

LPA Strategic Vision Team

Team Recommendations

October 6, 2011

Table of Contents

List of Acronyms	3
Executive Summary	4
Background	6
Partners.....	7
Team Research.....	7
Recommendation 1: Adopt LPA Strategic Vision	8
Recommendation 2: Develop Certification Program	9
Recommendation 3: Develop Training Program.....	12
Recommendation 4: LPA Manual Improvements.....	14
Recommendation 5: Program and Project Management Tools.....	16
Recommendation 6: Continuous Improvement.....	18
Performance Measurement Tools	20
Communication Plan.....	22
Action Plan.....	24
Appendix	
A – Team Charter.....	25
B – Best Practices	26
C – LAPIT Presentation.....	27
D – Draft LPA Checklist	28
E – Draft LPA Final PS&E Checklist	29

List of Acronyms

ACEC	American Council of Engineering Companies
APWA	American Public Works Association
BRM	City Bridges
BRO	Off System Bridge (County Bridges)
CMAQ	Congestion Mitigation Air Quality Program
DOT	Department of Transportation
ECR	External Civil Rights
EPG	Engineering Policy Guide
FACS	Federal Aid Computer System
FHWA	Federal Highway Administration
FY	Fiscal Year
FTA	Federal Transit Administration
GEC	General Engineering Contractor/ Consultant
LAPIT	Local Agency Program Information Tool (Florida DOT)
LPA	Local Public Agency
LTAP	Local Technical Assistance Program
MACTO	Missouri Association of County Transportation Officials
MINK	Missouri/Iowa/Kansas Transportation Officials
MPO	Metropolitan Planning Organization
NEPA	National Environmental Policy Act
NHI	National Highway Institute
OIG	Office of Inspector General
PIE	Partnering for Innovative Efficiencies
PRC	Person of Responsible Charge
PS&E	Plans, Specifications and Estimates
QBS	Qualification Based Selection
RPC	Regional Planning Commission
SIMS	Statewide Information Management System
SRTS	Safe Routes to School Program
STP	Surface Transportation Program
SVT	Strategic Vision Team
TCSP	Transportation Community and System Preservation
TE	Transportation Enhancement
TEAM	Transportation Engineers Association of Missouri
TMA	Transportation Management Agency
TMS	Transportation Management System

Executive Summary

The Missouri Department of Transportation (MoDOT) formed a Local Public Agency (LPA) Strategic Vision Team (SVT or the Team) to develop a statewide vision for Missouri's local program. Using feedback received from the Statewide and District Partnering for Innovative Efficiencies (PIE) meetings and Tracker survey results for LPA partners, the desired outcomes for the Team were identified:

- Define the statewide vision for a successful LPA program;
- Research and investigate best practices to incorporate into the LPA program;
- Define steps needed to implement this vision and incorporate best practices identified;
- Develop measurement tools to ensure the vision and best practices are implemented statewide; and
- Continuous improvement for the LPA program.

Participants included representatives from local agencies, metropolitan planning organizations (MPO), consultants, and MoDOT staff. After much research and discussion, the Team prepared a vision statement to provide direction to the LPA Program.

LPA Vision Statement

Missouri's Local Program serves as the national model for effectively and efficiently delivering great transportation projects through excellent customer service.

The team also identified specific tangible results that represent what customers expect from Missouri's local program, including some of MoDOT's tangible results. The following outcomes are the results our customers will see as MoDOT, FHWA and their local partners fulfill the LPA vision.

Tangible Results

- *Fast Projects of Great Value*
- *Compliance with Federal Laws and Regulations*
- *Efficient Expenditure of Federal Funding*
- *Consistent Knowledge of the Federal-Aid Requirements*
- *Partner Involvement in Missouri's Local Program Decision-Making*
- *Efficient Oversight of Local Projects*
- *Outstanding Customer Service*
- *Innovative Transportation Solutions*
- *No Loss of Federal-Aid Funds*

The Team prepared an action plan (Page 24) that includes adopting the vision statement and implementing five strategies to accomplish the tangible results of Missouri Local Program.

- Adopt LPA Strategic Vision
- Develop Certification Program
- Develop Training Program
- LPA Manual Improvements
- Program and Project Management Tools
- Continuous Improvement

Adopting the LPA Strategic Vision and implementing the recommendations will help MoDOT, local agencies, and our partners successfully deliver local transportation projects in compliance with federal laws and regulations. A successful LPA program has the following outcomes:

- Projects delivered on time and within budget
- Improved communication with partners
- Educated LPA partners
- Streamlined oversight
- Improved customer satisfaction

Background

The Missouri Department of Transportation (MoDOT) conducted a partnering (Partnering for Innovative Efficiencies, or PIE) meeting on the topic of the Local Public Agency Program (LPA) in November 2010. Approximately 30 local agencies, consultants, and associated MoDOT staff participated in the daylong meeting focused on improving processes to effectively administer and deliver local federal-aid projects.

After a review of the LPA Program, the feedback received from Statewide and District PIE meetings, Tracker survey results, and the Districts' LPA action plans, MoDOT decided to form a "LPA Strategic Vision Team" (SVT or the Team.) The Team's purpose is to develop a direction, implementation strategies and measurement tools to help all LPAs, MoDOT, and MoDOT partners effectively deliver Federal-Aid Transportation projects.

The Team consisted of representatives from local agencies, metropolitan planning originations (MPO), consultants, the Federal Highway Administration (FHWA) and MoDOT staff familiar with the LPA Program. The Team was charged with defining desirable outcomes that would:

- Define the statewide vision for the LPA Program;
- Research and investigate best practices to incorporate into the LPA Program;
- Define steps needed to implement this vision and incorporate best practices identified;
- Develop measurement tools to ensure the vision and best practices are implemented statewide; and
- Development of a continuous improvement process for the LPA Program.

The Team met weekly from August 8, 2011 until its final presentation and report to MoDOT's and FHWA's senior management on October 6, 2011.

LPA programs administered at Federal Highway (FHWA) Level

- STP – Large Urban
- STP – Small Urban
- STP – Transportation Enhancements (TE)
- BRO (County Bridges)
- BRM (City Bridges)
- CMAQ (Congestion Mitigation Air Quality Program)
- SRTS (Safe Routes to School Program)
- Special Programs selected at Federal Level such as:
 - Scenic Byways
 - Earmarks
 - TCSP (Transportation Community and System Preservation)

Partners

The LPA Program mainly consists of a partnership between MoDOT, FHWA and local project sponsors. However, this partnership encompasses many others that impact the program's success. Examples of partners include:

- Cities
- Counties
- MPOs and Regional Planning Commissions
- Non-Profit Organizations
- Port Authority
- Transit Authorities
- School Districts
- Law Enforcement
- Park Districts
- Universities
- Consultants
- Contractors
- Special Road Districts
- Taxing Authorities (Transportation Development Districts, Transportation Commissions, etc.)
- Non-Engineering Professionals
- Architects
- Utilities
- Railroad Companies
- Environmental Agencies
- Other State and Federal Agencies (FTA, etc.)
- Elected Officials
- Media

Team Research

The Team reviewed over 50 publications (from across the country) from a variety of national agencies including FHWA, the National Highway Institute as well as from many state departments of transportation (DOT) to glean best practice ideas on LPA program delivery. Consulting engineering organizations from all 50 states were surveyed for their input on good LPA programs. Team members representing two large MPOs reviewed and shared their own processes for identifying, evaluating, funding and monitoring LPA projects. It is also important to note that the Team carefully considered the action plans resulting from the Statewide and District PIE meetings.

From this comprehensive research, the Team identified two states with exemplary project management and delivery processes. In particular, Team members reviewed then later engaged in a live discussion with representatives of Florida DOT's web-based Local Agency Program Information Tool (LAPIT). Finally, the Team reviewed MoDOT's current LPA program to find opportunities for improvement from the extensive research that was conducted.

Recommendation 1: Adopt LPA Strategic Vision

Missouri's Local Program serves as the national model for effectively and efficiently delivering great transportation projects through excellent customer service.

The Team reviewed each part of this statement to come up with definitions:

- **Missouri's** – statewide, includes all eligible (qualified to do the work) partners and customers
- **Local Program** – includes all federal aid programs for local public agency projects (non-MoDOT)
- **serves as** – benchmark, recognized nationally for best practices; asked to serve on peer reviews
- **the national model** – national benchmark, confirmed by national program reviews; peer envy
- **for effectively and** – efficient resource management; knowledge and understanding of federal compliance; fulfilling a purpose or need; value
- **efficiently** – finding the right balance between schedule, cost and quality
- **delivering** – using the available funds to complete the project
- **great transportation projects** – based on personal perspective*
- **through excellent customer service** – customers defined as Missouri's citizens and local public agencies; service provided by MoDOT and their transportation partners thorough: knowledge and understanding of the requirements, responsiveness, adding value, trying to find a solution that meets customer needs and federal-aid requirements

* The LPA Strategic Vision Team did not define “great transportation projects”. However, the following items were discussed as elements of great transportation projects: on time, on budget, right solution for the need, practical, beneficial, meeting priority areas in long range plan, right process, right project, successful, innovative, sustainable, exceeds MoDOT's tangible results, exudes pride in community, stands above when compared against projects of similar size and scope, delivering needs of local community and getting positive comments from the people served, meeting all rules and regulations, delivering extra value, highest need, passes the positive media test, civic, industry or national recognition, right solution that fixes a problem, etc.

Recommendation 2: Develop Certification Program

Form a team to develop a certification program that will empower local public agencies in the administration of federal-aid projects and allow more efficient levels of oversight. The certification program will be approved by MoDOT and FHWA with eventual inclusion in the Engineering Policy Guide (EPG.)

Implementation Steps

- Definition of Certification Program:
 - The certification program will provide a method for MoDOT and FHWA to document and verify the knowledge and experience that program participants have with federal and MoDOT LPA program requirements.
 - Projects administered by program participants with higher levels of certification will allow for a reduction in the amount of project oversight required.
 - Program participants who need and desire to be certified include: Project sponsors/LPA staff, MoDOT staff and consultants:
 - Certifications shall be provided to specific individuals not their organizations (cities, counties, consulting firms, etc.). Individual certifications will be based on their qualifications.
 - *Responsible Person in Charge* shall be certified as a prerequisite to receiving federal funds.
 - The Team will need to define the difference between certification of consultants and the development of a pre-qualified list of consultants. They are not the same thing.
- Develop a tiered certification process that allows for increased levels of certification that result in a decrease in the amount of oversight provided by MoDOT and FHWA based on that level of certification:
 - The certification program should allow for separate certifications in individual project phases. The team shall identify the appropriate project phases for certification. Recommended phases include: Consultant Selection. Environmental; plans, specifications and estimate (PS&E); Studies/other. Bidding/Award; and Construction/Contract Administration.
 - Identify various levels of certification:
 - Define certification levels: Tier 1 – Beginner; Tier 2 – Practiced; and Tier 3 – Proficient, etc.
 - Define responsibilities for program participants (project sponsors, consultants, etc.) and the type of oversight provided by MoDOT and FHWA based on the various levels defined by the team
 - Determine basic level of certification required to be eligible to administer federal aid projects. Require this level of certification for the *Responsible Person in Charge* of the project as a minimum with the goal that additional staff be certified. Local public agencies that do not meet the minimum certification requirements must have a certified co-sponsor (MoDOT, MPO, RPC, etc.) that administers the federal-aid project.

