

LUNCH and LEARN with FHWA

North Dakota Division Office

Rugged North Dakota Landscape

FAHP, RBSO, & PODI: Not Just A Bunch of 4-Letter Words?



Presenter(s):

Sandy Zimmer, Wendall Meyer, & Stephanie Hickman

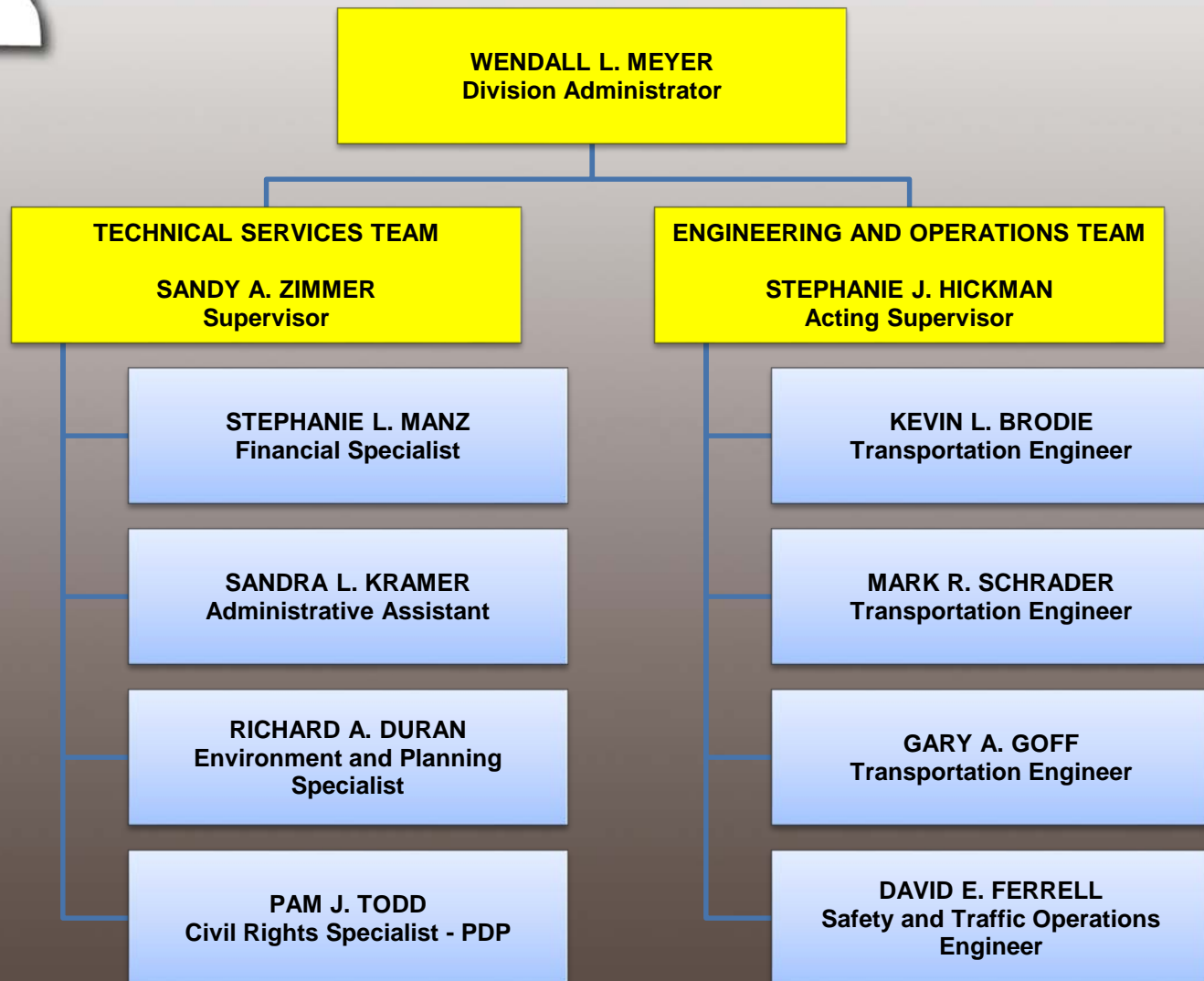


U.S. Department of Transportation
Federal Highway Administration

Organizational Structure

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About Your Presenter(s)

