OFFICE OF SPECIAL FUNDED PROJECTS

INFORMATION AND PROCEDURES GUIDE

CHAPTER 1: GENERAL INFORMATION

STRUCTURES & ENGINEERING SERVICES
DIVISION OF ENGINEERING SERVICES
DEPARTMENT OF TRANSPORTATION
STATE OF CALIFORNIA

2024

Updates and information concerning the contents of this guide may be obtained from:

Office of Special Funded Projects and Structure Local Assistance (OSFP/SLA) page
or
Contact the Caltrans, Office of Special Funded Projects, American Council of Engineering Companies (ACEC) representative.

The Office of Special Funded Projects has prepared the contents of this guide. When necessary, revisions are made and posted on the web site listed above. It is the responsibility of all that use this guide to verify it is current and appropriateness for the use intended, to obtain the revisions, and to disregard obsolete or inapplicable information.

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Other documents referenced in this Guide are available at the Caltrans internet website: https://dot.ca.gov/ or https://dot.ca.gov/manuals/

INDEX TO ABBREVIATIONS:

AAA	Advertise, Award and Administer
AASHTO	AASHTO LRFD Bridge Design Specifications
ACEC	American Council of Engineering Companies
A&E	Architectural and Engineering Contract
APS	Advance Planning Study
BLCCA	Bridge Life-Cycle Cost Analysis
BD	Bridge Design
BDD	Bridge Design Detail
BDM	Bridge Design Memo
BDP	Bridge Design Practice
CA	California Amendments to AASHTO LRFD Bridge Design Specifications
CMGC	Construction Manager/General Contractor
DB	Design Build
DES	Division of Engineering Services
DRP	Draft Project Report
EE	Earthquake Engineering
GS	Geotechnical Services
MTD	Bridge Memos to Designers
OC	Overcrossing
OH	Overhead (railroad)
OSFP	Office of Special Funded Projects
PDPM	Project Development Procedures Manual
PDT	Project Development Team
PID	Project Initiation Document
POC	Pedestrian Overcrossing
PM	Project Manager
RP	Project Report
PS&E	Plans, Specifications and Estimate
PUC	Pedestrian Undercrossing
QC	Quality Control
SC	Structures Construction
SDC	Caltrans Seismic Design Criteria
SM&I	Structures Maintenance and Investigations
SOE	Structure Office Engineer
SFP	Special Funded Projects
STP	Structure Technical Policies
UC	Undercrossing
UP	Underpass (railroad)
VECP	Value Engineering Change Proposal

1.1 INTRODUCTION

Caltrans is responsible for operations, maintenance, and tort liability after State Highway projects are constructed. Caltrans is also responsible for providing for the authorized expansion of the system and for assessing the impact of improvements proposed by others to the existing system.

To ensure that projects on the State Highway system are well designed, safe, and properly constructed, all project planning, design, and construction should be performed in accordance with Caltrans standards, policies, and practices and according to the Caltrans project development process.

Caltrans assures that special funded projects (i.e. projects to be built on State Right of Way which are sponsored and developed by others) conform to the appropriate standards, policies and procedures by providing oversight through all project phases from inception through construction completion. The Office of Special Funded Projects and Structure Local Assistance of the Division of Engineering Services has oversight responsibility for structure portions of special funded projects that involve transportation related structures.

For the purposes of this Guide, oversight is defined as the effort necessary to assure conformance to Caltrans standards, policies, and practices. Within OSFP, oversight generally consists of project liaison, coordination, and technical reviews at various project milestones. While there are certain variations between project categories and general responsibilities, depending on project funding or the lead agency, the requirements for oversight, and the resulting quality of the final product, remains the same.

This Guide is intended for use by OSFP, other DES and Caltrans personnel, local entities, design consultants and other authorities, agencies or disciplines involved in the preparation of projects that require OSFP oversight. The purpose of this Guide is to establish general, uniform levels of project development and oversight and should not be substituted for the good judgement of the user.

This Guide supplements the following Caltrans document, which can be obtained from the website listed below.

- *Project Development Procedures Manual* (PDPM) at:
  Project Development Procedures Manual (PDPM)

1.2 ROLES AND RESPONSIBILITIES

All project stakeholders must work as a team to successfully develop and construct complex transportation projects. To achieve this goal, stakeholders must understand their own role and responsibility in state highway projects as well as those of the others. Roles and responsibilities of the main project stakeholders, particularly as they apply towards projects that involve oversight the Office of Special Funded projects, are discussed below.

1.2.1 GENERAL ROLES AND RESPONSIBILITIES

One primary role and responsibility all project stakeholders share is to develop projects in accordance to Caltrans procedures, standards and policies. This is a legislative borne requirement which enables Caltrans to provisionally allow others to perform work on the State Highway System while at the same time ensuring quality projects and maintaining protection from tort liability.