- Allow for program participants certified at lower levels to include a project co-sponsor with a higher level certification to assist them with project delivery. Establish a mentor/trainee program that provides the practical experience required for program participants to increase their level of certification.
- Identify requirements for compliance and continued re-certification :
 - Determine frequency for re-certification (number of years)
 - Determine requirements necessary to meet re-certification and compliance certification
 - Establish continuing education requirements and/or amount of program participation required to maintain various levels of certification
 - Determine situations/conditions that would result in de-certification
 - Determine if an appeals process is necessary, and if so, determine the process
- Develop forms/agreements with signatures that formalize the understanding of obligation and expectations for meeting the requirements of the federal-aid process (MoDOT, local agencies, consultants, etc.) This could be a pledge signed by the program participant that acknowledges the responsibilities that are expected for the level of certification and the consequences for non-compliance.
- Develop evaluations of the project participant's performance and compliance with federal-aid requirements at the conclusion of projects. The results of the evaluation (positive or negative) will be a factor in maintaining the current level of certification or re-certification.
- Develop tests and/or interviews to determine knowledge of federal-aid process and prepare certificate of completion
- Develop tracking system - certification database:
 - Track certification status of staff, local agencies, consultants
 - Certification database
 - LTAP may track this
- Document process
- Obtain FHWA approval of the certification process
- Develop training necessary to be certified (see Training Recommendation):
 - Web based training and non-web courses – develop training curriculum
 - Continuing education requirements
 - Establish a mentor/trainee program to gain practical program experience

Benefits/Issues

- Benefits:
 - Empower LPA's to administer federal-aid projects
 - More educated and trained project sponsors, consultants, staff
 - Reduce risk of funds loss due to lack of knowledge and errors
 - More efficient use of MoDOT staff based on levels of oversight
- Issues:
 - Availability of classes/opportunities for certification
 - Sponsor and employee turnover
 - LPAs – What are the benefits if our organization goes through this?
 - MoDOT Resources to assist/sponsor LPAs that do not qualify for administering federal-aid projects – smaller communities might not have staff to be certified.
 - Resources/Cost to develop, implement and maintain – MoDOT, LPAs, consultants.
 - Complexity of managing the levels and phases

Timeline

- Process defined, training developed, ready to certify – March 1, 2012.
- Project sponsors certified at basic level in order to administer federal-aid projects for FY2013 – Sept. 30, 2012.
- FHWA training available for basic level certification – Spring 2012 (1st Training at TEAM conference on March 14, 2012 – 60 people to possibly train). Additional basic level training available throughout the state for remaining LPA's.

Resources

- Certification administrator – coordinating training, tracking certification status, final decisions regarding certification status.
- Trainers, proctors for exams
- Training materials

What does success look like?

- Projects are delivered quickly and efficiently because of the time savings from reduced MoDOT reviews. The project sponsor is empowered with control and responsibility for project delivery.
- Over 50% of project sponsors are certified above the basic level (Tier 1.) Certification tiers above the basic Tier 1 will be used to help determine the oversight and assistance generally required for those local sponsor's projects.
- 100% of all LPAs administering federal-aid projects have a *Responsible Person in Charge* that has obtained at least the basic level of certification.
- MoDOT and FHWA reviews result in minimal non-compliance issues or any loss of federal funds.

Recommendation 3: Develop Training Program

Form a working group to develop a comprehensive training program for MoDOT staff, project sponsors and local partners, to provide consistent knowledge of the federal-aid requirements to ensure local public agencies successfully deliver federal-aid projects.

Implementation Strategies

- Establish statewide training development team which includes LTAP, MPO/RPC, District LPA Staff, small and large sponsor, FHWA, Central Office Staff, and Consultant.
- Establish Statewide Training Sub Teams for each phase (i.e. NEPA, Right of Way, etc.)
- Define phases of training (Basic Federal Aid Administration, Consultant. Selection, Planning/Design, Environmental (NEPA), Right of Way, Contract Administration, Construction Oversight.)
- Determine length of training
- Determine timing of training
- Determine how partners will be trained (online, web based, workshop, etc.)
- Determine if partners will be tested
- Cost effective training

Implementation Steps

- Select Training Teams for each phase (see above)
- Determine training resources (NHI, FHWA, LTAP, MoDOT, etc)
- Develop training curriculum
- Develop annual training timeline/schedule:
 - Basic Federal Aid Administration - March
 - Funding/Project Selection – March
 - Consultant Selection – April
 - Planning/Design – May
 - Environmental (NEPA) – June
 - Right of Way – July
 - Contract Administration – August
 - Construction Oversight – January/February
 - Define retraining requirements
 - Develop marketing material
 - Develop training evaluation form
- Implementation:
 - Begin training cycle by February 2012
 - Schedule training around program funding
 - Determine locations for training
 - Advertise Training
 - Training for Districts, Local Agencies, Consultants
 - Post Training Evaluation

Roles and Responsibilities

- MoDOT:
 - Lead training teams
 - Deliver communication plan
 - Approve training curriculum and testing
 - Develop training schedule
 - Get trained
- FHWA:
 - Provide training modules
 - Approve training curriculum
- MPO/RPC:
 - Participate in training teams
 - Provide training resources
 - Assist in communication
 - Get trained
- Consultants:
 - Participate in training teams
 - Provide training resources
 - Assist in communication
 - Get Trained
- Local Agencies:
 - Participate in training teams
 - Provide feedback on training program
 - Get trained

Benefits/Issues

- Benefits:
 - Compliance with federal laws and regulations
 - Education of local project sponsors and consultants on the federal laws & regulations
 - Future Certification Potential – empowered sponsors leads to more efficient oversight
 - Consistency Statewide
 - Clearer direction from MoDOT
- Issue:
 - Resources

What does success look like?

- Well trained and versatile (ability to interchange or substitute) sub team members
- High quality and successful projects
- Increase in the number of eligible program participants
- Options for receiving training

Recommendation 4: LPA Manual Improvements

Form two teams (LPA Manual Section Update Team and Statewide LPA Manual Advisory Team) for continuous improvement of the LPA Manual to serve as an efficient and effective tool for all LPAs, MoDOT, and partners to successfully deliver Federal-Aid projects.

Implementation Strategies

- LPA Manual Section Update Team (initial manual re-write team) to re-write each section of the manual.
- Statewide LPA Manual Advisory Team to implement continuous improvement and ensure compliance with other sections of the EPG, Federal laws & regulations, etc. (Manual updates in EPG two times per year)
- Continuation of updates
- Bulletins as needed
- Develop user-friendly version of on-line LPA Manual (wiki format)

Implementation Steps

- Statewide LPA Manual Advisory Team to identify format and layout template for each section.
- Identify and assemble LPA Section Update Teams
- Rewrite each section using national best practices – each section team should be comprised of both internal and external MoDOT who are specialized, e.g. right of way, environmental, design.
- Best Practices to be implemented in LPA Manual update:
 - New format – provide consistent format with easy navigation
 - Flowchart with direct links to specific sections and figures, define roles and responsibilities
 - Continue use of hot links within manual
 - Guide Book
 - Develop sample documents and forms
 - Bulletin - internal and external notification
 - Provide optional hard copy version of LPA Manual.
 - On-line suggestions/feedback
 - NEPA information – focus on an easy to follow guide for NEPA process.
- Add Non-Infrastructure Section – create or draft new section
- Add Certification Section – create or draft new section
- Statewide LPA Manual Advisory Team to update manual two times per year after initial re-write of the manual.

Roles and Responsibilities

- MoDOT:
 - Take team comments and re-write each manual section
 - Serve on LPA Manual Section Update Teams
 - Serve on Statewide LPA Manual Advisory Team

- FHWA:
 - Serve on Statewide LPA Manual Advisory Team
 - Serve on LPA Manual Section Update Teams
- MPO/RPC:
 - Serve on LPA Manual Section Update Teams
 - Serve on Statewide LPA Manual Advisory Team
- Consultants:
 - Serve on LPA Manual Section Update Teams
 - Serve on Statewide LPA Manual Advisory Team
- Local Agencies:
 - Serve on LPA Manual Section Update Teams
 - Serve on Statewide LPA Manual Advisory Team

Benefits/Issues

- Benefits:
 - Consistency throughout MoDOT Statewide
 - Easy to follow manual to aid in compliance with federal guidelines.
 - Clear direction from MoDOT
- Issues:
 - Tight timeframe
 - MoDOT limited resources

Timeline

- Identify Teams – November 1, 2011 (Jerica Holtsclaw)
- Completion – March 1, 2012

What does success look like?

- National model for LPA program administration
- User friendly manual to create less oversight and review by enabling the LPA/consultants to better understand the federal guidelines
- Efficient tool for LPA partners to successfully deliver transportation projects
- Manual will serve as a training resource
- Provide a consistent LPA Program statewide

Recommendation 5: Program and Project Management Tools

Form a team to develop program and project management tools, including a web-based system to ensure federal-aid projects are delivered on time and within budget.

Implementation Strategies

- Identify internal and external team members
- Identify existing resources (LAPIT, FACS, SIMS, etc)
- Create a user friendly web-based tool for tracking the local program
- Available for use by all LPA partners
- Develop training and communication plan

Implementation Steps

- Establish software platform for baseline tool
- Define specific reporting needs:
 - Track program balances (BRO, STP, etc.)
 - Manage project budget
 - Manage project schedule (project milestones)
 - Enables electronic monitoring and oversight of projects
 - File storage and management tied to tool
 - Documentation of project monitoring
- Identify team members (internal and external):
 - FHWA
 - MoDOT (Central Office and district)
 - Large and Small Local Agencies
 - MPO and RPC
 - Consultants
- Identify compatibility with other systems:
 - FMIS (FHWA)
 - SAMII
 - TMS (bridge, functional class)
 - FACS
 - MPO programs
 - ECR programs
 - Trns.port (SiteManager, Pre-construction, etc.)
- Identify structure of program:
 - Funding distribution by type
 - Project solicitation and selection
 - Funding agreement
 - Obligation of funds
 - Preliminary engineering
 - Advertise for bids
 - Construction
 - Project closed out
 - Audits
 - System generated emails

- Define access for all LPA partners

Roles and Responsibilities

- MoDOT:
 - Identify financing source
 - Lead software development
 - Develop and provide training
 - Develop and lead communication plan
- FHWA:
 - Identify financing source
 - Feedback on tool
 - Market to other DOT's
- Local Agencies:
 - Use the system (required)
 - Provide feedback on improvements
- Consultants/MPO/RPC:
 - Assist local agencies in using system
 - Assist in training local agencies

Benefits/Issues

- Benefits:
 - Faster project schedules
 - Efficient expenditure of federal funds
 - Improved communication with local partners
 - Open and transparent local program
- Issues:
 - Cost
 - Participation by small or rural agencies
 - Data entry
 - System compatibility

What does success look like?