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Overview of the Federal-aid Highway Program (FAHP)



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Federal Highway Administration

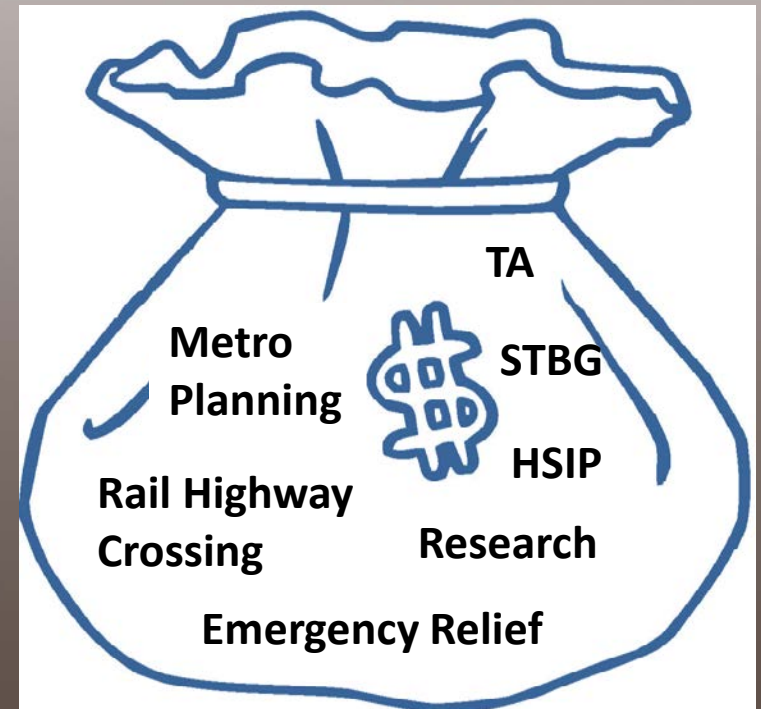
FAHP - Definition

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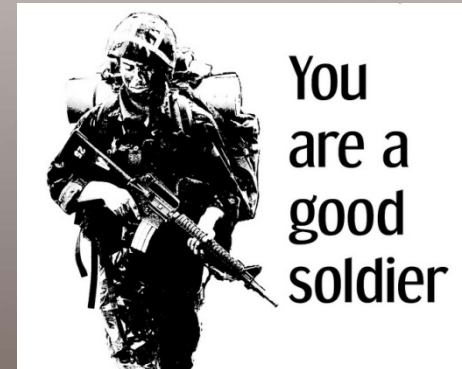
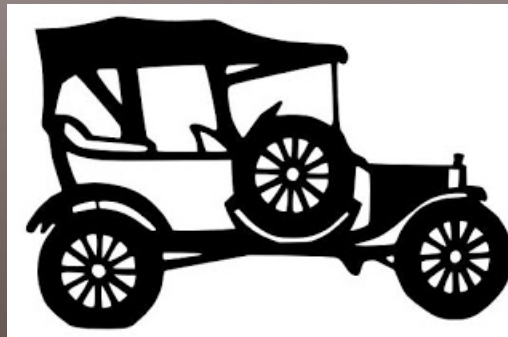
FAHP



FAHP - History

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FAHP - Characteristics

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- **Federally assisted, State-administered**
- **Each State must have a highway agency**
- **Matching requirements (Federal/State Share)**



FHWA Today: Who are we?

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- **Legislated Mission:**
“...provide for a strong and vigorous national economy...” 23 USC 101(b)
(and associated regulations)
- **What we aspire to through our Mission:** Improve Mobility on our Nation’s Highways Through National Leadership, Innovation, and Program Delivery.
- **What the public expects:** Safety and fiscal integrity, emergency response...



