

### WSDOT's Role in Capital Construction Projects

WSDOT is responsible for ensuring that grantees follow state requirements associated with the receipt of grant funds for capital construction projects.

### Grantee's Role in Capital Construction Projects

Grantees are responsible for carrying out the project described in the grant agreement and complying with federal and state requirements. The grant-funded project is defined by its scope, schedule and budget. Changes to the scope, schedule and budget require WSDOT approval, as outlined in [Chapter 1](#).

The grant-funded project scope is detailed in the grant application and grant agreement. In some cases, only part of the project's overall scope is eligible for grant reimbursement.

WSDOT requires grantees to reach project-schedule milestones, which are used to track progress. With mutual agreement, these milestones can be adapted to suit the particular complexities of the project. In some cases, grantees have achieved some project milestones before they receive grant funds. Some of these activities may also occur simultaneously. Here is a list of project schedule milestones:

- Design (30, 60, 90 and 100 percent).
- Environmental documentation development, including Washington State Executive Order [05-05](#) compliance.
- Performance measurement plan.
- Permit acquisition.
- Land acquisition and right of way certification.
- Utilities.
- Contract advertisement, bid acceptance and award.
- Construction (25, 50 and 75 percent).
- Operationally complete (i.e., commissioned).
- Site inspection by WSDOT.
- Asset management plan or facility maintenance plan.
- Project closeout.

Capital construction project costs outlined in the grant agreement and associated with preliminary engineering, project level environmental assessment and documentation, final design, real estate purchases, and construction are eligible for grant reimbursement. Scope, schedule and budget development; corridor planning; alternatives analysis, major investment studies and corridor analysis costs do not qualify as eligible capital construction project expenses.

## 2015-2017 RMG Project Requirements

All two-year RMG projects awarded in 2015 must be completed, deliver public benefits and exhaust all 2015-2017 grant funds before June 30, 2017.

All four-year projects RMG awarded in 2015 must spend some grant funds and deliver significant project milestones by June 30, 2017.

Minimum milestones for these legislatively identified projects include:

- Complete 90 percent design/preliminary engineering.
- Complete environmental documentation.
- Set contract advertisement date.
- Set construction start and completion dates (before June 30, 2019).

**Note:** All RMG funds beyond June 30, 2017, are subject to legislative appropriation approval and, therefore, are not guaranteed.

## Design

Project design must meet the requirements in the Washington State *Standard Specifications for Road, Bridge, and Municipal Construction*. This publication is available at [www.wsdot.wa.gov/publications/manuals/m41-10.htm](http://www.wsdot.wa.gov/publications/manuals/m41-10.htm). Project teams wishing to use other design standards must submit a request to the WSDOT Public Transportation Division and obtain documented approval before design work commences. If design work is already underway before WSDOT awards grant funds, project teams must request documented approval for other design standards within two months after the grant agreement takes effect.

WSDOT recommends that a risk assessment be done prior to completion of the preliminary engineering phase.

**Note:** All design plans must be stamped by the appropriate professional engineer.

## Permit Requirements

Grantees are responsible for obtaining and ensuring compliance with all applicable local, state and federal permits. Federal compliance does not signify compliance with applicable local and state permits. The local organization must work with others as appropriate to provide the required analysis to complete its responsibilities under local, state and federal requirements for permits.

[Governor's Executive Order 05-05](#) is required of all capital construction projects and land acquisitions. A project likely to receive a categorical exclusion requires a letter from the Washington State Department of Archeology and Historic Preservation documenting compliance with the executive order. If the project receives federal funding, it is subject to the Federal Section 106 environmental review process. WSDOT requires documentation confirming successful completion of the process.

It is the grantee's responsibility to schedule and budget the project to comply with [EO 05-05](#).

Utilities and third parties often need extensive lead time to reasonably schedule the work and obtain the materials necessary for relocation of its facilities.

## **Conducting Procurement for Construction Projects**

As soon as WSDOT notifies your organization of a grant award, you may begin exploring procurement options.

