



Local Assistance Division (LAD) New Project Coordinator Training

Project Coordinator Training Agenda

- **General Overview of LAD & LAP's – Russ Dudley**
- **Differences in Project Coordinator and Project Manager Duties – Todd Halacy**
- **Challenges to the LAP Program – Todd Halacy**
- **VDOT Guidance/ LAD Support – Clark Woods**
- **VDOT and Locality Support Resources – Russ Dudley**
- **Risk Based Approach to Local Projects – Russ Dudley**
- **Using the LAP Manual – Bernie Schmelz**
- **Project Administration Agreements – Bernie Schmelz**
- **Project Development – Winky Chenault**
- **Other LAD Initiatives – Winky Chenault**



Overview of LAD Programs

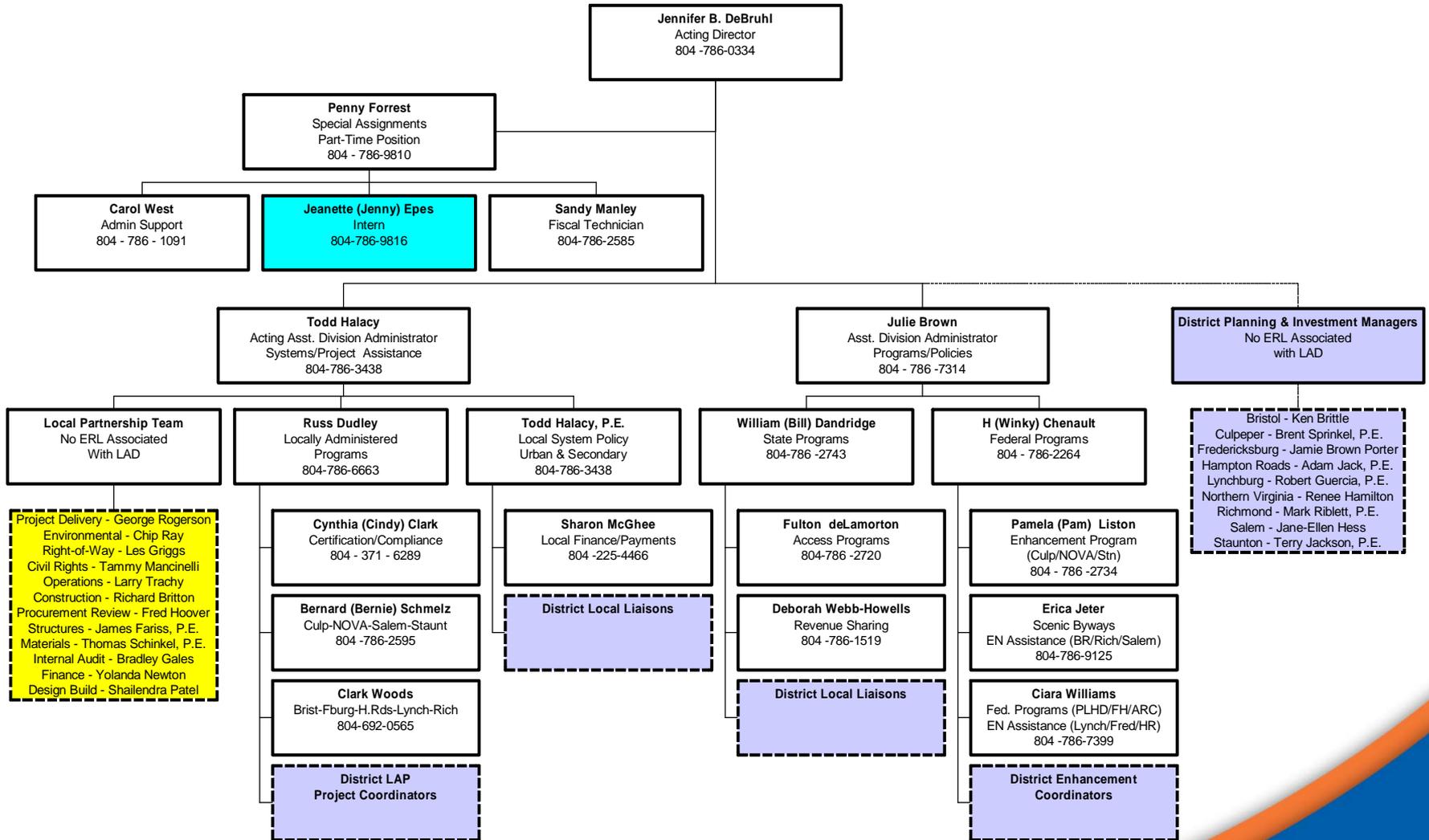
Russ Dudley

Local Administered Projects Program
Manager

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LAD Organizational Chart



LAD Programs

- Revenue Sharing
- Access Road Programs
- Enhancements/ Scenic Byways
- Other Special Federal Funding Programs (Forest Highways, Public Lands, ARC)
- Coal Severance
- Rural Rustic Roads
- Locally Administered Projects
- Local Compliance
- Secondary Policy
- Devolution
- Urban Construction Initiative (1st Cities)
- Urban Construction Program
- Locality Payments

Locally Administered Projects

- **Commissioners Policy on Local Projects and Programs**
 - **Commissioner issued Department Policy Memorandum 8-7 (March 2008)**
 - **Reaffirmation of policy direction and focus with VDOT Executive Team (Summer 2011)**
 - **The Policy commits VDOT to develop programs and processes that:**
 - Provide local governments tools to successfully administer transportation programs,
 - Provide a consistent approach to VDOT stewardship and oversight across districts and divisions, and
 - Promote efficient and effective local project and program delivery
 - **Link to Policy:**
<http://www.virginiadot.org/business/resources/CoGoUrMu.pdf>

Revenue Sharing Program

- Provides a 50/50 match of state and local funds
- For Construction, Reconstruction and Improvement Projects
- Program increased to allow up to \$10 million per locality annually
- Annual Allocation: Min \$50 million / Max \$200 million
- Deallocation process currently underway
- Applications Due for FY13
 - November 1, 2011: Full application due to LAD (Debbi Webb-Howells)

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 \$450,000 (\$300,000 unmatched & \$150,000 matched)

Enhancement Program

- Provides funding for non traditional projects that Enhance travel experience (ex. sidewalks, bike lanes, and the conversion of abandoned railroad corridors into trails)
- Many communities also use the program to acquire, restore and preserve scenic or historic sites
- Applications due on November 1st, 2011 (Annual process)
- Project Sponsor and Applicant workshops typically offered 3-5 locations each year

