

# WIS 441



TRI-COUNTY  
EXPANSION

## Project Management Plan

May 19, 2014



U.S. Department of Transportation  
Federal Highway Administration

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## WIS 441 Project Management Plan

### ACCEPTANCE & ADOPTION OF THE WIS 441 PROJECT MANAGEMENT PLAN

The Wisconsin Department of Transportation and the Federal Highway Administration developed the WIS 441 Project Management Plan jointly. It represents an overall plan that both entities agree to adopt and accept as a general description of the internal management procedures for the WIS 441 Project reconstruction.

Wisconsin Department of Transportation (WisDOT) Approves the WIS 441 Project Management Plan

For WisDOT WIS 441 Project Management Team

X Brian C. Roper 6/26/14  
Brian Roper, P.E., WisDOT NE Region US 41/WIS 441 Projects Group Chief

Federal Highway Administration (FHWA) Accepts the WIS 441 Project Management Plan

X Tracey Blankenship 6-27-2014  
Tracey Blankenship, P.E., FHWA Oversight Manager



## 1.0 Project Description & Scope of Work

### 1.1 Background

The WIS 441 corridor is of significant importance to the Appleton/Fox Cities Wisconsin area. The highway functions as a US 41 bypass route running along the east and south limits of the City of Appleton. The project area is often referred to as the Tri-County area since it encompasses the counties of Outagamie, Winnebago, and Calumet.

In the late 1950's, studies determined a long range transportation plan was needed to address increasing traffic volumes. The East Central Wisconsin Regional Planning Commission (ECWRPC), along with WisDOT and the three Counties began developing a roadway preservation corridor known today as WIS 441.

The corridor design/construction began as a County project. The Counties completed the initial environmental document and initial purchase of all rights-of-way. In the mid 1980's, the roadway was designated as a state highway and at that time, WisDOT completed a re-evaluation of the original environmental document and purchased additional rights-of-way.

In 1975, the US 41 to Racine Street segment was the first to be built. The project included the construction of the Little Lake Butte Des Morts (LLBDM) bridge, the systems interchange at US 41 on the west side and an at grade intersection at Racine Street/CTH P on the east side. The project results connected the east and west communities, decreased commuter time and alleviated traffic congestion at adjacent waterway crossings.

Starting in the late 1980's into the early 1990's WIS 441 was expanded to the east connecting to US 41 on the north side of Appleton.

### 1.2 Project Description

The proposed WIS 441 Project spans approximately 6 miles with the western limit of the CTH CB/US 10 interchange to the eastern limit of the WIS 441/Oneida Street interchange.



Summary of proposed improvements include:

- New 3500', 4 lane, concrete girder bridge to span Little Lake Butte Des Morts (LLBDM) expanding the crossing from 4 to 8 lanes.
- Re-decking of the existing 3500', 4 lane, steel girder bridge spanning LLBDM.
- Reconstruction of the US 41/WIS 441 system interchange improving geometrics of existing ramps and adding the missing movements of NB 41 to WB 441 and EB 441 to NB 41.
- Reconstruction of service interchanges on WIS 441 at Racine Road, Midway Road, Appleton Road/WIS 47, and Oneida Street/WIS 10.
- Geometric improvements to horizontal curves near the Racine Road and Midway Road interchanges.

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Broad design considerations include:

- Additional lanes to the freeway and appropriate system ramps to meet the desirable operations for the design year.
- Improve bike and pedestrian accommodations to comply with new legislative statutes
- Improve lighting on the LLBDM bridge and interchange decision points
- Mitigate of poor soils known to be prevalent within the project area.

### 1.3 Purpose and Need

The purpose of the project is to improve motorist safety and traffic operations of the freeway system while maintaining a key link in the local, regional, state, and national transportation network. The freeway system's configuration is deficient in many areas. The horizontal and vertical alignments no longer meet the desirable criteria in several locations resulting in poor driver sight distance. Shoulder width, shoulder strength/stability, and superelevation transitions require upgrading to conform with current standards. In addition, a majority of the corridor will experience significant peak period congestion without improvements due to increasing traffic volumes. Recent counts suggest the segment between the CTH P and CTH AP interchanges has a crash rate well above the statewide average for urban freeways.

### 1.4 Major Project Implications

The team has coordinated with the appropriate FHWA Field Operations Engineer to develop a risk based Stewardship and oversight agreement (see Appendix 1). The WIS 441 project has been identified as a Project of Divisional Interest (PoDI). As part of the agreement FHWA and the WIS 441 team will determine which projects are considered elevated risk. The agreement will define, in detail, the roles both WisDOT and FHWA will play for oversight of the projects.

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## 2.0 Project Goals

The Wisconsin Department of Transportation (WisDOT) has identified detailed goals for the WIS 441 Project. These will help WisDOT maintain a consistent focus in delivering the project from the initial stages of planning through construction and operation according to the needs and expectations of the public.

The following goals and associated strategies were used to define and develop the management practices as outlined in the remaining chapters of this project management plan.

- **Goal: Deliver the WIS 441 Corridor Project On-Time with a Scheduled Completion date of Fall 2019**

**Strategy:**

- Develop and implement a Project Management Plan
- Finalize an attainable schedule based upon Build Out Budget and Majors program level
- Develop and implement a Risk Management Plan
- Develop and implement a Real Estate Acquisition Management Plan
- Implement and manage a detailed Master Project Schedule
- Manage the environmental process
- Manage communication with key project stakeholders
- Facilitate Team Project Management & Coordination Meetings
- Develop and implement a Change Management Plan

- **Goal: Deliver the WIS 441 Corridor Project On-Budget with a Total Cost of \$545 Million in Year of Expenditure Dollars**

**Strategy:**

- Develop and implement a Project Management Plan
- Develop an accurate Build Out Budget
- Implement post Build Out Budget Change Management Plan
- Develop and implement a Risk Management Plan
- Develop and manage construction cost control measures
- Develop and coordinate a Program Management Plan with Bureau of State Highway Programs (BSHP)
- Develop and implement a project development coordination plan with industry

- **Goal: Deliver a High Quality Project**

**Strategy:**

- Evaluate design for quality and consistency through 60% and 90% in-house, bureau, FHWA and third party design constructability reviews
- Coordinate development of unique construction specifications and processes with other WisDOT major projects, FHWA, Bridge Protocol Data Unit (BPDU), Industry and third party experts
- Coordinate design and construction with region, bureau and FHWA roadway and bridge maintenance experts
- Coordinate design and construction with region, bureau and FHWA traffic staff, the STOC and law enforcement to achieve optimal traffic operations, both during construction and long term

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- Coordinate design and construction with region, bureau and FHWA traffic safety experts and law enforcement to achieve safe movement of all traffic modes throughout the WIS 441 corridor
  - Develop project designs that provide a reduction in peak period traffic congestion and user delay by meeting design hour volume mobility metrics
  - Develop and implement Project Advisory Committees for traffic management planning
  - Develop and implement a Context Sensitive Solutions outreach strategy
  - Develop optimal construction staging by implementing a 75% constructability review for all projects

○ **Goal: Maintain Public Support, Trust, and Confidence**

**Strategy:**

- Identify and assess community goals and expectations that need to be achieved throughout the completion of the project
  - Develop and implement a Traffic Management Plan that minimizes and mitigates unanticipated traveler delay and negative impacts to business and commerce during construction
  - Develop project designs that provide a reduction in peak period traffic congestion and user delay by meeting design hour volume mobility metrics
  - Develop and implement a Context Sensitive Solutions outreach strategy
  - Develop a plan to create awareness, education, and 'guided discovery acceptance' for the corridor roundabout plan
  - Develop and implement a Public Involvement Plan that utilizes proactive communication and timely response to public inquiries
  - Develop and implement an outreach plan that proactively involves minority and low income stakeholders
  - Develop and implement a project development coordination plan with industry
  - Create comprehensive project website, project displays, visualizations and other material that can clearly convey project improvement concepts to the public
  - Deliver the project on-time and on-budget
  - Develop and implement a Crisis Management Plan
- **Goal: Create Opportunity**

**Strategy:**

- Manage in-house and consultant design delivery efforts to achieve DBE business goals
- Manage consultant construction management efforts to achieve DBE business goals
- Develop Community Outreach Plan to identify opportunities to increase business and labor capacity in Northeast Wisconsin
- Develop a process for DBE goal setting that will assist in achieving DBE goals in LET projects
- Identify and assess community goals and expectations that need to be achieved throughout the completion of the project
- Enhance community development opportunities through interactive project development and implementation of Context Sensitive Solutions
- Develop a database that identifies the location of disadvantaged and underprivileged populations along the project corridor
- Develop and implement an Environmental Justice/Opportunity Outreach Plan
- Provide opportunity for development of WisDOT staff, through project participation

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○ **Goal: Achieve Interstate Highway Design Standard**

**Strategy:**

- Identify and achieve all AASHTO Interstate Design Standards
- Identify and achieve all AASHTO Interstate Safety and Operations Standards
- Develop project designs that provide a reduction in peak period traffic congestion and user delay by meeting design hour volume mobility metrics
- Coordinate and document approval of Interstate Design 'Exception to Standards' with FHWA
- Coordinate project development and public involvement with the US 41 Interstate Conversion Tier I Environmental Impact Statement (EIS)

○ **Goal: Deliver a Safe Project**

**Strategy:**

- Develop project designs that provide a reduction in peak period traffic congestion and user delay by meeting design hour volume mobility metrics
- Develop a Traffic Management Plan that provides for a safe work zone on the corridor, project detours and alternative routes
- Develop a project that provides for a safe worksite
- Coordinate design and construction with region, bureau and FHWA traffic staff, the Statewide Traffic Operations Center (STOC), and law enforcement to achieve optimal traffic operations
- Coordinate design and construction with region, bureau and FHWA traffic safety experts, and law enforcement to achieve safe movement of all traffic modes throughout the WIS 441 corridor
- Develop and implement a Public Involvement Plan that utilizes proactive communication tools to assist highway users
- Coordinate the project construction staging and schedule with special event managers along the corridor
- Develop a plan to create awareness, education and 'guided discovery acceptance' for the corridor roundabout plan

○ **Goal: Provide Aesthetics that Enhance the Character of the Project and Represent a Desired Community Image**

**Strategy:**

- Develop and implement a Public Involvement Plan that utilizes proactive communication and timely response to public inquiries
- Develop and implement a Context Sensitive Solutions outreach strategy
- Identify and assess community goals and expectations that need to be achieved throughout the completion of the project
- Create comprehensive project website, project displays, visualizations and other material that can clearly convey project improvement concepts to the public
- Develop a database that identifies the location of disadvantaged and underprivileged populations along the project corridor
- Develop and implement an Environmental Justice/Opportunity Outreach Plan

○ **Goal: Enhance Multi-Modal Opportunities**

**Strategy:**

- Provide bicycle and pedestrian accommodations and enhancements along WIS 441 corridor
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- Coordinate with Metro Transit to enhance transit opportunities along WIS 441 corridor
  - Establish and maintain communication with multi-modal advocacy groups to facilitate identification of multi-modal needs and opportunities and assist in coordination of design and construction development
  - Develop and implement a Traffic Management Plan that minimizes and mitigates negative impacts to existing multi-modal opportunities during construction

○ **Goal: No Surprises**

**Strategy:**

- Develop and implement a Public Involvement Plan that utilizes proactive communication and timely response to public inquiries
- Develop and implement a Risk Management Plan
- Develop and implement an internal communication plan
- Develop and implement a project development coordination plan with industry
- Develop and implement a Traffic Management Plan that minimizes and mitigates unanticipated traveler delay and negative impacts to business and commerce during construction
- Develop a plan to create awareness, education and 'guided discovery acceptance' for the corridor roundabout plan
- Identify and assess community goals and expectations that need to be achieved throughout the completion of the project
- Develop and coordinate a Program Management Plan with the Division of Transportation Investment Management's Bureau of State Highway Programs (DTIM-BSHP)
- Implement post Build Out Budget Change Management Plan
- Develop and implement a Crisis Management Plan
- Implement monthly utility coordination meetings with all utility stakeholders early in the project.

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## 3.0 Project Organization, Chart, Roles & Responsibilities

### 3.1 General

#### 3.1.1 Purpose

The WIS 441 project is led by an oversight committee chaired by the Secretary of Transportation. The committee provides policy decisions, and guides project direction for major issues involving funding, human resources, community impacts, media outreach, and technical issues.

#### 3.1.2 Responsibility

The oversight committee is led by a hierarchy of oversight entities chaired in conjunction with FHWA and the Wisconsin Secretary of Transportation. Oversight entities include Office of Public Affairs, Office of General Council, Division of Investment Management, and the Office of Policy Budget and Finance. **See Appendix 2 for Figure 3.1.2.1.**

#### 3.1.3 Procedures

Oversight meetings for WIS 441 are scheduled quarterly. The meetings provide the committee with project updates on various items including progress highlights, public information, schedule, issues/ risks, quality, DBE data, and budget information.

### 3.2 FHWA

FHWA's Wisconsin Division provides oversight and stewardship of WisDOT in the development of the projects with federal aid. The WIS 441 Project Management team and FHWA have implemented a revised project-specific agreement in response to a 2013 national initiative by FHWA to provide a more risk-based approach to federal-aid highway project. This agreement is considered a supplement to the March 2011 Statewide Stewardship & Oversight Agreement with the components of this agreement superseding equivalent components of the 2011 Agreement. The current agreement was signed on September 23, 2013 and will be reviewed and updated on an annual basis. **See Appendix 2 for Figure 3.2.1.**

### 3.3 Division of Transportation Systems Development (DTSD)

The NE Region Director, Deputy Director, and WIS 441 Project Development chief have overall responsibility for all aspects of the project as leaders of the WIS 441 project. Project level decisions are the responsibility of the WIS 441 Project Management Team. Major project issues are brought to the Oversight meeting to receive feedback and concurrence on action items.

The WIS 441 Project works within the NE Region structure and therefore is part of DTSD. The WIS 441 team utilizes both full-time dedicated staff as well as ad-hoc Regional staff to execute the project objectives. **See Appendix 2 for Figures 3.3.1 and 3.3.2.**

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## 3.4 Staffing Plan

### 3.4.1 Purpose

The staffing plans are developed so that the WIS 441 project has sufficient coverage of corridor tasks and responsibilities.

### 3.4.2 Responsibility

The project development chief and supervisors are responsible for monitoring the staffing and making any necessary adjustments. The project managers also provide insight on a weekly to a monthly basis. **See Appendix 2 for Figures 3.4.2.1 through 3.4.2.4** for current WIS 441 team staffing and associated assignments.

### 3.4.3 Procedures

Staffing and assignments are reviewed on a weekly to quarterly basis adjustments are made to both consultant and in-house resources to deliver the project efficiently. Monthly design meetings are held with both in-house and consultant staff to evaluate and adjust workload to maintain milestone and schedule dates.

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## 4.0 Project Phases

### 4.1 General

#### 4.1.1 Purpose

Major projects are monitored from the planning stages to operations of the facility. To maintain focus, guide development, and track costs, the process is divided into phases.

### 4.2 Project Phases

#### 4.2.1 Study Phase

This phase of the project is used to detail the evaluation and documentation necessary to select a project's preferred design alternative. As stated in the Facilities Development Manual (FDM 3-4-1), the study phase is used to "evaluate alternatives and identify the impacts the project has on the environment and communities". The evaluation and documentation is required for all projects, and must meet NEPA guidelines before Final Design may begin. Most notable for this phase of the project is the development of a Draft and Final Environmental Assessment report (EA) or a Draft and Final Environmental Impact Statement (EIS). The report is utilized by the FHWA for review by federal, state and local agencies and made available to the public for comment on the project. For the WIS 441 project, the original EA document was circulated and approved as a Finding of No Significant Impact (FONSI) on November 17, 2004. An updated EA was approved on May 19, 2010.

#### 4.2.2 Preliminary Engineering

Preliminary engineering develops the contract documents to approximately the 60% level of design detail for the project. The engineering process establishes and records the design which includes the following functional areas: surveys, mapping, geotechnical investigations, design, utilities, railroad, structure design, traffic engineering, construction, and maintenance.

Initial preliminary engineering for the WIS 441 project provided a "functional plan alternative." The alternative includes a newly configured US41/WIS 441/US10 systems interchange, a new bridge over Little Lake Butte des Morts, re-alignment of WIS 441 east of Little Lake Butte des Morts, four (4) surface road interchanges, and mainline WIS 441 pavement replacement. Additional operational analysis was performed following the 30% plan review. The layout of the US 41/WIS 441/US 10 network reflected a need to reconfigure the systems interchange to improve operation at the design year traffic volumes. The reconfiguration required an Environmental Re-evaluation documenting the revisions including impacts to the delineated wetlands. Following review by the WisDOT staff, WisDNR, Army Corp of Engineers, and the Federal Highway Association (FHWA), the document was approved on January 16, 2014.

Intersection Control Evaluation (ICE) is included with preliminary engineering. Information for the WIS 441 corridor was collected and used to model the existing conditions and future needs of the four surface interchanges: Racine Street/CTH P, Midway Road/CTH AP, Appleton Road/WIS 47 and Oneida Street/USH 10. Alternative designs per interchange were evaluated and the recommended configurations included in the ICE report approved on October 1, 2012. These recommendations, based on their ability to meet the project's purpose and need, were submitted for final design.

#### 4.2.3 Final Design

Final design begins with the approval of the Design Study Report. The project is typically at the 60% level and continues through Plans, Specification, and Estimate (PS&E) packages. The PS&E documents are used as the LET contracts for construction. Refer to **Figure 4.2.3.1** for the tentative WIS 441 schedule.

Figure 4.2.3.1: WIS 441 Project Reconstruction Schedule

Function	2012	2013	2014	2015	2016	2017	2018	2019
Design	■	■	■	■				
Real Estate			■	■	■	■		
Utilities			■	■	■	■		
Construction			■	■	■	■	■	■

At the 60% plan completion, the roadway design incorporates plan sets from various groups including: signals, lighting, traffic signing and pavement marking, drainage, and structure design. Once compiled and reviewed, impacts to adjacent properties and existing utilities are assessed. Right of Way Plats are developed and the Trans 220 Utility Facilities Relocation process begins.

For the WIS 441 project, final design will be completed by a combined staff of in-house and consultant personnel, in conjunction with staff from the Department. Detailed review meetings are held at the 60% and 90% (or Draft PS&E) levels, where plan sets are distributed to federal, state and local agencies as well as Department staff, (region and statewide bureaus), for review and comment. Detailed cost estimates are completed in this phase before final PS&E packages are released for letting. See **Figure 4.2.3.2 Contract Packaging Schedule** for the current projected design and construction letting schedule.

Figure 4.2.3.2 Contract Packaging Schedule

WIS 441 Design Delivery Schedule  
Revised 4/18/14



Contract Package ID	Project ID	Description	Start Date	Earliest PSBE	PSBE Final	Earliest Let	Program Let	Construction Start	Construction Finish
11	1517-07-72	US 41 Interchange Cansing	12/2/2013	2/1/2014	2/1/2014	5/13/2014	5/13/2014	6/1/2014	8/1/2015
	1517-07-82	Madison Wetland Mitigation Site Phase 3	12/2/2013	2/1/2014	2/1/2014	5/13/2014	5/13/2014	6/24/2014	10/31/2014
	1517-07-76	Little Lake Baffle and Works Bridge B-70-303	3/1/2014	5/1/2014	5/1/2014	8/12/2014	8/12/2014	9/15/2014	11/1/2016
10	1517-75-78	Appleton Rd (SRH 41) Interch	9/1/2014	11/1/2014	11/1/2014	3/10/2015	3/10/2015	5/1/2015	8/15/2015
	1517-75-81	Vermilion Street	9/1/2014	11/1/2014	11/1/2014	3/10/2015	3/10/2015	5/1/2015	8/15/2015
	1517-07-79	US 41 Interchange B-70-400	12/1/2014	2/1/2015	2/1/2015	5/12/2015	5/12/2015	9/9/2015	9/9/2016
	1517-07-83	Wenah Wetland Mitigation Site	12/1/2014	2/1/2015	2/1/2015	5/12/2015	7/15/2015	7/1/2016	10/1/2016
4A	1517-75-75	Incinerator (CH P) Interch	12/1/2014	2/1/2015	2/1/2015	5/12/2015	7/12/2016	8/23/2016	8/23/2018
6	1517-07-77	Little Lake Baffle and Works Bridge B-70-61 Interch	12/1/2015	2/1/2016	2/1/2016	5/10/2016	7/12/2016	8/23/2016	11/15/2018
5	1517-07-73	US 41 Interchange Phase 2	12/1/2015	2/1/2016	2/1/2016	5/10/2016	7/12/2016	8/23/2016	11/15/2018
4B	1517-75-76	Incinerator (CH P)	12/1/2014	2/1/2015	2/1/2015	5/12/2015	7/12/2016	9/1/2017	8/15/2017
	1517-75-71	Incinerator Interchange Early Fill	12/1/2014	2/1/2015	2/1/2015	5/12/2015	7/11/2017	8/22/2017	8/23/2018
12	1517-07-75	US 41 NB (SRH 441 - CH II)	12/1/2014	2/1/2015	2/1/2015	5/12/2015	7/11/2017	8/22/2017	8/22/2018
	1517-07-74	US 41 SB (SRH 441 - CH II)	12/1/2014	2/1/2015	2/1/2015	5/12/2015	7/11/2017	8/22/2017	8/22/2018
9	1517-07-71	US 10 Mainline (Cansing Rd - US 41)	12/1/2015	2/1/2016	2/1/2016	5/10/2016	7/11/2017	8/22/2017	7/1/2018
4C	1517-07-78	US 10 SRH 441 Mainline (UBRM - Topco St)	12/1/2015	2/1/2016	2/1/2016	5/10/2016	7/11/2017	8/22/2017	8/23/2018
7B	1517-75-77	Midway Rd (CH AP) Interch	12/1/2015	2/1/2016	2/1/2016	5/10/2016	7/11/2017	8/22/2017	8/21/2018
7A	1517-75-72	US 10 SRH 441 Mainline (Incinerator - Appleton Rd)	12/1/2015	2/1/2016	2/1/2016	5/10/2016	7/11/2017	8/22/2017	8/21/2018
8B	1517-75-70	Onida 2 (US 10) Interch	6/1/2016	8/1/2016	2/1/2017	2/1/2017	7/11/2017	8/22/2017	11/15/2018
8A	1517-75-73	US 10 SRH 441 Mainline (Appleton Rd - Onida St)	12/1/2016	2/1/2017	2/1/2017	5/9/2017	7/10/2018	8/21/2018	11/15/2019
	1517-75-74	SRH 441 Mainline (Onida St - Project Limits)	12/1/2016	2/1/2017	2/1/2017	5/9/2017	7/10/2018	8/21/2018	11/15/2019
11	1517-75-80	Bank Storage Facility					7/11/2017		



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## 4.2.4 Construction Segments

### 4.2.4.1 US 41/US 10/WIS 441 Systems Interchange

The systems interchange will be one of the first construction phases of the project. This project will include a newly configured fully operational interchange. The existing systems interchange allows six of eight directional movements. The proposed interchange layout will include all eight directional movements one of which is a “freeway split” diverge for westbound US 10/southbound WIS 441. Construction within the System Interchange is anticipated to last four (4) years, through multiple LET projects.

### 4.2.4.2 Little Lake Butte des Morts Bridge

Another early project scheduled for let will be the Little Lake Butte des Morts Bridge. This phase will include the construction of a second structure adjacent to the existing bridge. Following completion, traffic will be shifted to the new bridge while the existing Little Lake Butte des Morts Bridge will be widened, re-decked and stained. Once fully operational, each structure will carry four lanes of traffic accommodating the future traffic projections.

### 4.2.4.3 Off-Alignment Segment

The Off-Alignment segment of the corridor includes the re-alignment of mainline WIS 441/US 10 from Little Lake Butte des Morts to the WIS 47/Appleton Road interchange. The re-alignment of mainline WIS 441/US 10 will improve the geometry of the “S” curve of the highway. The curves will be adjusted to accommodate a 70 MPH design speed. WIS 441 mainline in these areas will be expanded from two through lanes to three through lanes and one auxiliary lane meeting the needs of current and future traffic volumes.

The reconstruction of the Racine Street/CTH P interchange and the Midway Road/CTH AP interchange will be included with this segment.

### 4.2.4.4 Tangent Segment

The tangent segment of the project includes the expansion of the WIS 441/US 10 mainline between the WIS 47/Appleton Road interchange and the project limits east of the Oneida Street interchange with a final configuration of three through lanes and one auxiliary lane per direction. The reconstruction encompasses the WIS 47/Appleton Road interchange and the US 10/Oneida Street interchange.

The WIS 47/Appleton Road interchange will be reconfigured to a roundabout diamond interchange. This portion of the project will include reconstruction on WIS 47/Appleton Road, the addition of turning lanes at WIS 47 and Midway Road, lane widening to accommodate bicycle lanes and additional sidewalk.

The US 10/Oneida Street interchange will be reconfigured to a Diverging Diamond Interchange (DDI). This layout is designed to handle a large volume of vehicles making left hand turns from a service road to a freeway. Oneida Street will be a complete urban reconstruction from the Valley Road/Oneida Street intersection to the Midway Road/Oneida Street intersection.

### 4.3 Proposed Construction Schedule

The scheduled start of construction for major construction activities is 2014. Refer to **Figure 4.3.1 Overview Map**.



#### Year 1 Construction – program schedule Fiscal Year 2014

- US 41 Interchange Grading
- Early structure/early fill work in the US 41/WIS 441/US 10 System Interchange
- Rubbert Wetland Mitigation Site Phase 3
- Utility Relocation
- Real Estate Acquisition
  - Early buyout/relocation properties



#### Year 2 Construction – program schedule Fiscal Year 2015

- Little Lake Butte des Morts Bridge B-70-403
- Construction of new bridge over Little Lake Butte des Morts
- Construction expected to span two (2) years
- Appleton Road (WIS 47) Interchange
- Roundabout diamond construction of WIS 47/Appleton Road Interchange
- Racine Road (CTH P) Interchange Early Fill



#### Year 3 Construction – program schedule Fiscal Year 2016

- Continue construction of LLBDM Structure
- US 41 Interchange Structures/Grading
- Additional Structure work and grading in US 41/WIS 441/US 10 System Interchange
- Racine Road (CTH P)
- Racine Road roundabout construction
- Racine Road (CTH P) Interchange
- Ramp construction to match limits of Racine Road roundabout



#### Year 4 Construction – program schedule Fiscal Year 2017

- Little Lake Butte des Morts Bridge B-70-61 Re-decking
  - Widening and re-decking of existing Little Lake Butte des Morts Bridge
    - Traffic will be switched to the New Little Lake Butte des Morts Bridge
- US 10/ WIS 441 Mainline (LLBDM – Tayco Street) Phase 1
  - Mainline realignment from the east end of Little Lake Butte des Morts to Tayco Street



#### Year 5 Construction – program schedule Fiscal Year 2018

- US 10 Mainline(Coldspring Road – US 41)
  - Work from West project limits to US 41/WIS 441/US 10 System Interchange
- US 10/WIS 441 Mainline (Tayco Street – Racine Road)
  - Mainline realignment from Tayco Street of Little Lake Butte des Morts to Racine Road
- US 41 NB (WIS 441 – CTH II)
  - Add auxiliary lanes between the US 41/CTH II Interchange and the US 41/WIS 441/US 10 Interchange
- US 41 SB (WIS 441 – CTH II)
  - Add auxiliary lanes between the US 41/CTH II Interchange and the US 41/WIS 441/US 10 Interchange
- Midway Road (CTH AP) Interchange
  - Reconstruct WIS 441/US 10/CTH AP diamond interchange
- US 10/STH 441 Mainline (Racine Road – Appleton Road)
  - Realignment of Mainline US 10/WIS 441
- Oneida St (US 10) Interchange

- Construct Diverging Diamond Interchange at WIS 441/US 10/Oneida Street interchange
- Full urban reconstruction of Oneida Street from Valley Road (north of the interchange) to Midway Road (south of the interchange) Full reconstruction of US 10/Midway Road (CTH AP) intersection



**Year 6 construction – program schedule Fiscal Year 2019**

- US 10/ WIS 441 Mainline (Appleton Road – Oneida Street)
  - Mainline reconstruction to add additional lanes
- WIS 441 Mainline (Oneida Street – Project Limits)
  - Mainline reconstruction to add additional lanes and transition into existing WIS 441 at east project limits

Figure 4.3.1 Overview Map



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## 5.0 Procurement and Contract Management

### 5.1 Procurement for Design Services

#### 5.1.1 Purpose

Large projects are dependent upon a procurement plan that coincides with the needs and strategies for delivering the projects within a defined time period. Resource availability, organizational and budget constraints, and contracting methods require a management plan for acquiring both WisDOT in-house and consultant services. The Facilities Development Manual (FDM) Chapter 8 outlines the processes and procedures for procuring consultants, as well as identifying the roles of the personnel involved in the procurement process.

#### 5.1.2 Procedure

##### 5.1.2.1 Procurement Planning

Qualification based selection and/or contracting for design service for the administration of invoices and amendments are addressed under this plan. The scope document provides the parameters concerning the project needs, strategies, technical issues, and constraints required during procurement planning. The goal is to achieve improved utilization of resources to maximize efficiencies and minimize delivery costs.

Based on the scoping documents, the types of contracts written for design services include Lump Sum (LS), Actual Costs plus a Fixed Fee, Combination of LS and Actual Cost, and Work Orders Standard contract language.

For this project, the WIS 441 management team will approve final consultant work scopes prior to submitting to the FHWA for approval (see 23 CFR 172.0©).

##### 5.1.2.2 Solicitation Planning

The process begins by submitting a Scope of Services Narrative/Notice of Interest Questionnaire Form to the WisDOT Central Office Contract Administration Unit and conducting a Cost/Benefit Analysis. It continues by following standard WisDOT procedures for design or construction solicitation outlined as follows:

##### 5.1.2.3 Solicitation

Design solicitations are done on a bi-monthly basis. Full information encompassing the process, procedures, and necessary forms are available on the WisDOT website:

<http://www.dot.wisconsin.gov/business/engrserv/index.htm>

Construction solicitations are done on an annual basis. Full information encompassing the process, procedures, and necessary forms are available on the WisDOT website:

<http://www.dot.wisconsin.gov/business/engrserv/index.htm>

##### 5.1.2.4 Source Selection

Consultants use an electronic application when submitting Notice of Interest forms (NOIs) for construction or design/related services solicitations. The Qualifications-Based Selection (QBS) is used to evaluate the NOIs and ensure that the applicants meet the values and goals of the team. The WisDOT WIS 441 Project team then establishes and agrees upon an Independent Effort Estimate as a check of the proposed effort and costs.

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## 5.2 Contract Administration and Contract Management

### 5.2.1 Contract Administration

Active administration of the contract ensures that the selected Consultant's performance meets the requirements and deliverables identified in the contract and that the procedures and/or processes identified in other sections of this Project Management Plan will be put into practice. The contract administration provides

- Ensures all contractual obligations are satisfied
- Uniform and consistent application of administrative activities from contract to contract
- An avenue to address changes to project scope including additions or deletions of services or termination of services
- Early identification of technical or contractual issues requiring resolution

As part of the administration process, invoices requesting payment for completed services will use the standard WisDOT Invoice form and follow established procedures set by the NE Region and WisDOT Central Office. All invoices are reviewed by the project manager and/or supervisor to ensure the costs are valid, reasonable, and properly documented on the invoice. Once this check is performed, the invoice is signed and forwarded to the WisDOT's NE-Region Consultant Services team. The Consultant Services team makes a second check of the accuracy and validity of the invoice. Upon completion, payment for services is made.

In situations requiring contract modification, the Contract Amendment Control System is initiated. It addresses amendment procedures, task effort evaluation, scoping documentation and conflict/dispute resolution. The WIS 441 Project Team will review draft amendments for contract changes and will consult with FHWA for concurrence with the revision in scope. Once both parties have validated the scope of the amendment, the consultant provides an initial cost estimate increase or decrease for the work scoped. The Consultant Unit Supervisor can approve amendments to contracts under \$50,000. All other amendments must be approved by WisDOT Central Office staff.

### 5.2.2 Contract Management

Work activities performed by consultants will be monitored to ensure that a quality service/product is received within the agreed upon time schedule and cost of the contract. To accomplish this effort, the consultant contract management method as outlined in Chapter 8, Section 8-25 of the WisDOT Facilities Development Manual will be followed. In depth procedures are defined in sections:

- Progress Reports
- Performance Evaluations
- Consultant Contract payments
- Contract Amendments
- Conflict Resolution Process
- Process for Consultant Contract Claims and Disputes
- Audits

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## 5.3 Disadvantaged Business Enterprise (DBE) Monitoring

### 5.3.1 Purpose

The Disadvantaged Business Enterprise (DBE) Program was instituted to increase participation of firms owned by disadvantaged individuals in all federally aided and state transportation facility contracts. To meet the program objectives, WisDOT establishes a total dollar value of the contract set aside for DBE's and monitors the execution of the commitments in the contract administration/management process.

### 5.3.2 Procedures

On a monthly basis, the Program Construction Controls Engineer and Equal Rights Officer (ERO) compiles project cost data and tracks actual versus budgeted costs. As part of the cost analysis, the ERO will tabulate the costs for each project or contract by DBE firm, comparing the amounts actual versus budget, and actual percentage versus contract percentage. This information will then be prepared in a spreadsheet report format and provided to WisDOT management in the Monthly Reports presented to the NSFOC and to the designated parties monitoring DBE participation.

The ERO will also monitor DBE participation as affected by contract modifications on the various construction contracts. DBE costs as a percentage of the contract modifications amount and revised contract totals will be tabulated and included in the DBE participation reports, which shall be included in the Monthly Report presented to the NSFOC.

The DBE Labor Compliance Officer details the forecast participation of each DBE firm throughout the contractor's schedule. The DBE Payment Report is compared with the DBE schedule (if available) in order to conduct a comparative analysis to ensure that DBE participation is at appropriate levels.

### 5.3.3 Responsibility

The Department's Program Labor Compliance Specialist and Disadvantaged Business Enterprise Bureau Chief are responsible for determining initial contract compliance and DBE firm certification and participation levels.

The WIS 441 Project Labor Compliance Officer is responsible for tracking labor participation levels for each contract as reported by the Contractors, and reviews the information in the Civil Rights Labor Compliance and Tracking Payment System.

The WIS 441 Project Labor Compliance Officer compiles and reports DBE participation levels.

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## 6.0 Cost Estimate Budget and Schedule

### 6.1 Purpose

The overall project requires a breakdown to integrate budgets, resources, and scope of work, track progress, and monitor performance both in design and construction. To meet these objectives, the WIS 441 Project Team will be using Primavera Contract Manager software.

### 6.2 Scheduling Procedure

#### 6.2.1 Scheduling with Major Milestones

The WIS 441 Corridor Project is scheduled for completion in August 2020. Based on annual budgets and workload, the corridor has been subdivided into manageable segments, each having milestones entered into Primavera P6 schedule. The milestones include design, real estate, structures, utility agreements and construction activities. As the design/construction per segment advances, the schedules are reviewed and updated weekly to ensure accuracy, monitor progress and incorporate unique details as they develop.

### 6.3 Project Cost Estimate Budget

#### 6.3.1 Total Program Cost Estimate

The total cost determined during the Federal Highway Cost Estimate Review Workshop for the WIS 441 Project was estimated at \$573 Million, in year-of-expenditure dollars. WisDOT and FHWA conducted this cost estimate review in September 2012 to verify that the budget is appropriate in conjunction with the project's financial risks.

#### 6.3.2 Cost Estimating Procedure

##### 6.3.2.1 Methodology

The department uses a cost estimating validation process which seeks to understand the estimate, minimize estimating error, and improve both the cost estimate and the process used to develop the estimate.

In developing the cost estimate for the project, the following key assumptions were made:

- No contingencies exist for expanding the project limits
- The estimate assumes a design-bid-build approach

##### 6.3.2.2 Design

The overall project design is at various levels of completion with eighty percent of the design near the 60% milestone as of June 2013. Individual projects will range from fifty percent to one hundred percent completion for the 60% milestone or more by February 2014. Design costs, as a percentage of total estimated project construction cost, are approximately eleven percent and include the cost of consultants and departmental staff.

##### 6.3.2.3 Real estate

Real estate costs are estimated based on collaboration between the design team's needs and the NE Region real estate group's expertise. Contingency and litigation estimates are identified during the progress of the design. Currently, the real estate budget is estimated at \$30 million.

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### 6.3.2.4 Utility

The initial corridor estimate identified utility impacts. Relocations were reviewed and costs assigned according to past project experience. The utility budget is currently estimated at \$9 million and includes a contingency for unknown costs.

### 6.3.2.5 Construction and Construction Management

Baseline construction costs for the project were compiled and independently reviewed including identification of risk items and evaluation of the methodology in the determination of the estimates. The anticipated total cost of each project segment includes ten percent of the let value as the likely cost for construction engineering and eight percent of the let value as the likely cost for potential change orders.

The baseline pricing reflects the assessment of recent construction lettings, integration of information from the contracting industry and private sector, and material availability. Specific unit costs have been established to include a contingency price based on the complexity of work, specialized work, and unknown scope elements.

Undetermined items were quantified using a percentage of known items such as pavement, structures, and earthwork. The percentages were developed using previously constructed majors projects with adjustments made to reflect the scope and the complexity unique to the project segment.

Construction cost estimates are updated as current information becomes available, with complete estimate reviews bi-annually as well as when project designs are at 60% and 90% completion. One month prior to the cost estimate due date, project managers are notified and the cost estimating update process begins with the design, as of that date, used for the estimate. The estimate is assembled by each major construction item per project and rolled up into each construction contract. The construction contracts are rolled up to obtain the corridor's construction cost. The estimates are entered into a spreadsheet with their corresponding construction dates to adjust the total for inflation.

Quality control for the estimates includes a review of the process used to complete the estimates as well as the actual submitted data. At this time, project designers may be contacted to help address questions. Departmental staff, outside the WIS 441 team, will review the estimates to confirm unit prices, material production rates, earthwork production rates, and the overall time needed for construction.

Once complete, the review comments and adjustments are provided to the project staff, representatives for FHWA and senior managers within the department. As the project progresses, projected 'cost to complete' estimates for the corridor are developed using the review information, the actual spending progress and trends, and feedback from the design/construction project managers.

## 6.4 Cost Control

### 6.4.1 Purpose

The intent of the cost control and management process is to provide a cost containment strategy and to provide an accurate assessment of program costs to allow for proactive and effective decision-making, thus validating that the program is completed at or below the project build out budget. The goal for the WIS 441 Project Team, in conjunction with FHWA guidelines, is to clearly track, manage, and report actual program costs compared to the baseline budget, provide analysis based on earned values and actual expenditures, and make recommendations to mitigate cost increases and achieve cost savings where possible.

### 6.4.2 Procedure

The WIS 441 Project Team will help develop a Cost Control and Reporting System able to efficiently incorporate data from other systems, such as the WisDOT Field Manager system, the Encumbrance Accounts Payable System (EAPS), the Financial Integrated Improvement Programming System (FIIPS)

and others as applicable. The process will facilitate consistency in data collection and reporting across all contracts, with all PCLs, and between all consultants, including communication between the PCLs and the DEC. This data will be used in preparation of project status reports to aid in effective decision-making by WisDOT management, and to provide accurate and timely reporting to FHWA. The Cost Control system facilitates proactive analysis of program risks. The build out budget includes funding for contingencies. These contingencies are evaluated based upon the assessment of risk for each particular contract, and adjustments recommended to appropriately address the specific level of risk assigned to each contract.

In September 2012, a review team consisting of the FHWA, WisDOT, and Consultant staff conducted a Cost Estimate Review Workshop to evaluate the cost and schedule estimates for the corridor. The objective was to provide an unbiased risk-based review to verify the accuracy and reasonableness of the cost estimate and schedule, and develop a probability range for the cost estimate that represents the project's development at that point. The methodology incorporated reviewing the development of the project quantities, unit prices, assumptions, and identification of opportunities and risks. Each major cost element was reviewed, with changes, additions, or deletions documented and recorded in the workshop report. An additional workshop will be scheduled prior to submitting the financial plan.

## 6.5 Financial Plan

WisDOT will prepare a financial plan, as required by FHWA as the WIS 441 Project is considered a "major project" subject to the provisions of MAP-21 and its predecessor legislation SAFETEA-LU (Pub.L. 109-59, 119 Stat. 1144). The requirements for the annual financial plan are contained in section 1904(a) of SAFETEA-LU. This provision amends 23 U.S.C. 106(h), as follows:

"(h) MAJOR PROJECTS-

"(3) FINANCIAL PLAN-A financial plan shall-"(A) be based on detailed estimates of the cost to complete the project; and "(B) provide for the annual submission of updates to the Secretary that are based on reasonable assumptions, as determined by the Secretary, of future increases in the cost to complete the project...."

Significant elements of an initial financial plan include (1) cost estimate (current cost of the project and the remaining cost-to-complete); (2) implementation plan (schedule for completing the project); (3) financing and revenue (funding sources and amounts); (4) cash flow (annual schedule of cash needs versus available cash); and (5) cost containment strategies. Financial plans are updated annually.

