain their own systems pay a substantial amount towards maintaining other transportation assets**

Local Government Workgroup (Continued)

- **Recommendations:**

- **Focus on pavements**
- **Evaluated the benefits and cost of using VDOT's pavement data collection contract for preparing a snapshot of pavement data for arterial routes on the locally maintained system**
 - Would provide a consistent standard/protocol that would be used statewide
 - The estimated cost of the data collection is \$250,000
- **Currently the Cities of Hampton and Colonial Heights are using VDOT's pavement data collection contract**

- **Schedule:**

- **Summer/ Fall 2012: Collect pavement data for arterial routes in all Cities/Towns**
 - **Fall/ Winter 2012: Analyze and process the data**
 - **Winter 2013: Reconvene the Local Government Workgroup**
 - **Spring 2013: Report findings to the CTB**
- **In addition, the Local Government Workgroup will continue to evaluate other performance standards that can be utilized statewide in analyzing other transportation asset types**

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Urban Construction Initiative Track: Funding Programs

Drew Williams, AICP

Assistant Director of Public Works, City of Harrisonburg

October 24, 2012

Urban Construction Initiative

What is it?

As defined by the Code of Virginia,

“The governing body of any city or town may, with the consent of the Commonwealth Transportation Board, expend urban system highway construction funds allocated annually to the city or town by the Commonwealth Transportation Board for the design, land acquisition, and construction of transportation projects that have been included in the Commonwealth Transportation Board's Six-Year Improvement Program and for the resurfacing, restoration, rehabilitation, reconstruction, and improvement of streets within the city or town for which the city receives maintenance payments under § [33.1-41.1](#)”

Which means....

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Urban Construction Initiative

Local management

Project

Program

VDOT Involvement/Oversight

Partnership for success & learning

Ability to effect positive change

Urban Construction Initiative

UCI Membership

2005: Hampton, Richmond, Virginia Beach

2006: Charlottesville

2007: Harrisonburg, Bridgewater

2008: Lynchburg

2009: Blacksburg, Dumfries

2010: Colonial Heights

2011: Newport News

2012: Chesapeake, Purcellville

2013: Danville

Urban Construction Initiative

What the program is...

Local control of Program/Project

Integrating land use and transportation projects

Keep decision-making close to the “customer”

Streamline and expedite project delivery

Urban Construction Initiative

What the program is not...

Replacement for VDOT/FHWA requirements

Avoiding local project and citizen concerns

“Sayonara VDOT”

Urban Construction Initiative

What is life like in the UCI?

