

Introduction

With this July 2022 update, the manual is renamed *Local Agency Project Desk Reference (Desk Reference)*. The main purpose of this *Desk Reference* is to assist Local Agency personnel involved in the design, construction, and management of state and federally funded projects. It must be used concurrently with the [Local Agency Manual](#) webpage which was launched in 2019 to support Local Agencies that use federal aid funding to plan, design and/or build a project. The *Desk Reference* is also recommended for CDOT personnel who manage Local Agency projects.

Changes or updates to chapters 1 through 11 are indicated by a vertical bar in the margin.

The term “Local Agency” refers to a public agency, local public agency, established publicly owned organization, or private interest that can legally enter into an agreement with CDOT for a transportation project.

All project work shall be done in accordance with State and Federal laws, rules, and regulations.

Format

In the following pages, a flowchart depicts the Local Agency project process. Posted separately is a copy of the Local Agency Contract Administration Checklist (CDOT Form 1243), which is prepared once a project has been approved for Federal funding. The *Desk Reference* amplifies the flowchart and the checklist. Chapter and section numbers of the *Desk Reference* are consistent with these two exhibits.

While the checklist is used to define the actual responsibilities of the Local Agency and CDOT, the information within this *Desk Reference* is presented as if the Local Agency has been assigned the responsibility. This was done to provide a consistent presentation and should not be taken to infer that responsibility cannot be otherwise allocated.

Revisions

Suggestions and/or comments for improvement, clarification, correction, and/or inclusion of material in the *Manual* are welcome. Please forward your comments to the Project Development Branch using the Notice of Needed Corrections on page iv. of this *Desk Reference*.

This *Desk Reference* will be revised as methods, materials, policies, procedures, specifications, and the industry change.

Major Changes from the 2020 Manual

Chapter Revision

Contents... Updates sections and page numbers

- All Adds a Roles and Responsibilities section to each chapter, explains “CDOT Project Manager” is interchangeable with “CDOT Local Agency Coordinator”, distinguishes requirements for different funding sources (Federal, State, and other federal awarding agencies), incorporates Local Agency Bulletins and Design Bulletins, as appropriate, incorporates use of compliance tracking and monitoring systems
- 1 Updates funding programs, provides links to Transportation Act (IIJA/BIL)
- 2 Refreshes text, explains 10-Year Vision Plan
- 3 Updates processes, introduces information on funds from other federal awarding agencies (US Treasury), clarifies the meaning of Outline IGA and IGA, and lists required documents needed for an IGA
- 4 Refreshes text, explains the risk-based review process prior to project phase authorization
- 5 Describes evolution of the *Project Development Manual* and incorporates information from that manual, adds clarifications regarding electronic records/electronic signatures, and discusses funding programs/project delivery requirements. Includes requirement for TC approval of IGAs over \$750,000. Lists requirement to maintain written policies and procedures for procurement of professional services or adopt CDOT’s policies. Notes the requirement to avoid conflicts of interest and maintain written standards. Lists the items required in a request for proposal, including those on Federal-aid highway funded projects for professional services. Lists the factors used in the evaluation and selection of consultants. Adds the requirement (from the IGA) for a consultant to certify compliance with requirements prior to entering into a consultant contract. Lists the requirements for using an on-call list for consultant selection. Adds the requirement to seek approval of consultants as extension of staff in a management support role on federal-aid highway projects. Provides additional information/discussion items at the Scoping, FIR and FOR meetings. Includes information on conditional clearances (for Right of Way). Includes subsurface utility engineering requirements. Incorporates bulletin information pertaining to proprietary, sole source or Local Agency furnished items, guarantee and warranty clauses, Colorado residency labor preferences, and specifications. Clarifies responsibilities of the Local Agency’s Structural Design Engineer-of-Record and CDOT staff bridge. Adds process information in the event of project delays.
- 6 Explains civil rights requirements for specific federal agencies. Indicates projects with multiple funding sources must follow the most stringent requirements and must apply these requirements to the entire project. States that the CDOT DBE Program does not apply to projects funded solely with US Treasury (Federal Recovery Funds) or non-federal (state) funds. Introduces compliance software systems, B2GNow and LCPtracker on projects/contracts advertised on or after July 1, 2022 and indicates

- applicability to projects based on funding sources. Requires use of B2GNow on professional services contracts funded with Federal-aid Highway funds advertised on or after July 1, 2022. Notes that Davis-Bacon Act requirements do not apply on non-federal (state) or Federal Recovery Fund projects. Requires enforcement of prompt payment. Notes that there are different Title VI assurances depending on funding source and requires preparation of Title VI Plan.
- 7 Separates advertisement, bid and award requirements into distinct sections for projects with Federal Funds and Projects with Non-Federal (State) funds. Explains process for rejection of the low bidder.
- 8 Clarifies requirements and submittals depending on use of compliance software systems. Notes the Contractor is required to make Good Faith Efforts to obtain additional DBE participation if a change order adds new work items or increases the total dollar amount of the Contract. Modifies the statement added to Form 90 to include state funds. Adds construction inspection and documentation responsibilities for projects with structures. Explains Construction Oversight Checklist.
- 9 Requires the CDOT Project Manager to consult with the Region Materials Engineers with question pertaining to the completion of Form 1243. Provides requirements for Materials Books. Lists submittals necessary for development of Form 250. Requires compliance with 2 CFR 200.322, *Domestic preference for procurements*, on projects with Federal Recovery Funds.
- 10 Provides link to civil rights flowcharts for each form/process. Clarifies civil rights form submittals and requirements if using compliance software systems.
- 11 Requires a final quality inspection of all structures by the Local Agency's Engineer in Responsible Charge/Structural Engineer of Record. Requires submittal of a professional services closeout report form on Federal-aid Highway projects; introduces updated Form 1212 LA. Explains record retention requirements for funding sources.
- App A Provides links to newest versions of forms
- App B Gives newer examples, includes recent of revised CDOT policies impacting LAs.
- App D Includes updated contacts and office locations
- App F Includes updated Construction Documentation letters and forms.
- App G Provides Program Information for US Treasury - American Rescue Plan Act/Coronavirus State & Local Fiscal Recovery (Federal Recovery Fund) projects, State funded MMOF projects, and includes links to a Federal Recovery Fund Reference Guide.

Notice of Needed Corrections

This Manual is a living document and changes will be posted when available. It is the responsibility of the user to check for revisions.

Should you wish to request changes to this Manual, please email or mail the Notice of Needed Corrections to the address provided below.

Email or mail to:

- Email: cathy.cole@state.co.us

- Mail: COLO DEPARTMENT OF TRANSPORTATION
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Notice of Needed Corrections:

ACKNOWLEDGMENTS

The Project Development Services Branch of the Colorado Department of Transportation thanks all our partner organizations, FHWA, MPOs/TPRs, Local Agencies, consultants, contractors, citizens, CDOT specialty staff in multiple divisions (past and present), and CDOT Local Agency Coordinators who contributed their expertise, knowledge, and time to update the original Local Agency Manual, the (2019) Local Agency Manual webpage and this 2022 Local Agency Project Desk Reference.

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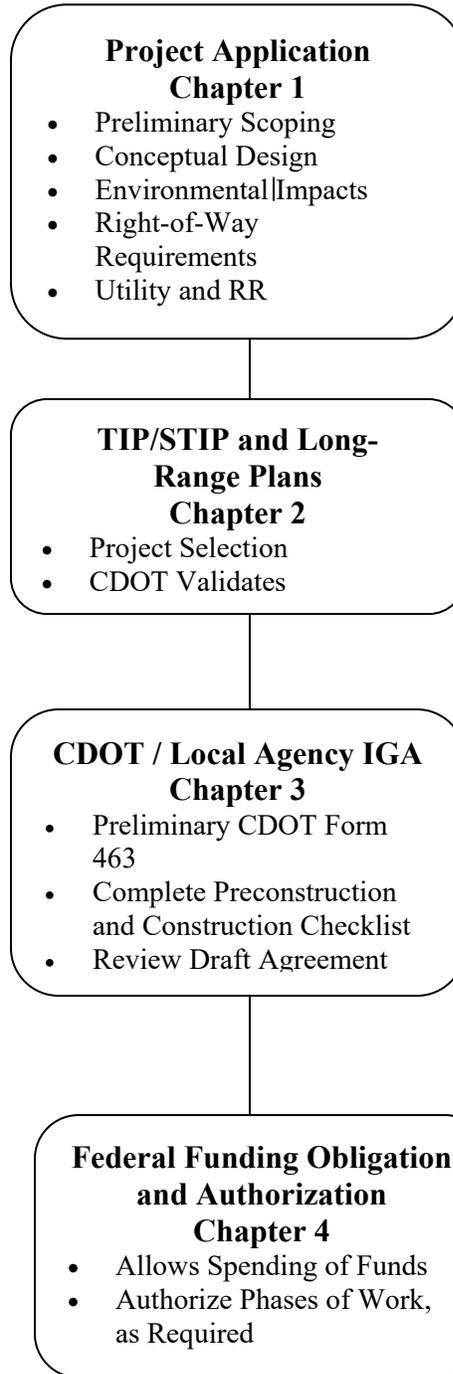
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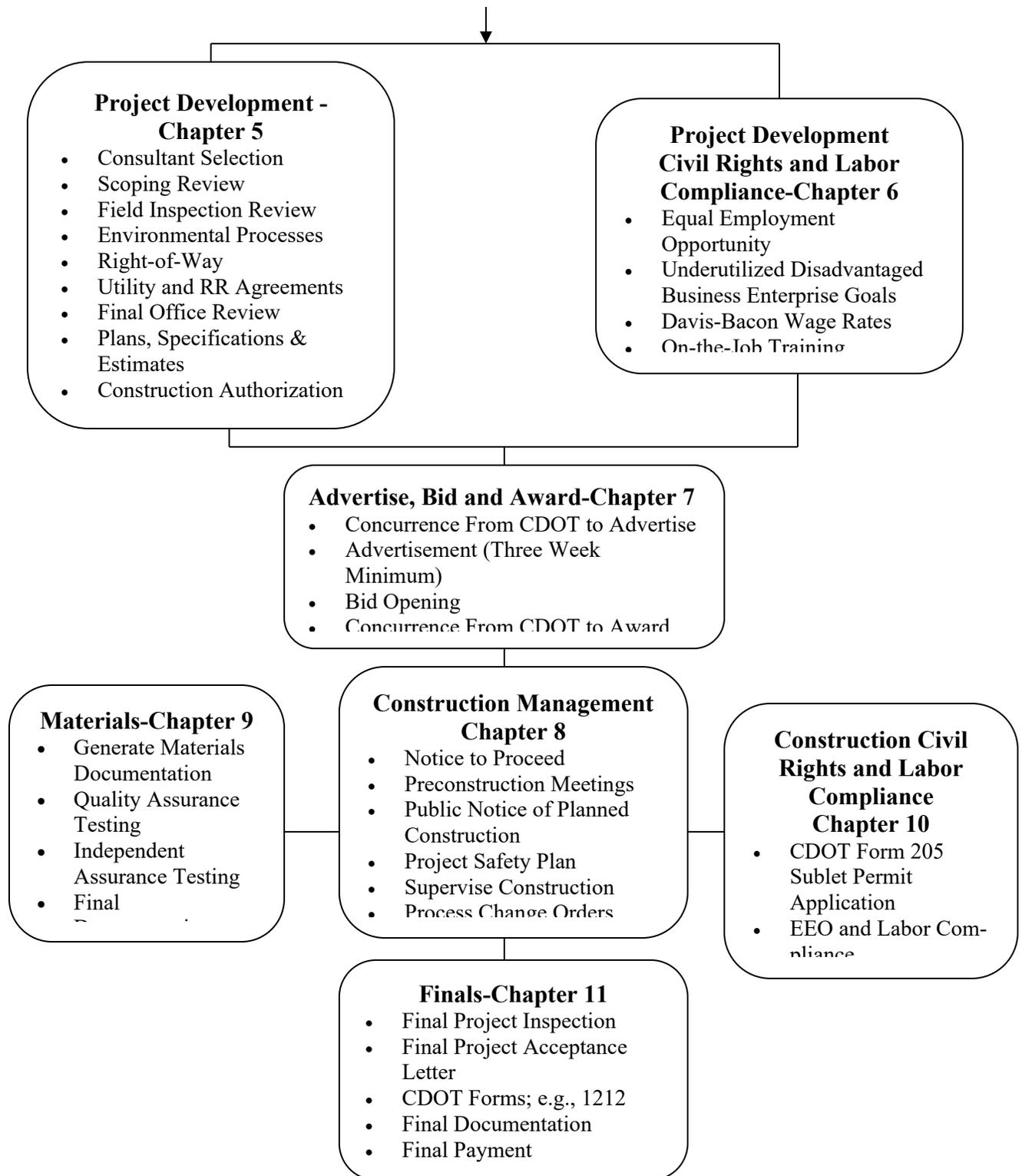
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LOCAL AGENCY PROJECT FLOWCHART



LOCAL AGENCY PROJECT FLOWCHART CONTINUED



PROJECT APPLICATION AND ROLES & RESPONSIBILITIES

CHAPTER 1

Project Application - Federal and State-funded Programs

Various Federal and state-funded programs are available to help Local Agencies implement transportation improvement projects. Each funding program has a unique purpose, specific qualification and project requirements, eligibility criteria and application deadlines. Some funding programs issue calls for projects every year, while others issue calls every two years or less frequently. Local Agencies submit applications in response to calls for projects. Applications are then evaluated and ranked based on the funding program requirements.

After a project is selected for an award of funds, the Local Agency is responsible for administering the project based on the terms outlined in the CDOT/Local Agency Intergovernmental Agreement (IGA). CDOT's role is to provide oversight during project delivery and to ensure the Local Agency complies with federal/state requirements tied to funding and the terms in the IGA. The Local Agency's role is to administer the proposed project (planning, design, construction) and maintain the project upon completion.

Most funding programs require a non-federal match which is calculated as a percent of the total project cost. The required percent of match can vary by individual program. Match is typically provided in the form of cash. Although uncommon due to complexity, the match may be met through third party in-kind contributions of property or services. For more information on allowable match, the Local Agency should contact the CDOT Local Agency Coordinator or CDOT Project Manager. Additional information on allowable match for Federal-aid Highway programs can be found at: https://www.fhwa.dot.gov/legsregs/directives/policy/fedaid_guidance_nfmr.pdf.

Below are a few of the funding programs available to Local Agencies.

- **Transportation Alternatives Program (TAP)**
For program information contact the CDOT Local Agency Coordinator (See Appendix D – CDOT Contact List) or the Metropolitan Planning Organization (MPO) for the specific area of the state. A copy of the State Transportation Alternative

Program Guidelines may be found under Programs>Planning>Grants on CDOT's website at <https://www.codot.gov/programs/planning/planning-programs/programs/planning/grants/grants>.

- **Off-System Bridge Program (BRO)**

For program information refer to the *CDOT Structure Management Manual*, Section 5, Off System Bridge Program, or contact CDOT's Staff Bridge, Bridge Asset Management at (303) 512-4073. Under the current transportation act, [Infrastructure Investment and Jobs Act](#) (IIJA), also known as the "Bipartisan Infrastructure Law (BIL)", the BRO continues to be funded from the Surface Transportation Block Grant Program.

- **Highway Safety Improvement Program (HSIP)**

This program replaced the Federal Hazard Elimination Program (HES). Funds may be used for safety projects. For program information contact CDOT's Traffic & Safety Engineering Branch at (303) 512-5103.

- **Congestion Mitigation and Air Quality Improvement Program (CMAQ)**

For program information contact the Metropolitan Planning Organization (MPO) or Transportation Planning Region (TPR) for your area of the state or your CDOT Local Agency Coordinator (See Appendix D – CDOT Contact List).

- **Surface Transportation Block Grant Program (STBG)**

The program is only available in the Colorado Springs, Denver and Fort Collins metropolitan areas. For program information, contact your Metropolitan Planning Organization (MPO) for your area of the state or contact your CDOT Local Agency Coordinator (See Appendix D – CDOT Contact List).

- **National Highway Performance Program (NHPP)**

The NHPP provides support for the condition and performance of the National Highway System. For program information contact your CDOT Local Agency Coordinator. (See Appendix D – CDOT Contact List).

- **Safe Routes to Schools Program (SRTS)**

SRTS provides funding for planning, development and implementation of projects to improve safety, and reduce traffic, fuel consumption and air pollution in the vicinity of

schools. For program information contact your CDOT Local Agency Coordinator or the Division of Transportation Development (See Appendix D – CDOT Contact List).

- **FASTER Safety and FASTER Transit (FASTER)**

The FASTER program provides funds for improving safety, repairing deteriorating bridges and expanding transit. For program information contact your CDOT Local Agency Coordinator. (See Appendix D – Contact List).

- **Multimodal Transportation & Mitigation Options Fund (MMOF)**

The MMOF program provides both federal and state funds for a complete and integrated multimodal system, including projects that mitigate transportation related emissions of greenhouse Gases (GHG). The MMOF program also expands the choices and accessibility to alternative modes of transportation for Disproportionately Impacted Communities. For technical requirements of this program, see the program fact sheets in Appendix G or contact your CDOT Local Agency Coordinator or your Division of Transportation Development contact. A CDOT Contact List is contained in Appendix D.

- **Revitalizing Main Streets (RMS)**

The RMS program is intended to help communities across the state implement transportation-related projects that improve safety and yield long-term benefits to community main streets. For technical requirements of this program, contact your CDOT Local Agency Coordinator or your Division of Transportation Development contact. A CDOT Contact List is contained in Appendix D.

For a complete list of funding categories, see the Funding Category List in Appendix B. Additionally, fact sheets for the Federal-aid Highway programs (TAP, CMAQ, HSIP, STBGP, BRO, NHPP and the new IIJA/BIL programs) are available at the following links:

- IIJA/BIL - https://www.fhwa.dot.gov/bipartisan-infrastructure-law/fact_sheets.cfm
- FAST ACT - <http://www.fhwa.dot.gov/fastact/factsheets/>

The fact sheets list eligible activities as well as other program features.

A Federal-aid Highway funded (or other federal or state funded) Local Agency construction project must include an end-result product as identified in the scope of work; e.g., a particular portion of a highway. However, this does not preclude the authorization of a project with federal or state funds participating in only a portion of the work; e.g., the cost of materials.

Preliminary Scoping for the Project Application

Prior to applying for state or federal funds, a Local Agency should, at a minimum, consider the following key aspects of the proposed project:

- the role and responsibilities of the Local Agency in successfully planning, designing and overseeing construction – by agreeing to accept federal funds, the Local Agency assumes the responsibility for initiating and completing each project phase in accordance with appropriate state and federal laws and regulations with minimal CDOT oversight.
- administration of project development and construction, whether by Local Agency staff, consultant, CDOT, or a combination – while a consultant may assist the Local Agency in fulfilling its responsibilities, the Local Agency cannot delegate these responsibilities to a consultant. The Local Agency is in responsible charge of the project and is responsible and accountable to CDOT and the federal funding agency for the expenditure of state and federal funds respectively.
- preliminary estimate of total project costs
- anticipated project duration and schedule
- the process to evaluate environmental impacts and associated mitigations (including social and economic effects)
- right-of-way requirements
- utility identification and possible conflicts (including required subsurface utility engineering requirements)
- traffic concepts (including systems engineering analysis)
- structure requirements
- typical section and cross-sections
- material requirements
- work zone traffic control during construction

- project staffing on the project to effectively administer the work performed by the contractor
- maintenance and operations responsibilities
- the ability of the Local Agency to assess, evaluate and mitigate project risk

Project scoping is usually a continuing process that will be refined up to and during the Field Inspection Review. For further scoping information see Chapter 5, Conduct Design Scoping Review Meeting, of this *Desk Reference*.

