



Project Controls Office Phase Gate Delivery Manual

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Updated 10/24/19 to add Alternative Delivery instructions

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

Updated 1/28/20 to add Risk Register requirements.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Updated 4/8/2024 to remove emergency repair information that is included in the Maintenance Guidance and FHWA ER Manual; add PI Submittal Checklist information; add project information needed to accurately provide placeholder; remove price plus multi-parameter information that is included in Price Plus Method Guide; clarify bid date selection and federal fiscal year information; add project naming convention information; update OECR goal email requirements; clarify PD-02 exception letter information; update STR information to be in line with region technical center quality plan; clarify addenda due dates; clarify project re-bid information; and update the Project Scheduling and Rescheduling Matrix.

INTRODUCTION

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

Effective May 15, 2019, the Project Development Improvement Initiative Team (PDII) instituted new phase gate requirements at Project Initiation, DAP and PS&E. Any project reaching Project Initiation after this date is required to submit the phase gate requirement sets to PCO for review. The defined processes are in effect in order to track project scope, schedule and budget baselines and ensure project standardization and transparency early in the project development and delivery cycle. Anticipated phase gate dates will be baselined at Project Initiation, and project “actual” date snapshots will be recorded at DAP and PS&E. Additionally, **ALL projects experiencing a change in scope, schedule or budget after May 15, 2019, must submit a Change Management Request (CMR) prior to making these changes.**

Phase reached prior to 5/15/19	Project Initiation Submittal Required	DAP Submittal Required	PS&E Submittal Required
Kick-off	X	X	X
Project Initiation	NA	X	X
DAP	NA	NA	X

- All phases are *encouraged* to be recorded, but not required based on the above chart

Figure 1: Phase Gate Submittal Requirement Timing

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

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

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

Effective January 1, 2020, [Highway Directive DES 01-02, Managing Project Risks for ODOT STIP](#) was published to provide direction on when and how the Risk Register must be used throughout the project delivery lifecycle. The Risk Register is intended to provide support in the identification and management

of scope, schedule and budget risks for all STIP projects. Created at Scoping, the Risk Register must be included as part of the Project Initiation, DAP and PS&E Submittals.

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For emergency relief projects, refer to the [Maintenance Guidance, Annex "T"](#) under Emergency Operations and the [FHWA Emergency Relief Manual](#). PS&E related requirements are modified as described in Annex "T".

All emergency repairs should be discussed with the FHWA Region Operations Engineer to determine appropriate category of repair (emergency or permanent), and procurement method. Once the category is determined, region coordinates with PCO.

SECTION 1 – COMPLETING THE PROJECT INITIATION SUBMITTAL AND SCHEDULING

During the Project Initiation Phase Gate, the project team will work with the Area Manager to develop the project documents that will be required for initial approval prior to baselining the scope, schedule and budget for the project. The [required documents](#) will include the [Project Charter](#), [CMR-00](#), the [Risk Register](#) and a pdf copy of the Microsoft Project Schedule. Any Project Initiation phase gate supporting documents that will assist to illustrate the project can be included but are not a requirement. The [Project Initiation Submittal Checklist](#) is an optional tool designed to ensure a comprehensive and complete project initiation submittal. See [Section 3](#) and the [Bid Date Schedule and Reschedule Matrix](#) for steps to request a bid date placeholder prior to submitting project initiation.

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

1.1 REQUIRED PROJECT INITIATION DOCUMENTATION

1.1.a. PROJECT CHARTER

The [Project Charter](#) will serve as the agreement for the scope, schedule, budget, approach and risks of the project. It will provide direction to the project team and determine the baseline of the scope, schedule and budget for each project. A Project Charter is a requirement for **every** STIP project that will be delivered by the State on the State system. The Project Charter will be developed by the Project Lead, Project Team, the Area Manager and appropriate discipline Program Manager(s) and/or funding manager(s). It must be consistent with the information in the Final Business Case (created at Scoping). Submit digitally signed Project Charter in the K#####_PI_SET (**PM_K#####_PC_##**). Once the Project Charter has been approved, no further changes can be made to it. All subsequent changes to the project after the Project Charter has been signed will be handled by the CMR process.

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

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

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

- **Project Budget (Funding)**
 - Phase Total Estimated Cost – enter the current programmed STIP amount for each phase
 - Current Estimate – enter the current region estimate for each phase
- **Signatures** – All Fields will be checked for completion, and that digital signatures have been obtained

1.1.b. CMR-00

The [CMR-00](#) (Change Management Request) will document any changes that have taken place from scoping (Final Business Case) and adopted STIP to what is being proposed in the Project Charter. The CMR-00 is the baseline CMR. Any subsequent changes to the project will be consecutively numbered after the submittal and acceptance of the CMR-00. A CMR will be triggered when the scope changes, the budget increases/decreases, or the schedule moves out to cause subsequent milestones to change. Additional guidance is provided in [Operational Notice PD-19](#). Submit a digitally signed CMR-00 in the K#####_PI_Set (**PM_K#####_CMR_00**).

The Pre-Letting Specialist will check the CMR-00 for the following:

- **Date of Request**
- **CMR Number**
- **Project Lead**
- **Project Name** – must match the name in STIP record **exactly** (*OR a change to the name is described in the CMR that can be matched with a STIP Amendment in progress*)
- **KN** (key number), **Region**, **Area**
- **Funding Programs** – participating funding programs have been identified
- Anticipated **Amendments** have been identified.
 - If “yes”, **Supporting Documents** have been attached
- **Change** - identified, and reason for that change has been clearly illustrated
- **Current Scope** - clearly illustrated
- **Describe Scope Change** - clearly illustrated (if applicable on the CMR-00 vs the Business Case created at Scoping)
- **Current Dates** and **Proposed Dates** - placeholder dates match the current RMS Schedule
- **Describe Schedule Change** - clearly illustrated
- **Justification for Scope Change** - clearly illustrated
- **Phase Total Estimated Cost** - (currently programmed in the STIP) has been completed for *each* phase
- **Requested Budget** - identified for any phase being changed

- **Change** - (in dollar amount) between the Phase Total Estimated and the Requested Budget has been entered for any changes made
- **Describe Budget Change** - broken down by Funding Program, clearly illustrated
- **Justification for Budget Change** - clearly illustrated
- **Describe the Risk of not Approving the Budget Change** - clearly illustrated
- **Signatures**
- **CMR** - approved/denied (one box checked)

1.1.c. PROJECT SCHEDULE

The MS Project Schedule (MSPS) must include at minimum, the identified required milestones. The Pre-Letting Specialist will compare the MS Project Schedule submitted to the current published MS Project record to ensure the dates match the most recent CMR and match the dates in the Project Charter.

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

****When scheduling a project with a Mandatory Pre-Bid meeting, include the required additional 2 weeks of advertisement length to your schedule. Be sure to clearly indicate in your project documentation that a Mandatory Pre-Bid meeting is intended.***

1.1.d. RISK REGISTER

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

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

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

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

After confirming the bid date is available on the [Bid Date Planning and Status report](#), contact the Pre-Letting Specialist prior to finalizing CMR and MSPS for the placeholder date, advertisement length and PS&E due date. The Pre-Letting Specialist will check the [Bid Date Planning and Status report](#) to ensure the requested bid date is available, and the project type of work and budget do not conflict with other projects on the same bid date. If the date is available, a placeholder bid date will be provided to the TPM/RE-CP. After the Project Initiation package has been accepted, the project will be officially scheduled. For additional considerations regarding Bid Date Scheduling, refer to the [Bid Date Selection](#) section and the Project Scheduling and Rescheduling Matrix in [Appendix F](#). The Pre-Letting Specialist will update both the Bid Date Planning and Status report and STIP-FP with the new bid date.

The PCO Pre-Letting Specialist needs the following information to provide a placeholder bid date:

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

Once the Pre-Letting Specialist issues the placeholder date and provides an advertisement length and PS&E due date, the TPM/RE-CP must submit required documentation to the Pre-Letting Specialist within the timelines referenced in the Bid Date Schedule and Reschedule Matrix. Once required documentation is received, PCO will advance the project to an official bid date. Anticipated (bucketed) construction projects will be in a placeholder until the CN phase is programmed in STIP-FP.

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

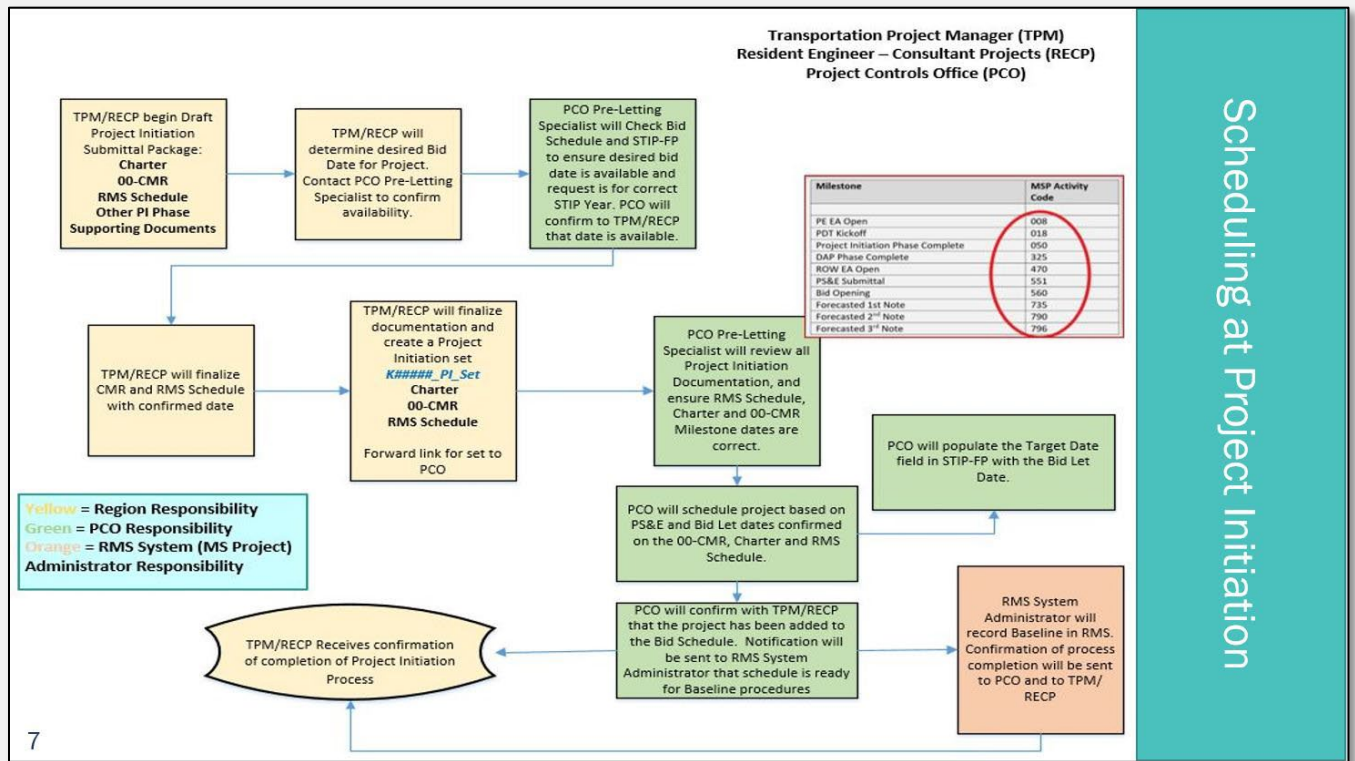


Figure 2: Project Initiation Scheduling Workflow

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

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

Figure 3 - Project Initiation Internal Checklist Example

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

2.1. REQUIRED DAP DOCUMENTATION

At the end of Design Acceptance phase, the TPM/RE-CP and Project Team will prepare the documentation set that will be required for the project to be advanced through DAP. DAP phase gate requirements include the [Design Acceptance Memo and Checklist](#), RMS Schedule, [Risk Register](#), and the [ODOT Design Narrative - DAP](#). Any supporting documentation to illustrate the project can be included, but it is not a requirement. This supporting documentation will be project-dependent and vary depending on the type of project.

