

VIRGINIA DEPARTMENT OF TRANSPORTATION

# LOCATION AND DESIGN DIVISION

## INSTRUCTIONAL AND INFORMATIONAL MEMORANDUM

GENERAL SUBJECT: PROJECTS DEVELOPED/DESIGNED/ADVERTISED BY CITIES, TOWNS, AND COUNTIES	NUMBER: IIM-LD-216.7
SPECIFIC SUBJECT: GUIDELINES FOR PROCESSING PROJECTS DEVELOPED/DESIGNED/ADVERTISED BY A LOCALITY	DATE: AUGUST 18, 2008
	SUPERSEDES: IIM-LD-216.6
DIVISION ADMINISTRATOR APPROVAL:      Mohammad Mirshahi, P.E. State Location and Design Engineer Approved August 18, 2008	

Changes are shaded.

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### CURRENT REVISION

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- Removed "Utilities" from Right of Way Division; Revised Mobility Management to Traffic Engineering Division.
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### EFFECTIVE DATE

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- This memorandum is effective upon receipt.
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### POLICY

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- A locality (city, town or county) may request to develop, design and manage a VDOT project. This request must be made by submission of a Request to Administer Project Form to the Residency Administrator, or for urban projects, to the Urban Program Manager.

- A Locality may be authorized to:
    - Conduct the design work for the project, including obtaining all necessary environmental clearances, purchase right of way, procure utility relocations, advertise and administer the project.
  - or
  - Conduct design work only, including obtaining all necessary environmental clearances, right of way, advertisement and administration by VDOT.
  - or
  - Purchase right of way only, with design work, including obtaining all necessary environmental clearances, advertisement, and administration by VDOT or any combination of the above as mutually agreed upon.
- In the event a combination of responsibilities is considered for a project, the appropriate VDOT Divisions must be consulted immediately to coordinate requirements and procedures.
  - Projects should be developed in accordance with this memorandum.
  - All projects should follow the Concurrent Engineering Process. See IIM-LD-226 Preliminary Engineering Project Development Process for instructions on the Concurrent Engineering Process. Also see: <http://www.virginiadot.org/projects/concureng-default.asp>
  - A locality has the option of providing the environmental services or having the environmental services provided by VDOT (except for SERP which must be administered by VDOT). VDOT's Environmental Division is to be consulted immediately to coordinate appropriate environmental requirements and procedures.
  - A municipality has the option of entering into an agreement with the Virginia Department of Transportation, to administer its highway construction program and receive quarterly payments for the state portion of its annual highway construction allocations.
  - VDOT's Local Assistance Division develops policy and provides guidance for special funded projects and other programs that impact work performed by localities.
  - Projects administered by others are subject to procedures and guidelines issued by the Local Assistance Division at the time of agreement.
  - Information on the functions of VDOT's Local Assistance Division is available at: [www.virginiadot.org/business/local-assistance.asp](http://www.virginiadot.org/business/local-assistance.asp) .
  - Information on the locally administered project process is available at: [http://www.virginiadot.org/business/local-assistance-locally\\_administered.asp](http://www.virginiadot.org/business/local-assistance-locally_administered.asp)
  - VDOT's Local Assistance Division's "Guide for Local Administration of VDOT Projects" is available at: [http://www.virginiadot.org/business/guidance\\_for\\_locally\\_administered\\_projects.asp](http://www.virginiadot.org/business/guidance_for_locally_administered_projects.asp)

## AUTHORIZATION AND AGREEMENTS

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- If a locality desires to administer a project that is funded with VDOT allocations, they must submit a Request to Administer Project Form, available at: <http://www.extranet.vdot.state.va.us/forms/> . All requests from urban localities must be submitted to the respective Urban Program Manager. For all other projects, requests should be submitted to the Residency Administrator for ultimate approval by the Chief Engineer.
  - Enhancement projects are to be administered by the locality once funding is allocated, therefore no Request to Administer Project Form is required, but the Residency Administrator or Urban Program Manager should be notified by the locality when the locality is preparing to administer an Enhancement project.
  - An initial project coordination meeting should be held between the local VDOT project team and the requesting locality to discuss project specifics and to further define the roles of each party.
  - After the request has been approved, a draft local/state project administration agreement will be prepared by the Local Assistance Division or by the Urban Program Manager in cooperation with the Local Assistance Division. Prior to the agreement being prepared, the locality, residency, and district must define the proposed roles of each party and prepare, by phase, project estimates separating locality administered activities from Department administered activities.
  - Standard agreements are developed with information provided by the districts. Customized project-specific agreements are developed through consultation with all appropriate divisions within VDOT.
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## PROJECT ASSIGNMENT

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For Locality Managed projects:

- The District Administrator assigns Project Coordinators based on resources, experience, etc.
- If the District Administrator does not have the necessary resources he/she consults with the State L&D Engineer for the appointment of a remote Project Coordinator.
- The VDOT Project Coordinator will be the point of contact regarding project scope, schedules and cost estimates and will coordinate project activities with the locality administering the project for all phases of project development. The VDOT Project Coordinator is responsible for notifying other VDOT Project Team members of project scope, schedules and activities.