Other key areas to consider when preparing the scope of work for the project application include the following:

Environmental Impacts

In the project application stage, the Local Agency shall consider and coordinate with CDOT regarding impacts to the environment from the aspect of National Environmental Policy Act (NEPA), current US Department of Transportation Act, Land and Water Conservation Fund Act (36 CFR), the Civil Rights Act Title VI, the Presidential Executive Order for Environmental Justice, and from the implications of the project design. Consider the following:

1. What is the probable environmental clearance category (Categorical Exclusion, Environmental Assessment, or Environmental Impact Statement)?
2. What impact will the applicable category have on time and costs?
3. What are the logical termini, or beginning and ending points, for the project? The environmental impacts could extend beyond the project construction zone.
4. What environmental studies may be needed?
5. What impact will environmental studies have on time and costs?
6. What are the impacts of avoidance?
7. What mitigation might be required?
8. What impact will the mitigation have on time and costs?
9. Will permanent water quality treatment be needed on the project? A separate IGA may be needed to address the Local Agency's responsibility

for maintenance of the permanent water quality feature to be constructed on the project.

Environmental resources and impacts that should be considered may include:

- Cultural Resources:
 - historic clearances (and US DOT Act, Section 4f clearances for historical)
 - historic bridges
 - archaeology
 - Native American Resources
- Paleontological Resources
- Floodplains
- Geology and Soils: farmland protection, engineering geology, and special features
- Biological Resources:
 - vegetation and wildlife including migratory birds
 - noxious weeds,
 - wetlands, and Clean Water Act, Section 404 (impacts to waters of the US including wetlands) Permit
 - Division of Wildlife (Senate Bill 40) effects on riparian habitat
 - threatened and endangered species
 - prairie habitat initiative impacts (see Biological Opinion on CDOT website)
- Hazardous waste and materials:
 - Permanent and temporary dewatering permits from CDHPE
- Noise analysis
- Air quality (for non-attainment and maintenance areas)
- Water Quality:
 - Clean Water Act, Section 401 Water Quality Certification for work in streams
 - Clean Water Act, Section 402 (National Pollutant Discharge Elimination system (NPDES)) Permit
 - Colorado Discharge Permitting System (CDPS) Permit(s)
 - Stormwater Construction (for construction sites over an acre of disturbance)
 - MS4 permit conformity letter

- Stormwater Management Plans (SWMPs) for erosion and sediment control
- Dewatering/remediation
- Public lands
 - Local land use plan and zoning conformity
 - US DOT Act, Section 4(f)
 - Land and Water Conservation Fund Act, Section 6(f)
- Parks and recreational areas
 - US DOT Act, Section 4(f)
- Socioeconomic effects
- Environmental justice (Executive Order 12898 overseeing that no disproportionate indiscriminant effect occurs to minority and low-income populations), and Civil Rights Act Title VI (overseeing that no discrimination occurs with a project)
- Visual Resources
 - Visual Impact Assessment (VIA) using CDOT VIA Guidelines
- Other permits, as applicable

See Appendix A for a copy of CDOT Form 128 - Categorical Exclusion Determination.

Right-of-Way Requirements

Public Law 91-646, the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, commonly called the Uniform Act, must be followed. For additional information, refer to the Real Estate Acquisition Guide for Local Public Agencies available from U. S. Department of Transportation/Federal Highway Administration and the CDOT Right of Way Manual (Chapter 8). The Right of Way manual may be accessed at <https://www.codot.gov/business/manuals/right-of-way/>.

Types of right-of-way requirements may include:

- temporary easements
- permanent easements
- acquisition and relocation

Consideration should also be given to changes in access requirements and the associated costs.

Utility and Railroad Requirements

Identify possible conflicts, crossings, subsurface utility engineering, and relocation requirements.

Conceptual Cost Estimate

The preliminary cost estimate should include all project costs, including but not limited to, environmental studies and mitigation, right-of-way acquisition and services, utility relocation (Subsurface Utility Engineering), design, construction, inspection, and construction oversight.

Project Schedule

The project schedule should include the planned start and end date for each phase of the project. It is important that dates are realistic and allow adequate time to complete the work and close out the project.

1.1 Roles and Responsibilities

Overall roles and responsibilities for entities participating in the delivery of federal and state-funded projects are presented below. More specific roles for each entity are included within each Chapter of this *Desk Reference*.

- **Local Agency**

Before submitting a Project Application, a Local Agency should understand its roles and responsibilities in the project delivery process. If selected for an award, the Local Agency will be required to enter into an Intergovernmental Agreement (IGA) with CDOT which will define project supervisory responsibilities and delegate to the Local Agency the responsibility to initiate and properly complete each project phase in accordance with appropriate federal and state laws and regulations with minimal federal or CDOT oversight. By entering into this agreement, the Local Agency acknowledges and accepts its roles and responsibilities on the project.

A Local Agency must agree to and meet the following conditions to assist CDOT as a supervising agency:

1. The Local Agency must include all federal and/or state requirements in contracts and must ensure compliance with these requirements.
2. The Local Agency must be adequately staffed and equipped to complete the work to the satisfaction of the contract. This means the Local Agency must perform project administration (including inspecting construction and materials testing). Consultant engineers and inspectors may be hired to assist with this but cannot make critical project decisions that are best made by the Local Agency who is in responsible charge of the project on the public's behalf.
3. The Local Agency must provide an administrative "employee in responsible charge" for each project, including projects that employ consultants. This must be a full-time employee of the local agency, although he or she does not have to be an engineer nor dedicated full time to a project. The person in responsible charge must do the following:
 - Supervise all project administration activities and coordinate with CDOT based on the assignment of responsibilities
 - Maintain familiarity with day-to-day project operations, including safety issues
 - Approve contract changes based on the IGA with CDOT
 - Perform field reviews with a frequency appropriate to the project size and complexity, including a final inspection to compare against the plans and specifications
 - Review project financials to ensure that safeguards are in place to minimize fraud, waste, and abuse, and
 - Direct staff to carry out project administration and ensure it is done satisfactorily
4. In Colorado, the Local Agency must also provide a Professional Engineer in responsible charge of construction supervision per the Colorado AES Board Rules and Colorado Revised Statute (CRS) 12-120-202(8). The administrative "employee in responsible charge" and the Professional Engineer in responsible charge of construction supervision may be the same person but only if the Professional Engineer is an employee of the Local Agency.

- **Metropolitan Planning Organizations (MPOs) and Transportation Planning Regions (TPRs)**

Planning organizations such as MPOs and TPRs in Colorado periodically issue Calls for Project Applications for federal and state-funded programs. These organizations review and evaluate Project Applications, select projects to advance, and monitor the delivery of those projects through close out. Projects encountering delays are subject to additional scrutiny and potential loss of funds.
- **CDOT**

On Federal-aid Highway projects, in accordance with the CDOT/FHWA Stewardship & Oversight (S&O) Agreement, CDOT is responsible and accountable to the FHWA for administering the successful implementation of Federal-aid Highway programs and projects in accordance with federal laws and requirements. On all other federal programs, CDOT is responsible and accountable to the specific Federal Awarding Agency providing the federal award.

CDOT is also accountable to the Transportation Commission and the State Legislature for the successful implementation of state programs and projects in accordance with state laws and requirements.

The link to the CDOT/FHWA S&O Agreement can be found at:
<https://www.codot.gov/business/designsupport/cdot-fhwa-stewardship-agreement>
- **FHWA (on Federal-aid Highway projects)**

FHWA has overall responsibility for the Federal-aid Highway Program (FAHP) which is a federally assisted program of State-selected projects. FHWA and CDOT have long worked cooperatively as partners to deliver the FAHP in accordance with federal law. Pursuant to 23 USC 106 (c), Congress gave States more authority to carry out project responsibilities. The CDOT/FHWA S&O Agreement permits local (public) agencies to carry out some of CDOT's assumed responsibilities on locally administered projects. FHWA retains responsibility for certain project actions, like Buy America waivers and obligation of federal funds, among others.

FHWA works directly with recipients of awards from discretionary grant programs (such as RAISE, BUILD and TIGER).

- **Other Federal Awarding Agencies**

CDOT also works cooperatively with other Federal Awarding Agencies to deliver projects in accordance with federal law.

One of the best ways for a project to succeed is to ensure that the supervising Local Agency, its staff, consultants and contractors, the MPO/TPR, CDOT and the Federal Awarding Agency work together as a team.

TRANSPORTATION PLANS AND TIP/STIP PROGRAMMING

CHAPTER 2

This Chapter describes the planning process that is required for a locally-sponsored transportation project to receive funding. The planning and programming process includes development of Regional and Statewide Transportation Plans (Plans), the Statewide Transportation Improvement Program (STIP), and the Metropolitan Planning Organization (MPO) Transportation Improvement Programs (TIPs). A new planning cycle is initiated every four years, but Plans and the STIP and TIPs can be amended as necessary.

Both the CDOT Division of Transportation Development's (DTD) Multimodal Planning Branch and the Division of Accounting and Finance's (DAF) Office of Financial Management and Budget (OFMB) lead development of Plans and the STIP. Plan and STIP development also includes participation from CDOT's Region planning staff, and coordination with several external planning partners.

TRANSPORTATION PLANS

In accordance with 23 USC 134 and 135, CDOT and each of the fifteen Transportation Planning Regions (TPRs) in Colorado, including the five MPOs, are required to develop and adopt a long-range Regional Transportation Plan (RTP). The purpose of each RTP is to outline transportation goals and improvements over a minimum 20-year planning horizon. All of these plans must be financially constrained - that is, each must show how the projects selected will not exceed the funding that is expected to be available. Once the RTPs have been adopted by their respective planning council or regional planning commission (RPC), they are consolidated into the comprehensive Statewide Transportation Plan.

To be considered for funding, a locally-sponsored project must be consistent with the RTP for its area and the Statewide Transportation Plan. Once it is determined to be consistent with these Plans, a local project can compete for funding in the STIP and TIP processes described in the following sections.

Refer to the [CDOT Planning website](#) and the STIP [Project Priority Programming Process \(4P\)](#) guidance document for more comprehensive information on the transportation planning process in Colorado.

10-YEAR PLAN

The [10-Year Vision Plan](#) sets the project priorities for Colorado over the next 10 years and is an important appendix to the Colorado Statewide Transportation Plan. The 10-Year Plan document identifies transportation improvements across the state, ranging from long-deferred resurfacing projects to large and complex projects. CDOT's 10-Year Plan represents projects proposed for funding through Senate Bill (SB)-1, SB-267, and now SB-260.

TRANSPORTATION IMPROVEMENT PROGRAMS

Federal Guidelines

All projects receiving federal funds must be identified in the STIP before funding will be authorized for the project. The STIP is developed in cooperation with the state's five MPOs, 10 rural Transportation Planning Regions (TPRs), local officials, and tribal governments with responsibility for transportation. The STIP must be consistent with the long-range Statewide Transportation Plan. Projects with only local funding may require CDOT involvement (and inclusion in the STIP) depending on the area of influence of the project (i.e. if the project impacts CDOT facilities).

In developing the STIP, federal statute requires that CDOT provide citizens, affected public agencies, representatives of transportation agency employees, freight shippers, private providers of transportation, providers of freight transportation services, representatives of users of public transit, and other interested parties with a reasonable opportunity to comment on the proposed STIP. The STIP is updated annually to include an additional year of projects and reset the federally recognized years of the STIP. The updated STIP is subject to a 30-day public review period, and is adopted by the Transportation Commission. Once the STIP is adopted, it is forwarded to the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) for final approval.

STIP Development Process in Colorado

The STIP development process is how local projects are identified for state or federal funding and is prepared in accordance with *Title 23 CFR 450*. The STIP identifies all transportation projects that will receive federal funding and are expected to be initiated or completed over the four-year period that the STIP represents. In Colorado, the STIP includes federal and state-funded projects and those local projects that impact the state transportation system. The STIP is updated annually in order to maintain a full four-year STIP period. STIP amendments and modifications are completed on an as-needed basis. Information for modifying the STIP is detailed later in this chapter.

The STIP is updated through a continuing, comprehensive and cooperative process involving the Transportation Planning Regions (TPRs), Tribal Governments, MPOs, City and County Governments, FHWA and FTA.

TPR Coordination

The development of the STIP in rural areas of the state is conducted through the TPRs and their respective regional planning councils or commissions. To establish a project in the STIP, CDOT Region staff work with the appropriate TPR to identify priorities and potential funding sources. TPR representatives meet with appropriate CDOT staff and Transportation Commissioners to participate in the Project Priority Programming Process (4P). Public meetings are conducted in each TPR to solicit requests for projects and comments on state-selected projects.

After the individual TPR meetings, a joint meeting is held with all TPRs within a CDOT Region to review projects for the entire region. The purpose of the meetings is to review projects in the RTP and current STIP and consider project priorities for the next four-year STIP period. During this process, some TPRs not wholly contained in one CDOT Region may choose to plan and conduct a meeting with both Regions or separately with each Region. Following these meetings, the CDOT Region submits the list of projects for inclusion in the Draft STIP.

All projects included in the STIP must be consistent with the goals and strategies outlined in the Statewide Transportation Plan and appropriate RTP. If projects are not consistent, an amendment to the Plan(s) must be processed and approved before the

project can be included in the STIP.

A list of TPR representatives (STAC members) is available by contacting the CDOT Division of Transportation Development or by checking the CDOT Planning web site at <https://www.codot.gov/programs/planning>.

Tribal Coordination

Two tribes are responsible for transportation planning within their lands: Southern Ute and the Ute Mountain Ute. The projects in the tribal areas are included as part of the Southwest TPR Regional Plan and STIP.

MPO Coordination and Air Quality Conformity

Federal statute and regulation establishes MPOs for urbanized areas of more than 50,000 in population. Colorado has five MPOs: the Denver Regional Council of Governments (DRCOG), the Pikes Peak Area Council of Governments (PPACG), the North Front Range MPO (NFRMPO), the Pueblo Area Council of Governments (PACOG) and the Grand Valley MPO (GVMPO).

MPOs are responsible for development of the Transportation Improvement Program (TIP) for the MPO area in coordination with the CDOT Regions, and the Division of Transportation Development. A TIP identifies all projects that will receive federal or state funds in the MPO area. MPOs are also required to conduct a public involvement process for review and comment on their TIP prior to adoption. Those interested in participating in TIP development may contact their MPO directly. The appropriate MPO should be contacted to ascertain specific procedures for including a project in a TIP.

For air quality conformity, three of Colorado's MPOs are considered to be non-attainment/maintenance area for one or more pollutants. These areas include DRCOG, PPACG, and NFRMPO, as well as a portion of Upper Front Range TPR (UFRTPR). In these areas, major projects identified in the TIPs must be modeled to demonstrate that project implementation will not degrade air quality below the Environmental Protection Agency health standards set forth in the Clean Air Act as amended in 1990. The modeling results and other analyses are reviewed to assure the TIP is in conformance

with the relevant State Implementation Plan (SIP); this process is referred to as demonstrating air quality conformity.

Once a TIP has been approved by the MPO, it is forwarded to the Governor for final approval. Once the MPO and the Governor approve a TIP, it is incorporated into the STIP without change.

STIP Approval Process

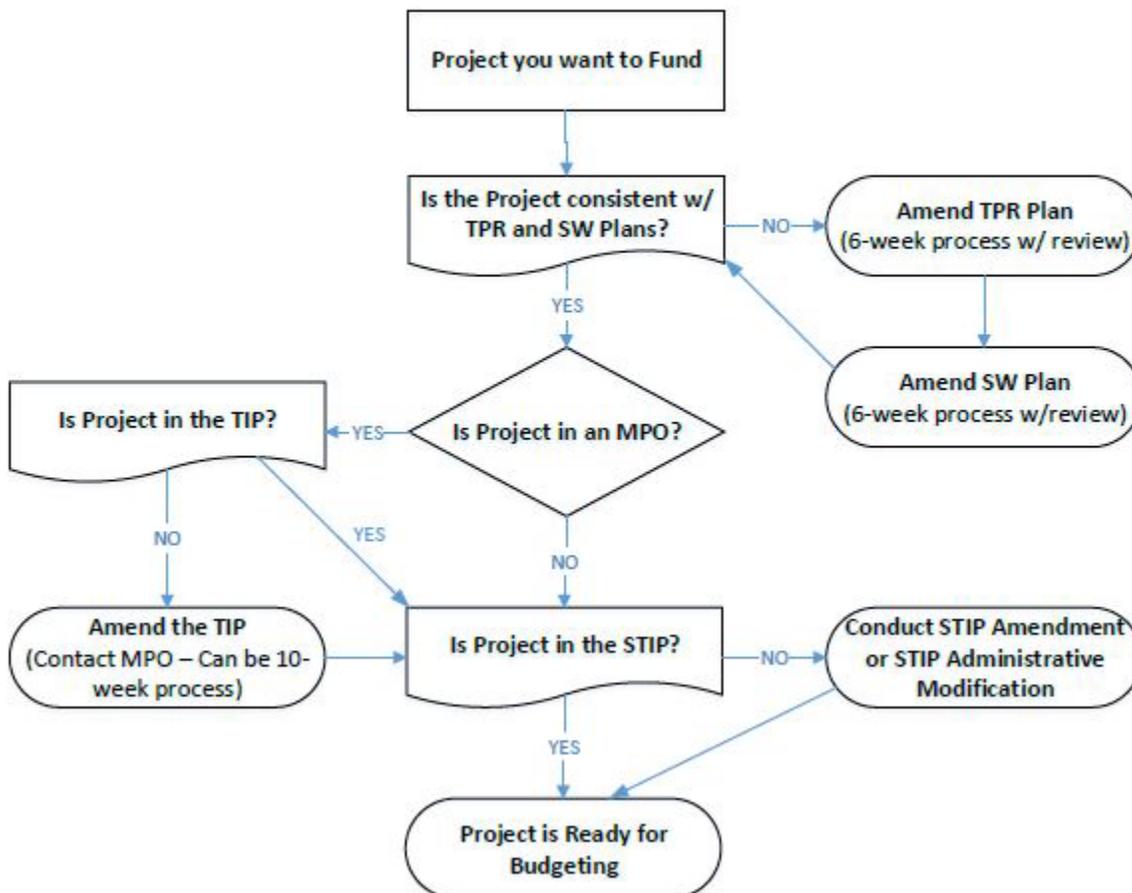
The STIP and MPO TIP development processes culminate in a comprehensive Draft STIP. CDOT Staff then verify that the Draft STIP is fiscally constrained and is consistent with the long-range Statewide Transportation Plan and appropriate Regional Transportation Plans. Staff certify that the planning process was followed and public involvement requirements were satisfied. The Draft STIP is then released to the public for review and comment.

