

*Local Project Administration Manual & Resource Guide*

# **Construction Administration**



**MaineDOT**

*Integrity - Competence - Service*

*Revised, September 2019*

# Construction Administration

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Construction of a project typically follows a contract award to the successful bidder. Once the contractor starts a job, the agency administering the project must document and inspect the work. MaineDOT determines the appropriate level of oversight in consultation with the local project administrator. Often, this can be a full-time responsibility.

Chapter 11 of this Manual provides guidance on oversight and inspection, as follows:

- Oversight responsibilities (page 11-1);
- Pre-construction meeting (page 11-2);
- Materials testing (page 11-3);
- Davis-Bacon wage rates (page 11-4);
- State of Maine wage rates - **NEW** (page 11-5);
- Electronic payrolls (page 11-6);
- Project bulletin board (page 11-6);
- Buy America requirements (page 11-7);
- Construction contract modifications (page 11-8);
- Final inspection and project closeout (page 11-9);
- As-built plans (page 11-10);
- Appendix 11A: Construction administration checklist (page 11-11); and
- Appendix 11B: Submittals to MaineDOT (page 11-15).



## 11.1 Responsibilities of Construction Resident

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During construction, the agency administering a project must assign an employee or private consultant with appropriate technical qualifications to inspect and document the work. This “construction resident” must be on site for activities such as excavation, grading, drainage installation, concrete placement, and paving to make sure that the contractor is performing work in accordance with the project contract, plans, specifications and applicable laws.

The construction resident must be on site as necessary to meet the expectations set out in the MaineDOT Project Record-Keeping Manual, included here as Chapter 12 of this Manual, “Construction Documentation.” The local administrator should check with MaineDOT’s project manager to determine the proper level of oversight. Often, this can be a **full-time** commitment.

**Remember:** During construction, the local administrator must stay current with what is happening on a project. A checklist covering the steps in construction administration is found in Appendix 11A, starting on page 11-11 of this chapter.

Major responsibilities of the construction resident consist of the following:

- ☐ Ensuring that the work is performed in accordance with the design plans, specifications and construction contract. Tasks include inspecting the work, documenting quantities of materials, and checking lines and grades.
- ☐ Preparing and managing all documentation – including the field book, final quantities book, and drainage book.
- ☐ Providing for testing of materials such as gravel, hot-mix asphalt and concrete – and rejecting all materials and work not in compliance with the plans and specifications.
- ☐ Coordinating contract modifications (change orders), requiring independent estimates of cost and an accounting of the associated time.



➡ **MaineDOT** must review and concur with contract modifications **before** they are signed, as explained later in section 11.9 of this chapter, “Contract Modifications.”

- ☐ Reviewing contractor payrolls in the online Elation system for compliance with federal wage requirements, as covered in section 11.4, “Federal Davis-Bacon Wages.”
- ☐ Monitoring the contractor’s traffic control plan to ensure safe travel in the work zone.
- ☐ Making sure the work complies with environmental commitments and permit requirements, including erosion-control provisions.
- ☐ Approving payments for satisfactory work.
- ☐ Checking labor compliance, including setup of the contractor’s bulletin board. A diagram is online: <https://www.maine.gov/mdot/civilrights/sfp/>

## 11.2 Pre-construction Meeting

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One key event before work begins is the pre-construction meeting. This meeting – usually held with a pre-utility meeting – typically involves the local administrator, construction resident, general contractor, affected utilities and appropriate MaineDOT personnel, including the project manager. (*See Communication 17, on pages 11-16 and 11-17.*)

A pre-construction / pre-utility meeting should be held at least **one week** before the start of work. The meeting serves to go over the requirements of the contractor during the project, as well as to coordinate the schedule and frequency of progress meetings.

The local project administrator should prepare an agenda and invite participants. Afterward, the administrator should distribute minutes to attendees, utilities and other parties, including public-safety agencies if a project calls for detours or lane closures.

## 11.3 Materials Testing

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Materials used in construction projects with federal and state funds must meet the specifications for those projects. Proper testing of gravel, pavement, concrete and other materials will help to ensure that those materials perform as intended and hold up over time. After accepting the final plans, specifications and estimate (PS&E), MaineDOT will develop minimum materials testing requirements, which should be reviewed at the pre-construction meeting.



