



# **Project Delivery Manual**

**Milestones, Deliverables, and Project Management for  
ODOT, ODLAP, In-house and Outsourced Projects**

**April 2026**

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### Revision Log

Version #	Date	Description
Version 1	11/07/25	Create all content for milestones and project management deliverables. Version will transition to version 2 updates after posted and announced.
Version 2	04/08/26	Updated links as needed; renamed QA/QC section to Quality Reviews per Quality Plans; updated Quality Reviews per Quality Plans to align with Quality Plans; added clarification language to Project Schedule, A&E Procurement, DAP Official Bid Date, PS&E Exception Letters, and Addenda sections; added finalizing STR to the PS&E Process; incorporated the eBIDS Bid Reference Document Guide information; incorporated the LOC Guidance; incorporated Re-Rescheduling PS&E Re-Submission, and Re-Bid Phase Gate Delivery Manual language; added Discipline Guidance section; added Other section; added Emergency Relief-Permanent Repair section for project delivery; added Procurement for construction, separate contracts, and Emergency Relief section.

## Project Delivery Manual Purpose and Overview

This manual encompasses the essential guidance, forms, and resources for project development. It includes statements as well as links to federal, state, and ODOT requirements. Additionally, it offers examples of best practices.

Any region-specific guidance is referenced via a link and should not be interpreted as statewide guidance, ensuring that the manual covers all necessary aspects of project development. Region guidance that adds to statewide requirements does not apply to ODOT Delivered Local Agency Program (ODLAP) projects.

- Policies for project development are noted [here](#) as Operational notices which include project delivery notices and project development bulletins.
- Other policies are included in the [Technical Guidance Directory](#) for the technical disciplines.

### How this manual is organized

This manual is organized into sections; the first is divided by milestone and delivery type. Additional sections include deliverables and other subject matter areas.

- Milestone guidance and process
- Deliverables

- Project Development

### Milestone Guidance and Process

Describing the milestone and how to deliver a project

This section of the manual provides an overview of the milestones in the project delivery lifecycle and explains each milestone. It outlines the comprehensive delivery process for transportation projects, from post-scoping planning to construction. It details the steps to execute a transportation construction project successfully.

Note that the construction processes, requirements, and deliverables after the construction contract award are in the [ODOT Construction Manual](#).

**Format of the milestone section:**

The process is a list of steps and then each step is detailed. In each step of the milestone process, there is a standard template.

#### Standard milestone step template

**Title** – The name of the step in the process.

**Responsible Party:**

Who will be doing this work.

**Guidance:**

The explanation of what the work is and why it is happening.

**Objective:**

The goal of the step which will produce either an outcome or a deliverable.

**Process detail:**

- What happens during this step.

**Helpful links:**

- Links to sites for additional resources, policies, reports and guidance.

### Deliverables

Understanding the purpose, details and how to complete

This section focuses on each deliverable. It highlights the importance, the steps needed for completion, and any relevant details or references. At the top of the deliverables section, there is a table that indicates where to find each deliverable and the milestones to which it may be related.

### Project Development Transition

This manual section includes content that can be applied throughout the project delivery lifecycle. Funding, STIP phases, procurement, ITS, and anything not otherwise covered in the milestone process can be found in this section.

### Definitions

#### Roles and Responsibilities

The project manager (PM), whether a Transportation Project Manager (TPM) or a Resident Engineer – Consultant Projects (RE-CP), is critical to the successful delivery of projects. They are responsible for managing the delivery of a project on scope, on time, and within budget. While TPMs or RE-CPs typically fill this role, there may be instances where other agency members step into the project manager’s role. The primary goal of this manual is to equip project managers with the tools and knowledge to deliver a project.

The ODOT construction office is represented on a project team by Resident Engineers (RE). This manual will refer to the person responsible for administering the construction contract as RE, though a RE-CP or others may fill this role.

#### Delivery Type

Delivery type is not inclusive of [alternative delivery](#).

Within this manual, delivery type refers to ODOT, ODLAP, in-house, or Outsourced.

- When no delivery type is specified, the guidance and process are applicable to all projects.

#### In-house

- When a project is delivered by internal ODOT staff, “In-house” is the term used.
- This work includes resource sharing between regions.
- Referring to ODLAP and ODOT in-house projects.

#### Outsourced

- Work that ODOT contracts out on ODOT or an LPA’s behalf.
- This may include goods purchases, A&E consultant contracts, contracts, etc.
- When the project delivery is done by external consultant staff, “Outsourced” is the term.
- This is work we can outsource, and there will still be some internal work (CMRs, submit to PCO, etc.) Meaning ODLAP and ODOT outsourced projects.

#### ODOT

- This includes all ODOT work, regardless of whether it is done in-house or outsourced. This would exclude all work done on behalf of another state, federal, or LPA. Work intended to better ODOT facilities within ODOT’s jurisdiction is included.

- Funds awarded to another agency are not included; however, ODOT manages the project.
- These projects are identified in the STIP under the administrator code “ODOT”
- A project could be initiated and delivered by ODOT (these are referred to as “ODOT” projects)
- Referring to ODOT-delivered projects that are both in-house and outsourced.

**ODLAP**

- A project could be initiated by an LPA and delivered by ODOT on their behalf (these are referred to as “ODLAP” projects) All work that ODOT would deliver on behalf of an LPA.
- ODLAP projects are those identified in the STIP as ODOT/Local. These projects are specific to LPA needs and serve the intent and purpose of developing and improving the regional transportation system. This may or may not involve the state highway system. An ODLAP project may be delivered in-house, outsourced, or partially outsourced.
- All deliverables with little exception should be shared with the LPA as they are developed or at milestone reviews providing a chance to review and comment within the specified timeline for review.
- Region specific requirements are not imposed on ODLAP projects to treat each LPA the same way across the state, with the same deliverables, processes, and requirements statewide. This helps with the reduction of cost, confusion, and demonstrates that ODOT will only conduct the work necessary to complete the project. Any deliverable not shared with the LPA must be identified of what it is, purpose of said document, and why it is not shared for full visibility.

<b>Label in the document</b>	<b>Delivery - Applies to In-house design</b>	<b>Delivery - Applies to Outsourced design</b>	<b>Program - Applies to ODOT projects</b>	<b>Program - Applies to ODLAP projects</b>
<b>No label</b>	x	x	x	x
<b>ODOT</b>	x	x	x	
<b>ODOT inhouse</b>	x		x	
<b>ODOT outsourced</b>		x	x	
<b>ODLAP</b>	x	x		x
<b>ODLAP inhouse</b>	x			x

# Purpose and Overview

## Project Delivery Manual

<b>ODLAP outsourced</b>		x			X
<b>Outsourced</b>		x		x	x
<b>Inhouse</b>	x			x	x

### Getting Started with a Project

This section lists how to get started with a project.

There are many decisions in an ODOT project, from Project Initiation through PS&E. It is important to note:

- There are links to statewide resources throughout the manual.
- Check the written guidance on the [Project Delivery Portal](#) for the most up-to-date advice and requirements
  - You can also ask a senior PM to gain insight from their experience.
- Ask the area manager what the region's project management expectations are.
- Before writing a contract or kicking off a project, the PM should know the following:
  - What is the project supposed to accomplish (Scope)?
  - What are the desired delivery dates (Project Schedule)?
  - What is the funding source(s) and amount(budget)?
- All projects are to be assumed to be federally funded and be delivered to federal standards and assume federalized design and construction.

#### *ODOT*

For ODOT projects, it is essential to note the following:

- Each Region delivers projects slightly differently. The PM is responsible for becoming familiar with the project's region-specific processes, any unique forms, and their location.
- Be familiar with the Transportation Project Management Quality Plan.

#### *ODLAP*

ODOT Delivered Local Agency Program (ODLAP) project delivery may differ from standard ODOT delivery throughout design due to nuances associated with delivering a project on behalf of another agency. The manual notes these nuances, including process, deliverables, and policy differences.

- No additional expense, deliverables, or processes over statewide requirements should be added
- This manual and the ODLAP quality plan define the standards for ODLAP delivery.
- For ODLAP projects, it is important to note the following:
  - Be familiar with the Statewide ODOT Delivered Local Agency Program Quality Plan. It states the standards to be used, and references other manuals, laws, and guidance applicable.

During scoping, scope, schedule, and budget start with the Business Case.

### SCOPE

When a project is started, the Business Case is used as the initial reference of what the project's scope, schedule, and budget are. The PM should check with the listed project sponsor or the area manager to ensure an understanding of the transportation problem and solution. It is the PM's responsibility to manage the scope. Before adding additional scope, the PM should consult with the area manager and

funding program managers. Any scope changes should be made using the Change Management Request (CMR) or Project Change Request (PCR) process.

Notes:

- Ideally, scope changes since scoping would be added to the project charter or local agency technical scope sheet (TSS) by the end of Project Initiation (PI). Additionally, funding source(s) for the change(s) should be identified, and the PM should know the impacts of the updated scope on the project schedule.
- Some projects may be programmed from externally awarded programs and will not have a business case. The PM must determine, based on existing information, the development of the scope of the project. Examples may include earmarks, MPO-awarded projects, discretionary grants, etc.

## SCHEDULE

Regardless of the delivery method, the PM is responsible for managing the schedule. Putting the schedule together requires using the applicable schedule template. The schedule will include elements unique to the project. These may include but not limited to:

- IGAs
- A&E procurement timelines
- pre-bid meetings
- seasonal restrictions for environmental work
- holidays impacting the project timeline
- review times for the project-specific resources

Present the schedule to the project delivery team (PDT) at kick-off for review and buy-in and remind the PDT of due dates along the way. The PM is responsible for updating the project schedule and notifying the PDT of any changed dates. Follow the established change management process to determine if the schedule change requires a change management process.

### Helpful Links

- [Project Delivery Change Request](#)
- [PDB-05](#)
- [Project Change Request](#)

## BUDGET

The PM is responsible for managing the budget for all work during the project. Estimates should be confirmed or updated throughout the project lifecycle, including at each milestone. Updated estimates provide the project team and leadership with necessary information on the progress of the overall regional and agency portfolio.

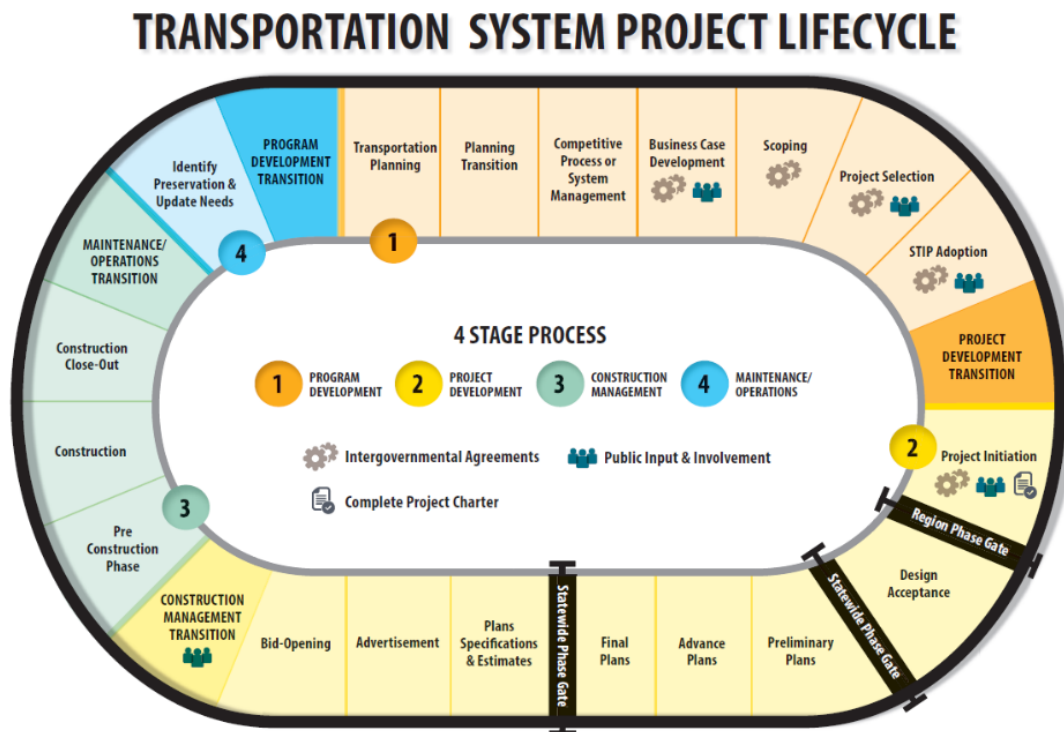
The PM must be familiar with internal ODOT budget tracking tools, systems, and reports to manage and track each project budget assigned effectively. These tools may include but are not limited to the following:

- [Financial audit trail inquiry tool](#) (Internal to ODOT)
- [TEAMS coding tool](#) (Internal to ODOT)
- [STIP-FP](#) (Internal to ODOT)
- Internal cost estimating tool ([ICET](#)) (Internal to ODOT)
- Various reports from regional and statewide offices:
  - [EA End Date Report](#) (Power BI report Internal to ODOT)
  - [Key Number Budget - Expense Report](#) (Power BI report Internal to ODOT)
  - [Phase Budget Alerts Report](#) (Power BI report Internal to ODOT)

Follow the established change management process [refer to change management section] for general information about budget changes necessary during a project.

## Milestone Context and Process

Explanation of each project development milestone.



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# Project Initiation

Project Initiation is the first milestone in the transportation project lifecycle. The goal is to establish certainty on the scope, schedule, and budget to baseline the project. Regions determine the necessary internal and external resources, including other agencies or consultants.

ODOT-administered funding program projects are scoped before project initiation. Projects funded by non-ODOT sources, including federal, state, or local programs, may not be scoped for ODOT delivery and must be evaluated before or as part of project initiation.

### **ODLAP**

During Project Initiation, the project team will work with the area manager and LPA to develop the project documents that are required for initial approval before baselining the scope, schedule, and budget for the project. ODLAP projects do not at this time have performance metrics set in policy, baselining is done to track the progress of each project only.

The PM must ensure that project initiation deliverables do not cause a discrepancy with the IGA in place with the LPA and are consistent with the application or award materials from the funding program(s) funding the project.

## Project Initiation Process

Process details:

### **ODOT in-house:**

- PM opens [PE EA \(PE obligation\)](#)
- PM setup [ProjectWise \(PW\) Folders](#)
- PM/MGR [PDT Assignment](#)
- PDT drafts [Project Charter](#)
- PM drafts [Project Schedule](#)
- PM drafts [CMR-00](#) – Change Management Request
- PDT drafts [Environmental Prospectus](#)
- PM initiates [A&E Procurement](#)
- PDT updates [1R/3R](#) record of decision
- PM drafts [Risk Register](#)
- PDT conducts [CRA](#) - Cost Risk Assessment
- PDT conducts [Constructability Review](#)
- PDT conducts [VE](#) – Value Engineering
- PM initiates Goods, Trades, & Services [\(GTS\) Procurement](#)
- PM initiates [IGA](#) - Intergovernmental Agreements
- PDT holds PDT [Kickoff Meeting](#)
- PDT begins [UDC](#) – Urban Design Concurrence
- PDT submits [Survey Request](#)

- PDT develops [API](#) – Area of Potential Impact
- PM completes [Quality Reviews per Quality Plans](#)
- PM requests [Placeholder Bid Date](#)
- PM submit [Project Initiation Phase Gate Complete](#)
- PCO assigns [Bid Date](#) (Official bid date)
- PM [Baseline schedule](#)

### *ODOT Outsourced*

- PM opens [PE EA \(PE obligation\)](#)
- PM setup [ProjectWise \(PW\) Folders](#)
- PM/MGR [PDT Assignment](#)
- PDT drafts [Project Charter](#)
- PM drafts [Project Schedule](#)
- PM drafts [CMR-00](#) – Change Management Request
- PDT drafts [Environmental Prospectus](#)
- PM initiates [A&E Procurement](#)
- PDT updates [1R/3R](#) record of decision
- PM drafts [Risk Register](#)
- PDT conducts [CRA](#) - Cost Risk Assessment
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- PM completes [Quality Reviews per Quality Plans](#)
- PM requests [Placeholder Bid Date](#)
- PM submit [Project Initiation Phase Gate Complete](#)
- PCO assigns [Bid Date](#) (Official bid date)
- PM [Baseline schedule](#)

### *ODLAP In-house:*

- PM opens [PE EA \(PE obligation\)](#)
- PM setup [ProjectWise \(PW\) Folders](#)
- PM/MGR [PDT Assignment](#)
- PDT [Scope, Schedule, and Budget Validation](#)
- PM draft [Local Agency Technical Scope Sheet](#) (TSS)
- PM drafts [Project Schedule](#)
- PM draft [PCR](#) - Project Change Request
- PDT drafts [Environmental Prospectus](#)
- PM initiates [A&E Procurement](#)

- PDT updates [1R/3R](#) record of decision
- PM drafts [Risk Register](#)
- PDT conducts [CRA](#) - Cost Risk Assessment
- PDT conducts [Constructability Review](#)
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- PDT develops [API](#) – Area of Potential Impact
- PM completes [Quality Reviews per Quality Plans](#)
- PM requests [Placeholder Bid Date](#)
- PM submit [Project Initiation Phase Gate Complete](#)
- PCO assigns [Bid Date](#) (Official bid date)
- PM [Baseline schedule](#)

### *ODLAP Outsourced:*

- PM opens [PE EA \(PE obligation\)](#)
- PM setup [ProjectWise \(PW\) Folders](#)
- PM/MGR [PDT Assignment](#)
- PDT [Scope, Schedule, and Budget Validation](#)
- PM draft [Local Agency Technical Scope Sheet](#) (TSS)
- PM drafts [Project Schedule](#)
- PM draft [PCR](#) - Project Change Request
- PDT drafts [Environmental Prospectus](#)
- PM initiates [A&E Procurement](#)
- PDT updates [1R/3R](#) record of decision
- PM drafts [Risk Register](#)
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- PDT develops [API](#) – Area of Potential Impact
- PM completes [Quality Reviews per Quality Plans](#)
- PM requests [Placeholder Bid Date](#)
- PM submit [Project Initiation Phase Gate Complete](#)
- PCO assigns [Bid Date](#) (Official bid date)
- PM [Baseline schedule](#)

### PE EA (PE Obligation)

#### Responsible party:

Project Manager/Region STIP Coordinator

#### Guidance:

A Preliminary Engineering (PE) Expenditure Account (EA) is needed before starting any design on a project. This is the mechanism by which the PDT charges the project. This process must be completed before starting project initiation work.

#### Objective:

- Distribute EA /Sub-job letter
- ODLAP – Distribute NTP to LPA

#### Process detail:

- The PM is responsible for communicating with the STIP coordinator about getting an EA.
- The STIP coordinator is responsible for communicating with the federal programmer.
- The PM should work with the AM to determine if the PE EA is ready to be opened.
  - The PM confirms with the Area Manager if anything has changed regarding the delivery for the project.
  - The PE EA should not be requested to be opened if design work is not scheduled to begin.
    - There is an ODOT requirement that dollars be spent within 6 months of obligation of funds.
- The PM determines the EA end date.
  - The PE EA end date is updated by the Statewide Investment Management Section (SIMS) 60 days after notice to proceed (NTP) to the construction contractor to be consistent with the closure date of the EA, therefore it is recommended that the PM choose a date a minimum of 6 months past bid to accommodate this and any minor changes in schedule.
  - Best practice is to choose the last day of the FFY following the CN obligation year, or 90 days past expected bid into the next FFY if PS&E is estimated to occur near the end of the CN FFY.
    - This allows for time to rebid the project, if needed.
    - Example: If CN will obligate in 2025, the PE EA end date would be 9/30/2026.
- The PM submits a request to open PE EA.
  - The PM sends an email to the regional STIP coordinator to begin this process.
    - The email needs to include a request to open the PE EA, the key number of the project, and the EA end date.
  - The Region STIP coordinator submits a programming request to SIMS to obligate PE funding.
    - Allow 4 weeks for EA to be created.

- The PM receives the EA/sub-job letter and FMIS report from the STIP coordinator, once funding is obligated.
- The PM distributes the EA/sub-job letter to the PDT.
  - This is the only EA and sub-job(s) that should be charged for the PE phase of the project.
- The PM uploads this EA/Sub-job letter into Project Wise.

### Outsourced

- An activity code is sufficient to track consultant expenses.
  - For a list of activity codes for each EA, consult the TEAMS coding tool.

### ODLAP

- The PM responsibility to coordinate with the LPA on the PE EA end date.
  - The IGA will specify what those contribution requirements are.
  - A project must have an executed IGA to get a PE EA set up.
- The PM provides the regional STIP coordinator with the local agency contact information.
- The PM emails NTP (IGA) to LPA.
  - Only send this email to the LPA if considered a sub-recipient of federal funding.
  - The IGA will state if the LPA is a sub-recipient.

### Helpful links

- [TEAMS Coding Tool](#)
- [Programming Request](#) (internal ODOT document)

## ProjectWise (PW) Folders

### Responsible Party:

Project Manager

### Guidance:

PW folders can be set up when there is a unique identifier for the project, such as a scoping number, M#, or Key number, associated with the project. ODOT uses ProjectWise to store project documents and design files. ProjectWise folders may have been set up before PE EA open if any prior work was completed.

### Objective:

- To have PW folder structure in place.

### Process detail:

- The PM must have ProjectWise Explorer to request PW folder creation.
- The PM determines which disciplines are part of the team and need to store information in ProjectWise, to create a project folder and discipline sub folders.
- The PM follows this process to request folders in ProjectWise: [ProjectWise document for Project folder creation](#)

- The PM selects a folder structure from the available form options.
  - This happens while making the selections in the folder creation process.
- The PM requests the project folders be created early, before or during initiation, as all project documents are to be stored in PW.
  - This ensures all design deliverables are stored.
  - The project manager requests the scoping folder be moved to the project key number folder when creating the PW folders for design.
  - The PM can locate the scoping number by contacting the region scoping coordinator.
- The PM confirms folder structure and notifies PW Admin if any changes are needed.

### Helpful links:

- [ProjectWise - External website](#)
- [Project Folder Creation Request Process](#)

## PDT Assignment

### Responsible Party:

Area Manager and Tech Center Manager

### Guidance:

This task establishes a project delivery team (PDT) responsible for the project's development, review, and creation of construction contract documents.

### Objective:

- To establish the PDT list and contact information.

### Process detail:

- The PM follows region guidance on which managers to contact to assign project team members.
- The managers allocate resources based on the scope, schedule, and budget.
  - Additional resources may be assigned as scope, schedule, and budget are clarified.
- The PM provides clear communication to the project team as to who is assigned to the team, how communication will be handled, and how project updates will be disseminated.

### Best practice:

- Once the project team has been assigned, it is best practice to meet with this group to establish clear communication, roles, responsibilities, and expectations.

### Common PDT members include:

- Construction Resident Engineer (RE) representative
  - This role is on the project team to review constructability throughout design.
- Communications/Community Affairs
- Maintenance district representative

- Rail safety (rail crossing identified within 500 feet of the project)
- Region Mobility Liaison
- Local agency
- Statewide Utility and Rail Liaison (SURL) if rail is identified within 500 feet of the project or reimbursable utilities are identified.
- Technical disciplines:
  - Access Management
  - Bridge
  - Environmental
  - Specification (spec) writers
  - Geotechnical
  - Hazmat
  - Hydraulics
  - ITS
  - Region mobility liaison
  - Pavements
  - Planning
  - Roadway
  - ROW
  - Survey
  - Traffic
  - Utility Coordination (utilities identified)

Other interested parties may include:

- Office of Equity and Civil Rights
- Statewide Risk Management
- Mobility Services Team
- regulatory agencies

### *Outsourced*

- This team includes ODOT personnel, other agencies (if applicable), and consultants.

## Scope, Schedule, and Budget Validation

Responsible Party:

Project Manager

Guidance:

The PM collaborates with the PDT to review the scope, schedule, and budget based on existing documentation.

### Objective:

- Confirm there is enough budget, the scope is accurate, and the schedule is adequate to meet delivery needs.

### Process detail:

### Scope

- The PM reviews the background of the project scope in the following documents:
  - Business case
  - STIP/FP
  - Transportation system plan
  - Scoping narratives
  - Project charter/TSS
- The PM brings questions and clarifications of the scope documents to the PDT for review/discussion.
- The PM discusses scope inconsistencies with PDT and region management.

### Schedule

- The PM reviews the project schedule to set a timeline for project phase gates and milestones.
- The PM coordinates with Area and Tech center managers about which project milestones are applicable.
  - All required milestone dates are in PD-19. These managers determine any other milestones.
  - Single function guidance explains required milestones for those projects.
- The PM reviews STIP phase years in the following documents:
  - STIP/FP
  - Business case

### Project Budget

- The PM reviews the project estimate.
- The PMs work with the PDT to determine if the estimate is sufficient.
  - If the estimate is not sufficient for the scope, the PM works with the area manager and STIP coordinator to determine the best course of action.
- PM verifies the current estimate is reflected in STIP/FP.
  - Per federal law, all project phases must be fully funded in the STIP.
  - When projects exceed STIP obligation amount, the overage must be addressed within 90 days of the overage.
- For projects with an IGA, the PM verifies that the IGA and budget are consistent.

### Helpful links:

- [Single function project](#)
- [STIP Project Expenditure Account Report](#)

### Project Charter - ODOT Only

Responsible Party:

Project Manager

Guidance:

**The project charter is for ODOT projects. It does not apply to ODLAP projects.**

The Project Charter serves as the initial agreement between PDT members for the scope, schedule, budget, approach, and risks of the project. It is required for every project ODOT delivers on the State Highway System that does not have a TSS.

Objective:

- Complete Project Charter.

Process detail:

- The PM reviews the approved business case problem and solution statements to identify the scope.
- The PM works with the technical resources to draft the project charter.
  - If the project was scoped, there will be a charter in PW scoping folders.
- The AM reviews the project charter for completeness and clarity.
- The PM sends the project charter for approval.
- The PM places the approved project charter in PW.

*Outsourced*

- It is helpful to draft the charter before beginning the A&E procurement process as it will aid in developing the Statement of Work (SOW).
- The PM is responsible for completing the project charter, but the consultant can review and assist with revisions.

Helpful links:

- [Project Charter Form 734-2948A](#)

### Local Agency Technical Scope Sheet (TSS) - ODLAP Only

Responsible Party:

Project Manager

Guidance:

**The TSS is for ODLAP projects. It does not apply to ODOT projects.**

The [TSS](#) is the ODLAP equivalent to the ODOT Project Charter, showing the overall scope, schedule, approach, and budget of the project with additional technical information. The TSS is a dual-purpose document and takes the place of both the ODOT charter and the CMR-00 to document the initial baseline state of the project. It is the agreement between ODOT and the local agency on the baseline

scope, schedule, and budget of the project. TSS is required for all projects that ODOT delivers on behalf of a local agency.

### Objective:

- Complete TSS.

### Process detail:

- The [TSS](#) is completed as part of the Project Initiation Complete package, which is the initial project baseline.
  - Note: ODLAP projects baseline for the purposes of data collection. Performance metrics will be developed at a later date through change management processes.
- PM checks ProjectWise for draft TSS.
  - If not completed before PE EA opens, LPA provides a draft version of TSS to PM for review.
- Once the draft is received, the PM reviews it with the PDT for clarity and fatal flaws.
  - TSS must be consistent with the IGA and Vicinity map.
  - TSS must be consistent with the project schedule when drafted.
- The PM sends comments back to the LPA to resolve.
- Once comments are resolved and ODOT/LPA agrees, the PM sends for approval.
- The AM and LPA authority must approve.
  - The TSS is completed once as part of the Project Initiation Complete package, which is the initial project baseline. Change management processes are used to track changes to scope, schedule, and budget rather than changing the approved TSS.
- The PM places the approved [TSS](#) in PW.

### *ODLAP Outsourced*

- Draft the TSS before beginning the A&E procurement process for a consultant as it will aid in developing the Statement of Work (SOW). The TSS is often included in the RFP materials as foundational information for the A&E consultants to put together their proposals.
- The PM is responsible for completing the TSS, but the PM may have the consultant review and assist with revisions.

### Helpful links:

- [Local Agency Technical Scope Sheet Form 734-5151](#)

## Project Schedule

### Responsible Party:

Project Manager

### Guidance:

The project schedule is developed during project initiation tracking tasks throughout the design. PD-19 defines the minimum required milestones, ensuring each project effectively progresses through project development.

### Objective:

- Develop project schedule.

### Process detail:

- The PM starts the project schedule development using the region's template, as it is connected to the region's project reporting.
  - The PM will follow current guidance found on the RMS scheduling hub.
- The PM has the authority to add tasks, delivery timelines, or milestones to effectively manage the schedule.
- The required PD-19 project milestone dates are included in all the region templates. PMs should review those milestone dates in the schedule.
- PM puts together a draft schedule before having PDT review to assist in moving the conversation forward.
- **Note:** changes to a schedule are not reflected in reports until published.
- The PM assesses the project schedule's design timeline and coordinates with PDT to incorporate the project footprint development into the schedule based on the scope and the project's impacts, such as what timelines may be required for access management, right of way, and environmental permitting.
- PM coordinates with the RE and PDT to determine the types of work required. This allows the optimal construction window to inform the schedule.
- PM places the baselined schedule in PW at project initiation complete.
- See [request placeholder bid date from PCO](#) to add placeholder bid date
- The PM must keep an updated PDF of the current project schedule in PW.

### ODLAP

- Once the contract is negotiated but before execution, ODOT and the consultant can align the schedule and TSS, baselining the project through the project schedule.

### Note:

- Start Date for ODLAP projects: May be either when initially entered into the STIP or when the Oregon Buys request to start IGA is submitted.
- Project Initiation complete milestone date in MSP was not required prior to November 21<sup>st</sup> of 2025. Project initiation dates for these projects that were already past project initiation complete as of this date may list the project initiation complete date in MSP schedules as the PE EA Open date. There is no submittal date to PCO for ODLAP.

### Helpful links:

- [RMS Scheduling Hub SharePoint](#)
- [PD-19 Project Scheduling Operational Notice](#)

## CMR-00 – Change Management Request (ODOT only)

### Responsible Party:

Project Manager

### Guidance:

**CMR is only for ODOT projects. This does not apply to ODLAP projects.**

CMR-00 is the baseline Change Management Request for the project. The CMR-00 documents any changes that have taken place from scoping (approved business case) and programmed in the STIP, to what is being proposed in the project charter.

### Objective:

- Approve CMR-00

### Process detail:

- Follow system guidance for entering CMRs.
- PM is responsible for placing the approved CMR in PW.

### Helpful links:

- [TPMS CMR SharePoint](#)
- [CMR Guidance SharePoint](#)
- [TPMS CMR Portal](#)
- [CMR Dashboard](#)

## PCR - Project Change Request- ODLAP only

### Responsible Party:

Project Manager

### Guidance:

A project change request documents any changes that have taken place from when the TSS was approved, STIP was approved, or the IGA was executed. This ensures that the PCR captures all changes to the project that may affect or cause amendment to a contract, agreement, or the STIP. The PCR documents those changes since the project was baselined as a record of how a project progresses.

- There is no CMR-00 equivalent for the PCR. The PCR is done only as a result of a needed change to the project as part of ODOT's documented change management processes for projects.
- This is an internal process only and does not involve external parties or consultants. It is between ODOT and LPA only.

### Objective:

- Obtain approval to change the project using a PCR, when required.

### Process detail:

- The PM and LPA are responsible for drafting the PCR.
  - If the LPA suggests change to scope, schedule, and/or budget as a result of project circumstances, the LPA drafts an initial version of the PCR and submits it to the PM.

- LPA fills out all the LPA header information and justification for changes to scope, schedule, and/or budget.
  - If ODOT must change the scope, schedule, and/or budget as a result of the project circumstances, and this is not a direct result of the LPA actions or requests, the PM drafts the PCR.
- PM discusses all changes and justification for changes with the LPA regardless of who initiates the draft form. Any remaining information or fields shall be filled in as part of this discussion.
- PM discusses changes with the funding program manager after confirming the LPA and ODOT are in concurrence with the changes.
  - The funding program manager may be internal to ODOT, or an outside agency that awarded the project.
- PM confirms with the agreement writer whether the change in scope, schedule, or budget requires the project IGA to be amended and will initiate the IGA amendment as needed after the PCR is completed.
  - The PCR is not approval of an IGA amendment, but the justification for the change.
- PM confirms with the STIP coordinator whether the change in scope, schedule, or budget requires change to the STIP and will initiate a STIP amendment as needed, after the PCR is completed.
  - The PCR is not the approval mechanism for a STIP amendment but provides justification for the change.
- Once documentation is complete:
  - LPA representative will sign concurrence with the change(s) to the project.
  - ODOT funding program manager will sign for approval for any required changes to the funding, intergovernmental agreement (IGA), or Statewide Transportation Improvement Program (STIP) amendment.
    - If the funding program is administered by anyone other than ODOT, the PM must verify that there are no issues from the awarding agency for the proposed change. Outside agencies may request not to sign the document, email confirmation on acceptance of the change is acceptable, but must be placed in PW with the approved PCR.
  - The PM may request additional signatures under approvals as deemed necessary to ensure the changes provided meet project, legal, and/or program requirements.
  - PM will sign concurrence with the change(s) to the project scope, schedule, and/or budget.
- Certain funding programs may have a more involved process that will need to be followed as dictated by funding program guidance. That funding program guidance may add any additional process steps required. Example: the PCR can be used as part of the Local Bridge Program bridge committee to determine approval steps.
- PM is responsible for placing the approved PCR in PW.

### Program Specific Guidance:

- Local Bridge Program Guidance:
  - Must provide a PCR if any of the IGA listed milestones are changed by more than 90 days or more.

- Must Provide a PCR if any intergovernmental agreement (IGA) changes are being requested.
- The PCR form must be sent to the Local Government Section Bridge program manager at [LGSBridge@odot.oregon.gov](mailto:LGSBridge@odot.oregon.gov) and the State Bridge Engineer for approval through email.
- The State Bridge Engineer may approve or disapprove the request with the following conditions:
  - If the project change request exceeds 20% of the total estimated project cost or \$200,000, whichever is greater, the State Bridge Engineer forwards the PCR to the Local Agency Bridge Selection Committee for review with a recommendation to approve or deny. The State Bridge Engineer will approve the request if the committee approves with a majority vote.
- Safe Routes to School Guidance:
  - This form does not apply to Safe Routes to School, as the funding program has its own specific form for changes to scope, schedule, and budget.
- FHWA Emergency Relief
  - This form is not required for those projects that are not in the STIP or are part of the emergency repair. The DDIR must be updated to represent the changes to scope, schedule, and budget.

### Helpful Links:

- [PDB-05 ODLAP Project Change Request Bulletin](#)

## Environmental Prospectus

### Responsible Party:

Regional Environmental Coordinator (REC)

### Guidance:

The environmental prospectus (Form #734-5198) is an environmental scoping tool. The primary purposes of the Environmental Prospectus are to identify environmental resources potentially impacted by the project, estimate environmental compliance requirements, and identify a preliminary NEPA class of action for the project.

### Objective:

- To complete the environmental prospectus before project initiation complete.

### Process detail:

- REC develops the environmental prospectus.
  - May only be approved by ODOT.
- PM ensures the REC has the information and the deadline to complete the environmental prospectus by initiation complete.

### *Outsourced*

- Consultant may draft the environmental prospectus.
  - May only be approved by ODOT.

### Helpful links:

- [Environmental Prospectus Guide](#)
- [Regional Environmental Coordinator \(REC\) Manual](#)

## A&E Procurement

### Responsible Party:

Project Manager

### Guidance:

A&E (Architectural and Engineering) procurement refers to the process of selecting and contracting architectural and engineering firms to provide design and technical services. It involves evaluating proposals, negotiating terms, and securing the right professionals to ensure that the project meets both functional requirements and regulatory standards while staying within budget and timeline constraints.

### Objective:

- Procure a consultant.

### Process detail:

Refer to Procurement for additional information on the resources and deliverables necessary for A&E procurement during project initiation.

### *Outsourced*

- PM is responsible for using the A&E Contract Administration manual.
- PM must take the DAS Contract Administration training.
- The process can take 3-9 months to get to Notice to Proceed (NTP) with the consultant, depending on OPO and DOJ review, PM responsiveness to recommendations, completeness of request form, and ability to run efforts concurrently.
  - The best practice is to start procurement as soon as possible.
- All A&E procurements, regardless of whether fully or partially outsourced, must be completed before project initiation complete for the work anticipated.
- The following items help develop the Statement of Work (SOW):
  - Project schedule
  - Work with the Area Manager, Tech Center Manager, and LPA (if applicable) to determine how much outsourcing is needed.
- The PM develops the consultant contract up to bid.
  - This should not include CA/CEI work unless it is known upfront and at the time of project initiation.
    - PM discusses with ODOT and ODLAP program managers before adding to the initial contract.

- Adding the CA/CEI too early can lead to costly, time-consuming amendments down the line due to new information found while developing the project.
- A project may have an entire or part of a technical discipline work outsourced.

### *ODOT Outsourced*

- Having the Charter prior to beginning the procurement process can help clarify and expedite what the scope of the project should be.

### *ODLAP Outsourced*

- PM uses the TSS instead of the project charter.
- The TSS must be in draft and have been reviewed by the internal ODOT PDT prior to beginning the procurement process.
- The PM should have the local agency technical scope sheet (TSS), and MSP Schedule drafted before procuring the A&E consultant contract.
  - This allows the contract to align with these documents before baselining.
- The LPA is responsible for providing sufficient information regarding local permitting, or other local requirements to allow the PM to sufficiently address such local requirements in the contract.

### Helpful Links:

- [A&E Contract Administration Manual](#)
- [DAS – PS – Contract Administration Certificate training found in Workday](#)
- [A&E Project Delivery Procurement Report](#)
- [PE-CE Outsourced Report](#)
- [PM Contract Admin Report](#)
- [Internal Cost Estimate Tool](#)

## 1R/3R Record of Decision

### Responsible Party:

Pavement and roadway staff

### Guidance:

The 1R/3R Record of Decision determines whether a paving preservation project will be designated 1R or 3R.

### Objective:

- For paving projects, verify the 1R/3R record of decision form in PW is still relevant for the project, and update it as needed.

### Process detail:

- Pavements staff, region roadway and traffic staff complete the 1R/3R form.
- 1R/3R form is only applicable to paving projects.

- This form is initially completed at scoping, verified at project initiation, and required as a deliverable at the DAP milestone.
  - Form may be updated as a result of design progression after project initiation and prior to DAP Package Submittal. Form must be part of the DAP set, refer to ODOT Certification of Design Acceptance for further detail.
- PM ensures the technical resources have the information and the deadline to complete the form.

### *Outsourced*

- The consultant may draft the 1R/3R Record of Decision form.
- May only be approved by ODOT.

### *ODLAP*

- 1R/3R is applicable per the HDM within ODOT jurisdiction.

### Helpful links:

- Highway Design Manual, [Section 106.4](#)
- [1R/3R Record of Decisions Documentation Form 734-5244](#)

## Risk Register

### Responsible Party:

Project Manager

### Guidance:

Risk Management is an integral part of project management is managing risk effectively and with transparency. Doing so shifts the odds in favor of achieving the project's desired outcomes.

### Objective:

- Create ODOT Risk Register

### Process detail:

- The PM must follow the Risk Management program guidance.
- The Guide to Managing Project Risks for ODOT STIP guidance details general processes, goals, definitions, and specific details of risk management and use of the risk register.
- The PM, in coordination with the PDT, must complete a risk register, at a minimum, and can further document more in-depth risks, if necessary.
- The PM keeps an up-to-date risk register in ProjectWise beginning at Project Initiation.
- The Risk Register is a living document that should continue to get updated throughout the life of the project. At each project milestone, the active version of the risk register should be saved for documentation purposes and then continue to actively monitor and edit the risk register as the project advances.
- All ODOT-delivered federally funded STIP construction projects are required to document, mitigate, and show that the risk involved in the project is being managed, the PM does this through the use of the risk register.

- Risk registers are started during scoping, and progress to a more detailed format during project initiation that will continue throughout the rest of the project.
- The number of risks should be monitored and scrutinized to ensure the management of the risks listed is feasible.
  - Only highly prioritized risks should be documented to avoid problems with managing too many risks that are not significant or are easily resolved by the PDT.
  - Smaller, lesser, or low-priority risks can still be noted if deemed appropriate, but only those higher-prioritized risks should be managed on a regular basis by the PM and PDT.
- Risk management starts with scoping and identification of potential risks; project initiation continues this effort to document, mitigate, plan for, and monitor risks throughout project development.
- Additional risks may also be identified by external parties or PDT members at the project kickoff meeting.

