

Chapter 14 *Developing Projects Using the Local Agency Guidelines*

14.1 **General Discussion**

The previous three chapters of this manual explained how local agencies may qualify to receive Federal Highway Administration (FHWA) funding for their transportation projects. The remainder of the manual explains procedures for developing specific projects.

Once a local agency has qualified to receive FHWA funds, as described in [Chapter 12](#), the next action is to apply for funds to develop specific projects in its transportation program. Depending on their size and complexity, different projects may require different development procedures. The remaining chapters of the manual are arranged to reflect these differences.

For projects selected by HQ Local Programs – Once a project has been awarded funds, the local agency is to complete the project as selected. In the event unforeseen conditions (e.g., environmental, right of way) are encountered requests for scope, schedule and budget adjustments may be considered.

Chapters [21–28](#), General Project Development Processes, describe activities required during preliminary engineering on all projects.

Chapters [31–34](#), Special Project Development Processes, describe activities that may be required on some projects.

Chapters [41–46](#), Design, and Chapters [51–53](#), Construction and Post Construction, offer the local agency a choice of procedures, depending on whether its projects are located in urban or rural areas and whether it or the state will administer its construction contracts.

[Chapter 61](#), Local Agency Force Projects, describes procedures from project design approval through the closing of an FHWA project, using the agency's labor, equipment, and materials.

The specific requirements for a project may change as project development progresses and as more information about a project becomes available. Further details of the specific requirements are shown in the Project Development Process Flowchart and Checklist. The meanings of unfamiliar terms may be found in the Glossary. Once the local agency has identified the steps required on a particular project, only the parts in the manual that deal specifically with those steps need be referred to.

14.2 **Project Development Process Overview**

This section describes the project development process by setting forth project phases, documentation requirements, options for construction administration, and required reviews and approvals.

- .21 Phases of Authorization** – FHWA funds may be authorized for the following project phases:
1. Preliminary engineering or separate planning study.
 2. Right of way acquisition.
 3. Construction.

Phase Requirements When Utilizing FHWA Funds – For all phases, and at the time of each phase authorization, all funds necessary to complete the scope of work being authorized for the phase must be secured.

Preliminary Engineering Phase – FHWA Funds in PE Phase Only. For FHWA funds to be used in the PE phase of the project, the environmental documentation including FHWA NEPA approval, must be completed prior to advertising the project for construction. With no federal funds in the right of way or construction phases, the local agency must still follow federal environmental regulations and the Uniform Relocation Assistance and Real Property Acquisition Policies Act. A NEPA document must be approved by FHWA and all environmental commitments must be incorporated into the right of way and construction phases. Effective October 1, 2012 Section 1518 of MAP-21 amended the Buy America Statute. If any phase of a project (PE, RW, CN) within the scope of a NEPA document is awarded using Federal-aid funding then the Buy America provisions will apply to all construction phases within the scope of the NEPA document, regardless of the source of funding. Right of way must be acquired per the [Right of Way Manual M 26-01](#) and acquisition may proceed during the PE Phase in accordance with the manual.

Any study projects are excluded from NEPA approval, planning studies must be completed and a copy provided to WSDOT to close the project.

Note: The Infrastructure Investment and Jobs Act (IIJA)/Bipartisan Infrastructure Law (BIL) amended 23 USC 102 by eliminating the requirement for repayment of preliminary engineering (PE) costs reimbursed with FHWA funds if a project does not advance to construction or right of way phase within 10 years of the funds being authorized, also known as the '10-year PE rule.'

Right of Way Phase – FHWA Funds in Right of Way Phase. For FHWA funds to be used in the right of way phase of the project, the environmental documentation including FHWA NEPA approval, approved relocation plan (if applicable), Project Funding Estimate and approved right of way plan must be completed prior to FHWA R/W authorization. All property acquisitions and relocations must be completed prior to advertising the project and must comply with the Uniform Act and [49 CFR Part 24](#) or the local agency is at risk of repayment of all federal funds used in the project. All environmental commitments must be incorporated into the R/W and construction phases. (See also “Determining Whether or Not Land or Property Rights or interest are Needed” flowchart in [Appendix 25.174](#).)

Note: Construction of the project must start prior to the close of the tenth federal fiscal year following the federal fiscal year in which right of way was authorized.

Construction Phase – FHWA Funds in Construction Phase. All federal laws are triggered with federal funds in the construction phase; examples include NEPA, Title 23 USC, Uniform Relocation Assistance and Real Property Acquisition Policies Act, Buy America, and Davis-Bacon. After approval of the NEPA document, right of way certification, and the DBE/Training goals are established the construction phase can be authorized by FHWA. Once FHWA authorizes construction funding the local agency has authority to advertise the project. For Intelligent Transportation Projects (ITS) or projects that include ITS components (cameras, signal interconnect, fiber optic, etc.) agencies must complete and submit the ITS information form ([Appendix 41.53](#)) with the construction authorization request.

