Americans with Disabilities Act (ADA) Information

Materials can be provided in alternative formats by calling the ADA Compliance Manager at 360-705-7097. Persons who are deaf or hard of hearing may contact that number via the Washington Relay Service at 7-1-1.

Title VI Notice to the Public

It is Washington State Department of Transportation (WSDOT) policy to ensure no person shall, on the grounds of race, color, national origin, or sex, as provided by Title VI of the Civil Rights Act of 1964, be excluded from participation in, be denied the benefits of, or be otherwise discriminated against under any of its federally funded programs and activities. Any person who believes his/her Title VI protection has been violated may file a complaint with WSDOT’s Office of Equal Opportunity (OEO). For Title VI complaint forms and advice, please contact OEO’s Title VI Coordinator at 360-705-7082 or 509-324-6018.

To get the latest information on WSDOT publications, sign up for individual email updates at www.wsdot.wa.gov/publications/manuals.

Washington State Department of Transportation
Highways and Local Programs
Engineering Services
PO Box 47390
Olympia, WA 98504-7390
360-705-7383
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Part 1

Introduction

Highways and Local Programs (H&LP) – Our Role in Your Project

Local agencies apply for federal transportation grants through our offices. Our goal is to help your agency successfully administer projects while meeting the requirements of the Stewardship Agreement between the Federal Highway Administration (FHWA) and Washington State Department of Transportation (WSDOT).

We have a Headquarters office located in Olympia that we refer to as Highways and Local Programs (HL&P) and we also have offices in each region which we call Region Local Programs offices. The people who work in each region will work directly with you throughout the process. The people at the Olympia H&LP office work as liaisons between FHWA and the Region/Local Agency people.

Once a grant is approved, your agency signs an agreement with us called a Local Agency Agreement (WSDOT Form 140-039) (Figure 1-1) that outlines roles of the agency and state from design through construction.

Through the Local Technical Assistance Program (LTAP) center, we provide training, brochures, and other help. You can access the LTAP center online at www.wsdot.wa.gov/localprograms/ltap. Your Region Local Program Office will help you manage funding issues, documentation requirements, and process reimbursement payments.

Course Goal

Short Term – Better accountability and an overview of process as well as a handbook for later reference. Detailed information in areas most mistakes are made.

Long Term – Less frustration, more knowledge, improved processes, more successful documentation reviews, and better stewardship of federal funds.

Documentation Reviews

We perform two types of documentation review:

1. Region Local Programs Office review of your records. They will review construction documentation during the construction of your project. These reviews will help keep things on the right path and give the reviewers ideas about training that may be helpful and pinpoint areas that may need to be improved before they are problems.

2. Project Management Reviews (PMRs) Certification Acceptance agencies only. H&LP staff from Olympia and Region Local Programs staff in your region will come to your office and review a project once every three years. This review covers the entire project from design through construction. A successful PMR is required to continue Certification Acceptance status for agencies.
Following the PMR, your agency has 30 days to review the findings and correct any deficiencies. If all deficiencies are corrected satisfactorily, the finding letter will say it was a good review. If you cannot correct the deficiencies, sanctions are likely. Possible sanctions include:

- Loss of funding (all or part) on un-corrected items.
- Corrective action plan and next project is also a PMR project.
- Demotion of your agency to probationary status.
- Loss of CA.

Other reviews may be performed by state auditors or FHWA.

**Certification Acceptance or CA**

When your agency and key personnel have the skill and experience to manage the work, CA authority can be granted. The process includes an application, interviews, and other documentation showing your ability as an agency. CA is granted following the process and culminates in a letter from H&LP granting CA status.

When CA status has been granted, a CA Agreement is completed that outlines the responsibilities of your agency while administering federal highway funds. The agreement is signed by the appropriate parties and becomes part of your agency’s CA file.

Look at the CA Agreement for your agency to identify who is responsible for signing and approving each part of the project. See Figure 1-2 for a CA Agreement. During a PMR, reviewers will look for the CA Agreement and check that the correct people signed the appropriate documents.

**Non-CA** – Your agency can still build a federally-funded project but is required to find an agency that has CA to be responsible for administration of part or all of the project. This might be another agency, a WSDOT Project Office, or Region Local Programs Engineer. The responsible agency must sign and approve key documents and will either provide personnel or require that you hire consultants to manage design and/or construction administration.

The format of this course roughly follows the Project Management Review Checklist found in Appendix 53.51 of the *Local Agency Guidelines* M 36-63. A copy of the checklist is in Part 7.
Reference Material

Coordination of Contract Documents

Any inconsistency in the parts of the contract shall be resolved by following this order of precedence unless your contract is amended to change it:

1. Addenda
2. Proposal Form
4. Contract Plans
5. Amendments to the Standard Specifications
6. Standard Specifications for Road, Bridge, and Municipal Construction M 41-10
7. Standard Plans M 21-10

The above documents complement each other in describing a complete work. Any requirements in one part binds as if stated in all parts. If a conflict exists between these documents, an individual needs to understand the Order of Precedence (hierarchy) of these documents. See Standard Specifications Section 1-04.2.

Other Documents

Other documents/manuals which provide direction in contract administration and which the project office needs to be familiar with are:

- Local Agency Guidelines M 36-63 Chapters 51-53
- Construction Manual M 41-01
- Qualified Products List (The online version is the most current as is updated daily.)

These documents, manuals, and other publications can be found on the WSDOT Publications Services web page at www.wsdot.wa.gov/publications/manuals.
**Local Agency Agreement**

The Local Agency having complied, or hereby agreeing to comply, with the terms and conditions set forth in (1) Title 23, U.S. Code Highways, (2) the regulations issued pursuant thereto, (3) Office of Management and Budget Circulars A-102, A-87 and A-133, (4) the policies and procedures promulgated by the Washington State Department of Transportation, and (5) the federal aid project agreement entered into between the State and Federal Government, relative to the above project, the Washington State Department of Transportation will authorize the Local Agency to proceed on the project by a separate notification. Federal funds which are to be obligated for the project may not exceed the amount shown herein on line r, column 3, without written authority by the State, subject to the approval of the Federal Highway Administration. All project costs not reimbursed by the Federal Government shall be the responsibility of the Local Agency.

**Project Description**

**Termini**

**Description of Work**

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<thead>
<tr>
<th>Type of Work</th>
<th>Estimate of Funding</th>
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<td>(1) Estimated Total Project Funds</td>
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<td>r. Total Project Cost Estimate (e+j+q)</td>
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</tbody>
</table>

**Agency Official**

**Washington State Department of Transportation**

By _________________________________

Title ________________________________

Date Executed ________________________

DOT Form 140-039 EF
Revised 05/09
Construction Method of Financing

(Check Method Selected)

State Ad and Award

☐ Method A - Advance Payment - Agency Share of total construction cost (based on contract award)

☐ Method B - Withhold from gas tax the Agency's share of total construction cost (line 4, column 2) in the amount of

$ __________________ at $ __________________ per month for ______________ months.

Local Force or Local Ad and Award

☐ Method C - Agency cost incurred with partial reimbursement

The Local Agency further stipulates that pursuant to said Title 23, regulations and policies and procedures, and as a condition to payment of the federal funds obligated, it accepts and will comply with the applicable provisions set forth below. Adopted by official action on ______________________., Resolution/Ordinance No. ____________________

Provisions

I. Scope of Work

The Agency shall provide all the work, labor, materials, and services necessary to perform the project which is described and set forth in detail in the “Project Description” and “Type of Work.”

When the State acts for and on behalf of the Agency, the State shall be deemed an agent of the Agency and shall perform the services described and indicated in “Type of Work” on the face of this agreement, in accordance with plans and specifications as prepared by the Agency and approved by the State and the Federal Highway Administration.

When the State acts for the Agency but is not subject to the right of control by the Agency, the State shall have the right to perform the work subject to the ordinary procedures of the State and Federal Highway Administration.

II. Delegation of Authority

The State is willing to fulfill the responsibilities to the Federal Government by the administration of this project. The Agency agrees that the State shall have the full authority to carry out this administration. The State shall review, process, and approve documents required for federal aid reimbursement in accordance with federal requirements. If the State advertises and awards the contract, the State will further act for the Agency in all matters concerning the project as requested by the Agency. If the Local Agency advertises and awards the project, the State shall review the work to ensure conformity with the approved plans and specifications.

III. Project Administration

Certain types of work and services shall be provided by the State on this project as requested by the Agency and described in the Type of Work above. In addition, the State will furnish qualified personnel for the supervision and inspection of the work in progress. On Local Agency advertised and awarded projects, the supervision and inspection shall be limited to ensuring all work is in conformance with approved plans, specifications, and federal aid requirements. The salary of such engineer or other supervisor and all other salaries and costs incurred by State forces upon the project will be considered a cost thereof. All costs related to this project incurred by employees of the State in the customary manner on highway payrolls and vouchers shall be charged as costs of the project.

IV. Availability of Records

All project records in support of all costs incurred and actual expenditures kept by the Agency are to be maintained in accordance with local government accounting procedures prescribed by the Washington State Auditor’s Office, the U.S. Department of Transportation, and the Washington State Department of Transportation. The records shall be open to inspection by the State and Federal Government at all reasonable times and shall be retained and made available for such inspection for a period of not less than three years from the final payment of any federal aid funds to the Agency. Copies of said records shall be furnished to the State and/or Federal Government upon request.

V. Compliance with Provisions

The Agency shall not incur any federal aid participation costs on any classification of work on this project until authorized in writing by the State for each classification. The classifications of work for projects are:

1. Preliminary engineering.

2. Right of way acquisition.

3. Project construction.

In the event that right of way acquisition, or actual construction of the road, for which preliminary engineering is undertaken is not started by the closing of the tenth fiscal year following the fiscal year in which the agreement is executed, the Agency will pay to the State the sum or sums of federal funds paid to the Agency under the terms of this agreement (see Section IX).

The Agency agrees that all stages of construction necessary to provide the initially planned complete facility within the limits of this project will conform to at least the minimum values set by approved statewide design standards applicable to this class of highways, even though such additional work is financed without federal aid participation.

The Agency agrees that on federal aid highway construction projects, the current federal aid regulations which apply to liquidated damages relative to the basis of federal participation in the project cost shall be applicable in the event the contractor fails to complete the contract within the contract time.

VI. Payment and Partial Reimbursement

The total cost of the project, including all review and engineering costs and other expenses of the State, is to be paid by the Agency and by the Federal Government. Federal funding shall be in accordance with the Federal Transportation Act, as amended, and Office of Management and Budget circulars A-102, A-87 and A-133. The State shall not be ultimately responsible for any of the costs of the project. The Agency shall be ultimately responsible for all costs associated with the project which are not reimbursed by the Federal Government. Nothing in this agreement shall be construed as a promise by the State as to the amount or nature of federal participation in this project.

The Agency shall bill the state for federal aid project costs incurred in conformance with applicable federal and state laws. The agency shall minimize the time elapsed between receipt of federal aid funds and subsequent payment of incurred costs. Expenditures by the Local Agency for maintenance, general administration, supervision, and other overhead shall not be eligible for federal participation unless a current indirect cost plan has been prepared in accordance with the regulations outlined in the federal Office of Management & Budget (OMB) circular A-87, and retained for audit.

The State will pay for State incurred costs on the project. Following payment, the State shall bill the Federal Government for reimbursement of those costs eligible for federal participation to the extent that such costs are attributable and properly allocable to this project. The State shall bill the Agency for that portion of State costs which were not reimbursed by the Federal Government (see Section IX).

1. Project Construction Costs

Project construction financing will be accomplished by one of the three methods as indicated in this agreement.
Part 1 Introduction

Method A – The Agency will place with the State, within (20) days after the execution of the construction contract, an advance in the amount of the Agency’s share of the total construction cost based on the contract award. The State will notify the Agency of the exact amount to be deposited with the State.

The State will pay all costs incurred under the contract upon presentation of progress billings from the contractor. Following such payments, the State will submit a billing to the Federal Government for the federal aid participation share of the cost. When the project is substantially completed and final actual costs of the project can be determined, the State will present the Agency with a final billing showing the amount due the State or the amount due the Agency. This billing will be cleared by either a payment from the Agency to the State or by a refund from the State to the Agency.

Method B – The Agency’s share of the total construction cost as shown on the face of this agreement shall be withheld from its monthly fuel tax allotments. The face of this agreement establishes the months in which the withholding shall take place and the exact amount to be withheld each month.

The extent of withholding will be confirmed by letter from the State at the time of contract award. Upon receipt of progress billings from the contractor, the State will submit such billings to the Federal Government for payment of its participating portion of such billings.

Method C – The Agency may submit vouchers to the State in the format prescribed by the State, in duplicate, not more than once per month for those costs eligible for Federal participation to the extent that such costs are directly attributable and properly allocable to this project. Expenditures by the Local Agency for maintenance, general administration, supervision, and other overhead shall not be eligible for Federal participation unless claimed under a previously approved indirect cost plan.

The State shall reimburse the Agency for the Federal share of eligible project costs up to the amount shown on the face of this agreement. At the time of audit, the Agency will provide documentation of all costs incurred on the project.

The State shall bill the Agency for all costs incurred by the State relative to the project. The State shall also bill the Agency for the federal funds paid by the State to the Agency for project costs which are subsequently determined to be ineligible for federal participation (see Section IX).

VII. Audit of Federal Consultant Contracts

The Agency, if services of a consultant are required, shall be responsible for audit of the consultant’s records to determine eligible federal aid costs on the project. The report of said audit shall be in the Agency’s files and made available to the State and the Federal Government.

An audit shall be conducted by the WSDOT Internal Audit Office in accordance with generally accepted governmental auditing standards as issued by the United States General Accounting Office by the Comptroller General of the United States; WSDOT Manual M 27-50, Consultant Authorization, Selection, and Agreement Administration; memoranda of understanding between WSDOT and FHWA; and Office of Management and Budget Circular A-133. If upon audit it is found that overpayment or participation of federal money in ineligible items of cost has occurred, the Agency shall reimburse the State for the amount of such overpayment or excess participation (see Section IX).

VIII. Single Audit Act

The Agency, as a subrecipient of federal funds, shall adhere to the Federal Office of Management and Budget (OMB) Circular A-133 as well as all applicable federal and state statutes and regulations. A subrecipient who expends $500,000 or more in federal awards from all sources during a given fiscal year shall have a single or program-specific audit performed for that year in accordance with the provisions of OMB Circular A-133. Upon conclusion of the A-133 audit, the Agency shall be responsible for ensuring that a copy of the report is transmitted promptly to the State.

IX. Payment of Billing

The Agency agrees that if payment or arrangement for payment of any of the State’s billing relative to the project (e.g., State force work, project cancellation, overpayment, cost ineligible for federal participation, etc.) is not made to the State within 45 days after the Agency has been billed, the State shall effect reimbursement of the total sum due from the regular monthly fuel tax allotments to the Agency from the Motor Vehicle Fund. No additional Federal project funding will be approved until full payment is received unless otherwise directed the Director of Highways and Local Programs.

X. Traffic Control, Signing, Marking, and Roadway Maintenance

The Agency will not permit any changes to be made in the provisions for parking regulations and traffic control on this project without prior approval of the State and Federal Highway Administration. Upon receipt of progress billings from the contractor, the State will submit a billing to the Federal Government for the federal aid participation share of the cost. When the project is substantially completed and final actual costs of the project can be determined, the State will present the Agency with a final billing showing the amount due the State or the amount due the Agency. This billing will be cleared by either a payment from the Agency to the State or by a refund from the State to the Agency.

XI. Indemnity

The Agency shall hold the Federal Government and the State harmless from and shall process and defend at its own expense all claims, demands, or suits, whether at law or equity brought against the Agency, State, or Federal Government, arising from the Agency’s execution, performance, or failure to perform any of the provisions of this agreement, or of any other agreement or contract connected with this agreement, or arising by reason of the participation of the State or Federal Government in the project, PROVIDED, nothing herein shall require the Agency to reimburse the State or the Federal Government for damages arising out of bodily injury to persons or damage to property caused by or resulting from the sole negligence of the Federal Government or the State.

XII. Nondiscrimination Provision

No liability shall attach to the State or Federal Government except as expressly provided herein.

The Agency shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of any US DOT-assisted contract and/or agreement or in the administration of its DBE program or the requirements of 49 CFR Part 26. The Agency shall take all necessary and reasonable steps under 49 CFR Part 26 to ensure nondiscrimination in the award and administration of US DOT-assisted contracts and agreements. The WSDOT’s DBE program, as required by 49 CFR Part 26, and as approved by USDOT, is incorporated by reference in this agreement. Implementation of this program is a legal obligation and failure to carry out its terms shall be treated as a violation of this agreement. Upon notification to the Agency of its failure to carry out its approved program, the Department may impose sanctions as provided for under Part 26 and may, in appropriate cases, refer the matter for enforcement under 18 U.S.C. 1001 and/or the Program Fraud Civil Remedies Act of 1986 (31 U.S.C. 3801 et seq.).

The Agency hereby agrees that it will incorporate or cause to be incorporated into any contract for construction work, or modification thereof, as defined in the rules and regulations of the Secretary of Labor in 41 CFR Chapter 60, which is paid for in whole or in part with funds obtained from the Federal Government or borrowed on the credit of the Federal Government pursuant to a grant, contract, loan, insurance, or guarantee or understanding pursuant to any federal program involving such grant, contract, loan, insurance, or guarantee, the required contract provisions for Federal-Aid Contracts (FHWA 1273), located in Chapter 44 of the Local Agency Guidelines.

The Agency further agrees that it will be bound by the above equal opportunity clause with respect to its own employment practices when it participates in federally assisted construction work. Provided, that if the applicant so participating is a State or Local Government, the above equal opportunity clause is not applicable to any agency, instrumentality, or subdivision of such government which does not participate in work on or under the contract.

The Agency also agrees:

(1) To assist and cooperate actively with the State in obtaining the compliance of contractors and subcontractors with the equal opportunity clause and rules, regulations, and relevant orders of the Secretary of Labor.

(2) To furnish the State such information as it may require for the supervision of such compliance and that it will otherwise assist the State in the discharge of its primary responsibility for securing compliance.

(3) To refrain from entering into any contract or contract modification subject to Executive Order 11246 of September 24, 1965, with a contractor debarred from, or who has not demonstrated eligibility for, government contracts and federally assisted construction contracts pursuant to the Executive Order.

(4) To carry out such sanctions and penalties for violation of the equal opportunity clause as may be imposed upon contractors and subcontractors by the State, Federal Highway Administration, or the Secretary of Labor pursuant to Part II, subpart D of the Executive Order.

WSDOT Construction Training Guide for Local Agencies M 3075.01 Page 1-7
January 2012

Local Agency Agreement (page 3 of 4)
Figure 1-1
In addition, the Agency agrees that if it fails or refuses to comply with these undertakings, the State may take any or all of the following actions:

(a) Cancel, terminate, or suspend this agreement in whole or in part;
(b) Refrain from extending any further assistance to the Agency under the program with respect to which the failure or refusal occurred until satisfactory assurance of future compliance has been received from the Agency; and
(c) Refer the case to the Department of Justice for appropriate legal proceedings.

XIII. Liquidated Damages

The Agency hereby agrees that the liquidated damages provisions of 23 CFR Part 635, Subpart 127, as supplemented, relative to the amount of Federal participation in the project cost, shall be applicable in the event the contractor fails to complete the contract within the contract time. Failure to include liquidated damages provision will not relieve the Agency from reduction of federal participation in accordance with this paragraph.

XIV. Termination for Public Convenience

The Secretary of the Washington State Department of Transportation may terminate the contract in whole, or from time to time in part, whenever:

1. The requisite federal funding becomes unavailable through failure of appropriation or otherwise.
2. The contractor is prevented from proceeding with the work as a direct result of an Executive Order of the President with respect to the prosecution of war or in the interest of national defense, or an Executive Order of the President or Governor of the State with respect to the preservation of energy resources.
3. The contractor is prevented from proceeding with the work by reason of a preliminary, special, or permanent restraining order of a court of competent jurisdiction where the issuance of such order is primarily caused by the acts or omissions of persons or agencies other than the contractor.
4. The Secretary determines that such termination is in the best interests of the State.

XV. Venue for Claims and/or Causes of Action

For the convenience of the parties to this contract, it is agreed that any claims and/or causes of action which the Local Agency has against the State of Washington, growing out of this contract or the project with which it is concerned, shall be brought only in the Superior Court for Thurston County.

XVI. Certification Regarding the Restrictions of the Use of Federal Funds for Lobbying

The approving authority certifies, to the best of his or her knowledge and belief, that:

1. No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any federal agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.

2. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any federal agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit the Standard Form - LLL, “Disclosure Form to Report Lobbying,” in accordance with its instructions.

3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, and contracts and subcontracts under grants, subgrants, loans, and cooperative agreements) which exceed $100,000, and that all such subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification as a prerequisite for making or entering into this transaction imposed by Section 1332, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Additional Provisions
Certification Acceptance Qualification Agreement

AGENCY ________________________________ AGENCY NO. ________________

The agency agrees to comply with the following requirements when developing all Federal Highway Administration (FHWA) projects under ___________________________ CA status.

1. Adherence to the Local Agency Guidelines and all policies and procedures promulgated by the Washington State Department of Transportation (WSDOT) which accomplish the policies and objectives set forth in Title 23, U.S. Code, Highways, and the regulations issued pursuant thereto.

2. The overall approval authorities and conditions will be as follows:
   a. The project prospectus will be reviewed and approved by the following official.
      ________________________________________________________________
      Position Title Only
   b. The local agency agreement will be reviewed and approved by the following official or officials.
      ________________________________________________________________
      Position Title Only
   c. The designs and environmental documents will be reviewed and approved by the following state of Washington registered Professional Civil Engineer.
      ________________________________________________________________
      Position Title Only
   d. The hearing’s findings (if required) will be reviewed and approved by the following official or officials.
      ________________________________________________________________
      Position Title or Titles Only
   e. The contract plans, specifications and estimate of cost will be reviewed and approved by the following state of Washington registered Professional Engineer.
      ________________________________________________________________
      Position Title or Titles Only
   f. Agreements will be signed by the following responsible local official:
      (1) Railroad
      ________________________________________________________________
      Position Title Only
      (2) Utility
      ________________________________________________________________
      Position Title Only
      (3) Consultant
      ________________________________________________________________
      Position Title Only
      (4) Technical Services
      ________________________________________________________________
      Position Title Only
   g. The award of contract will be signed by the following responsible local official.
      ________________________________________________________________
      Position Title Only
h. All projects will be constructed in conformance with the Washington State Department of Transportation/American Public Works Association (WSDOT/APWA) current *Standard Specifications for Road, Bridge, and Municipal Construction* and such specifications that modify these specifications as appropriate. Multimodal enhancement projects shall be constructed in conformance with applicable state and local codes.

i. The contract administration will be supervised by the following state of Washington registered Professional Civil Engineer.

Position Title Only

j. Construction administration and material sampling and testing will be accomplished in accordance with the WSDOT *Construction Manual* and the *Local Agency Guidelines*.

3. The agency agrees that they have the means to provide adequate expertise and will have support staff available to perform the functions being subdelegated. The support staff may include consultant or state services.

4. The agency agrees that the signature on each project prospectus and local agency agreement will be consistent with section 2 above.

5. All projects under Certification Acceptance shall be available for review by the FHWA and the state at any time and all project documents shall be retained and available for inspection during the plan development and construction stages and for a three year period following acceptance of the project by WSDOT.

6. Approval of the local agency certification by the Director of Highways and Local Programs may be rescinded at any time upon local agency request or if, in the opinion of the Director of Highways and Local Programs, it is necessary to do so. The rescission may be applied to all or part of the programs or projects approved in the local agency certification.

Mayor or Chairman __________________________ Date ______________

WASHINGTON STATE DEPARTMENT OF TRANSPORTATION

Approved By: ________________________________ Date ______________

Director of Highways and Local Programs
Copies of the CA Agreement and all advertising and award information need to be kept with your contract documentation. These are the Affidavit of Publication and any Selection and Award process the agency practices.

Originals are often kept in another department and have been known to be discarded prior to PMRs or audits by the State Auditor or Federal Highway Administration (FHWA) auditors. These requirements apply to Consultant Agreements as well as construction contracts.

FHWA projects should be advertised for a three-week period. The three-week advertising period begins when the first of two advertisements is published. The project will be advertised in the official legal publication for the agency and, if necessary, other newspapers to provide the widest possible coverage commensurate with the size of the project. A two-week advertising period may be acceptable depending upon individual project conditions. Contact your Local Programs Engineer for assistance.

**Bid Proposal/Bid Documents** *(Construction Manual Section 1-2.1)*

When the design of a project has been completed and all pre-award requirements of Local Agency Guidelines Section 46.1 have been met, advertisements are placed asking for bids.

As a minimum, the Bid Proposal shall contain:

1. **Proposal** listing all of the bid items, plan quantities, items descriptions, unit of measurement, and a place for unit bid prices and totals *(Standard Specifications Section 1-02.5)*. The proposal will also include the following.

2. **Bid Bond Form**. It is highly recommended that the bid bond form provided in the proposal be noted as the only acceptable bond form for submission by the bidder. This will avoid any problems that may arise from the low responsive bidder using a conditioned bid bond.

3. **Non-Collusion Declaration** *(Standard Specifications Section 1-02.8)*.

4. **Certification Federal Aid Contracts** *(Standard Specifications Section 1-02.8(2))*.

5. **Disadvantaged Business Enterprise Utilization Certification and Instructions** *(WSDOT Form 272-056) (Figure 2-1)* if a mandatory DBE goal has been established for the project by HQ H&LP *(Standard Specifications Section 1-02.6)*.

6. **Disadvantaged Business Enterprise Written Confirmation Document** *(WSDOT Form 422-031A) (Figure 2-2)* if a mandatory DBE goal has been established for the project by HQ H&LP.

7. **Written Notice of receipt by the bidder of all agency issued addendum.**
8. **Subcontractor’s List** (WSDOT Form 271-015A) (Figure 2-3) if Engineer’s estimate is greater than or equal to $1 million. If HVAC, plumbing or electrical is included in the contract.

9. Other documents as may also be required by the contact.

*Note: Local Agency Guidelines* Appendix 44.72 shows a sample advertisement and Appendix 44.73 is the new Bid Proposal Package of forms that can be downloaded from the WSDOT website at [http://fmapps.wsdot.wa.gov/forms/eforms.php](http://fmapps.wsdot.wa.gov/forms/eforms.php). Select the “On Screen” option for a download with a runtime that will allow the package to operate on any computer.

**Award and Execution** *(Construction Manual Section 1-2.1B)*

Bids for contract are opened at a public meeting and award of the contract is made to the lowest bidder deemed responsible by the contracting agency. Normally, contract award or bid rejection will occur within 45 calendar days after bid opening. **Non-CA agencies must have all awards approved by their CA authority prior to award. All projects with DBE goals require region concurrence prior to award.**

After bid opening and prior to award, you must email bid tabs, and DBE utilization certification to the Region Local Programs Office for concurrence PRIOR TO AWARDING THE CONTRACT. Failure to obtain concurrence may jeopardize your federal funds.

Before construction begins, the local agency must submit the following information to the Region Local Programs Engineer:

- Tabulation of bids
- Engineer’s estimate
- Award letter to the contractor
- Names and addresses of all firms that submit a quote to the successful low bidder
- DBE Utilization Certification, WSDOT Form 272-056A (if applicable)
- DBE Written Confirmation Document, WSDOT Form 422-031A (if applicable)

Failure to submit the above listed information, before the construction begins, will result in a delay of reimbursement for the billed cost, until the information is received.

Initially the contracting agency shall review the proposals for correctness and determine the lowest responsive bid. After determining the lowest responsive bidder, the agency will notify the contractor of the award in writing.

When a DBE goal is included in the contract, the agency will request a further breakdown of the Disadvantage Business Enterprise **Condition of Award.** See Chapter 26 of the *Local Agency Guidelines.*
The agency will also request a list of the names and addresses of every firm that submitted a bid or quote, successful or not, from successful bidders as part of the bidding process. This information must be supplied prior to contract execution. If you do not get this information, the bid can be considered non-responsive and your funding may be in jeopardy.

*A copy of the Award Letter should be in the contract files for project reviews.

*Note:* See the GSP for DBE in your contract document and the section within that GSP on Procedures Between Award and Execution for additional information on DBE participation.

Excerpt from the GSP describing DBE Participation on a Federal Aid Contract

**Procedures Between Award and Execution . . . . .**

The contractor will provide:

(2) A list of all firms who submitted a bid or quote in an attempt to participate in this project **whether they were successful or not**. Include the correct business name, federal employer identification number (optional) and a mailing address. The firms identified by the Contractor may be contacted to solicit general information as follows: 1. age of the firm 2. average of its gross annual receipts over the past three years.

**Contractors that do not supply this information prior to execution are considered non responsive by FHWA and project funding may be denied if the agency awards to a non responsive bidder.**

After execution, the contractor shall begin work within 10 calendar days from the date of execution or as provided for in the contract document. No work shall be performed within the project limits or on contracting agency furnished sites prior to the execution of the contract by the contracting agency. Any work performed or any material ordered prior to execution, shall be at the risk of the contractor.
**Instructions for Disadvantaged Business Enterprise Utilization Certification**  
*(DOT Form 272-056)*

To be eligible for award of the contract, the bidder shall properly complete and submit a Disadvantaged Business Enterprise Utilization Certification form with the bidder’s sealed Bid Proposal that demonstrates how the bidder intends to meet the DBE Condition of Award (COA) goal.

