



Saint Louis District
Missouri's Local Program
Missouri's Local Program for Community Development

**Local Public Agency Workshop:
Federal-Aid Construction Process
May 2024**



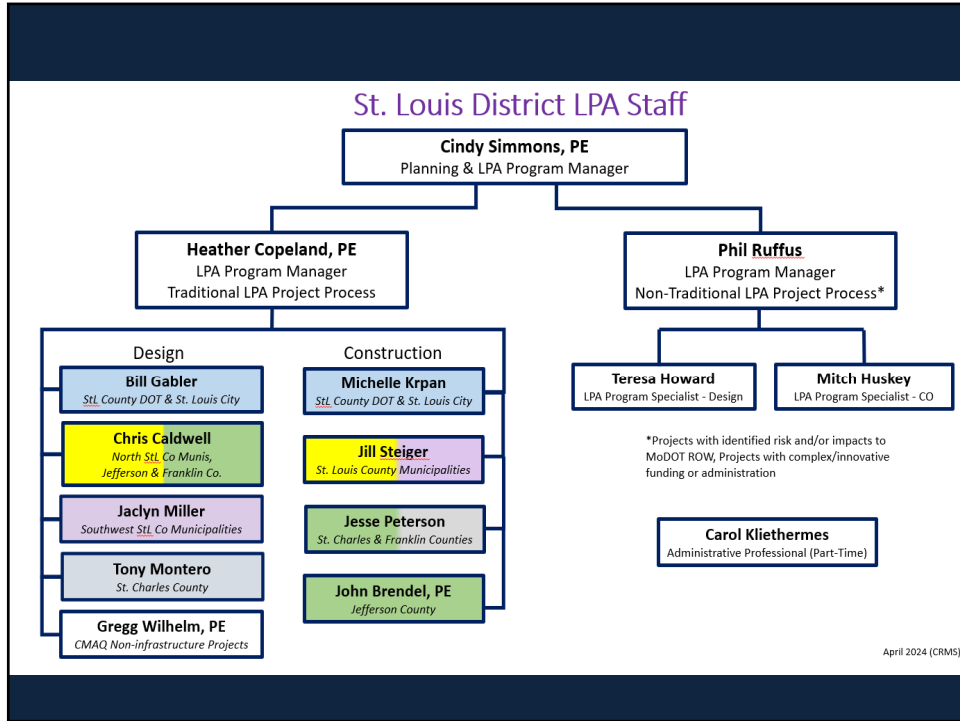
1

Special Thanks To:



EAST-WEST GATEWAY
Council of Governments

2



3

Local Public Agency Construction – BUSY!

Wyncrest Bridge – St. Louis County

Deer Creek Greenway Connector - Brentwood

Little Indian Creek Bridge – Franklin County

MOBILE APPLICATION

DASHBOARD APPLICATION

4

EPG Section 136.11: Local Public Agency Construction

- This section of the LPA Manual has all the rules for constructing a project to qualify for federal funds
- Today's presentation will cover this section in detail
- Ground rules: Ask questions or make comments at anytime today. Make this an interactive training

5

Person in Responsible Charge (Section 136.11.1)

- Must be a full-time public employee or elected official of LPA. Need not be an engineer, cannot be a consultant.
- Online course for certification available 24/7 at: <https://www.modot.org/lpa-basic-training-class-link>
- **Certification** is good for 2 years, and is **required**.

6

Person in Responsible Charge (Section 136.11.1)

Responsibilities:

- Aware of day-to-day operations on the project
- Aware of and involved in decisions about changed conditions that require change orders
- Aware of performance of consultant staff at all stages of the project
- Visits the project on a frequency that is proportionate to the magnitude & complexity of the project

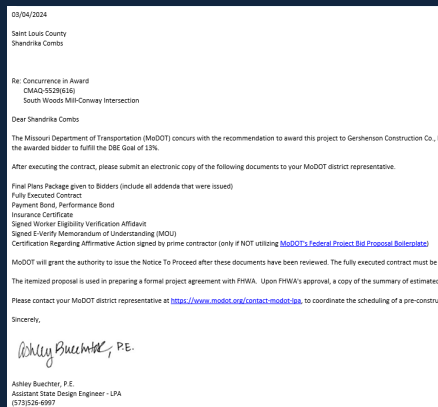
7

Notice to Proceed (Section 136.11.3)

-Once you get this bid concurrence letter, submit the documents noted in the letter.

-The district contact will review for compliance and inform the LPA that they can issue a Notice to Proceed and start construction.

**NO WORK CAN BEGIN UNTIL
MoDOT NOTIFIES THE LPA TO
PROCEED**



8

Preconstruction Meeting (Section 136.11.4)

- MUST BE HELD PRIOR TO WORK STARTING ON THE PROJECT. IF NOT, THE WORK WILL BE CONSIDERED NON-PARTICIPATING.
- LPA, Prime Contractor, & MoDOT shall attend at minimum.
- Meeting agenda includes major items of the contract, JSPs, ADA Checklist and setting a NTP date.
- Send additional submittals to MoDOT district contact (project schedule, proposed tester list & C-220 Forms)

9

Construction Documentation

The following slides highlight **REQUIRED** items for federal-aid projects



10

Initial Data Letter (Section 136.11.4)

Within 2 working days of beginning work, furnish a letter to MoDOT with:

1. Project Identification (i.e. STP-9901(699) Bart Simpson Ave Improvements)
2. Contractor's name and address
3. Construction Inspector's name, address and phone #
4. Name of Person in "Responsible Charge"
5. Name, address, and phone # of local agency's consultant (if applicable)
6. Date of CE contract approval (if applicable)
7. Date of notice to proceed to Contractor
8. Completion date or # of working days
9. Contract amount (\$\$\$\$\$)
10. Location and description of work
11. Date of letting
12. Date of award
13. Date of preconstruction conference
14. Date on which work actually started
15. Summary of Disadvantaged Business Enterprise (DBE) intent

