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Highways and Local Programs
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Chapter 11 Introduction

11.1 Purpose

The *Local Agency Guidelines* is intended to help Washington's public agencies plan, design, construct, and maintain transportation facilities. To assist agencies in accomplishing these goals, the manual describes the processes, documents, and approvals necessary to obtain Federal Highway Administration (FHWA) funds to develop local transportation projects and defray their costs.

The manual is a compilation of information from many sources and is a reference source for administrative and field personnel in any governmental agency. To serve the needs of local agencies, the manual describes development requirements and outlines procedures for obtaining approval when local conditions warrant departures from adopted standards.

Highways and Local Programs is the division within the Washington State Department of Transportation (WSDOT) which serves local agencies. The Regional Highways and Local Programs Engineer, the local agency's contact person within WSDOT, is always available to assist local officials with answers to their questions about the manual.

11.2 Organization of the Manual

Using the glossary and the cross-references, readers should be able to find answers to most questions regarding procedural requirements for FHWA assisted transportation projects. The manual is organized to reflect the flow of a project through the major phases of development and to incorporate the differing developmental needs of different projects.

The manual is divided into six parts. Each part contains one or more chapters which describe the requirements for completing specific project development activities:

Chapters 11–14, Guidelines Overview, discuss:

- Describe the purpose and objective of this manual.
- Provide a list of acronyms and a list of FHWA funding programs for local projects.
- Explain the process for becoming certified to administer FHWA projects.
- Describe the procedure for coordinating local transportation programs with areawide planning agencies.
- Provide an overview of the project development process.

Chapters 11–14, Appendices, include:

- A flowchart summarizing major activities required to develop a transportation project.
- A checklist of required approvals.
- A checklist of tasks necessary to complete various project phases.

Chapters 21–28, General Project Development Processes, describe procedures which apply to all FHWA assisted transportation projects.

Chapters 31–34, Special Project Development, describe procedures essential to some types of projects but not needed on all projects.

Chapters 41–46, Design, describe design standards for obtaining design phase approvals which must be incorporated into local projects, preparation of contract documents, and contracting for construction. Some of the chapters will apply, depending on whether a project is to be administered by WSDOT or the local agency.

Chapters 51–53, Construction and Post-Construction, describe procedures for administering the project construction phase, describe procedures for closing out FHWA projects. Procedures for state and local construction administration are discussed in separate chapters.

Chapter 61, Local Agency Force Projects, describes procedures from project design approval through the closing of an FHWA project, using the agency's labor, equipment, and materials.

In each chapter, there is a general discussion section which gives background information, policy, and the rationale for the requirements. This is followed by a detailed description of requirements (procedures, documents, and approvals). In most cases, general discussion appears at the beginning of each chapter, while details of the process appear later in the chapters. Backup data, checklists, sample letters, and instructions for completing forms appear in appendices to each chapter.

11.3 Updating Process

Since FHWA funding programs and eligibility requirements frequently change, this manual is updated twice a year, in April and October. If there are changes that need to be made immediately, the HQ H&LP Office will issue a letter to all manual holders and CA Agencies. Agencies are encouraged visit the H&LP website and sign up to receive emails notifications of updates.

Comments and suggestions for improvement of the manual are most welcome. They should be directed to the Region Highways and Local Programs Engineer, who will forward them to the WSDOT Highways and Local Programs Division where they will be considered in the next revision.

12.1 General Discussion

This chapter describes the distribution of Federal Highway Administration (FHWA) funds administered by the Washington State Department of Transportation's (WSDOT) Headquarters Highways and Local Programs (H&LP), and presents the basic procedures for local agency participation.

FHWA funds may be used to pay project costs for general transportation planning, preliminary engineering, right of way acquisition, construction, and audit. FHWA funds may only be expended after authorization by WSDOT through FHWA. They cannot be used for lobbying efforts.

Donated lands may be used as part of the agencies' match to the project under certain conditions. See Section 25.8 for the conditions.

.11 FHWA Funding Programs – With the passage of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), roadways eligible for FHWA administered funds are:

- The National Highway System (NHS).
- The Interstate System, which is a component of the NHS.
- Non-NHS routes which include all other functionally classified routes (except rural minor collector and local access) (SAFETEA-LU does allow up to 15 percent of Surface Transportation Program (STP) rural dollars to be used on rural minor collectors.

The NHS provides an interconnected system of principal arterials and other highways serving major population centers, international border crossings, ports, airports, public and intermodal transportation facilities, and other major travel destinations to meet national defense needs and to serve interstate and interregional travel.

Routes which must be included on the NHS are principal arterials, interstate highways, highways on the Strategic Highway Network (STRAHNET), major STRAHNET connectors, and congressional high priority routes.

For local agencies, a reimbursement-type program is available for financing eligible transportation projects. The following are the funding categories (see Section 12.3):

- Surface Transportation Program (STP)
- Transportation Enhancement (STPE)
- NHS
- Emergency Relief Program (ER)
- Highway Bridge Program (HBP)
- Congestion Mitigation and Air Quality (CMAQ)
- Highway Safety Improvement Program (HSP)

- Railway Highway Crossing
- Safe Routes to School
- Border Infrastructure

.12 Planning Requirements – At the state and federal levels, policies and procedures have been established to provide for areawide coordination of transportation programs.

The Metropolitan Planning Organization (MPO) is responsible for developing, in cooperation with the state and transit operators, a long-range transportation plan and a transportation improvement program (TIP) consistent with the long-range plan. All projects in an MPO area using Title 23 or Federal Transit Administration monies must be included in the TIP in order to proceed (refer to Appendix 12.61 for an MPO planning process flowchart).

The planning process requires consideration of: land use, intermodal connectivity, methods to enhance transit, and needs identified through new technical management systems.

MPOs with populations over 200,000 are designated as Transportation Management Areas (TMAs). TMAs have project selection authority for regional STP and CMAQ funds in consultation with the state. Washington MPOs and designated county area lead agencies are given project selection authority for regional STP funds.

12.2 Coordination With Planning Agencies

SAFETEA-LU requires a continuous transportation planning process. That process involves:

- TMA long-range transportation plans
- TMA Congestion Management Process
- MPO long-range transportation plans
- a statewide long-range transportation plan
- a Statewide Transportation Improvement Program (STIP)

Development of the STIP includes:

- all TMA transportation improvement programs
- all MPO transportation improvement programs
- all improvement programs for the remainder of the state
- involvement of:
  - local agencies
  - Regional Transportation Planning Organizations (RTPOs)
  - Transportation Management Areas (TMAs)
  - Metropolitan Planning Organizations (MPOs)
  - WSDOT
  - transit agencies
  - the Governor's Office

.21 Statewide Transportation Improvement Program (STIP) – SAFETEA-LU places considerable emphasis on transportation planning and programming activities at both the regional and state levels. There is a federal requirement for a statewide

Any route that provides parallel service to limited access NHS routes may also receive NHS funding even if the parallel route is not included on the NHS. Improving the parallel route, however, must benefit the NHS route. WSDOT will continue to exchange NHS funds for STP funds for allocation to the responsible selection agencies (MPO, RTPO, or county lead). Formula distribution of these funds is not allowed.

While there is no formal acknowledgment required, it is recognized that an agency with NHS routes is responsible for the maintenance and upkeep of those routes, that those routes are deemed to be greater importance than non-NHS routes and that when rehabilitation or reconstruction work is accomplished NHS standards apply (see Chapter 41).

The agencies are expected to consider the relative importance of the route, roadway condition and traffic impact on NHS routes as they prepare their six-year programs for their roadway systems. The local agencies and the responsible selection agencies will insure their respective NHS routes are given priority in their programming process.

Therefore, a certification from the MPOs, RTPOs, and county lead agencies stating that the NHS facilities have been given priority in their programming process or the NHS facilities are in adequate condition, is required to be included in their TIP submittals to WSDOT.

For information on the designated NHS Routes, see Appendix 12.66 and 12.67.

.33 Highway Safety Improvement Program (HSIP) – SAFETEA-LU establishes a new core safety program that is separately funded and is tied to strategic safety planning and performance.

a. **Strategic Highway Safety Plan** – The safety program requires each state to develop and implement a strategic highway safety plan that is approved by the Governor. The plan identifies safety problems and includes strategies to improve them. As part of the plan, the state is required to develop an evaluation process to assess results and use the information for future improvements.

b. **Safety Program** – Safety projects selected after January 2007 will be consistent with the Strategic Highway Safety Plan and final project approval shall be determined by the legislature and Governor's Office.

   WSDOT developed two grant programs to address safety in 2005 and 2006:

   1. **Intersections and Corridors Safety Program** funds safety projects that eliminate or reduce fatal or injury accidents at high accident intersections and within high accident corridors. Types of projects the Intersection and Corridor Safety Program may fund are:

      - Intersection improvements such as installing signals, advanced detection at signalized intersections, signal interconnects, flashing lights, installing roundabouts, or adding turn lanes.
      - Improving roadway geometrics such as increasing lane or shoulder widths, horizontal or vertical curve realignment, or improving bicycle and pedestrian amenities.

- Pavement markings such as no pass stripes, pavement markers, edge stripes, higher-type retro reflective marking material, raised pavement markings, or recessed pavement markers.
- Provide consistent clear zone width along a corridor (minimum width to permit a disabled vehicle to pull completely off the roadway).
- Provide appropriate recovery area or clear zone that is free of fixed object hazards (such as slope flattening or providing breakaway features).
- Installing guardrail or rumble strips.
- Implementing access management by consolidating or eliminating driveways.

In 2006, the Governor approved 25 projects totaling approximately $18 million of federal safety funds. These safety projects are funded at 100 percent federal for all eligible items.

2. **Rural County Two-Lane Roadway Pilot Program** funds "high-accident-corridor" projects on two-lane county roads that are functionally classified as a rural arterial (02), minor arterial (06), and major collector (07). A "high-accident-corridor" is defined as a section of road one mile or more in length that exceeds the county average for collisions and severity on rural two-lane arterials, minor arterials, and major collectors. The "high-accident-corridor" rate shall be based on number of crashes per million vehicle miles. Counties submit projects that meet the following guidance:

   The term "high-accident-corridor project" means a project that:

   - corrects or improves a hazardous road location or feature, or
   - addresses a highway safety problem.

   "High-accident-corridor" project will typically include one or more of the following:

   - Installation of rumble strips.
   - Improvement of highway signage and pavement markings (no pass stripes, pavement markers, edge stripes, wider stripes, higher-type retro reflective marking material, raised pavement markings, recessed pavement markers, etc.).
   - Installation of guideposts.
   - Installation of a traffic control or other warning device at a location with high accident potential such as warning signs for curves.
   - Installation of guardrails, barriers, and crash attenuators.
   - Installation of skid-resistant surface at an intersection or other location with a high frequency of accidents.
   - Provide appropriate recovery area or clear zone that is free of fixed object hazards (such as slope flattening or providing breakaway features).

This matrix illustrates the FTA transfer options:

	FTA	FHWA
Transit Rolling Stock	X	
Park and Ride Lots	X	X
Pedestrian Ways	X	X
Refueling Bus	X	
Carpool and Vanpool	X	X
Regional Rideshare	X	X
Commute Trip Reduction	X	X
Bikeways		X
Intermodal Station	X	
Bus and Signal Priority		X
Transit Maintenance and Operations	X	
Ferry Terminals	X	X
Passenger Ferry Vessels	X	
People Mover	X	
Auto Ferry Vessels-Metro (Puget Sound)	X	
Auto Ferry Vessels-Rural		X

Options for Federal Management Grantee

If the project is to be implemented through FTA, generally the whole project, including all phases, should be transferred. In some instances (some transit planning studies and selected projects not clearly defined above), funds to a transit agency may be approved though FHWA. Generally, these projects will have their scope of work and administrative oversight administered through WSDOT's Public Transportation Division.

Once FTA has reviewed the application and it is complete and ready for approval, FTA requests the transfer through H&LP. H&LP will request the transfer of funds from FHWA to FTA. FHWA action to transfer the funds is considered an obligation against the highway obligation ceiling. FTA will subsequently make a grant utilizing the transferred funds.

12.6 Appendices

12.61 MPO Planning Flowchart

12.62 MPO/RTPO Map

12.63 MPO/RTPO Directory

12.64 STP Lead Agencies

12.65 Six Year Transportation Improvement Program – Worksheet

12.66 Local Agency NHS Mileage

12.67 Local Agency NHS Route Termini

Adams County
Asotin County
Benton-Franklin Council of Governments
Chelan County
Clallam Long Range Transportation Planning Office
Columbia County
Cowlitz-Wahkiakum Council of Governments
Douglas County
Ferry County
Franklin County
Garfield County
Grant County
Grays Harbor Council of Governments
Island County
Jefferson County
Kittitas County
Klickitat County
Lewis County
Lincoln County
Mason County
Okanogan County
Pacific Council of Governments
Pend Orielle County
Puget Sound Regional Council
San Juan County
Skagit Council of Governments
Skamania County
Southwest Washington Regional Transportation Council
Spokane Regional Transportation Council
Stevens County
Thurston Regional Planning Council
Wahkiakim County
Walla Walla County
Wenatchee Valley Transportation Council
Whatcom Council of Governments
Whitman County
Yakima Valley Conference of Governments

Appendix 12.65 Six Year Transportation Improvement Program – Worksheet

Washington State Department of Transportation

Page 1 **Six Year Transportation Improvement Program**

From _____ **to** _____

Agency: _____

Co. No.: _____ **Co. Name:** _____

City No.: _____ **MPO/RTPO:** _____

Hearing Date: _____ **Adoption Date:** _____

Amend Date: _____ **Resolution No.:** _____

Functional Class	Priority Number	Project Identification A. Federal Aid No. B. Bridge No. C. Project Title D. Street/Road Name or Number E. Beginning MP or road - Ending MP or road F. Describe Work to be Done	Improvement Type(s)	Status	Total Length	Utility Codes	Project Costs in Thousands of Dollars: Project Phase	Phase Start (mm/dd/yyyy)	Fund Source Information: Federal Funding: Federal Fund Code	Federal Cost by Phase	State Fund Code	State Funds	Local Funds	Total Funds	Expenditure Schedule (Local Agency): 1st	2nd	3rd	4th Thru 6th	Federally Funded Projects Only: Envir. Type	R/W Required Date (MM/YY)
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21
		from: to:																		No
							Totals													
		from: to:																		No
							Totals													
		from: to:																		No
							Totals													
		from: to:																		No
							Totals													
		from: to:																		No
							Totals													
		from: to:																		No
							Totals													

Appendix 12.66 Local Agency NHS Mileage

Agency Name	Length (Miles)	% of NHS	Lead Agency
Pasco	0.51	0.39	
Richland	2.94	2.22	BFCG
Douglas County	2.74	2.07	
East Wenatchee	1.37	1.04	WVTC
Walla Walla Airport	0.68	0.51	BFCG
Pullman	2.58	1.95	Whitman County
Clallam County	0.53	0.40	
Port Angeles	2.36	1.78	Clallam County
Bellevue	3.22	2.43	
Bremerton	0.10	0.08	
Everett	4.05	3.06	
Federal Way	0.87	0.66	
Fife	0.34	0.26	
Kent	2.16	1.63	
King County	1.37	1.04	
Kirkland	1.58	1.19	
Kitsap County	9.54	7.21	
Lakewood	1.23	0.93	
Lynnwood	0.47	0.36	
Mountlake Terrace	0.13	0.10	
Port Orchard	0.65	0.49	
Renton	3.08	2.33	
Seatac	2.58	1.95	
Port of Seattle	1.53	1.16	
Seattle	41.30	31.20	
Shoreline	0.76	0.57	
Snohomish County	3.40	2.57	
Tacoma	2.89	2.18	
Tukwila	2.88	2.18	PSRC
Anacortes	0.55	0.42	SMPO
Island County	1.88	1.42	Island County
Spokane	3.12	2.36	
Spokane Int. Airport	4.37	3.30	
Spokane Valley	2.32	1.75	SRTC
Port of Kalama	0.20	0.15	
Kalama	0.10	0.08	CWCOG
Vancouver	0.26	0.20	RTC
Lacey	5.76	4.35	
Olympia	2.71	2.05	
Thurston County	0.19	0.14	
Tumwater	1.88	1.42	TRPC
Bellingham	5.53	4.18	
Whatcom County	0.58	0.44	WCOG
Union Gap	0.59	0.45	
Yakima County	1.52	1.15	
Yakima	2.96	2.24	YVCOG
Total NHS Miles	**132.36**	**100%**	

Agency Name	Functional Class	Route Name	Start Location	End Location
Anacortes	16	Commercial Ave	12th St	6th St
Anacortes	16	Commercial Ave	4th St	2nd St
Anacortes	16	Commercial Ave	6th St	4th St
Bellevue	16	108th Ave NE	NE 4th St	NE 8th St
Bellevue	16	108th Ave NE	Northup Way	Kirkland CL (.10 Miles N of NE 39th St)
Bellevue	14	112th Ave NE	NE 4th St	NE 8th St
Bellevue	14	150th Ave SE/148th Ave SE	I-90 (Exit 11a,B)	SE Eastgate Way
Bellevue	14	Bellevue Way NE/Lake Washington Blvd	Northup Way	Bellevue N C/L (0.04mi N of Northup)
Bellevue	14	Bellevue Way NE/Lake Washington Blvd	SR 520 (South Bridge Seat)	Northup Way
Bellevue	14	NE 4th St	108th Ave NE	I-405 (Exit 13a-B N/B Ramps)
Bellevue	16	NE 6th St	112th Ave NE	108th Ave NE
Bellevue	14	NE 8th St	108th Ave NE	112th Ave NE
Bellevue	14	NE 8th St	112th Ave NE	I-405 (Exit 13a-B N/B Ramps)
Bellevue	16	Northup Way	Kirkland C/L (0.16mi E of Lake Washington Blvd)	108th Ave NE
Bellevue	16	Northup Way* Split With Kirkland	0.08mi SE of Lake Washington Blvd	End C/L Split with Kirkland
Bellevue	17	SE Eastgate Way	148th Ave SE	142nd Ave SE
Bellevue	17	SE Eastgate Way	156th Ave SE	148th Ave SE
Bellingham	14	Chestnut St	Bay St/Roeder Ave	Cornwall Ave
Bellingham	16	Cornwall Ave	E Maple St	E Chestnut St
Bellingham	16	Cornwall Ave	W Pine/Port Terminal Access	E Maple St
Bellingham	17	Donovan Ave/10th Ave	SR 11/12th St	Harris Ave
Bellingham	17	Harris Ave	10th St	Alaskan Ferry-Facility Entrance
Bellingham	14	Meridian St	Squalicum Pkwy	Orchard Dr
Bellingham	14	Meridian St	W Orchard Dr	Mcleod Rd/I-5
Bellingham	16	Roeder Ave	Squalicum Pkwy	Bay St/Chestnut St
Bellingham	16	Squalicum Pkwy	Meridian St	Roeder
Bellingham Airport	16	Airport Way	Airport Dr	Bakerview Rd/Mitchell Way
Bellingham Airport	16	Mitchell Way	Airport Way	Airport Way/Mitchell Way Loop
Bremerton	17	Farragut St	Navy Installation Entrance	SR- 304 (SRmp 1.15)
Clallam	16	S Airport Rd	US 101	W Edgewood Dr
Douglas	14	Airport Way	Grant Rd	Airport Terminal
Douglas	14	Grant Rd	Kentucky Ave (C/L)	N Nile Ave
Douglas	14	Grant Rd	N Nile Ave	N Stark Ave
Douglas	14	Grant Rd	N Stark Ave	S Union Ave
Douglas	14	Grant Rd	Pangborn Dr	Airport Way
Douglas	14	Grant Rd	S Union Ave	Pangborn Rd
East Wenatchee	14	Grant Rd	James Ave	Kentucky Ave (C/L)
East Wenatchee	14	Grant Rd	SR 28	James Ave
Everett	14	Airport Rd	112th St SW (Everett C/L)	Everett C/L (.27mi SE of 112th St SW)
Everett	14	Airport Rd	Everett C/L (.14mi S of 100ST)	112th St SW (Everett C/L)
Everett	14	Airport Rd	Everett C/L (.27mi SE of 112th St SW)	SR 99/Everett C/L
Everett	14	Airport Rd	SR 526	W Casino Rd
Everett	14	Airport Rd	W Casino Rd	Everett C/L (.11mi N of 94th St SW)
Everett	17	Hoyt Ave	Pacific Ave	SR 529/Everett Ave

Agency Name	Functional Class	Route Name	Start Location	End Location
Everett	14	Pacific Ave	W Marine View Dr	SR529/I-5 (South Bound On Ramps)/ Maple St
Everett	14	Seaway Blvd	SR 526	75th St SW
Everett	17	Smith Ave	Pacific Ave	Multimodal Train/Bus Depot (32nd Street)
Everett	14	W Marine View Dr	Pacific Ave	Everett Ave
Federal Way	17	23rd Ave S	320th St S	Federal Way Park-N-Ride/324th
Federal Way	14	348th St S	SR 99/Pacific Hwy S	9th Ave S (Facility Ent .25 Mi W of SR 99)
Federal Way	14	S 320th St	23rd Ave S	I-5 (Exit 143 Nb Ramps)
Fife	14	Port of Tacoma Rd	I-5	Fife N C/L
Island	7	Ault Field Rd	.250 mi E of Old Goldie Rd	SR 20
Island	16	Ault Field Rd	Langley Blvd	0.250 Mi E of Old Goldie Rd
Kalama	8	Oak St	W 3rd St	Kalama E C/L (.03 Mi W of W Frontage Rd)
Kent	19	270th St S/28th Ave S	S 272nd St	272nd Facility Entrance
Kent	14	272nd St S	S 270th St/28th Ave S	I-5 (North Bound On/Off Ramp)
Kent	19	64th Ave S	W Meeker St	W James St
Kent	17	James St	64th Ave	SR 181st/Washington Ave
Kent	14	James St	SR 181/Washington Ave	Lincoln Ave
Kent	16	N Lincoln St	W James St	Kent Park-N-Ride (0.04mi South of W James St)
Kent	16	W Meeker St	SR 516/Kent Des Moines Rd	64th Ave S
King	16	Juanita-Woodinville Way	I-405 (North Bound Ramps)	Brickyard Yard Park-N-Ride Entrance (115th Ave NE)
King	14	Rainier Ave S	Renton C/L (0.13mi S of S 115th Pl)	Seattle C/L (0.50mi N of S Lakeridge Dr)
Kirkland	17	116th Ave NE	NE 124th St	Kingsgate Park-N-Ride
Kirkland	17	120th Ave NE	NE 116th St	NE 124th St
Kirkland	16	NE 116th St	I-405/Exit 20a	120th Ave NE
Kirkland	14	NE 124th St	116th Ave NE	I-405 Nb Off Ramp
Kirkland	16	Northup Way*Split With Bellevue	Lake Washington Blvd	0.08mi SE of Lake Washington Blvd
Kitsap	16	Beach Dr E	Mp 5.05	Woods Rd Mp 3.346
Kitsap	16	Beach Dr E	Port Orchard C/L Mp 6.616	Mp 5.05
Kitsap	16	Beach Dr E	Woods Rd	Navy Access Rd (Driveway)
Kitsap	16	Clear Creek Rd NW	NW Orweiler Rd	NW Palau Rd
Kitsap	16	Clear Creek Rd NW	NW Trigger Ave	NW Orweiler Rd Mp2.804
Kitsap	16	Clear Creek Rd NW	SR 3/Kitsap Mall Blvd NW (Exit)	NW Trigger Ave
Lacey	17	6th Ave SE	Golf Club Rd	College St
Lacey	14	College St SE	I-5 Overpass	Martin Way N
Lacey	14	College St SE	Montclair Ave SE	Pacific Ave
Lacey	14	College St SE	Pacific Ave	I-5 Overpass
Lacey	14	College St SE	Yelm Hwy	Montclair Ave
Lacey	14	Martin Way NE	College St	I-5 Exit 109 Nb Ramps
Lacey	14	Yelm Hwy SE	College St	Ruddell Rd SE (North Leg)
Lacey	14	Yelm Hwy SE	Ruddell Rd (South Leg)	Lacey SE City Limits
Lacey	14	Yelm Hwy SE	Ruddell Rd SE (North Leg)	Ruddell Rd (South Leg)
Lakewood	14	Bridgeport Way	Seattle Ave	I-5 (Exit 125-Sb Ramps)
Lakewood	14	Bridgeport Way SW	Mcchord Dr SW	Seattle Ave SW

Agency Name	Functional Class	Route Name	Start Location	End Location
Lakewood	14	S Tacoma Way	112th St S (Mcchord AFB)	Pacific Hwy SW/S Tacoma Way
Lakewood	14	S Tacoma Way	Pacific Hwy S/S Tacoma Way	SR 512/Perkins Ln
Lynnwood	17	200th St SW	SR 524 Spur Cedrwy	46th Ave W
Lynnwood	16	44th Ave W	I-5 (North Bound Off Ramp Exit 181A)	SR 524 Spur Cedrwy
Lynnwood	19	46th Ave NW	200 St SW	Facility Entrance/202nd St SW
Lynnwood	17	Poplar Way	I-5 (North Bound Off Ramp)	196th St SW/SR 524
Mountlake Terrace	16	236th St SW	I-5 (South Bound On Ramp)	Mt Lake Terrace Park-N-Ride
Olympia	14	4th Ave	Franklin St	Plum St
Olympia	16	East Bay Dr NE	State Ave NE	Olympia Ave NE/Marine Dr NE
Olympia	19	Franklin St	Olympia Ave	4th Ave
Olympia	16	Henderson Blvd/East Bay Dr	I-5 (Exit 105)	Plum St
Olympia	17	Marine Dr/Olympia Ave	East Bay Dr	Market St
Olympia	17	Market St	Marine Dr	Franklin Ave (Port Terminal)
Olympia	19	Olympia Ave	Washington St	Franklin St
Olympia	16	Plum St	Legion Way	State Ave
Olympia	16	Plum St	Union Ave	Legion Way
Olympia	16	Plum St/East Bay Dr	Henderson Blvd	Union Ave
Olympia	14	State Ave	Plum St	Washington St
Olympia	19	Washington St	State Ave	Olympia Ave
Pasco	14	N 20th Ave	I-182	W Argent Road
Port Angeles	16	Lauridsen Blvd	S Airport Rd	L St
Port Angeles	17	Marine Dr	Boat Haven Dr	W Hill St
Port Angeles	17	Marine Dr	Boat Haven Dr	SR 117/Tumwater Rd
Port Angeles	17	Marine Dr	S Valley St	SR 117
Port Angeles	16	S Airport Rd	Edgewood Dr	Lauridsen Blvd
Port Angeles	17	W 1st St	S Valley St	S Lincoln St
Port Angeles	17	W Front St	N Lincoln St	N Oak St
Port Angeles	17	W Front St	S Oak St	S Valley St
Port of Kalama	9	W 3rd St	Oak St	Port of Kalama
Port Orchard	16	Bay St	Bethel Ave/SR -166	Guy Wetzel
Port Orchard	16	Bay St	Guy Wetzel	N Bay St.
Port Orchard	16	Beach Dr	N Bay St.	Pt Orchard C/L
Pullman	16	Airport Rd	Farm Way	Airport Entrance
Pullman	16	Airport Rd	SR 270/Main St	Farm Way
Renton	14	6th St N	Logan Ave N	N Park Ave
Renton	14	Airport Way	Rainier Ave N	Shattuck Ave S
Renton	14	Airport Way	Shattuck Ave S	Logan Ave S
Renton	14	Logan Ave N	Airport Way	N 6th St
Renton	14	Park Ave N/NE Park Dr	N 6th St	I 405 Sb Lanes
Renton	14	Rainier Ave S	SR 900/S 2nd St	Renton C/L (0.13mi S of S 115th Pl)
Richland	14	Bypass Highway	SR-240	Saint St/Stevens Dr
Richland	14	Stevens Dr	Saint	Spengler
Richland	14	Stevens Dr	Spengler Rd	Horn Rapids Rd
Seatac	14	Orillia Rd S	I-5 Exit 152 (NB Ramps)	S 188th St
Seatac	14	S 188th St	International Blvd/SR 99	SR 509/Des Moines Memorial Way

Agency Name	Functional Class	Route Name	Start Location	End Location
Seatac	14	S 188th St	Orillia Rd S	International Blvd/SR 99
Sea-Tac	14	North Seatac Airport Access Rd	S 160th St/SR-518	Terminal Entrance
Sea-Tac	14	South Seatac Airport Access Rd	International Blvd/SR 99	S 160th St/SR-518
Seattle	19	13th Ave SW	SW Florida St	Port Facilities (SW Massachusetts St)
Seattle	14	15th Ave NW	NW 50th St	NW Market St
Seattle	14	15th Ave NW	NW 85th St	NW 87th St
Seattle	14	15th Ave NW	NW Market St	NW 85th St
Seattle	14	15th Ave NW (Ballard Br)	NW 50 St	W Emerson St
Seattle	14	15th Ave W	W Armour St	W Galer St
Seattle	14	15th Ave W	W Armour St	W Bertona St
Seattle	14	15th Ave W	W Bertona St	W Emerson St
Seattle	17	16th Ave SW/Klickitat Ave SW	SW Spokane St	SW Florida St
Seattle	14	1st Ave NE	NE 103rd St	NE Northgate Way
Seattle	14	1st Ave S	S Cloverdale St	Olson Pl SW
Seattle	14	1st Ave S/Myers Way S	Olson Pl SW	Olson Myers Park-N-Ride Entrance/Exit
Seattle	16	2nd Ave Extension S	4th Ave S	S Jackson St
Seattle	16	2nd Ave S	S King St	S Jackson St
Seattle	14	4th Ave S	Airport Way S	2nd Ave Ext S
Seattle	14	4th Ave S	E Marginal Way	S Dawson St
Seattle	14	4th Ave S	I-90 Wb Off Ramp	Airport Way S
Seattle	14	5th Ave N	Harrison St	Roy St
Seattle	16	5th Ave NE	NE 103rd St	Northgate Park-N-Ride (0.12mi N of Northgate)
Seattle	16	6th Ave S	S Spokane Eb S	S Forest St
Seattle	16	7th Ave	Stewart St	Olive Way
Seattle	16	8th Ave	Facility	Stewart St
Seattle	16	9th Ave	Stewart St	Facility
Seattle	14	Airport Way S	Military Rd S Connection/S Rose St	Seattle S C/L (0.4mi S of S Norfolk St)
Seattle	14	Airport Way S	S Hardy St	Military Rd S Connection/S Rose St
Seattle	14	Airport Way S	Tukwila E C/L (2.13mi S of S Hardy St)	Seattle S C/L (0.26mi S of S Norfolk St)
Seattle	14	Alaskan Way	Madison St	Broad St
Seattle	14	Alaskan Way	Yesler Wy	Madison Way
Seattle	16	Alaskan Way S/E Marginal Wy S	S Massachusetts St	S Royal Brougham Way/S Connecticut/ SR-519
Seattle	17	Bellevue Ave E	Olive Way	E Denny Way
Seattle	14	Broad St	Alaskan Way	Elliott Ave
Seattle	14	Broad St	Elliott Ave	Western Ave
Seattle	14	Broad St	Harrison St	Westlake Ave N
Seattle	19	Corgiat Dr S	S Albro Pl	18th Ave S
Seattle	14	Denny Way	Stewart St	Melrose Ave
Seattle	17	Duwamish Ave S	E Marginal Way S	S Spokane SR St
Seattle	14	E Denny Way	Melrose Ave	Bellevue Ave
Seattle	14	E Olive Way	I-5 Olive NB On	Bellevue Ave
Seattle	14	East Marginal Way S	14th Ave S	Carleton Ave S
Seattle	14	East Marginal Way S	16th Ave S	14thAve S

Agency Name	Functional Class	Route Name	Start Location	End Location
Seattle	14	East Marginal Way S	Carleton Ave	Michigan Ave
Seattle	16	East Marginal Way S	Duwamish Ave S	S Spokane St (East Bound)
Seattle	16	East Marginal Way S	S Hinds St	S Massachusetts St
Seattle	14	East Marginal Way S	S Michigan Ave	1st Ave S (Bridge)
Seattle	16	East Marginal Way S	S Spokane St (East Bound)	S Hinds St
Seattle	14	East Marginal Way S	Seattle S C/L (0.26mi S/O 16th Ave S)	16th Ave S
Seattle	14	Elliott Ave	Broad St	Elliot Ramp To SR 99
Seattle	14	Elliott Ave	Broad St	Denny Way
Seattle	16	Elliott Ave	Elliot Ramp To SR 99	Lenora St
Seattle	14	Elliott Ave W	Denny Way	Western Ave W
Seattle	14	Elliott Ave W	W Mercer Pl	W Galer St
Seattle	14	Elliott Ave W	Western Ave W	W Mercer Pl
Seattle	14	Fairview Ave N	Mercer St	Valley St
Seattle	14	Greenwood Ave N	N 130th St	N 105th St/Holman Rd NW
Seattle	14	Greenwood Ave N	N 145th St	N 130th St
Seattle	14	Harrison St	5th Ave N	Broad St
Seattle	14	Holman Rd NW	NW 87th St	Greenwood Ave N
Seattle	14	Howell St	8th Ave	Terry Ave
Seattle	14	Howell St	Terry Ave	Yale Ave
Seattle	14	Mercer St	9th Ave N	Westlake Ave N
Seattle	14	Mercer St	Dexter Ave N	9 Ave N
Seattle	14	Mercer St	Westlake Ave N	Fairview Ave N
Seattle	14	Mercer St/W Mercer St	Dexter Ave N	1st Ave N
Seattle	14	N Northgate Way	Corliss Ave N	1st Ave NE
Seattle	16	NE 103rd St	0.05 Mi E of 1st Ave (Facility Ent)	5th Ave NE
Seattle	16	NE 103rd St	1st Ave NE	0.05 Mi E of 1st Ave (Facility Ent)
Seattle	14	Olive Way	7th Ave	Terry Ave
Seattle	14	Olive Way	Minor Ave	I-5/Olive (North Bound On Ramp)
Seattle	14	Olive Way	Terry Ave	Minor Ave
Seattle	14	Olson Pl SW	1st Ave S/Myers Way S	Olson/Myers Park-N-Ride
Seattle	14	Queen Anne Ave N	W Roy St	Mercer St
Seattle	14	Rainier Ave S	Martin Luther King Way	I-90 (East Bound Lanes)
Seattle	14	Rainier Ave S	S Henderson St	Martin Luther King Way S
Seattle	14	Rainier Ave S	Seattle C/L (0.50mi N of S Lakeridge Dr)	S Henderson St
Seattle	16	Roy St	2nd Ave N	Queen Anne Ave
Seattle	14	Roy St	5th Ave N	2nd Ave N
Seattle	14	S Albro Pl	Hardy St	Stanley Ave S
Seattle	16	S Albro Pl	Stanley Ave S	Corgiat Dr S
Seattle	16	S Cloverdale St	SR 509 (North Bound Off Ramp)	SR 509 (South Bound Lanes)
Seattle	19	S Dawson St	4th Ave S	Truck/Rail Facility Entrance
Seattle	16	S Forest St	Airport Way S	6th Ave S
Seattle	17	S Hanford St	E Marginal Way S	1st Ave S
Seattle	14	S Hardy St	Airport Way S	Stanley Ave S
Seattle	19	S Hardy St	Stanley Ave S	S Albro Pl
Seattle	14	S Jackson St	2nd Ave S	2nd Avenue Extended S

Agency Name	Functional Class	Route Name	Start Location	End Location
Seattle	19	S King St	2nd Ave S	Amtrack Station
Seattle	16	S Spokane (N Route & S Route) St	1st Ave S	6th Ave S
Seattle	16	S Spokane (N Route & S Route) St	E Marginal Way S	1st Ave S
Seattle	17	S Spokane (N Route & S Route) St	SW Spokane St	E Marginal Way S
Seattle	14	Stewart St	7th Ave	8th Ave
Seattle	14	Stewart St	8th Ave	9th Ave
Seattle	14	Stewart St	9th Ave	Boren Ave
Seattle	14	Stewart St	Boren Ave	Eastlake Ave E
Seattle	17	SW Florida St	16th Ave SW	13th Ave SW
Seattle	17	SW Spokane St	11th Ave SW	S Spokane St
Seattle	17	SW Spokane St	Chelan Ave SW	11th Ave SW
Seattle	14	Valley St	Westlake Ave N	Fairview Ave N
Seattle	16	W Galer Flyover	Elliott Ave W	16th Ave W/BN-Interbay Yard
Seattle	14	W Mercer St/W Mercer Pl	1st Ave N	Elliott Ave W
Seattle	14	W Western Ave	W Denny Way	Elliott Ave W
Seattle	14	West Marginal Way SW	2nd Ave SW	Highland Park
Seattle	14	West Marginal Way SW	Highland Park Way SW	SW Edmunds St
Seattle	16	West Marginal Way SW	Marginal Pl SW	Chelan Ave SW
Seattle	16	West Marginal Way SW	SW Edmunds St	Marginal Pl W
Seattle	12	West Seattle Freeway	SR 99 (Ramps)	6th Ave S Rps
Seattle	14	Western Ave	Bell St/SR-99 Off Ramp	Broad St
Seattle	14	Western Ave	Broad St	W Denny Way
Shoreline	14	N 155 St	Westminister Way N	SR 99/Aurora Ave N
Shoreline	14	Westminster Way N	N 145th St	N 155th St
Snohomish	14	128th St SW	4th Ave W	I-5 (South Bound Ramp Exit 186)
Snohomish	14	128th St SW	Airport Rd/E Gibson Rd	4th Ave W
Snohomish	14	164th St SW	Swamp Creek Park N Ride	I-5 (Exit 183)
Snohomish	17	4th Ave W	Mariner Park And Ride	128th St Sw
Snohomish	14	Airport Rd	100th St SW	Everett C/L (.14mi S of 100ST)
Snohomish	14	Airport Rd	Everett C/L (.11mi N of 94th St)	100th St SW
Snohomish	14	Airport Rd	SR 99/Everett C/L	E Gibson Rd/128th St Sw
Snohomish	17	Ash Way	164th St SW	Ashway Park &Rid North Entrance (.30mi N of 164th)
Snohomish	14	SR 96/128th St SW	I-5 (South Bound Ramp Exit 186)	I-5 (SR-96 Mp 0.0 (West Bridge Seat))
Spokane	17	N Bernard St	W Sprague Ave	W Riverside Ave (Existing Connector)
Spokane	17	N Fancher Rd	E Mansfield Ave/E Union Ave	E Rutter Ave
Spokane	17	N Fancher Rd	E Parkwater	E Mansfield Ave/E Union Ave
Spokane	17	N Fancher Rd	SR 290/Trent Ave	E Parkwater Ave
Spokane	17	N Wall St	Sprague Ave	Riverside Ave
Spokane	16	S Bernard St	W 1st Ave	W Sprague Ave
Spokane	14	S Lincoln St	4th Ave/I-90	Riverside Ave
Spokane	14	S Monroe St	Freeway Ave N/W 4th Ave	Sprague Ave
Spokane	14	S Stevens St	W 1st Ave	W Sprague Ave
Spokane	14	W 1st Ave	S Stevens St	S Bernard St
Spokane	16	W 4th Ave	S Jefferson St	S Lincoln St

Agency Name	Functional Class	Route Name	Start Location	End Location
Spokane	16	W 4th Ave/Freeway Ave S	End of I-90 Exit 280 EB Off Ramp	S Jefferson St/W 4th Ave
Spokane	19	W Freeway Ave N	S Monroe St	I-90 (Exit 280 WB On Ramp)
Spokane	16	W Riverside Ave	N Bernard St	US-2/N Division St
Spokane	16	W Riverside Ave	N Lincoln St	N Bernard St
Spokane	14	W Sprague Ave	N Bernard St	US 2/N Division St
Spokane	14	W Sprague Ave	N Monroe St	N Wall St
Spokane	14	W Sprague Ave	N Stevens St	N Bernard St
Spokane Int'l Airport	14	W Airport Dr	W Airport Dr (Begin Two Way)	US 2
Spokane Int'l Airport	14	W Airport Dr (North Leg)	W Airport Dr (Diverge Two Way)	W Mcfarlane Rd
Spokane Int'l Airport	14	W Airport Dr (South Leg)	W Mcfarlane Rd	W Airport Dr (Merge Two Way)
Spokane Valley	14	E 1st Ave	I-90 (East Bound Off Ramp)	S Theirman Rd
Spokane Valley	14	E Sprague Ave	0.06 Mi W of S Thierman (Old David St)	S Thierman Rd
Spokane Valley	14	E Sprague Ave	I-90	S Dollar Rd
Spokane Valley	14	E Sprague Ave	N Fancher Rd	I-90
Spokane Valley	14	E Sprague Ave	S Dollar Rd	0.06 Mi W of S Thierman (Old David St)
Spokane Valley	16	N Fancher Rd	E Sprague Ave	SR 290/E Trent Ave
Spokane Valley	16	N Fancher Rd/3rd Ave	I-90 (West Bound On Ramp)	Sprague Ave
Spokane Valley	16	S Thierman St	E 1st Ave	E Sprague Ave
Tacoma	14	E Port of Tacoma Rd	Fife N C/L	Marshall Ave
Tacoma	14	E Port of Tacoma Rd	Marshall Ave	E 11th St
Tacoma	17	Lincoln Ave	E Marc St	Milwaukee Way
Tacoma	17	Lincoln Rd	Milwaukee Way	Port of Tacoma Rd
Thurston	14	Yelm Hwy SE	Lacey SE C/L	Entrance Lacey Amtrak
Tukwila	14	Airport Way S	Seattle S C/L (0.26mi S of S Norfolk St)	Boeing Access Rd
Tukwila	14	Airport Way S/Boeing Field King Co Intl	Seattle S C/L (1.80mi S of S Hardy St)	Tukwila E C/L (2.13mi S of S Hardy St)
Tukwila	14	Boeing Access Rd	Airport Way	I-5
Tukwila	14	Boeing Access Rd	E Marginal Way	Airport Way
Tukwila	14	East Marginal	Boeing Access Rd	Seattle South C/L (0.26mi S of 16th Ave S)
Tumwater	16	Old Hwy 99/Capitol Way	Tumwater Blvd	Henderson Blvd (Airport Entrance)
Tumwater	16	Tumwater Boulevard	I-5 (Exit 101) S/B Ramps	Old Highway 99/Capitol Boulevard
Union Gap	14	E Valley Mall Blvd	I-82(North Bound Ramp)	1st St/Main St
Union Gap	14	Main St/S 1st St	W Valley Mall Blvd	S Old Town Rd
Vancouver	19	W/E 7th St	C St	Washington St
Vancouver	14	Washington St	I-5 On Ramps	W 7th St
Walla Walla Airport	16	Airport Way/A St	US 12	Douglas Ave/6th Ave
Whatcom	16	Airport Dr/W Bakerview Rd	Airport Way	I-5 NB Ramp
Yakima	7	Firing Center Rd	I-82(North Bound Ramp)	Treatment Plant Rd
Yakima	7	Firing Center Rd	Treatment Plant Rd	D St
Yakima	14	S 1st St	Old Town Rd	Washington Ave (Yakima)
Yakima	14	W Washington Ave	16th Ave	24th Ave
Yakima	16	W Washington Ave	1st St	C/L (.05mi E of Presson Pl)
Yakima	16	W Washington Ave	Yakima C/L (0.05Mi W of Presson Pl)	C/L (.03 Mi E of 16th Ave)
Yakima	16	W Washington Ave (City)	C/L (.03 Mi E of 16th Ave)	16th Ave

Chapter 13 Certification Acceptance Program

13.1 General Discussion

The Federal Highway Administration (FHWA) through a Stewardship Agreement, delegates authority to the Washington State Department of Transportation (WSDOT) for approving project development and construction administration. WSDOT has the option of delegating some or all of this authority to qualified local agencies, state or federal agencies, or Tribal governments. This procedure permits an agency to retain more of the approval authority at the local level when developing FHWA assisted transportation projects. WSDOT delegates this authority through a Certification Acceptance (CA) program. The CA program does not eliminate any project development procedures. Benefits of CA to a local agency include savings in time and money since the agency has the authority to develop, advertise, award, and manage its own projects.

CA requires local agencies to commit sufficient staff and other resources to project administration to ensure that all applicable state and federal requirements are met, and that the work can be accomplished efficiently. Once an agency has been certified, the certification agreement remains in effect indefinitely unless rescinded due to lack of performance or modified by one of the parties.

A CA agency has the option of requesting that WSDOT or another CA agency administer any given project.

By agreeing to accept federal aid funds, the local agency understands its roles and responsibilities with respect to carrying out the federal aid program. WSDOT is permitted to delegate certain activities, under its supervision, to local agencies (cities, counties, private organizations, or other state agencies) under federal regulation 23 CFR 1.11 and 635.105, however, WSDOT accepts responsibility for delegated activities.

FHWA is required by federal legislation to conduct verification activities to assure that WSDOT and the local agencies' implementation of the federal highway programs conform with laws, regulations and policies. Similarly per FHWA's delegation,WSDOT is also required to conduct verification activities to assure that local agency federal aid projects are implemented in conformance with federal aid requirements.

Certification Acceptance requirements for the right of way program are addressed in Chapter 25.

Projects funded by Enhancement, Scenic Byways, and Safe Routes to School programs shall be administered in accordance with the Certification Acceptance Program.

13.2 CA Features

A certified agency is the approving authority for administering FHWA funded projects in the following project items:

a. Design.

b. Utility agreements.

c. Railroad agreements.

d. Standard consulting engineering agreements.

e. Public hearings, findings, and orders.

f. Plans, specifications, and estimates.

g. Advertisement, award, and execution of construction contracts.

h. Construction administration.

i. Construction material testing and testing personnel.

j. Concurrence in Award of delegated projects.

All of the above functions should be administered per the responsibilities outlined in the Agency's approved CA Agreement.

WSDOT and FHWA retain approval authority for the following:

WSDOT

a. Plans, Specification, and Estimate approval (*Standard Specifications* Division 1).

b. Pulic Interest Findings (local force work, agency supplied materials, proprietary items, etc.).

c. NEPA Categorical Exclusions per MOU, Section 106 Consultation.

d. Implementation of the Civil Rights Program Requirements (DBE, Title VI, ADA, and EEO/OJT).

e. Tied Bids approval.

f. Agency Certification Acceptance (CA) approval.

g. Project Final Acceptance.

h. Revisions to Agreements, when applicable.

i. Documentation/Project Management Reviews.

j. Concurrence in Award of DBE non-FHWA oversight projects.

FHWA

a. Authorization of FHWA funds.

b. Approval of National Environmental Protection Act (NEPA) and Endangered Species Act (ESA) environmental documents.

c. Right of way certification approval.

d. Approval of WSDOT's Civil Rights Programs (DBE, Title VI, EEO, ADA).

e. Buy America waiver approval.

f. Approval for Advertisement Period less than three weeks.

g. Approval of the *Local Agency Guidelines*.

h. Full oversight project approvals per Stewardship and Oversight Agreement. (Concurrence in Award, PS&E, Change Orders over $200,000, etc.)

13.3 CA Requirements

a. Projects must be administered in accordance with the *Local Agency Guidelines*.

b. Projects must be administered utilizing a Professional Civil Engineer registered in the state of Washington who is either on staff as a public employee or is a contract employee designated as the agency's Engineer.

c. The agency shall have sufficient expertise and capability to perform and supervise the design, environmental, PS&E, and construction-administration phases of the project.

d. The agency must have designated an official approving authority for all WSDOT-delegated project approvals. This authority (e.g., agency executive or policy body) must officially approve each project step for which it is the approving authority, as identified in the agreement.

13.4 Application for CA

An agency applying to administer contracts under Certification Acceptance procedures must submit two copies of the Certification Acceptance Qualification Agreement and their Table of Organization to the Region Highways and Local Programs Engineer. A "Certification Acceptance Qualification Agreement" form is located at the end of this chapter and is also available through the WSDOT Region Local Programs Engineer.

After receiving the CA Qualification Agreement, the WSDOT Highways and Local Program's Project Development Engineer will conduct an interview with the local agency administrators to determine whether the agency is capable of administering an FHWA-funded project. Areas of consideration will be a determination of past performance, current staffing, overall capability, and knowledge of FHWA and state requirements.

Based on the interview, the Director of H&LP will allow the agency to administer a project under a trial/mentoring status. Immediately following the completion of the project, a Project Management Review (PMR) will be performed to evaluate how the agency performs. A favorable PMR will result in the agency achieving CA status.

13.5 CA Compliance

The WSDOT Region Local Programs Engineer will consult and advise the CA agency concerning the project-management procedures to be followed. The level of this assistance will depend on the nature of each project and the demonstrated capabilities of the agency. In order to be reasonably certain that local agencies are administering FHWA funds in accordance with the *Local Agency Guidelines,* WSDOT will perform procedural reviews on selected local agency ad-and-award projects.

These reviews will be:

- Project Management Reviews (PMR) performed by Highways and Local Programs (see Appendix 53.51 for review questions for PMR's and Documentation Reviews).
- Documentation Reviews performed by the Region Local Programs Engineer.

The agency may lose CA status, have its delegation of authority reduced to a project or phase of a project, or be placed on probationary CA. This may be the result of:

- A PMR or Documentation Review.
- An audit by the State Auditor.
- Final project inspection.
- The qualifications and experience of the agency staff are altered.
- A determination from any FHWA oversight activity.

If a vacancy occurs in the positions described in the CA Agreement as "Approving Authority," the Region Local Programs Engineer shall be notified and may schedule an interview of the replacement person.

The loss of CA status and reinstatement conditions will be outlined in a letter from H&LP.

13.6 Non-CA Status

If an agency does not have CA status, the following two options are available for administration of a FHWA funded project

Option 1

- CA Agency Administering a Project for a Non-CA Agency

A non-CA agency enters into an Agreement with a CA agency to administer all aspects of the project. This requires approval by the Region Local Programs Engineer.

Option 2

The Region Local Programs Engineer acts as the CA for the agency and approves an agency to perform specific aspects of a project. An approved plan for the administration of the project is executed between the Region Local Program Engineer and the agency. This category allows projects of smaller sizes to be performed in part by the agency. The project plan shall address such issues as:

- Financing approvals – accounting/billing capabilities.
- Consultant involvement and monitoring. The agency must obtain the approval of the Region Local Programs Engineer prior to selection of a consultant.
- Development of design and design documentation.
- Development of plans, specifications, and estimates.
- Approval of contract documents.
- Advertising, award, execution of a contract.
- Contract oversight and documentation.
- Change order approval.
- Material approval.

13.7 Appendices

13.71 Certification Acceptance Qualification Agreement

13.72 Certification Acceptance Interview Form

Agency _____ **Agency No.** _____

The agency agrees to comply with the following requirements when developing all Federal Highway Administration (FHWA) projects under _____ **CA status.**

1. Adherence to the *Local Agency Guidelines* and all policies and procedures promulgated by the Washington State Department of Transportation (WSDOT) which accomplish the policies and objectives set forth in Title 23, U.S. Code, Highways, and the regulations issued pursuant thereto.

2. The overall approval authorities and conditions will be as follows:

   a. The project prospectus will be reviewed and approved by the following official.

   _____
   Position Title Only

   b. The local agency agreement will be reviewed and approved by the following official or officials.

   _____
   Position Title Only

   c. The designs and environmental documents will be reviewed and approved by the following state of Washington registered Professional Civil Engineer.

   _____
   Position Title Only

   d. The hearing's findings (if required) will be reviewed and approved by the following official or officials.

   _____
   Position Title or Titles Only

   e. The contract plans, specifications and estimate of cost will be reviewed and approved by the following state of Washington registered Professional Engineer.

   _____
   Position Title or Titles Only

   f. Agreements will be signed by the following responsible local official:

   (1) Railroad _____
   Position Title Only

   (2) Utility _____
   Position Title Only

   (3) Consultant _____
   Position Title Only

   (4) Technical Services _____
   Position Title Only

g. The award of contract will be signed by the following responsible local official.

