**SPONSOR INFORMATION**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Name of Government Agency |       | Located in |       | County |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| State Agency |       | Other |       | WisDOT Region |       |

|  |  |
| --- | --- |
| Project I.D. & Description: |       |

|  |  |
| --- | --- |
| Sponsors Primary Point of Contact: |       |

 Name

|  |  |
| --- | --- |
|       |       |

Title Address

|  |  |  |
| --- | --- | --- |
|       |       |       |

Phone Fax Email

|  |  |
| --- | --- |
| Sponsors Second Point of Contact: |       |

 Name

|  |  |
| --- | --- |
|       |       |

Title Address

|  |  |  |
| --- | --- | --- |
|       |       |       |

Phone Fax Email

*\*Any changes to the points of contacts, Person designated as Responsible Charge, or information contained within the completed Certification at any time during the project may require the Certification to be updated and resubmitted.*

*\*\*It is requested the Certification form be completed and submitted to the region Local Program Project Manager (LPPM) within thirty (30) days of completing certification training for new sponsors or concurrently with State Municipal Agreement (SMA) for repeat sponsors.*

**SPONSOR’S CHOICE OF PROJECT ADMINISTRATION AND DELIVERY MODEL:**

The Sponsor has been selected to benefit from the use of Federal Funds for the construction of a Non-Traditional Transportation project to be administered through a Local Letting Process. By accepting the use of Federal Funding, the Sponsor acknowledges that they understand the applicable Federal and State requirements and accepts accountability to complete these requirements. Moreover, to attain Certification the Sponsor must explain the role, if any, that consultants will perform. However, even if using consultant support the Sponsor remains responsible for ensuring adherence to the Sponsor’s Guide to Non-Traditional Transportation Project Implementation. **Note – whether performed by Sponsor Staff or by a Consultant, Federal funds cannot be used to pay for Administration Function costs described in this document. They are the sole responsibility of the Sponsor.**

**DEFINITIONS**

**Administration**: Overall management and implementation of the approved project to ensure compliance with all applicable state and federal regulations as explained and described in the Sponsor’s Guide; required for project costs to be eligible for Federal reimbursement. The Sponsor is 100% responsible for all costs associated with administration; some activities may be performed by a consultant.

**Oversight:** The act of ensuring that the construction project is delivered consistent with federal and State Laws, Regulations and Policies. Oversight activities include review and approval actions pertaining to design, plans, specifications, estimates, right of way certification statements, contract awards, inspections and final acceptance.

**Engineering/Inspection**: All efforts/activities required to complete the four project phases: Design, Real Estate Acquisition, Letting and Construction

**Responsible Charge – Assignment and Duties:** Each Sponsor of a federally funded project must designate one or more individuals who are public employees, who are accountable for the project, and therefore who are tasked with being “in responsible charge" of the project. The individual in Responsible Charge is not required to be an engineer, and the duties may be assigned to more than one individual. Per the FHWA August 4, 2011 Memorandum on this subject the individual(s) in Responsible Charge should be expected to be able to perform the following duties and functions:

* Administer inherently governmental project activities, including those dealing with cost, time, adherence to contract requirements, construction quality and scope of Federal-aid projects;
* Maintain familiarity of day to day project operations, including project safety issues;
* Make or participate in decisions about changed conditions or scope changes that require change orders or supplemental agreements;
* Visit and review the project on a frequency that is commensurate with the magnitude and complexity of the project;
* Review financial processes, transactions and documentation to ensure that safeguards are in place to minimize fraud, waste, and abuse;
* Direct project staff, agency or consultant, to carry out project administration and contract oversight, including proper documentation; and
* Stay aware of the qualifications, assignments and on-the-job performance of the agency and consultant staff at all stages of the project.