Typically, the local agency overseeing a project or a consultant acting as construction resident will use a sub-consultant to test materials, which must meet standards established by the American Association of State Highway and Transportation Officials (AASHTO). Additionally, MaineDOT may conduct independent-assurance sampling and testing.

### ❑ 11.3.1: Aggregates

Properly graded gravels and other materials known as “aggregates” should be dense enough to provide a stable foundation, with an optimal number of air spaces that allow proper drainage. Tests commonly will check density and “gradation,” or the relative amounts of well-draining base materials (gravel and sand) and poorly draining fine particles (silt and clay.)

Base gravels, for example, should have no more than 5 percent fine particles when compacted; gravels for sidewalks and trails should have no more than 7 percent fine particles.

### ❑ 11.3.2: Pavement

Pavement consists primarily of crushed stones of varied sizes with a binder of asphalt cement. To perform as intended, hot-mix asphalt must be placed at the right temperature and compacted properly. Common pavement tests consist of the following:

- **Density or compaction.** Core samples are taken to verify that compacted pavement has the proper density. If pavement is too dense, it may crack. If density is too low, ruts may develop. Air voids should range from 2 percent to 6 percent.
- **Temperature.** Hot-mix asphalt should be placed only when the mix is between 275 degrees and 325 degrees Fahrenheit.
- **Sieve analysis.** Material is run through sieves to measure the distribution of particle sizes and how the aggregates fit together.
- **Performance Graded Asphalt Binder** content is checked to ensure that the proper amount of asphalt cement is used in the mix, so that the pavement does not rut or ravel.



### ❑ 11.3.3: Other Materials

Tests also may be performed on other materials, such as the following:

- **Concrete**, which is tested for compressive strength, permeability and air content; and
- **Loam**, which has requirements for gradation, organics and pH levels.

## 11.4 Federal Davis-Bacon Wages

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The Davis-Bacon Act requires construction workers on federally funded projects to be paid prevailing regional wage rates, as determined by the U.S. Department of Labor. If a project has no federal money, Davis-Bacon wage rates do not apply.

The contract book for a federally funded project must contain a Davis-Bacon wage decision based on county and type of work, which may be highway, heavy or building. This decision, commonly called a “general decision,” will contain work classifications and wage rates that the prime contractor and all subcontractors must follow. A Davis-Bacon wage decision must be part of the bid documents for a federally funded project; otherwise, the project cannot be advertised.

To obtain a Davis-Bacon wage decision, go to: <https://beta.sam.gov/search?index=wd>

The federal wage decision may omit some classifications and labor rates. If that happens, the prime contractor must request missing classifications and rates through the online Elation payroll system. After reviewing the contractor’s request, MaineDOT staff may give provisional approval to use a classification and rate, pending a decision from the federal Department of Labor.

*Note: Under 29 CFR Part 541, Davis-Bacon minimum wages do not apply to business owners.*

### ❑ 11.4.1: Payroll Verification

The construction resident on a federally funded project must ensure contractor compliance with Davis-Bacon. Typical responsibilities consist of the following:

- Reviewing the Davis-Bacon wage decision for missing classifications and rates;
- Ensuring that the prime contractor requests missing classifications and rates;
- Checking contractor certified payroll reports for completeness and accuracy;
- Reviewing contractor certified payroll reports for compliance issues;
- Conducting payroll interviews; and
- Ensuring that the duties performed and hours put in by workers covered by Davis-Bacon are consistent with what contractors are reporting in the Elation system.

### ❑ 11.4.2: Payroll Interviews

Every 90 days, the construction resident must interview **two** covered workers from the prime contractor and all subcontractors that were on site at least **five days** during that 90-day period. Interviews must be voluntary, confidential and in person on the job site. Standard Form 1445, “Labor Standards Interview,” must be signed by both parties.

The construction resident will compare information from the interviews against a contractor’s certified payroll report for a given period. The resident must address all discrepancies found.

