



# CEI Procedures Guide

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Maintained by Austin District Construction Office (DCO)

Summary of changes are at the end of the guide.

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THE GUIDE IS SUBJECT TO CHANGE WITHOUT NOTICE OR PUBLICATION.

## **Preface**

The information in this guide is for guidance. The information in this guide is not TxDOT policy or replace PEPS.

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.

### **1.1 TxDOT – CEI Meetings**

This guide is intended to replace the need for one-on-one meetings with district staff. Any comments or question regarding the CEI program should be directed to PEPS or DCO.

### **1.2 PEPS External Website**

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

### **1.3 Letting Schedule Dashboard Website**

[Workbook: TxDOT.gov](#)

### **1.4 Consultant Reference Request**

Per PEPS Contracting: Contract Management for the Project Manager manual:

TxDOT employees may be periodically asked to provide information regarding the performance, quality, and results of an engineering-related service provider (on a TxDOT contract) that may influence or be used regarding future contracts with outside persons or entities.

TxDOT may provide a copy of written prime provider evaluations for work previously performed on TxDOT contracts only if the evaluations are requested using a formal open records request.

[Open Records Policy \(txdot.gov\)](#)

# Provisions

Use the below contact points to obtain forms

## **Contact forms online:**

<https://www.txdot.gov/business/resources/doing-business.html>

- Form 2802 – Subcontractor Request for Approval
- Form 2801 – Contractor Daily Environmental Monitoring Log
- Form 2795 – Contractor Staff Designee Submission

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

- Form 318 Daily Report on Law Enforcement
  - This form is printed in triplicate and can be provided by the Area Office
- Form 599 Barricade Inspection
  - This form is printed in duplicate and can be provided by the Area Office

## **Contact Wendy Fields [Wendy.Fields@txdot.gov](mailto:Wendy.Fields@txdot.gov) for the following forms:**

- Occupational Safety Manual <http://gsd-ultraseek/txdotmanuals/occ/index.htm>
- Handbook of Safe Practices <http://legacy-crossroads/org/safety/pdf/safe-practices.pdf>
- Form 316 Daily Report of Force Account
- 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 your TxDOT project PM for the following forms/templates:**

- Lane Closure \_ Msg Board Guide
- Monthly Estimate Checklist
- Standard File Format for document storage
- Change Order Memo
- 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
- 599 Guide
- SW3P 2118 Guide

# **Procurement**

## **2.1 PEPS Fiscal Year Procurement Plan**

[Fiscal year procurement plan \(txdot.gov\)](#)

[Business opportunities \(txdot.gov\)](#)

## **2.2 Pre-Procurement Meetings**

1.0 No One on One meeting between CEI and district staff to discuss upcoming procurements

1.1 Area Office will only meet with active CEI firm about active projects

1.2 District construction office will receive comments and questions with intention to provide all responses in this guide. Email to [Ben.Engelhardt@TxDOT.gov](mailto:Ben.Engelhardt@TxDOT.gov)

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

1.0 AUS District post plans for early review by contractors and consultants. CEIs may visit this website to view preliminary plan postings.

1.1 Documents will be posted in the “Preliminary Plans (NOT FOR BID)” folder

1.2 <https://ftp.dot.state.tx.us/pub/txdot-info/Pre-Letting%20Responses/>

## **2.4 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

4.2 Refer to this guide for information

## **2.5 Conflict of Interest and Preclusion**

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 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.

#### 4.0 Why multiple SDs?

- 4.1 Similar SDs in same wave may be separate procurements to allow separate consultant preclusion list for each procurement.

