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Updated 10/24/19 to add Alternative Delivery instructions

Updated 11/20/19 to add Project Initiation and DAP Phase Gate Instructions, rename document to reflect expanded focus
INTRODUCTION

This manual defines the items required to meet the project submittal and project completeness requirements for an ODOT construction project at Project Initiation, DAP and before advertisement and competitive bid (PS&E), (as defined in Operational Notice PD-02). The user is advised to obtain all forms, lists and other information directly from the ODOT web sites listed to ensure that they are using the most current versions.

Effective May 15, 2019 the Statewide Project Delivery Manager instituted new phase gate requirements at Project Initiation, DAP and PS&E. Refer to Appendix A for further details. Any project reaching Project Initiation after this date is required to submit the phase gate requirement sets to PCO for review. Projects having reached Project Initiation prior to this date are encouraged, but not required to record their milestones. Doing so will improve overall project delivery reporting and transparency. The defined processes are in effect in order to track project scope, schedule and budget baselines and ensure project standardization early in the project development and delivery cycle. Anticipated phase gate dates will be baselined at Project Initiation, and project “actual” date snapshots will be recorded at DAP and PS&E. Additionally, ALL projects experiencing a change in scope, schedule or budget after May 15, 2019, must submit a CMR prior to making these changes.

For the purposes of this document, PE Lead will refer to the Transportation Project Manager (TPM), Local Agency Liaison (LAL), and/or Consultant Project Manager (CPM).

SECTION 1 – COMPLETING THE PROJECT INITIATION SUBMITTAL AND SCHEDULING

During the Project Initiation Phase Gate, the project team will work with the Area Manager to develop the project documents that will be required for initial approval prior to baselining the scope, schedule and budget for the project. The required documents will include the Project Charter, Zero-CMR, and a copy of the Microsoft Project Schedule. Any Project Initiation phase gate supporting documents that will illustrate the project can be included, but are not a requirement.

*Refer to Appendix H for a Quick Guide of required documentation at each phase.
1.1 REQUIRED PROJECT INITIATION DOCUMENTATION

1.1.a. PROJECT CHARTER

The Project Charter will serve as the agreement for the scope, schedule, budget, approach and risks of the project. It will provide direction to the project team and determine the baseline of the project. A Project Charter is a requirement for every STIP project that will be delivered by the Agency on the State system. The Project Charter will be developed by the Project Lead, Project Team, the Area Manager and appropriate discipline Program Manager(s). It must be consistent with the information in the Final Business Case (created at Scoping). Submit digitally signed Project Charter in the K####_PI_SET (PM_K####_PC_##).

The Pre-Letting Specialist will check the Project Charter to ensure all requirements have been met. In order to be accepted, the following must be confirmed:

- **Project Name** - matches the STIP record *exactly*
- **Project Key Number**
- **Project Description** - must be consistent with the “Project Description” field in STIP, but should expand on:
  - Project location,
  - Opportunities and/or issues identified
  - Purpose and need this project is addressing
  - Description of work to be performed
  - What elements of the project are in scope, what elements are out of scope
  - Potential solutions to identified issues
  - Outcomes, goals and priorities of the project
  - Description of work to be performed
- **Constraints and Risks** - identified and clearly illustrated
  - Important information from the Business Case, and any other factors or concerns not included in the Business Case must be illustrated. This could include any new developments in cost/budget, environmental information, mobility, ADA, permitting, etc.
- **Assumptions** - identified and clearly illustrated
  - Have Design Exception requirements been identified?
  - Have Access Management Exemptions been identified?
  - Have any required IGAs been identified?
  - What mobility impacts have been identified?
- **Project Delivery Approach** - indicate in-house delivery, consultant delivery, or partially outsourced delivery.
- **Project Development Team Members** - indicate the disciplines that they represent
• **Project Schedule (Milestones)** – will be compared to the current RMS published schedule to ensure accuracy for the following milestones:

<table>
<thead>
<tr>
<th>Milestone</th>
<th>MSP Activity Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>PE EA Open</td>
<td>008</td>
</tr>
<tr>
<td>PDT Kickoff</td>
<td>018</td>
</tr>
<tr>
<td>Project Initiation Phase Complete</td>
<td>050</td>
</tr>
<tr>
<td>DAP Phase Complete</td>
<td>325</td>
</tr>
<tr>
<td>ROW EA Open</td>
<td>470</td>
</tr>
<tr>
<td>PS&amp;E Submittal</td>
<td>551</td>
</tr>
<tr>
<td>Bid Opening</td>
<td>560</td>
</tr>
<tr>
<td>Forecasted 1st Note</td>
<td>735</td>
</tr>
<tr>
<td>Forecasted 2nd Note</td>
<td>790</td>
</tr>
<tr>
<td>Forecasted 3rd Note</td>
<td>796</td>
</tr>
</tbody>
</table>

• **Project Budget (Funding)**
  - Phase Total Estimated Cost – enter the current programmed STIP amount for each phase
  - Current Estimate – enter the current region estimate for each phase

• **Signatures** – All Fields will be checked for completion, and that signatures have been obtained

1.1.b. **ZERO-CMR**

The **Zero-CMR** (Change Management Request) will document any changes that have taken place from scoping (Final Business Case) and adopted STIP to what is being proposed in the Project Charter. The Zero-CMR is the baseline CMR. Any subsequent changes to the project will be consecutively numbered. A CMR will be triggered when the scope, schedule and/or budget at any major milestone moves out enough to cause subsequent milestone dates to move. Submit digitally signed Zero-CMR in the K#####_PI_Set (**PM_K#####_CMR_00**).

The Pre-Letting Specialist will check the Zero-CMR for the following:

- **Date of Request**
- **CMR Number**
- **Project Lead**
- **Project Name** – must match the name in STIP record *exactly (OR a change to the name is described in the CMR that can be matched with a STIP Amendment in progress)*
- **KN** (key number), **Region, Area**
- **Funding Programs** – participating funding programs have been identified
• Anticipated Amendments have been identified.
  o If “yes”, Supporting Documents have been attached
• Change - identified, and reason for that change has been clearly illustrated
• Current Scope - clearly illustrated
• Describe Scope Change - clearly illustrated (if applicable on the Zero-CMR vs the Business Case created at Scoping)
• Current Dates and Proposed Dates - proposed dates match the current RMS Schedule
• Describe Schedule Change - clearly illustrated
• Justification for Scope Change - clearly illustrated
• Phase Total Estimated Cost - (currently programmed in the STIP) has been completed for each phase
• Requested Budget - identified for any phase being changed
• Change - (in dollar amount) between the Phase Total Estimated and the Requested Budget has been entered for any changes made
• Describe Budget Change - broken down by Funding Program, clearly illustrated
• Justification for Budget Change - clearly illustrated
• Describe the Risk of not Approving the Budget Change - clearly illustrated
• Signatures
• CMR - approved/denied (one box checked)

1.1.c. PROJECT SCHEDULE
The MS Project Schedule must include the milestone phase gate dates, and the anticipated Bid Date of the project. The Pre-Letting Specialist will compare the MS Project Schedule submitted to the current published MS Project record to ensure the dates match, and match the dates in the Project Charter.

<table>
<thead>
<tr>
<th>Milestone</th>
<th>MSP Activity Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>PE EA Open</td>
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<tr>
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<tr>
<td>Project Initiation Phase Complete</td>
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</tr>
<tr>
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<td>325</td>
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<tr>
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</tr>
<tr>
<td>PS&amp;E Submittal</td>
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<tr>
<td>Forecasted 1st Note</td>
<td>735</td>
</tr>
<tr>
<td>Forecasted 2nd Note</td>
<td>790</td>
</tr>
<tr>
<td>Forecasted 3rd Note</td>
<td>796</td>
</tr>
</tbody>
</table>
*When scheduling a project with a Mandatory Pre-Bid meeting, include the required additional 2 weeks of advertisement length to your schedule. Be sure to clearly indicate in your project documentation that a Mandatory Pre-Bid meeting is intended.

1.1.d. SCHEDULING OF THE BID DATE AND PS&E SUBMITTAL DATE

The Pre-Letting Specialist will check the Bid Schedule to ensure that the desired bid date is available, and that the project Type of Work, and Budget do not conflict with projects previously scheduled on that date. If the date is available, it will be scheduled as desired and confirmed with the PE Lead. At this time, the PS&E Delivery due date will also be confirmed with the PE Lead. For additional considerations regarding Bid Date Scheduling, refer to the Scheduling section of this manual. The Pre-Letting Specialist will update both the Bid Schedule and STIP-FP with the new Bid Date. The Pre-Letting Specialist will then record the date this action was performed in the Attributes tab of the ProjectWise Project Initiation Set, and forward the set to the RMS Administrator for the Baseline Process. The RMS Administrator will record the date this action was performed in the Attributes tab of the Project Initiation Set, and send a confirmation email to the PE Lead. The Project is not scheduled for Bid until this process has been completed.

For detailed instructions on how to deliver the Project Initiation milestone requirements to the Project Controls Office, refer to the Project Initiation, DAP, PShE Phases Business Process in ProjectWise and the accompanying Project Initiation Narrative to Accompany PW Business Process.

<table>
<thead>
<tr>
<th>PROJECT INITIATION INTERNAL CHECKLIST</th>
<th>Yes</th>
<th>No</th>
<th>NA</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Does K#####_PL_Set contain the required documentation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Project Charter</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Zero-CMR</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Does the Project Name in the Project Charter match STIP FP record</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>exactly</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Does project scope in the Project Charter match project scope in</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>STIP FP</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Do all of the Project Schedule (Milestones) in the Project Charter</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>match the MS Project Schedules including Bid Let date</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Does the Project Budget (Funding) in the Project Charter match STIP</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>FP budget for all project phases</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Have all Region signatures been obtained on the Project Charter</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. Date Project was scheduled by PCO</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. Date Project was sent to RMS Administrator for Baseline Process</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Figure 1 - Project Initiation Internal Checklist Example
SECTION 2 – COMPLETING THE DESIGN ACCEPTANCE PHASE (DAP) STAGE GATE REQUIREMENTS

2.1. REQUIRED DAP DOCUMENTATION

At the end of Design Acceptance phase, the PE Lead and Project Team will prepare the documentation set that will be required for the project to be advanced through DAP. DAP stage gate requirements include the Certification of Design Acceptance with DAP Checklist, RMS Schedule, and the ODOT Design Narrative - DAP. Any supporting documentation to illustrate the project can be included, but it is not a requirement. This supporting documentation will be project-dependent, and vary depending on the type of project.

2.1.a. CERTIFICATION OF DESIGN ACCEPTANCE WITH DAP CHECKLIST

The Certification of Design Acceptance with DAP Checklist is two documents combined. The Pre-Letting Specialist will check that both the Certification of Design Acceptance and the DAP Checklist are attached. Submit digitally signed Certification of Design Acceptance with DAP Checklist in the PM_K###_DAC_##

The Pre-Letting Specialist will check the Certification of Design Acceptance to ensure all requirements have been met. In order to be accepted, the following must be confirmed:

- **Key Number**
- **Project Name** - must match STIP record *exactly*
- **Date** Certification of Design Acceptance was completed
- **Region**
- **County**
- **PE EA**
- **Project Description** - consistent with the “Project Description” field in STIP, but should expand on:
  - Project location
  - Opportunities and/or issues identified
  - Purpose and need this project is addressing
  - Description of work to be performed
  - What elements of the project are in scope, what elements are out of scope
  - Potential solutions to identified issues
  - Outcomes, goals and priorities of the project
  - Description of work to be performed
• **Project Schedule Milestones**
  - Baselined Dates must match the currently published MS Project Record dates for all phases

• **Project Budget (Funding)**
  - *Current STIP Obligation FFY (Federal Fiscal Year)* – identify the current programmed year for each phase
  - *MS Project FFY* – identify the current programmed year in MS Project
  - *Phase Total Estimated Cost* – identify the current estimated cost programmed in STIP for each phase
  - *DAP Estimate* – identify the current Region estimate for each phase
  - *Expended to Date* – identify the expenditures to date for each phase
  - *Total Project Funding/Estimate* – determine if the DAP estimate exceeds the current STIP programmed amount. **A CMR and STIP Amendment will be required if so.**

• **Statement of Project Readiness** – Check one box. If there are outstanding deliverables, the Pre-Letting Specialist will confirm that DAP Exception Letter(s) has been included in the set.

• **Signatures** – All Names, Titles and signatures have been completed

The Pre-Letting Specialist will check the DAP Checklist to ensure all requirements have been met. In order to be accepted, all Submittal Package Requirements must either indicate “YES”, “NO” or “N/A”.

