



# **Federal Aid Series**

Day 1: Getting Started

Day 2: Environmental

Day 3: Right of Way

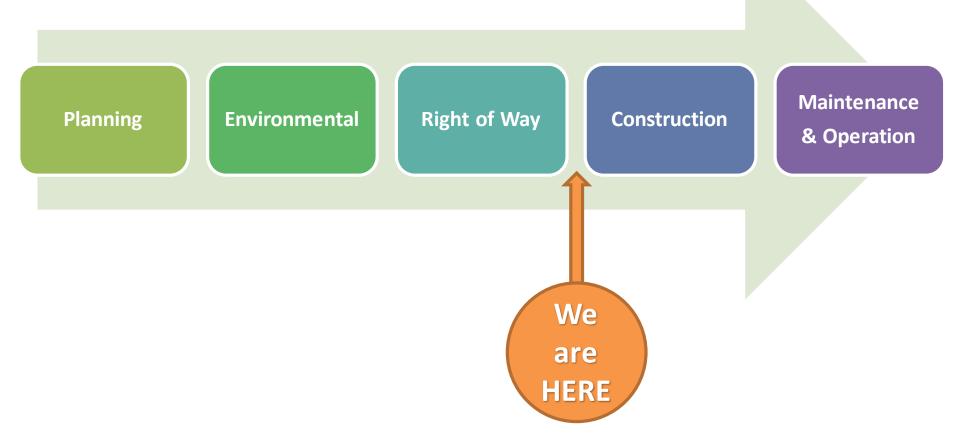
Day 4: Project Development

Day 5: Construction Administration



# **Project Development**







# **Introductions**



Name

Your Organization

Job Title

Course Expectation



# **Course Objectives**



		PS&E Checklist
	EXHIBIT 12-D PS&E CHECKLIST	
gency	Fede	ral Project No.
	ompleted by the local agency and attached to the PS&E Cereferenced attachments.	rtification. See Exhibit 12-E for
HIGHWAY SYS	TEM AND FUNCTIONAL CLASSIFICATION (Check applicab	ole box)
A. National H	lighway System	
On the	National Highway System (NHS) Off the NHS	S
B. Functional	Classification (Check as many as appropriate)	
On the Federal-	, , , , ,	aid System
	al Arterial - Fwy or Exprwy Rural Minor	•
Other I	Principal Arterial Local	
Minor	Arterial	
	.APM 12	
Preventive	Maintenance	
. METHOD OF C	ONSTRUCTION	
A. Contraction	ng Method (Check appropriate box)	
Comp	etitive bidding	
	than competitive bidding. (If the contracting method is other the appropriate box below).	er than competitive bidding,
	roject is "Delegated" (subject to minimal FHWA oversight) sen submitted to the DLAE for approval and filed in the cor	
The pr	roject is "High Profile" (subject to a higher degree of FHW st Finding justifying the method has been submitted and ap	A oversight). A Public
	ount (Day Labor) (Check appropriate box)	
B. Force Acc	cum (Duy Zusor) (check appropriate con)	
	ntire work will be constructed by contract as indicated above	re.
The er		

EXHIBIT 15-A Local Agency Construction Contract Administration Checklist	Local Assistance Procedures Manual
EXHIBIT 15-A LOCAL AGENCY CONSTRUCTION CON-	TRACT ADMINISTRATION CHECKLIST
Local Agency	
I ADVERTISE AND AWARD PROJECT	
A. Project Advertisement	
Projects are not advertised until the Authorizati construction phase has been approved by Caltra	
☐ For all Federal-aid projects, a minimum of thre required (15.4 "Project Advertisement").	e weeks for project advertisement is
B. Contract Bid Opening	
All bids are opened publicly and read aloud eith	her item-by-item, or by total amount. If a
LAPM	15-A
☐ EEO Certification, The Non-Collusion Affidav Disclosure of Lobbying Activities (see LAPM	
Local Agency Bid Opening Checklist (Exhibit	15-I)
C. Contract Award	
Contracts are awarded on the basis of the lowes (15.6 "Contract Award").	st responsive bid from a responsible bidder
For all NHS projects, a bid analysis will be per	formed (15.6 "Contract Award").
☐ No negotiations with contractor occurred prior	to award (not allowed).
	Page 1 of 2

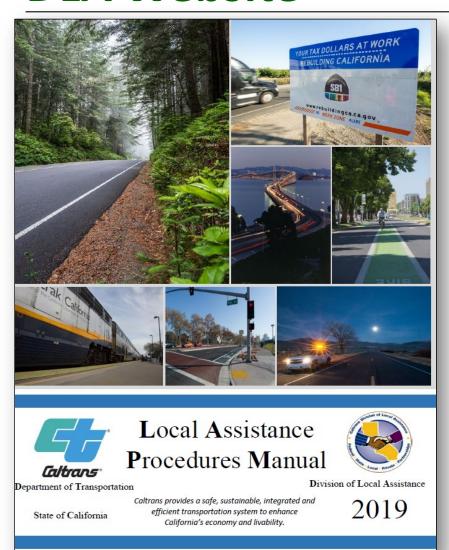


# **RESOURCES**



# **DLA Website**



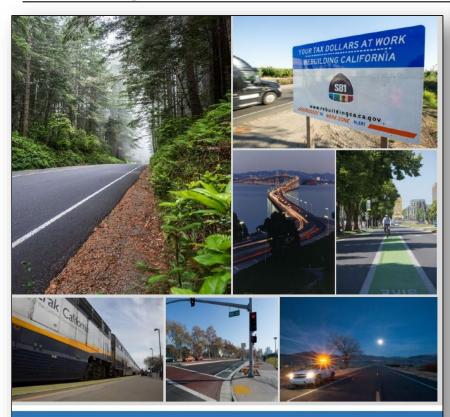






# **Policy & Procedures**







# Local Assistance Procedures Manual



Department of Transportation

Division of Local Assistance

State of California

Caltrans provides a safe, sustainable, integrated and efficient transportation system to enhance California's economy and livability. 2019

STATE OF CALIFORNIA
Department of Transportation
Division of Local Assistance



# LOCAL ASSISTANCE PROGRAM GUIDELINES

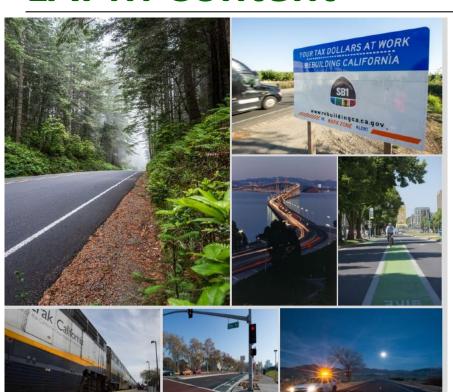
Processing Procedures for Implementing Federal and/or State Funded Local Public Transportation Projects





# **LAPM Content**





Caltrans

# Local Assistance Procedures Manual



Department of Transportation

Division of Local Assistance

State of California

Caltrans provides a safe, sustainable, integrated and efficient transportation system to enhance California's economy and livability.

2019

Local Assistance Procedures Manual

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#### Local Assistance Procedures Manual

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# **LAPG Content**



STATE OF CALIFORNIA Department of Transportation Division of Local Assistance



STP

**HSIP** 

LOCAL
ASSISTANCE
PROGRAM
GUIDELINES

**CMAQ** 

ER

JUIDELINES

HBP

ITS

Processing Procedures for Implementing Federal and/or State Funded Local Public Transportation Projects



STIP

ATP

# **DLA Bulletins**



<u>C</u>altrans <u>O</u>versight <u>I</u>nformation <u>N</u>otice • Existing policy or procedure Office Bulletin New policy or procedure <u>L</u>ocal <u>P</u>rograms <u>P</u>rocedures Formal deployment



# **COIN Example**



#### **DIVISION OF LOCAL ASSISTANCE**



# Caltrans Oversight Information Notice



Release Date: April 3, 2015

DLA COIN Issue #15-01

#### Welcome to the COIN!

This is a Caltrans Oversight Information Notice, or "COIN" for short. These short, single-topic bulletins are intended to provide outreach information and guidance to local agencies on issues pertaining to Federal-aid projects. They cover a wide variety of subjects, including discussions of findings resulting from process reviews by Caltrans and/or FHWA, changes in procedures or regulations, reminders of existing procedures or best practices, and other timely information. The goal is to ensure proper and timely delivery of Federal-aid projects.

Topic: THE USE OF NON-TRADITIONAL (ELECTRONIC) ADVERTISING FOR CONTRACT BIDS OR PROPOSALS

#### I. BACKGROUND

This COIN pertains to advertising for contract bids/proposals for construction contracts as well as formal Architectural and Engineering (A&E) consultant qualifications/proposals.

Referred to as the traditional method of advertising for contract hids or proposals, and as stated in Section 15.4



# **OB Example**





Division of Local Assistance - Office Bulletin

DLA-OB 14-06 - Review of DBE Contract Goals and Good Faith Efforts



Office of Policy Development and Quality Assurance

Issued - September 24, 2014

Expires - upon issuance of the LPP

Review of the Disadvantaged Business Enterprise (DBE)
Contract Goals and Good Faith Efforts – Pilot Study

#### I. BACKGROUND

On December 31, 2013, the California Department of Transportation (Caltrans) submitted specific steps and milestones to the Federal Highway Administration (FHWA), which would enable Caltrans to meet the overall DBE goal of 12.5% for the Federal Fiscal Year (FFY) of 2014. This was done in accordance with the 49 Code of Federal Regulations (CFR) 26.47(c), because Caltrans fell short of its overall DBE goal for FFY 2013. Caltrans proposed that the Division of Local Assistance (DLA) initiate a pilot study to review and approve all contract goals on construction contracts over \$2 million and consultant contracts over \$500,000. In addition, if the aforementioned contracts are awarded on the basis of a Good Faith Effort (GFE), DLA will review and provide feedback to the agency on the bidder/proposer's GFE prior to awarding the contract. DLA needs to take these steps because greater coordination of the contract goal setting is needed for Caltrans to meet its overall DBE goal. Also, a recent GFE process review showed that agencies consistently awarded contracts to the low bidder regardless of the adequacy of the GFE.

On March 6, 2014, FHWA responded to Caltrans' letter from December 31, 2013, and required that DLA track anticipated award dates for all projects, regardless of dollar limits, during the authorization phase. DLA will then follow up with the agency to obtain DBE data, i.e., commitments, award amounts and dates, and contract goals, if the agency is negligent in submitting this information at time of award. This will permit Caltrans to more accurately track overall DBE goal attainment and make adjustments to meet it.

#### II. POLICY



# LPP Example





#### Local Programs Procedures

LPP 15-01 Manual Update Subject: Consultant Selection

Reference: Local Assistance Procedures Manual

Chapter 10 Consultant Selection

Division of Local Assistance

#### WHAT IS AN LPP



## **DLA Forms**















Home Programs

ams Local Assistance

(Please DO NOT open the form in Browser. Right-click

above link and choose "save link/target as" to save

Forms

Local Assistance Procedures Manual (LAPM) Forms

#### Local Assistance Procedures Manual (LAPM) Forms

All forms below are provided in PDF or fillable PDF(F-PDF) version along with a Word or Excel version if available.

If you need a special form (fillable PDF with or without header/footer, Word or Excel), which is not posted in the following table, or find any error on the form, please contact DLA Publication Manager at <a href="mailto:DLAPublications@dot.ca.gov">DLAPublications@dot.ca.gov</a>

# Exhibit 2-A: Caltrans Local Assistance Offices (deleted) Exhibit 2-B: Federal-Aid Project Responsibilities List for Delegated Projects Off SHS (PDF) Chapter 3 Project Authorization LAPM 3-A: Project Authorization/Adjustment Request (REV 08/2020) Superseded by LAPM 3-A as of April 1, 2019 Exhibit 3-A: Request for Authorization to Proceed with

Preliminary Engineering

#### Forms

- Funding Allocation Request Form
- Local Assistance Procedures Manual (LAPM)
   Forms
- Local Assistance Program Guidelines (LAPG)
   Forms

https://dot.ca.gov/programs/local-assistance/forms/local-assistance-procedures-manual-forms

Exhibit 3-B: Request for Authorization to Proceed with



# 2014 Contract Administration Core Curriculum



Contract
Administration
Core
Curriculum
Manual

October 2014

Federal Highway Administration HIPA-30



## Other Websites



- Caltrans DLA Home Page: www.dot.ca.gov/localassistance/
- Consultant Selection and Procurement: http://www.dot.ca.gov/hq/LocalPrograms/AE/
- FHWA Home Page: www.fhwa.dot.gov/
- Federal Aid Essentials for Local Public Agencies:
   www.fhwa.dot.gov/federal-aidessentials/index.cfm
- Planning Agencies' FTIPs: www.dot.ca.gov/hq/transprog/oftmp.htm
- California LTAP Center
- www.Californialtap.org
- The Local Assistance Blog ("LAB"): www.localassistanceblog.com



# **Local Assistance Blog**







#### Visit www.rebuildingca.ca.gov/ to learn more about Senate Bill 1

Check out the CTC's SB1 Workshop Schedule

# Webinar on A&E Consultant Contract Compliance

October 10, 2017 by Pauline Cueva

Caltrans Division of Local Assistance is hosting an online webinar on Architectural & Engineering (A&E) Consultant Contract Compliance. The revised Local Assistance Procedures Manual (LAPM) Form 10-C Consultant Contract Reviewer's Checklist will be introduced accompanied by the new procedure. This new procedure went into effect October 1, 2017, requiring all agencies to obtain acceptance of ... Read more

- Training
- Nake, architectural, caltrans, consultant, contracts, engineering, local agencies
- Leave a comment

Subscribe to the Caltrans Local Assistance Email list to receive updates to this blog and news related to the federal-aid process and our publications.