Financial plans must be reviewed and accepted by the FHWA Division Office after review and concurrence by the FHWA Major Projects Office at FHWA Headquarters. The financial plan committee will work closely with both FHWA offices. FHWA Division Office and Headquarters' participation in the development of the initial financial plan will minimize the review time of the plan prior to FHWA acceptance. WisDOT anticipates submitting the initial financial plan to FHWA in spring of 2014. FHWA would be expected to accept the plan within 30 days after submittal.

Utility relocation, traffic mitigation measures, and right-of-way acquisition may take place before FHWA approval of a state's financial plan, but actual replacement of the facility cannot take place without FHWA's approval of the financial plan.

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## 7.0 Program Reporting & Tracking

### 7.1 Purpose

The intent of the reporting process is to concisely summarize the overall WIS 441 Project developments to date, highlighting major areas of concern, and associated actions required in conjunction with analysis of the schedule and budget performance. The goal is to develop timely issuance of information to management for policy decisions.

The overall program, including individual projects, is addressed in the reporting process. The following key items are reported monthly: cost, schedule, quality assurance, safety, DBE participation, traffic management, and public/media relations.

Information is presented in narrative, tabular and graphic formats, with the goal to provide current information and status from a project perspective. Maximum use of graphics and tabular formats is implemented to enhance presentation and focus on key components of information.

### 7.2 Responsibilities

The Program Controls Team prepares and distributes monthly reports based on information from the WIS 441 Project Team members, WisDOT staff, PCLs and others selected for input. Prior to distribution, the Financial Project Manager reviews the format and content of reports, quality of data and uniformity of information.

### 7.3 Procedures

#### 7.3.1 Report Preparation

A monthly Executive Summary report will be prepared by the WIS 441 Program Controls Team with collaboration from the Project Group Chief, Supervisors and Project Managers to document the progress made during the previous month. A draft report will be completed for review by the Financial Project Manager and the Design & Construction Supervisors with final review by the Project's Group Chief. The final report will be distributed to the Change Management Team and used by the Project's Group Chief and the NE Region Director to report out at the monthly Oversight Committee. The report will contain summaries, of financial and schedule data and bullet points summarizing key milestones reached and upcoming milestones. Summaries of project issues and risks and the measures being taken to address them are included. Percentages of DBE involvement in design and in construction will also be documented.

The purpose of Executive Summary is threefold:

- Track overall program cost estimates
- Provide awareness and information to the Oversight Committee concerning developing issues and risks
- Provide WisDOT and FHWA staff with timely and accurate information on final project costs and schedule

The Executive Summary provides a global synopsis of active projects in all phases. It includes overall progress, achievements, issues, concerns and actions. Based upon the current program status, projections are made to further enhance the overall view and enable decisions on policy issues, time and/or cost to be made intelligently and quickly. Reference is made to detailed information contained in the individual project reports when appropriate. **See Figure 7.3.1.1 Quarterly Executive Summary.**

Figure 7.3.1.1 PG 1



## WIS 441 Project QUARTERLY EXECUTIVE SUMMARY November 2013-January 2014



### Financials

#### Current TPC Budget by Function

	Current Budget*	Committed	Paid To Oct 31, 2013	Paid To Jan 31, 2014	Net Paid Nov '13 - Jan '14	% Expended to Date
<b>WIS 441</b>	Design	\$32,000,000	\$28,391,342	\$19,962,282	\$23,551,883	74%
	Real Estate	\$30,000,000	\$8,915,055	\$25,613	\$56,454	0%
	Utilities	\$9,000,000	\$0	\$0	\$0	0%
	Construction	\$379,000,000	\$50,000	\$2,677	\$3,558	0%
<b>PROGRAM SUBTOTAL**</b>	<b>\$450,000,000</b>	<b>\$35,356,397</b>	<b>\$19,990,572</b>	<b>\$23,611,695</b>	<b>\$3,621,123</b>	<b>5%</b>
<b>Project Reserve***</b>	tbd	Percentage of Current Budget - Nov 2013-Jan 2014			0.8%	
<b>Program Reserve***</b>	tbd					
<b>PROGRAM TOTAL</b>	tbd					

\* (In current year dollars)  
 \*\* (Corresponds to Report to the Transportation Projects Commission on the Status of Major Highway Projects, August 2013)  
 \*\*\* (Reserves will be developed at a future date.)

### Schedule

Design: 74% (+9%) complete - scheduled completion in 2016  
 Real Estate: 0% complete – scheduled completion in 2016  
 Construction: 0% complete – scheduled Program completion in 2019

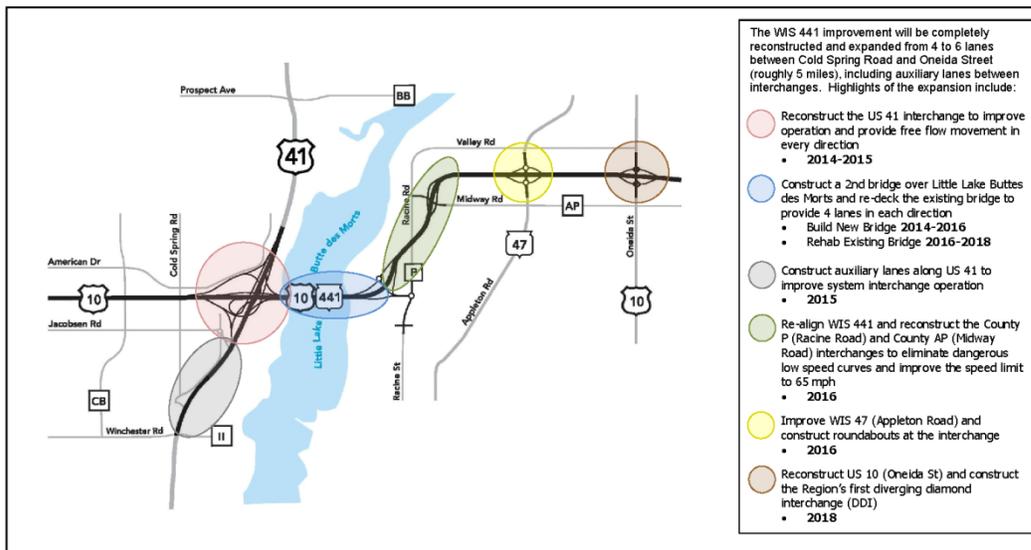


**EXAMPLE**

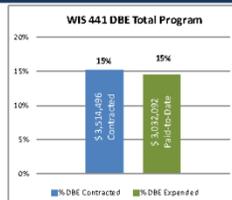
#### Highlighted Milestones/Impacts

- October 2013 – IAJR Complete
- November 2013 – Shelf plans complete for Earliest Let Projects
- January 2014 – Environmental Re-Eval complete
- February 2014 – Final PS&E submittals due for stage 1 LLBDM and 10/441/41 System Interchange contracts
- March 2014 – Project Management Plan complete
- Spring 2014 – Corridor Wetland, Water Quality, and Coast Guard permitting complete

### Project Map



### DBE



Currently the Program has a total of 9 DBE/Minority owned businesses that are contributing in Design services.

Design Engineering	Contract Total	DBE Total	Achieved
CONTRACTED	\$23,122,083	\$3,514,496	15%
EXPENDED	\$20,870,058	\$3,032,092	15%

Construction Management	Contract Total	DBE Total	Achieved
CONTRACTED	\$0	\$0	0%
EXPENDED	\$0	\$0	0%

Construction Contracting	Contract Total	DBE Total	Achieved
CONTRACTED	\$0	\$0	0%
EXPENDED	\$0	\$0	0%



Figure 7.3.1.1 PG 2



**WIS 441 Project**  
**QUARTERLY EXECUTIVE SUMMARY**  
 November 2013-January 2014



**Issues/Risks**

Item	Issue	Status	Action Required	Completion Date	Drop-Dead Date	Ball in Court
<b>Project Packaging and Funding</b>	Programming and construction packaging for WS 441	Preliminary contract packaging construction sequence has been refined. Revisions to early design delivery schedule have been approved.	Continued coordination with BSHP	Ongoing	Ongoing	Brian Roper
<b>CN Railroad Coordination</b>	Structures will be built over heavily used CN Rail Corridor	CN has signed the stipulation, clearing the system interchange work.	Coordinate with Bureau and CN Railroad Staff	Ongoing	N/A	Scott Ebel
<b>Environmental Assessment Re-evaluation</b>	Design changes and updated 2010 census data require revisions to the existing environmental document	Draft EA signed by FHWA on January 16, 2014.	None	Complete	January 2014	Scott Ebel
<b>DNR, Corps, &amp; US Coast Guard Permits</b>	Corridor wide wetland impact, water quality certification, and coast guard permits required prior to construction	Wetland mitigation site 90% plans complete. Agency Coordination is ongoing	Continue coordination and submit permit applications	Winter 2014	Winter 2014	Scott Ebel

**EXAMPLE**

Item	Risk	Impact	Action Required	Drop-Dead Date	Ball in Court
<b>Construction Prices (Escalation)</b>	Variability of construction prices	Impact on budget	Continuous monitoring of construction prices	N/A	NE Region
<b>PCB Contaminated Soils in LLBDM</b>	PCB clean-up efforts have taken place in LLBDM. Existing lake bed material may still contain some contamination	Impact on budget	Continue soil exploration and plan for potential mitigation. Evaluate alternative pier construction techniques to minimize disturbance of material.	Ongoing	NE Region
<b>Real Estate (Winnebago &amp; Calumet County)</b>	Variability of Real Estate prices	Impact on budget	Continue to monitor real estate prices and adjust real estate budget	N/A	NE Region
	Complex real estate appraisals & relocations	Impact on schedule	Engage legal counsel on issues as needed	N/A	NE Region Real Estate
<b>Geotech/Soils</b>	Complex geotechnical issues requiring mitigation and evaluation of risk for the department	Impact on budget and schedule	Continuous monitoring	On-going	NE Region/Central Office Soils

**Safety**

No Safety items to report.

**Public Involvement**

- January 21 – Racine Road Interchange CSS/Landscaping Meeting
- February 21 – Little Lake Butte Des Morts Bridge Construction WTBA Outreach Meeting
- March 12 – Racine Road and 12<sup>th</sup> Street Access Meeting
- March 25 - Racine Road Interchange CSS/Landscaping Meeting #2
- March 26 – WIS 47 Interchange CSS/Landscaping Meeting



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### 7.3.2 Data Sources and Distributions

Monthly reports are developed using existing data, reports, meeting records, special studies and direction provided by various Program and Project participants. Technical data is compiled from the contract level upwards incorporating information from design and construction phases, which includes but is not limited to the following sources:

- Corridor Cost Summary Report
- Schedule Report
- Issue/ Risk Log
- Traffic Management Plan
- DBE Participation Report
- Construction Cost Summary Report
- Construction Delivery Report

Utilizing the Contractor's accepted Critical Path Method schedule, pending Contract Modifications and projected overruns, the controls staff prepares look-ahead reports forecasting expenditures. The forecasts are included in both project cost and schedule reports and the monthly Executive Summary report.

### 7.4 Timing

The Executive summary is prepared using a monthly report schedule establishing a timeline for submittal of information. The Executive Summary is distributed following review by the Program Controls & Finance Management Team, the Supervisors & Program Group Chief, before it is presented to the Oversight Committee.

Project cost and schedule reports are distributed as soon as possible after updated project schedules and cost information is available.

### 7.5 Distribution

Copies of the Executive Summary reports will be distributed to the WIS 441 Project senior management, other US 41 Corridor Team members as desired, Federal Highway Administration and stakeholders to be determined. Distribution is in hard copy or electronically in a read-only format.

Interim cost and schedule reports have a more limited distribution to management and controls staff, including the supervisors and the Change Management Team, who continually evaluate the information. Electronic distribution of these reports is made routinely.

### 7.6 Construction Project Reports

Reports for each construction project and individual contracts are developed. (Refer to Figure 7.6.1) Construction project data sheets to include:

- Achievements, issues actions and concerns
- A schedule snapshot to graphically depict and forecast progress
- A tabulated summary to track costs and monitor budget
- A schedule summary tabulated to focus on time elapsed, controlling/critical activities, milestones and forecasts

A narrative is prepared by the Project Manager, incorporating the reporting elements and combining input from various specialists and disciplines. The content required for essential reporting elements is listed topically later in this section.

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Summary tables are provided to show the status of submittals, RFIs, DINs, and contract changes on an exception rather than detailed basis.

### 7.6.1 Schedule Management and Monitoring

Ongoing analysis of the Critical Path schedule(s) is encapsulated in the monthly Cost & Schedule Reports for a construction project. Primary reporting tools include:

- Planned Progress vs. Actual
- Milestone Date achievements and forecasts
- Scheduled Progress vs. Cost Progress
- Schedule Issues including delays or potential exposure to milestone and final completion dates

The Project Cost & Schedule Reports will be prepared by the WIS 441 Program Controls group. After review by the Project Manager and Project Construction Lead, the report will be distributed. Distribution will include the project team, the Construction Supervisor, Project Manager, and additional parties as appropriate.

### 7.6.2 Construction Project Cost Monitoring and Reporting

Based on established procedures, the input of bid data and progress information from the field, the monthly cost analysis and status report tables will include:

- Actual Cost vs. Approved Budget Cost vs. Percent Complete
- Projected Cost at Completion vs. Approved Budget Cost
- Baseline Budget vs. Current Expenditures and Commitments
- Change Modification Costs vs. Contingency Budget

Figure 7.6.1 Construction Project Status Report

**CONSTRUCTION PROJECT DETAIL**

Larson Rd. – Memorial Dr. Mainline, WIS 29 Intchg (Packerland Dr. – US41), WIS 29 Mainline (Duck Crk–Packerland/EB) 1133-03-71,73, 9202-07-71 Bundled Projects

Prime Contractor: Hoffman Construction Co.  
Project Construction Leader: DAAR Engineering



**EXAMPLE**

**Key Work Accomplished:**

- Started setting tub girders on the 658 & 660 structures.
- Decking has been completed at both structures over Memorial Drive and Shawano Avenue.
- Deck steel has been placed at Memorial Drive.
- Sign bridge construction continues along US 41.

**Key Work Scheduled:**

- Crews continue to set steel trapezoidal tub girders on the 658 & 660 structures.
- Deck pours are planned at Memorial Drive and Shawano Avenue bridges.
- Girders, decking operations, reinforcing steel and possible deck pours by the end of the month.
- Work will continue on sign structures adjacent to US 41.

**Public Relations:**

- Working with local residents and business owners to address their questions.

**Current Contract Status**

Date of Award	Jul. 31, 2012
Notice to Proceed	Aug. 23, 2012
Original Contract Completion	Oct. 05, 2014
DBE Goal/Committed	8%/9%
Anticipated/Actual Completion	Oct. 05, 2014

Category	Contract Amount	Approved Changes	Total	Pending Changes	Cost At Complete	Paid-To-Date
WisDOT Management	\$ 550,000	\$ -	\$ 550,000	\$ -	\$ 550,000	\$ 156,229
Consultant Services	\$ 7,620,579	\$ 175,719	\$ 7,796,298	\$ -	\$ 7,796,298	\$ 1,032,578
Prime Contractor	\$ 96,912,405	\$ 1,688,848	\$ 98,601,253	\$ 878,262	\$ 99,479,514	\$ 27,216,103
Change Allowance	\$ 8,000,000	\$ -	\$ 6,311,152			
<b>Total</b>	<b>\$ 113,082,984</b>	<b>\$ 1,864,567</b>	<b>\$ 113,258,703</b>	<b>\$ 878,262</b>	<b>\$ 107,825,813</b>	<b>\$ 28,404,909</b>

USH 41 Construction Project				2013												2014											
Activity Name	Original Duration	Start	Finish	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep						
<b>11330371 Larson Rd - Memorial Drive Mainline</b>	661	01-Mar-12A	06-Oct-14																								
PS&E FINAL (DUE IN MADISON) - Larson Rd - Memorial Drive ML	1	01-Mar-12A	01-Mar-12A																								
PS&E Ready For Letting - Larson Rd - Memorial Drive ML	1	24-Jul-12A	24-Jul-12A																								
Award - Larson Rd - Memorial Drive ML	20	25-Jul-12A	31-Jul-12A																								
Issue Construction NTP - Larson Rd - Memorial Drive ML	1	23-Aug-12A	23-Aug-12A																								
Construction - P - Larson Rd - Memorial Drive ML	531	27-Aug-12A	06-Oct-14																								
<b>11330373 WIS 29 Interchange (Packerland Dr to US 41)</b>	661	01-Mar-12A	06-Oct-14																								
PS&E FINAL (DUE IN MADISON) - WIS 29 Interchange (Packerland Dr to US41)	0	01-Mar-12A	01-Mar-12A																								
PS&E Ready For Letting - WIS 29 Interchange (Packerland Dr to US41)	1	24-Jul-12A	24-Jul-12A																								
Award - WIS 29 Interchange (Packerland Dr to US41)	20	25-Jul-12A	31-Jul-12A																								
Issue Construction NTP - WIS 29 Interchange (Packerland Dr to US41)	1	23-Aug-12A	23-Aug-12A																								
Construction - P - WIS 29 Interchange (Packerland Dr to US41)	531	04-Sep-12A	06-Oct-14																								
<b>92020771 WIS 29 Mainline (Duck Creek - Packerland Dr/CTH EB)</b>	661	01-Mar-12A	06-Oct-14																								
PS&E FINAL (DUE IN MADISON) - WIS 29 ML (Duck Creek - Packerland Dr/CTH EB)	1	01-Mar-12A	01-Mar-12A																								
PS&E Ready For Letting - WIS 29 ML (Duck Creek - Packerland Dr/CTH EB)	1	24-Jul-12A	24-Jul-12A																								
Award - WIS 29 ML (Duck Creek - Packerland Dr/CTH EB)	20	25-Jul-12A	31-Jul-12A																								
Issue Construction NTP - WIS 29 ML (Duck Creek - Packerland Dr/CTH EB)	1	23-Aug-12A	23-Aug-12A																								
Construction - P - WIS 29 ML (Duck Creek - Packerland Dr/CTH EB)	531	04-Sep-12A	06-Oct-14																								

## 8.0 Internal & Stakeholder Communication

### 8.1 Purpose

Stakeholders are identified early in the design process and the appropriate method of communication established. Regular and purposeful coordination with internal customers and external stakeholders is critical to the success of the WIS 441 Project.

### 8.2 Procedure

#### 8.2.1 Communication Overview

An overview of internal and external stakeholders, stakeholder level of involvement, and preferred methods of coordination are listed on the chart below and brief summaries of key coordination methods follow. Additional information can also be found in Chapter 16, Project Communication.

Groupings of Stakeholders	Level of Involvement	Methods of Communications
<p><b><u>WIS 441 Change Management Team</u></b>                      Region Director – WisDOT NE Region                      Region Operations Mgr. – WisDOT NE Region                      WIS 441 Program Chief – WisDOT NE Region                      WIS 441 PDS Project Manager(s)–WisDOT NE Region                      WIS 441 Design Supervisor – WisDOT NE Region                      Oversight Engineers - FHWA</p>	<p>Daily</p>	<p>Monthly Change Management Meetings                      Monthly I-RMT Meetings                      Bi-Weekly &amp; Monthly Design Team Meetings                      Monthly Progress Reports                      Centralized Files</p>
<p><b><u>Individual Design Teams</u></b>                      WisDOT in-house Design Team                      Tri-County Partners Design Team</p>	<p>Daily</p>	<p>Daily Team Interactions                      Bi-weekly Design Coordination Meetings                      Monthly Progress Reports                      Standardized File Management                      Standardized Plan and CAD Standards</p>
<p><b><u>Northeast Region Functional Leads</u></b></p>	<p>Bi-Weekly to Monthly</p>	<p>Monthly Progress Report                      Monthly Region/Design Coordination Meetings</p>
<p><b><u>Northeast Region Administration</u></b>                      Region Director                      Region Operations Manager</p>	<p>Quarterly and as needed</p>	<p>Quarterly Leadership Reports (Budget, Schedule, Scope)</p>
<p><b><u>Northeast Region Unit Managers</u></b></p>	<p>Monthly and as needed</p>	<p>Intranet – <u>News &amp; Notices</u> (for updates on newsletters, FAQs, web site)</p>
<p><b><u>Northeast Region Staff</u></b></p>	<p>As needed</p>	<p>Intranet – <u>News &amp; Notices</u> (for updates on newsletters, FAQs, web site)</p>
<p><b><u>CO/FHWA Liaisons</u></b>                      Major Projects Program Mgr – WisDOT Central Office                      NE Design Oversight Eng. – WisDOT Central Office                      Division Major Projects Mgr – WisDOT Central Office                      Oversight Engineer - FHWA</p>	<p>Monthly</p>	<p>Monthly Change Management Meetings                      Monthly I-RMT Meetings</p>

Groupings of Stakeholders	Level of Involvement	Methods of Communications
<p><b><u>Central Office Reviewers</u></b>                      Traffic, Bridge &amp; PS&amp;E                      Bureau of Real Estate (BHRE)</p>	<p>As needed</p>	<p>Coordination During Reviews                      Relocation Benefit Reviews</p>
<p><b><u>Local Officials</u></b>                      East Central Wisconsin Regional Planning Committee                      Winnebago County                      Calumet County                      City of Appleton                      City of Menasha                      Town of Menasha                      City of Neenah                      Town of Neenah</p>	<p>As Needed</p>	<p>Public Information Meetings                      Local Officials Meeting                      Newsletters                      Web Site</p>
<p><b><u>Legislators</u></b>                      Assembly Districts: 3, 55, 57                      Senate Districts: 1, 19                      Congressional Districts: 6, 8                      Wisconsin US Senators</p>	<p>As needed</p>	<p>Quarterly Updates and Special Updates prior to PIM (Handled by Region Communications Manager)                      Public Information Meetings                      Newsletters</p>
<p><b><u>Environmental Agencies</u></b>                      WDNR                      US Army Corps of Engineers                      State Historic Preservation Officer                      Department of Agriculture, Trade and Consumer Protection                      Environmental Protection Agency                      U.S. Fish and Wildlife Service                      Bureau of Aeronautics                      Bureau of Equity &amp; Environmental Services (WisDOT)                      United States Coast Guard (USCG)</p>	<p>As needed</p>	<p>Newsletters                      Public Information Meetings                      Web Site                      Requesting Permits</p>
<p><b><u>Utilities</u></b>                      AT&amp;T TCG                      AT&amp;T Wisconsin                      TDS Metrocom                      Time Warner Cable                      Town of Menasha Utility District – Sanitary Sewer                      Town of Menasha Utility District - Water                      Transcanada – Gas                      WE Energies – Electric                      WE Energies – Gas                      AT&amp;T Legacy                      Sprint                      CenturyLink                      Quest                      American Transmission Company (ATC) Management, Inc.                      City of Appleton – Water                      City of Appleton – Sanitary Sewer                      City of Appleton School District                      US Signal                      Menasha Utilities – Electric                      Menasha Utilities – Communication                      Menasha Utilities – Water</p>	<p>Monthly and As needed</p>	<p>Trans 220 Process                      Public Information Meeting                      Newsletters                      Web Site                      Monthly Utility Coordination Meetings                      Conceptual Plan Meeting                      Preliminary Plan Meeting                      Final Plan Meeting (each project)</p>



Groupings of Stakeholders	Level of Involvement	Methods of Communications
<b><u>Railroads</u></b> Canadian National Railway (CN) [Wisconsin Central Ltd]	As needed	General Coordination Preliminary Plan Meeting Public Information Meetings Newsletters Web Site
<b><u>Civic/Special Interest Groups</u></b> Chamber of Commerce Business Associations Neighborhood Associations Fox Cities Greenways Inc	As requested	Public Information Meeting Newsletters Web Site Special Meetings as Requested
<b><u>Native American</u></b> As required by section 106 and NEPA.	As needed	Public Information Meetings Newsletters Websites Special Meetings
<b><u>Property Owners</u></b>	As requested and needed	Public Information Meetings Newsletters Web Site One-on-one Meetings (if requested)
<b><u>General Public</u></b>	As requested	Public Information Meetings Newsletters Web Site Public Involvement Campaign (if used)
<b><u>Emergency Services</u></b>	Yearly and as needed	Traffic Safety Commission Meeting Public Information Meetings Newsletters Web Site
<b><u>School Regions</u></b> Menasha School District Appleton School District UW Fox Valley	Yearly and as needed	Special Meetings to discuss bus or pedestrian routes that may be impacted by construction Public Information Meetings Newsletters Web Site
<b><u>Disadvantaged Business Enterprise</u></b>	Monthly	Re-occurring special meetings Public Information Meetings Newsletters Website

**8.2.2 Bi-Weekly Design Coordination Meetings (Roadway & Structures)**

Bi-weekly design meetings are held with WisDOT and consultant staff to discuss progress, technical topics, and resolve design issues. On a monthly basis, structure coordination is included with the consultant structural designers and WisDOT Bureau of Structures representatives in attendance. This provides an opportunity for the Project Managers to coordinate with the roadway and structure designers, review the plan preparation and evaluate the current schedule. Agendas, meeting summaries, and an issues tracker are used to help facilitate the meeting.

**8.3 Monthly Region Section Coordination Meetings**

**8.3.1 Technical Services Section (TSS)**

The Technical Services Section (TSS) Coordination meeting helps to monitor and manage utility, environmental, railroad, survey, soils, and real estate activities associated with the project. In attendance at the meetings is a representative from each of the functional areas, the WIS 441 Project Managers, and Technical Services Manager and Supervisors. Meetings are held monthly and meeting minutes are recorded and distributed.



### **8.3.2 Systems Planning and Operations (SPO)**

The Systems Planning and Operations (SPO) Coordination meeting aides in monitoring and managing signals/lighting, signing/detours, maintenance, traffic control, ITS, and pavement marking activities associated with the WIS 441 projects. In attendance are representatives from each of the functional areas listed and the WIS 441 Project Managers. Meetings are held monthly and meeting minutes are recorded and distributed.

### **8.3.3 Monthly Issue/Risk and Change Management**

Monthly, Issue/Risk and Change Management meetings are held to review the project's top issues and risks and monitor changes. Action plans and strategy are discussed to minimize risks and settle issues. Meeting attendees include: Function Leads, Project Managers, Supervisors, the Region Director, Region Deputy Director, and the FHWA Major Project Coordinator. Meeting minutes are recorded and distributed.

## **8.4 Project Coordination Meetings**

These meetings will be held as necessary to discuss topics which require coordination with external participating stakeholders such as local municipalities or resource agencies. Meeting minutes are recorded and distributed as warranted.

### **8.4.1 Utility Coordination Meetings (UCM's)**

To facilitate the Utility coordination process, monthly meetings are held with Utility stakeholders for the purpose of providing updates on project design and schedule; identifying conflicts with utility facilities; and tracking progress on utility design and relocation efforts. The Facilities Development Manual Chapter 18 provides guidelines for conducting the coordination process and specifies required procedures that need to be followed.

### **8.4.2 Elected Officials Outreach Meetings**

Elected officials representing constituents residing in close proximity to the WIS 441 Project will be briefed annually with a formal project update presentation as well as prior to scheduled Public Information Meetings. The meetings will act as a conduit for information exchange, keeping the elected official abreast of project developments and keeping the WIS 441 Project Team updated with any project issues brought forward to the civil servants from their constituents.

### **8.4.3 Key Stakeholder Coordination Meetings**

Community representatives promoting economic well-being, environmental responsibility, and quality of life in the project area will be briefed on an annual basis or as needed. The meetings will act as a conduit for information exchange, keeping the elected official abreast of project developments and keeping the WIS 441 Project Team updated with any project issues brought forward to them from their colleagues or group members.

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## 9.0 Project Management Controls

### 9.1 Purpose

The purpose of Project Management Controls is to provide processes that meet FHWA requirements for major projects. The controls process provides procedures and tools to manage cost, schedule, issues, risks, and documentation of the project.

### 9.2 Risk Management Plan

The basic structure for managing risk has been patterned after the Department's experience with the Marquette Interchange, the US 41 Brown & Winnebago Corridor Projects and other major projects in the state. The risk management process is monitored on a weekly basis and major risk items surface, at a minimum, in the monthly report. This process includes:

- The Leadership Meeting whereby project supervisors bring forth issues relating to scope, cost, and schedule. Risk issues brought forth here are discussed at the issues/risk management meeting, if deemed necessary.
- The Financial Team Meeting whereby the Project Cost Tracking Engineer discusses submitted Change Management Requests for their risk impact. Availability of future funding, majors budget constraints, and current year allocation present a number of potential risk items given strictly mandated funding levels and expectations.
- The Issue/Risk Management Team whereby risk items are brought forward, assessed, tracked, and solutions are made.
- The weekly programming meeting whereby all team members receive critical path based delivery schedule information detailing critical items, upcoming activities, and remaining float.
- Oversight Committee meetings, whereby department management discusses overall program risk, is held monthly and feedback is obtained by the WisDOT Secretary's Office, Division Administrators, Office Directors, and FHWA.

At each stage in this process, the Department takes proactive action in mitigating risk. Issues requiring further discussion outside of small group discussion are elevated. Usage of document control and accompanying issue management ensures that all issues are logged, tracked, and that solutions are found by a given date.

### 9.3 Scheduling

Schedule control rests with the WIS 441 Project Team with the assistance from the Program Controls Team Scheduler. A baseline schedule is developed with input from the Tri-County Partners, project technical leaders, the WisDOT Major Projects Supervisors, WisDOT Technical Services Supervisors, and FHWA.

The WIS 441 Project Team updates the detailed CPM schedules on a monthly basis. The schedule is based on design activities shown in the FDM and as determined by the logic template. Standard durations for activities such as "Real Estate Acquisition" are established and the schedules are tailored to match the specific constraints for the WIS 441 Project. On a month-to-month basis, the schedulers obtain schedule adherence "buy-in" from both the project managers and the respective functional leads (real estate, utilities, environmental).

The program controls team scheduler will manage and maintain the project schedules using P6 Scheduling software.

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## 9.4 Cost Tracking

Cost control is the responsibility of the WIS 441 Project Team. Department and consultant project managers and technical leaders work closely with the Program Controls Team, WisDOT leadership and FHWA to maintain a baseline budget from which the individual project budget allocations are derived.

Primavera Contract Manager is the software tool used for managing baseline budget and ensuing revisions. Reports are generated depicting baseline budgets, encumbered dollars, and actual spent to date dollars. Metrics within the software allow for cost trackers to forecast “Estimate at Completion” for projects. Pending budget changes are documented by the cost tracker. Should extra funds be needed via amendments, Contract Manager also allows for easier management of program contingency monies.

Reports showing budgets, committed amounts, paid to date amounts, and projected cost at complete amounts are shared with project leadership.

## 9.5 FHWA Cost and Schedule Control

FHWA Approval Actions are defined within the Project Oversight Agreement. (See **Appendix 1**) FHWA reviews monthly progress reports as part of the cost and schedule control procedure.

## 9.6 New and Innovative Contracting Strategies

The WIS 441 Project Team, in coordination with FHWA, remains open to innovative contracting strategies. Wisconsin law requires the team to use a design-bid-build delivery model for project lets.

## 9.7 Real Estate Coordination

The WIS 441 Project Team and the NE-Region Real Estate Section have coordinated throughout the study phase and into design to quantify estimated real estate needs and elements (acreages, relocations, “cost-to-cure”, and other cost elements). This coordination will be tracked using the P6 schedule software. The staff reviews the design updates and develops purchase prices, works to evolve early estimates into working documents, compares estimated real estate acquisition costs to actual expenditures, and monitors these costs against the managed and updated real estate cost budget. The Bureau of Technical Services will review all appraisals and relocations. A monthly progress report includes a real estate cost estimate and an update on actual costs-to-date.

## 9.8 Utility Relocation and Railroad Coordination

The WIS 441 Project Team and the NE-Region/Central Office Utilities and Railroads Sections have collaborated to work directly with abutting and intersecting utility companies. Initial relocation estimates have been developed with utility and railroad company assistance. Department and Tri-County Partners staff will mutually review design updates and will continue to coordinate with appropriate utility interests and the railroads to update estimates, and ultimately document and manage actual utility relocation costs and railroad cost estimates against the current utility relocation and railroad cost budgets. The monthly progress report includes utility relocation and railroad coordination cost estimates and an update on actual costs-to-date.

## 9.9 Construction Contract Administration

### 9.9.1 Request for Information (RFI)

#### 9.9.1.1 Purpose

Request for Information (RFI) forms provide a formal method to document comments and responses or verify specific requests for information pertaining to the Plans, Special Provisions, or Specifications are addressed in an organized and timely manner. A secondary benefit of the RFI identifies possible design improvements during WisDOT’s Post Design Review.

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### 9.9.1.2 Responsibilities

The Contractor is responsible for notifying the Project Construction Leader (PCL) using an electronic RFI Form. The PCL is responsible for collecting all pertinent information and preparing a draft response for the Construction Project Manager's (CPM) approval. The PCL, in coordination with the CPM and Design Issue Notice (DIN) Engineer, processes the RFI. The DIN Engineer provides a recommended response to the RFI and the PCL notifies the Contractor of the reply.

The PCL and the Contractor are responsible for working together to assure that all RFIs are pertinent. The contract documents will be reviewed and researched before submitting of an RFI, preventing the submittal of a large number of RFI's to the project management staff.

Responses to RFIs by the WIS 441 Corridor Team do not relieve Contractors from their responsibility to construct projects according to plans and specifications and shall not be construed as a change in the scope of work.

### 9.9.1.3 Procedures

The contractor is responsible for notifying the WisDOT project leader of a request for information using the RFI Form. The DIN Engineer, in conjunction with the PM, PCL, and the WIS 441 Design Staff will work with the various WIS 441 construction team members to provide responses to the RFI's. **Figure 9.9.1.3.1 Request for Information Process** outlines the RFI process and associated team member involvement.

Immediately after identifying a need for information, either on the plans, the special provisions or the specifications, the Contractor will electronically submit a sequentially numbered RFI to the PCL and carbon the project email. (**Figure 9.9.1.3.2 Request for Information**). A concise statement defines the issue for which clarification or interpretation is sought. Appropriate references to specifications, plans, or drawings are provided to facilitate a timely response.

The RFI will be recorded and tracked in the Primavera Contract Manager Request for Information Log (**Figure 9.9.1.3.3 Request for Information Log**). The RFI Log tracks the status of an RFI and maintains a catalog of all RFIs submitted during the project. (**Figure 9.9.1.3.4 Request for Information Contract Manager**)

The PCL processes the RFI and coordinates the response by consulting with others as needed (e.g., Project Manager, DIN Engineer, designer, topic experts). If a response time longer than seven days is needed, the requester is notified of the anticipated response time. The PCL or DIN Engineer prepares the response, forwards one copy to the RFI requester, and files one copy on-site for reference. A disagreement concerning the response to an RFI initiates the issue resolution process.

Figure 9.9.1.3.1 – Request for Information Process



Figure 9.9.1.3.2 – Request for Information Form

	<b>WIS 441</b>		<b>REQUEST FOR INFORMATION</b>
<b>Wisconsin Department of Transportation</b>			NO.

Date:

Started:

Title:

Completed:

Project:

Required:

To:

POTENTIAL IMPACTS: Schedule Design Cost:
Work Impact:

**REQUEST:**

1. Type of RFI:
2. Drawing/Sheet#:
3. Preferred Method of Response:  
Identify Problem:

**EXAMPLE**

Suggested Solution:

Requested by: \_\_\_\_\_ Date: \_\_\_\_\_

Signed: \_\_\_\_\_

**ANSWER:**

Answered by: \_\_\_\_\_ Date: \_\_\_\_\_

Signed: \_\_\_\_\_

Figure 9.9.1.3.3 – Request for Information Log

Wisconsin Dept of Transportation						LkButteDesMortsDr & SBGrading(ARRA)							
Request for Information Log													
Job No: 1120-11-74													
Project No: 1120-11-74													
Type	To	From	Number	Issue	Title	Potential Impacts							
						Status	Schedule	Design	Cost	Dated	Responded	Req'd	
RFI	KAPUR	HCC	H0002		Storm Sewer Structures Shop Drawing	CLO					8/5/2009	8/7/2009	8/5/2009
1. Type of RFI: Utilities 2. Drawing/Sheet#: Plan pages 86-90 3. Preferred Method of Responses: Written Directions Identify Problem: Storm Sewer Manholes and Inlets shop drawings for engineer approval.						Attached is our response to RFI H0001. We have reviewed the shop drawings for the storm sewer structures and commented as necessary for our response. Approval of shop drawings for storm sewer structures is not required nor performed by the department. These comments shall not be construed as approval, as it is the contractor's responsibility to supply the required structures as specified in the plans, special provisions and any applicable addenda.							
RFI	KAPUR	HCC	H0003		Plan Quantities	CLO					8/24/2009	9/2/2009	8/24/2009
1. Type of RFI: Earthwork 2. Drawing/Sheet#: NA 3. Preferred Method of Responses: Written Directions Identify Problem: Hoffman would like to propose a supplemental agreement to go plan quantity on the following items: 1. 205.0100 Excavation common, 2. 205.0400 Excavation marsh, 3. 208.0100 Borrow, 4. SPV.0035 Special Removing Lake Sediment Soil, 5. SPV. 0185 Special Select Borrow Special						Answer is too large. Please see attachment.  The department will pay plan quantity on the above items, with the conditions outlined in the attached signed supplemental contract agreement.  09-03-09 Revised Supplemental Contract Agreement							
RFI	KAPUR	HCC	H0004		Box Culvert B-70-275 Opening	CLO					10/2/2009	10/5/2009	10/10/2009
1. Type of RFI: Structural 2. Drawing/Sheet#: 398 3. Preferred Method of Response: Written Directions Identify Problem: Need to cross existing channel change at Box Culvert B-70-275 with fill to continue filling F-Ramp.						The department will not allow a box-out in B-70-275. The department would prefer maintaining drainage in the existing channel change either by postponing the construction of any additional fill until after all box culvert work is complete or by the use of temporary culverts that would need to be abandon with a concrete slurry after the channel change is not longer needed. Any temporary pipe utilized must be of sufficient size to ensure flow of channel is not impeded. Any costs associated with the temporary pipe and abandonment will be the responsibility of the contractor.							
RFI	KAPUR	HCC	H0005		B-70-729	CLO					10/6/2009	10/9/2009	10/20/2009
1. Type of RFI: Structural 2. Drawing/Sheet#: 376, 407, 379, 418 3. Preferred Method of Response: Written Directions Identify Problem: 1) it appears that there is a discrepancy in the length dimension of the ends of the abutment/pile caps. the discrepancy is between the plan views of the abutments and the wall elevation views. 2) Doing a little geometry, it appears that the end piles could be as close as 1 inch to the back of our walls.						1)The lengths in question between the bridge plan vs. the wall plans are correct as they are shown on the plans. Attached are sketches of the areas that were in question. The ends of the abutment overhangs the front face of the wall by 8". On the bridge plan the dimension shown in the plan view are measured along the face of the abutment. On the wall plans the dimensions shown in the elevation view are measured along the front face of the wall. 2) I agree that pile #1 AND also pile #13 in both abutments will interfere with the back of the wall. We should move these piles in a foot (5'-2" spacing between piles #1 and #2, and between piles #12 and #13.) This should leave a min. of 8" from the corner of the pile to back of wall. I will submit to you revised piling layout drawings for the abutments once I receive them.							
RFI	KAPUR	HCC	H0006		Culvert Liners	CLO					10/12/2009	10/16/2009	10/15/2009
1. Type of RFI: Utilities 2. Drawing/Sheet#: Pages 229-233 3. Preferred Method of Response: Written Directions Identify Problem: Plans indicate to extend existing equalizer pipes with 54" concrete pipe. Three of the six extensions are required to receive an HDPE Liner Pipe. Is this Liner Pipe to be 48" or 54" diameter. Existing liners are 48" diameter HDPE pipe.						The specifications require that the conveyance of the pipe be within 5% of the original conveyance of the existing 72-inch corrugated pipe. The contractor needs to verify the liner supplied meets the conveyance specifications and fits through the existing pipes which do have some bends and dips in them. The idea behind the 54-inch extensions was to but the two fowlines together and pour the collar around. All the liners currently in the equalizer pipe should be 54-inch, the project staff will verify these diameters. If the contractor can provide liners that are 48-inch and meet the conveyance specifications, these liners would be allowed.							
RFI	KAPUR	HCC	H0007		East Equalizer Pipe	CLO					12/7/2009	12/8/2009	12/8/2009
1. Type of RFI: Design 2. Drawing/Sheet#: Plan Page 231 3. Preferred Method of Response: Written Directions Identify Problem: The existing equalizer pipe at station 613+98 (east side of lake) extends significantly farther eastward than the existing equalizer pipe at station 611+00. Does the equalizer pipe at 613+98 have to extend so far to the east or can part of the equalizer pipe be removed to more match the length at station 611+00. As is, an extremely long sheeting cofferdam has to be constructed at station 613+98 for the little bit of access that is required on the east side.						The department agrees with your suggestion, please cut the existing equalizer pipe at STA 613+98 (East Side) to match the length of the equalizer pipe at STA 611+00.							

