

Exhibit 12-D: PS&E Checklist

Local Public Agency: _____ Federal Project No.: _____

This checklist is to be completed by the Local Public Agency (LPA); see Exhibit 12-E for instructions and the referenced attachments.

I. Highway System and Functional Classification

A. National Highway System (NHS) – check applicable; refer to FHWA approved NHS maps: On the NHS Off the NHS

B. State Highway System (SHS) – check applicable: On the SHS Off the SHS

C. Functional Classification – check as many as appropriate; refer to Caltrans CRS maps:

On the Federal-aid System

- Principal Arterial – Freeway or Expressway Major Collector
 Principal Arterial – Other Urban Minor Collector
 Minor Arterial

Off the Federal-aid System

- Rural Minor Collector
 Local

II. Project Scope of Work (check applicable)

- PS&E is consistent with the scope of work identified in a scoping document or application
 PS&E is consistent with the scope of work that was revised during a later phase of development and appropriate approvals were obtained

III. Type of Construction (check applicable)

- New or Reconstruction
 Resurfacing, Restoration and Rehabilitation (3R)
 Preventive Maintenance
 Bridges and Other Structures Only

IV. Method of Construction

A. Contracting Method – check applicable

- Competitive Bidding
 Other than Competitive Bidding

If the contracting method is other than competitive bidding, a Public Interest Finding (Exhibit 12-F) must be submitted to the DLAE for approval and filed in the contract records justifying the method.

B. Force Account (Day Labor) – check applicable

- The entire work will be constructed by contract as indicated above
 Some work (incidental to the main purpose of the project) will be constructed by Force Account
 A Public Interest Finding approved by the DLAE is on file in the contract records justifying the work
 The entire project will be constructed by Force Account (Day Labor)

If the entire project will be constructed by Force Account, a Public Interest Finding (Exhibit 12-F) must be submitted to the DLAE for approval and filed in the contract records justifying the method.

V. Environmental Analysis (check box if requirement is met)

- The PS&E is fully responsive to the necessary actions called for by the environmental document, permit conditions, and other agreements, and the Environmental Commitment Record (ECR) equivalent addressing all the environmental mitigations is included.

VI. Value Engineering Analysis (VA) (check applicable)

- VA has been performed on this project and a copy of the analysis has been submitted to the DLAE for forwarding to the Caltrans District Value Analysis Coordinator
- The project is not a bridge project; VA has not been performed as the estimated total project cost is <\$50 million (NHS projects only)
- The project is a bridge project; VA has not been performed as the total project cost is <\$40 million
- [The project is a design-build project where VA is not required, but recommended if estimated cost ≥ \\$25 million](#)

VII. Geometric Design Standards (complete this section only if project changes existing geometrics)

- Current Caltrans Design Standards (on SHS)
- FHWA-adopted AASHTO Standards (Green Book)
- 3R Projects – Caltrans DIB 79-04 (on SHS)
- 3R Projects – Exhibit 11-A: Geometric Design Standards for Local 3R Projects (off SHS)
- LPA approved Design Standards (non-NHS only) Date: _____

VIII. Bridge Design Procedures

- All bridges have been designed in accordance with the current AASHTO LRFD Bridge Design Specifications with California Amendments
- Not Applicable (bridge construction not included in the project)

IX. Standard Plans

- Current Caltrans Standard Plans Year / Version: _____
- Current Standard Plans for Public Works Construction Year / Version: _____
- Current Local Approved Standard Plans
Date signed (on behalf of the LPA) by a person in responsible charge and who is a registered professional engineer in the State of California Date: _____

X. Project Plans and Specifications

- Cover sheet of plans and specifications signed and stamped on behalf of the LPA by the person in responsible charge, and who is a registered engineer licensed to practice in the State of California.
- Temporary Traffic Control (TTC) Plans or reference to Standard Plan and Signs/Striping Plans in Standard Plan included.
(Note: additionally, Traffic Management Plans are required to be on file for all reconstruction, rehabilitation, and other projects [including projects on the SHS not funded by the State], if significant traffic delays are anticipated, and as a result from project activities).
- Erosion Control Plan, if required
- Americans with Disabilities (ADA) Compliance Plan, whenever applicable, is being fully complied with including Federal ADA Standards for Accessible Guidelines for Buildings and Facilities (ADAAG), Title 24 of the California Code of Regulations, and local codes.

XI. Standard Specifications

- Current Caltrans Standard Specifications and Standard Special Provisions Year / Version: _____
- Current Standard Specifications for Public Works Construction (Green Book) Year / Version: _____
- Current LPA approved Standard Specifications Year / Version: _____

XII. Federal Requirements

A. Required Federal Contract Provisions (refer to Exhibit 12-G: Required Federal-aid Contract Language).

* Note: embedding unmodified Exhibit 12-G with appropriate information filled into the project's contract is strongly recommended. Otherwise indicate page numbers of each federal requirement in the space provided.

