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

Planning  Environmental  Right of Way  Construction  Maintenance & Operation

We are HERE
Introductions

Name
Your Organization
Job Title
Course Expectation
Course Objectives

EXHIBIT 12-D PS&E CHECKLIST

Agency ____________________ Federal Project No. ____________________

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

I. HIGHWAY SYSTEM AND FUNCTIONAL CLASSIFICATION (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 - Primary or Expressway
     - Other Principal Arterial
     - Minor Arterial
     - Rural Minor Collector
     - Local

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.

B. Force Account (Day Labor) (Check appropriate box)
   - The entire work will be constructed by contract as indicated above.
   - Some work (incidental to the main purpose of the project) will be constructed by Force Account.

EXHIBIT 15-A LOCAL AGENCY CONSTRUCTION CONTRACT ADMINISTRATION CHECKLIST

Local Agency ____________________

I. ADVERTISE AND AWARD PROJECT

A. Project Advertisement
   - 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”).

B. Contract Bid Opening
   - All bids are opened publicly and read aloud either item-by-item, or by total amount. If a 

C. Contract Award
   - Contracts are awarded on the basis of the lowest responsive bid from a responsible bidder (15.6 “Contract Award”).
   - For all NHS projects, a bid analysis will be performed (15.6 “Contract Award”).
   - No negotiations with contractor occurred prior to award (not allowed).

LAPM 12-D

LAPM 15-A
RESOURCES
Co/trans provides a safe, sustainable, integrated and efficient transportation system to enhance California's economy and livability.

Division of Local Assistance Program oversees more than one billion dollars annually available to over 600 cities, counties and regional agencies for the purpose of improving their transportation infrastructure or providing transportation services.

This funding comes from various Federal and State programs specifically designed to assist the transportation needs of local agencies.

Annually, over 1,200 new projects are authorized through the Local Assistance Program of which approximately 700 are construction projects.

Welcome to the Division of Local Assistance

The Local Assistance Program, made up of the Division of Local Assistance in Headquarters and 12 District Local Assistance Offices, assists local and regional agencies by ensuring specific program requirements are met. Project applications are processed, and projects are delivered in accordance with Federal and State requirements.

The overhead associated with providing this support is only 27.6% or 2% of the capital funds that flow through to the local agencies.

www.dot.ca.gov/localassistance
Policy & Procedures

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
LOCAL ASSISTANCE PROGRAM GUIDELINES

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

COIN
- **Existing** policy or procedure

OB
- **New** policy or procedure

LPP
- Formal deployment
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

**1. 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 bids or proposals, and as stated in Section 15.4 of...
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.
WHAT IS AN LPP

www.dot.ca.gov/hq/LocalPrograms/lpp/lpp1r1.htm
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 DLAPublications@dot.ca.gov

Chapter 2 Roles and Responsibilities

| Exhibit 2-A: Caltrans Local Assistance Offices (deleted) | Financial Plan Checklist (PDF) |
| Exhibit 2-B: Federal-Aid Project Responsibilities List for Delegated Projects Off SHS (PDF) | Project Management Plan Checklist (PDF) |

Chapter 3 Project Authorization

| LAPM 3-A: Project Authorization/Adjustment Request (REV 08/2020) (Please DO NOT open the form in Browser. Right-click above link and choose "save link/target as" to save the form, then open the form with Adobe) | Superseded by LAPM 3-A as of April 1, 2019
Exhibit 3-A: Request for Authorization to Proceed with Preliminary Engineering
Exhibit 3-B: Request for Authorization to Proceed with Design
 |

https://dot.ca.gov/programs/local-assistance/forms/local-assistance-procedures-manual-forms
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
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
## DLAE Contact Information

<table>
<thead>
<tr>
<th>District 01 Local Assistance</th>
<th>District 07 Local Assistance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Suzi Theiss</td>
<td>Steve Novotny - <a href="mailto:Steve.Novotny@dot.ca.gov">Steve.Novotny@dot.ca.gov</a></td>
</tr>
<tr>
<td>Public: (707) 445-6399, FAX: (707) 441-2048</td>
<td>Public: (213) 897-4289, FAX: (213) 897-2999</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>District 02 Local Assistance</th>
<th>District 08 Local Assistance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ian Howat</td>
<td>Albert Vergel de Dios (Acting)</td>
</tr>
<tr>
<td>Public: (530) 225-3484, FAX: (530) 225-3020</td>
<td>Public: (909) 806-4759, FAX: (909) 383-7131</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>District 03 Local Assistance</th>
<th>District 09 Local Assistance</th>
</tr>
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<tbody>
<tr>
<td>Bomasur Banzon</td>
<td>Forest Becket - <a href="mailto:Forest.Becket@dot.ca.gov">Forest.Becket@dot.ca.gov</a></td>
</tr>
<tr>
<td>Public: (530) 741-5714, FAX: (530) 741-5714</td>
<td>Public: (760) 872-0681, FAX: (760) 872-5236</td>
</tr>
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<table>
<thead>
<tr>
<th>District 04 Local Assistance</th>
<th>District 10 Local Assistance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Xi Zhang (Acting)</td>
<td>Parminder Singh - <a href="mailto:Parminder.Singh@dot.ca.gov">Parminder.Singh@dot.ca.gov</a></td>
</tr>
<tr>
<td>Public: (510) 286-5226, FAX: (510) 286-5705</td>
<td>Public: (209) 948-3689, FAX: (209) 948-3820</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>District 05 Local Assistance</th>
<th>District 11 Local Assistance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reine Jones (Acting)</td>
<td>Bing Luu – <a href="mailto:bing.lu@dot.ca.gov">bing.lu@dot.ca.gov</a></td>
</tr>
<tr>
<td>Public: (805) 549-3316, FAX: (805) 549-3558</td>
<td>Public: (619) 220-5311, Fax: (619) 220-5432</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>District 06 Local Assistance</th>
<th>District 12 Local Assistance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jim Perrault</td>
<td>Tifini Tran - <a href="mailto:tifini.Tran@dot.ca.gov">tifini.Tran@dot.ca.gov</a></td>
</tr>
<tr>
<td>Public: (559) 445-5417, FAX: (559) 445-5425</td>
<td>Public: (657) 328-6275</td>
</tr>
</tbody>
</table>