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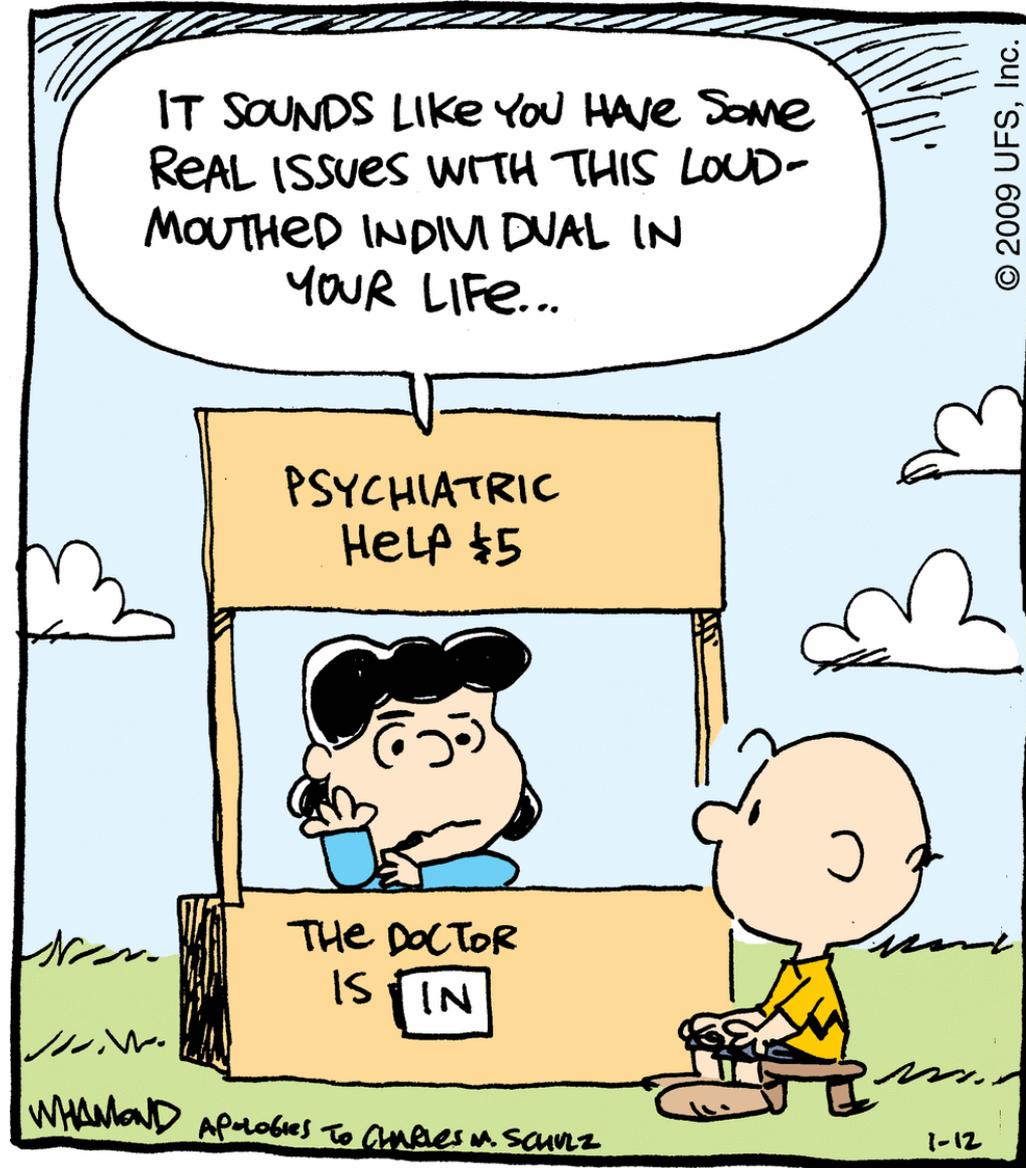
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Not quite...

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Urban Construction Initiative

What it really means

Localities get:

More flexibility in project delivery

More accountability and expectations

Assistance vs. reliance

Decision making on programmatic priorities

Financial Advantages (if state money is ever available again)

Partnership with VDOT

Urban Construction Initiative

How do I sign up?

- 1. Submit a “Letter/Resolution of Intent” to consider joining by July 1**
 - Non-binding
 - Local Project Team is formed to assist the locality assume the construction program.
 - opportunity to learn more about the program, network with UCI communities, participate in UCI functions.
- 2. Program Administration Agreement**
 - Formal construction responsibility assumed locally

<http://www.viriniadot.org/business/local-assistance-firstCities.asp>

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Urban Construction Initiative

Questions?

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UCI Certification – Virginia Beach Certification Track: Funding Programs

