

# PS&E Lock-in Procedure

## Definitions:

### Target PS&E Acceptance Date (Lock-in):

The Target PS&E Acceptance Date is the PS&E due date agreed upon 13 months prior. The PS&E due date has a 90 day window, which means that if PS&E package is delivered and accepted by the Office of Project Letting (OPL) 90 days after the lock-in date, there is no penalty. There are also no penalties for submitting the PS&E package early. The Target PS&E Acceptance Date is measured against the Actual PS&E Acceptance Date as used in the QBR reports.

*Note: The Target PS&E Acceptance Date will automatically be locked in if the project is scheduled within the 13 month lock-in window.*

### PS&E Due Date:

At the time of the 13 Month Lock-in, the PS&E Due Date is the same date as the Target PS&E Acceptance Date. The date is determined based on the proposed bid date and by subtracting the required amount of time for all activities prior to bid let (i.e., printing, advertisement, OPL review, etc). The requirements for advertisement and Full Federal Oversight (FFO) are based on the information provided by the project team. As project information changes (i.e., size of project, amount of funding, etc) this date may change to accommodate the current scope of the project (i.e., longer advertisement, FFO, etc) or revised delivery needs from the Region (i.e., change of bid date, etc).

*Note: PS&E Due Date will always be at 8am on Monday. Projects received by 8am on the due date will be checked for completeness the same day. If a package arrives later than 8am on the due date, workload may not allow time for review on that date, and it will probably be counted as being submitted on the following day.*

### Actual PS&E Submission Date:

Date that OPL receives the PS&E package (see note above).

*Note: If a project is received early, all attempts will be made to review the project for completeness upon submission, however workload may not always allow this. It will be triaged on the PS&E Due Date, if workload doesn't allow earlier. All efforts will be made to adjust measures accordingly.*

### Actual PS&E Acceptance Date:

Date that OPL confirms that all of the project deliverables have been received. This date is measured against the Target PS&E Acceptance Date for the QBR report.

*Note: A signed PD-02 Exception Letter (and Federal Highway Administration (FHWA) approval to advertise if necessary) will deem a package complete if it covers the items that are missing.*

### Effective Lock-in Date:

Date that the project team locks in the Target PS&E Acceptance Date. Typically 13 months in advance.

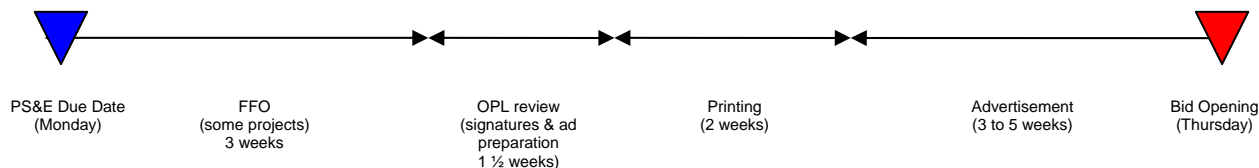
# PS&E Lock-in Procedure

## MS Project Bid Opening/PS&E Due Date:

Date that feeds from the MS Project Schedule for either the Bid Opening or PS&E Submission Dates. Depending on how the Project Leaders (PLs) manages the schedule, it is common for these dates to move slightly as the project schedule adjusts.

### **Background on OPL process:**

The following is the outline of the OPL process.



1. Region chooses bid date (typically on the second and fourth Thursday of every month) with approval from OPL.
2. OPL provides the PS&E Due Date to PL (always on a Monday), PL should update MS Project Schedule (if applicable) to adjust timelines based on FFO and the advertisement length. This due date is at 8am so that review, processing and recording of the submission can occur that day.
3. OPL receives the PS&E package and reviews for completeness. When the PS&E package is deemed complete, this date is documented as the PS&E Acceptance Date.

