APPENDIX F RTL CERTIFICATION FORM

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Ready to List (RTL) Certification Form

Draft (No.)	
Final	

1 Project Identification:	District-Co.-Rte.-KP:		District EA :	
	FHWA (Delegated/High Profile)		Secondary EA :	

Enter project identification data as indicated. See the Project Development Procedures Manual (PDPM), Chapter 2, Figure 2, for determination of FHWA oversight. Note that the designation "State Authorized" is now changed to "Delegated," and the designation "Full Oversight" is now changed to "High Profile"

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. *Provide a copy of the R/W certification to DES-OE.*		
	2b Cert. 2	All property has been acquired and/or the State has the right to occupy or use. *Provide a copy of the R/W certification to DES-OE.*		
	2c Cert. 3W	Right of way process is in order, but acquisition or Orders for Possession will not be completed until *(from Right of Way Cert).* A work around has been approved to avoid owner-caused delays. **Updated Certification Target :** Cert Target No: ____ Cert Target Date: _____ *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 Section 3.6.3)*		
	2d Cert. 3	Right of way process is in order, but acquisition or Orders for Possession will not be completed until *(from Right of Way Cert).* Project cannot bid open until certified at the 1, 2, or 3W Level. **Upgraded Certification Target :** Cert Target No: ____ Cert Target Date: _____ *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 Section 3.6.5)*		

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 12 of the special provisions and a copy of clauses in Microsoft Word format.*

			Target Date	Actual Date
	2e Railroad Clearance Requirements Satisfied:	Company :		
	☐ *Short Clauses Attached* ☐ *Long Clauses Attached*	Date :		
		Amount :		
		C&M Agreement/Service Contract No.		

☐ **No Railroad Involvement**

3 Environmental: ***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 Section 1.3.3)*

	Target Date	Actual Date
☐ 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.		

Environmental Certification **Document Date:** _____

Environmental Certification **Expiration Date:** _____

4 Design: ***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).***

Project has "Design Standard Approval" when either 4a or 4b is checked.

☐ 4a **Design equals or exceeds minimum mandatory and advisory standards.** *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 Section 1.3.4)*

☐ 4b **Design does not equal or exceed minimum mandatory and/or advisory standards and has approved exceptions for nonstandard features. If required under the High Profile Project Agreement, the FHWA approval date for the design exception is** .
If box is checked and if required under the provisions of the High Profile Project Agreement with FHWA, a date is required for RTL. Not applicable for CAPM and HM projects. (HDM; Design Memos; Design Information Bulletin. RTL Guide Section 4)

4c **Project has "Statewide Design Policy Compliance" when the following boxes are checked.**
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.

A+B Bidding Policy satisfied. (Memo: Guidelines for Use of A+B Bidding Provisions)
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 6.10). If A+B bidding is used on the project then Road User Cost must be provided.

- ◯ Project does not meet criteria for use, A+B Bidding not used.
- ◯ Project does not meet criteria for use, but has HQ approval for A+B bidding and is used.
- ◯ Project meets criteria for use and A+B Bidding is used.
- ◯ Project meets criteria for use, but has HQ approval for exception and A+B Bidding is not used.

Road User Cost _____

Buy America " Foreign Material" Waiver requirements satisfied. (23CFR 635) *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.*

- ◯ Waiver required and included.
- ◯ Not applicable.

Constructability Review requirements satisfied: (Memo: Guidance on Constructability Reviews)
Use radio button menu. Check mark will be generated when policy requirements are met or project does not meet policy criteria. All major projects (except for 100% locally funded projects) shall include the use of formal Constructability Reviews (CRs) per policy.

- ◯ Project meets criteria and all required constructibility reviews have been performed, and issues resolved.
- ◯ Project meets criteria, but all required constructibility reviews have not been performed. Exception granted.
- ◯ Project does not meet criteria.

4 Design (Continued):

Cross-section Policy requirements satisfied. (Memo: Cross-Section Preparation and Delivery)
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.

Format:

◯ Project does not meet criteria for use.
◯ Project meets criteria for use, cross sections provided, and verified by Duty Senior.
◯ Project meets criteria for use, but has HQ approval for exception and cross sections are not provided.

Experimental or Research Design Policy requirements satisfied. (Construction Evaluated Experimental Feature Program: PDPM Chapter 14) *Use radio button menu. Check mark will be generated when policy requirements are met. Not applicable for CAPM and HM projects.*

◯ Project has experimental features and a construction evaluated project workplan has been approved and funded.
◯ Not applicable.