Following the public comment period and any necessary revisions, the Draft STIP is submitted to the Transportation Commission for adoption. Once the STIP has been adopted, it is forwarded to the FHWA and FTA for approval, and takes effect at the beginning of the State fiscal year on July 1. Once the STIP is approved by FHWA and FTA, copies of the STIP are distributed and the document posted on CDOT's external website at <https://www.codot.gov>.

2.1 Review of Project to Ensure It Is Consistent with Statewide Plan

With the Local Agency sponsor, CDOT reviews a local-sponsored project to ensure that the scope and budget are within fiscal constraint with the approved STIP and are consistent with the goals and strategies of the long-range Transportation Plans and amendments. Basic project funding review steps are depicted in the following figure:

Basic Project Funding Review Steps



STIP Amendments and STIP Administrative Modification Guidelines

Because of the dynamic nature of transportation programs, changes may be necessary during the development of a project. There are three types of changes that apply to the STIP: STIP Amendments, STIP Administrative Modifications and TIP modifications.

- STIP Amendments

A STIP Amendment is any major change to a Regionally Significant project, including addition to or deletion from the STIP, major change to cost, initiation dates, or scope, or a major change to STIP Program. This type of change requires a 30-day public review period, re-demonstration of fiscal constraint, and Transportation Commission approval.

STIP Administrative Modifications

A STIP Administrative Modification is any minor change to a Regionally Significant project, including a minor change to cost, initiation dates, or scope, or a minor change to STIP Program or Regional Sub-Program amounts. This type of change does not require public review, re-demonstration of fiscal constraint, or Transportation Commission approval.

TIP Amendments

Each MPO is required to establish their own process for amending and modifying their TIP. Any CDOT or local project located within an MPO must follow the MPO process. Once the MPO process is completed, the STIP is modified administratively. Refer to the [STIP Amendment Guidelines](#) for more information.

Reference Material

Appendix B contains an example page from the STIP and Appendix E presents maps of the Transportation Planning Regions, Transportation Regions and Transportation Commission Districts.

2.2 Roles and Responsibilities

- **Local Agency**
 - Participate in County and Transportation Planning Region (TPR) meetings to review transportation needs and fund availability.
 - Check the TIP and STIP to ensure projects selected for funding are included.
- **Metropolitan Planning Organizations (MPOs) and Transportation Planning Regions (TPRs)**
 - Notify members of meetings and opportunities to provide input in the STIP development process.
 - If an MPO, develop the Transportation Improvement Program in accordance with federal and state requirements.

- If in a nonattainment/maintenance area, perform air quality modeling to ensure air quality conformity of projects
 - Develop and adopt Regional Transportation Plans.
- **CDOT**
 - **Division of Transportation Development Staff**
 1. Conduct a continuing, comprehensive, and cooperative (3C), performance-based, multimodal transportation planning process in accordance with federal and state requirements.
 2. Identify projected transportation conditions and needs, performance objectives, policies, corridor needs, visions, strategies, priorities, and improvements.
 3. Develop, maintain, and update the 10-Year Vision Plan.
 4. Provide funding control totals over a 20+ year planning horizon for the Regional and Statewide Transportation Plans.
 5. Participate in the STIP development process.
 6. Prepare the Statewide and Regional Transportation Plans.
 7. Certify that the planning process was followed, and public involvement requirements were satisfied.
 8. Lead the STIP development process.
 9. Release the Draft STIP for public review and comment for a minimum of 30 days.
 10. Comply with 23 USC 134 and 135, which outline the general policy foundation for the STIP.
 11. Include approved TIPs and tribal projects into the Draft STIP.
 12. Verify that the Draft STIP is fiscally constrained and is consistent with the long-range Statewide Transportation Plan and appropriate Regional Transportation Plans.
 13. Submit Draft STIP to the Transportation Commission for adoption.
 14. Forward adopted STIP to FHWA and FTA for final approval.
 15. Post adopted STIP to the CDOT website.

- **Region Staff**
 1. Participate in County and TPR meetings to review transportation needs and fund availability developed as part of the regional plans.
 2. Hold at least one public meeting with each of the TPRs to discuss project prioritization for the STIP within that TPR. Review projects in the Statewide Plan and current STIP and consider project priorities for the 4-year STIP period.
 3. Coordinate with the MPO Planning Process to ensure consistency.
 4. Submit lists of prioritized projects for the Draft STIP to the STIP Manager.
 5. Assist the Local Agency with RTP and STIP amendments as required.
- **CDOT Project Manager/Local Agency Coordinator**
 1. Review a local-sponsored project to ensure that the scope and budget are consistent with the approved STIP and long-range Transportation Plans and amendments.
- **Transportation Commission**
 - Work with Colorado Counties Incorporated, the Colorado Municipal League and the MPOs to establish the Project Priority Programming Process (4) for Colorado.
 - Review the Draft STIP.
 - Adopt the final STIP.
 - Approve STIP amendments, as appropriate.
- **Governor**
 - Approve all TIPs.
 - Approve TIP Amendments or delegate authority to approve TIP Amendments to the CDOT Executive Director.
- **FHWA and FTA**
 - Provide final approval to STIP and STIP amendments.
 - Approve the adopted STIP.

CDOT/LOCAL AGENCY INTER-GOVERNMENTAL AGREEMENTS CHAPTER 3

Introduction

After the Local Agency project has been selected for funding, a detailed sequence of events is initiated by CDOT and the Local Agency to bring the project to completion. The Federal Highway Administration (FHWA) requires all Federal-Aid Highway funds available to the Local Agency to be administered by CDOT, and it assigns responsibility to CDOT for proper expenditure of the funds and proper completion of the work. CDOT assumes this responsibility on state-funded Local Agency projects and those projects funded by other Federal Awarding Agencies, such as the US Treasury. CDOT's main objective is to assist the Local Agency in completing each project successfully with as little administrative oversight as possible while ensuring that all federal and state requirements are fulfilled.

If the Local Agency has been working on the project during the application and selection process, all work and right-of-way acquisition should stop until the necessary project agreements described below are in place.

This Desk Reference uses "CDOT Project Manager" to refer to the CDOT staff member responsible for providing assistance to the Local Agency. The CDOT Project Manager is also referred to as the CDOT Local Agency Coordinator.

Inter-Governmental Agreement Overview

An Inter-Governmental Agreement (IGA) is the umbrella term used for any agreement with a Local Agency. An IGA is required between CDOT and the Local Agency to define project scope, project responsibilities, detailed funding amounts, and payment obligations. Project maintenance responsibilities must also be defined and are typically set out in a separate stand-alone IGA. Projects containing features with shared responsibilities between multiple entities which continue after project completion may have multiple IGAs. The maintenance IGA should be signed first and must be signed

before the project goes to advertisement. Maintenance IGAs are written for the useful life of the project.

Also, work within CDOT right-of-way may require additional licensing agreements or special use permits.

There are several "standard" agreements templates for Local Agency projects and the CDOT Agreements Unit determines the appropriate agreement template for each project. The "Fed \$ LA Work" Outline IGA is the most commonly used template on Local Agency projects. The Outline IGA is the originating agreement or contract from which all subsequent documents pertaining to a project stem. Information used to develop the agreement is based on the written scope of work (or CDOT Form 463 - Design Data), Local Agency Contract Administration Checklist (CDOT Form 1243), required phases (i.e., design, environmental, right-of-way, utilities, miscellaneous, and construction), *Title 2 CFR 200* risk assessment, and associated funding. This information is gathered during meetings with the Local Agency or simply submitted to the CDOT Project Manager by the Local Agency. Templates for projects with federal funds follow the requirements outlined in *Title 2 CFR 200.332(a)*.

More detail on the information needed for the Outline IGA is provided below:

- The scope of work should provide sufficient detail to fully explain the project yet allow for unanticipated conditions during project development. The scope should be narrative and explain who will do the work, what work will be done, where the work will be done, why the work will be done, and who will maintain the project after completion. Once an IGA is fully executed, the project scope can only be modified by amendment which can be a lengthy process and have a significant impact on the project schedule.
- The Local Agency Contract Administration Checklist (CDOT Form 1243) identifies the contract administration responsibilities of the individual parties to the IGA and is part of the contractual agreement between the Local Agency and CDOT. After the IGA is executed, the CDOT Form 1243 can only be modified by amendment.
- Under 2 CFR 200.332(b), CDOT, as an entity that passes-through federal funds to a Local Agency (also referred to as a subrecipient), must evaluate each subrecipient's risk of noncompliance with Federal statutes, regulations, and the

terms and conditions of the (sub) award. The Local Agency should complete the *Title 2 CFR 200* risk assessment spreadsheet provided by CDOT and return it to the CDOT Project Manager who will complete the evaluation and file it in CDOT's electronic document management system.

For state-funded projects, a 2 CFR 200 risk assessment is not required.

The CDOT IGA Unit always generates the CDOT/Local Agency IGA and coordinates the review with the CDOT Project Manager and then the Local Agency. The Local Agency is responsible for reviewing the IGA, providing comments, and confirming the name of the approvers and signatories to the IGA. After all review comments are addressed and any outstanding issues resolved, the IGA Unit uploads the document into OnBase for State Controller review. The State Controller forwards the IGA via DocuSign to the Local Agency for signature. The Local Agency electronically signs the agreement committing to provide its share of project costs. The agreement is automatically routed to CDOT for final signature and all parties receive a fully executed copy of the document. The steps to an Outline IGA are depicted in Figure 1, "Inter-Governmental Agreement (IGA) Process" on Page 3-9.

The CDOT/Local Agency agreement defines the financial responsibilities of both parties. The IGA includes the total amount payable to the Local Agency. CDOT's payment obligation is the amount of Federal or State funds that are to be paid to the Local Agency. Exhibit C of every agreement contains the financial and budget details of the agreement. Local Agencies may provide additional local funds to a project above the required match, which are known as overmatch. Overmatch must be shown in the STIP. In most cases overmatch is not identified on Exhibit C.

The term of the IGA is most commonly set at 10 years; however, the CDOT IGA Unit has the flexibility to set a shorter term depending on project characteristics. The Local Agency should be aware that any work performed outside the term dates of the IGA are not reimbursable. If the term dates are set to expire during an encumbered phase of the project, the Local Agency should contact the CDOT Project Manager to amend the existing agreement. Also, the Local Agency should be cognizant of the project's funding program and any nuances of that program. For example, Permanent Water Quality Program funds must currently be expended within three years of approval/award, even though the term of the IGA may be longer.

Typically, the first three letters of the project number indicate the fund type. For a list of funding categories, prefixes, and funding splits, see the “Federal Funds Crosswalk” and “State Funds Crosswalk” in Appendix B.

After the Outline IGA is fully executed by CDOT, the project phase is authorized (See Chapter 4) and project funds are encumbered by phase via a unilaterally signed (by CDOT) Option Letter prepared by the CDOT IGA Unit. The CDOT Project Manager will then issue a Notice to Proceed to the Local Agency. Any work performed by the Local Agency prior to receipt of the Notice to Proceed is not eligible for reimbursement.

On federally funded projects, work that occurs outside the performance phase period or is invoiced after the phase end date is not eligible for reimbursement. However, if a project is in transition from one phase to a different phase (e.g., design to construction) and the phases overlap, the performance phase end date will adjust to the date of the later phase. Under *Title 2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, greater emphasis and scrutiny is now placed upon phase end dates and performance periods. The Local Agency should work with the CDOT Project Manager to establish end dates. While an end date can be modified during project development, the approval process can add two to four weeks to the project schedule.

On state-funded projects, end dates are not shown on Exhibit C, but are used by the CDOT Project Manager to monitor compliance with funding program requirements such as to expend funds within a specific number of years from project award.

The Local Agency is financially responsible for all cost overruns. If the Local Agency becomes aware that the costs will exceed the agreement amount, the Local Agency must immediately contact the CDOT Project Manager to determine if additional Federal or State funds are available. If funds are available, the Local Agency then submits a request with justification to the CDOT Project Manager. If CDOT approves the request, the IGA will be amended, which will revise the funding and/or scope. In certain circumstances, an additional TIP/STIP amendment may be necessary.

On Federal-aid Highway funded projects, the IGA contains FHWA Title VI assurances. On projects funded by other Federal Awarding Agencies, such as the US Treasury, a different assurance is required as specified in the IGA.

If the Local Agency plans to request reimbursement for design phase costs and plans to hire a consultant to do the work, the Local Agency is allowed to begin the Request for Proposal/Consultant Selection process simultaneously with development of the IGA. See Chapter 5, Section 5.4 - Conduct Consultant Selection/Execute Consultant Agreement of this *Desk Reference*. The Local Agency must comply with all federal rules and requirements of *Title 23 CFR 172* if the design phase is funded with Federal-Aid Highway funds, or *CRS 24-30-1401, et seq.* if state funded. Other Federal Awarding Agencies may require compliance with different consultant selection processes. While the Local Agency can begin the selection process, the Local Agency shall not execute a contract with the selected firm until after both the Local Agency and CDOT fully execute the IGA Option Letter.

3.1 Roles and Responsibilities on Federal Projects

- **Local Agency**
 - Work with the MPO to ensure the project is listed in the Transportation Improvement Program (TIP), if applicable, and is consistent with the local Transportation Plan.
 - Prepare the written narrative scope of work, project schedule, phasing information, funding information, and *Title 2 CFR 200* risk assessment (if applicable). Forward to the CDOT Project Manager along with the name/address of LA Project Manager
 - Review the CDOT Form 1243/Grantee Contract Administration Checklist in conjunction with this *Desk Reference* to ensure understanding of the Local Agency's roles and responsibilities in delivery of the project.
 - Review the draft Outline IGA upon receipt and provide comments to the CDOT Contract Writer.
 - Confirm the name of the Local Agency signers. Sign the Outline IGA.

- **Metropolitan Planning Organizations (PMOs) and Transportation Planning Regions (TPRs)**
 - Notify the Local Agency and CDOT of project selection for funding.
 - List project in the TIP, if applicable, and verify consistency with the local Transportation Plan.
 - Monitor the progress of the project and work with the Local Agency to prevent and/or mitigate project delays

- **CDOT**

- **Project Manager/Local Agency Coordinator**

1. Collect documents required to prepare the IGA from the Local Agency and meet with the Local Agency as necessary to coordinate development of the information.
2. Set up the project in CDOT's financial system. Create the Outline IGA shopping cart in the Supplier Relationship Module (SRM). Check that the project is listed in the Statewide Transportation Improvement Program (STIP) and is consistent with the Statewide Transportation Plan.
3. Prepare, send, and obtain approval of the CDOT Form 1243/Grantee Contract Administration Checklist from the Local Agency.
4. Send the request for preparation of the Outline IGA, the Purchasing Approval Routing sheets (PARS) and all other documents to the IGA Contract Writer in the Agreements Unit.
5. Review the draft IGA and notify the IGA Contract Writer of changes as required.
6. Coordinate with the IGA Contract Writer to send the IGA to the Local Agency.
7. Work with the Region Business Office to budget the project. (OFMB will seek project funding authorization from FHWA (if a PoDI project¹) or provide authorization (if a non-PoDI project)). Prepare shopping cart in SRM for the Option Letter.
8. Prepare request documents for the Option Letter and forward to the IGA Contract Writer.
9. Review draft Option Letter.
10. After execution of the Option Letter, issue the Notice to Proceed to the Local Agency.
11. Obtain DBE/OJT goals from the Region Civil Rights Office, if applicable, and provide to the Local Agency.

¹ Projects of Division Interest (PoDI) – Projects that have an elevated risk, contain elements of higher risk, or present a meaningful opportunity for FHWA involvement and oversight to enhance meeting project objectives or advancing key initiatives. Very few Local Agency projects are selected to be PoDI projects.

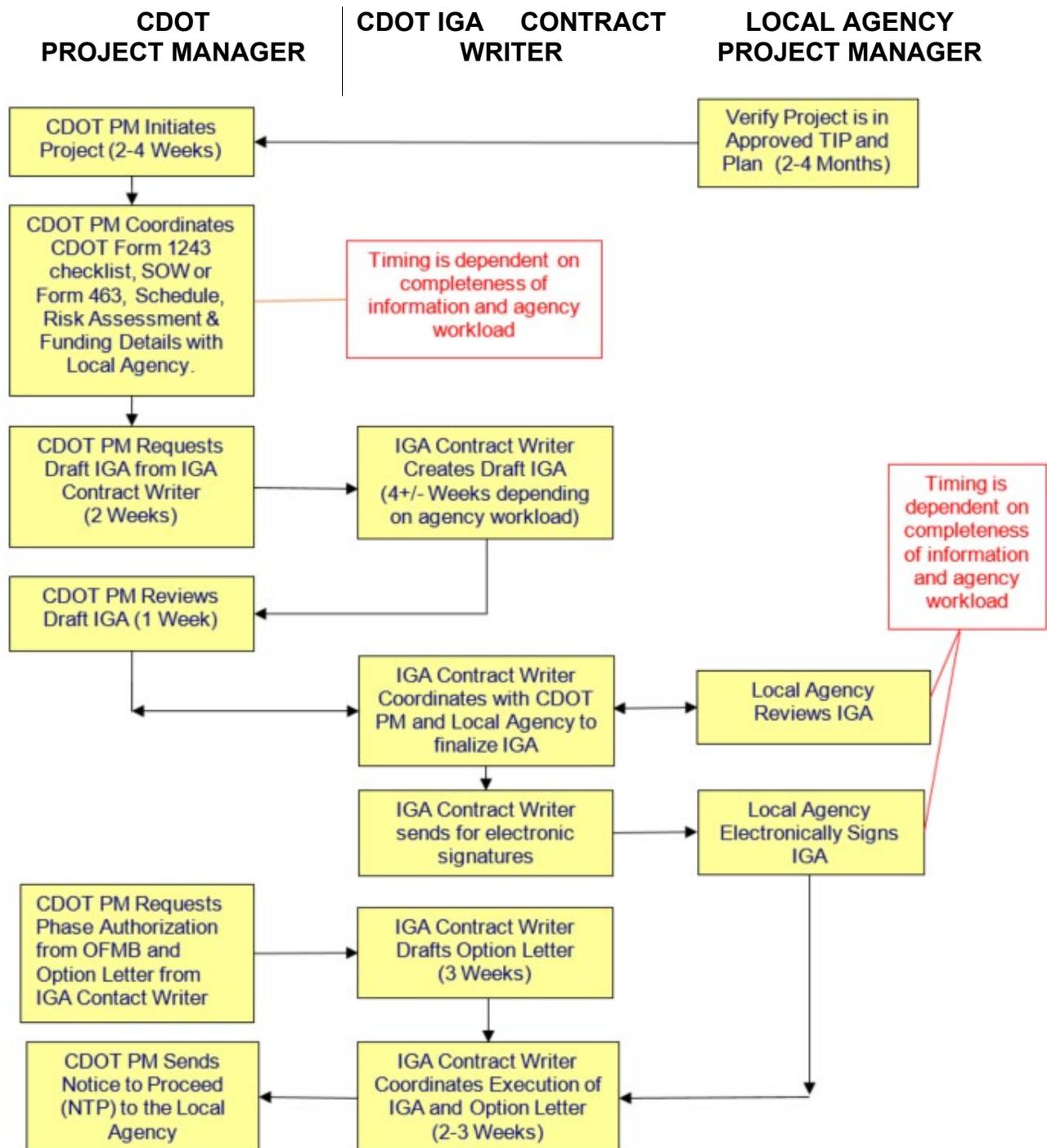
- **IGA Contract Writer in Agreements Unit and State Controller**
 1. Review the request for Outline IGA, PARS, and documents provided by the CDOT Project Manager and draft the Outline IGA.
 2. Send the Outline IGA for review to the CDOT Project Manager and address/resolve any comments.
 3. Send for internal Quality Assurance/Quality Control Review and address comments.
 4. Send the draft Outline IGA to the Local Agency for review and to confirm the name of the Local Agency signers.
 5. Upload the Outline Agreement and accompanying documents into OnBase for State Controller review.
 6. State Controller forwards the final Outline IGA to the Local Agency for signature via DocuSign. After the Local Agency signs, the document is automatically routed to the Chief Engineer for signature and then to the State Controller who signs last. All parties receive a copy of the fully signed Outline IGA.
 7. The State Controller then uploads the fully signed document into the Supplier Relationship Module of SAP.
 8. The IGA Contract Writer drafts the phase Option Letter and coordinates with the CDOT Project Manager for review. The Contract Writer uploads the Option Letter into OnBase for State Controller review. Once the State Controller reviews, it is uploaded into DocuSign for CDOT signature. (The CDOT Project Manager and Local Agency are copied on the executed document.)
- **FHWA**
 - Authorize and obligate funds/approve Federal-aid Highway project agreement and modifications.
 - Review project documents and authorize the project, as required.
- **Other Federal Awarding Agency**
 - Seek funding approval as required.

