Urban Construction Initiative
Certification Program Update

Presentation at the UCI Annual Meeting
November 17th, 2011

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VDOT – LAD

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The Urban Construction Initiative
• VDOT Update:
  ➢ Brief Overview of July Discussion
  ➢ Certification Document Scoring/ Results
  ➢ Presentation – Certification Panel Interview
  ➢ VDOT Next Steps

• Virginia Beach Update:
  ➢ Schedule
  ➢ Brief Overview of July Discussion
  ➢ Certification Document Preparation/ Findings
  ➢ Panel Interview
  ➢ VA Beach Next Steps

• What Does this mean? (Next Steps)
VDOT – Brief Overview of July Discussion

• Meetings with Various Central Office Divisions
• Field Meetings with Districts
• Challenges & Opportunities
• Lessons Learned:
  – Continued communication with affected divisions is important
  – Meet in person with District and Division staff
  – Anticipate questions to try and resolve before becoming issues
  – Don’t assume that everyone understands the differences of the UCI Certification program vs the UCI Program
Application must demonstrate: (13 total project & program areas)

- Program delivery systems
  - Fiscal, Audit & Budget Systems\Civil Rights\ QA/QC processes\Public input process\ Consultant Procurement\ Cost & Schedule Controls

- Project delivery processes
  - PE\NEPA\Right-of-Way\Sole Source Procurement\ Construction Authorization\Contract Award\ Final Inspection & Acceptance

- Organization structure to support the processes
- Experience
• VDOT Evaluation Panel
  - LAD Director, Home District Administrator, Independent District Administrator

• Intermediate Review
  - Determines that each component is either “Demonstrated” or “Non-Demonstrated”

• Response back to locality
  - Identifies components that were identified as “Non-Demonstrated”, provides locality the opportunity to provide additional information in their presentation/interview
• City of VA Beach submitted detailed application on June 30th, 2011
• LAD met with both Districts prior to scoring
• Panel found 8 of 13 areas to be non-demonstrated.
• LAD provided results back to the City and requested a Panel Interview to give the City an opportunity to address the non-demonstrated areas.
• Presentation – Interview
  • opportunity to provide new information that addresses ‘non-demonstrated’ areas from the Intermediate Review and for the panel to ask any questions

• Panel Recommendation
  • a consensus determination on whether the ‘non-demonstrated’ areas have been addressed
  • LAD Director provides panel’s recommendation to the VDOT Chief Engineer

• VDOT Chief Engineer makes final decision
• City of VA Beach interview held on October 13\textsuperscript{th}, 2011 in Hampton Roads

• City presentation focused on the 8 areas that were non-demonstrated

• Panel consensus and recommendation to Chief Engineer to certify VA Beach

• Chief Engineer concurs with recommendation
• The agenda for the VA Beach Panel Interview was as follows:
  – 10:00am *Begin Panel Hearing* – Introductions/Welcome
  – 10:05am *City of Virginia Beach Presentation*
    (the City will have 2+/- hours to present information and to field questions from the panel)
  – 12:00pm *Break for Lunch & Panel Deliberation*
  – 1:30pm *City of Virginia Beach Returns for Conclusion/ Wrap-up*
    (the City will be afforded the opportunity to address the panel after lunch to answer any follow-up questions)
  – 2:30/3:00pm *Panel Hearing Concludes*

• The panel was afforded the opportunity to ask the City questions during the morning presentation including additional time after lunch.

• The City had handouts for the meeting and was instructed to revise their submission book within 2 weeks after the meeting.
UCI Certification Next Steps for VDOT:

• Communication Plan
  – Official Response to City
  – Press Release

• Impact of UCI Certification Results
  – Very Visible Program
  – Major Milestone for LAP’s and UCI Program

• Next Steps:
  – Transition Process
  – Continued Discussions with various Division (i.e. Civil Rights, Environmental)
  – Compliance Program
    • Project Level Annual Performance Review (1 project minimum, with 3 maximum)
    • Re-Certification (focused on all key areas, 2 years after initial cert, every 5 years thereafter)
    • Program Wide Review (random intervals, entire program, arbitrary spot checks)
VA Beach – Brief Overview of July Discussion

• Management and Department Briefings
  – What does UCI Certification mean for the City
  – City’s original game plan

