

# ODOT CERTIFIED LOCAL PUBLIC AGENCY PS&E DELIVERY CHECKLIST

**Purpose:** This Plan, Specifications and Estimate (PS&E) checklist is required to be submitted by the certified **Local Public Agency** (LPA) to the Oregon Department of Transportation (ODOT) for all Federal Highway Administration (FHWA) projects prior to advertisement for bids.

**Note! For Test Projects please follow the yellow Highlighted instructions.**

## PROJECT INFORMATION

Key number: \_\_\_\_\_ ODOT Region: \_\_\_\_\_

Select one: Test Project  or Full Certification:

Project Title: \_\_\_\_\_

*(Project title on plan cover sheet MUST MATCH the title used in the STIP and within the special provisions)*

Federal Aid construction # \_\_\_\_\_

Supplemental Agreement (IGA) # \_\_\_\_\_

**Changes in Project Scope:** (Note significant changes from the original prospectus at the time of Statewide Transportation Improvement Plan (STIP) programming such as: changes in project limits, increase or decrease in work items, estimates, etc.)

No significant changes:  Significant changes:  If yes, please explain: (Attach justification)

This PS&E package is being submitted for requesting advertisement authorization from ODOT and FHWA for competitive design-bid-build procurement. This project is scheduled for a (#) \_\_\_\_\_ week advertisement with a bid opening on (date) \_\_\_\_\_.

**ODOT may return for correction PS&E submittals that are late, incomplete, or that contain errors deemed likely to affect successful procurement or constructability to FHWA Requirements. Such projects may have to be re-scheduled to a later bid date. The project is not assumed to be approved for FHWA funding obligation request and project is not to be advertised until Notice to Proceed (NTP) is given from ODOT.**

1. **Total Estimated construction cost = TE \$** \_\_\_\_\_ as of \_\_\_\_\_  
*("Grand Total" from engineer's estimate, includes construction engineering, contingencies & anticipated items)*

2. **Programmed construction Funding =** \_\_\_\_\_ **STIP \$** as of \_\_\_\_\_  
*"Construction Phase; CURRENT EST" from STIP – confirm with LAL)*

**STATEMENT OF PROJECT PS&E READINESS**

- ALL project requirements and deliverables from the certification and project supplemental agreements and/or listed on this checklist have been satisfied, and all required PS&E deliverables are attached hereto.
- The LPA Quality Control Coordinator certifies that all their Quality Control processes were followed for this project.

**Local Public Agency (LPA) Information**

**Certified Local Public Agency:** (City or County name)

**Master Agreement (IGA) #**

LPA Project Manager: (Please Print Name)
LPA Quality Control Coordinator: (Please Print Name)

**PS&E Checklist Signatures**

PS&E Submittal prepared by: \_\_\_\_\_ Date \_\_\_\_\_ Phone \_\_\_\_\_  
 (LPA Project Manager)

QC Review by: \_\_\_\_\_ Date \_\_\_\_\_ Phone \_\_\_\_\_  
 (LPA Quality Control Coordinator)

Received by: \_\_\_\_\_ Date \_\_\_\_\_ Phone \_\_\_\_\_  
 (ODOT Liaison)

**NOTES:**

1. Items not identified for PS&E delivery but applicable for complete project archival are to be documented as "on-file." This means all relevant information is to be documented within the project master file and available for audit.
2. POR=Professional of Record. For definition of other acronyms used below see [OPL web site](#), click on "Guides".