[https://dot.ca.gov/programs/local-assistance/other-important-issues/local-assistance-contacts](https://dot.ca.gov/programs/local-assistance/other-important-issues/local-assistance-contacts)
PS&E CHECKLIST

(LAPM 12-D)
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

To: District Local Assistance Engineer

District Local Assistance Engineer
Caltrans, Office of Local Assistance
District Address

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:

(1) 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
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

<table>
<thead>
<tr>
<th>Code</th>
<th>Category</th>
<th>Urban</th>
<th>Rural</th>
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<tbody>
<tr>
<td>1</td>
<td>Interstate</td>
<td>✔</td>
<td>✔</td>
</tr>
<tr>
<td>2</td>
<td>Freeways or Expressways</td>
<td>✔</td>
<td>✔</td>
</tr>
<tr>
<td>3</td>
<td>Principal Arterials</td>
<td>✔</td>
<td>✔</td>
</tr>
<tr>
<td>4</td>
<td>Minor Arterials</td>
<td>✔</td>
<td>✔</td>
</tr>
<tr>
<td>5</td>
<td>Major Collector</td>
<td>✔</td>
<td>✔</td>
</tr>
<tr>
<td>6</td>
<td>Minor Collector</td>
<td>✔</td>
<td>✗</td>
</tr>
<tr>
<td>7</td>
<td>Local</td>
<td>✗</td>
<td>✗</td>
</tr>
</tbody>
</table>

✔ On Federal-aid System ✗ Off Federal-aid System
California Road System (CRS) Maps

www.dot.ca.gov/hq/tsip/hseb/crs_maps/
CRS Example

FUNCTIONAL CLASSIFICATION SYSTEM

- INTERSTATE 1
- OTHER FWY OR EXPWY 2
- OTHER PRINCIPAL ARTERIAL 3
- MINOR ARTERIAL 4
- MAJOR COLLECTOR 5
- MINOR COLLECTOR 6
- LOCAL 7

SEE MAP 7J41
## Project Scope of Work

### 1. Highway System and Functional Classification (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**
  - [ ] Principal Arterial - Fwy or Exprwy
  - [ ] Other Principal Arterial
  - [ ] Minor Arterial
  - [ ] Major Collector
  - [ ] Urban Minor Collector

- **Off the Federal-aid System**
  - [ ] Rural Minor Collector
  - [ ] Local

### 3. Type of Construction (Check applicable box)

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

### 4. Method of Construction

**A. Contracting Method (Check appropriate box)**
- [ ] Competitive bidding
Project Scope of Work

FTIP  NEPA  RW  CERT

Other agreements
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.

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?
Federal-aid Essentials for Local Public Agencies

Project Development

Required Approvals

Selecting the Method of Construction: Contract or Force Account

Any construction contracting method other than competitive low bid must be approved by the oversight agency.

www.fhwa.dot.gov/federal-aidessentials/catmod.cfm?id=24
Federal-aid Contracting Basics

Selecting the Method of Construction: Contract or Force Account

Federal-aid Contracting

- Fair and open competition
- Responsible contractor
- Lowest responsive bid
## Cost-Plus-Time (A+B)

\[ A + (B \times \text{Daily Road User Cost}) = \text{Bid value} \]

<table>
<thead>
<tr>
<th>Bidder</th>
<th>AA</th>
<th>BB</th>
<th>CC</th>
<th>DD</th>
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<tr>
<td>Cost (A)</td>
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<tr>
<td>Daily Rd User Cost</td>
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<tr>
<td>Time (B) - Calendar day</td>
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<tr>
<td>B x Daily Rd User Cost</td>
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<tr>
<td>Total</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>A + (B x Daily Rd User Cost)</td>
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## Additive or Deductive Bidding

Award Limit = $2,000,000

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<th>Bidder</th>
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<td>$1,600,000</td>
<td>$1,700,000</td>
<td>$1,800,000</td>
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<td>Option B</td>
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<tr>
<td>Option C</td>
<td></td>
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</tr>
<tr>
<td>Total Base+A+B</td>
<td></td>
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</table>
Non-competitive Methods

Selecting the Method of Construction: Contract or Force Account

Negotiated Contracts
Agency Force Account

Non-competitive Methods
### 12-F: Cost-Effectiveness/Public Interest Finding

#### LOCAL AID PROCEDURES: MANUAL

**EXHIBIT 12-F: COST-EFFECTIVENESS/PUBLIC INTEREST FINDING**

<table>
<thead>
<tr>
<th>U.S. DEPARTMENT OF TRANSPORTATION</th>
<th>FEDERAL HIGHWAY ADMINISTRATION</th>
<th>CALIFORNIA DEPARTMENT OF TRANSPORTATION</th>
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<td>COST-EFFECTIVENESS/PUBLIC INTEREST FINDING</td>
<td>COST-EFFECTIVENESS DETERMINATION REQUIRED</td>
<td>PUBLIC INTEREST DETERMINATION REQUIRED</td>
</tr>
<tr>
<td>Use of force account (23 CFR 635.204, 205)*</td>
<td>Use of non-competitive negotiated consultant contracts (23 CFR 172.7) (a) (3)*</td>
<td>Use of non-competitive negotiated consultant contracts (23 CFR 172.7) (a) (3)*</td>
</tr>
<tr>
<td>Use of publicly owned equipment (23 CFR 635.106)</td>
<td>Use of publicly furnished materials (23 CFR 635.407)</td>
<td>Use of publicly furnished materials (23 CFR 635.407)</td>
</tr>
<tr>
<td>Other*:</td>
<td>Use of proprietary products and processes (23 CFR 635.411)**</td>
<td>Use of proprietary products and processes (23 CFR 635.411)**</td>
</tr>
<tr>
<td></td>
<td>Use of contracting method other than competitive bidding (23 CFR 635.104/204)*</td>
<td>Use of contracting method other than competitive bidding (23 CFR 635.104/204)*</td>
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<tr>
<td></td>
<td>Use of mandatory borrow/disposal sites (23 CFR 635.407)</td>
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<tr>
<td></td>
<td>Advertising period less than 3 weeks (23 CFR 635.112)*</td>
<td>Advertising period less than 3 weeks (23 CFR 635.112)*</td>
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<tr>
<td></td>
<td>Waiver of Buy America Requirements (23 CFR 635.410)**</td>
<td>Waiver of Buy America Requirements (23 CFR 635.410)**</td>
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<tr>
<td></td>
<td>Other*:</td>
<td>Other*:</td>
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* Requires Caltrans District approval
** Requires FHWA approval
*** Must be emailed to Proprietary.PIF@dot.ca.gov. Certification below must accompany PIF if no suitable alternative exists or if proprietary item is essential for synchronization with existing highway facility.

