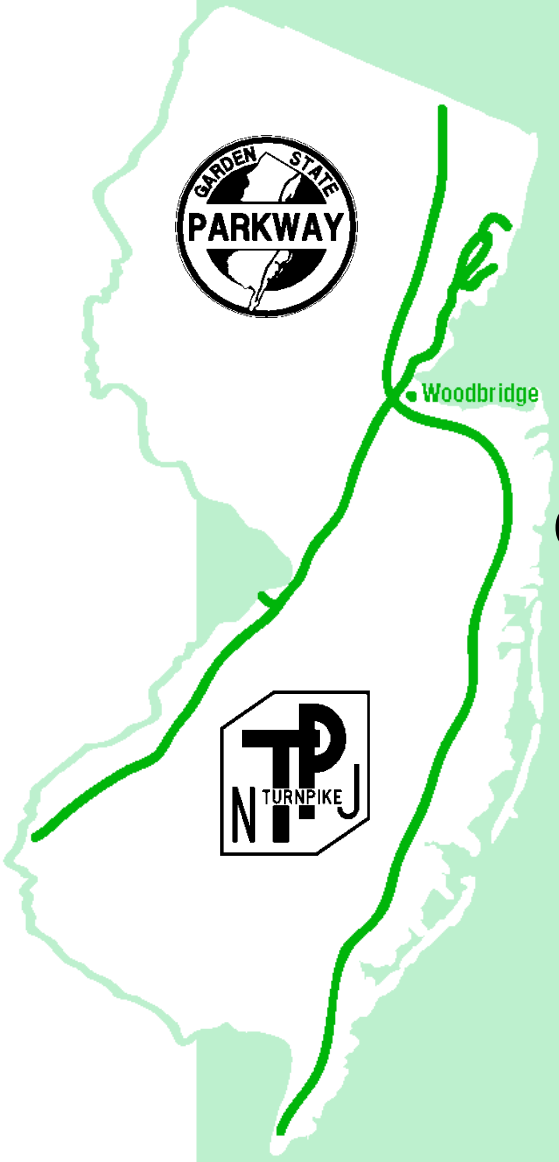
NEW JERSEY TURNPIKE AUTHORITY



CapEx & Specifications Design Guidelines

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CapEx & Specifications Design Guidelines

Design Engineers shall follow these guidelines which contain design delivery requirements as they relate to CapEx and specifications. This document is referenced in the Procedures Manual, which covers all additional delivery requirements.

Revision History:

Revision	Date	Summary
0	Feb 2017	Original document.
1	Jul 2017	Corrected Figure references. Added specifics on Unit Code convention. Moved QPL instructions to separate heading DCP003; added several clarifications, including submission requirements.
2	Oct 2019	Added “Access Pay Item Price History” to DCP001. Clarified definitions and submission requirements in DCP003. Corresponding SPL Form updated on website. Clarified definitions in each Section.
3	Dec 2021	DCP003 – under Overview, provided instructions on how to access QPL Submittals. DCP004 – clarified that the reference date for plans and specifications should be the date the Chief Engineer signs the title sheet.
4	Feb 2024	DCP001 - added instructions for Engineer’s Estimate Placeholder Line Item
5	Mar 2024	DCP002 – added OSC review guidelines.
6	Apr 2025	DCP001 – added instructions for accessing

		individual unit code's Bid History tab (new in CapEx).
7	Jun 2025	DCP002 – Revised OSC threshold to $15.2M effective July 1, 2025.
8	Feb 2026	Updates per DCA2026PM-01 and DCA2026PM-02.

DCP001 Define Scope of Work

I. Overview

Design Engineers shall follow the instructions below during the design and bid periods for CapEx administrative instructions, defining the Design Phase Schedule, and maintaining the CapEx Scope of Work.

Definitions:

CapEx is the New Jersey Turnpike Authority's ("NJTA") construction management website which is linked on NJTA's website.

BidX is NJTA's construction contract bidding website.

Scope of Work, as given in CapEx, is the Engineer's Estimate of all project line items.

Unit Codes are alphanumeric identifiers, typically seven digits, used to index a specific Standard or non-Standard NJTA pay item, which contains a Description, Unit, and associated Specification Section number.

II. Procedures

A. Administrative

1. Verify CapEx User Rights

Decide which user from your firm will be assigned the "Design Consultant" role in CapEx. This user will be responsible for maintaining the Engineer's Estimate and answering questions during the bid period.

Verify that the "Design Consultant" is registered in CapEx. If not registered, follow instructions from the NJTA website.

Verify that the "Design Consultant" is assigned to the Contract Team for the particular contract. If not, contact capexhelp@njta.com.

2. Access the Contract

Log-in to CapEx and click on the contract of interest. Filters may be used if you have a long list of contracts. See Figure 1.

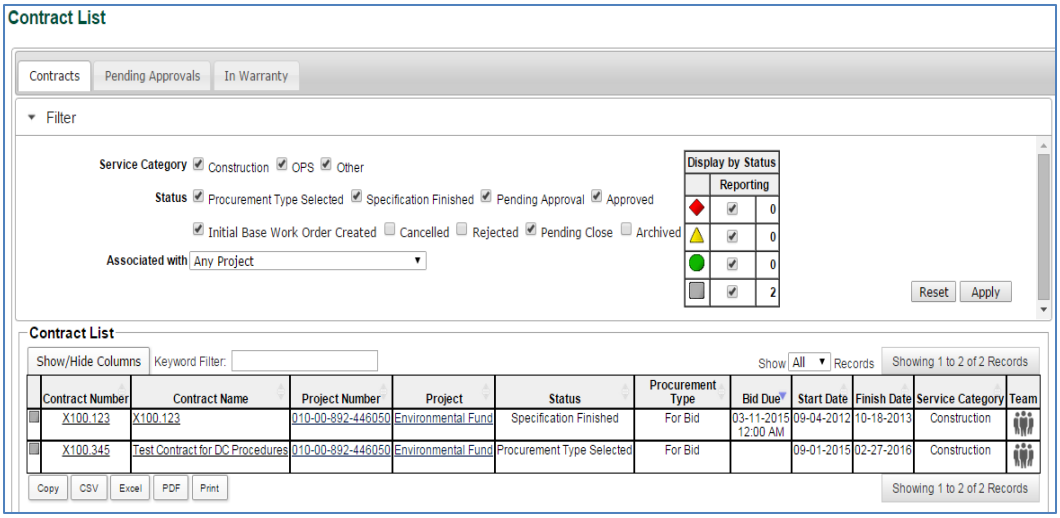


Figure 1

3. Surrogates

Only one (1) user can be assigned to the Design Prime Consultant role.

The "Surrogates" feature in CapEx allows other users to log-in on behalf of another user without requiring their password. The Surrogate is the user who logs in on behalf of the other user.

a) E-mail capexhelp@njta.gov which user should be surrogate for another user, and cc the NJTA project manager.

b) Once surrogate access is confirmed, the Surrogate logs in then goes to Administration → Surrogates → clicks the button next to the user they wish to login as and clicks Login.

c) The Surrogate can perform any function in CapEx that the user can.

Note: Surrogates do not receive CapEx e-mail notifications to whom they are assigned.

B. Design Phase Schedule

1. Access Design Phase Schedule

The Design Phase Schedule must be updated in CapEx throughout the Design period, beginning with Phase A.

Hover over Planning, Specifications & Estimating, then click on Design Phase Schedule.

Then click on Edit. See Figure 2.

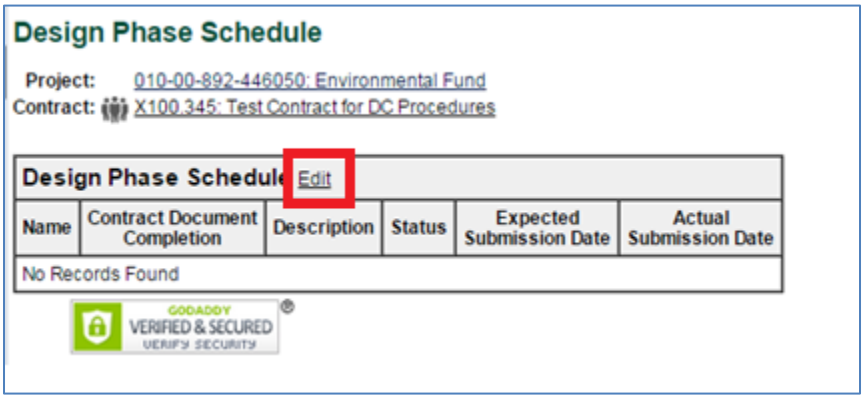


Figure 2

2. Edit Design Phase Schedule

See Figure 3. From this page, submission phases are created.

The "Expected Submission Date" fields must first be entered. If dates for later Phases are unknown, use best judgment as it can be updated anytime later.

Use the Add Row button to add interim Phases, e.g. Pre-Phase C.

Delete Checked Row can be used to delete any interim phases.

Click Save when done.

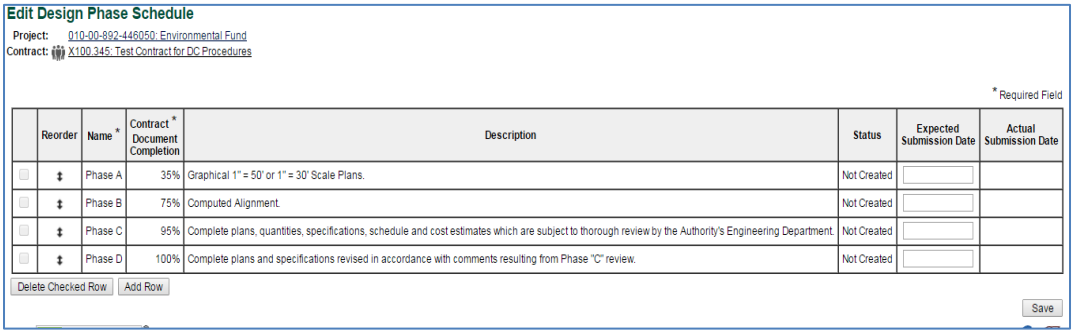


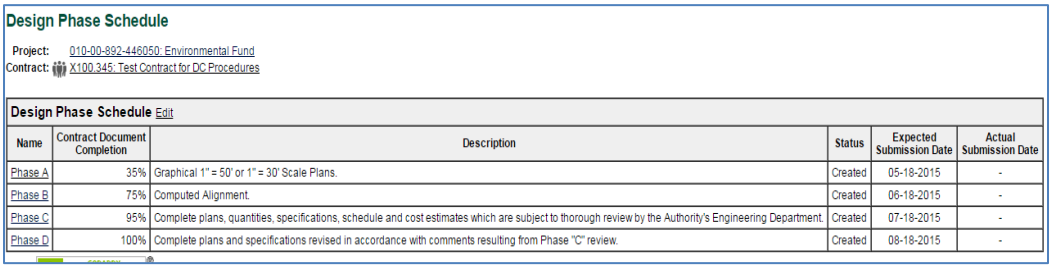
Figure 3

3. Submit Design Phase Files

Refer to Procedures Manual for submission requirements. Your Authority Project Manager will direct you to submit files via the Authority's "Kiteworks" FTP system or other electronic delivery method.