- 1. Disadvantaged Business Enterprise** or equivalent provisions are included Page No: _____
- 2. Bid Opening** or equivalent provisions are included Page No: _____
- 3. Bid Rigging** or equivalent provisions are included Page No: _____
- 4. Contract Award** or equivalent provisions are included Page No: _____
- 5. Contractor License** or equivalent provisions are included Page No: _____
- 6. Changed Conditions** or equivalent provisions are included Page No: _____
- 7. Beginning of Work, Time of Completion and Liquidated Damages** or equivalent provisions are included Page No: _____
- 8. Buy America** or equivalent provisions are included Page No: _____
 - A Buy America waiver was approved by FHWA on: Date: _____
- 9. Quality Assurance** or equivalent provisions are included Page No: _____
- 10. Prompt Payment from the Agency to the Contractors** or equivalent provisions are included Page No: _____
- 11. FHWA Form-1273:** The LPA acknowledges that an unmodified [current](#) copy of FHWA Form-1273: Required Contract Provisions Federal-aid Contracts must be physically incorporated into the executed contract. Page No: _____
 - All sections of FHWA Form-1273 apply to this project Page No: _____
 - Section IV. Davis-Bacon and related Act Provisions does not apply because the project is not on the Federal-aid System (roads which are classified as local roads or rural minor collectors), nor treated as a project on the Federal-aid System and are exempted as specified in the special provision Page No: _____
 - Section VI. Subletting or Assigning the Contract does not apply since this project is off the NHS, as specified in the special provision Page No: _____
- 12. Female and Minority Goals** or equivalent provisions are included Page No: _____
- 13. Title VI Assurances** are included Page No: _____
- 14. Federal Trainee Program**
 - Federal Trainee special provisions do not apply; check applicable sub-box below
 - The project is less than 100 working days
 - The project has 100 working days or more; however, the engineer's estimate is less than \$400,000 in each of the work categories specified in LAPM Chapter 12.12: Federal Trainee Program
 - Federal Trainee special provisions do apply, and Federal Trainee Program or equivalent special provisions are included Page No: _____
 - The number of trainees or apprentices is: _____
- 15. Certain Telecommunications and Video Surveillance Equipment and Services** are included Page No: _____
 - No telecommunications and video surveillance equipment and services are purchased from prohibited vendors

B. DBE Goal (refer to Exhibit 12-E: PS&E Checklist Instructions)

- LPA non-zero DBE Goal percentage for this contract is: _____ Page No: _____
- The DBE Goal for this contract is zero percent because there are no subcontracting opportunities for DBE participation. Documentation verifying this determination is attached to this PS&E Checklist and is also on file with the LPA.
- The contract has no DBE Goal because:
 - This is an Emergency Relief project
 - This contract is "non-profit"
 - This contract uses Force Account
 - Other (specify): _____

Documentation verifying the above "no DBE Goal" determination is attached to the PS&E Checklist and is also on file with the LPA.

C. Certifications / Disclosures (refer to Exhibit 12-H: Sample Bid)

- Equal Employment Opportunity Certification or equivalent Page No: _____
- Non-collusion Affidavit or equivalent Page No: _____
- Debarment and Suspension Certification or equivalent Page No: _____
- Non-lobbying Certification for Federal-aid contracts Page No: _____
- Disclosure of Lobbying Activities Page No: _____

D. Other Required Forms

The following forms are applicable with the above required federal requirements (see Exhibit 12-H: Sample Bid)

- Exhibit 12-B: Bidders List of Subcontractors (DBE and Non-DBE) – include data for all subcontractors listed by the prime contractor Page No: _____
- Exhibit 15-G: Local Agency Bidder DBE Commitment (Construction Contracts) or equivalent Page No: _____
- Exhibit 15-H: DBE Information – Good Faith Efforts (if DBE Goal not met) Page No: _____

E. Federal Wage Rates

- Federal wage rates are physically incorporated into this contract advertising package Page No: _____
[LPAs must verify and incorporate the current wage determination published by US DOL into the contract, including updated wage rates by addendum.](#)
- Federal wage rates are not physically incorporated in the contract advertising package but are referenced to a website address on page number _____ of the Special Provisions where the applicable federal wage rates can be found. The final contract documents signed by the LPA and the contractor must physically include the current federal wage rates.

F. Relations with Railroads

- The required provisions are included Page No: _____
- The project does not involve the use of railroad properties or adjustments to railroad facilities

XIII. Restricted Contract Provisions (check applicable)**A. Indian Preferences**

- Not included
- Included. The project is on or near the _____ Indian Reservation

B. Bonding and Prequalification (prequalification requires Caltrans pre-approval pursuant to 23 CFR 635.110)

- Not included
- Bonding included
- Prequalification included
- Bonding or prequalification, if required, will not be used to restrict competition, prevent submission of a bid by, or prohibit consideration of a bid submitted by any responsible contractor, whether a resident or non-resident of the State of California.