**FEDERAL-AID PROJECT CLASS OF FEDERAL FUNDS:**

- [ ] IM
- [ ] NH
- [ ] STP
- [ ] OTHER:

**REMARKS (STATE):**

**PREPARED APPROVED BY LOCAL AGENCY’S REPRESENTATIVE**

<table>
<thead>
<tr>
<th>REPRESENTATIVE NAME AND TITLE</th>
<th>Date</th>
</tr>
</thead>
</table>

**APPROVED BY DISTRICT LOCAL ASSISTANCE DIVISION (DLAD)**

<table>
<thead>
<tr>
<th>DLAD NAME</th>
<th>Date</th>
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</thead>
</table>

**APPROVED BY FHWA (Buy America Waiver only)**

<table>
<thead>
<tr>
<th>FHWA REPRESENTATIVE NAME</th>
<th>Date</th>
</tr>
</thead>
</table>

Distribution: (1) Local Agency File - Original; (2) DLAD - Copy; (3) Caltrans Project Manager - Copy if on the SHI
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.

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)

A. Geometric Design Standards Used

- Caltrans Design Standards (on State Highway System)
- Current AASHTO Standards (Green Book)
- Local Agency Design Standards (non NHS only) approved Date: __________________________
Environmental Analysis

Review Environmental Document Approval

Locate in Plans and Specifications

Exam Commitments

Alert Bidders

Advertise for Construction
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. 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. 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)
- Local Agency Design Standards (non NHS only) approved Date: ______________________

B. Variations from Controlling Caltrans (check one or more if applicable)

- ...

On National Highway System*

• > $50M or
• 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)
☐ Local Agency Design Standards (non NHS only) approved Date: ____________________
Geometric Design Standards

AASHTO “Green Book”
Geometric Design Standards
### EXHIBIT 11-A: GEOMETRIC DESIGN GUIDELINES FOR LOCAL 3R PROJECTS (OFF THE SHS)

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

<table>
<thead>
<tr>
<th>Design Year Volume (ADT)</th>
<th>Design Speed (mph)</th>
<th>Lane Width (feet)</th>
<th>Shoulder Width [a] (feet)</th>
<th>Total Roadway Width (feet)</th>
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</thead>
<tbody>
<tr>
<td>Low Volumes:</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1 - 750 ADT</td>
<td>All</td>
<td>10</td>
<td>2</td>
<td>12</td>
</tr>
<tr>
<td>High Volumes:</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>751 - 2,000 ADT</td>
<td>All</td>
<td>12</td>
<td>2 [b]</td>
<td>20 [c]</td>
</tr>
<tr>
<td>Over 2,000 ADT</td>
<td>All</td>
<td>12</td>
<td>5 [b]</td>
<td>20 [c]</td>
</tr>
</tbody>
</table>

[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

<table>
<thead>
<tr>
<th>Design Year Volume (ADT)</th>
<th>Design Speed [a] (mph)</th>
<th>Lane Width (feet)</th>
<th>Shoulder Width [b] (feet)</th>
<th>Total Roadway Width (feet)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Low Volumes:</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1 - 750 ADT</td>
<td>All</td>
<td>10</td>
<td>2</td>
<td>12</td>
</tr>
<tr>
<td>High Volumes:</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>751 - 2,000 ADT</td>
<td>Under 50</td>
<td>10</td>
<td>2 [c]</td>
<td>24 [c]</td>
</tr>
<tr>
<td></td>
<td>50 and over</td>
<td>12</td>
<td>2 [c]</td>
<td>30 [c]</td>
</tr>
<tr>
<td>Over 2,000 ADT</td>
<td>All</td>
<td>12</td>
<td>4 [c]</td>
<td>32 [c]</td>
</tr>
</tbody>
</table>

[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.
[c] 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

<table>
<thead>
<tr>
<th>Design Year Volume (ADT)</th>
<th>Design Speed [a] (mph)</th>
<th>Lane Width (feet)</th>
<th>Shoulder Width (feet)</th>
<th>Total Roadway Width (feet)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Low Volumes:</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1 - 750 ADT</td>
<td>All</td>
<td>10</td>
<td>2</td>
<td>12</td>
</tr>
<tr>
<td>High Volumes:</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>751 - 2,000 ADT</td>
<td>Under 50</td>
<td>10</td>
<td>2 [b]</td>
<td>24 [c]</td>
</tr>
<tr>
<td></td>
<td>50 and over</td>
<td>12</td>
<td>2 [b]</td>
<td>30 [c]</td>
</tr>
<tr>
<td>Over 2,000 ADT</td>
<td>All</td>
<td>12</td>
<td>4 [b]</td>
<td>32 [c]</td>
</tr>
</tbody>
</table>

[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.
Geometric Design Standards

