



Municipal Agreement Solicitation Program Planning and Programming Guide Blue Book



DISTRICT 6 – ROCHESTER
OFFICES OF: PLANNING, STATE AID &
AGREEMENTS



2900 48TH STREET N.W. ROCHESTER MN 55901 Ph. 507.286.7500

2011 Solicitation for F.Y. Funding 2014 & 2015

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Municipal Agreement Solicitation Program Area Representatives

MINNESOTA DEPARTMENT OF TRANSPORTATION

2900 48TH STREET N.W. ROCHESTER MN 55901 Ph 507.286.7500

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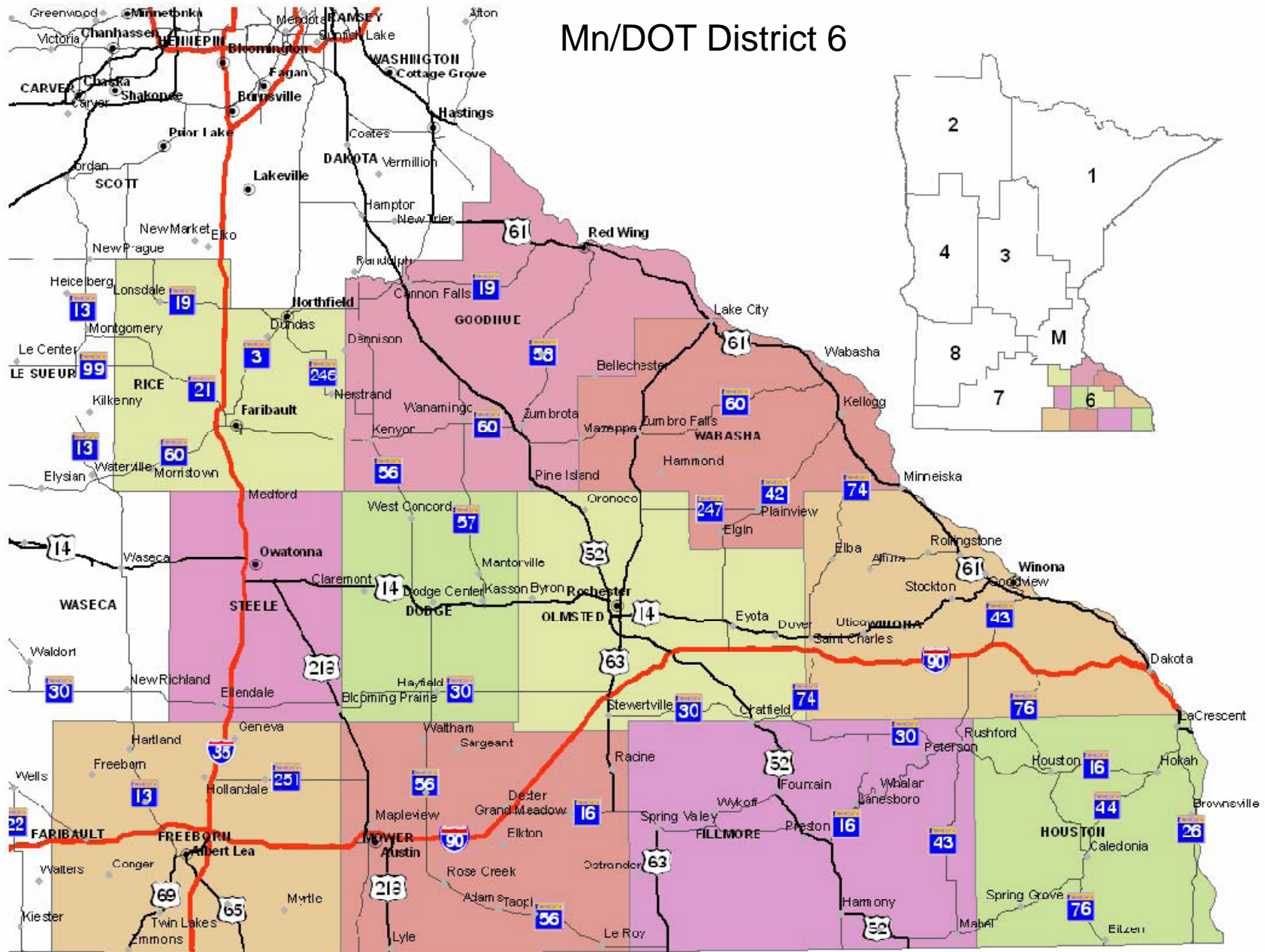
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Mn/DOT District 6 - Rochester

Mn/DOT District 6





Municipal Agreement Solicitation Program Overview And Policy

MINNESOTA DEPARTMENT OF TRANSPORTATION

2900 48TH STREET N.W. ROCHESTER MN 55901 Ph. 507.286.7500



What is the District 6 Municipal Agreement Solicitation Program?

A new program that allows agencies to compete for Trunk Highway funds for local projects. To qualify, these projects must provide a mutual benefit to the local community and to the trunk highway system.



