

Request to Administer Project

To: District Office Local Liaison

From: John Doe John.doe@city.va.us 540-123-4567

(Printed Name of Responsible Local Official Issuing Request) (Email Address) (Phone)

Signature (Typed when e-mailed) By: John Doe Date: 09/25/2013

Locality: City	Project #: 1234-56-789	UPC: 123456
Project Scope (short narrative): Improve horizontal and vertical alignment to improve safety and enhance mobility		
Local Government Project Delivery Self-evaluation attached: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A		
Local Responsible Person*	Name: John Doe Email: John.doe@city.va.us	Phone: 540-123-4567
* See Chapter 3.1 of LAP Manual for Responsible Person qualifications		
Phase of project to be administered: <input checked="" type="checkbox"/> PE <input checked="" type="checkbox"/> RW <input checked="" type="checkbox"/> CN <input type="checkbox"/> Other; describe:		
State Funding Source(s):	<input checked="" type="checkbox"/> Federal Highway <input type="checkbox"/> State Formula (Urban / Secondary) <input type="checkbox"/> Other (specify):	
Check as applicable:	Project will be pursued though 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 emailed)	
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 emailed)	
	VDOT Project Coordinator Assigned:	
District Administrator (Tier 1 Projects) / Chief Engineer (Tier 2 Projects)		
<input type="checkbox"/> Approved <input type="checkbox"/> Denied _____ <div style="text-align: center;">Signature & Date (Typed when emailed)</div>		

Revised July 1, 2012

*Tier 1 projects are defined in I&IM #249 (www.extranet.vdot.state.va.us/locdes/electronic%20pubs/iim/IIM249.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.

Local Government: City, VA
Submittal Date: 09/25/2013
Name of Local Official Submitting Information: John Doe

Local Government Project Delivery Self-Evaluation for Requests to Administer Federal Aid Projects

Include with Request to Administer Submittal

UPC: 123456; Project #: 1234-56-789

Local government administration of federal aid transportation projects can have many benefits and has become an integral part of Virginia's Transportation Construction Program. However, local governments that are considering administering federal aid transportation projects should work closely with their VDOT District Office to ensure that they have, or can obtain, qualified staff and processes ("project delivery systems") to administer federal aid projects. Accordingly, local governments are required to submit the attached self-evaluation to their VDOT District Office concurrent with their request to administer a federal aid project or project to be developed as federal aid. Approval for Tier 1 projects is delegated to the District Administrator. District Administrators may not permanently delegate this authority. Tier 2 project RtA's will be submitted to the Chief Engineer for final approval. Project Tier definitions are defined in VDOT's I&IM #249

(<http://www.extranet.vdot.state.va.us/locdes/electronic%20pubs/iim/IIM249.pdf>). Tier 2 projects are all projects with construction costs over \$5 million, all Federal Oversight projects, and all projects procured as Design-Build.

A completed self-evaluation will provide the VDOT District Office sufficient background information regarding the locality's ability to manage significant aspects of a major federal aid project and so that weaknesses or deficiencies in the local government's capabilities may be identified and addressed during the "Request to Administer" process. Weaknesses or deficiencies may not necessarily preclude a locality from administering a federal aid project; however, the locality and the VDOT District Office should work closely to identify actions, such as additional training or consultant procurement, which can reduce project risks and lead to an approval of the project administration request. The District office will also use this evaluation in determining the appropriate level project oversight provided by VDOT staff.

While denials are expected to be uncommon, circumstances which may justify a denial to administer a federal aid project include:

- The locality has no staff experience or training that demonstrates an ability to effectively deliver a federal aid project.
- The locality has a documented and repeated history of failure to meet federal phase obligation dates and cannot provide an acceptable corrective action plan.
- The locality has a documented history of violations to federal and/or state requirements and cannot provide or has not provided an acceptable corrective action plan.

Appeals to denials may be submitted in writing to the VDOT Central Office Local Assistance Division Director.

