



U.S. Department
of Transportation
**Federal Highway
Administration**

Alaska Division

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Lauren Little, P.E.
Chief Engineer
Alaska Department of Transportation and Public Facilities
P.O. Box 112500
Juneau, AK 99811-2500

Re: CM/GC Project Action Responsibility Matrix

Dear Ms. Little:

The Federal Highway Administration (FHWA) Alaska Division (Division) has developed the enclosed Project Action Responsibility Matrix (Matrix) for all FHWA-funded Construction Manager/General Contractor (CM/GC) delivered projects administered by the Alaska Department of Transportation and Public Facilities (DOT&PF). The Matrix shall be applied to all active FHWA-funded CM/GC projects effective immediately.

The Division appreciates the engagement with DOT&PF in development of the Matrix. We look forward in continuing the collaboration on the draft CM/GC Manual. Please reach out to me if you have any questions.

Sincerely,

Emily Haynes
Acting Deputy Division Administrator

Enclosures: CM/GC Project Action Responsibility Matrix

Cc: Jonathan Weaver, P.E., Acting Engineering & Operations Team Leader, FHWA
Michael Lukshin, P.E., Northern Region Area Engineer, FHWA
Cole Carnahan, Central Region Area Engineer, FHWA
Sean Holland, P.E., Central Region Director, DOT&PF
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Brandon Irvine, P.E., Preconstruction Standards Engineer, DOT&PF

CM/GC PROJECT ACTION RESPONSIBILITY MATRIX

ACTIVITY	NHS		Non-NHS	
	DOT&PF ACTION	FHWA ACTION	DOT&PF ACTION	FHWA ACTION
CM/GC Procedures [23 CFR 635.504(c)]	Prepare	Approve ⁱ	<i>No Change</i>	<i>No Change</i>
CM/GC Procedure Exceptions [23 CFR 635.504(c)]	Prepare	Approve	<i>No Change</i>	<i>No Change</i>
Project Delivery Selection Evaluation	Invite	Participate ⁱⁱ	<i>No Change</i>	<i>No Change</i>
Approval for CMGC Delivery Method Use	Prepare	Approve	Prepare and Approve	Review ⁱⁱⁱ
Contractor Outreach Meetings	Invite	Participate ⁱⁱ	<i>No Change</i>	<i>No Change</i>
Pre-Proposal Meeting	Invite	Participate ⁱⁱ	<i>No Change</i>	<i>No Change</i>
Potential Conflict of Interest [23 CFR 172.7(b)(4)]	Notify	None	<i>No Change</i>	<i>No Change</i>
Facilitator and ICE Statement of Services	Prepare	Review ⁱⁱⁱ	<i>No Change</i>	<i>No Change</i>
RFP [23 CFR 635.112(j), 23 CFR 172.7(a)]	Prepare	Approve ^{iv}	Prepare and Approve	Review ⁱⁱⁱ
RFP Clarifications	Prepare	None	<i>No Change</i>	<i>No Change</i>
RFP Addenda^v [23 CFR 635.112(j)]	Prepare	Approve	Prepare	Review ⁱⁱⁱ
Major RFP Addenda^v [23 CFR 635.112(j)]	Prepare	Approve	Prepare	Review ⁱⁱⁱ
Re-issuing Procurement	Notify	None	<i>No Change</i>	<i>No Change</i>
Cancelling Procurement	Notify	None	<i>No Change</i>	<i>No Change</i>
Evaluation Committee [23 CFR 635.504(b), 23 CFR 172.7(a)]	Invite	Participate ^{vi}	<i>No Change</i>	<i>No Change</i>
Short-List [23 CFR 635.504(b)(4), 23 CFR 172.7(a)]	Prepare	None	<i>No Change</i>	<i>No Change</i>
Interviews	Invite	Participate ⁱⁱ	<i>No Change</i>	<i>No Change</i>
Cost or Price Analysis for Preconstruction Services Procurement (including contract modifications)^{vii} [23 CFR 635.506(b)(2)]	Prepare	Approve	Prepare and Approve	Review ⁱⁱⁱ
Concurrence In Award and Authorization – CMGC Contractor’s Preconstruction Services^{vii} [23 CFR 635.506(b), 23 CFR 635.506(e)]	Prepare	Concur in Award and Authorize	Prepare and Award	Review Award and Authorize
Preconstruction Services Contract^{viii} [23 CFR 635.506(e)]	Prepare and Execute	None	<i>No Change</i>	<i>No Change</i>
Preliminary Engineering Authorization (including cost of CMGC Contractor’s Preconstruction Services) [23 CFR 630.106, 23 CFR 630.106(a)(8)]	Prepare	Authorize ^{ix}	<i>No Change</i>	<i>No Change</i>
Project Kick-Off Workshop	Invite	Participate ⁱⁱ	<i>No Change</i>	<i>No Change</i>
Risk Management Meetings	Invite	Participate ⁱⁱ	<i>No Change</i>	<i>No Change</i>
Project Design and Constructability Reviews	Prepare and	Review ⁱⁱⁱ and	<i>No Change</i>	<i>No Change</i>