## 2.6 Procurements and Selection Team

#### 1.0 CST names may be provided to consultants in advance

#### 2.0 CST members, past and present, should not be contacted before, during, or after procurement.

#### 3.0 CST members may change without notice or a published revision to this guide

#### 4.0 All questions for the team should be directed to DCO or PEPS

#### 5.0 FY and Wave are draft. Please refer to PEPS for official procurement information.

#### 6.0 CST proposed makeup

##### 6.1 CEIs

###### 6.1.1 DCO designates the PM

###### 6.1.2 CST should contain a representative from the Austin District construction office

###### 6.1.3 CST should contain a representative from the districts P.E. or E.I.T. program

###### 6.1.4 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.

##### 6.2 GECs

###### 6.2.1 DCO designates the PM

###### 6.2.2 CST should contain a representative from the Austin District construction office

###### 6.2.3 CST should contain a representative from the districts P.E. or E.I.T. program

###### 6.2.4 CST should contain a representative from PFD (Project Finance, Debt, and Strategic Contracts Division)

##### 6.3 Available Members

###### 6.3.1 Samuel Himawan, Melanie Littlefield

###### 6.3.2 Paul Aparicio contact point for TPD Division staff as CST members

#### 7.0 SDs

##### 7.1 71 Over Colorado River

###### 7.1.1 Selected: Pavetex

###### 7.1.2 CST: Willie Semora, Angela Gil

##### 7.2 183 @ 35

###### 7.2.1 Selected: Atkins

###### 7.2.2 CST: Brenda Guerra, Mark Baumann, Victoria Dobbins

##### 7.3 35 @ William Cannon (0015-13-379)

###### 7.3.1 Selected: HDR

###### 7.3.2 CST: Loren Rice, Jason Cavness, John Peters

##### 7.4 35 @ Oltorf (0015-13-378)

###### 7.4.1 Selected: Lochner

###### 7.4.2 CST: Loren Rice, Jason Cavness, John Peters

##### 7.5 35 Capital Express North and South (0015-10-062 and 0015-13-077)

###### 7.5.1 Selected: North -062 = Atkins, South -077 = BGE

###### 7.5.2 FY 22 Wave 1

###### 7.5.3 CST: Astolfo Rodriguez, Michael Harlin, Scott Serafin, Evan Russell, Giuly Caceres, Bradley Wheelis, ~~Lorri Pavliska, Aaron Garza~~

