



# **Wisconsin DOT Accountability Plan**

American Recovery & Reinvestment Act

July 2009



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The Wisconsin Department of Transportation (WisDOT or the Department) submits this Accountability Plan describing the steps the Department is taking to meet the performance goals and the accountability, transparency, and reporting requirements of the American Recovery and Reinvestment Act (ARRA).

The Department already regularly administers and oversees the use of federal funds, so in part will use its strong existing processes and procedures to administer and oversee ARRA funds. However, because ARRA management, monitoring, and transparency are a priority for the Department, the Department has also supplemented these with processes, procedures, staffing, tools, and training to ensure that management, oversight, and reporting of ARRA funds are robust and accurate. These ensure that projects are successfully delivered on-time and on-budget without waste, fraud, error, or abuse.

This plan follows the template provided by the Governor’s Office of Recovery and Reinvestment (ORR). Section One is an introduction listing each of the ARRA programs funded through WisDOT. Next is a brief description of each accountability aspect identified in ORR’s template, accompanied by hyperlinks to the relevant documents. The plan concludes with a summary of the Department’s accountability efforts. Four appendices provide information on the oversight structures and processes, as well as an example of monthly ARRA reporting.

## I. INTRODUCTION

The Wisconsin Department of Transportation expects to administer funds from five separate agencies that are part of the U.S. Department of Transportation (US DOT); these agencies are:

- Federal Highway Administration (FHWA)
- Federal Transit Administration (FTA)
- Federal Aviation Administration (FAA)
- Federal Rail Administration (FRA)
- Federal Maritime Administration (MarAd)

The tables below identify the specific programs that WisDOT will administer, as well as their award types and fund allocation totals. No federal Treasury Appropriations Fund Symbol (TAFS) number is available for these programs. However, a federal Catalogue of Federal Domestic Assistance (CFDA) number allows the Department to report to the federal government on how the Department spends federal dollars.

Although all programs are listed below, this plan will only detail accountability reporting for those programs that currently have ARRA funds allocated. The titles of these programs are bolded.

Program Name	<b>Highway and Bridge Funding</b>
Federal Awarding Agency	Highway Administration
Award Type	Formula
Description	Program funds regular state highway and bridge projects that are not eligible under population sub-allocated fund programs or the Transportation Enhancements program (see next).
ARRA Funds Allocated	\$354.5 million

<b>Program Name</b>	<b>Local Highway and Bridge Funding (population-based allocation)</b>
Federal Awarding Agency	Highway Administration
Award Type	Formula
Description	Program funds local highway and bridge projects, with funds sub-allocated by population: urbanized areas over 200,000 population; those under 200,000; and small urban areas over 5,000. (Wisconsin further sub-allocates these as follows. For highways: urbanized areas over 200,000 population; 50,000 to 200,000; 20,000 to 50,000; 5,000 to 20,000; and rural. Bridge projects also have a separate sub-allocation.)
ARRA Funds Allocated	\$158.7 million

<b>Program Name</b>	<b>Transportation Enhancements Program</b>
Federal Awarding Agency	Highway Administration
Award Type	Formula
Description	Program funds enhancements like bicycle trails, sidewalks, and historic preservation of transportation-related properties. ARRA sets aside 3% of each state's funding allocation for its Transportation Enhancements program.
ARRA Funds Allocated	\$15.9 million

<b>Program Name</b>	<b>National Surface Transportation System Supplemental Discretionary Grants (TIGER)</b>
Federal Awarding Agency	US DOT
Award Type	Competitive
Description	Grants fund capital improvement projects that have a significant impact on the Nation, a metropolitan area, or a region. State and certain local highway facilities are eligible, as are transit projects, passenger and freight rail transportation projects, port infrastructure projects, and intermodal projects. ARRA includes \$1.5 billion for these grants; no more than 20% (\$300 million) may be awarded for projects in a single state. Applications are due September 15, 2009. WisDOT will be applying for one of these grants.
ARRA Funds Allocated	TBD

<b>Program Name</b>	<b>Transit Capital Projects</b>
Federal Awarding Agency	Transit Administration
Award Type	Formula
Description	Program covers up to 100% of capital projects (for example, costs related to purchases of buses and other vehicles, bus facility construction, and other equipment purchases) for public transit systems. WisDOT is only responsible for administering the non-urban ARRA allocation of \$20.1 million to public transit systems that serve communities of under 50,000 population. The remaining allocations are to small urban systems that serve communities of between 50,000 and 200,000 persons (\$23.1million) and to those that serve communities over 200,000 in population: Madison (\$9.5 million) and Milwaukee (\$28.5 million).
ARRA Funds Allocated	\$81.5 million

<b>Program Name</b>	<b>New Starts / Small Starts</b>
Federal Awarding Agency	Transit Administration
Award Type	Competitive
Description	Grants cover costs for locally-planned, -implemented, and -operated transit capital investments, including heavy rail, light rail, commuter rail, and bus rapid transit systems. There are no projects in Wisconsin eligible for New Starts. The City of Kenosha may have a streetcar extension project eligible for Small Start funds.
ARRA Funds Allocated	TBD

<b>Program Name</b>	<b>Aviation</b>
Federal Awarding Agency	Aviation Administration
Award Type	Competitive
Description	Grants for airport capital improvement projects, as well as for improvements to power systems, air route traffic control centers, air traffic control towers, terminal radar approach control facilities, and navigation and landing equipment. These grants are awarded directly by the FAA without WisDOT input.
ARRA Funds Allocated	\$15.7 million

Program Name	Capital Assistance for High Speed Rail Corridors and Intercity Passenger Rail Service
Federal Awarding Agency	Rail Administration
Award Type	Competitive
Description	Grants for capital projects to acquire, construct, improve or inspect equipment, track and facilities, trackage rights, crossing improvements, and relocation assistance. WisDOT will be applying for one of these grants.
ARRA Funds Allocated	TBD

Program Name	Small Shipyard Grant Program
Federal Awarding Agency	Maritime Administration
Award Type	Competitive
Description	Grants for small shipyards for capital improvements fostering efficiency, competitive operations, quality ship construction and repair, and maritime training programs fostering technical skills and operational productivity. WisDOT only knows of one application from a Wisconsin shipyard: Fraser Boats of Superior.
ARRA Funds Allocated	TBD

## II. FEDERAL REQUIREMENTS

FHWA has issued implementing guidance (updated April 1, 2009) intended to provide information on funding, project selection, eligible activities, and specific requirements. This includes specific guidance on funding distribution, redistribution, project selection, eligible activities, reporting, certifications, DBE, Davis-Bacon, Buy America, NEPA, risk management, and financial oversight. For further information on FHWA reporting, see **Section VI Reporting and Transparency**.

<http://www.fhwa.dot.gov/economicrecovery/guidance.htm>

FTA has issued information on certification for maintenance of effort, governor's acceptance, and proper vetting of ARRA projects, as well as preliminary reporting information on periodic grantee reports, quarterly grantee reports, and President's Report to Congress on NEPA status of ARRA projects. Further guidance is forthcoming.

[http://www.fta.dot.gov/index\\_9440\\_9557.html](http://www.fta.dot.gov/index_9440_9557.html)

FAA has issued limited guidance on administering ARRA funding for Facilities.

<http://www.faa.gov/recovery/>

FAA has issued more detailed guidance for grants-in-aid to airports on airport funding, project timeline, planned regional distribution, preference for ready-to-go projects, local match, maximum grant amount, use of entitlements, sponsor certification, replacement projects, program reporting and certification requirements, Buy America, and wage rate requirements.

[http://www.faa.gov/airports\\_airtraffic/airports/aip/media/FY09\\_aip\\_arra\\_guidance.pdf](http://www.faa.gov/airports_airtraffic/airports/aip/media/FY09_aip_arra_guidance.pdf)

FRA has issued limited guidance on administering ARRA funding. Since the Department is not currently receiving any ARRA funding from FRA, we have not provided additional information on this guidance.

<http://www.fra.dot.gov/us/content/2166>

Maritime Administration has issued limited guidance on administering ARRA funding. Since the Department is not currently receiving any ARRA funding from MarAd, we have not provided additional information on this guidance.

[http://www.marad.dot.gov/about\\_us\\_landing\\_page/marad\\_recovery\\_act/recovery.htm](http://www.marad.dot.gov/about_us_landing_page/marad_recovery_act/recovery.htm)

### III. GRANTS

The Department serves as a pass-through agency for federally-awarded competitive grants from FAA. The Department's role would be similar if a Wisconsin shipyard were to receive funding from MarAd. While FAA issues individual grants for each project, project plans and specifications are reviewed and approved by the Department to ensure that the project elements are eligible for state and federal aid. During project construction, engineering contractors inspect to ensure that plans and specifications are followed, measure work progress and prepare periodic project payments. Periodic construction site inspections are made by Bureau staff. These inspections will occur for ARRA projects; we anticipate FAA field site inspections as well. The engineering contractor works closely with Aeronautics and must coordinate all aspects of the project, including potential problems that occur and approvals for contract change orders. Change orders must be approved by Department management or the Governor. All contractor and consultant invoices are reviewed and approved by Aeronautics staff. Upon approval, the FAA transfers federal funds to cover the state's expenditures. When the project is complete, a project closeout report is completed and final payments are made. All projects are subject to audit to ensure compliance with federal requirements as well as for fraud and misuse of funds.