| Documentation Requirements When Utilizing FHWA Funds | PE Phase: FHWA Funds in PE Phase Only ¹ | R/W Phase: FHWA Funds in the R/W Phase ² | CN Phase: FHWA Funds in the Construction Phase ³ |
|--|---|--|--|
| Required Documentation | | | |
| STIP | X | X | X |
| Approved NEPA | X ⁴ | X ⁴ | X ⁴ |
| Approved Relocation Plan (if applicable) | | X | |
| Project Funding Estimate | | X | |
| Approved R/W Plan | | X | |
| WSDOT Approved Right of Way Certification | | X | X |
| DBE/Training Goals | X | X | X |
| Design per LAG Manual | | | X |
| Environmental per LAG Manual | X | X | X |
| R/W Acquisition per LAG Manual | X | X | X |
| Construction per LAG Manual | | | X |
| Title VI & Buy America provisions | X | X | X |
| Intelligent Transportation Systems Information Form (Appendix 41.53) | | | X |

¹Local Agency must provide documentation after completion of the PE phase that the project has been or will be constructed with non-FHWA funds.

²Local Agency must provide documentation after completion of the PE and R/W phases that the project has been or will be constructed with non-federal funds.

³Local Agency must provide documentation after completion of the CN phase as documented in this manual.

⁴Any environmental commitments must be incorporated into the R/W and /or CN phases. NEPA is not required if it is a planning study only.

⁵Local Agencies must provide a completed form if the project includes ITS components (see [Appendix 41.53](#)).

.22 Documentation Required for Authorization of Funds

- 1. Planning With STP Funds** – “Urban Transportation Planning” is an interdisciplinary process for developing and monitoring long- and short-range transportation plans and improvement programs. These plans and programs are formulated with due consideration of present and anticipated future social, economic, and environmental factors and the safety and mobility needs of the population of the urban area. It is a dynamic process, in that it is continuously monitored to accommodate changes of land use, economic conditions and other factors influencing travel patterns. Because of the vast amount of capital expenditures required in the implementation of transportation systems (both highway and transit related), these projects could radically influence land use development in an area or region. Due to the substantial influences that transportation improvements have on the character of the land, it is important that transportation improvements reflect the overall regional social and economic objectives pertaining to community development.

FHWA funded planning activities and studies are identified in Title 23, Part 420 USC, as activities not included in a work program but necessary in development of procedures and project identification.

For planning and Transportation Demand Management (TDM) funding, the following documents are required:

- a. Project prospectus planning scope of work ([Chapter 21](#)).
 - b. Local Agency Agreement ([Chapter 22](#)).
 - c. Evidence of STIP inclusion.
 - d. Documented cost estimate.
 - e. Updated Local Project Report, if required.
2. **Preliminary Engineering Funds** – When applying for preliminary engineering funds, the following documents are required:
- a. Project Prospectus ([Chapter 21](#)).
 - b. Local Agency Agreement ([Chapter 22](#)).
 - c. Typical sections, vicinity map, and evidence of STIP inclusion.
 - d. Documented cost estimate
 - e. Updated Local Project Report, if required.
3. **Right of Way Funds** – When applying for right of way funds, after preliminary engineering funds have developed right of way plans, the following documents are required, if appropriate:
- a. Supplement to or original Local Agency Agreement ([Chapter 22](#)).
 - b. FHWA approval of environmental documents ([Chapter 24](#)).
 - c. Relocation plan, if relocation is required ([Chapter 25](#)).
 - d. Approved Right of way plan ([Chapter 25](#)).
 - e. Right of way Funding Estimate ([Chapter 25](#)).
 - f. Evidence of STIP inclusion.
 - g. Updated Local Project Report, if required.
4. **Construction Funds** – The following documents must be submitted to request construction funds:
- a. Supplement to or original Local Agency Agreement. The agency’s proposed advertisement date must be noted on the supplement, or the original LAA if construction is the first phase authorized.
 - b. Right of way certification (if required).
 - c. Final FHWA approval of environmental documents ([Chapter 24](#)).
 - d. Evidence of STIP inclusion.
 - e. Updated project prospectus. To ensure utility and railroad work is adequately addressed ([23 CFR 635.309\(b\)](#)) local agencies are required to provide an updated, signed project prospectus at time of construction phase authorization.
 - f. Engineer’s Estimate.
 - g. Evidence of assignment of DBE/training goals or approved Local Agency Force PIF, as applicable.
 - h. Updated Local Project Report, if required.

- .23 **Construction Contract Administration** – The local agency has the option of:
1. Administering the contract if it has approved certification acceptance procedures and operates in compliance with [Chapter 13](#).
 2. Requesting that WSDOT administer the contract.
 3. Using its own forces to perform the work if operating under Certification Acceptance (CA) ([Chapter 61](#)).
 4. Requesting that another public agency (one operating under CA) perform the work ([Chapter 13](#)).
 5. Performing contract administration by a consultant ([Chapter 31](#) under CA).

14.3 Projects Within Interstate Rights of Way

Since all projects within the Interstate Rights of Way (R/W) have the potential to impact safety and operations on the Interstate route, they must incorporate Interstate design criteria and construction quality. It is the Federal Highway Administration's (FHWA) policy that all projects within the Interstate R/W should be administered by WSDOT. However, given the scope and extent of non-Interstate projects within the Interstate R/W, it is recognized that local agency administration of some projects may be acceptable, and all requests will be considered on a case-by-case basis.