➡ MaineDOT’s Civil Rights Office offers guidance: <https://www.maine.gov/mdot/civilrights/>

## **11.5 State of Maine Wage Rates**

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If a contracted public works project of \$50,000 or more has state funds, construction workers must be paid at least the prevailing minimum wage and benefit rates set by the Maine Department of Labor for the locality and type of construction. This applies to state-funded projects led by municipalities, including those awarded through the Small Harbor Improvement Program (SHIP) and the Municipal Partnership Initiative (MPI).

Similarly, if a public works project with a contract of at least \$50,000 has federal and state funds, both Davis-Bacon federal rates and Maine Department of Labor rates must be included in the contract book. In such cases, the contractor must pay the higher of the two wage rates for each worker classification. This commonly applies to federal-aid projects that have state matching funds, in which cases special provision 104, “Wage Rates,” must be part of the contract books.

This new requirement resulted from a change in Maine law that took effect September 19, 2019. The definition of “public works” in the law – Title 26 MRSA, Chapter 15, Section 1304 – was amended to cover projects funded in whole or in part by state funds. Previously, only those projects contracted by the State of Maine were included in the definition of public works.

Municipalities and other local agencies may request a wage rate determination from the Maine Department of Labor, as set out below:

Richard W. Stephens  
Maine Department of Labor  
Wage and Hour Division  
45 State House Station  
Augusta, ME 04333-0045  
Phone: (207) 623-7906  
Email: [Richard.W.Stephens@maine.gov](mailto:Richard.W.Stephens@maine.gov)

➡ For forms and guidance, check with the Maine Department of Labor:  
[www.maine.gov/labor/labor\\_stats/publications/wagerateconst/index.html](http://www.maine.gov/labor/labor_stats/publications/wagerateconst/index.html)

### **❑ 11.5.1 Certified Payrolls on State-Funded Projects**

The prime contractor and subcontractors on projects requiring Maine Department of Labor prevailing wage rates must prepare and submit certified payrolls to the cities, towns and other local agencies administering those projects. Each contractor’s submittal must include a signed “Statement of Compliance” that the payrolls are correct and complete, proving that each covered worker has been paid at least the proper prevailing wage rate for the work performed.

Contractors should use a standard certified payroll form from the Maine Department of Labor. The form enables the construction resident and other reviewers to determine that employees have received legally required wages and benefits.

➡ The certified payroll form is online:  
[www.maine.gov/labor/labor\\_stats/publications/wagerateconst/maine\\_certified\\_payroll\\_form.pdf](http://www.maine.gov/labor/labor_stats/publications/wagerateconst/maine_certified_payroll_form.pdf)

## 11.6 Electronic Payrolls

Contractors and subcontractors on federal-aid projects must submit certified payrolls electronically using the Elation System, which will enable the construction residents on those projects to check for Davis-Bacon compliance. Electronic payrolls also may be used for state wages if both federal and state rates are required.

Upon awarding a contract, the agency managing a project should email the information listed below to MaineDOT's Contracts Section, which will set up a project in the Elation system:

- Work Identification Number (WIN);
- Name and email of the construction resident;
- Name and address of the prime contractor;
- Amount of the contract award;
- Dates of advertise, bid opening and award;
- Construction start date;
- Contract completion date stipulated in the contract;
- Subcontractor information (legal name, tax ID, phone number, city/town, state), with the service provided and dollar amount of the subcontract;
- County in which the work will take place;
- Wage Rate General Decision and modification numbers, such as ME100010-Mod-0.

**Contact at MaineDOT:**  
Angela Latno: 207-624-3519  
[angela.latno@maine.gov](mailto:angela.latno@maine.gov)

Elation manual is online: <https://www.maine.gov/mdot/contractors/publications/>

## 11.7 Project Bulletin Board

By law, the prime contractor on a project must display a series of posters on a bulletin board at the job site informing employees of their rights. This bulletin board must be installed by the first day of construction activity and stay in place until project completion.

The bulletin board must be placed in an area of the job site that is readily accessible to employees and the public at all hours, seven days per week. The board is commonly displayed in a highly visible location, such as outside the field office used by the contractor or construction resident. It must be protected from stormy weather and maintained to stay readable for the duration of a project.



If a project has federal funding, *both* federal and state labor posters must be placed on the bulletin board. If a project has only state funds, only state posters are required.