For transit projects, WisDOT is only responsible for administering the non urban ARRA grant. Large urban and small urban transit systems apply directly to the FTA for their funding, including ARRA funding. Once funding is approved by FTA, these systems are responsible for administering their own grants. Oversight for ARRA grants to non-urban transit systems includes establishing project selection criteria and priority ranking to ensure projects are objectively awarded. Additionally, the Department will require subrecipients to sign contracts, certifications, and assurances to meet all ARRA requirements and responsibilities. The Department will conduct annual site visits to all non-urban transit systems and monitor subrecipient expenditures and activity throughout the reimbursement process. The Department will audit all non urban transit systems to ensure charges are eligible and accurate. An additional audit from an independent auditor is required of many of these transit systems.

### IV. PROJECT SELECTION AND PROCUREMENT

For all three program areas that are currently receiving funding – Highways, Transit, and Aviation – federal criteria for eligible projects have remained unchanged. The project selection process has been modified primarily to accelerate projects.

The Department will follow its standard procurement process, which is governed by Chapters 84 and 16 of state statutes, and adheres to all federal procurement requirements. In addition, the Department has identified those areas where ARRA requirements go beyond existing federal requirements – for example, Buy America – and has modified its contract language and other relevant processes to ensure these requirements are met.

Details of the selection and procurement process follow.

## Federal Highways Administration Projects

### State Highway Projects

All eligible projects that could be advanced for let in 2009 were enumerated by State Legislature in 2009 Wisconsin Act 2; these constitute phase 1; phase 2 will constitute those projects that will be approved later.

### Local Highway Projects

For stage 1, local solicitation applications were due February 18, 2009. All eligible projects were selected and approved by the Joint Committee on Finance.

For stage 2, local solicitation applications were due April 8, 2009. All eligible projects that could be let in 2009 were selected and approved by the Joint Committee on Finance (“Finance”). Remaining eligible projects (for let in 2010) were selected as follows and were approved by Finance on June 30, 2009. For non-MPO areas, the normal local program entitlement process was used. In MPO areas, eligible projects were provided to Metropolitan Planning Organizations (MPOs serve urbanized areas in the state with a population totaling 50,000 or more) and the MPOs prioritized these projects.

### Transportation Enhancements

Transportation enhancement applications were solicited in Stage 1 and Stage 2 with local road and bridge projects. All eligible 2009 projects were selected and approved by Finance.

For remaining projects, the normal enhancements project selection process was used but modified to meet shorter timeframes as follows.

- Smaller review committee consisted of members already knowledgeable in the process
- All projects were reviewed and ranked at one meeting.
- Projects were selected based on ranking, cost, and funds available.

These projects were approved by Finance on June 30, 2009.

### Procurement

The Department is holding ARRA-specific lets to gather bids for all ARRA highway and bridge projects. All materials – including notifications and bid sheets – are unique to these lets and include the ARRA logo.

The let schedule below was designed to ensure that projects met the goal of being let as rapidly as possible.

- Completed lets: April 28, May 27, and June 23, 2009.
- Scheduled lets: July 28, 2009

- Proposed lets: January 26, February 23, and March 23, 2010.

## Federal Transit Administration Projects

### **Transit: Non-Urbanized Area Systems**

These systems serve communities with less than 50,000 population.

For round 1, the Department had worked with these transit systems to develop a list of “projects” prior to passage of ARRA. All eligible projects that were deliverable in 2009 were required to obligate 50% of funds within 120 days. Projects were approved by Finance.

This is consistent with FTA’s usual process for these systems. These systems have projects selected by the Department on the Governor’s behalf. The Department then applies directly to FTA for the funds and is responsible for all reporting on behalf of these smaller systems.

For round 2, the Department is working with transit systems to determine projects to fund using remaining funds.

### **Transit: Small Urban Systems**

These systems serve communities between 50,000 and 200,000 in population.

The Department had worked with public transit systems to develop a list of projects prior to passage of ARRA. Projects were selected based on each system’s normal proportion of funds received. Where needs were less than a system’s share, funds were proportionally redistributed to other systems. At minimum, each system received its top priority and at least \$1 million (except for those where needs were less than \$1 million). Projects were approved by the Governor but did not need to be approved by Finance. This is consistent with FTA’s usual process for these systems. These systems work with the Department to select which projects to fund. For ARRA projects, the Governor has final selection authority.

### **Transit: Large Urban Systems (Madison and Milwaukee)**

This includes the Milwaukee County and Madison transit agencies.

For these systems, ARRA funding was provided as a direct allocation from FTA, with no State involvement. Projects did not need approval from the Governor or Finance.

This is consistent with FTA’s usual process for these systems. The respective metropolitan planning organizations select the projects to be funded and apply directly to FTA for the funds. They are responsible for meeting the various FTA certification and reporting requirements.

## Federal Aviation Administration Projects

Aviation projects were selected by FAA and approved by Finance.

The Department’s Bureau of Aeronautics (Aeronautics) is administering the ARRA projects on behalf of the federal government. This is similar to Aeronautics’ activities on other federal aid projects with discretionary funds.

When ARRA was first proposed, the Federal Aviation Administration (FAA) requested a list of projects Aeronautics believed could be advanced to meet ARRA requirements and schedule.

Aeronautics provided a list of more than one dozen projects. The FAA had sole responsibility for selecting projects and determining how much each project received.

Once projects were selected, FAA provided an estimated value to Aeronautics, which followed its standard bid selection processes to select consultants to design the projects. As agent for the sponsor (the public airport owners) Aeronautics opened bids, analyzed the bids, and awarded contracts. Because Milwaukee's General Mitchell International Airport has its own staff, they opened bids and made contract awards themselves. All projects have been bid, awards made, and the FAA has issued the federal grants.

## V. MONITORING/AUDITS/REVIEWS AND OVERSIGHT

The Department's oversight of ARRA funds is rooted in existing processes, which are both robust and extensive. Because ARRA oversight is a priority for the Department, however, those processes were expanded and strengthened.

ARRA-specific reporting, an ARRA oversight committee, and an ARRA change management committee will help ensure that ARRA funds are spent on successful, eligible projects that are completed on-time and on-budget and avoid waste, fraud, abuse, and error.

The Department is using an oversight steering committee team which meets regularly for ARRA projects in all three program areas. The Department is using the oversight process it has in place for Highway Mega-Projects (projects over \$500 million) to manage all highway projects and to manage the Transit and Aviation programs.

These processes and committees provide centralized, executive-level oversight, along with project-level checks and balances. See **Appendix A** for detail on the process being used for State and Local Highway Projects. Similar processes are being finalized for Aviation and Transit. See **Appendix B** for the oversight structures in place for each program.

For all program areas, federal funds are provided to the State, airport, or transit system on a reimbursement basis after the appropriate federal agency has reviewed the expenditure and determined that it was appropriate and eligible under federal regulations. Regular audits are also a part of this process.

### Maintenance of Effort (MOE)

Section 1201 of ARRA requires that states maintain their level of investments in transportation infrastructure. This is called "Maintenance of Effort," or MOE. The provision was included so that states would not supplant state funds with federal ARRA funds. States must certify their planned expenditures from state sources on the types of projects funded by the ARRA for the period of February 17, 2009, through September 30, 2010. Failure to maintain that level of state expenditures would result in the state being ineligible to receive FFY 2011 federal-aid highway formula funding redistribution funds (Wisconsin generally receives more than \$20 million in redistribution funds each year). This provision is unique to transportation.

WisDOT monitors expenditures of state funding for highways and aeronautics on a weekly basis. Transit projects also include capital expenditures; as noted above, however, the Department provides these funds on a reimbursement basis so there is no such weekly monitoring. US DOT requires quarterly reporting on MOE expenditures. MOE reporting is also included in the monthly reports to the US House of Representatives Committee on Transportation and Infrastructure.

