



# **Project Controls Office Phase Gate Delivery Manual**

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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

Updated 1/28/20 to add Risk Register requirements

Updated 1/28/20 to update Insurance Risk Assessment information

Updated 7/1/20 to add updated Fuel-Steel-Class of Work and Scheduling requirements and new ProjectWise folder structure. Removed ProjectWise Workflows (not ADA standards).

Updated 7/27/20 to include Phase Gate Requirement table.

Updated 10/1/20 to update PD-02 Exception Letter requirements; Anticipated Items, Title Sheet signature, federal fiscal year and Design Exception guidance; and ProjectWise naming conventions.

Updated 1/5/21 to clarify eBIDS bid reference document guidance.

Updated 6/14/2021 to update ProjectWise folder name from OPL to PCO; update ProjectWise workflow screen shots; and update Addendum and Letter of Clarification section.

Updated 7/29/2021 to add additional information in regard to project special provision concurrence requirements.

Updated 8/24/2021 to clarify gray scale requirements.

Updated 10/6/2021 to add clarification of TPM/RE-CPs responsibilities for PD-02 Exception Letters; add AWP Estimation estimates information; and clarify posting bid reference documents to eBIDS.

Updated 4/12/2022 to add link to Project Delivery Quality Assurance Checklist as optional tool; update internal hyperlinks due to the launch of SharePoint; add Section 3.5 – Project Reschedule with link to the Project Scheduling and Re-Scheduling Requirements Matrix; updated the Final PS&E Checklist to pdf and added new link; add clarifying language for using the Boilerplate Special Provisions; add clarifying language for when to confirm the project OCR goals and targets; add clarifying language for acceptance of the Right of Way Certification; add clarifying language to the Railroad Agreement section; add clarifying language that addendums and Letter of Clarifications are due to the assigned PCO QA reviewer by 5 pm on the Thursday prior to bid opening; add Section 8 - Project Rebid.

Updated 5/5/2022 to update the ROW Cert information, update PD-02 Exception Letter information and update the program dealing with the Project Mobility Consideration Checklist has moved to the Delivery and Operations Division.

Updated 8/3/2022 to update the PI & DAP Internal Checklist images; add geotechnical design deviation and hydraulic design deviation information to PS&E Completeness Checklist; add clarifying scheduling language at project initiation.

Updated 11/1/2022 to incorporate new railroad certification form requirements at DAP and PS&E; added emergency repair project information.

Updated 4/24/2023 to add scheduling requirement information; update figure images; add PDB-04 STIP amendment information; update estimating document names; remove timeframe from utility certification form; update PD-02 exception letter information; add project re-submission section; add digital signature information to appendix; add PS&E Submittal Responsibilities Matrix to appendix.



## 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 Project Development Improvement Initiative Team (PDII) instituted new phase gate requirements at Project Initiation, DAP and PS&E. 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 and transparency 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 Change Management Request (CMR) prior to making these changes.**

Phase reached prior to 5/15/19	Project Initiation Submittal Required	DAP Submittal Required	PS&E Submittal Required
Kick-off	X	X	X
Project Initiation	NA	X	X
DAP	NA	NA	X
- All phases are <i>encouraged</i> to be recorded, but not required based on the above chart			

Figure 1: Phase Gate Submittal Requirement timing

If you are unsure of the status of any of your phase gate submittals, refer to the [Phase Gate Monitoring Report](#). If any information on the report does not match your records, contact the [PCO Pre-Letting Specialist](#) to resolve.

For the purposes of this document, TPM/RE-CP will refer to the Transportation Project Manager (TPM), and Resident Engineer - Consultant Projects (RECP).

For the purpose of this document, anticipated construction projects are projects that expect to be assigned construction funding prior to Advance Plans. Unanticipated construction projects are projects that do not expect to be assigned CN funding. Only those phases that are approved will be recorded for reporting purposes.

Effective January 1, 2020, [Highway Directive DES 01-02, Managing Project Risks for ODOT STIP](#) was published to provide direction on when and how the Risk Register must be used throughout the project delivery lifecycle. The Risk Register is intended to provide support in the identification and management of scope, schedule and budget risks for all STIP projects. Created at Scoping, the Risk Register must be included as part of the Project Initiation, DAP and PS&E Submittals.

#### ER PROJECTS PROCESSED VIA CENTRAL PROCUREMENT AND PCO

The Federal Highway Administration (FHWA) emergency relief (ER) program generally provides funding to repair and restore highway facilities for damage in excess of \$700,000 (Federal Share) for [eligible facilities](#). The program is intended to repair and restore to pre-disaster conditions and will not include any permanent improvements.

ER funds cannot be used to replace other Federal-aid, State or local funds for new construction, to correct non-disaster related deficiencies, or to otherwise improve highway facilities.

*Emergency Repairs:* repairs undertaken during or immediately after a disaster to restore essential traffic, to minimize the extent of damage, or to protect the remaining facilities.

*Permanent Repairs:* repairs undertaken after the occurrence of a disaster to restore the highway to its pre-disaster condition.

All disaster repairs should be discussed with your FHWA Region Engineer to determine appropriate category of repair (emergency or permanent), and method of delivery. Once determined, region should work with PCO to ensure they are aware of any special circumstances that FHWA has pre-approved, and the timeline expectations placed upon the repairs by FHWA.

The FHWA-Oregon ER Program Manager, Satvinder Sandhu should be a resource to regions, as well as the [ER Manual](#). Whenever necessary, include Project Controls Office in your pre-PS&E discussions to ensure a smooth and timely repair is completed.

## 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](#), [CMR-00](#), the [Risk Register](#) and a pdf copy of the Microsoft Project Schedule. Any Project Initiation phase gate supporting documents that will assist to illustrate the project can be included but are not a requirement. See [Section 3](#) and the [Bid Date Schedule and Reschedule Matrix](#) for steps to request a bid date placeholder prior to submitting project initiation.

\*Refer to [Appendix E](#) 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 scope, schedule and budget for each project. A Project Charter is a requirement for **every** STIP project that will be delivered by the State 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) and/or funding 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\_##**). Once the Project Charter has been approved, no further changes can be made to it. All subsequent changes to the project after the Project Charter has been signed will be handled by the CMR process.

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,
  - 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
  - Opportunities and/or issues identified
  - Potential solutions to identified issues
  - Outcomes, goals and priorities of the project
- **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 Intergovernmental Agreements (IGAs) been identified?
  - What mobility impacts have been identified?
- **Project Delivery Approach** - indicate in-house delivery, consultant delivery, or partially out-sourced delivery.
- **Project Development Team Members** - indicate the disciplines that they represent

- **Project Schedule (Milestones)** – will be compared to the current Resource Management System (RMS) published schedule to ensure accuracy for the following milestones:

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

- **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 digital signatures have been obtained

#### 1.1.b. CMR-00

The [CMR-00](#) (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 CMR-00 is the baseline CMR. Any subsequent changes to the project will be consecutively numbered after the submittal and acceptance of the CMR-00. A CMR will be triggered when the scope changes, the budget increases/decreases, or the schedule moves out to cause subsequent milestones to change. Additional guidance is provided in [Operational Notice PD-19](#). Submit a digitally signed CMR-00 in the K#####\_PI\_Set (**PM\_K#####\_CMR\_00**).

The Pre-Letting Specialist will check the CMR-00 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.
  - 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 CMR-00 vs the Business Case created at Scoping)
- **Current Dates and Proposed Dates** - placeholder 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 (MSPS) must include at minimum, the identified required milestones. The Pre-Letting Specialist will compare the MS Project Schedule submitted to the current published MS Project record to ensure the dates match the most recent CMR and match the dates in the Project Charter.

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

***\*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. RISK REGISTER

The [Risk Register](#) is required for any projects approaching project kick-off after January 1, 2020. It will provide support in the identification and management of scope, schedule and budget risks for all STIP project. A Risk Register will be required at Project Initiation, DAP and PS&E. Project Risk Registers should be a living document that is updated as new risks are identified, or risks are mitigated.

The Risk Register must support the identification and documentation of discussions and responses to scope, schedule and budget risks throughout the project life cycle. Also documented must be a Response Strategy Plan that includes a risk owner and a detailed description of actions to be taken, risk monitoring, and review log.

In addition to the Risk Register, all projects exceeding an estimated ***total project cost of over \$25 million\**** will be required to perform a Cost Risk Assessment (CRA). The CRA will include a risk register that identifies and describes risks, quantification of risks, a probabilistic risk-based budget and schedule estimate, risk response strategy plan and a project cost estimate validation. Submit one copy of the Risk Register in the K#####\_PI\_Set (**PM\_K#####\_RR\_##**). The Pre-Letting Specialist will forward the risk register to the Project Risk Management team.

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

Contact the Pre-Letting Specialist prior to finalizing CMR and MSPS for the placeholder date, advertisement length and PS&E due date. The Pre-Letting Specialist will check the [Bid Date Planning and Status report](#) 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, a placeholder Bid Date will be confirmed for the TPM/RE-CP. When the Project Initiation package has been accepted the project will be officially scheduled. For additional considerations regarding Bid Date Scheduling, refer to the [Bid Date Selection](#) section of this manual and the Project Scheduling and Rescheduling Matrix in [Appendix F](#). The Pre-Letting Specialist will update both the Bid Date Planning and Status report and STIP-FP with the new Bid Date.

***\*Total Project Cost over \$25 million*** includes the estimated total of all financial costs to deliver the project as programmed in the STIP, including planning, development, preliminary engineering, design, utility relocation and construction. It can also include costs for environmental considerations, right-of-way acquisition, permitting, geo-environmental considerations, internal ODOT resources, consultant contracts, and construction contracts.

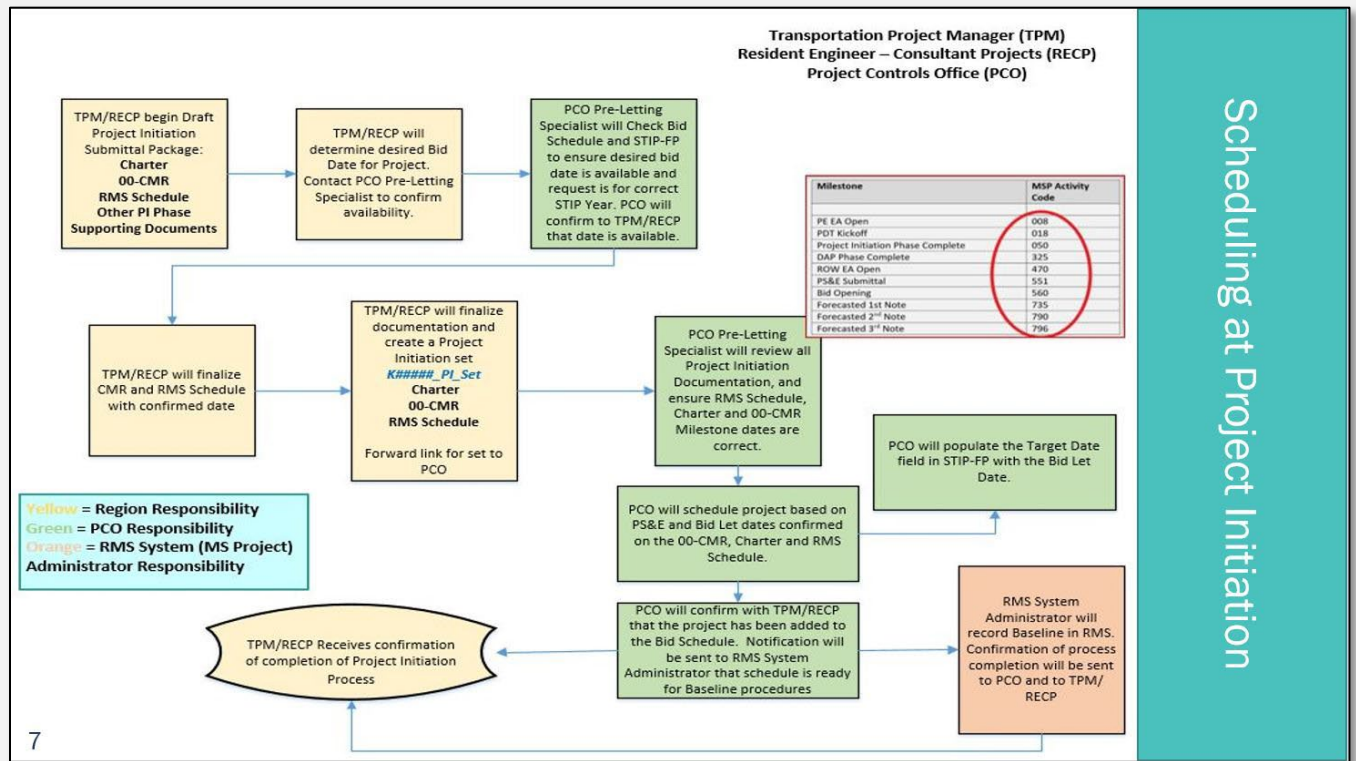


Figure 2: Project Initiation Scheduling Workflow



Key Number/Phase			
Project Name			
County Name			
Highway Name			
Approved FFY			
Project ID Number			
PE/EA			

PROJECT INITIATION INTERNAL CHECKLIST	Yes	No	NA
1. Does <b>K#####_PI_Set</b> contain the <b>required</b> documentation <ul style="list-style-type: none"> <li>Project Charter</li> <li>Zero-CMR</li> <li>Risk Register</li> <li>RMS Schedule (pdf)</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	
2. Does the Project Name in the Project Charter match STIP FP record <b>exactly</b> <ul style="list-style-type: none"> <li>If no, is there a corresponding CMR <input type="checkbox"/></li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	
3. Is the project scope in the Project Charter consistent with the project scope in STIP-FP. <ul style="list-style-type: none"> <li>If no, is there a corresponding CMR <input type="checkbox"/></li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	
4. Do all of the Project Schedule (Milestones) in the Project Charter match the MS Project Schedules <ul style="list-style-type: none"> <li>If no, is there a corresponding CMR <input type="checkbox"/></li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	
5. Does the Project Budget (Funding) in the Project Charter match STIP FP budget for all applicable project phases <ul style="list-style-type: none"> <li>If no, is there a corresponding CMR <input type="checkbox"/></li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	
6. Have all Region digital signatures been obtained on the Project Charter	<input type="checkbox"/>	<input type="checkbox"/>	
7. Date Project was scheduled by PCO			
8. Date Project was sent to RMS Administrator for Baseline Process			
9. Date Project was locked in STIP and PCO systems			
10. PI Phase comments:			

Figure 3 - Project Initiation Internal Checklist Example

## SECTION 2 – COMPLETING THE DESIGN ACCEPTANCE PHASE (DAP) PHASE GATE REQUIREMENTS

### 2.1. REQUIRED DAP DOCUMENTATION

At the end of Design Acceptance phase, the TPM/RE-CP and Project Team will prepare the documentation set that will be required for the project to be advanced through DAP. DAP phase gate requirements include the [Design Acceptance Memo and Checklist](#), RMS Schedule, [Risk Register](#), 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. DAP ACCEPTANCE MEMO AND CHECKLIST

The DAP Acceptance Memo and Checklist is two documents combined. The Pre-Letting Specialist will check that both are attached. Submit digitally signed DAP Acceptance Memo with DAP Checklist in the K#####\_DAP\_Set (**PM\_K#####\_DAM\_##**)

The Pre-Letting Specialist will check the DAP Acceptance Memo 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
  - 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
  - Opportunities and/or issues identified
  - 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.b. 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 the 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**
  - 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:
  - Changes to the project scope, purpose, need and design solution from what was included in the Project Charter.
  - Changes to baselined schedule
  - Changes to baselined budget as compared to STIP
  - Project Risk/Outstanding Issues – includes mitigation strategies to address these identified risks (including footprint, resourcing, schedule, stakeholders, agreements from other entities, ROW hold-outs)
  - Next steps are clearly illustrated
- **Intergovernmental Agreement (IGA)** – state of any associated IGA’s and their number
- **Public Engagement** – Outreach efforts and Public Involvement Plan, clearly illustrated. Include link to project website, if created.