Whenever a local agency proposes a project within the Interstate R/W, they must develop an agreement with WSDOT that clearly outlines their duties and responsibilities to maintain the integrity of the Interstate facility, from both the safety and quality perspectives. The agreement should be executed prior to design approval and must be executed prior to advertising for bids. The following requirements must be incorporated into the agreement:

Responsibilities – WSDOT and the local agency must each assign a project engineer.

Design – WSDOT must review and approve all highway plans, profiles, deviations, structural plans, false-work plans, shoring plans, and traffic control plans for any work within the Interstate R/W.

Plans, Specifications, and Estimates – WSDOT must review and approve the plans and specifications for any work within Interstate R/W.

Advertising and Award – The local agency must confer with the WSDOT project engineer on any pre-award issues affecting the quality and timing of the contract.

Construction – All construction, materials, and quality control requirements contained in the current editions of the [Standard Specifications](#) M 41-10 and [Construction Manual](#) M 41-01 must be incorporated into the agreement.

Contract Changes – All contract changes affecting work within the Interstate R/W must have the prior concurrence of the WSDOT project engineer.

Final Inspection – The final inspection of the project must be performed by WSDOT or the Region Construction (Operations) Engineer and must provide proof of their approval.

The agreement must be submitted to FHWA. FHWA reserves the right to assume full oversight of the project.

14.4 Project Development Process Flowchart and Checklist

The flowchart (see [Appendix 14.51](#)) and checklist (see [Appendix 14.52](#)) depict the sequence of major activities necessary to develop transportation projects using FHWA funds. The forms required for a project are shown on the list of forms. Since the type of work varies on projects, see *Construction Manual Chapter 11*, for additional required forms.

It is recommended that a copy of the checklist be inserted in the project file and used to initiate and document the activities necessary to complete a project.

14.5 Appendices

- [14.51](#) Project Development Process Flowchart
- [14.52](#) Project Development Checklist

| Phase | Process Activities | Chapter Reference |
|---------------------------------------|--|-------------------|
| Initiate | 00 Project Development Checklist | 12 and 14 |
| | 00 Included in STIP | or |
| Design | 00 Project Development Checklist | 21 and 43 |
| | 00 Prepare Project Prospectus-Design Report | |
| | 00 If Applicable, Engage Consultant | 31 |
| | 00 Make Environmental Determination | 24 |
| | 00 If Applicable, Request Design Deviation | 41 |
| Request Preliminary Engineering Funds | 00 Project Development Checklist | 43 |
| | 00 Location/Design, Public Hearing, and Approval | |
| | 00 Complete Environmental Action | 24 |
| | 00 Develop Right of Way Plans and Estimate | 25 |
| | 00 Complete Relocation Plan | 25 |
| | 00 Supplement to Local Agency Agreement | 22 |
| Request Right of Way Funds | 00 Project Development Checklist | 25 |
| | 00 Relocation and Right of Way Certification and Project Analysis | |
| | 00 DBE Goals Set | 26 |
| | 00 PS&E Approval | 44 |
| | 00 Supplement to Local Agency Agreement | 22 |
| | 00 For State Ad and Award, Financial Responsibility Letter | 44 |
| Request Construction Funds | 00 Project Development Checklist | 46 |
| | 00 Contract Number From the Region Local Programs Engineer | |
| Construction Administration | 00 Notice to Minority Contractors Association (see Region Local Programs for Distribution Centers) | 26 |
| | 00 Advertise for Bids | 46 |
| | 00 For Certified Agency (CA), Approve Award and Notify Region Local Programs Engineer | 46 |
| | 00 For WSDOT Administered Contracts, Award by WSDOT | 45 |
| | 00 Award Data to Region Local Programs Engineer | 46 |
| | 00 Preconstruction Conference | 52 |
| | 00 Construction Administration (<i>Construction Manual M 41-01</i>) | 52 |
| Project Closure | 00 Project Development Checklist | 53 |
| | 00 Construction Completion Notice to Region Local Programs Engineer | |
| | 00 Final Acceptance by FHWA | 53 |
| | 00 Final Billing and Cost Report to Region Local Programs Engineer | 23 and 53 |
| Project Closure | 00 Complete DBE Form | 26 |
| | 00 Final Records | 53 |
| | 00 Audit | 53 |

No Environmental Studies, Right of Way, and Hearings Required



Project Development Checklist

Project Title: _____

Project Location: _____

Road or Street Number: _____ FA Program: _____

| Initials | Date or N/A | Project Initiation (Chapter 12) |
|----------|-------------|--|
| | | Project in STIP |
| | | Federal aid program form (Sheet 1 of Prospectus) to: <input type="checkbox"/> Metropolitan planning organization <input type="checkbox"/> Or WSDOT (Region Local Programs) <input type="checkbox"/> Nondiscrimination Agreement |
| | | Program of project approved by appropriate agency |

