

**TO:** VDOT HIGHWAY SAFETY PARTNERS

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**RE:** SECTION 130-RAIL SAFETY PROGRAM MANAGEMENT WORKFLOW

### Team Legend

**CTB** – Commonwealth Transportation Board  
**TED** – CO Traffic Engineering  
**RAIL** – Central Office Rail Section under Right of Way  
**L&D** – District Location and Design  
**DTE** – District Traffic Engineering  
**LAD** – Local Assistance Division  
**RRA** – Railroad Applicants (Rail, Locality, VDOT)  
**RR** - Railroad and/their consultants  
**ENV** – District Environmental  
**IID** - Infrastructure Investment Division  
**BFMD** – Budget and Funds Management Division  
**DPDE** - District Project Development Engineer  
**DPIM** - District Planning and Investment Management  
**DPM** - District Project Manager  
**DPOC** - District Point of Contact

### Programming

- A. Applications for 130 Safety Funds (Rail Safety) are submitted annually through the SMART PORTAL (or other means) by Localities, Railroads, or VDOT Staff.
- RRA**
1. Applications are reviewed and eligible projects selected by early March in order to support programming of projects during update of the Six Year Improvement Program (SYIP) **TED**.
  2. During application review, scopes/schedules/estimates are validated by the DPM in consultation with TED. **DPM** The validated estimate is the basis of cost to be included in the initial agreement established with the Railroad by the Rail Section team. This initial railroad agreement will be revised based on updated costs provided by the Railroad during the PE phase in advance of Construction start. **RAIL**

- B. Temporary UPCs are set up by the DPM, (Project Pool “project” record types only) based on project selections and pulled into the iSYP GENMOD for programming for inclusion in the Draft SYIP. The Draft iSYP is released each April for public review and comment. **DPM or DPIM/TED/IID**
- C. During the Data Verification stage (which should occur during Temporary UPC creation), there are data fields required to be identified in accordance with [IIM-IID 4.2](#) in order to later obtain a permanent UPC; additionally, the following information is also established at this point:
  1. Programming level estimate is entered in Pool based on application - **DPM**
  2. Based on project features identified during UPC creation, a PWA schedule template is selected
  3. Based on the schedule in the application and based on the availability of funds, a project start date is entered and a PWA schedule is generated based on the start date and selected project template; once an initial schedule has been generated in Project Pool, users may adjust the PWA schedule to align Phase Dates with the schedule on the application – **DPM**
  4. If all required fields are complete, the UPC then proceeds through the Data Verification workflow to obtain approval by the District Project Development Engineer (DPDE) and District Planning and Investment Manager (DPIM) or their designees
  5. Permanent UPC is assigned upon completion of data verification and upon receipt of UPC initiation request - **IID**
- D. The CTB considers public input on the draft SYIP and votes to adopt a Final SYIP by June of each year. **CTB**
- E. After the CTB approves the SYIP, TED will compile the list of rail safety projects that were approved and provide to the DPMs and RAIL. **TED**

## Preliminary Engineering

- A. PE federal authorization is authorized based on the process outlined in IIM-FPMD-2.0. BMFD runs a report each month of federally eligible projects with PE phase start dates in the next 90 days. **BFMD**
- B. FPMD requests federal authorization in FMIS from FHWA in advance of the planned PE start date **FPMD**
- C. Once authorization is received, DPM should ask IID to open projects to charges. **(Begin Activity 12) DPM**
- D. Once projects are opened to charges, DPM should notify RAIL to begin work on the railroad agreement. **(Activity 12 Ends) DPM**
- E. DPM should notify Environmental staff that PE has begun and submit EQ-429 through CEDAR. Environmental staff will perform applicable environmental review activities through CEDAR. **(Activities 17E, 24, & 25) DPM/ENV**
- F. Simultaneously, during this time, the railroad should be performing preliminary engineering work for the *agreement* (PE usually takes up to 12 months from PE start) **(Begin Activity 12) RR**

