

PS&E CHECKLIST

Agency _____

Federal Project No. _____

This form is to be completed by the local agency and attached to the PS&E Certification. See Exhibit 12-E for instructions and the referenced attachments

I. HIGHWAY SYSTEM

- On the National Highway System (NHS)
 Off the NHS

II. FUNCTIONAL CLASSIFICATION (Check as many as appropriate)On the Federal-aid System

- | | |
|---|---|
| <input type="checkbox"/> Urban Principal Arterial - Fwy or Expwys | <input type="checkbox"/> Rural Principal Arterial |
| <input type="checkbox"/> Urban Principal Arterial - Other | <input type="checkbox"/> Rural Minor Arterial |
| <input type="checkbox"/> Urban Minor Arterial | <input type="checkbox"/> Rural Major Collector |
| <input type="checkbox"/> Urban Collector | |

Off the Federal-aid System

- | | |
|--------------------------------------|--|
| <input type="checkbox"/> Urban Local | <input type="checkbox"/> Rural Minor Collector |
| | <input type="checkbox"/> Rural Local |

III. TYPE OF CONSTRUCTION (Check appropriate box)

- New or Reconstruction
 Resurfacing, Restoration and Rehabilitation (3R)
 Preventive Maintenance

IV. METHOD OF CONSTRUCTION**A. Contracting Method** (Check appropriate box)

- Competitive bidding
 Other than competitive bidding

(If the contracting method is other than competitive bidding, check appropriate box below.)

- The project is "Delegated" subject to minimal FHWA oversight. A Public Interest Finding has been submitted to the DLAE for review and filed in the contract records justifying the method.
 The project is "High Profile" subject to a high degree of FHWA oversight. A Public Interest Finding justifying the method has been submitted and approved by Caltrans and FHWA.

B. Force Account (Day Labor) (Check appropriate box)

- The entire work will be constructed by contract as indicated above.
 Some work (incidental to the main purpose of the project) will be constructed by Force Account. A Public Interest Finding is on file in the contract records justifying the work.
 The entire project will be constructed by Force Account (Day Labor).

(If the entire project will be constructed by Force Account (Day Labor))

- The project is “Delegated” subject to minimal FHWA oversight. A Public Interest Finding has been submitted to the DLAE for review and filed in the contract records justifying the method.
- The project is “High Profile” subject to a high degree of FHWA oversight. A Public Interest Finding justifying the method has been submitted and approved by Caltrans and FHWA.

V. ENVIRONMENTAL ANALYSIS (Check box if requirement is met)

- The PS&E is fully responsive to the necessary actions called for by the environmental document, permit conditions, and other agreements.

VI. VALUE ENGINEERING (VE) ANALYSIS (Check appropriate box)

- VE analysis has been performed on this project and a copy of the analysis has been submitted to the DLAE for forwarding to the Caltrans District Value Analysis Coordinator.
- The project is not a bridge project. VE analysis has not been performed as the estimated total project cost is <\$25 million.
- The project is a bridge project. VE analysis has not been performed as the total project cost is <\$20 million.

VII. GEOMETRIC DESIGN STANDARDS (Complete this section if project changes existing geometrics)

A. Geometric Design Standards Used (Check appropriate box)

- Caltrans Design Standards (on State Highway System)
- Current AASHTO Standards
- 3R Projects - Minimum Standards for Geometric Design of Federal-Aid Resurfacing, Restoration, and Rehabilitation Projects on Local Streets and Roads, *Local Assistance Procedures Manual*, State of California Department of Transportation.
- Local Agency Design Standards Date approved _____

B. Deviations from Controlling Criteria (check appropriate box for each controlling criteria)

Criteria Met	Design Criteria Not Met	Design Exception Approval Date	Controlling Criteria
<input type="checkbox"/>	<input type="checkbox"/>	_____	Design Speed
<input type="checkbox"/>	<input type="checkbox"/>	_____	Lane Width
<input type="checkbox"/>	<input type="checkbox"/>	_____	Shoulder Width
<input type="checkbox"/>	<input type="checkbox"/>	_____	Bridge Width
<input type="checkbox"/>	<input type="checkbox"/>	_____	Horizontal Alignment
<input type="checkbox"/>	<input type="checkbox"/>	_____	Vertical Alignment
<input type="checkbox"/>	<input type="checkbox"/>	_____	Grades
<input type="checkbox"/>	<input type="checkbox"/>	_____	Stopping Sight Distance
<input type="checkbox"/>	<input type="checkbox"/>	_____	Cross Slopes