Key Terms

RBSO
Fundamentals

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- Risk: Effect of uncertainty on objectives.
- Risk Management: Standard process to focus resources, strengthen program management, and improve communications to manage risk.
- Stewardship: Ensure efficient and effective use and management of Federal-aid highway funds.
- Oversight: Ensure program and project compliance with Federal laws and regulations.



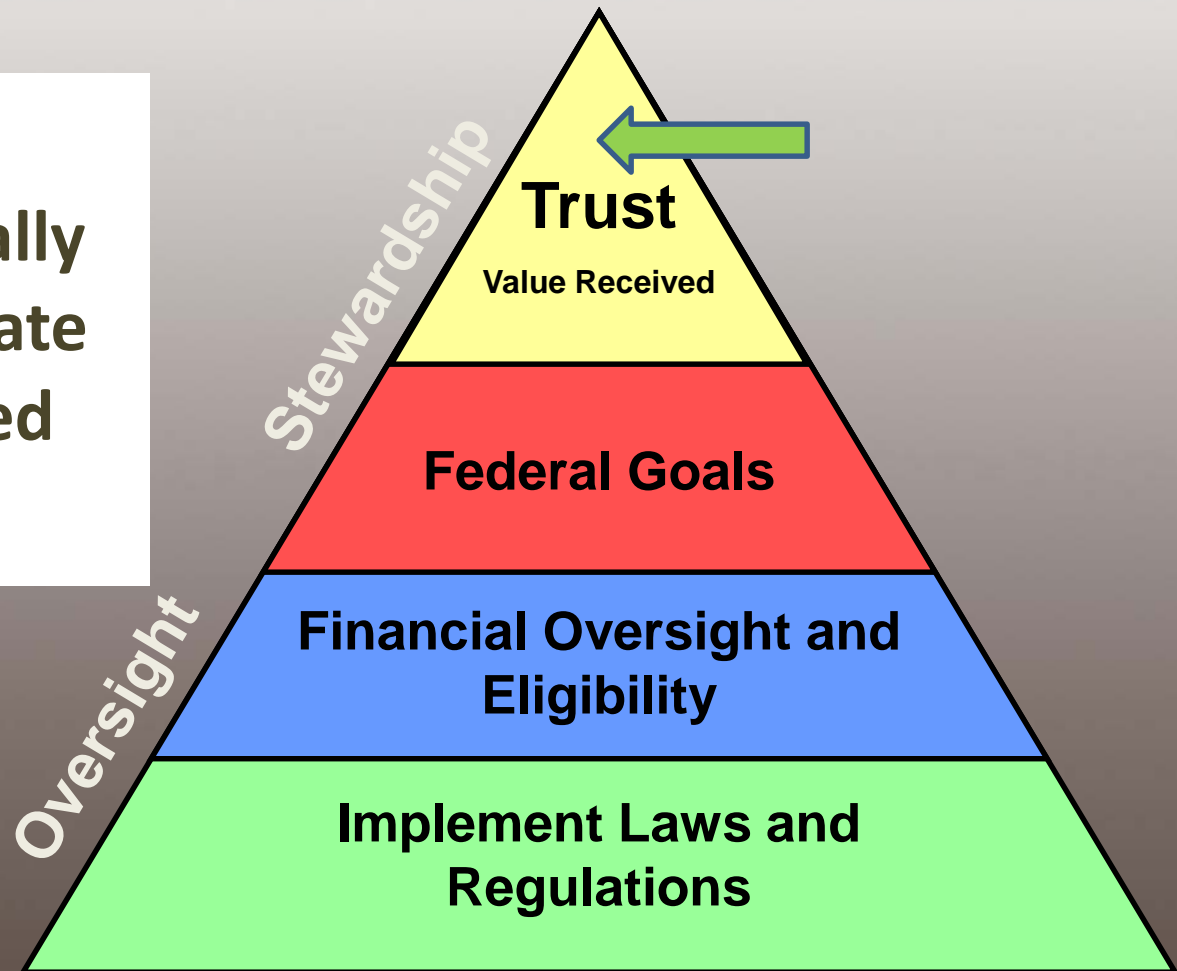
FHWA Role: What do we do?

