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
Russ.Dudley@Vdot.Virginia.gov
804-786-6663
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

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 Enhancement 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 1\textsuperscript{st}, 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 1\textsuperscript{st}, 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)
Project Manager

Project Coordinator

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Acting Assistant Division Administrator
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804-786-3438
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

![Diagram of message and feedback between sender and receiver](image)
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
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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Acting Assistant Division Administrator
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804-786-3438
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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804-692-0565
Local Assistance Division – Team Site

LAD Family Portrait
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
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

The Virginia Department of Transportation (VUDOT) Local Assistance Division develops policies 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 allowing 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@virginiainteractive.org
2. Type subscribe in the body of the message and click send. No subject is required for the email. Please note there are automatic attempts.
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
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 - 786-6563, Bernie Schmelz - 786-2595, or Clark Woods - 602-0365

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
- One 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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Local Assistance Division
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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

Russ Dudley
Local Assistance Division
Russ.dudley@VDOT.virginia.gov
804-786-6663
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

<table>
<thead>
<tr>
<th>NFO</th>
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<th>FO</th>
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<td>Non-NHS</td>
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<td>NHS</td>
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<td>State</td>
<td>Funding</td>
<td>Federal</td>
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<td>Locality</td>
<td>Owner</td>
<td>VDOT</td>
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<tr>
<td>Type I</td>
<td>Project Category</td>
<td>Type V</td>
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<td>Extensive</td>
<td>Experience</td>
<td>Minimal</td>
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Putting into Practice?

Appendix 9-C Project Risk and Oversight Evaluation
## Risk-Based Oversight

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<tr>
<th>Element</th>
<th>Value (factor)</th>
<th>Check Elements That Apply</th>
<th>Total Factor per Element</th>
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<td>National Highway System</td>
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<td>Completed Project Maintenance</td>
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<td>State Maintained Project</td>
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<td>LPA Maintained Project</td>
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<td>Category II</td>
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<td>Category III, IV, V</td>
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<td>LPA Experience Administering Project</td>
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<tr>
<td>Factor Total</td>
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</table>

### Oversight Level

**Low**
- Kickoff (scoping) meeting attendance
- Plan development coordination meeting
- Final plan review
- Pre-construction meeting attendance
- Random site visits during construction
- Final acceptance inspection

**Moderate**
- Kickoff (scoping) meeting attendance
- Plan development coordination meeting
- 30 percent plan review
- Public hearing attendance
- Final plan review
- Pre-advertisement contract review
- Pre-award bid review
- Monthly to quarterly site visits during construction
- Final acceptance inspection

**High**
- Kickoff (scoping) meeting attendance
- Monitor consultant procurement process
- Environmental coordination meeting
- Plan development coordination meeting
- Right-of-Way coordination meeting
- 30 percent plan review
- Public hearing attendance
- 60 percent plan review
- 90 percent plan review
- Bid document review
- Pre-award bid review
- Pre-construction meeting attendance
- Weekly to monthly to quarterly site visits during construction
- Final acceptance inspection

### Table 2 – Oversight Assessment

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<thead>
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<th>Level of Oversight</th>
<th>Factor Total Range</th>
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<tr>
<td>Moderate (M)</td>
<td>25-55</td>
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<tr>
<td>Low (L)</td>
<td>&lt; 25</td>
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</tbody>
</table>

*Note: The table and data are placeholders for the actual content.*
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

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.

<table>
<thead>
<tr>
<th>Initials</th>
<th>Certification Statement</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Check applicable statement:</td>
</tr>
<tr>
<td></td>
<td>□ 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;</td>
</tr>
<tr>
<td></td>
<td>□ 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;</td>
</tr>
<tr>
<td></td>
<td>All required regulatory agency coordination has been made and applicable permits or approvals have been acquired.</td>
</tr>
<tr>
<td></td>
<td>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.</td>
</tr>
<tr>
<td></td>
<td>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.</td>
</tr>
<tr>
<td></td>
<td>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.</td>
</tr>
<tr>
<td></td>
<td>The LPA has complied with the Code of Virginia requirements pertaining to relocations and the acquisition of real property.</td>
</tr>
<tr>
<td></td>
<td>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.</td>
</tr>
<tr>
<td></td>
<td>The project was advertised in accordance with the Virginia Public Procurement Act and that the advertisement package included all appropriate RBO provisions.</td>
</tr>
<tr>
<td></td>
<td>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.</td>
</tr>
</tbody>
</table>

<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
• 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
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.