- Approved
  - County Board of Supervisors
  - City Council
- CA registered civil engineer
- Reviewed with AASHTO updates
## Geometric Design Standards

<table>
<thead>
<tr>
<th>Standards</th>
<th>NHS</th>
<th>Non-NHS</th>
<th>SHS</th>
</tr>
</thead>
<tbody>
<tr>
<td>[Image]</td>
<td>✔️</td>
<td>✔️</td>
<td>✗</td>
</tr>
<tr>
<td>[Image]</td>
<td>✔️</td>
<td>✔️</td>
<td>✔️</td>
</tr>
<tr>
<td>(3R)</td>
<td>✔️</td>
<td>✔️</td>
<td>✗</td>
</tr>
<tr>
<td>[Image]</td>
<td>✗</td>
<td>✔️</td>
<td>✗</td>
</tr>
</tbody>
</table>
Design Alternatives

Controlling Criteria

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

**California Amendments to the AASHTO LRFD Bridge Design Specifications**

<table>
<thead>
<tr>
<th>IX. Standard Plans</th>
</tr>
</thead>
<tbody>
<tr>
<td>Caltrans Standard Plans</td>
</tr>
<tr>
<td>Standard Plans for Public Works Construction</td>
</tr>
<tr>
<td>Local Approved Standard Plans:</td>
</tr>
</tbody>
</table>

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

[www.dot.ca.gov/hq/esc/techpubs/](http://www.dot.ca.gov/hq/esc/techpubs/)
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 responsible charge and who is a registered professional engineer licensed to practice in the State of California.

X. PROJECT PLANS AND SPECIFICATIONS

☐ Cover sheet of plans and specifications signed and stamped on behalf of the local agency by the person in responsible charge, and who is a registered professional engineer licensed to practice in the State of California.

☐ Traffic Control Plans or reference to Standard Plan and Signs/Striping Plans included. (Note: Additionally, Traffic Management Plans are required to be on file for all reconstruction, rehabilitation, and other projects [including projects on the State Highway System not funded by the State], if significant traffic delays are anticipated and as a result from project activities).

☐ Erosion Control Plan.

☐ Americans with Disabilities Act (ADA) is being fully complied with including Federal ADA Standards for Accessible Guidelines for Buildings and Facilities (ADAAG), Title 24 of the California Code of Regulations and local codes.

XI. STANDARD SPECIFICATIONS USED

☐ 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

* Required for projects on SHS
Standard Specifications

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

* Required for projects on SHS
Plan Sheet and Specification Signatures

- **Expiration Date**
- **Signature**
- **Federal-aid Project Number**
- **State of California**

**Signature**

**Expiration Date**

**Federal-aid Project Number**

**State of California**
Erosion Control Plans
Transportation Management Plan

- Transportation Operations (TO)
- Temporary Traffic Control (TTC)
- Public Information (PI)
Americans with Disabilities Act (ADA) Requirements for Resurfacing Projects

Pavement resurfacing projects must include curb ramps and other similar features to make pedestrian facilities accessible to everyone.

www.fhwa.dot.gov/federal-aidessentials/catmod.cfm?id=107
Resurfacing Projects

Americans with Disabilities Act (ADA) Requirements for Resurfacing Projects

- MICRO-SURFACING
- IN-PLACE ASPHALT RECYCLING
- CAPE SEALS

Curb ramps must be installed
Maintenance Activities

MAINTENANCE ACTIVITIES

- PAVEMENT PATCHING
- CRACK FILLING
- CHIP SEAL

Do not require accessibility modifications
Federal Requirements
### Required Contract Provisions

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

**Use of United States – Flag Vessels**
12-G: Required Contract Language
Changed Conditions

- Differing Site
- Suspension of Work
- Changes in Character
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

Contracts > 100 Working Days
## Liquidated Damages

### LIQUIDATED DAMAGES TABLE (L%)

<table>
<thead>
<tr>
<th>Project Estimate</th>
<th>Resurfacing*/Rehab</th>
<th>New Highway</th>
<th>Realignment/Widening</th>
<th>Landscaping</th>
<th>Soundwall</th>
<th>Others</th>
</tr>
</thead>
<tbody>
<tr>
<td>Over $30 million</td>
<td>10%</td>
<td>10%</td>
<td>13%</td>
<td>15%</td>
<td>15%</td>
<td>15%</td>
</tr>
<tr>
<td>$10 million to $30 million</td>
<td>10%</td>
<td>12%</td>
<td>15%</td>
<td>15%</td>
<td>15%</td>
<td>15%</td>
</tr>
<tr>
<td>$5 million to $10 million</td>
<td>10%</td>
<td>15%</td>
<td>15%</td>
<td>15%</td>
<td>15%</td>
<td>15%</td>
</tr>
<tr>
<td>$750k to $5 million</td>
<td>15%</td>
<td>15%</td>
<td>15%</td>
<td>18%</td>
<td>18%</td>
<td>15%</td>
</tr>
<tr>
<td>Less than $750k</td>
<td>15%</td>
<td>20%</td>
<td>20%</td>
<td>18%</td>
<td>20%</td>
<td>15%</td>
</tr>
</tbody>
</table>

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

\[(L\%) \times (\text{Engr. Estimate} + \text{RE Office Expense}) = \text{Liq. Dam./working days}\]
Buy America

Non-domestic Iron or Steel

Minimum threshold

0.1%  $2,500
Form FHWA-1273 (Video)

www.fhwa.dot.gov/federal-aidessentials/catmod.cfm?id=22
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
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