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)
Use radio button menu. Check mark will be generated when policy requirements are met.

◯ Hazardous waste identified and cleanup completed.
◯ Project has an exception to include cleanup in the work.
◯ 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.

High/Low Risk Utilities Policy requirements satisfied. (Policy on High and Low Risk Underground Facilities; PDPM Appendix LL) *Submit any approved exceptions to the policy with the PS&E submittal.*

SSP S5-280, "Project Information" is included. (Memo: New Standard Special Provisions S5-280, "Project Information")

Pedestrian Facilities involved and comply or not applicable. (Memo:Approval and Exception Process for Design Informational Bulletin 82-03)

◯ Pedestrian facilities involved and complies with DIB.
◯ Pedestrian facilities not involved.

Storm Water Data Report updated and approved on . (Memo: Caltrans Storm Water Quality Handbook - Project Planning and Design Guide)
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.

Certification of Project Cost Estimate requirements have been met.
(Memo: Certification of Project Cost Estimate) *Use radio button menu. Check mark will be generated when applicable requirements are met, a date is required for RTL. A copy of the Certification of Project Cost Estimate must be provided to DES-OE per Rick Land's memorandum dated December 14, 2005.*

◯ Not Applicable for project with an Engineer's Estimate less than or equal to $5 million.
◯ The Engineer's Estimate is over $5 million.
The District Director's certification that the contract cost is complete and accurate, reflecting the true scope of the work to be performed and representative of the most current market trends is dated_____.

4d **Serious or critical water shortage and water source commitment requirements have been met.**
(HDM Chapter 900; PDPM Chapter 29)

☐ No serious or critical water shortage.
☐ Serious or critical water shortage, water source provided written commitment to supply water for construction project.
☐ Serious or critical water shortage, water source provided written commitment for new planting and irrigation work.

4 Design (Continued):

4e **Project requires Agency Agreement(s).**
Identify the agency, provide the date the agreement was issued, and show the dollar amount. Submit copy of fully executed agreements with the PS&E submittal. (Streets and Highways Code Section 1214, PDPM Chapter 13, 16, Cooperative Agreement Manual) Checkmark will be generated when all listed agreements are executed.

☐ None on this project.

Agency:	Doc. No.	Effect. Date	Expiration Date	Construction Capital Dollars	Target Date	Date Executed

Explanation for Coops not executed: _____

5 FHWA Approval:

Project may require FHWA approval when it involves Federal funds or is on a Federal System regardless of funding source. (Pursuant to stewardship and delegation agreements PDPM Chapter 2, Section 7, DES Decision Document "Include FHWA Design Approval in RTL," dated June 2003) (RTL Guide Section 1.3.5)

Project meets all applicable Federal requirements. FHWA Design Approval Date _____.
For full Federal Oversight 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.

○ Project has no applicable Federal requirements.
○ Project has Federal requirements and has all necessary approvals.

Public Interest Finding (PIF) required and approved, or not required. *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/coretoc.htm. See Appendix B, "Forms and Miscellaneous Information," for the PIF form.) The approved PIF should be submitted at the time of PS&E submittal. Indicate which of the following are parts of the finding.*

☐ Not Applicable
☐ Waiver to Buy America Reqs (23CFR635.410)
☐ Experimental Contracting Methods
☐ Informal Bid (Less Than 3 Weeks Advertisement)
☐ Use of Force Account (Day Labor)
☐ Use of Publicly Owned Equipment
☐ Use of State-Furnished Materials (23CFR635.407)
☐ Mandatory Use of Borrow/Disposal Sites (23CFR635.407)
☐ Use of Patented/Proprietary Materials (23CFR635.411)
☐ Other:

6 Plans, Specifications, & Estimate:

Plans, Specifications, & Estimates are full, complete, and accurate. (PCC 10120)

Project is "Draft Contract Ready" when all boxes are checked. Section 6 will be completed by DES OE when the project is deemed to be "Draft Contract Ready".

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.

7 Traffic Operations:

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 Section 1.3.5)

Target Date	Actual Date

District Traffic Manager or TMP Manager: _____

Date of verification:

RTL Certified by:	_____	
	Project Engineer	Date
RTL Approved by:	_____	
	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: