



Local Program Low Risk Pilot STP-Rural, STP-Urban, Local Bridge OVERSIGHT MODEL

General Expectations

- Project cost 80% Federal Funded, minimum 20% Local Funded; MPO STP-U minimum funding 50%
- Delegation of tasks to Local to maximum extent outlined in the latest version of the **Local Program Document Approval Designation Matrix**
- Applicable state and federal statutes and regulations regulate the engineering processes used to design and construct the project
- Projects follow the Department of Natural Resources (DNR) Cooperative Agreement
- WisDOT Bridge Manual and WisDOT Real Estate Manuals apply
- Compliance with Americans with Disabilities Act (ADA) requirements, Davis-Bacon Wage Rates, Buy America requirements, and Uniform Act Federal Regulations
- Engineering and design related services are procured with Qualification Based Selection (QBS) process

General Management

- Program managed by WisDOT
- Scoping and applications process managed between DTSD-Planning and DTIM-Programming & Finance
- Change management for project schedule, budget and scope changes between DTIM, DTSD and LPA
- Change management during Construction for Contract Mods, Quantity Overruns and Consultant Amendments between DTSD, LPA and DTIM
- Active monitoring and management of existing project schedule and budget are by LPA including:
 - o design costs identified in State Municipal Agreement (SMA)
 - o design schedule identified in SMA
 - o design costs identified by consultant contract
 - o construction cost identified in SMA
 - o construction schedule identified in SMA
 - o construction cost identified by contractor low bid
 - o construction delivery cost identified by consultant contract
- LPA/Designer maintains project file/records
- WisDOT will manage the completed records and archive according to the appropriate Records Disposition Authority (RDA)

DESIGN PROCESS

Consultant Contract – Use WisDOT existing three-party contract process with LPA, Consultant & WisDOT

WisDOT

- o WisDOT will provide feedback on LPA's proposed solicitation and selection process, including the list of consultant roster. The bridge design consultant must be on WisDOT Bureau of Structures' (BOS) list of eligible firms to provide structural design services
If requested, WisDOT will provide the email list of the consultant roster to LPA
- o Acknowledges local selection use of WisDOT standard processes from contract negotiation through contract execution
- o WisDOT is signatory on contract and assists in contract changes and Errors and Omissions (E&O) claims that the LPA pursues

LPA

- o LPA contacts WisDOT PRIOR to solicitation if feedback on LPA proposed process is required
- o LPA solicits Request for Proposal (RFP) and selects consultants using approved SMA
- o Manages the consultant day to day
- o For Locally Funded designs, LPA can use a two-party contract (Local & Consultant)



Local Program Low Risk Pilot STP-Rural, STP-Urban, Local Bridge OVERSIGHT MODEL

Environmental Document - Projects will follow the National Environmental Policy Act (NEPA) process and DNR Cooperative Agreement

WisDOT

- Conduct review and approval of Environmental Document (CEC or PCE will typically be the appropriate environmental document type)
- Involvement in review of Corp of Engineering (COE) permits as needed
- WisDOT is a resource in resolving complex environmental issues and agency coordination including DNR, as requested by the LPA
- Signs and sends the Tribal Historic Preservation Office (THPO) Notification Letter, on WisDOT letterhead, to the THPOs

LPA/Designer

- LPA will obtain all Environmental approvals
- LPA/Designer leads all agency coordination - arch and history, DNR,
- LPA/Designer ensures that tribal coordination reflects current guidance preserving the 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
- Prepares the Tribal Historic Preservation Office (THPO) Notification Letter for LPPM signature and transmittal to the THPOs

Design Reviews

WisDOT

- General monitoring of project progress. Available as a resource if requested
- Approval of 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, and engineering decisions
- WisDOT official keeper of complete project files at end of design process for archiving as provided by the LPA/Designer
- Bureau of Structures (BOS) review of all preliminary designs/plans to included hydrologic & hydraulic analysis per commitment to DNR for water crossings and to confirm proper type, size and location
- Bureau of Project Development (BPD) approves bridge approach length justifications with Change Management process
- Other Bureaus could be contacted for technical support

LPA/Designer

- LPA leads and manages the designer and project design reviews
- LPA leads and manages public involvement
- LPA leads and approves engineering documents for PS&E
- LPA approval of DSR
- LPA/Designer responsible for tracking and reporting Road Builder quantities
- LPA/Designer responsible for quality of plan, specifications and estimate



Local Program Low Risk Pilot STP-Rural, STP-Urban, Local Bridge OVERSIGHT MODEL

- LPA retains project records during design process. LPA must provide WisDOT project records at time of completion/approval. Copies of complete project records must be transferred to WisDOT upon project completion
- LPA leads Design Errors and Omissions process with assistance from WisDOT as needed

Real Estate (RE) – By pilot definition this should be minimal, simple, and nominal in value (parcels under \$10,000)

