READY TO LIST
AND
CONSTRUCTION
CONTRACT AWARD GUIDE
(RTL GUIDE)
The Ready to List and Construction Contract Award Guide (RTL Guide) captures in one location the requirements governing construction contracting from Federal and State laws, the Federal Highway Administration and Department Policies. The basis for many of the Department's construction contracting policies is Public Contract Code Section 100-102 "Purpose and Preliminary Matters, which establishes the objectives of protecting public funds from misuse, stimulating competition conducive to sound fiscal practices, and eliminating favoritism, fraud, and corruption," and 23 CFR 635.104, 23 CFR 635.112 and 23 US Code Section 112. The Streets & Highway Code authorizes the Department to establish standards for the construction and maintenance of the state highways and the Government Code provides Caltrans and Caltrans employees with Design Immunity as long as our contracts are prepared in conformity with approved standards.
# TABLE OF CONTENTS

PURPOSE, BACKGROUND AND PROCESS OVERVIEW ............................................... VIII

I. PURPOSE ................................................................................................................... VIII
II. BACKGROUND ........................................................................................................ VIII
III. PROCESS OVERVIEW ........................................................................................... IX

SECTION 1 REQUIREMENT FOR READY TO LIST ................................................. 1-1
1.1 PURPOSE ................................................................................................................ 1-1
1.2 RESPONSIBILITIES ............................................................................................... 1-1
1.3 REQUIREMENTS .................................................................................................... 1-3

SECTION 2 RTL CERTIFICATION ............................................................................. 2-1
2.1 PURPOSE ................................................................................................................ 2-1
2.2 RESPONSIBILITIES ............................................................................................... 2-1
2.3 PROCEDURE FOR COMPLETION AND SUBMITTAL ........................................ 2-2

SECTION 3 DES-OE CONSTRUCTION CONTRACT SERVICES & AUTHORITY TO ADVERTISE .................................................................................. 3-1
3.1 PURPOSE ................................................................................................................ 3-1
3.2 BACKGROUND ...................................................................................................... 3-1
3.3 RESPONSIBILITIES ............................................................................................... 3-1
3.4 PERFORMANCE .................................................................................................... 3-3

SECTION 4 CONSTRUCTION CONTRACT ADVERTISEMENT, BID OPENING AND AWARD PROCESS ................................................................. 4-1
4.1 PURPOSE ................................................................................................................ 4-1
4.2 BACKGROUND ...................................................................................................... 4-1
## 4.3 RESPONSIBILITIES

<table>
<thead>
<tr>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>4-1</td>
</tr>
</tbody>
</table>

## 4.4 LISTING PROJECTS FOR ADVERTISEMENT

<table>
<thead>
<tr>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>4-2</td>
</tr>
</tbody>
</table>

## 4.5 FINAL BID DOCUMENT PREPARATION

<table>
<thead>
<tr>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>4-2</td>
</tr>
</tbody>
</table>

## 4.6 ADVERTISEMENT

<table>
<thead>
<tr>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>4-3</td>
</tr>
</tbody>
</table>

## 4.7 ADDENDA

<table>
<thead>
<tr>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>4-4</td>
</tr>
</tbody>
</table>

## 4.8 BID OPENING

<table>
<thead>
<tr>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>4-4</td>
</tr>
</tbody>
</table>

## 4.9 DISTRICT RECOMMENDATION

<table>
<thead>
<tr>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>4-5</td>
</tr>
</tbody>
</table>

### SECTION 5 VALIDATION OF PLANS, SPECIFICATIONS, AND ESTIMATE

#### 5.1 PURPOSE

<table>
<thead>
<tr>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>5-1</td>
</tr>
</tbody>
</table>

#### 5.2 RESPONSIBILITIES

<table>
<thead>
<tr>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>5-1</td>
</tr>
</tbody>
</table>

#### 5.3 PROJECT PLANS CERTIFICATION

<table>
<thead>
<tr>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>5-2</td>
</tr>
</tbody>
</table>

#### 5.4 PROJECT SPECIFICATIONS CERTIFICATION

<table>
<thead>
<tr>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>5-3</td>
</tr>
</tbody>
</table>

#### 5.5 PROJECT COST ESTIMATE CERTIFICATION

<table>
<thead>
<tr>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>5-3</td>
</tr>
</tbody>
</table>

### SECTION 6 SPECIAL PROVISIONS

#### 6.1 PURPOSE

<table>
<thead>
<tr>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>6-1</td>
</tr>
</tbody>
</table>

#### 6.2 BACKGROUND

<table>
<thead>
<tr>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>6-1</td>
</tr>
</tbody>
</table>

#### 6.3 RESPONSIBILITIES

<table>
<thead>
<tr>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>6-1</td>
</tr>
</tbody>
</table>

#### 6.4 SPECIAL PROVISIONS

<table>
<thead>
<tr>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>6-3</td>
</tr>
</tbody>
</table>

#### 6.5 SPECIAL PROVISIONS FOR MINOR B CONTRACTS

<table>
<thead>
<tr>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>6-8</td>
</tr>
</tbody>
</table>

#### 6.6 ASSEMBLY OF SPECIAL PROVISIONS

<table>
<thead>
<tr>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>6-8</td>
</tr>
</tbody>
</table>

#### 6.7 SPECIAL PROVISIONS FOR BUILDING CONSTRUCTION PROJECTS

<table>
<thead>
<tr>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>6-9</td>
</tr>
</tbody>
</table>

#### 6.8 EDITING AN SSP

<table>
<thead>
<tr>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>6-9</td>
</tr>
</tbody>
</table>

#### 6.9 NSSP

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>6-9</td>
</tr>
<tr>
<td>Section</td>
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<tr>
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</tr>
<tr>
<td>6.10</td>
</tr>
<tr>
<td>6.11</td>
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<td>6.12</td>
</tr>
<tr>
<td>6.13</td>
</tr>
<tr>
<td>6.14</td>
</tr>
<tr>
<td>SECTION 7</td>
</tr>
<tr>
<td>7.1</td>
</tr>
<tr>
<td>7.2</td>
</tr>
<tr>
<td>7.3</td>
</tr>
<tr>
<td>7.4</td>
</tr>
<tr>
<td>7.5</td>
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<tr>
<td>7.6</td>
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<td>7.7</td>
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<td>7.8</td>
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<tr>
<td>7.9</td>
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<tr>
<td>7.10</td>
</tr>
<tr>
<td>7.11</td>
</tr>
<tr>
<td>7.12</td>
</tr>
<tr>
<td>SECTION 8</td>
</tr>
<tr>
<td>8.1</td>
</tr>
<tr>
<td>8.2</td>
</tr>
<tr>
<td>8.3</td>
</tr>
<tr>
<td>8.4</td>
</tr>
</tbody>
</table>
8.5 PROJECT SCHEDULE CONSIDERATIONS ................................................................. 8-5
8.6 PROJECT MONITORING TOOLS ......................................................................... 8-7

SECTION 9  FUNDING PACKAGE ................................................................................. 9-1
9.1 PURPOSE ...................................................................................................................... 9-1
9.2 BACKGROUND ............................................................................................................. 9-1
9.3 RESPONSIBILITIES .................................................................................................... 9-2
9.4 FUNDING SOURCES ................................................................................................. 9-2
9.5 FUNDING DOCUMENTS ............................................................................................ 9-3
9.6 Project ESTIMATE OF COST .................................................................................... 9-4
9.7 SUBMITTAL COMPONENTS ....................................................................................... 9-4
9.8 SUBMITTAL INSTRUCTIONS ..................................................................................... 9-5
9.9 REFERENCES ............................................................................................................. 9-6

SECTION 10  PS&E SUBMITTAL REQUIREMENTS ......................................................... 10-1
10.1 PURPOSE ..................................................................................................................... 10-1
10.2 RESPONSIBILITIES ..................................................................................................... 10-1
10.3 PS&E SUBMITTALS .................................................................................................... 10-1
10.4 SPECIAL PROVISIONS SIGNATURE AND SEAL SHEET ...................................... 10-4
10.5 AADD PROJECTS - ADDITIONAL INSTRUCTIONS ............................................... 10-5
10.6 AAOE PROJECTS - ADDITIONAL INSTRUCTIONS ............................................... 10-6
10.7 PS&E SUBMITTAL MEMORANDUM ....................................................................... 10-7
10.8 SUPPLEMENTAL PROJECT AND THE Information Handout .................................. 10-13
10.9 RTL CERTIFICATION ............................................................................................... 10-15
SECTION 11  DES-OE DRAFT CONTRACT DOCUMENT PROCESSING .......... 11-1

11.1 PURPOSE ...................................................................................................................... 11-1

11.2 RESPONSIBILITIES ...................................................................................................... 11-1

11.3 PREPARATION OF DRAFT CONTRACT COMMENTS ............................................... 11-2

11.4 DISTRICT RESPONSE TO DES-OE DRAFT CONTRACT COMMENTS ................. 11-2

11.5 DRAFT CONTRACT READY ...................................................................................... 11-6

11.6 DRAFT CONTRACT READY MEMOrandum ................................................................ 11-6

11.7 PREPARATION OF FINAL CONTRACT DOCUMENTS ............................................. 11-7

11.8 ADVERTISING PERIOD ............................................................................................. 11-7

11.9 REJECTED BIDS / RE-ADVERTISEMENT .................................................................... 11-7

11.10 RETURN OF PROJECTS ......................................................................................... 11-7

SECTION 12  INFORMAL BID PROJECTS ................................................................. 12-1

12.1 PURPOSE ...................................................................................................................... 12-1

12.2 BACKGROUND ........................................................................................................... 12-1

12.3 RESPONSIBILITIES .................................................................................................... 12-2

12.4 PS&E SUBMITTAL REQUIREMENTS ........................................................................ 12-3

12.5 PROCESSING .............................................................................................................. 12-5

12.6 ADVERTISEMENT ...................................................................................................... 12-5

12.7 BID OPENING AND AWARD .................................................................................... 12-7

SECTION 13  CONTRACT ADDENDA ......................................................................... 13-1

13.1 PURPOSE ...................................................................................................................... 13-1

13.2 BACKGROUND ........................................................................................................... 13-1

13.3 RESPONSIBILITIES .................................................................................................... 13-1
<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>13.4</td>
<td>EVALUATE NEED FOR ADDENDA</td>
<td>13-3</td>
</tr>
<tr>
<td>13.5</td>
<td>ADDENDA REQUEST</td>
<td>13-3</td>
</tr>
<tr>
<td>13.6</td>
<td>FHWA ADDENDA APPROVAL</td>
<td>13-4</td>
</tr>
<tr>
<td>13.7</td>
<td>ADDENDA PREPARATION</td>
<td>13-5</td>
</tr>
<tr>
<td>SECTION 14</td>
<td>DISTRICT RECOMMENDATION FOR AWARD/ REQUESTS TO REJECT BIDS</td>
<td>14-1</td>
</tr>
<tr>
<td>14.1</td>
<td>PURPOSE</td>
<td>14-1</td>
</tr>
<tr>
<td>14.2</td>
<td>RESPONSIBILITIES</td>
<td>14-1</td>
</tr>
<tr>
<td>14.3</td>
<td>COMMUNICATIONS WITH BIDDERS PRIOR TO BID OPENING</td>
<td>14-1</td>
</tr>
<tr>
<td>14.4</td>
<td>DISTRICT RECOMMENDATION</td>
<td>14-2</td>
</tr>
<tr>
<td>14.5</td>
<td>REQUESTS FOR BID REJECTION</td>
<td>14-4</td>
</tr>
<tr>
<td>APPENDIX A</td>
<td>DES-OE ORGANIZATION CHART</td>
<td>A-1</td>
</tr>
<tr>
<td>APPENDIX B</td>
<td>FORMS</td>
<td>B-1</td>
</tr>
<tr>
<td>APPENDIX C</td>
<td>DEFINITION OF ACRONYMS</td>
<td>C-1</td>
</tr>
<tr>
<td>APPENDIX D</td>
<td>DELETED</td>
<td>D-1</td>
</tr>
<tr>
<td>APPENDIX E</td>
<td>PS&amp;E SUBMITTAL MEMO</td>
<td>E-1</td>
</tr>
<tr>
<td>APPENDIX F</td>
<td>READY TO LIST CERTIFICATION FORM</td>
<td>F-1</td>
</tr>
<tr>
<td>APPENDIX G</td>
<td>SPECIFICATION TOOLS AND GUIDANCE</td>
<td>G-1</td>
</tr>
<tr>
<td>APPENDIX H</td>
<td>STEPS IN PROCESSING DISTRICT PS&amp;E TO DRAFT CONTRACT READY</td>
<td>H-1</td>
</tr>
<tr>
<td>APPENDIX I</td>
<td>STEPS IN PROCESSING INFORMAL BIDS CONTRACT</td>
<td>I-1</td>
</tr>
</tbody>
</table>
I. PURPOSE

The *Ready to List and Construction Contract Award Guide* describes activities, roles and responsibilities required by Department, Local Agency and Consultant staff to complete project Plans, Specifications and Estimate and bid documents, and to advertise, open bids, award and approve construction contracts.

The RTL Guide applies to projects defined by Section 10105 of the Public Contract Code regardless of funding source.

The RTL Guide requires the Project Engineer, acting as the Engineer of Record signing and sealing the Title Sheet on the Plans, certify that a project is Ready to List. This is to ensure that all applicable design, right of way, environmental, regulatory, and statutory conditions have been addressed in the plans, specifications, and estimate. By exercising responsible charge in certifying the project as RTL, the Engineer of Record either personally performs the work or has determined the applicability of design criteria and technical recommendations provided by others before incorporating such criteria or recommendations per Business and Professions Code 6700-6703.3, and Board Rules and Regulations Relating to the Practices of Professional Engineering and Professional Land Surveying, California Code of Regulations, Title 16, Division 5, §§-400-476. Depending on the type of the project the Project Engineer would be a licensed civil engineer, electrical engineer or landscape architect. The term “registered” is synonymous with “licensed.”

II. BACKGROUND

Section 10120 of the Public Contract Code (part of the State Contract Act) states:

"Before entering into any contract for a project, the Department shall prepare full, complete, and accurate plans and specifications and estimates of cost, giving such directions as will enable any competent mechanic or other builder to carry them out."

In the Public Contract Code section cited above, the terms "full, complete, and accurate" can be defined as follows:

- "Full" means that all existing and proposed elements necessary to bid and build the project within scope are included.
- "Complete" means that all elements are detailed.
"Accurate" means that all elements comply with statutory and departmental requirements, field conditions are correctly depicted, and the Plans, Specifications, and Estimate are consistent.

DES-OE advertises contracts after districts comply with policy, statutory, and regulatory requirements. The district must complete these requirements, working in conjunction with DES-OE, other Project Delivery Divisions, and, if required, by the Federal Highway Administration (FHWA) before DES-OE considers placing them on a list of projects proposed for advertisement.

The Department defines RTL as complete when all RTL requirements in this Guide are met and the completed signed and sealed RTL Certification is received in DES-OE.

Projects are advertised after they are RTL and funds are allocated in an amount sufficient to cover the capital construction estimate. Once advertised, contracts proceed to bid opening, award, and approval. To complete the award process, funds must be sufficient to provide the total capital construction funds required based on the low bid amount. In addition, the Contractor must be validated as the lowest responsive and responsible bidder according to the appropriate policies, statutes, and regulations governing State and federal contracts. DES-OE has the primary responsibility for contract advertisement, bid opening and award with input from the districts and Divisions.

This Guide has been developed in concert with FHWA to verify completion of various federal requirements.

III. PROCESS OVERVIEW

The following is a list of activities and products from district submittal of the project to DES-OE through contract approval.

**Project Submittal Ready to Process (PS&E):**

The product from this activity is a complete project submittal from the district to DES-OE ready for processing. See Section 10. Activities include receiving the project submittal from the district, validating submittal requirements are complete, coordinating with district staff for missing items, logging the submittal into a database, plotting check prints, distributing submittal documents to DES-OE staff, and notifying staff that the submittal is ready to be processed.
Draft Contract Comments (DCC):

The product of this activity is a list of comments that may include deletions, additions, corrections, updates and other required changes, or approval requests for nonstandard components of the district PS&E. These comments are based on Best Bid standards.

Draft Contract Comment Response (DR):

The product from this activity is a district response to each draft contract comment and concurrence by the DES-OE SE.

Draft Contract Ready (DCR):

The product of this activity is integration of the DCC/DR changes into the draft contract and making it ready for advertisement (once RTL requirements are completed and funding is allocated).

Ready to List (RTL):

The product from this activity is a project that is DCR, meets legal and policy advertising requirements detailed on the RTL Certification Form discussed in Section 1, and is ready to begin final bid document preparation (if funds are allocated sufficient to cover the capital construction estimate and construction windows allow).

Contract Ready for Advertising:

The product of this activity validation of funds sufficient to cover the capital construction cost estimate and preparation of contract bid documents ready for advertising.

Advertised Contract:

The product of this activity is an advertised contract and necessary addenda.

Bids Opened:

The product of this activity is bids opened, read aloud in public and recorded.

Contract Award:

The product of this activity is an awarded contract to the lowest responsible and responsive bidder.
**Executed and Approved Contract:**

The product of this activity is an approved contract ready for construction.

**Independent Assurance (IA):**

The products of this activity are:

- Compliance reviews – based on a statistical sample of contracts, identifies areas where standards are not followed
- Continuous Quality Improvements – based on compliance reviews, develop Trend Reports which are the basis for improvement actions such as refining standards and providing training programs for districts and DES staff
- Best Practices - periodic evaluation of standards and QC/QA/IA processes to validate their effectiveness and ensure their continued relevance.

Figure A is an overview of the sequence of activities and their associated milestones. Each activity and milestone is discussed below. Bold text in the figure and the process definitions indicate milestones.
SECTION 1 REQUIREMENT FOR READY TO LIST

1.1 PURPOSE

This section describes Ready to List (RTL) requirements and provides general references, roles, and responsibilities. It also provides a brief description of each requirement, a reference to the applicable law, regulation, policy, procedure, and instructions for completing the Ready to List (RTL) Certification Form.

1.2 RESPONSIBILITIES

1.2.1 PROJECT ENGINEER

The PE is the person in responsible charge of the Plans, Specifications, and Estimate who:

- Signs and seals the Title Sheet of the Plans
- Certifies that the project meets all the criteria for RTL

1.2.2 STRUCTURE PROJECT ENGINEER

The Structure Project Engineer is the registered engineer in responsible charge of the structure plans.

1.2.3 DESIGN ENGINEER OR MANAGER

The Design Engineer or Manager is the supervisor of the PE. The Design Engineer or Manager's approval indicates the PE has the knowledge and experience to assure that the RTL requirements are complete.

1.2.4 PROJECT MANAGER

The Project Manager reviews, validates and signs the PS&E Submittal Cover Memo

1.2.5 DEPUTY DISTRICT DIRECTOR

- When the Design Engineer seals the RTL Certificate, the Deputy's approval indicates the Design Engineer or Manager has the knowledge and experience to assure that the RTL requirements are complete.
- Signs Certification of Cost Estimate if delegated.
1.2.6 DISTRICT TRAFFIC MANAGER
Verifies that Transportation Management Plan requirements are included in the draft contract at RTL and signs the final TMP Report.

1.2.7 DISTRICT DIRECTOR
Signs certification of project cost estimate.

1.2.8 DISTRICT OFFICE ENGINEER
- Is the single point of contact for DES-OE
- Verifies that the plans, specifications, and estimate are full, complete, and accurate
- Ensures the segregated estimates are correctly prepared
- Verifies the project meets RTL certification requirements for AADD projects
- Assists DES-OE with resolving RTL issues in the district

1.2.9 STRUCTURE OFFICE ENGINEER (SOE)
- The SOE is the registered engineer in responsible charge of the specifications, cost estimate, and working day schedules for the structure portion of the PS&E Package
- Assists DOE with resolving Structure Design related DCR and RTL issues

1.2.10 FUNCTIONAL UNITS
Functional units may be in responsible charge of specifications, cost estimate, and working day schedules for their portion of the PS&E Package or may contribute technical deliverables in support of the engineer in responsible charge.

1.2.11 DES-OE
Verifies the project meets RTL certification requirements for AAOE projects.
1.2.12 HEADQUARTERS DIVISION CHIEFS

Defines RTL requirements and authorizes DES-OE to enforce those requirements.

1.2.13 FEDERAL HIGHWAY ADMINISTRATION

Reviews, provides comments and concurs with RTL requirements.

1.3 REQUIREMENTS

The following items provide instructions for certifying RTL. The last number in the section numbers below (e.g., 1.3.2, 1.3.3) correspond to the sections on the RTL Certification Form (Appendix F).

1.3.1 PROJECT IDENTIFICATION

Enter project identification data. For determination of FHWA delegated/high profile status contact FHWA.

1.3.2 RIGHT OF WAY (R/W) CERTIFICATION

R/W Certification is a written statement summarizing the status of each Right of Way related matter pertaining to a proposed construction project. The R/W Certification documents that the construction project is ready for advertising. The Department must have control of the property before work can be performed which affects that property.

References:


Certification:

Districts are to obtain a R/W Certification 1, 2, 3 or 3W as a condition of RTL. R/W Certification 3 must be upgraded, or 3W must be updated 15 working days before bid opening. Indicate the certification obtained with a check mark and provide a copy to DES-OE. A R/W Certification 3W, or a Certification 3 that is upgraded to a Certification 3W prior to bid opening, will need additional information included in the bid documents and may require an addendum regarding the workarounds needed. FHWA must approve all R/W Certification 3s and 3Ws for federally funded projects.
Railroad Clearance

A railroad facility on the Title Sheet indicates a potential need for a railroad clearance. There may be railroad involvement even if an item is as small as attaching guard railing to the abutment of an underpass, jacking a pipe beneath the railroad roadbed, entering railroad property for access to the work, or constructing a fence. To support federal authorization to proceed with construction (E-76), the FHWA Engineer must review the Railroad Agreement and Construction Management agreement, if applicable, for high profile projects.

References:
Title 23 CFR 646.216 and 635.309, Right of Way Manual Chapters 8 and 14, RTL Guide Section 6.11

Certification:
Indicate with a check mark if railroad clearance has been obtained for the project. Provide copies of the Railroad Clearance Memorandum from Division of Right of Way, plus an electronic copy, in Microsoft Word format, and provide RR Agreements as Supplemental Project Information in the Information Handout.

1.3.3 ENVIRONMENTAL CERTIFICATION

Environmental Certification assures that all the appropriate environmental permits, licenses, agreements, and certifications (PLACs) – and all other environmentally-related commitments included in Environmental Documents or other project documentation - have been included in the PS&E. The Environmental Certification will be approved in accordance with the executive authorization provided by the Chief of the Division of Environmental Analysis. Before the federal Authorization to Proceed (E-76) with the construction phase of the project, the district must establish whether the approved environmental document or Categorical Exclusion determination remains valid. Consultation with the FHWA Engineer is required for all projects with federal-aid or federal involvement.

References:
Title 23 CFR 771.129(c), PRC 21000 et seq., and the Department's Standard Environmental Reference.
Certification:
Indicate with a check mark that the Environmental Certification has been obtained and a copy provided to DES-OE. Provide the signature date and the expiration date, which is either 12 months after the date of signature or the earliest PLAC or other commitment expiration date, whichever occurs first.

1.3.4 DESIGN CERTIFICATION

a. Mandatory and Advisory Design Standards
Mandatory design standards are those considered most essential to achieve a project's overall design objectives. Many pertain to requirements of law or regulations such as those embodied in FHWA's mandatory 13 controlling criteria. Advisory design standards are based on good design practices adopted by the Department.

References:
Highway Design Manual Chapter 80, PDPM Chapter 9.

Certification:
Indicate with a check mark if the project meets criteria or is a CAPM or Maintenance project. Districts are to certify that the project meets all mandatory and advisory design standards or provide documentation of the approved exceptions to the mandatory and advisory design standards.

b. Exceptions to Mandatory and Advisory Design Standards
The design exception process results in a written record that documents the engineering decisions for each and every exception from a mandatory and advisory design standard. To maintain design immunity in tort liability cases, appropriate documentation is prepared and retained for future Legal Division needs. The responsibility for approval of all exceptions to Mandatory Design Standards on State Highway and local facility (within State Right of Way) projects has been delegated to the Division of Design, Design Coordinator. Certain Mandatory Design Exceptions require FHWA approval. Advisory Design Exception Fact Sheets are approved by the district/region in accordance with district/region policy.

Reference:
Title 23 USC Section 109, HDM Topic 82, and PDPM Chapter 21.
Certification:
Indicate with a check mark if the project meets the criteria or is a CAPM or Maintenance project. All approved Design Exception Fact Sheet must be included in the project history file. Design exceptions to the criteria in 23 USC 109 are to be listed in the *Project Design Exceptions* attachment which is to be included in the PS&E submittal. For federal-aid high profile projects or projects located on the Interstate system, FHWA is required to approve any exceptions to mandatory standards. Date of FHWA approval is to be provided.

c. **Statewide Design Policy Compliance**
Design Policy Compliance items shown in Section 4c of the RTL Certification Form constitute the current list of items that need to be certified, if applicable.

Reference:
Guidance for the Design Policy Compliance items is shown in parentheses after the item description on the RTL Certification form.

Certification:
Indicate with a check mark that the item is applicable to the project, and that all the associated requirements are completed. If required, documentation is to be included with the project submittal unless otherwise noted by the guidance.

d. **Serious or Critical Water Shortage**

i. **Water for Construction Project:**
An adequate water supply for project construction avoids additional delays and costs.

Reference:
PDPM Chapter 29.

Certification:
Indicate with a check mark if project has a serious or critical water shortage, and a water source commitment has been obtained. Include copies of the water source commitment with the PS&E submittal.
ii. Water for Landscape Project:

Advertisement of Highway Planting or Roadway Construction projects which include new planting or irrigation may be delayed if the local water agency has declared a serious or critical water shortage. Documentation of water availability for new planting or irrigation work is required during a serious or critical water shortage.

Reference:
HDM Chapter 900 and PDPM Chapter 29.

Certification:
Indicate with a check mark if project has a serious or critical water shortage, and a water source commitment has been obtained. Documentation shall be submitted with the project submittal, and a copy shall be submitted to the Office of State Landscape Architecture.

e. Agency Agreements

Entities other than the Department have interests in transportation projects. Negotiations with these agencies occur during many phases of the project's development. Some projects are financed jointly by the Department and other local or State governmental agencies or private entities. Agency agreements are used with local agencies to outline the responsibilities and obligations that have been negotiated.

Reference:
Streets and Highways Code, Section 114, PDPM Chapters 13, 16 and 24.

Certification:
Indicate with a check mark if agreements are involved. Identify the agency, provide the date the agreement was issued, expiration date, Coop Number and the construction capital dollar amount. Submitting copies of fully executed agreements is a requirement for RTL.
1.3.5 FHWA

FHWA is responsible for the Federal-aid Highway Program within the parameters of Section 106 of 23 US Code, except for the assignment of environmental responsibilities under Sections 326 and 327 of 23 US Code.


a. FHWA Design Approval:

The District must obtain FHWA design approval as a condition of the federal authorization to proceed with construction (E-76) if required under the High Profile Project Agreement for High Profile projects.

Reference:

PDPM, Chapter 2, Section 7, DES, 43 Include FHWA Design Approval in RTL, signed by Brent Felker, dated June 2, 2003. See FHWA Stewardship Agreement

Certification:

Indicate with a check mark that the PS&E meets all federal requirements, and that all necessary federal approvals have been obtained pursuant to FHWA Joint Stewardship and Oversight Agreement. Provide a copy of the signed FHWA PS&E Approval Transmittal (if required) to DES-OE and to the Office of Federal Resources.

b. Public Interest Finding Approval:

The District must obtain FHWA Public Interest Finding (PIF) or Cost Effectiveness Determination approval for federally funded projects when an item listed under Certification below is involved. Note that FHWA approval has been delegated to Division of Budgets, Office of Federal Resources, for State delegated projects. If required under the High Profile Project Agreement FHWA approval will be needed. All PIFs and Cost Effectiveness Determinations must be submitted to the Department's Federal Resources Office, Division of Budgets, for approval processing.
Reference:

Title 23 CFR. FHWA's Contract Administration Core Curriculum, Participant's Manual and Reference Guide. 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. You should work with your Federal Resources Area Engineer to properly fill out the FileMaker Pro version of the PIF. Once completed, print out a copy of the PIF and obtain the necessary approval signatures.


Certification:

If a PIF is required, indicate with a check mark that PIF approval has been obtained. All PIF requests must be processed through the Office of Federal Resources to obtain approval. If required under the High Profile Project Agreement for High Profile projects, PIFs require FHWA approval. Federally delegated projects require Office of Federal Resources approval. Once completed, print out a copy of the PIF and obtain the necessary approval signatures. The approved PIF should be submitted at the time of PS&E submittal. Indicate which of the following are parts of the finding:

- Waiver to Buy America Requirements.
- Experimental Contracting Methods.
- Informal Bid (less than 3 weeks Advertisement).
- Use of Force Account (Day Labor).
- Use of Publicly Owned Equipment.
- Mandatory Use of Borrow or Disposal Sites.
- Use of Patented or Proprietary Materials Specified. See Section 6 for more information.
- Department-Furnished Material Not Approved by FHWA. See Section 7 for the list of approved Department-furnished materials.
1.3.6 PLANS, SPECIFICATIONS, AND ESTIMATE CERTIFICATION (DRAFT CONTRACT READY)

Full, complete, and accurate PS&Es lower bidding risk, improve competition, and facilitate contract administration.

PS&E consistency is required within contract components (i.e. layout plans versus drainage plans) and between contract components (i.e. plans versus specifications). The PS&E is full, complete and accurate when the project is Draft Contract Ready.

Reference:
PCC 10120, RTL Guide, Sections 5, 6, 7 and 11, PPM, BEES Manual, GES 337 course manual (Beginning BEES), and GES 292 course manual (Advanced BEES)

Certification:
Section 6 will be completed when the project is deemed Draft Contract Ready.

1.3.7 TRAFFIC OPERATIONS

Overview:
Deputy Directive DD-60-R1, Traffic Management Plans, requires Transportation Management Plans (TMPs) for all construction projects. The District Traffic Manager or the District Transportation Management Plan Manager verifies that the TMP is updated at RTL.

Reference:

Certification:
Indicate with a check mark that the District Traffic Manager or District TMP Manager verifies that the TMP is updated at RTL. Provide the District Traffic Manager or TMP Manager name and the date of verification.
## Expiration and Update Requirements for RTL Documents

<table>
<thead>
<tr>
<th>Document</th>
<th>Expires After</th>
<th>Must Be Valid at (Milestone)</th>
<th>Contact Person (Phone)</th>
<th>Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>R/W Certification</td>
<td>1 Year</td>
<td>Advertisement Date</td>
<td>Don Grebe (916)654-4456</td>
<td>R/W manual Section 14</td>
</tr>
<tr>
<td>R/R Clearance Memo</td>
<td>PS&amp;E changes impacting R/R are made</td>
<td>Advertisement Date</td>
<td>Don Grebe (916)654-4456</td>
<td>R/W manual Section 8</td>
</tr>
<tr>
<td>Environmental Certification</td>
<td>Permit requirements change</td>
<td>RTL</td>
<td>Gina Moran (916)651-8164</td>
<td><a href="http://env.dot.ca.gov/library/library.shtml#placs">http://env.dot.ca.gov/library/library.shtml#placs</a></td>
</tr>
<tr>
<td>Traffic or TMP Manager verification</td>
<td>PS&amp;E changes impacting the TMP are made</td>
<td>RTL</td>
<td>Laurie Jurgens (209)736-1609</td>
<td>DD-60-R1</td>
</tr>
<tr>
<td>PE Seal on individual Plan Sheets</td>
<td>Perpetual*</td>
<td>At time of final plan revisions</td>
<td>Linda Fong (916)653-8559</td>
<td>Business and Professions Code,</td>
</tr>
<tr>
<td>PE Seal on Title Sheet</td>
<td>Perpetual*</td>
<td>Final plan revisions</td>
<td>Linda Fong (916)653-8559</td>
<td>Business and Professions Code,</td>
</tr>
<tr>
<td>PE Seal on Special Provisions</td>
<td>Perpetual*</td>
<td>Project listed for advertisement</td>
<td>Linda Fong (916)653-8559</td>
<td>Business and Professions Code,</td>
</tr>
<tr>
<td>Project Engineer's Certification of Utility Facilities</td>
<td>Perpetual*</td>
<td>At time of signing</td>
<td>Linda Fong (916)653-8559</td>
<td>Project Development Procedures Manual, Appendix LL</td>
</tr>
<tr>
<td>Storm Water Data Report</td>
<td>When revised permit conditions require a change</td>
<td>RTL</td>
<td>Tim Sobleman (916)653-5747</td>
<td>Storm Water Data Report Caltrans Storm Water Quality Handbooks / Project Planning and Design Guide May 2007 See Appendix E</td>
</tr>
<tr>
<td>Hazardous Waste Report</td>
<td>Permit requirements change</td>
<td>DCR</td>
<td>Kim Christmann (916) 653-3265</td>
<td>PDPM CH. 18</td>
</tr>
</tbody>
</table>

* The seal is valid in perpetuity so long as there have been no revisions to the sheet on which the seal is affixed. (An example of a revision is when CCOs are approved during the construction phase of the project and the engineer of record is not available to approve the change. A licensed engineer can sign off on the change, and that individual would be responsible for the change as well as any other items related to that change.)
2.1 PURPOSE

This section describes RTL Certification processing. Details on how to complete each RTL requirement are discussed in Section 1.