- | | | | |
|--------------------------|--------------------------|-------|----------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | _____ | Super elevation |
| <input type="checkbox"/> | <input type="checkbox"/> | _____ | Horizontal Clearance |
| <input type="checkbox"/> | <input type="checkbox"/> | _____ | Vertical Clearance |

VIII. BRIDGE DESIGN PROCEDURES (Check the appropriate box)

All bridges have been designed in accordance with the current edition of the *Caltrans Bridge Design Specifications Manual*.

- | | |
|--------------------------|---|
| <u>YES</u> | <u>DOES NOT APPLY</u> (Bridge construction not included in the project) |
| <input type="checkbox"/> | <input type="checkbox"/> |

IX. STANDARD PLANS (Check appropriate box)

- | | | | |
|--------------------------|--------------------------------|--------------------------|---|
| <input type="checkbox"/> | Caltrans <i>Standard Plans</i> | <input type="checkbox"/> | <i>Standard Plans for Public Works Construction</i> |
| <input type="checkbox"/> | Local Approved Standard Plans: | | |

_____ Date signed (on behalf of the local agency) by a person in responsible charge and who is registered professional engineer licensed to practice in the State of California.

X. PROJECT PLANS AND SPECIFICATIONS (Check box if requirements met)

- Cover sheet of plans and specifications signed and stamped on behalf of the local agency by the person in responsible charge, and who is a registered professional engineer licensed to practice in the State of California.
- Traffic Control Plans or reference to Standard Plan and Signs/Striping Plans included. (Note: Additionally, Traffic Management Plans are required to be on file for all reconstruction, rehabilitation, and other projects[including projects on the State Highway System not funded by the State], if significant traffic delays are anticipated and as a result from project activities)
- Erosion Control Plan
- ADA is being fully complied with including *Federal ADA Standards for Accessible Guidelines for Buildings and Facilities* (ADAAG), Title 24 of the California Code of Regulations and local codes.

XI. STANDARD SPECIFICATIONS (Check Standards used)

- Caltrans Standard Specifications*
- Standard Specifications for Public Works Construction (Green Book)*
- Locally Approved Standard Specifications

XII. REQUIRED FEDERAL CONTRACT PROVISIONS

A. General Federal Requirements (Check appropriate box and indicate page number)

- | | | |
|--------------------------|--|-----------------|
| <input type="checkbox"/> | Caltrans SSP – Section 14. Federal Requirements For Federal-aid Projects (Attachment A, FR-1 & FR-2) is included. | Page No. |
| <input type="checkbox"/> | Equivalent provisions are included. | _____ |

B. FHWA Form 1273 Page No.

1. Incorporation of FHWA Form 1273 into Contract (Check appropriate box and indicate page number)

- An unmodified copy of FHWA Form 1273 “Required Contract Provisions Federal-aid Construction Contracts” (Attachment B, FR-3 thru FR-14) has been physically incorporated into this contract..... _____
- A modified copy of FHWA Form 1273 “Required Contract Provisions Federal-aid Construction Contracts” has been physically incorporated into this contract..... _____

2. Modification of FHWA Form 1273 (If the provisions contained in FHWA Form 1273 will be modified, fill in the required project information before completing Sections 2.a thru 2.d.)

Estimated Construction Contract Cost _____

a. Section IV. Payment of Predetermined Wages (Check appropriate box)

This section applies to all federal-aid highway construction projects exceeding \$2,000 and to all related subcontracts, except for projects not located on the Federal-aid System (roadways classified as local roads or rural minor collectors), which are exempted. If exempted, this section may be crossed out, removed or may be specified elsewhere in the contract that it does not apply.