## Highways oversight

Oversight for ARRA funding for state and local highways and transportation enhancements includes:

- Project selection criteria to ensure projects meet public needs.
- Review of design criteria to ensure projects meet industry requirements and federal regulations.
- Bid letting process to ensure objectivity and cost effectiveness in awarding bids.
- Extensive project management tools and structures to ensure projects stay on schedule. See paragraph below for details.
- Change management tools to ensure projects stay on budget and in scope. See **Appendices A and B** for details.
- Project-based financial system to ensure funds can be tracked and overseen, and funding requirements are met. See **Section VII Financial** for details.
- Project reporting to ensure tracking and oversight. See **Section VI Reporting** and **Transparency** for details.
- Quality assurance activities – including on-site inspections and materials testing – to ensure projects meet specifications.
- Project auditing to ensure charges are eligible and accurate.
- WisDOT’s project management framework is based on the nine knowledge areas defined by the Project Management Institute and documented in their Project Management Body of Knowledge publication. WisDOT has developed a Transportation Project Management System to provide tools and services dedicated to meeting WisDOT’s project management goals. Projects in the State Highway Rehabilitation program are developed and managed through the project initiation, facilities development, proposal letting, construction administration and change management processes. State Highway Rehabilitation projects and less complex major projects utilize a WisDOT developed project management web application to record, monitor and manage scope, budget, schedule, and resource information. Project management plans for these projects are developed and maintained using this application. Major projects are managed using complex scheduling, budgeting and issue tracking tools from Primavera. Project information is analyzed using reports and progress meetings. Resulting decisions are implemented and reflected in a revised project management plan. The WisDOT project manager leads a team that develops, monitors, and manages the project management plan. WisDOT’s primary goal of project management is to deliver the right projects on time and within budget to meet the traveling public’s expectations.

## Transit oversight

Oversight for ARRA funding to non-urban transit systems includes:

- Project selection criteria and priority ranking to ensure projects meet public needs and are objectively awarded.

- Extensive contracts, certifications, and assurances signed by subrecipients to ensure subrecipients are informed of and contractually obligated to meet all ARRA requirements and responsibilities.
- Annual site visits by the Department to all non-urban transit systems.
- Periodic FTA program review of WisDOT's subrecipient monitoring procedures and standard subrecipient contracts.
- Oversight structures to ensure program stays on track. See **Appendix B** for details.
- Monitoring of subrecipient expenditures and schedule through reimbursement process. Grant recipients request reimbursement after the project is completed.
- Department auditing of all non urban transit systems to ensure charges are eligible and accurate. An additional audit from an independent auditor is required of many of these transit systems.

### Aviation oversight

Oversight for ARRA funding to Aviation includes:

- FAA issues individual grants for each project. The grant lists the description and scope of work and a total cost. This ensures that project scope and budget are clear.
- Project plans and specifications are reviewed and approved to ensure that the project elements are eligible for state and federal aid.
- During project construction, resident engineering staff inspects to ensure that plans and specifications are followed. The resident engineer measures work progress and prepares periodic project payments. The resident engineering staff works closely with Aeronautics and must coordinate all aspects of the project, including potential problems that occur and approvals for contract change orders.
- Change orders must be approved by Aeronautics management. If additional funds are required, executive-level review and approval are required to allocate the additional funds. Smaller changes must be approved by the Director of Aeronautics. Larger changes must be approved the Secretary of Transportation. The largest changes must be approved by the Governor.
- All contractor and consultant invoices are reviewed and approved by Aeronautics staff. Once approved, they are submitted for payment. State statute (s. 114.32, Wis. Stats., commonly called the Channeling Act) requires all federal moneys be deposited to the State of Wisconsin treasury; they cannot be dispersed directly to the sponsors or contractors. Contractors submit invoices to the Department, which are reviewed by Bureau of Aeronautics project managers. If approved for payment, the invoice is paid with state funds. Once a week, Aeronautics sends a drawdown request to the FAA to reimburse all amounts paid on federal aid projects. Upon approval, the FAA transfers federal funds to cover the state's expenditures. When the project is complete, a project closeout report is completed and final payments are made.
- Aeronautics will strive to have project managers visit all projects during critical operations such as asphalt or concrete paving. Project managers will be called to the site when problems arise as part of the contract change order process. Aeronautics is also trying to get aerial photographs of each project taken during construction. Aeronautics project managers are required to complete a final inspection report upon

project completion. FAA is mandated to visit each project and have started their visits; FAA has not communicated their schedule to Aeronautics.

- All projects are subject to audit by the Wisconsin LAB and the USDOT OIG. Aeronautics anticipates with the heightened scrutiny of ARRA projects, that they will be audited to ensure compliance with federal requirements as well as for fraud and misuse of funds. Therefore, Aeronautics is keeping a separate duplicate set of complete project files for all ARRA projects. These special files will be updated and maintained simultaneously with Aeronautics' permanent files.

Additionally, since the Department has a unique relationship with Milwaukee County's General Mitchell International Airport – Milwaukee County does the day to day administration of grants and the Department provides broad oversight – Aeronautics has taken steps to manage risk in the oversight of these grants. Specifically, Aeronautics plans to work with the airport management and the FAA to identify the exact roles and which tracking and reporting requirements are going to be completed by each partner.

### Fraud prevention and reporting

The Department has strong policies and procedures in place for reporting and investigating suspicions of fraud.

Within Highways, WisDOT staff suspecting fraud would report it to their supervisor, who would send a report to upper management. All activities on that project would likely stop for investigation. FHWA has stated clearly that federal funds will be pulled from problem projects. Recent training by FHWA and the US DOT Office of Inspector General (OIG) again emphasized issues and processes related to suspected fraud. In addition, regional FHWA staff will be making a site visit to each project receiving ARRA funding. Also, the Department has provided training to all staff working on ARRA projects that emphasize fraud prevention, detection, and reporting. At this meeting, managers provided staff with relevant materials from US DOT OIG. These materials are also available to Department staff online. It should be noted, that at a meeting with WisDOT's upper management, USDOT OIG praised the Department's past performance in preventing and reporting fraud.

Within Aeronautics, managers are distributing brochures on how to recognize fraud warning signs and how to report suspected fraud. Any person suspecting fraud is urged to contact the Aeronautics project manager for that project – or any Aeronautics manager, including the Bureau Director. All allegations will be treated seriously and acted upon immediately. The Department's Office of General Counsel and the Secretary's Office would be asked to get involved as appropriate.

In addition, project specifications for every federal project include standard federal requirements. These include a statement that the Department can "... terminate in whole or in part at any time due to failure to fulfill the contract obligations". Fraud would be sufficient cause for termination of the contract. Additional Aeronautics specifications (80-06, "Temporary Suspension of the Work," and 80-09, "Default and Termination of Contract") could be invoked to stop work on the project to allow for investigation of any alleged fraud or to terminate a contract due to fraud.

Within Transit, fraud, ineligible expense claims, or inappropriate use of federal property would be looked for as part of the normal oversight and audit procedures. Ineligible expenses would be disallowed via final audit processes. Transit staff and/or audit staff suspecting fraud are

required to bring their suspicions to their Section and Bureau Chief. Transit staff would typically involve the Department's Office of General Counsel, FTA, and local government managers. If it were determined that the concern warranted an investigation, the Department would involve local, state, and federal law enforcement officers. Law enforcement would then coordinate the investigation.

### Addressing audit findings

Where there have been audit findings are in areas managing ARRA funds, the Department is taking action to address these findings as follows.

- In 2009, Aeronautics had a finding from the Legislative Audit Bureau related to Davis-Bacon oversight. They are in the process of modifying internal policy and procedures. In addition they have already instituted mandatory wage compliance training for consultants in the field. Aeronautics will be modifying contract language and making other changes to clearly establish expected oversight procedures. Report highlights and the full report are available at: <http://www.legis.state.wi.us/lab/reports/09-5highlights.htm>.
- In 2008, the Local Highway and Bridge program had a finding from FHWA where two localities failed to provide proper documentation supporting their reimbursement requests on certain projects. Proper documentation requirements were explained to the localities and new processes were established to insure adequate documentation is provided.
- In 2008, the Local Highway and Bridge program also had a finding from FHWA where one locality may have used a grant for an ineligible project. FHWA is not funding any projects in that county pending the results of a WisDOT review.
- In 2009, the Transit program had a finding from FTA that it was receiving late or inadequate reporting from the Department. However, program managers noted that the missing information was not critical for determining or overseeing compliance or eligibility, or for guarding against waste, fraud, error or abuse. Transit managers are confident they are receiving the information necessary to ensure that subrecipient expenditures of ARRA funds are compliant and not subject to waste, fraud, error, or abuse. The Department is waiting for additional guidance from FTA regarding additional monitoring, audit, and review requirements.
- In 2009, the State Highway and Bridge program had a finding from the Wisconsin Legislative Audit Bureau (LAB) regarding inadequate documentation of quality assurance measurements for highway projects built with concrete pavement. The full letter report can be found at: [http://www.legis.wisconsin.gov/lab/reports/09-dotconstructionengineering\\_ltr.pdf](http://www.legis.wisconsin.gov/lab/reports/09-dotconstructionengineering_ltr.pdf). In response, the Department has made changes to its processes as follows:
  - Requiring more testing of the concrete pavement by the contractor.
  - Requiring inspectors to take and document the Quality Verification test.
  - Developed electronic documentation of the Quality Assurance & Quality Control testing.
  - Increasing the number of Independent Quality Assurance reviews conducted on projects with concrete pavement.

- Decreased the allowable deficiency thickness from 3/8” to 1/8”.