- The Local Assistance Division will be the point of contact for funding issues on specially funded projects (Access Roads, Revenue Sharing, or similar programs). The Programming Division will be the contact for (non-urban) primary or secondary construction funding issues. The Urban Program Manager will be the point of contact for urban program funding issues.
  - The locality shall also designate a Project Manager to oversee the project and coordinate the project development process between the locality's design team (or their consultant) and the VDOT Project Coordinator.
  - The Locality Project Manager shall adhere to the appropriate VDOT documents for Project Development. The VDOT Project Coordinator is to be the point of contact for documents and guidelines.
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## INTEGRATED PROJECT MANAGEMENT (I PM)

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- In support of sound project management and IIM-LD-226, *Preliminary Engineering Project Development Process*, the Project Coordinator will schedule only the following activities on all new projects:
    - 12 AUTHORIZE PE
    - 18 STATE ENVIRONMENTAL REVIEW PROCESS (SERP)
    - 22 SCOPING
    - 24 DETERMINE PERMITS NEEDED
  - For locally administered projects, the Project Coordinator will add activity 10 PROJECT AGREEMENT.
  - During scoping, the project team will consider the scope, schedule, budget, and quality. The Project Coordinator will establish the baseline schedule, including a realistic target advertisement date, by determining the required activities and durations.
  - Once the schedule is approved the VDOT Project Coordinator will close the scoping activity, and the project baseline will be established.
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## PROJECT DEVELOPMENT

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- A project designed by a locality (or a locality's consultant) should follow the same Project Development Process as a project designed by VDOT if State or Federal funding is utilized in the design, right of way acquisition and/or utilities or construction. See VDOT's Project Development Concurrent Engineering Process Flow Chart.

- All projects shall be designed and administered in accordance with applicable federal and state laws and regulations.
- The Locality Project Manager shall provide the VDOT Project Coordinator with necessary plans and information at appropriate stages in the Project Development Process.
- The VDOT Project Coordinator will coordinate involvement between appropriate VDOT divisions, District staff, and the Locality Project Manager throughout the Project Development Process. Contact with Cities/Towns is to be coordinated with the Urban Program Manager.
- The Project Development Process typically includes the following stages:
  - State Environmental Review Process (SERP, Early Project Notification)
  - Scoping (Conducted in accordance with Loc. & Des. Div.'s Instructional and Informational Memo. IIM-LD-210)
  - Environmental studies/documents/permits (further guidance is available at: [http://www.virginiadot.org/business/environmental\\_requirements\\_local.asp](http://www.virginiadot.org/business/environmental_requirements_local.asp))
  - Value Engineering (as applicable)
  - Field reviews
  - Public Hearing
  - Field Inspection
  - Utility Field Inspection
  - Submittal of plans to the VDOT Project Coordinator for Quality Control Reviews by Location and Design Division and Scheduling & Contract Division
  - Pre-advertisement meeting
- Small projects such as Congestion Mitigation and Air Quality (CMAQ), Enhancement, Safety, Access Roads, Revenue Sharing and City/Town Minor Construction Improvements and Urban Construction Initiative projects will generally require modifications to procedures to fit specific situations.
- Projects requiring roadway, bridges, bicycle lanes or trails, or environmental mitigation should be submitted by the VDOT Project Coordinator to the appropriate divisions or district staff, for review during the Preliminary Engineering Stage.
- All applicable VDOT disciplines (Location and Design, Structure and Bridge, **Traffic Engineering**, Environmental, **Right of Way**, etc.) will assign an individual to review and provide recommendations during development of the agreement and throughout the Project Development Process. Plans will be distributed by VDOT's Project Coordinator to the appropriate disciplines and or Project Team Members during the Project Development Process.
- For Interstate, Primary and Urban projects, the Locality Project Manager shall submit, by December 1 of each year, an updated engineer's estimate through External PCES for each phase of the project (Preliminary Engineering, R/W and Construction) to the VDOT Project Coordinator for inclusion in VDOT's SYP update. The estimate should be updated every 90 days.

