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## APPENDIX B FORMS

- B-2. Signature and Seal Sheets
- B-4. PS&E CADD Submittal Form
- B-5. AADD CADD Submittal Form
- B-6. Drafting Plan Review Checklist
- B-7. PE's Certification of Utility Facilities
- B-8. Budget Verification of Highway Maintenance Funds
- B-9. Budget Verification of Minor B Funds
- B-10. Budget Verification of Special Funded Projects
- B-11. Information Handout Cover Template
- B-13. FHWA Oversight Guidelines
- B-15. FHWA Record of Prior Approval for Contract Addendum
- B-16. Public Interest Finding Form
- B-17. Authority to Advertise

(SIGNATURE AND SEAL SHEETS){ XE“SIGNATURE AND SEAL SHEET:EXAMPLES”}

## CONTRACT NO. 00-000004

DESIGN OVERSIGHT APPROVAL	REGISTRATION NO.	DATE
PRINTED NAME      SIGNATURE		

Complete for projects prepared by consultants or local agencies only.

Approved as to impact on State facilities and conformance with applicable State standards and practices as described in the A & E Consultant Services Manual.

The special provisions contained herein have been prepared by or under the direction of the following Registered Persons.

### STRUCTURES

\_\_\_\_\_  
REGISTERED CIVIL ENGINEER



### ROADWAY

\_\_\_\_\_  
REGISTERED CIVIL ENGINEER



### TRAFFIC

\_\_\_\_\_  
REGISTERED TRAFFIC ENGINEER OR  
REGISTERED CIVIL ENGINEER



### LANDSCAPE

\_\_\_\_\_  
LICENSED LANDSCAPE ARCHITECT



### ELECTRICAL (ROADWAY)

\_\_\_\_\_  
REGISTERED ELECTRICAL ENGINEER OR  
REGISTERED CIVIL ENGINEER



### ELECTRICAL (STRUCTURES)

\_\_\_\_\_  
REGISTERED ELECTRICAL ENGINEER OR  
REGISTERED CIVIL ENGINEER



### MECHANICAL

\_\_\_\_\_  
REGISTERED MECHANICAL ENGINEER OR  
REGISTERED CIVIL ENGINEER



(Enter Names as they appear in Lotus Notes Directory and please **TYPE ONLY** in the data fields. )

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION

**PS&E CADD SUBMITTAL**

(Rev 08/16/10)

Date \_\_\_\_\_

- Original    Revise/Replace    Additional    Addendum

**PROJECT IDENTIFICATION**

District-EA	Project ID	Phase No.	County/Route	<b>Units of Measure</b>
				<input type="checkbox"/> English <input type="checkbox"/> Metric
Post Mile /Kilometer Post for Begin and End Construction Limits				
Project Engineer (Signing Title Sheet)		Telephone No.	Project Manager	Telephone No.

**DIRECTORY IDENTIFICATION**

Node ID/Address/EA folder/subfolder(s)

\_\_\_\_\_

Directory Size (Blocks/Bytes)	Dgn files	Plot files	Total Files

CADD Contact Person	Telephone No.	E-Mail address

Special Instructions:

\_\_\_\_\_

**PS&E DIRECTORY CHECKLIST**

- |   |  |
|---|--|
| <input type="checkbox"/> Place proper signature(s) and printed name(s).   | <input type="checkbox"/> All files are in PS&E server location with correct file protection for DES-OE access.                                 |
| <input type="checkbox"/> Design oversight signature - Consultant jobs only.   | <input type="checkbox"/> Electronic Date/Time/File Name stamp (unaltered) prints within cut lines.   |
| <input type="checkbox"/> Place registration seal information.   | <input type="checkbox"/> Plot view set at 0 degrees for all dgn files.   |
| <input type="checkbox"/> Caltrans electronic file naming convention and correct file extension, ('dgn' or 'add' for addendum submittals). | <input type="checkbox"/> Plot files generated from fenced cut lines.   |
| <input type="checkbox"/> Display all 83 levels (V7) or all used levels (V8).  | <input type="checkbox"/> Consultant project; spot check by comparing final plot, batch plotted with '?' file, with hardcopies from consultant. |