##### 7.6 35 Capital Express Drainage Tunnels (0015-13-433 and 0015-13-440)

###### 7.6.1 Selected: **TBD**

###### 7.6.2 FY 24 Wave 1 (executed early calendar year 2024)

###### 7.6.3 CST: ~~Ben Engelhardt~~, Jackson Shilliday, Cody McGuire, Jesus Valdez

###### 7.6.4 Purpose: Construction oversight after letting.

- 7.7 35 Capital Express Lady Bird Lake Bridge (Holly Street to Ben White 0015-13-428)
  - 7.7.1 Selected: **TBD**
  - 7.7.2 FY 24 Wave 1 (executed early calendar year 2024)
  - 7.7.3 CST: ~~Ben Engelhardt~~, Jackson Shilliday, Cody McGuire, Jesus Valdez
  - 7.7.4 Purpose: Construction oversight after letting.
- 7.8 35 Capital Express Downtown (Holly Street to MLK 0015-13-442)
  - 7.8.1 Selected: **TBD**
  - 7.8.2 FY 25 Wave 2 (executed spring 2025)
  - 7.8.3 CST: Astolfo Rodriguez, young engineer, ??
  - 7.8.4 Purpose: Construction oversight after letting.
- 7.9 35 Capital Express University (MLK to US 290E 0015-13-423)
  - 7.9.1 Selected: **TBD**
  - 7.9.2 FY 25 Wave 2 (executed spring 2025)
  - 7.9.3 CST: Astolfo Rodriguez, young engineer, ??
  - 7.9.4 Purpose: Construction oversight after letting.
- ~~7.10 35 Capital Express Capital Plaza~~
  - ~~7.10.1 Selected: **TBD**~~
  - ~~7.10.2 FY 25 Wave 2 (executed spring 2025)~~
  - ~~7.10.3 CST: Astolfo Rodriguez, young engineer, ??~~
  - ~~7.10.4 Purpose: Construction oversight after letting.~~
- 7.11 SH 71 Overpasses (Tucker 0265-03-043, Pope Bend 0265-03-043, FM 1209 0265-03-041)
  - 7.11.1 Selected: **TBD**
  - 7.11.2 FY 27 Wave 2
  - 7.11.3 CST: Ty Cagle, Matthew Mueller, ??
  - 7.11.4 Purpose: Construction oversight after letting.
  - 7.11.5 Notes: Possibly consider 2 CEIs in 1 procurement with one for SH 71 and another LP 360 intersection rebuilds. Currently LP 360 listed as ID opportunities
- 8.0 IDs
  - 8.1 2015 IDs – 4 x \$3M
    - 8.1.1 Selected: BGE, Lochner, SAM, HDR
    - 8.1.2 CST: Loren Rice, Jason Cavness, John Peters
  - 8.2 2018 IDs - 5 x \$5M
    - 8.2.1 Selected: Atkins, BGE, RS&H, HNTB
    - 8.2.2 Summer Overlay CEI: Pavetex
    - 8.2.3 CST: Lorri Pavliska, Ivan Baker, Kevin Plumlee
  - 8.3 2020 ID – OVTI for Oak Hill Parkway
    - 8.3.1 Selected: PaveTex
    - 8.3.2 CST: Micah Smith, Miles Garrison, Astolfo Rodriguez
  - 8.4 2021 IDs – 3 x \$7M
    - 8.4.1 Selected: Atkins, Lochner, HNTB
    - 8.4.2 FY 21 Wave 2
    - 8.4.3 CST: Astolfo Rodriguez, Matthew Kelly, David Goldstein, Mohammed Ali, Stephen Stewart
  - 8.5 2023 IDs – Summer Overlay
    - 8.5.1 Selected: **TBD**
    - 8.5.2 FY 23 Wave 4 (January 2024)
    - 8.5.3 CST: ~~Jesus Valdez~~, Marcelo Azambuja, Caitlin McGunigle, Brian Douglas
    - 8.5.4 Purpose: Summer Overlay
  - 8.6 2023 IDs – 5 x \$7M (Partner with WAC TBD)
    - 8.6.1 Selected: **TBD**



- 8.6.2 FY 23 Wave 4 (January 2024)
- 8.6.3 CST: ~~Jesus Valdez~~, Marcelo Azambuja, Caitlin McGunigle, Brian Douglas
- 8.6.4 Purpose: Construction oversight after letting.

9.0 GECs

9.1 Oak Hill Parkway

- 9.1.1 Selected: Atkins
- 9.1.2 CST: Jesus Valdez, Justin Goolsby, and Richard Camero
- 9.1.3 Purpose: Assist TxDOT as SME during DB procurement and DB agreement development. Oversight of DB during DB contract.

9.2 US 183 North Mobility CTRMA

- 9.2.1 Selected: Ramos
- 9.2.2 CST: Ben Engelhardt, Tanli Sun

9.3 Capital Express Central (RFP 601CT00005321)

- 9.3.1 Selected: HNTB (143RFP5001)
- 9.3.2 FY 23 Wave 1
- 9.3.3 CST: Eric Bennet, ~~Ben Engelhardt~~, Adam Ramirez, Luisa Morales, Matthew Kelly
- 9.3.4 Purpose: Assist TxDOT during development of 35

~~9.4 Capital Express Central DB 2 (15<sup>th</sup> Street to US 290E)~~

- ~~9.4.1 Selected: ??~~
- ~~9.4.2 FY 23 Wave 1~~
- ~~9.4.3 CST: Eric Bennet, Ben Engelhardt, Adam Ramirez, Luisa Morales, Matthew Kelly~~
- ~~9.4.4 Purpose: Assist TxDOT during DB procurement and DB agreement development. Oversight of DB during DB contract.~~

10.0 CPM Schedule Support

10.1 2022 Wave 2

- 10.1.1 Selected: ??
- 10.1.2 CST: No AUS staff participation
- 10.1.3 Purpose: CPM scheduling and support