CM/GC PROJECT ACTION RESPONSIBILITY MATRIX				
ACTIVITY	NHS		Non-NHS	
	DOT&PF ACTION	FHWA ACTION	DOT&PF ACTION	FHWA ACTION
	Invite	Participate ⁱⁱ		
Cost Estimate Review Meetings	Invite	Participate ⁱⁱ	<i>No Change</i>	<i>No Change</i>
Proceed with at-risk Final Design^x [23 CFR 635.505(c)]	Notify	None	<i>No Change</i>	<i>No Change</i>
Use of Early Work Package	Consult	Review ⁱⁱⁱ	<i>No Change</i>	<i>No Change</i>
Price Estimate for Entire Project^{xi} (including Early Work Package) [23 CFR 635.506(d)(2)]	Prepare	Approve	Prepare and Approve	Review ⁱⁱⁱ
Indirect Cost Rate^{xii} [23 CFR 635.504(e), 23 CFR 635.507(b), 23 CFR 635.507(c)]	Prepare	Approve	Prepare and Approve	Review ⁱⁱⁱ
Construction Price Proposal Analysis (including early work package)^{xiii} [23 CFR 635.506(d)(4)]	Prepare ^{xiv}	Approve	Prepare and Approve	Review ⁱⁱⁱ
Construction Price Analysis for Contract (or Contract Modification that Revises Scope, Schedule or Price) for Entire Project or Portion of Project^{xv} [23 CFR 635.506(d)(3)]	Prepare	Approve	Prepare and Approve	Review ⁱⁱⁱ
Request for Concurrence in Award^{xvi} – Construction Services (including early work package) [23 CFR 635.506(e), 23 CFR 635.114]	Prepare	Concur in Award	Prepare and Award	Review ⁱⁱⁱ
Construction Services Contract^{viii} [23 CFR 635.506(e)]	Prepare and Execute	None	<i>No Change</i>	<i>No Change</i>
Reject Price Proposal	Notify	None	<i>No Change</i>	<i>No Change</i>
Construction Services Contract Non-Award Determination^{xvii}	Notify	None	<i>No Change</i>	<i>No Change</i>
Request for Construction Authorization (including early work package) [23 CFR 635.506(d)(5), 23 CFR 635.309]	Prepare ^{xviii}	Authorize	<i>No Change</i>	<i>No Change</i>
Use Another Procurement Process^{xvii} [23 CFR 635.504(b)(6)]	Notify	Concur	Notify	None
Post-NEPA approval review of at-risk final design costs for eligibility [23 CFR 635.506(c)]	Prepare	Approve	<i>No Change</i>	<i>No Change</i>

ⁱ Approval of procedures constitutes approval to proceed with development of the CM/GC RFP.

ⁱⁱ Participation by FHWA will be based on time availability.

ⁱⁱⁱ FHWA is provided an opportunity to review and submit comments to DOT&FP within the specified time-frame.

^{iv} The Project Manager will submit the CM/GC RFP to FHWA for approval prior to advertising the CM/GC RFP. Major RFP Addenda are submitted to FHWA for approval prior to posting. Early and continuous coordination is encouraged by providing a draft RFP for FHWA review.

^v DOT&PF does not define Major Addendum within the PSA Manual. Actions apply to all addenda.

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- ^{vi} FHWA is provided an opportunity to act as a non-voting member of the evaluation committee.
- ^{vii} The Project Manager will submit the PSA, RONS, and NTP for preconstruction price analysis and preconstruction services award. FHWA will be provided approval/concurrences through a memo.
- ^{viii} Executed contract is provided to FHWA immediately following execution.
- ^{ix} FHWA must authorize preliminary engineering (including the costs of preconstruction services) before incurring such costs. If preconstruction services were not included in original authorization, request a modification to include those costs if necessary. Concurrence in Award and Authorization will be issued at the same time.
- ^x DOT&PF must have a FHWA-approved procedure to segregate the at-risk work from work eligible for reimbursement.
- ^{xi} DOT&PF to provide price estimate for entire project prior to any construction authorizations, including early work packages.
- ^{xii} Indirect cost rate only applies to the CM when the method of payments for preconstruction services is based on actual costs (cost-reimbursement contracts).
- ^{xiii} Approval is provided through the Bid Award Recommendation.
- ^{xiv} The estimate submitted to the FHWA for Price Proposal Analysis will be the ICE Estimate.
- ^{xv} Approval is provided through the Bid Award Recommendation for initial price analysis and through memos for modifications.
- ^{xvi} FHWA concurrence constitutes approval of the Agreed Price, scope, and schedule for the work. Concurrence is provided through the Bid Award Recommendation.
- ^{xvii} In the event that DOT&PF is unwilling or unable to enter into a contract with the CM/GC contractor for the construction services phase of the project (including any early work package(s)).
- ^{xviii} DOT&PF will submit the Request for Construction Authorization to the FHWA along with the bid award recommendation, for the project or a work package, after DOT&PF deems the CM/GC Contractor's Price Proposal to be acceptable.