

**SECTION 10 CONSTRUCTION CONTRACT SUBMITTAL REQUIREMENTS****10.1 PURPOSE**

This section describes the requirements for construction contract submittals to PPM&OE. 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 construction contract submittal information to PPM&OE. This is required because construction contracts are submitted electronically using tools available only to the DOE.

**10.2.2 STRUCTURE OFFICE ENGINEER**

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 construction contract submittal to PPM&OE.

**10.3 CONSTRUCTION CONTRACT SUBMITTAL**

The DOE sends construction contract submittal to PPM&OE and other involved addressees specified on the PS&E Distribution list attached to the Construction Contract Submittal Memorandum reference Appendix E.

**10.3.1 CONSTRUCTION CONTRACT SUBMITTALS TO PPM&OE**

Districts will be credited with a Complete Contract Submittal (PS&E) Date when PPM&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 PPM&OE.

Send construction contract submittals as follows:

1. DOE copies the construction contract submittals documents into the PS&E Drop Box.
2. DOE sends a notification of the construction contract submittals to the e-mail address: [scheduling.oe@dot.ca.gov](mailto:scheduling.oe@dot.ca.gov). Do not attach the submittal documents to this notification e-mail unless directed by PPM&OE staff.

The construction contract submittal documents required for all projects are listed in the following Table:

**Table 10-1**

**Requirements for Construction Contract Submittal to PPM&OE**

<b>Applicable Construction Contract Submittal Items</b>	<b>Acceptable Submittal Format</b>
A. *Electronically Submitted Construction Contract Submittal Memorandum	PDF
B. *Construction Contract CCP Submittal Form (one PDF file)	PDF
C. *Standard Special Provisions (SSPs)	MSW
D. *Special Provisions Signature and Seal Sheets	PDF
E. *Signed Authority to Advertise (A2A)	PDF
F. *Supplemental Information Folder (folder includes IH & X-Section files, if applicable) (See Section 10-4)	FOLDER
G. Estimate with BEES – Combined	PDF
H. Cost Estimate Certification (CEC) Form	PDF
I. Environmental Certification	PDF
J. **Funding Package (Budget Verification, Funds Request, Funding Summary, Etc.)	PDF
K. Justification for Supplemental Items Memo	PDF
L. Justification for Department Furnished Items Memo	PDF
M. NSSP Approvals	PDF
N. Approved PIF's	PDF

O. Railroad Clearance Memo (when applicable)	PDF
P. *Right of Way Certification	PDF
Q. RTL Certification	PDF
R. Special Notices (when applicable)	PDF
S. Structure Design Concurrence Memo For Building Projects	PDF
T. Storm Water Data Report	PDF
U. TMP Certification	PDF
V. Utility Certification	PDF
<p>*Items with “*” must be included before receiving a PS&amp;E Received date or prior to Listing for Advertisement.                  **Approved CTC exception projects, Funds Request in lieu of Funding Package.</p>	

**A. CONSTRUCTION CONTRACT SUBMITTAL MEMORANDUM**

The Construction Contract Submittal Memorandum transmits the Construction Contract Submittal Packages to PPM&OE, and other HQ divisions. 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 Construction Contract submittal documents

The Construction Contract Submittal Memorandum Appendix F is a layout in the AADD database and must be obtained from the DOE. The Construction Contract Submittal Memorandum parts are:

**A.1 CONTRACT INFORMATION**

**a. Priority**

Indicate if submittal is a safety or informal project. PPM&OE processes informal project as top priorities. (Informal projects shall not be processed as AADD).

**A.2 PROJECT INFORMATION****a. Contract Limits**

County, routes and work begin and end points post miles.

**b. Project Name**

Same as the project name in PRSM.

**c. Work Description**

List types of work in general terms using a maximum of 70 characters. See website link to AADD Academy Modules: <http://des.onramp.dot.ca.gov/office-engineer/aadd-academy-training>

**d. Project Plans Title Header**

Same as the project location description on the title sheet.