Enter first name

Enter last name

Enter your email

District (1 - 12, HQ, Other)



# **DLAE Contact Information**



#### **District 01 Local Assistance**

Suzi Theiss

Public: (707) 445-6399, FAX: (707) 441-2048

#### **District 02 Local Assistance**

Ian Howat

Public: (530) 225-3484, FAX: (530) 225-3020

#### **District 03 Local Assistance**

Bomasur Banzon

Public: (530) 741-5714, FAX: (530) 741-5714

#### **District 04 Local Assistance**

Xi Zhang (Acting)

Public: (510) 286-5226, FAX: (510) 286-5705

#### **District 05 Local Assistance**

Reinie Jones (Acting)

Public: (805) 549-3316, FAX: (805) 549-3558

#### **District 06 Local Assistance**

Jim Perrault

Public: (559) 445-5417, FAX: (559) 445-5425

#### **District 07 Local Assistance**

Steve Novotny - Steve. Novotny@dot.ca.gov Public: (213) 897-4289, FAX: (213) 897-2999

#### **District 08 Local Assistance**

Albert Vergel de Dios (Acting)

Public: (909) 806-4759, FAX: (909) 383-7131

#### **District 09 Local Assistance**

Forest Becket - Forest.Becket@dot.ca.gov Public: (760) 872-0681, FAX: (760)-872-5236

#### **District 10 Local Assistance**

Parminder Singh - Parminder. Singh@dot.ca.gov Public: (209) 948-3689, FAX: (209) 948-3820

#### **District 11 Local Assistance**

Bing Luu – bing.luu@dot.ca.gov

Public: (619) 220-5311, Fax: (619) 220-5432

#### **District 12 Local Assistance**

Tifini Tran- tifini.Tran @dot.ca.gov

Public: (657) 328-6275

https://dot.ca.gov/programs/local-assistance/other-



# PS&E CHECKLIST (LAPM 12-D)



# **PS&E Checklist**



ocal Assistance Procedures Manual	Exhibit 12- PS&E Checkli
Ехнівіт 12-Д Р	S&E CHECKLIST
Agency	Federal Project No.
This form is to be completed by the local agency and atta instructions and the referenced attachments.	ched to the PS&E Certification. See Exhibit 12-E for
HIGHWAY SYSTEM AND FUNCTIONAL CLASSIFICAT	ΠΟΝ (Check applicable box)
A. National Highway System	
On the National Highway System (NHS)	Off the NHS
B. Functional Classification (Check as many as an	opropriate)
On the Federal-aid System	Off the Federal-aid System
Principal Arterial - Fwy or Exprwy	Rural Minor Collector
Other Principal Arterial	Local
Minor Arterial	
Major Collector	
Urban Minor Collector	
I. PROJECT SCOPE OF WORK (Check applicable box)	
PS&E is consistent with the scope of work identi	ified in a scoping document or application.
PS&E is consistent with the scope of work that wa appropriate approvals were obtained.	was revised during a later phase of development and
II. TYPE OF CONSTRUCTION (Check applicable box)	
New or Reconstruction	
Resurfacing, Restoration and Rehabilitation (3R)	)
Preventive Maintenance	
V. METHOD OF CONSTRUCTION	
A. Contracting Method (Check appropriate box)	
Competitive bidding	
Other than competitive bidding. (If the cont check the appropriate box below).	racting method is other than competitive bidding,
	mal FHWA oversight). A Public Interest Finding ral and filed in the contract records justifying the metho
	igher degree of FHWA oversight). A Public een submitted and approved by Caltrans and FHWA.
B. Force Account (Day Labor) (Check appropriate	te box)
The entire work will be constructed by cont	ract as indicated above.
Some work (incidental to the main purpose	of the project) will be constructed by Force Account.

# Federal Requirements

- ✓ Project documents
- ✓ Construction method
- ✓ Design standards
- ✓ Contract provisions
- ✓ DBE goal
- ✓ Preliminary estimate
- ✓ 23 CFR Parts 230, 630, 633, 635, and 636
- ✓ 49 CFR 26

# **Local Agency Certification**





Local Assistance Procedures Manual

Exhibit 12-C PS&E Certification

#### EXHIBIT 12-C PS&E CERTIFICATION

[Place this form on Local Agency Letterhead]

To:

District Local Assistance Engineer

District Local Assistance Engineer

Caltrans, Office of Local Assistance

District Address

Dear District Local Assistance Engineer

Dear District Local Assistance Engineer

With submission of the attached PS&E CHECKLIST for the above subject project, I hereby certify that the project was designed and prepared for advertisement in accordance with the California Department of Transportation (Caltrans) Local Assistance Procedures Manual.

I understand Caltrans may not be performing a review of this Plans, Specifications and Estimate (PS&E) at this time but that all documents relating to this project are subject to review by the Federal Highway Administration or Caltrans in order to verify this PS&E certification. I also understand if deficiencies are found in subsequent review the following actions will be considered:

- Where minor deficiencies are found, PS&E certification for future projects may be conditioned or not accepted until the deficiencies are corrected.
- (2) Where deficiencies are of such magnitude as to create doubt that the policies and objectives of Title 23 of the United States Code (or other applicable federal and State laws) will not be accomplished by the project, federal funding may be withdrawn.

	(Signature, Title)	
	(Local Agency)	
Professional Registration Number:		
Expiration Date:		
Attachment list of attachment		

Page 1 of 1 August 12, 2013

# Federal-aid Highway System



Local Assistance Procedures Manual

EXHIBIT 12-D PS&E Checklist

EXHIBIT 12-D PS&E CHEC	CKI	JST
------------------------	-----	-----

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

- ✓ Eligibility
- ✓ Design standards
- ✓ PS&E requirements

II. PROJECT SCOPE OF WORK (Check applicable box)

PS&E is consistent with the scope of work identified in a scoping document or application.



# **National Highway System**





# **Functional Classification**



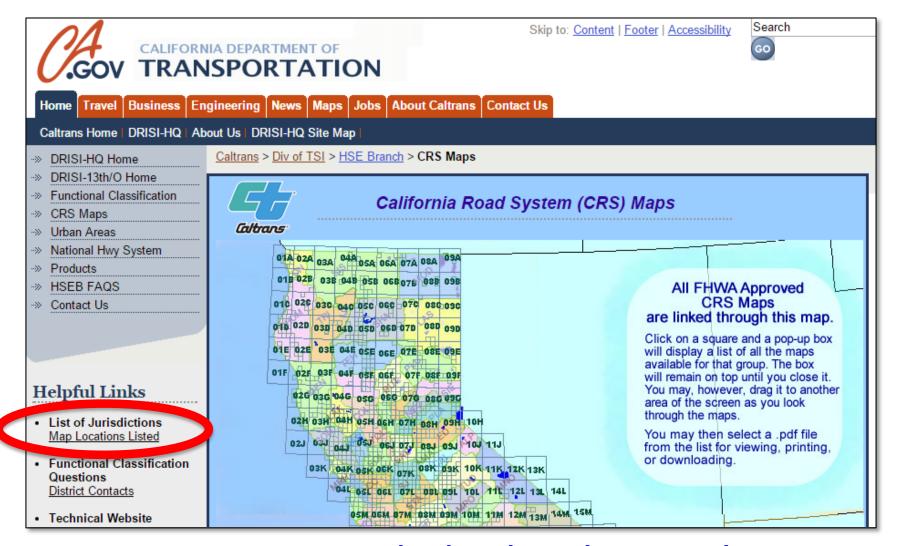
Code	Category	Urban	Rural
1	Interstate	✓	<b>✓</b>
2	Freeways or Expressways	<b>√</b>	✓
3	Principal Arterials	✓	✓
4	Minor Arterials	<b>√</b>	✓
5	Major Collector	✓	✓
6	Minor Collector	✓	*
7	Local	*	*

<sup>✓</sup> On Federal-aid System ➤ Off Federal-aid System



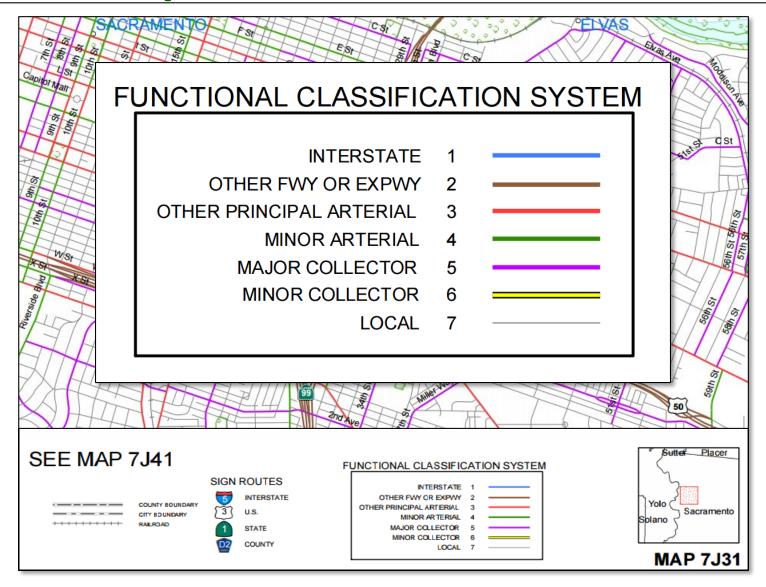
# California Road System (CRS) Maps





# **CRS Example**





# **Project Scope of Work**

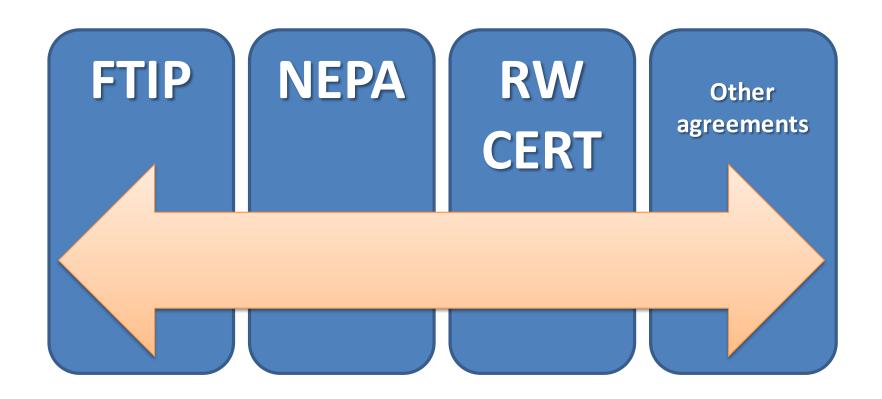


1. HIGHWAY SYSTEM AND FUNCTIONAL CLASSIFIC	ATION (Check applicable box)	
A. National Highway System		
On the National Highway System (NHS)	Off the NHS	
B. Functional Classification (Check as many as	appropriate)	
On the Federal-aid System	Off the Federal-aid System	
Principal Arterial - Fwy or Exprwy	Rural Minor Collector	
Other Principal Arterial	Local	
Minor Arterial		
Major Collector		
Urban Minor Collector		
Consis	tency	
III. TYPE OF CONSTRUCTION (Check applicable box	x)	
· 11		
New or Reconstruction		
New or Reconstruction  Resurfacing, Restoration and Rehabilitation (3)	R)	
Resurfacing, Restoration and Rehabilitation (3)	R)	
	R)	
Resurfacing, Restoration and Rehabilitation (3)	R)	
Resurfacing, Restoration and Rehabilitation (3) Preventive Maintenance		7



# **Project Scope of Work**





# **Type of Construction**



II. PROJECT SCOPE OF WORK (Check applicable box)  PS&E is consistent with the scope of work identified in a scoping document or application.  PS&E is consistent with the scope of work that was revised during a later phase of development and appropriate approvals were obtained.
Design standards
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 the appropriate box below).
The project is "Delegated" (subject to minimal FHWA oversight). A Public Interest Finding has been submitted to the DLAE for approval and filed in the contract records justifying the method.
The project is "High Profile" (subject to a higher degree of FHWA oversight). A Public Interest Finding justifying the method has been submitted and approved by Caltrans and FHWA.



# **Types of Projects**









New
Construction
or
Reconstruction

Resurfacing,
Restoration,
or
Rehabilitation
(3R)

**Preventative Maintenance** 

# **Method of Construction**



- III. TYPE OF CONSTRUCTION (Check applicable box)
  - New or Reconstruction
  - Resurfacing, Restoration and Rehabilitation (3R)
  - Preventive Maintenance
- IV. METHOD OF CONSTRUCTION
  - A. Contracting Method (Check appropriate box)
    - Competitive bidding

How are you going to complete the construction work?



# **Method of Construction (Video)**





www.fhwa.dot.gov/federal-aidessentials/catmod.cfm?id=24 37

# **Federal-aid Contracting Basics**





# **Cost-Plus-Time (A+B)**



### A + (B x Daily Road User Cost) = Bid value

Bidder	AA	ВВ	CC	DD
Cost (A)	\$1,500,000	\$1,550,000	\$1,700,000	\$1,800,000
Daily Rd User Cost				
Time (B) - Calendar day				
B x Daily Rd User Cost				
Total A +( B x Daily Rd User Cost)				34





Award Limit = \$2,000,000

Bidder	AA	ВВ	CC	DD
Base	\$1,500,000	\$1,600,000	\$1,700,000	\$1,800,000
Option A				
Option B				
Option C				
Total Base+A+B				

# **Non-competitive Methods**





# 12-F: Cost-Effectiveness/ Public Interest Finding

Local Assistance Procedures Manual



	Local Prosperance Procedures Manual	Cost-Effectiveness Determination/Publ	ic Interest Finding	
	EXHIBIT 12-F COST-EFFECTIVES	NESS/PUBLIC INTEREST FINDING		
	U.S. DEPARTMENT OF TRANSPORTATION	FEDERAL HIGHWAY ADMINISTRATION	CALIFORNIA DEPARTMENT OF TRANSPORTATION	
	COST-EFFECTIVENESS/PI	UBLIC INTEREST FINDING		
	COST-EFFECTIVENESS DETERMINATION REQUIRED	PUBLIC INTEREST DETERMININATION		
	Use of publicly owned equipment (23 CFR 635.106)	<ul> <li>Use of non-competitive negotiated consultant contracts (</li> <li>Use of publicly furnished materials (23 CFR 635.407)</li> </ul>		
		<ul> <li>Use of proprietary products and processes (23 CFR 635.4</li> <li>Use of contracting method other than competitive bidding</li> </ul>		
		635.104/204)/*		· · ·
(	COST-EFFECTIVENESS/	PUBLIC INTER	EST FINDI	\G
COST-EFFECTIVENESS DET	ERMINATION REQUIRED	PUBLIC IN	TEREST DETE	RMININATION REQUIRED
■ Use of force account (23 CFR 635.20	4, 205)*	Use of non-compet	titive negotiated co	nsultant contracts (23 CFR 172.7) (a) (3)*
Use of publicly owned equipment (23	CFR 635.106)	Use of publicly fur	nished materials (	3 CFR 635.407)
Other*:		Use of proprietary	products and proc	sses (23 CFR 635.411)***
<b>_</b>		Use of contracting	method other than	competitive bidding (23 CFR
		635.104/204)*		7 (0
		,	orrow/disposal sit	s (23 CFR 635.407)
* Requires Caltrans District approva	1		-	
** Requires FHWA approval				(23 CFR 635.112)*
*** Must be emailed to Proprietary.PIF		_	ierica Requiremen	s (23 CFR 635.410)**
must accompany PIF if no suitable		Other*:		
item is essential for synchronization	with existing highway facility.			
FEDERAL-AID PROJECT	CLASS OF FEDERAL FUNDS:	M NH	STP OTH	R:
	REMARKS (STATE) :			
	PREPARED/APPROVED BY LOCAL AGENCY'S REPRESENTATIVE	REPRESENTATIVE NAME AND TITLE:	Date:	
	*APPROVED BY DISTRICT LOCAL ASSISTANCE ENGINEER (DLAE)	DLAE NAME:	Date:	
	**APPROVED BY FHWA (Buy America Waiver only)	FHWA REPRESENTATIVE NAME:	Date:	
	Distribution: (1) Local Agency File - Original; (2) DLAE - Copy; (3) Caltrans I	Project Manager - Copy if on the SHS		
				27

EVHIRIT 12.F

Page 1 of 3

# **Environmental Analysis**



	constructed by Force Account check the appropriate box below).
	The project is "Delegated" (subject to minimal FHWA oversight). A Public Interest Finding has been submitted to the DLAE for approval and filed in the contract records justifying the method.
	The project is "High Profile" (subject to a higher degree of FHWA oversight). A Public Interest Finding justifying the method has been submitted and approved by Caltrans and FHWA.
	Project specific
VI. VAI	UE ENGINEERING ANALYSIS (VA) (NHS projects only - Check appropriate box )
	VA 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. VA has not been performed as the estimated total project cost is <\$50 million.
	The project is a bridge project. VA has not been performed as the total project cost is <\$40 million.
VII. GEO	METRIC DESIGN STANDARDS (Complete this section only if project changes existing geometrics)
A. (	Geometric Design Standards Used
	Caltrans Design Standards (on State Highway System)
ŀ	Current AASHTO Standards (Green Book)
i i	
	3R Projects – Exhibit 11-A Geometric Design Standards for Local 3R Projects of the Local Assistance Procedures Manual.

