

SECTION 10 PS&E SUBMITTAL REQUIREMENTS

10.1 PURPOSE

This section describes the requirements for project submittals to DES-OE (M380) including AAOE and AADD projects. Informal bids project submittal requirements are described in Section 12, Informal Bids Projects.

10.2 RESPONSIBILITIES

10.2.1 DISTRICT OFFICE ENGINEER

The DOE is responsible for transmitting all PS&E submittal information to DES-OE. This is required because PS&Es are submitted electronically using tools available only to the DOE.

10.2.2 STRUCTURE OFFICE ENGINEER

AAOE Projects

The SOE is responsible for transmitting structures specifications, estimate, Information Handouts, CADD Submittal Form, and other submittal documents to the DOE to be integrated and included in the District PS&E submittal to DES-OE.

AADD Projects

The SOE is responsible for transmitting structures plans (TIF or PDF), specifications, estimate, Information Handouts and other submittal documents to the DOE to be integrated and included in the District PS&E submittal to DES-OE.

10.3 PS&E SUBMITTALS

The DOE sends PS&E submittals to DES-OE and other involved addressees specified on the PS&E Distribution list attached to the PS&E Submittal Memorandum reference Sect 10.7 and Appendix E.

10.3.1 PS&E SUBMITTALS TO DES-OE

Districts will be credited with a Complete PS&E Date (M380) when DES-OE receives the applicable electronic submittals, as described in Table 10-1. The district is responsible for submitting the combined roadway and structures PS&E to DES-OE.

Send PS&E Submittals as follows:

1. DOE copies the PS&E Submittal documents into the PS&E Drop Box.
2. DOE sends a notification of the initial PS&E Submittal to the e-mail address: DES-OE Submittals with a cc to the DES-OE Area Senior Engineer or Specialty Area Senior Engineer. Do not attach the submittal documents to this notification e-mail unless directed by DES-OE staff.
3. DOE sends an electronic copy of the remaining applicable PS&E Submittal items using the e-mail address DES-OE Submittals.

The PS&E Submittal documents required for AADD and AAOE are listed in the following Table:

Table 10-1

Requirements for PS&E Submittal to DES-OE

Applicable PS&E Submittal Items	Acceptable Submittal Format (3)	Minimum Applicable Submittals (1)	
		AAOE	AADD (2)
Signed PS&E Submittal Memorandum	PDF	Yes	
Signed draft RTL Certification	PDF	Yes	
Electronically Submitted PS&E Submittal Memorandum and RTL Certification information	FMP	Yes	Yes
District and Structure PS&E CADD Submittal Forms and Plan Review Checklists	PDF	Yes	
PS&E CADD Submittal Form (one PDF file)	PDF		Yes
Special Provisions and NSSP Approvals	MSW	Yes	Yes

PS&E SUBMITTAL REQUIREMENTS

Combined Roadway and Structure BEES File	PDF or B	Yes (PDF)	Yes (B)
PE's Certification Letter of Utility Facilities for High/Low Risk with Seal and Signature	PDF	Yes	
Funding Package (Funds Request not required) (all projects except 100% HM funded projects)	PDF	Yes	
Budget Verification Of Highway Maintenance Funds (only for 100% HM funded projects)	PDF	Yes	
Storm Water Data Report Cover Sheet	PDF	Yes	
Special Provisions Signature and Seal Sheets	PDF		Yes
Signed Authority to Advertise	PDF		Yes
Risk Register Certification Form(4)	PDF	Yes	Yes
<p>a) Yes means submittal is required for District to be credited with a PS&E Delivery Date (M380).</p> <p>b) Hard copies of all applicable PS&E submittal items shall be included in the Job Files for AADD projects.</p> <p>c) Submittal Format: MSW=Microsoft Word, FMP=FileMaker Pro, PDF= Portable Document Format, B=BEES</p> <p>d) (4) <i>Project Risk Management Handbook - A Scalable Approach</i>, and PD-09, <i>Project Risk Management</i>, http://onramp/hq/projmgmt/index.jsp?pg=65</p>			