Check the Project Delivery Model Option that the Sponsor will utilize to administer and deliver this Non-Traditional Project:

|  |  |
| --- | --- |
|       | 1. |

The Sponsor is adequately staffed to administer a Locally Let Construction Project, and will also perform their own Project Design and Construction Oversight *(this option requires a Professional Engineer on Staff)*.

|  |  |
| --- | --- |
|       | 2. |

The Sponsor is adequately staffed to administer a Locally Let Construction Project, but will utilize Consultants to perform Project Design and/or Construction Oversight. *(Requires Professional Engineer contracted for Project Design)*

|  |  |
| --- | --- |
|       | 3. |

The Sponsor will retain a unique consultant for Project Administration and will utilize other consultant(s) for Project Design and/or Construction Oversight. *(Requires Professional Engineer contracted for Project Design)*

|  |  |
| --- | --- |
|       | 4. |

The Sponsor will utilize a single Consultant for Administrative tasks and to perform Project Design and/or Construction Oversight. **This option is only available if 100% Sponsor funded for all consultant services.** *(Requires Professional Engineer contracted)*

**QUALIFICATION BASED SELECTION**

If Federal funding is planned to be utilized for Consultant Services, the Sponsor states that the Consultant will be selected based on the procedures set forth by WisDOT and FHWA for selection and approval process defined in WisDOT Facilities Development Manual (FDM) Chapter 8-5-20 and 23 CFR 172. Further, the Sponsor states that the use of the Consultant is in compliance with FDM Chapter 8-5-55 regarding Conflict of Interest in the role of a Consultant providing management services to a Sponsor. Typically, **Compliance with WisDOT procedures for consultant selection is required to be eligible for Federal Funding.**

**If a Sponsor has or will select a consultant for Options 2 or 3 explain your Selection Process:**

|  |
| --- |
|       |

**ADMINISTRATION BY SPONSOR**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| *(Complete for* |       | *Option 1 or* |       | *Option 2)* |

|  |  |
| --- | --- |
| Name and Title of Person in Responsible Charge:  |       |

*(Option 1 requires a Professional Engineer on sponsor staff - List Licenses or Credentials)*

Has the Sponsor signed and returned the Sponsor’s Guide Acknowledge Form?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|       | Yes |       | Date |       | No |

Has this Sponsor successfully completed WisDOT Non-Traditional Project Training?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|       | Yes |       | Date |       | No |

Does the Sponsor have a Public Works or Engineering Staff?

|  |  |  |  |
| --- | --- | --- | --- |
|       | Yes |       | No |

**Attach an Organization Chart with titles of responsible persons.**

*This should include both the names of individuals and their titles. The organizational chart should be limited to the personnel that will working on this project.*

List up to five similar projects this Sponsor has Administered/Let. *(List WisDOT projects first)*

**ID/Description Year Cost WisDOT Reference**

|  |  |  |  |
| --- | --- | --- | --- |
|       |       |       |       |
|       |       |       |       |
|       |       |       |       |
|       |       |       |       |
|       |       |       |       |

**ADMINISTRATION BY CONSULTANT**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| *(Complete for* |       | *Option 3 or* |       | *Option 4)* |

|  |  |
| --- | --- |
| Selected or Anticipated Consulting Firm: |       |

|  |  |
| --- | --- |
| Name and Title of Primary Consultant Rep: |       |
| Name and Title of Person in Responsible Charge: |       |

*(Must be an employee of the Sponsor)*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Is Firm on WisDOT Roster of Eligible Engineering Consultants? |       | Yes |       | No |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Has this firm attended WisDOT Non-Traditional Project Training?  |       | Yes |       | No |

List up to five similar Projects this Firm has Administered/Let: *(List WisDOT projects first)*

**ID/Description Year Cost WisDOT Reference**

|  |  |  |  |
| --- | --- | --- | --- |
|       |       |       |       |
|       |       |       |       |
|       |       |       |       |
|       |       |       |       |
|       |       |       |       |

Briefly describe the firm’s qualifications pertaining to Administering this Project:

**APPROVING AUTHORITY**

The Sponsor must have an official approving authority for all WisDOT delegated project approvals. This Authority (e.g., Executive, Department Head or Policy Body) must officially approve each project step for which it is the approving authority, as identified in this certification.