*If any of the requirements have been checked “NO”, a DAP Exception Letter must be enclosed. Indicate presence of a DAP Exception Letter in the corresponding “Comments” section.*

2.1.c. ODOT DESIGN NARRATIVE - DAP
The ODOT Design Narrative – DAP (aka DAP Narrative) must clearly and concisely describe the project, including the purpose, scope and desired outcomes. Submit digitally signed ODOT Design Narrative – DAP in `K#####_DAP_SET (PM_K#####_DAPNarr_##).`

The Pre-Letting Specialist will check the ODOT Design Narrative – DAP to ensure all requirements have been met. In order to be accepted, the following must be confirmed:

• **Key Number**
• **Project Name** matches the STIP record *exactly*
• **Date** ODOT Design Narrative – DAP was completed
• **Region, County, Highway Name, BMP/EMP, Route Number, Highway Number**
• **PE EA**
• **PS&E Date**
• **Project Data**  
  o Each field of this section shall be completed by the appropriate discipline team member

• **Project Location and Overview** – description of the physical project location, area is clearly illustrated. A Photo in .jpg, .png., .bmp, or .tif should be included, if available

• **Project Management** - summary will include  
  o Changes to the project scope, purpose, need and design solution from what was included in the Project Charter.  
  o Changes to baselined schedule  
  o Changes to baselined budget as compared to STIP  
  o Project Risk/Outstanding Issues – includes mitigation strategies to address these identified risks (including footprint, resourcing, schedule, stakeholders, agreements from other entities, ROW hold-outs)  
  o Next steps are clearly illustrated

• **Intergovernmental Agreement (IGA)** – state of any associated IGAs and their number

• **Public Engagement** – Outreach efforts and Public Involvement Plan, clearly illustrated. Include link to project website, if created.  
  o Describe any public/political support, if applicable  
  o Include responses of stakeholders (petitions, correspondence, political commitments etc.)

• **Planning and Local Permits** – include any planning documents applicable to this project,  
  o Relevant design standards/projects/policies that are in effect  
  o Plans, designations, regulations or previously issued permits that could influence the design of the project  
  o Expected Local Land Use Permits (development, conditional use, floodplain, right-of-way, etc.)

• **Constructability** – all issues, staging concerns, construction window considerations, length of project completion time, advance construction, separate contracts are identified and clearly illustrated

• **Access Management** - Access Management Strategy, including impacts and risks is clearly illustrated

• **Roadway** – all design criteria, controls and elements are clearly illustrated, including ADA considerations

• **Alternatives Studied** – alternatives considered and criteria for selecting the preferred delivery option is clearly illustrated

• **Bicycle, Pedestrian and Transit Facilities** – existing and proposed improvements or maintenance on bicycle, pedestrian and transit facilities, clearly illustrated

• **Traffic Data** – include crash history, SPIS locations, and traffic unit recommendations

• **Traffic Safety and Operational Elements** – include planned illumination, signal, rumble strip, curve warning, ITS and other safety elements, clearly illustrated
• **Work Zone, Mobility, Staging and TPAR** – include a high level overview of
  o TMS used to manage the temporary work zone, identify the potential impacts and accommodations to the travelling public, including anticipated detours
  o Detail construction staging plans
  o Temporary Protection and Direction of Traffic plans with site-specific safety issues detailed

• **Pavement Marking and Permanent Signing** – signing and striping design elements, clearly illustrated

• **Hydraulic/Drainage/Stormwater** – describe any design deviations, hydraulic issues, and any approvals that are required, if applicable

• **Pavement Design** – describe
  o any alternatives that were considered
  o special features that have been included in the project
  o existing surface conditions
  o overview of the approach pavement design at bridge approaches, if applicable

• **Bridges** – describe
  o Design controls, criteria and innovations
  o Structural issues to be considered
  o Alternatives studies
  o Special design elements
  o ADA considerations
  o Value Engineering

• **Rail** – describe any involved rail crossings, rail crossing orders, any alterations to existing crossings, clearly illustrated

• **Roadside Development** – describe erosion control, planting plan and wetland mitigation plans

• **Other Structures** – detail any non-standard structures that are applicable to this project, including design controls, criteria and innovations

• **Geological, Material Source/Disposal Sites** – describe any geological considerations associated with this project, including
  o Federal, State or local permit requirements
  o Include a summary of the Geology Memo

• **Hazardous Materials** – summarize Hazmat Memo for this project

• **Geotechnical Considerations** – summarize Geotechnical Memo for this project, list any design deviations applicable, clearly illustrated

• **Environmental and Required Permits** – include
  o Wetland, Waterways and Water Quality
  o Biological threatened or endangered species
  o Fish Passage
  o Historic and Archaeology
• Visual Impacts
• Air, Nose or Energy Impacts
• 4f/6f
• Pre-Con Activity
• Socioeconomic Impact
• Erosion Control
  o List and describe any environmental variances, clearly illustrated

• **Survey Control and Right of Way Retracement** – include general limits, quality level utilities and special features, clearly illustrated

• **Right of Way** – List R/W Liaison, estimate cost of any acquisitions, their nature and any displacements possible

• **Utilities** – List utilities, including the issues and risks associated with this project
  o Include Draft Utility Conflict List
  o Considered extra conduits for Urban Growth Boundaries

• **Maintenance Elements** – list locations prone to potholing, cracking, sinking, slides or rock falls, etc.
  o Include any ODOT permits required
  o List any past HAZMAT incidents
  o Clearly illustrate the maintainability of proposed improvements

• **PDT Members** – list all members and their appropriate discipline

### 2.1.d. DAP EXCEPTION LETTER

If it is determined that any project components are missing at this stage, a [DAP Exception Request](#) form must be approved and included with the DAP Stage Gate submission set to PCO.

Need to expand on the Exception Letter when details are determined for turn-around time, and timing of submittal.

* For detailed instructions on how to deliver the Project Initiation milestone requirements to the Project Controls Office, refer to the [Project Initiation, DAP, PSnE Phases Business Process in ProjectWise](#) and the accompanying [Project Initiation Narrative to Accompany PW Business Process](#).

Refer to [Appendix H](#) for a Quick Guide of required documentation at each phase.
### SECTION 3 – PS&E SUBMITTAL SCHEDULING

The Project Controls Office (PCO) staff are available to meet and discuss projects prior to Plans, Specifications and Estimate (PS&E) submittal. Pre-PS&E submittal meetings are typically used to go over the Final PS&E Submittal Checklist and Final PS&E Completeness Checklist, and to discuss any open issues on a project. These meetings are highly recommended, especially for new providers and/or complex projects, and to help make sure the PS&E process goes quicker and smoother for everyone involved. To schedule a Pre-PS&E Submittal Meeting, contact the PCO Quality Assurance (QA) Engineer assigned to the project. The Bid Date Planning & Status Report (ODOT only) shows which PCO QA Engineer is assigned to the project. If your project does not yet have a QA Engineer assigned, contact the ODOT Pre-Letting Specialist.

![Figure 2- PCO DAP Internal Checklist](image)
If you need access to the Bid Date Planning and Status Report, please submit a request to the ODOT Pre-Letting Specialist. For designers outside of ODOT, please contact the PE Lead to determine the PCO QA Engineer assigned to your project.

Delivery dates and times mentioned throughout this guide are meant to be the delivery dates and times to PCO. Do not confuse these with the delivery dates established by Region Tech Centers or Federal Highway (FHWA).

Effective December, 2016 all ODOT Highway Construction projects that reach DAP after this date are required to be delivered to PCO via ProjectWise and utilizing digital signatures. The requirements for this have been added to this manual to assist all PE Leads in meeting these requirements. For more detailed delivery instructions for ProjectWise, refer to the Narrative for ProjectWise to Accompany the Workflow, and Appendix E.

Effective October 2, 2018, Project Delivery Leadership Team (PDLT) reviewed and approved the PS&E Workflow establishing ProjectWise PS&E submittal process. Refer to Appendix E.
For Price Plus Time (A+B) projects, inform the Pre-Letting Specialist that PCO’s Preconstruction Operations Administrator and State Specifications Engineer will need to provide the Region the supplemented Preconstruction Schedule of Items Bid Sheet for the A+B method.

For A+B and Price Plus Multi-Parameter projects Subcontractor Disclosure Form (SDF) does not apply. PCO’s Preconstruction Operations Administrator will need to set the AASHTOWare Project Preconstruction Letting Status setting to “ABCD”. This removes the SDF instructions and form from the BidX Config file.
3.1. BID DATE SELECTION

Many factors go into selecting a bid date for a project including technical resource availability, local government politics, construction staging and economic factors, funding timeframes, STIP planning and environmental constraints. The PCO owns and manages the ODOT Procurement Office (OPO) – Construction Contracts bid schedule, and may move projects forward or back when necessary. These accommodations will be made as early as possible. The Project Team should also be proactive in foreseeing delays and communicating reasons to reschedule the project to a later date with PCO.

PCO locks-in project bid dates 7 months in advance of the target bid date in STIP-FP. The long-standing on-time performance measure for PS&E delivery has been PS&E Acceptance On-Time. Effective September 5, 2018, this is defined as the percentage of projects whose PS&E packages achieve the PS&E acceptance milestone on or before the PS&E lock-in date. This means that the PS&E Acceptance On-Time measure is now a one-day buffer past the PS&E Lock-in date.

During the 7-month lock-in process, PCO will work to balance projects within the month. In general, larger projects (> $15 million) are separated to “solo” bid dates as one tool to facilitate competition. The target bid date will automatically be locked in if the project is scheduled within the 7-month lock-in window.

Bid dates are published for the public and contractors 12 months prior to the bid let date. Any changes to the bid date for a project should be made as soon as changes are known so the information in these posted reports is as accurate as possible. The schedule of upcoming projects pulls project information from both Microsoft Project (MSP) and STIP-FP, and is posted weekly on the OPO Letting Schedules website.

PDLT has developed a new performance measure, effective September 5, 2018. Bid Let On-Time is defined as the percentage of projects that reach bid letting on or before their target bid date. This measure is more meaningful to external stakeholders and better meets HB2017 accountability expectations.

PCO is available to discuss other factors that may impact your project bid date.

3.1.a. PRICE PLUS MULTI-PARAMETER BID DATE SELECTION FACTORS

Price plus Multi-Parameter (Multi-Parameter) projects have 2 separate bid dates; one bid date for the Technical Component Part Bid and one bid date for the Price Component Part Bid, as noted below:

- Technical Component Part Bid Closing and Bid Opening is to be scheduled on TUESDAYS ONLY, a minimum two weeks prior to the Price Component Part Bid Closing Date.
- Price Component Part Bid Closing and Bid Opening shall be scheduled on THURSDAYS ONLY and, if possible, is preferred to be the only project opening on the selected bid date.
3.2. TIMETABLE FOR PS&E SUBMITTALS

PS&E submittals are due at PCO NO LATER THAN 31 calendar days prior to the planned start of the advertisement period.

PS&E Submittal due dates are assigned by PCO at the time the project bid date is scheduled with the Pre-Letting Specialist. The ProjectWise links to the 3 PS&E Submittal sets that are sent to PCO must be included in an email before 8:00 am to be considered on time. If the PS&E submittal due date is on a Monday that is designated a holiday, the submittal is due at 8:00 am on the preceding Friday. If the PS&E submittal is received later than 8:00 am on the due date, it will be counted as submitted on the following day, and will be considered late.

3.3. ADVERTISEMENT LENGTH

The Code of Federal Regulations (23 CFR 635.112(b)) require federally-funded projects to have a minimum advertisement period of 3 weeks. For most projects, a 3 week advertisement period is reasonable. Longer advertisement periods (4 or 5 weeks) for larger or complex projects and during “busy” bidding seasons provide contractors adequate time to prepare their bid. Feedback from the contracting community has been supportive of longer advertisements for large or complex projects.

Minimum advertisement lengths are as follows:

<table>
<thead>
<tr>
<th>Approximate total biddable item estimate</th>
<th>Standard advertisement lengths</th>
</tr>
</thead>
<tbody>
<tr>
<td>&lt;$7,500,000</td>
<td>3 weeks</td>
</tr>
<tr>
<td>$7,500,000 to $14,999,000</td>
<td>4 weeks</td>
</tr>
<tr>
<td>&gt;$15,000,000</td>
<td>5 weeks</td>
</tr>
</tbody>
</table>

Additional Considerations:

- Size of project (typically measured by construction estimate)
- Complexity of project
- Location of project
- Requirement for a mandatory pre-bid meeting (automatic increase of 2 weeks to ad length)
- Special Bidding Requirements (alternative contracting method used)
- General level of overall ODOT and other bidding activity
- Contracting community’s capacity
- Political importance/liability of project (risk of not having project awarded)

It is at the discretion of PCO to assign longer advertisement periods to accommodate any of these factors in cooperation with the PE Lead.
3.3.a. A+B AND MULTI-PARAMETER ADVERTISEMENT LENGTH

Projects using A+B and Multi-Parameter methods require contractors to prepare and submit additional information in their bids. Both A+B and Multi-Parameter methods require longer advertisement periods to provide adequate time for contractors to prepare their bids and ODOT to evaluate and score the bids.

