



## Local Program Low-Risk Delivery Model Summary STP-Rural, STP-Urban, STP-Local, Local Bridge

### Goal:

To implement a Local Program Low-Risk Project Delivery that streamlines the delivery and or oversight requirements of low-risk projects in the Surface Transportation Program – Rural (STP-R), Surface Transportation Program – Urban (STP-U), Surface Transportation Program – Local (STP-L), and Local Bridge Improvement Assistance Program.

### Objective(s):

WisDOT has developed a lower level of oversight and processes through the identification of design reports that can be simplified or delegated to the local project sponsor with the intended result of streamlining delivery that effectively reduces WisDOT oversight role.

### General Expectations

- Project must already be approved in the program
- Project operates in accordance with s.84.18, s.84.03 and trans.213
- Project cost share split will be defined in the State Municipal Agreement (SMA) for all programs; MPO STP-U minimum funding 50%
- Project must have an approved SMA
- Project must be state let
- Delegation of tasks to local to maximum extent outlined in the latest version of the Local Program Document Approval Designation Matrix
- Applicable state/federal statutes and regulations determine the engineering processes used to design and construct the project
- Projects must follow the [Department of Natural Resources \(DNR\) Cooperative Agreement](#)
- Projects must follow the [WisDOT Bridge Manual](#) & [Local Public Agency \(LPA\) Manual for Right of Way Acquisition](#)
- Bridge design consultant must be on WisDOT Bureau of Structures' list of eligible firms to provide structural design services
- Engineering design services are procured following the [Brooks Act](#) and the Qualification Based Selection (QBS) process
- Project is required to comply with the [FHWA and WisDOT Stewardship & Oversight Agreement](#) and federal activities, including (but not limited to): the Americans with Disabilities Act (ADA), Davis Bacon Act, Buy America, Qualifications Based Selection (QBS), Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (42 U.S. Code Chapter 61), environmental document in compliance with the National Environmental Policy Act (NEPA).
- **Project is required to submit**
  - State let plan formatting following FDM Chapter 15
  - request to use 3R standards
  - Minimum of one boring at each substructure for bridges, and a number for retaining walls depending on length, as well as requirements for retaining wall design or overhead sign support design, per the [WisDOT Bridge Manual](#)
  - Environmental document in compliance with the National Environmental Policy Act (NEPA). Typically, a Categorical Exclusion Checklist (CEC)

- Preliminary structure plan for Bureau of Structures (BOS) review and final structure design and plan for BOS review
- Right of way certification
- Utility status report (USR)
- Transportation management plan (TMP)
- Design study report (DSR).
- The following project documents **do not require WisDOT for review/approval:**
  - Pavement design report
  - Intersection control evaluation report
  - Encroachment report
  - Soils report
  - Storm water report

The Local Public Agency (LPA) is responsible for determining if these items are required per FDM requirements. All documents that are completed are required to be submitted to WisDOT for incorporation into project files.

#### General Management

- Program managed by WisDOT
- Participation in the low-risk delivery is voluntary and must be agreed to by the project sponsor and WisDOT through completion of the LPA Qualifications Form. County management could be considered with townships and municipalities through an agreement within the same county.
- If project complexity and risks increase through the design discovery process, the project may be removed from the Local Program Low-Risk Delivery Program and revert to full department oversight requirements
- Scoping and applications process managed by Division of Transportation System Development (DTSD)-Planning and Division of Transportation Investment Management (DTIM)-Programming/Finance
- Change management for project schedule, budget, scope changes between DTIM, DTSD, LPA
- Change management during construction for contract modifications, quantity overruns, and consultant amendments between DTIM, DTSD, LPA
- Active monitoring/management of project schedule, including project design delivery as detailed in the consultant contract to ensure project meets Plan, Specification & Estimate (PS&E) and Let schedule as determined by WisDOT.
- LPA/Designer maintains project file/records until PS&E, then all files/records are to be submitted to WisDOT for inclusion into project records.
- Local project sponsor and WisDOT local program project manager at onset of project authorization agree to required design and construction plans/reports.
- WisDOT will manage completed records/archive according to appropriate Records Disposition Authority (RDA)

#### Program Delivery Criteria

- Projects selected will meet program criteria and require an approved Selection Criteria Form
- Eligible Approved Concept Type (Use engineering judgement):
  - Preservation/Restoration (PSRS) – Example: 2-inch mill & overlay
  - Resurfacing (RSRF) – Example: Overlay < 2½ inches

- Pavement Replacement (PVRPLA) – Example: Full depth pavement replacement
- Bridge Rehabilitation (BRRHB) – Example: Deck repairs/overlays, replacing deck/girders
- Bridge Replacement (BRRPL) – Example: Full bridge, or box culvert replacement
- To maximize the number of roadways and bridges improved through the Local Improvement Project Delivery, funding eligibility is limited to the minimum project scope necessary for a safe and effective facility. The starting point for determination of the eligible scope is based on the existing facility. The scope of the project may increase based on safety, conformance with applicable minimum federal and state engineering standards, projected traffic needs, or other factors as approved by WisDOT. If the scope changes, the new scope must still meet the requirements identified on the Low-Risk Selection Criteria Form.