1. 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

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Item Description</th>
<th>Unit of Measure</th>
<th>Quantity</th>
<th>Engineers Estimate</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Mobilization</td>
<td>LS</td>
<td>1</td>
<td>$10,000</td>
<td>$10,000</td>
</tr>
<tr>
<td>2</td>
<td>Mediator</td>
<td>LS</td>
<td>1</td>
<td>$15,000</td>
<td>$15,000</td>
</tr>
<tr>
<td>3</td>
<td>Dust Control PPP</td>
<td>LS</td>
<td>1</td>
<td>$5,000</td>
<td>$5,000</td>
</tr>
<tr>
<td>4</td>
<td>Storm Water PPP</td>
<td>LS</td>
<td>1</td>
<td>$5,000</td>
<td>$5,000</td>
</tr>
<tr>
<td>5</td>
<td>Traffic Control</td>
<td>LS</td>
<td>1</td>
<td>$15,000</td>
<td>$15,000</td>
</tr>
<tr>
<td>6</td>
<td>Clearing and Grubbing</td>
<td>LS</td>
<td>1</td>
<td>$30,000</td>
<td>$30,000</td>
</tr>
<tr>
<td>7</td>
<td>Adjust Facilities to EA</td>
<td>EA</td>
<td>15</td>
<td>$800</td>
<td>$12,000</td>
</tr>
<tr>
<td>8</td>
<td>Subgrade prep</td>
<td>CY</td>
<td>1285</td>
<td>$15</td>
<td>$19,275</td>
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<tr>
<td>9</td>
<td>Import Borrow</td>
<td>CY</td>
<td>965</td>
<td>$15</td>
<td>$14,475</td>
</tr>
<tr>
<td>10</td>
<td>Hot Mix Asphalt</td>
<td>TON</td>
<td>115</td>
<td>$85</td>
<td>$9,775</td>
</tr>
<tr>
<td>11</td>
<td>6&quot; Curb and gutter</td>
<td>LF</td>
<td>1740</td>
<td>$17</td>
<td>$29,580</td>
</tr>
</tbody>
</table>

**Total Engineer's Estimate**: $707,454.00
1. Classify Work
## Bike Lane Construction

Improve bike route and safety. Work on signing and striping with intersection improvements

<table>
<thead>
<tr>
<th>#</th>
<th>Qty</th>
<th>Unit</th>
<th>Item Description</th>
<th>Unit Price</th>
<th>Total</th>
<th>Performed by Sub (Y/N)?</th>
<th>Trucking or Supply of Material Involved (Y/N)?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1</td>
<td>LS</td>
<td>Mobilization</td>
<td>$55,000.00</td>
<td>$55,000.00</td>
<td>Y</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>1</td>
<td>LS</td>
<td>Traffic Control</td>
<td>$50,000.00</td>
<td>$50,000.00</td>
<td>Y</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>1</td>
<td>LS</td>
<td>Storm Water Pollution Prevention Plan</td>
<td>$20,560.00</td>
<td>$20,560.00</td>
<td>Y</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>362</td>
<td>CY</td>
<td>Roadway Excavation</td>
<td>$75.00</td>
<td>$27,150.00</td>
<td>Y</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>1</td>
<td>EA</td>
<td>Relocate Bus Bench</td>
<td>$200.00</td>
<td>$200.00</td>
<td>Y</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>2,050</td>
<td>TON</td>
<td>Construct Hot Mix Asphalt</td>
<td>$125.00</td>
<td>$256,250.00</td>
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<tr>
<td>7</td>
<td>2,570</td>
<td>CY</td>
<td>Construct Aggregate Base Class II</td>
<td>$40.00</td>
<td>$102,800.00</td>
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<tr>
<td>8</td>
<td>82</td>
<td>CY</td>
<td>Concrete Bus Pad, including Monolithic Curb, Lean Concrete Base and Sub-base</td>
<td>$250.00</td>
<td>$20,500.00</td>
<td>Y</td>
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</tr>
<tr>
<td>9</td>
<td>1</td>
<td>LS</td>
<td>Clearing and Grubbing</td>
<td>$75,000.00</td>
<td>$75,000.00</td>
<td>Y</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>1</td>
<td>LS</td>
<td>Signing and Striping</td>
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<td>$140,000.00</td>
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<tr>
<td>11</td>
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<td>Traffic Signal Modifications</td>
<td>$50,000.00</td>
<td>$50,000.00</td>
<td>Y</td>
<td></td>
</tr>
</tbody>
</table>
2. Determine Work Category Codes
## 2. Determine Work Category Codes

<table>
<thead>
<tr>
<th>Work Code</th>
<th>Category</th>
<th>Description</th>
<th>License Requirement</th>
<th>NAICS Code(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>C1200</td>
<td>CONSTRUCTION AREA SIGNS</td>
<td>Places traffic equipment at a construction site. Places the construction zone signs on side of the road.</td>
<td>C-31 Construction Zone Traffic Control Contractor - CSLB</td>
<td>561990 - All other Support Services 238990 - All Other Specialty Trade Contractors</td>
</tr>
<tr>
<td>C1201</td>
<td>TRAFFIC CONTROL SYSTEM</td>
<td>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.</td>
<td>C-31 Construction Zone Traffic Control Contractor - CSLB</td>
<td>561990 - All other Support Services 238990 - All Other Specialty Trade Contractors</td>
</tr>
<tr>
<td>C1210</td>
<td>TRAFFIC COUNT</td>
<td>A person counting traffic in a specific area for statistical data.</td>
<td>C-31 Construction Zone Traffic Control Contractor - CSLB</td>
<td>561990 - All other Support Services 238990 - All Other Specialty Trade Contractors</td>
</tr>
<tr>
<td>C1522</td>
<td>RESET, ADJUST ROADWAY ITEMS</td>
<td>Moving or adjusting manholes or guard rails. Any adjustments made to existing highway facilities.</td>
<td>C-32 Parking and Highway Improvement Coordinator - CSLB</td>
<td>561990 - All other Support Services 238990 - All Other Specialty Trade Contractors</td>
</tr>
<tr>
<td>C1531</td>
<td>PLANE ASPHALT CONCRETE</td>
<td>Cold planing is the controlled milling of pavement to restore the surface to a specified profile. Bumps, ruts and other surface.</td>
<td>A-General Engineering Contractor OR C-8 Concrete</td>
<td>237310 - Highway, Street and Bridge Construction</td>
</tr>
</tbody>
</table>
### 2. Determine Work Category Codes