_____
Position Title Only

h. All projects will be constructed in conformance with the Washington State Department of Transportation/American Public Works Association (WSDOT/APWA) current *Standard Specifications for Road, Bridge, and Municipal Construction* M 41-10 and such specifications that modify these specifications as appropriate. Multimodal enhancement projects shall be constructed in conformance with applicable state and local codes.

i. The contract administration will be supervised by the following state of Washington registered Professional Civil Engineer.

_____
Position Title Only

j. Construction administration and material sampling and testing will be accomplished in accordance with *Construction Manual* M 41-01 and the *Local Agency Guidelines.*

3. The agency agrees that they have the means to provide adequate expertise and will have support staff available to perform the functions being subdelegated. The support staff may include consultant or state services.

4. The agency agrees that the signature on each project prospectus and local agency agreement will be consistent with section 2 above.

5. All projects under Certification Acceptance shall be available for review by the FHWA and the state at any time and all project documents shall be retained and available for inspection during the plan development and construction stages and for a three year period following acceptance of the project by WSDOT.

6. Approval of the local agency certification by the Director of Highways and Local Programs may be rescinded at any time upon local agency request or if, in the opinion of the Director of Highways and Local Programs, it is necessary to do so. The rescission may be applied to all or part of the programs or projects approved in the local agency certification.

_____ _____
Mayor or Chairman Date

WASHINGTON STATE DEPARTMENT OF TRANSPORTATION

Approved By: _____ _____
Director of Highways and Local Programs Date

Certification Acceptance Interview Form

Agency _____ **Date** _____

Interview Conducted By | **Agency Representatives**

_____ _____
_____ _____
_____ _____
_____ _____

Table of Organization
(Get copy from agency and review duties, requirements, and personnel currently filling.)

Position Responsible for the Following Functions

Six-Year Transportation Improvement Program _____
Selection of Annual Program _____
Location/Design Approval _____
Environmental Documents _____
PS&E Approval _____
Tied Bids _____
Approval of Materials Sources _____
Construction Administration _____
Construction Inspection _____
Acceptance Sampling/Test _____
Independent Assurance Sampling/Test _____
Change Orders _____
Project Files _____
EEO Interviews/Monitoring _____
Training Goal Attainment _____
DBE Compliance/Monitoring _____
ADA Compliance/Monitoring _____
Consultant Services _____
Title VI _____

Consultants

For what areas does the agency expect to use consultants?

_____ Environmental
_____ Design
_____ PS&E Preparation
_____ Right of Way Appraisal
_____ Right of Way Negotiation
_____ Right of Way Relocation
_____ Construction Administration
_____ Construction Inspection
_____ Surveying
_____ Sampling and Testing

Does the local agency utilize WSDOT's *Consultant Services Manual* M 27-50 in its consultant selection processes associated with federal aid projects? Yes _____ No _____

Does the local agency have written procedures for the selection of consultants?
Yes _____ No _____
Comments _____
_____
_____

If consultants are used, how will the agency monitor and control the consultant's work? _____
_____
_____
_____

Remind the agency that they will be in control of the consultant's work and that EEO, DBE, and training should be done by the agency.

Title VI

Does the local agency have a Title VI Plan and/or Nondiscrimination Agreement and is it up to date? Yes _____ No _____

Comments _____
_____
_____

Right of Way

Does the agency have procedures approved by WSDOT for:

Right of Way Acquisitions Yes _____ No _____
Relocation Yes _____ No _____

Procedures for Ad, Award, and Execution of Contract

Position responsible for:

Approval to Advertise _____
Prequalification of Bidders _____
Award of Contract _____
Execution of Contract _____
Name of Legal Publication _____

General Questions About Administration

Who decides on and approves deviations from design prior to submittal to the state for formal approval? _____
_____
_____

Describe ledger system. _____
_____
_____

Who will check payrolls, etc.? _____
_____
_____

Describe the process for approving project special provisions. _____
_____
_____

Describe change order approval process (including those that affect the work of DBEs). _____
_____
_____

Describe materials testing and approval process. _____

Describe agency requirements for project diary and inspectors daily report keeping. _____

Describe agency process for approval of subcontractors. _____

How will the agency handle administration of more than one contract at the same time? _____

How will the agency handle inspection of several phases of project at same time (e.g., dirt work, electrical, paving, structure)? _____

How will the agency respond if project engineer and/or inspector are unable to be on job site due to illness, etc.? Who will handle control of project if needed person cannot be there? _____

How does the agency manage traffic control? _____

Are there written procedures for preconstruction conferences? _____

Does the Agency Have These Necessary Manuals

Local Agency Guidelines	Yes _____	No _____
AASHTO Policy on Geometric Design of Highways and Streets	Yes _____	No _____
WSDOT *Construction Manual*	Yes _____	No _____
WSDOT/*APWA Standard Specifications*	Yes _____	No _____
APWA Amendments	Yes _____	No _____
WSDOT *Amendments and Standard Specifications*	Yes _____	No _____
Standard Item Table	Yes _____	No _____
MUTCD	Yes _____	No _____
WSDOT *Design Manual*	Yes _____	No _____
WSDOT *Standard Plans for Road and Bridge Construction*	Yes _____	No _____
WSDOT *Utility Manual*	Yes _____	No _____
WSDOT *Right of Way Manual*	Yes _____	No _____
SWIBS Manual	Yes _____	No _____
Hydraulics Manual	Yes _____	No _____
WSDOT *DBE Program Plan*	Yes _____	No _____
WSDOT *Consultant Services Manual*	Yes _____	No _____

Upcoming Federal Aid Projects **Scheduled to Begin**

_____ _____
_____ _____
_____ _____
_____ _____

Summary

Action to be taken by agency in following areas:

_____
_____
_____
_____
_____
_____
_____
_____

Comments From Reviewers

_____
_____
_____
_____
_____
_____
_____
_____

Recommendation of Review

_____ Full administration by agency of all projects
_____ Administration by agency on a project-by-project basis
_____ Administration by agency for projects up to $_____
_____ Deny approval for certification acceptance
_____ Remove from certification acceptance status

Concurrence by Director of Highways and Local Programs

_____ _____
Director of Highways and Local Programs Date

Chapter 14 Developing Projects Using the Local Agency Guidelines

14.1 General Discussion

The previous three chapters of this manual explained how local agencies may qualify to receive Federal Highway Administration (FHWA) funding for their transportation projects. The remainder of the manual explains procedures for developing specific projects.

Once a local agency has qualified to receive FHWA funds, as described in Chapter 12, the next action is to apply for funds to develop specific projects in its transportation program. Depending on their size and complexity, different projects may require different development procedures. The remaining chapters of the manual are arranged to reflect these differences.

Chapters 21–28, General Project Development Processes, describe activities required during preliminary engineering on all projects.

Chapters 31–34, Special Project Development Processes, describe activities that may be required on some projects.

Chapters 41–46, Design, and Chapters 51–53, Construction and Post Construction, offer the local agency a choice of procedures, depending on whether its projects are located in urban or rural areas and whether it or the state will administer its construction contracts.

Chapters 61, Local Agency Force Projects, describes procedures from project design approval through the closing of an FHWA project, using the agency's labor, equipment, and materials.

The specific requirements for a project may change as project development progresses and as more information about a project becomes available. Further details of the specific requirements are shown in the Project Development Process Flowchart and Checklist. The meanings of unfamiliar terms may be found in the Glossary. Once the local agency has identified the steps required on a particular project, only the parts in the manual that deal specifically with those steps need be referred to.

14.2 Project Development Process Overview

This section describes the project development process by setting forth project phases, documentation requirements, options for construction administration, and required reviews and approvals.

.21 Phases of Authorization – FHWA funds may be authorized for the following project phases:

a. Preliminary engineering (planning).

b. Right of way acquisition.

c. Construction.

Phase Requirements When Utilizing FHWA Funds

For all phases, and at the time of each phase authorization, all funds necessary to complete the scope of work being authorized for the phase must be secured. The local agency must provide certification of secured funding with all authorization requests.

Preliminary Engineering Phase – FHWA Funds in PE Phase Only. For FHWA funds to be used in the PE phase of the project, the environmental documentation including FHWA NEPA approval, must be completed prior to advertising the project for construction. With no federal funds in the right of way or construction phases, the local agency must still follow federal environmental regulations and the Uniform Relocation Assistance and Real Property Acquisition Policies Act. A NEPA document must be approved by FHWA and all environmental commitments must be incorporated into the right of way and construction phases. Right of way must be acquired per the *Right of Way Manual* M 26-01 and acquisition may proceed during the PE Phase in accordance with the manual. Title 23 USC regulations, including Buy America and Davis-Bacon provisions, do not apply if no FHWA funds are used for construction. Any study projects are excluded from NEPA approval.

Right of Way Phase – FHWA Funds in Right of Way Phase. For FHWA funds to be used in the right of way phase of the project, the environmental documentation including FHWA NEPA approval, approved relocation plan (if applicable), Project Funding Estimate, approved right of way plan must be completed prior to FHWA R/W authorization. All property acquisitions and relocations must be completed prior to advertising the project. All environmental commitments must be incorporated into the R/W and construction phases. The right of way must be certified by WSDOT prior to advertising the project, even if no federal funds are used in construction.

Construction Phase – FHWA Funds in Construction Phase. All federal laws are triggered with federal funds in the construction phase; examples include NEPA, Title 23 USC, Uniform Relocation Assistance and Real Property Acquisition Policies Act, Buy America, and Davis-Bacon. After approval of the NEPA document, right of way certification, and the DBE/Training goals are established the construction phase can be authorized by FHWA. Once FHWA authorizes construction funding the local agency has authority to advertise the project.

.23 Construction Contract Administration – The local agency has the option of:

a. Administering the contract if it has approved certification acceptance procedures and operates in compliance with Chapter 13.

b. Requesting that WSDOT administer the contract.

c. Using its own forces to perform the work if operating under Certification Acceptance (CA) (Chapter 61).

d. Requesting that another public agency (one operating under CA) perform the work (Chapter 13).

e. Performing contract administration by a consultant (Chapter 31 under CA).

14.3 Projects Within Interstate Rights of Way

Since all projects within the Interstate rights of way (R/W) have the potential to impact safety and operations on the Interstate route, they must incorporate Interstate design criteria and construction quality. It is the Federal Highway Administration's (FHWA) policy that all projects within the Interstate R/W should be administered by WSDOT. However, given the scope and extent of non-Interstate projects within the Interstate R/W, it is recognized that local agency administration of some projects may be acceptable, and all requests will be considered on a case-by-case basis.

Whenever a local agency proposes a project within the Interstate R/W, they must develop an agreement with WSDOT that clearly outlines their duties and responsibilities to maintain the integrity of the Interstate facility, from both the safety and quality perspectives. The agreement should be executed prior to design approval and must be executed prior to advertising for bids. The following requirements must be incorporated into the agreement:

Responsibilities – WSDOT and the local agency must each assign a project engineer.

Design – WSDOT must review and approve all highway plans, profiles, deviations, structural plans, false-work plans, shoring plans, and traffic control plans for any work within the Interstate R/W.

Plans, Specifications, and Estimates – WSDOT must review and approve the plans and specifications for any work within Interstate R/W.

Advertising and Award – The local agency must confer with the WSDOT project engineer on any pre-award issues affecting the quality and timing of the contract.

Construction – All construction, materials, and quality control requirements contained in the current editions of the *Standard Specifications* M 41-10 and *Construction Manual* M 41-01 must be incorporated into the agreement.

Contract Changes – All contract changes affecting work within the Interstate R/W must have the prior concurrence of the WSDOT project engineer.

Final Inspection – The final inspection of the project must be performed by WSDOT or the Region Construction (Operations) Engineer and must provide proof of their approval.

Only local agencies with full certification acceptance authority may enter into such an agreement with WSDOT.

The agreement must be submitted to FHWA. FHWA reserves the right to assume full oversight of the project.

14.4 Project Development Process Flowchart and Checklist

The flowchart (see Appendix 14.51) and checklist (see Appendix 14.52) depict the sequence of major activities necessary to develop transportation projects using FHWA funds. The forms required for a project are shown on the list of forms. Since the type of work varies on projects, see *Construction Manual*, Chapter 11, for additional required forms.

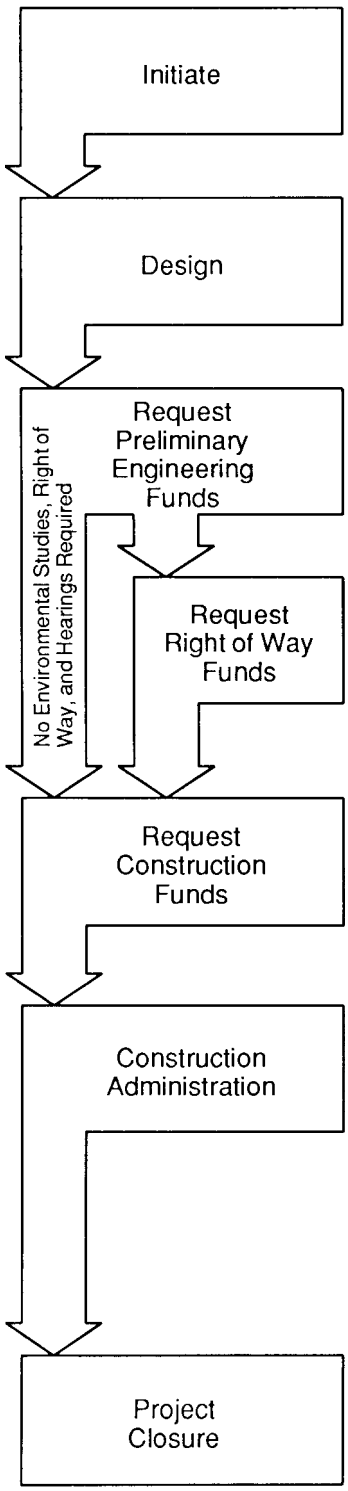
It is recommended that a copy of the checklist be inserted in the project file and used to initiate and document the activities necessary to complete a project.

14.5 Appendices

14.51 Project Development Process Flowchart

14.52 Project Development Checklist

Appendix 14.51 — Project Development Process Flowchart



	Process Activities	Chapter Reference
00	Project Development Checklist	12 and 14
00	Included in STIP	or
00	Project Development Checklist	
00	Prepare Project Prospectus-Design Report	21 and 43
00	If Applicable, Engage Consultant	31
00	Make Environmental Determination	24
00	If Applicable, Request Design Deviation	41
00	Project Development Checklist	
00	Project Prospectus	21
00	Local Agency Agreement	22
00	If Applicable, Request Design Deviation	41
00	Project Development Checklist	
00	Location/Design, Public Hearing, and Approval	43
00	Complete Environmental Action	24
00	Develop Right of Way Plans and Estimate	25
00	Complete Relocation Plan	25
00	Supplement to Local Agency Agreement	22
00	Project Development Checklist	
00	Relocation and Right of Way Certification and Project Analysis	25
00	DBE Goals Set	26
00	PS&E Approval	44
00	Supplement to Local Agency Agreement	22
00	For State Ad and Award, Financial Responsibility Letter	44
00	Project Development Checklist	
00	Contract Number From Region Highways and Local Programs Engineer	46
00	Notice to Minority Contractors Association (see Region Highways and Local Programs for Distribution Centers)	26
00	Advertise for Bids	46
00	For Certified Agency (CA), Approve Award and Notify Region Highways and Local Programs Engineer	46
00	For WSDOT Administered Contracts, Award by WSDOT	45
00	Award Data to Region Highways and Local Programs Engineer	46
00	Preconstruction Conference	52
00	Construction Administration (*Construction Manual* M 41-01)	52
00	Project Development Checklist	
00	Construction Completion Notice to Region Highways and Local Programs Engineer	53
00	Final Acceptance by FHWA	53
00	Final Billing and Cost Report to Region Highways and Local Programs Engineer	23 and 53
00	Complete DBE Form	26
00	Final Records	53
00	Audit	53

Appendix 14.52 Project Development Checklist

Project Title: _____

Project Location: _____

Road or Street Number: _____ FA Program: _____

Project Initiation
(Chapter 12)

Initials	Date or N/A	
_____	_____	Project in STIP
_____	_____	Federal aid program form (Sheet 1 of Prospectus) to:
		_____ Metropolitan planning organization
		_____ Or WSDOT (Region Highways and Local Programs)
_____	_____	Program of project approved by appropriate agency

Project Prospectus
(Chapters 21, 24, 42, and ECS Guidebook)

_____	_____	Sheet 1
		_____ Project information, local agency project number
		_____ Description of proposed work and existing facility
		_____ Cost estimate of all phases
		_____ Proposed obligation date
		_____ Environmental determination (CE, EIS, EA)
		_____ Request species listing from USFWS, NMFS, DNR, and WDFW
		_____ Signature block
_____	_____	Sheet 2
		_____ Geometric design data
		_____ Environmental considerations
		_____ Performance of work
_____	_____	Sheet 3
		_____ Right of way relocation
		_____ Utility relocations
		_____ FAA Involvement
		_____ Signature
		_____ Local Agency Design Matrix Checklist, Appendix 42.101
_____	_____	Prospectus Submittal Checklist, Appendix 21.41

Local Agency Agreement
(Chapters 22 and 23)

Initials	Date or N/A	
_____	_____	Billing address
		_____ Description of work matches prospectus
		_____ Check math on agreement
		_____ Federal aid matching percentage
		_____ Method of financing
		_____ Agreement signed by approving authority

Request Preliminary Engineering Funds
(Chapter 14)

_____	_____	Project programmed
_____	_____	Project application package to Region Highways and Local Programs Engineer:
		_____ Project prospectus with attachments (including Roadway Section if applicable)
		_____ Local Agency Agreement
		_____ Prospectus Submittal Checklist completed
_____	_____	PE funds authorized by Highways and Local Programs
_____	_____	Evaluate if WSDOT Access Permits are required

Consultant Selection Process
(Chapter 31)

_____	_____	Independent estimate for consultant services and recommendation (request) to approving authority
_____	_____	Receive approval to advertise for consultant services
_____	_____	Advertise for consultant services
_____	_____	Develop consultant evaluation selection criteria
_____	_____	Select minimum of three best qualified firms
_____	_____	Submit request for approval of selected firm to approving authority
_____	_____	Conduct pre award audit (if necessary) before negotiations
_____	_____	Approving authority approves selection, negotiation begins
_____	_____	Negotiation completed – submit final draft of agreement, etc., to the approving authority
_____	_____	Receive approval from approving authority
_____	_____	Agreement signed by consultant
_____	_____	Agreement executed by approving authority (consultant may now begin work)
_____	_____	Notice to proceed sent to the consultant
_____	_____	Send copy of agreement to Region Highways and Local Programs Engineer

Consultant Administration
(Chapter 31)

Initials	Date or N/A	
_____	_____	Oversee the consultant's work and billings to ensure compliance with the agreement
_____	_____	Prepare diary to record discussions and visitation with the consultant
_____	_____	Check consultant billings regarding employee classification, wage rate, actual invoices for direct non salary costs, etc.
_____	_____	Enter consultant payment on ledger system
_____	_____	Conduct consultant employee interviews
_____	_____	Establish and maintain a tracking system to monitor consultant agreement expiration dates

Environmental Processes
(Chapter 24 and ECS Guidebook)

Categorical Exclusion

_____ _____ For Categorical exclusion to be approved by FHWA complete the ECS and all necessary discipline reports and approvals (including, but not limited to the ESA and Section 106 processes.

- _____ Complete the ECS
- _____ Submit completed drafts of discipline reports to WSDOT Region Local Programs for review by Highways and Local Programs
- _____ Submit completed Discipline reports to WSDOT Region Local Programs
- _____ Obtain all necessary approvals
- _____ Submit concurrence letters for all applicable environmental considerations, including but not limited to the ESA and Section 106 requirements, final BA, Final Section 106 documentation, and final ECS to Region Local Programs for transmittal to Highways and Local Programs and FHWA

Environmental Assessment

_____	_____	Submit preliminary environmental assessment to Region Local Programs
_____	_____	Revise draft environmental assessment, based on Highways and Local Programs and FHWA comments
_____	_____	WSDOT and FHWA approve environmental assessment
_____	_____	Publish notice of availability for environmental assessment
_____	_____	Publish opportunity for comment period and hearing, if held
_____	_____	Submit FONSI package (including summary of comments received and responses, any revisions to the environmental assessment and FONSI) to Region Local Programs for review by Highways and Local Programs and FHWA
_____	_____	FONSI issued by FHWA
		-or-
_____	_____	Establish need to develop Environmental Impact Statement

Environmental Impact Statement
(Chapter 24 and ECS Guidebook)

Initials	Date or N/A	
_____	_____	Submit draft Notice of Intent to Region Local Programs
_____	_____	FHWA Publishes Notice of Intent
		Submit interdisciplinary team recommendations to project manager
_____	_____	Develop public involvement plan
_____	_____	Develop data inventory and evaluation from interdisciplinary team
_____	_____	Submit preliminary discipline reports for review to Region Local Programs
		Submit completed discipline reports to Region Local Programs
_____	_____	Submit preliminary Draft Environmental Impact Statement to Region Local Programs
_____	_____	Receive WSDOT and FHWA comments on the preliminary draft of EIS
_____	_____	Submit camera-ready Draft Environmental Impact Statement to Region Local Programs Engineer for WSDOT and FHWA signature
_____	_____	Receive approval to publish Draft Environmental Impact Statement
		Distribute draft environmental impact statement to circulation list
_____	_____	Publish notice of availability in Federal Register (minimum 45 days comment period)
_____	_____	Advertise opportunity for public hearing
_____	_____	Respond to all comments received and forward comments/responses to Region Local Programs for review by H&LP
_____	_____	Prepare and submit preliminary Final Environmental Impact Statement to Region Local Programs Engineer
_____	_____	Receive comments from WSDOT and FHWA
_____	_____	Receive approval to print Final Environmental Impact Statement
_____	_____	Submit final Environmental Impact Statement to Region Local Programs Engineer for WSDOT and FHWA signature
_____	_____	Circulate final Environmental Impact Statement
_____	_____	Submit draft record of decision package to FHWA
_____	_____	Final ROD issued by FHWA

Design Approval
(Chapter 43)

_____	_____	Submit project prospectus
_____	_____	Submit design report
_____	_____	Submit “Work Zone Safety and Mobility” report where applicable (see Section 41.2)
_____	_____	Submit pavement design criteria
_____	_____	Meet public hearing requirements
_____	_____	Meet environmental requirements
_____	_____	Concurrence with BA effect determinations
_____	_____	ECS approval by FHWA
_____	_____	For projects over $25 million in the construction phase and bridge projects over $20 million in the construction phase conduct a Value Engineering Study.
_____	_____	For traffic signal projects, submit warrants for signalization to Region Highways and Local Programs Engineer
_____	_____	Obtain location and design approval
_____	_____	Publish design approval notice

Right of Way Funding and Acquisition Funding
(Chapters 14 and 25)

Initials	Date or N/A	
_____	_____	Project in STIP
_____	_____	Complete design hearing requirements
_____	_____	Approve right of way plan
_____	_____	Submit right of way relocation plan (if required) to Region Highways and Local Programs Engineer
_____	_____	Submit right of way project funding estimate or true cost estimate, supplement to Local Agency Agreement and FHWA approval of environmental documents, to Region Highways and Local Programs Engineer with request for right of way funds
_____	_____	Receive authorization to acquire R/W from the Director of Highways and Local Programs

Acquisition
(Chapter 25)

_____	_____	Acquisition procedures approved by the Director of Highways and Local Programs
_____	_____	Acquisition procedures current
_____	_____	Set up documentation file for each parcel
_____	_____	Set up commitment file
		Appraisal:
_____	_____	Appraisal reviewer approved by WSDOT
_____	_____	Give landowner opportunity to accompany appraiser
_____	_____	Signed appraiser certification in file
		Appraisal Review:
_____	_____	Appraisal reviewer approved by WSDOT
_____	_____	Date of value determination precedes commencement of negotiations
_____	_____	Just compensation set by agency
_____	_____	Signed review appraiser certification in file
		Negotiations:
_____	_____	Prepare diary of all owner contacts
_____	_____	Give owner written statement of just compensation (Offer Letter)
_____	_____	Ensure that settlement contains construction clauses
_____	_____	Obtain evidence of clear title
_____	_____	Negotiator disclaimer statement in file
		Relocation Plan:
_____	_____	Approved by WSDOT
_____	_____	Work with WSDOT relocation staff on all relocations
		Project Completion:
_____	_____	Complete relocation
_____	_____	Complete acquisition
_____	_____	Complete administrative settlement documentation
_____	_____	Place a copy of deeds in file, include proof of payment in file

Initials	Date or N/A	
_____	_____	Send:
		_____ Letter of certification sent from local agency to Region Local Programs Engineer
		_____ LPA coordinator conducts certification review
		_____ WSDOT's certification by Real Estate Services, Assistant Director Local Agency Projects

Plans, Specifications, and Estimates
(Chapters 24, 26, 27, 44, and ESC Guidebook)

_____	_____	Review commitment and correspondence file
		When applicable, secure the following permits or interagency coordination:
		_____ Airport roadway clearance from FAA
		_____ Coastal zone management compliance from DOE
		_____ For cultural, archeological, or historic sites SHPO contacted
		_____ Obtain concurrence letters for environmental determination
		_____ Request updated ESA species lists every six months
		_____ When waters modified or controlled, USFWS and State Department of Fisheries and Wildlife consulted
		_____ When stream is affected, permit from DOE
		_____ For timber supporting land, permit from DNR
		_____ When construction might reduce water quality, contact DOE
		_____ For quarries of 2 acres (0.81 ha) and 10,000 tons (9 091 metric tons) or more DNR contacted
		_____ Waters/wetlands – Army Corps of Engineers contacted
		_____ For navigable waterways, permit from Coast Guard obtained
		_____ If wetlands are affected, U.S. Fish and Wildlife Service or National Marine Fisheries Services contacted
		_____ Utility agreement obtained
		_____ Railway agreement(s) obtained
		_____ On all federal aid projects, any revision to Division 1 of the *Standard Specifications* or APWA Division 1 *General Special Provisions* requires prior written approval from Highways and Local Programs
_____	_____	PS&E completed:
		_____ Vicinity map
		_____ Summary of quantities
		_____ Pit, quarry, stockpile, and waste sites
		_____ Reclamation plans
		_____ Roadway sections
		_____ Plans/profiles
		_____ Utility
		_____ Structure notes
		_____ Signing
		_____ Illumination
		_____ Bridge plans
		_____ Traffic control plans

Initials	Date or N/A		
		_____	Detour plans
		_____	Standard plans
		_____	Sheets numbered and dated
		_____	Each sheet signed and stamped by Professional Engineer
		_____	Bridge plans, design calculations, and soil report to Region Highways and Local Programs Engineer (State Ad and Award only)
		_____	Form FHWA-1273 and latest amendment included
		_____	Log of test borings
		_____	Training requirements
		_____	EEO requirement clauses
		_____	For steel, included Buy America requirement
		_____	Traffic control special provisions
		_____	Specialty items
		_____	General special provisions and amendments arranged in order and indexed
		_____	Project proposal
		_____	Noncollusion Declaration
		_____	Contract
		_____	DBE Utilization Certification
		_____	Engineer's estimate complete
		_____	Documentation for each item in engineer's estimate
		_____	Justification for nonparticipating items
		_____	Detailed documentation for lump sum items available in project files
		_____	Estimate to Region Highways and Local Programs Engineer
		_____	Training goal set by Highways and Local Programs
		_____	DBE goal set by Highways and Local Programs
		_____	Approval of local agency supplied materials
		_____	Sources approved by approving authority
		_____	Approval of stockpiling by the Director of Highways and Local Programs (when payment is requested for material when stockpiling aggregates, etc., for use on a future federal aid project)
		_____	Distribution of preliminary plans as determined by local agency
_____	_____	Field review of PS&E (State Ad and Award only)	
_____	_____	Tied bids – Approval from WSDOT	
_____	_____	For State Ad and Award, financial responsibility letter with PS&E documents sent to Region Highways and Local Programs Engineer	
_____	_____	PS&E approved by approving authority	
_____	_____	Plans, contract specifications and estimate stamped, signed, and dated, and on file in the local agency office	
_____	_____	State and federal wage rates added to ad plans	
_____	_____	PS&E sent to Region Highways and Local Programs Engineer	

Request Construction Funds
(Chapter 14)

Initials	Date or N/A	
_____	_____	Project in STIP
_____	_____	Send letter with the following attachments to Region Highways and Local Programs Engineer requesting construction funds:
		_____ Supplement to Local Agency Agreement, if project includes other phases
		_____ Letter of right of way certification
		_____ Final FHWA approval of environmental documents

Local Ad and Award
Advertise for Bids
(Chapter 46)

_____	_____	Get Highways and Local Programs Contract Number _____ from Region Highways and Local Programs Engineer
_____	_____	Approve ad period of less than three weeks
_____	_____	Publish notice of bid opening
_____	_____	Date of publication for sealed bids

Bid Opening
(Chapter 46)

_____	_____	Issued addendum (if within one week of bid opening, bid opening should be delayed)
_____	_____	Opened bids
_____	_____	Prepared bid tabulation sheet
_____	_____	Checked submitted bids for tabulation errors
_____	_____	Completed bid and bidders tabulation sheet
_____	_____	Checked DBE participation project goals – verify DBE certification status
_____	_____	Request DBE concurrence to award from H&LP for contracts containing DBE Goals
_____	_____	Determine responsive bid
_____	_____	Determine contractor qualifications
_____	_____	Contractor registered by Washington State Department of Labor and Industries
_____	_____	Contractor licensed as required by the laws of the State of Washington
_____	_____	Excluded Parties Listing System checked and documented (http://epls.arnet.gov)
_____	_____	Award recommendation sent to approving authority
_____	_____	When low bid is over engineer's estimate, submit justification and letter of award recommendation to approving authority
_____	_____	Submit supplement to Local Agency Agreement
_____	_____	Supplement approved by Highways and Local Programs

Award of Contract
(Chapter 46)

Initials	Date or N/A	
_____	_____	Establish contract award date _____
_____	_____	Sent "Award Letter" to successful low bidder
		Sent request for a DBE Utilization Certification breakdown if a DBE goal was set
_____	_____	Sent "Condition of Award" to successful low bidder if DBE goals are set in the contract
_____	_____	Notify all unsuccessful bidders
_____	_____	Return bid bonds
_____	_____	Notify second and third bidders of holding bid bonds until execution
_____	_____	Sent award data to the Region Local Programs Engineer:
		_____ Tabulation of bids
		_____ Engineer's estimate
		_____ Actual versus estimated costs shown in Local Agency Agreement
		_____ Award letter
		_____ DBE Utilization Certification, DOT Form 272-056A EF (if applicable)
		_____ Estimated date of contract completion or number of working days for the contract
		_____ Names and addresses of all firms that submitted a quote to the successful low bidder

DATE OF AWARD IS CUTOFF FOR CHARGING TO PRELIMINARY ENGINEERING

Construction Administration
Execution of Contract
(Chapter 46)

_____	_____	Sent contract and contract bond papers to contractor for signature
_____	_____	"Certificate of Insurance" received from contractor
_____	_____	Approving authority executed contract documents
_____	_____	Notified the contractor by phone of the execution of the contract
_____	_____	Executed a copy of the contract to contractor
_____	_____	Sent notice to proceed to contractor, with cc to Region Highways and Local Programs Engineer
_____	_____	Returned bid bonds to second and third bidders

Preconstruction Conference
(Chapter 51)

_____	_____	Notice of preconstruction conference to:
		_____ Contractor
		_____ Region Highways and Local Programs Engineer
		_____ Affected utility companies
		_____ Police department
		_____ Fire department
		_____ Hospital

Initials	Date or N/A	
		_____ Ambulance service
		_____ Post Office
		_____ Others _____
		_____ _____
		_____ _____
_____	_____	Preconstruction conference agenda prepared
_____	_____	Preconstruction conference held
		Minutes of meeting to:
		_____ Contractor
		_____ Subcontractors
		_____ Region Highways and Local Programs Engineer
		_____ Other attending persons
		_____ Invited but not represented agencies
		_____ Project file
_____	_____	"Training Program":
		_____ Received from contractor
		_____ Approved by agency
_____	_____	"Apprentice/Trainee":
		_____ Approval request from contractor
		_____ Approved by agency

Construction Documentation
(Chapter 52)

_____	_____	"Record of Material" received from WSDOT Materials Laboratory
_____	_____	Contractor provides copies of permits obtained from other agencies and/or property owners:
		_____ Washington State Department of Wildlife/Fisheries-Hydraulic Permit
		_____ Washington State Department of Ecology
		_____ Irrigation Regionals
		_____ Burlington Northern Railroad
		_____ Union Pacific Railroad
		_____ Air Pollution Control Authority
		_____ _____
		_____ _____
		_____ _____
_____	_____	Temporary water pollution control plan approved
_____	_____	Agency requests updated ESA species listing every six months
_____	_____	Approved contractor's progress schedule
_____	_____	Received railroad insurance from contractor
_____	_____	Construction diary started
_____	_____	Inspector's diary started
_____	_____	"Certification of Materials Origin" received from contractor
_____	_____	Material source approval received

Initials	Date or N/A	
_____	_____	Plans for falsework and forms:
		_____ Received from contractor
		_____ Approved by agency
_____	_____	Required job site posters placed by contractor:
		_____ FHWA 1495 Wage Rate Information
		_____ FHWA 1022 Fraud Notice Poster
		Know Your Rights Under the Recovery Act (ARRA)
		_____ EEOC P/E-1 Equal Employment Opportunity is the Law
		_____ WISHA F416-081-909 Job Safety and Health Projection
		_____ F242-191-909 Notice to Employees (L&I)
		_____ F700-074-909 Your Rights as a Worker in Washington State
		_____ EMS 9874 Notice to Employees (Employment Security)
		_____ WH 1088 Employee Rights Under the Fair Labor Standards Act
		_____ WH 1462 Employee Polygraph Protection Act
		_____ WH 1420 Employee Rights and Responsibilities Under the Family and Medical Leave Act of 1993
_____	_____	Daily construction signing records started (checked twice daily and recorded)
_____	_____	Weekly statement of working days started
_____	_____	Material acceptance sampler appointed
_____	_____	Material independent assurance sampler appointed
_____	_____	Appointed office engineer for progress estimates and final records
_____	_____	Obtain a copy of the scale certifications
_____	_____	Daily scale check
_____	_____	Received FHWA Form 1391 for each July from contractor and subcontractors
_____	_____	FHWA Form 1392 prepared and sent to Region Highways and Local Programs
_____	_____	Received “Request to Sublet Work” and “Subcontractor or Agent Certification” from contractor
_____	_____	Approved request to sublet (subject to 70 percent limit)
_____	_____	Received “Intent to Pay Prevailing Wages” from contractor, subcontractors, and agents
_____	_____	Received approved “Intent to Pay Prevailing Wages” from Labor and Industries (required before first payment)
_____	_____	Checked first certified payroll from contractor and subcontractors to ensure payment of prevailing wages
_____	_____	Conducted random check of each successive payroll
_____	_____	Wage rate interviews conducted
_____	_____	Checked employee interview wage rate against certified payroll and Labor and Industries approved prevailing rate
_____	_____	Assigned Change Order Numbers _____
		(Highways and Local Programs approval required when change order will alter the termini, character, or scope of work. Approval must be obtained before effective date of change order to be eligible for federal participation.)
		_____ Prepare change order that details basis and need for the change
		_____ Extension of time approved _____ days

Initials	Date or N/A	
		_____ Change order signed by contractor
		_____ Change order signed by surety (if required)
		_____ Verbal approval obtained from approving authority
		_____ Signed by approving authority
		_____ Original sent to contractor
		_____ Copy of approved change order sent to Region Highways and Local Programs Engineer
		_____ Supplement to Local Agency Agreement approved by the Director of Highways and Local Programs
_____	_____	Obtained copy of monthly estimate
		_____ Verified and documented that DBE is performing a commercially useful function prior to making a monthly payment
		_____ Prepared estimate
		_____ Checked estimate
		_____ Estimate sent to contractor
		_____ Estimate received from contractor
		_____ Obtain all “Intent to Pay Prevailing Wages” forms (for first month only; no payment can be made to the contractor until the form is received)
_____	_____	Overview of DBE Work (Chapter 26):
		_____ Verify work being done per Condition of Award Letter
		_____ Conduct on-site review(s) of each DBE to determine if the DBE is performing a commercially useful function (CUF)
		_____ Review change orders that affected DBE work
		_____ DBE goal change approved by the Director of Highways and Local Programs
_____	_____	Overview of EEO (Chapter 27):
		_____ Agency designates an EEO officer
		_____ Conduct on-site compliance review
		_____ Monitor DOT Form 820-010 EF each month for each trade
		_____ Notify contractor of compliance or noncompliance with the contract provisions
		_____ Ensure EEO signs are posted

Project Completion
(Chapter 52)

_____	_____	Prefinal inspection by local agency and contractor completed
_____	_____	Final inspection by local construction agency and contractor completed
_____	_____	Report of Non-American Made Material (GSP 0605.GR1) received from contractor
_____	_____	Notice of completion sent to contractor
_____	_____	Extension of time request with justification received from contractor
_____	_____	Extension of time granted, _____ days
_____	_____	Extension of time refused,
		_____ days
		_____ liquidated damages

Initials	Date or N/A	
_____	_____	Letter sent notifying contractor of assessed liquidated damages
_____	_____	Copy of completion notice requesting inspection and acceptance by Region Local Programs
_____	_____	Contractor submitted claim
_____	_____	No claim submitted
_____	_____	Notice of completion to:
_____	_____	Department of Labor and Industries
_____	_____	Department of Revenue
_____	_____	Received “Affidavit of Wages Paid” from contractor and subcontractors
_____	_____	Received ESA species listing for the project every six months
_____	_____	Received “Quarterly Report of Amounts Credited as DBE Participation” from contractor
_____	_____	Release received from Department of Labor and Industries
_____	_____	Release received from Department of Revenue
_____	_____	Comparison of preliminary and final quantities sent to approving authority
_____	_____	Material certification form sent to approving authority
_____	_____	Completed “Report of Contractor’s Performance” for prime contractor
_____	_____	As built plan completed (to be retained indefinitely)
_____	_____	Final record book #1 completed
_____	_____	Final estimate approved by the approving authority
_____	_____	Final estimate received from contractor
_____	_____	Paid final estimate
_____	_____	Released retained percentage from escrow or mailed check to contractor

Project Closure
(Chapters 32 and 53)

_____	_____	Completion letter sent to Region Highways and Local Programs Engineer (within 15 days after project is completed)
_____	_____	Final billing sent to Region Highways and Local Programs Engineer (within 90 days after completion)
_____	_____	Completed final field inspection by the Region Highways and Local Programs Engineer. Deficiencies (if any) will be noted on DOT Form 140-500 EF.
_____	_____	Resolve deficiencies found during the above field inspection
_____	_____	Informed by Region Highways and Local Programs Engineer of WSDOT final billing approval

Chapter 24 Environmental Processes

24.1 General Discussion

This chapter summarizes the regulations and federal coordination requirements that local agencies must follow on projects that receive funding from the Federal Highway Administration (FHWA). Detailed guidance for complying with the federal requirements is provided in the *Environmental Classification Summary (ECS) Guidebook* and in the *Environmental Procedures Manual* M 31-11 (EPM).

Projects involving federal funds, permits, or land are governed by a number of environmental requirements, including but not limited to:

- National Environmental Policy Act (NEPA) of 1969, 42 USC 4321, et. seq.
- Council on Environmental Quality Regulations for Implementing NEPA, 40 CFR, Part 1500, et. seq.
- Federal Highway Administration and Federal Transit Administration Implementing Regulations, 23 CFR, Parts 771, 772, and 774
- Environmental Impact and Related Procedures, 49 CFR, Part 622
- Section 7 of the Endangered Species Act (ESA), 50 CFR, Part 402
- Section 106 of the National Historic Preservation Act, 36 CFR, Part 800
- Presidential Executive Order 12898 – Environmental Justice
- Section 4(f) of the U.S. Department of Transportation Act of 1966

FHWA's approval of NEPA, in particular their signature on the Environmental Classification Summary (ECS), does not signify an approval of the State Environmental Policy Act (SEPA), nor any applicable local, state, and federal permits. Local agencies are responsible for ensuring compliance with SEPA and obtaining all applicable local, state, and federal permits. While the local agency may utilize the analysis completed in the NEPA process to assist in the completion of SEPA and applicable permits, NEPA approval must not be misconstrued as a guaranteed approval of any other local, state, or federal requirement. The local agency must work with other agencies, as appropriate, to provide the required analysis to complete their responsibilities under SEPA and other local, state, and federal permit and process requirements (see Appendix 24.72).

24.2 NEPA Classification

Projects subject to NEPA fall into one of the three following classifications:

- Class I Projects require preparation of an Environmental Impact Statement (EIS) because the action is likely to have significant adverse environmental impacts.

- Class II Projects are Categorical Exclusions (CE) or Documented Categorical Exclusions (DCE) or Programmatic Categorical Exclusions (Programmatic CE). These actions are not likely to cause significant adverse environmental impacts. They meet the definitions contained in 40 CFR 1508.4 and 23 CFR 771.117.
- Class III Projects require preparation of an Environmental Assessment (EA) because the project's impact on the environment is not clearly understood.

.21 NEPA Class I Projects (EIS) – Actions that are likely to have significant impact on the environment because of their effects on land use, planned growth, development patterns, traffic volumes, travel patterns, transportation services, natural resources, or because they are apt to create substantial public controversy. See Appendix L in the ECS Guidebook and the EPM for guidance on preparing an EIS. Projects that usually require an EIS, as defined in 23 CFR 771.115, are:

- New controlled-access freeway.
- Highway project of four or more lanes in a new location.
- New construction or extension of fixed rail transit facilities (e.g., rapid rail, light rail, commuter rail, automated guideway transit).
- New construction or extension of a separate roadway for buses or high-occupancy vehicles not located within an existing highway facility.

Although examples are given, it is important to remember that the size and significance of the potential impacts determine the need for an EIS, not the size of the project.

.22 NEPA Class II Projects (CE, DCE, Programmatic CE) – Actions that meet descriptions contained in NEPA rules (40 CFR 1508.4, 23 CFR 771.117) and do not typically involve significant environmental impacts. Unless specifically requested by other agencies or due to public controversy, these actions do not require an EIS or an EA. Class II projects typically:

- Do not induce significant impacts to planned growth or land use.
- Do not require the relocation of significant numbers of people.
- Do not have a significant impact on any natural, cultural, recreational, historic, or other resource.
- Do not involve significant air, noise, or water quality impacts.
- Do not have significant impacts on travel patterns.
- Do not otherwise, either individually or cumulatively, have any significant environmental impacts.

Class II Projects are subdivided into three subcategories, which determine the documentation and approval requirements.

a. **Categorical Exclusions (CE)** – Class II Projects that do not require documentation for FHWA concurrence. Federal actions meeting the CEQ and FHWA criteria for Categorical Exclusions (CEs) are listed in FHWA regulations (23 CFR 771.117 (c)). Known as the "c list," these actions are generally minor actions that have little or

no physical impacts associated with them. No further approval or documentation is required by FHWA. The following actions meet the criteria for CEs in the CEQ regulation and normally do not require any further NEPA approvals:

1. Activities which do not involve or lead directly to construction, such as planning and technical studies; grants for training and research programs; research activities as defined in 23 USC 307; approval of a unified work program and any findings required in the planning process pursuant to 23 USC 134; approval of statewide programs under 23 CFR part 630; approval of project concepts under 23 CFR part 476; engineering to define the elements of a proposed action or alternatives so that social, economic, and environmental effects can be assessed; and federal aid system revisions which establish classes of highways on the federal aid highway system.
2. Approval of utility installations along or across a transportation facility.
3. Construction of bicycle and pedestrian lanes, paths, and facilities.
4. Activities included in the state's highway safety plan under 23 USC 402.
5. Transfer of Federal lands pursuant to 23 USC 317 when the subsequent action is not an FHWA action.
6. The installation of noise barriers or alterations to existing publicly owned buildings to provide for noise reduction.
7. Landscaping.
8. Installation of fencing, signs, pavement markings, small passenger shelters, traffic signals, and railroad warning devices where no substantial land acquisition or traffic disruption will occur.
9. Emergency repairs under 23 USC 125.
10. Acquisition of scenic easements.
11. Determination of payback under 23 CFR part 480 for property previously acquired with federal aid participation.
12. Improvements to existing rest areas and truck weigh stations.
13. Ridesharing activities.
14. Bus and rail car rehabilitation.
15. Alterations to facilities or vehicles in order to make them accessible for elderly and handicapped persons.
16. Program administration, technical assistance activities, and operating assistance to transit authorities to continue existing service or increase service to meet routine changes in demand.

17. The purchase of vehicles by the applicant where the use of these vehicles can be accommodated by existing facilities or by new facilities which themselves are within a CE.

18. Track and railbed maintenance and improvements when carried out within the existing right of way.

19. Purchase and installation of operating or maintenance equipment to be located within the transit facility and with no significant impacts off the site.

20. Promulgation of rules, regulations, and directives.

b. **Documented Categorical Exclusions (DCE)** – Class II Projects that require additional environmental documentation. The second part of this CFR (23 CFR 771.117 (d)) is known as the "d-list." This list includes actions with a higher potential for impacts but because they still meet the criteria for categorical exclusions they may be classified as a documented categorical exclusion (DCE) upon FHWA (or other federal NEPA lead) approval. H&LP uses the ECS as described in the ECS Guidebook for documenting the categorical exclusion. Supporting documentation, such as a wetlands report or cultural resources survey is always submitted to FHWA with the ECS form. Examples of DCE-level projects identified in 23 CFR 771.117 (d) include but are not limited to:

1. Modernization of a highway by resurfacing, restoration, rehabilitation, reconstruction, adding shoulders, or adding auxiliary lanes (e.g., parking, weaving, turning, climbing).

2. Highway safety or traffic operations improvement projects including the installation of ramp metering control devices and lighting.

3. Bridge rehabilitation, reconstruction or replacement or the construction of grade separation to replace existing at-grade railroad crossings.

4. Transportation corridor fringe parking facilities.

5. Construction of new truck weigh stations or rest areas.

6. Approvals for disposal of excess right of way or for joint or limited use of right of way, where the proposed use does not have significant adverse impacts.

7. Approvals for changes in access control.

8. Construction of new bus storage and maintenance facilities in areas used predominantly for industrial or transportation purposes where such construction is not inconsistent with existing zoning and located on or near a street with adequate capacity to handle anticipated bus and support vehicle traffic.

9. Rehabilitation or reconstruction of existing rail and bus buildings and ancillary facilities where only minor amounts of additional land are required and there is not a substantial increase in the number of users.

10. Construction of bus transfer facilities (an open area consisting of passenger shelters, boarding areas, kiosks and related street improvements) when located in a commercial area or other high activity center in which there is adequate street capacity for projected bus traffic.

11. Construction of rail storage and maintenance facilities in areas used predominantly for industrial or transportation purposes where such construction is not inconsistent with existing zoning and where there is no significant noise impact on the surrounding community.

12. Acquisition of land for hardship or protective purposes; advance land acquisition loans under section 3(b) of the UMT Act. Hardship and protective buying will be permitted only for a particular parcel or a limited number of parcels. These types of land acquisition quality for a CE only where the acquisition will not limit the evaluation of alternatives, including shifts in alignment for planned construction projects, which may be required in the NEPA process. No project development on such land may proceed until the NEPA process has been completed.

c. **Programmatic Categorical Exclusions (Programmatic CE)** – Actions under the "d-list" that have been identified by FHWA as having a low probability of potential effects. These actions are included in a Programmatic Categorical Exclusion Approvals Memorandum of Understanding (MOU) between FHWA and WSDOT (August 2009). Under this MOU, signature of the ECS by FHWA is not required. Actions that qualify as Programmatic CEs are described in the ECS Guidebook (Appendix B).

.23 NEPA Class III Projects (EA) – Actions that have uncertain or poorly understood impacts on the environment. The EA determines the extent and level of environmental impact. An EA may support a NEPA Finding of No Significant Impact (FONSI) or indicate that an EIS is warranted. The content and complexity of an EA will vary depending on the project. See Appendix M of the ECS Guidebook and the EPM for details on EA procedures and documentation requirements.

24.3 Project Re-Evaluation

Whenever single or cumulative conditions have occurred that might cause new or more severe environmental impacts, the local agency shall re-evaluate an environmental document.

A written re-evaluation is required when any one of the following conditions exists:

1. There is a change to the project scope. This is required even if the NEPA approval is less than three years old. (Some kinds of scope changes, such as those that are outside previous study areas, are likely to result in a determination that a supplemental NEPA document is needed.)

2. An acceptable FEIS has not been submitted to FHWA within three years from the date of the DEIS circulation.

3. Federal approvals of major steps to advance the project (such as FHWA approval to acquire right of way or approval of PS&E) have not occurred within three years of NEPA approval (that is, FHWA's approval of the ECS, issuance of a FONSI, or ROD).

4. There is a law change that is relevant to the information provided in the original document (i.e., a new species is listed as threatened or endangered under ESA). This is required even if the NEPA approval is less than three years old.

5. New information or circumstances relevant to environmental concerns and bearing on the proposed action or its impacts would result in significant environmental impacts not evaluated in the NEPA document. (This is likely to result in a determination that a supplemental NEPA document is needed.)

The re-evaluation needs to indicate whether any new information is known that alters the previous analysis and findings. If so, the local agency needs to conduct appropriate environmental studies to support the updated conclusions.

The re-evaluation is submitted in written form to the Region LPE. The Region LPE will transmit a copy of the re-evaluation to H&LP for review and coordination with FHWA. Based on the findings of the re-evaluation, FHWA will determine if additional documentation is appropriate (for example, a supplemental EIS, updated EA or ECS, depending on the original NEPA classification).

24.4 Supplemental Document

If a project re-evaluation results in a determination that the NEPA document must be supplemented, the supplement should follow the same procedures as those used for the original document. The scope of the supplement can be limited to the changes to the project. FHWA should be consulted regarding the scope and disciplines that must be analyzed.

24.5 Other Federal Requirements

The NEPA document must include information on how the project complies with other federal regulations and requirements. The federal requirements that most frequently pose the greatest risk to project schedules and timelines are those addressing cultural resources (Section 106 of the National Historic Preservation Act), federally listed endangered species (Section 7 of ESA) and parklands and historic properties (Section 4(f) of the Department of Transportation Act). The ECS Guidebook provides guidance on meeting the federal regulations and requirements that must be considered under NEPA.

24.6 Tribal Consultation

In addition to the Section 106 process, FHWA and local agencies must consult with the affected tribes on projects that potentially affect treaty rights. H&LP's process for sharing discipline reports with tribes is described in the ECS Guidebook (Appendix I). Tribal contact information is available online at www.wsdot.wa.gov/tribal/tribalcontacts.htm.

