1.1 Originator
The Bureau of Project Development is the originator of this chapter. Any questions or recommendations concerning this chapter should be directed to the BPD at (608) 266-3721. Abbreviations used in this chapter are provided in Attachment 1.1. Central Office PS&E contacts are provided in Attachment 1.2.

1.2 Purpose
The submittal of Plans, Estimate and Specifications to the BPD completes region design preparations, enabling a contract to be let or executed in the case of a LFA agreement. Upon receipt of the PS&E transmittal, the BPD can begin its Proposal Preparation Process (PPP).

The procedures in this Chapter are based on the traditional highway construction contracting (design-bid-build) model. In rare cases, alternative contracting methods may be used (see FDM 11-2).

1.3 Composition
The complete PS&E transmittal consists of the plans (as described in Chapter 15), the estimate, the special provisions, completion of pseTrak, http://trust.dot.state.wi.us/pse/
and the necessary exhibits. Incomplete PS&Es should not be submitted.

When structure plans are included in the contract, the region shall coordinate with BOS to assure that the structure plans can be obtained by the BPD at the PS&E due date. This coordination is especially critical in those cases where the structure plans were completed some time ago, were placed on the shelf, and now must be reviewed and/or revised prior to inclusion in a project. Structure Plans are to be Esubmitted to BOS two months prior to PS&E.

If a project does not meet all of the criteria required for letting (see FDM 19-1-3.2), a PS&E Exception Request must be submitted using the pseTrak system. The PS&E Exception Request must provide a detailed explanation of the issue, parcel numbers, date and initials of person entering exception, a final resolution date and any mitigation measures that will be implemented. Regions must continue to work on clearing the PS&E until all criteria are met. The region must inform the appropriate bureau approving authority as the issues are cleared.

Exceptions should be requested rarely. Table 1.1 details the PS&E Exception approval timeline and responsibilities.
Table 1.1  PS&E Exception Approval Schedule

<table>
<thead>
<tr>
<th>Action</th>
<th>Result</th>
<th>Weeks Prior to Ad Meeting</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project team initiates active exception. Regional management early acknowledgement and involvement.</td>
<td>Identifies issues that are not resolved at PS&amp;E submittal. Establishes latest anticipated date for issue resolution. Details must be placed in exception text box or as a project note.*</td>
<td>PS&amp;E submittal</td>
</tr>
<tr>
<td>Project team confirms that the exception has not been cleared and requests region management approval.</td>
<td>Update issues that will not be resolved prior to the ad meeting. Confirms latest anticipated date for issue resolution. Confirm ability to be cleared by AD Meeting. Details must be placed in exception text box or project note.*</td>
<td>Five weeks</td>
</tr>
<tr>
<td>Region management approves exceptions.</td>
<td>Confirm exception and request that the proposal be advertised/let with the exception. Add additional supporting information in exception text box or project note.*</td>
<td>Four weeks</td>
</tr>
<tr>
<td>Bureau of Technical Services &amp; Bureau of Rails and Harbors staff review and recommend exception approvals.</td>
<td>Real estate, utility and railroad staff review the exception requests and associated circumstances. The staff recommends approval/denial of the exceptions to bureau management and documents this action in a project note.*</td>
<td>Three weeks</td>
</tr>
<tr>
<td>Bureau of Project Development and Bureau of Technical Services approves exceptions.</td>
<td>Acknowledges exception and approves advertising/letting the proposal with the exception. Exceptions still in place should be of minimal risk and expected to be resolve prior to letting.</td>
<td>Two weeks</td>
</tr>
<tr>
<td>FHWA approves exceptions.</td>
<td>Acknowledges exception and approves advertising/letting the proposal with the exception.</td>
<td>One week</td>
</tr>
</tbody>
</table>

Project teams are responsible for ensuring that all exceptions are cleared. The project team must notify BTS when a real estate or utility issue is cleared and submit a revised R/W cert DT1899 or USR DT1080 as appropriate.

* Provide enough detail to expedite the approval process. See following examples:
  - Attachment 1.3  Example Utility Exception Example
  - Attachment 1.4  Example Real Estate Exception Example

If the exception request is approved by BPD, BTS and FHWA as needed, the PS&E will be conditionally approved. The region must clear all conditions and inform BTS at Mailbox – DOT DTSD BPD Proposal Management Section as the conditions are cleared. All exceptions must be approved by BTS and BPD prior to the Ad Meeting. Projects that are designated as design federal oversight require FHWA approval prior to the Ad Meeting. Extra time and coordination may be required to obtain these approvals.

1.4 Timing
PS&Es are submitted on a quarterly schedule as defined in Attachment 1.5. Submittals received after 12:00 PM on the due date will be marked as late. If the quarterly due date falls on a holiday or weekend, the submittal must be received prior to 12:00 PM the following business day.

All requests for late PS&Es must be submitted to the Proposal Management Section Mailbox - DOT DTSD BPD Proposal Management Section (DOTDTSDBPDProposalManagementSection@dot.wi.gov) prior to the project’s scheduled PS&E submittal date. If a request to submit a late PS&E is made after the quarterly due date, the PS&E will be marked as late. All PS&Es that have been granted an exception to be late must be submitted by 12:00 PM on the expected delivery date.

The region may alter the PS&E date of a project prior to the PS&E submittal date. Changes to a project’s submittal date less than 3 months prior to the originally scheduled PS&E date, must be coordinated with the Proposal Management Section. The region will update FIIPS after any PS&E submittal date changes have been made.
PS&Es for LFA agreements must be received eight weeks prior to the anticipated execution if they are not included under the same federal project number as a bid contract.

Plans and other agreement documents prepared by local municipalities, consultants, or others outside the department must be received by the appropriate region PD section a minimum of 4 weeks prior to the scheduled PS&E due date. This allows time for the region PD’s staff to review and coordinate the project.

