New Project Oversight Programs: CAPs – PoDIs – PoCIs

2016 Louisiana Transportation Conference
Risk Based Stewardship and Oversight

• To ensure compliance with Federal regulations.
• Three areas of project involvement
  • Project Approval Actions
  • Data Driven Compliance Assurance (CAP)
  • PODI/POCI
Project Approval Actions

As required by Federal law:

• Environmental approvals

• Project Authorization
Compliance Assessment Program (CAP)

• Purpose is to provide reasonable assurance that federal-aid projects comply with key federal-aid requirements.

• All FHWA Divisions nationwide are doing CAPs.
CAP Project Selection

The number of projects reviewed each year is statistically based and randomly selected from projects authorized in FMIS over a 1 year period.
CAP Reviews To Date

<table>
<thead>
<tr>
<th>Performance Year</th>
<th>Number of projects reviewed</th>
</tr>
</thead>
<tbody>
<tr>
<td>2014</td>
<td>56</td>
</tr>
<tr>
<td>2015</td>
<td>55</td>
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<tr>
<td>2016</td>
<td>30</td>
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Cap reviews are a one-time review or “spot check” and consist of:

- Core Question guide
- Corporate/Technical Review Guides
Core Question guide

Focuses on Key regulatory requirements in 23 CFR and other federal regulations.
Core Question guide

Ten questions including:

- STIP
- Approved environmental documents
- Right of way and Utility Certifications
Core Question guide

Ten questions including:

• Form FHWA 1273
• Transportation Management Plan (TMP)
• Bid Review?
• Full time public employee in responsible charge?
Corporate/Technical Review Guides

Various Program Area reviews

• Right of Way
• Environmental
• Financial (2015-16)
• Safety
• Materials
Main findings from CAPS:

• Missing Form FHWA 1273 (required contract provisions)
• Undocumented bid analysis prior to awarding construction contract
• Undocumented cost analysis on construction change orders
CAP Findings (continued)

- Missing Buy America documentation (RR, Rec Trail and Rest Area projects)
- Missing CUF (Commercially Useful Function) documents for DBEs
- Missing EEO documents on construction bulletin boards

These items are currently being addressed and corrected by LDOTD and FHWA
PODIs
Projects of Division Interest

• Replaces “Full Oversight” projects

• These projects have an elevated risk, or

• Have elements of higher risk, or

• Present an opportunity for FHWA involvement to enhance program objectives
PODIs

Some factors for consideration:

• NHS or Interstate highway

• New, experimental, or unusual project delivery methods.

• Major project (>500M)
PODIs

More factors for consideration:

• Total project cost

• Unique or unusual engineering or construction methods.

• Major political or public interest (or controversy)
PoDI Examples

- I-10 and I-12 Widening Projects
- I-49 K1 and K2 projects
- US 90 Design Build Projects
- Fort Buhlow Bridge
- I-10 Mississippi River Bridge at Vicksburg
- I-210/Prien Lake Bridge
- LA 1 Phase 2 – Leeville to Golden Meadow
• Projects will be identified from the LDODT project letting list.

• Projects should also be identified as early as possible
  • In the NEPA or Design phase
PODIs

• A project specific agreement will be developed for each PODI project.

• This will determine the level or oversight and areas to be reviewed (Risk based).

• Project specific agreements should be signed prior to construction authorization.
POCIs
Projects of Corporate Interest

• This is a subset of PODIs

• These are projects deemed to be so significant on a national or regional basis, that extra resources beyond those available at the Division office will be committed.
PoCI Examples

- Alaskan Way Viaduct – Seattle, Washington
- Tappan Zee Bridge, New York
- I-10 River Bridge, Mobile, AL
- New International Trade Crossing, Michigan
- Pensacola Bridge Replacement, Florida
POCI\textsubscript{s}

Projects of Corporate Interest

• 50 POCI’s nationwide.

• Currently, there are no such projects in Louisiana.
Questions?