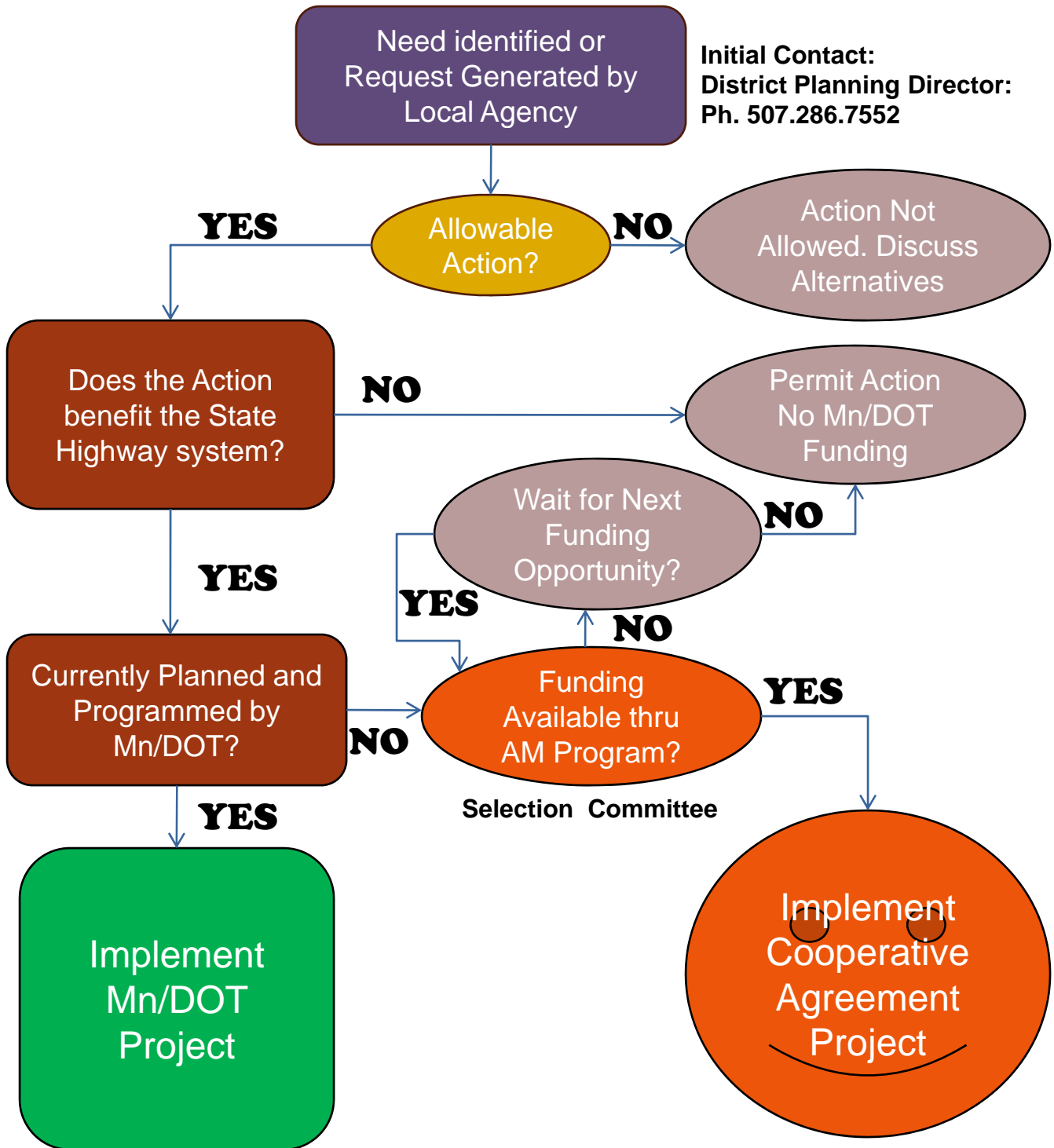
What is the benefit of this program?

The program presents an opportunity to advance locally initiated projects, within a relatively short planning horizon, that might not otherwise receive funding or program priority.

Municipal Agreement (AM) Program

Project Funding Decision Process for Cooperative Agreement Projects

Initial Contact:
District Planning Director:
Ph. 507.286.7552



Assign Mn/DOT Project Manager

What can Mn/DOT participate in?

- In District 6, approximately \$1.5 million in Trunk Highway (T.H.) funds will be available in fiscal years 2014 & 2015 for locally initiated projects that provide a trunk highway benefit.
 - Submitted projects will be prioritized based on their need and benefit to the community and the trunk highway system. Projects will be reviewed for eligible T.H. funding according to the Cost Participation Policy. Awarded funding may not cover all eligible costs. **This is a competitive process**; a requestor's motivation to leverage local funds will be considered in the project rankings.
 - **Only costs eligible under the current Cost Participation Policy will be considered.** For specific information on the policy go to: <http://www.dot.state.mn.us/stateaid/ProjDeliv/agreements/information/ds11.pdf>
-

Responsibilities of the Local Agency

See the Highway Project Development Process (HPDP) site at:

<http://www.dot.state.mn.us/planning/hpdp/scoping.html>

- Coordination with Mn/DOT for scoping and project development
- Project development costs: Lead preliminary design phase (and associated costs) including: public involvement, adherence to local, State and Federal regulations (as applicable). Historical, cultural, and environmental reviews, project layouts, reports, etc.
- Final design costs: Lead development of plans and project documents to State standards, (ex. ADA, design standards, etc.)
- Right of Way costs: Lead r/w acquisition process, incl. Permits, Utility relocations & associated costs, etc.
- Railroad agreements & costs
- All construction costs over and above the trunk highway funds awarded under this solicitation program
- Administration of the Construction contract

The Municipal Agreement Solicitation Program is based on the “*Policy and Procedures for Cooperative Construction Projects with Local Units of Government*” (Cost Participation Policy)

Purpose of the policy:

This policy has been developed to determine the extent to which trunk highway funds may be expended on elements of a cooperative construction project. The basis of the policy is that Mn/DOT participation is limited to Trunk Highway purposes.