11

Request to Subcontract Work (C-220) (Section 136.11.5)

- LPA shall approve subcontractors before they start completing work onsite.
- C-220 forms shall be collected for all subcontractors except: Professional Services, Hauling, Suppliers and Manufacturers.
- No minimum dollar amount to require a C-220.
- **FHWA 1273 MUST PHYSICALLY BE INSERTED INTO THE SUBCONTRACTS.**

REQUEST FOR APPROVAL OF SUBCONTRACT

Federal Project Number: _____
 State: _____
 County/City: _____
 TO: _____
(County/City Representative)

We request County/City approval to subcontract the items of work listed on the back of this form to:

Subcontractor: _____ The Subcontractor is classified:
 Address: _____ Non-DBE
 Telephone: _____ DBE

By signing below, I certify that the subcontract agreement with the proposed subcontractor includes provisions to comply with all requirements of the contract identified above, and for Federal-aid projects, Form FHWA-1273 has been physically inserted into the subcontract agreement. This request must include a completed DBE Subcontract Worksheet (Fig 136.11.5), Subcontractor Certification Regarding Affirmative Action Form (Fig 136.11.6) and the name, address, and telephone number of the subcontractor's SDC Officer on the subcontractor's letterhead.

Respectfully submitted,

(Contractor)

By _____ Date _____

This portion to be completed by County/City

| PREVIOUSLY APPROVED SUBCONTRACTORS | TYPE OF WORK |
|------------------------------------|--------------|
| 1. _____ | _____ |
| 2. _____ | _____ |
| 3. _____ | _____ |
| 4. _____ | _____ |
| 5. _____ | _____ |
| 6. _____ | _____ |
| 7. _____ | _____ |
| 8. _____ | _____ |
| 9. _____ | _____ |
| 10. _____ | _____ |
| 11. _____ | _____ |
| 12. _____ | _____ |
| 13. _____ | _____ |
| 14. _____ | _____ |
| 15. _____ | _____ |

COUNTY/CITY APPROVAL

Approval - County/City Representative _____ Date _____
Distribution after approval:
 Contract, County/City Rep. _____ Subcontractor Number: _____

Fig. 136.11.4

12

Request to Subcontract Work (C-220) (Section 136.11.5)

- 2nd Tier subcontracting is now allowed **NEW!**
 - A separate C-220 is required for 2nd tier subcontracting requests (submitted by Prime)
 - List the work items for the 1st tier subcontractor as well as all work sublet to the second sub.

13

Documentation Requirements (Section 136.11.13.1 & 11.13.2)

Daily Field Diary & Payment Diary:

- Handwritten (ink not pencil) in a bound field book or
- Electronic and part of electronic construction management software system. (not Excel/Word sheets saved as PDF's)

EPG Section 136.11.13.1:

"If electronic systems are used, a secure back up shall be maintained. Any electronically generated diaries must be kept in a software system which meets the following criteria:

1. Shall not have the capability of deleting any diary information
2. Changes to diary entries shall be documented using EPG process

It is the LPA's responsibility to ensure electronic diary system meets these requirements. MoDOT / FHWA may review diaries anytime. **If it is determined changes to diary entries were deleted or in any other way compromised**, the LPA may lose all federal funding for the project.

14

Documentation Requirements (Section 136.11.13.1 & 11.13.2)

Information Included in [Daily](#) Diary:

- Includes facts; not opinions
- Date
- Weather
- Running total of contract time
- Contractor forces and work completed (provide details, be specific)
- Notes from the day (visitors, accidents etc.)
- Signature of Inspector

15

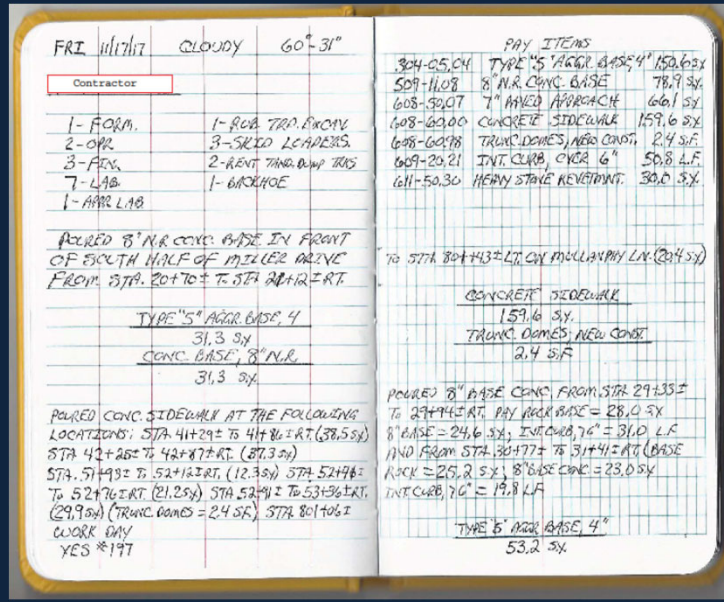
Documentation Requirements (Section 136.11.13.1 & 11.13.2)

Information Included in [Payment](#) Diary:

- Date
- Location of the installed work
- Quantity of work installed on that day
- Running total
- Pertinent calculations or measurements
- Notes (certifications received, material testing accepted/rejected)

