

APPENDIX F READY TO LIST CERTIFICATION FORM

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Plans, Specifications & Estimate (PS&E) Submittal

Ready to List (RTL) Certification Form

Draft (No.)	
Final	

1 Project Identification:	District-Co.-Rte.-PM:	District EA:			
	FHWA (Delegated/High Profile)	Project ID	Phase #	Secondary EA:	

Enter project identification data as indicated. For determination of FHWA delegated/high profile status see, [California Stewardship & Oversight Agreement Approach to Identifying "High Profile" Projects](#).

RTL Certification

2 Right of Way: *All right of way clearance, utility, and railroad work has been completed or all necessary arrangements have been made as required for proper coordination with the construction schedules. (23CFR635, 646)*

Project has "R/W Certification" for advertisement when one of the following Certifications has been checked. 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 before bid opening. Enter a target or actual date next to the Cert Type. An actual date will generate a check mark next to the cert type.

		Target Date	Actual Date
2a Cert. 1	All property has been acquired. <i>Provide a copy of the R/W certification to DES-OE.</i>		
2b Cert. 2	Not all property has been acquired but the State has the right to occupy or use. <i>Provide a copy of the R/W certification to DES-OE.</i>		
2c Cert. 3W	Right of way process is in order, but acquisition or Orders for Possession will not be completed until (<i>from Right of Way Cert</i>). A work around has been approved to avoid owner-caused delays. Updated Certification Target : Cert Target No: _____ Cert Target Date: _____ <i>Provide a copy of the R/W certification and Approval Memorandum from Division of Right of Way to DES-OE. Not applicable for CAPM and HM projects. Risk Advertisement request approval required for advertising. (RTL Guide)</i>		
2d Cert. 3	Right of way process is in order, but acquisition or Orders for Possession will not be completed until (<i>from Right of Way Cert</i>). Project cannot bid open until certified at the 1, 2, or 3W Level. Upgraded Certification Target : Cert Target Date: _____ <i>Provide a copy of the R/W certification to DES-OE. Enter Cert number and Target Date of upgrade. Not applicable for CAPM and HM projects. Risk Advertisement request approval required for advertising. (RTL Guide)</i>		

Railroad Clearance requirements have been satisfied. Enter a target or actual date. An actual date will generate a check mark indicating that railroad clearance has been obtained for the project. If there is a Construction and Maintenance (C&M) agreement or service contract, include the railroad company name, the agreement or Contract Number, and the amount of the cost estimate for services to be performed by Railroad work forces. Provide DES-OE with a copy of the Railroad Clearance Memorandum from Division of Right of Way. Include railroad clauses in Section 13 of the special provisions and a copy of clauses in Microsoft Word format.

2e Railroad Clearance Requirements Satisfied:	Company:	Target Date	Actual Date
	Date:		
	Amount:		
	C&M Agreement/Service Contract No.		
<input type="checkbox"/> Short Clauses Attached <input type="checkbox"/> Long Clauses Attached <input type="checkbox"/> No Railroad Involvement			