- One-stop shop for local program delivery
- Successful audits (FHWA and MoDOT)
- Reduce project delivery time
- Projects that are on time and within budget
- Transparent process
- Improved communication
- Improved document management
- Improved statewide consistency

Recommendation 6: Continuous Improvement

Continuous Improvement for the LPA Program

Implementation Steps

- Form a Statewide LPA Advisory Team:
 - Who - consultants, contractors, LPA, MoDOT, FHWA
 - What:
 - Guidance for future improvements to LPA program, manual, training, communication
 - Develop benchmarks and performance measures
 - Develop communication plan (use Community Relations staff to help develop):
 - On-line project reporting
 - On-line feedback
 - Define what information needs to be communicated, to who, how and how often
 - Website
 - Distribution lists
 - Newsletters
 - Contact database
 - Media stories, news releases
 - Develop surveys, forms, to collect data could include site visits, interviews
 - Tracker measures
 - Creating an award/recognition program:
 - Identify program rules (similar to Practical Design Awards)
 - Determine award
 - Determine schedule for awards/recognition
 - Determine best place/time to present awards
 - Communicate to media, LPAs, etc solicitation for projects and awards
 - Identify areas for improvement:
 - Update/coordinate scoring criteria for project selection
 - Guidance to locals for completing projects
 - Research and share best practices – statewide, nationwide:
 - Develop listserv of other states that are determined to be best in LPA
 - Communicate, share, ask questions regarding what others are doing
 - Share best practices in LPA manual/website
 - Cross training for MoDOT:
 - Between districts and/or Central Office
 - Training for those wanting exposure to LPA program
 - Why - continuous evaluation of LPA Program (process and project performance) (effective, efficient, customer service)

Roles and Responsibilities

- MoDOT:
 - Identify Statewide LPA Advisory Team Members
 - Serve on Statewide LPA Advisory Team
- FHWA/LPA/consultant:
 - Serve on Statewide LPA Advisory Team

Benefits

- Keep moving the program forward to be best in the nation
- Better relationships between MoDOT, LPAs and their partners
- Keeping partners engaged and involved
- Communicating effectively and timely

Timeline

- Benchmarks/performance measures – January 2012
- Statewide LPA Advisory Team – November 1, 2011
- Communication Plan – January 1, 2012
- Award/Recognition Program – September 2012

What does success look like?

- Empowered local public agencies
- Best in the nation
- Asked to be on Peer reviews
- Positive media
- Minimum input from FHWA needed

Performance Measurement Tools

The Missouri Department of Transportation formed a Local Public Agency (LPA) Strategic Vision Team (the Team) to develop a statewide vision for the LPA program. Using feedback received from Statewide and District Partnering for Innovative Efficiencies (PIE) meetings, and Tracker survey results for LPA partners, the desired outcomes for the Team were identified.

One of the desired outcomes for the Team was to develop measurement tools to ensure the vision and best practices are implemented statewide. The measurement tools for each recommendation are listed below:

Develop Certification Program

- Number of certified LPA, MoDOT, MPO, RPC and consultant personnel
- Compliance percentage in MoDOT/FHWA/OIG process reviews
 - Compliance percentage on quarterly FHWA billing reviews
- Project delivery time:
 - Program to Award
 - Project completion (actual completion vs. contract completion date/days)
 - Project closeout
- Customer satisfaction survey results (Tracker 6a)

Develop Training Program

- Number of training courses provided (by any partner)
- Number of LPA, MoDOT, MPO, RPC and consultant personnel trained
- Number of attendees per training event (web-based, in person, etc.)
- Compliance percentage in MoDOT/FHWA/OIG process reviews
 - Compliance percentage on quarterly FHWA billing reviews
- Number of trained trainers (Design Tracker)
- Training evaluation ratings (Design Tracker)

LPA Manual Improvements

- Compliance percentage in MoDOT/FHWA/OIG process reviews:
 - Compliance percentage on quarterly FHWA billing reviews
- Customer satisfaction survey results (Tracker 6a)
- Number of LPA Manual (EPG) visits (Design Tracker)
- Number of LPA Manual updates based on customer feedback (Design Tracker)

Program and Project Management Tools

- Project delivery time:
 - Program to Award
 - Project completion (actual completion vs. contract completion date/days)
 - Project closeout
- Obligation rate for local federal funds
- Expense rate for local federal funds
- Compliance percentage in MoDOT/FHWA/OIG process reviews
- Customer satisfaction survey results (Tracker 6a)
- Number of bidders per project (Design Tracker)
- Number of consultant applications per solicitation (Design Tracker)
- Oversight review timeframes (Design Tracker)

Continuous Improvement

- Customer satisfaction survey results (Tracker 6a)
- Number of positive references to MoDOT LPA program in national reviews
- Number of MoDOT LPA website visits (Design Tracker)
- Number of LPA public presentations, trainings and media contacts (Design Tracker)

Adopting the LPA Strategic Vision and measuring the success of these recommendations will help MoDOT, local agencies, and our partners successfully deliver local federal-aid transportation projects.

Communication Plan

The Missouri Department of Transportation formed a Local Public Agency (LPA) Strategic Vision Team to develop a statewide vision for the LPA program. Using feedback received from Statewide and District Partnering for Innovative Efficiencies (PIE) meetings and Tracker survey results for LPA partners, the desired outcomes for the team were identified.

One of the desired outcomes for the Team is to define a statewide vision to ensure a consistent direction for Missouri's local program. To meet this desired outcome we have developed the following communication plan:

Develop Strategic Vision Marketing Plan

- Create two page handout summarizing Strategic Vision Team Recommendations:
 - Post on LPA website
 - Share at statewide marketing meetings
- Share Strategic Vision Team Report and Presentation:
 - Post on LPA website
 - Email to districts and partners (LPAs, MPOs, RPCs, consultants, etc.)
- Present recommendation at statewide district marketing meetings:
 - Present recommendations and answer questions
 - Include entire district LPA and management team
 - Request volunteers for teams
- Participate in LPA member conferences:
 - Annual County Commissioner Training
 - Annual County Government Trade Show
 - Regional County Commission Meetings
 - Missouri Municipal League Conference
 - American Public Works Association (APWA)
 - Annual ACEC Conference
 - Transportation Engineers Association of Missouri (TEAM) Conference
 - Missouri Association of County Transportation Officials (MACTO)
 - Missouri/Iowa/Kansas Transportation Officials (MINK)

Update Comprehensive Contact List

- Incorporate organizational lists (ACEC, Missouri Municipal League, County Commissioner Association, Missouri Association of RPCs, MPOs, MoDOT Districts, etc.)
- Add associations emails in list for additional distribution
- Include contact list sign-up form with initial Strategic Vision mail out
- Update email distribution list with sign-up available on LPA website

Additional LPA Communication Tools

- Improve website into intuitive, user friendly format
- Add blog to website for discussion between all LPA partners
- Publish website in Association Publications
- Develop standard LPA General Information PowerPoint Presentation
- Develop quarterly LPA Newsletter
- Advertise/Publish articles on recent LPA changes in Association Publications
- Create LPA Sharepoint site for MoDOT internal communication
- Form Statewide LPA Advisory Group for continuous feedback

Adopting and communicating the LPA Strategic Vision will help MoDOT, local agencies, and our partners successfully deliver local federal-aid transportation projects.

LPA Strategic Vision Team Action Plan

Recommendation	Deliverables	Persons Responsible	Due Date	Resources Needed
Adopt LPA Strategic Vision	Consistent Statewide Direction	Don Hillis and Kathy Harvey	Oct 6, 2011	Design, Customer Relations, FHWA
Develop Certification Program	FHWA/ MoDOT Certification Program	Lee Ann Kell	Mar 1, 2012 Ongoing	LPAs, MPOs, RPCs, ACEC, MoDOT, FHWA
Develop Training Program	Training Program for Ongoing Education	Jerica Holtsclaw Jeff Cremer Heath Pickerell	Mar 1, 2012 Ongoing	LTAP, LPAs, MPOs, RPCs, ACEC, MoDOT, FHWA
LPA Manual Improvements	User-Friendly Comprehensive Manual	Jerica Holtsclaw	Mar 1, 2012 Ongoing	LPAs, MPOs, RPCs, ACEC, MoDOT, FHWA
Program and Project Management Tools	Efficient and Effective Delivery of Projects	Kenny Voss	Mar 1, 2012 Ongoing	LPAs, MPOs, RPCs, ACEC, MoDOT, FHWA, Funding
Continuous Improvement	Efficient and Effective Local Program Management	Kenny Voss	Ongoing	LPAs, MPOs, RPCs, ACEC, MoDOT, FHWA

APPENDIX A

Team Charter

Team Charter

Project: LPA Strategic Vision Team

Team Sponsor: Don Hillis and Kathy Harvey

Current Situation:

With the Commission’s approval of the Bolder Five-Year Direction, MoDOT must implement this directive throughout MoDOT’s processes. The LPA program has been reviewed and received feedback from the Statewide LPA PIE meeting, the District LPA PIE meetings and each District’s action plans and the Tracker 6A survey results for LPA partners.

Desired Outcomes	Undesired Outcomes
<i>To be successful, this project will result in:</i>	<i>To be successful, this project will not result in:</i>
<ul style="list-style-type: none"> • Define the statewide vision for the LPA program • Research and investigate best practices to incorporate into the LPA program • Define steps needed to implement this vision and incorporate best practices identified • Develop measurement tools to ensure the vision and best practices are implemented statewide • Continuous improvement for the LPA program 	<ul style="list-style-type: none"> • No changes – everything stays the same • Decreased contact with the LPA partners • Poor results that do not support MoDOT’s Tangible Result: Fast Projects that are of Great Value, for the LPA Program

Boundaries:

The team must operate within the LPA Federal and State laws and guidelines.

Timelines:

The team will kick off in August with recommendations presented to the sponsor in September.

Who:

- Kenny Voss, Local Program Administrator - DE
- Charles Pursley, Design Liaison Engineer - DE
- Jessica Keathley, Intermediate Planning Technician - DE
- Lee Ann Kell, District Planning Manager – Kansas City District
- Dion Knipp, Transportation Planning Specialist – Central District
- Dawne Gardner, District Information System Manager – Southwest District
- Bruce Wylie, President & CEO - American Council of Engineering Companies of Missouri (ACEC)
- Paula Gough, District Engineer - Northeast District
- David Luther, District Construction Liaison - Southeast District
- Todd Grosvenor, Financial Resource Administrator - FS
- Jim Wild, Senior Manager Planning and Programming, East West Gateway (EWG) - St Louis
- David Morris, Transportation Engineer – FHWA

- David Nichols, Chief Engineer – City of Columbia
- Bob Gilbert, PE - Bartlett & West, Jefferson City
- Darryl Fields, Transportation Planner III, Mid America Regional Council (MARC) – Kansas City
- Wesley Stephen, District Planning Manager – St Louis District
- Jerica Holtsclaw, Design Support Engineer – DE
- Shannon Howe, PE – Benton & Associates, Inc., Macon

Tangible Result and Values:

- Outstanding Customer Service
- Partner With Others to Deliver Transportation Services
- Innovative Transportation Solutions
- Fast Projects That Are of Great Value
- Best Value for Every Dollar Spent
- MoDOT is flexible because we believe one size does not fit all.
- MoDOT is responsive and courteous because we believe in delighting our customers.
- MoDOT provides the best value for every dollar spent because we're taxpayers too.
- MoDOT is one team because we all share the same mission and teamwork produces the best results.
- MoDOT always strives to do our job better, faster, and cheaper because we want to meet more of Missouri's needs.