## VI. REPORTING AND TRANSPARENCY

The Department is committed to meeting ARRA transparency goals. Accordingly, it is closely tracking ARRA reporting requirements and has developed – and continues to develop – a number of reports and reporting mechanisms in order to ensure that the Department can provide accurate and timely reports that meet those requirements. A full list of these reports as of June 22, 2009 is available in **Appendix C**. Because the Department continues to develop reports and reporting mechanisms, this appendix is a static shot of a dynamic process.

All three programs have extensive new reporting requirements. WisDOT recognizes the need to continually improve and establish a quality control process for ARRA reporting. The information for these reports is usually, but not always, available through existing systems. Sometimes gathering the information involves using multiple systems, doing manual calculations, or making manual entries. Sometimes information is not available until a few days before the report is due. The reporting staff at WisDOT follow the report requirements for each report that is requested. The reporting staff contacts the agency requesting the report for clarification when needed, and maintains a file of this correspondence. Report staff at WisDOT have developed a matrix that lists each report and the data types and sources that each report accesses. This enables report staff to cross-reference content on various reports to verify accuracy between the reports. Each report is proofread, by checking each record in the report against the record in the data source. In some cases the data is extracted from the data source on a specific day, and the data could be updated afterward. In these cases, the report record is compared to the data extract. The report staff keep in frequent contact with the Data Stewards who oversee the data sources. The intent of this communication is to alert the report staff of any problems with the data sources. These problems, if any, are addressed before producing any reports.

The WisDOT Office of Policy Budget and Finance are management reviewers for federal agency reports. At present, they have entrusted and delegated the quality control to the report staff and Data Stewards. WisDOT Division Management oversee reviews of internal reports on ARRA projects. They review internal reports individually and at regular meetings and raise any questions about the content to the report staff.

Requirements for Highways are the clearest at this point. The Department now has the data to complete these reports and has been submitting them for several months now. FHWA has several reporting requirements, including FHWA-1585: Monthly Recipient Project Status Report; FHWA-1586: Initial Project Information; FHWA-1587: Monthly Summary Employment Report; FHWA-1588: Periodic Grouped Project Report; FHWA-1589: Monthly Employment Report. Forms and detailed information are available from FHWA at <http://www.fhwa.dot.gov/economicrecovery/reportingforms.htm>. These monthly project management reports will be available online soon.

FTA has not yet issued final guidance on ARRA reporting. The Madison and Milwaukee County transit systems and the small urban transit systems will report directly to FTA. As requested by the large and small urban transit systems, WisDOT will provide technical assistance, monitoring, and troubleshooting to assure accurate and complete reporting to FTA. WisDOT is responsible for reporting on behalf of the non-urban transit systems.

Reports to FAA include how Aviation projects were designed, bid, contracts awarded and the oversight, review and approval and payment of contractor invoices and the drawdown of federal funds which we have documented by other means to date.

The Department also voluntarily provides monthly reports to the US House Of Representative's Transportation & Infrastructure Committee on ARRA transit and highway programs. These reports include information on locations of present and upcoming projects, progress of construction contracts, recent accomplishments, schedule, and labor hours.

The Department also provides biweekly status to reports to Wisconsin's Office of Recovery and Reinvestment (ORR) and will provide quarterly ARRA reports once ORR issues reporting requirements..

## VII. FINANCIAL

ARRA funds have unique identifiers in WisDOT's accounting system. This allows the Department to determine ARRA obligations, expenditures, and amounts remaining. It also allows the Department to provide assurance that ARRA funds are only spent on ARRA-eligible projects and items. Specifically, for Highways, unique appropriations for ARRA funds were created in Act 28. These appropriations provide for reporting and control of expenditures for ARRA funds separate from other federal sources. For Aviation, Transit and Rail, unique program codes serve a similar function. In addition, the Department is holding standalone lettings for ARRA projects. In addition, since ARRA eligibility requirements are the same as federal requirements normally faced by the Department, the Department's regular controls provide additional assurance that ARRA dollars are spent only on eligible items. **Section V Monitoring and Oversight** and **Appendices A and B** provide more information on these controls, including project audits and the change management process.

## VIII. PERFORMANCE MEASURES AND GOALS

For all transportation programs, there are no federal requirements for performance measures or goals. However, the Department does have internal performance measures. For highway programs, this includes measures of on-time and on-budget. The Department also measures total dollars awarded to Disadvantaged Business Enterprises (DBE) and the share of total spending that represents. These measures will also be made for funds awarded and expended under ARRA. These program completion targets are all tracked in the monthly reports the Department has developed or is developing. **Section V Monitoring and Oversight** and **Appendices A and B** provide more information on how these processes are used to monitor progress and ensure projects remain on-time and on-budget, and that they meet specifications.

The Department reports hours worked and wages paid to FHWA, which is responsible for estimating job creation under ARRA. FTA has indicated to the Department that it plans to address reporting and estimating job creation for transit projects.

## IX. STAFFING AND TRAINING

The Department has evaluated its staffing needs, in order to ensure that it has appropriate staffing to administer and oversee ARRA funds. Accelerated timelines, increased program size, and increased reporting for ARRA have required increased levels of effort in impacted areas throughout the Department. As a result, the Department has requested approval to fill key positions, and has reassigned existing employees. In some cases, staffing shortages remain a risk, and the Department continues to monitor this risk. Because staffing levels are thin, the Department is actively looking to identify where project positions can be created (rather than permanent positions) and looking to see where staff reassignment and duty reprioritization can help meet ARRA project needs.

Specifically, the Department has requested and received approval to fill 32 project positions to oversee state and local highway and bridge projects, as well as aviation projects, funded by ARRA dollars. This oversight includes usual Department processes, as well as ARRA reporting. The Department will be asking for approval of 14 project positions in July, 8 in August, 6 in September, and 6 in October. These July positions will be contract specialists and equal rights officers responsible for work related to ARRA projects.

The area overseeing FAA grants has hired a project position to be the point person and expert on ARRA reporting requirements and deadlines.

In addition, the Department is filling two project positions that will take the lead in administering the non urban transit ARRA funding, including reporting and contracting. In addition, the Department plans to seek approval to fill the position that manages the “regular” non urban transit funding program with a newly created federal position. Finally, the Department plans to request permission to fill a vacant federal position and create one new federal position. None of these three positions would be used primarily for ARRA work, but rather would be used address current staff shortages. If approved, these positions will alleviate workload from experienced transit staff and allow them to dedicate more time to ARRA related work.

See **Section V Monitoring and Oversight** for more information on ARRA-specific training that has been done related to fraud prevention and detection.

## X. SUMMARY

In summary, the Department has been able to strengthen and supplement its existing administration, reporting, and oversight processes and tools to provide robust management and oversight for ARRA funds.

These processes and tools ensure that ARRA projects are successfully delivered on-time and on-budget without waste, fraud, error, or abuse. They include executive-level oversight, detailed design manuals, project management processes, change management processes, bid letting processes, a project-based financial system, project reporting, quality assurance, and project auditing. Additional staff has been brought or is being brought on board to expedite these projects and to provide or oversee ARRA reporting.

In short, the Department is committed to ensuring it has the processes, procedures, staffing, and training to ensure that management, oversight, and reporting of ARRA funds are timely, robust, compliant, and correct.



# APPENDIX A

## CHANGE MANAGEMENT

<u>STATE AND LOCAL PROGRAM OVERSIGHT LEVELS</u>	<u>17</u>
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## STATE AND LOCAL PROGRAM OVERSIGHT LEVELS

WisDOT has achieved significant performance improvements in the implementation of “mega” projects. We will be leveraging those lessons and practices in the management of ARRA projects and will also manage the entire program of ARRA projects as a group. Change Management is monitoring and managing project issues or risks that have the possibility of affecting project scope, safety, schedule, and budget. All layers of our organization must be actively engaged in the change management process. The Change Management process described in this report applies to ARRA projects on both the state system and the local system of highways.

There are several oversight levels for any project and the person responsible varies depending on whether the project is on the state system or the local system.

Oversight level	State system project	Local system project
Project level	Consultant Project Leader	Consultant Project Leader
Project Manager level	Region Project Manager	Management Consultant for the region
Supervisor level	Region Supervisor	Local Program Project Manager for the region
Chief level	Region PD Chief	BPD Local Project Delivery Section Chief
Director level	Region Director	BPD Director

The project team is made up of the consultant project leader (project level), the project manager level and the supervisor level.

## ARRA PROJECT SCOPE/COST CHANGE CONTROL

Since ARRA projects are funded with a fixed budget it is essential that scope/cost changes are:

- Identified early
- Quickly assessed
- Thoroughly evaluated
- Promptly resolved
- Efficiently mitigated to preserve cost objectives

After award, each ARRA project will have a set contract amount, a construction delivery estimate and a construction reserve. During the life of a project, it is expected that each project team will project a final project cost for each project by monitoring and forecasting cost overruns/underruns, scope changes and contract modifications. Each team must manage within their project budget. A report of anticipated project costs will be reported to the region or statewide bureau office monthly or as needed.