Minimum advertisement lengths are as follows (Advertisement times includes the additional 2 weeks for the required mandatory pre-bid):

<table>
<thead>
<tr>
<th>Alternative Contracting Method</th>
<th>Approximate total biddable item estimate</th>
<th>Standard advertisement lengths</th>
</tr>
</thead>
<tbody>
<tr>
<td>A+B</td>
<td>&lt;$7,500,000</td>
<td>6 weeks</td>
</tr>
<tr>
<td>A+B</td>
<td>$7,500,000 to $14,999,000</td>
<td>7 weeks</td>
</tr>
<tr>
<td>A+B</td>
<td>&gt;$15,000,000</td>
<td>8 weeks</td>
</tr>
<tr>
<td>Multi-Parameter</td>
<td>N/A</td>
<td>10 weeks</td>
</tr>
</tbody>
</table>

Additional Considerations:

- Size of project
- Complexity of project
- Location of project
- Special bidding requirements for the A+B and Multi-Parameter alternative contracting methods
- General level of overall ODOT and other bidding activity
- Contracting community’s capacity
- Political importance/liability of project (risk of not having project awarded)

It is at the discretion of PCO to assign longer advertisement periods to accommodate any of these factors in cooperation with the PE Lead.
3.4. PROJECT NAMING CONVENTION

ODOT has a standard naming convention for projects going into the STIP. The main goal of a project name is to identify where the project is taking place.

The basic convention is:

[Highway Route/Local Street Name]: [Begin Geographic Limit] – [End Geographic Limit]

The project title is to match the STIP project title exactly when spoken. For example “RD” and “Road” are spoken the same when read aloud. The format for contract plans is all capital letters. Due to character limits the words “Section” or “Project” might be left off the STIP name but need to be included on the plans. Both of these words can be abbreviated if required by space limits. Use “Sec.” or “Proj.” as the abbreviation. A section is defined as a continuous piece of roadway from one location to another. A project is defined as a single or multiple spot locations.

Acceptable Names:

US26: NW 185th Ave – Cornell Road
ORS3: Necanicum River Bridge
OR 82: Imbler Stormwater & Ped Improvements

Unacceptable Names:

Traffic Signal Upgrades, Unit
Rural Pavement Overlays
County Chip Seal

Do not confuse this with the ProjectWise File Naming Convention
SECTION 4 – COMPLETING THE FINAL PS&E SUBMITTAL CHECKLIST AND FINAL PS&E COMPLETENESS CHECKLIST

Operational Notice PD-02 requires that for Final PS&E Submittal the Region provide certainty of the completeness of a project for advertisement through Central Procurement. The four deliverables for Final PS&E Submittal identified by PD-02 are:

- PS&E Documents
- Construction Schedule
- Final PS&E Submittal Checklist signed by the accountable manager
- Quality Control Certification from technical resource providers.

The Final PS&E Submittal Checklist and Final PS&E Completeness Checklist are the certification from the Region that all items on the project are complete, or the proper exceptions have been granted, and that adequate funding exists to proceed with bid advertisement. The Final PS&E Submittal Checklist and the Final PS&E Completeness Checklist are combined into a single document, and are commonly known as the Final PS&E Submittal Checklist.

The Final PS&E Submittal Checklist (Page 1 of document) defines the items that must be delivered to PCO in order for the project to go to advertisement. Projects that are submitted with incomplete items on the Final PS&E Submittal Checklist may risk having their advertisement and bid opening date rescheduled. The requirements do not differ for projects delivered in ProjectWise vs. paper delivery, but the format of the deliverables does. There are two versions of the Checklist to accommodate these differences. The Final PS&E Submittal Checklist is the appropriate form to use when delivering mylar and paper. The Final PS&E Submittal Checklist for ProjectWise is the appropriate form when delivering all documents electronically. Individual Final PS&E Submittal Checklists have been provided for the A+B and Multi-Parameter methods. The correct checklist must be used in order to proceed with PS&E review.

Effective September of 2019, the Project End Date Calculator is required to be used in order to calculate an accurate EA closeout date for each project. There are two calculators available. The standard calculator shall be used for projects not requiring plant establishment. The 1 Year Plan Establishment calculator will be used when appropriate for that project.

The Final PS&E Completeness Checklist (Pages 2 thru 6 of the document) defines the items that must be completed by the Region in order for the project to go to advertisement, but are not submitted to PCO.
as part of the Final PS&E Submittal. Projects that are submitted with incomplete or missing items on the PS&E Completeness Checklist will require the approval of the Statewide Project Delivery Manager for advertisement. See PD-02 - Project Development Decision Structure for a description of the exception letter process.

If the Project Team is unsure about a particular checklist item, they should consult with the ODOT Technical Resource or the assigned PCO QA Engineer if the Technical Resource is not available.

The Region is responsible to ensure all items are completed and noted correctly on both checklists. Errors found after PS&E submittal could potentially delay the bid opening date.

4.1. PROJECT INFORMATION/SIGNATURE PAGE
The PE Lead will complete all necessary check-boxes and comments. Include all of the information required. Once completed the PE Lead will save the document as a .pdf and add all 5 of the signature fields (includes 2 for PCO) before placing any digital signatures on the document. Route to ODOT Area Manager and Region Tech Center Manager for Signatures. These signatures are required to be accepted for PS&E.
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The PE Lead should work with the Project Manager’s office to determine how many bidding documents will be required. If there is a question about how many documents have been typically sent out to the Region on past projects, please contact the ODOT Procurement Office – Construction Contracts Unit.

The Area Manager or Region Funding and Program Manager’s signature is assuring completeness of the project prior to bid as well as funding sufficiency. PCO will check to be sure designated funding covers the total estimated construction cost. If not, a plan to cover the shortfall must be described on the Final PS&E Submittal Checklist, page 1, to be accepted.

1. **Total Estimated construction cost** = TE $______ as of ____ Date
   (“Grand Total” from estimate)

2. **Programmed STIP-FP Funding** = STIP-FP $______ as of ____ Date
   (“Construction Phase; CURRENT EST” from STIP-FP)

**If EE exceeds STIP-FP Construction Funding explain Region’s plan for covering shortfall:**

The Region Technical Center Manager’s signature assures completeness and technical sufficiency of the project prior to bid.

The Final PS&E Submittal checklist is submitted in the ProjectWise K#####_PSnESet, with all accompanying documentation requirements. (SP_K#####_PSEChklst_##).

---

**K#####_PSnESet**

PSnE SET CREATED IN REGION
Saved to G_PSnE Folder
- PSnE Submittal Checklist
  - Civil Rights Goal Email
  - Estimate *
- Environmental Certification
- Fuel Escalation Worksheet
- Mobility Certification
- Project Construction Time Schedule
- Special Provisions Integrity Certification
  - Steel Escalation Worksheet
  - Risk Assessment Summary
  - Right of Way Certification
  - Utility Certification
When a project is re-bid, it is often due to a failed bid. Several factors can cause this, but often it results in a change of scope for a project. In order to ensure that all changes including updated project limits, new dates, and new bid items are captured correctly, all PS&E documents must be re-done and re-submitted. This will ensure that all documents reflect the correct information and will produce a valid contract document.

In order for PCO to process these documents correctly, we require the PE Lead to add “R” to the document name (i.e. OPL_K#####_PSnEChklst_01R), since the project retains the same set of ProjectWise files and the same project key number for the re-bid. PCO must be able to distinguish between the initial submission and the re-bid documents and to be able to sort the documents to ensure all the new ones have been reviewed.

4.2 FINAL PS&E SUBMITTAL CHECKLIST/ PS&E PACKAGE REQUIREMENTS

4.2.a. FINAL DESIGN PLANS (for all applicable non-bridge disciplines)
Provide a complete set of electronic, digitally signed plan sheets. Gray scale and color on plan sheets are not acceptable. Individual plan sheets must be included in the ProjectWise K#####_PlanSet.

K#####_PlanSet

PLAN SET CREATED IN REGION
Saved to 6_PSnE Folder

-Title Sheet (signed by Tech Ctr Manager)
-Individual Plan Sheets (pdf and signed)

Check Expiration date on stamps
Submit the completed, Professional of Record (POR) digitally stamped and sealed plan set.

1. Title Sheet
   a. **Project Name**: The project name on the Title Sheet must match the official STIP project name **exactly**.
      i. **Drafting Standards**: Format the Title Sheet according to Volume 1, Chapter 4 of the *Contract Plans Development Guide* (CPDG), and *Contract Plans Manual (3.6)*.
   b. **Title Sheet must include** ALL of the following:
      i. **Signature Block**: Digitally stamped signature block from the ODOT CAD Workspace. **Project ID#:** For federally funded projects, the current construction phase Project ID# (formally the Federal Aid #) assigned to the project by the ODOT Program and Funding Services Unit.
      ii. **Must display** the “Final Electronic Document Available Upon Request” statement below the signature block.
      iii. **The signature must read** “Digitally Signed (Date)” only (unless it is a landscape architect-signed sheet – those read “Digital Signature”) **All signatures will be validated individually by OPL**.
   iv. **Type of Work**: The Type of Work is not the same as the Class of Work listed in the Special Provisions. There are eight major types of work; Grading, Drainage, Structures, Paving, Signing, Illumination, Signals and Roadside Development. Refer to **CPDG** Volume 1, Chapter 4, page 8 for additional information.
v. **Bid Date:** The month and year the project will be bid.

![Project Image]

2. **Plan Sheets**
   a. **Roadway V-Numbers:** The Roadway V-Numbers are established approximately 90 days before bid opening. The V-Numbers are obtained from [ODOT’s Maps and Plans](https://www.odot.state.or.us/maps-plans) website. Roadway V-Numbers are reassigned every November 1st. If a V-Number is assigned to a project for any bid opening through October but the project is delayed beyond the last October bid opening date, a new V-Number will be required and a new request must be made. Contact the [ODOT Maps and Plans Center](https://www.odot.state.or.us/maps-plans) at 503-986-3034 for questions regarding V-numbers.

<table>
<thead>
<tr>
<th>Series</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Title Sheet</td>
</tr>
<tr>
<td>B</td>
<td>Roadway Details</td>
</tr>
<tr>
<td>C</td>
<td>Roadway Construction (main line)</td>
</tr>
<tr>
<td>D</td>
<td>Roadway Construction (match line alignments)</td>
</tr>
<tr>
<td>E</td>
<td>Traffic Control</td>
</tr>
<tr>
<td>F</td>
<td>Roadside Development/Erosion Control/Wetland Mitigation</td>
</tr>
<tr>
<td>G</td>
<td>Geotechnical</td>
</tr>
<tr>
<td>H</td>
<td>Hydraulic</td>
</tr>
<tr>
<td>Q</td>
<td>Permanent Pavement Markings</td>
</tr>
<tr>
<td>R-Z</td>
<td>Outside Agency Plans</td>
</tr>
<tr>
<td>J</td>
<td>Bridge</td>
</tr>
<tr>
<td>K</td>
<td>Intelligent Transportation Systems</td>
</tr>
<tr>
<td>L</td>
<td>Signs</td>
</tr>
<tr>
<td>M</td>
<td>Signals</td>
</tr>
<tr>
<td>N</td>
<td>Automatic Traffic Recording</td>
</tr>
<tr>
<td>P</td>
<td>Illumination</td>
</tr>
<tr>
<td>I</td>
<td>Not Used</td>
</tr>
<tr>
<td>O</td>
<td>Not Used</td>
</tr>
</tbody>
</table>

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b. **Project Limits:** The project limits define the limits of the major components of a project for FHWA. Most of the time paving is the major work thus the paving limit would be the project limit. If there is minor work beyond the paving limit, the contract limit is shown. This lets FHWA know that they have not paid for pavement twice when the adjacent project is worked on. On a project with no pavement such as a sign or guardrail project, it would be the limits of that work. Also, this project would not have “paving” in the type of work.

```
BEGINNING OF PROJECT
SA00(054)
M.P. 64.58

END OF PROJECT
SA00(054)
M.P. 151.45
```

c. **Professional Certification:** Professional certification by insertion of POR’s Digital Stamp is required on all plan sheets except the Standard Drawings, Title Sheet and Index of Drawings sheet. This shall be presented in .pdf format with digital signature in place. See Technical Directive TSB11-02(D) – Documents Requiring Professional of Record Seal for additional direction.

d. **Index of Sheets:** Include all of the required Standard Drawings on the Index of Sheets. The final contract plans are compiled with the Standard Drawings on this list only. Standard Drawings not listed on the Index of Sheets will not be included in the final contract plans for construction. (Standard drawings are added by the ODOT Procurement Office at time of assembly of the Contract Plans for Construction.)

e. **Traffic Signal Plan Sheets:** All Traffic Signal drawings require review by the ODOT Traffic Roadway Section (TRS). The Traffic Signal drawings require approval of TRS if the signal items are on a State highway. If the Traffic Signal drawings have not been digitally signed by the TRS, coordinate with the PCO QA Engineer to get the signatures. Before the TRS places their digital signature, ensure there was a signature field placed for the TRS before the POR placed their signature in the seal. If this has not been done, the sheets cannot be signed by the TRS without invalidating the POR’s signature. If the signal items are on the local system, the local or consultant POR will sign the Traffic
Signal drawings. See the ODOT Traffic Standards website for more information on the Traffic Signal Design Approval process.