## PS&E CHECKLIST

Reference	Section A - NEPA Approval	Format	Completed?			Notes
			YES	NO	N/A	
<a href="#">23 CFR771 LAG Section C Chap. 6</a>	a. If project is NEPA Class 1 or Class 3, was an EA or EIS completed and approved?	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(Mark NA if project is Class 2) If a reassessment or re-evaluation of the original EA or EIS decision was needed is it completed and approved?
<a href="#">23 CFR771 Bulletin GE09 - 05(B)</a>	b. If project is Class 2, were elements of "Categorical Exclusion (CE) Closeout Process, Guidance and Documentation" satisfied, completed and approved?	Provide CE Closeout document, and all required clearance and approval attachments, PDF copy with signatures to LAL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	CE close out must be signed by ODOT and by FHWA as required. (Mark NA if project is Class 1 or Class 3)
	c. Were required federal, state and local permits obtained?	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Reference	Section B - Right of Way and Utilities	Format	Completed?			Notes
			YES	NO	N/A	
<a href="#">LAG Section C Chap. 7</a>	a. Was the <a href="#">Right of Way Certification</a> complete and signed by the Region Right of Way Manager?	Provide PDF copy of signed original	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<a href="#">ODOT R/W Manual</a>	b. Are all Right of Way Certification Block 4 properties (holdouts) shown on plan sheets and listed within special provisions as per the requirements of the ODOT Right of Way Manual?	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	c. Have ODOT Right of Way Access permits been obtained?	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Date:
<a href="#">23CFR620</a>	d. If the project is located within two miles of an airport did coordination with FAA occur? Is vertical clearance adequate?	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

<a href="#">ODOT Highway Utility Guide</a>	e. Were the conflict letters and time requirement letters sent to the utilities?  Did the State Utility Liaison received copies of these letters?	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<a href="#">23CFR635 LAG Section C Chap. 13</a>	f. Was the Utility Certification submitted to the State Utility Coordinator (with copy to LAL)?	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Utility Certification</a> <b>must</b> be completed before approval can be granted to advertise a project for all projects with state or federal funding regardless of the presence of a utility conflict. Local public agency completes and submits to the Local Liaison and the <a href="#">State Utility Coordinator</a> .
<a href="#">LAG Section C Chap. 13</a>	g. If all utilities have not been relocated prior to advertisement, does the bid proposal include a special provision stipulating utility coordination with the prime contractor for each utility?	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<a href="#">23CFR646</a>	h. If the project requires use of or adjustment of railroad facilities, Are the Railroad Agreements* approved? Were Liability Insurance requirements provided in bid Proposal?  Proposal Ref.	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	C&M agreement between the LPA and Railroad and the RR crossing order.

Reference	Section C - Design Documentation, Plans & Specs	Format	Completed?			Notes
			YES	NO	N/A	
<a href="#">23CFR630 B, part 4(c) (1)(a – k)</a>	a. Title sheet with Federal ID#, plan sheet index and appropriate signature block. <i>Note: The project name on the title sheet <b>MUST</b> match the title used within the special provisions and STIP.</i>	Stamped and Signed by POR.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Federal-aid project number,</li> <li>• Location sketch (Vicinity Map),</li> <li>• Title of project,</li> <li>• Length of project,</li> <li>• Plan sheet index,</li> <li>• Applicable standard drawings,</li> <li>• Oregon Utility Certification language,</li> <li>• Provision for approving official(s) signature(s) and date(s), and</li> <li>• Scale(s).</li> </ul>
<a href="#">23CFR625 LAG Section C Chap. 9</a>	b. Does the design conform to AASHTO <a href="#">and MUTCD</a> standards?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<a href="#">23CFR625 LAG C9</a>	c. Have Design Exceptions been reviewed by ODOT and FHWA as required? Was ODOT concurrence obtained?	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Status available on the <a href="#">Roadway Engineering Design Exception</a> site
<a href="#">LAG C-11</a>	d. Are Final Design Plans stamped and signed complete?	Submit POR signed plans. Four paper copies and pdf	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

