

SECTION 1 REQUIREMENT FOR READY TO LIST

1.1 PURPOSE

This section describes Ready to List (RTL) requirements and provides general references, roles, and responsibilities. It also provides a brief description of each requirement, a reference to the applicable law, regulation, policy, procedure, and instructions for completing the Ready to List (RTL) Certification Form.

1.2 RESPONSIBILITIES

1.2.1 PROJECT ENGINEER

The PE is the person in responsible charge of the Plans, Specifications, and Estimate who:

- Signs and seals the Title Sheet of the Plans
- Certifies that the project meets all the criteria for RTL

1.2.2 STRUCTURE PROJECT ENGINEER

The Structure Project Engineer is the registered engineer in responsible charge of the structure plans.

1.2.3 DESIGN ENGINEER OR MANAGER

The Design Engineer or Manager is the supervisor of the PE. The Design Engineer or Manager's approval indicates the PE has the knowledge and experience to assure that the RTL requirements are complete.

1.2.4 PROJECT MANAGER

The Project Manager reviews, validates and signs the PS&E Submittal Cover Memo

1.2.5 DEPUTY DISTRICT DIRECTOR

- When the Design Engineer seals the RTL Certificate, the Deputy's approval indicates the Design Engineer or Manager has the knowledge and experience to assure that the RTL requirements are complete.
- Signs Certification of Cost Estimate if delegated.

1.2.6 DISTRICT TRAFFIC MANAGER

Verifies that Transportation Management Plan requirements are included in the draft contract at RTL and signs the final TMP Report.

1.2.7 DISTRICT DIRECTOR

Signs certification of project cost estimate.

1.2.8 DISTRICT OFFICE ENGINEER

- Is the single point of contact for DES-OE
- Verifies that the plans, specifications, and estimate are full, complete, and accurate
- Ensures the segregated estimates are correctly prepared
- Verifies the project meets RTL certification requirements for AADD projects
- Assists DES-OE with resolving RTL issues in the district

1.2.9 STRUCTURE OFFICE ENGINEER (SOE)

- The SOE is the registered engineer in responsible charge of the specifications, cost estimate, and working day schedules for the structure portion of the PS&E Package
- Assists DOE with resolving Structure Design related DCR and RTL issues

1.2.10 FUNCTIONAL UNITS

Functional units may be in responsible charge of specifications, cost estimate, and working day schedules for their portion of the PS&E Package or may contribute technical deliverables in support of the engineer in responsible charge.

1.2.11 DES-OE

Verifies the project meets RTL certification requirements for AAOE projects.

1.2.12 HEADQUARTERS DIVISION CHIEFS

Defines RTL requirements and authorizes DES-OE to enforce those requirements.

1.2.13 FEDERAL HIGHWAY ADMINISTRATION

Reviews, provides comments and concurs with RTL requirements.

1.3 REQUIREMENTS

The following items provide instructions for certifying RTL. The last number in the section numbers below (e.g., 1.3.2, 1.3.3) correspond to the sections on the RTL Certification Form (Appendix F).

1.3.1 PROJECT IDENTIFICATION

Enter project identification data. For determination of FHWA delegated/high profile status contact FHWA.

1.3.2 RIGHT OF WAY (R/W) CERTIFICATION

R/W Certification is a written statement summarizing the status of each Right of Way related matter pertaining to a proposed construction project. The R/W Certification documents that the construction project is ready for advertising. The Department must have control of the property before work can be performed which affects that property.

References:

Title 23 of the Code of Federal Regulations (CFR) Sections 635.309 and 710.311, Right of Way Manual Chapter 14 and Right of Way policy memos.

Certification:

Districts are to obtain a R/W Certification 1, 2, 3 or 3W as a condition of RTL. R/W Certification 3 must be upgraded, or 3W must be updated 15 working days before bid opening. Indicate the certification obtained with a check mark and provide a copy to DES-OE. A R/W Certification 3W, or a Certification 3 that is upgraded to a Certification 3W prior to bid opening, will need additional information included in the bid documents and may require an addendum regarding the workarounds needed. FHWA must approve all R/W Certification 3s and 3Ws for federally funded projects.