### *Outsourced*

- The ODOT PM must have A&E contract language for the consultant to assist in the effort of updating and tracking risks.
  - The ODOT PM is responsible for ensuring the current version is available within PW for the consultant to assist with updates per the contract.

### *ODLAP*

- The PM must coordinate with the LPA regularly to ensure that LPA risks are also captured.

### Helpful links:

- [Risk Management program external website](#)
- [Guide to Managing Project Risks for ODOT STIP](#)
- [Directive DES 01-02](#) Managing Project Risks for ODOT STIP

## CRA - Cost Risk Assessment

### Responsible Party:

Project Manager

### Guidance:

A cost risk assessment (quantitative risk analysis) involves identifying, evaluating, and managing potential risks impacting the project's budget. It helps project teams anticipate uncertainties, such as changes in material costs, delays, or unforeseen site conditions, and develop strategies to mitigate these risks to keep the project within financial constraints.

### Objective:

- Determine if the project is currently eligible for this process.
  - Start the process if the project is eligible.

### Process detail:

- CRA is required if the total project amount is over \$25 million per [DES 01-02](#).
  - Smaller projects may be eligible; contact the risk program.
- This process is outlined in the Guide to Managing Project Risks for ODOT STIP guidance in section 3.3.1
- The PM emails the risk program to schedule the CRA after DAP. Contact details are on the Risk Program website.

### ODLAP

- A CRA is required if on a state facility per DES01-02 or per FHWA if identified as a major project.

### Helpful links:

- [Risk Management program external website](#)
- [Guide to Managing Project Risks for ODOT STIP](#)
- [Directive DES 01-02](#) Managing Project Risks for ODOT STIP

## Constructability Review

### Responsible Party:

Project Manager

### Guidance:

A constructability review is an evaluation process, which includes outside contractors, where project plans and designs are assessed to ensure they can be realistically and efficiently built. The review identifies potential issues, challenges, or inefficiencies in the design before PS&E, helping to avoid costly delays or rework during the project's construction.

### Objective:

- Determination if the project is currently eligible for this process.
  - Start the process if the project is eligible.

### Process detail:

- The PM is responsible for emailing the risk program to schedule. Contact details are on their website.
- The Constructability review meeting with contractors is held in the DAP phase.

### Helpful links:

- [Risk Management program external website](#)
- [Guide to Managing Project Risks for ODOT STIP](#)
- [Directive DES 01-02](#) Managing Project Risks for ODOT STIP

### VE - Value Engineering

Responsible Party:

Project Manager

Guidance:

Value Engineering (VE) is a systematic approach to improving project value by optimizing functions, reducing costs, and enhancing performance without sacrificing quality or safety. It involves evaluating design, materials, and methods to identify cost-effective alternatives while maintaining the project's essential requirements and objectives.

Objective:

- Determination if the project is currently eligible for this process.
  - Start the process if the project is eligible.

Process detail:

- VE is required if the total project amount is over \$25 million, per [DES 01-03](#).
  - Smaller projects may be eligible; contact the VE program.
- The PM is responsible for emailing the VE program to schedule. Contact details are on their website.

**ODLAP**

- If on a state facility, follow DES 01-03.
- If not on a state facility, FHWA requires VE on bridge projects with a total project amount of \$40 million or for a total project amount of \$50 million on all other projects.

Helpful links:

- [Risk Management program external website](#)
- [Guide to Managing Project Risks for ODOT STIP](#)
- [Directive DES 01-03](#) Value Engineering Program for Transportation Projects

### Goods, Trades, & Services (GTS) Procurement

Responsible Party:

Project Manager

Guidance:

Goods, Trades, and Services are the procurement activities outside of construction or A&E services. It is often used to procure specific goods or services for a project such as specialty services or hard to obtain construction materials during design.

Objective:

- Procure goods, trades, or services.

### Process detail:

- PM is responsible for completing the procurement request.
- PM is responsible for using the A&E Contract Administration manual.
- PM must take the DAS Contract Administration training.
- Goods, trades, or service procurement may be done at different times of project development depending on need.

### ODLAP

- ODOT cannot procure goods or services for local agencies. In some circumstances this must be done by the local agency. Contact ODLAP Manager and OPO for additional information.

### Helpful links:

- [OPO GTS intranet site](#)
- [A&E Contract Administration Manual](#)
- [DAS Contract Administration training](#)

## IGA - Intergovernmental Agreements

### Responsible Party:

Project Manager

### Guidance:

If another agency or interested party is contributing to a project, ODOT uses agreements to outline roles and responsibilities and transfer of funding between agencies.

### Agreements may be for:

- maintenance needs,
- funding contributions,
- allocation of resources,
- or to grant accessibility.

### Objective:

- Request to start IGA process

### Process detail:

- If an IGA has not been executed, follow the guidance on the A&E contract administration manual SharePoint for LPA government interaction.
- The PM is responsible for placing the IGA and associated documentation in PW.
- The PM reviews the terms of the IGA with the LPA to ensure mutual understanding.
- The PM reviews the IGA for consistency with STIP.
  - IGA budget consistency is the responsibility of the STIP coordinator.
- When reviewing an IGA, a PM should validate that the correct key number is used and that the current budget is shown.

- The project team should identify additional agreement needs at Project initiation and when those agreements must be executed, like additional scope or maintenance agreements.

### ODLAP

- Funding-related agreements are required before project initiation is complete and the obligation of funding (PE EA open) because the LPA federal funding match is collected before any expenditures.
- An IGA amendment is required if the funding is changed.
  - Modifying state or federal funding requires an amendment
  - Total overall funding for the project may be done as part of an amendment but may not be necessary if strictly local funding.
- PM reviews the IGA and any amendments during project initiation to ensure that all project initiation deliverables are aligned with the language in the IGA.
- Other agreements such as maintenance, access to another agency's jurisdiction, or other services between ODOT and other agencies may also be needed.
  - Other agreement needs should be identified during project initiation.
  - IGA's should have amendments done when necessary.

### Helpful links:

- [Local Government Interaction SharePoint](#)
- [OPO IGA SharePoint](#)
- [A&E Contract Administration Manual](#)

## PDT Kickoff Meeting

### Responsible Party:

Project Manager

### Guidance:

The PDT Kickoff Meeting aims to bring all internal and external PDT members together and review the scope, schedule, and budget.

### Objective:

- Hold PDT Kickoff meeting
  - Ensure PDT members understand the scope, schedule, and budget of the project.
- Create PDT Kickoff meeting agenda
- Compile PDT Kickoff meeting notes

### Process detail:

- The PDT kickoff meeting can occur as soon as the PDT members have been determined.
- The PM creates a Microsoft calendar invite for all PDT members at least one week in advance.
  - Best practice is to plan as far in advance as possible. One month is preferable.
- The PM creates an agenda for this meeting, which includes the date and time, attendees, and topics to be discussed.

- The PM sends meeting notes to the team, including what was discussed and any decisions made.
- PDT kickoff meeting must be completed before project initiation is complete.

The following are essential information to share at a kickoff meeting:

- Introductions to all participants, including position with what agency/company, and role during the project.
- Roles and responsibilities.
- Project schedule (required)
- Establish PDT meeting frequency and format.
- Need for Urban Design Concurrence (UDC) documentation (if applicable).
  - See guidelines in HDM
- Review and identify any new risks in the risk register since scoping.
- Confirm 1R/3R pavement design (if applicable).
  - See guidelines in HDM
- Other discussion items – coordination of the following items starts during initiation and continues through DAP
  - Confirmation of the API
  - Initial Rights of Entry (ROE) – (ROW)
  - Pavement Design Needs
  - Utility Impacts Analysis
  - Bridge Type Size Location Report
  - Other structures Type Size Location report
  - Geo/Hydo Memos or Studies
  - Traffic Studies and/or Reports
  - Traffic Control/Mobility
  - Access Management Needs (if applicable).
  - Environmental Determination Needs
  - Additional Survey Needs
  - Identify any known or possible Design Exceptions/Deviations or Traffic Approvals
- Identify needed public involvement.
- Field visit depending on the nature and complexity of the project or length of time since scoping.

### *ODOT*

Additional topics specific to ODOT delivery:

- Project Charter for ODOT (could be draft or final)
- CMR-00 (could be draft or final)

### *Inhouse*

- In-house projects may conduct the kickoff meeting soon after PE EA open, as there is no need to wait for the consultant team to be onboard.

### *Outsourced*

- Depending on the executed A&E contract language, the Agency PM or the consultant PM may lead the kickoff meeting. The SSOW language must be consistent with what is intended before contract execution.
- The ODOT PM may have an internal PDT meeting before the PDT kickoff meeting to ensure the ODOT staff's understanding of the scope, schedule, and budget.

### *ODLAP*

Specific to ODLAP delivery, the PDT kickoff may include but is not limited to the following personnel, topics, and documents:

- TSS for ODLAP projects (required)
- Placeholder Bid and PS&E dates are to be scheduled with the ODOT Project Controls Office (PCO) and reflected in the project schedule prior to the project team kickoff meeting.
- All ODOT staff for all disciplines are not required to attend. ODOT PM determines the need and coordinates with internal ODOT staff before kickoff.
  - Other recommended staff to attend:
    - LPA rail, utility, ROW lead
  - Minimum required staff to attend:
    - LPA PM
    - Consultant staff (as applicable)
      - PM
      - lead for NEPA
      - lead for design (generally road or bridge engineer)
    - ODOT region environmental coordinator (REC)

Helpful links:

- [Highway Design Manual \(HDM\)](#)

## UDC - Urban Design Concurrence

Responsible Party:

Roadway Designer

Guidance:

An urban design concurrence is an official agreement or approval from relevant authorities, ensuring that a proposed project aligns with established urban design standards, goals, and policies for a specific area. This needs to be done early in the project as it determines the widths needed in design.

Objective:

- Draft the urban design concurrence document to outline project context.

### Process detail:

- Roadway designer begins drafting Urban Design Concurrence Document (if applicable) at project initiation.
  - Applicable for all projects that require an urban context.
- PM ensures the roadway designer has the information and the deadline to complete the UDC.
  - This process should be finished during Project Initiation and must be signed by DAP.

### Outsourced

- May be drafted by ODOT or the consultant.
  - Can only be approved by ODOT.

### ODLAP

- The UDC is only used when within ODOT jurisdiction.

### Helpful links:

- [Highway Design Manual](#)

## Survey Request

### Responsible Party:

Project Manager

### Guidance:

Beginning survey work involves the collection of precise measurements and data to define the project's boundaries, alignments, and elevations. This critical step ensures that the design plans are accurately translated into the field, allowing for proper construction layout and execution.

### Objective:

- Submit survey request.

### Process detail:

- The PM should submit a survey request by the end of Project Initiation.
- The PM should hold a PDT meeting, upon which the project team will identify the survey needs to cover the scope of work (if not identified at kickoff).
- The project team identifies the 2D and 3D survey needs for the project.
- The survey map should be representative of all known survey needs on a project at the time to reduce the need for additional survey work later in the project.
  - Once the regional survey unit receives the request, they will note the anticipated timelines for the completion of their deliverables (Base map and digital terrain model (DTM)).
- *Depending on region staffing and location/season, survey timelines may vary up to 6 months.*

### ODOT inhouse

- The survey request form can be completed as early as following the kickoff meeting.

### Outsourced

- The consultant will upload the survey base map into PW to provide the link to ODOT and the consultant project team to start the design (must be stated in the SOW).
- If ODOT is to do the survey work in house, the ODOT PM will schedule a meeting with the consultant PM to fill out the survey request jointly.

## API - Area of Potential Impact

### Responsible Party:

PDT

### Guidance:

Area of Potential Impact (API) is the footprint of all project impacts (ground disturbance, modification of structures, stormwater facilities, utility relocations, etc.). This includes but is not limited to geotechnical drilling and association impacts, advanced investigation, work areas, staging, stockpile areas, material sources, construction access, ROW acquisitions, and permanent and temporary signs in the ground. The API will be used to establish the baseline boundary for environmental clearances by project environmental specialists.

### Objective:

- To establish the baseline boundary for environmental clearances by project specialists.

### Process detail:

- Development of the API should be a coordinated effort between environmental disciplines, roadway, survey, and others.
- Development of the API begins at Project Initiation with a Draft API and is a living document through DAP Phase Complete,
- The Final API is a deliverable at DAP Phase Complete. It is the refined version of the Draft API as agreed upon by the Project Team.
- Expansion of the API boundary due to scope changes, or modifications of the design, after DAP Phase Complete will require coordination with the project Region Environmental Coordinator (REC).

## Quality Reviews per Quality Plans

### Responsible Party:

Project Manager

### Guidance:

Ensure consistent standards and procedures are performed by following the quality standards of practice (quality plans, forms, and guidance). ODOT quality plans and guidance include roles, responsibilities, and quality review milestones, including *completing the Project Initiation Final Submittal Checklist* to help identify and resolve issues early, maintain compliance, and deliver a successful project outcome.

### Objective:

- Ensure all necessary deliverables have been completed and gone through the quality process.
- Optional – Complete Project Initiation Submittal Checklist

### Process detail:

- The PM is responsible for reading and understanding the appropriate quality plan(s) for the project.
  - Project management, ODLAP, region, consultant, technical, etc.
- PM is responsible for completing the project initiation submittal checklist.
  - This is an optional tool that helps project managers assess the completeness and quality of the project initiation milestone.
  - The best practice is for PMs to use this checklist during their quality assessment to ensure that the initiation phase is thorough.

### Outsourced

- The PM should check for the associated consultant quality plan in addition to the ODOT or ODLAP quality plan.
- Consultants are required to follow the contract, which includes following the ODOT discipline and region quality plans.
- The consultant will complete ODOT required quality documents as well as any additional quality documents specified in the consultant quality plan.
- The ODOT staff reviews consultant-produced deliverables for technical sufficiency, per the Region Technical Center quality plan.

### Helpful Links:

- [QA/QC Program SharePoint Site](#)
- [Transportation Project Management Quality Plan](#)
- [Statewide ODOT Delivered Local Agency Program Quality Plan](#)
- [Project Initiation Submittal Checklist](#)

## Placeholder Bid Date

### Responsible Party:

Project Manager

### Guidance:

A placeholder bid date holds the project's bid opening date until the official bid date can be assigned. The placeholder bid date is required before an official bid date can be assigned. This process is a coordination effort between the project manager and the pre-letting specialist in PCO.

### Objective:

- Email to pre-letting specialist
- Placeholder bid date

### Process detail:

- After drafting the project schedule and reviewing it with the PDT, the PM reviews the Bid Date Planning & Status report and the Calendar of Bid Openings to ensure the proposed bid date is available.
  - The PCO pre-letting specialist needs the following information to provide accurate dates:
    - Project key number
    - Proposed PS&E date
      - PS&E due dates are always on Monday unless Monday is a holiday.
      - PS&E will be due the Friday preceding if Monday is a holiday.
    - Proposed bid date
      - Most bid dates are on Thursdays.
    - Federal fiscal year
    - Proposed Ad length
      - Approximate construction cost estimate amount
      - Whether or not the project requires a pre-bid meeting.
        - The following projects require a pre-bid meeting:
          - Structural coatings projects
          - Cathodic protection
          - Complex or unique projects
          - Region discretion
        - Pre-bid meetings require review and approval from the AM. This is initiated when the “Mandatory Pre-Bid Meeting needed” checkbox in a CMR is selected (see CMR guidance). The justification for a mandatory pre-bid meeting should clearly indicate the features or issues of a project that require a meeting and a list of the expected outcomes.
- PCO will notify the PM through email if the placeholder bid date is accepted, and confirm the PS&E due date, advertisement date, advertisement length, and bid date.
- PM updates the project schedule with the accepted placeholder bid date, PS&E date, and advertisement date.

### BID DATE SELECTION CONSIDERATIONS:

The following considerations apply when selecting a bid date for a project.

#### Region considerations:

- Local government commitments/agreements
- Construction season limitations
- Funding allocation requirements
- STIP planning constraints
- Environmental constraints (in-water work periods, bird nesting, etc.)
- Any additional project specific requirements

## PCO considerations:

- Limit of 8 total projects per bid date.
- Limit of 15 total projects per month.
- Maximum of 3 projects per bid date per type of work.
- Maximum of 3 projects per region per bid date.
- Projects with a cost estimate at or above \$40 million must have their own bid date.
  - Small projects in a different region with a different type of work may be allowed on the same bid date as the large project upon discussion with PCO.
- No projects scheduled when a major holiday or industry conference is in the same week (see OPO’s Calendar of Bid Opening Dates)

## FEDERAL FISCAL YEAR BID DATE PLANNING AND APPROVALS

- The federal fiscal year is October 1 – September 30.
- The last PS&E due date of the year is the last Monday of August.
- The first PS&E due date of the federal fiscal year is the second Monday of October.

## ADVERTISEMENT LENGTHS:

- The Code of Federal Regulations (23 CFR 635.112(b)) requires federally funded projects to have a minimum advertisement period of 3 weeks.
  - For large or complex projects ODOT has established guidance for advertisement length based on the region project construction estimate.
- Minimum advertisement lengths are as follows:

Region Construction Cost Estimate Total	Advertisement Lengths
<\$7,500,000	3 weeks
\$7,500,000 to \$14,999,999	4 weeks
>\$15,000,000	5 weeks

- Additional advertisement length considerations:
  - A mandatory pre-bid meeting adds 2 weeks to the advertisement length.
  - Size of project (typically measured by construction estimate)
  - Complexity of project
  - Work type
  - Special bidding requirements (alternative contracting method used)
  - Political considerations
- In coordination with the PCO manager and region project delivery team, PCO may assign longer advertisement periods to accommodate a variety of scheduling factors.
- The advertisement length must be adjusted if the construction estimate increases or decreases during project development. In coordination with the PCO pre-letting specialist, a CMR, and a

new schedule must be submitted to reflect the new construction estimate and resulting ad length.

### **ODLAP**

- It is required to have a placeholder bid date before project initiation is complete.
  - The official bid date is required by DAP Complete for ODLAP projects.

### Helpful Links:

- [ODOT Project Scheduling and Rescheduling Matrix](#)
- [ODLAP Project Scheduling and Rescheduling Matrix](#)
- [Bid Date Planning & Status Report](#)
- [Calendar of Bid Opening Dates](#)

## Project Initiation Phase Gate Complete

### Responsible Party:

Project Manager

### Guidance:

Project initiation complete focuses on defining certainties for the project's scope, schedule, and budget. It establishes the initial baseline of these elements.

### Objectives:

- PM submits Project Initiation set.
- PCO accepts Project Initiation (except for ODLAP).
- Project Initiation phase gate complete.

### Process detail:

The following is a list of the deliverables required for project initiation complete:

- Risk register
- Project schedule
  - **Note:** Schedule must be published for reports to reflect current dates.
- Project Estimate
  - This task is the responsibility of the project estimator.
  - **Note:** The current construction estimate must be known to determine the advertisement length.
- Project Initiation checklist \*optional

### **ODOT**

ODOT projects have additional deliverables as part of project initiation as specified below:

- Project Charter
- CMR-00

### *Outsourced*

- The PM is responsible for submitting project initiation, not the A&E consultant.

### *ODLAP*

ODLAP projects have additional deliverables as part of project initiation as specified below:

- TSS

Submitting the deliverables:

### *ODOT*

- The PM creates the K#####\_PI\_set in PW.
  - Include all deliverables from the Project Initiation checklist in this set.
- The PM emails the set to the PCO pre-letting [specialist](#).

### *Outsourced*

- The consultant does not create the PI set in PW.

### *ODLAP*

- The PM creates the K#####\_PI\_set in PW.
- Include all deliverables from the Project Initiation checklist in this set.
  - The Area Manager reviews the set, instead of PCO.

Review of deliverables:

### *ODOT*

- PCO pre-letting specialist reviews the Project Initiation Checklist and associated documentation.
- PCO pre-letting specialist contacts the PM via email if there are corrections or missing items.
- PCO pre-letting specialist records acceptance date which informs reporting.

### *ODLAP*

- PM is responsible for ensuring the required deliverables are in PW and complete. See Project Initiation Checklist for requirements.
- PCO will work with ODLAP program for QA reviews per ODLAP quality plan.

Helpful links:

- [Project Initiation Checklist](#)

## Bid Date (Official Bid Date)

Responsible Party:

Project Manager

### Guidance:

Before the official bid date is assigned, external contractors may be unaware of the project. An official bid date helps internal ODOT personnel allocate resources appropriately and adds the project to external reports for contractors.

### Objectives:

- Email from PCO with official bid date information.
- Official bid date.

### Process detail:

- The project must have a placeholder bid date.
  - Not having a placeholder bid date at this time could delay bid date scheduling.
- The PM submits the required documentation for Project Initiation complete.
- PCO confirms Project Initiation is accepted.
- PCO officially schedules project bid date.
- PCO pre-letting specialist emails notification to the PM of official bid date scheduling.

### ODLAP

- The PM coordinates the scheduling of the official bid date with PCO by DAP complete.

### Helpful links:

- [Project Scheduling and Rescheduling Requirements Matrix](#)
- [Project Scheduling and Rescheduling Matrix - ODLAP](#)

## Baseline Schedule

### Responsible Party:

RMS-MS Project Administrator

### Guidance:

Baselining the project schedule creates an initial timeline to which future schedule changes will be compared. Schedule baseline is defined in PD-19 – *A schedule baseline is a fixed reference point to measure and compare the project's progress. This allows the project manager to assess the performance of the project's schedule over time.*

### Objectives:

- Project Schedule baselined
- Email from PCO to RMS-MS Project administrator.

### Process detail:

- PCO Pre-Letting Specialist notifies the RMS-MS Project administrator via email, copying the PM that the Project Initiation submittal has been accepted and requests that the project schedule be baselined.
- The RMS-MS Project administrator baselines the project schedule.

- The PM is not involved in this process.
  - The PM should contact the PCO pre-letting specialist with questions.
- The RMS-MS Project administrator replies to the email with the Pre-Letting specialist and the PM verifying that the baseline has been captured.

### *ODLAP*

- ODLAP projects do not have performance metrics based on a baseline at this time.
  - Note: ODLAP projects are baselined for the purposes of data collection, performance metrics will be developed at a later date through change management processes.

# Design Acceptance Phase (DAP)

The Design Acceptance Phase (DAP) is a key milestone in project development that occurs after the project initiation milestone. The primary purpose of DAP is to ensure that the project's scope includes the proposed solution and that the design is adequate for assessing constructability. Establishing the project footprint and reviewing the design for constructability allows the development work to proceed with minimal risk of rework due to design changes. This structured approach lays the groundwork for successful project delivery.

### *ODLAP*

ODOT is not the accepting agency for the overall design as the project intent and purpose is at the discretion of the LPA for clarity, the original awarding funding program, and the requirements of said project such as current required standards. ODOT as the delivery agency must ensure technical sufficiency, whether as part of reviewing consultant deliverables, or as the development of the deliverables conducting the appropriate level of quality control and quality assurance based on the current ODOT quality program guidance. ODOT staff must exercise caution in the application of ODOT processes, forms or other task work that would cause additional expenses that are not required per this manual or the ODLAP quality plan. Draft DAP for ODLAP projects is the submittal of the DAP package for review. Final DAP will be the response as to how all comments will be addressed by the next milestone submittal.

## DAP Process

### *ODOT inhouse:*

- PDT begins [Design Work](#)
- PDT begins [Utility Coordination](#)
- PDT develops [UDC - Urban Design Concurrence](#)
- PDT develops [Bridge Type, Size and Location](#) (TS&L) report
- PDT develops [Other structures Type, Size and Location](#) (TS&L) report
- PDT develops [Public Involvement Plan](#)
- PDT develops [Draft Technical Reports](#)
- PDT develops [DAP Plans](#)
- PDT prepares [Design Exceptions and Deviations](#)
- PDT obtains [Traffic Approvals](#)
- REC conducts [Programmatic Categorical Exclusion \(PCE\) Determination and Approval](#)
- RAME prepares [Access Management Strategy/Exemption Memo](#)
- PDT identifies [Permanent Mobility Reductions](#)
- PM develops [Mobility Considerations Checklist](#)
- SURL Prepares [Rail Certification Form](#)
- PM coordinates with [Rail Safety](#)
- PDT develops [DAP Estimate](#)
- PDT develops [Design Narrative](#)
- PM Updates [Risk Register](#)

- PM initiates [Procurement](#)
- PDT Prepares [Legal Descriptions and Exhibits](#)
- PDT Holds [ROW Layout Concurrence meeting](#)
- PDT Completes [Quality Reviews per Quality Plans](#)
- PM Compiles [Draft DAP \(dDAP\) package](#)
- PM prepares [Comment Log](#)
- PDT Reviews [Draft DAP \(dDAP\) package](#)
- PM Holds [Constructability Review](#)
- PDT conducts [VE - Value Engineering Study](#)
- PDT conducts [CRA - Cost Risk Assessment](#)
- PM Holds [Design Acceptance Workshop \(DAW\)](#)
- PM Prepares [DAP Checklist](#)
- PM creates [CMR - Change Management Request](#)
- PM Submits [DAPER](#)
- PDT Compiles [DAP package](#)
- PM Submits [DAP complete package](#)

### *ODOT outsourced:*

- PDT begins [Design Work](#)
- PDT begins [Utility Coordination](#)
- PDT develops [UDC - Urban Design Concurrence](#)
- PDT develops [Bridge Type, Size and Location \(TS&L\) report](#)
- PDT develops [Other structures Type, Size and Location \(TS&L\) report](#)
- PDT develops [Public Involvement Plan](#)
- PDT develops [Draft Technical Reports](#)
- PDT develops [DAP Plans](#)
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- PM develops [Mobility Considerations Checklist](#)
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- PDT Reviews [Draft DAP \(dDAP\) package](#)
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- PDT conducts [VE - Value Engineering Study](#)
- PDT conducts [CRA - Cost Risk Assessment](#)
- PM Holds [Design Acceptance Workshop \(DAW\)](#)
- PM Prepares [DAP Checklist](#)
- PM creates [CMR - Change Management Request](#)
- PM Submits [DAPER](#)
- PDT Compiles [DAP package](#)
- PM Submits [DAP complete package](#)

### *ODLAP in-house Process details:*

- PDT develops [Bridge Type, Size and Location \(TS&L\) report](#)
- PDT develops [Other structures Type, Size and Location \(TS&L\) report](#)
- PDT develops [Public Involvement Plan](#)
- PDT develops [Draft Technical Reports](#)
- PDT develops [DAP Plans](#)
- PDT prepares [Design Exceptions and Deviations](#)
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- REC conducts [Programmatic Categorical Exclusion \(PCE\) Determination and Approval](#)
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- PM prepares [Comment Log](#)
- PDT Reviews [Draft DAP \(dDAP\) package](#)
- PM Holds [Constructability Review](#)
- PDT conducts [VE - Value Engineering Study](#)
- PDT conducts [CRA - Cost Risk Assessment](#)
- PM Holds [Design Acceptance Workshop \(DAW\)](#)
- PM creates [PCR - Project Change Request](#)
- PDT Compiles [DAP package](#)
- [Official Bid Date Assignment for ODLAP](#)

### *ODLAP outsourced process details:*

- PDT develops [Bridge Type, Size and Location](#) (TS&L) report
- PDT develops [Other structures Type, Size and Location](#) (TS&L) report
- PDT develops [Public Involvement Plan](#)
- PDT develops [Draft Technical Reports](#)
- PDT develops [DAP Plans](#)
- PDT prepares [Design Exceptions and Deviations](#)
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- PDT conducts [VE - Value Engineering Study](#)
- PDT conducts [CRA - Cost Risk Assessment](#)
- PM Holds [Design Acceptance Workshop \(DAW\)](#)
- PM creates [PCR - Project Change Request](#)
- PDT Compiles [DAP package](#)
- [Official Bid Date Assignment for ODLAP](#)

## Design Work

Responsible Party:

Project Team members

Guidance:

The project team begins design by using the PI information gathered to start the design work.

Objective:

- PDT begins design.

### Process detail:

- PM to make sure PDT has all the information they need to start design.
- Each technical discipline is responsible for following the ODOT discipline design guidance.
- PDT discusses rail with SURL.
- PM get any permits needed.
  - This involves precision in articulating design considerations, adherence to regulations and permitting agencies, and addressing the concerns of interested parties.

### Outsourced

- PM to discuss required permits with the consultant.

## Utility Coordination

### Responsible Party:

Region Utility Specialist (RUS)

### Guidance:

Utility Coordination is the process by which ODOT works with the individual utilities that have facilities that may be impacted by the project.

### Objective:

- Notify utilities of potential conflicts and coordinate strategy for resolution.

### Process detail:

- RUS identifies utility coordination needed
- RUS needs to coordinate closely with the utilities to allow appropriate time in the schedule to ensure utilities are relocated, ideally, in advance of construction.
- If there are utilities in the project area, best practice is to have a utility conflict review meeting. This may be done as part of the PDT.
  - At this meeting, designers with potential conflicts can walk the Region Utility Specialist (RUS) through potential conflicts, as well as discuss ways to avoid conflicts.
- RUS sends Utility Conflict Letter or Project Notification Letter to utility. If PM needs further guidance, they may reach out to RUS.
- RUS to coordinate with PM on any agreements to be executed before work is performed much.

### Outsourced

- The utility coordination effort may be outsourced, refer to the A&E contract on what is the responsibility of the consultant.

### ODLAP

- Any utility coordination efforts must involve the local agency
- The local agency may own utilities within the project limits and be reimbursable

- The local agency may have franchise, or other utility-related agreements within their jurisdiction that need to be addressed
- Utility reimbursement does not make the utility owner a sub-recipient of federal funding

### Helpful links:

- [ODOT Utility Manual](#)
- [OHOT Utilities](#)

## UDC - Urban Design Concurrence

### Responsible Party:

Roadway Designer

### Guidance:

An urban design concurrence is an official agreement or approval from relevant authorities, ensuring that a proposed project aligns with established urban design standards, goals, and policies for a specific area. It confirms that the project supports the aesthetic, functional, and environmental objectives of the urban setting and determines the widths used in design.

### Objective:

- Roadway designer, traffic designer, bridge designer, active transportation liaison, project manager, and planner complete the urban design concurrence document or exemption memo to outline project context, define design criteria and document design decisions.

### Process detail:

- Roadway designer begins drafting Urban Design Concurrence Document at project initiation.
  - Applicable for all projects that require an urban context.
- PM coordinates the UDC team (roadway, traffic, active transportation, bridge, planning) to complete the UDC. This can be done via email or workshop meetings.
- The region TCM and region maintenance manager/district manager provide final authorization of the design concurrence document and the design cross-section at DAP.
- Urban Design Concurrence Exemption Request
  - In rare cases on some urban projects, due to project scope, the urban design concurrence document may not be required.

### *Outsourced*

- May be drafted by ODOT or the consultant
  - Can only be approved by ODOT

### *ODLAP*

- The UDC is only used when within ODOT jurisdiction.

### Helpful links:

- [Highway Design Manual](#)

### Bridge Type, Size and Location (TS&L) report

#### Responsible Party:

Bridge Designer

#### Guidance:

The Bridge TS&L report provides specific bridge information required by FHWA for their review and approval of projects using federal funding (and recommended for projects without federal funds). It is the concluding documentation of the alternatives study.

#### Objective:

- To draft the Bridge TS&L report

#### Process detail:

- The name was coined by FHWA circa 1990. The acronym TS&L stands for Type, Size & Location.
- The FHWA/ODOT stewardship agreement of the federal aid program has delegated the TS&L review and approval process to ODOT for federal-aid projects.
- The bridge resource is responsible for the bridge TS&L report.
- PM ensures the bridge resource has the information and the deadline to complete the report.

### Other structures Type, Size and Location (TS&L) report

#### Responsible Party:

Project Manager

#### Guidance:

The Other Structures TS&L report will identify all applicable Other Structures. Identification of Other Structures past draft DAP (dDAP) requires the schedule and budget to be reviewed and potentially adjusted.

This process establishes the scope for all projects and roles and responsibilities for internal technical discipline work. This process starts at scoping (in TPMS/Smartsheet) and is to be substantially complete by draft DAP.

#### Objective:

- To obtain the Other Structures TS&L report from the applicable disciplines.

#### Process detail:

- PM ensures the technical resource has the information and the deadline to complete the deliverable.
- Each technical resource is responsible for the content and completion of their individual discipline section of the Other Structure TS&L report.
- The report identifies:
  - the non-bridge structures on the project,
  - and the type, size and location of each.

- Other structures include:
  - retaining walls,
  - sound walls,
  - culverts greater than 6',
  - traffic structures (e.g., overhead sign supports),
  - subsurface structures (e.g., vaults),
  - trenchless pipe replacements,
  - and shoring (temporary).
- If an other structure is identified past dap complete, the PM must complete a change management process to adjust the project scope, schedule, and budget appropriately.

### *In-House*

- During PDT meetings, each technical discipline shall identify which technical resource will be conducting the design of each other structure.

### *ODLAP*

- Only applies to projects within ODOT jurisdiction.

### Helpful links:

- Refer to Discipline Guidance - [Other Structures TS&L](#) section.

## Public Involvement Plan

### Responsible Party:

Project Manager

### Guidance:

A public involvement plan (PIP) is required by PD-12 for every project in the highway division. The plan provides a summary of any public involvement work done during project development. A public involvement plan is always evolving from project development through construction.

### Objective:

- Develop a public involvement plan.

### Process detail:

- Follow published guidance for public involvement.

### *ODLAP*

- The LPA is responsible for public outreach and requirements on ODLAP projects.
  - PM must support the LPA in this effort through coordination and ODOT providing the needed deliverables necessary for outreach to the public.
  - ODOT consultant contract may provide support for this effort.

Helpful links:

- [Public Engagement - Home](#)

### Draft Technical Reports

Responsible Party:

PDT

Guidance:

Technical disciplines will provide an array of memos, reports, investigations, and other documents referred to in this manual as “Technical Reports”. As the project progresses from project initiation to DAP, these reports will help identify the future needs and requirements of the project’s design. These provide clarity as to the needs and constraints of the development of the construction contract documents.

Objective:

- Complete required technical reports.

Process detail:

- The technical are responsible for their respective technical reports.
- The PM ensures the technical resource has the information and the deadline to complete the deliverable.
- Note that some technical reports may not be specifically listed on the DAP checklist as they are part of or are preliminary to deliverables required for DAP.

*Outsourced*

- Some or parts of the technical reports may be provided by consultants.

*ODLAP*

- PM is responsible for ensuring full transparency by sharing details about any technical report which is not shared with the LPA.
  - PM must identify the report, purpose, and why it is not shared.

### DAP Plans

Responsible Party:

Project Delivery Team

Guidance:

The DAP plans item on the DAP checklist references the project construction plans to this point.

Objective:

- To have a compilation of plans so far drafted through design.

### Process detail:

- Project team members submit DAP plans through PW and compile the plan set for review.
- The PM sets the deadline for plans to be in PW by the package submittal due date.
- See applicable plan sheet guidance and technical manuals for more information.
- Plan sheets with sufficient development showing the following:
  - Existing topography
  - Resolved R/W alignment
  - Existing R/W lines
  - Construction alignments (showing stationing and curve data)
  - Staging alignments
  - Proposed lane layout with widths labeled
  - Profiles (showing existing ground and proposed vertical alignment)
  - Bridge (plan and elevation)
  - Other structures identified
  - Roadwork (sidewalks, barriers, drainage, accesses, detours diversions, etc.)
  - Drainage facilities including retention, detention, and treatment
  - Footprint (impact areas, cut/fill lines for all proposed work as detailed on footprint checklist)
  - Proposed R/W lines including temporary and permanent easements and access control lines
  - Sign plans
  - Signal plans
  - Draft tparP
  - Traffic control plans (TCP).

## Design Exception and Deviations

### Responsible Party:

PDT

### Guidance:

The design exception and deviations item on the DAP checklist references Roadway and Traffic exceptions or Bridge, Geotechnical, and Hydraulic deviations. These are engineering justifications documenting specifically how a design has deviated from standards or design guidance. The design exception process is intended to ensure that sound engineering decisions are made when design options are limited.

### Objective:

- Engineer of record completes design exception or deviation.

### Process detail:

- This process is the responsibility of the PDT technical resource.
- PM ensures engineer of record (EOR) has the information and deadline to complete the design exception or deviation.

- Exceptions to design standards should be discussed early in the design process when project limits are first determined.
- The PDT technical resource completes and submits the design exceptions or deviations per the discipline specific guidance.
- All design exception requests must detail justification.

### *Outsourced*

- Consultant may draft and stamp as the EOR.
- ODOT approves all exceptions and deviations on state highway.

### *ODLAP*

- The design exception or deviation must be drafted for DAP. Approval required at advance plans, per the ODLAP quality plan.
- LPA must approve for local facilities.
- ODOT concurs for local facilities.

### Helpful links:

- [Hydraulics Manual - Chapter 3](#)
- [Roadway Design Exceptions](#)

## Traffic Approvals

### Responsible Party:

Traffic Designer

### Guidance:

The traffic operational approvals item on the DAP checklist references different investigations that need to be performed in order to get approval to install, modify or remove traffic controls on state highways. These include traffic signals, marked crosswalks, roundabouts, RRFB's as well as other devices. For a complete list of devices, see the ODOT Traffic Manual or contact the region traffic office.

### Objective:

- The traffic designer obtains traffic roadway operational approvals, if required by discipline standards.

### Process detail:

- The traffic designer is responsible for completing the traffic operational approvals per the discipline's guidance.
- PM ensures the traffic designer has the information and the deadline to complete the traffic roadway operational approval.
- Even if the project is not an ODLAP project, the traffic designer will check if traffic operational approvals are needed from local agencies on local facilities.

### *Outsourced*

- The consultant can draft the traffic operational approval.

### *ODLAP*

- The traffic operational approvals are for state facilities only.
- Rectangular Rapid Flashing Beacon (RRFB) must be reported to the state traffic section.
  - ODOT as the state DOT is responsible for tracking the location of all the RRFBs including those on local facilities.

### Helpful links:

- [Oregon Department of Transportation : Manuals : Engineering](#)
- [Traffic design manual](#)

## Programmatic Categorical Exclusion (PCE) Determination and Approval

### Responsible Party:

Regional Environmental Coordinator (REC)

### Guidance:

The PCE Determination and Approval form (# 734-5466) verifies that ODOT has reviewed the project's potential impacts relative to the project impact threshold criteria contained in section VI.A.1.b. of the FHWA / ODOT Programmatic Categorical Exclusion Agreement. Completion of the PCE Determination and Approval form demonstrates that the specific conditions/criteria for an FHWA categorical exclusion are satisfied and that neither significant environmental effects, as described in 23 CFR §771.117 (a) nor unusual circumstances, as described in 23 CFR §771.117 (b) will result..

### Objective:

- REC will complete the PCE Determination and Approval form.

### Process detail:

- REC completes PCE Determination and Approval form.
  - This classifies the project as a categorical exclusion and allows ODOT to request FHWA authorization of the ROW phase.
  - This must be completed before ROW acquisition.
  - This does not allow ODOT to request FHWA authorization of CON, UR, or OTHER phases.
- PM ensures the REC has the information and the deadline to complete the PCE Determination and Approval form.

## Access Management Strategy/Exemption Memo

### Responsible Party:

Region Access Management Engineer (RAME)

### Guidance:

An Access Management Strategy/Exemption memo outlines the approach and guidelines for controlling access points along the state highway to improve safety, traffic flow, and infrastructure longevity. It also specifies any exemptions or exceptions to these access management standards, based on unique project needs or circumstances, providing a clear justification for exceptions.

Access management exception memo is used when it is determined that there is no access management, or no change to the current access within the project limits.

### Objective:

- Determine if Access Management Strategy or exemption memo is needed.
- Complete Access Management Strategy or exemption memo.

### Process detail:

- The RAME is responsible for completing the strategy or exemption memo.
- PM ensures the RAME has the information and the deadline to complete the strategy or exemption memo.
- The project must have either a strategy or an exemption memo.
- PM will need to confirm all access management requirements are completed before opening the ROW phase.

### ODLAP

- This is only required if the project is on a state highway.

## Permanent Mobility Reductions

### Responsible Party:

PDT

### Guidance:

Projects that propose permanent reductions in vehicle-carrying capacity on Reduction Review Routes subject to ORS 366.215 must go through a Stakeholder Forum Review process as required in OAR 731-012.

### Objective:

- Receive an ORS 366.215 *Record of Support* issued by the [Mobility Services Team](#) at the conclusion of the Stakeholder Forum review process.

