



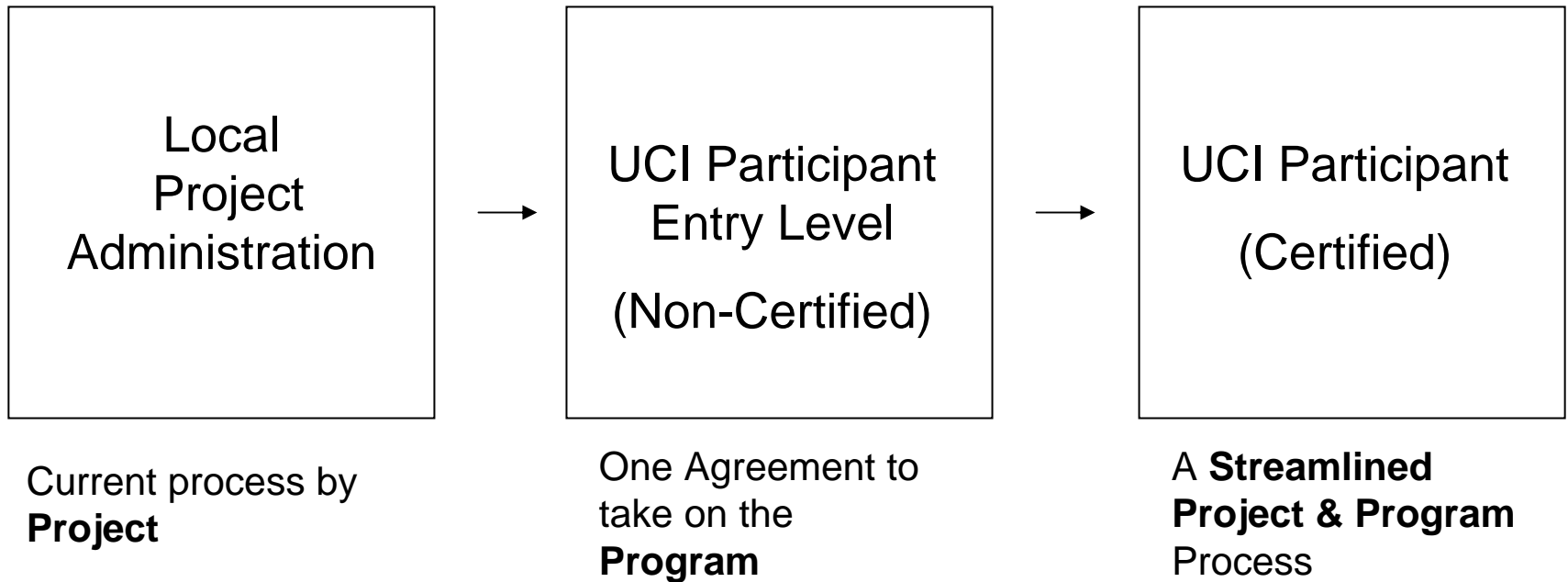
Urban Construction Initiative  
Certification Program  
September 2009

# What Is Certification?

An opportunity for qualified UCI participating localities to deliver their program and projects with federal and state funding with streamlined oversight from VDOT.

Certification does not apply to projects on the NHS, projects requiring federal oversight or projects identified by the Commissioner as requiring full state oversight.

# Levels of Achievement



# How did we get here?

- Long-term goal of program since inception in 2003
- Consensus at 2008 Annual Meeting to move forward with program streamlining through certification
  - Workgroup of 11 local government and 6 VDOT staff
  - 17 workgroup sessions and several sub-group sessions
  - Researched and evaluated other states
  - Reviewed the Federal Efficiencies Agreement
  - Identified key components of program
  - Secured consultant to draft program guide

# Certification Process

- Three Key Components:
  - Process of becoming certified
  - Oversight/Compliance
  - Recertification

# Eligibility Requirements

- Locality has demonstrated their ability to administer and deliver a federally funded project
- Locality has participated in the UCI program for a minimum of one (1) year and demonstrated programmatic responsibilities
- Locality has no unresolved compliance issues with VDOT or FHWA

## Letter of Intent/Review

- State reasons for pursuing certification
- Include brief list of projects supporting eligibility
- Review by VDOT within 30 days
- Eligible localities will be requested to make a formal detailed submission within 90 days

