

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: Metropolitan planning organization Or WSDOT (Region Local Programs) 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 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 from USFWS, NMFS, DNR, and WDFW Signature block |
| | | Sheet 2 Geometric design data Environmental considerations Performance of work |
| | | Sheet 3 Right of way relocation Utility relocations FAA Involvement Signature Local Agency Design Matrix Checklist, Appendix 42.101 |
| | | Prospectus Submittal Checklist, Appendix 21.41 |

| Initials | Date or N/A | Local Agency Agreement (Chapters 22 and 23) |
|----------|-------------|---|
| | | Billing address Description of work matches prospectus Check math on agreement Federal aid matching percentage Method of financing 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: Project prospectus with attachments (including Roadway Section if applicable) Local Agency Agreement 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 |
|----------|-------------|---|
| | | 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 Submit completed drafts of discipline reports to WSDOT Region Local Programs for review by Local Programs Environmental Engineer Submit completed discipline reports to WSDOT Region Local Programs 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 | Plans, Specifications, and Estimates (Chapters 24, 26, 27, 44, and ESC Guidebook) |
|----------|-------------|---|
| | | <p>Review commitment and correspondence file</p> <p>When applicable, secure the following permits or interagency coordination:</p> <ul style="list-style-type: none"> Airport roadway clearance from FAA Coastal zone management compliance from DOE For cultural, archeological, or historic sites SHPO contacted Obtain concurrence letters for environmental determination When waters modified or controlled Washington Department of Fish & Wildlife and DOE contacted regarding permitting When stream is affected WDFW and DOE contacted regarding permitting 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 and DOE contacted For navigable waterways, permit from Coast Guard obtained If ESA-listed species are present in the project action area, U.S. Fish & Wildlife Service and National Marine Fisheries Services consulted Utility agreement obtained Railway agreement(s) obtained <p>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</p> |
| | | <p>PS&E completed:</p> <ul style="list-style-type: none"> 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, design 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 Specialty items General special provisions and amendments arranged in order and indexed Project proposal Noncollusion Declaration Contract DBE Utilization Certification 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) 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 Local Programs DBE goal set by Local Programs Approval of local agency supplied materials Sources approved by approving authority 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) 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: Supplement to Local Agency Agreement, if project includes other phases Letter of right of way certification 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"> Tabulation of bids Engineer's estimate Actual versus estimated costs shown in Local Agency Agreement Award letter DBE Utilization Certification, DOT Form 272-056A (if applicable) DBE Written Confirmation Document, DOT Form 422-031 (if applicable) Estimated date of contract completion or number of working days for the contract 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"> Contractor Region Local Programs Engineer Affected utility companies Police department Fire department Hospital Ambulance service Post Office Others _____ _____ _____ |
| | | Preconstruction conference agenda prepared |
| | | Preconstruction conference held |

| Initials | Date or N/A | Preconstruction Conference (Chapter 51) |
|----------|-------------|---|
| | | Minutes of meeting to: Contractor Subcontractors Region Local Programs Engineer Other attending persons Invited but not represented agencies Project file |
| | | “Training Program”: Received from contractor Approved by agency |
| | | “Apprentice/Trainee”: Approval request from contractor 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: Washington State Department of Wildlife/Fisheries-Hydraulic Permit Washington State Department 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 |
| | | Required job site posters placed by contractor: 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) FHWA-1022 – Notice Federal Aid Project (project engineer to fill in contact information on the form prior to supplying to the contractor) EEOC-P/E-1 – Equal Employment Opportunity IS THE Law WHD Publication 1088 – Employee Rights Under the Fair Labor Standards Act WHD Publication 1420 – Employee Rights and Responsibilities Under the Family and Medical Leave Act WHD 1462 – Employee Polygraph Protection Act WISHA F416-081-909 – Job Safety and Health Law F242-191-909 – Notice to Employees (L&I) F700-074-909 – Your Rights as a Worker in Washington State 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.) 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, 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, Local Programs |
| | | Overview of EEO (Chapter 27): Agency designates an EEO officer Conduct on-site compliance review Monitor DOT Form 820-010 each month for each trade Notify contractor of compliance or noncompliance with the contract provisions 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 |