WSDOT does not prescribe a specific procurement process when using state funds. However, grantees must undergo a competitive process. The process must correspond with your purchasing procedures and follow all applicable state laws.

## **Maintaining Procurement Records**

When state grant funds are used for facilities procurement, all pertinent procurement records must be maintained in a procurement file. Regardless of the process used to construct the facility, the complete procurement file must be maintained for six years beyond the useful life of the facility, depending on the type of structure. Contact WSDOT for assistance on determining the useful life of a facility constructed with grant funds. Review the Procurement File Contents checklist in [Appendix H](#) for details on which documents must be retained.

## **Managing the Constructed Facility**

Once the constructed facility is completed and accepted, grantees are expected to ensure it is used for the purposes described in the grant agreement and that it is properly maintained. The information below provides guidance on properly managing the grant-funded facility.

## **Maintaining a Facility**

Grantees are required to maintain facilities purchased and/or renovated with grant funds based on the contractor's recommendations and industry best practices. This typically consists of developing and implementing a preventive maintenance program. In establishing the preventive maintenance program, grantees should refer to any owner's manuals provided by the contractor for components (e.g., fueling pumps, vehicle lifts; heating; and ventilation and air-conditioning units) installed at the facility.

## **Transit Systems Must Have an Asset Management Plan**

This section only applies to transit systems. However, WSDOT considers the preventive maintenance practices described in the transit asset management plan (AMP) to be best practices for all grantees.

As a condition of receiving state funds, public transit systems must have an AMP certified by WSDOT.

**Note:** Further guidance on the AMP has been published in a separate document. Contact WSDOT for more information. Newly formed transit systems can find guidance for developing an AMP at [http://www.wsdot.wa.gov/NR/rdonlyres/13DDC2A7-C522-4E20-BA38-69F44FB301CA/0/guide\\_to\\_preparing\\_your\\_TAMP.pdf](http://www.wsdot.wa.gov/NR/rdonlyres/13DDC2A7-C522-4E20-BA38-69F44FB301CA/0/guide_to_preparing_your_TAMP.pdf).

## **Other Grantees Must Have a Facility Maintenance Plan**

In order to meet this requirement, grantees must submit a written facility maintenance plan for WSDOT's approval. At a minimum, the plan must cover all elements of the facility purchased with federal or state grant funds. Current capital construction grantees must submit their plans to WSDOT by October 1, 2015. New capital grantees must submit their plan prior to the occupancy of the constructed facility.

## **Insuring the Facility**

Facilities and equipment purchased with state or federal grant funds must be insured in compliance with state law. WSDOT must be listed as the loss payee in the event of a total loss. Grantees that self-insure must provide WSDOT with a declaration of self-insurance including a description of how the self-insurance pool is funded. For insurance requirements, refer to the "Loss or Damage of Project Equipment" section of the grant agreement.

## **Facilities Involved in an Incident**

Grantees are responsible for repairing any damage to grant-funded facilities. All damage should be repaired as quickly as possible. WSDOT must be notified in writing within five business days if the facility sustains disabling which results in one or all of the following:

- Total loss.
- Temporary (more than 10 business days) closure of the facility.
- Service operations being significantly hampered or reduced.

The written notification provided to WSDOT must include the following:

- The nature of the incident.
- The level of damage to the facility.
- Whether the damage resulted in a total loss of the facility and intentions regarding replacement of the facility.
- A copy of any accident or incident report on file with local law officials.
- A copy of any reports of investigations conducted or sponsored by your organization.

Grantees are not required to notify WSDOT if the facility sustains minor damage resulting in only cosmetic-related repairs.

If the damage to the facility results in a total loss, the insurance proceeds are required to be paid directly to WSDOT. Grantees that do not intend to replace the facility will receive a proportionate share of the insurance proceeds, per the terms of the grant agreement, provided that WSDOT finds the grantee is in compliance with the grant agreement.

Grantees that intend to replace the damaged facility must replace it with a similar structure/facility. Contact your WSDOT community liaison to initiate and arrange for the distribution of the insurance proceeds.