



# CEI Procedures Guide

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Maintained by Austin District Construction Office (DCO)

Summary of changes are at the end of the guide and highlighted in green.

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## **Preface**

These guidelines are maintained by the District Construction Office (DCO) to serve as a quick reference to all CEI consultants for the Austin District. The purpose is to produce a more standardized approach for Austin District.

## **PEPS External Website**

<https://www.txdot.gov/business/consultants/architectural-engineering-surveying.html>

## **Forms and Manuals**

Use the below contact points to obtain forms

### **Contact the TxDOT project manager:**

- Form 318 Daily Report on Law Enforcement
  - This form is printed on triplicate and can be provided by the Area Office

### **Contact Wendy Fields Wendy.Fields@txdot.gov for the following forms:**

- Occupational Safety Manual <http://crossroads.org/safety/policies/default.htm>
- Handbook of Safe Practices <http://crossroads.org/safety/policies/default.htm>
- Form 316 Daily Report of Force Account
- Form 599 Barricade Inspection
- Form 1828b Information Resources Security Compliance and Confidentiality Agreement
- Form 1914 Request for Payment of MOH Summary Page
- Form 1915 Request for Payment of MOH
- Form 1936 Local Area Network (LAN) Access Request
- Form 1980 Request for External Access to TxDOT Information System
- Form 2146 Change Order Instructions
- Form 2182 Commercially Useful Function (CUF) Form
- Form 2220 Labor Standards Review
- Form 2526 SiteManager/Electronic Project Records System Access Request

### **Contact AUS Auditors@txdot.gov for the following forms/templates:**

- Lane Closure Notice Guide
- Monthly Estimate Checklist - T:\Construction\Guides\_SOPs\_Audits\_Forms\Estimates
- Standard File Format for document storage
- Change Order Memo - T:\Construction\Guides\_SOPs\_Audits\_Forms\Change Orders
- Change Order Tracking Log
- CEI burn rate graph - T:\Construction\Guides\_SOPs\_Audits\_Forms\CEI
- Contractor \$ burn rate graph - T:\Construction\Guides\_SOPs\_Audits\_Forms\Contractor \$ Burn Rate
- Guide for input of CEI info into key dates tab

# **Procedures**

## **1.1 Pre-Procurement Meetings**

- 1.0 No One on One meeting between CEI and Area Office to discuss upcoming procurements
  - 1.1 Area Office will only meet with active CEI firm about active projects
- 2.0 All CEI meetings related to upcoming procurements will be handled by a Pre RFQ Meeting
- 3.0 All CEI meetings related to the AUS district programmatic approach will be handled by the district town hall meeting and this CEI guide.

## **1.2 Pre RFQ Project Information and Questions**

- 1.0 Project Support Documents for SD
  - 1.1 Plans, Schematic, etc. will be posted to the AUS District FTP site
    - 1.1.1 This will be the same FTP site used to post Q and A for construction projects.
    - 1.1.2 Documents will be posted in the "Early Plan Review" folder
    - 1.1.3 <https://ftp.dot.state.tx.us/pub/txdot-info/Pre-Letting%20Responses/>
- 2.0 Project Support Documents for ID
  - 2.1 Support documents will not be made available for ID contracts
  - 2.2 Support documents will be made available for ID WA preparation

## **1.3 Pre RFQ Meeting**

- 1.0 Required to offset need for one on one meetings
  - 1.1 Provide response to questions submitted to PM
- 2.0 Presentation lead by PM
- 3.0 SD Contracts
  - 3.1 Provide anticipated CEI staff
    - 3.1.1 List if staff is on site or off site
  - 3.2 Provide anticipated office location and who provides the office
  - 3.3 Provide info on if following tasks will be used: utility coordination, PIO, and ROW
- 4.0 ID Contracts
  - 4.1 Pre RFQ not conducted

