APPENDIX B FORMS

B-2. Signature and Seal Sheets
B-4. PS&E CADD Submittal Form
B-5. AADD CADD Submittal Form
B-6. Drafting Plan Review Checklist
B-7. PE's Certification of Utility Facilities
B-8. Budget Verification of Highway Maintenance Funds
B-9. Budget Verification of Minor B Funds
B-10. Budget Verification of Special Funded Projects
B-11. Information Handout Cover Template
B-13. FHWA Oversight Guidelines
B-15. FHWA Record of Prior Approval for Contract Addendum
B-16. Public Interest Finding Form
B-17. Authority to Advertise
(SIGNATURE AND SEAL SHEETS) (XE “SIGNATURE AND SEAL SHEET: EXAMPLES”)

CONTRACT NO. 00-000004

<table>
<thead>
<tr>
<th>DESIGN OVERSIGHT APPROVAL</th>
<th>REGISTRATION NO.</th>
<th>DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>PRINTED NAME</td>
<td>SIGNATURE</td>
<td></td>
</tr>
</tbody>
</table>

Approved as to impact on State facilities and conformance with applicable State standards and practices as described in the A & E Consultant Services Manual.

The special provisions contained herein have been prepared by or under the direction of the following Registered Persons.

STRUCTURES

REGISTERED CIVIL ENGINEER

ROADWAY

REGISTERED CIVIL ENGINEER

TRAFFIC

REGISTERED TRAFFIC ENGINEER OR REGISTERED CIVIL ENGINEER
LANDSCAPE

LICENSED LANDSCAPE ARCHITECT

ELECTRICAL (ROADWAY)

REGISTERED ELECTRICAL ENGINEER OR REGISTERED CIVIL ENGINEER

ELECTRICAL (STRUCTURES)

REGISTERED ELECTRICAL ENGINEER OR REGISTERED CIVIL ENGINEER

MECHANICAL

REGISTERED MECHANICAL ENGINEER OR REGISTERED CIVIL ENGINEER
# PS&E CADD Submittal

## Project Identification

- **District-EA:** 
- **Project ID:** 
- **Phase No.**
- **County/Route:** 
- **Units of Measure:**
  - [ ] English
  - [ ] Metric

## Directory Identification

- **Node ID/Address/EA folder/subfolder(s):**
- **Directory Size (Blocks/Bytes):**
- **Dgn files**
- **Plot files**
- **Total Files**
- **CADD Contact Person:**
- **Telephone No.**
- **E-Mail address**
- **Special Instructions:**

## PS&E Directory Checklist

- Place proper signature(s) and printed name(s).  
- Design oversight signature - Consultant jobs only.  
- Place registration seal information.  
- Caltrans electronic file naming convention and correct file extension, ('dgn' or 'add' for addendum submittals).  
- Display all 83 levels (V7) or all used levels (V8).  
- All files are in PS&E server location with correct file protection for DES-OE access.  
- Electronic Date/Time/File Name stamp (unaltered) prints within cut lines.  
- Plot view set at 0 degrees for all dgn files.  
- Plot files generated from fenced cut lines.  
- Consultant project, spot check by comparing final plot, batch plotted with 'Y' file, with hardcopies from consultant.

### DES-OE Project Plans Use Only:

**Processed by:**

**Date received:**

**Date completed:**

**Submittal Approval:** (Revised/Replace, Additional, Addenda)
STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION

PS&E CADD SUBMITTAL - AADD

(Rev 06/18/10)

Date ________________

Original □ Revise/Replace □ Additional □ Addendum

PROJECT IDENTIFICATION

District-EA          Project ID          Phase No. County/Route

Post Mile/Kilometer Post for Begin and End Construction Limits

Project Engineer
(Signing Title Sheet) Telephone No. Project Manager Telephone No.

Units of Measure
□ English □ Metric

DIRECTORY IDENTIFICATION

Node ID/Address/EA folder/subfolder(s)

Directory Size (Blocks/Bytes) Total Files Total PDF Sheets

CADD Contact Person Telephone No. E-Mail address

Special Instructions:

DES OF Project Plans Use Only:

Processed by: Date received: Date completed:

REV. 7/2013

B-5
### DRAFTING PLAN REVIEW CHECKLIST

(This form is to be completed by the designated drafting reviewer - please type only in data fields)

- **Location:**
  - District/County(s)/Rte(s)/PM or KM

- **District/Source EA:**

- **Reviewer:**

- **DoE:**

- **Project ID:**

- **Consultant Job:**
  - Yes
  - No

- **Total Sheets:**

- **Special Instructions / Comments:**

### DRAFTING REVIEW CHECK RECOMMENDS:

- Send Plans to DES-OE with PS&E package.
- Return Plans to Project Engineer for additional drafting.