**2.7 Contract Selection Schedule**

FY (Current) Wave Plan												FY (Next)		
Q1			Q2			Q3			Q4			Q1		
Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov
Wave 1														
			Wave 2											
						Wave 3								
									Wave 4					

**2.8 Contract Selection Team Training**

- 10.2 All selection team members shall complete the following training
- 10.3 Chapter 2, Section 3 of the PEPS Contracting: Selection Process Manual
- 10.4 [PEPS Contracting: Selection Process \(SEL\)](#)

### Mandatory Training

<b>Role:</b>	<b>CTR600</b> Introduction to PEPS Contracting	<b>CTR620</b> PEPS Consultant Selection	<b>CTR621</b> PEPS Contract Negotiations	<b>CTR622</b> PEPS Contract and Work Authorization Management
Signature authority	X			
Project Managers		X	X	X
CST Members		X		
Contract /WA Negotiators			X	X
Contract Administrators				X
PEPS Managers		X	X	X
PEPS Engineers		X	X	X
PEPS Contract Specialists		X		X
PEPS Invoice Specialists				X
All other PEPS employees	X			

## 2.9 Type of CEI Projects

### 1.0 General Selection Guide

#### 1.1 CEI Selection tool

1.1.1 CST has an excel file to assist with projects that qualify for CEI inspection

#### 1.2 Projects located in Austin metro area

1.2.1 Williamson, Travis and Hays County

1.2.2 Allows for CEI easier access to a large work pool

1.2.3 Reduces travel time for CEI staff

#### 1.3 Projects requiring night and weekend work

### 2.0 ID Contracts

#### 2.1 Summer Overlay

2.1.1 This ID contract is procured specifically for CEI oversight of overlay projects

2.1.2 Reduces TxDOT comp time

2.1.3 Focused on projects in the metro area

2.1.4 Focused on Travis, Williamson, and Hays County

2.1.5 TxDOT tries 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 projects

2.2.3 Focused on Travis, Williamson, and Hays County

A) Some ID work has been used in Bastrop County

2.2.4 Typically, not full-service efforts for specific projects

A) AUS uses an approach to provide full time CEI staff dedicated to an Area Office for use as supplement to the AO staff. AO assigns CEI staff to projects and rotates them as needed.

B) These CEI Work Authorizations are commonly a generic amount with up to 8 projects listed.

2.2.5 Draft list of full-service ID contracts will be listed in Section 8.1 of this document

### 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
- 3.4 Draft list of full-service SD contracts will be listed in Section 8.2 of this document
- 4.0 GECs
  - 4.1 Management and oversight of Design Build Contracts
- 5.0 CPM Schedule Support
  - 5.1 Requested by Area Office or District Construction Office
  - 5.2 Typically, not full-service efforts for specific projects
    - 5.2.1 AUS uses this service as needed and is an on-call service
    - 5.2.2 Need for this service changes based on types of projects let
    - 5.2.3 Need for this service arises as issues arise on a project
  - 5.3 ID and SD contracts will provide this service for their designated projects
  - 5.4 Used for review of monthly contractor progress schedules on complicated jobs that contain ROW, utility issues, etc.
  - 5.5 Used for review of contractor's baseline schedule
  - 5.6 Used for review of time impact analysis provided by contractor

# **Preparation**

## **3.1 Inspector Training and Resources**

- 1.0 Complete training per scope in contract.
- 2.0 Use the following sites and documents as necessary
- 3.0 Site Manager Training Guide
  - 3.1 Refer to AUS Inspector and Record Keeper Training and References Guide
- 4.0 Inspector Development Program
  - 4.1 <https://tntoday.dot.state.tx.us/cst/Pages/IDP.aspx>
- 5.0 Construction Support
  - 5.1 <https://tntoday.dot.state.tx.us/cst/Pages/construction-support.aspx>
- 6.0 Traffic Control
  - 6.1 Refer to AUS Inspector and Record Keeper Training and References Guide