EXAMPLE



Figure 9.9.1.3.4 – Request for Information – Contract Manager

<b>Hoffman Construction Company</b>		<b>REQUEST FOR INFORMATION</b>
		<b>No. HD001</b>
123 CTH A Black River Falls, WI 54615		Phone: (715) 284.2512 Fax: (715) 284.9698
<b>TITLE:</b> Turbidity Barrier		<b>DATE:</b> 8/5/2009
<b>PROJECT:</b> LkButteDesMortsDr & SBGrading(ARRA)		<b>JOB:</b> 1120-11-74
<b>TO:</b> Attn: John Leonhard Kapur and Associates 7711 North Port Washington Road Milwaukee, WI 53217 Phone: (920) 303.5488		<b>STARTED:</b> <b>COMPLETED:</b> <b>REQUIRED:</b> 8/12/2009
<b>QUESTION:</b>		
<b>EXAMPLE</b>		
<ol style="list-style-type: none"> <li>1. Type of RFI: Environmental</li> <li>2. Drawing/Sheet#: Plan pages 41, 46, 66-70</li> <li>3. Preferred Method of Response: Written Directions</li> </ol> <p>Identify Problem: Bid quantity shows, 8, 250LF of turbidity barrier. Scaled quantity on pages 66-70 shows 6, 200LF. What is the required height of the turbidity barrier according to the information provided in the plans and specs? Walter Ward Dionne Construction</p>		
<b>ANSWER:</b>		
<ul style="list-style-type: none"> <li>• Plan quantity of Turbidity Barrier includes an undistributed quantity of 1650 LF; the intent of this quantity was to have a quantity available in case turbidity barrier is damaged for reasons outside the contractor's control, such a boat hitting barrier.</li> <li>• According to the Army Corps' recommendations, you should allow an additional 10-20% variance in the straight line measurements. This allowance makes installation easier and reduces stress from potential wave action during high winds.</li> <li>• The contractor needs to determine the amount of turbidity barrier needed to perform the work, based on the information given in the plans and special provisions.</li> <li>• Plan Page 41 gives approximate lake depths based on an ordinary high water elevation of 747.45 rounded to the nearest one-foot.</li> <li>• Plan Page 46 specifies that the turbidity barrier needs to reach the bottom of the lake up to the high water elevation (747.45) with additional material for drag and sag variation.</li> <li>• The Army Corps' specifications require flotation devices maintain a freeboard of at least 3-inches above the water surface level.</li> <li>• Again the contractor needs to determine the depth of turbidity barrier needed to perform the work.</li> </ul>		
<b>Requested By:</b> Hoffman Construction Company		<b>Date:</b> 8/5/2009
<b>Signed:</b> _____ Chad Sell		
<small>Expedition ®</small>		<small>Page 1 of 1</small>

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## 9.9.2 Claims Management

### 9.9.2.1 Purpose

The WIS 441 Project Claims Management Process focuses on the prevention, management, and mitigation of claims. The process is characterized by prompt decision-making to resolve issues at the contract modification stage before moving to the claims process. The process also provides analysis of issues so that, in the event resolution cannot be achieved through schedule mitigation or the change process, the WIS 441 Project Team is prepared to expedite the claims process or initiate the Dispute Resolution Board (DRB) process, if contractually required, as an alternative to standard dispute resolution procedures. DRBs and Leadership Partnering will be utilized on the largest, most complex contracts.

### 9.9.2.2 Responsibilities

The prime Contractors are responsible for providing notice of claims, documentation and justification for merit, impact and damages with the submission of claims. A Claims Review Team is notified of a pending claim. The team includes the project management, project controls and construction engineering personnel that are most familiar with the relevant issues. The team is assisted by WisDOT Central Office Staff, as necessary, for advice on contract interpretation and law. FHWA determines the level of federal participation in the claim.

The Claims Review Team compiles the information necessary to evaluate the claim, including cost and schedule status, and analysis from the Program Controls Team. The Claims Review Team develops recommendations for the Construction Project Manager's (PM) written decision on a claim, and presents recommendations to the Change Management Team.

The PM renders decisions on claims at the project level and may use the DRB in an advisory role. The Change Management Team provides input in drafting the decision, when necessary. If the Contractor disagrees with the PM's decision, the DRB process commences.

### 9.9.2.3 Procedures

The WIS 441 Project Team's procedures to minimize and mitigate the impacts of claims during the construction phase are grouped into four basic categories as follows: (1) avoidance, (2) mitigation, (3) evaluation, and (4) resolution. Claims avoidance is accomplished by:

- Reviewing contract documents for ambiguities and constructability issues
- Participating in the ongoing partnering process
- Reviewing baseline schedules and schedule updates for potential critical work delays and coordination issues, and recommending mitigation strategies
- Establishing and maintaining issue files for claims review and resolution
- Maintaining detailed recordkeeping, including daily reports, inspection reports, meeting minutes, and photographs
- Monitoring and managing requests for information and requests for contract change orders
- Establishing Claims Review Teams to analyze issues that cannot be resolved through a contract change order or that are submitted as claims

Timely reviews of potential claim issues provide the best possible opportunity for mitigation. PM's conduct internal project management issue meetings and include the contractors as necessary to clarify the claim. WIS 441 Project Team creates a strong working relationship with contractors by having PM's and the contractor's project superintendents attend management issues meetings and develop mitigation alternatives. Efforts focus on selecting the most cost-effective mitigation alternatives for WisDOT and the Contractors.

When project personnel identify a potential claim issue, the PM decides if it is necessary to have the Claims Review Team evaluate the issue formally, or if the issue should simply be monitored. Regardless,

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documentation controls personnel compile documents related to the potential claim into files in the event the issue becomes a claim.

When a Contractor submits formal notice of a claim, the PM convenes the Claims Review Team immediately. The PM and Claims Review Team evaluate the submittals and determines if the Contractor is entitled to additional time or money, consulting with the Change Management Team when required. The evaluation process will result in a timely decision on the claim.

The steps for resolving claims at the project level are as follows:

- Step 1. The PM receives notice of a claim from the Contractor. The Contractor has 14 calendar days to submit the claim.
- Step 2. The WIS 441 Project Team has 30 days to review materials and request additional information. The Claims Review Team reviews contractor claim submittal, compiles issue files, performs cost and schedule analysis, and develops a concise recommendation report for the PM's decision.
- Step 3. Once the review period ends, the PM has 30 calendar days to issue a written decision to Contractor.
- Step 4. If Contractor accepts PM's decision, the claim is resolved. A contract modification is issued if compensation or time extensions are included in the decision. If the Contractor does not accept the PM's decision, an appeal to the DRB is made within 21 calendar days. On projects without a DRB, the Standard Specifications Claims Process shall be followed.

The PM's written decision includes the following:

1. A concise description of the claim.
2. The contractual basis for the decision.
3. Other facts in support of the decision.
4. Circumstances of the claim and reasons for the decision.
5. Time extensions or relief from liquidated damages that are part of the decision.
6. Compensation that is a part of the decision.

If the claim is not resolved at the PM level, then the DRB process begins. The above Claims Management Process is a guide and not a specification. Refer to the WisDOT Standard Specifications 105.13, Claims Process for Unresolved Changes and Special Provisions for the particular claims procedures for each project.

### **9.9.3 Partnering**

#### **9.9.3.1 Purpose**

Partnering brings the WIS 441 Project stakeholders together to develop a team approach that is founded on open communication, trust, and fairness. Partnering allows the program to benefit from the combination of experience and expertise of each of the team members. It also provides an opportunity for the stakeholders to agree on ways of approaching the challenges associated with the many tasks required to make the program successful.

#### **9.9.3.2 Responsibility**

Contractors participate in the Partnering process by actively supporting the process and validating that each level, down to especially the foreman and below, understands their role.

The WIS 441 Construction Team facilitates and participates by actively supporting the partnering process throughout the life of the construction project.

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The WIS 441 Construction Project Manager participates in the process and recommends activities to strengthen the process.

Project Construction Leaders participate, as needed, in the process and make sure that each inspector is an active supporter.

Designers, as needed, participate in the process and validate that each staff member and design subcontractor understands their role and the importance of timely and accurate responses to RFIs and submittal reviews.

FHWA participates, as needed, in the partnering process to ensure that all stakeholders understand FHWA's role in the project.

Utilities, Subcontractors, adjoining Contractors, suppliers, regulatory agencies, Sheriff's Department and other stakeholders may be asked to participate in the process in keeping the project on schedule and under budget.

### 9.9.3.3 Procedures

Details of the partnering process should focus on these four stages of partnering:

1. Controlled – to reduce conflict
2. Cooperative – to develop trust
3. Collaborative – to build a team
4. Creative – to maximize opportunities

### 9.9.3.4 Potential Benefits

- Reduce risk of claims and litigation
- Improve working relationships
- Reduce contract modifications and paperwork
- Improve jobsite safety
- Win/win solutions to problems
- Increase flexibility
- Help contain costs
- Complete Program on or ahead of schedule
- Resolve problems quickly
- Maintain quality
- Reduce stress
- Improve communication

## 9.9.4 Dispute Resolution Board

### 9.9.4.1 Purpose

Based on individual project level risk and complexity or as contractually required, a Dispute Resolution Board (DRB) may be used for unresolved claims. The settlement is completed in a manner that complies with the contract, is impartial, and expedites the standard claims process. The DRB decides claims by issuing recommendations, which may be binding or non-binding, depending on the claim amount.

### 9.9.4.2 Responsibilities

When hearings are initiated, the DRB reviews the claims and issues findings and recommendations. The DRB also acts as an advisory panel upon request.

The PM organizes project personnel into a Claims Review Team for fulfillment of the Department's role in the DRB hearings.

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### 9.9.4.3 Procedures

The WIS 441 Project is using a modified approach to the WisDOT Standard Specification for the resolution of claims. This approach reduces the number of administrative steps in the appeal process and interjects the use of the DRB sooner to expedite the resolution of claims. The DRB is selected promptly after contract execution and is available for any contract claim escalation. The department and the contractor share the costs of the DRB equally.

A. The steps of the DRB process are detailed as follow:

Step 1. If a Contractor does not accept a PM's decision, the Contractor must request a DRB hearing within 21 calendar days. The Department may also request the initiation of the DRB for an unresolved contractor dispute.

Step 2. The Department must respond with a statement of its position, issued to the DRB within 14 calendar days. The Department also prepares the claim file during these 14 calendar days.

Step 3. The Contractor has 7 calendar days from the Department response to amend its position.

Step 4. The DRB hearings are conducted not less than 30 calendar days and not more than 60 calendar days from receipt of the Contractor's amended submittal.

Step 5. The DRB issues a decision within 30 calendar days of the hearings.

Step 6. The Department and Contractor must file any appeals within 45 calendar days of the DRB's decision.

B. Details of the DRB process are as follows:

1. DRB Team

- i. DRB is comprised of three members mutually agreed by the Contractor and the Department.
- ii. Costs and expenses are shared equally by the Contractor and Department.

2. Pre-Hearing Submissions

- i. Contractor submits a statement of position within the 21-day appeal phase. Within 14 days thereafter, the Department submits a statement of position. Each statement details the nature of the claim, its factual and legal basis, and remedies sought. The Department's response also includes the basis for defense and any counterclaims.
- ii. Preparation of Claim File – Within 14 days of the Contractor's appeal, the Department prepares a claim file, including all documents and evidence previously submitted and any additional associated information. No additional analysis is permitted. The file includes:
  1. Contractor's notices and statements
  2. Engineer's written statements
  3. Engineer's decisions
  4. Supplemental information from the Contractor, submitted during the department claim review
  5. Project photos

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6. Meeting minutes, correspondence, and the other contemporaneous documents related to the claim
  7. Complete set of plans and specifications
  8. Applicable shop drawings and submittals
  9. The Department's decision
  10. Contractor's request for a DRB hearing
- iii. The Contractor may provide additional documentation to the file within 7 calendar days after the Department has prepared the claim file.
3. DRB Claim Review
    - i. Each member of the DRB receives a copy of the claim file.
    - ii. The DRB may request additional information from either party.
    - iii. The DRB may visit the project site.
  4. Scheduling and Conduct of Hearing
    - i. The hearing is held between 30 and 60 days after the DRB's receipt of the claim appeal.
      1. The Contractor and the Department are represented.
      2. Each hearing is limited to a maximum of two days.
      3. The Contractor presents his position first
      4. The Department presents its position second
      5. The Contractor may rebut the department's position.
      6. The Department may rebut the contractor's position.
      7. The DRB may request further clarification, additional data and ask questions.
    - ii. The hearing may be recorded by a court reporter. However, the record prepared by the DRB is the official hearing record.
  5. Claims by the Subcontractor
    - i. The Prime Contractor assists in presenting any claim by a Subcontractor.
    - ii. The Contractor provides a representative who is knowledgeable in the facts of any Subcontractor claim.
  6. Findings and Recommendations
    - i. All DRB deliberations are private and confidential.
    - ii. All findings and recommendations are based on the terms of the contract documents, principles of law, statutes and regulations, facts and circumstances of the claim, and information from the parties to the claim.
    - iii. Final findings and recommendations are due within 30 days of the date of the hearing.
    - iv. Any decision with compensation of \$250,000 or less is binding on the parties, subject only to State Claims Board.
    - v. Any decision with compensation greater than \$250,000 is a recommendation to WisDOT and the Contractor.
    - vi. Both parties must accept or reject a decision within 45 calendar days.
    - vii. The Contractor may appeal the decision or initiate legal proceedings.
    - viii. A dissenting member of the DRB may file a minority report with the final findings and recommendations.
  7. Advisory Dispute Review Board
    - i. As a standing board, the DRB may be used in an advisory role at the discretion of the Department.
    - ii. During the DRB's scheduled site visits, this method can offer expedited third party review of pending claim issues. The DRB may give advice and recommendations, either during or promptly after the site visit.
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The above DRB process is a guide. Project specific DRB procedures are detailed in the bid document special provisions.

## 9.10 Financial Plan

The WisDOT will develop a comprehensive Financial Plan for the WIS 441 Project in accordance with FHWA Guidance for Federal Major Projects. This Plan provides detailed cost estimates to complete the program and estimates of financial resources to be utilized to finance the program fully. The WIS 441 Team reviews and updates the Financial Plan on an annual basis. Records for the Program are kept on a state fiscal year basis, which begins July 1 and ends June 30, while the federal fiscal year ends September 30.

## 9.11 Budget Preparation and Maintenance

As noted in the 9.10 Financial Plan, initial detailed estimates have been completed for the WIS 441 Project. The first FHWA cost estimating workshop to develop a 70% confidence project estimate was held in September 2012. A second FHWA cost estimating workshop was held in April 2014 to establish the program baseline budget which will be referenced in the Financial Plan.

## 9.12 Estimated Project Cost

The Estimated Costs described above set the baseline budget for the Program. These budgets are monitored closely through all phases of the Program, beginning with the Environmental Assessment and continuing through final design, construction and post-construction (closeout). The various bi-weekly and monthly cost reports provided to the WIS 441 Team and the annual update to the Program Financial Plan, will continuously inform all Program participants on the status of the budget compared to committed costs and actual expenditures.

Completion of key phases of the work provides opportunities for monitoring the budget. Throughout design, the Engineer's Estimate is refined as design proceeds to completion with the emphasis on designing to budget. At construction bid, the contractors bid amount will be compared to the Engineer's Estimate. Any substantial deviation is evaluated in detail. This evaluation provides recommendations regarding adjustments to the specific Program contract to bring the contract costs back in line with the budget.

### 9.12.1 Cost Coding

Effective coding of project cost information is essential to achieve program and cost control. The WIS 441 Program & Finance Project Manager reviews existing WIS 441 Project coding structures and develops consistent construction coding structure for the necessary reporting tools through construction, while verifying the data can be organized and reported to meet many WIS 441 Project needs, ranging from tracking actual costs to WisDOT's Central Office and earned cost projections to specific line items in Contractors' bids. The coding system is a key tool in promoting and maintaining consistency in all WIS 441 Project contracts and among all WIS 441 Project participants and consultants. The coding allows for WIS 441 Project reporting at the various management levels and supports the efficient and timely production of bi-weekly and monthly management reports.

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### 9.12.2 Cost Monitoring and Reporting

Methodical monitoring and reporting procedures are essential to achieve effective Program cost control. Each contractual line item cost provided in the Contractor's bid will be input into the various cost control and reporting tools as the Contractor's budget baseline. Any adjustment to a line item will be tracked in a cost report that includes:

- all items affected
- the estimated cost impact (plus or minus)
- the contract modification number, if applicable in which the adjustment will be made
- the date approved or rejected
- the date the databases were updated
- a description of the adjustment
- a description of the status of the adjustment
- all appropriate comments

The Program Finance Team enters budget data into Contract Manager. As the contract proceeds, the appropriate information regarding potential changes in work is entered as soon as identified, particularly those items or issues having a potential impact to project costs. Each contract line item is tracked from contract bid to closeout. The WIS 441 Management Team is aware of all potential and approved changes in work through the project status meetings and bi-weekly/monthly project status reports.

The Program Finance Team assists the WIS 441 Management Team in the following ways:

- developing and maintaining reports to track and manage all project issues,
- reporting data effectively across the various management levels,
- provide alerts and track action assignments in each of its modules so that the Program Finance Team and the WIS 441 Management Team know the status of all critical issues and actions.

The WisDOT standard construction management systems, supplemented with various Excel spreadsheets, contain the data and reports for managing budgets and costs on the WIS 441 Project.

### 9.12.3 Actual Cost vs. Approved Budget Cost vs. Percent Complete

The actual costs are monitored and reported against the approved budget costs as derived by analysis of the contractor's bid and their progress as reported in their schedule updates, project correspondence and discussions held in the weekly project meetings. Additionally, these costs are compared against the percent complete estimates provided by the Program Construction Management Supervisor and Financial Project Manager. Inconsistencies in these comparisons are included in the monthly Project Status Report and other communications with the WIS 441 Team, along with recommendations for resolution of all identified issues.

### 9.12.4 Projected Cost at Completion

Projecting the cost at completion provides assurance to the stakeholders that the Program is progressing on budget and the associated risks can and have been properly mitigated. The foundation for evaluating the cost at completion is the Build-out-Budget. It incorporates estimates for future projects spanning various functional areas of work such as Right-of-Way, Preliminary Engineering, Environmental, Final Design, and Utilities. Within these areas, monies for contingencies are estimated. Beginning with these functional areas and corresponding assessments, the estimates are then inflated to the scheduled year of expenditure. This may change over time, thereby affecting the cost at completion since the time value of money can change significantly.

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### 9.12.5 Cost Projections & Trend Analysis

Contract modifications document the changes in work and the effects on project costs. A trend analysis is completed for every contract modification clearly showing the impacts and resulting forecasted cost to complete. As part of that trend analysis, the cash flow resulting from the cost projections is evaluated and again compared to the approved budget availability.

### 9.12.6 Contract Modification Costs vs. Contingency Budget & Trend Analysis

Contract modifications resulting in a cost adjustment are monitored from the identification of such adjustment through its approval or rejection. The estimated cost impact is included in the project's forecasted cost at completion. Emphasis is placed on identifying all such changes in work that result in a cost impact as early as possible so that mitigating techniques are utilized to minimize or eliminate any cost increases to the contract.

The Contractor and the PCL's are to notify the Project Controls Team of any proposed changes to the contract that result in cost changes. The PCL is required to estimate an initial cost to the proposed change and advises the Project Controls Leader to document the estimated cost which will be refined as the issue is researched and options developed. After the modification is finalized, the Program Finance Team and the Program Cost Control Specialist evaluate each contract modification and determine the overall impact of such change to the contract contingency. As project costs increase, the WIS 441 project team, advised by the Program Finance Team, will continue to evaluate options to mitigate the cost increases in an effort to minimize utilization of project contingencies.

### 9.12.7 Pending Contract Modifications/ Contingency Costs vs. Approved Budget Cost

Tracking pending contract modifications as soon as they are identified and having the PCL and PM quantify the cost impact of such possible changes, allows for early analysis of contingency utilization and comparisons to the baseline budget. The PCL prepares an independent estimate of the work which serves as the basis to evaluate and finalize an acceptable cost within the contract. Contract Manager, along with Excel spreadsheets, is utilized to track, monitor and communicate pending contract modifications and the potential project budget impacts to WIS 441 Team management.

As pending changes are identified, the PCL, the Contractor and the PM work together to identify changes in work execution to possibly mitigate the cost impact and contingency usage.

### 9.12.8 Unit Price-Bid vs. Engineers Estimate & Project Cost Impact

Upon certification of a winning contractor bid, the bid is evaluated against the engineer's estimate and established baseline budget. An analysis is done to determine the project cost impact and recommendations are prepared by the Program Finance Team. Bids are reviewed by FHWA prior to concurrence in award of the contract.

### 9.12.9 Actual Cost vs. Planned Professional Services Costs

In addition to monitoring construction costs, WisDOT utilizes Contract Manager to monitor the costs of all professional consultants associated with the project, including technical advisor's costs and the project construction teams assigned to the project. The actual costs are monitored against the approved budget costs for each consultant and any discrepancies identified are to be reported to the WIS 441 Team.

## 9.13 Cost Management Issues and Action Items

The Program Finance Team provides recommendations to resolve outstanding issues, along with any reports pertaining to project cost status that show variations from planned expenditures and baseline budgets and/or funding.

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Narratives, tables, and/or graphs accompany the updated cost reports with the following information:

- Reasons for each line item deviation from the approved budget, impacts resulting from the deviations, and initiatives being analyzed or implemented in order to recover any cost overruns.
- Transfer of costs to and from contingency line items, and reasons supporting the transfers.
- Speculative cost changes that potentially may develop in the future, a quantified dollar range for each potential cost change, and the current status of the speculative change. Also, a comparison analysis to the available contingency amounts is included, showing if reasonable and sufficient amounts of contingency remain to keep the project within the latest approved budget.
- Federal obligations and disbursements for the project, compared to planned obligations and disbursements.

## 9.14 Input Bids and Monthly Information

Upon bid award, Bureau of State Highway Programs enters the contract information into the Contract Cost Database, which flows into the FieldManager and FieldBook and is provided to the PCL. This data is transferred into Contract Manager by the Program Cost Control Specialist. As the contract progresses, the PCL transcribes the daily diary entries into FieldManager. Utilizing Contract Manager, the Project Controls Team tracks

- Contractor correspondence
- meeting minutes
- transmittals
- the submittal process
- requests for information with the DEC
- project issues and/or actions
- schedule delays
- potential cost issues

## 9.15 Change Management

### 9.15.1 Purpose

With a fixed budget and schedule established, it is essential that changes are identified, assessed, evaluated, and resolved to preserve cost and schedule objectives.

### 9.15.2 Responsibilities

The PCL is responsible for checking all elements of modifications and completing the NE Region Major-Project Approval/Justification Record (AJR) forms. Modifications shall cover all work not otherwise provided for in the contract. Refer to **Figure 9.15.2.1 – Approval/Justification Record** for the format and required information.

AJRs for all Contract Modifications on elevated risk construction contracts are to be sent to FHWA for review and formal approval. Once FHWA approves the AJR(s), the Contract Change Order (CCO) is to be approved by WisDOT. If any items change from the originally approved AJR(s) by FHWA, the CCO MUST be formally re-approved by FHWA. FHWA will review CCOs periodically to make certain AJR approvals are being accurately represented in the WisDOT approved CCOs.

FHWA will approve contract time extensions in AJRs with CCO approval delegated to WisDOT. Any extension of overall Tri-County Freeway Expansion Project completion date (currently CY 2019) requires FHWA approval.

The Design Engineering Consultant provides input as issues arise and renders technical assistance.

The PCL communicates issues to the Program Control Team and PM, as they arise on respective projects.

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The PCL prepares the required information such as sketches, justification, consequences and alternative analysis for each modification to Program Control Team and the PM.

Based upon the Contract Modification Thresholds, the PM may consolidate and report the modifications to the Change Management Team.

WIS 441 Team Cost and Schedule Specialists compile pertinent data and support the Change Management Team with development of necessary documentation.

The Change Management Team (CMT) reviews all modifications and develops feedback for PMs and the Project Controls Team to implement continual improvement within the process. For changes exceeding \$1,000,000, the review includes evaluation of the scope modification, justification, schedule impacts and cost effect. The CMT is responsible for facilitating discussions with FHWA when prior approval is required and submitting the modification for review and approval by the Oversight Committee. Major modifications concerning scope change, third parties, all projects, and/or revision of policies require approval and in some instances, direction, from the WIS 441 Oversight Committee.

### 9.15.3 Procedures

#### 9.15.3.1 Contract Modification Thresholds for Approvals

All contract modifications will be in compliance with established policies & procedures and require prior written approval authorization from WisDOT (Refer to **Figure 9.15.3.1.1 Change Management Request**). Additionally, if a project is identified as being an elevated risk project, FHWA must approve any contract modification regardless of funding.

The contract modification process is subject to cost & other risk impact factors and requires escalated levels of approval authority, as displayed in **Figure 9.15.3.1.2 Approval Justification Record and Contract Modification Thresholds for Prior Approval**. Contract modifications pertaining to time extensions and/or scope changes, regardless of their dollar cost impact require prior approval from the CMT and the Oversight Committee. When projects have anticipated cost to complete 6% greater than LET value, the CMT shall be notified through the Change Management Process.

#### 9.15.3.2 Change Management Process When 6% CCO-PM Reserve is exceeded

The Program Construction Cost & Audit Coordinator (PCAC) will monitor project Over/Under Run spreadsheets and any pending or approved Contract Modifications for impacts on the CCO-PM reserve balance. The PCAC will also keep the Construction Supervisors and PMs informed of the current balances of CCO-PM. The Change Management Request Form will be generated by the PM's when pending and/or approved Contract Modifications will result in exceeding the CCO-PM reserve for the project.

In completing the Change Management Request Form, the PM can use the **Risk Matrix**, as displayed in **Figure 9.15.3.2.1**, to assign the appropriate risk levels for Cost, Schedule, Scope and Quality under the Risk Impact Analysis section of the Change Management Request Form.

The completed Change Management Request Form will be submitted to the WIS 441 Construction and Finance Supervisors for review and depending on the dollar value of the overrun, will either be approved or be presented to the appropriate group for approval. The CMT will be informed when applicable.

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## 9.16 Change Management Process

The general process for Contract Modifications is outlined as:

- Identification
- Initiation
- Notification
- Assessment
- Acceptance
- Approval
- Action

### 9.16.1 Identification of a Contract Modification

There are several methods used when identifying modifications. Any change is listed as a pending item in the early stage of the process to ensure that the critical nature is properly addressed and a tracking record is established within a CMT Report. This report serves as the vehicle to monitor progress on modifications and pursue closure on listed items. Refer to **Figure 9.16.1.1 – Change Management Log**.

### 9.16.2 Initiation of a Contract Modification

Initiation of a modification comes from several sources depending on the need and nature of a change. WIS 441 Team initiates modifications relating to changes on administrative, quality or policy issues. The Team pursues changes related to the immediate project dynamics. Designers may request a modification because of design enhancements, scope revisions or as a result of the RFI process. Contractors may request changes for technical, quality, cost or schedule reasons. External agencies or third parties may request modifications due to policy, technical or time issues. All these requests are coordinated by WIS 441 Team staff within their respective areas of responsibility. Modifications with impacts on critical path activities are brought forward to the CMT during this stage.

### 9.16.3 Notification

Early identification of items/issues with cost or time implications is essential to maintaining budget integrity. The respective contract documents clearly delineate the process for any contractor to follow. For modifications issued by any of the other sources noted above, a simple pending change request form, signed by the originator, is developed that outlines the following:

- Item to be changed
- Reason for Modification
- Justification
- Design, cost and schedule implications
- Criticality of modification

With this basic information available, the process moves forward, with any requests for supplemental information requested of the particular initiator by the CMT or the PM.

### 9.16.4 Assessment

For each project, the responsible PCL makes the initial assessment that includes an independent cost estimate, while confirming the justification and impact, also known as Rough Order of Magnitude (ROM). The PCL coordinates with the PM. Modifications enacted within the PM's financial responsibility are fully documented and reported to the CMT by the PM. The CMT assesses any modifications from an overall project and/or program perspective to maintain integrity of established budget targets. These assessments serve multiple purposes:

- Maintain an accurate record of modifications incurred to date
- Balancing of the overall budget reflecting changes on individual projects

- 
- Develop a continuous improvement process reflecting lessons learned as feedback to PMs, PCLs, PCCA, and DEC

The intent of the CMT effort is to maintain the global view of modifications and support the implementation of modifications approved at the project levels. Detailed assessment on scope, technical quality, cost and schedule issues performed by the WIS 441 Team staff inclusive of DEC, is directed by the responsible PM. Because items like RFIs tend to generate modifications, having WIS 441 Team staff available to provide input is essential. As modification evaluations proceed, the Program Construction Management Consultants Team provides support and advice, as requested, on cost and schedule items, and makes recommendations to the appropriate PM.

### 9.16.5 Acceptance

At the lowest level, modifications are accepted and implemented by the PCLs with approval of the PM. Up to predetermined financial limits, established by WIS 441 Team, modifications will be approved and the CMT apprised of the associated details to maintain constant evaluation of overall impacts. For changes with financial impact above the PM approval level, the CMT is kept informed from identification onwards.

### 9.16.6 Approvals

The CMT has the authority to approve modifications within the established financial threshold, and a running summary of such approvals is presented to the WIS 441 Team. The WIS 441 Team has the final approval authority in the following instances, in accordance with the responsibilities listed in **Figure 9.15.3.1.2 Approval Justification Record and Contract Modification Thresholds for Prior Approval**. This applies to major modifications within the aforementioned responsibilities of scope change, items affecting all or adjoining projects, policy issues and items where third parties are involved.

### 9.16.7 Action

When a modification is agreed at a lower level in the financial threshold, concurrence and approval is gained from the next order in the hierarchy as required before any approval and/or direction to proceed is granted. In most cases, the PM is responsible for approval determinations when an item with sensitive time issues is encountered. In instances where other contracts or third party entities are affected by a modification, the CMT approval is sought to ascertain that any residual impacts are manageable. As mentioned in Section 9.16.2 Responsibilities, there may be instances where it is not feasible or possible to have an approved modification prior to authorizing work. However, every effort shall be made to have the Contract Modification in process and approved as quickly as possible. In such instances, the appropriate parties shall be kept apprised of the nature of the required change.

WisDOT procedures outlined in the CMM are followed as modifications are implemented to validate that documentation is assembled and the modifications stand on their own merit. In instances where an urgent modification in excess of the established threshold is necessary, special CMT meetings and WIS 441 Team sessions are arranged to comply with the time parameters cited in the contract documents. Prompt approval reduces the incidence of claims on urgent work items if the Contractor is able to proceed. For modifications classified as resulting from design Errors or Omissions, individual assessments are necessary for each case where work is redone. The Managing Construction Change process outlined above is summarized in a graphic format in **Figure 9.16.7.1 Contractor Notification of Potential Contract Change**.

Upon approval from WisDOT, a Work Authorization Form (WAF) may be completed and sent to the General Contractor to start the work prior to the AJR completion. The Project Teams are using a WAF to expedite initiation of work and identify the initial cost estimate threshold (**Figure 9.16.7.2 Work Authorization Form**).



Figure 9.15.2.1 – Approval/Justification Record (Pg. 2 of 2)



**Wisconsin Department of Transportation**  
Northeast Regional Office

**APPROVAL/JUSTIFICATION RECORD  
FOR CONTRACT MODIFICATIONS**



1. Proposed Change Involves (include Line Item Identifiers):
  
2. Change Justification (or Explanation of Variation):
  
3. Consequences of Non-response to Contract Modification:  

EXAMPLE
  
4. Alternatives Considered to Accomplish Contract Modification:
  
5. Justification of Prices:
  
6. Schedule Impact: List Affected Activities and Advise of Criticality:
  
7. Interface – Impact with Other Contracts or Entities:
  
8. Impact on DBE Participation:
  
9. Local Government Funding (Yes Or No)

*Page 2 of 2*

Figure 9.15.3.1.1 Change Management Request



# Change Management Request

## WIS 441 Project Management Team

Date:  Corridor Wide  County Specific  Project Specific

Project ID: \_\_\_\_\_ Submitter: \_\_\_\_\_ Answer Required by Date: \_\_\_\_\_

Issue:

Brief Description:

Reason for Change/Design: Enter CM Reason \_\_\_\_\_ Reason for Change/Construction: Enter CM Reason \_\_\_\_\_

Risk Impact Analysis: Cost: Risk Level \_\_\_\_\_ Schedule: Risk Level \_\_\_\_\_ Scope: Risk Level \_\_\_\_\_ Quality: Risk Level \_\_\_\_\_

Options Considered: *(Address affects on budget, schedule, scope and quality, if applicable. Place X next to the preferred option)*

**Option A:**  
 Positive Consequences:  
 Negative Consequences:  
 Cost Impact:

**Option B:**  
 Positive Consequences:  
 Negative Consequences:  
 Cost Impact:

**Option C:**  
 Positive Consequences:  
 Negative Consequences:  
 Cost Impact:

**EXAMPLE**

Back Up Plan:

Decision:

Decision Date: \_\_\_\_\_ Approved by: \_\_\_\_\_

Design Approval Level (To be determined by WisDOT Project Managers):

- WIS 441 Corridor Oversight Committee  MP3  WisDOT Major Projects Peer Review Committee  
 WIS 441 Change Management Team  WIS 441 CMT  Project Manager  
 Project Leader  Other \_\_\_\_\_

\$ Limits	Design- Approval	Construction- Approval Level if Change Results in Exceeding the CCO-PM
< \$100K	N/A	WIS 441 Corridor Construction Project Manager
≥ \$100K & ≤ \$500K	WIS 441 Design or Financial Supervisor	WIS 441 PD Supervisor Construction
≥ \$500K & ≤ \$1M	WIS 441 Corridor Program Manager	WIS 441 Corridor Program Manager
≥ \$1M	Change Management Team and Oversight Committee	Change Management Team and Oversight Committee

C:\Users\MSCMGB\Documents\WIS 441 Change Management Request Form.docx

Figure 9.15.3.1.2 Approval Justification Record and CM Thresholds for Prior Approval

AMOUNT	SIGNATURE REQUIRED	
	WisDOT	FHWA
All Amounts	Project Manager *	Elevated Risk Projects Only
≥\$100K	Project Construction Management Supervisor*	Coordinator (Non-Structure)
≥\$500K	WIS 441 Group Chief	Coordinator (Non-Structure)
≥\$1.0M	Change Management Team & Oversight Committee	Oversight Manager

Figure 9.15.3.2.1 Risk Matrix

Evaluating Impact of a Risk on Major Project Objectives					
Project Objective	Very Low	Low	Moderate	High	Very High
<b>Cost</b>	Insignificant Cost Increase <\$25,000	Cost Increase of \$25,000 - \$49,999	Cost Increase of \$50,000 – \$249,999	Cost Increase of \$250,000 - \$499,999	Cost Increase >\$500,000
<b>Schedule</b>	Insignificant Schedule Slippage	Schedule date moves back one month	Schedule date moves back one quarter	Schedule date moves out of the fiscal year	Schedule date move impacts another project
<b>Scope</b>	Scope Decrease Barely Noticeable	Minor Areas of Scope Are Affected	Major Areas of Scope are Affected	Scope Reduction Unacceptable	Project End Item Is Effectively Useless
<b>Quality</b>	Quality Degradation Barely Noticeable	Only Very Demanding Applications Are Affected	Quality Reduction Requires Central Office or FHWA Approval	Quality Reduction Unacceptable to WisDOT or FHWA	Project End Item Is Effectively Unusable

Figure 9.16.1.1 WIS 441 Project Change Management Log

Wisconsin Dept of Transportation										Project No.: 1120-10-80 WIS 26-WIS 44 Mainline			
Change Management Log (by CM#)													
Contract #/Mod #	Title	Status	Date	Reason Change Code	Issue	Engineer ROM	Contractor Proposal	Negotiated A/R	Final Value	Change Mgmt #			
000	LINE ITEM OVER RUN TO DATE	CPN	12/01/10	MI		\$198,124.11	\$0.00	\$0.00	\$0.00	80-000			
000	LINE ITEM UNDER RUN TO DATE	CPN	12/01/10	MI		(\$23,186.00)	\$0.00	\$0.00	\$0.00	80-001			
001	Removing Asph. Surface Milling Qty	APP	10/25/10	MI		\$174,938.11	\$0.00	\$0.00	\$0.00				
001	Removing Asph. Surface Milling	APP	10/25/10	MI		\$83,397.10	\$0.00	\$86,414.00	\$80,414.00	80-002			
001	Moving Signs Type I	APP	10/25/10	MI		(\$6,475.00)	\$0.00	(\$6,475.00)	(\$6,475.00)	80-003			
002	WPS Reimbursement	APP	10/19/10	MI		\$78,572.10	\$0.00	\$75,589.00	\$75,589.00	80-004			
003	Erosion Mat Type II Class B	APP	11/15/10	RO		\$0.00	\$19,650.73	\$19,650.73	\$19,650.73	80-006			
003	Culvert Pipe Temp 12-inch	APP	11/15/10	PC		\$0.00	\$0.00	\$5,300.00	\$5,300.00	80-007			
003	Manhole Type 1	APP	11/15/10	PC		\$0.00	\$0.00	\$3,025.00	\$3,025.00	80-008			
003	Inlet Cover Type C	APP	11/15/10	PC		\$0.00	\$0.00	\$1,729.20	\$1,729.20	80-009			
004	Remove & Relocate Cable Guard	CPN	11/17/10	PC		\$0.00	\$0.00	\$10,714.20	\$10,714.20	80-010			
004	Type II Signs/Temp Fence	CPN	11/17/10	PC		\$0.00	\$0.00	\$42,130.00	\$0.00	80-011			
						\$0.00	\$0.00	\$12,870.00	\$0.00	80-012			
						\$253,510.21	\$19,650.73	\$180,953.93	\$105,953.93				

SUMMARY OF PROJECT COSTS	
Original Contract Amount:	\$18,825,692.03
Approved Contract Mods:	\$105,953.93
Revised Contract Amount:	\$18,931,645.96
*Pending Changes Amount:	\$229,938.11
Anticipated Contract Amount:	\$19,161,584.07

CONTRACT ANALYSIS OF CHANGES	
0.56% Changes (Original Contract vs. Revised Contract)	
1.78% Changes (Original Contract vs. Anticipated Contract)	

\*Pending Changes include all negotiated amounts (A/R) and any Engineer ROMs that have not been negotiated. If the Engineer ROM has not been calculated, the Contractor Proposal is used.

