

**DEPARTMENT OF TRANSPORTATION**

DISTRICT 4  
P.O. BOX 23660  
OAKLAND, CA 94623-0660  
PHONE (510) 286-5900  
FAX (510) 286-6301  
TTY 711.  
www.dot.ca.gov



Making Conservation  
a California Way of Life.

September 25, 2019

04-SF-0-CR  
ER-32L0(204)  
O'Shaughnessy Blvd Central  
Slope Permanent Restoration

Mohammed Nuru, Director  
San Francisco Department of Public Works  
1 Dr. Carlton B. Goodlett Place  
San Francisco, CA 94102

Attention: Raymond Lui

Dear Mr. Nuru;

We are pleased to notify you that the Authorization to Proceed to construction has been approved for the above-referenced federal aid project. A copy of the authorization document (E-76) is attached for your files. The effective date of approval is 9/23/2019.

You should refer to Chapter 15 of the Local Assistance Procedures Manual (LAPM) at <https://dot.ca.gov/programs/local-assistance/guidelines-and-procedures/local-assistance-procedures-manual-lapm> that sets forth the procedures for project advertisement and award of the construction contract.

After advertising the project for bids, please send us one copy of the "as advertised" plans and special provisions. A minimum 21-day advertisement period is required for all projects. Any addenda must be approved by your agency and documented in your project files. LAPM's Exhibits 15-C and 15-I checklists will be helpful during this period and should be placed in your project file. You should award the contract to the lowest responsive and responsible bidder. If award is not to the lowest bidder, you must provide written documentation in your files. Remember federal law prohibits local preferences to bidders as well as requiring any bidder to obtain a license before submitting a bid. The contractor must have a valid State contractor's license for award of the contract. The Form FHWA-1273 must be physically incorporated into the construction contract, subcontracts and lower-tier subcontracts; referencing Form

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FHWA-1273 separately or as part of project's other contract document(s) is not acceptable. Immediately after award of the contract and prior to the first invoice of the construction phase you must submit a copy of the following information as one package to the District Area Engineer:

- The Local Agency Contract Award Checklist (Exhibit 15-L)
- Detail Estimate (Exhibit 15-M)
- Resident Engineer's Construction Contract Administration Checklist (Exhibit 15-B)
- Low Bidder's Proposal
- Local Agency Bidder DBE Commitment (Construction Contracts) (Exhibit 15-G)
- If DBE Goal is not attained, "DBE Information-Good Faith Efforts" (Exhibit 15-H) filled out by the contractor and the agency's "Evaluation of Good Faith Effort" Memorandum (Exhibit 9-E)
- Bid Tabulation Summary Sheet (Exhibit 15-D)

A sample award transmittal letter is attached to help you in reporting the above documents. Failure to submit complete and accurate project documentation may result in the de-obligation of funds on this project.

In addition to above award package submittal, immediately after issuing a Notice to Proceed to the contractor, e-mail a copy of the notice to your Agency's Area Engineer, jimmy.panmai@dot.ca.gov, and Construction Oversight Engineer, siobhan.saunders@dot.ca.gov.

It is imperative that records for this project are clear, well organized, up to date, and complete. All contract documentation and backup records shall be available at any time for inspection by Caltrans and FHWA reviewing personnel. Use of a uniform project filing system, together with diligent maintenance of the system, greatly facilitates a process review and minimizes negative findings. The project files should be available at a single location. An example of a **Project Record Filing System** for locally administered Federal-aid projects can be found in Section 16.8 of the LAPM. Please note that material sampling and testing requirements must follow your approved Quality Assurance Program per Section 16.14 of the LAPM.

**Any unforeseen or additional work to be added to the contract must be within the project scope/limits as defined in the approved NEPA document and the Right of Way Certification regardless of its funding sources. Non-compliance will jeopardize the federal eligibility of the entire project.** All change orders are to be approved by the

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administering agency in advance of any work being done on the change. Procedures for administering a contract change order (CCO) can be found in section 16.13 of the LAPM. If a CCO requires additional federal or state funds beyond that shown on the E-76 authorization, you must receive additional authorization of funds before you approve the change order, otherwise, reimbursement for the additional work cannot be claimed.

Prior to invoicing the State for eligible project costs, your agency must assure that the master and project supplemental agreements are fully executed. All invoice packages for this project are to be submitted to the following address:

Caltrans - District 4 Office of Local Assistance  
Attention of Invoice Coordinator  
Mail Station 10-B,  
P.O. Box 23660, Oakland, CA 94623-0660.

Please note that your agency must submit an invoice for this project at least every 6 months to avoid placement on the inactive project list and loss of federal funds. Also, note that awarding the project will not prevent it from becoming inactive.

If you have any questions, please contact me at 510-622-5930 or Sylvia Fung at 510-286-5226.

Sincerely,



Hin Kung  
Senior Transportation Engineer  
Office of Local Assistance

Enclosures

- (1) E76 Summary
- (2) sample award transmittal

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**LOCAL AGENCY AWARD PACKAGE TRANSMITTAL**

**(Local Agency Letterhead)**

Date

Mr. \_\_\_\_\_  
District Local Assistance Engineer  
Caltrans, Office of Local Assistance  
111 Grand Avenue / Mail: P.O. Box 23660  
Oakland, CA 94623-0660

Dear Mr. \_\_\_\_\_:

Re: (Project number, location and description)

We have awarded the construction contract for the subject federal-aid project to (Contractor's Name) \_\_\_\_\_ for the amount of \$\_\_\_\_\_.

Attached are copies of the award information as required by the *Local Assistance Procedures Manual*:

- Local Agency Contract Award Checklist (Exhibit 15-L)
- Local Agency Bidder DBE Commitment (Construction Contracts) (Exhibit 15-G)
- DBE Information-Good Faith Efforts (Exhibit 15-H) filled out by the contractor and the agency's "Evaluation of Good Faith Effort" Memorandum (Exhibit 9-E)
- Low Bidder's Proposal
- Detail Estimate (Exhibit 15-M)
- Resident Engineer's Construction Contract Administration Checklist (Exhibit 15-B)  
(if not previously transmitted)
- Bid Tabulation Summary Sheet (Exhibit 15-D)

Please review and process these documents so that the E-76 can be revised as necessary to reflect project cost. We will submit progress invoices as well as our Final Invoice and Final Report to the District Local Assistance Engineer for your review and processing.

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If during construction the participating costs overrun this estimate and there are federal funds available, we will submit a revised Detail Estimate, Finance Letter, and a request to modify the E-76 agreement.

You may direct any questions to \_\_\_\_\_ at  
phone \_\_\_\_\_.

Sincerely,

\_\_\_\_\_  
Signature and Title