<b>DES-OE Project Plans Use Only:</b>	
Processed by:	Submittal Approval: (Revised/Replace, Additional, Addenda).
Date received:	
Date completed:	_____ (Initials)

(Enter Names as they appear in Lotus Notes Directory and please TYPE ONLY in the data fields. )

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION

**PS&E CADD SUBMITTAL - AADD**

(Rev 08/16/10)

Date \_\_\_\_\_

- Original
- Revise/Replace
- Additional
- Addendum

**PROJECT IDENTIFICATION**

District-EA	Project ID	Phase No.	County/Route	<u>Units of Measure</u>
				<input type="checkbox"/> English <input type="checkbox"/> Metric
Post Mile /Kilometer Post for Begin and End Construction Limits				
Project Engineer (Signing Title Sheet)	Telephone No.	Project Manager	Telephone No.	

**DIRECTORY IDENTIFICATION**

Node ID/Address/EA folder/subfolder(s)		
Directory Size (Blocks/Bytes)	Total Files	Total PDF Sheets
CADD Contact Person	Telephone No.	E-Mail address

**Special Instructions:**

**DES-OF Project Plans Use Only:**

Processed by:	Date received:	Date completed:

### DRAFTING PLAN REVIEW CHECKLIST

(THIS FORM IS TO BE COMPLETED BY THE DESIGNATED DRAFTING REVIEWER - PLEASE **TYPE ONLY** IN DATA FIELDS)

English  Metric

LOCATION: \_\_\_\_\_ DISTRICT/SOURCE EA: \_\_\_\_\_  
District/County(s)/Rte(s)/PM or KM PROJECT ID: \_\_\_\_\_

REVIEWER: \_\_\_\_\_ DOE: \_\_\_\_\_ Phone: \_\_\_\_\_

CONSULTANT JOB:  Yes  No

TOTAL SHEETS:

**DRAFTING REVIEW CHECK RECOMMENDS:**  
 Send Plans to DES-OE with PS&E package.  
 Return Plans to Project Engineer for additional drafting.

**Special Instructions / Comments:**

- TITLE SHEET**
- Seal / Signatures.  
Design oversight approval for consultant projects.
  - Left margin (printed name, signature, registration no., date of signature and oversight approval note).
  - North Arrow, No Scale.
  - Bidders note (lower left).
  - Location map indicating the appropriate county outlined and crosshatched.
  - Description in accordance with the Plans Preparation Manual.
  - Do not list the Index of Plans.
  - All Text conforms with PPM standards.
  - All features in the Project Title must be identified on the Strip Map.
  - Project Contract No. in lower right border.
  - District/County/Route and disclaimer.
  - Show Destinations with arrow on Strip Map.
  - Show City Limits/County Limits/Post Mile equations at county lines, on Strip Map.
  - Show City names of Incorporated areas (caps), Unincorporated areas (upper/lower case).
  - Bridges shown by symbol. If structure plans are included; show bridge name, type (O.C. or U.C.) and number.
  - Label waterways/railroads and all relevant street names.
  - Identify all routes on strip map (do not use route shields).
  - Show Construction Limits or Location of construction including stationing and PM's or KP's.

- PLAN SHEETS**
- Seal & Signature of the Project Engineer.
  - North arrow (use appropriate size).
  - Scale (if applicable).
  - Proper sheet name in lower right corner including the correct sheet identification code (as per PPM) and plan sheet number.
  - Use standard line symbology (dropout where applicable).
  - All text conforms with PPM standards.
  - Drainage/Profile grids. Use grids in ctoellib.
  - Show existing features (appropriately as per Caltrans standards).