Scenic Byways

- **Distinctive routes with outstanding archeological, cultural, historic, natural, recreational, and scenic value**
- **Approximately 3,500 miles of roads**
- **Provides National Scenic Byway Grants for projects along these corridors**

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**

Urban Program

- **81 Cities and Towns (plus 3 more July 1st, 2012)**
- **Urban Construction Program**
 - **Urban allocations allocated based on code (formula funds)**
 - **Projects prioritized annually**
- **Urban Maintenance Program**
 - **Maintenance funds allocated annually (\$364 million annually)**
 - **Allocated based on moving lane miles**
 - **Broken into two functional categories (Arterials, Collectors/Locals)**

Urban Construction Initiative (UCI)

- **UCI Programs**

- **Applies to 13 Cities/Towns**
- **Localities administer entire construction program**
- **Programmatic Agreement (Project Agreement only for specially funded projects)**
- **Other project development streamlining opportunities**
- **UCI Guide into LAP and Urban Manual**
- **Certification**

Secondary Six-Year Program

- **Program adopted by the County BOS annually**
- **Funding amounts dictated by the financial climate**
- **The Secondary Six-Year Plan is based on estimated funding**
- **LAD currently working on a Secondary Policy Manual**

Devolution

- Virginia is one of only a few states where state government has maintenance, operational, and construction responsibilities for local roads.
- Except in Arlington and Henrico counties, VDOT assumes all maintenance, operational, and construction responsibilities on the secondary roads in the commonwealth's counties.
- In 2001, the General Assembly enacted what is commonly known as the "Devolution Statute."
- Resumption of responsibility for secondary highways by counties
- Code of Virginia §33.1-84.1:
 - Allows the Commissioner of Highways to enter into an agreement with any county to resume responsibility over all or any portion of the state secondary system of highways within such county's boundaries.
- Various Devolution Studies conducted

Other Special Federal Funding Programs (LAD)

- **Forest Highways Program**
 - Forest Highways are public roads that are owned by state or local agencies, serve the National Forest system
 - Provides money for the improvement of Forest Highways
 - The funds available to Virginia from this program vary from year to year, but are approximately \$1.5 million.
- **Public Lands Highways Discretionary Program**
 - Provides funding for improvements to roads that are open to public travel and serve federal property such as National Forests, National Parks, nontaxable Indian lands, military installations, or other Federal reservations
 - Program is entirely discretionary in nature and there is no minimum level of funding for projects in Virginia

Other Special Federal Funding Programs (LAD) (Continued)

- **Appalachian Regional Commission (ARC)**
 - Aims to better link the Region's businesses, communities, and residents to the Appalachian Development Highway System (ADHS)
 - The ARC gives State Governors the option of using up to \$500,000 plus 5% of their annual ADHS apportionment (not to exceed \$1 million each year)

Other Federal Programs (not specifically LAD)

- **MPO**

- ***Congestion Mitigation and Air Quality (CMAQ):***

- Smaller congestion relief projects (ex. adding turn lanes)

- ***Regional Surface Transportation Program (RSTP):***

- Small to large projects that have regional significance (ex. project crosses/ impacts multiple jurisdictions)

- **Traffic Engineering**

- ***Highway Safety Improvement Program (HSIP):***

- Smaller projects to improve safety. Determined by B/C ratio.

- ***Railway Safety:***

- Projects to improve rail crossings.

- **TPMD**

- ***Safe Routes to School:***

- Projects to improve access to schools (ex. sidewalk improvements)

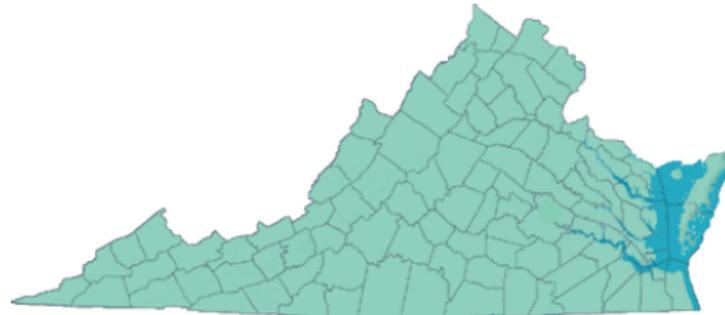
Board of Supervisors Manual

Board of Supervisors Manual

*A quick reference guide to
common VDOT activities*



Local Assistance



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LAD Web Site

The screenshot shows a web browser window displaying the Virginia DOT Local Assistance Division Business Center. The browser's address bar shows the URL <http://www.virgindot.org/business/local-assistance.asp>. The page header includes the Virginia.gov logo and navigation links for Online Services, Commonwealth Sites, Help, and Governor. A search bar for Virginia.gov is also present. The main content area features the VDOT logo and the title "Business Center". Below this, a navigation menu lists various services such as Travel Center, Newsroom, Info Center, Business Center, Programs, Projects and Studies, About VDOT, Jobs, and Site Map. The main heading is "Local Assistance Division". A list of links includes About, Access Programs, Local Partnership Initiatives (2008 General Assembly), Local Partnership Team/Training, Local Projects, Other Programs, Revenue Sharing, Rural/Roads/Roads, Smart Systems, State Programs, Transportation Enhancement, Urban Construction Initiative, Revenues, and Urban Initiatives. The text describes the division's role in developing policy and providing guidance for special funding programs. A list of functions includes managing special funding programs, urban system changes, local assistance payments, oversight for locally administered projects, and urban construction programs. An "Email update sign-up" section provides instructions for receiving notifications. A "Recent Updates" section lists several reports and manuals. A circular graphic of a woman wearing a hard hat is featured on the right side, with a link to "Local Government Core Curriculum Training".

Local Assistance Division

The Virginia Department of Transportation's (VDOT) Local Assistance Division develops policy and provides guidance for special funding programs and other programs that impact work performed by localities, and serves as a liaison to local governments.

The division also:

- Manages several special funding programs
- Manages urban system changes
- Manages the local assistance payments program
- Provides oversight for locally administered projects
- Coordinates the urban construction program

Email update sign-up

VDOT's Local Assistance Division is now offering email notifications when we update our website. Sign up to be notified when we post revised guidance, letters to local governments, or training opportunities.

To sign up:

1. Send an email to vdot_local_assistance_request@virginteractive.org
2. Type **subscribe** in the body of the message and click send. No subject is needed for the email. Please remove any automatic signature.
3. You will receive an email asking you to confirm that you want to subscribe. Click the link in the email and then click subscribe. That's it!