Please check the appropriate description of the approval Authority or completion of the task. If no choices apply, please describe the Sponsor’s process.

**ADMINISTRATIVE FUNCTIONS**

The cost associated with the following Administration Functions are Federally Ineligible *unless otherwise noted*. Therefore they are 100% the responsibility of the Sponsor.

**Project Application:**

*Includes the preparation and submittal of project application, including completing a cost estimate.*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Drafted by: |       | Sponsor Staff |       | Consultant/Name |       |

Approved by:

|  |  |  |
| --- | --- | --- |
|       | Director of Public Works / City Engineer / Commissioner / Other |       |
|       | Mayor/Executive/ President / Chairperson / Other |       |
|       | Resolution passed by legislative body |       |
|       | Committee |       |
|       | Other |       |

**Approval of State Municipal Agreement/Project Agreement:**

*Includes the coordination between Sponsor and WisDOT, internal reviews and subsequent approval by sponsor of the agreement.*

|  |  |  |
| --- | --- | --- |
|       | Director of Public Works / City Engineer / Commissioner / Other |       |
|       | Mayor/Executive/ President / Chairperson / Other |       |
|       | Resolution passed by legislative body |       |
|       | Committee |       |
|       | Other |       |

**Design and/or Construction Consultant Selection:**

*Includes all functions required for consultant selection and ultimate consultant contract. Functions include the preparation of RFP, solicitation, evaluation and selection and contract negotiations and execution. If federal funds will be utilized for consultant services, the Sponsor should be familiar with the selection process outline in the FDM as well as WisDOT’s Conflict of Interest Policy.*

Solicitation Procedure:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|       | Advertisement |  |       | WisDOT Solicitation |
|       | Sponsor’s Current List |  |       | Small Purchase Procedures (Only if <$200,000, See FDM 8-5-10) |
|       | Other |  |  |  |

Basis of Selection:

|  |  |  |  |
| --- | --- | --- | --- |
|       | Evaluation |       | Interview Shortlist |

Selection approved by:

|  |  |  |
| --- | --- | --- |
|       | Director of Public Works / City Engineer / Commissioner / Other |       |
|       | Mayor/Executive/ President / Chairperson / Other |       |
|       | Resolution passed by legislative body |       |
|       | Committee |       |
|       | Other |       |

**General Design Reviews: (e.g. Permits, Design Study Report, R/W Plat, PS&E etc…):** *Sponsors internal review of general design documents to ensure the design is in accordance of sponsor’s expectations. Also referred to as sponsor’s quality control/assurance.*

|  |  |  |
| --- | --- | --- |
|       | Director of Public Works / City Engineer / Commissioner / Other |       |
|       | Mayor/Executive/ President / Chairperson / Other |       |
|       | Resolution passed by legislative body |       |
|       | Committee |       |
|       | Other |       |

**Real Estate Acquisition approval in accordance with the Uniform Relocation and Real Estate Acquisition Act:**

*Assumes real estate is not state or federally funded. If funded, some real estate functions may be reimbursable. Answer all questions even if real estate is not anticipated.*

The Sponsors, by accepting Federal funding in any phase of a project, is agreeing to follow Federal, State and local laws that govern public project and program activities. Public Law 91-646, The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, or commonly called the Uniform Act, is the primary law for acquisition and relocation activities on Federal or federally assisted projects and programs. Wisconsin State Statute 32 – Eminent Domain must also be followed when using Federal or State dollars. The FHWA has an agreement in place with WisDOT that states WisDOT will oversee local programs and projects to ensure compliance.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  Is Real Estate Acquisition Anticipated? |       | Yes |       | No |