- IMPORTANT**
- Plot verification, batch plot using 't' files not dgn files.
  - Consultant project; spot check by comparing final plot, batch plotted with 't' file, with hardcopies from consultant.
  - Electronic Date/Time/File Name stamp (unaltered) prints within cut lines.
- Initials

## **Project Engineer's Certification of Utility Facilities**

**The Certification Form has been updated by Division of Design. Please see Appendix LL on the Design website:**

[http://www.dot.ca.gov/hq/oppd/pdpm/apdx\\_word/apdx-ll.doc](http://www.dot.ca.gov/hq/oppd/pdpm/apdx_word/apdx-ll.doc)

**BUDGET VERIFICATION**

**Highway Maintenance Funds  
(Program 20.80)**

AADD       Standard

DISTRICT:   
 RESPONSIBLE DISTRICT: \_\_\_\_\_  
 PROJECT EA: \_\_\_\_\_ PHASE #: 4  
 PROJECT ID: \_\_\_\_\_

WORK TYPE:

HM Funding:	Program Description: Base:	Program Code:	Mark:
HM1 - Base	Flexible (010); Rigid (020)	20.80.010.	<input type="checkbox"/>
HM1 - PM	Preventive: Flex. (010); Rigid (020)	20.80.010.	<input type="checkbox"/>
HM1 - 122	Pavement Preservation	20.80.010. 122	<input type="checkbox"/>
HM1 - 124	Pavement Preservation Fed Funds	20.80.010. 124	<input type="checkbox"/>
HM2 - Landscape	Roadside (030, 070)	20.80.020.	<input type="checkbox"/>
HM2 - Drainage	Drainage Preservation (151,020)	20.80.020.	<input type="checkbox"/>
HM3 - 080	Bridges	20.80.030. 080	<input type="checkbox"/>
HM3 -115	Bridge Preservation	20.80.030. 115	<input type="checkbox"/>
HM4	Electrical/Traffic Guidance	20.80.040.	<input checked="" type="checkbox"/>

LOCATIONS:

Cty: <span style="background-color: #90EE90; display: inline-block; width: 30px; height: 15px;"></span> Rte: <span style="background-color: #90EE90; display: inline-block; width: 30px; height: 15px;"></span> Beg/End PM: <span style="background-color: #90EE90; display: inline-block; width: 60px; height: 15px;"></span> # of LM/Bridges/Culvers: <span style="background-color: #90EE90; display: inline-block; width: 40px; height: 15px;"></span>		
Cty: <span style="background-color: #90EE90; display: inline-block; width: 30px; height: 15px;"></span> Rte: <span style="background-color: #90EE90; display: inline-block; width: 30px; height: 15px;"></span> Beg/End PM: <span style="background-color: #90EE90; display: inline-block; width: 60px; height: 15px;"></span> # of LM/Bridges/Culvers: <span style="background-color: #90EE90; display: inline-block; width: 40px; height: 15px;"></span>		
Cty: <span style="background-color: #90EE90; display: inline-block; width: 30px; height: 15px;"></span> Rte: <span style="background-color: #90EE90; display: inline-block; width: 30px; height: 15px;"></span> Beg/End PM: <span style="background-color: #90EE90; display: inline-block; width: 60px; height: 15px;"></span> # of LM/Bridges/Culvers: <span style="background-color: #90EE90; display: inline-block; width: 40px; height: 15px;"></span>		
Cty: <span style="background-color: #90EE90; display: inline-block; width: 30px; height: 15px;"></span> Rte: <span style="background-color: #90EE90; display: inline-block; width: 30px; height: 15px;"></span> Beg/End PM: <span style="background-color: #90EE90; display: inline-block; width: 60px; height: 15px;"></span> # of LM/Bridges/Culvers: <span style="background-color: #90EE90; display: inline-block; width: 40px; height: 15px;"></span>	Total Lane Miles/ Culverts/Bridges	Note for # of; HM1 use Lane Miles HM2 use Culverts HM3 use Bridges
Cty: <span style="background-color: #90EE90; display: inline-block; width: 30px; height: 15px;"></span> Rte: <span style="background-color: #90EE90; display: inline-block; width: 30px; height: 15px;"></span> Beg/End PM: <span style="background-color: #90EE90; display: inline-block; width: 60px; height: 15px;"></span> # of LM/Bridges/Culvers: <span style="background-color: #90EE90; display: inline-block; width: 40px; height: 15px;"></span>		

PROJECT DESCRIPTION:

ESTIMATE OF COST \$  FISCAL YEAR(S):   FULLY FUNDED  \$JOB

CONTRACT LANGUAGE:

- Fully Funded: \$ \_\_\_\_\_ (100% State)
- Fully Funded 124 Projects: \$ \_\_\_\_\_ (Federal funds)
- Dollar Job: \$1.00 in FY \_\_\_\_\_ and \$ \_\_\_\_\_ (State) \$ \_\_\_\_\_ (Federal) in FY \_\_\_\_\_

\_\_\_\_\_  
 SIGNATURE (District Maintenance Engineer) DATE

District Maintenance Funds have been allocated for this project:

\_\_\_\_\_  
 SIGNATURE (District Resource Manager) DATE

\_\_\_\_\_  
 SIGNATURE (Maintenance Budget Manager) DATE

HQ HM Coordinator concurs with fund allocation:

\_\_\_\_\_  
 SIGNATURE (HQ HM Coordinator: HM1,4 - Joseph Watkins, HM2,3 - Shannon Clarke) DATE

**BUDGET VERIFICATION  
OF  
MINOR B FUNDS**

DISTRICT: \_\_\_\_

EXPENDITURE AUTHORIZATION: \_\_\_\_\_

PROJECT ID: \_\_\_\_\_ PHASE NO.: \_\_\_\_\_

COUNTY: \_\_\_\_\_

ROUTE: \_\_\_\_\_

KILOMETER POST: \_\_\_\_\_

ESTIMATE OF COST: \_\_\_\_\_

FUNDS ALLOCATED: \_\_\_\_\_

FISCAL YEAR(S): \_\_\_\_\_

REMARKS:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Project Manager

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATE

**District MINOR B Funds have been allocated for this project:**  
Program Manager

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATE

**Budget Verification of Special Funded Projects  
(NOT VOTED BY CTC)**

DISTRICT:

EXPENDITURE AUTHORIZATION:

COUNTY: ROUTE:

KILOMETER POST:

ESTIMATE OF COST: \$

FISCAL YEAR(S):

SOURCE OF FUNDS:

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SIGNATURE DISTRICT RESOURCE MANAGER

DATE

**Note: Use this example for "INFORMATION HANDOUT" cover sheet. Edit as appropriate.  
For AADD projects, submit IH and cover sheet to DES-OE in portable Document Format (.pdf)  
<http://oe/opse.html>**

# INFORMATION HANDOUT

For Contract No. «Dist»-«Contract\_No»

At «Road»

Identified by

Project ID «ProjectID»

## PERMITS

California Department of Fish and Wildlife

U.S. Fish and Wildlife Service

United States Army Corps of Engineers

Non-Reporting Nationwide 404

United States Coast Guard

State of California Land Commission

## WATER QUALITY

California Regional Water Quality Control Board

North Coast Region, San Francisco Bay Section, Los Angeles Region, Lahontan Region, Santa  
Ana Region, Central Valley Region, Central Coast, or Colorado River Basin