Recent Updates

- [Local Assistance Division FY2011 annual report](#)
- [USDOT Office of Inspector General audit of locally administered projects](#)
- [Fiscal Year 2012 revenue sharing allocations](#)
- [Locally Administered Projects for the local government project manager](#) (Module 2 of the Local Government Core Curriculum Training)
- [Revenue Sharing Guidelines](#) (April 29, 2011)
- [Update to Locally Administered Projects Manual](#) (July 1, 2011)
- [IHI Class: Beyond Compliance - Historic Presentation in Transportation Project Development](#) (Nov. 17, 2010)

Local Government Core Curriculum Training: Click the picture for details on Core Curriculum Training for Local Governments (Adobe PDF). For our newest web-based training opportunity, Locally Administered Projects for the Local Government Manager, click [here](#).



Project Manager



Project Coordinator

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Who is a Project Manager?

A 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 Project Manager?

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



Who is a Project Manager?

The 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 **Project Manager** guides the project through the process to ensure successful project delivery

VS

A **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

Who is a VDOT Project Coordinator?

- ✓ 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?

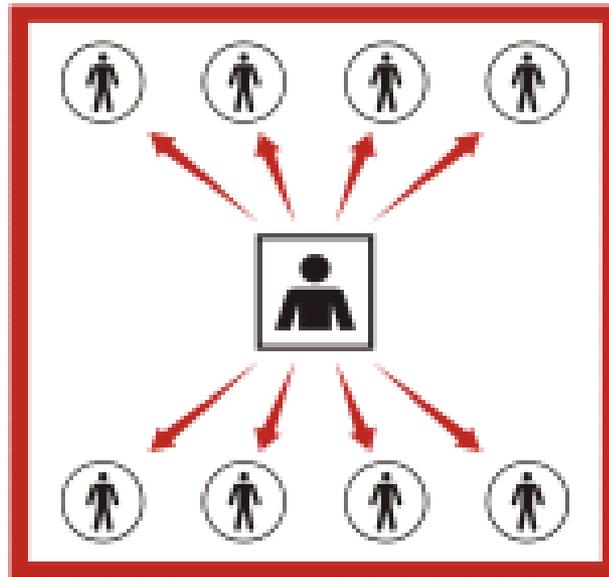
- ✓ The PC will be the LPA's liaison with VDOT staff having an approval, review, or advisory role for the project



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

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

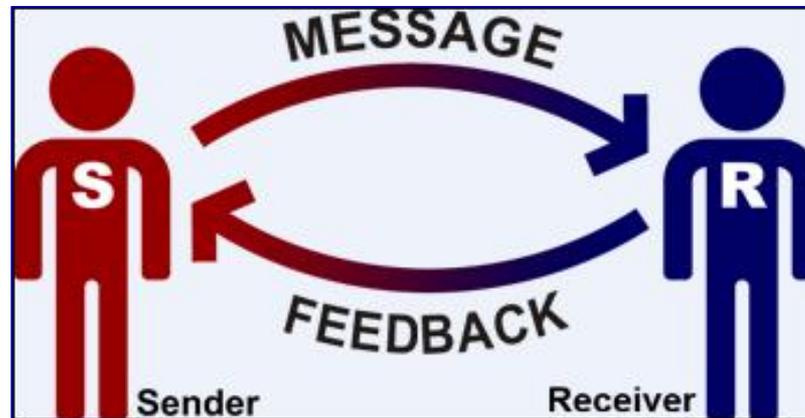
VDOT and Localities work as partners in the delivery of state and federal-aid transportation projects in Virginia



How to Get it Done

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

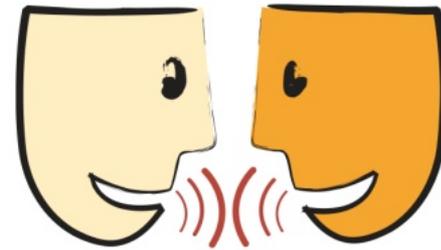
- ✓ Reciprocal relationship with open and continual communication
- ✓ Continue to build and support a partnership that maximizes successful project delivery



How to Get it Done

Increase and maintain communication

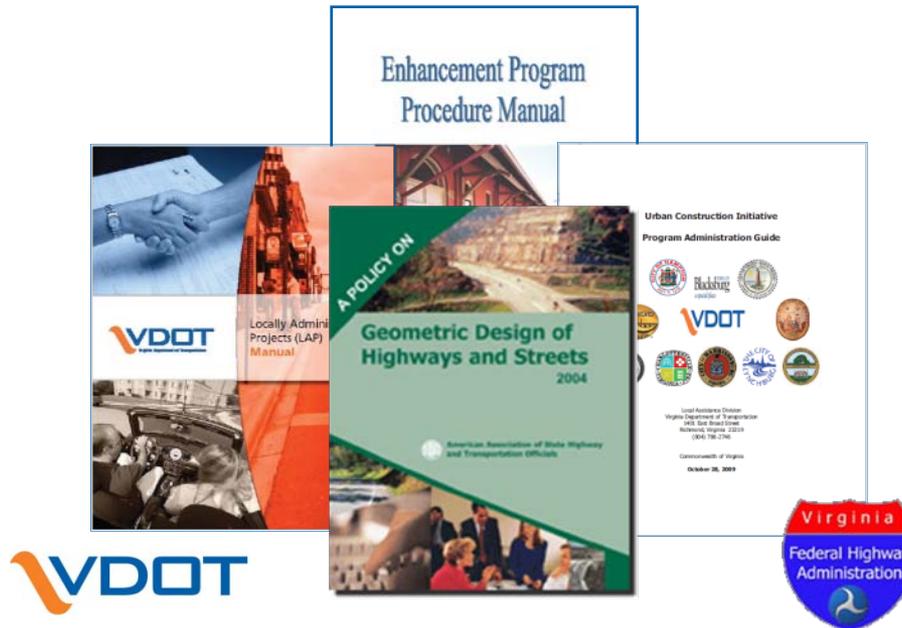
- ✓ Conference Calls
- ✓ Broadcast Emails
- ✓ Monthly Coordination Meetings
- ✓ Project / Task Specific Meetings
- ✓ Use your Subject-Matter-Experts (SME's)



How to Get it Done

Become your own subject-matter-expert

- LAP Manual
- UCI Manual
- Revenue Sharing Manual
- Urban Manual
- AASHTO
- Enhancement Program Procedure Manual
- R&B Spec's



How To Get it Done

Responsibility Without Authority

- ✓ Are you held responsible for local government delivery?
- ✓ Who is responsible for Dashboard? Federal Strategy?