2.1.a. DAP ACCEPTANCE MEMO AND CHECKLIST

The DAP Acceptance Memo and Checklist is two documents combined. The Pre-Letting Specialist will check that both are attached. Submit digitally signed DAP Acceptance Memo with DAP Checklist in the K#####_DAP_Set (*PM_K#####_DAM_##*)

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

- **Key Number**
- **Project Name** - must match STIP record *exactly*
- **Date** - Certification of Design Acceptance was completed
- **Region**
- **County**
- **PE EA**
- **Project Description** - consistent with the “Project Description” field in STIP, but should expand on:
 - Project location
 - Purpose and need this project is addressing
 - Description of work to be performed
 - What elements of the project are in scope, what elements are out of scope
 - Opportunities and/or issues identified
 - Potential solutions to identified issues
 - Outcomes, goals and priorities of the project
 - Description of work to be performed
- **Project Schedule Milestones**
 - Baselined Dates must match the currently published MS Project Record dates for all phases
- **Project Budget (Funding)**
 - *Current STIP Obligation FFY (Federal Fiscal Year)* – identify the current programmed year for each phase
 - *MS Project FFY* – identify the current programmed year in MS Project
 - *Phase Total Estimated Cost* – identify the current estimated cost programmed in STIP for each phase
 - *DAP Estimate* – identify the current Region estimate for each phase
 - *Expended to Date* – identify the expenditures to date for each phase
 - *Total Project Funding/Estimate* – determine if the DAP estimate exceeds the current STIP programmed amount. **A CMR and STIP Amendment will be required if so.**

- **Statement of Project Readiness** – Check one box. If there are outstanding deliverables, the Pre-Letting Specialist will confirm that DAP Exception Letter(s) has been included in the set.
- **Signatures** – All Names, Titles and signatures have been completed

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

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

2.1.b. ODOT DESIGN NARRATIVE - DAP

The ODOT Design Narrative – DAP (aka DAP Narrative) must clearly and concisely describe the project, including the purpose, scope and desired outcomes. Submit the ODOT Design Narrative – DAP in K#####_DAP_SET (**PM_K#####_DAPNarr_##**).

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

- **Key Number**
- **Project Name** matches the STIP record ***exactly***
- **Date** ODOT Design Narrative – DAP was completed
- **Region, County, Highway Name, BMP/EMP, Route Number, Highway Number**
- **PE EA**
- **PS&E Date**
- **Project Data**
 - Each field of this section shall be completed by the appropriate discipline team member
- **Project Location and Overview** – description of the physical project location, area is clearly illustrated. A Photo in .jpg, .png., bmp, or .tif should be included, if available
- **Project Management** - summary will include:
 - Changes to the project scope, purpose, need and design solution from what was included in the Project Charter.
 - Changes to baselined schedule
 - Changes to baselined budget as compared to STIP
 - Project Risk/Outstanding Issues – includes mitigation strategies to address these identified risks (including footprint, resourcing, schedule, stakeholders, agreements from other entities, ROW hold-outs)
 - Next steps are clearly illustrated
- **Intergovernmental Agreement (IGA)** – state of any associated IGA’s and their number
- **Public Engagement** – Outreach efforts and Public Involvement Plan, clearly illustrated. Include link to project website, if created.

- Describe any public/political support, if applicable
 - Include responses of stakeholders (petitions, correspondence, political commitments etc.)
- **Planning and Local Permits** – include any planning documents applicable to this project,
 - Relevant design standards/projects/policies that are in effect
 - Plans, designations, regulations or previously issued permits that could influence the design of the project
 - Expected Local Land Use Permits (development, conditional use, floodplain, right-of-way, etc.)
- **Constructability** – all issues, staging concerns, construction window considerations, length of project completion time, advance construction, separate contracts are identified and clearly illustrated
- **Access Management** - Access Management Strategy, including impacts and risks is clearly illustrated
- **Roadway** – all design criteria, controls and elements are clearly illustrated, including ADA considerations
- **Alternatives Studied** – alternatives considered and criteria for selecting the preferred delivery option is clearly illustrated
- **Bicycle, Pedestrian and Transit Facilities** – existing and proposed improvements or maintenance on bicycle, pedestrian and transit facilities, clearly illustrated
- **Traffic Data** – include crash history, SPIS locations, and traffic unit recommendations
- **Traffic Safety and Operational Elements** – include planned illumination, signal, rumble strip, curve warning, ITS and other safety elements, clearly illustrated
- **Work Zone, Mobility, Staging and TPAR** – include a high-level overview of
 - TMS used to manage the temporary work zone, identify the potential impacts and accommodations to the travelling public, including anticipated detours
 - Detail construction staging plans
 - Temporary Protection and Direction of Traffic plans with site-specific safety issues detailed
- **Pavement Marking and Permanent Signing** – signing and striping design elements, clearly illustrated
- **Hydraulic/Drainage/Stormwater** – describe any design deviations, hydraulic issues, and any approvals that are required, if applicable
- **Pavement Design** – describe
 - any alternatives that were considered
 - special features that have been included in the project
 - existing surface conditions
 - overview of the approach pavement design at bridge approaches, if applicable
- **Bridges** – describe

- Design controls, criteria and innovations
- Structural issues to be considered
- Alternatives studies
- Special design elements
- ADA considerations
- Value Engineering
- **Rail** – describe any involved rail crossings, rail crossing orders, any alterations to existing crossings, clearly illustrated
- **Roadside Development** – describe erosion control, planting plan and wetland mitigation plans
- **Other Structures** – detail any non-standard structures that are applicable to this project, including design controls, criteria and innovations
- **Geological, Material Source/Disposal Sites** – describe any geological considerations associated with this project, including
 - Federal, State or local permit requirements
 - Include a summary of the Geology Memo
- **Hazardous Materials** – summarize Hazmat Memo for this project
- **Geotechnical Considerations** – summarize Geotechnical Memo for this project, list any design deviations applicable, clearly illustrated
- **Environmental and Required Permits** – include
 - Wetland, Waterways and Water Quality
 - Biological threatened or endangered species
 - Fish Passage
 - Historic and Archaeology
 - Visual Impacts
 - Air, Noise or Energy Impacts
 - 4f/6f
 - Pre-Con Activity
 - Socioeconomic Impact
 - Erosion Control
 - List and describe any environmental variances, clearly illustrated
- **Survey Control and Right of Way Retracement** – include general limits, quality level utilities and special features, clearly illustrated
- **Right of Way** – List R/W Liaison, estimate cost of any acquisitions, their nature and any displacements possible
- **Utilities** – List utilities, including the issues and risks associated with this project
 - Include Draft Utility Conflict List
 - Considered extra conduits for Urban Growth Boundaries
- **Maintenance Elements** – list locations prone to potholing, cracking, sinking, slides or rock falls, etc.
 - Include any ODOT permits required

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

2.1.c. DAP SUPPORTING DOCUMENTS

2.1.c.a. RAILROAD CERTIFICATION FORM

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

2.1.c.b. CMR

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

2.1.d. DAP EXCEPTION LETTER

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

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

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

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

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

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

Project Controls Office

Phase Gate Delivery Manual

For a quick guide on how to deliver the Design Acceptance phase milestone requirements to the Project Controls Office, refer to the [ProjectWise Business Process: Project Initiation to Bid Opening](#).

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

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

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

Figure 4- PCO DAP Internal Checklist

SECTION 3 – PS&E SUBMITTAL SCHEDULING

The Project Controls Office (PCO) staff are available to meet and discuss projects prior to Plans, Specifications and Estimate (PS&E) submittal. Pre-PS&E submittal meetings are typically used to go over the [Final PS&E Checklist](#) and Final PS&E Completeness Checklist, and to discuss any open issues on a project. These meetings are highly recommended, especially for new providers or complex projects and plan sets over 300 pages, to ensure the PS&E process goes quicker and smoother for everyone involved. The [Project Delivery Quality Assurance Checklist](#) is an optional tool designed for project development teams to perform QA, starting at DAP, and is intended to minimize deficient issues at PS&E. The Bid Date Planning & Status Report (ODOT only) shows which PCO QA reviewer is assigned to the project. If your project does not yet have a QA reviewer assigned, contact the [ODOT Pre-Letting Specialist](#).

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

Figure 5: Bid Date Planning & Status Report

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

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

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

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

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

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

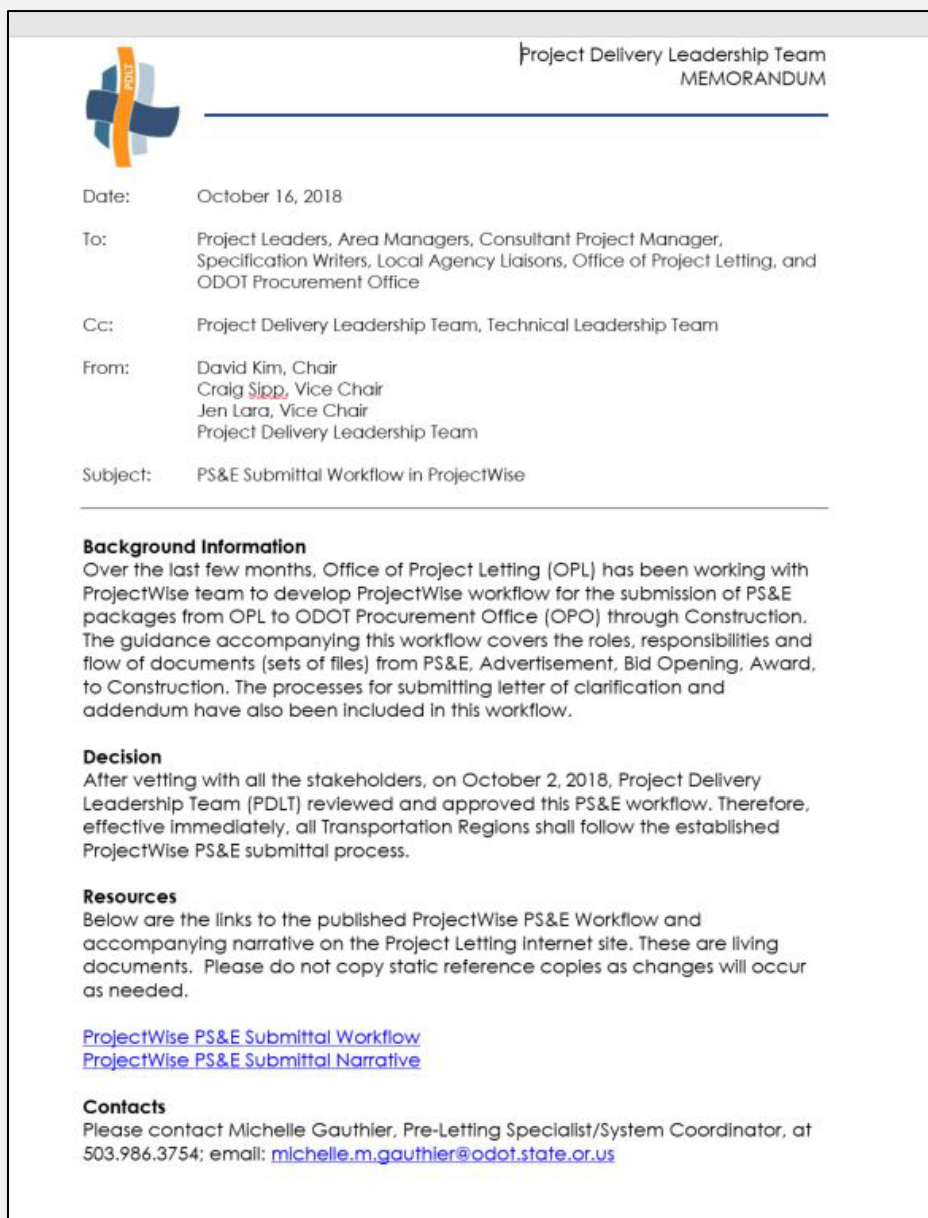


Figure 6: PS&E Submittal Workflow in ProjectWise Memo

Effective December 2016, all ODOT Highway Construction projects that reach DAP after this date are required to be delivered to PCO via ProjectWise and utilizing [digital signatures](#). The requirements have taken into consideration the State, engineering boards, and ODOT requirements, and have been added

to this manual to assist all TPM/RE-CPs. Effective October 2, 2018, Project Delivery Leadership Team (PDLT) reviewed and approved the [PS&E Business Process for ProjectWise](#).

3.1. BID DATE SELECTION

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

PCO considerations:

- Target 8 total projects per bid date
- Target 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 cost estimate at or above \$40 million should 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 large project
- No projects scheduled when a major holiday or industry conferences is in the same week (see OPO's [Calendar of Bid Opening Dates](#))

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

The PCO manages the project bid lettings posted on the ODOT Procurement Office (OPO) website.

3.1.a. FEDERAL FISCAL YEAR BID DATE PLANNING AND APPROVALS

The Federal Fiscal year for project delivery is October 1 – September 30. Bid dates and the associated PS&E dates are critical to ensure a project is scheduled within the federal fiscal year approved by the Oregon Transportation Commission (OTC) and Federal Highway Administration (FHWA). If the PS&E date is not scheduled to allow obligation of funds 1 week prior to the advertisement date, FHWA will not be able to approve or obligate the project in FMIS, resulting in a project not being obligated within the correct Federal Fiscal Year.

FMIS typically shuts down around September 25th for 2-3 weeks and opens back up between October 10th – 15th. The process for federal funds to be obligated from FHWA can take anywhere from 2-3 weeks and must be completed 1 week prior to the scheduled project advertisement date. To ensure obligation

of the project prior to the close of the federal fiscal year, the last PS&E due date has been set to the last week of August. The first PS&E due date for the following federal fiscal year will be set to the second week in October.

PCO requires notification of any changes to bid dates as soon as changes are known. The 12 Month Schedule of Contract Bid Lettings imports project information from Microsoft Project (MSP), AASHTOWare Project and STIP-FP, and is posted at the beginning of each month on the [OPO Letting Schedules](#).

For multi-parameter projects (e.g. A+B, A+C+D) see the Price Plus Method Guide for considerations for bid date selection. The Price Plus Method Guide is available from PCO.

3.2. TIMETABLE FOR PS&E SUBMITTALS

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

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

3.3. ADVERTISEMENT LENGTH

The Code of Federal Regulations ([23 CFR 635.112\(b\)](#)) require federally-funded projects to have a minimum advertisement period of 3 weeks. For 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 Considerations:

- **Requirement for a mandatory pre-bid meeting (increase of 2 weeks to 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 ([Project Scheduling and Rescheduling Matrix](#)).

For multi-parameter projects (e.g. A+B, A+C+D) see the Price Plus Method Guide available from PCO.

3.4. PROJECT NAMING CONVENTION

ODOT has a standard naming convention for STIP projects. See the [STIP Project Naming & Description Convention](#) guidance on the [STIP Documents](#) webpage for naming convention.

The project title is to match the STIP project title 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 Final PS&E Checklist. The project name must match exactly in these documents. Contract plans require the project information on the title sheet is all capital letters. 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 by space limits) need to be included on the plans. A section is defined as a continuous piece of roadway from one location to another. A project is defined as a single or multiple spot locations.

Project naming convention is different than the ProjectWise File Naming Convention.

3.5 PROJECT RESCHEDULE

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

SECTION 4 – COMPLETING THE FINAL PS&E SUBMITTAL CHECKLIST AND FINAL PS&E COMPLETENESS CHECKLIST

[Operational Notice PD-02](#) requires that for Final PS&E Submittal the Region provide certainty of the completeness of a project for advertisement through ODOT Procurement Office (OPO). The four deliverables for Final PS&E Submittal identified by PD-02 are:

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

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

The Final PS&E Submittal Checklist (Page 2 of document) defines the items that must be **delivered** to PCO for the project to go to advertisement. Projects that are submitted with incomplete items on the Final PS&E Submittal Checklist may risk having their advertisement and bid opening date rescheduled. The requirements do not differ for projects delivered in ProjectWise vs. paper delivery, but the format of the deliverables does. There are two versions of the Checklist to accommodate these differences. The [Final PS&E Submittal Checklist](#) is the appropriate form to use when delivering mylar and paper. Mylar plans will only be accepted for Local Agency projects that kicked-off prior to Local Agency projects being included within the ProjectWise file management system. The [Final PS&E Submittal Checklist for ProjectWise](#) is the appropriate form when delivering all documents electronically. Individual Final PS&E Submittal Checklists have been provided for the [A+B](#) and [Multi-Parameter](#) methods. The correct checklist must be used to proceed with PS&E review. The A+B and Multi-Parameter checklists can be obtained from the Project Development Office when the decision is made to deliver the project via one of these methods.

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

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

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

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

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

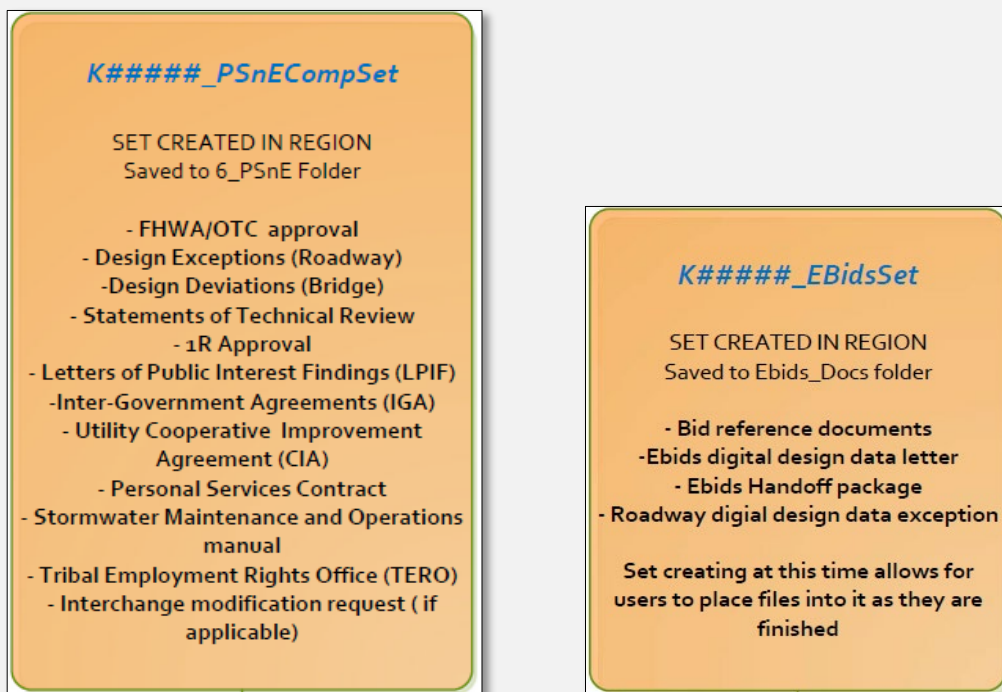


Figure 7: PSnE Comp Set & eBIDS Set Document List

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

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

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

4.1. PROJECT INFORMATION/SIGNATURE PAGE

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

RESET

ODOT Statewide Project Delivery Unit | Project Controls Office (PCO)

FINAL PS&E SUBMITTAL CHECKLIST

(This document is maintained by the PCO Pre-Letting Unit. E-mail update and change requests to: [ODOT Pre-Letting Unit](#))

Key number: _____ ODOT Region: _____ County: _____

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

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

Quantity of Bidding Special Provisions and Plans for the RE’s office: *Special Provisions* _____ *Plans* _____

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

Construction Federal Aid # or "State": _____

Type of work: (Should match title sheet) _____

1. **Total Construction Project Estimate** = \$ _____ as of _____
("Total Estimated Construction (CN) Budget Needed" from AWP Estimation) Date
2. **Phase Total Estimated Cost - STIP Amount** = \$ _____ as of _____
(CN - Construction Phase; from STIP-FP) Date

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

STATEMENT OF PROJECT READINESS: <check one>

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

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

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

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

ODOT Area Manager/Funding and Program Manager

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

ODOT Region Technical Center Manager

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Figure 8: Final PS&E Submittal Checklist

The TPM/RE-CP should work with the Resident Engineer’s office to determine how many bidding documents will be required. If there is a question about how many documents have been typically sent out to the Region on past projects, please contact the [ODOT Procurement Office – Construction Contracts Unit](#).

The Area Manager or Region Funding and Program Manager’s signature is assuring completeness of the project prior to bid as well as funding sufficiency. PS&E cannot be accepted if a full STIP amendment has not been approved by FHWA. The criteria for full STIP amendment requirements can be found in the [ODOT-FTA-FHWA Amendment Matrix](#). For questions regarding STIP amendments, contact the appropriate [STIP Coordinator](#). See [PDB-04](#) for more information.