**Note:** Projects with permanent reductions that are not located on Reduction Review Routes or are otherwise not subject to ORS 366.215 may still be required to share these impacts with the Mobility Advisory Committee to provide for their input. (For example, a proposed roundabout located on a non-Reduction Review Route that is still subject to ODOT's Roundabout Directive [DES-02](#)). Consult with the appropriate Region Mobility Liaison or [Mobility Services Team](#) for more information.

### Process detail:

- PM will verify with PDT that any projects with proposed **permanent** reductions to vehicle-carrying capacity on ORS 366.215 [Reduction Review Routes](#) have completed a required “stakeholder forum” review process that is defined in [OAR 731-012](#).
  - This process should be completed **before** submitting the Mobility Considerations Checklist. Refer to the [ORS 366.215 Implementation Guide](#) for more information.
  - The Stakeholder Forum is convened during the monthly Mobility Advisory Committee meetings, facilitated by the Mobility Services Team.
  - [Appendix C](#) of the Mobility Advisory Committee Charter is used to determine how these impacts are shared with the committee. Projects with qualifying **minor reductions** in vehicle-carrying capacity can submit an [ORS 366.215 Consent Calendar Request Form](#). Projects with **moderate to high impacts** must give a presentation to the committee using the [required PowerPoint presentation template](#).
- The Mobility Services Team will issue an “*ORS 366.215 Record of Support*” at the conclusion of the stakeholder forum review process, which is published on ODOT’s [ORS 366.215 Records web page](#).
- Any design changes that result in new or greater reductions in vehicle-carrying capacity will need to go through the Stakeholder Forum review process again and seek an updated *Record of Support*.

Note: This may include those sections of highway that have been jurisdictionally transferred to a local jurisdiction, contact the Mobility Program for more information.

### Helpful links:

- [ORS 366.215 Implementation Guidance](#)
- [Mobility Procedures Manual](#)
- [Mobility Program SharePoint site](#)
- [Mobility Program External Website](#)
- [TransGIS](#) look at reduction review routes

## Mobility Considerations Checklist

### Responsible Party:

Project Manager

### Guidance:

The [Mobility Considerations Checklist](#) is used to identify potential **temporary** work zone impacts to freight and traffic mobility. Completion of the checklist is required for all state and federally funded projects on state highways, from project initiation through construction.

### Objective:

- Draft the mobility considerations checklist and receive sign-off either from only the PM or, if there is an impact, also from the Mobility program manager at the conclusion of the mobility review process.

### Process detail:

- The PM or delegate will work with the PDT in consultation with the Region Mobility Liaison to draft the mobility considerations checklist. Refer to the [Mobility Considerations Checklist Guide](#) for more detailed instructions on completing the form.
- The PM submits the completed checklist (along with the [Transportation Management Plan](#) and [Work Zone Decision Tree](#)) to the [Mobility Services Team](#) at least 120 days before the project's target date for getting the form signed off by the Mobility program manager. If there are no mobility impacts, it is not necessary to submit the form to the Mobility Services Team.
  - **Note:** ADA Program Projects qualify for an [expedited review process](#).
- The Mobility Services Team will review the checklist to assess impacts and identify opportunities for mitigation. Project impacts may need to be shared with the Mobility Advisory Committee for input (as determined by the project review criteria in [Appendix C](#) of the MAC charter):
  - High impacts: Shared via presentation given by the project team at a MAC meeting.
  - Moderate impacts: Shared via email.
  - Low impacts: Not shared.
- The PM or delegate and the Mobility program manager are responsible for signing the draft mobility considerations checklist at the conclusion of the mobility review process.
- If there are any changes that result in additional or more severe work zone restrictions, the project team must re-engage with the Mobility Services Team and Region Mobility Liaison to review the changes and determine if they need to be shared with the MAC again. The Mobility Services Team will need an updated checklist and a brief description of what has changed and why.

### ODLAP

- Complete the entire mobility considerations checklist in consultation with the Region Mobility Liaison only if there is an impact within ODOT jurisdiction, otherwise only mark no impact and do not complete the rest of the form.
  - Mobility Program can review further if requested by the PDT to verify no impact.

### Helpful Links:

- [Mobility Services Team and Region Mobility Liaison Contact Information](#)
- [Mobility Considerations Checklist Guide](#)
- [Mobility Procedures Manual](#)
- [PD-16 \(Mobility Program Management\)](#)
- [Mobility Consideration Checklist \(form #735-9983\)](#)
- [Transportation Management Plan Project Level Guidance Manual](#)
- [Mobility Program SharePoint site](#)
- [ORS 366.215 Implementation Guidance](#)

## Rail Certification Form

### Responsible Party:

Statewide Utility and Rail Liaison (SURL)

### Guidance:

The rail certification form documents that certain required elements around rail coordination and impacts have been completed on the project. At DAP, if there are no rail impacts, or rail coordination effort, the form may be able to be completed in advance of final plans signifying that no effort is needed, and the project has completed the necessary requirements.

### Objective:

- To begin the rail certification process.

### Process detail:

- PM will email the SURL at [utilityandrailprogra@odot.oregon.gov](mailto:utilityandrailprogra@odot.oregon.gov) requesting to begin the rail certification process.
  - PM will indicate in this email if there is rail within 500 ft of the project.
  - The SURL will reply with whether the project impacts the railroad.
- The SURL is the only one that has access to the form and will send the form to the PM.
- If there are no rail impacts, the certification can be completed at DAP.
- If there are rail impacts:
  - The certification will be completed before PS&E.
  - The SURL will be included in PDT meetings.
  - The SURL will provide any additional deliverable requirements.
  - The SURL will advise what changes to the scope, schedule and budget are required per the railroad.

### Helpful link:

- [Oregon Railroad Manual](#)

## Rail Safety

### Responsible Party:

Project Manager

### Guidance:

Rail safety has authority over Oregon's public highway-railroad grade crossings (where a railroad and a roadway cross at the same level). Rail safety needs to be contacted about, but may not engage on, every project with a rail crossing and to initiate the process for a rail crossing order to create, modify an existing crossing or close a crossing.

### Objective:

- Notify rail safety of a rail crossing within 500 feet of the project.

### Process detail:

- PM will email rail safety at [ccdailcrossing@odot.oregon.gov](mailto:ccdailcrossing@odot.oregon.gov).
- Rail safety is responsible for determining what action rail safety will take.

- Depending on the project complexity, rail safety personnel could join project team meetings.
- Rail safety personnel will determine if a rail crossing order is necessary, and the associated timeline.
- Rail safety personnel are responsible for completing the rail crossing order.
  - The potential effect of issuing a proposed rail crossing order to the project schedule is a minimum of 60 days.
- Work at the crossing cannot happen until there is a final crossing order.
- PM is responsible for providing project information to rail safety personnel.
- PM is responsible for communicating schedule changes over six months to rail safety personnel, as this can significantly affect the rail safety process.
- PM should coordinate with RE to ensure that rail safety personnel is notified when the crossing work is completed.

### DAP Estimate

#### Responsible Party:

Region Specifications (spec) writer

#### Guidance:

- The DAP estimate item on the DAP checklist references the construction cost estimate based on current known information including contingencies.

#### Objective:

- To have a cost estimate of the project's construction cost.

#### Process detail:

- The PM uses the DAP estimate to confirm the funding allocated to the CN budget. If the estimate is greater than the STIP programmed amount, then a DAPER is needed.
- The project team estimator is responsible for compiling the DAP estimate with input from the disciplines.
  - **Note:** Estimate percentages are outlined in the estimation manual for the design contingency amount and CE cost.
- The estimator is responsible for:
  - completing the estimate,
  - putting the estimate in the estimate folder in PW,
  - placing it into the dDAP set folders in PW,
  - placing estimate in DAP set folders in PW.
- The PM is responsible for setting the schedule for submitting estimates in PW.

#### Helpful Links:

- [Estimating Manual](#)

### Design Narrative (ODOT Only)

Responsible Party:

Project Manager

Guidance:

- The design narrative is the document that defines the requirements, standards, design criteria, and deliverables necessary to complete design by subject matter area and technical discipline. The design narrative is the tracking mechanism of the PDT's design related decisions of the project that should be referenced throughout design process. This is a living document used throughout design, and due at each design milestone. This is one of several requirements listed on the ODOT Certification of Design Acceptance and checklist.

Objective:

- Complete the design narrative form 734-5130.

Process detail:

- The PM fills out the Project Management section of the narrative and is responsible for making sure every discipline fills out their sections.
- Design narrative documents the standards, criteria, decisions and work required to complete design
- The narrative assists design personnel, including consultants, become more aware of the expectations that may need to be incorporated into the project design.
- It is a way to manage scope and keep the project team focused on the desired solution.
- Narrative description of the work, decisions, or any other noteworthy information about the project for each discipline.
- Best practice is to use succinct language and effectively communicate the following items:
  - What are the design criteria?
  - What are the design standards (what kind of guardrail, gutter, signs)?
  - What processes must be completed for design?
  - What deliverables are required?
  - What significant assumptions or design decisions have been made that impact the scope, schedule and budget?
- For directions on filling out the DAP Design Narrative see [Deliverables](#) sections.

#### **ODLAP**

Not required at this time for ODLAP projects. May be used in order to document design decisions and standards used.

Helpful Links:

- [ODOT Design Narrative](#)

### Risk Register

Responsible Party:

Project Manager

Guidance:

The risk register item on the DAP checklist references updating the risk register on a regular basis and keeping it up to date for each milestone.

Objective:

- Update risk register.

Process detail:

- The PM is responsible for reviewing and revising the risk register with the PDT.
- If a design exception is not approved by DAP complete, a PM should assess the risk to determine how the exception may impact the project and whether the project team needs to explore other options to ensure the project can stay on schedule.
  - This is to focus on high impact risks.
- Best practice is to:
  - review this document at the PDT meetings
  - update the register as a result of any project changes
  - make sure risks are reviewed at each milestone

*Outsourced*

- Must be updated by ODOT and consultant

*ODLAP*

- PM to coordinate updates to the risk register with LPA.

Helpful links:

- Refer to the [Risk Management](#) website.
- [Risk Management manual](#)

### Procurement

Responsible Party:

Project Manager

Guidance:

Initiating procurement refers to the process of beginning or amending intergovernmental agreements (IGA), A&E contracts, or Goods, Trades, and Services (GTS) contracts.

Objective:

- Complete any appropriate procurement.

### Process detail:

- Follow procurement guidance.
- PM may amend A&E contracts for additional phases that potentially weren't initially contracted.
- PM may initiate amendment process for IGAs.
- PM may initiate procurement process for goods, trades, or services.
  - Advance purchase of good for construction.

### *Outsourced*

- This is an internal process only and does not involve external parties or consultants.

### *ODLAP*

- A&E procurements require the 2-tier process
- IGA amendments require an approved PCR
- Goods, Trades, and Services, discuss with ODLAP Manager and OPO prior to proceeding.

### Helpful links:

- [A&E Contract Administration Manual - Home](#)
- [ODOT Procurement Office SharePoint](#)

## Legal Descriptions & Exhibits

### Responsible Party:

Surveyor

### Guidance:

Writing involves preparing all legal descriptions (also known as property descriptions) and exhibits required for ROW acquisition for the project.

### Objective:

- Obtain legal descriptions and exhibits.

### Process detail:

- This is completed after the Project Development Team approves the ROW Map.
- Legal descriptions and exhibits provide the information necessary to obligate right of way funds.
- Legal descriptions and exhibits describe the areas to be acquired.
- Writing the descriptions and preparing exhibits is the responsibility of the assigned surveyor.
- PM ensures the description writer has the information and the deadline to complete the deliverable.

### *Outsourced*

- The consultant will follow the SOW when preparing the Right of Way descriptions.

### Helpful links:

- [ROW Manual](#)

- [ROW Engineering Manual](#)

### ROW layout meeting

Responsible Party:

Senior right of way agent

Guidance:

The right-of-way (ROW) layout meeting brings together key parties that may include but not limited to: construction, hydraulics, environmental, maintenance, roadway, geotechnical, traffic, utilities, survey, ROW, and project management—to agree on the proposed ROW layout. This is an essential step in the project development process as it ensures the PDT understands and agrees on how the ROW will be used, which helps streamline subsequent steps like ROW acquisition, permitting, and construction planning. The meeting also helps determine if the allotted space is sufficient for construction.

Objective:

- Hold ROW layout meeting and gain agreement on proposed ROW layout for the project.

Process detail:

- Senior ROW agent provides ROW exhibits, property descriptions, ROW estimate (if ROW is needed)
- Right of Way Services Agreement (ROWSA) procurement process started (If applicable)
  - May be started in project initiation.
- Right of Way mapping starts after the proposed construction footprint has been developed.
  - This involves drafting the proposed ROW and easement lines and dimensions but does not include preparing property descriptions for acquisitions.
- PM ensures the senior right of way agent has the information and the deadline to complete the right of way layout.
  - The PM is responsible for scheduling the meeting.
    - Note: It's important to consult with the Senior ROW agent before making any adjustments to the ROW acquisition timeline.

*Outsourced*

- The consultant will follow the SOW on preparing the ROW MAP.
- The consultant PM will send the link to the ROW Map to ODOT PM to review prior to completion and approval to ensure the proposed ROW is sufficient to build the project and then prepares the final ROW map as part of obtaining design acceptance.

Helpful links:

- [ROW Manual](#)
- [ROW Engineering Manual](#)

### Quality Reviews per Quality Plans

Responsible Party:

Project Manager

#### Guidance:

Ensure consistent standards and procedures are performed by following the quality standards of practice (quality plans, forms, and guidance). ODOT quality plans include roles, responsibilities, and quality review milestones to help identify and resolve issues early, maintain compliance, and deliver a successful project outcome.

#### Objective:

- Ensure all necessary deliverables have been completed and gone through the quality process.

#### Process detail:

- Each TCUM or designee ensures that their discipline team members creating or reviewing deliverables follow the appropriate statewide discipline and region quality plans, and that all deliverables are present for the QV process.
- The PM ensures the Transportation Project Management Quality Plan or the ODLAP Quality Plan (when applicable), and the consultant quality plan (when applicable) are followed.
- The PM or designee request the TCUM's or their designee initiate the STR and the PM provides an appropriate completion deadline ahead of the DAP due date.
- The TCM checks that the STR signatures are complete before the TCM signs the DAP checklist.

#### *Outsourced*

- The PM should check for the associated consultant quality plan in addition to the ODOT or ODLAP quality plans.
- Consultants are required to follow the contract, which includes following the ODOT discipline and region quality plans.
- The consultant will complete ODOT required quality documents as well as any additional quality documents specified in the consultant quality plan.
- ODOT staff will review consultant-produced deliverables for technical sufficiency, per the Region Technical Center quality plan.

#### Helpful links:

- [ODLAP Quality Plan](#)
- [PD-25 Quality Operational Notice](#)
- [TPM Quality Plan](#)
- [Consultant Quality Plans](#)
- [Quality Standard of Practice SharePoint](#)
- [Quality Program external site](#)
- [Statement of Technical Review Form 734-5365](#)

### dDAP Package - Compile

Responsible Party:

Project Manager

Guidance:

Preparing a draft Design Acceptance Phase (DAP) package involves compiling comprehensive documentation.

Objective:

- To compile a draft DAP (dDAP) package in PW so it is ready for review.

Process detail:

- To prepare the dDAP package, the PM will follow this Project Delivery Manual and complete any Region-specific forms or processes.
- Deliverable documents should be uploaded to the dDAP folder in PW.
- The dDAP Package contains the required items that are listed on the ODOT Certificate of Design acceptance form.
- This typically includes detailed engineering plans that include engineering design standards, design deviations, traffic operation approvals, and other items that go into complete design work.
- This typically includes any and all deliverables that are necessary for the purposes of continuing design and are needed to fully review the plans and other deliverables such as discipline related reports, memos, or other deliverables necessary for the progression of design.

The dDAP set should contain the following:

- dDAP plans
- dDAP design narrative (ODOT only)
- dDAP construction estimate
- Comment Log
- Technical Reports, memos, and other deliverables created during the DAP phase as applicable.
- Public Involvement plan
- Draft mobility checklist
- Draft transportation management plan

Note: This is not a complete list, the draft DAP package set should contain all relevant DAP deliverables necessary for a complete review of the project.

ODOT

For a complete list of required documents to be submitted with DAP at a minimum, refer to the DAP checklist.

### Outsourced

- The Consultant will compile the dDAP package and QC documentation in PW and email links to the package to the ODOT PM.

### ODLAP

- Design narrative is not a requirement for ODLAP projects.
- DAP checklist should not be used for ODLAP projects.

### Helpful links:

- [DAP Checklist Form 734-5129](#)

## Comment Log

### Responsible Party:

Project Manager

### Guidance:

The purpose of the comment log is to log the project development related comments and responses on the various deliverables and track the resolution of said comments. The comment log is to be used whenever there is a review of a deliverable or package of deliverables such as a milestone package (DAP or Advance Plans for example). The comment log is a tool, used as a living document to assist the PDT in the tracking of comments and resolution of comments across all deliverables.

### Objective:

- Create comment log

### Process detail:

- The PM is responsible for creating the comment log and placing in PW.
- The PM is responsible for providing a link to the comment in PW whenever requesting a review
- Each subject matter expert is responsible for noting comments and responses pertaining to deliverables that are the responsibility of the individual discipline to review or in charge of creating.

## dDAP Package - Review

### Responsible Party:

PDT

### Guidance:

The project team reviews the dDAP package once it has been compiled.

### Objective:

- To complete the review of the dDap package and complete the comment log.

### Process detail:

- Generally, milestone distributions are sent beyond the PDT to Area and District management, specific disciplines in ETSB, Rail/Safety Division, Bridge/Structures Division, ITS, Pavement Services, ADA/Active Transportation, City or County representatives, and PCO.
- Typically, the ODOT PDT review is for 2 weeks.
- Following dDAP Distribution, the PM should review the funding in all project phases to ensure adequate funds are available.
- These amounts should be compared to the dDAP estimate for construction, as well as estimates for anticipated PE, RW, UR, and OT phases.
- If it is determined that additional funding is needed to fully fund the project, the PM should work with the Area Manager to address funding needs.

### The Draft DAP Distribution email should:

- PM will distribute the dDAP package to the PDT for review and comment.
- PM will email the dDAP link(s) to the milestone distribution list and specify the review timeframe; generally, a 2-week period. The email will contain the following:
  - Project name
  - Key number
  - Due date
  - EA/Subjob
  - PM
  - Milestone/deliverable for review (PW links)
  - Document/reference
  - PM will provide the link to the comment log to capture all the PDT comments.

### ODOT

- The distribution email should also specify the date for the Design Acceptance Workshop and submittal to PCO (DAP Complete).

### ODLAP

- Distribution email must specify the date of the milestone review meeting (ODLAP version of DAW), and anticipated response to all comments.
- PM will email blank version of the comment log to the LPA for comment
- PM will combine comment logs from all parties within PW for response.

### Outsourced

- ODOT PM will be responsible for distributing dDAP package to ODOT PDT for review.

### ODOT Review process:

- Consultant must provide responses to all ODOT comments, even if the response is “more time required to response”.
- Typically, a 2-week turnaround unless otherwise stated in the contract.
- The consultant must indicate which comments require discussion.
- The ODOT PM will support the consultant by scheduling meetings to resolve the remaining comments, as needed.
- The consultant must make applicable plan changes and capture all final responses and resolutions in the comment log.

### ODLAP Review Process:

- The LPA reviews the DAP package, provides the comments and recommendations, and accepts the design.
  - LPA does not have access to PW, so PM or consultant will provide DAP set contents for review.
- ODOT review for technical sufficiency only on local facilities. ODOT reviews for ODOT standards on state highways.

### Helpful Links:

- [STIP Project Management Reports](#)

## Constructability Review

### Responsible Party:

Risk management team

### Guidance:

Determination of eligibility for an external Constructability review happens in [Project Initiation](#), together with the risk management team.

### Objective:

- Hold Constructability review meetings and obtain a summary of discussions.

### Process detail:

- PM is responsible for contacting the risk management team to schedule the Constructability review meeting, if this is required per eligibility determination in Project Initiation.
- The risk management team is responsible for scheduling and holding the Constructability review meeting.
- The risk management team is responsible for producing the summary of discussions following the 1:1 meetings with contractors.

### Helpful links:

- [ODOT Constructability Reviews](#)
- [ODOT Project Risk Management website](#)
- [One Hour | One Topic: Constructability Reviews](#)

## VE - Value Engineering Study

### Responsible Party:

Project Manager

**Guidance:** Determination of eligibility for a Value Engineering Study happens in [Project Initiation](#), together with the risk management team.

### Objective:

- Conduct the value engineering study and identify project opportunities.

### Process detail:

- PM is responsible for contacting the risk management team to schedule the Value Engineering Study, if this is required per eligibility determination in Project Initiation.
- The risk management team is responsible for scheduling and holding the Value Engineering Study.

### Helpful links:

- [ODOT Project Risk Management website](#)

## CRA - Cost Risk Assessment, AKA Quantitative Risk Analysis

### Responsible Party:

Project Manager

### Guidance:

A cost risk assessment involves identifying, evaluating, and managing potential risks impacting the project's budget. It helps project teams anticipate uncertainties, such as changes in material costs, delays, or unforeseen site conditions, and develop strategies to mitigate these risks to keep the project within financial constraints.

### Objective:

- Determine if the project is currently eligible for this process.
  - Start the process if the project is eligible.

### Process detail:

- CRA is required if the total project amount is over \$25 million per DES 01-02 within ODOT jurisdiction.
  - Smaller projects may still benefit from a CRA; contact the risk program.
- This process is outlined in the Guide to Managing Project Risks for ODOT STIP guidance in section 3.3.1
- The PM emails the risk program to schedule the CRA after DAP Complete. Contact details are on the Risk Program website.

### **ODLAP**

- A CRA is required if on a state facility or per FHWA if identified as a major project.

### Helpful links:

- [Risk Management program external website](#)
- [Guide to Managing Project Risks for ODOT STIP](#)
- [Directive DES 01-02](#) Managing Project Risks for ODOT STIP

### Design Acceptance Workshop (DAW)

Responsible Party:

Project Manager

**Guidance:**

A Design Acceptance Workshop (DAW) meeting is a collaborative meeting that brings together key individuals, including the consultant and ODOT PDT, technical resources, and other interested parties, to review and discuss the comments on the project's dDAP package.

**Objective:**

- To gain consensus and acceptance of the project's design before final design begins.

**Process detail:**

- The PM is responsible for setting up the meeting with the necessary PDT, interested parties and technical resources.
- This meeting is to discuss the review of the dDAP related deliverables and address concerns, issues, risks, and review responses to all comments.
- This meeting allows for the exchange of ideas, agreement on clarification of design aspects, and the identification of potential issues or improvements.
- The purpose of the DAW is to agree on the project scope and project footprint and that enough design and collaboration has been done to ensure that final design is ready to begin, project is ready for ROW acquisition if applicable, and obtain needed permits.

**Outsourced**

- The ODOT PM will work together with the consultant to schedule the DAW following contract language.

**ODLAP**

- PM schedules and facilitates the review meeting with necessary PDT, LPA, and other interested parties. The design review meeting should include those individuals and technical disciplines that have significant comments or questions pertaining to the design. To reduce cost, all disciplines and PDT members may not be necessary to attend if not needed to resolve comments from the dDAP review.
- LPA comments should be incorporated into the comment log prior to having the meeting to ensure all comments are able to be addressed.

### DAP Checklist (ODOT Only)

Responsible Party:

Project Manager

**Guidance:**

Design Acceptance Memo and Checklist Also known as the DAP checklist. This is a checklist of items that the PDT fills out in order to complete the Design Acceptance Phase.

### Objective:

- Completed, signed Design Acceptance Memo and Checklist.

### Process detail:

- The PM is responsible for verifying the list items are complete before routing the form for signatures.
- The PM is responsible for putting the Design Acceptance Memo and Checklist in PW.

### *Outsourced*

- May be drafted by ODOT or consultant
- Design Acceptance Memo and Checklist must be reviewed and approved by ODOT

### *ODLAP*

- Not Applicable to ODLAP at this time.

### Helpful Links:

- [Design Acceptance Certification and Checklist](#) (Form 734-5129)

## CMR - Change Management Request (ODOT Only)

### Responsible Party:

Project Manager

### Guidance:

**CMR is only for ODOT projects. This does not apply to ODLAP projects.**

The PM must complete the applicable change management process at DAP if required.

### Objective:

- Get an approved CMR for any change to scope, schedule, or budget.

### Process detail:

- Follow system guidance for entering CMRs.
- PM is responsible for placing the approved CMR in PW.
- Best practice is for the PM to confirm:
  - the PS&E due date with PCO.
  - The budget amounts in the STIP and reports.
  - The scope of the projects still aligns with the STIP.
    - Verify project mileposts.

### *Outsourced*

- This is an internal process only and does not involve external parties or consultants.

### Helpful links:

- [CMR guidance](#)

- [CMR Portal](#)
- [CMR Dashboard](#)

### PCR - Project Change Request- ODLAP only

Responsible Party:

Project Manager

Guidance:

A project change request documents any changes that have taken place from when the TSS was approved, STIP was approved, or the IGA was executed.

Objective:

- Approved PCR, if required

Process detail:

- This is an internal process only and does not involve external parties or consultants. It is between ODOT and LPA only.
- The PM and LPA are responsible for drafting the PCR.
  - If the LPA suggests adjustment to scope, schedule, and/or budget as a result of project circumstances, the LPA drafts an initial version of the PCR and submits it to the PM.
    - LPA fills out all the LPA header information and justification for changes to scope, schedule, and/or budget.
  - If ODOT must adjust the scope, schedule, and/or budget as a result of the project circumstances, and this is not a direct result of the LPA actions or requests, the PM drafts the PCR.
- PM discusses all changes and justification for changes with the LPA regardless of who initiates the draft form. Any remaining information or fields shall be filled in as part of this discussion.
- PM discusses changes with the funding program manager after confirming the LPA and ODOT are in concurrence with the changes.
  - The funding program manager may be internal to ODOT, or an outside agency that awarded the project.
- PM confirms with the agreement writer whether the change in scope, schedule, or budget requires the project IGA to be amended and will initiate the IGA amendment as needed after the PCR is completed.
  - The PCR is not approval of an IGA amendment, but the justification for the change.
- PM confirms with the STIP coordinator whether the change in scope, schedule, or budget requires change to the STIP and will initiate a STIP amendment as needed, after the PCR is completed.
  - The PCR is not the approval mechanism for a STIP amendment but provides justification for the change.
- Once documentation is complete:

- LPA representative will sign concurrence with the change(s) to the project.
- ODOT funding program manager will sign for approval for any required changes to the funding, intergovernmental agreement (IGA), or Statewide Transportation Improvement Program (STIP) amendment.
  - If the funding program is administered by anyone other than ODOT, the PM must verify that there are no issues from the awarding agency for the proposed change.
- The PM may request additional signatures under approvals as deemed necessary to ensure the changes provided meet project, legal, and/or program requirements.
- PM will sign concurrence with the change(s) to the project scope, schedule, and/or budget.
- Certain funding programs may have a more involved process that will need to be followed as dictated by funding program guidance. That funding program guidance may add any additional process steps required. Example: the PCR can be used as part of the Local Bridge Program bridge committee to determine approval steps.
- PM is responsible for placing the approved PCR in PW.

### Outsourced

- This is an internal process only and does not involve external parties or consultants.

## DAP-Exception Request (DAPER) (ODOT Only)

### Responsible Party:

Project Manager

### Guidance:

A DAP exception request (DAPER) is a request to PCO to move past the DAP milestone without completing one or more items on the DAP checklist.

### Objectives:

- Approved DAPER

### Process detail:

- The PM fills out the DAPER form and is responsible for routing it for region signatures.
  - See [deliverables](#) section for how to fill out the DAPER form.
- The PM may send a draft of the DAPER to the PCO pre-letting specialist for review before obtaining region signatures.
- The PM must submit a PW link of the DAPER to PCO pre-letting specialist via email at least **2 weeks** prior to DAP submittal (DAP complete #325).
- The PCO pre-letting specialist will review and route for Statewide Project Delivery Manager (SPDM) concurrence.
  - The PCO manager and Project Development Section Manager reviews DAPER and provides edits to the PM and recommendations of concurrence to the SPDM.
  - SPDM reviews, marks “Concur” or “Do not concur”, and signs DAPER.

### *Outsourced*

- ODOT or the consultant can draft the DAPER.
- The DAPER can only be approved by ODOT.

### *ODLAP*

- ODLAP does not submit DAP to PCO and does not perform or submit DAPERs.
- DAP must be completed prior to moving forward to ROW Acquisition

### Helpful Links:

- [DAPER Form](#)
- [DAPERs Report](#)

## DAP Package - Compile

### Responsible Party:

Project Manager

### Guidance:

- The DAP package is the collection of all the DAP deliverables into a PW set.

### Objective:

- To compile all the DAP deliverables.

### Process detail:

- The PM is responsible for creating the K#####\_DAP\_SET in ProjectWise (PW).
- The technical resources have access to put their deliverables in the DAP set in PW.
- The PM is responsible for ensuring every required deliverable is in the DAP set.

PCO Minimum DAP phase gate Set required deliverables include the following:

- [ODOT Certification of Design Acceptance and checklist](#),
- Project Schedule,
- [Risk Register](#),
- [ODOT Design Narrative - DAP](#)
- Milestone Estimate in AASTHOWare Estimation
- And DAP Exception Letter (if applicable).

DAP set must also include other deliverables required in draft or final form for DAP. This may include discipline specific reports, plans, and other deliverables necessary during the overall DAP review process prior to submitting DAP to PCO.

The package may also include any supporting documentation such as reports, traffic studies, etc., but it is not a requirement to be included in the DAP Set.

### *ODOT*

- CMR if there are any changes to the scope, schedule, and budget.

### *Outsourced*

- Consultants can add their contracted deliverables to the set.
  - ODOT is responsible for putting ODOT deliverables in the DAP set.
  - The DAP set is not a consultant deliverable.
- ODOT PM is responsible for ensuring all deliverables are in the DAP set.

### *ODLAP*

- PCR, if there are any changes to the scope, schedule and budget.
- ODLAP projects do not submit DAP to PCO, however the documents must still be put into the final DAP Set to document that DAP is complete.

## DAP Package Submitted (ODOT Only)

### Responsible Party:

Project Manager

### Guidance:

The DAP package is submitted to PCO for quality assurance and marks DAP phase gate complete.

### *ODLAP*

The DAP package ensures the completion of quality process at the DAP phase gate.

### Objective:

- PM submits DAP set to PCO (ODOT only).
- PCO accepts DAP set (except for ODLAP).
- DAP phase gate complete.

### Process detail:

- The PM submits a link to the DAP set to the PCO Pre-Letting Specialist via email.
- The Pre-Letting Specialist will review the DAP submittal for completeness.
  - The Pre-Letting Specialist will notify the PM if any comments need to be addressed.
- Once the Pre-Letting Specialist determines the DAP submittal is complete, the PM will be notified via email that the DAP submittal is accepted.
- Pre-Letting Specialist notifies RMS team via email, cc'ing the PM, the DAP submittal has been accepted and requests a snapshot or re-baseline of the project schedule.
- Pre-Letting Specialist notifies Rail team DAP has been submitted.
- Pre-Letting Specialist sends a link of the Risk Register to the Risk Management team.
- DAP phase gate complete.

### *ODOT Outsourced*

- ODOT PM will submit the DAP set to PCO.

### *ODLAP*

- DAP set is not submitted to PCO.
- DAP complete is defined as the official bid date obtained from PCO, and the DAP plans review completed with comment log.

## Official Bid Date Assignment for ODLAP

### Responsible Party:

Project Manager

### Guidance:

ODLAP projects do not get an official bid date in Project Initiation, therefore it is in DAP that this process takes place.

### Objective:

- Email to PCO referencing the published project schedule.
- Officially schedule ODLAP bid date.

### Process detail:

- The PM to email request that PCO schedules the official bid date.
- PM to follow the ODLAP bid scheduling matrix.
- PM to complete the DAP review prior to obtaining the official bid date.
- PCO confirms project schedule is published.
- PCO officially schedules project bid date.
- PCO pre-letting specialist emails notification to the PM of official bid date scheduling.

# Preliminary Plans

The Preliminary Plans milestone is a technical and construction review between DAP and Advanced Plans. Depending on the complexity of the project, it is at the region management's discretion to review project plans at this time.

Preliminary plans milestone plays a vital role in the development of complex projects, especially for those projects that involve structural elements to ensure early coordination around the structural design. The Preliminary plans package includes all processes and deliverables as specified in the pertinent quality plans.

Best practice at preliminary plans is to ensure that all other project documentation continues moving toward PS&E, even if there is not a preliminary plans review.

### *ODLAP*

The PM along with the LPA will make a determination if the Preliminary Plans milestone is necessary. The PDT coordinates the completion of preliminary plans, including accessible transportation elements that help to build the bid documents for the project.

**Exception:** Preliminary plans milestone is not applicable to Local Bridge Program Projects, instead the PDT ensures that all project documentation continues progression toward PS&E.

## Preliminary Plans Process

### *ODOT:*

- PDT begins [Preliminary Plans Design](#)
- PM updates [Risk Register](#)
- PM initiates [Procurement](#)
- PDT discuss [Changes to Permanent Mobility Impacts](#)
- PM updates [Mobility Considerations Checklist](#)
- PDT updates [Construction Estimate](#)
- PDT creates [Construction Time Estimate](#)
- PM creates [CMR - Change Management Request](#)
- PM updates [Public Involvement Plan](#)
- PM requests [Right of Way Obligation](#)
- PM requests [Utility Relocation Obligation](#)
- PDT drafts [Buy America Waiver](#)
- PM prepares [Preliminary Plans Set - Compiled](#)
- PDT Completes [Quality Reviews per Quality Plans](#)
- PDT completes [Preliminary Plans package - Review](#)

### *ODLAP:*

- PDT begins [Preliminary Plans Design](#)
- PM updates [Risk Register](#)

- PM initiates [Procurement](#)
- PDT discuss [Changes to Permanent Mobility Impacts](#)
- PM updates [Mobility Considerations Checklist](#)
- PDT updates [Construction Estimate](#)
- PDT creates [Construction Time Estimate](#)
- PM creates [PCR - Project Change Request](#)
- PM updates [Public Involvement Plan](#)
- PM requests [Right of Way Obligation](#)
- PM requests [Utility Relocation Obligation](#)
- PDT drafts [Buy America Waiver](#)
- PM prepares [Preliminary Plans Set - Compiled](#)
- PDT completes [Quality Reviews per Quality Plans](#)
- PDT completes [Preliminary Plans package - Review](#)

## Preliminary Plans Design

Responsible Party:

PDT

Guidance:

Preliminary plans design is the continuation of development of those deliverables necessary to progress the project from DAP to Advance plans and begin putting together the Construction contract documents.

Objective:

- PDT begins design of preliminary plans.

Process detail:

- PM to make sure PDT has all the information they need to continue design.
- Each technical discipline is responsible for following the ODOT discipline design guidance.
- PDT discusses rail with SURL, if applicable.
- RUS continues Utility coordination.
- PM continues permit coordination.
- PDT continues access management coordination, if applicable.

Helpful links:

- [Railroad Coordination Program website](#)

## Risk Register

Responsible Party:

Project Manager

Guidance:

Risk register is required to be updated at each milestone to effectively manage risk transparently.

### Objective:

- To have an updated risk register.

### Process detail:

- The PM is responsible for reviewing and revising the risk register with the project team.
- Best practice is to:
  - review this document at the PDT meetings
  - update the register with any project changes
  - make sure risks are reviewed at each milestone

### *Outsourced*

- Must be updated by ODOT and consultant.

### *ODLAP*

- PM to coordinate updates to the risk register with LPA.

### Helpful links:

- Refer to the [Risk Management](#) website.
- [Guide to Managing Project Risks for ODOT STIP](#)

## Procurement

### Responsible Party:

Project Manager

### Guidance:

Initiating procurement refers to the process of beginning or amending intergovernmental agreements (IGA), A&E contracts, or Goods, Trades, and Services (GTS) contracts.

### Objective:

- Complete any appropriate procurement.

### Process detail:

- Follow procurement guidance.
- PM may amend A&E contracts for additional phases that potentially weren't initially contracted.
- PM may initiate amendment process for IGAs.
- PM may initiate procurement process for goods, trades, or services.

### Helpful links:

- [A&E Contract Administration Manual - Home](#)
- [ODOT Procurement Office SharePoint](#)

### Changes to Permanent Mobility Impacts

Responsible Party:

Project Manager

Guidance:

If there are any design changes that result in new or greater permanent reductions in vehicle-carrying capacity subject to ORS 366.215 after the record of support is issued (or other permanent impacts subject to review by the Mobility Advisory Committee), contact the appropriate Region Mobility Liaison or the Mobility Services Team for guidance.

Objective:

Seek an updated *ORS 366.215 Record of Support* or other updated support documentation from the Mobility Advisory Committee as appropriate. Refer to the [ORS 366.215 Record of Support section](#) in the Design Acceptance Phase chapter.

Process detail:

- Design changes that result in new or greater reductions in vehicle-carrying capacity must go through the Stakeholder Forum review process again. (Refer to the [ORS 366.215 Implementation Guide](#) for information.)
- At the conclusion of the review process, the Mobility Services Team will issue an updated ORS 366.215 *Record of Support*.
- Design changes for other permanent non-ORS 366.215 impacts must also be communicated to the Mobility Services Team to determine if the changes need to be shared with the Mobility Advisory Committee. (For example, changes to a proposed roundabout located on a non-Reduction Review Route that is still subject to ODOT's Roundabout Directive [DES-02](#)).

Helpful Links:

- [Mobility Services Team and Region Mobility Liaison Contact Information](#)
- [ORS 366.215 Implementation Guidance](#)
- [Mobility Procedures Manual](#)
- [Mobility Program SharePoint site](#)
- [Mobility Program External Website](#)

### Mobility Considerations Checklist

Responsible Party:

Project Manager

Guidance:

If there are any changes to the traffic control plans that result in additional or more severe restrictions than those that were signed off in the Mobility Considerations Checklist, the PM must notify the Region Mobility Liaison and the Mobility Services Team so that the changes can be reviewed again and (if necessary) shared with the Mobility Advisory Committee (MAC) to provide for the committee's input.

### Objective:

- Submit an updated Mobility Considerations Checklist to the Mobility Services Team for review and receive sign-off from the Mobility program manager if required.

### Process detail:

- If the PM hasn't done so already, the completed checklist, TMP and work zone decision tree (if applicable) must be provided to the Mobility Services Team to review and (if necessary) share with the MAC for input. Refer to the [Mobility Considerations Checklist Drafted section](#) in the Design Acceptance Phase chapter.
- If, after the checklist has been reviewed and signed off by the Mobility Program, there are changes to the traffic control plans that result in additional or more severe restrictions, send an email to the [Mobility Services Team](#) with the following information:
  - A brief summary of what has changed and why.
  - A copy of the updated checklist, TMP and work zone decision tree (if applicable) that reflects the changes.
  - A copy of the original checklist that was signed off prior to the change.
- The Mobility Services Team will review the updated impacts and determine if/how they should be shared with the MAC (per the project review criteria in [Appendix C](#) of the MAC Charter.)
- Once the changes have been reviewed and (if necessary) shared and supported by the MAC, the Mobility Program Manager will sign off on the updated checklist.

### ODLAP

- Work zone decision tree is not applicable to ODLAP projects off the state highway system
- Mobility Considerations Checklist should only be marked no-impact unless there is an impact on the state highway system.

### Helpful links:

- [Mobility Services Team and Region Mobility Liaison Contact Information](#)
- [Mobility Considerations Checklist Guide](#)
- [Mobility Procedures Manual](#)
- [Mobility Program SharePoint site](#)
- [PD-16 \(Mobility Program Management\)](#)
- [Mobility Consideration Checklist \(Form 735-9983\)](#)
- [Transportation Management Plan Project Level Guidance Manual](#)
- [ORS 366.215 Implementation Guidance](#)

## Construction Estimate

Responsible Party:

Specifications (spec) Writer

### Guidance:

Having a current, updated construction estimate will help a project manager ensure that the project stays within the allocated budget amount.

### Objective:

- Obtain an updated construction estimate.

### Process detail:

- The spec writer is responsible for creating the preliminary construction estimate with input from the PDT.
- PM will continue checking the construction estimate against the construction budget.
  - If the construction estimate is higher than the STIP construction phase estimated amount, the project manager will begin strategy discussions immediately with region management.