24.7 Appendices

24.71 Local Agency Environmental Classification Summary

24.72 Permits

24.8 Environmental Classification Summary Guidebook

www.wsdot.wa.gov/nr/rdonlyres/87901eb4-008a-43a0-9db7-2179e0bc939f/0/ecsguidebooksecure.pdf

24.9 Environmental Procedures Manual

www.wsdot.wa.gov/publications/manuals/m31-11.htm

24.10 Plain Talk Toolkit

wwwi.wsdot.wa.gov/library/pttoolkit.htm

24.11 Reader-Friendly Tool Kit

www.wsdot.wa.gov/environment/readerfriendly.htm

Washington State Department of Transportation

Local Agency Environmental Classification Summary

Part 1 - Project Description			
Federal Aid Project Number:	Route:	Date:	Intent of Submittal: ☐ Preliminary ☐ Final ☐ Re-Evaluate
Agency:		Federal Program Title: ☐ 20.205 ☐ Other	
Project Title:			
Beginning MP: _____ Ending MP: _____ Miles: _____	Township(s): _____ Range(s): _____ Section(s): _____		
County			
Project Description (Describe the proposed project, including the purpose and need for the project):			

Part 2 - Environmental Classification	
NEPA	**SEPA**
☐ Class I - Environmental Impact Statement (EIS)	☐ Categorically exempt per WAC 197-11-800
☐ Class II - Categorically Excluded (CE)	☐ Determination of Non-Significance (DNS)
CE Type (from 23 CFR 771.117) _____	☐ Environmental Impact Statement (EIS)
☐ Projects Requiring Documentation (Documented CE) (LAG 24.22)	☐ Adoption
☐ Programmatic CE MOU	☐ Addendum
☐ Class III - Environmental Assessment (EA)	☐ Supplemental (For information purpose only)

NEPA Approval Signatures

Local Agency Approving Authority	Date
Regional Local Programs Engineer	Date
Highways and Local Programs Environmental Engineer	Date
Federal Highway Administration	Date

Completed By (Print Official's Name):	Telephone (include area code):	E-mail address:

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Part 3 - Permits and Approvals Required

Yes	No	Permit or Approval
☐	☐	Corps of Engineers ☐ Sec. 10 ☐ Sec. 404
		☐ Nationwide Type _____
		☐ Individual Permit No. _____
☐	☐	Coast Guard Permit
☐	☐	Coastal Zone Management Certification
☐	☐	Critical Areas Ordinance (CAO) Permit
☐	☐	Forest Practices Act Permit
☐	☐	Hydraulic Project Approval
☐	☐	Local Building or Site Development Permits
☐	☐	Local Clearing and Grading Permit
☐	☐	National Pollutant Discharge Elimination System (NPDES) Baseline General for Construction
☐	☐	Shoreline Permit
☐	☐	State Waste Discharge Permit
☐	☐	TESC Plans Completed

Yes	No	Permit or Approval
☐	☐	Water Rights Permit
☐	☐	Water Quality Certification - Sec. 401 Issued by _____
☐	☐	Tribal Permit(s), (If any) _____
☐	☐	Other Permits (List): _____
☐	☐	ROW acquisition required? If yes, amount needed _____
☐	☐	Is relocaton required?
☐	☐	Has ROW already been acquired for this project? If yes, attach responses to Appendix N in the ECS Guidebook.
☐	☐	Has and offer been made or have negotiations begun to acquire ROW for this project? If yes, attach responses to Appendix N in the ECS Guidebook.
☐	☐	Is a detour required? If yes, please attach detour information.

Part 4 - Environmental Considerations

Will the project involve work in or affect any of the following? Identify proposed mitigation. Attach additional pages or supplemental information if necessary.

1. Air Quality - Identify any anticipated air quality issues.

Is the project included in the Metropolitan Transportation Plan? ☐ Yes ☐ No

If Yes, date Metropolitan Transportation Plan was adopted. _____

Is the project located in an Air Quality Non-Attainment Area or Maintenance Area for carbon monoxide, ozone, or PM10? ☐ Yes ☐ No

Is the project exempt from Air Quality conformity requirements? ☐ Yes ☐ No

If yes, identify exemption - please refer to appendix H in the ECS Guidebook for the list of exemptions:

2. Critical/Sensitive Areas - Identify any known Critical or Sensitive Areas as designated by local Growth Management Act ordinances.

a. Is this project within:
- an aquifer recharge area ☐ Yes ☐ No
- a wellhead protection area ☐ Yes ☐ No
- a sole source aquifer ☐ Yes ☐ No

If located within a sole source aquifer, is the project exempt from EPA approval?

If Yes, please list exemption: _____

If No, date of EPA approval: _____

b. Is this project located in a Geologically Hazardous Area? ☐ Yes ☐ No If yes, please describe:

c. Will this project impact Species/Habitat other than ESA listed species? ☐ Yes ☐ No Explain your answer.

Is the project within Bald Eagle nesting territories, winter concentration areas or communal roosts?
☐ Yes ☐ No

Will blasting, pile driving, concrete saw cutting, rock drilling, or rock scaling activities occur within one mile of a Bald Eagle nesting area? ☐ Yes ☐ No

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Part 4 - Environmental Considerations (continued)

d. Are wetlands present within the project area? ☐ Yes ☐ No If Yes, estimate the impact in acres: _____

Please attach a copy of the proposed mitigation plan.

3. Cultural Resources/Historic Structures - Identify any historic, archaeological, or cultural resources present within the project's Area of Potential Effects.

Does the project fit into any of the exempt types of projects listed in Appendix C of the ECS Guidebook
☐ Yes ☐ No If Yes, note exemption below.

If No: Date of DAHP concurrence _____

Date of Tribal consultation(s) (if applicable) _____

Adverse effects on cultural/historic resources? ☐ Yes ☐ No

If Yes, date of approved Section 106 MOA _____

4. Floodplains and Floodways

Is the project located in a 100-year floodplain? ☐ Yes ☐ No

If yes, is the project located in a 100-year floodway? ☐ Yes ☐ No

Will the project impact a 100-year floodplain? ☐ Yes ☐ No If Yes, describe impacts.

5. Hazardous and Problem Waste - Identify potential sources and type(s).

Does the project require excavation below the existing ground surface? ☐ Yes ☐ No

Is this site located in an undeveloped area (*i.e.* no buildings, parking or storage areas or agriculture (other than grazing), based on historical research? ☐ Yes ☐ No

Is the project located within a one-mile radius of a site on a Confirmed or Suspected Contaminated Sites List (CSCSL) maintained by Department of Ecology? ☐ Yes ☐ No

Is this project located within a 1/2-mile radius of a site or sites listed on any of the following Department of Ecology databases? ☐ Yes ☐ No If yes, check the appropriate boxes below.

☐ Voluntary Cleanup Program (VCP)
☐ Underground Storage Tank (UST)
☐ Leaking Underground Storage Tank (LUST)

Has site reconnaissance (windshield survey) been performed? ☐ Yes ☐ No
If so identify any properties not identified in the database search that may affect the project (name, address and property use).

Based on the information above and project specific activities, is there a potential for the project to generate contaminated soils or groundwater? ☐ Yes ☐ No
Please explain:

If you responded Yes to any of the above question, contact your Region LPE for assistance before continuing with this form.

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Part 4 - Environmental Considerations (continued)

6. Noise

Does this project involve constructing a new roadway? ☐ Yes ☐ No

Is there a change in the vertical or horizontal alignment of the existing roadway? ☐ Yes ☐ No

Does this project increase the number of through traffic lanes on an existing roadway? ☐ Yes ☐ No

Is there change in the topography? ☐ Yes ☐ No

Are there auxiliary lanes extending 1-1/2 miles or longer being constructed as part of this project? ☐ Yes ☐ No

If you answered Yes to any of the preceding questions, identify and describe any potential noise receptors within the project area and subsequent impacts to those noise receptors. Please attach a copy of the noise analysis if required.

If impacts are identified, describe proposed mitigation measures.

7. Parks, Recreation Areas, Wildlife Refuges, Historic Properties, Wild and Scenic Rivers/Scenic Byways, or 4 (f)/6 (f).

a. Please Identify any 4(f) properties within the project limits and areas of impacts.

b. Please Identify any 6(f) properties within the project limits and areas of impact.

c. Please list any Wild Scenic Rivers and Scenic Byways within the project limits.

8. Resource Lands - Identify any of the following resource lands within 300 feet of the project limits and those otherwise impacted by the project.

a. Agricultural Lands ☐ Yes ☐ No If yes, please describe all impacts.

If present, is resource considered to be prime and unique farmland? ☐ Yes ☐ No

If Yes, date of approval from Natural Resource Conservation Service (NRCS): _____

b. Forest/Timber ☐ Yes ☐ No If yes, please describe all impacts.

c. Mineral ☐ Yes ☐ No If yes, please describe all impacts.

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Part 4 - Environmental Considerations (continued)

9. Rivers, Streams (Continuous, Intermittent), or Tidal Waters

a. Identify all waterbodies within 300 feet of the project limits or that will otherwise be impacted.

Fisheries WA Stream No.: _____ (if known)

Ecology 303d Report No. _____

Reason for 303d listing _____

Date of Report _____

Waterbody common name _____

b. Identify stream crossing structures by type.

c. Water Resource Inventory Area (WRIA) No. & Name: _____, _____

10. Tribal Lands - Identify whether the project will impact any Tribal lands, including reservation, trust and fee lands.

11. Visual Quality

Will the project impact roadside classification or visual aspects such as aesthetics, light, glare or night sky

☐ Yes ☐ No If Yes, please identify all impacts.

12. Water Quality/Storm Water

Has NPDES municipal general permit been issued for this WRIA? ☐ Yes ☐ No

Amount of existing impervious surface within project limits: _____

Net new impervious surface to be created as a result of project: _____

Will this project's proposed stormwater treatment facility be consistent with the guidelines provided by either WSDOT's HRM, DOE's western or eastern Washington stormwater manual, or a local agency equivalent manual?

☐ Yes ☐ No

If no, explain proposed water quality/quantity treatment for the new and any existing impervious surface associated with the proposed project.

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Part 4 - Environmental Considerations (continued)

13. Commitments

a. Environmental Commitments

- Describe existing environmental commitments that may affect or be affected by the project - If any.

b. Long-Term Maintenance Commitments

- Identify the agency and/or department responsible for implementing maintenance commitments associated with this project.

14. Environmental Justice

Does the project meet any of the exemptions, as noted in Appendix F of the ECS Guidebook ☐ Yes ☐ No
If Yes, please note the exemption and appropriate justification in the space below. Findings should be confirmed using at least two information sources. Please refer to ESC Guidebook for more information.

If No, are minority or low-income populations located within the limits of the project's potential impacts?
☐ Yes ☐ No If no, attach appropriate data to support findings. If yes, describe impacts and attach appropriate supporting documentation.

Part 5 - Biological Assessment and EFH Evaluations

1. Do any listed species potentially occur in the project's action area and/or is any designated critical habitat present within the project's action area? ☐ Yes ☐ No **Please attach species listings.**

Affected ESA Listed Species	2. Will any construction work occur within 0.5 miles of any of the following?	3. Does the project involve blasting, pile driving, concrete sawing, rock drilling, or rock scaling activities within one mile of any of the following?
Spotted Owl management areas (CSAs, MOCAs, designated critical habitat or potentially suitable nesting, roosting or foraging habitat?	☐ Yes ☐ No	☐ Yes ☐ No
Marbled Murrelet nest or occupied stand, designated critical habitat or potentially suitable habitat?	☐ Yes ☐ No	☐ Yes ☐ No
Western Snowy Plover designated critical habitat?	☐ Yes ☐ No	☐ Yes ☐ No
Is the project within 0.5 miles of marine waters? If Yes explain potential effects on Killer Whales and Steller's Sea Lion, and on Marbled Murrelet foraging areas.	☐ Yes ☐ No	☐ Yes ☐ No
Killer Whale designated critical habitat?	☐ Yes ☐ No	☐ Yes ☐ No
Grizzly bear potentially suitable habitat?	☐ Yes ☐ No	☐ Yes ☐ No

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Part 5 - Biological Assessment and EFH Evaluations (continued)		
Gray Wolf potentially suitable habitat?	☐ Yes ☐ No	☐ Yes ☐ No
Canada Lynx habitat	☐ Yes ☐ No	☐ Yes ☐ No
Columbia White-tailed Deer potentially suitable habitat?	☐ Yes ☐ No	☐ Yes ☐ No
Woodland Caribou habitat?	☐ Yes ☐ No	☐ Yes ☐ No
A mature coniferous or mixed forest stand?	☐ Yes ☐ No	☐ Yes ☐ No

4. Will the project involve any in-water work? ☐ Yes ☐ No

5. Will any construction work occur within 300 feet of any perennial or intermittent waterbody that supports or drains to to waterbody supporting listed fish? ☐ Yes ☐ No

6. Will any construction work occur within 300 feet of any wetland, pond, or lake that is connected to **any** permanent or intermittent waterbody? ☐ Yes ☐ No

7. Does the action have the potential to directly or indirectly impact designated critical habitat for salmonids (including adjacent riparian zones)? ☐ Yes ☐ No

8. Will the project discharge treated or untreated stormwater runoff or utilize water from a waterbody that supports or drains into a listed fish-supporting waterbody, wetland, or waterbody? ☐ Yes ☐ No

9. Will construction work occur outside the existing pavement? If Yes, go to 9a. ☐ Yes ☐ No

9a. Will construction activities occurring outside the existing pavement involve clearing, grading, filling, or modifications of vegetation or tree cutting? ☐ Yes ☐ No

10. Are there any Federal listed, Threatened or Endangered plant species located within the project limits? ☐ Yes ☐ No
If yes, please attach a list of plant species within the action area.

Effect Determinations for ESA and EFH

If each of the questions in the preceding section resulted in a "No" response or if any of the questions were checked "Yes", but adequate justification can be provided to support a "no effect" determination, then check "No Effect" below. If this checklist cannot be used for Section 7 compliance (i.e., adequate justification cannot be provided or a "may affect" determination is anticipated), a separate biological assessment document is required.

	NOAA Fisheries	USFWS
☐ No Effect	_____	_____
☐ NLTAA Date of Concurrence	_____	_____
☐ LTAA Date BO Issued	_____	_____
☐ RRMP 4(d)	_____	

Essential Fish Habitat Determination:

☐ No Adverse Effect

☐ Adverse Effect. Date of NMFS's concurrence _____

Analysis for No Effects Determination - If there are any Yes answers to questions in Part 5, additional analysis is required. Please attach additional sheets if needed.

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Analysis for RRMP ESA 4(d) determination for NMFS

- **Maintenance Category** (check all that apply)

☐ 1. Roadway Surface	☐ 2. Enclosed Drainage Systems	☐ 3. Cleaning Enclosed Drainage Systems
☐ 4. Open Drainage Systems	☐ 5. Watercourses and Streams	☐ 6. Stream Crossings
☐ 7. Gravel Shoulders	☐ 8. Street Surface Cleaning	☐ 9. Bridge Maintenance
☐ 10. Snow and Ice Control	☐ 11. Emergency Slide/Washout Repair	☐ 12. Concrete
☐ 13. Sewer Systems	☐ 14. Water Systems	☐ 15. Vegetation

- **Describe how the project fits in the RRMP 4 (d) Program:**

Part 6 FHWA Comments

Use supplement sheet if additional space is required to complete this section.

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Topics for Interagency Coordination

Topic	Agency	Conditions Requiring	When to Initiate	References
Air Pollution	DOE	Air pollution from newly constructed point source asphalt plant, rock crusher, etc.).	Prior to commencing construction.	RCW 70.94.152
Airport-Roadway Clearance	FAA	Airspace intrusion of roadway facility (proposed construction in the vicinity of public use/military airports may require FAA notice).	During design/prior to commencing construction.	FHPM 6-1-1-2 FAA Req. p.77
Building Permit	County/City	Construction of any building – value of materials over $500.	Prior to commencing construction.	RCW 36.21.080
Coastal Zone Management	DOE	Applicants for federal permit/ license are required to certify that the activity will comply with the state's Coastal Zone Management program (Shoreline Management Act).	When applying for permit.	CZMA Sec. 307, 16 USC 145, RCW 90-58
Conditional Use Permit	Counties/ Cities, DOE	Development within 61 m (200 feet) of water must be consistent with the local Shoreline Master Plan.	No permit if consistent.	RCW 36.70
Cultural, Archaeological, or Historic Sites (Sec. 106)	OAHP, FHW, ACHPA	Suspected/actual, cultural/ archaeological historic properties impacted by project.	During preparation of environmental document.	RCW 43.51.750, 36 CFR 800, 16 USC 470 Historic, Preservation Act #106
Endangered/ Threatened Species	USFWS/ NMFS	Plant or animal species that are suspected to be or actually are, of endangered or threatened status.	During preparation of environmental document.	16 USC 1531-1543
Fish and Wildlife	USFWS, WS,	Departments of Fisheries and Game.	Consultant required when any waters are proposed to be modified or controlled.	During preparation of environmental document
Floodplains	DOE/ Counties	Any structure/activity which may adversely the flood regime of any stream within the affect flood zone.	After/during preparation or environmental document.	State-Flood Control Zone Act of 1935 Federal EO 11988 (Floodplain Management)
Forest Practices Approval	DNR (Area Offices)	Public/private land capable of supporting merchantable timber – some activities: road construction, pits, pesticide use, hydraulic permits, shoreline permits, reforestation, etc.	Environmental document phase/prior to commencing construction.	WAC 222
Hydraulics Permit	WS Depts. of Fisheries and Game	Projects that will use, divert, obstruct, or change the natural flow or bed of any state waters (culvert work, realignment, bridge replacement, etc.).	During/after preparation of environmental document.	RCW 75.20.100

Topic	Agency	Conditions Requiring	When to Initiate	References
Prime & Unique Farmland	Soil Conservation Services (USDOA)	Lands impacted are of prime or unique status.	During preparation of environmental document.	7 CFR 650
Restricted Hydro-Electric Land	FERC	Utilize land from a FERC Licensed Project.	During preparation of environmental document.	18 CFR Part 2,.13
"Section 4(f)" Lands	FHWA, Affected Agency DOI, HUD, and USDOA	Use of park and recreation lands, wildlife and waterfowl refuges, and historic sites of national, state or local significance.	During preparation of environmental document Amended 5/19/78), FHPM 7-7-2(20), 23 CFR 138.	49 USC 1651 (f), DOT Act of 1966 #4
Sewage Facilities	DOE/DSHS/ County	Construction modification of domestic/industrial wastewater facilities (sewer relocation, rest area construction, etc.) **DOE:** greater than 54 900 L/Day (14,500 gpd) surface water discharge, or a mechanical-treatment- process involvement. **DSHS:** 13 200 L/ Day (3,500 gpd) to 54 900 L/Day (14,500 gpd) **County**: less than 13 200 L/Day (3,500 gpd).	Prior to commencing construction.	RCW 90.48.110 WAC 173.240
Shoreline Management Substantial Development	Counties/ Cities DOE	Shoreline development or construction valued at $1,000 or more, or materially interfering with normal public use of water.	During preparation of environmental document.	RCW 90.58
Short-Term Modification (Water Quality)	DOE	Short-term activities which may result in temporary reduction of water quality standard, and activities not subject to a waste discharge permit or water quality certification.	During design.	WAC 173-201-035 (8)(e), WAC 173-201-035 (5)(a), (WAC 173-102-100(2)
SM-2 Surface Mine Reclamation	DNR	Mining (pitsites, quarries), 0.8 ha (2 acres) or more/9 091 tonnes (10,000 tons) or more.	During preparation of environmental document.	WAC 22 — Forest Practices Act
Sole Source Aquifer	EPA	Any activity which may affect the aquifer recharge zone.	During preparation of environmental document.	SDWA P.L. 93-423
State Waste Disposal	DOE	Discharge of waste material from sand and gravel washing, pit dewatering, or cement/asphalt plant discharge into state waters.	During design WAC 173-220.	RCW 90.48.160
Temporary Air Pollution	Local Air Pollution Control Authority/ DOE	Pollutants above allowed levels for temporary periods.	Prior to commencing construction.	RCW 70.94
Water Pollution Discharge (NPDES)	DOE	Discharge of pollutants into state surface waters.	During design.	WAC 173-220, FHPCA #402, 33 USC 1344, RCW 90.48.260

Topic	Agency	Conditions Requiring	When to Initiate	References
Water Quality	DOE	Prior to issuance of a federal permit/license for activity which involves discharge into navigable waters, certification of compliance with state water quality standards is necessary.	During project development.	FHWA #401, RCW 90.48.260, WAC 173-225
Water Rights	DOE	Appropriation of ground water or surface water.	Prior to putting water to use.	RCW 90.44,RCW 90.03.250
Waters/ Wetlands (Sec. 404 -Dredge/Fill)	Army Corps of Engineers (Coordination with USFWS)	Discharging, dredging, or placing fill materials within waters of the USA or adjacent wetlands.	Early stages of project development.	Sec. 404 FWPCA 1972, 33 USC 1344
Waterways (Sec. 10)	Army Corps of Engineers Coordination with USFWS)	Obstruction alteration, or improvement of any navigable water (rechanneling, piers, wharfs, dolphins, bulkheads, buoys, etc.).	Early stages of projects development.	Rivers and Harbors Act of 1899, 33 33 USC 401 #10
Waterways (Sec. 9)	Coast Guard (Coordination with USFWS)	Bridges and causeways in navigable waters, including all tidal-influenced streams.	After design.	Rivers and Harbors Act o of 1899,33 USC #9
Wetlands	USFWS or NMFS	Impact to lowlands covered with shallow and sometimes temporary/ intermittent waters (swamps, marches, bogs, sloughs, potholes, etc.).	During preparation of environmental document.	49 USC 1651, EO 11990 (Protection of Wetlands)
Wild & Scenic Rivers	USFS/NPS	Impacts to rivers or streams in or having potential for designation in the National Wild and Scenic River System.	During preparation of environmental document.	

LEGEND:

ACHP – Advisory Council on Historic Preservation
CFR – Code of Federal Regulations
CZMA – Coastal Zone Management Act
DNR – Department of Natural Resources (State)
DOE – Department of Ecology (State)
DOI – U.S. Department of Interior
DOT – U.S. Department of Transportation
EO – Executive Order
EPA – Environmental Protection Agency (federal)
FAA – Federal Aviation Administration (DOT)
FERC – Federal Energy Regulatory Commission
FHWA – Federal Highway Administration (DOT)
FWCA – Fish And Wildlife Coordination Act
FWPCA – Federal Water Pollution Control Act
FHPM – Federal Highway Program Manual
NMFS – National Marine Fisheries Service (Department of Commerce)
NPDES – National Pollutant Discharge Elimination System
NPS – National Park Service (DOI)
OAHP – Office of Archaeology and Historic Preservation (State)
RCW – Revised Code of Washington
SDWA – Safe Drinking Water Act
USC – United States Code
USDOA – U.S. Department of Agriculture
USFS – U.S. Forest Service (USDOA)
WAC – Washington Administrative Code
WS – Washington State

Title VI Program
Organization and Staffing

Pursuant to 23 CFR 200, (Name of Recipient) has designated a Title VI Coordinator who is responsible for Attachment 1, which describes the hierarchy for (Name of Recipient)'s Title VI Program, including an organization's chart illustrating the level and placement of Title VI responsibilities.

Assurances
49 CFR Part 21.7

The (Name of the Recipient), hereby gives assurances:

1. That no person shall on the grounds of race, color, national origin, and sex, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity conducted by the recipient regardless of whether those programs and activities are federally funded or not. Activities and programs which the recipient hereby agrees to carry out in compliance with Title VI and related statutes include but are not limited to:

   - List all major Transportation programs and activities of the recipient and Title VI responsibilities for each one of them. Include information as Attachment 2 to this Nondiscrimination Agreement.

2. That it will promptly take any measures necessary to effectuate this agreement.

3. That each Transportation program, activity, and facility (i.e., lands change to roadways, park and ride lots, etc.) as defined at 49 CFR 21.23(b) and (e), and the Civil Rights Restoration Act of 1987 will be (with regard to a program or activity) conducted, or will be (with regard to a facility) operated in compliance with the nondiscriminatory requirements imposed by, or pursuant to, this agreement.

4. That these assurances are given in consideration of and for the purpose of obtaining any and all federal grants, loans, contracts, property, discounts or other federal financial assistance extended after the date hereof to the recipient by the Washington State Department of Transportation (WSDOT) under the federally-funded program and is binding on it, other recipients, subgrantees, contractors, sub-contractors, transferees, successors in interest and other participants. The person or persons whose signatures appear below are authorized to sign these assurances on behalf of the Recipient.

5. That the Recipient shall insert the following notification in all solicitations for bids for work or material subject to the Regulations and made in connection with all federally-funded programs and, in all proposals for negotiated agreements.

   The Recipient, in accordance with Title VI of the Civil Rights Act of 1964, 78 Stat. 252, 42 U.S.C. 2000d to 2000d-4 and Title 49, Code of Federal Regulations, Department of Transportation, Subtitle A, Office of the Secretary, Part 21, Nondiscrimination in Federally-Assisted Programs of the Department of Transportation issued pursuant to such Act, hereby notifies all bidders that it will

affirmatively ensure that in any contract entered into pursuant to this advertisement, disadvantaged business enterprises as defined at 49 CFR Part 26 will be afforded full opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, national origin, or sex in consideration for an award.

6. That the Recipient shall insert the clauses of Appendix 1 of this Agreement in every contract subject to the Act and the Regulations.

7. That the Recipient shall insert the clauses of Appendix 2 of this Agreement, as a covenant running with the land, in any deed from the United States effecting a transfer of real property, structures, or improvements thereon, or interest therein.

8. That the Recipient shall include the appropriate clauses set forth in Appendix 3 of this Agreement, as a covenant running with the land, in any future deeds, leases, permits, licenses, and similar agreements entered into by the Recipient with other parties: (a) for the subsequent transfer of real property acquired or improved under a federal aid program; and (b) for the construction or use of or access to space on, over or under real property acquired, or improved under a federal aid program.

9. The Recipient agrees that the United States has a right to seek judicial enforcement with regard to any matter arising under the Act, the Regulations, and this agreement.

Implementation Procedures

This agreement shall serve as the recipient's Title VI plan pursuant to 23 CFR 200 and 49 CFR 21.

For the purpose of this agreement, "Federal Assistance" shall include:

1. Grants and loans of federal funds.

2. The grant or donation of federal property and interest in property.

3. The detail of federal personnel.

4. The sale and lease of, and the permission to use (on other than a casual or transient basis), Federal property or any interest in such property without consideration or at a nominal consideration, or at a consideration which is reduced for the purpose of assisting the recipient, or in recognition of the public interest to be served by such sale or lease to the recipient.

5. Any federal agreement, arrangement, or other contract which has as one of its purposes, the provision of assistance.

The recipient shall:

1. Issue a policy statement, signed by the head of the recipient, which expresses its commitment to the nondiscrimination provisions of Title VI. The policy statement shall be circulated throughout the recipient's organization and to the general public. Such information shall be published where appropriate in languages other than English.

To be eligible for reimbursement of Federal Highway Administration (FHWA) funds for payments to a consultant, the procedures in this chapter shall be followed. If a Local Agency elects to retain the consultant at its own cost, state law must be followed.

This chapter covers agreements for architects, landscape architects, land surveying, and engineering services outlined in RCW 39.80 (see Section 31.1). The definitions of these four professions are described in RCW Chapters 18.08, 18.43, and 18.96. These will be referred to as architectural and engineering (A&E) services, or engineering services, in this chapter.

This chapter also covers agreements for long-range planning, economic analyses, real estate negotiations, and environmental and biological assessments. These will be referred to as personal services, as outlined in RCW 39.29 (see Section 31.2).

Throughout this chapter the term "project" means the work to be undertaken by the consultant. An A&E services project may include construction engineering, but does not include the contracted construction work.

The "Definitions" chapter of the *Consultant Services Procedures Manual* M 27-50 contains a detailed description of which categories of work are considered A&E services or personal services. That manual may be accessed on WSDOT's Internet website at www.wsdot.wa.gov/consulting, and then click on "*Consultant Services Procedures Manual.*"

The basic steps for entering into a consultant agreement are:

1. Determine the need for services.
2. Advertise the need for services.
3. Evaluate the applicants' qualifications.
4. Select the most qualified firm.
5. Negotiate with the most qualified firm.
6. Execute the contract (Standard Agreement, Exhibits, and Supplements – see appendices).

31.1 A&E Services Consultants

A&E consultant services include the following:

1. Professional or technical expertise to accomplish a specific study, project, task, or other work statement.
2. Any phase of project development, as well as special studies or other assignments within any phase.

3. Periodic examination and consultation or full-time technical inspection during the construction phase.

4. Consultant design and preparation of plans, specifications, and estimates is common when an Agency's staff is small or when an Agency needs additional expertise.

Consultant services do not include purchased services provided by a vendor to accomplish routine, continuing, and necessary services. These may be acquired through use of purchased service agreements. Purchased services include services for equipment maintenance and repair, operation of a physical plant, security, computer hardware and software maintenance, data entry, key punch services, computer time-sharing, contract programming, and analysis (RCW 39.29.006).

Section 319 of Public Law 101-121 prohibits federal funds from being expended by consultants or subconsultants who receive a federal contract, grant, loan, or cooperative agreement to pay, any person for influencing or attempting to influence a federal Agency or Congress in connection with awarding any of the above.

.11 Determine the Need for A&E Consultant Services – Before an Agency advertises for A&E consultant services, it must have a clear definition of the work to be accomplished. This includes identification of:

1. The nature and scope of effort required.

2. The technical requirements and qualifications of the consultant services needed.

3. The level of funding resources available.

4. The time frame for performing the work.

5. The expected results and products to be received.

If assistance is needed in describing the desired scope of work, the Agency should seek information from the Region Local Program Engineer or from other Local Agencies that have had similar projects.

Because selection of the most qualified consultant firm is based on evaluations by the Agency, it must develop clear selection guidelines (see Section 31.13). The selection criteria should enable the Agency to identify and select the consultant best qualified to meet the Agency's needs and ensure that the selected consultant understands and provides services for the Agency's needs in the most cost-effective manner.

The basic agreement types are lump sum, cost plus fixed fee, provisional hourly rates, negotiated hourly rates, and cost per unit of work (see Section 31.32). The Agency should determine the type of agreement to be developed with the consultant (though this may be modified during negotiations with the selected consultant).

Consultant selection shall provide for maximum open and free competition and should provide opportunities for small and disadvantaged business enterprises to obtain an equitable share of the work, consistent with the project scope and capabilities of available small and disadvantaged owned firms.

A&E consultants may be solicited for:

1. A specific project.
2. A specific stage of a project (i.e., Design Report).
3. General engineering services (i.e., supporting services of an Agency's staff in studies, design).
4. For more than one project (i.e., several small bridge design projects) or multiple phases of a single project.
5. For a combination of the above.

.11a Multi-Phase Projects – In the case of projects covering two or more distinct phases, when the cost for the second phase depends on decisions reached during the first phase, the agreement should cover only the first phase. The agreement for preliminary engineering should state that the consultant may be considered for subsequent phases provided this option was identified in the advertised solicitation. The consultant's engagement to complete subsequent phases depends upon the consultant's satisfactory performance on prior work and upon negotiation of an agreement for the subsequent phase(s). The Agency is not obligated to use the same consultant firm for all phases. Separate consultant agreements may be considered for each phase (e.g., one for preliminary engineering and another for construction engineering).

.11b Environmental Assessment/Environmental Impact Statement/ Environmental Classification Summary – The first agreement would include preliminary engineering through final approval of the environmental documents. Preparation of the PS&E could be under a separate agreement with continuation of the original consultant at the option of the Agency, provided this was stated in the original advertisement. Depending on the complexity of the project, both A&E services and personal services consultants may be needed to accomplish this work.

.11c Engineering Management Consultants – While an engineering management consultant may assist an Agency in fulfilling its responsibilities, the Agency cannot delegate these responsibilities to a consultant or to another Agency. A consultant serving in a management role for an Agency, and then managing consultant agreements with its own firm, is a conflict of interest.

.12 Advertise the Need for A&E Consultant Services – State law, RCW 39.80, requires that each Agency must advertise that Agency's requirement(s) for architectural services, land surveying services, or engineering services. An Agency can comply with these requirements by either:

1. Publishing an announcement on each occasion when A&E consultants are required by the Agency.
2. Publishing an annual notice to establish an "On Call Roster" (or rosters by specialty) to receive qualifications from consultants as to projected requirements for any category or type of engineering services (see Section 31.11). In addition, responsible A&E consultants shall be added to the appropriate "On Call Roster(s)" at any time they submit a written request and their qualifications.

3. The need for consultant services must be advertised at least one day per week for two consecutive weeks (14 day minimum) in the area newspaper used for publication of legal notices. A three week minimum response time from the initial date of publication should be provided to consultants. These advertisements may be supplemented by additional advertisements in special interest publications such as the Daily Journal of Commerce, trade magazines, or publications utilized by disadvantaged business enterprises.

.12a Advertisement Content – The advertisement should contain the following information (see Appendix 31.74 for an advertisement example):

1. A project title and estimated start and end dates.
2. The general scope and nature of the project or work for which services are required and the address of a representative of the Agency who can provide further details.
3. Solicitations of qualification statements, referred to as Requests for Qualifications (RFQ) from consultants, must incorporate a clear and accurate description of the technical requirements for the service to be procured, including any special conditions or certifications required. (Example Submittal Information Forms to obtain consultant qualifications for Prime and Subconsultants are contained in Appendix 31.74(a) and 31.74(b), respectively.)
4. Solicitations must clearly set forth sufficient detail on how applicant qualifications will be evaluated. These may include but are not limited to key personnel, firm experience, ability to meet schedule, past performance, in-house expertise, familiarity with WSDOT/ FHWA standards, and DBE approach and commitment.
5. Nonengineering service applicants should be asked to provide estimates for the man-hours and classifications needed to complete the project.
6. In the event that a project covers multiple phases (see Section 31.11a), the Agency is not obligated to utilize the original consultant for subsequent phases. If the Agency desires this option, the advertisement must state the possibility of a multi-phase agreement at the discretion of the contracting Agency.
7. All prospective consultants must be advised that Federally funded projects will be held to Federal EEO requirements.
8. Consultants will also be held to ADA and Civil Rights language for the employing Agency.
9. **Local Agencies must be in compliance with Chapter 28 and their Title VI Agreement. Therefore, when advertising for Consultant Services, the following Title VI language must be included in advertisement:**

   "The (Local Agency) in accordance with Title VI of the Civil Rights Act of 1964, 78 Stat. 252, 42 U.S.C. 2000d to 2000d-4 and Title 49, Code of Federal Regulations, Department of Transportation, subtitle A, Office of the Secretary, Part 21, nondiscrimination in federally assisted programs of the Department of Transportation issued pursuant to such

Act, hereby notifies all bidders that it will affirmatively insure that in any contract entered into pursuant to this advertisement, disadvantaged business enterprises as defined at 49 CFR Part 26 will be afforded full opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, national origin or sex in consideration for an award."

10. Response due date.

11. Publication dates.

Specific project cost estimates shall not be requested until a consultant has been selected.

.13 A&E Consultant Evaluation and Selection Process – The Local Agency shall establish guidelines for technical evaluation of the qualifications received, determination of finalists for the purpose of written or oral discussions, and selection for agreement award. Consultants will be selected based upon the qualifications they present. For A&E related services, fees for services cannot be considered during the selection process.

The following are frequently utilized as part of the consultant selection process:

1. **"Live" Interviews and Presentation of the RFQ by Consultant Individuals or Teams** – Provides for interaction with the Agency and showcases the consultant's presentation skills. This approach is best for larger, more complex projects, but does increase travel time and costs to the applicant. Video presentation or teleconferencing may be considered as an alternative to reduce travel costs.

2. **Telephone Interviews** – Provides for interaction but eliminates travel time and cost. This approach is useful for smaller projects or for selecting from an on-call or small works roster.

   A. Exceptions to the competitive process used for consultant selection:

      1. **Subsequent Phasing** – Selection of a consultant to perform subsequent project phases may only occur if this option was advertised originally (i.e., Phase 1 Preliminary Engineering, Phase 2 Right of Way, Phase 3 Construction Engineering).

      2. **Contract Amendments** – Amendments that do not significantly alter the scope of work can be renegotiated with the existing consultant. However, this should not be used to avoid the responsibility of providing competition for consultant selection.

      3. **Emergency** – To address a set of unforeseen circumstances beyond the Agency's control which present a real, immediate threat to the proper performance of essential functions, or may result in the material loss or damage to property, bodily injury, or loss of life if immediate action is not taken (see Chapter 33).

4. **Sole Source** – Sole source agreements may be requested from Highways and Local Programs when the consultant provides professional or technical expertise of such a unique nature that the consultant is clearly and justifiably the only practicable source to provide the service. The Local Agency must provide the Region Local Programs Engineer written justification (see Appendix 31.75) for requesting this option based upon:

   a. The unique nature of the services and/or the unique qualifications, abilities, or expertise of the consultant to meet the Agency's needs (e.g., are they highly specialized or one-of-a-kind? what is their past performance, their cost effectiveness (learning curve), and/or the follow-up nature of the required services?).

   b. Other special circumstances that may be relevant such as confidential investigations, copyright restrictions, or time constraints.

   c. Availability of consultants in the location required. Highways and Local Programs must approve all consultant procedures that are exceptions to the competitive process.

B. **Documentation of Selection** – Following consultant selection, the Local Agency shall retain the following documentation in the project file:

   1. The names of a minimum of three consultants considered for the work (excluding exceptions detailed above).

   2. Consultant selected and reasons why this consultant was chosen over the others.

.14 Establishing a Consultant "On-Call Roster" – To efficiently obtain consultant services, a process for developing and maintaining a consultant "On-Call Roster" is necessary. Agencies may, therefore, establish and maintain a continuous "On-Call Roster" to which interested and qualified firms may apply. This "On-Call Roster" must be maintained annually and may be shared with other interested public agencies through an Inter-local agreement signed by the interested parties.

No "On-Call Roster" consultant may be awarded more than one contract from the "On Call Roster" at a time. When active contracts are complete, the consultant's name will be returned to "available" status.

1. The Agency shall publish an announcement in a newspaper of general circulation at least once per year to invite consultant firms to submit statements of qualifications and performance data. The advertisement shall be for future project needs and announce generally projected requirements for any category or type of professional services. The advertisement shall state the address of the representative who can provide further details.
   The Agency shall name all agencies that are utilizing the "On-Call Roster," if any, in addition to the Agency establishing the "On Call Roster."

a. Advertisement content for '"On Call Roster." Separate "On Call Rosters" will be kept for each discipline of work. Agencies may not select a firm from one "On Call Roster" to perform work that is covered by a different "On Call Roster." Each "On Call Roster" must have a separate list of qualification criteria which will be clearly stated in the advertisement for "On Call Roster" participants.

2. The advertisement shall encourage firms to submit or update qualifications and performance data.

3. The Agency may either provide an application that solicits desired information or allow firms to apply through other means of establishing credentials as best meets the agency's needs, or a combination thereof.

4. The Agency shall review submittals to insure firms meet minimum eligibility criteria for responsible firms as defined by the Agency prior to establishing the "On-Call Roster." Verification shall consider required licensing, experience, and financial stability in order to establish firms that are reasonably capable of performing the work.

5. Firms that meet at least minimum levels of responsibility based on the advertisement shall be placed onto the "On-Call Roster." The "On Call Roster" shall list firms that responded to the advertisement and were found eligible for further consideration by the Agency as project needs arise.

6. Applications on file after one year will be required to update information through annual advertisement or through a direct process established by the Agency prior to establishing the "On-Call Roster."

7. The Agency may issue repeat advertisements to solicit additional firms or firms with a particular specialty for the "On-Call Roster" at any time during the year.

8. The "On-Call Roster" shall be continuously open.

9. Firms listed on an Agency "On-Call Roster" shall be available for consideration and eligibility for a project need, unless a specific reason causes the firm to be placed on an inactive status. Such inactive status will be the right of the Agency; however, written notification of the change of status will be given to firms within 30 days of status change. The reason for the status change will be stated clearly in the notification.

10. The process to select firms from the "On-Call Roster" and enter into a contract shall be as follows.

    a. Agencies will interview at least three firms for each contract from the "On Call Roster."

    b. If less than three qualified firms are available for a given contract, the agency will interview as many as are available on the "On Call Roster" for that particular contract.

c. If no qualified firms are available from the established "On Call Roster," a separate advertisement and award process must be followed.

d. Following the interview, the Agency will select the best qualified consultant from those interviewed.

31.2 Personal Services Consultants

Professions outside the fields described in RCW 39.80 may provide such consulting services as long range planning and studies, economic analyses, real estate negotiations, environmental and biological assessments, and materials testing. These consulting services are provided through personal services agreements (RCW 39.29). The basic difference between personal services and A&E consultants is that consultant fees may be considered in selecting personal services consultants, but cannot be considered in selecting A&E services consultants.

The Local Agency is to work with WSDOT Real Estate Services on right of way personal services agreements. (See Appendix 31.71 for a sample Personal Services Contract for Appraiser and Appendix 31.72 for a sample Consultant Agreement for Negotiation Services.)

.21 Determine the Need for Personal Services Consultants – Before an Agency advertises for a personal services consultant, it must have a clear definition of the work to be accomplished. This includes identification of:

1. The nature and scope of effort required.
2. The technical requirements and qualifications of the consultant services needed.
3. The level of funding resources available.
4. The time frame for performing the work.
5. The expected results and products to be received.

If assistance is needed in describing the desired scope of work, the Agency should seek information from the Region Local Program Engineer or from other Local Agencies that have had similar projects.

The Agency should develop selection guidelines for all to understand, because selection of the most qualified consultant firm is based upon evaluations by the Agency. The selection criteria should enable the Agency to identify and select the consultant best qualified to meet the Agency's needs and ensure that the selected consultant understands and provides the Agency's needs in the most cost-effective manner.

The Agency should determine the type of agreement to be developed with the consultant. (This may be modified during negotiations with the selected consultant.) The basic agreement types are lump sum, cost plus fixed fee, provisional hourly rates, negotiated hourly rates, and cost per unit of work (see Section 31.42).

Consultant selection shall provide for maximum open and free competition and should provide opportunities for small and disadvantaged business enterprises to obtain an equitable share of the work, consistent with the project scope, and capabilities of available small and disadvantaged owned firms.

Personal Services consultants may be solicited for:

1. A specific study (i.e., Economic Study).
2. A specific project (i.e., Acquisition of Real Estate).
3. A specific task (i.e., Real Estate negotiations).
4. For a combination of the above.

.22 Advertise the Need for Personal Services Consultants – State law (RCW 39.29) requires that each Agency must competitively solicit that Agency's requirement for personal services. An Agency can comply with these requirements by either:

1. Using a competitive solicitation process that provides an equal and open opportunity to qualified parties. State law (RCW 39.29.011) requires competitive bidding for contracts greater than $20,000 and documented evidence of competition on contracts between $5,000 and $20,000
2. Publishing an annual notice to establish an "On Call Roster" (or rosters by specialty) to receive qualifications from consultants for projected requirements for any category or type of personal services consultants. In addition, responsible consultants shall be added to the appropriate "On Call Roster(s)" at any time upon the submittal of a written request and a list of their qualifications. (See Section 31.14 for more information about establishing an "On Call Roster.")

The need for consultant services must be advertised at least one day per week for two consecutive weeks (14 day minimum) in the area newspaper used for publication of legal notices. A three week minimum response time from the initial date of publication should be provided to consultants. These advertisements may be supplemented by additional advertisements in special interest publications such as the Daily Journal of Commerce, trade magazines, or publications utilized by disadvantaged business enterprises.

.22a Advertisement Content – The advertisement should contain the same information listed in Section 31.12a (see Appendix 31.74 for an advertisement example).

.23 Personal Services Consultant Evaluation and Selection Process – The Local Agency shall establish guidelines for technical evaluation of the qualifications received, determination of finalists for the purpose of written or oral discussions, and selection for agreement award. Consultants will be selected based upon the qualifications they present. Fees may be considered as an evaluation factor in the personal services selection process, but it is not a "low-bid" consultant selection where the low bidder wins the contract automatically. For more guidance, refer to the Municipal Research and Services Center (MRSC) of Washington guide, "Contracting for Professional Services in Washington State," Informational Bulletin Number 485.

One of the following is required as part of the consultant selection process:

1. **Written Response Only to the Request for Qualifications (RFQ)** – This approach is best for smaller, clearly defined projects, or projects which are heavily reliant upon their written presentation such as environmental reports.

2. **"Live" Interviews and Presentation of the RFQ by Consultant Individuals or Teams** – Provides for interaction with the Agency and showcases the consultant's presentation skills. This approach is best for larger, more complex projects but does increase travel time and costs to the applicant. Video presentation or teleconferencing may be considered as an alternative to reduce travel costs.

3. **Telephone Interviews** – Provides for interaction but eliminates travel time and cost. This approach is useful for smaller projects or for selecting from an on-call or small works roster.

Exceptions to the competitive process used for consultant selection:

1. **Sole Source** – Sole source agreements may be requested from Highways and Local Programs when the consultant provides professional or technical expertise of such a unique nature that the consultant is clearly and justifiably the only practicable source to provide the service. The Local Agency must provide the Region Local Programs Engineer written justification (see Appendix 31.75) for requesting this option based upon:

   a. The unique nature of the services and/or the unique qualifications, abilities, or expertise of the consultant to meet the Agency's needs (e.g., are they highly specialized or one-of-a-kind? what is their past performance, their cost effectiveness (learning curve), and/or the follow-up nature of the required services?).

   b. Other special circumstances that may be relevant such as confidential investigations, copyright restrictions, or time constraints.

   c. Availability of consultants in the location required.

2. **Emergency** – To address a set of unforeseen circumstances beyond the Agency's control which present a real, immediate threat to the proper performance of essential functions or may result in the material loss or damage to property, bodily injury, or loss of life, if immediate action is not taken (see Chapter 33).

3. **Contract Amendments or Added Scope** (beyond the original advertisement) – Amendments that do not significantly alter the scope of work can be renegotiated with the existing consultant. However, this should not be used to avoid the responsibility of providing competition for consultant selection.

   Highways and Local Programs must approve consultant procedures that are exceptions to the competitive process.

.24 Document Selection – Following consultant selection, the Local Agency shall retain the following documentation in the project file:

1. The names of a minimum of three consultants considered for the work (excluding exceptions detailed above); and
2. Consultant selected and reasons why this consultant was chosen over the others.

31.3 Negotiation With Selected Firm, A&E, and Personal Services

The Local Agency will notify the consultant of their selection in writing, meet with the consultant to reach a complete and mutual understanding of the scope of services, and begin negotiations on the terms of the agreement.

In this meeting with the selected consultant, the Local Agency should include key people with appropriate technical expertise within the Agency to ensure that their concerns are addressed. The following are typically discussed while developing an agreed upon scope of services:

1. A list of meetings the consultant is expected to attend, expected location of the meetings, and key personnel.
2. The anticipated design schedule. The Local Agency shall designate the basic premises and list criteria to be used in design development.
3. Any special services required.
4. Complexity of the design.
5. Safety and operational considerations.
6. Environmental considerations.
7. Survey and geotechnical testing requirements.
8. Inspection services during construction.
9. Quality control during construction.
10. Preparation of forms, letters, and documents.
11. Property map preparation.

.31 Agency Preparation for Negotiations – Following receipt of the consultant's proposal, Agency responsibilities include:

Compare the consultant's proposal with the Agency's own estimate, examining the scope of work, work hours, and estimate of cost. (See Appendix 31.76, Independent Estimate for Consulting Services, DOT Form 140-012 EF.) The Agency is to prepare its independent cost estimate using:

1. The salary rates by position from the consultant's Payroll Register.
2. Multiplying these by the Agency's estimates of staff hours by position for work elements.

3. Applying the consultant's overhead rate and profit/fixed fee (see below) to develop the total project staff cost estimate.

The Agency uses this independent estimate, along with estimates of nonsalary costs, to negotiate the agreement with the consultant.

1. Ensure the consultant has divided the project into work units and related time units in such a manner that the estimate can be readily reviewed for work hours, rates of pay, overhead, profit, and itemized direct nonsalary costs.

2. Request records to confirm the consultant's rates (i.e., their Payroll Register, giving payroll rates by name and position of staff working on the project).

3. Request the consulting firm's audited overhead rate from the WSDOT Audit Office. An audited rate conducted by another governmental agency will satisfy this requirement if the audit criteria used by the other agencies conforms with 48 Code of Federal Regulations (CFR) Part 31. An audited rate conducted by a private accounting firm must be reviewed and accepted by the WSDOT Audit Office before being accepted for use in an agreement. If the firm does not have an audited rate, the Audit Office will conduct an abbreviated audit to determine the rate. The Local Agency Agreement should anticipate a charge averaging $1,000 for these costs. A lower overhead cost rate may be used if submitted by the consultant firm; however, the consultant's offer of a lower rate shall not be a condition for selecting a consultant.

4. Calculate the consultant's profit/fixed fee amount. WSDOT's procedure for calculating this is described in *Consultant Services Procedures Manual* M 27-50, Appendix 7. The fee is determined through evaluation of the following:

   a. Degree of risk.

   b. Relative difficulty of work.

   c. Size of job.

   d. Period of performance.

   e. Assistance of agency.

   f. Subconsulting.

   g. An acceptable profit for a federally funded project may not exceed 15 percent of the total of direct labor plus overhead costs or the fixed fee/profit percentage may not exceed 35 percent of direct labor costs only. Maximum allowable profit percentage rates (30 to 35 percent) are reserved for the most difficult, complex, and risky projects. Mark-ups are not allowed on direct "nonsalary" costs.

   h. A Management Reserve Fund (MRF) may be established to be used for:

      (1) Overruns of direct salary and overhead costs that might occur under the existing scope of work, or

(2) The consultant to perform additional work that is outside the agreement or supplement's scope of work (but within the scope of the advertised project).

The maximum MRF set up at the beginning of the agreement is $100,000 or 10 percent of the agreement, whichever is less. If the original MRF is less than $100,000, the MRF may be increased by preparing a supplement to a total accumulative amount that cannot exceed $100,000, (or exceed the cumulative 10 percent). An MRF cannot be included in a Lump Sum agreement. The Agency cannot authorize, and the consultant cannot utilize, the MRF until a task order agreement is set up (see Appendix 31.79, Exhibit A-2.) To set up a task order agreement, the Agency and consultant must negotiate the scope, schedule, and budget for the increase in direct salary and overhead costs, or the increase in additional work to use all or a portion of the MRF.

5. Record and retain an explanation of differences in work hours or costs between the Agency's independent estimate and the negotiated consultant fee.

.32 Agreement Types/Payment Options – The following are the types of agreements that contain acceptable methods of payment for FHWA funded projects. Refer to the Standard Agreement Exhibits for further guidance and required forms (see Section 31.4):

1. **Lump Sum** – This type of agreement is only appropriate where the scope of work (quantity and type) can be clearly defined in advance. It is not recommended for construction engineering agreements. The agreement should state the exact service to be provided within a specific time frame, and when the lump sum payment is to be made. Payments may also be paid in installments as the work proceeds.

   Scope of work changes and Management Reserve Funds are not allowed with this type of payment.

   Lump sum payment is generally used for investigations, studies, and basic services on design projects. Examples include designs, plans specifications and estimates (PS&E), and preparation of operating, maintenance, or training manuals. A qualified representative for the Agency must prepare, date, and sign an estimate detailing the hours required for each type of work, as well as the hourly rate.

2. **Actual Costs Plus a Fixed Fee** – This type of agreement is used when the extent, scope, complexity, character, or duration of the work cannot be reasonably determined in advance. Examples include preparation of environmental documents, project design documents, PS&E for large or complex projects including major bridges, and may include construction inspection. The consultant is reimbursed for all eligible direct and indirect costs within defined limits, plus a predetermined amount as a fixed fee. The costs for methods 1-3 above are determined by:

   a. Salaries of employees with time directly chargeable to the project and salaries of principals for the time they are productively engaged in work necessary to fulfill the terms of the agreement. Actual rates of pay for employees and principals actively involved in the project will be included in each agreement.

b. Direct nonsalary costs incurred in fulfilling the terms of the agreement. Travel costs, (excluding air, train, and rental car costs), shall be in accordance with the Agency's travel rules and procedures. Air, train and rental car costs shall be reimbursed in accordance with 48 CFR Part 31.205-46 "Travel Costs."

c. The consultant's overhead or indirect costs properly allocable to the project. A break out of overhead items will be included in each agreement.

d. The consultant's overhead schedule must be prepared in compliance with CFR Part 31.

e. Management reserve funds are an Agency option and are to address overruns of direct salary and overhead costs that might occur under the existing scope of work or a need for additional work beyond the existing agreement scope of work, but within the advertised project scope of work.

f. Profit/fixed fee is derived by considering the degree of risk, relative difficulty of work, size of job, period of performance, assistance by the Agency, and subconsulting assumed by the consultant at the time of the negotiations (see Section 31.31).