☞ MaineDOT's Civil Rights Office has placed a checklist, diagram and poster packet online: <https://www.maine.gov/mdot/civilrights/sfp/>



## 11.8 Buy America Requirements

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If a project has funding from the Federal Highway Administration (FHWA), steel and iron products installed permanently must be produced domestically. Failing to comply with the Buy America Act of 1982 – known as “Buy America” – will result in loss of federal funding.

Under Buy America, the manufacturing processes for products made of steel and iron, including the application of coatings, must occur in the United States. Raw materials such as iron ore and alloys, however, may originate from outside of the country.



Buy America, for example, commonly covers the following items:

- Guardrail, piles, steel culverts, structural and reinforcing steel, and the structural plates and steel supports for highway signs, luminaries and signals;
- Cast iron grates; and
- The application of coatings such as epoxy, galvanized and paint.

See section 105.11 of MaineDOT Standard Specifications - Other Federal Requirements: [www.maine.gov/mdot/contractors/publications/standardspec/docs/2014/div100.pdf](http://www.maine.gov/mdot/contractors/publications/standardspec/docs/2014/div100.pdf)

### ❑ 11.8.1: Certifications

The prime contractor must provide mill certifications for steel and iron products and manufacturer certifications for product coatings. Additionally, the contractor must certify that all products subject to Buy America comply with the law. The construction resident must verify these certifications before permanent products subject to Buy America are installed.

### ❑ 11.8.2: Other Work on Federal-aid Contracts

Buy America applies to all work on federal-aid contracts – even if some work won’t require federal money. If utility work using local funds is added to a federal-aid contract, for example, Buy America in most cases applies to that work.

### ❑ 11.8.3: Exceptions

MaineDOT expects steel and iron items incorporated into federal-aid projects to comply with Buy America. If, however, a local agency during design believes that Buy America cannot be met – or if a contractor contends that certain steel or iron items subject to Buy America cannot be acquired – the MaineDOT project manager should be contacted immediately.

MaineDOT may determine that a minimal amount of foreign steel and iron is allowed. The total cost of such foreign steel and iron incorporated into a federal-aid project cannot exceed \$2,500 or one-tenth of one percent of the total contract amount, whichever is greater, in accordance with MaineDOT’s Standard Specifications and federal regulations.

➡ The expectation is that federal-aid projects be designed to comply with Buy America.



#### ❑ 11.8.4: Buy America and Transit Projects

Buy America applies to mass transit projects funded by the Federal Transit Administration (FTA), which has requirements for contracts and purchases greater than \$150,000 covering:

- Iron, steel and manufactured products used in construction projects; and
- Mass transit vehicles, commonly called rolling stock.

As with FHWA projects, the FTA requires a contractor certification. If a project will have steel, iron or manufactured products covered by Buy America, each bidder must complete and submit an appropriate Buy America certification. Similarly, waiver requests must be submitted to the FTA, through MaineDOT, for consideration.

**Note:** FTA rules are found primarily in **49 CFR part 661**, “Buy America Requirements.”

#### ❑ 11.8.5: Buy American Act of 1933

Although Buy America requirements will apply in most cases, local agencies should be aware of a second law favoring domestically produced goods in federal contracts. The Buy American Act of 1933 – which is different from Buy America – requires the U.S. Government to give preference to products made in the United States. Buy American commonly applies to building construction and airport projects with federal funds.

If you are unsure whether the Buy the America Act of 1982 or the Buy American Act of 1933 applies to a federally funded project, check with MaineDOT for specific requirements.

### 11.9 Contract Modifications

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Occasionally, a contractor will be asked to do extra or unforeseen work. Such additional work always requires a change to the original contract and – if the work will be paid for with federal or state money – concurrence from MaineDOT.

Contract modifications, also known as change orders, must be drafted by the resident or local administrator – and NOT the contractor. If MaineDOT will be asked to participate financially in a modification, either the MaineDOT project manager or construction manager must concur with the change before it is executed or any associated work begins. Otherwise, MaineDOT may deny reimbursement for work covered by such a modification.

Two pieces of information must accompany contract modifications submitted to MaineDOT, which should be made in the format of *Communication 18*, found on page 11-18:

- An independent estimate of the cost of the additional work; and
- A statement addressing the associated contract time. If there is no change, write **0 days**.