If Yes, Relocation Order and R/W Plat Approved by:

|  |  |  |
| --- | --- | --- |
|       | Director of Public Works / City Engineer / Commissioner / Other |       |
|       | Mayor/Executive/ President / Chairperson / Other |       |
|       | Resolution passed by legislative body |       |
|       | Committee |       |
|       | Other |       |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Who will acquire Real Estate? |       | Sponsor |       | Other, describe: |
|       |

*WisDOT Certification is required for anyone acquiring real estate. See* <https://wisconsindot.gov/Pages/doing-bus/local-gov/astnce-pgms/aid/lpa-re-info.aspx> *for more information pertaining to real estate acquisitions.*

**Bid Advertisement:**

*Includes the placement and cost associated with placing the advertisement and obtaining an Affidavit of Publication. Drafting and placement of the bid advertisement can be considered part of design engineering services.*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Drafted by: |       | Sponsor Staff  |       | Consultant (Design) |
| Advertisement Placed by: |       | Sponsor Staff  |       | Consultant (Design) |
|  |  |  |  |  |

* Advertisement must be placed a minimum three weeks prior to Bid Opening Publications:

|  |
| --- |
|       |

Approved by:

|  |  |  |
| --- | --- | --- |
|       | Director of Public Works / City Engineer / Commissioner / Other |       |
|       | Mayor/Executive/ President / Chairperson / Other |       |
|       | Resolution passed by legislative body |       |
|       | Committee |       |
|       | Other |       |

**Acceptance, Opening and Approval of Bids, Award of Contract:**

*Includes the accepting, opening, reviewing, evaluating, and approving of contractors’ bids, and awarding of Contract. Reviewing and evaluation of contractors’ bids may be considered part of design engineering services.*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Bids Received by: |       | Sponsor |       |  |
| Bids Opened by:  |       | Sponsor |       | Consultant (Administrative/Design) |
| Bids Evaluated by: |       | Sponsor |       | Consultant (Administrative/Design) |

Low Bid Accepted by:

|  |  |  |
| --- | --- | --- |
|       | Director of Public Works / City Engineer / Commissioner / Other |       |
|       | Mayor/Executive/ President / Chairperson / Other |       |
|       | Resolution passed by legislative body |       |
|       | Committee |       |
|       | Other |       |

**Execution of Contract:**

*Includes the execution of the contract between the sponsor and contractor.*

Contract to Be Signed By:

|  |  |  |
| --- | --- | --- |
|       | Director of Public Works / City Engineer / Commissioner / Other |       |
|       | Mayor/Executive/ President / Chairperson / Other |       |
|       | Resolution passed by legislative body |       |
|       | Committee |       |
|       | Other |       |

**Contractor Payments:**

*Includes the sponsor issuing the payment to the contractor for work performed. The creation of the pay estimate, including determining quantities and total cost is considered a construction oversight duty.*

Payment Approved by:

|  |  |  |
| --- | --- | --- |
|       | Director of Public Works / City Engineer / Commissioner / Other |       |
|       | Mayor/Executive/ President / Chairperson / Other |       |
|       | Resolution passed by legislative body |       |
|       | Committee |       |
|       | Other |       |

**Final Records Retention:**

|  |  |  |
| --- | --- | --- |
| Records Retained by:  |       | Sponsor |

Address where Records will be stored:

|  |
| --- |
|       |

***Records must be available for review by FHWA and WisDOT as requested***

**Equal Employment Opportunity (Title VI), DBE, and Prevailing Wages (Davis-Bacon)**

May include obtaining copy of contractor’s EEO policy, assessing DBE work, explain process for ensuring up-to-date Federal prevailing wages in the contract.