EXAMPLE

Figure 9.16.7.1 Contractor Notification of Potential Contract Change

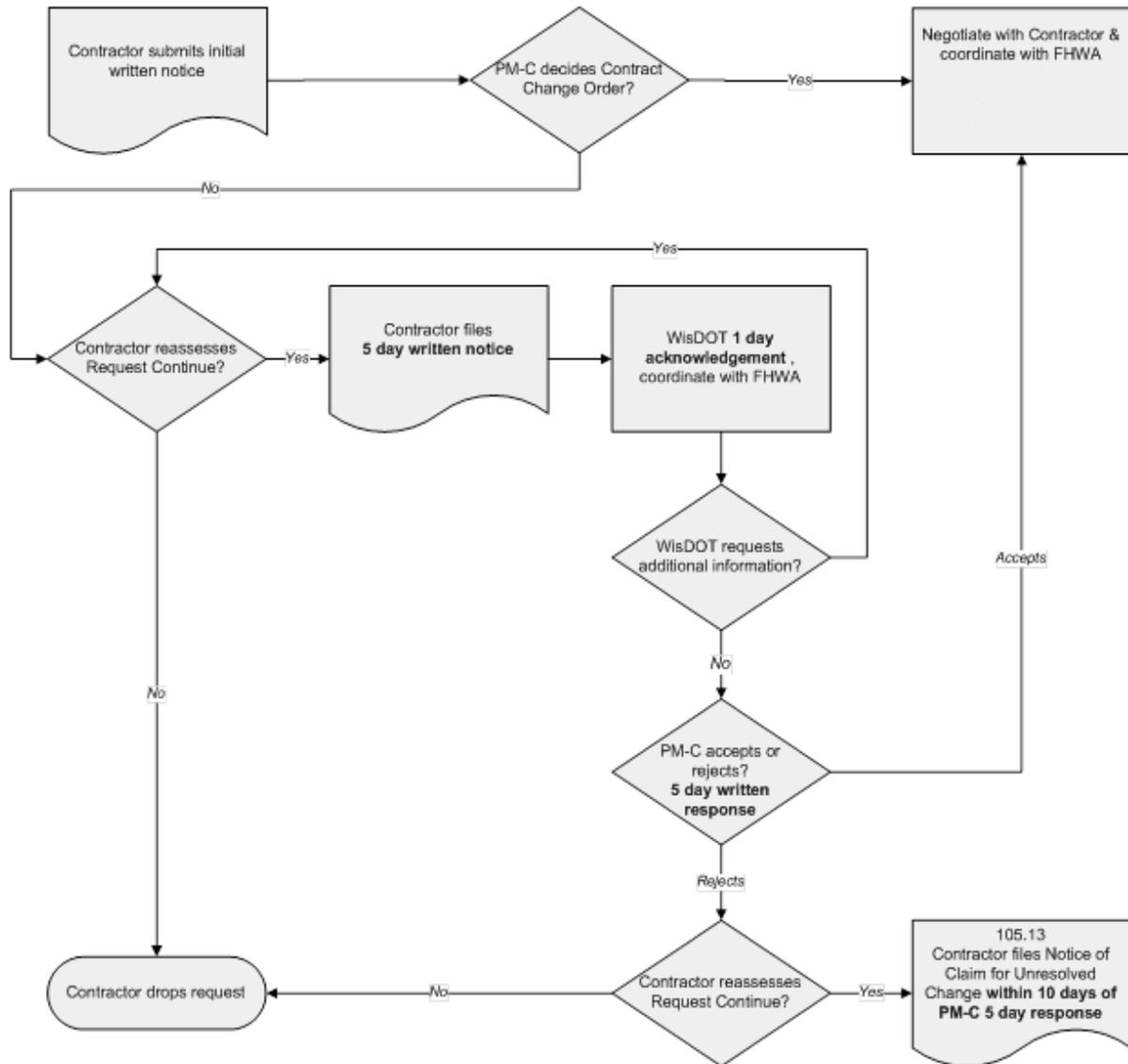


Figure 9.16.7.2 Work Authorization Form



**Wisconsin Department of Transportation**

Northeast Regional Office      Brown County Field Office  
 944 Vanderperren Way, Green Bay, WI 54304      1940 W Mason Street, Green Bay, WI 54303  
 Telephone: 920.492.5640      Telephone: 920.492.2222  
 E-mail: [WIS441@dot.wi.gov](mailto:WIS441@dot.wi.gov)



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**Work Authorization Form**

Project ID: \_\_\_\_\_ Project Name: \_\_\_\_\_  
 PCL Tracking #: \_\_\_\_\_  RFI#: \_\_\_\_\_  
 To: \_\_\_\_\_  Or \_\_\_\_\_  
 From: \_\_\_\_\_  Field Issue \_\_\_\_\_

Description of Work to be performed:

EXAMPLE

is to proceed on the following basis:

**Negotiated Price** - (Please provide a proposal in accordance with (State of Wisconsin Standard Specification for Highway and Structure Construction). Section 104.3 and 109.4.4.  
 **Agreed negotiated price** \$ \_\_\_\_\_  
 **Actual effort expended** – Cost to be determined by validated work performed

**Force Account** - Proceed with the work as described above immediately under the provisions of the (State of Wisconsin Standard Specification for Highway and Structure Construction. Section 109.4.5)

**Utilize Existing Contract Bid Items** - (Proceed with the work immediately utilizing the following existing contract bid items as a method for payment)

Local Government Funding YES  or NO

*It is anticipated that the work as described above will not affect the critical path of the construction schedule. If US 41 Corridor Project Management determines otherwise, please provide proper notification in accordance with Section 104.3 of the WisDOT Standard Specifications.*

\_\_\_\_\_ Date  
 PCL

\_\_\_\_\_ Date  
 PM-CC

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## 9.17 Cost Reduction Incentives (CRI)

Section 104.10 of the Standard Specifications clearly delineates the process for contractors and the WIS 441 Team to follow CRIs. There are similarities to the Change Control process outlined in Section 9.16 above.

Because of the tight schedule, the assessment of Cost Reduction Incentives (CRI) is required from other perspectives and specialists within WIS 441 Team and the Design Leader. The CRI review and/or approval will not allow for schedule delays. Incentives implemented are reported to the CMT to keep the overall financial picture maintained. The respective Contractors are responsible for submitting CRIs and are required to perform initial evaluations on the merits of each. These incentives are checked by the PCL; validated and recommended by the PM. It is anticipated, based on early partnering discussions, that incentives raised will maintain quality and schedule with no impacts to the individual project or overall program. Specific workshops will be conducted in the early project stages to identify and assess the merit of any CRIs.

## 9.18 Cash Flows

The WIS 441 Team will perform cash flow analysis, using Excel and Primavera concurrently with the federal financial plan development and incorporate current payment information and contract modifications approved to date.

With the payment process firmly established in the WisDOT procedures, and the frequency described in the respective contract documents, cost information is readily accessible from WisDOT's accounting systems. Information on expenditures is available in the FOS system. Information on contract modifications, purchase orders and other commitments is available in the EAPS system and the Detailed Cost Report (DCR). Taking this current data and utilizing it for forecasting and trending purposes is part of the regular analysis to maintain a forward-looking perspective on costs, and an integral information tool to guide a proactive management decision-making process.

## 9.19 Schedule Control

### 9.19.1 Purpose

The WIS 441 Corridor Project's master schedules assist in optimizing resources, reducing costs and risks and are critical to on-time, on-budget delivery.

### 9.19.2 Responsibility

The Program Construction Scheduler (PCS), with guidance from the Program Controls Team, is responsible for maintaining the Master Program Schedule. Contractors are responsible for schedule submittals as outlined below and in the Standard Specifications and/or Special Provisions. The PCS is responsible for monitoring and evaluating the Contractor submitted construction schedule.

The PCS will:

- Monitor, evaluate, and report on the overall progress of the project, including forecasts for completion and milestones
- Integrate key milestones and work tasks associated with construction work to reflect an accurate status of current work tasks
- Forecast schedule impacts associated with contract modifications and accurately evaluate and make recommendations to PM, CMT, Supervisors and the WIS 441 Corridor Program Manager regarding revisions to the work, delays or unforeseen conditions
- Develop, evaluate, and recommend alternatives for mitigating delays
- Determine coordination timelines for local municipal projects within the corridor or operations
- Accurately track progress of the work and anticipate where additional coordination and adjustments to contracts must be made to optimize performance

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### 9.19.3 Schedules

The WIS 441 Corridor Program master schedules include:

- Master Program Schedule (MPS) – top level program schedule
- Design Project Schedules – preliminary project schedule milestones for traffic staging & construction phasing.
- Contractor Schedules detailed project construction schedules for monitoring and report progress

#### 9.19.3.1 Master Program Schedule (MPS)

The Master Program Schedule (MPS) is the top-level program control schedule used for managing, monitoring and forecasting design and schedule work. The MPS is split into two schedules: Engineering and Construction. The Construction MPS is a Primavera P6 based computerized schedule that depicts the current program plan for construction and includes activities for the Plans, Specifications and Estimates (PS&E ) final due in Madison, project let, projected award, project Notice To Proceed (NTP) and construction milestone activities for each project. The MPS is periodically updated to reflect prioritization and advancements in work and changes or revisions due to project funding availability. Additionally, the MPS will be updated to reflect major contract LETS, known major relationships between projects, construction staging sequencing, and major design changes which affect individual project PS&E timeframes.

#### 9.19.3.2 Preliminary Construction Schedules

The Preliminary Construction Schedules are developed during design for the purpose of planning traffic phasing and construction staging. They are generated with input from the design team to assure that the design stages as indicated within the plans match the construction staging intentions.

The preliminary schedule also assures that the planned construction activity within the specified timeframe is achievable. Staging milestones are used to generate the milestone and completion dates as contained within the Special Provisions. These schedules may also be provided as reference only to the bidding contractors for major projects to aid in the development of their Contractor Detail Schedules.

#### 9.19.3.3 Contractor Detail Schedules

The Contract develops detailed schedules for each complex project as required by the Standard Specifications and Special Provisions. The Contractor Detail Schedules are established in a logical sequence of work to parallel all construction stages as indicated within the Special Provisions and including other work required within the project scope. The Contractors' approaches may be consistent with the preliminary schedules or vary, provided the required target completion dates duplicate the Special Provisions and proper scheduling formatting is incorporated.

The PCS reviews Contractor Schedules and provides comments and recommendations to the PCL and the PM. The PCS and PCL meet with the Contractor to discuss recommended changes and, if necessary, re-submittal requirements. Upon re-submittal, the PCS and PCL review the schedule and if acceptable will "Accept" the schedule. All future updates are treated in the same manner.

The PCS incorporates analysis of the Contractor Schedules into reporting to the CMT and the Oversight Committee.

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## 9.19.4 Procedures

### 9.19.4.1 Development

WIS 441 Corridor Project MPSs are developed using Primavera P6 scheduling software. The logic of the MPS is documented through the development of a construction staging matrix, logic diagrams and narrative that convey the interdependence of the various milestones on the major contracts. The MPS contains the project codes and milestones to be used in the development of the Contractors Schedules and reflects the contract requirements, including the following:

- Start and finish milestones for each stage of the work
- Constrained milestones to model contract Liquidated Damages and work restrictions
- Summary-level activities to model the work of each stage
- Work Breakdown Structure (WBS)/Activity Codes to organize the components of the project
- Relationships and constraints to model inter-relationships between stages and between adjacent contracts

### 9.19.4.2 Work Breakdown Structure (WBS) and Activity Coding Dictionary (ACD)

Primavera P6 allows for numerous methods of organizing Critical Path Method activities. To provide consistency for the schedules on all contracts, the PCS develops a standardized Work Breakdown Structure (WBS) and a standard Activity Code Dictionary (ACD). The Contractors may use the MPS as a template from which to develop their Contractor schedules.

**Figure 9.19.4.2.1** outlines the WBS & ACD utilized for scheduling and provides a sample listing of the activity codes that may be included in the MPS. By using a common set of activity codes across all contracts, the PCS is able to prepare multiple schedule layouts or reports that include various sorting and/or grouping characteristics.

The PCS continues to collaborate with team members and modifies the ACDs to conform with the ongoing needs of the program. Contractor input is considered and the Contractor may propose activity code values as necessary for applicable projects in Level 4.

**Figure 9.19.4.2.1 - Primavera P6 Work Breakdown Structure (WBS) and Activity Code Dictionary (ACD)**

<i>Code</i>	<i>Value</i>	<i>Description</i>
<b>Level 1 - Program</b>		
	06	WIS 441 Tri-County Project
<b>Level 2 - County</b>		
	BRN	Brown County
	CAL	Calumet County
	OTG	Outagamie County
	TRI	WIS 441
	WINN	Winnebago County
<b>Level 4 – Project ID</b>		
	1517-07-71	US 10 Mainline (Coldspring Rd – US 41)
	1517-07-72	US 41 Interchange Grading
	1517-07-73	US 41 Interchange Phase 2
	1517-07-74	US 41 SB (WIS 441 - CTH II)
	1517-07-75	US 41 NB (WIS 441 - CTH II)
	1517-07-76	Little Lake Butte des Morts Bridge B-70-403
	1517-07-77	Little Lake Butte des Morts Bridge B-70-61 Redecking
	1517-07-78	US 10/WIS 441 Mainline (LLBDM – Tayco St)
	1517-07-79	US 41 Interchange B-70-400
	1517-07-82	Rubbert Wetland Mitigation Site Phase 3
	1517-07-83	Neenah Wetland Mitigation Site
	1517-75-71	Racine Rd Interchange Early Fill
	1517-75-72	US 10/WIS 441 Mainline (Racine Rd – Appleton Rd)
	1517-75-73	US 10/WIS 441 Mainline (Appleton Rd – Oneida St)
	1517-75-74	WIS 441 Mainline (Oneida St – Project Limits)
	1517-75-75	Racine Rd (CTH P) Interchange
	1517-75-76	Racine Rd (CTH P)
	1517-75-77	Midway Rd (CTH AP) Interchange
	1517-75-78	Appleton Rd (STH 47) Interchange
	1517-75-79	Oneida St (US 10) Interchange
	1517-75-81	Vermillion Street
<b>Level 5 – Phases</b>		
	ADM	Administration
	CON	Construction
	PRO	Procurement
	PMP	Program Management Planning / Coordination
	SUB	Submittal
<b>Level 6 – SubPhase / Stages</b>		
	KEY	Key Project Milestones
	STAGE 1	Stage 1 Construction
	STAGE 2	Stage 2 Construction
	STAGE 3	Stage 3 Construction
	STAGE 4	Stage 4 Construction
	STAGE 5	Stage 5 Construction

<i>Code</i>	<i>Value</i>	<i>Description</i>
	STAGE 6	Stage 6 Construction
	STAGE 7	Stage 7 Construction
<b>Level 7 – Activity Type</b>		
	BRIDGE	Bridge Activities
	MILESTONE	Internal Milestone Activities
	MISC	Miscellaneous Incidental Work Activities
	ROADWRK	Roadwork Reconstruction Activities
	TRAFFIC	Traffic Control Activities
	UTILITIES	Utility Relocation Activities
	WALLS	Retaining Wall Activities
XXXX		<b>Additional codes defined as needed for each project</b>

#### 9.19.4.3 Project Kick-Off Meeting

A Project Kick-Off Meeting is held shortly after the Contract Award/Contract Execution and includes the Prime Contractor, Sub Contractors, Utilities, Outside Agencies, and various members of the WIS 441 Team. The PCS, as a part of this meeting or on an informal basis, meets with the Prime Contractor Project Manager(s), Prime Contractor Scheduler, PM, and the PCL to discuss scheduling requirement and expectations in detail. The meeting serves to provide a complete understanding of, and agreement upon, the WisDOT contractual requirements and expectations for all parties involved.

Items of discussion are as follows but not limited to:

- A detail review of the Special Provision / Standard Specification Critical Path Method Scheduling requirements
- Software requirements
- Activity Coding and Calendaring requirements
- Submittal Requirements (both initial schedule as well as monthly updates)
- Various expectations (i.e. constraint date types, use of “Contract” completion dates vs. “Incentive” completion dates, type of float, hanging activities)

#### 9.19.4.4 Contractor Schedule Submittal Requirements

The purposes of the Contractor Schedule include:

- Measurement contract progress
- Determination of milestone achievements related to each stage of the contract
- Assessment of contract modification and delay impacts
- Assist in determination of entitlement and magnitude of time extensions

The PCS and PCL are responsible for reviewing all submittals and making recommendations to the Prime Contractor regarding required revisions for re-submittal or for the next update. The PCS and PCL are responsible for the acceptance or rejection of schedule submittals and when necessary engage in discussions to gain concurrency from the project manager.

Individual prime Contractors are responsible for developing the schedules, diagrams, and narratives for the following submittals:

- Bar Chart Schedule and Narrative
- Critical Path Method Progress Schedule

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#### 9.19.4.5 Bar Chart Schedule and Narrative

A Bar Chart Schedule and Narrative is required for “non CPM Schedule” projects only and can be manually or computer generated. Bar Chart Schedule and Narrative requirements are defined in the Standard Specifications, Section 108.4.2 and will include all work as indicated within the Special Provisions. For calendar and completion date contracts, an estimated number of adverse weather days for each month, the Standard Specifications, Section 108.4.2 will be followed.

The initial Bar Chart Schedule and Narrative submittal is due 14 calendar days prior to the Pre Construction Meeting. They are reviewed by the PCS and the PCL to confirm compliance to the contract documents. Comments and re-submittal are due back to the Contractor within 5 business days after the PCL has received the initial submittal.

Updates to the schedule will be required if a Contract Modification is executed that impacts the project schedule. No updates are required unless specifically requested by the program scheduler or PCL.

#### 9.19.4.6 Critical Path Method (CPM) Schedules

Critical Path Method (CPM) Schedules are required for the larger, more complex projects as identified in the Highway Work Proposal. The CPM Schedule Specification is contained within the Special Provisions and is based on Standard Specifications 108.4.4 Critical Path Method Progress Schedule. Required Schedule submittals are as follows:

- Initial Work Plan (IWP)
- Initial Progress Schedule (IPS) & Initial Narrative
- Monthly Progress Schedule Updates & Update Narrative
- Three Week Look-ahead Schedule

#### 9.19.4.7 Initial Work Plan (IWP)

The IWP is developed according to the requirements outlined in the Special Provisions within the Prosecution and Progress section under the CPM Progress Schedule item. The IWP includes the first 90 calendar days of detail activity with “high level” summary activities for the remainder of the project. It is due 14 calendar days prior to the Pre Construction Meeting. IWP Schedules are reviewed by the PCS and the PCL to confirm compliance to the contract documents and may result in recommendations for necessary revisions to the IWP. Comments and re-submittal are due back to the Contractor within 5 business days after the PCL has received the initial submittal.

The IWP is used to monitor and update the progress of the work and requires updates every 2 weeks until the Initial Progress Schedule (IPS) is accepted.

#### 9.19.4.8 Initial Progress Schedule (IPS) and Initial Narrative

The IPS includes a detailed plan of activities to be performed during the entire contract duration, including all submittals and administrative and construction activities required to complete the work. The IPS will conform to the outline specified in the Prosecution and Progress section of the Special Provisions.

The Initial Narrative provides a written explanation of the planned sequence of work, as-planned critical path, critical activities for achieving intermediate milestones dates, traffic phasing, and planned labor and equipment resources. The Schedule section of the Highway Work Proposal provides other requirements that must be included in the narrative

The IPS and Initial Narrative is due 60 calendar days after the NTP is issued. The IPS and Initial Narrative are reviewed by the PCSE and the PM to confirm compliance to the contract documents. Acceptance, comments and if necessary a request for re-submittal are due back to the Contractor within 5 business days after the PCL has received the initial submittal.

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### 9.19.4.9 Monthly Progress Schedule Updates and Update Narrative

Updates to the IPS as well as Update Narratives are to be submitted on a monthly basis after acceptance of the IPS. These will be reviewed by the PCS and the PCL to confirm compliance to the contract documents. Acceptance, comments and if necessary a request for re-submittal are due back to the Contractor within 5 business days after submittal. Contractors are required to submit Monthly Schedule Updates & Update Narratives as per the Special Provisions within the Prosecution and Progress section under the CPM Progress Schedule item.

The updates may include additional activities to reflect additions to the contract as contract modifications and logic revisions paralleling the changes in the Contractor's plan. The Narrative will include a brief description of monthly progress and a summary of changes since the previous submittal. The Standard Specifications or the project specific Highway Work Proposal provides requirements to be included in the narrative. The PCS and the PCL accept the updates or provide comments within one week of receipt. This quick turn-around maximizes the relevance of the currently accepted schedule.

Continual updates and timely reviews of the Contractors' Progress Schedules provide the best method to determine the immediate critical path for each milestone and each contract as well as the entire program. Schedule updates permit the forecasting of potential time-related changes and allow for the development of mitigative alternatives to accommodate the current constraints.

### 9.19.4.10 Three Week Look-ahead Schedule Requirements

Three Week Look-ahead Schedules assist in managing the project on a weekly basis. They highlight important information in the Contractor Progress schedule and include additional details of the work that may not be modeled by an activity in the Contractor Progress Schedule. The look ahead schedule also provides an as-built schedule of work performed on a weekly basis that will be compared to the existing as-built schedule in the Contractor Progress Schedule.

- Specific items addressed in the look ahead schedule include:
- actual progress on activities from the past week
- a projection of work for the next two weeks
- scheduled lane and ramp closures for interchanges and mainlines
- current work activities
- critical RFIs
- submittals and reviews
- critical procurements
- potential delays and problems.

The Contractors are responsible for preparing the three week look-ahead schedules for review and discussion at the Project Weekly Progress meetings (**Refer to Figure 9.19.4.10.1**) and are encouraged to provide additional details to support current intermediate work plans.

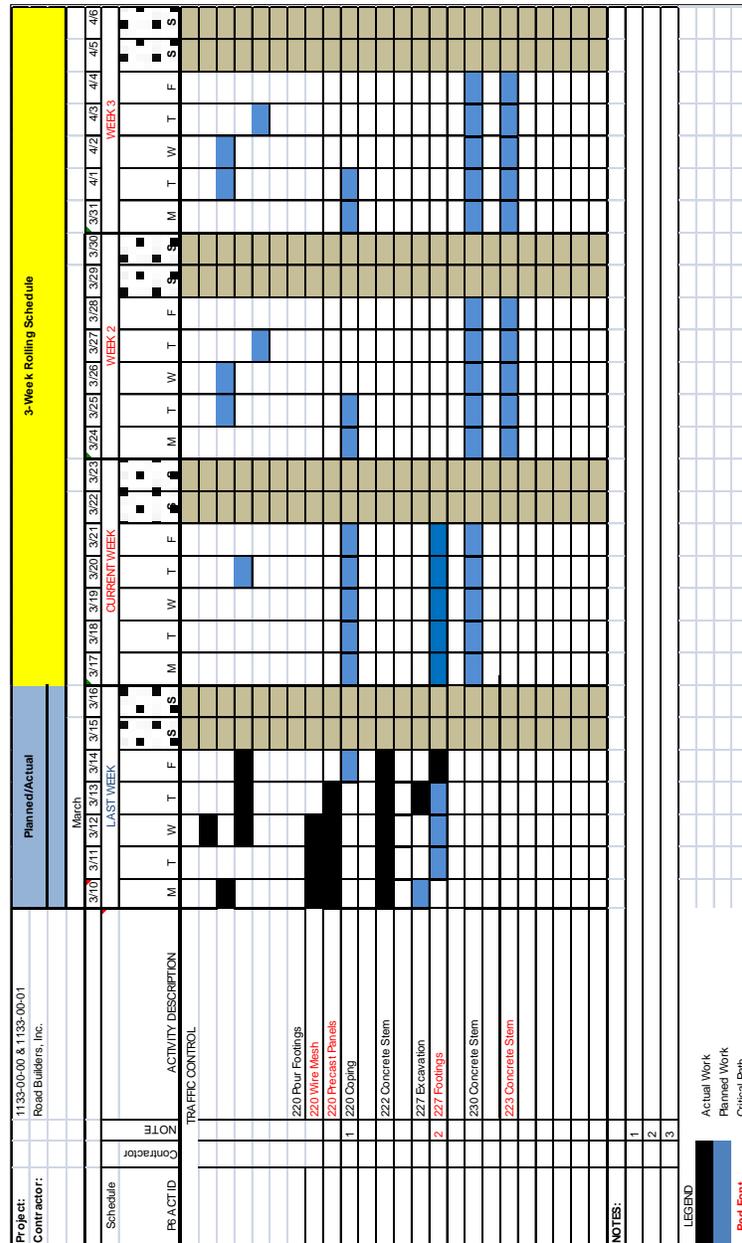
### 9.19.4.11 Critical Path Method Revisions

Contractor Progress Schedule Revisions may either be submitted by the Contractor for acceptance, or required by the PCS and PCL. The PCL will assess the performance metrics and provide recommended actions to the Contractor. All Contractor Progress Schedule Revisions through the end of the reporting period will be reviewed by the PCL, PCS and the PM and are used to provide a record of the project. The final Critical Path Method Update is an as-built schedule.

### 9.19.4.12 Critical Path Analysis

The PCS closely monitors the progress of the activities that control the current forecast completion date, and assesses impacts to intermediate milestones and contract completion dates. The PCS reports on shifts in the critical path of the project, or to an intermediate milestone.

Figure 9.19.4.10.1 Three Week Look-ahead Schedule Requirements



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#### **9.19.4.13 Documentation Required for Time Extension Request**

In the event a Contractor submits a request for a contract modification that includes an extension of the contract completion date or an intermediate milestone date, the Contractor is required to base its time extension request on the most recently accepted Contractor Progress Schedule Update.

To request a time extension for an intermediate milestone date or the contract completion date associated with a scope change, Contractors are required to provide a narrative detailing the activities affected and a proposed fragment of activities to be added or revised in the Contractor Progress Schedule. The program scheduler reviews the submission and determines whether it adequately models the scope of the change. When the change affects the critical path of the contract, or the critical path to an intermediate milestone, the program scheduler meets with the project manager to determine whether a time extension is justified.

Contractors may also request a time extension associated with issues other than scope changes. In such cases, the PCS meets with the Contractor, PCL and the PM to discuss alternatives and contributes to the negotiations if a contract modification is justified. The PCL and PM review the costs associated with time extensions and make recommendations to CMT on costs and schedule modifications to avoid proceeding to the claims process.

#### **9.19.4.14 Weekly Production Data Requirements**

Weekly production data for certain activities is required as documented in the Standard Specifications and Special Provisions. The data is used to tabulate project progress through linear scheduling techniques verifying the projections of the Contractor Progress Schedule. Additionally, the data can be used to prepare production charts for each project, to assess productivity issues, to enhance forecasting and to evaluate potential contract modifications that may affect productivity.

On a weekly basis, the Contractors are responsible for submitting the data coinciding with project reporting requirements. The PCS reviews the data and prepares production projections with input from PCLs as necessary. If the forecasted progress of an activity based on the submitted production rates differs significantly from the forecast based on the Contractor Progress Schedule, the PCS may make recommendations to revise the Contractor Progress Schedule to reflect current production rates. A request for means and methods of mitigation may be submitted to the Contractor prior to revising the Contractor Progress Schedule.

The PM is informed of discrepancies between the production data and the Contractor Progress Schedules to the PM based on conformance with actual production rates. The PCS also meets with the Contractors to validate that the activity durations used in the Contractor Progress Schedule are consistent with the actual production rates.

Data required from the Contractor is limited to activities that are production or resource driven and significant to the overall progress of the project. If the Department maintains accurate production data records as part of the normal inspection process, that data will be used with reports provided to the Contractor for verification upon request.

#### **9.19.4.15 Production Rate Monitoring**

The PCS uses the actual production data for key items of work to forecast completion of critical elements of the work and confirm the Critical Path Method schedule projections. Relevant data and graphics, detailing current and forecast production rates, are included in monthly reports, highlighting activities for which production rates are lower than planned.

**9.19.4.16 Program Controls Monitoring & Reporting of Schedules**

To mitigate potential impacts, schedule controls are monitored to assess progress and identify potential delays. Reporting is by exception, focusing on areas of concern and directed to appropriate personnel for action.

The PCS provides reviews of weekly and monthly submittals and provides bi-weekly and monthly progress reports to the PM and others. Reports will include the following topics:

- Cost
- Schedule
- Production

On an ongoing basis, the PCS evaluates the progress of contractor schedules. After meeting with Contractors to review schedule timing, the PCS develops recommendations based on analysis and forecasts to address the schedule implications of time extensions, contract modifications, delays, accelerations and productivity issues.

**9.19.4.17 Progress Review Meetings**

Weekly Progress Review meetings are conducted with the PCL and PCS to review progress and future work based on the rolling three-week look-aheads and production data.

**9.19.4.18 Monthly Progress Review**

Critical Path Method updates and revisions are conducted on a monthly basis. The PCS consolidates the reviews of the past month's progress and changes to the Critical Path Method schedule validating that the current Critical Path Method accurately reflects the completion plan.

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## 10.0 Design Quality Assurance/ Quality Control

### 10.1 General

#### 10.1.1 Purpose

WisDOT defines quality as “a principle that encourages excellence in everything – products, strategies, systems, processes, and people”. The citizens define quality as “meeting or exceeding the customers’ expectations”. The WIS 441 project defines quality as “the fulfillment of project responsibilities for both the services to deliver the project and the constructed product itself”. Both will be done in a manner that meets or exceeds the stated requirements and expectations of WisDOT and the corridor users.

WisDOT requirements and expectations are outlined in the Facilities Development Manual (FDM) Chapter 11. The thirteen controlling design criteria items shall be documented as meeting or exceeding standards. A formal “exceptions to standards” will be processed, with appropriate approvals, when the minimum standards cannot be met. FDM Chapter 11 Section 46, Complete Streets, will be incorporated into the design providing accommodations for pedestrians, bicyclists, motorists, and public transport users of all ages and abilities.

### 10.2 Quality Assurance

#### 10.2.1 WisDOT Role

Quality assurance is the systematic monitoring and evaluation of various aspects of the project to ensure that the standards of quality are being met. Before a contract is released for bidding, it will go through a review process. The Project Management Team and Functional Leads will review the key components of the plan for geometric design standards, constructability, bid-ability, cost effectiveness, and ease of maintenance. Following a scheduled review period, a meeting is held to present and discuss comments with the design team and resolve outstanding issues. Formal reviews occur at the 30 percent, 60 percent (preliminary engineering phase), and 90 percent (draft PS&E) stages of the project, and as needed. In addition to the Northeast (NE) Region reviews, the State’s Central Office staff will review the plan for statewide consistency along with those items mentioned above.

Below are some of the key components of the plan that will be reviewed for Quality Assurance.

- Traffic Control
- Staging
- Detour Routes
- Bridges
- Roadway
- Erosion Control
- Quantities
- Unit Prices
- Retaining Walls
- Lighting
- Signing/Sign Bridges
- Pavement Marking
- Drainage
- Anticipated Construction Schedule
- ITS

The Design Consultant contracts identify the consultant’s responsibility for accuracy, modifications and non-compensable revisions as a result of document errors or omissions. The engineering consultants are responsible for implementing and maintaining an internal Quality Assurance /Quality Control Plan.

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## 10.2.2 FHWA Role

FHWA is accountable to the American public to provide a high quality transportation system. To promote quality, the FHWA Division Office participates in monthly WIS 441 Project Issue/Risk meetings and, as warranted, in the more traditional review process encompassing the 60%, 90% and draft PS&E reviews of the plans and specifications. In addition, the FHWA must approve any deviation from the controlling design criteria and modification of access to interstate highways. The Agency reviews and takes appropriate action for requests to use proprietary products, determine material sources, to provide state furnished materials, and allow government units to perform a portion of the construction work.

## 10.3 Quality Control

Quality control monitors specific project results to determine if they meet quality standards and to identify corrective action for items below those quality standards. A Design Review Process (Exhibit 1-7-1) has been prepared by the WisDOT NE Region to maintain the delivery of a quality project. Plans and specifications will be checked at 30%, 60% and 90% completion using various checklists and as described in the NE Region Design Review Process (Exhibit 10-1). An additional 75% constructability review and staging meeting will be held to discuss staging on complex projects along the corridor.

Quality has also been built into the project by establishing project-specific policies, standards, guidelines, and systems, and by involving WisDOT stakeholders early and often throughout the design process.

## 10.4 Value Engineering and Roadside Safety Audits

Value Engineering is a function-oriented management tool effective in achieving an optimum blend of scheduling, constructability, maintainability, environmental awareness, community values, safety, and cost effectiveness. It is an organized application of common sense and technical knowledge directed at finding and eliminating unnecessary costs and providing the best overall project value for the citizens. The goal of a VE study is to achieve design excellence. Its objectives are to improve quality, minimize total ownership costs, reduce construction time, make the project easier to construct, provide safe operations, and assure that environmental and ecological benchmarks are met.

WisDOT performs VE analyses or studies on all federal-aid funded National Highway System improvements with an estimated total project cost of \$25 million dollars or more. The VE studies provide recommendations that include potential design improvements, cost savings, incorporation of new materials and construction techniques, and improvement of standards and policies.

An independent HNTB team led a VE Study analysis for the WIS 441 Project in May of 2012. A final report with recommendations from the VE Study was completed in August of 2012.

The FHWA Road Safety Audit Guidelines defines a roadside safety audit (RSA) as a formal safety performance examination of an existing or future road or intersection by an independent audit team. The RSA team considers the safety of all road users, qualitatively estimates and reports on the road safety issues identified, and presents suggestions for safety improvement”.

An independent HNTB team (separate from the VE Study team) conducted a roadside safety audit study with participation from community emergency and public works staff as well as WisDOT Traffic staff in April of 2012.

The Department also engaged HDR, Inc. to provide an independent review of the design for the diverging diamond interchange (DDI) originally proposed as a VE study recommendation.

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## 10.5 Constructability Reviews

### 10.5.1 Purpose

A contract package, especially on large complex projects, can contain discrepancies, contradictions, and ambiguities. The function of the constructability review is to uncover obstacles or potential obstacles such as conflicts, errors, and omissions that may be encountered during construction. Review of the bidding materials will identify any existing variation between drawings, between specifications and between drawings and specifications.

The opportunity to address key design elements such as high cost materials, or labor/equipment productivity is an additional benefit of the review. The design documents can be refined to accommodate market conditions, contractor operations and clarify or reduce potential risk.

### 10.5.2 Procedures

#### 10.5.2.1 General

1. Constructability reviews are performed near 75% design completion, or when there is sufficient information to comment on the contract documents. Constructability reviews are performed in advance of contract bidding and with sufficient time allotted to permit recommendations to be incorporated prior to bidding.
2. Constructability reviews are to be completed within a defined timeframe due to design schedule constraints. The timeframe may vary depending upon the diversity of task objectives and is estimated from several days to two weeks in duration. Reviews are to be scheduled to allow the Design Team sufficient time to incorporate any necessary changes into the final documents.

#### 10.5.2.2 Team Members

1. Proficient review team members are comprised of engineers with expertise in design and construction that focus on high-cost or risk-sensitive design elements. The team includes WIS 441 Design Team, Design Project Manager and PCL, the Program Construction Management Consultants Team, and Project Construction Lead personnel.
2. Disciplines or specialties represented are determined by the type of project and reflect how the drawings are allocated. Experience in foundations, structural erection, earthwork and electrical disciplines may be required as well as any specialists for areas such as security or ITS.

### 10.5.3 Follow-Up

1. The Design Team responds to the constructability comments and delivers copies to the WIS 441 Design Project Manager.
2. Project Managers follow up to determine that comments have been incorporated into the designs and, if not, determine why they have been omitted.

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## 11.0 Construction Quality Assurance/ Quality Control

### 11.1 General

#### 11.1.1 Purpose

A quality management program (QMP) which includes quality assurance (QA) and quality control (QC) is vital to the success of any project, regardless of size, by monitoring the materials used and the workmanship of the construction. QA is a proactive process guarding against defects and avoiding problems in construction delivery and schedule. Joined with quality control (QC), which measures the final product with respect to expectations, the ultimate result will be a high quality facility that will last far into the future. The WIS 441 Project staff plans to follow the standardized QMP as specified in the Facilities Development Manual, Section 19-21, and the QC and the QA audit processes to achieve this goal.

The Standard Specifications for the State of Wisconsin, Project Special Provisions and the Construction & Materials Manual (CMM) will be used to monitor performance. The CMM defines the required documentation and verification of materials, the placement methods of materials and explains specific procedures and certifications required for quality control.

#### 11.1.2 Responsibilities

The project manager (PM) and project construction leader (PCL) are responsible for monitoring compliance with the Standard Specifications for Highway and Structure Construction and the Construction & Materials Manual (CMM) procedures.

The individual PM is ultimately responsible for the quality assurance of the materials utilized on their projects with the day-to-day frontline responsibilities borne by the PCL. The PCL is responsible for validating that the appropriate materials are incorporated into the work and that suitable action is taken to correct deficiencies. The PCL is also directly responsible for monitoring and verifying the contractor's QC program, materials test results, materials certification and construction procedures.

Cost Reduction Incentives and related contract changes with respect to quality adherence issues are reviewed and acted upon by the PM.

The Region Technical Services Section is responsible for oversight of the Project Construction Team's materials quality assurance activities. The Region independent assurance program (IAP) specialist is responsible for verification of the sampling and testing procedures for quality control of materials used on the WIS 441 Project.

#### 11.1.2.1 QA/QC - Pre-Construction

The WisDOT CMM, Chapter 2-26, defines the Pre-Construction Conference notification procedures, agenda layout, potential attendees and meeting records.

Prior to the preconstruction conference, the Region Materials Engineer and IAP specialist will review the contract, identify items requiring specific QC monitoring and verification and submit the list to the PM. These issues will be incorporated into the meeting agenda for discussion.

#### 11.1.2.2 QA/QC – Construction

The WIS 441 Construction Supervisor and PM will perform periodic audits on-site to verify compliance with the QMP in accordance with the requirements set forth in the QMP Guide/Procedure Manual provided by the Bureau of Highway Construction for each project. In addition, they will assist and supervise the project oversight team to verify consistency throughout the program.

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The WIS 441 Project Team will meet regularly to discuss and agree upon action items concerning the Contractor's work to successfully manage project delivery with safety, timeliness and quality.

FHWA periodically conducts audits or random field inspections noting compliance with quality monitoring and documentation procedures. The field inspections also observe construction methods to identify potential issues affecting facility design life and warranty objectives.

WisDOT is contracting for independent quality assurance at the suppliers' facilities for items such as structural steel and precast concrete.

## 11.2 Program Coordination

### 11.2.1 Purpose

For large programs, management of coordination and interface activities between contracts is essential due to the potential impact to cost and schedule.

The CMM and Standard Specifications addresses the responsibilities of those entities involved on a single contract basis and often individual projects and contracts focus solely on the immediate scope of work within that contract. The need to recognize the effect of their progress on concurrent or sequential projects across the entire program is required to keep the "big picture" viable. Individual contract changes or modifications need to be assessed on the particular project with respect to the program in total and in consideration of the constraints of all third party entities.

With numerous utilities and third party entities involved in the WIS 441 Program, addressing the timing of all participants' needs and activities is of paramount importance to achieve the overall cost and schedule objectives.

### 11.2.2 Responsibilities

The WIS 441 Project Team defines physical contract limits and describes the scope of work for all elements of the respective contracts that require interaction or coordination with others.

The PM must be cognizant of these items and verify that they are fully understood by the respective contractors, starting with the Pre-Construction Meeting. Existing documents, such as the CMM and Standard Specifications, establish primary coordination responsibility with the individual PMs.

Individual Contractors address these issues when creating the Initial Work Plan and Critical Path Method Progress Schedule and adhere to the responsibilities outlined in 107.22 of the Standard Specifications. Sections 1.3 and 2.3 of the CMM supplement the Contractors' responsibilities in this regard.

The individual third party entities must participate in discussions and be capable of taking special action as necessary to keep all aspects of the WIS 441 Program on track. General duties and expectations are outlined in the CMM. Depending on the various agreements and cost recording requirements, appropriate records are kept for utility-related work, and the PM is responsible to verify that this is progressively addressed.

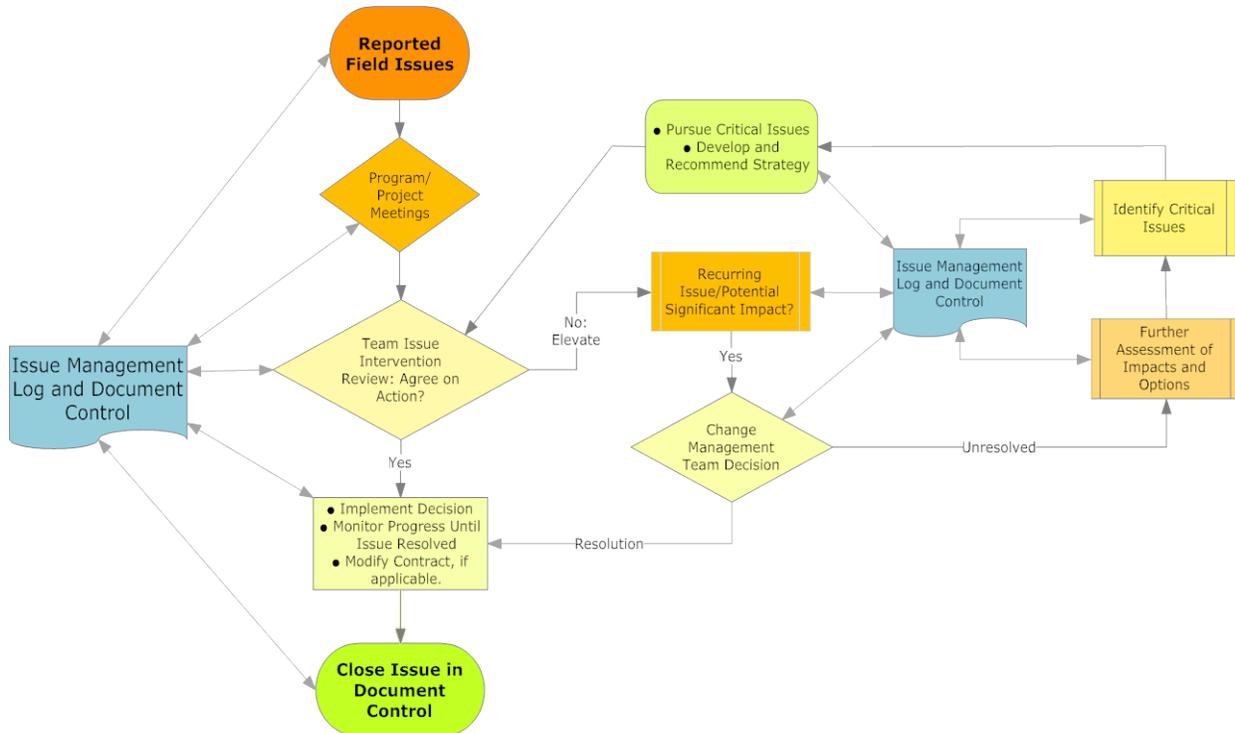
### 11.2.3 Procedures

Management of coordination is performed concurrently with program and project meetings such as Construction Progress, Utility, and Traffic Control meetings. The minutes for each meeting will outline actions required, due dates and contact parties for each item. These items will be tracked and followed-up on during subsequent meetings and interactions. Refer to **Figure 11.2.3.1 Issue Management Process** for the associated flow information.