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>C1201</td>
<td>TRAFFIC CONTROL SYSTEM</td>
<td>C8405</td>
<td>THERMOPLASTIC TRAFFIC STRIPING &amp; MARKING</td>
</tr>
<tr>
<td>C1522</td>
<td>RESET, ADJUST ROADWAY ITEMS</td>
<td>C8406</td>
<td>PAINTED TRAFFIC STRIPING &amp; MARKING</td>
</tr>
<tr>
<td>C1601</td>
<td>CLEARING &amp; GRUBBING</td>
<td>C8852</td>
<td>SWPPP PLANNING</td>
</tr>
<tr>
<td>C7301</td>
<td>CONCRETE CURB &amp; SIDEWALK- MISC</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Qty</th>
<th>Unit</th>
<th>Item Description</th>
<th>Unit Price</th>
<th>Total</th>
<th>Performed by Sub (Y/N)</th>
<th>Trucking or Supply (Y/N)</th>
<th>Work Category Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>LS</td>
<td>Mobilization</td>
<td>$55,000.00</td>
<td>$55,000.00</td>
<td>N</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>LS</td>
<td>Traffic Control</td>
<td>$50,000.00</td>
<td>$50,000.00</td>
<td>Y</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>LS</td>
<td>Storm Water Pollution Prevention Plan</td>
<td>$20,560.00</td>
<td>$20,560.00</td>
<td>Y</td>
<td></td>
<td></td>
</tr>
<tr>
<td>362</td>
<td>CY</td>
<td>Roadway Excavation</td>
<td>$ 75.00</td>
<td>$27,150.00</td>
<td>N</td>
<td>Y</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>EA</td>
<td>Relocate Bus Bench</td>
<td>$ 200.00</td>
<td>$ 200.00</td>
<td>Y</td>
<td></td>
<td></td>
</tr>
<tr>
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3. Search the CUCP

The Disadvantaged Business Enterprise (DBE) Database contains information in the database query form to find certified DBE firms to meet DBE goals on contracts. To find firms doing Construction Area Signs in Caltrans District 11, use [Caltrans Districts] > [11] [Work Category Codes] > scroll and select GC1999 Construction Area Signs [Stop Search].

Quick Search Tips:
- To find firms doing Construction Area Signs in Caltrans District 11, use [Caltrans Districts] > [11] [Work Category Codes] > scroll and select GC1999 Construction Area Signs [Stop Search].

www.dot.ca.gov/hq/bep
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.

Please Note: You may need to upgrade your Browser to view/download this.
## CUCP Results Example

### Search Returned 36 Records

**Query Criteria**
- **District:** 04
- **Work Codes:** C1201 TRAFFIC CONTROL SYSTEM
- **Firm Type:** DBE

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<td>Address Line2</td>
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</tr>
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</tr>
<tr>
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### 3. Search the CUCP

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4. Apply DBE Factors

\[ \geq 7 \quad \geq 10\% \quad \geq 12\% \]
### 4. Apply DBE Factors

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**Soft DBE Goal**: 26.42
## 6. Apply 60% Factor

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**DBE Goal:** 23.85%  
**Soft DBE Goal:** 21.14%
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**TOTAL DBE WORK AMOUNT** $210,680.00

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- Soft DBE Goal: 26.42
- DBE Goal: 21.14%
DBE Goal Setting Methodology

1. 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
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
LAPM 12-H, Sample Bid
Other Required Forms

LAPM 15-G
Construction Contract DBE Commitment

LAPM 15-H
DBE Information – Good Faith Efforts

LAPM 12-B
Bidder’s List of Subcontractors
Federal Wage Rates

Federal-aid Highway Construction Projects

“10-day rule”

Final Contract

Advertising Package

www.dot.ca.gov/hq/esc/oe/federal-wages/fed_wages.html
Relations with Railroad
Restricted Contract Provisions

XIII. RESTRICTED CONTRACT PROVISIONS (CHECK APPROPRIATE BOX)

A. Indian Preferences

☐ Not included
☐ Included. The project is on or near the __________________________ Indian Reservation.

B. Bonding and Prequalification

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

C. Price Adjustment Clauses

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

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

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

E. Proprietary Items

☐ Proprietary items are not included.
Restricted Contract Provisions

- Indian Preferences
- Price Adjustment Clauses
- Bonding & Prequalification
- Warranty Clauses
- Proprietary Items
Proprietary Items (Video)

Patented or Proprietary Products

Certain requirements must be met when sole-sourcing a patented or proprietary product on Federal-aid projects.

www.fhwa.dot.gov/federal-aidessentials/catmod.cfm?id=68
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 specifications meet the requirements for federal participation listed in Chapter 12.

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 option 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

* LAPM 12-F, PIF, required
XV. PRELIMINARY 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. Major 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: ____________________
12-A: Preliminary Estimate

- 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

http://www.dot.ca.gov/hq/esc/oe/download.php?id=cprchart
XV. PRELIMINARY 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. Major 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 ________
Major Project Requirements

Project Cost

$500M

$100M

Project Management Plan

Financial Plan
Local Agency Signature

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

Signature: ________________________________ Date: ________________________________

Title: __________________________________

XVIII. CALTRANS ACCEPTANCE

Check appropriate acceptance statement:

☐ I have not personally inspected the subject project PS&E package, but I am aware of the scope of the project. I have reviewed this “PS&E CHECKLIST” and agree it is complete and appears to have been prepared in accordance Chapter 12 “Plans, Specifications & Estimate,” of the Local Assistance Procedures Manual.
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, 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.

☐ 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.