Board Order No. \_\_\_\_\_

NPDES Permit No. CAS \_\_\_\_\_

## AGREEMENTS

California Department of Fish and Wildlife

Notification No. \_\_\_\_\_

National Marine Fisheries Services

Karuk Tribe MOU

«Dist»-«Contract\_No»  
«Road»  
Project ID «ProjectID»  
Page 1

## **ENCROACHMENT PERMITS**

Riverside County Flood Control and Water Conservation District

Permit No. \_\_\_\_\_

County or City Department of Public Works

County Planning and Coastal Development Departments

## **RAILROAD RELATIONS**

Railroad Relations and Insurance Requirements

## **MATERIALS INFORMATION**

Summary of Foundation Recommendation Reports

Optional Disposal/Material Sites

Water Source Information

Battery Backup System

Project Report

### **FHWA Oversight Guidelines**

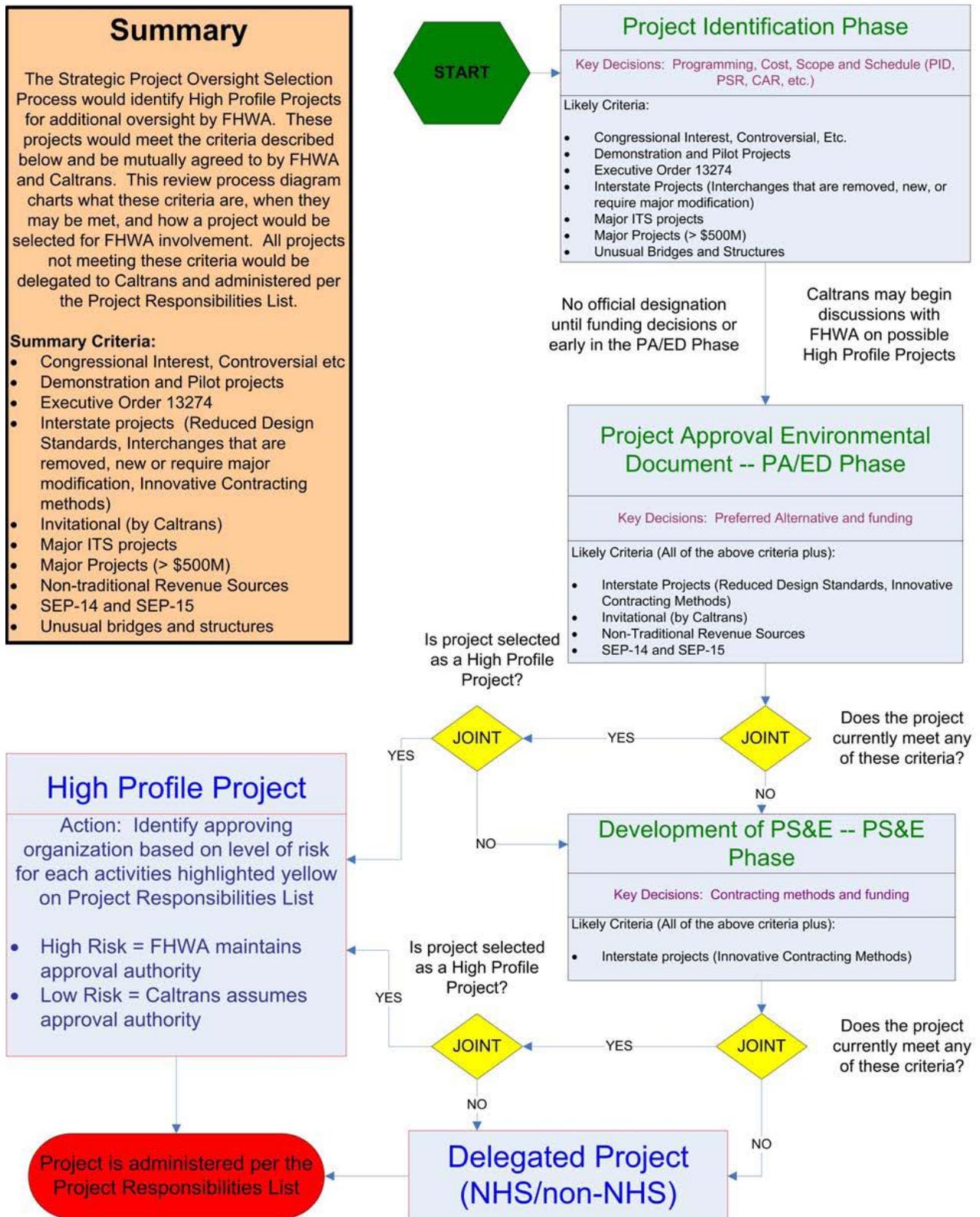
Under the new Stewardship and Oversight Agreement executed on September 4, 2007, FHWA's oversight responsibilities were changed from what they were in prior years. To reflect this change, the terms "Full Oversight" and "Exempt" related to federal oversight were dropped and replaced with the terms "High Profile" and "Delegated" respectively. For projects that are identified as "High Profile", a High Profile Project Agreement will be required to be executed between FHWA and the Department. The agreement will identify specific items that FHWA will have approval authority over and also items whereby the approval authority will be delegated to the Department. It is necessary to identify High Profile Projects (HPP) and FHWA Approval/Involvement early in the Project Identification (Planning)/Initiation (PID) Phase of the project. However, the HPP identification process is to be applied during and in between each phase of the project as illustrated in the following flowchart.