Shown as exhibits to the agreement are the consultant's estimate of work, cost rates, overhead rate, and the fixed fee.

3. **Specific Rates of Pay Agreement.** This type of agreement is based upon specific rates of pay for each class of employee and is appropriate for relatively minor items of work of indeterminable extent. This method requires constant and direct control of the time and class of employees used by the consultant. Examples include certain types of soils investigations, planting inspections, bridge inspections, expert witness testimony, training presentations, construction inspections, supplementing Agency staff on small design projects or studies, and "on-call services." The rate of pay may be established through one of two processes:

a. **Negotiated hourly rate** payment option establishes the rates of pay through use of the consultant firm's Payroll Register, the audited overhead rate obtained from WSDOT's Audit Office, plus the calculation of the consultant's profit/fixed fee. (See Section 31.31 for guidance in developing the independent estimates of these costs for use in negotiations with the consultant firm.) The following items also apply to negotiated hourly rate agreements.

1. Direct nonsalary costs incurred in fulfilling the terms of the agreement. Travel costs, (excluding air, train, and rental car costs), shall be in accordance with the Agency's travel rules and procedures. Air, train, and rental car costs shall be reimbursed in accordance with 48 CFR Part 31.205-46 "Travel Costs."

2. The consultant's overhead or indirect costs properly allocable to the project. A break out of overhead items will be included in each agreement.

3. The consultant's overhead schedule must be prepared in compliance with 48 CFR Part 31.

4. Management reserve funds are an Agency option and are to address overruns of direct salary and overhead costs that might occur under the existing scope of work or a need for additional work beyond the existing agreement scope of work, but within the advertised project scope of work.

5. Profit/fee is derived by considering the degree of risk, relative difficulty of work, size of job, period of performance, assistance by the Agency, and subconsulting assumed by the consultant at the time of the negotiations (see Section 31.31).

b. **Provisional hourly rate payment** option establishes rates of pay through the use of the consultant firm's Payroll Register, plus an overhead rate based on industry standards if an audited overhead rate is not available from WSDOT's Audit Office within the time frame it is needed. Provisional rates are established at the beginning of the project and are used until the results of an audited overhead rate are known. The provisional rates are then retroactively adjusted to reflect the rate established from the new audit. The following items also apply to provisional hourly rates.

1. Direct nonsalary costs incurred in fulfilling the terms of the agreement. Travel costs, (excluding air, train, and rental car costs), shall be in accordance with the Agency's travel rules and procedures. Air, train, and rental car costs shall be reimbursed in accordance with 48 CFR Part 31.205-46 "Travel Costs."

2. The consultant's overhead or indirect costs properly allocable to the project. A break out of overhead items will be included in each agreement.

3. The consultant's overhead schedule must be prepared in compliance with 48 CFR Part 31.

4. Management reserve funds are an Agency option and are to address overruns of direct salary and overhead costs that might occur under the existing scope of work, or a need for additional work beyond the existing agreement scope of work, but within the advertised project scope of work.

5. Profit/fee is derived by considering the degree of risk, relative difficulty of work, size of job, period of performance, assistance by the Agency, and subconsulting assumed by the consultant at the time of the negotiations (see Section 31.31).

c. **Task Order Agreements** – This type of agreement is used with Negotiated and Provisional Hourly Rate methods of payment (see Appendix 31.79, Exhibit A-2.) Each item of work is listed by task assignment in the scope of work and each assignment is individually negotiated with the consultant. The maximum amount established for each assignment is the maximum amount payable for that assignment, unless modified in writing by the Local Agency.

While a regular negotiated hourly rate agreement is for a specific project, a single task order agreement can be used for a series of projects. Once the agreement is established, and each time the consultant's services are needed, a formal task assignment document is completed that describes the work, location, maximum amount payable, and completion date for the task. The agreement does not have to be renegotiated for each new task, therefore saving time. An example of a task order agreement would be one for performing construction inspection over a two-year period.

4. **Cost Per Unit of Work** – This type of agreement is used when the unit cost of the work can be determined in advance with reasonable accuracy, but the extent of the work is indefinite. Examples include soils investigation where costs are based on per foot of drilling, installation of observation wells, soil testing, structural foundation analysis and reports, expert witness testimony, and construction engineering services. Construction engineering services include, but are not limited to, construction management, construction administration, materials testing, materials documentation, contractor payments, general administration, construction oversight, and inspection and surveying.

.33 Agency/Consultant Negotiations – Negotiate an agreement with the selected consultant and retain a record of these negotiations (see Appendix 31.78). Negotiations may include the following:

1. The Agency negotiator and the consultant meet in person or by telephone and go over any significant areas of discrepancy between the Agency estimate and consultant proposal. Either the consultant satisfactorily explains differences or agrees to address concerns in a revised proposal.

2. The Agency reviews revised proposals and revises their detailed cost analysis accordingly. Steps 1 and 2 are repeated, if required.

3. The consultant submits a final fee proposal.

   a. Provide a final offer in writing.

      (1) The final agreement must specify the maximum amount payable.

      (2) The basis for establishing the maximum amount should be documented.

      (3) Procedures for adjustments to the maximum amount to accommodate changes in the work distribution or workload shall be explained.

   b. When unresolved differences exist between the consultant and Local Agency, the Agency shall notify the Region Local Programs Engineer. The Local Programs Engineer will review and confirm that the Agency has followed all the required procedures and will notify the Agency of the finding. The Agency will then notify the consultant in writing that negotiations are terminated and proceed to the next highest ranked consultant to begin the negotiation process again. Negotiation steps and records will be repeated with the alternate consultant selected.

31.4 Standard Agreement, Exhibits, and Supplements to Agreements, A&E, and Personal Services

When the cost of consulting services is $10,000 or more, Local Agencies must use the Local Agency Standard Consultant Agreement. (See sample agreement in Appendix 31.79, DOT Form 140-089 EF, and Appendix 31.710.) Standard agreement forms are available online at www.wsdot.wa.gov/consulting/submittalinformationpack.htm. (Select either the Package for Prime Consultants or Subconsultants.) The standard agreement was developed to allow the Local Agency to select the appropriate exhibits and assemble them into a complete agreement package for all types of consulting work. The agreement completion date (expiration date) shall be established based on the project schedule. The agreement completion date establishes the last possible date the consultant may work, and be paid for that work, utilizing federal funds. Any work performed after expiration of the agreement will be considered non-federally participating. It is of the utmost importance that the Agency monitor the project completion date and extend the date by supplemental agreement, if appropriate, prior to the completion date.

The time period for completion of the agreement is dependent upon the complexity of the project's scope of work. The duration may vary from two years for a relatively simple project, to six or more years for a complex project having multiple phases of work.

.41 Exhibits – Exhibits for the Standard Agreement are provided (see Appendix 31.79). The various payment methods require their own exhibits. Examples of types of work for each agreement payment type have already been discussed under Section 31.32, "Agreement Types/Payment Options." Most exhibits are common to any agreement; others require selection by the person creating the standard agreement.

.42 Supplements to the Agreements – An agreement shall be supplemented in writing when work that falls outside the scope of the original agreement is requested, when supplemental language to the standard agreement is desired, or when there is a need for time extension or wage adjustment. This may be done by a supplemental agreement only when the agreement completion date has not expired. (See Appendix 31.711, DOT Form 140-063 EF.) The work in the supplement must have been included in the advertisement for consultant services regarding the original agreement.

The supplemental agreement should include:

1. A statement that the original agreement will be supplemented to add/change/amend conditions.
2. A scope of work described in sufficient detail to clearly outline what additional work the consultant is to do or what changes are authorized to the existing scope.
3. The method of payment, i.e., cost-plus-fixed-fee, specified hourly rate, daily rate, and any indirect cost. (***Note:*** Always include a maximum amount payable.) Section V of the original agreement should be reviewed prior to negotiating any supplements.

4. A specific time for beginning/continuing work under the supplement and completing the project in calendar days or day and month of the year.
5. A summary of the estimated costs of the original agreement plus those of the supplement(s).
6. Provisions that give both parties of the agreement the authority to act.
7. Specific rates of pay shall be established for the supplemental agreement in the same manner as described in Section 31.32, Agreement Types/Payment Options, Sub-Part d, Specific Rates of Pay.

.43 Patent or Royalty Rights – Agreements that involve research, developmental, experimental, or demonstration work may include patent or royalty rights. In this case, the Standard Agreement should be supplemented by adding the appropriate language to account for this. The Region Local Programs Engineer is to be contacted for assistance in developing these supplemental agreements.

.44 Risk Management and Added Insurance Requirements – The Agency may change Section XIII of the Standard Agreement to reduce the requirement for the Consultant Professional Liability from one million dollars to the amount of the Agreement; whichever is the lesser of the two. This should be done for work that involves minimal risk, such as studies. For many consultant firms, covering the one million dollar liability would be an added cost to their overhead or directly to the project.

In the event the Agency determines that added liabilities or an insurance policy are warranted beyond the amount allowed in the Standard Agreement, they should negotiate this with the Consultant after the selection process is complete. This ensures that engineering qualifications, rather than the ability to obtain insurance, is the criteria for selection.

The Agency will determine the sufficiency of insurance normally provided within the consultant's overhead costs, and will identify the costs beyond that amount on Exhibit L. This exhibit is not needed if the standard agreement provisions are used. These costs will be considered direct project costs, and will not be billed to an FHWA funded project. In the event that Exhibit L is warranted, it should be sent with the risk analysis to the Region Local Programs Engineer for approval, who will forward it to Headquarters for review, prior to execution by the Agency and the consultant.

The Agency risk analysis should show that the work warrants this added cost and that consideration has been given to less costly solutions, including assuming the risk; insuring the risk outside of the agreement as an Agency cost; or adding a third tier of engineering overview to check the work.

To calculate the risk requires an ability to judge the likely amount of a jury's award if liability is determined. A suggested method is to determine the number of comparative cases presently existing within this state and to develop the probabilities based upon historic awards.

31.5 Audit Requirements

A Pre-Award Audit is no longer required. The Agency is now to negotiate the consultant's fee using the audited overhead rate for the consulting firm obtained from WSDOT's Audit Office, the Payroll Register of the firm, and the calculation of the consultant's profit/fixed fee, or percentage, to validate and negotiate financial information supplied by a consultant in a cost proposal (see Section 31.3). The consultant is to also be aware of FHWA's cost eligibility and documentation requirements of 49 CFR 18.

If the Agency has questions about the information provided, it may request a Pre-Award Audit. In the event a project must begin before an audit can be completed, provisional wages based on industry standards may be paid through completion of the audit with wage adjustments made in a supplemental agreement. If the Local Agency requests a Pre-Award Audit, the Local Agency Agreement should anticipate a charge averaging $5,000 for these costs.

WSDOT and/or FHWA may at their discretion require an intermediate or post audit for any project exceeding $100,000. The Agency, WSDOT External Audit Office, or FHWA will determine the need for either of these.

31.6 Oversight of the Agreement and Project Closure

The Local Agency shall assign one of its personnel as project administrator to work with the consultant. The project administrator's responsibilities are to:

1. Prepare supplements to existing agreements for services beyond the scope of the original agreement and include the Agency's independent estimate of the costs for the work involved.
2. Ensure that no work is done or costs incurred until the agreements and supplements are approved by the approving authority and executed by the proper parties.
3. Conduct regular meetings with the consultant to track progress and identify potential concerns.
4. Act as a liaison between the Agency and the consultant to assure compliance with the terms of the agreement, including OEO provisions and the use of mandatory forms.
5. Monitor the consultant's progress reports to ensure that problem areas are reported and corrective action taken.
6. Make sure that all work is within the agreement's scope of work.
7. Establish controls to monitor the time for completion of the agreement to ensure that the specified time limitations are not exceeded.
8. Ensure the accuracy of bills presented by the consultant and their consistency with the work performed.

9. Maintain cumulative cost records to assure that costs are allowable, allocable, and reasonable. Track bills to ensure compliance with agreement and fixed fees (see Appendix 31.712).

10. Establish controls to prevent overpayment of the agreement and fixed fees; and

11. Ensure that all terms and conditions of the agreement have been met prior to final release of the consultant.

.61 Invoicing – The invoice will include the following:

1. By name, all employees that worked on the project during the billing period;

2. The classification of each employee, the hours worked, the actual hourly payroll rate, and the total wages paid; and

3. Direct nonsalary costs. Nonsalary costs should be supported for auditing purposes by copies of the invoice or billing instruments the consultant received for payment. Either the consultant or the Agency may retain these copies.

The Local Agency may disallow all or part of a claimed cost, which is not adequately supported by documentation.

.62 Documentation – Original documents may include but are not limited to signed time sheets, invoices, payroll records, rental slips, and gasoline tickets that support the costs billed to WSDOT. The consultant is responsible to account for costs and for maintaining records, including supporting documentation adequate to demonstrate that costs claimed have been incurred, are allocable to the agreement, and comply with Part 31 of CFR 48. Time sheets should document hours worked, the billing rate of pay, and must be signed by the supervisor or his designee and the employee. Records will be retained for a period of three years after receipt of final payment.

.63 Closure – Upon completion of the work under the consultant agreement, the Agency will ensure that all terms and conditions of the agreement have been complied with and that all services to be performed under the agreement have been completed prior to final release of the consultant. The Local Agency should evaluate the consultant's performance and retain this in their records (see Appendix 31.713).

31.7 Appendices

31.71 Personal Services Contract for Appraiser

31.72 Consultant Agreement for Negotiation Services

31.73 Vacant

31.74 Advertisement – Example

31.74(a) Submittal Information Form (Prime)

31.74(b) Submittal Information Form (Subconsultant)

31.75 Request for Sole Source Consultant Services

31.76 Independent Estimate for Consulting Services

31.77 Consultant Fee Calculation Worksheet

31.78 Record of Negotiations – Example

31.79 Local Agency Standard Consultant Agreement (includes Exhibits A-1 Scope of Work, A-2 Task Order Assignment, B-1 DBE Utilization Certification, C Electronic Exchange of Engineering and Other Data, D-1 Lump Sum Payment, D-2 Cost Plus Fixed Fee Payment, D-3 Negotiated Hourly Rate Payment, D-4 Provisional Hourly Rate Payment, E-1 Consultant Fee Determination Sheet – Lump Sum, Cost Plus Fixed Fee, Cost Per Unit of Work, E-2 Consultant Fee Determination Worksheet – Specific Rates of Pay, F Breakdown of Overhead Cost, G Subcontracted Work, G-1 Subconsultant Fee Determination Worksheet, G-2 Breakdown of Subconsultants Overhead Cost, H Title VI Assurances, I Payment Upon Termination of Agreement, J Alleged Consultant Design Error Procedures, K Consultant Claim Procedures, L Supplemental Language for Insurance Requirements, M-1(a) Certification of Consultant, M-1(b) Certification of Agency Official, M-2 Debarment Certification, M-3 Federal Fund Restrictions, M-4 Current Cost or Pricing Data)

31.710 Supplemental Signature Page for Standard Consultant Agreement

31.711 Supplemental Agreement

31.712 Invoice Tracking Sheet

31.713 Performance Evaluation Consultant Services

Appendix 31.73 Vacant

AGENCY NAME NOTICE TO CONSULTANTS FOR

PROJECT NAME

The AGENCY NAME solicits interest from consulting firms with expertise in Civil and Structural Design. Consultants will be considered for the following project.

PROJECT DESCRIPTION

The work to be performed by the CONSULTANT consists of preparing preliminary engineering and PS&E for improvement of 36th Street East to Jovita Boulevard East. The proposed improvements include widening the road to accommodate four lanes of traffic, improving intersection radii, increasing left turn storage, revisions to existing signal systems in order to accommodate the proposed improvements, and construction of retaining walls to provide for roadway widening. The major features of the project are as follows:

- Approximately 1.74 miles of widening for two additional lanes.
- Improving intersection radii to meet design standards.
- Environmental planning and preparation of permit applications.
- Signal modifications and design.
- Structural design for retaining walls and culvert extensions/replacements.
- Determination of R/W needs and R/W plan preparation.
- A partnering effort is possible to assist with short project schedule, coordination of management, decision-making, and interaction with the (Agency name) regarding structural issues and reviews.

SUBMITTAL

Submittals should include the following information: Firm name, phone and fax numbers; Name of Principal-in-Charge and Project Manager; and Number of employees in each firm proposed to project.

Submittals will be evaluated and ranked based on the following criteria:

1) Key personnel; 2) Firm experience with PS&E; 3) Firm experience with environmental planning and permitting process; 4) Ability to meet schedule; 5) Approach to project; 6) Familiarity with relevant codes and standards; 7) Past performance/references; 8) Ability to provide M/WBE participation.

Double rating will be given to criteria #2.

AGENCY NAME encourages disadvantaged, minority, and women-owned consultant firms to respond.

Please submit FOUR copies of your Statement of Qualifications to: Director of Services Consultant Agency Name, Address, and Contact Person by April 7, 2002 not later than 10:00 AM. No submittals will be accepted after that date and time. Any questions regarding this project should be directed to Director of Consultant Services, at Agency Phone.

34.1 General Discussion

The primary objective of the Federal Highway Bridge Program (HBP) is to ensure public safety through inspection, rehabilitation, and replacement of bridges that meet the requirements for inclusion in the National Bridge Inventory (NBI) as defined by the National Bridge Inspection Standards (NBIS). The bridges that would be eligible for rehabilitation and or replacement using federal funds are described in Section 34.41.

This chapter describes the national requirements for bridge inspection programs and for selecting bridge projects to be funded using federal funds.

34.2 Bridge Condition Inspection Program

A methodical Bridge Inspection Program is required for agencies that want to qualify for HBP funds.

The Federal Highway Administration (FHWA) has set the national standards for the proper safety inspection and evaluation of bridges in a document called the National Bridge Inspection Standards (NBIS). These standards are located in the Code of Federal Regulations, Title 23 Highways Part 650, Subpart C. The latest electronic version of the NBIS can be found online at www.fhwa.dot.gov/bridge/. Information and guidance on bridge condition inspection in Washington State is located in the *Washington State Bridge Inspection Manual* (WSBIM) M 36-64. Reference these documents for additional information on the following subjects. In the event of conflicting information or requirements between the WSBIM and Sections 34.2 and 34.3 of this manual, the WSBIM will govern.

.21 Delegation of Bridge Program Manager Status – Each State Transportation Department is required to have an Inspection Organization responsible to inspect, or cause to be inspected, all highway bridges located on public roads that are fully or partially within the State's boundaries, except for bridges owned by Federal agencies. The WSDOT Local Agency Bridge Engineer has been delegated as the Program Manager for county and city owned bridges. The NBIS contains provisions to allow further delegation of bridge program functions identified in §650.307(c)(2) to qualified Local Agency bridge program personnel. See Appendix 34.54.

.22 Bridge Inspection Types and Frequencies – Each structure in the National Bridge Inventory (NBI) shall receive a routine inspection at intervals not to exceed 24 months except as provided in the NBIS.

Inspection frequency requirements are listed in Section §650.311 of the NBIS. These requirements are also outlined in the flowchart in Appendix 34.52 and are detailed in the WSBIM. The Highways and Local Programs (H&LP) Bridge Inventory Engineer will perform quarterly reviews of the Local Agency Bridge Inventory to ensure that bridge inspections are being performed on time. Local Agencies will be provided

with lists of bridges and the projected inspection dates to cross check with their own inspection list to ensure concurrence and identify any omissions. Bridges shall be inspected in the calendar month that is the result of the current inspection month plus the assigned inspection frequency in months. This usually means the inspection will happen in the same calendar month for future inspection years. The inspection update should be entered in Bridge Works within 30 days. This allows H&LP to monitor inspection progress and provides a record of inspection date compliance. Once inspections are performed, Local Agencies have 90 days to finish the inspections report and have the data released to the Local Agency Bridge Inventory.

Local Agencies will be notified of bridge records that do not have current inspection dates because the field inspection has not been done or because the information has not been released to the Local Agency Bridge Inventory. This notification will be first in the form of email or other correspondence with the H&LP Bridge Office. If corrections are not made within 30 days of notification, the second notification will be a formal letter of noncompliance from the H&LP Engineering Services Manager with a corrective action plan. Finally, failure to carry out the corrective action plan will result in formal notification from the Director of H&LP that federal funds may be restricted until compliance is met.

.23 Qualification of Bridge Inspection Personnel – Federal regulations specify the requirements for two positions within a Bridge Inspection organization:

- Bridge Program Manager – hereafter Program Manager
- Bridge Inspection Team Leader – hereafter Team Leader

The Program Manager is the individual charged with managing a specific bridge program and who has been delegated the duties of ensuring timely bridge inspection and reporting and that bridge records are current and valid. The Program Manager provides overall leadership and guidance to bridge program personnel.

Minimum Qualifications for Program Manager are:

- Registered Professional Engineer or 120 months of bridge inspection experience
- Successful completion of FHWA approved Comprehensive Bridge Inspection Training Course

The **Team Leader** is the individual in charge of an inspection team and is responsible for planning, preparing, and performing bridge inspections. The Team Leader is required to be onsite for all condition inspection activities on NBI bridges, and is responsible for inspection reporting and for accurate inventory coding. Qualified Team Leaders are certified by WSDOT and are issued an inspector identification number. Noncertified bridge inspectors are not allowed to submit bridge inspection data for NBI bridges to the Local Agency Bridge Inventory.

Minimum Qualifications for Team Leader are:

- Qualified Program Manager
- Or, 60 months of bridge inspection experience and successful completion of FHWA approved Comprehensive Bridge Inspection Training Course

- Or, Certified Level III or IV NICET bridge safety inspector and successful completion of FHWA approved Comprehensive Bridge Inspection Training Course
- Or, BS degree in engineering, and successfully passed EIT, and 24 months Bridge Inspection experience, and successful completion of FHWA approved Comprehensive Bridge Inspection Training Course
- Or, Associates degree in engineering, and 48 months bridge inspection experience, and successful completion of FHWA approved Comprehensive Bridge Inspection Training Course

Program Manager and Team Leader qualification requirements are listed in Section §650.309 of the NBIS and are outlined in the flowchart in Appendix 34.51. The time requirements listed for qualification are measured by the actual time spent performing the designated activity or related tasks not by calendar years.

All applications for Program Manager delegation and Team Leader certification will be reviewed and approved by H&LP. Program Manager delegation is issued to an individual within a specific agency that meets the qualifications, not to the agency (see Appendix 34.54 to review the Bridge Program Manager Agreement). If a Bridge Program Manager leaves agency employment, and the agency desires delegation of another Program Manager, delegation to another qualified person within the agency is required (see Section 34.21). Certification of Bridge Program Manager status will be sent by hard copy letter. Bridge Inspector Team Leader certification will be acknowledged through an email response and by activation of Certified Bridge Inspector privileges in the Bridge Works Bridge Inspection Software. Any bridge certification will become part of the "Staff Qualification" file required for all bridge program personnel and which will be checked on an annual basis and during Quality Assurance (QA) reviews.

WSDOT maintains a list of qualified inspection service consultants which is available through H&LP. Private consultants wanting to provide in-service bridge inspection services must have bridge inspectors that have been certified by WSDOT staff.

.24 Continued Certification of Bridge Inspection Personnel – Each Program Manager and Team Leader must participate in a 40 hour continuing education program to maintain certification. This program requires the following during a five-year period:

- 40 hours of bridge related training including WSDOT sponsored bridge training, bridge conferences, and other NHI Bridge Training courses.
- An approved Bridge Inspector Refresher Training course.
- Field evaluation performed by WSDOT H&LP during QA reviews or by an agency's Bridge Program Manager with the approval of the WSDOT Local Agency Bridge Engineer (see Section 34.3).

The expiration date of Program Managers and Team Leaders privileges are listed under Bridge Works account settings and is updated by H&LP after verification that the continuing education requirements have been met. Qualification reviews are performed annually and as well as the formal process during the file review during the QA process outlined under Section 34.3.

Visit the H&LP Bridge Services website at www.wsdot.wa.gov/localprograms/bridge/training.htm for bridge training opportunities which count toward the 40 hours of continuing education

.25 Bridge Inspection Records and File Requirements – Bridge owners are required to maintain a complete and current official bridge file for each structure included in the NBI. This file is to be maintained throughout the life of the bridge. Chapter 1 of the WSBIM and Appendix 34.54 list the requirements for each official bridge file and detailed guidance on what to include. In addition, the *American Association of State Highway and Transportation Officials (AASHTO) Manual for Bridge Evaluation*, First Edition 2008, has been incorporated by reference in the NBIS. See NBIS Section §650.313(d).

Agencies must identify bridges requiring special attention and must keep these Master Lists with the official bridge files. Lists of bridges that require special inspections such as, Fracture Critical Member Inspections, Underwater Inspections, and Complex Bridge Inspections or are singled out for deficiencies such as Load Posting or having been determined Scour Critical should be included on Master Lists.

Additionally, each local agency is required to maintain a current file on each member of the Inspection staff detailing their experience and training.

.26 Bridge Load Ratings – All NBI bridges, including new structures, require load ratings which must be stamped and signed by the Professional Engineer charged with overall responsibility for the analysis. These ratings must be placed in the official bridge file as discussed in Section 34.25. If the current load rating is suspect because of condition changes or added dead load, a new rating shall be performed and the bridge inventory updated within 90 days of the inspection. Bridges must be posted or restricted when the maximum load carrying capacity drops below the maximum unrestricted legal load. Additional load rating requirements are available in Chapter 5 of the WSBIM. Once it has been determined that an in-service bridge can no longer carry legal loads, load restriction signs shall be installed within 30 days including an update to the Local Agency Bridge Inventory with correct coding that reflects the diminished bridge capacity. The inventory update shall include a photo of the posting for confirmation purposes. Load ratings for new bridges are eligible for HBP funds and should be included in the contract for bridges funded under this program. Load Ratings shall be available for inclusion in the bridge inventory record no later than 90 days from the time the bridge is put in service.

.27 Bridge Scour Analysis – A scour evaluation is required for each bridge over water. Chapter 5 of the WSBIM provides guidance on performing this evaluation. The scour analysis must also yield the federal scour code as detailed in Chapter 2 of the WSBIM under the Washington State Bridge Inventory System (WSBIS) WB76-80 card. This evaluation becomes part of the official bridge file discussed in Section 34.25.

Plans of action for monitoring as well as scour repair plans are required for all bridges determined to be “scour critical” or to have unknown foundations. A plan of action (POA) has these primary components:

1. Development and implementation of a monitoring program.
2. Instructions regarding the type and frequency of inspections to be made at the bridge.
3. A schedule for the timely design, and construction of scour countermeasures (e.g., riprap).

Each documented plan of action should address each of these components and explain why the preferred actions were chosen. (See Chapter 5 of the WSBIM for more detailed information on what should be included in each POA).

.28 Critical Damage Bridge Repair Reports – A Critical Damage Bridge Repair Report must be completed whenever a bridge is identified as having significant structural damage causing emergency load restrictions, lane closure, bridge closure, or if a bridge has failed.

The WSDOT Local Agency Bridge Engineer must be notified by telephone or email within one working day of identification of a problem. This notification starts a series of reports that are ultimately forwarded to FHWA. This series of reports allows the local agency, H&LP, and FHWA to track the status of critically damaged bridges until the damage is resolved by repair or replacement of the bridge. See Chapter 6 of the WSBIM for contact information, timelines, forms and procedures.

34.3 Quality Assurance and Quality Control Reviews

H&LP conducts Quality Assurance and Quality Control (QA/QC) reviews of local agency bridge programs statewide to:

- Verify that local agency bridge inspection programs maintain a high degree of accuracy and consistency.
- Identify future training needs.
- Ensure compliance with the NBIS.

Quality Assurance (QA) is defined per 23 CFR 650.305 as “the use of sampling and other measures to assure the adequacy of quality control procedures in order to verify or measure the quality level of the entire bridge inspection and load rating program.” A QA review must be done by someone outside the work group.

Quality Control (QC) is defined as “procedures that are intended to maintain the quality of a bridge inspection and load rating at or above a specified level.”

The H&LP Local Agency Bridge Inventory Engineer continually performs routine Quality Control reviews on the data contained in the Local Agency Bridge Inventory. Queries are run on all bridge inventory data for verification of data consistency and correct data field correlation. In addition, updated bridge inspection data prepared by the bridge owners receives an in-depth review and corrections are made before releasing new data to the bridge inventory. The remote aspect of the QC review process is extended to incorporate additional bridge file components as they become available electronically through the bridge inspection software. This process produces a more efficient and complete review of the Agency’s program during the actual field visits.

Quality Assurance reviews are a formal review that is conducted a minimum of once every five years. This formal review consists of both a bridge file review and the field review as detailed below. See Appendix 34.57 for a copy of the checklist used by H&LP for this review.

The detailed documented policies and procedures used by H&LP for the QA/QC reviews are located in Chapter 7 of the WSBIM.

Local Agency Quality Control – Each agency that has been delegated Program Manager Responsibilities by WSDOT shall have written quality control procedures in place to ensure that data submitted to the Local Agency Bridge Inventory is accurate and complete. The agency's quality control procedures must be on file and, at a minimum, comply with the QC requirements outlined in Chapter 7 of the WSBIM and be approved by the FHWA Washington Division Bridge Engineer.

34.4 Highway Bridge Program Call for Projects

Counties and cities are invited to submit bridge projects to H&LP in response to a Highway Bridge Program Call for Projects. These bridge projects must meet the federal eligibility requirements in Section 34.41.

The specific application requirements may vary from biennium to biennium and will be outlined in the actual Call for Projects.

.41 Highway Bridge Program Eligibility – A bridge project must fulfill the following federal criteria to be eligible for HBP funding:

1. The bridge must be more than 20 feet in length measured along the centerline.
2. It must be recorded in the Washington State Bridge Inventory System (WSBIS).
3. For replacement and rehabilitation, the bridge must be structurally deficient (SD) or functionally obsolete (FO) with sufficiency ratings as follow:
   a. For Replacement: less than 50
   b. For Rehabilitation: 80 or less
4. Seismic-Paint-Scour – Eligible activities may be funded for bridges regardless of sufficiency rating. However, bridges must be scour critical or have unknown foundations to be eligible for scour projects. Routine maintenance is not eligible for HBP funding.
5. No replacement or rehabilitation projects can have been performed using HBP funds in the past 10 years. There is no moratorium following Seismic-Paint-Scour projects, however, the intent of this funding is for the repair to last at least 10 years.
6. Bridges with structurally deficient decks (Deck Overall codes of 4 or less) are eligible for rehabilitation regardless of sufficiency rating. The 10-year moratorium will not disqualify the candidate. However, once the deck has been replaced or rehabilitated, the 10-year rule will apply.

The Federal Highway Administration (FHWA) has developed a formula that calculates sufficiency ratings and assigns SD or FO designations. This computation is performed by the WSBIS using inventory and inspection data submitted by state and local agency bridge inspectors. The sufficiency rating is based on four factors: structural adequacy and safety, serviceability and functional obsolescence, essentiality for public use, and special reductions. Ratings can range from 0 (worst) to 100 (best). Deteriorated bridges that are in poor condition are considered Structurally Deficient (SD) and bridges with geometric configurations that are below current standards for the route they serve are considered Functionally Obsolete (FO). A further explanation of sufficiency rating and criteria for structural deficiency and functional obsolescence can be found at www.wsdot.wa.gov/localprograms/bridge/resources.htm under a link labeled "Bridge Analysis." A sufficiency rating generator is included as part of the Bridge Works Bridge Inspection software which is available for download at www.wsdot.wa.gov/localprograms/bridge/bridgeworks.htm.

.42 Bridge Replacement Design Standards – Bridges shall be designed in accordance with Chapter 42 and the following criteria:

1. **Live Load** – Load and Resistance Factor Design (LRFD) HL 93.
2. **Vertical Clearances** – Clearance over roadways is a minimum 16.5 feet. Clearance over railroads is a minimum 23.5 feet.
3. **Design-Year ADT** – Will be determined per Section 43.21.
4. **Bridge Length** – The length of the replacement bridge can be affected by one or both of the following factors:
   a. The bottom of the superstructure will be 3 feet above the 100 year flood or as determined by field review.
   b. The abutment and pier locations(s) of a new bridge generally reduce the existing backwater elevation. In fish bearing waters, acceptable rise in the backwater elevation is 0.2 foot above the existing conditions, as referenced in WAC 220-110-070(1)(h). For non-fish bearing waters, the acceptable rise in the backwater elevation is 1 foot above the existing conditions.
5. **Bridge Type** – The bridge type selected will be the most economical type for the span length needed, based on sound engineering judgment and/or economics.
6. **Bridge Foundation Type** – The type and depth of the foundation elements will depend on the results of the geotechnical and hydraulic analyses and shall be considered scour safe (WB76-80 coded 8 or 9).

Both a load rating and a scour analysis for a new bridge shall be provided for the official bridge file. The scour analysis will consist of a summary of the hydraulic design as justification for the scour safe code.

.43 Bridge Rehabilitation Criteria – To qualify as a rehabilitation project, the total rehabilitation costs shall not exceed 70 percent of the replacement costs. Rehabilitation projects will be subject to the following requirements:

1. Structural deficiencies will be removed.
2. Structure will be brought up to current standards.
3. Completed bridge must load rate at or above an H-15 inventory rating.

.44 Seismic-Paint-Scour – Project eligibility and priority ranking is based on the Washington State Bridge Management System (BMS) element data. See Chapter 4 of the WSBIM for BMS information.

.45 Eligible Bridge Costs – The following are eligible bridge costs:

1. **Bridge Construction** – All items typically detailed by bridge designers (concrete, rebar, piling, barriers, expansion dams, etc.).
2. **Bridge Aesthetics** – Limited to the treatment required in the approved NEPA documents. Typically, paints or pigmented sealers and fractured fin finishes on concrete structures will not be approved.
3. **Demolition** of existing structure(s).
4. **Detour** – All work items required to accommodate the construction of the new bridge.
5. **Traffic Control for the Work Zone** – Prorated by costs of bridge vs. approach work.
6. **Structural Excavation and Backfill for Bridge** – Includes abutments, wing walls, footings, cofferdams, etc.
7. **Riprap Protecting Bridge Structure Within the Right of Way** – Riprap placed within the right of way to protect the structure can be considered a bridge item.
8. **Approach Slab** – The approach slab is a reinforced concrete element that protects the bridge and abutments from impacts and can be considered a bridge item.
9. **Approach Guardrail Transition Section** – Approach guardrail systems are installed in accordance with Standard Plans and are considered a bridge item provided site conditions do not require unusually long transitions.
10. **Retaining Walls** (up to 20 feet maximum distance from the abutment) – Retaining walls are structural elements that serve the same functions as the standard bridge wing walls and are designed by bridge designers. Retaining walls beyond these limits would not be considered bridge items.
11. **Bridge Drainage** – Including components necessary to carry water from the structure.
12. **Environmental Mitigation** – Prorated for the bridge, demolition of existing structure, and/or detours.
13. **Mobilization** – Prorated by costs of bridge and approach work.

Approach costs will be limited to 15 percent of the above items.

.46 On-Site Field Review of Candidates – The on-site field review team verifies the condition of the bridge, review site information, and possibly requests updated or additional information. The field review is also an opportunity for the bridge owner to provide additional information related to up-front project scoping and analysis done prior to the call for projects.

a. **Field Review Team** – The Field Review Team consists of the WSDOT H&LP Bridge Engineer (Review Team leader), a local agency bridge owner representative, the Region Local Programs Engineer, and FHWA Division Bridge Engineer whenever possible. On non-CA agency bridges, the Field Review Team will also have a representative from the agency providing CA services for the nonCA agency. The H&LP Bridge Engineer may add other representatives as deemed appropriate for specialized conditions.

b. **Review Procedures**

1. The Field Review Team conducts an on-site review of proposed bridge projects. The Field Review Team may use results of a previous review for a bridge submitted but not funded, provided the review was conducted within the past three years.

2. The Bridge Inspection Report is reviewed at the site. The Field Review Team looks for inconsistencies between condition codes, load ratings, postings, ADT, and other factors. The WSDOT H&LP Bridge Engineer calculates an independent sufficiency rating based on codes agreed to by the review team. The final sufficiency rating may change again based on information requested by the team but not available during the field review.

3. The items submitted with the application are reviewed at the site. The Field Review Team reviews the site in detail and recommends which of three funding program best fits the condition of the bridge.

   a. Replacement projects.

   b. Rehabilitation projects.

   c. Seismic-Paint-Scour.

4. A consensus is reached on the appropriate funding program and estimated scope of work for the project.

5. The project cost estimate submitted by the agency is discussed in detail and revised as appropriate.

.47 Bridge Selection – The Bridge Replacement Advisory Committee (BRAC) convenes after the on-site field reviews are completed. Bridge projects are presented to the Committee ranked by their sufficiency rating or other criteria by specific funding program. Results of the field review, Review Team recommendations, and other pertinent information are presented to the committee. The Committee reviews all of the projects and then recommends projects for funding.

The BRAC comprised of seven voting members and two alternates. The committee includes four county representatives, four city representatives, with the H&LP Engineering Services Manager serving as Chair. Alternates initially serve one year as a non-voting member then for three more years as a voting member. Alternates for either city or county may participate in the event a voting member from their respective association is absent.

The Director of H&LP reviews the list of projects recommended by the BRAC and approves a final list of bridges to receive funding. Counties and cities will receive a funding notification letter informing them that their bridge project has been approved for funding. The letter will identify the anticipated federal funding level and asks the agency to submit their request for funds through their Region Local Programs Engineer. This letter will also identify the percentage for bridge approach cost participation and any other requirements specific to the project.

.48 Cost Increases – The level of federal project funding may be increased one time only. Request for increased funding should outline the reasons why additional funding is needed.

There are two situations when an agency can request additional funding.

1. **Prior to Construction Obligation/Authorization** – At the construction authorization point, the agency is required to have all necessary funding secured. If the current engineer's estimate exceeds the amount of funding approved for the project, the agency may submit a request to increase federal funding.

   Approval for the increase in funding must be received prior to construction authorization or all costs above the original amount approved for the project will be the responsibility of the agency.

2. **After Advertisement But Before Award** – If all bids received exceed the amount of funding approved for the project, the agency may submit a request to increase federal funding.

   Approval for the increase in funding must be received prior to awarding the project contract or all costs above the original amount approved for the project will be the responsibility of the agency.

   H&LP will send a letter to the agency approving or denying the proposed increase. If approved, the local agency must then prepare, sign, and submit a Supplemental Agreement to the Region Local Programs Engineer for further processing.

34.5 Appendices

34.51 NBIS Regulation – Qualifications of Personnel

34.52 NBIS Regulation – Inspection Frequency

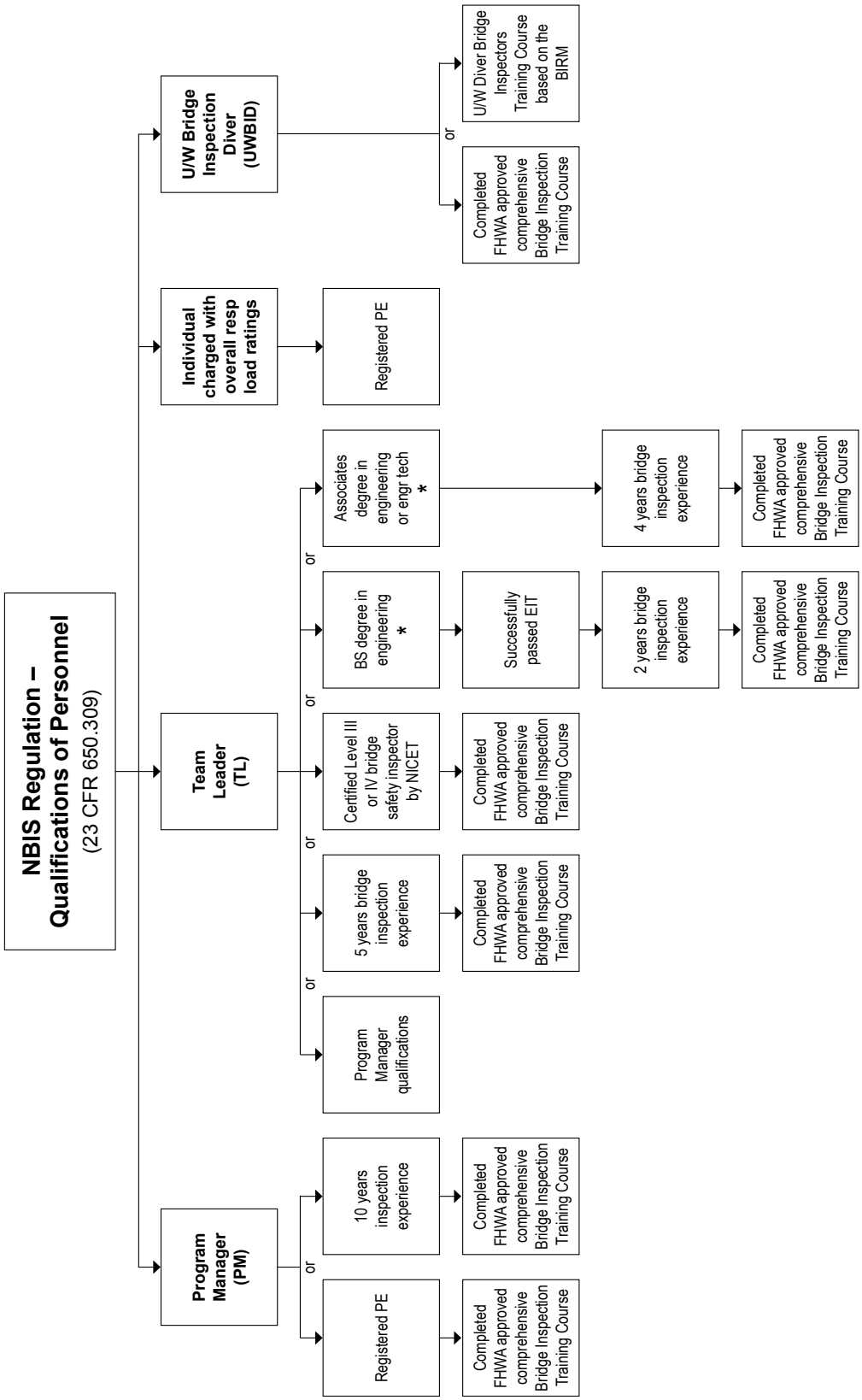
34.53 Bridge Inspector Experience and Training Record

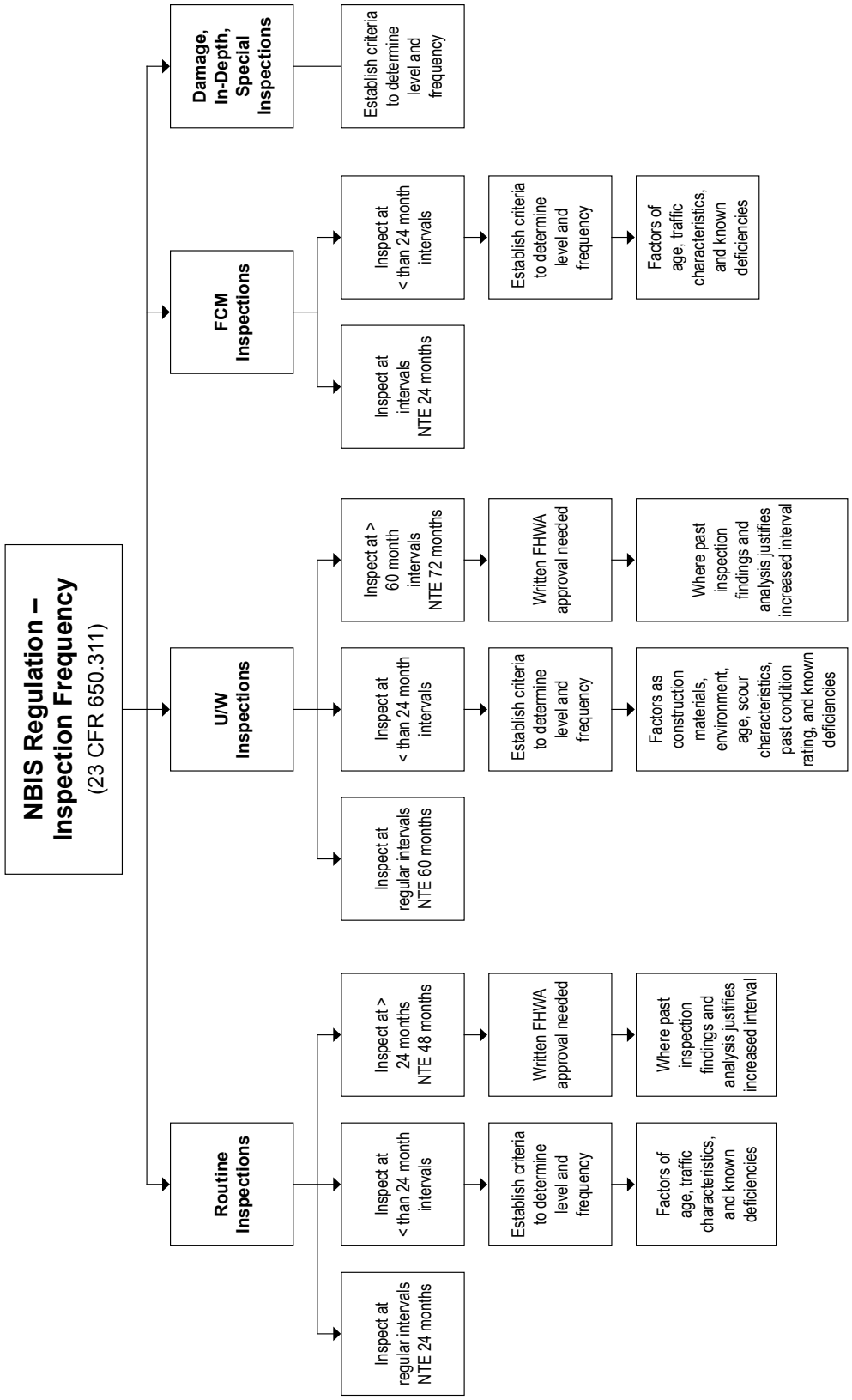
34.54 Bridge Program Manager Agreement

34.55 Bridge Records

34.56 Individual Bridge Record

34.57 Local Agency Bridge Program Quality Assurance Checklist


NBIS Regulation – Qualifications of Personnel
(23 CFR 650.309)
Program Manager (PM)
Registered PE
Completed FHWA approved comprehensive Bridge Inspection Training Course
or
10 years inspection experience
Completed FHWA approved comprehensive Bridge Inspection Training Course
Team Leader (TL)
Program Manager qualifications
or
5 years bridge inspection experience
Completed FHWA approved comprehensive Bridge Inspection Training Course
or
Certified Level III or IV bridge safety inspector by NICET
Completed FHWA approved comprehensive Bridge Inspection Training Course
or
BS degree in engineering *
Successfully passed EIT
2 years bridge inspection experience
Completed FHWA approved comprehensive Bridge Inspection Training Course
or
Associates degree in engineering or engr tech *
4 years bridge inspection experience
Completed FHWA approved comprehensive Bridge Inspection Training Course
Individual charged with overall resp load ratings
Registered PE
U/W Bridge Inspection Diver (UWBID)
Completed FHWA approved comprehensive Bridge Inspection Training Course
or
U/W Diver Bridge Inspectors Training Course based on the BIRM
* An accredited Board for engineering and technology or determined substantially equivalent.



Key:
NTE = Not to Exceed
FCM = Fracture Critical Member
UW = Under Water

Chapter 41 General Project Types

41.1 General Discussion

This chapter identifies the design standards document, deviation approval authority and design approval for a specific facility. The deviation process, Value Engineering, and Work Zone Safety and Mobility are also discussed below. This part of the manual is organized into six chapters relating to the design phase General Design Information; City and County Design Standards for Non NHS facilities; Location and Design Approval; Plans, Specifications, and Estimates; State Advertising and Award Procedures; and Local Advertising and Award Procedures.

Compliance with Section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990 is required in the design, construction, operation and maintenance of transportation facilities (i.e., pedestrian facilities, park and ride lots). Where sidewalks are provided, public agencies shall provide pedestrian access features such as continuous, unobstructed sidewalks, and curb cuts with detectable warnings at highway and street crossings. See 28 CFR Part 36, Appendix A, for minimum federal requirements for curb ramps. The design standards document and approving authority are shown in the following table.

Facility	Design Standards	Deviation Approval	Design Approval
Interstate			
New/Reconstruction	WSDOT *Design Manual*	WSDOT/FHWA	WSDOT/FHWA
ITS Over $1,000,000	WSDOT *Design Manual*	WSDOT HQ	WSDOT HQ
All Other	WSDOT *Design Manual*	WSDOT HQ	WSDOT Region
National Highway System (NHS)			
State Highways outside of incorporated cities, or on a limited access highway	WSDOT *Design Manual*	WSDOT HQ	WSDOT Region
State Highways within incorporated cities between back of curb to back of back curb	WSDOT *Design Manual*	WSDOT HQ	WSDOT Region
State Highways within incorporated cities beyond curb line	AASHTO*	WSDOT H&LP	City
City Streets (non-State highways)	AASHTO*	WSDOT H&LP	City
County Roads	AASHTO*	WSDOT H&LP	County

Facility	Design Standards	Deviation Approval	Design Approval
Non-National Highway Systems (Non-NHS)			
State Highways outside of incorporated cities, or on a limited access highway	WSDOT *Design Manual*	WSDOT HQ	WSDOT Region
State Highways within incorporated cities between back of curb to back of back curb	WSDOT *Design Manual*	WSDOT HQ	WSDOT Region
State Highways within incorporated cities beyond curb line	*City and County Design Standards See Chapter 42	WSDOT H&LP	City
City Streets (non-State Highways)	*City and County Design Standards See Chapter 42	WSDOT H&LP	City
County Roads	*City and County Design Standards See Chapter 42	WSDOT H&LP	County

*Bicycle facilities and multi-use facilities per RCW 35.75.060 and 36.82.145 must follow the current AASHTO bicycle design standards and/or standards submitted by the local agency which have been approved by H&LP for any facility allowing bicycle traffic.

Different standards apply to the design of new construction/reconstruction, 3-R (resurfacing, restoration, and rehabilitation), and 2-R (resurfacing and restoration). Each of these terms is defined in Chapter 42. Local agencies must determine which standards apply before beginning design. See Chapter 42 for design standards on non-NHS routes.

See Section 43.4 for information on Value Engineering.

41.2 Work Zone Safety and Mobility

All projects on the Interstate system must comply with the FHWA/WSDOT "Work Zone Safety and Mobility" rules. This rule applies to all federally funded projects advertised on or after October 12, 2007. It is recommended that any other federally funded project over $10 million or any project that includes a detour also apply the "Work Zone Safety and Mobility" rules. WSDOT *Design Manual* M 22-01 Chapter 1010 has a list of requirements and key elements as well as checklist for developing a formal Transportation Management Plan (TMP) document.

41.3 Intelligent Transportation Systems (ITS)

Intelligent Transportation Systems (ITS) improve transportation safety and mobility and enhance productivity through the use of advanced communications technologies and their integration into the transportation infrastructure and in vehicles. These systems encompass a broad range of wireless and wire line communications-based information and electronics technologies.

Systems engineering processes are required on all federal aid projects incorporating ITS, as noted in 23 CFR 940.11. The systems engineering process, often referred to as the "V" diagram, is shown in Appendix 41.52. As shown in the appendix the systems engineering process contains a number of steps that are not included in the traditional project delivery process.

The form in Appendix 41.53 will meet the minimum requirements in 23 CFR 940 for a federal aid project. Agencies need to complete the form and keep it in the project design files for the entire document retention period of the project. The level of systems engineering used for a project should be on a scale commensurate with the scope, size, and risk of the project.

Refer to Chapter 1050 of the WSDOT *Design Manual* M 22-01 for more information on the ITS Systems Engineering Process.

41.4 Deviations

.41 General – The Agency is authorized to design projects to the standards as indicated in the table shown in Section 41.1. In the event all design standards cannot be incorporated into the design, the agency shall submit a deviation request for review and approval.