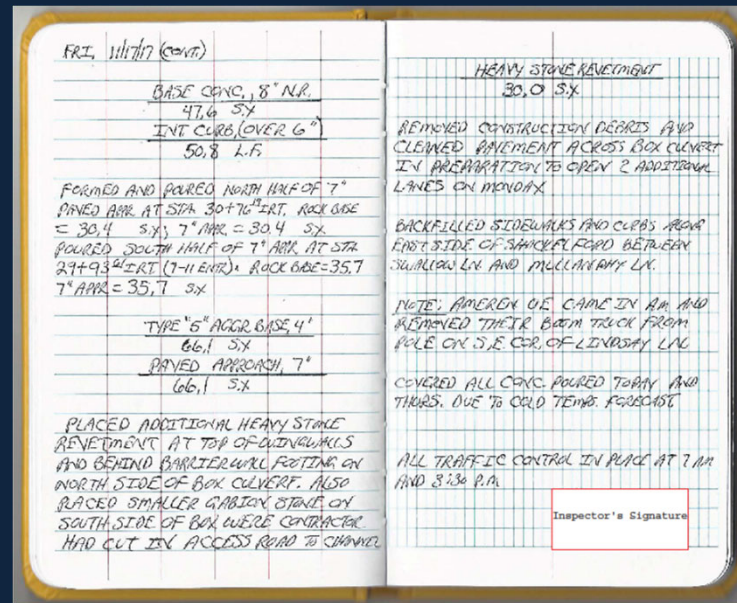
16

Field/Payment Book Example



17

Field/Payment Book Example



18

Field/Payment Book Example

Master Index

| | |
|--|--|
| <p>Item # 903-12.70A ✓ Line # 1460 ✓</p> <p>PERFORATED SQUARE STEEL</p> <p>TUBE POST, 2 IN., 12 GA</p> <p>Plan Quantity = 451 LF ✓</p> <p>Change Order # 6, 16 ✓</p> <p>Final Pay = 425 ✓ LF</p> <p>Book # 12 ✓ Page # 12-23 ✓</p> <p>Comp. By: <i>[Signature]</i> Date: 5/25/11 ✓</p> <p>Chk'd. By: <i>[Signature]</i> Date: 5/25/11 ✓</p> <p>Doc. Record # <i>N/A</i> 28 Sheet # 62 ✓</p> | <p>Item # 903-50.04 ✓ Line # 1480 ✓</p> <p>TYPE SHRZL - 1 SIGN</p> <p>Plan Quantity = 473 SOFT ✓</p> <p>Change Order # 6, 16 ✓</p> <p>Final Pay = 473 ✓ SOFT</p> <p>Book # 12 ✓ Page # 30-32 ✓</p> <p>Comp. By: <i>[Signature]</i> Date: 5/25/11 ✓</p> <p>Chk'd. By: <i>[Signature]</i> Date: 5/25/11 ✓</p> <p>Doc. Record # <i>N/A</i> 28 Sheet # 61 ✓</p> |
|--|--|

Pay Diary

MISC. SPECIAL SIGNING
ALTERNATE ROUTE SIGNS
12 SIGN @ 13.50 /EA
PQ. = 274 SF

| DATE | PLACED | EXH. | (SF) | (SF) | ROADWAY | STA. | LOC. | DIST. | TYPE |
|---------|--------|------|------|-------|---------|-----------------------------------|------|-------|------------|
| 4/08/10 | 1 | 13.5 | 13.5 | 13.5 | B | WB DORSETT (AMERICAN FAMILY SW) | | | BR2 S.C.B. |
| 4/08/10 | 1 | 13.5 | 13.5 | 39.0 | A | WB DORSETT (VALVOLINE OIL CHANGE) | | | BR2 S.C.B. |
| 4/08/10 | 1 | 13.5 | 13.5 | 58.5 | B | SB SCHULTZ (NORTH OF FEE FEE) | | | BR2 S.C.B. |
| 4/08/10 | 1 | 13.5 | 13.5 | 78.0 | B | SB SCHULTZ (NORTH OF ADIE RD) | | | BR2 S.C.B. |
| 4/08/10 | 1 | 13.5 | 13.5 | 97.5 | B | SB SCHULTZ (NORTH OF WINDING SW) | | | BR2 S.C.B. |
| 4/08/10 | 1 | 13.5 | 13.5 | 117.0 | C | SB SCHULTZ (NORTH OF PAUL) | | | BR2 S.C.B. |
| 4/08/10 | 1 | 13.5 | 13.5 | 136.5 | B | SB MCKELVEY (NORTH OF BOSTON) | | | BR2 S.C.B. |
| 4/08/10 | 1 | 13.5 | 13.5 | 156.0 | B | SB MCKELVEY (NORTH OF BOSTON) | | | BR2 S.C.B. |
| 4/08/10 | 1 | 13.5 | 13.5 | 175.5 | B | SB MCKELVEY (NORTH OF BOSTON) | | | BR2 S.C.B. |
| 4/08/10 | 1 | 13.5 | 13.5 | 195.0 | B | SB BENNINGTON (NORTH OF BOSTON) | | | BR2 S.C.B. |
| 4/08/10 | 1 | 13.5 | 13.5 | 214.5 | A | SB BENNINGTON (364 EB ON RAMP) | | | BR2 S.C.B. |
| 4/08/10 | 1 | 13.5 | 13.5 | 234.0 | C | EB DORSETT G1-33 RT | | | BR2 S.C.B. |

TIP: NHI (National Highway Institute) website has training for improving daily diaries.

19

Other Federal Documentation

- Required to be kept with the project file.
- Available for review by MoDOT or FHWA at any point during the project and up to 3 years after final voucher.