The HPP determination will be made at the Caltrans District level in conjunction with FHWA. Therefore, Caltrans' current method of project identification and/or initiation will be the basis for determining HPPs with a few additional steps phased into the process. The criteria for HPPs include:

- Controversial and Congressional Interest projects
- Pilot projects
- Executive Order 13274 projects – Environmental Stewardship and Streamlining
- Interstate Projects containing:
  - o Design exceptions relating to the 13 controlling criteria
  - o New or modified access points
  - o Innovative contracting method projects with Federal funds
- Invitational projects
- Major Intelligent Transportation Systems (ITS) projects
- Major Projects (>\$500 M)
- Non-Traditional Revenue Sources projects
- Special Experimental Projects – Alternative Contracting (SEP-14)
- Special Experimental Projects – Public Private Partnerships (SEP-15)
- Unusual Bridge and Structure projects

Projects not meeting the above criteria and/or not selected as HPPs will be considered to be Delegated Projects and Caltrans will have approval authority for all aspects of the federal-aid project, except those which may not be delegated by federal law (requiring FHWA approval). For the Delegated Projects, FHWA will verify compliance with federal regulations via annual program and process reviews.

More detailed information on the HPP identification process is found in the "California Stewardship & Oversight Agreement Approach to Identifying "High Profile" Projects" Guidelines (see Appendix D).



U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL HIGHWAY ADMINISTRATION  
CALIFORNIA DIVISION

**RECORD OF PRIOR APPROVAL FOR  
CONTRACT ADDENDUM**  
**HIGH PROFILE PROJECT PER  
STEWARDSHIP AGREEMENT**

PROJECT NO.	ADDENDUM NO.	CONTRACT NO.	DIST-CO-RTE-PM
REQUESTED BY		<input type="checkbox"/> CALTRANS HQ <input type="checkbox"/> RE / DISTRICT	DATE:
PROPOSED CHANGE:			
REASON FOR CHANGE:			

RECOMMENDATION FOR APPROVAL

APPROVAL

\_\_\_\_\_  
Operations Engineer

\_\_\_\_\_  
Team Leader  
Program Delivery Team

DATE: \_\_\_\_\_

DATE: \_\_\_\_\_

Rev. 10/22/12 (Copy to CT)

U.S. DEPARTMENT OF TRANSPORTATION	FEDERAL HIGHWAY ADMINISTRATION	CALIFORNIA DEPARTMENT OF TRANSPORTATION
<b>REQUEST FOR APPROVAL OF COST EFFECTIVENESS/PUBLIC INTEREST FINDING</b>		
<b>COST EFFECTIVENESS DETERMINATION REQUIRED</b>		<b>PUBLIC INTEREST DETERMINATION REQUIRED</b>
<input type="checkbox"/> Experimental Contracting methods (23 CFR 635.204) <input type="checkbox"/> Informal Bid (Less than three week advertisement) (23 CFR 635.204) <input type="checkbox"/> Use of force account (day labor) (23 CFR 635.204) <input type="checkbox"/> Use of publicly owned equipment (23 CFR 635.106) <input type="checkbox"/> Other: _____		<input type="checkbox"/> Use of State-furnished materials (23 CFR 635.407) <input type="checkbox"/> Mandatory use of borrow/disposal sites (23 CFR 635.407) <input type="checkbox"/> Use of patented and proprietary materials (23 CFR 635.411) <input type="checkbox"/> Waiver to Buy America Requirements (23 CFR 635.411) <input type="checkbox"/> Other: _____
FEDERAL-AID PROJECT NO	CLASS OF FEDERAL FUNDS <input type="checkbox"/> IM <input type="checkbox"/> NH <input type="checkbox"/> STP <input type="checkbox"/> OTHER: _____	
EA	STEWARDSHIP: <input type="checkbox"/> DELEGATED <input type="checkbox"/> HIGH PROFILE	
	DIST-CO-RTE-PM	FEDERAL FUNDS
GENERAL LOCATION		GENERAL DESCRIPTION OF WORK:
REASONS THAT THE REQUESTED APPROVAL IS CONSIDERED TO BE COST EFFECTIVE OR IN THE PUBLIC'S BEST INTEREST (STATE):		
<div style="border: 1px solid black; padding: 10px; margin: 10px auto; width: 80%;"> <p style="color: red; font-size: 1.2em; font-weight: bold; margin: 0;">SAMPLE ONLY</p> <p style="color: red; font-size: 0.9em; margin: 5px 0 0 20px;">FHWA requires that all PIFs be warehoused in one location for reporting purposes. In order to keep track of all PIFs statewide please access the Headquarters PIF database using FileMaker Pro and fill out a blank PIF form there. The PIF database is available through your District OE or through your Federal Resources Area Engineer.</p> </div>		
APPROVED BY CALTRANS' DISTRICT REPRESENTATIVE	DISTRICT REPRESENTATIVE NAME AND TITLE:	DATE:
APPROVED BY CT FEDERAL RESOURCES REP. (Delegated Projects)	FEDERAL RESOURCES REP. NAME AND TITLE:	DATE:
REMARKS (FHWA):		
APPROVED BY FHWA'S REPRESENTATIVE (High Profile Projects)	REPRESENTATIVE NAME AND TITLE:	DATE:

NOTE: FHWA'S SIGNATURE NOT REQUIRED FOR FEDERALLY DELEGATED PROJECTS, EXCEPT FOR "BUY AMERICA".

FNM-406 (REV. 2008)

**AUTHORITY TO ADVERTISE  
(CONSTRUCTION CONTRACT)**

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION  
**CONSTRUCTION CONTRACT AWARD SERVICES**  
AGENCY BILLING CODE: **060084**

CONTRACT NO.		PROJECT TITLE	
FEDERAL AID NO.	FED AUTH. (E76) DATE	CONTRACTOR'S LICENSE TYPE	CONTRACT DURATION
ESTIMATED COST			working days
ADVERTISEMENT DATE		PRE-BID CONFERENCE <input type="checkbox"/> YES <input type="checkbox"/> NO      Is there a Pre-Bid Conference? <input type="checkbox"/> MANDATORY <input type="checkbox"/> OPTIONAL	
BID SUBMITTAL (LAST DAY AND TIME AGENCY WILL ACCEPT BIDS) DATE _____ TIME _____		DATE	TIME
SERVICE LOCATION (COUNTY)		CONFERENCE LOCATION	
DEPARTMENT CONTACT PERSON (NAME ONLY)			
Bidder's exchange			
CONTACT PERSON'S TELEPHONE NUMBER			
(916) 227-6259			
CONTACT PERSON'S FAX NUMBER			
(916) 227-6248			
DOCUMENT PREPARED BY		PREPARER'S TELEPHONE NUMBER	
PROJECT MANAGER'S SIGNATURE		DATE SIGNED	

CONTRACT DESCRIPTION

CONTRACT FUNDING  
This work is to be financed from the following funds:

STATE AND FEDERAL FUNDING:				ENGINEER'S ESTIMATE:		
BUDGET FY	PROGRAM CODE	FUNDING	CTC VOTE DATE	BUDGET FUND CODE	ALLOCATED AMOUNT	SUM

CONTRIBUTOR FUNDING:			
COOPERATIVE AGREEMENT / LOCAL AGENCY / OTHER	EXECUTION DATE	AGREEMENT NUMBER	AGREEMENT AMOUNT

**TOTAL FUNDING:** \_\_\_\_\_

COMMENTS:

THIS CONSTRUCTION CONTRACT HAS BEEN DEVELOPED IN ACCORDANCE WITH DEPARTMENTAL POLICY AND THE STATE CONTRACT ACT. A COPY OF THE CONTRACT IS ON FILE IN THE DEPARTMENT. EXECUTIVE AUTHORIZATION:

BY: \_\_\_\_\_ TITLE: \_\_\_\_\_ DATE: \_\_\_\_\_