The proposal preparation process (PPP), as accomplished over a 12-week period, is shown in Attachment 1.6. This process is necessary to define an orderly work flow and to allow processing of an average of 50 contracts for each letting. Approximately 6 weeks of this time are devoted to central office work activities, while the remaining 6 weeks are utilized in the bid advertisement process.

When the contract is especially complex, such as a lift bridge or a large major or mega project, the advertising time may be expanded from 4 weeks to 8 or 10 weeks. In these cases, the PS&E due date may need to be advanced accordingly. The expanded advertising time should be initiated by the region and discussed with the Proposal Management Section of the BPD. This expanded lead time is necessary to allow contractors and fabricators to obtain the cost data for any special machinery required.

Bid letting dates, along with corresponding PS&E due dates, are shown in Attachment 1.5. In order to meet these letting dates, the BPD has determined intermediate dates by which certain specified activities must be accomplished.

1.5 Processing

The PS&E documents are processed between PS&E submittal and the ad meeting for the scheduled letting. Please remember that all PS&Es must be processed within this time, not just one. Major activities that occur during this process include: reviewing, editing and updating the plans, estimate and special provisions, establishing DBE goals for federal aid contracts, composing the advertisement, building the actual contract documents and financing the project(s). Late PS&E submittals jeopardize the PPP. The activities required to turn a PS&E into a contract proposal require staff not only from BPD but also BTS, DTIM and FHWA. Delays in one processing step make it difficult to complete subsequent steps on time.

The schedule for the major PPP activities is listed in Attachment 1.5. The column titled, "Final R/W, Utility & RR Check; Ad Meeting; FHWA authorize to advertise for Bids," is the date on which a final decision is made whether to advertise each specific contract(s) in the proposed letting. During the Ad meeting, each contract included in the subject letting is reviewed. The meeting is chaired by the Proposal Development Specialist, BPD, and attended by the Chief Proposal Development Engineer BPD, Project Services Chief, BPD; a representative from the Acquisition & Services Section of the BTS; a representative from the Utilities Unit of the BTS; a representative from the Railroads and Harbors Section; and a representative from the BSHP. The BHO may be represented when issues related to them are present on contracts being proposed for the letting.

The purpose of this review is to assure that all real estate interests have been acquired and are clear; all utility and railroad coordination, clearances, and agreements have been completed; hazardous materials identification and remediation have been completed; necessary permits have been issued; and all design issues have been addressed. Any other problems associated with a contract that might affect its availability for letting are also examined at this time. An email summary of the ad meeting is sent to all project managers and PDS supervisors with contracts that have unresolved issues. This email is also sent to the FHWA and various others throughout WisDOT. This email documents PS&E approval of the contracts in the subject letting and summarizes the unresolved issues. After this meeting, the advertisement for the subject letting is prepared. After FHWA authorizes the federal aid contracts, the advertisement is posted to the WisDOT Internet site under bid letting advertisements at:

https://wisconsindot.gov/Pages/doing-bus/contractors/hcci/bid-let.aspx

As described under section 1.3 - Composition above, PS&Es may be conditionally approved. The BPD or the FHWA will notify the project manager of any conditions relating to the PS&E approval. The project manager is responsible for ensuring that all issues are resolved and notifying BPD of any status change. A contract will only be allowed to be advertised with unresolved issues, if it has an approved PS&E Exception Request in pseTrak. Contracts with unresolved issues are monitored during the five weeks between advertisement and letting to assure the issues are resolved or the contract may be withdrawn from the letting.