4.2.b. COMPLETED ENVIRONMENTAL DOCUMENTATION
The majority of ODOT projects are classified as Categorical Exclusions (CE’s) under the National Environmental Policy Act (NEPA). The type of documentation required for a project depends on the level of environmental impacts the project will have. There are different documentation and approval requirements for each NEPA classification assigned to the project as follows:

NEPA Class 1 or Class 3: If the Project is NEPA Class 1 or Class 3, an Environmental Impact Statement (EIS) or Environmental Assessment (EA) is required and must be completed and approved by FHWA prior to the authorization of construction funds.

NEPA Class 2: If the project is NEPA Class 2 (Categorical Exclusion (CE)), which the majority of ODOT projects are, the fully signed CE Closeout Document (CE Closeout) or Programmatic CE Approval Document (PCE Approval) must be completed and signed by the Region Environmental Coordinator (REC) and submitted to FHWA for approval. PCE Approvals are reviewed and approved by ODOT (via Region Environment Managers) as per the 2015 PCE Agreement between FHWA and ODOT, and CE Closeouts are reviewed and approved by FHWA. Another type of NEPA PCE approval document is called the “No Ground Disturbance” PCE (NGD) document. The fully-signed CE Closeout, Approval, or NGD documents must be submitted with the PS&E package. This item cannot be a PD-02 Exclusion.

Submit one copy of the digitally signed CE Closeout or PCE Closeout Document in .pdf format in the K######_PSnESet. (EN_K######_CE_##), (EN_K######_PCE##), or (EN_K######_NGD_##). Do not include any CE, PCE or NGD attachments; these will remain in the Region project files.

For questions regarding Environmental Documentation, contact the Region Environmental Coordinator (REC) or the Region Environmental Manager.
4.2.c. PROJECT SPECIAL PROVISIONS

All Project Special Provisions must be based on the current version of the Oregon Standard Specifications for Construction and the current Boilerplate Special Provisions available on the PCO Specifications website.

The Project Special Provisions are developed and compiled according to The Specification and Writing Style Manual. The expectation is that the Standard Specifications and Boilerplate Special Provisions will be used unless there are project-specific, special circumstances that warrant the use of something different. If modifications to the Standard Specifications or Boilerplate Special Provisions are warranted, the expectations and guidance in TSB12-01(B) – Project Specific Special Provisions must be followed. Each Region has developed a process to ensure adequate communication and approvals have been received for any modifications. If the Region process requires completion of the Project-Specific Provisions Summary form, 734-2798, it will be completed and maintained in the Region project files. A copy is not submitted as part of the PS&E submittal.

Class of Work: The Class of Work (COW) determines which contractors will be allowed to submit a bid on the project. Contractors must be pre-qualified in the stated Class of Work. The Class of Work Spreadsheet is used to determine the appropriate COW. If the COW is determined initially at Advanced Plans, it must be recalculated using the PS&E Estimate values just prior to submittal of the PS&E package. At PS&E submittal, OPL will perform a validation check on the COW for accuracy. Any discrepancies noted will be brought to the attention of the PL/LAL by the Senior Specifications Engineer before any change is made.

Contact the PCO QA Engineer or ODOT Sr. Specifications Engineer if you have any questions on how to establish the COW for a project.

Some additional fundamental requirements for the Project Special Provisions include:

- Every work item identified on the project Plans must have a corresponding Specification showing the method of measurement and payment. There are NO EXCEPTIONS to this rule.
- The project completion date must be shown in subsection 00180.50(h) and these three entries must match exactly. Any interim completion dates must also be shown.

Submit one electronic copy of the project Special Provisions (SP_K#####_BidSP_##) as a word document showing track changes in the ProjectWise K#####_BidSet.

4.2.c.1. A+B AND MULTI-PARAMETER PROJECT SPECIAL PROVISIONS

For projects that have Statewide Project Delivery Branch and OPO Operations and Construction Managers’ concurrence to utilize A+B or Multi-Parameter methods, the Unique Special Provisions, Special Provisions cover sheets and Bid Booklet cover sheets, and the Supplemental Preconstruction Schedule of Items Bid Sheet boilerplates for these alternative contracting methods are available from PCO’s State Specifications Engineer.
4.2.d. POR CERTIFICATION

The POR is responsible for the appropriate selection and application of Specifications to their project design, and for sealing the POR Certification (aka “Signature Sheet”) certifying the Special Provision sections that are included in their design. Stamped and digitally signed, the POR Sheets will be included as individual files in the K#####_Bid_Set (SP_K#####_POR_ABC) (ABC = POR’s initials) as part of the PS&E Submittal. The Part 00100 section of the Specifications should not be included on the POR Certification, or stamped. These are the charge of the ODOT Sr. Specifications Engineer, and are covered under the Project Special Provision Integrity Certification (see Section 2.1.f.) If addenda modifying the Project Special Provisions are issued, then a new Signature Sheet is required to be completed when the final Contract Special Provisions are submitted. The new Signature Sheet will be incorporated into the contract.

The project Specification Writer is responsible for providing the .pdf formatted project Signature Sheets to the PORs for signature, signing the compliance with the “Modified Exemption from DOJ Legal Sufficiency Review and Approval for ODOT Highway Construction Contracts” (Signature Sheets 1), and compiling the final Project Special Provisions.

Refer to TSB11-01(D) – Professional Sealing of Project Special Provisions, and TSB11-02(D) – Documents Requiring the Seal of Licensed Engineers, Land Surveyors, Geologists, Landscape Architects and Photogrammetrists for information on what Special Provision sections do, and do not, require a professional digital seal.

![POR Certification Sheet Example](image_url)

**Figure 3 - POR Certification Sheet Example**
4.2.e. SPECIAL PROVISION INTEGRITY CERTIFICATION


Oregon State Statute requires that the Department of Justice (DOJ) review all State contracts for legal compliance. Since the Standard Specifications and Special Provisions become part of a binding project construction contract, they must adhere to this requirement. Fortunately, because of the volume of projects, ODOT has been given an exemption from full legal sufficiency review, provided the conditions listed in the DOJ Class Exemption are strictly adhered to:

A. “Other than the fill-in-the-blank portions of the Part 00100 series of Specifications, ODOT and its contractors shall not add to, delete from or otherwise modify the Part 00100 – General Conditions, relating to general legal requirements without first obtaining DOJ approval.”

B. “…ODOT shall not add any general legal requirements to the Part 00200 through 03000 series of the Specification (including warranties, surety bonds, liquidated damages, penalties, bonuses, incentives, disincentives or general legal requirements of the type addressed in the Part 00100 series of Specifications) without first obtaining DOJ approval”

There are two different Special Provision Integrity Certification templates available on the PCO Website:

1. **Certification without modification**: This documents that the current Boilerplate Special Provisions were used, and that no changes have been made to the part 00100’s.

2. **Certification with modification**: This document certifies that the current Boilerplate Special Provisions were used, and that modifications were made that required review and acceptance. The modified specification sections must be listed.

One digitally signed Special Provisions Integrity Certification sheet must be included in the K#####_PSnESet, signed by the Region Specification Writer, with each project. *(SP_K#####_SIC)*
4.2.e.1. A+B AND MULTI-PARAMETER DOJ REVIEW FOR LEGAL COMPLIANCE

A+B and Multi-Parameter Unique Special Provisions, Special Provisions cover sheet and Bid Booklet cover sheets, and the Supplemented Preconstruction Schedule of Items Bid Sheet are outside of the exemption from DOJ legal sufficiency review and require full DOJ legal sufficiency review and approval.

4.2.f. DBE GOALS

DBE goals are included in project Special Provisions only on federally funded projects when required by the Office of Civil Rights (OCR). The DBE Goal page in the Special Provisions is required to be included even when the DBE Goal is zero. The OCR DBE goal calculation must be dated within 90 days of PS&E Submittal, or a request to OCR for confirmation is required.
Submit one .pdf copy of the email from OCR showing the assigned DBE Goal for the project in the K#####_PSnESet (SP_K#####_DBEGoalIssue_##).

OCR will assign Goals, Aspirational Targets and OJT hours based upon the project dollar value at the time the assignment is requested. If any modifications to the project design either increase or decrease the overall project cost, or the project is delayed more than 3 months, contact OCR to confirm if the project Goals/Targets are affected. This must be done prior to PS&E submittal.

4.2.g. ON-THE-JOB (OJT) HOURS

On-the-Job Training (OJT) hours, or Reimbursable On-the-Job/Apprenticeship Training hours are included in the project Special Provisions when required by OCR.

The OJT hours will be sent via email from OCR. Submit one electronic .pdf copy of the email from OCR. If the project contains both a DBE Goal and OJT hours, and the information is combined in one email from OCR, only submit one .pdf copy of the email.

4.2.h. PS&E COST ESTIMATE

Refer to the Project Controls Office Estimating Unit for assistance with training, access and in completing the PS&E Cost Estimate.
4.2.i. PROJECT CONSTRUCTION TIME SCHEDULE
The Project Construction Time Schedule is required as a legal document used in developing the contract completion date. It may also be used by the construction staff if claims associated with contract timing arise.

When preparing the construction schedule events, the contract award schedule elements need to be included (i.e. Activities post-bid opening through official Notice to Proceed). Refer to Standard Specification Section 00130 for legal time limits for the contract award period. The construction schedule must also show any time restrictions, such as in-water work period or migratory bird (clearing and grubbing) restrictions.

Submit one legible, .mpp (Microsoft Project) formatted, full-color electronic copy of the Construction Time Schedule in the K#####_PSnESet (SP_K#####_CTE_##).

Backup data used to develop the Construction Time Schedule is expected to be retained in the Region file for schedule review and/or validation audit.

4.2.i.1. A+B PROJECT CONSTRUCTION TIME SCHEDULES
For A+B Projects, in addition to the Project Construction Time Schedule required in Section 4.2.i prepare an accelerated Project Construction Time Schedule showing maximum and minimum calendar days to complete the project based on the following construction timeline scenarios:

- The Contractor working extended or extra shifts
- Additional workers and crews for 6 or 7 days a week
- Other accelerated construction means and methods

Prepare a schedule comparison of the Construction Time Schedule timeline and the accelerated Construction Time Schedule timeline.

Submit one legible, .mpp (Microsoft Project) formatted, full-color electronic copy of the Construction Time Schedule in the K#####_PSnESet (SP_K#####_CTE_##).

Submit one legible, .mpp (Microsoft Project) formatted, full-color electronic copy of the accelerated Construction Time Schedule in the K#####_PSnESet (SP_K#####_CTE_##).

Submit one legible, .mpp (Microsoft Project) formatted, full-color electronic copy of the schedule comparison of the Construction Time Schedule timeline and the accelerated Construction Time Schedule in the K#####_PSnESet (SP_K#####_CTE_##).

Backup data used to develop both of the Construction Time Schedules and the accelerated Construction Time Schedules is expected to be retained in the Region file for schedule review and/or validation audit.
4.2.j. FUEL AND STEEL ESCALATION WORKSHEETS

Fuel Escalation Worksheet:

The Fuel Escalation Worksheet is required to be completed on every project. If no bid items on the worksheet qualify for fuel escalation, you must still submit the worksheet showing it was filled out. The most current version of the Fuel Escalation Worksheet is posted on the PCO Website. Contact ODOT Estimating for more assistance with the Fuel Escalation/De-Escalation process.

Submit one electronic Fuel Escalation Worksheet, excel format, in the K#####_PSnESet. (SP_K#####_FuelEsc_##).

Steel Escalation Worksheet:

For projects with qualifying steel components (most commonly bridge or traffic signal projects), the Steel Escalation Worksheet needs to be completed. If no bid items qualify for Steel Escalation, you must still submit the Steel Escalation Worksheet with no bid item information filled in showing it was completed. The most current version of the Steel Escalation Worksheet is posted on the PCO Website. Contact ODOT Estimating for more assistance with the Steel Escalation/De-Escalation process.

Submit one electronic Steel Escalation Worksheet, excel format, in the K#####_PSnESet. (SP_K#####_StlEsc_##)

4.2.k. PROJECT RISK ASSESSMENT SUMMARY

The Risk Assessment Tool is used to assist in the development of insurance requirements for the project. The Risk Assessment should be completed by the PE Lead on-line. This tool is available to internal ODOT staff only. Consultants can complete the Risk Assessment Questions at Risk Assessment. The Risk Assessment output information is used to identify insurance amounts to be included in the Project Special Provisions, Section 00170.70(a).

For projects with additional liability coverage, including pollution, asbestos or lead, concurrence from the ODOT Risk Coordinator is required.

Refer to the Project Delivery Leadership Team – Operational Notice PD-15 for additional guidance. If additional support is required, contact the ODOT Risk Coordinator at (503) 986-5781.

Submit one electronic .pdf copy of the Risk Insurance Assessment output in the K#####_PSnESet. (SP_K#####_RiskAss_##). Attach a copy of the concurrence from the ODOT Risk Coordinator if the project has additional pollution, asbestos or lead liability coverage.
4.2.1. RIGHT OF WAY CERTIFICATION
A Right of Way Certification form must be completed and signed by the Region Right of Way Manager for all projects. PS&E submittals without a Right of Way Certification cannot be accepted and will cause the project bid date to be delayed.