Phil Pullen, PE

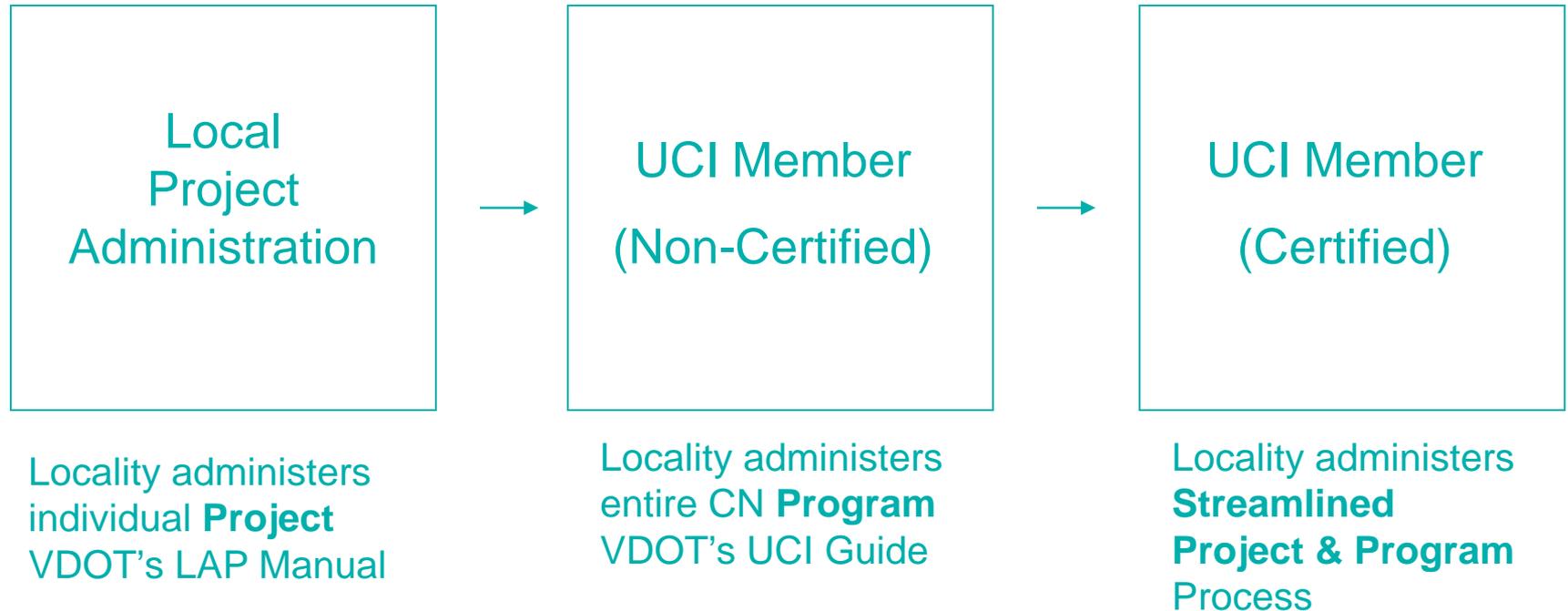
Transportation Division Manager, City of Virginia Beach

October 24, 2012

What is UCI Certification?

- **Opportunity for UCI qualified members to receive delegated authority from VDOT for project administration**
- *Does Not take away any Project Development Requirements*
- **Minimal VDOT oversight**
- **Applicable to State and Federally Funded Projects**
- **Modeled after FHWA/VDOT relationship outlined in their Joint Efficiencies Agreement**
- **Does not apply to projects on NHS; Projects designated as Federal Oversight; and projects identified by Commissioner as Full State Oversight**
- **Locality subject to project and program audit**

What is UCI Certification?



Program Management Requirements

Fiscal Audit and Budget Systems

- **Federal Aid Payment Requirements**
- **Project Documentation**
- **Audit Requirements according to OMB Circular A-133 (CAFR)**

Civil Rights Program

- **DBE Program Plan**
- **DBE Goals (Establishing and Attaining)**
- **DBE Requirements in Contracts**

Internal QA/QC Processes

- **Management of External Consultants/Resources**
- **Design Quality Control Plan**
- **Constructability and Bidability Review**
- **Construction Quality Control Requirements**

Program Management Requirements

Public Outreach Program

- **Outreach Plan**
- **Public Involvement at appropriate stages**

Consultant Procurement Process

- **Virginia Public Procurement Act/Brooks Act**
- **Ensure Fairness and Transparency**

Project Controls for Cost and Schedule

- **Baseline Schedule Preparation**
- **Engineering, Construction, Administration and Project Management Cost Estimating and Budget Preparation**
- **Project Controls Methodology and Systems**

Project Delivery Requirements

Preliminary Engineering (PE) Authorization

- **Council Approval**

NEPA & Permitting

- **Preparation of NEPA document**
- **Coordination w/ appropriate Federal Agencies**
- **Obtaining Permits**
- **Final Environmental Approvals**
- **Environmental Re-Evaluations**

Right of Way

- **Preparation of R/W Plans**
- **R/W and Utilities Agreement and Authorization**
- **Acquire R/W**

Sole Source or Proprietary Procurement

- **Sole Source Justification**
- **Finding in Public Interest**

Project Delivery Requirements

Construction Authorization

- **Meet AASHTO Design Standards**
- **Value Engineering**
- **Design Exceptions**
- **Final PS&E Documents**

Award of Construction Contract

- **Project Advertisement**
- **Contract Award**
- **Administration of Construction Contract**