### Outsourced

- This work may be outsourced to a consultant for fully outsourced or partially outsourced projects.
- When ODOT is putting together the estimate, if any part of the discipline work is outsourced, the consultant must communicate with the ODOT contract administrator to provide needed input into the estimate.

### ODLAP

- PM is responsible for contacting the LPA if additional funds are needed per the updated estimate.

### Helpful links:

- [Estimating Manual](#)

## Construction Time Estimate

### Responsible Party:

Specifications (spec) Writer

### Guidance:

The construction time estimate is a standardized estimate schedule of construction activities using production rate data contained in the worksheet file and restrictions contained in the project specifications. The construction time estimate will help determine completion date into the specifications.

### Objective:

- Obtain a construction time estimate.

### Process detail:

- The spec writer is responsible for creating the construction time estimate.
- The ODOT template (Fuel Index and Scheduling Program) must be used.
- PM ensures the spec writer has the information and the deadline to complete the deliverable.

### Helpful Links

- [Fuel, Steel, Class of Work and Scheduling Template Guide](#)

## CMR (ODOT Only)

### Responsible Party:

Project Manager

### Guidance:

- **CMR is only for ODOT projects. This does not apply to ODLAP projects.**
- The PM must complete the applicable change management process for any change in scope, schedule, or budget.
- Refer to the [Mobility Procedures Manual](#) if there are any changes that affect the mobility impacts and restrictions that were signed off in the project's Mobility Considerations Checklist and ORS 366.215 Record of Support (if applicable). Consult with the region mobility liaison and the Mobility Services Team to determine if these changes need to be re-vetted through the Mobility Program.

### Objective:

- Get an approved CMR for any change to scope, schedule, or budget.

### Process detail:

- Follow system guidance for entering CMRs.
- PM is responsible for placing the approved CMR in PW.
- Best practice is for the PM to confirm:
  - the PS&E due date with PCO.
  - The budget amounts in the STIP and reports.
  - The scope of the projects still aligns with the STIP.
    - Verify project mileposts.

### *Outsourced*

- This is an internal process only and does not involve external parties or consultants.

### Helpful links:

- [CMR guidance](#)
- [CMR Portal](#)
- [CMR dashboard](#)
- [Mobility Procedures Manual](#)

### PCR - Project Change Request (ODLAP Only)

Responsible Party:

Project Manager

Guidance:

A project change request documents any changes that have taken place from when the TSS was approved, STIP was approved, or the IGA was executed.

Objective:

- Approved PCR, if required

Process detail:

- This is an internal process only and does not involve external parties or consultants. It is between ODOT and LPA only.
- The PM and LPA are responsible for drafting the PCR.
  - If the LPA suggests adjustment to scope, schedule, and/or budget as a result of project circumstances, the LPA drafts an initial version of the PCR and submits it to the PM.
    - LPA fills out all the LPA header information and justification for changes to scope, schedule, and/or budget.
  - If ODOT must adjust the scope, schedule, and/or budget as a result of the project circumstances, and this is not a direct result of the LPA actions or requests, the PM drafts the PCR.
- PM discusses all changes and justification for changes with the LPA regardless of who initiates the draft form. Any remaining information or fields shall be filled in as part of this discussion.
- PM discusses changes with the funding program manager after confirming the LPA and ODOT are in concurrence with the changes.
  - The funding program manager may be internal to ODOT, or an outside agency that awarded the project.
- PM confirms with the agreement writer whether the change in scope, schedule, or budget requires the project IGA to be amended and will initiate the IGA amendment as needed after the PCR is completed.
  - The PCR is not approval of an IGA amendment, but the justification for the change.
- PM confirms with the STIP coordinator whether the change in scope, schedule, or budget requires change to the STIP and will initiate a STIP amendment as needed, after the PCR is completed.
  - The PCR is not the approval mechanism for a STIP amendment but provides justification for the change.
- Once documentation is complete:
  - LPA representative will sign concurrence with the change(s) to the project.

- ODOT funding program manager will sign for approval for any required changes to the funding, intergovernmental agreement (IGA), or Statewide Transportation Improvement Program (STIP) amendment.
  - If the funding program is administered by anyone other than ODOT, the PM must verify that there are no issues from the awarding agency for the proposed change.
- The PM may request additional signatures under approvals as deemed necessary to ensure the changes provided meet project, legal, and/or program requirements.
- PM will sign concurrence with the change(s) to the project scope, schedule, and/or budget.
- Certain funding programs may have a more involved process that will need to be followed as dictated by funding program guidance. That funding program guidance may add any additional process steps required. Example: the PCR can be used as part of the Local Bridge Program bridge committee to determine approval steps.
- PM is responsible for placing the approved PCR in PW.

### Helpful Links:

- [PDB-05 PCR for ODLAP](#)

## Public Involvement Plan

### Responsible Party:

Project Manager

### Guidance:

A public involvement plan (PIP) is required by PD-12 for every project in the highway division. The plan provides a summary of any public involvement work done during project development. A public involvement plan is always evolving from project development through construction.

### Objective:

- Develop a public involvement plan.

### Process detail:

- Follow published guidance for public involvement.

### **ODLAP**

- The LPA is responsible for public outreach and requirements on ODLAP projects.
  - PM must support the LPA in this effort through coordination and ODOT providing the needed deliverables necessary for outreach to the public.
  - ODOT consultant contract may provide support for this effort.

### Helpful links:

- [Public Engagement - Home](#)

### Right of Way Obligation

Responsible Party:

Project Manager

Guidance:

The ROW EA must be open to acquire ROW.

Objective:

- Obligate ROW funding and obtain EA letter.

Process detail:

- PM provides information to ODOT ROW agent necessary to obligate funding
- ODOT ROW agent to notify PM when ROW EA is open to begin work
- ROW agent submits ROW obligation request to the statewide ROW coordinator
- PM should direct questions about ROW obligation to the ROW agent
- STIP coordinator distributes the EA letter to PM once funding is obligated
- PM files EA letter in PW and distributes to PDT

*Outsourced*

- PM to send EA sub-job to consultant for invoicing ROW acquisitions, per contract

*ODLAP*

- PM to coordinate with ROW agent and LPA on resolution of necessity and ROW services agreement prior to obligation request

Helpful links:

- [ROW manual](#)

### Utility Relocation Obligation (UR)

Responsible Party:

Statewide Utility and Rail Liaison

Guidance:

UR must be obligated so that utility companies can be reimbursed.

Objective:

- Determine if Utility Relocation phase is necessary and if so, obligate UR funding and obtain EA letter.

Process detail:

- SURL contacts STIP coordinator to obligate UR phase

- PM coordinates with RUS to determine if UR phase funding is appropriate, and if UR phase is needed

### Buy America Waiver

#### Responsible Party:

Project Manager

#### Guidance:

The Buy America Waiver is a waiver to waive Buy America requirements on a particular project for specific products. 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.

#### Objective:

- Complete Buy America waiver

#### Process detail:

- The PM is responsible for filling out the waiver.
  - It is not recommended to request buy America waivers without first contacting FHWA on the feasibility of obtaining one for the particular item.
  - The PM should have alternatives in mind as to how to accomplish the project without the waiver in case not approved.
- All waiver requests must be reviewed and approved in Washington D.C.
- There are special provisions that go along with the waiver, and the spec writer is responsible for providing the appropriate specifications.

#### Helpful Links:

- [FHWA Buy America Guidance](#)

### Preliminary Plans Set – Compiled

#### Responsible Party:

Project Manager

#### Guidance:

The Preliminary plans set is the collection of all Preliminary Plans deliverables into a PW set.

#### Objective:

- To compile all of the Preliminary plans deliverables for review

#### Process detail:

- The PM is responsible for creating the K#####\_PrelimSET\_## in ProjectWise (PW).
- The technical resources have access to put their deliverables in the Preliminary Plans set in PW.
- The PM is responsible for ensuring all required deliverables are in the Preliminary Plans set.

The Preliminary plans set may include the following components:

- Preliminary plans sheets
  - Includes accessible transportation elements
- Updated construction estimate
- Updated construction time estimate
- Railroad final drawings
- Documents required by individual technical disciplines manuals and standards

### *Outsourced*

- Consultants can add their contracted deliverables to the set.
  - ODOT is responsible for putting ODOT deliverables in the Preliminary Plans set.
  - The Preliminary Plans set is not a consultant deliverable.
- ODOT PM is responsible for ensuring all deliverables are in the Preliminary Plans set.

Helpful links:

- [Railroad Final Drawings Manual](#)

## Quality Reviews per Quality Plans

Responsible Party:

Project Manager

Guidance:

Ensure consistent standards and procedures are performed by following the quality standards of practice (quality plans, forms, and guidance). ODOT quality plans and guidance include roles, responsibilities, and quality review milestones to help identify and resolve issues early, maintain compliance, and deliver a successful project outcome.

Objective:

- Ensure all necessary deliverables have been completed and gone through the quality process.

Process detail:

- The PM checks with each TCUM or designee that they are ensuring that their discipline team members creating or reviewing deliverables follow the appropriate statewide discipline and region quality plan, and that all deliverables are present for the QV process.
- The PM ensures the Transportation Project Management Quality Plan or the ODLAP Quality Plan (when applicable), the region Technical Center quality plan, consultant quality plan (when applicable), and are followed.

### *Outsourced*

- The PM should check for the associated consultant quality plan in addition to the ODOT or ODLAP quality plans.
- Consultants are required to follow the contract, which includes following the ODOT discipline and region quality plans.

- The consultant will complete ODOT required quality documents as well as any additional quality documents specified in the consultant quality plan.
- ODOT staff will review consultant-produced deliverables for technical sufficiency, per the Region Technical Center quality plan.

### Preliminary Plans Package – Review

#### Responsible Party:

Project Delivery Team

#### Guidance:

The PDT reviews the Preliminary Plans package once it has been assembled. A Preliminary Plan review meeting may be done after comments are responded to.

#### Objective:

- To complete review the Preliminary Plans package and complete the comment log.

#### Process detail:

- PM will email the Preliminary Plans link(s) to the milestone distribution list for review and comment and specify the review timeframe; generally, a 2-week period.
- Generally, Preliminary Plans distributions are sent beyond the PDT to:
  - Area and District management,
  - Specific disciplines in ETSB,
  - Rail and rail safety section,
  - Bridge Section,
  - ITS,
  - Pavement Services,
  - ADA/Active Transportation,
  - LPA representatives,
  - and PCO.
    - PM will provide the link to the comment log to capture all the PDT comments.
- Reviewers will use the Excel comment log in the PW folder to document comments.
- Every discipline must provide comments, even if the entry is “no comments”. This ensures the review is complete.
  - Risks identified should be placed in the risk register.
- After the comment review period, PDT must respond to all comments.
- PM may schedule Preliminary Plans review meeting to review the comments, responses, and risks to ensure understanding of issues to be addressed.
  - This meeting is at the discretion of the PM and may be part of a PDT meeting.
  - All comments must be responded to even if the response is the comments will be resolved at a later milestone.

#### Outsourced

- ODOT PM will be responsible for distributing Preliminary Plans package to ODOT PDT for review.

- The consultants should provide responses to all ODOT comments.
  - Typically, a 2-week turnaround unless otherwise stated in the contract
- The consultant should indicate which comments require discussion.
- The ODOT PM will support the consultant by coordinating discussions to resolve the remaining comments, as needed.
- The consultant team captures all final responses and resolutions in the comment log.

### *ODLAP*

- The LPA reviews the Preliminary Plans package, provides the comments and recommendations.
  - LPA does not have access to PW, so PM or consultant will provide Preliminary Plans set contents for review.
- ODOT PDT review for technical sufficiency only on local facilities. ODOT PDT reviews for ODOT standards on state highways.

# Advance Plans

This is a key interim step of the project development phase and requires all project disciplines to review advance plans package for completeness and accuracy. Advanced Plans should include the revisions resulting from the Preliminary Plan review and are accompanied by the project's special provisions.

## Advance Plans Process

### *ODOT:*

- PDT begins [Advance Plans design](#)
- PDT develops [Special Provisions](#)
- PM updates [Risk Register](#)
- PM initiates [Procurement](#)
- PM finalizes [Mobility \(Permanent and Temporary Impacts\)](#)
- PM creates [Insurance Risk Assessment](#)
- PM drafts [PS&E Submittal Checklist](#)
- PDT request [OECR Goals](#)
- PM draft [Public Interest Finding](#)
- PDT updates [Construction Estimate](#)
- PDT updates [Construction Time Estimate](#)
- Region Right of Way Project Manager begins [Right of Way Certification](#)
- SURL provides [Utility Certification](#)
- PM creates CMR - [Change Management Request](#)
- PM prepares [Advance Plans Set - Compiled](#)
- PDT completes [Quality Reviews per Quality Plans](#)
- PDT reviews [Advance Plans package](#)

### *ODLAP:*

- PDT begins [Advance Plans design](#)
- PDT develops [Special Provisions](#)
- PM updates [Risk Register](#)
- PM initiates [Procurement](#)
- PM finalizes [Mobility \(Permanent and Temporary Impacts\)](#)
- PM creates [Insurance Risk Assessment](#)
- PM drafts [PS&E Submittal Checklist](#)
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- PM draft [Public Interest Finding](#)
- PDT updates [Construction Estimate](#)
- PDT updates [Construction Time Estimate](#)
- Region Right of Way Project Manager begins [Right of Way Certification](#)
- SURL provides [Utility Certification](#)
- PM creates [PCR - Project Change Request](#)
- PM prepares [Advance Plans Set - Compiled](#)
- PDT completes [Quality Reviews per Quality Plans](#)

- PDT reviews [Advance Plans package](#)

### Advance Plans Design

#### Responsible Party:

Project Delivery Team

#### Guidance:

Advance plans design is the continuation of development of those deliverables necessary to progress the project from Preliminary to Final plans and continue putting together the construction contract documents.

#### Objective:

- PDT begins design of advance plans.

#### Process detail:

- PM to make sure PDT has all the information they need to continue design.
- Each technical discipline is responsible for following the ODOT discipline design guidance.
- RUS continues Utility coordination.
- PM continues permit coordination.
- PDT continues access management coordination.

### Special Provisions

#### Responsible Party:

Specification (spec) Writer

#### Guidance:

A special provision is a written clause or requirement added to a construction contract that modifies, clarifies, or supplements the standard specifications for a specific project.

The Project Special Provisions are part of the advertisement package for the construction contract and become the contract special provisions after award.

The Project Special Provisions consist of a set of assembled Boilerplate Special Provisions, including the Standard Specifications and any approved modifications or additions to the Boilerplate Special Provisions.

#### Objective:

- Begin development of special provision.

#### Process detail:

- The spec writer is responsible for compiling the special provisions.
- PM ensures the spec writer has the information and the deadline to complete the deliverables.

- The project special provisions are developed and compiled according to the ODOT Specifications Manual.
- Disciplines provide spec writer project-specific special provision language.
- PM to coordinate on the following with the PDT:
  - Letter of Public Interest Finding (LPIF), anticipated item request (AIR), and state exemption order (SEO)s incorporated into special provision. Items involved in these can include:
    - Salvage material
    - Agency provided materials
    - Mandatory disposal site
    - Non-biddable items
  - If the project requires a mandatory pre-bid meeting, the PM will coordinate the date and location with PCO.
- The PM should include the spec writer in this communication.
- The PM, in conjunction with the RE, schedules the MPB to be held no sooner than one week after the project advertises, and no later than one week before the bid date. Do not schedule the MPB on Thursday due to potential conflicts with bidding.

### ODLAP

- PM to coordinate on the following with the LPA and PDT:
  - LPIF, AIR, and SEOs incorporated into special provision
    - Will not use state exemption order on ODLAP projects
  - Specific language the LPA would like included in the provisions.

### Helpful links:

- [ODOT Specifications Manual](#)

## Risk Register

### Responsible Party:

Project Manager

### Guidance:

Risk register is required to be updated at each milestone to effectively manage risk transparently.

### Objective:

- To have an updated risk register.

### Process detail:

- The project manager is responsible for reviewing and revising the risk register with the project team.
- Best practice is to:
  - review this document at the PDT meetings
  - update the register with any project changes

- make sure risks are reviewed at each milestone

### *Outsourced*

- Must be updated by ODOT and consultant.

### *ODLAP*

- PM to coordinate updates to the risk register with LPA.

### Helpful links:

- Refer to the [Risk Management](#) website.
- [Guide to Managing Project Risks for ODOT STIP](#)

## Procurement

### Responsible Party:

Project Manager

### Guidance:

Initiating procurement refers to the process of beginning or amending intergovernmental agreements (IGA), A&E contracts, or Goods, Trades, and Services (GTS) contracts.

### Objective:

- Complete any appropriate procurement.

### Process detail:

- Follow procurement guidance.
- PM may amend A&E contracts for additional phases that potentially weren't initially contracted.
- PM may initiate amendment process for IGAs.
- PM may initiate procurement process for goods, trades, or services.
  - Advance purchase of good for construction.

### Helpful links:

- [A&E Contract Administration Manual - Home](#)
- [ODOT Procurement Office SharePoint](#)

## Mobility Impacts (permanent and temporary)

### Responsible Party:

Project Manager

### Guidance:

Permanent and temporary impacts related to mobility should be finalized at Advance Plans:

- For **permanent impacts**: Complete or evaluate if design changes affect permanent features that potentially reduce vehicle-carrying capacity on Reduction Review Routes subject to ORS 366.215 and must request a new or updated Stakeholder Forum Record of Support.
  - Any design changes that result in new or greater reductions in vehicle-carrying capacity will need to go through the Stakeholder Forum review process again and seek an updated *Record of Support*.
- For **temporary impacts**: Complete or update the [Mobility Considerations Checklist](#) used to identify potential *temporary* work zone impacts to freight and traffic mobility.
  - Any design changes that result in new or greater temporary impacts require an updated Mobility Considerations Checklist.

### Objective:

- Complete the ORS 366.215 Stakeholder Forum Review process
- Complete the Mobility Considerations Checklist.

### Process detail:

- For permanent impacts subject to ORS 366.215:
  - The PM, working with the Region Mobility Liaison and Mobility Services Team, will request a *Record of Support* from the Stakeholder Forum at a Mobility Advisory Committee (MAC) meeting.
- For temporary impacts:
  - The PM or delegate and the Mobility Program manager are responsible for signing the Mobility Considerations Checklist at the conclusion of the mobility review process.
  - After the checklist is signed off, the PM must share all of the documents used to communicate mobility impacts, if any, (e.g. the Mobility Considerations Checklist, TMP, traffic control plans, specifications, WZDT, and any other relevant emails/MAC meeting minutes) with the RE so the RE and construction team is aware of the mobility impacts shared and supported during project development.
  - PDT to identify if there are any changes to traffic control plans or work zone related documents that result in additional or greater impacts to the work zone.
    - PM to share changes with the Mobility Services Team and Region Mobility Liaison with an updated Mobility Considerations Checklist. Mobility Services Team and Region Mobility Liaison will determine if the changes need to be further shared with the MAC and inform the PM of the decision.

### ODLAP

- Complete the entire Mobility Considerations Checklist only if there is an impact within ODOT jurisdiction, otherwise only mark no impact and do not complete the rest of the form.

### Helpful links:

- [Mobility Services Team and Region Mobility Liaison Contact Information](#)
- [Mobility Considerations Checklist Guide](#)
- [Mobility Procedures Manual](#)
- [Mobility Program SharePoint site](#)

- [PD-16 \(Mobility Program Management\)](#)
- [Mobility Consideration Checklist \(form # 735-9983\)](#)
- [Transportation Management Plan Project Level Guidance Manual](#)
- [ORS 366.215 Implementation Guide](#)

## Insurance Risk Assessment

Responsible Party:

Project Manager (PM)

Guidance:

The Insurance Risk Assessment for traditional highway construction contracts (design, bid, build) informs the insurance requirements of the construction contract based on the scope of the construction contract.

Objective:

- Complete an Insurance Risk Assessment for each contract.

Process detail:

- The PM is responsible for filling out the Insurance Risk Assessment at advanced plans, updating it as needed, documenting within ProjectWise, and reviewing it with the ODOT Risk and Compliance Analyst, as instructed by the tool.
- Use the process, tutorials, and tools on the OPO website and User Guide within the Insurance Risk Assessment.
- Email [OPORiskManagement@odot.oregon.gov](mailto:OPORiskManagement@odot.oregon.gov) for assistance.
- PM is responsible for putting any documentation in PW.

Helpful links:

- [OPO Risk Management - Insurance Risk Assessment](#)

## PS&E Submittal Checklist

Responsible Party:

Project Manager

Guidance:

The PS&E checklist is drafted at advance plans as a status point to evaluate how the project is progressing.

Objective:

- Create the draft PS&E submittal checklist.

Process detail:

- PM drafts PS&E submittal checklist to determine status of individual checklist items
- PDT informs PM of the status of individual checklist items

- Since this is a draft only, most items on the checklist will not yet be complete by Advance Plans. The intention of completing the checklist is to provide current status of project deliverables by the Advance Plans milestone.
- Best practice is for the PM to confirm the PS&E due date with PCO.

### Helpful links:

- [PS&E Submittal Checklist](#)

## OECR Goals

### Responsible Party:

Project Manager

### Guidance:

The Office of Equity and Civil Rights (OECR) assign construction contract goals for Disadvantaged Business Enterprise (DBE), Tribal Employment Rights Ordinance (TERO), and Apprentice On-the-Job Training (OJT).

### Objective:

- To request OECR goals.

### Process detail:

- OECR assigns goals and aspirational targets at the time the assignment is requested.
- PM coordinates with Spec Writer to obtain goals from OECR using Form 731-0663.
  - This should be done within 90 days of PS&E date.
  - Include construction schedule and cost estimate with request form.
- PM contacts OECR to confirm if the project goals/targets are affected if any of the following occurs:
  - The goal exceeds 180 days.
  - There have been significant changes in the estimate (greater than  $\pm 10\%$ ).
  - The funding source changes (federal/state).
  - Major scope change.
  - PM places a PDF copy of the request and OECR goals response in PW.
- Contact OECR for more information.

### Helpful links:

- [OECR SharePoint](#)
- [Civil Rights Request for Goals Form 731-0663](#)

## Public Interest Finding

### Responsible Party:

Project Manager

### Guidance:

The public interest finding section denotes all three documents which clarify the process by which PMs must justify why they are not following the existing CFR or statutes.

- A **letter of public interest finding** (LPIF) is a written document showing why it is in the public's best interest to not follow a Code of Federal Regulations (CFR) or State Statute.
- An **anticipated item request** (AIR) is a written document request for all non-standard anticipated items on a project.
  - Exception: Standard anticipated items not requiring an anticipated item request are:
    - Asphalt/fuel/steel escalation
    - ACP statistical bonus
    - ACP/PCC smoothness bonus
- A **state exemption order** (SEO) is a document, that when approved, exempts the Agency from allowing a request to use an approved equal for a specific product as required by state statute ORS 279C.345.

### Objective:

- Get approved public interest findings.

### Process detail:

- PM will work with the PDT to determine what Public Interest Finding document is appropriate.
- The PM is responsible for putting the document in PW.
- The PCO pre-letting specialist can review the document before getting region signatures if the PM submits the link via email for early review.
- The PM is responsible for getting region signatures.
- The PM will send it to PCO for review once the region-specific signatures are in place.
- PCO pre-letting specialist will review.
- PCO pre-letting specialist is responsible for getting technical resource and PCO manager signatures.
- The PCO pre-letting specialist will inform the PM and CC'd spec writer that this document has been approved.

### Inhouse

- The PM is responsible for completing the document.

### Outsourced

- Consultants may draft these documents.

### ODLAP

- LPA is responsible for completing the document,
- LPA will send to PM to review and get region signatures.

### Helpful links:

- [Letter of Public Interest Finding Guidance](#)

- [Programmatic AIR Template](#)
- [AIR Template](#)
- [LPIF Template](#)
- [Salvage LPIF Template](#)
- [SEO Template](#)

## Construction Estimate

Responsible Party:

Specifications (spec) Writer

Guidance:

Having a current, updated construction estimate will help a project manager ensure that the project stays within the allocated budget amount.

Objective:

- Obtain an updated construction estimate.

Process detail:

- The spec writer is responsible for creating the advance construction estimate with input from the PDT.
- PM will continue checking the construction estimate against the construction budget.
  - If the construction estimate is higher than the STIP construction phase estimated amount, the project manager will begin strategy discussions immediately with region management.

**ODLAP**

- PM is responsible for contacting the LPA if additional funds are needed per the updated estimate.

Helpful links:

- [Estimating Manual](#)

## Construction Time Estimate

Responsible Party:

Specifications (spec) Writer

Guidance:

The construction time estimate is a standardized estimate schedule of construction activities using production rate data contained in the worksheet file and restrictions contained in the project specifications. The construction time estimate will help determine completion date into the specifications.

### Objective:

- Obtain an updated construction time estimate.

### Process detail:

- The spec writer is responsible for updating the construction time estimate.
- The ODOT template (Fuel Index and Scheduling Program) must be used.
- PM ensures the spec writer has the information and the deadline to complete the deliverable.

### Helpful Links

- [Fuel, Steel, Class of Work and Scheduling Template Guide](#)

## Right of Way Certification

### Responsible Party:

Right of Way (ROW) Project Manager

### Guidance:

The right-of-way certification statement is a standard requirement that applies to all Federal aid projects, even for projects that do not require acquisition of any right-of-way. This requirement helps convey that all property needed to construct the project have been acquired and all persons have been relocated in accordance with the Uniform Act and other applicable requirements.

### Objective:

- Complete the ROW Certification approved.

### Process detail:

- PM to coordinate with the ROW Project Manager on the progress of ROW certification
- PM must provide a reasonable deadline to the ROW Project Manager

### Helpful Links:

- [Right of Way Manual](#)

## Utility Certification

### Responsible Party:

State Utility Liaison

### Guidance:

The utility certification signifies that project meets one of the following:

- No utility facilities will be affected by the project. This is appropriate for projects that won't have an effect on any utility facilities during construction.
- All utility work will be completed prior to the start of construction. This is appropriate when utility work is necessary, and work will be completed prior to the start of construction.

- Arrangements are made to have utility work undertaken during construction. In this circumstance, you must also indicate as part of your certification that appropriate notification will be included in the bid proposal notifying all prospective bidders of any utility work that will occur concurrently with the project construction.

### Objective:

- Complete the Utility Certification.

### Process detail:

- PM coordinates with the State Utility Liaison, and utility coordinator
- PM provides deadlines for the utility certification.

### Helpful Links:

- [Utility Manual](#)

## CMR – ODOT Only

### Responsible Party:

Project Manager

### Guidance:

- **CMR is only for ODOT projects. This does not apply to ODLAP projects.**
- The PM must complete the applicable change management process for any change in scope, schedule, or budget.

### Objective:

- Get an approved CMR for any change to scope, schedule, or budget.

### Process detail:

- Follow system guidance for entering CMRs.
- PM is responsible for placing the approved CMR in PW.

### *Outsourced*

- This is an internal process only and does not involve external parties or consultants.

### Helpful links

- [CMR guidance](#)
- [CMR Portal](#)
- [CMR Dashboard](#)

## PCR - Project Change Request – ODLAP Only

### Responsible Party:

Project Manager

### Guidance:

A project change request documents any changes that have taken place from when the TSS was approved, STIP was approved, or the IGA was executed.

### Objective:

- Approved PCR, if required

### Process detail:

- This is an internal process only and does not involve external parties or consultants. It is between ODOT and LPA only.
- The PM and LPA are responsible for drafting the PCR.
- If the LPA suggests adjustment to scope, schedule, and/or budget as a result of project circumstances, the LPA drafts an initial version of the PCR and submits it to the PM.
  - LPA fills out all the LPA header information and justification for changes to scope, schedule, and/or budget.
- If ODOT must adjust the scope, schedule, and/or budget as a result of the project circumstances, and this is not a direct result of the LPA actions or requests, the PM drafts the PCR.
- PM discusses all changes and justification for changes with the LPA regardless of who initiates the draft form. Any remaining information or fields shall be filled in as part of this discussion.
- PM discusses changes with the funding program manager after confirming the LPA and ODOT are in concurrence with the changes.
- The funding program manager may be internal to ODOT, or an outside agency that awarded the project.
- PM confirms with the agreement writer whether the change in scope, schedule, or budget requires the project IGA to be amended and will initiate the IGA amendment as needed after the PCR is completed.
- The PCR is not approval of an IGA amendment, but the justification for the change.
- PM confirms with the STIP coordinator whether the change in scope, schedule, or budget requires change to the STIP and will initiate a STIP amendment as needed, after the PCR is completed.
- The PCR is not the approval mechanism for a STIP amendment but provides justification for the change.
- Once documentation is complete:
  - LPA representative will sign concurrence with the change(s) to the project.
  - ODOT funding program manager will sign for approval for any required changes to the funding, intergovernmental agreement (IGA), or Statewide Transportation Improvement Program (STIP) amendment.
  - If the funding program is administered by anyone other than ODOT, the PM must verify that there are no issues from the awarding agency for the proposed change.
  - The PM may request additional signatures under approvals as deemed necessary to ensure the changes provided meet project, legal, and/or program requirements.

- PM will sign concurrence with the change(s) to the project scope, schedule, and/or budget.
- Certain funding programs may have a more involved process that will need to be followed as dictated by funding program guidance. That funding program guidance may add any additional process steps required. Example: the PCR can be used as part of the Local Bridge Program bridge committee to determine approval steps.
- PM is responsible for placing the approved PCR in PW.

### Helpful Links

- [PDB-05 PCR for ODLAP](#)

## Advance Plans Set – Compiled

### Responsible Party:

Project Manager

### Guidance:

The Advance plans set is the collection of all Advance Plans deliverables into a PW set.

### Objective:

- To compile all of the Advance plans deliverables for review.

### Process detail:

- The PM is responsible for creating the K#####\_AdvSET\_## in ProjectWise (PW).
- The technical resources have access to put their deliverables in the Advance set in PW.
- The PM is responsible for ensuring all required deliverables are in the Advance set.

The Advance plans set may include the following components:

- Advance plans sheets
  - Includes accessible transportation elements
- Advance plans special provisions
- Updated construction estimate
- Updated construction time estimate
- Documents required by individual technical discipline manuals and standards

### *Outsourced*

- Consultants can add their contracted deliverables to the set.
  - ODOT is responsible for putting ODOT deliverables in the Advance Plans set.
  - The Advance Plans set is not a consultant deliverable.
- ODOT PM is responsible for ensuring all deliverables are in the Advance Plans set.

### Quality Reviews per Quality Plans

Responsible Party:

Project Manager

Guidance:

Ensure consistent standards and procedures are performed by following the quality standards of practice (quality plans, forms, and guidance). ODOT quality plans include roles, responsibilities, and quality review milestones to help identify and resolve issues early, maintain compliance, and deliver a successful project outcome.

Objective:

- Ensure all necessary deliverables have been completed and gone through the quality process.

Process detail:

- The PM checks with each TCUM or designee that they are ensuring that their discipline team members creating or reviewing deliverables follow the appropriate statewide discipline and region quality plan, and that all deliverables are present for the QV process.
- The PM ensures the Transportation Project Management Quality Plan or the ODLAP Quality Plan (when applicable), the region Technical Center quality plan, consultant quality plan (when applicable), and are followed.

*Outsourced*

- The PM should check for the associated consultant quality plan in addition to the ODOT or ODLAP quality plans.
- Consultants are required to follow the contract, which includes following the ODOT discipline and region quality plans.
- The consultant will complete ODOT required quality documents as well as any additional quality documents specified in the consultant quality plan.
- ODOT staff will review consultant-produced deliverables for technical sufficiency, per the Region Technical Center quality plan.

Helpful Links:

- [Quality SharePoint site](#)
- [TPM Quality Plan](#)
- [ODLAP Quality Plan](#)

### Advance Plans Package

Responsible Party:

Project Delivery Team

Guidance:

The PDT reviews the Advance Plans package once it has been assembled. An Advance Plans review meeting may be done after comments are responded to.

### Objective:

- To complete a review of the Advance Plans package and complete the comment log.

### Process detail:

- PM will email the Advance Plans link(s) to the milestone distribution list for review and comment and specify the review timeframe; generally, a 2-week period.
- Generally, Advance Plans distributions are sent beyond the PDT to:
  - Area and District management,
  - Specific disciplines in ETSB,
  - Rail/Safety Division,
  - Bridge/Structures Division,
  - ITS,
  - Pavement Services,
  - ADA/Active Transportation,
  - LPA representatives, and
  - PCO.
- PM will provide the link to the comment log to capture all the PDT comments.
- Reviewers will use the Excel comment log in the PW folder to document comments.
- Every discipline must provide comments, even if the entry is “no comments”. This ensures the review is complete.
  - Risks identified should be placed in the risk register.
- After the comment review period, PDT must respond to all comments.
- PM may schedule Advance Plans review meeting to review the comments, responses, and risks to ensure understanding of issues to be addressed.
  - This meeting is at the discretion of the PM and may be part of a PDT meeting.
  - All comments must be responded to even if the response is the comment will be resolved at a later milestone.

### Outsourced

- ODOT PM will be responsible for distributing Advance Plans package to ODOT PDT for review.
- The consultants should provide responses to all ODOT comments.
  - Typically, a 2-week turnaround unless otherwise stated in the contract
- The consultant should indicate which comments require discussion.
- The ODOT PM will support the consultant by coordinating discussions to resolve the remaining comments, as needed.
- The consultant team captures all final responses in the comment log.

### ODLAP

- The LPA reviews the Advance Plans package, provides the comments and recommendations.
  - LPA does not have access to PW, so PM or consultant will provide Advance Plans set contents for review.
- ODOT PDT review for technical sufficiency only on local facilities. ODOT PDT reviews for ODOT standards on state highways.

# Final Plans

Final plans is the last milestone and intended to be the end of design work and development. Plans, specifications, estimate, and other contract documents and deliverables for the implementation of the construction work should be completed at this milestone. Work after this milestone is meant only for quality control, resolution of comments and issues, and making any final revisions before PS&E submittal.

## Final Plans Process

### *ODOT:*

- PDT begins [Final Plans design](#)
- PDT begins [Special Provisions](#)
- PM updates [Risk Register](#)
- PM initiates [Procurement](#)
- PM reviews [PS&E Submittal Checklist](#)
- PDT updates [Construction Estimate](#)
- PDT updates [Construction Time Estimate](#)
- PM creates [CMR - Change Management Request](#)
- PDT completes [Quality Reviews per Quality Plans](#)
- PM prepares [Final Plans Set](#)
- PDT conducts [Final Plans Package Review](#)
- [Plans, Specs, and Estimate](#)
- PDT initiates [Statement of Technical Review](#)

### *ODLAP:*

- PDT begins [Final Plans design](#)
- PDT begins [Special Provisions](#)
- PM updates [Risk Register](#)
- PM initiates [Procurement](#)
- PM reviews [PS&E Submittal Checklist](#)
- PDT updates [Construction Estimate](#)
- PDT updates [Construction Time Estimate](#)
- PM creates [PCR - Project Change Request](#)
- PDT completes [Quality Reviews per Quality Plans](#)
- PM prepares [Final Plans Set](#)
- PDT conducts [Final Plans Package Review](#)
- [Plans, Specs, and Estimate](#)
- PDT initiates [Statement of Technical Review](#)

## Final Plans Design

Responsible Party:

Project Delivery Team

### Guidance:

Final Plans design is the completion of all design work on the plan set. This work is not intended to change or develop new scope. This work is to resolve all remaining comments.

### Objective:

- PM to make sure PDT has all the information they need to continue design.
- PDT begins design of final plans.

### Process detail:

- Each technical discipline is responsible for following the ODOT discipline design guidance.
- RUS continues Utility coordination.
- PM continues permit coordination.
- PDT continues access management coordination, if applicable.
- PDT request V-number for all applicable sheets from [mapsandplans@odot.oregon.gov](mailto:mapsandplans@odot.oregon.gov).
  - Request within 90 days of the bid date.
  - 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 is required, and a new request must be made.
- Plan sheet series that use the V-number are A-H and Q-Z.
- PDT request bridge number, if applicable.

### Outsourced

- PM to discuss required permits with the consultant.

### ODLAP

- V-numbers are not required off of the state highway system. Use “Local System”. Refer to Highway Design Manual for additional information.

### Helpful links:

- [ODOT Structure Numbering Rules for Major/Critical Structures](#)
- [Structure Naming Rules](#)
- [MAPP Document Number Request Form 734-2623](#)
- [Highway Design Manual](#)

## Special Provisions

Responsible Party:

Specification (spec) Writer

### Guidance:

Final Plans special provisions is the completed set of assembled Boilerplate Special Provisions, including the Standard Specifications and any approved modifications or additions to the Boilerplate Special

Provisions. This work is not intended to change or develop new scope. This work is to resolve all remaining comments.

### Objective:

- Begin Final Plans special provision.

### Process detail:

- The spec writer is responsible for compiling the special provisions.
- PM ensures the spec writer has the information and the deadline to complete the deliverables.
- The project special provisions are developed and compiled according to the ODOT Specifications Manual.
- Disciplines provide spec writer project-specific special provision language.
- Spec writer request technical resource and state specifications engineer (SSE) concurrence for any modifications or deleted language.
- Request SSE concurrence at least 3 weeks before the PS&E due date if DOJ concurrence is required.
  - Any modifications to the section 00100s, including more than 3 completion dates in 00180.50(h), always require DOJ review and approval.
- Request SSE concurrence at least 2 weeks before the PS&E due date.
- Best Practices – Place concurrence emails in PW.
- The spec writer is responsible for ensuring the current boilerplate language is being used according to the ODOT Specifications Manual.

### ODLAP

- PM to coordinate with the LPA and PDT specific language the LPA would like to include in the provisions.
- Materials testing specifications, federal aid projects, even on local facilities are not able to use Type “E” materials testing as this does not meet federal requirements.

### Helpful links:

- [ODOT Specifications Manual](#)

## Risk Register

### Responsible Party:

Project Manager

### Guidance:

Risk register is required to be updated at each milestone to effectively manage risk transparently.

### Objective:

- To have an updated risk register.

### Process detail:

- The PM is responsible for reviewing and revising the risk register with the project team.
- Best practice is to:
  - review this document at the PDT meetings
  - update the register with any project changes
  - make sure risks are reviewed at each milestone

### *Outsourced*

- Must be updated by ODOT and consultant.

### *ODLAP*

- PM to coordinate updates to the risk register with LPA.

### Helpful links

- Refer to the [Risk Management](#) website.
- [Guide to Managing Project Risks for ODOT STIP](#)

## Procurement

### Responsible Party:

Project Manager

### Guidance:

Initiating procurement refers to the process of beginning or amending intergovernmental agreements (IGA), A&E contracts, or Goods, Trades, and Services (GTS) contracts.

### Objective:

- Complete any appropriate procurement.

### Process detail:

- Follow procurement guidance.
- PM may amend A&E contracts for additional phases that potentially weren't initially contracted.
- PM may initiate amendment process for IGAs.
- PM may initiate procurement process for goods, trades, or services.
  - Advance purchase of good for construction.

### Helpful links:

- [A&E Contract Administration Manual - Home](#)
- [ODOT Procurement Office SharePoint](#)

## PS&E Submittal Checklist

### Responsible Party:

Project Manager

### Guidance:

The PS&E checklist is updated at final plans as a status point to evaluate how the project is progressing.

### Objective:

- Review the draft PS&E submittal checklist.

### Process detail:

- PM reviews PS&E submittal checklist to determine status of individual checklist items
- PM to verify there are no needed changes to the previously vetted/signed Mobility Considerations Checklist.
- PDT informs PM of the status of individual checklist items
- The intention of completing the checklist is to provide current status of project deliverables by the Final Plans milestone.
- Best practice is for the PM to confirm the PS&E due date with PCO.

### Helpful links:

- [PS&E Submittal Checklist](#)

## Construction Estimate

### Responsible Party:

Specifications (spec) Writer

### Guidance:

Having a current, updated construction estimate will help a project manager ensure that the project stays within the allocated budget amount.

### Objective:

- Obtain an updated construction estimate.

### Process detail:

- The spec writer is responsible for creating the final construction estimate with input from the PDT.
- PM will continue checking the construction estimate against the construction budget.
  - If the construction estimate is higher than the STIP construction phase estimated amount, the PM will begin strategy discussions immediately with region management.

### **ODLAP**

- PM is responsible for contacting the LPA if additional funds are needed per the updated estimate.

### Helpful links:

- [Estimating Manual](#)

### Construction Time Estimate

Responsible Party:

Specifications (spec) Writer

Guidance:

The construction time estimate is a standardized estimate schedule of construction activities using production rate data contained in the worksheet file and restrictions contained in the project specifications. The construction time estimate will help determine completion date into the specifications.