- Section IV has not been modified.
- Section IV has been *crossed out/removed/specified elsewhere in the contract that it does not apply.* (Indicate type of modification).

b. Section V. Statements and Payrolls (Check appropriate box)

This section applies to all federal-aid highway construction projects exceeding \$2,000 and to all related subcontracts, except for projects not located on the Federal-aid System (roadways classified as local roads or rural minor collectors), which are exempted. If exempted, this section may be crossed out, removed, or may be specified elsewhere in the contract that it does not apply.

- Section V has not been modified.
- Section V has been *crossed out/removed/specified elsewhere in the contract that it does not apply.* (Indicate type of modification)

c. Section VI. Record of Materials, Supplies, and Labor (Check appropriate box)

See PS&E Checklist Instructions (Exhibit 12-E of this chapter) for applicability.

- Section VI has not been modified.
- Section VI has been *crossed out/removed/specified elsewhere in the contract that it does not apply.* (Indicate type of modification)

d. Section VII. Subletting or Assigning the Contract (Check appropriate box)

This section applies to all federal-aid highway projects.

- Section VII has not been modified.

- Section VII has been *crossed out/removed/specified elsewhere in the contract that it does not apply.*
(Indicate type of modification)

Page No.

C. Certification/Disclosure Forms (Check if included and indicate page number)

- Equal employment Opportunity Certification (Exhibit 12-E, Attachment C)..... _____
- Noncollusion Affidavit (Exhibit 12-E, Attachment D) _____
- Debarment and Suspension Certification (Exhibit 12-E, Attachment E)..... _____
- Nonlobbying Certification for Federal-aid Contracts (Exhibit 12-E, Attachment F) _____
- Disclosure of Lobbying Activities (Exhibit 12-E, Attachment G)..... _____
- Equivalent provisions (Attach complete listing, including page numbers)..... _____

D. Liquidated Damages (Check appropriate box and indicate page number)

- Caltrans SSP Section 4. Beginning of Work, Time of Completion and Liquidated Damages
(Exhibit 12-E, Attachment I) is included in this contract _____
- Equivalent provisions are included. _____

E. Disadvantaged Business Enterprise (DBE)/Subcontracting

1. UDBE Goal (Refer to Exhibit 12-E, PS&E Instruction Checklist)

- Local Agency non-zero UDBE goal percentage for this contract is: _____
OR

- The UDBE goal for this contract is zero percent. Documentation verifying this determination is attached to his PS&E Checklist and is also on file with the local agency. Refer to Exhibit 12-E, PS&E Checklist Instructions.

OR

- This contract has no UDBE goal because:

- The AADPL goal has been met for this federal fiscal year.
- This contract has no subcontracting opportunities for UDBE participation.
- This contract is “nonprofit.”
- Other, specify: _____

Documentation verifying the above “no UDBE goal” determination is attached to the PS&E Checklist and is also on file with the local agency. Refer to Exhibit 12-E, “PS&E Checklist Instructions.”

2. Contracts Provisions (For use with all Federal-aid contracts)

The following applicable Caltrans Standard Special Provisions (SSPs) to the Caltrans Standard Specifications, or their equivalent are included in the contract Special Provisions with page numbers noted (editing may be required). Check if included and indicate page number.

a. Caltrans Standard Special Provisions

- 2-1.01 GENERAL Required Listing of Proposed Subcontractors and Required Contract Assurance Statement (Exhibit 12-E, Attachment H) or *Equivalent Provisions*
- 2-1.015 Federal Lobbying Restrictions (Exhibit 12-E, Attachment H) or *Equivalent Provisions*
- 2-1.02 Disadvantaged Business Enterprise (DBE) (Exhibit 12-E, Attachment H) or *Equivalent Provisions*
- 3- Award and Execution of Contract (Exhibit 12-E, Attachment I) or *Equivalent Provisions*
- Caltrans SSP 5-1. Subcontractor and DBE Records (Exhibit 12-E, Attachment J) or *Equivalent Provisions*.....
- Caltrans SSP 5-1. DBE Certification Status Change (Exhibit 12-E Attachment J) or *Equivalent Provisions*.....
- Caltrans SSP 5-1. Performance of Subcontractors (Exhibit 12-E, Attachment K) or *Equivalent Provisions*
- Caltrans SSP 5-1. Subcontracting (Exhibit 12-E, Attachment L) or *Equivalent Provisions*.....
- Caltrans SSP 5-1.Prompt Progress Payments to Subcontractors (Exhibit 12-E, Attachment L) or *Equivalent Provisions*
- Caltrans SSP 5-1. Prompt Payment of Withheld Funds to Subcontractors (Exhibit 12-E, Attachment L) or *Equivalent Provisions*

b. The following forms are applicable with the above SSPs.