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<p>3 Environmental:</p>	<p><i>All environmental compliance requirements through RTL have been completed and the draft contract document accurately identifies environmental compliance activities that are to be carried out during the construction phase. (23CFR771 and Title 13 PRC § 21000 et seq.) Enter the date the Environmental Certification from was signed and the expiration date in the spaces provided. A copy of the Environmental Certification must be provided to DES-OE. (RTL Guide)</i></p> <table border="1" data-bbox="1192 457 1416 506"> <tr> <th>Target Date</th> <th>Actual Date</th> </tr> <tr> <td> </td> <td> </td> </tr> </table> <p>The Environmental Certification is complete and dated. Changes to the draft contract document after this date may invalidate the Environmental Certification and must be discussed with the Environmental signatory authority.</p> <p>Environmental Certification Document Date: _____</p> <p>Environmental Certification Expiration Date: _____</p>	Target Date	Actual Date		
Target Date	Actual Date				
<p>4 Design:</p>	<p><i>The Department shall determine the kind, quality, and extent of all highway work done under its control, and may prepare and approve all plans, specifications, and estimates for all such work. (S&HC 137).</i></p> <p><i>Project has "Design Standard Approval" when either 4a or 4b is checked.</i></p> <p>4a Design equals or exceeds minimum mandatory and advisory standards. <i>Indicate with a check mark if the project meets criteria. Districts are to certify that the project meets all mandatory and advisory design standards and to provide documentation for approved deviations. Not applicable for CAPM and HM projects. (HDM Section 80; RTL Guide)</i></p> <p>4b Design does not equal or exceed minimum mandatory and/or advisory standards and has approved exceptions for nonstandard features. <i>If required under the High Profile Project Agreement or if the mandatory exception involves the 13 controlling criteria on the Interstate system, the FHWA approval date for the design exception is _____</i> <i>If box is checked and if required under the provisions of the High Profile Project Agreement with FHWA or if the mandatory exception involves the 13 controlling criteria on the Interstate system, a date is required for RTL. Not applicable for CAPM and HM projects. (HDM; Design Memos; Design Information Bulletin; RTL Guide)</i></p> <p>4c Project has "Statewide Design Policy Compliance" when the following boxes are checked. <i>Documentation is to be included with the project submittal as required. Guidance for the Design Policy Compliance items are shown in parentheses after the item description on the RTL Certification form.</i></p> <p>Cost+Time Policy Satisfied (formally A+B Bidding). (Memo: Guidelines for Use of A+B Bidding Provisions) <i>Use radio button menu. Check mark will be generated when policy requirements are met. Required documentation should be included in the project history file. (RTL Guide Section 6.4) If A+B bidding is used on the project then Road User Cost must be provided.</i></p> <table border="1" data-bbox="1284 1310 1416 1358"> <tr> <td>Road User Cost</td> </tr> </table> <p><input type="radio"/> Project does not meet criteria for use, Cost+Time (formally A+B) Bidding not used. <input type="radio"/> Project does not meet criteria for use, but has HQ approval for Cost+Time (formally A+B) Bidding and is used. <input type="radio"/> Project meets criteria for use and Cost+Time (formally A+B) Bidding is used. <input type="radio"/> Project meets criteria for use, but has HQ approval for exception and Cost+Time (formally A+B) Bidding is not used.</p> <p>Buy America " Foreign Material" Waiver requirements satisfied. (23CFR 635) <i>Use radio button menu. Check mark will be generated when regulatory requirements are met or not applicable. For all Federal Aid construction projects, current regulations require that steel and iron be made in the United States. Indicate with a check mark if a PIF (Public Interest Finding) Statement has been approved by FHWA to preclude Federal "Buy America" requirements.</i></p> <p><input type="radio"/> Waiver required and included. <input type="radio"/> Not applicable.</p> <p>Constructability Review requirements satisfied: (PD-05, Constructability Reviews) <i>Use radio button menu. Check mark will be generated when policy requirements are met or project does not meet policy criteria. All major projects shall include the use of formal Constructability Reviews (CRs) per policy.</i></p> <p><input type="radio"/> Project meets criteria and all required constructability reviews have been performed, and issues resolved. <input type="radio"/> Project meets criteria, but all required constructability reviews have not been performed. Exception granted. <input type="radio"/> Project does not meet criteria.</p>	Road User Cost			
