

Local Project Administration Manual & Reference Guide

Construction Administration



MaineDOT

Integrity - Competence - Service

2016 Edition (Section Updated)

Construction Administration

Construction of a locally administered project follows the award of a contract to the successful bidder. Once construction begins, the municipality or other agency in charge of the project must monitor and inspect the work to be sure the job is done properly. MaineDOT determines the proper level of oversight beforehand, with the local administrator.

This section provides general guidance and includes the following:

- Oversight and testing responsibilities (pages 11-1 to 11-7);
- Appendix 11A: Administrative checklist (page 11-9);
- Appendix 11B: Resident and inspector duties (page 11-13);
- Appendix 11C: *Updated* communications (page 11-16); and
- Appendix 11D: As-built plans guidance (page 11-22.)



Forms and construction documents may be downloaded from the MaineDOT website:
www.maine.gov/mdot/contractors/support/

11.1 Oversight Responsibilities

The municipality or other local agency managing a project must assign a qualified person to document and inspect the work. This “construction resident” may be a public employee or a consultant hired through a qualifications-based process. The project resident inspects and documents activities such as excavation, grading, drainage work, placement of concrete, and paving to make sure the contractor performs in accordance with the project contract, construction specifications, and all applicable laws.

The number of hours needed to do the job properly will vary, but the resident must be on site as necessary to document and inspect a contractor’s work to appropriate standards described in the MaineDOT Project Record-Keeping Manual – included in this book as Section 12, “Construction Documentation.” The local administrator should consult with the MaineDOT project manager or construction manager to determine an appropriate level of oversight.

Remember: During construction, the local administrator must stay current by attending progress meetings, receiving briefings from the construction resident, and visiting the job site occasionally to see what is happening in the field.

➔ A checklist with major tasks is included as Appendix 11A, starting on page 11-9.

Major responsibilities of the construction resident typically consist of the following:

- Ensuring that the work is done in accordance with the design plans, specifications and provisions of the contract. Tasks include inspecting the work, verifying the quantities of materials used, and performing independent checks of lines and grades.
- Preparing and managing all documentation – including but not limited to the project diary, quantities book, and drainage book.
- Providing for quality-assurance 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), which require independent estimates and an accounting of the associated time.



➤ **MaineDOT** must review and concur with all modifications **before** they are signed.

- Monitoring the contractor's traffic control plan to ensure safe travel for the public through the work zone.
- Making sure the work complies with environmental commitments and permit requirements, including erosion-control provisions.
- Approving payments for satisfactory work.
- Reviewing contractor payrolls in the Elation system, as described in Section 11.3, on page 11-3.
- Monitoring compliance with labor requirements, including set-up of the contractor's bulletin board.

Appendix 11B lists resident and inspector tasks, starting on **page 11-13**.

11.2 Pre-construction Meeting

One key event leading up to the start of work is the pre-construction meeting. This meeting – usually held in conjunction 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 11-17 and 11-18.)

A pre-construction / pre-utility meeting usually is held at least **one week** before the start of work. It serves to establish the inspection, documentation and testing requirements, as well as to coordinate the project schedule and frequency of progress meetings. The project administrator should prepare an agenda and invite the participants. Afterward, the administrator should distribute meeting minutes to the attendees and other interested parties, including public-safety agencies if a project calls for lane closures.

11.3 Electronic Payrolls

Construction work paid for with federal money is subject to Davis-Bacon prevailing wage rates. All prime contractors and subcontractors working on locally administered federal-aid projects must submit certified payrolls electronically to MaineDOT through the Elation System. A manual is online: www.maine.gov/mdot/contractors/publications/

Upon contract award, the local administrator should email the following information to MaineDOT's Contracts Section:

- Work Identification Number (WIN);
- Name and email of the construction resident
- Name and address of the prime contractor;
- Amount of the contract award;
- Names and addresses of subcontractors, with item numbers and sub-award amounts;
- Dates of project advertise, bid opening and contract award;
- Construction start date and the completion date stipulated in the contract;
- The county in which the project work will take place; and
- The wage rate general decision number and any modification numbers.

**MaineDOT Contact for
Electronic Payrolls:**
sonya.everett@maine.gov

➤ Electronic payrolls are **not** required if a locally administered project has **no** federal money.

11.4 Materials Testing

Work on locally administered projects must meet the specifications for those projects. Proper testing of gravel, pavement, concrete and other materials will help to ensure that they perform as intended and hold up over time.

After accepting the final plans, specifications and estimate (PS&E) for a project, MaineDOT will develop materials testing requirements identifying the items to be tested and the tests to be performed. Testing requirements should be set up before an agency awards a contract, and they should be reviewed during the pre-construction meeting for a project.



Typically, the agency overseeing a project or a consultant acting as construction resident will use a qualified sub-consultant to test materials, which must meet standards established by the American Association of State Highway and Transportation Officials (AASHTO). MaineDOT may conduct independent-assurance sampling and testing as needed to ensure compliance with the specifications for a project. MaineDOT performs this work in coordination with the local project administrator and construction resident.

☐ Aggregates

Properly graded mixtures of gravel and other stone-based materials known as “aggregates” beneath roads, sidewalks and trails should be dense enough to provide a stable foundation, with an optimal number of air spaces that allow water to drain without being trapped. 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 roads, for example, should contain no more than 5 percent fine particles when compacted; gravels for sidewalks and trails should have no more than 7 percent “fines.”

Gravels and other aggregates typically will be subject to the following tests:

- **Sieve analysis** (washed), in which material is run through a series of sieves to determine particle sizes and how well the material is likely to compact and drain; and
- **Proctor compaction test**, which is a laboratory test to determine the optimal moisture content at which a given type of material will perform properly when graded. Aggregates used in the field will be measured against this baseline.

☐ Pavement

Pavement consists primarily of different-sized crushed stones and a binder of asphalt cement. To perform as intended, hot-mix asphalt must be placed at the right temperature and compacted properly. An inspector will check the temperature before a mix is put down and also will take samples to measure asphalt content, gradation, and density of compacted pavement.

Common consist of the following:

- **Density or compaction.** Core samples are taken to be sure 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 between 2-6 percent of compacted pavement.
- **Temperature.** Hot-mix asphalt generally should be placed only when the material is between 275 degrees and 325 degrees Fahrenheit.
- **Sieve analysis.** Material is run through sieves to measure the distribution of particle sizes and how well 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.

☐ Other Materials

Depending on the scope and technical specifications for a project, quality-assurance tests also may be conducted on other materials, such as:

- **Loam**, which has requirements for gradation, organics and pH levels;
- **Concrete**, which is tested for compressive strength, permeability and air content; and
- **Steel**, which is subject to welding certifications, fabrication certifications, and requirements for American-made steel (“Buy America.”)

11.5 Contract Modifications

Occasionally, the local administrator or construction resident will ask a contractor to do extra or unforeseen work to address site conditions. Such additional work requires a change to the contract and MaineDOT's concurrence if the work will be paid for with federal or state money.

Contract modifications (change orders) must be drafted by the construction resident or local administrator for a project – NOT the contractor. If a modification involves federal or state money, MaineDOT must concur with the proposed change before it is signed or any associated work begins. Requests must be made in the format of Communication 18, on page 11-19.

➡ MaineDOT may deny reimbursement for work done without its review and concurrence.

A contract modification form may be downloaded from the MaineDOT website:
www.maine.gov/mdot/lpa/docs/lpadocs/ContractModificationFormsept2014.doc

Two pieces of information must accompany all contract modifications submitted to MaineDOT:

- An independent estimate of the cost of the additional work; and
- A statement regarding the contract time associated with the modification. The time must be noted in every case; if there is no change, write “**zero days.**”

A contract modification should describe what new work will be done, why the work is being added, how much it will cost, and how it will be paid for. Modifications require the signatures of the contractor and either the local project administrator or designated representative.

A construction contract modification generally is needed in the event of any of the following:

- Changes in specifications.
- Substitution of materials.
- Changes in testing requirements.
- Changes or extra work within the scope of the contract.
- Changes in design beyond the scope of the contract.
- Adding payment or credit for incentives/disincentives to the contract terms.
- Changes that result 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.

Contract modifications are covered in the “Project Record Keeping Manual,” which makes up the final part of this manual – **Section 12: Construction Documentation.**

11.6 Traveler Advisories (511)

MaineDOT's "511" traveler advisory system should be used to alert motorists to lane closures and detours that may delay travel on roads classified as arterials and major/minor collectors. Local project administrators should complete a form available online and either contact MaineDOT's radio room at 624-3999 or email the information to Bruce.Campbell@maine.gov.

➤ On the Web:

- **511 Form:** <http://www.maine.gov/mdot/contractors/support/>

11.7 Final Inspection

When the work is completed, the local administrator sets up a final inspection 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 listing items needing to be addressed before the project will be accepted and considered complete. Once the local administrator determines that all punch-list items have been addressed, the administrator issues a letter stating that the project has been accepted and completed, with the date given. If the organization overseeing the project will assume maintenance responsibilities, the project at this point is turned over to that organization.

11.8 Project Closeout

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

Once the project is completed, the local administrator must send the MaineDOT project manager a final letter: Use [Communication 20](#), on page 11-21.

11.9 As-built plans

Revised as-built plans ("as-built plans") are the original design plans that have been revised, after completion, to document the important features of the project as it was actually constructed.

As-built plans must show alterations to the original plans to ensure their use as a reference for designing future projects and for replacing and maintaining our infrastructure. Such alternations may include modifications to horizontal and vertical location, changes in materials, and additions and/or deletions of items. If a completed project is located on a state road, as-built plans should be submitted to MaineDOT electronically as PDF files within 90 days of completion.

➤ Guidance for as-built plans is found in Appendix 11D, starting on page 11-22.

11.10 Project Evaluation

Upon payment of a final invoice for a locally administered project, MaineDOT rates the performance of the local project administrator. MaineDOT's project manager fills out an evaluation form assessing which tasks were handled well and which, if any, could be improved. Afterward, the local project administrator is given two weeks to provide comments and sign the completed form; if the deadline passes without a response, the evaluation is finalized unsigned.

An electronic version of the evaluation form is on MaineDOT's website:
www.maine.gov/mdot/lpa/lpadocuments/

11.11 Retention of Records

By federal law, a municipality or other local organization must retain the records for a completed project for **3 years** after receiving the final reimbursement payment. MaineDOT, however, recommends keeping all records for at least 5 years in case of an audit. Such records consist of all project files, certified payrolls, and other relevant documents that may be requested from state or federal auditors.

➡ Record-keeping requirements are covered in-depth in Section 12 of this manual, "Construction Documentation."

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Appendix 11A: Administrative Checklist



CONSTRUCTION ADMINISTRATION

Electronic Payroll (*Federally funded projects only*)

- Send information to MaineDOT for the Elation payroll system**
 - Sonya Everett: 624-3519 or Sonya.Everett@maine.gov
- MaineDOT will require the following information**
 - Work Identification Number (WIN);
 - Project resident's name and email address (person approving payrolls);
 - Prime Contractor;
 - Award amount;
 - Subcontractors, with 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.

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

- Send notice of meeting and agenda (Communication 17) to the following:**
 - Contractor
 - Affected utilities
 - Public safety agencies (if lane closures or detours involved)
 - Project resident
 - MaineDOT project manager and construction manager, who will invite others as appropriate
- Receive Quality Control (QC) Plan and Mix Designs from Contractor**
 - Contractor must submit them at least 30 days before the work is scheduled to begin
 - Review and approve/reject the contractor's QC Plan and mix designs
 - Submit to MaineDOT construction manager for review and approval
- Provide meeting minutes to project file, and:**
 - Contractor, subcontractors, attendees and groups invited but not represented
- Contractor Traffic Control Plan:**
 - Reviewed by project resident
 - Submitted to MaineDOT Traffic Section for review/approval (Dana Hanks)
 - Approved by MaineDOT Traffic Section
- Soil Erosion Water Pollution Control Plan approved by project resident**
- Spill Prevention Plan approved by project resident**
- Contractor Schedule of Work received**

Construction Testing & Documentation

- Minimum Materials Testing Requirements determined**
- Testing File created for:**
 - Concrete
 - Pavement
 - Aggregate
 - Other required documents for minimum testing

