



Addendum Preparation Process

ESC-OE

Caltrans

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Introduction

An addendum is a change in contract requirements for an advertised project for which bids have not been opened.

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Topics of Discussion

- Initiation of Addenda
- ESC-OE Review and Approval of District Requested Addenda
- Processing Addenda
- Preparing Addenda
- Methods of Issuing Addenda
- Verification on Receipt of Addenda
- Records Keeping

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Initiation of Addenda



- District Initiated Addenda
 - To be requested in writing.
 - Processed through the DOE/ROE.
 - Signed by the Dist. Div. Chief (Deputy).
 - See RTL Guide for requirements.

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Initiation of Addenda



- ESC-OE Initiated Addenda
 - Fed Wage Rates.
 - New Regulatory Requirements.
 - Reproduction Errors.
 - Etc.

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ESC-OE Review and Approval of District Requested Addenda



- Can the project be bid, built and properly administered without the proposed revisions?
Or
- Could it be done more effectively by CCO?
- If not, propose issuing the addendum to the Senior who recommends approval and then process the addendum.

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Processing Addenda

- **Things to consider when issuing an addenda:**
 - Accumulate requests and issue as one addendum when possible, unless the addendum affects the bid.
 - Check if there is an upcoming Fed Min Wage Rate Change addendum and do it as one addendum.

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Processing Addenda

(Continued)

- Consider changing the BO date when an addendum is being issued close to it. Coordinate it with the Scheduling Engineer and District to make sure the proposed BO is acceptable and appropriate.
- Postponement of the BO is mandatory if the addendum is being issued less than 72 hours prior to BO.
- Contact the Addenda Unit right away when it has been recommended to issue the addendum.

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Processing Addenda

(Continued)

- All the Bidders must be contacted by phone when postponing a BO less than 24 hours prior to the current BO. Contact the Addenda Unit for a copy of the Bidders List. In addition, Addenda Unit will provide a copy of the “Phone Addendum Notice” form for use in calling the Bidders. **Also inform Contracts Engineering and Awards Units of the postponement.**
- Now you're ready to prepare your addendum letter, attachments and plans.

Phone Addendum Notice

September 17, 1999

Caller's Name _____ Bid Date: **November 9, 1999** \$207,000,000
 Road: **04-CC,Sol-80-22.0/22.7,0.0/1.8**

Replace Westbound Carquaine Bridge and Overhead as shown on the plans.

What to Tell Them:
 1. Give them your name
 2. Tell them you are representing Caltrans
 3. You are calling in regard to Contract No. **04-013014**
 4. The reason you are calling _____

 5. Ask them if the fax number is correct. If not record correct number.

BIDDERS LIST	Contact Person	Date/Time
Firm Name		
AGRA FOUNDATIONS Phone No. 510 233 2471	Fax 510 233 7186	
AGRA FOUNDATIONS INC Phone No. 425 353 5506	Fax 425 353 4151	
amcken corp Phone No. 415 567 2783	Fax 415 567 2626	
AMERICAN BRIDGE CO Phone No. 412 562 4400	Fax 412 562 4401	
AMERON Phone No. 209 836 5050	Fax 209 832 2115	
BALFOUR BEATTY CONST INC Phone No. 707 562 6800	Fax 707 562 6901	
BAT CONST Phone No. 250 873 1222	Fax 250 873 1236	



PROCESSING ADDENDUM LETTER AND ATTACHMENTS

STEPS:

1. Determine the addendum issue date with your Senior but not later than the Fed Min Wage addendum, if any.
2. Contact the Addenda Unit if the **date** determined is feasible (because of workload).
3. Contact Plans Coordination Unit (Carol Christian) to retrieve any affected plans from repro whether to be reproduced or not.

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PROCESSING ADDENDUM LETTER AND ATTACHMENTS

STEPS:

4. Notify Scheduling Engineer for any BO changes. Reserve the next available date.
5. Redline the affected plans and submit it to Drafting Services (DS). DS will provide a reduce copy and the original full scale plans.
6. Draft the addendum letter and prepare the attachments and plans. Forward the addendum letter, attachments (specs & BEES) and the plans (if is being attached) to the Addenda Unit.

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PROCESSING ADDENDUM LETTER AND ATTACHMENTS

STEPS:

7. Addenda Unit will finalize the addendum letter and return to the SE and Senior for their initials and obtaining the signature of the Chief of Office of PS&E.
8. SE to place the "addendum request" in the Job File, update the estimate in the Job File and return the final revised original plans (when it was not attached) to Plans Coordination Unit.