- Describe any public/political support, if applicable
  - Include responses of stakeholders (petitions, correspondence, political commitments etc.)
- **Planning and Local Permits** – include any planning documents applicable to this project,
  - Relevant design standards/projects/policies that are in effect
  - Plans, designations, regulations or previously issued permits that could influence the design of the project
  - 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
  - TMS used to manage the temporary work zone, identify the potential impacts and accommodations to the travelling public, including anticipated detours
  - Detail construction staging plans
  - 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
  - any alternatives that were considered
  - special features that have been included in the project
  - existing surface conditions
  - overview of the approach pavement design at bridge approaches, if applicable
- **Bridges** – describe

- Design controls, criteria and innovations
  - Structural issues to be considered
  - Alternatives studies
  - Special design elements
  - ADA considerations
  - 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
  - Federal, State or local permit requirements
  - 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
  - Wetland, Waterways and Water Quality
  - Biological threatened or endangered species
  - Fish Passage
  - Historic and Archaeology
  - Visual Impacts
  - Air, Noise or Energy Impacts
  - 4f/6f
  - Pre-Con Activity
  - Socioeconomic Impact
  - Erosion Control
  - 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
  - Include Draft Utility Conflict List
  - Considered extra conduits for Urban Growth Boundaries
- **Maintenance Elements** – list locations prone to potholing, cracking, sinking, slides or rock falls, etc.
  - Include any ODOT permits required

- List any past HAZMAT incidents
- Clearly illustrate the maintainability of proposed improvements
- **PDT Members** – list all members and their appropriate discipline

### 2.1.c. DAP SUPPORTING DOCUMENTS

#### 2.1.c.a. *RAILROAD CERTIFICATION FORM*

The Railroad Certification form is completed by the State Railroad Liaison. Contact the State Railroad Liaison to have this form filled out. Include a link to the plan set in PW with the request. If there is no rail coordination needed, the State Railroad Liaison will create and sign the Railroad Certification form and place in the ProjectWise PSnE folder. If rail coordination is needed, the State Railroad Liaison will create the draft Railroad Certification form and place in the ProjectWise Rail folder. The Pre-Letting Specialist will notify the State Railroad Liaison when the DAP package has been submitted to PCO.

#### 2.1.c.b. *CMR*

A CMR should be done anytime there is a change in scope, schedule or budget since the last approved CMR, or the Project Charter.

### 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 Phase Gate submission set to PCO.

All DAP Exception Request will follow the same process as a PD-02 letter.

- Letter must be submitted to [PCO Pre-Letting email](#) **at least 2 weeks prior to DAP submittal**
- Letter will be sent to the Statewide Project Delivery Manager for concurrence
- Letter will be returned to the TPM/RE-CP when finalized, to be added to the DAP\_Set

Provide all details available to better inform the Statewide Project Delivery Manager during their review:

- Risks
- Expected completion date/phase
- Any progress made to date
- Current state of item (i.e., Design Exceptions have received verbal approval, awaiting official signature)
- Contingency plan if item is not cleared by date expected
- Person responsible for ensuring item has been cleared
- Complete background on why the item has been delayed
- Any additional actions being taken by Region to complete this item

Failure to provide this information will delay approval of your phase. It is recommended that a draft of the DAP Exception Letter be sent to the PCO Pre-Letting Specialist inbox for review prior to obtaining Region signatures.

For detailed instructions on how to deliver the Design Acceptance phase milestone requirements to the Project Controls Office, refer to the [ProjectWise Business Process: Project Initiation to Bid Opening](#) and the accompanying [ProjectWise Business Process Narrative: Project Initiation to Bid Opening](#).

Refer to [Appendix E](#) for a Quick Guide of required documentation at each phase.

Key Number/Phase			
Project Name			
County Name			
Highway Name			
Approved FFY			
Project ID Number			
PE/EA			

DAP INTERNAL CHECKLIST	Yes	No	NA
11. Does K#####_DAP_Set contain the required documentation <ul style="list-style-type: none"> <li>• Certificate of Design Acceptance with DAP Checklist</li> <li>• Design Narrative</li> <li>• DAP Exception Request (if applicable)</li> <li>• RMS Schedule (pdf)</li> <li>• Estimation – check with PCO Estimators to confirm?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	
12. Has the Design Acceptance Package Checklist been completed?	<input type="checkbox"/>	<input type="checkbox"/>	
13. Are any of the checklist boxes checked “no”	<input type="checkbox"/>	<input type="checkbox"/>	
14. Has there been a submitted DAP Exception Letter to correspond with any of the “no” boxes	<input type="checkbox"/>	<input type="checkbox"/>	
15. Has the DAP Exception Request been approved by Statewide Project Delivery Manager prior to DAP_Set Submittal	<input type="checkbox"/>	<input type="checkbox"/>	
16. Does Project Name in Certification of Design Acceptance Memo match STIP record <i>exactly</i>	<input type="checkbox"/>	<input type="checkbox"/>	
17. Is Project ID Number Correct on all documentation	<input type="checkbox"/>	<input type="checkbox"/>	
18. Have all digital Region Signatures Been Obtained on Certification of Design Acceptance	<input type="checkbox"/>	<input type="checkbox"/>	
19. Is the Project Description (current state) consistent in STIP FP, on Project Charter and on latest CMR	<input type="checkbox"/>	<input type="checkbox"/>	
20. Do all of the subsequent Project Schedule (Milestones) match the MS Project Record including Bid Let date	<input type="checkbox"/>	<input type="checkbox"/>	
21. Does the Project Budget (Funding) Certification of Design Acceptance Memo match STIP record for all project phases	<input type="checkbox"/>	<input type="checkbox"/>	
22. DAP Phase comments:	<div style="border: 1px solid black; height: 100px; width: 100%;"></div>		

Figure 4- PCO DAP Internal Checklist

## 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 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 or complex projects and plan sets over 300 pages, to ensure the PS&E process goes quicker and smoother for everyone involved. The [Project Delivery Quality Assurance Checklist](#) is an optional tool designed for project development teams to perform QA, starting at DAP, and is intended to minimize deficient issues at PS&E. The Bid Date Planning & Status Report (ODOT only) shows which PCO QA reviewer is assigned to the project. If your project does not yet have a QA reviewer assigned, contact the [ODOT Pre-Letting Specialist](#).

Year	Month	Official Bid Date	Key Number	Project Leader	Design By	Days to AD	FHWA Ad Approval DT	Days to Bid Opening	Expected at OPO DT	QA By	Cost Estimator
2022	December	12/01/2022	21540	Hedlind, Jen	TECH CENTER	-27	10/24/2022	1	10/20/2022	Scott, Karen	Davenport, Jay
		12/08/2022	21966	Maloney, Sean	TECH CENTER	-13	11/08/2022	8	11/03/2022	Powell, Nathan	McDonald, Lonnie
		12/15/2022	21939	Winterton, Erin	TECH CENTER	-6	11/07/2022	15	11/10/2022	Stinson, Samone	Wilson, Troy

Figure 5: Bid Date Planning & Status Report

For designers outside of ODOT, please contact the TPM/RE-CP to determine the PCO QA reviewer 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).

To schedule the project bid date, contact the Pre-Letting Specialist prior to finalizing CMR and MSPS for a placeholder bid date, advertisement length and PS&E due date. The PCO Pre-Letting Specialist needs the following information to provide an accurate bid date:

- Key number
- Approximate construction cost estimate
- Proposed bid date
- Proposed PS&E date
- Ad length
- Federal fiscal year
- If the project requires a pre-bid meeting
- If the project is an anticipated construction project
- If the project is an unanticipated construction project

Once the Pre-Letting Specialist issues the placeholder date and provides an ad length and PS&E due date, the TPM/RE-CP must submit required documentation to the Pre-Letting Specialist within the

timelines set out in the Bid Date Schedule and Reschedule Matrix. Once required documentation is received, PCO will advance the project to an official bid date and publish that date on internal and external schedules. Unanticipated construction projects will be in a placeholder until the CN phase is programmed in STIP-FP.

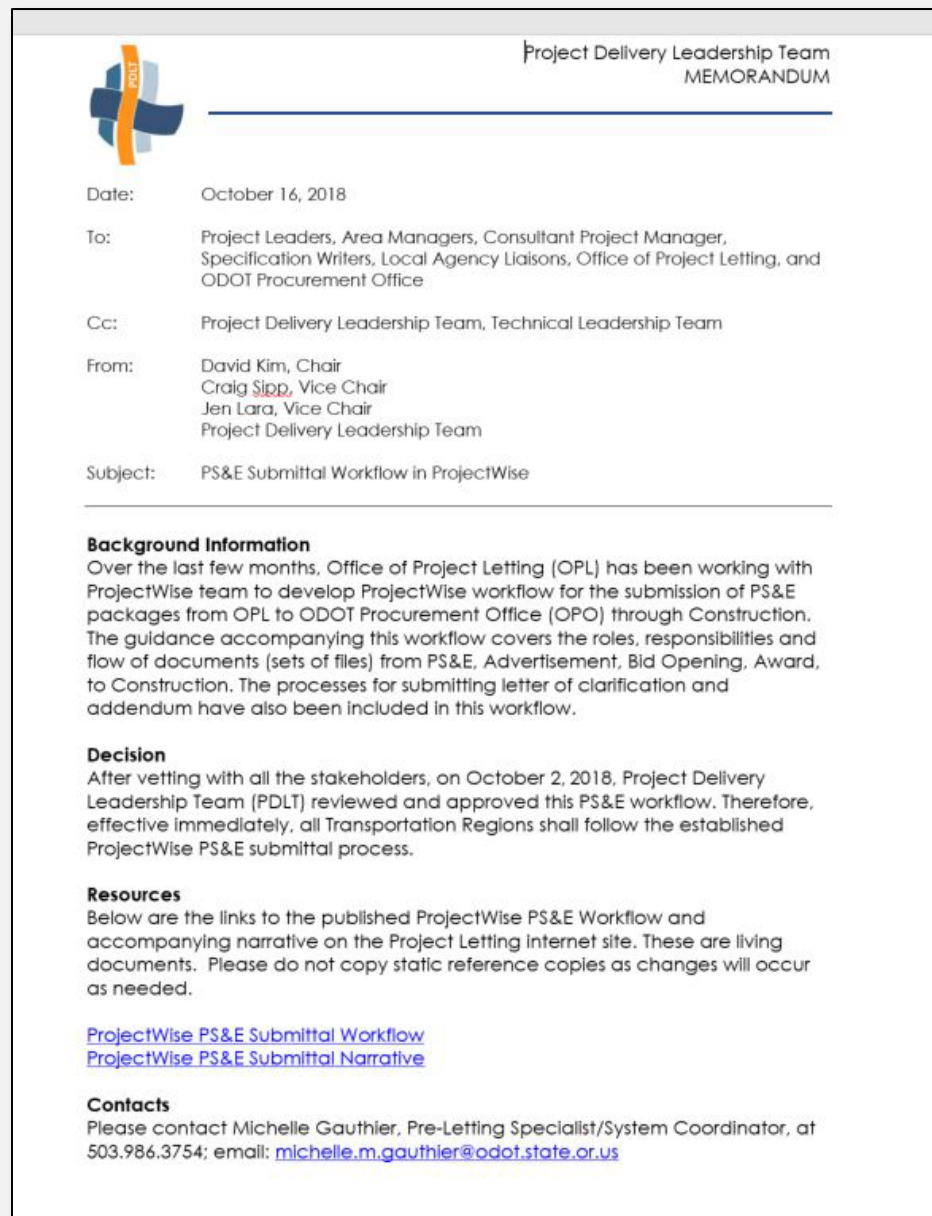


Figure 6: PS&E Submittal Workflow in ProjectWise Memo

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 have taken into consideration the State, engineering boards, and ODOT requirements, and have been added



to this manual to assist all TPM/RE-CPs. For more detailed delivery instructions for ProjectWise, refer to the [Narrative for PS&E Business Process for ProjectWise to Accompany the Workflow](#).

Effective October 2, 2018, Project Delivery Leadership Team (PDLT) reviewed and approved the [PS&E Business Process for ProjectWise](#).

*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 in to 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.

The Federal Fiscal year (October 1 – September 30) cut-off for project delivery and acceptance is important to understand to ensure you are planning the delivery of your project within the federal fiscal year approved by the Oregon Transportation Commission (OTC) and Federal Highway Administration (FHWA). If these dates are not scheduled correctly FHWA will not approve the project for advertisement, thus denying the obligation of the project's funding.

In order for a project to be obligated by the end of the Federal Fiscal Year, the Program and Funding Service Manager will announce the cut-off day each year. This is typically around September 25th. The process for federal funds to be obligated from FHWA can take anywhere from 2-3 weeks (including PS&E acceptance and all signatures) and must be completed no later than 10 a.m. on the Friday prior to the scheduled project advertisement date. If it has not been obligated by this stage of the process, the project's Advertisement and Bid Dates must be pushed out no less than two weeks to allow time to rectify any issues that may be holding up the approval. To ensure obligation of your project prior to the close of the federal fiscal year, the cut-off for PS&E acceptance has been set at the last week of August PS&E submittal date.