See Figure 4. After a Design Phase is complete, navigate back to the Design Phase Schedule page, where you will find the created Phases. Click on Phase Name then click Submit.

See Figure 5 for Phase D and addenda submissions only. Upload files per the Procedures manual and click Submit. This notifies the Project Manager and Authority's Contracts Section.



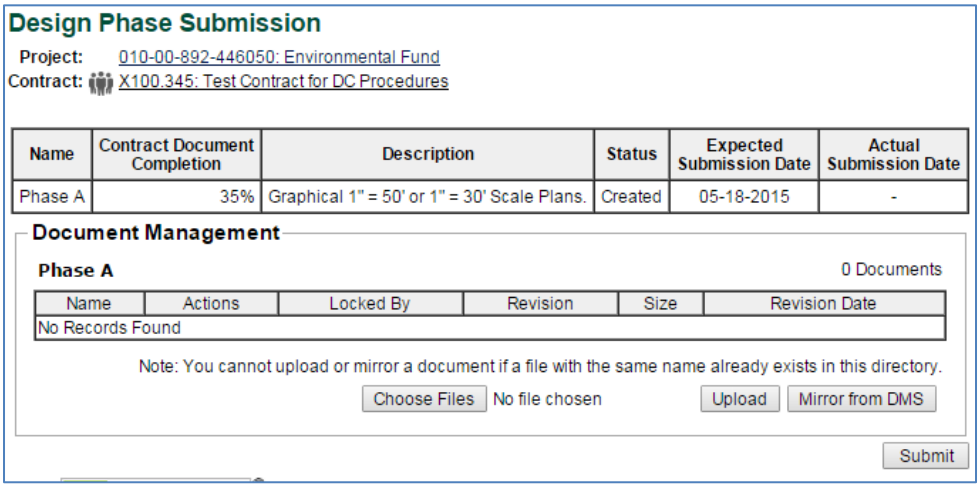
Design Phase Schedule

Project: 010-00-892-446050: Environmental Fund
Contract: X100.345: Test Contract for DC Procedures

Design Phase Schedule Edit

Name	Contract Document Completion	Description	Status	Expected Submission Date	Actual Submission Date
Phase A	35%	Graphical 1" = 50' or 1" = 30' Scale Plans.	Created	05-18-2015	-
Phase B	75%	Computed Alignment.	Created	06-18-2015	-
Phase C	95%	Complete plans, quantities, specifications, schedule and cost estimates which are subject to thorough review by the Authority's Engineering Department.	Created	07-18-2015	-
Phase D	100%	Complete plans and specifications revised in accordance with comments resulting from Phase "C" review.	Created	08-18-2015	-

Figure 4



Design Phase Submission

Project: 010-00-892-446050: Environmental Fund
Contract: X100.345: Test Contract for DC Procedures

Name	Contract Document Completion	Description	Status	Expected Submission Date	Actual Submission Date
Phase A	35%	Graphical 1" = 50' or 1" = 30' Scale Plans.	Created	05-18-2015	-

Document Management

Phase A 0 Documents

Name	Actions	Locked By	Revision	Size	Revision Date
No Records Found					

Note: You cannot upload or mirror a document if a file with the same name already exists in this directory.

Choose Files | No file chosen | Upload | Mirror from DMS

Submit

Figure 5

C. Scope of Work

The Scope of Work in CapEx is defined by the Line Items proposed for the Contract. Each Line Item must have a unique Unit Code from the 2016 Standard Specifications Catalog. The Catalog represents all Unit Codes that are available for use.

The Unit Code convention is as follows:

Standard, Standard Supplementary, or Supplementary?	Section Number?	Example	Convention
Standard Specifications	Standard Section	401-0001	Section Number, hyphen, consecutive numbering
Standard Supplementary Specifications	Standard Section	401-####	Section Number, hyphen, consecutive numbering
Standard Supplementary Specifications	Non-Standard Section	499-####	Division's first digit then 99, hyphen, consecutive numbering

Supplementary Specifications	Standard Section	401-N####	Section Number, hyphen, N for Non-Standard item, consecutive numbering
Supplementary Specifications	Non-Standard Section	499-N####	Division's first digit then 99, hyphen, N for Non-Standard item, consecutive numbering

Unit Codes that have already been issued will be found in the 2016 Standard Specifications Catalog in CapEx, which may be accessed in the various ways described below. Line Items for which Unit Codes are requested will temporarily be considered "Non-Catalog" until they are issued by the Authority.

As early as practicable in design, the initial Engineer's Estimate value must be entered as Item No. 1 using the Unit Code:

000-0000 Engineer's Estimate (Placeholder Line Item) L.S.

with a quantity of 1 and unit price as the estimate value. This value must be kept up-to-date and be deleted upon adding actual Line Items.

1. Access Pay Item Price History (Project Manager / Design Engineer)

In CapEx, any NJTA user and any Design Consultant user (regardless of whether he/she is assigned to a Contract Team) may access pay item price history:

Log-in to CapEx and go to Administration → Manage Specification Catalogs.

d) Click the Unit Code Search tab. Select "Unit Code" or "Description" for the Search Criteria and then type in the Search String. Click Apply. See Figure 6.

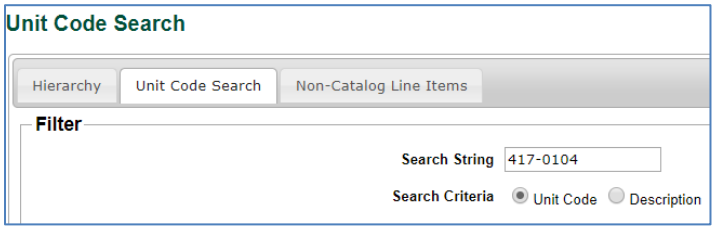


Figure 6

e) Under the "Rate" column, click History.

f) By default, results are shown for Bid Submission History only for the past year. Use the Filter options to change the date range, and to select Bid Award or Payment History. See Figure 7.

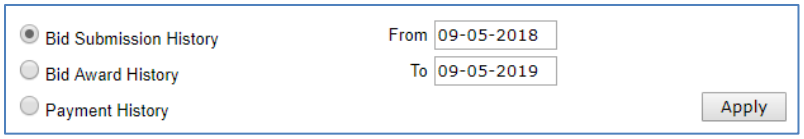


Figure 7

Alternatively, the Hierarchy tab allows a user to navigate by Catalog Section, which upon clicking, leads to a page with the corresponding list of pay items and a History button. See Figure 8.

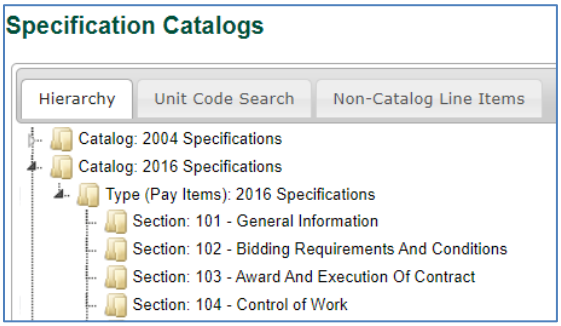
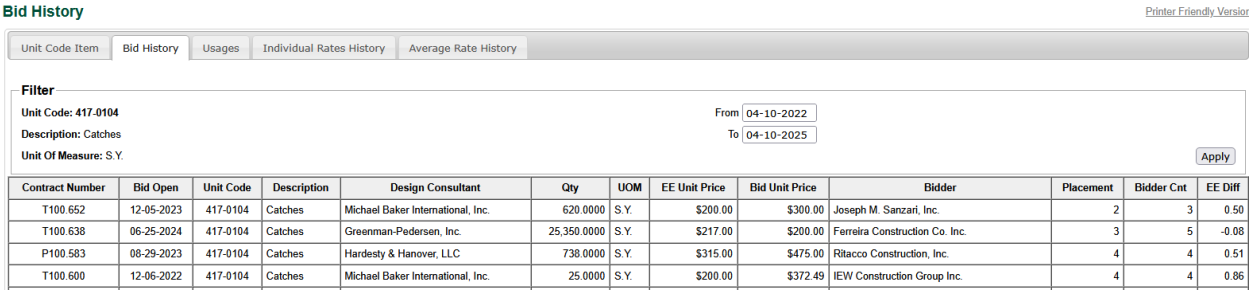


Figure 8

Upon selecting a unit code, the Bid History tab will display bid results from the past 3 years by default, in this format:



Contract Number	Bid Open	Unit Code	Description	Design Consultant	Qty	UOM	EE Unit Price	Bid Unit Price	Bidder	Placement	Bidder Cnt	EE Diff
T100.652	12-05-2023	417-0104	Catches	Michael Baker International, Inc.	620.0000	S.Y.	$200.00	$300.00	Joseph M. Sanzari, Inc.	2	3	0.50
T100.638	06-25-2024	417-0104	Catches	Greenman-Pedersen, Inc.	25,350.0000	S.Y.	$217.00	$200.00	Ferreira Construction Co. Inc.	3	5	-0.08
P100.583	08-29-2023	417-0104	Catches	Hardesty & Hanover, LLC	738.0000	S.Y.	$315.00	$475.00	Ritacco Construction, Inc.	4	4	0.51
T100.600	12-06-2022	417-0104	Catches	Michael Baker International, Inc.	25.0000	S.Y.	$200.00	$372.49	IEW Construction Group Inc.	4	4	0.86

Similar data in different formats will be found in the Usages, Individual Rates History, and Average Rate History tabs.