Signature: ______________________ Date: ______________________

Title: __________________________________________
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)
EXHIBIT 15-A LOCAL AGENCY CONSTRUCTION CONTRACT ADMINISTRATION CHECKLIST

Local Agency ____________________________

I. ADVERTISE AND AWARD PROJECT

A. Project Advertisement
   - 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”).

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)

C. Contract Award
   - Contracts are awarded on the basis of the lowest responsive bid from a responsible bidder (15.6 “Contract Award”).
   - For all NHS projects, a bid analysis will be performed (15.6 “Contract Award”).
   - No negotiations with contractor occurred prior to award (not allowed).
I ADVERTISE AND AWARD PROJECT

A. Project Advertisement

- 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”).
AUTHORIZE before you ADVERTISE
Project Advertisement, Bid Review, and Request for Concurrence in Award (Video)

Awarding a construction contract to a responsible contractor is an important requirement of Federal-aid projects.

www.fhwa.dot.gov/federal-aidessentials/catmod.cfm?id=5
Minimum Advertising Period

Advertise FOR At Least 3 weeks
Contract Bid Opening
Bid Analysis

1. Is Bidder RESPONSIBLE?

2. How Do Bids COMPARE? (to Engineer’s Estimate)

3. Is Bid RESPONSIVE?

4. Was there adequate COMPETITION?
### Unbalanced Bids

#### Mathematically

<table>
<thead>
<tr>
<th>Item Description</th>
<th>Engineer’s Estimate</th>
<th>Bidder A Estimate</th>
<th>Bidder B Estimate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unclassified excavation</td>
<td>$9.50/$285,000</td>
<td>$10.00/ $300,000</td>
<td>$0.01/ $300</td>
</tr>
<tr>
<td>30,000 CY</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Embankment Borrow</td>
<td>$56.00/ $50,000</td>
<td>$4.50/$45,000</td>
<td>$15.00/ $150,000</td>
</tr>
<tr>
<td>10,000 CY</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bid Price</td>
<td>$335,000</td>
<td>$345,000</td>
<td>$250,300</td>
</tr>
</tbody>
</table>

#### Materially


Contract Award

Project Advertisement, Bid Review, and Request for Concurrence

Lowest Responsive Bid by Responsible Bidder
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)
EXHIBIT 15-I LOCAL AGENCY BID OPENING CHECKLIST

Project Sponsor: ____________________
Federal-aid Project Number: ____________________
Project Location: ____________________
Project Limits: ____________________

Bid opening date and time
Bid opening by ____________________
Bids publicly opened and read aloud? ____________________
Addenda certified by ____________________
Advertisement date ____________________
Engineers Estimate Compared? ____________________
Low Bidder Name ____________________
Amount ____________________
Number of Bidders ____________________
Bid irregularities? ____________________
Noncollusion affidavit included (Exhibit 12-E, Attachment D)? ____________________
Low Bid accepted? ____________________
Exhibit 15-G Local Agency Bidder DBE Commitment included? ____________________
All Addenda certified by all bidders? ____________________

Reviewed by: ____________________
(Name of Local Agency Representative)
Title: ____________________
Date: ____________________

Distribution: Original - Local Agency Project File

LPP 13-01 Page 1 of 2
May 8, 2013
## 15-D: Bid Summary

### Project Information:

<table>
<thead>
<tr>
<th>Dist.</th>
<th>Co</th>
<th>Rte</th>
<th>PM</th>
<th>Agency</th>
</tr>
</thead>
</table>

### Bid Opening Date:

- **Engineer's Estimate:**
- **Bidder #1:** Name
- **Bidder #2:** Name
- **Bidder #3:** Name

<table>
<thead>
<tr>
<th>Item #</th>
<th>Bid Item &amp; Quantity</th>
<th>Unit Price</th>
<th>Cost</th>
<th>Unit Price</th>
<th>Cost</th>
<th>Unit Price</th>
<th>Cost</th>
<th>Unit Price</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>000</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
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<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

### Distribution:

- Original - DLAR
- Counter - Local Agency Project File
- Copy - Local Agency Project File

---

... and Bidder’s List

- Prime contractors (30%)
- Subcontractors
### 15-G Construction Contract DBE Commitment

<table>
<thead>
<tr>
<th>Bid Date Number</th>
<th>Description of Work, Service, or Materials Supplied</th>
<th>DBE Certification Number</th>
<th>DBE Contact Information (Must be certified on the date bids are opened)</th>
<th>DBE Dollar Amount</th>
</tr>
</thead>
</table>

**Local Agency to Complete this Section**

21. Local Agency Contract Number: ______________________
22. Federal-Aid Project Number: ______________________
23. Bid Opening Date: ______________________
24. Contract Award Date: ______________________

Local Agency certifies that all DBE certifications are valid and information on this form is complete and accurate.

25. Local Agency Representative's Signature: ______________________
26. Date: ______________________
27. Local Agency Representative's Name: ______________________
28. Phone: ______________________
29. Local Agency Representative's Title: ______________________

**DISTRIBUTION**

1. Original – Local Agency
2. Copy – Caltrans District Local Assistance Engineer (DLAE)

**IMPORTANT:** Identify all DBE firms being claimed for work, regardless of tier. Names of the First Tier DBE Subcontractors and their respective tiers of work shall be included, where applicable, with the names and terms of the work in the “Subcontractor List” submitted with your bid. Written confirmation of each listed DBE is required.

**Exhibit 15-H DBE Information - Good Faith Efforts**

Federal-aid Project No. ______________________ Bid Opening Date ______________________

The ________ established a Disadvantaged Business Enterprise (DBE) goal of ________% for this project. The information provided herein shows that a good faith effort was made. Lowest, second lowest and third lowest bidders shall submit the following information to document adequate good faith efforts. Bidders should submit the following information even if the “Local Agency Bidder DBE Commitment” form indicates that the bidder has met the DBE goal. This will protect the bidder’s eligibility for award of the contract if the administering agency determines that the bidder failed to meet the goal for various reasons, e.g., a DBE firm was not certified at bid opening, or the bidder made a mathematical error.

Submittal of only the “Local Agency Bidder DBE Commitment” form may not provide sufficient documentation to demonstrate that adequate good faith efforts were made.