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PROCESSING ADDENDUM LETTER AND ATTACHMENTS

STEPS:

9. Addenda Unit will submit the final signed addendum letter and attachments to repro.
10. Addenda Unit will issue the addendum to all contract book holders.
11. Plans Counter request repro to reproduce more "NOTICE TO CONTRACTORS AND SPECIAL PROVISIONS" with the addendum letter at the front.

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PROCESSING ADDENDUM LETTER AND ATTACHMENTS

STEPS:

12. Addenda Unit will forward a copy of the addendum with attachments to the SE and Senior.
13. SE to place a copy of the addendum letter in the Job File.

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HOW TO PREPARE THE ATTACHMENTS

ADDENDUM LETTER:

When preparing an addendum, use the appropriate form letter located in the folder titled "Addenda Letters" under the folder titled "LETTERS" in the HQ OE FileServer. There are 3 form letters for cancellation, postponement and standard (includes the format for revisions to the Plans, Specs and/or Estimate which are included in your package.

Carol will come up NOW and discuss the "FORM LETTERS" available in the Server.

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MASTER ADDENDUM FORM LETTER

Double Click HERE **to merge**

DEPARTMENT OF TRANSPORTATION
1775 L Street, 2ND Floor
 SACRAMENTO, CA 95816

(Date) _____

09-Contract No.
 ACNH-P395170/E
 Federal Aid No. 2-
 Federal Aid No. 3-
 Addendum No. _____

DO NOT DELETE The Addenda Unit will edit.
Addendum No. _____
 (Date)

09-Contract No.
 ACNH-P395170/E
 Federal Aid No. 2-
 Federal Aid No. 3-

Edit as appropriate.
Refer to the "ADDENDA PREFIX" and "ITEMS" of the "REVISED" updated estimate replacement sheets. For ALL estimate revisions. The contractor's Estimate (Sheet 01) must be updated with the (REVISED) estimate sheets. The (REVISED) estimate sheets must be used in the bid.

Use the paragraph below only if the Handout is included

ATTACHED ARE _____ INFORMATION, PERMIT AND AGREEMENT _____

ATTACHED ARE THE CONTRACT SPECIFICATIONS AND THE CONTRACTORS' INQUIRIES TO CONTRACTORS' INQUIRIES UNLESS INCORPORATED INTO A FORMAL ADDENDUM TO THE CONTRACT. AND NOT A PART OF THE CONTRACT AND ARE PROVIDED FOR THE CONTRACTORS' CONVENIENCE ONLY. IN SOME INSTANCES, THE QUESTION AND ANSWER MAY REPRESENT A SUMMARY OF THE MATTERS DISCUSSED RATHER THAN A WORD-FOR-WORD REVISION. THE AVAILABILITY OR USE OF INFORMATION PROVIDED IN THE RESPONSES TO CONTRACTORS' INQUIRIES IS NOT TO BE CONSTRUED IN ANY WAY AS A WAIVER OF THE PROVISIONS OF SECTION 2-6.01 OF THE STANDARD SPECIFICATIONS OR ANY OTHER PROVISIONS OF THE CONTRACT. THE PLANS, STANDARD SPECIFICATIONS OR SPECIAL PROVISIONS SHALL NOT TO EXCLUDE THE CONTRACTOR FROM FULL COMPLIANCE WITH THESE CONTRACT REQUIREMENTS. BIDDERS ARE CAUTIONED THAT SUBSEQUENT RESPONSES OR CONTRACT ADDENDA MAY AFFECT OR VARY A RESPONSE PREVIOUSLY GIVEN.

INDICATE RECEIPT OF THIS ADDENDUM BY FILLING IN THE NUMBER OF THIS ADDENDUM IN THE SPACE PROVIDED ON THE SIGNATURE PAGE OF THE PROPOSAL.

Submit bids in the Proposal and Contract book you now possess. Holders who have already mailed their book will be contacted to arrange for the return of their book.

Inform subcontractors and suppliers as necessary.

This paragraph will be edited by the addenda unit.

This office is sending this addendum by (confirmed facsimile) (UPS overnight mail) to (Proposal and Contract) (all) book holders to ensure that each receives it. If you are not a Proposal and Contract book holder, but request a book to bid on this project, you must comply with the requirements of this letter before submitting your bid.

Sincerely,
 NICK YAMBAO, Chief

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EXAMPLE OF AN ADDENDUM LETTER

DEPARTMENT OF TRANSPORTATION
1775 L Street, 2ND Floor
 SACRAMENTO, CA 95816

August 11, 1999

12-Obj 1-15 & 18.4
 12-066914
 ACSTP-4001(429)E
 Addendum No. 3

Dear Contractor:

This addendum is being issued to the contract for construction on State highway in ORANGE COUNTY IN LAGUNA BEACH FROM 0.1 km NORTH OF IRVINE COVE DRIVE UNDERCROSSING TO MYRTLE STREET.