• Challenges & Opportunities

• Lessons Learned
  – Get Buy-In Early
  – New Initiatives
  – Educate VDOT and City Stakeholders
  – Examine Potential Risks
  – Develop Plan for Documentation
<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
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<tbody>
<tr>
<td>Brief Deputy City Manager</td>
<td>September 2010</td>
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<tr>
<td>MLT (Mgt Leadership Team) Briefing</td>
<td>October 2010</td>
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<tr>
<td>Brief Other Divisions/Depts</td>
<td>October 2010</td>
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<tr>
<td>Submit Letter of Intent to VDOT</td>
<td>February 2011</td>
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<td>VDOT Response</td>
<td>March 2011</td>
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<td>Submit Application</td>
<td>June 2011</td>
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<td>VDOT Response</td>
<td>August 2011</td>
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<tr>
<td>Interview</td>
<td>October 2011</td>
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<tr>
<td>RECEIVE CERTIFICATION</td>
<td>November 2011</td>
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Preparing the Certification Document

• Process Review
  – How does the City currently do business?
  – What processes are already documented?
  – What processes need to be documented?

• Areas of concern
  – Civil Rights
  – Pre-Award Evaluation
  – NEPA
Preparing the Certification Document

• Challenges
  – Helping other City departments understand the objectives
  – VDOT vs. City nomenclature
  – Organization of the document
  – How much detail?
Certification Document Findings

• **Results** *(August 29, 2011 letter from VDOT)*
  – 13 component areas were reviewed
    • 5 areas noted as demonstrated
      – Fiscal, Audit, & Budget, Consultant Procurement, Preliminary Engineering/Authorization, Right-of-Way, Sole Source or Proprietary Equipment
    • 4 areas received mixed ratings
      – Internal QA/QC, Public Outreach, Project Controls for Cost/Schedule, Final Inspection/Acceptance
    • 4 areas non-demonstrated by all 3 panel members
      – Civil Rights, NEPA, Construction Authorization, Award of Construction Contract
Certification Document Findings

• Results (con’t)
  – City’s first reaction
    • Humbling to say the least
    • First glance was frustrating

  – Detailed review…not as bad as it seemed
    • Common themes
    • Omissions
    • Clarification of processes and procedures
Certification Document Findings

• Results (con’t)
  – Common themes
    • More detail
    • Independent checks & balances
    • NEPA
  – Omissions
    • VE Process for design and construction
    • Testing certifications for City Inspectors AND materials testing consultants
    • Advertisement, bid review, and contract award process
Certification Document Findings

• Results (con’t)
  – Clarification of processes and procedures
    • NEPA
      – More details and assurances that the City can manage this process
    • Civil Rights
      – More details in the City’s transition plan to take over this role
    • Federal Strategy
      – More details regarding tracking and managing the federal strategy projects
Certification Document Findings

• Results (con’t)
  – Clarification of processes and procedures
    • Public Outreach
      – More details about Communications Plan for TMP
    • Final Inspection/Acceptance
      – Explain how City process can provide independent checks and balances with City staff
  • PS&E Review
    – Explain City process for dealing with final PS&E review
Certification Interview

• Objectives
  – Focus on VDOT concerns
    • NEPA—new process
    • Civil Rights—new staff and processes
    • Federal Strategy—tracking schedules & costs
  – Clarify omissions
  – Discuss our recent “challenges”
    • Meeting federal strategy
    • NEPA shortcomings
Certification Interview

- Objectives (con’t)
  - Emphasize upcoming documentation updates
    - NEPA procedures guide
    - Project Management Manual update
    - Project Inspections Manual
  - Emphasize
    - Ability to deliver projects/recent successes
    - Understanding of processes
    - Relationship with VDOT and knowing when to seek help
Certification Interview

• Outcomes
  – Good dialogue with panel members
  – Open conversation about City strengths and weaknesses
    • Opportunity to clarify concerns and discuss lessons learned
  – Some follow up items
    • How do we handle transportation grants secured by other groups within the City (Ops, P&R)?
UCI Certification

• Next Steps – VA Beach
  – Internal documentation for processes and checklists
  – Figuring out what UCI Certification really means for City and VDOT
  – Continue working with LAD to improve processes and procedures
  – Clarifying commitments made with City project delivery staff
  – Celebrate a little!
What does this Mean?

• UCI still the “cutting edge” of local programs
• UCI Workgroup provides a vital sounding board in the development of tools and resources to ensure local program success
• UCI Certification remains a priority and the ultimate implementation of the “risk based approach”
Questions?
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