Excerpts from the policy:

Cost participation from local units of government is required for locally requested project elements, design beyond what Mn/DOT has determined necessary for the trunk highway project scope, design beyond applicable design criteria, or items with negative impacts on the trunk highway system such as traffic control signals, local road access or parking. Local cost participation is also likely for replacement of existing trunk highway infrastructure in advance of obsolescence or in advance of State funding priorities.

It is recognized that many projects will provide a benefit to both the trunk highway and local road system. One intent of the policy is to assign costs according to the benefit received; however, in many situations those benefits are not so easily assigned. This policy is not intended to give any legal entitlement to financial participation in locally initiated projects. There simply are not enough trunk highway funds available to address all transportation needs or all opportunities presented by locally-initiated projects; and thus, Mn/DOT retains final authority to determine the extent to which trunk highway funds will be expended on these projects.

Frequently Asked Questions:

Where can I get a copy of the Cost Participation Policy?

For a complete copy of the policy guidelines and Position Statement, see the following:

- Policy Guidelines:
<http://www.dot.state.mn.us/stateaid/ProjDeliv/agreements/information/ds11.pdf>
- Policy Position Statement:
<http://www.dot.state.mn.us/stateaid/ProjDeliv/agreements/information/DS12.pdf>

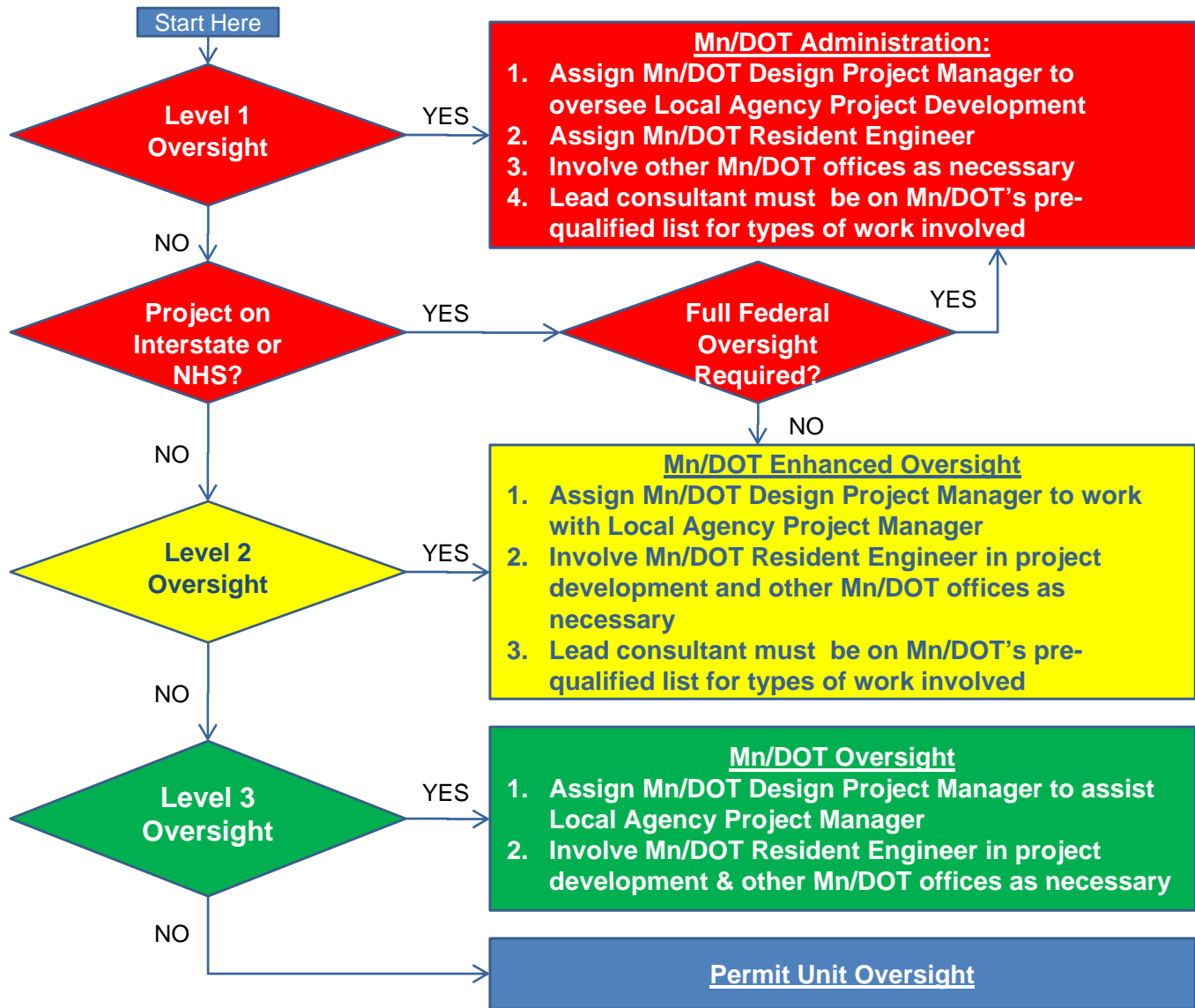
Who do I contact if I have questions about the policy?