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 12 Month Contractors Report pulls project information

from Microsoft Project (MSP), AASHTOWare Project and STIP-FP, and is posted monthly on the [OPO Letting Schedules](#) web.

#### 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:

Approximate total biddable item estimate	Standard advertisement lengths
<\$7,500,000	3 weeks
\$7,500,000 to \$14,999,999	4 weeks
>\$15,000,000	5 weeks

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 TPM/RE-CP.

The advertisement length must be adjusted if the construction estimate increases or decreases during project development based on the table above. You will be required to work with the PCO Pre-Letting Specialist to determine if you will move the PS&E or the Bid date if the ad length changes. A CMR and a new schedule must be submitted to reflect the new construction estimate and resulting ad length.

#### 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):

Alternative Contracting Method	Approximate total biddable item estimate	Standard advertisement lengths
A+B	<\$7,500,000	6 weeks
A+B	\$7,500,000 to \$14,999,000	7 weeks
A+B	>\$15,000,000	8 weeks
Multi-Parameter	N/A	10 weeks

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 TPM/RE-CP.

### 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 185<sup>th</sup> Ave – Cornell Road  
OR53: 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***

### 3.5 PROJECT RESCHEDULE

If a project bid date needs to be moved, the TPM/RE-CP must contact the Pre-Letting Specialist to determine if the new bid date is available prior to finalizing the CMR and Microsoft project schedule (MSPS) for the placeholder date. A project must be re-scheduled a minimum of two weeks from the original bid date if the project is in the advertisement phase, unless otherwise approved by the PCO manager. Once the Pre-Letting Specialist issues the placeholder date and provides an ad length and PS&E due date, the TPM/RE-CP must send the signed CMR to the Pre-Letting Specialist and update and publish the MSPS. Once required documentation is received, PCO will issue an official bid date that will be published. See [Appendix F](#) for the Project Scheduling and Re-Scheduling Requirements Matrix to determine the required documentation and CMR and MSPS submittal timeframe requirements. If required project documentation is not received within the timeframe listed in Appendix F, the placeholder bid date may be removed and not available.

### 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 2 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. Mylar plans will only be accepted for Local Agency projects that kicked-off prior to Local Agency projects being included within the ProjectWise file management system. 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. The A+B and Multi-Parameter checklists can be obtained from the Project Development Office when the decision is made to deliver the project via one of these methods.

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 qualifying PD-02 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](#) for a description of the exception letter process. For a description of the PD-02 qualifying items, see Section 4.2.m.

There are 5 sets created in Region, but only 3 of the sets are sent to PCO as the PS&E Submittal. The PSnE Comp Set and EBids Set are convenience sets for Region Management during quality control review and the Final PS&E Completeness Checklist approval process. Region Management should conduct a QC review and ensure all documentation is finalized prior to signing the Final PS&E Submittal Checklist. It is optional for region whether they wish to add all 5 sets to the PSnE folder or separate them. PCO will NOT check the convenience sets even if they are included in the PSnE folder at submittal.

By adding the documents to the PSnE Set, Plan Set, and Bid Set in ProjectWise and forwarding the links via email to the PCO Pre-Letting Specialist, the TPM/RECP is approving the initiating of PCO's PS&E Phase Gate review. See [APPENDIX E](#) – SUBMITTAL to PCO REQUIREMENT QUICK LIST for the required documentation for each set.

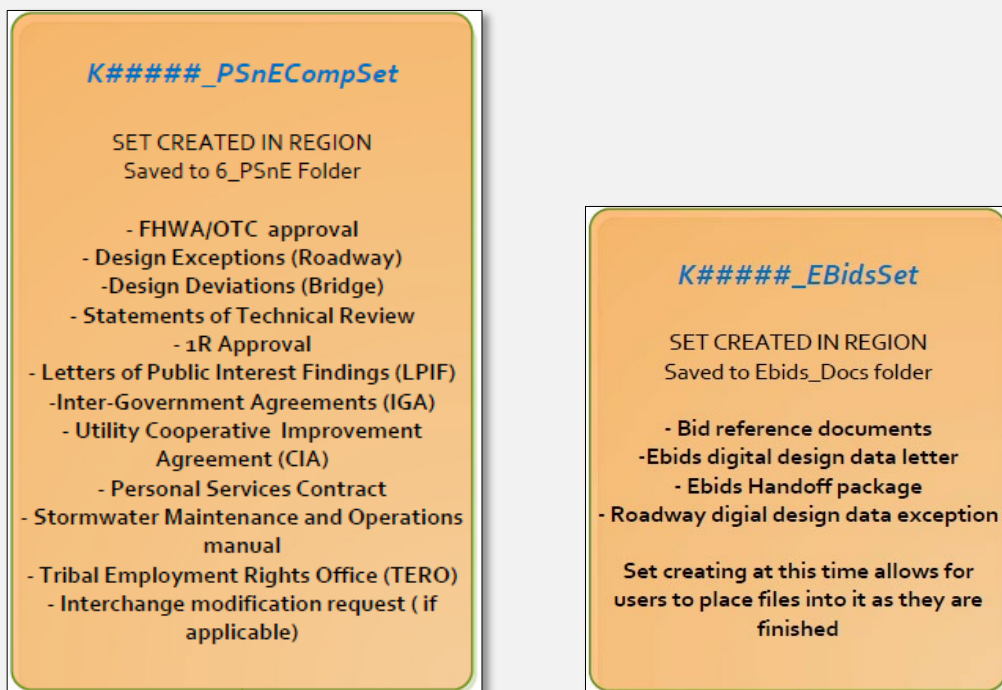


Figure 7: PSnE Comp Set & eBIDS Set Document List

If the Project Team is unsure about a particular checklist item, they should consult with the PCO Pre-Letting Specialist to ensure the item can be accepted at submittal.

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.

It is the TPM/RECP's responsibility to keep the PCO Pre-Letting Specialist updated on any progress and provide documentation or notification of resolution on any outstanding PS&E items.

### 4.1. PROJECT INFORMATION/SIGNATURE PAGE

The TPM/RE-CP will complete all necessary checkboxes and comments. Include all of the information required. Once completed the TPM/RE-CP will route to ODOT Area Manager and Region Tech Center Manager for Signatures. These signatures are required to be accepted for PS&E.

ODOT Statewide Project Delivery Unit | Project Controls Office (PCO)  
**FINAL PS&E SUBMITTAL CHECKLIST**  
(This document is maintained by the PCO Pre-Letting Unit. E-mail update and change requests to: [ODOT Pre-Letting Unit](#))

RESET

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

Project title: \_\_\_\_\_  
(Project title on plan cover sheet MUST MATCH the title used within the special provisions)

This PS&E package is being submitted for advertisement authorization and competitive design-bid-build procurement. It is due to the Project Controls Office by \_\_\_\_\_ for a \_\_\_\_\_ week advertisement and bid opening on \_\_\_\_\_.

---

**Quantity of Bidding Special Provisions and Plans for the RE's office:** *Special Provisions* \_\_\_\_\_ *Plans* \_\_\_\_\_

Preliminary Engineering expense account (EA) number: \_\_\_\_\_ [Construction EA End Date:](#) \_\_\_\_\_

Construction Federal Aid # or "State": \_\_\_\_\_

Type of work: (Should match title sheet) \_\_\_\_\_

1. Total Construction Project Estimate = \$ \_\_\_\_\_ as of \_\_\_\_\_  
("Total Estimated Construction (CN) Budget Needed" from AWP Estimation) Date

2. Phase Total Estimated Cost - STIP Amount = \$ \_\_\_\_\_ as of \_\_\_\_\_  
(CN - Construction Phase; from STIP-FP) Date

*If the Total Construction Project Estimate exceeds Phase Total Estimated Cost- STIP amount and a full STIP amendment is required, PS&E cannot be accepted (see [PDB-04](#)). Pending funding administrative STIP amendments must be documented in a PD-02 letter for PS&E acceptance and must be cleared 1 week prior to advertisement.*

\_\_\_\_\_

**STATEMENT OF PROJECT READINESS: <check one>**

☐ ALL project requirements and deliverables listed on the submittal checklist have been satisfied and all required PS&E deliverables are attached hereto.

☐ Specific project requirements and/or deliverables remain outstanding and are indicated as not complete on the attached Completeness Checklist along with the signed and approved PD-02 Exception Letter(s) explaining each outstanding item, the resolution plan(s), and the expected resolution date(s). Unless explicitly stated in the PD-02 Exception Letter the project is assumed to be approved for ADVERTISEMENT ONLY.

PS&E Submittal Prepared by: \_\_\_\_\_  
Transportation Project Manager/ Resident Engineer – Consultant Projects

**STATEMENT OF FUNDING SUFFICIENCY:**  
 Sufficient eligible funding is committed to cover the cost of the project.

\_\_\_\_\_

ODOT Area Manager/Funding and Program Manager

**STATEMENT OF TECHNICAL SUFFICIENCY:**  
 Region technical reviews have been conducted that are appropriate to the level of risk and complexity inherent in the project.

\_\_\_\_\_

ODOT Region Technical Center Manager

Rev. March 22, 2023
Page 1 of 7

Figure 8: Final PS&E Submittal Checklist



The TPM/RE-CP should work with the Resident Engineer'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. PS&E cannot be accepted if a full STIP amendment has not been approved by FHWA. The criteria for full STIP amendment requirements can be found in the [ODOT-FTA-FHWA Amendment Matrix](#). For questions regarding STIP amendments, contact the appropriate [STIP Coordinator](#). See [PDB-04](#) for more information.

<b>1. Total Construction Project Estimate</b>	= \$ _____	as of _____
("Total Estimated Construction (CN) Budget Needed" from AWP Estimation)		Date
<b>2. Phase Total Estimated Cost - STIP Amount</b>	= \$ _____	as of _____
(CN -Construction Phase; from STIP-FP)		Date
<i>If the <b>Total Construction Project Estimate</b> exceeds <b>Phase Total Estimated Cost-STIP amount</b> and a full STIP amendment is required, PS&amp;E cannot be accepted (see <a href="#">PDB-04</a>). Pending funding administrative STIP amendments must be documented in a PD-02 letter for PS&amp;E acceptance and must be cleared 1 week prior to advertisement.</i>		
<div></div>		




Figure 9: Final PS&E Checklist Funding Information

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\_##*).



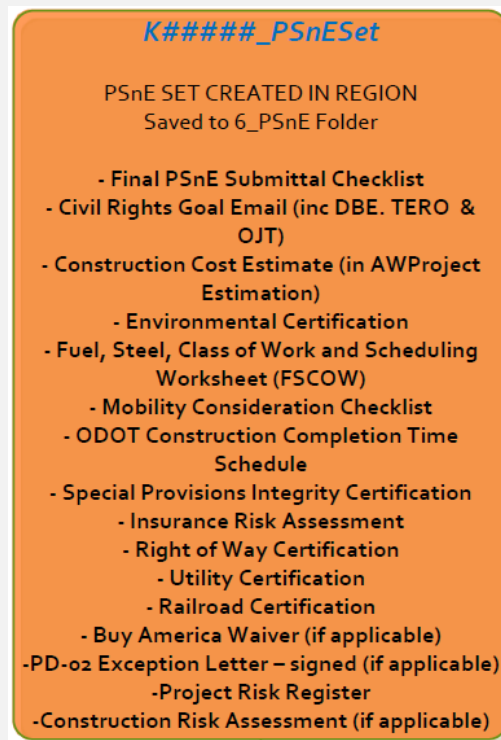


Figure 10: PSnE Set Document List

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 TPM/RE-CP to add “R” to the document name (i.e., **PCO\_K#####\_PSnEChklist\_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

Provide a complete set of electronic, digitally signed plan sheets. Color on plan sheets is not acceptable. Gray scale and shading may be used when allowed by the Sr. Standards Engineer in coordination with the discipline CAD lead. Individual plan sheets must be included in the ProjectWise **K#####\_PlanSet**. PCO Pre-Letting Specialist will not accept gray-scale plans without prior approval of the Sr. Standards Engineer.

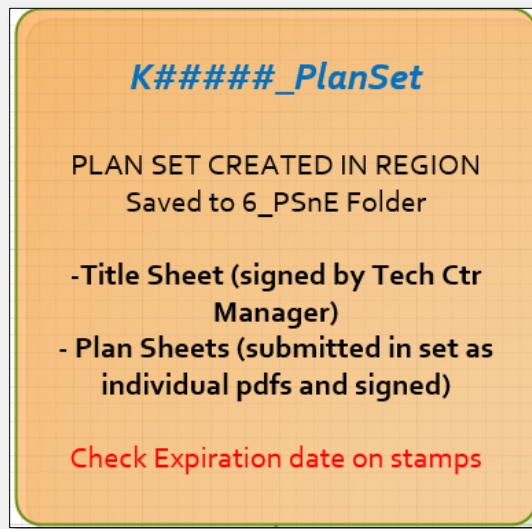


Figure 11: Plan Set Document List

Submit the completed, Professional of Record (POR) digitally stamped and signed plan set.

### 1. Title Sheet

- a. **Project Name:** The project name on the Title Sheet must match the official STIP project name *exactly*. Due to character limits, the words “Section” or “Project” might be left off the STIP name, but either “Section” or “Project” needs to be included on the plans per Section 502 of the [ODOT CAD Manual](#).
  - i. **Drafting Standards:** Format the Title Sheet according to Section 506 of the [ODOT CAD Manual](#).
- b. **Title Sheet must include** ALL of the following:
  - i. **Signature Block:** 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** “Name, Date, Time.” The first signature on the title sheet will be the ODOT Tech Center Manager, City or County Engineer, or the Consultant Principle. [All signatures will be validated individually by PCO.](#)
  - iv. **Type of Work:** The Type of Work is not the same as the Class of Work listed in the Special Provisions. There are ten major types of work: Grading, Drainage, Structures, Paving, Curb Ramps, Signing, Illumination, Signals, Intelligent Transportation System and Roadside Development. Refer to the [Roadway CAD Manual](#), Figure 3-6. The type of work must match the Final PS&E Checklist.



Figure 12: Type of Work Title Sheet Location

- v. **Bid Date:** The month and year the project will be bid.



Figure 13: Title Sheet Bid Date Location

## 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](#) website. Roadway V-Numbers are reassigned every November 1<sup>st</sup>. 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](#) for questions regarding V-numbers.