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A Partner...

In “A Federally Assisted, State Administered Program”



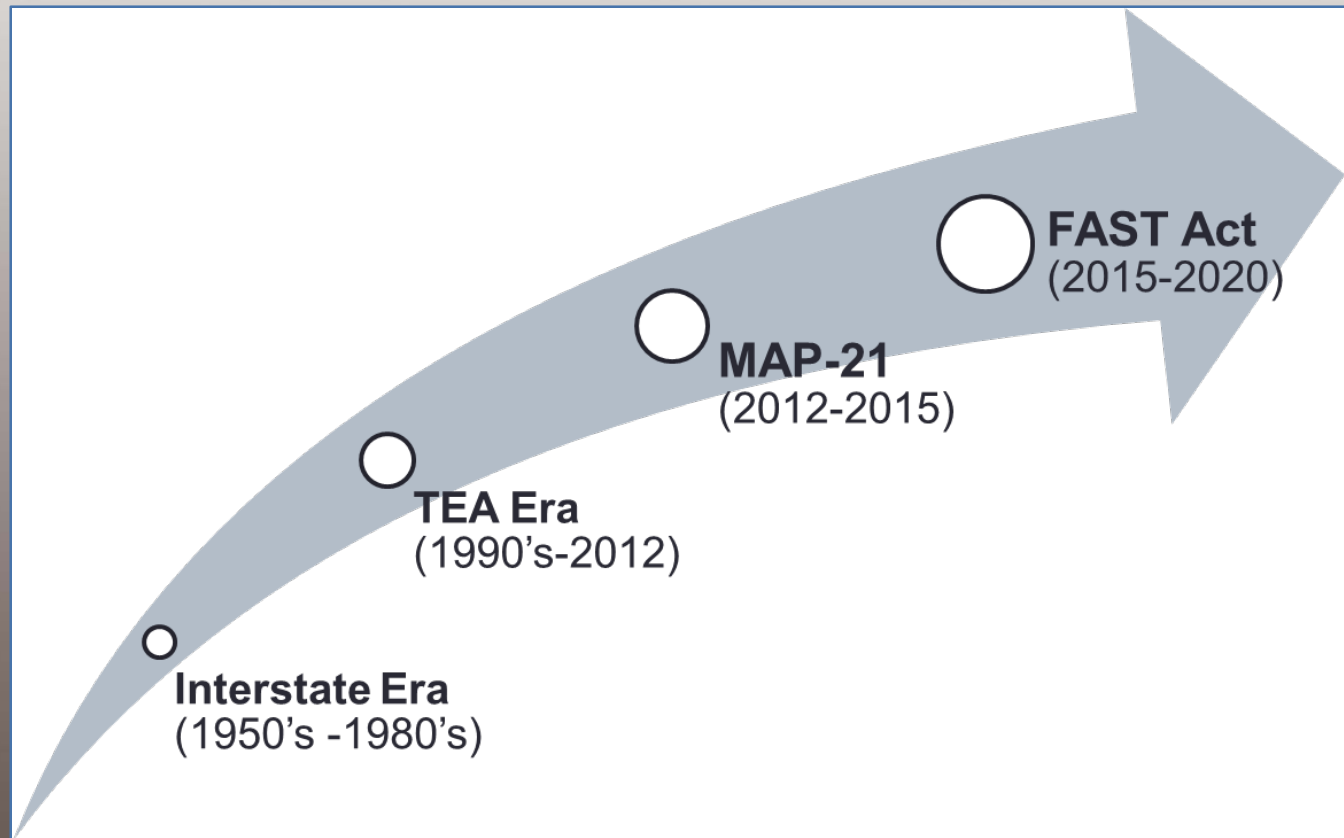
The Shifting Federal Role

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State
and
Local
Agency
Role



Time



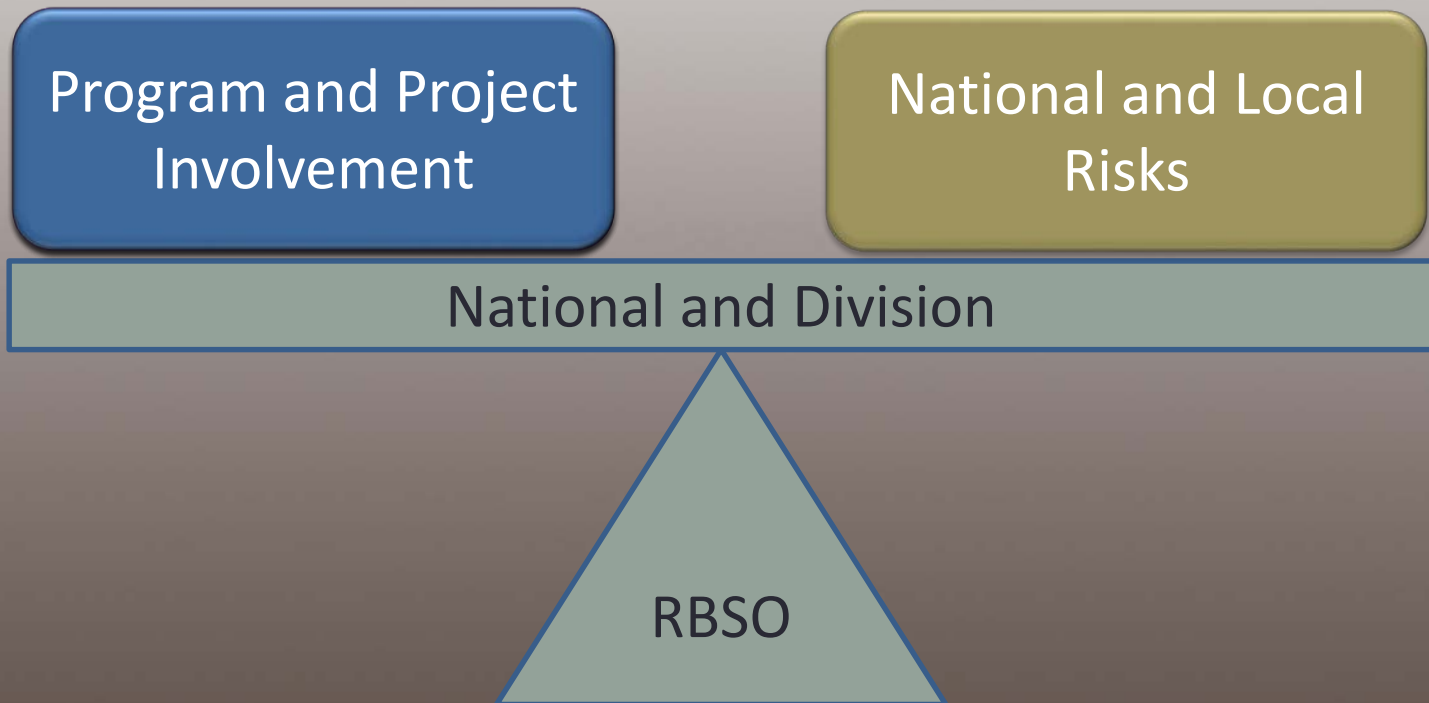
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Balancing Resources and Risk

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RBSO Framework

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- Program Involvement
 - Required Program Actions
 - Risk-based Program Involvement
- Project Involvement
 - Required Project Actions (S&O)
 - Risk-based Project Involvement (PoDI)



Program Involvement; Required

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Example: DBE Goal Setting Methodology