The following table lists the units that are responsible for the major PPP activities. Some activities occur concurrently, others must be completed prior to subsequent processing.
<table>
<thead>
<tr>
<th>Activity</th>
<th>STH System</th>
<th>Local System</th>
<th>FDM Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prepare PS&amp;E</td>
<td>Region or consultant</td>
<td>Local Unit or consultant</td>
<td>19-1-1</td>
</tr>
<tr>
<td>Prepare Structure Plans</td>
<td>Bureau of Structures or consultant (BOS reviews consultant prepared structure plans)</td>
<td>Local Unit or consultant (BOS reviews local unit or consultant prepared structure plans.)</td>
<td>19-1-1</td>
</tr>
<tr>
<td>PS&amp;E Pre-Submittal Review</td>
<td>Region or consultant</td>
<td>Local Unit or consultant</td>
<td>19-40 exhibit 1.1</td>
</tr>
<tr>
<td>Approve PS&amp;E Submittal</td>
<td>Region Project Managers recommend approval. Region PD Supervisor named in plan letter verifies that the PS&amp;E was prepared to acceptable standards.</td>
<td>Local Unit or consultant recommends approval. Region PD Supervisor named in plan letter verifies that the PS&amp;E was prepared to acceptable standards.</td>
<td>19-10-15</td>
</tr>
<tr>
<td>Signing of Plans [signatures have meaning as noted in FDM 15-1-10]</td>
<td>Region Project Managers recommend signing. Region Director or designer signs.</td>
<td>Local Unit or consultant recommends signing. Region Director or designer signs.</td>
<td>19-10-5</td>
</tr>
<tr>
<td>Review PS&amp;E</td>
<td>For conformance with DSR: Project Oversight Unit</td>
<td>Local Program Delivery Manager</td>
<td>19-40-1</td>
</tr>
<tr>
<td>Assign Proposal Numbers</td>
<td>BPD Proposal Management Section</td>
<td>BPD Proposal Management Section</td>
<td>N/A</td>
</tr>
<tr>
<td>Add Final Structure Plans</td>
<td>BPD Proposal Development Unit</td>
<td>BPD Proposal Development Unit</td>
<td>19-1-1</td>
</tr>
<tr>
<td>Review Plans</td>
<td>BPD Proposal Management Section</td>
<td>BPD Proposal Management Section</td>
<td>19-40-1</td>
</tr>
<tr>
<td>Assign DBE Goals if Applicable</td>
<td>BPD Proposal Management Section</td>
<td>BPD Proposal Management Section</td>
<td>N/A</td>
</tr>
<tr>
<td>Recommend PS&amp;E Approval</td>
<td>BPD Project Oversight</td>
<td>BPD Project Oversight</td>
<td>19-1-1</td>
</tr>
<tr>
<td></td>
<td>TMP, permits and design standards</td>
<td>TMP, permits and design standards</td>
<td></td>
</tr>
<tr>
<td></td>
<td>BTS Acquisition and Services Real estate</td>
<td>BTS Acquisition and Services Real estate</td>
<td></td>
</tr>
<tr>
<td></td>
<td>BTS Utility and Access Unit Utilities</td>
<td>BTS Utility and Access Unit Utilities</td>
<td></td>
</tr>
<tr>
<td></td>
<td>DTIM Rails and Harbors RR engineering RR real estate</td>
<td>DTIM Rails and Harbors RR engineering RR real estate</td>
<td></td>
</tr>
<tr>
<td>Build Proposal</td>
<td>BPD Proposal Management Section</td>
<td>BPD Proposal Management Section</td>
<td>N/A</td>
</tr>
<tr>
<td>Submit Federal Oversight Projects for FHWA Approval</td>
<td>Proposal Management Section submits PS&amp;E, contract proposal and plan letter to FHWA for review and approval</td>
<td>Proposal Management Section submits PS&amp;E, contract proposal and plan letter to FHWA for review and approval</td>
<td>19-10-15</td>
</tr>
<tr>
<td>Approve PS&amp;Es</td>
<td>BPD Proposal Management Section and FHWA</td>
<td>BPD Proposal Management Section and FHWA</td>
<td>19-1-1</td>
</tr>
<tr>
<td>Advertise Proposals</td>
<td>BPD Proposal Management Section</td>
<td>BPD Proposal Management Section</td>
<td>19-1-1</td>
</tr>
</tbody>
</table>
FDM 19-1-3  Project Letting Process (PLP)

The PLP establishes the Department’s policies and strategies for how projects within its annual improvements programs should be scheduled for letting within each fiscal year (FY) of the 6-year program. It monitors the spectrum of elements that can influence letting strategies and determines the optimal blending of those influences to establish letting policies for:

- Percent of program dollars by let dates
- Number and type of proposals requiring review
- Individual project or program specific scheduling requirements
- Quantities
- Current and future programmatic funding assumptions
- Scheduling strategies for families of project types for optimal bidding competition

The PLP attempts to achieve simultaneous goals of letting all scheduled program dollars, achieving the best possible bid prices, and delivering projects at lowest possible cost. The PLP also provides policy guidance on the roles and responsibilities for all parties involved in the delivery of projects to achieve PLP deliverables.

3.1 Guidelines and Definitions

PLP – The process of developing a letting plan, delivering complete PS&Es and measuring the progress of delivery according to that plan.

PLP Committee - A committee composed of staff from the Bureau of State Highway Programs (BSHP), region, and Bureau of Project Development (BPD) who will administer the PLP.

Letting Implementation Plan (LIP) - A list of projects to be let in a given fiscal year. Projects are identified by the fiscal quarter when they will be submitted and the month when they are expected to be let.

Quarterly PS&E Delivery Date - The first business day of February, May, August, November when state and local PS&Es are due at BPD for all projects to be let.

Annual Letting Goal - The amount of dollars established by the division that will be spent during a particular fiscal year for all state and local highway project contracts to be let, awarded and executed within that fiscal year.

Quarterly and Monthly Target Ranges - Ranges of dollars or percentages of the Annual Letting Goal within which the cost of let projects will be maintained for each month and quarter of the year when establishing and maintaining the LIP and when conducting lettings.

Advanceable Projects - A project that is scheduled to complete its PS&E one or more FYs earlier than its FIIPS scheduled PS&E date. An advanceable project is given an Early PS&E (EPSE) tag in FIIPS along with an EPSE due date that is earlier than the PS&E date.

Advanceable Program - The program tags, schedules, and delivers a specific number or dollar volume of advanceable projects for each year of the approved improvement program.

Advanceable Project Letting Process (APLP) - APLP is a sub-component of the PLP. The application of PLP concepts for the scheduling and delivery of the Advanceable Program.

Advanceable Letting Implementation Plan (ALIP) - The ALIP is a sub-component of the LIP. The list of projects that are advanceable for let in any year. Advanceable projects are scheduled as necessary to achieve the APLP goals.

Quarterly PS&E Results Report (QPRR) - A report generated within 15 days of the Quarterly PS&E Delivery Date which indicates which of the scheduled LIP projects for that quarter were received by the due date.
Advanceable Quarterly PS&E Results Report (AQPRR) - A sub-section report of the QPRR that indicates which of the scheduled ALIP projects for that quarter were received by the due date, and the cumulative tracking of the ALIP delivery goals for the FY.

Current Monthly Letting Report (CMLR) - A report generated monthly which indicates which of the scheduled LIP and ALIP projects were LET in the current month.

Letting Status Report - A monthly report that shows the accumulated costs of each month's lettings for the fiscal year to date.

### 3.2 The Purpose

The LIP is structured to maximize benefits for the department. The quarterly goals provide a letting plan intended to obtain the most cost-effective bidding environment.

Quarterly PS&E submittals give the department an opportunity to meet the quarterly letting goals by providing flexibility to move projects within a quarter. BPD will contact the project manager to discuss the possibility of moving projects between lettings.

The regions will deliver projects, ready to be let, based on the schedule below.