---

### TITLE SHEET

- **Seal / Signatures.**
- Design oversight approval for consultant projects.
- Left margin (printed name, signature, registration no., date of signature and oversight approval note).
- North Arrow, No Scale.
- Bidders note (lower left).
- Location map indicating the appropriate county outlined and crosshatched.
- Description in accordance with the Plans Preparation Manual.
- Do not list the Index of Plans.
- All Text conforms with PPM standards.
- All features in the Project Title must be identified on the Strip Map.
- Project Contract No. in lower right border.
- District/County/Route and disclaimer.
- Show Destinations with arrow on Strip Map.
- Show City Limits/County Limits/Post Mile equations at county lines, on Strip Map.
- Show City names of Incorporated areas (caps), Unincorporated areas (upper/lower case).
- Bridges shown by symbol. If structure plans are included; show bridge name, type (O.C. or U.C.) and number.
- Label waterways/railroads and all relevant street names.
- Identify all routes on strip map (do not use route shields).
- Show Construction Limits or Location of construction including stationing and PM's or KPs.

### PLAN SHEETS

- **Seal & Signature of the Project Engineer.**
- North arrow (use appropriate size).
- Scale (if applicable).
- Proper sheet name in lower right corner including the correct sheet identification code (as per PPM) and plan sheet number.
- Use standard line symbology (dropout where applicable).
- All text conforms with PPM standards.
- Drainage/Profile grids. Use grids in ctcellib.
- Show existing features (appropriately as per Caltrans standards).

### IMPORTANT

- Plot verification, batch plot using ‘i’ files not dgn files.
- Consultant project; spot check by comparing final plot, batch plotted with ‘i’ file, with hardcopies from consultant.
- Electronic Date/Time/File Name stamp (unaltered) prints within cut lines.

**Initials**
Project Engineer's Certification of Utility Facilities

The Certification Form has been updated by Division of Design. Please see Appendix LL on the Design website:

http://www.dot.ca.gov/hq/oppd/pdpm/apdx_word/apdx-ll.doc
**BUDGET VERIFICATION**

Highway Maintenance Funds  
(Program 20.80)

<table>
<thead>
<tr>
<th>HM Funding:</th>
<th>Program Description: Base:</th>
<th>Program Code:</th>
<th>Mark:</th>
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<td>HM1 - Base</td>
<td>Flexible (010); Rigid (020)</td>
<td>20.80.010.</td>
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<tr>
<td>HM1 - PM</td>
<td>Preventive: Flex. (010); Rigid (020)</td>
<td>20.80.010.</td>
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<tr>
<td>HM1 - 122</td>
<td>Pavement Preservation</td>
<td>20.80.010.</td>
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<tr>
<td>HM1 - 124</td>
<td>Pavement Preservation Fed Funds</td>
<td>20.80.010.</td>
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<tr>
<td>HM2 - Landscape</td>
<td>Roadside (030, 070)</td>
<td>20.80.020.</td>
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<tr>
<td>HM2 - Drainage</td>
<td>Drainage Preservation (151,020)</td>
<td>20.80.020.</td>
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<tr>
<td>HM3 - 080</td>
<td>Bridges</td>
<td>20.80.030.</td>
<td>080</td>
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<tr>
<td>HM3 - 115</td>
<td>Bridge Preservation</td>
<td>20.80.030.</td>
<td>115</td>
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**LOCATION S:**

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<th>Cty:</th>
<th>Rte:</th>
<th>Beg/End PM:</th>
<th># of LM/Bridges/Culvers:</th>
<th>Note for # of;</th>
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<tr>
<td>HM1 use Lane Miles</td>
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<td></td>
<td></td>
<td>HM2 use Culverts</td>
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<tr>
<td>HM2 use Culverts</td>
<td></td>
<td></td>
<td></td>
<td>HM3 use Bridges</td>
</tr>
</tbody>
</table>