Documentation Includes:

- Information Poster (Section 136.11.6)
- Disadvantaged Business Enterprise (DBE) (Section 136.11.8)
- Commercially Useful Function (CUF) (Section 136.11.9)
- On-the-job Training (OJT) (Section 136.11.10)
- Erosion Control (Section 136.11.13.4)
- Labor Records (Section 136.11.14.1)
- Labor Interviews (Section 136.11.14.2)
- Change Orders (Section 136.11.15)
- Buy America Certification (Section 136.11.17)

20

Information Poster (Section 136.11.6)

- Completed by the LPA at the beginning of the project and every other month until the project is accepted.
- Make sure the board is within the project limits, visible and accessible 24/7.
- All documents found in EPG Section 110.2

| REPORT OF ON-SITE BULLETIN BOARD INSPECTION | | | | | | | | | | | |
|---|-------------------|-----------------------|---|---|-----|---|----------------|---|---|---|---|
| Date: | Prime Contractor: | | | | | | | | | | |
| Job Number: | Route: | County: | | | | | | | | | |
| BULLETIN BOARD REQUIREMENTS | | | | | | | | | | | |
| Was bulletin board clearly accessible? | N/A | Y | N | Are documents water stained/faded? | N/A | Y | N | | | | |
| Was bulletin board at eye level? | | | | Are documents clearly read? | | | | | | | |
| Was bulletin board within job limits? | | | | Printer style/bulletin boards are NOT acceptable | | | | | | | |
| Was bulletin board covered with: Plastic? | Fluoro? | Glass? | | Are Documents Stacked? | | | OR Spread Out? | | | | |
| POSTERS REQUIRED ON BULLETIN BOARD - Federal AM Projects | | | | | | | | | | | |
| NOTICE: Contractors with a significant portion of workers not literate in the English language must post the FMLA & Federal labor law notices (posters 9 & 10) in languages that workers are literate in. | | | | | | | | | | | |
| (1) Equal Employment Opportunity (EEO) Policy (Current) prime/subs over \$10,000 posted individually (8 ½ x 11) | | | | | | | | Y | N | | |
| (2) Letter Appointing EEO Officer (Current) (8 ½ x 11) | | | | | | | | | | | |
| (3) Know Your Rights: Workplace Discrimination is Illegal (rev. 06-23) (8 ½ x 11) | | | | | | | | | | | |
| (4) Employee Rights Under the Davis-Bacon Act • WH-1321 (rev. 10-17) (11 x 17) | | | | | | | | | | | |
| (5) Job Safety & Health Protection • OSHA 3165 (rev. 04-19) (8 ½ x 11) | | | | | | | | | | | |
| (6) Employee Rights for Workers with Disabilities Paid at Subminimum Wages • WH-1284 (rev. 01/18) (8 ½ x 11) | | | | | | | | | | | |
| (7) Your Rights - Federal Minimum Wage • WH-1088 (rev. 07-16) (8 ½ x 11) | | | | | | | | | | | |
| (8) Notice to Employee Polygraph Protection Act • WH-1462 (rev. 07-16) (11 x 17) | | | | | | | | | | | |
| (9) Your Rights Under Family & Medical Leave Act of 1993 • WH-1420 (rev. 04-16) (8 ½ x 11) | | | | | | | | | | | |
| (10) NOTICE - FHW 1022 Table 18 (rev. 05-15) (8 ½ x 14) | | | | | | | | | | | |
| (11) Federal Wage Rate (Order/Determination) MO Wage Order No. _____ (RSMO.290.290) Complete wage order shall be on bulletin board or located in the trailer. If the complete order is located in the trailer, a copy of the page listing the crafts for the county shall be posted on the board as well as reference to the complete order being located in the trailer. (8 ½ x 11) | | | | | | | | | | | |
| (12) The Uniformed Services Employment and Reemployment Rights Act (USERRA) (rev. 4-17) (Accept 7/08 & 10/08) | | | | | | | | | | | |
| (13) Pay Transparency Nondiscrimination Provisions (rev. 1-16) (8 ½ x 11) | | | | | | | | | | | |
| (14) Employee Rights Under the National Labor Relations Act (rev. 05-22) (11 x 17) | | | | | | | | | | | |
| POSTERS REQUIRED ON BULLETIN BOARD - State Aid Projects (Must also be included in Federal Aid Projects) | | | | | | | | | | | |
| (15) Discrimination in Employment is Prohibited by Law in Missouri • MCHR-9 (rev. 10-21) (8 ½ x 11) | | | | | | | | | | | |
| (16) Worker's Compensation Law • WC 106 (rev. 07-19) (8 ½ x 11) | | | | | | | | | | | |
| (17) Storm Water Permit Signs (8 ½ x 11) | | | | | | | | | | | |
| (18) Unemployment Benefit Law • MO/DES - B-2 (rev. 11-20) (8 ½ x 11) | | | | | | | | | | | |
| (19) Missouri Minimum Wage • LS-52 (rev. 11-23) (8 ½ x 11) | | | | | | | | | | | |
| (20) Notice to Victims of Domestic and Sexual Violence Leave Time Allowed • LS-112 (rev. 01-23) (8 ½ x 11) | | | | | | | | | | | |
| Findings | | | | | | | | | | | |
| Was the Bulletin Board in compliance? | Y | N | | If negative, was the contractor notified? (See Below) | | | | | | Y | N |
| Inspector Notified Contractor Staff | | | | Comments/Remarks: | | | | | | | |
| Inspector Name: | | | | | | | | | | | |
| Distribution: File | eProject | External Civil Rights | | | | | | | | | |

21

Information Poster (Section 136.11.6)

Common Errors:

- Using MoDOT's Storm Water Permit and not the LPA's
- Not providing the most current version of the posters.
- Bulletin Board does not include EEO Policy for subcontractors

(1) Equal Employment Opportunity (EEO) Policy
(Current) prime/subs over \$10,000 posted individually (8 ½ x 11)

- FULL Wage Order not provided

(17) Federal Wage Rate (Order/Determination)
MO Wage Order No. _____ (RSMO.290.290)

Complete wage order shall be on bulletin board or located in trailer. If complete order located in the trailer, a copy of the page listing the crafts for the county shall be posted on the board as well as reference to the complete order being located in the trailer. (8 ½ x 11)

22

Information Poster (Section 136.11.6)

Common Errors or Questions:

Blank FHWA 1022 form.
Need to provide MoDOT and FHWA contact information to the form.