Modifications must set out what work will be done, why it is being added, how much it will cost, and how it will be paid for. They require the signatures of the contractor and either the local project administrator or a designated representative.

Construction contract modifications generally are needed for:

- Changes in specifications;
- Substitution of materials;
- Changes in testing requirements;
- Changes or extra work within the scope of the contract;
- Design changes beyond the scope of the contract;
- Adding payment or credit for incentives/disincentives to the contract terms.
- Changes resulting in an increase or decrease of 25 percent or more in “major” items, which are defined as those exceeding 10 percent of the original contract amount.
- Changes in deadline dates, completion dates or time extensions not covered elsewhere.

A contract modification form may be downloaded from the MaineDOT website:  
[www.maine.gov/mdot/lpa/docs/lpadocs/2018/ContractMod2018.doc](http://www.maine.gov/mdot/lpa/docs/lpadocs/2018/ContractMod2018.doc)

## **11.10 Inspection of Completed Project**

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Once construction is finished, the local administrator sets up a project walk-through with the construction resident, contractor and MaineDOT staff. (*Use Communication 19, on page 11-20.*) The parties meet on site to inspect the project for flaws, incomplete work and necessary changes.

Afterward, a “punch list” is developed of items to be addressed before the project will be accepted as complete. Once the local administrator determines that the contractor has addressed all punch-list items, the administrator issues a letter stating that the project has been accepted and completed, with the date given. If the local agency managing the project will have maintenance responsibilities, the project at this point is turned over to that organization.

## **11.11 Closeout**

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A project cannot be closed out until all issues are resolved and the final payment is made. After the walk through, documentation of the final quantities is sent to the contractor stating that the final quantities are included and indicating which documents are to be submitted. The notice to the contractor also identifies any issues that need to be settled before final payment can be made.

Once construction is determined to be complete, the local administrator sends the MaineDOT project manager a final invoice, with a certification that all quantities were documented for payment to the contractor. (*Use Communication 20, on page 11-21.*)

**Remember:** The local share of MaineDOT’s internal costs, if applicable, will be reconciled and deducted from the final reimbursement payment, as described previously in Chapter 1 of this Manual, “Administration & Finance.”

## 11.12 As-Built Plans

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As-built plans are design plans that have been revised, after completion, to document a project as it was constructed. They show the changes to the original plans to ensure their use as a reference for future project design and maintenance efforts. As-built plans for projects on state highways should be submitted to MaineDOT as .pdf files within **90 days** of completion.

As-built plans consist of full-sized plans marked up either with a red medium felt-tip marker or a blue or black medium ballpoint pen. On each revised plan sheet, the reviser should write in the lower right corner “Revised As-Built” and initial; on all unchanged plan sheets, the reviser should write “As-Built” and initial. Finally, the reviser should sign the title sheet of the plans.

As-built plans should note changes to the following:

- Project length, showing revised beginning and end stations;
- Plan index;
- Typical cross-sections;
- Construction centerline as constructed;
- Geometrics;
- Superelevation showing revised cross-sections;
- Drainage, on plan sheets and Drainage Summary;
- Tree removals;
- Guardrail;
- Centerline profile grades;
- Entrance dimensions and their surface treatment;
- Fence locations;
- Utility locations, including conduit, foundations, junction boxes, lighting, signs;
- Structure elevations;
- Pile locations or type;
- Structural Steel or Precast members; and
- Structural details.



As-built plans also must note changes resulting from bid amendments, with the following:

- Year the project was completed;
- Permanent bench marks, monuments and survey markers;
- Year that any buildings were removed or “Removed by Others” with date; and
- Known ties to utilities.

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# Appendix 11A: Administrative Checklist

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(Updated in 2019)



## CHECKLIST: CONSTRUCTION ADMINISTRATION

- ☐ **Obtain minimum materials testing requirements from MaineDOT project manager:**
  - ☐ PM sends plans, specifications and estimated quantities to technician Jean Tukey: 624-3543.

