

### Introduction

The Local Assistance Division has completed its fourth 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.

### 2015 Assessments

Six 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# 81767 – Facilities for Pedestrians and Bicycles  
STP Funds – Total Estimate \$2,937,976

UPC# 103695 – Historic Preservation  
STP Funds – Total Estimate \$50,000

UPC# 100546 - Safety  
HSIP Funds – Total Estimate \$2,661,494

UPC# 57047 - Reconstruction  
STP Funds – Total Estimate \$15,843,213

UPC# 103919 – Facilities for Pedestrians and Bicycles  
STP Funds – Total Estimate \$2,000,888

UPC# 93350 - Safety  
HSIP Funds – Total Estimate \$1,134,774

Documentation requested from the local government included:

- Consultant procurement documents for design and/or construction services
- Memorandum of Agreement or Consultant Contract
- Appraisals and appraisal reviews
- Negotiation reports with property owners
- Final Bid Proposal and Contract Documents for construction
- Documentation to support invoice

- 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

- Federal requirements in subcontracts were incorporated by reference only; this does not meet Federal regulations.
  - *Recommendation/Action* – Adhere to guidance outlined in the LAP Manual, Chapter 17, Section 5.2 – FHWA-1273 for Construction Projects.
- 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.
- The City of Norfolk demonstrated Good Management Practice with the process they have in place beginning at Pre-Construction to discuss mandatory requirements for federal provisions to be in place. A spreadsheet is created to log the submittals, and then forwarded to VDOT to initiate their monitoring of the construction process.
- The City of Hampton was well-organized and all documents requested were available and there were no findings.

### Next Steps

Local Assistance Division plans to reconvene with the Local Partnership Team members to discuss updating the critical project documentation or information associated with projects being assessed, and to review the current assessment process for locally administered projects.