## 1.4 Contract Selection Team

- 1.0 CST names should not be provided to consultants in advance
- 2.0 CST members should not be contacted before or during procurement
- 3.0 Austin CST makeup for CEI
  - 3.1 DCO designates the PM
  - 3.2 CST should contain a representative from the Austin District construction office
  - 3.3 CST should contain a representative from the districts P.E. or E.I.T. program
  - 3.4 CST should contain a representative from the responsible Area Office
    - A) If the contract is an ID the Area Office team member could be from any of the Area Offices.
- 4.0 SDs CST members
  - 4.1.1 71 Over Colorado River – Pavetex - Willie Semora and Angela Gil
  - 4.1.2 183 @ 35 – Atkins – Brenda Guerra, Mark Baumann, Victoria Dobbins
  - 4.1.3 35 @ William Cannon - HDR - Loren Rice, Jason Cavness, John Peters
  - 4.1.4 35 @ Oltorf – Lochner - Loren Rice, Jason Cavness, John Peters
  - 4.1.5 35 Capital Express north and south segment - ??
- 5.0 IDs CST members
  - 5.1.1 2015 IDs
    - A) Selected CEIs: BGE, Lochner, SAM, HDR
    - B) CST: Loren Rice, Jason Cavness, John Peters
  - 5.1.2 2018 IDs - 5 x \$5M
    - A) Selected CEIs: Atkins, BGE, RS&H, HNTB
    - B) Summer Overlay CEI: Pavetex
    - C) CST: Lorri Pavliska, Ivan Baker, Kevin Plumlee
  - 5.1.3 2020 ID – OVTI for Oak Hill Parkway
    - A) Selected: ??
    - B) CST: Micah Smith, Miles Garrison, Astolfo Rodriguez
  - 5.1.4 2021 IDs – 3 x \$7M
    - A) Selected CEIs:
    - B) CST:
- 6.0 GEC Past CST members
  - 6.1 DCO designates the PM
  - 6.2 CST should contain a representative from the Austin District construction office
  - 6.3 CST should contain a representative from the districts P.E. or E.I.T. program
  - 6.4 CST should contain a representative from PFD (Project Finance, Debt, and Strategic Contracts Division)
  - 6.5 Past CST members
    - 6.5.1 Oak Hill Parkway – Atkins - Jesus Valdez, Justin Goosby, and Richard Camero
    - 6.5.2 US 183 North – Ramos - Ben Engelhardt and Tanli Sun

## **1.5 Type of CEI Projects**

- 1.0 General Selection Guide
  - 1.1 Projects located in Austin metro area
    - 1.1.1 Williamson, Travis and Hays County
    - 1.1.2 Allows for CEI easier access to a large work pool
    - 1.1.3 Reduces travel time for CEI staff
  - 1.2 Projects requiring night and weekend work
- 2.0 ID Contracts
  - 2.1 Summer Overlay
    - 2.1.1 Reduces TxDOT comp time
    - 2.1.2 Restrict to metro projects
    - 2.1.3 TxDOT makes an effort to keep projects for a specific summer in the same general area, such as north Austin/Georgetown
  - 2.2 General ID Contracts
    - 2.2.1 Request by Area Office
    - 2.2.2 Medium size projects in the metro area
- 3.0 SD Contracts
  - 3.1 Large and long duration contracts in metro area
  - 3.2 Large enough to require a full time TxDOT employee on site
  - 3.3 Large projects over \$50M
- 4.0 CEI Selection tool
  - 4.1 CST has an excel file to assist with projects that qualify for CEI inspection
- 5.0 Draft Project Lists
  - 5.1 IDs see Appendix B
  - 5.2 SDs see Appendix C
  - 5.3 Summer Overlays see Appendix D

## 1.6 **Safety**

### 1.0 Standard CEI scope language (Feb 2018)

#### 1.1 Field Office Equipment.

- 1.1.1 The Engineer shall provide computer equipment, personal protective equipment (PPE) and identifiable vehicles for its personnel. The computer equipment must include computers, capable of running Site Manager and ProjectWise. Additionally, the Engineer shall provide printers and cell phones not otherwise provided by the contractor but needed to perform the work. The PPE shall meet all current standards set by OSHA and the State Requirements including safety glasses, Type 3 (TY 3) Pants for night work. The Engineer shall obtain and utilize Site Manager Support software or its equivalent

### 2.0 PPE

#### 2.1 Wear PPE required by TxDOT

- 2.1.1 PPE is listed in the Handbook of Safe Practices, Section 4, Page 10

#### 2.2 AUS district PPE added requirements

- 2.2.1 Safety glasses required when in the ROW (AUS district requirement)
- 2.2.2 Type 3 pants required for night work

#### 2.3 Vest versus Shirt

- 2.3.1 AUS does not dictate that CEI must wear a shirt
- 2.3.2 TxDOT is committed to shirts in lieu of vests

### 3.0 Distracted Driving

- 3.1 The Distracted Driving Policy requires all department personnel on department business to refrain from using handheld mobile communication devices, text or adjust global positioning systems while driving or operating vehicles and equipment.

### 4.0 Backing Policy

- 4.1 On July 15, 2013 TxDOT implemented the Backing Incident Prevention Policy to help reduce backing-related incidents. This policy focuses on reducing backing incidents by requiring all department personnel to:

- 4.1.1 Conduct a walk-around before driving or operating a vehicle or piece of equipment
- 4.1.2 Park vehicles in a safe location
- 4.1.3 Eliminate clustering of equipment in work zones
- 4.1.4 Position equipment to eliminate backing as much as possible
- 4.1.5 Use a spotter when backing
- 4.1.6 Park away from main entrances and high traffic volume areas at convenience stores
- 4.1.7 Apply Smith System and Defensive Driving Training related to preventing backing incidents

### 5.0 Use of Blue Warning Lights (Item 7.2.5)

- 5.1 Minimize the utilization of blue warning lights. These lights must be used only while performing work on or near the travel lanes or shoulder where the travelling public encounters construction crews that are not protected by a standard work zone set up such as a lane closure, shoulder closure, or one-way traffic control.

