

Table of Contents

SECTION C	CERTIFIED AGENCY . 2
Chapter 11 – Appendix FHWA PS&E Submittal Checklist	2
A. STATEMENT OF PROJECT READINESS.....	2
1. FHWA Requirements.....	4
2. Design Documentation.....	4
3. Intergovernmental Agreements.....	6
4. Special Provisions.....	6
5. Estimate and Construction Schedule	7
6. Permits, Clearances, etc.	7
7. Certifications.....	8
8. General.....	8

FINAL PS&E SUBMITTAL CHECKLIST

Page 2 of 8

SECTION C

Chapter 11 – Appendix

CERTIFIED AGENCY

FHWA PS&E Submittal Checklist

Key number: _____ ODOT Region: _____ Local Agency: _____

Project title: _____

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

Federal Aid # _____ IGA# _____

Local Agency Information: (Name of PM and Certification coordinator)

Changes in Project Scope: (what's different from the original prospectus at the time of STIP programming)

This PS&E package is being submitted for obligation of federal CON funds, advertisement authorization and competitive design-bid-build procurement. The bid opening is currently scheduled for _____. Advertisement length _____

PS&E submittals that are late, incomplete, or that contain errors deemed likely to affect successful procurement or constructability to FHWA Requirements may be returned for correction and scheduled to a later bid date.

FHWA Oversight Status: <select one> *(If unknown, call your Local Agency Liaison)*

Type of work: *(Should match title sheet)* _____

Class of work: *(From special provision description of work page)* _____

1. Total Estimated construction cost = TE \$ _____ as of _____
("Grand Total" from estimate) *Date*

2. Programmed CON Funding = PCS \$ _____ as of _____
"Construction Phase; CURRENT EST" from PCS) *Date*

A. STATEMENT OF PROJECT READINESS <check one>

- ALL project requirements and deliverables required by the certification and project supplemental agreements and/or listed on this 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 checklist. The attached signed Exception Letter(s) explains each outstanding item and include a resolution plan(s) and the expected resolution date(s). Unless explicitly stated in the exception letter the project is assumed to be approved for FHWA funding obligation request and projects is not to be advertised until Notice to Proceed (NTP) is given from ODOT.

PS&E Submittal Prepared by: _____
(Local Agency Project Manager) _____ Date _____ Phone _____

QC Technical sufficiency by: _____

FINAL PS&E SUBMITTAL CHECKLIST

Page 3 of 8

(Local Agency Certification Coordinator)

Date

Phone

Funding and QA checked by: _____
(ODOT Liaison)

_____ Date

_____ Phone

FINAL PS&E SUBMITTAL CHECKLIST

- NOTES:
- Items marked “NO” in the “Completed?” column of Sections 2-8 will require ODOT approval for advertisement. Sample exception requests are provided on the OPL web site. FHWA approval may also be required to move to advertisement.
 - Items not identified for PS&E delivery but applicable for complete project archival are to be documented as “on-file.” This means all relevant information is to be documented within the project master file and available for audit.
 - POR=Professional of Record.
 - For definition of acronyms used below see OPL web site.

1. FHWA Requirements	FORMAT	Completed?			Notes
		YES	NO	N/A	
a. Has FHWA/ODOT approved any related STIP changes?	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Mandatory (i.e. function and/or scope)
b. If project is NEPA Class 1 or Class 3, has EA or EIS been completed? (mark NA if project is Class 2)	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Mandatory
c. Have all elements of form “FHWA Required Documentation to complete the Environmental Process for Class 2 Projects” (aka “CE Minimums”) been satisfied? (mark NA if project is Class 1 or Class 3)	Provide PDF copy with signatures.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Mandatory
d. Have required FHWA Public Interest Findings (PIF) been submitted and approved for any Patented, Proprietary, Sole Source, or Salvage Materials Requests? Pre-approval required by OPL Unit manager.	Provide approved copies with PS&E submittal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Mandatory
e. Have any needed Buy America waivers been granted by FHWA?	Provide copies with PS&E submittal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Mandatory

2. Design Documentation	FORMAT	Completed?			Notes
		YES	NO	N/A	
a. Title sheet with Federal ID#, plan sheet index <i>Note: Project title on cover sheet <u>MUST</u> match the title used within the special provisions section 00120.05. and STIP</i>	Signed by POR.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> Federal-aid project number, Location sketch (Vicinity Map), Title of project, Length of project, Plan sheet index, Applicable standard plans, Provision for approving official(s) signature(s) and date(s), and Scale(s).

FINAL PS&E SUBMITTAL CHECKLIST

<p>b. Have all required Design Exceptions been approved by the ODOT State Roadway Engineer and FHWA (if required)?</p> <p><i>Status available on the Roadway Engineering Design Exception site http://egov.oregon.gov/ODOT/HWY/ENGSERVICES/design_exception_s.shtml</i></p>	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>c. Are Final Design Plans stamped and signed complete?</p>	Submit POR signed plans. Four paper copies.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>d. <i>Note: Full size (22"x34") Mylars will be scanned and archived per ODOT Bridge Section requirements and returned to the project team for addition of as constructed details prior to re-submittal to ODOT.</i></p>	POR signed <u>full size</u> mylars + two paper 11x17 copies. Three paper copies if FFO.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Note: Send One paper copy of bridge plans to Steve Tuttle in Salem Transportation Building 3 rd floor. And contact Don Newkirk in the Bridge Section at 503-986-3307 regarding the Mylars.
<p>e. Have all referenced Standard Drawings been verified to be the required current version?</p>	Included in drawing index, plan sheet 1A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>f. Have ALL Final Signal Plans been signed by the State Traffic Engineer (when required – see notes)?</p>	Signatures on items 2.c as required	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<u>Any</u> installation of traffic control devices on or adjacent to State facilities requires the approval of the State Traffic Engineer or State’s Region Traffic Engineer as described in the ODOT Traffic Signal Policy and Guidelines and the ODOT Traffic Manual.
<p>g. Are all required Technical reports such as; hydraulics, pavement, geotechnical and traffic, complete and available for PM and/or contractor review if needed?</p>	On-file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>h. If required, is the pre-construction access management plan or strategies complete?</p>	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Note = ODOT Highway Access only
<p>i. Has the Official Project Access List been approved by the TCM and the RAME as required by ODOT’s PD-03 and PD-03 (A)?</p>	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Note = ODOT Highway Access only
<p>j. Mobility Considerations Project Checklist - <i>Available in Highway Mobility Operations Manual or online at: http://www.oregon.gov/ODOT/HWY/docs/mobchecklistfill.pdf TMP required if any "Impact on Mobility" boxes marked.</i></p>	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Note = ODOT Highway Access only