# **Environmental Analysis**



Review
Environmental
Document
Approval

Locate in Plans and Specifications

Advertise for Construction











**Exam Commitments** 

**Alert Bidders** 

# Value Engineering Analysis



40

The project is "Delegated" (subject to minimal FHWA oversight). A Public Interest Finding has been submitted to the DLAE for approval and filed in the contract records justifying the method.  The project is "High Profile" (subject to a higher degree of FHWA oversight). A Public
The project is "High Profile" (subject to a higher 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.

### On National Highway System\*

- > \$50M <u>or</u>
- Bridge project > \$40M

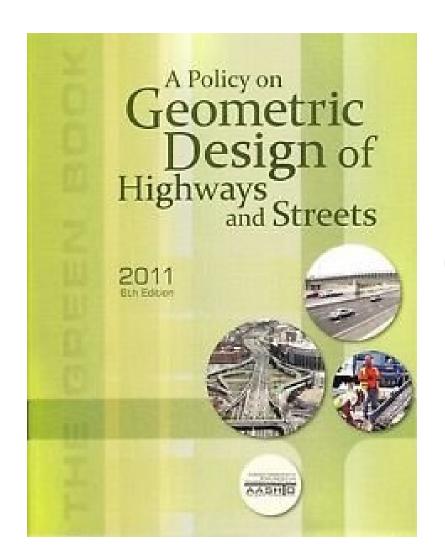
VII. GEOMETRIC DESIGN STANDARDS (Complete this section only if project changes existing geometrics)

A. Geometric Design Standards Used	
Caltrans Design Standards (on State Highway System)	
Current AASHTO Standards (Green Book)	
3R Projects – Exhibit 11-A Geometric Design Standards for Lo Assistance Procedures Manual.	ocal 3R Projects of the Local
Local Agency Design Standards (non NHS only) approved	Date:



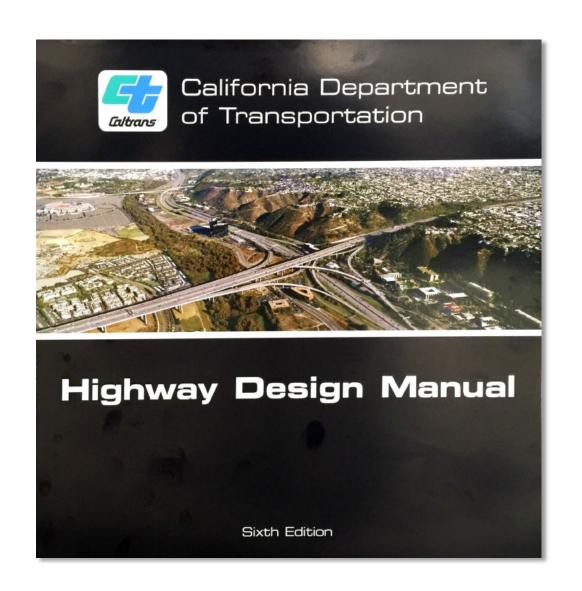
	constructed by Force Account check the appropriate box below).
	The project is "Delegated" (subject to minimal FHWA oversight). A Public Interest Finding has been submitted to the DLAE for approval and filed in the contract records justifying the method.
	The project is "High Profile" (subject to a higher degree of FHWA oversight). A Public Interest Finding justifying the method has been submitted and approved by Caltrans and FHWA.
V. 1	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 ANALYSIS (VA) (NHS projects only - Check appropriate box )
[	VA 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. VA has not been performed as the estimated total project cost is <\$50 million.
[	The project is a bridge project. VA has not been performed as the total project cost is <\$40 million.
VII.	GEOMETRIC DESIGN STANDARDS (Complete this section only if project changes existing geometrics)
	Caltrans Design Standards (on State Highway System)
	Current AASHTO Standards (Green Book)
	3R Projects – Exhibit 11-A Geometric Design Standards for Local 3R Projects of the Local Assistance Procedures Manual.
	Local Agency Design Standards (non NHS only) approved Date:





# AASHTO "Green Book"





Caltrans
Highway
Design
Manual



Local Assistance Procedures Manual

EXHIBIT 11-A

Geometric Design Guidelines for Local 3R Projects

#### EXHIBIT 11-A GEOMETRIC DESIGN GUIDELINES FOR LOCAL 3R PROJECTS (OFF THE SHS)

Table 11-1: Lane and Shoulder Widths Arterial Roads and Streets

Design Year Volume (ADT)	Design Speed (mph)	Lane Width (feet)	Shoulder Width [a] (feet)	Total Roadway Width (feet)
Low Volumes:				
1 - 750 ADT	All	10	2	24
High Volumes:				
751 - 2,000 ADT	All	12	2 [b]	28 [c]
Over 2,000 ADT	All	12	6 [b]	36 [c]

- [a] All shoulders on rural and urban arterials to be paved.
- [b] Reduce by 1 foot for highways on mountainous terrain.
- [c] Reduce by 2 feet for highways on mountainous terrain.

Table 11-2: Lane and Shoulder Widths Collector Roads and Streets

Design Year Volume (ADT)	Design Speed [a] (mph)	Lane Width (feet)	Shoulder Width [b] (feet)	Total Roadway Width (feet)
Low Volumes:				
1 - 750 ADT	All	10	2	24
High Volumes:				
751 - 2,000 ADT	Under 50	10	2 [c]	24 [d]
	50 and over	12	2 [c]	28 [d]
Over 2,000 ADT	All	12	4 [c]	32 [d]

- [a] Highway segments should be classified as "under 50" only if most vehicles have an average speed of less than 50 mph over the length of the segment
- [b] All shoulders on collector roads and streets to be paved.
- Reduce by 1 foot for highways on mountainous terrain
- [d] Reduce by 2 feet for highways on mountainous terrain.

Table 11-3: Lane and Shoulder Widths Local Roads and Streets

Design Year Volume (ADT)	Design Speed [a] (mph)	Lane Width (feet)	Shoulder Width (feet)	Total Roadway Width (feet)
Low Volumes:				
1 - 750 ADT	All	10	2	24
High Volumes:				
751 - 2,000 ADT	Under 50	10	2 [b]	24 [c]
	50 and over	12	2 [b]	28 [c]
Over 2,000 ADT	All	12	4 [b]	32 [c]

- [a] Highway segments should be classified as "under 50" only if most vehicles have an average speed of less than 50 mph over the length of the segment.
- [b] Reduce by 1 foot for highways on mountainous terrain.
- [c] Reduce by 2 feet for highways on mountainous terrain.

LAPM Exhibit 11-A

Page 1 of 4 April 2016





- ✓ Approved
  - ✓ County Board of Supervisors
  - ✓ City Council
- ✓ CA registered civil engineer
- ✓ Reviewed with AASHTO updates



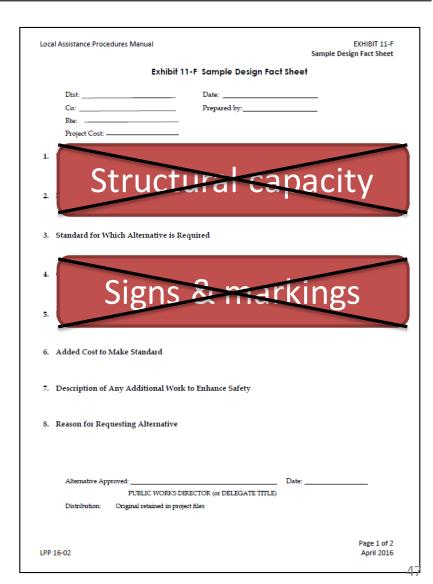
Standards	NHS	Non-NHS	SHS
Geometric Design of Highways and Streets			*
California Departement. of Thensportation  Highway Design Manual			
Service Servic			*
	*		*

## **Design Alternatives**



## **Controlling Criteria**

- Design speed
- Cross slope
- Lane & shoulder width
- Superelevation
- Horizontal & vertical alignment
- Stopping sight distance
- Bridge width
- Grades



# **Bridge Design Procedures**



Local	Assistance Proce	Laures Manuar			PS&E C	BIT 12-D Checklist
					zontal Clearance ical Clearance	
<b>✓</b>	Caltra	ns Bridge D	esign Spe	rification	s Mani	ıal
					IJ IVIGIJ	4 CI I
	Califo	rnia Amend	lments to	the AASI		
✓	Califo		lments to	the AASI		
	Califo	rnia Amend Design Sp	lments to	the AASI		
	Califor Bridge	rnia Amend Design Sp	lments to	the AASI		
	Califor Bridge STANDARD PLAN Caltrans S	rnia Amend e Design Sp	lments to ecification	the AASI		
	Califor Bridge STANDARD PLAN Caltrans S Standard	rnia Amend e Design Spe ss Standard Plans	lments to ecification	the AASI		

# **Plans & Specifications**



IX. STANDARD PLANS	
Current Caltrans Standard Plans	
Standard Plans for Public Works Construction	
Local Approved Standard Plans:	
Date signed (on behalf of the local agency) by a person in response registered professional engineer licensed to practice in the State	
Local Assistance Procedures Manual	Exhibit 12-D PS&E Checklist
X. PROJECT PLANS AND SPECIFICATIONS	
Cover sheet of plans and specifications signed and stamped on behalf of the in responsible charge, and who is a registered professional engineer licensed California.	
Traffic Control Plans or reference to Standard Plan and Signs/Striping Plans Additionally, Traffic Management Plans are required to be on file for all rec other projects [including projects on the State Highway System not funded traffic delays are anticipated and as a result from project activities).	construction, rehabilitation, and
Erosion Control Plan.	
Americans with Disabilities Act (ADA) is being fully complied with include for Accessible Guidelines for Buildings and Facilities (ADAAG), Title Regulations and local codes.	
XI. STANDARD SPECIFICATIONS USED	
Current Caltrans Standard Specifications and Standard Special Provisions	
Standard Specifications for Public Works Construction (Green Book)	
Locally Approved Standard Specifications	

#### **Standard Plans**





- 2018 Caltrans
   Standard Plans\*
- 2018 Standard Plans for Public Works Construction
- Local Standard Plans
  - Signed by CA registered engineer

<sup>\*</sup> Required for projects on SHS

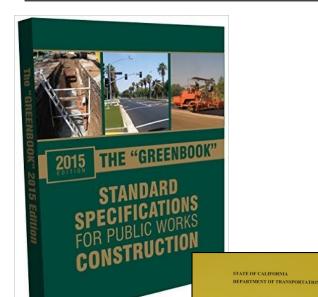
# **Standard Specifications**

STANDARD

2015

**SPECIFICATIONS** 



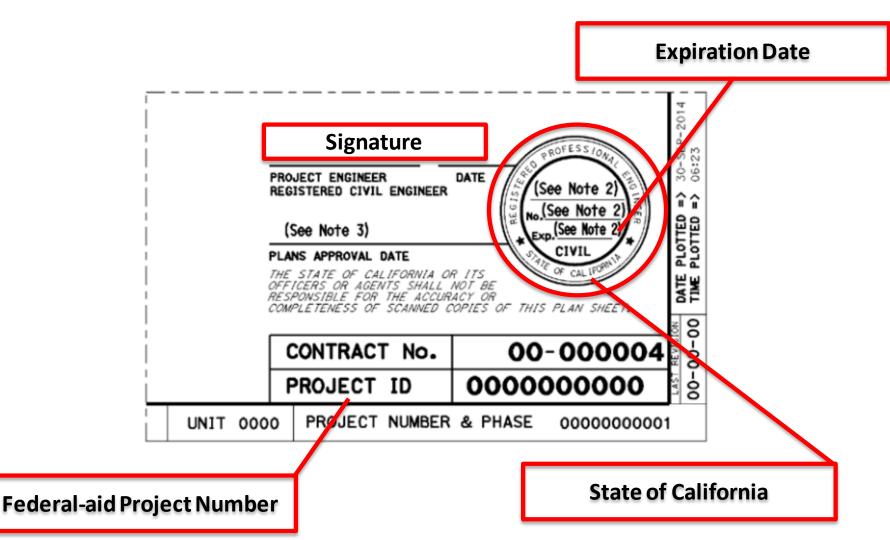


- 2018 Caltrans Standard Specifications\*
- 2018 Standard Specifications for **Public Works** Construction
- Local Standard **Specifications**

<sup>\*</sup> Required for projects on SHS

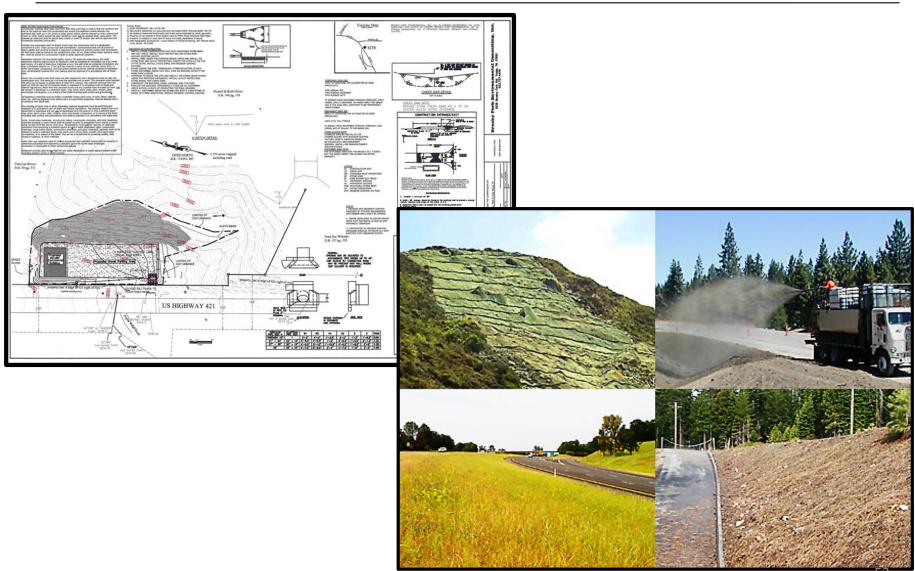
# Plan Sheet and Specification Signatures