Evaluation Approach:

- Develop measurement tools to ensure the team's approved recommendations are implemented statewide

APPENDIX B

Best Practices

Best practices categorized by recommendation:

Certification Program:

MARC Discussion:

- Better identify communities that don't have the means (financial or resources) to do the project through the LPA program – find another means like cost-share or some type of partnership
- Have “responsible person in charge” on the application
- Have some pre-certification process other than just scoring criteria

#10 VT, Dave Luther

- Good prc example (person of responsible charge)

#20 FL, Lee Ann – no nuggets but led to FL LPA Website

- Certification process including interview

#6, FDOT, Dawne

- Certification process – if certified in a process, then no oversight of that process

#22, VDOT, Dawne

- Offers different levels of oversight

ACEC survey & discussion, Bruce Wylie

- Certification & training
- Certify responsible person in charge as the first step
- Some require pre-certification & pre-qualification

#23, FL, Bruce – good model for LPA program

- Provides for “certified agencies”

#18, OR DOT, Charles Pursley

- Conditional certification for trial
- Staged Certification:
 - Consultant Selection
 - Design
 - Advertising, Bid and Award
 - Construction Contract Administration

#1, SC DOT, Kenny Voss

- LPA Qualification Evaluation Form - Person of Responsible Charge for each phase of the project, agency procedures & processes, financial documentation
- If LPA does not submit Qualifications, the DOT will administer project
- Final LPA Project Evaluation Form - Evaluation of LPA project management by DOT (used for future selection)

#2011-1, NCHRP, Jim Wild

- Best practices in Appendix
- Programmatic agreements (NEPA)

LAPIT demonstration from FDOT

- Coming together on an appropriate level of oversight (DOT/ FHWA/ LPA)
- Certification
- Allow a certified LPA to sponsor a non-certified sponsor (however FDOT has never had anyone do this since there's no incentive)

Training Program:

EWG Discussion:

- Providing guidance through workbooks (project selection, CMAQ, TE)

#2011-3, Support by State Dept for Local Agency Safety Initiatives (IA), David Nichols

- Interaction & relationship between locals and agency on training, what training was provided & in what format
- More dedicated effort/ initiatives to reach locals with training – not just an invitation to attend some training
- Do a 1 stop shop type of training – tie into certification & CUs

#22, VDOT, Dawne

- Offers training workshops on various topics such as project delivery, consultant, environmental, etc.
- Created a “local partnership team” so the same consistent message gets delivered statewide

ACEC survey & discussion, Bruce Wylie

- FL has training online & in modules to get certified in case you cannot attend in person with links to everything on their website

#23, FL, Bruce – good model for LPA program

- Provides for computer based training for certification, project selection and LAP Agreements

#18, OR DOT, Charles Pursley

- List of courses for certification

#9, IA DOT, Paula Gough

- Training slides – project close out section good

#24, NHI, division of FHWA, Todd Grosvenor

- On-line Training (some of it free) such as:
 - Basic Construction and Maintenance Documentation - Improving the Daily Diary (WEB-BASED)
 - Real Estate Acquisition Under the Uniform Act: An Overview (WEB-BASED)
 - Local Public Agency Real Estate Acquisition (WEB-BASED)
 - Introduction to Federal-Aid Right of Way Requirements for Local Public Agencies (CLASSROOM)
 - Introduction to NEPA and Transportation Decision-making (WEB-BASED)
 - Administrative Record (WEB-BASED)
 - Introducing Highway Federal-Aid (WEB-BASED)

#2011-1, NCHRP, Jim Wild

- Best practices in Appendix

#16, US DOT, FHWA, Bob Gilbert

- Core training areas in Appendix C
- Tiered certification (3 specific tiers) with specific requirements in Appendix zD

#17, FHWA RW LPA, Kenny Voss

- Sharing DOT ROW knowledge with LPA
- LPA mentoring & on the job training

LAPIT demonstration from FDOT

- Online user training on LAPIT program – accessible online to do anytime
- Training

LPA Manual:

#15 CALTRANS, Darryl

- Easy to navigate website

#20 FL, Lee Ann – no nuggets but led to FL LPA Website

- Guidebook that had short beginning to end explanation & defined roles & responsibilities

#11 VT, Todd

- Flowchart color coded by who is responsible

#6, FDOT, Dawne

- Offered manual as well as short guidebook

- FDOT issues “bulletins” – have temporary authority (6 months) & cover issues of great importance; then revise the manual with these on an annual basis
- Florida has best manual of all DOTs – including a section devoted to responsible person in charge & how to negotiate a contract

#7, KY, Bruce

- LPA Project Development Flowchart – subtitled Risk Management Procedures= Good

#23, FL, Bruce – good model for LPA program

- Great website with direct links to a variety of documents

#3, Caltrans, David Morris

- They use a “bulletin system” for early notification of important changes as they occur.
 - Important Notice: The Division of Local Assistance (DLA) Office Bulletins are created to disseminate the most recent policy and procedural changes. The DLA Office Bulletins supersede specific DLA policy and/or procedural publications, including forms. Please make sure to review the Office Bulletins prior to referencing the LAPM, LAPG and LPPs to see if any of the bulletins affect these publications.

#18, OR DOT, Charles Pursley

- LPA Manual is divided into three sections:
 - Overview
 - Certified
 - Non-Certified

#9, IA DOT, Paula Gough

- Manual – needs to be in format that is easy to use, printable
- Use Instructional Memorandums (I.M.) as supplemental information for manual

#1, SC DOT, Kenny Voss

- Environmental Reference Guide - General information about environmental laws & regulations
- Required Federal Provisions - Special Provisions addressing DBE, Wage Rates, etc.
- Minimum Sampling Requirements spreadsheet

#19, CO DOT, Jessica Keathley

- Flowchart of LPA process

#2011-1, NCHRP, Jim Wild

- Best practices in Appendix

#21, VDOT, Dion Knipp

- Examples of completed documents
- Flowchart at end of each chapter with hot links to applicable areas
- Roles & responsibilities clearly defined in flowchart

Program and Project Management Tools:

MARC Discussion:

- MARC only obligates federal \$ for RW & Construction (not PE) so more skin in the game
- Capping federal construction funds (no slush fund) – this does not apply to BRO or STP small urban
- Gut check estimates
- Do programming every 2 years
- Have 1 tracking tool from program initiation to final invoice

EWG Discussion:

- Project Selection process: Annual solicitation process that includes multiple workshops (project development, project review, project implementation [which is mandatory])
- Project Selection process: Using scoring system to select projects (no bargaining)
- Enforcing reasonable progress
- Providing amnesty before enforcement of reasonable progress

- Reasonable progress spreadsheets sent out twice a month to be updated by sponsors, then checked by EWG & MoDOT & posted once a month
- EWG tracks project status

#26 FHWA RE Guidelines, Dave Luther

- Tap into District RW staff as they are experts to guide LPA's through process

#20 FL, Lee Ann – no nuggets but led to FL LPA Website

- LaPIT (similar to our FACTS) – project tracking application used by externals from beginning to end of project (online document management tool)

#6, FDOT, Dawne

- RE approves project schedules when ready to construct

#22, VDOT, Dawne

- The Local Program is its own section at the Central Office called the Local Assistance Division

ACEC survey & discussion, Bruce Wylie

- INDOT flowchart with timeline (critical path flowchart) is a great example on page 13 of: <http://www.in.gov/indot/div/projects/LPASection/pubs/LPAProcessGuidance.pdf>

#7, KY, Bruce

- Spells out “critical first steps”
 - Project Programming
 - FHWA Authorization
 - Project Agreement
 - Environmental Approval
- Key Understandings
 - Project Monitoring and Oversight
 - Local Match/In-Kind Contributions
 - Reimbursement
 - Nondiscrimination
 - Project Development Overview
 - Project Schedule

#2011-7, GAO, Wesley Stephen

- Implement reasonable progress program wide

#1, SC DOT, Kenny Voss

- Files and Final Plans are stored at DOT Central Office – these's a central online location of all files

#3, SC DOT, Jessica Keathley

- Checklist for the LPA projects – more detail

#19, CO DOT, Jessica Keathley

- Checklist with roles & responsibilities prepared once approved for federal funding

#2011-1, NCHRP, Jim Wild

- Best practices in Appendix

#4 Idaho DOT, Lee Ann Kell

- Checklist includes links to LPA manual
- Pre-construction meeting prior to consultant design
- On-call consultant list for LPA's (includes subs)

#16, US DOT, FHWA, Bob Gilbert

- Specific staffing recommendation for state DOT's
- Roles & responsibilities included in MOU or program agreement

#17, FHWA RW LPA, Kenny Voss

- Site manager for construction management

LAPIT demonstration from FDOT

- Document management – ability to upload & scan documents so one location for all
- Allowing GEC to serve as PRC

- Ability to audit online
- Email notifications generated automatically from LAPIT
- Reimbursements submitted electronically
- Users can enter information (LPAs, District & Division LPA staff)
- Reporting tool simplified (exports to excel and have ability to filter it yourself)

Continuous Improvement:

MARC Discussion:

- Constant improvement of scoring system after each cycle

EWG Discussion:

- Project Selection process: Scoring on past performance
- Project Selection process: Everyone agreeing on scoring system

#10 VT, Dave Luther

- Relook at QBS process
- Relook at scoring
- Relook at scope of services

LPA success stories, Aug 2011, Kenny

- Doing awards for Local programs

ACEC survey & discussion, Bruce Wylie

- Consider rating consultants & contractors on LPA projects, completed in a face to face meeting with them

#2011-2, TRB Traffic Safety Training, David Morris

- It is important that Traffic Safety be a part of an outstanding LPA Program and appropriate specialized MoDOT/FHWA personnel be fully included with an implementation plan for that element.

#18, OR DOT, Charles Pursley

- Flowchart of staff (more than what we have)

#2011-6, GAO, Wesley Stephen

- Pilot 3 large LP projects to identify ways to streamline and possibly explore 3P (similar to Safe & Sound Program) & do a post evaluation

#2011-7, GAO, Wesley Stephen

- On-line reporting system (similar to FHWA's automated checking system) which allows you to do virtual audits
- Site visits, interviews with local sponsors for QA & auditing

#19, CO DOT, Jessica Keathley

- Comments & suggestions for LPA manual can be made by anyone online – feedback solicited

#2011-1, NCHRP, Jim Wild

- Best practices in Appendix

#4 Idaho DOT, Lee Ann Kell

- Consultant evaluation form (requires consultant signature)
- Local technical assistance council

#17, FHWA RW LPA, Kenny Voss

- Benchmarks for performance

LAPIT demonstration from FDOT

- Need to evaluate federal & state laws for pre-qualified consultant list
- LAPIT is expandable to meet future needs
- Continuous support needed from management
- 3 way communication is critical between DOT/ FHWA/ LPAs

Bibliography

1. "Procedures." 2009. South Carolina Department of Transportation. 24 Aug 2009. Online: http://www.dot.state.sc.us/doing/pdfs/LPA_Procedures.pdf.
2. "Project Flow Chart." 2009. South Carolina Department of Transportation. 24 Aug 2009. Online: http://www.dot.state.sc.us/doing/pdfs/LPA_Process.pdf.
3. "Checklist for Local Public Agency (LPA) Projects." 2009. South Carolina Department of Transportation. 24 Aug 2009. Online: <http://tinyurl.com/nfucnc>.
4. "Guidelines for Local Public Agency Projects." 2009. Idaho Transportation Department. 24 Aug 2009. Online: <http://tinyurl.com/mm237r>.
5. "LPA Guidelines Manual for Federal Aid Projects: With Downloadable Forms." 2009. Nebraska Department of Roads. 24 Aug 2009. Online: <http://tinyurl.com/lr6hft>.
6. "FDOT Local Agency Program Manual." 2009. Florida Department of Transportation. 24 Aug 2009. Online: <http://tinyurl.com/mhanqh>.
7. "Interim Federal-Aid Highway Program Project Development Guide for Local Public Agencies." 2009. Kentucky Transportation Cabinet. 24 Aug 2009. Online: <http://tinyurl.com/n29dlf>.
8. "InDOT LPA Process Guidance Document for Local Federal-Aid Projects." 2009. Indiana Department of Transportation. 24 Aug 2009. Online: <http://tinyurl.com/ly3pt4>.
9. "Federal-Aid Project Development Guide for Local Public Agencies." 2009. Iowa Department of Transportation. 24 Aug 2009. Online: <http://tinyurl.com/njspum>.
10. "Local Transportation Facilities Guidebook For Municipally Managed Projects and Appendix" 2009. Vermont Agency of Transportation. 24 Aug 2009. Online: <http://tinyurl.com/m7qk53>; <http://tinyurl.com/koko8j>.
11. "Local Transportation Facilities Project Development Flowchart." 2009. Vermont Agency of Transportation. 24 Aug 2009. Online: <http://tinyurl.com/nto2hk>.
12. "Local Agency Guidelines Manual." 2009. Washington State Department of Transportation. 24 Aug 2009. Online: <http://tinyurl.com/ly76np>.
13. "Local Assistance Procedures Manual." 2009. Caltrans. 24 Aug 2009. Online: <http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm>.
14. "Local Assistance Program Guidelines." 2009. Caltrans. 24 Aug 2009. Online: <http://www.dot.ca.gov/hq/LocalPrograms/lam/lapg.htm>.
15. "Local Programs Procedures." 2009. Caltrans. 24 Aug 2009. Online: <http://www.dot.ca.gov/hq/LocalPrograms/lpp/lpp1r1.htm>.
16. "The Administration of Federal-aid Projects by Local Public Agencies." 2006. U.S. Department of Transportation, Federal Highway Administration. 25 Aug 2009. Online: <http://tinyurl.com/kww7qm>.
17. "Right of Way Local Public Agency Program Best Management Practices." 2000. Federal Highway Administration. 25 Aug 2009. Online: <http://tinyurl.com/ltp29>.
18. "LAG Manual." 2007. Oregon Department of Transportation. 25 Aug 2009. Online: http://www.oregon.gov/ODOT/HWY/LGS/Certification.shtml#LAG_Manual.
19. "Local Agency Manual." 2006. Colorado Department of Transportation. 25 Aug 2009. Online: <http://tinyurl.com/mxcs49>.

20. "Local Agency Program (LAP) Process Review of the Florida Department of Transportation (FDOT): Process Review Report Phase II." 2008. Florida Department of Transportation. 25 Aug 2009. Online: <http://tinyurl.com/nr4pgc>.
21. "Locally Administered Projects Manual." 2009. Virginia Department of Transportation. 25 Aug 2009. Online: http://virginiadot.org/business/locally_administered_projects_manual.asp.
22. "Local Public Agency Federal Aid Program: FHWA Baseline Review." 2007. Virginia Department of Transportation. 25 Aug 2009. Online: <http://tinyurl.com/m56nc7>.
23. "Local Agency Program Training." 2009. Florida Department of Transportation. 25 Aug 2009. Online: <http://tinyurl.com/lye7y7>.
24. "NHI Training Catalog." 2009. National Highway Institute. 25 Aug 2009. Online: <http://tinyurl.com/mf4b2l>.
25. "Training for Local Agencies." 2009. Caltrans. 25 Aug 2009. Online: <http://tinyurl.com/nkcwtn>.
26. "Real Estate Acquisition for Local Public Agencies." 2006. Federal Highway Administration. 31 Aug 2009. Online: <http://www.fhwa.dot.gov/realestate/lpaguide/index.htm>.
27. "Local Public Agencies (LPA)." 2009. Ohio Department of Transportation. 31 Aug 2009. Online: <http://tinyurl.com/ksbc3y>.
- 2011-1. McCarthy, L., Mensching, D. and Horgan A. "Effective Delivery of Small-Scale Federal-Aid Projects." 2011. NCHRP Synthesis 414. 27 Sept 2011. Online: http://onlinepubs.trb.org/onlinepubs/nchrp/nchrp_syn_414.pdf.
- 2011-2. Colling, T., McNinch, T. and Lighthizer, D. "An Assessment of Traffic Safety Training Targeted Toward Local Agency Technical Staff and Elected/Appointed Officials." 2011. TRB 90th Annual Compendium of Papers.
- 2011-3. McDonald, T., Welch, T. "Support by State Departments of Transportation for Local Agency Safety Initiatives." 2009. Iowa Department of Transportation. 27 Sept 2011. Online: http://www.intrans.iastate.edu/reports/local_safety_initiatives.pdf.
- 2011-4. "Connecting Transportation Decision Making with Responsible Land Use: State and Regional Policies, Programs and Incentives." 2008. California Department of Transportation. 27 Sept 2011. Online: <http://transweb.sjsu.edu/mtiportal/research/publications/documents/07-03.pdf>.
- 2011-5. Bond, A., Kramer, J. and Seggerman K. "Operating an MPO: Internal Funding, Work Programs and Consultant Balance." 2011. TRB 90th Annual Compendium of Papers. 27 Sept 2011. Online: <http://amonline.trb.org/1bgj4f/1>.
- 2011-6. "Public Transportation: Federal Project Approval Process Remains a Barrier to Greater Private Sector Role and DOT Could Enhance Efforts to Assist Project Sponsors." 2009. Government Accountability Office. GAO-10-19. 27 Sept 2011. Online: <http://www.gao.gov/products/GAO-10-19>.
- 2011-7. "Recovery Act: Funding Used for Transportation Infrastructure Projects, but Some Requirements Proved Challenging." 2011. Government Accountability Office. GAO-11-600. Sept 2011. Online: <http://www.gao.gov/products/GAO-11-600>.

LPA Success Stories.

The Washington State Department of Transportation (WSDOT) and the Federal Highway Administration (FHWA) annually provide awards that recognize federally-funded local agency transportation projects.

These projects are ideal “success stories” to review for best practices. The award categories are: Best City Project, Best County Project, Best Special Project and the Director’s Award. The winners for both 2010 and 2009 are available online along with direct contact information. Online:

http://www.wsdot.wa.gov/News/2010/08/3_statewide_2010_Excellence_Awards.htm

http://www.wsdot.wa.gov/News/2009/09/21_2009AwardsofExcellence.htm

APPENDIX C

LAPIT Presentation



**LOCAL AGENCY PROGRAM INFORMATION TOOL
(LAPIT)
EXECUTIVE BOARD
MAY 2011**

1



LAPIT

PURPOSE:

- The Local Agency Program Information Tool (LAPIT) will consolidate and streamline FHWA, State and Local Agency processes to provide integrated application tools and value reporting to accommodate the Local Agency Program (LAP) lifecycle.

GOAL

- LAPIT will assist in providing greater accountability and transparency for the Local Agency Program (LAP).

PARTNERS

- Local Agencies, Florida Department of Transportation and FHWA.

APPROACH

- A phased implementation approach which will deliver core functionality in early 2011 and provide additional Modules every 6-9 months.

2

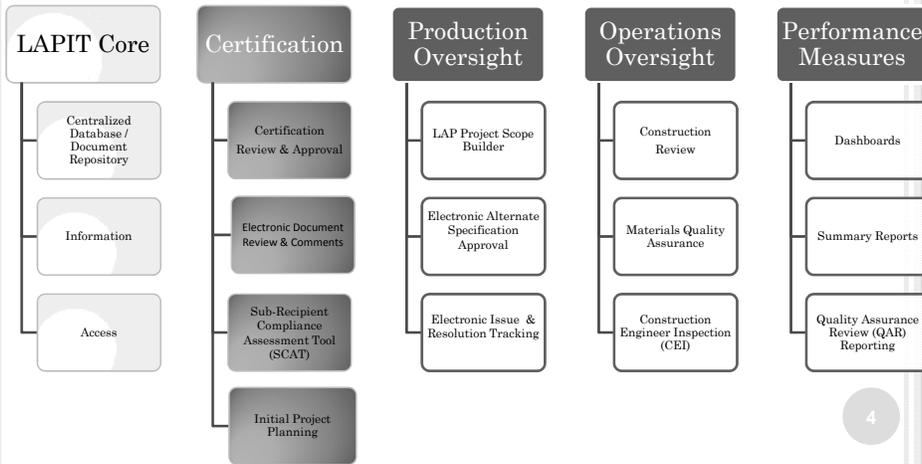


LAPIT PROJECT GOVERNANCE

- Executive Sponsor: Ananth Prasad
- Application Owner: Bob Crim
- Functional Application Coordinator: Roosevelt Petithomme
- Project Manager: David Davis
- Management Steering Committee
 - Voting Members:
 - Ananth Prasad, Brian Blanchard, Bob Crim, Nelson Hill
 - Non-Voting Members:
 - Vicki Bradford, Kris Sullivan, Roosevelt Petithomme, Don SanGregorio, David Davis,
- Functional Steering Committee (Phase 1)
 - Central Office, District 1 thru District 7
 - FHWA – Monica Gourdine, Carey Sheperd
- Department Experts
 - Central Office (Construction, Design, EOO, ROW)
 - District (Resident Compliance Consultant, ROW)
 - Lora Hollingsworth, Local Agency Representatives



LAPIT COMPONENTS





LAPIT – WHAT ARE THEY SAYING

- Webinars –
 - Jan 2011 - Local Agency Preview
 - 198 people participated
 - 120 Local Agencies and organization represented
 - April 2011 – Local Agency Pre-launch
 - 7 Local Agencies/ 1 per District
- Local Agency Feedback
 - “THANK YOU!! I’m really looking forward to using this system.” – Palm Beach County
 - “What took so long! This looks like a wonderful tool and I, for one, wish we had this NOW!” – Seminole County
 - “Looks great, City of Tampa is excited!” – City of Tampa
- District Feedback
 - General Consensus: LAPIT will be a useful tool, LAP has needed a centralized system for a long time.
 - Training our Locals will be the greatest challenge

5



LAPIT – SINCE WE LAST MET APRIL 2010

- Completed development of LAPIT Core –
 - Feb, 2011
- Implemented LAPIT Core –
 - March, 2011
 - FDOT, FHWA
- Initiated Local Agency Pre-Launch
 - April, 2011
 - 7 Local Agencies – 1 per district
- Local Agency Roll Out Strategy
 - All Local Agencies are in LAPIT
 - New Local Agency people are brought into LAPIT when we execute a new LAP agreement with Local Agency

6



LAPIT – GETTING THE WORD OUT

- LAPIT Corner
 - Benefits to Partners
 - Commercial
 - Training Materials
- LAPIT Application
 - Feedback from Local Agency, Districts, FHWA

7



LAPIT DEMO

<https://www3.dot.state.fl.us/LocalAgencyProgram>

8



LAPIT PHASE 2: SCOPE

- 3 modules
- 2A– Certification/Recertification
 - Automate processes via workflow
 - Electronic Binders
 - Document Review & Comment
- 2B – Subrecipient Compliance Assessment Tool (SCAT)
- 2C – Initial Project Planning
 - Managing Project Request/Selection

9



LAPIT PHASE 2: SCHEDULE

- Schedule Considerations:
 - Availability of Functional members
 - End of FY workload
 - Continued Local Agency rollout support of Phase 1
 - BSSO Resource conflicts: May & June
 - Data Center Consolidation – FY 2011/2012
- Plan:
 - Schedule JADs to gather requirements – late July/early August
 - Assess options for phased implementation (2a, 2b, 2c)

10



APPLICATION DEVELOPMENT - GENERAL

Lessons Learned:

- Impact of face to face meetings for collaboration on requirements
 - Value of observing processes onsite
 - Undivided attention
- District Participation
- Development Team / Resource Availability
- Value of “marketing”
 - Creating awareness,
 - Encouraging more district involvement, including locals, FHWA and other impacted partners.