## **1.7 Training**

### 1.0 Site Manager

- 1.1 Following website has a power point titled “CE&I SiteManager Training”. This is an internal website. There is a pdf copy titled “SiteManager Training” stored at T:\Construction\Guides\_SOPs\_Audits\_Forms\SiteManager; therefore, request a pdf copy from [AUS\\_Auditors@txdot.gov](mailto:AUS_Auditors@txdot.gov)

### 2.0 Environmental Management System

- 2.1 See [Appendix A](#)
- 2.2 Visit the following website to complete training
- 2.3 <https://www.txdot.gov/inside-txdot/division/environmental/ems-courses.html>
- 2.4 <https://dedtraining.com/index.cfm>

### 3.0 Traffic Control

- 3.1 Complete same courses as a contractor listed in SP 007-001
- 3.2 <ftp://ftp.dot.state.tx.us/pub/txdot-info/cmd/cserve/specs/2014/prov/sp007001.pdf>

## **1.8 Certifications**

### 1.0 Provide the following information for all projects

#### 2.0 Material testing

- 2.1 Provide the information and forms as stated on the CEI Pre Con Agenda

#### 3.0 Environmental

- 3.1 Provide at the CEI Pre Con

#### 4.0 Traffic Control

- 4.1 Provide at the CEI Pre Con

## **1.9 Conflict of Interest**

### 1.0 The below guidance is not comprehensive. CEIs should be aware of TxDOT and state laws regarding conflict of interest.

#### 2.0 Revolving Door Guide

- 2.1 It would be a violation of the Revolving Door Law for a former TxDOT employee who was involved in plan review and constructability discussions on a particular project to perform any work on that project for a private-sector employer.

- 2.2 Guide located @ <https://www.ethics.state.tx.us/data/resources/guides/Bdoor.pdf>

- 2.3 Guide can be found by google “Texas Ethics Commission revolving door guide”

#### 3.0 Previous Area Office

- 3.1 Revolving door concerns with former employee at previous Area Office

- 3.2 Austin District preference to not have a former TxDOT employee work on a project managed by an area office where they were previously employed.

- 3.3 The former employee may begin working on projects in the area office after they have been separated from the state for 1 year.

## **1.10 Program Access**

### **1.0 CEI Staff need Access to the following programs**

- 1.1 TxDOT Site Manager
- 1.2 Electronic Project Records System (EPRS)
- 1.3 Local Area Network (LAN)
- 1.4 LCP Tracker
- 1.5 DMS (Diversity Management System) <https://txdot.txdotcms.com/>

### **2.0 Process**

- 2.1 CEI complete the following forms
  - 2.1.1 Form 1828b Information Resources Security Compliance and Confidentiality Agreement (External User)
  - 2.1.2 Form 2526 Site Manager / Electronic Project Records System Access Request
  - 2.1.3 Form 1980 Request for External Access to TxDOT Information Systems
  - 2.1.4 Form 1936 Local Area Network (LAN) Access Request
- 2.1 CEI will fill out the forms specifying CEI company name, employee name, contact information, title, project location, type of request, and TxDOT responsible contact (TxDOT PM for the Project CEI is working on).
- 2.2 Electronic Project Records System (EPRS) form shall include the project CSJ number(s). For example, projects: 0015-07-065 & 0015-07-071
- 2.3 All completed forms shall be sent to [AUS\\_Auditors@txdot.gov](mailto:AUS_Auditors@txdot.gov) for further processing and authorization.
- 2.4 Once access is approved, an email from TxDOT will be sent to CEI personnel with login-in information.

### **3.0 Site Manager Project Specific Access**

- 3.1 Procedure
  - 3.1.1 CEI email [AUS\\_Auditors@txdot.gov](mailto:AUS_Auditors@txdot.gov) to request access to specific projects
  - 3.1.2 In email include Site Manager user name and CSJ of the specific project

Note: You have to login every 60 days or your access will be considered inactive and information technology department will delete it.

## **1.11 Pre-Construction Meetings**

- 1.0 CEI Pre-Con
  - 1.1 CEI receive CEI Pre-con agenda from TxDOT
  - 1.2 Used to define duties to be performed by TxDOT and CEI
- 2.0 Contractor Pre-Con
  - 2.1 TxDOT and CEI decide who will handle/lead pre-con meeting
  - 2.2 TxDOT PM and Area Office staff shall be present at the pre-con meeting

## **1.12 CEI Lab and Testing**

- 1.0 CEI Lab
  - 1.1 CEI will not perform testing typically performed by the TxDOT district lab
  - 1.2 CEI may perform testing typically performed by the area office
- 2.0 TxDOT Lab
  - 2.1 TxDOT lab will perform testing not handled by the area office