The RTL Certification documents the accomplishment of applicable Ready to List requirements. A draft RTL Certification documents the on-going status of the requirements. The final RTL Certification documents that all applicable requirements have been met and the project is RTL.

For a project to be deemed RTL, the PE must stamp and seal the final RTL Certification and a copy received by DES-OE for an AAOE project or by District Office Engineer for an AADD project.

2.2 RESPONSIBILITIES

2.2.1 PROJECT ENGINEER

The PE is the person in responsible charge of the Plans, Specifications and Estimate and is the Engineer of Record signing and sealing the Title Sheet of the Plans. This also applies to consultant designed projects.

The PE certifies that the project meets all the criteria for RTL. By sealing and signing the final RTL Certification, the PE certifies that all applicable design, Right of Way, environmental, regulatory, and statutory conditions have been addressed in the plans, specifications, and estimate. By exercising responsible charge in the certifying RTL, the PE either personally performs the work or has determined the applicability of design criteria and technical recommendations provided by others before incorporating such criteria or recommendations (Business and Professions Code 6700-6703.3, and Board Rules and Regulations Relating to the Practices of Professional Engineering and Professional Land Surveying, California Code of Regulations, Title 16, Division 5, §§400-476).

Business And Professions Code, Section 6735.5 states, The use of the word 'certify' or 'certification' by a registered professional engineer in the practice of professional engineering or land surveying constitutes an expression of professional opinion regarding those facts or findings which are the subject of the certification, and does not constitute a warranty or guarantee, either expressed or implied.
2.2.2 DESIGN ENGINEER OR MANAGER
The Design Engineer or Manager is the supervisor of the PE. The Design Engineer's or Manager's approval indicates the PE has the knowledge and experience to assure that the RTL requirements are complete.

2.2.3 DISTRICT OFFICE ENGINEER
Assists the PE in preparing and submitting the RTL Certification and receives the completed RTL Certification for AADD projects.

2.2.4 STRUCTURE OFFICE ENGINEER
Ensures that structure PS&E submittals and responses to draft contract comments to the district office engineers are prepared and processed in conformance with the Department's policies, procedures, adopted standards, and the requirements in this Guide.

2.3 PROCEDURE FOR COMPLETION AND SUBMITTAL
The PE obtains the RTL Certification Form (Appendix G) from the DOE, who can assist in preparing and submitting the Form. The Form is in the database that the DOE uses to submit projects to DES-OE. When a project is submitted to DES-OE, use the following procedure to prepare the RTL Certification.

- The PE obtains a PS&E Submittal Memorandum (Cover Memo) and RTL Certification Input Form from the DOE before submitting a project to DES-OE. The input form contains preparation instructions. The DOE can assist the PE.

- The DOE inputs the information into the Office Engineer database and prints either the Draft or Final RTL Certification for completion and signature.

- Projects submitted under Authority to Advertise District Delegation (AADD) require a completed RTL Certification. The PE must seal and sign the RTL Certification before submittal to DES-OE. The RTL Certification must identify that all RTL requirements have been completed.

- Projects submitted for the Deputy Chief - Office Engineer to approve the advertisement (AAOE) receive full processing and require a completed Draft RTL Certification. The PE must sign the Draft Certification, but is not required to place their seal on the Draft. The Draft RTL Certification identifies completed requirements as well as incomplete requirements and target dates for completion at the time of PS&E submittal to DES-OE. As the project is processed in DES-OE, DES-OE will verify the completion of the remaining requirements. After verification by DES-OE, the DOE prints a Final RTL Certification for the PE to seal and sign and the Design Senior to sign. DES-OE must receive a completed Final RTL Certification for a project to achieve RTL.
3.1 PURPOSE
This section describes the:

- DES-OE services to develop a construction contract ready for advertisement.
- District requirements for a District Director to approve a construction contract's advertisement.

3.2 BACKGROUND
Executive authorization to a manager to approve construction contracts for advertisement is based on the manager's staff having the knowledge and ability to produce full, complete, and accurate set of plans, specifications, and estimate (PS&Es) in compliance with the State Contract Act and to meet statutory requirements and Department policies for advertisement.

3.3 RESPONSIBILITIES

3.3.1 DIVISION CHIEF OF ENGINEERING SERVICES
- Delegates annually, the authority to advertise delegation based on performance
- Monitors performance of the authority to advertise delegation (both to District Directors and the DES Deputy Chief – Office Engineer)

3.3.2 DISTRICT DIRECTORS
- Certifies by approving to advertise a construction contract that the contract complies with statutory requirements and Department policies for advertisement
- Requests Risk Advertisements, Risk Votes, Pre-Award Qualifications, DES-OE retention of RTL project and changes in contingency funding
3.3.3 DEPUTY CHIEF – OFFICE ENGINEER

- Certifies by approving to advertise a construction contract that the contract complies with statutory requirements and Department policy for advertisement

- Assures that an independent review (Independent Assurance (IA)) of the compliance is performed on a statistically significant number of construction contracts regardless of who approved the advertisement. Provides the districts regular reports on the IAs. The IA will be based on the Department's standards

3.3.4 DES–OE, PS&E OFFICE CHIEF

- Assures quality assurance (QA) DOE of construction contract documents produced by the office.

- Assures feedback to districts on the compliance of the PS&E Submittal with the Department's Standards.

3.3.5 PROJECT MANAGER

- Establishes and maintains project schedules. Understands that AADD is not a project schedule recovery tool

- Resources project production through DES-OE based on established Workload Estimate Norm or based on agreement with DES-OE Office Chief of Project Control and Support

- Resources and supports the District Office Engineer (DOE) in delivering a full, complete, and accurate PS&E to DES-OE or to the district director for an AADD project

- Takes a lead role in obtaining signoffs for Risk Management accountability checkpoints
3.3.6 DISTRICT OFFICE ENGINEERS

- Assures the quality (QA) of construction contract documents produced by the district

- Ensures staff develops the knowledge and ability to assist PEs in understanding the Department's standards in delivering their PS&E to DES-OE. Successful completion of the AADD Academy or equivalent training is mandatory for staff submitting Authority to Advertise District Delegation projects.

3.4 PERFORMANCE

3.4.1 DES-OE DELEGATION

DES-OE has the executive authorization to process the PS&E on any project subject to the State Contract Act into a construction contract. DES-OE can only accept PS&E submittals for projects in the Baseline Delivery Plan. PS&E submittals not on the Baseline Delivery Plan need approval from the Division of Project Management before DES-OE can accept the submittal and assign the project.

3.4.2 DISTRICT BASELINE DELEGATION

See AADD delegations (http://oe.dot.ca.gov/opse.html#aadd)
4.1 PURPOSE
This section provides an overview of the construction contract advertisement, bid opening and award process, roles and responsibilities.

4.2 BACKGROUND
DES-OE is responsible for all activities related to advertising, bid opening, award, and approval for Informal-Bid, Minor A, Major Maintenance, and Major capital highway construction contracts that are advertised and awarded by the Department.

4.3 RESPONSIBILITIES

4.3.1 PROJECT MANAGER
- Assures sufficient funds are available for construction contract advertising and award
- Prepares, reviews or approves the contract award recommendation or request to reject bids

4.3.2 PROJECT ENGINEER, DESIGN ENGINEER, AND CONSULTANT OVERSIGHT ENGINEER
Provides information or clarification needed by DES-OE and may prepare and sign contract award recommendation or bid rejection request.

4.3.3 DISTRICT OFFICE ENGINEER
- Acts as liaison for DES-OE and the district to resolve issues in a timely manner
- Prepares, reviews and either concurs with or approves contract award recommendation or request to reject bids

4.3.4 DIVISION ENGINEERING SERVICES-OFFICE ENGINEER
- Advertises, opens bids and awards construction contracts to the lowest responsive and responsible bidder
• Processes the requests to reject bids
• Responds to bid protests
• Responds to requests for relief of bid
• Responds to requests for subcontractor substitution
• Conducts pre-award qualification meeting if required
• Conducts good faith effort meeting if required

4.3.5 DIVISION OF BUDGETS-OFFICE OF FEDERAL RESOURCES
Prepares the Federal Detail Estimate and provides a copy to DES-OE within one week after receipt of the low bid BEES (copy of the estimate with the low bidder’s prices, supplemental work, Department-furnished materials and contingencies).

4.3.6 FEDERAL HIGHWAY ADMINISTRATION ENGINEER
• Approves the plans, specifications and estimate for high profile federal projects
• Approves major addenda for high profile federal aid projects
• Concurs with contract award or bid rejection for high profile projects

4.4 LISTING PROJECTS FOR ADVERTISEMENT
DES-OE identifies a weekly list of projects that are RTL and funded called the List of Projects Tentatively Proposed for Advertisement. Funded is defined as funds allocated and approved by the Department & FHWA (if federally funded) including Federal Authorization (E-76) approval in an amount sufficient to cover the capital cost of construction. Projects identified on the list proceed to final bid document preparation and advertisement.

4.5 FINAL BID DOCUMENT PREPARATION
When a project is listed for advertisement, DES-OE prepares the final bid documents and during this period:
• Determines DBE or DVBE goals
• Updates the contract special provisions
• Adds the federal aid number on the title sheet
• Prepares the Information Handout
• Prepares the Notice to Bidders and Contract Special Provisions and Bid book
• Reproduces the final delineated plans, the Notice to Bidders and Special Provisions and the Bid book

4.6 ADVERTISEMENT
A project is ready for advertising when:

• Final bid documents are complete and ready for distribution to bidders.
• Project has been advertised in the Department of General Services, California State Contracts Register.

Advertising periods typically range from three to seven weeks or more depending on the complexity of the project.

DES-OE uses the following guidelines for setting advertisement dates for all contracts except safety and informal bid contracts.

4.6.1 ADVERTISING DATES:
• Allow a minimum of two weeks between CTC vote and Advertisement date
• Advertise on Mondays unless a Holiday (Government Code Section 6700-6720), then advertise on Tuesdays
• Limit to 25 the number of advertisements per week

4.6.2 ADVERTISING DURATIONS:
• Use durations concurred with by the construction industry (AGC, EUCA, & SCCA)
• Do not count the week of Thanksgiving, the last week of December, and the first week of January as part of the advertisement period
• Districts may request a shortened advertisement period using the Risk Advertisement Process
4.7 **ADDENDA**

Changes in advertised contract documents are made by the addendum process. An addendum is issued to correct significant errors, omissions, or conflicts in the bid documents. Addendum requests are reviewed by DES-OE and are either approved and processed, or denied. Project changes after bid opening can only be made by either:

- writing a change order during construction
- rejecting all bids and readvertising as a new project


4.8 **BID OPENING**

DES-OE uses the following guidelines to establish bid opening dates:

1. Open bids in the week after the advertising duration:
   - On Tuesdays or Wednesdays in Sacramento for northern districts (NR, 4, & CR)
   - On Thursdays in Irvine for southern districts (7, 8, 11, & 12)

2. Do not open bids:
   - The day after a Holiday
   - During January Beaver Dilly Days (AGC sponsored banquet) and AGC Golf and banquet event in August
   - During Thanksgiving week and last two weeks of December

3. Limit to 15 the number of bid openings per day.

4. Keep bid openings for contracts at least:
   - One week apart when the number of bid items exceeds 100
   - One week apart for landscape and rubberized AC contracts
   - One day apart for similar EAs (e.g., 07-257301, 07-257401)
   - One day apart for similar types of contracts in same county and route
• Maximum total of 400 bid items for all projects bid opening the same day

5. For a Risk Advertised Contract a minimum of three weeks after the last constraint’s target clearance date.

6. Bid Openings for emergency informal bids projects may be held at any location and may be scheduled for any day of the week if necessary.

4.9 DISTRICT RECOMMENDATION

Chapter 3 of the Construction Manual requires a district or region to provide an award recommendation or request to reject bids for each contract.

See Section 14, District Recommendation for Award/Requests to Reject Bids, for instructions on preparing a Recommendation Memorandum or Request to Reject B.
5.1 PURPOSE

This section provides guidance for submission of a PS&E that is complete and accurate as the main components of a legally valid contract.

5.2 RESPONSIBILITIES

5.2.1 DISTRICT PROJECT ENGINEER

Ensures that the PS&E is complete and accurate

5.2.2 STRUCTURE PROJECT ENGINEER

Ensures that the structure portion of the PS&E adheres to Department standards

5.2.3 STRUCTURE OFFICE ENGINEER

- Verifies that the structure plans are complete and accurate
- Prepares the structure portion of the estimate
- Prepares and approves the structure portion of the project special provisions

5.2.4 DISTRICT OFFICE ENGINEER

- Verifies that the PS&E submittal to DES-OE is complete, accurate, and conforms to the Department's standards
- Combines structure and highway portions of the special provisions
- Submits both AAOE and AADD projects to DES-OE
- Provides SOE an electronic copy of combined special provisions and BEES
- Ensures responses to draft contract comments are provided to DES-OE
5.2.5 DIVISION ENGINEERING SERVICES-OFFICE ENGINEER

For AAOE projects:
- Provides QA on the PS&E submittal to verify that the project meets the Department's standards
- Performs an IA review after advertisement to verify that the DES-OE QA process for AAOE projects meets the Department's standards

For AADD projects:
- Performs an IA review after advertisement to verify that the DOE's QA process for AADD projects meets the Department's standards
- Provides feedback to the DOE regarding the IA findings
- Recommends corrective action to achieve a district certified draft contract that meets the Department's standards

5.3 PROJECT PLANS CERTIFICATION

Project plans show the details of the work, including items not covered by the current Standard Plans and RSPs. Project plans are developed to comply with Plans Preparation Manual and prepared with CADD to comply with the CADD Users Manual.

The project engineer may need to modify a standard plan detail for unique project requirements. Details from the Standard Plans can be copied, modified, and added to the appropriate project plan detail sheet. For detail modification, the Micro Station .DGN file versions of the standard plans are available on the DES-OE Web site.

STRUCTURE PLANS AND DETAILS

DES-SD has the responsibility for preparing structure plans. Plans are sent to the districts for a check on data pertaining to horizontal and vertical alignment and clearances. The final electronic files are submitted to the district. The district is responsible for submitting the roadway and structures CADD submittal form to DES-OE with the PS&E submittal.

FINAL PAY ITEMS

Bid items are designated as final pay with an (F) in the Bid Item List. Show the final pay designation on the bid item list. Do not show the final pay designation on the plans.
5.4 PROJECT SPECIFICATIONS CERTIFICATION
Specifications describe the details for the materials, construction, and administration of the contract. Contract special provisions are specifications specific to the contract and govern over the other parts of the contract. See Section 6.

5.5 PROJECT COST ESTIMATE CERTIFICATION
The project cost estimate submitted by the district results in the estimated cost of the project shown on the Notice to Bidders and complies with section 7.
SECTION 6 SPECIAL PROVISIONS

6.1 PURPOSE
This Section 6 provides guidance for preparing the project special provisions.

6.2 BACKGROUND
The Standard Specifications, SSPs, and RSSs are the result of participation, extensive development, and concurrence from the Department's experts and applicable stakeholders. External stakeholders include industry, FHWA, and other agencies. Standard Specifications and SSPs are sponsored by owners who are responsible for the technical content.


Statewide specification uniformity makes bids more competitive and projects easier to administer. To expedite project delivery and minimize variation between projects, use current the SSPs that are published on the DES-OE Web site. SSP editing must comply with instructions within the SSP.

6.3 RESPONSIBILITIES
Regardless of the construction involved, all projects are district projects. Districts have overall responsibility for the special provisions. Districts must ensure structure specifications do not conflict with other specifications. See Section 5 for responsibilities pertaining to PS&E. The details of responsibilities for the special provisions are as follows:

6.3.1 DISTRICT PROJECT ENGINEER

- Coordinates special provision work with the DOE from project development through award
- Ensures SSPs are used and edited under the instructions in the SSPs
- Ensures NSSPs included in the special provisions is necessary, developed, included, and approved by the appropriate owners before submitting the PS&E to DES-OE
6.3.2 DISTRICT AND STRUCTURES SPECIFICATION ENGINEER

- District SE or PE signs for district work.
- SOE SE signs for structure work.
- Multiple specification engineers may be involved for work such as highway, traffic, structures, landscape, buildings, mechanical, water, waste water, and electrical.
- Assembles, edits, and uses QC for special provisions.
- Assists with NSSP development and submits a copy of owner approval.
- Verifies consistency between the plans, Bid Item List, and special provisions.
- Signs the special provisions.

6.3.3 DISTRICT OFFICE ENGINEER

- Provides QA to verify that the applicable SSPs are selected and correctly edited.
- Ensures NSSPs are necessary and consistent with the Specification Style Guide.
- Formatting NSSPs.
- Coordinates PS&E submittal.

6.3.4 DISTRICT OFFICE ENGINEER SITE COORDINATOR

- Acts as the liaison with DES-OE for computer issues.
- Ensures that DOE computers are equipped with the tools and configuration necessary to submit PS&E.
- Acts as the point of contact in the district for specification-related computer problems.
- Takes responsibility for other computer-related functions (e.g., annual equipment inventory).
6.3.5 DIVISION CHIEF OF PROGRAM OR FUNCTION

- Designates specification owners.
- Provides resources to support the specification owners.

6.3.6 SECTION COORDINATOR

- For section coordinator responsibilities go to the Guide to Standard Specifications, SSPs, and Standard Plans.

6.3.7 SPECIFICATION OWNER

- For specification owner responsibilities go to the Guide to Standard Specifications, SSPs, and Standard Plans.

6.3.8 DIVISION ENGINEERING SERVICE-OFFICE ENGINEER, DEPUTY DIVISION CHIEF


6.3.9 DES-OE, OFFICE OF PS&E AREA SENIOR

- Performs independent assurance on special provisions
- Assists in determining the appropriate owner for an NSSP

6.3.10 DES-OE, OFFICE CHIEF OF OCCS

- For OCCS office chief responsibilities go to the Guide to Standard Specifications, SSPs, and Standard Plans.

6.4 SPECIAL PROVISIONS

6.4.1 GENERAL

Sections of the special provisions match the sections of the Standard Specifications.
6.4.2 SECTIONS 1 THROUGH 9

SSPs for Sections 1 through 9 revise the general provisions of the Standard Specifications. Sections 1 through 9 apply to all contracts unless specified as applicable under certain conditions. If a bid item is not used for work required by Sections 1 through 9, payment is included in the contract bid items per Section 9-1.03, Payment Scope, of the Standard Specifications. SSPs for Sections 1 through 9 include specifications for:

- Requirements and instructions to bidders
- Requirements for award and execution
- Control of the work and materials
- Relations with other entities
- Public and worker safety
- Start of job site activities
- Items for partial payment
- Payment, including measurement for payment

Cost Plus Time Bidding

To determine if a project qualifies for cost plus time bidding (formerly A+B bidding), use the guidelines published by the Division of Construction.

Incentive/Disincentive Provisions

Incentive/Disincentive provisions require justification and are customized for each project. Work with DES-OE and the Division of Construction as early as possible to develop specifications.
Supplemental Project Information and the Information Handout

The Department is required under contract law principles such as the Spearin and Superior Knowledge Doctrines to disclose to bidders information otherwise unavailable that is vital to contract performance.

Information included in the contract as supplemental project information, including the Information Handout, must be referred to from the special provisions because Section 2-1.06B of the Standard Specifications states that the information is made available as specified in the special provisions. The supplemental project information is made part of the contract by reference to it from the specifications and by the inclusion of it in the list of contract parts in Section 5-1.02 of the Standard Specifications.

Project-Related Permits, Licenses, Agreements, Certifications (PLACs)

Comply with Section 13 of the PDPM.

Although PLACs are part of the contract:

- The plans and specifications must describe any work that the Contractor must complete. For example, if a PLAC states that a tortoise fence must be constructed, the plans and specifications must describe the tortoise fence.

- If a PLAC states that a requirement must be described in the plans or specifications, the plans or specifications must describe the requirement.

- If a PLAC describes options and the Department has chosen one option, the specifications must specify that option.

- If a PLAC provides requirements but does not designate the responsibilities of each party, the specifications must specify the responsibilities of each party.

- If a PLAC designates responsibilities to the Department, and the Department requires the Contractor to act such that the Department is in compliance with the PLAC, the specifications must specify that the Contractor must perform the act.

- For convenience to the Contractor, the specifications must include any time constraints included in the PLAC.
Working Days

Districts are responsible for the submittal of the total project working days. Structures determines the number of working days for structure work. Districts merge the working days for highway and structure work. Round working days up to the nearest 5 days. Do not add days for work that can be done concurrently with the controlling activity. Do not add days for extra work. If necessary, days for extra work are added by change order.

For work that is not done concurrently with the controlling activity consider:

- 7 or 14 day waiting period before placement of pavement markers on new hot mix asphalt
- Curing time for concrete
- 30-day minimum for obtaining railroad insurance
- Time specified for performance of utility work
- Landscaping, irrigation, and plant establishment
- Collection of site specific seed for erosion control work
- Plants that must be propagated from plants on the job site
- Review time for contractor submittals (e.g., SWPPP, progress schedule, material lists, working drawings and plans, aggregates, concrete mix designs, asphalt mix designs, and other submittals specified in the special provisions, RSSs, or Standard Specifications)
- Lead time for delivery of steel products and special materials
- Special days or time constraints for traffic

Liquidated Damages

LD recover additional Department costs due to the Contractor’s failure to complete the contract within the specified time and are based on the estimated cost of field construction engineering and field office expenses.

Section 8-1.10, Liquidated Damages, of the Standard Specifications includes standard LD amounts for projects $250 million or less. Section 8-1.10 also includes a standard liquidated damages amount for plant establishment work.
For a cost plus time bid type project, include the corresponding LDs based on the project bid items total from the table in Section 8-1.10, Liquidated Damages, of the Standard Specifications and the road user cost (RUC). The LDs amount and RUC are the cost per day in the total basis for bid comparison purposes.

For a unit price or LS bid type project, do not include LDs in the special provisions.

**Internal Time Limits**

Except in special cases, do not use internal time limits. Contact DES-OE for assistance.

### 6.4.3 SECTIONS 10 THROUGH 15

SSPs for Sections 10 through 15 revise general construction specifications of the Standard Specifications. These sections apply to all contracts unless specified otherwise. If a bid item is not used for work required by Sections 10 through 15, full compensation is covered by Section 9-1.03, Payment Scope, of the Standard Specifications.

SSPs for Sections 10 through 15 include specifications for:

- Quality control and assurance
- Sustainable materials
- Temporary traffic control
- Water pollution control
- Environmental stewardship
- Existing facilities

### 6.4.4 SECTIONS 16 THROUGH 86

SSPs for Sections 16 through 86 revise construction specifications of the Standard Specifications for specific bid items. SSPs for Sections 16 through 86 include:

- Grading
- Bases and surfaces
- Structures
- Drainage
• Miscellaneous construction
• Traffic control facilities

6.4.5 SECTIONS 87 THROUGH 98
SSPs for Sections 87 through 98 revise materials specifications of the Standard Specifications. SSPs for Sections 87 through 98 include:
 • Concrete
 • Geosynthetic materials
 • Asphalts and asphaltic emulsions
 • Paints
 • Epoxies

6.4.6 SECTION 99
Section 99 is for building construction. Section 99 is reserved in the Standard Specifications and is comprised solely of SSPs. SSPs for Section 99 are provided by TAEMWW to SOE. For more information regarding building work go to Section 6.7.

6.5 SPECIAL PROVISIONS FOR MINOR B CONTRACTS
For Minor B contracts, districts compile and submit the special provisions to the Division of Procurement and Contracts. If the project includes structures work, SOE submits their portion of the special provisions to the district.

6.6 ASSEMBLY OF SPECIAL PROVISIONS
Obtain the tools including macros for special provision assembly from the DOE site coordinator.

The first 2 digits of the item code set forth the specification sections that apply to the contract. Due to section reorganization, the use of one-time bid item codes and the creation of several new sections, cases where the first 2 digits of the item code does not match the specification section exist. In these cases, use SSP 1-1.01.

Use the first 2 numbers of the bid item along with the SSP index to assist in selection of SSPs that apply to a project.
Use the SP template to create a document and insert the necessary SSPs. The SP template contains all the main section headings. Insert the SSPs under the appropriate heading in numerical order. Use the current template and SSPs published by OCCS.

Ensure that each bid item is covered by the Standard Specifications or the special provisions. Your review of the Standard Specifications, which includes the revised standard specifications (maybe add RSS to amendments), is critical. If a work component is not covered by the Standard Specifications, add the appropriate SSP. If an appropriate SSP does not exist, create an NSSP.

Use the 2010 special provision template for creating NSSPs. The template is available at the DES-OE Web site.

6.7 SPECIAL PROVISIONS FOR BUILDING CONSTRUCTION PROJECTS

Building construction projects are construction or remodeling work that includes roadside rest areas, maintenance stations, vehicle inspection facilities, equipment buildings, toll plazas, etc.

If the LS price of the building work is greater than 50 percent of the total bid items:

- Do not use a bid item for mobilization. Mobilization is included in the LS price for the building work.
- Use SSP 9-1.11 to delete specifications for Time-Related Overhead

6.8 EDITING AN SSP

Use the guidance in Appendix G.

Follow the instructions included in an SSP. If you must add or delete language not covered by the SSP instructions, follow the procedure for an NSSP.

For specifications that require a contact, only provide contact's title, address and phone number. Do not use proper names except in specifications for railroad specifications.

6.9 NSSP

An NSSP is:

- A specification that is not published by OCCS
- An SSP with added or deleted language not covered by the SSP instructions

NSSP approval is required for all projects in our right of way.
Use of NSSPs should be limited and must be justified. Districts are responsible for documenting justification and obtaining specification owner approval for each NSSP.

Do not use NSSPs on a routine or blanket-approval basis. For each project, use of an NSSP requires approval by the owners and either district or HQ Construction.

For an NSSP and associated project details, written approval by the owner and construction is a statement that the technical content of the NSSP is adequate.

Standard clauses including those for payment, disposal of materials, certificate of compliance and delays are in the Specification Style Guide 2010.

### 6.9.1 DISTRICT NSSP PROCESS

To create an NSSP follow these steps:

- Before developing an NSSP, confirm with the DOE that it is necessary.

- Begin the NSSP development and approval process early. Plan a strategy with the DOE for developing the NSSP with input from specification owners and stakeholders (e.g., Legal, Construction, FHWA). To assist specification owners, stakeholders, and reviewers, provide a concise explanation of the purpose and need for the NSSP. Attach relevant plan sheets.

- The draft NSSP must conform to the Specification Style Guide. Request assistance and review by the DOE. If an NSSP is generated by editing beyond the instructions of a SSP, use the edit notation for SSPs shown in Appendix G. For an all-new specification, use the SSP template and place “ALL NEW,” the date, and the author’s initials in the header.

- Request a review and approval from the specification owners and District Construction. Allow at least 2 weeks for a review. Check with the reviewers after the first week to see if they have questions.

- After obtaining approval from the owners and District Construction, e-mail copies of the approvals, the NSSP, and the justification summary to HQ Construction Engineering for IA. If the specification owner is HQ Construction, it is not necessary to also obtain approval from District Construction, and it is not necessary to resubmit a copy for IA.

- Do not make additional content changes to the NSSP after approval.
- Include the approved NSSP in the special provisions submitted to DES-OE. Check the field in the PS&E Cover Memorandum noting that NSSPs are included in the project. The DOE incorporates NSSPs in the special provisions and submits a copy of the owner’s written approval along with a copy of the NSSP version approved. DR will not be provided until DES-OE receives copies of the required owner and construction approvals.

- The NSSP process is also described in the following flow chart.
6.9.2 DISTRICT SPECIAL PROVISIONS

District special provisions are NSSPs that have been approved for use on a district-wide basis and are limited to situations where the standards do not adequately address a district's needs. To request new district special provisions, use the NSSP process. The DES-OE, Office of PS&E area senior will maintain a copy of the district special provision to ensure consistent use.

6.9.3 LOCAL AGENCY SPECIFICATIONS

Avoid the use of local agency specifications. If use of the technical content from a local agency specification is necessary, process the specification as an NSSP.

6.9.4 LOCAL INFRASTRUCTURE SPECIFICATIONS

Section 77 in the Standard Specifications is reserved for local infrastructure specifications. Examples of local infrastructure include city water and power, utility lines, and telecommunication cable. Submit these specifications as NSSPs for review by both DES-OE and HQ Construction. Obtain concurrence from DES-OE for style and format. Obtain concurrence from HQ Construction for contract administration. Staff in HQ and DES do not have technical expertise to sign and seal local infrastructure specifications. These NSSPs must be sealed and signed by the engineer from either the District, consulting firm, municipality, agency, utility, or company involved. The engineer must be registered in the State as a civil engineer or other applicable engineering classification.

6.10 PROPRIETARY PRODUCTS

Proprietary products include brand and trade name products and products so narrowly specified that only a single provider can meet the specification. Typically, use of proprietary products requires project-specific details and an NSSP. Proprietary products requirement apply to specified temporary and permanent work.

Pub Cont Code § 3400 and 23 CFR 635.411 govern the use of proprietary products.

Avoid the use of proprietary products. If justified under the codes, add the term or equal.

Deputy Directive 45, New Product Evaluation requires District Directors to ensure that only those products evaluated and approved following Caltrans’ policy and procedures are implemented and used in their respective Districts.
For use of proprietary products, the specification must include:

- The term “or equal” unless not required by law
- Company name, address, and phone number (unless readily available)
- If applicable, the distributor name, address, and phone number

6.10.1 FOR THREE OR MORE PROPRIETARY PRODUCTS

No additional information is needed in the specification. No PIF is required.

6.10.2 FOR TWO PROPRIETARY PRODUCTS

No additional information is needed in the specification. For federally funded projects, include in the PS&E Submittal an approved PIF or a copy of the blanket PIF. If does not include federal funds, the project does not include a PIF.

6.10.3 FOR ONE PROPRIETARY PRODUCT

Include in the PS&E Submittal:

- Approval for highway items by the District Director or District Deputy Director of Design
- Approval for structure items by the DES Chief
- Price quote documentation (except for Department–approved crash cushions; see the vendor pricing Web site). Sample documentation is available on the DES-OE Web site. Documentation must include a quotation from the manufacturer or supplier that is signed by a responsible company official and gives:
  - Company name, address, and phone number
  - Price, expiration date of the price, whether the price includes tax, and delivery location
  - Approved PIF for federal participation or a copy of the blanket PIF
  - NSSP that includes the quoted price with expiration date
If a product is to be used experimentally and the project has federal funds, Districts submit the PIF to the Department's Federal Resources Office, Division of Budgets, for processing. PIFs for high profile federal projects will be forwarded for FHWA approval to the Chief, State Project Development Procedures and Quality Branch. Along with the PIF, include a work plan that indicates specific functional managers and units assigned responsibility to objectively follow-up, evaluate, and document the effectiveness of the product. For further details on the work plan and approval procedure are found in the Construction Manual.