Railroad Clearance

A railroad facility on the Title Sheet indicates a potential need for a railroad clearance. There may be railroad involvement even if an item is as small as attaching guard railing to the abutment of an underpass, jacking a pipe beneath the railroad roadbed, entering railroad property for access to the work, or constructing a fence. To support federal authorization to proceed with construction (E-76), the FHWA Engineer must review the Railroad Agreement and Construction Management agreement, if applicable, for high profile projects.

References:

Title 23 CFR 646.216 and 635.309, Right of Way Manual Chapters 8 and 14, RTL Guide Section 6.11

Certification:

Indicate with a check mark if railroad clearance has been obtained for the project. Provide copies of the Railroad Clearance Memorandum from Division of Right of Way, plus an electronic copy, in Microsoft Word format, and provide RR Agreements as Supplemental Project Information in the Information Handout.

1.3.3 ENVIRONMENTAL CERTIFICATION

Environmental Certification assures that all the appropriate environmental permits, licenses, agreements, and certifications (PLACs) – and all other environmentally-related commitments included in Environmental Documents or other project documentation - have been included in the PS&E. The Environmental Certification will be approved in accordance with the executive authorization provided by the Chief of the Division of Environmental Analysis. Before the federal Authorization to Proceed (E-76) with the construction phase of the project, the district must establish whether the approved environmental document or Categorical Exclusion determination remains valid. Consultation with the FHWA Engineer is required for all projects with federal-aid or federal involvement.

References:

Title 23 CFR 771.129(c), PRC 21000 et seq., and the Department's Standard Environmental Reference.

Certification:

Indicate with a check mark that the Environmental Certification has been obtained and a copy provided to DES-OE. Provide the signature date and the expiration date, which is either 12 months after the date of signature or the earliest PLAC or other commitment expiration date, whichever occurs first.

1.3.4 DESIGN CERTIFICATION**a. Mandatory and Advisory Design Standards**

Mandatory design standards are those considered most essential to achieve a project's overall design objectives. Many pertain to requirements of law or regulations such as those embodied in FHWA's mandatory 13 controlling criteria. Advisory design standards are based on good design practices adopted by the Department.

References:

Highway Design Manual Chapter 80, PDPM Chapter 9.

Certification:

Indicate with a check mark if the project meets criteria or is a CAPM or Maintenance project. Districts are to certify that the project meets all mandatory and advisory design standards or provide documentation of the approved exceptions to the mandatory and advisory design standards.

b. Exceptions to Mandatory and Advisory Design Standards

The design exception process results in a written record that documents the engineering decisions for each and every exception from a mandatory and advisory design standard. To maintain design immunity in tort liability cases, appropriate documentation is prepared and retained for future Legal Division needs. The responsibility for approval of all exceptions to Mandatory Design Standards on State Highway and local facility (within State Right of Way) projects has been delegated to the Division of Design, Design Coordinator. Certain Mandatory Design Exceptions require FHWA approval. Advisory Design Exception Fact Sheets are approved by the district/region in accordance with district/region policy.

Reference:

Title 23 USC Section 109, HDM Topic 82, and PDPM Chapter 21.

Certification:

Indicate with a check mark if the project meets the criteria or is a CAPM or Maintenance project. All approved Design Exception Fact Sheet must be included in the project history file. Design exceptions to the criteria in 23 USC 109 are to be listed in the *Project Design Exceptions* attachment which is to be included in the PS&E submittal. For federal-aid high profile projects or projects located on the Interstate system, FHWA is required to approve any exceptions to mandatory standards. Date of FHWA approval is to be provided.

c. Statewide Design Policy Compliance

Design Policy Compliance items shown in Section 4c of the RTL Certification Form constitute the current list of items that need to be certified, if applicable.

Reference:

Guidance for the Design Policy Compliance items is shown in parentheses after the item description on the RTL Certification form.

