



Locally Administered Projects 2016 Compliance Assessment Summary

Introduction

The Local Assistance Division has completed its fifth 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.

2016 Assessments

Ten federally funded locally administered projects (LAPs) 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# 77409 – New Construction Roadway
DEMO Funds – Total Estimate \$1,539,250

UPC# 91238 – Facilities for Pedestrians and Bicycles
STP Funds – Total Estimate \$5,004,834

UPC# 97217 - Safety
SRTS Funds – Total Estimate \$358,467

UPC# 98568 - Safety
HSIP Funds – Total Estimate \$32,952

UPC# 78219 – Landscaping/Beautification
STP Funds – Total Estimate \$305,592

UPC# 105146 – Landscaping/Beautification
STP Funds – Total Estimate \$320,000

UPC# 97686 – Safety
CM Funds – Total Estimate \$625,777

UPC# 97687 – Reconstruction w/added Capacity
RSTP Funds – Total Estimate \$12,450,000

UPC# 100656 – Safety
HSIP Funds – Total Estimate \$594,720

UPC# 91234 – Landscaping/Beautification
STP Funds – Total Estimate \$1,445,946

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

- A number of local governments have not obtained formal training on Labor Compliance reviews from VDOT District Civil Rights staff and have depended on the VDOT District Civil Rights staff to conduct the Labor Compliance reviews on projects.
 - *Recommendation/Action* – Local governments are to request training from their VDOT District Civil Rights office to ensure they are able to meet the requirements of Labor Compliance activities on future projects. Reference LAP Manual, Chapter 17.6.1.3 – Labor Compliance.
- Project documentation was not available.
 - *Recommendation/Action* – Project records must be retained for no less than three (3) years following FHWA and/or VDOT acceptance of the final voucher, and the municipality shall make records available to VDOT upon request. Reference LAP Manual, Chapter 19.7 – Record Review.
- Several of the local governments submitting the requested project documentation were found to have successfully managed the project with no findings.

Next Steps

Local Assistance Division will be selecting locally administered projects throughout the state to conduct the 2017 LAP Compliance project level assessment “desk reviews”, along with reconvening 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. LAD will also have the opportunity to work collectively with FHWA’s Virginia Division office on these reviews.