Effective August, 2018, all Right of Way Certifications must contain a Right of Way map before submittal for approval as per FHWA requirements.

The Right of Way Certification cannot be requested as an incomplete item on PD-02 Exception Letters. The project will be re-scheduled if a PSnE package is submitted without a Right of Way Certification.

Certification Exceptions (aka “Holdouts”) listed in Section 8 of the Right of Way Certification require a Letter of Public Interest Finding (LPIF) showing why it is in the public’s best interest to proceed with the project at that time rather than delay advertisement until the right of way acquisition and relocation work is complete. The LPIF is completed and approved by the Area Manager (see ODOT Right of Way Manual, Section 10.500) Right of Way Certification Exception LPIF’s are not included in the PS&E Submittal.

Submit one electronic .pdf copy of the signed Right of Way Certification form in the K#####_PSnESet. (RW_K#####_RWCert_##).

4.2.m. UTILITY CERTIFICATION FORM
The Utility Certification form must be completed on all projects. This form certifies that all utility work has been completed, or that all necessary arrangements have been made for it to be undertaken and completed as required for proper coordination with the construction schedule.

Submit one electronic .pdf copy of the signed Utility Certification form in the K#####_PSnESet. (U_K#####_Cert_##).

4.2.n. BUY AMERICA WAIVERS
The Federal Highway Buy America provisions apply to all Federal-Aid Highway Construction Projects. These provisions limit or prohibit the use of foreign iron and steel products and their coating.

In 2011, the Moving Ahead for Progress in the 21st Century Act (MAP-21) amended the Buy America Provisions. Specifically, Section 1518 of MAP-21 requires the application of Buy America to all contracts within the scope of the same NEPA document, if at least one of the contracts or agreements contain federal funds. This means a project funded solely with state or local funds COULD require the application of Buy America Provisions.

During project Development, the Project Team will need to be aware of the Buy America requirements. It is important to investigate the availability of domestically produced products in order to know if a waiver will be needed. As soon as it is apparent foreign materials must be incorporated into a project, a
Buy American waiver will need to be requested. As early in the project delivery process as possible, the PE Lead should contact FHWA to initiate the development of the Buy America waiver request.

On March 13, 2008, FHWA revised the approval procedures for Buy America waiver requests. All waiver requests must now be reviewed and approved in Washington D.C. Since this new procedure was implemented, waiver requests have taken on an average between 6 to 12 months to complete (either approved or denied). Additional information on Buy America is available on the FHWA site. Within this site you can find a Question and Answer guide for commonly asked questions.

Previously approved Buy America waivers for all states are listed by FHWA.

Keep in mind that Buy America is a separate and distinct project from Buy American. Buy American applies to all federal direct procurements; it covers approximately 100 products and has completely different rules. Requirements are found in 41 U.S.C. 10(a)-10(c). Buy American provisions do not apply to federally funded highway construction projects.

If a Buy America Waiver has been applied for, and approved by, FHWA, submit one electronic .pdf copy of the approved waiver in the K######_PSnESet. (PM_K######_BAW_##).

4.2.o. PD-02 EXCEPTION LETTER
The term PD-02 refers to Project Delivery Notice 02. PD-02 discusses the accountability and process guidance for the project delivery on state and local projects. PD-02 requires the completion of the Final PS&E Submittal Checklist and the Final PS&E Completeness Checklist prior to entering the PS&E phase.

A PD-02 Exception Letter is required for any item that is not complete at PS&E (Marked “NO” on the PS&E Completeness Checklist). When a PD-02 Exception Letter is required, the signed, approved letter must accompany the PS&E Submittal. The PS&E review will not begin until all items are complete or a signed PD-02 Exception Letter is submitted. Not having this completed at the beginning of the PS&E timeframe will likely delay the bid date.

A PD-02 Exception Letter is NOT accepted for Right of Way Certification exceptions (“holdouts”) provided they are properly listed and certified by the responsible manager with the Delegated Authority.

PD-02 Exception Letters provide a mechanism to request authorization allowing a project to proceed to advertisement with some incomplete PS&E submittal requirement(s). Template for the PD-02 Exception Letter is available on the PCO web site. Consultation with PCO is recommended prior to sending the final letter for signature to assure the proposed resolution dates translate correctly to the requested milestone.
The exception letter must list all outstanding items and include for each item:

- A resolution plan,
- The exception resolution date,
- Permission to proceed to which milestone (PS&E submission, printing, advertisement); and
- The responsible person for each outstanding item.

The following items **CAN NOT** be requested as incomplete items on PD-02 Exception Letters. If these items are not completed at the time of PS&E submittal, or submitted as part of the PS&E Submittal Package, the project will be delayed to a later bid opening date:

- Plan sets and Bridge plans
- Completed Environmental Documentation
- Special Provisions (with all required signature pages stamped)
- Special Provision Integrity Certification
- Office of Civil Rights Documentation
- Cost Estimate in PreCon
- Project Construction Time Schedule
- Right of Way Certification
- Buy America Waiver
- Final PS&E Submittal Checklist, signed by Area Manager and Tech Center Manager
- Project Risk Assessment Summary
- Project Design Exceptions
- Project Mobility Considerations Checklist

On rare occasions a PD-02 Exception Letter may be accepted for a project that has not completed the Categorical Exclusion Closeout Documentation, but the project must also have approval from FHWA (email acceptable) to go forward without the completed environmental documentation.

By default, approved PD-02 exception letters are assumed to authorize projects to proceed to advertisement only. Projects will not be allowed to proceed to bid opening, project award or issuance of Notice to Proceed, unless explicitly requested in the PD-02 Exception Letter, and approved by the Statewide Project Delivery Manager. Permission to proceed to bid opening and later is extremely rare and discouraged.

An approved PD-02 Exception Letter is only the Agency’s permission to proceed to the approved milestone (for example: permission to proceed to advertisement). FHWA must also approve the project proceeding to advertisement for any project with Federal funds. There is not an additional signature required by FHWA, simply the approval in their FMIS system which obligates all ODOT projects with federal funds.
Submit the PD-02 Exception Letter to the ODOT Pre-Letting Specialist as early in the process as possible. Region will save the file to the ProjectWise Project Management folder, using the naming tool and send a link to the document to the Pre-Letting Specialist. Signature fields must be placed for PCO, the Chief Engineer and the Statewide Project Delivery Manager before any region signatures are placed. PCO will obtain the required signatures, and return a confirmation of the signed PD-02 Exception Letter to the submitter for inclusion in the K#####_PSnESet. (PM_K#####_PD02EX_##)

4.2.p. PROJECT MOBILITY CONSIDERATIONS CHECKLIST
As required by PD-16 – Highway Mobility, a signed Project Mobility Considerations Checklist must be submitted with the PS&E Submittal for all projects. Include any emails indicating Motor Carrier Transportation Division (MCTD) and Trucking Industry support with any project restrictions identified in the Special Provisions.

Submit one .pdf copy of the signed checklist and any supporting emails in the K#####_PSnESet. (TZ_K#####_TMPMC_##)

4.2.q. TRIBAL EMPLOYMENT RIGHTS OFFICE (TERO)
Are there Indian Preference Requirements on this project? If so, note which tribe and at what percentage on the Final PS&E Submittal Checklist.

4.3. FINAL PS&E COMPLETENESS CHECKLIST

4.3.a. STATE REQUIREMENTS – A+B AND MULTI-PARAMETER FINDINGS OF FACT FOR EXEMPTION
A+B and Multi-Parameter projects require an approved finds of fact for exemption from the State’s competitive bidding requirement prior to project advertisement. The Region is responsible for ensuring that the ODOT Director approved the final Findings of Fact for Exemption (FFE) from competitive bidding requirements under ORS 279C.335(1) before PS&E submittal. If the ODOT Director has not approved the final FFE, the project cannot be advertised as an A+B or Multi-Parameter project.

4.3.b. FHWA REQUIREMENTS
STIP AMENDMENTS: Has the OTC and FHWA approved any related STIP Amendments?
Contact your region STIP Coordinator to ensure that all STIP amendments have been approved. STIP amendments must be approved by both the Oregon Transportation Commission (OTC) and FHWA prior to PS&E Submittal. No documentation added to K#####_PSnESet, but checkbox on Final PS&E Submittal Checklist must be completed.
**PROJECT DESCRIPTION:** Does the project description match the current published STIP project description?

The description of the project as described in the “Work to be Done” section of the Special Provisions, the project description on the environmental documentation, and the project description in the approved STIP need to be the same. They don’t have to match verbatim, but should describe the same project (should not say “Replace Bridge in the STIP and then say “Repave MP 2 – 5” in the environmental document). The approved STIP is updated online regularly (with every amendment and update). Verify the most current version of the STIP on the website, not a printed copy.

PE Leads should recognize when STIP changes are required and work with the STIP Coordinator for their region to complete them prior to PS&E delivery. Common situations that require a STIP update are project name changes, changes in project limits, and combining multiple key numbers under one project key number.

**INTERCHANGE MODIFICATION REQUEST:** Has FHWA approved the Interchange Modification Request regarding additional interchanges to the interstate system?

FHWA publishes the [Interstate Access Points](https://www.fhwa.dot.gov/interchanges/accesspoints/) and Policies on their website.

Contact the [Senior Interchange Engineer](mailto:senior-interchange-engineer@odot.state.or.us) or [Interchange Engineer](mailto:interchange-engineer@odot.state.or.us) for more information or questions about interchanges or Interchange Modification Requests.

### 4.3.b.1. MULTI-PARAMETER FHWA REQUIREMENTS

In addition to the FHWA approval requirements in Section 4.3.b, Multi-Parameter projects with Federal Finds require an approved Special Experimental Project No.14 (SEP-14) work plan prior to project advertisement. The Region is responsible for ensuring that FHWA approved the SEP-14 Work Plan before PS&E Submittal. If FHWA has not approved the SEP-14 work plan, the project cannot be advertised as a Multi-Parameter project.

### 4.3.c. DESIGN DOCUMENTATION

**ROADWAY DESIGN EXCEPTIONS:** Have all required Roadway Design Exceptions been approved by the ODOT State Roadway Engineer and FHWA (when required)?

Design Exceptions are explained in the ODOT Highway Design Manual, Chapter 14. At the point of PS&E submittal, Design Exceptions must be approved by ODOT and FHWA (if required).

Design Exception status is available on the Roadway Engineering [Design Exceptions](https://www.odot.state.or.us/) site.

**BRIDGE DESIGN DEVIATIONS:** Have all required Bridge Design Deviations been approved by the ODOT State Bridge Engineer and FHWA (when required)?

Bridge Design Deviations are explained in the ODOT Highway Design Manual, Chapter 14. At the point of PS&E Submittal, bridge design deviations must be approved by ODOT and FHWA (if required).
STATEMENTS OF TECHNICAL REVIEW (STR): Are all STR’s completed and on file?

Each discipline will complete and submit a Statement of Technical Review (STR) as an independent technical review to verify that the work completed on the project complies with established ODOT policies, standards, principles and procedures. The STR also covers the review and consideration of comments submitted and any assumptions, exceptions, evaluated alternatives, and constructability issues. The items covered by the STR reflect the project as outlined in the project prospectus and developed by the Project Team.

The STR’s are submitted to the Region Technical Center Manager for their review of the technical sufficiency of the project. STR’s for the project should be kept with the provider’s project file for archiving.

1R PROJECTS: Has the project been approved for 1R by both the ODOT Pavement Services Engineer and ODOT Region Roadway Manager and included on the 1R Tracking Spreadsheet?

The ODOT 1R Program requirements are outlined in *Technical Bulletin TSB 09-01(B). 1R Projects require approval by the Region Roadway Manager and the Pavement Services Engineer in Technical Services. 1R projects also need to be tracked for reporting purposes to the Chief Engineer, the 1R Steering Committee and FHWA. Complete and submit the 1R Project Tracking Spreadsheet to the ODOT Roadway Engineer, prior to PS&E Submittal.

*Currently being revised (10/25/18)

LETTERS OF PUBLIC INTEREST FINDING (LPIF): Have all required LPIF’s been submitted and approved? Have all approved LPIF’s been uploaded to the Electronic Bidding Information System (eBIDS)?

Letters of Public Interest Finding (LPIF) are required to document why it is in the public’s interest to not follow a Code of Federal Regulations (CFR) or Oregon Statute requirement.

FHWA requires competition not only for the award of a construction contract, but also competition for the various materials and processes involved in the work. Whenever competition for materials or processes is eliminated, a LPIF is required.

Examples of materials or processes that require a LPIF are:

- Patented or proprietary materials
- Agency Supplied material
- Salvage materials
- Work performed by Utilities, Railroad or Agency forces
- Publicly-owned equipment
- Mandatory Disposal site
Guidance and instructions for developing and processing LPIF’s can be found in the [LPIF Guidance Document](#) on the PCO website. LPIF Templates are also on the [PCO Website](#).