WisDOT

- Minimal oversight but to include
 - Project RE Start-up Meeting (coordinate w/the LPA and determine whether meeting will be in person, via teleconference, or via email)
 - Review documentation for certification status 1
 - Sign the Certificate of Right of Way (ROW)

LPA/Designer

- Follow process and procedures from the Real Estate Program Manual (REPM) <https://wisconsin.gov/Pages/doing-bus/eng-consultants/cnslt-rsrcs/re/repm.aspx> And the Local Program Real Estate Manual (LP RE Manual) <https://wisconsin.gov/Pages/doing-bus/eng-consultants/cnslt-rsrcs/re/lpa-manual.aspx>
 - LPA/Designer conduct RE acquisition
 - LPA/Designer coordinate, a Project RE Start-up Meeting with the Local Program Real Estate Project Manager (LPREPM)
 - LPA/Designer complete Certificate of ROW RE1899 for PSE
 - For Cert. 1 status – upload all documentation to Real Estate Automated Data System (READS) for WisDOT review and approval
 - For Cert 3 status – provide project and RE update to LPREPM
 - LPA/Designer will manage all encroachment, hazardous waste, and right of way (including relocation and structure removal)

Utility and Railroad - By pilot definition this should be minimal

WisDOT

- Resource for Utility certifications
- Responsible for Railroad coordination

LPA/Designer

- LPA to coordinate and acquire utilities and railroad as necessary
- Responsible for all utility coordination and permits
- Responsible for Utility Parcels being cleared at PS&E submittal
- Responsible for completing Railroad Certificate on all projects

PS&E Review

WisDOT

- Draft PSE plan reviewed 60 days prior to ensure use of standard specs. No routine reviews by technical experts
- Bridge plans sent to BOS 60 days prior to PS&E (same as current process)
- Final PS&E package reviewed primarily by PM; reviews by technical experts as needed



Local Program Low Risk Pilot STP-Rural, STP-Urban, Local Bridge OVERSIGHT MODEL

- Addendums created by designer, processed by WisDOT
- PS&E processing, state let and award by standard processes by BPD

LPA

- Ensuring designer submits PS&E documents at the start of the review period by WisDOT
- LPA responsible for completion of PS&E and any related issues

CONSTRUCTION PROCESS

Consultant contract – Two-party contract process with WisDOT & Consultant Qualification Based Selection (QBS) will be used with LPA input into selections coordinated through state construction fair in the Fall of each year

WisDOT

- Use existing WisDOT standard processes for consultant procurement: solicitation, selection, negotiation and contract execution
- WisDOT signatory on contract, lead on contract changes and will identify any construction consultant Error & Omissions (E&O)
If design E&O determined during construction, LPA will be responsible to pursue payment from their designer in accordance with the language in the SMA
- WisDOT will be a resource to provide guidance and documentation of the design E&O to the LPA

LPA

- When the LPA provides input to WisDOT's QBS process, WisDOT may consider a consultant from LPAs list of top 5 choices

Pre-Construction Contract Administration

WisDOT

- Issues start notice
- Review of Erosion Control Implementation Plan (ECIP) for submittal to DNR, for DNR comments
- Create and Issue Final Acceptance review/letter

LPA/Project Leader (Consultant)

- Uses WisDOT Automated Construction Management software for contract administration
- Coordinates review and resolves issues associated with the ECIP
- Coordinates and leads the preconstruction meeting

Construction Inspection and Contract Administration

Most projects will be done with consultant inspectors, primary oversight by Locals and support from WisDOT. In addition to primary oversight, LPA may provide inspection services if they can demonstrate adequate and qualified staff

WisDOT

- Independent Assurance Program (IAP)
- Cost Reduction Incentive (CRI) approved by WisDOT with input from LPA
- WisDOT perform reviews as necessary of site conditions, progress of construction and status of payments



Local Program Low Risk Pilot STP-Rural, STP-Urban, Local Bridge OVERSIGHT MODEL

- Create and issue Final acceptance review/Letter

LPA/Project Leader (Consultant)

- Day to day management of project, inspection of work, payment of quantities
- Enforce the Quality Management Plan (QMP) specifications
- Utility coordination before and during construction
- Routine property owner contacts
- Contract Changes and Contract Mod Justifications notifications and input by LPA
- Contractor Claims review and input by LPA
- Public Involvement

Final Project Records

WisDOT

- Final review of records by WisDOT in Conjunction with LPA
 - Cursory review of finals: create awareness of major overruns/underruns
- Archive of records by WisDOT in cooperation with LPA

LPA/Project Leader

- All contracts are finalized within 6 months
 - Consultant and/or local to resolve records issues within 5 days upon notification by WisDOT
- All Invoices from WisDOT will be itemized and detailed as to the costs
- When LPA closes the project, there will be no further invoices from WisDOT

This pilot is being established to investigate the streamlining and reduction of requirements for the purpose of cost savings. Metrics will be evaluated to determine the success of the pilot and ultimately possibility of expansion of the concepts being tested.