- Location & Design
- Project Management Office
- Environmental
- Civil Rights
- Accounting / Fiscal
- Construction
- Scheduling & Contract
- Structure & Bridge
- Right-of-Way / Utilities
- Traffic Engineering
- Programming
- TTAC / TPO
- Planning
- LAD



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 **Project Coordinator** guides the locality through the process to ensure successful project delivery

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

Hundreds of Projects

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



Locality Control Over Project Timeline

When to set schedule and dates?

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

Ensure our vitality and continued success by better understanding each other

- ✓ Be proactive
- ✓ Communicate
- ✓ Monthly meetings
- ✓ Use email to document critical decisions and direction
- ✓ Build a partnership
- ✓ Be a pest, but be a nice pest!



Local Reviews Competing for Resources

Our VDOT colleagues have responsibilities too!

- ✓ Project Delivery
- ✓ Federal Strategy
- ✓ Governor's Transportation Initiative
- ✓ 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

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

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

PC 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



Challenges to the LAP Program

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Misconceptions of LAP Program

- **VDOT**

- Minimal staff time
- VDOT projects are more important
- Treat all projects the same (one size fits all)
- Do it like VDOT does it
- Locals do not know what they are doing
- Locals do not want to cooperate
- Don't need locals

- **Localities**

- No VDOT
- Quicker and cheaper project development
- VDOT bureaucracy w/ no flexibility
- Constant roadblocks
- State and Federal laws don't apply

New/ Changing Staff

- **VDOT**

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

- **Locals**

- Localities facing staffing reductions
- Many more local staff working on VDOT projects
- Greater dependency on Federal Funding
- Lack of knowledge of federal and state laws
- More local divisions overseeing VDOT Projects
- Relying on consultants to do more

Consultants

- **Consultants**
 - **Greater dependency on consultants**
 - **Consultants have competing priorities**
 - **Lack of knowledge of state and federal project development requirements**
 - **Communication with VDOT and Locals**
 - **Shortcuts - Trying to save locality time and money**
 - **Some taking advantage of localities**
 - **Local staff not aware of project development requirements**

Competing Priorities

- **General**
 - Doing more with less
 - Lack of trust
- **VDOT**
 - Reduction in staff
 - VDOT projects take priority
 - Federal Strategy
 - Reporting requirements
- **Locals**
 - BOS/ Council Priorities
 - Constituent expectations
 - Local vs State/Federal projects
 - VDOT reports

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**

VDOT Databases

- **Databases: PCES, iPM, SYIP, etc...**
- **General Information:**
 - **Difficulty accessing VDOT programs**
 - **Locality passwords expire every 30+ days**
 - **Software incompatibility**
- **Why important?**
 - **Reports being generated with information from systems**
 - **Inaccurate information**
 - **Hurts locality performance records**
 - **Conflicting priorities**
 - **Accountability**



VDOT Guidance and LAD Support

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Local Assistance Division – Team Site

LAD Family Portrait



VDOT Guidance and LAD Support

There are two very useful links that provide an abundance of assistance and information.

- Local Assistance Division (LAD) external web page:
 - <http://www.virginiadot.org/business/local-assistance.asp>
- Local Assistance Division (LAD) team site on the Portal:
 - <http://insidevdot/sites/LocalAssistanceDivision/default.aspx>

Local Assistance Division

External Web-Page

Program specific information-reference material:

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

- Locally Administered Projects Manual (LAP Manual)
- Urban Manual
- UCI Guide
- Revenue Sharing Guidelines
- Enhancement Program Procedures Manual
- Economic Development Access Program Guidelines

Local Assistance Division - Windows Internet Explorer provided by Virginia IT Partnership

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

File Edit View Favorites Tools Help

Search Go Tools Full Screen Ask a Question 64%

Local Assistance Division

Home > Business > Local Assistance Division

Contact Us | Search VirginiaDOT.org GO

Local Assistance Division

[About](#) | [Access Programs](#) | [Local Partnership Initiatives \(2005 General Assembly\)](#) | [Local Partnership Team \(Training\)](#) | [Local Projects](#) | [Other Programs](#)
[Revenue Sharing](#) | [Rural Rustic Roads](#) | [Scenic Byways](#) | [State Programs](#) | [Transportation Enhancement](#) | [Urban Construction Initiative](#) | [Devolution](#) | [Urban Highways](#)

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- Provides oversight for locally administered projects
- Coordinates the urban construction program

Email update sign-up

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To sign up:

1. Send an email to vdot_local_assistance-request@virginiainteractive.org
2. Type **subscribe** in the body of the message and click send. No subject is needed for the email. Please remove any automatic signature.



Local Government Case Curriculum

Trusted sites 100%

Start | Inbox - Microsoft Outlook | Local Assistance Divis... | 4:11 PM

Local Assistance Division “Portal” Team Site

<http://insidevdot/sites/LocalAssistanceDivision/default.aspx>

Hot Links for Local Assistance

- Fully Executed Agreements
- Approved “RtA’s” (spreadsheet)
- Standard Agreement and Appendices
 - OAG Standard Agreement Appendices
 - Standard Agreements 2010 (templates)
 - Appendix A’s (templates)

LAD Division Sites

- Local Oversight Section
 - Local Oversight SOP
- Local Agreement Database
 - Agreement events-Status of all agreements

Quick Launch
Documents
Pictures
LAD_Pictures
Lists
LOS Activities
Local Gov't Survey
Discussions
Surveys
New RA/ARA workshop evaluation

Home

Modify Shared Page

Our Mission

VDOT's Local Assistance Division develops policy and provides guidance for special funding programs and other programs that impact work performed by localities, and serves as a liaison to local government organizations.