Each project will follow the current contract modification process set up for that type of project. For example, the Federal Majors projects will follow their Construction Management plan for approving change orders and cost modifications. The other projects will follow the normal approval levels:

State projects	Local projects	Approval authority
Region Project Manager	Management Consultant for the region	Under \$25,000
Region Supervisor	Local Program Project Manager for the region	\$25,000 to \$50,000
Region PD Chief	BPD Local Project Delivery Section Chief	Over \$50,000

The project team can manage changes to the budget up to **½ of the reserve percentage or up to \$50,000** (the lesser of the 2 amounts). Project staff should do all they can to stay within the budget, which includes trying to balance overruns and underruns to stay within budget. The consultant project leader will be responsible for tracking over-underruns, scope and contract modifications and discussing the information with the project manager weekly. Project scope/cost strategies include; shortening project limits, eliminating low risk work, considering cost savings proposals from contractors and other strategies that do not impact overall project quality or reduce safety objectives. Teams should develop and maintain early in the project ideas on where savings can be realized if overruns occur. These ideas can be contained in a cost saving contingency plan.

If the project team cost threshold is exceeded the project leader needs to submit a request to the project manager for discussion. If cost savings cannot be realized within the project, the project manager will forward the request to the region/bureau Change Management team.

The request must contain (See the Change Management Request Form, p. 4);

- Item to be changed
- Reason for the cost increase
- Justification
- Cost implication
- Criticality of the modification

Before any contract modification can be approved, the request has to be approved by the region/bureau Change Management team. The purpose of that team is to maintain the “big picture” view of the overall ARRA program budget. The Change Management team should be apprised of cost changes less than these thresholds through monthly project reporting.

The region/bureau Change Management team will be responsible for managing any changes to the projects costs between **50-100% of the reserve amount or less than the \$500,000** (the lesser of these amounts).

Any changes that **exceed the reserve amount or \$500,000** will be resolved at the Division level and anything **greater than \$1,000,000** will be forwarded to the Oversight team.

See the ARRA Project Cost Change Management Matrix, p. 6.

ARRA Project  
**Change Management Request**



Date:  
Project ID:  
Submitter:

---

Issue Description (include item(s) to be changed):

Reason for Change:

Justification (include options considered):

Cost Implication:

Criticality of the modification:

---

Decision:

Decision Date:

---

Approval level:

- |  |   |
|--|---|
| <input type="checkbox"/> Project team                    | <input type="checkbox"/> Region/Bureau Change Management team |
| <input type="checkbox"/> Division Change Management team | <input type="checkbox"/> Oversight team                       |

### Total Project Costs Management, Authority Levels

Total project costs include the construction contract amount, construction delivery amount and reserve.

Anticipated Project Costs (total) increase or decrease	Project Level	Region/Bureau Level	Division Level	Oversight
	Let amount and delivery + 50% Reserve or \$50,000*	Let amount and deliver + 100% Reserve or \$500,000*	Costs over total project cost or \$1,000,000*	Costs over total project cost and > \$1,000,000

\*The lesser of the 2 amounts

### Construction Contract Change Management, Approvals

(If no other cost management rules apply)

	Project Manager	Supervisor/ LPPM	Chief	Region/ Bureau	Division	Oversight
Contract Mod, quantity increase or decrease	<\$25,000	<\$50,000	<\$100,000	<\$500,000	<\$1,000,000	>\$1 Million
Timeline	1-2 days	2 days	2 days	5 working days	10 days	10 days

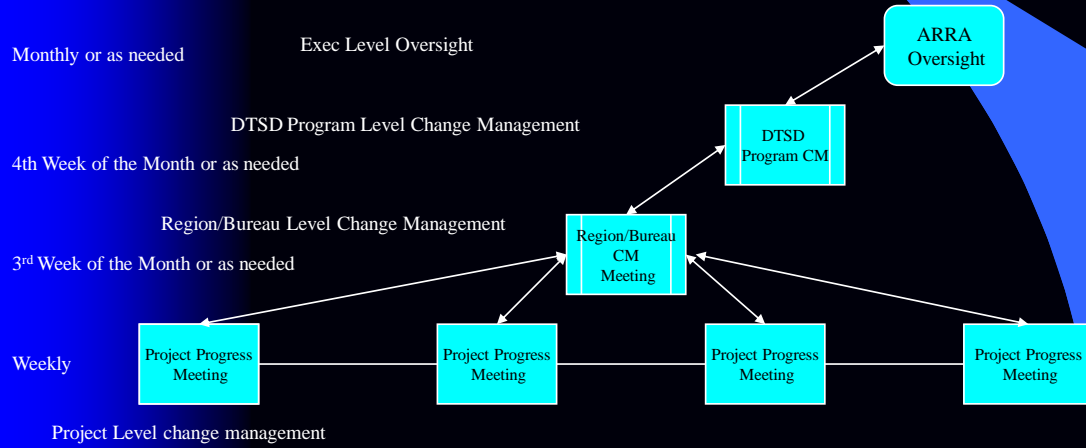
FHWA approvals will remain the same. See FDM 5-2-1, CMM 2.42

Project Cost Management strategies include:

- Shortening project limits;
- Eliminating low-risk work;
- Considering cost saving proposals from contractors;
- Other strategies that do not impact overall project quality or reduce safety objectives.

**Program Management would occur at the Division level.**

# Executive-level P.M., Oversight and ARRA



## ARRA PROJECT SCHEDULE CHANGE CONTROL

It will be the contractor's responsibility to meet the project milestones and manage the construction operations schedule as established in the contract. Changes to the project schedule need to be monitored by the project team. The contractor and project team need to be focused on achieving interim milestones and final completion dates. If changes to the schedule have the following impacts, these changes need to be reported to the region/bureau Change Management team;

- Impacts the traveling public and results in causing travel delays that exceed FHWA guidelines.
- Impacts major travel weekends like holidays.
- Forces work to be completed in the winter or the next construction season.
- Causes a significant increase in costs (see cost change management matrix).

## Project Closeout Expectations

Finals Process Timeline and Goals – non contractual:

### Goals

- Finals to project manager – 1 month after project completion date
- Tentative/Final Estimate – 4 months after Final Acceptance
  - Contractor returns/responds to T/F in 30 days
- Final Estimate – 6 months after Final Acceptance

### Timeline

- Contractor notifies project leader when project is substantially complete
- Project leader promptly inspects work/creates punch list
- Contractor completes all work/submits all required documentation
- DOT grants Final Acceptance

In order to meet these goals the following actions should be taken:

### Quality Management

- Measure as you go – avoid estimating quantities
- Take final x-sections and calculate volumes on completed earthwork sections/borrow sites timely – do not wait until project is completed
- Verify quantities with contractor – weekly meeting agenda item

### Materials

- Require material certifications/test prior to installation
- Department may withhold payment of an item if certification/test report is not received

### Dispute/Claim Avoidance

- Recommend the use of Request for Information (RFIs)
- Resolve disputes as you go

## ARRA PROJECT ISSUE/RISK MANAGEMENT

ARRA project funding requires the agency ensure the funds are expended responsibly and in a transparent manner. Federal agencies will be implementing significant oversight, direct project review and auditing of the projects. This requires that the department track and resolve issues and risks. The department needs to “lean-in” and anticipate issues and risks that could affect project scope, safety, schedule or budget. Issues of interest/importance/relevance require attention and closure.

Issues that should be considered for bringing forward:

- Have the potential to generate significant negative press
- Have the potential to create external relationship issues
- Have the potential to significantly impact major travel patterns
- Are commitments made by the administration or that the administration has expressed interest in
- Are very clearly risk issues for the Region/Bureau, Division, Department
- Issues that keep you up at night thinking about
- Concerns that you lack adequate resources to meet requirements
- What challenges will the project face (legislative, political, business relationships, funding, community/public, outreach)

There may be other issues that fall outside these areas that may need to be reported as well.

An Issues/Risks tracking log has been developed for continuous assessment and planning of the ARRA projects. The log will allow for active feedback on implementation, monitoring effectiveness, resolution and closeout. Each project team will be required to submit a project report **monthly** that identifies the issue, it's status, action required, anticipated completion date and who is responsible to take action. At regularly scheduled meetings, the project team should take time to review/discuss/update the issues list for the project. Not all issue/risks can be resolved by the project team. Those issues/risks forwarded for the monthly report will be reviewed by the region/bureau Change Management team for review and assistance in resolving.

## COMMUNICATION

- Heightened transparency and accountability expectations make proper/timely communication essential.
- Proactive communication on issues of potential risk to the department's success at delivering ARRA projects/program is a must.
- All media requests should be forwarded to the Region Communication Managers (RCM) for direction on responding.
- All information requested by official governmental agencies is to be honored timely.
- All visits to the project or requests for information by outside parties (FHWA, Dept. of Labor, etc.) should be reported to the RCM. Please let them know who visited the project, when, if they requested information and what they were interested in.