1. Contact the appropriate District Cooperative Agreements Coordinator (or the project manager assigned to your project):
 - a. Mn/DOT Project Manager assigned to your project – 507.286.7500
 - b. Rhonda Prestegard – District 6 Agreements Coordinator – 507.286.7511
 - c. Barb McWhirter – District 6 Agreements Assistant – 507.286.7510

Are there other funding opportunities available?

For additional funding opportunities intended to assist local governments with the construction of public infrastructure see <http://www.mrwa.com/loangrantfundingoptions.htm> & <http://positivelyminnesota.com/Government/index.aspx>

Mn/DOT Oversight of Local Projects On Trunk Highways



Mn/DOT Administration:

1. Assign Mn/DOT Design Project Manager to oversee Local Agency Project Development
2. Assign Mn/DOT Resident Engineer
3. Involve other Mn/DOT offices as necessary
4. Lead consultant must be on Mn/DOT's pre-qualified list for types of work involved

Mn/DOT Enhanced Oversight

1. Assign Mn/DOT Design Project Manager to work with Local Agency Project Manager
2. Involve Mn/DOT Resident Engineer in project development and other Mn/DOT offices as necessary
3. Lead consultant must be on Mn/DOT's pre-qualified list for types of work involved

Mn/DOT Oversight

1. Assign Mn/DOT Design Project Manager to assist Local Agency Project Manager
2. Involve Mn/DOT Resident Engineer in project development & other Mn/DOT offices as necessary

Permit Unit Oversight

- Level 1**
1. Major Construction
 2. Major Reconstruction
 3. Interchange/overpass/underpass reconstruction
 4. New bridge over Trunk Highway; major bridge over \$10 million
 5. Design Build (federally funded)
 6. Design Exceptions
 7. Major changes in Freeway Access
 8. Significant historical, environmental, r/w impacts
 9. EIS or EA

- Level 2**
1. Raised channelization
 2. Change in number of lanes:
 - a. Addition
 - b. 3-lane section
 - c. 5-lane section
 3. Major intersection revisions
 4. Moderate changes in access
 5. Roundabouts (require a level 1 layout)
 6. Moderate historical, environmental, r/w impacts
 7. EA or Categorical Exclusion

- Level 3**
1. Guardrail work, Culvert extension, elimination & replacement
 2. Road work types - Overlay only, standard RT lanes, standard LT lanes on divided highway
 3. Removal of obstructions from clear zone
 4. Overlays with widening or left turn lanes
 5. Minor changes in standard geometrics
 6. Minor painted channelization or changes in access
 7. Minor intersection revisions,
 8. Sidewalks and bike trails.
 9. Minor historical, environmental, r/w impacts
 10. Categorical exclusion

OVERSIGHT DEFINITION

Oversight is defined by the Mn/DOT-FHWA Stewardship Plan as *the act of ensuring that the Federal highway program is delivered consistent with applicable laws, regulations, and policies*. Mn/DOT is assigned the responsibility to provide oversight of Federal-aid projects both on the Trunk Highway System and on the local system to fulfill the terms of Stewardship Agreement. See Stewardship plan at http://www.dot.state.mn.us/planning/program/pdf/IM30%20Stewardship%20Plan%205-06-08_1.pdf

In addition, whenever there is work on the right-of-way of a Trunk Highway, Mn/DOT has an oversight responsibility, regardless of what type of funds are being used. Therefore, with respect to Trunk Highways, the definition of oversight can be broadened to *the act of ensuring that any construction activity undertaken on or affecting the Trunk Highway system is designed and constructed in accordance with the laws and rules of the State of Minnesota and policies of the Department of Transportation*. This includes Federal oversight responsibilities when applicable.

Oversight does not refer to who leads project development, prepares plans, processes agreements, etc. Those activities will occur according to established procedures (often dependent upon funding types or project complexity) and responsibilities agreed upon between the District and the local agency.

As projects increase in complexity, higher levels of Mn/DOT oversight are appropriate. The following four levels of oversight correspond to various types of projects on various levels of highway systems, and conform to FHWA expectations.