All improvements to State highways are Caltrans projects. This applies even if the project will be financed by others. As owner-operator of these transportation facilities, Caltrans is responsible for operation, maintenance, and tort liability after construction. Some structures, such as rails and pedestrian structures, the operation, maintenance and tort liability may be transferred to other agencies per cooperative agreements. Caltrans is also responsible for providing for the authorized expansion of the system and for assessing the impact of improvements proposed by others to the existing system.

To ensure that transportation facilities are well designed, safe, and properly constructed, all project planning, design, right-of-way acquisition, and construction should be performed in accordance with Caltrans standards and practices and according to Caltrans project development process.

The above statement is rooted in law through various codes and statutes--some of which are paraphrased below. These are shown to help illustrate the legal authority for Caltrans to allow others to perform work on state highways and still maintain the level of quality and legal position as if it were a Caltrans project:

- Streets & Highway Code Section 116: Allows Caltrans to delegate any powers and jurisdiction vested by law, however, the power of approval remains with the Caltrans.

- Streets & Highway Code Section 137: Provides Caltrans with the sole responsibility to determine the kind, quality, and extent of all highway work under its control and approval authority.

- Government Code Section 830.6: Provides relief from liability to public entities for those projects that have been approved as conforming to the standards established by the Caltrans.

An understanding of the need to comply with Caltrans standards gives project stakeholders a context for how State Highway Projects must be developed and constructed and points the project team in a clearly defined direction toward solving the transportation need.

1.2.2 SPECIFIC ROLES AND RESPONSIBILITIES

For quality projects to be developed efficiently, project stakeholders must understand their own roles and responsibilities and that of the other stakeholders, so everyone's expectations, accountabilities, and probable courses of action are predictable and can be relied upon as much as possible.
Following is a general list of roles and responsibilities associated with the main project stakeholders. The list is not all-inclusive and is meant to briefly capture roles and responsibilities as they relate to projects that involve OSFP oversight.

1.2.2.1 SPONSORING AGENCIES:

- Propose projects to the appropriate District Project Manager, Encroachment Permit Office, and District staff.
- Ensure that Caltrans participates in the develop of the "Statement of Work."
- Ensure that Caltrans participates in the Consultant Selection process if needed.
- Provide enough resources to ensure that projects can be developed to meet Caltrans standards.
- Work with Districts to determine Advertise, Award, and Administer (AAA) responsibility early in the design phase.
- Designate a person as a focal point for the project.
- Work with Consultants, Districts, and OSFP to develop schedules that provide the appropriate duration for review, and approval.
- Ensure consultant availability through construction completion, including construction support and completion of project as-builts.

1.2.2.2 CALTRANS DISTRICTS:

- Provide the OSFP Liaison Engineer with early notification that sponsored projects involving structures are under consideration.
- Designate District focal points and contacts for each project.
- Work with the Sponsoring Agency and the OSFP Liaison Engineer to develop the “Statement of Work.”
- Ensure that OSFP Liaison Engineer is available to participates in Consultant selection for projects involving structures.
- Work with Sponsoring Agencies to determine AAA responsibility early in the design stage.
- Ensure that the project schedules appropriately reflect achievable milestones and the review duration for Division of Engineering Services portions of the work are properly incorporated.
- Provide the OSFP Liaison Engineer with the current project schedule and with any proposed schedule revisions.
- Ensure that the structures oversight portion of the projects have the proper resources.
- Provide project oversight from project inception to construction completion.

1.2.2.3 CONSULTANTS:

- Designate focal points and project contacts for the project.
- Must have knowledge of and comply with Caltrans project development procedures.
- Provide staff that has the knowledge, training, and experience to meet the needs of the project.
- Provide cost effective solutions that meet the needs and purpose of the project.
- Establish, maintain, and adhere to an effective Quality Control Plan.
- Provide A&E services and products that are complete, accurate, and meet current Caltrans Standards.
- **Provide high quality and complete deliverables/submittals**.
- Meet scheduled delivery dates for all deliverables and provide regular schedule updates.
- Provide support services for the construction phase of the projects, including completion of the as-built plans.

1.2.2.4 OFFICE OF SPECIAL FUNDED PROJECTS:

- Provide Liaison & Oversight to each District and local agencies for Special Funded Projects from project inception until construction completion.
- Provide single point of contact for all of Division of Engineering Services.
- Be available to work with Districts and sponsoring agencies to pre-scope projects.
- Provide District Project Manager with a resource estimate for structure oversight efforts for OSFP.
- Participate in Consultant Selection if requested.
- Provide reviews at all stages of the project to ensure that Caltrans policies and standards are met.
- Approve structure portion of APS, Type Selection, and final PS&E.
- Establish and maintain a liaison relationship with the construction stakeholders.
- Review and approve Value Engineering Change Proposal involving the structure portion of the work.
- Review and approve Contract Change Orders involving the structure portions of work.
- Ensure As-built plans have been completed by the Consultant and submitted to Structures Maintenance and Investigations (SM&I).