- All open records requests outside of those listed above should be coordinated through the RCM and Region Open Records Coordinator.
- As this heightened level of proactive communication is new to our business practices, we will likely have to make modifications to these procedures as we go along. Please be patient and your feedback is welcome.

## REPORTING TIMELINE

**Weekly** – Project team meetings

**End of month** – Construction project leader completes the monthly report project data collection form and forwards it to the project manager

**1<sup>st</sup> full week of the month** – Project manager submits the data collection form to the region/bureau PPA

**2<sup>nd</sup> full week of the month** – submit Change Management Request form to the region/bureau Change Management team (if any), region/bureau PPA submit the draft monthly report to the region/bureau Change Management team for review

**Middle of the month** – Report complete for the prior month

**3<sup>rd</sup> full week of the month** – Region/bureau Change Management team meets to discuss the monthly report and any Change Management requests

**4<sup>th</sup> full week of the month** (or as needed) – the Division Change Management team meets to discuss any items elevated from the region/bureau Change Management team

## ROLES AND RESPONSIBILITIES SUMMARY

### Construction Project Leader

- Meet weekly with the project team.
- Track cost overruns/underruns, scope changes and contract modifications.
- If the project team cost threshold is exceeded, submit Change Management request to the project manager.
- Monitor the construction schedule, if significant changes report to the project manager.
- Meet project close-out expectations.
- Monitor Issues and Risks and forward any concerns to the project manager.
- Fill out the monthly report data collection form monthly and forward to the project manager.

### **DOT Project Manager/Local Program MC**

- Meet weekly with the project team.
- Review cost overrun/underrun, scope changes and contract modifications submitted by the project leader.
- Review Change Management request forms and forward to the region/bureau Change Management team after discussion with the Project Supervisor/LPPM and if they cannot be resolved by the project team.
- Report significant schedule changes to the region/bureau Change Management team after discussion with the Project Supervisor/LPPM.
- Monitor project close-out and ensure expectations are met.
- Forward significant Issues and Risks to the region/bureau Change Management team after discussion with the Project Supervisor/LPPM.
- Review the monthly data collection form and forward to the region/bureau PPA after discussion with the Project Supervisor/LPPM.

### **DOT Project Supervisor/Local Program Project Manager**

- Meet weekly with the project team as needed.
- Review cost overrun/underrun, scope changes and contract modifications with the project manager.
- Review Change Management requests with the project manager prior to submittal to the region/bureau Change Management team.
- Review significant schedule changes with the project manager prior to submittal to the region/bureau Change Management team.
- Review significant Issues and Risks with the project manager prior to submittal to the region/bureau Change Management team.
- Review the monthly data collection form with the project manager prior to submittal to the region/bureau PPA.

### **Chief**

- Review the ARRA program monthly report and take action where required.
- Member of the region/bureau Change Management team.
- Help the project teams with difficult issues they encounter.
- Promote Change Management expectations.
- Stay abreast of key issues and events of the ARRA projects.

### **Region/Bureau Change Management Team**

- In a region for projects on the state system, comprised at a minimum of the region Directors and Managers. Can include additional region management. Supervisors and/or project managers will present project specifics to this team.
- For projects on the local system, comprised the BPD Director and Chief of the Local Project Delivery Section. LPPMs and/or project managers will present project specifics to this team.
- Meet monthly to review the monthly report and change management requests.
- If region/bureau Change Management team cost threshold is exceeded, submit Change Management request to the Division Change Management team.
- Report significant risks/issues to the division Change Management team.

### **Division Change Management Team**

- Comprised of the region Directors, BPD Director and Division Administrators.
- Meet monthly to review the monthly report.
- If Division Change Management team cost threshold is exceeded, submit Change Management request to the Oversight team.
- Report significant risks/issues to the division Oversight team.



# APPENDIX B

## ARRA ORGANIZATIONAL STRUCTURES

<u>OVERSIGHT COMMITTEE</u>	<u>28</u>
<u>PROGRAM DELIVERY: STATE HIGHWAYS AND BRIDGES</u>	<u>29</u>
<u>PROGRAM DELIVERY: LOCAL HIGHWAYS AND BRIDGES</u>	<u>30</u>
<u>PROGRAM DELIVERY: TRANSIT</u>	<u>31</u>
<u>PROGRAM DELIVER: AVIATION</u>	<u>32</u>

### **Oversight Committee**

Frank Busalacchi, Secretary

Ruben Anthony, Deputy Secretary

Chris Klein, Executive Assistant

Kevin Chesnik, Administrator, Division of Transportation  
System Development (DTSD)

Rory Rhinesmith, DTSD Operations Director - Bureaus

Paul Trombino, DTSD Operations Director - Regions

Mark Wolfgram, Administrator, Division of Transportation  
Investment Management (DTIM)

Al Radliff, FHWA Division Administrator

Casey Newman, Director, Office of Policy, Budget &  
Finance (OPBF)

