

**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

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

**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.

**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
- 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.

- A Public Interest Finding approved by the DLAE is on file in the contract records justifying the work.
- The entire project will be constructed by Force Account (Day Labor). (If the entire project will be constructed by Force Account 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. 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)

- Current Caltrans Design Standards (on State Highway System)
- FHWA-adopted AASHTO Standards (Green Book)
- 3R Projects – Exhibit 11-A Geometric Design Standards for Local 3R Projects
- Local Agency Design Standards (non NHS only) approved      Date:

**VIII. BRIDGE DESIGN PROCEDURES**

- All bridges have been designed in accordance with the current edition of the Caltrans Bridge Design Specifications Manual and the latest California Amendments to the AASHTO LRFD Bridge Design Specifications
- Not applicable (Bridge construction not included in the project).

**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**

- Current Caltrans *Standard Specifications and Standard Special Provisions*
- Standard Specifications for Public Works Construction (Green Book)*
- Locally Approved Standard Specifications

**XII. FEDERAL REQUIREMENTS**

PAGE NO.\*

**A. Required Federal Contract Provisions** (refer to Exhibit 12-G *Required Federal-aid Contract Language*).  
\*Note – Provide Contract page number. If Current Caltrans Standard Specifications are used, indicate “Caltrans Specs” in space provided.

- 1. Disadvantaged Business Enterprise** or equivalent provisions are included..... \_\_\_\_\_
- 2. Bid Opening** or equivalent provisions are included..... \_\_\_\_\_
- 3. Bid Rigging** or equivalent procedures are included..... \_\_\_\_\_
- 4. Contract Award** or equivalent procedures are included..... \_\_\_\_\_
- 5. Contract License** or equivalent provisions are included..... \_\_\_\_\_
- 6. Changed Conditions** or equivalent provisions are included..... \_\_\_\_\_
- 7. Beginning of Work, Time of Completion and Liquidated Damages** or equivalent provisions are included..... \_\_\_\_\_
- 8. Buy America**
  - “Buy America” or equivalent provisions are included..... \_\_\_\_\_
  - A Buy America Waiver was approved by FHWA on \_\_\_\_\_, 2013.
- 9. Quality Assurance or equivalent provisions are included** ..... \_\_\_\_\_
- 10. Prompt Payment of Funds Withheld from Subcontractors or equivalent provisions are included** ..... \_\_\_\_\_
- 11. FHWA Form 1273** - An unmodified copy of FHWA Form 1273 *Required Contract Provisions Federal-aid Construction Contracts* (1273 Revised May 1, 2012) has been physically incorporated into the executed contract..... \_\_\_\_\_
  - All sections of the FHWA Form 1273 apply to this project

- Section IV. Davis-Bacon and related Act Provisions** does not apply because the project is not on the Federal-aid System (roads classified as local roads or rural minor collectors) which are exempted, as specified in the special provision on page.....
- Section VI. Subletting or Assigning the Contract** does not apply since this project is off the NHS, as specified in the special provision on page.....
- 12. Female and Minority Goals or equivalent provisions are included...** .....
- 13. Federal Trainee Program**
  - Federal Trainee Program or equivalent provisions are included.....  
The Trainee goal is \_\_\_\_\_
  - Federal Trainee goal and special provisions do not apply since the engineer’s estimate is under \$400,000 in each of the work categories specified in LAPM Chapter 12 “Federal Trainee Program” or the project has less than 100 working days.....
- 14. Title VI assurances are included.....** .....
- 15. Use of United States-Flag Vessels.....** .....

**B. DBE Goal** (Refer to Exhibit 12-E *PS&E Instruction Checklist*)

- Local Agency non-zero DBE goal percentage for this contract is: \_\_\_\_\_
- The DBE goal for this contract is zero percent because there are no subcontracting opportunities for DBE participation. Documentation verifying this determination is attached to this PS&E Checklist and is also on file with the local agency. (Refer to Exhibit 12-E, PS&E Checklist Instructions).
- This contract has no DBE goal because:
  - This is an emergency relief project
  - This contract is “nonprofit”
  - This contract uses Force Account
  - Other, specify: \_\_\_\_\_

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

**C. Certifications/Disclosures** (Refer to Exhibit 12-H *Sample Bid*)

- Equal Employment Opportunity Certification or equivalent .....
- Noncollusion Affidavit or equivalent.....
- Debarment and Suspension Certification or equivalent .....
- Nonlobbying Certification for Federal-aid Contracts.....
- Disclosure of Lobbying Activities .....

**D. Other Required Forms** (The following forms are applicable with the above required federal requirements (see Exhibit H *Sample Bid*):

- Exhibit 15-G *Local Agency Bidder DBE Commitment (Construction Contracts)* or Equivalent.....
- Exhibit 15-H *DBE Information - Good Faith Efforts* (if DBE Goal not met).....

Exhibit 12-B Bidder's List of Subcontractors (DBE and Non-DBE) include data for all subcontractors listed by the prime contractor.....

**E. Federal Wage Rates**

Federal wage rates are physically incorporated into this contract advertising package ..... \_\_\_\_\_

**Note: By checking the above box, the local agency is indicating that they are aware of the Federal-aid "10-day rule" requirement.**

Federal Wage Rates are not physically incorporated in the contract advertising package but are referenced to an Internet web site address on page number \_\_\_\_\_ of the Special Provisions where the applicable Federal Wage Rates can be found. Revisions to the applicable Federal Wage Rates, up to 10 days before bid opening, shall be identified by the issuance of an addendum with the corresponding Internet web site address of where the revisions can be found. The final contract documents signed by the local agency and the contractor, will physically include the Federal Wage Rates, or Federal Wage Rates as revised by addendums, if any such addendums have been issued.

Federal Wage Rates are not required since this project is not located on a Federal-aid route.

**F. Relations with Railroad**

The required provisions are included ..... \_\_\_\_\_

This project does not involve the use of railroad properties or adjustments to railroad facilities.

**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** (When less than three proprietary (brand name) products or processes are called out in the project plans or special provisions, a Public Interest Finding is required. In this case, check the second box below. The terms “or equal” or the term “or approved equal,” does not relieve the agency from this requirement.)

Proprietary Items are not included

Proprietary Items are included. A Public Interest Finding (certification if applicable) justifying the use has been approved and emailed to [Proprietary.PIF@dot.ca.gov](mailto:Proprietary.PIF@dot.ca.gov).

#### 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.

#### 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 \_\_\_\_\_

**XVII. Local Agency Signature**

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

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Title: \_\_\_\_\_

**XVIII. CALTRANS ACCEPTANCE**

Check appropriate acceptance statement:

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

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Title: \_\_\_\_\_

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