The image shows a notice form titled "NOTICE" with the FHWA logo. The text on the form reads: "The highway construction underway at this location is a Federal or Federal-aid project and is subject to applicable State and Federal laws, including Title 18, United States Code, Section 1020, which reads as follows: 'Whoever, being an officer, agent, or employee of the United States, or any State or Territory, or whoever, whether a person, association, firm or corporation, knowingly makes any false statement, false representation or false report as to the character, quality, quantity, or cost of the material used or to be used, or the quantity or quality of the work performed or to be performed, or the costs thereof in connection with the submission of plans, maps, specifications, contracts, or costs of construction of any highway or related project submitted for approval to the Secretary of Transportation, or 'Whoever, knowingly makes any false statement, false representation, false report, or false claim with respect to the character, quality, quantity or cost of any work performed or to be performed, or materials furnished or to be furnished, in connection with the construction of any highway or related project approved by the Secretary of Transportation; or 'Whoever knowingly makes any false statement or false representation as to a material fact in any statement, certificate, or report submitted pursuant to the provision of the Federal Aid Road Act approved July 11, 1916 (39 Stat. 355) as amended and supplemented, 'Shall be fined under this title or imprisoned not more than five years, or both.' Any person having reason to believe this statute is being violated should report the same to the agency representative(s) named below." At the bottom, there are three boxes for "State Transportation Agency", "U.S. Department of Transportation" (with hotline 1-800-424-9071), and "Federal Highway Administration Division Administrator". The footer says "FHWA Form 1022 (Revised May 2015)".

23

DBE Information (Section 136.11.8)

DBE compliance = use DBEs as shown in the contract

Substituting/adding a DBE subcontractor must be approved by MoDOT ECR beforehand.

Complete the DBE substitution form and submit to MoDOT district contact for processing.



24

CUF Form (Section 136.11.9)

- Completed by the LPA or their delegated rep for each DBE subcontractor on the project.
- If the prime contractor is a DBE then a CUF form shall be completed for them.
- LPA signs the form in the “MoDOT Representative” space.

CUF Field Review – Inspector to Complete

Contract ID: _____ Job No.: _____ Date: _____
 Prime Contractor: _____ DBE Contractor: _____
 Type of Work Being Performed Today: _____
 DBE Representative: _____
 DBE Representative Reports to: _____

Fully complete the form, mark N/A where section does not apply to DBE firm.

Manufacturers – a DBE fabricates an item, which may include installation.

1. Who arranges the delivery of materials? List employee name: _____
 2. Who schedules the delivery of materials? List employee name: _____
 3. At what facility are product(s) manufactured at? _____
 4. Who ensures product quality? List employee name: _____
 N/A

Furnish & Install (Traffic Control, Guardrail, Striping, Landscaping, Electrical, rebar, curb/gutter, Sidewalks, etc.)

1. Has the firm owner been present on the jobsite?
 Yes No Owner Name: _____
 2. Who is present on the job site today? Provide first and last names of everyone present on the site. _____
 3. Do you have equipment (trucks, heavy equipment, distribution) on the job site today?
 Yes, if yes, are they Leased or Owned? Don't Know
 No Don't Know
 4. Are there any subcontractors working under this company? No
 Yes Name of Firm: _____
 N/A

Truckers – typically hauling asphalt mix, dump trucking, and removals.

1. List Driver names: _____
 2. List license plate #'s: _____
 3. Are your trucks/trailers Leased or Owned? Don't Know
 4. Are there any truckers working under this company as a second tier subcontractor? No
 Yes Name of Firm: _____
 N/A

Material Suppliers – aggregate, steel/rebar, pipe, liquid asphalt, electrical, lighting/signals – no installation.

1. What products do you supply? _____
 2. Which manufacturer(s) do you purchase products from? _____
 3. If you have a warehouse, is it open to the public? Yes No
 a. if so, what are the hours? _____
 4. Who arranges material delivery? _____
 5. Who delivers materials to project sites? _____
 6. What equipment is used to deliver material? _____

Project on-site

7. Who delivered today's materials? Employee(s): _____
 8. License Plate #'s: _____
 9. What products were supplied for this project? _____
 10. What facility were the materials picked up from? _____
 11. Are your trucks/trailers Leased or Owned? Don't Know
 N/A

Rev. 10/20/21

CONTINUE TO BACK & COMPLETE FIELD OBSERVATION REVIEW ➔

25

On-the-job Training (Section 136.11.10)

- Trainee costs are reimbursable with federal \$\$\$. Contract change order needs to document the payment.
- All training goals are established by the MoDOT External Civil Rights Division prior to letting.
- Trainee information must be documented on OJT-1, OJT-2, OJT-3 and OJT-6 forms. These forms and additional information can be found in the LPA Manual (EPG).

26

Erosion Control (Section 136.11.13.4)

- What does your SWPPP say?
- Inspections completed every 7 days unless a runoff event
- Findings of inspections documented in a report
Deficiencies shall be fixed by the contractor within 7 calendar days of receipt
- LPA **shall ensure** that all pollution control measures and systems are in good order to achieve compliance

**MISSOURI DEPARTMENT OF TRANSPORTATION
LAND DISTURBANCE INSPECTION RECORD**

Inspection Date: _____ Inspection Record No.: _____
 Project Number: _____ County: _____ Route: _____

Inspection Type: Walks Post-Runoff (Total Precip (in): _____ Precip Duration (hrs): _____
 Other: _____

Total Disturbed Acreage on the Project: _____ Total Authorized Acreage on the Project: _____

Are there BMP deficiencies/other matters requiring corrective action, modification or installation within this report? Yes No