Objective:

- Obtain an updated construction time estimate.

Process detail:

- The spec writer is responsible for updating the construction time estimate.
- The ODOT template (Fuel Index and Scheduling Program) must be used.
- PM ensures the spec writer has the information and the deadline to complete the deliverable.

Helpful Links

- [Fuel, Steel, Class of Work and Scheduling Template Guide](#)

### CMR – ODOT Only

Responsible Party:

Project Manager

Guidance:

- **CMR is only for ODOT projects. This does not apply to ODLAP projects.**
- The PM must complete the applicable change management process for any change in scope, schedule, or budget.

Objective:

- Get an approved CMR for any change to scope, schedule, or budget.

Process detail:

- Follow system guidance for entering CMRs.
- PM is responsible for placing the approved CMR in PW.

**Outsourced**

- This is an internal process only and does not involve external parties or consultants.

Helpful links:

- [CMR guidance](#)
- [CMR Portal](#)

- [Phase gate monitoring report](#)
  - Contact the PCO Pre-Letting specialist to resolve any discrepancies with this report.
- [CMR Dashboard](#)

### PCR - Project Change Request – ODLAP Only

Responsible Party:

Project Manager

Guidance:

A project change request documents any changes that have taken place from when the TSS was approved, STIP was approved, or the IGA was executed.

Objective:

- Approved PCR, if required

Process detail:

- This is an internal process only and does not involve external parties or consultants. It is between ODOT and LPA only.
- The PM and LPA are responsible for drafting the PCR.
- If the LPA suggests adjustment to scope, schedule, and/or budget as a result of project circumstances, the LPA drafts an initial version of the PCR and submits it to the PM.
  - LPA fills out all the LPA header information and justification for changes to scope, schedule, and/or budget.
- If ODOT must adjust the scope, schedule, and/or budget as a result of the project circumstances, and this is not a direct result of the LPA actions or requests, the PM drafts the PCR.
- PM discusses all changes and justification for changes with the LPA regardless of who initiates the draft form. Any remaining information or fields shall be filled in as part of this discussion.
- PM discusses changes with the funding program manager after confirming the LPA and ODOT are in concurrence with the changes.
- The funding program manager may be internal to ODOT, or an outside agency that awarded the project.
- PM confirms with the agreement writer whether the change in scope, schedule, or budget requires the project IGA to be amended and will initiate the IGA amendment as needed after the PCR is completed.
- The PCR is not approval of an IGA amendment, but the justification for the change.
- PM confirms with the STIP coordinator whether the change in scope, schedule, or budget requires change to the STIP and will initiate a STIP amendment as needed, after the PCR is completed.
- The PCR is not the approval mechanism for a STIP amendment but provides justification for the change.

- Once documentation is complete:
  - LPA representative will sign concurrence with the change(s) to the project.
  - ODOT funding program manager will sign for approval for any required changes to the funding, intergovernmental agreement (IGA), or Statewide Transportation Improvement Program (STIP) amendment.
  - If the funding program is administered by anyone other than ODOT, the PM must verify that there are no issues from the awarding agency for the proposed change.
  - The PM may request additional signatures under approvals as deemed necessary to ensure the changes provided meet project, legal, and/or program requirements.
  - PM will sign concurrence with the change(s) to the project scope, schedule, and/or budget.
- Certain funding programs may have a more involved process that will need to be followed as dictated by funding program guidance. That funding program guidance may add any additional process steps required. Example: the PCR can be used as part of the Local Bridge Program bridge committee to determine approval steps.
- PM is responsible for placing the approved PCR in PW.

### Helpful Links

- [CMR Dashboard](#)
- [PDB-05 PCR for ODLAP](#)

## Quality Reviews per Quality Plans

### Responsible Party:

Project Manager

### Guidance:

Ensure consistent standards and procedures are performed by following the quality standards of practice (quality plans, forms, and guidance). ODOT quality plans include roles, responsibilities, and quality review milestones to help identify and resolve issues early, maintain compliance, and deliver a successful project outcome.

### Objective:

- Ensure all necessary deliverables have been completed and gone through the quality process.

### Process detail:

- The PM checks with each TCUM or designee that they are ensuring that their discipline team members creating or reviewing deliverables follow the appropriate statewide discipline and region quality plan, and that all deliverables are present for the QV process.
- The PM ensures the Transportation Project Management Quality Plan or the ODLAP Quality Plan (when applicable), the region Technical Center quality plan, consultant quality plan (when applicable), and are followed.

### *Outsourced*

- The PM should check for the associated consultant quality plan in addition to the ODOT or ODLAP quality plans.
- Consultants are required to follow the contract, which includes following the ODOT discipline and region quality plans.
- The consultant will complete ODOT required quality documents as well as any additional quality documents specified in the consultant quality plan.
- ODOT staff will review consultant-produced deliverables for technical sufficiency, per the Region Technical Center quality plan.

### Helpful Links:

- [Quality SharePoint site](#)
- [TPM Quality Plan](#)
- [ODLAP Quality Plan](#)

## Final Plans Set

### Responsible Party:

Project Manager

### Guidance:

The Final plans set is the collection of all Final Plans deliverables into a PW set.

### Objective:

- To compile all of the Final plans deliverables for review

### Process detail:

- The PM is responsible for creating the K#####\_FinalSET\_## in ProjectWise (PW).
- The technical resources have access to put their deliverables in the Final Plans set in PW.
- The PM is responsible for ensuring all required deliverables are in the Final Plans set.

The Final plans set may include the following components:

- Final plans sheets
- Final Plans special provisions
- Updated construction estimate
- Updated construction time estimate
- Documents required by individual technical discipline manuals and standards

### *Outsourced*

- Consultants can add their contracted deliverables to the set.
  - ODOT is responsible for putting ODOT deliverables in the Advance Plans set.
  - The Advance Plans set is not a consultant deliverable.
- ODOT PM is responsible for ensuring all deliverables are in the Advance Plans set.

### Final Plans Package Review

Responsible Party:

Project Delivery Team

Guidance:

The PDT reviews the Final Plans package once it has been assembled. A Final Plans review meeting may be done after comments are responded to.

Objective:

- To complete a review of the Final Plans package and complete the comment log.

Process detail:

- PM will email the Final Plans link(s) to the milestone distribution list for review and comment and specify the review timeframe; generally, a 2-week period.
  - Generally, Final Plans distributions are sent beyond the PDT to:
    - Area and District management,
    - specific disciplines in ETSB,
    - Rail/Safety Division,
    - Bridge/Structures Division,
    - ITS,
    - Pavement Services,
    - ADA/Active Transportation,
    - LPA representatives, and
    - PCO.
  - PM will provide the link to the comment log to capture all the PDT comments.
- Reviewers will use the Excel comment log in the PW folder to document comments.
- Every discipline must provide comments, even if the entry is “no comments”. This ensures the review is complete.
  - Risks identified should be placed in the risk register.
- PM may schedule Final Plans review meeting to review the comments, responses, and risks to ensure understanding of issues to be addressed.
  - This meeting is at the discretion of the PM and may be part of a PDT meeting.

**Outsourced**

- ODOT PM will be responsible for distributing Final Plans package to ODOT PDT for review.
- The consultants should provide responses to all ODOT comments.
  - Typically, a 2-week turnaround unless otherwise stated in the contract
- The consultant should indicate which comments require discussion.
- The ODOT PM will support the consultant by coordinating discussions to resolve the remaining comments, as needed.
- The consultant team captures all final responses in the comment log.

**ODLAP**

- The LPA reviews the Final Plans package, provides the comments and recommendations.

- LPA does not have access to PW, so PM or consultant will provide Final Plans set contents for review.
- ODOT PDT review for technical sufficiency only on local facilities. ODOT PDT reviews for ODOT standards on state highways.

## Plans, Specs, and Estimate

### Responsible Party:

Project Delivery Team

### Guidance:

The final plans review ensures that the plans, specifications, and estimate are ready for PS&E submittal.

### Objective:

- To make necessary edits and adjustments to the applicable documents.

### Process detail:

- The PDT should acknowledge and code appropriately the comments identified in the final plan review.
- All comments on the comment log should be addressed before the STR is approved.
- PM ensures the project team knows the deadline to complete the deliverables.

## STR – Statement of Technical Review

### Responsible Party:

Tech Center Manager

### Guidance:

STR form 734-5365 documents that disciplines have completed establish quality reviews through PS&E milestone. Completing this is a requirement on the PS&E checklist.

### Objective:

- Obtain completed STR form.

### Process detail:

- Each TCUM or designee ensures that their discipline team members creating or reviewing deliverables follow the appropriate statewide discipline and region quality plans, and that all deliverables are present for the QV process.
- The PM ensures the Transportation Project Management Quality Plan or the ODLAP Quality Plan (when applicable), and the consultant quality plan (when applicable) are followed.
- The PM or designee request the TCUM's or their designee initiate the STR and the PM provides an appropriate completion deadline ahead of the PS&E due date.
- The TCM checks that the STR signatures are complete before the TCM signs the PS&E checklist.

### *Outsourced*

- The ODOT tech center unit managers or designees will sign off on technical sufficiency of consultant-produced deliverables.

### Helpful Links:

- [Statement of Technical Review Form 734-5365](#)

## Plans, Specs & Estimates (PS&E)

Plans, Specifications, and Estimate (PS&E) phase gate is the completion of the project delivery design phase. All project deliverables must be complete along with all required items checked on the PS&E checklist before PS&E submittal.

### PS&E Process

#### *ODOT Inhouse:*

- PDT finalizes [PS&E STR](#)
- PM completes [PS&E submittal checklist](#)
- PM submits [PS&E exception letter](#)
- PM verify [Quality Reviews per Quality Plans](#)
- Spec Writer creates [Special Provisions Integrity Certification](#)
- PM compiles [PS&E package](#)
- PM submits [PS&E Package to PCO](#)
- PCO conducts [QA Review](#)
- PM uploads to [eBids – Upload Bid Reference Documents](#)
- OPO compiles [Bidding Documents](#)
- Federal Aid Programs Unit [Obligate Construction](#)

#### *ODOT Outsourced:*

- PDT finalizes [PS&E STR](#)
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### **ODLAP Outsourced:**

- PDT finalizes [PS&E STR](#)
- PM completes [PS&E submittal checklist](#)
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- PCO conducts [QA Review](#)
- PM uploads to eBids – Upload [Bid Reference Documents](#)
- OPO compiles [bidding documents](#)
- Federal Aid Programs Unit [obligates Construction](#)

## PS&E Submittal Checklist

Responsible Party:

Project Manager

Guidance:

The PS&E submittal checklist is drafted in advance plans, updated at final plans, and completed during PS&E.

Objective:

- Completing this document verifies that the project has all deliverables completed and that the project is ready to go to advertisement.

Process detail:

- The PM is responsible for finalizing the PS&E submittal checklist and routing for signatures.
- The PDT is responsible for ensuring their deliverables are finalized and have signatures, if required.
- The PDT informs the PM of the status of the deliverables.
- These deliverables are listed in the [PS&E package - Compile](#) section.

**Outsourced**

- The consultant does not sign the PS&E submittal checklist.

**ODLAP**

- The LPA does not sign the PS&E submittal checklist.

Helpful links:

- [PS&E Submittal Checklist](#)

## PS&E Exception Letter

### Responsible Party:

Project Manager

### Guidance:

The PS&E exception letter is the process by which a PM can proceed past PS&E with outstanding items from the PS&E checklist. The risk of proceeding without these items completed must be reviewed and approved, or the project will be rescheduled.

### Objective:

- Completed PS&E exception letter, if required, **at least two weeks before** the PS&E due date.

### Process detail:

- PM will identify items from the PS&E submittal checklist with boxes selected 'no'.
  - Indicating these items will not be completed by the PS&E submittal date.
- PM will engage with the PDT member responsible for the item to understand:
  - When the item will be completed
  - Description of outstanding item(s).
  - History that led to outstanding item(s).
  - Risk management plan to mitigate risk of outstanding item(s).
- PM will work with this PDT member to fill out the PS&E exception letter form in the Transportation Project Management System (TPMS).
- The following items are high risk deliverables that require various levels of Region, FHWA, and PDS Management approval in order to be requested on PS&E Exception Letters. If these items are not completed at the time PS&E submittal, the project may be delayed to a later bid date:
  - Complete Environmental Documentation\*
  - Funding related actions are required to be complete one week prior to the date of advertisement
  - Right of Way Certification\*
  - Office of Equity and Civil Rights (OECR) Documentation\*
  - Incorrect project limits requiring administrative STIP amendment
    - **NOTE:** PS&E cannot be accepted when a full STIP amendment is required (See PDB-04)
    - **\*Items required by FHWA.**
- If the risk is determined to be too high to proceed past PS&E by the PCO Manager, PDS Manager and the Statewide Project Delivery Manager, the project may need to be rescheduled to a later date to allow the PS&E Exception Letter items to be resolved.
- PM will submit the PS&E exception letter in TPMS to begin the approval signature process.
- Once chief engineer and SPDB manager concur and sign, TPMS will notify the contacts noted on the PS&E exception letter.
- It is the PM's responsibility to enter the date item is resolved in TPMS.
  - TPMS sends an automated reminder email one day before the anticipated completion date if a resolve date is not entered.

- Once all the outstanding items have been resolved, TPMS will send out an automated email notifying the contacts on the PS&E exception letter.

Note: External entities will not be provided access to the form for the PS&E exception as this is an internal only document. External contribution is through coordination only, not direct access to the form or system being used internally for approval or justification purposes. ODOT is directly responsible for the PS&E package to FHWA, and to provide reasonable justification for how and when exceptions are to be resolved within a reasonable timeframe and with what risk to ODOT. ODOT cannot be represented by consultants or other external parties on the risk to ODOT as an agency.

### **Outsourced:**

- PM will engage with the consultant responsible for the item to understand:
  - When the item will be completed
  - Description of outstanding item(s).
  - History that led to outstanding item(s).
  - Risk management plan to mitigate risk of outstanding item(s).

### **ODLAP:**

- Funding IGA's must address all state and federal funding necessary to complete construction and cannot be an exception letter item.

### Helpful Links:

- [TPMS PS&E Portal](#)
- [PS&E Exception Letter](#)

## Quality Reviews per Quality Plans

### Responsible Party:

Project Manager

### Guidance:

Ensure consistent standards and procedures are performed by following the quality standards of practice (quality plans, forms, and guidance). ODOT quality plans include roles, responsibilities, and quality review milestones to help identify and resolve issues early, maintain compliance, and deliver a successful project outcome.

### Objective:

- Ensure all necessary deliverables have been completed and gone through the quality process.

### Process detail:

- Each TCUM or designee ensures that their discipline team members creating or reviewing deliverables follow the appropriate statewide discipline and region quality plans, and that all deliverables are present for the QV process.
- The PM ensures the Transportation Project Management Quality Plan or the ODLAP Quality Plan (when applicable), and the consultant quality plan (when applicable) are followed.

- The PM or designee request the TCUM's or their designee initiate the STR and the PM provides an appropriate completion deadline ahead of the PS&E due date.
- The TCM checks that the STR signatures are complete before the TCM signs the PS&E checklist.

### *Outsourced*

- The PM should check for the associated consultant quality plan in addition to the ODOT or ODLAP quality plans.
- Consultants are required to follow the contract, which includes following the ODOT discipline and region quality plans.
- The consultant will complete ODOT required quality documents as well as any additional quality documents specified in the consultant quality plan.
- ODOT staff will review consultant-produced deliverables for technical sufficiency, per the Region Technical Center quality plan.

### Helpful Links:

- [ODLAP Quality Plan](#)
- [PD-25 Quality Operational Notice](#)
- [TPM Quality Plan](#)
- [Consultant Quality Plans](#)
- [Quality Standard of Practice SharePoint](#)
- [Quality Program external site](#)
- [Statement of Technical Review Form 734-5365](#)

## Special Provisions Integrity Certification

### Responsible Party:

Specifications (spec) Writer

### Guidance:

The special provision integrity certification is a required PS&E deliverable. This is a form that validates the state specifications engineer has concurred with all special provision modifications. This form is required whether or not there are modifications.

### Objective:

- To obtain the completed special provision integrity certificate.

### Process detail:

- PM ensures the specifications writer has the deadline to complete the form.
- The specification writer is responsible for signing the special provision integrity certification.
  - If modifications and concurrences are completed after the special provision integrity certification is signed, an updated special provision integrity certification is needed.
- The specification writer is responsible for placing the form in PW.

### *Outsourced*

- Consultants will complete this form and put it in PW.

### Helpful Links:

- [Special Provisions Integrity Certification](#)
- [ODOT Specifications Manual](#)

## PS&E Package

### Responsible Party:

Project Manager

### Guidance:

The PS&E package is the collection of all PS&E deliverables into a PW set.

### Objective:

- To compile all the PS&E deliverables.

### Process detail:

- The PM is responsible for creating the appropriate sets in ProjectWise (PW).
  - See list of sets below.
- The technical resources are responsible for putting their deliverables in the PS&E folder in PW.
- Once each deliverable is completed, the PM is responsible for moving the required deliverable to the appropriate set.

### PS&E Sets

#### **PS&E Set (K#####\_PSnESet):**

- PS&E submittal checklist
- Civil rights goal email (DBE, TERO, and OJT)
- Construction cost estimate (in AASHTOWare Project Estimation)
- Environmental certification
- Fuel, steel, class of work and scheduling worksheet (FSCOW)
- Mobility Considerations Checklist
- ODOT construction time estimate
- Special provisions integrity certification
- Insurance risk assessment
  - Concurrence email if applicable
- Right of way certification
- Utility certification
- Railroad certification
- Buy America waiver, if applicable
- PS&E exception letter, if applicable
- Project risk register
- Construction risk assessment, if applicable

- ADA Program Inventory Matrix, if applicable
  - Only applicable to ADA program projects.

**Plan Set (K#####\_PlanSet):**

- Title sheet signed by the TCM
- Plan sheets submitted individually and signed

**Bid Set: (K#####\_BIDSet):**

- Consolidated special provisions (Word version)
- Individual signed professional of record certifications (POR sheets)

**PS&E Comp Set\* (K#####\_PSnECompSet):**

- Design exceptions (Roadway)
- Design Deviation (Bridge)
- Statement of technical review (STR)
- 1R approval (Form 734-5244)
- Letter of public interest findings (LPIF), anticipated item request (AIR), or state exemption order (SEO), if applicable
- Intergovernmental agreements (IGA)
- Utility cooperative improvement agreement (CIA)
- Personal services contract (PSK)
- Stormwater maintenance and operations manual
- Interchange modification request, if applicable

**eBids Set\* (K#####\_EBidsSet):**

- Bid reference documents
- EBIDS digital design data letter
- EBIDS handoff package
- Roadway digital design data exception

\*= not reviewed by PCO. These sets are reviewed by tech center managers (TCM) to conduct their quality control review referenced on the PS&E checklist.

***Outsourced***

- Consultants can add their contracted deliverables to the appropriate PS&E set.
  - ODOT is responsible for putting ODOT deliverables in the appropriate PS&E set.
  - The PS&E sets are not a consultant deliverable.
- ODOT PM is responsible for ensuring all deliverables are in the appropriate PS&E set.
- The consultant shall schedule delivery of the final PS&E deliverables to ODOT 3-4 weeks before the PS&E due date.

## PS&E Package to PCO

Responsible Party:

Project Manager

### Guidance:

The PS&E package is submitted to PCO for quality assurance and is the final step before advertisement.

### Objective:

- PM submits PS&E sets to PCO.
- PCO accepts PS&E.

### Process detail:

- The PM submits links to the PS&E package to the PCO Pre-Letting Specialist.
  - The PS&E package includes: PSnE, Plan, and Bid PW sets (shown in [PS&E package – compile](#)).
  - PS&E package links should be sent via email by 8am on the PS&E Submittal to PCO date (551).
  - The PS&E package can be submitted up to one week early but may not be reviewed until the PS&E Submittal to PCO date.
- The Pre-Letting Specialist, QA reviewer, and PCO estimator will review the PS&E package submittal for completeness.
  - Any of these reviewers will notify the PM if any comments need to be addressed.
  - Comments need to be addressed by noon on Wednesday after the PS&E Submittal to PCO date.
- Once the Pre-Letting Specialist verifies the PS&E package submittal is complete, they notify the PM via email that the PS&E package submittal is accepted.
  - This is when the Pre-Letting specialist records the PS&E acceptance date.
- The Pre-Letting Specialist notifies the RMS team via email, cc'ing the PM, that PS&E has been accepted and requests a snapshot of the project schedule.
- The Pre-Letting Specialist sends a link of the Risk Register to the Risk Management team.

### *Outsourced*

- The ODOT PM will submit the PS&E package.
  - The consultant cannot do so.

### *ODLAP*

- The ODOT PM will submit the PS&E package.
  - The LPA cannot do so.

## QA Review

### Responsible Party:

PCO QA Reviewers

### Guidance:

The PCO QA reviewer reviews the plans, specifications, and estimate to ensure the project is ready for advertisement.

**Objective:**

- To ensure the plans, specifications, and estimate are biddable.

**Process detail:**

- PCO estimator creates bid schedule and enters project advertisement posting date.
- PCO QA reviewer emails FHWA requesting approval to advertise the project by Thursday COB after the PS&E Submittal to PCO.
  - All federally funded projects must receive approval to advertise the project from FHWA.
- PCO QA reviewer reviews plans, specifications, and estimate.
- PCO QA reviewer is responsible for getting the chief engineer's signature on the title sheet.
- PCO QA reviewer sends an email to the PM, spec writer, AM, and TCM with the following information once the review is complete:
  - ProjectWise link to PS&E QA Report
  - Date the corrections and responses are due
  - Reminder to upload bid reference documents to eBIDS.
- PDT is responsible for addressing PCO QA reviewer's comments.
  - The spec writer no longer has access to adjust the estimate once PS&E has been accepted. Email the assigned PCO QA reviewer or enter the following information in the PS&E QA Report response column for changes to the estimate:
    - Bid item is added.
      - Bid item quantity.
      - Bid item price unit.
    - Bid item is deleted.
    - Bid item is modified.
- PCO QA reviewer will notify the PM when all comments are addressed.
- PM ensures the PDT has the information and the deadline to address the comments.
- PS&E phase gate complete.

**If a critical item** has been identified and a project cannot continue on the current project timeline, follow these steps:

- PM should discuss the critical item and associated timeline with Area Manager before progressing through the process.
- PM notifies PCO QA reviewer assigned to the project, PCO manager, and pre-letting specialist via email with the following information:
  - Project information (key number, name, and region)
  - Current bid date
  - Detailed reason for change to project timeline.
- PM should draft a CMR to update project bid date and follow CMR process for rescheduling when bid date is unknown.
- PCO QA reviewer is responsible for letting OPO-Con, federal aid programmer and FHWA know the project is changing the project timeline.
- Once the critical item has been addressed, the PM must follow the re-submission process.

**Outsourced**

- PM is responsible for providing the PS&E QA Report to the consultant.
  - Consultants do not have access to the PCO ProjectWise folder.
  - PM moves document to Temp folder where consultants have access and then moves it back to the PCO folder once done.

**Reports:**

- [PS&E QA Report](#)

## eBIDS - Upload Bid Reference Documents

**Responsible Party:**

Project Manager

**Guidance:**

Bid reference documents are the technical documents and reports that allow a bidder to better understand the project and to develop an informed bid. Not every project requires bid reference documents.

**Objective:**

- Upload any applicable bid reference documents to eBIDS.

**Process detail:**

- The PM is responsible for making sure all applicable bid reference documents are complete and, in the PW, eBids set prior to start of advertisement.
- The PM is responsible for uploading all bid reference documents to the eBIDS website between the PS&E acceptance date and the day prior to project advertisement posting.
  - Any applicable bid reference documents that are not loaded into eBIDS by the advertisement posting will have to be posted separately as a letter of clarification (LOC).
- Common bid reference documents that may be necessary for a bidder to develop an informed bid on a project include the following. These documents are only necessary in specific situations:
  - As-Constructed Drawings
  - Environmental Permit
  - Geotechnical Report
  - Hazardous Materials Corridor Study Report – Level 1
  - Hazardous Materials Report – Level 2
  - Hydraulics Report
  - Local Land Use Permit
  - Material Source Narrative
  - Noise Ordinance
  - Notice of eBIDS Roadway Digital Design Data
  - All files listed in the “Computer File Index – eBIDS Handoff” spreadsheet into “XXXXX\_Roadway\_eBIDS”
  - Public Interest Finding

- Storm Water Report
- Traffic Management Report (TMP)
- Traffic Mobility Checklist
- Work Zone Safety Decision Tree
- Do not upload the following documents:
  - Anticipated item requests
  - Type, Size, and Location (TS&L) reports
- The PM should ask the AM what bid documents should be posted to eBIDS if there are questions.

**Outsourced:**

- Consultants do not have access to upload documentation to the eBIDS system.
- Consultant only provides the set in PW that includes documents to use as bid reference documents

**ODLAP:**

- LPAs do not have access to eBIDS.

## Bidding Documents

**Responsible Party:**

PCO QA Reviewer

**Guidance:**

The final plans, specifications, and estimate are collected by the PCO QA reviewer and sent to OPO – Construction (OPO-Con) to compile into the bidding documents.

**Objective:**

- Compile the bidding documents.

**Process detail:**

- The PM is not involved in this process.
  - The PM should contact the PCO QA reviewer with questions.
- The PCO QA reviewer is responsible for switching out updated plan sheets and Professional of Record (POR) certifications and placing the updated bid schedule in PW.
- The PCO QA reviewer is responsible for sending the bidding documents set to OPO – Con.
- OPO – Con is responsible for compiling the bidding documents and uploading to eBIDS.
- OPO – Con is responsible for releasing the project advertisement to the media.

## Obligate Construction

**Responsible Party:**

Federal Aid Region Programmers

**Guidance:**

FHWA must approve obligation of the Construction (CN) phase before a project is allowed to advertise.

**Objective:**

- FHWA approves CN phase obligation.

**Process detail:**

- The PM is not involved in this process.
  - The PM should contact the PCO Pre-Letting specialist with questions.
- Federal aid programmers submit obligation of the CN phase to FHWA.
  - FHWA approves CN obligation or sends request for clarification.
  - Federal aid programmers coordinate with FHWA to obtain obligation (approval to advertise) by the Friday before advertisement.
- The PCO Pre-Letting Specialist enters the obligation approval date as the FHWA Ad Approval Date into AASHTOWARE Project PreCon.
  - The approval date will show on the Bid Date Planning & Status Report.
  - If approval is not obtained, the Pre-Letting Specialist will notify OPO-Con to pull the advertisement for that project. The Pre-Letting Specialist will notify the project delivery team that approvals have not been received by the deadline, and a regional decision must be made on how to proceed with a new bid date to ensure all items preventing approval have been obtained or corrected.

## Advertisement

Advertisement is the time between the project advertisement posting and bid opening. For additional information on how the time period is established, see the [Advertisement Lengths](#) section.

### Advertisement Process

#### **ODOT:**

- eBIDS auto-releases [bidding documents](#)
- RE holds [Mandatory Pre-Bid meeting](#), if applicable
- RE with PDT answers [bidder questions](#), if applicable
- PDT completes [addenda letter](#), if applicable
- PDT/RE completes [letter of clarification](#), if applicable
- PCO estimator sends [engineer's estimate](#) to region

#### **ODLAP:**

- eBIDS auto-releases [bidding documents](#)
- RE holds [Mandatory Pre-Bid meeting](#), if applicable
- RE with PDT answers [bidder questions](#), if applicable
- PDT completes [addenda letter](#), if applicable
- PDT/RE completes [letter of clarification](#), if applicable
- PCO estimator sends [engineer's estimate](#) to region

## Bidding Documents

#### Responsible Party:

PCO Estimator

#### Guidance:

The bidding documents auto-release on the project advertisement posting date the PCO estimator enters.

#### Objective:

- To have the most efficient and consistent way to release project information.

#### Process detail:

- The PM is not involved in this process.
- The PM should contact the AASHTOWare [Project Administrator](#) with questions.

## Mandatory Pre-Bid Meeting

#### Responsible Party:

Resident Engineer

### Guidance:

A mandatory pre-bid (MPB) meeting is required to share project specific information and requirements on complex or specialized projects and must be attended by all prospective bidders.

### Objective:

- RE holds pre-bid meeting.

### Process detail:

- The RE is responsible for conducting the MPB meeting.
- PM should attend this meeting.
- MPB participants are required to sign in at the meeting.
  - If the meeting is held virtually, be sure attendance is recorded through Teams.
  - The Pre-Bid sign in sheet must include:
    - Attendee's name
    - Attendee's contact information
    - Organization that the attendee represents
- The RE emails the sign-in sheet for the meeting and the agenda to OPO - Con within 24 hours after the meeting.
- OPO – Con posts the sign-in sheet and meeting agenda to eBIDS so that they can pre-qualify the attendees.
- If there is any specific technical guidance to be conveyed to the contractors, those technical resources should also attend the meeting.

### Outsourced:

- The consultant will follow contract language for attendance of this meeting.

### ODLAP:

- LPA should attend this meeting.

## Answering Bidder Questions

### Responsible Party:

Resident Engineer

### Guidance:

All questions from prospective bidders are required to be submitted in writing according to standard specification 00120.15 and the RE will make the determination of how to respond.

### Objective:

- Answer bidder questions.

### Process detail:

- RE determines how to respond to bidder's question following guidance in section 6-2 of the Construction Manual.

- The RE is the single point of contact.
  - RE to contact PM for design specific questions.
  - PDT may help the RE answer bidder questions.
  - PDT should not respond directly to any bidder's questions.

### *Outsourced*

- Consultant to provide information to RE as requested.

### *ODLAP*

- LPA to provide information to RE as requested.

### Helpful Links:

- [ODOT Construction Manual](#)

## Addenda

### Responsible Party:

Specification Writer

### Guidance:

There are three types of addenda: general addenda, postponement addenda, and withdraw addenda.

**General addenda** make changes to the plans, special provisions, or bid items during the advertisement period. Changes by addenda may be prompted by issues, questions, or inquiries from the bidders.

**Postponement addenda** change the bid opening date.

**Withdraw addenda** removes the project from advertisement.

### Objective:

- Post addenda.

### Process detail:

- For question regarding addenda, contact the PCO QA reviewer assigned to the project.

### General Addenda

- The contract document change is made by the appropriate technical resource.
- The specifications writer fills out the addenda template documenting this change.
- PM ensures the technical resources have the information and the deadline to complete the deliverables.
- PM must keep the RE informed during the addenda process.
- All addenda letters require signature by the preparer and a professional engineer.

Bid schedule –

- PCO makes the changes to the estimate and generates the bid schedule for addenda, when needed.
- Added bid items are placed at the end of the bid schedule and are numbered accordingly.
- Unit prices for added bid items must be sent to the PCO QA reviewer for entry into PreCon.
- Deleted bid items retain the original bid item number, and the bid items are not renumbered.
- The bid item numbers in the addenda letter must match those on the bid sheets.
- The PCO QA reviewer will add the updated bid schedule to the flattened addenda letter.

### Plan Sheets –

- Revised, digitally signed plan sheets are required to be submitted with any addenda.
- Addenda plan sheets must include revision triangles.

### Postponement Addendum

- PM should discuss postponement with Area Manager before progressing through the process.
- Projects must be postponed a minimum of two weeks unless approved by the PCO manager.
- To request a bid date postponement during advertisement, PM are required to submit an email request to the PCO QA reviewer assigned to the project, PCO manager, and pre-letting specialist with the following information:
  - Project information (key number, name, and region)
  - Current bid date
  - New bid date requested
  - Detailed reason for postponement
- PCO approves postponement.
- PM completes CMR to update project bid date.
- From this point, follow the general addenda process.

### Withdraw Addendum

- PM should discuss withdrawal with Area Manager before progressing through the process.
- Projects must be withdrawn as soon as the critical element is recognized.
- To request an advertisement withdrawal, PM is required to submit an email request to the PCO QA reviewer assigned to the project, PCO manager, and pre-letting specialist with the following information:
  - Project information (key number, name, and region)
  - Current bid date
  - Detailed reason for withdrawal
- PM should draft a CMR to update project bid date and follow CMR process for rescheduling when bid date is unknown.

**From this point, follow the general addenda process, then return to this section.**

- After the addenda to withdraw is posted, the PM must follow the re-bid process.

- PCO QA reviewer is responsible for letting the federal aid programmer and FHWA know the project has been withdrawn.

### Submitting addenda to PCO QA reviewer

- If any documents need to be updated because of addenda, upload the revised version to ProjectWise and add the addendum number to the file name.
- The Spec writer submits the addenda template to the PCO QA reviewer via PW link.
  - Include documents that go with the addendum letter, as a set in ProjectWise.
  - The link to that set is the official submittal.
  - Be sure to follow the correct ProjectWise naming rules.
- Once the QA Engineering Specialist for the project has approved the addenda, they send it to OPO - Construction.
- OPO - Construction posts the addenda letter on the BidExpress® website.

### Timing

- The earliest an addendum letter can be published is the date the advertisement begins. The date on the letter should match the date of expected posting.
- The deadline for posting addenda is as follows:
  - A project scheduled with a Thursday bid opening, the deadline for submitting the addenda to the PCO QA reviewer is 5 pm on the preceding Thursday.
  - A project scheduled with a Tuesday bid opening, the deadline for submitting the addenda to the PCO QA reviewer is 5 pm on the preceding Tuesday.
  - With approval from the PCO manager, an addendum can be posted beyond the deadlines listed above, while maintaining compliance with the OAR listed below.
    - 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”.
- The earlier an addendum is posted the more time bidders will have to address the change.
- Issuing multiple addenda is preferred over one large, last-minute addenda.
- Last minute addenda can cause prospective bidders to withdraw from bidding or include unnecessary risk pricing.
- Large or complex addenda may take additional time to process.
- Contacting the PCO QA reviewer assigned to the project ahead of time can help with timely processing.

### Approval

- All addenda requests to postpone or withdraw a bid opening must be approved by the area manager.
- The PCO manager with the SPDB manager (Statewide Project Delivery Branch) will consider each for approval.

- In the absence of the PCO manager, the SPDB manager will serve as the approving authority.

### *Outsourced*

- Consultants can complete the addenda.
- PM submits addenda letters to PCO assigned reviewer.

### *ODLAP*

- Send addenda to LPA to review before sending it to PCO QA reviewer.
- ODOT shares the addenda for informational purposes with the LPA.

### Helpful Links:

- [General Addendum Template](#)
- [Postponement Addendum Template](#)
- [Withdraw Addendum Template](#)

## Letter of Clarification (LOC)

### Responsible Party:

Resident Engineer

### Guidance:

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 communicating to bidders. This can include adding bid reference documents to eBIDS, Agency responses to bidder questions, or provide clarification.

### Objective:

- Post a LOC.

### Process detail:

- The RE is responsible for determining which bidder questions require a LOC to clarify the Agency intent or position.
  - The RE should notify the PM of a LOC.
  - Consider using a LOC for:
    - Questions that may impact how all bidders bid a project.
    - Questions raised by multiple bidders that are the same or similar.
    - Responses to questions that could present an unfair advantage if not provided to all bidders.
    - Responses that do not require changes to the bidding documents.
    - Responses to questions that point out additional bid reference documents.
- The LOC can be written by anyone on the PDT using the [ODOT LOC Template](#).
  - This document should be stored in PW.
  - It is submitted as a link via email.

- The PM is responsible for ensuring that the LOC is completed and uploaded.
  - The PM sends the link to PCO QA reviewer.
  - The PM should CC the RE on the submittal.
- The QA reviewer will evaluate the LOC to ensure no response changes the bid documents and forward the signed LOC to OPO – Construction.
- OPO – Construction will load the LOC into eBIDS.

### Timing

- The earliest a LOC can be posted is the day the advertisement begins.
- LOCs in response to bidders' questions should be completed as soon as possible.
- Timely posting of the LOC responding to questions will reduce the number of inquiries generated during the bid process.
- LOC answering bidder questions *should* be submitted to the PCO QA reviewer no later than 5 pm one week before bid opening (e.g. 5pm the Thursday before a Thursday bid opening).
  - This allows for review time in case contract document changes are needed (addenda).
  - Exceptions to this agreed upon timeframe can be made by the PCO manager.
- LOC adding bid reference documents must be submitted to the PCO QA reviewer within 48 hours of bid opening.
  - Exceptions to this agreed upon timeframe can be made by the PCO manager.

### Outsourced

- Consultants can complete the LOC
- PM submits LOC letters to PCO assigned reviewer

### ODLAP

- Send LOC to LPA to review before sending it to PCO QA reviewer.
- ODOT shares the LOC letter for informational purposes with the LPA.

### Helpful Links:

- [Letter of Clarification Template](#)

## Engineer's Estimate

### Responsible Party:

PCO Estimator

### Guidance:

The engineer's estimate (EE) is the estimate developed by PCO and used for analysis and contract award of low responsive bidder. It is ODOT policy to keep it confidential within ODOT and not disclose it to any potential bidder. The EE includes a review of the PS&E estimate, accounts for economic market changes (especially for items such as asphalt and steel) between PS&E and bid opening and includes addenda item changes.

The EE will be different than region's PS&E estimate to account for estimate changes from the PS&E review, addenda, or other factors. This process does not include external resources.

### Objective:

- PCO estimator produces EE.

### Process detail:

- PCO Estimator updates prices in AASHTOWare project.
- PCO Estimator compares to region's estimate.
- PCO Estimator creates EE.
- PCO Estimator notify PM and AM of EE via email typically within 5 days of bid opening.
  - May be within 3 days if there is a late addendum to incorporate.
  - EE Includes:
    - STIP value
    - Construction engineering
    - Anticipated items
    - Identify items with biggest changes between region estimate and EE
- The PM is not involved in this process.
  - PM can reach out to PCO Estimator with any questions.

### Outsource

- Do not share EE with consultants.

### ODLAP

- Do not share EE with LPA.

## Bid

Bid to award describes the interim period between bid opening and the award of the construction contract. This period of time encompasses various aspects of project delivery, task work for OPO, PCO, and the region to be able to award the construction contract and establish the final construction phase budget.

## Bid Process Details

### ODOT

- **OPO - Construction** conducts [bid opening](#)
- **OPO - Construction** [reviews bids](#)
- **PCO** sends [preliminary budget summary](#)
- **AM** sends [funding commitments](#)
- **PCO** performs [bid analysis](#)
- **AM** determines [award or rejection of bid](#)

### ODLAP:

- **OPO - Construction** conducts [bid opening](#)
- **OPO - Construction** [reviews bids](#)
- **PCO** sends [preliminary budget summary](#)
- **AM** sends [funding commitments](#)
- **PCO** performs [bid analysis](#)
- **AM** determines [award or rejection of bid](#)

## Bid Opening

Responsible Party:

OPO - Construction

Guidance:

Bid opening is a meeting, open to the public, where the bids are opened and read aloud.

Objective:

- Open bids

Process detail:

- The bid opening meeting happens at 9am on the bid opening date from the schedule.
- OPO – Construction oversees the bid opening and public reading of the bids.
  - All interested parties are welcome to attend the bid opening. (See Specification Section 00120.65).
- Within a few hours after bid opening, OPO – Con posts the Preliminary Bid Results on the Procurement Preliminary Bid Results Website and proceeds to review the bids.
  - Preliminary Bid Results consist of bids as read at the bid opening meeting. These are the total amounts and have not been reviewed or accepted by the agency.
- The PM is not involved in this process.
  - The PM should contact [OPO-construction](#) via email referencing the project contract number (C#) with questions.

Helpful Links:

- [Procurement Preliminary Bid Results](#)

## Preliminary Funding Review

Responsible Party:

PCO Estimator

Guidance:

The same day as bid opening, PCO estimator will prepare a preliminary budget summary based on:

- the apparent low bid,
- estimated CE budget from region at PS&E,

- anticipated items at PS&E,
- contingency as percentage of the bid,
- and comparison to the programmed STIP construction phase.

### Objective:

- Prepare preliminary budget summary

### Process detail:

- PCO estimator sends the **preliminary budget summary** to OPO-Construction, AM, and the ODLAP program manager.
  - This preliminary budget summary includes all the bidders and compares their bid amounts to the engineer's estimate (EE).
  - This preliminary budget summary shows the apparent low bidder amount and helps determine if the region will need to **address a funding shortfall**.
- If the preliminary budget summary indicates a funding deficit, meaning the bid is > 110% of the EE, OPO-Construction will send a funding confirmation request to the AM.
  - The AM's plan to address funding is expected within three working days after OPO-Construction sends the funding confirmation request.
  - The AM is responsible for:
    - Determining where additional funding would come from.
    - Considering other alternatives, such as reducing scope or combining with other projects.
    - Documenting whether the region/local agency does or does not want to award.
    - The PM is not necessarily involved in this process, though the AM may request their support.
      - The PM should contact the PCO estimator with questions about the preliminary budget summary.