<table>
<thead>
<tr>
<th>Box 1</th>
<th>Name of Bidder (Proposal holder) submitting a bid.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Column 1</td>
<td>Name of the Disadvantaged Business Enterprise (DBE) and Certificate Number.</td>
</tr>
<tr>
<td>Column 2</td>
<td>The Project Role that the DBE will be performing as follows;</td>
</tr>
<tr>
<td></td>
<td>• Prime,</td>
</tr>
<tr>
<td></td>
<td>• Joint Venture,</td>
</tr>
<tr>
<td></td>
<td>• Subcontractor,</td>
</tr>
<tr>
<td></td>
<td>• Manufacturer,</td>
</tr>
<tr>
<td></td>
<td>• Regular Dealer*</td>
</tr>
</tbody>
</table>

The role is used to determine what portion of the DBE participation may be credited toward the goal. See *Crediting DBE Participation toward Meeting the Goal* as described in the *Disadvantaged Business Enterprise Condition of Award Participation* specification.

<table>
<thead>
<tr>
<th>Column 3</th>
<th>A description of the work to be performed by the DBE consistent with the eligible Description of Work in the Directory of Certified DBE firms. If the DBE is to perform a portion of a bid item, then state Partial and what work is included, e.g., “Electrical (Partial) – Trenching”. “Mobilization” will not be accepted as a description of work as it is not considered a distinct item of work that a DBE is certified to perform. The bidder may rely upon the descriptors listed in the Directory of Certified DBE Firms.</th>
</tr>
</thead>
</table>

| Column 4 | The dollar amount for each DBE listed in the certification that the prime intends to apply towards meeting the DBE contract goal. It may be that only a portion of the amount paid to the DBE is eligible as COA participation. See *Crediting DBE Participation* in the special provisions; *Disadvantaged Business Enterprise Condition of Award Participation*. |

<table>
<thead>
<tr>
<th>Box 2</th>
<th>The goal stated in the contract in terms of a dollar amount or a percentage as noted under the general special provision; <em>DBE Condition of Award (COA) Goal, Disadvantaged Business Enterprise Condition of Award Participation</em>. When expressed as a percentage it is a percentage of the sum total of all bid items as submitted in the bidder’s proposal.</th>
</tr>
</thead>
</table>

| Box 3 | The total for column 4. This value must equal or exceed the goal amount. |

* Note: In accordance with 49 CFR 26.55(e)(2)(i), if the materials or supplies are purchased from a DBE Regular Dealer, the amount to be counted towards the DBE will be sixty percent (60%) of the cost of the materials or supplies, e.g., Material cost: $100,000, allowable amount toward DBE goal: $60,000.
Disadvantaged Business Enterprise Utilization Certification

To be eligible for award of this contract the bidder must fill out and submit, as part of its bid proposal, the following Disadvantaged Business Enterprise Utilization Certification relating to Disadvantaged Business Enterprise (DBE) requirements. The Contracting Agency shall consider as non-responsive and shall reject any bid proposal that does not contain a DBE Certification which properly demonstrates that the bidder will meet the DBE participation requirements in one of the manners provided for in the proposed contract. The Bidder must submit good faith effort documentation with the DBE Utilization Certification only in the event the bidder’s efforts to solicit sufficient DBE participation has been unsuccessful. The successful bidder's Disadvantage Business Enterprise Utilization Certification shall be deemed a part of the resulting contract. Information on certified firms is available from OMWBE, telephone 360-753-9693 or Toll Free 1-866-208-1064.

Certifies that the Disadvantaged Business Enterprise (DBE)

Firms listed below have been contacted regarding participation on this project. If this bidder is successful on this project and is awarded the contract, it shall assure that subcontracts or supply agreements are executed with those firms where an “Amount to be Applied Towards Goal” is listed. (If necessary, use additional sheet.)

<table>
<thead>
<tr>
<th>Column 1</th>
<th>Column 2</th>
<th>Column 3</th>
<th>Column 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of DBE Certificate Number</td>
<td>Project Role (Prime, Joint Venture, Subcontractor, Manufacturer, Regular Dealer)</td>
<td>Description of Work</td>
<td>Amount to be Applied Towards Goal</td>
</tr>
<tr>
<td>1.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
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<tr>
<td>3.</td>
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<td>4.</td>
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<td>5.</td>
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<td>6.</td>
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<td>7.</td>
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<td>8.</td>
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<td>9.</td>
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<tr>
<td>10.</td>
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<td></td>
</tr>
</tbody>
</table>

Disadvantaged Business Enterprise Subcontracting Goal: **Box 2**

DBE Total $ **Box 3**

***

* Regular Dealer status must be approved prior to bid submittal by the Office of Equal Opportunity, Wash. State Dept. of Transportation, on each contract.

** See the section “Crediting DBE Participation Toward Meeting the Goal” in the Contract Document.

*** The Contracting Agency will utilize this amount to determine whether or not the bidder has met the goal. In the event of an arithmetic difference between this total and the sum of the individual amounts listed above, then the sum of the amounts listed shall prevail and the total will be revised accordingly. Participation in excess of the goal amount will be considered voluntary or race-neutral participation.
**Local Agency Disadvantaged Business Enterprise (DBE) Written Confirmation Document**

As an authorized representative of the Disadvantaged Business Enterprise (DBE), I confirm that we have been contacted by the referenced bidder with regard to the referenced project and if the bidder is awarded the contract we will enter into an agreement with the bidder to participate in the project consistent with the information provided in the bidder's **Disadvantaged Business Enterprise Utilization Certification**.

<table>
<thead>
<tr>
<th>Contract Title:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Bidder's Business Name:</td>
<td></td>
</tr>
<tr>
<td>DBE's Business Name:</td>
<td></td>
</tr>
<tr>
<td>DBE Signature:</td>
<td></td>
</tr>
<tr>
<td>DBE's Title:</td>
<td></td>
</tr>
<tr>
<td>Date:</td>
<td></td>
</tr>
</tbody>
</table>

The entries must be consistent with what is shown on the bidder’s Disadvantaged Business Enterprise Utilization Certification. Failure to do so will result in bid rejection. See contract provision; **Disadvantaged Business Enterprise Condition of Award Participation**.

| Description of Work: |  |
| Amount to be Applied Towards Goal: |  |
Local Agency Subcontractor List
Prepared in compliance with RCW 39.30.060 as amended

To Be Submitted with the Bid Proposal

Project Name

Failure to list subcontractors who are proposed to perform the work of HVAC (heating, ventilation and air conditioning), plumbing, as described in Chapter 18.106 RCW, and electrical as described in Chapter 19.28 RCW, or naming more than one subcontractor to perform the same work will result in your bid being non-responsive and therefore void.

Subcontractor(s) that are proposed to perform the work of heating, ventilation and air conditioning, plumbing, as described in chapter 18.106 RCW, and electrical as described in chapter 19.28 RCW must be listed below. The work to be performed is to be listed below the subcontractor(s) name. The requirement to name the prime contract bidder’s proposed HVAC, plumbing and electrical subcontractors applies only to proposed HVAC, plumbing, and electrical subcontractors who will contract directly with the prime contract bidder submitting the bid to the public entity.

If no subcontractor is listed below, the bidder acknowledges that it does not intend to use any subcontractor to perform those items of work.

<table>
<thead>
<tr>
<th>Subcontractor Name</th>
<th>Work to be Performed</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>

Bidder’s are notified that in the opinion of the enforcement agency PVC or metal conduit, junction boxes, etc, are considered electrical equipment and must be installed by a licensed electrical contractor, even if the installation is for future use and no wiring or electric current is connected during the project.

A licensed electrical contractor must be listed to perform the work.
INVITATION TO BID
LOCAL AGENCY'S LETTERHEAD
DEPARTMENT OF
ENGINEERING WASHINGTON

Sealed bids will be received by the (Local Agency), at the reception desk located in Room ______ of the ________, Washington, until ________ a.m. on ________ and will then and there be opened and publicly read for the construction of the improvement(s).

All bid proposals shall be accompanied by a bid proposal deposit in cash, certified check, cashier’s check, or surety bond in an amount equal to five percent (5%) of the amount of such bid proposal. Should the successful bidder fail to enter into such contract and furnish satisfactory performance bond within the time stated in the specifications, the bid proposal deposit shall be forfeited to the (Local Agency).

The right is reserved to reject any and all bids and to waive informalities in the bidding.

Maps, plans, and specifications may be obtained from this office upon payment of the amount of $______.

Informational copies of maps, plans, and specifications are on file for inspection in the Office of the Local Agency Engineer, (Local Agency), Washington.

The following is applicable to federal aid projects.

The (Local Agency) in accordance with Title VI of the Civil Rights Act of 1964, 78 Stat. 252, 42 U.S.C. 2000d to 2000d-4 and Title 49, Code of Federal Regulations, Department of Transportation, subtitle A, Office of the Secretary, Part 21, nondiscrimination in federally assisted programs of the Department of Transportation issued pursuant to such Act, hereby notifies all bidders that it will affirmatively insure that in any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded full opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color or national origin in consideration for an award.

The improvement for which bids will be received is described below:

*THIS BOLDED PARAGRAPH CANNOT BE REWORDED FOR FHWA FUNDED PROJECTS.
Part 3  EEO, DBE, Training, and Reporting

EEO Program

<table>
<thead>
<tr>
<th>EEO Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Opportunity to groups of people who are under represented in the work force</td>
</tr>
<tr>
<td>See GSP 1-07.11 OPI1.GR1 in your plans</td>
</tr>
<tr>
<td>Expressed as a percent of total workforce</td>
</tr>
<tr>
<td>A yearly goal for your contractor</td>
</tr>
<tr>
<td>Reporting Requirements Monthly Utilization Report PR 1391 (every July)</td>
</tr>
</tbody>
</table>

EEO Compliance

Your project includes a GSP 1-07.11(2) under the heading Requirements for Non-Discrimination. This GSP assigns certain goals to your contractor. Note that these goals are for their aggregate work force on all projects this year, not just for your specific project.

EEO Reporting

Monthly Employment Utilization Report (WSDOT Form 820-010) (Figure 3-1)

For contractors and subcontractors performing less than $10,000 of work:

- No report is required.

For contractors and subcontractors performing more than $10,000 of work:

- Reports are to be collected and kept in the prime contractor’s or subcontractor’s office. You have no responsibility.

Annual EEO Report

This required form is completed nationwide for all construction projects active in the month of July each year. Collect FHWA 1391 from your contractors, then combine them on form FHWA 1392. Submit FHWA 1392 to the Region Local Programs Office with copies of FHWA 1391 forms. We submit this to FHWA.

FHWA 1391 (Figure 3-2) is prepared by the contractor. FHWA 1392 (Figure 3-3) is prepared by your agency.
Disadvantaged Business Enterprise (DBE) Program

<table>
<thead>
<tr>
<th>DBE Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Owned and managed by women and minorities</td>
</tr>
<tr>
<td>Assigned by letter must include</td>
</tr>
<tr>
<td>GSP goal/no goal</td>
</tr>
<tr>
<td>Write condition of award letter</td>
</tr>
<tr>
<td>Substitute only with FHWA approval and CO</td>
</tr>
<tr>
<td>A mandatory goal for your project</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Reporting Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Local Agency Quarterly Reporting Amt Pd DBE</td>
</tr>
<tr>
<td>MBE/DBE/WBE On Site Review</td>
</tr>
<tr>
<td>WSDOT Form 422-103</td>
</tr>
</tbody>
</table>

The Disadvantaged Business Enterprise (DBE) Unit administers the United States Department of Transportation (USDOT) Disadvantaged Business Enterprise (DBE) Program and the Washington State Office of Minority and Women’s Business Enterprise (OMWBE) program. The purpose of the DBE program is to ensure a level playing field and foster equal opportunity for firms owned and operated by disadvantaged individuals on USDOT-assisted contracts and procurements. The purpose of the DBE program is to provide maximum practicable opportunity for firms owned and operated by minorities and women in public works projects and procurement.

Washington State’s overall DBE participation goal varies year to year for Federal Highway Administration (FHWA) assisted projects. The goals assigned to your project contribute to the statewide goal. Goals are generally higher on Washington State Department of Transportation (WSDOT) projects. A DBE goal represents a percentage of the value of a federally assisted contract for which disadvantaged business enterprises should ordinarily participate.

A DBE goal is assigned to your project based on the size, duration, type, and location of your project. The goal will be set during the design phase and your project manual will include either a “no goal” or “mandatory goal” GSP. Reports discussed below are required when any DBE works on your project, whether or not a DBE goal is assigned.

For more information about the DBE goal setting process, see the WSDOT Office of Equal Opportunity web page at www.wsdot.wa.gov/equalopportunity.
**DBE Reporting**

**Local Agency Quarterly Report of Amounts Credited as DBE Participation** *(WSDOT Form 422-103) (Figure 3-4)*

This form must be completed by the contractor if your project has been awarded and payment has been made in the previous calendar quarter. Submit to your Region Local Programs Office.

**MBE/DBE/WBE On-Site Review** *(WSDOT Form 272-051) (Figure 3-5)*

This form, completed in the field by your inspector, is used to determine whether or not a certified DBE is performing a “commercially useful function.” What the interview will help determine is whether the contractor is managing and performing their own work. Submit the completed form to your Region Local Programs Office and we will forward it to Olympia for further review.

**DBE Participation** *(Construction Manual Section 1-2.7)*

**No Goal** *(Construction Manual Section 1-2.7F(1))*

The no goal specification is included to inform the contractor of obligations identified regardless of the establishment of a DBE Goal. These include the responsibility of “Procedures Between Award and Execution.”

**Mandatory Goal or Condition of Award (COA) Goal** *(Construction Manual Section 1-27.F(2))*

As a condition of award, the contractor must commit to and follow through on subcontracting at least the goal amount to certified DBE firms or the attainment identified on the DBE Utilization Certification. Goals are established as a percentage and then converted at award to dollars. **This dollar goal must be met by the identified sub-contractors in at least the amount specified in the condition of award letter.** If work is reassigned so that the original COA contractor or sub is not used or if the assigned dollars are changed, approval by FHWA is required followed by a change order. Contact your Region Local Programs Office for help.

**DBE Reporting** *(Construction Manual 1-2.7F(4))*

Quarterly Report of Amounts Credited as DBE Participation *(WSDOT Form 422-103)* is required by all DBE special provisions. The contractor is required to complete this report on all projects with federal participation.

*Include change order work performed by DBEs in the report.*

This report is due to the contracting agency on the 20th of April, July, October, and January.

The local agency is required to send a copy of this report to their Region Local Programs Engineer each quarter. These reports are required for **all federal aid projects, including those with voluntary or no DBE goals.** The state’s reimbursement to the local agencies is conditioned upon the receipt of these reports.
This report is due to the Region Local Programs Engineer from the agency on the last day of April, July, October, and January.

*Quarterly Reports will be checked during project reviews.

**DBE On-Site Reviews** *(Construction Manual Section 1-2.7F(5))*

On-site reviews shall be conducted on contracts that include COA goals when the COA contractor starts work, during the peak period of the contractor’s work, and whenever there is a change in the nature of methods of the work.

The intent of the overall program, and hence the review, is to document that the DBE is indeed in control of the work and performing a Commercially Useful Function (CUF), that is performing, managing, and supervising the work.

We also recommend you perform a review on every DBE working on a federal aid project, regardless of COA status and record all DBE information in your project files.

*On-Site Reviews will be checked during the PMR.*

**Training Program Submittal and Approval** *(Construction Manual Section 1-2.7G)*

<table>
<thead>
<tr>
<th>Training Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Opportunity to individuals, generally women and minorities</td>
</tr>
<tr>
<td>Assigned by letter</td>
</tr>
<tr>
<td>Must include GSP</td>
</tr>
<tr>
<td>Program and trainees to approve</td>
</tr>
<tr>
<td>Payment to contractor for hours</td>
</tr>
<tr>
<td>A mandatory goal for your project</td>
</tr>
</tbody>
</table>

**Reporting Requirements**

- Apprentice Interview
- Annual Report of All Training Paid

**Assignment of Training Hours**

Mandatory training hours may be assigned to your project. This determination will have been made during the later stages of the design phase. It is made based on the size of the project, types of work, opportunities for training, and location. The training and upgrading of minorities and women is the primary purpose of the training program.
The requirements for training will only be found in federal aid projects and are made part of the contract by special provisions. Your project will have a bid item for training if a mandatory training goal has been assigned.

**Understanding the Difference – Apprentice and Trainee**

Your contractor will submit an Apprentice/Trainee Approval Request. Before you can approve or disapprove it, you need to understand that **apprentice and trainee are not synonymous terms**, though either can be paid for under the bid item “Training” as discussed below.

- **Apprentice** – An apprentice is part of a systematic training program offered by a particular union and approved by L&I. They may be working on your project whether or not there is a training requirement if the contractor has a signed agreement with particular unions. These “union” contractors submit apprentices to satisfy the bid item, Training. You receive two forms, Training Program (WSDOT Form 272-049) (Figure 3-6) and Apprentice/Trainee Approval Request (WSDOT Form 272-050) (Figure 3-7). The first one asks for approval of the proposed program. The second form asks for approval of specific persons to fulfill the requirements of the program. These may not come in at the same time. A contractor may know they will use carpenter apprentices, for example, without knowing the names of the specific individuals who will be available. An apprentice is paid on a pre-determined climbing pay scale that is less than the prevailing wage.

- **Trainee** – For contractors who do not have signed agreements with a particular union, each contractor designs their own program of training and submits it for approval. To satisfy requirements of the bid item Training, these “non-union” or “non-signatory” contractors must submit WSDOT Form 272-049, a detailed written plan defining tasks, hours, and duration of training they will provide, and WSDOT Form 272-050 showing which individuals they propose to use as a package. A trainee is always paid the prevailing wage.

**Note:** Be aware you may have both “union” and “non-union” contractors on your project at the same time. It is also possible to have a “union” contractor who does not have agreements with all unions represented on your project.

**Approving the BAT/SATC Training Program**

If you are a CA agency, you have the authority to review and approve the training program if they show on the form that it is a BAT/SATC approved program and the following criteria are met:

- The training program is a recognized union approved BAT/SATC or the CITC (non-union but pre-approved) program for electricians.
- Total hours shown on the training program equal the contract quantity.
- The minimum assignment per individual is 200 hours. Less than this is not considered meaningful training.
- The maximum assignment per person may go as high as the number of hours needed to complete the individual’s apprenticeship as long as that number does not exceed the total training goal for the project.
• No laborer trainees are to be approved in King County.
• The maximum assignment for traffic control is 20 hours per individual and only then as part of a Construction Laborer’s overall training.

**Approving the Non-BAT/SATC Training Program**

No agency has authority to approve these trainees. You must send the package to your Region Local Programs Office and we will forward it through channels to the WSDOT Office of Equal Opportunity and ultimately to FHWA for approval.

**Changes in the Training Goal**

At the beginning of the project, if the contractor asserts that the training hours assigned cannot be met, they must make written submittal to you explaining why not. Forward this letter to your Region Local Programs Office immediately, as any change at this point must be approved by FHWA. Be aware that the goal will not be lowered late in the project or due to the contractor’s choices.

**Trainee Approval** (*Construction Manual* Section 1-2.7G(2))

Each inspector should have a list of the approved trainees on the contract, including the contractor’s name and type of training to be accomplished.

• Apprentice/Trainee Approval Request (WSDOT Form 272-050) must be submitted for each trainee.
• Good Faith effort documentation is required for all non-minority males proposed for training. This information must be sent to the regions.
• Non-BAT/SATC Trainees must be paid the minimum prevailing wage for their craft.
• BAT/SATC Trainees may be paid on a graduated scale (see Training Program).
• Payment for training will be based on invoices received from the contractor. Overruns in training will be allowed with agency approval up to 25 percent of the contract or 500 hours, whichever is less. Overruns will not be allowed for traffic control.

**Trainee Interview**

The Trainee Interview is one of the tools used to monitor contract requirements when it comes to meaningful training and carrying out the training plan. The Local Agency should plan on doing one interview per trainee.

**Good Faith Effort**

If your contractor asserts that no minority or female apprentices or trainees are available and wants to document “good faith effort” instead, please contact your Region Local Programs Office immediately for help. Your agency does not have the authority to approve “good faith effort.”
Monitoring the Training Program

It is the responsibility of the Local Agency to monitor the training program to ensure that each trainee receives beneficial training on the project and is working in accordance with the approved program. You monitor the training program as follows:

• Read and understand the General Special Provision, Special Training Provisions.
• Is the training program submitted before work starts?
• Are trainees submitted early in the project?
• If trainees leave before the target is met, are they replaced quickly?
• If there are changes, was the training program revised to reflect the change?
• Are you tracking to confirm that the trainees appeared as anticipated?
• Will the goal be met at the current rate? If not, write a letter to the contractor.
• Complete a Trainee Interview Questionnaire (WSDOT Form 226-012) (Figure 3-8).
• Does your inspector believe that trainees are receiving meaningful training?
• Payment can only be made with complete approved paperwork in your file. Once approved, you can pay for training retroactive to the date your agency received the submittal.
• Your agency has the option to pay for additional hours beyond the goal.

Contact your Region Local Programs Office if you encounter any of these serious problems that must be resolved immediately:

• Training goals won’t be met.
• Work deleted by change order is going to affect available training hours.
• Questions or concerns about good faith efforts.

Training Reporting

The purpose of the Trainee Interview Questionnaire (WSDOT Form 226-012) form is to determine if a trainee is receiving meaningful and beneficial training. Wait until the middle of the trainee’s anticipated employment. The Trainee Interview is one of the tools used to monitor contract requirements to determine training. Do one interview per trainee per construction season. Keep in your files.

Annual Project Training Report

The Federal-Aid Highway Construction Annual Project Training Report (WSDOT Form 272-060) (Figure 3-9) is completed in December each year by your agency and includes all training that your agency paid for under a training bid item for all FHWA projects in the calendar year. Submit to your Region Local Programs Office.
### Monthly Employment Utilization Report

#### Table:

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<th>Classifications</th>
<th>Total Contract Construction Work Hours</th>
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#### Sections:

1. **Total Journey Workers**
2. **Total Apprentices**
3. **Total Trainees**
4. **Grand Total**

#### Footer:

- **Company Official’s Signature and Title**
- **Telephone Number**
- **Date Signed**
- **Page of**

---

This form replaces U.S. Dept. of Labor Form CC 257.
### Table A: Workforce on Federal-Aid and Construction Site(s) During Last Full Pay Period Ending in July 20__ (Insert Year)

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Local Agency Quarterly Report of Amounts Credited as DBE Participation

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Contractor

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<thead>
<tr>
<th>DBE Participant</th>
<th>Name and Federal Employer I.D. Number</th>
<th>Contract Type</th>
<th>Date of Payment</th>
<th>*Dollar Credit Amount</th>
</tr>
</thead>
</table>

Agency

Federal Aid Number

Federal Employer I.D. Number

Contract Type:
- S = Subcontractor
- M = Manufacturer
- J = Joint Venture
- A = Agent
- R = Regular Dealer
- V = Service Provider

I, the undersigned, do hereby certify that in connection with all work on the project for which this statement is submitted, each DBE participant contracted by me has been paid on the dates shown. "Further, I certify that the amounts shown under "Dollar Credit Amount" are in accordance with the "DBE Eligibility" portion of the DBE Special Provision.

Signature ___________________________ Title ___________________________

This form is due on the 20th of the month following the end of the respective Quarter (January, April, July, October).
### MBE/DBE/WBE On-Site Review

**Prime Contractor**

**Federal Aid Number**

**Subcontractor**

**Contract Number**

**Project Engineer**

**Region**

[ ] MBE  [ ] DBE  [ ] WBE

1. **Per the condition of award, indicate M/D/WBE work observed this date (Note partial items)**

<table>
<thead>
<tr>
<th>Bid Item Number</th>
<th>Approximate % Complete</th>
<th>Item Description (Note partial items)</th>
<th>Dollar Amount</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>

2. **M/D/WBE Subcontractor’s Start Date**

3. **WSDOT Contract Percent Complete**

4. **Anticipated Completion Date**

5. **Subcontractor’s**

[ ] Site Superintendent  [ ] Foreman  [ ] (Name)

6. **Exclusively Employed by the M/D/WBE Contractor?**

[ ] Yes  [ ] No

6a. **If No, Please Explain**

7. **Is Superintendent / Foreman Shown on M/D/WB Payroll?**

[ ] Yes  [ ] No

8. **Is Superintendent/Foreman Shown on any other On-Site Contractor’s Payroll?**

[ ] Yes  [ ] No

8a. **If yes, Please Explain**

9. **If Known, to Whom does the M/D/WBE’s Superintendent/Foreman Directly Report to Within His/Her Own Organization?**

   - **Name**
   - **Title**

10. **List Names and Crafts of M/D/WBE’s Crew as Observed (Use additional sheets, if needed).**

11. **Are any Crew Members on the Prime or any other Project Subcontractor’s Payroll(s)?**

[ ] Yes  [ ] No

11a. **If yes, Please Indicate**

12. **List M/D/WBE’s Major (Self-Propelled) Equipment Used**

13. **Does Equipment have M/D/WBE’s Markings or Emblems?**

[ ] Yes  [ ] No

13a. **If No, Please Indicate**

14. **Equipment**

   - **Owned**  [ ]
   - **Leased**  [ ]

15. **Has any other Contractor Performed, on behalf of the M/D/WBE, Substantial Amount of Work Designated to be M/D/WBE?**

[ ] Yes  [ ] No

15a. **If Yes, Please Explain**

16. **Has the M/D/WBE Owner been present on the Job Site?**

[ ] Yes  [ ] No  

   - **What % ________**

17. **Are Personnel and Equipment Under Direct Supervision of the M/D/WBE Subcontractor?**

[ ] Yes  [ ] No

18. **Does the M/D/WBE Subcontractor Appear to have Control over Methods of Work in its items?**

[ ] Yes  [ ] No

**Comment**

**Note:** Attach any documents pertinent to the review, i.e., Invoices, Photographs, Daily Reports, Correspondence, etc.

Review Conducted By ___________________________  Date of This Review ____________

DOT Form 272-051 EF  Revised 6/2007

Distribution: Region EEO Office, WSDOT Office of Equal Opportunity

**Supersedes Previous Editions**
Training Program

Note: This training program must be submitted to the Engineer prior to commencing work.

If you have assigned training requirements to your subcontractor(s), a separate Training Program must be completed and submitted for each subcontractor. Subcontractor(s) programs must be submitted and reviewed by the Prime Contractor.

Contractor Name: Good Guys Const. Inc.
Federal Employer's ID No.: 78-001002
WSDOT Contract No.: TA 0101

Address: 1450 Arroyo Street
City: Miami
State: WA
Zip: 800112
Date: 01/17/2007

Federal-aid Project No.: STIPUS 2003(005) Project Title: The Really Great Road Show
Trainees Assigned: 3
Trainee Hours Assigned: 745

*If no Federal Employer's ID No., use owner's social security number.

I. Approval is requested to provide training, per Section 1-07-11 of the Standard Specification and Contract Special Provisions in the following areas:

<table>
<thead>
<tr>
<th>A</th>
<th>Apprentice / Trainee Craft</th>
<th>B</th>
<th>Number of Trainees Proposed</th>
<th>C</th>
<th>Hourly Assignment Per Trainee</th>
<th>D</th>
<th>Total Hours Assigned to Craft</th>
<th>E</th>
<th>BAT or SATC Approved? Yes or No*</th>
<th>F</th>
<th>Estimated Start Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Construction Equipment Operator</td>
<td>2</td>
<td>320, 225</td>
<td>545</td>
<td>No</td>
<td>4/30 &amp; 5/7/07</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Construction Laborer</td>
<td>1</td>
<td>200</td>
<td>200</td>
<td>No</td>
<td>4/30/2007</td>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

*If your answer is No, please refer to Section III. Apprenticeship programs, registered with the U.S. Department of Labor, Bureau of Apprenticeship and Training (BAT), or with the Washington State Department of Labor and Industries State Apprenticeship Training Council (SATC) will be considered acceptable.

II. Affirmative Action. This training commitment is not intended and shall not be used to discriminate against any applicant for training, whether a member of a minority group or not. However, the training and upgrading of minorities and women toward journey level status is a primary objective of this training provision. Accordingly, the Contractor shall make every effort (documentation will be required if non-protected persons are proposed) to enroll minority trainees and women to the extent that such persons are available within a reasonable area of recruitment.

III. Programs Not Approved by BAT or SATC. A detailed breakdown of the hours assigned to the various skills of the trade must be submitted for other than apprenticeship trades. In addition to completing Section I, the Contractor must provide the following standards:

A. Minimum Qualifications. The Contractor shall establish minimum qualifications for individuals entering the training program. (No employee shall be employed as a trainee in any classification in which he/she has not successfully completed a training course leading to journeyman status or in which he/she has been employed as a journeyman).

B. Work Skills. An outline of the work processes in which the trainee will receive supervised work experience and training on-the-job and the allocation of the approximate time to be spent in each major process shall be set forth in these standards.

C. Terms of Training. The term of training (the number of hours required for completion to journeyman status) shall be stated in hours.

D. Program Monitoring. The program for recording and reporting the training completed shall be stated herein.

E. Ratio of Trainees. A numeric ratio of trainees to journeyman shall be established. It shall be consistent with proper supervision, training, safety, and continuity of employment. The ratio language shall be specific and clear as to application in terms of job site and workforce during normal operation. (considered to fail between 1:10 and 1:4).

I understand and will comply fully with the plans and specifications under which this training is being performed, and will report subsequent revisions to the training program as changes occur.

Prime Contractor’s Signature: [Signature] Date: 12-01-07
Subcontractor’s Signature: [Signature] (if applicable) Date: [Signature] Date: [Signature]

This Area for Department of Transportation Only

BATSATC
Approved
Disapproved
Non BATSATC
Approval Recommended

Printed Name and Title: [Signature] Date: 1-15-07

The Region may approve pre-approved training and apprenticeship programs if all other training provisions Program criteria are met.