<table>
<thead>
<tr>
<th>Project Administration Agreements</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Federal-aid</strong></td>
</tr>
<tr>
<td>![X]</td>
</tr>
</tbody>
</table>
LPA

Project included in TIP/STIP/SSYP/SYP

RtA submitted

District PE

District concurrence

Estimate of oversight charges prepared/submit to LAD

Agreement reviewed

Agreement reviewed / concurrence

Agreement signed

Agreement reviewed / forwarded to LAD

Chief Engineer

RtA forwarded to Chief Engineer

Draft agreement prepared

Agreement reviewed / forwarded to Commissioner / CTB

LPA receives executed agreement

Agreement distributed

Agreement reviewed / forwarded to Commissioner / CTB

Commissioner / CTB approves / executes

Signed agreement reviewed / forwarded to LAD

Changes

0 Days

30 Days

Rejected

Rejections
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)


**From:**
- Locality
- District concurs
- Submits to LAD for concurrence by the Chief Engineer

#### Locality:
- Project #: 
- UPC:

#### Project Scope (short narrative):

**Local Contact**
- Name:
- Phone:
- Email:

#### New Project Administration Request
- Revised Scope of Work for Previous Request

We are interested in administering the following phase/phases of the above reference project:

- **PE**
- **CN**
- **RW**
- **Other**

#### Source of Funding:
- Federal
- Revenue Sharing
- Access (e.g. Economic, Industrial, Recreational, etc.)
- Regular Construction
- Local Funds
- Other (specify):

### Residency/Urban Program Manager and District Office Comments

<table>
<thead>
<tr>
<th>Residency/Urban Program Manager</th>
<th>By:</th>
<th>Date:</th>
<th>Signature &amp; Date (Typed when emailed)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Funding Information and Comments (expand as required)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>District PE Manager or Construction Engineer</th>
<th>By:</th>
<th>Date:</th>
<th>Signature &amp; Date (Typed when emailed)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Comments (expand as required)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Chief Engineer’s Approval

- **Approved**
- **Denied**

**Comments (expand as required):**

**By:**
- Signature & Date (Typed when emailed)

*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 preferred administered by the locality.

Use Ctrl-Enter to create paragraph breaks within comments.
Standard Project Agreements

- Federal-aid Projects
- State-aid Projects
- Locally funded – VDOT Administered
## Completing the Appendix A

Locally Administered Appendix A

<table>
<thead>
<tr>
<th>Project Number:</th>
<th>UPC:</th>
<th>Locality:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Location</td>
<td>Location DUNS#</td>
<td>Locality Address (incl ZIP+4):</td>
</tr>
</tbody>
</table>

### 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
<table>
<thead>
<tr>
<th>Phase</th>
<th>Estimated Project Costs</th>
<th>Estimated Eligible Project Costs</th>
<th>Estimated Eligible VDOT Project Expenses</th>
<th>Estimated Reimbursement to Locality</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preliminary Engineering</td>
<td>$36,640</td>
<td>$36,640</td>
<td>$5,000</td>
<td>$31,640</td>
</tr>
<tr>
<td>Right of Way &amp; Utilities</td>
<td>$0</td>
<td></td>
<td></td>
<td>$0</td>
</tr>
<tr>
<td>Construction</td>
<td>$329,767</td>
<td>$319,767</td>
<td>$5,000</td>
<td>$314,767</td>
</tr>
<tr>
<td>Total Estimated Cost</td>
<td>$366,407</td>
<td>$356,407</td>
<td>$10,000</td>
<td>$346,407</td>
</tr>
</tbody>
</table>

**Total Maximum Reimbursement / Payment by Locality to VDOT**

**Total Maximum Reimbursement by VDOT to Locality** $356,407
<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
</tr>
</thead>
<tbody>
<tr>
<td>Formula - State secondary - Fairfax</td>
<td>Locality Funds</td>
<td>&lt;fund source C&gt;</td>
<td>&lt;fund source D&gt;</td>
<td>Aggregate Allocations</td>
</tr>
<tr>
<td>$356,407</td>
<td>$10,000</td>
<td></td>
<td></td>
<td>$366,407</td>
</tr>
</tbody>
</table>
### 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

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

• Fall 2012 LAD Conference
  2 – day workshop for VDOT and Local Staff to learn and network
Local Assistance Division (LAD)
New Project Coordinator Training