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 PPM&OE Website (http://oe.dot.ca.gov/statewide_oe_meeting/2018SWOE/Module_No._4.pdf).

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.

13.3 RESPONSIBILITIES

13.3.1 PROJECT ENGINEER/DISTRICT OFFICE ENGINEER

- Prepares plans, specifications, redlined copy of the project cost estimate, and Bid Item List for addendum.
- Contacts SOE and other functional units regarding additional addendum items.
- Consolidates all items from other functional units in addenda.
- Obtains approval from FHWA for addendum changes per Stewardship Agreement.
- Prepares specifications for addendum reviews.
- Processes addendum letters.
- Transmits addendum letters to PPM&OE.

13.3.2 PROJECT MANAGER

Concurs with addendum.
13.3.3 AFFECTED FUNCTIONAL UNITS
Concur with addenda.

13.3.4 DISTRICT OR REGIONAL DIRECTOR WITH AADD AUTHORITY
Approves and signs addendum.

13.3.5 PPM&OE

13.3.5.1 PPM&OE Construction Contracting Coordination and Quality Program Chief
• Establishes and maintains statewide policy and guidance for the preparation and processing of addenda.

13.3.5.2 PPM&OE AADD Coordinators
• Provides guidance and support to the districts in the preparation and processing of addenda.
• Acts as a liaison and is the single focal point of contact for communication and coordination between the district and PPM&OE functional units.
• Provides a final review of the draft addenda letters before they are sent to the district for director's signature.
• Maintains and revises the addenda letter templates.
• Maintains and revises addenda process and procedure guidance for the districts.

13.3.5.3 PPM&OE BID BOOK and Addenda Unit
• Provides clerical support in the preparation and processing of addenda.
• Posts addenda letters in PDF format on the PPM&OE Addenda website.
• Posts addenda on the electronic bid website, (BidX)
• Sends e-mail notification to selected Department staff and bidders that an addendum has been processed and posted.
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

Contract changes proposed by SOE and other functional units must be requested through the district and processed by the DOE. By California Public Contract Code section 4104.5, addenda which have a substantial cost impact may not be issued within 72 hours of bid opening unless a postponement of the bid opening is provided. Substantial costs impact is determined by the awarding agency. DES Decision Document 38, 72 Hours Timely Notice to Bidders of Bid Opening Postponement, signed by Brent Felker, dated January 15, 2003 can be referred to for additional requirements.

Do not use addenda to correct significant errors, omissions, or conflicts in the contract documents, or materially change 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 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 PoDI project, FHWA approval is not required when an addendum changes portions of a project unless specifically required under the PoDI Project Oversight Agreement for the project. An executed Prior Approval-Contract Addendum form must be furnished to the Department by FHWA when the formal request for addendum approval is processed.

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
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13.6 ADDENDA PREPARATION

All addenda are issued to bidders electronically and are posted on the Caltrans Office Engineer Website. Electronic files added or replaced by addendum are to be included with the submitted addendum package.

PPM&OE no longer requires a hard copy Job File. The district has the sole responsibility for ensuring that any and all documents related to the project are included in the Job File that are kept in the districts.

13.6.1 ADDENDA

**District prepared addendum**: District prepares the addendum letter using the current addenda letter template downloaded from the PPM&OE website. District submits the addendum package to PPM&OE BBAU for processing. The delegated District or Region Director signs the addendum letter. Addendum preparation is covered in the PPM&OE Website.

**PPM&OE prepared addendum**: Addendum that only revise the Federal Wage Rates are prepared by PPM&OE BBAU and signed by the Senior AADD Coordinator. Addendum that address electronic bidding issues are prepared by the PPM&OE E-bid team and signed by the PPM&OE Systems Senior Engineer.

13.6.2 SCHEDULE

Addendum should be issued as soon as possible before bid opening. To process an addendum and to maintain the scheduled bid opening, PPM&OE must receive the addendum at least 24 hours before the addendum issue date. 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 impacts pre-bid submittal review time of prospective bidders, subcontractors, and suppliers District should postpone the scheduled bid opening to allow the prospective bidders enough time to adjust and prepare accurate bids.

By California Public Contract Code section 4104.5, addenda which have a substantial cost impact may not be issued within 72 hours of bid opening unless a postponement of the bid opening is provided. Substantial costs impact is determined by the awarding agency. Addenda that are issued 1 to 2 weeks before...
bid opening should consider including a postponement of bid opening to allow the bidders enough time to incorporate addendum changes into their bids.

Requirements for addenda processing:

1) Within the 72 hour of Bid Opening date – signed addendum must be submitted no later than 1:00 pm for addendum to be posted on the same day. If after 1:00 pm, addendum date may need to be change and a new signature may be is required.

2) Same day of Bid Opening date – signed addendum must be submitted no later than 1:00 pm to postpone the Bid Opening date and any other changes to the PS&E.

3) Outside of the 72 hour of Bid Opening date, addendum must be submitted no later than 2:00 pm, if submitted after 2:00 pm, AADD Coordinator will work with district to determine if it is necessary to change the addendum date and get new signature.

Meeting these requirements will ensure that addendum can be posted the next business day.

Plan sheet revisions will require resubmittal of the CCP with the new addendum date.
ADDENDUM CHECKLIST

1. Contact PPM&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 PPM&OE Scheduling Unit.

4. Use correct and current AADD addendum form letter and e-mail notification letter from PPM&OE Website at (http://des.onramp.dot.ca.gov/office-engineer/contracting-systems)

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 AADD Addenda Process Overview 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 PPM&OE Bid Book & Addenda Unit.