<a href="#">Bridge Practices &amp; Procedures Manual</a>	<p>e. Were Bridge plan mylars submitted to ODOT?  <b>Required for all HBR bridge projects.</b></p> <p><i>Note: Full size (22"x34") Mylars will be scanned and archived per ODOT Bridge Section requirements and returned to the project team for addition of "As Constructed" details prior to re-submittal to ODOT.</i>  Date submitted:</p>	POR signed full size mylars + two paper 11x17 copies. Three paper copies if FFO.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Send one copy of bridge plans and report to LGS Sr. Local Bridge Standards Engineer Holly Winston 503-986-3356 regarding required files, in electronic PDF format, including: As-Built Drawings (signed, final copy on mylar, "D" sized (24 x36)). A copy of the construction or contract drawings. (These can be half size (11x17) and can be on paper). Foundation report Load ratings Hydraulic reports, if project is over water. (Include scour analysis reports) Pile records –(Not for spread footings or Drill Shafts) TS& L
<a href="#">ODOT Traffic Signal Policy &amp; Guidelines</a>	<p>f. Are ALL Final Signal Plans been signed by the State Traffic Engineer?  (When required – see notes)</p>	Signed signal plans	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Any installation of traffic control devices, including crosswalks, on or adjacent to State facilities requires the approval of the State Traffic Engineer or State's Region Traffic Engineer as described in the ODOT Traffic Signal Policy and Guidelines and the ODOT Traffic Manual.
<a href="#">LAG Section C Chap. 10</a>	<p>g. Are required engineering technical reports such as; hydraulics, pavement, geotechnical and traffic, complete and available for FHWA, ODOT and/or contractor review if needed?</p>	On-file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<a href="#">ODOT Access Management Manual</a>	<p>h. If required, is the pre-construction access management plan or strategies complete?</p>	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Applies to projects on, or impacting ODOT State Highway access.
<a href="#">PD-03 PD-03A</a>	<p>i. Has the Official Project Access List been approved by the TCM and the RAME as required by <a href="#">ODOT's PD-03 and PD-03 (A)</a>?</p>	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Applies to projects on, or impacting ODOT State Highway access.
<a href="#">TMP Guidance Page</a>	<p>j. Mobility Considerations Project Checklist – Available in <a href="#">Highway Mobility Operations Manual or online</a>  ATMP is required if any "Impact on Mobility" boxes marked.</p>	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Applies to projects on, or impacting ODOT State Highway access.

<a href="#">23CFR626</a>	k. If the project is on the State Highway System, has the pavement design been reviewed and approved by ODOT?	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Master Certification Agreement	l. Did the project utilize the <i>current</i> version of ODOT or local public agency Standard Drawings (as appropriate)?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Master Certificati Agreeme LAG C-11	m. Check the version of Standard Specifications used for this project: Oregon Standard Specifications for Construction Local public Agency Standard Specifications as approved by ODOT. Is the project compliant with the current version of these Standard Specifications?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The section 100s or General Conditions need to use the LPA standard version that has been reviewed by ODOT.
<a href="#">FHWA Core Curriculum Ref Guide 23CFR635</a>	n. Are any Public Interest Findings approved by ODOT and FHWA (if applicable per current ODOT/FHWA Stewardship Plan).	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	For example, public interest findings are needed for materials supplied by the CLA or the State, proprietary items, etc. After a public interest finding, anticipated items may need to be listed in the final cost estimate.

<a href="#">23CFR 635, Stewardship Plan</a>	o. Is local force construction work to be utilized on this project?	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Attach copy or description
<a href="#">Federal-aid Policy Guide G 6042.4 Stewardship Plan</a>	p. Are experimental features utilized on this project?  Work Plan approved by ODOT and FHWA (if applicable per current ODOT/FHWA Stewardship Plan).	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Note! For Test Projects the location by page number is needed to expedite the review of sections D & E**