An understanding of roles and responsibilities with regular interaction among the project stakeholders will help ensure that quality projects are developed efficiently with a minimum number of setbacks.

1.3 PROJECT LIAISON AND OVERSIGHT

The OSFP Liaison Engineer will maintain liaison and provide project oversight to assure that transportation related structures in State Right of Way, designed by others, conform to Caltrans policies, standards, and practices. The Liaison Engineer participates in various project activities from inception through construction completion. Generally, the OSFP Liaison Engineer has the final authority on structure related technical issues relative to conformance with Caltrans standards and practices. The liaison and oversight duties of the Liaison Engineer are briefly described below.

1.3.1 LIAISON AND OVERSIGHT DUTIES

- Provide liaison and structural consultation, support, and oversight to project development staff.
- Coordinate procedural and technical issues.
- Negotiate and coordinate project schedules with sponsoring agencies, consultants, and Districts.
- Track and report on the status of projects.
- Communicate and coordinate project specific issues, through the District, to consultants and sponsoring agencies. This will not preclude day-to-day working contacts between consultants and other DES units.
- Work closely with the consultant and sponsoring agency early in the project to minimize conflicts and to assure that they:
  - Fully understand Caltrans requirements
  - Have current manuals and project data
- Identify problems early and act as necessary.
- Participate in Consultant Selection procedures, if requested.
- Review Contract Statement of Work.
- Provide District Project Manager with the resources needed by OSFP to provide oversight activities.
- Participate in discussions and/or analyses of preliminary concepts.
- Review Project Initiation Documents / Draft Project Reports / Project Reports.
- Review and approve Advance Planning Studies.
- Participate in Field Assessments.
- Participate in Value Analysis studies.
- Participate in Project Development Team meetings.
- Attend and participate in Public Hearings/Meetings.
- Provide structural and technical consultations.
- Review and approve Structure Type Selections.
- Provide technical oversight during the development of the structure PS&E.
- Review and approve Structure Projects (Structures PS&E).
- Coordinate and assist in resolving structure related issues during construction.
- Review and approve Contract Addenda and Contract Change Orders for all structures work
- Participate in the evaluation and review of Value Engineering Change Proposal (VECP)
- Provide technical oversight of Shop Plans and As-Builts.

1.3.2 SUMMARY

The goal of the OSFP Liaison Engineer is to provide effective project oversight by maintaining close communication with relevant members of the Project Development Team and by reviewing and approving the various documents that are prepared through the different project phases.

While this Guide encourages cooperation, assistance, and proper oversight from the OSFP Liaison Engineer throughout the planning, design and construction phases, **the consultant is fully responsible for the final quality and the integrity of their design including the correction of all errors and omissions.**

1.4 PUBLISHED DESIGN AND PROCEDURAL DOCUMENTS

Design consultants and sponsoring agencies that produce designs for structures on the State Highway System are expected to obtain the *most current* versions of manuals, guidelines, specifications, and other publications to assure that the development of work conforms to Caltrans most current standards.

A list of Caltrans Publications that are currently available at the Caltrans website https://dot.ca.gov/ or https://dot.ca.gov/programs/engineering-services/manuals

Some of the more critical publications that provide planning, design, and detailing information for transportation structures are as follows:

- OSFP Information and Procedures Guide
- AASHTO LRFD Bridge Design Specifications
- CA Amendments to AASHTO LRFD Bridge Design Specifications
- Caltrans Seismic Design Criteria (SDC)
- Caltrans Seismic Design Specifications for Steel Bridges
- Structure Technical Policies (STP)
- Bridge Design Memos (BDM)
- Accelerated Bridge Construction Manual
- Bridge Memos to Designers (MTD)
- Bridge Design Details (BDD)
- Geotechnical Manual
- Geotechnical Specifications
- Soil and Rock Logging Manual
- Bridge Design Practice (BDP)
- Bridge Standard Details and User Guides
- Highway Design Manual
- Plans Preparation Manual
- Project Development Procedures Manual
- CADD User's Manual
- Standard Plans and Revised Standard Plans
- Standard Specifications and Revised Standard Specifications
- Structure Construction Manual
- Workplan Standards Guide

The below information may be obtained from the OSFP Liaison Engineer:

1.5.1 Statement of Work for Structures
1.6.1 Quality Control Plan Checklist
3.2.1 Advance Planning Study Checklist
3.2.2 Bridge Life-Cycle Cost Analysis (BLCCA) Documents
4.1.1a BD-0500 Bridge Site Data Submittal
4.1.1b BD-0502 Bridge Site Data Submittal-Minor
4.1.1c BD-0503 Bridge Site Data Submittal Non-Standard RW/SW
4.1.2 Bridge or Structure Field Site Investigation Checklist
4.1.3 Railroad Separation Field Site Investigation Checklist
4.1.4 Bridge or Structure Hydraulic Site Survey Checklist
4.1.5 Foundation Plan Preparation Checklist
4.6.1 BD 0361 Structure P&Q Submittal Checklist
4.6.2 BD 0354 Structure Standard Plan Transmittal
4.7.1 Estimating Quantities
4.7.2 BD-0362 Structure Quantity Summary
4.7.3 BD-0363 Structure Quantity Summary-Other
4.9.1 BD-0307 Joint Movement Calculations LRFD
4.9.2 MTD 3.7 Shaft Design Information Sheet
4.10.1 Pumping Plant Design Manual 2019

1.5 STATEMENT OF WORK FOR STRUCTURES

The Statement of Work for Structures is an editable form that is available upon request from the SFP Liaison.

The Statement of Work for Structures describes the procedures, deliverables, and other requirements for consultant designed structure work on state right of way that OSFP will review. To help ensure the consultant's work is adequately scoped, sponsoring agencies should include requirements to the same effect in their consultant contracts. The Statement of Work for Structures shall be completed as early as possible in the K phase (PID) or the 0 phase (PA&ED). As the scope of the structure work change, the Statement of Work for Structures shall be updated.

The Statement of Work for Structures applies to traditional design-bid-build projects regardless of funding sources or construction contract administration responsibilities. For projects that are developed and delivered by alternate methods, such as design-build, the basic requirements in the Statement of Work for Structures still apply, but the unique submittal and review processes these projects require are outside the scope of the document.

The Statement of Work for Structures is for typical projects and but may not fully address any specific project. For example, projects that include pumping plants, buildings, steel structures, railroad structures, or tunnels with ventilation systems may require additional lead time and additional copies of documents. Alternatively, some simpler projects may require less lead time. All submittals must be in electronic file format. Because of these variations, sponsoring agencies and consultants should always request the OSFP Liaison Engineer to review the scope of structure work in consultant contracts to help ensure the schedule, submittal, and other requirements are appropriate for the specific project.

1.6 QUALITY CONTROL PLAN

The Quality Control Plan Checklist is an editable form that is available upon request from the SFP Liaison.

The checklist is used to establish a minimum level of quality control during the PS&E phase and shall be used as a basis for the development of the project checklist. Quality control for the design integrity and the completeness of project documents are the responsibility of the consultant.

The consultant shall have a quality control plan in effect during all project phases. Plans, specifications, calculations, reports, and other items or documents delivered to OSFP for review shall be clearly addressed in the quality control plan established for the work. The Quality Control Plan shall contain appropriate checklists to assure product quality and control.

The consultant shall complete and deliver to OSFP a project specific Quality Control Plan Checklist with the Initial PS&E submittal. The consultant project manager must sign the checklist to certify completeness and accuracy of the submittal.

Incomplete submittals will not be accepted by OSFP for review. Review will not commence until all the required documents have been received and verified complete by OSFP.

1.7 DELIVERABLES

Summarized in this section are general deliverable requirements and information for documents to be submitted for projects with bridges or other transportation-related structures.

Registered Professional Engineer registration seals and signatures required on deliverables shall be in accordance with the requirements of the State of California Business and Professions Code and Caltrans policy as stated elsewhere in this Guide.

All submitted documents shall be neat and legible. Each electronic file must be no larger than 70 MB if possible. Any files over 70 MB must be broken down into smaller files and named accordingly (i.e., Part I, Part II...) Project identification and document identifications shall be part of the electronic file name. The contents of all documents should be indexed, and all pages numbered.

Deliverable Distribution List indicates the required electronic documents that are to be submitted to District Project Manager and OSFP by the Consultant for the various phases of the project. The deliverable electronic documents are to be submitted to the District Project Manager and OSFP Liaison Engineer by e-mail or file transfer protocol (FTP).

1.7.1 DELIVERABLE DISTRIBUTION LIST

The Deliverable Distribution List is used for project development from inception to PS&E completion to construction phase. It is intended for use by Districts, sponsoring agencies, and consultants to convey the deliverable requirements for each element of the project for which OSFP provides oversight. Following is a description of the information each column in the list contains.

1.7.2 SECTION REFERENCE

Provides a cross-reference to the pertinent sections elsewhere in this manual.

1.7.3 DELIVERABLE REVIEW DURATION

Provides the review duration OSFP requires to review the different deliverables for typical projects. **For non-typical projects (such as long/complex structures, large number of structures, complex seismic, complex geology, etc) an increase duration will be required. Please consult with the SFP Liaison at**

initiation of the project and agree on an increase review duration. The durations consider the time needed for OSFP to coordinate reviews through the various functional units within the Division of Engineering Services. Sponsoring agencies and their consultants must include the appropriate review duration into the project schedules. The Liaison Engineer should be consulted early in the project to assist with schedule development to ensure that all necessary reviews are properly considered. This particularly applies to projects that contain non-typical elements.

During the development of the project, the schedule should be reviewed with the Liaison Engineer to ensure that the elements of the project can be reviewed as originally planned.

1.7.4 DOCUMENTS PER STRUCTURE (S) OR PROJECT (P)

Indicates whether the electronic documents are per structure (S) basis or on a per project (P) basis.

In certain cases, the designation (S/P) is used. If there are many structures on a project the deliverables should be on a per structure basis. If there are a small number of structures on the project, deliverables can be based on a per project basis with the approval of the Liaison Engineer.

1.7.5 REMAINING COLUMNS

Shows the potential involvement of other units that participate in project reviews. These columns are primarily for use by OSFP.

In addition to design reviews performed by OSFP, other offices within the Division of Engineering Services provide reviews in specialized areas. Listed below, in the same order as shown on the list to provide clarity, are the functional areas that most often perform reviews:

- Geotechnical Services
- Structure Hydraulics and Hydrology
- Structure Design
- Structure Construction
- Structures Maintenance and Investigation
- Earthquake Engineering
- SOE Structures Specifications

- SOE Structures Estimating
- Bridge Architecture & Aesthetics
- Various Technical Specialists or Committees, such as, Bridge Barriers, Retaining Walls, Signs, Underground Structures, Concrete, Structural Steel, etc.

The following tables show the required document distributions at the various stages of the project. The Liaison Engineer will determine the involvement of the specific units and will distribute the documents as necessary. Consultants shall only submit deliverables to the District Project Manager or OSFP Liaison Engineer and not directly to the units shown.

Unless otherwise noted, all plans are to be on reduced size 11 inches x 17 inches. Electronic files shall be submitted by e-mail of file transfer protocol (FTP) unless otherwise requested by the Liaison Engineer. Files shall in MicroStation format (DGN) for drawings, and Portable Document Format (PDF) for all others.

Project initiation Documents (PID) (WBS 0.150)

Name of Report	Section Reference	Review Duration (weeks)	Electronic Copy	Document per Structure (S) or Project (P)	OSFP Liaison Engineer	OSFP Reviewer	OSFP Detailer	GS	BD	SC	SM&I	EE	Hydraulics	Specifications	Aesthetics	Specialists	Estimating	District
Advance Planning Study Submittal	3-2	4	E	S	E	E		E		E	E		E		E		E	
Structure Preliminary Geotechnical Report or Preliminary Foundation Report	2-3	4	E	S	E	E		E					E					
Preliminary Hydraulics Report and HEC-RAS model	2-4	4	E	S	E	E							E					
Structure Advance Planning Study Checklist	3-2	4	E	S	E	E		E		E	E		E				E	
Design Memo	3-2	4	E	S	E	E		E		E	E		E				E	
Cost Estimate	3-2	4	E	S	E	E				E							E	
Draft Final PID or Final Approved PID	3-2	4	E	P	E													
Accelerated Bridge Construction (ABC) Evaluation	3-2	4	E	S	E	E				E							E	E
Bridge Life-Cycle Cost Analysis (BLCCA) (if requested by the OSFP Liaison)	3-2	4	E	S	E	E				E							E	E
Responses to previous comments (for resubmittals only)	3-2	4	E	S	E	E		E		E	E		E		E		E	

Draft Project Reports/Project Reports (WBS 0.160)

Name of Report	Section Reference	Review Duration (weeks)	Electronic Copy	Document per Structure (S) or Project (P)	OSFP Liaison Engineer	OSFP Reviewer	OSFP Detailer	GS	BD	SC	SM&I	EE	Hydraulics	Specifications	Aesthetics	Specialists	Estimating	District
Advance Planning Study	3-2	4	E	S	E	E		E		E	E		E		E		E	
Structure Preliminary Geotechnical Report or Preliminary Foundation Report	2-3	4	E	S	E	E		E					E					
Preliminary Hydraulics Report and HEC-RAS model	2-4	4	E	S	E	E							E					
Structure Advance Planning Study Checklist	3-2	4	E	S	E	E		E		E	E		E				E	
Design Memo	3-2	4	E	S	E	E		E		E	E		E				E	
Cost Estimate	3-2	4	E	S	E	E				E							E	
Draft Project Report with Structures Planning Studies or PSR PDS	3-2	4	E	P	E													
Final Signed Project Report (after APS Approval)	3-2	4	E	P	E													
Accelerated Bridge Construction (ABC) Evaluation	3-2	4	E	S	E	E				E							E	E
Bridge Life-Cycle Cost Analysis (BLCCA) (if requested by the OSFP Liaison)	3-2	4	E	S	E	E				E							E	E
Responses to previous comments (for resubmittals only)	3-2	4	E	S	E	E		E		E	E		E		E		E	

Preliminary Design - Pre-Type Selection (WBS 1.240)

Name of Report	Section Reference	Review Duration (weeks)	Electronic Copy	Document per Structure (S) or Project (P)	OSFP Liaison Engineer	OSFP Reviewer	OSFP Detailer	GS	BD	SC	SM	EE	Hydraulics	Specifications	Aesthetics	Specialists	Estimating	District
Draft Bridge Site Data Submittal (to District). Contact District Project Manager and the Liaison Engineer to determine necessary number of copies and formats required.	4-1	4	E	S	E													E
Foundation Boring Plan	2-3	4	E	S	E			E										
Draft Final Hydraulics Report Submit a minimum of 4 weeks prior to Type Selection Submittal	2-4	4	E	S	E								E					

Preliminary Design - Type Selection-35% (WBS 1.240)

Name of Report	Section Reference	Review Duration (weeks)	Electronic Copy	Document per Structure (S) or Project (P)	OSFP Liaison Engineer	OSFP Reviewer	OSFP Detailer	GS	BD	SC	SM	EE	Hydraulics	Specifications	Aesthetics	Specialists	Estimating	District
Type Selection Report	4-2	2 - 4 *	E	S	E	E		E	E	E	E	E	E	E	E	E		E
GAD approval memo from District Design oversight. GAD must be approved before scheduling Type Selection Meeting. or Approved Bridge Site Data Submittal with attachments.	4-1	2 - 4 *	E	S	E													
General Plan	2-2	2 - 4 *	E	S	E	E		E	E	E	E	E	E	E	E	E		E
Draft Foundation Plan	4-2	2 - 4 *	E	S	E	E												
Draft Final Hydraulics Report and HEC-RAS model	2-4	2 - 4 *	E	S	E	E							E					
Preliminary Foundation Report	2-3	2 - 4 *	E	S	E	E		E					E					
Responses to any outstanding APS comments		2 - 4 *	E															

* Duration between complete Type Selection Submittal and the Type Selection Meeting.

Preliminary Design - Post-Type Selection (WBS 1.240)

Name of Report	Section Reference	Review Duration (weeks)	Electronic Copy	Document per Structure (S) or Project (P)	OSFP Liaison Engineer	OSFP Reviewer	OSFP Detailer	GS	BD	SC	SM	EE	Hydraulics	Specifications	Aesthetics	Specialists	Estimating	District
Updated Type Selection Report	4-2	2 - 4	E	S	E	E		E	E	E	E	E	E	E	E	E		E
Type Selection Review Meeting Summary.	4-2	2 - 4	E	P	E	E		E	E	E	E	E	E	E	E	E		E
Updated General Plan Estimate	4-2	2 - 4	E	S	E												E	E
Updated General Plans	4-2	2 - 4	E	S	E	E	E											
Responses to Type Selection comments		2 - 4	E	S	E	E	E	E	E	E	E	E	E	E	E	E	E	E

Unchecked Details 65% (WBS 1.240)

Name of Report	Section Reference	Review Duration (weeks)	Electronic Copy	Document per Structure (S) or Project (P)	OSFP Liaison Engineer	OSFP Reviewer	OSFP Detailer	GS	BD	SC	SM	EE	Hydraulics	Specifications	Aesthetics	Specialists	Estimating	District
Unchecked Structure Plans	4-3	4	E	S	E	E		E		E	E		E		E			E
Draft Road Plans	4-3	4	E	P	E	E				E								
Draft Foundation Report	4-3	4	E	S	E	E		E		E			E					
Draft Final Hydraulics Report and HEC-RAS model	4-3	4	E	S	E	E				E			E					
Responses to any outstanding Type Selection comments		4	E	S														

Initial PS&E 90%- Structure Plans and Calculations (WBS 1.240)

Name of Report	Section Reference	Review Duration (weeks)	Electronic Copy	Document per Structure (S) or Project (P)	OSFP Liaison Engineer	OSFP Reviewer	OSFP Detailer	GS	BD	SC	SM	EE	Hydraulics	Specifications	Aesthetics	Specialists	Estimating	District
Structure Plans	2-2	6	E	S	E	E	E	E		E	E		E	E	E	E	E	E
Structure Plans Electronic File (DGN)	2-2	6	E	S			E											
Structure Plans Electronic File (PDF-one file per structure)	2-2	6	E	S	E	E		E		E	E		E	E	E	E	E	
Design Calculations	4-5	6	E	S	E	E												
Check Calculations	4-5	6	E	S	E	E												
Design-Check Discrepancies Comparison Log	4-5	6	E	S	E	E												
Responses to 65% comments		6	E	S	E	E												

Initial PS&E 90%- Specifications and Estimate (WBS 1.240)