This site is accessible to all VDOT staff

For questions/Comments regarding this site, please contact one of the site administrators: Russ Dudley - 786-6663, Bernie Schmelz - 786-2595, or Clark Woods - 692-0565

Hot Links for Local Assistance Division

- Executed Agreements
- Request to Administer Forms
- OAG Std Agreement Approvals
- Standard Agreements and Appendices
- LAD_LPAManual_Revision_Team_Site
- Secondary Roads Policy Manual Team Site
- OMB Files for Fiscal Year 2010
- Reaffirmation of Local Programs Policy
- Arlington-Henrico Guide 2011
- FY 11 OMB Spreadsheet

CLICK HERE TO OPEN LAD Library



LAD Division Sites

- LAD Workshops and Training
- Local Agreements Database
- Local Oversight Section
- DEVOLUTION of Secondary Roads
- Revenue Sharing Program
- LAD_internal
- Arl-Hen Guide
- UCI Certification



VDOT and Locality Training, Support and Resources

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Support and Resources

Core Curriculum Training

- Two internally-developed Web-based “modules”
- Three FHWA – NHI Web-based modules



FHWA NHI Web-based Modules link to website

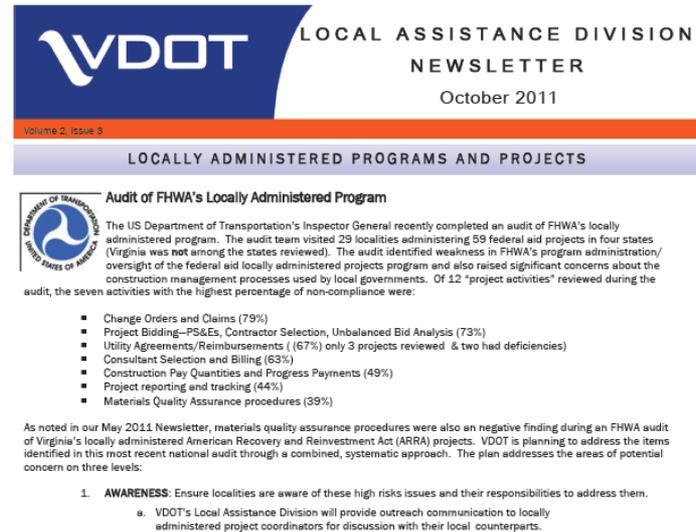
- Many Other Applicable Web-based Modules



Support and Resources

Newsletters (Tri-Annual)

- Manual Updates
- Hot Topics
- Program Updates



Transportation Training Academy

- New relationship to leverage TTA expertise bringing training to Locally Administered Projects Program

Support and Resources

Local Partnership Team

- Created by the 2005 General Assembly
- Who are they?
- Web-Site

Primary Responsibilities:

- Technical assistance
- Training opportunities
- Focused on federally funded projects



Focus on Policy Development and Communication

They are there for you!



Locality Responsibilities & Requirements Risk-Based Approach To Local Project Oversight

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Locality Responsibilities & Requirements

Chapter 3.1 Locally Administered Projects Manual

Federal Aid Projects:

Localities must be “adequately staffed and suitably equipped to undertake and satisfactory complete the work” (23 CFR 635.105)

Federal law requires that states be responsible for determining that sub-recipients have adequate project delivery systems and sufficient accounting controls.

Locality Responsibilities & Requirements

Evaluation of Locality capabilities during RtA Process:

- Full time government employee fully responsible for the project
- Responsible-charge engineer – consultant or LPA

Locality Responsibilities & Requirements

Evaluation of Locality capabilities during RtA Process:

- **Adequate project delivery systems demonstrated:**
 - Capital project experience – similar nature, size, and complexity;
 - Staff experience
 - Federal-aid, transportation experience
 - Where experience lacking – how will they fill void?
 - Success with previous VDOT-funded projects
- **Sufficient Accounting Controls**
 - Rely on CAFR

Risk-Based Oversight

Not every project needs the same level of review / oversight

LAP Manual Chapter 9, Section 9.4.2

- Oversight = VDOT Risk



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	FHWA	FO
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 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	<ul style="list-style-type: none"> • Kickoff (scoping) meeting attendance • Plan development coordination meeting • Final plan review • Pre-construction meeting attendance • Random site visits during construction • Final acceptance inspection
Moderate	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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 Oversight

State-Aid Project Certification

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

Locality certifies proper administration of:

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

Not applicable to projects developed as federal

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: <input type="checkbox"/> 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 <input type="checkbox"/> 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)

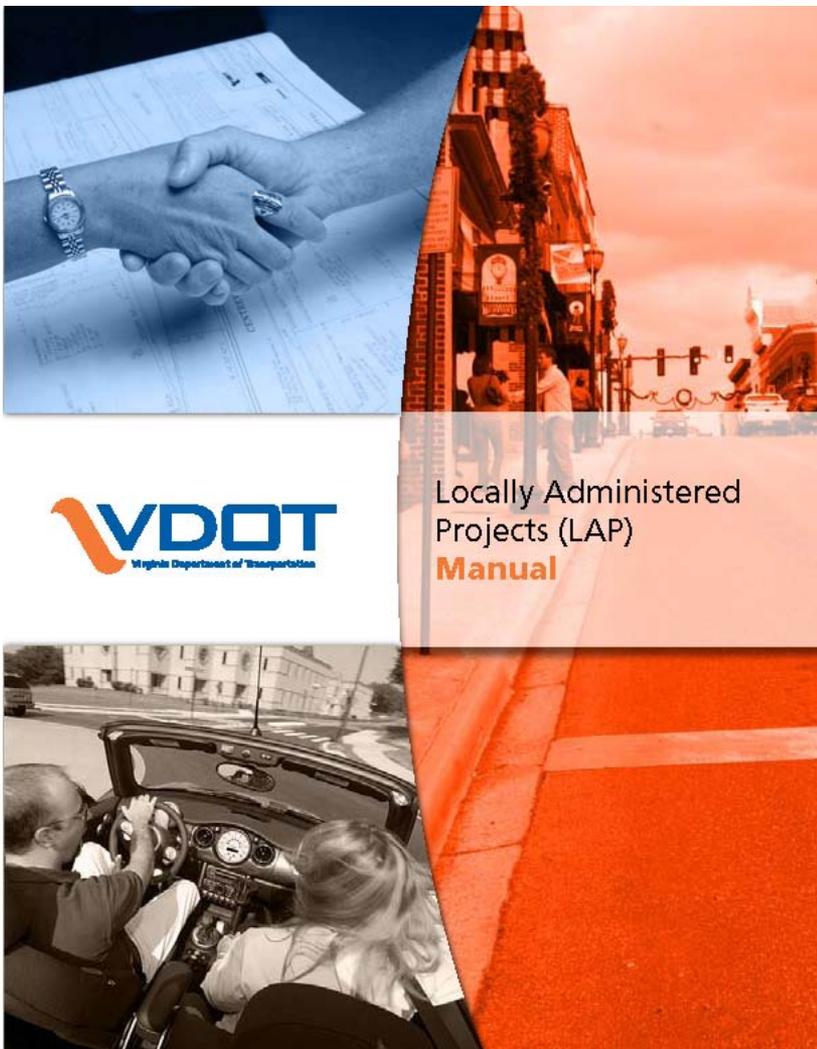
 Date

cc: Project file
 VDOT Project Coordinator
 VDOT Local Assistance Director



Using the LAP Manual

Bernie Schmelz
Program Manager
Local Assistance Division
804-786-2595
Bernard.Schmelz@VDOT.virginia.gov



