

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

Project Location: \_\_\_\_\_

Road or Street Number: \_\_\_\_\_ FA Program: \_\_\_\_\_

<u>Initials</u>	<u>Date or N/A</u>	
_____	_____	<b>Project Initiation (Chapters 12, 32, and 34)</b>
_____	_____	Project in STIP
_____	_____	Federal aid program form (Sheet 1 of Prospectus) to:
_____	_____	_____ Metropolitan Planning Organization
_____	_____	_____ Or WSDOT (Region Local Programs)
_____	_____	Program of project approved by appropriate agency
_____	_____	<b>Project Prospectus (Chapters 21, 24, 41, and 43)</b>
_____	_____	Sheet 1
_____	_____	_____ Project information, local agency project number
_____	_____	_____ Description of proposed work and existing facility
_____	_____	_____ Cost estimate of all phases
_____	_____	_____ Proposed obligation date
_____	_____	_____ Environmental determination (CE, EIS, EA)
_____	_____	_____ Request species listing form USFWS, NMFS, DNR and WDFW
_____	_____	_____ Signature block
_____	_____	Sheet 2
_____	_____	_____ Geometric design data
_____	_____	_____ Environmental considerations
_____	_____	_____ Performance of Work
_____	_____	Sheet 3
_____	_____	_____ Right-of-way and relocation
_____	_____	_____ Utility relocations
_____	_____	_____ FAA Involvement
_____	_____	_____ Signature
_____	_____	_____ 3-R safety checklist, typical roadway, vicinity map
_____	_____	Project application checklist
_____	_____	<b>Local Agency Agreement (Chapters 22 and 23)</b>
_____	_____	Billing address
_____	_____	_____ Description of work matches prospectus
_____	_____	_____ Check math on agreement
_____	_____	_____ Federal aid matching percentage
_____	_____	_____ Method of financing
_____	_____	_____ Agreement signed by approving authority
_____	_____	<b>Request Preliminary Engineering Funds (Chapter 14)</b>
_____	_____	Project programmed
_____	_____	Project application package to Region Local Programs Engineer:
_____	_____	_____ Project prospectus with attachments (including Roadway Section if applicable)
_____	_____	_____ Local Agency Agreement
_____	_____	_____ Project application checklist completed
_____	_____	PE funds authorized by Local Programs
_____	_____	<b>Consultant Selection Process (Chapter 31)</b>
_____	_____	Independent estimate for consultant services and recommendation (request) to approving authority
_____	_____	Receive approval to advertise for consultant services
_____	_____	Advertise for consultant services



**Environmental Impact Statement (Chapter 24)**

- 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

**Design Approval (Chapter 43)**

- Submit project prospectus
- Submit design report
- Submit "Work Zone Safety and Mobility" report where applicable (see section 41.8)
- Submit pavement design criteria
- Meet public hearing requirements
- Meet environmental requirements
- Concurrence with BA effect determinations
- ECS approval by FHWA
- For projects over \$25 million in the construction phase and bridge projects over \$20 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

**Right-of-Way Funding and Acquisition**

***Funding (Chapter 14)***

- 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 of Local Programs

**Acquisition (Chapter 25)**

Acquisition procedures approved by the Director of Local Programs

Set up documentation file for each parcel

Set up commitment file

**Appraisal:**

Appraisal reviewer 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 contracts

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 Engineer

LPA Coordinator conducts certification review

WSDOT's certification by Real Estate Services, Assistant Director Local Agency Projects

**Plans, Specifications, and Estimates (Chapters 24,26,27, and 44)**

Review commitment and correspondence file

When applicable, secure the following permits or interagency coordination:

Airport roadway clearance from FAA

Coastal zone management compliance from DOE

For cultural, archeological, or historical sites SHPO contacted

Obtain concurrence letters for environmental determination

Request updated ESA species lists every six months

When waters modified or controller USFWS and State Department of Fisheries and Wildlife consulted

When stream is affected, permit from DOE

For timber supporting land, permit from DNR

When construction might reduce water quality, contact DOE

For quarries of 2 acres (0.81 ha) and 10,000 tons (9 091 metric tons) or more DNR contacted

Waters/wetlands - Army Corps of Engineers contacted

For navigable waterways, permit from Coast Guard obtained

If wetlands are affected, U.S. Fish and Wildlife Service or National Marine Fisheries Services contacted