LEVELS OF OVERSIGHT:

- I. **Oversight Level 1 - Mn/DOT Project Administration – few locally initiated projects will fall under this category.**
 - a. Pre-Letting: Projects with Level 1 work or that are on the Interstate or NHS system and require full federal oversight, MAY have project development activities delegated to local agencies, but must have a Mn/DOT project manager assigned who is familiar with development of Level 1 type projects and projects on the Interstate/NHS. The District Planning Director is usually the initial point of contact for the local agency and remains as such until a Mn/DOT Project Manager is assigned. If the local agency uses a consultant for project development activities, their lead consultant must be on Mn/DOT's Pre-qualification list for work types involved.
 - b. Post-Letting: Projects with Level 1 work or that are on the Interstate or NHS and require full federal oversight should be first considered for Mn/DOT contract administration. In unique situations or with a well-qualified local agency, these projects may utilize enhanced Mn/DOT oversight by a resident engineer (see Level 2).
- II. **Level 2 Oversight - Mn/DOT Enhanced Oversight – most locally initiated projects will fall under Level 2 or 3 oversight requirements.**
 - a. Pre-Letting: Projects with Level 2 work or that are on the Interstate or NHS system, but do not require full federal oversight, will likely have project development activities delegated to the local agencies. The Planning Director is usually the initial point of contact for the local agency and remains as such until a Mn/DOT Project Manager is assigned. The Mn/DOT

project manager will work with the local agency to provide guidance during the project development process. Any consultants used for project development activities must be on Mn/DOT's Pre-qualification list for the work types involved.

- b. Post Letting: Projects with Level 2 work or work that does not require full federal oversight, will likely have contract administration delegated to the local agency. Mn/DOT must first determine whether the local agency is qualified to administer the contract. If the local agency uses a consultant for contract administration, the consultant must be on the State's pre-qualification list for the work types involved. Mn/DOT will provide enhanced oversight which means a Mn/DOT Project Engineer is assigned to the project to oversee contract administration that has been delegated to the local agency. The Mn/DOT project engineer will have approval of time and traffic provisions, be informed of materials acceptance, and have signing authority over supplemental agreements and change orders. With a well-qualified local agency or non-complex project, these projects may be considered for Standard Oversight (See Level 3).

III. Level 3 - Standard Oversight:

- a. Pre-Letting: Projects with Level 3 work that utilize trunk highway funds will likely have project development activities delegated to local agencies. The District Planning Director is usually the initial point of contact for the local agency and remains as such until a Mn/DOT project manager is assigned. The Mn/DOT project manager will work with the local agency to provide guidance on the project development requirements.
- b. Post-Letting: Projects with Level 3 work that utilize trunk highway funds will likely have contract administration delegated to the local agency. Mn/DOT will provide Standard Oversight. Standard Oversight means a project engineer is assigned and will make periodic visits to the construction site. The Mn/DOT project engineer will have final approvals for supplemental agreements and change orders that affect Mn/DOT right-of-way. Enhanced oversight may be considered for less-qualified local agencies, but is generally not required.

IV. Permit Unit Oversight:

- a. These projects typically are small and have only minor impacts to the Trunk Highway. The Permits Unit provides any needed project development and construction oversight. If the scope of work proposed reaches Level 3 or above, Mn/DOT will determine the appropriate level of oversight needed.

COST ACCOUNTING, RECORD KEEPING & MN/DOT PRE-QUALIFICATION LISTS

- a. When a project reaches complexity threshold of Levels 1-3, a State Project number should be issued (even if not selected for funding in this program), so that records can be maintained and costs accounted for.
- b. See Mn/DOT's Consultant pre-qualification lists at: <http://www.dot.state.mn.us/consult/prequal.html> under the **Pre-Qualified Consultant information** heading.



The Project Development Process

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Project Development Timeline for Cooperative Agreement Projects

	2010	2011												2012	2013-2014	2014-2015
	Send Solicitation Letter	Prelim. Submittal Due July 1						Final Submittal Due Sept 1								
	Dec	Jan	Feb	Mar	April	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan-Dec	Jul 2013 - Jan 2014	Jul 2014 - Jan 2015
MnDOT sends solicitation letters to Local Government Agencies (LGA)																
Mn/DOT holds Workshop to introduce the program. LGA must attend to participate in the program																
LGA meets with Planning Director to develop scope of project																
LGA develops project and prepares necessary documents for submittal																
LGA submits project. Prelim Submittal due July 1																
District 6 Reviews submittals and returns comments to LGA																
LGA modifies submittal and resubmits. Final Submittal due Sept 1																
Selection Committee selects projects. Offers made to LGAs																
Proj Development Timeline for F.Y. 2014 projects																
Proj Letting window for F.Y. 2014 projects is July 2013 - Jan 2014															Letting Jul 2013 - Jan 2014*	
Proj Development Timeline for F.Y. 2015 projects																
Proj Letting window for F.Y. 2015 projects is July 2014 - Jan 2015																Letting Jul 2014 - Jan 2015**