- Listing of Subcontractors (Form in Sample Proposal and Contract) or *Equivalent Form*
- Local Agency Bidder UBDE Commitment (Construction Contracts)(Exhibit 15-G1) or *Equivalent Provisions*.....
- Local Agency Bidder DBE Information Form (Exhibit 15-G2) or *Equivalent Provisions*
- DBE Certification Status Change (Exhibit 17-O) or *Equivalent Provisions*.....

- UDBE Information - Good Faith Efforts (Exhibit 15-H)
If applicable
- Final Report-Utilization of Disadvantaged Business Enterprises (DBE), First-Tier Subcontractor
(Exhibit 17-F) or *Equivalent Provisions*.....
- Bidders’s List (49 CFR, Part 26.11) List data for all firms that bid as prime, or bid, or quote
subcontracts for this contract (optional Exhibit 12-G).....

F. Buy America Specification (Check appropriate box and indicate page number if requirement applies. See Section 12.9 of the *Local Assistance Procedures Manual* for requirement.)

- Caltrans SSP 5-1- Buy America Requirements (Exhibit 12-E, Attachment M)
- Equivalent provisions are included
- Buy America specifications are not included in contract.
- Waiver for the following has been approved by FHWA: _____ Date _____.

G. Federal Trainees (Check appropriate box and indicate page number if requirement applies)

- The project has less than 100 working days. A Federal Trainee goal and special provisions are not required.
- Analysis of the Engineers Estimate has the dollar value under \$200,000. A Federal Trainee goal and special provisions are not required.
- Caltrans SSP – Federal Requirement Training Special Provisions
(Exhibit 12-E, Attachment B, FR-14 through FR-16) are included. (The Trainee goal is _____.) _____
- Equivalent provisions are included (The Trainee goal is _____.).....

H. Federal Wage Rates (Check appropriate box and indicate page number if Federal Wages Rates are included)

- Federal Wages Rates are physically incorporated into this contract advertising package
Note: By checking the above box, the local agency is indicating that they are aware of the federal-aid “10-day rule” requirement.
- Federal Wage Rates are not physically incorporated in the contract advertising package but are referenced to an Internet web site address on page number _____ of the Special Provisions where the applicable Federal Wage Rates can be found. Revisions to the applicable Federal Wage Rates, up to 10 days before bid opening, shall be identified by the issuance of an addendum with the corresponding Internet web site address of where the revisions can be found. The final contract documents signed by the local agency and the contractor, will physically include the Federal Wage Rates, or Federal wage Rates as revised by addendums, if any such addendums have been issued.
- This project is not located on a Federal-aid Route. Federal Wage Rates are not required. (Note: Federal Wage Rates are applicable to all Recovery Act (ARRA) funded projects even if they are located on local roads or rural minor collector.)

I. Relations with Railroad (Check appropriate box and indicate page number if special provisions are included)

- The required provisions are included
- This project does not involve the use of railroad properties or adjustments to railroad facilities

J. American Recovery and Reinvestment Act (Recovery Act) Funds (Check appropriate box and indicate page number if special provisions are included)

- This is a Recovery Act funded project and the required Recovery Act provisions (Exhibit 12-E, Attachment L) are included.....
- This project does not involve ARRA Funds.....

XIII. RESTRICTED CONTRACT PROVISIONS (CHECK APPROPRIATE BOX)

A. Indian Preferences (Check appropriate box and provide required information)

- Not included.
- Included. The project is on or near the _____ Indian Reservation.