<table>
<thead>
<tr>
<th>Projects to be Let in These Months</th>
<th>All PS&amp;E's are Due in CO on These Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>November, December, January</td>
<td>August 1</td>
</tr>
<tr>
<td>February, March, April</td>
<td>November 1 of the previous year</td>
</tr>
<tr>
<td>May, June, July</td>
<td>February 1 of the same year</td>
</tr>
<tr>
<td>August, September, October</td>
<td>May 1 of the same year</td>
</tr>
</tbody>
</table>

The department has set the following quarterly letting goals to be met by this process:

<table>
<thead>
<tr>
<th>FY Quarter</th>
<th>% of the Annual Program</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>24%</td>
</tr>
<tr>
<td>2</td>
<td>30%</td>
</tr>
<tr>
<td>3</td>
<td>37%</td>
</tr>
<tr>
<td>4</td>
<td>9%</td>
</tr>
</tbody>
</table>

The Department has set the following ALIP goals for submission of EPSE’s for advanceable projects within the FY:

<table>
<thead>
<tr>
<th>CY Date</th>
<th>% of Annual Advanceable Program $</th>
</tr>
</thead>
<tbody>
<tr>
<td>May 1 prior to FY of advancement</td>
<td>50%</td>
</tr>
<tr>
<td>Sep. 1 of the FY of advancement</td>
<td>75%</td>
</tr>
<tr>
<td>Dec. 1 of the FY of advancement</td>
<td>100%</td>
</tr>
</tbody>
</table>

The annual Advanceable Program amount is currently determined by Wis. Stat. 84.01(33). The Department may supplement the statutory goals from time to time, and it will be the PLP Committee’s responsibility to adjust the ALIP and APLP accordingly.

The overall process for a given fiscal year is shown in Attachment 3.1 and is explained below.

### 3.3 The Process

The PLP consists of three major activities.

1. Develop and maintain an annual LIP and ALIP.
2. Deliver PS&E's according to the LIP and ALIP
3. Monitor PS&E delivery and report progress
3.3.1 Develop and Maintain the LIP and ALIP

A LIP and ALIP will be prepared for each state fiscal year. The original LIP and ALIP for any fiscal year will be completed by October 1 of the preceding calendar year. See Attachment 3.2 for the schedule of activities associated with the LIP and ALIP.

The LIP will contain all projects for which the DTSD will advertise and receive bids during the fiscal year regardless of program, type of funding or jurisdictional authority. It will include state and local improvement projects, and state trunk highway traffic and maintenance projects. The July 15 submittal shall have the "level of effort" entries replaced with actual projects. The ALIP contains only the state improvement projects (3R and Backbone) specifically scheduled with an early let date to achieve the department’s advanceable program requirements for the fiscal year.

The preliminary LIP and ALIP will be generated from FIIPS. Regions must ensure that the schedule is the way they want it prior to the October 1 snapshot date. If any project must be let in a particular month or within a specific time period, the Region is required to submit a report to request that and explain why it is necessary. The report is due July 15 and is submitted by email using the format shown in Attachment 3.3. Examples and some typical reasons for these types of restriction are shown in Attachment 3.3.

The responsibility for developing the LIP and ALIP rests jointly with the regions and the PLP Committee. The PLP Committee will initiate the annual LIP and ALIP development process and will coordinate directly with each region, mega project teams and the backbone and major’s committees. The region directors are ultimately responsible for PLP goal achievement.

The purpose in preparing the LIP and ALIP will be to compile a list of projects expected to be let or available to be advanced into each quarter of the fiscal year that meet the following objectives:

1. Complies with established program levels.
2. Reflects region allocations equitably.
3. Meets statewide quarterly and cumulative monthly dollar target ranges.
4. Provides a reasonable balance between quantities of earthwork, asphalt paving, concrete paving, base course and structures.
5. Complies with any statutory directives for project or program deliverables.

The first two objectives will vary from year to year. Pertinent information will be provided by the BSHP. The fourth objective will also vary depending upon historical quantities for each of the major types of work.

For the third objective, letting dollar levels will be established for the fiscal year and the percentage ranges shown in Attachment 3.4 will be applied to determine the desired dollar level targets for each cumulative monthly letting total.

The PLP Committee chairs will negotiate with the regions as needed to bring the LIP and ALIP into compliance with the objectives above. It will request revisions from individual regions whose schedule of projects does not comply with program allocation limits. When schedule adjustments are needed to meet target ranges or when program revisions are required to produce an acceptable balance of quantities for major work items, the committee will contact all regions to solicit potential changes. It will evaluate all potential schedule changes and choose those that will produce an LIP and ALIP that best complies with the above criteria.

The PLP Committee is responsible for maintaining an updated LIP and ALIP should either region or centrally initiated changes are necessary. The Committee will work with the regions to determine the best method for achieving necessary changes.

3.3.2 Deliver Planned PS&Es and Early PS&Es

Regions are responsible for submitting PS&Es and Early PS&Es to central office on (or up to two weeks prior to) the dates specified in the LIP and ALIP.

If a region believes it will be unable to deliver a PS&E or Early PS&E for the quarter specified in the LIP or ALIP, the LIP or ALIP should be updated. The region should contact the PLP Committee chairs to initiate the substitution process or clarify delivery time. If the deferral will not seriously impair meeting the quarterly targets and if the project can still be delivered for letting within the fiscal year, the region may be allowed to reschedule the project without further action. However, if BPD and BSHP/OPFI feels the deferral threatens the ability to achieve a letting level within the target range, a substitute project will be requested.

The region requesting the deferral will be expected to produce the substitute project. In the event it cannot, the committee will ask all the other regions for potential substitutes. The substitute project(s) chosen will be the one(s) most similar to the deferred project and/or which best meet the criteria noted under “Develop and
Maintain the LIP”.