## **Erosion Control Plans**

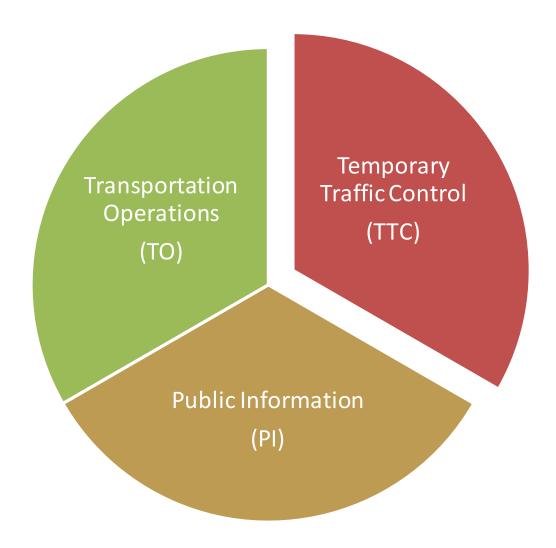






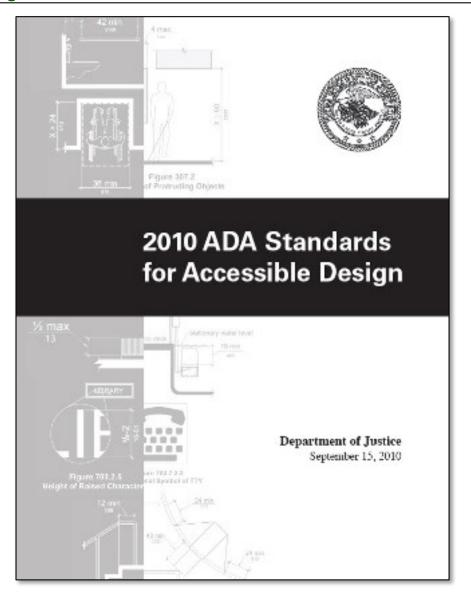
# **Transportation Management Plan**





# **ADA Compliance Plans**

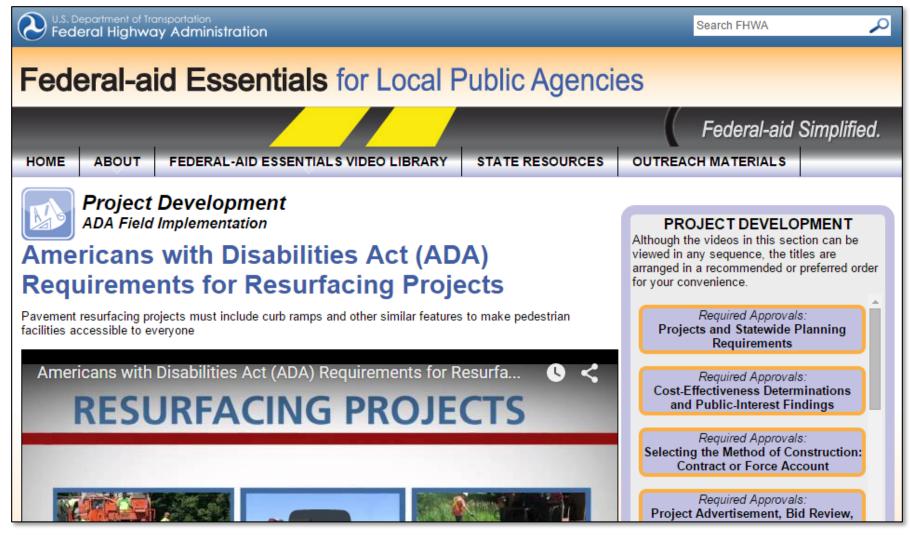






# ADA Requirements for Resurfacing (Video)





www.fhwa.dot.gov/federal-aidessentials/catmod.cfm?id=107<sub>56</sub>

# **Resurfacing Projects**





#### **Maintenance Activities**





# **Federal Requirements**



# **Required Contract Provisions**



Disadvantaged Business Enterprises	Buy America		
Bid Opening	Quality Assurance		
Bid Rigging	Prompt Payment of Funds Withheld from Subcontractors		
Contract Award	FHWA Form-1273		
Contractor License	Female and Minority Goals		
Changed Conditions	Federal Trainee Program		
Beginning of Work, Time of Completion, and Liquidated Damages	Title VI Assurances		

Use of United States – Flag Vessels

# 12-G: Required Contract Language



Local Assistance Procedures Manual

Exhibit 12-G Required Federal-Aid Contract Language

#### EXHIBIT 12-G REQUIRED FEDERAL-AID CONTRACT LANGUAGE (For Local Assistance Construction Projects)

The following language must be incorporated into all Local Assistance Federal-aid construction contracts. The following language, with minor edits, was taken from the Code of Federal Regulations.

1.	DISADVANTAGED BUSINESS ENTERPRISES (DBE)	2
	A. DBE COMMITMENT SUBMITTAL	2
	B. GOOD FAITH EFFORTS SUBMITTAL	3
	C. EXHIBIT 15-G - CONSTRUCTION CONTRACT DBE COMMITMENT	4
	D. SUBCONTRACTOR AND DISADVANTAGED BUSINESS ENTERPRISE RECORDS	4
	E. PERFORMANCE OF DISADVANTAGED BUSINESS ENTERPRISES	4
2.	BID OPENING.	_6
3.	BID RIGGING.	-
4.	CONTRACT AWARD	
5.	CONTRACTOR LICENSE	
6.	CHANGED CONDITIONS	_
	A. DIFFERING SITE CONDITION	
	B. SUSPENSIONS OF WORK ORDERED BY THE ENGINEER.	_
	C. SIGNIFICANT CHANGES IN THE CHARACTER OF WORK	
7.	BEGINNING OF WORK, TIME OF COMPLETION AND LIQUIDATED DAMAGES	
8.	BUY AMERICA	_
	RNISH STEEL AND IRON MATERIALS TO BE INCORPORATED INTO THE WORK WITH CERTIFICATES OF IMPLIANCE, STEEL AND IRON MATERIALS MUST BE PRODUCED IN THE U.S. EXCEPT	
9.	QUALITY ASSURANCE	
10.	PROMPT PAYMENT OF FUNDS WITHHELD TO SUBCONTRACTORS	
11.	FORM FHWA-1273 REQUIRED CONTRACT PROVISIONS FEDERAL-AID CONTRACTS	
12.	FEMALE AND MINORITY GOALS	11
13.	FEDERAL TRAINEE PROGRAM	1
14.	TITLE VI ASSURANCE	
15.	. USE OF UNITED STATES-FLAG VESSELS (CARGO PREFERENCE ACT)	,

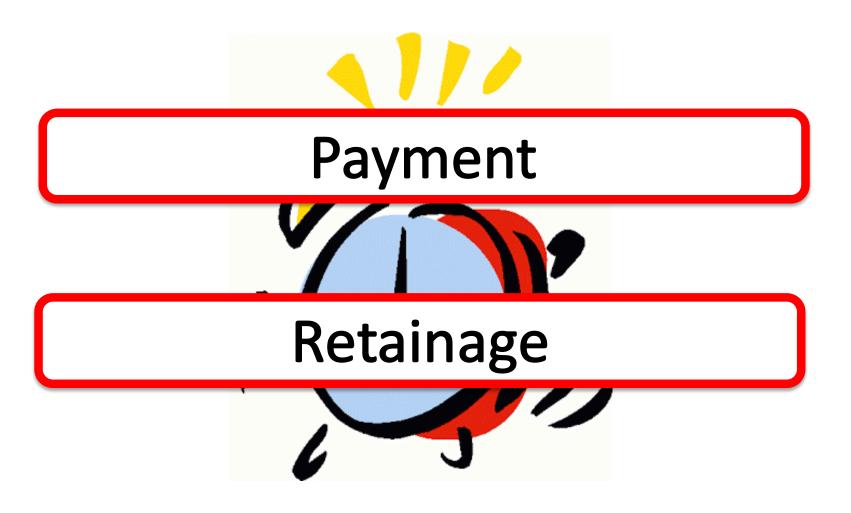
# **Changed Conditions**





# Prompt Payment of Funds Withheld to Subcontractors





## **Federal Trainee Program**



#### **Work Categories:**

- Earthwork (except for imported borrow)
- Pile driving
- Portland Cement Concrete (except for precast concrete)
- Masonry
- Bar reinforcing and pre-stressing steel
- Structural steel erection
- Electrical
- Buildings

#### FEDERAL TRAINEE SCHEDULE

Cost for Work Category	Number of Trainees	Cost for Work Category	Number of Trainees	
< 400,000	0	16,000,000	15	
≥ 400,000	1	18,000,000	16	
700,000	2	20,000,000	17	
1,000,000	3	23,000,000	18	
1,500,000	4	26,000,000	19	
2,000,000	5	29,000,000	20	
2,500,000	6	33,000,000	21	
3,000,000	7	37,000,000	22	
4,000,000	8	41,000,000	23	
5,000,000	9	45,000,000	24	
6,500,000	10	50,000,000	25	
8,000,000	11	> 50,000,000	*	
10,000,000	12			
12,000,000	13			
14,000,000	14			

#### **Contracts > 100 Working Days**



## **Liquidated Damages**



#### LIQUIDATED DAMAGES TABLE (L%)

Project Type									
Project Estimate	Resurfacing*/ Rehab	New Highway	Realignment/ Widening	Landscaping	Soundwall	Others			
Over \$30 million	10%	10%	13%	15%	15%	15%			
\$10 million to \$30 million	10%	12%	15%	15%	15%	15%			
\$5 million to \$10 million	10%	15%	15%	15%	15%	15%			
\$750k to \$5 million	15%	15%	15%	18%	18%	15%			
Less than \$750k	15%	20%	20%	18%	20%	15%			

Resurfacing projects include asphalt concrete (AC) surfacing, seal coats, slurry seals, etc.

(L%) x (Engr. Estimate + RE Office Expense) = Liq. Dam./working days



## **Buy America**



# Non-domestic Iron or Steel

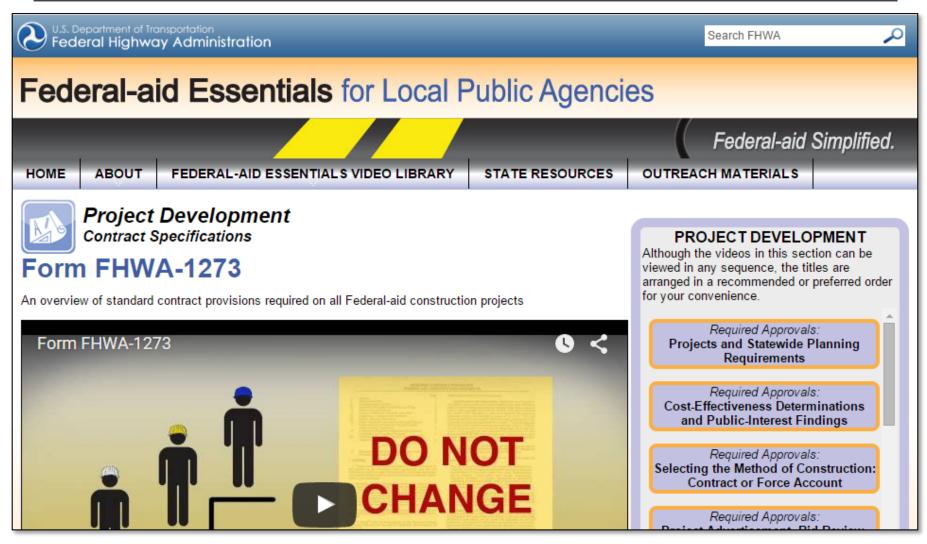
### Minimum threshold

0.1%

\$2,500

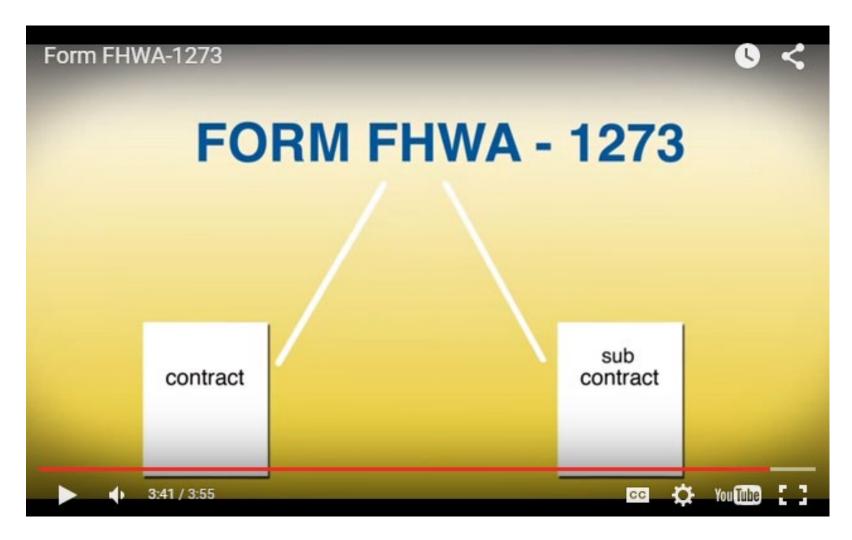
# Form FHWA-1273 (Video)





### Form FHWA-1273





Incorporate unmodified version into executed contracts

# Disadvantaged Business Enterprise Program





# Disadvantaged Business Enterprise Program



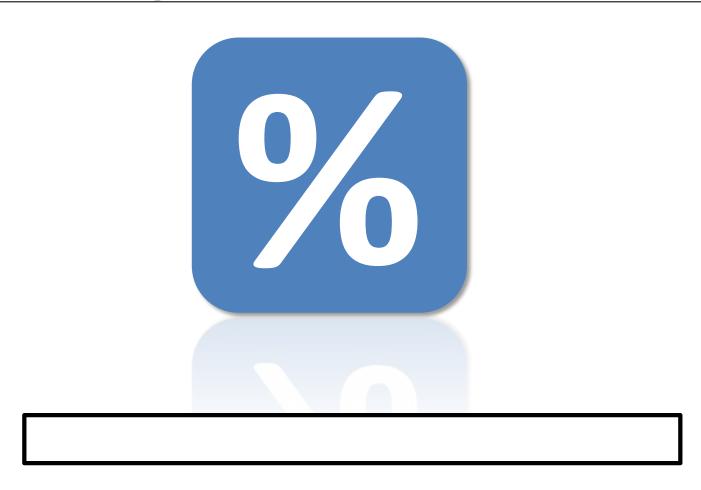




Office of Business and Economic Opportunity

### **Goal Setting**





www.dot.ca.gov/hq/LocalPrograms/DBE/2015/DBE\_Goal\_Setting.mp4

# 9-D: DBE Contract Goal Methodology



Local Assistance Procedures Manual

EXHIBIT 9-D DBE Contract Goal Methodology

EXHIBIT 9-D DBE CONTRACT GOAL METHODOLOGY

#### Policy:

Local Agencies must submit DBE Contract Goals, including calculations for each contract funded with federal funds (as shown below on "DBE Contract Goal - Example") along with the Exhibit 12-D, "PS&E Checklist".

