

LOCAL AGENCY REEVALUATION TASK FORCE

Meeting Minutes

Thursday, October 21, 2010

8:30am CDOT Videoconference Facilities/Teleconference

The following Videoconference Rooms were used:

ConfRoom-Video HQ-Room 159, ConfRoom-Video R2-Colorado Springs, ConfRoom-Video R3-Room 308, ConfRoom-Video R4-Platte, ConfRoom-Video R5-NCR

Attendees: Scott Brace, Joanne Fagan, Tim Frazier, Pete Graham, Randy Jensen, Brian Killian, Neil Lacey, Dave Loseman, Justin Stone, Karen Sullivan, Tim Tuttle, David Valentinelli, Jeff Wassenaar

WELCOME AND INTRODUCTIONS – Neil Lacey, CDOT Project Development

1. **Comments/Revisions to Sept 29th Meeting Notes** – Justin Stone will be added to the list of attendees and then the minutes will be posted to the website.

2. **Progress Update from Last Meeting Action Items**

- **Information from other states for “Certification and Acceptance” Program** – Still waiting on info, including resource levels, from other states. A survey was sent out and we are waiting for responses that are due on October 22. **Action Item: Neil will summarize and distribute to the group.**



Questionnaire for
Certification and Acc

- **Flow Charts of Project process from other states** – Nothing to report – on hold until the Tiered System discussions settle out.
- **Follow up with CDOT Regions for strategies for Mtn Communities** – Calls are in to DOLA and GOCO; we're still waiting to hear back. Need to know Region's thoughts on possible adjustments that can be made to process. Neil suggested regions fast-tracking the projects for mountain communities through the specialty unit reviews, i.e., jumping ahead in the queue. Brian meets with LA's in advance of new fiscal year to get a jump start on mountain projects, which he perceives as a year behind at the start. A pre-application meeting &/or checklist can go a long way in educating applicants about the process and setting reasonable expectations for the mountain communities. Brian also said LA's have video-taped project site during good weather so that CDOT Environmental can get a start on clearances. Karen is looking into LA's pre-purchasing long lead time materials in advance of construction contract award; documentation requirements would be similar to those outlined in the Stockpile Materials specification. Group asked if reimbursement for pre-purchased items could be made with just the outline agreement executed. Jeff stated that no money is encumbered with an outline agreement and it is against CDOT policy and state and federal rules to make payment at this point. Several Task Force members mentioned that there used to be a contract template to allow Feds to allow construction to start before money is in the phase. **Action Item: David V. & Neil to follow-up and see how this was done in past.**
- **Policy Memo #23 discussion with CDOT Mgmt** – Neil has a meeting scheduled to discuss this with management. **Action Item: Neil will update group at next meeting.**
- **Moving ahead with Local Agency webpage concept** – Neil met with Frank Kinder and Louis Avgeris on 10/15 to discuss the LA webpage. Several Task Force members joined the group by teleconference. Several comments were voiced that the new CDOT website format was more difficult to use and less user friendly. It was explained that CDOT, in a cost saving effort, had recently moved to less expensive software which has reduced functionality. Louis indicated that there were a few work-arounds that he might try to use but that the software limited the options. Louis and Frank will continue to work on the LA webpage. **Action Item: Neil will update the group at the next meeting.**
- **Update of Consultant Contract Hiring Clarifications** – Neil is waiting on info from the AG's office.
- **Phase 2 of the CDOT Contracting Improvement Initiative** – Neil is meeting with Project Manager Tammy Lang and consultant Treya on October 26, 1:30-2:30, in the

Commission conference room at HQ. Local Agency coordinators and Local Agencies reps are welcome to attend. The summary of the IGA and contracting issues raised during the 18 statewide meetings and Tim Tuttle's e-mail regarding concerns with option letters have been forwarded to Tammy and Treya. **Action Item: If any other contracting issues need to be addressed get them to Neil ASAP.**