In addition to arriving at the central office by the due dates shown in Attachment 3.1, PS&Es and Early PS&Es must be able to be let to be credited as delivered in compliance with the LIP or ALIP. The following criteria, defining projects that can be let, apply to all let projects.

1. The PS&E is complete. All the pieces are included and individual pieces are complete.
2. Real estate acquisition must achieve status 1 or 2, as defined in the Real Estate Manual, within 45 days of the quarterly PS&E due date.
3. Utility parcels and agreements must be received by central office and be executed by both the state and the utility company within 45 days of the quarterly PS&E due date. Arrangements for non-compensable moves must be completed.
4. Railroad stipulations and agreements necessary to allow contract work to proceed must be received by the central office and must be executed by both the state and the Railroad Company within 45 days of the quarterly PS&E due date.
5. All permits must be issued and validated within 45 days of the quarterly PS&E due date.
6. All necessary reports and documents supplied to or approved by the central office must be received and approved by the quarterly PS&E due date.
7. The following actions regarding hazardous materials must be completed by the quarterly PS&E due date.
   - Site investigation (Phases 1 and 2) finished.
   - Remediation plans (Phase 3) developed for dealing with materials on the right-of-way and approved by DNR.
   - Contracts signed for remediation to be conducted independently of and concurrently with highway construction. Language informing bidders included in the special provisions.
   - Appropriate bid items and special provisions included in the PS&E when remediation will be accomplished under the highway construction contract.

The region shall document the above requirements have been met as detailed in FDM 19-1 Table 1.1.

There may on occasion be valid reasons to consider an exception to these delivery guidelines. It is the responsibility of the party requesting the exception to contact the PLP Committee chair for approval of that exception. Otherwise all PS&Es and EPS&Es are expected and assumed to be compliant with the delivery guidelines.

3.3.3 Monitor PS&E Delivery and Report Progress

A region missing a quarterly PS&E due date will receive no credit for on-time delivery of the project either in that or any subsequent quarter. However, a project for which the PS&E fails to arrive by its quarterly due date will not necessarily be deferred to the next quarter for letting. If there is sufficient time to process it for its scheduled letting or a later letting in that same quarter it will be let that quarter. If there is not sufficient time to process it for that quarter it will be deferred to a later quarter. When a project is deferred to another quarter for failure to deliver the PS&E on time the LIP will be adjusted to show the project, but it will not be used to determine the success rate for the quarter performance will be measured and reported. They are the QPRR and the CMLR.

The QPRR will be used as an early warning device to identify non-compliance with LIP objectives and to alert management that special action may be required. The report will be prepared by the BSHP and sent to the PLP Committee, all regions, and division upper management within 15 days following the quarterly PS&E delivery date. The QPRR will be prepared four times a year for state projects, for local projects and combined. For each quarter it will list all of the projects on the LIP for that particular quarter and for which PS&Es arrived by the quarterly delivery date.

The second standard report, the CMLR, will be used to measure progress in achieving the LIP objective on a monthly basis.

The Ad Meeting Minutes will be prepared and distributed by the BPD by the end of the week in which each monthly ad meeting occurs, about six weeks prior to a letting, for the purpose of determining which projects will be advertised for that letting.

LIST OF ATTACHMENTS

Attachment 3.1  Project Letting Process for Fiscal Year “X”
 attachment 3.2 Schedule for Establishing Annual Letting Implementation Plan (LIP)
Attachment 3.3 Sample Letting Restriction List  
Attachment 3.4 Quarterly & Cumulative Monthly Goals

FDM 19-1-5 Proprietary Products December 18, 2015

5.1 General
The following policy applies for all competitively bid State and Local Highway projects independent of State and Local programs and funding sources.

Under 23 USC 112(a), "In all cases where the construction is to be performed by the State transportation department or under its supervision, a request for submission of bids shall be made by advertisement unless some other method is approved by the Secretary. The Secretary shall require such plans and specifications and such methods of bidding as shall be effective in securing competition. The FHWA has interpreted this clause to require competition not only for the award of the contract, but to also require competition for the various materials and processes involved in the work.

The specification of a particular product may restrict competition as the pool of available products is reduced to the product selected. In some cases, however, the need for a particular product outweighs the need to procure products competitively. 23 CFR 635.411 provides the regulatory authority for FHWA's participation in the cost of a patented or proprietary product.

A proprietary product is a product, specification, or process identified in the plans or specifications by a "brand" or trade name (e.g. 3M, General Electric). However, it may also be a product so narrowly specified that only a single provider could meet the specification.

Generic specifications should be written which will obtain the desired results and at the same time assure full opportunity for competition among equivalent materials, equipment, and methods. The use of a specification issued by a national organization (i.e. AASTHO, ASTM) does not ensure that the specification is generic in nature. A specification is proprietary if only one manufacturer can meet the specification requirements.

Federal regulations allow the use of proprietary products on a Project-by-Project, Major-Mega Project Corridor or a Statewide basis under the following conditions:

1. No Approval needed for the Use of Proprietary Products when either applies.
   a. Only proprietary products are acceptable and two or more proprietary products from multiple manufacturers are offered as alternatives. Specifications must include as many acceptable products as possible and shall include the words "or equal" to ensure the broadest range of choice [23 CFR 635.411(a (1)].
   b. Products which have been approved under special funding/evaluation programs do not need additional certifications or approvals under 23 CFR 635.411 for the use of patented or proprietary products. The FHWA's approval of funding for these evaluation projects is essentially a finding that it is in the public interest to proceed with the evaluation of these unique products. However, additional use of these products on other Title 23-funded projects that are not funded under these special funding/evaluation programs must comply with 23 CFR 635.411. Examples of FHWA-sponsored programs include Highways for Life, the Innovative Bridge and Pavement Research and Deployment Program [23 CFR 635.411 (3)].