10.3.2 PS&E SUBMITTALS FROM DOE TO OTHER DIVISIONS

For projects with federal funds, the district must transmit the draft E-76 to Division of Budgets, Federal Resources Office at the same time the PS&E Package is submitted to HQ. DOE must send PS&E Submittal information to other involved addressees specified on the PS&E Distribution list in the PS&E Submittal Memorandum as part of the funding process. Failure to comply will result in delays in project funding and advertisement. DOE submits PS&E packages or portions of PS&E packages directly to those involved at the same time the initial DOE Electronic Submittal to DES-OE is made. See the listing of Divisions at the end of the PS&E Submittal Cover Memorandum in Appendix E.

For high profile projects the E-76 will not be transmitted to FHWA until after FHWA approves PS&E Submittal.

For AADD projects, DOEs must transmit all the required submittals to other Divisions prior to the project being funded and submitted to DES-OE.

10.3.3 DES-OE SYSTEM REQUIREMENTS

DES-OE develops Final Bid documents using various computer systems, software and manual preparation procedures that require information to be properly entered and validated to ensure a consistent, full, complete and accurate contract. Important DES-OE System Requirements for PS&E submittals are that the

- Project Description information on the Title Sheet of the plans must matches the AADD and the OE Project Database.
- Title Sheet Strip Map Post Miles match the Submittal, AADD, or OE Project Database.
- SSPs are current at submittal to DES-OE and are updated at DCR or are current as of the RTL date for AADD projects.
- Index of Plan Sheets matches actual sheets
- Submittal does not contain missing, duplicated, or blank sheets
- Plan sheet naming conventions are followed on the CADD Submittal Form
- Plan sheet orientation is correct when plotted.
- Signed and Dated Plan Approval matches the Project Database

10.4 SPECIAL PROVISIONS SIGNATURE AND SEAL SHEET

Signature and Seal sheets, as shown in Appendix B, have four elements:

- Contract number.
- Design Oversight Approval. This block is to be used when the project, or any portion of the project specifications, has been developed by a consultant or local agency. The block must bear the printed name, signature, professional registration number and approval date of the licensed person providing design oversight for the entire project.
- The statement *The Special Provisions* contained herein have been prepared by or under the direction of the following Registered Persons.

- Space for signatures and seals for each professional discipline involved in the project. The signature and seal lines must bear the signature, registration seal, license number, and license expiration date of the licensed person knowledgeable about and in responsible charge of the specific work for each professional discipline involved in the project. As long as the document is signed and sealed prior to the licensee's registration expiration date, the document is valid in perpetuity - even if the contract is let after the noted expiration date. For a list of disciplines please see the Business and Professions Code Sections 6700-6799.

Professional seals should be combined on one sheet with a maximum of 4 per sheet.

If SOE prepares a portion of a project's special provisions, they must submit a completed signature and seal sheet to the district with their proposed final project special provisions. The DOE will combine the project special provisions and submit both the DES-SD and district signature and seal sheets to DES-OE.

10.5 AADD PROJECTS - ADDITIONAL INSTRUCTIONS

10.5.1 AUTHORITY TO ADVERTISE

The District or Regional Director signs the Authority to Advertise form and the DOE submits the completed form to DES-OE.

10.5.2 PROJECT PLANS

The district submits combined roadway and structure project plans as one file in PDF format using a PS&E CADD Submittal Form. The district numbers the plans, includes any Revised Standard Plans (RSPs) and New Standard Plans (NSPs) and completes the title block and plans approval date information and federal aid number, if applicable.

10.5.3 SPECIAL PROVISIONS

District submits special provisions in conformance with Section 6, Special Provisions.

10.5.4 ENGINEER'S ESTIMATE

District must have the Combined Estimate with phase 1 EA in the BEES. Only one BEES file for the project must be in the BEES when the project is submitted to DES-OE. If there are multiple BEES files in the BEES (e.g., separate bridge, road and combined files) then the advertisement process is stopped until the District deletes all but the combined BEES file.