3. Reports from Task Force Groups

- **Tiered System – Brian Killian and Neil Lacey** - Brian indicated that after discussion with Neil and the R3 group that it seems that the tiered system really doesn't reduce the number of steps in the process because of all the Federal requirements. Brian said he wasn't giving up on the approach just yet and was currently looking at the Washington state Certification and Acceptance program. Neil said he was concerned with the number of resources needed for Certification and Acceptance, especially in this economy, but that could be a long term vision for CDOT. He noted that the Fed's appear to be moving toward a risk-based approach for oversight and assumed that could be applied to the LA program as well.
- **Pre-application Document/Checklist – David Valentinelli** – David V. reported that he had only received one comment to date. **Action Item: Group to send comments to David V. Neil to forward draft checklist to Randy.**
- **Swapping Federal Funds with State Funds (Other States) – Scott Brace** - Scott had followed up on several issues: states doing the swapping limited money to surface transportation dollars and/or projects off state ROW. Some of the other states didn't care where in the state swapped funds were used. One state did a quarterly review on swapped projects and also checked their PS&E package. Caltrans appeared to be doing a dollar for dollar swap. R2 was thinking they would want to use on an off-systems project as a pilot.

Chapter 18 of the Local Assistance Program Guidelines (see link below) explains the exchange program in California.

<http://www.dot.ca.gov/hq/LocalPrograms/lam/lapg.htm>

4. New Items:

- **Risk based approach for construction – can this also apply to preconstruction?**
Neil sent out the Virginia Risk Assessment document with this agenda. He wants regions and group to provide input on if they think a similar approach would work here, both from the pre-construction and the construction sides. Dave L. thought the Virginia model was a good one. Karen noted that discussions during the QAR indicated that the regions were already allocating staff and time based on informal risk assessments. Neil pointed out that follow up monitoring will be necessary. Randy stated monitoring could be similar to how FHWA created the ARRA review teams and Program Review Teams to sample projects/programs. Scoring system on review could be tied to risk approach. **Action Item: Group to review and comment on the Virginia risk assessment, both from the preconstruction and construction sides and how we could use it by 11/3. Send comments to Neil.**



VDOTCNOversightGuide_Final_20807.pdf

- **FASTER Program has Transit Money -** Neil met with Tom Mauser of DTD on 10/20 and was informed that the FASTER program will be providing \$10 million/year for multimodal projects and \$5 million/year for local transit projects. These are state funds to be used for capital improvements. Tom has a document which was provided to the RTDs indicating the Local Agency Coordinators will be administering these projects. Several region coordinators had heard about this money, most had not. **Action Item: Neil will forward the documents from Tom Mauser to the group.**

- **Review of what we are currently working on:**
 - Pre-Application Checklist – soliciting input on content (David V.)
 - Award Concurrence – follow up with Richard Ott (Neil)
 - Certification and Acceptance – survey, region input on vision for CDOT
 - Change Orders – working on education piece (Karen)
 - Policy Memo #23 and other Policy Memos – working on applicability and possible waivers (23) (Neil)
 - Risk Based approach – evaluating for both pre-construction and construction
 - Consultant contracts – developing a checklist for the regions, soliciting AG's input on on-call process (Neil)
 - DB Wages – incorporating in Pre-Application checklist, 280 info submitted on a monthly basis?
 - FIPI – discuss at next meeting (Shaun/FHWA)
 - Forms – need to review which need to be revised
 - Furnish Material - process similar to stockpile for payment (Karen)
 - Consultant contracts and IGA's – Tapping into existing Treya effort
 - Tiered System – evaluating advantages/disadvantages (Brian, Neil)
 - Mountain Communities – looking into GOCO and DOLA strategies
 - Project Tracking – tap into SAP
 - Reimbursement – checking on cancelled check process
 - ROW – LA's can follow own process for ROW issues not impacting CDOT ROW
 - Spec Reviews –develop training, **Action Item: Tim Frazier said he wasn't hearing back re: spec approval on several projects with aggressive schedules. Neil will follow up with Larry Brinck on status.**
 - Staff & Resources – Tim Tuttle provided analysis for Region 4, waiting to hear from other regions
 - Training – tie current classes into webpage links & post Powerpoints from same
 - Warranties – addressed by Design/Construction Bulletin

- **Action Item: Task Force Member Input – What is yet to get started/missing?**

5. **Next Meeting – Thursday, November 18, 2010** FHWA will discuss FIPIs.

ADJOURN: 10:05 a.m.