Locally Administered
Projects (LAP)
Manual

- 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

Chapter Outline

All chapters are generally set up the same way

- **Flow Chart**
- **Table of Contents**
- **Introduction**
- **Applicability**
- **Purposes/Process**
- ***VDOT Responsibilities***
- **Key Submittals / Requirements**
- **References**

Symbols

Three key symbols are used throughout the manual



Required submission



Important information



Must be kept on-file

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

Let's take a look ...

LAP Manual

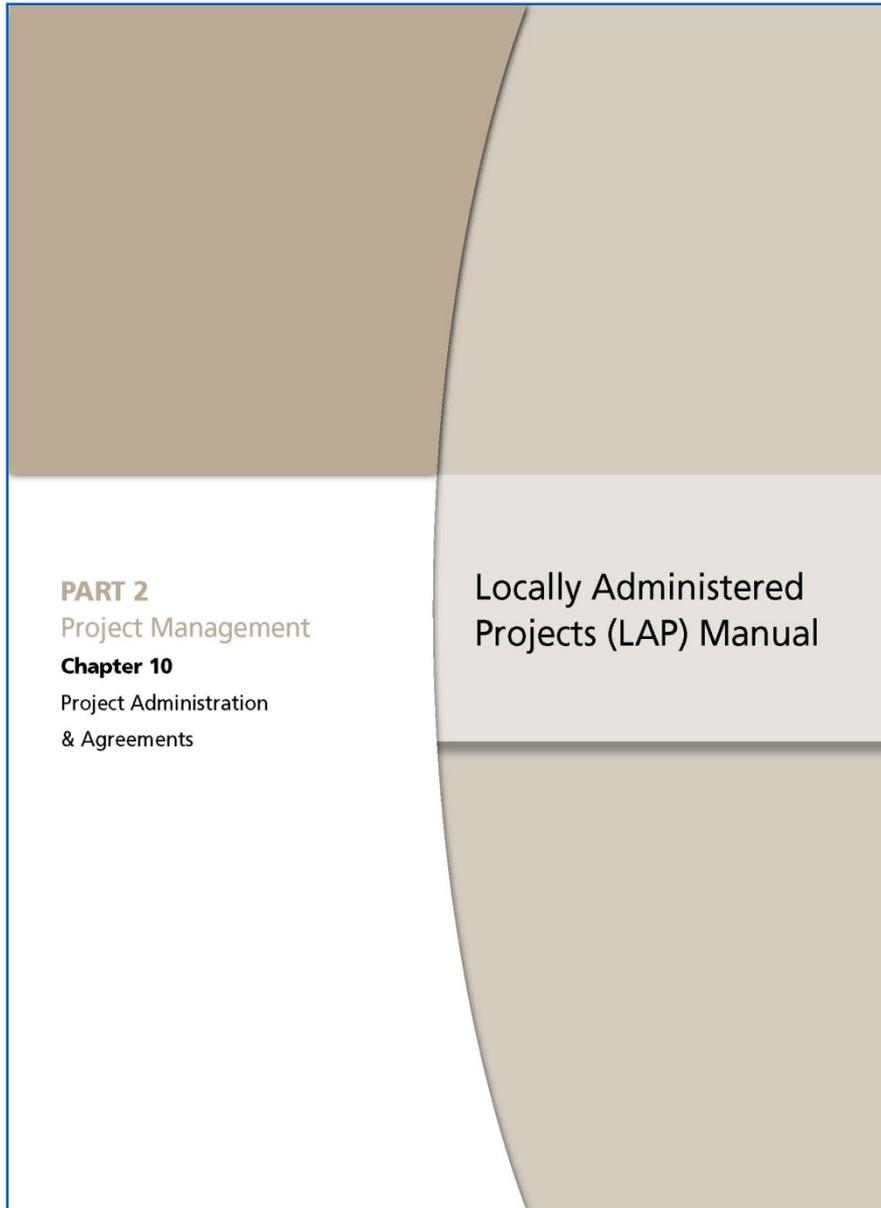
Questions?

If you have any additional questions:
bernard.schmelz@vdot.virginia.gov
804-786-2595



Project Administration Agreements

Bernie Schmelz
Program Manager
Local Assistance Division
804-786-2595
Bernard.Schmelz@VDOT.virginia.gov