Submit bids for this work with the understanding and full consideration of this addendum. The revisions declared in this addendum are an essential part of the contract.

Bids for this work will be opened on August 26, 1999. The original bid opening date was previously postponed indefinitely under Addendum No. 2 dated July 27, 1999.

This addendum is being issued to set a new bid opening date as shown herein and revise the Project Plans, the Notice to Contractors and Special Provisions, the Proposal and Contract, and the Federal Minimum Wages with Modification Number 5 dated August 6, 1999. A copy of these wages are available on the Internet Site at http://trsc.dot.ca.gov/office_engineer/project_status/arb.html.

On Project Plan Sheet 2, the following is added as note 7 under the "NOTES":

"7. ALL REFERENCES TO "ASPHALT CONCRETE (TYPE G1)" IN ALL THE PROJECT PLAN SHEETS IS REVISED TO "ASPHALT CONCRETE (TYPE G-MB)".

In the Special Provisions, Section 5-1.11, "COMPENSATION ADJUSTMENTS FOR PRICE INDEX FLUCTUATIONS," the item code and description for the second item in the table under the first paragraph is revised as follows:

130163 RUBBERIZED ASPHALT CONCRETE (TYPE G-MB)

In the Special Provisions, Section 10-1.13, "ASPHALT CONCRETE," is revised as attached.

In the Special Provisions, Section 10-1.14, "ASPHALT CONCRETE (TYPE G1)," is revised to Section 10-1.14, "ASPHALT CONCRETE (TYPE G-MB)" as attached.

In the Proposal and Contract, the Engineer's Estimate Item 26 is revised as attached.

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To Proposal and Contract book holders:

- REPLACE PAGE 4 OF THE ENGINEER'S ESTIMATE IN THE PROPOSAL WITH THE ATTACHED REVISED PAGE 4 OF THE ENGINEER'S ESTIMATE. THE REVISED ENGINEER'S ESTIMATE IS TO BE USED IN THE BID.
- INDICATE RECEIPT OF THIS ADDENDUM BY FILLING IN THE NUMBER OF THIS ADDENDUM IN THE SPACE PROVIDED ON THE SIGNATURE PAGE OF THE PROPOSAL.
- Submit bids in the Proposal and Contract book you now possess. Holders who have already mailed their book will be contacted to arrange for the return of their book.
- Inform subcontractors and suppliers as necessary.

This office is sending this addendum by UPS overnight mail to Proposal and Contract book holders to ensure that each receives it.

If you are not a Proposal and Contract book holder, but request a book to bid on this project you must comply with the requirements of this letter before submitting your bid.

Sincerely,

ORIGINAL SIGNED BY

NICK YAMBAO, Chief
Office of Plans, Specification:

&

Estimates
Division of Office Engineer

Attachments

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HOW TO PREPARE THE ATTACHMENTS

PLAN REVISIONS:

-Minor revisions may be handled by instructions in the addendum letter.

-Half-sized plan sheet revisions and new sheets are issued as attachments with the addendum letter.

_Changes must be identified on the plans by the inverted triangle ▽ with the addendum number inside.

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HOW TO PREPARE THE ATTACHMENTS

PLAN REVISIONS:

- The statement “▽ REVISED (ADDED, OR REPLACED) PER ADDENDUM NO. # DATED SEPTEMBER 22, 1999” must be added on the bottom of the plan sheet.
- The inverted triangle ▽ must be placed by the revisions if there are just few. It should be placed on the top right corner beside the project info box for a replaced or added sheets.