2. Add Line Items

Log-in to CapEx and click on the contract of interest.

From the Planning, Specifications & Estimating tab, click on Define Scope of Work.

On the Define Scope of Work page, next to Line Items, click Edit. A list of your current Base Line Items are displayed.

(Ignore the Group Optional Line Items and Funding Participation tabs. This is for Authority use only.)

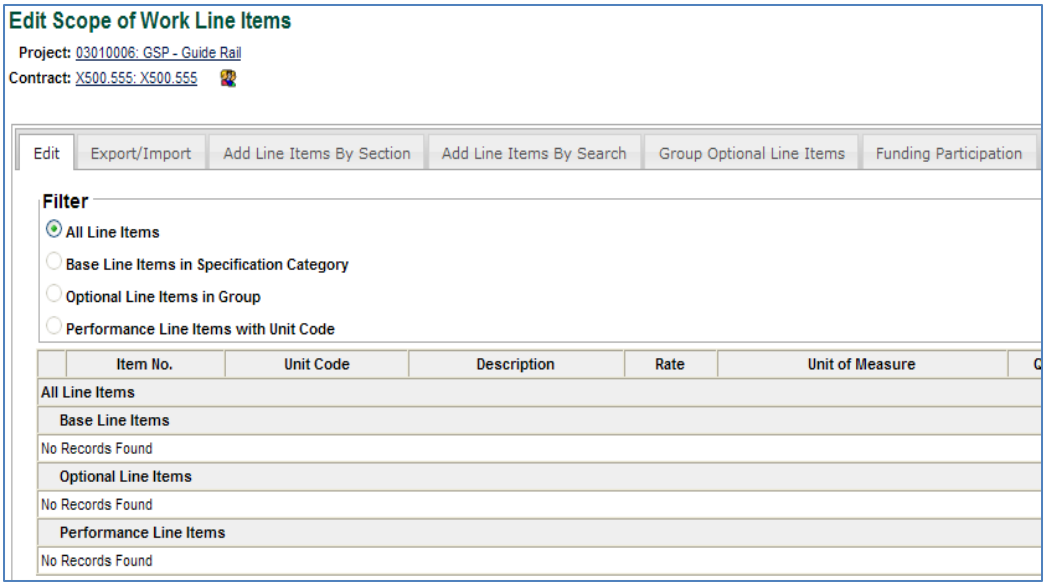


Figure 9

See Figure 9. The following are various methods to add line items.

(a) Add Line Items from Another Contract

This allows you to search for a past or existing Contract and choose line items from that Scope of Work. See Figure 10.

- Begin typing into the Contract Number field, select the contract of interest, and click Apply.
- Next to Show, select All, to show all records.
- Check items you wish to add to your Scope of Work and then click Add Checked Line Items at the bottom of the table.

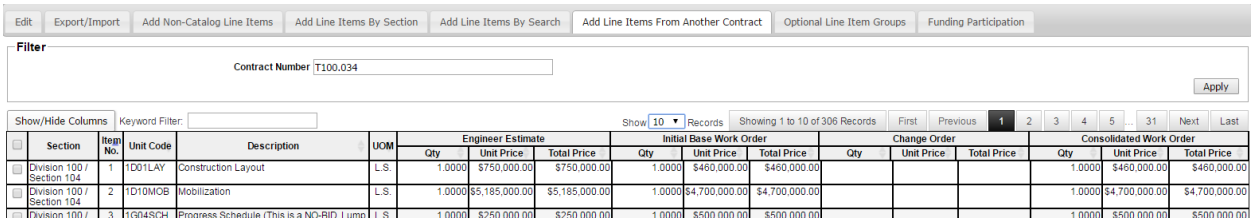


Figure 10

(b) Export/Import

See Figure 11.

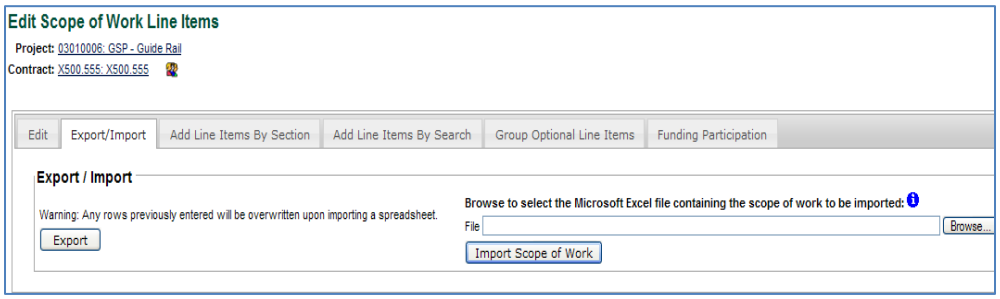


Figure 11

Clicking Export will allow you to save your Base Line Items in a formatted Excel Spreadsheet.

The spreadsheet can be used for: updating unit costs outside of CapEx, importing it into plans, other estimating software, reporting, etc. See Figure 12 for the format of the spreadsheet.

	A	B	C	D	E	F	G	H	I
1	Item No.	Item No. Ext.	Unit Code	Description	Unit of Measure	Number of Units	Unit Price	Line Total	Bid Requirement
2	1		1D01HDS	Historic District Sign	Each	1.00	123,456.00	123,456.00	Base
3	2		1HFP0B	Fuel Price Adjustment (NO-BID)	L.S.	1.00	111,111.00	111,111.00	Base
4									
5									

Figure 12

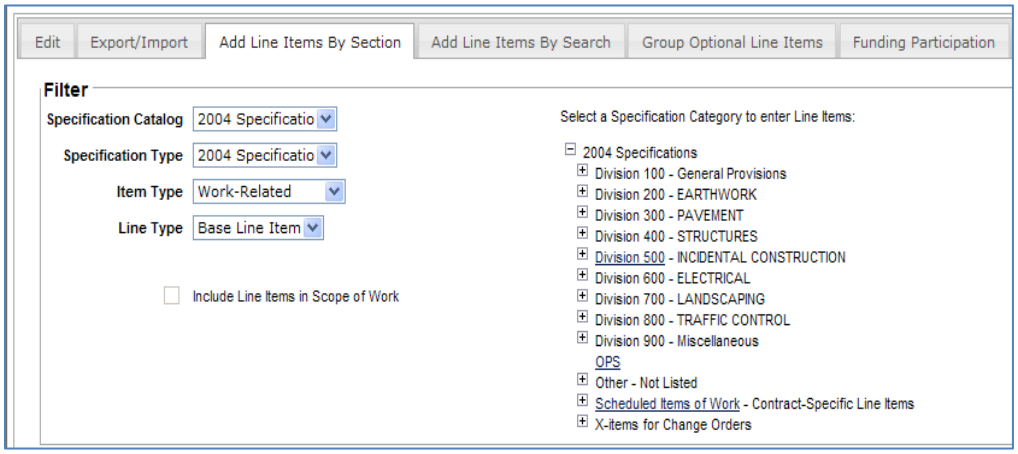


Figure 13

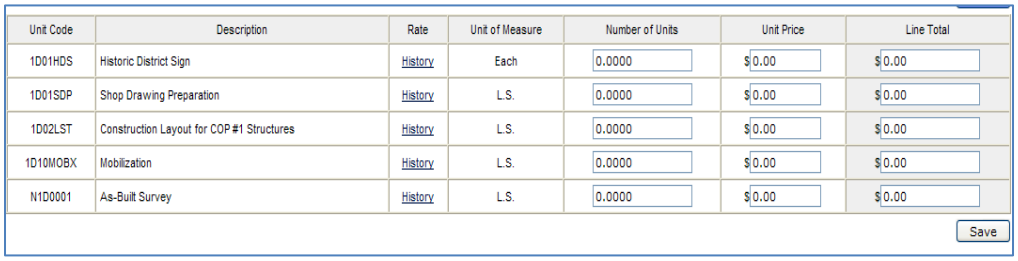
If updates are made to the spreadsheet, it can be imported back to CapEx by clicking “Import Scope of Work”. The spreadsheet must have the same format and column headings. This feature is also useful if you wish to import another Contract’s line items as a template.

(c) Add Line Items by Section

See Figure 13.

Filter for the 2016 Specifications under Specification Catalog and Specification Type. All other options can remain their default. Select the Specification Section using the accordion menu on the right. Click Save.

See Figure 14. To add items to the Scope of Work, enter the Number of Units and Unit Price on the rows of the desired Unit Codes. Click Save.



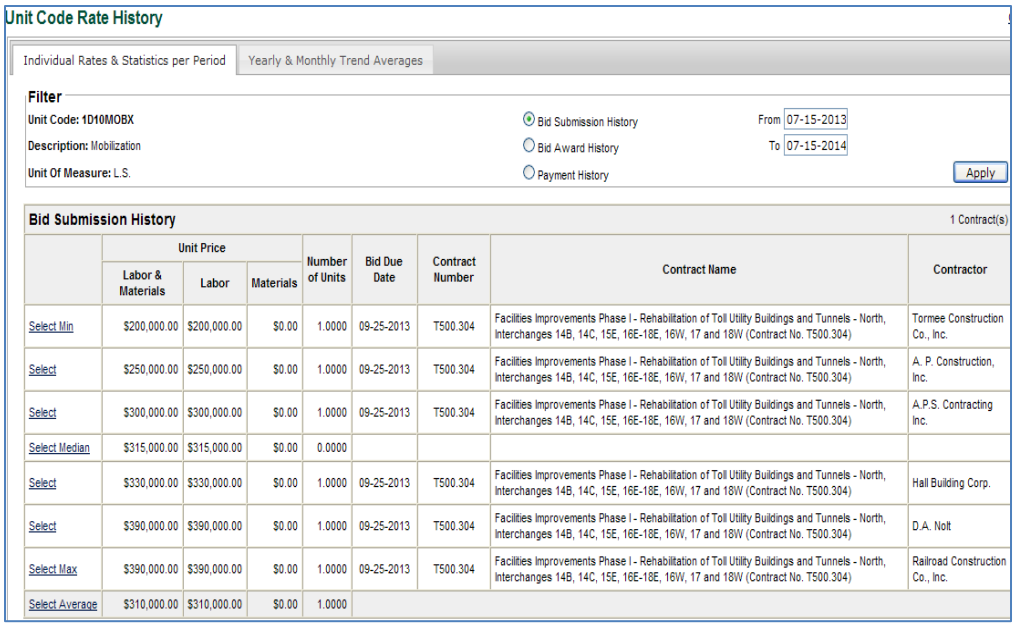
Unit Code	Description	Rate	Unit of Measure	Number of Units	Unit Price	Line Total
1D01HDS	Historic District Sign	History	Each	0.0000	$ 0.00	$ 0.00
1D01SDP	Shop Drawing Preparation	History	L.S.	0.0000	$ 0.00	$ 0.00
1D02LST	Construction Layout for COP #1 Structures	History	L.S.	0.0000	$ 0.00	$ 0.00
1D10MOBX	Mobilization	History	L.S.	0.0000	$ 0.00	$ 0.00
N1D0001	As-Built Survey	History	L.S.	0.0000	$ 0.00	$ 0.00

Save

Figure 14

The History link opens a new window where you can view the item's history, and select a Unit Price based on that data.

By default, it filters for the past year's Bid Submission History, but you can change the time period, or search by Award or Payment History instead. See Figure 15.



Unit Code Rate History

Individual Rates & Statistics per Period | Yearly & Monthly Trend Averages

Filter

Unit Code: 1D10MOBX
Description: Mobilization
Unit Of Measure: L.S.

Bid Submission History
Bid Award History
Payment History

From 07-15-2013
To 07-15-2014

Apply

Bid Submission History — 1 Contract(s)

	Unit Price			Number of Units	Bid Due Date	Contract Number	Contract Name	Contractor
	Labor & Materials	Labor	Materials					
Select Min	$200,000.00	$200,000.00	$0.00	1.0000	09-25-2013	T500.304	Facilities Improvements Phase I - Rehabilitation of Toll Utility Buildings and Tunnels - North, Interchanges 14B, 14C, 15E, 16E-18E, 16W, 17 and 18W (Contract No. T500.304)	Tormee Construction Co., Inc.
Select	$250,000.00	$250,000.00	$0.00	1.0000	09-25-2013	T500.304	Facilities Improvements Phase I - Rehabilitation of Toll Utility Buildings and Tunnels - North, Interchanges 14B, 14C, 15E, 16E-18E, 16W, 17 and 18W (Contract No. T500.304)	A. P. Construction, Inc.
Select	$300,000.00	$300,000.00	$0.00	1.0000	09-25-2013	T500.304	Facilities Improvements Phase I - Rehabilitation of Toll Utility Buildings and Tunnels - North, Interchanges 14B, 14C, 15E, 16E-18E, 16W, 17 and 18W (Contract No. T500.304)	A.P.S. Contracting Inc.
Select Median	$315,000.00	$315,000.00	$0.00	0.0000				
Select	$330,000.00	$330,000.00	$0.00	1.0000	09-25-2013	T500.304	Facilities Improvements Phase I - Rehabilitation of Toll Utility Buildings and Tunnels - North, Interchanges 14B, 14C, 15E, 16E-18E, 16W, 17 and 18W (Contract No. T500.304)	Hall Building Corp.
Select	$390,000.00	$390,000.00	$0.00	1.0000	09-25-2013	T500.304	Facilities Improvements Phase I - Rehabilitation of Toll Utility Buildings and Tunnels - North, Interchanges 14B, 14C, 15E, 16E-18E, 16W, 17 and 18W (Contract No. T500.304)	D.A. Nolt
Select Max	$390,000.00	$390,000.00	$0.00	1.0000	09-25-2013	T500.304	Facilities Improvements Phase I - Rehabilitation of Toll Utility Buildings and Tunnels - North, Interchanges 14B, 14C, 15E, 16E-18E, 16W, 17 and 18W (Contract No. T500.304)	Railroad Construction Co., Inc.
Select Average	$310,000.00	$310,000.00	$0.00	1.0000				

Figure 15

The Yearly & Monthly Trend Averages tab allows you to view average unit

prices and quantities during a set period. By default, it displays Yearly Bid Submission History for the past 5 years.

Unit Price can be selected based on these results as well. See Figure 16.

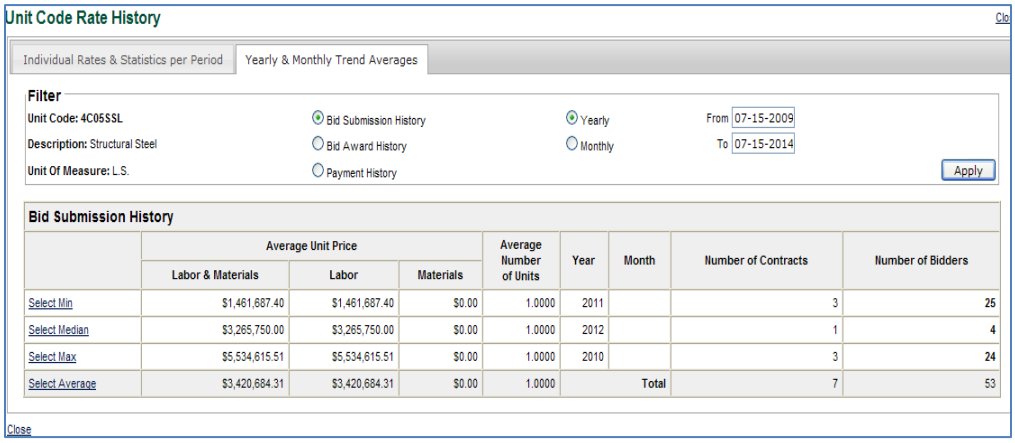


Figure 16

(d) Add Line Items by Search

This allows you to search by Unit Code or Description. Adding items to your Scope of Work is the same as with Add Line Items by Section.

3. Edit Line Items

(a) Assigning Line Numbers

Upon adding base line items using any of the methods above, you are returned to the Edit tab, where you must assign the line number for all added items. CapEx automatically assigns them consecutively. See Figure 17.

Click Save.

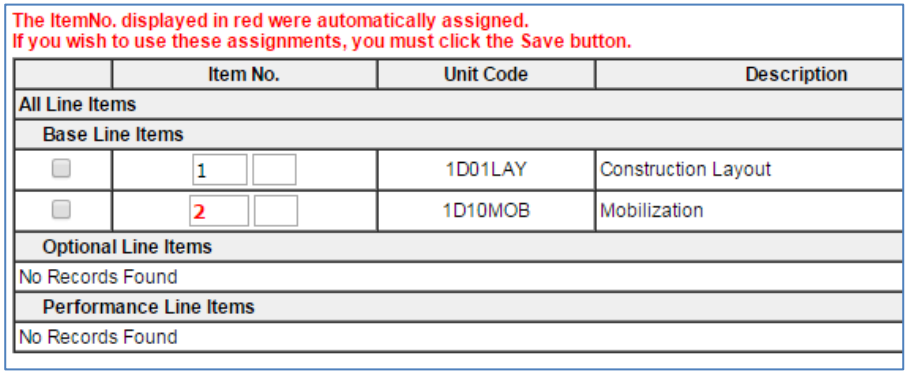


Figure 17

(b) Deleting Line Items

See Figure 17. Click the checkbox in the first column and click Delete Checked Row. Click Save.

4. Request Unit Codes

(a) Add Non-Catalog Line Items

From the Edit Scope of Work Line Items page, click on the tab titled "Add Non-Catalog Line Items." See Figure 18.

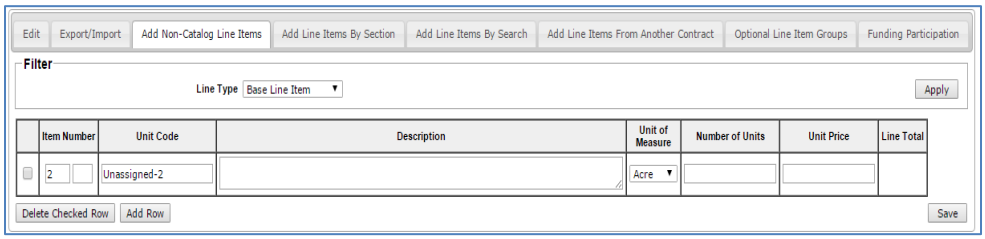


Figure 18

By default, this page will display a single record with the next consecutive Item Number and a Unit Code that begins with the Contract Number. It will also display records of the Design Engineer's pending requests; these have either not been submitted to the Authority yet or they have not been issued yet.

Fields:

- Checkbox is used if you need to delete a requested Unit Code. Checking the record and clicking Delete Checked Row will delete the item from this page as well as from the Edit Scope of Work Line Items page.
- Item Number may be modified at this page or later on under the Edit tab.
- Non-Catalog Unit Code must follow this convention:

  [SectionNumber]-[Blank or N][ItemNo], e.g. 401-N22, where

  - SectionNumber is where the item appears in the Standard Specification or will appear in the Supplementary Specification
  - N indicates a Non-Standard item; a blank indicates an item found in the 2016 Standard Specifications
  - ItemNo is the item number in the pay item list

- Description should follow the format and convention of existing Unit Codes as best as possible. Always use Title Case.
- Unit of Measure
- Number of Units may be modified at this page or later on under the Edit tab.
- Unit Price may be modified at this page or later on under the Edit tab.
- Line Total is automatically calculated.

(b) Submit Design Phase

See *Submit Design Phase Files*.

During Design Phase review, the Authority will issue the requested Unit Codes if there are no comments. The Design Engineer will be e-mailed that the Unit Code review is completed, and the Scope of Work in CapEx is automatically updated with the issued Unit Codes.