### Pre-Construction / Pre-Utility / Pre-Pave Meeting

- ☐ **Send notice of meeting and agenda (Communication 17) to the following, at a minimum:**
  - Contractor
  - Utilities
  - Construction resident
  - MaineDOT project manager and construction manager
- ☐ **Meeting Held, and Minutes Distributed**
- ☐ **Contractor Schedule of Work received**
- ☐ **Quality Control (QC) Plan and Mix Designs received from Contractor**
  - Contractor must submit them at least 30 days before the work is scheduled to begin
  - Submit to MaineDOT construction manager for review and approval
- ☐ **Contractor Traffic Control Plan:**
  - Submitted to MaineDOT Traffic Section (Dana Hanks)
  - *MaineDOT Approval Date:* \_\_\_\_\_
- ☐ **Soil Erosion Water Pollution Control Plan approved by construction resident**

### Electronic Payroll : Federally funded projects

- ☐ **Send information to MaineDOT to set up project in the Elation payroll system**
  - MaineDOT contact is Angela Latno: (207) 624-3519 or [Angela.Latno@maine.gov](mailto:Angela.Latno@maine.gov)
  - Work Identification Number (WIN);
  - Name and email address for person who will review/approving payrolls;
  - Prime Contractor;
  - Award amount;
  - Subcontractors, with addresses, phone numbers, item numbers and subcontract amounts;
  - Dates for project advertise, bid opening, and contract award;
  - Construction start date and completion date stipulated in the contract;
  - County in which the work will take place; and
  - Wage rate General Decision number and dates of any modifications.

### Construction Testing & Documentation

- ☐ **Project Field Book created, with the following:**
  - Entries dated and initialed – noting weather, crew & equipment, hours worked, and activities
  - Field measurements taken
  - Drainage work measurements performed and computations by stationing, from outlet to inlet
  - Details of grade checks done (subgrade and/or fine-grading), with results from each day
  - Noteworthy events recorded (accidents, discussions with owners, debates with contractor)
- ☐ **Pit authorizations completed**
- ☐ **Waste area agreements completed**
- ☐ **Project Bulletin Board erected:** <https://www.maine.gov/mdot/civilrights/sfp/>
  - Project signage monitored (condition must be noted weekly in a project field book)

- ☐ **Set up materials testing files for:**
  - Aggregate
  - Concrete
  - Pavement
  - Other materials subject to testing
- ☐ **Quality Assurance (QA):**
  - Municipality may hire consultant or use MaineDOT testing labs with approval.
    - Contact MaineDOT independent assurance supervisor in the Bangor office: 941-4545
  - Verify if pavement plant was inspected recently: [Kevin.cummings@maine.gov](mailto:Kevin.cummings@maine.gov)
  - Notify MaineDOT of schedules for paving and concrete work to ensure that plant QC operations are monitored and scales checked at least twice in five days of production
- ☐ **Subcontractor Approvals:** <https://www.maine.gov/mdot/contractors/publications/>
  - Municipality must approve subcontracts before a subcontractor can start work
  - Send copy of approved package to the MaineDOT project manager
    - *Project manager will arrange for the subcontractor to be added to the Elation system*
- ☐ **Federal projects: Weekly certified payrolls received electronically from all contractors**
  - Certified payroll checked in “Elation” system for compliance with minimum wage rates
- ☐ **Federal projects: Employees interviewed to verify Davis-Bacon wage rate compliance.**
  - Voluntary interviews held every 90 days with 2 covered workers from the following:
    - Prime contractor and all subcontractors on site at least 5 days during a 90-day period.
- ☐ **Federal Projects: “Commercially Useful Function Form” sent to MaineDOT, if applicable**
- ☐ **Federal Projects: “Buy America” (Special Provision 105)**
  - “Buy America” certifications must be received before steel and iron products can be installed
- ☐ **Progress payments to contractor:**
  - Prepare estimate and review with contractor; or receive and check estimate from contractor
  - Once approved, process estimate and send payment to contractor
  - Once payment is made, send reimbursement request with backup to MaineDOT
- ☐ **Final Quantity Book created**
  - Book set up by item numbers
  - Pages set up for original measurements (or computations from plan dimensions)
  - Pages set up with a total-to-date column
  - Entries and computations initialed and dated
  - After item is completed, compute final quantity