.42 Documentation – An agency shall document their reasons for the deviation. The deviation request shall include a description of the problem and its proposed solution and a vicinity map in sufficient detail to aid in evaluating the problem. The deviation request document is a stand alone engineering document. If references to other sources or documents are required, the document should use the appropriate quotes and excerpts as necessary.

An analysis of the engineering and financial aspects of the proposal as compared to the standard and options considered shall be provided. The analysis shall specifically address safety issues, including accident history and projections. It shall address applicable operational characteristics, including traffic speeds, traffic volumes, capacity and route continuity. It should include financial considerations such as high construction costs, unusual or extraordinary site conditions, or environmental requirements that may impact the decision. The analysis may include a Benefit/Cost comparison, and/or Life Cycle Costing of alternatives considered. The analysis should also include any other information which may be helpful as a future reference.

The level of detail of the request should be based on the relative complexity and scope of the project and the deviation requested. Requests will be considered based on the merits presented. This analysis and deviation request shall be documented and completed prior to the agency's completion of PS&E documents.

.43 Format – Appendix 41.51 is a Deviation Analysis Format sheet for use on locally owned facilities (deviations approved by WSDOT H&LP). Refer to the WSDOT *Design Manual* M 22-01 for format on all other deviations. The example is intended to present format only.

41.5 Appendices

41.51 Deviation Analysis Format

41.52 Design Process V Diagram

41.53 Intelligent Transportation Systems Information Form

Chapter 42 City and County Design Standards for All Routes

42.1 Introduction

The City Design Standards Committee and the County Design Standards Committee, in accordance with RCW 35.78.030 and 43.32.020, meet on a regular basis to review and update the city and county design standards for all facilities (NHS and Non-NHS).

The Local Agency Engineer may approve use of the minimum AASHTO and related standards as contained in the references. Design deviations must have the approval of the Washington State Department of Transportation (WSDOT) Highways and Local Programs in accordance with RCW 35.78.040 or RCW 36.86.080 as appropriate. When AASHTO and/or related design standards as contained in the references are updated and published, agencies must comply with the new design standards for all projects no later than two years after of the publication date.

All projects are subject to Americans with Disabilities Act (ADA) requirements for accessibility. For guidance on ADA standards please see *Design Manual* M 22-01, Section 1025 and the Local Agency ADA Planning and Design Resource web page at www.wsdot.wa.gov/ta/operations/localplanning/ada.html.

These standards apply to new construction and reconstruction projects, 3R and 2R projects, and low volume road and street projects on all routes which are classified as Principal Arterials, Minor Arterials, or Collectors. These standards are applicable to new or reconstructed bridges on rural minor collectors, local roads, and local streets.

Included in the standards are the Local Agency Design Matrices. The matrices are used to standardize design element requirements based on project type for all facilities. The Local Agency Design Matrices Checklists may serve as design documentation for decisions made.

In adopting these standards, the committees seek to encourage standardization of road design elements where necessary for consistency and to assure that motoring, bicycling, and pedestrian public safety needs are met. Considerations include safety, convenience, context sensitive solutions, proper drainage, and economical maintenance. The committees recognize that cities and counties must have the flexibility to carry out the general duty to provide streets, roads, and highways for the diverse and changing needs of the traveling public.

These standards cannot provide for all situations. They are intended to assist, but not to substitute for, competent work by design professionals. It is expected that land surveyors, engineers, and architects will bring to each project the best skills from their respective disciplines. These standards are also not intended to limit any innovative or creative effort, which could result in better quality, better cost savings, or both. An agency may adopt higher standards to fit local conditions. Special funding programs may also have varying standards.

The decision to use a particular road design element at a particular location should be made on the basis of an engineering analysis of the location. Thus, while this document provides design standards, it is not a substitute for engineering judgment.

Engineers should take into account all available information, including available funding, and use the professional judgment that comes from training and experience to make the final design determination. There shall be a record, of the matters considered during the design process that justify decisions made regarding the final project design. The project design must be approved by the approving authority as outlined on the agency's Certification Acceptance Agreement or the acting designated authority for a Non-Certification Acceptance agency. See Chapter 43 and Appendix 43.62.

42.2 Committee Membership

City Design Standards Committee RCW 35.78.020	County Design Standards Committee RCW 43.32.010	Other Participants
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These design standards were developed with the approval and authorization of:

_____

Aaron Butters, PE, Committee Chair
Engineering Services Manager
Headquarters Highways and Local Programs
Washington State Department of Transportation

42.3 Local Agency Design Matrices

The Local Agency Design Matrices were created as part of the Local Agency Standards to assist designers in determining the design level for the geometric and safety elements of a project. The Local Agency Design Matrix Checklist may serve as documentation for design decisions made.

.31 Using the Matrices – The column headings on each of the three design matrices are **design elements**. They are based principally on the 13 controlling design criteria recognized by FHWA: design speed, lane width, shoulder width, bridge width, structural capacity, horizontal alignment, vertical alignment, grade, stopping sight distance, cross slope, superelevation, vertical clearance, and horizontal clearance. Within the column headings, some of the controlling criteria have been combined (for example, design speed is part of horizontal and vertical alignment). The matrices are divided into three tables, one each for Roadways, Cross Roads, and Bridges. Within the three tables the project types are identical, design elements vary depending on which elements apply.

A blank cell within the design matrix signifies that the design element need not be addressed because it is beyond the scope of the project type.

Design levels of City and County Design Standards (D), AASHTO (A), and Agency Evaluate (AE), are used in the matrix. The design level codes are noted in the cells by D, A or AE or by a number corresponding to a footnote. For roads that have volumes less than 400 ADT, AASHTO Geometric Design of Very Low Volume Roads (ADT<400) may be used.

Optional Checklists have been provided for the designer to use with the matrix. A checklist is available for each type of project in Appendix 42.101.

Matrix Cells: Each Matrix cell is either blank or has a coded design level.

.32 Design Levels – If the Design Level is **D**, use the Geometric Cross-Section for Two-Way Roads and Streets within the City and County Design Standards on page 12.

If the design level is **A**, the design standard is AASHTO (the most current edition of the AASHTO publication *A Policy on Geometric Design of Highway and Streets*, "Guidelines for Geometric Design of Very Low-Volume Local Roads (ADT< 400)," or as noted in the City and County Design Standards. When AASHTO and/or related design standards as contained in the references are updated and published, agencies must comply with the new design standards for all projects no later than two years after of the publication date.

When the Matrix cell has either a "D" or an "A" and the final design utilizes something less than Design Level A, a Design Deviation, approved by Headquarters Highways and Local Programs, is required.

A **Blank Cell** on a matrix line indicates that particular design element requires no evaluation or documentation. If the agency decides to improve or modify a blank cell design element, that element must meet Design Level A and the agency must justify in their design document files why the decision to upgrade the design element was made. Per FHWA guidelines, if an improvement in a **"Blank Cell"** area is made, it must meet all requirements of design level A. Or if, in the opinion of the agency's design Engineer, Design Level A cannot be achieved, a **Design Exception** may be considered.

AE in a matrix cell indicates that an agency needs to determine if the existing design element is less than Design Level A. If the existing design element meets or exceeds Design Level A the agency notes that in the design documents and no further action is required. If the existing design element is less than Design Level A, the agency shall determine the impacts and cost effectiveness of upgrading the design element to Design Level A. The decision whether or not to upgrade, and its analysis and justification shall be in the agency design documentation files. If the agency upgrades, Design Level A applies. Or if, in the opinion of the agency's design Engineer, Design Level A cannot be achieved, a **Design Exception** may be utilized.

A **Design Exception** may be utilized if, in the opinion of the local agency's design Engineer, the existing design element is being improved but Design Level D or A cannot be achieved. For example, design standard requires a 6 foot wide shoulder for a project, the existing condition is a two foot wide shoulder but the best that can be reasonably achieved is a 4 foot wide shoulder. This is a **Design Exception**, improvement is being made but not to Design Level A.

42.4 Local Agency Design Matrix Definitions

.41 Design Elements – Design elements are the principal elements of design that are common to projects. The following elements are shown on the Design Matrix.

- **Horizontal Alignment** is the horizontal attributes of the roadway including horizontal curvature, superelevation, and stopping sight distance; all based on design speed.
- **Vertical Alignment** is the vertical attributes of the roadway including vertical curvature, profile grades, and stopping sight distance; all based on design speed.
- **Lane Width** is the distance between lane lines.
- **Shoulder Width** is the distance between the outside or inside edge line and the edge of in-slope, or face of barrier.
- **Lane and Shoulder Taper** (pavement transitions) are the rate and length of transition of changes in width of roadway surface.
- **Pedestrian Facility** is a facility designed to meet the needs of pedestrians in accordance with city, county, and ADA requirements concurrent with a local agency project
- **Sidewalk Width** is the width of a sidewalk from the face of curb to the back of sidewalk.
- **Cross Slope, Lane** is the rate of elevation change across a lane. This element includes the algebraic difference in cross slope between adjacent lanes.

- **Cross Slope, Shoulder** is the rate of elevation change across a shoulder.
- **Superelevation** is the rotation of the roadway cross section in such a manner as to overcome part of the centrifugal force that acts on a vehicle traversing a curve.
- **Fill/Ditch Fore Slope** is downward slope from edge of shoulder to bottom of ditch or catch.
- **Clear Zone** is the total roadside border area, starting at the edge of the traveled lane, available for use by errant vehicles. This area may consist of a shoulder, a recoverable slope, a nonrecoverable slope, and/or a clear run-out area.
- **Safety Improvements** are the safety items listed under the "Safety Improvements" section of these standards.
- **Shared Use Bicycle and Pedestrian Facilities** are walkways, paths, or trails for shared use by both pedestrian and bicycle traffic. Effective July 1, 2012, refer to the current AASHTO bicycle design standards and/or standards submitted by the local agency which have been approved by Highways and Local Programs for any facility allowing bicycle traffic.
- **Turn Radii** is the geometric design of the intersection to allow the design vehicle for each turning movement to complete the turn without encroachment.
- **I/S (Intersection) Sight Distance** is the distance that the driver of a vehicle on the crossroad can see along the through roadway, as compared to the distance required for safe operation.
- **I/S Angle** is the angle between any two intersecting legs at the point that the center lines intersect.
- **Barriers Standard Run (Std Run)** are guardrail and other barriers excluding terminals, transitions, attenuators, and bridge rails.
- **Barriers Bridge Rail** is barrier on a bridge excluding transitions.
- **Bridge Vertical Clearance** is the minimum height between the roadway including shoulder and an overhead obstruction.
- **Bridge Structural Capacity** is the load bearing ability of a structure.
- **Terminals** are crashworthy end treatment for longitudinal barriers that is designed to reduce the potential for spearing, vaulting, rolling, or excessive deceleration of impacting vehicles from either direction of travel. Impact attenuators are considered terminals and beam guardrail terminals include anchorage.
- **Transitions** are sections of barriers used to produce a gradual stiffening of a flexible or semi-rigid barrier as it connects to a more rigid barrier or fixed objects.

.42 Project Type Definitions

- **New Construction** involves the construction of a new roadway facility or structure where nothing of its type currently exists.
- **Reconstruction projects** may add additional travel lanes to an existing roadway or bridge and if 50 percent or more of the project length involves vertical or horizontal alignment changes, the project will be considered reconstruction.

- **3R projects** focus primarily on the preservation and extending of the service life of existing facilities and on safety enhancements. Work may include: resurfacing, pavement structural and joint repair, lane and shoulder widening, alterations to vertical grades and horizontal curves, bridge repair, removal or protection of roadside obstacles, and improving bridges to meet current standards for structural loading and to accommodate the approach roadway width.
- **2R projects** focus primarily on restoration of pavement structure, crown correction, ride quality basic safety, and spot safety. Widening shoulders for continuity with the existing roadway cross section is acceptable.
- **Railroad** is a project to reduce the accident frequency and severity at grade crossings. Project elements may include, signals, bells, signage, pavement markings gates or surfacing at the crossing. Railroad-highway grade separation projects are also in this category. If the project includes other roadway work, use 3R matrix line.
- **Bridge New/Replacement** is a new bridge or a replacement of an existing bridge.
- **Bridge Widening** is the widening of existing bridges.
- **Bridge-Other** are Project types that may include, scour mitigation, painting, seismic retrofit, deck repair, strengthening, rehabilitation, and electrical mechanical repairs.
- **Paths and/or Trails** is the construction of non-motorized facilities that are independent of a roadway alignment.
- **Pedestrian Facilities** are projects with a main focus of providing pedestrian facilities for public use.
- **Other, Interpretive Centers, Etc.** projects may include, bicycle facilities, structures, bus shelters, archeology and historic preservation, and buildings.
- **Parking Facilities** are projects that construct parking facilities. Project types may include Park and Ride facilities and on-street parking.

.43 Other Definitions

- **Average Daily Traffic (ADT)** – The general unit of measure for traffic defined as the total volume during a given time period (in whole days), greater than one day and less than one year, divided by the number of days in that time period.
- **Design Hourly Volume (DHV)** – The DHV is generally the 30th highest hourly volume (30 DHV) of the future year chosen for design. On the average rural road or arterial, DHV is about 15 percent of ADT. For urban areas, DHV is usually between 8 to 12 percent of the ADT.
- **Low Volume Roads and Streets** – For this document, a collector or lower classified road or street with an ADT of less than 400.
- **Resurfacing** – The addition of a layer or layers of paving material to provide additional structural integrity or improved serviceability and rideability.

- **Restoration** – Work performed on either pavement sections or bridge decks to render them suitable for an additional stage of construction. This may include supplementing the existing roadway by increasing surfacing and paving courses to provide structural capability and minor shoulder widening to provide roadway section continuity. Restoration will generally be performed within the existing right of way.
- **Rehabilitation** – Similar to "Restoration" except the work may include, but is not limited to, the following:
  - Reworking, strengthening, or removing and replacing the base and/or subgrade.
  - Recycling or reworking existing materials to improve their structural integrity.
  - Adding underdrains.
  - Replacing or restoring malfunctioning joints.
  - Substantial pavement under-sealing when essential for stabilization.
  - Pavement grinding to restore smoothness, providing adequate structural thickness remains.
  - Removing and replacing deteriorated materials.
  - Crack and joint sealing but only when the required shape factor is established by routing or sawing.
  - Improving or widening shoulders.

  Rehabilitation may require acquisitions of additional right of way.
- **Traveled Lane** – The portion of the roadway intended for the movement of vehicles, exclusive of shoulders and lanes for parking, turning, and storage for turning.

.044 Safety Improvements – When using AASHTO guidance for clear zone determinations, the designer should take into account all AASHTO guidance (i.e., AASHTO Roadside Design Guide) relating to clear zone and project circumstances. See references section of this chapter.

Mandatory Upgrades

1. Update all delineation and signing in accordance with the current MUTCD. (This does not include replacement of sign bridges or cantilever supports.)
2. Modify substandard guardrail transitions and terminals to current standards.

Agency Evaluate Need

3. Adjust existing features that are affected by resurfacing, such as guardrails, monuments, catch basins, and access covers. Adjustment may include asphalt tapers as appropriate.
4. Modification of drainage structures, which present a hazard in the clear zone, e.g., beveled end sections/safety bars for both parallel and cross-drains.

5. Remove, relocate, reduce severity of hazard by providing crashworthy features, protect, or delineate roadside obstacles inside the design clear zone.
6. Restore sight distance at public road intersections and the inside of curves through low cost measures if they are available such as removal or relocation of signs and other obstructions, and cutting of vegetative matter. The local agency Engineer will determine if the measures are low cost.

⇩ Project Type	Roadways														
Design Elements ⇨	Horiz. Align.	Vert. Align.	Lane Width	Shldr Width	Lane & Shldr Taper	Pedestrian Facilities	Cross Slope Lane	Cross Slope Shldr	Fill/ Ditch Slopes	Safety Improvements	Shared Bike/Ped Facilities	Turn Radii	I/S Sight Dist	I/S Angle	Guardrail & Barrier
New Construction	D	D	D	D	D	1	D	D	D	A	1	A	D	A	A
Re-Construction	A	A	A	A	A	1	A	A	A	A	1	A	A	A	A
3R	AE	AE	AE	AE	AE	1	AE	AE	AE	4	1	AE	AE	AE	1
2R							AE	AE		4	1				1
Railroad (If roadway work included use 3R line)										AE	1		AE		1
Bridge Rehabilitation, Paint, Seismic, etc.															
Trails	3	3	3	3			3	3	3	3	1	3		3	
Pedestrian Facility Improvement Projects						1					1				
Other, Interpretive Centers, etc.	2	2	2	2	2	1	2	2	2	A	1	2	2	2	2
Parking Facilities	A	A	A	A	A	1	A	A	A	A	1	A	A	A	1

□ Blank Cell

D Design Level D

A Design Level A

AE Agency Evaluate to Design Level A

(1) When provided, must meet current standards.

(2) When provided must meet WSDOT *Design Manual*.

(3) Refer to Safety Improvements on page 8. Mandatory Upgrade items 1 and 2, all others are AE.

Local Agency Design Matrix

Table 1.1

⇩ Project Type	Cross Roads						
Design Elements ⇨	Horiz. Align	Vert. Align	Lane Width	Shldr Width	Fill/Ditch Slopes	Safety Improve-ments	Shared Bike/Ped Facilities
New Construction	AE	AE	AE	AE	AE	4	1
Re-Construction	AE	AE	AE	AE	AE	4	1
3R	AE	AE	AE	AE	AE	4	1
2R							1
Railroad (If roadway work included use 3R line)							
Bridge Rehabilitation, Paint, Seismic, etc.							
Trails							
Pedestrian Facility Improvement Projects							
Other, Interpretive Centers, etc.	2	2	2	2	2	2	1
Parking Facilities	A	A	A	A	A	3	1

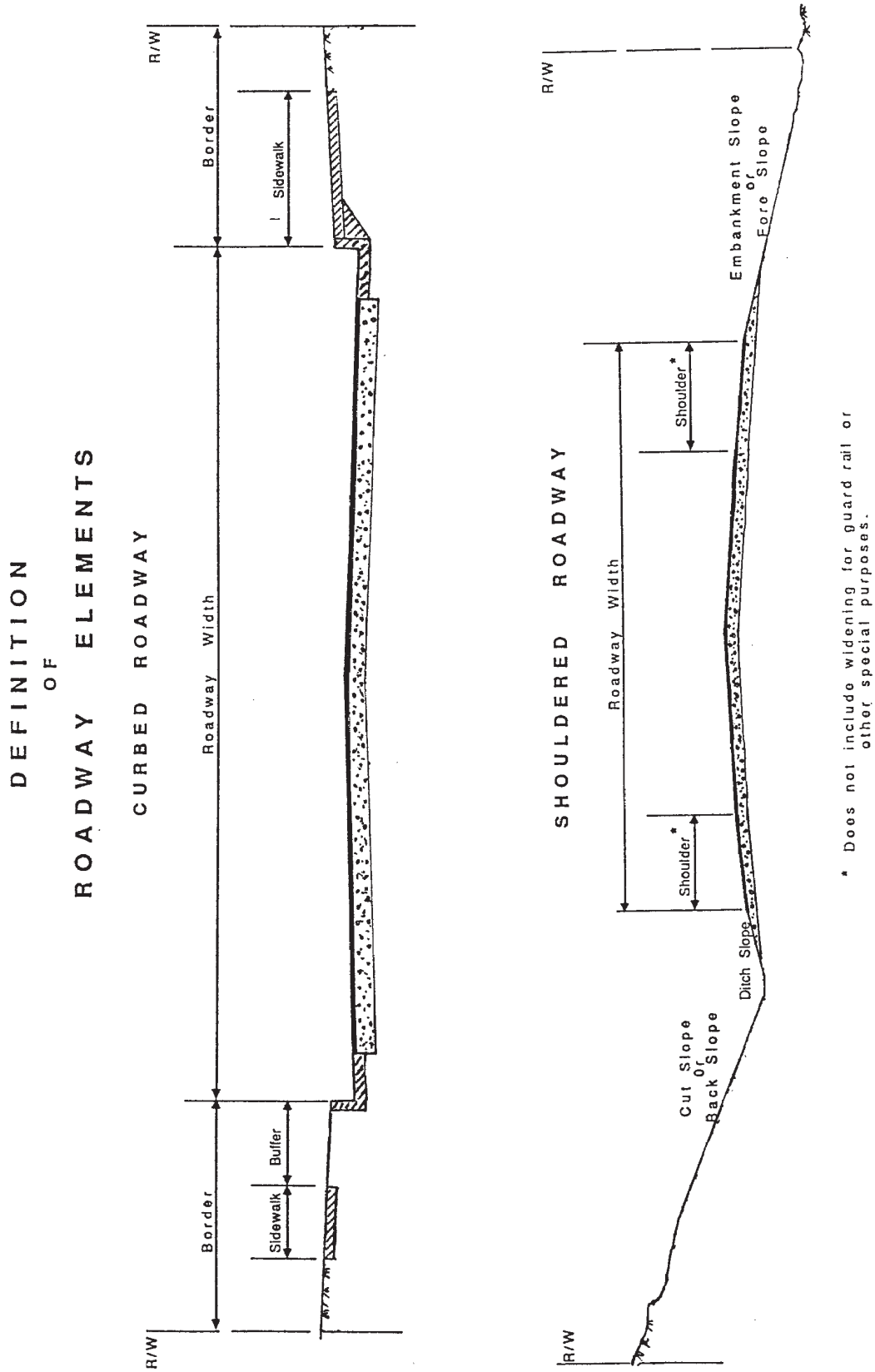
Blank Cell
D Design Level D
A Design Level A
AE Agency Evaluate to Design Level A

(1) When provided, must meet current standards.
(2) When provided must meet WSDOT *Design Manual* standards.
(3) Refer to Safety Improvements on page 8. Mandatory Upgrade items 1 and 2, all others are AE.

Local Agency Design Matrix
Table 1.2

⇩ Project Type	Bridges				
Design Elements ⇨	Lane Width	Shldr Width	Vertical Clearance	Structural Capacity	Bridge Rail
New Construction	D	D	D	D	D
Re-Construction	A	A	D	D	D
3R	AE	AE	AE	AE	1
2R			AE	AE	1
Railroad (If roadway work included use 3R line)					1
Bridge Rehabilitation, Paint, Seismic, etc.					
Trails	3	3	3	3	3
Pedestrian Facility Improvement Projects					
Other, Interpretive Centers, etc.	2	2	2	2	2
Parking Facilities	A	A	AE	AE	1

Local Agency Design Matrix
Table 1.3



Cross Section

42.5 Design Level D Standards for Two Way Roads and Streets

Design Standards	Arterial							Collector				
	Principal			Minor								
	Curbed(4)	Shouldered		Curbed(4)	Shouldered			Curbed(4)	Shouldered			
	DHV All	DHV Below 200	DHV 200 and Over	DHV All	DHV Below 100	DHV 100 to 200	DHV 201 and Over	DHV 400 and Over	ADT 400 to 750	ADT 751 to 1000	DHV 100 to 200	DHV 201 and Over
Right of Way	Not less than required for all design elements.											
Roadway Width(1)(2)(7)(9)	24ft	36ft	40ft	24ft	32ft	36ft	40ft	24ft	26ft	28ft	34ft	40ft
Lane width:												
(A) Exterior(2)(7)	12ft	12ft	12ft	12ft	12ft	12ft	12ft	12ft	10ft	10ft	11ft	12ft
(B) Interior Thru(2)	11ft	11ft	11ft	11ft	11ft	11ft	11ft	11ft	10ft	10ft	11ft	11ft
(C) Two Way Left Turn(2)	11ft	11ft	11ft	11ft	11ft	11ft	11ft	11ft	10ft	10ft	11ft	11ft
(D) Exclusive Turn(2)	11ft	11ft	11ft	11ft	11ft	11ft	11ft	11ft	10ft	10ft	11ft	11ft
(E) Parking(2)	10ft(3)			10ft(3)					(5)			
Shoulder Width(6)(7)(9)(2)		6ft	8ft		4ft	6ft	8ft		3ft	4ft	6ft	8ft
Clear Zone/Side Slopes	AASHTO(10)											
Ditch Slope (in slope)	Slopes steeper than 4:1 should only be used when achieving a 4:1 slope is impractical.											

(1) For curbed, distance from face of curb to face of curb. For shouldered, distance from paved edge to paved edge of shoulder.
(2) May be reduced to minimum allowed by AASHTO.
(3) 8 feet may be acceptable when the lane is not likely to become a traffic lane in the foreseeable future.
(4) Curbed section is appropriate for urban setting.
(5) Industrial areas 8 feet to 10 feet. Residential areas 7 feet to 10 feet.
(6) When guardrail is necessary, provide 2 feet of widening or longer posts to ensure lateral support.
(7) For roads with traffic volumes of less than 400 ADT, the low volume road and street standards may be used.
(8) Federal functional classification defined by WSDOT.
(9) For guidance for one-way streets, see AASHTO, and the current uniform fire code.
(10) When using AASHTO guidance for clear zone determinations, the designer should take into account all AASHTO materials relating to clear zone and project circumstances. See the reference section of this publication.
Note: Design Hourly Volume (DHV). The DHV is generally the 30th highest hourly volume (30 DHV) of the future year chosen for design. On the average rural road or arterial, DHV is about 15 percent of ADT. For urban areas, DHV is usually between 8 to 12 percent of the ADT or AADT.

Detectable Warnings (Truncated Domes)	For dimensions, see WSDOT *Standard Plans*, F40 series. For material contrast requirements, see proposed ADA guidance from the U.S. Access Board at www.access-board.gov/ada-aba.htm U.S. Access Board at www.access-board.gov/prowac/draft.htm
New Sidewalks (when provided)	• **Minimum Width** — 60 inches continuous clear width or 36 inches clear width with 60 inch by 60 inch clear passing spaces at 200-foot minimum intervals. • **Surface** — Firm, stable, and slip resistant. • **Crosslopes** — 1:50 (2 percent) maximum. • **Running Slope** — When adjacent to road, must be consistant with the slope established by the roadway. If separate from the roadway must conform to ADA guidance. • **Buffer** — Separation from vehicular ways by curbs or other barriers.

42.6 Roadway Geometrics

The AASHTO publication *A Policy on Geometric Design of Highways and Streets* (Green Book) is the design standard accepted by FHWA for project funding. The designer should read all text associated with the standards and should also consider related tables and text. Additionally, design references are provided in the References for New Construction and Reconstruction, 3R, and 2R Standards and in Tables 1.1, 1.2, and 1.3 of this chapter.

.61 Bridge Standards

Design Elements	References
Bridge Width	The minimum bridge width for two-way structures is the greater of: (1) the design roadway width, or (2) the existing roadway width.
Loading	HL 93 (for federally funded projects), others may use HS 20-44.
Vehicular Railing	AASHTO Crash Tested Rail, or Approved NCHRP 350 Crash Tested Rail.
Pedestrian Railing	AASHTO, NCHRP 350.
Approach Railing	AASHTO Crash Tested Rail, or Approved NCHRP 350 Crash Tested Rail.
Vertical Clearance	16.5 feet minimum.

.62 Other Standards

Design Elements	References
Bicycle	AASHTO Guide for the Development of Bicycle Facilities (RCW 35.75.060 and 36.82.145) and/or standards submitted by the local agency which have been approved by Highways and Local Programs.
Signing	MUTCD, as modified by the Washington State Transportation Commission per RCW 47.36.030.
Americans with Disabilities Act – 1990 ADA	Code of Federal Regulations 28 CFR Part 36, Interim Final Rules U.S. Department of Justice. The Architectural and Transportation Barriers Compliance Board WSDOT/ Standard F40 Series Current International Building Code, and Washington State Amendments.
Sidewalks	AASHTO Guide for Planning, Design, and Operation of Pedestrian Facilities
Low Volume Roads	2001 AASHTO Geometric Design of Very Low Volume Local Roads (ADT < 400)

42.7 3R Projects

.71 General Discussion – Funding restrictions and other considerations do not always allow improvement of all existing roads and streets to the standards desirable for new construction. Therefore, when pavement condition deteriorates to the level of minimal standards, a cost-effective pavement improvement is needed.

A project becomes 3R when the proposed improvement consists of resurfacing, restoration, or rehabilitation to preserve and extend the service life of the roadway, or enhances the safety of the traveling, bicycling, and/or walking public.

3R projects primarily involve work on an existing roadway surface and/or subsurface. Their purpose includes extending the service life, providing additional pavement strength, restoring or improving the original cross-section, increasing skid resistance, decreasing noise, improving the ride of the roadway, and enhancing safety.

Many factors influence the scope of 3R projects, including:

- Roadside conditions.
- Funding constraints.
- Environmental concerns.
- Changing traffic and land use patterns.
- Deterioration rate of surfacing.
- Accidents or accident rates.

Normally, all 3R improvements are made within the existing right of way, although acquiring right of way and/or easements should be considered when and where practical.

Each 3R project should be considered in context with the entire route between logical termini and within the constraints imposed by limited funding and other considerations.

As a minimum, normally include the following for a 3R project:

- Guardrail end treatments upgraded to current standards.
- Appropriate transition and connection of approach rail to bridge rail.
- Beveled end sections for both parallel and cross-drain structures located in the clear zone.
- Relocating, protecting, or providing breakaway features for sign supports and luminaires.
- Protection for exposed bridge piers and all abutments.
- Modification of raised drop inlets that present a hazard in the clear zone.

It is desirable to provide a roadside clear of fixed objects and nontraversable obstacles. The priority for action relative to roadside obstacles is: (1) remove, (2) redesign, (3) relocate, (4) reduce severity by crashworthy features, (5) protect, or (6) delineate.

On all projects, which include structures with deficient safety features, consideration must be given to correcting the deficient features. When complete upgrading is not practical, a partial or selective upgrading and/or other improvements should be considered to mitigate the effects of the substandard elements.

42.8 2R Projects

.81 General Discussion – Funding restrictions do not always allow improvement of existing roadways to the standards desired. Therefore, when pavement condition reaches a minimal condition, cost effective pavement improvements are needed.

Resurfacing and restoration (2R) projects involve work to restore the existing roadway surface and appurtenances for safe and efficient highway operation. This type of project provides for resurfacing of the existing roadway to provide structural adequacy, to restore the roadway surface condition, and to consider making minor safety improvements.

Resurfacing of the roadway will normally be to the existing width. This should consider paving of previously unpaved shoulders. If short lengths of narrower lanes or shoulders exist within the project limits, widening should be considered to provide roadway section continuity within the project limits.

42.9 References

The designer must use the standards and rationales incorporated into the following manuals (see the following page for addresses to acquire reference materials).

AASHTO

- *A Policy on Geometric Design of Highways and Streets*, 2004 Edition
- *Guide for Design of Pavement Structures*
- *Highway Drainage Guidelines*
- *Guide for Roadway Lighting*
- *Roadside Design Guide*
- *Geometric Design of Very Low Volume Local Roads* (ADT<400)
- AASHTO *Guide for the Development of Bicycle Facilities*

Transportation Research Board (TRB)

- *Highway Capacity Manual*

Washington State Department of Transportation (WSDOT)

- *Standard Specifications for Road, Bridge, and Municipal Construction* M 41-10
- Supplement to MUTCD (WAC 468-95)
- *Bridge Design Manual* M 23-50
- *Highway Hydraulics Manual*

- *Standard Plans for Road, Bridge, and Municipal Construction* M 21-01
- *Design Manual* M 22-01 (except for 2R/3R)
- *Pavement Design Manual*
- *A Guide for Local Agency Sidewalk Details*, WSDOT Headquarters Highways and Local Programs, Washington State Technology Transfer Center

Institute of Transportation Engineers (ITE)

- *Traffic Engineering Handbook*

FHWA

- *Manual of Uniform Traffic Control Devices* (MUTCD)
- 49 CFR Part 27 and Designing Sidewalks and Trails for Access, Part II

ADA

- 28 CFR Part 35, 28 CFR Part 36, Appendix A, and the Access Board's Proposed Public Right of Way Guidelines
- Public Rights of Way Access Advisory Committee (PROWAAC) http://ite.org/accessible/prowaac/prowaac/_specialreport.pdf
- Local Agency ADA Planning and Design Resource www.wsdot.wa.gov/ta/operations/localplanning/ada.html

Roundabouts

- NCHRP Synthesis 264 – Modern Roundabout Practice in the United States, Transportation Research Board
- FHWA – Roundabouts, An Informational Guide
- WSDOT *Design Manual* M 22-01

Traffic Calming

- *A Guidebook for Residential Traffic Management*, Final Report, December 1994, WSDOT Highways and Local Programs Division, Washington State Technology Transfer Center.

.91 Websites and Addresses to Acquire Reference Materials

AASHTO
AASHTO Bookstore
https://bookstore.transportation.org/item_details.aspx?id=104

TRB
Transportation Research Board National Research Council
500 5th Street NW
Washington, DC 20418
www.trb.org/highways1/public/highways.aspx

WSDOT
Publications Services
PO Box 47304
Olympia, WA 98504-7304
360-705-7430
www.wsdot.wa.gov/publications/manuals/

ITE
Institute of Transportation Engineers
1627 Eye Street NW, Suite 600
Washington, DC 20006
202-785-0060
202-785-0609 (fax)
http://ite.org/

MUTCD
http://mutcd.fhwa.dot.gov/ser-pubs.htm

ADA
Office of the General Counsel Architectural and Transportation Barriers Compliance Board
1331 F Street NW, Suite 1000
Washington, DC 20004-1111
www.access.board.gov/

42.10 Appendices

42.101 Local Agency Design Matrix Checklists

Design Element	Design Level	Any work on Blank Cell Design Element? If "No" move down to next Design Element	If "Yes"	Meets Standard? If "Yes" move down to next Design Element	If "No"	Upgraded to Standard? If "Yes" move down to next Design Element	If "No"	Is a Deviation or Design Exception Required? If "No" Document to File	If "Yes"	HQ H&LP Deviation Approval Date	Local Agency Design Exception Approval Date
Roadways											
Horizontal Alignment		☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Vertical Alignment		☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Lane Width		☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Shoulder Width		☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Lane & Shoulder Taper		☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Ped. Facility		☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		
Cross Slope Lane	AE	→	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Cross Slope Shoulder	AE	→	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Fill/Ditch Slopes		☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Safety Improvements	4	→	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		
Shared Bike/Ped	3	→	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Turn Radii		☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Sight Distance		☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
I/S Angle		☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Std Run	1	→	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Design Element	**Design Level**	**Any work on Blank Cell Design Element?** If "No" move down to next Design Element	**If "Yes"**	**Meets Standard? If "Yes" move down to next Design Element**	**If "No"**	**Upgraded to Standard?** If "Yes" move down to next Design Element	**If "No"**	**Is a Deviation or Design Exception Required?** If "No" Document to File	**If "Yes"**	**HQ H&LP Deviation Approval Date**	**Local Agency Design Exception Approval Date**

2R Project Checklist
Page 1 of 2

Cross Roads												
Horizontal Alignment		☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Vertical Alignment		☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Lane Width		☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Shoulder Width		☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Fill/Ditch Slopes		☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Safety Improvements		☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		
Shared Bike/Ped Facility	3	→	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Bridges												
Lane Width		☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Shoulder Width		☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Vertical Clearance	AE	→	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Structural Capacity	AE	→	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Bridge Rail	1	→	→	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A

Design Levels

☐ Blank Cell
D Design Level D
A Design Level A
AE Agency Evaluate to Design Level A

(1) When provided, must meet current standards.
(2) When provided must meet WSDOT *Design Manual.*
(3) Items 1 and 2 under Safety Improvements Definitions are required, all others are AE.

2R Project Checklist
Page 2 of 2

Design Element	Design Level	Meets AASHTO? If "Yes" move down to next Design Element	If "No"	Upgraded to AASHTO? If "Yes" move down to next Design Element	If "No"	Is a Deviation or Design Exception Required? If "No" Document to File	If "Yes"	HQ H&LP Deviation Approval Date	Local Agency Design Exception Approval Date
Roadways									
Horizontal Alignment	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Vertical Alignment	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Lane Width	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Shoulder Width	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Lane & Shoulder Taper	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Ped. Facility	1	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Cross Slope Lane	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Cross Slope Shoulder	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Fill/Ditch Slopes	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Safety Improvements	4	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Shared Bike/Ped.	3	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Turn Radii	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Sight Distance	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
I/S Angle	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Std Run	1	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A

3R Project Checklist
Page 1 of 2

Design Element	Design Level	Meets AASHTO? If "Yes" move down to next Design Element	If "No"	Upgraded to AASHTO? If "Yes" move down to next Design Element	If "No"	Is a Deviation or Design Exception Required? If "No" Document to File	If "Yes"	HQ H&LP Deviation Approval Date	Local Agency Design Exception Approval Date
Cross Roads									
Horizontal Alignment	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Vertical Alignment	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Lane Width	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Shoulder Width	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Fill/Ditch Slopes	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Safety Improvements	4	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Shared Bike/Ped. Facility	3	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Bridges									
Lane Width	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Shoulder Width	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Vertical Clearance	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Structural Capacity	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Bridge Rail	1	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A

Design Levels*

☐ Blank Cell
D Design Level D
A Design Level A
AE Agency Evaluate to Design Level A
See Matrix Definitions for requirements

(1) When provided, must meet current standards.
(2) When provided must meet WSDOT *Design Manual.*
(3) Items 1 and 2 under Safety Improvements Definitions are required, all others are AE.

3R Project Checklist
Page 2 of 2

Design Element	Design Level	**Meets AASHTO?** If "Yes" move down to next Design Element	If "NO"	**Upgraded to AASHTO?** If Yes" move down to next Design Element	If "NO"	**Is a Deviation or Design Exception Required?** If "NO" Document to File	If "Yes"	HQ H&LP Deviation Approval Date	Local Agency Design Exception Approval Date
Roadways									
Horizontal Alignment	A	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Vertical Alignment	A	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Lane Width	A	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Shoulder Width	A	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Lane & Shoulder Taper	A	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Ped. Facilities	1	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Cross Slope Lane	A	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Cross Slope Shoulder	A	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Fill/Ditch Slopes	A	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Safety Improvements	A	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Bike & Ped	3	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Turn Radii	A	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Sight Distance	A	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
I/S Angle	A	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Std Run	A	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A

Local Agency Guidelines Design Matrix Reconstruction Project Checklist
Page 1 of 2

Design Element	Design Level	**Meets AASHTO?** If "Yes" move down to next Design Element	If "NO"	**Upgraded to AASHTO?** If Yes" move down to next Design Element	If "NO"	**Is a Deviation or Design Exception Required?** If "NO" Document to File	If "Yes"	HQ H&LP Deviation Approval Date	Local Agency Design Exception Approval Date
Cross Roads									
Horizontal Alignment	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Vertical Alignment	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Lane Width	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Shoulder Width	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Fill/Ditch Slopes	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Safety Improvements	AE	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes ☐No	→		
Shared Bike/Ped. Facilities	3	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Bridges									
Lane Width	A	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Shoulder Width	A	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Vertical Clearance	D	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Structural Capacity	D	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A
Bridge Rail	D	☐Yes ☐No	→	☐Yes ☐No	→	☐Yes	→		N/A

Design Levels*

☐ Blank Cell
D Design Level D
A Design Level A
AE Agency Evaluate to Design Level A

(1) When provided, must meet current standards.
(2) When provided must meet WSDOT *Design Manual.*
(3) Items 1 and 2 under Safety Improvements Definitions are required, all others are AE.

Local Agency Guidelines Design Matrix Reconstruction Project Checklist
Page 2 of 2

Design Element	Design Level	**Meets AASHTO?** If "Yes" move down to next Design Element	If "NO"			**Is a Deviation or Design Exception Required?** If "NO" Document to File	If "Yes"	HQ H&LP Deviation Approval Date	Local Agency Design Exception Approval Date
Roadways									
Horizontal Alignment	D	☐Yes ☐No	→	→	→	☐Yes	→		N/A
Vertical Alignment	D	☐Yes ☐No	→	→	→	☐Yes	→		N/A
Lane Width	D	☐Yes ☐No	→	→	→	☐Yes	→		N/A
Shoulder Width	D	☐Yes ☐No	→	→	→	☐Yes	→		N/A
Lane & Shoulder Taper	D	☐Yes ☐No	→	→	→	☐Yes	→		N/A
Ped. Facilities	1	☐Yes ☐No	→	→	→	☐Yes	→		N/A
Cross Slope Lane	D	☐Yes ☐No	→	→	→	☐Yes	→		N/A
Cross Slope Shoulder	D	☐Yes ☐No	→	→	→	☐Yes	→		N/A
Fill/Ditch Slopes	D	☐Yes ☐No	→	→	→	☐Yes	→		N/A
Safety Improvements	A	☐Yes ☐No	→	→	→	☐Yes	→		N/A
Shared Bike/Ped. Facilities	3	☐Yes ☐No	→	→	→	☐Yes	→		N/A
Turn Radii	A	☐Yes ☐No	→	→	→	☐Yes	→		N/A
Sight Distance	D	☐Yes ☐No	→	→	→	☐Yes	→		N/A
I/S Angle	A	☐Yes ☐No	→	→	→	☐Yes	→		N/A
Std Run	A	☐Yes ☐No	→	→	→	☐Yes	→		N/A

Local Agency Guidelines Design Matrix New Construction Project Checklist
Page 1 of 2

Design Element	Design Level	**Meets AASHTO?** If "Yes" move down to next Design Element	If "NO"			**Is a Deviation or Design Exception Required?** If "NO" Document to File	If "Yes"	HQ H&LP Deviation Approval Date	Local Agency Design Exception Approval Date
Cross Roads									
Horizontal Alignment	AE	☐Yes ☐No	→	→	→	☐Yes ☐No	→		
Vertical Alignment	AE	☐Yes ☐No	→	→	→	☐Yes ☐No	→→		
Lane Width	AE	☐Yes ☐No	→	→	→	☐Yes ☐No	→		
Shoulder Width	AE	☐Yes ☐No	→	→	→	☐Yes ☐No	→		
Fill/Ditch Slopes	AE	☐Yes ☐No	→	→	→	☐Yes ☐No	→		
Safety Improvements	AE	☐Yes ☐No	→	→	→	☐Yes ☐No	→		
Shared Bike/Ped. Facilities	3	☐Yes ☐No	→	→	→	☐Yes	→		N/A
Bridges									
Lane Width	D	☐Yes ☐No	→	→	→	☐Yes	→		N/A
Shoulder Width	D	☐Yes ☐No	→	→	→	☐Yes	→		N/A
Vertical Clearance	D	☐Yes ☐No	→	→	→	☐Yes	→		N/A
Structural Capacity	D	☐Yes ☐No	→	→	→	☐Yes	→		N/A
Bridge Rail	D	☐Yes ☐No	→	→	→	☐Yes	→		N/A

Design Levels*

☐ Blank Cell
D Design Level D
A Design Level A
AE Agency Evaluate to Design Level A
See Matrix Definitions for requirements

(1) When provided, must meet current standards.
(2) When provided must meet WSDOT *Design Manual.*
(3) Items 1 and 2 under Safety Improvements Definitions are required, all others are AE.

Local Agency Guidelines Design Matrix New Construction Project Checklist
Page 2 of 2

43.1 General Discussion

On all Federal Highway Administration (FHWA) funded transportation projects, local agencies must document design approval prior to preparation of plans, specifications, and estimates (PS&E).

A project design shall not be approved until the project's environmental documentation (NEPA) has been approved and its public hearing requirements have been met.

Value Engineering Studies (VEs) are required for all projects on the NHS receiving $50 million or more and for all bridges $40 million or more. Any project that approaches this cost limit on the preliminary estimate should also have a VE study performed in anticipation of cost increases from preliminary design to the final Plans, Specification and Estimate stage of a project. Refer to Section 43.4 for more information on Value Engineering. A VE study is not required for a Design-Build project.

When there is a subsequent change to the project design or scope, an amended location-design approval is required.

43.2 Requirements for Design Approval

All items on the appropriate design matrix are required to be addressed (see Chapter 42, Table 1.1, 1.2, and 1.3 and Appendix 42.101. In addition, items listed below are also required to be addressed (some of these are included in the Project Prospectus).

.21 Traffic Data – Design-year ADT, the average daily traffic forecast during the design year should be included. The design year for new and reconstruction projects is 20 years from the projected start of construction. All other projects may be any point within 8 to 20 years from the projected start of construction.

.22 Pavement Design Criteria – Rationale for selection of the pavement type and depth of surfacing.

.23 Cost Estimate – An updated cost estimate should be prepared. Include VE study when applicable.

.24 Environmental Document (NEPA) – Documentation, including approval.

The project design must be approved by the approving authority as outlined on the agency's Certification Acceptance Agreement or the acting designated authority for a Non-Certification Acceptance agency. For an example, see Appendix 43.62.

43.3 Bridge Design Approval

.31 Policy

a. The bridge site data should be prepared in conjunction with the Design. Extensive structural studies and the preparation of the bridge preliminary plans during the Design Report phase are not recommended. Expected changes to the roadway geometrics, project staging, construction costs, and other conceptual data will affect the structure and, therefore, impact the structural design effort.

b. For bridge projects that do not fall under categories described in c. or d. below, the local agency is the approving authority for the design.

c. Bridge projects that are required to perform a Type, Size, and Location (TS&L) as the first order of work after being selected, must receive approval from H&LP prior to completion of the design stage. (The FHWA regulatory requirements for large or unusual bridges contained in the Federal Aid Policy Guide (FAPG) also apply to large or unusual structures, tunnels, or hydraulic facilities. The definitions and requirements for major or unusual bridges will be addressed below; for other cases, refer to the FAPG.)

d. For bridge projects on, over, or under state routes WSDOT concurrence with the design of the bridge is required.

.32 Definitions – A "major bridge" is a bridge estimated to cost more than $40 million. This criterion applies to individual units of separated dual bridges. An "unusual bridge" is a bridge involving difficult or unusual foundation problems, new or complex designs with unusual structures or operational features, or a bridge for which the design standards or criteria might be questionable.

.33 Submittal of Data – Refer to Section 34.5.

H&LP approval of TS&L is required for major or unusual bridges before the local agency may approve the design and before the local agency may begin preparing the final PS&E.

43.4 Value Engineering

Value Engineering Studies (VEs) are required for all projects $50 million or more and for all bridges $40 million or more. Any project that approaches this cost limit on the preliminary estimate should also have a VE study performed in anticipation of cost increases from preliminary design to the final Plans, Specifications and Estimate stage of a project.

.41 Definition – Value Engineering (VE) is the systematic application of recognized techniques by multidiscipline team(s). These techniques are:

- Identify a product's function or service.
- Establish a function's monetary value or worth.
- Provide alternate ways, using creative techniques, to reliably accomplish necessary functions in the most effective and efficient manner.

Chapter 44 Plans, Specifications, and Estimates

44.1 General Discussion

After a project's location and design have been approved, work begins on the final version of the plans, specifications, and cost estimates (PS&E). These documents are used to award and administer a construction contract. The PS&E must be approved as defined in Chapter 13, Becoming Certified to Administer FHWA Projects, before the project can be advertised for construction.

PS&E approval is done by the local agency as identified in the Washington State Department of Transportation (WSDOT)/Local Agency Certification Acceptance (CA) Agreement. The approving authority identified on the CA Agreement must approve the plans and specifications, and a professional engineer licensed in the state of Washington must seal and date the plans and specifications.

The local agency should use the Project Development Checklist (Appendix 14.52) to check for completeness of the contract plans prior to approving them.

The local agency should have a commitment file, when applicable, containing a summary of commitments made during project development. The file should be reviewed to ensure that the commitments are incorporated in the PS&E. These commitments typically involve right of way or environmental considerations (see Appendix 24.72 for list of possible required permits).

A copy of the bid documents shall be furnished to the Region Local Programs Engineer prior to advertisement.

Any local agency project with work on, over or below state routes requires design and traffic documentation approval and PS&E concurrence from WSDOT prior to advertisement.

On WSDOT ad-and-award projects, WSDOT will review and concur with the PS&E prior to printing contract plans and specifications. An estimate of the cost of this service can be obtained from the Region Local Programs Engineer. Refer to forms for a checklist.

44.2 PS&E Requirements

.21 Wage Rates – For information on state law requirements, contact the Municipal Research and Services Center for a listing of current laws. State and federal wage rates must be included for all Federal Highway Administration (FHWA) projects advertised by a local agency. The wage rates used will reflect the latest rates approved by the Washington State Department of Labor and Industries (L&I) and the U.S. Department of Labor. Refer to CFR 29 part 30 and RCW 39.12 and RCW 49.28.

The Federal Davis-Bacon Act predetermined minimum wage must be paid to all covered workers on federal aid projects exceeding $2,000 that are located on a route which is classified as a federal aid highway (Principal Arterial, Minor Arterial

or Collector). The Davis-Bacon requirements do not apply to force account work performed by agency forces.

The applicability of Davis-Bacon to an Enhancement, Scenic Byways, or Safe Routes to School project is dependent on the relationship or linkage of the project to a federal aid highway. If the project is "linked" to a federal aid highway based on proximity or impact (i.e., without the federal aid highway the project would not exist), then Davis-Bacon requirements apply. Examples of such projects include the removal of outdoor advertising, a wetland to filter highway drainage, etc. Please contact your Region Local Programs Engineer to determine if Davis Bacon prevailing wage rates apply.

If the project is on a route classified as a rural minor collector or local access then the Davis-Bacon requirements do not apply.

Another Davis-Bacon issue is the acceptability of using volunteer labor on transportation projects. The US Department of Labor states in its Field Operations Handbook (Section 15): "There are no exceptions to Davis-Bacon coverage for volunteer labor unless an exception is specifically provided for in the particular Davis-Bacon Related Act under which the project funds are derived." The Davis-Bacon Related Act for the Federal Aid Highway Program

(23 U.S.C. Section 113) is silent on this subject. Therefore, on projects subject to Davis-Bacon coverage, a contractor or subcontractor may not use volunteer labor. On the other hand, a state highway or local government agency may use volunteer labor under <u>its</u> direct control as a force account effort.

Local agencies may access the Wage Rate data file at www.wsdot.wa.gov/eesc/design/projectdev/adready/combinedwage.htm. If a local agency is not "on line," wage rates can be requested through the Region Local Programs Engineer.

The effective date for state and federal rates is determined as follows:

a. **State Wage Rates** – L&I will use the date that bids are due as the effective date for determining prevailing wages provided that the contract is awarded within 60 days after bids are due (RCW 39.12). If the contract is not awarded within 60 days after bids are due, L&I will determine the prevailing wage on the date the contract is awarded.

b. **Federal Wage Rates** – This data is received from the USDOL in a document entitled "General Wage Determinations Issued Under the Davis-Bacon and Related Acts." Modifications are issued weekly by the USDOL. The effective date for federal wage rates is the date of notice in the Federal Register or the date on which written notice is received by WSDOT, whichever occurs first. All modifications on projects to which the determination applies are effective if published before contract award.

The following are exceptions:

- The effective date for determining state prevailing wage rates shall be the date of bid opening. For contracts awarded more than six months after the bid opening date, the effective date for determining the wage rates shall be the award date.

- The effective date for determining federal prevailing wage rates shall be ten days prior to bid opening (or less if the engineer determines an addenda can be issued prior to bid opening). For contracts awarded more than 90 days after the bid opening date, the effective date for determining the wage rates shall be the award date.

Prior to bid opening, the local agency may contact the Support Systems Engineer in the Plans Branch of WSDOT at 360-705-7455, to see if wage rates have changed or pending.

To minimize the possibility of out-of-date state and federal wage rates at the time of bid opening, the wage rates should be requested from the Region Local Programs Engineer seven days before the advertising date.