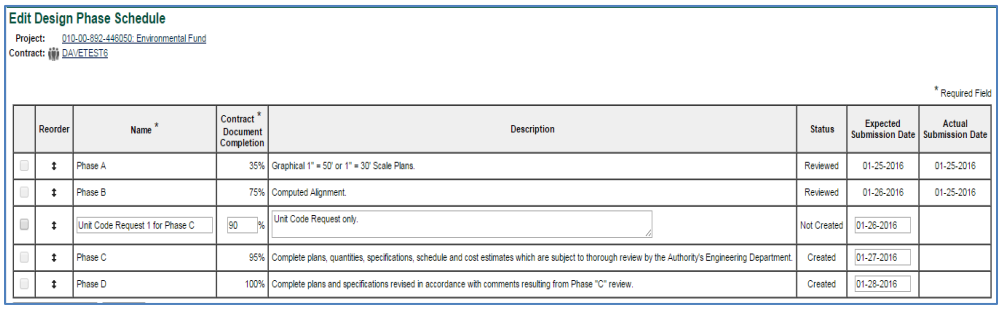
If there are comments that affect issuance of Unit Codes, the Design Engineer will be notified that the submission has been returned to them. After comments are addressed, the Design Phase should be re-submitted.

(c) Interim Unit Code Requests

Although discouraged, Design Engineers may request Unit Codes between Design Phase Submissions.

Add an interim submission following the instructions in *Edit Design Phase Schedule*. Name the submission "Unit Code Request <#> for Phase <Letter>" and enter Description "Unit Code Request only." See Figure 19.

Submit as described in Step 8b above.



Edit Design Phase Schedule

Project: 010-00-882-446050: Environmental Fund
Contract: DAVETEST8

* Required Field

	Reorder	Name *	Contract * Document Completion	Description	Status	Expected Submission Date	Actual Submission Date
	↕	Phase A	35%	Graphical 1" = 50' or 1" = 30' Scale Plans.	Reviewed	01-25-2016	01-25-2016
	↕	Phase B	75%	Computed Alignment.	Reviewed	01-26-2016	01-25-2016
	↕	Unit Code Request 1 for Phase C	90 %	Unit Code Request only.	Not Created	01-26-2016	
	↕	Phase C	95%	Complete plans, quantities, specifications, schedule and cost estimates which are subject to thorough review by the Authority's Engineering Department.	Created	01-27-2016	
	↕	Phase D	100%	Complete plans and specifications revised in accordance with comments resulting from Phase "C" review.	Created	01-28-2016	

Figure 19

(d) Assign Specialty Items

At the Edit Scope of Work Line Items page, check the "SPCL" box for any specialty items in the contract; these item types must be listed in Subsection 103.04 of the Supplementary Specifications. Click Save.

(e) Maintain Engineer's Estimate

During the Bid Period and up until the bid opening, the Unit Costs in Define Scope of Work can be updated.

Note: For changes to No-Bid Unit Costs, an Addendum is required!

Prior to the bid opening, confirm that the Engineer's Estimate in CapEx matches the signed and sealed hardcopy version that is delivered to NJTA.

5. Generate Engineer's Estimate Deliverable

On the Define Scope of Work page, click "Printable Engineer's Estimate" in the top right corner of the screen. This is the Authority's standard format for the Engineer's Estimate deliverable.

6. Respond to Contractor RFIs

See *Bid Period RFIs* for more information.

7. Make Addenda Changes

See *Addenda* for more information.

For Addenda that have changes to the Scope of Work (addition, deletion, or change in items):

Make these changes in Define Scope of Work prior to submitting the draft Addendum to NJTA. Follow the steps described in *Scope of Work*.

Any changes that come as a result of the Addendum review will be made by NJTA to ensure the correct Scope of Work is uploaded to BidX.

8. Perform Bid Analysis

Shortly after the bid opening, the bid tabulation will be available for analysis and award recommendation:

To view the full bid tabulation, go to Procurement Opportunity → Bid Analysis.

To view a table of the Authority bid history of all firms who bid on the contract, go to Procurement Opportunity → Contractor Bid History. Filter by contractor and starting date as desired.

DCP002 Update Supplementary Specifications

I. Overview

Design Engineers shall follow these procedures when creating their project Supplementary Specifications.

II. Procedures

A. General

1. Download the Standard Supplementary Specifications

Design Engineers are advised to download the latest Standard Supplementary Specifications to use as the template ("working document") for their project's Supplementary Specifications. Typically, work on the Supplementary Specifications should begin by the time of the Phase B submission.

2. Track Changes between Submissions

Turn on Track Changes prior to beginning work on a new submission of the Supplementary Specification. Following submission review, all changes should be Accepted or Rejected. Thus, the Phase C submission will indicate changes from the Standard Supplementary Specifications; Phase D will indicate only those changes from the prior submission.

3. Modify the Working Document

Design Engineers may add or delete text according to the needs of their project but shall follow the Notes to Designer found throughout the Standard Supplementary Specifications (in Hidden Text) for Authority's directions.

The working document includes a large number of items that require modification. To make those items easier to locate, they are highlighted in Red. Several types of notes and replaceable information are also contained within the working document.

(a) File Naming Convention

Filenames of electronic submittals ought to follow the convention of:

[Contract No.]_[Phase]_Specifications_[Date as YYYYMMDD].doc

e.g.

T100.034_PhaseC_Specifications_20160103.doc

(b) Typefaces

The majority of the working document uses Book Antiqua in a 9 pt. size. Some parts of the working document, such as Headings, use Arial typeface in various sizes. These typefaces were selected for print standardization purposes.

Use the Styles that are already defined in the document. When pasting in text from another document, make sure that text is re-formatted to match existing Styles.

(c) Table of Contents

The Table of Contents will auto-update prior to saving or printing the working document. The Design Engineer need only update the table of contents if entire divisions, sections, subsections or appendices are added or removed.

(d) Text to be Replaced

When text needs to be replaced or removed, it will be formatted in square brackets, as follows:

[INSERT CONTRACT NO.]

To replace this text, select/highlight and type the proposed text.

All of this text is formatted as a Character Style named "Supplementary – Action Required." There are two methods to find all instances of this text:

Open the Styles menu, right-click on "Supplementary – Action Required" and then click on "Select All ___ Instance(s)".

Use the Advanced Find feature, click More, and filter for the named Style.

(e) Hidden Text

In the 2016 Standard Supplementary Specifications, comments and editorial notes have been formatted as "Hidden" text. The Design Engineer's working document will display all comments and editorial notes, but they will not appear in PDF or printed formats as long as print settings are not set to print hidden text. Deleting or cutting these comments and notes is not required.

(f) Illustrations and Forms

Illustrations and forms are to be placed in the appendices. Neither should be contained within the body of a subsection.

References to an appendix should be letter-specific, e.g. "See Appendix AB."

(g) Page Numbers

Page numbers in the Supplementary Specifications start at one (1) and continue in sequential order to the end of the document. Pages are numbered in the Footer. To print specific page ranges, designate the page and section, as follows: p1s9 – p15s9. This designation will print pages 1 to 15 in the Divisions sections of the Supplementary Specifications. Each boilerplate part, and all appendices, is assigned their own section number.

B. OSC Reviews

The Office of State Comptroller (OSC) is required to approve the advertisement of any construction contracts with an engineer's estimate of $15.2 million or more (effective July 1, 2025). At Phase C, NJTA will deliver the Supplementary Specifications to OSC for up to a 30-day review. Design Engineers must account for the OSC review period in their project schedule (minimum 30 days, say 45 days).

General workflow and guidelines are as follows:

1. Submit Phase C Supplementary Specifications to OSC (NJTA OSC Liaison)

NJTA Project Manager will deliver the Specifications to the NJTA OSC Liaison. NJTA Contracts Section will verify that it was sent to OSC during their Phase C review; in addition, the monthly design phase status report indicates which upcoming Phase C submissions require OSC review.

2. Address OSC Comments (Design Engineer and NJTA)

OSC comments will be concurrently addressed by the Design Engineer and NJTA.

Legal comments (typically Division 100) will be addressed by NJTA, while technical and all other comments will be addressed by the Design Engineer, who shall deliver the Specifications Word file back to the NJTA Project Manager following these guidelines:

(a) Respond to all OSC comments within the margins of the Word file.

(b) Turn on Tracked Changes before making any revisions.

(c) Return the Word file no later than three (3) business days after receipt of comments.

3. Perform Internal Review and send response to OSC (NJTA)

NJTA will review internally, which requires Law Department review (and in some cases, outside counsel). Account for three (3) business days.

4. Address any Resubmission Comments (Design Engineer and NJTA)

NJTA OSC Liaison will relay either approval or additional comments.

5. Incorporate Tracked Changes into Phase D (Design Engineer)

Ensure that tracked changes from the OSC-approved version of the Specifications is incorporated.

DCP003 QPL Guidelines for Design Engineers

I. Overview

Design Engineers shall follow these procedures for utilizing and referencing the Qualified Products List (QPL) during the design of the project. Detailed information on accessing the QPL can be found in the "NJTA QPL Manual", found on the Authority's website.

"QPL Submittals" is a list of all vendor submittals in all statuses, including products on the QPL. It is accessible by all CapEx users with the Design Consultants role. Once logged in, go to Administration → QPL Submittals. If you cannot access this, contact contracts@njta.com.

Refer to the "NJTA QPL Manual" for how each Product status and Product Type status is defined.

Definitions:

1. **QPL Products** are products approved for use in construction by the Authority. They appear in CapEx and may be associated with one or more Product Types, defined below. Contractors must use QPL Products when applicable to the project's scope of work, or must otherwise submit approved equals or substitutions; refer to Section 105 of the Specifications.
2. **Product Type** is a category which a product belongs to in Division 900. For example, the Product Type "Crack Sealant" corresponds to Subsection 904.03. Note that not all Product Types will have products on the QPL, and that some Product Types do not yet exist in Division 900.
3. **Standard Product Types** are those appearing in Division 900 of the Standard and Standard Supplementary Specifications. Design Engineers shall not modify Standard or Standard Supplementary language for Standard Product Types in Division 900. Modifying language may materially alter the criteria under which QPL Products were evaluated and approved.
4. **Non-Standard Product Types** are those Division 900 Subsections that have been incorporated into a Contract's Supplementary Specifications which were not already in the Standard Supplementary Specifications.
5. **Qualification Criteria** are the Division 900 material and/or performance specifications that must be met by a product for that Product Type.

6. **Supplemental Products List (SPL)** appears in Appendix Q of the Supplementary Specifications, and lists products which are not on the QPL but are allowed or required for the Contract. Design Engineers shall submit an SPL Form per the instructions below, which prompts the Authority to generate and provide Appendix Q for incorporation.

II. Procedures

Refer to the DCP003 Workflow at the end of this Section, which corresponds to the numbered procedures below.