6.11 RAILROAD INVOLVEMENT

Preparation of railroad agreements takes considerable time. As soon as possible, the project engineer must contact District Right of Way for confirmation of involvement of a railroad.

Typically the railroad is involved when work is in or over the railroad right of way. This should be considered even for minor work such as attaching guard railing to the abutment of an underpass, jacking a pipe beneath the railroad roadbed, or entering railroad property for access to the work or to construct a fence.

If there is a railroad shown on the Title Sheet of the project plans, contact District Right of Way.

District Right of Way provides the information to complete the railroad specifications before PS&E submittal.

Include an electronic copy of railroad specifications with the PS&E submittal to DES-OE. Railroad specifications will be added to the contract as supplemental project information. List railroad specifications in SSP 2-1.06B.

6.12 ALTERNATIVE MATERIALS AND CONSTRUCTION METHODS

Department policy is to allow optional materials and construction methods whenever feasible. In some cases it may also be necessary to include alternative bidding when the payment of the item involved is changed because of the alternative, e.g., steel bridge versus concrete bridge or different types of seal coats. Some SSPs include alternatives and therefore are not to be revised to eliminate predetermined options.

6.13 MATERIALS ELIGIBLE FOR PARTIAL PAYMENTS

If materials meet the criteria for progress payment, list the description in SSP 9-1.16C from the following table.
<table>
<thead>
<tr>
<th>Eligible Materials</th>
</tr>
</thead>
<tbody>
<tr>
<td>Backflow Preventer Assembly Enclosures</td>
</tr>
<tr>
<td>Backflow Preventers</td>
</tr>
<tr>
<td>Barriers (except concrete barriers)</td>
</tr>
<tr>
<td>Camera Assemblies</td>
</tr>
<tr>
<td>Column Casings</td>
</tr>
<tr>
<td>Control and Neutral Conductors</td>
</tr>
<tr>
<td>Corrugated Steel Pipe Conduit</td>
</tr>
<tr>
<td>Crash Cushions</td>
</tr>
<tr>
<td>Crib Wall Members</td>
</tr>
<tr>
<td>Culvert Pipe</td>
</tr>
<tr>
<td>Drainage Pumping Equipment</td>
</tr>
<tr>
<td>Earth Retaining System</td>
</tr>
<tr>
<td>Edge Drain Pipe</td>
</tr>
<tr>
<td>Fences and Gates</td>
</tr>
<tr>
<td>Fiber Optic Cable</td>
</tr>
<tr>
<td>Fiber Optic Conduit</td>
</tr>
<tr>
<td>Field Units and Base Station</td>
</tr>
<tr>
<td>Filter Fabric</td>
</tr>
<tr>
<td>Ground Anchors</td>
</tr>
<tr>
<td>Horizontal Drain Pipe</td>
</tr>
<tr>
<td>Innerduct</td>
</tr>
<tr>
<td>Irrigation Booster Pumps</td>
</tr>
<tr>
<td>Irrigation Controller Enclosure Cabinets</td>
</tr>
<tr>
<td>Irrigation Controller Enclosure Cabinets</td>
</tr>
<tr>
<td>Eligible Materials</td>
</tr>
<tr>
<td>-----------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Irrigation Controllers</td>
</tr>
<tr>
<td>Irrigation Pump and Equipment</td>
</tr>
<tr>
<td>Isolation Casings</td>
</tr>
<tr>
<td>Lighting Fixtures</td>
</tr>
<tr>
<td>Luminaires</td>
</tr>
<tr>
<td>Metal Sign Structures (including contractor furnished sign panels and changeable message sign structure)</td>
</tr>
<tr>
<td>Miscellaneous Bridge Metal</td>
</tr>
<tr>
<td>Miscellaneous Drainage Facilities</td>
</tr>
<tr>
<td>Miscellaneous Iron and Steel</td>
</tr>
<tr>
<td>Miscellaneous Metal</td>
</tr>
<tr>
<td>Overside Drains and Appurtenances</td>
</tr>
<tr>
<td>Pavement Dowels</td>
</tr>
<tr>
<td>Pavement Markers</td>
</tr>
<tr>
<td>Pavement Reinforcing Fabric</td>
</tr>
<tr>
<td>Piling (except CIDH Piling)</td>
</tr>
<tr>
<td>Pipe (Irrigation Systems)</td>
</tr>
<tr>
<td>Plastic Lumber</td>
</tr>
<tr>
<td>Precast Concrete Members</td>
</tr>
<tr>
<td>Prefabricated items that typically take more than 60 days to fabricate and ship to the job site.</td>
</tr>
<tr>
<td>Prestressing steel for cast-in-place members, sealed packages only, and prestressing ducts and anchorages (for structures that have an estimated value exceeding $500,000.)</td>
</tr>
<tr>
<td>PTFE and PTFE Spherical Bearings</td>
</tr>
<tr>
<td>Pumping Plant Electrical Equipment</td>
</tr>
<tr>
<td>Pumping Plant Equipment</td>
</tr>
</tbody>
</table>
## Eligible Materials

<table>
<thead>
<tr>
<th>Material</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pumping Plant Metal Work</td>
</tr>
<tr>
<td>Railings</td>
</tr>
<tr>
<td>Reinforcement</td>
</tr>
<tr>
<td>Rock Slope Protection Fabric</td>
</tr>
<tr>
<td>Sewer Pipes and Appurtenances</td>
</tr>
<tr>
<td>Signal and Lighting Standards</td>
</tr>
<tr>
<td>Signal Cabinets</td>
</tr>
<tr>
<td>Signal Heads and Mounting Brackets</td>
</tr>
<tr>
<td>Soil Nail Assemblies</td>
</tr>
<tr>
<td>Sound Wall (Masonry Block, Precast Concrete, Panels)</td>
</tr>
<tr>
<td>Splice Vaults</td>
</tr>
<tr>
<td>Sprinklers</td>
</tr>
<tr>
<td>Structural Plate Installations</td>
</tr>
<tr>
<td>Structural Steel</td>
</tr>
<tr>
<td>Timber</td>
</tr>
<tr>
<td>Twisted Pair Cable</td>
</tr>
<tr>
<td>Type B Joint Seals and Joint Seal Assemblies</td>
</tr>
<tr>
<td>Underdrain Pipe</td>
</tr>
<tr>
<td>Valves</td>
</tr>
<tr>
<td>Welded Steel Pipe</td>
</tr>
<tr>
<td>Welded Steel Pipe Conduit</td>
</tr>
</tbody>
</table>
6.14 CLIMATE AREAS

The Web sites for the highway environmental areas and the structure freeze-thaw areas are:

Climate Areas

Memo to Designers 8-2, "Protection Against Deicing Chemicals and Freeze-Thaw Environment":

Attachment A, "California State Highway Environmental Areas":

Attachment B, "California State Highway Listing by Environmental Area and Post Mile":
7.1 PURPOSE
This section 7 provides guidance for preparing the project cost estimate.

7.2 BACKGROUND
Prepare the project cost estimate using the Department's best cost forecasting capabilities and BEES. The BEES printout of the project cost estimate is called the engineer's estimate.

Documents pertaining to this section include:

- PD-04 Project Contingencies and Supplemental Work, project development directive

The project cost estimate includes:

- Bid item quantities, units of measure, and item costs
- Supplemental work items and costs
- Department-furnished materials costs
- Department expense costs
- Contingencies
- Funding segregation with identification of funding participation levels

The amount of allocated funds should not influence the estimate. Reducing the estimate to be within the allocated amount or within the limit for minor projects will not reduce bids. Bid overruns can cause serious problems such as delay of award, rejection of bids, and re-advertisement.

Project construction funds (capital outlay) are only for project improvement and not for maintenance.
Construction contracts must not include purchasing supplies or equipment for the Department. State law prohibits using capital outlay funds for such purchases. For example, it is prohibited to require the Contractor to provide a changeable message sign for Department use either during construction or after construction is complete.

7.3 RESPONSIBILITIES

7.3.1 GENERAL

Details on responsibilities for approval of supplemental work and nonstandard contingencies are in the project development directive PD-04 Project Contingencies and Supplemental Work.

FHWA approval is required on federal-aid projects for items not on the FHWA pre-approved supplemental work list.

For Federal aid projects, FHWA approval is required for contingencies (1) greater than 5 percent and (2) when the increase in contingencies is greater than $200,000.

7.3.2 PROJECT ENGINEER

- Generates the District portion of the project cost estimate
- Ensures the project cost estimate is complete and accurate including:
  - Complete and accurate bid item quantities for both district and Structures work
  - Consistency between the plans, specifications, and estimate
  - Appropriate final pay designations
- Coordinates with SOE for common bid items
- Prepares the justification and obtains approval for supplemental work not on the FHWA pre-approved list. For high profile projects, obtains FHWA approval of these items before obtaining Department approval.
- Prepares the justification and obtains approval for supplemental work when this work totals more than 5 percent of the project cost estimate
- Prepares the justification and obtains approval for use of nonstandard contingencies (other than 5 percent)
• Corrects BEES entries as necessary to achieve DR milestone
• Ensures accurate funding segregation when applicable
• Prepares justification for Department-furnished materials and Department expenses

7.3.3 OTHER FUNCTIONAL DISTRICT ENGINEERS
• Provides complete and accurate contract quantities for their portion of the project

7.3.4 STRUCTURE OFFICE ENGINEER
• Generates the portion of the project cost estimate for structures work
• Ensures their portion of the project cost estimate is complete, accurate, and consistent with the plans and specifications
• Ensures the final pay designation is appropriate for Structures work
• Coordinates with the District for common bid items and working days
• Reviews the combined project cost estimate and resolves issues with the District as necessary

7.3.5 DISTRICT OFFICE ENGINEER
• Verifies the project cost estimate is complete and consistent with the plans and specifications
• Coordinates with SOE on combined bid items and working days
• Verifies final pay designation is appropriate
• Verifies the funding segregation is complete and accurate

7.3.6 DIVISION ENGINEERING SERVICES, OFFICE ENGINEER
• Verifies the bid item list is consistent with the plans and special provisions
• Verifies final pay designation is appropriate
• Assigns one-time item numbers for nonstandard items
• Locks BEES after DCR
• Maintains standard bid item codes

7.3.7 DESIGN ENGINEER OR PROJECT MANAGER
• Ensures the estimate complies with standard contingencies, pre-approved supplemental work items, and standard limits on supplemental work costs
• Ensures the PE obtains applicable approvals

7.3.8 DEPUTY CHIEF, OFFICE ENGINEER
• Approves or rejects changes to supplemental work or Department-furnished materials items after bid opening.

7.3.9 DEPUTY DISTRICT DIRECTOR OR REGION DIVISION CHIEF
• Rejects or recommends approval to the Chief, Division of Design for the use of nonstandard contingencies
• Rejects or recommends approval to the District Director for the use of supplemental work items not pre-approved by FHWA
• Rejects or recommends approval to the District Director for supplemental funds over 5 percent of the project cost estimate

7.3.10 DISTRICT PROJECT DELIVERY DEPUTY
• When delegated, certifies project cost estimates between $1,000,000 and $5,000,000.

7.3.11 DISTRICT DIRECTOR
• Certifies the project cost estimate for all projects
• Recertifies the project cost estimate for certifications
• Rejects or recommends approval to the Chief Engineer for the use of nonstandard contingencies
• Approves or rejects use of nonstandard supplemental funds that are exceeding 5 percent but up to 10 percent of the project cost estimate. This authority cannot be delegated below the Deputy District Director or Region Division Chief level.

• Rejects or recommends approval to the Chief, Division of Construction for the use of supplemental funds that exceeds more than 10 percent of the project cost estimate. This authority cannot be delegated.

• Rejects or recommends approval to the Chief, Division of Construction for supplemental work items not on FHWA's pre-approved list or on the Department's acceptable supplemental work items list. This authority cannot be delegated below the Deputy District Director or Region Division Chief level.

7.3.12 CHIEF, DIVISION OF CONSTRUCTION

• Approves or rejects request for use of State funds for supplemental work not approved by FHWA

• Approves or rejects request for total supplemental work costs that exceed 10 percent of the project cost estimate

• Works biennially with FHWA to maintain FHWA's pre-approved list of supplemental work items. Department-furnished materials and Department expenses

7.3.13 CHIEF, DIVISION OF DESIGN

• Rejects or recommends approval to the Chief Engineer for the use of nonstandard contingencies

7.3.14 CHIEF ENGINEER

• Approves or rejects the use of nonstandard contingencies

7.4 BASIC ENGINEERING ESTIMATING SYSTEM (BEES)

7.4.1 GENERAL

Prepare estimates using BEES. This system:

• Provides data files required for the project information systems and analysis (PISA).
• Provides data needed by the bid opening and progress pay systems

• Produces segregated estimates according to funding sources

For each project cost estimate, BEES limits the maximum number of bid items to 350. BEES limits the combined number of supplemental work items and Department-furnished items to 50.

For projects that include Structures work, the DOE submits a project cost estimate that is a combination of the estimate from the District and SOE. Structures work may include railroad work, temporary structures, supplemental work, Department-furnished items, and Department expenses.

For a given project, BEES permits separate storage of the District from the SOE estimate. The District and SOE must use the same EA and keyword when inputting their portion of the items into BEES. Phase 1 must be used for the EA. If the District and SOE do not use the same EA and keyword, BEES cannot generate a combined estimate. District files are designated with “H” and SOE files are designated with “B”. The combined file is designated with “C”. Each office is responsible for completing and updating their portion of the estimate. BEES reports may be generated for just the “H” or “B” portions or may be generated for the combined “C”. When BEES generates a combined estimate, the quantities for District and structures are integrated. If District and SOE estimates have the same bid item but different unit prices, the District unit price prevails. Before finalizing the estimate, District and SOE estimators must agree on the pricing for items with the same bid item.

The PE reviews all items and ensures that quantities and costs are not duplicated. Duplication may occur for items such as temporary railing or retaining walls. For project with work where a portion of an element (such as a retaining wall) is designed by both the District and Structures, the same bid item should be used. If the Structures portion is designated as final pay, final pay designation should also be used for the District portion. In the rare case where it is appropriate to pay for the same work with different bid items, the plans must clearly show the limits for payment.

If federal or local funding is included, segregate the estimate before submitting the PS&E to DES-OE under Section 7.11.

The project estimate should be certified at the DR milestone, and must be certified no later than the DCR milestone.
DES-OE locks the estimate in BEES at DCR. If updates are necessary after DCR, submit redline changes to DES-OE.

Estimate updates are only accepted for changes to unit prices and changes to federal trainees as supplemental work. Include any changes to structure unit prices with the update request.

A copy of the most current certified estimate must be attached to the request for funding. Recertification is required if updates have been made.

The certified estimate must not be older than 90 days at the time of CTC vote.

7.4.2 ROUNDING QUANTITIES

The PS&E contains two kinds of quantities:

- Actual calculated quantities shown on the plans to help the Contractor and the Engineer complete the project
- Rounded quantities shown on the bid item list to simplify bidding.

Quantities on plans must be actual calculated quantities and never rounded quantities.

When applicable, round the quantities in BEES and on the bid item list. Round using the total quantities and not partial quantities or subtotals. Typically, quantities should be rounded up. Do not round such that the quantity is changed by more than 25 percent. Do not round structure bid items.

Do not round final pay quantities unless the quantity is more than 5. In this case, round up to the nearest whole number. For example, round 6.3 to 7.

For quantities greater than 1,000, round to no more than three significant figures. The significant figures are those figures of a number that begin with the leftmost figure and extend to the last nonzero figure to right. For example:

- 5,050 and 1,620,000 are correctly rounded
- Round 1,103 to 1,110
- Round 2,234,541 to 2,240,000
For quantities less than 1,000, round to no more than two significant figures. For example, round 426 to 430.

Avoid decimal quantities. Consider using a unit of measure that avoids this problem such as using 1,000 lb and not 0.5 ton. Do not use more than 1 decimal place in a BEES quantity. Currently the programs used for opening bids and accounting during construction accept only 1 decimal place. Any quantity with two or decimal places must be corrected prior to bid opening, even if an addendum is required.

It is not always possible to eliminate using one decimal place for small quantities. For example, 1.4 lb of seed for erosion control cannot be rounded up to 2 lb or down to 1 lb without changing the quantity by more than 25 percent. For decimal quantities less than 5, round to one decimal place. For volumetric or weight quantities of 5 or more, round to the nearest whole number.

### 7.5 ESTIMATING COSTS

#### 7.5.1 GENERAL

The estimate must be current, complete, and accurate at RTL. For AADD projects, the estimate in the PS&E submittal is the final project cost estimate.

If the CTC votes on the project funding, the project cost estimate should be reviewed and updated before being listed for the CTC vote. Data entered into the BEES should not be changed after the CTC vote.

If a CTC vote is not required, estimates should be reviewed and updated as necessary before funds are allocated. Data entered into the BEES should not be changed after funds are allocated.

Estimating is not an exact science and analysis should include evaluation of the following issues.

#### a. COST FLUCTUATION

The project cost estimate must be reviewed and corrected as conditions change and costs fluctuate.

Construction costs may fluctuate due to issues including:

- Material shortages which may develop at unexpected intervals and cause an increase of the material prices
• Wages increases which typically occur a somewhat predictable rate

• Time of the year that the contract is advertised

b. TRAFFIC CONDITIONS
Traffic conditions can have a significant effect on costs. Adjust unit prices to reflect special difficulties, dangers, and expenses caused by traffic. Contractors are inclined to raise their bids for projects with difficult traffic conditions.

c. RESTRICTIVE WORK HOURS OR METHOD OF WORK
Restricting the working hours or the method of work on a project may have a major effect on costs. If the special provisions limit work to nighttime or short shifts, increase unit prices to reflect:

• The cost of premium wages for night work
• Premium payment for partial shifts
• General decreases in productivity and efficiency

Night work for HMA can be especially expensive where small quantities are involved. HMA plants do not usually operate at night. Small quantities and night deliveries increase the unit prices.

d. SMALL QUANTITIES
Small quantities of work and materials will nearly always have higher unit prices than identical work in larger quantities. Equipment and labor must be distributed over a much smaller base. Production is usually inefficient and slow for small quantities and this also increases unit costs.

e. SEPARATED OPERATIONS
Separated operations will generally have higher unit prices. Staged construction, specified order of work, or scattered locations may require portions of the work to be constructed as separate operations. Each operation may require separate equipment and labor. In this case the unit prices should then be based on the smaller operations and not on the total quantities for the project. Consider separated operations when estimating mobilization.
f. **HANDWORK AND INEFFICIENT OPERATIONS**

Handwork, small, and low production rate operations (even though equipment may be used) have higher unit costs than work adaptable to machine operation, mass production, and high production rates.

---

**g. ACCESSIBILITY**

Difficult job site access increases cost.

Work on an existing interchange may require long out-of-direction movements by construction personnel and equipment if the Contractor must observe one-way ramp movements or enter or leave at restricted locations (such as only ramps or interchanges). Hauling materials for earthwork under these conditions can be especially expensive.

Work at the top of retaining walls, on slopes, or where workers must climb slopes to get to the work area is expensive. This is true regardless of whether the operation is handwork or is done by equipment. Work that is easy to do on level ground or a gentle slope may be almost impossible to do on steep slopes.

---

**h. GEOGRAPHIC LOCATION**

Geographically remote locations usually result in higher unit prices.

Where applicable, the unit prices should include consideration of the Contractor's costs for the worker's subsistence.

The source of supplies and the distance to the job site from these sources should also be considered.

---

**i. CONSTRUCTION SEASON**

The time of the year when the Contract is awarded may affect cost. Contractors are usually more available for work early in the spring and will therefore bid more competitively at that time. Later in the spring or summer, many contractors have on-going contracts to keep them busy and therefore tend to bid higher or not at all.

For contracts awarded near the end of summer or end of the construction season for a given location, it is important to determine if construction can be finished before the construction season ends. If the Contract cannot be finished before the end of the construction season, contractors increase their bids to cover work delays due to bad weather and winter suspension. Even if contractors reasonably expect to finish before winter, they increase their bids to cover costs...
from delays due to early rains. This is especially true if construction involves work in or around drainage channels, rivers, rainy areas, and snow areas.

7.5.2 PRICING METHODS

a. GENERAL

There are two methods commonly used for estimating prices. One method uses previous bid prices as a basis for establishing prices. The other method makes a complete analysis of production rates, labor costs, and material costs. One or both methods can be used.

b. PREVIOUS BID PRICES METHOD

Basing estimates on previous bid prices is probably the most widely used and the most practical method. When using this method, consider:

- Using approximately the same size and type of projects that have similar quantities for individual items
- Using an average price from the 3 lowest bidders, using prices from the 2nd lowest bidder, or using the District 8 cost database
- At a minimum, revising previous bid prices by the projected change in the California Construction Cost Index between the date of the old bid and the anticipated date of the new bid. See Section 8 for typical schedules to calculate the time to the probable new bid opening date.
- Adjusting the reference bid price to reflect conditions of the project, such as type of terrain, geographical location, soil, traffic, and other related factors
- Not using lump sum bid prices or unit prices for items of work (such as culverts) that include varying amounts of other related work
- Using comparable months. Seasonal work items vary by the time of year.

To estimate the price of individual items, start with bid prices from similar projects. Pricing tools available on the DES-OE Internet site include:
- **Contract Cost Data.** These books are published annually.

- Quarterly California highway construction cost index

- Asphalt price index

- Bid summary results from projects with bid opening (1) within the last six weeks (2) less recent

Item cost databases are available on the DES-OE Intranet site. These FileMaker Pro databases containing all contract items with quantities and prices used in the past four quarters and the past several years, listed by item code number. District 8 maintains a comparable Intranet site that does not require FileMaker Pro.

The scheduling chart showing average times from submittal of PS&E to award is available on the DES-OE Intranet site. This can be used to help determine the time of year that bid opening will occur.

c. **COMPLETE ANALYSIS METHOD**

This method is not usually practical for all estimating all bid items. It may be practical for estimating earthwork items where rock or unusual haul is required, or for lump sum items such as signals and lighting. Use the following steps:

1. Compile a materials list

2. Estimate materials costs using available price lists

3. Estimate production rates

4. Determine labor and equipment costs based on production rates

5. Calculate the subtotal

6. Add overhead and profit

It is important to consider subsistence cost and premium pay for overtime on night work. On larger projects with long time limits, determine if the majority of a bid item is paid early or late in the project. To estimate items that cannot be completed early in the project, it may be necessary to forecast wage scales and material cost increases to accurately estimate bid item costs.
7.6 BID ITEMS

7.6.1 GENERAL

Bid items are listed in numerical sequence. Item descriptions must match the item descriptions in the Coded Contract Item Lists shown on the DES-OE Web site.

7.6.2 TIME RELATED OVERHEAD

The bid item for TRO compensates the Contractor for overhead expenses such as those for a field and home office. Include this bid item on all projects over $5 million and with at least 100 working days.

The standard for TRO is 10 percent of the total of the all bid items except for mobilization (i.e., do not include mobilization, supplemental work, and contingencies when calculating TRO).

Unique project requirements may justify a nonstandard TRO calculation. Justification for a nonstandard TRO calculation must include recent cost data from similar projects and consideration of project size, duration, location, and other applicable unique conditions. The PE must obtain approval from the Chief, Division of Construction for use of a nonstandard calculation of the TRO.

7.6.3 MOBILIZATION

The bid item for mobilization compensates the Contractor for preconstruction construction expenses due to preparatory work and assembly of staff.

Include mobilization for contracts with at least 50 working days not including plant establishment days. Mobilization may be included for projects with less than 50 days if the work is primarily structures work. Mobilization is not typically included on contracts that are mostly building work.

BEES automatically calculates the amount for mobilization based on the percentage entered. Enter the percentage into BEES as a decimal such as 0.1 for 10 percent or 0.02 for 2 percent. The percent for mobilization should be based on the evaluation of cost data from recent similar projects and other considerations such as project scope, location, and unique conditions.
7.6.4 NONSTANDARD ITEMS
If the work is not accurately represented by a standard bid item, you may establish use of a nonstandard bid item. Ensure that payment is covered by the specifications, and if necessary obtain approval of an NSSP to cover payment. For use of nonstandard bid items, consult with the owner of the associated specification.

Nonstandard bid items must be consistent in style with standard bid items.

To create a nonstandard bid item in BEES:

- Find a bid item code (1) not already being used for the Contract and (2) with the most similar bid item description and most applicable unit of payment. Use only the units of measure and abbreviations shown in the BEES manual.

- Make the bid item code nonstandard by adding “A” to the end (such as 390104A)

- Do not use bid item codes that are hidden and not shown on the current standard bid item list. If BEES shows the item to be active, but it is not listed on the standard bid item list, it is an obsolete item code that has been hidden and should not be used.

Add nonstandard items to the table in SSP 1-1.01.

Before advertisement, DES-OE replaces the nonstandard bid item code with a unique, one-time bid item code. These one-time bid item codes are shown in the bid item list in the Bid book. DES-OE corrects SSP 1-1.01 with the final nonstandard bid item codes.

7.6.5 FINAL PAY DESIGNATION
Bid items may be designated as final pay if either (1) the quantity can be independently verified or (2) the exact quantity is not critical.

Final pay bid quantities must be correct. The Contractor will not receive payment for less than or more than the quantity shown. Do not round the quantities for items designated as final pay, except as described in Section 7.4.

Show the final pay designation on the bid item list.

Do not show the final pay designation on the plans.

Use the following table to assign final pay designation to the bid items.
### Guidance for Final Pay Designation

<table>
<thead>
<tr>
<th>Items</th>
<th>Work</th>
</tr>
</thead>
<tbody>
<tr>
<td>Architectural Treatment</td>
<td>Bridges, Walls</td>
</tr>
<tr>
<td>Bar Reinforcing Steel</td>
<td>Box Culverts and Wingwalls</td>
</tr>
<tr>
<td>Bar Reinforcing Steel (Bridge)</td>
<td>Bridges</td>
</tr>
<tr>
<td>Bar Reinforcing Steel (Bridge, Retaining Wall, Soundwall, Tunnel, or Pumping Plant)</td>
<td>Bridge, Retaining Wall, Soundwall, Tunnel, or Pumping Plant</td>
</tr>
<tr>
<td>Bar Reinforcing Steel (Retaining Wall)</td>
<td>Retaining Walls</td>
</tr>
<tr>
<td>Bridge Deck Drainage System</td>
<td>Bridges</td>
</tr>
<tr>
<td>Channel, Stripping or Tunnel Excavation</td>
<td>Channels, Tunnels</td>
</tr>
<tr>
<td>Class 1 Concrete (Structure)</td>
<td>Box Culverts and Wingwalls</td>
</tr>
<tr>
<td>Communication Conduit (Bridge)</td>
<td>Bridges</td>
</tr>
<tr>
<td>Concrete Closure Wall</td>
<td>Bridges</td>
</tr>
<tr>
<td>Conduit</td>
<td>Communication</td>
</tr>
<tr>
<td>Deck Seal</td>
<td>Bridges</td>
</tr>
<tr>
<td>Earth Retaining Structure</td>
<td>Retaining Structures</td>
</tr>
<tr>
<td>Erect Structural Steel Bridge</td>
<td>Bridges</td>
</tr>
<tr>
<td>Furnish and Install Sign Structure (Tubular, Truss, Lightweight, etc.)</td>
<td>Overhead Sign Structures</td>
</tr>
<tr>
<td>Furnish Structural Steel Bridge</td>
<td>Bridges</td>
</tr>
<tr>
<td>Grind Bridge Deck</td>
<td>Bridges</td>
</tr>
<tr>
<td>Handrailing</td>
<td>Bridges</td>
</tr>
<tr>
<td>Minor Concrete (Minor Structure)</td>
<td>Drainage Inlets and Pipe Headwalls</td>
</tr>
<tr>
<td>Miscellaneous Iron and Steel</td>
<td>Frames and Grates</td>
</tr>
<tr>
<td>Miscellaneous Metal (Bridge)</td>
<td>Bridges</td>
</tr>
<tr>
<td>Miscellaneous Metal (Restrainer)</td>
<td>Bridges</td>
</tr>
<tr>
<td>Miscellaneous Metal (Retaining Wall)</td>
<td>Retaining Wall</td>
</tr>
<tr>
<td>Miscellaneous Metal (Tie Rod, Restrainer)</td>
<td>Bridges</td>
</tr>
<tr>
<td>Pervious Backfill Material</td>
<td>Bridges, Retaining Walls</td>
</tr>
<tr>
<td>Pipe (Supply Line)</td>
<td>Irrigation Systems</td>
</tr>
<tr>
<td>Place Deck Overlay (Concrete)</td>
<td>Bridges</td>
</tr>
<tr>
<td>Place Polyester Concrete Overlay</td>
<td>Bridges</td>
</tr>
<tr>
<td>Pumping Plant Metal Work</td>
<td>Pumping Plant</td>
</tr>
<tr>
<td>Railings and Concrete Barrier on Structures</td>
<td>Bridges</td>
</tr>
<tr>
<td>Seal Concrete Surface</td>
<td>Bridges</td>
</tr>
<tr>
<td>Shotcrete</td>
<td>Bridges, Walls</td>
</tr>
<tr>
<td>Sound Wall (Masonry Block)</td>
<td>Walls, Bridges</td>
</tr>
<tr>
<td>Sprinkler Control Conduit Bridge</td>
<td>Bridges</td>
</tr>
</tbody>
</table>
### 7.7 SUPPLEMENTAL WORK

#### 7.7.1 GENERAL

Supplemental funds are used for either (1) work that may or may not be required to complete the project, or (2) work that is not bid. When approved, supplemental funds may be used for work that is anticipated but cannot be quantified. Supplemental work must be within the scope of the Contract.