**e. Plans**

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

**f. Specifications**

Indicate what version of the Standard Specifications or General Conditions were used to prepare the special provisions.

**g. Bid Type**

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” – 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.

**h. Classification(s) of Contractor’s License Required**

Same as the contractor license requirements in the notice to bidders

**i. Special Features**

Enter the approval to use date if project has any of the following features:

- **Lump Sum**
- **Additive/Deductive Bid**
- **Escrow of Bid Documents**
- **Incentive/Disincentive (I/D)**

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.

- **Pre-Award Qualifications**

See the memorandum, Pre-Bid and Pre-Award Qualifications Provisions, from Robert Buckley dated March 22, 2002 in regard to the approval requirements.

- **Tribal Employment Rights Ordinances (TERO)**

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

- **Time Related Overhead (TRO)**

See 7.6.2

- **Warranty**

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

#### **j. Prosecution of Work**

- **Working Days**

The number of construction 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.

- **Plant Establishment Period**

The number of working days provided to establish plants and maintain irrigation systems. Subtract plant establishment days that will be concurrent with any other construction operations.

- **Total Working Days**

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

**k. Bid Price Estimate**

Indicate the number of contract items, roadway construction cost, structures cost, building cost, total cost, BEES keyword, call out number, and the Certification of Project Cost (Price) and Estimate Approval date. The Project Database automatically calculates the call out number from the project cost. For information on 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.

**I. FEDERAL PARTICIPATION**

- **Oversight Determination**

Indicate whether the project is Project of Division Interest (PoDI)(formally called High Profile) regarding FHWA review and oversight. If PoDI, the date the PoDI Project Agreement with FHWA was executed is to be shown. See PDPM Chapter 2, Section 7, Figure 2, for determination of FHWA oversight. Contact the appropriate FHWA Engineer to confirm the determination.

- **Federal Aid Number(s)**

The Office of Federal Resources provides the Federal Aid Number(s).

**A.3 WARRANTY OF PLANS, SPECIFICATIONS, AND ESTIMATES****a. Building Project**

Indicate the date of Structure Design Final PS&E concurrence for a building project.

**b. NSSP**

Attach a list of Non-Standard Special Provisions with the name and date of owner approval.

**A.4 WARRANTY OF NON-INTERFERENCE****a. Agency Agreement**

Identify the agency, provide the date the agreement was issued.

**b. Environmental Certification**

Provide the signature date.

**c. Permits**

Complete the table listing permits that control the execution of the contract, including environmental permits. See 10.4.1 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 must also be listed in the Construction Contract Submittal Memorandum.

**d. Railroad Clearance**

If there is a Construction and Maintenance (C&M) agreement or service contract, include the railroad company name, and the date of the agreement.

**e. Right Of Way Certification**

Provide the date of the certification and the type of the certification.

**f. Traffic Management Plan**

Provide the name of the District Traffic Manager or Traffic Management Plan Manager and the date of verification.

**g. Utilities Certification**

Approval of High/Low risk utilities.

**h. Water Availability**

Identify the name of the agency that provided the water source commitment documentation and the date of the documentation.

**A.5 WARRANTY OF INFORMATION**

If a project has cross sections or an information handout, indicate the dates these documents were submitted to PPM&OE. A contract will not be advertised until these documents, if applicable, are submitted.

**A.6 FUNDING**

Indicate the date on the Authority to Advertise form. The total funding amount is calculated based on the funding information entered on the Authority to Advertise form in the PPM&OE databases.

**A.7 PROJECT PERSONNEL DATA**

List the names of the personnel involved in the preparation of the construction contract. The information is needed for communication purposes.

**A.8 CONSTRUCTION DATA**

Indicate the completion date of the constructability review.

**a. Begin Construction Date Requested**

Provide the requested begin construction date.

Constraints to Begin Construction. Describe conditions that impact the beginning of work. This information controls 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.