- For Secondary projects, the Locality Project Manager shall submit by August 1 of each year, an updated engineer's estimate for each phase of the project (Preliminary Engineering, R/W and/or Utilities and Construction) to the VDOT Project Coordinator and Residency Administrator for inclusion into the Secondary SYP.
- If the scope of the project changes following the District Environmental Sections review of the project, an additional review shall be required by the Environmental Division.
- VDOT's Quality Control Checklist (See VDOT's Road Design Manual, Chapter 1E) shall be completed for Field Inspection, Right of Way, and Advertisement. Environmental documentation and a detailed construction estimate (Trns.Port) shall be submitted with the plans to the VDOT Project Coordinator at these stages of plan development. (VDOT Administered Projects)

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## STANDARDS/SPECIFICATIONS/ESTIMATES

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- It is the VDOT Project Coordinator's responsibility to see that the following procedures are implemented:
- The Locality may request appropriate software from VDOT's Automated Engineering Support Section. The Locality shall make requests for software on VDOT's Software License Request Form LD-893, accessible on the VDOT Extranet at: <http://www.extranet.vdot.state.va.us/forms/> .
- This Form is also available from the VDOT Project Coordinator.
- Projects administered or advertised by VDOT shall utilize the following VDOT resources:
  - VDOT's Road and Bridge Standards
  - VDOT's Road and Bridge Specifications
  - All appropriate VDOT Manuals and Standard Operating Procedures
  - VDOT 's Instructional and Informational Memoranda
  - VDOT's Current Design Software
  - VDOT's Pay Items and Item Code Numbers
  - VDOT's Trns.Port Engineering Estimate System
- For projects advertised by a Locality:
  - It is recommended that the Locality utilize the same VDOT resources noted above.

- Any Standards or Specifications used that differ from VDOT's Road and Bridge Standards or Road and Bridge Specifications shall meet or exceed AASHTO and other national standards, and be approved by VDOT prior to beginning design. The VDOT Project Coordinator will forward such Standards or Specifications to the appropriate VDOT division(s) for review and approval.
- If Standards are used other than VDOT's Road and Bridge Standards, a copy of the applicable Standard, and/or appropriate details, shall be included in the plan assembly, or contract document, submitted for Field Inspection.
- Any Standards or Specifications used that differ from VDOT's Road and Bridge Standards or Road and Bridge Specifications shall be submitted to VDOT's Project Coordinator for final review and approval 6 months prior to advertisement for construction (30 days prior to Quality Control Review).
- Bridge Projects shall be designed in accordance with the approved, authorized and current AASHTO Standard Specifications for Highway Bridges including Interim Specifications and VDOT Modifications as well as any applicable AASHTO Guide Specifications relevant to the design of bridges and structures. Details and standards for bridges and structures shall be in accordance with the Manuals of the Structure and Bridge Division and VDOT's Road and Bridge Standards. VDOT's State Structure and Bridge Engineer must approve any variances from these standards and specifications and the use of current AASHTO policies not yet approved for use on VDOT projects.
- The project title sheet shall specify the Standards and Specifications under which the project is to be constructed.

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## RIGHT OF WAY ACQUISITION AND UTILITY ADJUSTMENT

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- Acquisition of rights of way, or property, will be in accordance with Titles 25.1 and 33.1 of the 1950 Code of Virginia, as amended. Refer to Chapter 9, Section 9.1 of VDOT's Right of Way Division Manual of Instructions on the acquisition of Right of Way by a Locality. Utility adjustment/relocation shall be in accordance with 23 CFR 645.115 and VDOT's Manual of Instructions, Volume II.
- If federal right of way funds are utilized, the VDOT Project Coordinator must submit Form LD-441 to the District Environmental Section to initiate a re-evaluation of the environmental document in accordance with the applicable Standard Operating Procedures. After this reevaluation is completed, federal R/W funds may be authorized.