#### Procedure for Calculating DBE Contract Goal:

- 1. The cost estimate for the project must be finalized.
  - For a construction project: the approximate, lump sum, final pay quantities and associated costs for each item of work must be completed.
  - For a consultant project: the scope of work along with the cost estimate for the various professional disciplines necessary to complete the scope of work must be completed.
- 2. Determine from the final cost estimate what work items will be (typically) done by the prime contractor what work items can be subcontracted out. This does not mean that if the prime contractor is capable of performing all the work items, then no work can or will be subcontracted out. The Agency should make Good Faith Efforts to identify work items that can be subcontracted to DBEs. This can be done by reviewing past projects or from past experience to assess what work can be done by the prime and what work can be subcontracted out.
  - For example, in an AC overlay project, traffic control, striping, pavement marking, and storm water preparation are typically subcontracted out, and in a bridge design project, geotechnical, computer aided drafting (CAD), and surveying can be subcontracted out. Since each project can be unique, care should be exercised in properly identifying work items that can be subcontracted out.
- 3. Determine the "DBE Work Factor" for each item of work to be subcontracted. The Work Factor is the percentage of work that can be performed by a DBE subcontractor for each item of work:

#### **DBE Goal Setting Methodology**



- Classify work (subcontractor, trucking, material/supply)
- 2. Determine work category codes for subcontractor work items
- 3. Search the California Unified Certification Program database
- 4. Apply DBE factors to items of work (100%, 10%, 12%)
- 5. Calculate a soft goal
- 6. Apply 80% factor
- 7. Round to nearest whole percent

## **Preliminary Engineer's Estimate**



		То	tal Engine	er's Estimate	\$707,454.00
Item No.	Item Description	Unit of Measure	Quantity	Engineers Estimate	Total
1	Mobilization	LS	1	\$10,000	\$10,000
2	Mediator	LS	1	\$15,000	\$15,000
3	Dust Control PPP	LS	1	\$5,000	\$5,000
4	Storm Water PPP	LS	1	\$5,000	\$5,000
5	Traffic Control	LS	1	\$15,000	\$15,000
6	Clearing and Grubbing	LS	1	\$30,000	\$30,000
7	Adjust Facilities to	EA	15	\$800	\$12,000
8	Subgrade prep	CY	1285	\$15	\$19,275
9	Import Borrow	CY	965	\$15	\$14,475
10	Hot Mix Asphalt	TON	115	\$85	\$9,775
11	6" Curb and gutter	LF	1740	\$17	\$29,580

#### 1. Classify Work









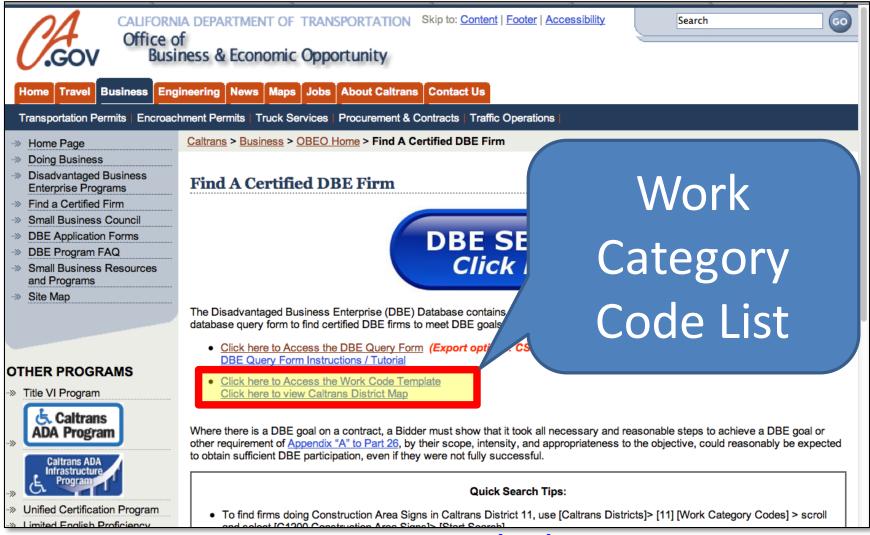
## 1. Classify Work



	Lane (		uction te and safety. Work on signing and s	triping with ir	ntersection in	npr	oveme			
#	Qty	Unit	Item Description	Unit Price	Total	ı	erforme by Sub (Y/N)?	d	ruckir Suppl Mate olved	y of
1	1	LS	Mobilization	\$ 55,000.00	\$ 55,000.00					
2	1	LS	Traffic Control	\$ 50,000.00	\$ 50,000.00					
3	1	LS	Storm Water Pollution Prevention Plan	\$ 20,560.00	\$ 20,560.00					
4	362	CY	Roadway Excavation	\$ 75.00	\$ 27,150.00					
5	1	EA	Relocate Bus Bench	\$ 200.00	\$ 200.00					
6	2,050	TON	Construct Hot Mix Asphalt	\$ 125.00	\$ 256,250.00					
7	2,570	CY	Construct Aggregate Base Class II	\$ 40.00	\$ 102,800.00					
8	82	CY	Concrete Bus Pad, including Monolithic Curb, Lean Concrete Base and Sub-base	\$ 250.00	\$ 20,500.00					
9	1	LS	Clearing and Grubbing	\$ 75,000.00	\$ 75,000.00			_		
10	1	LS	Signing and Striping	\$ 140,000.00	\$ 140,000.00					
11	1	LS	Traffic Signal Modifications	\$ 50,000.00	\$ 50,000.00					

#### 2. Determine Work Category Codes





#### 2. Determine Work Category Codes



Work Code	Category	Description	License Requirement	NAICS Code(s)
C1200	CONSTRUCTION AREA SIGNS	Places traffic equipment at a construction site. Places the construction zone signs on side of the road.	C-31 Construction Zone Traffic Control Contractor - CSLB	561990 - All other Support Services 238990 - All Other Specialty Trade Contractors
C1201	TRAFFIC CONTROL SYSTEM	The person putting the orange cones or large barrels out at a construction site. Places the big orange construction zone signs on side of the road.	C-31 Construction Zone Traffic Control Contractor - CSLB	561990 - All other Support Services 238990 - All Other Specialty Trade Contractors
C1210	TRAFFIC COUNT	A person counting traffic in a specific area for statistical data.	C-31 Construction Zone Traffic Control Contractor - CSLB	561990 - All other Support Services 238990 - All Other Specialty Trade Contractors
C1522	RESET, ADJUST ROADWAY ITEMS	Moving or adjusting manholes or guard rails. Any adjustments made to existing highway facilities.	C-32 Parking and Highway Improvement Coordinator - CSLB	561990 - All other Support Services
C1531  Work Code Utilizat	PLANE ASPHALT CONCRETE  ion Construction Construction Sup	Cold planing is the controlled milling of pavement to restore the surface to a specified profile.  Ruppe rute and other surface plier   Professional Services   Truckers&Transportation   Al	A-General Engineering Contractor OR Concrete Industries   Sheet1 (+)	237310 - Highway, Street and Bridge Construction

#### 2. Determine Work Category Codes

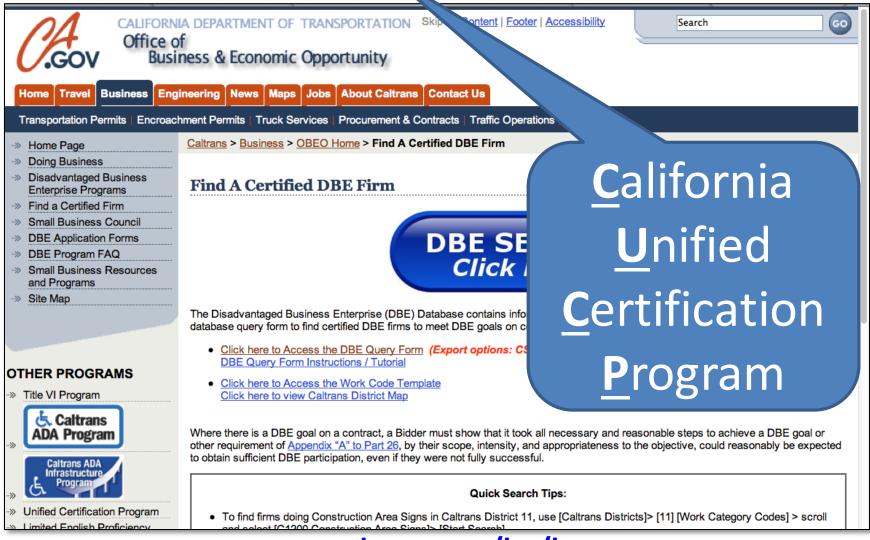


C1201	TRAFFIC CONTROL SYSTEM	C8405	THERMOPLASTIC TRAFFIC STRIPING & MARKING
C1522	RESET, ADJUST ROADWAY ITEMS	C8406	PAINTED TRAFFIC STRIPING & MARKING
C1601	CLEARING & GRUBBING	C8852	SWPPP PLANNING
C7301	CONCRETE CURB & SIDEWALK- MI	SC	

					Performed by	Trucking or	Work Category
Qty	Unit	Item Description	Unit Price	Total	Sub (Y/N)	Supply (Y/N)	Code
1	LS	Mobilization	\$ 55,000.00	\$ 55,000.00	Ν		
1	LS	Traffic Control	\$ 50,000.00	\$ 50,000.00	Υ		
		Storm Water Pollution					
1	LS	Prevention Plan	\$ 20,560.00	\$ 20,560.00	Υ		
362	CY	Roadway Excavation	\$ 75.00	\$ 27,150.00	N	Υ	
1	EA	Relocate Bus Bench	\$ 200.00	\$ 200.00	Y		
2,050	TON	Construct Hot Mix Asphalt	\$ 125.00	\$ 256,250.00	N	Y	
		Construct Aggregate Base					
2,570	CY	Class II	\$ 40.00	\$ 102,800.00	N	Υ	
		Concrete Bus Pad, including					
		Monolithic Curb, Lean					
82	CY	Concrete Base and Sub-base	\$ 250.00	\$ 20,500.00	Y		
1	LS	Clearing and Grubbing	\$ 75,000.00	\$ 75,000.00	Υ		
1	LS	Signing and Striping	\$ 140,000.00	\$ 140,000.00	Υ		
1	LS	Modify Signal	\$ 50,000.00	\$ 50,000.00	N	Y	

#### 3. Search the CUCP.





#### **CUCP Database**



#### **Disadvantaged Business Enterprise Firm Search**

Sun Mar 15 13:03:01 PDT 2015

Enter one or more search criteria. (You do **not** have to enter data for every search option listed.)

Hold down the CTRL key to select more than one item for a single criteria. Click Start Search to begin.

**NOTE:** To export all certified firms, click on the Start Search - Export Options button. Do not select or enter any search criteria.

**WARNING:** If you select or enter a large number of search criteria, the Export function will fail. To export desired data, you will need to run multiple queries.

Please Note: DBE Certificates do not expire - - firms that do not continue to meet DBE criteria are decertified and removed from the database.

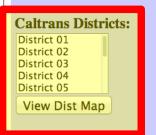
For Bidders: It is recommended that when making a query to locate certified DBEs for subcontracting opportunities, your search include, at minimum, "Work Categories" and "NAICS Categories."

\*NEW\* Work Code C8715 - Consultant, Engineering, has been added (only disadvantaged owners holding an engineering license qualify for this code); Work Code C8700 - Consultants, has been re-classified as Consultants, Non-Engineering.

Civil Rights Home

Caltrans Home

Instructions/Tutorial





#### Work Category Codes:

A0110 CASH GRAINS
A0130 FIELD CROPS, EXCEPT CASH GRAINS
A0160 VEGETABLES & MELONS
A0170 FRUITS & TREE NUTS
A0180 HORTICULTURAL SPECIALTIES

View Work Cat. Codes

\*\*You may need to upgrade your Browser to view/download this\*\*

#### **Majority Owner Gender:**

• DBE 

ACDBE

#### Race/Ethnicity: License Type:

Asian Pacific
Asian Subcontinent
Black
Caucasian
Hispanic

A General Eng
ARC Architect
ASB Asbestos
B General Built
C02 Insulation

A General Engineering Contractor ARC Architect ASB Asbestos B General Building Contractor CO2 Insulation and Accoustical Contractor

**NAICS Codes:** 

#### **NAICS Categories:**

11 Agriculture, Forestry, Fishing, and Hunting

21 Minine

31

#### **CUCP Results Example**



Back To Query Form

**Search Returned 36 Records** 

Wed Mar 18 14:0

**Query Criteria** 

District: 04

Work Codes: C1201 TRAFFIC CONTROL SYSTEM

Firm Type: DBE

Firm ID 5270

Firm/DBA Name A B S L CONSTRUCTION Address Line1 29393 PACIFIC ST

Address Line2

 City
 HAYWARD

 State
 CA

 Zip Code1
 94544

 Zip Code2
 Page 1

Mailing Address Line1

Mailing Address Line2

Mailing City Mailing State Mailing Zip Code1 Mailing Zip Code2

Certification Type DB

EMail daryl@abslconstruction.com

Contact Name LUIS M. ALLENDE

 Area Code
 (510)

 Phone Number
 727-0900

 Fax Area Code
 (510)

 Fax Phone Number
 727-0910

Agency Name DEPARTMENT OF TRANSPORTATION

51; 52; 53; 54; 55; 56; 57; 58;

**Districts** 01: 02: 03: 04: 05: 06: 07: 08: 09: 10: 11: 12:

#### 3. Search the CUCP



			Performed by	Trucking or	Work Category	Number of
Item Description	Unit Price	Total	Sub (Y/N)	Supply (Y/N)	Code	Available DBEs
Mobilization	\$ 55,000.00	\$ 55,000.00	N			
Traffic Control	\$ 50,000.00	\$ 50,000.00	Y		C1201	
Storm Water Pollution						
Prevention Plan	\$ 20,560.00	\$ 20,560.00	Υ		C8852	
Roadway Excavation	\$ 75.00	\$ 27,150.00	N	Υ		
Relocate Bus Bench	\$ 200.00	\$ 200.00	Υ		C1522	
Construct Hot Mix Asphalt	\$ 125.00	\$ 256,250.00	N	Υ		
Construct Aggregate Base						
Class II	\$ 40.00	\$ 102,800.00	N	Υ		
Concrete Bus Pad, including						
Monolithic Curb, Lean						
Concrete Base and Sub-base	\$ 250.00	\$ 20,500.00	Υ		C7301	
Clearing and Grubbing	\$ 75,000.00	\$ 75,000.00	Y		C1601	
Signing and Striping	\$ 140,000.00	\$ 140,000.00	Y		C8405/C8406	
Modify Signal	\$ 50,000.00	\$ 50,000.00	N	Υ		

## 4. Apply DBE Factors















## 4. Apply DBE Factors



Item Description	Total	Performed by Sub (Y/N)	Trucking or Supply (Y/N)	Work Code	Number of Available DBEs	Wk. Est Factor	DBE \$ Amount
Mobilization	\$55,000.00	N					\$0.00
Traffic Control	\$50,000.00	Υ		C1201	36	100%	\$50,000.00
Storm Water Pollution							
Prevention Plan	\$20,560.00	Υ		C8852	53	100%	\$20,560.00
Roadway Excavation	\$27,150.00	N	Υ			10%	\$2,715.00
Relocate Bus Bench	\$200.00	Υ		C1522	5	0%	\$0.00
Construct Hot Mix Asphalt	\$256,250.00	N	Υ			10%	\$25,625.00
Construct Aggregate Base							
Class II	\$102,800.00	N	Υ			10%	\$10,280.00
Concrete Bus Pad, including							
monolithic Curb, Lean							
Concrete and Sub-base	\$20,500.00	Υ		C7301	7	100%	\$20,500.00
Clearing and Grubbing	\$75,000.00	Υ		C1601	52	100%	\$75,000.00
Signing and Striping	\$140,000.00	Υ		C8405/C8406	5	0%	\$0.00
Modify Signal	\$50,000.00	N	Υ			12%	\$6,000.00

#### 5. Calculate Soft Goal



Item Description	Total	Performed by Sub (Y/N)	Trucking or Supply (Y/N)	Work Code	Number of Available DBEs	Wk. Est Factor	DBE \$ Amount
Mobilization	\$55,						\$0.00
Traffic Control			0,6	QN	36	100%	\$50,000.00
Storm Water Pollution			U,U	OU			
Prevention Plan					53	100%	\$20,560.00
Roadway Excavation						10%	\$2,715.00
Relocate Bus Bench		70		C 0	5	0%	\$0.00
Construct Hot Mix Asphalt	\$256,		7,4	$\mathbf{b}$		10%	\$25,625.00
Construct Aggregate Base				UU			
Class II	<b>\$</b> 102,					10%	\$10,280.00
Concrete Bus Pad, including							
monolithic Curb, Lean							
Concrete and Sub-base	\$20,500.00	Υ			7	100%	\$20,500.00
Clearing and Grubbing	\$75,000.00	Υ		C	52	100%	\$75,000.00
Signing and Striping	\$140,000.00	Υ		C8405/C8406	5	0%	\$0.00
Modify Signal	\$50,000.00	N	Y			12%	\$6,000.00
	\$797,460.00				TOTAL DBE WOF	RK AMOUNT	\$210,680.00
					S	oft DBE Goal	26.42