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




Figure 9: Final PS&E Checklist Funding Information

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

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

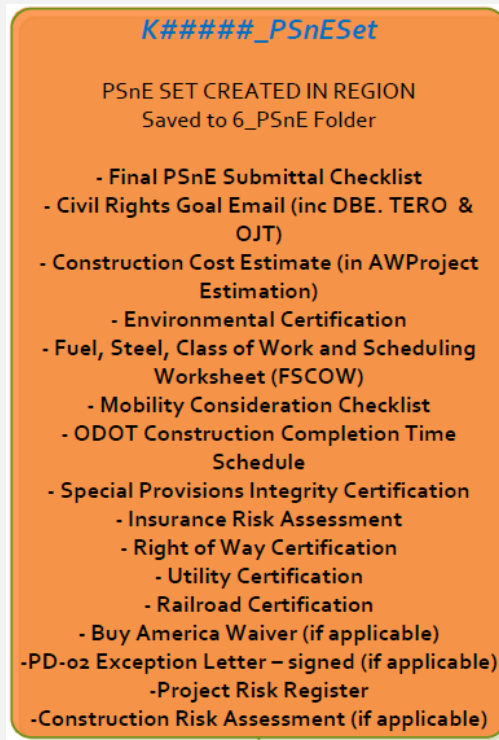


Figure 10: PSnE Set Document List

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

4.2.a. FINAL DESIGN PLANS

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

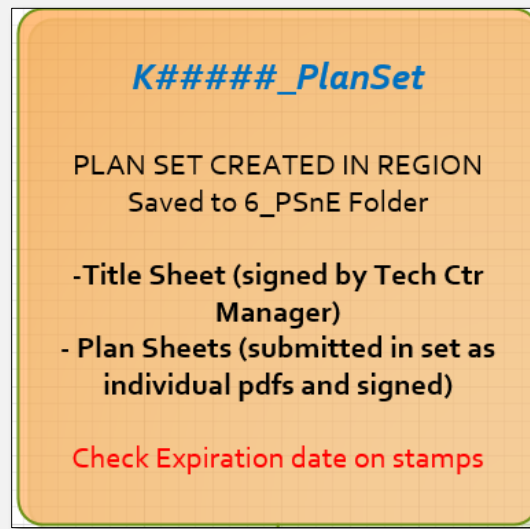


Figure 11: Plan Set Document List

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

1. Title Sheet

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

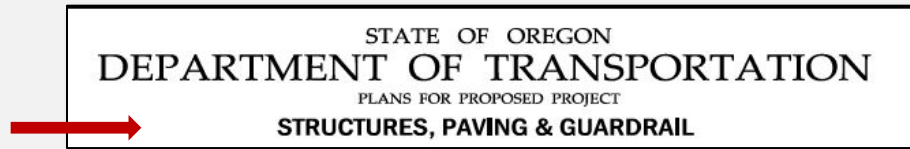


Figure 12: Type of Work Title Sheet Location

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



Figure 13: Title Sheet Bid Date Location

2. Plan Sheets

- a. **Roadway V-Numbers:** The Roadway V-Numbers are established approximately 90 days before bid opening. The V-Numbers are obtained from [ODOT’s Maps and Plans](#) website. Roadway V-Numbers are reassigned every November 1st. If a V-Number is assigned to a project for any bid opening through October but the project is delayed beyond the last October bid opening date, a new V-Number will be required and a new request must be made. Contact the [ODOT Maps and Plans Center](#) for questions regarding V-numbers.

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

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

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

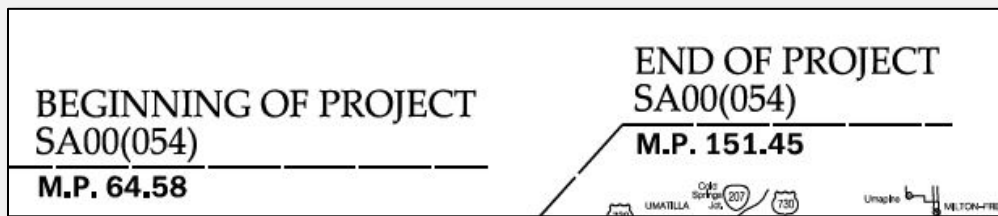


Figure 14: Project Limit Title Sheet Location

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

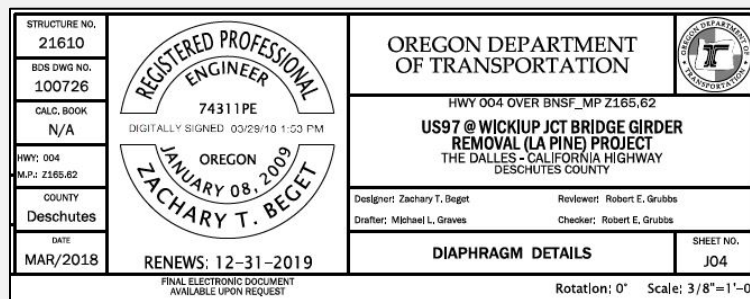


Figure 15: POR Stamp Example

- d. **Index of Sheets:** Include all of the required [Standard Drawings](#) on the Index of Sheets. The final contract plans are compiled with the Standard Drawings on this list only. Standard Drawings not listed on the Index of Sheets will not be included in the final contract plans for construction. (Standard drawings are added by the ODOT Procurement Office at time of assembly of the Contract Plans for Construction.)
- e. **Traffic Signal Plan Sheets:** All Traffic Signal drawings require review by the ODOT Traffic Roadway Section (TRS) Traffic Standards Unit. The Traffic Signal drawings require approval of TRS if the signal items are on a State highway. Before the TRS places their digital signature, ensure there is a signature field placed for the TRS before the POR placed their signature in the seal. If this is not done, the sheets cannot be signed by the TRS without invalidating the POR's signature. If the signal items are on the local system, the local or consultant POR will sign the Traffic Signal drawings. See the [ODOT Traffic Standards](#) website for more information on the Traffic Signal Design Approval process.



Figure 16: Traffic Signal Plan Sheet Signature Example

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

4.2.b. COMPLETED ENVIRONMENTAL DOCUMENTATION

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

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

NEPA Class 2: If the project is NEPA Class 2 (Categorical Exclusion (CE)), which the majority of ODOT projects are, the fully signed CE Closeout Document (CE Closeout) or Programmatic CE Approval Document (PCE Approval) must be completed and signed by the Region Environmental Coordinator (REC) and submitted to FHWA for approval. PCE Approvals are reviewed and approved by ODOT (via

Region Environment Managers) as per the 2015 PCE Agreement between FHWA and ODOT, and CE Closeouts are reviewed and approved by FHWA. Another type of NEPA PCE approval document is called the “No Ground Disturbance” PCE (NGD) document. The fully signed CE Closeout, Approval, or NGD documents must be submitted with the PS&E package. *This item cannot be a PD-02 Exception.*

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

For questions regarding Environmental Documentation, contact the Region Environmental Coordinator (REC) or the Region Environmental Manager.

4.2.c. PROJECT SPECIAL PROVISIONS

All Project Special Provisions must be based on the current version of the Oregon Standard Specifications for Construction and the applicable Boilerplate Special Provisions available on the [PCO Specifications](#) website. The applicable version of the Boilerplate Special Provisions for use as Project Special Provisions are in the boilerplate sets named with the same month as the bid opening date for the project. The three most recent boilerplate sets are available on the website.

The Project Special Provisions are developed and compiled according to [ODOT Specifications Manual](#). The requirement is to use the Standard Specifications and Boilerplate Special Provisions unless there are project-specific, special circumstances that warrant the use of different or additional language. If modifications to the Standard Specifications or Boilerplate Special Provisions are warranted, the guidance in [TSB21-01\(B\) - Project Specific Special Provisions Review](#) must be followed. The State Specifications Engineer must approve any modifications to the Standard Specifications or Boilerplate Special Provisions. If the Region requires completion of the Project-Specific Provisions Summary form, [734-2798](#), it will be completed and maintained in the Region project files. A copy is not submitted as part of the PS&E submittal.

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

Class of Work: The Class of Work (COW) determines which pre-qualified contractors will be allowed to submit a bid on the project. Contractors must be pre-qualified in the stated COW. The COW is determined using the Fuel Escalation, Steel Escalation, Class of Work worksheet contained within the Fuel, Steel, COW and Scheduling program. If the COW is determined initially at Advanced Plans, it must be recalculated using the PS&E Estimate values just prior to submittal of the PS&E package. At PS&E

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

Contact the PCO QA reviewer, PCO cost estimator, or ODOT State Specifications Engineer if you have any questions on how to establish the COW for a project.

Some additional fundamental requirements for the Project Special Provisions include:

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

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

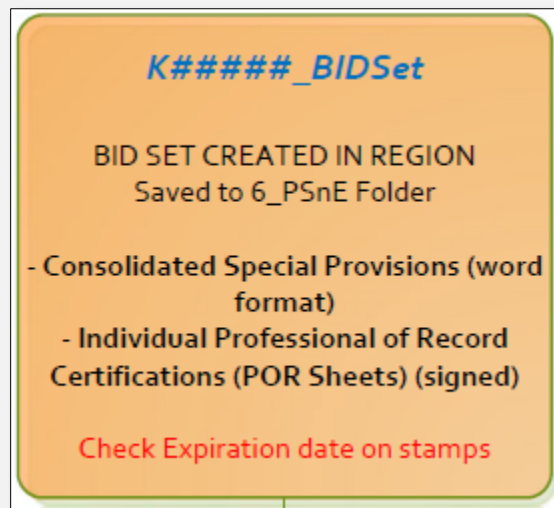


Figure 17: Bid Set Document List

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

For projects that have Statewide Project Delivery Branch and OPO Operations and Construction Managers' concurrence to utilize A+B or Multi-Parameter methods, the Unique Special Provisions, Special Provisions cover sheets and Bid Booklet cover sheets for these alternative contracting methods are available from the State Specifications Engineer.

4.2.d. POR CERTIFICATION

The POR is responsible for the appropriate selection and application of Specifications to their project design, and for sealing the POR Certification (aka "Signature Sheet") certifying the Special Provision

sections that are included in their design. Stamped and digitally signed, the POR Sheets will be included as individual files in the K#####_Bid_Set (*SP_K#####_POR_ABC*) (*ABC* = POR's initials) as part of the PS&E Submittal. The Part 00100 section of the Specifications should not be included on the POR Certification or stamped. These are the charge of the [ODOT State Specifications Engineer](#), and are covered under the [Project Special Provision Integrity Certification](#) (see Section 4.2.e.). If addenda modifying the Project Special Provisions are issued, then a new Signature Sheet is required to be completed when the final Contract Special Provisions are submitted. The new Signature Sheet will be incorporated into the contract.

The project Specification Writer is responsible for providing the .pdf formatted project Signature Sheets to the PORs for signature and compiling the final Project Special Provisions.

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

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

Figure 18 - POR Certification Sheet Example

4.2.e. SPECIAL PROVISION INTEGRITY CERTIFICATION

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

Oregon State Statute requires that the Department of Justice (DOJ) review all State contracts for legal compliance. Since the Standard Specifications and Special Provisions become part of a binding project construction contract, they must adhere to this requirement. Fortunately, because of the volume of

projects, ODOT has been given an exemption from full legal sufficiency review, provided the conditions listed in the DOJ Class Exemption are strictly adhered to:

- A. “Other than the fill-in-the-blank portions of the Part 00100 series of Specifications, ODOT and its contractors shall not add to, delete from or otherwise modify the Part 00100 – General Conditions, relating to general legal requirements without first obtaining DOJ approval.”
- B. “...ODOT shall not add any general legal requirements to the Part 00200 through 03000 series of the Specification (*including warranties, surety bonds, liquidated damages, penalties, bonuses, incentives, disincentives or general legal requirements of the type addressed in the Part 00100 series of Specifications*) without first obtaining DOJ approval.”