### ODLAP

- The AM is responsible for notifying the LPA of the results of bid opening and the local agency's funding responsibility.
- The AM is responsible for contacting the LPA if the preliminary budget summary indicates a funding deficit, meaning the bid is > 110% of the EE, to confirm LPA is able to provide funding for the overage.
  - This must include a final CE budget.

## Bid Review

### Responsible Party:

OPO - Construction

### Guidance:

The bid review is to determine that the bid(s) received are complete. Bid review validates that the bidder(s) is responsive, responsible, and has met all the requirements specified in the solicitation documents (see Specification Section 00120.70, 00120.90, and 00120.91).

### Objective:

- Review bids for responsive, responsible, and met all requirements.

### Process detail:

- OPO - Construction completes the bid review process within 2 working days after bid opening, including:
  - entry of bids into the database,
  - review of proposals,
  - producing bid tabulation reports,
  - and rejection of non-responsive bidders.
- OPO - Construction notifies PCO of the apparent low responsive bidder for PCO to proceed with the bid analysis.
- A **responsive bid** is one that meets all the requirements of the advertisement and proposal, including:
  - Construction Contractors Board (CCB) or landscape licensing,
  - DBE goal,
  - Subcontractor disclosure,
  - Secretary of State Business Registry,
  - affiliations,
  - TERO requirements, etc.
- A **responsible bidder** is one who is physically organized and equipped to complete the Contract (i.e., has available the appropriate financial, material, equipment, facility and personnel resources and expertise).
  - The review includes:
    - ODOT Prequalification,
    - bid bond,
    - insurance company authorized to do business in state of Oregon,
    - and that the Bidders are not on the debar or disqualification lists of FHWA,
    - CCB,
    - or Bureau of Labor and Industries (BOLI).
- The PM is not involved in this process.
  - The PM should contact the PCO estimator with questions.

## Bid Analysis

### Responsible Party:

PCO Estimator

### Guidance:

A cost analysis review is performed by the PCO estimator to determine if the bid is the best value to the public, identify unbalancing by the bidder, and to identify any issues that may cause the procurement to be considered flawed (i.e., missing, incorrect, or poorly defined bid items, or significant quantity errors, etc.).

### Objective:

- Prepare bid analysis and recommendation (BAR).

### Process detail:

- The PM is not involved in this process.
- Prepare BAR immediately after OPO – Construction review of the bids for responsiveness and responsibility are conducted.
- The PCO cost estimating team performs the bid analysis, including but not limited to:
  - Assessing the competitive fairness.
  - Identifying differences in pricing between the EE and the low bidder.
  - Identifying and documenting unbalanced bid items.
  - Identifying potential detriments in the bid analysis.
  - Requesting bid clarification from the bidder under consideration.
  - Making recommendations based on the bid analysis and clearly indicating whether bid is >110% of EE.
  - Submitting the Bid Analysis and Recommendation (BAR) Memo to OPO-Construction typically within 7 business days of bid opening, copying the AM.
- The recommendation portion of the Bid Analysis and Recommendation (BAR) Memo advises either to award or reject the bid.

## Award/Reject Bids

### Responsible Party:

Area Manager

### Guidance:

Awarding or rejecting bids is the process of accepting or rejecting the lowest responsive bidder.

### Objective:

- Determine whether to award or reject bids.

### Process detail:

- The PM is not involved in this process.
- Once the PCO estimator sends the BAR, the area manager makes the decision to award or reject the responsive low bidder.
- If the AM agrees with the PCO estimator's recommendation, the AM provides written documentation to OPO-Con for the reason to reject or award.
- If the AM determines that they disagree with the recommendation, the AM emails the SPDB manager providing written documentation for the reason to reject or award.
  - SPDB manager will discuss it with the region and provide final decision to OPO-construction.
- If the decision is to reject all bids, continue to the re-bid section.
- If the decision is to reject all bids, go to 5.2 "Reject all Bids" below.

- If the decision is to reject a single bid the process returns to Step 4, Bid Analysis, for the next lowest responsive bidder.

## Award

### Process Details

#### *ODOT & ODLAP:*

- **OPO – Con** issues [notice of intent to award](#)
- **RE** submits [construction engineering budget](#)
- **OPO-Con** begins [summary of bids received and construction authorization \(SOBR&CA\)](#)
- **OPO – Con** compiles [Contract Booklet](#)
- **OPO-Con** issues [Notice to Proceed](#)

### Notice of Intent to Award

#### Responsible Party:

OPO - Construction

#### Guidance:

Notice of intent to award is a document posted online to let the public know at least three days before award, that ODOT plans to award the contract to the lowest bidder.

#### Objective:

- Post intent to award the contract.

#### Process detail:

- OPO-Construction posts the Notice of Intent to Award and Bid Tabulations on the OPO – Construction webpage.
- Once OPO-Construction posts the Notice of Intent to Award, other bidders have three days to file a protest to the award per Specification Section 00130.15 and OAR 731-005-0690
  - OPO - Construction must resolve the protest before proceeding with award.
- The PM is not involved in this process.
  - The PM should contact [OPO-construction](#) via email referencing the project contract number (C#) with questions.

#### Helpful Links:

- [Notice of Intent web page](#)

### Construction Engineering (CE) Budget

#### Responsible Party:

Resident Engineer

#### Guidance:

The construction engineering (CE) budget is the portion of the construction phase (CN) budget which is the cost for ODOT to administer the contract.

### Objective:

- To create the construction engineering (CE) budget.

### Process detail:

- **OPO-Con** requests the CE budget from the RE.
- The **RE** refers to PD-08 for creating a CE budget.
  - Budget guidelines are in PD-08.
  - If the proposed CE budget percentage exceeds the budget guidelines, follow instructions in PD-08.
- The **RE** sends the budget to OPO-Con, using the appropriate form within 3 days after receiving the request.
  - **OPO-Con** sends budget to program and funding services (PFS).
  - **PFS** updates CN obligation in STIP/FP.

### ODLAP

- The ODLAP **RE** sends the budget to OPO-Con, using the appropriate form within 5 days after receiving the request.

### Helpful Links:

- [Construction Engineering Project Budget – Form 734-5374](#)

## SOBR&CA

### Responsible Party:

OPO-Construction

### Guidance:

The summary of bids received and construction authorization (SOBR&CA) is a document which provides a summary of the costs that will be incurred during the construction of a project and is the formal funding agreement between ODOT and FHWA.

### Objective:

- Create the SOBR&CA

### Process detail:

- **OPO-Construction** prepares the summary of bids received and construction authorization (SOBR&CA) for each project.
  - A list of items included in the SOBR&CA is located in PD-08.
- Approvals:
  - OPO-Con sends the SOBR&CA to the SPDB manager for review and approval.
  - When the bid amount is >110% of EE, OPO-Con sends the SOBR&CA to the chief engineer for review and recommendation.
  - When delegation orders require it, OPO-Con sends the SOBR&CA to the Delivery and Operations administrator for concurrence

- OPO-Con sends the SOBR&CA to FHWA for concurrence on federal aid projects. The SOBR&CA is signed, and the contract award/rejection becomes official.
- OPO-Construction sends the SOBR&CA and award letter to the distribution list on the award recommendation letter.
- OPO-Construction also sends the SOBR&CA, award recommendation letter, and Bid Analysis and Recommendation Memo to RE.
- The PM is not involved in this process.
  - The PM should contact [OPO-construction](#) via email referencing the project contract number (C#) with questions.

## Contract Booklet

### Responsible Party:

OPO-Construction

### Guidance:

The contract booklet includes the special provisions, addenda, schedule of items, contract, performance bond, payment bond, and certification of workers' compensation coverage.

### Objective:

- Finalize contract booklet

### Process detail:

- OPO-Construction is responsible for preparing the contract booklet.
  - Standard Specification 00130.10 requires ODOT provides the successful bidder with the Notice of Award and contract booklet for execution within 30 calendar days of bid opening.
- OPO-Construction posts the Notice of Award on the Awarded Contracts webpage.
- The successful bidder is responsible for delivering the completed and signed contract booklet with all required bonds, insurances, and certificates to OPO-Construction.
  - Standard Specification 00130.50(a) requires the contractor returns the documents to OPO-Construction within 15 calendar days from the date the contract award letter is submitted.
- OPO-Construction is responsible for reviewing the contract booklet returned from the successful bidder for accuracy and completeness.
  - If the submittals are incomplete, OPO-Construction returns the documents to the contractor/surety company for correction.
  - If the submittals are complete, the OPO-Construction manager, or an authorized representative, executes the contract within 7 calendar days of receiving the contract booklets from the successful bidder per Standard Specification 00130.50(b).
- The PM is not involved in this process.
  - The PM should contact [OPO-construction](#) via email referencing the project contract number (C#) with questions.

### Helpful Links:

- [Awarded Contracts webpage](#)
- [Standard Specifications](#)

## Notice to Proceed

### Responsible Party:

OPO-Construction

### Guidance:

Notice to proceed is a written notice authorizing the contractor to begin performance of the work.

### Objective:

- Issue notice to proceed

### Process detail:

- Standard Specification 00130.90 requires OPO-Construction to issue Notice to Proceed to the contractor within 5 calendar days of executing the contract.
- OPO-Construction provides copies of the Notice to Proceed to the distribution list.
- The PM is not involved in this process.
  - The PM should contact [OPO-construction](#) via email referencing the project contract number (C#) with questions.
- Notice to proceed is the transition point between design and construction.
  - SIMS will close the PE EA 60 days after Notice to proceed.

## Construction Management Transition

### Process Details

#### ***ODOT & ODLAP:***

- PM begins [Construction Transition](#)
- SIMS starts process to [Close PE EA](#)
- PM schedules [Handoff Meeting](#)

## Construction Transition

### Responsible Party:

Project Manager

### Guidance:

Purpose of this section is to provide project information, risks, and nuances determined as a result of design to those administrating the construction contract.

### Objective:

- Complete the handoff from design to construction.

### Process detail:

- This step will start after awarding/rejecting all bids.
- PE EA closes
- PM to convey all mobility related impact documentation to RE
- Where to find contract documents
- Handoff meeting (may happen prior to Bid)
- See RE checklist in [Construction Manual](#)
- See section 1-5 of Construction Manual – Project Management by Consultant
- Pre-Construction meeting
  - The Pre-Con is also an opportunity for the resident engineer and contractor to discuss the project’s signed Mobility Considerations Checklist, to determine if there will be any changes that result in new or more severe restrictions that will need to be re-vetted through the Mobility Program (as required in [PD-16](#) and the [Mobility Procedures Manual](#)).
- First Notification

### ODLAP

- LPA must be included as part of the pre-construction meeting

### Helpful links:

- Note that the construction processes, requirements, and deliverables after the construction contract award are in the [ODOT Construction Manual](#).
- Manual of Field-Tested Procedures: covers independent assurance, quality assurance, quality control, and quality verification as it applies to construction. This manual encompasses all field related testing procedures.
- Non-field-tested materials guide

## Close PE EA

### Responsible Party:

Statewide Investments Management Section (SIMS)

### Guidance:

The PE EA is open throughout design and closes when construction begins.

### Objective:

- PE EA closed.

### Process detail:

- Once notice to proceed is issued, there are 60 days until the SIMS group closes the PE EA.

- All invoices for design must be paid from the PE EA before it is closed.
  - This includes but is not limited to consultants, railroads, utilities, or any other party that may need to charge the PE EA.
  - PE charges cannot be charged to construction.
  - CN charges cannot be charged to PE. CN charges are those charges specific to the preparation for or administration of the construction contract work.
- If there are circumstances in which a PM knows they have a delayed invoice and need more time, contact the STIP coordinator to request this.

### Handoff Meeting

#### Responsible Party:

Project Manager

#### Guidance:

A handoff meeting provides the RE office documents required for construction and sets the expectations for coordination throughout construction.

#### Objective:

- Handoff the project to construction.

#### Process detail:

- Best practice is to have the RE involved in negotiations with any consultant that is performing work during construction.
- The PM is responsible for gathering documents that provide information pertinent to construction.
  - This may include:
    - Risk Management / Risk Register
    - IGAs, amendments,
    - Railroad agreements, permits, or other applicable documents
    - Access management commitments, required inspections after construction is completed
    - Environmental documentation, permits,
    - Utility agreements, deadlines, and certifications,
    - ROW certifications, temporary easements, obligations,
    - Anticipated items/LPIFs,
    - Design exceptions, design narrative, comment log,
    - Pavement design, memo, and summaries,
    - Traffic documents: transportation management plan, TPARP, Mobility Considerations Checklist,
    - Geo/Hydro: reports, design exceptions, memos
    - Hazmat: sites, concerns, reports
    - Survey data,
    - Permits: environmental, local agency, local regulatory agency
    - Public involvement/comms plan,

- Goods, Trades, and Services and Consultant contracts,
- List of interested parties including local agency contacts.
- The PM coordinates with the RE to transfer the information.

## Change Management

### Re-Scheduling

#### Responsible Party:

Project Manager

#### Guidance:

A project will go through the re-scheduling process whenever there is a circumstance when construction cannot move forward. This process is for the purpose of re-scheduling PS&E and/or bid.

Some reasons a project may need to be re-scheduled are:

- scope change,
- not enough budget,
- difficulty with completing a PS&E document,
- ad length change,
- needing to schedule a mandatory pre-bid meeting,
- portfolio rebalances, etc.

#### Objective:

- Re-schedule project

#### Process detail:

- The PM discusses what needs to be changed in the project with their area manager.
  - The Area Manager is responsible for ensuring the funding program manager(s) is aware of the changes.
- The PM follows the 'Request Placeholder Bid Date from PCO' steps located in Project Initiation.
- The PM completes the required documentation listed in the appropriate Project Scheduling and Re-Scheduling Matrix and notifies the PCO pre-letting specialist via email that the documentation is complete.
- The PCO pre-letting specialist follows the Assign Bid Date steps located in Project Initiation to officially schedule the project.

#### **ODOT**

- PCO Pre-Letting Specialist notifies the RMS-MS Project administrator via email, copying the PM that the project has been officially scheduled.
  - The PCO pre-letting specialist requests that the RMS-MS Project administrator re-baseline or take a snapshot of the project schedule based on the CMR.
  - The RMS-MS Project administrator re-baselines or takes a snapshot of the project schedule.
  - The RMS-MS Project administrator replies to the email with the Pre-Letting specialist and the PM verifying that the snapshot has been captured.

### Project Delivery Manual

#### ODLAP

- The PM sends the PCO pre-letting specialist to the PW link to the PCR via email.
- PM is responsible for coordinating changes to scope, schedule, and budget with LPA.

#### Helpful Links:

- [ODOT Project Scheduling and Rescheduling Matrix](#)
- [ODLAP Project Scheduling and Rescheduling Matrix](#)

## Re-Submission

#### Responsible Party:

Project Manager

#### Guidance:

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. This is any time after PSnE is submitted to PCO and before advertisement.

Examples of times when PS&E would need to be resubmitted to PCO are:

- the designers found something in the design that should not go to advertisement,
- the PS&E exception item was not cleared in time,
- FHWA rejects obligation, funding program pulls funding, etc.

#### Objective:

- Re-submit PS&E package

#### Process detail:

- Follow the re-scheduling process steps.
- The PM discusses what needs to be changed in the project with their area manager.
- The PM is responsible for emailing the PCO pre-letting specialist PW links to a full PS&E package.
- Do not overwrite initial bid files.
  - Keep all original documentation.
  - This is critical to ensure the complete history of the project is maintained in the permanent record, per retention requirements.
  - If a new version of a document is needed, use a second version.
- An updated PS&E Submittal Checklist is required, with new dates and signatures.
- Special Provisions will need to be updated with the new bid date, contract completion date, and any boilerplate updates.
- Plans are required to be updated with at least a new title sheet if the bid month changes.
  - Changes should be represented on the appropriate plan sheet.
- Estimates are required to be updated.
- Submit an updated construction time estimate.

### Project Delivery Manual

- Office of Equity and Civil Rights requirements are required to be refreshed if stale (older than 180 days from Bid Opening).
- An updated PS&E exception letter is needed for any outstanding items.
- 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.

#### ODLAP

- PM is responsible for coordinating changes to scope, schedule, and budget with LPA.

## Re-Bid

#### Responsible Party:

Project Manager

#### Guidance:

On rare occasions, a project may have all bids cancelled or rejected and must be re-bid. This process is used for projects that have already been advertised but before award.

#### Objective:

- Re-bid project

#### Process detail:

- This step will start after awarding/rejecting all bids.
  - OPO Construction alerts AM, and PCO, that all bids have been rejected.
  - The AM coordinates with the PM to begin the re-bid process.
  - The PM discusses what needs to be changed in the project with their area manager.
- To schedule the new bid date, follow the re-scheduling process steps.
  - All bids must be rejected.
- The PM is responsible for emailing the PCO pre-letting specialist PW links to a full PS&E package with a “\_R” at the end of the set name to indicate re-bid.
- Do not overwrite initial bid files.
  - Keep original everything.
  - This is critical to ensure the complete history of the project is maintained in the permanent record, per retention requirements.
  - If a new version of a document is needed, use a “\_R” at the end of the document name.
- An updated PS&E Submittal Checklist is required, with new dates and signatures.
- Special Provisions will need to be updated with the new bid date, contract completion date, and any boilerplate updates, and incorporate any addenda from the previous advertisement.
- Plans are required to be updated with at least a new title sheet if the bid month changes.
  - Changes should be represented on the appropriate plan sheet.

## Appendix

### Project Delivery Manual

- Incorporate any addenda from the previous advertisement with revision triangles removed.
- Estimates are required to be updated.
- Submit an updated construction time estimate.
- Office of Equity and Civil Rights (OECR) requirements are required to be refreshed if stale or scope has changed (older than 180 days from Bid Opening).
- An updated PS&E exception letter is needed for any outstanding items.
- Bid reference documents need to be re-loaded into eBIDS for the new bid date.

#### ODLAP

- PM is responsible for coordinating changes to scope, schedule, and budget with LPA.

## Deliverables

Topic/Deliverable	Deliverable Template Owner	Milestone	Source Reference
Addenda <ul style="list-style-type: none"><li>● Bid Cancellation</li><li>● Bid Postponement</li></ul>	PCO	Advertisement	Project Delivery Manual
Award Letter (Construction)	OPO – Construction	Award	Project Delivery Manual
Bid Rejection	OPO	Award	Project Delivery Manual
Buy America Waiver	PCO	PS&E	ODOT FHWA Stewardship Agreement
Change Management Request (CMR)	PMO	CMR-00 at Project Initiation  Pre-Preliminary Engineering to Award	Project Delivery Manual  System: TPMS
Charter (Form 734-2948A)	PMO	Project Initiation	Project Delivery Manual

## Appendix

### Project Delivery Manual

Topic/Deliverable	Deliverable Template Owner	Milestone	Source Reference
Comment Log	PMO	Review of deliverables and milestone packages	Project Delivery Manual
Construction Engineering Budget	Construction	Bid	Construction Manual
Construction Time Estimate	PCO	PS&E	Project Delivery Manual Estimating Manual
DAP Exception Request (form 734-5218)	PMO	DAP	Project Delivery Manual
Design Acceptance Memo & Checklist (DAP Checklist)	PMO	DAP	Project Delivery Manual
Design Narrative (form 734-5130)	PMO	DAP Other review milestone, if applicable	Project Delivery Manual
Fuel & Steel Escalation and Class of Work Worksheet	PCO	PS&E	Project Delivery Manual Fuel, Steel, Class of Work and Scheduling Template Guide
Letter of Clarification (LOC)	PCO	Advertisement	Project Delivery Manual Letter of Clarification Guidance

## Appendix

### Project Delivery Manual

Topic/Deliverable	Deliverable Template Owner	Milestone	Source Reference
Local Agency Technical Scope Sheet (form 734-5151)	PMO/SIMS	Project Initiation	Project Delivery Manual
Letter of Public Interest Finding (LPIF), Anticipated Item Request (AIR), and State Exemption Orders (SEO)	PCO	PS&E	Project Delivery Manual  Letter of Public Interest Finding Guidance
Milestone Construction Cost Estimate	PCO	All review milestones	Project Delivery Manual  Estimating Manual
Milestone Plans	ETSB	All Review Milestones	Technical Discipline manuals
Milestone Special Provisions	PCO	Advance to PS&E	ODOT Specifications Manual
Mobility Considerations Checklist (form 735-9983)	PDO – Mobility Program	Draft at DAP  Final at Advance Plans	Project Delivery Manual  Mobility Considerations Checklist Guide  Mobility Procedures Manual
ORS 366.215 Record of Support	PDO – Mobility Program	DAP	ORS 366.215 Implementation Guide  Mobility Procedures Manual

**Project Delivery Manual**

<b>Topic/Deliverable</b>	<b>Deliverable Template Owner</b>	<b>Milestone</b>	<b>Source Reference</b>
POR Certification	PCO	PS&E	Project Delivery Manual  ODOT Specifications Manual
Project Change Request (PCR)	PMO	Pre-Preliminary Engineering to Award	Project Delivery Manual
Project Initiation Checklist	PCO	Project Initiation	Project Delivery Manual
Project Schedule	RMS  Region own region templates	Project Initiation to Bid Opening	Project Delivery Manual
ProjectWise Folder Request	ProjectWise	Project Initiation	Project Delivery Manual
ProjectWise Milestone Set	ProjectWise	Project Initiation to PS&E	Project Delivery Manual
PS&E Exception letter (formerly PD-02)	PCO	PS&E	Project Delivery Manual
PS&E Submittal Checklist	PCO	PS&E	Project Delivery Manual

## Appendix

### Project Delivery Manual

Topic/Deliverable	Deliverable Template Owner	Milestone	Source Reference
Public Involvement Plan	Communications	Project Initiation to Construction	Project Delivery Manual
Risk Register	PDO – Risk Management	Project Initiation to PS&E	PDM
Special Provisions Integrity Certification	PCO	PS&E	ODOT Specifications Manual
Specifications Concurrence Form	PCO	Draft at Advance Plans Due at Final plans	ODOT Specifications Manual
Vicinity Map	PMO	Pre – Preliminary Engineering	PDM

## Addenda

### Guidance:

Follow the orange instructions in the addenda template.

There are separate templates for each of the different circumstances in which an addendum is used.

## Bid Cancellation

### Guidance:

Follow the orange instructions in the withdraw addenda template.

## Bid Postponement

### Guidance:

Follow the orange instructions in the postpone addenda template.

## Award Letter (Construction)

### Guidance:

OPO-Construction completes the award letter for construction.

## Bid Reference Documents

### Preparing Bid Reference Documents for Uploading

Do not add the following to bid reference documents:

- Independent statements
- Instructions
- Notices to contractors
- Clarifying specifications language
- Clarifying contract plans language

eBIDS only allows PDF documents and zip files.

### Convert Document to PDF

1. Open original document.
2. In the tool bar, select "Acrobat".
3. Select "Create PDF" button.
4. In the Save As window, enter the eBIDS Document Title according to the Bid Reference Naming table.
5. Select "Save".

### Project Delivery Manual

#### Compressing Documents

There is a maximum file size limitation of 200MB for eBIDS.

1. Open the PDF document.
2. Select “File”, “Save as Other”, and then “Reduced Size PDF”.
3. In the Reduce File Size window, select “Retain Existing” in “Make compatible with:” field.
4. Select “OK”.
5. In the Save As window, retain the original file name.
6. Select “Save” and click “Yes” when asked to replace the existing file.

If the file is still larger than 200MB, split the file into smaller parts.

1. Open the PDF document.
2. Select “View”, “Tools”, “Page”, and then “Split Document”.
3. In the Split Document window, enter the maximum number of pages needed for each PDF document.
4. Select “OK”.
5. Use the naming convention, [Document Title] Part 1 of 2.pdf (e.g. ##### As Constructed Part 1 of 2.pdf and ##### As Constructed Part 2 of 2.pdf).

#### Combining PDFs

1. Open Adobe.
2. In Acrobat window, select “View”, “Tools”, “Pages”, and then “Combine Files into PDF”.
3. In the Combine Files window, select “Add files” and select documents.
4. Select “Combine Files”.
5. In the Save As window, enter the eBIDS Document Title according to the XX table.
6. Select “Save”.

#### Adding Bid Reference Documents to eBIDS

1. Navigate to [eBIDS](#).
2. Select “Add New Reference Document” on the left side of the page.
  - a. If the option is not visible, contact the [eBIDS Administrators](#) to be added to the eBIDS user group with permissions to upload bid reference documents.
3. Enter the following information in the Add Bid Reference Document window using the Bid Reference Naming table:
  - a. Key Number – Enter the key number associated with the project.
  - b. Document Type – Select the document type. Document types include:
    - i. BOLI Trade Data
    - ii. Catalog
    - iii. Coordination
    - iv. Drawing
    - v. LandXML
    - vi. Permit

### Project Delivery Manual

- vii. Public Interest Findings
    - viii. Report
  - c. Document Title – The field automatically pre-populates a suggested Document Title using the contract number and document type. Update the name if needed.
    - i. See Bid Reference Naming table for suggested document title.
    - ii. The project contract number is located on the Bid Date Planning & Status Report.
    - iii. Note – the Document Title must be unique across all projects. The contract number is included in the document title to help create a unique name. An error message appears if the document title is not unique.
  - d. Comment – This field is optional. Use this to describe other details about the bid reference document if needed.
  - e. Discipline – Select the discipline.
  - f. Select File – Select the “Browse” button and select the document to be uploaded.
- 4. Select “Upload”.
  - a. A message stating “Document was uploaded successfully” if there is no error. Select “OK”.
  - b. Contact [OPO-Construction](#) with any issues uploading.
- 5. Only the person who uploaded the documents, eBIDS administrators, OPO-Construction, and the PCO QA reviewer can see the bid reference documents in eBIDS before advertisement.
- 6. Everyone with access to eBIDS can see the bid reference documents during advertisement.
- 7. All ODOT personnel can see the bid reference documents after bid opening.

### Updating Bid Reference Documents

The ODOT personnel who initially uploaded the bid reference document can update the bid reference document before advertisement. If the person is not available, [OPO-Construction](#) can make the edits.

1. Navigate to [eBIDS](#).
2. Select “Search” in the upper right corner of the page.
3. Select “Advanced Search”.
4. Enter search criteria. Only one field is required.
5. Select “Search”.
6. Select the project.
7. Select the “Bid Reference Documents” tab.
8. Select the blue circle with the “i” next to the document that needs modification.
9. In the Edit Bid Reference Document window, make changes as needed.
10. Select “Apply”.

### Bid Reference Documents for Rebid Projects

Bid reference documents do not need to be uploaded again into eBIDS for rebid projects. The bid reference document is edited and moved from the original project to the rebid project.

### Project Delivery Manual

The only people who can edit the documents are:

- The person who originally uploaded the document
- PCO QA reviewer
- OPO-Construction
- eBIDS administrators

1. Navigate to eBIDS.
2. Select “Search” in the upper right corner of the page.
3. Select “Advanced Search”.
4. Uncheck “Current Projects” box.
5. Enter search criteria. Only one field is required.
6. Select “Search”.
7. Select the project.
8. Select the “Bid Reference Documents” tab.
9. Select the cog next to the document that needs modification.
10. In the Edit Bid Reference Document window, the Document Title, Contract Number, and Key Number need to be updated.
  - a. Document Title – Update the contract number in front of the document title description if needed.
  - b. Contract Number – Update the contract number if needed.
11. Select “Apply”.
12. Repeat steps 9-11 for each bid reference document.

**Project Delivery Manual**

<b>Document</b>	<b>PW Document Title ##### = Key Number</b>	<b>eBIDS Document Title ##### = Contract Number</b>	<b>Discipline</b>	<b>Document Type</b>
As-Constructed Drawings	N/A	##### As Constructed	Construction	Drawings
Environmental Permit	EN_K#####_PCE_VAL_##	##### Environmental	Environmental	Permit
Geotechnical Report	GT_K#####_Rpt_##	##### Geotechnical	Environmental	Report
Hazardous Materials Corridor Study Report – Level 1	GZ_K#####_Rpt_##	##### Haz Mat Level 1	Environmental	Report
Hazardous Materials Report – Level 2	GZ_K#####_FldNt_Y#####_M##D##	##### Haz Mat Level 2	Environmental	Report
Hydraulic Report	H_K#####_HydrRpt_##	##### Hydraulics	Environmental	Report
Local Land Use Permit	PM_K#####_LUP_##	##### Land Use	Public Information	Permit
Material Source Narrative	GE_K#####_Memo_##	##### Material Source	Environmental	Report
Notice of eBIDS Roadway Digital Design Data	R_K#####_eBidRRDL_##	##### NoticeRdwyDigitalData.pdf	Design	Drawing
All files listed in the <a href="#">eBIDS Handoff Checklist</a> ; see 3D Design <a href="#">How-to Guide</a>	R_K#####_eBidRZ_##	##### Roadway_eBIDS.zip	Design	LandXML
Noise Ordinance	PM_K#####_NOE_##	##### Ordinance	Public Information	Permit
Public Interest Finding	PM_K#####_LPIF_##	##### Public Interest Finding	Public Information	Public Interest Finding
Storm Water Report	H_K#####_StrmRpt_##	##### Storm Water	Environmental	Report
Traffic Management Plan	TZ_K#####_TMP_##	##### TMP Narrative	Traffic	Report
Traffic Mobility Checklist	TZ_K#####_MC_##	##### Mobility Checklist	Traffic	Report
Work Zone Safety Decision Tree	TZ_K#####_WZDT_##	##### WZ Safety	Traffic	Report
Erosion & Sediment Plans Cover Sheets	EE_K#####_DEQ_CS_##	##### ESCP Cover Sheets	Environmental	Report

## Bid Rejection

Guidance:

OPO-Construction completes the bid rejection letter.

## Buy America Waiver

Guidance:

Buy America Waivers are to follow FHWA guidance.

Helpful link:

[FHWA Buy America Waiver guidance](#)

## Change Management Request (CMR)

Guidance:

The [ODOT Change Management Request SharePoint](#) describes how to complete the CMR.

## Charter (ODOT Project Charter)

Data Fields

**Project Name** – Must match STIP-FP exactly.

**Project Key Number** – Enter key number.

**Project Description (Purpose and Need)** – Must be consistent with STIP-FP.

- Completion of the project description requires the import of pertinent information from the following final business case fields:
  - Project Location
  - Project/Opportunity/Issue Description and Need
  - Potential Solutions
  - Project Outcomes, Goals, and Priorities
- Add additional project details or changes not included in the final business case as needed. Document any changes that occur after the original STIP programming as described in the CMR-00.
- Should answer the questions:
  - What is the purpose and need this project is addressing?
  - What is the description of the work to be performed?
  - What is in scope and out of scope?
- Project description and parameters will be defined:
  - What will be built?
  - Services to be provided
  - Equipment that will be purchased

### Project Delivery Manual

- Can the project be completed in phases?
- Has information from advanced investigation been included?
- What elements are included in the scope?
- What elements are excluded from the scope?
- Any other elements to be considered or evaluated before the DAP milestone

**Constraints and Risks** – Import information from the final business case. Describe any other factors or concerns not included in the business case, or any new developments in cost/budget, environmental information, mobility, ADA, permitting, etc.

**Assumptions** – Identify and describe project assumptions related to the scope, schedule, budget, or approach. Include potential risks of the assumptions. Examples:

- Will design exceptions be necessary?
- Will there be an access management exemption?
- Will any IGA's be needed?
- What mobility impacts will there be?

**Project Delivery Approach** – Indicate if the project delivery is:

- In-house
- Outsourced
- Hybrid
- Discipline specify work is outsourced
- Alternative contracting
- Resource sharing agreements being used

**Project Development Team (PDT) Members** -List project team members. This consists of in-house, or consultant technical professional staff, engineers and key internal stakeholders (planning, maintenance, construction, and public involvement) assigned to a team that is responsible for developing and designing project plans, specifications and estimates.

**Project Schedule (Milestones)** - Identify major milestone dates from the MS project schedule. Add additional milestones as needed. See PD-19 for guidance on schedule milestones. For PE only or shelf projects, only use the milestones that correspond to the project activities. Mark other schedule milestones not applicable (N/A).

- Schedule considerations:
- Is the bid opening date ideal for construction?
- Does the schedule meet the federal or state funding obligation requirements outlined in the STIP?
- Are lead times for outsourcing or alternative delivery accounted for?

### Project Delivery Manual

**Project Budget (Funding)** - Add the current budget from the STIP-FP Phase Total Estimated Cost field and the current estimate for all project phases. Enter the programmed STIP funding amount for each funding program.

**Signatures** – The final project charter is signed by the following:

- Funding Program Manager(s)
- PM
- AM
- Project Sponsor (optional)
- TCM
- Maintenance manager

## Comment Log

**Guidance:**

The comment log should encompass the following at a minimum but not limited to:

- Name of the person making the comment and response
- Agency or company making the comment and response
  - Recommend to state section, unit, or discipline represented
- Date or milestone of the comment and response.
- The comment itself: a description of the issue, problem, detail missing, or item that is in need of correction, and (if outsourced) what reference may be used to help identify the solution.
  - is the comment made as part of a requirement or policy, or is it a recommendation, this must be noted as such in the comment.
- What document the comment is in relation to
- A response of how the comment will be resolved and when it will be resolved by

## Construction Engineering Budget

**Guidance:**

Follow the directions in the Construction Engineering Project Budget form.

Refer to CE Budget under award.

The CE budget is a budget for the construction engineering costs during the Construction Phase of a project. It is compiled in coordination with the Construction Office staff, consultants, and others involved in the administration of the construction contract (hence referred to as “construction office”) and reviewed by the Area Manger. The project manager may work with the construction office and the region estimator if the standard percentage for CE is not appropriate for a project (for example, a high bid item budget project that is only one season may not need the full standard percentage CE) in order to finalize the construction estimate prior to PS&E.

## Construction Time Estimate

### Guidance:

The Fuel, Steel, Class of Work and Scheduling Template Guide describes how to complete the construction time estimate.

### Helpful Links:

- [Fuel, Steel, Class of Work and Scheduling Template](#)

## DAP Exception Request

### Data Fields

**Date** – Enter date form started.

**From** – Enter AM's name.

**Reviewed by PCO Specialist/Date** - This may be filled out by the PCO pre-letting specialist but is not required.

**Project Name** – Must match STIP exactly.

**Key Number** – Enter the key number.

**DAP Due Date** – This is the date when DAP is expected to be completed with all required deliverables. This date is assigned to the project when the project schedule is baselined at project initiation.

**Project Description** – Use the project description from the Project Charter. May include other details necessary to support this request.

**Description of outstanding risk item(s) from the DAP memo and plan for mitigation** – Enter the name of each outstanding item and the plan for mitigation. Include the following for each item:

- Any progress made to date
- The current state (i.e., design exception has received verbal approval and awaiting official signature)
- Risks
  - Best practice is to have these risks updated on the project risk register as well.
- Background on why the item has been delayed
- Any additional actions being taken by the PDT to complete the item

**Anticipated Completion Date** – Provide a specified date or assign to a project milestone. Specify if there are multiple outstanding risk items with different completion dates.

### Project Delivery Manual

**What will happen if the risk is not removed/addressed by the anticipated completion date** – Explain the contingency plan if the item is not resolved by the date expected. A revised DAPER is not an acceptable answer.

**Person responsible for completion of the outstanding item** – Enter the name and contact information of the responsible person for completing each outstanding item.

**Concur/Do not concur/Comments** - These fields are filled out by the Statewide Project Delivery Branch Manager.

**Signatures** – Enter the name of the region manager and Statewide Project Delivery Branch Manager. The region manager must sign the DAPER before the SPDM. This signifies the region manager agrees with the plan for mitigating the outstanding DAP phase gate deliverables.

**CC** – Enter the name of the following:

- PM
- AM
- TCM
- Project Development Section Manager

## Design Acceptance Memo & Checklist (DAP Checklist)

Guidance:

The +/- buttons add information the PCO pre-letting specialist is reviewing as part of the DAP submittal package.

Data Fields

**Key Number** – Enter key number.

**Project Name** – Must match STIP-FP exactly.

**Date** – Enter date form started.

**Region** – Enter responsible region.

**County** – Must match STIP. List all counties.

**PE EA** – Enter PE EA.

**Project Description** – consistent with the project description in STIP-FP, but should expand on:

- Project location
- Purpose and need this project is addressing

### Project Delivery Manual

- 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)** - identify major milestone dates (month, day, and year) from the MS Project schedule. Add additional milestones as needed using the buttons. See PD-19 for guidance on schedule milestones. For PE only or shelf projects, only use the milestones that correspond to the project activities. Mark other schedule milestones not applicable (N/A). Baselined Dates must match the currently published MS Project record dates for all phases.

- **PE EA Open** – MS Project activity code 008. This is the date when the PE EA is opened and ready for charges and when PE funds are obligated. This also signifies the budget for PE is loaded into ODOT’s financial systems and there is a start date and end date established for the account.
- **PDT Kickoff** - MS Project activity code 018. This is the date for the first Project Delivery Team (PDT) meeting to review and validate the draft project charter.
- **Project Initiation Phase Complete** – MS Project activity code 050. This is the date that all Project Initiation deliverables are completed, signifying passage through the Region Project Initiation phase gate. This is when scope, schedule, and budget are baselined signifying that the Project Charter and CMR 0 (zero) are complete, and bid let date is scheduled with the PCO.
- **Design Acceptance Phase Complete** - MS Project activity code 325. This is the date when the Design Acceptance Certificate Memo, checklist, and narrative are complete, signed, and posted in the ProjectWise DAP folder. This signifies that all DAP deliverables are complete, and the DAP phase gate has been reached. DAP set is complete in ProjectWise and notification is sent to the PCO for quality assurance review.
- **ROW EA Open** – MS Project activity code 470. This is the date when ROW expenditure account is ready for charges. The ROW EA needs to be established before ROW acquisition can be started.
- **PS&E Submittal** - MS Project activity code 551. The date the PS&E checklist, final project plans, specifications, estimate, and all supporting documentation are complete in ProjectWise and notification is sent to the PCO for quality assurance review and processing through the PS&E phase gate.
- **Bid Opening** – MS Project activity code 560. This is the bid let date. This is the concluding activity in the project design process. Note that bid opening dates must be scheduled with the PCO independent of setting them in MS Project. It is important to update the MS Project schedule before completing the milestone dates, as scheduling the bid opening date will trigger baselining of the project schedule.
- **Forecasted 1<sup>st</sup> Note** – MS Project activity code 735. First notification is the date when the contractor or a subcontractor 734-2948A (5/2019) page 2 of 3 begins contract work. The project lead is expected to work with the construction representative on the Project Development Team

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### Project Delivery Manual

to forecast this construction 1<sup>st</sup> note date. First note is generally 100 days after bid opening. This date is included for information only and will not be used for performance measurement.

- **Forecasted 2<sup>nd</sup> Note** – MS Project activity code 790. Second notification is the actual date on which the Agency determines that all on-site work has been completed (all bid item work is done and the facility is open to the public). The project lead is expected to work with the construction representative on the Project Development Team to forecast this construction 2<sup>nd</sup> note date. This date is included for information only and will not be used for performance measurement.
- **Forecasted 3<sup>rd</sup> Note** – MS Project activity code 796. Third notification is the date the Agency determines that all work is complete, including corrective work, site clean-up, and submittal of all required documentation. The project lead is expected to work with the construction representative on the Project Development Team to forecast this construction 3<sup>rd</sup> note date. Third note is generally 120 days after 2<sup>nd</sup> note. This date may extend if plant establishment is required. This date is included for information only and will not be used for performance measurement.
- Schedule considerations:
  - Is the bid opening date ideal for construction?
  - Does the schedule meet the federal or state funding obligation requirements outlined in the STIP?
  - Are lead times for outsourcing or alternative delivery accounted for?