Series	Sheets that get V-number
A	Title Sheet
B	Roadway Details
C	Roadway Construction (main line)
D	Roadway Construction (match line alignments)
E	Traffic Control
F	Roadside Development/Erosion Control/Wetland Mitigation
G	Geotechnical
H	Hydraulic
Q	Permanent Pavement Markings
R-Z	Outside Agency Plans
Series	Sheets that do not get a V-number (but have other numbers i.e.: Structure)
J	Bridge

K	Intelligent Transportation Systems
L	Signs
M	Signals
N	Automatic Traffic Recording
P	Illumination
Series	
I	Not Used
O	Not Used

- 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.



Figure 14: Project Limit Title Sheet Location

- 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.

STRUCTURE NO. 21610		OREGON DEPARTMENT OF TRANSPORTATION	
BOS DWG NO. 100726		HWY 004 OVER BNSF_MP 2165.62	
CALC. BOOK N/A		US97 @ WICKIUP JCT BRIDGE GIRDER REMOVAL (LA PINE) PROJECT THE DALLES - CALIFORNIA HIGHWAY DESCHUTES COUNTY	
HWY: 004 M.P.: 2165.62		Designer: Zachary T. Beget Drafter: Michael L. Graves Reviewer: Robert E. Grubbs Checker: Robert E. Grubbs	
COUNTY Deschutes		DIAPHRAGM DETAILS	SHEET NO. J04
DATE MAR/2018		FINAL ELECTRONIC DOCUMENT AVAILABLE UPON REQUEST	

Rotation: 0° Scale: 3/8"=1'-0"

Figure 15: POR Stamp Example

- 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) Traffic Standards Unit. The Traffic Signal drawings require approval of TRS if the signal items are on a State highway. Before the TRS places their digital signature, ensure there is a signature field placed for the TRS before the POR placed their signature in the seal. If this is not 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.

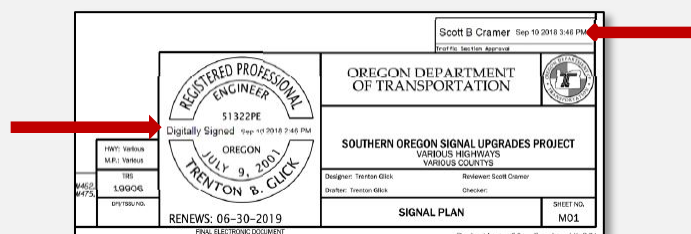


Figure 16: Traffic Signal Plan Sheet Signature Example

The [ODOT CAD Manual](#) section 603 provides instructions for the creation and the digital signature Placement on Plan Sheets, and the correct format for the placement of digital signatures.

#### 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 Exception.*

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 applicable Boilerplate Special Provisions available on the [PCO Specifications](#) website. The applicable version of the Boilerplate Special Provisions to be used for Project Special Provisions are in the boilerplate sets named with the same month as the bid opening date for the project. The three most recent boilerplate sets are available on the website.

The Project Special Provisions are developed and compiled according to [ODOT Specifications 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 [TSB21-01\(B\) - Project Specific Special Provisions Review](#) must be followed. The State Specifications Engineer must approve any modifications to the Standard Specifications or Boilerplate Special Provisions. 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.

State Specifications Engineer (SSE) concurrence is required on all modifications to the Standard Specifications and Boilerplate Special Provisions. SSE concurrence is required prior to PS&E. Allow two weeks for review and concurrence by the SSE. For modifications that also require DOJ review and approval, as determined by the SSE, allow 3 weeks for review and approval. Any modifications to Section 00100s, including more than 3 completion dates in 00180.50(h), always require DOJ review and approval.

**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 COW. The COW is determined using the Fuel Escalation, Steel Escalation, Class of Work worksheet contained within the Fuel, Steel, COW and Scheduling program. 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, PCO will verify

the COW is accurate. Any discrepancies noted will be brought to the attention of the TPM/RE-CP and Specification Writer by the QA reviewer before any change is made.

Contact the PCO QA reviewer, PCO cost estimator, or ODOT State 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). 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***.

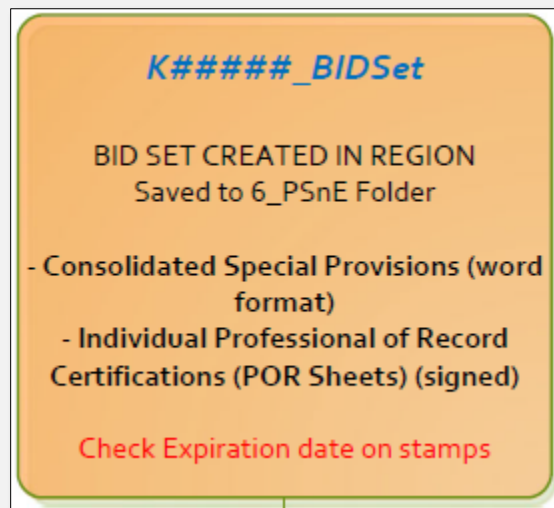


Figure 17: Bid Set Document List

#### ***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 State Specifications Engineer](#), and are covered under the [Project Special Provision Integrity Certification](#) (see Section 4.2.e.). 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 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.

PROFESSIONAL OF RECORD CERTIFICATION:	
Seal w/signature	I certify the Special Provision Section(s) listed below are applicable to the design for the subject project for <u>(list specific design elements, i.e. "Bridge XYZ" or "Traffic Signals")</u> . Modified Special Provisions were prepared by me or under my supervision.  Section(s) <u>(fill in section number(s) here)</u>
FINAL ELECTRONIC DOCUMENT AVAILABLE UPON REQUEST	

Figure 18 - POR Certification Sheet Example

### 4.2.e. SPECIAL PROVISION INTEGRITY CERTIFICATION

The [Special Provision Integrity Certification](#) form documents the approval of all non-standard changes to the Standard Specification, Part 00100 – General Conditions or other legal changes made to any section of the Standard Specifications, Parts 00200 – 03000 – Technical Specifications.




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.”

The Special Provisions Integrity Certification should not be signed until after all concurrences and approvals to special provisions or Standard Specification modifications have been received from the State Specifications Engineer. Special Provision Integrity Certifications submitted which are in non-compliance with concurrence requirements will not be accepted and require re-submittal after the proper concurrences are obtained.

The digitally signed [Special Provisions Integrity Certification](#) sheet must be included in the K#####\_PSnESet, signed by the Specification Writer, with each project. (*SP\_K#####\_SIC*)



# Oregon

Kate Brown, Governor

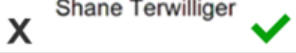
**Department of Transportation**  
Tech Center  
Roadway & Utilities Unit  
455 Airport Rd SE, Bldg A  
Salem, OR 97301-5397  
Telephone (503) 986-2990  
Fax (503) 986-5817

DATE: July 30, 2020

TO: Jaimé Viramontes  
Project Controls Office Manager

CC: Samone Stinson

Aug 20 2020 1:53 PM

 Shane Terwilliger

FROM: Shane Terwilliger PLS

FINAL ELECTRONIC DOCUMENT AVAILABLE UPON REQUEST

SUBJECT: SPECIAL PROVISION INTEGRITY CERTIFICATION  
Project name: OR126: Florence – Eugene Shoulder Widening Section  
Project key number: 20149

I hereby certify that the following statements are true:

1. All required and applicable boilerplate special provisions, as listed on the ODOT Specifications website, have been incorporated into the consolidated Special Provisions for the subject project;
2. For all modifications included in the consolidated Special Provisions, with the exception of those allowed by the instructions contained within the boilerplate special provisions, all required reviews have been completed and all required approvals and acceptances have been received from the applicable Technical Resource, and the ODOT Senior Specifications Engineer in accordance with the Department of Justice (DOJ) exemption letter to ODOT, dated February 1, 2018. All Sections containing modifications, with the exception of those allowed by the instructions contained within the boilerplate special provisions, are listed below.
3. As the preparer of the consolidated Special Provisions for this Project, I have complied with the "Modified Exemption from DOJ Legal Sufficiency Review and Approval for ODOT Highway Construction Contracts" dated February 1, 2018.

00150, 00180, 00220, 00280, 00290, 00294, 00390, 00840, 01030, 01040

Certification with modification

Page 1 of 1

Rev. 9-13-19

Figure 19: Special Provisions Integrity Certification Example

### 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, OJT HOURS AND TERO

Disadvantaged Business Enterprise (DBE) goals are included in project Special Provisions only on federally funded projects when required by the Office of Civil Rights (OCR). The DBE Goals 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.

On-the-Job Training (OJT) hours will be included in the OCR email, as will the Tribal Employment Requirements Ordinance (TERO) calculation, where applicable. All requirements should be submitted in a single document. Submit one .pdf copy of the email from OCR showing the assigned DBE Goal for the project in the K#####\_PSnESet (***SP\_K#####\_DBEGoalIssue\_##***).

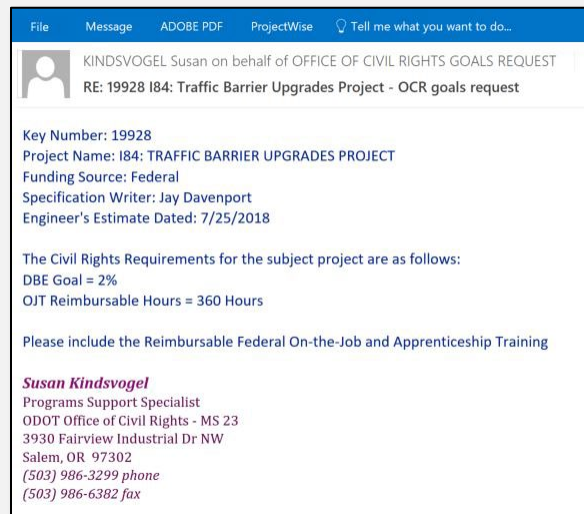


Figure 20: OCR Email Example

OCR will assign Goals, Aspirational Targets and OJT hours based upon the project dollar value at the time the assignment is requested. Contact OCR to confirm if the project Goals/Targets are affected if any of the following occurs:

- The goal is stale (more than 3 months old);
- There have been significant changes in the estimate (greater than  $\pm 10\%$ );
- The funding source changes (Federal/State);
- Significant addenda adds a major scope or a significant amount of work proportional to the project.

This must be done prior to PS&E submittal.

### 4.2.g. CONSTRUCTION COST ESTIMATE

The Construction Cost Estimate is the total estimated CN phase budget needed to fund the cost of biddable items, anticipated items (non-biddable), and construction engineering costs. Refer to the [AASHTOWare Estimation](#) web page for assistance with training, access and completing the PS&E Cost Estimate.

### 4.2.h FUEL INDEX AND SCHEDULING PROGRAM

The [fuel index and scheduling program](#) contains a worksheet file and a scheduling file that are dynamically linked to each other and are both submitted at PS&E. See the [Fuel, Steel, Class of Work and Scheduling Template Guide](#) for additional guidance.

#### 4.2.h.1. FUEL-STEEL-CLASS OF WORK AND SCHEDULING TOOL

The Fuel Escalation, Steel Escalation, Class of Work worksheet uses the construction cost estimate data exported from AASHTOWare Project Estimation to determine the following items identified in the project's special provisions:

- Major fuel usage pay items eligible for fuel cost price escalation/de-escalation
- Steel material pay items eligible for steel material price escalation/de-escalation
- Class(es) of work for the project in which bidders must be prequalified

Submit one .xlsx of the Fuel Escalation, Steel Escalation, Class of Work worksheet in the K#####\_PSnESet (SP\_K#####\_FSCOW\_##).

#### 4.2.h.2. CONSTRUCTION TIME ESTIMATE

The Construction Time Estimate scheduling file generates a standardized construction contract schedule using production rate data contained in the worksheet file and restrictions contained in the project specifications.

Submit one .mpp (Microsoft Project) of the Construction Time Estimate using the ODOT template ([Fuel Index and Scheduling Program](#)) in the K#####\_PSnESet (SP\_K#####\_CTE\_##).

#### 4.2.h.3. A+B PROJECT CONSTRUCTION TIME SCHEDULES

For A+B Projects, in addition to the Construction Time Estimate required in Section 4.2.h.2 prepare an accelerated Construction Time Estimate 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 Estimate timeline and the accelerated Construction Time Estimate timeline.

Submit one .mpp (Microsoft Project) of the Construction Time Estimate in the K#####\_PSnESet (*SP\_K#####\_CTE\_##*).

Submit one .mpp (Microsoft Project) of the accelerated Construction Time Estimate in the K#####\_PSnESet (*SP\_K#####\_CTE\_##*).

Submit one .mpp (Microsoft Project) of the schedule comparison of the Construction Time Estimate timeline and the accelerated Construction Time Estimate in the K#####\_PSnESet (*SP\_K#####\_CTE\_##*).

### 4.2.i. PROJECT INSURANCE RISK ASSESSMENT SUMMARY

The [Traditional Highway Construction – Insurance Risk Assessment \(IRA\)](#) (internal ODOT site), offered by the ODOT Procurement, is used to assist in the development of insurance requirements for the project. The IRA should be completed by the TPM/RE-CP. The IRA is available to internal ODOT staff on the [OPO Risk Management intranet](#). Consultants can assist the TPM/RE-CP in filling out the IRA, however the TPM/RE-CP needs to verify all data. The IRA is available to Consultants on the [ODOT Procurement website](#) under Miscellaneous Procurement Forms. The IRA output information is used to identify insurance types and amounts to be included in the Project Special Provisions, Section 00170.70.

For projects requiring Pollution Liability coverage or other additional coverages, as identified within the Insurance Risk Assessment, concurrence from the [ODOT Procurement Risk and Compliance Analyst](#) is required.

Refer to the [Project Delivery – Operational Notice PD15](#) for additional guidance. If additional support is required, contact the [ODOT Procurement Risk and Compliance Analyst](#).

Submit one electronic copy of the completed Insurance Risk Assessment in the K#####\_PSnESet (*PM\_K#####\_IRA\_##*). Attach a copy of the concurrence from the ODOT Procurement Risk and Compliance Analyst when applicable.

### 4.2.j. 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.

Any project certifications signed after two key numbers have been combined must use the key number that has the approved construction phase applied. Any documentation signed under an old key number after the project combine occurs is a non-participating item and risks the funding the entire project.

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

**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 PS&E 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. See the [ODOT Right of Way Manual](#), Section 10.500 for LPIF guidance. 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.k. 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.l. 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 21<sup>st</sup> 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 containing iron or steel must be incorporated into a project, a Buy America waiver will need to be requested. As early in the project delivery process as possible, the TPM/RE-CP 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.m. 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 qualifying PD-02 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. If the approved PD-02 Exception Letter is not included in the PSnE\_Set, the project may be accepted late and recorded late on the Phase Gate Monitoring Report, or the PS&E Submittal may be completely rejected and the project will be rescheduled to a later date when all of the PD-02 Exception Letter items can be completed. Allow a **MINIMUM** of two weeks to get approval after submittal to PCO.