3.2 Roles and Responsibilities on State-Funded Projects

Most roles and responsibilities of the parties are the same except for activities pertaining to the following:

- *Title 2 CFR 200* compliance is not required.
- DBE/OJT Program compliance is not required.
- Buy America requirements are not required
- Davis Bacon Wages are not required.
- FHWA roles and responsibilities are assumed by CDOT Office of Financial Management and Budget (OFMB)

FIGURE 1 - INTER-GOVERNMENTAL AGREEMENT (IGA) PROCESS



PROJECT FUNDING AUTHORIZATION

CHAPTER 4

4.1 Authorize Funding by Phases

Federal-aid Highway funds are authorized by Congress to assist the States in providing for construction, reconstruction, and improvement of highways and bridges on eligible Federal-aid Highway routes and for other special purpose programs and projects. Other federal funds, such as American Rescue Plan Act / State and Local Fiscal Recovery Funds (ARPA/SLFRF), are provided to Colorado via transfer and include unique federal requirements. For simplicity, the ARPA/SLFRF funds are referred to as “Federal Recovery Funds” for the remainder of this Desk Reference. The Federal Recovery Funds and state funds are authorized by the Colorado State Legislature and the Transportation Commission for implementation of state programs and projects in accordance with applicable state and federal laws and requirements.

CDOT has assumed the oversight role for all state and federal locally administered projects that are not designated as federal “Projects of Division Interest”¹. CDOT is responsible for collecting and reviewing the necessary documentation detailing scope, schedule, and budget prior to project funding authorization.

This Desk Reference uses “CDOT Project Manager” to refer to the CDOT staff member responsible for providing assistance to the Local Agency. The CDOT Project Manager is also referred to as the CDOT Local Agency Coordinator.

The Local Agency should provide the scope of work and project schedule by phase (design, right-of-way, environmental, utility, construction, and miscellaneous) along with an updated cost estimate to the CDOT Project Manager who will work through the CDOT Region Business Office to request funding for each phase of the project from CDOT Office of Financial Management and Budget (OFMB). Establishing a realistic schedule ahead of time and adhering to it are the best way to assure that phase funding authorization is obtained in a timely manner. This includes providing a reasonable

¹ Projects of Division Interest (PoDI) – Projects that have an elevated risk, contain elements of higher risk, or present a meaningful opportunity for FHWA involvement and oversight to enhance meeting project objectives or advancing key initiatives. Very few Local Agency projects are selected to be PoDI projects.

project end date as well as communicating to CDOT any need to extend the end date when necessary.

On Federal-aid Highway projects, CDOT and FHWA have transitioned to a risk-based review process that occurs prior to project phase authorization. For state or local “assumed authority” projects, OFMB has the responsibility to collect and hold project documentation such as CDOT Form 1180 – Standards Certification and Project PS&E Approval, CDOT Form 128 – Categorical Exclusion Determination - Environmental, CDOT Form 463 – Design Data and the cost estimate. Once CDOT OFMB completes its review, and before work can begin, FHWA must formally authorize the project phase in the Federal Management Information System (FMIS) and assign an “FHWA Agreement Date” which will be returned to the state and populated in its own financial system. Once the Agreement Date is populated and funds are in place, CDOT personnel may officially create a federally “participating” commitment (aka Option Letter). For state-funded projects or for non FHWA funded projects provided through the State (such as Federal Recovery Fund projects), each phase is formally authorized by CDOT OFMB upon final approval of the phase budget, but the FHWA Agreement Date is not populated within SAP. In these cases, the Option Letter or commitment to pay, will be coded in SAP as “nonparticipating”.

The CDOT Project Manager notifies the Local Agency when each phase has been authorized. Any work performed prior to project phase funding authorization and Notice to Proceed is not eligible for reimbursement.

The Inter-Governmental Agreement (IGA) Option Letter, as discussed in Chapter 3, is used to encumber funding and is requested by the CDOT Project Manager after each project phase has been authorized. An encumbrance is a conditional commitment of federal or state funds to be reimbursed to the Local Agency on the local agency project. The Option Letter may encumber funds to the design (D), environmental (E), utility (U), miscellaneous (M), right of way incidentals or construction (C) phases on a project, but not right of way acquisition/relocation or railroads. If additional funding is authorized in future years, the Option Letter can be used to encumber funds to appropriate phases.

The right-of-way phase is initiated by budgeting the funds with the local matching funds. However, the funds will not be encumbered for reimbursement back to the Local Agency until Part B of the CDOT Categorical Exclusion Form 128 is signed, the right-of-

way plans are approved, appraisals are reviewed and acceptable, and Fair Market Values (or Waiver Valuation if under \$25,000) are established. Please see Chapter 8 of the CDOT Right-Of-Way Manual for more information on this process at the following link: [CDOT ROW Manual](#) .

Construction phase funds will not be authorized until a CDOT Form 1180 package, consisting of the final CDOT Form 463 – Design Data, CDOT Form 1180 - Standards Certification and Project PS&E Approval, environmental clearance, and updated cost estimate have been submitted by the Region Business Office to CDOT OFMB. The Local Agency cannot advertise for bids until the construction phase is authorized and CDOT's concurrence to advertise has been issued and received by the Local Agency.

Requests for Reimbursement / Project Billing

Any work performed prior to authorization is not eligible for federal or state funding participation or reimbursement. Upon CDOT issuance of Notice to Proceed with design, the Local Agency is able to charge eligible design costs to the project. Billing charges are to be submitted once a month or every 60 days to the CDOT Project Manager during the project development phase. In accordance with Chapter 11 of this Desk Reference, final project billing should be submitted by the Local Agency within six months after project acceptance or in accordance with the IGA.

4.2 Roles and Responsibilities

- **Local Agency**
 - Verify the Local Agency project is programmed correctly in the TIP, if applicable, prior to requesting project phase authorization.
 - Provide a realistic project schedule to the CDOT Project Manager. Project phases should be listed separately and include start and end dates.
 - Throughout the project, communicate the need to change the project end dates to the CDOT Project Manager.
 - Prepare an independent cost estimate with an appropriate breakdown of the work or labor hours, types or classifications of labor required, other direct costs and a consultant's fixed fee for the defined scope of work to be used as the basis for negotiation.
 - Provide updated cost estimates to the CDOT Project Manager as requested.

- | • **CDOT**
 - | ○ **Project Manager/Local Agency Coordinator**
 1. Assemble project phase authorization documents and forward to the Region Business Office for budgeting.
 2. Notify the Local Agency once project phase authorization has been approved.
 3. Prepare Option Letter request documents and forward to the CDOT Agreements Unit.
 4. Confirm that a unilaterally signed Option Letter has been sent to the Local Agency.
 5. Provide Notice to Proceed to the Local Agency.
 - | ○ **Region Business Office**
 1. Verify with the project is listed in the Statewide Transportation Improvement Program (STIP) prior to requesting phase authorization.
 2. Budget project phase funds and forward request for authorization along with supporting documents to OFMB.
 - | ○ **OFMB**
 1. If a non-PoDI project, review request for project phase authorization and supporting documents. For PoDI projects, forward request and supporting documents to FHWA for review and approval.
 2. Notify the Region Business Office and CDOT Project Manager of authorization of project phase.

- | • **FHWA**
 - | ○ For non-PoDI projects, approve the project phase authorization in FMIS. For PoDI projects, review the project phase funding authorization request and supporting documents. Authorize the project phase in FMIS.

PROJECT DEVELOPMENT

CHAPTER 5

Introduction

This chapter incorporates procedures detailed in the *CDOT Project Development Manual*, currently found at:

https://www.codot.gov/business/designsupport/bulletins_manuals/project-development-manual. As of 2021, sections of the *Project Development Manual* are being transitioned to a Project Management Webpage at the following link:

<https://www.codot.gov/business/project-management/pre-construction>. Eventually, much of this content will again transition to CDOT's new project management software platform (called PMWeb), currently under development. Both the *Project Development Manual* and the Project Management Webpage refer to responsibilities of the Resident Engineer. When the Local Agency is administering the design of the project, the Local Agency will typically assume some of the responsibilities of the Resident Engineer. Questions and clarification of responsibilities should be directed to the CDOT Project Manager, who is also known as the Local Agency Coordinator. This *Desk Reference* uses the term "CDOT Project Manager" to refer to the CDOT staff member responsible for providing assistance to the Local Agency.

CDOT continues to transition toward accepting all submittals, forms, Project Records and supporting documents in electronic format. During this transition, unless specifically stated, documents and forms listed in this Chapter will be accepted from the Local Agency in paper or electronic format, although electronic format is preferred and may be required by the CDOT Engineering Region where the project is located. See Appendix B for Local Agency requirements for electronic records and electronic signature requirements.

Funding Program and Project Delivery Requirements

Historically, most funds "passed through" CDOT to a Local Agency were Federal-aid Highway funds directed to specific federal programs. With the passage of Colorado Senate Bill (SB) 09-108 (FASTER), SB18-001 (MMOF) and SB21-260 (MMOF/

Revitalizing Main Streets (RMS)) legislation, higher levels of state funding became available to the Local Agency to deliver transportation-related projects. Adding further complexity, SB21-260 directed the American Rescue Plan Act / State and Local Fiscal Recovery Funds (ARPA/SLFRF), which have unique federal requirements, to the state MMOF/RMS programs. For simplicity, in this *Desk Reference*, the ARPA/SLFRF funds are referred to as “Federal Recovery Funds”. The state MMOF program also allows state funds to be strategically leveraged in combination with federal funds.

The various program requirements and funding combinations complicate project delivery requirements. The Local Agency should contact their CDOT Project Manager with questions concerning project-specific requirements.

5.1 Determine Delivery Method on Infrastructure Projects

Most Local Agency projects are delivered using a traditional Design-Bid-Build approach. However, other delivery methods are allowed including, but not limited to, the following: Design-Build, Streamlined Design-Build, Construction Manager/General Contractor (CM/GC), and Indefinite Delivery/Indefinite Quantity (ID/IQ). All these methods are approved for use by Federal regulations, State Statutes, and CDOT policies and procedures.

Each delivery method has unique requirements. The Local Agency, CDOT Resident Engineer and CDOT Project Manager are responsible for understanding the delivery method requirements prior to project initiation.

If a delivery method other than Design-Bid-Build is selected, a Local Agency should prepare a justification memo that summarizes how the Local Agency chose the delivery method and provide it to the CDOT Project Manager who will forward it to the CDOT Alternative Delivery Program Manager for review and approval. The memo should describe the deliberation process the Local Agency used to determine the delivery method. The memo should also narrate the highlights of how the attributes and opportunities of the chosen delivery method will be leveraged by the Local Agency to achieve the project goals. The Local Agency must obtain CDOT approval of the memo prior to the preparation of the IGA or initiation of the project. Alternately, the Local

Agency may use the CDOT Project Delivery Selection Matrix to determine the optimal project delivery method for a particular project.

Some delivery methods, such as CM/GC and ID/IQ on Federal-aid Highway program projects, require a Local Agency to follow CDOT procurement procedures. In accordance with *Title 23 CFR 635.504*, a Local Agency is allowed to use their own procurement procedures only if approved by both CDOT and FHWA in advance of the project. CDOT cannot assume FHWA review or approval responsibilities for a Local Agency's procurement procedures. In these instances, the Local Agency should provide its approved procurement procedures to the CDOT Project Manager, CDOT Alternative Delivery Program Manager and FHWA for review and approval. The Local Agency must obtain CDOT and FHWA approval of the procurement procedures prior to the preparation of the IGA or initiation of the project.

If using a delivery method other than traditional Design-Bid-Build, the CDOT Project Manager should notify the FHWA Area Engineer (on Federal-aid Highway program projects) and CDOT's Alternative Delivery Program Manager at the time of the request for IGA preparation and invite both to all project development meetings. The level of FHWA's involvement will depend upon whether the project is identified as a Project of Division Interest (PoDI).

If a Local Agency wants reimbursement for preconstruction services, FHWA authorization must be issued (on Federal-aid Highway program projects), the IGA/ Option Letter must be executed and notice to proceed received by the Local Agency prior to incurring costs. If the Local Agency does not want reimbursement for preconstruction services, but federal funds are included in the construction phase, the project should comply with federal and state requirements during preconstruction, including the approvals stated above.

Regardless of the type of delivery method, federal requirements pertaining to disadvantaged business enterprises (DBEs), the Uniform Act, NEPA, and construction contracts apply to projects with Federal-aid Highway funds.

Additional resources follow:

- Alternative Delivery Program (Design-Build and CM/GC) webpage with links to method-specific manuals and the Project Delivery Selection Matrix:
<https://www.codot.gov/business/designsupport/adp-db-cmgc>
- Code of Federal Regulations, *Title 23 CFR 635*: https://www.ecfr.gov/cgi-bin/text-idx?rgn=div5&node=23:1.0.1.7.23#se23.1.635_1501
 - Design-Build Contracting, *Title 23 CFR 635.100*, et seq and *Title 23 CFR 636*, et seq.
 - CM/GC Contracting, *Title 23 CFR 635.500*, et seq.
 - ID/IQ Contracting, *Title 23 CFR 635.600*, et seq.
- FHWA's CM/GC webpage: [CM/GC - ACMs - Contract Administration - Construction - Federal Highway Administration \(dot.gov\)](#)
- FHWA's Design-Build webpage: [Design-Build Project Delivery - Construction Program Guide - Contract Administration - Construction - Federal Highway Administration \(dot.gov\)](#)
- FHWA's ID/IQ Contracting webpage: [Indefinite Delivery/Indefinite Quantity Contracting for Federal-aid Construction \(Including Job Order Contracting\) - Construction Program Guide - Contract Administration - Construction - Federal Highway Administration \(dot.gov\)](#)

5.2 Prepare Design Data - CDOT Form 463

The CDOT [Form 463](#), which is completed in the CDOT database, is used on all on and off system projects to document important design information and provide uniform information during the project development process.

Design data on the Form 463 includes, but is not limited to:

1. Safety/Operations/ITS Considerations
2. Right of Way issues
3. Utilities

4. Railroad crossings
5. Environmental category
6. Traffic volumes
7. Roadway classification
8. Structures
9. Design Criteria
10. Scope of Work

The Form 463 is typically filled out by the Local Agency and input into the state database by the CDOT Project Manager. The Form 463 should be prepared soon after the project is created, and the scoping meeting is held. The Local Agency Project Manager should determine accurate project limits, project description, complete all applicable design data, and provide this information to the CDOT Project Manager. Unique Local Agency projects may require additional explanation in the Remarks field of Form 463.

Federal-aid Highway program projects on the National Highway System shall comply with geometric and structural standards outlined in the *CDOT Roadway Design Guide*. The *CDOT Roadway Design Guide* is based on the *AASHTO Policy on Geometric Design of Highways and Streets* (the “Green Book”). A current listing of AASHTO publications that provide valuable information for obtaining good design are found in *Title 23 CFR § 625.4 – Standards, policies, and standard specification*.

When a project reaches the Field Inspection Review stage, the information on the preliminary Form 463 should be complete and the scope of work or the project limits should not change. If it is necessary to revise the project limits or the scope of work, the Form 463 must be revised and the need for an IGA amendment evaluated. The CDOT Project Manager will be responsible to make changes in the CDOT database, T-code ZJ14.

5.3 Prepare Local Agency/CDOT Inter-Governmental Agreement

CDOT will prepare a project IGA detailing the responsibilities for the completion of the project. The agreement shall be developed in cooperation with the Local Agency and shall cover all phases of project work for which funding is approved. See Chapter 3 of this *Desk Reference* for further explanation.

In accordance with CRS 43-1-110(4), IGAs involving more than \$750,000 require the approval of the Transportation Commission. Because an IGA outlines all terms of a project, approval of the agreement serves as approval for all future contributions, option letters to encumber funds / specify phase dates, and amendments for that project. CDOT Engineering Contract Services coordinates the approval process through the Transportation Commission.

5.4 Conduct Consultant Selection/Execute Consultant Agreement

The Local Agency may hire a consultant to design and/or administer the construction of its project. To obtain Federal or State reimbursement, the Local Agency shall use CDOT's consultant selection process, or with the prior approval of CDOT's Engineering Contract Services, use its own consultant selection process. In order to obtain this prior approval, the Local Agency must have its attorney certify that the Local Agency Request for Proposal (RFP) and Consultant Selection Process is in conformance with federal and state laws. For projects with Right of Way acquisition, the Local Agency shall use CDOT's list of qualified acquisition and relocation agents.

A written RFP is prepared by the Local Agency to solicit proposals from the consultants. For purposes of this Desk Reference, RFPs and Requests for qualifications (RFQ) are considered equivalent.

If the Local Agency does not want reimbursement for consulting services, it may use its own consultant selection process without CDOT approval. For consultants performing Right of Way services, see Chapter 8 of the CDOT Right of Way Manual. *Title 23 CFR 172, Administration of Engineering and Design Related Service Contracts*, requires the

state highway agency to ensure that procurement actions by Local Agencies comply with this regulation. Consultant contracts shall be reviewed by CDOT prior to approval.

In accordance with *Title 23 CFR 172.5 (b)* and *Title 2 CFR 200.318*, the Local Agency shall prepare and maintain written policies and procedures for the procurement, management, and administration of engineering and design related consultant services in accordance with applicable Federal and State laws/regulations or adopt CDOT's policies. The Professional Services Contract Unit of CDOT Engineering Contracts Services can be contacted for a copy of CDOT's *Selection Process for Professional Consultant Services Contracts*.

The Local Agency should avoid conflicts of interest, either real or apparent, and should promptly disclose in writing any potential conflict of interest to CDOT. The Local Agency must maintain written standards of conduct covering conflicts of interest and governing the actions of its employees engaged in the selection, award, and administration of contracts.