## Design Process

### Consultant Contracts

- Use WisDOT existing three-party contract process with LPA, consultant, and WisDOT
- Locally funded designs may use two-party contract

### WisDOT Roles/Responsibilities

- Provide feedback on LPA's proposed solicitation/selection process, including list of consultant roster. If requested, WisDOT will provide email list of consultant roster to LPA.
- Review and approve local selection (DT1515), ensure QBS process followed, participate in contract negotiation through contract execution
- Serve as signatory on contract, assisting in contract amendments, and errors and omissions (E&O) claims that LPA pursues

### LPA Roles/Responsibilities

- Contact WisDOT **prior** to solicitation for consultant services
- Solicit Request for Proposal (RFP), review, rank, and selection of consultant services
- Manage consultant day to day

## Environmental Document

Projects will follow the National Environmental Policy Act (NEPA), the Wisconsin Environmental Policy Act (WEPA), the DNR-DOT Cooperative Agreement, and all state and federal environmental laws, regulations, and policies.

### WisDOT Roles/Responsibilities

- Conduct review/approval of environmental document (Categorical Exclusion Checklist)
- Involve U.S. Army Corps of Engineers (USACE) in review of permits as needed
- Serve as resource in resolving complex environmental issues and agency coordination including DNR, as requested by the LPA
- Prepare and send notification email to the Tribal Historic Preservation Office (THPO)
- Ensure tribal coordination reflects current guidance, preserving existing government to government relations. Coordination should reflect Executive Order #39, DOA Consultation

Policy, federal or tribal law (when applicable), WisDOT Partnership Agreement, section 106 (when federal action dictates)

#### LPA/Designer Roles/Responsibilities

- Prepare environmental document, supporting documents for review and approval by WisDOT and FHWA (as required)
- Obtain all approvals for environmental document
- Lead all agency coordination, including (but not limited to) State Historical Preservation Office (SHPO), DNR, USACE, drainage districts, Department of Agriculture, Trade, and Consumer Protection (DATCP), United States Coast Guard (USCG), etc.
- The LPA/Designer may be requested to prepare the notification email to the Tribal Historic Preservation Office (THPO) and forward to DOT to send

#### **Design Review**

##### WisDOT Roles/Responsibilities

- Monitor project progress and be available as a resource as requested
- Approve Plan, Specification & Estimate (PS&E)
- Concurrence of Design Study Report (DSR) with minimal review for conformance of project to original scope and check of cost estimate, engineering decisions
- Keep complete project files at end of design process for archiving
- Review by Bureau of Structures (BOS), all preliminary designs/plans to include hydrologic and hydraulic analysis per commitment to DNR for water crossings, and to confirm proper type, size, location
- Approve bridge approach length justifications with change management process by the Bureau of Project Development (BPD)
- Contact other bureaus for additional technical support

##### LPA/Designer Roles/Responsibilities

- Lead and manage designer and project design reviews
- Lead and manage public involvement
- Lead and approve documents required for PS&E
- Approve DSR, unless on a MAP21 NHS route
- Track and report to WisDOT Local Program Project Manager (LPPM) road builder quantities at 30% and PS&E
- Maintain plan quality, specifications, and estimates
- Retain project records during design process, provide to WisDOT upon project completion and approval
- Lead Design Errors and Omissions process with assistance from WisDOT as needed

## Real Estate (RE)

Per the Local Program Low-Risk Delivery Selection Criteria Form, real estate acquisition in Fee, Permanent Limited Easement, or Temporary Limited Easement to accommodate the above Eligible Approved Concept Types may occur provided the other criteria on the Form can still be met.

### WisDOT Roles/Responsibilities

- Include oversight of Project RE Start-Up meeting
- Review documentation for certification status 1
- Sign [Certificate of Right of Way](#) (ROW)

### LPA/Designer Roles/Responsibilities

- Follow process/procedures from the RE Program Manual (REPM)
- Follow process/procedures from the Manual for Right of Way Acquisition
- Conduct RE acquisition
- Coordinate Project RE Start-up meeting with Local Program RE Project Manager (LPREPM)
- Complete Certificate of ROW RE1899 for PS&E
- Upload all documentation for Cert 1 status to RE Automated Data System (READS) for WisDOT review/approval
- Provide project/RE update to LPREPM for Cert 3 status
- Manage all encroachment, hazardous waste, right of way, including relocation and structure removal

## Utility

Per the Local Program Low-Risk Delivery Selection Criteria Form, utility impacts should be minimal.

### WisDOT Roles/Responsibilities

- Serve as resource for utility certifications
- Sign Utility Status Report (USR)

### LPA/Designer Roles/Responsibilities

- Coordinate and acquire existing utility easements as necessary
- Responsible for all utility coordination, permits, utility parcels cleared at PS&E submittal

## Railroad

Per the Local Program Low-Risk Delivery Selection Criteria Form, a bridge project may not include an existing bridge structure that crosses an active or preserved railroad corridor. A roadway project with active or preserved at-grade railroad crossings within 1000 feet of the project including sideroads/detour routes, project limits must be coordinated/reviewed by WisDOT Region Railroad Coordinator (RRC).

### WisDOT Roles/Responsibilities

- Responsible for railroad RE coordination
- Responsible for railroad certification

### LPA/Designer Roles/Responsibilities

- Coordinate and acquire railroad property as necessary
- Responsible for completing railroad certificate for all projects

## PS&E Review

### WisDOT Roles/Responsibilities

- Draft PS&E plan, reviewed 60 days prior to ensure use of standard specs, no routine reviews by technical experts
- LPPM review of final PS&E package and technical experts as needed
- Process addendums created by designer
- Process PS&E, state let and award according to standard Bureau of Project Development processes

### LPA Roles/Responsibilities

- Responsible for completion of PS&E and any related issues
- Ensures designer submits PS&E document at start of WisDOT review period
- Send bridge plans to Bureau of Structures 60 days prior to PS&E