3. Intergovernmental Agreements	FORMAT	Completed?			Notes
		YES	NO	N/A	
k. Have all required Intergovernmental Agreements (IGA) been signed by all parties (fully executed)? <i>IGA status available from your agreements specialist or the IGA database located at http://rssa.odot.state.or.us/cf/agreements/index.cfm</i>	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
l. Have all required IGA advance deposits been received by the Highway Program Office?	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

4. Special Provisions	FORMAT	Completed?			Notes
		YES	NO	N/A	
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
m. Verify that there are no changes made to the approved Part 00100 – General Conditions or other legal changes in any other Parts (00200 – 03000) (i.e. Warranties, Incentive/Disincentives, Liquidated Damages)?	Submit POR signed specs. Four paper copies.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	FHWA does not allow Project warranties.
n. Are applicable DBE/MWESB target sheets included? <i>Information from ODOT Civil Rights office.</i>	If yes <u>must</u> be in special provisions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
o. Are applicable OJT provisions included? <i>Information from ODOT Civil Rights office.</i>	If yes <u>must</u> be in special provisions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
p. If required, has Mandatory Pre-bid been scheduled? <i>Requires one extra advertisement week for pre-bid meeting.</i>	If yes <u>must</u> be in special provisions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
q. Are “Buy America” provisions included?	If FHWA project <u>must</u> be in special provisions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
r. Are FHWA section 1273s included?	If FHWA project <u>must</u> be in special provisions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

5. Estimate and Construction Schedule	FORMAT	Completed?			Instructions to LAL
		YES	NO	N/A	
s. Has the Cost Estimate been completed in Excel? <i>Submit electronic files in ODOT format via Region Liaison</i>	Submit paper and electronic copy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1) Local agency submits PS&E est. to LAL 2) LAL submits est. with contract obligation request to HWY program office 3) LAL submits est. and construction schedule to office of Civil Rights 4) Send the following items to FHWA: <ul style="list-style-type: none"> • ROW cert • DBE letter • NEPA final closeout • HPO sends estimate • Copy of this checklist
t. Have all anticipated items been approved by ODOT? <i>Not required for CE, contingency, asphalt smoothness bonuses, asphalt statistical bonus, asphalt escalation, fuel escalation, steel escalation, or bid item modifier. REF: PD-08. Check n/a if no anticipated items.</i>	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
u. Has the project Construction Schedule been completed in CPM type format (Microsoft Project preferred)? <i>Backup data expected to be on file for schedule review and/or validation audit.</i>	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6. Permits, Clearances, etc.	FORMAT	Completed?			Notes
		YES	NO	N/A	
v. NEPA EIS ClassI	Provide Close out				CE close out must be signed by ODOT and FHWA, when required
w. NEPA Categorical Exclusion (CE) ClassII		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
x. NEPA Environmental Assessment (EA) ClassIII		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
y. Are all permits and files obtained?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
z. DEQ Indirect Source Permit	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
aa. Tribal Employment Rights Office agreement <i>Required only on or near Umatilla Indian Reservation.</i>	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
bb. Erosion Control Plan	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
cc. Any other required Federal permits?	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

FINAL PS&E SUBMITTAL CHECKLIST

dd. Any other required State permits?	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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7. Certifications	FORMAT	Completed?			Notes
		YES	NO	N/A	
ee. Is the Right-of-Way Certification complete and signed by the Region R/W Manager? http://www.oregon.gov/ODOT/HWY/ROW/publications.shtml	Provide PDF copy of signed original	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ff. Are ALL R/W Certification Block 4 properties (holdouts) shown on plan sheets and listed within special provisions as per the requirements of the ODOT R/W Manual?	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
gg. Are all required Railroad Agreements and Permits complete and signed?	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
hh. Final Utility Timing and Status Report complete with required portions included within the special provisions?	On file.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ii. Utility certification The utility certification is required by 23 CFR 639.309 .	Send to State Utility Coordinator	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Utility Certification must be completed before approval can be granted to advertise a project, whether utilities are in conflict, or not. LPA and submits to the Local Liaison and the State Utility Liaison.

8. General	FORMAT	Completed?			Notes
		YES	NO	N/A	
jj. Is any required Personal Services Contract for construction engineering (PM) services complete and signed? <i>Name, address, and phone number of <u>PM who will be administering the contract</u> MUST be listed on the special provision description of work page.</i>	On file and in special provisions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
kk. Are all required Personal Services Contracts for Professional-of-Record engineering construction support complete and signed?	On file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ODOT Task – Scan ROW Cert, CE closeout (Minimums), DBE goals and Estimate in .pdf to send to FHWA		Notes:			