**PROJECT DESCRIPTION:**


**ESTIMATE OF COST** $ □ FULLY FUNDED □ $JOB

**FISCAL YEAR(S):**

**CONTRACT LANGUAGE:**

- □ Fully Funded: $ [Amount] (100% State)
- □ Fully Funded 124 Projects: $ [Amount] (Federal funds)
- □ Dollar Job: $1.00 in FY [Year] and $ [Amount] (State) $ [Amount] (Federal) in FY [Year]

**SIGNATURE** (District Maintenance Engineer)  DATE

District Maintenance Funds have been allocated for this project:

**SIGNATURE** (District Resource Manager)  DATE

**SIGNATURE** (Maintenance Budget Manager)  DATE

HQ HM Coordinator concurs with fund allocation:

**SIGNATURE** (HQ HM Coordinator: HM1,4 - Joseph Watkins, HM2,3 - Shannon Clarke)  DATE

Revised - 11/2012

REV. 7/2013
BUDGET VERIFICATION
OF
MINOR B FUNDS

DISTRICT:  

EXPENDITURE AUTHORIZATION:  

PROJECT ID:  PHASE NO.:  

COUNTY:  

ROUTE:  

KILOMETER POST:  

ESTIMATE OF COST:  

FUNDS ALLOCATED:  

FISCAL YEAR(S):  

REMARKS:

Project Manager

SIGNATURE  DATE

District MINOR B Funds have been allocated for this project:

Program Manager

SIGNATURE  DATE

REV. 7/2013
Budget Verification of Special Funded Projects
(NOT VOTED BY CTC)

DISTRICT:

EXPENDITURE AUTHORIZATION:

COUNTY: ROUTE:

KILOMETER POST:

ESTIMATE OF COST: $ 

FISCAL YEAR(S):

SOURCE OF FUNDS:

SIGNATURE DISTRICT RESOURCE MANAGER       DATE
Note: Use this example for “INFORMATION HANDOUT” cover sheet. Edit as appropriate.
For AADD projects, submit IH and cover sheet to DES-OE in portable Document Format (.pdf)
http://oe/opse.html

INFORMATION HANDOUT

For Contract No. «Dist»-«Contract_No»
At «Road»

Identified by
Project ID «ProjectID»

PERMITS

California Department of Fish and Wildlife
U.S. Fish and Wildlife Service
United States Army Corps of Engineers
Non-Reporting Nationwide 404

United States Coast Guard
State of California Land Commission

WATER QUALITY

California Regional Water Quality Control Board

North Coast Region, San Francisco Bay Section, Los Angeles Region, Lahotan Region, Santa
Ana Region, Central Valley Region, Central Coast, or Colorado River Basin

Board Order No. ______
NPDES Permit No. CAS ______

AGREEMENTS

California Department of Fish and Wildlife
Notification No. ______

National Marine Fisheries Services
Karuk Tribe MOU
ENCROACHMENT PERMITS
Riverside County Flood Control and Water Conservation District
Permit No. _____
County or City Department of Public Works
County Planning and Coastal Development Departments

RAILROAD RELATIONS
Railroad Relations and Insurance Requirements

MATERIALS INFORMATION
Summary of Foundation Recommendation Reports
Optional Disposal/Material Sites
Water Source Information
Battery Backup System
Project Report
**FHWA Oversight Guidelines**

Under the new Stewardship and Oversight Agreement executed on September 4, 2007, FHWA’s oversight responsibilities were changed from what they were in prior years. To reflect this change, the terms “Full Oversight” and “Exempt” related to federal oversight were dropped and replaced with the terms “High Profile” and “Delegated” respectively. For projects that are identified as “High Profile”, a High Profile Project Agreement will be required to be executed between FHWA and the Department. The agreement will identify specific items that FHWA will have approval authority over and also items whereby the approval authority will be delegated to the Department. It is necessary to identify High Profile Projects (HPP) and FHWA Approval/Involvement early in the Project Identification (Planning)/Initiation (PID) Phase of the project. However, the HPP identification process is to be applied during and in between each phase of the project as illustrated in the following flowchart.