U.S. Department
of Transportation
Federal Highway
Administration

North Dakota Division
December 29, 2017

4503 Coleman Street, Suite 205
Bismarck, North Dakota 58503
Phone 701-250-4204
Fax 701-250-4395

Mr. Thomas K. Sorel, Director
North Dakota Department of Transportation
608 East Boulevard Avenue
Bismarck, North Dakota 58505-0700

Attention: Ramona Bernard

Dear Mr. Sorel:

Subject: Fiscal Year (FY) 2018 – 2020 Disadvantaged Business Enterprise (DBE) Goal

In accordance with the provisions of 49 CFR 26.45, we have reviewed the overall goal submitted by the North Dakota Department of Transportation (NDDOT) for the FY 2018 – 2020 Federal-aid Highway DBE program.

The NDDOT submitted an overall goal of 4.91 percent (3.25 percent of which it projects to meet through race neutral means and 1.66 percent through race conscious means). Our review considered the overall goal as well as the description of the data and methodology used in arriving at your overall goal, including the base figure calculation and evidence supporting the calculation; adjustments, if any, made to the base figure and the evidence supporting these adjustments; a summary of the relevant evidence in your jurisdiction; the projection of the portion of your overall goal that you will meet through race neutral as opposed to race conscious means and the basis for your projections; and the

Federal-aid Highway Program Stewardship and Oversight Agreement on Project Assumption and Program Oversight by and between

North Dakota Department of Transportation
And
Federal Highway Administration
North Dakota Division

The Federal Highway Administration, North Dakota Division (FHWA), and the North Dakota Department of Transportation (NDDOT) enter into this agreement to conduct project oversight activities in accordance with the following stipulated elements. This agreement outlines responsibilities and accountability for FHWA and NDDOT. The purpose of this agreement is to clarify actions, prevent misinterpretations, and avoid time delays.

At a minimum, this agreement will be reviewed every three years by FHWA and

See Section 2.2.1 of the NDDOT/FHWA Stewardship Agreement that includes federal approvals that can't be assumed by the State.



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Program Involvement; Risk-Based

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PROGRAM REVIEWS:

- FY2018 – Railroad Program
- FY2017 – Change Orders
- FY2016 – Local Program Administration
- FY2015 – Metropolitan Planning Org
- FY2014 – Work Zone Program



COMPLIANCE
ASSESSMENT
PROGRAM (CAP)



Project Involvement; Required

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Example: Interstate Access Justification



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Project Involvement; Risk-Based

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New Town NW Truck Reliever Route

Example: Projects of Division Interest (PODI) Plan

5. What are the general project *phases* that will be reviewed (select all that apply):

- | | |
|--|---|
| <input type="checkbox"/> Project Authorization & Project Agreement | <input checked="" type="checkbox"/> Plan, Specification, & Estimate Development |
| <input type="checkbox"/> Project Planning & Programming | <input checked="" type="checkbox"/> Advertising and Award |
| <input type="checkbox"/> Project Financing | <input type="checkbox"/> Innovative Contracting/Design Build |
| <input type="checkbox"/> Environmental Clearances/NEPA | <input type="checkbox"/> Contract Administration |
| <input type="checkbox"/> Preliminary Design | <input type="checkbox"/> Construction Inspection & Quality |
| <input checked="" type="checkbox"/> Final Design | <input type="checkbox"/> Other – Describe: <input type="text"/> |

Please provide a specific description of the above phases that will be reviewed:

FHWA proposes to retain bid authorization approval to insure utility certifications meet federal requirements and can be validated through utility relocation agreements and bid documents to meet NDDOT certification statement.

6. What are the general S&O *activities* that the Division will conduct in response to risk (select all that apply):

- ☒ Retained Project Approval Actions (those originally assumed by the DOT as per the S&O Agreement)
- ☒ Project/Technical Meetings (all/some – explain below)
- ☒ Document/Plan Review (explain which ones below)
- ☐ Field Review/Inspection & Report (when and at what specific field activity, explain below)
- ☒ Special Review (R/W, Utilities, RR agreements, etc. – explain below)
- ☐ Other – Describe:

Please provide a specific description of the above S&O activities that will be conducted:

Federal review of utility certification documents, utility certification statements and PS&E plans, plan notes, and bid proposal requirements related to concurrent utility work.