B. Bonding and Prequalification (Check box if requirement met)

- Bonding or prequalification, if required, will not be used to restrict competition, prevent submission of a bid by, or prohibit consideration of a bid submitted by any responsible contractor, whether a resident or nonresident of the State of California.

C. Price Adjustment Clauses (Check appropriate box)

- Price adjustment clauses are not included.
- Price adjustment clauses are included. The federal conditions restricting the use of these clauses have been met and are documented in the project files

D. Warranty Clauses (Complete this section if project is on the NHS)

- Warranty Clauses are not included.
- Warranty Clauses are included. Documentation of the required conditions on the use of these clauses is in the project files.

E. Proprietary Items (Complete this section if project is on the NHS)

- Proprietary Items are not included.
- Proprietary Items are included. A Public Interest Finding justifying the use has been approved and documented in the project files.

XIV. MATERIALS & EQUIPMENT (Check appropriate box)

A. Publicly Owned Equipment (for use by Contractor). (Check appropriate box)

- Not included.
- Included. A Public Interest Finding justifying this use is in project files and the project specifications meet the requirements for federal participation listed in Chapter 12.

B. Equipment Purchases for Local Ownership (Check appropriate box)

- Not included.
- Included. Amount charged to construction engineering will be limited to amortized equipment cost (over its useful life) attributable to the time the equipment is used on the project.

C. Convict Produced Materials

- Not included.
- Included. The conditions placed on the use of these materials by the contractor meet federal requirements and are included in the contract specifications.

D. Local Agency Furnished Materials (Check appropriate box)

- Local Agency Furnished Materials are not included.
(If Local Agency Furnished Materials are included check appropriate box.)
- Local Agency Furnished Materials have been acquired on the basis of competitive bidding.
- A Public Interest Finding is on file in the contract records justifying another method of acquisition.

XV. PRELIMINARY ESTIMATE (Check boxes if requirements met)

- Exhibit 12-A or equivalent has been completed and is attached.
- The estimate is broken down into items sufficient in detail to provide an initial prediction of the financial obligation to be incurred by the local agency, State and FHWA and to permit an effective review and comparison of the bids received.
- Non-participating items of work have been identified and segregated from the estimated cost of work eligible for federal-aid.

(If project is funded with more than one type of federal-aid, check box if requirement was met.)

- The estimate has been segregated by fund types for use in preparing the "Request for Authorization for Construction" (Detail Record) and the Finance Letter.

XVI. MAJOR PROJECTS WITH TOTAL COST OF \$100 MILLION TO \$500 MILLION OR MORE (Check boxes if requirements met)

The total cost of this project is:

- Expected to be less than \$100 million.
- Expected to be \$100 million or more, but less than \$500 million:
 - A Financial Plan is required and has been prepared and submitted to the DLAE.
Approval Date: _____
- Expected to be \$500 million or more and:
 - A Project Management Plan has been prepared and submitted to the DLAE.
Approval Date: _____
 - An Annual Financial Plan has been prepared and submitted to the DLAE

XVII. LOCAL AGENCY SIGNATURE

This Federal Contract Provisions checklist has been prepared in accordance with Chapter 12 “Plans, Specifications & Estimate,” of the *Local Assistance Procedures Manual*.

Signature: _____ Date: _____
Title: _____

XVIII. CALTRANS ACCEPTANCE

Check appropriate acceptance statement:

- I have not personally inspected the subject project PS&E package, but I am aware of the scope of the project. I have reviewed this “PS&E CHECKLIST” and agree it is complete and appears to have been prepared in accordance Chapter 12 “Plans, Specifications & Estimate,” of the *Local Assistance Procedures Manual*.
- I have inspected the specifications portion of the subject project PS&E package and I am aware of the scope of the project. I have reviewed this “PS&E CHECKLIST” and agree it is complete and appears to have been prepared in accordance with Chapter 12 “Plans, Specifications & Estimate,” of the *Local Assistance Procedures Manual*. I have also verified that the indicated Required Federal Contract Provisions are included in the specifications.

Signature: _____ Date: _____
Title: _____

Distribution: 1) Original with PS&E Certification - DLAE
2) Original “Accepted” copy with PS&E Certification - DLAE file
3) One “Accepted” copy to be returned to Local Agency