* Jan 2014 is the deadline for letting F.Y. 2014 awarded projects

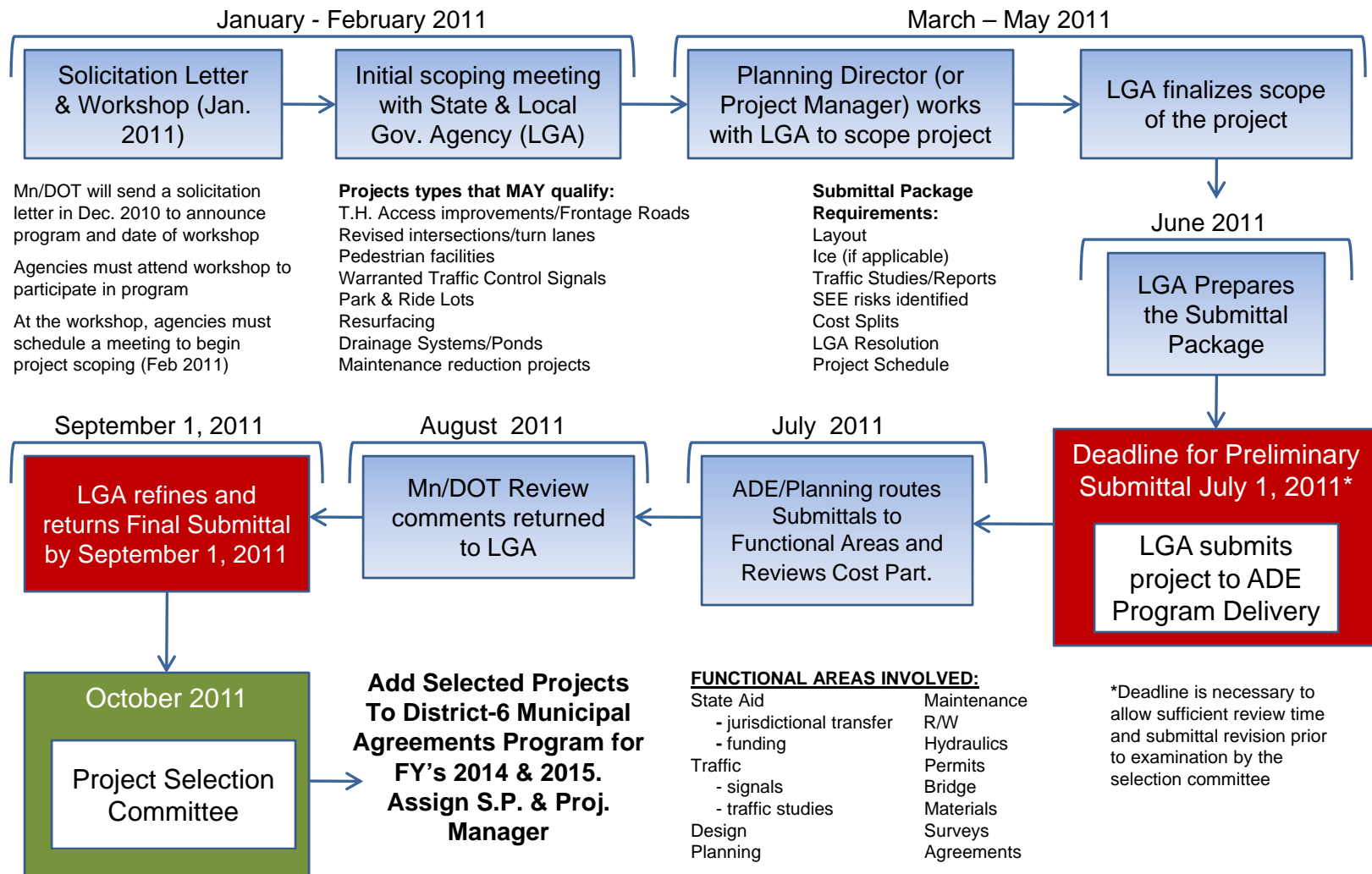
** Jan 2015 is the deadline for letting F.Y. 2015 awarded projects

MUNICIPAL AGREEMENT (SOLICITATION) PROGRAM PROJECT DEVELOPMENT PROCESS

Steps necessary to achieve a successful project:

1. Local Governmental Agency (LGA) attends workshop in January 2011. LGA identifies an improvement that provides benefit to both the local community and to the Trunk Highway System. At the workshop a meeting is scheduled to begin project scoping.
2. Proposer works with Mn/DOT District 6 Planning Director (or Mn/DOT Project Manager) to further develop a project scope consistent with State highway corridor plans, Highway Investment Plan (HIP) and regional/local comprehensive plans (Feb. – May 2011)
3. Within the required timeline, Proposer prepares the official submittal package using information collected during the scoping process (Preliminary Submittal due July 1, 2011). The proposer must have agreement from other affected agencies as well as support and funding commitments for local cost responsibilities. More complicated projects warrant more detailed information. The submittal should contain the following:
 - a. One page cover letter summarizing the benefits of the project to both the trunk highway and local system and cost splits for each agency. Additional attachments should describe project complexity, need, perceived benefits, compliance with HIP/local comp plans, relationship to investment strategies (see pages 21 & 22), project schedule, coordination with affected agencies, willingness to leverage local and/or private funding if applicable, etc.
 - b. Maps, concept layout/preliminary geometric layout. A preliminary geometric layout in Mn/DOT format is strongly recommended for projects that require a Level One, Mn/DOT Staff Approved Layout.
 - b. Reports: Traffic counts, Traffic Study, approved Intersection Control Evaluation (ICE), identification of Social, Environmental, and Economic (SEE) risks (or environmental document) etc.
 - c. Cost estimate - include cost splits for all contributing parties. The estimate must be detailed enough for a Cost Participation Policy review.
 - e. Signed resolution showing local agency's intent to lead the project and participate in the project costs. **The applicant must have all local funding commitments arranged and be prepared to deliver the project within the programmed fiscal year.**
4. The Preliminary Submittal Package is circulated for review within the District 6 functional areas. In some cases a meeting with representatives of the local agency may be requested if issues are identified and discussed with LGA. The proposal may be modified as a result of the review. **Final Submittal due date -All modifications are due by September 1, 2011.**
5. The project is presented to the selection committee (September) and competes with other projects for funding. The committee will categorize the submitted projects as follows:
 - a. Fund the project at the requested level.
 - b. Offer to fund the project at a reduced level.
 - c. Modify the proposed project and determine a new level of participation.
 - d. Prioritize project and place on waiting list at a fixed funding level (in case other projects drop out)
 - e. Not fund the project at any level.
6. The LGA is contacted (October 2011) and offered a maximum funding allocation as determined eligible under the Cost Participation Policy. This awarded amount is contingent upon the final project elements being in accordance with the Policy. The LGA makes the decision to keep or drop the project based upon any project modifications and the awarded level of funding. If the scope of the project changes significantly after the project has been selected, it may be dropped, may require a new review by the selection committee, or may be funded at a lower level, all at the discretion of Mn/DOT.