Do not use supplemental items to:

- Cover an incomplete design or lack of quantities
- Add more contingency funds
- Pay for work that should be paid by maintenance funds. Maintenance work is not eligible for federal funding.
- Pay for work not performed by the Contractor such as the inspection of work by the railroad

Supplemental work must be identified, justified, and approved. Approval request forms and procedures are provided in project development directive *PD-04 Project Contingencies and Supplemental Work*.
The items for supplemental work are numbered 06XXXX. Items pre-approved by FHWA are shown in the following table:

**FHWA Pre-approved Supplemental Work Items**

<table>
<thead>
<tr>
<th>Item Code</th>
<th>Work Description</th>
<th>Specification section</th>
<th>Guidance</th>
</tr>
</thead>
<tbody>
<tr>
<td>066094</td>
<td>Value Analysis</td>
<td>Section 4-1.07C</td>
<td>Use on nonbuilding projects when the total of the bid items is over $5 million. Estimate $10,000 to reimburse the Contractor for 50% of the value analysis workshop costs.</td>
</tr>
<tr>
<td>066610</td>
<td>Partnering</td>
<td>Section 5-1.09</td>
<td>Use when the total of the bid items is over $1 million. Estimate the cost using the guidance in Section 7.7.2.</td>
</tr>
<tr>
<td>066921</td>
<td>Dispute Resolution Advisor</td>
<td>Section 5-1.43E</td>
<td>Use when the total of the bid items is at least $3 million and not more than $10 million and if the project has 100 or more working days. Estimate the cost as $5,000.</td>
</tr>
<tr>
<td>066919</td>
<td>Dispute Resolution Board</td>
<td>Section 5-1.43E</td>
<td>Use when the total of the bid items is over $10 million. Estimate the cost using the table in Section 7.7.3.2.</td>
</tr>
<tr>
<td>066015</td>
<td>Federal Trainee Program</td>
<td>Section 7-1.11D</td>
<td>Use for federally funded projects with at least 100 working days. Estimate the cost using the guidance in Section 7.7.4</td>
</tr>
<tr>
<td>066670</td>
<td>Payment Adjustments for Price Index Fluctuations</td>
<td>Section 9-1.07</td>
<td>Use for projects with paving asphalt items. Funds compensate the Contractor for fluctuations in the statewide crude oil price index. Estimate using the guidance in Section 7.7.5.</td>
</tr>
<tr>
<td>066070</td>
<td>Maintain Traffic</td>
<td>Sections 12-1.03 &amp; 12-3.01C</td>
<td>Use to compensate the Contractor for 50% of the cost for flagging and 100% for other traffic-handling equipment and devices ordered by the Engineer.</td>
</tr>
<tr>
<td>066597</td>
<td>Storm Water Sampling and Analysis</td>
<td>Section 13-3</td>
<td>Use to compensate the Contractor for sampling storm water as sampling fluctuates with storm frequency and severity.</td>
</tr>
<tr>
<td>066595</td>
<td>Water Pollution Control Maintenance Sharing</td>
<td>Sections 13-1, 13-5.04, 13-6.04, 13-7.04</td>
<td>Use to compensate the Contractor for 50% of the cost to maintain temporary water pollution control items identified as approved BMPs on the Contract.</td>
</tr>
</tbody>
</table>
### 7.7.2 PARTNERING

Professionally facilitated project partnering is required for a contract when the total of the bid items is estimated to be over $10 million. The Department shares the cost. Estimate the cost using the following table:

<table>
<thead>
<tr>
<th>Project cost estimate</th>
<th>Number of working days</th>
<th>Supplemental funds</th>
</tr>
</thead>
<tbody>
<tr>
<td>Over To $1 million</td>
<td>Over To $10 million</td>
<td>$7,000</td>
</tr>
<tr>
<td>$1 million  $10 million</td>
<td>0  50</td>
<td>$12,000</td>
</tr>
<tr>
<td>$1 million  $10 million</td>
<td>50  150</td>
<td>$20,000</td>
</tr>
<tr>
<td>$1 million  $10 million</td>
<td>150</td>
<td></td>
</tr>
<tr>
<td>$10 million  $25 million</td>
<td>0  200</td>
<td>$20,000</td>
</tr>
<tr>
<td>$10 million  $25 million</td>
<td>200  300</td>
<td>$35,000</td>
</tr>
<tr>
<td>$10 million  $25 million</td>
<td>300</td>
<td>$50,000</td>
</tr>
<tr>
<td>$25 million  $25 million</td>
<td>0  400</td>
<td>$50,000</td>
</tr>
<tr>
<td>$25 million  $25 million</td>
<td>400  600</td>
<td>$70,000</td>
</tr>
<tr>
<td>$25 million  $25 million</td>
<td>600</td>
<td>$90,000</td>
</tr>
</tbody>
</table>
7.7.3 DISPUTE RESOLUTION

When applicable include a supplemental funds for either a dispute resolution advisor or a dispute resolution board. Do not include funds for both on the same contract.

a. DISPUTE RESOLUTION ADVISOR

If the project cost estimate is at least $3 million and not more than $10 million, and if the project has 100 or more working days, include the supplemental item for a dispute resolution advisor. Estimate the cost as $5,000.

b. DISPUTE RESOLUTION BOARD

If the project cost estimate is over $10 million, and if the project has 100 or more working days, include the supplemental item for a dispute resolution board. Estimate the cost using the following table:

<table>
<thead>
<tr>
<th>Total working days</th>
<th>Supplemental funds</th>
</tr>
</thead>
<tbody>
<tr>
<td>100 to 200</td>
<td>$7,500</td>
</tr>
<tr>
<td>201 to 400</td>
<td>$15,000</td>
</tr>
<tr>
<td>401 to 600</td>
<td>$22,500</td>
</tr>
<tr>
<td>601 to 800*</td>
<td>$30,000*</td>
</tr>
</tbody>
</table>

*Increase supplemental funds by $7,500 for each additional block of 200 working days in conformance with the pattern shown above

7.7.4 FEDERAL TRAINEE PROGRAM

For federally funded projects with at least 100 working days, include supplemental funds for the federal trainee program. Trainee funds are required for each of the following work categories:

- Earthwork (except for imported borrow)
- Pile driving
- Portland Cement Concrete (except for precast concrete)
- Masonry
• Bar reinforcing and prestressing steel
• Structural steel erection
• Electrical
• Buildings

Use the following table to calculate the number of trainees for each work category:

<table>
<thead>
<tr>
<th>Cost for work category</th>
<th>Number of trainees</th>
<th>Cost for work category</th>
<th>Number of trainees</th>
</tr>
</thead>
<tbody>
<tr>
<td>400,000</td>
<td>0</td>
<td>≥ 400,000</td>
<td>1</td>
</tr>
<tr>
<td>≥ 400,000</td>
<td>1</td>
<td>16,000,000</td>
<td>15</td>
</tr>
<tr>
<td>700,000</td>
<td>2</td>
<td>18,000,000</td>
<td>16</td>
</tr>
<tr>
<td>1,000,000</td>
<td>3</td>
<td>20,000,000</td>
<td>17</td>
</tr>
<tr>
<td>1,500,000</td>
<td>4</td>
<td>23,000,000</td>
<td>18</td>
</tr>
<tr>
<td>2,000,000</td>
<td>5</td>
<td>26,000,000</td>
<td>19</td>
</tr>
<tr>
<td>2,500,000</td>
<td>6</td>
<td>29,000,000</td>
<td>20</td>
</tr>
<tr>
<td>3,000,000</td>
<td>7</td>
<td>33,000,000</td>
<td>21</td>
</tr>
<tr>
<td>4,000,000</td>
<td>8</td>
<td>37,000,000</td>
<td>22</td>
</tr>
<tr>
<td>5,000,000</td>
<td>9</td>
<td>41,000,000</td>
<td>23</td>
</tr>
<tr>
<td>6,500,000</td>
<td>10</td>
<td>45,000,000</td>
<td>24</td>
</tr>
<tr>
<td>8,000,000</td>
<td>11</td>
<td>50,000,000</td>
<td>25</td>
</tr>
<tr>
<td>10,000,000</td>
<td>12</td>
<td>&gt; 50,000,000</td>
<td>*</td>
</tr>
<tr>
<td>12,000,000</td>
<td>13</td>
<td></td>
<td></td>
</tr>
<tr>
<td>14,000,000</td>
<td>14</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* 25, plus 1 additional trainee for every $5,000,000 over $50,000,000

The number of federal trainees for the Contract is the sum from all work categories. Calculate the contract cost using $800 per trainee.
### 7.7.5 PAYMENT ADJUSTMENTS FOR PRICE INDEX FLUCTUATIONS

In order to limit the financial exposure of both the Department and the construction industry to dramatic swings in the crude oil prices, for all projects with HMA pavement, include supplemental funds for payment adjustments for price index fluctuations.

The calculated amount may vary substantially from the actual amount since the change in crude oil prices cannot be predicted with accuracy.

Estimate the cost using the formula: one of the following formulas:

\[ F_s \times Q_t \times I_c \]

Where:

- **Fs** = Supplemental work allotment factor:
  - Use 0.15 for projects with less than 250 working days
  - Use 0.25 for projects with 250 to 500 working days
  - Use 0.35 for projects with more than 500 working days

- **Qt** = Total estimated asphalt quantity contained in materials for pavement structural sections and surface treatments to be placed in the work. Use the formulas in specification section 9-1.07B.

- **Ic** = California Statewide Crude Oil Price Index. Use the current month’s index. Update your estimate as close to advertisement as possible.

Include with your PS&E submittal:

- List of materials containing asphalt and the values used for \( X \) (percent asphalt content as specified in specification section 9-1.07B), such as:
  - HMA: \( X_a = \_\_\_\_\_\_\_\% \)
  - Total estimated asphalt quantity (Qt) used for the supplemental item for price adjustments for price index fluctuations
  - California Statewide Crude Oil Price Index month
  - California Statewide Crude Oil Price Index
7.8 DEPARTMENT-FURNISHED MATERIALS

Items for Department-furnished materials are numbered 06XXXX.

(Subject to Change)

FHWA has pre-approved the following Department-furnished items:

- Permanent sign panels and mounting hardware
- Types N, P, and R object marker panels and reflectors
- Laminated wood box posts and metal caps
- Monument disks
- Markers for railings and concrete barriers
- Traffic signal controller assemblies, including wired cabinets and loop detector units
- Changeable message signs and assemblies
- Asphalt concrete sealant for inductive detector loops
- Self-adhesive reflective numbers and sealer for numbering lighting equipment
- Salvaged material in stock, such as temporary traffic signals and flashing beacons
- Project specific seed and plants that are not commercially available
- Battery backup system (BBS), electronics assembly

If items on the FHWA pre-approved Department-furnished material list are included in a contract, the PE must sign a letter justifying the cost of each item and send it to the Office of Federal Resources. A copy of this letter must be included in the PS&E package.

For items not on the FHWA pre-approved list, the PE must generate a PIF. A new PIF is required for each contract.
7.9 DEPARTMENT EXPENSES

Department expenses are directly related to project construction and do not include work done by the Contractor. FHWA has approved the following Department expenses as eligible for federal reimbursement. (Subject to Change)

**FHWA Approved Department Expenses**

<table>
<thead>
<tr>
<th>Item Code</th>
<th>Item Description</th>
<th>Guidance</th>
</tr>
</thead>
<tbody>
<tr>
<td>066020</td>
<td>Railroad Work</td>
<td>Use for work done by a railroad agency.</td>
</tr>
<tr>
<td>066063</td>
<td>Traffic Management Plan - Public Information</td>
<td>Use for projects funded by capital outlay and on the State highway system. These funds are for traffic mitigation and public information strategies.</td>
</tr>
<tr>
<td>066062</td>
<td>COZEESP Contract</td>
<td>These funds are for the construction zone enforcement enhancement program (COZEESP) where compensation is paid to the California Highway Patrol. Verify cost with District coordinator. For rough cost use either (1) $85/officer/hour and $0.70/mile travel expense, or (2) $90/officer/hour and no travel expenses.</td>
</tr>
<tr>
<td>066871</td>
<td>Electrical Service Connections</td>
<td>These funds are for providing electrical meters and connections at the job site to (1) temporary facilities and (2) permanent Department facilities</td>
</tr>
<tr>
<td>066893</td>
<td>Utility Service</td>
<td>These funds are for providing telephone connection at the job site to (1) temporary facilities and (2) permanent Department facilities</td>
</tr>
<tr>
<td>066901</td>
<td>Water Expenses</td>
<td>For convenience, the Contractor is allowed to use water from Department facilities where available within project limits for landscape work. Since the water is not free to the Department, it has to be charged to the project as a Department expense. Where the Department cannot provide water, the Contractor directly pays the water provider.</td>
</tr>
</tbody>
</table>

A PIF is not required for the FHWA pre-approved Department expense items. However, if these items are included in a contract, the PE must sign a letter justifying the cost of each item and send it to the Office of Federal Resources. A copy of this letter must be included in the PS&E package.

To request Federal participation for items not pre-approved by FHWA, the PE must generate a PIF and obtain approval. A new PIF is required for each contract.
For federally funded project, if the RE Office is furnished by the Department, it shall not be federally funded. However, if the RE Office is provided by the contractor as a bid item, it shall be federally funded.

7.10 CONTINGENCIES

Contingency funds are included to compensate the Contractor for work:

- Not covered by the bid items
- Not covered by supplemental work
- Within the scope of the Contract
- Necessary for completion of the Contract
- Ordered by the Engineer

The standard contingency is 5 percent of the project cost estimate and calculation is automated in BEES. The amount calculated with BEES will be rounded by ± 0.1 so that the amount has no more than 4 significant figures.

Document the need and cost for nonstandard contingencies. The maximum contingency is 10 percent.

Requests for use of nonstandard contingencies must be approved by the Chief Engineer. Forms and procedures are included in the project development directive PD-04 Project Contingencies and Supplemental Work.
7.11 SEGREGATING THE ESTIMATE

7.11.1 GENERAL
It is the District's responsibility to segregate the BEES. Projects with multiple funding sources or Structures items must have a segregated BEES estimate identifying the funding sources and levels of funding. Enter all segregated estimates into the BEES during project design. Because funding segregations are required in the funding summary, estimates must be segregated when the District submits the PS&E to DES-OE. Incorrectly segregated estimates may delay contract award.

7.11.2 FEDERAL AID
Federal-aid contracts must be segregated by:

- District work. Segregate each item quantity according to federal fund type using the appropriate reimbursement ratio. Current reimbursement ratios and applications can be obtained from the Division of Budgets, Office of Federal Resources, or the appropriate FHWA Engineer.

- Structures work. Separate each structure by component level. Funding segregation used in District work is not applicable to Structures work because FHWA requires costs to be identified by individual Structures for:
  - Nonparticipating items of work
  - Nonparticipating portions of the project
  - Work paid for by others (for example, cities, counties, or local transportation agencies contributing to construction costs under cooperative agreements)
  - Utility relocation when done by contract item work (by right-of-way, utility, or railroad agreement)
  - Work done on the same Contract but outside of the federal-aid-project limits

If a cooperative agreement or utility agreement requires anyone other than the State to pay for any of the bid items or supplemental work, those items must be segregated as nonparticipating work.
The information needed to prepare federal segregated estimates is generally available to the PE before the District completes the PS&E. All funding sources and levels should be determined before PS&E submittal input into BEES.

Submit the segregated estimate and the draft Form E-76 to the Division of Budgets, Office of Federal Resources either:

- At the time the District responds to DES-OE's request for additional information
- With the PS&E when submitted as an AADD project

### 7.11.3 FUNDING BY NONFEDERAL SOURCES

When funding is from sources other than federal or State, the project cost estimate must be segregated. Other sources may include those from a cooperative agreement, utility agreement, right-of-way contract, purchase order, or other instrument. Each source must be identified. If there is a cooperative agreement on a project, a copy of the agreement must be included with the PS&E submittal and must also be sent to the Office of Federal Resources.

### 7.12 DETERMINING CONTRACTOR'S LICENSE REQUIREMENTS

Contractor license requirements are shown in the notice to bidders. The Contractor's classification must cover the majority of the work.

For AADD projects, the District determines the applicable contractor license classifications. For all other projects, DES-OE makes this determination. See the Description of CSLB License Classifications at www.cslb.ca.gov.
8.1 PURPOSE
This section describes, how to set up project work plans for PS&E Submittal, Ready to List, Advertisement for bids, Bid Opening, Award and Approval, factors that affect schedules, monitoring tools, and roles and responsibilities of staff.

8.2 BACKGROUND
DES-OE staffing and the ability to deliver district projects are dependent on district allocations. Allocations are dependent on the workload and schedules in project work plans. Executing the work plan requires close coordination between district and DES-OE staff.

8.3 RESPONSIBILITIES

8.3.1 DISTRICT DIRECTOR AND DEPUTY DISTRICT DIRECTOR FOR PROGRAM, PROJECT, AND RESOURCE MANAGEMENT
- Allocates sufficient resources to DES-OE to perform requested services
- Requests Risk Advertisement services as needed
- Sets priority for DES-OE assignment of District/Region projects

8.3.2 PROJECT MANAGER
- Negotiates work agreements with DES-Project Coordination Engineers (PCE) or DES-OE Task Manager to develop project work plans
- Negotiates Contract for Delivery (CFD) schedules with DES-OE Task Manager prior to commitment to the Director
- Uses the current DES-OE Workload and Duration Estimating Table to input DES-OE resources and schedules into the Department’s workload management tool
- Uses procedures contained in this guide to secure project delivery services with DES-OE
Before submitting a project to DES-OE, please verify Project E-FIS ID number and Phase 1 is open and resourced for timesheet charging from Milestone 380 (PS&E) until one month after Milestone 500 (Approve Contract). If a project is split or combined, please notify DES-OE Task Manager immediately for new Project E-FIS ID. Please do not close Phase 1 until one month after Milestone 500 (Approve Contract)

- Monitors project progress and is proactive in resolving District and HQ issues
- Submits constraint documentation in a timely manner to meet requested schedules
- Submits Funding Package and secures authorization, allocation and approval of funds for advertising and awarding contracts in an amount sufficient to cover the capital cost of construction

### 8.3.3 DIVISION ENGINEERING SERVICES-OFFICE ENGINEER TASK MANAGER

- Develops DES-OE workload and duration estimating tools
- Develops workload projections and resource needs
- Negotiates and validates DES-OE fiscal year resource allocations
- Monitors and reports on project delivery
- Monitors and reports on DES-OE activities (start, finish, percent complete, expended hours and hours to complete)
- Negotiates changes to project schedules and resources
- Negotiates schedules and resources for critical projects

### 8.3.4 DES-OE SCHEDULING ENGINEER

- Receives PS&E submittals and verifies completeness
- Validates completion of advertising requirements
- Sets advertising and bid opening dates
8.4 ESTABLISHING MILESTONE TARGET DATES

DES-OE's ability to deliver projects to RTL, Advertisement, and Award is dependent on the districts providing resources and activity durations. Project Managers should use the current DES-OE Workload and Duration Estimating Table (http://www.dot.ca.gov/hq/esc/oe/rtl/ResourceTable.pdf) or Scheduling Tool (http://oe.dot.ca.gov/project_control_and_support/task_management/DES-OE-Scheduling-Tool.xls) when developing project work plans (schedules and estimated resource hours by activity and cost center). DES-OE Milestones and Activities are described in the WBS activities 260 and 265 in the Work Plan Standards Guide (http://pd.dot.ca.gov/pm/pmweb/index.asp). Districts should schedule target RTL dates such that the number of projects and dollars are spread evenly through the quarters of the fiscal year. This will result in more bidder competition and lower bids. DES-OE also recommends that districts not schedule target RTL dates during the Holidays and the last week of each quarter. Projects must be RTL and funded to be advertised. Funding allocations and approvals should be timed concurrently with RTL target dates.

Project Managers should also consider:

- ideal begin construction date
- funding source and availability
- ability to meet Best Bid Standards for Construction Contracts
- Whether the district will deliver the project using the AADD or AAOE process. Make the decision by consulting with your DOE in advance of the January 9 lockdown. Set durations and provide resources to DOE and DES-OE accordingly.

8.4.1 CONTRACT FOR DELIVERY (CFD)

The CFD is an annual contract signed between the District Director and the Caltrans Director for fiscal year project delivery. Project Managers should validate that their project milestones conform to the DES-OE Workload and Duration Estimating table before the CFD is signed.

8.4.2 MINOR A PROJECTS

Schedule Minor A projects to meet an optimum begin construction date. Minor A projects and projects partially funded with Minor B funding must be awarded before the end of the fiscal year in which they are programmed.
At a minimum, use the DES-OE Workload and Duration Estimating Norms or Scheduling Tool in Section 8.4 and work backwards from June 30 to schedule delivery. Be aware of CTC vote requirements if applicable. If you are applying federal funds to the project, be sure to allow for adequate processing time for the E-76 FHWA authorization process through HQ Division of Budgets, Office of Federal Resources.

Deliver the program early to avoid failures due to DES-OE processing capacity issues, addenda delay, or contract award issues.

Late submittals contribute to unbalanced delivery and results in poor bid competition, higher bids, and the potential to miss the construction season.

8.4.3 MAJOR MAINTENANCE PROJECTS

Major Maintenance project schedules should be developed to meet an optimum begin construction date. Major Maintenance projects must be awarded before the end of the fiscal year in which they are programmed.

There are two scenarios applicable to Major Maintenance projects:

- Fully funded projects are awarded in the current fiscal year. Major Maintenance projects submitted earlier than January 1st shall be fully funded.

- Dollar ($1) projects are awarded in the current fiscal year, with construction usually occurring in the following fiscal year after adoption of the State budget. However, construction may begin in the current fiscal year if funds become available and the Department and the Contractor mutually agree to begin construction work.

- Submittals for Major Maintenance projects using $1 language will not be accepted before January 1st and will not be advertised earlier than the last week of January without an approved risk advertisement request. See Section 8.5.9.

The district shall indicate the funding method to be used (either fully funded or $1 project) on the Budget Verification of Highway Maintenance Funds form.

At a minimum, use the DES-OE Workload and Duration Estimating Norms or Scheduling Tool in Section 8.4 and work backwards from June 30 to schedule delivery. If you are applying federal funds to the project, be sure to allow for adequate processing time for the E-76 FHWA’s. Authorization process through HQ Division of Budgets, Office of Federal Resources.
Deliver the program early to avoid failures due to DES-OE processing capacity issues, addenda delay, or contract award issues.

Late submittals contribute to unbalanced delivery and results in poor bid competition, higher bids, and the potential to miss the construction season.

Major Maintenance Projects advertised before adoption of the State budget for that year may be advertised at risk pending budget approval and special contract language.

8.5 PROJECT SCHEDULE CONSIDERATIONS

8.5.1 EARLY SUBMITTAL

Districts are encouraged to submit projects early. If staff becomes available in DES-OE, these projects may be assigned early for processing.

8.5.2 MAJOR REVISIONS

See Section 11.4.5

8.5.3 LATE SUBMITTAL

For AAOE projects that miss a CFD PS&E target date, DES-OE will not commit to meet the target RTL date. The district must renegotiate the schedule with the DES-OE Area Senior and update the schedule in the Department’s workload management tool and the CFD.

8.5.4 NOT IN THE DELIVERY PLAN

DES-OE will not work on Major projects if they are not listed in the Division of Project Management PDWD Delivery Plan. District must obtain approval for DES-OE to proceed with project processing from the Chief, Office of Project Delivery and Workload and Development, Division of Project Management.

8.5.5 PS&E DISTRIBUTION

Districts are also required to submit PS&E packages to other units outside of DES-OE. See Section 10.3. These submittals are a critical component of the funding process. Failure to make required submittals will delay funding allocations and advertisement of the project.
8.5.6 CONTINUING DISTRICT COMMITMENT TO PROJECT

The District's delivery responsibilities continue after PS&E submittal. Timely district response to draft contract comments, clearing of outstanding constraints, securing funds sufficient for advertising, timely submittal of addenda or addenda requests and District recommendation for award are necessary to keep the project on schedule.

8.5.7 PROJECT FUNDING

Department policy and Federal Law (if federally funded) requires that districts obtain CTC fund allocation and Federal Fund authorization before contract advertisement.

Instruction for processing CTC fund allocation can be found on Transportation Programming's Office of Capital Improvement Programming Web site (http://www.dot.ca.gov/hq/transprog/allocation_new.htm).

Instructions for securing Federal Fund authorization can be found at the Headquarters Division of Budgets, Office of Federal Resources Web site (http://onramp/hq/budgets/federalresources/library/FEDERAL%20ELIGIBILITY_Final.pdf).

A flow chart of the process that after RTL districts are responsible to follow to secure project funding is on the Division of Engineering Services, Office Engineer Web site (http://oe.dot.ca.gov/project_control_and_support/scheduling/flowcharts/rtl_to_adv_flowchart.pdf).

8.5.8 ASSIGNMENT OF PROJECTS

There are several periods during the year when the workload in DES-OE exceeds its capacity to meet target milestone completion dates for all projects. When these peak workload periods occur, projects that have not been scheduled through the Department’s workload management tool are processed in accordance with statewide priorities. DES-OE will keep its commitment to deliver projects that are adequately resourced and meet their CFD PS&E submittal target dates.
8.6 PROJECT MONITORING TOOLS

8.6.1 WEEKLY STATUS REPORTS
DES-OE produces and posts a Weekly Status Report that provides scheduling information to district and HQ managers for projects being processed by DES-OE. Project status information is shown for all PS&Es currently being processed by DES-OE.

8.6.2 DIVISION ENGINEERING SERVICES-OFFICE ENGINEER INTERNET INFORMATION
The DES-OE Internet site contains information on currently advertised and awarded roadway and structure projects on the California Highway System. This information consists of complete advertised sets of plans, special provisions, addenda, Federal Wages, Standard Plans, Standard Specifications, Asphalt Price Index, Construction Cost Index, Historical Cost Data, Bid Results, Plan Holders Lists, Bid Locations, Bidder Inquiries, and Award status.

8.6.3 DIVISION ENGINEERING SERVICES-OFFICE ENGINEER PROJECTS DATABASE
The DES-OE Projects Database, accessible via FileMaker Pro, contains real-time status information for projects currently being processed by DES-OE. District staff with FileMaker Pro or Internet Explorer can view a live Project Status report using the guidance at this Web site (http://oe.dot.ca.gov/project_control_and_support/scheduling/manuals_guides/view-OE-Project-Status.docx).
SECTION 9  FUNDING PACKAGE

9.1 PURPOSE

This section provides information, requirements, roles, and responsibilities for delivery of a complete Funding Package (http://www.dot.ca.gov/hq/esc/oe/rtl/Funding/). A complete Funding Package will assist the Department to effectively advertise and award construction contracts in a timely manner.

9.2 BACKGROUND

The State Contract Act requires the Department to verify sufficient project funding before advertisement. Apportionment to funding sources must be properly identified or fund authorizations cannot be completed in a timely manner before award.

The Funding Package was implemented by DES Decision Document 39, Funding Package, by Brent Felker, dated January 15, 2003, in the interest of consolidating the various pieces of funding information into one collective document. It serves as a checklist of items needed to obtain the project funding. It identifies the various project funding sources and allocations in a clear, concise, comprehensive manner. It includes the supporting documentation necessary for encumbering each fund. The result should be a complete and detailed statement of how the project is to be financed.

The Funding Package consists of:

- A funding summary listing:
  - All funding sources and fund codes associated with the Phase 4 Construction capital phase of the project.
  - Instructions on how contributor funding is to be used, either as a fixed dollar amount, a percentage of the cost of the job, or for specific items only.
  - Instructions on how funds are to be charged if the bids come in over or under the estimated amount.
  - The status of funding approvals including actual, target, and expiration dates.
- A copy of the current BEES file segregated by funding source.
- Copies of all funding documents supporting each funding source.
9.3 RESPONSIBILITIES

9.3.1 PROJECT MANAGER

• Secures sufficient funding to cover the construction cost estimate before project advertisement and resolves any funding shortfall before contract award.

• Maintains federal funding eligibility where applicable by programming projects in FTIP/FSTIP and securing FHWA E-76 approval before advertising. See Federal Aid Project Funding Guidelines (http://onramp/hq/budgets/library/Federal-aid%20Project%20Funding%20Guidelines%20FY%202010-11%20Signed.pdf).

• Obtains and provides DES-OE with written verification from each contributing fund manager and any external entity (as applicable).

• After bid opening, notify DES-OE if fund splits due to savings or overages are different from the initial fund splits at advertisement. The notification must be accompanied by written approval by the fund managers and detailed instructions on how funds are to be charged.

9.4 FUNDING SOURCES

While some projects are funded entirely from one source (State, federal, contributor, local assistance, maintenance, etc.), most projects are funded by a combination of two or more of the following sources.

9.4.1 STATE / FEDERAL

• Funds provided by the State to be reimbursed at a given rate by FHWA or funds provided by the State only. All federally funded projects must be in the current FSTIP and have an FHWA approved E-76 before advertisement. See Transportation Programming home page for additional information (http://www.dot.ca.gov/hq/transprog/index.htm).

9.4.2 OUTSIDE CONTRIBUTOR

• A fully executed cooperative agreement between the Department and external entity is a requirement for RTL.
9.4.3 SUBVENTION FUNDS

- Outside contributors may elect to use Local / Federal funds such as: CMAQ, RSTP, RTEA, HBRR, Demo, Safe Routes to School, etc, which may have matching funds provided by the State or the Local Agency as described in the finance letter. Contact District Local Assistance Engineer or see
  (http://www.dot.ca.gov/hq/LocalPrograms/lpp/LPP06-04.pdf).
- All federally funded projects must be in the current FSTIP and have an FHWA approved E-76 before advertisement.

9.4.4 MAINTENANCE FUNDS

- State funds that must be authorized by HQ Maintenance before advertisement. For additional information see

9.4.5 OTHER FUNDING SOURCE

- Funds that do not fall into the above categories such as Office of Traffic Safety (OTS), Emergency Relief (ER), etc.

9.5 FUNDING DOCUMENTS

9.5.1 FUNDS REQUEST FORM

A Draft Funds Request Form is required to be included in the Funding Package with an identification of all the funds that exist on the project.

Download the Funds Request Form from Office of Capital Improvement Programming (OCIP) Web site
(http://www.dot.ca.gov/hq/transprog/allocation_new.htm).

The Funds Request Form is used to request State and/or federal funding on capital outlay projects (Minor A, Majors such as STIP and SHOPP).

When requesting a CTC vote, Districts should submit a complete, final, signed Funds Request Form to HQ Budgets the Division of Transportation Programming by the date and time indicated on the Preparation Schedule on the CTC Liaison Web Site
(http://onramp.dot.ca.gov/hq/transprog/octcl.html). HQ Budgets and the Division of Transportation Programming will not accept Draft Fund Requests for placement of projects on a CTC Agenda.

9.5.2 BUDGET VERIFICATION OF HIGHWAY MAINTENANCE FUNDS

Required for Maintenance projects.
9.5.3 **BUDGET VERIFICATION OF MINOR B FUNDS**
Required when Minor B funds are to be used on a project.

9.5.4 **BUDGET VERIFICATION FOR SPECIAL FUNDED PROJECTS**
Required when special funds not voted by the CTC are to be used on a project.

9.5.5 **COOPERATIVE AGREEMENT**
Required when a local agency or outside contributor is providing construction funds. Cooperative agreements are legally binding contracts when fully executed.

9.5.6 **LOCAL ASSISTANCE FINANCE LETTER**
Required for local programmed federal aid on State highways. Finance letters are authorized by the Division of Local Assistance.

9.6 **PROJECT ESTIMATE OF COST**
The project estimate of cost is the basis for determining the amount of construction capital funding needed to construct the project. It should be prepared using the BEES and should reflect all funding sources and participation levels. The District Director certifies the project cost estimate for all projects. See 7.3.11.

For projects with contributor funding, segregated cost estimates are typically needed. Segregated cost estimates should show the funding responsibilities of the various partners on the project. See *Segregating The Estimates* in Section 7.11.

9.7 **SUBMITTAL COMPONENTS**
A Funding Package is required for all projects submitted to DES-OE except projects funded completely from highway maintenance funds. These projects only require a Budget Verification of Highway Maintenance Funds.

All funding sources and allocated amounts associated with the construction phase of the project must be identified in the Funding Package's Funding Summary table, which serves as the cover sheet for the Funding Package. Pertinent information, notes, and explanations should be included on the cover sheet. This includes the program name and program code, fiscal year, CTC vote date, and status of funding including actual, target, effective and expiration dates.
Supporting funding documents must accompany the Funding Summary table.

- Copies of all fully executed fund verification documents supporting each funding source. Refer to 9.5 above.

- A description of how funds are to be charged, if the bids come in over or under the estimated amount. The district must obtain a verification letter (or e-mail) from each affected fund manager, if fund splits due to savings or overages are to be different from the initial fund splits at the time of advertisement.

- A copy of the BEES file is to show the current estimate of the project. When applicable, the BEES file must be segregated showing how the fund splits are applied to the contract items, supplemental work, Department-furnished materials and expenses, etc.

Note that the funds available for the project should at least be sufficient to cover the project estimate of cost.

The template of the Funding Summary table, instructions, and an example Funding Package can be downloaded from the DES-OE Intranet Web site.

9.8 SUBMITTAL INSTRUCTIONS

9.8.1 AAOE:

The District should send a Funding Package at PS&E submittal (MS 380) to:

- DES-OE

- HQ Division of Local Assistance (if measure/local federal funding is involved)

- HQ Division of Maintenance (if HM maintenance is funding involved)

- HQ Division of Budgets (for all projects except Maintenance)
9.8.2 AADD:
The District should send a Funding Package when the project reaches RTL (MS 460) to:

- HQ Division of Local Assistance (if local federal funding is involved)
- HQ Division of Maintenance (if HM maintenance funding is involved)
- HQ Division of Budgets (for all projects except Maintenance)
- The District should send either a Funding Package or (for 100% maintenance funded projects) the Budget Verification Of Highway Maintenance Funds to DES-OE in the Job File.

9.9 REFERENCES

- Project Development Procedures Manual
  (http://www.dot.ca.gov/hq/oppd/pdpm/pdpmn.htm)

- Local Assistance Procedures Manual
  (http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm)

- Accounting Manual
  (http://accounting.dot.ca.gov/accounting-manual-0)

- Reimbursement Procedures Manual
  (http://accounting.dot.ca.gov/reimbursement-procedures-manual)

- Coding Manual
  (http://accounting.dot.ca.gov/coding-manual-volume-1-0)
SECTION 10  PS&E SUBMITTAL REQUIREMENTS

10.1 PURPOSE

This section describes the requirements for project submittals to DES-OE (M380) including AAOE and AADD projects. Informal bids project submittal requirements are described in Section 12, Informal Bids Projects.

