

Project Title: _____

Project Location: _____

Road or Street Number: _____ FA Program: _____

<u>Initials</u>	<u>Date or N/A</u>	
_____	_____	Project Initiation (Chapters 12, 32, and 34)
_____	_____	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
_____	_____	Project Prospectus (Chapters 21, 24, 41, and 43)
_____	_____	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
_____	_____	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
_____	_____	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
_____	_____	_____ Project application checklist completed
_____	_____	PE funds authorized by Local Programs
_____	_____	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

Consultant Selection Process (Chapter 31)

_____ _____ Develop consultant evaluation selection criteria
_____ _____ Select minimum of three best qualified firms
_____ _____ Submit request for approval of selected firm to approving authority
_____ _____ Conduct preaward audit (if necessary) before negotiations
_____ _____ Approving authority approve 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

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

Environmental Processes (Chapter 24)

Categorical Exclusion

For Categorical exclusion to be approved by FHWA complete the ECS and all necessary discipline reports and approvals (including, but not limited to the ESA and Section 106 processes).

_____ _____ Complete the ECS
_____ _____ Submit completed drafts of discipline reports to WSDOT Region Local Programs for review by Local Programs
_____ _____ Submit completed Discipline reports to WSDOT Region Local Programs
_____ _____ Obtain all necessary approvals
_____ _____ Submit concurrence letters for all applicable environmental considerations, including but not limited to the ESA and Section 106 requirements, final BA, Final Section 106 documentation, and final ECS to Region Local Programs for transmittal to Local Programs and FHWA

Environmental Assessment

_____ _____ 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 requirement for Environmental Impact Statement

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)

Award of Contract

Notify second and third bidders of holding bid bonds until execution

Sent to Region Local Programs Engineer:

- _____ Tabulation of bids
- _____ Engineer's estimate
- _____ Actual versus estimated costs shown in Local Agency Agreement
- _____ Award letter
- _____ DBE utilization certification, form 272-056A (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

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

Preconstruction Conference (Chapter 51)

Notice of preconstruction conference to:

- _____ 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
- 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

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