.22 Other Requirements

a. **Form FHWA-1273** – Each set of contract documents shall include Form FHWA-1273, Required Contract Provisions Federal-Aid Construction Contracts. Copies of FHWA-1273 are available from the Region Local Programs Engineer.

b. **Affirmative Action** – See Chapter 27, Equal Employment Opportunity and Training.

c. **Disadvantaged Business Enterprises (DBE)** – In accordance with FHWA and WSDOT efforts to increase DBE participation in FHWA projects, WSDOT has developed a management-by-objective goal-setting process for DBE participation. For additional information, see Chapter 26, Disadvantaged Business Enterprises.

d. **"Buy-America" Requirements** – Steel and iron that is permanently incorporated into the project shall consist of American-made materials, as outlined in the required GSP.

   The local agency must include a provision containing the "Buy-America" requirements in each contract. General Special Provisions similar to those now used by WSDOT can be used by the local agency. These general special provisions are included in the WSDOT Amendments and General Special Provisions publication.

   Purchase of foreign steel and iron products by local agencies for installation on a federally funded project is not allowed except to the limit allowed by the "Buy America" General Special Provision.

e. **Traffic Control Plans** – Traffic Control Plans (TCP) must be included in the contract documents. TCPs shall be consistent with Part 6 of the MUTCD, low volume roads, Part 5 and WSDOT Standard Plans, Series K. The Series K WSDOT Standard Plans must be referenced in the contract specifications if they are utilized as the project TCPs. Detour Plans and agreements shall be included in the contract documents to demonstrate constructability.

   Construction projects that impact bicycle and/or pedestrian traffic must include accommodation for all impacted modes of travel in the contract Traffic Control Plans.

f. **A "tied bid"** is a federal project and a non-federal project or two federal projects (otherwise separate contacts) that are advertised and bid together as a single contract. To bid the projects under a single contract, approval is required by Highways and Local Programs prior to being advertised.

g. **Sole Source Justification** – Justification for the use of agency-supplied materials must be documented by the local agency. The materials must have been produced by agency forces or acquired through competitive bidding. Material purchased from a sole source may be used only when preapproved by H&LP. To receive approval, submit a Public Interest Finding (PIF) for approval prior to use.

h. **Warranty/Guarantee** – No warranty requirement shall be approved which may place an undue obligation on the contractor for items or conditions over which the contractor has no control. Warranties/guarantees shall not be included in federal aid projects or the bonds except as follows:

   On NHS construction contracts a warranty can be included in the contract in accordance with the following: Warranty provisions shall be for a specific product or feature. Warranties for items of maintenance are not eligible for federal participation and will not be allowed. All warranty requirements and subsequent revisions shall be submitted to the WSDOT Region Local Programs Engineer and forwarded to Highways and Local Programs for advance approval.

   On non-NHS construction contracts a warranty can be included in the contract in accordance with the following: Project warranty/maintenance provisions may be included in a project if a nonparticipating bid item and special provision is included in the contract. All other warranty requirements other than product or feature, and subsequent revisions, shall be submitted to Region Local Programs Engineer for advance approval.

.23 Local Ad and Award Projects – See Chapter 46.

.24 State Ad and Award Projects – See Chapter 45.

44.3 Documents Requiring Professional Stamps

The following documents require a PE stamp upon completion. The Professional Engineer with responsible charge of the project will assure that appropriate engineering reports and documents are stamped in accordance with RCW 18.43.070. If a particular "Engineering Report or Document" is not listed, it is not necessarily exempt from the requirement.

The list includes:

- Design Documents
- Right of Way Plans
- Type, Size, and Location Report
- Plans, Specifications (with appropriate Division 1 approvals as outlined in Section 44.5), and Estimates, including all plan sheets.
- Special Provisions

- Temporary Erosion and Sediment Control Plan
- Plans for Falsework and Forms, normally the contractor's responsibility
- Bridge Design Report
- Bridge Load Ratings
- As Built Plans
- Technical Change Orders
- Value Engineering Study Report
- Standards Deviation Request
- Emergency Contracts that contain the equivalent of PS&E documents

44.4 Contract Plans

For WSDOT ad-and-award projects, the plans should be prepared in accordance with the *Plans Preparation Manual* M 22-31. For local ad-and-award projects, there are no federal or state requirements for plan sheet size or guidelines for preparing contract plans.

44.5 Specifications

WSDOT publishes and distributes the Standard Specifications, and the Amendments and General Special Provisions. On federal aid projects, any revision to Division 1 of the Standard Specifications or approved Division 1 revision (Amendment or WSDOT or APWA General Special Provision) requires prior approval from Highways and Local Programs. In all cases, naming conventions will clearly identify the origin, General Special Provision, APWA Special Provision, Agency Provision, or Project Provisions.

.51 Standard Specifications – All FHWA funded projects, including local agency force projects, will be constructed in conformance with the current *Standard Specifications for Road, Bridge, and Municipal Construction* M 41-10, and such approved amendments that modify these specifications.

.52 Amendment to the Standard Specifications – These amendments are approved changes to the Standard Specifications.

.53 General Special Provisions – These are specifications that describe special project features in common usage.

.54 APWA General Special Provisions – These are specifications unique to local agency projects. See www.wsdot.gov/partners/apwa/.

.55 Special Provisions – Since Special Provisions are specifications governing matters peculiar to an individual project, they are not covered in the *Standard Specifications*. Their use should be held to a minimum and applicable *Standard Specifications* should be used instead. Issues mandated in the state and federal laws shall not be changed.

Special Provisions are required:

a. For the presentation of all features of a project not covered by the *Standard Specifications* and General Special Provisions.

b. Where the *Standard Specifications* are being amended.

c. For any deviation from the *Standard Specifications* with regard to materials, construction details, measurement, and payment.

d. When noted in the WSDOT Standard Item Table.

The following paragraphs discuss some pertinent aspects of special provisions.

- All nonstandard pay items shall be covered in the Special Provisions.
- The local agency is encouraged to include a value engineering incentive clause in their construction specifications encouraging the contractor to propose changes in contract requirements that will accomplish the project's functional requirements at less cost on high cost and major projects.
- Traffic control must be in accordance with the MUTCD. A Special Provision shall be prepared outlining traffic control requirements and including any pay items.
- Neatline measurement of quantities is allowed by special provision. This specification may allow payment of the neatline measurement from the lines and grades as shown on the plans or as directed by the Engineer's stakes on the ground. This may apply to aggregates, base course, and surfacing. On asphalt quantities, the unit price could include the cost of coring to verify density and depths. Culvert and pipeline installation may be paid by the lineal foot-in place with bedding, backfill, and compaction as incidental to the unit price. In these instances, an item should be added for extra excavation or backfill if the profile varies or is subject to change during the contract. Shoring must be paid as a separate bid item.
- Direct reference to proprietary specifications of national, regional, or local trade associations should not be included in FHWA contract specifications; such proprietary specifications are subject to change without notice to, or acceptance by, the state or FHWA. If proprietary specifications must be used, the complete text, or such parts as are applicable, should be incorporated into special provisions for the project.

Proprietary Items – Sole Source

The use of trade names in specifications and on plans should be avoided. Instead, specifications should be formulated to assure full opportunity for competition among equivalent materials, equipment, and methods. Specifying patented or proprietary material, products or processes is allowed for federal aid projects only under one of the following conditions:

Specify at Least Three Brand Names

- At least three names of acceptable materials or products, if available, are listed together with a list of the required features and specifications that will be considered equal to the listed items.

Approved Public Interest Finding

- The agency is requiring a specific material or product and a written Public Interest Finding (PIF) document has been prepared and approved by H&LP.

Approved Experimental Feature

- The material or product has been approved through FHWA as an experimental feature.

Specify Brand Names and Allow for Approved Equals

- Specify a brand name. The agency will provide the bidder with options by naming at least two products or manufacturers that are acceptable and allowing for "approved equals" followed by a performance specification. When this is done, no approval is required for usage; it is not considered a proprietary item.

  A good specification for brand name specifying will read as follows:

  > The (type of product) furnished shall be (brand name, model), (brand name, model), or an approved equal having the following features (functions):
  >
  > a. (feature)
  > b. (functions)
  > c. (feature)
  >
  > In order to find the two acceptable items, the agency has to be looking for certain features or functions. These features or functions need to be clearly identified in the Special Provision.

Public Interest Finding

An agency may require a specific material or product when there are other acceptable materials and products when such specific choice is approved as being in the public interest, such as traffic signal control equipment. The written (PIF) must:

Clearly show that the best interest of the public and the agency will be achieved. This is accomplished by describing any cost effectiveness and efficiency to be realized. A benefit cost analysis should be completed to support the PIF. The supporting documentation and the decision of the agency must be maintained in the project file. See Appendices 44.76 through 44.82 for detailed instructions and example.

Proprietary items must be approved by H&LP.

A PIF is not required when:

1. The funding source is from a municipality or other entity, and is not reimbursable with federal monies, including when the contract has tied bids, and the item is only part of the locally funded project.

2. A utility agreement is being established and there are minor quantities of materials and supplies and proprietary products that are routinely used in a utility's operation, which are essential for the maintenance of the system.

44.6 Estimates

The engineer's estimate of a proposed project's cost shall include the estimated quantity and estimated unit price for each proposed work item. Bridge items shall be segregated from roadway items. A tabulation for each bridge showing its applicable items shall be submitted.

If materials salvaged from the project are to be used for roadway purposes, the value of such materials should not be included in the project cost.

The estimate shall separately list the costs of nonparticipating items, local agency force work, and local agency furnished materials.

The separate cost groups shall be summarized and totaled on the first sheet of the estimate.

The Region Local Programs Engineer may be contacted for assistance in preparing the estimate. An estimate example is shown in Appendix 44.74.

44.7 Appendices

44.71 Local Agency Bid Proposal Package

44.72 City Letter of Financial Responsibility – Example

44.73 County Letter of Financial Responsibility – Example

44.74 Estimate and Grouping – Example

44.75 Local Agency Plans Preparation Checklist

44.76 Pantented/Proprietary Items – PIF Instructions

44.77 Two-Week Advertisement – PIF Instructions

44.78 Mandatory Use of Borrow or Disposal Site – PIF Instructions

44.79 Agency Supplied Equipment – PIF Instructions

44.80 Agency Supplied Material – PIF Instructions

44.81 Local Agency Force Work – PIF Instructions

44.82 Public Interest Finding – Example

44.8 Forms

FHWA-1273 Required Contract Provisions Federal-Aid Construction Contracts

1. Local Agencies must use DOT Form 272-056A and 422-031A on all projects that have an established DBE goal.

2. Local Agencies may delete DOT Form 272-063A.

Note: This package is available electronically at www.wsdot.wa.gov/forms. Follow the instructions to download the package. The Local Agency Bid Proposal Package is located behind the "agreement and Contract Forms" button.

Local Agency Bid Proposal Package - Data Entry

Enter the Appropriate Information for the Local Agency Proposal Package

Local Agency:

Local Agency Address:

City **State** **Zip Code**

Is this Bid Package for a Federal or State project?

○ Federal ○ State

Enter the Road or Bridge Name

SR

Enter the Mileposts (include "MP") or Project Limits

Enter the Project Title

Enter Agency Job Number(s)

Enter the Federal Aid Number(s) and TA Number

Local Agency Bid Proposal Package – Data Entry
(Page 1 of 3)

Local Agency Bid Proposal Package - Data Entry

Enter the Federal Aid Number(s) and TA Number

Bid Open Time (24 hour clock)

Enter the Agency street address for the Bid Opening

Enter the Bid opening Location. Include the room number if applicable

City **Zip Code**

Enter the Agency mailing Post Office Bix or Street Address for mail in Bids

Address

City **Zip Code**

Enter the Fax Number for Bid Changes

☐ Expedite / Bidx.com Option

This field shows the Bid Opening information that will print on the Cover Page exactly as displayed.
Please verify and correct any incorrect information

"Sealed bids will be received by at , , , *Washington* , until , or at ", ,

Local Agency Bid Proposal Package – Data Entry
(Page 2 of 3)

Local Agency Bid Proposal Package - Data Entry

"Sealed bids will be received by at , , , *Washington* , until , or at ", ,
Washington until *:00 AM on the date scheduled for opening bids.*

Click on forms to include in this Bid Package	Enter Correct Page Letter
☐ Certification for Federal Aid Contracts (272-040A) Required for all Federal Aid jobs over $100,000	_____
☐ Proposal Bond (272-001A) Use when bid bond is required	
☐ Non-Collusion Declaration (272-036I) Required for all Federal Aid jobs	_____
☐ DBE Documentation Reminder Page Required for Federal Aid jobs with DBE Condition of Award goals	_____
☐ DBE Utilization Certification (272-056A) Required for Federal Aid jobs with DBE Condition of Award goals	_____
☐ DBE Written Confirmation Document (422-031A) Required for Federal Aid jobs with DBE Condition of Award goals	_____
☐ Subcontractor's List (271-015A EF) Required for all jobs over $1,000,000	_____
☐ Region Ad and Award Contract Proposal - Signature Page (272-036J) Used only for contracts $50,000 or less when no bond is required	_____
☐ Proposal - Signature Page (272-036K) Required for all jobs over $1,000,000	_____

Local Agency Bid Proposal Package – Data Entry
(Page 3 of 3)

Local Agency Certification for Federal-Aid Contracts

The prospective participant certifies by signing and submitting this bid or proposal, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

This certification is material representation of the fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each failure.

The prospective participant also agrees by submitting his or her bid or proposal that he or she shall require that the language of this certification be included in all lower tier subcontracts, which exceed $100,000 and that all such subrecipients shall certify and disclose accordingly.

SR

DOT Form 272-040A EF
07/2011

Local Agency Proposal Certification for Federal-Aid Contracts
(DOT Form 272-040A EF)

Local Agency Proposal Bond

KNOW ALL MEN BY THESE PRESENTS, That we,

of as principal, and the

a corporation duly organized under the laws of the state of , and

authorized to do business in the State of Washington, as surety, are held and firmly bound unto the State of Washington in the full and penal sum of five (5) percent of the total amount of the bid proposal of said principal for the work hereinafter described, for the payment of which, well and truly to be made, we bind our heirs, executors, administrators and assigns, and successors and assigns, firmly by these presents.

The condition of this bond is such, that whereas the principal herein is herewith submitting his or its sealed proposal for the following highway construction, to wit:

said bid and proposal, by reference thereto, being made a part hereof.

NOW, THEREFORE, If the said proposal bid by said principal be accepted, and the contract be awarded to said principal, and if said principal shall duly make and enter into and execute said contract and shall furnish bond as required by the within a period of twenty (20) days from and after said award, exclusive of the day of such award, then this obligation shall be null and void, otherwise it shall remain and be in full force and effect.

IN TESTIMONY WHEREOF, The principal and surety have caused these presents to be signed and sealed this _____ day of _____, _____.

_____

_____
(Principal)

_____
(Surety)

_____
(Attorney-in-fact)

SR

DOT Form 272-001A EF
07/2011

Local Agency Proposal Bond
(DOT Form 272-001A EF)

Failure to return this Declaration as part of the bid proposal package will make the bid nonresponsive and ineligible for award.

NON-COLLUSION DECLARATION

I, by signing the proposal, hereby declare, under penalty of perjury under the laws of the United States that the following statements are true and correct:

1. That the undersigned person(s), firm, association or corporation has (have) not, either directly or indirectly, entered into any agreement, participated in any collusion, or otherwise taken any action in restraint of free competitive bidding in connection with the project for which this proposal is submitted.
2. **That by signing the signature page of this proposal, I am deemed to have signed and to have agreed to the provisions of this declaration.**

NOTICE TO ALL BIDDERS

To report rigging activities call:

1-800-424-9071

The U.S. Department of Transportation (USDOT) operates the above toll-free "hotline" Monday through Friday, 8:00 a.m. to 5:00 p.m., eastern time. Anyone with knowledge of possible bid rigging, bidder collusion, or other fraudulent activities should use the "hotline" to report such activities.

The "hotline" is part of USDOT's continuing effort to identify and investigate highway construction contract fraud and abuse and is operated under the direction of the USDOT Inspector General. All information will be treated confidentially and caller anonymity will be respected.

SR

DOT Form 272-036I EF
07/2011

Non-Collusion Declaration
(DOT Form 272-036I EF)

Local Agency Disadvantaged Business Enterprise Utilization Certification

To be eligible for award of this contract the bidder must fill out and submit, as part of its bid proposal, the following Disadvantaged Business Enterprise Utilization Certification relating to Disadvantaged Business Enterprise (DBE) requirements. The Contracting Agency shall consider as non-responsive and shall reject any bid proposal that does not contain a DBE Certification which properly demonstrates that the bidder will meet the DBE participation requirements in one of the manners provided for in the proposed contract. The Bidder must submit good faith effort documentation with the DBE Utilization Certification ***only in the event*** the bidder's efforts to solicit sufficient DBE participation has been unsuccessful. The successful bidder's Disadvantage Business Enterprise Utilization Certification shall be deemed a part of the resulting contract. Information on certified firms is available from OMWBE, telephone 360-753 -9693 or Toll Free 1-866-208-1064.

_____ certifies that the Disadvantaged Business Enterprise (DBE)
(Box 1) Name of Bidder

Firms listed below have been contacted regarding participation on this project. If this bidder is successful on this project and is awarded the contract, it shall assure that subcontracts or supply agreements are executed with those firms where an "Amount to be Applied Towards Goal" is listed. (If necessary, use additional sheet.)

Column 1 **Name of DBE Certificate Number**	Column 2 * **Project Role (Prime, Joint Venture, Subcontractor, Manufacturer, Regular Dealer)**	Column 3 **Description of Work**	Column 4 ** **Amount to be Applied Towards Goal**
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			

Disadvantaged Business Enterprise Subcontracting Goal: _____ (Box 2) DBE Total $ _____ *** (Box 3)

* Regular Dealer status must be approved prior to bid submittal by the Office of Equal Opportunity, Wash. State Dept. of Transportation, on each contract.

** See the section "Crediting DBE Participation Toward Meeting the Goal" in the Contract Document.

*** The Contracting Agency will utilize this amount to determine whether or not the bidder has met the goal. In the event of an arithmetic difference between this total and the sum of the individual amounts listed above, then the sum of the amounts listed shall prevail and the total will be revised accordingly. Participation in excess of the goal amount will be considered voluntary or race-neutral participation.

SR

DOT Form 272-056A EF
07/2011

Local Agency Disadvantaged Business Enterprises Utilization Certification (DOT Form 272-056A EF)

Local Agency Disadvantaged Business Enterprise (DBE) Written Confirmation Document

As an authorized representative of the Disadvantaged Business Enterprise (DBE), I confirm that we have been contacted by the referenced bidder with regard to the referenced project and if the bidder is awarded the contract we will enter into an agreement with the bidder to participate in the project consistent with the information provided in the bidder's Disadvantaged Business Enterprise Utilization Certification.

Contract Title: _____

Bidder's Business Name: _____

DBE's Business Name: _____

DBE Signature: _____

DBE's Title: _____

Date: _____

The entries must be consistent with what is shown on the bidder's Disadvantaged Business Enterprise Utilization Certification. Failure to do so will result in bid rejection. See contract provision; *Disavantaged Business Enterprise Condition of Award Participation.*

Description of Work: _____

Amount to be Applied Towards Goal: _____

SR

DOT Form 422-031A EF
07/2011

Local Agency Disadvantaged Business Enterprise (DBE) Written Confirmation Document (DOT Form 422-031A EF)

Local Agency Signature Page

The undersigned hereby agrees to pay labor not less than the prevailing rates of wages in accordance with the requirements of the special provisions for this project.

Receipt is hereby acknowledged of addendum(s) No.(s) _____ , _____ & _____

Signature of Authorized Official(s)

Proposal Must be Signed →

_____

_____

Firm Name _____

Address _____

_____

_____

State of Washington Contractor's License No. _____

Federal ID No. _____

Note:

(1) This proposal form is not transferable and any alteration of the firm's name entered hereon without prior permission from the will be cause for considering the proposal irregular and subsequent rejection of the bid.

(2) Please refer to section 1-02.6 of the standard specifications, re: "Preparation of Proposal," or "Article 4" of the Instruction to Bidders for building construction jobs.

(3) Should it be necessary to modify this proposal either in writing or by electronic means, please make reference to the following proposal number on in your communication _____ .

(4) RCW 47.28.030 (2) applies: No bid deposit or performance bond shall be required but it shall be specified in the bidding proposal that each month the contractor may be required to submit paid invoices showing that disbursements have been made to laborers, materialmen, mechanics, and subcontractors due such persons from the previous progress payment. If such disbursements have not been made, the monthly progress payment shall be withheld pending receipt of the paid invoices.

SR

DOT Form 272-036J EF
07/2011

Local Agency Signature Page
(DOT Form 272-036J EF)

Local Agency Proposal - Signature Page

The bidder is hereby advised that by signature of this proposal he/she is deemed to have acknowledged all requirements and signed all certificates contained herein.
A proposal guaranty in an amount of five percent (5%) of the total bid, based upon the approximate estimate of quantities at the above prices and in the form as indicated below is attached hereto:

Cash	☐	In the Amount of _____
Cashier's Check	☐	_____ Dollars
Certified Check	☐	**($** _____ **)** Payable to the State Treasurer
Proposal Bond	☐	In the Amount of 5% of the Bid

Receipt is hereby acknowledged of addendum(s) No.(s) _____ , _____ & _____

Signature of Authorized Official(s)

_____

_____

Firm Name _____

Address _____

_____

_____

State of Washington Contractor's License No. _____

Federal ID No. _____

Note:

(1) This proposal form is not transferable and any alteration of the firm's name entered hereon without prior permission from the _ will be cause for considering the proposal irregular and subsequent rejection of the bid.

(2) Please refer to section 1-02.6 of the standard specifications, re: "Preparation of Proposal," or "Article 4" of the Instruction to Bidders for building construction jobs.

SR

DOT Form 272-036K EF
07/2011

Local Agency Proposal - Signature Page
(DOT Form 272-036K EF)

Local Agency Name
Local Agency Address

Local Agency Subcontractor List

Prepared in compliance with RCW 39.30.060 as amended

To Be Submitted with the Bid Proposal

Project Name _____

Failure to list subcontractors who are proposed to perform the work of HVAC (heating, ventilation and air conditioning), plumbing, as described in Chapter 18.106 RCW, and electrical as described in Chapter 19.28 RCW, or naming more than one subcontractor to perform the same work will result in your bid being non-responsive and therefore void.

Subcontractor(s) that are proposed to perform the work of heating, ventilation and air conditioning, plumbing, as described in chapter 18.106 RCW, and electrical as described in chapter 19.28 RCW must be listed below. The work to be performed is to be listed below the subcontractor(s) name. The requirement to name the prime contract bidder's proposed HVAC, plumbing and electrical subcontractors applies only to proposed HVAC, plumbing, and electrical subcontractors who will contract directly with the prime contract bidder submitting the bid to the public entity.

If no subcontractor is listed below, the bidder acknowledges that it does not intend to use any subcontractor to perform those items of work.

Subcontractor Name _____
Work to be Performed _____

Subcontractor Name _____
Work to be Performed _____

Subcontractor Name _____
Work to be Performed _____

Subcontractor Name _____
Work to be Performed _____

Subcontractor Name _____
Work to be Performed _____

Bidder's are notified that in the opinion of the enforcement agency PVC or metal conduit, junction boxes, etc, are considered electrical equipment and must be installed by a licensed electrical contractor, even if the installation is for future use and no wiring or electric current is connected during the project.
A licensed electrical contractor must be listed to perform the work.

SR

DOT Form 271-015A EF
07/2011

Local Agency Subcontractors List (All Contracts Over $1,000,000 (DOT Form 271-015A EF)

Local Agency Performance Bond

PERFORMANCE BOND

to [City of _____ or _____ County], WA

Bond No. _____

The [City of _____ or _____ County], Washington ([City or County]) has awarded to _____ (Principal), a contract for the construction of the project designated as _____ ,Project No. _____ , in [location], Washington (Contract), and said Principal is required to furnish a bond for performance of all obligations under the Contract.

The Principal, and _____ (Surety), a corporation, organized under the laws of the State of _____ and licensed to do business in the State of Washington as surety and named in the current list of "Surety Companies Acceptable in Federal Bonds" as published in the Federal Register by the Audit Staff Bureau of Accounts, U.S. Treasury Dept., are jointly and severally held and firmly bound to the [City or County], in the sum of _____ US Dollars ($ _____) Total Contract Amount, subject to the provisions herein.

This statutory payment bond shall become null and void, if and when the Principal, its heirs, executors, administrators, successors, or assigns shall well and faithfully perform all of the Principal's obligations under the Contract and fulfill all terms and conditions of all duly authorized modifications, additions, and changes to said Contract that may hereafter be made, at the time and in the manner therein specified; and if such performance obligations have not been fulfilled, this bond shall remain in force and effect.

The Surety for value received agrees that no change, extension of time, alteration or addition to the terms of the Contract, the specifications accompanying the Contract, or to the work to be performed under the Contract shall in any way affect its obligation on this bond, and waives notice of any change, extension of time, alteration or addition to the terms of the Contract or the work performed. The Surety agrees that modifications and changes to the terms and conditions of the Contract that increase the total amount to be paid the Principal shall automatically increase the obligation of the Surety on this bond and notice to Surety is not required for such increased obligation.

This bond may be executed in two (2) original counterparts, and shall be signed by the parties' duly authorized officers. This bond will only be accepted if it is accompanied by a fully executed and original power of attorney for the office executing on behalf of the surety.

PRINCIPAL		SURETY	
Principal Signature	Date	Surety Signature	Date
Printed Name	Date	Printed Name	Date
Title		Title	

Name, address, and telephone of local office/agent of Surety Company is:

Approved as to form:

[City or County] Attorney, [City of _____ or _____ County] _____ Date

DOT Form 272-002A EF
08/2012

Local Agency Performance Bond
(DOT Form 272-002A EF)

Local Agency Payment Bond

PUBLIC WORKS PAYMENT BOND

to [City of _____ or _____ County], WA

Bond No. _____

The [City of _____ or _____ County], Washington ([City or County]) has awarded to _____(Principal), a contract for the construction of the project designated as _____ ,Project No. _____, in [location], Washington (Contract), and said Principal is required under the terms of that Contract to furnish a payment bond in accord with Title 39.08 Revised Code of Washington (RCW) and (where applicable) 60.28 RCW.

The Principal, and _____ (Surety), a corporation organized under the laws of the State of _____ and licensed to do business in the State of Washington as surety and named in the current list of "Surety Companies Acceptable in Federal Bonds" as published in the Federal Register by the Audit Staff Bureau of Accounts, U.S. Treasury Dept., are jointly and severally held and firmly bound to the [City or County], in the sum of _____ US Dollars ($ _____) Total Contract Amount, subject to the provisions herein.

This statutory payment bond shall become null and void, if and when the Principal, its heirs, executors, administrators, successors, or assigns shall pay all persons in accordance with RCW 39.08, 39.12, and 60.28 including all workers, laborers, mechanics, subcontractors, and materialmen, and all person who shall supply such contractor or subcontractor with provisions and supplies for the carrying on of such work, and all taxes incurred on said Contract under Titles 50 and 51 RCW and all taxes imposed on the Principal under Title 82 RCW; and if such payment obligations have not been fulfilled, this bond shall remain in full force and effect.

The Surety for value received agrees that no change, extension of time, alteration or addition to the terms of the Contract, the specifications accompanying the Contract, or to the work to be performed under the Contract shall in any way affect its obligation on this bond, and waives notice of any changes, extension of time, alteration or addition to the terms of the Contract or the work performed. The Surety agrees that modifications and changes to the terms and conditions of the Contract that increase the total amount to be paid the Principal shall automatically increase the obligation of the Surety on this bond and notice to Surety is not required for such increased obligation.

This bond may be executed in two (2) original counterparts, and shall be signed by the parties' duly authorized officers. This bond will only be accepted if it is accompanied by a fully executed and original power of attorney for the office executing on behalf of the surety.

PRINCIPAL		SURETY	
_____		_____	
Principal Signature	Date	Surety Signature	Date
_____		_____	
Printed Name	Date	Printed Name	Date
_____		_____	
Title		Title	

Name, address, and telephone of local office/agent of Surety Company is:

Approved as to form:

_____ _____

[City or County] Attorney, [City of _____ or _____ County] Date

DOT Form 272-003A EF
08/2012

Local Agency Payment Bond
(DOT Form 272-003A EF)

Local Agency Contract

THIS AGREEMENT, made and entered into this day of , .
between the , and the
_____ under and by virtue of Title 47 RCW, as amended and

hereinafter called the Contractor.

WITNESSETH:

That in consideration of the terms and conditions contained herein and attached and made a part of this agreement, the parties hereto covenant and agree as follows:

I. The Contractor shall do all work and furnish all tools, materials, and equipment for:

in accordance with and as described in the attached plans and specifications, and the standard specifications of the which are by this reference incorporated herein and made part hereof and, shall perform any changes in the work in accord with the Contract Documents.

The Contractor shall provide and bear the expense of all equipment, work and labor, of any sort whatsoever that may be required for the transfer of materials and for constructing and completing the work provided for in these Contract Documents except those items mentioned therein to be furnished by .

II. hereby promises and agrees with the Contractor to employ, and does employ the Contractor to provide the materials and to do and cause to be done the above described work and to complete and finish the same in accord with the attached plans and specifications and the terms and conditions herein contained and hereby contracts to pay for the same according to the attached specifications and the schedule of unit or itemized prices at the time and in the manner and upon the conditions provided for in this contract.

SR

DOT Form 272-006A EF
07/2011

Local Agency Contract - Highway Construction (DOT Form 272-006A EF)
(Page 1 of 2)

III. The Contractor for himself/herself, and for his/her heirs, executors, administrators, successors, and assigns, does hereby agree to full performance of all convenants required of the Contractor in the contract.

IV. It is further provided that no liability shall attach to the State by reason of entering into this contract, except as provided herein.

IN WITNESS WHEREOF, the Contractor has executed this instrument, on the day and year first below written and has caused this instrument to be executed by and in the name of the day and year first above written.

Executed by the Contractor _____ , _____ .

_____

_____

_____
(Contractor)

Local Agency: _____

Title: _____

By: _____

Date: _____ , _____

SR

DOT Form 272-006A EF
07/2011

Local Agency Contract - Highway Construction (DOT Form 272-006A EF)
(Page 2 of 2)

Local Agency Contract

THIS AGREEMENT, made and entered into this day of , ,
between the , and

_____

under and by virtue of Title 39 RCW, as amended and

hereinafter called the Contractor.

WITNESSETH:

That in consideration of the terms and conditions contained herein and attached and made a part of this agreement, the parties hereto covenant and agree as follows:

I. The Contractor shall do all work and furnish all tools, materials, and equipment for:

in accordance with and as described in the attached Contract Drawings and Project Manual, which are by this reference incorporated herein and made a part hereof, and as directed shall perform any changes in the work in accord with the Contract Documents.

The Contractor shall provide and bear the expense of all equipment, work and labor, of any sort whatsoever that may be required for the transfer of materials and for constructing and completing the work provided for in these Contract Documents except those items mentioned therein to be furnished by .

II. hereby promises and agrees with the Contractor to employ, and does employ the Contractor to provide the materials and to do and cause to be done the above described work and to complete and finish the same in accord with the attached Contract Drawings and Project Manual and the terms and conditions herein contained and hereby contracts to pay for the same according to the attached Schedule of Values and Contracts Sum at the time and in the manner and upon the conditions provided for in this contract.

SR

DOT Form 272-008A EF
07/2011

Local Agency Contract - Building Construction (DOT Form 272-008A EF)
(Page 1 of 2)

III. The Contractor for himself/herself, and for his/her heirs, executors, administrators, successors, and assigns, does hereby agree to full performance of all convenants required of the Contractor in the contract.

IV. It is further provided that no liability shall attach to by reason of entering into this contract, except as provided herein.

IN WITNESS WHEREOF, the Contractor has executed this instrument, on the day and year first below written and has caused this instrument to be executed by and in the name of

the day and year first above written.

Executed by the Contractor _____ , _____ .

_____

_____

_____
(Contractor)

Local Agency: _____

Title: _____

By: _____

Date: _____ , _____

SR

DOT Form 272-008A EF
07/2011

Local Agency Contract - Building Construction (DOT Form 272-008A EF)
(Page 2 of 2)

Local Agency Contractor Prequalification Questionnaire and Affidavit for Region Ad and Award Contracts ($100,000 or Less)

Date	Submitted By		Business License No.
Address ((Street)			Telephone No.
City	State	Zip	
Prequalification Requested For (Identify project by advertised name)			
What is the Value of Your Firm's Assets (Net Worth)? $			
List Two Similar Projects Your Firm Has Completed in the Last Year. Give Owner's Name and Telephone Number. 1.			
Owner:		Telephone No.:	
2.			
Owner:		Telephone No.:	
Were the projects listed above completed on time?		☐ Yes ☐ No	
Does your firm owe any monies on any projects which were completed within the last year? (If Yes, provide a separate statement.)		☐ Yes ☐ No	
Have you or your firm been convicted of any criminal act involving a contractor or contracts? (If Yes, provide a separate statement.)		☐ Yes ☐ No	

Affidavit

State of	County of

The undersigned, being duly sworn, deposes and says that the foregoing is a true statement of facts concerning the firm (or individual herein named). As of the date indicated: that the answers to the foregoing interrogatories are true; that this statement is for the express purpose of inducing the to award the firm (or individual) a contract and that the depository, vendor, or other agency herein named is hereby authorized to supply or its agents with any information necessary to verify this statement.

Name of Firm (***Be Exact***): _____

_____ Authorized Signature

_____ Authorized Signature

_____ Authorized Signature

_____ Authorized Signature

Sworn to before me this

_____ day of _____ , 20 _____

_____ (Notary Public)

Corporate Seal(s)

Notary Seal

Approved By _____ Region Administrator

Date _____

SR

DOT Form 272-063A EF
07/2011

Local Agency Contractor Prequalification Questionnaire and Affidavit for Region Ad and Award Contracts ($100,000 or Less) (DOT Form 272-063A EF)

Department of Transportation
Transportation Building
P.O. Box 47390
Olympia, Washington 98504-7308

Re:

(State Ad and Award)
Award of Project

Attn:
Assistant Secretary, Highways and Local Programs

Gentlemen:

The Mayor of the city of _____ gives permission to award the above noted project after advertisement and bid opening, where the bid to be awarded is not more than 10 percent above the current engineer's estimate.

Should the award bid exceed the current municipal agreement dated _____ the city agrees to assume the responsibility for arranging project financing in excess of the agreement after the contract is awarded.

_____
Mayor

_____
Date

Washington State Transportation Commission
Department of Transportation
Transportation Building
Olympia, Washington 98504

Re:

(State Ad and Award)
Award of Project

Attn:
Assistant Secretary, Highways and Local Programs

Gentlemen:

The Board of County Commissioners of _____ County gives permission to award the above noted project after advertisement and bid opening, where the bid to be awarded is not more than 10 percent above the current engineer's estimate.

Should the award bid exceed the current municipal agreement dated _____ the county agrees to assume the responsibility for arranging project financing in excess of the agreement after the contract is awarded.

_____
Chairman

_____
Date

Metric

Preliminary Estimate Dated:	January 13, 1994
Title:	North Ridge Road
Highway:	Laramie County Road
Type of Work:	Grading, surfacing, paving with asphalt concrete, construct cement concrete driveways, erosion control, and pavement marking.
Project:	STPUL-6969(007)
County:	Laramie
Total Length:	Length of Project

Estimate Cost Data:

Contract Total	391,507.50
Engineering 15%	58,726.13
Total Cost of Project:	450,233.63

Note: Include below the line items such as: value of materials furnished by agency, agency force work, signs and traffic control, royalties, etc.

Item No.	Description	Unit	Price	Unit Quantity	Amount
1	Mobilization	Lump Sum		Lump Sum	$ 20,000.00
2	Clearing and Grubbing	Lump Sum		Lump Sum	1,400.00
3	Roadway Excavation Including Haul	m^3	$ 2.00	780.0	1,560.00
4	Embankment Compaction	m^3	1.00	413.0	413.00
5	Adjust Manhole	Each	300.00	12.0	3,600.00
6	Adjust Catch Basin	Each	100.00	24.0	2,400.00
7	Gravel Base Class B	Tonne	3.00	28,870.0	86,610.00
8	Crushed Surfacing Top Course	Tonne	5.00	6,500.0	32,500.00
9	Asphalt for Tack Coat	Tonne	200.00	10.0	2,000.00
10	Cement Contract Driveway 14 Day	m^2	16.00	289.0	4,624.00
11	Asphalt Concrete Pavement				
	Class B Excluding Paving Asphalt	Tonne	15.00	10,283.0	154,245.00
12	Topsoil Type B	m^3	6.00	410.0	2,460.00
13	Cement Concrete Curb & Gutter	Lin. m	3.50	13,073.0	45,755.50
14	Lane Marker Type 1	Hundred	200.00	19.5	3,900.00
15	Lane Marker Type 2	Hundred	400.00	2.1	840.00
16	One-Way Piloted Traffic Control	Estimate			6,000.00
17	Labor for Traffic Control	Hour	12.00	600.0	7,200.00
18	Reconstruct Wooden Fence	Lin. m	8.00	2,000.0	16,000.00
	Contract Total				$ 391,507.50

Laramie County Road
North Ridge Road

Total Preliminary Estimate
Groups 1 and 2

1/13/94

Project STPUL-6969(007) Group No. 1
Federal Participation

Description: Two 3.6 m lanes from Sta. 8+658.50 to Sta. 8+954.92
F.A. Funds 83.01% Urban. Sales Tax 0.00%

Title: Laramie County Road Length: 9 kilometers

Item No.	Description	Unit	Price	Unit Quantity	Amount
1	Mobilization	Lump Sum			$15,000.00
2	Clearing and Grubbing	Lump Sum			1,000.00
3	Roadway Excavation Including Haul	m^3	$ 2.00	590.0	1,180.00
4	Embankment Compaction	m^3	1.00	313.0	313.00
5	Adjust Manhole	Each	300.00	9.0	2,700.00
6	Adjust Catch Basin	Each	100.00	18.0	1,800.00
7	Gravel Base Class B	Tonne	3.00	21,660.0	64,980.00
8	Crushed Surfacing Top Course	Tonne	5.00	4,900.0	24,500.00
9	Asphalt for Tack Coat	Tonne	200.00	7.0	1,400.00
10	Cement Contract Driveway 14 Day	m^2	16.00	209.0	3,344.00
11	Asphalt Concrete Pavement				
	Class B Excluding Paving Asphalt	Tonne	15.00	7,773.0	116,595.00
12	Topsoil Type B	m^3	6.00	410.0	2,460.00
13	Cement Concrete Curb & Gutter	Lin. m	3.50	10,409.0	36,431.50
14	Lane Marker Type 1	Hundred	200.00	14.8	2,960.00
15	Lane Marker Type 2	Hundred	400.00	1.6	640.00
16	One-Way Piloted Traffic Control	Estimate			5,000.00
17	Labor for Traffic Control	Hour	12.00	500.0	6,000.00
18	Reconstruct Wooden Fence	Lin. m	8.00	2,000.0	16,000.00
	Group Subtotal				$ 302,303.50
	Engineering 15 Percent				45,345.53
	Group 1 F.A. Total				$ 347,649.03

Laramie County Road
North Ridge Road

Group 1 Estimate

1/13/94

Project STPUL-6969(007)

Group No. 2
Local Funds Only

Description: Two 3.6 m lanes from Sta. 8+954.92 to Sta. 9+054.70
No. F.A. Funds and No Sales Tax

Title: Laramie County Road Length: 3 kilometers

Item No.	Description	Unit	Price	Unit Quantity	Amount
1	Mobilization	Lump Sum			$ 5,000.00
2	Clearing and Grubbing	Lump Sum			400.00
3	Roadway Excavation Including Haul	m^3	$ 2.00	190.0	380.00
4	Embankment Compaction	m^3	1.00	100.0	100.00
5	Adjust Manhole	Each	300.00	3.0	900.00
6	Adjust Catch Basin	Each	100.00	6.0	600.00
7	Gravel Base Class B	Tonne	3.00	7,210.0	21,630.00
8	Crushed Surfacing Top Course	Tonne	5.00	1,600.0	8,000.00
9	Asphalt for Tack Coat	Tonne	200.00	3.0	600.00
10	Cement Contract Driveway 14 Day	m^2	16.00	80.0	1,280.00
11	Asphalt Concrete Pavement				
	Class B Excluding Paving Asphalt	Tonne	15.00	2,510.0	37,650.00
13	Cement Concrete Curb & Gutter	Lin. m	3.50	2,664.0	9,324.00
14	Lane Marker Type 1	Hundred	200.00	4.7	940.00
15	Lane Marker Type 2	Hundred	400.00	0.5	200.00
16	One-Way Piloted Traffic Control	Estimate			1,000.00
17	Labor for Traffic Control	Hour	12.00	100.0	1,200.00

Group Subtotal	$ 89,204.00
Engineering 15 Percent	13,380.60
Group 2 Local Funds Only Total	$ 102,584.60

Laramie County Road
North Ridge Road

Group 2 Estimate

English

Preliminary Estimate Dated:	January 13, 1994
Title:	North Ridge Road
Highway:	Laramie County Road
Type of Work:	Grading, surfacing, paving with asphalt concrete, construct cement concrete driveways, erosion control, and pavement marking.
Project:	STPUL-6969(007)
County:	Laramie
Total Length:	Length of Project

Estimate Cost Data:

Contract Total	391,507.50
Engineering 15%	58,726.13
Total Cost of Project:	450,233.63

Note: Include below the line items such as: value of materials furnished by agency, agency force work, signs and traffic control, royalties, etc.

Item No.	Description	Unit	Price	Unit Quantity	Amount
1	Mobilization	Lump Sum		Lump Sum	$ 20,000.00
2	Clearing and Grubbing	Lump Sum		Lump Sum	1,400.00
3	Roadway Excavation Including Haul	Cu. Yd.	$ 2.00	780.0	1,560.00
4	Embankment Compaction	Cu. Yd.	1.00	413.0	413.00
5	Adjust Manhole	Each	300.00	12.0	3,600.00
6	Adjust Catch Basin	Each	100.00	24.0	2,400.00
7	Gravel Base Class B	Ton	3.00	28,870.0	86,610.00
8	Crushed Surfacing Top Course	Ton	5.00	6,500.0	32,500.00
9	Asphalt for Tack Coat	Ton	200.00	10.0	2,000.00
10	Cement Contract Driveway 14 Day	Sq. Yd.	16.00	289.0	4,624.00
11	Asphalt Concrete Pavement				
	Class B Excluding Paving Asphalt	Ton	15.00	10,283.0	154,245.00
12	Topsoil Type B	Cu. Yd.	6.00	410.0	2,460.00
13	Cement Concrete Curb & Gutter	Lin. Ft.	3.50	13,073.0	45,755.50
14	Lane Marker Type 1	Hundred	200.00	19.5	3,900.00
15	Lane Marker Type 2	Hundred	400.00	2.1	840.00
16	One-Way Piloted Traffic Control	Estimate			6,000.00
17	Labor for Traffic Control	Hour	12.00	600.0	7,200.00
18	Reconstruct Wooden Fence	Lin. Ft.	8.00	2,000.0	16,000.00
	Contract Total				$ 391,507.50

Laramie County Road
North Ridge Road

Total Preliminary Estimate
Groups 1 and 2

1/13/94

Project STPUL-6969(007) Group No. 1
Federal Participation

Description: Two 12 ft. lanes from Sta. 8+658.50 to Sta. 8+954.92
F.A. Funds 83.01% Urban. Sales Tax 0.00%

Title: Laramie County Road Length: 5.614 miles

Item No.	Description	Unit	Price	Unit Quantity	Amount
1	Mobilization	Lump Sum			$15,000.00
2	Clearing and Grubbing	Lump Sum			1,000.00
3	Roadway Excavation Including Haul	Cu. Yd.	$ 2.00	590.0	1,180.00
4	Embankment Compaction	Cu. Yd.	1.00	313.0	313.00
5	Adjust Manhole	Each	300.00	9.0	2,700.00
6	Adjust Catch Basin	Each	100.00	18.0	1,800.00
7	Gravel Base Class B	Ton	3.00	21,660.0	64,980.00
8	Crushed Surfacing Top Course	Ton	5.00	4,900.0	24,500.00
9	Asphalt for Tack Coat	Ton	200.00	7.0	1,400.00
10	Cement Contract Driveway 14 Day	Sq. Yd.	16.00	209.0	3,344.00
11	Asphalt Concrete Pavement				
	Class B Excluding Paving Asphalt	Ton	15.00	7,773.0	116,595.00
12	Topsoil Type B	Cu Yd.	6.00	410.0	2,460.00
13	Cement Concrete Curb & Gutter	Lin. Ft.	3.50	10,409.0	36,431.50
14	Lane Marker Type 1	Hundred	200.00	14.8	2,960.00
15	Lane Marker Type 2	Hundred	400.00	1.6	640.00
16	One-Way Piloted Traffic Control	Estimate			5,000.00
17	Labor for Traffic Control	Hour	12.00	500.0	6,000.00
18	Reconstruct Wooden Fence	Lin. Ft.	8.00	2,000.0	16,000.00
	Group Subtotal				$ 302,303.50
	Engineering 15 Percent				45,345.53
	Group 1 F.A. Total				$ 347,649.03

Laramie County Road
North Ridge Road

Group 1 Estimate

1/13/94

Project STPUL-6969(007)

Group No. 2
Local Funds Only

Description: Two 12 ft. lanes from Sta. 8+954.92 to Sta. 9+054.70
No. F.A. Funds and No Sales Tax

Title: Laramie County Road Length: 1.900 miles

Item No.	Description	Unit	Price	Unit Quantity	Amount
1	Mobilization	Lump Sum			$ 5,000.00
2	Clearing and Grubbing	Lump Sum			400.00
3	Roadway Excavation Including Haul	Cu. Yd.	$ 2.00	190.0	380.00
4	Embankment Compaction	Cu. Yd.	1.00	100.0	100.00
5	Adjust Manhole	Each	300.00	3.0	900.00
6	Adjust Catch Basin	Each	100.00	6.0	600.00
7	Gravel Base Class B	Ton	3.00	7,210.0	21,630.00
8	Crushed Surfacing Top Course	Ton	5.00	1,600.0	8,000.00
9	Asphalt for Tack Coat	Ton	200.00	3.0	600.00
10	Cement Contract Driveway 14 Day	Sq. Yd.	16.00	80.0	1,280.00
11	Asphalt Concrete Pavement				
	Class B Excluding Paving Asphalt	Ton	15.00	2,510.0	37,650.00
13	Cement Concrete Curb & Gutter	Lin. Ft.	3.50	2,664.0	9,324.00
14	Lane Marker Type 1	Hundred	200.00	4.7	940.00
15	Lane Marker Type 2	Hundred	400.00	0.5	200.00
16	One-Way Piloted Traffic Control	Estimate			1,000.00
17	Labor for Traffic Control	Hour	12.00	100.0	1,200.00

Group Subtotal	$ 89,204.00
Engineering 15 Percent	13,380.60
Group 2 Local Funds Only Total	$ 102,584.60

Laramie County Road
North Ridge Road

Group 2 Estimate

Washington State Department of Transportation

Local Agency Plans Preparation Checklist

Rd/St. No./Name	Project No.	P.I.N.	Federal Aid No.	Local Agency
Job Title				Program
Design Engineer	Phone Number	Reviewer		Phone Number

X Items Required On This Project **IN** Initial When Complete

Permits & Approvals	N/A	X	IN
Army Corp of Eng. (Sec. 10 Or Sec. 404)			
FAA Airport/Highway Clearance			
FERC Restricted Hydro-Electric Land			
USFWS Wetlands Report			
USFWS/NMFS Endangered/Threatened Species		X	
Soil Conservation Service Prim & Unique Farmlands			
Nat/l Forest Restriction			
Park Restriction (4 (f))			
OAHP Historic/Archaeological (Sec. 106)		X	
EPA Sole Source Aquifer			
Dept's Of Fish And Wildlife HPA			
DOE Water Quality Cert.			
DOE/Counties Flood Plains			
DOE Coastal Zone Management Act			
DOE Discharge of Pollutants into Surface Water (NPDES)			
DOE State Waste Disposal			
DOE Short Term Mod.			
DOE Water Right Approp.			
DOE Water Pollution Control Plan			
Counties/Cities DOE Shoreline Management Substantial Development			
Counties Cities DOE conditional use			
EIS Commitments			
NEPA (All Federal Aid Projects)			
SEPA		X	

Railroads	N/A	X	IN
Railway Easement (Checked For Stipulations)			
Railway Construction Agreement			
Railroad Insurance			
Flagging Cost Estimate			

Cities	N/A	X	IN
Approval Of City Streets As Detours (Agreement)			
City Participation In Cost (Agreement)			
City Streets Used As Haul Roads (Agreement)			
Construction Permits			
Turnback Agreement			

County	N/A	X	IN
Approval Of County Roads As Detours (Agreement)			
County Participation In Cost (Agreement)			
County Roads Used As Haul Roads (Agreement)			
Construction Permits			
Turnback Agreement			

Compare Previous Approvals	N/A	X	IN
Detours			
Approved Rec. Plan For Pit Site			
Approval For Tied Bids			
Approval Not To Use Bridge Approach Slab			

Hydraulics	N/A	X	IN
Pipe Alternates			

Materials	N/A	X	IN
Sufficient Quantity In Pit Site			
Spec. Conditions - Wet Soil, Unsuitable, Etc.			
Spec. Treat. For Exist. Pave.			
Ret. Wall Data Sheet For Rock Walls Over 5' And All Other Walls Over 10'			
pH And Soil Resistively Values For Pipe Alternates			

Plans - General	N/A	X	IN
Township, Range, Subdivision, North Arrow, Scale Bar Each Sheet		X	
State Boundary, County Line, Corporate Limit			
Reservation, Park Or Forest Boundary			
Project Limits Noted		X	
Construction Limits Noted			
Federal Aid Sections Noted			
Ultimate Const. Detailed (FA Jobs)			
Note "Bridges Included" Or "Bridges Not Included"			
Equations Noted			
Contract Rec. Plan Included			
Index To Plans (More Than 30 Sheets)			
Sheets Numbered (In Pencil Or Use Ref. No. For Large Projects)		X	
Project Title Block Left Blank		X	
Sheets Identified In Lower Left Corner		X	

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Revised 03/2011

Page 1 of 5

Job Title	Project No.

X Items Required On This Project **IN** Initial When Complete

Plans - General (continued)	N/A	X	IN
Sheet Titles In Ink In Lower Right Title Block		X	
Local Agencies Seals & Signatures			
Consultant Signatures & Seals			
Consultant Written Consent To Revised Plan			
All Plan Sheets In Proper Order		X	
Connect. To Existing Streets, Driveways, Etc. (Field Rev.)			
No Combination Of Ink And Pencil On Same Sheet		X	
Plan Symbols In Accord. Chapter 5 - Legend		X	
Min. Lettering Height 1/8" On Full Size Sheet		X	

Vicinity Map	N/A	X	IN
Reasonable Scale To Show The Project		X	
Project Limits By Milepost And Stationing		X	
Construction Limits By Milepost And Stationing			
Equations And Exceptions			
Distance to towns (Rural Projects Only)			
Pit, Waste, And Stockpile Sites And Haul Roads			
Detour Routes			
Railroad Lines-IMPORTANT To Show Any In Area			
If Staged Project, Show Staging For Future FA Funding			
Show Bridge No.			