C. Price Adjustment Clauses

- Price adjustment clauses are not included
- Price adjustment clauses are included. The federal conditions restricting the use of these clauses have been met and are documented in the project files.

D. Warranty Clauses (complete this section if project is on the NHS)

- Warranty clauses are not included
- Warranty clauses are included. Documentation of the required conditions on the use of these clauses is in the project files.

E. Project Labor Agreement (check applicable)

- Project Labor Agreement is not needed, and therefore not included
- Project Labor Agreement is included along with written justification

Approval Date: _____

XIV. Materials and Equipment**A. Publicly Owned Equipment** (for use by Contractor)

- Not included
- Included. A Public Interest Finding justifying this use is in the project files, and the project specifications meet the requirements for federal participation listed in LAPM Chapter 12.

B. Equipment Purchases for Local Ownership

- Not included
- Included. The amount charged to Construction Engineering will be limited to amortized equipment costs (over its useful life) attributable to the time equipment is used on the project.

C. Convict Produced Materials

- Not included
- Included. The conditions placed on the use of these materials by the contractor meet federal requirements and are included in the contract specifications.

D. LPA Furnished Materials (check applicable)

- LPA furnished materials are not included
- LPA furnished materials have been acquired on the basis of competitive bidding
- A Public Interest Finding is on file in the contract records justifying another method of acquisition

XV. Preliminary Estimate (check applicable)

- LAPM 3-A or equivalent has been completed and is attached
- The estimate is broken down into items sufficient in detail to provide an initial prediction of the financial obligation to be incurred by the LPA, State and FHWA and to permit an effective review and comparison of the bids received.
- Non-participating items of work have been identified and segregated from the estimated cost of work eligible for federal-aid. (Refer to Item XV of Exhibit 12-E for a list of frequent Federal Non-Participating Items).
- The estimate has been segregated by fund types for use in preparing the "Request for Authorization for Construction" (Detail Record) and the Finance Letter.

XVI. Project Management Plans and Financial Plans

The requirements of this section only apply if federal-aid is used in any construction activity

- The total cost of this project is expected to be less than \$100 million; no financial or project management plans are required. Note: total cost includes all project phases.

Mini-Major Projects with Total Cost of \$100 Million to \$500 Million

- The project is expected to be between \$100 million and \$500 million; a Project Management Plan is not required. An Initial Financial Plan (IFP) is required and has been prepared and submitted to the DLAE.

Approval Date: _____

- A Financial Plan Annual Update (FPAU) has been prepared and submitted to the DLAE

Approval Date: _____

Major Projects with Total Cost of \$500 Million or More

- The project is expected to be \$500 million or more; an Initial Financial Plan (IFP) is required and has been prepared and submitted to the DLAE and FHWA.

Approval Date: _____

- A Project Management Plan has been prepared and submitted to the DLAE and FHWA

Approval Date: _____

- A Financial Plan Annual Update (FPAU) has been prepared and submitted to the DLAE and FHWA

Approval Date: _____

XVII. Local Agency Signature

The Federal Contract Provisions Checklist has been prepared in accordance with LAPM Chapter 12: Plans, Specifications & Estimate.

Signature

Date

Title

XVIII. Caltrans Acceptance

It is the responsibility of Local Agencies to make sure that the PS&E package is complete, adequate for its purpose, accurate, free of defects and inaccuracies, and unambiguous. Caltrans has not conducted a comprehensive review of the PS&E package and does not assume any responsibility or liability of the accuracy, completeness, or adequacy of the PS&E package as a result of the Caltrans review of the "PS&E CHECKLIST."

- I have reviewed this "PS&E Checklist." The PS&E checklist appears to have been prepared in accordance with Chapter 12: Plans, Specifications & Estimate of the Local Assistance Procedures Manual. I have not conducted a comprehensive review of the PS&E package and I cannot, therefore, attest that there are no errors, ambiguities, or omissions in the PS&E package. Caltrans assumes no liability for any defect in the PS&E package by virtue of its review of the PS&E checklist.

- I have reviewed this "PS&E Checklist." I have verified that the required Federal Contract Provisions are included in the specifications of the PS&E package, but I have not reviewed the PS&E package for other purposes. The PS&E checklist appears to have been prepared in accordance with Chapter 12: Plans, Specifications & Estimate of the Local Assistance Procedures Manual. I have not conducted a comprehensive review of the PS&E package and I cannot, therefore, attest that there are no errors, ambiguities, or omissions in the PS&E package. Caltrans assumes no liability for any defect in the PS&E package by virtue of its review of the PS&E checklist.

Signature

Date

Title

Distribution: 1) original with PS&E Certification – DLAE
2) original "Accepted" copy with PS&E Certification – DLAE file
3) one "Accepted" copy to be returned to the Local Agency