Name of Report	Section Reference	Review Duration (weeks)	Electronic Copy	Document per Structure (S) or Project (P)	OSFP Liaison Engineer	OSFP Reviewer	OSFP Detailer	GS	BD	SC	SM	EE	Hydraulics	Specifications	Aesthetics	Specialists	Estimating	District
Special Provisions (with edits shown) (Word File)	4-6	6	E	P		E		E		E				E			E	
Structure P&Q Submittal Checklist	4-6	6	E	P	E									E			E	
Structure Standard Plan List Transmittal	4-6	6	E	P	E									E			E	
Cost Estimate	4-7	6	E	S		E											E	
Design and Check Quantity Calculations Caltrans advertised projects	4-7	6	E	S		E											E	
Quantity Summary Sheets Caltrans advertised projects	4-7	6	E	S		E											E	
Working Day Schedule Caltrans advertised projects	4-7	6	E	P		E											E	

Initial PS&E 90%- Hydraulics and Foundations (WBS 1.240)

Name of Report	Section Reference	Review Duration (weeks)	Electronic Copy	Document per Structure (S) or Project (P)	OSFP Liaison Engineer	OSFP Reviewer	OSFP Detailer	GS	BD	SC	SM	EE	Hydraulics	Specifications	Aesthetics	Specialists	Estimating	District
Final Hydraulics Report [1]	2-4	6	E	S	E	E				E			E	E		E		
HEC-RAS model	2-4	6	E	S	E								E					
Final Foundation Report	2-3	6	E	S	E	E		E		E				E		E		

Initial PS&E 90%- Roadway (WBS 1.240)

Name of Report	Section Reference	Review Duration (weeks)	Electronic Copy	Document per Structure (S) or Project (P)	OSFP Liaison Engineer	OSFP Reviewer	OSFP Detailer	GS	BD	SC	SM	EE	Hydraulics	Specifications	Aesthetics	Specialists	Estimating	District
Road Plans	4-8	6	E	P	E	E				E								
Road Special Provisions	4-8	6	E	P	E	E				E				E			E	

Initial PS&E - Consultant Quality Control Statement (WBS 1.240)

Name of Report	Section Reference	Review Duration (weeks)	Electronic Copy	Document per Structure (S) or Project (P)	OSFP Liaison Engineer	OSFP Reviewer	OSFP Detailer	GS	BD	SC	SM	EE	Hydraulics	Specifications	Aesthetics	Specialists	Estimating	District
Consultant Quality Control Statement	1-6	6	E	P	E													

Intermediate PS&E 91%, 92%, 93%, ….. (WBS 1.240)

Re-submit all items required by Initial PSE above and responses to previous initial PS&E comments. Review duration is 4 weeks.

Final PS&E 100% (WBS 1.240 thru 1.250)

Name of Report	Section Reference	Review Duration (weeks)	Electronic Copies	Document per Structure (S) or Project (P)	OSFP Liaison Engineer	OSFP Reviewer	OSFP Detailer	GS	BD	SC	SM	EE	Hydraulics	Specifications	Aesthetics	Specialists	Estimating	District
Final Signed Structure Plans Caltrans advertised projects (PDF & DGN)	2-2	4	E	S	E	E	E							E			E	
Final Signed Structure Plans Local advertised projects (PDF)	2-2	4	E	S	E	E	E							E				
Road Plans	4-8	4	E	P														
Road Special Provisions	4-8	4	E	P										E				
Resident Engineers Pending File Caltrans advertised projects	4-8	4	E	P						E								
Four Scale Deck Contour Plot Full scale prints Caltrans advertised projects	4-9	4	E	P						E								
Responses to previous comments (for resubmittals only)		4	E	S														

Contract Advertisement (WBS 1.265)

Name of Report	Section Reference	Review Duration (weeks)	Electronic Copies	Document per Structure (S) or Project (P)	OSFP Liaison Engineer	OSFP Reviewer	OSFP Detailer	GS	BD	SC	SM	EE	Hydraulics	Specifications	Aesthetics	Specialists	Estimating	District
As-Advertised Plans Locally advertised projects	4-12	4	E	P	E					E	E							
As-Advertised Special Provisions Locally advertised projects	4-12	4	E	P	E					E	E							
Documentation of Bidder's Inquiries	4-14	4	E	P	E					E				E				

Addenda (WBS 1.265)

Section Reference: 4-13. Submit copies of the following as required by the Liaison Engineer:

Local Advertisement Only:

- Plan Details (PDF)
- Design Calculations
- Check Calculations
- Design-Check Discrepancies Comparison Log
- Addenda Memorandum
- Addenda

Caltrans Advertisement Only:

- Plan Details (PDF & DGN)
- Design Calculations
- Check Calculations
- Design-Check Discrepancies Comparison Log
- Quantities
- Check Quantities
- Cost Estimates
- Special Provisions

Contract Change Orders - Initial and Intermediate Submittals (WBS 3.285)