A. Product Types

1. Specify Standard Product Types with QPL Products

If the desired product is on the QPL, follow these instructions:

a) Identify: The Product Type of interest is identified on the QPL.

b) Incorporate: Incorporate any Standard Supplementary Specifications for that Product Type into the Supplementary Specifications; Division 900 for Standard Product Types shall not be modified.

c) Cross-reference: List the Product Type's Division 900 Subsection title and number within the relevant "Materials" Subsection, e.g. 401.02. Refer to the Standard Specifications first, then the Standard Supplementary Specifications; modify the relevant "Materials" Subsections as necessary (i.e. add or remove references to Division 900 Subsections).

d) Add Usage: In addition to the cross-reference, the corresponding Section should also explicitly state the usage or application of the Product Type. Add any language from the Standard Supplementary Specifications, then modify as necessary for the project's needs.

2. Specify Non-Standard Product Types with Supplemental Products

If the Product Type does not exist, follow these instructions:

a) Create: Generate a new Subsection heading under the appropriate Division 900 Section, following the last Standard Subsection. Add Qualification Criteria, and the sentence "Refer to Appendix Q for approved suppliers." See below regarding Appendix Q.

b) Cross-reference: As described in (A)(1)(c) above.

c) Add Usage: As described in (A)(1)(d) above.

d) Justify: Add justification for proposing this product in the Supplemental Products List spreadsheet referenced below.

B. Products

A Supplemental Products List (SPL) Form must be submitted prior to Phase C and Phase D in the format given in the sample SPL file given on the Authority's website. The submittals shall be delivered via CapEx according to the instructions below.

The spreadsheet columns are defined as such:

Table 1 – SPL Spreadsheet Columns

Column	Description
SPL Category No	Described in Steps B1 through B4 below.
SPL Category	" "
SPL No	Consecutive index numbering for the records in the spreadsheet.
Product Type	The Subsection number, e.g. 904.08.
Product Type Description	The Subsection title, e.g. Latex Additive Tack Coat.
Proprietary?	"Proprietary" or "Generic"
Product Name	The commercial name of the product.
Manufacturer	Company name.
Supplier	Company name; add rows if there are multiple known Suppliers. **If unknown, enter the Manufacturer.**
Address Line 1, Address Line 2, City, State, ZIP, Website, Office Phone, Cell Phone, E-mail, Contact Name	Supplier's contact information, which **must be confirmed**. **Vendor should also be directed to register a profile in CapEx per the QPL Manual**; NJTA will confirm this registration and follow-up with Vendor if necessary.
Justification	Provide where applicable.

Steps for completing the SPL spreadsheet are as follows:

1. Add Products to Standard Product Types

These products must meet the Qualification Criteria of the Standard Product Type.

Enter "1" under SPL Category No and complete the rest of the fields.

2. Add Products to Non-Standard Product Types

Design Engineer shall provide Qualification Criteria for the products in Division 900 for the Non-Standard Product Type.

Enter "2" under SPL Category No and complete the rest of the fields.

3. Propose deletions from the QPL

Design Engineer shall not unilaterally delete Products from the QPL. These Products will be re-evaluated by NJTA for deletion.

If there are no deletions to be made, skip to step B4.

If a QPL Product is unsuitable for the project design, then refer to step A2. Also, justification must be provided as to why the QPL Product(s) are unsuitable.

Enter "3" under SPL Category No and complete the rest of the fields except vendor name and contact information.

4. Propose corrections to the QPL

Corrections may include outdated or wrong Product Name, incorrect Product Type, incorrect Supplier information, etc.

Justification for such corrections should be provided, if applicable.

Such corrections do not necessarily coincide with quarterly QPL updates, and thus they may appear sooner than other proposed changes.

Enter "4" under SPL Category No and complete the rest of the fields.

5. Submit SPL Spreadsheet

The SPL Form is found at https://www.njta.com/doing-business/professional-services/standard-specification

See Figure 20. Create an interim design phase in Manage Design Submissions called "SPL Submission for Phase X", where X is the actual phase letter. Follow instructions under Submit Design Phase Files to upload the SPL spreadsheet and submit; this will

notify NJTA to generate Appendix Q, and deliver it back to the Design Engineer for incorporation into the upcoming Phase submittal.

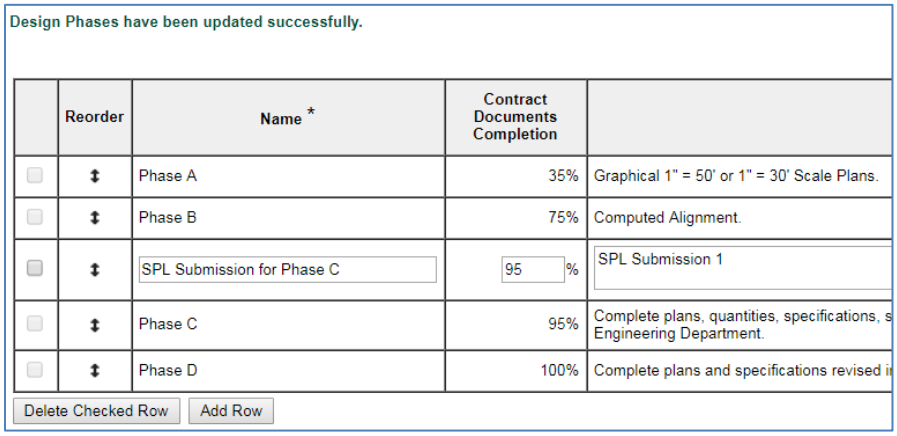


Figure 20

6. Generate Appendix Q (NJTA Contracts)

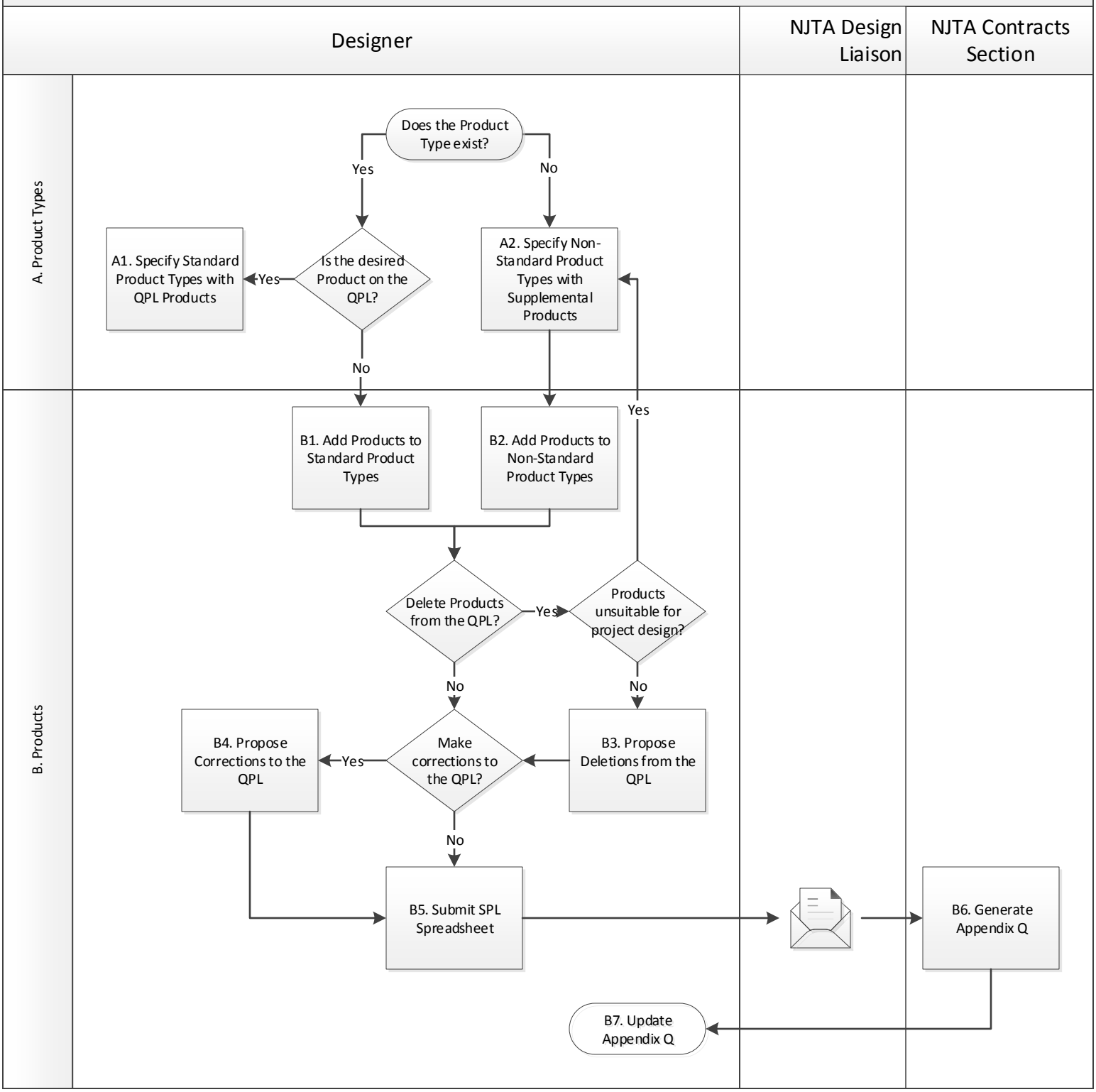
NJTA Contracts generates Appendix Q which reflects products provided in the SPL Form. It is delivered back to the Design Engineer following design phase submission.

7. Update Appendix Q

Add Appendix Q to the Supplementary Specificiations.

NJTA Engineering Department – Process Map
DCP003 – Supplemental Products List (SPL)

September 2018
Revision 2



DCP004 Issue Addenda

I. Overview

Design Engineers shall follow these policies and procedures as it relates to the preparation and execution of addenda.

Definitions:

Addenda are issued to change, clarify, revise, add or delete portions of the Proposal, Plans or Specifications before receipt of bids. Addenda are only to be issued through NJTA's Engineering Department, but it is the Design Engineer's responsibility to prepare and submit an Addendum in the required format.