Elevation of issues for resolution actively involves the WIS 441 project team at various levels, the designer of record as required, and FHWA throughout. Depending on the complexity of the issue, various

FHWA levels could participate in the resolution. When input from third parties, such as utilities and property owners, is necessary to bring issues to closure, the PM, PCL, and/or the real estate staff will meet with such entities and/or invite them to formal meetings with WIS 441 Project team to achieve a timely resolution in accordance with the Master Schedule objectives.

**Figure 11.2.3.1 Issue Management Process**



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### 11.2.4 QA/QC During Project Closeout

During Project Closeout and prior to the PCL finalizing and issuing the punch list, the PCL conducts a walk-through with maintenance or the local maintaining authority. Following the walk-through, the PCL coordinates with the PM to confirm that any quality deficiencies and potential maintenance items are included in the punch list.

All materials documentation will be reviewed and accepted by the Region Materials Engineer prior to final estimate approval. This verification will be made on the DT1310 form - "District Certification of Materials Used on Highway Project" with exceptions from standards noted.

### 11.2.5 Critical Inspections

The goal of construction inspection is to ensure conformance with the plans and specifications by verifying that all materials and workmanship are of acceptable quality and quantity. While continuous inspection of all work activities is not necessary or cost effective, some work dictates increased attention to inspections. It is the collective responsibility of the project staff to provide cooperative and proactive inspection of Contractor work ensuring the highest level of quality without undue impediment to Contractor progress.

The WIS 441 Project Team has identified Contractor operations that must have a *critical inspection* performed in order to validate and ensure a high quality finished product. These inspections must be performed in a timely manner to ensure the overall WIS 441 corridor project schedule can be met. The project's technical risks have been identified early on in a proposal management matrix, and are the basis for establishing the level of inspection required. The PCL shall be responsible for the timely completion and documentation of all inspection and testing requirements as detailed in the CMM, the Standard Specifications and Special Provisions.

### 11.2.6 Critical Inspection Activities

Critical inspection activities are generally described as those that require continuous inspection during all work. Critical activities are those where a defect is either impossible to identify after the work is completed or cost prohibitive to correct. Items that pose a unique safety, environmental or public relations risk are also critical activities. The following are examples of critical activities but not an all inclusive list.

- Structural steel erection and bolting
- Installation of Piling or Drilled Shafts
- Placement of concrete or HMA
- Placement and compaction of base courses or backfills
- Demolition or removals adjacent to or over live traffic
- Roundabout layouts, paving and pavement markings
- Any contract work with a potential to impact private property
- Construction of underground work that is immediately backfilled as work progresses (examples include utility pipe lines, storm sewer, electrical conduit, etc)
- Any work that has the potential to become a significant latent defect if not observed during the construction process and does not afford the opportunity for subsequent inspection due to access or Contractor rate of progress
- Application of painting, striping, or other markings where corrective action or subsequent removals would damage the finished work
- Work in or near an environmentally sensitive area
- HAZMAT, asbestos, etc.

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### 11.2.7 Critical Work Items

Critical work items shall be thoroughly inspected prior to additional work being completed that may otherwise obscure the work. Unlike critical inspection activities, critical work items may not require continuous inspection, but must be verified prior to placement of future work that will prevent inspection and measurement. The following are general examples of critical work items, however this list is not all-inclusive.

- Placement of reinforcement
- Formwork/False work
- Decking
- Excavations

### 11.3 Design Issue Resolution / Errors And Omissions

#### 11.3.1 Purpose

To establish a procedure to identify, investigate and document errors, omissions and deficiencies in consultant prepared construction plans and contract documents.

#### 11.3.2 Scope

The principle users of this procedure are the WIS 441 Construction Team members. They include the Design Issue Notice (DIN) Engineer, Project Development Chief, Construction Supervisor, Design Supervisor, Construction Project Managers (PM), Project Construction Leaders (PCL) and Engineer of Record (Designers).

#### 11.3.3 Definitions

**Design Issue Notice (DIN):** A notice provided to the Designer for the purpose of alerting the Designer of a design issue, to encourage Designers to actively participate in the issue resolution and to notify the Designer of the Department's preliminary position as to whether the hours to be spent by the Designer are billable. See **Figure 11.3.3.1** Sample DIN.

**Errors and Omissions (E&O):** Acts of negligence committed by the Designer in the performance of engineering design or creative work.

**Premium Costs:** The additional cost of a contract change that would not have been incurred if the work had been included in the original contract. More specifically, premium costs are dollar amounts paid to the Contractor for non-value work. Delays, inefficiencies, rework or extra work as shown below, other than those caused by the Contractor and/or his Subcontractors or suppliers, DOT and/or his engineering representatives will be considered as non-value added work. Non-value added work could occur in three distinct situations.

- **Work delays or inefficiencies** - premium costs are the total delay/inefficiency damages paid to the Contractor.
- **Rework** - premium costs are the dollar amounts of the original items of work that have to be removed and the costs to remove these items.
- **Extra work** - premium costs are computed as the net difference between the final agreed prices paid to the Contractor and the Engineer's Estimate (what the cost would have been had the extra work been included in the original bid at letting).

#### 11.3.4 Process Steps and Responsibility

The DIN Engineer, in conjunction with the Supervisors, Project Managers, Program Controls; and Finance Project Manager will work with the various WIS 441 construction team members to identify potential plan errors and omissions, and define their impacts on the project. The Project Controls staff

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assists the WIS 441 construction team with identification of potential E & Os and DINs as well as monitors the DIN Process. Once an error is identified and defined, the DIN Engineer will initiate the resolution process. Refer to **Figure 11.3.4.1 – DIN and E&O Flowchart** in conjunction with the following DIN and E&O Steps.

- *Step 1 – Discovery of Problem and Initial Notification*

The PM and the DIN Engineer shall promptly advise the Designer of any project issues for which the Designer may be liable through the use of the DIN which describes the design issue or question to be resolved. When the PM and DIN Engineer believe that project issues appear to have been caused by Errors or Omissions, they may further describe the project issues that may result in premium costs and contract time in the DIN. The DIN shall serve as official notification of E&O issues per FDM 8-25-25.

All DINs shall be sequentially numbered, within each project, by the Program Construction Controls. The DIN will be recorded and tracked by the Program Construction Controls in the **Design Issue Notices Log** (See **Figure 11.3.4.2**).

- *Step 2 – Resolution of Design Issue and Compensation Response*

As partners in the project, the PCL, PM, DIN Engineer, Designers and Prime Contractors may determine the appropriate course of action to resolve project issues. With input from the Designer, the PCL and PM will negotiate any additional cost and time required to implement the solution with the construction Contractor.

- *Step 3 – Assessment of Consultant Responsibility and Cost Impact*

After receipt of the Designer's response to the DIN, the DIN Engineer, Design Supervisor and PM shall review the consultant's scope of work, the professional engineering standards in effect when the contract was executed, project-specific information provided to the consultant, and any other Department instructions, to determine the consultant's responsibility for the project issues.

The PCL, PM, DIN Engineer, PDSD, and PDSC shall calculate the premium cost impact for Errors and Omissions, and assess consultant responsibility with input from the Designer.

- *Step 4 – Designers Official E&O Notification*

The DIN Engineer shall notify the Designer in writing of the Department's intent to correct project issues by contract modification. The letter shall clearly state the Department's assessment of the project issues defining the extent of error/omission, identifying project impacts, assigning the Designer responsibility, and requesting a meeting and written response from the Designer. (**Figure 11.3.4.3 Notice of E&O Assessment Letter**)

- *Step 5 – Recovery*

The PCL, PMs, Supervisors, and DIN Engineer shall evaluate the Designer's response to the E&O Notification letter to complete the assessment of consultant responsibility. Determining this may require several discussions between the PCL, PM, DIN Engineer and the Designer. If the Department determines that the consultant is not responsible for errors and omissions, the DIN Engineer shall promptly notify the Designer of the results and all reasonable costs incurred by the Designer during this process may be billable as post-design services. Refer to **Figure 11.3.4.4 Design Issue Notice and Error and Omissions Procedures for the associated flow information**.

In general, the Department should pursue the recovery of any premium costs that are the result of consultant errors and omissions. However, the extent of the Department's recovery effort should be guided by the anticipated recovery amount and the likelihood of a successful recovery effort. If, at any

point in the process, the Department decides not to pursue recovery, the DIN Engineer shall document the decision in the project file and notify the Designer, PCL, PM, Construction Supervisor. The Consultant may have valid reasons to dispute the Department's assessment of Errors and Omissions issues. The dispute shall be resolved using the responsible parties, at appropriate levels, listed in the escalation process.

Figure 11.3.3.1 – Design Issue Notice

<b>Wisconsin Dept. of Transportation</b>		<b>DESIGN ISSUE NOTICE</b>
		<b>No. 00005</b>
944 Vanderperren Way Green Bay, WI 54324-0080		Phone: (920) 492.0146 Fax: (920) 492.7707
<b>DATE:</b> 9/21/12	<b>TITLE:</b> DIN00005 Rebar Conflict B-5-658/660	<b>POTENTIAL CHANGES: QUANTITY PLAN</b>
<b>PROJECT:</b> 1133-03-71 Larsen Rd - Memorial Dr Mainline		
<b>TO:</b> Romenesko Engineering, LLC Attn: Tom Romenesko 7325 Cedar Crest Drive Sauk City, WI 53583 Phone: (608) 644.1502	Fax: (608) 644.1602	<b>STARTED:</b> 9/21/12 <b>COMPLETED:</b> 9/24/12 <b>REQUIRED:</b> 9/26/12  <b>CHANGE ISSUE:</b> BR0004
<b>ISSUE DESCRIPTION:</b> (Description of design issue in detail below)		
<p>After review ironworkers have come across an issue with the dimensioning of rebar in the pier caps for the flyover bridges. On structure B-5-658, Rebar P514 is needed to fit inside of P603 and P604 and this bar too appears to be too wide. The dimension that Construction think is needed in lieu of 2'-3" is 2'-1". Rebar P512 for structure B-5-660 is needed to fit inside of P603 and P604 and this bar too appears to be too wide. The current dimension is 2'-6" and Construction feels it should be 2'-4".</p> <p>Some of these bars have been ordered and are onsite. Please advise in regards to the appropriate dimensions, attached are the details for reference.</p>		
<b>Notice Issued By:</b> Wisconsin Dept. of Transportation		<b>Date:</b> 9/21/2012
<b>Signed:</b> _____ Eric S Gwidt		
<b>BASIS OF PAYMENT:</b> (Determined by WisDOT)		
<input type="checkbox"/> No additional compensation (Incidental to Design ID #		Design Supervisor Signature
<input type="checkbox"/> Compensation (ID# and/or WO#) _____		Signed: _____
Estimate of Cost \$0.00		
<b>DESIGNER RESPONSE TO COMPENSATION DETERMINATION:</b>		
Please check one of two boxes, provide comments if desired, sign form and return to WisDOT Project Manager within 3 business days.		
<input type="checkbox"/> I agree with Basis of Payment		<input type="checkbox"/> I disagree with Basis of Payment
_____ _____ _____		
<b>Designer Company Name:</b> _____		<b>Date:</b> _____
<b>Designer Representative:</b> _____		<b>Title:</b> _____

cc: WisDOT PCMC Document Control  
WisDOT Design Project Manager



Figure 11.3.4.1 - DIN and E&O Flowchart

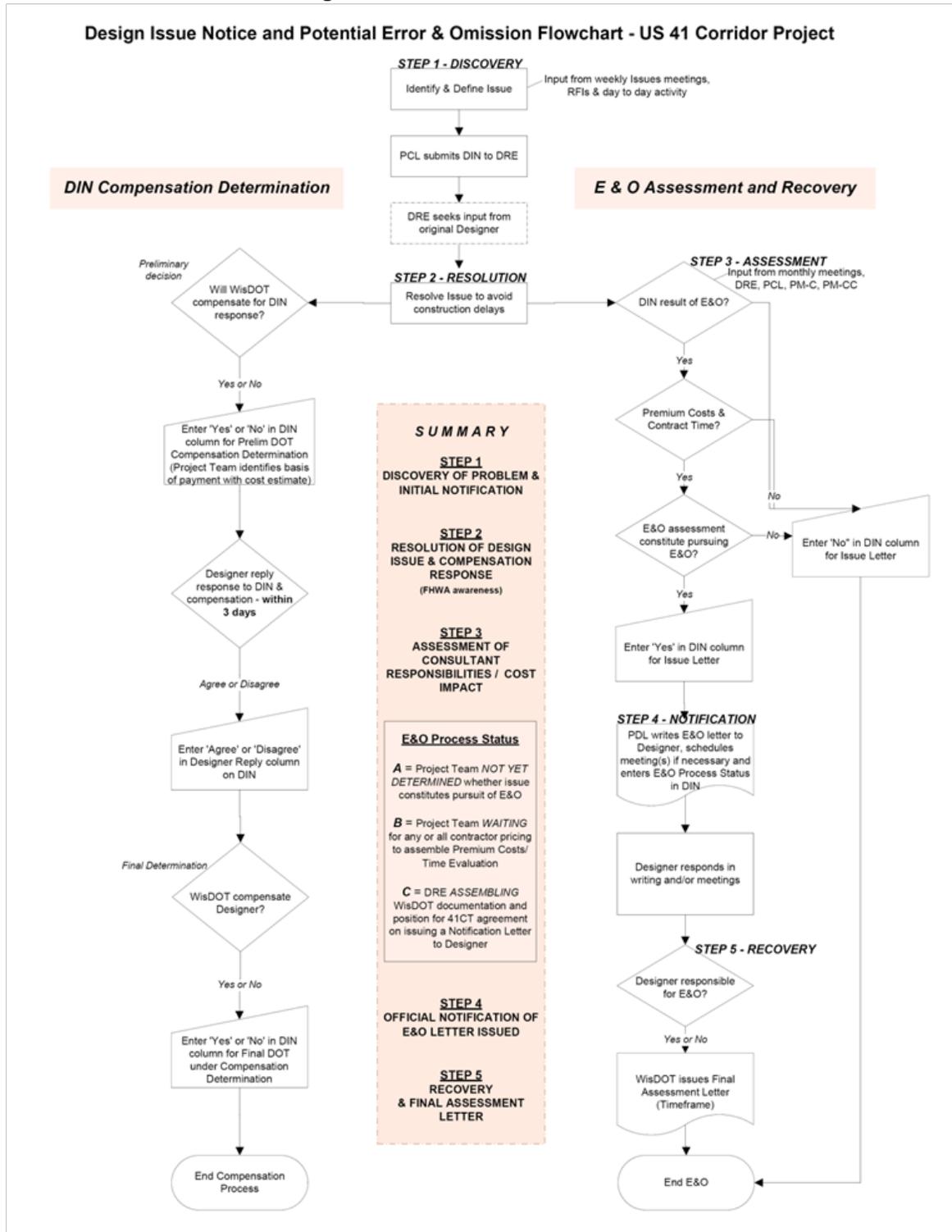


Figure 11.3.4.2 – Design Issue Notice Log

Wisconsin Dept of Transportation													
Multi-Project Design Issue Notice Log													
Number	To	From	Title	Issue	Status	Date	Responded	Req'd	DIN Compensation Determination			E and O Notification for Recovery	
									Prelim DOT	Designer Reply	Final DOT	Issue Letter	Letter Reference
<b>1120-09-82 - Wetland Mitigation Site</b>													
00001	WISDOT	WISDOT	Water Onsite, Seeding & E-mat Issue	DS0001 LD0001 LD0002	CLO	8/21/09	8/27/09	9/25/09			No		No
<b>1120-10-76 - STH 26 Crash Investigation Sites</b>													
00001	STRAND	WISDOT	CIS Slopes Issue #EW0001	EW0001	CLO	10/17/09		10/22/09	No				No
<b>1120-11-71 - Washburn St &amp; Witzel Ave (ARRA)</b>													
00001	WISDOT	WISDOT	Barsteel on B-70-278 Issue #BR0002	BR0002	CLO	9/8/09		9/15/09			No		No
<b>1120-11-72 - Fountain Ave/Snell Rd Overpass(ARRA)</b>													
00001	WISDOT	WISDOT	Bridge B-70-273 RFI #JPL0001	BR0002	CLO	9/2/09		9/10/09			No		No
00002	WISDOT	WISDOT	H-Pile in Wings B-70-273 RFI#JPL002	BR0003	CLO	9/8/09	9/8/09	9/15/09			No		No
00003	WISDOT	WISDOT	B-70-273 #2 Wing Wall Piles		CLO	9/9/09	9/9/09	9/17/09			No		No
<b>1120-11-73 - Fernau Ave, Snell Rd &amp; Stillman Dr(ARRA)</b>													
00001	CH2MHILL	WISDOT	Pond 45 Slope Grading Issue# RD034	RD034	CLO	9/15/09		9/22/09			Yes		No
<b>1120-11-74 - LkButteDesMortsDr &amp; SBGrading(ARRA)</b>													
00001	WISDOT	WISDOT	Bill of Bars Discrepancy RFI #HE001	BR002	CLO	8/26/09		9/2/09			No		No
00002	CH2MHILL	WISDOT	Cross Drains Issue #RD001	RD001	CLO	8/31/09	9/7/09	9/7/09			No		No
00003	CH2MHILL	WISDOT	Temporary Thrie Beam Issue #BR0004	BR004	CLO	9/9/09	9/11/09	9/16/09			No		No
<b>1133-06-73 - Stormwater Detention Pond</b>													
0002	HNTB	WISDOT	Storm Water Pond Clay Liner	EW0005	CLO	5/7/09		5/14/09	No				No



Figure 11.3.4.3 – Notice of E&amp;O Assessment Letter



Division of Transportation  
System Development  
Northeast Regional Office  
Mason St. Field Office  
1940 W. Mason St.  
Green Bay, WI 54303



Scott Walker, Governor  
Mark Gottlieb, P.E., Secretary  
Internet web site: [www.dot.wisconsin.gov](http://www.dot.wisconsin.gov)

Telephone: (920) 492-2222  
Facsimile (FAX): (920) 492-5807  
E-mail: [DOTUS41CEP@dot.wi.gov](mailto:DOTUS41CEP@dot.wi.gov)

«Correspond\_Date»

«Log\_Number»

«To»

«To\_Company»

«To\_Address\_Line\_1»

«To\_Address\_City\_State\_Zip»

**EXAMPLE**

**RE: Error and Omission Notice #####**

«Salutation»:

We have OR have not received your response to the Department's early notification of a project issue, identified as Design Issue Notice ##### on the above-referenced project. Thank you for OR We request your prompt assistance and response.

It is the assessment of the Department that design issues of this nature may impact project costs and contract time. Premium costs that do not add value to the project should have been avoided and the Department intends to pursue recovery of these costs.

The Department respectfully requests your assistance to fully evaluate the following issue and determine the appropriate course of action to continue contract administration. Please respond to this letter within ten (10) business days and state your position on the Department's assessment of costs and responsibility for the following Error and Omissions:

**Describe the Error and Omissions in detail based on issue and responses to DIN, and include DIN as an attachment, along with any other supporting documentation – plan sheets, contractor correspondence, etc.**

Sincerely,

«From»

«From\_Job\_Title»

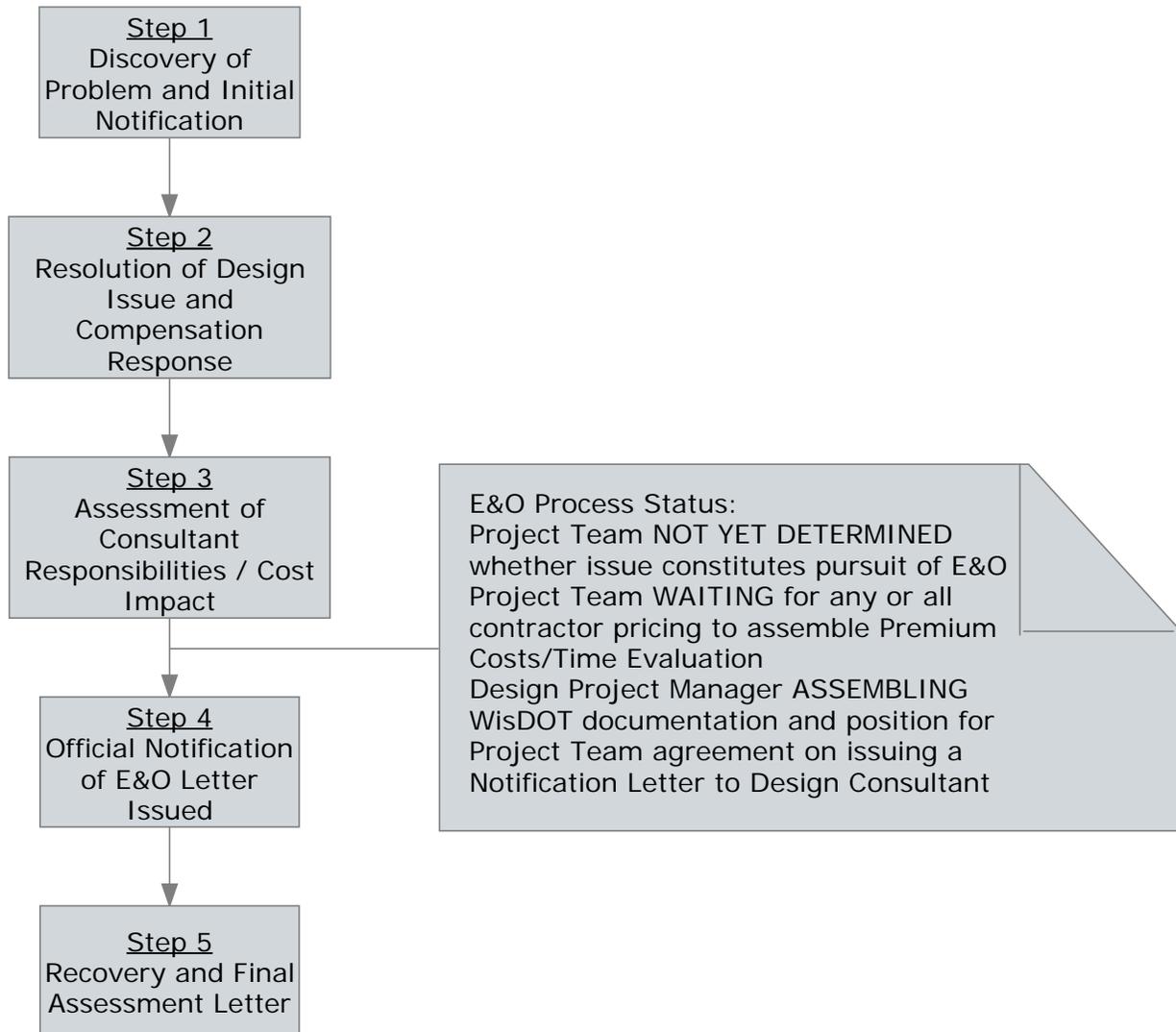
Project ID: «Project\_Number» - «Project\_Title»

cc: ????????, Designer  
????????, WisDOT Project Manager  
????????, WisDOT Program Scheduling  
????????, FHWA  
WisDOT PC Document Control

Figure 11.3.4.4 – DIN and Error & Omissions Procedure

**Procedures**

**Design Issue Resolution Procedures  
Errors and Omissions Procedures**



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## 12.0 Environmental Monitoring

### 12.1 General

#### 12.1.1 Purpose

Compliance with the National Environmental Policy Act (NEPA) and Wisconsin Environmental Policy Act (WEPA), as well as other statutory obligations, requires that agencies study the potential environmental impacts within the influence of the project. Analysis includes the evaluation and implementation of measures minimizing harm and enhancing benefits. The resulting defined environmental commitments are then set forth in the Project Management Plan ensuring inclusion in the design process and implementation during the construction phase. A proactive approach is incorporated into the oversight and inspection of the environmental work to assist in safeguarding against cost overruns and schedule delays. In addition, several permits may require ongoing environmental compliance, such as storm water management and wetland performance, once the facility is open to traffic.

The original WIS 441 Tri-County Freeway Corridor Study was completed in 2004. An environmental assessment (EA) was approved by FHWA in July 2004 and a Finding of No Significant Impact (FONSI) was approved in November 2004. Based on renewed safety concerns, WisDOT redesigned WIS 441 between Tayco Street and WIS 47 to flatten the mainline to 70 mph design speed. A new EA was written and the assessment was approved by FHWA on March 24, 2010 with the FONSI approved on May 19, 2010. A re-evaluation of the environmental document was submitted and approved on January 16, 2014.

### 12.2 Design

To maintain compliance with Wisconsin Facilities Development Manual (FDM) requirements for the environmental commitments, the WIS 441 Project Team will coordinate closely with the Wisconsin DNR, Army Corps of Engineers, Environmental Protection Agency, US Fish and Wildlife, and the USDA. To aid the WIS 441 Project Team in meeting the environmental obligations, the following will be incorporated into the design process:

- Attend bi-weekly WIS 441 program meeting to keep apprised of design schedule and permitting status
- Meet annually or as needed with the WisDNR WIS 441 liaison and Army Corps of Engineers
- Attend DNR region coordination meetings on an annual or as needed basis to address specific issues
- Manage and meet schedules for environmental document submittals
- Participate in public information meetings regarding environmental matters
- Participate in plan review meetings and comment on environmental items
- Coordinate the project design packages with the Region Environmental Unit concerning air/noise, erosion/storm water, hazmat evaluation, and wetlands.
- Accommodate the development of storm water ponds to meet the obligations of TRANS 401. The administrative code requires a 40% reduction in the post-construction loading of Total Suspended Solids (TSS) in project runoff.
- Mitigate the WIS 441 project's wetland impacts in accordance with WisDOT's Wetland Mitigation Banking Technical Guideline. The project team is pursuing various sites for the mitigation including the development of the Phase 3 Rubbert Site and a site within the Town of Neenah.

### 12.3 Construction

#### 12.3.1 General

Prior to the start of construction on each contract, the Project Manager (PM) and the PCL reviews the WIS 441 Project Environmental Assessment, Re-Evaluation, 404 Permit, 401 Water Quality Certification, Section 10 Permit, and project specific permits issued to determine what environmental commitments,

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mitigation measures and construction procedural constraints are identified and required for the respective construction contract limits.

### 12.3.2 Responsibilities

It is the collective responsibility of the PM, PCL, the WIS 441 Project Team, and the Contractor to maintain environmental compliance as governed by the project permits, agreements, and documents. In situations that may necessitate resolution, the PM, PCL, and Contractor(s) are collaboratively responsible for addressing and resolving the issues in accordance with established procedures and regulations.

As part of the Inspector's Daily Report, the PCL monitors and confirms compliance with the environmental obligations. In addition, the PM and/or Regional Stormwater Engineer performs unscheduled field visits to observe and validate the construction procedures.

The WIS 441 Project Team is responsible to maintain oversight and direct coordination with the respective State and Federal environmental permitting and regulatory agencies. Consistent with the WisDOT/WDNR Cooperative Agreement, the PM closely coordinates with WDNR staff alerting them to upcoming construction activities that could present potential environmental concerns. In this manner, proactive coordination is implemented and the WDNR staff time and resources are more effectively utilized.

On a weekly basis, the PM provides the WIS 441 Communications Manager with schedule updates of construction activities near locations of concern (sensitive receptors, sites of environmental commitments, and/or sites of third-party agreements). The WIS 441 Communications Manager disseminates the updated material to the respective media, local officials and various institution managers, ultimately avoiding adverse reactions to an unanticipated or unexpected event.

### 12.3.3 Hazardous Materials

The PM and PCL utilize construction schedules, EA documents and reports regarding hazardous substances to coordinate and plan responses should construction operations encounter or expose hazardous substances.

The locations of potential concerns regarding hazardous substances and the scheduled advance notification of work in those locations, is required from the Contractor and the PCL at the preconstruction meeting. Procedures and responsibilities for response when hazardous materials are encountered during construction (demolition or excavation) are set forth in the CMM, Chapter 2.13.1.7. Potential contaminated materials may contain trace amounts of industrial wastes, including fly ash, petroleum, chemical solvents, and lead from paints. Some materials and substances encountered may emit abnormal odors and not be considered hazardous substances. The PCL will carefully monitor hazardous materials, maintaining close coordination with the PM to avoid false presence calls to the Region Hazardous Waste Coordinator.

### 12.3.4 Noise

Noise impacts a project in two ways: traffic noise and construction noise.

A section of the WIS 441 Project is adjacent to residential neighborhoods where existing noise receptors border the right-of-way. These will be upgraded and extended based on the noise analysis for the corridor.

Construction noise reduction measures will be addressed based on location of the work and land use. In situations where night work is necessary to avoid traffic congestion during peak traffic periods, the PM will coordinate with the impacted municipality.

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### 12.3.5 Dust

Each contractor is required to comply with dust control measures mandated by the WisDOT Specifications. The proximity of residential and commercial land use warrants more focused dust control measures. The PCL will monitor dust and debris in the areas immediately adjacent to the construction work zone and material entry/exit points. The PCL will inform the Contractor responsible to address dust reduction through watering, effective sweeping and other measures acceptable to the WisDOT.

### 12.3.6 Air Quality

Construction activities can have a major impact on air quality beyond the project limits. While specifics are yet to be established, new requirements may be put into place that will affect contractor operations during WIS 441 construction. At this time, special provisions will be drafted to incorporate all such requirements and will be included in all future lettings.

### 12.3.7 Erosion Control Implementation Plan (ECIP)

WIS 441 project will follow the TRANS 401 and the WisDOT/DNR Cooperative Agreement regarding erosion control. The Project Manager is responsible, with input from Region Erosion Control Engineer, WDNR, and the PCL for reviewing and approving the contractor's Erosion Control Implementation Plan. The project manager is also responsible for reviewing and approving amendments to the ECIP. The Project Manager shall copy WDNR on approval of the ECIP to the contractor. The PCL is responsible for inspecting, monitoring and documenting the contractor's compliance with the Erosion Control Implementation Plan for the job site. The PCL is responsible for monitoring the installed erosion control devices and requiring the contractor to replace damaged, destroyed or non-functioning erosion control devices.

Weekly Erosion Control Inspections are the responsibility of the PCL(s) as assigned. Additional inspections are to be conducted during and after each ½" rainfall in a 24 hour period, and especially after major storm events to check the functionality of previously installed erosion control features and the need for additional devices. Documentation shall conform to all requirements of WisDOT's CMM, Chapter 6.

It is recommended for multi-year contracts that the PCL invite the WDNR to the project prior to the winter carry-over season to ensure compliance and good stewardship.

### 12.3.8 Vibration

All work along WIS 441 shall comply with all state and local vibration ordinances. Pre construction crack and damage surveys will be conducted.

### 12.3.9 Archeology

Archeological assessments were performed as part of the WIS 441 Project Environmental Assessment and EIS. Because the area is rich with cultural importance and sensitivities and given the location and history of the project site, subsurface construction may uncover potential artifacts.

The Contractor will be responsible for notifying the PCL if any archeological resources are unexpectedly exposed during excavation. The PCL will direct the Contractor to avoid disturbing the site and contact the PM. The PM will coordinate with the Region Environmental Coordinator and the Office of Business Opportunity and Equity Compliance.

For project actions such as bridge repairs occurring over and along the Little Lake Butte des Morts waterway, WisDOT will have an onsite archaeologist monitoring construction activities and submitting bi-weekly or monthly reports. In addition to archaeological monitoring, WisDOT has made following commitments:

- Extend an invitation for a tribal monitor

- 
- Provide a 7-day advanced notice to interested tribes for work occurring adjacent to or over Little Lake Butte des Morts waterway to allow for proper on-site monitoring and/or observance protocols. The work includes temporary causeway construction, approach work, and ground/water disturbance activities
  - Provide summary updates on work occurring adjacent to or over Little Lake Butte des Morts

### 12.3.10 Wildlife Hazardous Assessment

As part of recent coordination with Bureau of Aeronautics (BOA), Federal Aviation Administration (FAA), and United States Department of Agriculture (USDA), the WIS 441 project will coordinate its development of storm water ponds with FAA. According to FAA Advisory Circular 150/5200-33B, no wet ponds or other wildlife attractants can be developed within 10,000 feet of the Air Operations Area (AOA) of airports serving turbine-powered aircraft. Any wet pond between 10,000 feet and 5 miles of the Airport's AOA requires "Wildlife Attractant Analysis" by FAA/USDA. WisDOT will contract with USDA to perform the "Wildlife Attractant Analysis" after construction.

The Outagamie County Airport serves turbine-powered aircraft and lies within the 5 mile radius of the project. Due to the proximity of the airport, recurring meetings will be scheduled with the above mentioned stakeholders.

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## 13.0 Right-Of-Way

### 13.1 Purpose

The Wisconsin Department of Transportation's (WisDOT) real estate section acquires land for highway purposes. The acquisition process includes methods to obtain current information for all stakeholders used to negotiate and to reach satisfactory settlements, equitable to both the property owner and the public. The policies and procedures used are outlined in the WisDOT Real Estate Program Manual.

### 13.2 Procedure

#### 13.2.1 Right-of-Way Plat

The WIS 441 Team will prepare a corridor wide right-of-way plat during the preliminary engineering phase. Acquisition will be prioritized in line with the project's schedule. Plat development will follow the Facilities Development Manual Chapter 12. Following the plat development, landowners are notified via individual contact, business group meetings, and public information meetings to present the proposed designs and their impact to real estate along the corridor.

#### 13.2.2 Pre-Appraisal

Based on the right-of-way plat and prior to appraisal, all parcels requiring fee or easement acquisitions are temporarily marked (with lath) showing the limits of the land to be acquired. The property owners are notified via letter of the approximate dates of the marking, given a brochure titled "The Rights of Landowners Under Wisconsin Eminent Domain Law", and provided contact information for questions.

#### 13.2.3 Appraisal

For parcels with damages greater than \$10,000 in value or parcels that require more than a simple, non-complex valuation of the acquisition, a full narrative appraisal of the property to be acquired is performed by qualified appraisers on behalf of WisDOT. The owner is provided a copy of the appraisal prior to negotiations and has the right to have their own full narrative appraisal made by a qualified appraiser of their choice and at a reasonable cost paid by WisDOT. The property owners have the right to be present during the appraisal inspections and will be given the opportunity to accompany the WisDOT appraiser for the inspection.

#### 13.2.4 Negotiation

After the appraisals are completed, reviewed, and the offering price is approved, WisDOT will negotiate with the property owner or the owner's representative for purchase of the needed property. If a displacement results from the acquisition, the law requires that the owner receive an additional pamphlet on relocation benefits. A copy of the right of way plat is also provided to the owner at this time or before. If an agreement is made to purchase the property, WisDOT will send the owner the payment and a notice of their right to appeal. After the conveyance has been recorded, the owner will be mailed a copy of the recorded conveyance.

#### 13.2.5 Relocations

Persons or businesses that are displaced by the project (displacees) are entitled to receive relocation benefits. Benefits can be in the form of payments or services. Payments can include differential payments, moving payments, incidental expenses and reestablishment expenses. Services include providing information about the relocation process, advisory assistance, help with filing claims, and other services as may be deemed necessary to assist the displacee. Additional notices must be provided to displacees, including but not limited to the relocation rights brochure, formal notification of the services and payments they are eligible to receive, and assurances regarding occupancy and moving. Payments are made on a reimbursement, "spend to get" basis and require approval by a designee of WisDOT.

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### 13.2.6 Jurisdictional Offer

If negotiations do not lead to a purchase of the needed interest, a jurisdictional offer will be given to the owner and to any other party of interest (including any mortgagees of record) by certified mail. Included will be the amount of compensation to be paid for the property and any additional items payable, except for any payments made for relocation assistance, which should be claimed separately under Chapter 32.20. The owner has 20 days from receipt of the offer to accept or reject it. If the jurisdictional offer is accepted, the title will be transferred via conveyance and the compensation paid within 60 days. If the jurisdictional offer is rejected or no action is taken within the 20 day period, WisDOT will make an award of compensation (also known as an award of damages).

### 13.2.7 Appeals

A property owner has the right to appeal to the condemnation commission or the circuit court within six months after the date of recording of the conveyance. For a jurisdictional offer, a property owner has the right to appeal to the county condemnation commission or the circuit court within two years of the date of recording of the award of compensation.

## 13.3 Schedule Procedure

The status of individual parcels will be monitored through the use Primavera P6 scheduling. The milestones include appraisal completion dates, negotiation completion dates, and final acquisition dates. As the design per segment advances, the schedule will be reviewed and updated weekly to ensure progress is aligned with contract submittals. To facilitate acquisition, the design engineers meet with the real estate group and property owners during the appraisal phase to clarify the design impacts and finalize right of way commitments.

Right of way commitments are agreements that establish obligations to be satisfied by either the property owner or the Department. These clauses, which remain continuing obligations until the purchase agreement is fulfilled, are transferred from design to the construction team in two ways:

- Copies of the commitments are placed in the contract files by the real estate section
- The commitments are noted and discussed during the design/construction transition meeting

## 13.4 Right Of Way Certification Process

For each contract, the regional real estate manager prepares a Certificate of Right of Way document listing the parcels and the status of each which is submitted with the Plan, Specifications, and Estimate (PS&E) documents. This allows evaluation of any action required to obtain clearance by the date of advertising.

## 13.5 Corridor Right Of Way Requirements

Approximately 183 parcels of additional right of way will be required along the WIS 441 corridor. It is likely this estimate of right of way needs will change as the preliminary and final design progresses and a more accurate design level is implemented.

The following table provides a breakdown of the current real estate impacts:

Type of Property	Residential	Commercial	Vacant Land	Industrial	Local Agency	Utility	Church/Cemetery	School
Number of Property Owners	88	62	11	13	2	3	3	1

Of the 183 properties listed, 101 parcels require Fee, 4 parcels require Permanent Limited Easements, and 165 parcels require Temporary Limited Easements. Three parcels require Highway easements for the Wisconsin Central railroad.



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## 14.0 Safety and Security

### 14.1 General

#### 14.1.1 Purpose

Safety and health priority is a primary goal for the WIS 441 Project with maximum focus and attention on the safety and health of the designers, construction teams, contractors, the traveling public and official visitors to the construction site. Safety takes precedence over schedule and cost in the process of executing the program construction requirements. The WisDOT goal is zero accidents for all operations. In conjunction with the Department, the Contractors and Subcontractors must also be committed to a zero accident goal for all operations.

#### 14.1.2 Responsibilities

Safety and health is the responsibility of each Contractor and every employee on the job site.

Contractors are directly responsible for providing a safe working environment, protecting the work zone and traffic, and taking necessary corrective actions to address identified safety concerns. According to the State of Wisconsin Standard Specifications 107.1, Contractors shall "(2) Comply with all applicable federal, state and local health official rules and regulations governing safety, health, and sanitation, and provide all necessary safeguards, safety devices, and protective equipment. Take all other actions that are reasonably necessary to protect the life and health of employees on the project and the safety of the public."

### 14.2 Procedures

#### 14.2.1 Pre-Construction Safety

All consultant design firms working on the WIS 441 corridor shall have a company safety plan. If the company specific safety plan contains more stringent requirements than contained herein, workers shall follow their company safety plan.

It is recommended that all workers wear Personal Protective Equipment (PPE) consisting of CSA/ANSI Safety-Toed Boots, CSA/ANSI Safety Glasses or Goggles and CSA/ANSI Class 2/3 Reflective Traffic Safety Vest (yellow or orange). Workers subject to overhead hazards should also wear a CSA/ANSI approved Hard Hat.

At a minimum, all vehicles used for site visits shall be equipped with a yellow flashing rooftop light, which should be used when entering or exiting live traffic lanes, when parked on the shoulder, or slowly moving on the shoulder. Vehicles using the traveled lanes shall maintain an average running speed, refraining from creating any traffic disruption. Vehicles with a yellow flashing light may use the maintenance crossovers, however the use of crossovers should be minimized and utilized with extreme caution.

Site visits of less than a 2 hour duration in any one location do not require any warning signs. If the visit requires that a vehicle be parked in one location for more than 2 hours, SURVEY CREW signs shall be posted ½ mile in advance of the work area. The use of traffic cones is strongly encouraged.

If site work requires a lane or shoulder closure, traffic control devices used shall conform to the requirements of the applicable Standard Detail Drawings in FDM Chapter 16. Any lane or shoulder closures shall be coordinated through the WIS 441 Corridor Management Team in advance.

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## 14.2.2 Construction Safety

### 14.2.2.1 WisDOT Requirements

The WIS 441 Project Safety Manual, Safety and Health Program, and the CMM Chapter 1, Section 35 requirements, are used as a minimum criterion for safety. OSHA CFR 1926 and 1910, along with Wisconsin Department of Commerce, Wisconsin Department of Natural Resources, and Wisconsin Department of Agriculture, Trade and Consumer Protection, regulatory requirements also apply.

### 14.2.2.2 Weekly Meetings

Construction progress meetings will be held weekly. Contractor work plans for the week, safety issues, accident/injury-free performance, and weekly work schedules will be discussed. Meeting minutes and attendance will be recorded and distributed.