## 6. Apply 60% Factor



Item Description	Total	Performed by Sub (Y/N)	Trucking or Supply (Y/N)	Work Code	Number of Available DBEs	Wk. Est Factor	DBE \$ Amount
Mobilization	\$55,000.00	N					\$0.00
Traffic Control	\$50,000.00	Υ		C1201	C1201	36	\$50,000.00
Storm Water Pollution							
Prevention Plan	\$20,560.00	Υ		C8852		53	\$20,560.00
Roadway Excavation	\$27,150.00	N	Υ	C1522		5	\$2,715.00
Relocate Bus Bench							\$0.00
Construct Hot Mix As		170		0.8			\$25,625.00
Construct Aggregate B	40 K	4 7 4 7	n X				
Class II							\$10,280.00
Concrete Bus Pad, inc							
monolithic Curb, Lean							
Concrete and Sub-base	\$20,500.00	Υ					\$0.00
Clearing and Grubbing	\$75,000.00	Υ		C1601		7	\$75,000.00
Signing and Striping	\$140,000.00	Υ		C8405/C8406		52	\$0.00
Modify Signal	\$50,000.00	N	Υ			5	\$6,000.00
	\$797,460.00				TOTAL E WORK	AMOUNT	\$190,180.00
					So	oft DBE Goal	23.85
						DBE Goal	21.14%

#### 7. Round to the Nearest %



Item Description	Total	Performed by Sub (Y/N)	Trucking or Supply (Y/N)	Work Code	Number of Available DBEs	Wk. Est Factor	DBE \$ Amount
Mobilization	\$55,000.00	N					\$0.00
Traffic Control	\$50,000.00	Y		C1201	36	100%	\$50,000.00
Storm Water Pollution							
Prevention Plan	\$20,560.00	Υ		C8852	53	100%	\$20,560.00
Roadway Excavation		N				10%	\$2,715.00
Relocate Bus Bench	\$200.00	Y		( C	5	0%	\$0.00
Construct Hot Mix Asphalt	\$256,250.00	N				10%	\$25,625.00
Construct Aggregate Base							
Class II	\$102,	N				10%	\$10,280.00
Concrete Bus Pad, including monolithic Curb, Lean							
Concrete and Sub-base	\$20,500.00	Y		C7301	7	100%	\$20,500.00
Clearing and Grubbing	\$75,000.00	Υ		C1601	52	100%	\$75,000.00
Signing and Striping	\$140,000.00	Υ		C8405/C8406	5	0%	\$0.00
Modify Signal	\$50,000.00	N	Y			12%	\$6,000.00
	\$797,460.00				TOTAL DBE WOF	RK AMOUNT	\$210,680.00
					S	oft DBE Goal	26.42
						DBE Goal	21.14%

#### **DBE Goal Setting Methodology**



- Classify work (subcontractor, trucking, material/supply)
- Determine work category codes for subcontractor work items
- 3. Search the California Unified Certification Program database
- 4. Apply DBE factors to items of work (100%, 10%, 12%)
- 5. Calculate a soft goal
- 6. Apply 80% factor
- 7. Round to nearest whole percent

#### **Review of DBE Goal**



- ✓ DLA-OB 14-06
- ✓ Construction contracts > \$2,000,000
- ✓ Consultant contracts > \$500,000
- ✓ Exhibit 9-D to Dbegoal.gfe@dot.ca.gov
- ✓ OBEO reviews within 15 business days



#### **Common Questions**





- Contingency
- Low or no goals
- Other methods
- Methodology changes

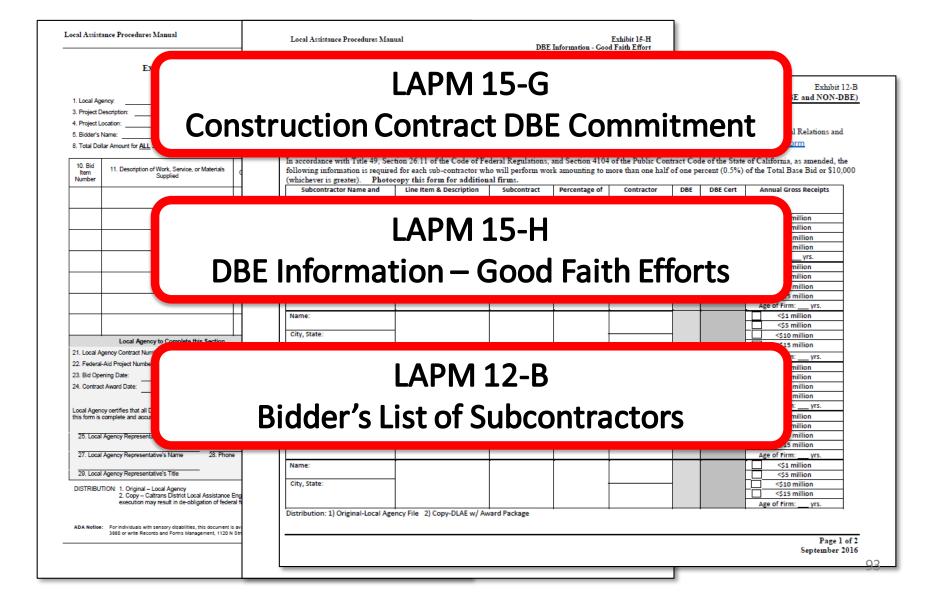
#### **Certifications/Disclosures**



Local Assistance Proce	Local Assistance Procedu	Local Assistance Procedu	Local Assistance Procedu	Local Assistance Procedures Manual Exhibit 12-H Sample Bid
In conformance declares that the company, associ the bidder has no and has not direct	Name and Address  (THE BIDDE ALSO CONS	The bidder, under penalty therewith in the capacity o  is not currently un Federal agency; has not been susp within the past 3 y does not have a pr has not been indic	The prospective participant belief, that:  (1) No Federal approprime influencing or atter officer or employes Federal contract, the cooperative agreem contract, grant, loas  (2) If any funds other trattempting to influe employee of Congriloan, or cooperative Lobbying Activities	DISCLOSURE OF LOBBYING ACTIVITIES  COMPLETE THIS FORM TO DISCLOSE LOBBYING ACTIVITIES PURSUANT TO 31 U.S.C. 1352  1. Type of Federal Action:  a. contract  a. contract  b. grant  c. cooperative agreement d. loan e. loan guarantee f. loan insurance f. loan insurance f. loan misurance  4. Name and Address of Reporting Entity  Subawardee Tier  prime  Subawardee Tier  if known  Congressional District, if known  Congressional District, if known  Congressional District, if known  7. Federal Program Name/Description:
partnership, com effectuate a collu	Note: The above certifics CFR 60-1.7(b) (1)) contracts and subcontracts are subcontracted and subcontrac	Exceptions will not necess responsibility. For any exaction.	2-H, S	11. Amount of Payment (check all that apply)  S actual planned  12. Form of Payment (check all that apply):
Note: The abo portion Bidders prosecu	regulations.	Notes: Providing false in The above certific shall also constitu		14. Brief Description of Services Performed or to be performed and Date(s) of Service, including officer(s), employee(s), or member(s) contacted, for Payment Indicated in Item 11:  (attach Continuation Sheet(s) if necessary)  15. Continuation Sheet(s) attached:  Yes No

#### **Other Required Forms**







#### **Federal Wage Rates**



Federal-aid Highway Construction **Projects** 

**Final Contract** 

"10-day rule"

Advertising Package



#### **Relations with Railroad**









Joen I I John March 1 I	rocedures Manual	Exhibit 12-D PS&E Checklist
	bit 12-B Bidder's List of Subcontractors (DBE and Non-I ontractors listed by the prime contractor	
E. Federal W	Vage Rates	
Local requir update rates s signe	ral wage rates are physically incorporated into this contra Agencies shall comply with the federal "10-day rule" ved to access the federal wage rates within ten days prior ted rates have been posted. If the updated wage rates exishall be issued by an addendum by Local Agencies. The dby the local agency and the contractor must physical ral wage rates.	there Local Agencies are to bid opening to check if st, the revised federal wage final contract documents
refere applic as des	ral wage rates are not physically incorporated in the conti enced to an Internet web site address on page number cable federal wage rates can be found. Local Agencies si scribed above. The final contract documents signed by physically include the current federal wage rates.	of the Special Provisions where the nall comply with the federal "10-day rul
Feder	ral Wage Rates are not required since this project is not le	ocated on a Federal-aid route.
F. Relations v	with Railroad	
The re	equired provisions are included	
T1:		1
This p	project does not involve the use of railroad properties or	adjustments to railroad facilities.
	project does not involve the use of railroad properties or D CONTRACT PROVISIONS (CHECK APPROPRIATE BOX)	
	D CONTRACT PROVISIONS (CHECK APPROPRIATE BOX)	
XIII. RESTRICTED	D CONTRACT PROVISIONS (CHECK APPROPRIATE BOX)	
A. Indian Pr	D CONTRACT PROVISIONS (CHECK APPROPRIATE BOX) references	
A. Indian Pr	D CONTRACT PROVISIONS (CHECK APPROPRIATE BOX) references ncluded ded. The project is on or near the	
A. Indian Pr Not in Include B. Bonding a Bondin of a b or nor	D CONTRACT PROVISIONS (CHECK APPROPRIATE BOX) references included ded. The project is on or near the and Prequalification ling or prequalification, if required, will not be used to reside by, or prohibit consideration of a bid submitted by any intestident of the State of California.	Indian Reservation.
A. Indian Pr Not in Include B. Bonding a Bondi of a b or nor C. Price Adju	D CONTRACT PROVISIONS (CHECK APPROPRIATE BOX) references included ded. The project is on or near the and Prequalification ling or prequalification, if required, will not be used to reside by, or prohibit consideration of a bid submitted by any intersident of the State of California.  ustment Clauses	Indian Reservation.
A. Indian Pr Not in Includ B. Bonding a Bondi of a b or not C. Price Adju	D CONTRACT PROVISIONS (CHECK APPROPRIATE BOX) references included ded. The project is on or near the and Prequalification ling or prequalification, if required, will not be used to revide by, or prohibit consideration of a bid submitted by am mresident of the State of California. ustment Clauses adjustment clauses are not included.	Indian Reservation. strict competition, prevent submission responsible contractor, whether a reside
A. Indian Pr  Not in  Include  B. Bonding a  Bonding of a b  or no  C. Price Adju  Price  Price	D CONTRACT PROVISIONS (CHECK APPROPRIATE BOX) references included ded. The project is on or near the and Prequalification ling or prequalification, if required, will not be used to reside by, or prohibit consideration of a bid submitted by any intersident of the State of California.  ustment Clauses	Indian Reservation.  strict competition, prevent submission responsible contractor, whether a reside
A. Indian Pr Not in Include B. Bonding a Bonding of a b or not C. Price Adju Price Price been t	D CONTRACT PROVISIONS (CHECK APPROPRIATE BOX) references included ded. The project is on or near the and Prequalification ling or prequalification, if required, will not be used to resid by, or prohibit consideration of a bid submitted by any interestication of the State of California.  ustment Clauses adjustment clauses are not included. adjustment clauses are included. The federal conditions:	Indian Reservation.  Strict competition, prevent submission or responsible contractor, whether a residence trestricting the use of these clauses have
A. Indian Pr Not in Include B. Bonding a Bondi of a b or not C. Price Adju Price Price been t D. Warranty	D CONTRACT PROVISIONS (CHECK APPROPRIATE BOX) references included ded. The project is on or near the and Prequalification ing or prequalification, if required, will not be used to reside by or prohibit consideration of a bid submitted by any intersident of the State of California.  ustment Clauses adjustment clauses are not included. adjustment clauses are included. The federal conditions is met and are documented in the project files.	Indian Reservation.  Strict competition, prevent submission or responsible contractor, whether a residence trestricting the use of these clauses have
A. Indian Pr  A. Indian Pr  Not ir  Include  B. Bonding a  Bonding of a bo  of a bo  of r no  C. Price Adju  Price  Price been r  D. Warranty  Warranty  Warranty  Warranty	D CONTRACT PROVISIONS (CHECK APPROPRIATE BOX) references included ded. The project is on or near the and Prequalification ling or prequalification, if required, will not be used to reside by, or prohibit consideration of a bid submitted by any mesident of the State of California.  ustment Clauses adjustment clauses are not included. adjustment clauses are included. The federal conditions is met and are documented in the project files.  Clauses (Complete this section if project is on the NHS)	Indian Reservation.  strict competition, prevent submission responsible contractor, whether a reside restricting the use of these clauses have
A. Indian Pr  Not in  Include  B. Bonding a  Bonding of a b  of n to  C. Price Adju  Price  Price been in  D. Warranty  Warranty  Warranty  Warranty	D CONTRACT PROVISIONS (CHECK APPROPRIATE BOX) references included ded. The project is on or near the and Prequalification ing or prequalification, if required, will not be used to re ind by, or prohibit consideration of a bid submitted by any mesident of the State of California.  ustment Clauses adjustment clauses are not included. adjustment clauses are included. The federal conditions is met and are documented in the project files.  **Clauses (Complete this section if project is on the NHS) anty Clauses are not included anty Clauses are included. Documentation of the required the project files.	Indian Reservation.  strict competition, prevent submission responsible contractor, whether a reside restricting the use of these clauses have
A. Indian Pr Not in Include B. Bonding a Bonding farb or not C. Price Adju Price Price been r  D. Warranty Warra is in the	D CONTRACT PROVISIONS (CHECK APPROPRIATE BOX) references included ded. The project is on or near the and Prequalification ing or prequalification, if required, will not be used to re ind by, or prohibit consideration of a bid submitted by any mesident of the State of California.  ustment Clauses adjustment clauses are not included. adjustment clauses are included. The federal conditions is met and are documented in the project files.  **Clauses (Complete this section if project is on the NHS) anty Clauses are not included anty Clauses are included. Documentation of the required the project files.	Indian Reservation.  strict competition, prevent submission responsible contractor, whether a reside restricting the use of these clauses have

#### **Restricted Contract Provisions**



Indian Preferences

Price Adjustment Clauses

Bonding & Prequalification

Warranty Clauses

Proprietary Items

#### **Proprietary Items (Video)**





#### **Materials & Equipment**



Local Assistance Procedures Manual

Exhibit 12-D PS&E Checklist

PS&E Checklis	st
XIV. MATERIALS & EQUIPMENT	
A. Publicly Owned Equipment (for use by Contractor).  Not included.	
Included. A Public Interest Finding justifying this use is in project files and the project specification meet the requirements for federal participation listed in Chapter 12.	ns
B. Equipment Purchases for Local Ownership	
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.	
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	

#### **Materials & Equipment**



Publicly Owned Equipment \*

- Indicate availability, rates, and delivery points
- Provide <u>option</u> to contractor

Equipment Purchases for Local Ownership

- Partial participation (amortized cost)
- Accounted for as CE

Convict-produced Materials

- Same requirements (materials & contracting)
- Prison Industries prohibited from bidding directly