Reference	Section D - Special Provisions	Page #	Completed?			Notes
			YES	NO	N/A	
<a href="#">23 CFR 633.102(f) LAG C-11</a>  <a href="#">LAG Section B Chap. 7</a>	a. The following documents must be included in the project solicitation documents and contract: <ol style="list-style-type: none"> <li>1. The FHWA-1273 "Required Contract Provisions for Federal-Aid Construction Contracts"</li> <li>2. On-site Workforce Affirmative Action requirements for Women and Minorities on Federal-Aid Contracts</li> <li>3. EEO provisions</li> <li>4. EEO Aspirational Target provisions</li> <li>5. ODOT DBE program policy statement</li> <li>6. DBE supplemental required contract provisions</li> <li>7. assigned DBE contract goal</li> <li>8. Project wage rates page or statement informing contractor of required wage rates</li> </ol>	In special provisions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	These documents should be obtained from ODOT at the following website:  <a href="#">OPL Publications</a>  Address: <a href="http://www.oregon.gov/ODOT/HWY/OPL/pages/manuals_forms_etc.aspx#Publications">http://www.oregon.gov/ODOT/HWY/OPL/pages/manuals_forms_etc.aspx#Publications</a>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	b. Are reimbursable federal OJT apprenticeship training provisions assigned to Cert LPA project?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	c. Are the required performance, payment, public works bonds included?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	d. Was the schedule of materials testing included?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If there is contractor testing, add in special provisions a clause that allows bidders to be aware of testing requirements.
<a href="#">23CFR 635.410 LAG C-11</a>	e. Are "Buy America" provisions included? These provisions are in the Oregon standard specifications for construction section 00160.20.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	"Buy America" waivers must be approved by FHWA prior to final PS&E submittal. Waivers are very difficult to obtain and will take considerable time and energy to process.
Master Certification Agreement	f. Is indemnification language and additional insured language for ODOT included?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Master Certification Agreement	g. Per the Master Certification Agreement has ODOT been listed a third party beneficiary?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<a href="#">23 CFR 635.109</a>	h. Are standardized changed condition clauses included?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	These provisions are in the Oregon standard specifications for construction.
23 CFR635.110	i. If LPA is using its own contractor prequalification process, where is this detailed in LPA solicitation docs?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Note! For Test Projects the location by page number is needed to expedite the review of sections D & E**

Reference	Section E - Bid Booklet	Page#	Completed?			Notes
			YES	NO	N/A	
<a href="#">23 CFR 635.112(f)</a>	a. Certifications: <ol style="list-style-type: none"> <li>1. Noncollusion</li> <li>2. Noninvolvement in any Disbarment &amp; Suspension</li> <li>3. Lobbying Activities</li> <li>4. Compliance with Oregon Tax Laws</li> <li>5. Employee Drug Testing Program</li> <li>6. Nondiscrimination</li> <li>7. Use of Registered Subcontractors</li> <li>8. Incorporation of all Addenda</li> </ol>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<a href="#">23 CFR 635.109</a> <a href="#">OPL Website</a>	b. Are DBE Commitment Requirements included?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	c. Is the DBE Commitment Certification & Utilization Form included?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<a href="#">23 CFR 635.109 OPO website</a>	d. Is the First -Tier Subcontractor Disclosure Form included?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">LAG Manual, Section C, Chapter 8, Appendix 1</a> for DBE process information. (CLA may use own form if it has one)
<a href="#">23 CFR 635.109 OPL Website</a>	e. Is the DBE information page included?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Reference	Section F - Estimate and Construction Schedule	FORMAT	Completed?			Notes
			YES	NO	N/A	
<a href="#">LAG Section C Chap. 11</a> <a href="#">ODOT Estimating Manual</a> <a href="#">FHWA Contracting Guide</a>	a. Was the Cost Estimate completed in Excel? <i>Submit electronic files to LAL</i>	Submit electronic copy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

<a href="#">LAG Section C Chap. 15 &amp; PD-07</a>	b. Was ODOT approval obtained for anticipated items?	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Not required for CE, contingency, asphalt smoothness bonuses, asphalt statistical bonus, asphalt escalation, fuel escalation, steel escalation, or bid item modifier. REF: <a href="#">PD-08</a> . Check n/a if no anticipated items.
<a href="#">FHWA Estimate Prep Guide</a>	c. Are Federal-aid non-participating items included in this project?	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Include project non-participating items on the PS&E spreadsheet.
<a href="#">LAG Section C Chap. 11</a>	d. Is the project Construction Schedule completed in CPM type format (Microsoft Project preferred)?	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Backup data expected to be on file for schedule review and/or validation audit.

Reference	<b>Section G – A&amp;E Personal Services Consultant Contracts</b>	Format	Completed?			Notes
			YES	NO	N/A	
<a href="#">LAG Section C Chap. 12</a>	a. If required, are Personal Services Contract(s) for construction engineering (PM) services completed and signed?	On file and in special provisions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Name, address, and phone number of PM who will be administering the contract MUST be listed on the special provision description of work page.
<a href="#">LAG Section C Chap. 12</a>	b. Are all required Personal Services Contracts for Professional-of-Record engineering construction support completed and signed?	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
			Other Notes:			