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. PCO encourages TPM/RECPs to reach out to the PCO Pre-Letting Specialist/PCO Manager to discuss any items of concern. 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 PCO Pre-Letting Specialist can provide the correct date if unsure.

The exception letter must list all outstanding items and provide all details available to better inform the Statewide Project Delivery Manager during their review:

- Risks
- Expected completion date
- Phase you are requesting to advance to (PS&E or Advertisement)
- Any progress made to date
- Current state of item (i.e. IGAs have received verbal approval, awaiting official signature)
- Contingency plan if item is not cleared by date expected
- Person responsible for ensuring item has been cleared
- Complete background on why the item has been delayed
- Any additional actions being taken by Region to complete this item

Failure to provide this information will delay approval of your letter.

The following items are high risk deliverables that are generally rejected when 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 most likely 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
- Construction Cost Estimate in AASHTOWare Project Estimation
- Construction Time Estimate
- 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
- Full STIP Amendments or major changes

By default, approved PD-02 Exception Letters are assumed to authorize projects to proceed to advertisement only. The PD-02 Exception Letter must be cleared the Thursday prior to advertisement, or the project Advertisement/Bid Date will be rescheduled. If unsure of the date of advertisement, contact the PCO Pre-Letting Specialist. This date must be added to the letter.

Any item incomplete at PS&E that was not historically approved as a PD-02 Exception item must now document **on a PD-02** that the Statewide Project Delivery Manager, The Project Delivery Unit Manager, PCO Manager and FHWA Region Engineer have assessed the risks to the project and have accepted those risks to allow the project to proceed through advertisement. This PD-02 must be submitted with the PSnE\_Set to document the status of the project completeness. 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.

It is recommended that a draft of the PD-02 Exception Letter be sent to the PCO Pre-Letting Specialist for review prior to obtaining Region signatures. PD-02 Exception Letters must be written by ODOT Staff on region letterhead. Letters completed by consultant staff will not be accepted. Submit one letter



listing all items whenever possible. Once the draft has been approved, the TPM/RECP will be responsible for gathering region signatures.

Region will save the file to the ProjectWise Project Management folder, using the naming tool and send a link to the document with region signatures to the Pre-Letting Specialist **ONLY**. Do not cc to the Chief Engineer/Statewide Project Delivery Manager to avoid confusion. This will delay your approval process. Signature fields must be placed for PCO, the Chief Engineer and the Statewide Project Delivery Manager. Once approved by the PCO Pre-Letting Specialist, PCO will obtain the required signatures, and return a confirmation of the signed PD-02 Exception Letter to the responsible TPM/RECP, as well as everyone included on the cc list, for inclusion in the K#####\_PSnESet. (**PM\_K#####\_PD02EX\_##**) Allow a **MINIMUM** of two weeks approval time after submittal to PCO. The PCO Pre-Letting Specialist will distribute the approved PD-02 Exception Letter to the cc list provided on the template.

It is the TPM/RECP's responsibility to track the outstanding item and notify the PCO Pre-Letting Specialist when it has been cleared, in order to ensure that the item is closed within the timeline approved by management. If the item does not clear within the approved timeline, a new PD-02 Exception Letter must be submitted to request approval to a later phase, or the project must be rescheduled. The PCO Pre-Letting Specialist will close the PD-02 Exception Letter and notify all appropriate parties.

#### 4.2.n. 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 and/or meeting minutes indicating Statewide Mobility Program support (and Mobility Advisory Committee support, if applicable) with any project restrictions identified in the Special Provisions.

Submit one .pdf copy of the signed checklist and any supporting emails and/or meeting minutes in the K#####\_PSnESet. (**TZ\_K#####\_MC\_##**) NOTE: Statewide Mobility Program signature not required if “No Mobility Impacts” box is checked on the form.

#### 4.2.o. RAILROAD CERTIFICATION FORM

The Railroad Certification form is completed by the State Railroad Liaison. Contact the State Railroad Liaison to have this form filled out. This form certifies that all railroad work has been completed, or that all necessary agreements 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 Railroad Certification form in the K#####\_PSnESet. (**RR\_K#####\_RRCert\_##**).

### 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 finding 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.

TPM/RE-CPs should recognize during completion of a Change Management Request (CMR), required for any changes in scope, schedule and/or budget, when STIP changes are required and work with their Region STIP Coordinator for their region to complete them prior to PS&E submittal. 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](#) and Policies on their website.

Contact the [Senior Interchange Engineer](#) or [Interchange Engineer](#) 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 Funds 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)?*

All Roadway Design Exception requests must be submitted a minimum of 4 weeks prior to the PS&E Submittal due date. The Roadway Design Exception Requests will be submitted to the [ODOT Design Exceptions](#) in-box for processing.

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 Exceptions must be saved in the 1\_Design/Roadway ProjectWise folder using the naming tool. The PCO Pre-Letting Specialist will check the Final PS&E Completeness Checklist, and if Design Exceptions are noted, will also check the 1\_Design/Roadway folder to ensure they have been approved. Design Exception status is available on the Roadway Engineering [Design Exceptions](#) site. Absence of any completed Design Exceptions will result in the PS&E acceptance process being held until these are obtained, and a new bid date will be required. Design Exceptions cannot be a PD-02 Exception item.

*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). Bridge Design Deviations will be handled similar to the Roadway Design Exceptions.

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

Geotechnical Design Deviations are explained in the ODOT Geotechnical Design Manual, [Section 1.2.2](#). At the point of PS&E Submittal, geotechnical design deviations must be approved by ODOT and FHWA (if required). Geotechnical Design Deviations will be handled similar to the Roadway Design Exceptions.

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

Hydraulic Design Deviations are explained in the ODOT Hydraulics Manual, [Chapter 3](#). At the point of PS&E Submittal, hydraulic design deviations must be approved by ODOT and FHWA (if required). Hydraulic Design Deviations will be handled similar to the Roadway Design Exceptions.

*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 [RD 20-01\(B\)](#). 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.

*LETTERS OF PUBLIC INTEREST FINDING (LPIF) and STATE EXEMPTION ORDER (SEO): Have all required LPIFs and SEOs been submitted and approved? Have all approved LPIF's been uploaded to the Electronic Bidding Information System (eBIDS)?*

Letters of Public Interest Finding and State Exemption Orders 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.

Effective October 28, 2019, the Federal Highway Administration regulations regarding Letter of Public Interest Finding, Patented and Proprietary Projects changed.

**From:** [GAUTHIER, Michelle M](#)  
**To:** [ODOT Consultant Project Managers](#); [ODOT Resident Engineers](#); [ODOT Project Leaders](#)  
**Cc:** [WINDSHEIMER, Rian M](#); [WEST, James E](#); [ANDERSON, Stephanie](#); [SIPP, Craig A](#); [PATTERSON, Kenneth E](#); [FARNSWORTH, Gary C](#); [TOWNSEND, Robert L](#); [CIMMITYOTT, Patrick N](#); [JOHNSON, Jarod E](#); [HUNTER, Chris](#); [READING, Frank H](#); [PAYNE, Vivian B](#); [DAVENPORT, Jay](#); [EELLS, John](#); [HAMILTON, Tiffany](#); [MARTIN, Kelli N](#); [TRIANA, Sean R](#); [TERWILLIGER, Shane](#); [GAMBLE, Michael](#); [MCKINLEY, Larry \\*](#); [ODOT](#); [CLARK, Tamira J](#); [ANDERSON, Daniel A](#); [HOWE, Heather C](#); [LIPPSMEYER, Michael J](#); [MCKINLEY, Larry \\*](#); [ODOT](#); [OBERLANDER, Elijah](#); [RIEDL, John J](#); [SCOTT, Karen N](#); [STELLMACH, Gregory F](#); [SUTKOWSKI, Melissa](#); [THIEL, Kevin A](#); [WOLF, Joe](#)  
**Subject:** Important Update on Letters of Public Interest Finding for Patented/Proprietary Products  
**Date:** Tuesday, October 15, 2019 11:56:36 AM

### PLEASE SHARE WITH ALL PROJECT DELIVERY STAFF

Effective October 28, 2019 the Federal Highway Administration regulations regarding Letters of Public Interest Findings, Patented and Proprietary Products are changing.

In order to provide greater flexibility and encourage innovation in the selection of proprietary or patented materials, the new ruling will eliminate the requirements limiting the use of Federal funds in paying for patented or proprietary materials, specifications, or processes. Rule [23 CFR 635.411 Material or Product Selection](#) has been revised to reflect these changes. State Statue 279C.345 still requires approval if a *specific item* is being required on a project.

#### What this means for you:

On projects with federal funding, you will no longer be required to gain federal approval for a Patented or Proprietary Item, but you WILL be required to gain approval at the State Level if you are choosing to request an 'Approved Equal Not Allowed' item on your project.

#### How:

We will rescind the Letter of Public Interest Finding and/or Exemption from Approval Equal Requirement Template and replace it with the [State Exemption Order – Exemption from Approved Equal Requirement](#) template. The requirements for justification of the request, associated costs, procurement method, alternatives and Buy America have not changed. The submittal and approval process for the new template will not change, they will still be submitted to the Pre-Letting Specialist for review, processing and approval by the Project Controls Office Manager.

#### When:

This ruling **takes effect on October 28, 2019**. All projects bidding prior to this date are not affected. *If your project bids after this date, and you already have LPIFs in place for the project, you will not need to update those.* If your project bids after this date and you still need to complete your requests, you will be required to use the new template.

Please contact the Project Controls Office if you have any questions regarding the new process or requirements.

Figure 21: Update on LPIF for Patented or Proprietary Products Email



Examples of materials or processes that require a LPIF are:

- State Exemption Order – Patented Proprietary Items
- Agency Supplied material
- Salvage materials
- Work performed by Utilities, Railroad or Agency forces
- Publicly owned equipment
- Mandatory Disposal site
- Mandatory Material Source

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 [PCO email in-box](#). The LPIF will be reviewed and, if accepted, forwarded to the PCO Manager (delegated from the State Traffic-Roadway Engineer) for approval. The project team is encouraged to contact the PCO to review the proposed LPIF or SEO prior to obtaining region signatures.

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 PS&E documents (and potentially the schedule) could result.

The TPM/RE-CP is responsible for uploading the approved LPIF or SEO as a Bid Reference Document in Electronic Bidding Information System ([eBIDS](#)). Anticipated Item Requests should not be uploaded to eBIDS. The TPM/RE-CP 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 provided separately, as needed, to a contractor to understand the project and develop an informed bid. They should include documents that are necessary for a bidder to 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. If there are questions on what should be uploaded as bid reference documents, please reach out to your Area Manager.

The TPM/RE-CP 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 Resident Engineer’s Office for the construction phase of the project after the bid opening.

Consultants do not have access to upload documentation to the eBIDS system. All Bid Reference Documents created by a Consultant must be added to the Consultant ProjectWise folder structure, and then uploaded to the eBIDS system by an ODOT RE-CP. A QC review of these submittals must be performed by the ODOT RE-CP prior to uploading. If eBIDS will not allow files to be uploaded, contact the PreCon System Administrator or PCO [Pre-Letting Specialist](#) to request access.

#### 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. Boilerplate Special Provision 00120.15 also needs to be included in the Project Special Provisions when a mandatory pre-bid is to be held.

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 TPM/RE-CP 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 PCO Manager for all non-standard anticipated items on a project.

Standard items not requiring approval are:

- Asphalt/Fuel/Steel Escalation,
- ACP Statistical Bonus, and
- ACP/PCC Smoothness Bonus.

Anticipated Items must be included in PS&E Cost Estimate. When the estimate is entered into PreCon during the PS&E Submittal Acceptance phase, the PCO Cost Estimator will confirm that all required anticipated item requests have been obtained and match the appropriate Bid Item totals included in the PS&E Estimate. Anticipated Item descriptions and amounts must be identical across all project documentation. If there are items in the estimate that are not supported by an anticipated item request, the acceptance process will be held until this has been complete.

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 must be submitted to the [Pre-Letting Specialist](#) a minimum of 2 weeks prior to PS&E Submittal due date. 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. PS&E will not be accepted without the request finalized. Anticipated item requests cannot be a PD-02 Exception item. Anticipated Item requests submitted after PS&E may also result in the project being moved to a later bid date. Anticipated Item requests should not be uploaded to eBIDS.

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 Resident Engineer, 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 [TSB21-01\(B\) – 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](#), Resident Engineers 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 [State Railroad Liaison](#) for more information. A railroad flagging agreement is required for all railroad projects that have an anticipated railroad flagging item. Contact the State Railroad Liaison to verify all required agreements are in place.

*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. IGAs must be completed and the PD-02 Exception Letter must be closed-out one week prior to advertisement. 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. CA/CEIs must be approved and the PD-02 Exception Letter must be closed-out one week prior to advertisement.

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. All PSKs must be finalized and the PD-02 Exception Letter must be closed-out one week prior to advertisement.

*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.d.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 reviewer 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 to 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 official 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.

Once the project is obligated, the PCO Pre-Letting Specialist will document the date of approval, which will be displayed on the Bid Date Planning and Status Report.

FHWA Ad Approval DT
10/24/2022
11/08/2022
11/07/2022

*Figure 22: Bid Date Planning & Status FHWA Ad Approval Date Column*

### 5.1.a. MULTI-PARAMETER FHWA APPROVAL REQUIREMENTS

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

The PCO Pre-Letting Specialist is responsible for ensuring all identified PD-02 Exception items have been cleared prior to advertisement. **The project TPM/RE-CP carries the responsibility to confirm to the PCO Pre-Letting Specialist 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 will come from the PCO Pre-Letting Specialist during the PD-02 Exception Letter close-out procedure.

### 5.3. STATE REQUIREMENTS – A+B AND MULTI-PARAMETER FINDINGS 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 bidders 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 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, TPM/RE-CPs 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

The detailed reason for postponement will allow PCO to provide a report to the Statewide Project Delivery Manager on why projects are being postponed. Projects must be postpone a minimum of two weeks unless otherwise approved by the PCO manager.