- G. Once completed, the railroad should send updated plans, schedule, and CN estimate to Rail, who will provide copies to the DPM and TED. **Rail**
- H. Once plans are received, DPM uploads a new estimate in PCES for PE and CN phases. If estimate exceeds project funds, DPM should work with TED to determine if funds are available or if the railroad needs to revise the scope to bring the project back within original budget. **DPM**
- I. Once PE work is complete and a final PE invoice is received by Rail, Rail notifies DPM to scope project subject to District SOP based on schedule and estimate provided **(Activity 22 Ends) Rail/DPM**

## Construction

- A. Once PE is completed, the Construction Agreement and Right of Way Certification is prepared, in consultation with the DPM, and sent to the railroad for review and approval/execution, with copy to DPM. If a project is located within an urban locality or Henrico County and the locality maintains the roadway the project is located on, a tri-party agreement, which includes the locality, is required. District Local Assistance staff will assist in coordinating agreement execution with the locality. **(Begin Activity 68) RAIL/DPM/LAD**
- B. Once the railroad returns an executed Construction Agreement, it is circulated for the remaining signatures by the locality, if appropriate, and the Director of the Right of Way Division. **(Activity 69X & Activity 68 Ends) Rail**
- C. Executed Construction Agreement is processed, and copies are sent to all parties to include DPM and TED, asking the DPM to open the construction phase. **Rail**
- D. DPM requests Funding verification, Authorize CN funding, through applicable District or Central Office IID staff, depending on project Tier ([IIM-IID 1.6 – Funding Verification for Construction Program Projects](#)) **(Activity 79) DPM/DPIM**
- E. DPM requests that FPMD obtain Construction Federal Authorization- **DPM**
- F. DPM asks for Environmental re-evaluation, per planned dates in the PWA schedule, occurs to ensure project remains in foot print of original PCE for project **(Activity 66) DPM/ENV**
- G. Once construction authorization is received, DPM should ask IID to open projects to charges. **DPM**
- H. After IID opens project for construction charges, Rail sends a Notice to Proceed to railroad (Authorization Letter) with construction force account and executed agreement with a copy to the DPM and TED. **(Activities 80 & 84) Rail**
- I. Construction of project occurs (typical schedule is 12 – 24 months, including period after construction is completed until all bills are paid) DPM completes C-5 and sends it to Rail/TED. **(Activity 81 Starts) RR**
- J. Rail receives Invoices from Railroad, provides a copy to DPM and approves in coordination with DPM. Once Rail and DPM agree, Rail pays invoice. **RAIL/DPM**
- K. Once the RR finishes construction, they send an In-Service Letter (project completed) to Rail who provides a copy to DPM and TED. **Rail**

- L. DPM schedules and performs site inspection with Railroad and TED to confirm that the work was completed in accordance with the construction agreement. **DPM**
- M. If work is deemed acceptable, DPM completes the C-5 and sends an email to Rail confirming in service letter is consistent with constructed improvements. **(Activity 81 Ends) DPM**
- N. Once the Final Invoice is received from the Railroad, Rail sends an email to notify the PIM, DPM, and TED. **RAIL**
- O. The Expenditures are certified through lifecycle of the project by the DPM with assistance from the District Program Management Analyst and Rail **DPM**
- P. The project construction phase remains open for approximately 1 year to ensure all projects charges and/or additional invoices from Railroad are received.
- Q. Once the project is completed, activity 81 actual end dates are entered by the DPM which triggers the Project Closeout Process to begin. **(Activity 94) DPM**
- R. The DPM should initiate transfer of surplus funds by IID to the appropriate balance entry in coordination with TED. **(Activity 95) DPM**

For more information, please contact Tracy Turpin, HSIP Program Delivery Manager, at (804) 786-6610 or [Tracy.Turpin@VDOT.Virginia.gov](mailto:Tracy.Turpin@VDOT.Virginia.gov).