## **3.2 Record Keeper Training and Resources**

- 1.0 Refer to AUS Inspector and Record Keeper Training and References Guide

## **3.3 EMS Training**

- 1.0 Refer to AUS Inspector and Record Keeper Training and References Guide

## **3.4 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

## **3.5 Material Inspection Resources**

- 1.0 Refer to AUS Inspector and Record Keeper Training and References Guide

## **3.6 Cybersecurity Training**

- 1.0 Complete cybersecurity training.
- 2.0 Email [Stephen.Stewart1@txdot.gov](mailto:Stephen.Stewart1@txdot.gov) to request “How to Directly Access Cybersecurity at TxDOT Training for Contractors”

## **3.7 Program Access – Site Manager, etc.**

- 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/>

- 1.6 HCRS for lane closures
- 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
  - 2.2 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).
  - 2.3 Electronic Project Records System (EPRS) form shall include the project CSJ number(s). For example, projects: 0015-07-065 & 0015-07-071
  - 2.4 All completed forms shall be sent to [Stephen.Stewart1@txdot.gov](mailto:Stephen.Stewart1@txdot.gov) for further processing and authorization.
  - 2.5 The ITD\_UAM group completes the accounts as requested. ITD\_UAM follows the Application Access Criteria on the ITD website and requests the appropriate approvals needed should there be additional approvals. An example is the Area Engineer role cannot be given to a non-TxDOT user and all TxDOT users must be approved by the AE for that office.
  - 2.6 The user is notified by ITD\_UAM with their credentials following their policies.
- 3.0 Site Manager Project Specific Access
  - 3.1 Procedure
    - 3.1.1 CEI email [Stephen.Stewart1@txdot.gov](mailto:Stephen.Stewart1@txdot.gov) to request access to specific projects
    - 3.1.2 In email include Site Manager user name and CSJ of the specific project
    - 3.1.3 LCP authority is requested by the districts through CST because they do not have the necessary rights to assign in LCP.
- 4.0 HCRS Access
  - 4.1 HCRS used for input of lane closures
  - 4.2 For access, see AUS Lane Closure and Message Board Guide
- 5.0 Access Maintenance and Yearly Verification
  - 5.1 Routine Maintenance
    - 5.1.1 Shall login every 60 days or your access will be considered inactive and information technology department will delete it.
  - 5.2 Annual Verification
    - 5.2.1 TxDOT NOW will send a yearly notice to CEI to verify their account. Email notice will go to the employee's company email account.
    - 5.2.2 CEI to email the TxDOT person copied on the email to verify their account.
    - 5.2.3 TxDOT employee will use the auto reply link in the email to verify the account.
    - 5.2.4 TxDOT will not auto verify unless email is received from CEI.
    - 5.2.5 CEI failure to email TxDOT will result in account being locked.

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

- 1.0 Scope of Work
  - 1.1 TxDOT or CEI complete a scope of work sheet to define roles and responsibilities.
  - 1.2 TxDOT has a work sheet for this to define roles prior to prepare the level of effort.
- 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 Templates
  - 3.1 TxDOT can provide templates
  - 3.2 CEI may use on templates

- 4.0 Exhibit A – TxDOT Scope
  - 4.1 Copy from master contract
- 5.0 Exhibit B – CEI Scope
  - 5.1 Copy from master contract
  - 5.2 Delete scope or FCs that are not required
  - 5.3 FCs not used should have the requirements deleted but the heading should remain. The section of requirements should be replaced with “N/A”
- 6.0 Exhibit C – Schedule
  - 6.1 Use TxDOT template to provide schedule for each FC
  - 6.2 Include time for finalization of project records.
- 7.0 Exhibit D – Fee Summary
  - 7.1 No use of colors other than black and white.
    - 7.1.1 Some cells may be shaded a light grey
  - 7.2 All text and numbers should be black.
  - 7.3 Other Direct Expenses must include an FC
  - 7.4 All company names must be spelled out, no abbreviations.
  - 7.5 All charges shall be separated by each controlling CSJ.
    - 7.5.1 Do not list the sub CSJs, only list the controlling CSJ for each project
  - 7.6 Use FC 300 instead of FC 309
  - 7.7 Multiple CSJs
    - 7.7.1 Only show the controlling CSJ
    - 7.7.2 Show multiple CSJs if have multiple projects with controlling CSJs
    - 7.7.3 Need an Exhibit D for each controlling CSJ
    - 7.7.4 Need a WA summary that totals all CSJs
  - 7.8 Pre-Letting
    - 7.8.1 Budget and work authorizations may include FC 145 for work
    - 7.8.2 Charge work before letting to FC 145.