Because the regulations and laws are lengthy, the subsequent steps serve as a guide for a Local Agency obtaining professional consultant services. This guidance follows the format of *Title 23 CFR 172*. On Federal-aid Highway funded projects, these steps are listed in the CDOT/Local Agency IGA exhibit, *Local Agency Procedures for Consultant Services*.

1. The contracting Local Agency shall document the need for obtaining professional services.
2. Prior to solicitation for consultant services, the contracting Local Agency shall develop a detailed scope of work and a list of evaluation factors and their relative importance. The evaluation factors are those identified in CRS 24-30-1403, *Professional services - listings - preliminary selections*. Also, a detailed independent cost estimate shall be prepared by the Local Agency for use during negotiations with the most highly qualified consultant firm.

3. In accordance with CRS 24-30-1405, *Public notice*, the contracting agency must advertise for consultant contracts (professional services) if the basic construction cost of the project is expected to exceed \$1 million or if the fee for professional services is expected to exceed \$100,000. The advertisement period must be a minimum of 15 (business) days prior to the selection of the three most highly qualified firms, and the advertising should be done in one or more daily newspapers of general circulation or in an approved electronic medium. If the fee for professional services is expected to be \$100,000 or less, advertisement is not necessary, but a competitive selection process is still required.
4. The request for proposals on all projects shall include the following items:
 - a. Scope of work, technical requirements, and qualifications of consultants necessary for the services
 - b. Evaluation factors and their relative importance
 - c. Process for discussions with the three or more of the most highly qualified consultants following submission and evaluation of proposals (if required)
 - d. Method of payment (how the project is funded) and contract type
 - e. Estimated schedule for the procurement process
 - f. Statement indicating whether or not the Disadvantaged Business Enterprise (DBE) program is applicable. (This determination is made by CDOT.) If applicable, include the DBE participation goal set by CDOT (even if the DBE goal is zero).
 - g. Mandatory statements required by the IGA (if any)
 - h. The Local Agency's not-to exceed budget is allowed to be included in the request for proposal, but not required
 - i. Additionally, on projects with Federal-aid Highway funding:
 - Inclusion of the [CDOT Professional Services Local Agency Civil Rights and DBE Program Requirements](#) in the RFP along with a requirement for proposers to submit an [Affidavit of Small Business Participation](#) form with the proposal (even if the DBE goal is zero). The affidavit is the Consultant's contractually binding guarantee to meet the Contract Goal or make Good Faith Efforts to do so. (Failure of the proposer to submit the affidavit will result in the Consultant being deemed non-responsive and ineligible for award.)

- Inclusion of statements contained in the *CDOT Professional Services Local Agency Civil Rights and DBE Program Requirements*, Section II, in the RFP pertaining to consultant assurance, prompt payment and subcontract terms.

Price or cost related items shall not be used as a factor in the evaluation, ranking and selection phase of the most highly qualified firm. This includes, but is not limited to, direct salaries/wage rates, indirect cost rates, and other direct costs.

Contact the Civil Rights & Business Resource Center (CRBRC) for any questions pertaining to DBE requirements and forms.

The draft request for proposal shall be reviewed by the CDOT Project Manager prior to solicitation.

5. The evaluation and selection of the consultants are done in accordance with CRS 24-30-1403. This section of the regulation identifies the criteria to be used in the evaluation of consultants and their team. It also shows which criteria are used to short-list and make a final selection. The selection process is qualifications-based, and cost shall not be considered a factor.

The short-list is based on the following evaluation factors:

- a. Qualifications
- b. Approach to the Work,
- c. Ability to furnish professional services
- d. Anticipated design concepts, and
- e. Alternative methods of approach for furnishing the professional services.

Evaluation factors for final selection are the consultant's:

- a. Abilities of their personnel,
- b. Past performance
- c. Willingness to meet the time and budget requirement,
- d. Location – Note: On Federal-aid Highway program projects, in accordance with *Title 23 CFR 172.7(a) (1) (iii) (C)*, an in-state or local preference shall not be used as a factor in the evaluation, ranking and selection phase. On

state funded projects, in accordance with CRS 24-30-1403 (2), Colorado firms shall be given preference when qualifications appear to be equal. This factor should only be considered after the evaluation and ranking phase. On Federal Recovery Fund projects, in accordance with Title 2 CFR 200.319, geographic location is allowed to be a selection criteria provided its application leaves an appropriate number of qualified firms. While allowable, because of tight deadlines for expenditure of these funds, use of geographic location as a factor is discouraged.

- e. Current and projected workload,
- f. Volume of previously awarded contracts, and
- g. Involvement of minority consultants.

Optionally, the top firms (minimum of 3) can be short-listed and invited to participate in a presentation and interview phase. Final selection will then be made after the presentation and interview score is added.

On projects with Federal-aid Highway funding, after a consultant is selected, the Local Agency shall submit their *Affidavit of Small Business Participation* form along with the statement of interest proposal to CRBRC at CDOT_hq_dbefirms@state.co.us and copy the CDOT Project Manager. The CRBRC will approve the form only if the consultant demonstrates (i) sufficient commitments, or (ii) good faith efforts to meet the established DBE contract goal in accordance with the procedures outlined in the CDOT Professional Services Local Agency Civil Rights and DBE Program Requirements found at the following link: <https://www.codot.gov/business/civilrights/compliance/prof-services/local-agency>.

6. The Local Agency enters into negotiations with the consultant to obtain a fair and reasonable price for the anticipated work. The independent cost estimate prepared in Step 2 shall serve as the basis for negotiation.

Federal reimbursement is limited to those items allowable under the cost principles in *Title 48 CFR 15, Contracting by Negotiation (subpart 15.404-4 Profit)*. Fixed fees (profits) are determined with consideration given to such items as project size, complexity, duration, qualifications of contractors, and degree of risk involved in the work. Profit is not to exceed 15 percent of the total allowable

direct and indirect costs. Costs-plus-percent-of-cost contracts are not permissible.

The draft Consultant Contract shall be reviewed by the CDOT Project Manager to ensure the contract contains the necessary federal and state requirements.

On projects with Federal-aid Highway funding, the Consultant Contract shall contain or link to the *CDOT Professional Services Local Agency Civil Rights and DBE Program Requirements*. These requirements explain the civil rights and prompt payment processes and tracking on professional service contracts and the mandatory use of B2GNow, a web-based compliance system platform on contracts advertised on or after July 1, 2022. CDOT will set up the professional services contract in the B2GNow system using information provided by the Local Agency. See Appendix B for a sample Local Agency Professional Services B2GNow Contract Setup Information form.

If the Consultant Contract includes or is solely for construction contract administration services, the applicable CDOT construction and inspection manuals shall be incorporated by reference in the contract between the Local Agency and the Consultant. For example, if the Consultant was providing Quality Assurance inspections of fabricated items such as girders, the *CDOT Bridge Fabrication Inspection Manual* should be incorporated by reference in the Consultant Contract and the Consultant required to follow the procedures outlined in the manual.

7. A Consultant Contract for federally reimbursable consulting services should not be signed until the Local Agency/CDOT IGA and Option Letter encumbering funds have been signed and made effective by the CDOT Controller. On Federal-aid Highway program projects, the Local Agency shall submit a certification that procurement of any Consultant contract complies with the requirements of *Title 23 CFR 172.5 (b) (1)* prior to entering into such Consultant contract, subject to CDOT's approval. Immediately after the Consultant contract has been awarded, an electronic copy of the executed Consultant contract and any subsequent amendments shall be submitted to CDOT.
8. A qualified Local Agency employee shall be responsible and in charge of the project to ensure that the work being done is complete, accurate, and consistent

with terms, conditions, and specifications of the contract. On Federal-aid Highway funded projects (in accordance with *Title 23 CFR §172.9 (d)(2)*), at the end of the project, the Local Agency prepares a performance evaluation on the consultant and archives it for consideration as an element of past performance in the future evaluation of the consultant to provide similar services. (CDOT Form 313 in Appendix A can be used.)

9. Each of the steps listed above is documented in accordance with the provisions of *Title 2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, (subpart D, 200.334 Retention requirements for records)*, which provide for records to be kept at least three years from the date that the Local Agency submits its final expenditure report. Records of projects under litigation shall be kept at least three years after the case has been settled. On projects with Federal Recovery Funds, records shall be maintained by the Local Agency for a period of five years after all funds have been expended. On state-funded projects, the Local Agency is required to retain project documentation and project records for 3.5 years from the CDOT Form 950 project closure date in accordance with Procedural Directive 21.1, *Requirements for Capital Engineering Program Records*, which is included in Appendix B. A Local Agency may have additional retention requirements on state-funded projects specific to its organization in addition to the 3.5 years. A best practice is for a Local Agency to retain structure records for the life of the structure.

CRS 24-30-1401 through 24-30-1408, *Title 23 CFR 172, Title 2 CFR 200*, and *CDOT Procedural Directive 400.1 - Obtaining and Modifying Professional Services Contracts*, provide additional details for complying with the nine steps discussed above.

Appendix II to Part 200 (Title 2 CFR 200) – Contract Provisions for Non-Federal Entity Contracts Under Federal Awards requires:

It is also the responsibility of the Consultant to comply with the federal statutes and regulations cited in *Title 2 CFR 200*, Appendix II specifically: (A) Administrative, contractual, or legal remedies, (B) Termination for cause and for convenience, (C) Equal Employment Opportunity, (D) Davis-Bacon Act and Copeland "Anti-Kickback" Act, (E) Contract Work Hours and Safety Standards Act, (F) Rights to Inventions

Made Under a Contract or Agreement, (G) Clean Air Act and Federal Water Pollution Control Act, (H) Debarment and Suspension, (I) Byrd Anti-Lobbying Amendment.

See https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl for *Title 2 CFR 200* requirements.

5.4.1 Seek Approval of Local Agency On-Call List for Consultant Selection

Under certain conditions and with CDOT Engineering Contracts Services prior approval, a Local Agency is allowed to use their on-call list of consultants. The Local Agency must provide documentation to CDOT Engineering Contract Services showing compliance with CDOT's consultant selection process and federal requirements at *Title 23 CFR 172.9 (a) (3)* during the initial on-call solicitation. CDOT Engineering Contract Services concurrence with the initial on-call solicitation is required. An additional or second qualifications-based selection procedure is required to select a consultant for the project-specific contract.

The Local Agency shall submit the draft additional or second qualifications-based selection procedure to the CDOT Project Manager for review. The second solicitation does not require advertisement nor has to be a formal request for proposal, but shall include the following items:

- A detailed scope of work and alignment of scope between the initial on-call solicitation and the second step solicitation
- Technical requirements
- Statement indicating whether or not the Disadvantaged Business Enterprise (DBE) program is applicable. (This determination is made by CDOT.) If applicable, include the DBE participation goal set by CDOT (even if the DBE goal is zero).
- On Federal-aid Highway funded projects, inclusion of the *CDOT Professional Services Local Agency Civil Rights and DBE Program Requirements* along with a requirement for proposers to submit an *Affidavit of Small Business Participation* form with the proposal (even if the DBE goal is zero). The affidavit is the

Consultant's contractually binding guarantee to meet the Contract Goal or make Good Faith Efforts to do so.

- Statement that all federal and state laws must be followed
- Contract type and method of payment

This process applies to all projects, both federal and state funded. A minimum of three firms must be solicited from the on-call list for the second step. Price or cost related items shall not be used as a factor in the evaluation, ranking and selection of the most highly qualified firm. Specific questions about use of on-call lists should be directed to the CDOT Project Manager.

5.4.2 Implement Compliance System on Consultant Professional Service Contracts with Federal-aid Highway funding

The Local Agency's selected Consultant will be required to use a web-based platform, currently B2Gnow, to track Civil Rights compliance and prompt payment requirements on Federal-aid Highway funded professional service contracts advertised on or after July 1, 2022. These requirements are found in the *CDOT Professional Services Local Agency Civil Rights and DBE Program/Contract Requirements* at the following link: <https://www.codot.gov/business/civilrights/compliance/prof-services/local-agency>.

5.4.3 Seek Approval of Consultant as Extension of Local Agency Staff

On Federal-aid Highway program projects, with FHWA approval, a Local Agency may use a consultant in a management support (advisory) role in accordance with *Title 23 CFR 172.7 (b) (5)*. To be allowable, a management support role should be limited to the following:

1. Large projects or circumstances where unusual cost or time constraints exist
2. Instances where unique technical or managerial expertise is required, and/or
3. Instances where an increase in agency staff is not a viable option

Specific questions about use of consultants as an extension of staff should be directed to the CDOT Engineering Contracts and FHWA.

5.5 Conduct Design Scoping Review Meeting

The Design Scoping Review (DSR) or scoping meeting creates an early review of a project prior to preliminary design. This enables developing a scope of work that will be consistent with the planning and design characteristics. The CDOT Project Manager issues the invitation to the scoping meeting and invites the following parties, as appropriate:

From CDOT Region:	Others:
<ul style="list-style-type: none"> • Resident Engineer and LA Program Manager • Traffic /Safety Engineer • Utility Engineer • Planning/Environmental Manager • ROW Manager/Supervisor • Materials Engineer • Survey Coordinator • Maintenance Staff, if the project impacts a State Highway 	<ul style="list-style-type: none"> • CDOT Staff representatives: Bridge, Hydraulics, Safety and Traffic, ROW, Transportation Development, Permits, Environmental, Geotechnical, etc. • Other State Agencies • Local Government Agencies (city, county, etc.) • FHWA Representatives (and other federal agencies) • (Specific organizations: emergency, schools, special districts, enhancement sponsors, etc.) • Railroads, Transit Operators, Airports

The Local Agency and the CDOT Project Manager should discuss and agree who will be responsible for preparation of the meeting agenda and for conducting the scoping meeting. Project elements to discuss include, but are not limited to, the following:

- Project scope of work
- Project limits and location
- Project budget (by phase) - A man-hour estimate is needed for the design phase and a ROW phase budget is needed to properly reflect the Local Agency’s portion of ROW costs
- Preliminary construction budget or total project costs

- Design requirements – Typical sections, horizontal and vertical alignment, detour, drainage, approach to project, cut-off points, aesthetic features, pedestrian/bicycle features, landscaping, lighting, major structures and other structures, railroad, safety, traffic control, access control, source of materials, roadway and roadside clearances, erosion control, and pavement and resurfacing options
- Environmental requirements, including any unique considerations such as noise ordinances/time of day issues, permitting needs/requirements, Municipal Separate Storm Sewer System (MS4) requirements, Stormwater Management Plans (SWMP), air quality, National Environmental Policy Act (NEPA) commitment, etc.
- ROW requirements, including construction/temporary easements, acquisition process, and any potential relocations
- Utility requirements, including subsurface engineering (Senate Bill 18-167)
- Survey requirements, including use of unoccupied aircraft systems (drones) in accordance with [Federal Aviation Administration regulations under Part 107](#).
- Geotechnical considerations
- Traffic and safety issues, including technology elements which include a system engineering analysis (SEA) as required per *Title 23 CFR 940*. SEA information can be found at the following link: <https://www.codot.gov/programs/intelligent-transportation-systems/systems-engineering-analysis-sea/sea-and-local-agencies> Sections 1 and 2 of the SEA form can be completed early in the project delivery process to determine if a robust SEA evaluation is required.
- Long lead items
- Proprietary items
- American with Disability Act requirements - See *CDOT Procedural Directive 605.1, ADA Accessibility Requirements in CDOT Transportation Projects*.
- Maintenance concerns or agreements, especially pertaining to projects funded with Permanent Water Quality Program funds.
- Construction requirements, including anticipated Ad date. Note: A final structure quality inspection (of all structures) will be required to determine whether the work is in reasonably close conformity with the plans and specifications. The Local Agency should determine if this inspection will be performed by the Design Engineer of Record or the Engineer in Responsible Charge of Construction as either may perform the inspection.

- Construction management support services and *Division of Project Support Memo 2016-1 Consultant Waiver Request*. See Appendix B for waiver request form.
- Specifications – use of CDOT specifications is preferred. Contact the CDOT Project Manager with questions.
- Requirements pertaining to placement of Art within the project Limits. See the [CDOT Landscape Architecture Manual](#). Contact the CDOT Project Manager with questions.
- Coordination of all disciplines
- Project Schedule, including performance period end dates

Determining the limits of the project and a draft survey request should be one product of the DSR. An adequate field survey is essential to a properly constructed project and is required for land acquisition on a project. For Right of Way acquisition and plans, the accuracy of the survey increases, as listed in 5.5.2, “Minimum Horizontal Accuracy Tolerances,” and 5.5.3, “Minimum Horizontal Accuracy Tolerance Table” of the *CDOT Survey Manual* found at the following link:

<https://www.codot.gov/business/manuals/survey>.

Whenever possible it is desirable to conduct the scoping meeting after the local agency selects its consultant, but before it completes the consultant contract. This enables all parties to ensure that all task items assigned to the consultant are properly addressed in the consultant contract. The consultant will not receive any compensation for activities that precede the Notice to Proceed. The items needed to clear the project for construction will be discussed at the scoping meeting.

The Local Agency prepares the meeting minutes and addresses any action items. The CDOT Project Manager files the minutes in CDOT’s electronic data management system.

5.6 Conduct Public Involvement

It is recommended that Local Agencies involve the public throughout the project development. Project information can be provided via flyers, news releases, or the local agency website. Local Agencies should use their own public participation guidelines

and should notify the CDOT Region Public Information Office of public outreach efforts. Local Agencies should coordinate with CDOT to determine whether there are disproportionately adverse impacts to minority and low-income populations. Title VI Assurances are included in the IGA. For guidance contact your CDOT Project Manager or review the public participation guidelines in Chapter 7 of the *CDOT NEPA Manual*, found at: <https://www.codot.gov/programs/environmental/nepa-program/nepa-manual>

Public meetings can include door to door visits, homeowner group meetings, business surveys or stakeholder meetings, open houses, or formal public meetings and comment periods. It is in the best interest to have a wide range of public involvement early in the project. The elected officials, planners, design engineers and Right of Way agents should attend to get some public feedback on the project. Context sensitive solutions should be considered when designing and constructing the improvement.

When a significant number or proportion of the affected community needs information in a language other than English to participate in the process, the Local Agency shall provide notices of public meetings and project information in the other languages and take any other reasonable steps, including providing an interpreter, appropriate for the scope of the program and the size and concentration of the limited English proficiency population.

Announcement on the Local Agency's website of the design of the transportation improvement project and its corresponding public meeting is also effective.

5.7 Conduct Field Inspection Review (FIR)

The Field Inspection Review (FIR) is the on-site review of preliminary construction plans and cost estimate that signifies the end of the preliminary design phase and represents a 30% complete project. Often, the FIR is held in an office or virtual meeting environment with an optional field trip to visit the site. FIR plans are preliminary in nature, but still must contain applicable required items and details of all salient features. The FIR is held to conclude all unresolved issues identified during preliminary design and to establish the specific criteria and direction that are to be used in the final design.

The Local Agency should coordinate the electronic transmittal of the FIR plans with the CDOT Project Manager. While a month is preferable, a minimum of two weeks should be allocated for CDOT staff review. If the plans as submitted do not reflect a 30% complete project, the CDOT Project Manager should not schedule or hold the FIR meeting.