11



APPLICATION DEVELOPMENT - GENERAL

Strategic:

- “Services” Architecture approach for all new Enterprise Application development
- Continued integration of Enterprise technologies
 - EDMS (Document Management), GIS
 - Other Enterprise Applications (such as Enterprise ProjectSuite)
- Less “canned reports”, More ad hoc reporting (via excel)
 - Impacts employees’ training needs
- Leverage the tools we already have more effectively
- Increased emphasis on implementation planning: Rollout Plan is CRITICAL to the success of the project
- Application Project scheduling

12



Florida Department of Transportation

QUESTIONS

Contacts:

Roosevelt Petithomme

Roosevelt.Petithomme@dot.state.fl.us
850-414-4383

David Davis

David.Davis@dot.state.fl.us
850-410-5467

Vicki Bradford -

Vicki.Bradford@dot.state.fl.us
850-410-5454

Don SanGregorio

850-410-5554
Donato.Sangregorio@dot.state.fl.us



13



Florida Department of Transportation

LAPIT

FUNCTIONAL STEERING COMMITTEE

Roosevelt Petithomme, State LAP Administrator
Michelle S. Peronto, D1 – District LAP Administrator
Lisa Brinson, D1 – District LAP Administrator
Katrina Sadler, D2 – District LAP Administrator
Jordan Green, D2 – District LAP Administrator
Keith Shores, D3 – District LAP Administrator
Ellen Daniel, D4 – District LAP Administrator
Leslie Wetherell, D4 – District LAP Administrator
Edna Horne-Harley, D5 – District LAP Administrator
Danny Iglesias, D6 – District LAP Administrator
Lawrence Taylor, D7 – District LAP Administrator

[Return](#)

14



Florida Department of Transportation

DEMO SLIDES

<The following slides were shown during the live demo of LAPIT>



Florida Department of Transportation

FDOT/FHWA VIEW

 **LAPIT**
Local Agency Portal Information System

Welcome - K1973DM
Statewide Read Only - 00
[Log Off]

Help Search Provide Feedback

Search Local Agencies Search Agreements / Projects Search Local Agency Contracts Search Documents Search People (Contacts)

Criteria Results

Local Agency Search Criteria
All search criteria will be combined to perform your search.

FDOT District Any

FDOT County Any

Local Agency Name (contains)

Certification Type Any

Certification Date =

Governing Body Name (contains)

Primary DUES# (begins with)



LAP AGENCY SEARCH RESULTS – D7



LAPIT

Local Agency Program Information Tool

Local Agency Name: Hernando County

District: 07

PPOC Name: Brian Malmberg

Welcome - KN973DM
Statewide Read Only - 00
[Log Off]

[Help](#) | [Search](#) | [Local Agency](#) | [Provide Feedback](#)

[Search Local Agencies](#) | [Search Agreements / Projects](#) | [Search Local Agency Contracts](#) | [Search Documents](#) | [Search People \(Contacts\)](#)

[Criteria](#) | [Results](#)

Navigate **Go To Page** **Showing Items** **Show Per Page**

Previous | Next 1 1 to 20 of 20 20 | 50 | 100

[Export To Excel](#) (Opens in new window, Unknown Size)

Select a Local Agency			Local Agency Detail		
#	Local Agency Name	Certification Type	PPOC Name	Local Agency Name	Hernando County
1	Citrus County	FULL CERTIFICATION	Wak Eastman	Primary Point of Contact (PPOC) Name	Brian Malmberg
2	Citrus County BOCC	FULL CERTIFICATION	John Thrumston	PPOC Phone	352-754-4062
3	City of Clearwater	FULL CERTIFICATION	Glen Bahnick	Administrative Checklist Date	01/01/2009
4	City of Dunedin	FULL CERTIFICATION	Thomas Burke	Certification Date	12/12/1997
5	City of Inverness	FULL CERTIFICATION	Ken Koch	PD&E Training Date	
6	City of Oldsmar	FULL CERTIFICATION	Lynn Rives	Governing Body Name	Hernando County BOCC
7	City of Pinellas Park	FULL CERTIFICATION	Scott Pinheiro	Primary DUNS Number	
8	City of Plant City	FULL CERTIFICATION	Willie Nabong	FDOT District	07
9	City of St. Petersburg	FULL CERTIFICATION	Steve Leavitt	FDOT County	HERNANDO
10	City of Tampa	FULL CERTIFICATION	Jean Dorzback	Primary Address	Division of Transportation Services 1525 East Jefferson Street Brooksville, FL 34601
11	City of Tarpon Springs	FULL CERTIFICATION	Rodney Chatman	Primary Website	http://www.co.hernando.fl.us/
12	City of Temple Terrace	FULL CERTIFICATION	Joe Affronti, Sr		
13	City of Treasure Island	FULL CERTIFICATION	Rick Raus		
14	Hernando County	FULL CERTIFICATION	Brian Malmberg		
15	Hillsborough County	FULL CERTIFICATION	Thomas Fasa		
16	Pasco County	FULL CERTIFICATION	John Gallagher		
17	Pinellas County	FULL CERTIFICATION	Rob Meador		
18	Pinellas Suncoast Transit Authority	FULL CERTIFICATION	Unknown		



SEARCH FOR ARRA LAP AGREEMENTS



LAPIT

Local Agency Program Information Tool

Welcome - KN973DM
Statewide Read Only - 00
[Log Off]

[Help](#) | [Search](#) | [Provide Feedback](#)

[Search Local Agencies](#) | [Search Agreements / Projects](#) | [Search Local Agency Contracts](#) | [Search Documents](#) | [Search People \(Contacts\)](#)

[Criteria](#) | [Results](#)

Agreement Search Criteria

All search criteria will be combined to perform your search.

FDU1 District:

FDOT County:

Local Agency Name (contains):

Local Agreement # (starts with):

Lap Agreement Execution Date: =

Financial Project #(starts with):

Federal Aid #(starts with):

LAP Agreement Current Amount: =



RESULTS ARRA LAP AGREEMENTS



LAPIT

Local Agency Program Information Tool

Local Agency Name: Bay County
 District: 03
 PPOC Name: Ken Schnell
 LAP Agreement: AP26

Welcome - KN873DM
 Statewide Read Only - 00
[\[Log Off \]](#)

[Help](#) | [Search](#) | [Local Agency](#) | [Provide Feedback](#)

[Search Local Agencies](#) | [Search Agreements / Projects](#) | [Search Local Agency Contracts](#) | [Search Documents](#) | [Search People \(Contacts\)](#)

Navigate: Previous | Next
 Go To Page: 1
 Showing Items: 1 to 20 of 460
 Show Per Page: 20 | 50 | 100

Select an Agreement

#	Local Agency Name	LAP Agreement #	LAP Agreement Status	Financial Project #
1	Bay County	AP26	Active	415069-1-58-01
2		APU51	Active	427991-1-58-01
3	Blueprint 2000	APT01	Active	415762-6-58-01
4	Brevard County	APR01	Active	426308-1-58-01
5		APR03	Active	426301-1-58-01
6		APR04	Active	426288-1-58-01
7		APR07	Active	426284-1-58-01
8		APR10	Active	426299-1-58-01
9		APR11	Active	426528-1-58-01
10		APX11	Active	428563-1-58-01
11		APX51	Active	428561-1-58-01
12		APX52	Active	428562-1-58-01
13		APX54	Active	428594-1-58-01
14	Citrus County BOCC	APB86	Active	426254-1-58-01
15		APT49	Active	427175-1-58-01
16	City of Aventura	APM89	Active	426548-1-58-01
17		APX52	Active	428548-1-58-01
18		AQ284	Active	428391-1-58-01
19	City of Boynton Beach	APT32	Active	426898-1-58-01
20	City of Cape Canaveral	APP90	Active	426303-1-58-01

Export To Excel (Opens in new window, Unknown Size)

LAP Agreement Detail

LAP Agreement #	AP26
Agreement Original Amount	\$19,129,909.00
Agreement Current Amount	\$17,052,284.00
Agreement Execution Date	06/25/2009
Agreement Contract Begin Date	06/26/2009
Agreement Contract End Date	12/31/2011
Agreement Expiration Date	12/31/2011
Environmental Certification Date	
Right of Way Certification Date	06/03/2009
Construction Checklist Date	
Engineers Estimate	

Key Contact

Project Manager	Ken Schnell
Project Name	FDOT Project 415069-1-58-01
Federal Aid #	ARRA004B
Federal Authorization Date	05/01/2009
From Location	OVER GRAND LAGOON
To Location	BRIDGE NO. 460055
Work Mix	BRIDGE-REPLACE AND ADD LANES
Phase Total Amount	\$17,052,284.00
Phase Life To Date Expenditures	\$12,194,553.63
On System	Yes
Transportation System	NON-INTRASTATE OFF STATE HIGHW
FDOT District	03
FDOT County	BAY



DYNAMIC REPORTING - EXPORT RESULTS TO EXCEL



LAPIT

Local Agency Program Information Tool

Welcome - KN873DM
 Statewide Read Only
[\[Log Off \]](#)

[Help](#) | [Search](#) | [Provide Feedback](#)

Select Columns for Excel Report

<input checked="" type="checkbox"/> Local Agency Name	<input type="checkbox"/> Environmental Certification Date
<input checked="" type="checkbox"/> LAP Agreement #	<input type="checkbox"/> Right of Way Certification Date
<input checked="" type="checkbox"/> LAP Agreement Status	<input type="checkbox"/> Engineers Estimate Amount
<input checked="" type="checkbox"/> Financial Project #	<input type="checkbox"/> From Location
<input checked="" type="checkbox"/> Project Name	<input type="checkbox"/> To Location
<input checked="" type="checkbox"/> Federal Aid #	<input type="checkbox"/> Work Mix
<input type="checkbox"/> Federal Authorization Date	<input type="checkbox"/> Phase Total Amount
<input type="checkbox"/> Construction Checklist Date	<input type="checkbox"/> Phase Life To Date Expenditures
<input checked="" type="checkbox"/> Agreement Original Amount	<input type="checkbox"/> On System
<input checked="" type="checkbox"/> Agreement Current Amount	<input type="checkbox"/> Transportation System
<input type="checkbox"/> Agreement Execution Date	<input type="checkbox"/> FDOT District
<input type="checkbox"/> Agreement Contract Begin Date	<input type="checkbox"/> FDOT County
<input type="checkbox"/> Agreement Contract End Date	<input type="checkbox"/> Project Manager
<input type="checkbox"/> Agreement Expiration Date	

DYNAMIC REPORTING - EXPORT RESULTS TO EXCEL

Select Columns for Excel Report

Local Agency Name
 LAP Agreement #
 LAP
 Finan
 Proje
 Fede
 Fede
 Cons
 Agre
 Agre
 Agre
 Agre
 Agreement Contract End Date
 Agreement Expiration Date

Environmental Certification Date
 Right of Way Certification Date
 FDOT County
 Project Manager

File Download

Do you want to open or save this file?