### 14.2.2.3 Project Construction Engineers / Leader(s)

The PCL monitors staff and subconsultants, both on-site and in the construction field office, for compliance with the safety procedures and wearing of approved personal protective equipment.

### 14.2.2.4 Incident Management

Incidents, whether related to, affected by, or adjacent to construction work zones in the WIS 441 Project, require an effective and efficient communication protocol and coordinated response. The WIS 441 Project Traffic Engineer will develop an Incident Crisis Communication Plan, and an annual Work Zone Incident Management Plan. These plans will be distributed to all affected and participating entities, including PCLs and the contractors' superintendents.

The Crisis Management Plan has a list of key project and WisDOT management personnel to contact in case of emergencies. The Plan is periodically revised to accommodate changes in contact telephone numbers and operational management changes. The WisDOT Traffic Engineer distributes the Crisis Management Plan updates to all affected and participating entities, including PCLs and contractor's project superintendents. The call list will identify the initial flow of communication between agencies, and response from Contractors and project construction leaders, Public Safety Agencies, and the State Traffic Operations Center (STOC).

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## 15.0 Traffic Management

### 15.1 Traffic Control

#### 15.1.1 Purpose

Traffic congestion occurring on the freeway will impact traffic conditions on adjacent roadways along the corridor. To minimize disruption, proactive use of managing and controlling traffic within the corridor and providing alternate routing can significantly increase the utilization of the existing roadway capacity, improve travel times, and promote safety.

WIS 441's traffic control plans provide for a minimum of two lanes of traffic in each direction throughout the daylight construction hours for the duration of the corridor project. Supplemental changes in traffic control from existing conditions through the completion of construction include:

- Closing or reducing lane width
- Closing or reducing the width of shoulders
- Shifting traffic from existing or established traffic patterns
- Reducing traffic speed from posted legal limits
- Changing vertical or horizontal clearance
- Reducing or temporarily restricting legal load limits
- Closing entrance and exit ramp closures or reducing the width of openings
- Temporary or permanent changes to traffic signs and pavement markings
- Temporary or permanent changes to traffic signals or any lighting modifications
- Removals or relocation of guardrails or concrete barriers

Additional construction management procedures required to facilitate consistent safe traffic control and coordinated construction work zone changes for the WIS 441 Corridor Project will be evaluated.

#### 15.1.2 Responsibilities

The Program Traffic Management Engineer will coordinate daily with the Project Construction Team Staff responsible for overseeing the implementation of the traffic control measures.

The WIS 441 Corridor Project Crisis / Incident Communication Plan sets forth the communication chain, agencies involved and contacts for coordinated public safety services response and situation management. The Traffic Management Engineer is responsible for coordinating and overseeing the traffic control plan implementation, maintenance, and changes through the completion of construction for each assigned contract.

Each WIS 441 Corridor Project Contractor is responsible for placing, maintaining and removing traffic control devices during each stage or phase of construction in accordance with the WisDOT Construction Plans and Specifications. The Contractor is responsible for submitting requests and obtaining prior written authorization for traffic control plan changes, modifications or stage advancement as stated in project schedules and correspondences. Changes in traffic control for advancement of construction require prior written approval and coordination with the Traffic Management Engineer in accordance with the timeframes listed in Section 15.1.5 Wisconsin Lane Closure System Approval Process.

The Traffic Management Engineer is responsible for reviewing and approving any proposed changes to the Traffic Control Plan. The Traffic Management Engineer and Project Manager are responsible for coordinating and approving all traffic control changes prior to implementation.

Project Construction Leaders shall review the plan and become familiarized with emergency protocols in the incident management plan.

The Northeast Region is responsible to enter special events into the special provisions that may impact traffic and are of concern when scheduling closures. The Traffic Management Engineer will coordinate requests appropriately to accommodate those events.

### 15.1.3 Traffic Control Changes – Notification, Coordination & Approvals Process

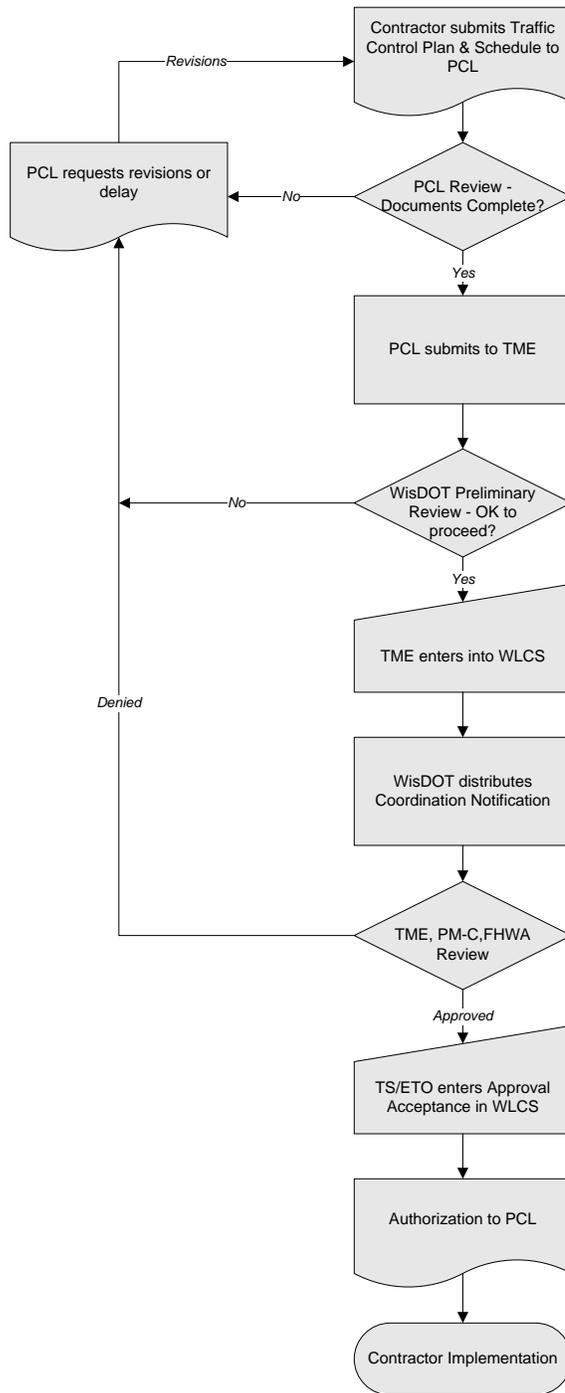
In order to maintain safe and efficient traffic movement through the WIS 441 Corridor Project work zone, it is required that all requests for changes in traffic control be coordinated and approvals communicated in advance of implementation.

The process for coordinating and obtaining authorized approval is detailed in **Figure 15.1.3.1 Traffic Operations Management Coordination & Approval Process**. It is intended that any changes in the traffic control implementation plan and construction operations be consistent with the WIS 441 Corridor Project Traffic Control Plan and normal progress of construction.

The Contractor will submit traffic control change requests to the Project Construction Leader who coordinates directly with the Traffic Management Engineer and the Construction Project Managers. At the weekly construction progress meetings, the Traffic Management Engineer and Project Construction Leaders will review, verify and coordinate changes to maintain an effective and documented traffic management plan. The Traffic Management Engineer will also notify the Northeast Region and the respective public safety and emergency service agencies.

Traffic control changes affecting horizontal or vertical clearances, speed limits and/or truck weight limits require approval. Bridge horizontal or vertical clearance measurements for all structures, including sign bridges, within the contract construction limits are required by the Central Office Bridge Permits Section and the NE Region - Maintenance. This information is placed in the bridge file, and used to issue permits for oversize (width and height) loads and update the Wisconsin Lane Closure System with bridge clearances. Vertical clearance measurements are taken when pavement height changes occur under structures, once the girders are placed for structures, after all bridge work is completed, and for sign bridges after all signs are erected. The PCL is responsible for obtaining these measurements. The Traffic Management Engineer is responsible for distributing them to Central Office and Maintenance.

Figure 15.1.3.1 Traffic Operations Management Coordination & Approval Process



PCL = Project Construction Leader  
 PM-C = County Construction Project Manager  
 TME = Program Traffic Management Engineer  
 TS/ETO = Traffic Supervisor / Emergency Traffic Operations Lead  
 FHWA = Federal Highway Administration  
 WLCS = Wisconsin Lane Closure System

### 15.1.4 Notification Timeline

The timeline for advance notification and approval authorization will depend upon the scope, the extent of impact, and the duration of the traffic control change.

The Project Construction Leader performs a preliminary review of the Contractor's request, and within five business days, the Project Construction Leader either submits the request to the Traffic Management Engineer for approval or returns the request to the Contractor for clarification and revision.

The Traffic Management Engineer reviews the request within five business days and either approves the request and notifies the Northeast Region Work Zone Traffic Control Engineer and the Project Construction Leader, or returns the request to the Project Construction Leader and Contractor for revision.

Traffic control changes, that are temporary, limited to nighttime hours, and are wholly contained within one Contractor's construction work zone limits, are reviewed and responded to within five business days and are coordinated with the Traffic Management Engineer in accordance with the Wisconsin Lane Closures Systems process.

Traffic control changes affecting horizontal or vertical clearances, speed limits and/or truck weight limits require ten business days for review and response, from the time the Traffic Supervisor / Emergency Traffic Operations Lead or the Project Construction Leader have accepted the Contractor's submittal.

### 15.1.5 Wisconsin Lane Closure System Approval Process

The Traffic Management Engineer is responsible for entering closure request information in Wisconsin Lane Closure System as the requestor. In consultation with the Work Zone Traffic Engineer, the Traffic Supervisor will accept or deny the closure. Assigned permissions reflecting this change will be updated in the Wisconsin Lane Closure System.

The following required lead times are critical and must be adhered to for all closures:

Wisconsin Lane Closure System Required Lead Times		
3 Business Days	7 Calendar Days	14 Calendar Days
Lane Closures	System Ramp Closure	Project Start
Service Ramp Closures	Local Street (opening/closing)	Full Freeway Closure
Extended Closure Hours		Construction Stage Changes
		Detours

If specified lead times are not met due to construction conditions, the STOC will be notified at their 24-hour phone line of (414) 227-2142.

### 15.1.6 Contractor Submittals

The Contractor will submit the following documents with each request to change traffic control:

- Written description of the proposed request
- Purpose or basis for the request
- Cost impact

- A plan depicting the proposed change, indicating critical controlling dimensions, transition lengths and traffic control devices to be used
- Verification that the plan complies with the Manual on Uniform Traffic Control Devices (MUTCD) and the supplemental Wisconsin Manual on Uniform Traffic Control Devices (WMUTCD).
- Schedule indicating the start date, duration and end date
- Submittal of Bridge Vertical and Horizontal Clearance forms are required for bridge within the contract construction limits - whether or not they will be worked on.

Submittals which request reductions in horizontal or vertical clearance, speed reductions and/or weight load restrictions will require assessment by a Professional Engineer, licensed in Wisconsin.

### 15.1.7 Traffic Management Plan (TMP)

To provide a smooth transition from the existing conditions to the finished proposed improvements, a Traffic Management Plan (TMP) is being established conforming to the Department's process noted in the Facilities Development Manual Chapter 11-50 (FDM 11-50). According to these guidelines, the WIS 441 project falls into a Type 4 category requiring the investigation of the overall work zone impacts, traffic control plans (TCP's), traffic operations, incident management procedures, coordination with special events and public information outreaches. The plan will provide the concepts and procedures for managing the work zone activities during the construction phase with respect to each specific project.

Due to possible changes based on the scope of work and available funding, the report is considered a "living" document. The TMP will be updated throughout the design process and the construction phase as it approaches completion. It will be finalized following the post construction discussions when the effectiveness of the plan is evaluated and comments are incorporated.

Strategies will be defined during task force meetings scheduled per let contract. The TMP stakeholder task forces will identify work zone management needs and recommend methods to address them.

Success of the WIS 441 corridor's TMP will depend upon:

- maximizing the traffic operational and safety benefits resulting from the selected methods for incident management and freeway operations, local street traffic operations, transit, and public information
- implementing the TCP in the field ensuring that the pavement markings, signing, and traffic control devices are installed, maintained safely and according to plan
- providing well timed updates to the public information program concerning traffic pattern changes and impacts due to construction-related activities

## 15.2 Incident Management & Emergency Transportation Operations

### 15.2.1 Purpose

WisDOT Northeast Region is committed to providing and operating a safe and secure transportation system. Given the magnitude and duration of the WIS 441 Corridor Project and the traffic staging efforts and traffic volumes, the Corridor Team will participate in statewide traffic incident management and emergency transportation operations.

### 15.2.2 Responsibilities

The WIS 441 staff will be responsible for adherence to the processes and procedures contained within the WisDOT Emergency Traffic Operations Plan and basic knowledge of the Incident Command System.

### 15.2.3 ETO Training

To achieve the statewide emergency transportation operations objectives, WIS 441 Team leadership staff will participate in incident management and emergency response training as listed below and outlined in **Figure 15.2.3.1**. Along with the emergency transportation operations training, there is a 24-hour phone contact list established for the WIS 441 Corridor for contractors and construction staff which is in place for non-emergency and emergency situations.

**Figure 15.2.3.1**

Wisconsin Department of Transportation  
**Emergency Transportation Operations (ETO) Plan Awareness Training for  
 Major Construction Projects and Work Zones**

#### Background

When emergencies associated with severe weather, traffic incidents, construction, planned special events, and threats to security occur in the state, the Wisconsin Department of Transportation will be one of many agencies that will be called upon to respond to the situation. The Department's proactive response is guided by the Department's Emergency Transportation Operations (ETO) Plan. The ETO Plan is National Incident Management System (NIMS) compliant and describes how the Incident Command System (ICS) is utilized as a structure for response.

Each of the Department's Divisions and Executive Offices are likely to play a role in an emergency. As such, it is critically important that WisDOT staff, as well as those acting on behalf of the Department (e.g. consultants, contractors, inspectors, etc.) are aware of the processes and procedures associated with the ETO Plan. This is especially important for personnel working in the field.

#### Training Overview

This ETO training has been tailored for field personnel typically working in long-term construction/work zones. The two-hour course covers the fundamentals of the WisDOT ETO Plan and provides a high-level overview of the Department's response including terminology, roles and responsibilities, and processes. As a supplement and prerequisite to this training, it is highly recommended that personnel take the basic ICS training (ICS 100) offered on-line through the FEMA website at <http://training.fema.gov/EMIweb/IS/IS100A.asp>.

#### Training Agenda

1. Introductions, Purpose of Training (5 min.)
2. WisDOT ETO Roles and Responsibilities (15 min.)
  - Organizational
  - ETO-Specific
  - Statewide Traffic Operations Center (STOC)
3. Guiding Principles – The Incident Command System (10 min.)
4. Public Information Considerations (10 min.)
5. ETO Concept of Operations and Response Escalation (30 min.)
  - Local
  - Regional
  - Area (Statewide)
6. After-Action Reviews (10 min.)
7. Communications and Contacts (10 min.)
8. Questions, Answers, Discussion (30 min.)

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### 15.2.4 Emergency Transportation Operations Coordination

To enhance mitigating traffic incident impacts, a Freeway Service Team will assist as necessary for the WIS 441 project.

Weekly WIS 441 Corridor Project Traffic Management meetings will include a standing agenda item topic for Traffic Incident Management / Emergency Transportation Operations. When needed a discussion with Division of State Patrol and local law enforcement will be initiated.

The WIS 441 project will conduct Monthly Traffic Incident Management meetings, attended by local law enforcement and emergency responders (independent of the WIS 441 Corridor Project), and reference the WIS 441 Corridor Project as a standing agenda discussion item.



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## 16.0 Project Communications - Media and Public Information

### 16.1 General

#### 16.1.1 Purpose

A comprehensive communications program to address the importance of public involvement in all phases of the WIS 441 Corridor Project has been established. The program includes media and public communications processes that require all project team members to be as accurate and forthright as possible and to respond in a professional and timely manner. These characteristics help create a high level of communication required to successfully maintain the media and public's trust, support, and confidence.

The Public Involvement Plan (PIP) functions as a tool that enables project members to provide a consistent message and theme to the public throughout the corridor, and to outline a flow of communications to and from project staff. The PIP includes "traditional" outreach methods through newsletters, public information meetings, web site, social media, and non-traditional outreach such as small group meetings with business groups and advisory groups.

#### 16.1.2 Procedure

The successes of the project development efforts are built upon the proactive and comprehensive public involvement communications program. The goals are to develop and maintain open lines of communication with all interested and affected agencies, communities, organizations, citizens and to generate a broad understanding of and support for WIS 441 project actions. The Project Team endeavors to maintain consistent messages and project themes to reduce public confusion and avoid misinterpretation. Functionality and ease of use of all communication formats are consistently reviewed and updated to better serve the intended audiences.

Some of the key strategies that are included in the communications program are:

- Maintain a proactive project public involvement staff. The WIS 441 Project Manager and staff, and the WIS 441 Project Communication Manager are responsible for all public involvement and media efforts for the project. All external communication is coordinated by this team in order to maintain consistent information and allow the project delivery team to effectively speak with "one voice". The WIS 441 Project will maintain a public involvement staff that coordinates messages, announcements of major milestones, target audiences.
- Collaborate with Office of Public Affairs (OPA) other state/local public relations offices to ensure that media and public inquiries about the project are routed to the appropriate staff, so that sufficient and timely information on the project is provided to these and other contact points where the public and media expect good information
- Provide project status information to the media and public, including scheduled milestone completion dates, an annual newsletter regarding the project, significant contracts advertised, awarded, or completed; and total cost projections
- Convey updated commuter and traffic information, including traffic pattern changes, periods of lane closures, traffic delays, work zone accidents, alternate routes available, and alternate forms of transportation available
- Provide timely responses to media and public questions and requests for information. Provide assistance to the communities and other stakeholders in developing ownership and pride in the project, by building awareness and helping them understand the benefits of the project

## 16.2 Public Involvement and Communications

The processes and procedures to execute the communications program strategies have been developed.

### Public Involvement Information Resources

Tool	Description	Use
<b>Brochures</b>	Brochures will be developed for distribution to the public as well as for use at public meetings.	For general distribution, small and large meetings.
<b>Newsletter</b>	Schedule annual newsletters to inform public regarding upcoming year's construction. The newsletter will include information on the project development process, scheduled milestones, public input opportunities, brief reports on meetings that have occurred, etc. The newsletter will be a single-sheet, front/back copy.	For general distribution and public involvement meetings (PIMs) and small-group meetings. The newsletters will be placed at grocery stores, banks and other businesses frequented by the public. The newsletters will be mailed to the project mailing list approximately three to four weeks prior to public involvement meetings.
<b>Project Briefs</b>	Project briefs will be short write ups about various aspects of the WIS 441 Project. These will be more frequently than newsletters as the project transitions into construction.	Briefs will be posted on the project Web site. They will also be used to inform the public, public officials and businesses about the project.
<b>Fact Sheets</b>	As a way of communicating with specific audiences, fact sheets will be prepared periodically to announce project milestones and provide information on specific audience/neighborhood issues. Fact sheets will also be used as a way of alerting the public of design or pre-construction activities planned for certain areas or neighborhoods. Fact sheets will be updated frequently and presented in a clear, concise and easily understood format.	Fact sheets will be used for public involvement and local meetings.  Fact sheets will be used as part of door to door literature drops.  Fact sheets will be made available for distribution in public places such as grocery stores, banks, libraries and other places frequented by the public.
<b>Technical Presentations</b>	Presentations will be developed to communicate updates on the study milestones, public involvement opportunities, schedule, and information contacts.	For use at PIMs and small-group meetings.
<b>Web Site</b>	The WisDOT project Web site will provide information such as meeting dates, meeting summaries, fact sheets, text from newsletters, frequently asked questions, and CSS and other committee materials.	To publicize information about the project to a broad audience.

Tool	Description	Use
<b>E-mail Distribution</b>	Information e-mails will be sent to stakeholders on the mailing list and elected officials as major project issues arise and as project milestones occur. A distribution list is developed and continually updated.	To distribute fact sheets, public involvement meeting dates, project updates and other information.
<b>Social Media</b>	Social media outreach will be sent to those on social media who friend us on Facebook or Follow us on Twitter. These short updates can be sent for real-time accidents and closures during the project.	To distribute real-time information about the project to people who specifically want the information.

### 16.3 External Communications Tools

A variety of communications tools are used to gather and distribute information, including revisions which address the new focus of work.

#### 16.3.1 Media Relations and Access

A media relations and access strategy for providing information to known media outlets has been developed. Protocol has been established for designated spokespersons to respond to media inquiries including coordinating the responses with project staff, WisDOT. Procedures for monitoring/tracking coverage, media briefings or conference have been developed. Strategies that link media relations with project processes that have direct public contact such as procurement and human resources have been implemented.

The Public involvement (PI) staff works closely with WIS 441 project engineers to coordinate media interviews and to ensure that the media receives accurate, clear and concise information. A project media list is regularly updated and includes: contact information, telephone and fax numbers, and e-mail addresses for major print and electronic media in NE Wisconsin. WisDOT also houses a list of statewide media.

Because of the magnitude and visibility of a federally funded, major project, the WIS 441 Project Team is also prepared to provide information to national and specialized media and respond to their requests for information.

#### 16.3.2 Targeted Individual/Group Meetings

The WIS 441 final project design and construction will require that the design engineers take a proactive approach in reviewing issues and collecting and disseminating information to affected individuals and groups. The engineers are encouraged to seek out opportunities to interact with community groups and make presentations to interested community organizations.

#### 16.3.3 Local Communities

Local community leaders and officials are updated as requested. A contact list of these officials, as well as state and federal legislators, is maintained to ensure inclusion in distributed information. These individuals are notified prior to any release of information that may generate a request for comment by the general public or the media.

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### 16.3.4 Minority Communities

Specific communication issues concerning minority communities are reviewed periodically by the project team. The project team will provide information in advance to any low-income, transit or disabled population that may need special services should a construction staging impact minority communities' transportation needs.

### 16.3.5 Public Meetings

Public meetings with stakeholders are held, as appropriate. As defined in the RFP's, the Project Managers/Engineers will be responsible for some meeting preparations and logistics during the final design and construction phases. Consultants may also arrange public meetings. No consultant information will be on public documents for meetings, per WisDOT policy.

### 16.3.6 Project Web site and E-mail

A WIS 441 project web site has been created and housed on the US 41 Project main website which is updated weekly or biweekly, as appropriate. The site is designed to be user friendly to a variety of user connections accessing data on the site.

The web site allows access to project information including construction progress photos, traffic updates, trip planning, project maps, project history, new technological accomplishments, and contact information. Emphasis is placed on what lies ahead for design and construction, and how the public can get information and make comments. The site also provides visitors with information for all aspects of work, including design, right-of-way, and pre-construction activities. As construction begins, a "what's new" link will be regularly updated concerning the latest developments, anticipated traffic contacts, and alternative routing.

E-mail and direct mail databases have been compiled and are regularly updated. The website, e-mail and direct mail are used to inform stakeholders about WIS 441 project developments, upcoming public events and comment opportunities.

### 16.3.7 Social Media

Social media is commonly used by stakeholders to gather and share information and, as a result, several social media platforms will be integrated into the WIS 441 Project. During the design phase, social media will play a supporting role in communicating to the public. As the project transitions from the design stage into construction, social media will then play a key role in informing the traveling public about construction updates, lane closures, accidents, alternate routes and other important corridor updates.

### 16.3.8 Speaking Opportunities

Various speaking opportunities arise during the course of design and construction. Project team members develop presentations tailored for specific audience interests and topics.

### 16.3.9 Informational Tools

Brochures are developed explaining the design and construction work, the schedule, and directions to access information. These are distributed to stakeholders, elected officials, government agencies, town halls, libraries, and other community gathering spots for further widespread public distribution. Progress bulletins, or one-page "announcements," are also developed as stand-alone documents or used as inserts into other materials (newsletters, brochures) to report "what's new" and advise on project developments, specific issues, and upcoming public events. A project logo, shown here, has been developed to help brand/identify the project.



**16.3.10 Targeted Messages**

Public service announcements using local media outlets are used to alert people to upcoming publications, the web site, and other avenues to obtain information.

**16.3.11 Target Audiences**

The WIS 441 Project communicates activities to the following audiences:

- General Public
- Businesses
- Industry
- Communities
- Elected officials
- Tourism
- Native American Tribes
- Low income/Transit/Special Needs
- DBE/MBE

Public service announcements are used to alert people to upcoming publications, the web site, and other avenues to obtain information.

Outreach for construction will be designed to reach the following groups:

Groups	Concerns/Issues/Information needs
Residents	Road closures, noise and vibration from construction, noise walls
Businesses	Maintaining access, business signage
State and Local Officials	Staying updated to respond to constituent concerns and questions. Clearly communicate where officials can find additional information and project resources
Freight	Lane closures, alternate route information, traffic congestion
Emergency Services	Closures, alternate route information
Institutions	Closures, alternate route information
Travelers	Travel times, closures and alternate route information

**16.3.12 Wisconsin 511 System**

Information will be provided to the Wisconsin 511 system concerning traffic management, diversions and lane closures during construction.

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## 17.0 Civil Rights Program

### 17.1 Policy Statement

The Wisconsin Department of Transportation actively implements all federal, state, local and departmental Affirmative Action and Equal Opportunity (AA/EEO) laws, executive orders, regulations, rules, directives, policies and plans. This commitment extends to all aspects of WisDOT personnel management policies and practices.

The Department further provides for the fair and equitable treatment of all employees and fair and equitable service to the public, in accordance with federal and state laws and other applicable provisions. The AA/EEO policy of the WisDOT is based on support of the goals and principles of AA/EEO. The Department actively pursues available means to make persons with disabilities, women, and ethnic minorities' part of its on-going culture and to eradicate discriminatory practices.

### 17.2 Purpose

The Department is committed to providing equal opportunity in all service delivery and prohibiting discrimination based upon protected group status. Equal opportunity in service delivery includes equal access to program services; equal benefits from program services; and equal treatment within program services. The WisDOT promotes Disadvantaged Business Enterprise (DBE) firm participation in prime and subcontract services. These efforts will enable DBE firms to enhance their service delivery and firms' capabilities. The WIS 441 Management Team is committed to insuring DBE goals are set and fulfilled by informing and educating existing and potential DBE firms of the opportunity to work on transportation related projects.

### 17.3 Responsibilities

The Department's Program Labor Compliance Officer (ERO) and Program Contract and DBE Bureau Chief are responsible for determining initial contract compliance and DBE firm certification and participation levels.

The ERO is responsible for tracking labor participation levels for each contract as reported by the Contractors, and enters the information in the Civil Rights Labor Compliance and Tracking Payment System.

The Program Cost Control Engineer compiles and reports DBE participation levels on a monthly basis.

The PCL's are responsible for identifying contractual items assigned to DBE contractors and tracking the payments to ensure the DBE commitments are achieved. The PCCT compiles DBE information collected from the PCL's and reports on the current and forecasted DBE participation.

The Finance Project Manager is responsible for implementation of the DBE program on the WIS 441 project. The Finance Project Manager will be responsible for communicating DBE results with stakeholders and for leading the DBE Business Committee meetings.

### 17.4 Procedures

#### 17.4.1 DBE Participation

The NE Region supports the fullest possible participation of firms owned or controlled by disadvantaged individuals and will coordinate with staff in the Office of Business Opportunity & Equity Compliance (OBOEC) to insure that DBE'S have an equitable opportunity to compete for contracts and subcontracts.

To assure maximum opportunity for participation of disadvantaged firms, the Management Team for the WIS 441 Project will:



1. Coordinate with the AA/EEO and Outreach Program staff of OBOEC to:
  - Develop a program to inform local and state-wide DBE firms on the WIS 441 Projects
  - Develop an inventory of DBE and small businesses that have potential capabilities to perform work on the WIS 441 Projects
  - Develop a program to inform minorities, ethnic groups, and tribes in the area of potential employment and business opportunities in the transportation industry
2. Develop and conduct an outreach program to:
  - Inform various minority and tribal communities of the opportunity for firms to bid and work on WisDOT projects
  - Inform minority and tribal owned firms of contacts within the transportation contracting industry
  - Educate minority and tribal owned firms on how to qualify to bid on WisDOT projects
  - Develop participation of community and tribes in the US 41 Advisory Committee and Subcommittee meetings
3. Coordinate with the Disadvantaged Business Utilization Program staff of OBOEC to:
  - Determine DBE firms capacity and qualification
  - Determine DBE participation goals based on items of work involved in each contract
  - Prior to the final design process, determine what items and types of work could be unbundled into a contract, which would provide DBE's the opportunity to bid as prime contractors
  - Prior to the final design process, develop a list of specific items in a contract that could be required to be subcontracted to DBE and small firms
  - Use MBE's as well as DBE's for appropriate opportunities

#### 17.4.2 DBE Participation Monitoring and Reporting

Each month, the Program Controls Team (PCT) compiles project cost data and tracks actual versus budgeted costs. As part of the cost analysis, the PCCE will tabulate the costs for each project or contract by DBE firm. This information is shared in DBE participation reports provided to WisDOT management and the designated parties monitoring DBE participation.

The Contractors Weekly Progress Meeting documentation includes the forecast participation of DBE Contractors and Subcontractors for each construction project and is reviewed in the recurring progress meetings. Forecasted DBE participation is compared to the actual goals and contractor committed DBE percentages to verify DBE participation is at the DBE goal levels. The PCCT also monitors construction consultant DBE participation to verify that the staffing is at the DBE goal levels.

#### 17.4.3 DBE Goal Setting

The Department will incorporate DBE goal setting for the WIS 441 program into the existing DBE goal setting and Committee process and structure used for US 41, which was established using processes and participants modeled after the Marquette Interchange Project.

Projects will be identified for DBE goals based on federal funding. Federal funding participation at the individual project level will be determined by BSHP in cooperation with FHWA and based on availability of funds.

The DBE Labor and Business Committees are comprised of stakeholders with interests in business development, DBE goal setting, labor development, and labor issues. The WisDOT OBOEC will continue to provide guidance, expertise, and explanations for WisDOT policies and objectives for DBE and Minority involvement. The committees will focus their efforts on the following tasks:

- Exchange and share information

- 
- Educate the community on WisDOT policies and procedures related to business and labor opportunities
  - Provide reality checks for WisDOT and stakeholders regarding WisDOT efforts
  - Make recommendations to the WisDOT Secretary regarding community expectations. Group consensus is required to forward a recommendation to the Secretary's office
  - Analyze potential for maximum DBE participation on WisDOT projects
  - Advise the secretary's office on policy/processes creating opportunity for DBEs on the WIS 441
  - Review information on issues affecting equitable workforce participation of women and minorities on the project .
  - Evaluate the construction site and subsequent institutions for barriers

The DBE Business and Labor Committees are tasked with:

- Reviewing and approving DBE goals in a public meeting, allowing input and discussion on the proposed DBE goals for the projects
- Providing a venue for interested community stakeholders to receive information on the WIS 441 project including topics of interest to the DBE firms
- Providing a venue for WisDOT to receive comments from community stakeholders and on minority and female labor participation and the DBE program established for the WIS 441 project

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## 18.0 Closeout Plan

### 18.1 Purpose

Advance planning is necessary to provide comprehensive documentation within a timeframe that enables efficient closeout of design projects, consultant contracts, and construction contracts. Considering the volume of the work, progressive and phased consolidation of closeout documentation is required in conjunction with the individual project durations.

### 18.2 Design Project Closeout Procedure

When the construction projects have been let, the encompassing project design id will be closed. Project design records will be retained in accordance with the Division of Transportation System Development guidelines set forth by the Business Management Division's approved Record Disposition Authorization 'Highway Design Project Records Schedule.

### 18.3 Consultant Contract Closeout Procedure

Consultant contracts will be managed and closed out according Chapter 8 of the FDM. The WIS 441 Consultant Contract Specialist generates and distributes a consultant contract report providing a list of open design contracts. The Contract Specialist uses the report to identify any associated design id's remaining open. Inquiries to the applicable supervisor will be made determining if the design ids can be closed. Once validated that there will be no additional charges made to the design id, the project id will be closed in FIIPS. When notified by WisDOT Central Office that a contract has been inactive for 3 months, the WIS 441 Consultant Contract Specialist will follow up with the applicable PM's regarding the status of the Consultant's contract.

Upon receiving notification from the Consultant that all services have been completed, the final invoice is prepared and submitted. Prior to notifying WisDOT Central Office, the Contract Specialist validates with the project's PM that the contract can be closed.

### 18.4 Construction Contract Closeout Procedure

Durations established for interim and final completion of project closeout documentation will follow the timeframes set forth in FDM 19-15-90 - Additional Special Provision 6 (ASP 6).

As construction of various pay items are completed, the Project Team will individually closeout those items and progressively compile the final documentation. Where stages of roadways are completed, all the relevant documentation will be consolidated and catalogued accordingly. To maximize efficiency, the process will parallel the Critical Path Method Schedule which includes the timing of phases, item completions and winter shutdowns. Closeout preparation activities for projects are initiated enabling the Construction Contract Administration Staff to identify documents required from the Contractor and establishing target dates for submission.

Upon completion of the construction project and submission of final documents from the Construction Contract Administration Staff, will monitor the timeframe set forth in ASP 6 for the remainder of the process ensuring closeout in a timely fashion and a prompt release of the remaining funds.

### 18.5 Final Inspections

. The following final inspection process is tailored to the large scope of the WIS 441 Project:

- The Project Managers are responsible for overseeing final inspections. Delegation is provided to the PCLs to conduct inspections on portions of a project or contracts and manage the preparation of required documentation.

- 
- Stakeholders may be invited to participate in the final inspections, including NE Region Maintenance Section and local maintaining authority (county or municipality). The Project Manager, with the assistance of the PCL, is tasked to arrange attendance by third party entities and handle any related actions.
  - CMM, Standard Specifications and other WisDOT procedures address the final inspection process from a technical and financial perspective.

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## 19.0 Project Documentation

### 19.1 Purpose

The WIS 441 Team files and maintains working data, documents, and communication records for the design and construction phases of all the associated projects. The guideline used for document control establishes uniform procedures for all incoming/outgoing printed documents, emails, hard copy and electronic submittals, and communications on projects greater than \$20 million.

### 19.2 Responsibilities

The entire WIS 441 Project Team, including the Department's staff, FHWA, Design Consultants, Project Construction Teams and WisDOT's technical / advisory consultants and contractors are responsible for forwarding all project related documentation to the WIS 441 Project's electronic project mailbox (WIS441@dot.wi.gov).

The Program Controls Administrator (PCA) is responsible for organization of documentation, overseeing the program and project document control process. The PCA ensures that consistent and standardized document control procedures are implemented and followed.

The Design Project Controls Specialist (DPCS) is responsible for scheduling, coordinating and documenting the bi-monthly design meetings, the monthly TSS and SPO coordination meetings, and distributing design related action items. The DPCS is also responsible for processing all electronic and hardcopy, incoming and outgoing, design project related information. This includes maintaining a current project design contacts listing.

The Construction Project Controls Administrator (CPCA) assists in the project startup and closeout, and functions as a project liaison ensuring reporting requirements are met. Responsibilities include:

- Monitoring progress and quality of the project control processes
- Developing standardized procedures
- Enforcing data consistency within Contract Manager
- Identifying program level issues and trends

The Construction Project Control Specialists (CPCS) are responsible for processing and maintaining all incoming/outgoing electronic and hardcopy construction project related information including:

- Emails
- Requests for information (RFIs),
- Contract modifications
- Erosion control diaries and orders
- Archaeological clearances
- Material certifications
- Notes for construction weekly progress meetings
- An up to date project construction contacts listing

### 19.3 Procedures

#### 19.3.1 Filing

The Department retains the original hard copy documents at the WisDOT NE Region Field Office. Hard copy materials are referenced by task or subject matter.

An FTP site has been established for standardized data exchange as detailed in the WIS 441 corridor manual. The site facilitates the transfer of electronic files between the field office, project consultants,

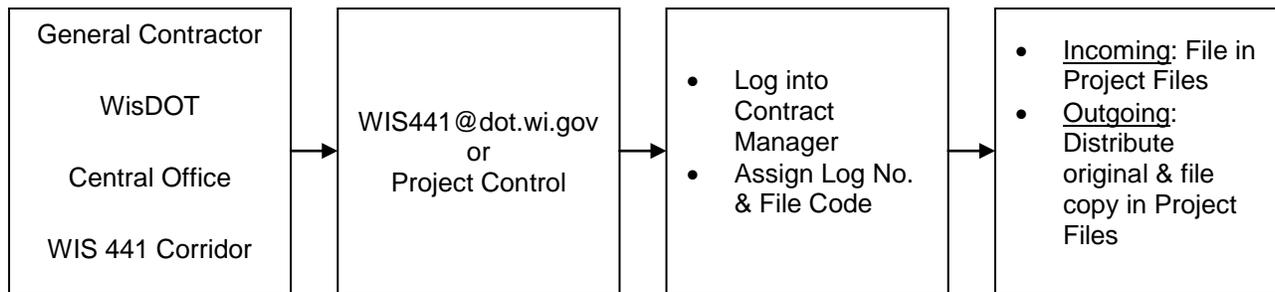
and central office staff. A mirror site, located on the Department’s server, provides access to the same information for the NE Region design staff. See **Figure 19.3.1.1** for the electronic file structure used on the project.

**19.3.2 Incoming and Outgoing Documents**

Incoming/outgoing materials are entered into Primavera Contract Manager in the Adobe Acrobat format (pdf). Each record is coded with the respective Document Control Log Number and Project File Code.

Hard copies of original documents, invoices or certifications are maintained in the project control center and filed by project id, file code and log number.

**Document Control System Incoming and Outgoing Document Flow Chart:**



**19.3.3 Submittals and Drawings**

Contractors, construction engineering consultants and other parties are responsible for providing submittals/drawings as stated in the Standard Specifications and Special Provisions specific to the construction project. All materials submitted to the PCL, or WisDOT staff, are copied to the Project Document Control Mailbox (WIS441@dot.wi.gov).

The standardized procedure for entering submittals is outlined in WisDOT’s NE Region Construction Controls Contract Manager User Guide. The PCS will communicate with the PCL to verify receipt of any submittals/drawings and provide a record of past and current submittals for review at the weekly construction progress meetings.

**19.3.4 Retrieving Documents on File**

Upon request, the PCS shall retrieve documents from the Project Control Center or Contract Manager system. The PCS will also assist in determining locations of documents if the exact Document Control Log number and/or File Code is unknown, by querying the Contract Manager system. The requested record will be provided, either via email with a PDF file attachment or a duplicated hard copy.

**19.3.5 Other Communication with Contractors**

Informal communications include off-record and/or telephone conversations directly between the Contractor and PCL or Project Management staff. To verify consistency with the documentation process described earlier in this section, the flow chart illustrated in **Figure 19.3.5.1 Contractor Initiated Communication Process** is applicable. The chart provides classification of issues, applicable level of input, direction, and controlled responses.

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## 19.4 Meetings

### 19.4.1 Purpose

With the number of meetings anticipated for the entire program, processes for planning, holding and documenting project meetings must be established. The intent is that meetings only be conducted when necessary and that they be kept as brief as possible to minimize demands on attendees and enable prompt distribution of notes/records.

### 19.4.2 Responsibilities

The designated person for individual meetings is responsible to arrange, conduct, document and distribute the respective meeting records. The Program Management Consultant Office Leader establishes the formats for weekly agenda and meeting records, and review meeting documentation.

### 19.4.3 Procedure

- Meeting Types

An initial listing of project meetings identifies recurring meetings, frequency, chairperson and attendees. This table will be reviewed and revised as the program progresses. (See **Figure 19.4.3.1 – Project Meeting Table**)

- Meeting Schedules

The Program Management Office Leader, with input from program participants, develops a monthly meeting schedule identifying dates, times and locations. Reoccurring meetings are scheduled for the same time and location at the specified frequency. Changes to the schedule are determined in advance so that participants are suitably notified.

Scheduling meetings using applicable software simplifies the process of arrangements and also will be customized to reflect the availability of meeting venues discussed in Section F below.

- Meeting Agenda

All meetings will have an agenda. It will be distributed a minimum of three days prior to the meeting or earlier, depending upon the frequency.

- Issues Log

On-going construction project and design issues will be identified and tracked. Issue logs will be distributed at appropriate meetings and discussed.

- Meeting Record

The Chairperson or designated recorder is responsible for documenting discussions and preparing final notes. The record is to be concise, summarizing the discussion topics and adding detail as necessitated to items requiring action.

Corrections to the meeting notes or record are made at the subsequent meeting, or if the meeting frequency is relatively low, they are implemented via written comment and subsequent reissue prior to the next meeting.

- Action Item Follow-Up

The purpose of meetings is to identify and resolve issues in a timely manner. Certain items will require action on a participant's part and follow up will be addressed as part of old business at the subsequent meeting to verify the status. When resolution has been determined, the item will be closed. Prior to the subsequent meeting, it is the Chairperson's responsibility to manage the follow-up on the action items to promote closure of the issues.

- Meeting Venues

With a project of the magnitude of the WIS 441 Project, early organization of potential meeting locations is important. Determinations will be made if the weekly project meetings are held in the WisDOT NE Region Office, at the WIS 441 Mason St. Field Office, or at the project construction field office located in the Fox Valley area.