Land Disturbance Inspection Checklist

| | Yes | No | NA |
|---|--------------------------|--------------------------|--------------------------|
| 1. Current and updated SWPPP site map on site when the erosion & sediment control inspector is on site and a copy access to the contractor? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Permit public notification signs posted and visible to the public? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Are all erosion and sediment control BMPs properly installed, maintained, functioning as intended according to the SWPPP and depicted on the site map? (If "No" - explain deficiencies below (use add. pages if needed)) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Are BMPs in place to protect streams, wetlands and other environmentally sensitive areas from pollutants? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. Is trackout controlled at project entrance/exit points? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 6. Are active stormwater sediments susceptible to receiving sediment properly protected? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 7. Does the project have a dewatering plan? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 8. Are dewatering operations effectively removing pollutants from the water? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 9. Are litter, construction debris, fuels, lubricants and other construction chemicals controlled? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 10. Have all temporary BMPs that are no longer necessary been removed and removed/deposited on the site map? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 11. Have all deficiencies from the last report been corrected as "No"? If not, provide an explanation of all issue site conditions and attach photo evidence. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 12. Other: _____ | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Explanation of checklist items identified above (use additional pages if needed): _____

Describe areas where land disturbance activities have temporarily or permanently ceased. (Excluding weather shutdowns) Describe how these areas have been or will be stabilized. _____

Provide a brief description of the current project status with regard to erosion and sediment control and the effectiveness of BMPs (use additional pages if needed): _____

Has the job reached final stabilization in accordance with the permit? Yes No

Inspector Name: _____ Inspector Signature: _____ Date: _____
 RE Name: _____ RE Signature: _____ Date: _____

Distribution: Contractor (Hard Copy) or Electronic
 Save to V-Contract Information Archive & keep hard copy with inspector

27

Labor Records (Section 136.11.14.1)

Certified Payrolls:

- A certified copy of each weekly payroll must be submitted by the prime contractor within 7 days of the payment date of the payroll.
- The prime contractor is responsible for submittal of payrolls for all their subcontractors.
- The LPA is responsible for reviewing and checking the submitted payrolls. Rule of thumb is 50%.
- Payrolls shall be stored in the project file and be available if requested by MoDOT or FHWA.
- The certified payrolls will be utilized to check the Wage Interview form.

28

Labor Interviews (Section 136.11.14.2)

- One wage rate interview on the project every 2 weeks.
- Prime or sub’s workforce
- Pick different workers until the end of the project
- Complete the office portion when the certified payroll is received.
- Inform prime contractor if prevailing wages are not being paid.

Employee Interview
Labor Compliance / EEO

COMPANY: _____

Job Number: _____ Contract ID: _____ Contractor's Name: _____ Prime Subcontractor: _____ Agency: _____

LABOR CLASSIFICATION

Employee's Name: _____ Job Classification (Title): _____ Pay Per Hour: \$ _____ Are you an apprentice? (Yes/No) _____
(Please specify job assignment)

Work being performed at time of interview: _____
(Offer as much clarity as possible)

EEO COMPLIANCE

Female: African American (Not of Hispanic Origin): Hispanic American: Native American: Two or More:
(Check all that apply)

Describe the type of work you have been performing this past week: _____

Do you have control of these workers? Yes No Do you work contractually? Yes No If yes, explain below: _____

Are you paid time & half for overtime? Yes No If yes, explain below: _____

Explanation: _____

Has your employer directed your attention to the required wage rate posted on this project? Yes No
 Have you been there previously? Yes No If no, explain below: _____

Is working without from your checkbook when Income Tax, FICA, etc.? Yes No If no, explain below: _____

Explanation: _____

Are you aware of the Contractor's Equal Employment Opportunity (EEO) and Sexual Harassment Policies? Yes No
 Does the Contractor hold regular meetings to discuss these policies? Yes No If no, how often: _____

Who conducts these meetings? _____ Who is the EEO Officer for your employer? _____

Who is the company contact if you have a complaint? _____

Are you interested in, or has your employer informed you of, working possibilities? Yes No If yes, explain below: _____

EMPLOYEE COMMENTS

Comments: _____

INTERVIEWER COMMENTS

Comments: _____

Interviewer Name: _____ Date of interview: _____

OFFICE REVIEW/ADMINISTRATIVE ACTION

Is this Certified Payroll? _____

Job Classification: _____ Discrepancy? Yes No If yes, itemize the discrepancy: _____

Rate: _____

Prevailing Wage: _____

Project Number: _____ Paid or Cash: _____ Paid to Whom: _____

Other action was taken? _____

Reviewed by: _____

Name: _____ External Civil Rights: _____ FIC: _____ Date action taken: _____

Form: 10-136.11.14.2 (Rev. 02/2014)

29

Change Orders (Section 136.11.15)

- A change order is required to document contract changes such as increase/decrease of quantities, time extensions and changes in contract language.
- Items shall be listed in the order as they appear in the contract.
- Every item on the change order will need to be separate; no combination of items.
- A contingent item requires two estimates for approval. The contractors estimate and the independent estimate by the LPA.
- Change order reasons shall be accurate and complete. Using the Who, What, When, Where and Why process to formulate a reason when applicable. Avoid using “routine adjustment” or “reflects actual field quantity” unless it’s a small change.

30

Change Orders (Section 136.11.15)

- **REMEMBER:** Discuss possible changes with your district contact before implementing them in the field. Allows LPA to know if the changes will be eligible for federal reimbursement.
- A Lump Sum item cannot be increased or decreased. A Lump Sum will always be the whole value of 1 LS. In order to change the Lump Sum price it will have to be zeroed out and added back to the contract at the new agreed price or a contingent item will be needed to increase or decrease that line item.
- All change orders (Level 1, 2 & 3) require a signature from MoDOT to complete the change order process.
- Only after MoDOT approves the change order will costs related to the change order be reimbursable.