10.2 RESPONSIBILITIES

10.2.1 DISTRICT OFFICE ENGINEER

The DOE is responsible for transmitting all PS&E submittal information to DES-OE. This is required because PS&Es are submitted electronically using tools available only to the DOE.

10.2.2 STRUCTURE OFFICE ENGINEER

AAOE Projects

The SOE is responsible for transmitting structures specifications, estimate, Information Handouts, CADD Submittal Form, and other submittal documents to the DOE to be integrated and included in the District PS&E submittal to DES-OE.

AADD Projects

The SOE is responsible for transmitting structures plans (TIF or PDF), specifications, estimate, Information Handouts and other submittal documents to the DOE to be integrated and included in the District PS&E submittal to DES-OE.

10.3 PS&E SUBMITTALS

The DOE sends PS&E submittals to DES-OE and other involved addressees specified on the PS&E Distribution list attached to the PS&E Submittal Memorandum reference Sect 10.7 and Appendix E.
10.3.1 PS&E SUBMITTALS TO DES-OE

Districts will be credited with a Complete PS&E Date (M380) when DES-OE receives the applicable electronic submittals, as described in Table 10-1. The district is responsible for submitting the combined roadway and structures PS&E to DES-OE.

Send PS&E Submittals as follows:

1. DOE copies the PS&E Submittal documents into the PS&E Drop Box.

2. DOE sends a notification of the initial PS&E Submittal to the e-mail address: DES-OE Submittals with a cc to the DES-OE Area Senior Engineer or Specialty Area Senior Engineer. Do not attach the submittal documents to this notification e-mail unless directed by DES-OE staff.

3. DOE sends an electronic copy of the remaining applicable PS&E Submittal items using the e-mail address DES-OE Submittals.

The PS&E Submittal documents required for AADD and AAOE are listed in the following Table:

Table 10-1

Requirements for PS&E Submittal to DES-OE

<table>
<thead>
<tr>
<th>Applicable PS&amp;E Submittal Items</th>
<th>Acceptable Submittal Format (3)</th>
<th>Minimum Applicable Submittals (1)</th>
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<tr>
<td></td>
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<td>AAOE</td>
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<tr>
<td>Signed PS&amp;E Submittal Memorandum</td>
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<td>Signed draft RTL Certification</td>
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<tr>
<td>Electronically Submitted PS&amp;E Submittal Memorandum and RTL Certification information</td>
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<tr>
<td>District and Structure PS&amp;E CADD Submittal Forms and Plan Review Checklists</td>
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<td>PS&amp;E CADD Submittal Form (one PDF file)</td>
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<td>Special Provisions and NSSP Approvals</td>
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<tr>
<td>Combined Roadway and Structure BEES File</td>
<td>PDF or B</td>
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<tr>
<td>-----------------------------------------</td>
<td>----------</td>
<td>------------</td>
</tr>
<tr>
<td>PE's Certification Letter of Utility Facilities for High/Low Risk with Seal and Signature</td>
<td>PDF</td>
<td>Yes</td>
</tr>
<tr>
<td>Funding Package (Funds Request not required) (all projects except 100% HM funded projects)</td>
<td>PDF</td>
<td>Yes</td>
</tr>
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<td>Budget Verification Of Highway Maintenance Funds (only for 100% HM funded projects)</td>
<td>PDF</td>
<td>Yes</td>
</tr>
<tr>
<td>Storm Water Data Report Cover Sheet</td>
<td>PDF</td>
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</tr>
<tr>
<td>Special Provisions Signature and Seal Sheets</td>
<td>PDF</td>
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</tr>
<tr>
<td>Signed Authority to Advertise</td>
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</tr>
<tr>
<td>Risk Register Certification Form(4)</td>
<td>PDF</td>
<td>Yes</td>
</tr>
</tbody>
</table>

a) Yes means submittal is required for District to be credited with a PS&E Delivery Date (M380).

b) Hard copies of all applicable PS&E submittal items shall be included in the Job Files for AADD projects.

c) Submittal Format: MSW=Microsoft Word, FMP=FileMaker Pro, PDF= Portable Document Format, B=BEES


### 10.3.2 PS&E SUBMITTALS FROM DOE TO OTHER DIVISIONS

For projects with federal funds, the district must transmit the draft E-76 to Division of Budgets, Federal Resources Office at the same time the PS&E Package is submitted to HQ. DOE must send PS&E Submittal information to other involved addressees specified on the PS&E Distribution list in the PS&E Submittal Memorandum as part of the funding process. Failure to comply will result in delays in project funding and advertisement. DOE submits PS&E packages or portions of PS&E packages directly to those involved at the same time the initial DOE Electronic Submittal to DES-OE is made. See the listing of Divisions at the end of the PS&E Submittal Cover Memorandum in Appendix E.

For high profile projects the E-76 will not be transmitted to FHWA until after FHWA approves PS&E Submittal.
For AADD projects, DOEs must transmit all the required submittals to other Divisions prior to the project being funded and submitted to DES-OE.

10.3.3 DES-OE SYSTEM REQUIREMENTS

DES-OE develops Final Bid documents using various computer systems, software and manual preparation procedures that require information to be properly entered and validated to ensure a consistent, full, complete and accurate contract. Important DES-OE System Requirements for PS&E submittals are that the

- Project Description information on the Title Sheet of the plans must matches the AADD and the OE Project Database.
- Title Sheet Strip Map Post Miles match the Submittal, AADD, or OE Project Database.
- SSPs are current at submittal to DES-OE and are updated at DCR or are current as of the RTL date for AADD projects.
- Index of Plan Sheets matches actual sheets
- Submittal does not contain missing, duplicated, or blank sheets
- Plan sheet naming conventions are followed on the CADD Submittal Form
- Plan sheet orientation is correct when plotted.
- Signed and Dated Plan Approval matches the Project Database

10.4 SPECIAL PROVISIONS SIGNATURE AND SEAL SHEET

Signature and Seal sheets, as shown in Appendix B, have four elements:

- Contract number.
- Design Oversight Approval. This block is to be used when the project, or any portion of the project specifications, has been developed by a consultant or local agency. The block must bear the printed name, signature, professional registration number and approval date of the licensed person providing design oversight for the entire project.
- The statement *The Special Provisions* contained herein have been prepared by or under the direction of the following Registered Persons.
- Space for signatures and seals for each professional discipline involved in the project. The signature and seal lines must bear the signature, registration seal, license number, and license expiration date of the licensed person knowledgeable about and in responsible charge of the specific work for each professional discipline involved in the project. As long as the document is signed and sealed prior to the licensee's registration expiration date, the document is valid in perpetuity - even if the contract is let after the noted expiration date. For a list of disciplines please see the Business and Professions Code Sections 6700-6799.

Professional seals should be combined on one sheet with a maximum of 4 per sheet.

If SOE prepares a portion of a project's special provisions, they must submit a completed signature and seal sheet to the district with their proposed final project special provisions. The DOE will combine the project special provisions and submit both the DES-SD and district signature and seal sheets to DES-OE.

### 10.5 AADD PROJECTS - ADDITIONAL INSTRUCTIONS

#### 10.5.1 AUTHORITY TO ADVERTISE

The District or Regional Director signs the Authority to Advertise form and the DOE submits the completed form to DES-OE.

#### 10.5.2 PROJECT PLANS

The district submits combined roadway and structure project plans as one file in PDF format using a PS&E CADD Submittal Form. The district numbers the plans, includes any Revised Standard Plans (RSPs) and New Standard Plans (NSPs) and completes the title block and plans approval date information and federal aid number, if applicable.

#### 10.5.3 SPECIAL PROVISIONS

District submits special provisions in conformance with Section 6, Special Provisions.

#### 10.5.4 ENGINEER’S ESTIMATE

District must have the Combined Estimate with phase 1 EA in the BEES. Only one BEES file for the project must be in the BEES when the project is submitted to DES-OE. If there are multiple BEES files in the BEES (e.g., separate bridge, road and combined files) then the advertisement process is stopped until the District deletes all but the combined BEES file.
10.5.5 INFORMATION HANDOUT
The district submits the Information Handout (IH) as one electronic file (eIH) in portable document format (PDF). The district submits the eIH with cover sheet to the PSE Dropbox. An 8½" X 11" hard copy of the IH must be included in the A&A section of the Job File. If a hard copy of the IH is greater than 100 sheets or 1-inch thick, then it must be included in the Job File as a PDF file on a CD.

10.5.6 JOB FILE
The district must overnight mail the Job File within 24 hours of PS&E submittal to DES-Office Engineer, Attn: Contract Awards, MS 43, 1727 30th Street, Sacramento, CA 95816-7005. The Job File is to be bounded by a two-hole fastener and contain the documents in Table 10-1.

10.6 AAOE PROJECTS - ADDITIONAL INSTRUCTIONS

10.6.1 PROJECT PLANS
The district submits the roadway plan files to DES-OE using the CADD Submittal Form and Plan Review Checklist. If the project has structure plans, the district submits the structure plan files using the Structure PS&E CADD Submittal Form and Plan Review Checklist.

10.6.2 SPECIAL PROVISIONS SIGNATURE AND SEAL SHEET
The district submits Signature and Seal sheets for the special provisions before the project achieves the DR milestone.

10.6.3 PS&E SUBMITTAL MEMORANDUM
The district submits a PS&E Submittal Memorandum with the PS&E submittal package to DES-OE.

10.6.4 SPECIAL PROVISIONS
District submits special provisions in conformance with Section 6, Special Provisions.
10.7 **PS&E SUBMITTAL MEMORANDUM**

The PS&E Submittal Memorandum (Cover Memo) transmits the PS&E Submittal Packages to DES-OE, other HQ divisions and FHWA. A hard copy of the Memo must be signed by the District/Regional Office Engineer and the Project Manager. The hard copy may then be scanned and submitted electronically with the other PS&E submittal documents.

The PS&E Submittal Memorandum Appendix E is a layout in both the submittal database and the AADD database and must be obtained from the DOE. The PS&E Submittal Memorandum parts are:

**10.7.1 PRIORITY**

Indicate if submittal is a safety or informal project. DES-OE processes informal and safety (Program 201.010) projects as top priorities. (Informal projects shall not be processed as AADD).

**10.7.2 SERVICE LEVEL**

Select AADD or AAOE.

**10.7.3 PROJECT INFORMATION**

- **a. Identification**
  
  Information required for project processing, advertisement, award, funding, federal fund participation, etc. The information is taken from the program documents, etc.

- **b. Project Location Description (Project Plans for . . .)**
  
  Same as the project location description on the title sheet.

- **c. Work Description**
  
  List types of work in general terms using a maximum of 70 characters.

- **d. Approval**
  
  This is the expenditure authorization from the Project Report and the Project Approval/Environmental Document (PA/ED) date that authorized this report.
e. **Personnel**

List the names of the personnel involved in the preparation of the PS&E. The information is needed for communication purposes. The responsible District is the one performing the District Office Engineer function.

### 10.7.4 PERFORMANCE INDICATORS

These are data to be collected for the Department's evaluation, information, dissemination, reporting purposes, etc.

a. **Nonstandard Special Provisions (NSSPs)**

Attach a list of all NSSPs in the project specifications. NSSP Approvals are a condition of District Response. See 6.9 for processing procedures.

b. **Permits**

Complete the table listing permits that control the execution of the contract, including environmental permits. See 10.8.1 for a list of common permits.

Although copies of the permits are part of the Supplemental Project Information (items included in SSP 2-1.06B), the permits should also be listed in the PS&E Submittal Memorandum. Limit permit descriptions to a maximum of 60 characters per line.

c. **Transportation System Information (TSI)**

Indicate the date the Project Delivery Assets Form was e-mailed to TSI.

d. **Design - Resident Engineer (RE) Pending File**

Indicate the actual or target date of pending file submittal to the Construction RE.

e. **Design - Salvageable Materials**

List the salvageable materials used for the project, if any.
f. Design - Landscape

Compost
Indicate the volume of compost used with Erosion Control applications and planting operations. Includes soil amendment, green material (compost and bark mulch) used for compost blanket or incorporated compost.

Highway Planting
Indicate the area of planting and irrigation work required due to new road construction or planting as a mitigation requirement.

Mulch
Indicate the volume of mulch used from wood chips, or bark.
Indicate the area of inert materials used as ground cover.

Recycled Water
Indicate if the project will use recycled water. Indicate the estimated annual recycled water use for the project.

Wildflower Seeding
Indicate the area of Wildflower Seeding. Do not include any wildflowers included in Erosion Control applications. If no seeding is applied on this project and it is required, indicate the value of wildflower seeding to be tracked for a future project. The value is calculated as .25 of 1% of the total value of planting and irrigation.

g. Worker Safety
Indicate the number of gates, area and quantity of maintenance access roads, area of paving and number maintenance vehicle pullouts.

10.7.5 FUNDING

a. Program
Check applicable funding source(s).

b. Program Code
See Division of Accounting Coding Manual.
c. **Budget Year**
   The year the project's construction fund is budgeted for.

d. **CMAQ**
   Indicate whether the project is eligible or not. If so, provide an emission reduction study to the Division of Budgets, Office of Federal Resources.

e. **Federal Funding**
   Indicate why the project is not eligible for federal funding.

10.7.6 **FEDERAL PARTICIPATION**

a. **Oversight Determination**
   Indicate whether the project is Delegated or High Profile regarding FHWA review and oversight. If High Profile, the name of the FHWA Engineer and the date the High Profile Project Agreement with FHWA was executed is to be shown. See Appendix B and/or PDPM Chapter 2, Section 7, Figure 2, for determination of FHWA oversight. Contact the appropriate FHWA Engineer to confirm the determination.

b. **For Federal Aid Projects**
   List the structure name, number, type, begin and end stations. This information is to be provided by SOE.

10.7.7 **PS&E INFORMATION**

a. **Plans**
   Indicate what version of Standard Plans was used to prepare the project plans. Indicate the number of roadway, structure, and total plan sheets.

b. **Specifications**
   Indicate what version of the Standard Specifications or General Conditions was used to prepare the special provisions.
c. Prosecution of Work

i. Construction Working Days
The number of working days provided to finish the work excluding the plant establishment period. See 6.4.2 for points to consider when determining the number of working days.

ii. Plant Establishment Working Days
The number of working days provided to establish plants and maintain irrigation systems.

iii. Total Working Days
The total sum of the construction and plant establishment (if applicable) working days.

iv. Liquidated Damages and Road User Cost
The LD and RUC entries are filled in on Cost plus Time contracts only. See Liquidated Damages in 6.4.2.

d. Special Features
Check appropriate box if project has any of the following feature: If approval is required then indicate the approval date or target date.

i. Incentive/Disincentive
I/D are bonuses and deductions used for meeting internal time constraints and encouraging early contract completion. I/D may be used in conjunction with Cost+Time Bidding.

ii. Informal
The informal bids process may be used on emergency projects to reduce PS&E processing, advertising, and award time. If federally funded, an approved Cost Effectiveness Finding is required for advertising periods less than 3 weeks (http://onramp/hq/budgets/federalresources/library/PIF%20Guidelines%20Nov%202006.pdf).

iii. Partnering
See Section 7, Preparing the Project Cost Estimate.
iv. **Pre-Award Qualifications**

Provide a copy of the approval with the project submittal if the project uses this requirement. See the memorandum, Pre-Bid and Pre-Award Qualifications Provisions, from Robert Buckley dated March 22, 2002 in regard to the approval requirements.

v. **Tribal Employment Rights Ordinances (TERO)**

Required for projects with limits in particular tribal lands. See Deputy Directive, DD-74R2, Tribal Employment Rights Ordinances (TERO) for requirements.

vi. **Time Related Overhead (TRO)**

See 7.6.2

vii. **Value Analysis**

No longer required for PS&E Submittal. However, per 23 U.S. Code, Sec. 106(e)(2) the Division of Budgets requires a copy of the Value analysis for projects > $50 million.

viii. **Warranty**

Used when a project has been approved for the warranty pilot program.

e. **Estimate**

Indicate the road construction cost, structures cost, total cost, number of contract items, BEES keyword, estimate date and call out number. For information on how to round the contract items subtotal for use as the call out number see DES Decision Document 45, Use a Rounded Engineer's Estimate for Call Out Number, signed by Brent Felker, dated August 27, 2003.

f. **Construction Window**

Describe conditions that impact the beginning of work. This information controls fund allocation, Advertisement and Bid Opening dates. These conditions could be permit requirements, temperature for HMA or seal coat placement, public events, coordination with other projects, etc. Indicate the description, location and dates work cannot be performed. Provide recommended begin construction date.
g. PS&E Distribution List

Indicate and provide the applicable document to Divisions that are identified.

10.8 SUPPLEMENTAL PROJECT AND THE INFORMATION HANDOUT

See 6.4.1

Documents required in the IH (as applicable for the project) include (but are not limited to) the documents described in the following sections.

10.8.1 PERMITS AND AGREEMENTS

- Railroad Agreements
- Department of Fish and Game. See the Contract Requirements, Section 1601 of the California Fish and Game Code
- California Regional Water Quality Control Board
- United States Army Corps of Engineers
- Biological Opinions referenced by Permits
- Coastal Commission
- United States Coast Guard
- State Lands Commission
- Reclamation Boards
- Water Districts
- San Francisco Bay Conservation and Development Commission
- Tahoe Regional Planning Agency
- Transit Districts
- United States Forest Service
- United States Fish and Wildlife Protection Agency. See Fish and Game Code, Division 3, Chapter 1.5, Article 4
- Tribal Employment Rights Ordinances
• Encroachment permits from public agencies

10.8.2 FOUNDATION RECOMMENDATION REPORTS

Foundation recommendations, foundation review forms, pile indicator reports, drivability studies, and other pertinent structure foundation related materials must be submitted to DES-OE for inclusion in the Information Handout. See memo, Foundation Data as Materials Information, signed by James E. Roberts dated November 16, 1994.

10.8.3 HAZARDOUS WASTE, ASBESTOS OR LEAD INVESTIGATION REPORTS

These reports are required by Federal and State regulations, State laws and Department policy. See Project Development Procedures Manual (PDPM), Chapter 18, Environmental Contamination. A Hazardous Material Survey Report is required for all projects involving work on an existing building.

10.8.4 MATERIALS INFORMATION

All test data applicable to material sites for a project should be furnished to prospective bidders. This information may include maps, test reports, tabulation sheets, SMARA status, copies of options or agreements with owners of the material sites and other information as specified in the Highway Design Manual.

10.8.5 GEOTECHNICAL DESIGN REPORTS

A Geotechnical Design Report is to be prepared by the Roadway Geotechnical Engineering Branches of the Division of Engineering Services, Geotechnical Services (or prepared by a consultant with technical oversight by DES-GS) for all projects that involve designs for cut slopes, embankments, earthwork, landslide remediation, retaining walls, groundwater studies, erosion control features, sub-excavation and any other studies.

10.8.6 WATER SOURCE INFORMATION

If a project will require significant amounts of water and is in an area under drought conditions or subject to water shortages, water source information must be provided to help prospective bidders locate possible water sources. Water source information includes correspondence and other documentation for all arrangements, whether formal or informal, that have been made to secure water needed for the project.
10.8.7 OPTIONAL DISPOSAL SITES

Sites for disposing residue from grinding or grooving the surface of HMA or PCC pavement and bridge decks must be submitted to DES-OE for inclusion in the Information Handout. For more information see Design Information Bulletin Number 84 on the Division of Design Web site.

Generally, the information should include:

- Cover page with project information.
- Index of accompanying information.
- Maps of Sites.
- Copies of agreements with owners (if applicable).
- Copies of use permits and clearances or MOUs (when they have been obtained by the State).

10.9 RTL CERTIFICATION

See 1.3 for RTL Certification requirements and instructions.
11.1 PURPOSE

The purpose of this section is to define and describe the DES-OE DC document preparation process AAOE project submittal; and ensure that Department personnel know their roles and responsibilities in processing the district PS&E to DCR.

DES-OE is responsible for the preparation and processing of AAOE PS&E submittals as final contract documents. See Appendix H.

11.2 RESPONSIBILITIES

11.2.1 DIVISION ENGINEERING SERVICES-OFFICE ENGINEER AREA SENIOR

- Assigns the district PS&E as staff becomes available
- Resolves issues and conflicts regarding submittals, DR, DCR, and RTL

11.2.2 DIVISION ENGINEERING SERVICES-OFFICE ENGINEER SPECIFICATION ENGINEER

- Reviews the PS&E submittal to determine if it is complete, accurate, and conforms to Department standards
- Provides to DOE the DCC using the DCRD
- Enters the DCC date into the Project Database
- Incorporates DR into the draft contract documents and enters the DR date into the Project Database after verifying that comments have been addressed and resolved
- Sends the redlined plans to the PPU
- Validates the PS&E is complete and enters the DCR date into the Project Database.
- Recommends finalization of the RTL Certificate
11.2.3 PROJECT ENGINEER OR CONSULTANT OVERSIGHT ENGINEER

- Promptly provides additional information or revisions requested by DOE or DES-OE
- Obtains FHWA concurrence for major changes made to federal aid contracts after PS&E submittal.

11.2.4 DISTRICT OFFICE ENGINEER

- Ensures that additional information or revisions requested by DES-OE during the preparation of the final contract documents is furnished in a timely manner.

11.3 PREPARATION OF DRAFT CONTRACT COMMENTS

DES-OE reviews the PS&E submittal to determine if it is complete, accurate, and complies with Department standards. The review is based on the requirements in Sections 5, 6, and 7. DES-OE summarizes the comments that may include deletions, additions, corrections, updates and other required changes, or requests for missing documents or approval of nonstandard components.

DES-OE will then send the Notification of DCC to the district by e-mail and the project will receive the DCC date.

11.4 DISTRICT RESPONSE TO DES-OE DRAFT CONTRACT COMMENTS

11.4.1 RESPONSE

The DOE is to address each comment in the DCRD. The DOE is responsible for forwarding the DCC comments and incorporating the responses from district functional units, including SOE. DOE responds to comments in the DCRD and notifies DES-OE by e-mail to facilitate timely completion of the DCR milestone.

If necessary, district and DES-OE personnel may meet in Sacramento or another convenient location to resolve remaining contract issues. The DES-OE SE assigned to the project documents the meeting(s) or telephone discussion(s) in a memorandum to file with a copy to the district.
The project will receive the DR date after the following actions:

- District has responded to DCC and the DES-OE SE concurs with the responses.
- The PCE and final engineers estimate are submitted to DES-OE.
- PLACs are submitted to DES-OE and their requirements are incorporated into the PS&E not including cooperative agreements and encroachment permits.
- Electronic Information Handout and cross sections are submitted to DES-OE.
- NSSPs are approved by appropriate owner including approval memo and e-mail.
- Railroad clearance memo or railroad clause is submitted to DES-OE if the plans show railroad involvement.
- PE seal sheets are submitted.

11.4.2 PLAN REVISIONS

When submitting district proposed plan revisions or plan revisions requested by DES-OE after PS&E submittal, follow these guidelines:

- Notify the project DES-OE SE by e-mail that revisions are being submitted.
- Submit redline prints which clearly indicate the proposed or requested plan revisions.
- Submit a new PS&E CADD Submittal Form with the redline prints and identify it as a revised/replace or additional submittal in the appropriate box at the top of the form.
- The DOE is to note and explain redlined plan sheets, added originals, and replacement originals in the DCRD and DR e-mail notification.
11.4.3 SPECIAL PROVISIONS REVISIONS

Contract special provisions revisions are to be noted and explained in the DCRD. The DOE and SOE should provide substantially revised SSPs, SSP updates with extensive edits, and additional SSPs as an individual electronic file with the DR e-mail notification.

11.4.4 ESTIMATE REVISIONS

Estimate revisions agreed to by DES-OE are to be made by the district electronically in BEES and a copy of the revised BEES submitted with the DR e-mail notification. This is to avoid errors in renumbering the other items affected by the deletion or addition to the estimate. The DOE is to explain the deletion, addition, and revisions in the DCRD and DR e-mail notification.

11.4.5 MAJOR REVISIONS

When districts make major revisions to the PS&E after the DCC date the Complete PS&E received date and the other milestones that follow will be adjusted accordingly. A DES Change Communication Document form will be processed to document the adjustment of the affected dates. See the memo by Carlton L. Hack, Major Revisions Impact on California Transportation Commission (CTC) Allocations (Vote) and Ready to List (RTL) Dates, dated February 28, 2003. The CCD form is located in the DES-PPRM Office of Project Management Web site.

The district should discuss with the DES-OE SE if proposed revision constitutes a major change.

Major revisions consist of any of the following:

Change in the scope of the project:

- Addition of sole source or proprietary item.
- Revision of standard design features or specific project design elements of the mainline, ramps, frontage roads, crossroads, and significant detours
- Changes to highway alignment
- Changes to structural section
- Significant changes to structures
- Significant changes to earthwork quantities
• Replacement, addition, or deletion of plan sheets that are 10 percent or more of the total number of plan sheets submitted at PS&E submittal.

• Editing, deleting, or relocating major structures.

• Adding, deleting, or changing work under or requiring written agreement between the Department and a private party, corporation, utility, or other governmental unit; including environmental commitment mitigation within the limits of the project.

• Increasing or decreasing by $200,000 or more either the total contract item cost or the approved supplemental work in the project cost estimate.

11.4.6 MINOR REVISIONS

Minor changes merely clarify the drawings or specifications so bidders can better understand the work, quality of materials, or performance required to bid and to construct the project.

Minor revisions consist of any of the following:

Plans:

• Adding or deleting details, notes, dimensions, or drawings to clarify instructions, to supplement other drawings, or to eliminate conflicts between notes, dimensions, and drawings, deleting reference to a standard plan that is not needed for the proposed work.

Specifications:

• Correcting typographical errors, adding or deleting specifications, correcting conflicting provision, making changes to clarify ambiguous requirements.

11.4.7 CHANGES TO FEDERAL AID PROJECTS AFTER PS&E SUBMITTAL

After PS&E submittal to DES-OE the district may need to make a major change in a high profile project. FHWA must approve the change before the project can be considered DR. See DES Decision Document 43, Include FHWA Design Approval in RTL, signed by Brent Felker, dated June 2, 2003.
11.5 DRAFT CONTRACT READY

DES-OE prepares the final contract documents using the information in the original PS&E submittal and the DR in the DCRD.

The project will receive the DCR date when the DR fully satisfies the DCC comments including specialty comments like planting, electrical, and building, and the following activities have been completed.

a. The DES-OE SE:
   i. Incorporates revisions and additions from the DR into the contract special provisions, including specialty specifications
   ii. Consolidates redline plan revisions, including specialty plans, onto 1 set of plan prints
   iii. Checks plan titles, sheet code letters, signatures, and seals
   iv. Checks the list of applicable standard plans and adds revised standard plans to the list if necessary
   v. Adds final sheet numbering and the index of plan sheets to the title sheet
   vi. Submits the redlined plans to the PPU for delineation into the final plans
   vii. Checks the redlined plans against a half-size plot of the final project plans and verifies that all corrections have been made

b. The Project Plans Unit:
   i. Prepares a .PDF file from the final plans for the PE to use in certifying the project as conforming to Section 1.3.6. The PDF files are posted on the ftp site specified in the DCR Memorandum.

c. The BEES unit will lock the BEES when the project receives its DCR date.

11.6 DRAFT CONTRACT READY MEMORANDUM

DES-OE SE will send the DCR Memorandum to the PE along with electronic copies of the final special provisions. A hard copy of the memorandum is placed in the Job File.
11.7 PREPARATION OF FINAL CONTRACT DOCUMENTS
During the listing period, DES-OE SE:

- Submits cross sections, Information Handout, special provisions and PE seals to the BBAU
- Proofs the Notice to Bidders and Special Provisions and the Bid book
- Proofs the final BEES

11.8 ADVERTISING PERIOD
Activities performed by the DES-OE SE include the processing of contract addendum requests. See Section 13.

11.9 REJECTED BIDS / RE-ADVERTISEMENT
The district must instruct DES-OE whether or not to return the PS&E in the request for rejecting bids. See Section 14 for sample instructions. In fairness to bidders, contracts with rejected bids will normally not be re-advertised without material revisions made to the previously advertised contract documents.

11.10 RETURN OF PROJECTS
For information on return of projects refer to:

SECTION 12 INFORMAL BID PROJECTS

12.1 PURPOSE

The purpose of this section is to define the roles and responsibilities of various functional units as they relate to informal bid PS&E submittal including submittal requirements and processing for informal bid contracts. See Appendix I.

12.2 BACKGROUND

Informal bid contracts processed by DES-OE are competitively bid; but are advertised, bids opened, and awarded in less time than statutorily required for other contracts processed by DES-OE. The statutory time limits are reduced to begin construction work to repair damage caused by an unexpected occurrence that poses an imminent danger to the traveling public, or that is in the best interest of the Department to prevent or mitigate the loss or impairment of life, health, property, or essential public services.

When an emergency exists informal bid processing is used to accelerate the project processing time from receipt of the PS&E in DES-OE to the start of work. This process waives some of the provisions of the California Public Contract Code allowing the Department to advertise and award contracts faster.

Informal bid contracts are not exempt from statutory or policy requirements. Waiver of a statute requires a Governor's Emergency Proclamation or Executive Order suspending the operation of all contracting statutes and regulations. This usually occurs during a catastrophic emergency.

Projects processed for informal bid require a Director's Order, which is obtained with a Director's Order Request - Funds Request. The district is to notify DES-OE to discuss the tentative project schedule as soon as it is apparent that an informal bid project is to be submitted to DES-OE for processing. The project schedule includes the following information to be used for the Director's Order Request - Funds Request:

- PS&E submittal date
- Advertising date
- Bid opening date
- Award date
- Start of work date
- Number of working days
DES-OE will determine tentative advertisement, bid opening, and award dates based on the criticality of the project. Advertisement periods may be scheduled for as short as a few days or as long as 2 weeks. Award of the contract may take from 1 to 10 days.

If the project is eligible for federal funding, a draft copy of the Director's Order Request - Funds Request is to be sent to the Division of Budgets, Office of Federal Resources. Attach to the draft copy of the Director's Order Request - Funds Request a memorandum requesting preparation of a PIF with a brief justification for inclusion in the PIF NEPA document, and Right of Way Certification.

Director's Orders for informal bids must be approved before receipt of the complete PS&E.

12.3 RESPONSIBILITIES

12.3.1 DEPUTY DIRECTOR, MAINTENANCE AND OPERATIONS
Approves the Director's Order Request - Funds Request. This responsibility may not be delegated

12.3.2 DISTRICT DIRECTOR

- Signs the Director's Order Request - Funds Request. This responsibility may not be delegated unless the District Director is absent by reason of illness or vacation.
- Requests to Office of Business and Economic Opportunity a zero UDBE or DVBE goal.

12.3.3 CHIEF, DIVISION OF MAINTENANCE
Recommends the approval of the Director's Order Request - Funds Request

12.3.4 MAJOR DAMAGE ENGINEER
Reviews the Director's Order Request - Funds Request and signs in concurrence

12.3.5 CHIEF COUNSEL
Reviews the Director's Order Request - Funds Request and signs in concurrence if California Public Contract Code requirements are met.
12.3.6 CHIEF, DIVISION OF PROGRAMMING

- Reviews the Director’s Order Request - Funds Request, signs in concurrence, and ensures approval of G-11 or other funds. See CTC Resolution G-00-11, Authorization for funding Emergency Condition Response Projects, dated January 20, 2000.

- Processes the Federal Authorization to Proceed, E-76, for federally funded projects.

- Ensures the PIF is processed when required.

- Ensures that G-11 or other funding is processed.

12.3.7 DIVISION ENGINEERING SERVICES-OFFICE ENGINEER

- Ensures the contract documents for informal bid contracts are properly prepared and approved.

- Coordinates the advertising, bid opening, and award to the lowest responsible bidder.

12.3.8 PROJECT ENGINEER OR OVERSIGHT ENGINEER

- Provides timely information or clarification needed by DES-OE.