The CDOT Project Manager provides the FIR plans to CDOT Specialty staff. Depending on the complexity of the project, the Local Agency's consultant, or Staff Bridge, may request a separate structures FIR. Outside public agencies involved in a project may request a separate field review prior to the FIR.

The following items, if applicable, are required prior to the FIR:

- Scoping, Budgeting, and Planning
 - Preliminary alignment data
 - Justification for variances
- Environmental Clearance Document
 - Form 128 – Categorical Exclusion Determination showing clearance activities or other appropriate clearance document
 - Federal-aid Highway funded projects not eligible for Programmatic Categorical Exclusions require FHWA sign-off
- Traffic
 - Identification of detours and the proposed preliminary construction-phasing plan
 - Complete traffic data, accident data, safety report, and turning movements, if required
- Materials
 - Soil survey should be completed
 - Final stabilization plan should be provided
- Right of Way
 - The assessor's parcel maps, ownership list, old Right of Way plans, and other available Right of Way information should be prepared for review by the ROW Plans PLS-II or delegated reviewer for ROW Plans. Any property acquisition areas are needed, if possible.
 - The consultant selection process for Right of Way work should be initiated prior to the FIR and shortly after the scoping meeting to allow the

consultant time to complete the topographical survey and preliminary ownership map prior to the FIR. Accurate location of all existing Right of Way and property lines cannot be provided until adequate research of public records has been completed at a minimum.

- Utilities
 - Existing utility information, including irrigation ditches and water rights in compliance with Senate Bill 18-167.
- Hydraulics
 - A preliminary hydraulic report or design should be provided prior to the FIR. Requirement may be adjusted by the region depending on project complexity.
- Structures
 - A Structures Selection report should be provided prior to the FIR.
- Wetlands
 - Identification and scheduling of wetland mapping.
- Survey
 - A complete survey, including topography, utilities, and existing monumentation should be completed and tied to CDOT's survey control network, High Accuracy Reference Network (HARN), if within CDOT ROW.
 - If Right of Way is involved, aliquot section corners, property pins, and Right of Way markers must also be tied to CDOT's survey control network to allow work on the ownership map to begin.
- Preliminary Cost Estimate
- Required on all FIR-level Plans
 - Scoping, budgeting, and planning:
 - A title sheet, typical sections, general notes, plan and profile sheets with existing topography and utilities, proposed alignments, slope catch points, profile grades, ground line, cross sections, existing Right of Way and rough structure notes, drainage plan, access plan, and detour plan.
 - Environmental:
 - a. Mapping of any existing wetlands
 - b. Preliminary mitigation plan
 - c. Locations of environmental constraints (other than wetlands)

- d. Initial site assessment completed, and potential hazardous materials sites identified.
 - e. Preliminary SWMP
- Traffic
 - a. Traffic volume data
 - b. Conceptual construction phasing plan
- Structure
 - a. Bridge general layouts and applicable plan sheets
 - b. Major structure cross-sections
- Materials
 - a. Soil profile and stabilization requirements
- Right of Way
 - a. Existing and proposed Right of Way shown on the design plan
- Utilities
 - a. Identification of impacts to utilities shown
 - b. Names of utility companies and contact personnel
- Other
 - a. Preliminary layouts of interchanges and intersections
 - b. Special details and unusual specifications
 - c. Driveways and field approaches
- Desired Items – The FIR plans should contain the following items if available in time for the scheduled FIR:
 - Preliminary survey tabulation sheet
 - Preliminary survey control sheet

The Local Agency coordinates with the CDOT Project Manager to schedule the FIR meeting at a mutually beneficial time, prepares the agenda and conducts the meeting. The Local Agency should document all comments in a Comments Resolution matrix. Specialty Unit staff provide written comments prior to or attend the meeting to provide comments. The items to be reviewed may include, but are not limited to, the following:

- Scoping, Budgeting and Planning
 - Typical sections, stabilization, and general notes
 - The horizontal and vertical alignments
 - Plan details for approaches to project

- Preliminary cost estimate
- Schedule, including performance period end dates if applicable
- Budget
- Environmental
 - Plan details for measures to mitigate or avoid adverse environmental impacts
 - Preliminary field mapping of existing wetland areas
 - Stormwater management plans
 - Permit requirements
- Traffic
 - Plan details for any provisions for traffic during construction, including detours, phasing, and barrier
 - Traffic control plan
 - Traffic signal plan (if applicable)
 - System engineering analysis evaluation in accordance with *Title 23 CFR 940* if not completed during scoping or if a robust analysis is required
- Structures
 - Structure Selection Report – QA Checklist found at:
<file:///C:/Users/colec/Downloads/Chrome/Structure%20Selection%20Report%20QA%20Checklist.pdf>
 - Structure demolition method
- Materials
 - Stabilization Report and Life Cycle Cost Analysis (if available)
 - Materials Recommendation Report
 - Quality incentives
 - FIPIs for proprietary items, if any
- Right of Way
 - Right of Way requirements and access control plan
 - Impacts to buildings, other improvements, and agricultural operations
 - Number of owners affected and what the impacts are
 - If relocation of homes, businesses, farms or personal property are required, the Local Agency or their agent consultant must prepare an Acquisition Stage Relocation Plan. (CDOT Form 557 and see *Title 49 CFR 24.205*)
 - Purchase of mitigation areas

- Existing Agreements that have conditions affecting plans
- Plan details for fencing requirements
- Purchase of utility easement
- Purchase of temporary construction easements
- Section 4(f) process requirements
- Utilities
 - Utility relocation requirements
 - Power sources
 - New or future utility accommodations
 - Irrigation ditches
- Agreements, justifications, and approvals status
 - Railroad requirements and other agreement conditions
 - Requirements for any Intergovernmental Agreements
 - Requirements for any Maintenance Agreements, especially pertaining to Permanent Water Quality Program funding
 - Coordination of all design elements requiring mitigations, action items, conditions, or justifications
- Survey
 - Preliminary survey tabulation sheet
 - Additional survey needs
- Hydraulics
 - Irrigation and drainage requirements
 - Preliminary drainage report, as applicable
 - Major structure sizing
- Others
 - Use of CDOT Standard Specifications
 - Safety issues
 - Maintenance concerns
 - Special interest groups
 - Specialty reports (safety, geotechnical)
 - Fencing

The Local Agency prepares and distributes the meeting minutes and addresses any action items. The CDOT Project Manager files the minutes in CDOT's electronic data management system.

5.8 Conduct Environmental Processes

The Local Agency must ensure that the environmental consequences of its transportation project have been adequately considered and that required mitigation measures can be completed within the timeframe and budget described in the application. An environmental NEPA clearance (front page for the CDOT Form 128) is required before final design, Right of Way acquisition and construction funds are authorized. Contact the CDOT Project Manager for guidance concerning the environmental requirements. Among those requirements, Environmental Justice considerations should be analyzed and documented, if applicable. For more information see Chapter 9.15 of the *CDOT NEPA Manual*, found at:

<https://www.codot.gov/programs/environmental/nepa-program/nepa-manual> .

On Federal-aid Highway funded projects, also see Chapter 3 of the *FHWA Project Development and Design Manual*, found at:

<http://flh.fhwa.dot.gov/resources/manuals/pddm/> .

5.9 Acquire Right of Way

All Right of Way needed in connection with Local Agency projects must be acquired in compliance with Public Law 91-646, the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended¹, commonly called the Uniform Act. The rules are reprinted each year in *Title 49 CFR 24*. See

http://www.fhwa.dot.gov/real_estate/uniform_act/ or *Title 49 CFR 24.102*.

Before Federal funding can be authorized for Right of Way purposes, CDOT must review and approve a set of Right of Way plans. The Right of Way plans shall include legal descriptions and topographic features for all land acquisitions. An approved Acquisition Stage Relocation Plan (CDOT Form 557), if applicable, and cost estimates for Right of Way acquisition need to be submitted with the Right of Way plans in the packet requesting approval prepared for the project. See the CDOT Region Right of

¹ As amended by Public Law 100-17, Apr. 2, 1987, Title IV, Uniform Relocation Act Amendments of 1987; As amended by Public Law 102-240, Dec. 19, 1991, Sec. 1055, Relocation Assistance Regulations Relating to the Rural Electrification Administration; As amended by Public Law 105-117, Nov. 21, 1997, Sec. 104, an Alien not lawfully present in the United States.

Way Program/ Manager for the extent of Right of Way plans needed to obtain approval.

The Uniform Act applies when Federal dollars are utilized in any phase of the project. The Uniform Act applies even when Federal dollars are not used specifically for property acquisition or relocation activities, but are used elsewhere in the project, such as planning, environmental assessments or construction. The Uniform Act also applies when Right of Way is acquired for projects that modify state highways where no Federal dollars are used in any phase (100% local funded projects).

The Uniform Act is divided into three major sections or titles. Title I, General Provisions, covers definitions. Title II, Uniform Relocation Assistance, contains provisions relating to the displacement of persons or businesses by Federal or federally assisted programs or projects. Title III, Uniform Real Property Acquisition Policy, pertains to the acquisition of real property for Federal or federally assisted programs or projects.

CDOT must provide assurance to the FHWA that it can fully comply with the Uniform Act. The Local Agency must certify that it has followed the Uniform Act when acquiring real property. Pursuant to *Title 23 CFR 635.309 Authorization*, a project should not receive authorization to advertise until a statement is received that all Right of Way clearance, utility, and railroad work has been completed or that all necessary arrangements have been made for it to be undertaken and completed as required. See Appendix B for two examples of Right of Way certification letters.

If Right of Way is required for a project, the minimum timeline necessary to complete the acquisition process ranges from 12-24 months. It is preferable for all Right of Way to be purchased and taken into possession prior to concurrence to advertise for bids. However, the Local Agency may request a conditional Right of Way clearance per *Title 23 CFR 635.309 (c)(3)(i-v)* in some situations where there is a critical need to accelerate the advertisement of the project. Using CDOT's Right of Way clearance form, Local Agencies may apply for a conditional Right of Way clearance to their CDOT Region Right of Way Program/Manager. The Region Right of Way Program/Manager will evaluate the request considering the public interest to be served with the risk of construction delay damages that the Local Agency would be taking if the request were approved. If the Region Right of Way Program/Manager approves, the request then goes to CDOT's Project Development Branch Manager for review, and either approval

or denial. When Regions approve a Local Agency's decision to take a risk or if the risk is very low, the CDOT Project Development Branch Manager will likely approve the conditional Right of Way clearance request. In situations where people are residing on any of the parcels on the project – or in that phase of the project – CDOT's policy is not to approve the request unless sufficient evidence substantiates that the displacees have been informed about the project and would have protection from any construction activity should the construction begin before all are relocated. If the relocation is personal property (like a junkyard) or a business, a conditional clearance may be approved if there is a reasonable plan in place for relocating the personal property or if the business owner doesn't plan to reestablish their business. Or, if the business owner has been provided comparable business replacement locations and there is a reasonable plan in place for relocation of the business, a conditional clearance may be approved. Also, when a project with a conditional Right of Way clearance is advertised, the ad set must contain information about the no-work parcels and the estimated availability dates. See Chapter 8 of the ROW manual, found at: <https://www.codot.gov/business/manuals/right-of-way/Chapter%208%20-%20Local%20Public%20Agencies>.

The Local Agency may accept, as part of a Federal or federally assisted project, a parcel that a developer is required to dedicate to the Local Agency based on the requirements of the Local Agency in the planning, subdivision and zoning approval process. Dedication is the process in which a local government directly appropriates property for a future public use in the subdivision platting and zoning approval process. Dedications are usually consummated at the time of subdivision approval. Dedications must be completed and enforceable before the Local Agency requests a Right of Way clearance.

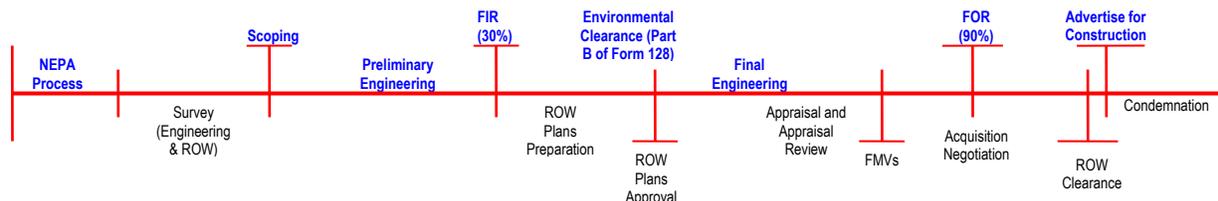
Real property obtained through a Local Agency's planning, subdivision and zoning process are often strips of land for transportation purposes. When the Local Agency acquires land through application of its planning, subdivision and zoning rules, it is a use of the Local Agency's police power. Police power does not require payment for the land acquired through dedication, as dedication is not a use of eminent domain. Land acquired in this manner may be incorporated into a federally assisted project without jeopardizing participation in other project costs.

Property owners whose real property is to be acquired for a project may make a gift or donation of the land, or any part of it, or of any of the compensation paid for it, to the acquiring agency. The owner-donors must be fully informed of the right to receive just compensation for the acquisition of the property if it is desired. The owners must also be fully informed that they are entitled to have an appraisal made of the property along with an offer of just compensation. The owners may release the Local Agency from either or both of these obligations. This release must be acquired in writing and cannot be obtained through coercion. CDOT Form 1344, Real Property Donation, is used in instances where property is donated for a Local Agency project.

The Local Agency shall work closely with the CDOT Project Manager and the CDOT Region Right of Way Program/Manager during the entire acquisition process, both to expedite acquisition and to assure that all Federal and State requirements are met.

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Right of Way Acquisition Pursuant to the Uniform Act



Observations:

- ROW Process is a system of handoffs
- ROW Process interacts with other disciplines, e.g.: Engineering, Environmental, Utilities, etc.

The above illustration shows that the Right of Way timetable threads its way through the environmental clearance and design process. NEPA clearance (without corresponding permits) is required before Right of Way plans are approved by CDOT. Thus the notice to proceed with the owner interaction and appraisals period is dependent upon the Right of Way plans approval. See Chapter 8 of CDOT’s Right of Way Manual for in-depth instructions and further regulations at:

<https://www.codot.gov/business/manuals/right-of-way/Chapter%208%20-%20Local%20Public%20Agencies> .

The local agency shall use appraisers and acquisition agents selected from CDOT's RFP list or CDOT's qualification acquisition and relocation agent list in accordance with section 8.4.1 of CDOT's Right of Way Manual. Once the appraisal is completed, it must be sent to the CDOT regional ROW office for review. This review may require the Local Agency's appraiser to adjust the appraisal. It is about a 3-to-4-week process. It is wise to also obtain the owner's appraisal at about the same time, as this can generally be used for setting or adjusting the Fair Market Value (FMV) by the CDOT regional office.

Negotiations between the Local Agency and the property owner can begin when the FMVs are established. If the Local Agency decides to compensate the owner more than the FMV for some reason, the CDOT Region Right of Way Program/Manager shall be informed of this decision. All possession and use and final closing documents must be copied to the regional ROW manager.

CDOT forms must be used for Right of Way acquisition since it streamlines the process and provides a very easy way for CDOT to concur with these actions. The property must be free of all liens and encumbrances to avoid endangering the integrity of the federally funded facility.

5.10 Obtain Utility and Railroad Agreements

Utilities

It is the Local Agency's responsibility to coordinate with all affected utility owners to identify existing facilities, determine where conflicts exist, and negotiate relocation requirements and payment terms. The Local Agency is also required to comply with Subsurface Utility Engineering (SUE) requirements found in CRS 9-1.5-102, et seq. More information is also available at the FHWA SUE website found at:

<https://www.fhwa.dot.gov/programadmin/sueindex.cfm> .

Pursuant to *Title 23 CFR 635.309(b) Authorization*, no project can be advertised until CDOT has provided written certification that all conflicts with the utility companies have been resolved. The Region Utilities Engineer will issue a Utility clearance for the project (See Appendix B).

The Region Utilities Engineer provides guidance to the Local Agency Project Manager in identifying and addressing all utilities affected by the project. The Local Agency Project Manager shall:

1. Identify, verify, and locate known utilities and conflicts within project limits in accordance with SUE quality level requirements. The Utility Conflict Matrix is used to identify utility conflicts with roadway design features.
2. Coordinate necessary utility relocations and negotiate the agreements and/or permits.
3. Draft project utility specifications, and ensure that existing utility lines and any relocation requirements are accurately shown and identified on the project plans, specifications and estimates.
4. Submit project Utility Clearance letter to the Region Utilities Engineer.
5. Process utility billings.

Railroads

The Local Agency may encounter railroad involvement in one of two contexts:

1. On projects specifically for the installation of safety devices at highway/rail at-grade crossings, or
2. When the transportation project will encroach upon railroad property and/or impact railroad facilities.

On Local Agency projects with railroad involvement, an agreement between the railroad and the Local Agency is required which can significantly affect the project schedule. An application may need to be submitted to and approved by the Colorado Public Utilities Commission. The CDOT Railroad Program Office in the Project Development Branch can furnish guidance and support at the Local Agency's request.

5.11 Conduct Final Office Review (FOR)

The FOR plans and specifications shall be final in nature. The FOR is a final review of construction plans, specifications and cost estimates for completeness and accuracy.

FOR documents shall consist of the following package:

1. Plans and specifications
 - i. Complete project plans containing all necessary tabulations and details required for construction (including an approved Storm Water Management Plan).
 - ii. Project Specifications
 - iii. A listing of special provisions (project and standard special) necessary for the project, current as of the date of the FOR.
 - iv. The project manual or document containing the general terms of the contract
2. Cost Estimate
An updated cost estimate of all finalized plan quantities, including planned force account work and other items chargeable to the project such as design, Right of Way, utilities, and construction engineering
3. System Engineering Analysis (SEA) evaluation, as applicable
4. CDOT Form 859 – Project Control Data, Construction
The Local Agency should complete and sign Form 859. The contract time shown on Form 859 should match the time in the Commencement and Completion of Work special provision, (CDOT Standard Specifications, §108.08).

The Local Agency should coordinate the electronic transmittal of the FOR package with the CDOT Project Manager. Upon receipt of the FOR documents, the CDOT Project Manager electronically transmits the information to Specialty Staff and schedules the FOR meeting. While a month is preferable, a minimum of two weeks should be allocated for CDOT staff review. The CDOT Project Manager should not schedule the FOR meeting if the FOR package is not complete. The FOR package should be reviewed for completeness and accuracy of construction details and plan quantities.

The Local Agency develops the agenda and conducts the FOR meeting. The Local Agency prepares and distributes the meeting minutes and documents any remaining final action items in a Comments Resolution matrix. The CDOT Project Manager files the minutes in CDOT's electronic data management system.

5.12 Justify Force Account Work by the Local Agency

Construction of a project shall be performed under a contract awarded to the lowest responsible bidder. However, under limited circumstances, subject to CDOT's approval, it may be in the public interest for a Local Agency to construct a portion of a project on a force account basis. In this context, the term "force account construction method" means the direct performance of project work by the Local Agency using labor, equipment and materials furnished by it and used under its direct control.