| Initials | Date or N/A | Project Prospectus (Chapters 21, 24, 42, and ECS Guidebook) |
|----------|-------------|--|
| | | Sheet 1 <input type="checkbox"/> Project information, local agency project number <input type="checkbox"/> Description of proposed work and existing facility <input type="checkbox"/> Cost estimate of all phases <input type="checkbox"/> Proposed obligation date <input type="checkbox"/> Environmental determination (CE, EIS, EA) <input type="checkbox"/> Request species listing from USFWS, NMFS, DNR, and WDFW <input type="checkbox"/> Signature block |
| | | Sheet 2 <input type="checkbox"/> Geometric design data <input type="checkbox"/> Environmental considerations <input type="checkbox"/> Performance of work |
| | | Sheet 3 <input type="checkbox"/> Right of way relocation <input type="checkbox"/> Utility relocations <input type="checkbox"/> FAA Involvement <input type="checkbox"/> Signature <input type="checkbox"/> Local Agency Design Matrix Checklist, Appendix 42.101 |

| Initials | Date or N/A | Local Agency Agreement (Chapters 22 and 23) |
|----------|-------------|--|
| | | Billing address <input type="checkbox"/> Description of work matches prospectus <input type="checkbox"/> Check math on agreement <input type="checkbox"/> Federal aid matching percentage <input type="checkbox"/> Method of financing <input type="checkbox"/> Agreement signed by approving authority |

| Initials | Date or N/A | Request Preliminary Engineering Funds (Chapter 14) |
|----------|-------------|--|
| | | Project programmed |
| | | Project application package to Region Local Programs Engineer: <input type="checkbox"/> Project prospectus with attachments (including Roadway Section if applicable) <input type="checkbox"/> Local Agency Agreement <input type="checkbox"/> Prospectus Submittal Checklist completed |
| | | PE funds authorized by Local Programs |
| | | Evaluate if WSDOT Access Permits are required |

| Initials | Date or N/A | Consultant Selection Process (Chapter 31) |
|----------|-------------|--|
| | | Independent estimate for consultant services and recommendation (request) to approving authority |
| | | Receive approval to advertise for consultant services |
| | | Advertise for consultant services - see Appendix 31.74 (Must include Title VI language) |
| | | Develop consultant evaluation selection criteria |
| | | Select minimum of three best qualified firms |
| | | Submit request for approval of selected firm to approving authority |
| | | Conduct pre award audit (if necessary) before negotiations |
| | | Approving authority approves selection, negotiation begins |
| | | Negotiation completed – submit final draft of agreement, etc., to the approving authority |
| | | Receive approval from approving authority |
| | | Agreement signed by consultant |
| | | Agreement executed by approving authority (consultant may now begin work) |
| | | Notice to proceed sent to the consultant |
| | | Send copy of agreement to Region Local Programs Engineer |

| Initials | Date or N/A | Consultant Administration (Chapter 31) |
|----------|-------------|---|
| | | Oversee the consultant’s work and billings to ensure compliance with the agreement |
| | | Prepare diary to record discussions and visitation with the consultant |
| | | Check consultant billings regarding employee classification, wage rate, actual invoices for direct non salary costs, etc. |
| | | Enter consultant payment on ledger system |
| | | Conduct consultant employee interviews |
| | | Establish and maintain a tracking system to monitor consultant agreement expiration dates |

| Initials | Date or N/A | Environmental Processes (CE Guidebook) Categorical Exclusion |
|----------|-------------|---|
| | | <input type="checkbox"/> Request a NEPA kick-off meeting with the LPE and Local Programs Environmental Engineer (if warranted). Review the draft CE Documentation Form prior to the kick-off meeting <input type="checkbox"/> Submit completed drafts of discipline reports to WSDOT Region Local Programs for review by Local Programs Environmental Engineer <input type="checkbox"/> Submit completed discipline reports to WSDOT Region Local Programs <input type="checkbox"/> Obtain all necessary approvals |

| Initials | Date or N/A | Environmental Assessment (Appendix C in CE Guidebook) |
|----------|-------------|---|
| | | Obtain concurrence from FHWA Area Engineer and Local Programs HQ that an EA is necessary. |
| | | Submit preliminary environmental assessment to Region Local Programs |
| | | Revise draft environmental assessment, based on Local Programs and FHWA comments |
| | | WSDOT and FHWA approve environmental assessment |
| | | Publish notice of availability for environmental assessment |
| | | Publish opportunity for comment period and hearing, if held |
| | | Submit FONSI package (including summary of comments received and responses, any revisions to the environmental assessment and FONSI) to Region Local Programs for review by Local Programs and FHWA |
| | | FONSI issued by FHWA |
| | | -or- |
| | | Establish need to develop Environmental Impact Statement |