- **Chapter 10 of the LAP Manual discusses Agreements.**

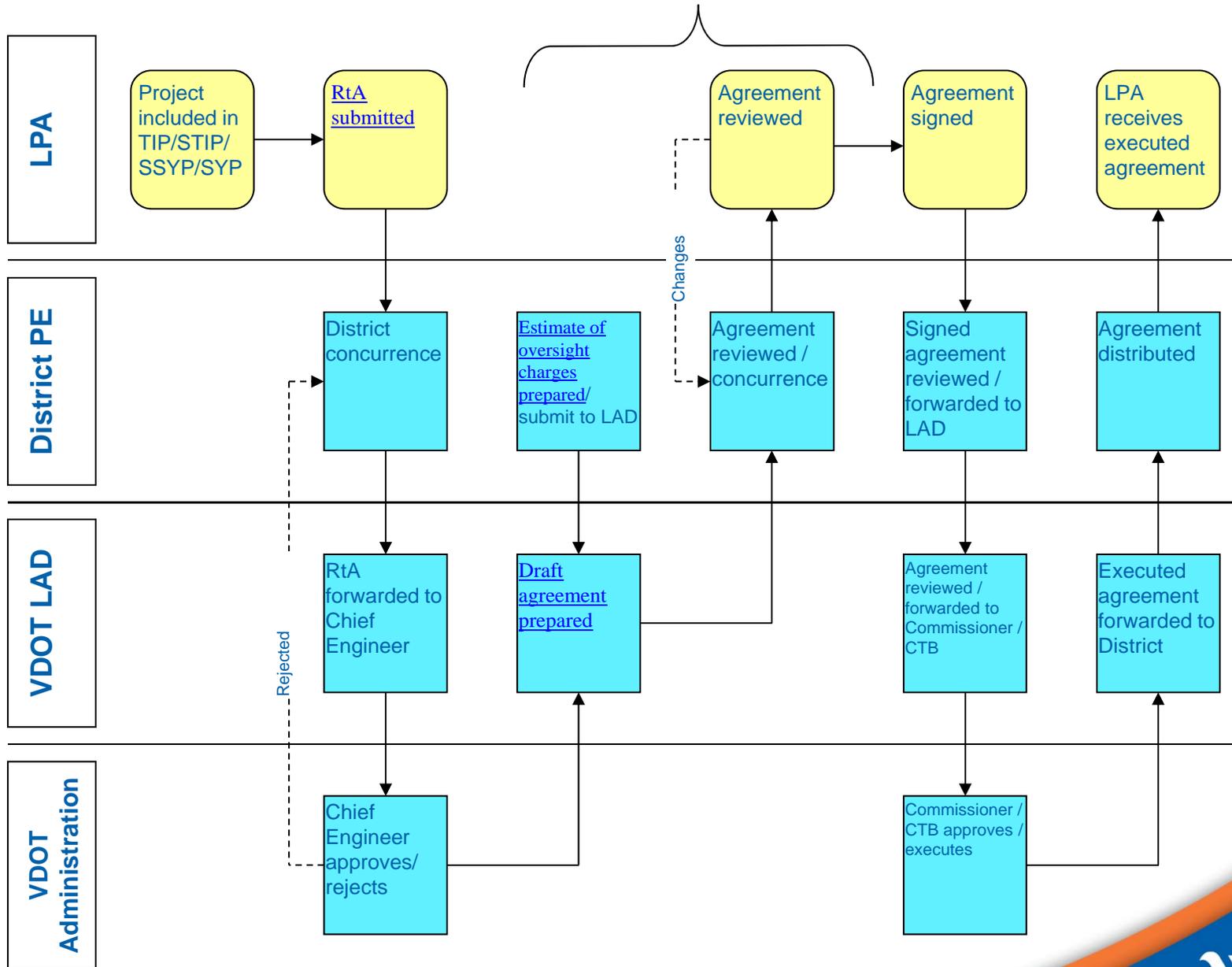
- Applicability
- Purpose
- RtA's
- Agreement Types
- Appendix A's
- Documentation

Applicability

- 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.

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

30 Days



**Work conducted
prior to execution
of a Project
Administration
Agreement may
NOT be eligible for
reimbursement**



Request to Administer Project

To: Urban Program Manager (for urban highway system projects)
 Residency Administrator (for primary system, secondary system, and access projects.)

Visit <http://www.virginiadot.org/business/local-assistance-directory.asp> to determine the responsible Urban Program Manager or <http://www.virginiadot.org/info/service/contact-us.asp#local> for Residency Administrator by locality.

From: _____
(Responsible Local Official Issuing Request) (Email Address) (Phone)

Signature (Typed when e-mailed) By: _____ Date: _____

Locality:	Project #:	UPC:
Project Scope (short narrative):		
Local Contact <i>(if different from above)</i>	Name: _____ Email: _____	Phone: _____
<input type="checkbox"/> New Project Administration Request <input type="checkbox"/> Revised Scope of Work for Previous Request		
We are interested in administering the following phase/phases of the above reference project:		
<input type="checkbox"/> PE <input type="checkbox"/> CN If "other" phase is selected, describe scope of work proposed: <input type="checkbox"/> RW <input type="checkbox"/> Other		
Source of Funding: <i>(all that apply)</i>	<input type="checkbox"/> Federal <input type="checkbox"/> Revenue Sharing <input type="checkbox"/> Access (e.g. Economic, Industrial, Recreational, etc.) <input type="checkbox"/> Regular Construction <input type="checkbox"/> Local Funds <input type="checkbox"/> Other (specify):	
Residency/Urban Program Manager and District Office Comments		
Residency/Urban Program Manager Funding Information and Comments <i>(expands as required)</i>	By: _____ Date: _____ Signature & Date <i>(Typed when emailed)</i>	
District PE Manager or Construction Engineer Comments <i>(expands as required)</i> <small>When complete, transmit to Local Assistance Division, copy to Residency Administrator /Urban Program Mgr</small>	By: _____ Date: _____ Signature & Date <i>(Typed when emailed)</i> VDOT Project Coordinator Assigned: Phone: _____	
Chief Engineer's Approval		
Comments <i>(expands as required)</i> :		
<input type="checkbox"/> Approved <input type="checkbox"/> Denied _____		
By: _____ Date: _____		
Signature & Date <i>(Typed when emailed)</i>		

Revised July 1, 2006

Upon completion, transmit this form to the Local Assistance Division for distribution and development of an agreement.
Submission of this form is not necessary for Enhancement projects, which are presumed administered by the locality.
Use Ctrl-Enter to create paragraph breaks within comments.

Sheet 1 of 1

Request to Administer a Project (RtA) form

- Submitted by Locality
- District concurs
- Submits to LAD for concurrence by the Chief Engineer

Standard Project Agreements

- Federal-aid Projects
- State-aid Projects
- Locally funded –
VDOT Administered

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.

Completing the Appendix A

Locally Administered Appendix A

Project Number: UPC: Locality:

Project Location ZIP+4:	Locality DUNS#	Locality Address (incl ZIP+4):
----------------------------	----------------	-----------------------------------

Project Narrative

Scope: **Reduce residential speeding by the installation of traffic calming device at selected locations.**

From: **Countywide**

To: **Subdivision streets**

Locality Project Manager Contact info: **Bill XXXXX,
William. XXXXX@county.gov, 123-456-7890**

Department Project Coordinator Contact Info: **Doug Miller,
Douglas.Miller@VDOT.Virginia.gov , 703-259-1793**

Project Costs and Reimbursement				
Phase	Estimated Project Costs	Estimated Eligible Project Costs	Estimated Eligible VDOT Project Expenses	Estimated Reimbursement to Locality
Preliminary Engineering	\$36,640	\$36,640	\$5,000	\$31,640
Right of Way & Utilities				\$0
Construction	\$329,767	\$319,767	\$5,000	\$314,767
Total Estimated Cost	\$366,407	\$356,407	\$10,000	\$346,407

Total Maximum Reimbursement / Payment by Locality to VDOT	
Total Maximum Reimbursement by VDOT to Locality	\$356,407

Project Financing

A	B	C	D	E
Formula - State secondary - Fairfax	Locality Funds	<fund source C>	<fund source D>	Aggregate Allocations
\$356,407	\$10,000			\$366,407

Program and Project Specific Funding Requirements

- This project shall be administered in accordance with VDOT's Locally Administered Projects Manual
- This is a limited funds project. (NAME) County shall be responsible for any additional funding in excess of allocations, subject to annual or other lawful appropriations.
- All required regulatory agency coordination has been or will be made, and applicable permits or approvals have been or will be acquired.