NOTE: FHWA approval is required on all Federal-aid projects for any training program proposed under Section III.

Federal Highway Administration Concurrence

FHWA Approval
Approved
Disapproved

Printed Name and Title: [Signature] Date: 2-10-2007

Distribution: Headquarters EEO; Region; Contractor

Figure 3-6
### Apprentice/Trainee Approval Request

**Note:** This form shall be submitted for each trainee intended for utilization per the Special Training Provision. The Prime Contractor is required to review and submit the form for approval of its subcontractor(s) trainees.

<table>
<thead>
<tr>
<th>Prime Contractor</th>
<th>Federal Employee ID No.*</th>
<th>Contract No.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Western States Paving Co.</td>
<td>91-1196605</td>
<td>5364</td>
</tr>
</tbody>
</table>

*Subcontractor (if Trainee is not employed by Prime) Federal Employee ID No.*

Federal-Aid No. NH-0014(003)

*If no Federal Employer ID, use owner's Social Security Number.

**Approval Request** - Approval is requested to provide training, per our approved Training Program, to the following apprentice/trainee:

**Trainee**

Tammara Rae Webb

**Job Class**

General Construction Laborer

**Social Security Number**

**Employee Status**

- [ ] New Hire
- [x] Upgrade

**Hrs. to be Trained This Project**

200

**Trainee Start Date**

5/25/11

**Wage Rate**

prevailing

**Type of On-The-Job Training**

- [ ] Apprenticeship
- [ ] Other (Describe)

Open Shop, Approved Program

**NOTE:** Minimum Wage - Trainees shall be paid in accordance with the provisions of RCW 39.12.021, which reads as follows: Apprentice workmen employed upon public works projects for whom an apprenticeship agreement has been registered and approved with the State Apprenticeship Council pursuant to chapter 49.04 RCW, must be paid at least the prevailing hourly rate for an apprentice of that trade. Any workmen for whom an apprenticeship agreement has not been registered, and approved by the State Apprenticeship Council shall be considered to be a fully qualified journeyman and therefore, shall be paid at the prevailing hourly rate for journeyman.

**Ethnic Group**

- [ ] Black
- [ ] Asian/Pacific Islander
- [ ] American Indian
- [ ] Hispanic
- [x] Other

**Sex**

- [ ] M
- [x] F

**Good faith effort documentation is required if a non-protected person is proposed for training.**

**Summary of previous training.** (Enter amount and type of training previously received by trainee. If known, please indicate other Contracting Agency contract(s) trainee has been utilized, per the Special Training Provision.)

None

**Prime Contractor Signature**

[Signature]

**Date**

**[Date]**

**Sub Contractor Signature**

**Date**

**This Area for Contracting Agency Use Only**

- [x] Approved
- [ ] Denied

**Remarks**

Per Attached Program

**Region Approving Authority**

[Signature]

**Date**

**Title**

**Distribution:** White - Contracting Agency; Canary - Contractor; Pink - Headquarters; Goldenrod - Trainee
Trainee Interview Questionnaire

Prime Contractor: Acme Construction
Subcontractor (If trainee is not employed by prime contractor): N/A
Trainee: Jane Doe
Address: 1234 A Street, Waterville WA
Last Four Digits of SSN: 9999
Wage Rate: Unknown
Ethnic Group: Other

1. No. of years you have been an Apprentice/Trainee: 1 year
   No. of Apprentice/Trainee hours you have accumulated: 1200

2. Describe training provided for the current project:
   General equipment operation and use of tools, Construction safety practices.

3. Are you receiving beneficial training on this project? ☑ Yes ☐ No
   Are there areas that need improving? ☐ Yes ☑ No
   Please Describe.

4. Have you encountered problems on the job site (i.e., sexual harassment, racial discrimination, etc.)?
   ☑ Yes ☐ No

5. Are you aware of the company’s Affirmative Action, Safety, or EEO meetings? ☑ Yes ☐ No
   How often do you attend these meetings?

6. Have you received a copy of the EEO Policies? ☑ Yes ☐ No

7. Are there any areas in which you need assistance?
   ☐ Counseling ☐ Mediation ☐ Math Tutoring
   If so, please contact the OJT Supportive Services Program: at 206-587-4954 or toll-free 1-866-252-2880.

Interviewer: Dan Cotton
Title: Engineering Tech
Date: 6/15/2011

Comments:
Jane is working around heavy equipment adjacent to high volumes of traffic.
## Federal-Aid Highway Construction Annual Project Training Report

See Instructions for assistance in completing this form.

<table>
<thead>
<tr>
<th>Prime Contractor</th>
<th>Contract No.</th>
<th>Federal Aid No.</th>
</tr>
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<tbody>
<tr>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>Subcontractor (if applicable)</th>
<th>Project Engineer</th>
<th>Region</th>
<th>Percent Training Complete</th>
<th>As of</th>
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<tbody>
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</table>

### Reporting Period

<table>
<thead>
<tr>
<th>No. of Trainees Assigned</th>
<th>Training Hours Assigned</th>
<th>Ethnic Code: (B) Black</th>
<th>(A) Asian</th>
<th>(H) Hispanic</th>
<th>(NA) Native American</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>(O) Other (Specify)</td>
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</tbody>
</table>

### Reporting Period

Jan. 1, __________ To Dec. 31, __________

<table>
<thead>
<tr>
<th>Name (Last, First)</th>
<th>Last 4 Digits of Social Security No.</th>
<th>Job Classification</th>
<th>Gender</th>
<th>*Ethnic Group</th>
<th>New Hire</th>
<th>Hours Assigned</th>
<th>Start Date</th>
<th>Apprentice</th>
<th>Completed This Period</th>
<th>Training Complete</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

### Total Training Hours

<table>
<thead>
<tr>
<th>Training Hrs. Completed This Period</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

### Comments:

Report Prepared (Signature) __________________________ Title __________ Date __________

Use Additional Sheets as Needed

Page _____ of _____
Preconstruction Meetings/Discussions (Construction Manual Section 1-2.1C)

Preconstruction Conference

As soon as practicable after your contract is executed, you need to schedule a preconstruction conference. Though less formal meetings are allowed on very small projects, we recommend that a formal preconstruction meeting be held to discuss the project. On more complex projects, you might hold a precon and also schedule separate meetings for utility coordination and/or specialized work like bridge construction or paving. Remember to invite the Region Local Programs Engineer to all preconstruction meetings.

A sample of a preconstruction meeting agenda can be found in Local Agency Guidelines Appendix 52.101.

All information exchanged must be documented in the project records by formal meeting minutes, by file copies of letters, by tape recordings, or by diaries. A sample of preconstruction meeting minutes can be found in Local Agency Guidelines Appendix 52.102.

As a minimum, the following subject areas need to be covered during the preconstruction period:

- Contractor-agency relationships.
- Identify agency personnel and consultants and their roles.
- Environmental issues and concerns.
- Commitments.
- Order of work and schedules.
- Subcontractors and lower tier subcontractors.
- Utilities.
- Safety and traffic control.
- Control of materials – including “Buy America.”
- Other submittals.
- DBE requirements when the contract contains DBE goals – in depth discussion.
- EEO and training – name of contractor’s EEO officer.
- Wage Rate Administration.
- Forms* and Posters**.

*Prior to the start of work, the Local Agency should review the project documents and the directions of the Local Agency Guidelines and the Construction Manual and determine what forms will be required. Forms are available online at www.wsdot.wa.gov/forms. Forms on the H&LP website have a runtime that
will allow download and use on any computer. *Construction Manual* Chapter 11, has examples of the current forms and who is responsible for completion, the Agency or the contractor.

**Job site posters are available online at the WSDOT Construction Office website.**

**Commitment File**

Any promises made during any stage of the project should be documented in a commitment file. During the design phase, a project commitment file is started. Establishing this file generally coincides with preparation of the environmental document.

The file consists of:

- Proposed mitigating measures.
- Commitments made to permit or other agencies.
- Any other commitments made during the project.

The file normally consists of design and environmental commitments. Other commitments may be added at the local agency’s discretion, such as right of way, access, maintenance, permits, and agreements. Commitments are normally included or identified in the following documents or actions:

- Environmental documents.
- Design reports.
- Right of way plans.
- Access plans.
- Findings and order.
- Contract plans.
- Preconstruction conference.
- Change orders.
- End of project report.
- Maintenance.

Continue to maintain the commitment file as a project progresses through its development and construction stages. Whenever commitments are made, they are incorporated into project documents and transferred from one phase of the project to the next. The benefit is that all parts of your team—agency design, construction and maintenance personnel, consultants, and the contractor—can easily be made aware of every commitment.
The inspector or project manager needs to ensure that the commitment file is carried into the construction phase of the project. Your duties are to:

1. Obtain a copy of the commitment file before the preconstruction conference.
2. Communicate to the contractor those commitments that may or may not be a part of the contract. Remind the contractor of any special provisions that require you be notified about disposal sites, landowner agreements, and so on.
3. Discuss at the weekly meetings and document the fulfillment of each commitment in your IDR.
4. Cross-reference the commitment file to your diaries for ease of review by regulating agencies, H&LP, FHWA, and others.
5. Document fulfillment of the commitments in the projects permanent records.
6. If there are commitments that will not be completed by the end of the project, like landscape maintenance, wetland mitigation, or maintenance, be sure that the appropriate people know and document that you told them.

**Contractor Submittals**

At the preconstruction conference or before, the contractor is given a brief description of the required forms and an initial supply of the most current forms. If the appropriate forms can be provided to the contractor prior to the preconstruction, the overall submittal process can be streamlined.

The precon is a great opportunity to remind the contractor that certain documents, if not submitted, will delay initial progress payments:

- Statement of Intent to Pay Prevailing Wages
- Training Program
- Progress Schedule (schedule covering the first 60 working days is due no later than five days after contract execution) *(Standard Specifications Section 1-08.3)*

The precon is also a good time to remind contractors of other documents that may potentially delay the work or delay payment.

**Delay the Work**

- Subcontractor submittals.
- Shop drawing submittals.
- Schedule and revised schedule submittals.
- Unsafe working conditions.
- Spill Prevention, Control, and Countermeasures Plan.
- Others as described in your special provisions.
Delay Partial Payment

You must be very sure you have a specific contractual basis for delaying ANY payment. This will be discussed further under progress payments.

Subcontractors

With rare exceptions, every person working on the project is either working for the prime contractor or a subcontractor. The only exceptions are deliveries and services.

- **Delivery** – A vehicle making a delivery does not perform any on-site work. They are just dropping a load.

- **Service** – All service providers are listed in *Standard Specifications* Section 1-08.1 as exemptions to subcontractors. If no exemption is listed but the work is less than $500 and is not work normally performed on contracts, contact your Region Local Programs Office to see if they can be accepted as a service.

Subcontractor Submittals

You should have all three subcontractor papers for each sub when they come onto the job site:

- Request to Sublet Work (WSDOT Form 421-012) *(Figure 4-1)*
- Contractor and Subcontractor or Lower Tier Subcontractor Certification for Federal-Aid Projects (WSDOT Form 420-004) *(Figure 4-2)*
- Statement of Intent to Pay Prevailing Wage (approved)

Request to Sublet Work *(Construction Manual* Section 1-2.4G)*

The prime contractor may sublet up to 70 percent of the original bid amount. Each subcontractor may use agents (lower tier subcontractors) for up to 25 percent of their total amount contracted. The engineer must approve all subcontractors and agents before the work begins *(Standard Specifications* Section 1-08.1).

When a Request to Sublet Work is turned in:

- Check the Federal ID number for each contractor.
- Check the dollar amount against the proposal amount.
- Check against the debarred contractor list.
- Check to see if any sub is a DBE, even when you do not have a goal.
- For Condition of Award DBE subcontractors, the dollar amount must be equal to or exceed the amount shown on the letter submitted to you prior to execution. Check that the COA items are awarded to the proper DBE subcontractor. Any changes to COA subcontractors must be documented in a change order BEFORE the sub can be approved.
- Number the requests and record the running total for percent subcontracted. Total for project must be less than 70 percent.
- Your agency signs and dates to indicate approval.
Statement of Intent to Pay Prevailing Wages

The specification requires that no progress payment be released to the contractor for that portion of work performed by subcontractors prior to the engineer’s receipt of an L&I approved Statement of Intent (Standard Specifications Section 1-07.9(5)).

Contractor and Subcontractor or Lower-Tier Subcontractor Certification for Federal-Aid Projects

This form (WSDOT Form 420-004) must be completed by the contractor and the subcontractor and submitted with the Request to Sublet. It basically says there is a written contract between the prime and sub and that the sub is aware this is a federal aid project. Note: A printed copy of FHWA 1273, with amendments, must be attached to all contracts.

Contract Progress Schedule (Standard Specifications Section 1-08.3)

General Requirements

The Contractor shall submit Type A or Type B Progress Schedules and Schedule Updates to the project manager for approval. Schedules shall show Work that complies with all time and order of Work requirements in the Contract. Scheduling terms and practices shall conform to the standards established in Construction Planning and Scheduling, Second Edition, published by the Associated General Contractors of America. Except for Weekly Look-Ahead Schedules, all schedules shall meet these General Requirements, and provide the following information:

1. Include all activities necessary to physically complete the project.
2. Show the planned order of Work activities in a logical sequence.
3. Show durations of Work activities in working days as defined in Standard Specifications Section 1-08.5.
4. Show activities in durations that are reasonable for the intended Work.
5. Define activity durations in sufficient detail to evaluate the progress of individual activities on a daily basis.
6. Show the Physical Completion of all Work within the authorized Contract time.

The Contracting Agency allocates its resources to a Contract based on the total time allowed in the Contract. The Contracting Agency may accept a Progress Schedule indicating an early Physical Completion Date but cannot guarantee the Contracting Agency’s resources will be available to meet an accelerated schedule. No additional compensation will be allowed if the Contractor is not able to meet their accelerated schedule due to the unavailability of Contracting Agency’s resources or for other reasons beyond the Contracting Agency’s control.

If the Engineer determines that the Progress Schedule or any necessary Schedule Update does not provide the required information, then the schedule will be returned to the Contractor for correction and resubmittal.
SPCC PLAN (Spill Prevention, Control, and Countermeasures Plan)  
(Standard Specifications Section 1-07.15(1))

Before any work begins, the contractor must submit a project-specific SPCC Plan for approval. This plan details how the contractor will respond in the event of a chemical spill (diesel, hydraulic fluid, curing compound, etc.). No on-site construction activities may commence until the contracting agency accepts an SPCC Plan for the project.

SPCC Plans should include information regarding the project site and contractor activities as they relate to spill prevention, control, and response activities. Additionally, SPCC Plans should identify possible sources of hazardous materials, methods to prevent and control spill, and spill response procedures. Plans are written and maintained by the contractor and are required on all projects, regardless of the size or duration of construction activities.

SPCC Plans are applied to the life of a construction project and may need to be amended over time with changing conditions. Periodic inspections will ensure that the required preparation and preventative steps identified in the SPCC Plan have been taken to keep the site in compliance throughout the life of the project.

The Standard Specifications provide the complete list of required contents for the contractors SPCC Plan in Section 1-07.15(1).

Temporary Water Pollution/Erosion Control Plan  
(Standard Specifications Sections 1-07.15 and 8-01.3(1)a)

When a Temporary Erosion and Sediment Control (TESC) Plan is included in the plans, the contractor shall either adopt or modify the TESC Plan. The contractor shall provide a schedule for TESC Plan implementation and incorporate it into the contractor’s progress schedule. The contractor must obtain agency approval of the TESC Plan and schedule before any work begins. If a TESC Plan is not included in the contract plans, the contract special provisions may also state that the contractor must submit a plan for approval prior to any work begins.

Approving the Water Pollution/Erosion Control Plan

Review and approve in writing after you have confirmed the following are included:

1. The schedule for all erosion-control work, whether permanent (as required by the contract) or temporary (as proposed by the contractor).

2. All areas the contractor’s work may affect inside and outside the limits of the project (including all Contracting Agency-provided sources, disposal sites, and haul roads, and all nearby land, streams, and other bodies of water).
Administering the Water Pollution/Erosion Control Plan

1. Confirm that the materials are on site, readily available and/or installed, as proposed.

2. Ask for revised plans as needed. It is important that the erosion control measures on the job site match those in the approved plan exactly. As seasons and conditions change, be sure both the plan and the on-site measures are updated. Making this discussion a part of your weekly meeting may help to keep both current.

3. Review control measures before expected significant rain events and adjust as needed.
## Request to Sublet Work

### Part 4 Preconstruction

#### WSDOT Construction Training Guide for Local Agencies

**M 3075.01**

**Page 4-9**

**January 2012**

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Partial</th>
<th>Item Description</th>
<th>Amount</th>
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</table>

**Figure 4-1**

---

**Department of Transportation Use Only**

<table>
<thead>
<tr>
<th>Percent of Total Contract</th>
<th>DBE Status Verification</th>
</tr>
</thead>
<tbody>
<tr>
<td>This Request</td>
<td>%</td>
</tr>
<tr>
<td>Previous Requests</td>
<td>%</td>
</tr>
<tr>
<td>Sublet to Date</td>
<td>%</td>
</tr>
</tbody>
</table>

**Project Engineer’s Signature**

**Date**

**Approved - Region Construction Engineer**

**Date**

---

**DOT Form 421-012 EF**

**Revised 11/2009**

**Distribution:**

- White (Original) - Region
- Canary (Copy) - Project Engineer
- Pink (Copy) - Contractor

---

**I understand and will insure that the subcontractor will comply fully with the plans and specifications under which this work is being performed.**

**Prime Contractor Signature**

**Date**

---

**Approval is Requested to Sublet the Following Described Work to:**

- Subcontractor
- Lower Tier Subcontractor
- DBE

**Prime Contractor**

**Federal Employer I.D. Number * State Contract Number**

**Job Description (Title)**

**Request Number**

**Address**

**City**

**State**

**Zip Code**

**Telephone Number**

**Estimated Starting Date**

* If no Federal Employer I.D. Number, Use Owner’s Social Security Number

**If Lower Tier Subcontractor, ID of Corresponding Subcontractor**

---

**I understand and will insure that the subcontractor will comply fully with the plans and specifications under which this work is being performed.**

**Prime Contractor Signature**

**Date**

---

**Request to Sublet Work**

---

**Figure 4-1**

---
**Contractor and Subcontractor or Lower Tier Subcontractor Certification for Federal-Aid Projects**

(Required for each Subcontractor or Lower Tier Subcontractor on all Federal-Aid projects)

<table>
<thead>
<tr>
<th>Contract Number</th>
<th>Federal-Aid Number</th>
<th>State Route Number</th>
</tr>
</thead>
</table>

**Subcontractor or Lower Tier Subcontractor**

To be signed by proposed subcontractor or lower tier subcontractor

The contract documents for this subcontract include as part of the subcontract a special provision entitled “Required Federal-Aid Provisions”, the “Required Contract Provisions Federal-Aid Construction Contracts (FHWA 1273)”, and the minimum wage rates.

I certify the above statement to be true and correct.

- **Company**
- **Signature**
- **Date**
- **Title**

**Contractor Certification**

To be completed and signed by the contractor

1. [ ] A written agreement has been executed between my firm and the above subcontractor.

2. [ ] A written agreement has been executed between (the subcontractor) and the above lower tier subcontractor.

All documents required by the special provision entitled “Required Federal-Aid Provisions” are included in the agreement for (1) or (2) marked above.

I certify the above statements under Contractor Certification to be true and correct.

- **Company**
- **Signature**
- **Date**
- **Title**
Part 5  Construction Activities

Control of Materials *(Standard Specifications Section1-06.1)*

Prior to use, the contractor shall notify the engineer of all proposed materials. The contractor shall use either the Qualified Product List or the Request for Approval of Material (WSDOT Form 350-071) or agency equivalent.

All material incorporated into the permanent work:

- Shall be new, unless the special provisions permit otherwise.
- Shall meet the requirements of the contract and be approved by the engineer.
- May be inspected or tested at any time during their preparation and use.
- Shall not be used in the work if they become unfit after being previously approved.

**Agency's Responsibilities**

Your agency is responsible for:

- Reviewing and approving all materials used on the project.
- Compiling a documentation package that tells what was used, how much was used, where it came from, where it was used, and whether or not it met specifications.
- Tracking all material documentation so it can be retrieved at a later date.

**Record of Materials (ROM)**

The ROM is a list of all materials to be used on your project. It is contract specific and based on the WSDOT Construction Manual Chapter 9 requirements, your contract documents, and the Standard Specifications. You can alter a WSDOT generated ROM to reflect the list of changes allowed by WSDOT Local Agency Guidelines Appendix 52.108.

The inspector should be:

- Familiar with the “Record of Materials.”
- Make sure an approved Request for Approval of Material or QPL is on file prior to using a material.
- Understand the difference between material Approval and material Acceptance.

**Material Approval** – The process that determines the material submitted is appropriate for the intended use.

**Material Acceptance** – The process that you apply to prove the material meets specifications.
Material Tracking (A.K.A. “Maintained” ROM) – A material tracking process is **required** for all projects. You can supply updated copies to the inspectors and contractor on a monthly or weekly basis. They can use it to tell immediately that the material for the order of work the contractor plans on doing is pre-approved or needs to be submitted.

Use the ROM for an easy way to track materials. The ROM shall be updated to reflect items added or deleted by change order.

Record of Materials is a tool prepared by WSDOT’s Headquarters Materials Lab or your office. It may be downloaded electronically, printed and filled out with a pen, or filled out electronically in a spreadsheet to keep track of what submittals, certifications, test reports, etc., have been received, approved, rejected, or accepted.

Each inspector should be familiar with the requirements listed on the ROM. We recommend it be shared regularly with the contractor.

A check for a maintained Record of Material or Working ROM will be part of the Documentation and Project Management Reviews.

A useful website to bookmark is www.wsdot.wa.gov/business/materialslab.

**Material Approval – QPL**

*Using the Qualified Products List (QPL) for Material Approval (Construction Manual Section 9-1.3A)*

Approval is the process that determines the material submitted is appropriate for the intended use.

The QPL is one way for the contractor to request material approval. It is a listing of manufactured products available that have been evaluated and determined suitable for use in highway construction. Each item in the QPL is qualified and listed under the specification for which it may be used. Use for other purposes is not acceptable.

**What’s Really Important**

When you get a QPL submittal from the contractor, check that the specification listed for the product matches the specification listed on your Record of Materials. If it does, you can approve and use the QPL item on the project. If it does not, reject the submittal and return it to the contractor immediately.

When a contractor chooses to use the QPL, the most current list available at the time the product is proposed for use will be used. The QPL submittal must be prepared by the contractor in accordance with the instructions in the QPL and submitted to the engineer prior to use.

Inspectors need to check that what is used is what was approved and document it. IDR s or separate acceptance documents may be used. Be sure to put a copy of any documentation in the file for that material.
Material Approval – RAM

Using the Request for Approval of Material (Construction Manual Section 9-1.3B)

Approval is the process that determines the material submitted is appropriate for the intended use.

The Request for Approval of Material (RAM) is the second way a contractor can request material approval. The RAM can be used when the contractor elects not to use the QPL or the material is not listed in the QPL. The completed RAM will be submitted to the engineer for approval before the material is incorporated into the work.

What’s Important

Investigate, then approve or disapprove the material submitted on the RAM.

When you get a RAM submittal from the contractor, check that the specification listed for the product matches the specification listed on your Record of Materials. If you do not know about the manufacturer of the specific material or the manufacturer of the item is not listed in the QPL for that item, further investigation is required. Ask for information from the contractor. It is their responsibility to prove the material is suitable for the application. The only person who should approve a RAM in your office is the one who is responsible for the work—your project manager.

A more in-depth product evaluation is required on a RAM than a QPL. You may use the QPL to approve a RAM as long as the exact material for the exact specification is listed in the QPL. Use the equal QPL code from the list at the bottom of the RAM or the QPL code to approve the material. If you have questions about approving materials on either RAM or QPL, contact your Region Local Programs Engineer.

What Else is Important

Approval of the material IS NOT acceptance of the material. Additional acceptance actions as noted on the approved RAM or QPL need to be completed prior to the materials being incorporated into the work.

When requesting approval of an item that requires fabrication, both the fabricator and the manufacturer of the material or product shall be identified on the RAM.

To track the approval documents, transfer the information from the RAM or QPL to the “maintained” Record of Materials. Each inspector should have a current copy of the ROM that relates to the work they are in charge of and sometimes copies of the approved QPL and RAM submittals.
Material Approval – Aggregates

Aggregate sources will be approved by consulting the Aggregate Source Approval (ASA) database for the use intended. The ASA database can be found at the WSDOT State Materials Laboratory website. Print the ASA Report and attach it to the approved RAM.

Review the approval date on the ASA Report to verify that the approval of the aggregate source has not expired or will not expire before the end of your contract. If the aggregate source requires evaluation, contact your Region’s Local Programs Office for further direction. The remarks in the ASA Report also need to be reviewed to make sure that there are no additional requirements or restrictions on the material that you intend to use. If you are using concrete aggregate, review the ASR values to see if ASR mitigation is required for the concrete mix design.

Material Acceptance – RAM and QPL Codes

All requests for approval of material, either RAM or QPL, should show the name of the contractor, contract information, applicable specifications, and bid item numbers.

Make sure all actions as designated by the RAM and QPL codes are performed prior to or at the same time as the material is being used.

Material acceptance actions are:

• Manufacturer’s Certificates of Compliance – Prior to use
  – QPL Code generally ends in 2XX
  – RAM Code 2

• Fabrication Inspection – Prior to delivery on the job site
  – QPL Code 5XXX
  – RAM Code 5, usually when this code is used a code 4 (shop drawing) and a 6 (COMO) are also used.

• Visual Inspection – At the job site, before installing
  – Applies to any material, when you sign a paynote or submit pay documents, it is assumed you have checked and verified all materials are as submitted.

• Test Reports – Prior to or concurrent with
  – QPL Code generally ends in 1XX
  – RAM Code 1

• Others as defined in contract documents
**Manufacturer’s Certificate of Compliance** *(Standard Specifications 1-06.3)*

Some materials can be accepted based on receipt of a Manufacturer’s Certificate of Compliance. These certificates must be received by the engineer prior to incorporating the material into the project. Look at the Record of Material and Appendix 52.108 of the *Local Agency Guidelines* to determine which products may be accepted by Manufacturer’s Certificate of Compliance.

The contractor may request authority from the engineer to install such material prior to submitting the required certification. This request must be in writing. If the request is approved (also in writing), no payment will be made until adequate certification has been provided. Document all of these actions in the files.

If the required certification is not submitted prior to the completion date of the contract, the contracting agency will assess the usefulness of the installed material. At the engineer’s discretion, the contracting agency will either require replacement of the material or process final payment without paying for the materials or any portion of the work performed to install the material.

A Manufacturer’s Certificate does not replace a Certification of Materials Origin for iron and steel.

**Transmittal of Manufacturer’s Certificate of Compliance (Checklist)** *(Construction Manual Section 9-1.4D)*

All material certifications for the material incorporated into the project shall be reviewed for compliance with the specifications. We recommend that the Transmittal of Manufacturer’s Certificate of Compliance (WSDOT Form 350-572) *(Figure 5-7)* be utilized to assist your evaluation. If all the checklist items can be answered “YES,” sign the completed checklist “Approving” the Manufacturer’s Certificate of Compliance. If all the checklist items except No. 2 and 7a, cannot be answered “YES,” sign the completed checklist and return it to the contractor for corrections, clarification, and resubmit for approval and payment. As with RAMs, your project manager or appointed alternate should sign these transmittals.

The approval of some Manufacturer’s Certificate of Compliance can require multiple documents. For reinforcing steel, the following is needed:

- Fabricators Certificate of Compliance *(Figure 5-8)*
- Rebar Order (Cut) Sheets – for verification of quantity *(Figure 5-9)*
- Certified Mill Test Report – from the manufacture of the base material *(Figure 5-10)*

You really NEED to know the material sent is what your contract asked for. Check all Manufacturer’s Certifications against the project requirements.
Manufacturer Certificate of Compliance

I. Acceptable Mfg. Cert. – Received

Project Office – Do’s

1. Advise field engineer and inspectors of status of all acceptable or approved Mfg. Cert. received.

2. Know which lot or other product identification is on the approved Mfg. Cert.

3. Accept for payment only those materials for which there is an approved Mfg. Cert. on file.

Field Inspector – Do’s

1. Know if an acceptable or approved Mfg. Cert. has been received.

2. Know which lot or other product identification is on the approved Mfg. Cert.

3. Check that material delivered to project matches that identified on Mfg. Cert. and provide information to office.

4. Check material delivered for shipping damage.


Project Office – Do’s

Advise field engineer and/or inspectors of the status and acceptability of all Mfg. Cert. received.

Field Inspector – Do’s

1. Check materials delivered to project, record lot numbers or product identification, provide information to office.

2. Advise contractor that a letter is needed to waive requirements of Standard Specifications Section 1 06.3 and allow installing materials prior to receipt of acceptable Mfg. Cert.

Project Office – Don’ts

Make payment for the work when an acceptable Mfg. cert. has not been received.

Field Inspector – Don’ts

Allow installation of material without advising contractor that payment will be withheld until acceptable Mfg. Cert. is received as per Standard Specifications Section 1-06.3.
**Fabrication Inspection – What Is It and Why Is It Important**

Fabrication inspection is performed while a product is being fabricated. Precast concrete products, structural steel members, signs, and bridge bearing pads are some of the items that are inspected during their manufacture.