Local Government: City, VA

Submission Date: 09/25/2013

Name of Local Official Submitting Information: John Doe

Local Government Responsible Person (submit one for each RP)

A 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 (RP) 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 [FHWA memorandum](#) dated August 4, 2011 provides further explanation of this person's duties (www.fhwa.dot.gov/federalaid/110804.pdf).

Identify the full time Local Government Employee assigned as the "Responsible Person":

Name John Doe Title City Planner

Is the RP also the Project Manager? Yes No (complete the project manager evaluation page)

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:

Select from the following the best choice describing the RP's experience:

The RP has successful experience providing oversight or managing a federal aid project within the previous five years. Identify and describe applicable project(s) on an attachment to include: Project Name and Description; Phases Included (PE/RW/CN), Approximate Date Advertised; Construction Value; Funding Source, if known, etc:

The RP has successful experience participating as a team member, but not a RP, for federal aid projects. Identify and describe applicable project(s) on an attachment to include: Project Name and Description; Phases Included (PE/RW/CN), Approximate Date Advertised; Construction Value; Funding Source, if known, etc:

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.

The RP has no experience providing oversight for a transportation project.

Has the RP completed VDOT's Core Curriculum on-line training, found on VDOT's Locally Administered Projects Webpage (<http://www.virginiadot.org/business/local-assistance-lpt.asp>)?

Yes

No

Describe or attach a list of other formal and/or informal training that qualifies him/her to act as a Responsible Person.

You should attach a resume demonstrating the experience and training that supports the selection made for the RP above.

It is important that the RP complete the VDOT Core Curriculum on-line training.

Local Government: City, VA
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Local Government Project Manager (submit if the PM is not also the RP)

VDOT is required by federal regulation to ensure that the locality is adequately staffed to ensure the project is satisfactorily completed. Local governments may supplement their staff with consultants, including project management duties. Accordingly, local staff and their consultants 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 Project Manager:

Identify the Project Manager*:

Name Jane Doe Title PDC Project Manager

*Project Management will be assigned to a consultant; however, the consultant has not yet been procured (VDOT may request this information after consultant procurement)

Select from the following the best choice describing the PM's experience:

The PM has successful experience providing oversight or managing a federal aid project within the previous five years. Identify and describe those 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:

The PM has successful experience participating as a team member, but not a RP, for federal aid projects. Identify and describe those 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:

The PM has no successful experience with federal aid projects, but has provided oversight for a State-aid transportation project, such as Revenue Sharing or Access.

The PM has no experience providing oversight for a transportation project.

Has the PM completed VDOT's Core Curriculum on-line training, found on VDOT's Locally Administered Projects Webpage (<http://www.virginiadot.org/business/local-assistance-lpt.asp>)?

Yes

No

Describe or attach a list of other formal and/or informal training that qualifies him/her to act as a Project Manager for a federal aid project.

You should attach a resume demonstrating the experience and training that supports the selection made for the PM above.

It is important that the PM complete the VDOT Core Curriculum on-line training.

Local Government: City, VA

Submittal Date: 09/25/2013

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General Locality Project Management Experience

The locality must be able to demonstrate “adequate project delivery” systems* to administer a federal-aid project. This requirement is identified in Chapter 2.2 of the VDOT LAP Manual. *Select, from the choices below, that which best describes the locality’s project management experience:*

The locality has successfully administered one or more federal aid highway improvement project(s) within the previous five years. Briefly describe the project(s) (including project scope, cost, and duration) and provide VDOT UPC and project number if available, in an attachment.

The locality has successfully administered one or more non-highway improvement federal aid project (e.g. sidewalk, streetscape, landscaping, multi-use trail, etc) project(s) within the previous three to five years. Briefly describe the project(s) and provide VDOT UPC and project number if available, in an attachment.

The locality has successfully administered a state aid or capital improvement highway improvement project within the previous five years. Provide a detailed explanation of the scope, cost, and duration of the project in an attachment.

The locality has not successfully administered a transportation-related project or Capital Improvement project in the recent past.

Provide list or description of any additional experiences which will demonstrate the ability of the locality to administer a federal aid project.

If the locality does not have significant experience developing federal aid transportation projects, then it may be a good idea to begin with state funded projects such as Revenue Sharing to get some experience before proceeding directly to a federal aid project.

This is your opportunity to convince those reviewing the RtA that the locality is ready to administer the project and has competent staff and processes that will allow success.

Local Government: City, VA

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Consultant Procurement

Federal consultant procurement requirements are outlined in Chapter 11 of the VDOT Locally Administered Projects Manual. Localities receiving federal reimbursement for professional service contracts must procure those professionals in accordance with the federal Brooks Act and Federal Acquisition Regulations.

Will the locality need to procure consultant services at any time to complete their federal aid projects?

yes no

If yes, select the services which will need to be outsourced:

		COMMENTS, if necessary
Project Management	X	
Environmental:	X	
Design:	X	
PS&E (Including Bid Document)	X	
Right-of-Way	X	
Construction Engineering/Administration & Inspection	X	
Other, please specify		

Select, from the options below, that which best describes the locality's understanding and experience using federal professional consultant procurement processes.

The locality has successfully procured professional services in compliance with federal aid requirements within the previous five years. List the most recent projects and services procured in an attachment.

The locality has not procured professional services in compliance with federal aid requirements within the previous five years, but has staff available, who are familiar with those requirements and will oversee the procurement process. Describe the staff experience in an attachment.

The locality has no experience procuring or training in the procurement of professional services in compliance with federal aid requirements.

Provide any additional information which may demonstrate the locality's ability to comply with applicable federal rules and regulations applicable to professional services procurement for federal aid projects.

Augmenting locality staff is often necessary and in some ways encouraged if the locality does not have staff able to accomplish certain tasks. Not all tasks must be sent out to consultants. The locality may pick and choose which work is completed by a consultant and what is done in-house.

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Project Scheduling

Project Scheduling requirements are outlined in VDOT's Locally Administered Projects Manual Sections 10.6 (Appendix A to the Project Administration Agreement) and 12.3.3 (Project Schedules). A defined project schedule which includes major milestones is critical to ensure federal funding is obligated and expended within expected time frames. Adherence to a baseline schedule is critical to ensure that all available federal funds are obligated within each federal fiscal year. The ability to develop and meet a project schedule is critical to a project's success and is a key determination when agreeing to allow a locality to administer a federal aid project.

Does the locality have a written project scheduling process so that a project schedule can be sufficiently developed, maintained, and tracked in accordance with the LAP Manual?

Yes

No

Describe the project scheduling approach to be used by the locality, to include any software that will be employed. If the locality will rely on the design consultant to develop a project schedule, how will the locality engage with the consultant to ensure major milestones are met?

It is extremely important that a realistic project schedule is established at the outset of a project. Especially if federal funding is used since the project will be linked to federal strategy and federal obligation. Use the tools in the LAP Manual and request assistance from your local contact at the Department to help with scheduling. Developing a VDOT project often adds additional steps, especially if it is a federal aid project and that must be accommodated in the project schedule. Repeated issues showing an inability to deliver the project on schedule may prevent the locality from administering future projects.

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Construction Phase Work Orders

Localities must develop a process for managing work orders that are compliant with the processes outlined in the LAP Manual. The process must include an independent estimate of costs associated with the work order. This requirement is outlined in Chapter 13.3 of VDOT's Locally Administered Projects Manual.

Does the Locality have a documented work order process that meets the requirements outlined in VDOT's Locally Administered Projects Manual?

- Yes (include documentation)
- No, however a work order process that meets the requirement outlined in VDOT's Locally Administered Projects Manual will be developed and incorporated into the construction contract.
- No
- The locality will use VDOT's Construction Directive Memorandum Work Order process and will incorporate it into the construction contract.

Compliance / Audit Findings

Does the Locality have any outstanding findings, as the result of any VDOT, FHWA, or US DOT audit or compliance review, related to any state or federal aid transportation project?

- Yes
- No

If yes, please describe the finding or attach the official report and describe corrective actions pending.

Successful project delivery will reduce the risk of having compliance and audit findings. If you doubt the locality's policies are adequate, you can always use VDOT's procedures as an example or directly refer to them in the contract documents.