# Detailed Application Submittal

- 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



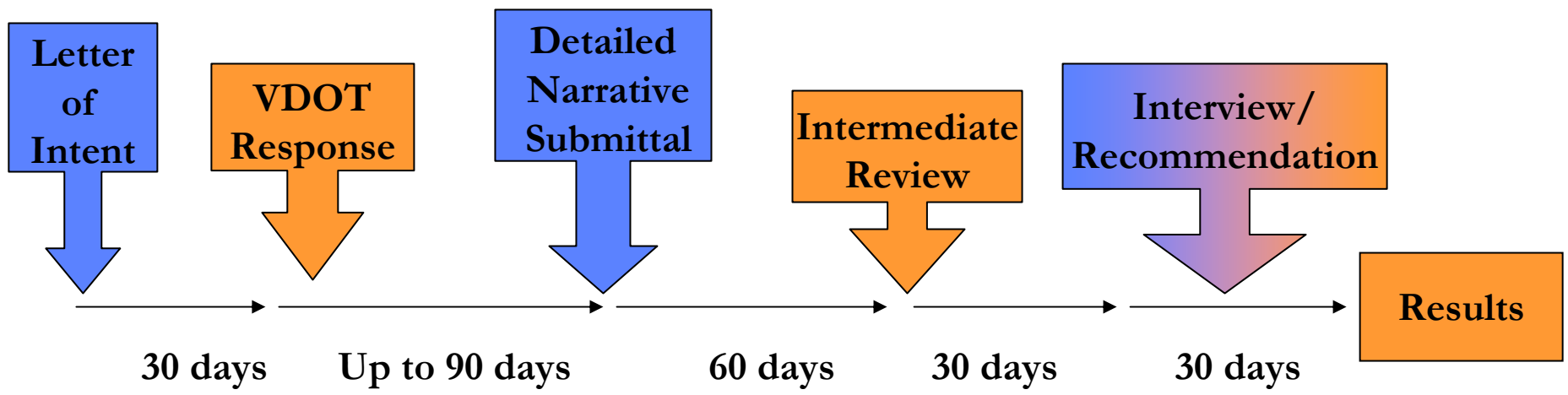
# Certification Evaluation/Response

- VDOT Evaluation Panel
- 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

# Presentation-Interview/Results

- 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

# Certification Timeline



**VDOT**      **Locality**

## Key Points for Eligibility & Evaluation

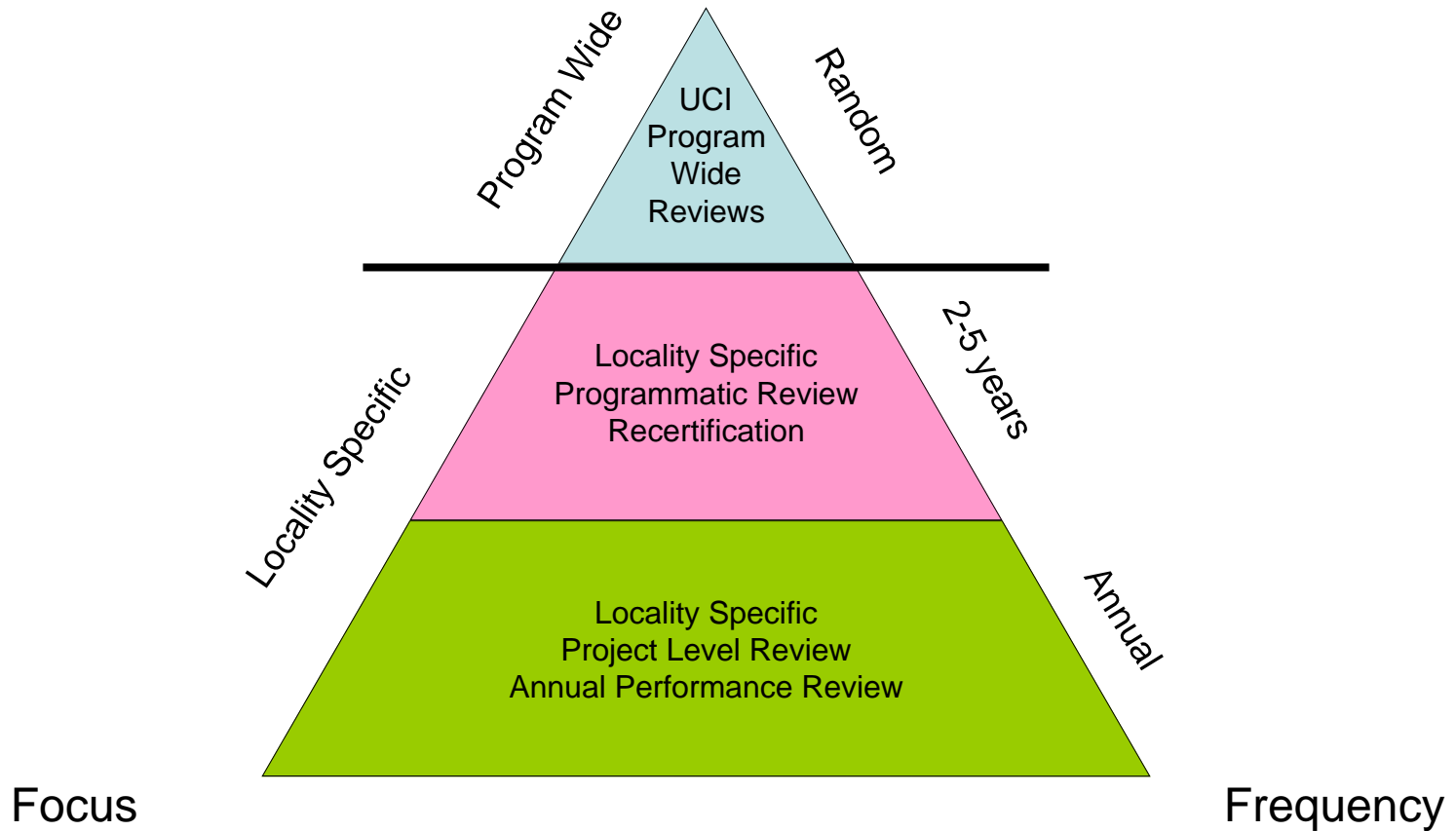
- Certification may not be for everyone—localities need to weigh the risks and the benefits
- Certification lies with locality, NOT individuals
- Certification does not mean you are “on your own”