Fabrication inspection is important because it allows trained inspectors to look at the construction, materials, and technique while the items are being built. Problems that may arise from improper fabrication are resolved before the item is delivered to the job site. For example, hidden elements such as rebar under concrete in a catch basin.

WSDOT Materials Lab provides fabrication inspection to Local Agency and WSDOT projects. There is a charge for this service, so it is important to know what is being inspected and where the products are made. In some cases, other inspection services can be used. Contact the Region Local Programs Engineer for help arranging fabrication inspection or questions about who can inspect these items.

**Visual Inspection**

Visual inspection is done on literally all materials incorporated in the work. Some items are accepted solely on the basis of a visual inspection and a RAM or QPL for the product will indicate that is the case.

Visually inspected means you took the time to check that the contractor used the right thing and it was acceptable at the time the contractor used it.

Visually accepted materials are the sole responsibility of the project inspector. When you approve payment for an item, it is assumed you have done your job and visually inspected and checked that the correct materials in this category were used.

Do not accept damaged material or material that was not preapproved.

Place documentation of your visual inspection in your materials approval file.

**Sampling and Testing – There Are Three Different Types of Sample**

**Preliminary Samples and Tests** *(Construction Manual Section 9-3.2A)*

Preliminary samples are intended to show the general character of the materials available or proposed for use. Preliminary samples are a basis for approving which aggregate site or brand of material will be considered for use. The samples shall represent an identified lot of materials.

Often preliminary samples are used to approve materials submitted on RAMs.

**Acceptance Samples and Tests** *(Construction Manual Section 9-3.2B)*

Acceptance samples and tests are defined as those samples tested for determining the quality, acceptability, and workmanship of the materials prior to incorporating the materials into the project.
Verification Samples and Tests (Construction Manual Section 9-3.2C)

Verification samples and tests are used for making checks on the reliability of a manufacturer’s test results when acceptance of the material is based upon a Manufacturer’s Certificate of Compliance or when an agency wishes to verify test results provided by a testing lab (this type of test is also referred to as an “Assurance” test).

Sampling and Testing Schedule (Construction Manual Section 9-3.7)

The testing frequency schedule in Construction Manual Section 9-3.7 covers the minimum requirements for sampling and testing at the project level for concrete, all aggregates, HMA, and asphalt materials. It includes a list of the types of tests required.

Your WSDOT ROM shows the number of required tests for each material on your project based on this schedule and plan quantities. If material quantities increase or decrease, the number of required test may change.

In some instances, good construction practice will necessitate more frequent tests to ensure adequate control of production.

What’s Important

Sampling and testing will be checked on selected items during all project reviews. We will check that the correct number of tests were performed, that they passed, and if they did not pass, that appropriate actions were taken to address out of specification materials.

We will check the test results against the specifications. Do not rely on the testing lab’s pass/fail remarks to prove the materials are acceptable.

Any material shown to be out of specification must be addressed by either removing and replacing or a change order accepting out of specification material with a CREDIT. In a few cases, you may be able to justify why the material is acceptable without a credit. Check with the Region Local Programs Office first, to ensure this is documented correctly. This is considered a change to the contract and should be treated as one.

What’s Important About Testing

Based on the number of tests required by the Record of Material and the Construction Manual, a reasonable quality for each material is established. Evaluation of the material test results and acceptance actions is verification your agency did, in fact, get what the taxpayers paid for.

Not testing material when required or improperly accepting material is cause for an unsatisfactory project review which can result in loss of funding or potentially higher consequences. Yes, this is a very big deal. All out of spec materials must either be removed and replaced or accepted with a change order accepting an out of spec material with a credit or a justification for why the materials is okay.
Sampling and Testing Small Quantities of Materials
(Construction Manual Section 9-1.1A)

The project engineer may elect to accept small quantities of materials without meeting minimum sampling and testing frequencies using the following criteria. The use of this process is to be implemented prior to work being performed and not to retroactively justify deficiencies discovered after the completion of work.

An item can be accepted as a small quantity if the proposed quantity for a specific material is less than the minimum required testing frequency.

Materials that will not be considered under the small quantity definition are:
- Structural concrete with a 28-day compressive strength of 4000 psi or greater.

Some issues that the project engineer may consider prior to use of small quantity acceptance are:
- Has the material been previously approved?
- Is the material certified?
- Do we have a mix design or reference mix design?
- Has it been recently tested with satisfactory results?
- Is the material structurally significant?

Small quantity acceptance could be visual, by certification, or other methods and the basis of acceptance shall be documented on Reduced Acceptance Criteria Checklist (WSDOT Form 350-120) (Figure 5-30). For visual documentation, an entry should be made in the project records as to the basis of acceptance of the material, and the approximate quantity involved.

The small quantity acceptance may be used for any quantity of the following:
- Curbs and sidewalks.
- Driveways and road approaches.
- Paved ditches and slopes.

Where job site mixing of concrete occurs in accordance with Standard Specifications Section 6-02.3(4)B small quantity acceptance can be used for acceptance of packaged concrete meeting the requirements of ASTM C 387. The packaged concrete bag must state that the concrete meets the requirements of ASTM C 387.
Material Specifics

Materials that require testing:

1. Structural Concrete
   • Slump
   • Air
   • Temp
   • Compression Testing
   • Certification type delivery ticket per *Standard Specifications* Section 6-02.3(5)B is also required.
   • Curing Compound

2. Asphalt in the Roadway
   • Density
   • Hot Mix
     – Gradation/SE
     – Oil Content
   • Certification of the Binder and Anti Strip is also required.

3. Surfacing Under Roadway and Bridge Approaches
   • Density
   • Gradation and SE

4. Base Material Under Roadway, Embankments, Bridge Approaches
   • Density
   • Gradation and SE

5. Geogrid Behind Walls

6. Structural Grout
   • Compression Testing

7. High Strength Nuts Bolts and Washers*
   • Manufacturer’s Certificate of Compliance
   • Certificate of Material Origin also required

*See *Standard Specifications* Section 9-06.5.

Materials that can be accepted by Certification:

1. Steel
   • Manufacturer’s Certificate of Compliance
   • Certificate of Material Origin
2. Iron
   - Certificate of Material Origin

3. Liquid Asphalt Products
   - Manufacturer’s Certificate of Compliance

   **Special Note on PG Binder:** The PG Binder Bill of Lading acts as a Manufacturer’s Certificate of Compliance for the binder material. The Bill of Lading (Figure 5-13) should be delivered with each load of binder to the asphalt plant. The Asphalt Plant Inspector/Tester should pick up a copy from each delivery during the entire period of production of HMA for the project. Put these in your files. The Certification for binder is part of the material acceptance documentation that will be checked during a project review.

4. Geotextile Fabrics (not including Geogrid behind walls)
   - Manufacturer’s Certificate of Compliance

5. Guardrail Items
   - Certificate of Material Origin for steel components
   - Mill certificate for post items

6. Monument Case and Cover
   - Certificate of Material Origin

7. Bridge Bearing Assemblies that are not welded
   - Manufacturer’s Certificate of Compliance
   - Certificate of Material Origin

Material that can be accepted by Visual Inspection when approved by Catalog Cut:

1. Traffic marking – paints and thermoplastics
2. Electrical items and accessories
3. Fencing
4. Landscaping or irrigation items
5. Drainage items
6. Rebar Tie Wire
7. Backer Rod under RCS Expansion Joints
8. Rebar Chairs and Dobie Blocks
9. Temporary items
10. Compost, bark, and mulch
11. Street furniture etc.

Notation should be made that all materials used were those that were approved for the project. Certification of materials origin is required for all iron and steel items.
List of materials that Require Fabrication Inspection:

1. Structural Steel Beams or Fabricated, Welded items
2. Structural Precast Concrete Items
3. Bridge Bearing Assemblies that are welded
4. Signs (*Note:* All signs must be inspection by WSDOT Materials Fabrication Inspection Office and bear the Fabrication Approval Decal.)
5. Sign Bridges
6. Cantilever Sign Structures

Fabrication inspection must be performed by qualified professional companies that specialize in quality assurance services. Refer to WSDOT *Construction Manual* Section 9-2 for more detail about WSDOT Fabrication Inspection processes.

When inspection is performed by private inspection companies or other state Departments of Transportation, the Manufacturer’s Certificates of Compliance and Certificates of Material Origin are also required to be in the project files.

**Other Acceptance Actions**

Your contract may list acceptance actions that are not common. Be sure to READ YOUR CONTRACT before starting any inspection of work that is covered by a Special Provision or GSP.

Final Contract Material Certification will be covered during the section on project closure.

**Filing and Tracking**

**Why Do I Care**

- If you don’t have a list, you won’t know what’s missing.
- If you don’t know what’s missing, you won’t ask for it.
- If you don’t ask for it, you won’t get all you need to satisfy the requirements.

**Filing System Basics**

- Design your system for easy retrieval of information rather than storage.
- Consider a log sheet for each file.
- Do not let file folders get overfull.
- Make a guide to files and keep in front or on top.

To test your system, ask the following questions and look for the answers in your files. Better yet, ask someone who is not involved in your project to do this.

- Can I locate all the payrolls for subcontractor ABC Excavating?
- Did I get enough passing tests for CSTC (or another bid item with quantity material)?
• Did CO# XX get executed so I can pay for the new items?
• Did they finally send in all the certifications for the reinforcing steel in the luminaire foundations?
• Can I retrieve all the data from one day of paving in five minutes or less? (RAMs, QPL submittals, mix design, delivery tickets, tests taken, test results, IDR, scale certs, bill of lading for oil, and scale checks.)

What to Track
• Contractor and subcontractor submittals
• Materials approvals
• Materials quantities/testing/results
• Materials certifications and backup
• Payrolls
• Change orders
• Wage rate interviews
• DBE interviews
• Correspondence of any sort

Tips for Making Filing and Tracking Systems Work for You
1. Highlight problems while they are small (missing payrolls, interviews, certs).
2. Know what is missing so you can ask the contractor to submit it.
3. Prevent “missed paperwork” that cannot be gathered later.
4. Show follow up (test failed, retested two samples, both passed).

Time for Completion and Schedule

Working Days

The people who designed your project made an educated guess about the order, duration, and interconnectedness of the many activities that are components of your project. The contractor bids the work knowing what the number of working days assigned is and that the number cannot be changed for their convenience without compensation or justification.

The Way That Time for Completion Can Be Changed

Write a change order showing added work, deleted work, or delayed critical path work. Be sure you have a written justification of your change order file and that the change is based on changes in the work. You can’t just write a change order at the end, without justifying the added time.
Schedule

In accordance with the *Standard Specifications* Section 1-08.3, the contractor is required, within five calendar days of execution, to submit a schedule showing:

- The proposed order of work.
- Projected starting and completion dates for the total project.
- Projected starting and completion dates for major phases of the work.
- Completion of all work within the specified contract time.

**Why Do I Care About the Contractor’s Schedule**

An accurate schedule is important to you because it tells you the contractor’s plan to get the work done in the number of working days you have specified in your contract documents. This accomplishes several things:

- Confirms that there is a way to get the work done if all goes reasonably well.
- Gives you an opportunity to review the contractor’s plan for reasonableness.
- Identifies a time frame for key activities to help you schedule your own resources.
- Defines critical activities.

**Isn’t the Two Week Schedule They Give Us at the Weekly Meeting Good Enough**

No. It is a useful tool for planning and anticipating the near future but does not provide an overview of the entire project. You need a bar graph showing a critical path or a CPM schedule.

**Bar Graph or CPM – Why Do I Care Which They Submit**

For larger and more complex projects, the contractor submits a schedule developed using the CPM or Critical Path Method. Smaller projects may have a General Special Provision in the special provisions allowing the use of a bar graph. Here is the essential difference:

- A bar graph can simply be a listing of activities and the general order in which they will be accomplished.
- A CPM schedule shows the list of activities but clearly demonstrates how those items of work are interdependent. You will use the critical path to:

1. Spell out critical activities which you will need to know to prepare the Weekly Statement of Working Days (*Figure 5-14*).
2. Point up problems or conflicts not previously identified.
3. Determine additional days for change orders.
4. Aid in analysis of delay or changed conditions claims.
What Do I Do With It Now That I Have It

Review it and if approved document that you did by dating and initialing.

- Are all key activities included?
- Are potential conflicts addressed?
- Are the activities shown as critical actually critical?
- Do you believe the durations shown are reasonable?
- Are all activities shown that can delay the next activity?

Reviewing Tip – Start at the end of the schedule and work to the front to catch problems. Also ensure activities shown are taking place during allowable times of the year. (In-water work windows, paving, planting, etc.)

When to Ask for a Revised Schedule

You may request a revised schedule when any of the following occur:

- The project has experienced a change that affects critical path.
- The sequence of work is changed from that in the approved schedule.
- The project is significantly delayed.
- Upon receiving an extension of contract time.

A “significant” delay in time is defined as ten working days or 10 percent of the original contract time, whichever is greater.

Why is This Such a Big Deal

When projects drag on, contractors lose money. When contractors lose money, they look for a way to recoup their losses. You will see this as more requests, change orders, delay claims, and complaints. You will need a revised schedule to help you manage these submittals and respond appropriately. Otherwise, you may end up paying more than you should. This also explains why contractors resist most requests for a revised project schedule. Insist at the weekly meetings. Insist in writing. Keep insisting.

Weekly Statement of Working Days (WSWD)

Your agency is required to prepare a Weekly Statement of Working Days. This form counts down, day by day, through the life of the project. The contractor is charged one working day up to five per week whenever work can be performed on a critical activity. You determine critical activities by looking at the contractor’s schedule.

Complete the form weekly and mail to the contractor. They have 10 days after receipt to protest the working day charges.

Maintain documentation in your files of the receipt of the weekly statement of working days by the contractor.
Workable vs. Unworkable Day

You need to understand this to complete the “weekly statement” and to deal with delay claims.

**Workable Day** – A workable day means that the contractor could reasonably be expected to perform CRITICAL work on that day and to get a reasonable amount of productivity. By this criteria, the contractor could easily be charged a working day during harsh weather or when they do not appear on site.

**Unworkable Day** – An unworkable day means that the contractor could NOT reasonably be expected to perform CRITICAL work on that day or to get a reasonable amount of productivity due to circumstances beyond the contractor’s control. By this criteria, your contractor may have people working that day but be unable to perform the CRITICAL ACTIVITY work for reasons beyond their control. Note that the contractor staying away does not make it unworkable either. The defining element is whether or not CRITICAL work could have been performed that day.

**Partial Days** – Some days are only partially workable. Sometimes weather (extreme cold, snow and ice, or hard rain), natural disaster (floods), or other events out of the contractor’s control (traffic accident or vandalism) prevent the contractor from getting full production with a normal crew and/or normal effort. In these cases, you have the option to charge partial days—usually ½ days.

Write weekly statements every week unless work is suspended. When work is suspended, be sure to issue a “Suspend Work Order.” When work is resumed, be sure to issue a “Resume Work Order.” Both situations must be written to the contractor.

Inspector’s Daily Reports (*Construction Manual* Section 10-3.6B)

Every inspector should be writing a daily report of activities on the project. Most agencies use WSDOT’s Inspector’s Daily Report forms (WSDOT Forms 422-004, 422-004A, and 422-004B) (Figures 5-15, 5-16, and 5-17) to document daily activities. A similar “personalized” version can only be used if it includes the same key components. On a complex project, more than one person will be writing IDRs. Be sure that the coordination is good so somebody is covering all aspects of the work. Explain any gaps in IDR dates.

Page one of the form is a structured sheet of questions addressing identification of work operations and the associated labor and equipment being used to accomplish the work. This page should be filled out completely. Be sure your form includes these key components:

- **Work Operations** – What is being done, who is doing it, which equipment, location.
- Other equipment on site but not being used.
- Testing and/or test results received.
- Delivery of materials.
• Questions or clarifications to or from the contractor.
• Direction given to the contractor.
• Conflicts or disputed work.
• Weather.
• Unusual conditions.
• Delays in the operation and why.
• Presence of visitors, meetings, and decisions reached.
• Safety concerns.
• Traffic (minor traffic control projects only – otherwise use Traffic Control Report).
• Photos taken.
• Sign it in ink.

This can be hand written in ink on the form or entered electronically on a laptop. The electronically produced document must be complete, including a hand written signature in ink. It should be reviewed by the project manager, chief inspector, or other individual in your organization. That person needs to initial and date that the IDR was reviewed.

This signed and reviewed IDR is the official one and is filed in the project records. Any duplicate copies remain with the inspector and may be discarded when they are no longer useful.

Page two is the narrative portion. This is a place to write facts, not opinion.

If your inspector’s IDR is used to accept a material, you should place a copy in your materials approval file for that material.

**Movie Time – Inspector’s Daily Report**

**Five C’s of Good Report Writing**

• **Clear** – Being clear refers to both handwriting and meaning. Messy handwriting is unprofessional. Take the time to write neatly. Written material is useless if it cannot be read and understood.

  Being clear in meaning is just as essential. Whatever is written has to be clear, even to people not involved with the project. It can become a habit to write a kind of shorthand that project personnel understand, but others may not. Other personnel, including auditors, may have to review your documents, months or even years after the project is complete. What may be clear to project personnel now, may be unclear to an auditor at a later date.

• **Concise** – Being concise means using the minimum number of words to get the maximum amount of meaning. The rule is, write enough to be clear, but not any more than is necessary. Record the facts and keep your opinions out of the project diary.
• Correct – Being correct means having your facts straight and using the right forms. Using the wrong forms, or making errors, gives the appearance of sloppiness and can cause big problems in arbitrations or litigation proceedings.

• Complete – Being complete means including everything necessary to be clear. To be complete, the entry should contain four criteria:
  1. Activity – A description of the activity, including location.
  2. Testing – Any testing done or the acceptance criteria that was used.
  3. Results – The results of any testing.
  4. Action Taken – Any action that may have been taken.

Another aspect of being complete is referencing other types of available project documentation. Be sure to mention any photographs, videotapes, contract documents, materials documentation, or anything else that would relate to your entry.

• Concurrent – Contract documentation should be completed concurrent with the construction activity. Extensive facts, figures, and conversations are hard to remember. Write them down as soon as possible. If it is not practical to write everything down immediately, then take abbreviated notes. Waiting until the end of the day to write everything down may cause you to forget important details.

Photographs (Construction Manual Section 10-3.14)

Pictures are an important part of the project documents. This could include 35 mm or digital photos, infrared photographs, video, etc. Whoever has the best documentation wins any argument about the past. Be sure yours is the best. Pictures are a compelling part of that discussion.

What Do I Photograph

• Unusual equipment.
• Construction methods.
• Problem areas.
• Areas of possible controversy.
• Traffic control.
• Conditions in the area of an accident.
• Proof of fabrication inspection.
• “Before” and “after” views taken from the same vantage point.
• Safety issues.
What Do I Do With All These Pictures Now

Your photo is only as good as your documentation of when, where, and why it was taken.

Turn on your date/time stamp. Make a note in your project diary or IDR. Remember not to say anything while recording video that you would not like to hear played in court.

- Ideally you are labeling the back of each photo like this:

  Contract: SA-3228  
  Project: Allen Street Bridge  
  Date Taken: 2/17/00, 1:00 pm  
  Taken By: J. Sorrell  
  Direction Looking: Northwest  
  Description: Setting girders in span 3

In case you aren’t, at least do one or more of the following:

- Save each download in a computer file labeled with your name, date, and the project name. Back up regularly.

- Print out selected pictures on plain paper for the file and do at least minimal labeling.

- Burn a CD regularly (weekly) and store it with the contract documents.

If you are using photographs as material acceptance documentation, place a copy in your material acceptance file.

Project Diary

In addition to the IDR, we recommend that you have a method to capture high level, off-the-project conversations and emails. The most important thing is that your agency does not lose track of off-the-project conversations and decisions that affect the project. This would include communication from the project manager and other key agency staff or from consultants. The issue that we are trying to avoid is when the city/county engineer or the consultant attends a meeting or has a phone conversation or makes a decision and it doesn’t get recorded.

WSDOT offices use a bound book called the Project Diary. You may find it more useful to have a file folder for these records. The important thing is to have a way to capture notes to file, telephone conversation logs, and emails about discussions and decisions that affect the project.

At the end of the project, be sure that all diary-type entries are in your records, even if they are stored on CD rather than paper records. Although this system is not as fast for retrieval, at least the information is all captured. In case of an audit, claim, or review, the information is available.
Wages (Standard Specifications Section 1-07.9)

Enforcement of Federal Prevailing Wage Provisions (Construction Manual Section 1-2.6C)

Why Do I Care What Wage Workers Make

Standard Specifications Section 1-07.9 outlines prevailing wage responsibilities for the contractor, subcontractor, lower-tier subcontractor, or agents performing work under the contract. In addition, contracts financed in whole or in part by federal funds have additional federal contract provisions included in the contract documents.

After some abuses, federal wage rate laws were written. These include Davis Bacon and related acts. One goal was to prevent contractors from states where people make a lower wage from winning bids by bringing in out-of-state crews. The result is that workers are paid the usual and accustomed rate where the project will be constructed. This gives local contractors a fair chance to compete and ultimately provides local jobs.

By accepting federal dollars for your project and by adding in the required federal aid specifications, you are committed to both monitor and enforce the federal prevailing wage requirements.

How Do I Know What That Rate Is

Look in the contract provisions. There will be two sets of wage rates for most projects. One is the state rate. One is the federal rate. For each job classification, you need to determine which rate is the higher of the two. That is the prevailing rate you must enforce.

But the State Rate and Federal Rate Are Not the Same

Right. You need to know both rates before you can determine which one is higher for each job description. You may want to prepare a worksheet showing what each job description you have already looked up should be paying. That way you do not have to look it up fresh every single time you check a payroll for compliance.

What If the Union or Prevailing Wages Change During My Project

The commitment your contractor makes is to pay either the state rate or the federal rate—whichever is higher—10 days before the project goes to ad. This wage will often be the union wage for a particular kind of work in your area. If the union wage changes during your contract, you are not responsible to enforce the change.

What Am I Trying to Accomplish

You want to be sure that each individual working on the project is being paid at least the minimum prevailing wage. To that end, you will check certified payrolls and conduct wage rate interviews.

You need to confirm that the contractor has met their requirements too.
In order to comply with these requirements, the prime contractor, each subcontractor, and each agent or lower-tier subcontractor must:

- Submit weekly certified payrolls within 10 days.
- Allow interview of employees during working hours.

**Certified Payrolls – Checking Wage Rates**

The wage rate side lists individual workers and shows their wages. Your commitment is to check all entries on the first payroll and 10 percent of entries thereafter*. What that normally means is that you spot check (once every payroll or two depending on the size of the work crews) after you have thoroughly checked the first payroll from the prime and each sub. If errors are found during any spot check of the payrolls, a more complete check should occur until you are confident that the errors have been corrected. See *Construction Manual* Section 1-2.6C(2).

Payrolls are checked to ensure that the required information has been included and is correct. A complete payroll includes the following:

- Contract name or number.
- Sequential payroll number.
- Payroll period (i.e., week ending February 2, 2007).
- Name of the employer.
- Name of employee.
- Each employee’s unique identification number (i.e., last four of the employee’s Social Security number). The payroll shall not include the full Social Security number or home address of the employee. However, the contractor or subcontractor shall maintain this information on file and provide this information upon request by the agency.
- Correct minimum wage rate for the worker’s classification.

*If a project runs more than one construction season, consider taking a look again in the spring of subsequent years or anytime the person signing the payrolls changes.

**What Are the Most Common Errors**

- Paid the wrong rate in the right classification.
- Paid in the wrong classification.
- Reported the wrong number of hours on this project.
- Paid the same as last week (which was not federal aid).
- Paid general labor at the landscape labor rate.
What Are the Most Common Frauds

- Underpaying non-English speaking workers.
- Fraudulent certification.
- Paying the right amount but getting a kick back.

Protecting Personal Information

Certified payrolls include a wealth of personal information including home address and social security numbers. In the wrong hands, this is enough personal information to cause serious problems. Provide for the security of payrolls in job shacks and your offices. Protect this personal information as if it were your own.

If your agency releases payrolls as part of a public disclosure request, cover the home address and social security number with a post-it before copying or ask your attorney for advice.

Checking for Certification and Signature

The other side of a certified payroll is where the contractor certifies that the wage paid is correct.

The certification must say four things:

1. That the payroll copy furnished is a true copy.
2. That the payroll is correct and complete.
3. That the wage rates contained therein are not less than those determined by the Secretary of Labor, and that the classification conforms with the work being performed.
4. That the appropriate Fringe Benefits due each employee have been paid in full.

Look for an X in a or b in item 4.

This must be signed by a company representative. This should be signed by a permanent employee that actually understands what they are signing.

What Happens When They Do Not Send It to Me

Standard Specifications Section 1-07.9(5) says that “any or all payments may be withheld until compliance is achieved.” You have a contractual basis to withhold payment for any prime and/or sub that is not submitting payrolls.

You must write a letter to the contractor giving ten days notice that payment for items affected by missing payrolls will be withheld if certified payroll is not received. Outline the consequences in your letter.
Which Posters Are Required

<table>
<thead>
<tr>
<th>Poster Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>FHWA 1495</td>
<td>Wage Rate Information</td>
</tr>
<tr>
<td>FHWA 1022</td>
<td>Fraud Notice Poster</td>
</tr>
<tr>
<td>EEOC P/E-1</td>
<td>Equal Employment Opportunity is the Law</td>
</tr>
<tr>
<td>WISHA F416-081-909</td>
<td>Know Your Rights Under the Recovery Act (ARRA projects only)</td>
</tr>
<tr>
<td>F242-191-909</td>
<td>Notice to Employees (L&amp;I)</td>
</tr>
<tr>
<td>F700-074-909</td>
<td>Your Rights as a Worker in Washington State</td>
</tr>
<tr>
<td>EMS 9874</td>
<td>Notice to Employees (Employment Security)</td>
</tr>
<tr>
<td>WH 1088</td>
<td>Employee Rights Under the Fair Labor Standards Act</td>
</tr>
<tr>
<td>WH 1462</td>
<td>Employee Polygraph Protection Act</td>
</tr>
<tr>
<td>WH 1420</td>
<td>Employee Rights and Responsibilities Under the Family and Medical Leave Act of 1993</td>
</tr>
</tbody>
</table>

Copies of posters can be found at the WSDOT Construction Office website. Remember to post the state and federal wage rates too.

Where Are Posters and Wage Rates Displayed

For projects with an office or storage trailer:
- A board outside the job shack (protect from weather).
- A bulletin board inside the job shack.

Small projects with no office or trailer:
- On the outside of the outhouse (protect from weather).
- Anywhere that workers have full access to the information.

No office or outhouse?
- Discuss at contractors tool box meeting and document by getting worker signatures and submit a copy to the agency.

What Is a Wage Rate Interview

The purpose of employee interviews is to establish, with reasonable certainty, that the correct minimum prevailing wages are being paid. This means that the classifications are correct and that the workers in those classifications got the right pay.

Wage rate interviews accomplish four things:

1. May protect your agency from costly prevailing wage issues. Your agency is ultimately responsible for being sure that workers are paid the prevailing wage. Even after the project is over, wage rate issues may surface. If the contractor does not correct the problems, then your agency will pay the workers.
2. Provide a mechanism to spot errors.

3. Provide a way to spot wage fraud.

4. Educate workers about minimum prevailing wage requirements. Tell them where to find the posters and wage rate information. Most wage fraud is reported to L&I after the project is complete.

**Who Do I Interview**

- Employees of the prime contractor (required).
- Employees of major (30 percent or more of the contract dollars) subcontractors (required).
- Anybody that says they are not paid correctly (required).
- Employees from any other subcontractor that is on the project more than two or three weeks (recommended).
- Employees of landscaping subcontractors or any other crew that includes non-English speaking members (recommended).

**What If They Won’t Tell Me**

Your job is to ask the question. Just write down what they tell you, even if the answer is “don’t know” or a general amount (about $25 bucks). There are many reasons that they won’t tell you.

- They do not understand why you are asking.
- They are afraid that answering will cause trouble for them or cost them their job.
- They genuinely do not remember.
- They move around from job to job and do not know what they will be paid on this project.
- They never talk to strangers about money.

**Four Steps – To Complete One Form**

- **Step 1** – Ask the employee what they are paid.
- **Step 2** – Enter the prevailing wage.
- **Step 3** – Enter the amount from the certified payroll.
- **Step 4** – Resolve any differences and note how you did.

**How Do I Resolve Problems**

All discrepancies found during an employee interview must be resolved. This means you need to ask the contractor about the difference and follow through until you understand what happened. If one phone call does not get things resolved, start writing letters. Document the steps you take, what you find, and how the problem was ultimately resolved.
What If It Never Gets Resolved

It is expected that a satisfactory correction or explanation will be made within a reasonable amount of time. To ensure this happens, you may request a cancelled check indicating that any wages owed to a worker have been received. If this does not happen, tell the contractor that the matter might be referred to L&I for further action. Call your Region Local Programs Engineer for assistance.

Change Orders (Standard Specifications Section (1-04.4))

You have an executed contract with the prime contractor for your project. As plan errors, changes, or problems are discovered, it will become necessary to modify that contract so that it continues to define and detail the work you expect your contractor to perform. The method used is the change order which, once properly executed, becomes a part of the contract documents. The change order must stand on its own, clearly and unambiguously defining a change to the original contract. It needs to be signed by the same level of authority that signed the original contract unless the authority to sign change orders has been designated (in writing) to others.

Why Should I Bother to Write a Change Order

- This is your legal way to pay the contractor for work not covered in the plans and specs.
- It settles issues as they come up so you may avoid some end-of-project claim situations.
- Any quantities of bid items included in a change order are not counted in the +/- 25 percent calculation.
- To satisfy auditors and protect the federal funding.