Figure 19.3.1.1 WIS 441 Electronic Filing Structure

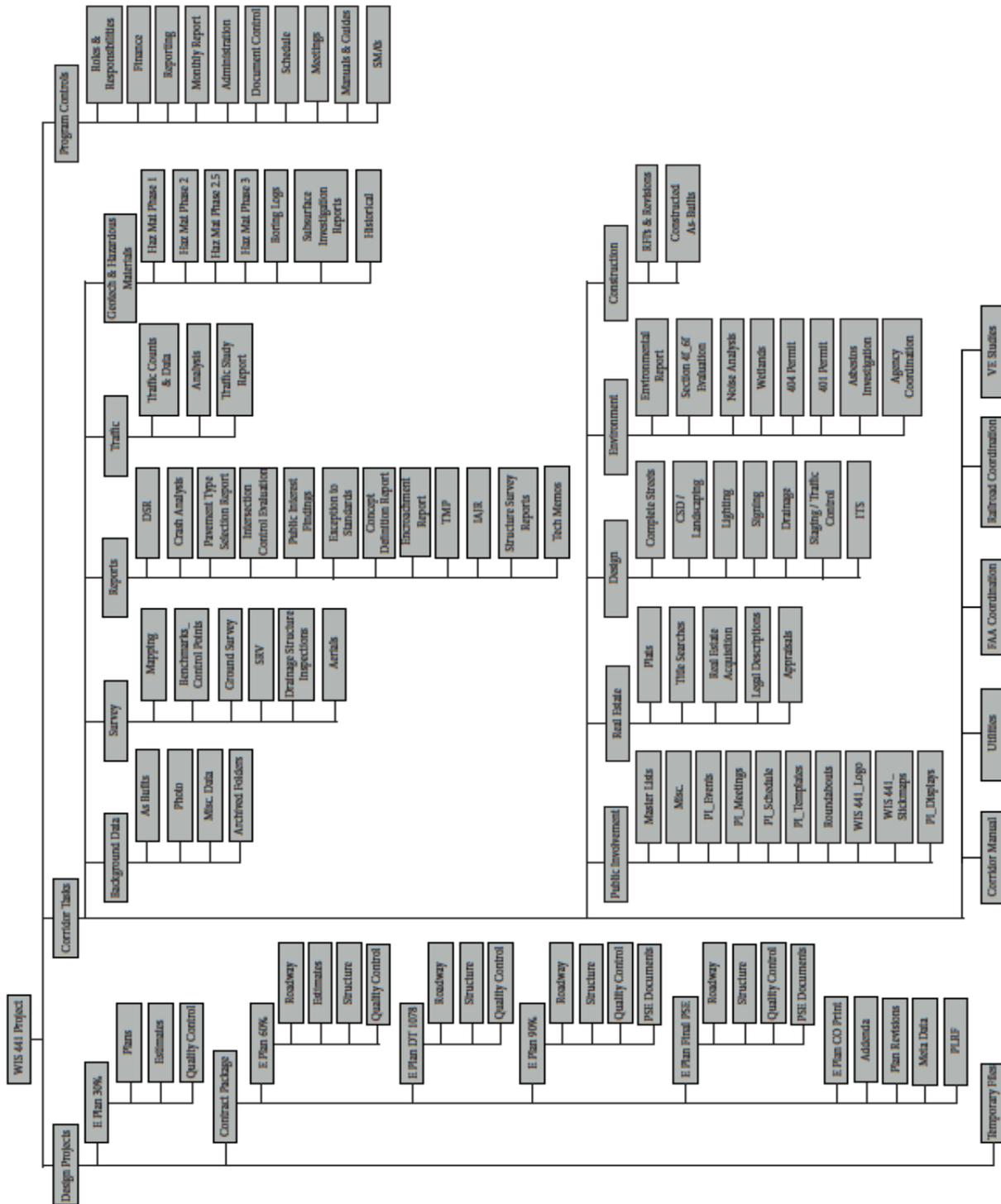
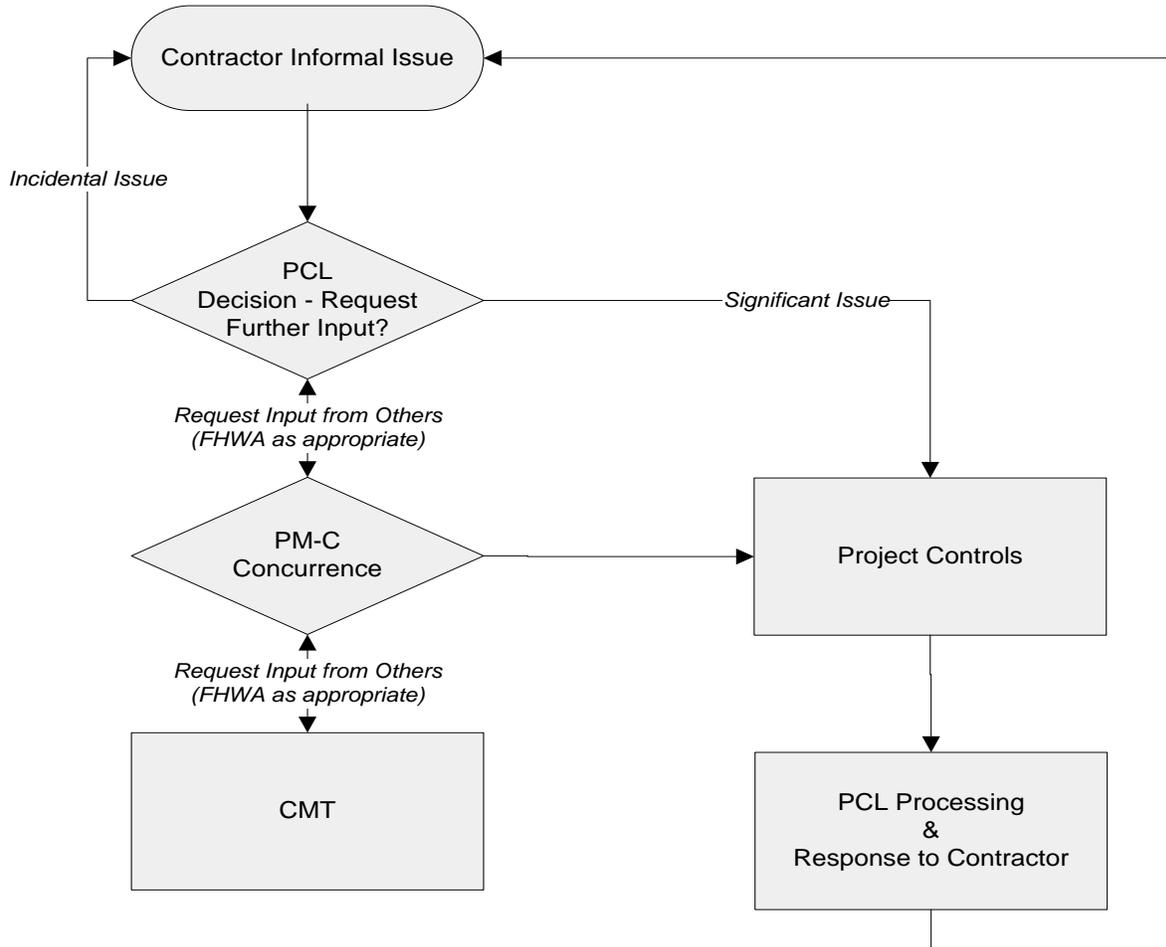


Figure 19.3.5.1 Contractor Initiated Communication Process



PCL = Project Construction Leader  
PM-C = Construction Project Manager  
CMT = Corridor Management Team

Figure 19.4.3.1 – Project Meeting Table

Type	Frequency	Chair	Attendees	Comments
Preconstruction	Once	Construction PM or Project Construction Leader	Contractors, PCLs, PM, DEC utilities, etc.	CMM Chapter 2, Section 26
Construction; Individual projects/contracts	Weekly	Construction PM/PCL	PM, PCL, Contractors	Each Contract Special Provisions Contractor Coordination Section
Construction PCL	Monthly	Construction Supervisor	FHWA, Supervisors, PM's, Cost & Schedule Staff	Use current Monthly Report as reference
Change Management	Monthly	Program Chief	Technical Advisor, FHWA, WIS 441 Team Chief and Supervisors, Region Management, Design PM, Cost Team	PMs and special presenters are required
Program Controls Team Meeting	Monthly	Program Controls Project Manager	Cost Control Engineer, Cost Control Specialists, Program Scheduler, Program Doc Control Specialist	Update status and team member workloads
Construction Schedule	Bi-Weekly	Construction Project Manager, PCL	Construction Scheduler, Contractor(s)	Assess status of controlling/critical item progress
Design Schedule	Bi-Weekly	Design Project Manager	Program Scheduler, Deputy Design Project Manager	Review and identify schedule critical activities, update design progress
Design	Bi-Weekly	Design Project Manager	Consultant Design Team	Review and address design issues and concerns, manage design progress
Project Leadership/Partnering	Monthly	Construction Supervisor/Project Manager	Leadership/Partnering Facilitator, FHWA, PCLs, Contractors, Utilities	
SPO/PDS Coordination	Monthly	Design Project Manager	PM's, DPM's, Consultant Design Team and SPO/PDS Division Leads	Review, identify and address project SPO/PDS related issues through the late design and construction phases of the project
TSS Coordination	Monthly	Design Project Manager	PM's, DPM's, Consultant Design Team and TSS Division Leads	Review, Identify, and address TSS related issues and concerns
Issue/Risk	Monthly	Program Chief	Region Management, WIS 441 Team Chief and Supervisors, PM's, DPM's, FHWA, Cost Team & Scheduler	Discuss program and staffing issues
Utility Coordination Meetings	Monthly	Design Project Manager	Utility Coordination Consultant, Region Utilities Coordinator, Utilities, Consultant Design Team	Discuss issues and their relation to the program team. Meetings held 3 <sup>rd</sup> Wednesday of each month
Real Estate/ROW Coordination Meetings	Monthly	Design Project Manager	Plat Coordinator, Real Estate Acquisition Coordinator, Consultant Design Team	Identify, prioritize, and coordinate execution of project parcel and easement requirements
Incident Management	Monthly	Traffic Engineer	PM's, DPM's, PCL's, Emergency Responders, and Public Relations PM	Coordinate and identify project areas of concern for local emergency personnel

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## 20.0 Utilities and Railroads

### 20.1 Utility Overview

Because utility facilities have shared state highway, local roads, and urban street right of way or adjacent lands, the potential for conflicts to accommodate reconstruction needs to be addressed. Relocations and conflict resolutions require coordination to minimize costs and impacts to projected schedules.

During the WIS 441 corridor study, a utility coordination process was initiated which follows the Wisconsin Administrative Code Trans 220, Facilities Development Manual (FDM) Chapter 18, and the WisDOT Guide to Utility Coordination. Department utility staff will coordinate with the public utilities to identify key locations of potential conflict with the project and work to complete relocations to allow for the project to move forward.

#### 20.1.1 TRANS 220 Process

The process of assessing utility impacts begins with identifying existing utilities within the corridor project limits and notifying respective owners of proposed highway improvements. The WIS 441 Team, the Consultant Utility Coordinators and the NE Regions' Utility Engineer obtain and review project plats and permit information to determine if the utilities are compensable or non-compensable for relocation.

Highway plans are provided to each utility company for use in identifying possible conflicts and determining resolution of actual conflicts. The plans are then stamped "Approved for Design of Utility Adjustments" and are transmitted using Form DT 1078, notifying the utilities that the project is a TRANS 220 project. Plan changes following the DT 1078 submittal may require re-submittal to the utilities. The updated plan set and a corresponding letter summarizing the changes is forwarded to the utility owners.

As a part of the utility coordination process, monthly Utility Coordination Meetings will be held with representatives from each utility in the project area. The intent of the meetings is to discuss and manage potential conflicts, project construction schedules, utility relocation schedules. The WIS 441 Team including the Consultant Utility Coordinators and the NE Regions' Utility Engineer will remain in close contact with each utility, monitoring key locations of concern with the proposed highway improvement.

Submitted utility work plans and agreements are reviewed by the Consultant Utility Coordinators, the NE Regions' Utility Engineer, the PM, and the team designer for compatibility with the design. If consensus is reached then the work plan is approved. If there are remaining conflicts, the parties meet to resolve the issues and expedite approval. The Consultant Utility Coordinators send work plan approval notices to the respective utility owners. Following right-of-way acquisition at each respective location, work plan start notices are sent to each utility with an approved work plan. Field reviews will be performed prior to, during, and after the utility relocation work is completed verifying that relocation work conforms to the approved work plan. When the utility work is completed and approved, invoices for final compensable payment will be processed for the relocated work.

### 20.2 Railroads Overview

The process of assessing railroad impacts was initiated with identifying existing crossings. During the corridor study phase, the rail lines near WIS 441 and along the west side of Little Lake Butte des Morts and along Racine Street to Midway Road were identified as requiring additional railroad coordination. The railroad line, Wisconsin Central LTD, was notified of the intent to reconstruct WIS 441 in these areas.

The NE Region railroad coordinator and the WisDOT Bureau of Rails and Harbors will continue to coordinate with the Railroad through construction to ensure railroad clearance is complete. Procedures outlined in the FDM Chapter 17 will be followed to allow for construction schedules to be met in these locations.

# APPENDIX 1 Project-Specific, Risk-Based Stewardship & Oversight Agreement



## Federal Highway Administration (FHWA) Wisconsin Division and Wisconsin Department of Transportation (WisDOT)

Project-Specific, Risk-Based

# Stewardship & Oversight Agreement *for*

## Tri-County Freeway Expansion Project (US 10/WIS 441) Master ID 1517-07-04

*This Agreement has been developed in response to FHWA's 2013 national initiative to implement a more risk-based approach to the stewardship and oversight of Federal-aid highway projects. This version of the Agreement was developed by the FHWA Wisconsin Division Office and the WisDOT Mega Project Team. This Agreement is considered a supplement to the March 2011 FHWA and WisDOT Statewide Stewardship and Oversight Agreement, with the components of this Agreement superseding equivalent components of the 2011 Agreement. The effective date of this Agreement is October 1, 2013. Although this Agreement is being implemented on October 1, some processes may need modification and further refinements of this Agreement may occur following additional collaboration with the WisDOT Statewide Bureaus. Following this additional collaboration, a final 2013 Agreement will be completed. The Agreement will then be reviewed and updated annually by June 1 of each year.*



Andrew Brinkerhoff, E.I.T.  
FHWA Project Oversight Manager

Date: 9/23/2013



Brian Roper, P.E.  
WisDOT Chief, Tri-County Freeway  
Expansion (US 10/WIS 441) Mega  
Project Team

Date: 9/23/2013

MAJOR (MEGA) PROJECT AGREEMENT for

**Tri-County Freeway Expansion Project  
(US 10/WIS 441) Master ID 1517-07-04**

Project Goals	Measures and/or Outcomes and Expectations
Apply Risk-Based Stewardship & Oversight (RBS&O) strategies	<ul style="list-style-type: none"> <li>• Tri-County Freeway Expansion project-specific Stewardship &amp; Oversight Agreement is implemented and evaluated</li> </ul>
Complete the project in a manner in which public trust, support and confidence are maintained	<ul style="list-style-type: none"> <li>• Public feedback and media coverage is generally positive</li> </ul>
Complete project with the highest degree of quality	<ul style="list-style-type: none"> <li>• Quality design delivered to maximize available funding</li> <li>• Materials and construction processes meet or exceed quality metrics</li> <li>• Materials testing requirements routinely met</li> <li>• Project meets expectations of stakeholders</li> </ul>
Complete project on time (within established schedule)	<ul style="list-style-type: none"> <li>• Project completed by Calendar Year (CY) 2019</li> </ul>
Complete project within budget	<ul style="list-style-type: none"> <li>• Project completed within \$0.59 billion budget</li> </ul>
Comply with federal & state requirements	<ul style="list-style-type: none"> <li>• Compliance with requirements</li> <li>• Compliance with remediation plans developed for any non-compliance issues</li> </ul>
Obtain & document all required approval actions in accordance with requirements (whether delegated to WisDOT or retained by FHWA)	<ul style="list-style-type: none"> <li>• Project files contain copies of all required approval actions as listed in this agreement</li> <li>• Proprietary products, salvage items, state furnished items, incentives/disincentives, liquidated damages, etc. approved at PS&amp;E submittal</li> <li>• ROW, Utilities or RR all clear prior to PS&amp;E submittal</li> <li>• Design exceptions documented &amp; approved</li> </ul>
Complete the project in a safe manner for both the individuals working on the project and the traveling public	<ul style="list-style-type: none"> <li>• Minimal reportable incidents and minimal traffic crashes within work zones (below average for similar construction projects)</li> </ul>
Manage the project in accordance with the PMP, WisDOT Major Project Guidelines and FHWA Major Project requirements	<ul style="list-style-type: none"> <li>• Adhere to the FHWA &amp; WisDOT agreed upon management procedures laid out in the PMP</li> <li>• Guidelines and Major Project requirements all followed</li> </ul>
Deliver the project using a diverse workforce and meet, or exceed, all DBE goals as defined by WisDOT in collaboration with business and labor groups	<ul style="list-style-type: none"> <li>• DBE goals met or exceeded</li> </ul>
Effectively identify, track and manage project risks	<ul style="list-style-type: none"> <li>• Risk register maintained with accurate representation of project risks and risks managed with minimal project impacts</li> </ul>
FPY 2014 Focus Areas (Based on Risk)	Measures and/or Outcomes and Expectations
Environmental Document Re-Evaluation	<ul style="list-style-type: none"> <li>• Environmental document Re-evaluation submitted &amp; approved no later than the Fall of 2013</li> </ul>

Final Interstate Access Justification Report (IAJR)	<ul style="list-style-type: none"> <li>Submitted &amp; approved following the Re-Evaluation approval</li> </ul>
Exception to Standards Report (ESR)	<ul style="list-style-type: none"> <li>Submitted &amp; approved no later than the Fall of 2013</li> </ul>
Final Cost Estimate Review (CER)	<ul style="list-style-type: none"> <li>Completed by December of 2013</li> </ul>
Project Management Plan (PMP)	<ul style="list-style-type: none"> <li>Submitted &amp; approved 90 days after Re-evaluation is approved</li> </ul>
Financial Plan	<ul style="list-style-type: none"> <li>Submitted &amp; approved prior to authorization of first federally-funded major construction contract (April 2014)</li> </ul>
Documentation of project records	<ul style="list-style-type: none"> <li>Thorough and well-organized project documentation</li> </ul>
Work zone traffic control	<ul style="list-style-type: none"> <li>Traffic maintained in accordance with TMP goals</li> <li>Limited traffic delays</li> <li>Minimal work zone crashes</li> <li>Existing or equivalent access to businesses and residences maintained during construction</li> </ul>
AJR & CCO Documentation	<ul style="list-style-type: none"> <li>Change justifications in AJRs are well-written &amp; easy to comprehend</li> <li>On AJR, Justification of Prices contains understandable explanation as to where costs originated &amp; confirms a prior cost estimate was completed by the Project Staff, which was compared to the Contractor's submitted costs</li> <li>When cross-referenced, the CCO portrays/covers the subject matter contained in the appropriate AJR(s)</li> </ul>
Consideration of E&O in CCO process and documentation of premium costs	<ul style="list-style-type: none"> <li>E&amp;O considerations documented in AJR along with premium costs (if CCO is attributable to design-related issues)</li> </ul>
Materials Testing	<ul style="list-style-type: none"> <li>Appropriate QC &amp; QV testing frequencies</li> <li>Non-conformance &amp; non-performance well-documented in AJRs &amp; CCOs</li> <li>Appropriate utilization of issuing credits to the Department OR removing &amp; replacing material</li> <li>Project results tracked for trends or patterns and issues appropriately resolved</li> </ul>
<b>FHWA Involvement</b>	<b>Measures and/or Outcomes and Expectations</b>
Complete required approval actions	<ul style="list-style-type: none"> <li>Approval actions completed in accordance with this agreement</li> </ul>
Perform routine construction inspections on elevated risk construction contracts	<ul style="list-style-type: none"> <li>Minimum of 3 inspections per construction season completed by FHWA on elevated risk construction contracts</li> </ul>
Participation in project management and oversight meetings	<p>Routine FHWA attendance and participation in the following meetings:</p> <ul style="list-style-type: none"> <li>Issue – Risk Meetings</li> <li>Change Management Meetings</li> <li>DOT/PCL Meetings (as available and applicable)</li> <li>TMP and Traffic Meetings (as available and applicable)</li> <li>Structures Coordination Meetings (as available and applicable)</li> <li>Construction Project Meetings (as available and applicable)</li> <li>Pre-Construction Meetings (as available and applicable)</li> </ul>

	<ul style="list-style-type: none"><li>• WisDOT Statewide Bureaus/FHWA Monthly Design Standards Meeting</li><li>• Oversight Committee Meetings</li><li>• WisDOT Mega/Major Project Meetings</li><li>• WisDOT Major Program Peer Committee</li><li>• Other Special Meetings as appropriate or as needed</li></ul>
Technical and program assistance as requested	<ul style="list-style-type: none"><li>• Timely assistance, that meets WisDOT expectations, provided</li></ul>
Additional reviews and evaluations	<ul style="list-style-type: none"><li>• Inclusion of Tri-County Freeway Expansion projects as part of FHWA program, major project, CAP, OIG, GAO and/or other reviews</li></ul>
Input in resolution of project issues	<ul style="list-style-type: none"><li>• Effective input provided</li></ul>

**MAJOR (MEGA) PROJECT AGREEMENT for  
Tri-County Freeway Expansion Project (US 10/WIS 441), Master ID 1517-07-04**

Although all PoCI and PoDI Mega projects have been selected to be of elevated risk (threat and opportunity), this does not mean that each of the project’s construction contracts will be considered to have that same elevated risk. As such, some of the construction contracts will be handled similar to Delegated projects, with any specific variances listed within this Mega Project Agreement. For each PoCI and PoDI Mega project, the FHWA Project Oversight Manager (POM) will work with the Mega Project Team to define all construction contracts as **Elevated Risk** or **Delegated**. This will be done based on contract packages and may be modified periodically as contract packages change. This effort will allow WisDOT to code and track projects in FIIPS. The following outlines how construction contracts will be defined for this specific mega project:

CONSTRUCTION CONTRACT TYPE	DEFINED CONTRACT TYPES for this MEGA PROJECT (List)
<p><b>Elevated Risk</b> Construction Contracts</p>	<p>(Example: All Mainline Contracts, All Interchange Projects, Major Crossroad Projects, Bridge/Structure Projects, etc.)</p> <p><b>Elevated Risk designation defined by Project ID’s (Some contract packaging aspects still TBD):</b></p> <p><b><u>System Interchange &amp; Bridge Over Little Lake Butte Des Morts (LLBDM)</u></b></p> <ul style="list-style-type: none"> <li>• 1517-07-71: US 10 Mainline (Coldspring Rd – US 41)</li> <li>• 1517-07-72: US 41 Interchange Grading</li> <li>• 1517-07-73: US 41 Interchange Phase 2</li> <li>• 1517-07-74: US 41 SB (WIS 441 – CTH II)</li> <li>• 1517-07-75: US 41 NB (WIS 441 – CTH II)</li> <li>• 1517-07-76: LLBDM Bridge B-70-403</li> <li>• 1517-07-77: LLBDM Bridge B-70-61 Re-decking</li> <li>• 1517-07-78: US 10/WIS 441 Mainline (LLBDM – Tayco St) Phase 1</li> <li>• 1517-07-79: US 41 Interchange Structures/Grading</li> </ul> <p><b><u>East of Little Lake Butte Des Morts</u></b></p> <ul style="list-style-type: none"> <li>• 1517-75-71: US 10/WIS 441 Mainline (Tayco St – Racine Rd)</li> <li>• 1517-75-72: US 10/WIS 441 Mainline (Racine Rd – Appleton Rd)</li> <li>• 1517-75-73: US 10/WIS 441 Mainline (Appleton Rd – Oneida St)</li> <li>• 1517-75-74: WIS 441 Mainline (Oneida St – Project Limits)</li> <li>• 1517-75-75: Racine Rd (CTH P) Interchange</li> <li>• 1517-75-79: Oneida St (US 10) Interchange</li> </ul> <p>Note: This designation as elevated risk only applies if the contracts are federally-funded. If any ID within the contract package is federally-funded, the contract is federally-funded. Any contract packages that are fully State and/or locally funded are fully delegated to WisDOT and will not include FHWA approvals or oversight during construction.</p>

CONSTRUCTION CONTRACT TYPE	DEFINED CONTRACT TYPES for this MEGA PROJECT (List)
<p><b><u>Delegated Construction</u></b> Contracts</p>	<p><i>(Example: All Other Contracts Not Listed as High Risk, Non-Major Crossroad Projects, Utility Projects, ITS Projects, TMP Projects, Landscaping Projects, Alternate Route Projects, etc.)</i></p> <p><b>All Other Contracts (Project ID's) Not Listed as Elevated Risk</b></p> <p>Note: For any contract packages where there is uncertainty, FHWA should be consulted. Initial assignment as elevated or delegated is based on current plans for contract packages. If contract packages change, this agreement may be updated to reflect changes in assignment of contracts as Elevated or Delegated.</p>
<p>Other Construction Contracts</p>	<p><i>(Use This Only if a Third Classification of Contracts is Needed to More Easily Define Approval Action Responsibilities)</i></p> <p>At this time, no unique contract types have been identified. However, any federally- funded unique contracts (steel procurement, service contracts, etc.) should be discussed with FHWA.</p>

**DETAILED PROJECT APPROVAL ACTION RESPONSIBILITIES**

Note: Gray- Shaded areas indicate pre-established responsibility where the action has already been delegated to WisDOT or the action is required to be retained by FHWA.

Approval Action boxes containing a dotted orange border  indicate a change in the approval authority from what was previously in place prior to October 1, 2013. This is to be utilized as an aid in assessing the new delegated approval authority with the Major Project Agreement in place.

APPROVAL ACTION	APPROVAL AUTHORITY					
	Main Design Project IDs <sup>^</sup>	Other Minor Design Project IDs <sup>^</sup>	Elevated Risk Construction Contracts	Delegated Construction Contracts	Other Construction Contracts	Additional Details/Variations
<b>FINANCIAL MANAGEMENT &amp; ADMINISTRATION</b>						
<b>Financial Management</b>						
Federal aid Project Authorizations Agreements, Advanced Construction, Modifications and Close-Outs	FHWA (1)	FHWA (1)	FHWA (1)	FHWA (1)	FHWA (1)	
All Vouchers (Progress Payments and Final) / Authorize Current Bill	FHWA (1)	FHWA (1)	FHWA (1)	FHWA (1)	FHWA (1)	
Funding Eligibility Determinations	FHWA	WisDOT (2)	FHWA	WisDOT (2)	WisDOT (2)	
FMIS Data (including FHWA-37) Verification	FHWA	WisDOT (2)	FHWA	WisDOT (2)	WisDOT (2)	
Financial Plans for Mega Projects [23 USC 106(h)]	FHWA					One Financial Plan for entire Mega Project. Updated annually; updated Financial Plan requires FHWA formal approval.
<b>Administration</b>						
Section 1.9 Waiver [23 CFR Section 1.9]	FHWA	FHWA	FHWA	FHWA	FHWA	
Cost Estimate Review for Mega Projects (NEPA Phase & Final Design Phase) [23 USC 106(h)(2) and January 2007 Major Project Cost Estimating Guidance]	FHWA					CER for entire Mega Project. Initial CER required in late NEPA stage and second CER required in final design prior to development of the Financial Plan.
<b>PROJECT DEVELOPMENT</b>						
<b>Environment</b>						
All ER, EA/FONSI, EIS/ROD, 4(f), 106 (adverse effects only) and Other Environmental Actions Required by Law	FHWA	FHWA	FHWA	FHWA	FHWA	Generally one NEPA document for entire Mega Project.
Section 106 (no adverse effect)	WisDOT	WisDOT	WisDOT	WisDOT	WisDOT	

APPROVAL ACTION	APPROVAL AUTHORITY					
	Main Design Project IDs <sup>^</sup>	Other Minor Design Project IDs <sup>^</sup>	Elevated Risk Construction Contracts	Delegated Construction Contracts	Other Construction Contracts	Additional Details/Variations
<b>Environment (Continued)</b>						
Programmatic Environmental Report (pER) Documents	WisDOT	WisDOT	WisDOT	WisDOT	WisDOT	
Categorical Exclusion (meeting 23 CFR 771.117 (c) criteria) Documentation	WisDOT	WisDOT	WisDOT	WisDOT	WisDOT	
<b>Right-of-Way</b>						
ROW Certificate 2 or 3 Exception at PS&E Approval [23 CFR 635.309 (c)(2)&(3)]	N/A	N/A	FHWA	WisDOT	WisDOT	
Air Space Agreements and Non-Highway Use and Occupancy [23 CFR 710.405 and 710.407]	FHWA or WisDOT (3)	FHWA or WisDOT (3)	FHWA or WisDOT (3)	FHWA or WisDOT (3)	FHWA or WisDOT (3)	
Control of Access [23 CFR 620.203(h)]. (Does not include Interstate access approvals which are covered below under Design).	N/A	N/A	FHWA	WisDOT (4)	WisDOT (4)	Although approval generally occurs in the design phase, approval responsibility is based on the type of construction project.
<b>Preliminary Design</b>						
Consultant Selection for Design and Specialty Contracts [23 CFR 172.5]	WisDOT	WisDOT	N/A	N/A	N/A	
PIF - Sole Source/Negotiated Consultant Contract Selection for Design [23 CFR 172.5(3)]	FHWA	WisDOT	N/A	N/A	N/A	
Consultant Agreements and Amendments for Design on Mega Projects [23 CFR 172.9]	WisDOT	WisDOT	N/A	N/A	N/A	<i>[Effective 10/1/2013. However, also exempts FHWA approval for any prior consultant agreements and amendments not previously approved.]</i>
Consultant Agreements and Amendments for the Use of Consultants in a Management Role [23 CFR 172.9]	WisDOT	WisDOT	WisDOT	WisDOT	WisDOT	<i>[Effective 10/1/2013. However, also exempts FHWA approval for any prior consultant agreements and amendments not previously approved.]</i>
New/Modified <b>Interstate</b> Interchange Access Determination of Engineering and Operations Acceptability [23CFR 625.4 & 49 CFR1.48 (b)(1)] - (minor interchange modifications assigned to WisDOT)	FHWA	FHWA	N/A	N/A	N/A	

APPROVAL ACTION	APPROVAL AUTHORITY					
	Main Design Project IDs <sup>^</sup>	Other Minor Design Project IDs <sup>^</sup>	Elevated Risk Construction Contracts	Delegated Construction Contracts	Other Construction Contracts	Additional Details/Variations
<b>Preliminary Design (Continued)</b>						
New/Modified <b>Interstate</b> Non-Interchange Access (emergency, maintenance, temporary construction, etc.) [23 USC 111]	FHWA	FHWA	N/A	N/A	N/A	
PIF – Airspace Clearance FAA [23 CFR 620.104]	FHWA (5)	WisDOT	N/A	N/A	N/A	
Request for Qualifications [23 CFR 636] Design Build, Public Private Partnerships Statement of Qualifications	FHWA	FHWA	N/A	N/A	N/A	
Safety Criteria (Roadside Design Guide & NCHRP 350) Assurance	WisDOT	WisDOT	N/A	N/A	N/A	
Value Engineering [23 CFR 627, SAFETEA-LU 1904]	WisDOT	WisDOT	N/A	N/A	N/A	
Agreement on Bike and Pedestrian Accommodation Exemptions [23 CFR 652]	FHWA	WisDOT	N/A	N/A	N/A	
<b>Detailed/Final Design</b>						
Design Study Report	WisDOT (6)	WisDOT	N/A	N/A	N/A	
Preliminary Plans for Major and Unusual Structures [23 USC 109(a)]	FHWA	FHWA	N/A	N/A	N/A	
Mega Project PMP (Project Management Plan) [23 USC 106(h)]	FHWA					Generally one PMP for entire Mega Project. Approval required prior within 90 days of final environmental determination.
Design Exceptions (13 controlling Criteria) [23 CFR 625.3]	FHWA *	WisDOT	N/A	N/A	N/A	*Only includes approvals that are on the NHS. <i>[* All exceptions on NHS regardless of funding source.]</i>
Use of Experimental Products or Processes (Pilot and Demo) 23 CFR 635.411	FHWA	WisDOT	FHWA	WisDOT	WisDOT	<i>[Retained by FHWA.]</i>
New/Modified <b>Interstate</b> Access Control Change - Final Approval [23 USC 111]	FHWA	FHWA	N/A	N/A	N/A	
PIF – Proprietary products and processes [23 CFR 635.411].	WisDOT *	WisDOT	WisDOT *	WisDOT	WisDOT	<i>[* Must follow FDM process and include WisDOT Bureau of Project Development approval. Informational copies of the</i>

APPROVAL ACTION	APPROVAL AUTHORITY					
	Main Design Project IDs	Other Minor Design Project IDs	Elevated Risk Construction Contracts	Delegated Construction Contracts	Other Construction Contracts	Additional Details/Variations
<b>Detailed/Final Design (Continued)</b>						
PIF - Publicly furnished materials or equipment [23 CFR 635.407 and 635.106].	WisDOT *	WisDOT	WisDOT *	WisDOT	WisDOT	<i>approved PIFs must be provided to FHWA prior to PS&amp;E submittal.</i>  <i>[* Must follow FDM process and include WisDOT Bureau of Project Development approval. Informational copies of the approved PIFs must be provided to FHWA prior to PS&amp;E submittal.]</i>
ROW encroachments - Use and occupancy of acquired ROW [23 CFR 710.401]	WisDOT (7)	WisDOT (7)	WisDOT (7)	WisDOT (7)	WisDOT (7)	
PIF - Use of Mandatory Borrow/Disposal Sites [23 CFR 635.407]	FHWA	WisDOT	N/A	N/A	N/A	
Salvage Value – Review of Salvage Value, Transportation Cost, and Use on Future Eligible Projects to Determine Applicability and Amount of Salvage Credit	WisDOT	WisDOT	WisDOT	WisDOT	WisDOT	<i>[Must follow FDM and CMM process and include complete documentation in project files. FHWA will review periodically.]</i>
Incentive/Disincentive Amount Justification [23 CFR 635.127]	WisDOT *	WisDOT	N/A	N/A	N/A	<i>[* Must follow standard practice and FDM guidance. FHWA may periodically review.]</i>
Liquidated Damages (rates subject to FHWA approval) [23 CFR 635.127]	WisDOT *	WisDOT	N/A	N/A	N/A	<i>[* FHWA program-level approval required on rates approved as part of Standard Spec 108.11. Project-level approval on any rates that are an exception to the Standard Specification rates is delegated to WisDOT. Informational copies of the approved Liquidated Damages must be provided to FHWA prior to PS&amp;E submittal. Include complete documentation in project files. FHWA may periodically review.]</i>
Innovative Contracting Requirements [SEP 14 & 15]	FHWA	WisDOT	N/A	N/A	N/A	<i>[Retained by FHWA.]</i>
Warranties [23 CFR 635.413]	FHWA	WisDOT	N/A	N/A	N/A	

APPROVAL ACTION	APPROVAL AUTHORITY					
	Main Design Project IDs <sup>^</sup>	Other Minor Design Project IDs <sup>^</sup>	Elevated Risk Construction Contracts	Delegated Construction Contracts	Other Construction Contracts	Additional Details/Variations
<b>Detailed/Final Design (Continued)</b>						
Compensable Utility Relocation [23 CFR 645 subparts A and B]	WisDOT	WisDOT	N/A	N/A	N/A	
Use of Consultants by Utility Companies for Compensable Relocation	WisDOT	WisDOT	N/A	N/A	N/A	
Utility Agreement Execution and Utility Status Report Completion [23 CFR 645.113, 119]	WisDOT	WisDOT	N/A	N/A	N/A	
Railroad Agreement Execution [23 CFR 646.216 (3)(d)]	WisDOT	WisDOT	N/A	N/A	N/A	
Utility or Railroad Force Account Work Agreement [23 CFR 645.113 & 646.216]	WisDOT	WisDOT	N/A	N/A	N/A	<i>[Effective 10/1/2013.]</i>
Maximum Railroad Protective Insurance Limits Exceptions [23 CFR 646.111]	WisDOT	WisDOT	N/A	N/A	N/A	
Transportation Management Plan (TMP) - Acceptance	WisDOT or FHWA *	WisDOT	N/A	N/A	N/A	<i>[*FHWA approval required on overall project TMP and any TMP associated with projects identified as elevated risk. All others to be approved by WisDOT. FHWA may periodically review.]</i>
<b>PS&amp;E and Advertising</b>						
Utility Certificate Exception at PS&E Approval	N/A	N/A	FHWA	WisDOT	WisDOT	
Clearance for Advertising for Bids (through PS&E Trak) [23 CFR 635.112]	N/A	N/A	FHWA	WisDOT	WisDOT	
Final Request for Proposal [23 CFR 636] Design Build and Public Private Partnerships.	N/A	N/A	FHWA	FHWA	FHWA	
Bid Analysis (Engineer Estimate Validation)	N/A	N/A	WisDOT	WisDOT	WisDOT	
Coast Guard Permit Requirement Exemption [23 CFR 650.805]	N/A	N/A	FHWA	FHWA	FHWA	
PIF - Advertising Period Less than Three Weeks [23 CFR 635.112]	N/A	N/A	WisDOT	WisDOT	WisDOT	<i>[Effective 10/1/2013.]</i>
PIF - Use of Contracting Method Other than Competitive Bidding [23 CFR 635.104 & 204]	N/A	N/A	FHWA	FHWA	FHWA	

APPROVAL ACTION	APPROVAL AUTHORITY					
	Main Design Project IDs	Other Minor Design Project IDs	Elevated Risk Construction Contracts	Delegated Construction Contracts	Other Construction Contracts	Additional Details/Variations
<b>PS&amp;E and Advertising (Continued)</b>						
Owner Controlled Insurance Program (OCIP)	N/A	N/A	WisDOT	WisDOT	WisDOT	
PS&E [23 CFR 630.205]	N/A *	N/A *	FHWA *	WisDOT	WisDOT	*Although approval occurs at the end of the design phase, approval responsibility is based on the type of construction project. <i>[* Completed PS&amp;E Checklist to be submitted by WisDOT at time of PS&amp;E submittal (pending implementation of established process).]</i>
<b>Contract Award and Construction</b>						
Contract Addenda (Except Addenda that Changes the Scope of Work) [23 CFR 635.112(c)]	N/A	N/A	WisDOT *	WisDOT	WisDOT	<i>[* Approved by WisDOT, but require Bureau of Project Development Approval. WisDOT review must consider federal eligibility and/or other federal requirements. Informational copies to be provided to FHWA prior to award of contract.]</i>
Contract Addenda that Changes the Scope of Work [23 CFR 635.112(c)]	N/A	N/A	FHWA	WisDOT	WisDOT	
Buy America Waiver [23 CFR 635.410].	N/A	N/A	FHWA	FHWA	FHWA	
Award of Contract Concurrence [23 CFR 635.114]	N/A	N/A	WisDOT (6)	WisDOT	WisDOT	<i>[Effective with November 12, 2013 let.]</i>
Rejection of All Bids Concurrence [23 CFR 635.114]	N/A	N/A	FHWA	WisDOT	WisDOT	
Contract Claims Concurrence of Settlement [23 CFR 635.124]	N/A	N/A	FHWA	WisDOT	WisDOT	
Termination of Contract Concurrence [23 CFR 635.125]	N/A	N/A	FHWA	WisDOT (6)	WisDOT (6)	
Consultant Selection for Construction Engineering [23CFR 172.5]	N/A	N/A	WisDOT	WisDOT	WisDOT	
CEF - Use of Force Account / LFA Agreement [23 CFR 635.204, 205]	WisDOT *	WisDOT	WisDOT *	WisDOT	WisDOT	<i>[* Must follow LFA and FDM procedures. Informational copies of Agreements for any federally-funded LFA work must be</i>

APPROVAL ACTION	APPROVAL AUTHORITY					
	Main Design Project IDs <sup>^</sup>	Other Minor Design Project IDs <sup>^</sup>	Elevated Risk Construction Contracts	Delegated Construction Contracts	Other Construction Contracts	Additional Details/Variations
<b>Contract Award and Construction (Continued)</b>						
						<i>provided to FHWA prior to execution of work.]</i>
PIF - Sole Source/Negotiated Consultant Contract Selection for Construction Engineering [23 CFR 172.5(3)]	N/A	N/A	FHWA	WisDOT	WisDOT	
Consultant Agreements and Amendments for Construction Engineering on Mega Projects [23 CFR 172.9]	N/A	N/A	WisDOT	WisDOT	WisDOT	<i>[Effective 10/1/2013. However, also exempts FHWA approval for any prior consultant agreements and amendments not previously approved. For elevated risk construction contracts, informational copies to be provided to FHWA.]</i>
Construction Engineering by Local Agency [23 CFR 635.105]	N/A	N/A	FHWA	WisDOT	WisDOT	
Errors and Omissions FHWA Participation Determination	N/A	N/A	FHWA	WisDOT	WisDOT	
FHWA Project Inspections	N/A	N/A	FHWA	FHWA (8)	FHWA (8)	
FHWA Final Inspection/Acceptance of Completed Work [23 USC 114(a)]	N/A	N/A	FHWA	WisDOT	WisDOT	
Administrative Contract Modifications (Change Orders)	N/A	N/A	WisDOT	WisDOT	WisDOT	<i>[Effective 10/1/2013.]</i>
Contract Modifications (AJRs) [23 CFR 635.120]	N/A	N/A	WisDOT FHWA *	WisDOT	WisDOT	<i>[*AJRs for all Contract Modifications on elevated risk construction contracts are to be sent to FHWA. FHWA will review and provide formal approval on all AJRs for elevated risk construction contracts. Once FHWA approves the AJR(s), the CCO is to be approved by WisDOT. If any items from the AJR(s) change from what was originally approved on the AJR(s) by FHWA, the CCO MUST then be formally approved by FHWA. Include complete documentation in project files. FHWA will review CCOs periodically to</i>

APPROVAL ACTION	APPROVAL AUTHORITY					
	Main Design Project IDs <sup>^</sup>	Other Minor Design Project IDs <sup>^</sup>	Elevated Risk Construction Contracts	Delegated Construction Contracts	Other Construction Contracts	Additional Details/Variations
<b>Contract Award and Construction (Continued)</b>						
						<i>make certain AJR approvals are being accurately represented in the WisDOT approved CCOs.]</i>
Contract Time Extension Change Orders [23 CFR 635.120 & 121]	N/A	N/A	FHWA	WisDOT	WisDOT	FHWA to approve contract time extensions in AJRs; CCO approval delegated to WisDOT. Any extension of overall Tri-County Freeway Expansion Project completion date (currently CY 2019) requires FHWA approval.
Materials Certification Acceptance [23 CFR 637.207]	N/A	N/A	FHWA	WisDOT	WisDOT	

- (1) Only applies to Federally-funded projects/project IDs
- (2) FHWA will verify through scheduled authorization reviews.
- (3) FHWA approval required on Interstate only. WisDOT approval required on NHS. For off-NHS projects, approvals, if any, will be those required by State laws, regulations, policies and procedures. However, this does not relieve WisDOT from responsibility for these areas, or from non-Title 23 federal requirements which may remain applicable.
- (4) Approval for all access control on the Interstate system is required by FHWA.
- (5) Applies to approval of PIFs for exceptions to clearances and standards. WisDOT has responsibility for airport and FAA coordination, assurance that clearances are adequate and assurance that the expenditure of public funds for airport and highway improvements in the vicinity of airports is in the public interest.
- (6) FHWA should receive informational copy.
- (7) FHWA approval is required for revocable occupancy permits for non-conforming outdoor advertising signs on the NHS.
- (8) Project inspections to be done through CAP reviews and process/program reviews.