**A.9 LANDSCAPE DATA****a. Highway Planting**

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

**b. Recycled Water**

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

**c. Worker Safety**

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

**A.10 RESEARCH, INNOVATION, AND SYSTEM INFORMATION DATA**

Indicate the date Project Delivery Assets Form submitted to Division of RISI.



**A.11 SIGNATURES**

Obtain signatures from the Project Engineer, Project Manager and District Office Engineer.

**A.12 CONSTRUCTION CONTRACT DISTRIBUTION LIST**

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

**B. CONSTRUCTION CONTRACT CCP SUBMITTAL FORM AND PLANS REQUIREMENTS**

C.C. Plans Requirements include the followings:

- Project description information on the Title Sheet of the plans must have correct information before PPM&OE transfers the file to the PPM&OE Project Database.
- Title Sheet Strip Map Post Miles must have correct information before PPM&OE transfers the file to the PPM&OE Project Database.
- Index of Plan Sheets matches actual plan sheets submitted.
- Submittal does not contain missing, duplicated, or blank plan sheets.
- Plan sheet naming conventions are followed on the project plans.
- Plan sheet orientation is correct when plotted.
- Signed and dated Plans Approval date on the Title Sheet matches the AADD Database before PPM&OE transfers the file to the PPM&OE Project Database.

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

**C. SPECIAL PROVISIONS**

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

**D. SPECIAL PROVISIONS SIGNATURE AND SEAL SHEET**

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

- Contract number ending in a “4.”
- 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 has 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 6700-6706.3.

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 PPM&OE.

**E. AUTHORITY TO ADVERTISE**

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

**F. 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.

### **10.3.2 CONSTRUCTION CONTRACT SUBMITTALS FROM DOE TO OTHER DIVISIONS**

For projects with federal funds, the district must transmit the Federal Funds Authorization Request (FFAR) form, the preliminary E-76 and other required documents listed on the FFAR form to Division of Budgets, Office of Federal Resources Office before the construction contract is submitted to PPM&OE. DOE must send construction contract submittal information to other involved addressees specified on the PS&E Distribution list in the Construction Contract Submittal Memorandum as part of the funding process. Failure to comply will result in delays in project funding and advertisement. See the listing of Divisions at the end of the Construction Contract Submittal Memorandum in Appendix E.

DOEs must transmit all the required submittals to other divisions prior to the project being funded and submitted to PPM&OE.

### **10.3.3 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 PPM&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. Submit a copy of the Estimate to PPM&OE.

### **10.3.4 JOB FILE**

The District is responsible for maintaining the project history file (Job File).

## **10.4 SUPPLEMENTAL INFORMATION AND THE INFORMATION HANDOUT**

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

### **10.4.1 PERMITS AND AGREEMENTS**

- Railroad Agreements
- Department of Fish and Game. See the Contract Requirements, Section 1602 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
- California Department of Fish and Wildlife. See Fish and Game Code, Division 3, Chapter 1.5, Article 3
- Tribal Employment Rights Ordinances
- Encroachment permits from public agencies

#### **10.4.2 FOUNDATION RECOMMENDATION REPORTS**

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

### **10.4.3 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 and Standard Environmental Reference (SER) Volume I Chapter 10. Site Investigation reports are required for issues such as aerially deposited lead (ADL), naturally occurring asbestos (NOA), and contaminants in soil. A Hazardous Material Survey Report is required for all projects involving work on an existing building. Pertinent information from these reports such as analytical data and sampling location maps are included in the Information Handout. The entire reports are not included as they may contain recommendations for design options not included in the specifications.

### **10.4.4 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.

### **10.4.5 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.

### **10.4.6 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.

### **10.4.7 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 PPM&OE as part of the Information Handout. For more information see Design Information Bulletin Number 84 on the Division of Design Website.

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)

### **10.4.8 CROSS SECTIONS**

Electronic files and/or cross sections to conform to PD-06.