| Initials | Date or N/A | Environmental Impact Statement (Appendix B in CE Guidebook) |
|----------|-------------|---|
| | | Obtain concurrence from FHWA Area Engineer and Local Programs HQ that an EIS is necessary. |
| | | Submit draft Notice of Intent to Region Local Programs |
| | | FHWA Publishes Notice of Intent Submit interdisciplinary team recommendations to project manager |
| | | Develop public involvement plan |
| | | Develop data inventory and evaluation from interdisciplinary team |
| | | Submit preliminary discipline reports for review to Region Local Programs |
| | | Submit completed discipline reports to Region Local Programs |
| | | Submit preliminary Draft Environmental Impact Statement to Region Local Programs |
| | | Receive WSDOT and FHWA comments on the preliminary draft of EIS |
| | | Submit camera-ready Draft Environmental Impact Statement to Region Local Programs Engineer for WSDOT and FHWA signature |
| | | Receive approval to publish Draft Environmental Impact Statement Distribute draft environmental impact statement to circulation list |
| | | Publish notice of availability in Federal Register (minimum 45 days comment period) |
| | | Advertise opportunity for public hearing |
| | | Respond to all comments received and forward comments/responses to Region Local Programs for review by Local Programs |
| | | Prepare and submit preliminary Final Environmental Impact Statement to Region Local Programs Engineer |
| | | Receive comments from WSDOT and FHWA |
| | | Receive approval to print Final Environmental Impact Statement |
| | | Submit final Environmental Impact Statement to Region Local Programs Engineer for WSDOT and FHWA signature |
| | | Circulate final Environmental Impact Statement |
| | | Submit draft record of decision package to FHWA |
| | | Final ROD issued by FHWA |

| Initials | Date or N/A | Design Approval (Chapter 43) |
|----------|-------------|---|
| | | Submit project prospectus |
| | | Submit design report |
| | | Submit "Work Zone Safety and Mobility" report where applicable (see Section 41.2) |
| | | Submit pavement design criteria |
| | | Meet public hearing requirements |
| | | Meet environmental requirements |
| | | Concurrence with BA effect determinations |
| | | ECS approval by FHWA |
| | | For projects over \$50 million in the construction phase and bridge projects over \$40 million in the construction phase conduct a Value Engineering Study. |
| | | For traffic signal projects, submit warrants for signalization to Region Local Programs Engineer |
| | | Obtain location and design approval |
| | | Publish design approval notice |

| Initials | Date or N/A | Right of Way Funding and Acquisition Funding (Chapters 14 and 25) |
|--------------------|-------------|--|
| | | Project in STIP |
| | | Complete design hearing requirements |
| | | Approve right of way plan |
| | | Submit right of way relocation plan (if required) to Region Local Programs Engineer |
| | | Submit right of way project funding estimate or true cost estimate, supplement to Local Agency Agreement and FHWA approval of environmental documents, to Region Local Programs Engineer with request for right of way funds |
| | | Receive authorization to acquire R/W from the Director, Local Programs |
| Initials | Date or N/A | Acquisition (Chapter 25) |
| | | Acquisition procedures approved by the ROW Program Manager, Local Programs |
| | | Acquisition procedures current |
| | | Set up documentation file for each parcel |
| | | Set up commitment file |
| Appraisal | | |
| | | Appraiser approved by WSDOT |
| | | Give landowner opportunity to accompany appraiser |
| | | Signed appraiser certification in file |
| Appraisal Review | | |
| | | Appraisal reviewer approved by WSDOT |
| | | Date of value determination precedes commencement of negotiations |
| | | Just compensation set by agency |
| | | Signed review appraiser certification in file |
| Negotiations | | |
| | | Prepare diary of all owner contacts |
| | | Give owner written statement of just compensation (Offer Letter) |
| | | Ensure that settlement contains construction clauses |
| | | Obtain evidence of clear title |
| | | Negotiator disclaimer statement in file |
| Relocation Plan | | |
| | | Approved by WSDOT |
| | | Work with WSDOT relocation staff on all relocations |
| Project Completion | | |
| | | Complete relocation |
| | | Complete acquisition |
| | | Complete administrative settlement documentation |
| | | Place a copy of deeds in file, include proof of payment in file |
| Send | | |
| | | Letter of certification sent from local agency to Region Local Programs Eng. |
| | | LPA coordinator conducts certification review |
| | | WSDOT's certification by ROW Program Manager, Local Programs |

| Initials | Date or N/A | Plans, Specifications, and Estimates (Chapters 24, 26, 27, 44, and ESC Guidebook) |
|----------|-------------|---|
| | | Review commitment and correspondence file When applicable, secure the following permits or interagency coordination: <ul style="list-style-type: none"> <input type="checkbox"/> Airport roadway clearance from FAA <input type="checkbox"/> Coastal zone management compliance from DOE <input type="checkbox"/> For cultural, archeological, or historic sites SHPO contacted <input type="checkbox"/> Obtain concurrence letters for environmental determination <input type="checkbox"/> When waters modified or controlled Washington Department of Fish & Wildlife and DOE contacted regarding permitting <input type="checkbox"/> When stream is affected WDFW and DOE contacted regarding permitting <input type="checkbox"/> For timber supporting land, permit from DNR <input type="checkbox"/> When construction might reduce water quality, contact DOE <input type="checkbox"/> For quarries of 2 acres (0.81 ha) and 10,000 tons (9 091 metric tons) or more DNR contacted <input type="checkbox"/> Waters/wetlands – Army Corps of Engineers and DOE contacted <input type="checkbox"/> For navigable waterways, permit from Coast Guard obtained <input type="checkbox"/> If ESA-listed species are present in the project action area, U.S. Fish & Wildlife Service and National Marine Fisheries Services consulted <input type="checkbox"/> Utility agreement obtained <input type="checkbox"/> Railway agreement(s) obtained <input type="checkbox"/> On all federal aid projects, any revision to Division 1 of the Standard Specifications or APWA Division 1 General Special Provisions requires prior written approval from Local Programs |
| | | PS&E completed: <ul style="list-style-type: none"> <input type="checkbox"/> Vicinity map <input type="checkbox"/> Summary of quantities <input type="checkbox"/> Pit, quarry, stockpile, and waste sites <input type="checkbox"/> Reclamation plans <input type="checkbox"/> Roadway sections <input type="checkbox"/> Plans/profiles <input type="checkbox"/> Utility <input type="checkbox"/> Structure notes <input type="checkbox"/> Signing <input type="checkbox"/> Illumination <input type="checkbox"/> Bridge plans <input type="checkbox"/> Traffic control plans <input type="checkbox"/> Detour plans <input type="checkbox"/> Standard plans <input type="checkbox"/> Sheets numbered and dated <input type="checkbox"/> Each sheet signed and stamped by Professional Engineer <input type="checkbox"/> Bridge plans, design calculations, and soil report to Region Local Programs Engineer (State Ad and Award only) <input type="checkbox"/> Form FHWA-1273 and latest amendment included <input type="checkbox"/> Log of test borings <input type="checkbox"/> Training requirements <input type="checkbox"/> EEO requirement clauses <input type="checkbox"/> For steel, included Buy America requirement <input type="checkbox"/> Traffic control special provisions <input type="checkbox"/> Specialty items <input type="checkbox"/> General special provisions and amendments arranged in order and indexed <input type="checkbox"/> Project proposal <input type="checkbox"/> Noncollusion Declaration <input type="checkbox"/> Contract <input type="checkbox"/> DBE Utilization Certification <input type="checkbox"/> Engineer's estimate complete |