## **1.13 Charge time and Travel time**

- 1.0 Inspection for Specific Deliverable
  - 1.1 Time to begin upon arrival and begin work at project site.
  - 1.2 Justification for procedure
    - 1.2.1 Project site is a known location with a known level of effort at time of procurement.
- 2.0 Inspection for Indefinite Deliverable and Lab Contract procured specifically for Austin District
  - 2.1 All Project Locations:
    - 2.1.1 Actual time beyond 1 hour
    - 2.1.2 Maximum travel time shall not exceed the travel time from the employee's office to the project less the 1 hour.
      - A) If employee does not have an office in the district boundary, then the office location will be the Austin District headquarters.
    - 2.1.3 ~~Time allowed for total travel time beyond 1 hour per day with a maximum of 30 minutes per day.~~
  - 2.2 ~~Project located in other counties~~
    - 2.2.1 ~~Time allowed for total travel time beyond 1 hour per day with a maximum of 60 minutes per day.~~
  - 2.3 Justification for procedure
    - 2.3.1 A default of 1 hour or less per day would be assumed as normal commute time to get to/from a project each day. A commute distance has some uncertainty but there is an assumed "normal" commute time of 30 minutes one way to a project.
    - 2.3.2 The above would provide for additional compensation beyond the 1 hour per day due to unknown project locations at time of procurement.
- 3.0 ~~Inspection for Indefinite Deliverable and Lab Contract not procured specifically for Austin District~~
  - 3.1 ~~All Counties~~

~~3.1.1 Time allowed for total travel time beyond 1 hour per day with a maximum of 60 minutes per day.~~

4.0 Performance of individual tests

4.1 Time will be from lab to project site and return trip

4.2 Review applicable notes provided in Contract as part of the fee schedule for lab tests

5.0 Lunch Break

5.1 Include no charge for 30 minutes if scheduled to work more than 4 hours per day. (this aligns with the internal TxDOT employee work schedule policy)

## **1.14 Vehicle Compensation**

1.0 Vehicle types in fee schedule

**1.1 Allowed type is ¾ ton, 4 door trucks**

1.1.1 TxDOT to pay for vehicle types similar to the type of vehicle TxDOT provides to TxDOT inspection force

1.1.2 4x4 rates are not allowed

2.0 Pay by Mileage

2.1 For those staff not assigned to a Work Authorization (WA) for an entire day

3.0 Pay by Day

3.1 For those staff assigned to a WA for an entire day, but not for the entire month

4.0 Pay by Month

4.1 For those staff dedicated to a WA for an entire month

## **1.15 Overtime Approval**

### 1.0 Pre-Approval Requirement

1.1 Pre-approval of OT shall be per the CEI Contract requirements. i.e I-35 William Cannon CEI overtime requires pre-approval from TxDOT

1.2 The CEI shall request the OT approval in writing in advance of the expected construction activities scheduled by the Contractor.

1.3 A pre-approval interval and justification criteria shall be established between the CEI-PM and TxDOT PM. For instance, OT approval can be submitted once a month and can be tied-up to the Contractor's 3-week look ahead schedule.

### 2.0 Estimating OT Required

2.1 The CEI will submit via email to TxDOT PM a 3-week look ahead schedule showing construction activities, and inspection staff assignments. The document shall clearly identify critical operations that require full time inspection or continuous activities that extend multiple shifts, demonstrating the need for OT or additional staff.

### 3.0 TxDOT approval/rejection

3.1 TxDOT will review the proposed 3-week look ahead for adequate staffing and reasonable OT. A written notice rejecting or accepting the OT request will be sent to the CEI firm.

## **1.16 Contract Time Charges**

### 1.0 Project Specific Instructions and Regular Time Charges

1.1 Working days, work hours restrictions, night work and any other typical time charges shall be applied in accordance with the contract.

### 2.0 Charge Time Computation / Request for Suspension

2.1 Any Contractor's request for suspension due to holidays, high traffic, etc. shall be submitted in writing to the CEI.

2.2 CEI will submit the Contractor's request to TxDOT for approval. The CEI will respond to the Contractor granting/denying the suspension.