When Do I Write a Change Order

- Field adjustment. NO
- Design error. YES
- New situation not covered by plans and specs. YES
- Changing the materials requirements. YES (Unless the specs say “or approved equal.”)
- Changing the method, spec or other key component of the work. YES
- When deleting work. YES (Remember to consider a time credit too.)
- Equitable Adjustment – When prices are renegotiated because final quantities for an item below 75 percent or above 125 percent. If requested by contractor or desired by the agency.
- When you accept out of spec material.
What Do I Need to Say

Keep it simple in the body of the change order. The text is basically like a special provision. Use existing bid items when the work is the same. Make new items when you need them. Be sure you include the following:

- Work description.
- Materials to be used to a specification you want it to meet (“supply Crushed Surfacing Base Coarse meeting the requirements of Section 9-03.9(3), for example).
- Include a plan sheet if you need to show detail. You may need to have it stamped.
- Include information on both measurement and payment.
- Talk about contract time on every change order, whether or not you will give them additional working days.
- If the change order settles a claim, a waiver must also be included.

What Units Should I Use

Generally, these guidelines will work but your circumstances may make another choice better:

- Use a bid item if the work matches exactly.
- Use lump sum if you and the contractor agree on price and time before the work is done.
- Use lump sum if the work is already complete.
- Use force account if you documented the work on a force account sheet.
- Use force account if you and the contractor cannot agree on price and time.
- Use unit prices for a new item if you anticipate needing the pay item again.

How Much Am I Supposed to Pay

For owner-generated changes, the goal is to leave the contractor in the same position for profit, loss, and time as before the change. That means be fair but do not be taken advantage of. The truth is that work added by change order often costs more than work that is competitively bid for many reasons including:

- May not come at the most convenient time for the contractor’s operation.
- May change the productivity and efficiency of the changed work.
- May change the schedule, productivity, or efficiency of other work.
- May require extra traffic control, planning, or supervision.
- May require rental or mobilization or equipment and materials.
Make an Independent Engineer’s Estimate for Dollars and Time

Independent is the key word here. Do not just OK the contractor’s proposal. Ideally, you will already have worked up a written estimate before the contractor’s price arrives. Then you can negotiate to get to fair.

Your estimate should explain in detail why you think the price is appropriate. This is usually an independent cost breakdown of labor, equipment, and materials with appropriate markups. For some work, it can also be a comparison to similar work on this or other recent projects. At the end, it needs to be clear to everybody why you thought it was okay to pay this price and/or give this time. It should include these components:

1. Description of the change.
2. Explanation of why the change order is necessary.
3. Evolution of the change (did you consider other alternatives, consult others).
4. How do you know the price is appropriate.
5. Why did you add, delete, or not change time.
6. Summary. How does the project benefit from this change.

Document a “Verbal Approval” in the File

If you are doing the work before the change order is executed, you need to document that you told the contractor to go ahead. Include details you and the contractor agreed to regarding payment, materials, equipment, and time even if your entire price/time are not firm. If the agreement is to document on force account and write a lump sum change order when the work is done, say so. This can be a separate note to the file, a copy of an email or a note in the IDR. Consider placing verbal approval, date, and approved by on your change order.

Prompt Pay Law

State law requires that you pay the contractor promptly—within 30 days—which for us means the next estimate payment. If there are reasons you will not be paying them then, you need to let them know by letter or email at least eight days before they won’t be getting paid. This is to give them time to make the situation better if they are part of the hold up.

Can’t Agree On All Change Order Issues

Sometimes you and the contractor cannot reach agreement on part or all of a change order issue. When that happens, you need to pay something as follows:

- If you are in agreement on part of the issues, include the dollars and time you agree on and state clearly what the change order does not resolve. Keep negotiating.
- Process a change order unilaterally (without the contractor’s signature) and include the dollars and time you think are appropriate. Note that this is a unilateral payment, not an agreed amount. Keep negotiating.
Do Not Pay for Any New Items Until the Change Order is Executed

You do not have any legal authority to pay until you have an executed change order.

What is in a Complete Change Order File?

1. A copy of the executed change order.
2. A memo to file or IDR that explains why you need a change order.
3. Any correspondence or emails from the contractor.
4. A documented verbal approval.
5. An independent cost and time analysis.

This is intended to help with the more common situations. It does not apply to CRIPS, schedule recovery, termination, scope change, changes in COA DBE work, unilateral, complex claims, or other unusual change orders. For these more complex situations, see the Construction Manual or call your Region Local Programs Engineer for help.

Minor Changes (Standard Specifications Section 1-04.4(1))

Credits, debits, non-structural, payments or credits for $15,000 or less, changes in working days of 10 or less, and no cost changes may all be processed under the minor change method. You are still required to have supporting documentation including an independent estimate and working day calculation in your files as backup. Use the minor changes item over and over in your project whenever all of the following are true:

- Your project includes the bid item “Minor Changes.”
- The amount of the individual change is $15,000 or less.
- Payment can be made as a lump sum item.
- You use the Change Order – Minor Change (WSDOT Form 421-005A) (Figure 5-25).
- The change is signed by the contractor or a verbal is documented.
- A copy is provided to the contractor.

Note: Must be signed by the same person as any other change order. See Construction Manual Section 1-2.4(C7). You still need to document verbal approval and independent estimate.
Project Payment/Source Documents

Prompt Pay Law

State law requires that you pay the contractor promptly—within 30 days—which for us means the next estimate payment. If there are reasons you will not be paying them then, you need to let them know by letter or email at least eight days before they won’t be getting paid. This is to give them time to make the situation better if they are part of the hold up.

Source Documents

In some way, you need to create documents in the field that will ultimately result in payment. Measurements and calculations of contract quantities need to be complete, accurate, and detailed enough to sustain audit. Common types of documentation:

- Item quantity tickets
- Field note records
- Field note records for drainage
- Force account
- Lump sum

Whichever type you use, the message is the same – PAY THIS AMOUNT BECAUSE … I measured it … I counted it … I calculated it … I looked at the lump sum breakdown …

Tickets

Either on the delivery ticket itself or a cover sheet for today’s tickets, you need to show which material (BI #), where it went (station, street, or landmark), and who received it (initials). Usually daily tickets are bundled together and a total is run.

Some agencies also use WSDOT tickets to document anything they can count or measure. The advantage is that you and the contractor agree on the quantity and have identical records.

If the ticket comes from a commercial source, be sure it includes the following:

- Contract number or project name.
- Date.
- Contract unit bid item number or name.
- Initials of person accepting the item on the job site.
- Unit of measure.
- Identification of hauling vehicle.
- Record of the gross, tare, and net weights. In the case of a batch plant with direct reading scales, or if the unit of measure is cubic yard or hour, only the net weight need be recorded.
**Weighing** *(Standard Specifications Section 1-09.2(5))*

Platform scales must be certified accurate at the beginning of use and every six months during the life of the project. This certification must be performed by a scale manufacturer or by Washington State Department of Agriculture *(Construction Manual Section 10-2.2C(1)).*

**Items Measured by Weight**

In accordance with *Standard Specifications* Section 1-09.2(1), commercial scale operators will test the scales at least once daily. Several times each day the operator will also make certain the scale balances and returns to zero when the load is removed. The results of scale testing including determination of scale variance, AM/PM tare weights where needed, and intermittent scale balancing are to be recorded for each day’s production on the Scaleman’s Daily Report (WSDOT Form 422-027) *(see Figure 5-34)*. These reports representing each day’s production are to be submitted to the engineer daily.

When platform scales are used, the scale platform shall be of sufficient length to weigh the entire hauling vehicle or combination of connected vehicles at one time. When needed for gross weight determinations, tare weights for each truck are to be taken at least twice daily and recorded on a tare sheet, scaleperson’s diary, or shown on the Scaleman’s Daily Report. When using a tare beam scale, the tare weight for each individual truck is to be set on the beam at the time of weighing.

Please refer to *Standard Specifications* Section 1-09.2 for more information on Weighing Equipment.

**Field Note Records** *(Construction Manual Section 10-1.2)*

These can be used to document payment amounts for nearly anything. They should be neat, clear, uncrowded, and in sufficient detail to be easily understood. The field note includes the following:

1. **WHAT** (bid item # and name).
2. **WHERE** (station 14+66, Wall 7 backfill, N. end of Oak Street, etc). If you have multiple groups/schedules for this work, show the groups/schedules number or name.
3. **WHEN** (date or range of dates when work was done).
4. **HOW MUCH** (what quantity to pay; show your work if calculated).
5. **WHY** (how do you know this is the right amount). Use the words field measured, field counted, or field calculated.
6. **WHO** (sign as inspector, initial as checker of record, initial as person who transferred data to the ledger).

Never erase or use white out. Instead, draw a line through the error and include the initials of the person making the correction.
Check for discrepancies between field note quantities and plan quantities before you pay the estimate.

**Force Account**

The purpose of force account is to fully reimburse the contractor for costs incurred on specific work. Use for the following:

- Bid items that are shown as force account.
- Changes that you agree you will be paying for by Force Account.

**Force Account Sheets in the Field**

Use these when you and the contractor agree that the work is compensable—either an existing bid item or if you are tracking added work. Give the contractor a copy in the field.

While you have the authority to direct every aspect of force account work, in most cases, it is best that we allow the contractor to propose the method and approach to the work. Our most effective role would be to concur or approve of the contractor’s proposal or to suggest modifications to the plan. Before any work is performed by the contractor on force account basis, the inspectors should review and agree with the contractor on the use of labor (including overtime labor), equipment, and materials since the purpose of force account is to fully reimburse the contractor for costs incurred on the work.

Fill them out on the day the work is done. Do not trust your memory. Be sure you have included enough detail that the office staff can complete them and get them paid.

Change order sheets must be signed by both the inspector and the contractor.

**Labor** — Force account payments are not usually allowed for general supervisory work. However, a foreman, or in some cases a dedicated superintendent devoting full time to the force account work, is eligible for payment on the force account. Ask yourself if they were really present and added value to the force account work.

**Equipment** — Include enough detail about the equipment that is used so the office staff can complete and process the force account sheet in a timely manner. Remember to include extras that were used—like buckets or thumbs.

**Materials** — Include the basic list of materials that you observed were used. Document daily, unless you and the contractor agree that some other arrangement will work. Note this agreement on the force account sheet.

The specifications allow the engineer to require competitive quotations, if this is done before the work is started and sufficient time is available.

**Mobilization** — Mobilization and demobilization are reimbursable expenses for assembling equipment, materials, supplies, and tools.

**Caution:** Documenting disputed work.
**Track Disputed Work** – The contractor may prevail and need to be paid after all. You will need to have accurate records of the work. If you are not sure that you want to pay for it, do not use a force account sheet. Far better to use a blank sheet of paper that you date or use Report of Protested Work (WSDOT Form 422-007) (Figure 5-31). If you do use a force account sheet, write DOCUMENTING DISPUTED WORK– DO NOT PAY or something similar in large letters then initial your note but do not sign the force account sheet. Signing a force account sheet is a commitment to pay. Do not sign it unless you mean it.

**Force Account Sheets in the Office**

**Markups** – Be sure you are applying the right markups (*Standard Specifications* Section 1-09.6).

- Labor – 29%
- Equipment, Materials, Services – 21%

**Contractor Markup for Subcontractor’s Work:**

<table>
<thead>
<tr>
<th>Amount</th>
<th>Markup Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Up to $25,000</td>
<td>12%</td>
</tr>
<tr>
<td>$25,000 up to $100,000</td>
<td>10%</td>
</tr>
<tr>
<td>$100,000 and greater</td>
<td>7%</td>
</tr>
</tbody>
</table>

The amount and markup rates must be calculated separately for each subcontractor on each force account item.

**Paying for Equipment** – There are three methods of acquiring equipment for use on a force account:

- **Owned** means that the contractor controls and operates the equipment. Long-term lease arrangement would be the same as ownership. Owned equipment is priced according to Blue Book. For multiple day work, you pay whichever works out to be less—the daily, weekly, or monthly rate.

- **Rented to Operate** means that the contractor has obtained a piece of equipment through a short-term rental and will operate the equipment with its own employees. Reimburse rented to operate equipment according to the invoice from the rental agency.

- **Rented-Operated** means that the contractor has obtained a service from an individual or a company to provide a piece of equipment with an operator. An operated rental is not paid as equipment, but rather as a service. Reimburse the invoice cost.

**Paying for Materials** – The contractor adds prices to the list and attaches invoices to support the prices. If the contractor does not have an invoice, as in the case of stockpiles or some warehouse stock, then an affidavit will suffice. When you review the affidavit, you can either accept the price or declare it unreasonable and substitute another price you can substantiate as reasonable.

**Paying for Services** – Services billed by invoice can be paid by invoice if that is the typical method. Billing by invoice does not excuse the service provider from the requirements of the prevailing wage laws. However, the force account payment system will not be used to enforce contract wage or other requirements.
The markup for services depends on the nature of the firm’s activities on the project. If the firm is clearly an uninvolved supplier, then the service markup will apply. If the firm is acting as a subcontractor, then the markup will be made under the provisions for subcontractors, with the underlying overhead and profit assumed to be embedded in the invoice.

**Lump Sum Breakdown (Schedule of Payment)** – When you have a lump sum pay item, you need a method to make payment if only a portion of the work is complete. To make this a fair process, the contractor submits a “lump sum breakdown” or “schedule of payment.” This shows what percentage of the labor, equipment, and material costs the contractor will expend for various components of the work. It must include the basis on which any quantities used for progress estimate payments were calculated.

**Example:** Assume that a $10,000 lump sum bid item includes four distinct activities. If you have done 50% of Activity A, 40% of B, 10% of C and 0% of D, how will you decide how much to pay?

What if you know that the contractor has weighted the activities this way – Activity A is 10% of the whole, B is 20%, C is 50%, and D is 20%.

Now you have enough information to calculate a fair payment as follows:

- **Activity A** – 50% complete, 10% of whole bid item
  
  \[
  50\% \times 10\% = 0.5 \times 0.1 = 0.05 \times 10,000 = 500
  \]

- **Activity B** – 40% complete, 20% of whole bid item
  
  \[
  40\% \times 20\% = 0.4 \times 0.2 = 0.08 \times 10,000 = 800
  \]

- **Activity C** – 10% complete, 50% of whole bid item
  
  \[
  10\% \times 50\% = 0.1 \times 0.5 = 0.05 \times 10,000 = 500
  \]

- **Activity D** – 0% complete, 20% of whole bid item
  
  \[
  0\% \times 20\% = 0 \times 0.2 = 0 \times 10,000 = 0
  \]

**Dual Custody of Pay Records** – All pay records should be reviewed and initialed by a 2nd person. When they are entered into a ledger, that entry should also be reviewed and initialed.

**Progress Payment Deferral** (*Construction Manual* Section 1-3.1B(9)) – Documents that can potentially cause delay on all or part of the monthly progress payments to the contractor are:

- Statement of Intent to Pay Prevailing Wages (Prime or Subcontractors)
- Initial Progress Schedule
- Manufacturer’s Certificate of Compliance*
- Others as detailed in your project Special Provisions

*Manufacturer’s Certificate of Compliance is unique in that this is a situation, specified as part of the contract, where the contractor may assume the risk of no certificate in writing and end up never being paid for the related work if they do not produce the certificate. See the *Standard Specifications* Section 1-06.3.
Withholding payments for work the contractor has performed and completed should not be done casually. There must be clear contract language supporting the action.

Before delaying or deferring payment, you should be able to demonstrate:

- Specifically what was not in accordance with the contract.
- The amount withheld is commensurate with the amount of work. Missing paperwork does not mean you can withhold payment for labor, equipment, and materials. If you allowed them to do the work with missing documentation, you must pay them in most cases.
- Notify the contractor in writing in a timely manner (within eight days per prompt pay law).

All deferred items must be properly addressed in the monthly progress estimate. Show the deferred quantity and note “payment deferred” or similar entry. When you pay it next time, note “payment undeferred.”

Traffic Control

**Records of Construction Signing and Accidents** *(Construction Manual Section 1-2.3E)*

**Traffic Control Diary and Log** *(Standard Specifications Section 1-10.2(1)B)*

**Before Work Begins**

1. Your contract plans show a method of handling traffic control through your project. The contractor must either adopt these specific traffic control plan or plans (in writing) and/or submit their own for approval. Most contractors bring this to the precon. You must have this in hand before on-site work begins.

2. The contractor must submit a letter designating after hours contact personnel and a Traffic Control Supervisor.

**During the Project**

Keep detailed records of signing and delineation:

- Be sure that construction signing in place matches the approved traffic control plan. If minor field changes are made, be sure they are documented. Significant, lasting changes should be reflected in a revised traffic control plan submitted by the contractor and approved by your agency.

- Turn on your date time stamp and take lots of pictures. A picture is worth a thousand words if there is an accident. At a minimum, photograph traffic control at the beginning and end of your work day and/or anytime the set up changes. More often is better protection for your agency.

- Be aware of any accident that occurs within the project area even after hours. Document site conditions and the status of signing and other traffic control measures.
• The contractor’s Traffic Control Supervisor must complete a daily traffic control report and submit it to you. WSDOT Forms 421-040A and 421-040B are commonly used for this task. Included in the daily report are such items as:

1. When traffic control devices are installed and removed.
2. Location and condition of signs and traffic control devices and the time of observation.
3. Revisions to the traffic control plan.
4. Lighting utilized at night.
5. Observation of traffic conditions.
6. Any accidents within the project limits.
Example of a ROM from WSDOT

To change the ROM as it is delivered to one that you can use, start by:

1. Deleting all columns you do not need.
2. Add lines between bid items so you have a place to record documentation.
3. Color code requirements and submittals to your liking. Whatever works for your office is acceptable as long as it is current.

<table>
<thead>
<tr>
<th>P&amp;IE No.</th>
<th>Contract</th>
<th>Bid Item</th>
<th>Item</th>
<th>Unit Qty</th>
<th>Description</th>
<th>Source</th>
<th>Acceptance</th>
<th>Std Spec</th>
</tr>
</thead>
<tbody>
<tr>
<td>TA4289</td>
<td>TA4289</td>
<td>008.01</td>
<td>1250</td>
<td>C.Y.</td>
<td>GRAVEL BORROW INCL. HAUL</td>
<td></td>
<td>1 Acceptance Sample(s) Required</td>
<td>8-03.14 (1)</td>
</tr>
<tr>
<td>TA4289</td>
<td>TA4289</td>
<td>009.01</td>
<td>390</td>
<td>TON</td>
<td>CRUSHED SURFACING TOP COURSE</td>
<td></td>
<td>1 Acceptance Sample(s) Required</td>
<td>8-03.03 (2)</td>
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<tr>
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<td>TA4289</td>
<td>010.01</td>
<td>120</td>
<td>TON</td>
<td>CRUSHED SURFACING TOP COURSE (for shoulder ballast)</td>
<td></td>
<td>1 Acceptance Sample(s) Required</td>
<td>8-03.9 (3)</td>
</tr>
<tr>
<td>TA4289</td>
<td>TA4289</td>
<td>011.01</td>
<td>581</td>
<td>TON</td>
<td>HMA CL. 1/2 IN. PG 64-22</td>
<td></td>
<td>1 Sample for every other mix sample or See Current QPL</td>
<td>8-04 &amp; SP 10</td>
</tr>
<tr>
<td>TA4288</td>
<td>TA4289</td>
<td>011.02</td>
<td>34.36</td>
<td>TON</td>
<td>PAVING ASPHALT</td>
<td></td>
<td>1 Acceptance Sample(s) Required</td>
<td>9-02.1 (4)</td>
</tr>
<tr>
<td>TA4289</td>
<td>TA4289</td>
<td>011.03</td>
<td>546.14</td>
<td>TON</td>
<td>CL. 1/2 IN. MIN. AGG.</td>
<td></td>
<td>1 Acceptance Sample(s) Required</td>
<td>9-02.8</td>
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<td>TA4289</td>
<td>011.04</td>
<td></td>
<td></td>
<td>ASPHALT FOR TACK COAT</td>
<td>Supplier’s Certificate of Compliance or See Current QPL</td>
<td>8-04.3 (5A) &amp; (5B)</td>
<td></td>
</tr>
<tr>
<td>TA4288</td>
<td>TA4289</td>
<td>012.01</td>
<td>11</td>
<td>TON</td>
<td>HMA FOR PAVEMENT REPAIR CL. 1/2&quot; PG 64-22</td>
<td></td>
<td>1 Acceptance Sample(s) Required</td>
<td>8-04 &amp; SP 10</td>
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<tr>
<td>TA4289</td>
<td>TA4289</td>
<td>012.02</td>
<td>0.66</td>
<td>TON</td>
<td>PAVING ASPHALT</td>
<td></td>
<td>1 Sample for every other mix sample or See Current QPL</td>
<td>9-02.1 (4)</td>
</tr>
<tr>
<td>TA4289</td>
<td>TA4289</td>
<td>012.03</td>
<td>10.34</td>
<td>TON</td>
<td>CL. 1/2&quot; MIN. AGG.</td>
<td></td>
<td>1 Acceptance Sample(s) Required</td>
<td>9-03.5</td>
</tr>
<tr>
<td>TA4289</td>
<td>TA4289</td>
<td>012.04</td>
<td></td>
<td></td>
<td>ASPHALT FOR TACK COAT</td>
<td>Supplier’s Certificate of Compliance or See Current QPL</td>
<td>8-04.3 (5A) &amp; (5B)</td>
<td></td>
</tr>
<tr>
<td>TA4289</td>
<td>TA4289</td>
<td>013.01</td>
<td>635</td>
<td>S.Y.</td>
<td>SOIL RESIDUAL HERBICIDE</td>
<td>Submit commercial pesticide application record for 8-02-25A</td>
<td>8-02.1 (10)</td>
<td></td>
</tr>
<tr>
<td>TA4289</td>
<td>TA4289</td>
<td>016.01</td>
<td>100</td>
<td>L.F.</td>
<td>TEMPORARY PAVEMENT MARKING</td>
<td>See Current Qualified Products List</td>
<td>8-23.2</td>
<td></td>
</tr>
</tbody>
</table>

HMA Acceptance for Local Agencies (page 1 of 2)

Figure 5-1
### City of Longbranch Example WSDOT ROM - Converted into a spreadsheet

#### Short Lane Reconstruction

**WSDOT Contract Number TA7896**

<table>
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<tr>
<th>Bid Item nbr</th>
<th>Item Qty</th>
<th>unit of meas</th>
<th>Bid Item desc</th>
<th>spec source</th>
<th>Doc Requirement</th>
<th>QPL Std Spec Minor</th>
</tr>
</thead>
<tbody>
<tr>
<td>8.01</td>
<td>1250 C.Y.</td>
<td>GRAVEL BORROW INCL. HAUL</td>
<td>1 Acceptance Sample(s) Required</td>
<td>9-03.14(1)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.01</td>
<td>390 TON</td>
<td>CRUSHED SURFACING TOP COURSE</td>
<td>1 Acceptance Sample(s) Required</td>
<td>9-03.9(3)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12.01</td>
<td>11 TON</td>
<td>HMA FOR PAVEMENT REPAIR CL. 1/2&quot; PG 64-22</td>
<td>1 Acceptance Sample(s) Required</td>
<td>5-04 &amp; SP 70</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12.02</td>
<td>0.66 TON</td>
<td>PAVING ASPHALT</td>
<td>1 Sample for every other mix sample or See Current QPL</td>
<td>Y 9-02.1(4)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12.03</td>
<td>10.3 TON</td>
<td>CL. 1/2&quot; MIN. AGG.</td>
<td>1 Acceptance Sample(s) Required</td>
<td>9-03.8</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13.01</td>
<td>635 S.Y.</td>
<td>SOIL RESIDUAL HERBICIDE</td>
<td>Submit commercial pesticide application record per 8-02.3(2)A</td>
<td>5-02.3(2)C</td>
<td></td>
<td></td>
</tr>
<tr>
<td>18.01</td>
<td>300 L.F.</td>
<td>UNDERDRAIN PIPE</td>
<td>Mfr. Cert. per Std. Spec. 1-06.3 or See Current QPL</td>
<td>Y 9-05</td>
<td></td>
<td></td>
</tr>
<tr>
<td>21.01</td>
<td>1 EACH</td>
<td>CATCH BASIN TYPE 1</td>
<td>WSDOT Inspected Tag/Stamp</td>
<td>7-05</td>
<td></td>
<td></td>
</tr>
<tr>
<td>21.02</td>
<td>1 EACH</td>
<td>FRAME &amp; GRATE</td>
<td>&quot;WSDOT-A&quot; Stamp per 9-4.20 of Const. Manual</td>
<td>7-05</td>
<td></td>
<td></td>
</tr>
<tr>
<td>21.03</td>
<td>1 EACH</td>
<td>PREFABRICATED LADDER OPTION</td>
<td>Mfr. Cert. per Std. Spec. 1-06.3</td>
<td>AASHTO M199</td>
<td></td>
<td></td>
</tr>
<tr>
<td>24.01</td>
<td>1 ACRE</td>
<td>SEEDING AND FERTILIZING</td>
<td>Retain Label Showing Content Analysis for each placement pay period</td>
<td>8-02</td>
<td></td>
<td></td>
</tr>
<tr>
<td>24.02</td>
<td>SEED</td>
<td></td>
<td>Visual Acceptance per 9-4.48 of Const. Manual</td>
<td>9-14.2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>25.02</td>
<td>STRAW</td>
<td></td>
<td></td>
<td>9-14.4(1)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

For each material used on a construction project a certain number of documents should be submitted, reviewed, approved, filed and copies returned to the contractor.

Material documentation files should include the following documents for HMA:

- RAM, QPL or other Material Approval Document – See examples on pages ????? of this handout.
- ASA Approval Report on page ?????.
- An approved Mix Design – Example on pages ????? of this handout.
- Delivery Tickets for the HMA (no example included)
- PG Binder Bills of Lading (these show the binder used is what was approved and also show the amount of)
- Anti-Strip in the binder in cases where it is added at the refinery) – Example on page ????? of this handout
- Test Reports if any testing is done – Examples on pages ????? of this handout.
- Composite Pay Factor worksheets where applicable – Example on page ???
### Record of Material

<table>
<thead>
<tr>
<th>Contract No.</th>
<th>Bid Item</th>
<th>Quantity</th>
<th>Unit</th>
<th>Description</th>
<th>Documentation Req’d</th>
<th>Spec Ref.</th>
</tr>
</thead>
<tbody>
<tr>
<td>TA2312</td>
<td>012.02</td>
<td>1000</td>
<td>TON</td>
<td>GRAVEL BACKFILL FOR DRAIN</td>
<td>1 Acceptance Sample per 100 Tons</td>
<td>9-02.1.2(4)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1300</td>
<td></td>
<td>CONSTRUCTION GEOTEXTILE FOR RAM #1</td>
<td>9-03.3</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>200</td>
<td></td>
<td>CRUSHED SURFACE BASE COURSE</td>
<td>1 Acceptance Sample per 100 Tons</td>
<td>9-03.3.10</td>
</tr>
<tr>
<td></td>
<td></td>
<td>300</td>
<td></td>
<td>ASPHALT CONCRETE PAVEMENT CL. B</td>
<td>9-03.3.10</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>18</td>
<td></td>
<td>PAVERS ASPHALT</td>
<td>9-02.1.2(4)</td>
<td></td>
</tr>
</tbody>
</table>

**Figure 5-2**

ROM as a Tracking Document – Low Tech Version (paper/ink) Working ROM
<table>
<thead>
<tr>
<th>Bid Item</th>
<th>Item</th>
<th>Qty</th>
<th>unit of meas.</th>
<th>Bid Item desc</th>
<th>spec source</th>
<th>Doc Requirement</th>
<th>QPL</th>
<th>Std Spec Minor</th>
</tr>
</thead>
<tbody>
<tr>
<td>8.01</td>
<td>ITEM</td>
<td>1442</td>
<td>C.Y.</td>
<td>GRAVEL BORROW INCL. HAUL</td>
<td>Big Hole Pit ASA BH1234</td>
<td>1 Acceptance Sample(s) Required</td>
<td>Acceptance Sample 4/3/2011</td>
<td>9-03.14(1)</td>
</tr>
<tr>
<td>9.01</td>
<td>ITEM</td>
<td>390</td>
<td>TON</td>
<td>CRUSHED SURFACING TOP COURSE</td>
<td>Big Hole Pit ASA BH1234</td>
<td>1 Acceptance Sample(s) Required</td>
<td>Acceptance Sample 4/3/2011</td>
<td>9-03.9(3)</td>
</tr>
<tr>
<td>12.01</td>
<td>ITEM</td>
<td>12.7</td>
<td>TON</td>
<td>HMA FOR PAVEMENT REPAIR CL 1/2&quot; PG 64-22</td>
<td>Mix Design TA4289</td>
<td>1 Acceptance Sample(s) Required</td>
<td></td>
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</tr>
<tr>
<td>12.02</td>
<td>ITEM</td>
<td>0.66</td>
<td>TON</td>
<td>PAVING ASPHALT</td>
<td>Big Oil and Marketing Co., Anacortes - WA</td>
<td>QPL Code 2535 - Bill Lading 4/5/11</td>
<td>Y</td>
<td>9-02.1(4)</td>
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<tr>
<td>12.03</td>
<td>ITEM</td>
<td>11.1</td>
<td>TON</td>
<td>CL. 1/2&quot; MIN. AGG.</td>
<td>Big Hole Pit ASA BH1234</td>
<td>Small Quantity Acceptance Sample 2/2/2011 from City wide Paving</td>
<td></td>
<td>9-03.8</td>
</tr>
<tr>
<td>13.01</td>
<td>ITEM</td>
<td>652</td>
<td>S.Y.</td>
<td>SOIL RESIDUAL HERBICIDE</td>
<td>RAM 12 Plants R Dead Paving Herbicide</td>
<td>Submit commercial pesticide application record per 8-02.3(2)A</td>
<td>Herbicide Record Appr 5/3/2011</td>
<td>5-02.3(2)C</td>
</tr>
<tr>
<td>18.01</td>
<td>ITEM</td>
<td>300</td>
<td>L.F.</td>
<td>UNDERDRAIN PIPE</td>
<td>Prison Pipe Warden WA</td>
<td>Mfr. Cert.</td>
<td></td>
<td>9-05</td>
</tr>
<tr>
<td>21.01</td>
<td>ITEM</td>
<td>1</td>
<td>EACH</td>
<td>CATCH BASIN TYPE 1</td>
<td>Tacoma Concrete</td>
<td>“WSDOT Inspected” Tag/Stamp IDR &amp; Photo : 3/11/2011</td>
<td></td>
<td>7-05</td>
</tr>
<tr>
<td>21.02</td>
<td>ITEM</td>
<td>1</td>
<td>EACH</td>
<td>FRAME &amp; GRADE</td>
<td>Tacoma Iron</td>
<td>“WSDOT-A” Stamp IDR and Photo 3/11/2011</td>
<td></td>
<td>7-05</td>
</tr>
<tr>
<td>24.01</td>
<td>ITEM</td>
<td>1</td>
<td>ACRE</td>
<td>SEEDING AND FERTILIZING</td>
<td>RAM 1 Comucopia Seeds Co.</td>
<td>Label 3/14/2011 Label 4/2/11</td>
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<tr>
<td>25.02</td>
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</table>

ROM Updated to reflect actual quantities placed and material acceptance actions.
Qualified Product List

<table>
<thead>
<tr>
<th>Contractor:</th>
<th>Lakeside Industries</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sub Contractor:</td>
<td>Apply-A-Line</td>
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<tr>
<td>Bid Item:</td>
<td>62</td>
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</table>

**Contract No:** TA9999  
**Date:** 7/12/2011

**Manufacturer:** Rayolite, Division of Pac-Tec, Inc - Houston, TX

**Product Name:** Model AA  
**Standard Spec:** 9-21.2, Pavement Marking - RPM - Type 2 (Standard Coating)

**Product Description:** RPM Type 2: standard coating, 4 inch by 4 inch by 0.7 inch

**Acceptance Code:** 3101  
**Code Description:** Visually verify the product delivered to the job site is the product that was originally submitted by the Contractor and approved from the QPL. Note ‘Restrictions’ when present.