| Initials | Date or N/A | Plans, Specifications, and Estimates (Chapters 24, 26, 27, 44, and ESC Guidebook) |
|----------|-------------|---|
| | | PS&E completed: (continued) <input type="checkbox"/> DBE Utilization Certification <input type="checkbox"/> Engineer's estimate complete <input type="checkbox"/> Documentation for each item in engineer's estimate <input type="checkbox"/> Justification for nonparticipating items <input type="checkbox"/> Detailed documentation for lump sum items available in project files <input type="checkbox"/> Estimate to Region Local Programs Engineer <input type="checkbox"/> Training goal set by Local Programs <input type="checkbox"/> DBE goal set by Local Programs <input type="checkbox"/> Approval of local agency supplied materials <input type="checkbox"/> Sources approved by approving authority <input type="checkbox"/> Approval of stockpiling by the Director, Local Programs (when payment is requested for material when stockpiling aggregates, etc., for use on a future federal aid project) <input type="checkbox"/> Distribution of preliminary plans as determined by local agency |
| | | Field review of PS&E (State Ad and Award only) |
| | | Tied bids – Approval from WSDOT |
| | | For State Ad and Award, financial responsibility letter with PS&E documents sent to Region Local Programs Engineer |
| | | PS&E approved by approving authority |
| | | Plans, contract specifications and estimate stamped, signed, and dated, and on file in the local agency office |
| | | State and federal wage rates added to ad plans |
| | | PS&E sent to Region Local Programs Engineer |

| Initials | Date or N/A | Request Construction Funds (Chapter 14) |
|----------|-------------|--|
| | | Project in STIP |
| | | Send letter with the following attachments to Region Local Programs Engineer requesting construction funds: <input type="checkbox"/> Supplement to Local Agency Agreement, if project includes other phases <input type="checkbox"/> Letter of right of way certification <input type="checkbox"/> Final FHWA approval of environmental documents |

| Initials | Date or N/A | Local Ad and Award Advertise for Bids (Chapter 46) |
|----------|-------------|--|
| | | Get Local Programs Contract Number _____ from Region Local Programs Engineer |
| | | Approve ad period of less than three weeks |
| | | Publish notice of bid opening |
| | | Date of publication for sealed bids |

| Initials | Date or N/A | Bid Opening (Chapter 46) |
|----------|-------------|---|
| | | Issued addendum (if within one week of bid opening, bid opening should be delayed) |
| | | Opened bids |
| | | Prepared bid tabulation sheet |
| | | Checked submitted bids for tabulation errors |
| | | Completed bid and bidders tabulation sheet |
| | | Checked DBE participation project goals – verify DBE certification status |
| | | Request DBE concurrence to award from Local Programs for contracts containing DBE Goals |
| | | Determine responsive bid |
| | | Determine contractor qualifications |
| | | Contractor registered by Washington State Department of Labor and Industries |
| | | Contractor licensed as required by the laws of the State of Washington |

| Initials | Date or N/A | Bid Opening (Chapter 46) |
|----------|-------------|--|
| | | The System for Award Management (SAM) has been checked and documented (www.sam.gov/portal/public/sam) |
| | | Award recommendation sent to approving authority |
| | | When low bid is over engineer's estimate, submit justification and letter of award recommendation to approving authority |
| | | Submit supplement to Local Agency Agreement |
| | | Supplement approved by Local Programs |