### 3.0 Record Keeping and Submittal to TxDOT

3.1 The response from TxDOT granting/denying the suspension request is attached to the estimate as back-up.

## 1.17 Change Orders

- 1.0 Communication
  - 1.1 TxDOT PM will be included in all communications regarding change order.
- 2.0 Initial Review
  - 2.1 Review and evaluate proposed change to determine merit.
  - 2.2 Notify TxDOT (and 3rd Party) of scope and need of change order.
  - 2.3 Identify item codes for additional work, calculate quantities, document average low bid prices for associated items and draft a description of work. This documentation will be provided to the TxDOT PM (and 3rd Party as needed).
  - 2.4 Use [Form 2146](#) (CO Instructions) to determine permitting (Environmental, Historical, etc) compliance, and administrative requirements.
  - 2.5 Track the progress of each change order.
- 3.0 Request for Pricing and Negotiation
  - 3.1 Request pricing from contractor. Information provided includes item code and quantity required.
  - 3.2 Compare pricing against average low bid and request cost breakdown as needed. Review cost breakdown and negotiate pricing.
  - 3.3 Redlines showing negotiated pricing, average low bid and other documentation will be provided to the TXDOT PM (and 3rd Party as needed) for approval on pricing.
  - 3.4 Review the submittal for compliance with contractual, or referenced, requirements.
- 4.0 Approval by TxDOT
  - 4.1 If pricing is approved by AE (and 3rd Party), send the change order draft and required memos to the DCO and District ENV Contact for review. The AO designated CO contact, and the TxDOT PM will be copied on all emails directed to DCO.
  - 4.2 If major changes are made to pricing during DCO review, resubmit change order to AO and DCO for final approval before issuance.
  - 4.3 Once all comments are addressed and pricing is approved, issue the change order for signature.
  - 4.4 Issue the 3rd Party Notification as needed.
- 5.0 Contractor's Signature
  - 5.1 Obtain change order signature and 1295 Form.
  - 5.2 Follow up with 3rd Party to obtain signature.
- 6.0 AE and DE Signature
  - 6.1 Submit the signed change order, required memos, 1295 Form and other documentation required (see Form 2146) to the Area Office designated CO contact for final processing.
  - 6.2 If CO requires DE signature the Area Office will forward the executed CO to DCO for processing.

- 7.0 CO Package includes following documents
  - 7.1 Change Order Memo
  - 7.2 Change order signed by contractor
  - 7.3 Signed 3<sup>rd</sup> Party Notification forms as needed
  - 7.4 Average low bid for every added item
  - 7.5 Negotiated price breakdown for added items above average or Force Account (FA) Work
    - 7.5.1 Breakdown will include associated backup including invoices/quotes, bluebook rates, etc
    - 7.5.2 Form 316 will be required for FA payments
  - 7.6 1295 Form
  - 7.7 Revised plan sheets as needed
  - 7.8 Time justification documentation as needed

## **1.18 Force Account Work**

- 1.0 Initial Review
  - 1.1 Force Account work must be performed only when directed by TxDOT-CEI. The Contractor is required to give advance notice to CEI to arrange for inspection of the work.
  - 1.2 Once the work is complete, the Contractor shall submit a summary of labor, materials and equipment, including allowable mark-ups, utilized to perform the work.
  - 1.3 The CEI compares the extra work records received from the Contractor vs inspector's daily to verify labor, equipment and materials quantities.
  - 1.4 Resolve any discrepancy with the Contractor before proceeding to fill out form 316
- 2.0 Recording Force Account on TxDOT Form 316
  - 2.1 Based on the agreed upon extra work quantities, the CEI prepares form 316 for signature.
  - 2.2 Form 316 is sent to the Contractor for signature, then it is signed by the inspector and TxDOT PM (or CEI-PM representing TxDOT in the project).
- 3.0 Payment
  - 3.1 If there is an existing CO for the extra work, a 1257 sheet is prepared, and payment is entered in SiteManager. If not, prepare a new CO

## **1.19 Lane Closure Requests**

### **1.0 Distribution List**

1.1 A distribution list shall be prepared by the CEI Project Manager / Resident Engineer (CEI-PM/RE) in coordination with TxDOT Area Office. The list shall include: Area Office Management, TxDOT Project Manager and Construction Inspectors, CTECC, TxDOT Mobility Coordinator (if any), CEI-PM, Construction Inspectors, and Public Involvement Staff; Contractor's Staff, and third parties such as: emergency responders, school districts, transportation authorities, mobility coordinators, project specific email / website, and any other established public outreach avenue.

### **2.0 Lane Closure Request Guide and Template**

2.1 See the Forms section for contact information to obtain guide

### **3.0 Lane Closure Request Initiation**

3.1 The Contractor will initiate the process by submitting, via email, the closure request information to the CEI for review and approval. The submittal shall include: purpose of the closure (construction activities to be performed during the closure), date, start time, pick up time, direction of travel, lane(s) to be closed, starting and ending station, on ramps, off ramps closures, and description of the traffic conditions during the closure.

### **4.0 Request Review and Submittal to TxDOT**

4.1 CEI will review the request for accuracy, completeness, compliance with the requirements of the General Notes, and conflicts with existing conditions; also for public impacts, functionality of proposed detours, and for coordination when multiple closures are being requested for a time window. Any discrepancy, ambiguity or questions shall be clarified with the Contractor prior to the CEI filling out the Lane Closure Request Form.