Describe the Sponsor’s policies in ensuring the contractor complies with the following:

*Attach additional pages if necessary.*

Title VI of the Civil Rights Act of 1964

<https://www.fhwa.dot.gov/civilrights/programs/tvi.cfm>

<https://wisconsindot.gov/Pages/doing-bus/civil-rights/titlevi-ada/default.aspx>

|  |
| --- |
|       |

Disadvantaged Business Enterprise (DBE)

<https://www.fhwa.dot.gov/civilrights/programs/dbess.cfm>

<https://wisconsindot.gov/Pages/doing-bus/civil-rights/dbe/default.aspx>

Davis Bacon Prevailing Wage Rates (when applicable to the project)

<https://www.fhwa.dot.gov/construction/cqit/dbacon.cfm>

<https://wdolhome.sam.gov/>

**Approval for Changed Conditions, Increased/Decreased Quantities:**

*Includes the review and approval of contract change orders at the sponsor’s level. Consultant in this section refers to the administrative consultant.*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Evaluation and Recommendation: |       | Sponsor |       | Consultant (administrative) |

Approval by:

|  |  |  |
| --- | --- | --- |
|       | Director of Public Works / City Engineer / Commissioner / Other |       |
|       | Mayor/Executive/ President / Chairperson / Other |       |
|       | Resolution passed by legislative body |       |
|       | Committee |       |
|       | Other |       |

**Local Force Account:**

Does the Sponsor desire to request permission to perform any project work through a Local Force Account?

|  |  |  |  |
| --- | --- | --- | --- |
|       | Yes |       | No |

If yes, the Sponsor acknowledges that they have read and understand the pertinent sections of the FDM and CMM relating to LFAs and understand the limitations associated with the use of LFAs.

|  |  |
| --- | --- |
|       | Sponsor’s Initial |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Cost Effectiveness Finding Drafted: |       | Sponsor |       | Consultant (design) |

Approved by:

|  |  |  |
| --- | --- | --- |
|       | Director of Public Works / City Engineer / Commissioner / Other |       |
|       | Mayor/Executive/ President / Chairperson / Other |       |
|       | Resolution passed by legislative body |       |
|       | Committee |       |
|       | Other |       |

**Federal Aid Billings:** *(Includes the preparation and submittal of reimbursement requests. Consultant refers to the administrative consultant.)*

|  |  |  |
| --- | --- | --- |
| Invoices Prepared by: | Title |       |
|  |       | Sponsor |       | Consultant (administrative) |

Costs Reviewed and approved for submittal by:

|  |  |  |
| --- | --- | --- |
|       | Director of Public Works / City Engineer / Commissioner / Other |       |
|       | Mayor/Executive/ President / Chairperson / Other |       |
|       | Resolution passed by legislative body |       |
|       | Committee |       |
|       | Other |       |

**DESIGN ENGINEERING**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Will Federal Funding be utilized for Design Costs? |       | Yes |       | No |

Indicate whether these tasks will be performed by the Sponsor (S) or a Consultant (C) or N/A

|  |  |  |  |
| --- | --- | --- | --- |
|       | Update of Project Application |       | Environmental Clearance |
|       | Design Study Report (if required)  |       | Utility Coordination |
|       | Relocation Order, R/W Plat  |       | Plans Development  |
|       | Draft Bid Advertisement |       | PS&E Preparation |

**CONSTRUCTION OVERSIGHT**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Will Federal Funding be utilized for Construction Oversight? |       | Yes |       | No |

Indicate whether these tasks will be performed by the Sponsor (S) or Consultant(C) or N/A

See Sponsor’s Guide, Section 10

|  |  |  |  |
| --- | --- | --- | --- |
|       | Construction Staking  |       | Materials Testing and Inspection |
|       | Materials Documentation |       | Daily Diary |
|       | Measurement of Quantities  |       | Estimates for Payment |
|       | Time Charges |       | Change Orders |
|       | Final Acceptance |       | Maintenance of Records |
|       | Collect Contractor Payrolls |       | Conduct field Interviews |

**ON BEHALF OF THE SPONSOR**

\_\_     \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature Date

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Title

\_\_\_     \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature Date

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Title

\_\_\_     \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature Date

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Title

**CONSULTANT ADMINISTRATION ON BEHALF OF SPONSOR**

\_\_     \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature Date

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Firm and Title

**ACCEPTED BY WISDOT**

\_\_\_     \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature Date

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Title