10.5.5 INFORMATION HANDOUT

The district submits the Information Handout (IH) as one electronic file (eIH) in portable document format (PDF). The district submits the eIH with cover sheet to the PSE Dropbox. An 8½" X 11" hard copy of the IH must be included in the A&A section of the Job File. If a hard copy of the IH is greater than 100 sheets or 1-inch thick, then it must be included in the Job File as a PDF file on a CD.

10.5.6 JOB FILE

The district must overnight mail the Job File within 24 hours of PS&E submittal to DES-Office Engineer, Attn: Contract Awards, MS 43, 1727 30th Street, Sacramento, CA 95816-7005. The Job File is to be bounded by a two-hole fastener and contain the documents in Table 10-1.

10.6 AAOE PROJECTS - ADDITIONAL INSTRUCTIONS**10.6.1 PROJECT PLANS**

The district submits the roadway plan files to DES-OE using the CADD Submittal Form and Plan Review Checklist. If the project has structure plans, the district submits the structure plan files using the Structure PS&E CADD Submittal Form and Plan Review Checklist.

10.6.2 SPECIAL PROVISIONS SIGNATURE AND SEAL SHEET

The district submits Signature and Seal sheets for the special provisions before the project achieves the DR milestone.

10.6.3 PS&E SUBMITTAL MEMORANDUM

The district submits a PS&E Submittal Memorandum with the PS&E submittal package to DES-OE.

10.6.4 SPECIAL PROVISIONS

District submits special provisions in conformance with Section 6, Special Provisions.

10.7 PS&E SUBMITTAL MEMORANDUM

The PS&E Submittal Memorandum (Cover Memo) transmits the PS&E Submittal Packages to DES-OE, other HQ divisions and FHWA. A hard copy of the Memo must be signed by the District/Regional Office Engineer and the Project Manager. The hard copy may then be scanned and submitted electronically with the other PS&E submittal documents

The PS&E Submittal Memorandum Appendix E is a layout in both the submittal database and the AADD database and must be obtained from the DOE. The PS&E Submittal Memorandum parts are:

10.7.1 PRIORITY

Indicate if submittal is a safety or informal project. DES-OE processes informal and safety (Program 201.010) projects as top priorities. (Informal projects shall not be processed as AADD).

10.7.2 SERVICE LEVEL

Select AADD or AAOE.

10.7.3 PROJECT INFORMATION

a. Identification

Information required for project processing, advertisement, award, funding, federal fund participation, etc. The information is taken from the program documents, etc.

b. Project Location Description (Project Plans for. . .)

Same as the project location description on the title sheet.

c. Work Description

List types of work in general terms using a maximum of 70 characters.

d. Approval

This is the expenditure authorization from the Project Report and the Project Approval/Environmental Document (PA/ED) date that authorized this report.

e. Personnel

List the names of the personnel involved in the preparation of the PS&E. The information is needed for communication purposes. The responsible District is the one performing the District Office Engineer function.

10.7.4 PERFORMANCE INDICATORS

These are data to be collected for the Department's evaluation, information, dissemination, reporting purposes, etc.

a. Nonstandard Special Provisions (NSSPs)

Attach a list of all NSSPs in the project specifications. NSSP Approvals are a condition of District Response. See 6.9 for processing procedures.

b. Permits

Complete the table listing permits that control the execution of the contract, including environmental permits. See 10.8.1 for a list of common permits.

Although copies of the permits are part of the Supplemental Project Information (items included in SSP 2-1.06B), the permits should also be listed in the PS&E Submittal Memorandum. Limit permit descriptions to a maximum of 60 characters per line.

c. Transportation System Information (TSI)

Indicate the date the Project Delivery Assets Form was e-mailed to TSI.

d. Design - Resident Engineer (RE) Pending File

Indicate the actual or target date of pending file submittal to the Construction RE.

e. Design - Salvageable Materials

List the salvageable materials used for the project, if any.

f. Design - Landscape**Compost**

Indicate the volume of compost used with Erosion Control applications and planting operations. Includes soil amendment, green material (compost and bark mulch) used for compost blanket or incorporated compost.

Highway Planting

Indicate the area of planting and irrigation work required due to new road construction or planting as a mitigation requirement.

Mulch

Indicate the volume of mulch used from wood chips, or bark.

Indicate the area of inert materials used as ground cover.

Recycled Water

Indicate if the project will use recycled water. Indicate the estimated annual recycled water use for the project.

Wildflower Seeding

Indicate the area of Wildflower Seeding. Do not include any wildflowers included in Erosion Control applications. If no seeding is applied on this project and it is required, indicate the value of wildflower seeding to be tracked for a future project. The value is calculated as .25 of 1% of the total value of planting and irrigation.

g. Worker Safety

Indicate the number of gates, area and quantity of maintenance access roads, area of paving and number maintenance vehicle pullouts.

10.7.5 FUNDING**a. Program**

Check applicable funding source(s).

b. Program Code

See Division of Accounting Coding Manual.

c. Budget Year

The year the project's construction fund is budgeted for.

d. CMAQ

Indicate whether the project is eligible or not. If so, provide an emission reduction study to the Division of Budgets, Office of Federal Resources.

e. Federal Funding

Indicate why the project is not eligible for federal funding.

10.7.6 FEDERAL PARTICIPATION**a. Oversight Determination**

Indicate whether the project is Delegated or High Profile regarding FHWA review and oversight. If High Profile, the name of the FHWA Engineer and the date the High Profile Project Agreement with FHWA was executed is to be shown. See Appendix B and/or PDPM Chapter 2, Section 7, Figure 2, for determination of FHWA oversight. Contact the appropriate FHWA Engineer to confirm the determination.

b. For Federal Aid Projects

List the structure name, number, type, begin and end stations. This information is to be provided by SOE.

10.7.7 PS&E INFORMATION**a. Plans**

Indicate what version of Standard Plans was used to prepare the project plans. Indicate the number of roadway, structure, and total plan sheets.

b. Specifications

Indicate what version of the Standard Specifications or General Conditions was used to prepare the special provisions.

c. Prosecution of Work**i. Construction Working Days**

The number of working days provided to finish the work excluding the plant establishment period. See 6.4.2 for points to consider when determining the number of working days.

ii. Plant Establishment Working Days

The number of working days provided to establish plants and maintain irrigation systems.

iii. Total Working Days

The total sum of the construction and plant establishment (if applicable) working days.

iv. Liquidated Damages and Road User Cost

The LD and RUC entries are filled in on Cost plus Time contracts only. See Liquidated Damages in 6.4.2.

d. Special Features

Check appropriate box if project has any of the following feature: If approval is required then indicate the approval date or target date.

i. Incentive/Disincentive

I/D are bonuses and deductions used for meeting internal time constraints and encouraging early contract completion. I/D may be used in conjunction with Cost+Time Bidding.

ii. Informal

The informal bids process may be used on emergency projects to reduce PS&E processing, advertising, and award time. If federally funded, an approved Cost Effectiveness Finding is required for advertising periods less than 3 weeks

(<http://onramp/hq/budgets/federalresources/library/PIF%20Guidelines%20Nov%202006.pdf>).

iii. Partnering

See Section 7, Preparing the Project Cost Estimate.

iv. Pre-Award Qualifications

Provide a copy of the approval with the project submittal if the project uses this requirement. See the memorandum, Pre-Bid and Pre-Award Qualifications Provisions, from Robert Buckley dated March 22, 2002 in regard to the approval requirements.

v. Tribal Employment Rights Ordinances (TERO)

Required for projects with limits in particular tribal lands. See Deputy Directive, DD-74R2, Tribal Employment Rights Ordinances (TERO) for requirements.

vi. Time Related Overhead (TRO)

See 7.6.2

vii. Value Analysis

No longer required for PS&E Submittal. However, per 23 U.S. Code, Sec. 106(e)(2) the Division of Budgets requires a copy of the Value analysis for projects > \$50 million.

viii. Warranty

Used when a project has been approved for the warranty pilot program.

e. Estimate

Indicate the road construction cost, structures cost, total cost, number of contract items, BEES keyword, estimate date and call out number. For information on how to round the contract items subtotal for use as the call out number see DES Decision Document 45, Use a Rounded Engineer's Estimate for Call Out Number, signed by Brent Felker, dated August 27, 2003.

f. Construction Window

Describe conditions that impact the beginning of work. This information controls fund allocation, Advertisement and Bid Opening dates. These conditions could be permit requirements, temperature for HMA or seal coat placement, public events, coordination with other projects, etc. Indicate the description, location and dates work cannot be performed. Provide recommended begin construction date.

g. PS&E Distribution List

Indicate and provide the applicable document to Divisions that are identified.

10.8 SUPPLEMENTAL PROJECT AND THE INFORMATION HANDOUT

See 6.4.1

Documents required in the IH (as applicable for the project) include (but are not limited to) the documents described in the following sections.

10.8.1 PERMITS AND AGREEMENTS

- Railroad Agreements
- Department of Fish and Game. See the Contract Requirements, Section 1601 of the California Fish and Game Code
- California Regional Water Quality Control Board
- United States Army Corps of Engineers
- Biological Opinions referenced by Permits
- Coastal Commission
- United States Coast Guard
- State Lands Commission
- Reclamation Boards
- Water Districts
- San Francisco Bay Conservation and Development Commission
- Tahoe Regional Planning Agency
- Transit Districts
- United States Forest Service
- United States Fish and Wildlife Protection Agency. See Fish and Game Code, Division 3, Chapter 1.5, Article 4
- Tribal Employment Rights Ordinances

- Encroachment permits from public agencies

10.8.2 FOUNDATION RECOMMENDATION REPORTS

Foundation recommendations, foundation review forms, pile indicator reports, drivability studies, and other pertinent structure foundation related materials must be submitted to DES-OE for inclusion in the Information Handout. See memo, *Foundation Data as Materials Information*, signed by James E. Roberts dated November 16, 1994.

10.8.3 HAZARDOUS WASTE, ASBESTOS OR LEAD INVESTIGATION REPORTS

These reports are required by Federal and State regulations, State laws and Department policy. See Project Development Procedures Manual (PDPM), Chapter 18, Environmental Contamination. A Hazardous Material Survey Report is required for all projects involving work on an existing building.

10.8.4 MATERIALS INFORMATION

All test data applicable to material sites for a project should be furnished to prospective bidders. This information may include maps, test reports, tabulation sheets, SMARA status, copies of options or agreements with owners of the material sites and other information as specified in the Highway Design Manual.

10.8.5 GEOTECHNICAL DESIGN REPORTS

A Geotechnical Design Report is to be prepared by the Roadway Geotechnical Engineering Branches of the Division of Engineering Services, Geotechnical Services (or prepared by a consultant with technical oversight by DES-GS) for all projects that involve designs for cut slopes, embankments, earthwork, landslide remediation, retaining walls, groundwater studies, erosion control features, sub-excavation and any other studies.

10.8.6 WATER SOURCE INFORMATION

If a project will require significant amounts of water and is in an area under drought conditions or subject to water shortages, water source information must be provided to help prospective bidders locate possible water sources. Water source information includes correspondence and other documentation for all arrangements, whether formal or informal, that have been made to secure water needed for the project.

10.8.7 OPTIONAL DISPOSAL SITES

Sites for disposing residue from grinding or grooving the surface of HMA or PCC pavement and bridge decks must be submitted to DES-OE for inclusion in the Information Handout. For more information see Design Information Bulletin Number 84 on the Division of Design Web site.

Generally, the information should include:

- Cover page with project information.
- Index of accompanying information.
- Maps of Sites.
- Copies of agreements with owners (if applicable).
- Copies of use permits and clearances or MOUs (when they have been obtained by the State).

10.9 RTL CERTIFICATION

See 1.3 for RTL Certification requirements and instructions.