Summary

<i>Task/Submittal / File Documentation</i>	<i>Locality Responsibility</i>	<i>VDOT Responsibility</i>	<i>Submittal Timing / Recordkeeping Requirements</i>
Request to Administer Form	Prepare and send to RA or UPM	Review request and make recommendation to LAD/Chief Engineer	At initiation of the project; review time approximately 15 business days
Agreement and Appendix A Preparation	Review Appendix A	District/LAD preparation	30 Calendar days
LPA reviews and approves agreement	Agreement signed by local official	N/A	N/A
Agreement execution	Sign agreement and provide signatory authority	Commissioner's Signature	15 business days

Questions?

If you have any additional questions:
bernard.schmelz@vdot.virginia.gov
804-786-2595



Project Development

Winky Chenault
Federal Programs Manager

Pam Liston
Enhancement Program Manager

Project Development Phases – Critical Issues

Consultant Selection

- **Reviewing the RFP**
- **Selecting the “right consultant” for the job**
- **Qualification – based for professional services**
- **Pre-award audit if contract value is over \$100,000**
- **Non-professional services**



Kilnarnock Streetscaping



Culpeper Depot

Project Development Phases – Critical Issues

Environmental Document

- **Potential Risk Issues on locally-administered projects**
 - **Locality Complying with Coordination Requirements**
 - **Financial Risk to Project Funding**
- **Cultural Resources**
 - **Prior to Construction**
 - **During Construction**



Blue Ridge Railway Trail



Woodstock Streetscaping

Project Development Phases – Critical Issues

Design

- **Plan Reviews**
- **Design Exceptions – approved by the State Location and Design Engineer – also FHWA on projects with federal oversight**
- **Design Waivers – approved by the District Location and Design Engineer**

Project Development Phases – Critical Issues

Development of Bid Documents

- **Negotiation Clauses**
- **Small Purchases**
- **Sole Source**
- **Design/Build**
- **Local Forces**
- **Civil Rights/DBE requirements**
 - Projects over \$100,000 need to be reviewed for a goal determination
 - SWAM vs. Certified DBE contractor

Project Development Phases – Critical Issues

Right of Way

- **Authorization for utility relocation and/or property acquisition**
- **Certification**



Battle of Sailor's Creek

Project Development Phases – Critical Issues

Construction

- **Authorization to advertise for construction bids**
- **Construction award approval**
- **VDOT oversight of construction activities**
 - **Change orders**
- **C-5**



Burkeville Train Station

Project Development Phases – Critical Issues

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**
- **Prompt response to inquiries – decisive responses**
- **Keep alert for local project management changes**



If you have any additional questions:

h.chenault@vdot.virginia.gov

804-786-2264

pamela.liston@vdot.virginia.gov

804-786-2734



Other LAD Initiatives

Winky Chenault
Federal Programs Manager
h.chenault@vdot.virginia.gov
804-786-2264

LAD Initiatives

- **Business Plan – LAPs**

Evaluate local government ability to effectively manage and deliver projects ... make changes to agreements, programs, policies, and procedures ... so that locally administered projects and project phases are completed within agreed time frames.

- **Compliance Assessment Program**

Identify trends in non-compliance for LAPs; results used to guide program outreach

- **Performance Initiatives**

Development of tools and mechanisms to assist Districts track performance of local governments

LAD Initiatives

- **Consolidation of Guidance**

Putting all Project Delivery Guidance in one place

- **UCI Certification**

Streamlined program for UCI participants meeting stringent qualifications

- **LAD Web-Page Notifications**

Sign up for automated notifications of new information on the LAD web-age

- **Additional Training**

Targeted to Construction – Materials QA and Work Order Processes

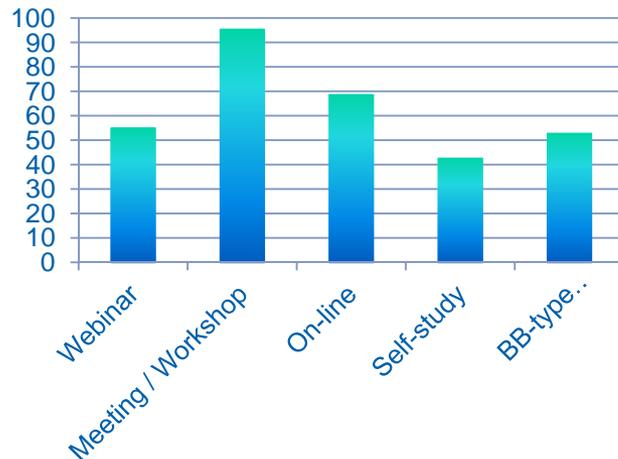
DOT-OIG and FHWA ARRA LAP Audits

LAD Initiatives

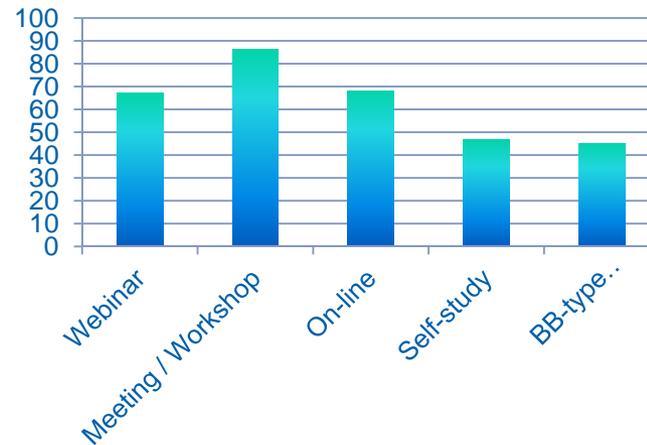
- **Internal and External Surveys**

Asking what our customers want!

**% Prefer to Strongly Prefer
VDOT Staff**



**% Prefer to Strongly Prefer
Localities**



- **Fall 2012 LAD Conference**

2 – day workshop for VDOT and Local Staff to learn and network



**Local Assistance Division (LAD)
New Project Coordinator Training**