Once completed, the LPIF is added to the Project Management ProjectWise folder, and a link to the document is sent to the [Pre-Letting Specialist](#). The LPIF will be reviewed and, if accepted, forwarded to the PCO Manager (delegated from the State Traffic-Roadway Engineer) for approval.

The LPIF must be submitted and approved at least two weeks prior to PS&E Submittal. It will be sent to PCO as a ProjectWise link, with a signature field placed for PCO Manager before being signed in region. LPIF’s are [not](#) added to the K#####_PSnESet.

The project team is encouraged to address approval early. If the request is not approved, changes to the contract documents (and potentially the schedule) could result.

The PE Lead is responsible for uploading the approved LPIF as a Bid Reference Document in Electronic Bidding Information System ([eBIDS](#)). The PE Lead can upload Bid Reference Documents between the PS&E due date and the day prior to advertisement, as soon as the project is accepted by PCO and loaded into the system by the eBIDS Administrator in PCO. If a need for a LPIF is identified after project award, contact the [ODOT Contract Administration Engineer](#) for guidance.

**BID REFERENCE DOCUMENTS: Have all required Bid Reference Documents (such as Hydraulic Reports, Pavement Reports, Geotechnical Reports) been loaded into eBIDS?**

Bid Reference Documents are the technical documents and reports that may be referenced in the Project Special Provisions but not provided separately, as needed, to a contractor to understand the project and develop an informed bid. Not every project will require Bid Reference Documents. Uploading the project Bid Reference Documents on eBIDS ensures the documents will be available to all interested parties during the advertisement and bidding phase.

The PE Lead is responsible for uploading the documents on eBIDS between the PS&E due date and the day prior to project advertisement. Any documents that are referenced in the final design plans and Project Special Provisions as “available from the Construction Project Manager’s office” should be loaded into eBIDS.

The Bid Reference Documents are not complete until the POR has sealed the document, when required. Any required Bid Reference Documents that are not loaded into eBIDS by the advertisement date will have to be posted separately as a Letter of Clarification (LOC). Bid Reference Documents can be loaded into eBIDS prior to advertisement date by following the procedures outlined in the [eBIDS User Guide](#).
All Bid Reference Documents must be delivered to the Construction Project Manager’s Office for the construction phase of the project after the bid opening. **Construction is not in the ProjectWise system yet. This process will change when they are working in the system.**

4.3.d. SPECIAL PROVISIONS

**MANDATORY PRE-BID MEETING**: If required, has the Mandatory Pre-Bid Meeting been approved by the Area Manager and the date coordinated with the Pre-Letting Specialist?

To ensure that pre-bid meetings are used appropriately and effectively, justification for pre-bid meetings require review and approval from the Area Manager. The justification should clearly indicate the features or issues of a project that require a meeting, the proposed agenda, and a list of the expected outcomes. Additional guidance is provided in Operational Notice PD-07.

When a mandatory pre-bid meeting is to be held, the advertisement length must be lengthened by a minimum of 2 weeks. Information on when the mandatory pre-bid meeting is held must be included on the cover of the Project Special Provisions. Unique Special Provision 00120.15 also needs to be included in the Project Special Provisions when a mandatory pre-bid is to be held.

For ODOT personnel, a calendar located in Outlook’s “Public Folder” named “Pre-Bid Meeting Schedule” has been established to show scheduled pre-bid meetings. Check this calendar before suggesting a pre-bid meeting date. Pre-bid meetings cannot be scheduled for Thursdays, which may conflict with a bid opening. Pre-Bid meetings must be scheduled no earlier than one week after date of advertisement, to allow potential bidders time to schedule travel to get to the meeting.

When the project includes a pre-bid meeting, an electronic copy of the approval from the Area Manager, proposed pre-bid meeting agenda, and a list of expected outcomes must be forwarded to the PCO QA Reviewer. The PE Lead is responsible for forwarding the pre-bid meeting summary and list of attendees to OPO within two business days of the pre-bid meeting in order to qualify bidders.

**ANTICIPATED ITEMS**: Have all Anticipated Items been approved in accordance with PD-07?

Requests for anticipated items must be approved in writing by the Area Manager and the OPL Manager for all non-standard anticipated items on a project, including anticipated items added after PS&E and/or bid opening.

Standard items not requiring approval are:

- Asphalt/Fuel/Steel Escalation,
- Thermal Segregation Bonus,
- HMAC Statistical Bonus, and
- HMAC/PCC Smoothness Bonus.

Anticipated Items must be included in the bid items and PS&E Cost Estimate.
Check n/a on the Final PS&E Submittal Checklist if there are no anticipated items. See Operational Notice PD-07 for more information. For approval requests, see the LPIF & AI Programmatic template, or the Anticipated Item template on the PCO Website.

Anticipated Item requests should be submitted to the Pre-Letting Specialist and allow a minimum of 2 weeks for approval. Project Teams should be aware that denial of the anticipated items will likely require modifications to the PS&E package, so teams are encouraged to submit requests early in the project development process. Requests sent into PCO after PS&E due date can cause significant extra effort with the PreCon system and will likely require a PD-02 Exception letter. All attempts should be made to have these requests approved prior to PS&E Submittal. Anticipated Item requests submitted after PS&E may also result in the project being moved to a later bid date.

Anticipated Items identified after award of the contract will be handled as a request for overrun or increase of Construction Authorization, and must be handled by the Construction Project Manager, not PCO. See the Construction Manual – Chapter 5 for additional guidance.

SPECIAL PROVISION MODIFICATIONS: Have all modifications to the Project Special Provisions been Documented?
As required by TSB12-01(B) – Project-Specific Special Provisions, each Region is expected to develop, manage and document a process to ensure adequate communications between Technical Services and Region staff. Region staff must continue to contact the Technical Services Specifications Technical Resources, Project Managers and Region Managers to discuss project-specific changes. These discussions must be documented according to the Region-specific process.

RAILROAD: Are all required Railroad Agreements and Permits complete and signed?
Aka “Railroad Certification” Contact ODOT Railroad Liaison for more information.

INTERGOVERNMENTAL AGREEMENTS (IGA): Are all required Intergovernmental Agreements fully executed?
While Intergovernmental Agreement (IGA) documents are not a PS&E requirement, they are required to be fully executed at the time of PS&E. Final execution of an IGA occurs when the final signature is added to the document. Without all signatures, the IGA is not complete and therefore a PD-02 Exception letter would be required to proceed to PS&E submission. To check the status of your agreements, ODOT internal staff can check the agreements database. Cooperative Improvement Agreements fall under the same conditions and also must be fully executed prior to checking “yes” on the IGA line item on the Final PS&E Submittal Checklist.

CA/CEI PERSONAL SERVICES CONTRACTS (PSK): Are all required PSK for Contract Administration/Construction Engineering-Inspection (CA/CEI) fully executed?
While CA/CEI Personal Services Contracts (PSK) are not a PS&E checklist requirement, they are required to be fully executed at the time of PS&E. Final execution of the PSK occurs when the final signature is
added to the document. Without all signatures the contract is not complete and a PD-02 Exception letter will be required to proceed to PS&E submission.

The name, address and phone number of the consultant staff administering the contract for the Agency must be listed on the Project Special Provisions Description of Work page.

**POR PSK:** Are all required PSK for Professional of Record (POR) engineering construction support fully executed?
While POR PSK are not a PS&E requirement, they are required to be fully executed at the time of PS&E. Final execution of the PSK occurs when the final signature is added to the document. Without all signature the contract is not complete and therefore a PD-02 Exception letter would be required to proceed to PS&E submission.

**STORM WATER OPERATION AND MAINTENANCE (O&M) MANUALS:** Have the O&M Manuals been completed and submitted?
The O&M Manuals must be submitted to the Technical Services Geo-Environmental Unit prior to PS&E submission.

### 4.3.c.1 A+B AND MULTI-PARAMETER SPECIAL PROVISIONS

**MANDATORY PRE-BID MEETING:** In addition to the Mandatory Pre-Bid Meeting process in Section 4.3.d, the mandatory pre-bid meeting is required for all A+B and Multi-Parameter method projects and if possible, is preferred to be scheduled to be held no sooner than seven business days after the project ad date.

**SPECIAL PROVISIONS:** In addition to the Special Provisions requirements in Section 4.3.d, A+B and Multi-Parameter project Special Provisions have the following additional requirements:

- **A+B:** The following project-specific information must be included in the special provisions:
  - ODOT’s Road User Cost (RUC) amount and maximum calendar days to complete the project included in Special Provisions 00120.40(c)(1)
  - Disincentive amount for late contract completion included in Special Provisions 00180.86
  - Incentive for early completion included in Special Provisions 00198
  - Supplemented Preconstruction Schedule of Items Bid Sheet includes fill-in-the-blanks for:
    - Bidders’ total amount (A component)
    - Bidders’ proposed total number of calendar days for project completion (B component)
    - A+B Components total
    - ODOT’s RUC amount included

- **Multi-Parameter:** Project specific scoring response category criteria and weighting values in Special Provisions 00125 must have OPO, PCO, and ADS approval prior to PS&E submittal.
4.3.e. ADDITIONAL COMPLETENESS ITEMS (NOT ON COMPLETENESS CHECKLIST)

**INDEX SHEET: Have all Standard Drawings been listed on the Index Plan Sheet?**

The provider needs to check that all Standard Drawings called out in the Plans and Special Provisions (if applicable) have been listed on the Plan Sheet Index (typically Sheet A02). The final contract plans are compiled with Standard Drawings from this list only. Standard Drawings not listed on the Index of Sheets will not be included in the final contract plans for construction. To ensure that the most up-to-date standard drawings are included, ODOT has a [Standard Drawing Notification Email List](#) that you can subscribe to.

**SIGNED SIGNAL PLANS: Have all final Traffic Signal Drawings on State highways been signed by the ODOT State Traffic Roadway Section?**

The traffic signal approval process is established by Oregon Administrative Rule (OAR) 734-020-0400 through 734-020-0500. Signals include ramp meters, traffic signals, temporary traffic signals, overhead flashing beacons, push button activated flashing beacons, and loop detector modifications.

All traffic signal drawings require review by the ODOT Traffic Roadway Section. The traffic signal drawings require approval by the ODOT Traffic Roadway Section if the signal items are on a State highway. If the traffic signal drawings have not been signed by the ODOT Traffic Roadway Section, coordinate with the PCO QA Engineer to get signatures. If the signal items are on the local system, the local or consultant POE will sign the traffic signal drawings. See the [ODOT Traffic Standards](#) website for additional information on the Design Review and Approval Process. To obtain traffic drawing numbers, refer to the Traffic Standards Unit website.

**ACCESS MANAGEMENT DELIVERABLES: Have all required pre-construction Access Management deliverables required under PD-03 or PD-03(A) been completed?**

The purpose of [Project Delivery Operational Notice PD-03](#) is to establish deliverables, accountabilities, and requirements and to provide general guidance for implementing access management in the development and delivery of Design-Bid-Build Construction projects. The policies described are established to ensure consistency with [OAR 734-051-3030](#) and to clearly establish expectations for ODOT staff and consultants.

Forms and Guidance information can be found on [Access Management’s Project Delivery](#) website.

Completing CHAMPS (Central Highway Approach/Maintenance Permit System) is not considered a Pre-Construction activity and does not require a PD-02 Exception letter, provided the Region has a clear path the ensure completion of this activity at the completion of the project.

**WAIVERS:** If the Region Project Delivery Manager or Area Manager waives any of the deliverables required under [PD-03](#), written documentation must be included in the project files.
PROJECT ACCESS LIST APPROVAL: Approval of the office project access list by the Tech Center Manager and Region Access Management Engineer (RAME), as required by PD-03, must be documented in writing and included in the project files.

TRANSPORTATION MANAGEMENT PLAN (TMP)
A “Full” TMP is required for projects on an Interstate Freeway within an established Transportation Management Area. A “Simplified” TMP is required on projects not meeting the “Full” criteria. Guidance and examples are contained in documents and forms section of the Work Zone Traffic Control Unit website. For additional information contact the State Work Zone Engineer.

SECTION 5 – POST SUBMITTAL PROCESS

5.1. OBTAINING FHWA PS&E APPROVAL
On all projects with Federal Funds, ODOT must receive approval to advertise the project from FHWA. The PCO Pre-Letting Specialist will work with FHWA during PS&E to obtain approval to advertise. PS&E submittals that do not get FHWA approval to advertise will be delayed. Approval to advertise is required, at the latest, by the Friday before the advertisement is set to begin.

5.1.a. FEDERAL FUNDED STATE ADMINISTERED PROJECTS:
State Administered projects are projects that do not require review, but have Federal funding associated with them. These projects must still be approved by FHWA prior to advertisement. The documents sent to FHWA are the Final PS&E Submittal Checklist and Completeness Checklist, Right of Way Certification, Estimate, CE Minimums (Environmental) Document, and PD-02 Exception letter (if applicable). FHWA does not yet have access to the ProjectWise system, so these documents must be emailed or shuttled to the office.