Name of Report	Section Reference	Review Duration (weeks)	Electronic Copies	Document per Structure (S) or Project (P)	OSFP Liaison Engineer	OSFP Reviewer	OSFP Detailer	GS	BD	SC	SM	EE	Hydraulics	Specifications	Aesthetics	Specialists	Estimating	District
Structure Plans (PDF & DGN) Caltrans advertised projects	5-2	TBD	E	S	E	E	E	E		E			E	E			E	
Structure Plans (PDF) Locally advertised projects	5-2	TBD	E	S	E	E		E		E			E	E				
Special Provisions Caltrans advertised projects	5-2	TBD	E	P	E	E				E				E			E	
Special Provisions Locally advertised projects	5-2	TBD	E	P	E	E				E				E				
Quantities Caltrans advertised projects	5-2	TBD	E	S	E												E	
Check Quantities Caltrans advertised projects	5-2	TBD	E	S	E												E	
Cost Estimates Caltrans advertised projects	5-2	TBD	E		E												E	
Cost Estimates Locally advertised projects	5-2	TBD	E		E													
Design Calculations	5-2	TBD	E	S		E												
Check Calculations	5-2	TBD	E	S		E												
Design-Check Discrepancies Comparison Log	5-2	TBD	E	S	E	E												
Foundation Report	5-2	TBD	2	S	E	E		E										
Hydraulics Report	5-2	TBD	2	S	E	E							E					

Contract Change Orders - Final Submittal (WBS 3.285)

Name of Report	Section Reference	Review Duration (weeks)	Electronic Copies	Document per Structure (S) or Project (P)	OSFP Liaison Engineer	OSFP Reviewer	OSFP Detailer	GS	BD	SC	SM	EE	Hydraulics	Specifications	Aesthetics	Specialists	Estimating	District
Structure Plans (PDF & DGN) Caltrans advertised projects	5-2	TBD	E	S	E		E							E			E	
Structure Plans (PDF) Locally advertised projects	5-2	TBD	E	S	E									E				
Responses to previous comments (for resubmittals only)		TBD	E	S	E		E							E			E	

Value Engineering Change Proposal (VECP) (WBS 3.285)

Same as for Contract Change Orders.

As-Builts (WBS 3.295)

Name of Report	Section Reference	Review Duration (weeks)	Electronic Copies	Document per Structure (S) or Project (P)	OSFP Liaison Engineer	OSFP Reviewer	OSFP Detailer	GS	BD	SC	SM	EE	Hydraulics	Specifications	Aesthetics	Specialists	Estimating	District
Final As-Built Plans (DGN & PDF for Caltrans advertised projects) PDF for Locally advertised projects)	5-5		E		E													
Red-marked As-Built Plans From Field Office	5-5		E		E													

1.8 UPDATING PROJECTS FOR ADVERTISEMENT

Caltrans updates project development standards and procedures on a continual basis which results in the need to routinely evaluate projects for conformance with the latest requirements. This is especially true when the construction phase of the project does not commence soon after PS&E approval. Projects that do not advertise in a timely manner after the PS&E phase are considered shelf projects.

Shelf projects that are re-activated must be evaluated for conformance with the most current requirements prior to advertisement. The consultant, in close coordination with the OSFP Liaison Engineer, must perform this evaluation. The Liaison Engineer and the District Design Oversight will make the final determination of the extent of revisions required by reviewing the Implementation Memos for newly adapted requirements. All elements of the PS&E package are subject to updating to current requirements including plans, Special Provisions, Foundation Reports, structural calculations, etc.

The extent of the evaluation for conformance will depend on the length of time the project was shelved and on the significance of the change in requirements. Generally, projects where the construction phase begins within six months after PS&E approval will not require this evaluation unless necessitated by a significant requirement change (typically new design criteria or special provisions/Standards). Projects on the shelf for more than six months will require an evaluation. The longer the project is shelved, the more extensive the revisions are likely to be. In some cases, redesign and review cycles will be required.

Sponsoring agencies and consultants must make allowances in project schedules and budgets to account for evaluating and updating shelf projects. Timely contact with the OSFP liaison engineer and District Design Oversight is strongly encouraged when shelf projects are re-activated. This is so that the extent of updates can be determined, developed, and incorporated in a timely manner before the construction contract is advertised.

Necessary updates that are not made before advertisement must be incorporated into construction contracts by addendum or contract change order.

1.9 PROJECT RECORDS

A project file shall be kept and maintained by the consultant. The file shall include all correspondence, records of meetings and phone conversations, a history of project cost estimates, and all project memoranda and information. As correspondence is received during the project, it shall be dated and filed. Copies shall be distributed to appropriate project personnel and a record of required actions shall be documented.

In addition, pertinent project development information shall be included in the Resident Engineers Pending File for construction.

Complete project records are the responsibility of the consultant and will not be kept or maintained by OSFP. Project records shall be made available to the OSFP Liaison Engineer upon request.