**ALL** unsolicited issues, questions and inquiries from contractors and others shall be requested in writing from the Resident Engineer 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 5 pm of the fifth working day prior to the bid opening day UNLESS prior agreement has been made with the PCO QA reviewer and the PCO Manager. This means:
  - If a project is scheduled for bid opening on a Thursday, the deadline for submitting the addenda to the PCO QA reviewer is 5 pm 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 reviewer assigned to the project ahead of time can help with timely processing. Submitting drafts of large or complex addenda letters to the project QA reviewer 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 professional engineer. Submit to the QA reviewer 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 (**K#####\_Addendum\_AD01**), 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 reviewer 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 reviewer for entry into PreCon. An updated Bid Schedule will be attached to the flattened addenda letter and forwarded to OPO for posting.

**Plan Sheets** – Revised, digitally signed plans sheets are required to be submitted with any Addenda which modifies a plan sheet. Addenda plan sheets must include revision triangles. Submit as part of the addendum set and add the individual addendum 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 must approve all addenda.

### 6.2. LETTER OF CLARIFICATION (LOC)

A Letter of Clarification (LOC) is intended to be informational in nature and appropriate for situations where there are no changes being made to the bidding documents (i.e., plans, specifications, quantities or bid items). The LOC allows for a more equitable and transparent process for all bidders involved. A LOC is used for adding bid reference documents to eBIDS, to make known Agency responses to bidder questions, or provide clarification.

A LOC cannot be used to change the bidding documents or postpone the project; these actions require an addendum. A LOC is not a contract document. A LOC cannot answer a question by saying changes to the plans, specifications, or bid schedule should be made. When bidder questions result in needing to change or make correction to plans, specifications, or bid items, an addendum is required instead of a LOC. All changes to the bidding documents must be through an addendum.

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

The Construction Resident Engineer is responsible for determining which bidder questions require a LOC to clarify the Agency intent or position. Use of LOC to respond to bidder's questions should be considered for:

- Questions that may impact how all bidders bid a project.
- The same or similar question is raised by multiple bidders.



- Responses to questions that could present unfair advantage or favor if not provided to all bidders.
- Responses do not require changes to the bidding documents.
- Responses that require additional bid reference documents to be made known.

Submit a signed copy of the LOC to the PCO QA reviewer in the 6\_PSnE folder (**K#####\_LOC\_##**). 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 QA reviewer will review the LOC to ensure that none of the responses are changing the bidding documents. If needed, the State Specifications Engineer may be consulted and will also review the LOC. Any adjustments to the LOC will be consulted with the RE Office prior to publishing. The QA reviewer will forward the signed LOC to OPO – CCU, who will load the LOC onto eBIDS. See [Operational Notice PD-07](#) and the [Letter of Clarification Guidance](#) for more information.

**LOC Submittal Timing** – The earliest a LOC can be published is the day the advertisement begins. LOCs to respond to bidders questions should not be saved up until the end of the LOC posting period. Questions should be posted as they are received, depending on the number and type of questions. Timely periodic group postings of questions via LOC should reduce the amount of questions generated during the bid process, especially when nearing the bid opening.

LOC should be submitted to PCO QA reviewer no later than 5 pm on the Thursday before a Thursday bid opening. When addressing bidder questions, a LOC can be posted up to 48 hours prior to the bid opening (typically 9 a.m. the Tuesday before a Thursday bid opening). Exceptions to this agreed upon timeframe can be made by the PCO Manager. See Operational Notice PD-07 for more information.

### 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 reviewer by the close of business the day of the bid opening. This document becomes a part of the project Contract. The footer of the Project Special Provisions must be updated to read “Contract” according to the [ODOT Specifications 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 *PCO\_Bid\_Submissions* folder (**PCO\_K#####\_PSnEQARpt\_##**)



### SECTION 8 – PROJECT RE-BID

On rare occasions, a project may have all bids rejected and must be re-bid. When this happens, several items are needed:

1. To schedule the new bid date, request a placeholder bid date, complete a CMR and updated Microsoft Project Schedule with the place holder bid date, and submit to the PCO Pre-Letting Specialist. See [Appendix F](#).
2. A full PS&E package including all PS&E sets submitted via ProjectWise with a “\_R” at the end to indicate re-bid.
3. All initial bid files must remain intact and shall not be overwritten. This is critical to ensure the complete history of the project is maintained in the permanent record, per retention requirements.
4. A new Final PS&E Submittal Checklist is required, updated with new dates and signatures. Ensure if there is a change to scope or budget, that is also detailed.
5. Special Provisions will need to be updated with the new bid date, contract completion date, any boilerplate updates, and incorporating any addenda from the previous advertisement.
6. Plans are required to be updated with a new title sheet, incorporating any addenda from the previous advertisement with revision triangles removed, and any other updates needed by the project team. Ensure if there is a change in scope or budget, that is clearly reflected in the new plan set.
7. Estimates are required to be updated to incorporate any addenda from the previous advertisement and any other changes to scope or budget.
8. An updated construction time estimate.
9. Office of Civil Rights requirements are required to be refreshed if stale (older than 90 days from initial goal calculation).
10. A PD-02 exception letter is needed for any outstanding items.
11. Bid Reference Documents will need to be re-loaded into eBids for the new bid date.

Additional changes may also be needed depending on the project or circumstances. Check with the PCO Pre-Letting Specialist for any additional requirements.

### SECTION 9 – PROJECT RE-SUBMISSION

On rare occasions, a project may submit a PS&E package and have it accepted by the PCO Pre-Letting Specialists but will not go to advertisement. When this happens, several items are needed:

1. To schedule the new bid date, request a placeholder bid date, complete a CMR and updated Microsoft Project Schedule with the place holder bid date, and submit to the PCO Pre-Letting Specialist. See [Appendix F](#).
2. A full PS&E package including all PS&E sets submitted via ProjectWise.

3. All initial bid files must remain intact and shall not be overwritten. This is critical to ensure the complete history of the project is maintained in the permanent record, per retention requirements.
4. A new Final PS&E Submittal Checklist is required, updated with new dates and signatures. Ensure if there is a change to scope or budget, that is also detailed.
5. Special Provisions will need to be updated with the new bid date, contract completion date, and any boilerplate updates.
6. Plans are required to be updated with a new title sheet and any other updates needed by the project team. Ensure if there is a change in scope or budget, that is clearly reflected in the new plan set.
7. Estimates are required to be updated to incorporate any changes to scope or budget.
8. An updated construction time estimate.
9. Office of Civil Rights requirements are required to be refreshed if stale (older than 90 days from initial goal calculation).
10. A PD-02 exception letter is needed for any outstanding items.
11. Bid Reference Documents may need to be re-loaded into eBids for the new bid date if the contract number has changed.

Additional changes may also be needed depending on the project or circumstances. Check with the PCO Pre-Letting Specialist for any additional requirements.

**APPENDIX A – ACRONYMS AND DEFINITIONS**

A+B	Price Plus Time (A+B) alternative contracting method. Determines the best value contractor based on a combination of price (A) and time (B) components.
Multi-Parameter	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).
BDDM	Bridge Design/Drafting Manual
CHAMPS	Central Highway Approach/Maintenance Permit System
COW	Class of Work
CPDG	ODOT Contract Plans Development Guide
DOJ	Oregon Department of Justice
FHWA	Federal Highway Administration
IGA	Intergovernmental Agreement
LPIF	Letter of Public Interest Finding
NEPA	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.
OCR	ODOT Office of Civil Rights
OPO	ODOT Procurement Office (most of the time specifically the Construction Contracts Section)
OTC	Oregon Transportation Commission
PCO	ODOT Project Controls Office (includes Specifications, Estimating and Pre-Letting)
PODI	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.
POR	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.
PS&E	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.
QA	Quality Assurance. Most of the time specifically referring to the process of the QA Reviewer in the Project Controls Office and their role in reviewing the elements of projects turned in for PS&E
QC	Quality Control. Most of the time specifically referring to a routine effort made to check information on a project for consistency to ODOT standards.
STIP	State Transportation Improvement Plan
STR	Statements of Technical Review

Boilerplate Special Provisions	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 State Specifications Engineer, the Department of Justice Business Transactions Section and Federal Highway Administration.
CE Minimums	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)
Project Special Provisions	The Project Special Provisions is a single document consisting of a set of assembled Boilerplate Special Provisions and any project-specific Special Provisions that modify the Standard Specifications to an individual project. The Special Provisions and Standard Specifications together make up the contract specifications.
PS&E Due Date	The date the PS&E Package is due to PCO. This date is based on the bid date and the number of weeks for advertisement and is assigned by PCO. Submittals are due to PCO by 8:00 a.m. on the PS&E due date.
PS&E Acceptance Date	The date all deliverables are accepted as completed at PCO.
PS&E Provider	The organization or business entity providing the complete PS&E package. This may be an ODOT Region, a Local Agency or a private consulting firm, or a combination thereof.
Standard Specifications	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.

## APPENDIX B – PCO STAFF RESOURCES

Pre-Letting QA Reviewers		
Samone Stinson QA Engineering Specialist	<a href="mailto:Samone.R.Stinson@odot.oregon.gov">Samone.R.Stinson@odot.oregon.gov</a>	971-372-0788
Nathaniel Powell QA Engineering Specialist	<a href="mailto:Nathaniel.Powell@odot.oregon.gov">Nathaniel.Powell@odot.oregon.gov</a>	503-618-6767
Karen Scott, P.E. Specifications Engineer / QA/QC Engineer	<a href="mailto:Karen.N.Scott@odot.oregon.gov">Karen.N.Scott@odot.oregon.gov</a>	503-986-6637
Bid Date Changes/Scheduling		
Pre-Letting Specialist	<a href="mailto:ODOTPreLetting@odot.oregon.gov">ODOTPreLetting@odot.oregon.gov</a>	503-871-8523
Specifications		
Dan Anderson, P.E. Senior Specifications Engineer	<a href="mailto:Daniel.A.Anderson@odot.oregon.gov">Daniel.A.Anderson@odot.oregon.gov</a>	503-986-3777
Heather Howe Specifications Engineer	<a href="mailto:Heather.C.Howe@odot.oregon.gov">Heather.C.Howe@odot.oregon.gov</a>	503-986-3751
Bethany Veil, P.E. Specifications Engineer	<a href="mailto:Bethany.Veil@odot.oregon.gov">Bethany.Veil@odot.oregon.gov</a>	503-986-3107
Estimates and Construction Scheduling		
Joe Wolf Senior Cost Estimator – Project Analysis Team	<a href="mailto:Joe.Wolf@odot.oregon.gov">Joe.Wolf@odot.oregon.gov</a>	503-569-8108

Troy Wilson Cost Estimator	<a href="mailto:Troy.C.Wilson@odot.oregon.gov">Troy.C.Wilson@odot.oregon.gov</a>	503- 949- 8624
Jay Davenport Senior Cost Estimate Engineer	<a href="mailto:Jay.Davenport@odot.oregon.gov">Jay.Davenport@odot.oregon.gov</a>	503- 586- 6002
Lonnie McDonald Cost Estimator	<a href="mailto:Lonnie.McDonald@odot.oregon.gov">Lonnie.McDonald@odot.oregon.gov</a>	503- 586- 9127
Policy and Procedures		
Jaimé Viramontes, P.E. PCO Manager	<a href="mailto:Jaime.Viramontes@odot.oregon.gov">Jaime.Viramontes@odot.oregon.gov</a>	503- 986- 3796

## APPENDIX C – PCO ORGANIZATION CHART

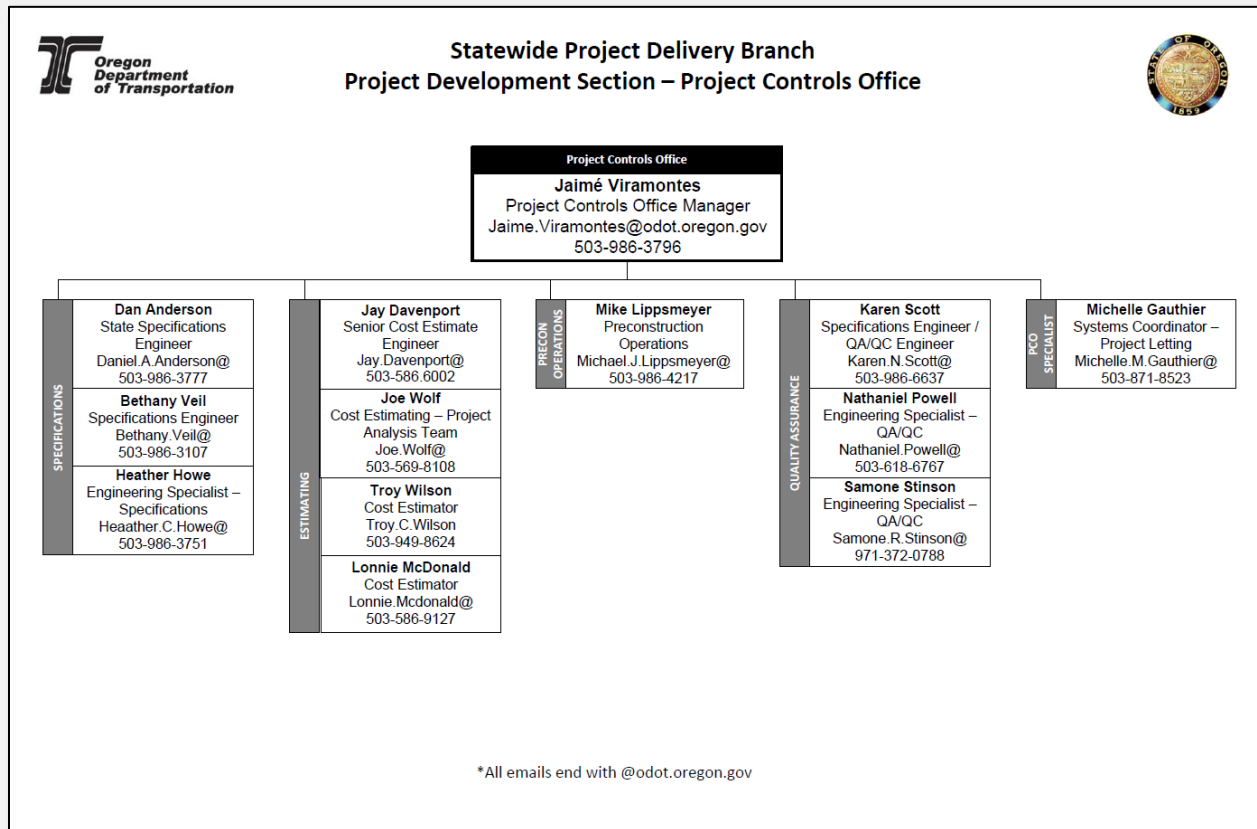


Figure 23: PCO Organization Chart

## APPENDIX D – 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.

In accordance with OSBEELS requirements, ODOT requires contract plans and specifications (finals documents) stamped and digitally signed by a Professional of Record to be independently verifiable by a Certificate Authority (3rd party). These requirements apply to agency and consultant signatures equally.