Name: Report.csv
Type: Microsoft Office Excel Comma Separated Values Fil...
From: www3.dot.state.fl.us

While files from the Internet can be useful, some files can potentially harm your computer. If you do not trust the source, do not open or save this file. [What's the risk?](#)

DYNAMIC REPORTING - EXPORT RESULTS TO EXCEL

Report[1].csv - Microsoft Excel

	A	B	C	D	E	F	G	H
	Local Agency Name	LAP Agreement #	LAP Agreement Status	Financial Project #	Project Name	Federal Aid #	Agreement Original Amount	Agreement Current Amount
1								
2	City of Fort Myers	APH57	CLOSED	426747-1-58-01	CULVERT REPLACEMENT	ARRA178B	\$500,000.00	\$236,496.70
3	City of Fort Myers	APH58	CLOSED	426793-1-58-01	CULVERT REPLACEMENT	ARRA180B	\$300,000.00	\$94,959.26
4	City of Marco Island	APH48	CLOSED	426640-1-58-01	CR 953 (BALD EAGLE)	ARRA168B	\$637,420.00	\$380,719.00
5	City of Palmetto	APK05	ACTIVE	426728-1-58-01	10TH STREET WEST	ARRA288B	\$96,873.00	\$76,106.00
6	City of Punta Gorda	API10	ACTIVE	426642-1-58-01	LINEAR PARK	ARRA167B	\$577,468.00	\$424,017.00
7	City of Sarasota	API52	ACTIVE	426769-1-58-01	SR 758 (SIESTA DR)	ARRA293B	\$1,053,068.00	\$1,053,068.00
8	City of Venice	API56	ACTIVE	426765-1-58-01	VENICE AVENUE	ARRA292B	\$455,000.00	\$332,747.00
9	Hendry County	APU54	ACTIVE	416231-1-68-01	NW/NE EUCALYPTUS	ARRA619B	\$275,000.00	\$229,505.00
10	Hendry County	APU54	ACTIVE	416231-1-58-01	NW/NE EUCALYPTUS	ARRA619B	\$275,000.00	\$229,505.00
11	Hendry County	APH99	CLOSED	426024-1-58-01	SR 29	ARRA163B	\$614,788.00	\$250,022.00
12	Hendry County	APN16	CLOSED	426024-1-68-01	SR 29	ARRA163B	\$117,173.00	\$116,196.50
13	Lee County	APH62	ACTIVE	426750-1-58-01	CR 876- DANIELS PKWY	ARRA191B	\$600,000.00	\$502,272.00
14	Lee County	APR16	ACTIVE	427352-1-58-01	BEN C PRATT/6 MILE	ARRA544B	\$5,030,000.00	\$5,030,000.00
15	Lee County	APU53	ACTIVE	426746-2-58-01	BUCKINGHAM ROAD	ARRA618B	\$452,938.00	\$390,943.00
16	Lee County	APH59	CLOSED	426748-1-58-01	SANIBEL CAUSEWAY	ARRA192B	\$535,969.00	\$319,262.00
17	Lee County	APH61	CLOSED	426749-1-58-01	HOMESTEAD ROAD SOUTH	ARRA194B	\$100,000.00	\$70,579.00
18	Lee County	APH64	CLOSED	426752-1-58-01	SUNSHINE BOULEVARD	ARRA193B	\$500,000.00	\$553,432.00
19	Lee County	API12	CLOSED	426746-1-58-01	BUCKINGHAM ROAD	ARRA190B	\$800,000.00	\$178,827.58
20	Manatee County	API55	ACTIVE	426775-1-58-01	UNIVERSITY PARKWAY	ARRA296B	\$5,337,663.00	\$2,256,792.00

APPENDIX D

Draft LPA Checklist

Local Public Agency (LPA) Process Checklist

Project Name:							XXXXXXXXXXXXXXXXXX:			
Project Sponsor:							XXXXXXXXXXXXXXXXXX:			
Federal Project #:							XXXXXXXXXXXXXXXXXX:			
Process Stage	Reference	LPA Responsibility	LPA Initial	MoDOT Central Office Staff Responsibility	MoDOT CO Initial	MoDOT District Staff Responsibility	MoDOT District Initial	Location within submittal (if applicable)	Comments	
Programming the Project		Prepare project list (if in MPO, LPA must ensure project is on current TIP)								
		Submit Project Programming Data Sheet and supporting documents to MoDOT.		MoDOT - FS -Review Project Programming Data Sheet & assign Fed #		Project Site Visit and review submittal for complete and accurate info and eligibility				
						Prepare Project Agreement & send to LPA				
		Sign/Execute Agreement send to MoDOT				Send signed agreement to MHTC for final execution & notify LPA				
PROJECT AGREEMENT BETWEEN MODOT AND LPA EXECUTED AND FEDERAL FUNDS CAN NOW PASS THROUGH TO SUPPORT THE LOCAL PROJECT.										
Engineering Services via QBS <i>(if using consultant & requesting reimbursement)</i>		Issue Public Announcement 2 weeks prior to selection, recommend using MoDOT's Consultant Resource website. Fill out solicitation form and send to MoDOT.		MoDOT - DR -Publish public solicitation for engineering services on MoDOT website.		Review RFQ to ensure 2 wk min advertisement. Send to ECR for DBE goal.				
	RsMO 285.530	Submit ESC to MoDOT. Supporting documentation must include consultant selection criteria and MUST include Fig. 136.6.2 criteria. List at least 3 firms considered along with their affidavit of compliance for Federal Work Authorization Program and a copy of the E-Verify				Review ESC and send obligation request to MoDOT - FS.				

Process Stage	Reference	LPA Responsibility	LPA Initial	MoDOT Central Office Staff Responsibility	MoDOT CO Initial	MoDOT District Staff Responsibility	MoDOT District Initial	Location within submittal (if applicable)	Comments
		MOU.							
				MoDOT-FS- request FHWA to obligate funds for ESC . (PE FUNDS)		Notify LPA of PE FUNDS obligation and PE work can be given NTP.			
PE FUNDS HAVE BEEN OBLIGATED AND PRELIMINARY ENGINEERING WORK MAY BEGIN.									
Environmental, Historical and Cultural Clearances - Concurrent process with ROW and Prelim. Plans	EPG 136.4.1	Prepare the project Programming Data Sheet as stated in the "programming project" section		MoDOT- DR- Environmental will review the programming data sheet		Notify LPA of NEPA classification			
	EPG 136.4	Fill out appropriate documents as outlined in EPG 136.4.1.1 and submit to MoDOT		MoDOT - DR- Environmental will review and send to FHWA for approval		Notify LPA of NEPA approval			
Right of Way Clearance <i>(only if requesting reimbursement)</i> - concurrent process with Environmental and Prelim Plans	EPG 236.13	Prepares Right of Way Plans and sends to MoDOT for Review				Review ROW plans and notify LPA to continue			
	EPG 236.18	Obtain Sec 106 SHPO Clearance and submit request for acquisition date (A-Date) to MoDOT				Review A-Date request and sends to FHWA for approval and notify LPA of ROW A-Date.			
ROW FUNDS HAVE BEEN OBLIGATED AND ROW PROCESS MAY PROCEED									
	EPG 236.18 CFR 24	49 Acquire ROW in accordance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended and submit request for ROW clearance certification to MoDOT				Review and send to FHWA for approval and notify LPA of ROW clearance			

Process Stage	Reference	LPA Responsibility	LPA Initial	MoDOT Central Office Staff Responsibility	MoDOT CO Initial	MoDOT District Staff Responsibility	MoDOT District Initial	Location within submittal (if applicable)	Comments
Preliminary Plans - concurrent with Environmental and ROW Clearance process		LPA receives plans from engineering firm or prepares the plans in-house and submits to MoDOT.				Review Preliminary Plans and notify LPA to begin Final PS&E			
Final PS&E		LPA receives final PS&E from engineering firm or prepares in-house final PS&E and sends to MoDOT and requests construction authorization. Proposal shall include: Final PS&E, all environmental clearances, ROW certification and any RR and utility executed agreements.		MoDOT- DR- Reviews final PS&E		Provide the comments to the LPA			
		Address comments provided by MoDOT -DR and re-submit.				Reviews second PS&E submittal to ensure all comments from MoDOT-DR are addressed. Sends to FHWA for construction obligation. Notifies LPA of construction authorization and notice to bid.			
CE AND CONSTRUCTION ESTIMATE FUNDS HAVE BEEN OBLIGATED									
Bidding Process	EPG 136.10.12 CFR 635.112(b) & (d)	Advertise bid for MINIMUM of 3 weeks (21 days). Encouraged to use the MoDOT website for notices. Include Title VI Civil Right Assurances in notice.		MoDOT - DR - Post notice to MoDOT website, if applicable.					
		Open bids & recommend award. Note: Successful bidder has 3 days to submit to LPA the DBE info on sub-contractors.							
		Submit bid tabs, anti-collusion stmt, and DBE info to MoDOT for concurrence. See checklist of items in EPG.		MoDOT - DR - Reviews bid info and gives concurrence in the award of the bid.					

Process Stage	Reference	LPA Responsibility	LPA Initial	MoDOT Central Office Staff Responsibility	MoDOT CO Initial	MoDOT District Staff Responsibility	MoDOT District Initial	Location within submittal (if applicable)	Comments
		Execute contract with successful bidder & submit to MoDOT.				Review executed contract & submits costs to FHWA. Notify LPA that contract is acceptable.			
FHWA ADJUSTMENT IN CONSTRUCTION ESTIMATE FUNDS TO EXECUTED CONTRACT FUNDS									
		Issue NTP to contractor.							
Construction Phase		Submit progress reports, wage rate interviews, assures construction will be inspected for compliance with specifications and ensures EEO compliance. Maintain quantities documentation.				MoDOT conducts periodic site visits.			
		Notify MoDOT of construction completion and submit final inspection report.				MoDOT to conduct final inspection			
		Submit FINAL invoice							
Audit Phase				MoDOT - AI - to perform project audits as necessary. MoDOT - FS to request final payment from FHWA.					

APPENDIX E

Draft LPA Final PS&E Checklist

Local Public Agency (LPA) Final PS&E Checklist

Project Name:							Date Received:			
Project Sponsor:							XXXXXXXXXXXXXXXX:			
Federal Project #:							XXXXXXXXXXXXXXXX:			
Item	Topic	Reference	LPA Responsibility	LPA Initial	MoDOT Central Office Staff Responsibility	MoDOT CO Initial	MoDOT District Staff Responsibility	MoDOT District Initial	Location within submittal (i.e. page number)	
Plans & Proposal	Professional Engineer Signature	EPG 136.9.11	Title Sheet, all plan sheets and proposal MUST be signed by PE.		MoDOT - DR - review for required items.					
Plans & Proposal	Proprietary Items	EPG 136.9.9.3 23 CFR 635.411	Generally, on federal aid projects, the use of trade names in plans and specifications is not allowed except as outlined in EPG 136.9.9.3.		MoDOT - DR - review for required items.					
Proposal	Contractor Requirements	EPG 136.10.8 23 CFR 635.116	The bid proposal must stipulate that the prime contractor on a project must perform with its own organization, contract work amounting to not less than 30% of the total original contract price.		MoDOT - DR - review for required items.					
Proposal	Contractor Requirements	EPG 136.10.8 MoDOT Spec 102.2	Bid Proposal must stipulate that the prime contractor must have a fully responsive contractor questionnaire on file with the Missouri Highways and Transportation Commission (MHTC) at least seven (7) days prior to the bid opening date if this project involves roadway or bridge work. The following sentence could be inserted into the contract that would allow contractors not on the listing to submit a bid for the project. "Sec 102.2 of the Missouri Standard Specifications for Highway Construction will be waived for this project." This statement should only be used on proposed improvements that do not contain roadway or bridge construction (i.e., landscaping, sidewalks, bicycle path, etc.). If this waiver is not inserted in the contract and the bidder is not on MoDOT's listing, the bidder cannot be awarded the project.		MoDOT - DR - review for required items.					