The following items are listed in the Section entitled “Submission of DBE Commitment” of the Special Provisions:

A. The names and dates of each publication in which a request for DBE participation for this project was placed by the bidder (please attach copies of advertisements or proofs of publication):

<table>
<thead>
<tr>
<th>Publications</th>
<th>Dates of Advertisement</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

B. The names and dates of written notices sent to certified DBEs soliciting bids for this project and the dates and methods used for following up initial solicitations to determine with certainty whether the DBEs were interested (please attach copies of solicitations, telephone records, fax confirmations, etc.):

<table>
<thead>
<tr>
<th>Names of DBEs Solicited</th>
<th>Date of Initial Solicitation</th>
<th>Follow Up Methods and Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Local Agency Representative’s Signature:** ______________________
**Date:** ______________________
**Local Agency Representative’s Name:** ______________________
**Phone:** ______________________
**Local Agency Representative’s Title:** ______________________

**DISTRIBUTION**

1. Original – Local Agency
2. Copy – Caltrans District Local Assistance Engineer (DLAE)

Failure to submit DLAE within 30 days of contract execution may result in revocation of federal funds or contract. Include additional copy with award package.

ASA Notice: For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 224-5413 or TDD (916) 224-7440. Visit www.dot.ca.gov/sma or write DMV Services Management, 1111 I Street, Sacramento, CA 95814.
Material Supplier 60%

DBE is not certified to perform the work
What is a Good Faith Effort?

Solicitations, # Timely
Follow-up
Advertise
Work for DBEs
P&S Bonding

Agencies
Reasonable Bid
Other Bidders
DBE Commitment
DBE Bids, # $
GFE Evaluation

- Exhibit 9-E
- DLA-OB 14-06
- GFE reject
  Contractor is allowed
  Reconsideration
Local Assistance Procedures Manual

EXHIBIT 12-H

DISCLOSURE OF LOBBYING ACTIVITIES

COMPLETE THIS FORM TO DISCLOSE LOBBYING ACTIVITIES PURSUANT TO 31 U.S.C. 1352

Page 12

October 2016
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)
- One copy of the Local Agency Bidder DBE Commitment (Construction Contracts) (Exhibit 15-G)
- 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”)
**Award Package**

---

### Exhibit 15-L Local Agency Contract Award Checklist

<table>
<thead>
<tr>
<th>Local Assistance Procedures Manual</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Sponsor:</td>
</tr>
<tr>
<td>Federal-aid project #:</td>
</tr>
<tr>
<td>Project Location:</td>
</tr>
<tr>
<td>Project Limit:</td>
</tr>
<tr>
<td>Has Caltrans issued an “Authorization to Proceed” in construction, and is the amount correct?</td>
</tr>
<tr>
<td>Copy of engineers estimate</td>
</tr>
<tr>
<td>Is material testing and sampling arranged?</td>
</tr>
<tr>
<td>Low Bid signed in?</td>
</tr>
<tr>
<td>Is DEB Payment Statement of DEB Projection included in the low bidders’ proposal?</td>
</tr>
<tr>
<td>Contractor’s DEB Information (Exhibit 15-1)</td>
</tr>
<tr>
<td>TIP information, Authorized amount</td>
</tr>
<tr>
<td>Did opening procedures were adhered to?</td>
</tr>
</tbody>
</table>
| Data Caltrans’s Federal Wage Rates website was checked for up-to-date?
| Date of bid opening                 |
| Date of award                      |
| Amount of award                    |
| Detail Estimate (Exhibit 15-M)      |
| Finance Letter (Exhibit 15-N)       |
| Resident Engineer’s Construction Contract: |
| Is successful bidder licensed?     |
| Estimated construction completion date |

### Exhibit 3-O Sample Local Federal-Aid Project Finance Letter

<table>
<thead>
<tr>
<th>Department of Transportation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Division of Accounting</td>
</tr>
<tr>
<td>Program Accounting Branch</td>
</tr>
<tr>
<td>Period of Performance Date</td>
</tr>
<tr>
<td>Agency:</td>
</tr>
<tr>
<td>Project No.:</td>
</tr>
<tr>
<td>Project ID:</td>
</tr>
<tr>
<td>Date:</td>
</tr>
<tr>
<td>Total Value of Work</td>
</tr>
<tr>
<td>Total Cost of Work:</td>
</tr>
<tr>
<td>State Funds:</td>
</tr>
<tr>
<td>Local Match:</td>
</tr>
<tr>
<td>Other Funds:</td>
</tr>
<tr>
<td>Preliminary Engineer:</td>
</tr>
<tr>
<td>Agency Preliminary Engineer</td>
</tr>
<tr>
<td>State Furnished Preliminary Engineer</td>
</tr>
<tr>
<td>Private Funds:</td>
</tr>
<tr>
<td>Source of Payment:</td>
</tr>
<tr>
<td>TIP information, Authorized amount</td>
</tr>
<tr>
<td>Did opening procedures were adhered to?</td>
</tr>
<tr>
<td>Data Caltrans’s Federal Wage Rates website was checked for up-to-date?</td>
</tr>
<tr>
<td>Date of bid opening:</td>
</tr>
<tr>
<td>Date of award:</td>
</tr>
<tr>
<td>Amount of award:</td>
</tr>
<tr>
<td>Detail Estimate (Exhibit 15-M)</td>
</tr>
<tr>
<td>Finance Letter (Exhibit 15-N)</td>
</tr>
<tr>
<td>Resident Engineer’s Construction Contract:</td>
</tr>
<tr>
<td>Is successful bidder licensed?</td>
</tr>
<tr>
<td>Estimated construction completion date</td>
</tr>
</tbody>
</table>

### Distribution

- Original
- 4 copies Caltrans DLAE
- Copy Local Agency Project File
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”)

Signature

Local agency’s person in “Responsible Charge”

(date)
Wrap-up & Review

Objectives
Expectations
Evaluations