2. Approval required for the Use of Proprietary Products when any case applies:
   a. Products are necessary for and meet the definition for synchronization with existing facilities. A department prepared certification is required [23 CFR 635.411(a (2)]. Refer to DT1584 and Attachment 5.1.
   b. Products for which no suitable alternative exists (single source). A department prepared certification is required [23 CFR 635.411(a (2)]. Refer to DT1584 and Attachment 5.1.
   c. Products where other alternatives exist provided the product is approved by a Public Interest Finding (PIF) [23 CFR 635.411(c)]. Refer to Attachment 5.2.
   d. Products are being evaluated through a formal research project or an experimental work plan approved by the department and FHWA. WisDOT can request FHWA's approval for use of proprietary products as part as a formal research (experimental) study. This process requires the departments to provide FHWA with a product work plan. Work plans are to be reviewed and approved by the new products engineer within the DTSD BTS material management
section and then forwarded to the FHWA's field operations engineer (FOE) or Major Projects Engineer, as appropriate, for final approval.

Note: Use of proprietary products that are 100% locally funded and competitively bid with a State/Federally funded project require an approval process. Use of Proprietary Products shall be in accordance with Buy America Provisions.

The majority of Proprietary Product Approvals will follow the Certification process or the PIF process shown in Figure 5.1.

![Overview Proprietary Product Approval Process](image)

**Figure 5.1 Overview Proprietary Product Approval Process**

5.2 Proprietary Product Certification Process [23 CFR 635.411 (a)(2)]

The department provides a written and signed statement certifying that a patented or proprietary product is either:
- a unique product for which there is no equally suitable alternative(s) or "single source", or
- necessary for synchronization with existing facilities.

5.2.1 Unique Product or Single Source Certification

A unique product for which no equally suitable alternative(s) or "single source" means that after a product search, only one product is determined to be reasonably available for the required product, process, or construction item. Specifying "no suitable alternative" is documenting that only one product can perform a desired function or satisfy a need.

A certification for no suitable alternative (single source) shall be prepared explaining the search and why no alternatives can provide the function and needs for project. Use DT1584 Certification of Patented or Proprietary Product for the certification process.

Here is a project example where a single source process may apply. A historic bridge is in need of specialty rehabilitation work. The project design team, after a search determines that there is only one supplier that can provide the replacement parts and still meet design requirements.

5.2.2 Synchronization Product Certification

Synchronization is providing a product that matches current or desired characteristics of a project's existing facility or inventory. Synchronization may be based on:

1. Function - The proprietary product is necessary for the satisfactory operation of the existing facility. An
example of function would be replacing or addition to street signal controllers. Only one brand is compatible to the Municipality’s existing system. Provide a statement from the Municipality justifying the proprietary controllers.

2. Aesthetics - The proprietary product is necessary to match the visual appearance of existing facilities. An example of aesthetics would be selected Community Sensitive Solution (CSS) products. Provide documentation describing the CSS process that supports the use of aesthetics products.

3. Logistics - The proprietary product is interchangeable with products in an agency’s maintenance inventory. An example of logistics would be specifying a specific anchoring system for high tension cable barrier for which the maintaining agency only stock piles the proprietary product. Provide a statement from the maintaining agency.

A certification for synchronization shall be prepared documenting the appropriate characteristics of synchronization. Use DT1584 Certification of Patented or Proprietary Product for the certification process.

5.3 Public Interest Finding (PIF) Process [23 CFR 635.411 (c)]

The department provides documentation that it is in the public’s best interest and requests approval to use a proprietary product even though other equally acceptable products are available. The level of documentation is dependent on the project needs and reasonableness of the product meeting the needs.

There is no specific format for a PIF. However, at a minimum the following factors shall be included:

- A description of the product and how the proprietary product will benefit the public. Define the specific needs of the project and how the proprietary product best accomplishes meeting those needs.
- An evaluation of other equally acceptable products. Describe any limitations and conditions these products may have in NOT meeting project’s needs. Critical factors may include time to construct, availability, complexity to construct, impact to road users, safety issues.
- An estimate cost analysis. This should include an estimate cost of the proposed product and an estimate that includes competitive bidding.
- Engineering and economic analysis to support the proprietary product. This may include product specifications/properties/performance/innovation that is consistent with the project needs. Document any advantages for production availability and distribution.
- The duration and extent of the approval. Most proprietary product PIF’s are project specific. However major or mega corridor type projects may want to consider a Corridor Type PIF. Corridor PIF’s shall specify the Project(s) and the duration. State-Wide PIFs shall specify the sunset date with a maximum window of five years.

5.4 Certification and PIF Approval Process for Region/Local and Major/Mega Corridor Projects

For region managed projects:

1. Region PDS prepares the certification or PIF, obtains signature of the region project development chief, and forwards to the project oversight engineer within the DTSD BPD project services section for approval.

2. Project oversight engineer reviews/approves certifications and PIFs for all state or federally funded projects.

3. FHWA will need to review and approve all PIFs for projects designated as PoCI and PoDI.

5. The project oversight engineer will forward PIF approval requests to the FHWA field operations engineer (FOE) or Major Project Engineer, as appropriate.

For local program projects:

1. The design consultant prepares the certification or PIF and submits to the management consultant for the region.

2. The management consultant will review the certification or PIF for completeness but not for approval. The management consultant will forward satisfactory certifications and PIFs to the region local project manager for signature, who will forward to the DTSD BPD project services section chief for approval.

3. PIFs for local projects designated as PoCI and PoDI require FHWA approval. The BPD project services section chief will forward PIF approval requests to the FHWA field operations engineer.