The HPP determination will be made at the Caltrans District level in conjunction with FHWA. Therefore, Caltrans’ current method of project identification and/or initiation will be the basis for determining HPPs with a few additional steps phased into the process. The criteria for HPPs include:

- Controversial and Congressional Interest projects
- Pilot projects
- Executive Order 13274 projects – Environmental Stewardship and Streamlining
- Interstate Projects containing:
  - Design exceptions relating to the 13 controlling criteria
  - New or modified access points
  - Innovative contracting method projects with Federal funds
- Invitational projects
- Major Intelligent Transportation Systems (ITS) projects
- Major Projects (> $500 M)
- Non-Traditional Revenue Sources projects
- Special Experimental Projects – Alternative Contracting (SEP-14)
- Special Experimental Projects – Public Private Partnerships (SEP-15)
- Unusual Bridge and Structure projects

Projects not meeting the above criteria and/or not selected as HPPs will be considered to be Delegated Projects and Caltrans will have approval authority for all aspects of the federal-aid project, except those which may not be delegated by federal law (requiring FHWA approval). For the Delegated Projects, FHWA will verify compliance with federal regulations via annual program and process reviews.

More detailed information on the HPP identification process is found in the “California Stewardship & Oversight Agreement Approach to Identifying “High Profile” Projects” Guidelines (see Appendix D).
Summary

The Strategic Project Oversight Selection Process would identify High Profile Projects for additional oversight by FHWA. These projects would meet the criteria described below and be mutually agreed to by FHWA and Caltrans. This review process diagram charts what these criteria are, when they may be met, and how a project would be selected for FHWA involvement. All projects not meeting these criteria would be delegated to Caltrans and administered per the Project Responsibilities List.

Summary Criteria:

- Congressional Interest, Controversial etc.
- Demonstration and Pilot projects
- Executive Order 13274
- Interstate projects (Reduced Design Standards, Interchanges that are removed, new or require major modification, Innovative Contracting methods)
- Invitational (by Caltrans)
- Major ITS projects
- Major Projects (> $500M)
- Non-traditional Revenue Sources
- SEP-14 and SEP-15
- Unusual bridges and structures

Project Identification Phase

Key Decisions: Programming, Cost, Scopes and Schedule (PID, PSR, CAR, etc.)

Likely Criteria:

- Congressional Interest, Controversial, Etc.
- Demonstration and Pilot Projects
- Executive Order 13274
- Interstate Projects (Interchanges that are removed, new, or require major modification)
- Major ITS projects
- Major Projects (> $500M)
- Unusual Bridges and Structures

No official designation until funding decisions or early in the PA/ED Phase

Caltrans may begin discussions with FHWA on possible High Profile Projects

Project Approval Environmental Document -- PA/ED Phase

Key Decisions: Preferred Alternative and funding

Likely Criteria (All of the above criteria plus):

- Interstate Projects (Reduced Design Standards, Innovative Contracting Methods)
- Invitational (by Caltrans)
- Non-Traditional Revenue Sources
- SEP-14 and SEP-15

Development of PS&E -- PS&E Phase

Key Decisions: Contracting methods and funding

Likely Criteria (All of the above criteria plus):

- Interstate Projects (Innovative Contracting Methods)

Does the project currently meet any of these criteria?

Delegated Project (NHS/non-NHS)

High Profile Project

Action: Identify approving organization based on level of risk for each activities highlighted yellow on Project Responsibilities List

- High Risk = FHWA maintains approval authority
- Low Risk = Caltrans assumes approval authority

Project is administered per the Project Responsibilities List.
# Record of Prior Approval for Contract Addendum

**High Profile Project Per Stewardship Agreement**

<table>
<thead>
<tr>
<th>PROJECT NO.</th>
<th>ADDENDUM NO.</th>
<th>CONTRACT NO.</th>
<th>DIST-CO-RTE-PM</th>
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</thead>
<tbody>
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- **Requested By:**
  - CALTRANS HQ
  - RE / DISTRICT