Item	Topic	Reference	LPA Responsibility	LPA Initial	MoDOT Central Office Staff Responsibility	MoDOT CO Initial	MoDOT District Staff Responsibility	MoDOT District Initial	Location within submittal (i.e. page number)
Proposal	Subcontracting	EPG 136.10.8 23 CFR 635.116	The bid proposal must stipulate that second-tier subcontracting will not be permitted on the project.		MoDOT - DR - review for required items.				
Proposal	Suspension and Debarment	CFR 635.112 49 CFR 29 EPG 136.10.11	Bid Proposal must state contractors who are currently suspended, debarred or voluntarily excluded under 2 CFR part 180, or otherwise determined to be ineligible shall be prohibited from participating in the Federal-Aid Highway Program.		MoDOT - DR - review for required items.				
Proposal	OSHA Training	RsMO 292.675	OSHA Training Requirements are stated in proposal.		MoDOT - DR - review for required items.				
Proposal	Bid Bond(Guarantee)	EPG 136.10.14	Bid Proposal must include Bid Bond		MoDOT - DR - review for required items.				
Proposal	Bid Award	EPG 136.10.11 23 CFR 635.114(a)	Bid Proposal must state the the bid will be awarded to the "lowest, responsive, responsible bidder".		MoDOT - DR - review for required items.				
Proposal	Bidding Requirements	23 CFR 635.112(h)	Bid Proposal must clearly identify requirements which the bidder must assure in order to make the bid responsive.		MoDOT - DR - review for required items.				
Proposal	E-Verify	RsMO 285.530	Bid Proposal must note requirements regarding Federal Work Authorization Program and list Federal website for E-Verify. Supporting documentation must include Affidavit for compliance.		MoDOT - DR - review for required items.				
Proposal	Addenda	EPG 136.10.12 23 CFR 635.112	Bid Proposal must include instructions on acknowledgement of addenda.		MoDOT - DR - review for required items.				
Proposal	FHWA Form 1273	EPG 136.10 23 CFR 633	Bid Proposal must include FHWA 1273 Contract Provisions		MoDOT - DR - review for required items.				

Item	Topic	Reference	LPA Responsibility	LPA Initial	MoDOT Central Office Staff Responsibility	MoDOT CO Initial	MoDOT District Staff Responsibility	MoDOT District Initial	Location within submittal (i.e. page number)
Proposal	Civil Rights	EPG 136.10.8 23 CFR 635.112(d)	Bid Proposal must include Title VI Civil Rights Assurances		MoDOT - DR - review for required items.				
Proposal	Anti-Collusion	EPG 136.10.14 23 CFR 635.112(f)	Bid Proposal must include anti-collusion statement and form.		MoDOT - DR - review for required items.				
Proposal	DBE Forms	EPG 136.14.3.1	Bid Proposal must include current version of DBE Forms.		MoDOT - DR - review for required items.				
Proposal	DBE Provisions	EPG 136.10.3 EPG 136.14.3.1 49 CFR 26	Bid Proposal must include the DBE provisions.		MoDOT - DR - review for required items.				
Proposal	Affirmative Action - Subcontractor Certification	EPG Figure 136.10.4	Bid Proposal must include the affirmative action form.		MoDOT - DR - review for required items.				
Proposal	On the Job Training (OJT)	23 CFR 230 EPG 136.10.4	Bid Proposal must include the OJT Training Special Provision (TSP) only when a goal has been established.		MoDOT - DR - review for required items.				
Proposal	Liquidated Damages	EPG 136.10.7 CFR 635.127	23 Bid Proposal must include liquidated damages rate table.		MoDOT - DR - review for required items.				

Item	Topic	Reference	LPA Responsibility	LPA Initial	MoDOT Central Office Staff Responsibility	MoDOT CO Initial	MoDOT District Staff Responsibility	MoDOT District Initial	Location within submittal (i.e. page number)
Proposal	Prevailing Minimum Wage (Davis-Bacon)	EPG 136.10.2 USC 113	23 Bid Proposal must include Federal Davis-Bacon prevailing wage rate determinations on all federal contracts except when the project is located off the federal-aid highway system. Local projects that are located on roadways classified as local roads or rural minor collectors are exempt from the Federal Wage Rate requirement. However, other federal-aid provisions still apply.		MoDOT - DR - review for required items.				
Proposal	Federal/State Wage Rates	EPG 136.10.2	When state and federal wage rates are both required the higher of the two for each job classification should be used.		MoDOT - DR - review for required items.				
Proposal	State Wage Rates	EPG 136.10.2	The local agency must request an Annual State Wage Determination for each contract from the Industrial Commission, Missouri Department of Labor and Industrial Relations (DOLIR), Box 449, Jefferson City, Missouri 65102 or by calling (573) 751-3403.		MoDOT - DR - review for required items.				
Proposal	Buy America	MoDOT Spec 106.9 23 CFR 635.110	Bid Proposal must include Buy America provisions.		MoDOT - DR - review for required items.				
Proposal	Right to Inspect Work	EPG 136.9.10	The project Job Special Provisions or drawings shall stipulate that MoDOT and FHWA may make inspections of the work and that the contractor shall grant them access to all parts of the work.		MoDOT - DR - review for required items.				
Proposal	Inspection	EPG 136.11.9	Bid Proposal must state that all technicians who perform, or are required by the FHWA to witness, such sampling and testing shall be deemed as qualified by virtue of successfully completing the requirements of EPG 106.18 Technician Certification Program, for that specific technical area.		MoDOT - DR - review for required items.				

Item	Topic	Reference	LPA Responsibility	LPA Initial	MoDOT Central Office Staff Responsibility	MoDOT CO Initial	MoDOT District Staff Responsibility	MoDOT District Initial	Location within submittal (i.e. page number)
Proposal	Section 404 Permits	EPG 136.4.5.5	404 COE Permit/401 Water Quality (if applicable)** <i>This should be included in the proposal.</i>		MoDOT - DR - review for required items.				
Proposal	Bid Form	EPG 136.9.7	The bid proposal will also need to include an itemized listing of all pay items included in the project, quantities of each individual pay item and blanks for the contractor to submit a unit price (and extension) for each pay item. (No Lump Sum Contracts)		MoDOT - DR - review for required items.				
Proposal	Alternate Bidding	?	?		MoDOT - DR - review for required items.				
Proposal	Lobby Certification	MoDOT Spec 102.18.4 31 USC 1352	Submit Certification in Bid Documents		MoDOT - DR - review for required items.				
Proposal	Retainage	RsMO 34.057 MoDOT Spec 109.9	Retainage of contractor payment is not to be automatically applied to projects as a matter of course. However, the PS&E should clearly state that in accordance with the Missouri Prompt Pay Act (34.057 RSMo), the owner may withhold payment for any of the reasons outlined in RsMO 34.057, or as determined by the engineer.		MoDOT - DR - review for required items.				
Proposal	Period of Performance	MoDOT Spec 108 EPG 136.1.2	Proposal must include language indicating the allowed construction timeframe.		MoDOT - DR - review for required items.				

Item	Topic	Reference	LPA Responsibility	LPA Initial	MoDOT Central Office Staff Responsibility	MoDOT CO Initial	MoDOT District Staff Responsibility	MoDOT District Initial	Location within submittal (i.e. page number)
Supporting documentation to proposal	Section 106 Clearance	EPG 136.4.5.12	Section 106 - SHPO Clearance, if applicable.		MoDOT - DR - review for required items.				
Supporting documentation to proposal	USF&W/T&E	EPG 136.4.5.13	United States Fish & Wildlife (USF&W) Threatened & Endangered Species (T&E) Clearance, if applicable.		MoDOT - DR - review for required items.				
Supporting documentation to proposal	MDC Heritage Review		Missouri Department of Conservation (MDC) Heritage Review, if applicable.		MoDOT - DR - review for required items.				
Supporting documentation to proposal	100-year floodplain and regulatory floodway	EPG 136.4.5.3 44 CFR Parts 59-78	Flood Plain Development Permit, if applicable.		MoDOT - DR - review for required items.				
Supporting documentation to proposal	Farmland Protection Policy Act	EPG 136.4.5.2	Farmland Conversion Impact Rating Form, if applicable.		MoDOT - DR - review for required items.				
Supporting documentation to proposal	NEPA Classification	EPG 136.4.1.1	Include NEPA classification documentation		MoDOT - DR - review for required items.				
Supporting documentation to proposal	??	?	Approval letter from Drainage District, if applicable. <i>(SE district bridge replacement only)</i>		MoDOT - DR - review for required items.				
Supporting documentation to proposal	Railroad	EPG 136.9.4	Approval letter from Railroad, if applicable.		MoDOT - DR - review for required items.				
Supporting documentation to proposal	Right of Way	EPG 136.10.9	Final Right of Way Certification		MoDOT - DR - review for required items.				
Supporting documentation to proposal	Utility	EPG 136.9.5	Utility Relocation - Status Letter from Applicable Agencies, if applicable.		MoDOT - DR - review for required items.				
Plans	Plan Requirements	EPG 136.9.11	Title Sheet MUST have: Federal Project #, location map and local official(s) signatures.		MoDOT - DR - review for required items.				

Item	Topic	Reference	LPA Responsibility	LPA Initial	MoDOT Central Office Staff Responsibility	MoDOT CO Initial	MoDOT District Staff Responsibility	MoDOT District Initial	Location within submittal (i.e. page number)
Plans	Traffic Control	EPG 136.9.3 MUTCD	The local agency shall develop and implement a Transportation Management Plan (TMP) in sustained consultation with all stakeholders for each project. The TMP shall conform to the guidelines set forth in Chapter 6 of the Manual on Uniform Traffic Control Devices (MUTCD).		MoDOT - DR - review for required items.				
Job Special Provisions	ADA	EPG 136.8.1	ADA Compliance Special Provision must be included for projects with pedestrian facilities. The language can be found at: http://www.modot.mo.gov/business/standards_and_specs/LPAStandardJobSpecialProvisions.htm		MoDOT - DR - review for required items.				
Specifications	Spec Requirements	EPG 136.9	When referencing Missouri Standard Specifications for Highway Construction - Current Edition, MUST be specific on the edition date.		MoDOT - DR - review for required items.				
Specifications	Spec Requirements	EPG 136.9	The specification used shall be referenced on both the drawings and the specifications package as the basic standard for materials and construction - except as modified or superseded by job special provisions or other specifications included in the specifications package.		MoDOT - DR - review for required items.				

Item	Topic	Reference	LPA Responsibility	LPA Initial	MoDOT Central Office Staff Responsibility	MoDOT CO Initial	MoDOT District Staff Responsibility	MoDOT District Initial	Location within submittal (i.e. page number)
Estimate	Engineer's Estimate	EPG 136.9.7	An engineer's estimate, showing estimated quantities, unit prices and extended totals shall be submitted to MoDOT with the detailed plans. Subtotals shall be shown for roadway items, bridge, signing/striping/signals, landscaping/streetscaping, utilities (reimbursable with federal participation) and bicycle/pedestrian facilities . The engineer's estimate should be treated as a confidential document. Any knowledge of the estimate may cause unbalanced bids or provide a contractor who has knowledge of the engineer's estimate an advantage.		MoDOT - DR - review for required items.				