Local Agency
Furnished Materials \*

- Acquired through competitive bidding
- Subtotaled in engineer's estimate

## **Preliminary Estimate**



XV. PREL	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 rev 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.
	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. Majo	or Projects with Total Cost of \$100 Million to \$500 Million or more
XVI. Majo	or Projects with Total Cost of \$100 Million to \$500 Million or more  The total cost of this project is Expected to be less than \$100 million. No financial or project management plans are required.
XVI. Majo	The total cost of this project is Expected to be less than \$100 million. No financial or project
XVI. Majo	The total cost of this project is Expected to be less than \$100 million. No financial or project management plans are required.  This project is expected to be \$100 million or more. A Financial Plan is required and has been prepared.
XVI. Majo	The total cost of this project is Expected to be less than \$100 million. No financial or project management plans are required.  This project is expected to be \$100 million or more. A Financial Plan is required and has been prepared and submitted to the DLAE. Approval Date:

#### 12-A: Preliminary Estimate



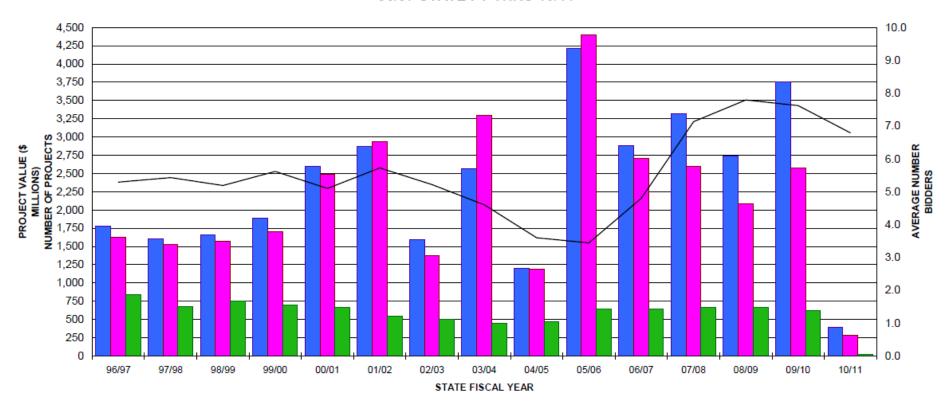
	EXHIBIT 12-A P	RELIMINARY E	STIMATE OF	COST		
EPARTMENT OF TRAN PRELIMINARY EST				SHEET	r OF	
Bid Opening Date	Project ID	Budget Al	location	Date	Or	
District County	Route PM	Source of	Funds			
ederal-aid Number	Description					
tem Jumber	Item Description	Unit	Quantity	Unit Price	Amount	
dinoer						
			+			
			+			
			+			
4:36						
ength in Miles:				SUBTOTAL		
			Conti	ngencies%		
		Co	onstruction En			
Completed By:				TOTAL		
Checked By:		Appro	Approved:			

- ✓ Adequate detail
  - ✓ Descriptions
  - ✓ Quantities
  - ✓ Unit Price
  - ✓ Amounts
- ✓ Other estimates
  - ✓ Non-participating items
  - ✓ Construction Engineering
  - ✓ Agency furnished materials
  - ✓ Force account work

## Caltrans – Low Bid vs. EE and Average Number of Bidders



DIVISION OF ENGINEERING SERVICES - EXECUTIVE SUMMARY
LOW BID VS ENGINEER'S ESTIMATE
NUMBER OF PROJECTS & AVERAGE NUMBER OF BIDDERS
96/97 STATE FY THRU 10/11



Average Number of Bidders

## **Major Projects**

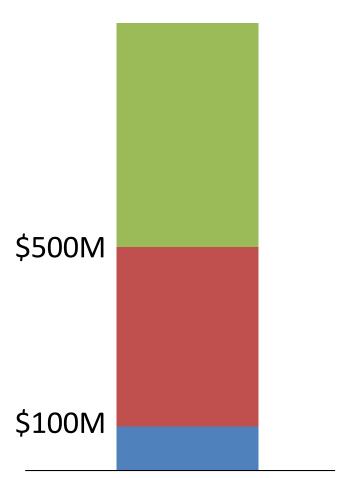


XV. PRELI	IMINARY ESTIMATE
	Exhibit 12-A or equivalent has been completed and is attached.
	The estimate is broken down into items sufficient in detail to provide an initial prediction of the financial obligation to be incurred by the local agency, State and FHWA and to permit an effective review and 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.
	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. Majo	or Projects with Total Cost of \$100 Million to \$500 Million or more
	The total cost of this project is Expected to be less than \$100 million. No financial or project management plans are required.
	This project is expected to be \$100 million or more. A Financial Plan is required and has been prepared and submitted to the DLAE. Approval Date:
	This project is 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 Approval Date
	Page 6 of 7

#### **Major Project Requirements**







# Project Management Plan

**Financial Plan** 

#### **Local Agency Signature**



Local Assistance Procedures Manual	Exhibit 12-D PS&E Checklist
XVII. Local Agency Signature  This Federal Contract Provisions checklist has bee  Specifications & Estimate of the Local Assistance	
Signature:	
Title:	_
XVIII. CALTRANS ACCEPTANCE	
Check appropriate acceptance statement:	
project. I have reviewed this "PS&E CHECKLIST	PS&E package, but I am aware of the scope of the I'' and agree it is complete and appears to have been ications & Estimate," of the Local Assistance Procedure

#### **Caltrans Acceptance**

Signature:



#### XVIII. CALTRANS ACCEPTANCE

It is the responsibility of Local Agencies to make sure that the PS&E package is complete, adequate for its purpose, accurate, free of defects and inaccuracies, and unambiguous. Caltrans has not conducted a comprehensive review of the PS&E package and does not assume any responsibility or liability of the accuracy, completeness or adequacy of the PS&E package as a result of the Caltrans review of the "PS&E CHECKLIST."

Check appropriate acceptance statement:	
I have reviewed this "PS&E CHECKLIST." The PS&E checklist appears to have been prepared in Accordance with Chapter 12 "Plans, Specifications & Estimate" of the Local Assistance Procedures Manual. I have not conducted a comprehensive review of the PS&E package and I cannot, therefore, attethat there are no errors, ambiguities, or omissions in the PS&E package. Caltrans assumes no liability for defect in the PS&E package by virtue of its review of the PS&E checklist.	
I have reviewed this "PS&E CHECKLIST." I have verified that the required Federal Contract Provisions are included in the specifications of the PS&E package but I have not reviewed the PS&E package in detail for other purposes. The PS&E checklist appears to have been prepared in accordance with Chapter 12 "Plans, Specifications & Estimate" of the Local Assistance Procedures Manual. I have not conducted a comprehensive review of the PS&E package and I cannot, therefore, attest that there are no errors, ambiguities, or omissions in the PS&E package. Caltrans assumes no liability for any defect in the PS&E package by virtue of its review of the PS&E checklist.	;

#### **Optional Contract Provisions**



Additive or Deductive Bid Items

Alternate Bids

Incentive / Disincentive

Price Adjustment Clauses

Innovative Contracting



# LOCAL AGENCY CONSTRUCTION CONTRACT ADMINISTRATION CHECKLIST (LAPM 15-A)



## 15-A: Contract Administration Checklist



EXHIBIT 15-A Local Agency Construction Contract Administration Checklist	Local Assistance Procedures Manual
EXHIBIT 15-A LOCAL AGENCY CONSTRUCTION CONTRAC	CT ADMINISTRATION CHECKLIST
Local Agency	
I ADVERTISE AND AWARD PROJECT	
A. Project Advertisement	
Projects are not advertised until the Authorization to construction phase has been approved by Caltrans F	
For all Federal-aid projects, a minimum of three we required (15.4 "Project Advertisement").	eks for project advertisement is
B. Contract Bid Opening All bids are opened publicly and read aloud either it bid is not read, the bidder is to be identified and the announced (15.5 "Contract Bid Opening")	
The following documents will be completed and ret	ained in the project files.
For federal-aid projects, a list of bidders and total ar breakdown (Exhibit 15-D, "Sample Bid Tabulation lowest bidders.	
☐ Bidders' list to be compiled from prime and subcont	tractors bidding or quoting on contract.
If a DBE goal is specified, the original of the Local (Construction Contracts) (Exhibit 15-G).	Agency Bidder DBE Commitment
☐ EEO Certification, The Non-Collusion Affidavit (L Disclosure of Lobbying Activities (see LAPM Exhi	
Local Agency Bid Opening Checklist (Exhibit 15-I)	
C. Contract Award	
Contracts are awarded on the basis of the lowest res (15.6 "Contract Award").	ponsive bid from a responsible bidder
For all NHS projects, a bid analysis will be perform	ed (15.6 "Contract Award").
No negotiations with contractor occurred prior to av	ward (not allowed).
	Page 1 of ?

#### **Project Advertising**

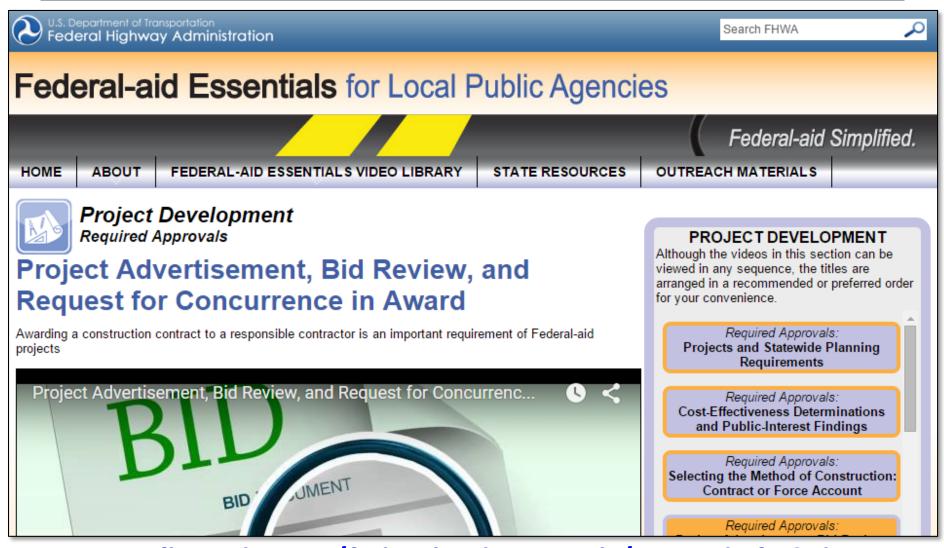


#### EXHIBIT 15-A LOCAL AGENCY CONSTRUCTION CONTRACT ADMINISTRATION CHECKLIST Local Agency \_\_ ADVERTISE AND AWARD PROJECT Project Advertisement Α. Projects are not advertised until the Authorization to Proceed (E-76) for the construction phase has been approved by Caltrans FHWA. For all Federal-aid projects, a minimum of three weeks for project advertisement is required (15.4 "Project Advertisement").

## AUJIHORIZE before vou ADVERTISE

## Advertisement, Review, and Award (Video)





#### **Minimum Advertising Period**





#### **Contract Bid Opening**





#### **Bid Analysis**



Project Advertisement, Bid Review, and Request for Concurrenc...





- 1 Is Bidder RESPONSIBLE?
  - 2 How Do Bids COMPARE? (to Engineer's Estimate)
    - 3 Is Bid RESPONSIVE?

Was there adequate COMPETITION?

CONTOAC









#### **Unbalanced Bids**



#### Mathematically

Item Description	Engineer's Estimate	Bidder A Estimate	Bidder B Estimate
Unclassified excavation 30,000 CY	\$9.50/\$285,000	\$10.00/ \$300,000	\$0.01/\$300
Embankment Borrow 10,000 CY	\$56.00/ \$50,000	\$4.50/\$45,000	\$15.00/ \$150,000
Bid Price	\$335,000	\$345,000	\$250,300

#### Materially

#### **Contract Award**





#### **Project Advertising**



B.	Contract Bid Opening
	☐ All bids are opened publicly and read aloud either item-by-item, or by total amount. If a bid is not read, the bidder is to be identified and the reason for not reading the bid announced (15.5 "Contract Bid Opening")
	The following documents will be completed and retained in the project files.
	☐ For federal-aid projects, a list of bidders and total amount bid with an item-by-item breakdown (Exhibit 15-D, "Sample Bid Tabulation Summary Sheet") of the three lowest bidders.
	☐ Bidders' list to be compiled from prime and subcontractors bidding or quoting on contract.
	☐ If a DBE goal is specified, the original of the Local Agency Bidder DBE Commitment (Construction Contracts) (Exhibit 15-G).
	☐ EEO Certification, The Non-Collusion Affidavit (LAPM), Non-Lobbying Certification , Disclosure of Lobbying Activities (see LAPM Exhibit 12-H- Sample Bid)
	☐ Local Agency Bid Opening Checklist (Exhibit 15-I)

#### 15-I: Bid Opening Checklist



	Local Agency Bid Opening Check
EXHIBIT 15-I LOCAL AGENCY BID	OPENING CHECKLIST
<b>.</b>	
Project Sponsor:	
Federal-aid Project Number:	
Project Location:	
(Caltrans District, County, Ro	oad/Street or route, Jurisdiction)
(Physical limits reference	post miles or intersections)
The state and store	
Bid opening date and time Bid opening by	Name:
Bids publicly opened and read aloud?	Yes No 🗵
Addenda certified by	165 110 🖂
Advertisement date	
Engineers Estimate Compared?	Yes □ No ⊠
Low Bidder Name	
Amount	
Number of Bidders	
Bid irregularities?	Yes □ No ⊠
Noncollusion affidavit included (Exhibit 12-E, Attachment D)?	Yes □ No ⊠
Low Bid signed?	Yes No 🗵
Exhibit 15-G Local Agency Bidder DBE Commitment included? All Addenda certified by all bidders?	Yes □ No ⊠  Yes □ No ⊠
All Addenda Certified by all bludels:	
Reviewed b	y:(Name of Local Agency Representative)
	(Name of Local Agency Representative)
Title:	
	·
Date:	
Distribution: Original - Local Agency Project File	
Distribution: Original - Local Agency Project rue	

#### 15-D: Bid Summary



Local Assistance Procedure	es Manual EXHIBIT 15-D Sample Bid Tabulation Summary Sheet
F	BID TABULATION SUMMARY SHEET (SAMPLE)
Project Information:	DISTPMAgency
Federal Project Number:	
Location:	
Limits:	

Bid Ope Estimate	ening date:ed Award date:	Enginee Estimat		Bidder # Name	1	Bidder# Name	2	Bidder : Name	# 3
Item#	Bid Item & Quantity	Unit Price	Cost	Unit Price	Cost	Unit Price	Cost	Unit Price	Cost
			\$ 0.00		\$ 0.00		\$ 0.00		\$ 0.00
			\$ 0.00		\$ 0.00		\$ 0.00		\$ 0.00
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			\$ 0.00		\$ 0.00		\$ 0.00		\$ 0.00
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			\$ 0.00		\$ 0.00		\$ 0.00		\$ 0.00
			\$ 0.00		\$ 0.00		\$ 0.0		

\$ 0.00

\$ 0.00

... and Bidder's List

- Prime contractors (30%)
- Subcontractors

Distribution: For NHS projects: (1) Original-Caltrans DLAE, (2) Copy - Local Agency Project File For Non-NHS projects: None