Peg Schmitt, Office of Public Affairs

David Nguyen, DTSD

Reggie Newson, DTSD

Beth Nachreiner, OPBF

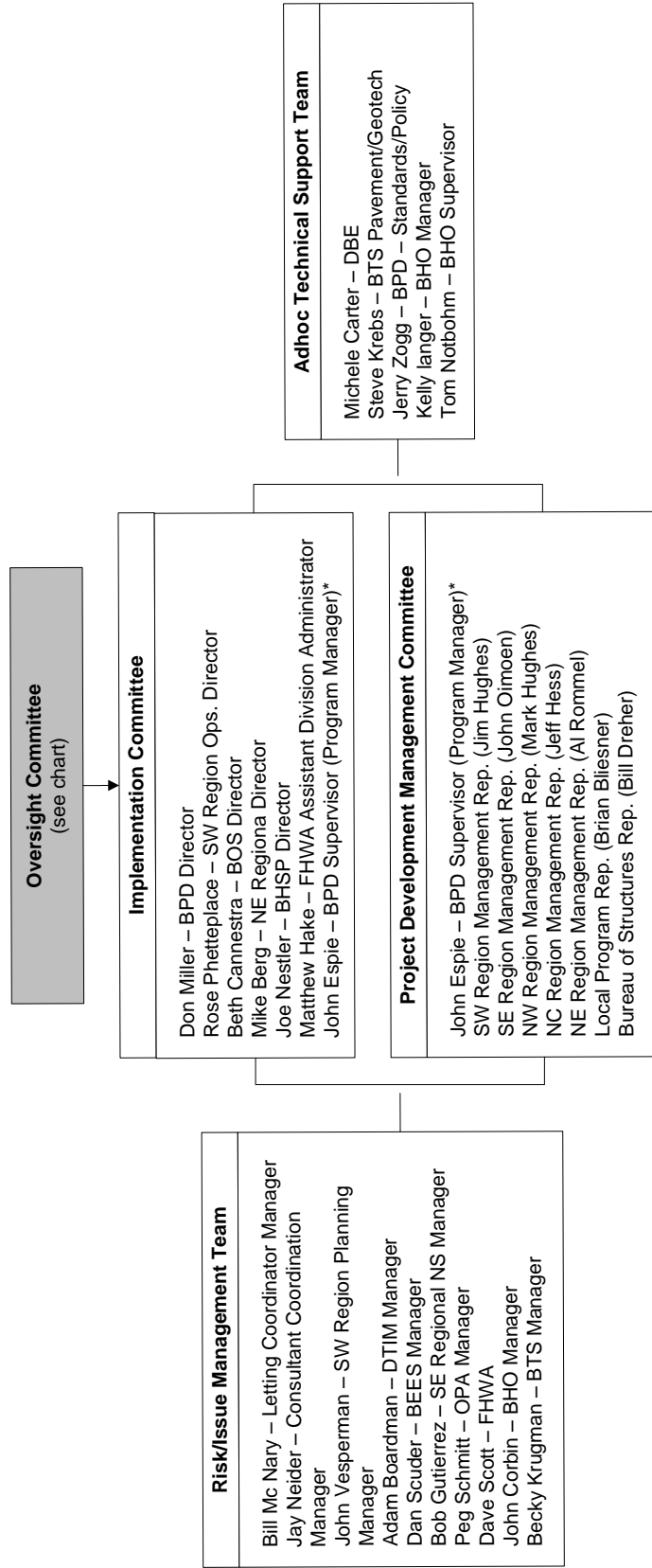
Jim Donlin, OPBF

Don Miller, Director, Highway Project Development

Dave Greene, Director, Aeronautics

Rod Clark, Director, Local Roads & Transit

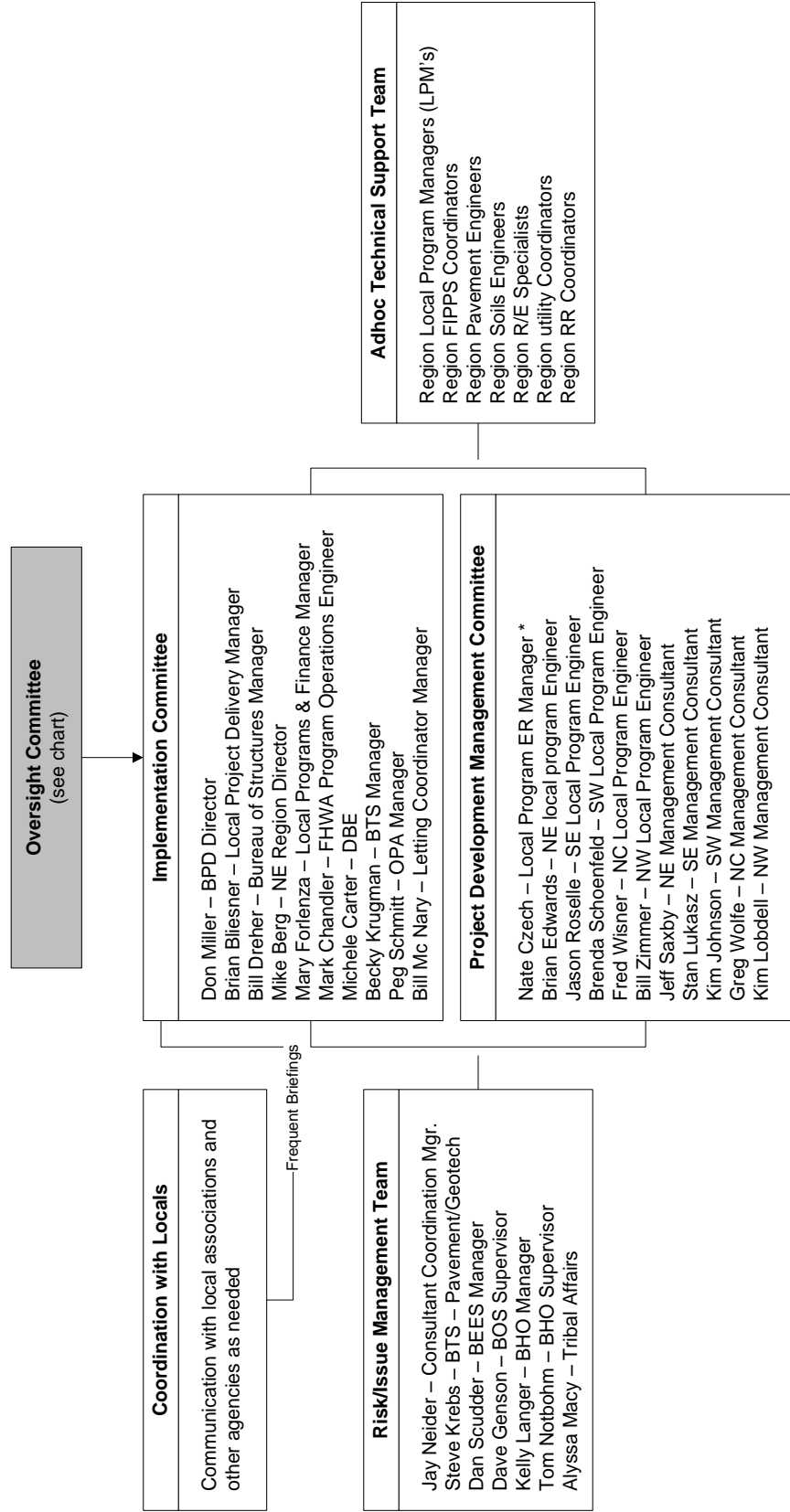
## ARRA Program Delivery Organizational Structure: State Highways and Bridges



**\*Program Manager Responsibilities:**

Attend all meetings to provide continuity of information and update on progress (be prepared, concise, and clear)  
 Prepare and circulate agendas. Share summary of action items.  
 Coordinate, communicate and document all project progress including the elimination of issues/risks as program is being implemented

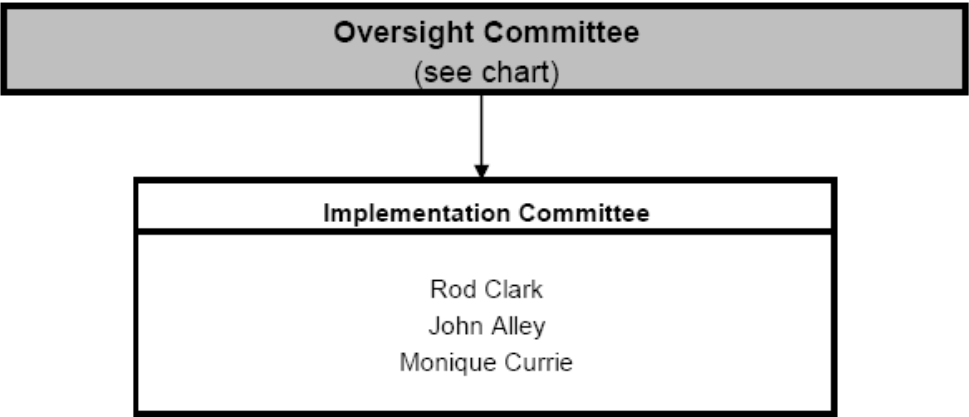
## ARRA Program Delivery Organizational Structure: Local Highways and Bridges



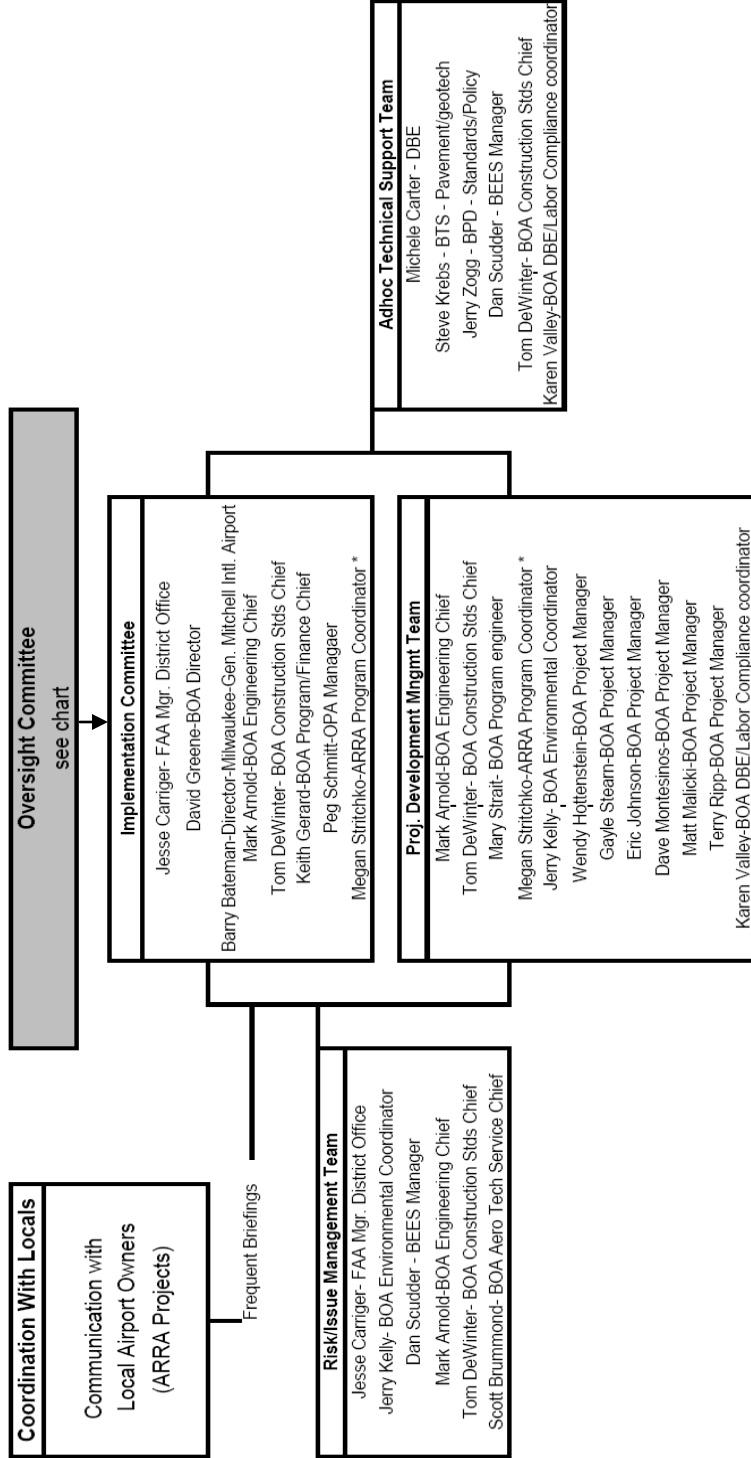
**\*Local Program ER Manager Responsibilities:**

Coordinate weekly meetings to provide continuity of information and update on progress.  
 Prepare and circulate agendas. Share summary of action items.  
 Coordinate, communicate and document all project progress including the elimination of issues/risks as program is being implemented.