RBSO Framework

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- Program Involvement
 - Required Program Actions
 - Risk-based Program Involvement
- Project Involvement
 - Required Project Actions (S&O)
 - Risk-based Project Involvement (PoDI)





What The Heck *IS* a PoDI?

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PoDI:
Project of Division Interest





Types of PoDIs

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1) Automatic

- Major Projects (>\$500 million)
- BUILD (TIGER) Grants
- INFRA Grants

2) Division Office Selected



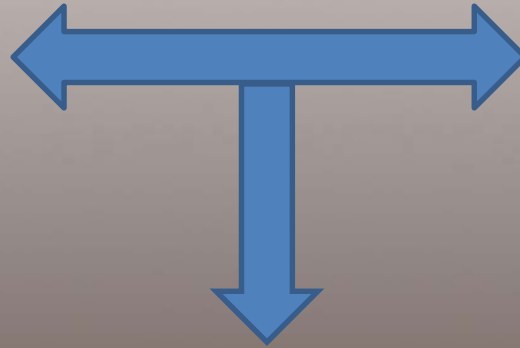
How do we choose a PoDI?

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PROJECTS:

- Statewide Transportation Improvement Plan (STIP)
- Discussions with...
 - Districts
 - Construction Division
 - Others
- Scoping Documents
- Project Status Report



RISKS:

- Complexity / Cost
- Schedule / Urgency
- Environmental Considerations
- Funding
- CAP Reviews
- Program Area Risk Assessment
- Innovation

NDDOT REQUEST:

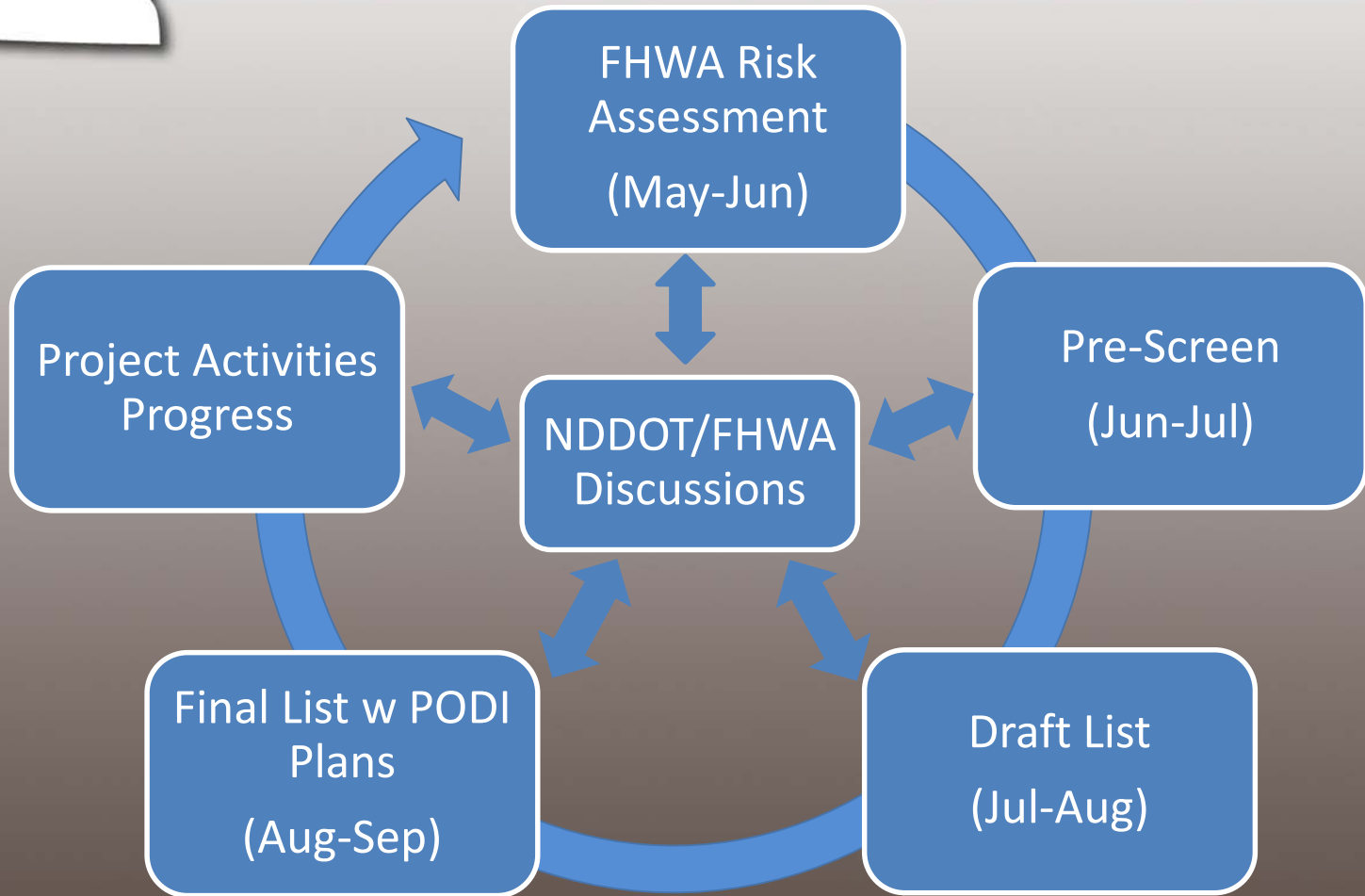
- Project Specific
- Geographic Distribution



