

SECTION 8 DIVISION ENGINEERING SERVICES-OFFICE ENGINEER TASK MANAGEMENT

8.1 PURPOSE

This section describes, how to set up project work plans for PS&E Submittal, Ready to List, Advertisement for bids, Bid Opening, Award and Approval, factors that affect schedules, monitoring tools, and roles and responsibilities of staff.

8.2 BACKGROUND

DES-OE staffing and the ability to deliver district projects are dependent on district allocations. Allocations are dependent on the workload and schedules in project work plans. Executing the work plan requires close coordination between district and DES-OE staff.

8.3 RESPONSIBILITIES

8.3.1 DISTRICT DIRECTOR AND DEPUTY DISTRICT DIRECTOR FOR PROGRAM, PROJECT, AND RESOURCE MANAGEMENT

- Allocates sufficient resources to DES-OE to perform requested services
- Requests Risk Advertisement services as needed
- Sets priority for DES-OE assignment of District/Region projects

8.3.2 PROJECT MANAGER

- Negotiates work agreements with DES-Project Coordination Engineers (PCE) or DES-OE Task Manager to develop project work plans
- Negotiates Contract for Delivery (CFD) schedules with DES-OE Task Manager prior to commitment to the Director
- Uses the current DES-OE Workload and Duration Estimating Table to input DES-OE resources and schedules into the Department's workload management tool
- Uses procedures contained in this guide to secure project delivery services with DES-OE

- Before submitting a project to DES-OE, please verify Project E-FIS ID number and Phase 1 is open and resourced for timesheet charging from Milestone 380 (PS&E) until one month after Milestone 500 (Approve Contract). If a project is split or combined, please notify DES-OE Task Manager immediately for new Project E-FIS ID. Please do not close Phase 1 until one month after Milestone 500 (Approve Contract)
- Monitors project progress and is proactive in resolving District and HQ issues
- Submits constraint documentation in a timely manner to meet requested schedules
- Submits Funding Package and secures authorization, allocation and approval of funds for advertising and awarding contracts in an amount sufficient to cover the capital cost of construction

8.3.3 DIVISION ENGINEERING SERVICES-OFFICE ENGINEER TASK MANAGER

- Develops DES-OE workload and duration estimating tools
- Develops workload projections and resource needs
- Negotiates and validates DES-OE fiscal year resource allocations
- Monitors and reports on project delivery
- Monitors and reports on DES-OE activities (start, finish, percent complete, expended hours and hours to complete)
- Negotiates changes to project schedules and resources
- Negotiates schedules and resources for critical projects

8.3.4 DES-OE SCHEDULING ENGINEER

- Receives PS&E submittals and verifies completeness
- Validates completion of advertising requirements
- Sets advertising and bid opening dates

8.4 ESTABLISHING MILESTONE TARGET DATES

DES-OE's ability to deliver projects to RTL, Advertisement, and Award is dependent on the districts providing resources and activity durations. Project Managers should use the current DES-OE Workload and Duration Estimating Table (<http://www.dot.ca.gov/hq/esc/oe/rtl/ResourceTable.pdf>) or Scheduling Tool (http://oe.dot.ca.gov/project_control_and_support/task_management/DES-OE-Scheduling-Tool.xls) when developing project work plans (schedules and estimated resource hours by activity and cost center). DES-OE Milestones and Activities are described in the WBS activities 260 and 265 in the *Work Plan Standards Guide* (<http://pd.dot.ca.gov/pm/pmweb/index.asp>). Districts should schedule target RTL dates such that the number of projects and dollars are spread evenly through the quarters of the fiscal year. This will result in more bidder competition and lower bids. DES-OE also recommends that districts not schedule target RTL dates during the Holidays and the last week of each quarter. Projects must be RTL and funded to be advertised. Funding allocations and approvals should be timed concurrently with RTL target dates.

Project Managers should also consider:

- ideal begin construction date
- funding source and availability
- ability to meet Best Bid Standards for Construction Contracts
- Whether the district will deliver the project using the AADD or AAOE process. Make the decision by consulting with your DOE in advance of the January 9 lockdown. Set durations and provide resources to DOE and DES-OE accordingly.

8.4.1 CONTRACT FOR DELIVERY (CFD)

The CFD is an annual contract signed between the District Director and the Caltrans Director for fiscal year project delivery. Project Managers should validate that their project milestones conform to the DES-OE Workload and Duration Estimating table before the CFD is signed.

8.4.2 MINOR A PROJECTS

Schedule Minor A projects to meet an optimum begin construction date. Minor A projects and projects partially funded with Minor B funding must be awarded before the end of the fiscal year in which they are programmed.

At a minimum, use the DES-OE Workload and Duration Estimating Norms or Scheduling Tool in Section 8.4 and work backwards from June 30 to schedule delivery. Be aware of CTC vote requirements if applicable. If you are applying federal funds to the project, be sure to allow for adequate processing time for the E-76 FHWA authorization process through HQ Division of Budgets, Office of Federal Resources.

Deliver the program early to avoid failures due to DES-OE processing capacity issues, addenda delay, or contract award issues.

Late submittals contribute to unbalanced delivery and results in poor bid competition, higher bids, and the potential to miss the construction season.

8.4.3 MAJOR MAINTENANCE PROJECTS

Major Maintenance project schedules should be developed to meet an optimum begin construction date. Major Maintenance projects must be awarded before the end of the fiscal year in which they are programmed.