**Note 3:** Installation of this type of Raised Pavement Marker is not allowed on multi-lane divided highways.

**Last Updated:** Sep 13, 2010

**To be completed by the field inspector:**

<table>
<thead>
<tr>
<th>Quantity:</th>
<th>Verified By:</th>
<th>Date:</th>
</tr>
</thead>
</table>

### Request for Approval of Material

**Contract**
TA9999

**FA Number**
SPTE-0099(001)

**SR**

**Date**
5/26/2010

<table>
<thead>
<tr>
<th>Bid Item No.</th>
<th>Material or Product/Type</th>
<th>Name and Location of Fabricator, Manufacturer or P.O. Number</th>
<th>Specification Reference</th>
<th>PE/QPL Code</th>
<th>Hqgr./QPL Code</th>
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<tr>
<td>57</td>
<td>Electrical Service</td>
<td>Skyline Electric</td>
<td>9-29.24</td>
<td>3,4</td>
<td>5,6</td>
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<tr>
<td>57</td>
<td>Luminarice Poles</td>
<td>Valmont Industries</td>
<td>9-29.6</td>
<td>2,6</td>
<td>2028</td>
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<td>57</td>
<td>Steel Rebar</td>
<td>Far West Steel</td>
<td>9-07.2</td>
<td>2028</td>
<td>2028</td>
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<td></td>
<td></td>
<td>Birmingham Steel</td>
<td>9-07.2</td>
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<td></td>
</tr>
<tr>
<td>57</td>
<td>Anchor Bolts</td>
<td>Portland Bolt</td>
<td>9-29.6(5)</td>
<td>5,6</td>
<td>3001</td>
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<tr>
<td>57</td>
<td>Luminaries</td>
<td>G.E. Company</td>
<td>9-29.10</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Project Engineer**

[Signature]

**Date**
6/1/10

**State Materials Engineer**

[Signature]

**Date**

---

**Acceptance Action Codes for use by Project Engineer and State Materials Laboratory**

1. **Acceptance Criteria:** Acceptance based upon 'Satisfactory' Test Report for samples of materials to be incorporated into project.
2. **Acceptance Criteria:** Mfg. Cert. of Compliance for 'Acceptance' prior to use of material.
3. **Acceptance Criteria:** Catalog Cuts for 'Acceptance' prior to use of material.
4. **Acceptance Criteria:** Catalog Cut Approved [Yes][No]
5. **Acceptance Criteria:** Submit Shop Drawings for 'Approval' prior to fabrication of material.
6. **Acceptance Criteria:** Only 'Approved for Shipment', 'WSDOT Inspected' or 'Fabrication Approved Decal' material shall be used.
7. **Acceptance Criteria:** Submit Certificate of Materials Origin to Project Engineer Office.
8. **Source Approved:** Request Transmitted to State Materials Laboratory for Approval Action.
9. **Approval Withheld:** Submit samples for preliminary evaluation.
10. **Approval Withheld:**
11. **Miscellaneous Acceptance Criteria:**

**Remarks:**

- 3001 - Material Approved, Inspector must document field acceptance.

---

**State Materials Engineer Distribution**

- [ ] General File
- [ ] Signing Inspection
- [ ] Other

**Project Engineer Distribution**

- [ ] Contractor
- [ ] Region Operations Engineer
- [ ] Fabrication Inspection

**Other**

---

**Figure 5-5**

---

**DOT Form 350-071 EF**
Revised 12/2008
### Aggregate Source Approval Report

#### WSDOT MATERIALS LAB

**10/10/2011**

---

**Owner:** Pacific Rock Products dba Comex  
**Aggregate Source:** PS-G-

**Lessees:**  
**Known as:** English Pit  
**Located in:** W1/2NW1/4, SE1/4 SE1/4, Section 30; SW1/4 Section 31 Section 30,11, T2N  
**County:** Clark  
**3E**

**Remarks:**  
**Deg Factor:** 69, 1 Year ASR completed 7/8/2010. 1 Year ASR: 0.04. No mitigation required. 1 year ASR Expires 7/8/2015.

**Pit Run Materials:**  
Prior to incorporating any of the following into a job, Gradation and Sand Equivalent tests shall be performed to determine if the material does in fact meet specification for the intended use:
- Backfill for Rock Wall  
- Bedding Material for Thermoplastic Pipes  
- Gravel Backfill for Drains and Drywells  
- Gravel Backfill for Walls  
- Select or Common Borrow  
- Bedding for Sand Drains  
- Blending Sand  
- Gravel Backfill for Foundation Class B  
- Gravel Borrow  
- Foundation Material for Classes A, B or C  
- Gravel Backfill for Pipe Zone Bedding  
- Sand Drainage Blanket

No Preliminary Tests are required to be performed by the State Materials Lab.

**Gravel Base:**  
- **Test Date:** 04/04/2011  
- **R Value:** 69  
- **Swell Pressure:** 0

Contact the Regional Materials Office to request PRELIMINARY SAMPLES be acquired. Evaluation and approval of this site as a source of GRAVEL BASE is required prior to use.

**Mineral Agg. and Surfacing:**  
- **Absorption:** 2.02  
- **Apparent Sp. G.:** 2.816  
- **Bulk Sp. G. (SSD):** 2.716  
- **Exp. Date:** 04/04/2016

- **Deg:** 60  
- **LA:** 16

Currently approved as a source of aggregate for:
- **ATB**  
- **BST Crushed Screenings**  
- **Crushed Surfacing Top Course**  
- **HMA Wearing Course**

Acceptance tests need to be performed as necessary.

**Portland Cement Concrete Aggregates:**  
- **Test Date:** 05/06/2011  
- **GGA Absorption:** 2.42  
- **GGA Sp. G.:** 2.616  
- **Exp. Date:** 05/06/2016

- **FCA Absorption:** 3.18  
- **FCA Sp. G.:** 1  
- **Exp. Date:**

Currently approved for:
- **Coarse Concrete Aggregates**
- **Fine Concrete Aggregates**

ASR MITIGATION MEASURES ARE REQUIRED PER WSDOT STD. SPEC. 9-03.1(1), WHEN USING AGGREGATE FROM THIS SOURCE FOR PORTLAND CEMENT CONCRETE.

Acceptance tests need to be performed as necessary.

**Riprap and Quarry Spalls:**  
- **Test Date:** 04/04/2011  
- **Exp. Date:**

---


---

**Figure 5-6**
## Transmittal of Manufacturer’s Certificate of Compliance

<table>
<thead>
<tr>
<th>Date</th>
<th>Contract No.</th>
<th>SR No.</th>
</tr>
</thead>
<tbody>
<tr>
<td>12-1-04</td>
<td>4324</td>
<td>5</td>
</tr>
</tbody>
</table>

From (Project Engineer) DEPARTMENT OF TRANSPORTATION
Mike L. Niel, P.E.
18102 N.E. 10th Ave.
Ridgefield, WA 98642

To (Contractor) Houmat Constr. Inc.

The attached Manufacturer’s Certificate of Compliance for a quantity of _675.16_ for Bid Item # _72_ Material **Super-structure Steel Rehab** has been checked for conformance to Section 1-06.3 of the Standard Specifications per the checklist shown below.

1. Is the certification being provided PRIOR to the material being installed?
2. If the answer to number 1 above is "NO," attached is a copy of the contractor’s approved request for permission to install prior to providing a Mfg. Cert. for acceptance.
3. Is a Mfg. Cert. proper documentation for this item of material? See Note 2.
4. Is this manufacturer an approved source for this bid item?
5. Does the Mfg. Cert. identify the name of the mfg. and/or fabricator?
6. Does the Mfg. Cert. identify the type or size of material being certified?
7a. Does the Mfg. Cert. identify the quantity of material being certified by type, size, lot, or heat number? See Note 3.

7b. Is a Bill of Lading or invoice attached to verify the quantity? See Note 3.
8. Does the Mfg. Cert. identify the applicable specification (i.e., AASHTO, ASTM, AWWA) that the material is to meet? See Note 4.
9. Does the applicable specification (i.e., AASHTO, ASTM, AWWA) shown on the Mfg. Cert. conform to the contract requirements? See Note 6.
10. Is the Mfg. Cert. signed by a corporate official?
11. Where more than a single delivery is made, are the lot numbers identified?
12. Is a supporting mill test attached showing the physical and chemical test values? See Note 5.

**Remarks:**

- This form is not required for concrete delivery tickets.
- Check the Record of Materials, Special Provisions, or the completed Request for Approval of Material Item.
- No required for concrete admixtures, cement, liquid asphalt, plastic pavement markings, traffic paint, Rehab cut sheets may be used in lieu of a bill of lading or invoice.
- Check Special Provisions for specifications or requirements for materials such as guide posts, plastic pavement markings, traffic paint, geotextiles, and others.

☑ Accepted as proper documentation per Section 1-06.3 of the Standard Specifications.
☐ Manufacturer Certificate of Compliance submitted to Headquarter’s Materials Laboratory for “APPROVAL ACTION.”
☐ Returned to contractor for correction of “NO” answers recorded in items.

**Distribution:** HQ Lab – Original District Construction

**Sign**

[Signature]

[Date] 12-1-04

---

**Figure 5-7**
Part 5  Construction Activities

Fabricators Certificate of Compliance

Figure 5-8

Graham Steel Corporation, P.O. Box 658, Kirkland, Washington 98033, (206) 823-5656, Fax (206) 823-1590,
Contractors Lic. #223-01-GR-AH-AS-C1155

Fabricators Certificate of Compliance

January 2012

WSDOT Construction Training Guide for Local Agencies  M 3075.01  Page 5-45
**CERTIFIED MILL TEST REPORT**

**BIRMINGHAM STEEL CORP.**
SEATTLE, WA STEEL DIVISION
2424 SW ANDOVER
SEATTLE, WA 98106-1100
(206) 933-2222

**DATE:** 10/27/94
**B/L NO.:** 70-434010
**LOAD NO.:** 7000014890

---

**HEAT NO.** | **DESCRIPTION** | **PHYSICAL TESTS** | **CHEMICAL TESTS**
--- | --- | --- | ---
709511354 | SALMON BAY STEEL DIVISION #11 Rebar 60' (Gr60) ASTM A 615-92B GR 60 | YIELD: 72,430 TENSILE: 104,870 ELONG: 14.9% | C: .11
Mn: .31
Si: .23
P: .063
S: .025
Cr: .31
Cu: .025
Fe: .55%

709511395 | SALMON BAY STEEL DIVISION #11 Rebar 60' (Gr60) ASTM A 615-92B GR 60 | YIELD: 67,460 TENSILE: 103,080 ELONG: 11.5% | C: .38
Mn: .11
Si: .043
P: .073
S: .025
Cr: .12
Cu: .021
Fe: .55%

---

*SEE REVERSE FOR PLANT OF ORIGIN*

**HEREBY CERTIFY THAT THE ABOVE FIGURES ARE CORRECT AS CONTAINED IN THE RECORDS OF THE CORPORATION ALL MANUFACTURING PROCESSES OF THE STEEL MATERIALS IN THIS PRODUCT, INCLUDING HOT ROLLING, HAVE OCCURRED WITHIN THE UNITED STATES IN COMPLIANCE WITH THE BUYER'S SPECIFICATIONS.*

G. GIRALDO

QUALITY ASSURANCE

---

*Page 5-10*
# Ignition Furnace Worksheet

<table>
<thead>
<tr>
<th>Work Order No.</th>
<th>Class Mix</th>
<th>Sample No.</th>
<th>Plant Location</th>
<th>Agg. Source</th>
<th>Date Sampled</th>
</tr>
</thead>
<tbody>
<tr>
<td>TA3399</td>
<td>1/2&quot;</td>
<td>1</td>
<td>North of Here</td>
<td>D-336</td>
<td>6/28/2006</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Time Sampled</th>
<th>Truck Number</th>
<th>Mix ID Number</th>
<th>% AC JMF</th>
<th>% AC Ordered</th>
<th>% AC Calc From Production</th>
</tr>
</thead>
<tbody>
<tr>
<td>10:15 PM</td>
<td>375</td>
<td>G0113399</td>
<td>5.2</td>
<td>5.2</td>
<td></td>
</tr>
</tbody>
</table>

## Moisture Content (WAQTC TM-6)

<table>
<thead>
<tr>
<th>Time</th>
<th>Initial</th>
<th>After 90 Min.</th>
<th>Final</th>
<th>(3) Mass Moisture (1) - (2)</th>
<th>0.2</th>
</tr>
</thead>
<tbody>
<tr>
<td>10:20</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12:10</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1:15</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| Mass       | 504.23  | 504.15        | 504.01 |                             |     |
| Tare       | 223     | 223           | 223    |                             |     |

| Sample Mass | (1) 281.23 | (2) 281.15 | (2) 281.01 | (4) Percent Moisture [(3) / (1)] X 100 | 0.1 |

## Ignition Furnace Data (AASHTO T-308)

<table>
<thead>
<tr>
<th>(5) Mass of Empty Basket(s)</th>
<th>1200.0</th>
<th>(10) Chamber Set Point (°C)</th>
<th>1758.0</th>
</tr>
</thead>
<tbody>
<tr>
<td>(6) Mass of Basket(s) and Sample</td>
<td>1750.0</td>
<td>(11) Calibrated Asphalt Content (Printed Ticket)</td>
<td>5.22</td>
</tr>
<tr>
<td>(7) Mass of Sample [Enter in Furnace Controller] (6) - (5)</td>
<td>550.0</td>
<td>(12) Corrected Asphalt Content (11) - (4)</td>
<td>5.1</td>
</tr>
<tr>
<td>(8) Calibration Factor</td>
<td>0.16</td>
<td>(13) Mass of Residual Aggregate (use to calculate gradation)</td>
<td>521.9</td>
</tr>
</tbody>
</table>

| (9) Furnace Mass Reading | 521.9 | (14) Mass of dry aggregate after wash | 520.7 |

## Aggregate Gradation (AASHTO T-30)

<table>
<thead>
<tr>
<th>Sieve Size (in.)</th>
<th>* Record All Sieves</th>
<th>Accumulative</th>
<th>Percent Retained</th>
<th>Percent Passing</th>
<th>JMF</th>
<th>Tolerance</th>
<th>Specifications</th>
</tr>
</thead>
<tbody>
<tr>
<td>1/2&quot;</td>
<td></td>
<td>0.0</td>
<td>100</td>
<td>100</td>
<td></td>
<td>90-100</td>
<td></td>
</tr>
<tr>
<td>3/8&quot;</td>
<td>84.0</td>
<td>16</td>
<td>84</td>
<td>84</td>
<td></td>
<td>90 Max</td>
<td></td>
</tr>
<tr>
<td># 4</td>
<td>257.0</td>
<td>49</td>
<td>51</td>
<td>52</td>
<td></td>
<td>28-58</td>
<td></td>
</tr>
<tr>
<td># 8</td>
<td>350.0</td>
<td>67</td>
<td>33</td>
<td>34</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td># 16</td>
<td>410.0</td>
<td>79</td>
<td>21</td>
<td>25</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td># 30</td>
<td>451.3</td>
<td>86</td>
<td>14</td>
<td>18</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td># 50</td>
<td>468.0</td>
<td>90</td>
<td>10</td>
<td>14</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td># 100</td>
<td>470.0</td>
<td>90</td>
<td>10</td>
<td>9</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td># 200</td>
<td>498.7</td>
<td>95.6</td>
<td>4.4</td>
<td>6.2</td>
<td></td>
<td>2.0-7.0</td>
<td></td>
</tr>
</tbody>
</table>

Pan ** Percent Retained = [Mass Retained / (13)] X 100
Percent Passing = 100 - Percent Retained
** Must be within 0.2% of the mass of dry aggregate after wash (14).

Signature of Contractor’s Representative Date
Inspector Date

Distribution: State Materials Lab, Region Materials Lab, Contractor

---

**Figure 5-11**
## Hot Mix Asphalt Compaction Report (Station)

<table>
<thead>
<tr>
<th>Test Number</th>
<th>Random Length</th>
<th>Sublot Length</th>
<th>+ Sublot (L)</th>
<th>Y Value Table 2 (716)</th>
<th>Offset (Y) x (W)</th>
<th>Measured Depth</th>
<th>Core Density</th>
<th>Gauge Reading</th>
<th>Corrected Gauge</th>
<th>Percent of Rice</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Zero</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>(L)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>(L) x 2</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>(L) x 3</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>(L) x 4</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Remarks**

Gauge Operator: [Name]
Date: [Date]

Street Inspector: [Name]
Date: [Date]

Contractor: [Name]
Date: [Date]

**Roller Codes:**
- SDV - Single Drum Vibrator
- DDV - Double Drum Vibrator
- P - Pneumatic
- TS - Tandem Steel

**DOT Form 350-092 EF**
Revised 01/09

**Distribution:**
- Original - Project Engineer
- Copies To: Contractor, Region Materials

**Supersedes Previous Editions**

---

**Part 5 Construction Activities**

**M 3075.01 Page 5-49 January 2012**
HMA Acceptance For Local Agencies

Bill of Lading

Figure 5-13

Manufacturer’s Certification

Material Type

Anti-Strip additive may be documented here
"Sample Sheet"

**WEEKLY STATEMENT OF WORKING DAYS**

<table>
<thead>
<tr>
<th>CONTRACTOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>ADDRESS (Street, City, State, ZIP Code)</td>
</tr>
<tr>
<td>CONTRACT NO.</td>
</tr>
<tr>
<td>-------------</td>
</tr>
</tbody>
</table>

The following statement shows the number of working days charged to your contract for the week ending:

<table>
<thead>
<tr>
<th>DATE</th>
<th>DAY</th>
<th>WEATHER CONDITION</th>
<th>WORKABLE DAYS</th>
<th>UNWORKABLE DAYS</th>
<th>REASON FOR UNWORKABLE DAYS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Days this week

Days previously reported

Total days to date

**CURRENT STATUS**

<table>
<thead>
<tr>
<th>WORKING DAYS SPECIFIED IN CONTRACT</th>
</tr>
</thead>
<tbody>
<tr>
<td>APPROVED EXTENSION OF TIME</td>
</tr>
<tr>
<td>TOTAL AUTHORIZED TIME OF CONTRACT</td>
</tr>
<tr>
<td>LESS WORKABLE DAYS CHARGED</td>
</tr>
<tr>
<td>WORKING DAYS REMAINING</td>
</tr>
</tbody>
</table>

**SUMMARY OF WEEK’S ACTIVITIES**

**PROJECT ENGINEER**

→ **NOTE:** The contractor will be allowed 10 days from date of this report in which to protest in writing the correctness of this statement, otherwise it shall be deemed to have been accepted as correct.
### Inspector's Daily Report

**Title:** Inspector's Daily Report

**Location:** Visitor Center

**Date:** 9/12/2011

#### Work Activity Summary

Description and Location:
- Clearing & Grubbing, Removing ACP on main line, Temporary RPM and edge stripe, Roofing on heritage bldg.

#### Item, Description, and Location of Work

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Contract Item Description</th>
<th>Location</th>
</tr>
</thead>
<tbody>
<tr>
<td>130</td>
<td>Heritage Building</td>
<td>Visitor Center</td>
</tr>
<tr>
<td>2</td>
<td>Clearing &amp; Grubbing</td>
<td>34+00 to 39+50</td>
</tr>
<tr>
<td>3</td>
<td>ACP Removal</td>
<td>33+00 to 34+00</td>
</tr>
</tbody>
</table>

#### Contractor's Equipment

<table>
<thead>
<tr>
<th>Equipment - ID No. and Description</th>
<th>Opr</th>
<th>Stdby</th>
<th>Down</th>
<th>Idle</th>
</tr>
</thead>
<tbody>
<tr>
<td>Excavator - Cat 350</td>
<td>8</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Excavator - Hitachi 400</td>
<td>6</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dozer - Cat D-7</td>
<td>2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Kenworth Dump Truck - 10 yard</td>
<td>8</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Chevy P.U.</td>
<td>2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Paint Truck</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Contractor's Workforce

<table>
<thead>
<tr>
<th>Laborers</th>
<th>Carpenters</th>
<th>Operators</th>
<th>Number / Teamsters</th>
<th>Total Hours</th>
<th>Ironworkers</th>
<th>Masons</th>
<th>Flaggers</th>
<th>Electricians</th>
<th>Number</th>
<th>Male</th>
<th>Female</th>
<th>Appr</th>
<th>Trme</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>1 / 8</td>
<td>3 / 24</td>
<td>1 / 8</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3</td>
<td>1</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>B</td>
<td>3 / 18</td>
<td>/</td>
<td>/</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3</td>
<td>No</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>C</td>
<td>/</td>
<td>/</td>
<td>/</td>
<td></td>
<td></td>
<td></td>
<td>3 / 24</td>
<td></td>
<td></td>
<td>3</td>
<td>No</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>D</td>
<td>2 / 2</td>
<td>1 / 2</td>
<td>/</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2</td>
<td>1</td>
<td>No</td>
<td>No</td>
</tr>
</tbody>
</table>

#### Traffic Control

- Was Traffic Control Required Today? Yes ☑ No ❌
- Was WZTC according to approved TCP? Yes ☑ No ❌

#### Inspector's On Site Hours

- From: 8:00 AM
- To: 4:30 PM

**Figure 5-15**

---

**Page 5-52**

**WSDOT Construction Training Guide for Local Agencies**

**M 3075.01**

**January 2012**
<table>
<thead>
<tr>
<th>Contract</th>
<th>Day</th>
<th>Date</th>
</tr>
</thead>
</table>

DIARY - Including but not limited to: a report of the day’s operations, time log (if applicable), orders given and received, discussions with contractor, and any applicable statements for the monthly estimate.
DIARY - Including but not limited to: a report of the day’s operations, time log (if applicable), orders given and received, discussions with contractor, and any applicable statements for the monthly estimate.

<table>
<thead>
<tr>
<th>Surface Temp.</th>
<th>Air Temp.</th>
<th>Paver Speed (feet per minute)</th>
<th>Pneumatic Roller</th>
</tr>
</thead>
<tbody>
<tr>
<td>Min:</td>
<td>Min:</td>
<td>Min:</td>
<td>Tire Pressure:</td>
</tr>
<tr>
<td>Max:</td>
<td>Max:</td>
<td>Max:</td>
<td></td>
</tr>
<tr>
<td>From Station</td>
<td>To Station</td>
<td>Square Yards</td>
<td>Tons of Mix</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Base</th>
<th>Leveling</th>
<th>Wearing</th>
<th>Area Square Yards</th>
<th>Average Tons/Square Yard</th>
<th>Tack Coat</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>

Daily Total

Previous Total

Total To Date

Plan Quantity

Inspector

DOT Form 422-004B EF
Revised 07/2008

(Street) Inspector’s Daily Report – Diary

Figure 5-17
8-31-04

MET with contractor in my office today at 1:00 pm to discuss utility conflicts with the drainage work. We both came to agreement that the existing water line was occasionally causing wet delays to the drainage installation. We also agreed that the delays were random and of varying lengths of time. Because of the randomness of the delays we agreed that both the inspector and the foreman would document the disputed work and that compensation and working days would be agreed on at the completion of the drainage work.

9-1-04

I received a call today from the contractor to discuss extension of the paving cut-off from October 18th to October 31st. I asked the contractor to put his request in writing and submit it to me for consideration.

9-6-04

Called J. Jones, project inspector at 9:00 am to inform him that CO 473 was verbally approved. I also asked him to inform the contractor.

SIGN:

All entries made by person signed above unless otherwise indicated by other signature adjacent to entry.
## Payroll

### Figure 5-19

<table>
<thead>
<tr>
<th>Payroll Form (page 1 of 2)</th>
</tr>
</thead>
</table>

### Table

<table>
<thead>
<tr>
<th>Day and Date</th>
<th>Hours Worked Each Day</th>
<th>Rate of Pay</th>
<th>Gross Amount Earned</th>
<th>FICA withholding tax</th>
<th>Other deductions</th>
<th>Total deductions</th>
<th>Net Wages Paid For Week</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sunday</td>
<td>0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Monday</td>
<td>0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Tuesday</td>
<td>0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Wednesday</td>
<td>0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Thursday</td>
<td>0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Friday</td>
<td>0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Saturday</td>
<td>0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

---

We estimate that it will take an average of 56 minutes to complete this collection of information, including time for reviewing instructions searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. If you have any comments regarding these estimates or any other aspect of this collection of information, including suggestions for reducing this burden, send them to the Administrator, Wage and Hour Division, ESA, U. S. Department of Labor, Room S3502, 200 Constitution Avenue, N. W., Washington, D. C. 20210.
Date __________________________
I, __________________________________ (Name of Signatory Party) __________________ (Title) __________________________
do hereby state:

(1) That I pay or supervise the payment of the persons employed by __________________________ (Contractor or Subcontractor) __________________________ on the __________________________ (Building or Work) __________________________; that during the payroll period commencing on the day of __________________________, and ending the day of __________________________, all persons employed on said project have been paid the full weekly wages earned, that no rebates have been or will be made either directly or indirectly to or on behalf of said __________________________ (Contractor or Subcontractor) __________________________;

weekly wages earned by any person and that no deductions have been made either directly or indirectly from the full wages earned by any person, other than permissible deductions as defined in Regulations, Part 3 (29 CFR 1) issued by the Secretary of Labor under the Davis-Bacon Act, as amended (48 Stat. 948, 63 Stat. 110, 72 Stat. 967; 76 Stat. 357; 40 U.S.C. 276c), and described below:

(2) That any payrolls otherwise under this contract required to be submitted for the above period are correct and complete; that the wage rates for laborers or mechanics contained therein are not less than the applicable wage rates contained in any wage determination incorporated into the contract; that the classifications set forth therein for each laborer or mechanic conform with the work he performed.

(3) That any apprentices employed in the above period are duly registered in a bona fide apprenticeship program registered with a State apprenticeship agency recognized by the Bureau of Apprenticeship and Training, United States Department of Labor, or if no such recognized agency exists in a State, are registered with the Bureau of Apprenticeship and Training, United States Department of Labor.

(4) That:

(a) WHERE FRINGE BENEFITS ARE PAID TO APPROVED PLANS, FUNDS, OR PROGRAMS

☐ — in addition to the basic hourly wage rates paid to each laborer or mechanic listed in the above referenced payroll, payments of fringe benefits as listed in the contract have been or will be made to appropriate programs for the benefit of such employees, except as noted in Section 4(c) below.

(b) WHERE FRINGE BENEFITS ARE PAID IN CASH

☐ — Each laborer or mechanic listed in the above referenced payroll has been paid, as indicated on the payroll, an amount not less than the sum of the applicable basic hourly wage rate plus the amount of the required fringe benefits as listed in the contract, except as noted in Section 4(c) below.

(c) EXCEPTIONS

<table>
<thead>
<tr>
<th>EXCEPTION (CRAFT)</th>
<th>EXPLANATION</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
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<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

REMARKS:

NAME AND TITLE __________________________
SIGNATURE __________________________

THE WILLFUL FALSIFICATION OF ANY OF THE ABOVE STATEMENTS MAY SUBJECT THE CONTRACTOR OR SUBCONTRACTOR TO CIVIL OR CRIMINAL PROSECUTION. SEE SECTION 1001 OF TITLE 18 AND SECTION 231 OF TITLE 31 OF THE UNITED STATES CODE.