# Compliance

## **An integral component of the Certification process**

It ensures that FHWA and VDOT requirements are continually met and that the locality is given the necessary feedback to improve

# UCI Certified Compliance



# Project Level Review

- Annual Performance Review
- 1 project minimum, 3 maximum depending on localities program size
- Focus will be on activities that have occurred after “certification”
- Projects will be selected by LAD with input from District

## Re-Certification

- Programmatic review focused on all key areas of the locality's program management and project delivery processes
- 2 years after initial certification
- Every 5 years thereafter
- Will consider results of annual project level reviews in outcome



# Program Wide Review

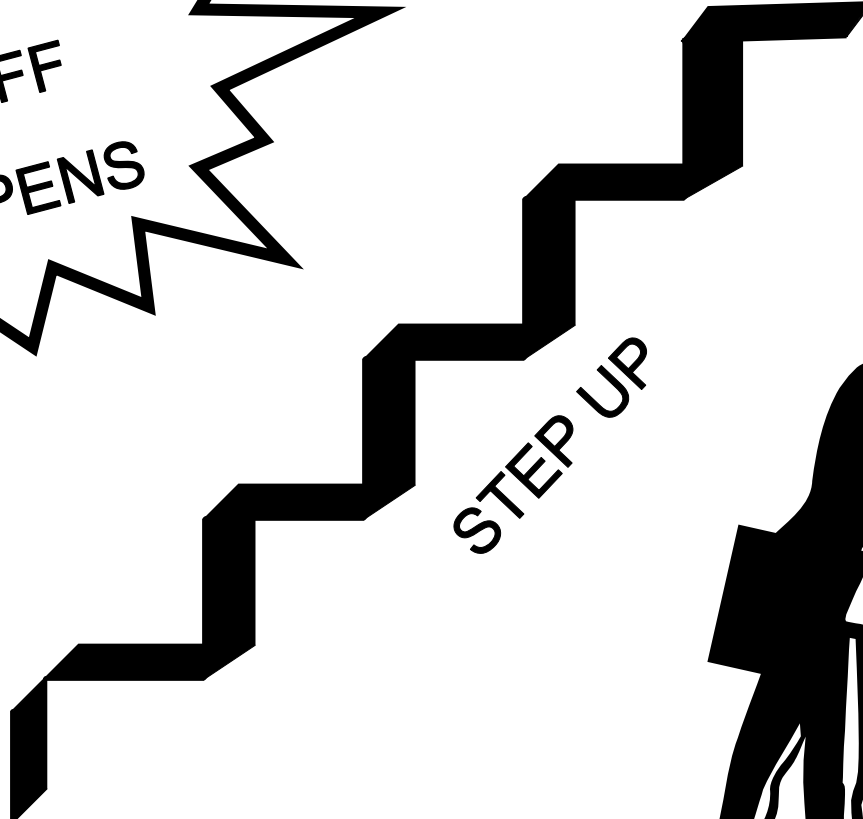
- Random intervals
- Entire program check
- Arbitrary spot checks
- Similar to FHWA Process Reviews

## Resolution of Findings

- Constructive Resolution Process
- Outcome based
- Resolved at lowest possible level
- Work positively together



STUFF  
HAPPENS



STEP UP



DEAL WITH IT  
TOGETHER



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