ODOT personnel can contact [ODOTDigitalSignature@odot.oregon.gov](mailto:ODOTDigitalSignature@odot.oregon.gov), to establish and obtain a signature account. Once a signature account is assigned by your agency's signature program administrator, a 3rd party certificate authority can be viewed to verify a digital signature. If you have not contacted a 3rd party certificate authority, you are using a self-sign program, which cannot be verified and renders a digital signature non-compliant.

All agencies submitting final documents to ODOT's Project Controls office (PCO), for the first time, are encouraged to send a sample of a digitally stamped and signed plan sheet to the [PCO Pre-Letting Specialist](#) to review the digital signature for compliance, at least 2-3 weeks prior to PS&E submittal due date. The PCO's preliminary review will provide the design team enough time to adjust the digital signature to meet compliance requirements.

PS&E packages submitted to the Project Controls Office with non-compliant digital signatures will not be accepted and returned for correction. Prior to submitting a PS&E package, EACH contract plan sheet and POR digital signature should be verified for the following:



STRUCTURE NO. 21610		OREGON DEPARTMENT OF TRANSPORTATION		
BDS DWG NO. 100726		HWY 004 OVER BNSF_MP Z165.62		
CALC. BOOK N/A		US97 @ WICKIUP JCT BRIDGE GIRDER REMOVAL (LA PINE) PROJECT THE DALLES - CALIFORNIA HIGHWAY DESCHUTES COUNTY		
HWY: 004 M.P.: Z165.62		Designer: Zachary T. Beget	Reviewer: Robert E. Grubbs	
COUNTY Deschutes		Drafter: Michael L. Graves	Checker: Robert E. Grubbs	
DATE MAR/2018	RENEWS: 12-31-2019	DIAPHRAGM DETAILS		SHEET NO. J04
FINAL ELECTRONIC DOCUMENT AVAILABLE UPON REQUEST				
Rotation: 0° Scale: 3/8"=1'-0"				

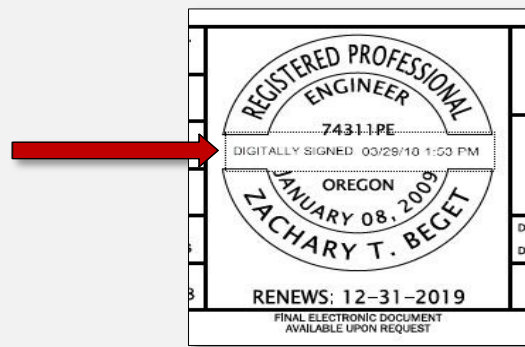
Figure 24: Final Electronic Document Available Upon Request Example



The correct signature block must be used, and the “Final Electronic Document Available Upon Request” notice must be located below the stamp.

The Engineer of Record’s Stamp must be placed on the document and the document must then be converted to a .pdf.

The Digital Signature must be placed onto the .pdf after it has been created. If the document requires a concurrence signature (i.e., by the ODOT Bridge Engineer), you must add both signature fields before applying your own signature. The document has been signed correctly if the field can be highlighted when your cursor is placed over top of the signature field. You will notice the dotted line surrounding the signature. This shows an “active” signature that can be validated.



*Figure 25: Digital Signature Example*

The Pre-Letting Specialist will look at the signature Certificate to ensure it indicates that the signature was assigned by someone other than the signer, and that the date/time stamp on the signature has not expired.

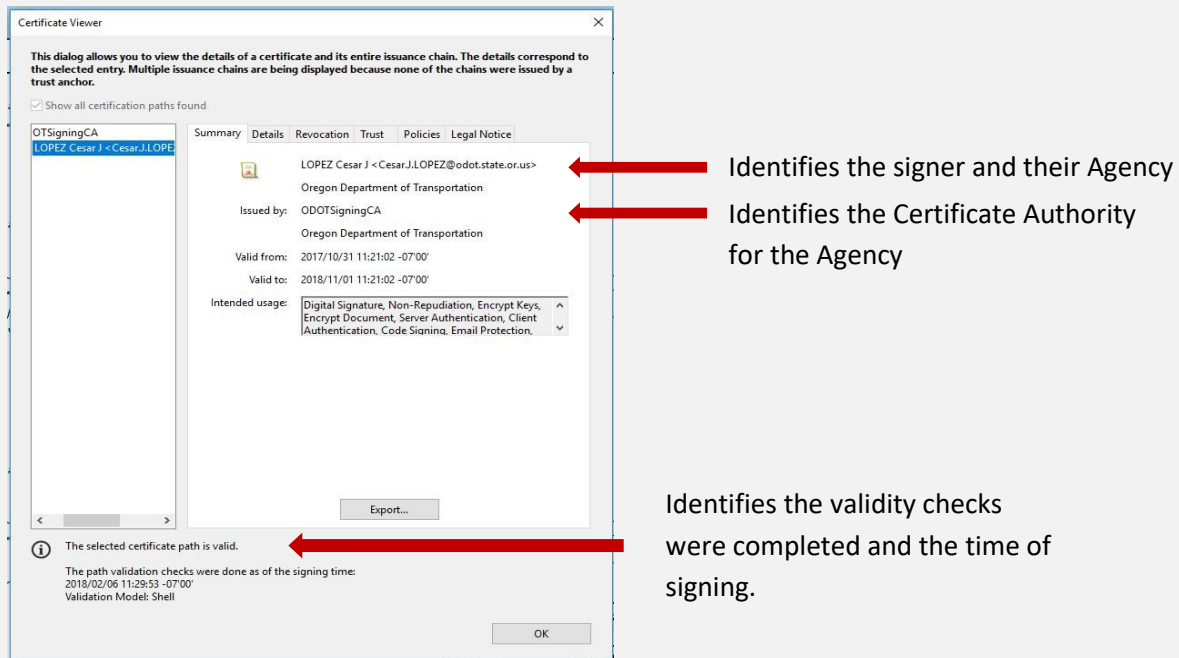


Figure 26: Signature Certificate Example

When considering whether your digital signature program meets ODOT and OSBEELS requirements, refer to the following:

OSBEELS refers to Oregon Administrative Rule (OAR) 820-025-0010, which states:

- (1) A "Digital Seal and Signature" is a signature and electronic authentication process that is attached to an electronic document.
- (2) A "Digital Seal and Signature" is not a photocopy, scanned copy, or other facsimile of a signed and sealed hard copy document, nor it is a copy or facsimile of a rubber stamp seal and ink signature, nor is it a copy of a computer-generated image of a seal and ink signature. Seals and signatures in this subsection (2) of the rule are not allowed on final documents.
- (3) For electronic final documents, a "Digital Seal and Signature" ("digital signature") is acceptable as an alternative to a stamped or computer-generated image of a seal with handwritten signature in permanent ink, if:
  - a. The digital signature is unique to the registrant using it;
  - b. The digital signature is independently verifiable by a Certificate Authority (3rd Party)
  - c. The digital signature is under the sole control of the registrant using it;
  - d. The digital signature is linked to the document in such a manner that the digital signature is invalidated if any data in the document is changed;
  - e. The electronic files containing a single page, the registrant affixes a computer-generated image of a stamp that bears the phrase "digitally signed" in lieu of and in the location

*designated for a hand-written signature on that page. The computer-generated image of the stamp must be of a stamp as described in OAR 820-025-001(1) and (2), including the size prescribed in OAR 820-025-001 when the page is printed to full size.*

For ODOT Digital Signature assistance, please contact: [ODOTDigitalSignature@odot.oregon.gov](mailto:ODOTDigitalSignature@odot.oregon.gov)

The [Digital Signature website](#) includes helpful information for consultants.

## APPENDIX E – SUBMITTAL to PCO REQUIREMENT QUICK LIST

<b>PHASE</b>	<b>DOCUMENT</b>	<b>REQUIREMENTS</b>	<b>PW FOLDER</b>	<b>PW NAME</b>
<b>PROJECT INITIATION SET</b>			<b>0_Project_Initiation</b>	<b>K#####_PI_Set</b>
	Project Charter	Digitally signed	PM	PM_K#####_PC_##
	CMR-00		PM	PM_K#####_CMR_00
	RMS Schedule	Pdf format	PM	PM_K#####_MSPS_##
	Risk Register		PM	PM_K#####_RR_##
<b>DAP SET</b>			<b>2_DAP/DAP_Sets</b>	<b>K#####_DAP_Set</b>
	Certificate of Design Acceptance with DAP Checklist	Digitally signed	PM	PM_K#####_DAM_##
	Design Narrative	Pdf format	PM	PM_K#####_DAPNarr_##
	DAP Exception Request	Digitally signed	PM	PM_K#####_DAP_ER_##
	RMS Schedule	Pdf format	PM	PM_K#####_MSPS_##
	Risk Register		PM	PM_K#####_RR_##
<b>PSnE – PSnE SET</b>			<b>6_PSnE</b>	<b>K#####_PSnESet</b>
	Final PS&E Submittal Checklist	Digitally signed	Specifications	PM_K#####_PSEChklist_##
	Completed Environmental Documentation	Digitally signed	Environmental	EN_K#####_CE_##
	OCR Documentation	.pdf of email	Specifications	SP_K#####_DBEGoalIssue_##
	PS&E Construction Cost Estimate	In AASHTOWare Project Estimation	In AASHTOWare Project Estimation	In AASHTOWare Project Estimation
	Special Provision Integrity Certification	Digitally signed	Specifications	SP_K#####_SIC_##

## Phase Gate Delivery Manual

	Construction Time Estimate	.mpp file	Specifications	SP_K#####_CTE_##
	Fuel Escalation, Steel Escalation, and Class of Work Worksheet	.xls file	Specifications	SP_K#####_FSCOW_##
	Insurance Risk Assessment Summary		Specifications	SP_K#####_IRA_##
	Right of Way Certification	Digitally signed	Right of Way	RW_K#####_RWCert_##
	Utility Certification	Digitally signed	Utilities	U_K#####_Cert_##
	Railroad Certification	Digitally signed		RR_K#####_RRCert_##
	Mobility Certification	Digitally signed	Traffic	TZ_K#####_MC_##
	Buy America Waivers	If Applicable	PM	PM_K#####_BAW_##
	PD-02 Letter, Signed	If Applicable	PM	PM_K#####_PD02EX_##
	Risk Register		PM	PM_K#####_RR_##
<b>PSnE – PLAN SET</b>			<b>6_PSnE</b>	<b>K#####_Plan_Set</b>
	Plan Sheets	Individual, digitally sealed and signed		
<b>PSnE – BID SET</b>			<b>6_PSnE</b>	<b>K#####_BIDSet</b>
	Special Provisions	Word, with track changes	Specifications	SP_K#####_ConSP_##
	POR Sheets	Individual, digitally sealed and signed	Specifications	SP_K#####_POR_**

*Documents are created/saved in their discipline folder and added to the submittal as part of a set.*

\*\* = PORs initials

## APPENDIX F – PROJECT SCHEDULING AND RE-SCHEDULING REQUIREMENTS MATRIX

A	B	C	D	E	F
Project Bid Date Schedule Type	Agency Risk Level	TPM/RECP Action (Follow steps x.1 through x.4)	Project Controls Officed (PCO) Action	Requirement Documentation and Time Frame	Final Project Schedule Completion
<b>1. Initial Schedule</b>  <i>Contact PCO to confirm availability of bid date no later than completion of PI documentation.***</i>	Low  (Project Risk Register used to confirm level of risk)	1.1 Contact PCO <b>prior to finalizing CMR and MSPS</b> for placeholder date, advertisement length and PS&E due date.	1.2 PCO issues placeholder date, provides ad length and PS&E due date.	CMR-00 Project Charter MSPS Risk Register  <b>Goal within 6 weeks</b> of placeholder date assignment or may result in loss of placeholder date.	Project Initiation submittal accepted, project schedule complete. Official bid date now published on the PCO <i>Bid Date Planning and Status Mater</i> spreadsheet, and published to the 12 Month Contractors Look Ahead Report (if applicable)
		1.3 Complete all relevant sections of the CMR, send to PCO once it is signed, update and publish MSPS.	1.4 Once CMR is received and MSPS is confirmed by PCO, PCO assigns the official bid date.		
<b>2. Reschedule outside 12 month window</b>  - If existing official bid date and new bid date is outside 12 months  <i>Contact PCO as soon as reschedule is known to be needed, to confirm availability of bid date prior to completion of reschedule to documentation.***</i>	Low  (Project Risk Register used to confirm level of risk)	2.1 Contact PCO <b>prior to finalizing CMR and MSPS</b> for placeholder date, advertisement length and PS&E due date.	2.2 PCO issues placeholder date, provides ad length and PS&E due date.	CMR Project Charter  <b>Goal within 6 weeks</b> of placeholder date assignment or may result in loss of placeholder date.	Reschedule documentation accepted, project reschedule complete. Official bid date now published on the PCO <i>Bid Date Planning and Status Mater</i> spreadsheet.
		2.3 Complete all relevant sections of the CMR, send to PCO once it is signed, update and publish MSPS.	2.4 Once CMR is received and MSPS is confirmed by PCO, PCO assigns the official bid date.		