An Addendum is to be prepared and issued as soon as the Engineer becomes aware of the need; as much time as possible must be allowed for the prospective bidders to reflect the Addendum in their proposals. Any Addendum which, by written description, changes the Plans shall be supplemented by revised Plan sheets, issued after the award of the Contract. The procedure is as noted under *Changes of Plan*. Revised plan sheets shall be issued prior to the pre-construction conference.

The use of Addenda is discouraged. Every effort shall be made to ensure the correctness of contracts as prepared for advertising.

Amendment is a BidX term referring to an electronic file that alters the original proposal file as a result of a change to the schedule of items, bid date, or proposal forms.

II. Procedures

A. Post-Advertisement

1. Download Bid Documents

To ensure correct page and sheet number referencing in addenda and Contractor RFIs, Design Engineer should download all Bid Documents that were advertised and posted to BidX. Any changes by NJTA after Final Design Documents were submitted will be relayed to Design Engineer. All Bid Documents are publicly available without requiring a BidX subscription except for the Bid Plans, which will be made available separately by Contracts Section.

2. Maintain Addenda Schedule

Keep track of contract changes required by addenda as a result of overlooked design flaws, NJTA directives, or Contractor RFIs. Schedule anticipated addenda appropriately by considering the following:

The deadline for addenda (without requiring a bid date change) is by noon on the 4th business day before the bid opening in completed and corrected format.

Avoid issuing large addendum (in terms of page count and/or significant design changes) on the deadline date.

Use the *Design Phase Schedule* feature in CapEx to create anticipated addenda submission dates. For the Name, enter "Addendum#_", where the underscore represents the number. The schedule is likely to change, so anticipated addenda and their respective dates do not need to reflect actual addenda submissions.

3. Prepare Draft Addendum

Prepare addendum files following the formats shown in the "Sample Addendum Files" folder included in the download of this Manual.

The Addendum letter is required for all addenda and should follow these guidelines:

a) The first part of the letter is the same for all addenda. The latest letterhead will be inserted by Contracts if not provided.

   For the sentence "…Contract Plans and Specifications dated <Month>, <Year>…", use the date that the Chief Engineer signed the title sheet of the Plans.

b) The "Pertaining to the Advertisement for Proposals" heading will typically include any changes to the bid date, classification or rating. "Principal Items of Work" do not have to be revised with any quantity change. Revised advertisement pages do not have to be attached as part of the addendum.

c) The "Pertaining to the Contract Agreement" heading will typically include changes to the contract completion date, interim phase completion dates, or liquidated damage amounts. Any revised Contract Agreement pages must be submitted with the addendum.

d) The "Pertaining to the Proposal" heading will typically include changes to the scheduled items of work or proposal forms. If deleting an item, do not renumber items. If adding items, number them at the end of the scheduled items of work.

e) Design Engineer shall make item changes in CapEx according to the instructions in *Define Scope of Work*.

f) The "Pertaining to the Specifications" heading will include any changes to the body of the Supplementary Specifications.

Be as descriptive as possible when addressing the location of the Specification change, i.e. rather than saying "the 15th paragraph of Subsection 802.05", one can say "the 2nd full paragraph from the bottom of page 392", or "the 1st paragraph after Table 8A".

g) Refer to Standard Specification Subsection 101.01 to understand the differences among Division, Section, Subsection, Paragraph, Subparagraph and Part.

h) Do not reference Standard Specification changes directly; for example, if you want to remove a sentence from the Standard Specifications and that Section is not yet in the Supplementary Specifications, that Section and Subsection must first be added to the Supplementary Specification; then, language can be added to delete the sentence accordingly.

i) When adding a new Section, include all language in the same format as the Supplementary Specifications.

j) The "Pertaining to the Appendices" heading will include changes to new and existing appendices.

k) Note that there is no need to address revisions to the Table of Contents to reflect new Appendices nor new Sections or Subsections.

l) The "Pertaining to the Plans" heading will include Revision, Replacement, or New plan sheets.

i. A Revision Sheet is as described in Changes of Plan. Revisions shall be bubbled, and the revision box shall be updated. The Revision Sheet number shall not be modified.

ii. A Replacement Sheet is as described in Changes of Plan. This is a plan sheet wherein the revisions cannot be bubbled as on a Revision Sheet. The Replacement sheet number shall be modified as the original plan sheet number plus a suffix "R", e.g. replacement to sheet 10 shall be numbered 10R (replacement to sheet 10R shall be numbered 10R-2, etc.)

iii. A New Sheet is as described in Changes of Plan. New Sheets shall be numbered as the preceding plan sheet number plus a suffix "A", e.g. a

new sheet after sheet 10 shall be numbered 10A (a new sheet after 10A will be numbered 10B, etc.)

iv. Submittal format shall be as a single PDF file; if there are multiple sheets, they are to be appended into a single file. The name of the file shall be Contract No.-Addendum No.-PS.pdf, e.g. T100.034-4-PS.pdf.

m) Letters, contract agreement pages, etc. must be submitted in Microsoft Word format, with comments removed, tracked changes off and all changes accepted. Attachments such as sketches or plan sheets shall be in PDF format.

Each attachment shall be separate and follow the NJTA file naming convention:

<Contract No>-<Addendum #>-<L, C, PS, or X_>,

where C is for Contract Agreement, L is for letter, PS is for Plan Sheets, X_ is for Appendix

Examples: T869.120.604-1-L.doc (T869.120.604 Addendum 1 Letter); T100.034-4-PS.pdf (T100.034 Addendum 4 Plan Sheets), P100.024-3-XO.doc (P100.024 Addendum 3 Appendix O).

4. Submit Addendum

Use the *Design Phase Schedule* feature in CapEx to submit all addendum files as a single ZIP file. The Project Manager and Contracts Section will be notified upon submission.

5. Track Changes for Post-Bid Documents

Addenda changes must be tracked for post-bid submission. Refer to *Prepare Post-Bid Documents*.

6. Addendum Review

The Project Manager and/or Contracts Section may request changes after initial submittal of the addenda files. To accommodate the changes and prevent delay of the addendum, the Design Engineer must be available for immediate response from when the addendum is submitted to Contracts Section to the addendum deadline date. If the Addendum is found unsuitable for issuance:

a) NJTA may request that Design Engineer make the changes and re-send the Addendum file(s). The Design Engineer will receive an e-mail indicating that the submission has been "returned" for re-submittal.

b) NJTA may send a tracked-changes document to Design Engineer for final sign-off via e-mail. Design Engineer shall review the document and make comments if they don't agree with the changes. If they agree with the changes, they shall accept all changes, turn off tracked changes, and re-submit the addendum as detailed in the step above.

c) For ultimately superficial changes, the Contracts Section may apply the revisions without requiring re-submittal. The Design Engineer will be notified of any changes.

7. Download Published Addendum

Navigate to BidX and download the published addendum for proper future reference.

8. Prepare Subsequent Addenda

Perform steps 2 through 7 again if necessary.

B. Post-Bid

1. Prepare Post-Bid Documents

The Post-Bid Documents are used for the pre-construction meeting and during construction to add clarity to addenda changes. They consist of:

- The Bid Plans with addenda changes incorporated and title blocks signed by the engineer.

2. Submit Post-Bid Documents

Send the Post-Bid Documents electronically to the Project Manager.

DCP005 Bid Period RFIs

I. Overview

Design Engineers shall follow these guidelines as it relates to Requests for Information (RFIs) that are submitted by potential bidders during the bid period. All requests are centralized in CapEx so as to ensure that the design team is notified of any new requests and of any pending action. A hierarchy of answer approvals also ensures that a comprehensive review is performed, from the Design Engineer up to and including the NJTA Supervising Engineer.

The following are general guidelines regarding RFIs:

1. The deadline for Questions is five (5) business days prior to the bid opening, at whichever time the bid is scheduled for. When answering questions, keep in mind that Contractor posted questions are NOT viewable by the general public unless it has been answered. Only the Contractor who posted the question can view it. Also keep in mind that the identity of the person who posts the question or responds is kept hidden from the general public.
2. Contractor questions can be broken down into three categories:
   - Non-essential: These questions, if answered, will not lead to a clarification of the contract document.
   - Valid (No Addendum): Answers to these questions direct the Contractor to the location or locations where they may be able to find the answers.
   - Valid (Addendum): Answers to these questions can only be via an Addendum.
3. When in doubt, consult the Construction Liaison Engineer. There are times when questions raise issues that can either be addressed post-bid or via an Addendum. Depending on constraints such as timing and the overall impact to the contract, Design and Construction staff together can decide the best outcome. In one instance, there was a quantity bust that would normally be corrected in an addendum. Due to the timing however, a postponement to the bid date would have been necessary, so it was handled post-bid.
4. Do not answer non-essential questions in CapEx unless they were lumped together with valid questions. Post responses only to questions that will lead to a clarification of the Contract Documents. Questions regarding printing services,

electronic bid submittals, paper proposal submittals, etc., do not have to be answered in CapEx. As a courtesy, we recommend that they be called and directed to the right person:

Questions about Electronic Bid Submission: 1-888-352-BIDX

Posting responses to these types of questions might lead Contractors to believe that all non-essential questions are okay to ask through CapEx. Depending on the Contractor, Authority staff could find themselves spending a lot of time answering these types of questions.

5. Do not answer requests for extensions of time in CapEx unless it was requested within a group of questions. The response should be "The request of an extension of time will be considered by the Authority and, if granted, will be issued in a future Addendum." If the extension is not going to be granted, then the Project Engineer should give a courtesy call. Again, the courtesy call or email should be non-committal ending with "we won't be issuing the extension at this time…" The reason for this is that there may be a future question or an issue that will prompt an extension such as a Contractor question revealing a significant issue.

6. Refrain from answering questions after the deadline. If you are answering a question AFTER the deadline, we recommend you answer all valid questions posted from the time of deadline to the latest question answered. Note the following:

   An extension of the bid period results in an extension of the question period. Due to an extension, you may be obligated to answer unpublished questions that were previously deemed "late". Therefore, submitting a response indicating that the question was submitted after the deadline is not recommended; doing this will post the question to the general public, and that post cannot be revised. If you feel that the bidder needs a response or it is deemed that the issue can be addressed after the bid, send a direct e-mail with this generic response rather than answering through CapEx: "This request was received past the date established in Section 102.05 of the Supplementary Specifications. As such, responses will not be posted."