PoDI Identification Timeline

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Example PoDI Plan

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Project of Division Interest (PoDI) Stewardship & Oversight Plan

Project Name	Description	State/County	FMIS #	State ID #	FHWA Contact
3-A20(090)096	ND 20, RP 96; Grade Raise	North Dakota/Ramsey	3A20090	20033	Gary Goff

1. Is this PoDI project completed? ☐ Yes ☒ No
 - a. If yes, what were the results of the Division's involvement in the project?
[Click here to enter text.](#)
 - b. If no, keep this project on the Current PoDI List? ☒ Yes ☐ No
2. Is this PoDI also a PoCI? ☐ Yes ☒ No
3. What is the PoDI Type (select one)?
 - ☐ Major Project (>\$500M); 23 USC 106(h)
 - ☐ Appalachian Development Highway Project
 - ☐ TIGER Discretionary Grant Project
 - ☒ Projects Selected for Risk-based Stewardship & Oversight; 23 USC 106(g)
4. What are the applicable risk areas associated with the PoDI (select all that apply):
 - ☒ Complexity
 - ☐ Cost
 - ☐ Schedule
 - ☒ Urgency
 - ☒ Environment & Stakeholders
 - ☐ Funding
 - ☒ Project Administration
 - ☐ National/Regional Significance
 - ☐ Corporate Actions
 - ☐ Local Considerations
 - ☐ Other: Describe: [Click here to enter text.](#)



How do I know if a project is PoDI? (at NDDOT?)

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NDDOT
Director

Office
Holders

Division
Directors
and
District
Engineers



Aren't PoDIs the same as Full-Involvement?

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NO!

FULL-INVOLVEMENT =
FHWA Involved Cradle to Grave

PODI =
FHWA Only Involved in
Risk Elements/Activities



Still Not Clear.....

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Contact:

Stephanie Hickman @ 221-9462

Or a FHWA Transportation Engineer:

-Gary Goff @ 221-9466

-Kevin Brodie @ 221-9467

-Mark Schrader @ 221-9468





Thank You!

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Questions?

Interested in a particular topic?

Send us a note at: hdand@dot.gov

Join Us Next Month for
“Operations in the 21st Century DOT”

Presented by: David Ferrell