Certification:

Indicate with a check mark that the item is applicable to the project, and that all the associated requirements are completed. If required, documentation is to be included with the project submittal unless otherwise noted by the guidance.

d. Serious or Critical Water Shortage**i. Water for Construction Project:**

An adequate water supply for project construction avoids additional delays and costs.

Reference:

PDPM Chapter 29.

Certification:

Indicate with a check mark if project has a serious or critical water shortage, and a water source commitment has been obtained. Include copies of the water source commitment with the PS&E submittal.

ii. Water for Landscape Project:

Advertisement of Highway Planting or Roadway Construction projects which include new planting or irrigation may be delayed if the local water agency has declared a serious or critical water shortage. Documentation of water availability for new planting or irrigation work is required during a serious or critical water shortage.

Reference:

HDM Chapter 900 and PDPM Chapter 29.

Certification:

Indicate with a check mark if project has a serious or critical water shortage, and a water source commitment has been obtained. Documentation shall be submitted with the project submittal, and a copy shall be submitted to the Office of State Landscape Architecture.

e. Agency Agreements

Entities other than the Department have interests in transportation projects. Negotiations with these agencies occur during many phases of the project's development. Some projects are financed jointly by the Department and other local or State governmental agencies or private entities. Agency agreements are used with local agencies to outline the responsibilities and obligations that have been negotiated.

Reference:

Streets and Highways Code, Section 114, PDPM Chapters 13, 16 and 24.

Certification:

Indicate with a check mark if agreements are involved. Identify the agency, provide the date the agreement was issued, expiration date, Coop Number and the construction capital dollar amount. Submitting copies of fully executed agreements is a requirement for RTL.

1.3.5 FHWA

FHWA is responsible for the Federal-aid Highway Program within the parameters of Section 106 of 23 US Code, except for the assignment of environmental responsibilities under Sections 326 and 327 of 23 US Code.

FHWA's *Contract Administration Core Curriculum, Participant's Manual and Reference Guide* contains basic administrative procedures and applicable policies related to federal aid design and construction contracts. (<http://www.fhwa.dot.gov/programadmin/contracts/coretoc.cfm>)

a. FHWA Design Approval:

The District must obtain FHWA design approval as a condition of the federal authorization to proceed with construction (E-76) if required under the High Profile Project Agreement for High Profile projects.

Reference:

PDPM, Chapter 2, Section 7, DES, 43 Include FHWA Design Approval in RTL, signed by Brent Felker, dated June 2, 2003. See FHWA Stewardship Agreement

Certification:

Indicate with a check mark that the PS&E meets all federal requirements, and that all necessary federal approvals have been obtained pursuant to FHWA Joint Stewardship and Oversight Agreement. Provide a copy of the signed FHWA PS&E Approval Transmittal (if required) to DES-OE and to the Office of Federal Resources.

b. Public Interest Finding Approval:

The District must obtain FHWA Public Interest Finding (PIF) or Cost Effectiveness Determination approval for federally funded projects when an item listed under *Certification* below is involved. Note that FHWA approval has been delegated to Division of Budgets, Office of Federal Resources, for State delegated projects. If required under the High Profile Project Agreement FHWA approval will be needed. All PIFs and Cost Effectiveness Determinations must be submitted to the Department's Federal Resources Office, Division of Budgets, for approval processing.

Reference:

Title 23 CFR. FHWA's *Contract Administration Core Curriculum, Participant's Manual and Reference Guide*. 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. You should work with your Federal Resources Area Engineer to properly fill out the FileMaker Pro version of the PIF. Once completed, print out a copy of the PIF and obtain the necessary approval signatures.