There are two scenarios applicable to Major Maintenance projects:

- Fully funded projects are awarded in the current fiscal year. Major Maintenance projects submitted earlier than January 1st shall be fully funded.
- Dollar (\$1) projects are awarded in the current fiscal year, with construction usually occurring in the following fiscal year after adoption of the State budget. However, construction may begin in the current fiscal year if funds become available and the Department and the Contractor mutually agree to begin construction work.
- Submittals for Major Maintenance projects using \$1 language will not be accepted before January 1st and will not be advertised earlier than the last week of January without an approved risk advertisement request. See Section 8.5.9.

The district shall indicate the funding method to be used (either fully funded or \$1 project) on the *Budget Verification of Highway Maintenance Funds* form.

At a minimum, use the DES-OE Workload and Duration Estimating Norms or Scheduling Tool in Section 8.4 and work backwards from June 30 to schedule delivery. If you are applying federal funds to the project, be sure to allow for adequate processing time for the E-76 FHWA's. Authorization process through HQ Division of Budgets, Office of Federal Resources.

Deliver the program early to avoid failures due to DES-OE processing capacity issues, addenda delay, or contract award issues.

Late submittals contribute to unbalanced delivery and results in poor bid competition, higher bids, and the potential to miss the construction season.

Major Maintenance Projects advertised before adoption of the State budget for that year may be advertised at risk pending budget approval and special contract language.

8.5 PROJECT SCHEDULE CONSIDERATIONS

8.5.1 EARLY SUBMITTAL

Districts are encouraged to submit projects early. If staff becomes available in DES-OE, these projects may be assigned early for processing.

8.5.2 MAJOR REVISIONS

See Section 11.4.5

8.5.3 LATE SUBMITTAL

For AAOE projects that miss a CFD PS&E target date, DES-OE will not commit to meet the target RTL date. The district must renegotiate the schedule with the DES-OE Area Senior and update the schedule in the Department's workload management tool and the CFD.

8.5.4 NOT IN THE DELIVERY PLAN

DES-OE will not work on Major projects if they are not listed in the Division of Project Management PDWD Delivery Plan. District must obtain approval for DES-OE to proceed with project processing from the Chief, Office of Project Delivery and Workload and Development, Division of Project Management.

8.5.5 PS&E DISTRIBUTION

Districts are also required to submit PS&E packages to other units outside of DES-OE. See Section 10.3. These submittals are a critical component of the funding process. Failure to make required submittals will delay funding allocations and advertisement of the project.

8.5.6 CONTINUING DISTRICT COMMITMENT TO PROJECT

The District's delivery responsibilities continue after PS&E submittal. Timely district response to draft contract comments, clearing of outstanding constraints, securing funds sufficient for advertising, timely submittal of addenda or addenda requests and District recommendation for award are necessary to keep the project on schedule.

8.5.7 PROJECT FUNDING

Department policy and Federal Law (if federally funded) requires that districts obtain CTC fund allocation and Federal Fund authorization before contract advertisement.

Instruction for processing CTC fund allocation can be found on Transportation Programming's Office of Capital Improvement Programming Web site (http://www.dot.ca.gov/hq/transprog/allocation_new.htm).

Instructions for securing Federal Fund authorization can be found at the Headquarters Division of Budgets, Office of Federal Resources Web site (http://onramp/hq/budgets/federalresources/library/FEDERAL%20ELIGIBILITY_Final.pdf).

A flow chart of the process that after RTL districts are responsible to follow to secure project funding is on the Division of Engineering Services, Office Engineer Web site (http://oe.dot.ca.gov/project_control_and_support/scheduling/flowcharts/rtl_to_adv_flowchart.pdf).

8.5.8 ASSIGNMENT OF PROJECTS

There are several periods during the year when the workload in DES-OE exceeds its capacity to meet target milestone completion dates for all projects. When these peak workload periods occur, projects that have not been scheduled through the Department's workload management tool are processed in accordance with statewide priorities. DES-OE will keep its commitment to deliver projects that are adequately resourced and meet their CFD PS&E submittal target dates.

8.6 PROJECT MONITORING TOOLS

8.6.1 WEEKLY STATUS REPORTS

DES-OE produces and posts a Weekly Status Report that provides scheduling information to district and HQ managers for projects being processed by DES-OE. Project status information is shown for all PS&Es currently being processed by DES-OE.

8.6.2 DIVISION ENGINEERING SERVICES-OFFICE ENGINEER INTERNET INFORMATION

The DES-OE Internet site contains information on currently advertised and awarded roadway and structure projects on the California Highway System. This information consists of complete advertised sets of plans, special provisions, addenda, Federal Wages, Standard Plans, Standard Specifications, Asphalt Price Index, Construction Cost Index, Historical Cost Data, Bid Results, Plan Holders Lists, Bid Locations, Bidder Inquiries, and Award status.

8.6.3 DIVISION ENGINEERING SERVICES-OFFICE ENGINEER PROJECTS DATABASE

The DES-OE Projects Database, accessible via FileMaker Pro, contains real-time status information for projects currently being processed by DES-OE. District staff with FileMaker Pro or Internet Explorer can view a live Project Status report using the guidance at this Web site (http://oe.dot.ca.gov/project_control_and_support/scheduling/manuals_guides/view-OE-Project-Status.docx).