7. All Valid (Addendum) questions should be answered with "An Addendum will be issued in response to your inquiry." Do not include Addendum Number or indicate a date for the Addendum. There have been cases where Addenda were

combined or delayed. Listing an Addendum Number or date may cause confusion.

II. Procedures

A. Bid Period

1. Review and Respond to RFI

After a potential bidder posts a question to CapEx, the user assigned as Design Engineer to the project in CapEx will receive an e-mail notification.

Log-in to CapEx and go to the project's Contract Summary page. Go to the Procurement Opportunity tab and click Question Summary. Then:

a) For the desired question record, click the link under the Status column. See Figure 21.

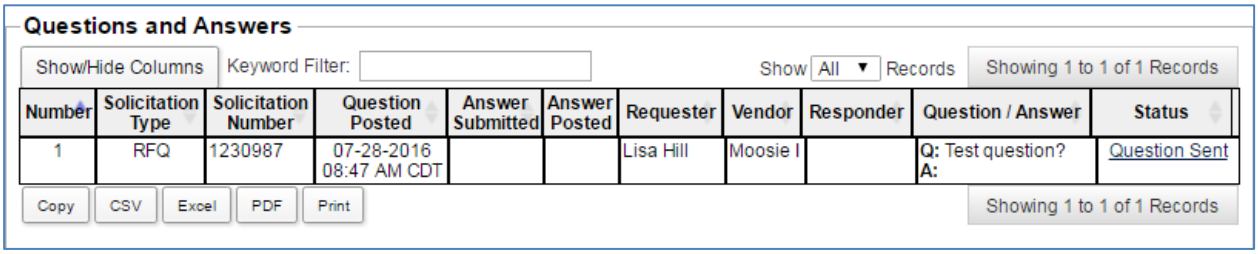


Figure 21

b) Enter the response in the Answer box and click "Save". (The response is saved, but it has not yet been sent to the NJTA Project Engineer.) See Figure 22.

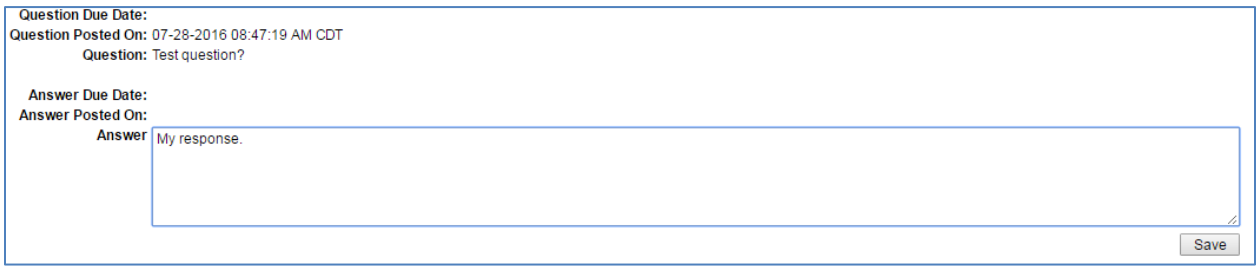


Figure 22

c) After saving, you will be brought to the View Question and Answer Details page. Click "Edit Answer" to edit the answer. Enter an optional comment that will only be viewable to the Design Engineer and Authority users. Click Submit. See Figure 23.

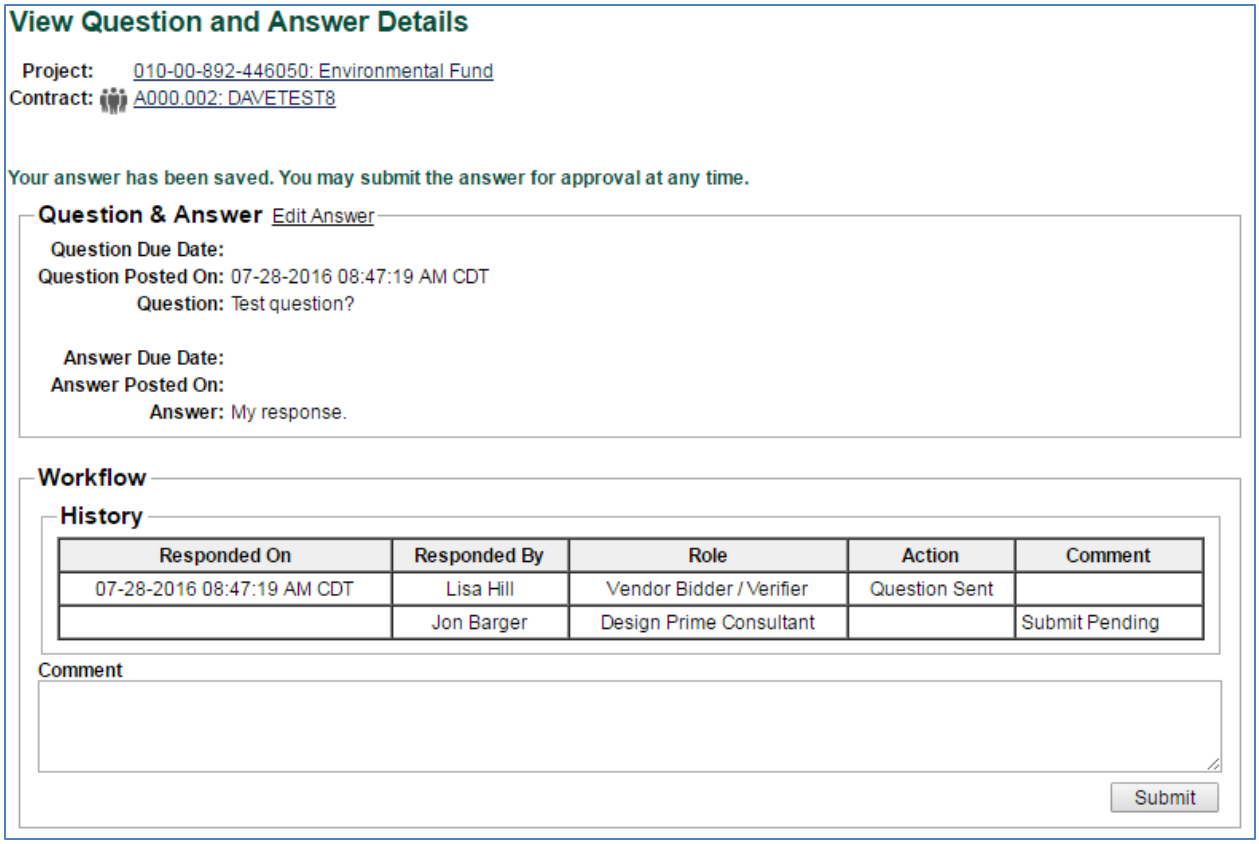


Figure 23

d) Authority users will review the submitted response and either approve or reject back to the Design Engineer. If the latter, return to step (a) above.

DCP006 Issue Changes of Plan

I. Overview

Design Engineers shall follow these policies and procedures as they relate to the preparation and execution of a Change of Plan ("COP").

A COP is issued to correct errors or omissions in the advertised bidding plans after award of the contract. If a COP alters the scope of a contract, introduces new items of work or deletes items of work from a contract, a Change Order, as outlined in the Construction Manual, must be prepared.

The Engineer initiates such a change by sending "Approved by the NJTA but Unofficial Plans" to the contract's Resident Engineer. These plans are used to negotiate a price, or to establish unit prices with the contractor, as required. Once the price(s) have been established, the Engineer then begins to process the Change of Plan through the steps outlined below.

II. Procedures

A. Post-Award

1. Initiate COP

The Engineer initiates a COP by sending "Approved by the NJTA but Unofficial Plans" to the contract's Resident Engineer. These plans are used to negotiate a price, or to establish unit prices with the contractor, as required.

2. Revise Drawings

After revisions have been approved by the Project Manager, the revisions are made to the full-size drawings by the Design Engineer and appropriately noted in the Revision Box.

(a) Revision Sheets

For revising an existing drawing, revisions must be made and "bubbled" (see Sample Plans). They shall be clearly noted in Revision Box. The revision number shall be shown in a small triangle adjacent to the "bubbled" revision(s).

(b) Replacement Sheets

If the revisions to be made are so significant that "bubbling" would make a plan unreadable, the entire sheet shall be replaced. For any new drawing made to replace an existing drawing, the sheet number is amended by the

letter "R", (i.e., Sheet No. 28 is to become Sheet No. 28R). The date of the new drawing and the notation "Replacement Sheet" is to be shown in Revision Box.

(c) Additional Sheets

Additional new drawings to be inserted in established Plan sets shall receive the sheet number of the preceding established Plan sheet and the suffix "A". The number of the established Plan sheet preceding the inserted sheet shall remain unchanged, (i.e., a new sheet inserted between established Sheet Nos. 28 and 29 would be designated Sheet No. 28A). Revisions (including date of new drawing) are to be noted in Revision Boxes of new and re-designated sheets.

(d) Title Sheets

For cases covered by Paragraphs b. and c. above, the Title Sheet drawing is to be revised upon the completion of construction, and it must show correct sheet numbers.

(e) New Line Items

If a new line item is added by COP, the line number should be the next consecutive line number on the item list followed by an "X", e.g. the last line number on the item list is 100, then a new item would have line number 101X.

Unit Codes may remain blank if the existing code is unknown. The Resident Engineer will enter this upon approval of the Change Order.

(f) Specification Changes

If the Contract Specifications are to be revised as part of the COP, then the Engineer shall incorporate the changes onto a relevant plan sheet or new plan sheet. (Per the Standard Specifications, plan sheets hold precedence over specifications.)

3. Submit Revised Drawings

Any revised CADD files in both MicroStation and PDF formats shall be sent to the Authority Project Manager and shall be in accordance with the current NJTA CADD Manual.

At least twelve (12) printed copies, or as directed, of the revised drawings shall be forwarded to the Resident Engineer. The Resident Engineer will retain three (3) copies each for his own use, two (2) copies shall be submitted to NJTA's Engineering

Department, and the Resident Engineer will formally transmit seven (7) copies of each to the Contractor. Additional copies may be necessary, as directed by the Project Manager.

Superseded drawings will be voided.

NJTA's Engineering Department will forward the revised drawings to the Resident Engineer for their eventual preparation of the "As-Built" drawings.