#### Project Budget (Funding)

- **Current STIP Obligation FFY** – the obligation year for funding identified in STIP-FP
- **MS Project FFY** – PL –Planning, and OT – Other project phases do not have MS Project activity codes that link to them. For these two leave this cell blank. MS Project identifies activities in calendar dates. For the purpose of this entry calendar dates will need to be converted to federal fiscal year (FFY) dates. The FFY roles on October 1<sup>st</sup>. For example, if MS Project activity code 008 Start PE EA Open falls on October 1, 2019, it is actually in FFY 2020. If it fell on September 30, 2019, it is in FFY 2019. Use the MS Project activity code dates listed above under MS Project Dates for calculating MS Project FFY as follows:
  - PL – Planning – Activity Code 008
  - RW – Right of Way – Activity Code 454
  - UR – Utility Relocation - Activity Code 118
  - CN – Construction – Activity Code 735
- **Phase Total Estimated Cost** - This is the current budget amount shown in STIP-FP for each of the project phases.
- **DAP Estimate** – This is the Project Delivery Team’s estimate for each of the project phases at DAP.
- **Expended to Date** – This is the amount spent as shown in TEAMS in DAP.
- **Total Project Funding/Estimate** - If the DAP estimates exceed current STIP amount (STIP-FP) then a CMR and STIP amendment need to be submitted. If the Total Project Funding/Estimate exceeds \$25 million, a Cost Risk Assessment (CRA) and Value Engineering (VE) study is required

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per Highway Directive DES 01-02, Managing Project Risks for ODOT STIP and Highway Directive DES 01-03, Value Engineering for Transportation Projects. A message will appear as a reminder if the Total Project Funding/Estimate exceeds \$25 million.

**Statement of Project Readiness** – Check one box.

**Signatures** – All names, titles and signatures have been completed.

**Submittal Package Requirements** -All submittal package requirements must either indicate “Yes”, “No”, or N/A". If any of the requirements have been checked “No”, a DAP exception request must be completed.

- **DAP Narrative** – A “Yes” indicates narrative is complete. A “No” indicates narrative is not complete. “N/A” can’t be used.
- **DAP Exception Request** – A “Yes” indicates DAP Exception Request has been forwarded for concurrence. A “No” indicates DAP Exception Request has not been forwarded for concurrence. “N/A” indicates all DAP Phase Gate requirements have been met and a DAP Exception Request is not required.
- **RMS Schedule**
- **Risk Register** – A “Yes” indicates project risk register is submitted. A “No” indicates the project risk register is not submitted. “N/A” can’t be used.
- **DAP Estimate** – A “Yes” indicates DAP estimate is submitted. A “No” indicates DAP estimate is not complete. “N/A” can’t be used.
- **DAP Plan Sheets** – A “Yes” indicates DAP plan sheets are complete. A “No” indicates DAP plan sheets are not complete. “N/A” can’t be used.
- **Design Exceptions and Deviations** – A “Yes” indicates that all design exceptions/deviations have been approved. A “No” indicates that not all design exceptions have been approved. “N/A” indicates that no design exceptions or deviations are required.
- **Urban Design Concurrence** – For urban projects where it has been determined the urban design concurrence document does not apply, use the “N/A” option and submit in memo format the reason and authorization from the region TCM with concurrence from the State Traffic-Roadway Engineer to the fact that the urban design concurrence document is not needed. The urban design concurrence document does not apply to rural projects or interstate/freeway projects. When using the “N/A” option, the urban design concurrence exemption memo only needs to be submitted for urban projects.
- **Traffic/Roadway Operational Approvals** – A “Yes” indicates approval from the State Traffic Engineer. A “No” indicates device(s) have not received approval from the State Traffic Engineer. “N/A” indicates there are no Traffic/Roadway operational approvals required.
- **1R/3R Record of Decision** – A “Yes” indicates it is complete. A “No” indicates the report is not complete. “N/A” indicates it is not required.
- **Bridge TS&L Report** – A “Yes” indicates it is complete. A “No” indicates the report is not complete. “N/A” indicates a bridge TS&L report is not required.

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- **Other Structures TS&L Report** – A “Yes” indicates the report is complete. A “No” indicates the report is not complete. “N/A” indicates an other structures TS&L report is not required.
- **Area of Potential Impact (API)**
- **Programmatic Categorical Exclusion (PCE) Determination and Approval** – A “Yes” indicates PCED/A is complete. A “No” indicates PCED/A is not complete. “N/A” indicates project is not a candidate for a PCE.
- **Access Management Strategy (AMStrat)** - A “Yes” indicates AMStrat is complete including Official Project Access List (OPAL) and finalized methodology. A “No” indicates any one of the aforementioned deliverables are not complete. “N/A” indicates an exemption memo was completed, or there are no accesses within the project limits.
- **Legal Descriptions** – A “Yes” indicates legal descriptions are complete. A “No” indicates legal descriptions are not complete. “N/A” indicates there is no right of way required.
- **Technical Disciplines QA/QC** - A “Yes” indicates all technical disciplines have completed their QA/QC review (including STRs). A “No” indicates that not all technical disciplines have completed their technical review. “N/A” can’t be used.
- **Draft Mobility Considerations Checklist** – A “Yes” indicates all required documents have been submitted. A “No” indicates not all required documents have been submitted. “N/A” can't be used.
- **Public Involvement Plan** – A “Yes” indicates PIP is complete. A “No” indicates a PIP is not complete. “N/A” can’t be used.
- **Change Management Request (CMR)** - A “Yes” indicates all CMRs are complete and approved. A “No” indicates that a CMR is pending. “N/A” indicates CMR is not needed.
- **STIP Amendment(s)** - A “Yes” indicates all amendments are approved. A “No” indicates there is a STIP amendment pending but not approved. “N/A” indicates there have been no changes to programmed STIP.
- **Intergovernmental Agreements (IGAs)** - A “Yes” indicates all required IGAs are drafted and out for review. A “No” indicates there are required IGAs that are not yet drafted and out for review. “N/A” indicates there are no IGAs required.
- **A&E Contract Amendments** –A “Yes” indicates all required A&E contract amendments are executed. A “No” indicates there are A&E contract amendments that are not yet executed. “N/A” indicates there are no A&E contract amendments required.

## Design Narrative

### Guidance:

All disciplines must incorporate into the narratives the design standards applied to the project, and design decisions made so far in the project.

### Data Fields

**Key number** – Enter the key number.

**Project Name** – Must match the STIP exactly.

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**Date** – Date Design Narrative was completed.

**Region, County, Highway Name, BMP/EMP, Route Number, Highway Number** – Enter the project location information. Must match STIP. List all locations.

**PE EA** – Enter the PE EA.

**PS&E Date** – Enter the PS&E due date.

**Project Data** – the fields under this section will be filled out by the appropriate disciplines that are part of the project delivery team.

**Project Location and Overview** – describe the physical location of the project. Include vicinity map of the project area (JPG, PNG, BMP, TIF).

**Project Management** – summary of the following:

- Project Scope – describe any changes to the project scope include any changes to the purpose, need and design solution from what is in the approved project charter.
- Project Schedule – any changes to baselined schedule.
- Project Budget - any changes to baselined budget, compared to STIP.
- Project Risk/Outstanding Issues – describe the risks and issues of the project and the mitigation strategies to address these risks; include risks to footprint, resourcing, schedule, stakeholders, agreements needed from other entities, ROW hold outs, other tripwires. Status of risk/issues log.

**Intergovernmental Agreements (IGA)** - provide status update of the IGA if there is a change or if a new IGA is needed. Include IGA number.

**Public Engagement** – describe outreach efforts and public involvement plan, and project information paper (PIP) and project website, if applicable. Describe both the public and political support for this project. Provide a link to the project website. Include the responses from the stakeholders. Were there any petitions, correspondence, political commitments and if so, what?

**Planning and Local Permits** – describe:

- Planning documents (e.g., TSP, facility plan) applicable to this project, including document year, relevant design standards/projects/policies, and consistency with this project.
- Other plans, designations, regulations, or previously issued permits that could influence the design of the project (e.g., special planning studies, STA, IAMP, IGA, EA/EIS).
- Expected local land use permits (e.g., development permit, conditional use, floodplain, right of way, variance from noise regulations).

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**Constructability** – describe issues, staging concerns, etc. Describe both optimal construction window that incorporates in water work (IWW) and modular block wall (MBW), and actual construction window, how many years will it take to complete work, any known projects that may be occurring at the same time? Opportunities for alternative procurement or contracting, or any advance construction (utility relocation, demolition) or material purchase (sign structures or VMS). Is a separate tree clearing contract or “Other” phase needed (landscaping contracts), anything that could be procured ahead of time? This reduces the possibility of conflicts of utility relocations to impact schedule. Constructability memo.

**Access Management** – provide a high-level overview of the access management strategy for the project and the impacts and risks. Frontage roads? Summarize official project access list (OPAL), the AMStrat, or exception memo.

**Roadway** - overview of design controls, criteria, and design elements, horizontal/vertical alignment, typical section and guardrail needs.

- Termini – where does the project end? Why does the project end there?
- Value Engineering - overview of VE process/memo, if applicable.
- Design Exceptions – describe design exceptions, their status of approval and if approval is pending, provide expected approval date accompanied with DAP exception letter.
- ADA Considerations – describe ADA requirements associated with this project. ADA requirement concurrence, if applicable.
- Outreach to affected communities – CQCR outstanding issues included/addressed, and transition plan components included to the ADA requirements associated with this project.
- Special Design Elements -describe special design elements that require railroad orders, aeronautic approvals, port approvals and utilities.

**Alternatives Studied** – provide an overview of alternatives considered and criteria utilized to select the preferred option.

**Bicycle, Pedestrian and Transit Facilities** – describe existing bicycle, pedestrian, and transit facilities/routes. Describe how the project will maintain or improve bicycle, pedestrian, and transit facilities/routes. What is the potential for future improvement of these facilities/routes?

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

**Traffic Safety & Operations Elements** – illumination/luminaires, signals, rumble strips, curve warning upgrades, ITS, and other traffic elements which address safety and operational needs within the project limits. Have all structures and poles been identified? What is the status of the traffic approvals?

**Work Zone, Mobility, Staging and TPAR** – provide a high-level overview of the transportation management strategies used to manage the temporary work zone impacts and accommodations for public traffic, temporary pedestrian accessible route (TPAR). Summarize traffic management plan (TMP),

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work zone decision tree (WZDT), and the draft mobility considerations checklist (MCC). Describe anticipated detours:

- Stage Construction - what will the staging concept be? Where will detours be needed? How has the local agreement been worked out for detours?
- Temp Protection & Direction of Traffic – what are the site-specific safety issues? (high volumes, local special events)

**Pavement Markings and Permanent Signing** – describe the signing and striping design elements within the project. What is the status of any approvals?

**Hydraulic/Drainage/Stormwater** - describe hydraulic issues associated with this project. Summarize hydraulic memo.

- Design Deviations – describe hydraulic design deviations, their status of approval and expected approval date, if applicable. Overview of the hydraulic unit's recommendations (e.g., bottom of bridge beam elevation) for the design of bridges on the project?

**Pavement Design** – describe what alternates were considered for the overall project? What special features were included and why? What is the condition of the existing surfacing and what is the recommendation from pavement design? (new vs old) Are there special features or recommendations? (i.e. dig out, geotextile, perf. pipe or other drainage considerations, etc. Describe pavement issues associated with the project. Provide summary of preliminary pavement design narrative/memo. Overview of the approach pavement design at bridge approaches.

#### Bridges

- Design Controls, Criteria, and Innovations – overview of design controls, criteria, and innovations.
- Issues and Risks – describe structural issues and risks associated with the bridge(s) and structures on this project.
- Advanced Investigations – have pre-design load ratings, deck testing, or other pre-design analyses been adequately completed to pass DAP phase gate?
- Alternatives Studied – summarize the TS&L report and the alternatives studied. Overview of alternatives studied and documented in the bridge TS&L report, including design elements, typical section, and bridge rail needs. What are bridge section's recommendations?
- Design Deviations – describe bridge design deviations, their status of approval and expected approval date, if applicable.
- Special Design Elements – describe special design element that require railroad orders, aeronautic approvals, port or coast guard approvals, if applicable.
- ADA Considerations – describe ADA requirements associated with the bridge(s).
- Value Engineering – overview of VE process/memo applicable to the bridge(s), if applicable.

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#### Rail

- If project is within 500' of the railroad, contact State Utility and Rail Liaison (SURL), [utilityandrailprogra@odot.oregon.gov](mailto:utilityandrailprogra@odot.oregon.gov).
- If project is within 500' of a rail crossing contact rail safety [ccdrailcrossing@odot.oregon.gov](mailto:ccdrailcrossing@odot.oregon.gov) in addition to the SURL.

**Roadside Development** – describe erosion control, planting plan, and wetland mitigation from the landscape architect/environmental.

**Other Structures** –retaining walls, sound walls, culverts greater than 6 feet, traffic structures (e.g., overhead sign supports), subsurface structures (e.g., vaults), trenchless pipe replacements and shoring (temporary).

- Design Controls, Criteria, and Innovations – overview of design controls, criteria, and innovations.
- Issues and Risks – describe structural issues and risks associated with the structure(s) on this project.
- Alternatives Studied – summarize the "other structures" TS&L report(s) and the alternatives studied. Overview of alternatives studied and documented in the "other structures" TS&L report, including design elements, typical section.
- Design Deviations – describe design deviations, their status of approval and expected approval date, if applicable.

**Geology, Material Source/Disposal Sites** – describe geological issues associated with this project. Describe any federal, state, or local permit requirements associated with the material sources. Summarize geology memo.

**Hazardous Materials** – describe hazmat issues associated with this project. Summarize hazmat memo.

**Geotechnical Considerations** – describe geotechnical issues associated with this project. Summarize geotechnical memo.

- Design Deviations – describe geotechnical design deviations, their status of approval and expected approval date, if applicable. Overview of the geotechnical unit's recommendations (e.g., pile design parameters) for the design of bridges on the project?

**Environmental and Required Permits** – describe environmental issues/risks associated. Summarize the environmental baseline report and note required permits. Consider the following:

- Wetland, waterways and water quality
- Biological threatened or endangered species
- Fish passage
- Historical and archeology

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- Visual impacts
- Air, noise or energy impacts
- 4f/LWCF
- Pre-con activity
- Socioeconomic impact
- Erosion control
- Variances – describe environmental variances, their status of approval and expected approval date, if applicable.

**Survey Control and Right of Way Retracement** – survey (general limits, quality level, special features, and utilities).

**Right of Way** – generally describe the needed right of way. Who has the project been coordinated with? (R/W Liaison?) What is the estimated cost of the acquisition? What is the nature of the acquisition? (Partial vs total) Are there displacements? (Business and/or residential)

**Utilities** – What utilities (types and companies, if known) are in the project limits? (optional: list contacts) Are there utility-related issues/risks associated with this project? Are there any known utilities that could potentially be reimbursable? (Include a cost estimate for relocations if known) Are all expected utilities tied to the base file? If not, why? Has the draft utility conflict list been completed? Are there any constraints?

**Maintenance Elements** – Concerns: Locations prone to potholing, cracking, sinks, slides or rock falls, icy conditions, wildlife incidents, crashes, debris, culvert or drainage failure; past hazmat incidents; lane narrowing opportunities; cross slope issues; ODOT permits needed, etc.; maintainability of proposed improvements. What items are being addressed with this project? Which items are not being addressed with this project?

**PDT Members** – list PDT member names and roles.

## Fuel and Steel Escalation and Class of Work Worksheet

**Guidance:**

The Fuel, Steel, Class of Work and Scheduling Template Guide describes how to complete the fuel and steel escalation and Class of Work worksheet.

## Letters of Clarification (LOC)

**Guidance:**

Follow the orange instructions in the LOC template.

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#### Answering Bidder Questions:

PCO QA reviewers will not accept a LOC with responses similar to “bid it as you see it” to bidder questions. Responses should direct the bidder to the appropriate plan sheet, special provision, bid reference document, bid schedule, standard drawing, or standard specification.

#### Examples of Unacceptable Responses:

##### Example 1:

Question: Drawing J29 - Please confirm that Deck Section J-J is located on Bent No. 8 to Hinge No. 12, NOT Hinge No. 8 to Hinge No. 12. It appears from the framing plan on Drawing J17 that this section should be referenced beginning at Bent No 8. Please confirm.

Answer: Correct, this section applies from Bent No. 8 to Hinge No. 12.

This is unacceptable because the drawing requires updating to correct “Hinge” to “Bent” by an addenda.

##### Example 2:

Question: The quantity for Bid Item 0970 looks to be overstated. According to Plan Sheet BB02, only 12.5’ of Type 4 guardrail is required.

Answer: The bid item quantity is overstated in the Bid Schedule. The length of guardrail paid under BI0970 shown on sheet BB02 is 12.5'. BI1000 Guardrail Transition, paid as each, should account for the 25' of transition per Guardrail Detail, General Note 1 on sheet BB02.

This is unacceptable because the quantity in the Bid Schedule is wrong and needs to be corrected by addenda.

##### Example 3:

Question: On page 24 of the special provisions in the contaminated soil table there is some confusion between C.Y. and tons for the quantities.

Answer: The table header should say CY for the Approximate Quantity. All quantities are in cubic yards, except for the Quantity to be disposed at landfill, which is in tons.

This is unacceptable because the special provisions are wrong and need to be corrected by addenda.

##### Example 4:

Question: Sheet J45 and J52 show UHPC deck closure details. Do these details extend into the curb and sidewalk, or are they for the roadway surface only? We would prefer to pour the curb and sidewalk closures with the HPC mix rather than UHPC.

Answer: No response here, bid as shown.

This is unacceptable because it is a “bid it as you see it” response. The response could be “bid as shown on Sheet XYZ” to clarify where the requirement is.

#### Examples of Acceptable Responses:

##### **Example 1:**

Question: Sheet J77 End Post Detail would seem to indicate some kind of plate/end anchor assembly from the end of the 3 tube rail to the end post. There are no details for this plate and no callout for insert sizes required, etc. Please clarify the details for 3 tube rail to end post connection.

Answer: The details for this connection are detailed in ODOT standard drawing BR209, as indicated on sheet J77 “See dwg. BR209 for details not shown.”

This is acceptable because it points to where the information is referenced in the plans (standard drawing).

##### **Example 2:**

Question: Is grass mowing shown on sheet FA02 only required where the contaminated soil is being placed?

Answer: Yes, mowing is required everywhere within the dashed boundary on sheet FA02, see notes 4 and 5 on FA02.

This is acceptable because the information is referenced in the plan sheets.

##### **Example 3:**

Question: Is the existing structure still rated for the loading capacity as indicated in the as - builds?

Answer: Please refer to Section 00220.45 in the Special Provisions. The structure is either on a “restricted bridge list or has the condition rating of 4 or less. If the contractor plans to park vehicles or equipment on the bridge, submit stamped loading calculations and data according to 00150.35.” Also refer to Section 00253.03, wherein the loading does not exceed the equivalent of HS-15 loading.

This is acceptable because the information is referenced in the special provisions.

## Local Agency Technical Scope Sheet (TSS)

#### Guidance:

ODLAP Only:

- May be done during pre-PE, LPA to submit draft to ODOT before IGA work

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- See project initiation for additional guidance on completion on document
- TSS: <https://www.oregon.gov/odot/Forms/2ODOT/7345151.pdf>
- Why not a charter?
  - ODLAP projects are to use of the Local Agency technical scope sheet
    - Allows for more detailed information pertaining to the technical aspects of the project
- What must be done to start the IGA
  - Must complete a draft before beginning IGA work
  - must be accompanied by a vicinity map
- Digital signatures are not required.
- Project name must match the STIP

The Technical Scope Sheet replaces the need for an ODOT Charter. The ODOT charter is not used on ODLAP projects as it is ODOT specific for ODOT project purposes. The Local Agency Technical Scope Sheet form [731-5151](#) describes the proposed project, scope, and budget related information, and serves as the support document for the ODOT-Local Agency agreement and FHWA authorization of federal funds. The Local Agency Technical Scope Sheet provides a schedule that indicates to ODOT and FHWA when the federal funding is anticipated to be obligated for each STIP phase. The TSS is required for each project. The TSS further expands upon the information needed to ensure all technical and scope related components can be incorporated and there is understanding of the scope between ODOT and the LPA before beginning project development.

The LPA is responsible for initial draft Technical Scope Sheet (TSS) to submit to ODOT. The ODOT PM and the LPA will work together to complete the TSS. This may require parties to discuss the project and/or project site visits. LPA will provide any documentation (scoping notes, estimate, funding application, etc.) to assist with completion. If project scoped by ODOT, ODOT will provide scoping information. If the funding program is administered by ODOT, the ODOT PM will have access through ProjectWise to the scoping notes, funding program application and business case. The approved TSS shall be uploaded to ProjectWise.

Once the TSS has been approved, any changes to the scope schedule and budget will be documented with a Project Change Request (PCR) per PDB-05. See Change Management for additional information on the PCR.

Local Agency Technical Scope Sheet form [731-5151](#)

1. PM to review the TSS and Vicinity Map for completeness and accuracy based on the current known information and experience. [See TSS & Vicinity Map]
  - a. Vicinity map and draft TSS to be provided within OregonBuys to OPO for the development of the IGA. It is at the discretion of the PM on when the TSS and vicinity map are acceptable enough to progress.

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2. Pending any further clarifications from the LAPM, resolve initial comments and additional information on the form or via attachments to clarify the scope, schedule, and budget of the project, PM sends the TSS for technical review. The project TSS should align with the STIP.
  - a. If the TSS does not align with the STIP, PM investigates the nuances of the project to determine why, and whether the STIP must be amended before advancing the project.
3. PDT members review the TSS for fatal flaws, completeness, and correctness to ensure the project scope, schedule, and budget are defined, clear, deliverable, and feasible. All comments to be tracked through a comment log within ProjectWise
4. PM to resolve all comments between the PDT and the LAPM
5. PM to facilitate Area Manager review who is in responsible charge of the portfolio in which the project is included. PM to resolve any additional comments or feedback from the Area manager.
6. PM to facilitate the approval process of the TSS once all comments have been addressed.
  - a. Additional attachments and documentation may be provided with the TSS for additional clarification of scope, schedule and budget
  - b. Approval process to begin with the LPA, LPA to determine who on the LPA side has the authority to confirm the scope, schedule, and budget of the project.
  - c. ODOT PM signs after the LPA, signifying all comments and questions are resolved
  - d. Area manager signs last after reviewing and confirming with the ODOT PM that the project appears ready to proceed.

Once the draft TSS is received, the PM may determine other activities that now may progress forward, including but not limited to the following:

1. IGA creation and development [see IGA]
2. MSP schedule drafting
3. PW folder creation [assuming project is in the STIP or M# assigned]

It is understood that the regional IN/PIN budgets may not have the necessary budgets to fully evaluate and review the initial materials provided by the LPA until the project is authorized for federal funding through FMIS, and ODOT issues an EA and appropriate sub jobs for the work. In this circumstance, the available options are as follows:

1. Charge the regional budgets for work up front and ahead of the funding being available to charge the project
2. Check to see if the LPA is willing to front the funding knowing the risks of moving forward without full evaluation before beginning project delivery, this would be done via an MOU and deposit made to ODOT for the necessary funds to conduct such an evaluation of the project
3. MPO or other entity provide funding to ODOT for such evaluation or scope refinement purposes

Additional information helpful to convey as part of the TSS or as additional backup information:

- PDT team list
- Constraints and risks identified

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- Assumptions
- Project delivery approach

Milestone Estimate and construction Contingency

Construction estimate compiled at each project milestone that is compiled by the region estimator. As the project progresses through design, the PDT assesses the construction contingency. The project manager leads the discussion on construction contingency

- Construction contingency at PS&E must be 3.5% or obtain approval by PCO. This may require FHWA approval, which either the project manager or the area manager will coordinate.

**LPIF/AIR/SEO**

Guidance:

The following table includes what template should be used for what situation. See the LPIF Guidance for additional information. Answer all questions in the appropriate form.

Template	Situation
<a href="#">LPIF – Publicly Owned Equipment</a>	Contractor to use Agency furnished equipment.
<a href="#">LPIF – Contractor Purchased Equipment for State Ownership</a>	Items are to be purchased by the contractor under the contract with ownership transferring to the Agency at the end of the project. Items include VMS, temporary bridges, and construction barrier systems.
LPIF – State Furnis <a href="#">hed Materials</a>	Contractor is to use materials or sources owned by, or pre-purchased and furnished by the Agency in order to not delay construction timing.
LPIF – M <a href="#">andatory Disposal Site</a>	Mandatory borrow sources and disposal sites are considered State-furnished materials. These could be required for environmental reasons, or location of a project.

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Template	Situation
<a href="#">LPIF – Separate Contract</a>	Construction contract activities performed under a non-competitive construction contract.
LPIF - <a href="#">Use of State Forces</a>	Work is to be performed by the Agency or a partnering Agency via direct contract. Items could include work performed by Federal Lands on own property.
LPIF – <a href="#">Salvaged Material</a>	Permanent feature or material being removed due to construction of a project and is being considered for reuse by the Agency for maintenance activities or use on another project.
LPIF - Intelligent Transportation System Components	ODOT has price agreement contracts for ITS equipment. Contact the ITS standards engineer to discuss if an LPIF is needed.
Anticipated Item Request – <a href="#">Programmatic</a>	Commonly used work items that have been approved by FHWA to be in the public’s best interest to issue a separate contract or utilize State forces to perform: APHIS; utility connections/hookups; public affairs/public outreach; railroad flagging (other than UPRR); archaeological monitoring; paint coating inspection services; and work zone safety monitoring/traffic oversight.
<a href="#">Anticipated Item Request</a>	Anticipated cost that may be incurred by the project but are not biddable items because they cannot be quantified prior to bid.
<a href="#">State Exemption Order</a>	Specify product with no approved equal. This is very rare.

## Milestone Construction Cost Estimate

### Guidance:

Follow the guidance in the Estimation Manual to create and update milestone estimates.

## Milestone Plans

### Guidance:

Follow the guidance in the Highway Design Manual, ODOT CAD Manual, and discipline-specific CAD manuals listed on the [Drafting and Contract Plans Program website](#) to create the milestone plans.

## Mobility Considerations Checklist

### Guidance:

Follow the guidance in the [Mobility Considerations Checklist Guide](#) to complete the Project Mobility Considerations Checklist ([ODOT Form # 735-9983](#)). Must also be accompanied by a Work Zone Decision Tree ([ODOT Form # 734-5042](#)) and Transportation Management Plan ([template](#)) when submitting to the Mobility Services Team for review.

## Other Structures TS&L

### Guidance:

Follow the guidance in the [Discipline Other Structures TS&L](#) section.

## POR Certification

### Guidance:

Follow the guidance in the ODOT Specifications Manual.

## Project Change Request (PCR)

### Guidance:

This PCR process applies to projects during the development and design phases, until a construction contract is awarded. It is not intended to duplicate or replace existing construction phase project change procedures (contract change orders). The PCR may also be used during any STIP phase other than construction to document changes.

Changes to be described within the PCR:

1. Change in scope that differs from the intergovernmental agreement (IGA), STIP, or award letter for the funding. This includes changing the project location description(s) specified in any of the aforementioned documents.
  - a. Change to schedule that will impact the STIP obligation year, the Plans, Specifications, and Estimates (PS&E) submittal date or bid date require a PCR.

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Note, that the ODOT project manager may use the PCR to justify the changing of any dates that are internal to ODOT and do not affect the STIP or a bid date.

2. Change in budget, any change that would initiate a STIP amendment, amendment to the IGA, or would require additional funding from the LPA.
3. Any other change to the project deemed significant to the LPA and ODOT PM to warrant documenting said change.

#### Data Fields:

**Project Name** – Must match STIP exactly.

**STIP Key** – Enter the key number.

**IGA Number** – Enter the IGA number.

**PCR Number** – Enter the PCR number, starting at 1.

**Bridge Number(s)** – Enter all bridge numbers associated with the project. If none, enter “N/A”.

**Recipient Agency (Applicant(s), LPA)** – Enter the applicant(s) or LPA name.

**Delivery Agency** – Enter the delivery agency if different than ODOT or applicant.

**Recipient Agency Address (LPA)** – Enter the recipient’s address.

**Delivery Agency Address** – Enter the delivery agency’s address.

**City, State, Zip (LPA)** – Enter the LPA city, state, and zip location.

**City, State, Zip** – Enter the delivery agency’s city, state, and zip location.

**Recipient Agency Email (LPA)** – Enter the recipient agency’s email.

**Phone (LPA)** – Enter the LPA’s phone number.

**Delivery Agency Contact Name and Email** – Enter the delivery agency’s contact and email.

**Phone** – Enter the delivery agency’s phone number.

**ODOT Region** – Select the responsible region from the drop-down list.

**MPO** – Select “Yes” from the drop-down list if it is a MPO. Select “No” if it is not a MPO.

**Certified Agency** – Select “Yes” from the drop-down list if the recipient is a certified local agency. Select “No” if it is not a certified local agency.

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**ODOT Facility** – Select “Yes” from the drop-down list if the project is on an ODOT facility. Select “No” if the project is not on an ODOT facility.

#### **Funding:**

**Funding Responsibility** – Coordinate with the region STIP coordinator for what funding responsibilities are currently applicable to the project, and what is the change to each as a result of the change in budget.

Contacts for each funding responsibility may be found [here](#), but should be confirmed with the STIP coordinator prior to seeking approvals.

- Add all funding responsibilities listed in the STIP by using the “+” button. Up to 13 rows may be added.
  - Funding responsibilities or programs may be listed in the business case, STIP, application, MPO council meeting minutes, or ODOT PM. As the STIP focuses on funding responsibility, not program, coordinate with the region and state STIP coordinators to determine the appropriate funding responsibilities associated with a particular funding program.

**Describe** – If “Other” is selected in the Funding responsibility, enter the funding responsibility name. Leave blank if “Other” is not used.

#### **Type of Change:**

**Type of Change** – Select all boxes that apply for changes made to the project.

**Describe** – If “Other” is selected, an additional describe field appears. Enter the description of the project change.

#### **Change Justification and Details**

**Scope** – Explain what is changing to the scope of the project, reduction or addition of scope, or change in intent of the project. Explain why the project needs to change, and what the consequences are if the change is not approve.

**Schedule** – Changes to the ODOT schedule (PD19 milestone changes at a minimum) or if there are milestones in the IGA should be described for those milestones identified in policy and guidance, and any schedule changes as deemed significant by the ODOT or LPA PM. Describe what the change is, why does the project schedule need to change, and what are the consequences if the schedule is not changed. Provide needed details and include schedule (in PDF form).

**Budget** – Explain the following changes to the budget:

- Increase to project budget
- Decreases to project budget

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- Why is there a need for a change, and what the consequences are if not changed?
- Explain what financial related changes are needed to expenditure accounts, sub-jobs. This is done by the PM.
- Budget changes must address all associated STIP/MTIP amendments in the project budget table and discuss with the STIP coordinator.

#### STIP

**Does the STIP or MTIP need to be amended per the ODOT/FTA/FHWA STIP amendment matrix?** – Select “Yes” if the STIP or MTIP need to be amended. Attach a revised estimate to the PCR. Select “No” if the STIP or MTIP doesn’t need to be amended.

**Does the IGA need to be amended?** – Select “Yes” if the IGA needs to be amended. Attach a revised estimate to the PCR. Select “No” if the IGA doesn’t need to be amended.

#### Project Budget Table

**Expended to Date** – Enter the amount expended to date.

**Phase** – Add additional phases if needed selecting from the drop-down list.

**Current FFY** – Enter the current federal fiscal year for the phase listed in STIP.

**Proposed FFY** – Enter the proposed federal fiscal year for the phase if changing.

**Current Phase Total Estimate** – Enter the Phase Total Estimated Cost currently listed in STIP.

**Budget Adjustment (+/-)** – Enter the amount to be adjusted to the budget. If decreasing, add “-“(e.g. -500,000) to the amount to be adjusted.

**Proposed Phase Total Estimate** – The value will automatically update based on the values in the current phase total estimate and the budget adjustment columns.

#### Approvals

**Local Agency Representative Name** – The LPA project manager to sign as concurring with the justification and changes being made to the project and accepting the need to commence with any subsequent processes to implement these changes. This may affect the scope, schedule, and budget as noted in the PCR. Signature denotes the LPA is aware of the changes.

**Funding Program Manager** – The funding program manager is required to sign for STIP changes, changes to budget, or changes to the scope that differ then the original intent and award of the project. Funding program manager may request prior PCRs for reference prior to signing to see full history of the project changes.

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- An MPO may act as the funding program manager when the funding for the project was selected and awarded as part of an MPO administered funding program.
- For local bridge program, add the State Bridge Engineer as an additional approver.

**ODOT Project Manager** – PM is required to sign to approve the changes as shown within the PCR and ensure subsequent processes such as STIP, IGA, or other related change processes can be completed as per the justifications listed in the PCR.

**Additional Information** – Add any additional information need to explain the changes to the scope, schedule, or budget.

**Attachments** – Select the boxes if maps, cost estimate, or other documents are attached to the PCR.

- The ODLAP PCR replaces all previously used forms.
  - Best practices - When an IGA is amended, remove and replace other forms with the PCR statewide form.
  - Examples of other forms replaced by the PCR form:
    - Local Bridge Program Project Change Request: [Form 734-2851](#)
      - Existing IGAs that specify the old form must use the old form, unless amended to use the new form.
    - Congestion Mitigation and Air Quality Compressed Natural Gas (CMAQ) Project Change Request: [Form 734-2924](#)
    - Multimodal Transportation Enhancement Program Project Change Request: [Form 734- 2936](#)
    - General Project Change Request: [Form 734-2863](#)
    - Any region-specific forms without form numbers.

## Project Initiation Checklist

### Data Fields

Fill out the top portion of the Project Initiation Submittal Checklist with the following information:

**Key Number** – Enter key number.

**Project Name** – Must match STIP exactly.

**County Name** – Must match STIP. List all counties.

**Approved CN FFY** – Enter the CN – Construction phase Current STIP Year from STIP.

**CN Estimate** – Enter the CN – Construction phase “Phase Total Estimate Cost from STIP”.

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**Federal Aid ID** – Enter the federal aid ID.

**PE EA** – Enter the PE EA.

**Region** – Enter the responsible region.

#### ODOT

Top portion:

**Administrator** – Select ODOT.

**Highway Name** – Must match STIP. List all highways.

**Shelf Project** – Check “Yes” if the project is planning on becoming a shelf project. Check “No” if the project is planning to go to construction.

Answer the following questions. All answers should be “Yes” for a complete project initiation submittal. If “No” is selected, a corresponding approved CMR must be completed.

**1.a. Was the placeholder bid date confirmed with PCO prior to creating the Project Initiation documentation?** - A “Yes” indicates the PM has requested and received confirmation placeholder bid date from the PCO pre-letting specialist.

**1.b. Does the PI set contain the required documents?** - A “Yes” indicates that all items listed in 1.b. have been added to the PW PI set.

**1.c. Has the project schedule been published?** - A “Yes” indicates the PM has published the project schedule in RMS-MS.

**1.d. Does the project information in the Project Charter match the STIP-FP?** - A “Yes” indicates the project information matches.

**1.e. Do all the MSPS (Milestones) in the Project Charter match the MS Project Schedule milestones?** - A “Yes” indicates the minimum required milestones in the project charter match the project schedule.

**1.f. Have all the Region digital signatures been obtained on the Project Charter?** - A “Yes” indicates all signatures have been obtained. If a name is in two locations, the responsible person must sign in both locations.

Section 2 is for PCO’s internal use only during project initiation review and acceptance.

#### ODLAP

Top portion:

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**Administrator** – Select ODOT/Local.

**Hwy/Facility Name** – Must match STIP. List all facilities.

Answer the following questions. All answers should be “Yes” for a complete project initiation submittal. If “No” is selected, a corresponding approved PCR must be completed.

**1.a. Was the placeholder bid date confirmed with PCO prior to creating the Project Initiation documentation?** - A “Yes” indicates the PM has requested and received confirmation placeholder bid date from the PCO pre-letting specialist.

**1.b. Does the PI set contain the required documents?** - A “Yes” indicates that all items listed in 1.b. have been added to the PW PI set.

**1.c. Has the project schedule been published?** - A “Yes” indicates the PM has published the project schedule in RMS-MS.

**1.d. Does the project information in the TSS match the STIP-FP?** - A “Yes” indicates the project information matches.

**1.e. Do all the MSPS (Milestones) in the TSS match the MS Project Schedule milestones?** - A “Yes” indicates the minimum required milestones in the TSS match the project schedule.

**1.f. Have all required digital signatures been obtained on the TSS?** - A “Yes” indicates all signatures have been obtained.

PI Checklist for ODLAP process:

1. [TSS](#)
  - a. PM is to receive a draft version of the TSS from the LPA to provide initial information that may be pertinent to have in the IGA. This is done during Pre-PE.
  - b. TSS may be finalized and approved before the funding IGA execution or completed during project initiation.
  - c. It must be approved before project initiation complete.
2. MSP Schedule
  - a. Does it include all PD19 dates?
  - b. Does it include milestones for all STIP obligations?
  - c. Does it include timelines for necessary procurements?
  - d. Have EA end dates been considered?
3. Risk Register
  - a. ODOT Risk Register on file in PW
4. Does the Project Name in the TSS match STIP FP record exactly
  - a. If no, is there a corresponding PCR
5. Is the scope in the TSS consistent with scope in STIP FP

### Project Delivery Manual

- a. If no, is there a corresponding PCR
  - b. Project limits must be consistent with the STIP
6. Do all of the Project Schedule Milestones match the MS Project schedules
  - a. (if no, is there a corresponding PCR)
  - b. Reference Project Delivery notice 19 for required milestones
  - c. PD19 milestones must correspond and be in alignment with STIP obligation dates
7. Does the Project Budget match STIP FP budget for all phases
  - a. (if no, is there a corresponding PCR)
  - b. All STIP Phases must be fully funded before obligating additional phases.
8. Have all required signatures been obtained on the TSS

## Project Schedule

Guidance:

Follow the guidance on the [RMS – MS Project – Instructions SharePoint](#) to create and update the project schedule.

## ProjectWise Folder Request

Guidance:

Follow the guidance on the [Project Creation Requests SharePoint](#) to request PW folders.

## ProjectWise Milestone Set

Guidance:

Follow the guidance in the [How to Create Document Sets](#) from PW to create milestone sets.

## PS&E Submittal Checklist

Data Fields

### Project Information/Signature Page

**Key number** – Enter the key number.

**Region** – Enter the responsible region.

**County name** – Must match STIP. List all counties.

**Spec writer** – Enter the specification writer.

**Project name** – must match STIP exactly

**PS&E due date** – Enter the PS&E due date.

**Advertisement length** – Enter the advertisement length in weeks.

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**Bid date** – Enter the bid date.

**Quantity of bidding special provisions and plans for the RE’s office** – the PM should work with the Resident Engineer’s office to determine the quantity of *bidding* special provisions and plans for the RE’s office. This is different than the amount of contract documents. Zero is an acceptable answer if the office uses the digital bidding documents only.

**Federal aid number** – Enter the federal aid number.

- Federal Aid number on plan sheets (including title sheet) must match format **0000(254) and STIP exactly**

**PE EA** – Enter the PE EA.

**Construction EA end date** - 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.

**Type of work** – Must match title sheet.

**Total construction project estimate** - “Total Estimated Construction (CN) Budget Needed” from AWP Estimation

**Phase total estimated cost STIP amount** – CN construction phase from STIP-FP

**Total construction project estimate exceeds STIP-FP CN phase total estimated cost** – if the total construction project estimate exceeds the STIP-FP CN phase total estimated cost, a plan to cover the shortfall must be described.

**Statement of project readiness** – Check one box. Select the top box if all deliverables are complete and submitted. Check the second box if there are outstanding items noted on the PS&E exception letter.

**PS&E submittal prepared by** – The PM’s signature is assuring completeness of the project.

**Statement of funding sufficiency** – the region Area Manager’s signature is assuring completeness of the project before bid as well as funding sufficiency.

**Statement of technical sufficiency** – the region TCM’s signature assures completeness and technical sufficiency of the project before bid.

#### Submittal Package Requirements

The +/- buttons on the PS&E submittal checklist add information the PCO pre-letting specialist is reviewing as part of the PS&E submittal requirements for PS&E acceptance.