12.3.9 DISTRICT OFFICE ENGINEER

- Ensures that informal bid PS&E submittal is prepared and processed in conformance with the Department's policies and procedures.

- Ensures the appropriate distribution of PS&E is made per the Cover Memo.

12.3.10 PROJECT MANAGER

Ensures all constraints are cleared before advertising.

12.4 PS&E SUBMITTAL REQUIREMENTS

Project plan delineation does not need to meet the same quality standards expected for a typical project. PS&E quality for emergency projects should only be sacrificed in the interest of saving time. However, the district must still submit PS&Es that present the proposed work consistently, accurately, and completely.

Plans must be legible when reduced in size by 50 percent.
Emergency projects may require highly expedited processing. In addition to the requirements described in Section 10, Figure 12-1, Informal Bids Contract Submittal Checklist the following requirements apply:

- Identification of the PS&E submittal as an Informal Bid Project on the cover page of the PS&E submittal memorandum.

- Hand delivered PS&E submittals must provide a PS&E CADD Submittal form and 2 sets of project plan prints. SOE will also provide a PS&E CADD Submittal form and 2 prints of SOE plans, when applicable.

- Pre-bid meeting information must be provided: time, date, and location. Pre-bid meetings are not recommended for projects with short advertising periods.

- Identification of need for nonstandard working days such as calendar days.

- Calculations to justify higher than standard liquidated damages.

- If federally funded, a completed PIF justifying less than 3 weeks advertisement or deviation from other federal standards. The PIF must be processed through Division of Budgets the Office of Federal Resources, and signed by the appropriate FHWA field engineer.

- Proposed Incentive/Disincentive provisions must conform to the requirements in the memo by Brent Felker, Delegation of Authority for Use of A+B Bidding and Incentive/Disincentive (I/D) Provisions dated June 12, 2000 (http://pd.dot.ca.gov/pd-memos.asap). District Director approval and supporting cost/benefit calculations must be submitted with the PS&E.

If the advertisement period will be shorter than normal, the district must provide a list of at least 7 to 10 contractors who have been contacted and have indicated an interest in bidding the contract. They should be informed about the general type of work, the approximate total cost of the project, and the tentative schedule including advertising date, bid opening date, start work date.

The bidder list must include:

- Company name
- Street address (not a PO Box)
- Telephone number
• Facsimile number
• Contact person (if possible)
• E-mail address

12.5 PROCESSING

DES-OE gives the highest priority to informal bid contracts. If necessary, DES-OE will suspend work on other projects that would delay or interfere with the progress of informal bid contracts. In order to meet the negotiated target dates for the expedited schedule, district and SOE personnel must make the same commitment. It is imperative that district and structure PEs, SE, and other appropriate staff members respond quickly to DES-OE requests for information. This may include working evenings, weekends, and holidays.

12.6 ADVERTISEMENT

In rare occasion some emergency projects are issued exemptions from State and local permits by an executive order from the Governor. Other selected emergency projects may require contract constraints to be cleared before bid opening and be advertised on a risk basis that is, without all required documentation delivered to DES-OE. The goal is to advertise emergency projects within a 2 week period after PS&E submittal to DES-OE.

Projects will normally not be advertised until the following has been received:

• A complete DR
• Permits, the Right of Way certification, and execution of agreements
• Supplemental Project Information
• An E-76 for federally funded informal projects defined as new construction or reconstruction on the Interstate following catastrophic failure. The E-76 must be dated no later than the advertisement date or federal funding may be forfeited.

A Director's Order Request - Funds Request must be processed by the district and sent to the appropriate headquarters division as early as possible. Contracts cannot be advertised before execution of the Director's Order or before funds have been allocated for the project.

Limited time is available for contractors to become aware of an informal bid contract, obtain bid documents, and develop responsible bids. The district must contact interested contractors capable of performing the type of work involved.
Districts are encouraged to use the Department’s Emergency Contractor Registry (http://onramp.dot.ca.gov/hq/maint/orway/ha23/misc/registry.htm).

Contractors should be informed about the general type of work, DES Decision Document 45, Engineer's Estimate for Call Out Number, signed by Brent Felker, dated August 27, 2003, and the tentative schedule (advertise, bid opening, start of work). Provide DES-OE a list of 7 to 10 contractors who should receive a bid package before the advertising date.

For federal eligible projects, do not contact contractors until the E-76 has been processed. Contacting a contractor before federal authorization will forfeit federal funding for the project.

Typically, on all but the most accelerated informal bids contracts, bid packages will only be made available in Sacramento. Contractors may request that the bid packages be mailed to them, free of charge, by overnight mail.

On the most accelerated informal bid contracts the district may deliver bid packages prepared by DES-OE directly to interested contractors, when possible, or make arrangements in advance for the contractors to pick up the bid documents in the district office or headquarters.

If the district distributes the bid packages, it is critical that the district keeps a complete and accurate record of all contractors who received bid packages. This record is then made available to DES-OE, who will use the record to distribute addendum to all contractors, if it becomes necessary. If all contractors do not receive the addendum, it may be necessary to reject all bids and re-advertise the project, even in an emergency.
12.7 BID OPENING AND AWARD

A critical informal bid contract may be scheduled for any day of the week or any location.

FIGURE 12-1

INFORMAL BIDS CONTRACT PS&E SUBMITTAL CHECKLIST

DES-OE must receive the following electronic files in MS Word format:

- Specifications

DES-OE must receive the following as electronic files in Adobe Acrobat PDF format:

- Signed Director's Order Request - Funds Request
- Damage Assessment Form, if applicable. See the Major Damage Restoration Coordinator's Handbook for information about DAFs.
- Signed Cover Memo and signed RTL Certification Form
- Right-of-way Certification No. 1 or 2
- Required permits and agreements
- Railroad clauses
- Information Handout
- Project Engineer's Certification of Utility Facilities
- Combined Engineers Estimate
- PS&E CADD Submittal
- Environmental clearance
- PE’s seal and signature sheet (for special provisions book)
- List of 7 to 10 bidders. See figure 12-2 for an example
### FIGURE 12-2

#### EXAMPLE LIST OF BIDDERS

<table>
<thead>
<tr>
<th>Company Name</th>
<th>Address</th>
<th>City, State</th>
<th>Phone</th>
<th>FAX</th>
<th>Email</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hutchins Paving &amp; Engineering, Inc.</td>
<td>7025 Eastside Road</td>
<td>Anderson, CA</td>
<td>(530) 246-4272</td>
<td>(530) 246-4279</td>
<td><a href="mailto:cathy@hutchinspaving.com">cathy@hutchinspaving.com</a></td>
</tr>
<tr>
<td>Mercer-Fraser</td>
<td>122 Plenum Road</td>
<td>Eureka, CA</td>
<td>(707) 443-6371</td>
<td>(707) 443-6371 Call first</td>
<td><a href="mailto:merser@pacbell.net">merser@pacbell.net</a></td>
</tr>
<tr>
<td>John N. Petersen, Inc.</td>
<td>1212 Arcadia Street</td>
<td>Eureka, CA</td>
<td>(707) 443-5661</td>
<td>(707) 733-5659</td>
<td><a href="mailto:jpeterson@eureka.com">jpeterson@eureka.com</a></td>
</tr>
<tr>
<td>Roy E. Ladd Inc.</td>
<td>5432 Main Street</td>
<td>Redding, CA</td>
<td>(530) 241-6102</td>
<td>(530) 241-5492</td>
<td><a href="mailto:roy@laddgroup.com">roy@laddgroup.com</a></td>
</tr>
<tr>
<td>Arcadian Enterprises</td>
<td>52 Harmony Court</td>
<td>Redding, CA</td>
<td>(530) 275-4443</td>
<td>(916) 275-0706</td>
<td><a href="mailto:arcadian@sbcglobal.net">arcadian@sbcglobal.net</a></td>
</tr>
<tr>
<td>Clemens Construction Co.</td>
<td>1800 Plinth Lane</td>
<td>Redding, CA</td>
<td>(530) 233-6593</td>
<td>(530) 223-0128</td>
<td><a href="mailto:clemens@yahoo.com">clemens@yahoo.com</a></td>
</tr>
<tr>
<td>Tulles and Heller, Inc.</td>
<td>4455 Estuary Street</td>
<td>Redding, CA</td>
<td>(530) 241-5105</td>
<td>(530) 241-5570</td>
<td><a href="mailto:tullisheller@att.net">tullisheller@att.net</a></td>
</tr>
<tr>
<td>Manning Construction Company</td>
<td>20063 Punter Drive</td>
<td>Redding, CA</td>
<td>(530) 275-8356</td>
<td>(530) 275-5715</td>
<td><a href="mailto:manning@ur.com">manning@ur.com</a></td>
</tr>
<tr>
<td>Barber Construction, Inc.</td>
<td>2115 Cheek Road</td>
<td>Blue Lake, CA</td>
<td>(707) 668-5688</td>
<td>(707) 668-4383</td>
<td><a href="mailto:barberconstruction@aol.com">barberconstruction@aol.com</a></td>
</tr>
<tr>
<td>Simple Wiebelhaus Associates</td>
<td>7812 Huguenot Drive</td>
<td>Redding, CA</td>
<td>(530) 223-6605</td>
<td>(530) 223-3879</td>
<td><a href="mailto:kay@stimpwiebassoc.com">kay@stimpwiebassoc.com</a></td>
</tr>
<tr>
<td>Churn Creek Construction Company</td>
<td>8537 Commercial Way</td>
<td>Redding, CA</td>
<td>(530) 222-0107</td>
<td>(530) 222-0686</td>
<td><a href="mailto:churn-creek@verizon.net">churn-creek@verizon.net</a></td>
</tr>
<tr>
<td>R. Brown Construction Co.</td>
<td>45 Bianca Way</td>
<td>Willow Creek, CA</td>
<td>(530) 629-3702</td>
<td>(530) 629-2863</td>
<td><a href="mailto:randy.tom@att.net">randy.tom@att.net</a></td>
</tr>
</tbody>
</table>
SECTION 13  CONTRACT ADDENDA

13.1 PURPOSE

The purpose of this section is to define and describe the addendum process. It is also to ensure the respective units know their roles and responsibilities in addendum processing. Addendum processing must be given highest priority.

Addendum preparation is covered in the DES-OE Web site (http://oe.dot.ca.gov/opse.html)

13.2 BACKGROUND

An addendum is a change to the contract documents of an advertised project. Addenda are issued primarily to correct significant errors, omissions, or conflicts in the contract documents. For bidders an addendum is the instrument used to convey material changes made to the contract documents. Once bids have been opened project changes can only be made by rejecting all bids and re-advertising, or by issuing a change order during construction.

Addendum requests are required for AAOE projects. Addendum requests are reviewed by DES-OE and are either denied or approved and processed.

For AADD projects, the district/region makes the decision to issue an addendum and has the responsibility for preparing it.

13.3 RESPONSIBILITIES

13.3.1 PROJECT ENGINEER

- Prepares plans and redlined copy of the project cost estimate for addendum requests for AAOE projects
- Prepares plans and redlined copy of the project cost estimate and Bid Item List for addendum for AADD projects
- Contacts SOE and other functional units regarding additional addendum items
- Consolidates all items from other functional units in addendum requests or addenda
- Obtains approval from FHWA for addendum changes to high profile federal aid projects
13.3.2 DISTRICT OFFICE ENGINEER
- Prepares specifications for addendum requests for AAOE and AADD projects
- Reviews and processes addendum requests for AAOE projects
- Reviews and processes addendum letters for AADD projects
- Transmits addendum requests and addendum letters to DES-OE

13.3.3 PROJECT MANAGER
- Concurs with the addendum requests for AAOE projects
- Concurs with addendum for AADD projects

13.3.4 AFFECTED FUNCTIONAL UNITS
Concur with the addendum requests for AAOE projects. Concur with addenda for AADD projects

13.3.5 DEPUTY DISTRICT DIRECTOR, DESIGN/MAINTENANCE
Approves and signs addendum requests for AAOE projects

13.3.6 DISTRICT DIRECTOR
- Approves and signs addendum requests to recommend postponement of bid opening if the addendum will be issued within 72 hours of bid opening
- Requests approval for Additional Authority to Advertise Delegation

13.3.7 DISTRICT OR REGIONAL DIRECTOR WITH AADD AUTHORITY
- Approves and signs addendum for AADD projects

13.3.8 DES-OE
- Approves, prepares, and issues addendum for AAOE projects
- Issues addendum for AADD projects
13.4 **EVALUATE NEED FOR ADDENDA**

Evaluate the following when deciding to issue an addendum:

- Importance of the change
- Resources required and available to prepare, process, and issue the addendum
- Impact of issuing the addendum on project schedule including bid opening, award, and beginning of contract work

13.5 **ADDENDA REQUEST**

Districts request addendum in writing for AAOE projects. The DOE reviews and processes the request. Contract changes proposed by SOE and other functional units must be requested through the district and processed by the DOE. Addendum requests must provide clear, concise, and complete information.

By law, addenda may not be issued within 72 hours of bid opening unless a postponement of the bid opening is provided, DES Decision Document 38, 72 Hours Timely Notice to Bidders of Bid Opening Postponement, signed by Brent Felker, dated January 15, 2003.

If the addendum will be issued more than 72 hours before bid opening, the request must be signed by the Deputy District Director or higher. If the addendum will be issued within 72 hours of bid opening the District Director must approve and sign the addendum request. The request must include a cost-benefit statement that justifies postponing the bid opening to revise the contract documents by addendum.

13.5.1 **REASONS FOR DENYING ADDENDA REQUEST**

DES-OE may deny addendum requests if the requested addendum:

- Is not cost effective
- Does not correct significant errors, omissions, or conflicts in the contract documents
- Materially changes the scope, character, cost, or project limits, from those authorized in the NEPA approval, PS&E approval, or E-76 authorization without FHWA approval
13.5.2 CONTENTS OF ADDENDA REQUEST MEMORANDUM

The Addendum Request Memorandum must include:

- Project description

- General description of the proposed changes

- Reason for making the changes and the consequences of not making the changes

- Discussion of the cost impact of the addendum changes

- Approval from other divisions affected by the changes

- Verification that FHWA has approved proposed changes to important elements of federal aid projects

- Signature of the responsible Deputy District Director for the project

- Concurrence of functional units impacted by the proposed addendum changes. For example, if highway specifications are revised and the DOE signed and sealed them, then the DOE's concurrence must be noted in the body of the memorandum.

- Concurrence of the Project Manager

A sample Addendum Request Memorandum is provided at the end of this section.

13.6 FHWA ADDENDA APPROVAL

FHWA approval is not required when an addendum changes portions of a project identified as a delegated project under the provisions of the active Stewardship Agreement. In the case of a high profile project, FHWA approval is not required when an addendum changes portions of a project unless specifically required under the High Profile Project Oversight Agreement for the project. An executed Prior Approval-Contract Addendum form be furnished to the Department by FHWA when the formal request for addendum approval is processed. See Appendix B.

An addendum that changes the scope of a federal aid project is required to have an updated NEPA document and E-76.
The Department routinely approves the following types of addenda for federal aid projects:

a. Addendum affecting the Notice to Bidders such as:
   - Bid Opening Date, time, or location
   - Contractors Licenses
   - Federal Minimum Wage Rates
   - Pre-bid meeting information

b. Addendum correcting portions of a project that are not identified in the High Profile Project Oversight Agreement as requiring prior FHWA addendum approval.

13.7 ADDENDA PREPARATION

DES-OE issues all addendum to bidders electronically. Electronic copies of addendum are posted on the Caltrans Office Engineer Web site and hard copies are placed in the project Job File. Addendum information is entered in the DES-OE Project Database. Addendum preparation is covered in the DES-OE Web site (http://oe.dot.ca.gov/opse.html).

13.7.1 AAOE ADDENDA

The district requests an addendum for AAOE projects. DES-OE approves the addendum requests, prepares and processes the addendum, and signs the addendum letters. DES-OE delineates addendum notation with CADD files for revised or added project plan sheets.

13.7.2 AADD ADDENDA

The district prepares addendum for AADD projects. The district delineates all addendum changes and notation on project plan sheets and submits them as a single PDF file. DES-OE prepares and processes addendum for AADD projects that consist of only Federal Minimum Wage Rate changes. The delegated District or Region Director signs the addendum letter.
13.7.3 SCHEDULE

To allow sufficient time to process an addendum within the scheduled advertising period and to maintain the scheduled bid opening, DES-OE must receive the addendum requests no later than the 3rd Monday before bid opening.

DES-OE may consolidate multiple addendum requests until the 3rd Monday before bid opening. Addenda that affect how the bid is prepared, who might bid on the project, or which suppliers and subcontractors might be interested should be issued as quickly as possible to prevent bid proposal rework.

If the addendum involves major processing as with many plan sheet changes; or impacts on pre-bid submittal review time of prospective bidders, subcontractors, and suppliers, DES-OE must receive the addendum request no later than the 4th Monday before bid opening.

When there is insufficient time for analyzing, preparing and processing the addendum to either postpone the bid opening or cancel the current advertisement and readvertise later should be issued. This is to alert contractors to upcoming changes and prevent redundant bid proposal preparation effort.

Addenda that are issued within 72 hours of bid opening must, by law, include a postponement of the bid opening to ensure a minimum 72-hour period without changes. Addenda that are issued 1 to 2 weeks before bid opening should include a postponement of bid opening to allow the bidders enough time to incorporate addendum changes into their bids.
SAMPLE ADDENDUM REQUEST MEMORANDUM

Memorandum

TO: Chief, Office of Plans, Specifications and Estimate

FROM: DEPARTMENT OF TRANSPORTATION - 04

SUBJECT Request for Addendum

Request an addendum be issued to redefine the limits of trimming of plants for sound wall construction, to correct a final pay quantity, and to change a structural section for construction on State Highway in Sonoma County in and near Cottonwood.

The structural section beneath the concrete barrier has been revised. This is a significant change that will save the State about $100,000. The change was the result of a cost-reduction study after submittal of the PS&E to reduce the project's cost to within its budgeted cost.

Clearing and grubbing was erroneously given standard treatment. The environmental report requires that clearing and grubbing be kept to a minimum in this environmentally sensitive area. The impact on the work and cost of this change in clearing and grubbing is minimal. It could probably be handled by change order. It is offered in anticipation that an addendum will be justified for other reasons and that the effort to incorporate this change could be incidental.

The final pay quantity of minor concrete (minor structure) was erroneously calculated and checked. The actual quantity is twice as what is shown in the estimates and on the plans. The omitted quantity is minimal and amounts to some $1000. To leave it as it is would be biddable, as adequately provided for in the Standard Specifications, but would not be consistent with our policy on final pay quantities. An addendum would not have been requested for this change alone.

The proposed addendum should address the following items:

- Project Plan Sheet No. 3 and 21 are revised. Redline prints of proposed changes are attached.

- In the special provisions, in section 10-1.11, Clearing and Grubbing, delete the second paragraph and add the following:
• Only such trimming and pruning of plants as is necessary for construction of sound wall shall be performed. The Engineer shall be notified a minimum of 48 hours before any trimming and pruning of plants necessary for construction of sound wall.

• In the Copy of the Bid Item List, the estimated quantity of Item No. 31 is revised from 6 m³ to 10 m³. A redline print of the BEES is attached.

• DES-SD has been contacted, and they had no addendum items to include.

• Ken Jones, FHWA Field Operations Engineer, has reviewed the structural section change and concurred with the proposed change on April 26, 2004.

• John Smith, DOE, has prepared the specification changes required. No other staff approvals were necessary.

Deputy District Director, Project Development

Attachments:

cc: IBG
ADDENDUM CHECKLIST

1. Contact DES-OE Bid Book & Addenda Unit to confirm addendum number, processing schedule, and addendum date.

2. Postpone bid opening if necessary or appropriate.

3. Confirm new bid opening date with DES-OE Scheduling Unit.

4. Use correct and current AADD addendum form letter and e-mail notification letter from Addenda Letters folder on the Sun Server at (\svfms01\hqoevol\PSE Prep\Letters\Addenda Letters)

5. Verify that the following project information is consistent between the addendum letter and the contract documents:
   5a. Contract No.
   5b. District, County, Route and Post Mile designations
   5c. Federal aid number(s), if project has federal funds
   5d. Project title
   5e. Bid opening date

6. Follow instructions in the Addenda Preparation Procedures Guide to prepare revised plan sheets, revised Bid Item List pages, and other attachments.

7. The addendum date and number are correct on the letter and all attachments.

8. References in the letter to project plan changes are accurate.

9. Added plan sheets are numbered correctly.


11. Added specifications are numbered correctly.

12. References in the letter to Bid Item List changes are accurate.

13. Revised Bid Item List pages have the correct number of columns and are numbered correctly.

14. Previous addenda for this project have been checked to avoid redundant changes

15. Complete the "Addenda Data Info Form" and return to DES-OE Bid Book & Addenda Unit.
SECTION 14 DISTRICT RECOMMENDATION FOR AWARD/REQUESTS TO REJECT BIDS

14.1 PURPOSE
This section provides guidance to the staff involved in the preparation of the District Recommendation for Contract Award or Requests to Reject Bids.

14.2 RESPONSIBILITIES

14.2.1 PROJECT MANAGER
Reviews the award recommendation/request to reject bids prior to submittal to DES-OE.

14.2.2 PROJECT ENGINEER, DESIGN ENGINEER, AND DISTRICT OVERSIGHT ENGINEER
Provides information or clarification needed by DES-OE and may sign contract award recommendation/request to reject bids.

14.2.3 DISTRICT OFFICE ENGINEER
- Acts as liaison for DES-OE and the district to resolve issues in a timely manner.
- Signs or concurs with the award recommendation or request to reject bids

14.3 COMMUNICATIONS WITH BIDDERS PRIOR TO BID OPENING
Pre-bid opening communications with bidders should be limited to contacting potential bidders to make them aware of the project location, work type and bid opening date. It’s also OK to ask them if they plan to bid and if not, why not.

Avoid discussing contract specifics with the contractors that could be construed as bidder's inquiries, potential addenda, CCO's etc. Refer these types of questions through the bidder inquiry process.
14.4 DISTRICT RECOMMENDATION

DES-OE is responsible for preparing and processing the documents needed to award a contract or reject a bid. Within one business day after bid verification, the DES-OE Awards Unit will provide the district with a printout of the bid opening results. This bid summary shows each bid item, the total bid, and the listed subcontractors for each bidder on a project.

Districts/regions are responsible for recommending award of the contract or requesting rejection of bids. The recommendation is required for all projects. Unless extended by the DES-OE Awards Unit, the recommendation or request to reject bids is due within five business days after bid opening. The recommendation for informal bids contracts is due one business day after bid opening. Recommendations are sent by e-mail to DES-OE Award Recommendation. The recommendation is not to be revealed to contractors or external agencies. The Department’s Awards Manual, Chapter 17 has example award recommendations and requests to reject bids.

The district/region shall use the following procedures to prepare all contract award recommendations. See Table 14-1, Special Bid Situations for more information.

The district should use the bid summary to analyze the bids to determine whether to recommend award to the apparent low bidder. The district may also recommend rejecting an individual bid or request rejecting all bids, in the event that none of the bids are acceptable. District personnel are encouraged to confer with DES-OE and appropriate Headquarters divisions before deciding whether a bid is acceptable.

The district is encouraged to contact the low bidder. Although district personnel are cautioned to avoid discussing contract issues with bidders, it is permissible to inquire if the low bidder is satisfied with its bid and to discuss factors which may have influenced the bid.

The recommendation must contain the following information:

- General project and bid information, e.g., Bids for this project were opened on September 3, 2003. Nine bids were received; bids ranged from $1,597,289 to $2,170,264. The low bid is 15.53 percent under the Engineer's Estimate (EE) of $1,891,000.
• Discussion of the differences between the bid items and the Engineer's Estimate. Be specific, e.g., The bid prices have been reviewed and are in reasonable conformance with the Engineer's Estimate or Two items, Traffic Control System and Rock Excavation, account for 98% of the difference between the low bid and the Engineer's Estimate. The EE was based on blasting. The low bidder plans to excavate by ripping, resulting in substantial savings.

• Statement that the low bid has been reviewed for possible mathematical or material unbalancing per 23 CFR 635.102. Following are the U.S. Comptroller General's definitions of mathematically and materially unbalanced bids.
  
  • A bid is mathematically unbalanced if the bid is structured on the basis of nominal prices for some work and inflated prices for other work; that is, each element of the bid must carry its proportionate share of the total cost of the work plus profits.
  
  • A bid is materially unbalanced if there is reasonable doubt that award to the bidder submitting the mathematically unbalanced bid will result in the lowest ultimate cost to the Government.

• Statement describing water availability for construction per Deputy Directive 13, Water Conservation.

• If applicable, a statement that local agency funds are (or are not) on deposit in accordance with cooperative agreement(s). If the funds are not on deposit, follow up with a confirmation once the funds are on deposit.

• If applicable, a statement that escrow by the three low bidders was successfully completed.

• If applicable, a statement that the days bid to complete an A+B contract are reasonable.

• If applicable, the Right of Way Certification has been updated.

• Any necessary clearances have been received or permits have been issued.

• Recommendation to award to the lowest responsive and responsible bidder of the bids received or to reject bids including justification for the recommendation.

• Signature or concurrence of the District/Region Office Engineer.
• In the event that there is insufficient funding to award the contract, DES-OE will send the Project Manager a Notice of Funding Shortfall. The district should contact DES-OE Awards Unit to discuss the alternatives identified in the notice. After discussion with the DES-OE Awards Unit, include the District's resolution to the funding shortfall in the award recommendation. Requests to reduce supplemental work or Department-furnished material must be approved by the Office Engineer. Requests to change contingencies must be approved by the Chief Engineer.

• When bids are lower than the Engineer's Estimate, it is inappropriate to add supplemental work items or increase the amount of the existing items or the contingency amount.

14.5 REQUESTS FOR BID REJECTION

See Chapter 25 of the Awards Manual for bid rejection procedure. Requests for bid rejection must include:

• Description of significant differences between the Engineer’s Estimate and the bids received.

• Description of the competition, whether or not it was adequate. Include reasons given by plan holders that chose not to bid.

• Description of any problems with the plans, specifications or estimate

• A review of bidder's inquiries and responses

• Alternatives to bid rejection including supplemental fund vote by the CTC or reduction in supplemental work, Department-furnished Materials materials or contingencies.

• Description of material changes to the plans, specifications or estimate for the readvertised contract

Disposition of the contract files at DES-OE, e.g. returned to the district, retained in DES-OE or deleted.
## Special Bid Situations

<table>
<thead>
<tr>
<th>Special Bid Situation</th>
<th>Response to Special Bid Situation</th>
</tr>
</thead>
<tbody>
<tr>
<td>The district is unable to contact the low bidder or considers such contact as unnecessary or inadvisable.</td>
<td>The district should explain the pertinent facts in the recommendation.</td>
</tr>
<tr>
<td>Examination of the bid reveals obvious unbalancing (e.g., a bid of $1.00 for plant establishment work, or a unit price of $0.01 for imported borrow).</td>
<td>The district should:</td>
</tr>
<tr>
<td></td>
<td>• Determine if the unbalancing is merely mathematical or is unbalanced to the detriment of the State (material unbalancing).</td>
</tr>
<tr>
<td></td>
<td>• Contact DES-OE if the unbalancing is material.</td>
</tr>
<tr>
<td>Only one bid is received.</td>
<td>The district is to contact other proposal book holders to inquire as to the reasons for not bidding. This information may be useful in supporting a recommendation to reject the bid or award to the low bidder. The pertinent facts of this investigation should be included in the recommendation</td>
</tr>
<tr>
<td>The project has Cost+Time (formerly A+B) bidding provisions.</td>
<td>The district should analyze the low bidder's bid for days to complete the work to determine if the work can reasonably be accomplished within that timeframe.</td>
</tr>
<tr>
<td>In Cost+Time projects, the contractor bids on the items as well as the number of days to complete the project. Bidders are compared and ranked on the total.</td>
<td></td>
</tr>
<tr>
<td>The low bidder has a recent history of contract terminations for cause or documented performance problems on the Department's projects.</td>
<td>The district is to include specific contract history relating to the low bidder's performance problems in the recommendation and request a determination of the bidder's responsibility.</td>
</tr>
<tr>
<td>The low bid is 25 percent or more below the Engineer's Estimate.</td>
<td>The district should:</td>
</tr>
<tr>
<td></td>
<td>• Contact the low bidder to determine if the bidder is satisfied with the bid. If the bidder indicates a mistake was made in the bid, refer the bidder to the Contract Awards Unit.</td>
</tr>
<tr>
<td></td>
<td>• Review the Engineer's Estimate for errors in the item prices.</td>
</tr>
<tr>
<td></td>
<td>• Mention the factors resulting in the low bid in the recommendation.</td>
</tr>
</tbody>
</table>
The low bid is 10 percent or more above the Engineer's Estimate.

<table>
<thead>
<tr>
<th>Special Bid Situation</th>
<th>Response to Special Bid Situation</th>
</tr>
</thead>
<tbody>
<tr>
<td>The district should:</td>
<td></td>
</tr>
<tr>
<td>• Discuss the bid with the low bidder.</td>
<td></td>
</tr>
<tr>
<td>• Determine if the competition was adequate. If bidding was limited, the district should contact the proposal book holders who elected not to bid to determine why they did not bid.</td>
<td></td>
</tr>
<tr>
<td>• Determine if the timing of the bidding influenced the number of bidders or the bid amounts.</td>
<td></td>
</tr>
<tr>
<td>• Determine if the Engineer's Estimate was realistic (discuss the structure portions of the work with DES-SD).</td>
<td></td>
</tr>
<tr>
<td>• Determine if the project should be rescoped, and determine the consequences of any delay.</td>
<td></td>
</tr>
<tr>
<td>• Mention the factors resulting in the high bid amounts in the recommendation.</td>
<td></td>
</tr>
</tbody>
</table>

No bids received.

The district must contact proposal book holders to inquire as to the reasons for not bidding, and the DES-OE, Office of PS&E, to discuss alternatives, e.g., scheduling a new bid opening date or rescoping the project.
The DES-OE Organizational chart is available for viewing on the Office Engineer intranet site.
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>
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<tbody>
<tr>
<td>PRINTED NAME</td>
<td>SIGNATURE</td>
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</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
STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION

PS&E CADD SUBMITTAL
(Rev 09/19/10)

Date

Original □ Revise/Replace □ Additional □ Addendum

PROJECT IDENTIFICATION

District-EA □ Project ID □ Phase No. County/Route

Units of Measure

Post Mile / Kilometer Post for Begin and End Construction Limits

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

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 63 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: (Initials)

Submittal Approval: (Revised/Replace, Additional, Addenda).

REV. 7/2013
STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION
PS&E CADD SUBMITTAL - AADD
(Rev 09/18/10)

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:


DEOS OF Project Plans Use Only:

Processed by:  Date received:  Date completed:

REV. 7/2013
# DRAFTING PLAN REVIEW CHECKLIST

(THIS FORM IS TO BE COMPLETED BY THE DESIGNATED DRAFTING REVIEWER - PLEASE TYPE ONLY IN DATA FIELDS)

- [ ] English  
- [ ] Metric

**LOCATION:**

District/County(s)/Rte(s)/PM or KM

**DISTRICT/SOURCE EA:**

**PROJECT ID:**

**REVIEWER:**

**DOE:**

**CONSULTANT JOB:**  
- [ ] Yes  
- [ ] No

**TOTAL SHEETS:**

**DRAFTING REVIEW CHECK RECOMMENDS:**

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

**Special Instructions / Comments:**

## TITLE SHEET

- [ ] Seal / Signatures.
- Design oversize approval for consultant projects.
- Left margin (printed name, signature, registration no., date of signature and oversize 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 stations 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 ctoellib.
- Show existing features (appropriately as per Caltrans standards).