4.2 CEI will submit lane closure request to TxDOT Austin District Lane Closure Coordinator for Approval.

4.3 CEI will fill out the Lane Closure Request Form and send it to all recipients in the distribution list.

## **1.20 Weekly Project Status Report**

- 1.0 When Required?
  - 1.1 Required for all SD contracts or full CEI on IDs
  - 1.2 As requested by TxDOT on IDs where CEI is supplement to TxDOT staff
- 2.0 Frequency
  - 2.1 Provide weekly unless TxDOT request less frequently
  - 2.2 Provided within 48 hours following the weekly project meeting.
- 3.0 Report Format
  - 3.1 All items shall include a ball in court if applicable
  - 3.2 Top 5 Issues
  - 3.3 Critical Path Delays
  - 3.4 Milestone Status
  - 3.5 Safety
  - 3.6 Stake holders
  - 3.7 Submittals
  - 3.8 RFIs
  - 3.9 Barricades
  - 3.10 ENV/SW3P
  - 3.11 Utilities
  - 3.12 Appendix
    - 3.12.1 Submittal Log
    - 3.12.2 RFI Log – only include open RFI
    - 3.12.3 Change Order Log

## **1.21 Document Storage**

- 1.0 Storage
  - 1.1 Store documents in accordance with Austin district format
  - 1.2 Request file system format from [AUS\\_Auditors@txdot.gov](mailto:AUS_Auditors@txdot.gov)
  - 1.3 SW3P binder and 599 reports stored at Area Office
- 2.0 Routine transfer of data
  - 2.1 Not required to complete routine data dumps to TxDOT system
- 3.0 Transfer Upon Project Completion
  - 3.1 Transfer all electronic documents to TxDOT for storage in TxDOT ProjectWise system
    - 3.1.1 Easiest method is CEI to provide a portable hard drive with the files for TxDOT to upload to TxDOT system

## **1.22 Monthly Documentation Delivery to TxDOT**

- 1.0 Report Preparation / Review
  - 1.1 Produce SW3P, Labor Interviews, Commercially Useful Function (CUF) Reviews, Barricade Reports and Progress Estimates.
  - 1.2 Materials on Hand (MOH) and DBE Utilization reports will be received from the Contractor and reviewed for accuracy
- 2.0 Record Keeping and Submittal to TxDOT
  - 2.1 An electronic copy of the progress estimate shall be sent monthly to the Area Office record keeper and TxDOT project manager
  - 2.2 Records of SW3P, CUF, MOH, DBE reports, and Labor Interviews shall be kept at the CEI office until project completion
    - 2.2.1 599 barricade reports shall be stored at the Area Office
  - 2.3 A monthly executed estimate checklist shall be submitted to the Area office on paper along with the barricade reports.

## **1.23 Invoice**

- 1.0 CSJ
  - 1.1 Charge to the controlling CSJ, do not break apart invoice into sub CSJs
- 2.0 CEI burn rate graph
  - 2.1 Include a graph showing \$ spent vs time for each Work Authorization
  - 2.2 Request format from [AUS\\_Auditors@txdot.gov](mailto:AUS_Auditors@txdot.gov)

## **1.24 TCEQ NOI**

- 1.0 CEI may prepare NOI for TxDOT in the name of TxDOT
  - 1.1 Contact the Austin DEQC for assistance
    - 1.1.1 Shane Rotter @ [Shane.Rotter@TxDOT.gov](mailto:Shane.Rotter@TxDOT.gov)
    - 1.1.2 Shane Rotter ER052538
- 2.0 TxDOT shall review, sign and pay for the NOI
  - 2.1 For review please include the DEQC
  - 2.2 For payment please include Wendy Fields ER055310

## **1.25 599 Barricade Report**

- 1.0 CEI shall request a copy of the district barricade guide from the area office

## **1.26 Field versus Home Office Overhead rate**

- 1.0 Use the following as a guide when deciding which overhead rate to apply to a CEI staff member. CEI should charge overhead using a similar approach used by TxDOT Area Office staff.
  - 1.1 Project Manager is like a TxDOT Area Engineer and typically charges to home office
  - 1.2 Field Engineer is like a TxDOT Assistant Area Engineer and typically charges to home office

- 1.3 Senior Construction Inspector is like a TxDOT Senior PM and typically charges to the field since most SPMs charge to a specific job they visit
- 1.4 Record Keeper typically is housed at the home office
- 1.5 Administrative staff typically is housed at the home office
- 1.6 Testing staff typically charges to the field since most tests charge to a specific job

