Urban Construction Initiative (UCI) Certification Program

Briefing to the Management Leadership Team (MLT)

Phil Pullen, P.E.
David Jarman, P.E.

October 14, 2010
City of Virginia Beach

August 18, 2009

Mr. Michael A. Estes, P.E., Director
Local Assistance Division
Virginia Department of Transportation
1401 East Broad Street
Richmond, Virginia 23219

Subject: Urban Construction Initiative Program

Dear Mr. Estes:

The City of Virginia Beach supports the development of Virginia Department of Transportation (VDOT’s) proposed UCI certification program. We look forward to this certification program that will negate the need for VDOT oversight reviews during project development, but instead will create a process whereby the localities certify their compliance with specified processes.

We also look forward to this program having as much flexibility as possible to better allow the projects to be managed by the localities, while allowing VDOT to meet its oversight responsibilities.

Thank you and please do not hesitate to contact me if you need anything else.

Sincerely,

[Signature]

James K. Spore
City Manager, Executive

cc: David L. Hansen, Deputy City Manager
    Jason E. Cosby, P.E., Director of Public Works
    John E. Fowler, P.E., City Engineer, Public Works/Engineering
    Phillip D. Patten, P.E., PW/Engineering
    David S. Jarman, P.E., PW/Engineering
    Heather M. Ham, P.E., PW/Engineering
What is UCI?

• VDOT Program

• UCI (Urban Construction Initiative) was originally called “First Cities”

• Code of Virginia Amended in 2003 to allow

• Program Benefits:
  ➢ Expedite Implementation of Federal/State Funded Projects
  ➢ Decrease Cost of Project Delivery
  ➢ Improve Project Efficiencies
UCI Members

- Virginia Beach
- Richmond
- Hampton
- Charlottesville
- Bridgewater
- Harrisonburg
- Lynchburg
- Blacksburg
- Dumfries
- Colonial Heights
- Newport News
- *Chesapeake, Leesburg and Purcellville* (Submitted Letter of Intent)
History

- **2003**: Code of Virginia Amended

- **2004**: City of Virginia Beach officially joined UCI (along with Richmond and Hampton)

  (4) Urban Projects officially became UCI Projects (Witchduck 1, PA/Kempsville, Elbow Road and Indian River Road)

- **2007**: Other Fed/State funded projects (HSIP, CMAQ, RSTP) included in UCI Program

- **2008**: Development of UCI Certification Program began

- **2009**: UCI Certification Program approved by FHWA
What is UCI Certification?

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

Local Project Administration

Locality administers individual **Project** iaw VDOT’s LAP Manual

UCI Member (Non-Certified)

Locality administers **Program** iaw VDOT’s UCI Guide

UCI Member (Certified)

Locality administers **Streamlined Project & Program** Process
Program Management Requirements

• Fiscal Audit and Budget Systems
  ➢ Federal Aid Payment Requirements
  ➢ Project Documentation
  ➢ Audit Requirements according to OMB Circular A-133 (CAFR)

• Civil Rights Program
  ➢ DBE Program Plan
  ➢ DBE Goals (Establishing and Attaining)
  ➢ DBE Requirements in Contracts

• Internal QA/QC Processes
  ➢ Management of External Consultants/Resources
  ➢ Design Quality Control Plan
  ➢ Constructability and Bidability Review
  ➢ Construction Quality Control Requirements
Program Management Requirements (cont.)

• Public Outreach Program
  ➢ Outreach Plan
  ➢ Public Involvement at Appropriate Stages

• Consultant Procurement Process
  ➢ Virginia Public Procurement Act/Brooks Act
  ➢ Ensure Fairness and Transparency

• Project Controls for Cost and Schedule
  ➢ Baseline Schedule Preparation
  ➢ Engineering, Construction, Administration and Project Management Cost Estimating and Budget Preparation
  ➢ Project Controls Methodology and Systems
Project Delivery Requirements

• Preliminary Engineering (PE) Authorization
  ➢ Council Approval

• NEPA & Permitting
  ➢ Preparation of NEPA document
  ➢ Coordination w/ appropriate Federal Agencies
  ➢ Obtaining Permits
  ➢ Final Environmental Approvals
  ➢ Environmental Re-Evaluations

• Right of Way
  ➢ Preparation of R/W Plans
  ➢ R/W and Utilities Agreement and Authorization
  ➢ Acquire R/W

• Sole Source or Proprietary Procurement
  ➢ Sole Source Justification
  ➢ Finding in Public Interest
Project Delivery Requirements (cont.)

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

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

• **Project Final Inspection and Acceptance**
  - Acceptance Procedures
  - Report of Expenditures
What is UCI Certification? (cont.)

- VDOT provides concurrence at project development points required by State and Federal Code:
  - PE Authorization
  - NEPA Document Approval
  - R/W Authorization
  - Sole Source or Proprietary (Equipment/Materials)
  - Construction Authorization
  - Award of Construction (>2M only)
  - Final Acceptance
What is UCI Certification?
(cont.)

Exhibit B1: Project Development

1. VDOT Approval (PE)

2. VDOT Approval (NEPA)

3. VDOT Approval (R/W)

4. VDOT concurrence of sole source or proprietary

5. VDOT Approval (SN)

Construction Phase Authorization

- Key -
  - Local Government Activiti
  - VDOT Activity

- Local Council Approval
  - Pre-Scope Meeting
  - Early Project Notification
  - Refine Narrative Scope Definition Document
  - Project Management Plan
  - Project Budget Estimates
  - Project Schedules

- Conceptual Design
  - Preliminary Engineering (30% - 65%)
  - RAW & Utilities Impacts
  - Bridge/Structures Special Details
  - Final Environmental Document
  - Public Hearing Team Meeting
  - Public Hearing

- Detail Design (60% - 90%)
  - Final Design (90% - 100%)
  - Land Acquisition
  - Pre-Ad Conference
  - Utility Agreement
  - Construction Documents & Bidability Review
  - Haz. Mat. Assessment/Remediation
  - ENVIRONMENTAL RE-EVALUATION
  - Secure Permits
  - Funding Certification

- Construction Phase Authorization

8/26/2000
What is UCI Certification?
What is UCI Certification?
(cont.)

- How will VDOT ensure projects are being delivered in accordance with Federal/State laws?

**Compliance Program**

VDOT will perform the following Reviews:

- Project Level (Annual)
- Program Level Re-certification (Every 2-5 years)
- Process Reviews (Periodic)
Staffing

• **Qualified Staff**
  - Must employ Qualified Staff
  - OK to use Consultants

• **Roles**
  - Clear Lines of Authority
  - Does not require all roles to be one Department
  - Internal Support
  - Alignment Between Processes and Organization Chart
Conclusion

- Benefits:
  - Expedite Implementation of Federal/State Funded Projects
  - Decrease Cost of Project Delivery
  - Improve Project Efficiencies

- **RECOMMEND MOVING TOWARDS OBTAINING UCI CERTIFICATION**
Schedule

• Pre-Brief Dave H.          September 2010
• MLT Briefing              October 2010
• Brief Partnering Dept Directors October 2010
• Submit Letter of Intent to VDOT November 2010
• VDOT Response             December 2010
• Submit Application        March 2011
• VDOT Response             May 2011
• Interview                 June 2011
• RECEIVE CERTIFICATION     July 2011