## IMPORTANT

- [ ] Plot verification, batch plot using ‘y’ files not dgn files.
- Consultant project; spot check by comparing final plot, batch plotted with ‘y’ 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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<tbody>
<tr>
<td>HM1 - Base</td>
<td>Flexible (010); Rigid (020)</td>
<td>20.80.010.</td>
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<tr>
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<td>Preventive: Flex. (010); Rigid (020)</td>
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<td>HM1 - 122</td>
<td>Pavement Preservation</td>
<td>20.80.010.</td>
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<td>HM1 - 124</td>
<td>Pavement Preservation Fed Funds</td>
<td>20.80.010.</td>
<td>124</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>
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<td>HM3 - 080</td>
<td>Bridges</td>
<td>20.80.030.</td>
<td>080</td>
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<td>HM3 - 115</td>
<td>Bridge Preservation</td>
<td>20.80.030.</td>
<td>115</td>
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**LOCATIONS:**

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<tr>
<th>Cty:</th>
<th>Rte:</th>
<th>Beg/End PM:</th>
<th># of LM/Bridges/Culvers:</th>
<th>Total Lane Miles/Culverts/Bridges</th>
</tr>
</thead>
</table>

**PROJECT DESCRIPTION:**

**ESTIMATE OF COST** $ ___________

**FISCAL YEAR(S):** ___________

**CONTRACT LANGUAGE:**

- **Fully Funded:** $ ___________ (100% State)
- **Fully Funded 124 Projects:** $ ___________ (Federal funds)
- **Dollar Job:** $1.00 in FY _____ and $ ___________ (State) $ ___________ (Federal) in FY _____

**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
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

________________________________________  DATE

District MINOR B Funds have been allocated for this project:
Program Manager

________________________________________  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
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

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

Does the project currently meet any of these criteria?

Project Identification Phase

Key Decisions: Programming, Cost, Scope 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

Is project selected as a High Profile Project?

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)

Is project selected as a High Profile Project?

Delegated Project (NHS/non-NHS)
# 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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<tr>
<td></td>
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<td></td>
<td>Caltrans 1Q</td>
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<tr>
<td></td>
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<td>Re/District</td>
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**Requested By**

**Proposed Change:**

**Reason for Change:**

---

**Recommendation for Approval**

Operations Engineer

Team Leader
Program Delivery Team

**Date:**

Rev. 10/22/12 (Copy to CT)
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.
**AUTHORITY TO ADVERTISE**  
(CONSTRUCTION CONTRACT)

<table>
<thead>
<tr>
<th>CONTRACT NO.</th>
<th>PROJECT TITLE</th>
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<th>FEDERAL AID NO.</th>
<th>FED AUTH. (E76) DATE</th>
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<td>working days</td>
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<tbody>
<tr>
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<td>TIME</td>
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<tr>
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<th>DEPARTMENT CONTACT PERSON (NAME ONLY)</th>
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<td>Bidder's exchange</td>
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<td></td>
<td>CONTACT PERSON'S TELEPHONE NUMBER</td>
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<td></td>
<td>(916) 227-6259</td>
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<tr>
<td></td>
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<td>(916) 227-6248</td>
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<tr>
<th>CONTRACT DESCRIPTION</th>
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**CONTRACT FUNDING:**  
This work is to be financed from the following funds:

**STATE AND FEDERAL FUNDING:**

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<thead>
<tr>
<th>BUDGET FY</th>
<th>PROGRAM CODE</th>
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<th>CTC VOTE DATE</th>
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**CONTRIBUTOR FUNDING:**

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</table>

**ENGINEER’S ESTIMATE:**

| STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION |
| CONSTRUCTION CONTRACT AWARD SERVICES |
| AGENCY BILLING CODE: 060084 |

**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:**

<table>
<thead>
<tr>
<th>BY:</th>
<th>TITLE:</th>
<th>DATE:</th>
</tr>
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<tbody>
<tr>
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REV. 7/2013
APPENDIX C  DEFINITION OF ACRONYMS

AA       Advertise and Award
AADD     Authority to Advertise District Delegation
AGC      Associated General Contractors
AAOE     Authority to Advertise Office Engineer
BBAU     Bid Book Addenda Unit
BEES     Basic Engineering Estimating System
BMP      Best Management Practices
CADD     Computer Aided Design and Drafting
CAPM     Capital Preventive Maintenance
CCD      Change Communication Document
CCO      Contract Change Order
CFD      Contract For Delivery
CFR      Code of Federal Regulations
CMAQ     Congestion Mitigation and Air Quality Improvement Program
COZEPP   Construction Zone Enforcement Enhancement Program
CR       Central Region (Districts 5,6,9,&10)
CTC      California Transportation Commission
DAF      Damage Assessment Form
DBE      Disadvantaged Business Enterprises
DC       Draft Contract
DCC      Draft Contract Comments
DCR      Draft Contract Ready
DCRD     Draft Contract Resolution Database
DD       Deputy Directive
DES      Division of Engineering Services
DES-GS   Division of Engineering Services-Geotechnical Services
DES-OE   Division of Engineering Services-Office Engineer
DES-SD   Division of Engineering Services-Structure Design
DOE      District Office Engineer
DR       District Response
DVBE     Disabled Veterans Business Enterprises
E-76     Federal Authorization to Proceed
EA       Expenditure Authorization
EE       Engineer's Estimate
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<tr>
<th>Acronym</th>
<th>Definition</th>
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<td>ER</td>
<td>Emergency Relief</td>
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<td>EVCA</td>
<td>Energy and Utility Contractors Association</td>
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<td>FHWA</td>
<td>Federal Highway Administration</td>
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<td>FSTIP</td>
<td>Federal Statewide Transportation Improvement Program</td>
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<td>FTIP</td>
<td>Federal Transportation Improvement Program</td>
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<td>FY</td>
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<td>G-11</td>
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<td>GES</td>
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<td>HBRR</td>
<td>Highway Bridge Replacement and Rehabilitation</td>
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<td>Highway Design Manual</td>
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<td>Information Handout</td>
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<td>LAPM</td>
<td>Local Assistance Procedure Manual</td>
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<td>National Environmental Policy Act of 1969</td>
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<td>North Region (Districts 1,2&amp;3)</td>
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<td>NSSP</td>
<td>New Standard Special Provision</td>
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<td>Notice to Bidders and Special Provisions</td>
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<td>Office of Construction Contract Standards</td>
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<td>Portland Cement Concrete</td>
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<td>PCE</td>
<td>Project Coordination Engineer</td>
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<tr>
<td>PDF</td>
<td>Portable Document Format</td>
</tr>
<tr>
<td>PDPM</td>
<td>Project Development Procedures Manual</td>
</tr>
<tr>
<td>PDWD</td>
<td>Project Delivery and Workload Development</td>
</tr>
<tr>
<td>PDWT</td>
<td>Project Development Workflow Tasks Manual</td>
</tr>
<tr>
<td>PE</td>
<td>Project Engineer</td>
</tr>
<tr>
<td>PIF</td>
<td>Public Interest Finding</td>
</tr>
<tr>
<td>Acronym</td>
<td>Definition</td>
</tr>
<tr>
<td>---------</td>
<td>------------</td>
</tr>
<tr>
<td>PISA</td>
<td>Project Information Systems and Analysis</td>
</tr>
<tr>
<td>PLAC</td>
<td>Permits, Licenses, Agreements, and Certifications</td>
</tr>
<tr>
<td>PPM</td>
<td>Plans Preparation Manual</td>
</tr>
<tr>
<td>PPU</td>
<td>Plans Preparation Unit</td>
</tr>
<tr>
<td>PRC</td>
<td>Public Resources Code</td>
</tr>
<tr>
<td>PS&amp;E</td>
<td>Plans, Specifications, and Estimate</td>
</tr>
<tr>
<td>QA</td>
<td>Quality Assurance</td>
</tr>
<tr>
<td>QC</td>
<td>Quality Control</td>
</tr>
<tr>
<td>RE</td>
<td>Resident Engineer</td>
</tr>
<tr>
<td>RR</td>
<td>Railroad</td>
</tr>
<tr>
<td>RSP</td>
<td>Revised Standard Plan</td>
</tr>
<tr>
<td>RSS</td>
<td>Reimbursement Sub-System</td>
</tr>
<tr>
<td>RSTP</td>
<td>Regional Surface Transportation Program</td>
</tr>
<tr>
<td>RTEA</td>
<td>Regional Transportation Enhancement Authority</td>
</tr>
<tr>
<td>RTL</td>
<td>Ready-To-List</td>
</tr>
<tr>
<td>RUC</td>
<td>Road User Cost</td>
</tr>
<tr>
<td>R/W</td>
<td>Right of Way</td>
</tr>
<tr>
<td>SCCA</td>
<td>Southern California Contractor Association</td>
</tr>
<tr>
<td>SE</td>
<td>Specification Engineer</td>
</tr>
<tr>
<td>SHOPP</td>
<td>State Highway Operations and Protection Program</td>
</tr>
<tr>
<td>SMARA</td>
<td>Surface Mining and Reclamation Act</td>
</tr>
<tr>
<td>SOE</td>
<td>Structure Office Engineer</td>
</tr>
<tr>
<td>SSP</td>
<td>Standard Special Provision</td>
</tr>
<tr>
<td>STIP</td>
<td>State Transportation Improvement Program</td>
</tr>
<tr>
<td>SWPPP</td>
<td>Storm Water Pollution Prevention Plan</td>
</tr>
<tr>
<td>TAEMWW</td>
<td>Transportation Architecture, Electrical, Mechanical, Water and Waste Water</td>
</tr>
<tr>
<td>TERO</td>
<td>Tribal Employment Rights Ordinances</td>
</tr>
<tr>
<td>TIF</td>
<td>Tagged Information File</td>
</tr>
<tr>
<td>TMP</td>
<td>Traffic Management Plan</td>
</tr>
<tr>
<td>TRO</td>
<td>Time-Related Overhead</td>
</tr>
<tr>
<td>TSI</td>
<td>Transportation System Information</td>
</tr>
<tr>
<td>UDBE</td>
<td>Underutilized Disadvantaged Business Enterprises</td>
</tr>
<tr>
<td>USC</td>
<td>United States Code (Federal)</td>
</tr>
<tr>
<td>WBS</td>
<td>Workload Breakdown Structure</td>
</tr>
</tbody>
</table>
APPENDIX D  DELETED
APPENDIX E PS&E SUBMITTAL MEMO

Memorandum

To: Division of Engineering Services, Office Engineer
   Attn.: Scheduling Engineer,
   Mail Station 43

From: DEPARTMENT OF TRANSPORTATION
       OFFICE ENGINEER

Subject: Project Plans, Specifications, & Estimate (PS&E) Submittal

Priority Submittal:
DES-OE processes informal and safety (Program 010) projects as the first priority. AAOE projects are assigned the same day the submittal is complete. Indicating the submittal as a safety or informal project will facilitate project assignment and processing. (See RTL Guide)

☐ Standard ☐ Safety (201.010) ☐ Informal Bid

Service Level: ☐ AAOE ☐ AADD
The service level determines the level of DES-OE effort requested by the district (See RTL Guide). For AADD use the AADD Database.

Project Information:

Identification: Information required for project processing, advertisement, award, funding, federal fund participation, etc. The information is taken from the program documents, etc. (See RTL Guide)

Project Plans For:

County: (1) (2) (3) (4) (up to 12 selections)

Route: ____________________________________________________________________________

Kilometer/Post Miles: ______________________________ Metric ☐ Yes ☐ No PM/KP Designation: ☐ PM ☐ KP

Dist-Co-Rte. KP: ______________________________________________________________________

PPNO: ______________________________________________________________________________

Resp Dist: __________________________________________________________________________

Primary/Combined EA: __________________________________________________________________

Resp Unit: __________________________________________________________________________

Secondary EA: ________________________________________________________________________

Assembly Dist: _______________________________________________________________________

Senate Dist: _________________________________________________________________________

Congessional Dist: ___________________________________________________________________

Description: Same as the project location description on the title sheet. **** DO NOT USE ABBREVIATIONS

Work Description: List types of work in general terms using a maximum of 70 characters.

Approval: EA from Project Report: ___________ PA/ED Date: ___________ This is the expenditure authorization date from the project report and the Project Approval/Environmental Document date that authorized this project.
**Personnel:** List the names of the personnel involved in the preparation of the PS&E. The information is needed for communication purposes. The responsible District is the one performing the District Office Engineer function.

<table>
<thead>
<tr>
<th>State:</th>
<th>Name</th>
<th>Phone Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Engr./Oversight Engr.:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Drafting Standards Reviewer:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>District Reviewer: Roadway:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Electrical:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Landscape Architect:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>District Estimator:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>District Office Engr.:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project Manager - Initials/Name:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Structure Project Engr.:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Structure Specification Engr.:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Structure Estimator:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Local Agency or Consultant:**

<table>
<thead>
<tr>
<th>Agency or Firm:</th>
<th>Name</th>
<th>Phone Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Engineer:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project Manager:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Performance Indicators:**

**Non-Standard Special Provisions (see attached list):**

Include a list of all Non-Standard Special Provisions in the PS&E submittal package. This list should provide Title/Description, functional owner, target approval date or actual date of approval. HQ owner approval of Non-Standard Special Provisions is a condition of section 6C of the RTL Certification.

**Permits:**

<table>
<thead>
<tr>
<th>Agency:</th>
<th>Issue Date</th>
<th>Expiration Date</th>
<th>Target Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Information Handout:**

Indicate whether or not this project has Information Handout.

- [ ] YES
- [ ] NONE

**Explanation for permits not approved:**

**Transportation System Information (TSI):**

<table>
<thead>
<tr>
<th>Design:</th>
<th>Project Delivery Assets Form: Submitted to TSI</th>
<th>Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*This form is required for districts to achieve PS&E Submittal (milestone 380).*

**RE Pending File:** Submitted to Construction RE

<table>
<thead>
<tr>
<th>Actual Submittal Date:</th>
<th>Target Submittal Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(No later than RTL date) Indicate the submittal target date to the Construction RE, but no later than the RTL date.

- [ ] List of Salvageable Materials Check if List of Salvageable Materials is provided.
## Design (Continued):

<table>
<thead>
<tr>
<th>Description</th>
<th>Quantity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Survey File: Submitted to the Project Surveyor</td>
<td></td>
</tr>
<tr>
<td>Actual Submittal Date:</td>
<td></td>
</tr>
<tr>
<td>Target Submittal Date:</td>
<td></td>
</tr>
<tr>
<td>(No later than RTL date) Indicate the submittal target date to the Project Surveyor, but no later than the RTL date. Leave submittal dates blank if no surveys are needed.</td>
<td></td>
</tr>
<tr>
<td>Verification of Survey File Delivery Form</td>
<td>Check if the form is provided, required on all projects.</td>
</tr>
<tr>
<td>Landscape:</td>
<td></td>
</tr>
<tr>
<td>Compost: For erosion control (include hydroad and dry apply)</td>
<td></td>
</tr>
<tr>
<td>Indicate the volume of compost used with Erosion Control applications and planting operations. Includes soil amendment, green material (compost and bark mulch) used for compost blanket or incorporated compact.</td>
<td></td>
</tr>
<tr>
<td>____ yd³</td>
<td></td>
</tr>
<tr>
<td>Highway Planting:</td>
<td></td>
</tr>
<tr>
<td>Replacement Planting (due to road work)</td>
<td></td>
</tr>
<tr>
<td>Mitigation Planting</td>
<td></td>
</tr>
<tr>
<td>____ acres</td>
<td></td>
</tr>
<tr>
<td>Indicate the area of planting and irrigation work required due to new road construction or planting as a mitigation requirement.</td>
<td></td>
</tr>
<tr>
<td>Mulch (Include mulch in basins):</td>
<td></td>
</tr>
<tr>
<td>Wood chips/Tree bark/Shredded bark</td>
<td></td>
</tr>
<tr>
<td>Indicate the volume of mulch used from wood chips, or bark.</td>
<td></td>
</tr>
<tr>
<td>____ yd³</td>
<td></td>
</tr>
<tr>
<td>Inert material (e.g., gravel, loose cobbles, decomposed granite, etc.)</td>
<td></td>
</tr>
<tr>
<td>Indicate the area of inert materials used as ground cover.</td>
<td></td>
</tr>
<tr>
<td>____ yd²</td>
<td></td>
</tr>
<tr>
<td>Recycled Water:</td>
<td></td>
</tr>
<tr>
<td>Project uses recycled water for irrigation?</td>
<td></td>
</tr>
<tr>
<td>____ acre ft/yr.</td>
<td></td>
</tr>
<tr>
<td>Indicate if the project will use recycled water. Indicate the estimated annual recycled water use for the project.</td>
<td></td>
</tr>
<tr>
<td>Wildflower seeding</td>
<td></td>
</tr>
<tr>
<td>Or if not appropriate</td>
<td></td>
</tr>
<tr>
<td>Value of wildflower seeding to be tracked for future project.</td>
<td></td>
</tr>
<tr>
<td>____ yd²</td>
<td></td>
</tr>
<tr>
<td>(must be 1/4 of 1% of planting &amp; irrigation estimate.)</td>
<td></td>
</tr>
<tr>
<td>Indicate the area of Wildflower Seeding. DO NOT include any wildflowers included in Erosion Control applications. If no seeding is applied on this project and it is required, indicate the value of wildflower seeding to be tracked for a future project. The value is calculated as .25 of 1% of the total value of planting and irrigation.</td>
<td></td>
</tr>
<tr>
<td>Worker Safety:</td>
<td></td>
</tr>
<tr>
<td>Gates (drive, soundwall and walk gates)</td>
<td>____ EA</td>
</tr>
<tr>
<td>Number of Maintenance access roads</td>
<td>____ EA</td>
</tr>
<tr>
<td>Maintenance access roads total length</td>
<td>____ ft</td>
</tr>
<tr>
<td>Paving (e.g. narrow areas, road edge, slope paving and paving beyond the gore area)</td>
<td>____ yd²</td>
</tr>
<tr>
<td>Maintenance vehicle pullouts (MVP)</td>
<td>____ EA</td>
</tr>
<tr>
<td>Indicate the number of gates, area and quantity of maintenance access roads, area of paving and number maintenance vehicle pullouts.</td>
<td></td>
</tr>
</tbody>
</table>
Page 4 of 8
Plans, Specifications & Estimate (PS&E) Submittal

**Funding:** (Project Funding Package attached and funding verified)

<table>
<thead>
<tr>
<th>Program Code:</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ STIP</td>
</tr>
<tr>
<td>□ STIP-TEA</td>
</tr>
<tr>
<td>□ SHOPP</td>
</tr>
<tr>
<td>□ Other</td>
</tr>
<tr>
<td>□ Maintenance</td>
</tr>
<tr>
<td>□ Minor A</td>
</tr>
<tr>
<td>□ OTS</td>
</tr>
</tbody>
</table>

Program Code: _______________  Budget Year (FY): _______________

The year the project's construction fund is budgeted for.

Format of Program Code: ###.###.#####
Example: 20.80.010.124 for Pavement Preservation Fed Funds

Is this project eligible for Congestion Mitigation and Air Quality Improvement (CMAQ) funds? □ Yes □ No
If yes, district must provide an emission reduction study to the Office of Federal Resources, Division of Budgets

This project is not eligible for federal funding due to

- □ Determination by FHWA Engineer ________________ dated ________________
- □ Funding by Maintenance (HM) Program
- □ Does not qualify per Federal-aid Project Funding Guidelines.
- □ Other _____________________________________________________________

**Federal Participation:**

Indicate whether the project is Delegated or High Profile regarding FHWA review and oversight. If High Profile, the name of the FHWA Engineer and the date the High Profile Project Agreement was executed is to be shown. See PDM Chapter 2, Figure 2, for determination of FHWA oversight. Contact the appropriate FHWA Engineer to confirm the determination.

"This project is eligible and programmed for federal funding and has been determined to be:

- □ Delegated regarding FHWA review and oversight per the Stewardship Agreement between the Department and FHWA.
- □ High Profile requiring FHWA's review and approval of only those items listed in the High Profile Project Agreement"

_________________________________ : Dated ________________

FHWA Engineer

Is the project in the current approved Federal STIP? □ Yes □ No
If YES, provide one of the following:

- The current adopted FTIP/FSTIP information (For Non-MPO Rural counties, use “Rural” for MPO):
  - MPO ________ FTIP / FSTIP cycle ________ FY programmed ________ Federal Approval Date ________

- The approved FTIP / FSTIP Amendment information (if applicable):
  - FTIP/FSTIP amendment number ________ and amendment Federal approval date ________

If NO, provide the following target information:

- Proposed FTIP/FSTIP amendment number ________ and amendment target MPO approval date ________
### For Federal Aid Projects

List the structure name, number, begin and end stations. This information is to be provided by SOE.

<table>
<thead>
<tr>
<th>Name</th>
<th>Number</th>
<th>Beginning &amp; End of Structure by Station</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
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</tr>
</tbody>
</table>

### PS&E Information:

Indicate what version of Standard Plans was used to prepare the project plans.

<table>
<thead>
<tr>
<th>Plans: Standard Plans Year:</th>
<th>No. of Roadway:</th>
<th>No. of Structures:</th>
<th>Total No.:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Indicate what version of Standard Specifications or General Conditions was used to prepare the special provisions.

<table>
<thead>
<tr>
<th>Specifications: Standards Specifications Year:</th>
<th>General Conditions: (Building Only)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Yes □ No □</td>
</tr>
</tbody>
</table>

### Prosecution of the Work:

**Construction Working Days:** (Do not include Plant Establishment Days)

The number of working days provided to finish the work excluding the plant establishment period. See "Discussion of Selected Special Provisions" in Section 6 for points to consider when determining the number of working days.

**Plant Establishment Working Days:** Indicate Type 1 or 2

The number of working days provided to establish plants and maintain irrigation systems. Type 1 plant establishment begins when all construction work ends. Type 2 plant establishment begins whenever the Resident Engineer indicates a begin date to the Contractor.

**Total Working Days:**

The total sum of the construction and plant establishment (if applicable) working days.

**Liquidated Damages:**

The expense to the State due to the Contractor’s failure to complete the contract within the specified time. See "Liquidated Damages" in Section 6.4 for liquidated damages table.

**Road User Cost:**

Page 6 of 8
Plans, Specifications & Estimate (PS&E) Submittal

Special Features: (Approval attached)

- Design Sequencing
- Escrow
- Incentive/Disincentive
- Informal
- Partnering
- Pre-Award Qualification
- TERO
- TRO
- Value Analysis
- Warranty

Justification/Approval Date

Target Date

Estimate:

Indicate the total cost, number of contract items, the BEES keyword and the call out number. See http://onramp.dot.ca.gov/hq/dec/docs/decisiondocs/call_out_number.pdf on how to round the contract items subtotal for use as the call out number. (Note: Includes Electrical and Landscape/Erosion Control)

(Road) + (Structures) + (Building) = Total Cost:

Call Out Number:

No. of Contract Items: ____________

BEES Keyword:

Latest Estimate Date:

2006 SSP 59-501 or 2010 SSP 59-2.01C(2) required and included: □ Yes

Bid Type:

- □ unit price
- □ cost + time
- □ lump sum

Indicate the type of bid. Select one of three choices:

- "Unit Price" - bid is the total of item cost (product of the quantity and unit price of each contract item.)
- "Cost + Time" (formally designated as: "A+B") - bid is the sum of the total of item cost and the product of the number of working days bid to complete the work (excluding Plant Establishment) and the cost per day.
- "Lump Sum" - bid is a single amount for all the items of work.

Construction Window:

Provide recommended begin construction date based on RTL, funding and construction

Indicate the description, location and dates work can NOT be performed.

Recommended Begin Construction

Construction Window Constraints that affect Begin Construction Date: (e.g. Events, Windows due to Climate or Environmental Constraints, Adjacent Construction, etc.)

Description, Location & Dates work CAN NOT be performed.

<table>
<thead>
<tr>
<th>Description</th>
<th>Location</th>
<th>Dates work CAN NOT be performed</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

SUBMITTED BY:

(Signature of DOE/ROE)

REVIEWED BY:

(Signature of Project Manager)

Name of DOE/ROE (Print)

Name of Project Manager (Print)

REV. 7/2013
### PS&E Distribution List

**Indicate and provide the applicable document to Divisions that are identified.**

<table>
<thead>
<tr>
<th>ADDRESSEE</th>
<th>WHEN</th>
<th>PORTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>District Project Manager</td>
<td>ALL PROJECTS</td>
<td>PS&amp;E Submittal Memo and RTL Certification (Draft or Final)</td>
</tr>
<tr>
<td>Division of Engineering Services Office Engineer (ftp://10.168.8.5/pasedropbox or MS 43)</td>
<td>ALL PROJECTS</td>
<td>Full PS&amp;E package with project plans (See Section 10, Table 10.1 of RTL Guide)</td>
</tr>
<tr>
<td>Division of Engineering Services Structure Office Engineer (MS 9)</td>
<td>If Structures or Buildings involved</td>
<td>Full PS&amp;E package with project plans</td>
</tr>
<tr>
<td>Division of Local Assistance Office of Local Programs, Project Implementation (MS 1)</td>
<td>If Measure or Local funding involved</td>
<td>PS&amp;E Submittal Memo, RTL Certification (Draft or Final) and if all funding is Measure/Local etc., one copy of each Cooperative Agreement, finance letter.</td>
</tr>
<tr>
<td>Division of Design Office of State Landscape Architecture (MS 28)</td>
<td>If project has more than $120,000 of Highway Planting work</td>
<td>Full PS&amp;E package with project plans including water letters, Design Intent Statement and Fact Sheet</td>
</tr>
<tr>
<td>Division of Maintenance (MS 31)</td>
<td>All projects with Maintenance funding</td>
<td>Full PS&amp;E package with project plans</td>
</tr>
<tr>
<td>Division of Traffic Operations (MS 36)</td>
<td>If (HB 1) 201.010, 201.015 or 201.020 Program</td>
<td>PS&amp;E package without Special Provisions</td>
</tr>
<tr>
<td>Division of Traffic Operations Toll Bridge Operations Branch (MS 36)</td>
<td>If Toll Bridge (TBF) funding involved</td>
<td>PS&amp;E package without Special Provisions</td>
</tr>
<tr>
<td>Division of Budgets Office of Federal Resources (MS 23)</td>
<td>ALL PROJECTS including Maintenance (Pavement Preservation 20.80.010.124)</td>
<td>PS&amp;E Submittal Memorandum &amp; RTL Certification (Draft and Final) R/W Certification NEPA Document Signature Sheet NEPA Revalidation Environmental Certification Signature Sheet Funds Request Memo (Draft)/Budget Verification/Director's Order Authority to Advertise (Draft) Engineer's Estimate - Segregated BEES Location Map Valid FTIP Listing or FTIP Amendment E-76 Check applicable items and submit: Executed Cooperative Agreement High Profile Project Agreement FHWA PS&amp;E Approval Transmittal (High Profile Projects) Design Exception &amp; Fact Sheet (Mandatory &amp; Advisory) FHWA Design Exception Approval (Interstate) Executed Railroad Service Contract Agreement Railroad Clearance Letter Damage Assessment Form (DAF) Cost Effectiveness/Public Interest Finding (PIF) Statement Emissions Reduction Study (CMAQ Eligible Projects) Value Analysis Study (If estimate over $50 million $40 million for bridge project Army Corps of Engineers 404 Permit Supplemental Work Justification Memo Department Furnished Materials Justification Memo Contingencies Approval Memo (If &gt; 5%) Office of Traffic Safety (OTS) Grant Approved Finance Plan (If estimate over $100 million approved) Approved Project Management Plan (If estimate over $500 million) **Environmental Commitments Record (ECR or MMRR) **Noise Study **Technical Reports should have been submitted prior to PS&amp;E submittal. Provide upon FHWA Engineer request.</td>
</tr>
<tr>
<td>Division of Transportation System Information (MS38)</td>
<td>ALL PROJECTS</td>
<td>Project Delivery Assets Form should be processed through the following web site:  <a href="http://cap3/pda/">http://cap3/pda/</a></td>
</tr>
</tbody>
</table>
### PS&E Distribution List (Continued)

<table>
<thead>
<tr>
<th>ADDRSEE</th>
<th>WHEN</th>
</tr>
</thead>
<tbody>
<tr>
<td>External Offices:</td>
<td></td>
</tr>
</tbody>
</table>
| □ FHWA  
550 Capitol Mall, Ste. 4-100  
Sacramento, CA. 95814-4708  
Attr: Cesar Perez | HIGH PROFILE PROJECTS  
(Submit only those items that require FHWA review and approval per the High Profile Project Agreement.) | High Profile Project Agreement  
Full PS&E package with project plans  
FHWA Design Approval Transmittal Memo (rev 2005)  
PS&E Submittal Memorandum & RTL Certification (Draft or Final)  
Environmental Certification and PS&E Ready to List Review Tool  
R/W Certification  
PE HIL Risk Utility Cert  
Funding Package  
Funds Request Letter  
Engineer's Estimate - segregated BEEs  
Cooperative Agreement  
Location map  
Check applicable items and submit:  
☐ Executed R/R Service Contract Agreement  
☐ Design Exception & Fact Sheet  
☐ Director's Order  
☐ Damage Assessment Form (DAF)  
☐ Cost Effectiveness/Public Interest Finding (PIF) Statement  
☐ Value Analysis Study (if estimate over $25 million, on NHS)  
☐ Army Corp of Engineers 404 Permit  
☐ Supplemental Work Justification Letter  
☐ Department Furnished Materials Justification Letter  
☐ Finance Plan (if estimate over $100 million)  
☐ Project Management Plan (if estimate over $500 million)  
☐ "Environmental Commitments Record (ECR) or (MIRR)  
☐ "Noise Study  
☐ "New/Revised Access Report  
☐ "Materials Report  
**Technical Reports should have been submitted prior to PS&E submittal. Provide upon FHWA Engineer request." |

Notes
**APPENDIX F READY TO LIST CERTIFICATION FORM**

**Plan, Specifications & Estimate (PS&E) Submittal**

**Ready to List (RTL) Certification Form**

<table>
<thead>
<tr>
<th>Project Identification:</th>
<th>Draft (No.)</th>
<th>Final</th>
</tr>
</thead>
<tbody>
<tr>
<td>FHWA (Delegated/High Profile)</td>
<td>Project ID</td>
<td>Phase #</td>
</tr>
</tbody>
</table>

Enter project identification data as indicated. For determination of FHWA delegated/high profile status see, *California Stewardship & Oversight Agreement Approach to Identifying “High Profile” Projects.*

**RTL Certification**

All right of way clearance, utility, and railroad work has been completed or all necessary arrangements have been made as required for proper coordination with the construction schedules. (23CFR633, 646)

Project has "R/W Certification" for advertisement when one of the following Certifications has been checked.

**2 Right of Way:**

- **2a Cert. 1**
  - All property has been acquired. Provide a copy of the R/W certification to DES-OE.

- **2b Cert. 2**
  - Not all property has been acquired but the State has the right to occupy or use. Provide a copy of the R/W certification to DES-OE.

- **2c Cert. 3W**
  - Right of way process is in order, but acquisition or Orders for Possession will not be completed until ___________ (from Right of Way Cert.). A work around has been approved to avoid owner-caused delays. Updated Certification Target: Cert Target No: ___

  - Cert Target Date: ___________

  - Provide a copy of the R/W certification and Approval Memorandum from Division of Right of Way to DES-OE. Not applicable for CAPM and HM projects. Risk Advertisement request approval required for advertising. (RTL Guide)

- **2d Cert. 3**
  - Right of way process is in order, but acquisition or Orders for Possession will not be completed until ___________ (from Right of Way Cert.). Project cannot bid open until certified at the 1, 2, or 3W Level. Cert Target No: ___

  - Upgraded Certification Target: Cert Target Date: ___________

  - Provide a copy of the R/W certification to DES-OE. Enter Cert number and Target Date of upgrade. Not applicable for CAPM and HM projects. Risk Advertisement request approval required for advertising. (RTL Guide)

**Railroad Clearance requirements have been satisfied.** Enter a target or actual date. An actual date will generate a checkmark indicating that railroad clearance has been obtained for the project. If there is a Construction and Maintenance (C&M) agreement or service contract, include the railroad company name, the agreement or Contract Number, and the amount of the cost estimate for services to be performed by Railroad work forces. Provide DES-OE with a copy of the Railroad Clearance Memorandum from Division of Right of Way. Include railroad clauses in Section 13 of the special provisions and a copy of clauses in Microsoft Word format.