Proprietary products specified by change order require the completion of the Certification/ PIF approval process outlined above.
5.4.1 Tracking and approved Certifications and PIFs
A LOG of Approved Proprietary Product Certifications and PIFs will be maintained on the local hard drive (at N:\BPD\Approved Proprietary Product Certifications) and PIFs/Log for Approved Proprietary Product Certifications and PIFs.xlsx. BPD Project Services Section will be the keepers of this log sheet.

The log will be posted quarterly on the State of Wisconsin Department of Transportation web site at:


5.4.2 Statewide Certification and PIF Approval Process
The appropriate DTSD statewide bureau will develop and approve statewide certifications and PIFs. Coordination with BPD project oversight engineers is recommended prior to final approval. FHWA approval is required for all statewide PIFs.

The Bureau of Technical Services materials management section will update the list as new products are added and old products expire. The approved statewide proprietary product list can be found at:


FHWA will post Approved Public Interest Findings for PoDI and PoCI projects on FHWA’s web site.

5.5 References
Title 23 – Code of Federal Regulations, Part 635, § 635.411:
http://www.fhwa.dot.gov/construction/cqit/propriet.cfm
http://www.fhwa.dot.gov/programadmin/contracts/011106qa.cfm
http://www.fhwa.dot.gov/programadmin/contracts/core02.cfm#s2C05b
Wis. Stat. 16.75 (2)(a)

LIST OF ATTACHMENTS
Attachment 5.1 Example DT1584 Certification of Patented or Proprietary Product
Attachment 5.2 Example Public Interest Finding

FDM 19-1-7 Use of Publicly Owned Equipment on Let Contracts

February 25, 2011

Publicly owned equipment should not normally compete with privately owned equipment on a project to be let to contract. There may be exceptional cases, however, in which the use of equipment of the State or local public agency for highway construction purposes may be warranted or justified. Proposed use of publicly owned equipment must be supported by a CEF (see FDM 3-5-10). For federal oversight projects, the CEF requires FHWA approval.

Where publicly owned equipment is to be made available in connection with construction work to be let to contract, Federal funds may participate in the cost of such work provided the following conditions are met:

1. The proposed use of such equipment is clearly set forth in the PS&E.

2. The advertised specifications specify the items of publicly owned equipment available for use by the successful bidder, the rates to be charged, and the points of availability or delivery of the equipment; and

3. The advertised specifications include a notification that the successful bidder has the option either of renting part or all of such equipment from the State or local public agency or otherwise providing the equipment necessary for the performance of the contract work.

In the rental of publicly owned equipment to contractors, the State or local public agency shall not profit at the expense of Federal funds.

Unforeseeable conditions may make it necessary to provide publicly owned equipment to the contractor at rental rates agreed to between the contractor and the State or local public agency after the work has started. Any such arrangement shall not form the basis for any increase in the cost of the project on which Federal funds are to participate.

When publicly owned equipment is used on projects constructed on a force account basis, costs may be determined by agreed unit prices or on an actual cost basis. When agreed unit prices are applied the equipment need not be itemized nor rental rates shown in the estimate. When the work is to be performed on an actual cost
basis, approval for the schedule of rates proposed to be charged, exclusive of profit, for the publicly owned
equipment made available for use is required.

FDM 19-1-9 State Owned, Furnished and Designated Materials for Let Contracts February 25, 2011

9.1 Applicability

9.2 Guidance
Current FHWA policy requires that the contractor shall
1. Furnish all materials to be incorporated in the work and
2. Be permitted to select the sources from which the materials are to be obtained.

Exceptions to these requirements may be made when there is a definite finding, by the STATE or Local Public
Agency and concurred in by the FHWA that it is in the Public’s Interest to require the contractor to use materials
furnished by the STATE or Local Public Agency or from sources designated by the STATE or Local Public
Agency. The exception policy can best be understood by separating State-furnished materials into the
categories of manufactured materials and local natural materials.

A CEF justifies that State owned, furnished and designated materials is in the public’s interest. For all federal
oversight projects, the CEF must be approved by FHWA.

9.2.1 Manufactured Materials
When the use of State-furnished manufactured material, such as materials for lighting and traffic signals, is
approved based on a CEF, such use must be made mandatory. The optional use of State-furnished
manufactured materials is in violation of Federal policy prohibiting public agencies from competing with private
firms. Manufactured materials to be furnished by the State must be acquired through competitive bidding, unless
the CEF justifies another method.

9.2.2 Local Natural Materials
When the State owns or controls a local natural materials source, such as a borrow pit or a stockpile of salvaged
pavement materials, or flyash, etc., the materials may be designated for either optional or mandatory use;
however, mandatory use will require a CEF.

In order to permit prospective bidders to properly prepare their bids, the location, costs, and any conditions to be
met for obtaining materials that are made available to the contractor shall be stated in the bidding documents.

9.3 Mandatory Disposal Sites
Normally, the disposal site for surplus excavated materials is to be of the contractor’s choosing; although, an
optional site may be shown in the contractor provisions. A mandatory site shall be specified when there is a
finding by the STATE or Local Public Agency that such placement is the most economical or that the
environment would be substantially enhanced without excessive cost. Discussion of the mandatory use of a
disposal site in the environmental document may serve as the basis for the CEF.

Factors to justify a CEF may include such items as cost effectiveness, system integrity, local shortages of
materials and environmental considerations.
FDM 19-1 Introduction

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Action</th>
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<tr>
<td>Region PDS and Local Program Management Consultant</td>
<td>Prepare a CEF justifying State owned/furnished/designated materials.</td>
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<td>Obtain approval signature from Region Director or designee. Request review and approval from BPD-Statewide (if project is On-System send to Oversight Engineers if project is local send to Chief Local Project Delivery Section)</td>
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<tr>
<td>BPD – Statewide Bureaus</td>
<td>Review and if appropriate approve the CEF. For Federal Oversight projects forward the CEF to FHWA for final review and approval. Return the approved CEF to the Region and file a copy with CO Files</td>
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FDM 19-1-11 Expedited Lettings  
July 23, 2015

11.1 Selecting an Appropriate Contract Type
Most of the department’s projects are let using the normal PLP. The PLP utilizes a quarterly production schedule, which helps the department achieve its quarterly letting goals shown in FDM 19-1 Attachment 3.1.