- Project Diary created**
 - Pages are set up by date and note weather, crew & equipment, hours worked, and activity
 - Field measurements
 - Drainage work measurements and computations by stationing, from outlet to inlet
 - Details of any grade checks done (subgrade and/or fine-grading)
 - Stationing of the day’s completed grading would be entered with a statement, “*Graded according to plans and within allowable tolerances.*”
 - Record significant events (accidents, discussions with owners, debates with contractor)
 - Person making entries in the Project Diary should initial them daily
- 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 (makes estimates easy to compute)
 - Entries and computations initialed and dated
 - After item completed, compute final quantity
- Pit Authorizations completed**
- Waste area agreements completed**
- Contractor’s Bulletin Board erected:** www.maine.gov/mdot/civilrights/posters.htm
- Federal Projects: “Commercially Useful Function Form” sent to MaineDOT**, if applicable
- Project signage monitored** (*condition must be noted weekly in a project diary*)
- Quality Assurance (QA):**
 - Municipality may hire consultant or use MaineDOT testing labs.
 - If Municipality will use MaineDOT labs, local contact information should be shared with MaineDOT Independent Assurance Supervisor in the Bangor office: 941-4545
 - Certified Material Acceptance sampler appointed
 - MaineDOT contacted to see if Hot Mix Asphalt / Portland Cement Concrete plant has been inspected recently or needs to be inspected: Kevin.cummings@maine.gov
 - MaineDOT notified of pavement and concrete placement schedules to ensure that plant QC operations are monitored and scales checked at least twice in five days of production
 - Sampling and testing are done and documented by certified technicians, with sampling by municipality and possible testing by MaineDOT. (Check with project manager.)
- 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 with 2 covered workers from each contractor every 90 days
 - Worker must be on site 5 days or more during each 90-day period to be covered
- Subcontractor Approvals:** www.maine.gov/mdot/contractors/publications/
 - Municipality must approve subcontracts before any subcontractor can start work
 - Send copy of approved package to the MaineDOT project manager
 - *For federal projects, project manager will forward the information to MaineDOT’s Civil Rights Office and arrange for the subcontractor to be added to the Elation system*
- Federal Projects: “Buy America” (Special Provision 105)**
 - “Buy America” certifications must be received before payment can be made

Monthly progress payments:

- 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, Municipality sends invoice for reimbursement to MaineDOT, with backup information to verify quantities

Contract Modifications

 Modifications to the construction contract are handled as follows:

- Identify needed change, with estimated quantities and associated additional cost
- Prepare an independent cost estimate of the additional work
- Note the time associated with the change. (If no change, then note 0 additional days.)
- Prepare a formal contract modification
- 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
- Place original modification in Project Records

Project Completion

 Final inspection by Municipality, MaineDOT and contractor (*Communication 19*)

- Final "punch list" developed
- Final "punch list" of items completed

 Notice of completion sent to contractor with notification of any liquidated damages

- Copies sent to MaineDOT project manager and construction manager

 As-built plans completed and sent to MaineDOT project manager (if applicable)
 Quality Assurance (QA) Certification completed

- Testing file provided to municipality's project administrator for project files.

 Final quantity book completed by project 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
 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 retained for 3 years from completion for federally funded projects. MaineDOT recommends keeping records for at least 5 years in case of an audit.

Appendix 11B: Resident / Inspector Tasks



GETTING STARTED ON YOUR PROJECT

- DETERMINE WHETHER YOU ARE ON A FEDERAL OR STATE FUNDED PROJECT
- OBTAIN A COPY OF THE ENGINEER'S ESTIMATE
- CIVIL RIGHTS POSTER CHECKLIST COMPLETE
- SUBCONTRACTOR APPROVALS PRINTED OUT AND ON FILE
- DBE UTILIZATION FORM ON FILE (PRINT OUT COMMERCIAL USEFUL FUNCTION FORMS)
- PIN UP PAYROLL TRACKING SHEET
- PAYROLL INTERVIEWS (*for every contractor and subcontractor on the project for 5 days or more, accumulatively, 2 interviews every 90 days are required*)
- LOCATE TESTING MINIMUMS – KEEP ON FILE – AND LINE UP MATERIALS TESTER
- KNOW YOUR PAY ITEMS – METHOD OF MEASUREMENT & BASIS OF PAYMENT
- SET UP FIELD BOOKS AND/OR FOLDERS