### **3.9 Union Pacific RR Right of Way Access**

- 1.0 Per UPRR, CEIs must fill out and execute the non-intrusive civil survey for access on a project-by-project basis. A copy of the permit application is located at: [https://www.up.com/cs/groups/public/@uprr/@realestate/documents/up\\_pdf\\_nativedocs/re\\_nonintrusive\\_survey\\_app.pdf](https://www.up.com/cs/groups/public/@uprr/@realestate/documents/up_pdf_nativedocs/re_nonintrusive_survey_app.pdf)

# **Performance**

## **4.1 Safety**

### 1.0 Standard PPE language in CEI scope Attachment C (9/25/19)

- 1.1 The Engineer shall, and shall require its subcontractors to, (1) provide personal protective equipment (PPE) to their personnel, (2) provide business vehicles for their personnel, and (3) require their personnel to use PPE and drive only business vehicles while performing work on or near roadways. The PPE must meet all (1) current standards set by the Occupational Safety and Health Administration (OSHA) and (2) TxDOT requirements (e.g., safety glasses, Type 3 (TY 3) pants for night work). Each business vehicle must be clearly marked with the Engineer's business name, or the name of the appropriate subcontractor, such that the name can be identified from a distance.

### 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.

## **4.2 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 and Pre-Pave

- 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

#### **4.3 CEI info into SiteManager**

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

#### **4.4 Project Records Checklist**

- 1.0 Checklist found at TxDOT.gov
  - 1.1 Checklist in excel format for documentation required for each pay item
  - 1.2 Provides pay information required to be input into site manager
  - 1.3 Go to following website to download the excel file and enter the project CSJ
  - 1.4 <https://www.txdot.gov/business/resources/materials.html>

#### **4.5 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

#### **4.6 2118 SW3P Report**

- 1.0 CEI shall request a copy of the district SW3P guide from the area office
- 2.0 CEI has authority to send deadline email notices to Contractor.
  - 2.1 CEI to provide TxDOT PM notice in advance of sending deadline notice
- 3.0 CEI does not have authority to send suspension of work email notice to Contractor.
  - 3.1 CEI shall prepare the notice and email to the PM

#### **4.7 599 Barricade Report**

- 1.0 CEI shall request a copy of the district barricade guide from the area office
- 2.0 CEI has authority to send warning and deadline email notice to Contractor
  - 2.1 CEI to provide TxDOT PM notice in advance of sending the email
- 3.0 CEI does not have authority to send non-payment or suspension of work email notice
  - 3.1 CEI shall prepare the notice and email to the TxDOT PM

#### **4.8 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



## 4.9 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
  - 7.6 Breakdown will include associated backup including invoices/quotes, bluebook rates, etc
  - 7.7 Form 316 will be required for FA payments
  - 7.8 1295 Form
  - 7.9 Revised plan sheets as needed
  - 7.10 Time justification documentation as needed

## **4.10 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 Site Manager. If not, prepare a new CO

## **4.11 Lane Closure Requests**

- 1.0 HCRS used for input of lane closures
- 2.0 For access, see AUS Lane Closure and Message Board Guide

## **4.12 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

# **Payment**

## **5.1 Profit and Escalation (DRAFT)**

- 1.0 Profit
  - 1.1 ID = 10%
  - 1.2 SD = 9%
- 2.0 Escalation
  - 2.1 ID = 2% every other beginning of a new TxDOT fiscal year
  - 2.2 SD = 2% every other beginning of a new TxDOT fiscal year