- The Locality Project Manager shall notify the VDOT Project Coordinator by e-mail that the plans are ready to be signed. This e-mail shall include the Project Estimated Cost. The Title Sheet will be plotted and the estimated cost added in the margin. The mylar sheet will then be submitted to the Central Office Plan Coordination Section for signing. Immediately upon signing, the original signed sheet will be filed in the VDOT Central Office Plan Library. The VDOT Project Coordinator will be notified by e-mail that the Approved Right of Way Plans have been signed. Any settlements with property owner in excess of the approved fair market value appraisal will be supported in writing by the person authorizing the payment.
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## ENVIRONMENTAL PERMITS

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- Whenever a locality administers any portion of a project, it shall be the Locality Project Manager's responsibility to obtain the necessary permits (Corp of Engineers, Department of Environmental Quality, Virginia Marine Resources Commission, U.S. Coast Guard, etc.) through the appropriate agency's permit acquisition process.
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## APPROVAL FOR ADVERTISEMENT

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- For projects advertised by VDOT - Electronic files shall be provided by the Locality in accordance with VDOT's CADD Manual.
- For projects advertised by the Locality - It is recommended that electronic files be provided by the Locality in accordance with VDOT's CADD Manual.
- According to the Plan Cutoff Schedule, the following information shall be available prior to advertisement for construction. The Locality Project Manager shall provide to the VDOT Project Coordinator the following:
  - Quality Control Review Plans
  - Completed Quality Control Review Checklist
  - Water Quality Permits
  - A Detailed Construction Estimate.
  - Original Title Sheet.
  - The Draft Bid Proposal and Specifications.
  - Contract Documents (Scheduling & Contract Division will review documents for general conformity with State and Federal requirements)



- Approval is required from the Scheduling & Contract Division and/or Innovative Project Delivery Division/Commonwealth Transportation Board. The following items must be accomplished before the project can be approved for advertisement:
  - The project is included in The Statewide Transportation Improvement Program (STIP) if appropriate.
  - Funding has been appropriately designated.
  - All permits have been obtained.
  - On all Federal projects or projects where Federal action has been taken the VDOT Project Coordinator must submit Form LD-442 to the District Environmental Section to initiate a Re-evaluation (in accordance with the applicable Standard Operating Procedures) of the most recently administratively approved NEPA document/CE Designation prior to PS&E approval to ensure that the area evaluated in the original document is consistent with the final Roadway Design.
  - The LD-442 also initiates the Environmental Certification Checklist (completed by the District Environmental Section) that all environmental activities are clear for advertisement, regardless of funding source. The project shall not be advertised without this certification.
  - The contract documents include an approved environmental document, water quality permits, and all identified environmental commitments.
  - The project design is in accordance with appropriate design criteria.
  - Railroad relocations and certification are included appropriately, or satisfactory arrangements have been made.
  - A public hearing, or willingness, was accomplished unless the requirement is waived by VDOT.
  - All appropriate Federal Aid Project information, including minimum wage rates and EEO provisions, are included.
  - Any hazardous wastes have been identified and appropriate provisions have been provided within the proposal for safe disposal.
  - Right of way is certified to be clear by the locality.
  - Utilities are under agreement to be cleared prior to construction.
  - Railroad involvements (if not included in the contract) are certified to be clear.
- A Pre-advertisement Conference shall be conducted 4½ months prior to advertisement. Quality Control Review plans will be utilized for this meeting. Comments from the Scheduling & Contract Division shall be provided at the Pre-advertisement Conference.

- Advertisement of all projects, regardless of cost, shall conform to the applicable provisions of the Virginia Public Procurement Act.
  - It shall be the Locality Project Manager's responsibility to submit the procurement proposal to the VDOT Project Coordinator. The VDOT Project Coordinator will forward the procurement proposal to the District Civil Rights Manager for review and to set DBE goals. The VDOT Project Coordinator will then forward the procurement proposal to VDOT's Scheduling & Contract Division to obtain Federal approval for the method of procurement (if Federally funded).
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## PROJECTS ADVERTISED BY THE LOCALITY

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- After advertisement and receipt of bids, the Locality Project Manager shall submit to the VDOT Project Coordinator the following documents:
    - Copy of bid tabulations from all bidders
    - Breakdown of project funding sources
    - Recommendation on awarding the project
    - For urban projects, a project narrative and data for the Project Coordinator's cover letter to the Scheduling and Contract Division
  - The VDOT Project Coordinator will forward these documents to the Scheduling & Contract Division for approval by the Commonwealth Transportation Board if necessary. (Changes in the code now allow the Commissioner to award up to a certain level. In addition, award of Revenue Sharing and Access projects does not require CTB approval).
  - The VDOT Project Coordinator will forward the award documents for Federal projects to the Civil Rights Division to verify that the DBE goal has been met or that a good faith effort has been made to meet the DBE goal.
  - The Urban Program Manager will prepare, and the locality will execute, an Urban Project Construction, Operation, and Maintenance agreement.
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## PROJECT DEVELOPMENT FLOW CHART

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- VDOT's Project Development Concurrent Engineering Flow Chart is available at:  
<http://www.virginiadot.org/business/resources/LocDes/PDCE.pdf>