It may be found in the public interest and cost effective for a Local Agency to undertake a construction project by the force account construction method when a situation arises in which the rights and responsibilities of the community at large are so affected as to require a special course of action. Situations that may justify a request for a Force Account Construction Method – Finding in the Public Interest (FIPI) are listed in [CDOT Form 895](#), and include the following:

1. Emergency repair work
2. Railroad or Utility work
3. Contract value under \$50K; lack of bids; or bids received were unreasonable
4. Incidental work for which the force account construction method is cost effective
5. Material furnished by the Local Agency
6. Unusual circumstances unlikely to recur for which the force account construction method is cost effective

When the force account construction method is considered, it must be justified by a cost effectiveness determination that shows a substantial savings over estimated contract prices.

1. The cost effectiveness determination is prepared by the Local Agency and should compare the detailed cost estimate for work by the force account

- construction method with the detailed cost estimate of work by the competitive bid method of construction. The estimates for both shall be all inclusive so a fair and equal comparison can be made.
2. The Local Agency estimate for the force account construction method must include all costs associated with the work and not just the work that will be billed to the project. These costs include non-reimbursable costs that are inherent to the work including labor, overhead, equipment, materials, and supplies.
 3. The cost effectiveness determination may be based on unit prices, including all engineering and administrative costs. Unit prices must be based on the cost of performing the work. If the Local Agency has no set rates for its equipment, it may use the current rental rates specified in subsection 109.04 (c) of CDOT's Standard Specifications.
 4. The cost effectiveness determination must include the overhead costs incurred by the Local Agency (employee wages, benefits, and equipment costs) and other items subsidized by the taxpayer
 5. To perform work by the force account construction method, the Local Agency must be adequately staffed and suitably equipped to perform the work cost effectively in the prescribed time.

The CDOT Region Program Engineer must approve the FIPI justification before a Local Agency is authorized to perform any work on a project by the force account construction method. Upon receipt of the FIPI justification, the CDOT Region Program Engineer will prepare the CDOT Form 895 – Region Certification – Force Account Construction Method –and Finding in the Public Interest (see Appendix A). For more information on Federal-aid Highway funded projects, see FHWA Policy on Agency Force Account Use, FHWA Order 5060.1 at the following link:

<https://www.fhwa.dot.gov/legsregs/directives/orders/50601.cfm>

5.13 Justify Proprietary, Sole Source, or Local Agency Furnished Items

In accordance with [Design Bulletin 2020-2](#), when the use of a patented or proprietary (trade name), sole source, or Local Agency furnished item is essential for a project, the Local Agency should prepare a simplified CDOT [Form 1381](#) Proprietary Item – Certifications or Finding in the Public Interest (FIPI) which documents that no equally

suitable alternative exists. This applies to all projects, NHS and non-NHS, regardless of funding source. See Section 2.24 of the [CDOT Project Development Manual](#).

One or more of the following criteria must be documented in the Form 1381 to justify the use of proprietary items:

1. The Local Agency certifies that such patented or proprietary item is essential for synchronization with existing transportation facilities; or
2. The Local agency certifies that no equally suitable alternative exists; or
3. Such patented or proprietary item is used for research or for a distinctive type of construction on relatively short sections of road for experimental purposes.
4. It is in the public interest not to allow any other projects even though other equally acceptable materials or projects are available.

A FIPI may be written for use of a proprietary item on a specific project (Resident Engineer approval), for use on a region-wide basis (CDOT Program Engineer approval) or for use on a state-wide basis (Branch Manager approval). A project specific FIPI applies only to that one project and cannot be used to justify use of the proprietary item on other projects. When research is used as the justification for using a proprietary item, the CDOT Resident Engineer sends a copy to the CDOT Standards and Specifications Unit for tracking purposes.

5.14 Document Design Exceptions – CDOT Form 464

The CDOT [Form 464](#) – Design Exception Variance Request is used to document a project design exception (variance). This form documents important decisions, mitigation and safety information required when minimum design standards, as identified on the CDOT Form 463 – Design Data cannot be met. See Section 2.06 of [CDOT Project Development Manual](#) for information on preparing a variance letter.

Variances of the *CDOT Bridge Design Manual* shall be approved by Staff Bridge. The CDOT Project Manager should file a copy of the form in ProjectWise Explorer in accordance with PD 21.1 and CDOT Record File Plans.

5.15 Seek Approval of Guaranty and Warranty Clauses

In accordance with *Title 23 CFR 635.413* and [Design Bulletin 2010-3](#), warranties or guarantees are allowed on Federal-aid Highway projects; however, their inclusion within the contract must be limited to a “specific product or feature” and cannot “place an undue obligation on the Contractor for items or conditions over which the contractor has no control.” Warranties for “all work” on the project to be free from defects for a 1-year or 2-year period are not allowed. Warranties for items of maintenance are not eligible for federal participation and will not be allowed. Allowing the use of a “General Warranty” by making an item non-participating is not an acceptable solution since this is viewed as circumventing the federal requirements. CDOT applies this policy to all projects including those that are state funded or are not on the NHS.

5.16 Justify Colorado Residency Labor Preference

In accordance with [Design Bulletin 2010-3](#) and *Title 23 CFR 635.117 (b)* “...no procedures or requirement shall be imposed by any State which will operate to discriminate against the employment of labor from any other State, possession or territory of the United States, in the construction of a Federal-aid project.” The Colorado Labor on Public Works statute found at CRS 8-17-101 does not apply to projects that receive federal funds and should not be referenced. The *Standard Special Provision Revision of Section 103 – Colorado Resident Bid Preference* should only be included when state/local funds are used on applicable Local Agency projects.

5.17 Seek Approval of Specifications on Local Agency Project

In accordance with [Design Bulletin 2010-2](#), unless otherwise approved, Local Agencies shall use the latest editions of the CDOT Standard Specification, standard special provisions, and M&S Standard Plans. The standards and specifications noted in the previous sentence will be referred to as specifications for simplicity throughout the remaining portions of section 5.17. These specifications are approved by FHWA and CDOT for use on federal and state funded projects. The Local Agency, in consultation

with the CDOT Project Manager must follow one of the three options listed below for specification packages:

- Option 1: Utilize CDOT Standard Specifications, applicable CDOT standard special provisions, and applicable CDOT approved project special provisions. Approved changes to definitions and substitution of the local agency dispute resolution process for the CDOT dispute resolution process [subsections 105.21 through 105.23] are the only revisions to Section 100 of the CDOT specifications allowed.
- Option 2: Utilize CDOT Standard specifications, applicable CDOT standard special provisions, CDOT approved project special provisions, and CDOT approved substitutions for or revisions to Section 100 of the CDOT specifications. The Local Agency can replace CDOT specifications in part with CDOT-approved project special provisions. The Local Agency shall review CDOT's Section 100, and the Local Agency's proposed substitutions for their corresponding specifications to ensure that the requirements within the CDOT specifications and applicable Standard Special provisions are addressed in the Local Agency's proposed specification substitution.
- Option 3: Substitution of the Local Agency's own standard specifications or the Local Agency's own set of custom specifications for the CDOT Standard Specifications. The substitution, in whole, of specifications shall conform to the same State and Federal regulations as CDOT's specifications. The Local Agency shall review CDOT's Section 100, and the Local Agency's proposed substitutions for their corresponding specifications to ensure that the requirements within the CDOT specifications and applicable Standard Special provisions are addressed in the Local Agency's proposed specification substitution. This option could be project specific or for all of the Local Agency's projects.

The 3 options noted above are explained in further detail in subsequent paragraphs.

The decision to use the CDOT Standard Specifications, use the CDOT Standard Specifications with approved substitutions, or substitute the local agency's specifications in whole should be made at or prior to the project scoping meeting to allow for the necessary review time by CDOT. Significant additional time is typically

required for CDOT to review and approve custom specifications. FHWA and CDOT may require major revisions to the Local Agency specifications before use. If the Local Agency requests to use their own agency standard specification(s) in part, the Local Agency must include the complete language in a project special provision in the specification package, not just provide a link.

A local agency desiring to advertise a project using Local Agency Standard Specifications or substitutions must obtain approval at least four weeks prior to the FOR meeting.

Approval on Individual Local Agency Project

The CDOT Project Manager provides the initial review of the specification package and has the option to forward the complete set to the CDOT Standards and Specifications Unit for review and approval. See Appendix B for a Local Agency Specification Review Checklist, which should be completed by the CDOT Project Manager prior to forwarding documents to the CDOT Standards and Specifications Unit.

For each project, the Local Agency electronically submits the following documents in Microsoft Word format to the CDOT Project Manager:

1. Proposed project special provisions
2. Index of proposed CDOT standard special provisions
3. Contract Documents – including but not limited to instructions to bidders, general conditions, special conditions, and a copy of the proposed contract between the Local Agency and the low bid contractor

If a Local Agency has its own standard specifications that it intends to use to control construction on a project, the specifications should be submitted to the CDOT Project Manager at least four weeks prior to the Final Office Review. Review of these documents for a specific project does not constitute approval for use on all of that Local Agency's projects. CDOT approval of the Local Agency specifications is required before the Local Agency is permitted to use its own standards and/or specifications to control construction on a project.

All Local Agency project specifications used in conjunction with the CDOT Standard Specifications shall follow the format described in the [CDOT Style Guide for Writing Specifications](#), and the [CDOT Roadway Design Guide](#), Chapter 16.

A Local Agency that is approved to use its own specifications for a portion of the CDOT Standard Specifications shall provide a clear order of precedence of the contract documents.

Approval on all the Local Agency's Projects

A Local Agency desiring to use its standard specifications or contract documents on all of its projects in part or in whole, either by referencing them as a source document in the project specifications or as a stand-alone substitute for Section 100 or any other section of the CDOT Standard Specifications, must submit them for detailed review. This review would be a one-time detailed, comprehensive review to ensure compliance with State and Federal regulations. The detailed review is estimated to take several weeks. The Local Agency should submit the substitution documents to the CDOT Project Manager for forwarding to the CDOT Standards and Specifications Unit. Submittals are reviewed in the order that complete packages are received.

For this review, the Local Agency electronically submits the following applicable documents in Microsoft Word format to the CDOT Project Manager:

1. Proposed project special provisions
2. Index of proposed CDOT standard special provisions
3. Contract Documents – including but not limited to all: instructions to bidders, general conditions, special conditions, and a copy of the proposed contract between the Local Agency and the low bid contractor
4. General information
5. A copy of or link to Local Agency Standard Specifications
6. Completed and signed Local Agency Specification Review Checklist. See Appendix B.

The CDOT Project Manager forwards the complete package to the CDOT Standards and Specifications Unit for review and approval. Once approved, a Local Agency may continue to use its specifications and contract documents on all future projects for a period of five years unless the specifications or contract documents change.

If a Local Agency modifies its approved specifications or documents, the agency shall submit the changes in electronic format to the CDOT Project Manager who will forward it to the CDOT Standards and Specifications Unit for review and approval. The Local Agency shall submit a completed CDOT [Form 1215](#) providing the explanation for the change with the proposed revision.

The Local Agency must renew the approval of its standard specifications and contract documents every five years by submitting them for approval. CDOT's Standards and Specifications Unit will track the approvals and notify the CDOT Project Manager when approval of its standard specifications and contract documents is about to expire.

Use of Local Agency Specification Review Checklist

The Local Agency is encouraged to use the "Local Agency Specification Review Checklist" on all submittals to ensure that project plans and specifications have been reviewed and are compliant with Federal and State regulations. See Appendix B.

Use of Project Specification Assembly Tool (PSA)

On projects using CDOT Standard Specifications, this tool can be used to assemble the required Project Special Provisions and the current Standard Special Provisions Index into an overall Specifications Package for use in an advertisement set. The tool is found at the following link: <https://www.codot.gov/business/designsupport/cdot-construction-specifications/2019-construction-specifications/psat-1>

5.18 Prepare Plans, Specifications, Construction Cost Estimates and Submittals

Plans and specifications of a project describe the location and design features with all the construction items in sufficient detail to facilitate construction. The estimate reflects

the anticipated costs in detail to permit an effective review and comparison of bids received.

A complete plans, specifications and estimate package (PS&E) shall include:

1. *CDOT Standard Specifications for Road and Bridge Construction* as supplemented by CDOT Standard Special Provisions (SSP), CDOT Project Special Provisions (PSP), CDOT M&S Standard Plans and approved Local Agency specifications.
2. Plans in the form of detailed drawings.
3. Detailed cost estimate of bid and force account items (by the Local Agency). CDOT's review of the final cost estimate prior to completion of the bid package will be at the discretion of the Project Manager. Bid item information is available on the CDOT website at: <https://www.codot.gov/business/eema> .

For all projects that require the preparation of design or engineering plans, the Local Agency is required to have professional personnel on its staff or under contractual agreement to be in charge of the project. As appropriate, this professional may be an architect certified by the Colorado Board of Examiners of Architects, an historian, an architectural historian, or a Professional Engineer certified by the State Board of Professional Engineers and Land Surveyors. All projects involved with the rehabilitation or preservation of historic buildings, structures or sites are coordinated with and receive written approval from the State Historic Preservation Officer.

Construction plans and specifications are electronically sealed by the Professional Engineer according to Rule VIII, bylaws and rules of procedure of the State Board of Registration for Professional Engineers and Professional Land Surveyors, and *CDOT Procedural Directive 508.1 – Reqmts. for the Use of the Professional Engineer's Seal*. The Local Agency's project manager is responsible for coordinating all project-related activities with CDOT, including the status of the project plans. CDOT has final approval authority for plans and specifications submitted for advertisement and construction.

The Local Agency completes the project plans and specifications in conformance with Local Agency/CDOT IGA requirements during the project development process. CDOT reviews the final set of construction plans and specifications.

5.19 Comply with CDOT Staff Bridge Requirements for Off- and On-System Bridges and other Structural Work

For Local Agency projects, CDOT Staff Bridge will provide limited technical assistance, when requested, to Local Agencies, Consultant design engineers, and CDOT Regions. This assistance will involve answering specific questions and facilitating the use of CDOT structures-related documents. This assistance will be provided by the Staff Bridge PE II, or their designee, assigned to the Region where the project is located.

This person will be the CDOT Structural Reviewer for the project. See Appendix B for an example Local Agency Bridge Project Checklist and a Final Design Submittal Checklist.

Regardless of the technical assistance provided by CDOT, the Local Agency's Structural Design Engineer-of-Record (EOR) for the project is solely responsible for all structural engineering decisions concerning permanent or temporary work that could create a danger to the life, health, property, and welfare of the public. This responsibility applies to Local Agency projects under CDOT's oversight, both within CDOT Right of Way and/or within the Local Agency Right of Way. As a recipient of federal and/or state funds, the Local Agency is responsible for following all federal and state laws and regulations and the Local Agency should pass appropriate responsibilities through to its Consultants. Any agreement between the Local Agency and its Structural Design EOR should clearly identify responsibilities of each party.

Prior to advertising Local Agency projects with major or minor structures, walls, tunnels, ancillary structures or miscellaneous structures, design information must be submitted to CDOT Staff Bridge for review and archiving according to the *CDOT Bridge Design Manual* at: <https://www.codot.gov/library/bridge/bridge-manuals/lrfd-bridge-design-manual>. Staff Bridge will provide reviews of the Local Agency's structural plans and specifications to help ensure that the Department's written minimum requirements for safety, inspection access, and geometry are satisfied and that the new construction has no adverse impact on CDOT facilities. For bridges off of the National Highway System, some CDOT practices may be omitted with CDOT approval through the variance process. The review will include helping to ensure that CDOT's written minimum requirements for structure durability are satisfied.

Unless otherwise noted, all documents shall be submitted with files clearly labeled to facilitate the archival process. Files will be retained by Staff Bridge in CDOT's electronic document management system, currently ProjectWise. The following items shall be placed in ProjectWise (preferred) or submitted by the Local Agency or the Local Agency's Consultant to the CDOT Project Manager for forwarding to Staff Bridge. These items should be received and reviewed prior to final payment for the design phase:

1. Design and Independent Design Check Calculations, a complete and final set, in electronic format, for each major and minor structure on the project. Independent Design Checks are required for only major and minor structures that carry the highway system and other structures that could affect the highway system, i.e., walls, non-standard inlets and culverts, and non-S-standard sign and signal structures. Exceptions may be as approved by Staff Bridge. Both Design Calculations and Independent Design Check Calculations packages must be signed and sealed by a Colorado Licensed Professional Engineer (CO PE sealed). Minor additions to CDOT owned structures do not require sealed calculations with the submittal package as approved by Staff Bridge.
2. Any supporting documents/reports available, e.g., Structure Selection Report, a finalized copy for each major structure (CO PE sealed), Final Geotechnical Report (CO PE sealed), Final Hydraulics Report (CO PE Sealed), etc.
3. A Load Rating Package (for all major structures and as defined in the *CDOT Bridge Rating Manual*) (CO PE sealed)
4. Inspection Sketches per *CDOT Bridge Detailing Manual*.
5. Software files, MicroStation DGN files and related reference files for each structure in the bid package.
6. Final Bid Documents (Plans and Specifications) (CO PE sealed). Plans shall be submitted in both PDF and native file format. Microstation files are preferred, but CDOT recognizes that many Local Agencies use AutoCAD exclusively and, therefore, the latter is acceptable in for Staff Bridge archives. (Note that the plans and specifications are required to be sealed after award of the construction contract.)
7. Bid results

8. Field Information Packages, one hard copy delivered to the CDOT Project Manager and one electronic copy for each structure being built on the project (The Field Information Package shall be prepared in accordance with *CDOT Bridge Design Manual* including a record set of quantities, the Geotechnical Report, and the as-built plans for existing structures that are to be removed). The Field Information package is only required for projects where CDOT performs the construction inspection.
9. A statement that, to the best of the consultant's knowledge, all of the work on the project has been designed in accordance with the latest CDOT standards and FHWA regulations (This statement may be included in the letter of transmittal).
10. Agreements defining Maintenance and Ownership, when applicable.

If the Consultant performs Owners Assurance (OA) for the project, the following shall also be submitted: a Final Detail Letter (FDL) in Microsoft Word format. This document will be used to prepare the "official" FDL for internal distribution.

The Local Agency shall provide OA level fabrication inspection prior to and for construction. During construction the Structural Design EOR should be available to the construction Project Engineer for assistance in interpreting or clarifying the structure plans and specifications. At the conclusion of construction, the Structural Design EOR will be required to conduct a final inspection for all structures constructed, modified or otherwise affected by the construction on Local Agency projects. The CDOT Structural Reviewer shall work with the CDOT Project Manager during scoping and the design phase to inform Local Agencies of these requirements.

The *CDOT Bridge Design Manual* is updated periodically through the issuance of "Bridge Design Manual Technical Memorandums" which can be found at the following link: <https://www.codot.gov/library/bridge/miscbridgedocs/techmemos>.

5.20 Update Approvals on PS&E Package if Project Schedule Delayed

After approval of the plans, specifications and estimate package (PS&E), most projects proceed immediately to the construction phase. In some instances, a project may encounter delays due to a number of reasons, including availability of funding. The

Local Agency should work with the CDOT Project Manager to understand the consequences of “shelving” a project. If a project has delays extending over one year or more, clearances and specifications must be brought current and CDOT approval reissued prior to proceeding to construction.

On projects with Federal-aid Highway funding, if the project experiences delays over a number of years, funding could be placed in jeopardy and the Local Agency required to pay back the preliminary engineering costs. See [FHWA Order 5020.1A](#) for further explanation.

