

Preliminary Approval Supplemental Instructions

9/5/2007

Use the following process when the contract change qualifies as final measurement in excess of contract limits or requires Controlling Board Approval.

Final Measurement can only be applied to an original item of work exceeding contract limits and is defined as an increase in the plan quantity that is determined during the final measurement of an item of work.

Controlling Board Approval is required if the additional cost incurred by the increase or addition of **a line item of work** exceeds the minimum allowed value of \$25,000, or the lesser of one hundred thousand dollars or five per cent of the original contract price greater than \$500,000 as per C&MS 104.02.D and does not qualify under the exemptions permitted by ORC 5525.14. The exemptions are emergency declarations, final measurements, federal mandates, contract specified formula adjustments, VECP's, and contract termination costs.

1. Complete all sections of the "Request for Preliminary Change Order Approval and Permission to Proceed with Work" form. **Note:** Program Manager and FHWA approval information are included in sections 2 and 3 of these instructions for added emphasis.
 - a. Ensure that the narrative portions of the document clearly and thoroughly explain the necessity for the required contract change(s) and identify the costs. Clearly identify the manner in which the costs were determined and include supporting documentation.
 - b. In the event that the preliminary approval request is in companion with an RWCO, provide sufficient information in the "Explanation of Necessity" section to clearly identify the work associated with the RWCO. Provide sufficient information in the "[Cost Detail]" section to clearly identify the cost (per item and Grand Total) of both the RWCO and the preliminary approval request.
 - c. Ensure that sentences are grammatically correct and spelling is checked.
2. Obtain program manager approval when change order exceeds program threshold.
 - a. See link for program managers and thresholds;
http://www.dot.state.oh.us/construction/OCA/PM_07_07_01.PDF.
 - b. Indicate Program manager approval on the "Request for Preliminary Change Order Approval and Permission to Proceed with Work" form with any supporting documentation attached.
3. Obtain FHWA approval as required – See Section V. of the Change Order Standard Procedure No. 510-010(SP).

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4. Complete all sections of the “Supplemental Information” form and submit all supporting documentation. Provide a detailed listing of all approved and pending major change orders.
5. Email the scanned documents to Changeorderapproval@dot.state.oh.us for the Director’s approval.
6. After Central Office processing, the District will receive an email notification of Director Approval and the original signed “Request for Preliminary Change Order Approval and Permission to Proceed with Work” form via interoffice mail. The online change order tracker (http://itcww100/construction/OCA/Change_Order/Change_Order_Log.htm) can be reviewed to determine the status of the request.
7. The district will distribute a copy of the approved “Request for Preliminary Change Order Approval and Permission to Proceed with Work” form to the project engineer and the contractor. Attach the approved “Request for Preliminary Change Order Approval and Permission to Proceed with Work” to the resultant change order as indicated in step 11.
8. Create the change order(s) in CMS. In the event that a companion RWCO accompanies an EWCO, **do not** approve the RWCO until such time that the Director grants approval for the corresponding EWCO.
 - a. **For Final Measurements:** Indicate final measure in CMS in the appropriate data field.
 - b. **For contract changes requiring Controlling Board Approval:** Complete steps 8, 9, and 10, then forward the change order as per step 11 along with the Controlling Board narrative and any other supporting information to Central Office.
9. Print the change order and deliver it to the contractor for signature.
10. A district person with “recommendation” authority signs and dates the change order. This person shall also recommend the change order in CMS. **Note:** Steps 9 and 10 are interchangeable depending upon the District’s preference.
11. Submit the original signed change order to Central Office for processing. Include the approved “Request for Preliminary Change Order Approval and Permission to Proceed with Work” with the Change Order.
12. After Controlling Board approval and/or Central Office processing of the change order, the District will receive an email notification of Director Approval, Controlling Board Approval (as applicable), and the signed change order via interoffice mail.

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- a. The Controlling Board website can be found at: <http://www.ecb.ohio.gov/Public/default.aspx>. To access approval status of controlling board requests (reference the excerpt from the e-controlling board welcome screen below), select “Transportation” from the Organization drop down menu; select the State Fiscal Year; and click “Search”. This will return the approval status results for ODOT for the State Fiscal Year selected by Controlling Board request number.



The screenshot shows a web form titled "Search Requests" with a help icon in the top right corner. Below the title, it says "Enter criteria to search requests approved after April 1, 2005." The form contains several input fields: "Organization:" with a dropdown menu showing "Transportation"; "Description:" with an empty text box; "Vendor Name:" with an empty text box; and "State Fiscal Year:" with a dropdown menu showing "July 1, 2006 to June 30, 2007" and "July 1, 2007 to June 30, 2008" (the latter is highlighted). There is a checkbox labeled "Capital Requests Approved By OBM" which is currently unchecked. At the bottom of the form is a "Search" button.

- b. The online change order tracker (http://itcww100/construction/OCA/Change_Order/Change_Order_Log.htm) can be reviewed to determine the status of the request.
13. A district person with “approval” authority approves the change order in CMS. This person must be an Ohio P.E. and shall also approve the change order in CMS.
14. The district will keep the original in the district file; send copies to Central Office Accounting, the Contractor and FHWA (on oversight projects). Where applicable, the Contractor may proceed with the work upon receipt of an executed copy of the change order.