## **5.2 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 total daily travel 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.
  - 2.2 Justification for procedure
    - 2.2.1 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.
    - 2.2.2 The above would provide for additional compensation beyond the 1 hour per day due to unknown project locations at time of procurement.
- 3.0 Performance of individual tests
  - 3.1 Time will be from lab to project site and return trip
  - 3.2 Review applicable notes provided in Contract as part of the fee schedule for lab tests
- 4.0 Lunch Break
  - 4.1 Include no charge for 30 minutes if scheduled to work more than 4 hours per day.
    - 4.1.1 This aligns with the internal TxDOT employee work schedule policy
- 5.0 Cancellation Policy
  - 5.1 Time will not be paid for cancellation in advance of the work.
  - 5.2 Travel time will be paid for cancellation upon arrival to the work site.

## **5.3 Vehicle Compensation**

- 1.0 Vehicle types in fee schedule
  - 1.1 Allowed type is  $\frac{3}{4}$  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 (meetings, tests, samples, etc.)
- 3.0 Pay by Day

- 3.1 For those staff assigned to a WA for an entire day at the project location, but not for the entire month
- 4.0 Pay by Month
  - 4.1 For those staff dedicated to a WA for an entire month at the project location

## **5.4 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.

## **5.5 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.

## **5.6 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

## 5.7 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)

# **Paperwork**

## **6.1 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

## **6.2 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

## **6.3 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.

# **Problems**

## **7.1 Project Manager Change**

1.0 Request for change of contract PM should be sent to PEPS office at Austin District

1.1 [Charles.Davidson@TxDOT.gov](mailto:Charles.Davidson@TxDOT.gov)



# Planning

## **8.1 ID Draft Project List**

The following list is some large projects with anticipated CEI thru an ID contract. This list is not complete and subject to change.

0151-10-001	US 183 – RM 1431 to Avery Ranch – construct frontage roads	Aug 2023
0015-13-438	IH 35 – MLK Bridge and Ped Bridge	May 2024
0015-13-432	IH 35 – MLK to Airport – SB Upper Deck Retrofit	Sept 2024
0015-13-437	IH 35 – 4 <sup>th</sup> Street Redline and Ped Bridge	Sept 2024
0015-13-xxx	IH 35 – Airport Red Line and Shoofly	Sept 2024
0113-13-168	LP 360 - @ Courtyard – construct overpass	April 2026**
0113-13-169	LP 360 - @ Lakewood – construct overpass	Aug 2029**
0113-13-167	LP 360 - @ Spicewood Springs – construct overpass	Aug 2032**
**	Possibly moved from ID to SD with SH 71	

## **8.2 SD Draft Project List**

See Procurements and Selection Team section of this document.

## **8.3 Summer Overlay Draft Project List**

Summer draft list has been removed due to continuous changes to letting schedule for overlay projects.

District construction office staff will work with the Area Offices to prepare work authorizations based on the upcoming projects.

# **Past**

## **3/22/19**

1. Procedures
  1. 1.9 – Added Conflict of Interest
2. Planning
  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. Planning
  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
  11. 1.32 – new section for material inspection
  12. 1.33 – new section for project records
2. Planning
  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

## **10/22/20**

1. Procedures
  1. 1.4 – updated CST teams for upcoming and recent procurements

- 2. 1.7 – added links to good training documents provided on crossroads
- 3. 1.10.4 – added section about access maintenance and verification
- 2. Planning
  - 1. B – updated ID draft project list
  - 2. D – updated summery overlay list

### **3/31/21**

- 1. Procurement
  - 1. 1.7 – updated CST teams for upcoming and recent procurements
- 2. Preparation
  - 1. 1.13.4 – added section about access maintenance and verification
- 3. Planning
  - 1. 1.37 – updated ID draft project list
  - 2. 1.39 – updated summery overlay list