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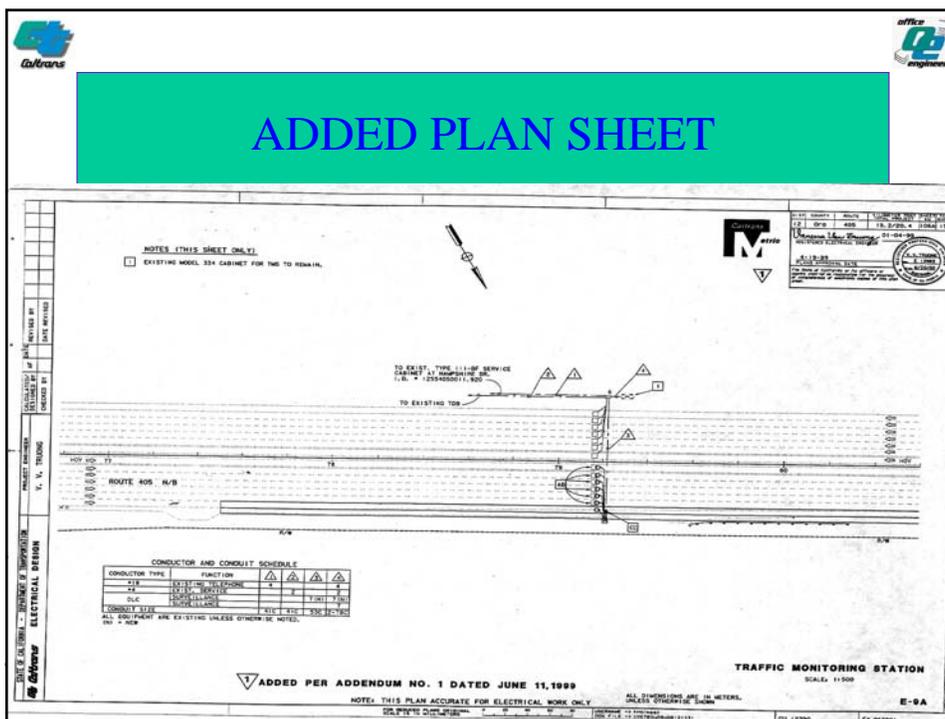


HOW TO PREPARE THE ATTACHMENTS

PLAN REVISIONS:

- After you are done with your redline, submit it to Drafting Services who in turn will provide you a reduced copy and a full size. Make sure you tell them that it is an addendum.

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HOW TO PREPARE THE ATTACHMENTS

SPECIFICATION REVISIONS:

- The following example on Slide # 18 should be followed how to state the revisions in a Section of the Standard Special Provisions.
- Consider reissuing the Section if it has major or complex revisions i.e. a Section containing 25 paragraphs with tables and 10 of the paragraphs through out the section are being revised.



HOW TO PREPARE THE ATTACHMENTS

ESTIMATE REVISIONS:

- State in the addendum letter which items are being revised, added or deleted.
- The affected sheets must be attached to the addendum letter.
- If an item is being added and there is an item for Mobilization, the mobilization item must be deleted and added as the last item.

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HOW TO PREPARE THE ATTACHMENTS

ESTIMATE REVISIONS:

- A “one time” Item Code must be obtained from Contracts Engineering when adding a new non-standard item.
- Update the BEES in the Job File as soon as the addendum is finalized. Use **blue pen** or other color from red or green. Check the Voted Funds limit when there’s a major increase in the estimate. Update the DB to reflect the new cost estimate.

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**ENGINEER'S ESTIMATE
12-066914**



Item Code	Item	Unit of Measure	Estimated Quantity	Unit Price	Item Total
21 (S)	153135 COLD PLANE ASPHALT CONCRETE PAVEMENT (75 MM MAXIMUM)	M2	252300		
22	153214 REMOVE CONCRETE CURB	M	400		
23	153246 REMOVE CONCRETE (MISCELLANEOUS)	M3	26		
24	190101 ROADWAY EXCAVATION	M3	250		
25	390180 ASPHALT CONCRETE (TYPE B)	TOWN	420		
26	390163 RUBBERIZED ASPHALT CONCRETE (TYPE G-MB)	TOWN	860		
27	391003 PAVING ASPHALT (PAINT BINDER)	TOWN	29		
28	394002 PLACE ASPHALT CONCRETE (MISCELLANEOUS AREA)	M2	170		
29	394040 PLACE ASPHALT CONCRETE DIKE (TYPE A)	M	1390		
30	394044 PLACE ASPHALT CONCRETE DIKE (TYPE C)	M	47		
31	394049 PLACE ASPHALT CONCRETE DIKE (TYPE F)	M	380		
32 (F)	510502 MINOR CONCRETE (MINOR STRUCTURE)	M3	26		
33	566011 ROADSIDE SIGN - ONE POST	EA	3		
34	568001 INSTALL SIGN (STRAP AND SADDLE/BRACKET METHOD)	EA	2		
35	641134 450 MM PLASTIC PIPE	M	390		
36	641136 600 MM PLASTIC PIPE	M	120		
37	650079 900 MM REINFORCED CONCRETE PIPE	M	26		
38	016213 375 MM CORRUGATED STEEL PIPE (2 MM THICK)	M	0.5		
39	721008 ROCK SLOPE PROTECTION (LIGHT, METHOD B)	M3	2.5		
40	729010 ROCK SLOPE PROTECTION FABRIC	M2	5		

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REVISED PER ADDENDUM NO. 3 DATED AUGUST 11, 1999



**METHODS OF ISSUING ADDENDA,
VERIFICATION ON RECEIPT OF
ADDENDA, RECORDS KEEPING, AND
MISCELLANEOUS ISSUES
(BY CAROL FISHER)**