Summary of Quantities	N/A	X	IN
All Necessary Groups Per Design Manual		X	
Separate Groups For Agreement Work			
Review For Order, Nomenclature And Standard Number		X	
Look For Unusual And Non-Stand Items - These Need Sp. Provs.		X	
Used Std, Tem No. For Std. Item		X	
All Items Tabulated		X	
Check Quantities From Plans		X	
Q.A. Items			

Roadway Sections	N/A	X	IN
Mainline			
Ramps			
Frontage Roads			
City/County roads at intersections			
Road Approaches			
Detours			
Trails			
Bridge Approach Slab			
Bridge			

Roadway Sections	N/A	X	IN
Label Sections			
Sta Limits For Each Sec-Entire Length Of Each Roadway Must Be Covered			
Check For Overlap And Gaps In Stationing			
Show Future On F.A. Projects For Future FA Funding			
Conformance With Soils Report			
Conformance With Design Report			
Guardrail Widening Details			
Shoulder Dressing Details			
Slope Rounding Details			
Broken Back Subgrade Shoulder Detail			
ACP planing detail			
Table For Variable Slopes			
Legend All Sheets			
Reference Notes			
Note Equations And Exception			
Lift thickness for ACP and surfacing (Compacted depth)			
No "Min." Or "Max." For Surf. And Paving Depth Or Slopes			

Alignment, R/W, Grading & Existing Features Plan	N/A	X	IN
Curve Data, Super Elevation Rates			
Show Cut And Fill Catch Line			
Monumentation - Protect Existing, Install New			
Legend Or Reference Note On All Sheet			
Alignment Plan Must Show R/W Centerline (Including R/W Curve Data) And Const. Centerline With Ties If Different			
R/W And L/A Must Agree With Approved R/W & L/A Plan			
Show RR Alignment And RR R/W			
Are Easements And/Or Permits Required			
Show Site Prep. And Demolition Work			
All Items To Be Removed Shown			
Show Fencing			
Show Guardrail (Or Paving Plan)			

Quantity Tabulations	N/A	X	IN
Same Order And Nomenclature As On Summary Of Quantities			
Items Required On Q-tab Per Design Manual			
Round Off Quantities Per Design Manual			
Correct Totals (Sheet And Project)			
Transfer Project Totals To Summary Of Quantities			
Guide Post Color And Reflector Type Indicated			
T-2 Raised Pave. Mark. Color Indicated			

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Revised 03/2011

Page 2 of 5

Job Title	Project No.

X Items Required On This Project **IN** Initial When Complete

Quantity Tabulations (continued)	N/A	X	IN
Traffic Arrow Type Indicated			
Agreement Items Denoted			
Plan Sheet Reference Number Filled In			
Stations Agree With Plans			
Guardrail Placement Case			
Radius And G. R. Length For Non-Std. Bends			
Design "F" Guardrail Terminal Approval By Bridge			
Leave Every 5th Item Column And Station Line Blank			
Appropriate Special Provision Referred To In General Notes			

Profiles	N/A	X	IN
Mainline			
Ramps			
Frontage Roads			
Detours			
Trails			
Show Equations And Exceptions			
Plan/profile Sheets, Stationing Must Be Identical			
Coordinate With Roadway Sections And Plans			
Show Bridges ("Included" Or "Not Included")			
Show Quantities Per Design Manual (10 Station Totals)			
Round Off Quantities Per Design Manual			
Correct Totals To Summary Of Quantities			
Show Unsuite. Exc. Limits And Excavation Slopes			
Superelevation Diagrams, Match Rates As Shown On Alignment Plan			
Datum Symbol And Bench Mark Location			
Show Road Approach Arrow & Indicate Lt. & Rt.			

Structure Notes	N/A	X	IN
Order And Nomenclature Of Item As Shown On Summary Of Quantities			
Round Off Quantities Per Design Manual			
Correct Totals (Sheet & Project)			
Transfer Project Totals To Summary Of Quantities			
Consistency Between Structure Notes, Plans Profiles, And Spec's			
Agreement Items Noted			
Steel., Alum., And Conc. Pipe Alter. Provided			
Alternate Treat. For Steel And Alum. Pipe			
Maximum Height Of Cover Column On Structure Notes In Pencil, Or Separate Level In Cad Files			
Note Beveled End Sections			
Leave Every 5th Item Column Blank			

Structure Notes (continued)	N/A	X	IN
Appropriate Special Provision Referred To In General Notes			
Leave Several Station Lines Blank Between Ref. Sheet Nos.			
Box Culvert Quantities			

Drainage Plans and Profiles	N/A	X	IN
Legend Or Reference Note On All Sheets			
Need Profiles For Major Culverts And Sewer Systems			
Conformance With Hydraulics Report			
Pipes Over 30" Dia. Need Design Review By Hydraulics			
Details Required For Work Not Covered By Standard Plans			
Show Distance Between Structures (ie.℄ C.B. to ℄ C.B.)			

Utility Relocations	N/A	X	IN
Existing Utilities Must Be Shown In Plan			
Reloc. Costs - Reflect In Below-The-Line Costs			
Timing Of Work-Address In Provision			
Details			

Channelization and Paving Plan	N/A	X	IN
Paving Plan And Road. Sect. Must Agree			
Legend Or Reference Note On All Sheets			
Show Paving Plan For I/C And Intersections			
Channelization Detail			
Show Guide Posts Especially I/C And Intersections Show Pave. Marking (Optional)			

Miscellaneous Details	N/A	X	IN
Required For Work Not Covered By Standard Plan			

Illumination Plans, Schedules and Details	N/A	X	IN
Legend Or Reference Notes On All Sheets			
Conflicts With Existing Features, i.e., Utilities, Drainage, & Sidewalks			
All Work Within R/W Or Construction Permit Area			

Signal Plans, Schedules and Details	N/A	X	IN
Legend Or Reference Note On All Sheets			
Conflicts With Existing Features			
Traffic Signal Approval/Permit No.			
All Work Within R/W Or Construction Permit Areas			

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Job Title	Project No.

X Items Required On This Project **IN** Initial When Complete

Signing Plans and Sign Specifications	N/A	X	IN
Legend Or Reference Note On All Sheets			
Separate Set Of Plan Sheets For Construction Signing			
Separate Plan Sheet Specification For Sign Removal/Relocation			

Landscape	N/A	X	IN
Contour Grading Plan			
Planting Detail			
Approval From District Landscape			
Approval From Hq Landscape			
Wildflower Policy (Federal Aid Project)			

Rest Areas	N/A	X	IN

Viewpoints	N/A	X	IN

Minor Structures (Ret. Wall)	N/A	X	IN
Quantities tabulated			

Building Plans, Schedules and Details	N/A	X	IN
Any Building Being Constructed Will Require A Building Permit			

Bridge Plan	N/A	X	IN
Match Of Wingwalls To Walls On District PS&E			
Items To Be Included On Plans			
Gravel Backfill			
Drainage			
Barrier			
Approach Slabs			
Slope Protection			
Conduit Runs			
Aesthetic Appearance Of Bridge Connection To Barrier Or Guardrail			
Log Of Test Boring Prepared			
Profile, Alignment, And Station Match PS&E			

Traffic Control Plans	N/A	X	IN
Project Specific Traffic Control Plans			
Detour Plan If Needed - May Require Agreements Through Local Programs			
Detour Sign Details			

Traffic Control Plans (continued)

Bid Items Required For:

N/A	X	IN		N/A	X	IN	
			Change Mess Sign				Sign Cover
			Chann. Devices				Temp. Conc. Barr
			Const. Sign Class A				Temp. Illum. Sys.
			Contr. Furn. Const. Sign				Temp. Impact Atten.
			Contr. Piolt. Traff. Control				Temp. Inert. Barr. Config
			Deline. Light				Temp. Pave. Mark.
			Emerg. Traff. Control				Temp. Sig. Sys.
			Rem. Temp. Pave. Mark				Traff. Control Labor
			Reset. Conc. Barr.				Traff. Control Super.
			Reset. Deline. Light				Traff. Control Vehicle
			Reset Temp. Imp. Atten.				Traff. Safe. Drum
			Reset Temp. Inert. Barr				Type III Barr.
			Sequent. Arrow Sign				

Traffic Control Plans	N/A	X	IN
Reasonable Quantities For Traffic Control Items - Send To Constr. Proj. Engr.'s For Approval			

Special Provisions	N/A	X	IN
Notice To All Planholders			
Table Of Contents - Computer Generated			
Amendments And GSP's Arranged In Proper Order			
Revisions To All Division 1 Specifications Approved			
Appendix prepared (Good Reproducible Copy)			
Special Provisions For All Non-Standard Items Standard Items Table Is A Guide To What Items Need Specials: Need A Special Provision For Each Item That Appears On The Summary Of Quantities That Is Not Covered In Standard Specifications			
Sales Tax Checked, Appropriate GSP Used			
Special Provision For Agree, Stipulation			
Check Amendments And GSP's Against Up-to-date Index List			
Any Fed. Money In A Proj. Requires All Fed Provision Per GSP Index			
Prevention Of Environmental Pollution And Preservation Of Public Natural Resources (HB 621) Environmental Regulations - Verify Correct For Location			
Obtain Copy Of Any New Ordinance And Get It Added To GSP's			
Archeological, Paleontological			
Wildlife, Fisheries And Pollution Regulations			
Additonal Requirements Requested By F & W Etc., (From HPA, WPCP)			
Expiration Date Of Permit And Work "Windows'			
Trainees - Determined In Headquarters			
MBE Goal - Determined In Headquarters			
RR Provisions			
Compare To Local Map To Find RR Lines			

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Job Title	Project No.

X Items Required On This Project **IN** Initial When Complete

Special Provisions (continued)	N/A	X	IN
Include RR GSP And Mention In Transmittal Letter			
Forest Practices Permit: Merchantable Timber 5,000 Or More Board Feet (One Logging Truckload) Use GSP			
Traffic			
Work Period Specs			
Lane Closure Hours With Appropriate Liquid. Damages			
Construction Impact Specs.			
METRO Notification Paragraph			
Time For Completion (Be Very Careful To Select Correct GSP For Intended Purpose)			
Signal Jobs With State Furnished Equipment Have A Unique Provision			
Clearing And Grubbing Including Disposal Of Debris Per Design Manual Removal Of Structures And Obstructions Per GSP Instructions			
Anticipated Quantities Must Be Listed			
Salvaged Items (Verify With Maint.)			
Disposal Of Material (State Waste Site May Require Haul Road Agreements)			
Roadside Seeding Including Fertilizer Application			
Correct Seeding Specification			
Provide For 2nd App. Of Fertilizer After Contract Comp. - Not All Jobs			
Pay Item Must Match Summ. Quant.			
Verify Ref. To Std. Spec. And Std. Plans			
Correct Seeding Specification			
Provide For 2nd. App. Of Fertilizer After Contract Comp. - Not All Jobs			
Pay Item must Match Summ. Quant.			
Verify Ref. To Std. Spec. And Std. Plan			

Estimate	N/A	X	IN
Estimate Entered In BASS			
If Estimate Exceeds Budget Inform Prog. Man. & Proj. Dev. Calc. Of Lump Sum Items			
Compare Against Recent Bid History (Price Check)			
Group Description To Match Appendix 3-13			
Extra Construction State Forces Listed			
Extra Construction Agreement Listed			
Agreement Costs Included			
Below-The-Line Costs For R.R. Flagging (Amount Over $5000)			
Pit Amortization			
Royalties			
Calc. For Paths and Trails			

Miscellaneous	N/A	X	IN
Justification For Proprietary Items (F.A. Proj.)			
Justification For State Furnished Material Including Pit Site And Stockpile Material (F.A. Proj.)			
Justification For Mandatory Use Of Disposal Site (F.A. Proj.)			
Justification For Local Agency Work (All Proj.)			
Justification for Non-Standard Items			
Justification For No Pipe Alternates			
Data For Liquidated Damages From Traffic Data Office			
Data For Incent./Disincent. From Traffic Data Office			
Review In Field For Utility Agree. Needs			
Utility Agreements Work Included			
Haul Road Agreement Checked			
Review Items In Clear Zone Inventory For Removal			
Is Stur. Exc. Cl. B And Stru. Exc. Cl. B Incl. Haul Being Used Correctly			
Use The Item "Anti-Stripping Additive" For Over 200 Tons Of ACP			

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Project Information

State/Local Project Number – For WSDOT projects, this is the work order number or WIN. For local projects, this field is for local agency use/tracking.

Project Name – Provide the name of the project as it is listed in the State Transportation Improvement Plan (STIP).

Federal Aid Project Number – This number will be assigned by WSDOT. Contact the Region Local Programs staff to obtain this number.

NEPA Category – Check the appropriate box:

- Environmental Impact Statement (EIS). Refer to Section 24.21 of the *Local Agency Guidelines*.
- Categorical Exclusion (CE), Documented Categorical Exclusion (DCE), and Programmatic Categorical Exclusion (Programmatic CE). Refer to Section 24.22 of the *Local Agency Guidelines*.
- Environmental Assessment (EA). Refer to Section 24.23 of the *Local Agency Guidelines*.

Region or Agency – Fill in with the WSDOT Region or Local Agency requesting the finding.

Amount – Fill in the total amount of the request.

Full Oversight – Is this an FHWA full oversight project? If not certain, contact your Local Programs Engineer.

Public Interest Finding (PIF) Information

Select Type of PIF – Use the pull down menu to select the PIF that fits the project.

Regulatory Reference – This field is automatically filled in when you select the PIF.

Justification or Supporting Information

Goal Statement – What is being accomplished/what is the outcome for using a Patented/Proprietary item.

Description of Work – Provide a detailed description of why Patented/Proprietary items are needed.

Justification or Supporting Information

The use of trade names in specifications and on plans should be avoided. Instead, specifications should be formulated to assure full opportunity for competition among equivalent materials, equipment, and methods. Specifying patented or proprietary material, products or processes is allowed for federal aid projects only under one of the following conditions:

- At least three names of acceptable materials or products, if available, are listed together with a list of the required features and specifications that will be considered equal to the listed items.
- The agency is requiring a specific material or product and a written Public Interest Finding (PIF) document has been prepared and approved by H&LP.
- The material or product has been approved through FHWA as an experimental feature.

Cost Effectiveness Determination

- Attach a detailed estimate for the Patented/Proprietary items (see Appendix 44.81).
- Provide an explanation of cost effectiveness (see example).

Schedule Issues – N/A

Buy America Compliance

- Steel and iron that is permanently incorporated into the project shall consist of American-made materials, as outlined in the required GSP.
- The local agency must include a provision containing the "Buy-America" requirements in each contract. General Special Provisions similar to those now used by WSDOT can be used by the local agency. These general special provisions are included in the WSDOT Amendments and General Special Provisions publication.
- Purchase of foreign steel and iron products by local agencies for installation on a federally funded project is not allowed except to the limit allowed by the "Buy America" General Special Provision.
- The agency must document the sources of steel and iron by having a "Certification of Materials Origin" on file.

Conclusion

- A brief summary of the overall benefits and cost effectiveness.
- Approval by WSDOT Highways and Local Programs is required.
- Approval is dependent on demonstration of overall cost effectiveness and public benefit. The determination is not solely dependent on cost savings.
- At least one signature from the local agency is required.

Project Information

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- Environmental Assessment (EA). Refer to Section 24.23 of the *Local Agency Guidelines*.

Region or Agency – Fill in with the WSDOT Region or Local Agency requesting the finding.

Amount – Fill in the total amount of the request.

Full Oversight – Is this an FHWA full oversight project? If not certain, contact your Local Programs Engineer.

Public Interest Finding (PIF) Information

Select Type of PIF – Use the pull down menu to select the PIF that fits the project.

Regulatory Reference – This field is automatically filled in when you select the PIF.

Justification or Supporting Information

Goal Statement – Why is there a need for a two-week advertisement.

Description of Work – Provide a summary description of project.

Justification or Supporting Information

Cost Effectiveness Determination

- Attach a summary level estimate.
- Provide an explanation of cost effectiveness (see example).

Schedule Issues – Explain how the agency will deliver the project and describe if there is a benefit to the public for early completion.

Buy America Compliance

- Steel and iron that is permanently incorporated into the project shall consist of American-made materials, as outlined in the required GSP.
- The local agency must include a provision containing the "Buy-America" requirements in each contract. General Special Provisions similar to those now used by WSDOT can be used by the local agency. These general special provisions are included in the WSDOT Amendments and General Special Provisions publication.
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Conclusion

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- Environmental Assessment (EA). Refer to Section 24.23 of the *Local Agency Guidelines*.

Region or Agency – Fill in with the WSDOT Region or Local Agency requesting the finding.

Amount – Fill in the total amount of the request.

Full Oversight – Is this an FHWA full oversight project? If not certain, contact your Local Programs Engineer.

Public Interest Finding (PIF) Information

Select Type of PIF – Use the pull down menu to select the PIF that fits the project.

Regulatory Reference – This field is automatically filled in when you select the PIF.

Justification or Supporting Information

Goal Statement – What is being accomplished/what is the outcome for using Mandatory Borrow or Disposal Site.

Description of Work – Provide a detailed description of work to be done.

Justification or Supporting Information

Cost Effectiveness Determination – Provide an explanation of cost effectiveness (see example).

Schedule Issues – Explain how the agency will deliver the project and describe if there is a benefit to the public for early completion.

Buy America Compliance

- Steel and iron that is permanently incorporated into the project shall consist of American-made materials, as outlined in the required GSP.
- The local agency must include a provision containing the "Buy-America" requirements in each contract. General Special Provisions similar to those now used by WSDOT can be used by the local agency. These general special provisions are included in the WSDOT Amendments and General Special Provisions publication.
- Purchase of foreign steel and iron products by local agencies for installation on a federally funded project is not allowed except to the limit allowed by the "Buy America" General Special Provision.
- The agency must document the sources of steel and iron by having a "Certification of Materials Origin" on file.

Conclusion

- A brief summary of the overall benefits and cost effectiveness.
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- Environmental Assessment (EA). Refer to Section 24.23 of the *Local Agency Guidelines*.

Region or Agency – Fill in with the WSDOT Region or Local Agency requesting the finding.

Amount – N/A

Full Oversight – Is this an FHWA full oversight project? If not certain, contact your Local Programs Engineer.

Public Interest Finding (PIF) Information

Select Type of PIF – Use the pull down menu to select the PIF that fits the project.

Regulatory Reference – This field is automatically filled in when you select the PIF.

Justification or Supporting Information

Goal Statement – What is being accomplished/what is the outcome for using agency supplied equipment.

Description of Work – Provide a detailed description of equipment being used.

Justification or Supporting Information

Cost Effectiveness Determination – Provide an explanation of cost effectiveness (see Example).

Schedule Issues – Explain how the agency will deliver the project and describe if there is a benefit to the public for early completion.

Buy America Compliance

- Steel and iron that is permanently incorporated into the project shall consist of American-made materials, as outlined in the required GSP.
- The local agency must include a provision containing the "Buy-America" requirements in each contract. General Special Provisions similar to those now used by WSDOT can be used by the local agency. These general special provisions are included in the WSDOT Amendments and General Special Provisions publication.
- Purchase of foreign steel and iron products by local agencies for installation on a federally funded project is not allowed except to the limit allowed by the "Buy America" General Special Provision.
- The agency must document the sources of steel and iron by having a "Certification of Materials Origin" on file.

Conclusion

- A brief summary of the overall benefits and cost effectiveness.
- Approval by WSDOT Highways and Local Programs is required.
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- Environmental Assessment (EA). Refer to Section 24.23 of the *Local Agency Guidelines*.

Region or Agency – Fill in with the WSDOT Region or Local Agency requesting the finding.

Amount – Fill in the total amount of the request.

Full Oversight – Is this an FHWA full oversight project? If not certain, contact your Local Programs Engineer.

Public Interest Finding (PIF) Information

Select Type of PIF – Use the pull down menu to select the PIF that fits the project.

Regulatory Reference – This field is automatically filled in when you select the PIF.

Justification or Supporting Information

Goal Statement – What is being accomplished/what is the outcome for using agency supplied materials.

Description of Work – Provide a detailed description of why agency supplied materials are needed.

Justification or Supporting Information

Cost Effectiveness Determination

- Attach a detailed estimate for the material supplied (eee Appendix 44.81).
- Provide an explanation of cost effectiveness (see example).

Schedule Issues – Explain how the agency will deliver the project and describe if there is a benefit to the public for early completion.

Buy America Compliance

- Steel and iron that is permanently incorporated into the project shall consist of American-made materials, as outlined in the required GSP.
- The local agency must include a provision containing the "Buy-America" requirements in each contract. General Special Provisions similar to those now used by WSDOT can be used by the local agency. These general special provisions are included in the WSDOT Amendments and General Special Provisions publication.
- Purchase of foreign steel and iron products by local agencies for installation on a federally funded project is not allowed except to the limit allowed by the "Buy America" General Special Provision.
- The agency must document the sources of steel and iron by having a "Certification of Materials Origin" on file.

Conclusion

- A brief summary of the overall benefits and cost effectiveness.
- Approval by WSDOT Highways and Local Programs is required.
- Approval is dependent on demonstration of overall cost effectiveness and public benefit. The determination is not solely dependent on cost savings.
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Project Information

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- Categorical Exclusion (CE), Documented Categorical Exclusion (DCE), and Programmatic Categorical Exclusion (Programmatic CE). Refer to Section 24.22 of the *Local Agency Guidelines*.
- Environmental Assessment (EA). Refer to Section 24.23 of the *Local Agency Guidelines*.

Region or Agency – Fill in with the WSDOT Region or Local Agency requesting the finding.

Amount – Fill in the total amount of the request.

Full Oversight – Is this an FHWA full oversight project? If not certain, contact your Local Programs Engineer.

Public Interest Finding (PIF) Information

Select Type of PIF – Use the pull down menu to select the PIF that fits the project.

Regulatory Reference – This field is automatically filled in when you select the PIF.

Justification or Supporting Information

Goal Statement – What is being accomplished/what is the outcome for the work being completed by local forces.

Description of Work – Provide a detailed description of work to be done by agency forces.

Justification or Supporting Information

Cost Effectiveness Determination

- Attach a detailed estimate. Costs for construction prices should be based on unit price history. Agency force cost estimates need to detail labor, equipment, materials, and agency overhead costs (see example).
- Provide an explanation of cost effectiveness (see example).

Schedule Issues – Explain how the agency will deliver the project and describe if there is a benefit to the public for early completion.

Buy America Compliance

- Steel and iron that is permanently incorporated into the project shall consist of American-made materials, as outlined in the required GSP.
- The local agency must include a provision containing the "Buy-America" requirements in each contract. General Special Provisions similar to those now used by WSDOT can be used by the local agency. These general special provisions are included in the WSDOT Amendments and General Special Provisions publication.
- Purchase of foreign steel and iron products by local agencies for installation on a federally funded project is not allowed except to the limit allowed by the "Buy America" General Special Provision.
- The agency must document the sources of steel and iron by having a "Certification of Materials Origin" on file.

Conclusion

- A brief summary of the overall benefits and cost effectiveness.
- Approval by WSDOT Highways and Local Programs is required.
- Approval is dependent on demonstration of overall cost effectiveness and public benefit. The determination is not solely dependent on cost savings.
- At least one signature from the local agency is required.

Agency Forces Guardrail Installation

Project:
Location:
Project Number:

Class	Rate	Quantity	Hours	Amount
39-5	$31.23	1	5	$156.15
6-5	$28.94	0	0	$0.00
5-5	$27.57	1	25	$689.25
4-5	$26.21	3	25	$1,965.75
3-5	$24.92	1	25	$623.00
2-5	$23.66	0	0	$0.00
1-5	$22.26	0	0	$0.00
		Subtotal		$3,434.15
		Fringe Benefits at 53%		$1,820.10
		Labor Total		$5,254.25
		Admin/Overhead at 15%		$788.14
		Total		$6,042.39

Equipment	Rate	Quantity	Hours	Amount
Flatbed	$10.00	1	25	$250.00
Equipment Trailer	$8.63	1	25	$215.75
Backhoe	$20.00	1	0	$0.00
Post Driver Truck	$22.44	1	25	$561.00
Pickup Truck	$4.48	1	5	$22.40
		Equipment Total		$1,049.15

Materials	Cost	Quantity	Amount
E-T 2000 G.Rail end Term	$2,740.00	1	$2,740.00
STD Guardrail-Core Tin	$141.00	73	$10,293.00
Flared End Term.	$1,350.00	1	$1,350.00
Type 10 Anchor	$700.00	0	$0.00
Type 21 (L) Trans.	$900.00	0	$0.00
Type 21 (R) Trans.	$900.00	0	$0.00

Quad guard Reflectors	$4.00		18	$72.00
6"x8"x6' Wood Post	$22.92		147	$3,369.24
6"x8"x6' Steel Post	$54.29		0	$0.00
6"x8"x8' Steel Post	$66.95		0	$0.00
6"x8"x9' Steel Post	$80.60		0	$0.00
6"x8"x11' Steel Post	$91.80		0	$0.00
6"x8"x14" Blocks	$6.00		147	$882.00
6"x8"x45" Posts	$23.00		4	$92.00
Bolts, Nuts and Washers	$5.30		151	$800.30
		Materials Subtotal		$19,598.54
		Tax		$1,685.47
		Materials Total		$21,284.01
		Total		$28,375.55

Washington State Department of Transportation

Public Interest Finding

Project Information

State/Local Project Number

Project Name: County Wide Sign Upgrades

Federal Aid Project Number

NEPA Category: ☒ CE ☐ EA ☐ EIS

NEPA Clearance Date: 6/22/2010

Region or Agency

Amount

Full Oversight: ○ Yes ○ No

Public Interest Finding (PIF) Information

Select Type of PIF: 2-Week Advertisement

Regulatory Reference: 23 CFR 635.112

The following requirement can be found in the Local Agency Guidelines (LAG) Manual chapter 46: Projects must be advertised a minimum of two weeks. Two week advertisement periods require approval from FHWA and must document justification of why a shorter advertisement period is necessary. Examples for requesting shorter advertising periods are as follows: Emergency correction of roadways or bridges, To meet the conditions of an environmental permit (fish windows), To meet the conditions of a Bureau of Reclamation Permit (Irrigation Canal), To complete project prior to a school district opening in the fall. In addition, the justification for the two week ad request should include the following: Will the shorter ad period limit the competition? Will the shorter ad period increase the overall cost of the project? Does the project include a Disadvantaged Business Enterprise (DBE) goal and will it allow the subcontractors sufficient time to submit a bid to the proposal holders?

Justification or Supporting Information

Goal Statement

The primary goal of this project is to improve signing where accident histories have identified problem areas. In addition, this project will assist in upgrading a portion of Stehekin County road signs to meet the new retro-reflectivity requirements required by 2015. This project does not provide sufficient funding to improve all locations or replace all signs on the arterial system in Stehekin County but it will address some key locations.

Description of Work

The project involves identifying the need for replacement or new installations of various caution/warning signs on approximately 300 miles of Stehekin County roads currently functionally classified as major collectors.

Accident histories will be used to identify locations where current signing may not be providing adequate warning by being too small, unclear, or not in the correct location. Additionally, these new and/or replacement signs will meet the new retro-reflectivity requirements of the MUTCD.

(Please keep answers within the text boxes and attach additional sheets as needed)

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04/2012

Public Interest Finding - Continuation
County Wide Sign Upgrades

Justification or Supporting Information

Cost Effectiveness Determination

The use of agency forces minimizes costs associated with contract document development and grant and contract administration, accomplishing more safety improvements for the funds granted.

If the work were to be contracted, either the County would need to include alternates by specific roads in order to reduce the contract price to fit within the funding or reduce the number of signs originally bid and change order more in as the project progresses, thereby reducing the overall impact and effectiveness of the proposed project.

Estimate attached. (See Appendix A for an example of an estimate.)

Schedule Issues

Contracting the work would include preliminary data collection (6 weeks) that would be required for a bid package as well as the time required to assemble the package (4 weeks), WSDOT review (2-3 weeks), advertising (3 weeks), awarding (1 week), contract execution (up to 4 weeks) plus contract time of 160 days (32 weeks) using a two-man crew shorter contract times would add to administration costs for field inspection, contract closeout (up to 3 months).

Use of Agency Forces would only require the most rudimentary set of plans and specifications allowing for materials to be ordered and work to begin as soon as materials began arriving. The replacement signs and new installations would be in place up to 4 months before a contractor would be able to place them with minimal administrative costs.

Buy America Compliance

All material procurement contracts will include Buy America Provisions.

Conclusion

More safety improvements for the same grant; 60% plus of the project cost will be for materials; substantially less administration for Agency Forces versus Contracting; safety improvements will be on the ground quicker and finally the cost/benefit is substantially higher with Agency Forces (cost per sign $63.48) doing the work than having a contractor (cost per sign $100.90) perform the same work.

For the reasons listed above, Stehekin County feels that the proposed project can be accomplished in a more efficient and cost-effective manner by Agency Forces than by contracting out.

(Please keep answers within the text boxes and attach additional sheets as needed)

Approvals

Name	Signature	Date
Name	Signature	Date
Name	Signature	Date
Name	Signature	Date

DOT Form 140-050 EF
04/2012

Chapter 45 State Advertising and Award Procedures

This chapter is used by local agencies wanting the Washington State Department of Transportation (WSDOT) to advertise and award their Federal Highway Administration (FHWA) construction contracts. For these agencies, Chapter 51 will also apply.

45.1 General Discussion

The documents that the local agency must submit to WSDOT in order to have a project advertised and awarded by the state are listed in Chapter 51, which describes the procedures for advertising and awarding a construction contract when WSDOT is the awarding authority.

WSDOT will administer the project either in accordance with the *Construction Manual* M 41-01 or this manual.

45.2 Submittals

When WSDOT is to advertise and award a construction contract on an FHWA project, the local agency will prepare and submit the following documents to WSDOT. Additional details on the content and format of these documents are found in Chapter 44 and in the *Construction Manual* M 41-01.

.21 Contract Plans, Specifications, and Estimates (PS&E) – The originals and one copy of these shall be submitted to the Region Local Programs Engineer. Review of the PS&E and bridge plans by WSDOT must be scheduled well in advance of the advertising date of the project. WSDOT review time on complex projects varies between 12 to 18 weeks depending on the type of project. Contact the Region Local Programs Engineer to coordinate the submittal time of the PS&E and bridge plans and for an advance estimate of the time and cost for the reviews.

.22 Local Agency Letter of Financial Responsibility – See Chapter 44 and Appendix 44.72.

45.3 Procedures

.31 Advertising and Award – The following process will be used for reviewing contract documents, advertising for bids, evaluating bids, and awarding a construction contract.

a. The local agency prepares the PS&E package and submits it to the Region Local Programs Engineer.

b. WSDOT will review and concur with the PS&E.

c. A WSDOT Project Engineer is assigned to administer the project construction (see Chapter 51).

d. After WSDOT's review and concurrence, an advertising date is set. WSDOT sends out office copies of the PS&E to the local agency and other offices within WSDOT for their final review prior to advertising.

e. WSDOT advertises the project for at least three weeks.

f. On the date established in the bid advertisement, WSDOT opens and reads the bids received (see Appendix 44.72).

g. WSDOT tabulates and evaluates the bids. consults with the local agency prior to the project award.

   If the lowest responsible bid does not exceed the engineer's contract estimate by more than 10 percent, the region awards the contract.

   If the lowest responsible bid exceeds the engineer's estimate by more than 10 percent, WSDOT shall submit a copy of the bid, a tabulation of all bids, justification to accept or reject the bid, and any other related documents to the local agency for approval or disapproval.

h. If approval is made by the local agency, the region will award and execute the contract to the lowest responsible bidder.

i. The Local Agency Agreement must be supplemented if any overrun or underrun occurs beyond the authorized amount. See Section 22.3.

j. WSDOT administers the project in accordance with department policy.
   Note: Before award, the Local Agency Agreement must be supplemented when the contract amount is greater than the authorized amount.

k. WSDOT bills the agency in accordance with the terms of the Local Agency Agreement.

Chapter 46 Local Advertising and Award Procedures

This chapter is used by local agencies operating under Certification Acceptance (Chapter 13) and choosing to advertise and award construction contracts themselves. Chapter 52 will also apply to these agencies.

Local agencies wanting to have the Washington State Department of Transportation (WSDOT) administer their construction contracts should refer to Chapter 51.

46.1 General Discussion

Local agencies may let contracts for their projects provided that the following conditions are met:

.11 The local agency uses the advertising and award procedures outlined in this section to advertise for bids, select the responsible bidder with the lowest responsive bid, and award the contract.

.12 A Local Agency Agreement between the state and local agency is in effect setting forth the conditions under which the project will be constructed.

.13 The local agency is participating in the cost of the project or has other special interests in it.

.14 The local agency is certified for project administration in accordance with Chapter 13.

No project can be advertised until the following has been completed:

- PS&E approved.
- The environmental document is approved.
- The project's right of way has been certified.
- Project Disadvantaged Business Enterprise (DBE) and Training goals have been established.
- Construction funds have authorized Highways and Local Programs (H&LP).
- A contract number has been obtained from the Region Local Programs Engineer.
- FHWA has authorized the project in FMIS.

46.2 Procedures

.21 Funding – A Local Agency Agreement and construction funds must be authorized by the H&LP before a contract is advertised.

.22 Bidding Procedures – The local agency is prohibited from establishing any procedures or requirements for qualification or licensing of contractors, which prevents the submission of bids or prohibits consideration of bids submitted by any responsible contractor, whether resident or nonresident of the state, except as outlined.

The prequalification of prospective bidders is the responsibility of the local agency. WSDOT will not prequalify prospective bidders for local agency projects. A local agency may at its option use the WSDOT prequalification procedure specified in the *Standard Specifications* M 41-10. If another procedure is used, it must be approved by FHWA prior to use. When an agency does not prequalify prospective bidders, they should afford ten days after notification for the low bidder to provide evidence of capability to perform the work.

When evaluating whether or not the Bidder is qualified to perform the work the following information should be considered:

- Experience
- Personnel
- Equipment
- Financial Resources
- Performance Record

Qualifications must, at a minimum, consist of bonding capability as required by state law and compliance with licensing requirements of state law. The local agency may include additional requirements.

When the DBE participation goal is included in the contract provisions, meeting the goal is part of the bidding requirements, as explained in Chapter 26 and Chapter 44.

For all FHWA projects, bidding opportunities, on a nondiscriminatory basis, shall be afforded to all qualified bidders regardless of state boundaries, race, sex, color, or national origin.

No bidder shall be disqualified or prevented from competitive bidding by restricting the purchase of a surety bond or insurance policy from any surety or insurer outside the state and authorized to do business with the state.

.23 Preparation of the Project Proposal – See WSDOT *Standard Specifications* Section 1.02.6.

.24 Advertising of the Project – Federal aid projects shall be advertised for a three-week period prior to opening of bids. The contract advertisement period shall be as follows: Projects shall be advertised in the local agency's official legal publication at least twice, 20 calendar days prior to the last date upon which the bids will be received. The agency will award and execute the contract to the responsible bidder with the lowest responsive bid unless the agency decides that all bids are to be rejected. Highways and Local Programs must concur when rejecting all bids. An advertisement period less than three weeks may be approved in special cases when justified. Shortened advertisement periods shall be no less than two weeks and require approval from FHWA. Approval must be properly documented in the project file. Examples for requesting shorter advertising periods are as follows:

- Emergency correction of roadways or bridges.
- To meet the conditions of an environmental permit (fish windows).

- To meet the conditions of a Bureau of Reclamation Permit (Irrigation Canal).
- To complete project prior to a school district opening in the fall.

In addition, the justification for the two week ad request should include the following:

- Will the shorter ad period limit the competition?
- Will the shorter ad period increase the overall cost of the project?
- Does the project include a Disadvantaged Business Enterprise (DBE) goal and will it allow the subcontractors sufficient time to submit a bid to the proposal holders?

The project will be advertised in the official legal publication for the agency and, if necessary, other newspapers to provide the widest possible coverage commensurate with the size of the project. Affidavits of publication must be in the project file.

The local agency will comply with the standard USDOT Title VI Assurances by inclusion of the following language in the solicitations for bids:

> "The (Local Agency) in accordance with Title VI of the Civil Rights Act of 1964, 78 Stat. 252, 42 USC 2000d to 2000d-4 and Title 49, Code of Federal Regulations, Department of Transportation, Subtitle A, Office of the Secretary, Part 21, Nondiscrimination in Federally-Assisted Programs of the Department of Transportation issued pursuant to such Act, hereby notifies all bidders that it will affirmatively ensure that in any contract entered into pursuant to this advertisement, disadvantaged business enterprises as defined at 49 CFR Part 26 will be afforded full opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, national origin, or sex in consideration for an award."

Should an addendum be necessary during the advertising period to correct or add something to the bid or plan data, such addenda if **minor** shall be approved by the CA local agency prior to transmittal to all the plan holders. A **major** addendum, which constitutes a change that significantly affects the cost of the project to the FHWA or alters the termini, character, or scope of the work requires HQ H&LP approval. Each bidder shall present with their bid written notice of their receipt of each addendum received.

.25 Bid Opening – All bids received in accordance with the terms of the advertisement shall be publicly opened and announced, either item by item or by total amount.

If any bid received is not read, the name of the bidder and the reason for not reading the bid shall be publicly announced at the bid opening.

Neogotiation with contractors, during the period following the opening of bids and before the award of the contract is not permitted.

Adequate justification for rejecting any bids must be documented by the local agency.

.26 Evaluation of Bids for Award – The local agency shall verify that all required bid documents have been properly submitted and executed by all bidders. All bids are then reviewed for accuracy, unbalancing of bid items, etc., and tabulations checked and confirmed. Any corrections to the bid tabulations are made, if necessary, in accordance with *Standard Specifications* Section 1-02 and 1-03.

In order for a bid to be considered responsive, a bid deposit of at least 5 percent of the total bid proposal must accompany each bid. In accordance with *Standard Specifications* Section 1 02.7, the Proposal Bond shall not be conditioned in any way to modify the minimum 5 percent required.

When there is a specified DBE goal for the project, the successful bidder will be selected on the basis of having submitted: (1) the lowest responsive bid which has met the DBE goal; or (2) when the DBE participation is less than the specified goal, responsiveness will be determined on the basis of good faith efforts to attain the goal. All agencies that have projects with mandatory DBE goals must submit the bid tabs, the DBE Utilization Certification and the DBE Written Confirmation Document of the apparent low bidder to the Region Local Programs Engineer (LPE) to obtain concurrence to award before the contract is officially awarded to the apparent low bidder. Failure to gain LPE concurrence prior to award on every project with DBE goals and subsequent award of a contract to a nonresponsive bidder will jeopardize the project's federal funding. For more information on DBE program requirements, see Chapter 26.

The local agency shall prepare a tabulation of bids showing the item details for at least the three lowest acceptable bids.

On projects where the lowest responsible bid exceeds the engineer's estimate, it is the local agency's decision whether or not to award the project. Reasons for justifying award:

- There was adequate competition for the project location and/or type of work.
- The project is essential to the public interest (safety, emergency repair, etc.).
- There was a significant error in the engineer's estimate.
- If advertising again would likely result in higher bids.

If the local agency determines that the lowest bidder is not qualified or deemed non-responsive, it shall document those findings prior to awarding the bid to the next lowest responsive bidder.

The Local Agency Agreement must be supplemented if any overrun or underrun occurs beyond the authorized amount. See Section 22.3.

The original signed Supplemental Agreement form must be submitted to the Region Local Programs Engineer. This supplemental agreement form will be retained by WSDOT. It is the responsibility of the local agency to submit an additional supplemental agreement form or copy if they need an executed supplemental agreement for their files.

.27 Award of Contract – After bids have been tabulated and evaluated in accordance with the procedures described above, the construction contract may be awarded to the responsible bidder with the lowest responsive bid. Projects with DBE goals must have concurrence of the Region Local Programs Engineer prior to award. Failure to obtain LPE approval will jeopardize the project's federal funding. Prior to award, agencies must verify contractor status with the Excluded Parties Listing System (EPLS) at www.epls.gov/ to determine if a contractor has been excluded from bidding on a federal aid contract. The results of that search will be documented to the project file. EPLS is the electronic version of the Lists of Parties Excluded from Federal Procurement and Nonprocurement Programs (Lists), which identifies those parties that have been suspended, debarred, or otherwise excluded from bidding on federal procurement and nonprocurement contracts. Construction contracts awarded to firms listed on the Excluded Parties Listing will not be eligible for federal aid reimbursement.

After award by the local agency, the contractor must be advised of the award in writing. For an example of an award letter for a contract that has an identified DBE goal, see Appendix 46.42. The second, third, fourth, and fifth paragraphs must be included in the local agency letter. An award letter for contracts without a DBE goal can be similar but would not include the second, third, fourth, and fifth paragraphs.

.28 Execution of Contract – Local agencies shall not execute a contract with any contractor who is not registered or licensed in accordance with state laws.

The local agency prepares the necessary documents and forwards them for execution by the successful bidder and the proper officials of the local agency.

An example of a standard contract agreement is in Appendix 44.73. The Region Local Programs Engineers can furnish these standard forms upon request.

46.3 Submittal of Award Data

Before construction begins, the local agency must submit the following information to the Region Local Programs Engineer:

- Tabulation of bids.
- Engineer's estimate.
- Award letter to the contractor.
- Names and addresses of all firms that submit a quote to the successful low bidder.
- DBE Utilization Certification, DOT Form 272-056A (if applicable).
- DBE Written Confirmation Document, DOT Form 422-031A (if applicable).

Failure to submit the above listed information, before construction begins, will result in a delay of reimbursement for the billed cost, until the information is received.

46.4 Appendices

46.41 Advertisement – Example

46.42 Condition of Award Letter – Example

46.43 Award Letter – Example

46.44 Contract Bond – Example

INVITATION TO BID
LOCAL AGENCYS LETTERHEAD
DEPARTMENT OF ENGINEERING
WASHINGTON

Sealed bids will be received by the (Local Agency), at the reception desk located in Room _____ of the _____, Washington until _____ a.m. on _____ and will then and there be opened and publicly read for the construction of the improvement(s).

All bid proposals shall be accompanied by a bid proposal deposit in cash, certified check, cashier's check, or surety bond in an amount equal to five percent (5%) of the amount of such bid proposal. Should the successful bidder fail to enter into such contract and furnish satisfactory performance bond within the time stated in the specifications, the bid proposal deposit shall be forfeited to the (Local Agency).

The right is reserved to reject any and all bids and to waiver informalities in the bidding.

Maps, plans, and specifications may be obtained from this office upon payment of the amount of $_____.

Informational copies of maps, plans and specifications are on file for inspection in the Office of the Local Agency Engineer, (Local Agency), Washington.

The following is applicable to federal aid projects.

> **The (Local Agency) in accordance with Title VI of the Civil Rights Act of 1964, 78 Stat. 252, 42 U.S.C. 2000d to 2000d-4 and Title 49, Code of Federal Regulations, Department of Transportation, subtitle A, Office of the Secretary, Part 21, nondiscrimination in federally assisted programs of the Department of Transportation issued pursuant to such Act, hereby notifies all bidders that it will affirmatively insure that in any contract entered into pursuant to this advertisement, disadvantaged business enterprises as defined at 49 CFR Part 26 will be afforded full opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, national origin, or sex in consideration for an award.**

The improvement for which bids will be received is described below:

*This bolded paragraph cannot be reworded for FHWA funded projects.

Date of Award

To: — contractor —

Project Title
FA No.
Contract No.

This will advise that the contract for the above referenced project has been awarded to your firm at your bid price of $_____.

This letter shall become a contract specification at the time of award.

It is the policy of the United States Department of Transportation and the — local agency's name — that Disadvantaged Business Enterprises (DBE), as defined in the specifications for this contract, shall have the maximum opportunity to participate in the performance of contracts financed in whole or in part with federal funds. Consequently, (except as specifically provided in the specifications for this contract) the requirements of 49 CFR 26 apply to this contract.

As contractor, you are agreeing to ensure that DBE as defined in the specifications of this contract have the maximum opportunity to participate in the performance of this contract. In this regard, you are obliged to take all necessary and reasonable steps in accordance with 49 CFR 26 to ensure DBEs are informed of this project and given equal consideration in awarding of work. You are legally bound not to discriminate on the basis of race, color, national origin, or sex in the performance of this contract.

The award of this contract was made with the understanding that the firms listed on the DBE Utilization Certification will be performing the dollar value of work as indicated.

Prior to submitting the signed contract for execution, — Company Name — will provide the following two items:

1. Breakout information for all successful DBEs as shown on the DBE Utilization Certification.
   - Correct business name, federal employer identification number (if available), and mailing address.
   - List of all bid items assigned to each DBE firm, including unit prices and extensions, indicating any anticipated sharing of resources (e.g., equipment, employees)
   - Indicate partial items – specify the distinct elements of work to be performed by the DBE firms and provide a complete description of these partial items.

     Note: Total amounts shown for each DBE shall not be less than the amount shown on the Utilization Certification.

Chapter 52 Local Administered Projects

This chapter is used for NHS and non-NHS routes by Local Agencies operating under Certification Acceptance (CA) and choosing to administer construction contracts themselves. For information on NHS System, see Appendix 12.67. In the sequence of project development, this follows Chapter 46.

Local Agencies whose construction contracts are administered by the Washington State Department of Transportation (WSDOT) should refer to Chapter 51.

Title 23 USC and 23 CFR provisions apply to all NHS Federal aid projects regardless of federal funding source or approval authority. State standards may be used on non-NHS projects, except for federal requirements pertaining to contracts (bid proposal content including Davis Bacon and DBE) and procurement procedures (competitive bidding and Brooks Act).

52.1 General Discussion

WSDOT is responsible for the proper expenditure of FHWA funds on Local Agency projects. Highways and Local Programs (H&LP) will consult and work with Local Agencies as needed and will perform systematic project management reviews to ensure that proper procedures are followed.

Except for this chapter, construction shall be administered and materials inspected, in accordance with the *Construction Manual* M 41-01. For exceptions to the *Construction Manual*, see Appendix 52.107. In case of conflicting guidelines, this chapter governs the *Construction Manual*. Agencies may chose to use their own forms provided the same information is included on the agency forms as is shown on the WSDOT forms used for the same purposes. For an understanding of WSDOT documentation requirements, use Chapter 10 of the *Construction Manual* as a guide.

All FHWA projects are subject to Disadvantaged Business Enterprise (DBE) and Equal Employment Opportunity (EEO) compliance reviews by WSDOT.

The *Standard Specifications for Road, Bridge, and Municipal Construction* M 41-10 and APWA GSP 1-01.3 define the major elements for construction contracts.

52.2 Preconstruction Conference

After a contract is awarded, the Local Agency should arrange a conference with the contractor. The Local Agency Engineer shall notify the Region Local Programs Engineer of the time and place of the conference.

On large, complex projects, a preconstruction conference should be held before each construction phase. It may be desirable to hold separate conferences for some specialized construction items such as paving, roadside planting, or electrical work. The preconstruction conference may include a partnering session, if appropriate. For a conference agenda example, refer to Appendix 52.101.

The meeting should be documented and copies of the minutes transmitted to the Region Local Programs Engineer and each agency, organization, and firm that has involvement or interest in the project (see Appendix 52.102).

52.3 Quality Control

The quality of materials and workmanship on a project must conform to the contract specifications so that the public funds expended will have purchased a safe, economical, and fully functional transportation facility.

.31 General – The source for each type of material must be approved by the Local Agency prior to use. There are two submittal processes allowed by *Standard Specifications* Section 1-06.1 for material approval in Washington State, the Qualified Product List and the Request for Approval of Materials (RAM). Contractors are encouraged to use one of these tools to request material approval or, if an agency has their own process established, to follow that.

The Qualified Product List (QPL) is compiled by the WSDOT Materials Laboratory (Mats Lab) Documentation Section and can be accessed at www.wsdot.wa.gov/biz/mats/QPL/QPl.cfm.

The Request for Approval of Material (DOT Form 350-071 EF) is a form distributed by WSDOT. Contractors may use this form to submit requests for approval for materials not found in the QPL. Some agencies have a similar form that is also acceptable.

Local Agencies requesting a Record of Materials (ROM) from WSDOT's Mats Lab should submit their request at the time of award to avoid delaying the contractor. The average processing time is approximately four weeks.

Reimbursement of FHWA funds may be denied for work done contrary to, or in disregard of, the contract documents.

Local Agencies making improvements to National Highway System (NHS) routes with federal funding must comply with the FHWA approved qualified tester program. If a Local Agency is not certified to perform the tests, they can contact a qualified testing laboratory or their Region Local Programs Engineer to make arrangements for WSDOT to perform the testing on the project.

.32 Qualified Tester Requirements – For local agencies the guidelines below apply:

a. **Construction Projects on Non-NHS Highway System** – There is no requirement for qualified testers on the non-NHS highway system. Construction projects that have FHWA funds must follow the requirements contained in this manual.

b. **Construction Projects on the NHS Highway System With No FHWA Funds** – There is no requirement for qualified testers on the NHS highway system that do not have FHWA funds in the construction phase.

c. **Construction Projects on the NHS Highway System With FHWA Funds** – Qualified Testers are required for construction projects that on the NHS highway system that have FHWA funds in the construction phase.

Agencies have several options for meeting the qualified tester requirements:

- Contract with WSDOT to perform the required tests.
- Local agency may pursue tester qualification through WSDOT for agency personnel.
- Agencies may use any AMRL R-18 laboratories qualified to test as defined by AASHTO test methods appropriate to the material. Employees of AMRL R-18 laboratories are considered qualified via the laboratory certification process. WAQTC testers may also work on NHS projects.
- Agencies may also use laboratories that are accredited by the Labor Accreditation Bureau, L-A-B for Construction Materials Testing or accredited by the Construction Materials Engineering Council's (CMEC's) ISO 17025 program. These laboratories are considered to meet the quality assurance requirements in 23 CFR 637.209(a) (2), (3), and (4).

HMA Testing – qualification is required for the following test methods:

AASHTO T168 – Sampling Bituminous Paving Mixtures

AASHTO T308-ASTM D6307 – Asphalt Content of Hot Mix Asphalt (HMA) by the Ignition Method (may substitute other AASHTO or ASTM extraction methods). Use of Ignition Method must include furnace correction factor for each mix tested.

AASHTO T209/ASTM D2041 – Rice Density

AASTHO T27/T11 – Sieve Analysis of Fine and Coarse Aggregates

AASHTO T255 – Total Evaporable Moisture Content of Aggregate by Drying

WAQTC TM6 – Moisture Content of HMA

HMA Density Testing – qualification is required in the following test method:

WAQTC TM8 – In place density of Bituminous Mixes using the nuclear Moisture-Density Gauge

Concrete testing can be performed by testers qualified by AMRL R-18 qualification in the following test methods:

AASHTO T23 – Making and Curing Concrete Test Specimens in the Field

AASHTO T119 – Standard Test Method for Slump of Hydraulic-Cement Concrete

AASHTO T152 – Air Content of Freshly Mixed Concrete by the Pressure Method

AASHTO T141/ASTM C172 – Sampling Freshly Mixed Concrete

AASHTO T309 – Temperature of Freshly Mixed Portland Cement Concrete

Laboratories must meet the AASHTO Standards for Moist Cabinets, Moist Rooms and Water Storage Tanks and be qualified to Cure, Cap and perform compression testing of test specimens.

Testers with current ACI grade 1 Concrete Testing Certification can also perform concrete field testing on NHS projects with federal funding.

Aggregate testing can be performed by laboratories qualified by AMRL R-18 in the following test methods:

AASHTO T2 – Sampling of Aggregates

AASHTO T27/T11 – Sieve Analysis of Fine and Coarse Aggregates

AASHTO T176 – Determination of the Plastic Fines in Graded Aggregate by Use of the Sand Equivalent Test

AASHTO T248 – Reducing Field Samples of Aggregates to testing size

AASHTO T255 – Total Moisture Content of Aggregate by Drying

AASHTO TP61 – Determining the Percentage of Fracture in Coarse Aggregate

Laboratories offering Embankment and Base Density field testing must be qualified to perform the following test methods:

AASHTO T224 – Correction for Coarse Particles in the Soil Compaction Test

AASHTO T310 – In-Place Density and Moisture Content of Soil and Soil Aggregate by Nuclear Method

AASHTO T99 or other approved test method of determining – Moisture Density relations of Soils

The following is a breakdown of materials and how they will be accepted.