PROJECT SUBMITTAL AND SELECTION PROCESS FOR MUNICIPAL AGREEMENT SOLICITATION PROGRAM





The Submittal Package

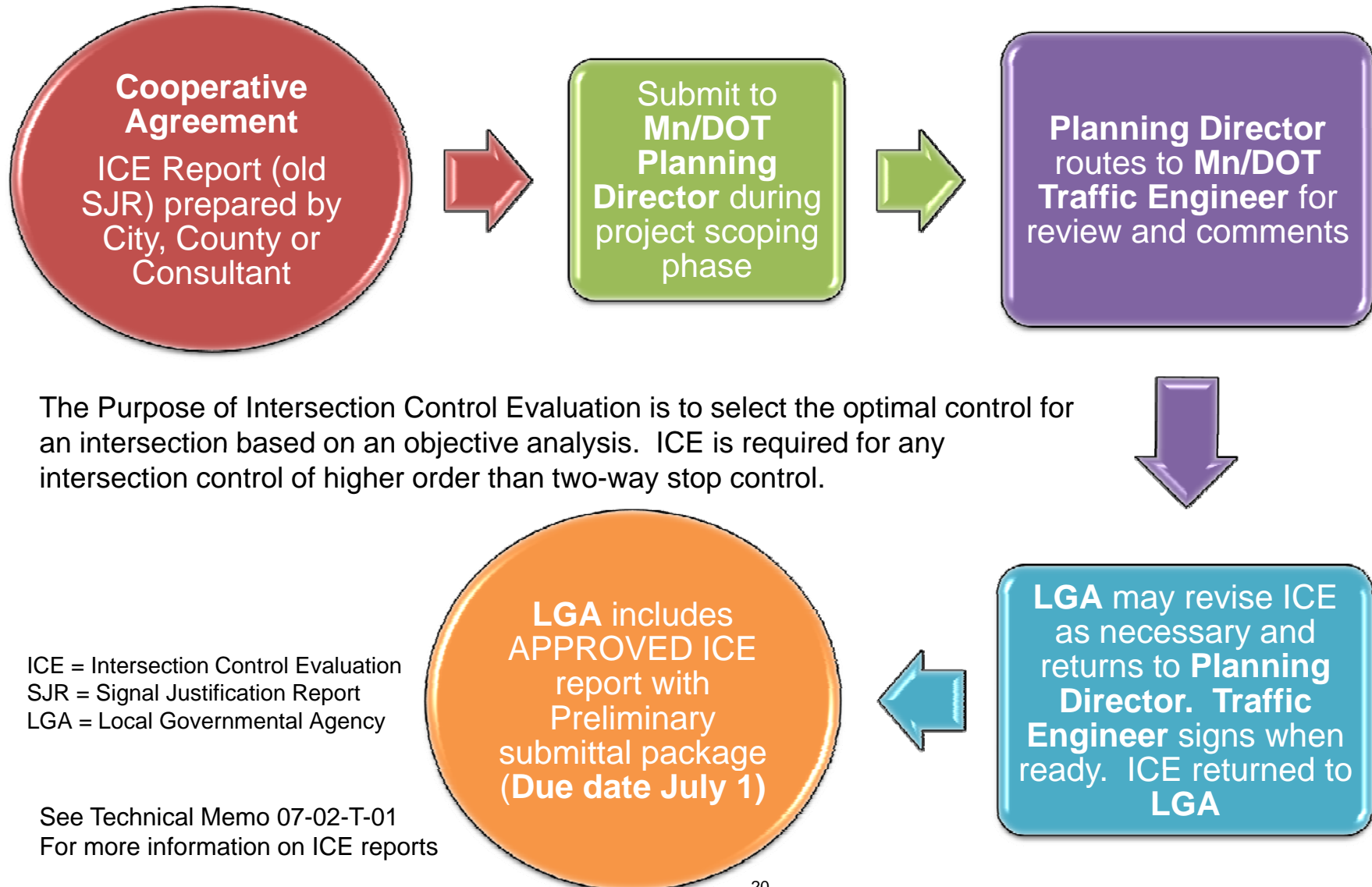
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The Local Government Agency submits a package for each proposed project. The submittal package should contain the following:

- One page cover letter summarizing the project benefits to the trunk highway and local road system. Proposed cost splits.
- The package should also describe the needs, relationship to investment strategies 1-4 (see pages 21-22) & compliance with local and regional plans, etc. Include whether there is an opportunity to advance the work and/or to leverage local and/or private funding as applicable.
- Concept drawing or preliminary geometric layout. A more complicated project warrants a more detailed layout.
- Signed Resolution from the City Council, or County Board indicating its willingness to take the lead on the project and fund the local cost share. A resolution is required from each participating local agency.
- Additional materials such as:
 - Traffic Study (if necessary), accident reports, traffic forecasts, etc.
 - Approved Intersection Control Evaluation (ICE) if new signal or roundabout proposed (see p. 20)
 - SEE risks identified - Environmental review, studies & reports as may be appropriate for project complexity, etc.
 - Include a proposed project schedule. Document the project's consistency with regional plans, local comprehensive plans, and Mn\DOT D-6 HIP and corridor vision.
 - Proposed cost splits for each agency to be detailed enough for a Cost Participation Policy review.

Process for Intersection Control Evaluation (ICE) Approval on Cooperative Construction Agreement Projects



**--Mn/DOT INVESTMENT STRATEGIES--
CATEGORY DEFINITIONS & EXAMPLES**

(Shown in order of Mn/DOT's investment priorities)

**MAINTAIN EXISTING INFRASTRUCTURE
(PRESERVATION)**

Preservation focuses on replacement/rehabilitation of existing infrastructure that is in poor or deteriorating condition. It also includes projects that preserve water quality and/or projects that reduce future maintenance needs.

BRIDGE AND DRAINAGE REPAIRS
RESURFACING ⁽¹⁾
SEWER SEPARATION/WATER QUALITY
SIGNAL AND LIGHTING REPLACEMENT
REPAIR FRONTAGE ROADS (for Jurisdictional Transfer)
REPLACE/IMPROVE EXISTING PEDESTRIAN FACILITIES
IMPROVEMENTS THAT REDUCE MAINTENANCE NEEDS

IMPROVE SAFETY

Safety focuses on managing the existing infrastructure and improving and/or preventing the deterioration of safety via roadway enhancements/capacity improvements. These projects are generally lower cost and may be reactive and proactive.

INTERSECTION CONTROL IMPROVEMENTS ⁽²⁾
ADD TURN LANES/BYPASS LANES ⁽³⁾
NEW FRONTAGE ROADS THAT REDUCE ACCESS ON T.H.
NEW SIDEWALKS - TRAILS (WHERE NONE EXIST)
NEW PEDESTRIAN BRIDGES/TUNNELS
SIGHT LINE IMPROVEMENTS
SAFETY LIGHTING
RAIL SAFETY IMPROVEMENTS ON THE T.H.

Notes:

- (1) Participation in resurfacing driven by local utility work will depend on the existing surface condition.
- (2) All Way Stop, Signals/Emergency Vehicle Pre-Emption (EVP), Roundabouts
- (3) Add safety by providing refuge for turning vehicles and mobility by increasing throughput.

--Mn/DOT INVESTMENT STRATEGIES--
CATEGORY DEFINITIONS & EXAMPLES
(Shown in order of Mn/DOT's investment priorities)

IMPROVE MOBILITY – EXPANSION

Mobility focuses on strategic capacity improvements in highway and transit. May facilitate the ultimate vision for a corridor such as a conversion from expressway to freeway, add capacity by adding through lanes, add Park and Ride, or include isolated improvements that remove trips from the trunk highway or improve capacity.

RECONSTRUCTION TO IMPROVE CAPACITY VIA:

- THROUGH LANE ADDITIONS
- NEW FRONTAGE ROADS THAT REMOVE TRIPS FROM T.H. and/or ACCESS REDUCTION
- TURN LANES/BYPASS LANES ⁽³⁾

SIGNAL TIMING REVISIONS TO IMPROVE COORDINATION
ADDITION OF PARK & RIDE LOTS

SUPPORT COMMUNITY DEVELOPMENT

Community Development focuses on improvements that support and/or facilitate local/regional developments, primarily by managing existing accesses. Provide safe and efficient access to support the economic viability of the development/community.

FRONTAGE ROADS FOR IMPROVED ACCESS
TURN LANES/BYPASS LANES
INTERSECTION CONTROL CHANGES ⁽²⁾
ACCESS REVISIONS/REDUCTION

Notes:

- (1) Participation in resurfacing driven by local utility work will depend on the existing surface condition.
- (2) All Way Stop, Signals/Emergency Vehicle Pre-Emption (EVP), Roundabouts
- (3) Add safety by providing refuge for turning vehicles and mobility by increasing throughput.

ACRONYM LIST

(ADA)	American Disability Act
(ADE)	Assistant District Engineer
(D-6)	District 6
(EVP)	Emergency Vehicle Preemption
(EA)	Environmental Assessment
(EIS)	Environmental Impact Statement
(FHWA)	Federal Highway Administration
(F.Y.)	Fiscal Year
(HIP)	Highway Investment Plan
(HPDP)	Highway Project Development Process
(ICE)	Intersection Control Evaluation
(LT)	Left Turn
(LGA)	Local Government Agency
(Mn/DOT)	Minnesota Department of Transportation
(AM)	Municipal Agreement Program
(NHS)	National Highway System
(R/W)	Right of Way
(RT)	Right Turn
(SJR)	Signal Justification Report
(SEE)	Social, Environmental, Economic
(T.H.)	Trunk Highway