*U.S. G.P.O.: 9971531061
### Employee Interview Report

**Figure 5-20**

<table>
<thead>
<tr>
<th>Contract Title</th>
<th>Federal-Aid Number</th>
<th>SR Number</th>
<th>Sub-Contractor</th>
<th>Employee Description</th>
<th>Employee</th>
<th>Current Duties</th>
<th>Hourly Wage Rate</th>
<th>Min. (3)</th>
<th>Max. (4)</th>
<th>Remarks (4)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Main Street, First Ave. to Fifth Ave.</td>
<td>STPUL-4301(001)</td>
<td>TA-1234</td>
<td>J B Goode Construction</td>
<td>Operator</td>
<td>Operate PR-1050</td>
<td>22.55</td>
<td>22.55</td>
<td>24.05</td>
<td>24.05</td>
<td>Not certain of wage</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Supervising Work</td>
<td>22.55</td>
<td>22.55</td>
<td>24.05</td>
<td>24.05</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Driving 4,000 gallon water truck</td>
<td>19.55</td>
<td>19.55</td>
<td>20.05</td>
<td>20.05</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

(1) Wage rate established by Employer as a payroll cost.
(2) Wage rate established by Contractor as a payroll cost.
(3) Minimum wage rate prescribed by the contract wage determination schedule.
(4) Indicate references to supplemental reports, if any.
## Change Order

**Date**

**Contract Number** ________________  **Federal Aid Number** ________________

**Contract Title**

**Change Order Number** ________________

**Prime Contractor**

- [ ] Ordered by Engineer under the terms of Section 1-04.4 of the Standard Specifications
- [ ] Change proposed by Contractor

### Endorsed By

- **Contractor**

- **Surety Consent**

- **Attorney on Fact**

- **Date**

### Original Contract Amount

### Current Contract Amount

### Estimated Net Change This Order

### Estimated Contract Total After Change

### Approval Recommended

- [ ] Approved

- **Project Engineer**

- **Approving Authority per C.A. Agreement**

- **Date**

### Other Approval When Required

- [ ] Approved

- **By**

- **Signature**

- **Representing**

- **Date**

**DOT** Form 140-005 EF

Revised 4/06

### Change Order

**Figure 5-21**
### Change Order Checklist

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Does the change order alter the termini, character, or scope of the work?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>If yes, you must have H&amp;LP approval to be eligible for federal funds.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>If yes, you must submit a revised Page 1 of the prospectus.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Is the Change Order over $7,500.00 and outside the scope of work?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>If yes, the change cannot be a change order and must be an independent work.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Does the Change Order detail all items involved with the change?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>4. Does the Change Order include an adjustment in working days?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>If yes, the time extension must be stated in the Change Order.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>If yes, an independent engineer’s estimate of time must be included to document the extension.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>If no, that must be stated in the Change Order.</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>5. Does the Change Order alter the DBE Condition of Award?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>If yes, you must obtain concurrence form H&amp;LP.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>If yes, you must obtain the DBE’s signature on the Change Order.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Does the Change Order involve a material substitution?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>If yes, you must determine if a material credit is appropriate.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. If Change Order work started prior to it’s execution, prior verbal approval by the Approving Authority must be granted and documented.</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>8. Has the Change Order been signed by the contractor?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>10. Has the Change Order been executed by the Approving Authority?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>If you are a “non CA Agency,” you must have the acting CA Authority’s approval.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11. Has an independent engineer’s estimate justifying the costs and time extensions been completed and documented?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>12. Has a detailed memo outlining the chronology of events, basis of need, costs, and working days been prepared and placed in the file accompanying the Change Order?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
</tbody>
</table>

*Figure 5-22*
### General
You are ordered to perform the following described work upon receipt of an approved copy of the change order.

### Description of Work
The contractor shall install Roof Drains as detailed on sheet 4 of 4.

### Measurement
Measurement for Roof Drains shall be by each.

### Payment
Payment for Roof Drains shall be by each.

### Working Days
Working days are not affected by this change order.

---

### Change Order No: TA2433

<table>
<thead>
<tr>
<th>ITEM NO</th>
<th>UNIT MEASURE</th>
<th>UNIT PRICE</th>
<th>EST QTY CHANGE</th>
<th>EST AMT CHANGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>151</td>
<td>EACH</td>
<td>$800</td>
<td>10</td>
<td>$6,000.00</td>
</tr>
</tbody>
</table>

**TOTAL** $6,000.00
EX 4" ROOF DRAIN

SCH. 40 3" PVC PIPE

* REDUCE 4" ROOF DRAIN INTO 3" PVC DRAIN PIPE

10" THICKENED BAND (CONCRETE)

TREE GRATE

10 ROOF DRAINS - LOCATIONS VARY BETWEEN STATIONS 668+50 TO 681+00. FINAL LOCATION TO BE DETERMINED BY THE ENGINEER.

CONTRACT JA2433

PAGE 4 OF 4

Washington State Department of Transportation

CHANGE ORDER #7

ROOF DRAIN

Change Order (page 2 of 3)

Figure 5-23
## JUSTIFICATION FOR ROOF DRAINS

<table>
<thead>
<tr>
<th></th>
<th>FOREMAN</th>
<th>2 LABORER</th>
<th>OPERATOR</th>
<th>SUB TOTAL FOR LABOR</th>
<th>PRIME MARKUP IS 29%</th>
<th>GRAND TOTAL FOR LABOR INCLUDING MARKUPS</th>
</tr>
</thead>
<tbody>
<tr>
<td>TOTAL HOUR</td>
<td>10</td>
<td>20</td>
<td>10</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HOURLY RATE</td>
<td>$40.00</td>
<td>$37.00</td>
<td>$40.00</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>COLUMN TOTAL</td>
<td>$400.00</td>
<td>$740.00</td>
<td>$400.00</td>
<td>$1,540.00</td>
<td>129.00%</td>
<td>$1,986.60</td>
</tr>
</tbody>
</table>

### ADDITIONAL MATERIAL COST INCLUDING CONCRETE FOR BORDER AND 3 INCH SCHEDULE 40 PIPE

<table>
<thead>
<tr>
<th></th>
<th>MATERIAL</th>
<th>PRIME MARKUP OF 21%</th>
<th>GRAND TOTAL FOR MATERIALS INCLUDING MARKUPS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$200.00</td>
<td>129.00%</td>
<td>$258.00</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>TOTAL BEFORE SUB MARKUP OF 12%</th>
<th>112.00%</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>GRAND TOTAL</td>
<td>2,513.95</td>
</tr>
</tbody>
</table>

|                         | TOTAL ROOF DRAINS INSTALLED PER SHIFT. | 4.00    |

|                         | JUSTIFIED COST PER EACH ROOF DRAIN | 628.49  |
VERBAL APPROVAL

DATE: 07/12/01 CONTRACT: TA-1483

PROJECT NAME: Raymond Business Loop

Is HQ Approval Needed?: (number from Checklist) N/A

Is Region Approval Needed?: (number from Checklist) 2

REQUESTED BY: City of Raymond

Remarks:

Over-excavation of unsuitable material under the sidewalk area. The Contractor will over-excavate up to 1.5' deep, construction geotextile will be placed on the existing material and the excavation will be backfilled with crushed surfacing. All in accordance with the following provisions:

1. All costs are federally eligible. All costs in excess of approved Local Agency Agreement will be born by the City of Raymond.
2. Work can begin immediately upon receipt of the verbal approval and upon approval by the City. The City, Contractor, Consultant and Local Programs Engineer shall sign final Change Order.

APPROVED BY: _________________ (William Pierce)

FHWA: PERSON NOTIFIED: N/A

DATE: __________ REMARKS: 

Change Order Checklist:

A. HQ Signs Change Order

1. A change in the contract documents beyond the termini, character, scope of the original contract.

B. Region Signs Change

2. Modified CA Project.

X: Cut on border.
Change Order - Minor Change

Contract Number
7998

Contract Title
Grand Mound to Maytown Stage 2 - Replace Interchange

Federal Aid Number

Change Order Number
22

Change Description
MC - G-Line Culvert Removal

Date
Apr 15, 2011

Region

Project Engineer
MaryLou Nebergall

Olympic Region

Phone Number
360-337-6752

Prime Contractor / Design-Builder
Tri-State Construction Inc.

Ordered by Engineer under the terms of Section 1-04.4 of the Standard Specifications or the RFP

Change proposed by Contractor / Design-Builder

Change Description

Description:
This change order compensates the Contractor for all labor, equipment, and materials required to remove and dispose of an existing ductile iron culvert, and backfill the resulting void, G1-Line 15+55 Rt to 15+70 Lt.

Material Requirements:
Backfill material shall be gravel borrow as specified in this project.

Construction Requirements:
Work shall be completed as directed by the Engineer and in accordance with Section 2-02 of the Standard Specifications.

Measurement & Payment
The total estimated cost for this change order is $600.00. The actual cost for the work described by this change order will be calculated by force account as provided in Section 1-09.6 of the Standard Specifications. This item of work will be paid under Bid Item #199 “Minor Change”.

Contract Time:
This change order does not include time related impacts. Contract time will be addressed as necessary when this change order work is complete and when the actual time and time related impacts have been determined.

Original Contract Amount
$15,517,831.55

Current Contract Amount
$15,519,903.25

Est. Net Change This C.O.
$600.00

Est. Revised Contract Amount
$15,520,503.25

Prime Contractor / Design-Builder
Email from Ryan McBride Date 4/18/2011

Signature or Method of Concurrence:
MaryLou Nebergall Date 4/18/2011

Project Engineer’s Signature for Execution:

Distribution:
Copy of Change Order Page & Memorandum Page w/Backup - Project Engineer
Copy of ONLY Change Order Page - Prime Contractor / Design-Builder
Copy of Change Order Page & Memorandum Page w/Backup - Region Construction Office
Original of Change Order Page & Memorandum Page w/Checklist and Approval Documentation - State Construction Office

DOT Form 421-005A EF Revised 1209

Change Order Page
Change Order - Minor Change

Contract Number: 7998  
Contract Title: Grand Mound to Maytown Stage 2 - Replace Interchange  
Change Order Number: 22

Brief Description of Problem / Reason for Entitlement:
On 3/21/2011, the Contractor contacted WSDOT concerning the existing steel culvert pipe that crossed the G1-Line. The site prep plans showed that the culvert pipe was to remain in place. However, the top of pipe elevation was shown to be above the subgrade limits and impinging into the surfacing lifts. WSDOT’s survey crew checked the elevation of the pipe and confirmed the Contractor’s concern. On 3/22/2011, MaryLou Nebergall (Tumwater PEO PE) gave her approval for the change. On 3/23/2011, the Contractor removed the culvert and backfilled the void.

The Contractor is entitled to compensation per Section 1-04.4 of the Standard Specifications since this is added work to the Contract. The culvert pipe was not called out for removal in the site prep plans.

Justification of Cost:
$600.00 is the estimated cost to complete the work described in this change order. An Independent Engineer’s Estimate was performed using approved wage rates for labor, Blue Book rates for equipment, and quoted rates by suppliers for materials. The breakdown of the Independent Engineer’s Estimate to remove the culvert pipe and backfill void is as follows:

<table>
<thead>
<tr>
<th>Item</th>
<th>Unit</th>
<th>Quantity</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Labor (inc. 29% M.U.)</td>
<td></td>
<td></td>
<td>$150.56</td>
</tr>
<tr>
<td>Equipment (inc. 21% M.U.)</td>
<td></td>
<td></td>
<td>$162.38</td>
</tr>
<tr>
<td>Materials (inc. 21% M.U.)</td>
<td></td>
<td></td>
<td>$273.67</td>
</tr>
</tbody>
</table>

Independent Engineer’s Estimate Total: $586.60 -> use $600.00 for estimate

The actual cost will be verified and calculated by force account for work performed on 3/23/2011 per Section 1-09.6 of the Standard Specifications.

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Item</th>
<th>Group</th>
<th>Date</th>
<th>Unit</th>
<th>Quantity</th>
<th>RAM/QPL</th>
<th>Ledger no.</th>
<th>Post</th>
<th>Ckd</th>
<th>Est. No.</th>
</tr>
</thead>
<tbody>
<tr>
<td>199</td>
<td>Minor Change</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Distribution:  
Copy of Change Order Page & Memorandum Page w/Backup - Project Engineer  
Copy of ONLY Change Order Page - Prime Contractor / Design-Builder  
Copy of Change Order Page & Memorandum Page w/o Backup - Region Construction Office  
Original of Change Order Page & Memorandum Page w/Checklist and Approval Documentation - State Construction Office

DOT Form 421-006A EF  
Revised 12/09

Change Order - Minor Change (page 2 of 3)  
Figure 5-25
### Change Order - Minor Change

#### Figure 5-25

#### Change Order-Checklist

<table>
<thead>
<tr>
<th>Cont. #: C7998</th>
<th>Cont. Title:</th>
<th>Grand Mound to Maylow Stage Two - Replace Interchange</th>
<th>If yes, State Construction Office Approval Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>C.O. #: 22</td>
<td>C.O. Title:</td>
<td>M.C.: G.T. Cancel Removal</td>
<td></td>
</tr>
</tbody>
</table>

**I. Executed by the State Construction Office**

1. Cost or credit equal to or exceeding $500,000.*1
   - □ Yes ☑ No X
2. Change in the contract documents beyond the scope, intent or termini of the original contract.*2
   - □ Yes ☑ No X
3. Any proposed revision or deletion of work that affects the condition of award requirements.
   - □ Yes ☑ No X

**II. Executed by the Region**

4. Cost or credit greater than $100,000 but less than $500,000. *1
   - □ Yes ☑ No X
5. Change in contract time greater than 10 and less than or equal to 30 working days, must be related to changes implemented by change order.
   - □ Yes ☑ No X
6. Change in contract time greater than 30 working days.
   - □ Yes ☑ No X

**III. Executed by the Project Engineer**

7. Determination of impacts and/or overhead.
   - □ Yes ☑ No X
8. Specification change involving Headquarters generated specification. (Includes Region generated specification requiring State Construction Office Approval)
   - □ Yes ☑ No X
   - □ Yes ☑ No X
10. Material or product substitution.
    - □ Yes ☑ No X
11. Structural design change in the roadway section. (Requires State Materials Lab approval)
    - □ Yes ☑ No X
12. Determination of changed condition. (Section 1-04.7 of the Standard Specifications)
    - □ Yes ☑ No X
13. Settlement of a claim. (Section 1-09.11(2) of the Standard Specifications)
    - □ Yes ☑ No X
14. Repair of damage regarding "acts of God" or "acts of the public enemy or of government authorities." (Section 1-07.13 of the Standard Specification)
    - □ Yes ☑ No X
15. Structural change to structures. (See BTA authority as shown in the Construction Manual)
    - □ Yes ☑ No X

**Approvals obtained:**
- Project Engineer (Required): Mary Lou Nebigal
- Region (Required if yes marked): Date: 2/22/2011
- State Construction Office: Date: 
- State Materials Lab: Date: 
- Other (Local Agency, FHWA, Surety, etc.): Date: 

**To be completed by the Project Engineer:**
- Change Order Prepared By: Tim Meenke Date: 4/15/2011
- Has change been entered as lesson learned? ☑ Yes ☑ No
- Has design documentation been updated? ☑ Yes ☑ No
- Is this project under full FHWA stewardship oversight? *1 ☑ Yes ☑ No

**To be completed by the Region:**
- Change Order Reviewed by: Date: 5/11/2011

*1 Change (Cost or Credit) greater than $200,000 or greater than 30 days on Full Federal Stewardship Oversight projects requires FHWA approval. (see Construction Manual - Chapter 1-2.4C(3), Chapter 1-3.4, and http://www.wsdot.wa.gov/dbb/construction/Stewardship/Stewardship.xsl)

*2 Per RCW 47.28.050, any change beyond $7,500 that is beyond the original scope shall go through the competitive bidding process.

This form represents the **minimum** information required by the State Construction Office. If you wish to supplement this information, you may do so on a separate sheet of paper.

Rev. 01/01/09
### Item Quantity Ticket

**Figure 5-26**

<table>
<thead>
<tr>
<th>DATE</th>
<th>STATION</th>
<th>KILOMETER</th>
<th>GROUP</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-17-95</td>
<td>2.7+860</td>
<td>1</td>
<td></td>
</tr>
</tbody>
</table>

**REMARKS**

Legal Gross 23,587 kg

From PS-201-48

<table>
<thead>
<tr>
<th>TIME RECEIVED</th>
<th>TIME WEIGHED</th>
<th>A.M.</th>
<th>P.M.</th>
</tr>
</thead>
<tbody>
<tr>
<td>12:34</td>
<td>11:47</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**RECEIVED BY**

**WEIGHED BY**

<table>
<thead>
<tr>
<th>CHECK ONE</th>
<th>TONNES</th>
<th>HOURS</th>
<th>TRUCK NUMBER</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>32</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>KG</th>
<th>LITERS</th>
<th>M³</th>
<th>EACH</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**GROSS** 16,850

**TARE** 7,550

**NET** 9,300

**OTHER UNIT OF MEASURE**

**ITEM IDENTIFICATION**

<table>
<thead>
<tr>
<th>ITEM NO.</th>
<th>CONTRACT NO.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**CONTRACTOR**

CONTRACT 4711

ACE CONSTRUCTION CO

**ITEM NO.** 36

**ITEM DESCRIPTION**

GRAVEL BACKFILL

FOR DRAINS

**GRAVEL BASE**

**BALLAST**

**CRUSHED BASE**

**SURFACING TOP**

<table>
<thead>
<tr>
<th>A.T.B.</th>
<th>C.T.B</th>
<th>WATER</th>
<th>TOP SOIL</th>
<th>A.C. CLASS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**OTHER (SPECIFY)**

No.

DOT Form 422-021 Metric

995

ORIGINAL
Certificate of Inspection

Figure 5-27
## Field Note Record

**Contract No.** TA-9999  
**Station** 34+00 - 39+50  
**Line** Main Street  
**Line C/S** N/A  
**Staked By** S. Michelle Gellar  
**Date** 9-8-2011  
**Work Started** 9-10-2011  
**Work Completed** 9-12-2011  
**Calculated By** K. Hash  
**Date** 9/12/11  
**Checked By** K. Molyneux  
**Date** 9/14/11

### Diagram

```
  
  MAIN STREET
  
  39+50
  
  34+50
  
  2000 FT^2  
  7,500 FT^2  
  5000 FT^2 = 1/4 500 FT^2
  
  = 43,560
  
  = 0.33 ACRE
  
  Measured in Field
```

### Table

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Material</th>
<th>Manufacturer</th>
<th>Brand Name Model/Type</th>
<th>RAMS/QPL Ref. No.</th>
<th>Appro/Accept Code</th>
<th>Basis of Acceptance</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Item Description</th>
<th>Group Date Work Completed</th>
<th>Unit</th>
<th>Quantity</th>
<th>Ledger Entry No.</th>
<th>Posted By Initials Date</th>
<th>Checked By Initials Date</th>
<th>Est. No</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>Clearing &amp; Grubbing</td>
<td>N/A 9/12/11</td>
<td>ACRE</td>
<td>0.33</td>
<td>35 DC 9/20</td>
<td>J6 9/21</td>
<td>1</td>
<td></td>
</tr>
</tbody>
</table>

**DOT Form 422-835 EF**  
Revised 03/2008

---

**Figure 5-28**
### Daily Report of Force Account Worked

**Figure 5-29**

<table>
<thead>
<tr>
<th>Workers and/or Equipment Working</th>
<th>Occupation of Workers or Equipment Size</th>
<th>Hours Worked</th>
<th>Reg. Rate</th>
<th>O.T. Rate</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. A. Shaham</td>
<td>Foreman</td>
<td>5.5</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. M. Hamilton</td>
<td>Laborer</td>
<td>2.5</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. S. Galz</td>
<td>Operater / Trainee</td>
<td>2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. B. Graham</td>
<td>Laborer</td>
<td>5</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. T. Blair</td>
<td>Laborer</td>
<td>5</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Ford Pickup #483</td>
<td>1992 F-250 (Diesel)</td>
<td>5.5</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. Ford Pickup #555</td>
<td>1992 F-250 (Gas)</td>
<td>5</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. Sullivan Air Compressor #730</td>
<td>185 CFM (Gas)</td>
<td>5</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. Hammer, Spade, Hose</td>
<td>Model 730 Impact Hammer</td>
<td>5</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- **Contract Number**: 4329
- **Prime Contractor**: Movat + Construction
- **Subcontractor**: N/A
- **Description of Work Performed**: Install signs @ Island, Relocate ‘Yield Sign’, Adjust C.B. In Median

**CALCULATED BY**

- **Enter By**: [Signature]
- **Checked By**: [Signature]
Reduced Acceptance Criteria Checklist

This checklist is required to be filled out for individual materials and be put in the Materials File.

If the material is listed in the CM Section 9-1.3C - 'Low Risk Materials' or this material qualifies for Visual Acceptance per 9-1.4C, then **you do not need to proceed with this form.**

<table>
<thead>
<tr>
<th>Contract Number</th>
<th>Contract Title</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bid Item Number</td>
<td>Plan Quantity</td>
<td>Material Description</td>
</tr>
</tbody>
</table>

**Description of Change to Materials Acceptance:** Explain the work being performed and the proposed changes to the normal materials acceptance, and/or inspection criteria. Explain why this is being proposed, what is the justification for the change, is this a 'critical' item of work and has proper approval (RAM/QPL) been performed?

Acceptance Criteria per RAM/QPL | Proposed Acceptance Criteria
---|---

R = Region Materials Engineer  
M = State Materials Laboratory  
C = State Construction Office

**I. Sampling and Testing for Small Quantities of Material (CM 9-1.1A)**

- Is the proposed quantity greater than the minimum required frequency?  
  - Yes  
  - No  
  - STOP if 'Yes'
- For concrete, is the concrete Cl 4000 psi or greater?  
  - Yes  
  - No  
  - STOP if 'Yes'
- Is the material structurally 'significant'?  
  - Yes  
  - No  
  - M  
  - C

**II. Reduce Frequency of Testing: (CM 9-1.1B)**

- Is the material running well within specification limits?  
  - Yes  
  - No  
  - STOP if 'No'
- Have ten consecutive samples been taken at normal frequency that indicate complete conformance within specification requirements?  
  - Yes  
  - No  
  - STOP if 'No'
- Is the proposal for deviation greater than 10% and less than 20%?  
  - Yes  
  - No  
  - R
- Is the proposal for deviation greater than 20% or elimination of test?  
  - Yes  
  - No  
  - M
- For Quarry Sites, is 'fracture' being eliminated?  
  - Yes  
  - No  
  - R

**III. Project Engineer Discretionary Materials Acceptance (CM 9-1.1C)**

- Is the work 'within' the vertical limits of the roadway?  
  - Yes  
  - No  
  - M  
  - C
- Is the dollar amount over $20,000 for this Bid Item? $  
  - Yes  
  - No  
  - M  
  - C
- Is the total dollar amount over $50,000 for the entire project? $  
  - Yes  
  - No  
  - M  
  - C

State Materials Laboratory and Headquarters Construction concurrence documentation must be attached.

**Approvals**

Project Engineer Approval By: ___________________________ Date _______________

Region Materials Laboratory: Date of Concurrence ___________________________

State Materials Laboratory: Date of Concurrence ___________________________

State Construction Office: Date of Concurrence ___________________________

---

**Figure 5-30**
### Report of Protested Work

<table>
<thead>
<tr>
<th>Description of Work Performed and Why Protested</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Contract Number</th>
<th>Date</th>
<th>Location of Work</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prime Contractor</td>
<td>Subcontractor / Lower Tier Subcontractor</td>
<td>Other</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Time Worked Record</th>
</tr>
</thead>
<tbody>
<tr>
<td>Workers and/or Equipment Working</td>
</tr>
<tr>
<td>1</td>
</tr>
<tr>
<td>2</td>
</tr>
<tr>
<td>3</td>
</tr>
<tr>
<td>4</td>
</tr>
<tr>
<td>5</td>
</tr>
<tr>
<td>6</td>
</tr>
<tr>
<td>7</td>
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<tr>
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<tr>
<td>16</td>
</tr>
<tr>
<td>17</td>
</tr>
<tr>
<td>18</td>
</tr>
<tr>
<td>19</td>
</tr>
<tr>
<td>20</td>
</tr>
</tbody>
</table>

This form is for the sole purpose of documenting the use of labor, equipment, and materials on work protested under Section 1-04.5 and 1-09.11 of the Standard Specifications.

<table>
<thead>
<tr>
<th>Inspector’s Signature</th>
<th>Contractor’s Representative’s Signature</th>
<th>Title</th>
</tr>
</thead>
</table>

DOT Form 422-007 EF
Revised 03/2008
# Contractor's Daily Report of Traffic Control - Summary

<table>
<thead>
<tr>
<th>Contract Number</th>
<th>SR Number</th>
<th>Day</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

## Photos / Videos taken today for record?
- [ ] Yes
- [ ] No

If Yes, note locations:

- 
- 
- 
- 
- 
- 

## Summary of TCS Activities

- 
- 
- 
- 
- 
- 

## Contractor

<table>
<thead>
<tr>
<th>Contractor</th>
<th>Contractor’s Traffic Control Supervisor’s Signature</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

## Comments

- 
- 
- 
- 
- 

*To be Completed by Contractor’s Traffic Control Supervisor (TCS)*

DOT Form 421-040A EF

Revised 4/2004

Distribution: White - Contractor; Canary - Project Engineer

Contractor’s Daily Report of Traffic Control – Summary

*Figure 5-32*
## Contractor's Daily Report of Traffic Control – Traffic Control Log

**Use separate sheets for each setup.** (May be altered to record Class A signs.)

<table>
<thead>
<tr>
<th>Setup</th>
<th>Sta A</th>
<th>Sta B</th>
</tr>
</thead>
<tbody>
<tr>
<td>Station – Time</td>
<td>Station – Time</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Legend**

(List of Signs Used)

1.  
2.  
3.  
4.  
5.  
6.  
7.  
8.  

- **Cones**
  - Yes
  - No
- **Piloted**
  - Yes
  - No
- **Per Approved Plan**
  - Yes
  - No
- **Plan Title**

<table>
<thead>
<tr>
<th>Sta C</th>
<th>Sta D</th>
</tr>
</thead>
<tbody>
<tr>
<td>One Way Traffic (one or more lanes)</td>
<td>Two Way Traffic (two or more lanes)</td>
</tr>
</tbody>
</table>

**Other Traffic Control Labor**

<table>
<thead>
<tr>
<th>Name</th>
<th>Start</th>
<th>End</th>
<th>Hours</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Contractor’s Traffic Control Supervisor’s Signature**

**Contractor’s Daily Report of Traffic Control – Traffic Control Log**

*Figure 5-33*
### Scaleman’s Daily Report

<table>
<thead>
<tr>
<th>Contract No.</th>
<th>Date</th>
<th>Pit No.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Scale Location**

<table>
<thead>
<tr>
<th>Materials Hauled</th>
<th>Item No.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>State Scaleman Signature</th>
<th>Contractor’s Scaleman Signature</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Morning Tare</th>
<th>Afternoon Tare</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Time</th>
<th>Truck No.</th>
<th>Tare</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Time</th>
<th>Truck No.</th>
<th>Tare</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Remarks**

- Contractor’s weighman operated the scales and the state inspector observed (      ) or weighing operations were performed by the commercial scale operator (     )

<table>
<thead>
<tr>
<th>Scale Tested By (Company or Agency)</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

_The reverse side of this form must be used weekly to document scale verification checks._

DOT Form 422-027 EF
Revised 10/2011

**Distribution:**

- Original-Project Engineer
- Copy-Contractor

---

**Figure 5-34**
## Contract Completion

<table>
<thead>
<tr>
<th>Contract Completion Dates</th>
<th>Substantial Completion</th>
<th>Physical Completion</th>
<th>Contract Completion</th>
<th>Final Acceptance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Calendar Time</td>
<td>Starts the time when any liquidated damages caused by overruns of contract time are limited to direct engineering charges.</td>
<td>Establishes the date liquidated damages will no longer be charged to the contract.</td>
<td>Starts the 60-day time period for release of retainage. RCW 60.28</td>
<td>Start of 30-day period for laborers to file lien against retainage. RCW 39.12</td>
</tr>
<tr>
<td></td>
<td>Date used on Final Contract Voucher Certification.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1-08.9</td>
<td>1-08.5</td>
<td>1-08.5</td>
<td>1-08.5, 1-09.11(3)</td>
</tr>
<tr>
<td></td>
<td>1-05.11(1) APWA</td>
<td>1-05.11(2) APWA</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Substantial Completion

When the contract work is completed to the extent that the agency has full and unrestricted use and benefit of the facilities ... **and only minor incidental work remains** to physically complete the total contract. Prior to physical completion, notify your Region H&LP Engineer that you are ready for a Final Inspection.

### Physical Completion

When all of the work is physically completed on the project. All the documentation, required by the contract and required by law, need not be submitted by the Contractor by this date. **Do not delay physical completion for paperwork.**

### Completion

When all work specified in the contract is completed and all the obligations of the Contractor under the contract are fulfilled by the Contractor. **All required documentation has been submitted by the Contractor.**
Final Acceptance

When the Engineer accepts both the completed contract, and the items of work shown in the final estimate, by signature of the Final Contract Voucher Certification.

Note: Although RCW 39.12 uses Final Acceptance to start the 30-day period for laborers to file liens against the bond, RCW 60.28 used Completion to start the 60-day period for release of the retainage. It is therefore essential that Final Acceptance occur as soon as possible after Completion to avoid conflicts.

Contractor Submittals

Immediately after the physical completion date:

• Notify the contractor of all outstanding documents that are required in order to establish a project completion date.