<sup>^</sup> Main Design Project IDs are the IDs covering general PE work, either in the preliminary design or final design stage, and comprise the overall design of the project. *For the Tri-County Freeway Expansion Project (US 10/WIS 441) this includes the following ID: 1517-07-04. Minor Design Project IDs are those small design projects that cover very small components of the overall design. For the Tri-County Project (US 10/WIS 441) there are no Minor Design Project IDs and all design aspects are covered under the 1517-07-04 Main Design Project ID.*

**DETAILED PROJECT APPROVAL ACTION RESPONSIBILITIES FOR OTHER TYPES OF FEDERALLY-FUNDED, STAND-ALONE, MINOR  
PROJECTS THAT ARE PART OF THE MEGA PROJECT**

*Note: Gray -shaded areas indicate pre-established responsibility because the action has already been delegated to WisDOT or the action is required to be retained by FHWA.*

APPROVAL ACTION	APPROVAL AUTHORITY					
	Right-of-Way Projects	Utility Projects	LFA or SFA Projects	Railroad Crossing Projects	ITS Projects	Additional Details/Variations
<b>FINANCIAL MANAGEMENT &amp; ADMINISTRATION</b>						
<b>Financial Management</b>						
Federal aid Project Authorizations Agreements, Advanced Construction, Modifications and Close-Outs	FHWA (1)	FHWA (1)	FHWA (1)	FHWA (1)	FHWA (1)	
All Vouchers (Progress Payments and Final) / Authorize Current Bill	FHWA (1)	FHWA (1)	FHWA (1)	FHWA (1)	FHWA (1)	
Funding Eligibility Determinations	WisDOT (2)	WisDOT (2)	WisDOT (2)	WisDOT (2)	WisDOT (2)	
FMIS Data (including FHWA-37) Verification	WisDOT (2)	WisDOT (2)	WisDOT (2)	WisDOT (2)	WisDOT (2)	
<b>Administration</b>						
Section 1.9 Waiver [23 CFR Section 1.9]	FHWA	FHWA	FHWA	FHWA	FHWA	
<b>PROJECT DEVELOPMENT</b>						
<b>Environment</b>						
All ER, EA/FONSI, EIS/ROD, 4(f), 106 (adverse effects only) and Other Environmental Actions Required by Law	FHWA	FHWA	FHWA	FHWA	FHWA	Generally one NEPA document for entire Mega Project.
Section 106 (no adverse effect)	WisDOT	WisDOT	WisDOT	WisDOT	WisDOT	
Programmatic Environmental Report (pER) Documents	WisDOT	WisDOT	WisDOT	WisDOT	WisDOT	
Categorical Exclusion (meeting 23 CFR 771.117 (c) criteria) Documentation	WisDOT	WisDOT	WisDOT	WisDOT	WisDOT	
<b>Right-of-Way</b>						
ROW Certificate 2 or 3 Exception at PS&E Approval [23 CFR 635.309 (c)(2)&(3)]	N/A	WisDOT	WisDOT	WisDOT	WisDOT	
Air Space Agreements and Non-Highway Use and Occupancy [23 CFR 710.405 and 710.407]	FHWA or WisDOT (3)	FHWA or WisDOT (3)	FHWA or WisDOT (3)	FHWA or WisDOT (3)	FHWA or WisDOT (3)	

APPROVAL ACTION	APPROVAL AUTHORITY					
	Right-of-Way Projects	Utility Projects	LFA or SFA Projects	Railroad Crossing Projects	ITS Projects	Additional Details/Variations
<b>Right-of-Way (Continued)</b>						
Control of Access [23 CFR 620.203(h)]. (Does not include Interstate access approvals which are covered below under Design).	FHWA	WisDOT (4)	WisDOT (4)	WisDOT (4)	WisDOT (4)	Although control of access approval occurs in the design phase, approval responsibility is based on the type of project.
Functional Replacement of Property [23 CFR 710.509]	FHWA (5)	N/A	N/A	N/A	N/A	
Junkyard Control [23 CFR 751.25]	FHWA	N/A	N/A	N/A	N/A	
Outdoor Advertising Sign Removal Projects [23 CFR 750.307]	FHWA (5)	N/A	N/A	N/A	N/A	
Protective Buying and Hardship Acquisition [23 CFR 710.307, 503]	FHWA (5)	N/A	N/A	N/A	N/A	
Public Interest Finding (PIF) - Disposal of Federally Funded ROW [23 CFR 710.403, 409]	FHWA or WisDOT (3)	N/A	N/A	N/A	N/A	
Relinquishment of a Highway Facility for Continued Highway Purposes [23 CFR 620.201, 202, 203]	FHWA (5)	N/A	N/A	N/A	N/A	
Request for Credits for Early Acquisition of ROW [23 CFR 710.501]	FHWA	N/A	N/A	N/A	N/A	
Request for Direct Federal Acquisition [23 CFR 710.603]	FHWA	N/A	N/A	N/A	N/A	
Request for Federal Land Transfer [23 CFR 710.601]	FHWA	N/A	N/A	N/A	N/A	
Request for Waivers [49 CFR 24.204(b)]	FHWA (5)	N/A	N/A	N/A	N/A	
Withholding of Payments [23 CFR 710.203(c), 23 CFR 1.36]	FHWA (5)	N/A	N/A	N/A	N/A	
<b>Preliminary Design</b>						
PIF - Sole Source/Negotiated Consultant Contract Selection [23 CFR 172.5(3)]	WisDOT	WisDOT	WisDOT	WisDOT	WisDOT	
Consultant Agreements and Amendments for Preliminary Engineering on Mega Projects [23 CFR 172.9]	WisDOT	WisDOT	WisDOT	WisDOT	WisDOT	
High Risk ITS Project Development [23 CFR 940.11]	N/A	N/A	N/A	N/A	FHWA	
Low Risk ITS Project Development [23 CFR 940.11]	N/A	N/A	N/A	N/A	WisDOT	

APPROVAL ACTION	APPROVAL AUTHORITY					
	Right-of-Way Projects	Utility Projects	LFA or SFA Projects	Railroad Crossing Projects	ITS Projects	Additional Details/Variations
<b>Preliminary Design (Continued)</b>						
New/Modified <b>Interstate</b> Non-Interchange Access (emergency, maintenance, temporary construction, etc.) [23 USC 111]	FHWA	FHWA	FHWA	FHWA	FHWA	
PIF – Airspace Clearance FAA [23 CFR 620.104]	N/A	WisDOT	FHWA (6)	N/A	N/A	
Safety Criteria (Roadside Design Guide & NCHRP 350) Assurance	N/A	WisDOT	WisDOT	WisDOT	WisDOT	
Exceptions to Bike and Pedestrian Accommodations 23 CFR 652	WisDOT	WisDOT	WisDOT	WisDOT	WisDOT	
<b>Detailed/Final Design</b>						
Design Exceptions (13 controlling Criteria) [23 CFR 625.3]	N/A	N/A	FHWA	FHWA	N/A	*Only includes approvals that are on the NHS.
Use of Experimental Products or Processes (Pilot and Demo) 23 CFR 635.411	N/A	WisDOT	WisDOT	WisDOT	WisDOT	
PIF – Proprietary products and processes [23 CFR 635.411].	N/A	WisDOT	WisDOT	WisDOT	WisDOT	
PIF - Publicly furnished materials or equipment [23 CFR 635.407 and 635.106].	N/A	WisDOT	WisDOT	WisDOT	WisDOT	
ROW encroachments - Use and occupancy of acquired ROW [23 CFR 710.401]	WisDOT (7)	WisDOT (7)	WisDOT (7)	WisDOT (7)	WisDOT (7)	
CEF - Use of Force Account / LFA Agreement [23 CFR 635.204, 205]	N/A	WisDOT	WisDOT	WisDOT	WisDOT	
PIF - Use of Mandatory Borrow/Disposal Sites [23 CFR 635.407]	N/A	N/A	WisDOT	N/A	N/A	
Compensable Utility Relocation [23 CFR 645 subparts A and B]	N/A	WisDOT	N/A	N/A	N/A	
Use of Consultants by Utility Companies for Compensable Relocation	N/A	WisDOT	N/A	N/A	N/A	
Utility Agreement Execution and Utility Status Report Completion [23 CFR 645.113, 119]	N/A	WisDOT	WisDOT	WisDOT	WisDOT	
Railroad Agreement Execution [23 CFR 646.216 (3)(d)]	N/A	WisDOT	WisDOT	WisDOT	WisDOT	
Utility or Railroad Force Account Work Agreement [23 CFR 645.113 & 646.216]	N/A	WisDOT	N/A	WisDOT	WisDOT	

APPROVAL ACTION	APPROVAL AUTHORITY					
	Right-of-Way Projects	Utility Projects	LFA or SFA Projects	Railroad Crossing Projects	ITS Projects	Additional Details/Variations
<b>Detailed/Final Design (Continued)</b>						
Maximum Railroad Protective Insurance Limits Exceptions [23 CFR 646.111]	N/A	N/A	N/A	WisDOT	N/A	
Transportation Management Plan (TMP) - Acceptance	N/A	WisDOT	WisDOT	WisDOT	WisDOT	
<b>PS&amp;E and Advertising</b>						
Utility Certificate Exception at PS&E Approval	N/A	N/A	WisDOT	N/A	WisDOT	
Clearance for Advertising for Bids (through PS&E Trak) [23 CFR 635.112]	N/A	N/A	N/A	N/A	WisDOT	
Bid Analysis (Engineer Estimate Validation)	N/A	WisDOT	WisDOT	WisDOT	WisDOT	
Coast Guard Permit Requirement Exemption [23 CFR 650.805]	N/A	N/A	FHWA	N/A	N/A	
PIF - Advertising Period Less than Three Weeks [23 CFR 635.112]	N/A	N/A	N/A	N/A	WisDOT	
PIF - Use of Contracting Method Other than Competitive Bidding [23 CFR 635.104 & 204]	N/A	N/A	N/A	N/A	WisDOT	
Owner Controlled Insurance Program (OCIP)	N/A	WisDOT	WisDOT	WisDOT	WisDOT	
PS&E [23 CFR 630.205]	N/A.	WisDOT	WisDOT	WisDOT	WisDOT	
<b>Contract Award and Construction</b>						
Contract Addenda or Agreement Modifications (Except those that Change the Scope of Work) [23 CFR 635.112(c)]	N/A	WisDOT	WisDOT	WisDOT	WisDOT	
Contract Addenda or Agreement Modifications that Change the Scope of Work [23 CFR 635.112(c)]	N/A	WisDOT	WisDOT	WisDOT	WisDOT	
Buy America Waiver [23 CFR 635.410].	N/A	FHWA	FHWA	FHWA	FHWA	
Award of Contract Concurrence or Agreement Approval [23 CFR 635.114]	N/A	N/A	N/A	N/A	WisDOT	
Rejection of All Bids Concurrence [23 CFR 635.114]	N/A	N/A	N/A	N/A	WisDOT	

APPROVAL ACTION	APPROVAL AUTHORITY					
	Right-of-Way Projects	Utility Projects	LFA or SFA Projects	Railroad Crossing Projects	ITS Projects	Additional Details/Variations
<b>Contract Award and Construction (Continued)</b>						
Contract or Agreement Claims Concurrence of Settlement [23 CFR 635.124]	N/A	WisDOT (8)	WisDOT (8)	WisDOT (8)	WisDOT (8)	
Termination of Contract or Agreement Concurrence [23 CFR 635.125]	N/A	WisDOT (8)	WisDOT (8)	WisDOT (8)	WisDOT (8)	
Construction Engineering by Local Agency [23 CFR 635.105]	N/A	N/A	WisDOT	N/A	WisDOT	
Contract Time Extension Change Orders or Agreement Time Extensions [23 CFR 635.120 & 121]	N/A	WisDOT	WisDOT	WisDOT	WisDOT	
Errors and Omissions FHWA Participation Determination	N/A	WisDOT (8)	WisDOT (8)	WisDOT (8)	WisDOT (8)	
FHWA Project Inspections	N/A	FHWA (9)	FHWA (9)	FHWA (9)	FHWA (9)	
FHWA Final Inspection/Acceptance of Completed Work [23 USC 114(a)]	N/A	WisDOT	WisDOT	WisDOT	WisDOT	
Administrative Contract Modifications (Change Orders)	N/A	N/A	N/A	N/A	WisDOT	
Major Contract or Agreement Modifications (Prior Approval) [23 CFR 635.120]	N/A	WisDOT	WisDOT	WisDOT	WisDOT	
Contract or Agreement Modifications (Non-Major Change Orders) [23 CFR 635.120]	N/A	WisDOT	WisDOT	WisDOT	WisDOT	
Materials Certification Acceptance [23 CFR 637.207]	N/A	WisDOT	WisDOT	WisDOT	WisDOT	

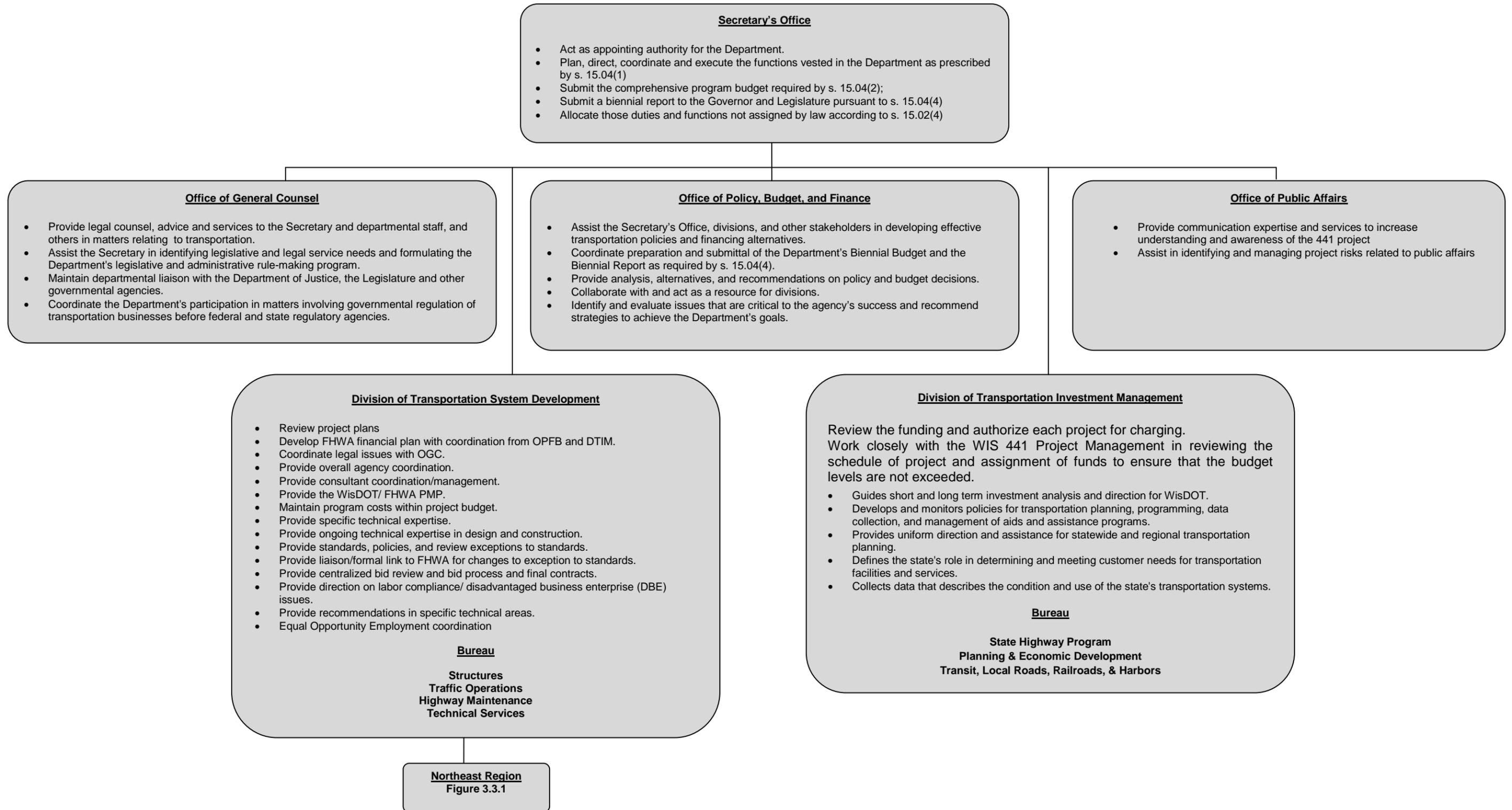
- (1) Only applies to Federally-funded projects/project IDs
- (2) FHWA will verify through scheduled authorization reviews.
- (3) FHWA approval required on Interstate only. WisDOT approval required on NHS. For off-NHS projects, approvals, if any, will be those required by State laws, regulations, policies and procedures. However, this does not relieve WisDOT from responsibility for these areas, or from non-Title 23 federal requirements which may remain applicable.
- (4) Approval for all access control on the Interstate system is required by FHWA.
- (5) Only if federal funds are used for right-of-way acquisition.

- (6) Applies to approval of PIFs for exceptions to clearances and standards. WisDOT has responsibility for airport and FAA coordination, assurance that clearances are adequate and assurance that the expenditure of public funds for airport and highway improvements in the vicinity of airports is in the public interest.
- (7) FHWA approval is required for revocable occupancy permits for non-conforming outdoor advertising signs on the NHS.
- (8) FHWA should receive informational copy.
- (9) Project inspections to be done through CAP reviews and process/program review

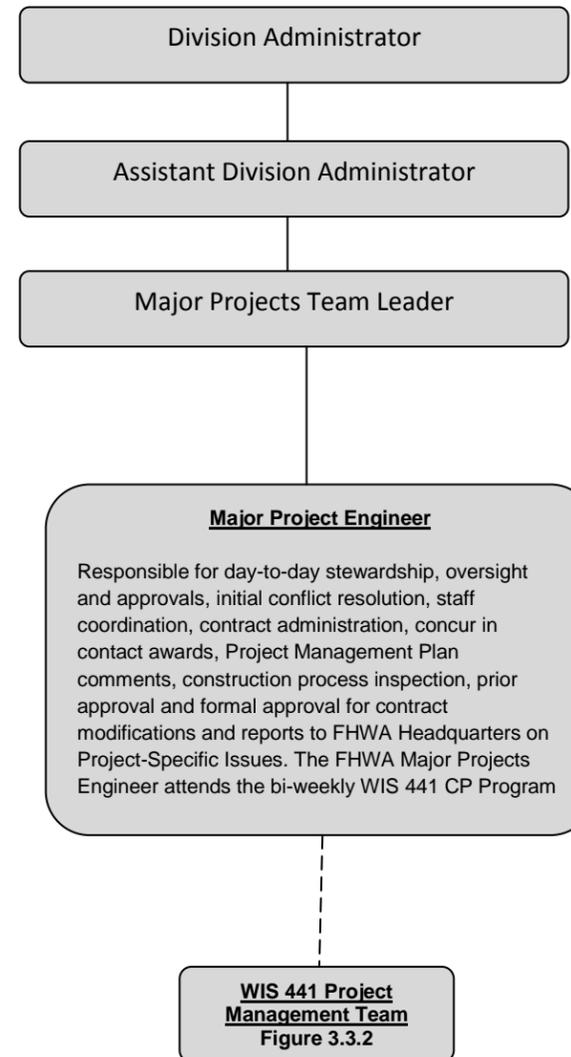
## APPENDIX 2 Organizational Charts



**Figure 3.1.2.1 Executive Offices & Divisions**

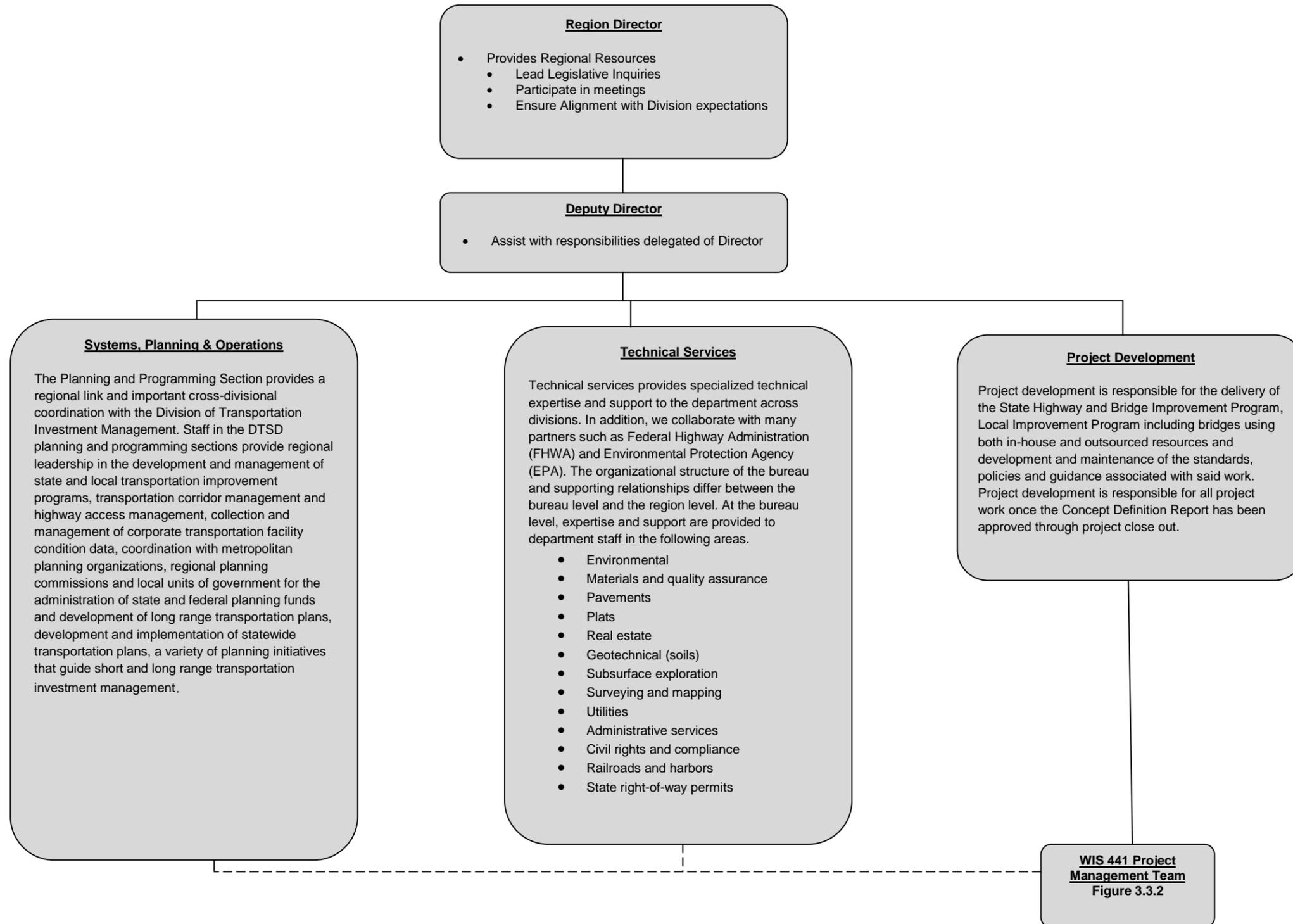


**Figure 3.2.1 FHWA**



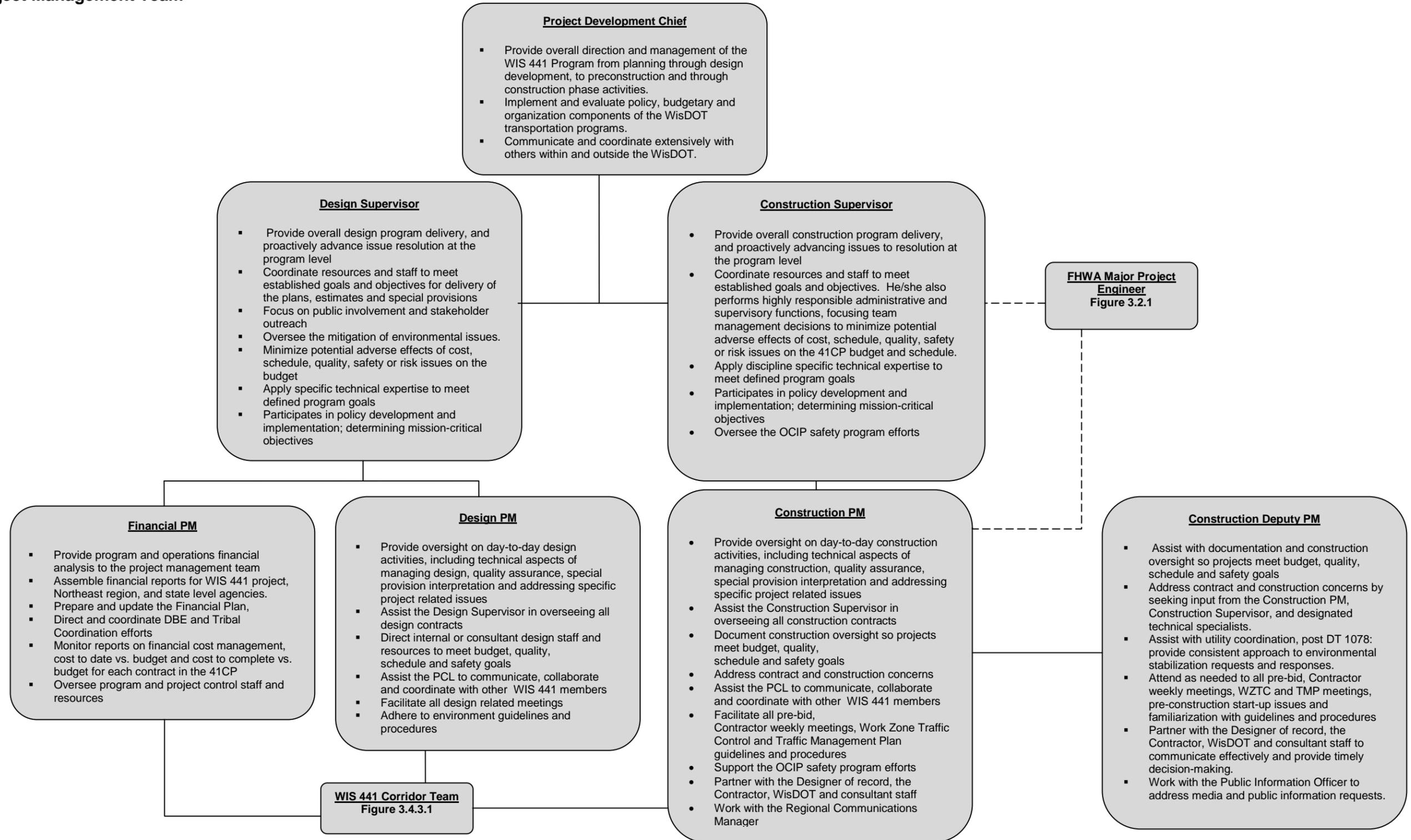
Northeast Region

**Figure 3.3.1 Project Management Oversight**



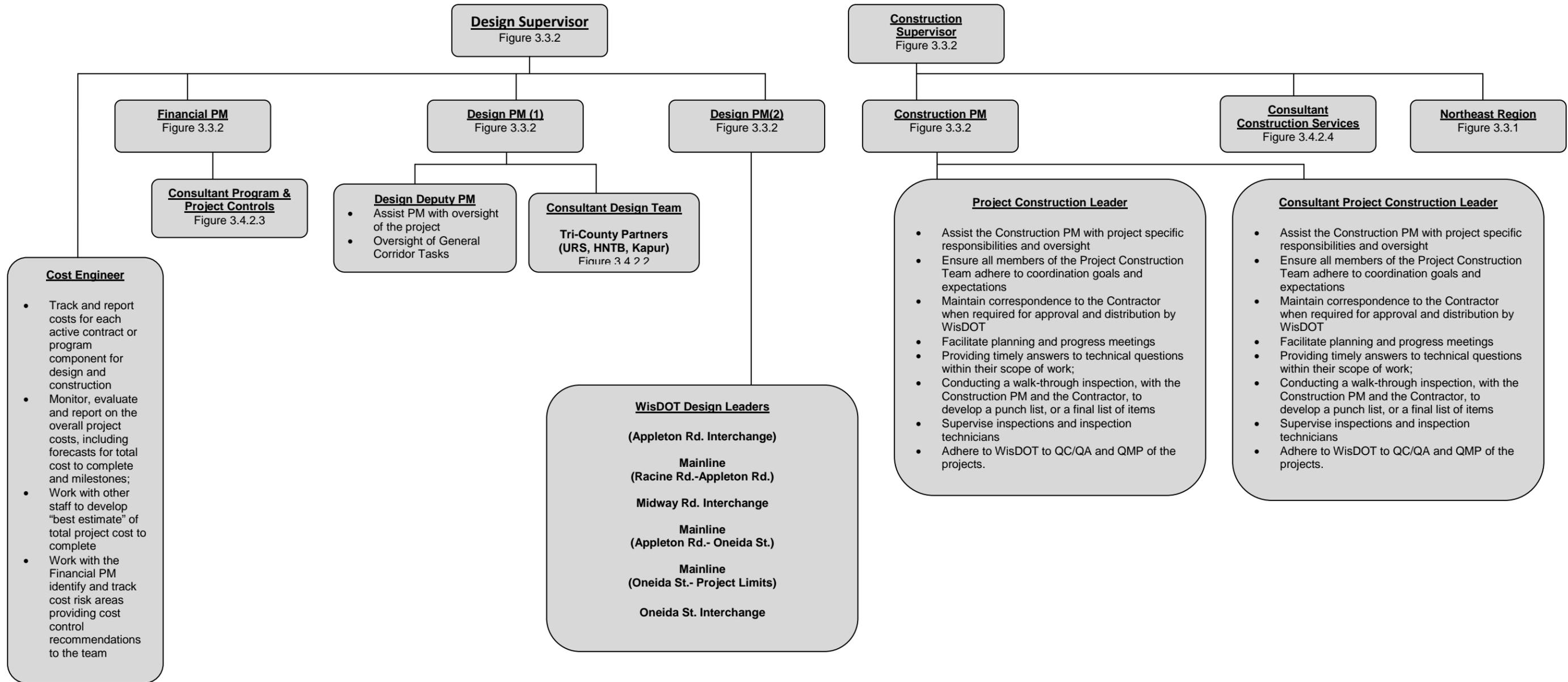
**Figure 3.3.2 Project Management Team**

**WIS 441 Project Management Team**



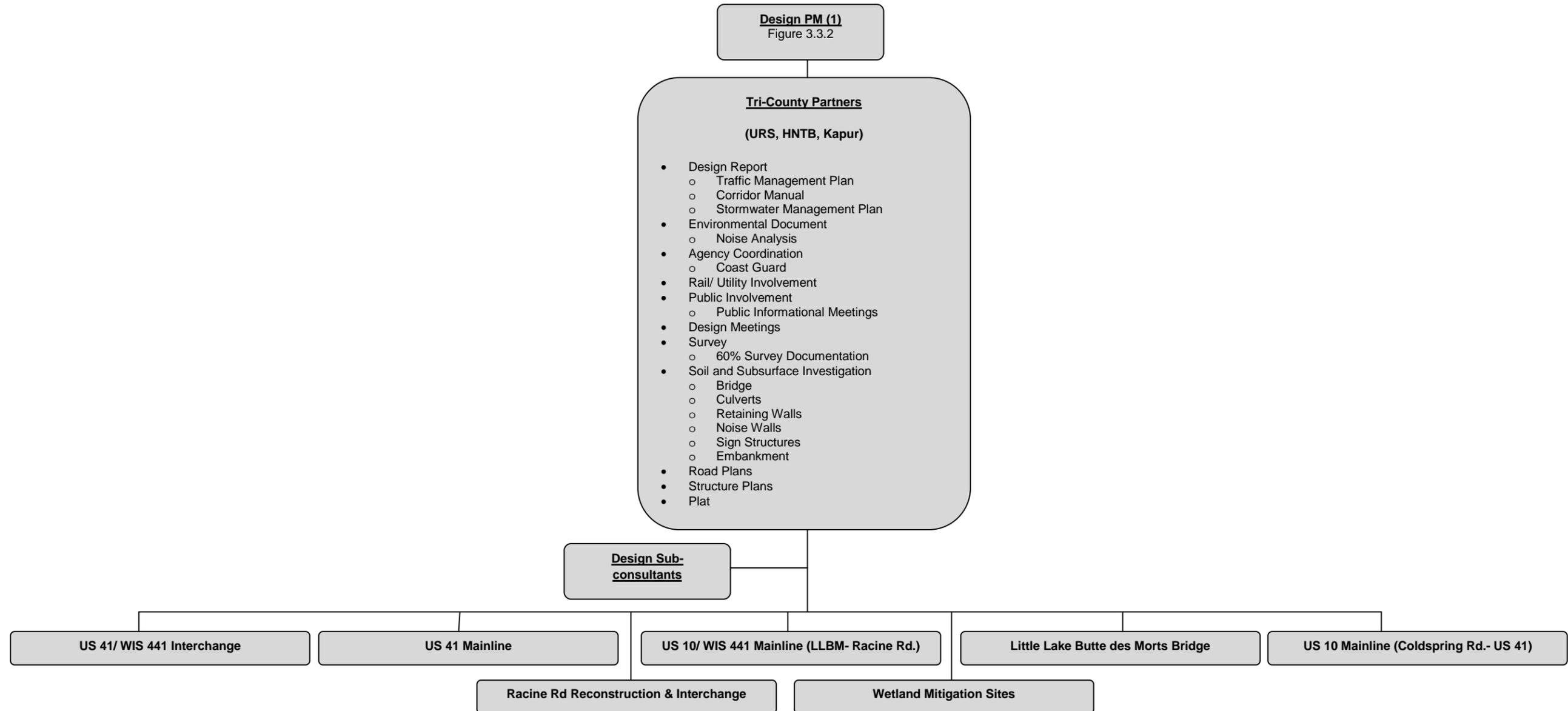
**Figure 3.4.2.1 Corridor Team**

**WIS 441 Corridor Team**



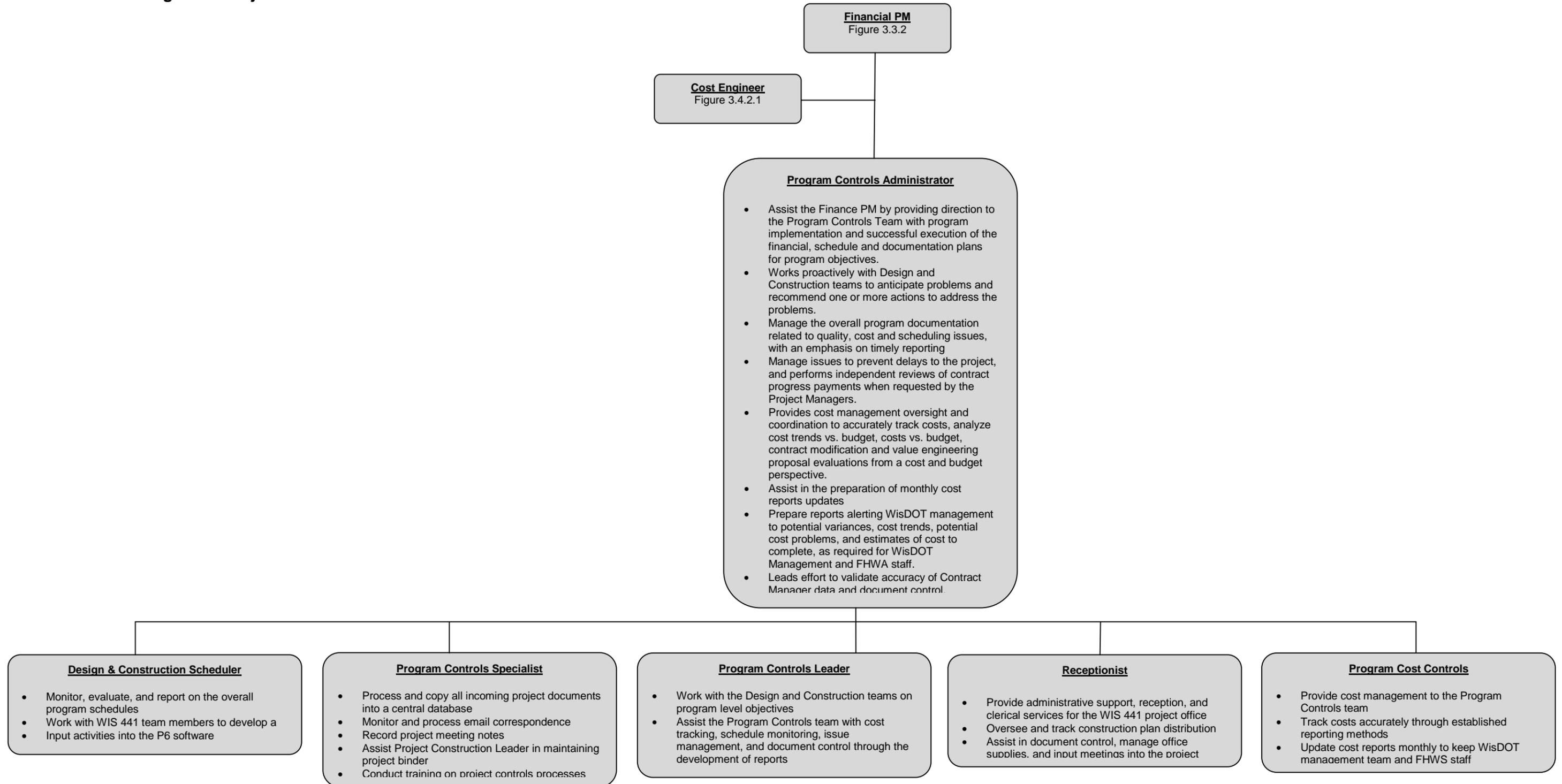
**Figure 3.4.2.2 Consultant Design Team**

**Tri-County Partners**



**Figure 3.4.2.3 Controls Staffing**

**Consultant Program & Project Controls**



**Figure 3.4.2.4 Construction Staffing**

**Consultant Construction Services**