- **Date:**

- **Proposed Change:**

- **Reason for Change:**

---

**Recommendation for Approval**

Operations Engineer

Team Leader

Program Delivery Team

**Date:**

Rev. 10/22/12 *(Copy to CT)*

---

**Approval**

**Date:**

---

**Revision:** 7/2013
REQUEST FOR APPROVAL OF COST EFFECTIVENESS/PUBLIC INTEREST FINDING

<table>
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<th>COST EFFECTIVENESS DETERMINATION REQUIRED</th>
<th>PUBLIC INTEREST DETERMINATION REQUIRED</th>
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<tbody>
<tr>
<td>☐ Experimental Contracting methods (23 CFR 635.204)</td>
<td>☐ Use of State-furnished materials (23 CFR 635.407)</td>
</tr>
<tr>
<td>☐ Informal Bid (Less than three week advertisement) (23 CFR 635.204)</td>
<td>☐ Mandatory use of borrow/disposal sites (23 CFR 635.407)</td>
</tr>
<tr>
<td>☐ Use of force account (day labor) (23 CFR 635.204)</td>
<td>☐ Use of patented and proprietary materials (23 CFR 635.418)</td>
</tr>
<tr>
<td>☐ Use of publicly owned equipment (23 CFR 635.66)</td>
<td>☐ Waive to Buy America Requirements (23 CFR 635.410)</td>
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<tr>
<td>☐ Other</td>
<td>☐ Other</td>
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<table>
<thead>
<tr>
<th>FEDERAL- AID PROJECT NO</th>
<th>CLASS OF FEDERAL FUNDS</th>
<th>IM</th>
<th>NH</th>
<th>STP</th>
<th>OTHER</th>
<th>ESTIMATED COST</th>
<th>FEDERAL FUNDS</th>
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<table>
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<th>DIST-CO-RTE-PM</th>
<th>GENERAL LOCATION</th>
<th>GENERAL DESCRIPTION OF WORK:</th>
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<tbody>
<tr>
<td></td>
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</table>

REASONS THAT THE REQUESTED APPROVAL IS CONSIDERED TO BE COST EFFECTIVE OR IN THE PUBLIC'S BEST INTEREST (STATE):

SAMPLE ONLY

FHWA requires that all PIFs be warehoused in one location for reporting purposes. In order to keep track of all PIFs statewide please access the Headquarters PIF database using FileMaker Pro and fill out a blank PIF form there. The PIF database is available through your District OE or through your Federal Resources Area Engineer.

APPROVED BY CALTRANS' DISTRICT REPRESENTATIVE | DISTRICT REPRESENTATIVE NAME AND TITLE: | DATE: |
|-----------------------------------------------|----------------------------------------|

APPROVED BY CT FEDERAL RESOURCES REP. (Delegated Projects) | FEDERAL RESOURCES REP. NAME AND TITLE: | DATE: |
|----------------------------------------------------------|----------------------------------------|

REMARKS (FHWA):

APPROVED BY FHWA'S REPRESENTATIVE (High Profile Projects) | REPRESENTATIVE NAME AND TITLE: | DATE: |
|----------------------------------------------------------|----------------------------------------|
## Authority to Advertise

**Contract No.**

**Project Title**

**Federal Aid No.**

**Fed. Auth. (E76) Date**

**Contractor's License Type**

**Contract Duration**

### ESTIMATED COST

**Advertisement Date**

**Pre-Bid Conference**

- **Yes**
- **No**

- **Mandatory**
- **Optional**

**Bid Submittal (Last Day and Time Agency Will Accept Bids)**

**Service Location (Count)**

**Department Contact Person (Name Only)**

**Bidders' Exchange**

- **Contact Person's Telephone Number**
  
  (916) 227-6259

- **Contact Person's Fax Number**
  
  (916) 227-6248

**Document Prepared By**

**Preparer's Telephone Number**

**Project Manager's Signature**

**Date Signed**

### CONTRACT DESCRIPTION

**Contract Funding**

This work is to be financed from the following funds:

**State and Federal Funding:**

<table>
<thead>
<tr>
<th>Budget FY</th>
<th>Program Code</th>
<th>Funding</th>
<th>CTC Vote Date</th>
<th>Budget Fund Code</th>
<th>Allocated Amount</th>
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**Contributor Funding:**

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<thead>
<tr>
<th>Cooperative Agreement / Local Agency / Other</th>
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<tbody>
<tr>
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</table>

**TOTAL FUNDING:**

**Comments:**

---

THIS CONSTRUCTION CONTRACT HAS BEEN DEVELOPED IN ACCORDANCE WITH DEPARTMENTAL POLICY AND THE STATE CONTRACT ACT. A COPY OF THE CONTRACT IS ON FILE IN THE DEPARTMENT. EXECUTIVE AUTHORIZATION:

**By:**

**Title:**

**Date:**

---

**State of California - Department of Transportation**

**Construction Contract Award Services**

**Agency Billing Code:** 060084

---

**REV. 7/2013**