• Provide the contractor written notice of project completion, identifying the Completion Date established for the contract when all the obligations of the contract are complete.

• Establish the completion date after all documentation required by the contract, contact provisions, and the Standard Specifications has been received. The following documents are required for establishing the Completion Date or release of the contractors retained funds:

Affidavit of Wages Paid (All Projects)

The contractors, all subcontractors, and lower tier subcontractors are required to submit Affidavit of Wages Paid (AWP). While not having all AWP, will not prevent the establishment of the projects completion date, it will prevent the release of the contractor’s bond. In the event a subcontractor or lower tier subcontractor cannot or will not provide a completed AWP form, the prime contractor can submit for the subcontractor. If the prime is unwilling to take on this responsibility, they should consult or seek guidance from State L&I.

Final Contract Voucher Certificate (All Projects)

Prepare the Final Contract Voucher Certificate (FCVC), identifying the contract total amount, and submit to the contractor for signature.

Assemble the final estimate and send it to the contractor with the FCVC. The FCVC is the Contractor’s last chance to formally file a Claim. If there is no exception above the Contractor’s signature on the FCVC, there is no claim. The contract will be over as soon as it is returned and you accept it.
Quarterly Reports of Amounts Credited as DBE Participation

The prime contractor must complete the final quarterly report.

When a DBE participates in a contract, only the value of the work actually performed by the DBE will be counted.

Certified Payrolls

The prime contractor, all subcontractors, and lower tier subcontractors must submit certified payrolls on federal funded projects. Make certain you have them all, including all requested payrolls corrections.

Material Acceptance Documents (All Projects)

Missing materials submittals is a principal source of delay in closing out the project. Review your ROM carefully to confirm you have all the required documents for the approval and acceptance of these materials.

Local Agency Responsibilities After Physical Completion

After physical completion, there are a few forms that your agencies must complete. They include:

- Final Contract Voucher Certificate (WSDOT Form 134-146) (see Figure 6-1).
- Materials Certification (sample form in Local Agency Guidelines Appendix 52.104) (see Figure 6-2). This form asks for yes or no answers to questions to confirm that all of the materials incorporated into the project were approved, inspected, sampled, tested and certified in accordance with the project plans and specifications and the Standard Specifications. This includes work added by change order.

The material certification reflects the project’s conformance with the Record of Material as adjusted by the Engineer for:

1. Actual project quantities.
2. Acceptance practices as provided for in the Construction Manual.
3. Adjusted sampling/testing frequencies as approved.
4. Change Order work added.

Any variance between the requirements of the Construction Manual, contract documents, Standard Specifications, and the actual outcome must be listed, explained, and resolved.

Ideally, your paperwork is in good order and you can answer yes to each question. If there are any NO answers, these deficiencies must be explained in writing and resolved before certification can be completed.
If you are a CA agency, the materials certification must be signed by the person who fills the position shown on line 2i of your CA agreement, not the inspector or a consultant. If you are not a CA agency, the CA agency who is administering your project must sign the certification.

Final Records

Keep all project records for three years from the date shown on the administrative review letter you will receive at the end of the project from H&LP.

This retention date will begin after your agency closes the project. If a project spends one year in limbo, three years in design, two years in construction, and another six months to get closed, the retention date may be as much as ten years after the start. Many departments will have discarded key documents that relate to your project. Get a copy for your files at the beginning of the project.

As a condition of receiving money from FHWA, you must have ALL records available until the retention date.

These include the following records:
- All design files
- Right of way files
- Consultant selection process documents
- Advertisement, Award, Bid, Execution documents
- All construction records, files, diaries
- Estimate Payments
- Test reports
- As-Built Plans
- Final Contract Voucher
- Affidavit of Wages Paid
- FHWA 47
- Field Notebooks
- Photographs
As-Built Plans *(Construction Manual Section 10-3.11)*

As-builts are a record of what was actually constructed, not what was planned. All deviations or changes to the original intended physical product of a contract must be included.

Many agencies prepare their own as-builts. If your contractor prepares them, you need to keep checking weekly to be sure they are doing the work and that it is accurate. When the contractor is gone, your agency is responsible to meet the requirements of the state law. RCW 19.122 mandates that owners of “underground facilities” be able to locate these facilities within 600 mm (24 inches) of the outside dimensions.

The only way to have records this accurate is to keep them up-to-date as the work progresses.

Keep a copy as part of your project records.

The Final Steps

**Region Local Program Project Review or Final Field Inspection**

The Region Local Programs Office will conduct a final field inspection. Ideally, this can be scheduled to coincide with the final walk through with the contractor. If the final inspection reveals items that must be corrected or resolved before the project can be closed, the Region Local Programs Engineer will work with you until it can be confirmed that outstanding issues are resolved. If there is an unresolved item, a portion of the work may be ineligible for FHWA reimbursement. In that case, you will receive a letter advising which work is ineligible. This may result in some work not being paid or even for reimbursement by your agency for work already billed and paid to you.

**What You Need to Send to Region Local Programs**

**CA Agency**

- Physical Completion Letter
- Materials Certification
- Final Billing

**Non-CA Agency**

- Substantial Completion Letter
- Physical Completion Letter
- Final Voucher Certification
- Materials Certification
- Final Billing
Completion Letter

Within ten calendar days of completion as defined in the Standard Specifications, you must submit a physical completion letter to the Region Local Programs Office.

Final Billing

You can send in a final bill anytime after the project is completed. However, you must send it in within 90 calendar days from receipt of the 90-day closure letter. Your agency must submit the following documents to the Region Local Programs Office, clearly marked “Final Billing.”

Your final billing on Form PPC2. Do not ask for more than is authorized. The bill will not be processed. If you need more money, submit a request for additional funding to the Region H&LP Engineer. There is no assurance that additional funding will be available.

Upon receipt of the final billing, the final amount claimed will be paid and preparations begun for project closure.

Contact your Region Local Programs Office if there are reasons you are not able to submit the final bill within 90 days. Sometimes a time extension is allowed.

Project Approval

You will receive an administrative review letter signed by the Director of Highways and Local Programs. The letter will say when the project was accepted and will explain what records must be retained and for how long.
## Final Contract Voucher Certificate

### Contractor's Certification

I, The undersigned, having first been duly sworn, certify that I am authorized to sign for the claimant; that in connection with the work performed and to the best of my knowledge no loan, gratuity or gift in any form whatsoever has been extended to any employee of the Department of Transportation nor have I rented or purchased any equipment or materials from any employee of the Department of Transportation; I further certify that the attached final estimate is a true and correct statement showing all the monies due me from the State of Washington for work performed and material furnished under this contract; that I have carefully examined said final estimate and understand the same and that I hereby release the State of Washington from any and all claims of whatsoever nature which I may have, arising out of the performance of said contract, which are not set forth in said estimate.

![Contractor Authorized Signature Required](image)

Subscribed and sworn to before me this day of 20____

![Notary Public in and for the State of ...](image)

Department of Transportation Certification

I, certify the attached final estimate to be based upon actual measurements, and to be true and correct.

![Regional Administrator, Area Administrator, or Facilities Administrator Signature](image)

![Project Engineer / Project Administrator Signature](image)

**Headquarters Use Only**

Secretary of Transportation hereby accepts the completed contract pursuant to Section 1-05.12 of the Contract provisions.

![Secretary of Transportation/Designee Signature](image)

This Final Contract Voucher Certification is to be prepared by the Project Engineer or Project Administrator and the original forwarded to Olympia Headquarters for acceptance and payment.

Contractors Claims, if any, must be included and the Contractors Certification must be labeled indicating a claim attached.

### Table: Final Contract Voucher Certificate

<table>
<thead>
<tr>
<th>Contractor</th>
<th>Street Address</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>City</th>
<th>State</th>
<th>Zip</th>
<th>Date</th>
</tr>
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<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>October 15, 2007</td>
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<table>
<thead>
<tr>
<th>State Project Number</th>
<th>Federal-Aid Project Number</th>
<th>Highway Number</th>
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<table>
<thead>
<tr>
<th>Date Work Physically Completed</th>
<th>Final Amount</th>
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<tr>
<td></td>
<td>$</td>
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<table>
<thead>
<tr>
<th>Contractor's Certification</th>
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<table>
<thead>
<tr>
<th>DOT Form 134-146 EF</th>
</tr>
</thead>
<tbody>
<tr>
<td>Revised 10/2007</td>
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</table>

*Figure 6-1*
## Checklist for Project Certification

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>Step Description</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>1. Request for approval of material sources was submitted for all items listed on the record of materials and as required by Chapter 9-4 of the WSDOT Construction Manual or alternative procedures authorized by LAG Appendix 52.108.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. All preliminary samples requested by or for approval of source were submitted and approved or an alternate approval material or product was used.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. All samples and documentation including manufacturer’s certificate of compliance, shop drawings, mill test certificates, etc., as required by the record of materials were submitted and subsequently approved.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>4. If job quantities differed from those listed on the record of materials, acceptance samples were taken at the frequency listed in Chapter 9-5.7 of the Construction Manual or alternative procedures authorized by LAG Appendix 52.108.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>5. All items requiring inspection at the point of fabrication were so inspected and were accepted at the jobsite by the presence of an approved stamp, sticker, tag, or mark.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>6. The results of the tests on acceptance samples indicate that the materials incorporated in the construction work, and the construction operations controlled by sampling and testing, were in conformity with the approved plans and specifications. Exceptions to the plans and specifications are explained on the back hereof (or on attached sheet).</td>
</tr>
<tr>
<td></td>
<td></td>
<td>7. Items added by change order and not listed on the record of materials were accepted in accordance with procedures listed in Chapter 9 of the Construction Manual or alternative procedures authorized by LAG Appendix 52.108.</td>
</tr>
</tbody>
</table>

Note: Any “No” answers on this checklist must be fully explained and documented. Attach test reports representing nonspecification material as well as an explanation of the circumstances leading to acceptance of said material. All seven items must be completed before the project can be certified.

Certified Signature ___________________________ Date ______________________

(Approving Authority)
Part 7  Project Management Review

The Federal Highway Administration requires that each local agency has one federal aid project reviewed by Highways and Local Programs (H&LP) out of Olympia at completion. This is scheduled for once three years. The intent of this project management review (PMR) is to determine whether an agency has the ability to successfully manage the documentation requirements of a federal aid project from design through construction. This demonstrated ability results in an agency earning or maintaining CA status.

Attendees from H&LP will include:

- The PMR reviewer from HQ Local Programs.
- Your Region H&LP Engineer.
- Region Documentation Reviewer (sometimes the same as above).

Attendees from your agency would include:

- The individual that normally represents your agency with your Region Local Programs Engineer. Depending on your agency, this might be the Public Works Director, Construction Manager, or similar position.
- The project manager who has a day to day connection with the project and is able to answer questions. (For some projects, this might be a consultant. If so, the individual they work with on a daily basis at the agency should also be there.)
- The inspector, if possible.

This is basically an open-book test. The forms used are in the *Local Agency Guidelines*. The best preparation for the “test” is to fill out the forms completely yourself before the day of the review. By doing this, you are assured that each document exists and that you know where is located. For larger projects, it may be helpful to use tabs to mark the documents so they can be quickly and easily found again.

The materials section is filled out by the reviewer. Be sure your documentation is complete and easy to locate.
### Local Agency Project Management Review Checklist

- **Agency:** __________________________  **Date:** __________________
- **Project Title:** __________________________________________________________________
- **Federal Aid Project No.:** __________________________  **Contract No.:** __________
- **Reviewers:** ________________________________________________________________________
- **Prime Contractor:** __________________________________________________________________

**LAG Ref.**

**13 Table of Organization and CA Agreement Review**

<table>
<thead>
<tr>
<th>Action</th>
<th>Approving Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Design Approval</td>
<td>____________________</td>
</tr>
<tr>
<td>PS&amp;E Approval</td>
<td>____________________</td>
</tr>
<tr>
<td>Contract Award</td>
<td>____________________</td>
</tr>
<tr>
<td>Contract Administration</td>
<td>____________________</td>
</tr>
</tbody>
</table>

**Preliminary Engineering**

| 14.52  | Project Development Checklist  | Yes _____ No _____ |
| 24    | NEPA Approval                  | Date: / / /  |
| 42    | Design Matrix Checklist        | Yes _____ No _____ |
| 43.1  | Design Approved By:           | Date: / / /  |
| 44.1  | PS&E Approved By:             | Date: / / /  |
| 44.22 | Agency Supplied Materials Approved By: | |
| 44.22 | Sole Source Items             | Yes _____ No _____ |
| 44.22 | Tied Bids Approved By:        | Date: / / /  |

**Advertising and Award**

| 46.21 | FHWA Construction Authorization | Date: / / /  |
| 46.24 | Advertising Dates:  /  to  /  | Yes _____ No _____ |
| 46.24 | Three Week Advertising Period  | Date: / / /  |
| 46.24 | Affidavits of Publication in File | Yes _____ No _____ |
| 46.25 | Bid Opening                    | Date: / / /  |
| 46.26 | Award to Lowest Bidder        | Yes _____ No _____ |
| 46.26 | Were Bid Analysis Conducted Prior to Award | Yes _____ No _____ |
| 46.27 | Award                         | Date: / / /  |
| 46.28 | Contract Execution            | Date: / / /  |
| 46.28 | Contract Award Amount:        | ____________________|
| 46.3  | Value Engineering Study       | Yes _____ No _____ N/A |
| 46.3  | Award Information Transmitted to WSDOT | Yes _____ No _____ |
52 Contract Administration
52.101 First Working Day: __________________________ No. of Working Days: _____
  Were Liquidated Damages Assessed Yes _____ No _____
  No. of Working Days Complete: __________________________
52.2 Preconstruction Conference Minutes Review
  Meeting Held Yes _____ No _____
  Meeting Documented Yes _____ No _____
  Do the Minutes Reflect Discussion Regarding DBE & EEO Requirements Yes _____ No _____
21.1 Changes in Scope, Limits, Character, Cost
  Yes _____ No _____
  If yes, is the NEPA Still Valid Yes _____ No _____
  If yes, is the Design Still in Compliance With ADA Requirements Yes _____ No _____
44.1 Commitment File
  24.94 Environmental and Permit Conditions Met Yes _____ No _____ N/A
25 Right of Way
  Right of Way Acquired Yes _____ No _____
  Right of Way Acquisition Procedures Date: _____/____/____
  Listing of Right of Way Staff Current Yes _____ No _____
25.11 Project Right of Way Certification Date: _____/____/____
52 Administrative Settlements
52.51 Were Any Claims Settled by Administrative Settlement Yes _____ No _____
  Were Claims Submitted to Local Programs Engineer Yes _____ No _____
  Comments: __________________________________________
52.1 Project Diaries and Inspector’s Daily Reports Signed and Reviewed Yes _____ No _____
Payrolls
52.4 Wage Rates Included in Contract Yes _____ No _____
  Certified by Contractor Yes _____ No _____
  Checked and Initialed by Agency Yes _____ No _____
  How Often Were Payrolls Reviewed __________________________
27 EEO Compliance
  27.32 PR-1391 on File and PR 1392 Sent to Region Local Programs Yes _____ No _____ N/A
  Comments: __________________________________________
Training
  Training Goal Set: Hours ____________ Yes _____ No _____
  Training Plan Approved by Agency Yes _____ No _____
  Non-Union Training Plan Approved by FHWA Yes _____ No _____
  Training Goal Met: Hours ____________ Yes _____ No _____
  Comments: __________________________________________
  Were Trainee Interviews Conducted Yes _____ No _____
  Comments: __________________________________________
### Project Management Review

#### Training Start Date: ______________________  Training End Date ______________________

Were Good Faith Efforts Provided When Minority/Female Not Submitted: Yes ____  No ____

If yes, Is There Documentation in the File: Yes ____  No ____

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<tr>
<th>Section</th>
<th>Description</th>
<th>Yes</th>
<th>No</th>
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<tr>
<td>26 DBE Compliance</td>
<td></td>
<td></td>
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<tr>
<td>26.2</td>
<td>DBE Goal Set: %</td>
<td>Yes ____  No ____</td>
<td></td>
</tr>
<tr>
<td>26.2</td>
<td>DBE Condition of Award Amount: $</td>
<td></td>
<td></td>
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<tr>
<td>26.2</td>
<td>How Was DBE Certification Verified Prior to Award</td>
<td></td>
<td></td>
</tr>
<tr>
<td>52.5</td>
<td>Change Orders Affects on DBEs</td>
<td>Yes ____  No ____</td>
<td></td>
</tr>
<tr>
<td>52.5</td>
<td>Change Order Initiated By: Contractor _____  Agency _____</td>
<td></td>
<td></td>
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<tr>
<td>52.5</td>
<td>Comments:</td>
<td></td>
<td></td>
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<tr>
<td>26.2</td>
<td>DBE Goal Changes Approved by WSDOT H&amp;LP</td>
<td>Yes ____  No ____</td>
<td></td>
</tr>
<tr>
<td>26.2</td>
<td>Quarterly Report of Amounts Credited as DBE Participation Sent to Region Local Programs Engineer</td>
<td>Yes ____  No ____</td>
<td></td>
</tr>
<tr>
<td>26.2</td>
<td>Complaints Regarding DBEs or From DBE</td>
<td>Yes ____  No ____</td>
<td></td>
</tr>
<tr>
<td>26.2</td>
<td>If yes, Were the Complaints Submitted to WSDOT</td>
<td>Yes ____  No ____</td>
<td></td>
</tr>
<tr>
<td>26.2</td>
<td>Was Retainage Returned to the Prime for Work Satisfactorily Performed by the Subcontractor</td>
<td>Yes ____  No ____</td>
<td></td>
</tr>
<tr>
<td>26.2</td>
<td>Were Complaints Received From Subcontractors for Prime’s Failure to Pay Promptly or Return Retainage</td>
<td>Yes ____  No ____</td>
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**Contract Completion**

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<tr>
<th>Section</th>
<th>Description</th>
<th>Date: <strong><strong>/</strong></strong>/____</th>
</tr>
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<tbody>
<tr>
<td>52.81</td>
<td>Completion Letter to Contractor Transmitted to Local Programs</td>
<td>Yes ____  No ____</td>
</tr>
<tr>
<td>52.83</td>
<td>End of Project Materials Certification From Project Engineer to Approving Authority</td>
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**Traffic Control**

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<tr>
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<th>Yes</th>
<th>No</th>
<th>N/A</th>
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</thead>
<tbody>
<tr>
<td>44.22e</td>
<td>TCP or K Plans in Contract Adopted by Contractor</td>
<td>Yes ____  No ____</td>
<td></td>
<td></td>
</tr>
<tr>
<td>44.22e</td>
<td>Detour Included in Contract</td>
<td>Yes ____  No ____</td>
<td></td>
<td></td>
</tr>
<tr>
<td>44.22e</td>
<td>If yes, Agreements Included in Contract</td>
<td>Yes ____  No ____  N/A</td>
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**Consultant Agreements**

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<td>Agreement Renewed Prior to Expiration Date</td>
<td>Yes ____  No ____</td>
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<td>Fee Type</td>
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<tr>
<td>Advertisements on File</td>
<td>Yes ____  No ____</td>
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<tr>
<td>Selection Process on File</td>
<td>Yes ____  No ____</td>
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<td>CO #</td>
<td>Verbal App. Date</td>
<td>Written App. Date</td>
<td>Major Items Involved</td>
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<td>------------------</td>
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### Prime and Subcontractor Information

<table>
<thead>
<tr>
<th>Agency</th>
<th>Contract Date</th>
<th>Prime</th>
<th>Subcontractor Information</th>
<th>Request to Sublet</th>
<th>Fed Aid Certification</th>
<th>DBE Review</th>
<th>DBE Affidavit of Wages Paid</th>
<th>Wage Rate Interview</th>
<th>Statement of Intent to Pay Prev. Wages</th>
<th>F700-029-000 Payroll</th>
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<tr>
<td>Prime</td>
<td>1</td>
<td>2</td>
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<td>6</td>
<td>7</td>
<td>8</td>
<td>9</td>
<td>10</td>
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</tbody>
</table>

**Notes:**

- Total Amount Sublet
- % of Contract Sublet (Maximum 70%)
## Materials Documentation Review – Aggregate Item

| Agency: __________________________ | Project Title: ____________________________________________ |
| Federal Aid Number: __________________________ | Date: __________________________ |
| Reviewed by: ____________________________________________ | Material: __________________________ |

| Bid Item: __________________________ | Material: __________________________ |
| Plan Quantity | Revised Quantity | Paid Quantity | Lag Exception Noted | Field Note Record | Approved Source-Pit |
| ROM Maintained | RAM # | Codes | Preliminary Sample | Acceptance Test | Scale Certification |
| Scaleman’s Daily Report | Certified Ticket | Maximum Density Curve | Compaction Test | Small Quantity | Visual Inspection |
| Invoice Date: ________________ | Quantity on Invoice: ________________ | Ticket Verification: ________________ |

**Comments:**

__________________________________________________________________________________________________

__________________________________________________________________________________________________

__________________________________________________________________________________________________

__________________________________________________________________________________________________

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__________________________________________________________________________________________________

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__________________________________________________________________________________________________

Acceptable: ________________  Deficiency as Noted: ________________
# Materials Documentation Review – Asphalt Item

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<thead>
<tr>
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<th>Project Title: ____________________________</th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal Aid Number: __________________</td>
<td>Date: ____________________________</td>
</tr>
<tr>
<td>Reviewed by: ________________________</td>
<td></td>
</tr>
<tr>
<td>Bid Item: ____________________________</td>
<td>Material: ____________________________</td>
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<table>
<thead>
<tr>
<th>Plan Quantity</th>
<th>Revised Quantity</th>
<th>Paid Quantity</th>
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</thead>
<tbody>
<tr>
<td>Lag Exception Noted</td>
<td>Field Note Record</td>
<td></td>
</tr>
<tr>
<td>ROM Maintained</td>
<td>RAM #</td>
<td>Codes</td>
</tr>
<tr>
<td>Qualified Products List</td>
<td>Prelim. Sample-Agg./AC</td>
<td>Acceptance Test-Agg.</td>
</tr>
<tr>
<td>Acceptance Test-AC</td>
<td>Approved Mix Design #</td>
<td>Bill of Lading-AC</td>
</tr>
<tr>
<td>Scale Certification</td>
<td>Scaleman's Daily Report</td>
<td>Certified Ticket</td>
</tr>
<tr>
<td>Lane/Shoulder Breakout</td>
<td>Compaction Test</td>
<td>Small Quantity</td>
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<tr>
<td>Visual Inspection</td>
<td></td>
<td></td>
</tr>
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</table>

Invoice Date: ______________ Quantity on Invoice: ______________ Invoice Verified: ______________

Comments:
__________________________________________________________________________________________________
__________________________________________________________________________________________________
__________________________________________________________________________________________________
__________________________________________________________________________________________________
__________________________________________________________________________________________________
__________________________________________________________________________________________________

Acceptable: ______________ Deficiency as Noted: ______________
Materials Documentation Review – Concrete Item

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<td>Date: ______________________</td>
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<tr>
<td>Reviewed by: ______________________</td>
<td></td>
</tr>
<tr>
<td>Bid Item: ______________________</td>
<td>Material: ______________________</td>
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<table>
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<tr>
<th>Plan Quantity</th>
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</thead>
<tbody>
<tr>
<td>Lag Exception Noted</td>
<td>Field Note Record</td>
<td>RAM #</td>
</tr>
<tr>
<td>ROM Maintained</td>
<td>Approve Source-Pit #/PC</td>
<td>Appr. Source-Mfg. Item</td>
</tr>
<tr>
<td>Prelim. Sample-Agg./PC</td>
<td>Acceptance Test-Agg.</td>
<td>Acceptance Test-Bag PC</td>
</tr>
<tr>
<td>Mill Test Report-Bulk PC</td>
<td>Approved Mix Design #</td>
<td>Cert. of Material Origin</td>
</tr>
<tr>
<td>Certified Ticket</td>
<td>Cylinder/Beam Breaks</td>
<td>Conc. Pipe Acc. Report</td>
</tr>
<tr>
<td>WSDOT Inspected</td>
<td>Small Quantity</td>
<td>Visual Inspection</td>
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</table>

| Invoice Date: ______________________ | Quantity on Invoice: ______________________ | Invoice Verified: ______________________ |

Comments:

Acceptable: ______________________ Deficiency as Noted: ______________________
# Materials Documentation Review – Metal Item

<table>
<thead>
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<tbody>
<tr>
<td>Agency</td>
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<tr>
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<tr>
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<tr>
<td>Date</td>
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<tr>
<td>Reviewed by</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bid Item</td>
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</tr>
<tr>
<td>Material</td>
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<tr>
<td>Plan Quantity</td>
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<tr>
<td>Lag Exception Noted</td>
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<tr>
<td>ROM Maintained</td>
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<tr>
<td>Qualified Products List</td>
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<td>Shop Drawing</td>
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<td>Sign Acceptance Report</td>
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<tr>
<td>Quantity on Invoice</td>
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<td>Ticket Verification</td>
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Acceptable: _______ Deficiency as Noted: _______
## Materials Documentation Review – Wood Item

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<tbody>
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<tr>
<td>Bid Item: ________________________</td>
<td>Material: ___________________________</td>
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<tr>
<td>Plan Quantity _________ Revised Quantity _________ Paid Quantity _________</td>
<td></td>
</tr>
<tr>
<td>Lag Exception Noted _________ Field Note Record _________</td>
<td></td>
</tr>
<tr>
<td>ROM Maintained _________ RAM # _________ Codes _________ Approved Source _________</td>
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</tr>
<tr>
<td>Qualified Products List _________ Preliminary Sample _________ Lbr. Grading Cert. _________</td>
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</tr>
<tr>
<td>Approved for Shipment _________ Small Quantity _________ Visual Inspection _________</td>
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<tr>
<td>Invoice Date: __________________ Invoice Verified: __________________</td>
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<tr>
<td>Quantity on Invoice: ______________</td>
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<tr>
<td>Comments: __________________________________________________________________</td>
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Acceptable: _______________ Deficiency as Noted: _______________
# Materials Documentation Review – Electrical Item

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<tbody>
<tr>
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<td>Date: ____________________________</td>
</tr>
<tr>
<td>Reviewed by: ____________________________</td>
<td>Material: ____________________________</td>
</tr>
</tbody>
</table>

| Bid Item: ____________________________ | Material: ____________________________ |

| Plan Quantity | Revised Quantity | Paid Quantity |__________ |
| Lag Exception Noted | Field Note Record |__________ |
| ROM Maintained | RAM # | Codes | Approved Source |__________ |
| Qualified Products List | Preliminary Sample | Acceptance Test |__________ |
| Mfg. Certificate | Cert. of Material Origin | Shop Drawing |__________ |
| Approved for Shipment | Mill Test Report | Catalog Cut |__________ |
| Small Quantity | Visual Inspection |__________ |

Invoice Date: ________________ Quantity on Invoice: ________________ Ticket Verification: ________________

**Comments:**

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Acceptable: ________________ Deficiency as Noted: ________________
# Materials Documentation Review – All Items

<table>
<thead>
<tr>
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<th>Project Title: __________________________</th>
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</thead>
<tbody>
<tr>
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<tr>
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<tr>
<td>Bid Item: _______________________</td>
<td>Material: ______________________________</td>
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<table>
<thead>
<tr>
<th>Plan Quantity</th>
<th>Revised Quantity</th>
<th>Paid Quantity</th>
<th>Lag Exception Noted</th>
<th>Field Note Record</th>
<th>Approved Source</th>
<th>ROM Maintained</th>
<th>RAM #</th>
<th>Codes</th>
<th>Scale Certification</th>
<th>Approved Mix Design #</th>
<th>Bill of Lading</th>
<th>Preliminary Sample</th>
<th>Acceptance Test</th>
<th>Scaleman’s Daily Report</th>
<th>Mfg. Certificate</th>
<th>Cylinder Breaks</th>
<th>Small Quantity</th>
<th>Visual Inspection</th>
<th>Invoice Date: _____________</th>
<th>Quantity on Invoice: _____________</th>
<th>Invoice Verified: _____________</th>
</tr>
</thead>
</table>

Comments:

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Acceptable: _____________  Deficiency as Noted: _____________
**Bid Item Documentation Review – Mobilization**

<table>
<thead>
<tr>
<th>Agency: ____________________________</th>
<th>Project Title: ____________________________</th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal Aid Number: __________________</td>
<td>Date: ____________________________</td>
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<tr>
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**Standard Specification 1-09.7 Mobilization**

<table>
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<tr>
<th>Contract Bid Amount __________________</th>
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<tr>
<td>5% of Contract Bid Amount __________</td>
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<td>10% of Contract Bid Amount __________</td>
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<tr>
<th>Mobilization Paid on Estimate No. __________</th>
<th>Contract Items Paid That Estimate __________</th>
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<td>Mobilization Paid That Estimate __________</td>
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<td>Contract Items Paid That Estimate __________</td>
<td>Mobilization Paid That Estimate __________</td>
</tr>
</tbody>
</table>

| Mobilization Paid After Substantial Completion | | |
|-----------------------------------------------| | |

**Notes:**

1. When 5 percent of the total original contract amount is earned from other contract items, excluding amounts paid for materials on hand, 50 percent of the amount bid for mobilization, or 5 percent of the total original contract amount, whichever is the least, will be paid.

2. When 10 percent of the total original contract amount is earned from other contract items, excluding amounts paid for materials on hand, 100 percent of the amount bid for mobilization, or 10 percent of the total original contract amount, whichever is the least, will be paid.

3. When the substantial completion date has been established for the project, payment of any amount bid for mobilization in excess of 10 percent of the total original contract amount.

Acceptable ________ Corrections Needed ________