# ARRA Program Delivery Organizational Structure: Transit



# ARRA Program Delivery Organizational Structure: Aviation



**\* ARRA Program Coordinator Responsibilities:**

Coordinate & attend all meetings to provide continuity of information and update on progress. (Be prepared, concise, and clear.)  
Prepare and circulate agendas. Share summary of action items. Prepare ARRA reports.  
Coordinate, communicate, and document all project progress, including the elimination of issues/risks as program is being implemented.



# APPENDIX C

## ARRA REPORTING MATRIX

Report Name	Provided To	Who Provides	Ready Date	Due Date	Submitted and Met Deadline?
State Highway ARRA Projects Monthly Report	WisDOT Secretary	DTSD Regional PPAs	3/24/2009	3/27/2009	Y / Y
Form 1586, Initial ARRA Project Plan *	FHWA Headquarters, copy to Division Office	Jim Donlin / Tom Goodwyn	3/24/2009	3/31/2009	Y / Y
ARRA Tables 1, 2 and 3	OPBF (to Committee on Transportation and Infrastructure, Oberstar)	Jim Donlin / Tom Goodwyn	3/30/2009	4/4/2009	Y / Y
Update on Pending Environmental Work on ARRA Projects	FHWA Division Office	Tom Goodwyn / David Castleberg	Each week, COB Wednesday	Each week, COB Friday	Y / Y
Form 1585, Monthly Recipient Project Status Report	FHWA Division Office	Tom Goodwyn / David Castleberg	4/6/2009	4/10/2009	Y / Y
Form 1587, Monthly Summary Employment Report	FHWA Division Office	Tom Goodwyn / David Castleberg	4/16/2009	4/20/2009	Y / Y
State Highway ARRA Projects Monthly Report	WisDOT Secretary	DTSD Regional PPAs	TBD	TBD	N/A
Local Highway ARRA Projects Monthly Report	WisDOT Secretary	DTSD, BPD, Data Services Team	TBD	TBD	N/A
Update on Pending Environmental Work on ARRA Projects	FHWA Division Office	Tom Goodwyn / David Castleberg	Each week, COB Wednesday	Each week, COB Friday	Y / Y
Form 1585, Monthly Recipient Project Status Report	FHWA Division Office	Tom Goodwyn / David Castleberg	5/5/2009	5/8/2009	Y / Y

Report Name	Provided To	Who Provides	Ready Date	Due Date	Submitted and Met Deadline?
Recovery Act Report (aggregate and individual project information in four tables)	OPBF (to Committee on Transportation and Infrastructure, Oberstar)	Jim Donlin / TomGoodwyn	5/11/2009	5/15/2009	Y / Y
State Highway ARRA Projects Monthly Report	WisDOT Secretary	DTSD Regional PPAs	5/13/2009	5/18/2009	Y / Y
Local Highway ARRA Projects Monthly Report	WisDOT Secretary	DTSD, BPD, Data Services Team	5/13/2009	5/18/2009	Y / N
Form 1587, Monthly Summary Employment Report	FHWA Division Office	Tom Goodwyn / David Castleberg	5/15/2009	5/20/2009	Y / Y
Form 1586, Initial ARRA Project Plan *	FHWA Headquarters, copy to Division Office	Jim Donlin / Tom Goodwyn	5/20/2009	5/28/2009	Y / Y
Form 1585, Monthly Recipient Project Status Report	FHWA Division Office	Tom Goodwyn / David Castleberg	6/5/2009	6/10/2009	Y / Y
Recovery Act Report (aggregate and individual project information in four tables)	OPBF (to Committee on Transportation and Infrastructure, Oberstar)	Jim Donlin / Tom Goodwyn	6/10/2009	6/15/2009	Y / Y
State Highway ARRA Projects Monthly Report	WisDOT Secretary	DTSD Regional PPAs	6/15/2009	6/18/2009	Y / Y
Local Highway ARRA Projects Monthly Report	WisDOT Secretary	DTSD, BPD, Data Services Team	6/15/2009	6/18/2009	Y / Y
Form 1587, Monthly Summary Employment Report	FHWA Division Office	Tom Goodwyn / David Castleberg	6/15/2009	6/19/2009	Y / Y

Report Name	Provided To	Who Provides	Ready Date	Due Date	Submitted and Met Deadline?
Form 1586, Initial ARRA Project Plan *	FHWA Headquarters, copy to Division Office	Jim Donlin / Tom Goodwyn	6/16/2009	6/22/2009	Y / Y
Form 1585, Monthly Recipient Project Status Report	FHWA Division Office	Tom Goodwyn / David Castleberg	7/6/2009	7/10/2009	
Quarterly Report from Recipients and Sub Recipients	State ORR Office then to OMB	TBD	7/6/2009	7/10/2009	
Recovery Act Report (aggregate and individual project information in four tables)	OPBF (to Committee on Transportation and Infrastructure, Oberstar)	Jim Donlin / Tom Goodwyn	7/10/2009	7/15/2009	
State Highway ARRA Projects Monthly Report	WisDOT Secretary	DTSD Regional PPAs	7/15/2009	7/17/2009	
Local Highway ARRA Projects Monthly Report	WisDOT Secretary	DTSD, BPD, Data Services Team	7/15/2009	7/17/2009	
Form 1587, Monthly Summary Employment Report	FHWA Division Office	Tom Goodwyn / David Castleberg	7/15/2009	7/20/2009	
Form 1588, Periodic Grouped Project Report (due if any projects let in July are grouped)	FHWA Division Office	Tom Goodwyn / David Castleberg	7/29/2009	8/4/2009	
Form 1585, Monthly Recipient Project Status Report	FHWA Division Office	Tom Goodwyn / David Castleberg	8/5/2009	8/10/2009	
State Highway ARRA Projects Monthly Report	WisDOT Secretary	DTSD Regional PPAs	8/14/2009	8/18/2009	

Report Name	Provided To	Who Provides	Ready Date	Due Date	Submitted and Met Deadline?
Local Highway ARRA Projects Monthly Report	WisDOT Secretary	DTSD, BPD, Data Services Team	8/14/2009	8/18/2009	
Form 1587, Monthly Summary Employment Report	FHWA Division Office	Tom Goodwyn / David Castleberg	8/17/2009	8/20/2009	
Form 1585, Monthly Recipient Project Status Report	FHWA Division Office	Tom Goodwyn / David Castleberg	9/4/2009	9/10/2009	
State Highway ARRA Projects Monthly Report	WisDOT Secretary	DTSD Regional PPAs	9/14/2009	9/18/2009	
Local Highway ARRA Projects Monthly Report	WisDOT Secretary	DTSD, BPD, Data Services Team	9/14/2009	9/18/2009	
Form 1587, Monthly Summary Employment Report	FHWA Division Office	Tom Goodwyn / David Castleberg	9/14/2009	9/18/2009	
Form 1585, Monthly Recipient Project Status Report	FHWA Division Office	Tom Goodwyn / David Castleberg	10/5/2009	10/9/2009	
Quarterly Report from Recipients and Sub Recipients	State ORR Office then to OMB	TBD	10/5/2009	10/9/2009	
State Highway ARRA Projects Monthly Report	WisDOT Secretary	DTSD Regional PPAs	10/13/2009	10/16/2009	
Local Highway ARRA Projects Monthly Report	WisDOT Secretary	DTSD, BPD, Data Services Team	10/13/2009	10/16/2009	

Report Name	Provided To	Who Provides	Ready Date	Due Date	Submitted and Met Deadline?
Form 1587, Monthly Summary Employment Report	FHWA Division Office	Tom Goodwyn / David Castleberg	10/14/2009	10/20/2009	
Form 1585, Monthly Recipient Project Status Report	FHWA Division Office	Tom Goodwyn / David Castleberg	11/4/2009	11/10/2009	
State Highway ARRA Projects Monthly Report	WisDOT Secretary	DTSD Regional PPAs	11/12/2009	11/16/2009	
Local Highway ARRA Projects Monthly Report	WisDOT Secretary	DTSD, BPD, Data Services Team	11/12/2009	11/16/2009	
Form 1587, Monthly Summary Employment Report	FHWA Division Office	Tom Goodwyn / David Castleberg	11/16/2009	11/20/2009	
Form 1585, Monthly Recipient Project Status Report	FHWA Division Office	Tom Goodwyn / David Castleberg	12/4/2009	12/10/2009	
State Highway ARRA Projects Monthly Report	WisDOT Secretary	DTSD Regional PPAs	12/15/2009	12/18/2009	
Local Highway ARRA Projects Monthly Report	WisDOT Secretary	DTSD, BPD, Data Services Team	12/15/2009	12/18/2009	
Form 1587, Monthly Summary Employment Report	FHWA Division Office	Tom Goodwyn / David Castleberg	12/15/2009	12/20/2009	

Form 1586 must be re-submitted within 2 weeks of the State issuing a new Section 1511 Certification