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placeholder bid date fall within 12 months from date placeholder is requested  <i>Contact PCO as soon as reschedule is known to be needed, to confirm availability of bid date prior to completion of reschedule to documentation.***</i>		4.3 Complete all relevant sections of the CMR, send to PCO once it is signed, update and publish MSPS.	4.4 Once CMR is received and MSPS is confirmed by PCO, PCO assigns the official bid date.	CMR Project Charter  <b>Goal within 6 weeks</b> of placeholder date assignment or may result in loss of placeholder date.	<i>and Status Mater</i> spreadsheet and published to the 12 Month Contractors Look Ahead Report in "Green" status*.
<b>5. Bid Date Reschedule Within 3 months of</b>	Moderate to High  (Project Risk Register used to	5.1 Contact PCO prior to finalizing CMR and MSPS for placeholder date, advertisement length and PS&E due date.	5.2 PCO issues placeholder date, provides ad length and PS&E due date.		Reschedule documentation accepted, project reschedule complete. Official bid date now published on the PCO

<p><b>Existing Official Bid Date</b></p> <ul style="list-style-type: none"> <li>- If existing official bid date and new placeholder bid date falls within 3 months from date placeholder is requested</li> </ul> <p><b>Contact PCO as soon as reschedule is known to be needed, to confirm availability of bid date prior to completion of reschedule to documentation.***</b></p>	<p>confirm level of risk)</p>	<p>5.3 Complete all relevant sections of the CMR, send to PCO once it is signed, update and publish MSPS.</p>	<p>5.4 Change placeholder to official bid date.</p>	<p>CMR Project Charter</p> <p><b>Goal within 4 weeks</b> of placeholder date assignment or may result in loss of placeholder date.</p>	<p><i>Bid Date Planning and Status Mater</i> spreadsheet and published to the 12 Month Contractors Look Ahead Report. Project reported on the 12 Month Contractors Look Ahead Report in “Yellow” status until reschedule is complete*. Project then published on 12 Month Contractors Look Ahead Report in “Green” status on new official bid date once final reschedule documentation is accepted*.</p>
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<p><b>6. Bid date reschedule within 30 days of Existing Official Bid Date</b></p> <ul style="list-style-type: none"> <li>- If existing official bid date falls within 30 days from date new official bid date is requested</li> </ul> <p><i>Contact PCO as soon as reschedule is known to be needed, to confirm availability of bid date prior to completion of reschedule to documentation.***</i></p>	<p><b>High to unacceptable</b></p> <p>(Project Risk Register used to confirm level of risk)</p>	<p>6.1 Contact PCO <b>prior to finalizing CMR and MSPS</b> to confirm desired bid date is available.</p>	<p>5.2 Official bid date confirmed, PCO provides ad length and PS&amp;E due date. PCO will remove the project from the old bid date, but not publish the new one until reschedule documentation is complete, CMR is submitted to PCO and updated MSPS is published.</p>	<p>CMR Project Charter</p> <p><b>Goal within 2 weeks of new date confirmation, CMR and MSPS must be presented to PCO prior to any dates moving.</b> If STIP Amendment is involved, it must be entered and in “pending” status in STIP***.</p>	<p>Official bid date will be published on 12 Month Contractors Look Ahead Report in “Green” status on new official bid date once final reschedule documentation is accepted*.</p>
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<p><b>7. Bid date reschedule within 30 days of existing PS&amp;E Due Date</b></p> <p>- If existing official <b>PS&amp;E</b> due date falls within 30 days from date new official bid date is requested</p>	<p><b>High to unacceptable</b></p> <p>(Project Risk Register used to confirm level of risk)</p>	<p>7.1 Contact PCO <b>prior to finalizing CMR and MSPS</b> to confirm desired bid date is available.</p>	<p>7.2 Official bid date confirmed, PCO provides ad length and PS&amp;E due date.</p>	<p>CMR Project Charter</p> <p><b>Goal within 1 week of new date confirmation</b>, CMR and MSPS <b>must be presented to PCO prior to any dates moving</b>. If STIP Amendment is involved, it must be entered and in “pending” status in STIP***.</p>	<p>Official bid date will be published on 12 Month Contractors Look Ahead Report in “Green” status on new official bid date once final reschedule documentation is accepted*.</p> <p><b>PCO Manager will contact the Area Manager to ensure documentation can be provided in timely manner.</b></p>
<p><b>8. Anticipated Construction Phase (bucketed funding) projects</b></p> <p><i>Contact PCO to confirm availability of bid date no later than completion of PI documentation***</i></p> <p><i>-If project is part of a bucket of funding and construction funding is</i></p>	<p><b>Moderate</b></p> <p>(Project Risk Register used to confirm level of risk for anticipated construction funding)</p>	<p>7.1 Contact PCO <b>prior to finalizing CMR and MSPS</b> to confirm desired bid date is available.</p> <p><b>NOTIFY PCO AT THIS TIME THAT THIS PROJECT IS PART OF A BUCKETED CON PHASE, INCLUDE ANTICIPATED CON ESTIMATE.</b></p>	<p>8.2 Placeholder bid date confirmed. PCO provides ad length and PS&amp;E due date. The placeholder will stand until the project receives construction funding in STIP-FP.</p>	<p><b>CMR MSPS</b></p> <p>CMR and MSPS <b>must be presented to PCO</b>. PCO will note that project is anticipated to be funded for CON.</p> <p><b>Rebaseline with CMR and MSPS with CON phase is approved.</b></p>	

<i>anticipated, a placeholder must be requested.</i>		8.3 Complete all relevant sections of the CMR, send to PCO once it is signed, update and publish MSPS.	8.4 Placeholder will remain until CON phase is assigned.		Bid date will remain a placeholder until CON phase has been funded. Project will be reported as a placeholder on Bid Schedule. On 12 Month Contractors Look Ahead Report, project will be reported but flagged as an anticipated construction funded project and not yet an official bid date.
		8.5 When CON phase has been assigned*** (no later than Advance Plans), notify PCO.	8.6 Change placeholder to Official bid date.		Project will be advanced to official bid date, reported on the PCO <i>Bid Date Planning and Status Master</i> spreadsheet as an official date. Project reported on 12 Month Contractors Look Ahead Report in "Green" status.

\*\*\*If PCO has not been contacted to secure a placeholder date prior to submittal of schedule or reschedule documentation, the documentation may be rejected based on bid date availability.

## APPENDIX G – PS&E SUBMITTAL RESPONSIBILITIES MATRIX

<b>Submittal Requirement</b>	<b>Partially Outsourced – ODOT Lead</b>	<b>Partially Outsourced – Consultant Lead</b>	<b>Fully Outsourced</b>
All requirements listed correspond to the Final PS&E Submittal Checklist.	Portions of the project have been outsourced, with ODOT acting as primary.	Portions of the project have been outsourced, with Consultant acting as primary.	Project will be delivered by consultant with ODOT providing support where required.
<b>FINAL PS&amp;E SUBMITTAL CHECKLIST</b>			
<b>1. SUBMITTAL PACKAGE REQUIREMENTS</b>			
a. Final Design Plans for all applicable non-bridge disciplines	ODOT Prepares Plan_Set, ODOT Tech Center Manager signs Title Sheet	Consultant Prepares Plan_Set, Consultant Principal* signs Title Sheet	Consultant Prepares Plan_Set, Consultant Principal* signs Title Sheet
b. Final Bridge Plans	ODOT Bridge Section if not outsourced	Consultant if outsourced	Consultant
c. Completed Environmental Documentation <ul style="list-style-type: none"> <li>If Project is NEPA Class 1 or Class 3, is EA or EIS Complete</li> <li>If project is Class 2, submit CE Closeout, PCE Approval or No Ground Disturbance document</li> </ul>	ODOT – obtained prior to RW phase approval by FHWA	ODOT – obtained prior to RW phase approval by FHWA	ODOT – obtained prior to RW phase approval by FHWA

d. Project Special Provisions	ODOT Region Specification Writer	Consultant in conjunction with Region Specification Writer for concurrence	Consultant
e. POR Certification with all Special Provisions sections stamped	ODOT/Consultant all sign appropriate sections	ODOT/Consultant all sign appropriate sections	Consultant sign appropriate sections
f. Signed Special Provision Integrity Certification	ODOT Region Specification Writer	Consultant	Consultant
g. Office of Civil Rights Goals/target (as applicable) <ul style="list-style-type: none"> <li>• DBE Goals</li> <li>• MWESB Aspirational Target Values</li> <li>• OJT Hours</li> <li>• TERO</li> </ul>	<a href="#">ODOT Office of Civil Rights</a>	ODOT Office of Civil Rights via <a href="#">Consultant request</a>	ODOT Office of Civil Rights via <a href="#">Consultant request</a>
h. PS&E Cost Estimate in PreCon	ODOT Estimator	Consultant	Consultant
i. ODOT Construction Completion Time Schedule	ODOT Estimator	Consultant	Consultant
j. Fuel, Steel Class of Work and Scheduling Worksheet	ODOT Estimator	Consultant	Consultant
k. Insurance Risk Assessment	ODOT using <a href="#">Internal form</a> , added into Special Provisions by ODOT Specification Writer	Consultant Using <a href="#">External form</a> , QC by ODOT, added to Special Provisions by Consultant	Consultant Using <a href="#">External form</a> , QA by ODOT, added to Special Provisions by Consultant
l. Right of Way Certification signed by Region R/W Manager	ODOT	ODOT	ODOT
m. Utility Certification Form	ODOT	ODOT	ODOT
n. Buy America Waiver (If applicable)	ODOT/FHWA	ODOT/FHWA	ODOT/FHWA



o. Signed PD-02 Exception Letter (if Applicable)	Completed by ODOT on Region Letterhead, submitted by ODOT to PCO	Completed by Consultant on ODOT Region Letterhead, submitted by ODOT	Completed by Consultant on ODOT Region Letterhead, submitted by ODOT
p. Signed Project Mobility Considerations Checklist (with MCTD supporting emails attached)	ODOT, added to Special Provisions by ODOT Specification Writer, when applicable	ODOT added to Special Provisions by Consultant, when applicable	Completed by Consultant, added to Special Provisions by Consultant, when applicable
q. Project Risk Register	ODOT	Consultant (see 2.1 Process Responsibility, <a href="#">Guide To Managing Project Risks for ODOT STIP</a> , page 4)	Consultant (see 2.1 Process Responsibility, <a href="#">Guide To Managing Project Risks for ODOT STIP</a> , page 4)
<b>FINAL PS&amp;E COMPLETENESS CHECKLIST</b>			
<b>1. FHWA REQUIREMENTS</b>			
a. Has FHWA approved any related STIP Changes (OTC approval required prior to FHWA)?	ODOT/Region STIP Coordinator	ODOT/Region STIP Coordinator	ODOT/ Region STIP Coordinator
b. Does the current published STIP match the project description?	ODOT	ODOT	ODOT
c. Has FHWA approved the Interchange Modification Request regarding Additional Interchanges to the Interstate System?	ODOT	ODOT	ODOT
<b>2. DESIGN DOCUMENTATION</b>			
a. Roadway Design Exceptions: Have all required Design Exceptions been approved by the ODOT State Roadway Engineer	ODOT	Consultant with ODOT Concurrence	Consultant

and FHWA (when required)?			
b. Bridge Deviations: Have all required Bridge Design Deviations been approved by the ODOT State Bridge Engineer and FHWA (when required)?	ODOT	Consultant with ODOT Concurrence	Consultant
c. Statements of Technical Review (STRs): Are all STR's completed and on file?	ODOT	Consultant with ODOT Concurrence	Consultant
d. 1R Projects: Has the project been approved for 1R by the ODOT Pavement Services Engineer and Region Roadway Management AND included on the 1R Project Spreadsheet list?	ODOT	Consultant with ODOT Concurrence	Consultant with ODOT Concurrence
e. Letters of Public Interest Findings (LPIFs): Have all required LPIF's been submitted and approved?	ODOT on Region Letterhead	Completed by Consultant on Region Letterhead, submitted by ODOT	Completed by Consultant on Region Letterhead, submitted by ODOT
f. Bid Reference Documents: Have all required Bid Reference Documents, such as hydraulic reports, pavement reports, geotechnical reports and traffic reports, been obtained?	ODOT	Consultant	Consultant

g. Notice of eBIDS Roadway Digital Design Data Letter and eBIDS Handoff Package: Will the digital roadway design data be obtained prior to advertisement or has the exception documentation been obtained from the Region Roadway Manager?	ODOT	Consultant	Consultant
<b>3. SPECIAL PROVISIONS</b>			
a. Mandatory Pre-Bid: If required, has the Mandatory Pre-Bid been approved by the Area Manager and date coordinated with PCO Staff?	ODOT	Consultant with ODOT Concurrence	Consultant with ODOT concurrence
b. Anticipated Items: Have all Anticipated Items been approved in accordance with PD-07?	ODOT on Region Letterhead	Completed by Consultant on region letterhead, submitted by ODOT	Completed by Consultant on region letterhead, submitted, by ODOT
c. Specification Changes: Have all modifications to the project Special Provisions been documented according to Region-specific process as required by TSB12-01(B)	ODOT Region Specification Writer	Consultant with ODOT specification writer concurrence	Consultant
d. Section 280 Erosion and Sediment Control: Has concurrence from the	ODOT Region Specification Writer	Consultant with ODOT specification writer concurrence	Consultant

Section 280 Technical Resource been obtained in accordance with GE12.01(A)?			
e. Special Pre-Qualifications	ODOT Region Specification Writer	Consultant with ODOT specification writer concurrence	Consultant
<b>4. CERTIFICATIONS</b>			
a. Railroad: Are all required Railroad Agreements and Permits complete and signed?	ODOT /ODOT Rail	Consultant /ODOT Rail	Consultant /ODOT Rail
b. IGA's: Have all required Intergovernmental Agreements (IGA) been signed by all parties (fully executed)?	ODOT Procurement	ODOT Procurement (?)	ODOT Procurement (?)
c. Utility CIA status available from the State Utility Liaison			
<b>5. GENERAL</b>			
a. Are required Personal Services Contract for Contract Administration/Construction Engineering-Inspection (CA/CEI) services complete and signed by all parties? (fully executed)?	ODOT	ODOT	ODOT
b. Are all required Personal Services Contracts for Professional-of-Record engineering construction	ODOT	ODOT	ODOT

support complete and signed by all parties? (fully executed)?			
c. Storm Water Operation and Maintenance (O&M) Manuals: Have the O&M Manuals been completed and submitted to the Technical Services Geo-Environmental Unit?	ODOT	Consultant	Consultant
d. Tribal Employment Rights Ordinance (TERO): Are there Indian Preference requirements on this project? If so, which tribe and at what percentage?	ODOT Office of Civil Rights	ODOT Office of Civil Rights	Consultant requests, ODOT Office of Civil Rights
e. Digital Signatures meet OSBEELS requirements	ODOT check signatures while preparing Plan_Set	ODOT check signatures while moving sheets from consultant folder to Plan_Set	Consultant Check signatures while preparing Plan_Set
f. Traffic Signal Plans have been signed by the State Traffic Signal Engineer	ODOT	Consultant	Consultant
<b>MISCELLANEOUS</b>			
<b>1. eBIDs files loaded</b>	eBIDs Set created by ODOT /Loaded to eBIDS by ODOT	eBIDS Set created by ODOT/Loaded to eBIDS by ODOT	eBIDS Set created by ODOT/Loaded to eBIDS by ODOT
<b>2. Addendum Preparation</b>	ODOT Specification Writer	Consultant with ODOT Specification Writer concurrence	Consultant
<b>3. Letters Of Clarification Preparation</b>	ODOT Specification Writer *Concurrence of ODOT RE Office, if ODOT is constructing project	Consultant with ODOT Specification Writer concurrence *Concurrence of ODOT RE Office, if ODOT is constructing project	Consultant