Annual FHWA Risk Based Stewardship and Oversight Update

Presenters
Jay DuMontelle, Project Delivery Team Leader
Eryn Fletcher, P.E., Senior Transportation Engineer

Road School, 2016
Today we will be covering...

- Results from FHWA’s Risk-based Stewardship & Oversight
  - The Stewardship Agreement
  - PODIs (Projects of Division Interest)
  - Program Reviews
  - CAP (Compliance Assessment Program)
  - Recent project-related Observations
Indiana DOT / FHWA

Stewardship & Oversight Agreement

http://www.fhwa.dot.gov/indiv/
FHWA Risk-based Stewardship & Oversight

Project Involvement

- Required Project Actions
- Data-driven Compliance Program
- Risk-based Project Involvement

Program Involvement

- Required Program Actions
- Risk-based Program Involvement

Core Principles
- Risk-based
- Data-driven
- Value-added
- Consistent
Projects of Division Interest (PODIs)

Reasons to be a PODI:

- To help ensure timely federal review so projects accelerate as much as possible.
- To address an elevated project risk or risk elements.
- To access additional technical assistance from FHWA’s national resources.
- To pilot new techniques/concepts.
Timing of PODIs

- Identified early in the calendar year, in cooperation with INDOT.
- Specific project plans are developed and finalized by April.
- INDOT’s Project Managers then work with FHWA engineers to implement plans.

PODIs can also be added during the year.
Recent examples:

• SR 641, Terre Haute Bypass
• I-69, Sections IV and V
• I-70, Bridge Replacement over SR 121 (slide-in technology being considered)
• Indefinite Delivery/Indefinite Quantity pilot project
• SR 237, Cannelton Bridge (project coordinated with Kentucky)
Takeaway:

PODIs are a Good Thing…
“Make’em Happen!!”
Program Reviews:

Selected by risk to evaluate compliance; BUT ALSO to identify opportunities for programmatic improvements:

• NEPA programmatic review
• Cooperative Work zone review with INDOT
• Annual Bridge Inspection review
• Others
Compliance Assessment Program Review (CAP)

- Annual Review of about 50-60 projects
- Statistically valid random sample of projects authorized for construction in prior year
- Purpose: Assess and monitor compliance across spectrum of federal requirements
CAP 2015

• 49 Projects reviewed
  – All LPA projects (unique this year)
  – 28 questions

• Process
  – National Review Guides were used
  – Document reviews
  – On-site field visits
## Timeline

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<tr>
<th>Month</th>
<th>Task</th>
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<tr>
<td>April</td>
<td>Headquarters identifies CAP project population</td>
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<td>May - October</td>
<td>Field and document reviews</td>
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<td>November – December</td>
<td>Summary Developed</td>
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Project-related Observations

1. Railroad coordination
2. Cost analysis for change orders
3. Erosion and Sediment Control
CAP Observation:

Observations

Railroad coordination

Question: Did the State provide a statement regarding the status of all ROW, utility, and railroad work prior to the date of authorization in FMIS?

Requirement: 23 CFR 635.309

Requires that all right-of-way clearance, utility and railroad work has been completed… or coordinated prior to authorization
Railroad coordination

- ACTION: INDOT Design Memorandum 15-01
- ACTION: INDOT Policy for Review of Warning Devices at Highway Railroad Crossings
- ACTION: Revisions to PSE Checklist and Narrative

The Department has also revised its Railroad Coordination process. A Railroad Coordination Certification form will be required for all projects regardless of railroad impacts effective for contracts letting on or after July 1, 2015. At this time, the Railroad Coordination Certification form is available to Department personnel only. The Railroad Coordination Certification should use the naming convention RRCert.
CAP Observation:

Cost analysis for change orders

Question: Based on a minimum review of one contract change order or extra work order, did the State perform and adequately document a cost analysis for each negotiated change or extra work order?

Requirement: 23 CFR 635.120

The State Transportation Department shall perform and adequately document a cost analysis of each negotiated change order…The method and degree of analysis is subject to approval
CAP Observation: (cont.)

Cost analysis for change orders

- ACTION: Joint INDOT / FHWA Change Order Review
- ACTION: Revisions to General Instructions to Field Employees (GIFE) March, 2016
- ACTION: Revise cost analysis process for approval by Jan. 2017
Program Review Findings:

Observations

**Erosion and Sediment Control**

- ACTION: 2014 Joint INDOT / FHWA ESC Review
- ACTION: Revisions to standard specifications, General Instructions to Field Employees (GIFE), Indiana Design Manual (IDM)
- ACTION: New INDOT Storm Water Field Guide, New INDOT training classes
- ACTION: Follow-up review in 2017
Status of 2015 CAP

In 2015, FHWA nationally decided to review only local projects:

1. “Core” Questions
2. Contract Administration
3. Finance

Summary still being developed.
Summary

Results of FHWA’s Stewardship
- Stewardship Agreement
- PODIs (Projects of Division Interest)
- Program reviews
- CAP (Compliance Assessment Program)
- Recent Observations
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