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**1.a Design Plans** – provide a complete set of electronic, digitally signed plan sheets. The PCO pre-letting specialist checks the plans for the following:

- The project information on the title sheet matches the STIP.
  - **Project Name** - the project name on the title sheet must match STIP exactly when spoken. For example, “RD” and “road” are spoken the same when read aloud. If using an abbreviation, the abbreviation must be used across all contract documents and the PS&E Submittal Checklist. Due to character limits, the words “Section” or “Project” might be left off the STIP name, but either “Section” or “Project” (or the abbreviation “Sec.” or “Proj.” if required for space limits) need to be included on the plans per Section 502 of the ODOT CAD Manual. 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 location.
  - **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 per the Roadway CAD Manual:
    - Grading
    - Drainage
    - Structures
    - Paving
    - Curb Ramps
    - Signing
    - Illumination
    - Signals
    - Intelligent Transportation System
    - Roadside Development
  - **Highway** – the highway must match the project location in STIP. “Various” is used when there are more than two state highways involved on the project.
  - **County** – the county must match the project location in STIP. “Various” is used when there are more than two counties involved on the project.
  - **Bid Date** – the month and year the project will be bid.
  - **Project Limits** – the project limits on the title sheet must be within the limits listed in STIP.
  - **Project Number** – the current construction phase project number (formerly the federal aid number) assigned to the project by the ODOT Program and Funding Services Unit.
- The signature box is included for the chief engineer’s signature on the title sheet.
- All digital signatures meet ODOT/OSBEELS standards. PCO does not accept plan sheets with wet signatures. All documents must be digitally signed.
  - Title sheet signature – the title sheet signature must read, “Name, Date, Time.” The first signature on the title sheet is the ODOT TCM or the consultant principle.
  - Plan sheet signature – the plan sheet signature must read, “Digitally Signed, Date, Time” with the exception of the landscape architect which must read, “Digital Signature.” Geotechnical signatures can be signed using either, “Digitally Signed” or “Digital Signature.”

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- All plan sheets include “Final Electronic Document Available Upon Request” notes below the title block.
- All of the traffic signal sheets are signed by the STSE. The STSE signature is not needed for off-system signals.
- Plan set supplied match the index of sheets.
- The V-number is included on all required plan sheets (A-H and Q-Z). V-numbers are a way for ODOT to track through the use of a specific numbering system those project plan sheets that are related to the state highway system that ODOT manages. V-numbers must be used on all plan sheets that impact, reference, or involve the state highway system. 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. ODLAP projects that don’t touch the state highway system use “Local System”.
- Color is not on the plan sheets. Other than using the ODOT pen tables, gray scaling is not allowed. In general, “off the shelf” gray scale features do not produce acceptable results. While many of these features produce acceptable on-screen results, the printed result is not readable or too washed out. Photo images or aerial photos used as background are usually in color. When printed black and white, the detail of the image is often lost. Background images are not allowed at this time.

**1.b. Completed Environmental Documentation** – provide a PDF copy of the signed ROD, FONSI, CE Closeout, PCE Validation, or No Ground Disturbance forms. The PCO pre-letting specialist checks the environmental documentation for the following:

- The project information matches STIP exactly at time of signature.
- All sections are filled out.
- The documentation is signed.

**1.c. Project Special Provisions** – provide a Word version showing all track changes. The PCO QA reviewer checks the project special provisions for the following:

- The Word version has been submitted.
- All modifications and deletions have received concurrence from the State Specifications Engineer (SSE).
- The correct boilerplate language is used based on the bid month.

**1.d POR Certification** – provide PDF copy of signed certification for each POR. The PCO pre-letting specialist checks the POR certifications for the following:

- The project information matches the title sheet exactly.
- All digital signatures meet ODOT/OSBEELS standards.

**1.e Special Provision Integrity Certification** – provide PDF copy of signed certification. The PCO QA reviewer checks the special provision integrity certification for the following:

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- The certification is signed after all concurrences and approvals for special provisions or standard specification modifications are received by the SSE. Special provision integrity certifications submitted which are in non-compliance requirements will not be accepted and require re-submittal after the proper concurrences are obtained.

**1.f Office of Equity and Civil Rights (OECR) Goals** – provide PDF of the OECR email containing all applicable goals/targets. The PCO estimator checks the OECR email for the following:

- Goals/targets issued by OECR within 180 days of the bid date.

**1.g Construction Cost Estimate** – provide merged estimate for 080 – PS&E Delivery phase in AASHTOWare Project (AWP) Estimation. The [Estimate Completeness QC Checklist](#) is an optional tool for project delivery to use when completing the construction cost estimate. The PCO estimator checks the construction cost estimate for the following:

- PS&E estimate is in AWP Estimation.
- The bid items use the correct unit of measure.
- 9Z9 miscellaneous bid item used appropriately. Supplemental description is complete and capitalized.
- Supplemental descriptions are complete, capitalized and accurate.
- If 00745 spec pay item is used and the quantity is over 3000 tons, verify anticipated item for statistical/smoothness bonus.
- Anticipated items match approved anticipated item request.
- Correct federal aid number in AWP Estimation.

**1.h Construction Time Estimate (CTE)** – provide Microsoft Project version on the ODOT template. The PCO estimator checks the construction time estimate for the following:

- CTE is complete and uses ODOT Microsoft Project template.
- Completion date in the CTE matches special provisions subsection 00180.50(h).

**1.i Fuel Escalation, Steel Escalation, and Class of Work worksheet** – provide Excel worksheet. The PCO estimator checks the fuel escalation, steel escalation, and class of work worksheet for the following:

- The most updated version used.
- The class of work designation is accurate and used correctly.

**1.j Insurance Risk Assessment** – provide Excel copy of the program output. Provide the risk coordinator email concurrence when the pollution liability endorsement boxes are checked “Yes.”

**1.k Right of Way Certification** – provide PDF copy of signed right of way certification. The PCO pre-letting specialist checks for the following:

- The project information matches STIP at the time of signature.
  - Any certification signed after two key numbers have been combined must use the key number that has the approved construction phase applied.

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- All sections are filled out.
- If it is a Certification 3, the approved LPIF is submitted.
  - See the [ODOT Right of Way Manual](#), section 10.500 for LPIF guidance.
- Certification is signed.
  - LPA signature is not required when bought in the name of ODOT.

**1.l Utility Certification Form** – provide PDF copy of signed utility certification. The PCO pre-letting specialist checks for the following:

- The project information matches STIP at the time of signature.
- All sections are filled out.
- Certification is signed.

**1.m Railroad Certification Form** – provide PDF copy of signed railroad certification. Select the box according to the directions on the signed Railroad Certification Form. The PCO pre-letting specialist checks for the following:

- The project information matches STIP at the time of signing.
- All sections are filled out.
- Certification is signed.

**1.n Buy America Waiver** – provide PDF copy of waiver if applicable.

**1.o PS&E Exception Letter** – provide PDF copy of approved PD-02 exception letter if applicable.

**1.p Mobility Considerations Checklist** – provide PDF copy of the mobility considerations checklist (signed by the Mobility program manager) and supporting emails.

- The project information matches STIP at the time of signing.
- All sections are filled out.
  - ODLAP: Checklist can be marked as no impact with no further data unless it impacts a state highway.
- Certification is signed.

**1.q Risk Register** – provide Excel risk register tool.

- For all ODOT projects over a total project cost of \$25 million, include a completed cost risk assessment (CRA).

**1.r ADA Program Inventory Matrix** – provide Excel ADA program inventory matrix.

- The ADA program inventory matrix is only required on ADA program projects with incomplete intersections.

## PS&E Completeness Checklist

The +/- buttons on the Completeness Checklist are to provide information on the PS&E submittal reference notes. The location column details where the document should be located in ProjectWise. “Yes” indicates the item is complete. “N/A” indicates the item does not pertain to the project. “No” indicates the item is not complete and a PS&E exception letter is required.

**1.a STIP Amendments** – Contact the region STIP coordinator to ensure all STIP amendments have been approved. STIP amendments must be approved prior to PS&E submittal.

**1.b 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. The descriptions do not need to match verbatim across the documents but should describe the same project.

**1.c Interchange Modification Request** - FHWA published the Interstate Access Policy. Contact the senior interchange engineer or interchange engineer for more information or questions about interchanges or interchange modification requests.

**2.a Roadway Design Exception** – All roadway design exceptions must be approved at PS&E. Design exceptions are explained in the ODOT Highway Design Manual, [Part 1000](#).

**2.b Bridge Design Deviations** – All bridge design deviations must be approved at PS&E. Bridge design deviations are explained in the ODOT Bridge Design Manual, [Section 1](#). Bridge design deviations are handled similar to roadway design exceptions.

**2.c Geotechnical Design Deviations** – All geotechnical design deviations must be approved at PS&E. Geotechnical design deviations are explained in the [ODOT Geotechnical Design Manual](#), Section 1.3.2. Geotechnical design deviations are handled similar to roadway design exceptions.

**2.d Hydraulic Design Deviations** – All hydraulic design deviations must be approved at PS&E. Hydraulic design deviations are explained in the ODOT Hydraulic Manual, [Chapter 3](#). Hydraulic design deviations are handled similar to roadway design exceptions.

**2.e Traffic Approvals** – All traffic approvals must be approved by PS&E.

**2.f Statements of Technical Reviews (STRs)** - Each discipline will complete and submit the statement of technical review (STR) (Form 734-5365) per the region technical center quality plan. STR’s for the project should be kept in ProjectWise.

**2.g 1R Projects** – The ODOT 1R program requirements are outlined in Technical Bulletin [RD20-01\(B\)](#). 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.

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**2.h Letters of Public Interest Findings (LPIFs)** - The PM is responsible for uploading the approved LPIF or SEO as a bid reference document in eBIDS. Anticipated item requests should not be uploaded to eBIDS.

**2.i Bid Reference Documents** - The PM can upload the 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 PCO estimator.

**2.j Notice of eBIDS Roadway Digital Design Data Letter and eBIDS Handoff Package** - The PM is responsible for uploading the notice of eBIDS roadway digital design data letter and the digital design data as a bid reference document in eBIDS. Refer to [RD13-03\(B\) 3D Roadway Design](#).

**3.a Mandatory Pre-Bid** – If the answer is “Yes”, the information must be included in the special provisions. Requires two extra advertisement weeks for pre-bid meeting. Information on when a mandatory pre-bid meeting is held must be included on the cover of the project special provisions and subsection 00120.15.

**3.b Anticipated Items** – Anticipated items must be included in the construction cost estimate. The PCO estimator will confirm all required anticipated item requests have been obtained and match the appropriate bid item totals. Anticipated item descriptions must match the approved anticipated item request. The anticipated item amount must be within \$5,000 of the approved anticipated item request or an updated anticipated item request is required. Check “N/A” if there are no anticipated items.

**3.c Specification Changes** – 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.

**3.d Special Pre-Qualifications** – If the answer is “Yes”, the information must be included in the special provisions.

**4.a Railroad** – A railroad flagging agreement is required for all railroad projects that have an anticipated flagging item. Contact the state railroad liaison to verify all required agreements are in place and discuss the maintenance consent letter status, if applicable.

**4.b Intergovernmental Agreements (IGAs)** - IGA documents are not a PS&E requirement but 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 a PS&E exception letter is required to proceed. IGAs must be completed and the PS&E exception letter must be closed out one week prior to advertisement. To check the status of the agreement, ODOOT 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”.

**4.c Utility Agreements** – Utility agreement status available from the state utility liaison.

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**5.a CA/CEI Personal Services Contracts** – The Personal Services Contracts (PSK) for Contract Administration/Construction Engineering-Inspection (CA/CEI) must be fully executed at the time of PS&E. Fully executed means that the PSK has been signed by all parties, and OPO has provided notification to the PM that the contract or amendment to an existing contract has been executed. 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.

When an existing contract is used, such as when the consultant was hired to conduct engineering related services during design, an amendment must be fully executed adding the necessary services for construction and the budget for the added work.

**5.b POR Personal Services Contracts** – The POR PSK must be fully executed at the time of PS&E. Final execution of the PSK occurs when the final signatures are added to document.

**5.c Storm Water Operation and Maintenance (O&M) Manual** – The O&M Manuals must be submitted to the technical services geo and environmental units prior to PS&E submission.

**5.d Digital Signatures** - All digital signatures must meet ODOT/OSBEELS standards. PCO does not accept plan sheets with wet signatures. All documents must be digitally signed. The title sheet signature must read, “Name, Date, Time.” The first signature on the title sheet is the ODOT TCM or the consultant principle. The plan sheet signature must read, “Digitally Signed, Date, Time” with the exception of the landscape architect which must read, “Digital Signature.” Geotechnical signatures can be signed using either, “Digitally Signed” or “Digital Signature.” See the [Contract Plans Manual 4.3](#) for additional guidance.

**5.e Traffic Signal Plans** – The traffic signal approval process is established by OAR 734-020-01400 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 signal items are on the local system, the LPA or consultant POE will sign the traffic signal drawings. See the [Traffic Signal Policy Guidelines](#) for additional information on the design review and approval process. To obtain traffic drawing numbers, refer to the [Traffic Signal Design Manual, Chapter 2](#). Signature fields for the State Traffic Signal Engineer (STSE) and POR seal must be placed before POR places digital signature to prevent invalidating POR’s signatures.

**5.f Value Engineering** – A VE study is required for all projects when all the phase totals is greater than \$25 million. See the [Value Engineering Study section](#), Highway Directive DES 01-02, Managing Project Risks for ODOT [STIP](#), and Highway Directive DES 01-03, Value [Engineering for Transportation Projects](#) for additional guidance.

- This only applies to ODOT jurisdiction. Local Jurisdiction follow FHWA minimums.

## PS&E Exception Letter

### Guidance:

The PS&E exception letter is filled out in TPMS. See TPMS PS&E Exception Letter training.

### Data Fields:

**Key No** – enter project key number.

**ADA Program Project** – if the project is an ADA program project, select Yes. If not, select No. This determines if the ADA program manager or region manager approves the exception letter.

**CC (Optional) Email** – enter the email address of anyone who should be notified when the letter is approved and when the outstanding items are resolved. The following list automatically receives the notice and does not need to be entered:

- PM
- AM
- TCM
- Assigned PCO QA reviewer
- Specification Writer
- PCO manager
- PCO Pre-Letting Specialist
- OPO-Construction
- Chief Procurement Officer
- Intergovernmental Agreements
- Region Agreements

**Request to proceed to listed milestone** – check all boxes that apply for each outstanding item.

- Advertisement – project request to proceed to 1 week prior to advertisement with outstanding item. Projects with a high-risk outstanding item must be resolved within 1 week prior to advertisement.
- Bid Opening – projects request to proceed to 1 week prior to bid opening with outstanding item. Projects with a medium risk outstanding item must be resolved within 1 week prior to bid opening.
- Award/Other – project request to proceed through award with outstanding item. Projects with a low-risk outstanding item may be resolved after award.
  - If Award/Other is selected, the form will ask for the resolve by due date

**PS&E Item(s)** – select the box for the type of outstanding item. Once selected, additional boxes requesting information will appear.

- Fields in all outstanding items:

### Project Delivery Manual

- History of Outstanding Item – explain why the item was not complete by PS&E.
- Explanation of Outstanding Item – list all region actions taken to complete the outstanding item and the planned actions to ensure completion by the resolved by date. Including dates the outstanding item was submitted for approval and typically timeframes for completing the item.
- Risk Level – select a risk level of low, medium, or high.
- Risk Level Explanation – explain why the risk level of low, medium, or high was selected.
- Risk Management Plan – explain the contingency plan if the outstanding item is not resolved by the anticipated resolution date. A second PS&E exception letter does not qualify as a risk management plan.
- Anticipated Resolution Date – enter the date the outstanding item is anticipated to be complete.
  - Best practices: PCO recommends using the award date as the anticipated completion date for CA/CEI outstanding items if the mitigation plan is for ODOT to administer the contract until the CA/CEI amendment is executed.
- Person Responsible for Completion of Item – enter the specific person responsible for completing the anticipated item.
- Curb Ramp Holdouts:
  - Number of Holdouts vs Ramps in the Project – enter the number of holdouts and the total number of ramps in the project.
- STIP Amendment:
  - STIP Amendment Type – select all STIP amendment types (scope, schedule, or budget) that are outstanding.
- Other:
  - Description of Item – enter the outstanding item.

**Send for Approval** – only check this box if you are ready to submit for approval and no other edits are needed.

**Submit** – select the submit button. If the Send for Approval is not checked, edits will still be able to be made in the dynamic view.

## Public Involvement Plan

### Guidance:

Follow the requirements of a public involvement plan in Section Three of the Public Engagement Guidebook and PD-12.

### Helpful Links:

- [Public Engagement Guidebook](#)
- [PD-12 Public Involvement Expectations for Project Delivery](#)

## Record of Support (Mobility)

Guidance:

Refer to [Oregon Revised Statute 366.215 Implementation Guidance](#).

## Risk Register

Guidance:

Follow the directions in the Risk Register form.

## Milestone Special Provisions

Guidance:

Follow the guidance in the ODOT Specifications Manual to create and update milestone special provisions.

## Special Provisions Integrity Certification

Guidance:

Follow the guidance in the ODOT Specifications Manual to fill out the special provisions integrity certification.

## Special Provision Summary Form

Guidance:

Follow the guidance in the Instructions tab of the Special Provision Summary Form.

Helpful Links:

- [Special Provision Summary Form](#)

## Discipline Guidance

This section provides guidance or links for the technical disciplines related to a transportation project.

Any guidance that is related to Project Delivery, but not owned and maintained explicitly by the Project Delivery Section (e.g. Bridge, Roadway, etc., or TPMS, ProjectWise, RMS, etc.) will be listed here with links to any respective webpages, guidance, and other resources that Project Managers should use to deliver their projects.

This manual is intended to catalog these resources for you and make it easy to locate in one spot, while providing guidance on coordinating and collaborating with disciplines.

## Other Structures Type Size and Location (TS&L) Report

**Purpose**

### Project Delivery Manual

#### Definition of Bridge and Other Structures

“Bridge” as defined by 23 CFR 650.305: A structure including supports erected over a depression or an obstruction, such as water, highway, or railway, and having a track or passageway for carrying traffic or other moving loads, and having an opening measured along the center of the roadway of more than 20 feet between under copings of abutments or spring lines of arches, or extreme ends of openings for multiple boxes; it includes multiple pipes, where the clear distance between openings is less than half of the smaller contiguous opening.

“Other Structures” are highway structures other than bridges.

The ODOT DAP Checklist distinguishes Bridge Structures from Other Structures.

- A. Items covered and designed by Bridge Standards and Design Units include:
- Bridges, including bridge abutment retaining walls and wingwalls.
  - Structures that carry or experience loads from bridges – directly or indirectly (e.g., bridge foundation pressures). Once it is determined and documented that a non-bridge structure experiences load directly or indirectly from a bridge, the structural analysis/design, plan sheet drafting, and championing of the special provisions and construction cost estimate are the responsibility of the Bridge Discipline. Coordination between the Bridge Discipline and the other discipline(s) responsible for the identification, layout and location of the non-bridge structure is of high priority when these situations occur. Refer to the Geotechnical Design Manual for the “Bridge Zone” in which discussion must occur to determine design roles and responsibilities inside this zone.
  - Pipes, boxes, and three-sided structures with a Bridge clear span 20 ft or greater (as described in the Bridge Design Manual) (including headwalls, and wingwalls).

Other structures Standards are led by a variety of disciplines outside of Bridge Section. The effort of design, estimate, and special provisions (PS&E package) is led by the Bridge Design Unit.

- B. Other structures include but may not be limited to:
- Major Traffic structures (truss sign bridge, monotube sign bridge, butterfly sign structures, or monotube cantilever)
  - Non-standard Traffic structures: special design signals or luminaire poles (outside of the standard drawing, i.e., dual mast arm signal pole)
  - Traffic Structures (i.e., those requiring Bridge or concurrence from the State Traffic Structures Engineer)
  - Small/static Traffic elements mounted to bridges (aka, “structure mounts”) and other structure or barrier.
  - Protective screening attached to a bridge or bridge rail requiring design and detailing according to AWS D1.5.
  - Retaining walls not carrying or experiencing loads from bridges

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- Sound/noise walls not on bridges.
  - Arch pipes, boxes, three-sided, single span, or open bottom structures less than 20 ft in Bridge clear span.
  - Headwalls and wingwalls.
  - Extension connections for pipes and boxes.
  - Irrigation structures over highways
  - Vaults or special manholes
  - Other Structures includes both temporary and permanent structures.
  - Tunnels (including drainage tunnels)
- C. Other structures that DO NOT require Bridge design assistance:
- Standard Traffic structures that are designed and built to standard plan and details (signposts, illumination poles, signal poles, etc.).
  - Pipes that meet all of the following criteria,
    - bridge span less than 20 ft
    - built to standard drawings
    - do not include any of the elements listed in section B.
  - Wood poles, steel poles, fiber glass poles designed by ITS.
  - Supports for weigh in motion (WIM) applications.
  - Vaults, handholes, and junction boxes used in ITS and Traffic applications.
  - Standard Manholes

#### Roles & Responsibilities

It's intended that the Other Structures TS&L memo will identify all applicable Other Structures. Late identification (past draft DAP) of Other Structures will require the schedule and budget to be reviewed, and potentially adjusted. In event that Other Structures are identified past draft DAP, the Region will discuss resourcing and schedule adjustments as soon as practicable with all parties. It will be up to the Region to discuss with the Program if changes in scope and budget are warranted.

If it differs from the Roles and Responsibilities shown below for in-house designs, the Region disciplines are responsible for negotiating with Bridge Design who will design the Other Structures. If neither the Region nor Bridge Design has the resources to complete the work, the work may be outsourced. It is recommended that if the design is being shifted from Bridge Design to document resource responsibilities in the Other Structures TS&L once agreement is reached. The EOR for Other Structures will be responsible for reviewing, and accepting or approving, the shop drawings. For outsourced work it will be up to the consultants and subconsultants to determine resourcing.

The list below describes the typical role each discipline provides. These roles should be discussed with all affected disciplines and agreed upon before the beginning of project design.

- **Retaining and Noise Walls**
  - MSE Walls (non-Bridge):

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- External Stability Design - Bridge/Structures
  - Subsurface/Foundation investigation (Geotechnical Report) - Geotechnical
- Internal Stability Design – Contractor/Manufacturer
- Plans/Specs/Estimate – Bridge/Structures
- Sheets – G
- Shop Drawing Review – Bridge/Structures
- Solider Pile Walls
  - Design – Bridge/Structures
    - Subsurface/Foundation investigation (Geotechnical Report) - Geotechnical
  - Plans/Specs/Estimate –Bridge/Structures
  - Sheets – G
  - Shop Drawing Review –Bridge/Structures
- Soil Nail Walls
  - Design – Bridge/Structures
    - Subsurface/Foundation investigation (Geotechnical Report) - Geotechnical
  - Plans/Specs/Estimate –Bridge/Structures
  - Sheets – G
  - Shop Drawing Review –Bridge/Structures
- Cantilever Retaining Walls
  - Design – Bridge/Structures
    - Subsurface/Foundation investigation (Geotechnical Report) - Geotechnical
  - Plans/Specs/Estimate –Bridge/Structures
  - Sheets – G
  - Shop Drawing Review –Bridge/Structures
- Gravity Retaining Walls
  - Design – Bridge/Structures
    - Subsurface/Foundation investigation (Geotechnical Report) - Geotechnical
  - Plans/Specs/Estimate – Bridge/Structures
  - Sheets – G
  - Shop Drawing Review – Bridge/Structures
- Sound Walls
  - Design – Bridge/Structures
    - Subsurface/Foundation investigation (Geotechnical Report) - Geotechnical
  - Plans/Specs/Estimate – Bridge/Structures

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- Sheets – G
- Shop Drawing Review – Bridge/Structures
- Secant Walls
  - Design – Bridge/Structures
    - Subsurface/Foundation investigation (Geotechnical Report) - Geotechnical
  - Plans/Specs/Estimate – Bridge/Structures
  - Sheets – G
  - Shop Drawing Review – Bridge/Structures
- **Traffic Structures**
  - Signal Structures
    - Design – Bridge
      - Subsurface/Foundation investigation (Geotechnical Report) – Geotechnical
    - Plans/Specs/Estimate – Bridge/Structures
    - Sheets – M
    - Shop Drawing Review – Bridge/Structures
  - Sign Bridge
    - Design – Bridge/Structures
      - Subsurface/Foundation investigation (Geotechnical Report) – Geotechnical
    - Plans/Specs/Estimate – Bridge/Structures
    - Sheets – L
    - Shop Drawing Review – Bridge/Structures
  - Sign Cantilever Monotube
    - Design – Bridge/Structures
      - Subsurface/Foundation investigation (Geotechnical Report) – Geotechnical
    - Plans/Specs/Estimate – Bridge/Structures
    - Sheets – L
    - Shop Drawing Review – Bridge/Structures
  - Illumination
    - Design – Bridge/Structures
      - Subsurface/Foundation investigation (Geotechnical Report) – Geotechnical
      - Connection to Bridge - Bridge
    - Plans/Specs/Estimate – Bridge/Structures
      - Connection to a bridge – Bridge
    - Sheets – P
      - Connection to Bridge - J

### Project Delivery Manual

- Shop Drawing Review – Traffic
  - Sign Support Attached to Bridge
    - Design – Bridge
    - Plans/Specs/Estimate – Bridge
    - Sheets – L
    - Shop Drawing Review – Bridge
- **ITS Structures**
  - Signal Structures
    - Design – ITS
      - Subsurface/Foundation investigation (Geotechnical Report) – Geotechnical
    - Plans/Specs/Estimate – ITS
    - Sheets – K
    - Shop Drawing Review – ITS
  - Sign Bridge
    - Design – ITS
      - Subsurface/Foundation investigation (Geotechnical Report) – Geotechnical
    - Plans/Specs/Estimate – ITS
    - Sheets – K
    - Shop Drawing Review – ITS
  - Sign Cantilever Monotube
    - Design – ITS
      - Subsurface/Foundation investigation (Geotechnical Report) – Geotechnical
    - Plans/Specs/Estimate – ITS
    - Sheets – K
    - Shop Drawing Review – ITS
  - Sign Support Attached to Bridge
    - Design – ITS
    - Plans/Specs/Estimate – ITS
    - Sheets – K
    - Shop Drawing Review – ITS
- **Hydraulic Structures (<20 feet)**
  - Precast Culverts
    - Design – Standard Drawings; Contractor/Manufacturer; Bridge/Consultant
      - Subsurface/Foundation investigation (Geotechnical Report) – Geotechnical
    - Plans/Specs/Estimate – Hydraulic or Bridge
    - Sheets – H

### Project Delivery Manual

- Shop Drawing Review – Hydraulic or Bridge
- Corrugated Steel Culverts
  - Design – Hydraulics; Bridge/Consultant; Contractor/Manufacturer
    - Subsurface/Foundation investigation (Geotechnical Report) – Geotechnical
  - Plans/Specs/Estimate – Hydraulics or Bridge
  - Sheets – H
  - Shop Drawing Review – Hydraulics or Bridge
- Cast-in-Place Culverts – Standard
  - Design – Hydraulic or Bridge
    - Subsurface/Foundation investigation (Geotechnical Report) – Geotechnical
  - Plans/Specs/Estimate – Hydraulic or Bridge
  - Sheets – H
  - Shop Drawing Review – Bridge
- Cast-in-Place Culverts – Non-Standard
  - Design – Hydraulic; Bridge
  - Plans/Specs/Estimate – Hydraulic; Bridge
  - Sheets – H
  - Shop Drawing Review – Hydraulic; Bridge

## Other

### Emergency Relief – Permanent Repair

This guidance is applicable to ODOT Emergency Relief projects, future updates will provide additional guidance for local agency projects. This guidance only pertains to the permanent repair.

#### General Guidance

For general guidance and federal requirements see the [2013 Emergency Relief Manual](#). For ODOT specific guidance for the emergency repair, see the [ODOT Emergency Operations Plan Annex T](#).

The district or region office may project manage the emergency and/or the permanent repair. In either case, "PM" is meant to represent in this section any party that is acting in the project management role.

There are two distinct phases for an emergency relief project:

- Emergency Repair
- Permanent Repair

### Project Delivery Manual

The Emergency Repair should be completed within 270 days of the event. See the Annex T related to pro-rata share and other information. ODOT District should reach out to FHWA prior to the 270 day deadline to discuss exceeding the 270 day limitation. Work identified as part of the emergency repair but exceeding 270 days may require additional discussions with Federal Aid Funding Programmer to discuss.

- If exceeding past 270 days with emergency work, pro rata will be applied past the 270 days unless FHWA has approved an extension for the 100% reimbursement rate. Approval must be in writing, email is acceptable. Send the approval to Federal Aid Funding Programmer.
- At or before the end of the 270 days, for the permanent repair PE work, district or region must reach to Federal Aid Funding Programmer for the PE EA.

The initial negotiation between ODOT and FHWA on the DDIR defines what scope is within the emergency repair and what scope is in the permanent repair. An updated DDIR is required when modifying the scope of the emergency or permanent repair.

**Note:** Some activities that are often associated with a permanent repair, if agreed to with FHWA in the DDIR, can be done as part of the emergency repair.

During negotiations, FHWA determines if the project is in STIP or not based on the [ODOT-FTA-FHWA Amendment Matrix](#). The DDIR will specify if the project is required to be in STIP or not.

### ER Project Information Transfer

#### Responsible Party:

District Manager

#### Guidance:

The district manager (DM) may delegate within the region to the AM and PM for part or all of the work associated with completing the permanent repair. If the AM agrees to take on the work on behalf of the DM, then the PM contacts the DM for context and prior circumstances of what has been done so far for the emergency relief project, what has been agreed to with federal highway, and ensures the DDIR encompasses all context and scope needed to complete the delivery of the project.

#### Objective:

- Learn scope of emergency relief project

#### Process detail:

- The PM is responsible for contacting the district manager (DM).
  - PM confirms DDIR fully defines scope and budget of the permanent repair.
  - PM confirms DDIR specifies if the permanent repair is required to be in STIP.
    - The decision on if the project is based on the FHWA-FTA-ODOT STIP Amendment Matrix.

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### Project Delivery Manual

- The project is considered to have a change in locations if the project anticipates the acquisition of any permanent ROW.
- PM confirms with DM all emergency repair work according to the DDIR is complete and DDIR is reflective of the emergency and permanent repair.

#### Key (K) Number/Maintenance (M) Number Set-up

Responsible Party:

Project Manager

Guidance:

Projects must have a key (K) number or maintenance (M) number assigned.

Objective:

- Set up K number or M number

Process detail:

- DDIR specifies project is required to be in STIP:
  - The PM coordinates with the STIP coordinator to enter the project into STIP and create the K number.
  - STIP coordinator may request information from PM to enter project into STIP.
- DDIR specifies project is not required to be in STIP:
  - The PM/DM submits maintenance PRF to ProjectWise to setup ProjectWise folders with assigned M#.

ProjectWise

Follow the steps in the [ProjectWise \(PW\) Folder section](#) to set the project up in ProjectWise.

#### Open PE EA

Responsible Party:

Project Manager/ER Federal Programmer

Guidance:

A Preliminary Engineering (PE) Expenditure Account (EA) is needed before starting any design on a project. This is a mechanism by which the PDT charges the project.

Objective:

- Distribute EA/Sub-job letter

Process detail:

- DDIR specifies project is required to be in STIP:
  - Follow [PE EA \(PE Obligation\)](#) steps

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### Project Delivery Manual

- DDIR specifies project is not required to be in STIP:
  - The PM confirms the EA has been set up with the DM and ER federal aid programmer.
  - Follow the steps below if an EA has not been set up:
    - The PM submits a request to open PE EA.
    - The PM sends an email to the ER federal aid programmer to begin the process.
      - The email needs to include a request to open the PE EA, the M number, and the EA end date.
      - The PM receives the EA/sub-job letter and FMIS report from the ER federal aid programmer once funding is authorized.
    - The PM distributes the EA/sub-job letter to the PDT.
    - The PM uploads the EA/sub-job letter into ProjectWise.

### Project Development Through PCO

#### Responsible Party:

Project Manager

#### Guidance:

ER permanent repair projects do not follow all requirements of an ODOT STIP project.

#### Objective:

- Follow applicable project development steps.

#### Process detail:

#### PROJECT INIATION:

- Follow [Project Initiation](#) steps for STIP projects.
- The following items are **not** required for project initiation:
  - Project initiation phase gate submittal to PCO.
  - Project charter.
  - Scoping documents.
  - CMR-00
  - Urban design concurrence.
- Getting bid date:
  - The PM is responsible for requesting a placeholder bid date from the PCO pre-letting specialist.
    - Follow the steps in the [Placeholder Bid Date](#) section.
    - The project must advertise within two federal fiscal years past the emergency event date. (e.g. Emergency event happens June 2025, the project needs to advertise by the end of September 2027.)
  - The PM is responsible for submitting the following documents to the PCO pre-letting specialist to officially schedule the project:
    - DDIR
    - Project schedule

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- The PM is responsible for following the Project Schedule section.
- If the project is not in STIP, the PCO pre-letting specialist notifies the AWP administrator to add the project.
  - The PM is responsible for providing any additional information the AWP administrator may need to add the project to AASHTOWare Project. This allows the pre-letting specialist to schedule the project and the region estimator to enter the estimate in Estimation. Include the following information:
    - M number
    - Project name
    - Federal aid number
    - Highway type
      - Federal aid interstate
      - Local (not federally participating for ER)
      - Minor arterial
      - Major collector
      - Minor collector
      - Principal arterial
    - Improvement type
      - Construction
      - Reconstruction
      - Widening and resurfacing
      - Resurfacing
      - Structures
      - Minor improvement project
      - Landscaping
      - Safety and traffic control
      - Signalized intersections
      - Railroad signals
      - Rock production
      - Unique
      - Rockfall and slide protection
    - Urban or Rural project?
    - ODOT or consultant project?
      - If the consultant needs access to create the estimate, who is the consultant?
    - PE EA
    - Project location
      - Highway(s)
      - Mile points
      - County(ies)
      - Bridge number, if applicable
    - TERO partner and percentage, if known
    - Identify any unusual funding

### Project Delivery Manual

#### DESIGN ACCEPTANCE PHASE:

- Follow [DAP](#) steps for STIP projects.
- Follow [mobility considerations checklist](#) steps.
  - ER projects are to replace in kind and not a betterment. The mobility impact is a result of the event. There should be no permanent impact.
  
- Be aware of impacts that are subject to [ORS 366.215](#) which includes permanent reduction of horizontal or vertical clearance of the state highway system.
  - Best practices – reach out to Mobility program to discuss requirements if there is potential for permanent reduction of horizontal or vertical clearances, even if it's just inches.
  - Examples:
    - Adding guardrail that reduces horizontal clearance by inches with new standards
    - Adding guardrail where guardrail wasn't before
    - New box culvert limits shoulder width
    - Add sidewalk where sidewalk wasn't before
  
- PM works with REC to complete ER PCE form for ER projects not obtaining permanent right-of-way.
  - ER projects obtaining permanent right-of-way must follow the standard environmental process and documentation.
  - REC will inform PM of all associated environmental requirements.
  - See NEPA Manual.
  
- The following items are not required for DAP:
  - DAP phase gate submittal to PCO.
  - DAP checklist
    - While the DAP checklist is not required, it is recommended at the regional level to ensure the work is complete.
  - Design narrative.
  - DAP exception request (DAPER).
  - STR.

#### PRELIMINARY PLANS, ADVANCE PLANS, & FINAL PLANS

- Preliminary Plans and Advance Plans milestones are not required.
  - The PM and AM determines the necessary milestone reviews needed for technical sufficiency and quality control.
- AASHTOWare Estimation must be used for all estimates.
- Optional work, betterments, or unnecessary work to complete the repair should not be done without approval from FHWA and approved through the DDIR.
- Follow [Preliminary Plans](#), [Advance Plans](#), and [Final Plans](#) steps for STIP projects and determined necessary by the region.

# Project Delivery Manual

### CHANGES TO SCOPE, SCHEDULE, AND BUDGET

- The PM is responsible for coordinating any deviations from the DDIR with District, District and PM will coordinate with FHWA and getting FHWA approval through email or updating the DDIR.
  - The PM is responsible for discussing and informing emergency operations, the STIP coordinator, federal aid programmer, FHWA operations engineer, and PCO pre-letting specialist of any changes.
  - Increases to the budget must have an email from FHWA approving the increase.
  - Change to the scope must be approved on an updated DDIR.

### PLANS, SPECIFICATIONS, & ESTIMATE

- Follow [PS&E](#) steps for STIP projects.
  - If the project is in STIP, the PS&E Submittal Checklist must be used.
  - If the project is not in STIP, the ER PS&E Submittal Checklist must be used.
    - Contact the PCO pre-letting specialist for the ER PS&E Submittal Checklist.
  - In addition to the [PS&E Set documents](#), include the following in the PS&E Set:
    - Approved DDIR
    - FHWA budget approval email, if different than DDIR

### BID OPENING

- PCO will notify the AM if the low responsive bid is greater than the FHWA approved budget.
  - If the low responsive bid is greater than the FHWA approved budget (even if it's \$1), AM must request FHWA Operations Engineer approval for the additional amount to award the construction contract.

## Procurement

### Consultant Evaluations for A&E

See the following internal link to the [Consultant Evaluation SharePoint](#) site.

### Construction Procurement

FHWA delegates procurement methods and compliance to ODOT. ODOT has varying methods of procuring contracts. ODOT Procurement Office (OPO) Goods, Trades, and Services (GTS) and the Project Controls Office (PCO) procure federally funded construction contracts. FHWA defines construction in 23 CRF 101 as “The term “construction” means the supervising, inspecting, actual building, and incurrence of all costs incidental to the construction or reconstruction of a highway or any project eligible for assistance under this title...”

GTS (aka regional procurement) primarily supports goods, trades, and services (GTS) contracts.

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PCO, in coordination with OPO-Construction, processes federally funded construction contracts and permanent emergency relief contracts. Federal requirements are required on projects with \$1 or more of federal funds.

OPO and PCO have agreed that federally funded construction contracts will be procured through PCO to ensure compliance with FHWA stewardship and oversight agreement and FHWA Contract Administration Core Curriculum. See the ODOT Contract Procurement Method: PCO vs OPO Goods, Trades, and Services (GTS) flow chart to determine if a contract can be procured through GTS or PCO. The GTS Team does not have the resources and system interfaces to support statewide project delivery for Federal Aid contracts and therefore rely on PCO.

The following table shows the differences between GTS and PCO for federal requirements:

<b>Federal Requirements</b>	<b>GTS</b>	<b>PCO</b>
DOJ Review	All federally funded contracts require DOJ review no matter the value of the contract	Has a conditional exemption from DOJ legal sufficiency review and approval
General Conditions	Use of 2012 DAS State of Oregon General Conditions for Public Improvement Contracts (not approved or allowed by FHWA)	Has FHWA approved specifications - ODOT boilerplate special provisions and Standard Specifications for Construction in construction
Independent Cost Estimate	No resources	PCO performs Engineer's Estimate
Bid Analysis	No resources	PCO performs Bid Analysis and Recommendation
Contractor payment and retention	OregonBuys	Construction Pay System (CPS)/AASHTOWare Project Construction
QA/QC	No resources	PCO reviews all PS&E documentation prior to sending the projects to FHWA for approval to advertise
Certified inspectors, certified testers, or certified labs	No specifications	ODOT boilerplate special provisions and Standard Specifications for Construction include language
Davis-Bacon wage rates	No specifications	ODOT boilerplate special provisions and Standard Specifications for Construction include language

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Quality control plan	No specifications	ODOT Manual of Field Tested Procedures (MFTP) and Non-Field Tested Materials Acceptance Guide (NFTMAG)
Buy America and BABA	No specifications	ODOT boilerplate special provisions and Standard Specifications for Construction include language
HB3332 - State Buy America	No specifications	ODOT boilerplate special provisions and Standard Specifications for Construction include language
NEPA	Does not confirm requirements	PCO confirms documents are complete
Civil Rights goals	Only looks at non-federal requirements	PCO confirms goals (DBE, TERO, OJT) are set and not stale
Contract Administration	Left to region	Hand off to construction office or consultant following construction manual
Historical Bid Item Prices	No system	AASHTOWare Project Estimation

**Separate Contracts**

Federally funded separated contracts must meet all federal requirements and go through the PCO. State funded separated contracts can go through regional procurement. Only one construction contract is allowed in the construction phase of the STIP. Therefore, separated contracts must be in the OTHER phase of STIP, regardless of the contract being state or federally funded. FHWA must be consultant on all proposed separated contracts along with PCO.

FHWA considers contracts that are a direct result of or are needed for a federally funded construction phase to be considered construction. Examples of separated construction contracts include tree clearing, plant establishment, building demolition, etc.

**Emergency Relief (ER)**

All emergency relief projects require a DDIR with approval by FHWA. The DDIR will determine if the project is a temporary emergency relief project or permanent emergency relief project.

All temporary ER contracts may use various types of procurement including but not limited to GTS, PCO, and emergency procurements. Refer to OPO guidance on what is available for this work.

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Permanent ER contracts must go through PCO. The contract must meet all federal requirements. See the [Permanent ER section](#) for additional guidance.