*Note: To ensure all required documents are included and the package is deemed complete, a list of the required documents can be found in the PS&E Delivery Manual and Final PS&E Submittal Checklist on the Office of Project Letting web page <http://www.oregon.gov/ODOT/HWY/OPL/index.shtml>.*

4. FFO (if applicable) is three weeks (see oversight requirements at: [http://www.oregon.gov/ODOT/HWY/TECHSERV/docs/ODOT\\_Federal\\_Aid\\_Program\\_Agreement\\_2010.pdf](http://www.oregon.gov/ODOT/HWY/TECHSERV/docs/ODOT_Federal_Aid_Program_Agreement_2010.pdf)).
5. OPL provides a completeness review, obtains necessary signatures, prepares bid sheets, coordinates with FHWA (federally funded projects), and performs quality checks on documents included in the PS&E package (1 ½ weeks based on workload).
6. OPL sends to ODOT Procurement Office (OPO) for printing two weeks prior to advertisement.
7. Ad period (3 to 5 weeks)
8. Bid opening.

## Discussion of Performance Measures:

In a November 2007 memo, Project Delivery Line Team (PDLT) changed the performance measures for three key milestones of project delivery (this document can be reviewed at [http://www.oregon.gov/ODOT/HWY/OPL/docs/Memo\\_PDPerformanceMeasures\\_Final\\_11-1-2007.pdf](http://www.oregon.gov/ODOT/HWY/OPL/docs/Memo_PDPerformanceMeasures_Final_11-1-2007.pdf)). The performance measure was changed from bid date to PS&E Acceptance Date to allow flexibility in the delivery model, while providing clear accountability for the different organizations. The comparison of the Locked-in Target PS&E Acceptance Date and the Actual PS&E Acceptance Date will occur in the QBR report.

# PS&E Lock-in Procedure

## PS&E Acceptance Lock-in process:

1. OPL Pre-Letting Specialist runs a report at the beginning of the month and “warns” PLs, Area Managers (AMs), Local Agency Liaisons (LALs), Construction Project Managers (CPMs) etc. of planned PS&E Lock-ins at the end of the month.
  - a. This report shows the MS Project PS&E Due Date, OPL PS&E Due Date, and the Potential PS&E Due Date, which is the PS&E Acceptance Date proposed to be locked in.

### Proposed PS&E Lock-in Report:

13 Month Bid-Let and PS&E Acceptance Potential Lock-In Report					
For projects projected on reaching PS&E Acceptance of Bid Opening between 11/1/2010 and 11/30/2011					
REGION: 2					
Key No.: 14186	Monitor: PSEDOC	Opt Code: S	Admin. By: ODOT	Delivery Method: In House	Type: OP-SLD
Project Leader: Jablonski, William *Bill				MS Proj. Bid Open: 12/30/2011	
Name: US101: NEAHKAHNE CHASM & JETTY CR ROCK SCREENINGS				PCS Bid Open: 1/12/2012	
Comment: ADD TO STIP FOR EARLY PE 06-09-44 11/28/06				Potential Bid Open Target Date: 12/30/2011	
				MS Proj. PS&E Due Date: 11/23/2011	
				OPL PS&E Due Date: 11/28/2011	
				Potential PS& Due Date Target: 11/28/2011	
Key No.: 14183	Monitor: PSEDOC	Opt Code: S	Admin. By: ODOT	Delivery Method: In House	Type: BRIDGE
Project Leader: Jablonski, William *Bill				MS Proj. Bid Open: 12/28/2011	
Name: US101: COLUMBIA RIVER (ASTORIA-MEGLER) BR #07949C				PCS Bid Open: 1/26/2012	
Comment: ADVANCE PE 06-09-63A 12/18/06; ADJ FUNDS TO REFLECT WSDOTSHARE				Potential Bid Open Target Date: 12/28/2011	
08-11-23A 6/10/08; ADD RW PHASE 08-11-151A 03-09-10				MS Proj. PS&E Due Date: 10/17/2011	
				OPL PS&E Due Date: 11/7/2011	
				Potential PS& Due Date Target: 11/7/2011	

- b. The report is sent to all PL’s, AM’s, LAL’s, CPM’s, STIP coordinators etc. Anyone wishing to receive this report should contact the ODOT Pre-Letting in box.