PRIOR TO POSTING ITEMS FOR PAYMENT

- MAKE NOTE OF ITEM INSPECTED AND ACCEPTED IN IDR/DIARY AND/OR CONSTRUCTION BK.
- “BUY AMERICA” – MUST BE SUBMITTED BY CONTRACTOR
- MATERIAL CERTIFICATION – CHECK TESTING REQUIREMENTS FOR REQUIRED CERTS
- PAY FOR 403 – HMA ITEMS IN THE SAME WEEK AS PLACEMENT TO APPLY ESCALATOR**

CLOSING OUT YOUR PROJECT

- DON'T FORGET 403 & 502 INCENTIVE/DISINCENTIVES (GENERATE CONTRACT MODIFICATION)
- BE SURE PAYROLLS ARE COMPLETE
- FIND “CHECKER” TO CHECK, SIGN, DATE **IHTD**, CONST. BOOK, COMPS, ETC.
- SEND “COMPLETION OF PHYSICAL WORK NOTIFICATION” LETTER (TO MDOT, FINAL PAYMENT E-MAIL ADDRESS AND CONTRACTOR)
- COMPLETE:
 - TIME CHARGE REPORT
 - RIGHT OF WAY ENCROACHMENT LETTER
 - CONTRACTOR EVALUATION (send copy to Contractor)
- CALL MAINEDOT PROJECT MANAGER TO COORDINATE CLOSEOUT PROCESS

WIN: Location: Scope:
 Resident:

Responsible Project Personnel:	Resident	Inspector	Done
GETTING STARTED ON YOUR PROJECT			
Determine whether you are on a Federal or State funded project	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Obtain a copy of the Engineer's Estimate (don't assume that it is correct)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Determine whether there are any 3rd party agreements	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Subcontractor Approvals printed out and on file	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
DBE Utilization Form on file (Print out CUFs)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Locate Testing Minimums - Page 1 of Testing File - Line up Materials Tester	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Civil Rights Poster Checklist Complete prior to Contractor starting work	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Pin up Payroll Tracking Sheet	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Payroll Interviews (for every contractor on the project for 5 days or more, accumulatively, 2 interviews every 90 days are required)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Know your Pay Items - Method of Measurement & Basis of Payment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Set up Books and/or Folders (names & initials of personnel making entries)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Make sure that both Resident & Inspector has all tools necessary to both inspect and document, i.e., inspection tools, Construction Manual, etc.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Resident and Inspector discuss who is responsible for which items/activities			
Resident & Inspector discuss use of books and/or Fieldbook and format			
Resident & Inspector make time to discuss day to day activities			
Resident & Inspector use spare time to check each other's comps			
Resident & Inspector update IDRs to FieldManager daily / weekly			
PRIOR TO POSTING ITEMS FOR PAYMENT			
Posting quantities should be checked prior to payment. Checks need to be initialed and dated and in should be in RED .	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
"Buy America" - submitted by Contractor (may be found on Bill of Lading)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Material Certs - check Minimums for required certs	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Use "remarks" area in IDR posting to refer to notes/comments/ documentation/FQCB to justify payment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Pay for 403 - HMA Items in the same week as placement to apply Escalator	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Partial postings on unit Items need to come full circle in justification			
CLOSING OUT YOUR PROJECT			
Send "Completion of Physical Work Notification" Letter (to MDOT, Final Payment E-mail Address and Contractor	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Don't forget 403 & 502 Incentive/Disincentives (Generate Contract Mod)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are Payrolls / Elations Complete	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Print out IHTD by Prop. Line once all postings have been made Complete:	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Time Charge Report	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ROW Encroachment Letter	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Contractor Evaluation (send copy to Contractor	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Call MaineDOT project manager to coordinate project closeout	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Appendix 11C: Communications

Note: The following update was made for the October 2016 printing:

- ❑ Page 11-21: Communication 20 (Final Invoice) was revised to require a signed certification that all work was completed, that all quantities were reconciled, and that the contractor was paid in full.