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4 Design (Continued):	<p>Cross-section Policy requirements satisfied. (Memo: Cross-Section Preparation and Delivery) <i>Use radio button menu. Checkmark will be generated when policy requirements are met or project does not meet policy criteria. Required documentation should be included in the project history file.</i></p> <p style="text-align: center;">Format:</p> <p><input type="checkbox"/> Project does not meet criteria for use. <input type="checkbox"/> Project meets criteria for use, cross sections provided, and verified by Duty Senior. <input type="checkbox"/> Project meets criteria for use, but has HQ approval for exception and cross sections are not provided.</p>
	<p>Experimental or Research Design Policy requirements satisfied. (Construction Evaluated Experimental Feature Program: PDPM Chapter 14) <i>Use radio button menu. Check mark will be generated when policy requirements are met. Not applicable for CAPM and HM projects.</i></p> <p><input type="checkbox"/> Project has experimental features and a construction evaluated project workplan has been approved and funded. <input type="checkbox"/> Not applicable.</p>
	<p>Hazardous waste policy requiring cleanup prior to construction has been satisfied. (Any ADL, traffic striping, or area of contamination will be addressed in the special provisions). (PDPM CH. 18) <i>Use radio button menu. Check mark will be generated when policy requirements are met.</i></p> <p><input type="checkbox"/> Hazardous waste identified and cleanup completed. <input type="checkbox"/> Project has an exception to include cleanup in the work. <input type="checkbox"/> Per the initial site assessment or the hazardous waste site assessment report, no hazardous waste cleanup prior to construction is expected to be encountered on this project.</p>
	<p>High/Low Risk Utilities Policy requirements satisfied. (Policy on High and Low Risk Underground Facilities; PDPM Appendix LL) <i>Submit any approved exceptions to the policy with the PS&E submittal.</i></p>
	<p>Pedestrian Facilities involved and comply or not applicable. (Memo: Approval and Exception Process for Design Informational Bulletin 82)</p> <p><input type="checkbox"/> Pedestrian facilities involved and complies with DIB. <input type="checkbox"/> Pedestrian facilities not involved.</p>
	<p>Storm Water Data Report updated and approved on (Memo: Caltrans Storm Water Quality Handbook - Project Planning and Design Guide)</p> <p><i>Indicate with a checkmark if the project has a completed Storm Water Data Report. Enter the date of District/Regional storm water coordinator's signature on the report. Copy of the report's completed Cover Sheet must be provided with the PS&E submittal.</i></p>
	<p>Certification of Project Cost Estimate requirements have been met. (Memo: Certification of Project Cost Estimate) <i>Use radio button menu. Check mark will be generated when applicable requirements are met. If the district marks that a CPCE is required, then DES-OE will require a copy of the CPCE as a condition of District Response.</i></p> <p><input type="checkbox"/> Certification of Project Cost Estimate not required <input type="checkbox"/> Certification of Project Cost Estimate required and provided</p>
	<p>4d Serious or critical water shortage and water source commitment requirements have been met. (HDM Chapter 900; PDPM Chapter 29)</p> <p><input type="checkbox"/> No serious or critical water shortage. <input type="checkbox"/> Serious or critical water shortage, water source provided written commitment to supply water for construction project. <input type="checkbox"/> Serious or critical water shortage, water source provided written commitment for new planting and irrigation work.</p>