## **1.27 Preparation of Level of Effort and Exhibits for Work Authorization**

- 1.0 Templates
  - 1.1 TxDOT can provide templates
  - 1.2 CEI may use on templates
- 2.0 Level of Effort
  - 2.1 TxDOT will provide a level of effort work sheet to allow CEI to estimate effort
  - 2.2 Prepare level of effort spreadsheet prior to begin preparation of Exhibit D
- 3.0 Exhibit A – TxDOT Scope
  - 3.1 Copy from master contract
- 4.0 Exhibit B – CEI Scope
  - 4.1 Copy from master contract
  - 4.2 Delete scope or FCs that are not required
  - 4.3 FCs not used should have the requirements deleted but the heading should remain. The section of requirements should be replaced with “N/A”
- 5.0 Exhibit C – Schedule
  - 5.1 Use TxDOT template to provide schedule for each FC
  - 5.2 Include time for finalization of project records.
- 6.0 Exhibit D – Fee Summary
  - 6.1 No use of colors other than black and white.
    - 6.1.1 Some cells may be shaded a light grey
  - 6.2 All text and numbers should be black.
  - 6.3 Other Direct Expenses must include an FC
  - 6.4 All company names must be spelled out, no abbreviations.
  - 6.5 All charges shall be separated by each controlling CSJ.
    - 6.5.1 Do not list the sub CSJs, only list the controlling CSJ for each project
  - 6.6 Use FC 300 instead of FC 309
  - 6.7 Multiple CSJs
    - 6.7.1 Only show the controlling CSJ
    - 6.7.2 Show multiple CSJs if have multiple projects with controlling CSJs
    - 6.7.3 Need an Exhibit D for each controlling CSJ
    - 6.7.4 Need a WA summary that totals all CSJs
  - 6.8 Pre-Letting
    - 6.8.1 Budget and work authorizations may include FC 145 for work
    - 6.8.2 Charge work before letting to FC 145.

## **1.28 Project Manager**

- 1.0 Request for change of PM should be sent to PEPS office at Austin District
  - 1.1 [Charles.Davidson@TxDOT.gov](mailto:Charles.Davidson@TxDOT.gov)

## **1.29 2118 SW3P Report**

- 1.0 CEI shall request a copy of the district SW3P guide from the area office

## **1.30 CEI info into SiteManager**

- 1.0 CEI performing 33% or more of the work on the job
  - 1.1 Verify and/or input CEI info into the key dates tab in SM
  - 1.2 Guide for input can be requested from [AUS\\_Auditors@txdot.gov](mailto:AUS_Auditors@txdot.gov)

## **1.31 Unmanned Aircraft Systems (Drone)**

- 1.0 TxDOT Drone info
  - 1.1 <https://www.txdot.gov/government/programs/sharing/uas-services.html>
- 2.0 Flight Operations and User's Manual
  - 2.1 <http://ftp.dot.state.tx.us/pub/txdot-info/avn/uas/user-manual.pdf>
- 3.0 Interim Guidance Memo
  - 3.1 Users shall request a copy of the 7/31/19 and 2/6/2020 memo from TxDOT

# Appendix

## **1.32 Appendix A – EMS Training Matrix**

Copy of matrix has been removed to allow user to download the latest version from the following website.

<https://www.txdot.gov/inside-tdot/division/environmental/ems-courses.html>

### 1.33 Appendix B – ID Draft Project List

WA executed							actual in green
CSJ	Roadway	Limits From	Limits To	Description	Area Office	Let Date	Const Amount
3545-02-007	FM 110	SH 123	FM 621	New Roadway	STAO	Jul-19	\$ 14,870,482
2100-01-060	RM 2222	620	Bonaventure	New connector road	NTAO	Jul-19	\$ 15,507,841
6340-27-001	SH 130	IH 35	SH 45 NW	Surface abrading	MNT	Sep-19	\$ 8,092,997
6340-31-001	SH 130	SH 71	SH 45 SE	Overlay	MNT	Sep-19	\$ 8,481,875
6332-16-001	SH 45	Pond @ Rinard		Pond repair	MNT	Sep-19	\$ 538,159
3545-02-008	FM 110	FM 621	SH 80	New Roadway	STAO	Mar-20	\$ 14,699,792
Varies	All	COVID backfill			DCO	Apr-20	\$ 100,948
1539-02-026	FM 1626	Brodie	FM 2304	Widen to 4 lanes	STAO	May-20	\$ 10,089,973
0015-08-147	IH 35	Williams Drive		Intersection Rebuild	GTAO	Jul-20	\$ 54,846,948
0016-02-149	IH 35	River Ridge	LP 82	Frontage + Ramps	STAO	Jul-20	\$ 14,020,542
0265-02-036	SH 71	Ross	Kellum	New Overpass	NTAO	Sep-20	\$ 50,000,000
0116-03-114	IH 35	SH 123		New Overpass	STAO	Apr-21	\$ 93,000,000
3545-01-005	FM 110	SH 80	IH 35	New Roadway	STAO	Jun-21	\$ 32,000,000
0265-01-113	SH 71	US 183	Presidential	New frontage roads	STAO	Oct-21	\$ 26,000,000
011313166	LP 360	Westlake		New Overpass	STAO	Jan-22	\$ 61,000,000
0015-10-064	IH 35	Wells Branch		Operational Improve	NTAO	Mar-22	\$ 14,623,250
0265-03-043	SH 71	Tucker Rd	Travis Cnty Line	New Overpass	BAAO	May-22	\$ 19,000,000
0265-03-042	SH 71	Pope Bend Rd		New Overpass	BAAO	May-22	\$ 18,369,672
011313167/169	LP 360	Spicewood	Lakewood	New Overpass	GTAO	Aug-22	\$ 67,000,000
2100-01-068	RM 2222	Loop 360	North Lamar	ITS	NTAO	Jul-23	\$ 3,191,814
3417-01-032	FM 734	Lp 275	Will Cnty Line	ITS	NTAO	Jul-23	\$ 6,200,000
0683-02-074	RM 620	Pecan Park	SH 71	ITS	NTAO	Jul-23	\$ 10,500,000
3417-03-021	FM 734	Samsung	Harris Branch	Reconstruction	NTAO	Sep-23	\$ 5,000,000
0265-03-041	SH 71	1209		New Overpass	BAAO	May-24	\$ 35,000,000