5.1.a.1 MULTI-PARAMETER FHWA APPROVAL REQUIREMENTS
In addition to the FHWA approval requirements in Section 5.1, Multi-Parameter projects with Federal Funds require an approved SEP-14 work plan prior to project advertisement. PCO shall verify with OPO Construction Unit that FHWA approved the project’s SEP-14 Work Plan before PS&E submittal. If FHWA has not approved the SEP-14 work plan, the project cannot be advertised as a Multi-parameter project.

5.2. COMPLETING PD-02 ITEMS
In all cases, the PCO QA staff has been tasked to track identified outstanding PD-02 issues by periodically querying the PE Lead regarding the status of the resolution plan(s). The project PE Lead carries the responsibility to confirm to the PCO QA staff that the listed issues have been resolved. The ODOT Procurement Office – Construction Contracting Unit (OPO-CCU) must also be so advised so they can proceed with contract advertisement. This notification needs to be in writing (email preferred) and can be directed to the Pre-Letting Specialist and to OPO CCU.
5.3. STATE REQUIREMENTS – A+B AND MULTI-PARAMETER FUNDINGS OF FACT FOR EXEMPTION

A+B and Multi-Parameter projects require an approved findings of fact for exemption from the State’s competitive bidding requirement prior to project advertisement. PCO shall verify the following with OPO Construction Unit:

- ODOT Director approved the final Findings of Fact for Exemption (FFE) from competitive bidding requirements under ORS 279C.335(1) before PS&E submittal.
- The 60 day jurisdiction review period is completed and that any petition requested reviews, reconsiderations or rehearing of the approved FFE order were properly addressed before PS&E submittal (Per ORS 279C.350 and ORS 183.484)

If the ODOT Director has not approved the final FFE, the project cannot be advertised as an A+B or Multi-Parameter project.
SECTION 6 – ADVERTISEMENT PERIOD

6.1. ADDENDA

Changes to the plans, special provisions, or bid items during the advertisement period are made by addenda. The earlier an addendum is posted the more time contractors will have to properly address the changes. Issuing multiple addenda is preferred over one large, last minute addendum. Last minute addenda can cause prospective bidders to withdraw from bidding and/or include unnecessary “risk pricing”. Large, last minute addenda are also difficult to quickly review and often result in a postponement when contractors find errors that must be fixed.

ALL addendum requests either to postpone a previously scheduled Bid Closing Date, or to withdraw a previously schedule Bid Closing and Bid Opening, postponing it indefinitely, must be approved by the Area Manager, and vetted through the Project Controls Office Manager in consultation with the Statewide Project Delivery Manager for approval prior to postponing. In the absence of the Project Controls Office Manager, the Statewide Project Delivery Manager will serve as the approving authority.

To request a bid date postponement, once a project has been advertised, PE Leads are required to submit an email request to the PCO QA assigned to their project, with the following information:

- Project Information (Key Number, Name, Region)
- Current Bid Date
- New Bid Date Requested
- Detailed reason for postponement and Reason Code (from table below)

The request must identify one of the following reason codes. The use of these codes will allow PCO to provide a report to the Statewide Project Delivery Manager on why projects are being postponed.

<table>
<thead>
<tr>
<th>REASON CODE</th>
<th>REASON CODE TITLE</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>P1</td>
<td>ERROR IN BID DOCS</td>
<td>Errors in the bidding documents include: conflicts between bidding documents, significant spec or plan sheet errors, major quantity errors, missing specs or bid items.</td>
</tr>
<tr>
<td>P2</td>
<td>PD02, PERMIT, LPFF</td>
<td>Unresolved PD-02 Exception items, outstanding permit items, missing or unapproved LPFF items.</td>
</tr>
<tr>
<td>P3</td>
<td>SCHEDULING CONFLICT</td>
<td>Bid schedule maintenance required to balance project types, sizes, locations, etc. If one project is moved, it may require other projects to move as well to maintain schedule balance.</td>
</tr>
<tr>
<td>P4</td>
<td>SYSTEM ERRORS</td>
<td>Identified conflicts between BidExpress and hard copy bid documents, Tmx*Port or eBIDS system failures which would prevent the posting of bid documents or addenda.</td>
</tr>
<tr>
<td>P5</td>
<td>OTHER</td>
<td>Other, project-specific reasons for postponing the project not covered by Reason Codes P1 – P4.</td>
</tr>
</tbody>
</table>
ALL unsolicited issues, questions and inquiries from contractors and others shall be requested in writing from the Construction Project Manager per Standard Specification Section 00120.15 and the ODOT Construction Manual, Chapter 6 - Examination of Project Site and Responding to Bidders' Questions.

**Addenda Dates and Timing** – The earliest an addendum letter can be published is the date the advertisement begins. The date on the letter should be the date of expected posting, not necessarily the date the letter was written. Every effort should be made to have the date on the letter match the date the letter is published.

The deadline for posting addenda is as follows:

- No addenda will be accepted for posting after noon of the fourth working day prior to the bid opening day UNLESS prior agreement has been made with the project QA Engineer in PCO and the PCO Manager. This means:
  - If a project is scheduled for bid opening on a Thursday, the deadline for submitting addenda is noon on the preceding Friday.
  - If a project is scheduled for bid opening on a Thursday of a week that Monday is a holiday, the deadline for submitting addenda is noon on the preceding Thursday.
- Per OAR 731-005-0580 Addenda to a Solicitation Document, no addenda, other than for bid cancellation or postponement, will be issued less than 48 hours before the closing of the advertisement period unless the “Addendum also extends the Closing”.

Be aware that large and/or complex addenda may take additional time to process (reviewing, preparing revised bid schedule, preparation of electronic documentation for posting to eBIDS). Contacting the PCO QA Engineer assigned to the project ahead of time can help with timely processing. Submitting drafts of large or complex addenda letters to the project QA Engineer for review is encouraged. Large and/or complex addenda submitted for posting past the standard deadline may be cause for bid date postponement. Such postponement would be done to allow contractors to fully execute and adjust to the changes specified in the addendum.

**Preparing Addenda Letters** – Addenda letters are to be created on the ODOT provided template and submitted to PCO as follows:

- **General Addendum**
- **Addendum to Postpone**
- **Addendum to Withdraw**

All addenda Letters require signature by the preparer and the POR. Submit to the QA Engineer for review/approval. Letters and any documents that will be changed as a result of the addenda will be included in this submittal, with the corresponding addendum number added to the name. For the first addendum on a project, the submittal will be placed in the "K####_[PSnESet"
The second addendum on a project will be placed in the K#####_PSnESet (K#####_Addendum_AD02), etc.

**Bid Schedule** – PCO makes changes and generates the bid schedule for addenda, when needed. PCO will change the bid schedule based on the changes indicated in the addendum letter. Added bid items are placed at the end of the bid schedule and will be numbered accordingly. Deleted bid items retain the original bid item number, and the bid item numbers are not renumbered. For questions regarding bid item numbers, including what numbers to use, contact the PCO QA Engineer assigned to the project. The bid item numbers in the letter must match those on the bid sheets. Unit prices for added bid items must be sent to the PCO QA Engineer for entry into PreCon. An updated Bid Schedule will be saved to the ProjectWise Addendum Set K#####_Addendum_Set_AD## and forwarded to OPO for posting (OPL_K#####_BS_AD##).

**Plan Sheets** – Revised, digitally signed plans sheets are required to be submitted with any Addenda which modifies a plan sheet. Submit as part of the addendum set, and add the individual addended sheets to the 6_PSnE folder, with the corresponding addendum number added to the sheet name. (K#####_###_AD##) “###” = sheet # A01, A02, etc.

### 6.1.a. A+B AND MULTI-PARAMETER ADDENDA

In addition to the addenda process and requirements in Section 4.1, A+B and Multi-Parameter projects have the following additional requirements:

- A+B projects, the State Specifications Engineer and DOJ must approve all addenda.
- Multi-parameter projects, no addenda changing the Technical Component Part Bid requirements shall be issued after the Technical Component Part Bid closing date. The State Specifications Engineer and DOJ just approved all addenda.

### 6.2. LETTER OF CLARIFICATION (LOC)

Letters of Clarification (LOC) are intended to be informational in nature, and appropriate for situations where there are no changes being made to the plans, special provisions, or bid items. The Construction Project Manager is responsible for providing a signed copy of the LOC to PCO in the 6_PSnE folder (K#####_LOC_##). The QA Engineer will ensure the LOC is forwarded to OPO – CCU, who will load the LOC onto eBIDS. See Operational Notice PD-07 for more information.

**LOC Dates and Timing** – The earliest a LOC can be published is the day the advertisement begins. The date on the LOC should be the date of expected posting, not necessarily the date the LOC was written. Every effort should be made to have the date on the LOC match the date the LOC is published.
The deadline for posting LOC is as follows:

- No LOC will be accepted for posting after noon on the fourth working day prior to the bid opening day UNLESS prior agreement has been made with the project QA Engineer and the PCO Unit Manager. This means:
  - If a project is scheduled for bid opening on a Thursday, the deadline for submitting LOC is noon on the preceding Friday.
  - If a project is scheduled for bid opening during a week that Monday is a holiday, the deadline for submitting LOC is noon on the preceding Thursday.

LOC Examples – Bid Reference Documents, not uploaded prior to advertisement, are added by LOC during the advertisement period. LOC are to be created on the ODOT LOC Template and must include the following:

- STIP project name
- The highway
- The county
- The type of work
- The bid date
- The file name of each Bid Reference Document being posted
6.3. PROVIDING FINAL PROJECT SPECIAL PROVISIONS WITH ADDENDA

The PS&E provider is required to submit a copy of the Project Special Provisions updated with all the changes made by addenda to the QA Engineer by the close of business the day of the bid opening. This document becomes the project Contract. The footer of the Project Special Provisions must be updated to read “Contract” according to the ODOT Specification and Writing Style Manual. Updated POR Sheets for any specification changes after PS&E must also be submitted.

SECTION 7 – PROJECT RECORDS

7.1. PS&E QA REPORT
The PS&E QA Report was developed to provide feedback to the Project Delivery Teams on the overall completeness and quality of PS&E submittals. The PS&E QA Report tracks progress of projects between the PS&E due date and award, and can be found in the OPL_Bid_Submissions folder (OPL_K#####_PSnEQARpt_##)
# APPENDIX A – ACRONYMS AND DEFINITIONS