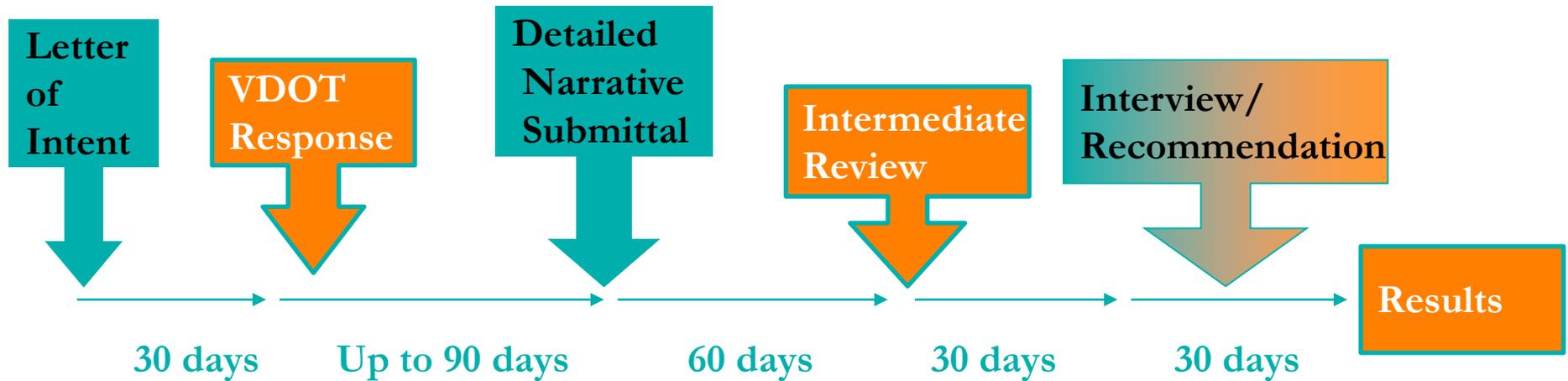
Project Final Inspection and Acceptance

- **Acceptance Procedures**
- **Report of Expenditures**

Eligibility Requirements

- **Locality has demonstrated their ability to administer and deliver a federally funded project**
- **Locality has participated in the UCI program for a minimum of one (1) year and demonstrated programmatic responsibilities**
- **Locality has no unresolved compliance issues with VDOT or FHWA**