List of Materials to Test

1. Structural Concrete
   Slump
   Air
   Temp
   Compression Testing

2. Asphalt in the roadway
   Density
   Hot Mix

3. Surfacing under roadway and bridge approaches
   Density
   Gradation and SE

4. Base material under roadway, embankments, bridge approaches
   Density
   Gradation and SE

5. Structural Grout
   Compression Testing

a. **Final Estimate (Approving Authority File)** – When the contractor has a claim pending against the Local Agency and wants to receive a final estimate, a claim must be submitted in writing, detailing the specific items and amounts. When a claim is submitted, immediately contact the Region Local Programs Engineer so that FHWA can be informed of the claim's details at an early stage. See *Standard Specifications* Section 1-09.12(2).

b. **Comparison of Preliminary and Final Quantities (Approving Authority File)** – This is a listing of items that show the preliminary and final quantities.

c. **Certified Final Bill for Utility Agreement, if applicable, to Region Local Programs Engineer.**

d. **Final Records (Approving Authority File)** – The Local Agency Project Engineer must document the work performed on the contract. Documentation consists of field books, inspector's record of field tests, Project Engineer's and inspector's diaries, all invoices, weigh bills, truck measurements, quantity tickets, receiving reports, field office ledgers, mass diagrams, cross-sections, computer listings, and work profiles. Photographs or video tapes before, during, and after construction could be useful, especially if care is taken to show any unusual conditions, equipment, or procedures.

   Final records shall be retained by the Local Agency for at least three years following acceptance of the project by H&LP. The Local Agency will receive the administrative review letter showing the starting and ending date of the three-year retention period from the Director of Highways and Local Programs Division (OMB Circular A-133).

e. **Record of Material Samples and Tests.**

f. **Materials Certification** (Appendix 52.104) – The intent of the materials certification is to assure that the quality of all materials incorporated into the project are in conformance with the plans and specifications, and thus ensure a service life equivalent to the design life.

   1. This materials certification shall be completed in accordance with *Construction Manual* Section 9-1.5 or Section 52.3 of this manual and is submitted along with the completion letter to the Region Local Programs Engineer.

g. **Affidavit of Wages Paid** – Upon completion of a contract, the prime contractor and every subcontractor or agent shall submit Form LI-700-7, Affidavit of Wages Paid, to L&I for certification of the wage rates paid on the project. Each affidavit must be accompanied by the filing fee established by L&I.

   An L&I certified copy of Form LI-700-7 from the prime contractor, and every subcontractor or agent, must be on file with the Local Agency before the retained sum will be released.

h. Release for the Protection of Property Owner and General Contractor. Form LI-263-83, is no longer furnished by L&I. The new process requires the agency to use the Labor and Industries website at https://fortress.wa.gov/lni/crpsi/ to verify that the prime contractor and all subs on the project have paid the required industrial insurance and medical-aid premiums. The UBI number for each contractor and sub is required to access the verification. The printed verification statements must be on file with the Local Agency before the retained percentage can be released.

i. DOT Form 422-102 EF, Quarterly Report of Amounts Credited as DBE Participation, shall be submitted by the contractor to the Local Agency on all projects that contain DBE goals. This form should also be submitted when a qualified DBE contractor or subcontractor is employed on a project, regardless of whether that DBE is a condition of award or not. This form is submitted on a quarterly basis in January, April, July, and October. See Chapter 26.

.84 Project Acceptance – The approving authority's approval of the final estimate will be considered as the Local Agency's acceptance of the project.

52.9 Projects Within Interstate Rights of Way

All construction, materials, and quality control requirements contained in the current editions of the *Standard Specifications* and *Construction Manual* must be incorporated into the contract. (See Chapter 14.4 for complete guidance on work within the Interstate Rights of Way.)

52.10 Appendices

52.101 Preconstruction Conference Agenda – Example

52.102 Preconstruction Conference Minutes – Example

52.103 Letter Requesting WSDOT Project, Inspection, and Acceptance – Example

52.104 Materials Certification – Example

52.105 Weekly Statement of Working Days

52.106 Change Order

52.107 Exceptions to the WSDOT *Construction Manual*

52.11 Forms

See *Construction Manual* Chapter 11

FHWA Form WH-347

Project _____ **Contract No.** _____

Checklist for Project Certification

	Yes	No	
1.	_____	_____	Request for approval of material sources was submitted for all items listed on the record of materials and as required by Chapter 9-4 of the *Construction Manual* or alternative procedures authorized by LAG Appendix 52.107.
2.	_____	_____	All preliminary samples requested by or for approval of source were submitted and approved or an alternate approval material or product was used.
3.	_____	_____	All samples and documentation including manufacturer's certificate of compliance, shop drawings, mill test certificates, etc., as required by the record of materials were submitted and subsequently approved.
4.	_____	_____	If job quantities differed from those listed on the record of materials, acceptance samples were taken at the frequency listed in Chapter 9-5.7 of the *Construction Manual* or alternative procedures authorized by LAG Appendix 52.107.
5.	_____	_____	All items requiring inspection at the point of fabrication were so inspected and were accepted at the jobsite by the presence of an approved stamp, sticker, tag, or mark.
6.	_____	_____	The results of the tests on acceptance samples indicate that the materials incorporated in the construction work, and the construction operations controlled by sampling and testing, were in conformity with the approved plans and specifications. Exceptions to the plans and specifications are explained on the back hereof (or on attached sheet).
7.	_____	_____	Items added by change order and not listed on the record of materials were accepted in accordance with procedures listed in Chapter 9 of the *Construction Manual* or alternative procedures authorized by LAG Appendix 52.107.

Note: Any "No" answers on this checklist must be fully explained and documented. Attach test reports representing nonspecification material as well as an explanation of the circumstances leading to acceptance of said material. All seven items must be completed before the project can be certified.

Certified
Signature _____ Date _____
(Approving Authority)

WASHINGTON STATE
DEPARTMENT OF TRANSPORTATION
WEEKLY STATEMENT OF WORKING DAYS

Page 1 of 1

CONTRACT NO: FEDERAL AID NO:
CONTRACTOR:

CONTRACT TITLE:
STATEMENT NO: STATEMENT DATE:

This statement shows the number of working days charged to your contract for the week ending:

DATE	WEATHER	PHASE 00		PHASE		REASON
		WORK	UNWORK	WORK	UNWORK	
	Sun	0.00	0.00	0.00	0.00	
	Mon	0.00	0.00	0.00	0.00	
	Tues	0.00	0.00	0.00	0.00	
	Wed	0.00	0.00	0.00	0.00	
	Thurs	0.00	0.00	0.00	0.00	
	Fri	0.00	0.00	0.00	0.00	
	Sat	0.00	0.00	0.00	0.00	
	Days This Week:	0.00	0.00	0.00	0.00	
	Days Work Suspended:		0.00		0.00	
	Days Previously Reported:	.00	0.00	0.00	0.00	
	Total Days To Date:	.00	0.00	0.00	0.00	

CURRENT STATUS:

Days Specified In Contract:	.00	0.00
Approved Extension of Time:	.00	0.00
Total Authorized Time of Contract:	.00	0.00
Less Workable Days Charged:	.00	0.00
Working Days Remaining:	.00	0.00

SUMMARY OF WEEKS ACTIVITIES:

PROJECT ENGINEER: _____

NOTE: The contractor will be allowed 10 days from the date of this report in which to protest in writing the correctness of this statement, otherwise it shall be deemed to have been accepted as correct.

DOT FORM 422-022 (Revised 12/91)

Washington State Department of Transportation

Change Order

Date _____

Page ____ of ____ Pages

Contract Number _____ Federal Aid Number _____

Contract Title _____

Change Order Number _____

Prime Contractor _____

☐ Ordered by Engineer under the terms of Section 1-04.4 of the Standard Specifications

☐ Change proposed by Contractor

Endorsed By	Surety Consent
Contractor	Attorney on Fact
Date	Date

Original Contract Amount _____

Current Contract Amount _____

Estimated Net Change This Order _____

Estimated Contract Total After Change _____

☐ Approval Recommended ☐ Approved	Approved
Project Engineer	Approving Authority per C.A. Agreement
Date	Date
☐ Approval Recommended ☐ Approved	Other Approval When Required
By	Signature Date
Date	Representing

DOT Form 140-005 EF
Revised 4/06

Checklist

Question	Yes	No	N/A
1. Does the change order alter the termini, character, or scope of the work?			
If yes, you must have H & LP approval to be eligible for federal funds.			
If yes, you must submit a revised Page 1 of the prospectus.			
2. Is the Change Order over $7,500.00 and outside the scope of work?			
If yes, the change cannot be a change order and must be an independent work.			
3. Does the Change Order detail all items involved with the change?			
4. Does the Change Order include an adjustment in working days?			
If yes, the time extension must be stated in the Change Order.			
If yes, an independent engineer's estimate of time must be included to document the extension.			
If no, that must be stated in the Change Order.			
5. Does the Change Order alter the DBE Condition of Award?			
If yes, you must obtain concurrence form H&LP.			
If yes, you must obtain the DBE's signature on the Change Order.			
6. Does the Change Order involve a material substitution?			
If yes, you must determine if a material credit is appropriate.			
7. If Change Order work started prior to it's execution, prior verbal approval by the Approving Authority must be granted and documented.			
8. Has the Change Order been signed by the contractor?			
9. Has the Change Order been executed by the Approving Authority?			
If you are a "non CA Agency", you must have the acting CA Authority's approval.			
10. Has an independent engineer's estimate justifying the costs and time extensions been completed and documented?			
11. Has a detailed memo outlining the chronology of events, basis of need, costs and working days been prepared and placed in the file accompanying the Change Order?			

The following exceptions to the *Construction Manual* M 41-01 may be used by the local agency.

- The local agency may develop their own Record of Materials (ROM), and approve manufacturers not listed on the approved WSDOT manufacturers list. The ROM is a listing of the construction items, generated by either the State Materials Laboratory or the Local Agency that has been identified from the plans and specifications for each project. The ROM identifies the types and quantities of materials, the standard acceptance methods and the number of acceptance and verification samples required for all material that will be used on the project. The ROM should always be maintained. If material quantities are increased or decreased during the construction of the project the ROM must reflect these changes. This may either increase or decrease the amount of acceptance tests needed. The ROM needs to reference the standard specification or contract provision where the material requirement is defined. The ROM also lists the acceptance requirements for materials requiring other actions, such as fabrication inspection, manufacturer's certificate of compliance, shop drawing or catalog cuts.
- Asphalt plant inspectors and scalepersons are not required at established commercial sources. This exception does not allow the agency to eliminate acceptance sampling of the materials.
- The following items may be accepted with an approved catalogue cut and documented by visual inspection or a manufacturer's material certification (provided manufacturer's certification is based on actual testing):

Electrical items and accessories	Re Bar Tie Wire
Paving or geotextile fabrics	Backer Rod under RCS Expansion Joint
Fencing of any kind	Rebar Chairs and Dobie Blocks
Landscaping or irrigation items	Temporary Items
Glare screens	Sandbags, Rope, and Wood Stakes
Traffic buttons or pavement markings	Compost
Guardrail items (Certificate of Material Origin is required)	Monument Case and Cover (Certificate of Material Origin is required)
Drainage items (Certificate of Material Origin is required)	PG Binder Suppliers Bill of Lading (acts as Manufacturer's Certificate of Compliance)

- A Certificate of Material Origin is required for all steel and iron items on federally funded projects.
- Local agencies may test their own signal cabinets.

- Local agencies may lower the density testing requirements to 90 percent of the rice density for non structural overlay pavement designs with a thickness of 1.25 to 2 inches (30 to 50 mm). This should be limited to areas or projects with documented foundation problems and on overlay of existing pavements.
- Local agencies are not required to follow the qualified testing program outlined in the *Construction Manual* M 41-01 if the agencies projects are not on the NHS, or are on the NHS and the project does not contain federal funding AND the acceptance sampling frequencies and test methods are done in accordance with Chapter 9 of the *Construction Manual* M 41-01 and the exceptions listed above.

In addition to mandatory acceptance sampling, a local agency may choose to do independent assurance sampling. If a local agency elects to do independent assurance sampling, the procedures listed shall be followed.

- Assurance sampling and testing will be done independent of acceptance testing, not utilizing the same testing equipment or performed by the same personnel. Assurance samples of aggregate may be taken by the field inspector and split two ways. One split will be tested by the inspector in the field as an acceptance sample and the other split will be an assurance sample for immediate testing and comparison with field results.
- Assurance sample testing does not reflect on the acceptability of the material involved. Acceptance under the contract is determined by the acceptance testing process. Assurance testing is performed to obtain an independent verification of proper testing procedure and equipment.

Comparison of Assurance and Acceptance Test Results – Assurance sample results will be compared with the acceptance test results of the companion samples.

Reports of the comparison of results will be placed in the project file. The degree of conformance will be determined according to the deviation ranges noted below. Gradation test results will be compared only on specification screens.

Test	Normal Range of Deviation	Maximum Range of Deviation
Sand Equivalent	±8 points	±15 points
Fracture	±5 percent	±10 percent
Asphalt Content (HMA and ATB)	±0.3 percent	±0.6 percent
Sieve Analysis – All Items: No. 4 (4.75 mm) sieve and larger	±5 percent	±8 percent
No. 6 (3.35 mm) sieve to No. 80 (0.180 mm) sieve	±3 percent	±6 percent
No 100 (0.150 mm) and No. 200 (0.075 mm) sieve	±2 percent	±4 percent

In the table above, "Normal Range" indicates an acceptable range of variation between test results and no action is required. Test results which fall in this category will be so indicated by the wording "normal deviation" on the assurance test reports. Test results falling outside of the "Normal Range" but within the "Maximum Range," will be indicated by the wording "questionable deviation" on the assurance test reports. For deviations falling into this category, the Project Engineer or a representative shall review the original test report form, advise the responsible test operator of the deviation, and review the test procedure at the next opportunity.

Test results exceeding the maximum range will be indicated by the wording "excessive deviation." For deviations falling in the excessive category, the Project Engineer or a representative will notify the appropriate personnel for corrective action.

Corrective action will include review of sampling procedures, sample splitting procedures, testing procedures, and testing equipment. Actions and results of these investigations will be documented to the project file by a notation. These may include comments or findings by the Lab and testing personnel.

Independent Assurance Sampling Frequency Guide

Item	Test	Assurance Sample
Gravel Borrow	Grading & SE	1 – 20,000 Ton
Select Borrow	Grading & SE	1 – 20,000 Ton
Sand Drainage Blanket	Grading	1 – 20,000 Ton
Gravel Base	Grading, SE & Dust Ratio	1 – 20,000 Ton
CSTC	Grading, SE & Fracture	1 – 10,000 Ton
CSBC Grading	SE & Fracture	1 – 10,000 Ton
Maintenance Rock	Grading, SE & Fracture	1 – 10,000 Ton
Ballast Grading	SE & Dust Ratio	1 – 10,000 Ton
Shoulder Ballast	Grading & Fracture	1 – 10,000 Ton
Backfill for Sand Drains	Grading	1 – 10,000 Ton
Crushed Coverstone	Grading, SE & Fracture	1 – 5,000 Ton
Crushed Screening		
5/8 – 1/4	Grading & Fracture	1 – 5,000 Ton
1/2 – 1/4	Grading & Fracture	1 – 5,000 Ton
1/4 – 0	Grading & Fracture	1 – 5,000 Ton
Gravel Backfill for Foundations	Grading, SE & Dust Ratio	1 – 5,000 Ton
Walls	Grading, SE & Dust Ratio	1 – 5,000 Ton
Pipe Bedding	Grading, SE & Dust Ratio	1 – 5,000 Ton
Drains	Grading	1 – 5,000 Ton

Independent Assurance Sampling Frequency Guide *(continuted)*

Item	Test	Assurance Sample
PCC Paving		
Coarse Aggregate	Grading	1 – 10,000 Ton
Fine Aggregate	Grading	1 – 5,000 Ton
Completed Mix		
Consistency	Slump	1 – 25,000 SY
Air Content	Air	1 – 25,000 SY
Yield	Cement Factor	1 – 25,000 SY
Test Beam	Flexural Strength	1 – 25,000 SY
PCC Structures		
Coarse Aggregate	Grading	1 – 5,000 Ton
Fine Aggregate	Grading	1 – 2,500 Ton
Consistency	Slump	1 – 1,000 CY
Air Content	Air	1 – 1,000 CY
Cylinders (28-day)	Compressive Strength	1 – 1,000 CY
Yield	Cement Factor	1 – 1,000 CY
Cement	Chemical and Physical Certification (Verification Sample)	1 – 1,000 Ton
Asphalt Materials		Verification
Paving Asphalt (AR, AC, PBA)		1 qt. every 3rd shipment
Liquid Asphalt (Cutback, Emulsion)		1 qt. every other shipment
Emulsion for ACP Tack Coat		None required

Chapter 53 Project Closure

53.1 General Discussion

After substantial completion of the work, the agency shall diligently pursue contract completion. In cases where the contractor is not diligently pursuing completion, the agency shall impose liquidating damages penalties, completion of remaining work with local forces or unilateral closure and claims against the contractor.

After the construction phase of a FHWA transportation project, done either by competitive bidding or by local agency forces, specific procedures are carried out to terminate the project's finances and review project performance. These procedures are necessary in order to settle any outstanding contract obligations, and to ensure that funds were expended properly.

This chapter lists requirements for closing the project accounts at WSDOT and FHWA and discusses project management reviews and project audits.

53.2 Closure

After the construction contract is complete, a 90-day project closure period begins. This closure period is initiated upon receipt of either a completion letter from the local agency or a final inspection of the project from the Region Local Programs Office. During this period, the local agency must complete the requirements described below.

No further payment will be made after the date indicated on the 90-day closure letter without the approval of Highways and Local Programs.

The local agency may request, however, that the 90-day closure period be extended. In this case, the local agency shall submit a written request to Highways and Local Programs justifying an extended closure period.

.21 Completion Letter – Within 15 calendar days of completion as defined in *Standard Specifications* Section 1-08.5 or the APWA Approved GSP by the same number, the local agency shall submit a physical completion letter to the Region Local Programs Engineer.

.22 WSDOT Project Review – The Region Local Programs Engineer will conduct the final field inspection. It is suggested that the Region Local Programs Engineer be invited to the final project inspection with the contractor. If the final inspection reveals items that must be corrected or resolved before the project can be closed, these will be noted in the final inspection report. The Region Local Programs Engineer will work with the local agency to make the necessary corrections or to accomplish resolutions. If there is an unresolvable item indicating that a portion of project work is ineligible for FHWA reimbursement, WSDOT will issue a letter of notification outlining the ineligible work items and related costs.

.23 Final Billing. Within 90 calendar days of the completion date, the local agency shall submit the following documents to the Region Local Programs Engineer, clearly marked "Final Billing:"

a. The local agency's final billing on Form PPC2.

b. Written justification for billings exceeding the Local Agency Agreement amount. These require approval by the Director of Highways and Local Programs.

Upon receipt of the final billing, WSDOT will pay the federal share or bill the local agency as appropriate.

.24 Project Approval – Highways and Local Programs will inform the local agency when FHWA has approved the Final Voucher and will explain what records must be retained and for how long.

53.3 Project Reviews

In order to be reasonably certain that local agencies are administering FHWA funds in accordance with the Local Agency Guidelines, WSDOT will perform procedural reviews on selected local agency ad-and-award projects.

These reviews will be:

- Project Management Reviews (PMR) performed by Highways and Local Programs (see Appendix 53.51 for review questions for PMR's and Documentation Reviews).
- Documentation Reviews performed by the Region Local Programs Engineer.

The agency may lose CA status, have its delegation of authority reduced to a project or phase of a project, or be placed on probationary CA. This may be the result of:

- A PMR or Documentation Review.
- An audit by the State Auditor.
- Final project inspection.
- The qualifications and experience of the agency staff are altered.

.31 PMR Preparation – Highways and Local Programs, through the Region Local Programs Engineer, will schedule a PMR with the agency and will request that the local agency managers participate. The local agency should have all pertinent documentation ready for the scheduled review. Typical procedural review questions are listed in Appendix 53.51. Typical documents to be examined during this review are also listed in Appendix 53.51. All deficiencies will be identified for the agency at the time of the PMR. Copies of documentation not available at the time of review shall be submitted through the Region Local Programs Engineer within 30 calendar days. After the 30-day period, the final PMR letter will be sent to the agency.

.32 PMR Deficiencies – If no major deficiencies are found in the local agency's project management methods, the local agency will be informed in writing of the review team's findings and recommendations.

If major deficiencies exist, the local agency will be asked to take corrective action within 60 days. If the deficiencies include ineligible work, WSDOT will issue a citation letter.

If deficiencies exist in the agency's procedures, management practices, or systems, or if specific project errors are found, WSDOT's administrative response might be one or more of the following:

- No action against the agency.
- Joint conference with the Local Agency, Region Local Programs Engineer, and the Director of Highways and Local Programs or the director's designee.
- Limit or withhold the agency's future Certification Acceptance authority (Chapter 13) to the extent deemed necessary:
  a. Allow Certification on a project-by-project basis.
  b. Direct WSDOT to assign a Project Engineer to each project for supervision, inspection, and administration.
  c. Contract the supervision, inspection, and administration to a consulting firm.
  d. Delay project authorization until adequate supervision, inspection, and administration is available from the local agency, WSDOT, or consultants.
- Establish a repayment plan when violations to procedures make certain expenditures ineligible for federal reimbursement. Per Section VII of the Local Agency agreement, withholding of funds from the local agency's gasoline tax distribution may be necessary if a satisfactory repayment plan is not established within 45 days.

53.4 Financial and Compliance Audit

.41 By the State Auditor – The local agency is responsible for ensuring that an audit is performed in accordance with OMB Circular A-133. WSDOT is also responsible for ensuring that FHWA funds are properly expended. The State Auditor will therefore audit each local agency.

.42 By WSDOT – A project audit by WSDOT Auditors is triggered by deficiencies found during:

a. A routine audit by the State Auditor, either on an FHWA project or on any other project where federal funds are involved.

b. A documentation review.

c. A project management review.

d. PAR.

.43 Project Records – Project records shall be maintained in accordance with the terms of the Local Agency Agreement and shall be made available to the audit personnel upon request. It is helpful if field notes and other documentation are available in sufficient detail to facilitate the audit review.

.44 Audit Report – The state auditor will submit a formal audit report to the Director of Highways and Local Programs and to FHWA. If findings on a particular audit arise, Highways and Local Programs will contact the agency to confirm the findings and coordinate resolution with the agency and Highways and Local Programs. Audit findings must be resolved within six months of the date that the audit report is issued. Audits will normally include the following categories:

- Interagency Agreements
- Land Development or Land Acquisition Projects
- Tier Contracting Procedures
- Fund Management – Transactions
- Accounting Methods – Cash or Accrual
- DBE-EEO Practices
- Use of Grant Acquired Equipment

53.5 Appendices

53.51 Local Agency Project Management Review Checklist

53.52 Final Inspection of Federal Aid Project

53.53 Quarterly Report of Amounts Credited as DBE Participation

U.S. Department of Labor
Employment Standards Administration
Wage and Hour Division

PAYROLL

(For Contractor's Optional Use; See Instructions, Form WH-347 Inst.)

Persons are not required to respond to the collection of information unless it displays a currently valid OMB control number.

OMB No.: 1215-0149
Expires: 03/31/2003

NAME OF CONTRACTOR ☐ OR SUBCONTRACTOR ☐ | ADDRESS

PAYROLL NO. | FOR WEEK ENDING | PROJECT AND LOCATION | PROJECT OR CONTRACT NO.

(1) NAME, ADDRESS, AND SOCIAL SECURITY NUMBER OF EMPLOYEE	(2) NO. OF WITHHOLDING EXEMPTIONS	(3) WORK CLASSIFICATION	OT. OR ST.	(4) DAY AND DATE / HOURS WORKED EACH DAY							(5) TOTAL HOURS	(6) RATE OF PAY	(7) GROSS AMOUNT EARNED	(8) DEDUCTIONS FICA	WITH-HOLDING TAX			OTHER	TOTAL DEDUCTIONS	(9) NET WAGES PAID FOR WEEK
			O								0.00		$0.00						$0.00	$0.00
			S								0.00	/								
			O								0.00		$0.00						$0.00	$0.00
			S								0.00	/								
			O								0.00		$0.00						$0.00	$0.00
			S								0.00	/								
			O								0.00		$0.00						$0.00	$0.00
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			S								0.00	/								
			O								0.00		$0.00						$0.00	$0.00
			S								0.00	/								
			O								0.00		$0.00						$0.00	$0.00
			S								0.00	/								

We estimate that it will take an average of 56 minutes to complete this collection of information, including time for reviewing instructions searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. If you have any comments regarding these estimates or any other aspect of this collection of information, including suggestions for reducing this burden, send them to the Administrator, Wage and Hour Division, ESA, U. S. Department of Labor, Room S3502, 200 Constitution Avenue, N. W., Washington, D. C. 20210.

FORM WH-347, Revised Nov. 1998 - FORMERLY SOL 184 - *PURCHASE THIS FORM DIRECTLY FROM THE SUPT. OF DOCUMENTS*

Date _____

I, _____, _____
(Name of Signatory Party) (Title)

do hereby state:

(1) That I pay or supervise the payment of the persons employed by

_____ on the
(Contractor or Subcontractor)

_____; that during the payroll period commencing on the
(Building or Work)

_____ day of _____, _____, and ending the _____ day of _____, _____, all persons employed on said project have been paid the full weekly wages earned, that no rebates have been or will be made either directly or indirectly to or on behalf of said

_____ from the full
(Contractor or Subcontractor)

weekly wages earned by any person and that no deductions have been made either directly or indirectly from the full wages earned by any person, other than permissible deductions as defined in Regulations, Part 3 (29 CFR Subtitle A), issued by the Secretary of Labor under the Copeland Act, as amended (48 Stat. 948, 63 Start. 108, 72 Stat. 967; 76 Stat. 357; 40 U.S.C. 276c), and described below:

_____

_____

_____

_____

(2) That any payrolls otherwise under this contract required to be submitted for the above period are correct and complete; that the wage rates for laborers or mechanics contained therein are not less than the applicable wage rates contained in any wage determination Incorporated into the contract; that the classifications set forth therein for each laborer or mechanic conform with the work he performed.

(3) That any apprentices employed in the above period are duly registered in a bona fide apprenticeship program registered with a State apprenticeship agency recognized by the Bureau of Apprenticeship and Training, United States Department of Labor, of if no such recognized agency exists in a State, are registered with the Bureau of Apprenticeship and Training, United States Department of Labor.

(4) That:

(a) WHERE FRINGE BENEFITS ARE PAID TO APPROVED PLANS, FUNDS, OR PROGRAMS

☐ – in addition to the basic hourly wage rates paid to each laborer or mechanic listed in the above referenced payroll, payments of fringe benefits as listed in the contract have been or will be made to appropriate programs for the benefit of such employees, except as noted in Section 4(c) below.

(b) WHERE FRINGE BENEFITS ARE PAID IN CASH

☐ – Each laborer or mechanic listed in the above referenced payroll has been paid, as indicated on the payroll, an amount not less than the sum of the applicable basic hourly wage rate plus the amount of the required fringe benefits as listed in the contract, except as noted in Section 4(c) below.

(c) EXCEPTIONS

EXCEPTION (CRAFT)	EXPLANATION

REMARKS:

NAME AND TITLE	SIGNATURE

THE WILLFUL FALSIFICATION OF ANY OF THE ABOVE STATEMENTS MAY SUBJECT THE CONTRACTOR OR SUBCONTRACTOR TO CIVIL OR CRIMINAL PROSECUTION. SEE SECTION 1001 OF TITLE 18 AND SECTION 231 OF TITLE 31 OF THE UNITED STATES CODE.

* U.S. G.P.O.:1997 519.861

Washington State Department of Transportation

Local Agency Project Management Review Checklist

Agency	Date:
Project Title	
Federal aid project no.:	Contract no.:
Reviewers:	
Prime contractor:	

LAG Ref.

13 Table of Organization and CA Agreement Review

Action	Approving Authority
Design approval	_____
PS&E approval	_____
Contract award	_____
Contract administration	_____

Preliminary Engineering

14.52	Project development checklist	☐ Yes ☐ No ☐ N/A
24	NEPA approval	Date: _____
42	Design matrix checklist	☐ Yes ☐ No ☐ N/A
43.1	Design approved by: _____	Date: _____
44.1	PS&E approved by: _____	Date: _____
44.22	Agency supplied materials approved by: _____ Sole source items	☐ Yes ☐ No ☐ N/A
	If yes, P.I.F. approved by: _____	
44.22	Tied bids approved by: _____	Date: _____

Advertising and Award

46.21	FHWA construction authorization	Date: _____
46.24	Advertising Dates: _____ to _____	
46.24	Three week advertising period	☐ Yes ☐ No ☐ N/A
46.24	If no, FHWA approval date for two week ad	_____
46.25	Affidavits of publication in file ☐ Yes ☐ No ☐ N/A Did publication include Title VI language	☐ Yes ☐ No ☐ N/A
46.25	Bid opening date: _____ Were bid analysis conducted prior to award	☐ Yes ☐ No ☐ N/A
	Was there adequate competition (more than one bidder)	☐ Yes ☐ No ☐ N/A
	List the number of bidders:	_____
	Is there concurrence in award from WSDOT/FHWA prior to award (projects containing DBE goal and full oversight projects only)	☐ Yes ☐ No ☐ N/A
46.27	Award:	Date: _____
46.26	Award to lowest bidder	☐ Yes ☐ No ☐ N/A
	If not, explain: _____	
46.28	Contract execution	Date: _____
46.28	Contract award amount	_____
	Engineer's estimate amount	_____
	Value Engineering Study	☐ Yes ☐ No ☐ N/A
46.3	Award information transmitted to WSDOT prior to construction	☐ Yes ☐ No ☐ N/A

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Revised 09/2012

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52 Contract Administration

52.101 First working day: _____ No. of working days: _____
Were liquidated damages assessed ☐ Yes ☐ No ☐ N/A
No. of working days complete: _____

52.2 Preconstruction conference minutes review
Meeting held ☐ Yes ☐ No ☐ N/A
Meeting documented ☐ Yes ☐ No ☐ N/A
Do the minutes reflect discussion regarding DBE & EEO requirements ☐ Yes ☐ No ☐ N/A

21.1 Changes in scope ☐ Yes ☐ No ☐ N/A limit ☐ Yes ☐ No ☐ N/A character ☐ Yes ☐ No ☐ N/A
Changes in cost ☐ Yes ☐ No ☐ N/A
If yes, is the NEPA still valid ☐ Yes ☐ No ☐ N/A
If yes, is the design still in compliance with ADA requirements ☐ Yes ☐ No ☐ N/A

44.1 Commitment File

24.94 Environmental and permit conditions met ☐ Yes ☐ No ☐ N/A

25 Right of Way

Right of way acquired ☐ Yes ☐ No ☐ N/A
Right of way acquisition procedures Date: _____
Listing of right of way staff current ☐ Yes ☐ No ☐ N/A
25.11 Project right of way certification Date: _____

52 Administrative Settlements

52.51 Were any claims settled by administrative settlement ☐ Yes ☐ No ☐ N/A
Were claims submitted to local programs engineer ☐ Yes ☐ No ☐ N/A
Comments:
_____
_____

52.1 Project diaries and inspector's daily reports signed and reviewed ☐ Yes ☐ No ☐ N/A

Payrolls

52.4 Wage rates included in contract ☐ Yes ☐ No ☐ N/A
Certified by contractor ☐ Yes ☐ No ☐ N/A
Checked and initialed by agency ☐ Yes ☐ No ☐ N/A
How often were payrolls reviewed _____

27 EEO Compliance

27.32 PR-1391 on file and PR 1392 sent to region local programs ☐ Yes ☐ No ☐ N/A
Comments:
_____
_____

Training

Training goal set: Hours _____ ☐ Yes ☐ No ☐ N/A
Training plan approved by agency ☐ Yes ☐ No ☐ N/A
Non-union training plan approved by FHWA ☐ Yes ☐ No ☐ N/A
Training goal met: Hours _____ ☐ Yes ☐ No ☐ N/A
Comments:
_____
_____

Were trainee interviews conducted ☐ Yes ☐ No ☐ N/A
Comments
_____
_____

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Revised 09/2012

Page 2

		Training start date: _____ Training end date _____	
		Were good faith efforts provided when minority/female not submitted	☐ Yes ☐ No ☐ N/A
		If yes, is there documentation in the file	☐ Yes ☐ No ☐ N/A
26	**DBE Compliance**		
	26.2	DBE goal set: % _____	☐ Yes ☐ No ☐ N/A
	26.2	DBE condition of award amount: $ _____	
	26.2	How was DBE certification verified prior to award _____	
	52.5	Change orders affects on DBE's _____	☐ Yes ☐ No ☐ N/A
		Change order initiated by: Contractor _____ Agency _____	
		Comments _____	
	52.5	Additional work provided to DBE'S	☐ Yes ☐ No ☐ N/A
	52.5	Any changes to DBE goals	☐ Yes ☐ No ☐ N/A
		If yes, explain the reason for DBE goal changes _____	
	26.2	DBE goal changes approved by WSDOT H&LP	☐ Yes ☐ No ☐ N/A
	26.2	Quarterly report of amounts credited as DBE participation	
		Sent to region local programs engineer	☐ Yes ☐ No ☐ N/A
		Complaints regarding DBE's or from DBE	☐ Yes ☐ No ☐ N/A
		If yes, were the complaints submitted to WSDOT	☐ Yes ☐ No ☐ N/A
		Were complaints received from subcontractors for prime's failure to pay promptly or return retainage	☐ Yes ☐ No ☐ N/A
	Contract Completion		
	52.81	Completion Substantial / Physical	Date: _____
	52.81	Completion letter to contractor transmitted to local programs	☐ Yes ☐ No ☐ N/A
	52.83	End of project materials certification from project engineer to approving authority	Date: _____
		Date final payment was made to the Prime Contractor	Date: _____
44	**Traffic Control**		
	44.22e	TCP or K plans in contract	☐ Yes ☐ No ☐ N/A
		Adopted by contractor	☐ Yes ☐ No ☐ N/A
	44.22e	Detour included in contract	☐ Yes ☐ No ☐ N/A
	44.22e	If yes, agreements included in contract	☐ Yes ☐ No ☐ N/A
31	**Consultant Agreements**		
		Agreement renewed prior to expiration date	☐ Yes ☐ No ☐ N/A
		Fee type _____	
		Advertisements on file	☐ Yes ☐ No ☐ N/A
		Did advertisement include Title VI language	☐ Yes ☐ No ☐ N/A
		Selection process on file	☐ Yes ☐ No ☐ N/A

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Revised 09/2012

Page 3

Prime and Subcontractor Information

AgencyName	Contract	Date

Prime and Subcontractor Information

	Name	Amount	Date of Request to Sublet 421-012	DBE	Date of Fed. Aid Certification 420-004	Date of Statement of Intent to Pay Prev. Wages F700-029-000	Wage Rate Interview 424-003	DBE Review 272-051	Date of Affidavit of Wages Paid F700-007-000	Payroll
Prime										
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										
11										
12										
13										
14										
15										

Total Amount Sublet $ _____

% of Contract Sublet = _____
(Maximum 70%)

Notes:

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Prime & Subcontractor Info

Construction Contract Administration (Change Orders)

CO#	Verbal App. Date	Written App. Date	Major Items Involved	Cost Change +/-	W/D +/-	Agency Justified Independantly

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Change Orders

SubletDate _____

Washington State Department of Transportation

Concrete

Materials Documentation Review - Concrete Item

Agency: _____ **Project Title:** _____

Federal Aid Number: _____ **Date:** _____

Reviewed By: _____

Bid Item: _____ **Material:** _____

Plan Quantity	_____		Revised Quantity	_____	Paid Quantity _____
Lag Exception Noted	☐ Yes ☐ No ☐ N/A		Field Note Record	_____	
ROM Maintained	☐ Yes ☐ No ☐ N/A		RAM# _____	Codes _____	Plant Certificate _____
Conc. Pipe Acc. Report	☐ Yes ☐ No ☐ N/A		Appr. Source-Mfg. Item	_____	Qualified Products List _____
Small Quantity	☐ Yes ☐ No ☐ N/A		Acceptance Test-AGG.	_____	Acceptance Test-Bag PC _____
Certified Ticket	☐ Yes ☐ No ☐ N/A		Approved Mix Design #	_____	Cert. of Material Origin _____
WSDOT Inspected	☐ Yes ☐ No ☐ N/A		Cylinder/Beam Breaks	_____	Visual Inspection ☐ Yes ☐ No ☐ N/A
Mill Test Report-Bulk PC	_____		Prelim. Sample-Agg./PC	_____	Approved Source-Pit #/PC _____

Invoice Date _____	Quantity on Invoice _____	Invoice Verified: _____

Comments:

Acceptable: ☐ Deficiency as Noted: ☐

DOT Form 272-024 EF
Revised 09/2012

Concrete

Washington State Department of Transportation

Asphalt

Materials Documentation Review - Asphalt Item

Agency: _____ **Project Title:** _____

Federal Aid Number: _____ **Date:** _____

Reviewed By: _____

Bid Item: _____ **Material:** _____

Plan Quantity _____

Lag Exception Noted ☐ Yes ☐ No ☐ N/A

ROM Maintained ☐ Yes ☐ No ☐ N/A

Scale Cerification ☐ Yes ☐ No ☐ N/A

Visual Inspection ☐ Yes ☐ No ☐ N/A

Scaleman's Daily Report ☐ Yes ☐ No ☐ N/A

Acceptance Test-AC _____

Lane/Shoulder Breakout _____

Revised Quantity _____

Field Note Record _____

RAM# _____ Codes _____

Prelim. Sample-Agg/AC _____

Approved Mix Design # _____

Qualified Products List _____

Compaction Test _____

Paid Quantity _____

Approved Source Pit #/AC _____

Acceptance Test-Agg. _____

Bill of Lading-AC _____

Certified Ticket _____

Small Quantity _____

Invoice Date: _____ Quantity on Invoice: _____ Invoice Verified: _____

Comments:

Acceptable: ☐ Deficiency as Noted: ☐

DOT Form 272-024 EF
Revised 09/2012

Asphalt

Washington State Department of Transportation

Aggregate Item

Materials Documentation Review - Aggregate Item

Agency: _____ **Project Title:** _____

Federal Aid Number: _____ **Date:** _____

Reviewed By: _____

Bid Item: _____ **Material:** _____

Paid Quantity _____

Small Quantity ☐ Yes ☐ No ☐ N/A

Lag Exception Noted ☐ Yes ☐ No ☐ N/A

ROM Maintained ☐ Yes ☐ No ☐ N/A

Visual Inspection ☐ Yes ☐ No ☐ N/A

Scale Cerification ☐ Yes ☐ No ☐ N/A

Maximum Density Curve ☐ Yes ☐ No ☐ N/A

Scaleman's Daily Report ☐ Yes ☐ No ☐ N/A

Revised Quantity _____ Plan Quantity _____

Certified Ticket ☐ Yes ☐ No ☐ N/A

Acceptance Test _____ RAM# _____ Codes _____

Compation Test _____ Approved Source-Pit # _____

Preliminary Sample_____

Field Note Record _____

Invoice Date: _____ | Quantity on Invoice: _____ | Invoice Verification: _____

Comments:

Acceptable: ☐ Deficiency as Noted: ☐

DOT Form 272-024 EF
Revised 09/2012

Aggregate

Washington State Department of Transportation

Wood

Materials Documentation Review - Wood Item

Agency: _____ **Project Title:** _____

Federal Aid Number: _____ **Date:** _____

Reviewed By: _____

Bid Item: _____ **Material:** _____

Plan Quantity	_____			Revised Quantity	_____		Paid Quantity	_____
Lag Exception Noted	☐ Yes	☐ No	☐ N/A	Preliminary Sample	_____		Approved Source	_____
ROM Maintained	☐ Yes	☐ No	☐ N/A	Lbr. Grading Cert.	☐ Yes	☐ No	☐ N/A	
Approved For Shipment	☐ Yes	☐ No	☐ N/A	Qualified Products List	_____			
Small Quantity	☐ Yes	☐ No	☐ N/A	RAM# _____ Codes _____				
Visual Inspection	☐ Yes	☐ No	☐ N/A	Field Note Record	_____			

Invoice Date: _____	Quantity on Invoice: _____	Invoice Verification: _____

Comments:

Acceptable: ☐ Deficiency as Noted: ☐

DOT Form 272-024 EF
Revised 09/2012

Wood

Washington State Department of Transportation

Metal

Materials Documentation Review - Metal Item

Agency: _____ **Project Title:** _____

Federal Aid Number: _____ **Date:** _____

Reviewed By: _____

Bid Item: _____ **Material:** _____

Plan Quantity	_____			Revised Quantity	_____	Paid Quantity	_____	
Visual Inspection	☐ Yes	☐ No	☐ N/A	Mfg. Certificate	_____	Fabrication Approved	_____	
Lag Exception Noted	☐ Yes	☐ No	☐ N/A	Test Report	_____	Approved Source	_____	
ROM Maintained	☐ Yes	☐ No	☐ N/A	Approved for Shipment	_____	Sign Acceptance Report	_____	
Certificate of Material Origin	☐ Yes	☐ No	☐ N/A	Bill of Lading	_____			
Small Quantity	☐ Yes	☐ No	☐ N/A	RAM# _____ Codes	_____			
Qualified Products List	_____							
Shop Drawing	_____			Field Note Record	_____			

Invoice Date _____	Quantity on Invoice _____	Invoice Verification: _____

Comments:

Acceptable: ☐ Deficiency as Noted: ☐

DOT Form 272-024 EF
Revised 09/2012

Metal

Washington State Department of Transportation

Electrical

Materials Documentation Review - Electrical Item

Agency: _____ **Project Title:** _____

Federal Aid Number: _____ **Date:** _____

Reviewed By: _____

Bid Item: _____ **Material:** _____

Lag Exception Noted	☐ Yes	☐ No	☐ N/A	Revised Quantity	_____	Paid Quantity _____
ROM Maintained	☐ Yes	☐ No	☐ N/A	Preliminary Sample	_____	Approved Source _____
Approved for Shipment	☐ Yes	☐ No	☐ N/A	Mill Test Report	_____	Acceptance Test _____
Small Quantity	☐ Yes	☐ No	☐ N/A	Shop Drawing	_____	Qualified Products List _____
Visual Inspection	☐ Yes	☐ No	☐ N/A	Catalog Cut	_____	Mfg. Certificate _____
Cert. of Material Origin	☐ Yes	☐ No	☐ N/A	Plan Quantity	_____	RAM# _____ Codes _____
				Field Note Record	_____	

Invoice Date _____	Quantity on Invoice _____	Invoice Verification: _____

Comments:

Acceptable: ☐ Deficiency as Noted: ☐

DOT Form 272-024 EF
Revised 09/2012

Electrical

Washington State Department of Transportation

All Items

Materials Documentation Review - All Items

Agency: _____ **Project Title:** _____

Federal Aid Number: _____ **Date:** _____

Reviewed By: _____

Bid Item: _____ **Material:** _____

Plan Quantity	_____			Revised Quantity	_____	Paid Quantity	_____
ROM Maintained	☐ Yes	☐ No	☐ N/A	Bill of Lading	_____	Preliminary Sample	_____
Certified Ticket	☐ Yes	☐ No	☐ N/A	Plant Certificate	_____	Cylinder Breaks	_____
WSDOT Inspected	☐ Yes	☐ No	☐ N/A	Approved Source	_____	RAM# _____	Codes _____
Scale Certification	☐ Yes	☐ No	☐ N/A	Shop Drawing	_____		
Mfg. Certificate	☐ Yes	☐ No	☐ N/A	Maximum Density Curve	_____		
Mill Test Report	☐ Yes	☐ No	☐ N/A	Qualified Products List	_____		
Compaction Test	☐ Yes	☐ No	☐ N/A	Approved Mix Design #	_____		
Visual Inspection	☐ Yes	☐ No	☐ N/A	Catalog Cut	_____		
Scaleman's Daily Report	☐ Yes	☐ No	☐ N/A	Lag Exception Noted	☐ Yes	☐ No	☐ N/A
Small Quantity	☐ Yes	☐ No	☐ N/A	Field Note Record	_____		

Invoice Date _____	Quantity on Invoice _____	Invoice Verified: _____

Comments:

Acceptable: ☐ Deficiency as Noted: ☐

DOT Form 272-024 EF
Revised 09/2012

All Items

Washington State Department of Transportation

Mobilization

Bid Item Documentation Review - Mobilization

Agency: _____ **Project Title:** _____

Federal Aid Number: _____ **Date:** _____

Reviewed By: _____

Standard Specification 1-09.7

Contract Bid Amount _____ Mobilization Bid Amount _____

5% of Contract Bid Amount _____ 50% Mobilization Bid Amount _____

10% of Contract Bid Amount _____

Mobilization Paid on Estimate No. _____

Contract Items Paid That Estimate _____ Mobilization Paid That Estimate _____

Contract Items Paid To Date _____

Mobilization Paid on Estimate No. _____

Contract Items Paid That Estimate _____ Mobilization Paid That Estimate _____

Contract Items Paid To Date _____

Mobilization Paid on Estimate No. _____

Contract Items Paid That Estimate _____ Mobilization Paid That Estimate _____

Contract Items Paid To Date _____

Mobilization Paid After Substantial Completion _____

Notes:

1. When 5 percent of the total original contract amount is earned from other contract items, excluding amounts paid for materials on hand, 50 percent of the amount bid for mobilization, or 5 percent of the total original contract amount, whichever is the least, will be paid.
2. When 10 percent of the total original contract amount is earned from other contract items, excluding amounts paid for materials on hand, 100 percent of the amount bid for mobilization, or 10 percent of the total original contract amount, whichever is the least, will be paid.
3. When the substantial completion date has been established for the project, payment of any amount bid for mobilization in excess of 10 percent of the total original contract amount.

Acceptable ☐ Corrections Needed ☐

DOT Form 272-024 EF
Revised 09/2012

Mobilization

Washington State Department of Transportation

PRM Summary

PMR Summary

Project _____ **Federal Aid Number** _____

Reviewers _____

Regarding the PMR conducted at _____ on _____ , the following documents were not located during the review:

_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____

Discussion Items:

_____
_____
_____
_____
_____
_____
_____

Per the LAG Manual, section 53.31, your agency has 30 days from the receipt of this e-mail to locate the missing documents. Items not located within the 30 day "grace period" will be considered findings in the Project Management Review and may affect the agency's Certification Acceptance (CA) status, federal funding, or require corrective action.

_____ Agency Representative _____ Date

_____ H&LP Representative _____ Date

_____ Region LPE. Representative _____ Date

DOT Form 272-024 EF
Revised 09/2012

PMR Summary

Washington State Department of Transportation

Final Inspection of Federal Aid Project
Constructed Under 23 U.S.C. 117

Project Title		
Federal Aid Number	Contract Number	Agency
Date of Inspection	Inspection Made By	

Compliance

Marking and signing in conformance with MUTCD? ☐ Yes ☐ No
Clear Zone requirements met? ☐ Yes ☐ No
NEPA requirements met? ☐ Yes ☐ No
ADA requirements met? ☐ Yes ☐ No

Comments:

Notable Items (i.e., labor disputes, changed conditions, environmental, shutdowns, etc.):

☐ This project has been completed in substantial conformance with the project prospectus and contract plans.

Signature of Local Programs Engineer	Date

DOT Form 140-500 EF
Revised 5/05

Washington State Department of Transportation

Quarterly Report of Amounts Credited as DBE Participation

Check appropriate reporting period and enter reporting year.

☐ 1st Quarter - January (Oct. - Dec.) ☐ 4th Quarter - October (July - Sept.)
☐ 2nd Quarter - April (Jan. - Mar.) ☐ Final
☐ 3rd Quarter - July (April - June) Reporting Year _____

State Contract Number

Federal Employer I.D. Number

Contractor

DBE Participant Name and Federal Employer I.D. Number	Contract Type	Date of Payment	*Dollar Credit Amount

Contract Type:
S = Subcontractor
M = Manufacturer
J = Joint Venture
A = Agent
R = Regular Dealer
V = Service Provider

I, the undersigned, do hereby certify that in connection with all work on the project for which this statement is submitted, each DBE participant contracted by me has been paid on the dates shown. *Further, I certify that the amounts shown under "Dollar Credit Amount" are in accordance with the "**DBE Eligibility**" portion of the DBE Special Provision.

Signature _____ Title _____

This form is due on the 20th of the month following the end of the respective Quarter (January, April, July, October).

DOT Form 422-102 EF
Revised 2/2006

.65 Changes and Extra Work – An agency should have a written policy for the approval of change orders to ensure that approval, either verbal or written, is given and documented prior to beginning work.

Whenever a change in the project work is required, the Local Agency shall prepare a change order and submit it to the approving authority for approval. This procedure is described in Chapter 52.

.66 Completion of Construction – The local agency will carry out the following requirements to ready the project for acceptance by WSDOT:

- **Final Inspection** – Within 15 calendar days after completion of the work by agency forces, the Local Agency Project Engineer shall notify the Region Local Programs Engineer that the contract work is complete and request a final inspection and acceptance. Refer to Chapter 52.
- **Final Reports** – A construction project is complete when the items listed below are submitted by the Local Agency to the Region Local Programs Engineer or the approving authority.

  a. **Final Billing** (approving authority file).

  b. **Comparison of Preliminary and Final Costs** (approving authority file) – A listing showing the preliminary and final costs of the labor, equipment, and material.

  c. **Final Records** (approving authority file) – The Local Agency Project Engineer must document the work performed on the project. Documentation consists of any field books, inspector's record of field tests, project engineer's and inspector's diaries, all invoices, weigh bills, truck measurements, quantity tickets, receiving reports, field office ledgers, mass diagrams, cross-sections, computer listings, work profiles, approved time slips, etc., when they are a basis of payment for work performed or material furnished. Photographs or video before, during, and after construction could be useful, especially if care is taken to show any unusual conditions, equipment, or procedures.

     Final records shall be retained as specified in Chapter 53.

  d. **Record of Material Samples and Tests** – Records of samples and tests will be retained by the local agency for at least three years following acceptance of the project by the Director of Highways and Local Programs.

  e. **Materials Certification** (Chapter 52) – The intent of the material certification is to assure that the quality of all materials incorporated into the project is in conformance with the plans and specifications and thus ensures a service life equivalent to the design life.

     This material certification shall be completed in accordance with Sections 9-1.5C and 9-5.4 of the *Construction Manual,* and the sample in Chapter 52.

     This certification shall be retained by the local agency as specified in Chapter 53.

61.8 Project By One Agency for Another Agency

WSDOT approval is required whenever one local agency uses its forces to perform construction work for another agency. The request for approval shall include the following information:

- Kinds of work to be performed.
- Two cost estimates or other types of justifications; one for contracted work, and one for work by agency forces.
- Reason(s) why the work to be performed by agency forces is considered cost-effective.

The cost estimate for the competitive bidding work may be based on unit prices, including any related engineering and administrative costs necessary to prepare, monitor, and close the project. The unit prices shall be based on competitive bidding on comparable construction work in the same general locality.

The requesting agency shall submit the request to the Region Local Programs Engineer.

The Project Development Checklist should be used to guide these projects.

61.9 Appendices

61.91 Local Agency Force Preconstruction Conference – Example

Appendix 61.91 Preconstruction Conference – Example

I. Order of Work

II. Utilities and Railroads

   a. Local Agency project engineer prepare list of affected services and representative to be contacted.

   b. Underground service should be located.

   c. Notification time required by organizations.

   d. Insurance required, if any.

III. Traffic Control and Safety

   a. Uniform Traffic Control Devices Manual will control signing.

   b. Review and discussion of traffic control plan (TCP).

   c. Safety control on structures.

   d. Flagman should use standard paddle and vest and must be certified with flagman card.

   e. Speed regulation of construction equipment.

   f. Local Agency project engineer designate by name the individual responsible for construction traffic control.

   g. Safety and health requirements.

   h. Request police to report all construction zone accidents to the Local Agency engineer.

IV. Environmental Considerations

   a. Commitment files.

   b. Standard Specifications/Special Provisions.

V. General Construction Discussion

   a. Local Agency engineer explains how he plans to pursue the work.

   b. Review of anticipated construction problems.