31

Buy America (Section 136.11.17)

- Buy America is a federal requirement.
- Recently expanded under Build America Buy America (BABA) Act. Along with iron and steel products, BABA has requirements for additional construction materials and manufactured products that must comply with Buy America.
- Buy America certs to be provided by the contractor before incorporating products in the project.
- Comply with the Buy America JSP in the contract

32

Reimbursements (Section 136.13.3)

- Submit to MoDOT once a month. No financial activity for 6 months puts the project on the FHWA financial inactive list.
- Provide all backup documents to support the request.
 - ✓ Construction Estimates
 - ✓ Invoices for stockpiled materials
 - ✓ Payroll information for wages (CE consultant or In-House CE)
 - ✓ Invoices for Direct Costs (CE Engineering Service Contract)
- PLEASE review for accuracy prior to submitting.
- Process CE Consultant, CE In-House and Construction related costs.

33

Summary Of Estimated Costs

Reimbursable Categories

Left side of Cost Summary under Proposed Work

Proposed Work

- R/W
- PRELIMINARY
- ENGINEERING
- ROADWAY
- SAFETY ITEMS
- BIKE/PED
- CE - CONSULTANT
- LANDSCAPING
- UTILITIES

| SUMMARY OF ESTIMATED COST | | FEDERAL I.D. NO.: STP 5408606 | | TIP No: 5612-12 | |
|--|---|---------------------------------------|-----------------------------------|---------------------|--------------------|
| Job No. | Exempt | Date Submitted: 09/10/2015 | Date Approved: 09/14/2015 | | |
| Consultant: | Contractor: RV WAGNER CONTRACTING | PE Auth: 06/28/2012 | ROW Auth: 04/10/2013 | | |
| NBI Number: | Program Type: Surface Transportation Program - GT | Const. Auth: 06/27/2013 | BI Award: 06/14/2015 | | |
| DBE Number: 12 | 25% | Other Auth: | NEPA: 11/10/2011 | | |
| MPO: EWG | 200 Pkwa Code: 31275C | PER Agreement: 92% NTE \$1,603,000.00 | ROW Clearance: 09/02/2014 | | |
| Obilig Reason: BID AWARD | | County: ST. LOUIS | End Date: 01/31/2017 | | |
| Project Description: HAZELWOOD, ROAD RECONSTRUCTION ON FEE FEE RD FROM MCCONNELL BLVD 0.3 MILES SOUTH, 5619-12 | | | Local Agency: EWG STP - MoDOT IOU | | |
| Proposed Work | Total Cost | Imp. Type | M24E(80%) | H230(80%) | L230(80%) |
| R/W | 28,000.00 | 14 | 0.00 (0.00%) | 0.00 (0.00%) | 22,400.00 (80.00%) |
| PRELIMINARY | 163,723.73 | 15 | 0.00 (0.00%) | 130,979.03 (80.00%) | 0.00 (0.00%) |
| ENGINEERING | | | | | |
| ROADWAY | 775,338.10 | 04 | 620,275.48 (80.00%) | 0.00 (0.00%) | 0.00 (0.00%) |
| SAFETY ITEMS | 87,417.20 | 23 | 65,933.76 (80.00%) | 0.00 (0.00%) | 0.00 (0.00%) |
| BIKE/PED | 27,861.80 | 28 | 22,289.44 (80.00%) | 0.00 (0.00%) | 0.00 (0.00%) |
| CE - CONSULTANT | 78,651.29 | 17 | 62,921.03 (80.00%) | 0.00 (0.00%) | 0.00 (0.00%) |
| LANDSCAPING | 124,444.40 | 31 | 99,555.52 (80.00%) | 0.00 (0.00%) | 0.00 (0.00%) |
| UTILITIES | 33,000.92 | 43 | 26,404.74 (80.00%) | 0.00 (0.00%) | 0.00 (0.00%) |
| TOTAL FOR AGREEMENT | 1,318,442.90 | | 991,374.97 | 130,979.03 | 22,400.00 |
| TOTAL FEDERAL: | 1,064,754.00 | | | | |

34

Summary Of Estimated Costs, Cont. Reimbursable Percentage

| SUMMARY OF ESTIMATED COST | | FEDERAL I.D. NO.: STP 5408606 | | TIP No: 5612-12 | |
|--|---|-------------------------------|-----------------------------------|---------------------------|-----------------------|
| Job No. | Exempt | Date Submitted: 09/10/2015 | Date Approved: 09/14/2015 | ROW Auth: 04/15/2013 | BID Award: 09/14/2015 |
| Contractor: R/V WAGNER CONTRACTING | Program Type: Surface Transportation Program - GT Const. Auth: 05/27/2015 | PE Auth: 06/28/2012 | NEPA: 11/10/2011 | ROW Clearance: 09/02/2014 | End Date: 01/31/2017 |
| NBI Number: | 200K | Other Auth: | Local Agency: EWG STP - MoDOT IOU | | |
| DBE Number: 12 | DBE Race Code: 31276C | 10644: 08/29/2012 | | | |
| MPO: EWG | PER Agreement: 80% NTE \$1,603,200.00 | | | | |
| Oblig Reason: BID AWARD | County: ST. LOUIS | | | | |
| Project Description: HAZELWOOD, ROAD RECONSTRUCTION ON FEE FEE RD FROM MCDONNELL BLVD 0.3 MILES SOUTH; 6619-12 | | | | | |

This percentage shall be used for reimbursement requests per FHWA.