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>A+B</td>
<td>Price Plus Time (A+B) alternative contracting method. Determines the best value contractor based on a combination of price (A) and time (B) components.</td>
</tr>
<tr>
<td>Multi-Parameter</td>
<td>Price Plus Multi-Parameter alternative contracting method. Determines the best value contractor based on a combination of price (A) and one or more of the following components: Contractor’s Qualifications (C) and Contractor’s Approach (D). Variations of the Multi-Parameter method components are (A+C), (A+D), (A+B+C+D) and (A+C+D).</td>
</tr>
<tr>
<td>BDDM</td>
<td>Bridge Design/Drafting Manual</td>
</tr>
<tr>
<td>CHAMPS</td>
<td>Central Highway Approach/Maintenance Permit System</td>
</tr>
<tr>
<td>COW</td>
<td>Class of Work</td>
</tr>
<tr>
<td>CGPD</td>
<td>ODOT Contract Plans Development Guide</td>
</tr>
<tr>
<td>DOJ</td>
<td>Oregon Department of Justice</td>
</tr>
<tr>
<td>FHWA</td>
<td>Federal Highway Administration</td>
</tr>
<tr>
<td>IGA</td>
<td>Intergovernmental Agreement</td>
</tr>
<tr>
<td>LPIF</td>
<td>Letter of Public Interest Finding</td>
</tr>
<tr>
<td>MCTD</td>
<td>Motor Carrier Transportation Division</td>
</tr>
<tr>
<td>NEPA</td>
<td>National Environmental Policy Act of 1969. Most of the time specifically referring to the project environmental documentation that is required with the Environmental Assessment and the Environmental Impact Statement.</td>
</tr>
<tr>
<td>OCR</td>
<td>ODOT Office of Civil Rights</td>
</tr>
<tr>
<td>OPO</td>
<td>ODOT Procurement Office (most of the time specifically the Construction Contracts Section)</td>
</tr>
<tr>
<td>OTC</td>
<td>Oregon Transportation Commission</td>
</tr>
<tr>
<td>PCO</td>
<td>ODOT Project Controls Office (includes Specifications, Estimating and Pre-Letting)</td>
</tr>
<tr>
<td>PL/LAL</td>
<td>ODOT Region Project Leader/ODOT Local Agency Liaison. Within this document PL/LAL is used synonymously to represent the ODOT Design Project Manager, which could be a Project Leader or Local Agency Liaison.</td>
</tr>
<tr>
<td>PODI</td>
<td>Projects of Division Interest. FHWA has replaced Full Federal Oversight (FFO) projects with Projects of Division Interest. This review does not add time to the schedule, and Design Exceptions/Letters of Public Interest Finding do not require FHWA approval.</td>
</tr>
<tr>
<td>POR</td>
<td>Professional of Record. Licensed professionals that, by the conditions of their professional license, are required to sign and seal their final professional work products. The final work product may include, but is not limited to, final design plans, technical reports, and specifications.</td>
</tr>
<tr>
<td>PS&amp;E</td>
<td>Plans, Specifications and Estimate. A scheduled milestone event wherein all elements of a project are complete for ODOT to advertise for competitive bid process through ODOT Procurement Office – Construction Contracting Unit.</td>
</tr>
<tr>
<td><strong>QA</strong></td>
<td>Quality Assurance. Most of the time specifically referring to the process of the QA Reviewer in the Office of Project Letting and their role in reviewing the elements of projects turned in for PS&amp;E.</td>
</tr>
<tr>
<td><strong>QC</strong></td>
<td>Quality Control. Most of the time specifically referring to a routine effort made to check information on a project for consistency to ODOT standards.</td>
</tr>
<tr>
<td><strong>STIP</strong></td>
<td>State Transportation Improvement Plan</td>
</tr>
<tr>
<td><strong>STR</strong></td>
<td>Statements of Technical Review</td>
</tr>
<tr>
<td><strong>Boilerplate Special Provisions</strong></td>
<td>The Boilerplate Special Provisions modify the Standard Specifications by adding, replacing or deleting information from them. Sections of the Standard Specifications may have a related Boilerplate Special Provision. Some Boilerplate Special Provisions are also stand-alone Specifications. The Boilerplate Special Provisions are selected and assembled for the Project Special Provisions. All Boilerplate Special Provisions have been reviewed and approved for use by the ODOT Sr. Specifications Engineer, the Department of Justice Business Transactions Section and Federal Highway Administration.</td>
</tr>
<tr>
<td><strong>CE Minimums</strong></td>
<td>The required contract documents that meet the environmental permits, clearances, and approvals as specified in the “Completion Guidance for the Categorical Exclusions (CE) Closeout Document” to classify a project as a Categorical Exclusion as defined in Technical Bulletin GE09-05(B).</td>
</tr>
<tr>
<td><strong>PS&amp;E Due Date</strong></td>
<td>The date the PS&amp;E Package is due to OPL. This date is based on the bid date and the number of weeks for advertisement, and is assigned by OPL. Submittals are due to OPL by 8:00 a.m. on the PS&amp;E due date.</td>
</tr>
<tr>
<td><strong>PS&amp;E Acceptance Date</strong></td>
<td>The date all deliverables are accepted as completed at OPL.</td>
</tr>
<tr>
<td><strong>PS&amp;E Provider</strong></td>
<td>The organization or business entity providing the complete PS&amp;E package. This may be an ODOT Region, a Local Agency or a private consulting firm, or a combination thereof.</td>
</tr>
<tr>
<td><strong>Second Notification</strong></td>
<td>Written acknowledgement by the Engineer of the end of contract time according to Section 00180.5(g).</td>
</tr>
<tr>
<td><strong>Standard Specifications</strong></td>
<td>The Standard Specifications describe the contractual relationship and responsibilities between the contractor and the Agency. It provides directions, provisions, and requirements necessary for performing public improvement projects.</td>
</tr>
</tbody>
</table>
# APPENDIX B – PCO STAFF RESOURCES

<table>
<thead>
<tr>
<th>Pre-Letting QA Engineers</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Kevin Thiel, PLS</td>
<td><strong><a href="mailto:Kevin.A.Thiel@odot.state.or.us">Kevin.A.Thiel@odot.state.or.us</a></strong></td>
<td>503-986-3351</td>
</tr>
<tr>
<td>Quality Engineer</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Vacant Quality Engineer</td>
<td></td>
<td>503-986-4347</td>
</tr>
<tr>
<td>Joe Wolf</td>
<td><strong><a href="mailto:Joe.Wolf@odot.state.or.us">Joe.Wolf@odot.state.or.us</a></strong></td>
<td>503-986-3247</td>
</tr>
<tr>
<td>Quality Engineer/Estimator</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Melissa Sutkowski</td>
<td><strong><a href="mailto:Melissa.Sutkowski@odot.state.or.us">Melissa.Sutkowski@odot.state.or.us</a></strong></td>
<td>503-986-7177</td>
</tr>
<tr>
<td>Design QA Specialist</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bid Date Changes/Scheduling</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Michelle Gauthier</td>
<td><strong><a href="mailto:Michelle.M.Gauthier@odot.state.or.us">Michelle.M.Gauthier@odot.state.or.us</a></strong></td>
<td>503-986-3754</td>
</tr>
<tr>
<td>Pre-Letting Specialist</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Specifications</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dan Anderson, P.E.</td>
<td><strong><a href="mailto:Daniel.A.Anderson@odot.state.or.us">Daniel.A.Anderson@odot.state.or.us</a></strong></td>
<td>503-986-3777</td>
</tr>
<tr>
<td>Senior Specifications Engineer</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Heather Howe</td>
<td><strong><a href="mailto:Heather.C.Howe@odot.state.or.us">Heather.C.Howe@odot.state.or.us</a></strong></td>
<td>503-986-3749</td>
</tr>
<tr>
<td>Specifications Engineer</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Greg Stellmach, P.E.</td>
<td><strong><a href="mailto:Greg.F.Stellmach@odot.state.or.us">Greg.F.Stellmach@odot.state.or.us</a></strong></td>
<td>503-986-3107</td>
</tr>
<tr>
<td>Specifications Engineer</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Karen Scott</td>
<td><strong><a href="mailto:Karen.N.Scott@odot.state.or.us">Karen.N.Scott@odot.state.or.us</a></strong></td>
<td>503-986-3014</td>
</tr>
<tr>
<td>Specifications Engineer</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Estimates and Construction Scheduling</td>
<td></td>
<td></td>
</tr>
<tr>
<td>John Riedl, P.E.</td>
<td><strong><a href="mailto:John.J.Riedl@odot.state.or.us">John.J.Riedl@odot.state.or.us</a></strong></td>
<td>503-986-3886</td>
</tr>
<tr>
<td>Senior Cost Estimator</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Eli Oberlander</td>
<td><strong><a href="mailto:Elijah.Oberlander@odot.state.or.us">Elijah.Oberlander@odot.state.or.us</a></strong></td>
<td>503-986-7191</td>
</tr>
<tr>
<td>Cost Estimator</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Policy and Procedures</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PCO Manager</td>
<td></td>
<td>503-986-6608</td>
</tr>
</tbody>
</table>
APPENDIX C – PCO ORGANIZATION CHART
APPENDIX D – PROJECTWISE NAMING CONVENTION

Files submitted via ProjectWise for PS&E must be placed in ProjectWise using the Naming Tool. This will ensure that the appropriate attributes have been assigned to the files, to allow for search and sort features to be enabled.

**K#####_PSnESet**

<table>
<thead>
<tr>
<th>File Name</th>
<th>Description</th>
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<tbody>
<tr>
<td>SP_K#####<em>PSECchkst</em>##</td>
<td>PSnE Submittal Checklist, digitally signed, with fields placed for OPL signatures</td>
</tr>
<tr>
<td>SP_K#####<em>DBEGoalIssue</em>##</td>
<td>Office of Civil Rights Goal email</td>
</tr>
<tr>
<td>K#####<em>FinEngEst</em>##</td>
<td>Estimate</td>
</tr>
<tr>
<td>EN_K#####<em>CE</em>##</td>
<td>Environmental Certification</td>
</tr>
<tr>
<td>SP_K#####<em>FuelEsc</em>##</td>
<td>Fuel Escalation Worksheet</td>
</tr>
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<td>TZ_K#####<em>TMPMC</em>##</td>
<td>Mobility Certification</td>
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<tr>
<td>SP_K#####<em>CTE</em>##</td>
<td>Project Construction Time Schedule</td>
</tr>
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<td>SP_K#####_SIC</td>
<td>Special Provisions Integrity Certification</td>
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<tr>
<td>SP_K#####<em>StlEsc</em>##</td>
<td>Steel Escalation Worksheet</td>
</tr>
<tr>
<td>SP_K#####<em>RiskAss</em>##</td>
<td>Risk Assessment Summary</td>
</tr>
<tr>
<td>RW_K#####<em>RWCert</em>##</td>
<td>Right of Way Certification</td>
</tr>
<tr>
<td>U_K#####<em>Cert</em>##</td>
<td>Utility Certification</td>
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**K#####_PlanSet**

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<th>Description</th>
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<tbody>
<tr>
<td>Title Sheet</td>
</tr>
<tr>
<td>Digitally Signed by Tech Center Manager, Digital Signature field placed for Chief Engineer prior to Tech Center Manager’s Signature</td>
</tr>
<tr>
<td>Individual Plan Sheets</td>
</tr>
<tr>
<td>POR seal placed, converted to .pdf, and digitally signed</td>
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**K#####_BIDSet**

<table>
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<tr>
<td>SP_K#####<em>BidSP</em>##</td>
<td>Specifications (Word format)</td>
</tr>
<tr>
<td>SP_K#####_POR_01 (02, 03 etc)</td>
<td>Individual POR Sheets sealed, converted to .pdf and digitally signed</td>
</tr>
</tbody>
</table>
APPENDIX F – PROJECT INITIATION AND DAP STAGE GATE BUSINESS PROCESSES
APPENDIX G – DIGITAL SIGNATURES

Effective with the implementation of ProjectWise, Digital Signatures are required in order to process documents. PCO no longer accepts plan sheets in ProjectWise that have been wet signed and scanned into the system. All documents must be digitally signed and submitted for PS&E.

In order to digitally sign a document, it must be completed in the program it was created, and then converted to a .pdf. ALL signature blocks must be added using DocuSign, in the order that the signatures will be placed, before any signatures are added. If a document has been digitally signed, and you add an additional signature block, the previously-placed signatures become invalidated.

PCO has created an instruction document that outlines the ODOT requirements for digital signatures, as well as the OSBEELs requirements. These requirements apply to agency and consultant signatures equally.
### APPENDIX H – SUBMITTAL to PCO REQUIREMENT QUICK LIST

<table>
<thead>
<tr>
<th>PHASE</th>
<th>DOCUMENT</th>
<th>REQUIREMENTS</th>
<th>PW FOLDER</th>
<th>PW NAME</th>
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<tr>
<td>PROJECT INITIATION SET</td>
<td>Project Charter</td>
<td>Digitally signed</td>
<td>PM</td>
<td>PM_K#####<em>PC</em>##</td>
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<td></td>
<td>Zero-CMR</td>
<td>PM</td>
<td>PM</td>
<td>PM_K#####_CMR_00</td>
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<td></td>
<td>RMS Schedule</td>
<td>PM</td>
<td>PM</td>
<td>PM_K#####<em>MSPS</em>##</td>
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<td>DAP SET</td>
<td>Certificate of Design Acceptance with DAP Checklist</td>
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<td>RMS Schedule</td>
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<td>PM</td>
<td>PM_K#####<em>MSPS</em>##</td>
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<td>PSnE – PSnE SET</td>
<td>Final PS&amp;E Submittal Checklist</td>
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<td>Specifications</td>
<td>SP_K#####<em>PSEChklst</em>##</td>
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<td>Completed Environmental Documentation</td>
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<td>PS&amp;E Cost Estimate in PreCon</td>
<td>.est file</td>
<td>PM L3</td>
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<td>Required for Submission</td>
<td>Specification Code</td>
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<td>-------------------------</td>
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<tr>
<td>Special Provision Integrity Certification</td>
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<td>Specifications</td>
<td>SP_K#####<em>SIC</em>##</td>
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<td>.mpp file</td>
<td>Specifications</td>
<td>SP_K#####<em>CTE</em>##</td>
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<tr>
<td>Fuel Escalation Worksheet</td>
<td>Include even if project does not qualify, .xls file</td>
<td>Specifications</td>
<td>SP_K#####<em>FuelEsc</em>##</td>
<td></td>
</tr>
<tr>
<td>Steel Escalation Worksheet</td>
<td>Include even if project does not qualify, .xls file</td>
<td>Specifications</td>
<td>SP_K#####<em>StlEsc</em>##</td>
<td></td>
</tr>
<tr>
<td>Project Risk Assessment Summary</td>
<td></td>
<td>Specifications</td>
<td>SP_K#####<em>RAS</em>##</td>
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</tr>
<tr>
<td>Right of Way Certification</td>
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</tr>
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<td>Mobility Certification</td>
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</tr>
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<td>Buy America Waivers</td>
<td>If Applicable</td>
<td>PM</td>
<td>PM_K#####<em>BAW</em>##</td>
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</tr>
<tr>
<td>PD-02 Letter, Signed</td>
<td>If Applicable</td>
<td>PM</td>
<td>PM_K#####<em>PD02EX</em>##</td>
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**PSnE – PLAN SET**

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<th>Specification Code</th>
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<td>Individual, digitally sealed and signed</td>
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**PSnE – BID SET**

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<td>Word, with track changes</td>
<td>Specifications</td>
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*Documents are created/saved in their discipline folder and added to the submittal as part of a set.*
** = PORs initials