## Contract Modifications

- ☐ **Modifications to the construction contract are handled as follows:**
  - Prepare an independent cost estimate for the additional work
  - Note the time associated with the change. (If no change, note 0 additional days.)
  - Send draft modification to MaineDOT construction manager for review (**Communication 18**)
- ☐ **Obtain MaineDOT’s concurrence with contract modification**
- ☐ Send the modification to the contractor for signature
- ☐ When contractor has signed, local project administrator signs and dates the modification
- ☐ Send copy of the executed modification to the contractor, with a copy to MaineDOT

## Project Completion

- ☐ **Final inspection by Municipality, MaineDOT and contractor (Communication 19)**
  - Inspection Date: \_\_\_\_\_
  - Final “punch list” of items completed on: \_\_\_\_\_
- ☐ **Notice of completion sent to contractor with notification of any liquidated damages**
  - Copies sent to MaineDOT project manager and construction manager
- ☐ **Quality Assurance (QA) Certification completed**
  - Testing file provided to municipality’s project administrator for project files.
- ☐ **Final quantity book completed by construction resident**
- ☐ **Federal projects: DBE Form completed by the contractor, signed by each DBE**
  - MaineDOT project manager will forward to MaineDOT’s Civil Rights Office
- ☐ **Final estimate paid and retainage released**
- ☐ **As-built plans completed and sent to MaineDOT project manager (if applicable)**
- ☐ **Final billing sent to MaineDOT project manager (Communication 20)**
- ☐ **MaineDOT project manager completes a project evaluation**
  - Local administrator reviews, signs and returns to project manager
  - Project manager files the completed evaluation in Tedocs electronic filing system

**Note:** By regulation, records must be kept for **3 years** from completion for federally funded projects.



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# Appendix 11B:

## Submittals to MaineDOT

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- ❑ To obtain electronic documents, visit MaineDOT's website:  
<https://www.maine.gov/mdot/lpa/lpadocuments/>

[Date]

\_\_\_\_\_, Project Manager  
Maine Department of Transportation  
Bureau of Project Development, Multimodal Program  
16 State House Station  
Augusta, ME 04333-0016

**Subject: Pre-Construction Meeting**  
MaineDOT WIN\_\_\_\_\_

Dear \_\_\_\_\_:

Your attendance is requested at the pre-construction meeting for **[insert project scope]** in the Municipality of \_\_\_\_\_ on **[insert meeting date/time]**. I have attached an agenda for your convenience.

If you need additional information, please let me know.

Sincerely,

Local Project Administrator

Cc: [Insert Name], Construction Manager, MaineDOT Multimodal Program

**AGENDA ITEMS FOR PRE-CONSTRUCTION MEETING  
(Federally Funded Project)**

1. Introductions
2. Review Scope of Project
  - a. Acknowledge Amendments
  - b. Completion Date
  - c. Liquidated Damages
3. Permits Obtained (if required)
4. Construction Safety
  - a. Primary consideration during construction
  - b. Emergency contact list including 24 hour contacts
  - c. Contractor safety plan to be provided
  - d. Traffic Control Plan (TCP) must be reviewed and approved by Maine DOT
5. Schedule for the completion of work to be provided
  - a. Are there utility issues?
  - b. Update schedule as required
  - c. Daily construction activities to be recorded
  - d. Town must pay contractor first, then request reimbursement on a monthly basis
6. Labor Requirements
  - a. Davis-Bacon wage rates apply – if project has federal money
  - b. Certified payrolls with classifications to be submitted & reviewed: Elations
  - c. Payroll labor interviews
  - d. DBE participation & CUF form
7. Construction Control
  - a. Minimum Testing Requirements
  - b. Subcontract Approval (*FHWA-1273 must be inserted in all subcontracts*)
  - c. Measurement & documentation of materials used for payment purposes
  - d. Engineering oversight of activities
  - e. Manufacturer's certification for materials
  - f. Soil Erosion and Water Pollution Plan (SEWPCP)
  - g. Quality control plans, mix design submittals, pre-pave meeting
  - h. Buy America: steel/iron product certifications must be received before payment for that item, if a project has federal money
8. Submittals
  - a. Requests for Information (RFIs)
  - b. Change Orders require MaineDOT review; must include detailed description of scope change, independent cost estimate & time
  - c. Notification of anticipated issues, claims or disputes

[Date]

Jen Paul, Construction Manager  
Maine Department of Transportation  
Bureau of Project Development, Multimodal Program  
16 State House Station  
Augusta, ME 04333-0016

**Subject: Contract Modification Request**  
MaineDOT WIN\_\_\_\_\_

Dear \_\_\_\_\_:

Attached for your review is Contract Modification #\_\_\_\_\_ for **[insert project scope]** in the Municipality of \_\_\_\_\_. The change will consist of **[insert description of contract modification including scope change and/or extra costs]**.