Certification Timeline



VDOT

Locality

City of Virginia Beach UCI Certification Timeline

October 2010

**Received concurrence from City Management
Leadership Team**

February 2011

Submitted letter of Intent to VDOT

March 2011

**Received approval from VDOT on eligibility
requirements**

June 2011

UCI Certification submitted to VDOT

August 2011

Received comments from VDOT panel

October 2011

Interview

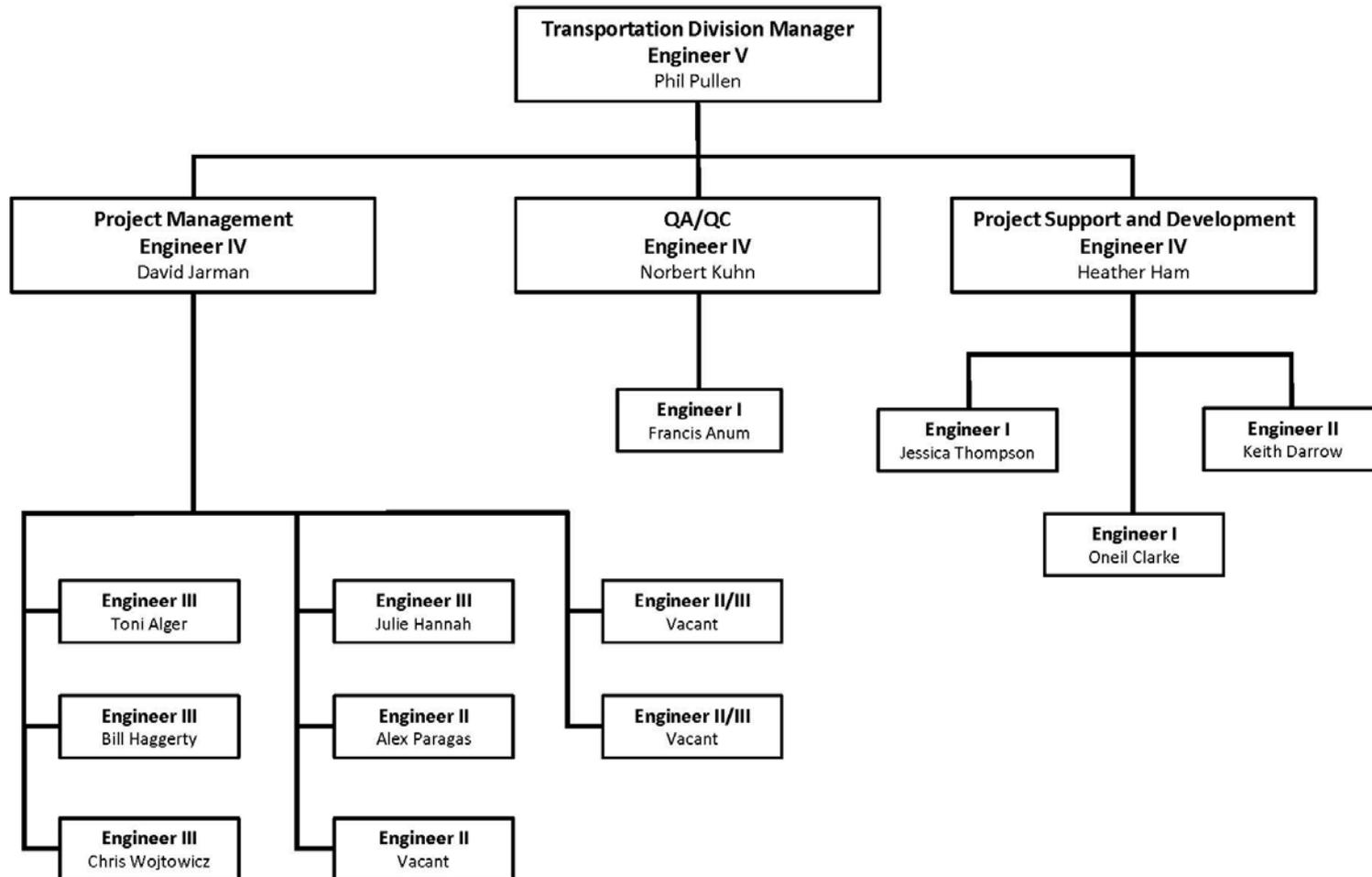
November 17, 2011

Virginia Beach received UCI Certification

City of Virginia Beach UCI Certification Transportation Division Organizational Chart

City of Virginia Beach Public Works Transportation Division Organizational Chart

June 2011



UCI Submittal Deficiencies Addressed: NEPA/Environmental Compliance

➤ **General**

➤ **City Actions**

- **NEPA /Environmental Compliance Coordinator**
- **Environmental On-Call Consultant**
- **Procedures Manual**
- **Training Program**
- **Document Review**
- **QA/QC**

UCI Submittal Deficiencies Addressed: NEPA/Environmental Compliance

- **Coordination with Regulatory Agencies**
- **Development of Environmental Document**
- **State/Federal Permits**
- **Final Environmental Approval**
- **Environmental Re-Evaluation**
- **Documentation**
- **Partnering with VDOT**

UCI Submittal Deficiencies Addressed: Civil Rights

- **DBE Program and Policy (Draft)**
 - **Reporting Requirements**
 - **Goal Methodology**
 - **Contract Clauses**
 - **Goal Determination**
 - **City Staff**