## Plans, Specifications, and Estimates

- \_\_\_\_\_ Utility agreement obtained
- \_\_\_\_\_ Railway agreement(s) obtained
- \_\_\_\_\_ 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:

- \_\_\_\_\_ Vicinity map
- \_\_\_\_\_ Summary of quantities
- \_\_\_\_\_ Pit, quarry, stockpile, and waste sites
- \_\_\_\_\_ Reclamation plans
- \_\_\_\_\_ Roadway sections
- \_\_\_\_\_ Plans/profiles
- \_\_\_\_\_ Utility
- \_\_\_\_\_ Structure notes
- \_\_\_\_\_ Signing
- \_\_\_\_\_ Illumination
- \_\_\_\_\_ Bridge plans
- \_\_\_\_\_ Traffic control Plans
- \_\_\_\_\_ Detour Plans
- \_\_\_\_\_ Standard plans
- \_\_\_\_\_ Sheets numbered and dated
- \_\_\_\_\_ Each sheet signed and stamped by Professional Engineer
- \_\_\_\_\_ Bridge plans, designed calculations, and soil report to Region Local Programs Engineer (State Ad and Award only)
- \_\_\_\_\_ Form FHWA-1273 and latest amendment included
- \_\_\_\_\_ Log of test borings
- \_\_\_\_\_ Training requirements
- \_\_\_\_\_ EEO requirement clauses
- \_\_\_\_\_ For steel, included Buy America requirement
- \_\_\_\_\_ Traffic control special provisions
- \_\_\_\_\_ Speciality items
- \_\_\_\_\_ General special provisions and amendments arranged in order and indexed
- \_\_\_\_\_ Project proposal
- \_\_\_\_\_ Federal Aid Proposal Notices (2 pages)
- \_\_\_\_\_ Noncollusion Declaration
- \_\_\_\_\_ Contract
- \_\_\_\_\_ Certification for Federal Aid Contracts (Lobbying)
- \_\_\_\_\_ DBE Utilization Certification
- \_\_\_\_\_ Engineer's estimate complete
- \_\_\_\_\_ Documentation for each item in engineer's estimate
- \_\_\_\_\_ Justification for nonparticipating items
- \_\_\_\_\_ Detailed documentation for lump sum items available in project files
- \_\_\_\_\_ Estimate to Region Local Programs Engineer
- \_\_\_\_\_ Training goal set by Region Local Programs
- \_\_\_\_\_ DBE goal set by Region Local Programs
- \_\_\_\_\_ Approval of local agency supplied materials
- \_\_\_\_\_ Sources approved by approving authority
- \_\_\_\_\_ Approval of stockpiling by the Director of Local Programs (when payment is requested for material when stockpiling aggregates, etc., for use on a future federal aid project)

**Plans, Specifications, and Estimates**

\_\_\_\_\_ Distribution of preliminary plans as determined by local agency

\_\_\_\_\_ Field review of PS&E (State Ad and Award only)

\_\_\_\_\_ For tied bids, letter from approving authority

\_\_\_\_\_ 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

**Request Construction Funds (Chapter 14)**

\_\_\_\_\_ Project in STIP

**Request Construction Funds**

\_\_\_\_\_ Send letter with the following attachments to Regional Local Programs Engineer requesting construction funds:

\_\_\_\_\_ Supplement to Local Agency Agreement, if project includes other phases

\_\_\_\_\_ Letter of right-of-way certification

**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 3 weeks

\_\_\_\_\_ Publish notice of bid opening

\_\_\_\_\_ Date of publication for sealed bids

**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

\_\_\_\_\_ 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

\_\_\_\_\_ Excluded Parties Listing System checked and documented - (<http://epls.arnet.gov>)

\_\_\_\_\_ 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

**Award of Contract (Chapter 46)**

\_\_\_\_\_ Establish contract award date \_\_\_\_\_

\_\_\_\_\_ Sent "Award Letter" to successful low bidder

\_\_\_\_\_ Sent "Condition of Award" to successful low bidder if DBE goals are set in the contract

\_\_\_\_\_ Notify all unsuccessful bidders

\_\_\_\_\_ Return bid bonds (except for first three)



**Execution of Contract**

\_\_\_\_\_ "Apprentice/Trainee":

\_\_\_\_\_ Approval request from contractor

\_\_\_\_\_ Approved by agency

**Construction Documentation (Chapter 52)**

\_\_\_\_\_ "Record of Material Testing" receive from WSDOT Materials Laboratory

\_\_\_\_\_ Contractor provides copies of permits obtained from other agencies and/or property owners:

\_\_\_\_\_ Washington State Dept. of Wildlife/Fisheries-Hydraulic Permit

\_\_\_\_\_ Washington State Dept. of Ecology

\_\_\_\_\_ Irrigation Regionals

\_\_\_\_\_ Burlington Northern Railroad

\_\_\_\_\_ Union Pacific Railroad

\_\_\_\_\_ Air Pollution Control Authority

\_\_\_\_\_ 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:

\_\_\_\_\_ Received from contractor

\_\_\_\_\_ Approved by agency

\_\_\_\_\_ Require job site posters placed by contractor

\_\_\_\_\_ FHWA 1495 and 1495A - "Wage Rate Information"

\_\_\_\_\_ FHWA 1022 - "Fraud Notice Poster"

\_\_\_\_\_ OFCCP-1420 - "EEO is the Law"

\_\_\_\_\_ WISHA LI-416-81 - "Safety and Health Protection on the Job"

\_\_\_\_\_ Industrial insurance poster - LI-242-97

\_\_\_\_\_ Your rights as a worker - F700-053-000

\_\_\_\_\_ Family care and maternity - F700-025-000

\_\_\_\_\_ Approved "Statement of Intent to Pay Prevailing Wage"

\_\_\_\_\_ Copy of wage rates from contract documents

\_\_\_\_\_ Daily construction signing records started (Checked twice daily and recorded)

\_\_\_\_\_ Weekly statement of working days started

\_\_\_\_\_ Material acceptance sampler appointed

\_\_\_\_\_ 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 approved " Intent to Pay Prevailing Wages" from contractor, subcontractors, and agents



**Construction Documentation**

- \_\_\_\_\_ Received "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
- \_\_\_\_\_ Monthly wage rate interviews conducted
- \_\_\_\_\_ Checked employee interview wage rate against certified payroll and Labor and Industries approving 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.)
- \_\_\_\_\_ Prepare change order that details basis and need for the change
- \_\_\_\_\_ Extension of time approved \_\_\_\_\_ days
- \_\_\_\_\_ Change order signed by contractor
- \_\_\_\_\_ Change order signed by surety (if required)
- \_\_\_\_\_ Verbal approval obtained from approving authority
- \_\_\_\_\_ Signed by approving authority
- \_\_\_\_\_ Original sent to contractor
- \_\_\_\_\_ Copy of approved change order sent to Region Local Programs Engineer
  
- \_\_\_\_\_ Supplement to Local Agency Agreement approved by the Director of Local Programs
  
- \_\_\_\_\_ Obtained copy of monthly estimate
- \_\_\_\_\_ Verified and documented that DBE is performing a commercially useful function prior to making a monthly payment
- \_\_\_\_\_ Prepared estimate
- \_\_\_\_\_ Checked estimate
- \_\_\_\_\_ Estimate sent to contractor
- \_\_\_\_\_ Estimate received from contractor
- \_\_\_\_\_ 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):
- \_\_\_\_\_ Verify work being done per Condition of Award Letter
- \_\_\_\_\_ Conduct on-site review(s) of each DBE to determine if the DBE is performing a commercially useful function (CUF)
- \_\_\_\_\_ Review change orders that affected DBE work
- \_\_\_\_\_ DBE goal change approved by the Director of Local Programs
  
- \_\_\_\_\_ Overview of EEO (Chapter 27):
- \_\_\_\_\_ Agency designates and EEO officer
- \_\_\_\_\_ Conduct on-site compliance review
- \_\_\_\_\_ Monitor DOT Form 820-010 each month for each trade
- \_\_\_\_\_ Notify contractor of compliance or non-compliance with the contract provisions
- \_\_\_\_\_ Ensure EEO signs are posted

**Project Completion (Chapter 52)**

_____	_____	Prefinal inspection by local agency and contractor completed
_____	_____	Final inspection by local construction agency and contractor completed
_____	_____	Report on Non-American Made Material (Stand. Specs. 1-06.5) 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 Regional 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 "Quarterly Reports 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

**Project Closure (Chapters 23 and 53)**

_____	_____	Completion letter sent to Regional Local Programs Engineer (within 15 days after project is completed)
_____	_____	Final billing sent to Regional 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.
_____	_____	Resolved deficiencies found during the above field inspection
_____	_____	Informed by Regional Local Programs Engineer of WSDOT final billing approval