### 1.34 Appendix C – SD Draft Project List

<b>CSJ</b>	<b>Roadway</b>	<b>Limits From</b>	<b>Limits To</b>	<b>Description</b>
<b>SD Candidates</b>				
001510062/001513389	IH 35	SH 45N	US 183	Cap X North
001513077/001601113	IH 35	SH 71	SH 45SE	Cap X South

### 1.35 Appendix D – Summer Overlay Draft Project List

2019 Pavetex WA 1			
CCSJ	Project Limits	Let Date	Const Amount
011308090	290 - hays cnty to tara lane	Dec-18	\$2,265,981
027304036	183 - burnet c/l to sh 29	Jan-19	\$3,898,285
210301035	2243 - 183 to weir ranch	Jan-19	\$1,310,876
001601125	275 - foremost to slaughter	Jan-19	\$1,030,070
015201083	183 - 71 to 973	Jan-19	\$2,568,400
001603119	35 - kyle crossing to travis cnty	Mar-19	\$11,983,120
001508151	35 - sb lakeway to bell c/l	Mar-19	\$5,984,750
229301030	2439 -	Aug-19	
001602163	35 frontage - tech way to rodriguez	Nov-19	\$3,960,590
221102028	1460 - university to old settler	Dec-19	\$2,075,153
028503061	12 - 32 to pioneer trail	Dec-19	\$1,748,411
001508155	35 - nblakeway to bell c/l	Oct-19	\$5,739,917
011313177	290 - banister to 35	Feb-20	\$1,998,096
015203063	183 - cr 207 to fm 86	Jan-24	\$3,465,000
Total			\$48,028,648
2020 Pavetex WA 2			
CCSJ	Project Limits	Let Date	Const Amount
011405037	290 - east of 696		\$34,428,168
011406029	290 - 2104 to Lee c/l		\$18,681,315
011404069	290 - east of sh 95	Dec-20	\$1,549,781
011407036	290 - bastrop c/l to navarro st	Mar-20	\$28,375,954
Total			\$83,035,217
Future WA Candidates			
CCSJ	Project Limits	Let Date	Const Amount
020404068	79 - west taylor st to east taylor st	Jul-20	\$1,976,494
098601045	SH 138, etc. seal	Sep-20	\$5,900,566
210001067	2222 - 360 to loop 1	Oct-20	\$1,510,000
635954001		Nov-20	\$3,900,000
051103012	RM 32 and FM 1327	Nov-20	\$2,356,900
011407079	US 290 - CR 226 to Fayette C/L	Nov-20	\$4,093,522
341702024	734 - 45 to travis cnty line	Jan-22	\$3,362,701
137601020	1325-sh 45 to merriltown	Jan-22	\$1,500,000
175401020	1826 - 290 to hays cnty line	Feb-22	\$1,101,949
015106144	183-loop 1 to 35	Feb-24	\$7,158,012
Total			\$32,860,144

# **Summary of Changes**

## **3/22/19**

1. Procedures
  1. 1.9 – Added Conflict of Interest
2. Appendix
  1. B – updated project list
  2. C – updated project list

## **07/25/19**

1. Procedures
  1. 1.9.2 – added link to revolving door guide
  2. 1.9.3 – reduced conflict duration from 2 years to 1 year
  3. 1.23 – updated and revised title to address invoices and added note to include FC 145
  4. 1.25 – added section about 599 reports
  5. 1.26 – added section about field versus home office overhead
2. Appendix
  1. A – updated EMS training matrix with Feb 2019 version
  2. B – revised to create B.1 and B.2 to include SD candidates

## **07/14/20**

1. Procedures
  1. 1.2 – added FTP site address and folder for SD support documents
  2. 1.4 – updated CST info
  3. 1.13 – adjusted method for charging travel time for ID contracts
  4. 1.14 – AUS getting larger trucks, revised allowed truck size for rates
  5. 1.25 – 599 report section was revised to reference the district guide
  6. 1.27 – new section for information related to prep of Exhibit D
  7. 1.28 – new section for information related to PM and PM change
  8. 1.29 – new section for 2118 SW3P report
  9. 1.30 – new section for input CEI info into SM
  10. 1.31 – new section for drones
2. Appendix
  1. A – removed matrix and inserted internet link to matrix
  2. B – renamed and replaced with updated list
  3. C – renamed and replaced with updated list
  4. D – renamed and replaced with updated list