| Initials | Date or N/A | Award of Contract (Chapter 46) |
|----------|-------------|--|
| | | Establish contract award date _____ |
| | | Sent "Award Letter" to successful low bidder |
| | | Sent request for a DBE Utilization Certification breakdown if a DBE goal was set |
| | | Sent "Condition of Award" to successful low bidder if DBE goals are set in the contract |
| | | Notify all unsuccessful bidders |
| | | Return bid bonds |
| | | Notify second and third bidders of holding bid bonds until execution |
| | | Sent award data to the Region Local Programs Engineer: <ul style="list-style-type: none"> <input type="checkbox"/> Tabulation of bids <input type="checkbox"/> Engineer's estimate <input type="checkbox"/> Actual versus estimated costs shown in Local Agency Agreement <input type="checkbox"/> Award letter <input type="checkbox"/> DBE Utilization Certification, DOT Form 272-056A (if applicable) <input type="checkbox"/> DBE Written Confirmation Document, DOT Form 422-031 (if applicable) <input type="checkbox"/> Estimated date of contract completion or number of working days for the contract <input type="checkbox"/> Names and addresses of all firms that submitted a quote to the successful low bidder |

Date of Award is Cutoff for Charging to Preliminary Engineering

| Initials | Date or N/A | Construction Administration Execution of Contract (Chapter 46) |
|----------|-------------|---|
| | | Sent contract and contract bond papers to contractor for signature |
| | | "Certificate of Insurance" received from contractor |
| | | Approving authority executed contract documents |
| | | Notified the contractor by phone of the execution of the contract |
| | | Executed a copy of the contract to contractor |
| | | Sent notice to proceed to contractor, with cc to Region Local Programs Engineer |
| | | Returned bid bonds to second and third bidders |

| Initials | Date or N/A | Preconstruction Conference (Chapter 51) |
|----------|-------------|--|
| | | Notice of preconstruction conference to: <ul style="list-style-type: none"> <input type="checkbox"/> Contractor <input type="checkbox"/> Region Local Programs Engineer <input type="checkbox"/> Affected utility companies <input type="checkbox"/> Police department <input type="checkbox"/> Fire department <input type="checkbox"/> Hospital <input type="checkbox"/> Ambulance service <input type="checkbox"/> Post Office <input type="checkbox"/> Others _____ <input type="checkbox"/> _____ <input type="checkbox"/> _____ |
| | | Preconstruction conference agenda prepared |
| | | Preconstruction conference held |

| Initials | Date or N/A | Preconstruction Conference (Chapter 51) |
|----------|-------------|---|
| | | Minutes of meeting to: <input type="checkbox"/> Contractor <input type="checkbox"/> Subcontractors <input type="checkbox"/> Region Local Programs Engineer <input type="checkbox"/> Other attending persons <input type="checkbox"/> Invited but not represented agencies <input type="checkbox"/> Project file |
| | | "Training Program": <input type="checkbox"/> Received from contractor <input type="checkbox"/> Approved by agency |
| | | "Apprentice/Trainee": <input type="checkbox"/> Approval request from contractor <input type="checkbox"/> Approved by agency |

| Initials | Date or N/A | Construction Documentation (Chapter 52) |
|----------|-------------|---|
| | | "Record of Material" received from WSDOT Materials Laboratory |
| | | Contractor provides copies of permits obtained from other agencies and/or property owners: <input type="checkbox"/> Washington State Department of Wildlife/Fisheries-Hydraulic Permit <input type="checkbox"/> Washington State Department of Ecology <input type="checkbox"/> Irrigation Regionals <input type="checkbox"/> Burlington Northern Railroad <input type="checkbox"/> Union Pacific Railroad <input type="checkbox"/> Air Pollution Control Authority <input type="checkbox"/> _____ <input type="checkbox"/> _____ <input type="checkbox"/> _____ |
| | | Temporary water pollution control plan approved |
| | | Agency requests updated ESA species listing every six months |
| | | Approved contractor's progress schedule |
| | | Received railroad insurance from contractor |
| | | Construction diary started |
| | | Inspector's diary started |
| | | "Certification of Materials Origin" received from contractor |
| | | Material source approval received |
| | | Plans for falsework and forms: <input type="checkbox"/> Received from contractor <input type="checkbox"/> Approved by agency |
| | | Required job site posters placed by contractor: <input type="checkbox"/> WH 1321 – Employee Rights Under the Davis-Bacon Act (project engineer to fill in contact information on the form prior to supplying to the contractor) <input type="checkbox"/> FHWA-1022 – Notice Federal Aid Project (project engineer to fill in contact information on the form prior to supplying to the contractor) <input type="checkbox"/> EEOC-P/E-1 – Equal Employment Opportunity IS THE Law <input type="checkbox"/> WHD Publication 1088 – Employee Rights Under the Fair Labor Standards Act <input type="checkbox"/> WHD Publication 1420 – Employee Rights and Responsibilities Under the Family and Medical Leave Act <input type="checkbox"/> WHD 1462 – Employee Polygraph Protection Act <input type="checkbox"/> WISHA F416-081-909 – Job Safety and Health Law <input type="checkbox"/> F242-191-909 – Notice to Employees (L&I) <input type="checkbox"/> F700-074-909 – Your Rights as a Worker in Washington State <input type="checkbox"/> EMS 9874 – Unemployment Benefits |
| | | Daily construction signing records started (checked twice daily and recorded) |
| | | Weekly statement of working days started |
| | | Material acceptance sampler appointed |