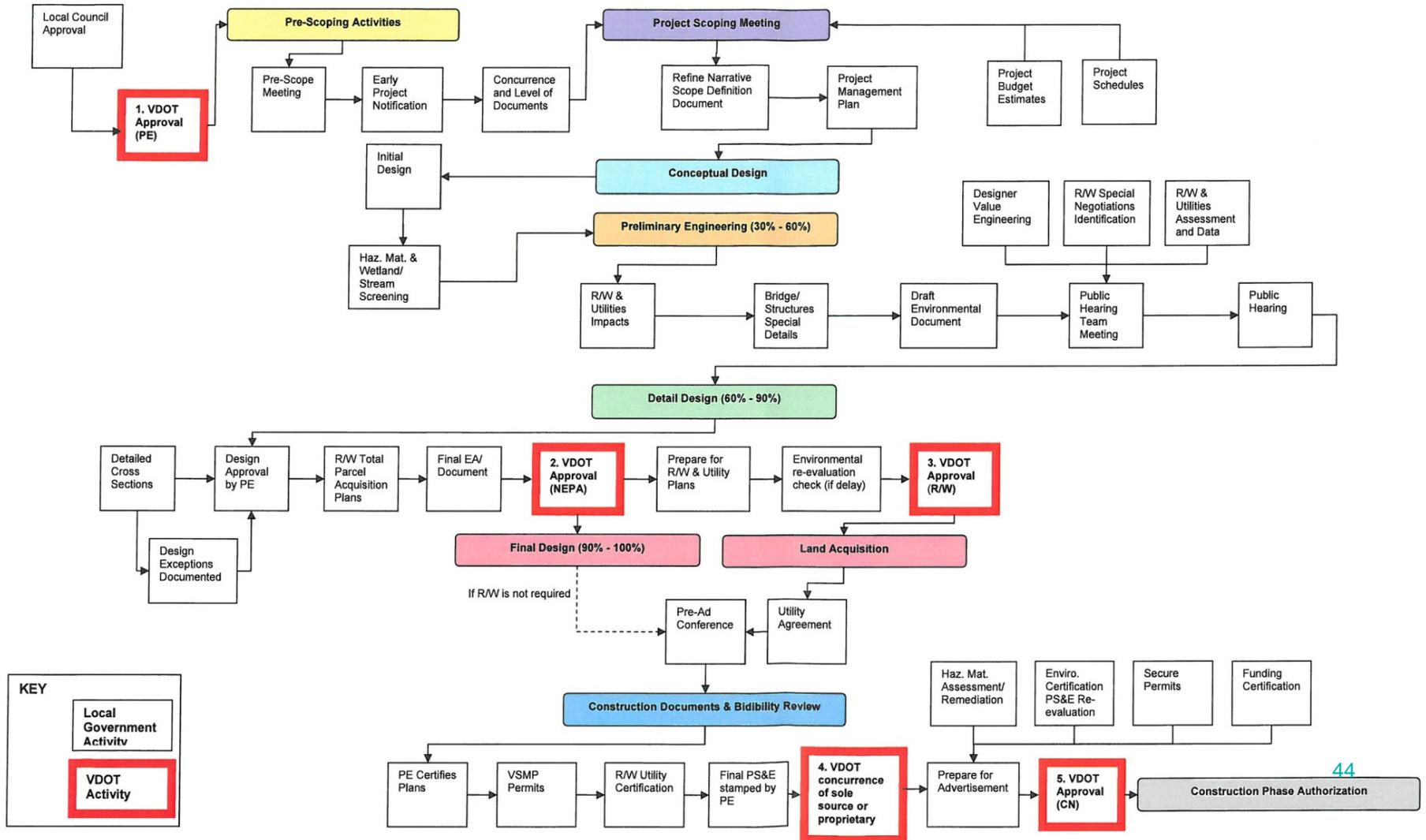
- **Transition Plan (Draft)**

- **DBE Goal Setting**

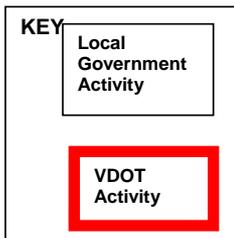
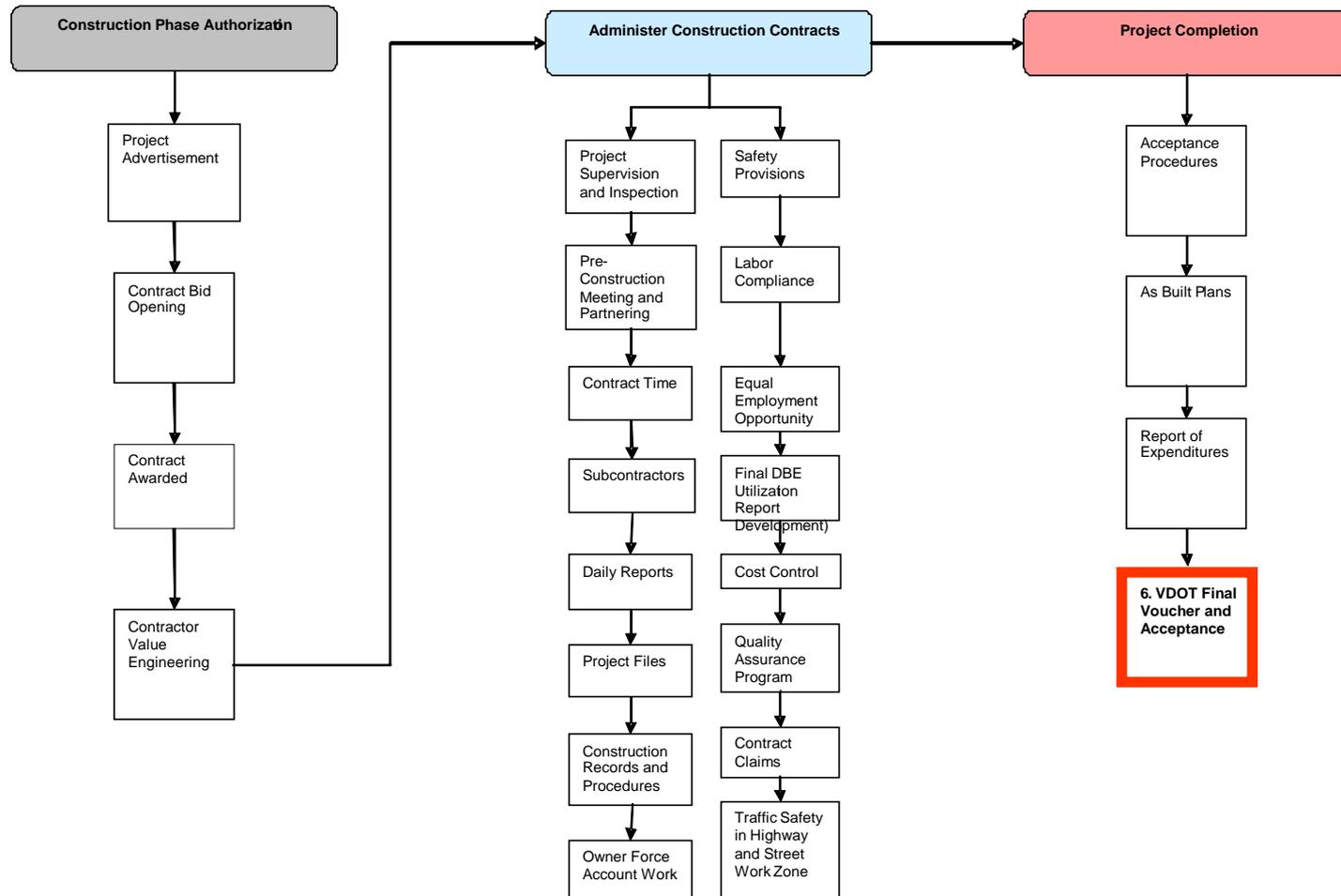
- **Civil Rights Compliance Activities**
 - **Reporting Requirements**
 - **Davis-Bacon Wages**

- **Civil Rights Compliance Coordinators**

UCI Certification - Advantages



UCI Certification - Advantages



UCI Certification - Advantages

VDOT provides concurrence at project development points required by State and Federal Code:

- **PE Authorization**
- **NEPA Document Approval**
- **R/W Authorization**
- **Sole Source or Proprietary (Equipment/Materials)**
- **Construction Authorization**
- **Final Acceptance**

UCI Certification - Advantages

Task	LAP	UCI	UCI Certified
Project Agreements	X	(Special Funds Only)	√
State Funded Projects	X	√	√
Phase Authorization	X	X	X
		Certification Letters	Locality Certifies
NEPA/ Reevaluation	X	X	(Reevaluated by Locality)
Plan Reviews (L/M/H)	X	X	√
Value Engineering	X	√	√
Title Sheet Signatures	X	√	√
PS&E	X	X	(Certified by Locals)
Bid Packages Certified by District	X	X	(Certified by Locals)
Pre-Award Audit (ECAD)/ FAR	X	X	(Certified by Locals)
Civil Rights	X	X	(Transitioned to Locals)
Construction Award	X	(Awarded by Localities - Submits Low Bid Details and CR Only)	(Awarded by Localities - Submits Low Bid Details and CR Only)

X : Requires VDOT involvement (in accordance with the LAP and/or UCI Manual)

√ : No VDOT involvement

Key Points of UCI Certification

- **Certification may not be for everyone— localities need to weigh the risks and the benefits**
- **Certification lies with locality, NOT individuals**
- **Certification does not mean you are “on your own”**

Support and Resources



Local Assistance Division

- External Website: *a virtual cornucopia of information for the Urban, UCI and UCI Certification Programs and more.*

<http://www.viriniadot.org/business/local-assistance.asp>

- Internal Website:

<https://insidevdot.cov.virginia.gov/div/LA/Pages/default.aspx>

- Local Partnership Team (*VDOT functional area SME's*)
- And of course your Local Assistance Division Staff...