For Cost Effectiveness/Public Interest Finding Guidelines see http://onramp/hq/budgets/federalresources/library/PIF_Guidelines_Oct_2013.pdf

Certification:

If a PIF is required, indicate with a check mark that PIF approval has been obtained. All PIF requests must be processed through the Office of Federal Resources to obtain approval. If required under the High Profile Project Agreement for High Profile projects, PIFs require FHWA approval. Federally delegated projects require Office of Federal Resources approval. Once completed, print out a copy of the PIF and obtain the necessary approval signatures. The approved PIF should be submitted at the time of PS&E submittal. Indicate which of the following are parts of the finding:

- Waiver to Buy America Requirements.
- Experimental Contracting Methods.
- Informal Bid (less than 3 weeks Advertisement).
- Use of Force Account (Day Labor).
- Use of Publicly Owned Equipment.
- Mandatory Use of Borrow or Disposal Sites.
- Use of Patented or Proprietary Materials Specified. See Section 6 for more information.
- Department-Furnished Material Not Approved by FHWA. See Section 7 for the list of approved Department-furnished materials.

1.3.6 PLANS, SPECIFICATIONS, AND ESTIMATE CERTIFICATION (DRAFT CONTRACT READY)

Full, complete, and accurate PS&Es lower bidding risk, improve competition, and facilitate contract administration.

PS&E consistency is required within contract components (i.e. layout plans versus drainage plans) and between contract components (i.e. plans versus specifications). The PS&E is full, complete and accurate when the project is Draft Contract Ready.

Reference:

PCC 10120, *RTL Guide*, Sections 5, 6, 7 and 11, PPM, *BEES Manual*, GES 337 course manual (*Beginning BEES*), and GES 292 course manual (*Advanced BEES*)

Certification:

Section 6 will be completed when the project is deemed *Draft Contract Ready*.

1.3.7 TRAFFIC OPERATIONS

Overview:

Deputy Directive DD-60-R1, Traffic Management Plans, requires Transportation Management Plans (TMPs) for all construction projects. The District Traffic Manager or the District Transportation Management Plan Manager verifies that the TMP is updated at RTL.

Reference:

Project Development Workflow Tasks Manual (PDWT), Transportation Management Plan Guidelines and DD-60-R1.

Certification:

Indicate with a check mark that the District Traffic Manager or District TMP Manager verifies that the TMP is updated at RTL. Provide the District Traffic Manager or TMP Manager name and the date of verification.

REQUIREMENTS FOR READY TO LIST

Expiration and Update Requirements for RTL Documents

Document	Expires After	Must Be Valid at (Milestone)	Contact Person (Phone)	Reference
R/W Certification	1 Year	Advertisement Date	Don Grebe (916)654-4456	R/W manual Section 14
R/R Clearance Memo	PS&E changes impacting R/R are made	Advertisement Date	Don Grebe (916)654-4456	R/W manual Section 8
Environmental Certification	Permit requirements change	RTL	Gina Moran (916)651-8164	http://env.dot.ca.gov/library/library.shtml#placs
Traffic or TMP Manager verification	PS&E changes impacting the TMP are made	RTL	Laurie Jurgens (209)736-1609	DD-60-R1
PE Seal on individual Plan Sheets	Perpetual*	At time of final plan revisions	Linda Fong (916)653-8559	Business and Professions Code,
PE Seal on Title Sheet	Perpetual*	Final plan revisions	Linda Fong (916)653-8559	Business and Professions Code
PE Seal on Special Provisions	Perpetual*	Project listed for advertisement	Linda Fong (916)653-8559	Business and Professions Code
Project Engineer's Certification of Utility Facilities	Perpetual*	At time of signing	Linda Fong (916)653-8559	Project Development Procedures Manual, Appendix LL
Storm Water Data Report	When revised permit conditions require a change	RTL	Tim Sobleman (916)653-5747	Storm Water Data Report Caltrans Storm Water Quality Handbooks / Project Planning and Design Guide May 2007 See Appendix E
Hazardous Waste Report	Permit requirements change	DCR	Kim Christmann (916) 653-3265	PDPM CH. 18

* The seal is valid in perpetuity so long as there have been no revisions to the sheet on which the seal is affixed. (An example of a revision is when CCOs are approved during the construction phase of the project and the engineer of record is not available to approve the change. A licensed engineer can sign off on the change, and that individual would be responsible for the change as well as any other items related to that change.)