



Locally Administered Projects 2014 Compliance Assessment Summary

Introduction

The Local Assistance Division has completed its third year of Project Level Assessments under the Compliance Program. The purpose of the program is to assess local government and VDOT compliance with federal and state laws and regulations, and other requirements as outlined in the Locally Administered Projects Manual.

2014 Assessments

Eight federally funded projects from various locations throughout the state were randomly selected from a query of advertised projects for review. Local Assistance Division conducted a project level assessment on specified preliminary engineering, right of way and construction phase documentation on the projects listed below:

UPC# 89891 – Bridge Replacement
RSTP Funds – Total Estimate \$5,374,592

UPC# 91174 – Reconstruction
CM/RSTP Funds – Total Estimate \$2,219,476

UPC# 96766 – Safety
HSIP Funds – Total Estimate \$216,629

UPC# 98569 – Safety
HSIP Funds – Total Estimate \$367,342

UPC# 87019 – Landscaping/Beautification
STP Funds – Total Estimate \$788,385

UPC# 100390 – New Roadway Construction
CM Funds – Total Estimate \$690,979

UPC# 52077 – Reconstruction
STP Funds – Total Estimate \$4,051,778

UPC# 85265 – Safety
STP Funds – Total Estimate \$400,733

Documentation requested from the local government included:

- Consultant procurement documents for design and/or construction services
- Memorandum of Agreement or Consultant Contract
- Final Bid Proposal and Contract Documents for construction
- Questionnaire to be completed providing information on the localities
 - ↳ management and oversight of project delivery
 - ↳ management for right of way acquisitions
 - ↳ labor compliance review training
 - ↳ process for compiling and maintaining environmental documentation, environmental commitments and implementation of commitments along with project scope changes that impacted the original footprint

An “in-office desk review” was performed on the above listed project documentation from various functional areas within VDOT’s Central Office such as Procurement, Assurance and Compliance, Construction, Environmental and Civil Rights.

Findings:

- Specific project records omitted in package for procurement of consultant
 - *Recommendation/Action* - To provide documentation affirming that the procurement process was followed in accordance with state and federal regulations.
- Unable to located project documentation
 - *Recommendation/Action* – To adhere to requirements of the LAP Manual, Chapter 19, Section 7, stating that all project records must be retained and assessable for a minimum of 3 years following FHWA and/or VDOT acceptance of final voucher for project.
- Advertisements published for minimum calendar days
 - *Recommendation/Action* – To provide a response opportunity from the maximum number of consultants, VDOT’s Locally Administered Projects Manual recommends advertising at least 30 calendar days.
- Selected locally administered projects for Prince William County and the cities of Fairfax, Martinsville, and Newport News were identified as successfully managing the project meeting all federal expectations.

Next Steps

Local Assistance Division will begin in May selecting locally administered projects throughout the state to conduct project level assessment “desk reviews” for the 2015 LAP Compliance Assessments.