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

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

The image shows an email interface with the following content:

Oregon
Kate Brown, Governor

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

DATE: July 30, 2020

TO: Jaimé Viramontes
Project Controls Office Manager

CC: Samone Stinson

Aug 20 2020 1:53 PM

X Shane Terwilliger **✓**

FROM: Shane Terwilliger PLS

FINAL ELECTRONIC DOCUMENT AVAILABLE UPON REQUEST

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

I hereby certify that the following statements are true:

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

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

Certification with modification Page 1 of 1 Rev. 9-13-19

Figure 19: Special Provisions Integrity Certification Example

4.2.e.1. A+B AND MULTI-PARAMETER DOJ REVIEW FOR LEGAL COMPLIANCE

A+B and Multi-Parameter projects are outside of the exemption from DOJ legal sufficiency review and require full DOJ legal sufficiency review and approval.

4.2.f. DBE GOALS, OJT HOURS AND TERO

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

page in the Special Provisions is required to be included even when the DBE Goal is zero. The OECR DBE goal is valid for 180 days after the DBE goal date of issue and must be valid at PS&E. Any goal which exceeds the 180 days from the issue date, must be re-issued by OECR.

On-the-Job Training (OJT) hours will be included in the OECR email, as will the Tribal Employment Requirements Ordinance (TERO) calculation, where applicable. Submit one .pdf copy of the email from OECR showing the assigned DBE Goal for the project in the K#####_PSnESet (**SP_K#####_DBEGoalIssue_##**).

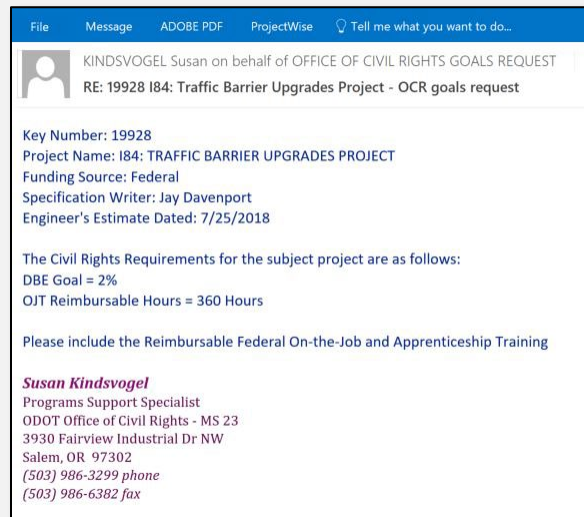


Figure 20: OCR Email Example

OECR will assign Goals, Aspirational Targets and OJT hours at the time the assignment is requested. Contact 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);
- Significant addenda adds a major scope or a significant amount of work proportional to the project.

This must be done prior to PS&E submittal.

4.2.g. CONSTRUCTION COST ESTIMATE

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

4.2.h FUEL INDEX AND SCHEDULING PROGRAM

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

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

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

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

Submit one .xlsx of the Fuel Escalation, Steel Escalation, Class of Work worksheet in the K#####_PSnESet (SP_K#####_FSCOW_##).

4.2.h.2. CONSTRUCTION TIME ESTIMATE

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

Submit one .mpp (Microsoft Project) of the Construction Time Estimate using the ODOT template ([Fuel Index and Scheduling Program](#)) in the K#####_PSnESet (SP_K#####_CTE_##).

4.2.i. PROJECT INSURANCE RISK ASSESSMENT SUMMARY

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

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

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

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

4.2.j. RIGHT OF WAY CERTIFICATION

A Right of Way Certification form must be completed and signed by the Region Right of Way Manager for all projects. PS&E submittals without a Right of Way Certification cannot be accepted and will cause the project bid date to be delayed.

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

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

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

Outstanding Right of Way Files (Certification 3 checked on the right of way cert) listed in Section 8 of the Right of Way Certification require a Letter of Public Interest Finding (LPIF) showing why it is in the public's best interest to proceed with the project at that time rather than delay advertisement until the right of way acquisition and relocation work is complete. See the [ODOT Right of Way Manual](#), Section 10.500 for LPIF guidance. Right of Way Certification Exception LPIF's are not included in the PS&E Submittal.

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

4.2.k. UTILITY CERTIFICATION FORM

The [Utility Certification](#) form must be completed on all projects. This form certifies that all utility work has been completed, or that all necessary arrangements have been made for it to be undertaken and completed as required for proper coordination with the construction schedule.

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

4.2.l. BUY AMERICA WAIVERS

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

In 2011, the Moving Ahead for Progress in the 21st Century Act (MAP-21) amended the Buy America Provisions. Specifically, Section 1518 of MAP-21 requires the application of Buy America to all contracts

within the scope of the same NEPA document, if at least one of the contracts or agreements contain federal funds. This means a project funded solely with state or local funds COULD require the application of Buy America Provisions.

During project development, the Project Team will need to be aware of the Buy America requirements. It is important to investigate the availability of domestically produced products to know if a waiver will be needed. As soon as it is apparent foreign materials containing iron or steel must be incorporated into a project, a Buy America waiver will need to be requested. As early in the project delivery process as possible, the TPM/RE-CP should contact FHWA to initiate the development of the Buy America waiver request.

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

[Previously approved Buy America waivers](#) for all states are listed by FHWA.

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

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

4.2.m. Project Delivery Notice 02 EXCEPTION LETTER

The term PD-02 refers to [Project Delivery Notice 02](#). The [PD-02 Exception Letter template](#) is available on the [PCO web site](#). A PD-02 Exception Letter is required for any PD-02 item that is not complete at PS&E. Completion of the [Final PS&E Submittal Checklist](#) and the Final PS&E Completeness Checklist are required. A PD-02 Exception Letters documents associated risk to the project delivery schedule/bid date for assessment by the Statewide Project Delivery Manager, Project Delivery Section Manager, PCO Manager, and if applicable, the FHWA Region Engineer.

A PD-02 Exception Letter is due a **MINIMUM** of two weeks prior to the PS&E submittal date. When a PD-02 Exception Letter is required, the signed, approved letter must accompany the PS&E Submittal. If the approved PD-02 Exception Letter is not included in the PSnE_Set, the project may be accepted and recorded late on the Phase Gate Monitoring Report. In coordination with the PCO Manager, 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 PS&E Submittal may be rejected. The project may need to be rescheduled to a later date to allow the PD-02 Exception Letter items to be resolved.

A [Template for the PD-02 Exception Letter](#) is available on the [PCO web site](#). TPM/RECPs are encouraged to contact the PCO Manager or PCO Pre-Letting Specialist to discuss PD-02 exception items. A preliminary review by the PCO Pre-Letting Specialist is recommended prior to sending the final letter for region signatures to assure the proposed resolution dates translate correctly to the requested milestone. The milestone dates (PS&E due date, advertisement date, and bid date) can be found on the [Bid Date Planning & Status Report](#).

The PD-02 Exception Letter must list all outstanding items and provide all details available to better inform the PCO Manager, PDS Manager, Statewide Project Delivery Manager and Chief Engineer during review including:

- Risks to the project bid date and delivery schedule
 - Low – projects can go through Award
 - Medium – projects can go 1 week prior to Bid
 - High – projects can go 1 week prior to Advertisement
- Expected resolution/completion date
- Milestone being requested to advance to (Advertisement, Bid Date, or Award)
- Current state of item (i.e. IGAs have received verbal approval, awaiting official signature)
- Contingency plan
- Person responsible for ensuring item has been resolved/cleared
- Complete background information detailing the reason why the item is delayed and exception is being requested
- Any additional actions being proposed by Region to complete outstanding item(s)

Failure to provide this information will delay approval of the letter and acceptance of the PS&E submittal.

The following items are high risk deliverables that require various levels of Region, FHWA, and PDS Management approval in order to be requested on PD-02 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 mile point 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 PD-02 Exception Letter items to be resolved.

Save the PD-02 Exception Letter to the ProjectWise Project Management folder, using the naming tool (**PM_K#####_PD02EX_##**), and send a link to the document with region signatures to the Pre-Letting Specialist **ONLY**. Do not cc to the Chief Engineer/Statewide Project Delivery Manager. The PCO Pre-Letting Specialist will obtain the required signatures from the Chief Engineer and Project Delivery Manager and return a confirmation of the signed PD-02 Exception Letter to the TPM/RECP and the cc list. Submit PD-02 letters a **MINIMUM** of two weeks prior to the PS&E date to allow for review, signatures, and approvals.

The TPM/RECP shall track the outstanding item and notify the PCO Pre-Letting Specialist when the PD-02 exception item is resolved. The PD-02 Exception Letter must be resolved by the date approved in the PD-02 Exception Letter, or the project bid date will need to be rescheduled. After being notified by the TPM/RECP, the PCO Pre-Letting Specialist will close the PD-02 Exception Letter and notify region staff, OPO and managers the PD-02 items have been resolved.

4.2.n. PROJECT MOBILITY CONSIDERATIONS CHECKLIST

As required by [PD-16 – Highway Mobility](#), a signed Project Mobility Considerations Checklist must be submitted with the PS&E Submittal for all projects. Include any emails and/or meeting minutes indicating Statewide Mobility Program support (and Mobility Advisory Committee support, if applicable) with any project restrictions identified in the Special Provisions.

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

4.2.o. RAILROAD CERTIFICATION FORM

The Railroad Certification form is completed by the State Railroad Liaison. Contact the State Railroad Liaison to have this form filled out. This form certifies that all railroad work has been completed, or that all necessary agreements have been made for it to be undertaken and completed as required for proper coordination with the construction schedule.

Submit one electronic .pdf copy of the signed Railroad Certification form in the K#####_PSnESet. (**RR_K#####_RRCert_##**).

4.3. FINAL PS&E COMPLETENESS CHECKLIST

4.3.a. FHWA REQUIREMENTS

STIP AMENDMENTS: Has the OTC and FHWA approved any related STIP Amendments?

Contact your Region STIP Coordinator to ensure that all STIP amendments have been approved. STIP amendments must be approved by both the Oregon Transportation Commission (OTC) and FHWA prior to PS&E Submittal. No documentation added to K#####_PSnESet, but checkbox on [Final PS&E Submittal Checklist](#) must be completed.

PROJECT DESCRIPTION: Does the project description match the current published STIP project description?

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

TPM/RE-CPs should recognize during completion of a Change Management Request (CMR), required for any changes in scope, schedule and/or budget, when STIP changes are required and work with their Region STIP Coordinator for their region to complete them prior to PS&E submittal. Common situations that require a STIP update are project name changes, changes in project limits, and combining multiple key numbers under one project key number.

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

FHWA publishes the [Interstate Access Points](#) and Policies on their website.

Contact the [Senior Interchange Engineer](#) or [Interchange Engineer](#) for more information or questions about interchanges or Interchange Modification Requests.

4.3.b. DESIGN DOCUMENTATION

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

Design Exceptions are explained in the ODOT Highway Design Manual, [Part 1000](#). At the point of PS&E submittal, Design Exceptions must be approved by ODOT and FHWA (if required).

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

Bridge Design Deviations are explained in the ODOT Bridge Design Manual, [Section 1](#). At the point of PS&E Submittal, bridge design deviations must be approved by ODOT and FHWA (if required). Bridge Design Deviations will be handled similar to the Roadway Design Exceptions.

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

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

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

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

STATEMENTS OF TECHNICAL REVIEW (STR): Is form 734-5365 completed and on file?

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.

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

The ODOT 1R Program requirements are outlined in Technical Bulletin [RD 20-01\(B\)](#). 1R Projects require approval by the Region Roadway Manager and the [Pavement Services Engineer](#) in Technical Services. 1R projects also need to be tracked for reporting purposes to the Chief Engineer, the 1R Steering Committee and FHWA. Complete and submit the 1R Project Tracking Spreadsheet to the ODOT Roadway Engineer, prior to PS&E Submittal.