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4 Design (Continued):	4e	<p>Project requires Agency Agreement(s). <i>Identify the agency, provide the date the agreement was issued, and show the dollar amount. Submit a copy of fully executed agreements with the PS&E submittal. (Streets and Highways Code, Section 1214; PDDM Chapter 13, 16; Cooperative Agreement Manual). A checkmark will be generated when all listed agreements are executed.</i></p> <p><input type="checkbox"/> None on this project.</p> <table style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width:30%;">Agency:</th> <th style="width:10%;">Doc. No.</th> <th style="width:10%;">Effect. Date</th> <th style="width:10%;">Expiration Date</th> <th style="width:10%;">Construction Capital Dollars</th> <th style="width:10%;">Target Date</th> <th style="width:10%;">Date Executed</th> </tr> </thead> <tbody> <tr> <td> </td> </tr> <tr> <td> </td> </tr> </tbody> </table> <p>Explanation for Coops not executed: _____</p>	Agency:	Doc. No.	Effect. Date	Expiration Date	Construction Capital Dollars	Target Date	Date Executed														
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5 FHWA Approval:		<p><i>PS&E may require FHWA approval when project involves Federal funds or is on a Federal System regardless of funding source. (Pursuant to stewardship and delegation agreements PDDM Chapter 2, Section 7; DES Decision Document, "Include FHWA Design Approval in RTL," dated June 2, 2003) (RTL Guide)</i></p> <p>Project meets all applicable Federal requirements. FHWA Design Approval Date _____ <i>For High Profile Projects, provide written documentation of FHWA design approval to DES-OE. Check mark will be generated when applicable policy requirements are met, a date is required for RTL.</i></p> <p><input type="checkbox"/> Project has no applicable Federal requirements. <input type="checkbox"/> Project has Federal requirements and has all necessary approvals.</p> <p>Public Interest Finding (PIF) required and approved, or not required. <i>Indicate with a checkmark below if PIF is required and approved, or PIF is not required. Check applicable items below. (23 CFR; FHWA's "Contract Administration Core Curriculum, Participant's Manual and Reference Guide" at http://www.fhwa.dot.gov/programadmin/contracts/index.cfm. The "Cost Effectiveness/Public Interest Finding Guidelines" at: http://onramp/hq/budgets/federalresources/library/PIF_Guidelines_Nov_2006.pdf) The approved PIF should be submitted at the time of PS&E submittal. Indicate which of the following are parts of the finding:</i></p> <table style="width:100%; border-collapse: collapse;"> <tr> <td><input type="checkbox"/> Not Applicable</td> <td><input type="checkbox"/> Mandatory Use of Borrow/Disposal Sites (23CFR635.410)</td> </tr> <tr> <td><input type="checkbox"/> Waiver to Buy America Reqs (23CFR635.410)</td> <td><input type="checkbox"/> Use of Patented/Proprietary Materials (23CFR635.410)</td> </tr> <tr> <td><input type="checkbox"/> Experimental Contracting Methods</td> <td><input type="checkbox"/> Other: _____</td> </tr> <tr> <td><input type="checkbox"/> Informal Bid (Less Than 3 Weeks Advertisement)</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Use of Force Account (Day Labor)</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Use of Publicly Owned Equipment</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Use of Department-Furnished Materials (23CFR635.407)</td> <td>_____</td> </tr> </table>	<input type="checkbox"/> Not Applicable	<input type="checkbox"/> Mandatory Use of Borrow/Disposal Sites (23CFR635.410)	<input type="checkbox"/> Waiver to Buy America Reqs (23CFR635.410)	<input type="checkbox"/> Use of Patented/Proprietary Materials (23CFR635.410)	<input type="checkbox"/> Experimental Contracting Methods	<input type="checkbox"/> Other: _____	<input type="checkbox"/> Informal Bid (Less Than 3 Weeks Advertisement)	_____	<input type="checkbox"/> Use of Force Account (Day Labor)	_____	<input type="checkbox"/> Use of Publicly Owned Equipment	_____	<input type="checkbox"/> Use of Department-Furnished Materials (23CFR635.407)	_____							
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6 Plans, Specifications, & Estimate:		<p><i>Plans, Specifications, & Estimates are full, complete, and accurate. (PCC 10120)</i></p> <p><i>Project is "Draft Contract Ready" when all boxes are checked. Section 6 will be completed by DES OE or by DOE for AADD when the project is deemed to be "Draft Contract Ready"</i></p> <table style="width:100%; border-collapse: collapse;"> <tr> <td style="width:5%;">6a</td> <td>Plans prescribe the details for completion of the work, including details for items not covered by the Standard Plans.</td> </tr> <tr> <td>6b</td> <td>Plans conform to Plans Preparation Manual.</td> </tr> <tr> <td>6c</td> <td>Specifications prescribe the details for the construction, completion, and payment of the work.</td> </tr> <tr> <td>6d</td> <td>Specifications conform to the RTL Guide.</td> </tr> <tr> <td>6e</td> <td>Estimates submitted in Basic Engineering Estimating Systems (BEES).</td> </tr> <tr> <td>6f</td> <td>Estimates prescribe all the details for the construction, completion, and payment of the work.</td> </tr> </table>	6a	Plans prescribe the details for completion of the work, including details for items not covered by the Standard Plans.	6b	Plans conform to Plans Preparation Manual.	6c	Specifications prescribe the details for the construction, completion, and payment of the work.	6d	Specifications conform to the RTL Guide.	6e	Estimates submitted in Basic Engineering Estimating Systems (BEES).	6f	Estimates prescribe all the details for the construction, completion, and payment of the work.									
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7 Traffic Operations:		<p><i>All Traffic Management Plan (TMP) requirements have been included in the PS&E. (Deputy Directive 60, Transportation Management Plan Guidelines and Project Development Workflow Tasks Manual (WFTM) For Service Level 1 projects, provide written documentation to DES-OE that this requirement has been met. Provide the name of the District Traffic Manager or Traffic Management Plan Manager and the date of verification. (RTL Guide)</i></p> <table style="width:100%; border-collapse: collapse;"> <tr> <td style="width:70%;"></td> <td style="width:15%; text-align: center;">Target Date</td> <td style="width:15%; text-align: center;">Actual Date</td> </tr> <tr> <td style="border-bottom: 1px solid black;">District Traffic Manager or TMP Manager: _____</td> <td style="border-bottom: 1px solid black;"> </td> <td style="border-bottom: 1px solid black;"> </td> </tr> <tr> <td style="border-bottom: 1px solid black;">Date of verification: _____</td> <td style="border-bottom: 1px solid black;"> </td> <td style="border-bottom: 1px solid black;"> </td> </tr> </table>		Target Date	Actual Date	District Traffic Manager or TMP Manager: _____			Date of verification: _____														
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Plans, Specifications & Estimate (PS&E) Submittal

RTL Certified by: _____	(Print Name)
_____	<input type="text"/>
Signature Of Project Engineer	Date
RTL Approved by: _____	(Print Name)
_____	<input type="text"/>
Signature Of Project Engineer's Supervisor	Date

Affix or attach registration seal here.

1. Drafts must be submitted with PE signature.
2. Finals must be submitted with the PE Signature and Seal and the PE's supervisors signature.
3. For the purposes of the RTL Certification, the PE is interpreted to mean the engineer signing and sealing the Title Sheet of the Plans.

Notes:

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