Page 15-25 March 15, 2001

### 15-G & 15-H: DBE Commitment and GFE



ocal Assista	ance Procedures Manual		E Construction Contract DBE C	xhibit 15-G ommitment
	EXHIBIT 15-G CONSTRUC	CTION CONT	RACT DBE COMMITMENT	
1. Local Age	ency:		2. Contract DBE Goal:	
3. Project D	lescription:			
	ocation:			
5. Bidder's N	Name:	6. Prime	Certified DBE:  7. Bid Amount:	
8. Total Doll	lar Amount for ALL Subcontractors:		Total Number of ALL Subcontractors:	
10. Bid Item Number	11. Description of Work, Service, or Materials Supplied	12. DBE Certification Number	13. DBE Contact Information (Must be certified on the date bids are opened)	14. DBE Dollar Amount
	Local Agency to Complete this Section			
21. Local Ad	gency Contract Number:			\$
	-Aid Project Number:		15. TOTAL CLAIMED DBE PARTICIPATION	
23. Bid Ope	ening Date:			%
Local Agend	t Award Date:  cy certifies that all DBE certifications are valid and incomplete and accurate.	nformation on	IMPORTANT: Identify all DEE firms being claimed regardless of tie: Names of the First Tier DEE Sub- their respective item(s) of work listed above must be where applicable with the names and ferns of the v "Subcontractor List" submitted with your bid. Write each listed DBE is required.	contractors and e consistent, vork in the
25. Local	Agency Representative's Signature 26. Date		16. Preparer's Signature 17. Da	ite
27. Local	Agency Representative's Name 28. Phon	е	18. Preparer's Name 19. Ph	none
29. Local	Agency Representative's Title		20. Preparer's Title	
DISTRIBUT	TION: 1. Original – Local Agency 2. Copy – Caltrans District Local Assistance execution may result in de-obligation of feder	Engineer (DLAE) ral funds on cont	Failure to submit to DLAE within 30 days of contract.     Include additional copy with award package.	t
ADA Notice:	: For individuals with sensory disabilities, this document is 3880 or write Records and Forms Management, 1120 N	s avaliable in altern I Street, MS-89, Sa	iate formats. For information call (916) 654-6410 or TDD (91 cramento, CA 95814.	6) 654-
			J	Page 1 of 2 uly 23, 2015

Local Assistance Procedures Manual		Exhibit 15-H DBE Information - Good Faith Effort
EXHIBIT 15-H DBE	INFORMATION—	GOOD FAITH EFFORTS
DBE INFORM	IATION - GOOD I	FAITH EFFORTS
Federal-aid Project No.	Bid	Opening Date
The esta % for this project. The information pro	ablished a Disadvanta ovided herein shows tl	ged Business Enterprise (DBE) goal of hat a good faith effort was made.
Lowest, second lowest and third lowest bidd good faith efforts. Bidders should submit the Commitment" form indicates that the bidder award of the contract if the administering ag reasons, e.g., a DBE firm was not certified at	following information has met the DBE goal ency determines that t	n even if the "Local Agency Bidder DBE l. This will protect the bidder's eligibility for he bidder failed to meet the goal for various
Submittal of only the "Local Agency Bidder to demonstrate that adequate good faith effor		form may not provide sufficient documentation
The following items are listed in the Section Provisions:	entitled "Submission	of DBE Commitment" of the Special
		equest for DBE participation for this project
Publications		Dates of Advertisement
the dates and methods used for fo	llowing up initial so	d DBEs soliciting bids for this project and licitations to determine with certainty es of solicitations, telephone records, fax
Names of DBEs Solicited	Date of Initial Solicitation	Follow Up Methods and Dates

Page 15-June 29<sub>9</sub> 20<sub>1</sub>1

OB 12-04

#### **Common Error on 15-G**



Local

3. |

4.

#### Material Supplier 60%

EXHIBIT 15-G CONSTRUCTION CONTRACT DBE COMMITMENT

#### DBE is not certified to perform the work

8. Total Dollar Amount for ALL Subcontractors:

Total Number of ALL Subcontractors:

10. Bid Item Number	11. Description of Work, Service, or Materials Supplied	12. DBE Certification Number	13. DBE Contact Information (Must be certified on the date bids are opened)	14. DBE Dollar Amount

#### What is a Good Faith Effort?



Solicitations, # Timely

**Agencies** 

Follow-up

Reasonable Bid

**Advertise** 

**Other Bidders** 

Work for DBEs

**DBE Commitment** 

**P&S Bonding** 

DBE Bids, #\$

#### **GFE Evaluation**

LPP 14-01

LPP 14-01



Local Assistance Procedures Manual EXHIBIT 9-E Local Assistance Procedur Sample Evaluation of Good Faith Efforts [How many DBEs a EXHIBIT 9-E SAMPLE EVALUATION OF GOOD FAITH EFFORTS Use the California http://www.dot.ca C. Rejected DBE Memorandum [How many DBE q [Was/were quote(s) PROJECT FILE Date: Month XX, XXXX commitment or eve Project Number: Bid Opening Date: Month XX, XXXX Bidder: [Contractor/Consultant Name] Type of Work: : [General Description of Work] D. Publication et Bid Amount: [\$ Award Amount] [What publications provide copies of pu From: Name of Agency E. Agencies, orga Subject: Evaluation of Good Faith Efforts using DBEs Name of Agency established a Disadvantaged Business Enterprise (DBE) goal of [Did the Low Bidde percent for this project. The bidder achieved percent DBE participation. Name of Agency 's evaluation of the apparent low bidder's Good Faith Efforts is F. Efforts to pro based on the "Guidance Concerning Good Faith Efforts" contained in 49 CFR Part 26, Appendix A. The [Did the Low Bidd efforts of the bidder were reviewed by the Name of Department from the information provided in Exhibit 15-H "DBE Information - Good Faith Efforts" signed and submitted by name of low bidder G. Assistance wi services Name of Agency determined that the Low Bidder did not demonstrate Good Faith [Did the Low Bidde Efforts to meet the DBE participation goal of this project for the reasons cited in this evaluation report. H. Additional da A. Items of work the bidder made available to DBE firms [Was any more inf [Describe the work and approximate dollar amount, as a percentage of total work, made available to DBEs by the Does the Low Bide Low Bidder and was this sufficient to meet the DBE contract goal? If the bidder did not make enough work [Did the 2nd or 3rd available to meet the goal, the bidder definitely did not make adequate efforts to meet the goal. The amount of bidder? When an a work made available relative to the goal is generally positively correlated with the adequacy of the bidder 's FINDING OF TH [Did the Low Bidder separate the work into economically feasible units to facilitate DBE participation?] The Name of Ages Efforts to meet the Consider the quar these efforts of a b B. Solicitation effort documentation Submitted by: [How many DBEs were originally contacted by the Low Bidder and did the Low Bidder conduct follow-up solicitations? What were the dates and was sufficient time allowed by the Low Bidder for the DBEs to respond?] [Were the DBE firms provided information about the contract (location of project, contract number, bid date, items of work made available and contact information) in the Invitation for Bid from the Low Bidder] (name) [Did the Low Bidder solicit through all reasonable and available means (e.g., attendance at pre-bid meetings, advertising and/or written notices) the interest of all certified DBEs who have the capability to perform the work of the contract?] \*Must be approved [Did the Low Bidder provide proof of aforementioned items?] Page 1 of 2

- ✓ Exhibit 9-E
- ✓ DLA-OB 14-06
- ✓ GFE reject
   Contractor is
   allowed
   Reconsideration

Page 1 of 2 July 9, 2014

#### 12-H: Certifications/Disclosures



Local Assistance Procee	Local Assistance Procedu	Local Assistance Procedu	Local Assistance Procedures	Local Assistance Procedures Manual Exhibit 12-1 Sample Bi
	The Bidder shall list the nar work, as required by the pro	г		DISCLOSURE OF LOBBYING ACTIVITIES  COMPLETE THIS FORM TO DISCLOSE LOBBYING ACTIVITIES PURSUANT TO 31 U.S.C. 1352  1. Type of Federal Action:  a. contract  a. b. imital award  b. grant  2. Status of Federal Action:  a. touthout a discontract  a. imital award  b. material change
To the CI		The bidder, under penalty	The prospective participant cerr belief, that:	c. cooperative agreement c. post-award for Material Change Only: e. loan guarantee year quarter
	Name and Address	therewith in the capacity o	<ol> <li>No Federal appropriate influencing or attempt</li> </ol>	4. Name and Address of Reporting Entity 5. If Reporting Entity in No. 4 is Subawardee,
In conformance v		<ul> <li>is not currently ur</li> </ul>	officer or employee of	Enter Name and Address of Prime:  Prime  Subawardee
declares that the l		Federal agency;	Federal contract, the n cooperative agreement	Tier, if known
company, associa		<ul> <li>has not been susp</li> </ul>	contract, grant, loan, o	
the bidder has no	(THE BIDDE ALSO CONS	within the past 3 y does not have a pr	(2) If any funds other than attempting to influence	Congressional District, if known Congressional District, if known 6. Federal Department/Agency: 7. Federal Program Name/Description:
and has not direct		has not been indic	employee of Congress loan, or cooperative as	
put in a sham bid	EQU	jurisdiction in any	Lobbying Activities,"	CFDA Number, if applicable
or indirectly, sou			This certification is a material r entered into. Submission of thi	
bidder or any oth	The bidder	If there are any exceptions	1352, Title 31, U.S. Code. Any than \$10,000 and not more than	10. a. Name and Address of Lobby Entity b. Individuals Performing Services (including
other bidder, or to	a previous contract or subco		The prospective participant also	(If individual, last name, first name, MI) address if different from No. 10a) (last name, first name, MI)
in the proposed o	11246, and that, where requ		of this certification be included certify and disclose accordingly	
not, directly or in	Contract Compliance, a Fed			(attach Continuation Sheet(s) if necessary)
or divulged infor	Equal Employment Opportu			11. Amount of Payment (check all that apply)  13. Type of Payment (check all that apply)
partnership, com				\$ actual planned a. retainer b. one-time fee
effectuate a collu	Note: The above certifica CFR 60-1.7(b) (1)) contracts and subco exempt from the ec of \$10,000 or unde	Exceptions will not necess responsibility. For any ex action.		12. Form of Payment (check all that apply):  a. cash b. in-kind; specify: nature value  14. Brief Description of Services Performed or to be performed and Date(s) of Service, including
Note: The abo	Currently, Standard			officer(s), employee(s), or member(s) contacted, for Payment Indicated in Item 11:
portion t Bidders prosecur	regulations.  Proposed prime co the Executive Orde award of contracts other period specif Compliance, U.S. 1	Notes: Providing false in The above certific shall also constitu		(attach Continuation Sheet(s) if necessary)  15. Continuation Sheet(s) attached: Yes No   16. Information requested through this form is authorized by Title 31 U.S.C. Section 1352. This disclosure of lobbying reliance was placed by the first above when his transaction
				was made or entered into . This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to Congress seminanually and will be available for public impection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.  Federal Use Only:  Print Name:  Title:  Title:  Authorized for Local Reproduction Standard Form - LLL
				Page 12 of 2 October 201

#### **Award Package**



EXHIBIT 15-A Local Assistance Procedures Manual Local Agency Construction Contract Administration Checklist

	The following documents will be forwarded to the Caltrans District Local Assistance Engineer immediately after award of the contract:	
	Contract Award Checklist (Exhibit 15-L)	•
	Detail Estimate (Exhibit 15-M)	
ı	One copy of the Local Agency Bidder DBE Commitment (Construction Contracts) (Exhibit 15-G)	ı
	Finance Letter (Exhibit 3-O)	•
	Resident Engineer Construction Administration Checklist (Exhibit 15-B)	
D.	Subcontracting	
	For all federal-aid transportation projects, at least 30% of the contract work is to be performed by the prime contractor (see Chapter 16, Section 16.6 "Subcontractors")	
Loc	cal agency's person in "Responsible Charge" (date)	
Loc	cal agency's person in "Responsible Charge" (date)	4

#### **Award Package**



Local Assistance Procedures Manual	EXHIBIT 15-L Local Agency Contract Award Checklist	EXHIBIT 15-M Detail Estimate	EXHIBIT 15-B t Administration Checklist	E Construction Contract DBE C	Exhibit 15-G Commitment
EXHIBIT 15-L LOCAL AGENCY CO	ONTRACT AWARD CHECKLIST		RATION CHECKLIST	TRACT DBE COMMITMENT	
Project Sponsor:					
Federal-aid project #:	Local Assistance Procedures Manual		Sample Local Fe	Exhibit 3-O ederal-Aid Project Finance Letter	
Project Location: (Caltrans District, Coun	DEP T OF TRANSPORTATION	IPLE LOCAL FEDERAL-AID PRO Period of Performance End Date:		Date:	
Project Limits: (Physical limits refe	DIV ACCOUNTING LOG GRAM ACCOUNTING BRANCH Antic AT	iticipated Award Date (CON only): tract Acceptance Date (CON only):	Fed Pr	Agency: oject No.: PPNO:	14. DBE Dollar
Has Caltrans issued an "Authorization to Proceed" in construction, and is the amount correct? Copy of engineers estimate Is material testing and sampling arranged?	or N): If yes, pro- Local? If yes, pro-	"P" AL FEDER	Bi FEDERAL	ATE LOCAL	Amount
Copy of low bidder's proposal	Coop or Contribution Agrinnt No.:	or Cost OF PARTIC	D FUND	ATE LOCAL ATCH MATCH OTHER UNDS FUNDS FUNDS	
bidder's proposal? (Only required if DBE g Local Agency Bidder DBE Information (Ex Is the Noncollusion Affidavit (Exhibit 12-E ), included in the low bidders' proposal?	PRELIMINARY ENGINEE! Agency Preliminary Engineerii State Furnished Preliminary Eng Overhead at%				
Is the Bid summary (itemized bids for 3 lowest bu. Addendum procedures adhered to? TIP information, Authorized amount Include TIP page number or amendment number here:	T OF WAY (R/W) usisition eering ON				
Bild opening procedures were adhered to?  Date DLA's Federal Wage Rate website was checked for up Date of bild opening  Date of award	rk ====				,
Amount of award  Detail Estimate (Exhibit 15-M)  Finance Letter (Exhibit 15-N)	m. Mat.				redit,
Resident Engineer's Construction Contract Is successful bidder licensed?  Estimated construction completion date	onstruction Enginee Furnished Construction Eng Overhead at %				nsistent, in the nfirmation o
Review	State Furnished Materials Testing Overhead at				
	Force Account Work by Agency				
Ti	Federal Participation: Certification   Certification   Federal Appn. Code(s): Federal Reimbursement Rate(s) for Progress Invoice:   Federal Reimbursement Rate(s) for FED (2)   FED (2)   FED (3)   FED (4)   FED (4)   FED (5)   FED (6)   FED (7)   FED (7)	I certify that this Finance Letter accurate current cost estimate for all phases of the obligated but not fully expended.	e project Printed Name:		
D	PE         Signa           R/W         I           CON         Project loca	ure : litle : lion :	a nanguaran anti-a		4-
Phone Num		al Agency Project File		Page 1 of 1	ge 1 of 2
LPP 13-01				July 2016	1 2 0

#### **Signature**



	Contract Award Checklist (Exhibit 15-L)
	Detail Estimate (Exhibit 15-M)
	One copy of the Local Agency Bidder DBE Commitment (Construction Contracts) (Exhibit 15-G)
	Finance Letter
	RE's Checklist
D. Sub	ocontracting
	For all federal-aid transportation projects, at least 30% of the contract work is to
	"Subcontractors")  Lucoln ency's person in "Responsible Charge" (date)





#### Wrap-up & Review

**Objectives** 

**Expectations** 

**Evaluations**