An independent estimate of the cost of the additional work is attached. This modification will add **[number of days]** to the original contract.

*(Instructions: The amount of time required by the modification must be noted. If there is no change in the schedule, then state “0 days” or indicate that the modification will not change the amount of time associated with the contract.)*

If you need additional information, please let me know.

Sincerely,

Local Project Administrator

Cc: MaineDOT Project Manager

<b>PROJECT DESCRIPTION:</b>	
<b>CONTRACT MOD. NO.:</b>	
<b>PROJECT WIN:</b>	
<b>MUNICIPALITY:</b>	
<b>DATE ISSUED:</b>	

To: \_\_\_\_\_, you are hereby notified, the following work is to be accomplished in accordance with the provisions of your Contract. The work will not be considered authorized for payment without the required signatures. Payment will be made as described.

*(By signing this Order the Contractor agrees that all issues, including time, relating to the described work are satisfactorily resolved by this Order. No other compensation will be sought or made.)*

**DESCRIPTION:**

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**REASON:**

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**COST:**

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Amount of this Order: \$

Original Contract Amount	\$
Total Cost of this Contract Modification	\$
Total Cost of all Contract Modifications Including this Mod	\$
Percentage of Contract for this Mod	%
Total Percentage of Contract including all Mods	%
Total Contract Amount Including this Mod	\$

Additional Days Added (This Mod):	New Completion Date:
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<b>TITLE:</b>	<b>SIGNATURE:</b>	<b>DATE:</b>
Resident or Inspector		
Contractor		
Municipality		

[Date]

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**Subject: Final Inspection, MaineDOT WIN\_\_\_\_\_**

Dear \_\_\_\_\_:

Your attendance is requested at the Final Inspection for **[insert project scope]** in the Municipality of \_\_\_\_\_ on **[insert date/time]**. At the time, we can make available all documentation and testing required for the project.

If you need additional information, please let me know.

Sincerely,

Local Project Administrator

Cc: MaineDOT Project Manager

**INSTRUCTIONS:** *This must be submitted on letterhead with all requested documentation.*

[Date]

\_\_\_\_\_, Project Manager  
Maine Department of Transportation  
Bureau of Project Development, Multimodal Program  
16 State House Station  
Augusta, ME 04333-0016

**Subject: Final Invoice and Notification of Completion of Work**

MaineDOT WIN \_\_\_\_\_; Contract # \_\_\_\_\_

This Municipality of \_\_\_\_\_ certifies that the contractor has completed all work on the project in accordance with the construction contract and approved modifications, and that:

- The Municipality has accepted the work;
- All quantities were measured in accordance with the contract;
- Final quantities have been reconciled and agreed to by the contractor;
- The Municipality has all required supporting documentation for the final quantities;
- There are no outstanding claims or disputes associated with the project; and
- All fees and contract balances have been paid, including expenses from preliminary engineering, right-of-way, construction, inspection, and construction engineering.

Attached is the final invoice for the project requesting reimbursement of \$\_\_\_\_\_ as MaineDOT's \_\_\_\_\_% share of expenditures for the service period, \_\_\_\_\_. Attached is the documentation to support this request, including copies of invoices received and checks issued. I understand that the Municipality's \_\_\_\_\_% share of MaineDOT's internal charges to the project will be reconciled and deducted from this final invoice.

Also attached is a copy of the federally required consultant evaluation for the project.

*By signing this invoice, I certify to the best of my knowledge and belief that the information provided is true, complete, and accurate, and the expenditures, disbursements, and cash receipts are for the purposes and objectives set forth in the terms and conditions of the federal funding award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812.)*

Sincerely,

\_\_\_\_\_, Local Project Administrator

Enclosure: Final billing



END OF CHAPTER 11