NOTE: THIS MAY BE SENT BY E-MAIL

Date

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

Subject: Pre-Construction / Pre-Utility Meeting
MaineDOT WIN_____

Dear _____:

Your attendance is requested at the pre-construction / pre-utility meeting for **[insert project scope, WIN]** 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
Municipality of _____

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
 - 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. Communications
 - 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

NOTE: THIS MAY BE SENT BY E-MAIL

Date

_____, Project 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 _____:

I am requesting a contract modification for **[insert project scope, WIN]** 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
Municipality of _____

Enclosure: Draft contract modification

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

NOTE: THIS MAY BE SENT BY E-MAIL

Date

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

Subject: Final Inspection, MaineDOT WIN_____

Dear _____:

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

If you need additional information, please let me know.

Sincerely,

_____, Local Project Administrator
Municipality of _____

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

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 Physical Work
MaineDOT WIN _____; CSN _____

I am writing to inform you that all requirements for _____ in the Municipality of _____ were completed in accordance with the terms of the executed project agreement with MaineDOT dated _____.

This letter will serve as the official certification from the Municipality that:

- The contractor has completed all work;
- The work was completed in accordance with the contract and approved modifications;
- The Municipality has accepted the completed work;
- All quantities were measured in accordance with the construction contract;
- Final quantities have been reconciled and agreed to by the contractor;
- There are no outstanding claims or disputes associated with the project; and
- The Municipality has paid the contractor in full.

Attached is the final invoice requesting reimbursement of \$_____ as MaineDOT's _____% share of expenditures for the service period, _____. Included are copies of invoices, supporting documentation for all charges included in the reimbursement request, and copies of subsequent checks issued.

If you need additional information, please let me know.

Sincerely,

_____, Local Project Administrator
Municipality of _____

Enclosure: Final billing

Appendix 11D: As-Built Plans

“AS-BUILT” PLANS

Revised as-built plans (“as-built plans”) are the original contract plans that have been revised, after completion, to document important features of the project as it was actually constructed. As-built plans serve as references for designing future projects, for repairing, replacing and maintaining our infrastructure, and for inspecting bridges. As-built changes may include modifications to the horizontal and vertical location, changes in materials, and additions and/or deletions of items.

For locally administered projects, as-built plans should be sent to MaineDOT electronically as **PDF files** within **90 days** of completion of projects located along state or state-aid highways. For projects on local streets or off of the state system, such as shared-use paths, check with the MaineDOT project manager for a particular project about whether as-built plans are necessary.

A full-size set of plans should be used to develop as-built plans. Either a red medium felt tip marker or a blue or black medium ball point pen maybe used to mark up plans. On each revised sheet, write in the lower right-hand corner “Revised As-Built” and initial; on all other pertinent unchanged plan sheets write “As-Built” and initial. On the title sheet, place your signature instead of your initials.

Below are guidelines for completing “as-builts.” Revisions at a minimum should include any changes to the following:

1. Project length, showing revised beginning and end stations.
2. Plan index.
3. Typical cross-sections.
4. Construction centerline (label it “Centerline as constructed”).
5. Geometrics.
6. Superelevations showing revised cross-sections.
7. Drainage, on plan sheets and Drainage Summary.
8. Tree removals.
9. Guardrail.
10. Centerline profile grades.
11. Entrance dimensions and their surface treatment.
12. Fence locations.
13. Utility locations, including conduit, foundations, junction boxes, lighting, signs.
14. Structure elevations.
15. Pile locations or type.
16. Structural Steel or Precast members.
17. Structural details.

Changes to the plans resulting from bid amendments shall also be on the as-built plans.
Information to include:

1. Year project was substantially completed.
2. Permanent bench marks, monuments and survey markers.
3. Year any buildings were removed or “Removed by Others” – date
4. Known ties to utilities.

For landscape projects, actual locations, quantities, and substitutions of plants shall be shown on the location sheets and the quantity sheet. Changes should be made by crossing out the original figures.

Plan sheets that should always be included in the “as-builts” are as follows:

1. Title sheet
2. Index
3. Plan sheets
4. Drainage Summary sheet
5. Typical Sections sheet
6. Geometrics sheet
7. Profile sheet
8. Structure sheets with details
9. Right-of-Way sheets