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

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

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

Effective October 28, 2019, the Federal Highway Administration regulations regarding Letter of Public Interest Finding, Patented and Proprietary Projects changed. See the [LPIF Guidance](#) for more information.

Examples of materials or processes that require a LPIF are:

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

Guidance and instructions for developing and processing LPIF's can be found in the [LPIF Guidance Document](#) on the PCO website. LPIF Templates are also on the [PCO Website](#).

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

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

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

The TPM/RE-CP is responsible for uploading the approved LPIF or SEO as a Bid Reference Document in Electronic Bidding Information System ([eBIDS](#)). Anticipated Item Requests should not be uploaded to eBIDS. The TPM/RE-CP can upload Bid Reference Documents between the PS&E due date and the day prior to advertisement, as soon as the project is accepted by PCO and loaded into the system by the eBIDS Administrator in PCO. If a need for a LPIF is identified after project award, contact the [ODOT Contract Administration Engineer](#) for guidance.

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

Bid Reference Documents are the technical documents and reports that may be referenced in the Project Special Provisions but provided separately, as needed, to a contractor to understand the project and develop an informed bid. They should include documents that are necessary for a bidder to develop an informed bid. Not every project will require Bid Reference Documents. Uploading the project Bid Reference Documents on eBIDS ensures the documents will be available to all interested parties during the advertisement and bidding phase. If there are questions on what should be uploaded as bid reference documents, please reach out to your Area Manager.

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

The Bid Reference Documents are not complete until the POR has sealed the document, when required. Any required Bid Reference Documents that are not loaded into eBIDS by the advertisement date will have to be posted separately as a Letter of Clarification (LOC). Bid Reference Documents can be loaded into eBIDS prior to advertisement date by following the procedures outlined in the [eBIDS User Guide](#).

All Bid Reference Documents must be delivered to the Construction Resident Engineer’s Office for the construction phase of the project after the bid opening.

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

4.3.c. SPECIAL PROVISIONS

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

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

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

Pre-bid meetings cannot be scheduled for Thursdays, which may conflict with a bid opening. Pre-Bid meetings must be scheduled no earlier than one week after date of advertisement, to allow potential bidders time to schedule travel to get to the meeting.

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

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

Requests for anticipated items must be approved in writing by the Area Manager and the PCO Manager for all non-standard anticipated items on a project.

Standard items not requiring approval are:

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

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

Check n/a on the [Final PS&E Submittal Checklist](#) if there are no anticipated items. See [Operational Notice PD-07](#) for more information. For approval requests, see the [LPIF & AI Programmatic template](#), or the [Anticipated Item template](#) on the PCO Website.

Anticipated Item requests must be submitted to the [Pre-Letting Specialist](#) a minimum of 2 weeks prior to PS&E Submittal due date. Project Teams should be aware that denial of the anticipated items will likely require modifications to the PS&E package, so teams are encouraged to submit requests early in the project development process. PS&E will not be accepted without the request finalized. Anticipated item requests cannot be a PD-02 Exception item. Anticipated Item requests submitted after PS&E may also result in the project being moved to a later bid date. Anticipated Item requests should not be uploaded to eBIDS.

Anticipated Items identified **after** award of the contract will be handled as a request for overrun or increase of Construction Authorization, and must be handled by the Resident Engineer, not PCO. See the [Construction Manual – Chapter 5](#) for additional guidance.

SPECIAL PROVISION MODIFICATIONS: Have all modifications to the Project Special Provisions been Documented?

As required by [TSB21-01\(B\) – Project-Specific Special Provisions](#), each Region is expected to develop, manage and document a process to ensure adequate communications between Technical Services and Region staff. Region staff must continue to contact the Technical Services Specifications [Technical Resources](#), Resident Engineers and Region Managers to discuss project-specific changes. These discussions must be documented according to the Region-specific process.

RAILROAD: Are all required Railroad Agreements and Permits complete and signed?

Aka “Railroad Certification” Contact [State Railroad Liaison](#) for more information. A railroad flagging agreement is required for all railroad projects that have an anticipated railroad flagging item. Contact the State Railroad Liaison to verify all required agreements are in place.

INTERGOVERNMENTAL AGREEMENTS (IGA): Are all required Intergovernmental Agreements fully executed?

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

CA/CEI PERSONAL SERVICES CONTRACTS (PSK): Are all required PSK for Contract Administration/Construction Engineering-Inspection (CA/CEI) fully executed?

While CA/CEI Personal Services Contracts (PSK) are not a PS&E checklist requirement, they are required to be fully executed at the time of PS&E. Final execution of the PSK occurs when the final signature is added to the document. Without all signatures the contract is not complete and a PD-02 Exception letter will be required to proceed. CA/CEIs must be approved and the PD-02 Exception Letter must be closed-out one week prior to advertisement.

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

POR PSK: Are all required PSK for Professional of Record (POR) engineering construction support fully executed?

While POR PSK are not a PS&E requirement, they are required to be fully executed at the time of PS&E. Final execution of the PSK occurs when the final signature is added to the document. Without all signature the contract is not complete and therefore a PD-02 Exception letter would be required to proceed. All PSKs must be finalized and the PD-02 Exception Letter must be closed-out one week prior to advertisement.

STORM WATER OPERATION AND MAINTENANCE (O&M) MANUALS: Have the O&M Manuals been completed and submitted?

The O&M Manuals must be submitted to the Technical Services Geo-Environmental Unit prior to PS&E submission.

4.3.d. ADDITIONAL COMPLETENESS ITEMS (NOT ON COMPLETENESS CHECKLIST)

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

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

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

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

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

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

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

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

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

WAIVERS: If the Region Project Delivery Manager or Area Manager waives any of the deliverables required under [PD-03](#), written documentation must be included in the project files.

PROJECT ACCESS LIST APPROVAL: Approval of the official project access list by the Tech Center Manager and Region Access Management Engineer (RAME), as required by PD-03, must be documented in writing and included in the project files.

TRANSPORTATION MANAGEMENT PLAN (TMP)

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

4.3.e. A+B AND MULTI-PARAMETER COMPLETENESS ITEMS

FINAL PS&E COMPLETENESS CHECKLIST APPENDIX FOR MULTI-PARAMETER PROJECTS

For A+B and Multi-Parameter projects, request the Final PS&E Completeness Checklist Appendix for Multi-Parameter Projects from PCO. See the Price Plus Method Guide for additional information on each item. The Checklist Appendix covers the following items:

For A+B:

- Findings of Fact for Exemption (FFE)
- Unique Project Special Provisions
- Road User Cost
- Incentive/Disincentive
- Accelerate Project Construction Schedule

For Multi-Parameter:

- Findings of Fact for Exemption (FFE)
- Special Experimental Project 14 (SEP-14)
- Bid Booklet Covers

SECTION 5 – POST SUBMITTAL PROCESS

5.1. OBTAINING FHWA PS&E APPROVAL

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

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

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

Figure 21: Bid Date Planning & Status FHWA Ad Approval Date Column

5.1.a. MULTI-PARAMETER FHWA APPROVAL REQUIREMENTS

Multi-Parameter projects with Federal Funds require an approved SEP-14 work plan prior to project advertisement. PCO shall verify with OPO Construction Unit that FHWA approved the project’s SEP-14 Work Plan before PS&E submittal. If FHWA has not approved the SEP-14 work plan, the project cannot be advertised as a Multi-parameter project.

5.2. COMPLETING PD-02 ITEMS

The PCO Pre-Letting Specialist is responsible for ensuring all identified PD-02 Exception items have been cleared prior to advertisement. **The project TPM/RE-CP carries the responsibility to confirm to the PCO Pre-Letting Specialist that the listed issues have been resolved.** The [ODOT Procurement Office – Construction Contracting Unit](#) (OPO-CCU) must also be so advised so they can proceed with contract advertisement. This notification will come from the PCO Pre-Letting Specialist during the PD-02 Exception Letter close-out procedure.

5.3. STATE REQUIREMENTS – A+B AND MULTI-PARAMETER FINDINGS OF FACT FOR EXEMPTION

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

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

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

SECTION 6 – ADVERTISEMENT PERIOD

6.1. ADDENDA

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

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

To request a bid date postponement, once a project has been advertised, TPM/RE-CPs are required to submit an email request to the PCO QA assigned to their project, with the following information:

- Project Information (Key Number, Name, Region)
- Current Bid Date
- New Bid Date Requested
- Detailed reason for postponement

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

When an addendum to withdraw a project is posted, the TPM/RECP must follow the steps in [Section 8](#) for a project re-bid. Follow #2 of the [Project Scheduling and Rescheduling Matrix](#) to reschedule the project.

ALL unsolicited issues, questions and inquiries from contractors and others shall be requested in writing from the Resident Engineer per [Standard Specification Section 00120.15](#) and the ODOT Construction Manual, Chapter 6 - Examination of Project Site and Responding to Bidders' Questions.

Addenda Dates and Timing – The earliest an addendum letter can be published is the date the advertisement begins. The date on the letter should 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”.

Be aware that large and/or complex addenda may take additional time to process (reviewing, preparing revised bid schedule, preparation of electronic documentation for posting to eBIDS). Contacting the PCO QA reviewer assigned to the project ahead of time can help with timely processing.

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

[General Addendum](#)

[Addendum to Postpone](#)

[Addendum to Withdraw](#)

All addenda Letters require signature by the preparer and professional engineer. Submit to the QA reviewer for review/approval. Letters and any documents that will be changed as a result of the addenda will be included in this submittal, with the corresponding addendum number added to the name. For the first addendum on a project, the submittal will be placed in the K#####_PSnESet (**K#####_Addendum_AD01**), the second addendum on a project will be placed in the K#####_PSnESet (**K#####_Addendum_AD02**), etc.

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

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

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

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

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

6.2. LETTER OF CLARIFICATION (LOC)

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

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

LOC are to be created on the [ODOT LOC Template](#) and must include the following:

- STIP project name
- The highway
- The county
- The type of work
- The bid date
- The file name of each Bid Reference Document being posted

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

- Questions that may impact how all bidders bid a project.
- The same or similar question is raised by multiple bidders.
- Responses to questions that could present unfair advantage or favor if not provided to all bidders.
- Responses do not require changes to the bidding documents.
- Responses that require additional bid reference documents to be made known.

Submit a signed copy of the LOC to the PCO QA reviewer in the 6_PSnE folder (**K#####_LOC_##**). The date on the LOC should be the date of expected posting, not necessarily the date the LOC was written. Every effort should be made to have the date on the LOC match the date the LOC is published. The QA reviewer will review the LOC to ensure that none of the responses are changing the bidding documents. If needed, the State Specifications Engineer may be consulted and will also review the LOC. Any adjustments to the LOC will be consulted with the RE Office prior to publishing. The QA reviewer will forward the signed LOC to OPO – CCU, who will load the LOC onto eBIDS. See [Operational Notice PD-07](#) and the [Letter of Clarification Guidance](#) for more information.