When there is insufficient time to develop a PS&E package, because the roadway is damaged or jeopardized by flooding, structure failure, landslide, or another extraordinary condition, emergency repairs may be necessary using an emergency contract. The HMM contains criteria for emergency contracts, and information on how to process them in section 3.1.20, Emergency Work,  

Note that emergency contracts are not synonymous with ER contracts. ER contracts are contracts funded under the Federal Emergency Relief Program and may include emergency contracts, expedited contracts, or regular, competitively-bid contracts for either emergency or permanent work.

In special circumstances and only when the department has an urgent need to let a project, an expedited letting process may be used if the BPD provides prior approval. This process may only be used if the region has enough time to:

- Have previously submitted the PS&E package to BPD, and has addressed all concerns raised,
- Submit a complete PS&E package,
- Secure sufficient funds and verify the funding source(s) with the DTIM’s Fiscal Services Section,
- Clear all utility and railroad interests, and
- Purchase all required right-of-way.
- Have previously coordinated with BOS to ensure all structure plans have been submitted to BOS with adequate time to review plans, and all concerns raised have been addressed.

A decision matrix is provided in Attachment 11.1 that may be used when determining which letting process is needed for a particular project.

11.2 Expedited Letting Documents
A project being let using the expedited letting process is an exception. In addition to the previously mentioned criteria, an expedited project with federal funding will only be allowed if FHWA agrees to participate and has approved all environmental documents, the TMP, and PS&E documents.

The Emergency/Expedited Justification form must be submitted to initiate either the emergency contract or expedited letting process. The Emergency/Expedited Justification form can be found in the HMM section 18.20, Emergency Work, attachment 1.

The region must submit all exhibits that are required for a regular let project, i.e., the plans, estimate, special provisions, plan letter, project time chart, DT25 form (Recommendation to Governor for Contract and Bond Approval), and utility, railroad, and right-of-way certifications. All utility, railroad, and right-of-way interests must be clear before submittal. There will be NO exceptions.

11.3 Final PS&E Review Process
By email, the Central Office Proposal Management Section will initiate the expedited letting process by notifying everyone involved in the proposal preparation and letting process, region and statewide bureau directors, the Secretary’s Office, and the Governor’s Office. The Proposal Management Section will establish a PS&E and letting date. The PS&E date established by BPD will take into consideration the time necessary to review all
PS&E documents and advertise the project.

If federal funding is being used to finance the project, the region will confirm with DTIM that FHWA will participate, and will notify the Proposal Management Section Chief that there will be federal participation. The region’s SPO section initializes the design project in FIIPS and requests authorization, and contacts their Regional Oversight Engineer and, if the project will have federal funds, FHWA’s Field Operations Engineer to coordinate the completion of all project reviews.

The region is responsible for completing all environmental, TMP and permitting processes, identifying construction administration resources, and completing all project documents including the estimate in AASHTOWare Project Preconstruction. When e-submitting the PS&E package to BPD-Project Services Section, the designer must enter “expedited letting” in the comment field and check the “ExLet” box on the e-submit form, and provide the name and contact information of a project person, who will be available as needed during plan checking, proposal preparation and review, and letting stages.

Upon receipt of the PS&E package, the BPD will review the submitted plans, estimate, and special provisions, create the proposal, and will establish a letting in LAS and Bid Express. Every effort will be to include the expedited project in an already established letting. If federal funds are being used and the project is designated design oversight, BPD will submit the PS&E to FHWA for approval. If the contract is designated construction oversight, the proposal will be labeled as such.

Before advertising the project, an “Ad Meeting” teleconference will be held. Instead of advertising the proposal for 5 weeks, the advertisement period for a normal let project, the expedited proposal will be advertised for a period of 3 weeks or less. For federal aid projects, FHWA must approve of advertisements less than 3 weeks in duration. BPD will place a special letting notice on HCCI and Bid Express web sites, and will place the proposal and plan on the special lettings web site. BPD will not print any paper copies of the proposal nor will it print and distribute CDs to contractors. Proposal Request forms must be submitted before 10:00 AM, the day prior to the letting. All bids must be submitted electronically.

BPD will open the bids at 9:30 AM on the day of the letting, and will post bid results to Bid Express and HCCI. The Proposal Management Section will analyze the bid results, seek concurrence in award from FHWA, if appropriate, and award the contract. The department will process the DT25 form and forward it to the Governor’s Office.

The successful bidder will submit the required contract documents. The Proposal Management Section will execute the contract, notify the region, and send the contract to the appropriate FieldManager account.

11.4 Timing

Since Expedited Lettings happen so quickly, good communication is essential. The actual schedule will be modified to meet the project’s needs. The advertisement period will typically be from one to three weeks. The following graphic depicts one possible Expedited Let schedule.
### STATE FUNDED ONLY

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* the region must submit the Expedited Letting Request form at least 5 work days before the anticipated PS&E date

** the ad period may be reduced, check with the Proposal Management Section

### WITH FEDERAL FUNDING

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* the region must submit the Expedited Letting Request form at least 5 work days before the anticipated PS&E date

** the ad period requirement is 3 weeks, shorter advertisements require FHWA approval

### LIST OF ATTACHMENTS

- **Attachment 11.1 Selecting a Contract Type**