| Initials | Date or N/A | Construction Documentation (Chapter 52) |
|----------|-------------|---|
| | | Material independent assurance sampler appointed |
| | | Appointed office engineer for progress estimates and final records |
| | | Obtain a copy of the scale certifications |
| | | Daily scale check |
| | | Received FHWA Form 1391 for each July from contractor and subcontractors |
| | | FHWA Form 1392 prepared and sent to Region Local Programs |
| | | Received "Request to Sublet Work" and "Subcontractor or Agent Certification" from contractor |
| | | Approved request to sublet (subject to 70 percent limit) |
| | | Received "Intent to Pay Prevailing Wages" from contractor, subcontractors, and agents |
| | | Received approved "Intent to Pay Prevailing Wages" from Labor and Industries (required before first payment) |
| | | Checked first certified payroll from contractor and subcontractors to ensure payment of prevailing wages |
| | | Conducted random check of each successive payroll |
| | | Wage rate interviews conducted |
| | | Checked employee interview wage rate against certified payroll and Labor and Industries approved prevailing rate |
| | | Assigned Change Order Numbers _____ (Local Programs approval required when change order will alter the termini, character, or scope of work. Approval must be obtained before effective date of change order to be eligible for federal participation.) <input type="checkbox"/> Prepare change order that details basis and need for the change <input type="checkbox"/> Extension of time approved _____ days <input type="checkbox"/> Change order signed by contractor <input type="checkbox"/> Change order signed by surety (if required) <input type="checkbox"/> Verbal approval obtained from approving authority <input type="checkbox"/> Signed by approving authority <input type="checkbox"/> Original sent to contractor <input type="checkbox"/> Copy of approved change order sent to Region Local Programs Engineer <input type="checkbox"/> Supplement to Local Agency Agreement approved by the Director, Local Programs |
| | | Obtained copy of monthly estimate <input type="checkbox"/> Verified and documented that DBE is performing a commercially useful function prior to making a monthly payment <input type="checkbox"/> Prepared estimate <input type="checkbox"/> Checked estimate <input type="checkbox"/> Estimate sent to contractor <input type="checkbox"/> Estimate received from contractor <input type="checkbox"/> Obtain all "Intent to Pay Prevailing Wages" forms (for first month only; no payment can be made to the contractor until the form is received) |
| | | Overview of DBE Work (Chapter 26): <input type="checkbox"/> Verify work being done per Condition of Award Letter <input type="checkbox"/> Conduct on-site review(s) of each DBE to determine if the DBE is performing a commercially useful function (CUF) <input type="checkbox"/> Review change orders that affected DBE work <input type="checkbox"/> DBE goal change approved by the Director, Local Programs |
| | | Overview of EEO (Chapter 27): <input type="checkbox"/> Agency designates an EEO officer <input type="checkbox"/> Conduct on-site compliance review <input type="checkbox"/> Monitor DOT Form 820-010 each month for each trade <input type="checkbox"/> Notify contractor of compliance or noncompliance with the contract provisions <input type="checkbox"/> Ensure EEO signs are posted |

| Initials | Date or N/A | Project Completion (Chapter 52) |
|----------|-------------|--|
| | | Prefinal inspection by local agency and contractor completed |
| | | Final inspection by local construction agency and contractor completed |
| | | Report of Non-American Made Material (GSP 0605.GR1) received from contractor |
| | | Notice of completion sent to contractor |
| | | Extension of time request with justification received from contractor |
| | | Extension of time granted, _____ days |
| | | Extension of time refused, _____ days |
| | | _____ liquidated damages |
| | | Letter sent notifying contractor of assessed liquidated damages |
| | | Copy of completion notice requesting inspection and acceptance by Region |
| | | Local Programs |
| | | Contractor submitted claim |
| | | No claim submitted |
| | | Notice of completion to: _____ |
| | | Department of Labor and Industries |
| | | Department of Revenue |
| | | Received "Affidavit of Wages Paid" from contractor and subcontractors |
| | | Received ESA species listing for the project every six months |
| | | Received "Monthly Report of Amounts Credited as DBE Participation" from contractor |
| | | Release received from Department of Labor and Industries |
| | | Release received from Department of Revenue |
| | | Comparison of preliminary and final quantities sent to approving authority |
| | | Material certification form sent to approving authority |
| | | Completed "Report of Contractor's Performance" for prime contractor |
| | | As built plan completed (to be retained indefinitely) |
| | | Final record book #1 completed |
| | | Final estimate approved by the approving authority |
| | | Final estimate received from contractor |
| | | Paid final estimate |
| | | Released retained percentage from escrow or mailed check to contractor |

| Initials | Date or N/A | Project Closure (Chapters 32 and 53) |
|----------|-------------|--|
| | | Completion letter sent to Region Local Programs Engineer (within 15 days after project is completed) |
| | | Final billing sent to Region Local Programs Engineer (within 90 days after completion) |
| | | Completed final field inspection by the Region Local Programs Engineer. Deficiencies (if any) will be noted on DOT Form 140-500. |
| | | Resolve deficiencies found during the above field inspection |
| | | Informed by Region Local Programs Engineer of WSDOT final billing approval |