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

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

6.3. PROVIDING FINAL PROJECT SPECIAL PROVISIONS WITH ADDENDA

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

SECTION 7 – PROJECT RECORDS

7.1. PS&E QA REPORT

The PS&E QA Report was developed to provide feedback to the Project Delivery Teams on the overall completeness and quality of PS&E submittals. The PS&E QA Report tracks progress of projects between the PS&E due date and award, and can be found in the *PCO_Bid_Submissions* folder (**PCO_K#####_PSnEQARpt_##**)

SECTION 8 – PROJECT RE-BID

On rare occasions, a project may have all bids rejected and must be re-bid. If a project needs to be re-bid, it is critical that the TPM/RE-CP contact the Pre-Letting Specialist before processing. The Pre-Letting Specialist must take several steps to ensure the project is ready to be re-bid in the PreCon System and STIP-FP. Federal fiscal years and the length of time since the project’s last bid date must be considered

to ensure all components of the project are set correctly for the new bid date. The following items are typically needed for re-bid projects, but is not an exhaustive list:

1. To schedule the new bid date, request a placeholder bid date, complete a CMR and updated Microsoft Project Schedule with the place holder bid date, and submit to the PCO Pre-Letting Specialist. See [Appendix F](#). A full PS&E package including all PS&E sets submitted via ProjectWise with a “_R” at the end to indicate re-bid.
2. All initial PS&E submittal documents must remain intact and shall not be overwritten. This is critical to ensure the complete history of the project is maintained in the permanent record, per retention requirements.
3. A new Final PS&E Submittal Checklist is required, updated with new dates and signatures. Ensure if there is a change to scope or budget, that is also detailed.
4. Special Provisions will need to be updated with the new bid date, contract completion date, any boilerplate updates, and incorporating any addenda from the previous advertisement.
5. Plans are required to be updated with a new title sheet, incorporating any addenda from the previous advertisement with revision triangles removed, and any other updates needed by the project team. Ensure if there is a change in scope or budget, that is clearly reflected in the new plan set.
6. Estimates are required to be updated to incorporate any addenda from the previous advertisement and any other changes to scope or budget.
7. An updated construction time estimate.
8. Office of Civil Rights requirements are required to be refreshed if stale (older than 180 days from Bid Opening).
9. A PD-02 exception letter is needed for any outstanding items.
10. Bid Reference Documents will need to be re-loaded into eBids for the new bid date.

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

SECTION 9 – PROJECT RE-SUBMISSION

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

1. To schedule the new bid date, request a placeholder bid date, complete a CMR and updated Microsoft Project Schedule with the place holder bid date, and submit to the PCO Pre-Letting Specialist. See [Appendix F](#).
2. A full PS&E package including all PS&E sets submitted via ProjectWise.
3. All initial bid files must remain intact and shall not be overwritten. This is critical to ensure the complete history of the project is maintained in the permanent record, per retention requirements.

4. A new Final PS&E Submittal Checklist is required, updated with new dates and signatures. Ensure if there is a change to scope or budget, that is also detailed.
5. Special Provisions will need to be updated with the new bid date, contract completion date, and any boilerplate updates.
6. Plans are required to be updated with a new title sheet and any other updates needed by the project team. Ensure if there is a change in scope or budget, that is clearly reflected in the new plan set.
7. Estimates are required to be updated to incorporate any changes to scope or budget.
8. An updated construction time estimate.
9. Office of Civil Rights requirements are required to be refreshed if stale (older than 180 days from Bid Opening).
10. A PD-02 exception letter is needed for any outstanding items.
11. Bid Reference Documents may need to be re-loaded into eBids for the new bid date if the contract number has changed.

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

APPENDIX A – ACRONYMS AND DEFINITIONS

A+B	Price Plus Time (A+B) alternative contracting method. Determines the best value contractor based on a combination of price (A) and time (B) components.
Multi-Parameter	Price Plus Multi-Parameter alternative contracting method. Determines the best value contractor based on a combination of price (A) and one or more of the following components: Contractor’s Qualifications (C) and Contractor’s Approach (D). Variations of the Multi-Parameter method components are (A+C), (A+D), (A+B+C+D) and (A+C+D).
BDDM	Bridge Design/Drafting Manual
CHAMPS	Central Highway Approach/Maintenance Permit System
COW	Class of Work
CPDG	ODOT Contract Plans Development Guide
DOJ	Oregon Department of Justice
FHWA	Federal Highway Administration
IGA	Intergovernmental Agreement
LPIF	Letter of Public Interest Finding
NEPA	National Environmental Policy Act of 1969. Most of the time specifically referring to the project environmental documentation that is required with the Environmental Assessment and the Environmental Impact Statement.
OCR	ODOT Office of Civil Rights
OPO	ODOT Procurement Office (most of the time specifically the Construction Contracts Section)
OTC	Oregon Transportation Commission
PCO	ODOT Project Controls Office (includes Specifications, Estimating and Pre-Letting)
PODI	Projects of Division Interest. FHWA has replaced Full Federal Oversight (FFO) projects with Projects of Division Interest. This review does not add time to the schedule, and Design Exceptions/Letters of Public Interest Finding do not require FHWA approval.
POR	Professional of Record. Licensed professionals that, by the conditions of their professional license, are required to sign and seal their final professional work products. The final work product may include, but is not limited to, final design plans, technical reports, and specifications.
PS&E	Plans, Specifications and Estimate. A scheduled milestone event wherein all elements of a project are complete for ODOT to advertise for competitive bid process through ODOT Procurement Office – Construction Contracting Unit.
QA	Quality Assurance. Most of the time specifically referring to the process of the QA Reviewer in the Project Controls Office and their role in reviewing the elements of projects turned in for PS&E
QC	Quality Control. Most of the time specifically referring to a routine effort made to check information on a project for consistency to ODOT standards.
STIP	State Transportation Improvement Plan
STR	Statements of Technical Review

Boilerplate Special Provisions	The Boilerplate Special Provisions modify the Standard Specifications by adding, replacing or deleting information from them. Sections of the Standard Specifications may have a related Boilerplate Special Provision. Some Boilerplate Special Provisions are also stand-alone Specifications. The Boilerplate Special Provisions are selected and assembled for the Project Special Provisions. All Boilerplate Special Provisions have been reviewed and approved for use by the ODOT State Specifications Engineer, the Department of Justice Business Transactions Section and Federal Highway Administration.
CE Minimums	The required contract documents that meet the environmental permits, clearances, and approvals as specified in the "Completion Guidance for the Categorical Exclusions (CE) Closeout Document" to classify a project as a Categorical Exclusion as defined in Technical Bulletin GE09-05(B)
Project Special Provisions	The Project Special Provisions is a single document consisting of a set of assembled Boilerplate Special Provisions and any project-specific Special Provisions that modify the Standard Specifications to an individual project. The Special Provisions and Standard Specifications together make up the contract specifications.
PS&E Due Date	The date the PS&E Package is due to PCO. This date is based on the bid date and the number of weeks for advertisement and is assigned by PCO. Submittals are due to PCO by 8:00 a.m. on the PS&E due date.
PS&E Acceptance Date	The date all deliverables are accepted as completed at PCO.
PS&E Provider	The organization or business entity providing the complete PS&E package. This may be an ODOT Region, a Local Agency or a private consulting firm, or a combination thereof.
Standard Specifications	The Standard Specifications describe the contractual relationship and responsibilities between the contractor and the Agency. It provides directions, provisions, and requirements necessary for performing public improvement projects.

APPENDIX B – PCO STAFF RESOURCES

Pre-Letting QA Reviewers		
Samone Stinson QA Engineering Specialist	Samone.R.Stinson@odot.oregon.gov	971-372-0788
Nathaniel Powell QA Engineering Specialist	Nathaniel.Powell@odot.oregon.gov	503-618-6767
Karen Scott, P.E. Specifications Engineer / QA/QC Engineer	Karen.N.Scott@odot.oregon.gov	503-986-6637
Bid Date Changes/Scheduling		
Pre-Letting Specialist	ODOTPreLetting@odot.oregon.gov	503-871-8523
Specifications		
Dan Anderson, P.E. Senior Specifications Engineer	Daniel.A.Anderson@odot.oregon.gov	503-986-3777
Heather Howe Specifications Engineer	Heather.C.Howe@odot.oregon.gov	503-986-3751
Bethany Veil, P.E. Specifications Engineer	Bethany.Veil@odot.oregon.gov	503-986-3107
Estimates and Construction Scheduling		
Joe Wolf Senior Cost Estimator – Project Analysis Team	Joe.Wolf@odot.oregon.gov	503-569-8108
Troy Wilson Cost Estimator	Troy.C.Wilson@odot.oregon.gov	503-949-8624
Jay Davenport Senior Cost Estimate Engineer	Jay.Davenport@odot.oregon.gov	503-586-6002
Lonnie McDonald Cost Estimator	Lonnie.McDonald@odot.oregon.gov	503-586-9127
Policy and Procedures		
Jaimé Viramontes, P.E. PCO Manager	Jaime.Viramontes@odot.oregon.gov	503-986-3796

APPENDIX C – PCO ORGANIZATION CHART

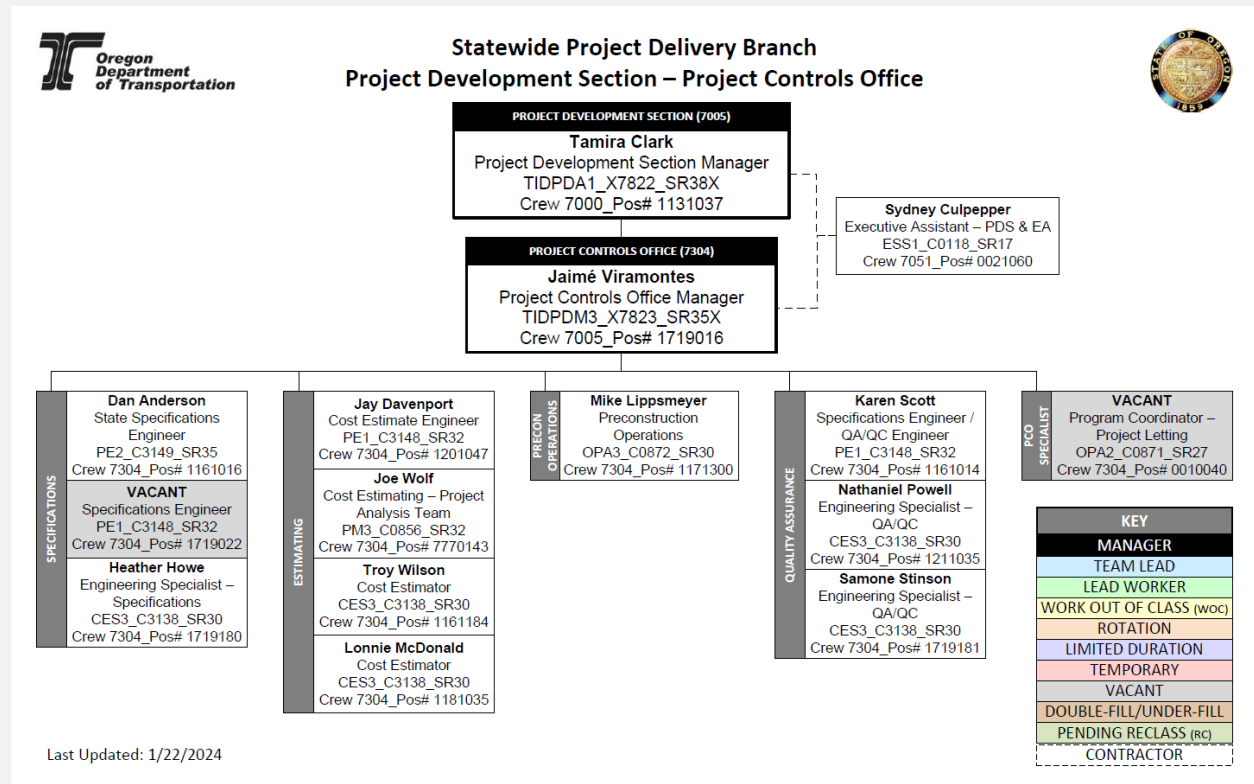


Figure 22: PCO Organization Chart

APPENDIX D – DIGITAL SIGNATURES

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

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

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

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

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

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

STRUCTURE NO. 21610		OREGON DEPARTMENT OF TRANSPORTATION	
BDS DWG NO. 100726		HWY 004 OVER BNSF_MP Z165.62	
CALC. BOOK N/A	74311PE DIGITALLY SIGNED: 03/29/10 1:53 PM	Designer: Zachary T. Beget	Reviewer: Robert E. Grubbs
HWY: 004 M.P.: Z165.62	OREGON JANUARY 08, 2009 ZACHARY T. BEGET	Drafter: Michael L. Graves	Checker: Robert E. Grubbs
COUNTY Deschutes	RENEWS: 12-31-2019	DIAPHRAGM DETAILS	
DATE MAR/2018	FINAL ELECTRONIC DOCUMENT AVAILABLE UPON REQUEST	SHEET NO. JO4	
		Rotation: 0° Scale: 3/8"=1'-0"	