Adjustments made on final invoice.

| Proposed Work | Total Cost | Imp. Type | M24E(80%) | H230(80%) | L230(80%) | LOCAL FUNDS |
|-------------------------|------------|-----------|---------------------|---------------------|--------------------|-------------|
| R/W | 28,000.00 | 16 | 0.00 (0.00%) | 0.00 (0.00%) | 22,400.00 (80.00%) | 5,600.00 |
| PRELIMINARY ENGINEERING | 163,723.79 | 15 | 0.00 (0.00%) | 130,979.03 (80.00%) | 0.00 (0.00%) | 32,744.76 |
| ROADWAY | 775,336.10 | 04 | 620,270.48 (80.00%) | 0.00 (0.00%) | 0.00 (0.00%) | 155,065.62 |
| SAFETY ITEMS | 87,417.20 | 21 | 69,933.76 (80.00%) | 0.00 (0.00%) | 0.00 (0.00%) | 17,483.44 |
| BIKE/PED | 27,861.80 | 28 | 22,289.44 (80.00%) | 0.00 (0.00%) | 0.00 (0.00%) | 5,572.36 |
| CE - CONSULTANT | 78,651.29 | 17 | 62,921.03 (80.00%) | 0.00 (0.00%) | 0.00 (0.00%) | 15,730.26 |
| LANDSCAPING | 124,444.40 | 31 | 99,555.52 (80.00%) | 0.00 (0.00%) | 0.00 (0.00%) | 24,888.88 |
| UTILITIES | 33,005.92 | 43 | 26,404.74 (80.00%) | 0.00 (0.00%) | 0.00 (0.00%) | 6,601.18 |

| M24E(80%) | H230(80%) | L230(80%) |
|--------------|---------------------|--------------------|
| 0.00 (0.00%) | 0.00 (0.00%) | 22,400.00 (80.00%) |
| 0.00 (0.00%) | 130,979.03 (80.00%) | 0.00 (0.00%) |

35

Summary Of Estimated Costs Reimbursable Federal Funds

PER Agreement: 80% NTE \$1,603,200.00

NTE is the max amount of federal funding per the Project Agreement.

| SUMMARY OF ESTIMATED COST | | FEDERAL I.D. NO.: STP 5408606 | | TIP No: 5612-12 | |
|--|---|-------------------------------|-----------------------------------|---------------------------|-----------------------|
| Job No. | Exempt | Date Submitted: 09/10/2015 | Date Approved: 09/14/2015 | ROW Auth: 04/15/2013 | BID Award: 09/14/2015 |
| Contractor: R/V WAGNER CONTRACTING | Program Type: Surface Transportation Program - GT Const. Auth: 05/27/2015 | PE Auth: 06/28/2012 | NEPA: 11/10/2011 | ROW Clearance: 09/02/2014 | End Date: 01/31/2017 |
| NBI Number: | 200K | Other Auth: | Local Agency: EWG STP - MoDOT IOU | | |
| DBE Number: 12 | DBE Race Code: 31276C | 10644: 08/29/2012 | | | |
| MPO: EWG | PER Agreement: 80% NTE \$1,603,200.00 | | | | |
| Oblig Reason: BID AWARD | County: ST. LOUIS | | | | |
| Project Description: HAZELWOOD, ROAD RECONSTRUCTION ON FEE FEE RD FROM MCDONNELL BLVD 0.3 MILES SOUTH; 6619-12 | | | | | |

Total Federal = amount of obligated federal funds

| | |
|-----------------------------|--------------|
| TOTAL FOR AGREEMENT | 1,318,442.50 |
| TOTAL FEDERAL: 1,054,754.00 | |

36

Other Topics of Discussion

Document Retention (Section 136.11.13.7)

- The LPA shall maintain all books, documents, papers, accounting records and other evidence pertaining to the costs incurred **for a total of 3 years** after the date of final voucher from FHWA to MoDOT. Contact MoDOT for this date.
- Audits can occur on the project by MoDOT or FHWA. These audits will review project documentation. If the requested documentation isn't available, then federal funds at risk.

37

Other Topics of Discussion

Materials (Section 136.11.17)

- Material acceptance is based on sampling and testing. Includes material certification from the contractor.
- All tests must be performed by a Certified Tester trained in the proper test methods (EPG 106.18 Technician Certification Program).
- Refer to the Federal Aid Sampling and Testing (FAST) Guidelines for required tests and frequencies. Frequency can be adjusted if sound engineering reasoning is provided.
- MoDOT materials department will conduct testing audits on the certified tester. This is a requirement of FHWA.
- Maintain material tickets to support quantities installed. Make sure the tickets include the federal job number.

38

Final Acceptance (Section 136.11.19)

- When the LPA and the prime contractor presume that the project construction is complete, a **semi-final inspection** is scheduled by the LPA. Representatives from the LPA, MoDOT and the prime contractor **shall** attend. Document findings on Semi-Final Inspection Report (Form C-236).
- If the semi-final inspection results is no corrections or exceptions, then the inspection becomes the *final inspection*, the LPA takes over maintenance responsibility from the contractor, and the project is given final acceptance.
- Working/calendar days continue until *corrections* are complete.

39

Final Acceptance, Cont.

Difference between Corrections and Exceptions:

- **Corrections** are work items that affect the performance and serviceability of the project and impact road users until they are completed.
- **Exceptions** are time-dependent work items that do not directly impact road users. They generally fall into one of the three following categories:
 1. Establishment of soil stabilization through seeding/sodding/planting and maintenance of associated temporary erosion control measures
 2. Traffic signal test periods
 3. Lighting system test periods

40

Project Closeout (Section 136.11.20)

Submit Final Closeout Certifications within 60 days of the Final Inspection date.

Final Certifications Include:

- Final Invoice (LPA)
- Final Change Order (LPA)
- DBE Certification
 - LPA Recommendation Letter (LPA)
 - Prime Contractor Verification Letter (Contractor)
 - Final Lien Waiver from all DBE subcontractors (Contractor)
 - Copies of all completed CUF forms (LPA)
- Final Estimate (LPA)
- Settlement of Claims (Contractor)
- Final Lien Waiver (Contractor)
- Prevailing Wage Affidavit (Contractor)
- Final Inspection Letter (LPA)
- Final Acceptance Letter (LPA)
- Project Certification Letter (LPA)

41

Project Closeout (Section 136.11.20)

Additional items required:

- Completed and signed ADA Checklist
- Completed Actual Tester List
- Completed and signed OJT Forms (if applicable)
- Completed Semi-Final Inspection Report C-236

42