### **04/09/21**

- 1. Procurement
  - 1. 1.6.4 – added section on why separate SDs in same wave
  - 2. 1.7.6 – added section for available selection team members
  - 3. 1.7.7 – updated team members
  - 4. 1.7.10 – added section for training requirements for selection team
- 2. Preparation
  - 1. No changes
- 3. Planning
  - 1. No changes
- 4. Payment
  - 1. 1.27 – added section for profit and escalation

### **11/30/21**

- 1. Procurement
  - 1. No changes
- 2. Preparation
  - 1. No changes
- 3. Planning
  - 1. No changes
- 4. Performance
  - 1. 4.6 – 2118 added when CEI has authority to send email notice
  - 2. 4.7 – 599 added when CEI has authority to send email notice
  - 3. 4.11 – updated lane closure to reference the new lane closure guide
- 5. Payment

### **6/27/22**

- 1. Preface
- 2. Procurement
  - 1. 2.5.8.1.5 – added summer overlay for ID
  - 2. 2.5.8.1.6 – added ID partnership with WAC. AUS x 2 + WAC x 1
  - 3. 2.6 – added info and details for ID and SD contracts

3. Preparation
  1. No changes
4. Performance
  1. No changes
5. Payment
  1. No changes
6. Paperwork
  1. No changes
7. Problems
  1. No changes
8. Planning
  1. 8.1 – updated draft ID list
  2. 8.2 – updated draft SD list

### **08/18/22**

1. Preface
  1. 1.3 - added section related to consultant reference request
2. Procurement
  1. 2.5 – added section for CPM schedule support
  2. 2.8 – added section for CPM schedule support and GEC
3. Preparation
  1. 3.1, 3.2, 3.3, 3.5 & 3.6 – updated training information
4. Performance
  1. 4.6 – added information for 2118 for CEI to send notices
  2. 4.7 – added information for 599 for CEI to send notices
  3. 4.11 – added information to refer to the AUS lane closure guide
5. Payment
  1. 5.2.5 – Cancellation policy added
6. Paperwork
  1. No Changes
7. Problems
  1. No Changes
8. Planning
  1. No Changes

### **12/22/22**

1. Preface
  1. 1.3 – added link to letting schedule dashboard
2. Procurement
  1. 2.1 – added link to PEPS fiscal year procurement plan
  2. 2.6 – updated draft list of SD full-service projects
3. Preparation
  1. Revised AUS\_Auditor email address to Stephen Stewart
4. Performance
  1. No Changes
5. Payment

1. No Changes
6. Paperwork
  1. No changes
7. Problems
  1. No changes
8. Planning
  1. 8.1 – updated draft list of ID full service projects
  2. 8.2 – removed SD list
  3. 8.3 – removed summer overlay list

### **04/03/23**

1. Preface
  1. No changes
2. Procurement
  1. 2.6 – added contract selection team member names
  2. 2.6 – updated draft list of SD full-service projects
3. Preparation
  1. No changes
4. Performance
  1. No Changes
5. Payment
  1. No Changes
6. Paperwork
  1. No changes
7. Problems
  1. No changes
8. Planning
  1. 8.1 – updates to ID list

### **04/06/23**

1. Preface
  1. No changes
2. Procurement
  1. 2.6 – updated SD and ID list
3. Preparation
  1. No changes
4. Performance
  1. No Changes
5. Payment
  1. No Changes
6. Paperwork
  1. No changes
7. Problems
  1. No changes
8. Planning

1. 8.1 – updates to ID list

**05/26/23**

1. Preface
  1. No changes
2. Procurement
  1. 2.3 – update info on early posting of plans to FTP site
  2. 2.6 – updated SD list to remove unused project
3. Preparation
  1. 3.9 – added new section for UPRR access by CEIs
4. Performance
  1. No Changes
5. Payment
  1. No Changes
6. Paperwork
  1. No changes
7. Problems
  1. No changes
8. Planning
  1. No changes