Figure 23: Final Electronic Document Available Upon Request Example

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

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

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

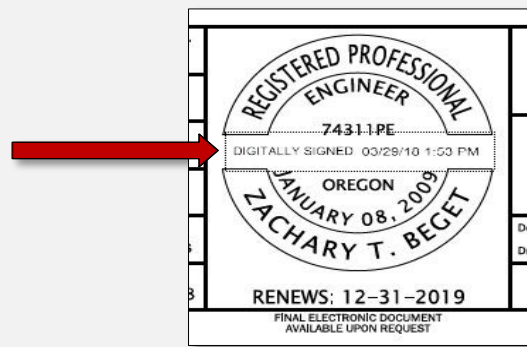


Figure 24: Digital Signature Example

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

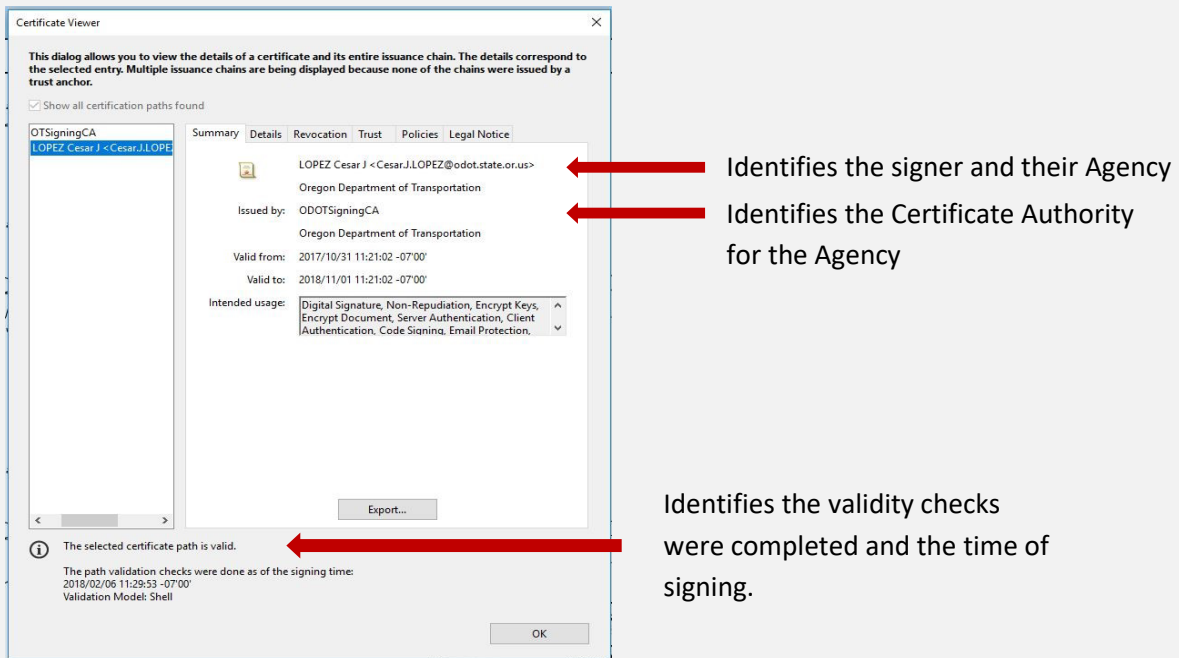


Figure 25: Signature Certificate Example

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

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

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

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

For ODOT Digital Signature assistance, please contact: ODOTDigitalSignature@odot.oregon.gov

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

APPENDIX E – SUBMITTAL to PCO REQUIREMENT QUICK LIST

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

Project Controls Office

Phase Gate Delivery Manual

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

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

** = PORs initials

APPENDIX F – PROJECT SCHEDULING AND RE-SCHEDULING REQUIREMENTS MATRIX

A Project Bid Date Schedule Type	B TPM/RECP Action	C Project Controls Office (PCO) Action	D Requirement Documentation and Timeframe	E Final Project Schedule Completion
<p>Proceed in the following order: X.1, X.2, X.3, X.4, etc</p>				
<p>1. Initial Schedule <i>Contact PCO to confirm availability of bid date no later than completion of PI documentation.</i></p>	<p>1.1 Contact PCO prior to finalizing CMR and MSPS for placeholder date, advertisement length and PS&E due date.</p>	<p>1.2 PCO issues placeholder date, provides ad length and PS&E due date.</p>	<p>CMR-00 Project Charter MSPS Risk Register</p> <p>Goal within 6 weeks of placeholder date assignment or may result in loss of placeholder date.</p>	<p>Project Initiation submittal accepted, project schedule complete. Official bid date now published on the PCO Bid Date Planning and Status BI Report and published to the 12 Month Schedule of Contract Lettings.</p>
<p>2. Reschedule <i>Contact PCO as soon as reschedule is known to be needed to confirm availability of bid date prior to completion of reschedule documentation.</i></p>	<p>2.1 Contact PCO prior to finalizing CMR and MSPS for placeholder date, advertisement length and PS&E due date.</p>	<p>2.2 PCO issues placeholder date, provides ad length and PS&E due date.</p>	<p>CMR Project Charter</p> <p>Goal within 6 weeks of placeholder date assignment or may result in loss of placeholder date.</p> <p>*Goal within 2 weeks of new date confirmation when moved within 30 days of PS&E.</p>	<p>Reschedule documentation accepted, project reschedule complete. Official bid date now published on the PCO Bid Date Planning and Status Power BI Report and published to the 12 Month Schedule of Contract Lettings.</p> <p>*PCO Manager will contact the Area Manager to ensure documentation can be provided in a timely manner.</p>
<p>1.3 Complete all relevant sections of the CMR, send to PCO once it is signed, update and publish MSPS.</p>	<p>1.4 Once CMR is received and MSPS is confirmed by PCO, PCO assigns the official bid date.</p>			
<p>2.3 Complete all relevant sections of the CMR, send to PCO once it is signed, update and publish MSPS.</p>	<p>2.4 Once CMR is received and MSPS is confirmed by PCO, PCO assigns the official bid date.</p>			

<p>3. Anticipated Construction Phase (bucketed funding) projects</p> <p><i>Contact PCO to confirm availability of bid date no later than completion of PI documentation.</i></p> <p><i>-If project is part of a bucket of funding and construction funding is anticipated, a placeholder must be requested.</i></p> <p><i>Official bid dates cannot be provided until CN phase is assigned in STIP-FP</i></p>	<p>3.1 Contact PCO prior to finalizing CMR and MSPS for placeholder date, advertisement length and PS&E due date.</p> <p>Notify PCO the project is a bucketed project and anticipated CN estimate.</p>	<p>3.2 Placeholder bid date confirmed. PCO provides ad length and PS&E due date. The placeholder will stand until the project receives construction funding in STIP-FP.</p>	<p>CMR MSPS</p> <p>CMR and MSPS must be presented to PCO. PCO will note that project is anticipated to be funded for CN.</p> <p>Rebaseline with CMR and MSPS with CN phase is approved.</p>	<p>Bid date will remain in placeholder until CN phase has been funded. Project will be reported as a placeholder on PCO Bid Date Planning and Status Power BI Report. On 12 Month Schedule of Contract Lettings, project will be reported but flagged as an anticipated construction funded project and not yet an official bid date.</p>		
	<p>3.3 Complete all relevant sections of the CMR, send to PCO once it is signed, update and publish MSPS.</p>	<p>3.4 Placeholder will remain until CN phase is assigned.</p>			<p>Official bid date published on the PCO Bid Date Planning and Status Power BI Report and the 12 Month Schedule of Contract Lettings without anticipated construction funded flag.</p>	
	<p>3.5 When CN phase has been approved in STIP-FP (no later than Advance Plans), notify PCO.</p>	<p>3.6 Change placeholder to Official bid date.</p>				<p>Project will be removed from PCO Bid Date Planning and Status Power BI Report and 12 Month Schedule of Contract Lettings.</p>
	<p>3.7 If project does not received funding, notify PCO immediately to remove from schedule.</p>	<p>3.8 Remove all dates from all systems, mark project “shelf”.</p>				

<p>4. Unanticipated Projects (Shelf) to Construction</p> <p><i>Project previously designated SHELF, but now has assigned CN funding.</i></p> <p>Contact PCO to confirm availability of bid date as soon as CN funding has been added to the project.</p>	<p>4.1 Contact PCO prior to finalizing CMR and MSPS for placeholder date, advertisement length and PS&E due date.</p>	<p>4.2 PCO issues placeholder date, provides ad length and PS&E due date.</p>	<p>CMR Project Charter</p> <p>Goal within 6 weeks of placeholder date assignment or may result in loss of placeholder date.</p>	<p>Scheduling documentation accepted, project schedule complete. Official bid date now published on the PCO Bid Date Planning and Status Power BI Report and published to the 12 Month Schedule of Contract Lettings.</p> <p>Project will be rebaselined to include all phases.</p>
	<p>4.3 Complete all relevant sections of the CMR, send to PCO once it is signed, update and publish MSPS.</p>	<p>4.4 Once CMR is received and MSPS is confirmed by PCO, PCO assigns the official bid date.</p>		

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

Projects in PLACEHOLDER status will not show up on the 12 Month Schedule of Contract Lettings.

<p>Green – Bid let date which will not change more than 4 weeks</p>
<p>Yellow – Bid let date which may see a change between 4 weeks to 3 months</p>
<p>Red – Bid let date having budget, ROW acquisition, environmental, political constraints which may change by more than 3 months</p>

CMR – Change Management Request

MSPS – Microsoft Project Schedule

STIP – State Transportation Improvement Plan

TPM//RECP – Transportation Project Manager / Resident Engineer – Consultant Projects

APPENDIX G – PS&E SUBMITTAL RESPONSIBILITIES MATRIX

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

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

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

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

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

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

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