<table>
<thead>
<tr>
<th>Railroad Clearance Requirements Satisfied:</th>
<th>Company</th>
<th>Target Date</th>
<th>Actual Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Short Clauses Attached</td>
<td>Date</td>
<td>Amount</td>
<td>C&amp;M Agreement/Service Contract No.</td>
</tr>
<tr>
<td>☐ Long Clauses Attached</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

☐ No Railroad Involvement

REV. 7/2013
### Environmental:

All environmental compliance requirements through RTL have been completed and the draft contract document accurately identifies environmental compliance activities that are to be carried out during the construction phase. Enter the date the Environmental Certification from was signed and the expiration date in the spaces provided. A copy of the Environmental Certification must be provided to DES-SE. (RTL Guide)

<table>
<thead>
<tr>
<th>Target Date</th>
<th>Actual Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- The Environmental Certification is complete and dated. Changes to the draft contract document after this date may invalidate the Environmental Certification and must be discussed with the Environmental signatory authority.

- Environmental Certification Document Date: __________
- Environmental Certification Expiration Date: __________

### Design:

The Department shall determine the kind, quality, and extent of all highway work done under its control, and may prepare and approve all plans, specifications, and estimates for all such work. (S&HC 137).

- Project has "Design Standard Approval" when either 4a or 4b is checked.

#### 4a Design equals or exceeds minimum mandatory and advisory standards.

- Indicate with a check mark if the project meets criteria. Districts are to certify that the project meets all mandatory and advisory design standards and to provide documentation for approved deviations. Not applicable for CAPM and HM projects. (HDM Section 80; RTL Guide)

#### 4b Design does not equal or exceed minimum mandatory and/or advisory standards; and has approved exceptions for nonstandard features. If required under the High Profile Project Agreement or if the mandatory exception involves the 13 controlling criteria on the Interstate system, the FHWA approval date for the design exception is __________.

If box is checked and if required under the provisions of the High Profile Project Agreement with FHWA or if the mandatory exception involves the 13 controlling criteria on the Interstate system, a date is required for RTL. Not applicable for CAPM and HM projects. (HDM; Design Memo; Design Information Bulletin; RTL Guide)

#### 4c Project has "Statewide Design Policy Compliance" when the following boxes are checked. Documentation is to be included with the project submittal as required. Guidance for the Design Policy Compliance items are shown in parentheses after the item description on the RTL Certification form.

- Use radio button menu. Check mark will be generated when policy requirements are met. Required documentation should be included in the project history file. (RTL Guide Section 6.4) If A+B bidding is used on the project then Road User Cost must be provided.

- Project does not meet criteria for use, Cost+Time (formally A+B) Bidding not used.
- Project does not meet criteria for use, but has HQ approval for Cost+Time (formally A+B) Bidding and is used.
- Project meets criteria for use and Cost+Time (formally A+B) Bidding is used.
- Project meets criteria for use, but has HQ approval for exception and Cost+Time (formally A+B) Bidding is not used.

- Buy America "Foreign Material" Waiver requirements satisfied. (23CFR 63) Use radio button menu. Check mark will be generated when regulatory requirements are met or not applicable. For all Federal Aid construction projects, current regulations require that steel and iron be made in the United States. Indicate with a check mark if a PIF (Public Interest Finding) Statement has been approved by FHWA to preclude Federal "Buy America" requirements.

- Waiver required and included.
- Not applicable.

- Constructability Review requirements satisfied: (FD-6S, Constructability Reviews)
- Use radio button menu. Check mark will be generated when policy requirements are met or project does not meet policy criteria. All major projects shall include the use of formal Constructability Reviews (CRs) per policy.

- Project meets criteria and all required constructability reviews have been performed, and issues resolved.
- Project meets criteria, but all required constructability reviews have not been performed. Exception granted.
- Project does not meet criteria.
### Cross-section Policy requirements satisfied. (Memo: Cross-Section Preparation and Delivery)

- Use radio button menu. Checkmark will be generated when policy requirements are met or project does not meet policy criteria. Required documentation should be included in the project history file.

#### Format:

- Project does not meet criteria for use.
- Project meets criteria for use, cross sections provided, and verified by Duty Senior.
- Project meets criteria for use, but has HQ approval for exception and cross sections are not provided.

### Experimental or Research Design Policy requirements satisfied. (Construction Evaluated Experimental Feature Program: PDPM Chapter 14)

- Use radio button menu. Check mark will be generated when policy requirements are met. Not applicable for CAPM and HM projects.
- Project has experimental features and a construction evaluated project workplan has been approved and funded.
- Not applicable.

### Hazardous waste policy requiring cleanup prior to construction has been satisfied. (Any ADL, traffic striping, or area of contamination will be addressed in the special provisions). (PDPM CH. 18)

- Use radio button menu. Check mark will be generated when policy requirements are met.
- Hazardous waste identified and cleanup completed.
- Project has an exception to include cleanup in the work.
- Per the initial site assessment or the hazardous waste site assessment report, no hazardous waste cleanup prior to construction is expected to be encountered on this project.

### High/Low Risk Utilities Policy requirements satisfied. (Policy on High and Low Risk Underground Facilities; PDPM Appendix L1)

- Submit any approved exceptions to the policy with the PS&E submittal.

### Pedestrian Facilities involved and comply or not applicable. (Memo: Approval and Exception Process for Design Informational Bulletin 82)

- Pedestrian facilities involved and complies with DIB.
- Pedestrian facilities not involved.

### Storm Water Data Report updated and approved on

- Indicate with a checkmark if the project has a completed Storm Water Data Report. Enter the date of District/Regional storm water coordinator's signature on the report. Copy of the report's completed Cover Sheet must be provided with the PS&E submittal.

### Certification of Project Cost Estimate requirements have been met.

- (Memo: Certification of Project Cost Estimate)
- Use radio button menu. Check mark will be generated when applicable requirements are met. If the district marks that a CPCE is required, then DES-GE will require a copy of the CPCE as a condition of District Response.

- Certification of Project Cost Estimate not required
- Certification of Project Cost Estimate required and provided

### Serious or critical water shortage and water source commitment requirements have been met.

- (HDM Chapter 900; PDPM Chapter 29)

- No serious or critical water shortage.
- Serious or critical water shortage, water source provided written commitment to supply water for construction project.
- Serious or critical water shortage, water source provided written commitment for new planting and irrigation work.
**Ready to List Certification Form**

### Design (Continued):

<table>
<thead>
<tr>
<th>Project requires Agency Agreement(s).</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identify the agency, provide the date the agreement was issued, and show the dollar amount. Submit a copy of fully executed agreements with the PS&amp;E submittal. (Streets and Highways Code, Section 1214; PDPM Chapter 13, 16: Cooperative Agreement Manual). A checkmark will be generated when all listed agreements are executed.</td>
</tr>
<tr>
<td><strong>Agency:</strong></td>
</tr>
<tr>
<td><strong>Doc. No.</strong></td>
</tr>
<tr>
<td>None on this project.</td>
</tr>
</tbody>
</table>

**Explanation for Coops not executed:**

### FHWA Approval:

- **PS&E may require FHWA approval when project involves Federal funds or is on a Federal System regardless of funding source.** (Pursuant to stewardship and delegation agreements PDPM Chapter 2, Section 7: DES Decision Document, “Include FHWA Design Approval in RTL” dated June 2, 2003) (RTL Guide)
- **Project meets all applicable Federal requirements. FHWA Design Approval Date**
  - For High Profile Projects, provide written documentation of FHWA design approval to DES-OE. Check mark will be generated when applicable policy requirements are met, a date is required for RTL.
  - Project has no applicable Federal requirements.
  - Project has Federal requirements and has all necessary approvals.

- **Public Interest Finding (PIF) required and approved, or not required.** Indicate with a checkmark below if PIF is required and approved, or PIF is not required. Check applicable items below. (23 CFR: FHWA’s “Contract Administration Core Curriculum, Participant’s Manual and Reference Guide” at http://www.fhwa.dot.gov/programadmin/contracts/index.cfm. The “Cost Effectiveness/Public Interest Finding Guidelines” at http://www.tfhci.gov/contracts/guidelines/Guidelines_Nov_2006.pdf) The approved PIF should be submitted at the time of PS&E submittal. Indicate which of the following are parts of the finding:
  - Not Applicable
  - Waiver to Buy American (23CFR635.410)
  - Experimental Contracting Methods
  - Informal Bid (Less Than 3 Weeks’ Advertisement)
  - Use of Force Account (Day Labor)
  - Use of Publicly Owned Equipment
  - Use of Department-Furnished Materials (23CFR635.407)

### Plans, Specifications, & Estimate:

- **Plans, Specifications, & Estimate are full, complete, and accurate. (PCC 10120)**
  - Project is “Draft Contract Ready” when all boxes are checked. Section 6 will be completed by DES OE or by DOE for AADD when the project is deemed to be “Draft Contract Ready”
  - 6a Plans prescribe the details for completion of the work, including details for items not covered by the Standard Plans.
  - 6b Plans conform to Plans Preparation Manual.
  - 6c Specifications prescribe the details for the construction, completion, and payment of the work.
  - 6d Specifications conform to the RTL Guide.
  - 6f Estimates prescribe all the details for the construction, completion, and payment of the work.

### Traffic Operations:

- **All Traffic Management Plan (TMP) requirements have been included in the PS&E.** (Deputy Directive 69, Transportation Management Plan Guidelines and Project Development Workflow Tasks Manual (WFTM))
  - For Service Level 1 projects, provide written documentation to DES-DE that this requirement has been met.
  - Provide the name of the District Traffic Manager or Traffic Management Plan Manager and the date of verification. (RTL Guide)

<table>
<thead>
<tr>
<th><strong>District Traffic Manager or TMP Manager:</strong></th>
<th><strong>Target Date</strong></th>
<th><strong>Actual Date</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Date of verification:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Page 5 of 5
Plans, Specifications & Estimate (PS&E) Submittal

<table>
<thead>
<tr>
<th>RTL Certified by: _____________________________</th>
<th>(Print Name)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature Of Project Engineer</td>
<td>Date</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>RTL Approved by: _____________________________</th>
<th>(Print Name)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature Of Project Engineer’s Supervisor</td>
<td>Date</td>
</tr>
</tbody>
</table>

Affix or attach registration seal here.

1. Drafts must be submitted with PE signature.
2. Finials must be submitted with the PE Signature and Seal and the PE’s supervisor’s signature.
3. For the purposes of the RTL Certification, the PE is interpreted to mean the engineer signing and sealing the Title Sheet of the Plans.

Notes: 

________________________________________________________
________________________________________________________
________________________________________________________
SPECIFICATION TOOLS AND GUIDANCE

APPENDIX G SPECIFICATION TOOLS AND GUIDANCE

SPECIFICATION TEMPLATES

The following 3 types of templates are used for specification development and processing:

1. "Macros" template contains all of the macros (e.g., strike and hide text, insert ssp).
2. "Normal" template is the customized global document template that contains the document settings (e.g., autocorrect, option settings).
3. "SSP" template contains the standard document paragraph styles.


SPECIFICATION TEMPLATE GUIDES

Specification template guides are documents created using the correct format and standard document paragraph styles. (Note: These guides do not replace the specification templates mentioned above. The templates must still be installed for specification work.)

For assembling a special provision package, use the SP_TEMPLATE.docx template guide available at (http://www.dot.ca.gov/hq/esc/oe/specifications/SSPs/2010-SSPs/_ssp_read_first/)

For specification development work, use the template guides available at (http://www.dot.ca.gov/hq/esc/oe/specifications/tools/2010_temp.php)
SPECIFICATION EDITING

When editing specifications, use the following editing standards for uniformity and to identify the individual responsible for an edit:

- → User initials are "comment" style.
- → New text is blue and underlined.
- → Deleted text is red-struckthrough-and-hidden.

Interpret the term "delete" in the instructions of the SP template and specifications as "strike and hide."

Do not use the Microsoft Word track changes function.

Do not use hyperlinks, comments, highlighted text, fields (headers are okay), embedded pictures, or bullets.

Check your document with hidden text turned on and turned off to ensure correct style and formatting in your document.

See list of tools and guidance at the end of this appendix for additional editing information.

**SSP Editing by Specification Engineer or Owner**

<table>
<thead>
<tr>
<th>Identification</th>
<th>Commentary</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>District User Initials</strong>&lt;br&gt;(e.g., JAD**)&lt;br&gt;&lt;br&gt;A District specification writer identifies an edit by adding his or her initials and a double asterisk. The identification precedes each edited paragraph. Information about the edit is added after the identification. For a large project that has many edits, adding the date of the edit is recommended.</td>
<td></td>
</tr>
<tr>
<td><strong>SOE User Initials</strong>&lt;br&gt;(e.g., JAD##)&lt;br&gt;&lt;br&gt;An SOE specification writer identifies an edit by adding his or her initials and a double pound. The identification precedes each edited paragraph.</td>
<td></td>
</tr>
<tr>
<td><strong>Owner's first initial and last name</strong>&lt;br&gt;(e.g., J.Duncan**)&lt;br&gt;&lt;br&gt;An Owner identifies an edit by adding his or her first initial, last name, and a double asterisk. The identification precedes each edited paragraph.</td>
<td></td>
</tr>
<tr>
<td><strong>NEW + User Initials</strong>&lt;br&gt;(e.g., NEW JAD**, NEW JAD ##, or NEW J.Duncan**)&lt;br&gt;&lt;br&gt;For adding a new section or subsection, add &quot;NEW&quot; to the beginning of the identification. A new subsection typically has a subsection title. For adding a new paragraph to an existing SSP, do not add &quot;NEW&quot; to the identification.</td>
<td></td>
</tr>
</tbody>
</table>
**SSP Editing by DES-OE Reviewer**

<table>
<thead>
<tr>
<th>Identification</th>
<th>Commentary</th>
</tr>
</thead>
<tbody>
<tr>
<td>DES-OE User Initials***</td>
<td>A DES-OE reviewer identifies an edit by adding his or her initials and a triple asterisk. The identification precedes each edited paragraph.</td>
</tr>
<tr>
<td>(e.g., JAD*** )</td>
<td></td>
</tr>
<tr>
<td>NEW + User Initials***</td>
<td>For adding a new section or subsection, the DES-OE reviewer adds &quot;NEW&quot; to the beginning of the identification. A new subsection typically has a subsection title. For adding a new paragraph to an existing SSP, &quot;NEW&quot; is not added to the identification.</td>
</tr>
<tr>
<td>(e.g., NEW JAD*** )</td>
<td></td>
</tr>
<tr>
<td>ADDED + User Initials***</td>
<td>For adding a new SSP to the PS&amp;E submittal, the DES-OE reviewer adds &quot;ADDED&quot; to the beginning of the identification.</td>
</tr>
<tr>
<td>(e.g., ADDED JAD*** )</td>
<td></td>
</tr>
<tr>
<td>UPDATED + User Initials***</td>
<td>For updating the version of an SSP in the PS&amp;E submittal, the DES-OE reviewer adds &quot;UPDATED&quot; to the beginning of the identification.</td>
</tr>
<tr>
<td>(e.g., UPDATED JAD*** )</td>
<td></td>
</tr>
<tr>
<td>DELETED + User Initials***</td>
<td>For removing an SSP from the PS&amp;E submittal, the DES-OE reviewer adds &quot;DELETED&quot; to the beginning of the identification. The entire SSP except the SSP No. and issue date are removed. The identification is inserted before the SSP number.</td>
</tr>
<tr>
<td>(e.g., DELETED JAD*** )</td>
<td></td>
</tr>
</tbody>
</table>

The following are examples of applying the editing standards mentioned above.

**Edit a paragraph:**

- 1. Edit: 1. Edit for number of days. Typically use: 15 days. [Strike and hide a paragraph]

  Submit a schedule of values within 15 days after Contract approval. [Added to section 36-1.03]

**Strike and hide a paragraph:**

- 12. Use on undivided highways as needed. Edit as recommended by the District Traffic Manager or the District TMP Manager for the type of operation that requires the stopping of traffic, including erection of girders, falsework erection and removal, and time requirements. [Strike and hide a paragraph]

  During blasting, hauling, and slide removal excavation operations, the road may be closed and traffic stopped for periods not to exceed _____ hours _____ minutes. After 1 closure is made, all accumulated traffic must pass through the work zone before another closure is allowed. [Added to section 36-1.03]
Strike and hide a series of paragraphs:

(Note: Do not strike and hide the 1st paragraph’s instructions.)

- Pars. 26-28. Use if project includes bridges that require the erection of precast girders or falsework.
- Precast concrete members must not be cast within the right-of-way of Route ______.
- 27. Use for precast or steel bridge girders. Edit for type of girder and route/street information.
- Erect ________ girders over Route ______________ Street 1 span at a time. During girder erection, traffic in the lanes over which girders are being placed must be detoured or stopped as specified in section 12-4.02A.
- 28. Edit for type of operation.
- Have the necessary materials and equipment on site to erect or remove the girders, falsework, in any 1 span, or over any 1 opening, before detouring or stopping traffic.

Strike and hide rows in the middle of the table:

(Note: Strike and hide the mark at the end of each row with each row.)

- 4. Use if designated holidays are specified or if lane requirement charts are included. Edit for holidays that do not generate heavy traffic through the project.
- Designated holidays are as shown in the following table.

<table>
<thead>
<tr>
<th>Holiday</th>
<th>Date observed</th>
</tr>
</thead>
<tbody>
<tr>
<td>New Year’s Day</td>
<td>January 1st</td>
</tr>
<tr>
<td>Washington’s Birthday</td>
<td>3rd Monday in February</td>
</tr>
<tr>
<td>Memorial Day</td>
<td>Last Monday in May</td>
</tr>
<tr>
<td>Independence Day</td>
<td>July 4th</td>
</tr>
<tr>
<td>Labor Day</td>
<td>1st Monday in September</td>
</tr>
<tr>
<td>Veterans Day</td>
<td>November 11th</td>
</tr>
<tr>
<td>Thanksgiving Day</td>
<td>4th Thursday in November</td>
</tr>
<tr>
<td>Christmas Day</td>
<td>December 25th</td>
</tr>
</tbody>
</table>
Strike and hide the 1st or last row of the table:

(Note: If the 1st row below the column headings is struck and hidden, the double line format of the bottom border of the column headings gets replaced by a single line format. If the last row of a table is struck and hidden, the last remaining row will lose its bottom border. Therefore, for these instances, the following steps must be performed.)

1. Strike and hide the rows as shown above:

2. Highlight the struck and hidden rows and convert the rows to text by selecting the command "Convert to Text" and separating the text using commas:
3. The converted rows will have this format:

- Designated Holidays:
  - Holiday | Date observed
  - New Year's Day | January 1st
  - Washington's Birthday | 3rd Monday in February
  - Memorial Day | Last Monday in May
  - Independence Day | July 4th
  - Labor Day | 1st Monday in September
  - Veterans Day | November 11th

**Strike and hide list items:**

(Note: Renumber the list after list items are struck and hidden.)

- 20. Select appropriate methods and edit or delete pars. 21-33 to agree.

- 12.3.16G Service

- 12.3.16G(1) General

- Use one of the following methods to provide power for the TSS:
  1. Commercial power from an existing utility company
  2. Commercial power with a generator backup
  3. Generator system with an additional generator as a backup
ADDITIONAL GUIDANCE

Specification Style Guide 2010

Standard Editing for Specification Development and Processing
(http://www.dot.ca.gov/hq/esc/oe/rtl/rtlediting.pdf)

Correcting Styles with the SSP Template
(http://oe.dot.ca.gov/)

NSSP Guidance for the 2010 Standards
(http://www.dot.ca.gov/hq/esc/oe/2010/2010%20training/)

Outline leveling

(Includes information regarding erroneous TOCs caused by the use of document map feature of Microsoft Word.)
APPENDIX H STEPS IN PROCESSING DISTRICT PS&E TO DRAFT CONTRACT READY

1. DES-OE Area Senior assigns project to DES-OE Specification Engineer (SE).

2. Area Senior keys in negotiated Draft Contract Comments (DCC) and District Response (DR) dates in the project database.

3. SE will:
   a. Obtain project plans from bin room.
   b. Copy district Standard Special Provisions (SSP) and supporting documentation from Project Submittals folder on the OE fileserver into working project folder.
   c. Provide electrical and landscape plans and request form to the Specialty Seniors.
   d. Prepare job file.
   e. Verify the PS&E submittal for potential problems. If the PS&E submittal is not complete enough to proceed with project review, the Area Senior will request the Scheduling Unit remove the "Complete PS&E" received date in the project database.

4. Highway, Electrical and Landscape SEs verify (review) the district PS&E's conformance to Section 1.3.6 of the RTL Guide and Section 6 of the RTL Certification. DCC will be developed from this verification.

5. SE logs into the Draft Contract Resolution Database (DCRD) by inputting project EA.

6. Highway, Electrical and Landscape SEs input and post respective comments in the DCRD.

7. Primary SE will e-mail the "Notification of DCC" memo to the district SE with a carbon copy to the personnel included in the memo. An electronic pdf of the memo is placed into working project files and a copy into the job file.

8. Electrical and landscape SEs will e-mail the SE and district SE with notification of posted comments.

9. Highway, Electrical and Landscape SEs key in respective DCC dates in the project database when all comments have been posted. The latest of these dates will become the actual DCC date in the project database.

10. Dates of the "Notification of DCC" memo and project database DCC date must correspond.
11. District responds to the highway, electrical and landscape comments in the DCRD. Every comment must be replied to and posted by the district. District will e-mail SE and Area Senior when all replies are posted. Note: Structures SE will respond directly to DOE.

12. Highway, Electrical and Landscape SEs will:
   a. Verify that all replies are complete and incorporate the revisions in the project plans and special provisions.
   b. Key in respective DR dates in the project database. The latest of these dates will become the actual DR date.
   c. DR date will not be entered until all comments are resolved, NSSPs approved, district submits applicable permits, agreements (not including coop agreements and encroachment permits), PCE, electronic information handouts and cross sections, RR clauses/memo, and PE seal sheets. Revisions to the estimate are made by the district and verified by the SE.
   d. Resolve each complete thread of comment and reply by marking "Resolve" in the DCRD. The resolution of comment/reply constitutes agreement that the issue is resolved.

13. If a resolution to a comment cannot be met the Area Senior or SE will place the note "SE and DOE did not reach an agreement" in comment box and mark "Resolve" in the DCRD. The SE will also place e-mail documentation or notes from phone conversations in the job file.

14. Electrical and landscape SEs provide completed PS&E portion to the Highway SE then key in respective DR dates into the project database.

15. All comments must be resolved in the DCRD before a DR or Draft Contract Ready (DCR) date is given by SE.

16. Highway SE incorporates the specialty redlines and keys in the Plans Approval date in the SE Input layout.
   a. The date should be the Monday's date of the week it is submitted to Project Plans Unit (PPU). Use the Tuesday's date if Monday is a holiday.
   b. SE provides the completed redlined project plans with the index, sheet number and plans approval date to PPU for delineation.
   c. PPU will provide the SE a hardcopy for verification (proofing). SE verifies that redlines are incorporated. SE will greenline and return to PPU if additional changes are needed. KEEP THIS COPY FOR USE DURING LISTING PERIOD AND ADVERTISEMENT for no other copy will be made.
17. Primary SE will:

a. Validate PS&E is complete.

b. Key in the DCR date in the project database after the specialty groups have input their DCR date. If the specialty groups are involved, the latest of these dates will become the actual DCR date. Note: Once the Final DCR date is input into the project database, Section 6 of the RTL Certification is automatically checked.

c. Prepare the DCR memo.

d. E-mail the DCR memo and Special Provisions to the PE with a carbon copy to the personnel included in the memo.

18. The BEES unit will query the project database for DCRd projects on a weekly basis. Within the week they will:

a. Lock the BEES.

b. Download and print the BEES for item code check and assign a one-time item code.

c. Make the one-time item code changes to the BEES and print a clean copy for the SE to check. This copy will be the final (green-lined) and pink-tagged copy in the Job File. SE will stamp, date and place tag on last page of BEES printout. There will be no other print provided.

19. The Scheduling Unit will notify the Area Senior and SE when project is deemed Ready to List (RTL).

20. As soon as project is RTL'd, the Area Senior will log in to the DCRD and update the project status by keying in a Closed Date. Dates of RTL in project database and Closed Date in DCRD must correspond.

21. The Area Senior will prepare a DES-Communication Change Document (CCD) to cancel advertisement, return to district or reject bids. If project is cancelled, returned or rejected, the project must be closed in the DCRD.
APPENDIX I STEPS IN PROCESSING INFORMAL BIDS CONTRACT

BEFORE SUBMITTAL TO DES-OE:

1. If and when the Department deems that it is for the best interest of the State for the informal contract to include a same day award provision, the District must do the following before submittal of the project to DES-OE:

   1.1. a. The District Director must request to Office of Business and Economic Opportunity (OBEO) and justify a "zero" UDBE or DVBE goal.

       b. OBEO approves or denies the request.

       c. If approved, DES-OE will assign a "zero" goal.

   1.2. a. The project manager through the Director's Order, request the capital allocation be made through the G-11 process.

AFTER SUBMITTAL TO DES-OE:

2. SE DOES NOT have to prepare the DCR memo.

3. Informal Coordinator assigns the project.

4. Informal Coordinator provides the "INFORMAL CONTRACT TENTATIVE SCHEDULE" to affected group.

5. BEES IS LOCKED AFTER RECEIPT OF THE INFORMAL CONTRACT TENTATIVE SCHEDULE. See Step 26 for BEES processing through Contract Awards.

6. After receipt of the Informal Contract Tentative Schedule, Scheduling keys in the advertisement, bid opening, and plans approval dates in the project database.

7. DES-OE SE (SE) processes informal project to meet the "Informal Contract Tentative Schedule."

8. DES-OE Specification Engineer (SE) obtains project plans from Bin Room.

9. SE copies District SPs and supporting documentation from submittals folder on the OE Fileserver into their own working folder.
10. SE provides the appropriate plans and request form to the Specialty Seniors.

11. SE prepares Job File before beginning PS&E review.

12. Highway, Electrical and Landscape SEs verify (review) the District PS&E's conformance to Section 1.3.6 of the RTL Guide and Section 6 of the RTL Certification. DCC will be developed from this verification.

13. SE logs into the DCRD and inputs comments. When comments are complete, Highway, Electrical and Landscape SEs will post respective comments.

14. Highway, Electrical and Landscape SEs send the "Notification of DCC" to the District SE with a copy to the list of personnel included in the memo.

15. Dates for "Notification of DCC" e-mail and DCC date in project database will correspond.

16. Highway, Electrical and Landscape SEs key in respective DCC dates in the project database when all comments have been posted. The latest of these dates will become the actual DCC date.

17. District responds to the highway, electrical and landscape comments in the DCRD. Every comment must be replied to and posted by the district. District will e-mail SE and Area Senior when all replies are posted.

18. SEs verify that all replies are complete and incorporate the revisions in the project plans and special provisions. Revisions to the estimate are made by the SE.

19. Highway, Electrical and Landscape SEs key in respective DR dates in the project database. The latest of these dates will become the actual DR date. Note: DES-OE will not enter a DR date until all comments are resolved, NSSPs approved, and district submits applicable permits and agreements, PCE, electronic information handouts and cross sections, RR clauses/memo, and PE seal sheets(excluding coop agreements and encroachment permits).

20. Highway, Electrical and Landscape SEs will resolve each complete thread of comment and reply by marking "Resolve" in the DCRD. The resolution of comment/reply constitutes agreement that the issue is resolved.

21. Landscape and Electrical SEs provide completed PS&E portion to the Highway SE, then key in respective DCR dates into the project database.

22. All comments must be resolved in the DCRD before a DR or DCR date is given by SE.
23. SE will:

   a. Incorporate the specialty project plan redlines and revised or added specs.

   b. Provide the completed redlined project plans with the Index, Sheet Number and Plans Approval date to PPU for delineating redlines.

   c. After delineation, PPU will provide the SE a hardcopy for verification (proofing) and for any green lines. USE THE FINAL COPY TO GIVE TO INFORMAL COORDINATOR FOR REPRODUCTION.

24. Highway SE keys in the DCR date in the database. If the specialty groups are involved, the latest of the 3 dates will become the actual DCR date. Note: Once the DCR date is inputted in the database, Scheduling will take care of all other necessary information required for RTL or database.

25. If and when the District requests for RTL dates, Scheduling will take care of all necessary information required for RTL Cert and database.

26. The BEES will be processed:

   a. Contract Awards locks the BEES after receipt of the "INFORMAL CONTRACT TENTATIVE SCHEDULE." Goals are also set after the BEES are locked pending Office of Federal Resources identifying the project is "NO FED AID" or Fed aid.

   b. Contract Awards provides a copy of the BEES to the SE.

   c. SE redlines the provided copy per review of the PS&E. SE to contact the Informal Coordinator if there are major revisions to the estimate. NOTE: SE is the Task Manager for the completed red-lined BEES.

   d. SE puts red-lined BEES in the "Estimate box" in Contract Awards no later than 2 days before project is "due to typing." Contract Awards will assign one time item codes, and do other tasks as required.

   e. Contract Awards gives back the BEES with the one item code indicated in the BEES to the SE 1 day before the project is "due to typing." This is the so-called "Green-lined BEES."

   f. SE proof reads the "Green-lined BEES" and return to the "Estimate box" in Contract Awards.

   g. Contract Awards gives the original "Green-lined BEES" to BBAU (1. Ruth, 2. Carol 3. Art in that order) on the day it is due to typing. This will be the final and tagged copy in the Job File.
27. SE submits the specifications to the "Informal" folder inside the "Due to Typing." SE sends an email to "DES-OE Addenda" with cc to the Informal Coordinator, informing BBAU that an informal project has been submitted in the due to typing.

28. BBAU emails the Notice to Bidders and Special Provisions (NTBSP) and Bid books to the Informal Coordinator for editing.

29. Informal Coordinator edits the NTBSP and Bid books and return back to BBAU.

30. BBAU incorporates the edits, print the books and give to SE to proof read. BBAU will also give the "Green-lined BEES" to the SE.

31. SE proof reads the Estimate, NTBSP and Bid books, make revisions if any and return back to BBAU. All revisions to the Estimate MUST go back to Contract Awards for incorporation. DO NOT just redline the estimate in the books, the "Green-lined BEES" must be revised, otherwise the BEES system will have errors.

32. BBAU incorporates revisions and print a final copy. BBAU gives the hard copy of the final NTBSP and Bid books to the SE.

33. SE provides the following documents to BBAU for reproduction:
   a. Final Notice to Bidders and Special Provisions
   b. Final Bid book
   c. IH if applicable (will be printed by BBAU as provided in Step 26)
   d. Project plans
   e. Inclusion to the Plan Holders letter - 10 copies

34. Informal Coordinator provides the list of contacted contractors to BBAU for use in packaging and shipping the documents.

35. BBAU sends the above documents to reproduction 2 days before the shipping date.

36. After receipt of the reproduced documents, BBAU packages the following documents to each of the list of contacted contractors:
   a. 1 copy of the Bid Book
   b. 4 copies of the Notice to Bidders and Special Provisions
c. 4 copies of the project plans

d. 1 copy of the "Inclusion to the Plan Holders letter"

e. 1 copy of the IH if applicable

37. BBAU ships the packaged documents 1 day before the scheduled advertisement date to the list of contacted contractors.

38. Project is advertised.

38.1. BBAU posts the following electronic documents:


   b. Project plans

   c. Information Handout, if applicable

   d. Federal Wages, if federal aid project

   e. Cross sections, if provided

38.2. Scheduling will:

   a. Pull the Bid Items List from the "Weekly-Estimate" in the "Informal" folder located at (\Stfmcaddm02\hqoevol\BBU Adden Prep)

   b. Post the Bid Items List in the Advertised Projects website

39. If and when addendum is requested, follow the procedure in the addendum manual with the additional task as follows:

   a. Informal Coordinator creates a word document listing the email addresses of the "List of Bidders."

   b. Informal Coordinator provides the list to the assigned BBAU at the same time the addendum letter is approved and signed.

   c. BBAU emails the Notification Letter to the normal group plus the "List of Bidders" email addresses.

40. Informal project's bids are opened and the contract is awarded to the lowest responsible bidder on the same day of or within 10 days of bid opening depending on the requirement of the provision.