***Note:** Reports sent out in the beginning of March 2011 are for projects that will be potentially locking in Target PS&E Acceptance Dates in April 2012, and Bid Openings ranging from May to July depending on FFO, advertisement length, etc.*

- c. PL’s, AM’s, LAL’s, and CPM’s are to review the report and let the Pre-Letting Specialist know which projects can be locked in; which projects are **not** ready to be locked in and need to be moved to a new bid date (new dates will need to be provided for all projects that cannot be locked in). If any discrepancies exist between the bid date in MS Project, PS&E Submission and the OPL PS&E Due Date, the PL, AM, LAL, or CPM will make the correction in MS Project or notify the Pre-Letting Specialist if OPL is in error.
    - d. The project is added to the OPL Bid Planning and Status Master scheduling spreadsheet to allow OPL to review and balance bid openings, as well as for calculating the PS&E Due Date.
2. One week prior to the end of the month the Pre-Letting Specialist sends a follow-up email to those PL’s, AM’s, LAL’s and CPM’s that have not responded to confirm their project lock-in date or to change their bid date.

# PS&E Lock-in Procedure

3. By the last day of the month, the Pre-Letting Specialist:
  - a. Enters the locked in PS&E Acceptance date into the “PS&E Lock-in Date” field in the OPL database. Only a handful of people have permissions to this field.
  - b. Enters the “PS&E Lock-in Effective Date” field into the OPL database (this date captures when the PS&E Acceptance Date was actually locked in).
  - c. Advises the PL to update the MS Project Schedule (if applicable).
  - d. Enters the lock-in bid opening date into the “Target Bid Let” field in PCS. Only a handful of people have permissions to this field.
4. Other considerations:
  - a. There is an exception process for changing a lock-in date. The exceptions are very rare, but include things such as combining projects, etc.

## PS&E Acceptance measure for QBR:

1. TPO pulls data from the OPL database and compares the Target PS&E Acceptance Date (13 Month Lock-in Date) with the Actual PS&E Acceptance Date, for those projects with a Target PS&E Acceptance Date for the quarter being measured.
2. There is no penalty for delivering projects early or within the 90 day grace period.

## Where information is shown on the Project Tracking Tool (PTT):

1. The Planned PSE Submittal date is the PS&E due date.
2. The PSE Lock In Date is the PS&E due date agreed upon 13 months prior.
3. The PSE Delivered Date is when the project was delivered to OPL.
4. The Date OPL Locked in PSE Lock Date is the date OPL locked in the project.
5. The PSE Acceptance Date is the date OPL accepted the project as complete.
6. The OPL/PCS Bid Let Date is the bid opening date for the project.

Key Number: 15472		Region: 2		Days Late for Bid Let: unknown		Days Late for Const. Completion: unknown		Spent > STIP:				
Project Name: OR99E: NORTH CITY LIMITS - D ST (HUBBARD)												
BUDGET	EA	Sub Job	Original Authorization	Auth Dt	Current Authorization	Auth Dt	STIP Approved Cost	Current Estimated Cost	Amount Spent to date	Cur Est > STIP	Spent > STIP	Spent > Cur Est
PE	C0241905		\$199,000	9/5/2007	\$0		\$199,000	\$199,000	\$138,538			
ROW			\$0		\$0		\$0	\$0	\$0			
UR			\$0		\$0		\$0	\$0	\$0			
OTHER			\$0		\$0		\$0	\$0				
CONST			\$323,000	9/16/2010	\$0		\$325,000	\$323,000	\$0			
<b>TOTAL</b>			\$522,000		\$0		\$524,000	\$522,000	\$138,538			
RMS MILESTONE DATES												
Planned Start	Project Start	Field Survey / Base Map	Roadway Design	Type Size and Location: Bridge Drwg	Approved Design (30% DAP)	Preliminary Roadway Plans	ROW Acquisition	404/DSL Fill/Removal Permit	Advance Roadway Plans	Final Roadway Plans	Final Bridge Plans	
Planned End												
<b>OPL DATES</b>		Planned PSE Submittal:		9/20/2010		PSE Delivered Date:		9/13/2010		PSE Acceptance Date:		9/13/2010
		PSE Lock In Date:		9/20/2010		Date OPL Locked in PSE Lock Date:		6/10/2010				
BID LET AND CONSTRUCTION COMPLETION DATES												
RMS Estimated Bid Let Date:						Award Date:						Contractor Payments System
OPL/PCS Bid Let Date:						First Note:						Second Note:
11/4/2010						Estimated Construction Comp Date:						Third Note:
						Contract Completion Date:						

## Contact Information:

Brenda Marcus, Office of Project Letting Manager (503) 968-3796  
 Aundrea Guthrie, Pre-Letting Specialist (503) 986-3754