5.21 Ensure Authorization of Funds for Construction

Authority to spend funds for preliminary engineering through final design, Right of Way, utilities, and construction is authorized in phases. The CDOT Project Manager submits a CDOT [Form 1180](#) – Standard Certification and Project PS&E Approval to authorize construction funds when the project is ready for advertisement.

The following documents must be submitted by the CDOT Project Manager to the CDOT Program Engineer prior to request for project authorization:

1. Form 1180
2. Final Form 463 – Design Data
3. Right of Way Certification (Region Optional)
4. Utility certification (Region Optional)
5. Environmental clearance – Form 128, or FONSI or ROD
6. Plans, Specifications and Cost Estimate
7. Form 859 – Project Control Data
8. Final Detail Letter for Structures (Region Optional)

CDOT will prepare the necessary paperwork to verify the federal funds are authorized for the construction phase. Project authorization and CDOT Concurrence to Advertise must be granted before advertisement. The CDOT Project Manager should check encumbrance before construction work begins. An Option Letter may be necessary at this point. Funds spent by the Local Agency before project authorization are not eligible for reimbursement.

5.22 Use Electronic Signatures

See Appendix B for Local Agency requirements on electronic records and electronic signature requirements.

5.23 File Project Records/Documentation in ProjectWise

The CDOT Project Manager should file Project Records in ProjectWise in accordance with Policy Directive 21.1.

5.24 Roles and Responsibilities

• Local Agency

- Responsible for implementing individual projects in compliance with federal and state laws, rules, regulations and procedures. This responsibility includes the conception, planning, programming, environmental investigation, design, Right of Way, construction, and maintenance of the project on their local transportation system.
- Appoints a full-time employee to be in responsible charge of each project's administration. This person should be expected to be able to perform the following duties and functions:
 1. Administers inherently governmental project activities, including those dealing with cost, time, adherence to contract requirements, construction quality and scope of Federal-aid projects.
 2. Maintains familiarity of day-to-day project operations, including project safety issues.
 3. Makes or participates in decisions about changed conditions or scope changes that require change orders or supplemental agreements.
 4. Visits and reviews the project on a frequency that is commensurate with the magnitude and complexity of the project.
 5. Reviews financial processes, transactions, and documentation to ensure that safeguards are in place to minimize fraud, waste, and abuse.

6. Directs project staff, agency, or consultant, to carry out project administration and contract oversight, including proper documentation.
7. Is aware of the qualifications, assignments and on-the-job performance of the agency and consultant staff at all stages of the project.
- Responsible for adhering to the requirements and terms in the IGA, including the CDOT Form 1243, Contract Administration Checklist. Provides the local contribution of funds for the project, as applicable. Provides certifications as required.
- Performs or enters into a contract with a consultant to provide the plans to the extent required by the nature of the work, as follows:
 1. Prepares final design in accordance with the requirements of the latest edition of the American Association of State Highway Transportation Officials (AASHTO) manual or other standard, as approved by CDOT
 2. Prepare plans, specifications and estimates in accordance with the most current version of CDOT's Roadway and Bridge Design and Detailing Manuals and Standard Specifications for Road and Bridge Construction or Local Agency specifications, if approved by CDOT.
 3. Complies with requirements found in the *Local Agency Web Manual*, the *Local Agency Project Desk Reference*, the *CDOT Bridge Manual* (s), the *CDOT Right of Way Manual*, the *CDOT NEPA Manual*, the *Region Lane Closure Policy*, and other CDOT Manuals, as appropriate.
 4. Includes details of any required detours in the Plans in order to prevent any interference of the construction work and to protect the traveling public.
 5. Ensures the Plans are accurate and complete.
 6. Electronically seals the plans and specifications as produced by a Colorado registered professional engineer.
 7. Submits reimbursement requests (if needed) to the CDOT Project Manager in a timely manner.
 8. On Federal-aid Highway funded contracts, ensures compliance with Disadvantaged Business Enterprise contract requirements and uses compliance software systems as directed.
 9. On Federal-aid Highway funded contracts, ensures compliance with prompt payment requirements for professional services.

- Ensures consultant costs are allowable in accordance with the federal cost principles and consistent with the contract terms as well as the acceptability and progress of the consultant's work.
 - Documents contract monitoring activities and maintains supporting contract records. Provides status updates to CDOT as requested.
 - Involves the public as appropriate during development of the project.
- **CDOT**
 - **Project Manager/Local Agency Coordinator**
 1. Oversees the Local Agency's development of the project from the preparation of the IGA through the completion of the design phase/ final bid documents, advertisement, bid and award of the construction project. Oversight includes:
 - a. Meets with Local Agencies as required to review pre-application materials prepared by the local governments and offer comments on project elements and processes. Reviews and provides comments on work hour estimates and schedules developed by Local Agencies.
 - b. Finalizes 2 CFR 200 risk assessment using initial assessment from the Local Agency.
 - c. Creates and initiates projects in CDOT's financial systems.
 - d. Facilitates preparation of the IGA with CDOT Engineering Contracts using documents provided by the Local Agency.
 - e. Facilitates preparation of Maintenance IGAs as applicable.
 - f. Files documentation as required in CDOT's electronic data management system.
 - g. Issues Notice to Proceed.
 - h. Monitors the project scope, schedule, and budget throughout the design phase. Prepares CDOT budget actions. Reviews Local Agency project requests for reimbursement to ensure costs are allowable (necessary, reasonable, and allocable).
 - i. Conducts scoping meetings in coordination with appropriate CDOT specialty unit personnel.

- j. Provides guidance and technical assistance to the Local Agency, as needed, or requested to ensure compliance with requirements in applicable CDOT Manuals.
- k. On Federal-aid Highway funded contracts, forwards information to the Region Civil Rights Office, as required. Periodically reviews/view Disadvantaged Business Enterprise Consultant (professional services) contract requirements in compliance software systems.
- l. Reviews the Local Agency's Request for Proposal/ Qualifications for Professional Services for compliance with the federal and state requirements, as appropriate. Reviews (and files) contracts between the Local Agency and its Consultants.
- m. Schedules and attends project meetings during project development.
- n. Coordinates with CDOT specialty unit personnel throughout the project development process to achieve Right of Way, Environmental, Utility and Bridge clearances.
- o. Communicates directly with all CDOT staff associated with project reviews to achieve project success.
- p. Provides periodic plan, specifications and estimate reviews
- q. Performs general engineering review of advertisement plans and specifications.
- r. Provides project updates, as needed, to various offices and divisions, including Executive Management and/or FHWA.
- s. Updates project tracking documents in tracking systems as required.
- **Specialty Unit Staff**
 1. Attend scoping, FIR, FOR, and all other project level meetings as required and provide Specialty area expertise and input as required.
 2. Conduct process and technical reviews focused on general conformance with written requirements.

- 3. Conduct reviews of PS&E and other deliverables pertaining to area of Specialty.
 - 4. Provide technical assistance and guidance to the Local Agency, as requested.
 - 5. Issue Clearance letters as appropriate.
 - 6. File documentation in CDOT's electronic document management system.
 - **Region Civil Right Office**
 - 1. On all projects, determine if DBE program requirements apply to professional service contracts and set DBE goal accordingly
 - 2. Perform verification checks on all aspects of DBE compliance, as applicable.
 - 3. Perform verification reviews of contracts for compliance with prompt payment requirements, as applicable.
 - 4. Perform final Civil Rights audit of the project, as applicable.
 - **Civil Rights and Business Resource Center**
 - 1. Review Affidavit of Small Business Participation Form for DBE goal and Good Faith Efforts Report, if applicable
 - 2. Ensure the contract gets set up in B2GNow, if applicable
- **FHWA** – Overall responsibility for the Federal-aid Highway Program including those project actions which cannot be assumed by the CDOT or the Local Agency.

PROJECT DEVELOPMENT CIVIL RIGHTS AND LABOR COMPLIANCE CHAPTER 6

CIVIL RIGHTS

Local Agencies administering Federal-Aid Highway projects are required to adhere to and monitor contractor compliance with federal civil rights programs including Title VI, Equal Employment Opportunity (EEO), On-the-Job Training (OJT), and Disadvantaged Business Enterprise (DBE). Federal policy requires that all Federal-Aid construction contracts include specific requirements to implement the Title VI program, related civil rights laws, and regulations. These requirements are included in the [FHWA Form 1273](#) – Required Contract Provisions Federal-Aid Construction Contract Provisions and apply to contractors, subcontractors and suppliers. CDOT is responsible for oversight of the EEO program for Federal-Aid Highway projects and construction contracts. CDOT will monitor the Local Agency and its contractors for compliance as part of the normal project management reviews. More information pertaining to the Civil Rights Program can be found at the following link: [https:// www.codot.gov/business/civilrights/la-compliance/cr-requirements](https://www.codot.gov/business/civilrights/la-compliance/cr-requirements) .

Local Agencies administering federal funds from other Federal Agencies, such as the US Treasury, must adhere to the civil rights requirements of the specific agency. For example, Title VI plans, DBE requirements, OJT requirements, and inclusion of the FHWA Form 1273 in construction contracts are not required on projects with US Treasury funds. The US Treasury funds provided to Colorado from the American Rescue Plan Act/State and Local Fiscal Recovery Funds (ARPA/SLFRF) are referred to as Federal Recovery Funds in this *Desk Reference*. See the Multimodal Transportation & Mitigation Options Fund and Revitalizing Main Street Federal Recovery Fund Fact Sheets in Appendix G for further information specific to these programs and projects.

“Combo” Local Agency projects, consisting of more than one category of award funding, must comply with the most stringent requirements from each program and must apply to the entire project. An example is a project containing both Federal-aid Highway

Program funds (such as TAP, HSIP, CMAQ, etc.) and MMOF program Federal Recovery Funds.

This *Desk Reference* uses “CDOT Project Manager” to refer to the CDOT staff member responsible for providing assistance to the Local Agency. The CDOT Project Manager is also referred to as the CDOT Local Agency Coordinator.

DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM

The Disadvantaged Business Enterprise (DBE) program seeks to create a level playing field on which DBEs can compete fairly for Department of Transportation (DOT) - assisted contracts, help remove barriers to the participation of DBEs in DOT-assisted contracts, promote the use of DBEs in all types of federally assisted contracts and procurement activities conducted by recipients, and assist the development of firms that can compete successfully in the marketplace outside the DBE program.

The CDOT DBE Program applies to all Federal-Aid Highway (FHWA) and FTA-funded projects. CDOT's Civil Rights and Business Resource Center (CRBRC) administers the program and its implementation. Regardless of funding source, the CRBRC requires every project to be evaluated by the Region Civil Rights Office to determine if the DBE program is applicable. If applicable, the Region Civil Rights Offices will set contract goals and conduct reviews during construction as needed to evaluate compliance. For FHWA-assisted projects where the Local Agency is receiving FHWA funds from CDOT, Local Agencies must adhere to the DBE oversight and administration requirements of CDOT's FHWA-approved DBE program. For FTA-assisted projects, DBE oversight and administration depends on how the local agency is receiving the FTA funding. If a local agency is receiving FTA funds directly from the FTA (instead of from CDOT), then the local agency will apply their own DBE program to the FTA-assisted project. If a local agency project is funded with FTA funds from CDOT, then CDOT's DBE program for FTA will apply.

The CDOT DBE Program does not apply to projects funded solely with US Treasury Federal Recovery Funds or non-federal (state) funds.

6.1 Set Disadvantaged Business Enterprise Goals for Consultant and Construction Contracts

All projects are required to be evaluated by CDOT for program applicability and potential DBE goals. CDOT may not concur with the award of a contract unless the consultant or contractor demonstrates (i) sufficient DBE commitments, or (ii) good faith efforts to meet the established DBE contract goal prior to award. At the earliest date possible, but not to exceed 90 days prior to advertisement, the CDOT Project Manager will contact the Region Civil Rights Office for both consultant Requests for Proposals (RFPs) and for construction projects, to be evaluated for potential DBE goals. In practice, the optimal timeframe to contact the Region Civil Rights Office is 15-30 days prior to advertisement. DBE contract goals will vary depending on the nature of the work, subcontracting opportunities, geographic location of the work, and the availability of DBE firms capable of performing such work. There are instances when the goal may be set at zero percent for the contract.

Set Consultant Goals

The Local Agency must submit a scope of work, services to be provided, funding source, and estimated cost of the total services to the CDOT Project Manager. This information is then forwarded to the Region Civil Rights Office who will determine if the DBE program is applicable. If the DBE program is applicable, the Region Civil Rights Office will establish the DBE Contract Goal. For projects requiring advertisement, where the DBE program is applicable, the RFP must contain a DBE goal in order to be advertised, even if the Region Civil Rights Office establishes a DBE goal of zero percent.

B2GNow, CDOT's system to track DBE participation and prompt payment requirements on Federal-aid Highway funded professional service contracts, is required on Local Agency projects advertised on or after July 1, 2022. In addition to the DBE Contract Goal, the Local Agency's RFP should include the applicable *CDOT Professional Services Local Agency Civil Rights and DBE Program Requirements*. The Local Agency must work with CDOT to ensure that the selected consultant either meets the DBE goal or makes good faith efforts to do so. An [Affidavit of Small Business Participation](#) form must be returned to the Local Agency with the Consultant's statement of interest proposal. This form is the Consultant's contractually binding guarantee to

meet the DBE Contract Goal or make good faith efforts to do so. Failure to submit the Affidavit will result in the proposer being deemed ineligible for award. The Local Agency will copy the Affidavit and RFP of the top preferred proposer to CDOT's Civil Rights and Business Resource Center (CRBRC) for approval of the Affidavit.

Set Construction Goals

At the earliest date possible, but not to exceed 90 days prior to advertising a project; the Local Agency must submit an engineer's construction estimate to the CDOT Project Manager and the anticipated date of advertisement. The estimate must show the item quantities and costs of the project. This information is forwarded to the Region Civil Rights Office along with the funding type, project duration and project description, and is used to determine DBE program applicability. If the DBE program is applicable, the Region Civil Rights Office will establish a DBE Contract Goal for construction.

The DBE Contract Goal is completed by the CDOT Region Civil Rights Manager based on the availability of subcontracting opportunities, the scope of the work, the geographic location of the work, and the availability of DBE firms capable of performing such work. The project bid documents must include information on the DBE contract goal (if applicable), even if the Region Civil Rights Office establishes a goal of zero percent.

After the goal has been determined, a CDOT Project Special Provision, *Disadvantaged Business Enterprise (DBE) Contract Goal* and the CDOT Standard Special Provision, *Disadvantaged Business Enterprise (DBE) Requirements* shall be included in the Plans, Specifications and Estimates. If the Contract Goal is greater than zero, all bidders should include in their bid package the [CDOT Form 1414](#) – Anticipated DBE Participation Plan. If the DBE goal for the project is zero, CDOT Form 1414 is not required to be completed by bidders, but it shall still be submitted documenting zero anticipated participation. Each bid will be reviewed to determine if the bid is responsive. Bids without completed CDOT Form 1414 at the time of bid submission are deemed unresponsive and therefore not eligible for award.

LABOR COMPLIANCE

6.2 Determine Applicability of Davis-Bacon Act

The Davis-Bacon Act applies to contractors and subcontractors performing on federally funded or assisted contracts in excess of \$2,000 for the construction, alteration, or repair (including painting and decorating) of public buildings or public works. The Davis-Bacon Act dictates that mechanics and laborers working on the site of federally funded construction projects must be paid according to the wage decision that is part of the *Standard Special Provisions* for the project. The U.S. Department of Labor defines mechanics and laborers as those employees who perform manual labor on the site of work.

Projects funded under the Federal-aid Highway Transportation Alternatives Program (TAP) or the Safe Routes to School (SRTS) program must comply with the requirements of the Davis-Bacon Act. For projects funded under other Federal-aid Highway programs, Davis-Bacon Act requirements may be excluded if they meet one of the following project categories:

1. Any projects fully located on or within the existing right-of-way of a roadway that is functionally classified as a local road or rural minor collector, or that is not within the right-of-way of any roadway whatsoever. This determination will be made by CDOT based on roadway classification and funding program restrictions.
2. Force account work performed solely by Local Agency employees. See Section 5.12 for more information on force account work performed by the Local Agency.

For projects requiring Davis-Bacon wages, as soon as the Local Agency establishes the project bid opening date and is ready to advertise the project for bidding, the Local Agency's Project Manager must check with the CDOT Project Manager or Region Civil Rights Manager to ensure that the latest modification of the wage decision is in the *Standard Special Provisions*.

The U.S. Department of Labor requires that a current wage decision be included in federal construction contracts, if appropriate. Wage decisions may be modified frequently; wage decisions published in the Federal Register ten or more days prior to

the bid opening must be incorporated into the contract by addendum to the advertisement with notification to all plan holders.

LCPtracker, CDOT's system to electronically monitor Davis-Bacon wages and on-the-job training program participation, is required on applicable Local Agency projects advertised on or after July 1, 2022.

Davis-Bacon Act requirements do not apply to Local Agency projects funded solely with non-federal (state) funds, solely with Federal Recovery Funds, or a combination of state and Federal Recovery Funds. However, if Federal Recovery Funds are combined with other federal funding, Davis-Bacon Act requirements may apply. Additionally, Federal Recovery Fund projects over \$10 million may have specific wage/labor standard reporting and documentation requirements. Confirm the applicability of Davis-Bacon Act requirements with the CDOT Project Manager prior to advertisement.

If there is a project where a wage decision is mistakenly included in the advertisement, the project would have to adhere to Davis-Bacon requirements.

6.3 Set On-the-Job Training Goals

All projects are required to be evaluated by CDOT for potential OJT goals. The goals are set based on criteria outlined in *Title 23 CFR 230, Appendix B to Subpart A* and CDOT's standard Special Provision, *On the Job Training*. These criteria include the dollar value and type of work on the contract. The Standard Special Provision, [On the Job Training](#), includes guidance information regarding goal setting for reference.

On all Federal-aid Highway funded contracts, a force account item must be added for the On-the-Job Training Program when the On-the-Job Training goal is greater than zero. The dollar amount required for this force account is listed in the CDOT Project Special Provision, [Force Account Items](#). Contact the CDOT Project Manager for further information.

The Local Agency must use CDOT's electronic tracking and submission system, LCPtracker, on contracts advertised on or after July 1, 2022. Contractors will be reimbursed at a rate of \$10.00 per hour per (approved) trainee for all OJT hours worked

in approved classifications up to the project goal. The Contractor will be reimbursed for no more than the amount outlined in the OJT Force Account budget.

Prior to July 1, 2022, if the Local Agency does not use LCPtracker, the Local Agency should use the Standard Special Provision, *On the Job Training – Local Agency projects Not Using LCP tracker for Reporting*. The Contractor will be reimbursed \$2.00 per hour worked for each apprentice or trainee working on a project and whose participation toward the OJT project goal has been approved. The Contractor will be reimbursed for no more than the amount outlined in the OJT Force Account budget.

On-the-Job Training program requirements do not apply to projects funded solely with non-federal (state) funds or Federal Recovery funds.

6.4 Enforce Prompt Payment Requirements

Prompt payment is a requirement that all contractors with lower tier subcontractors or suppliers are contractually obligated to pay their subcontractors and suppliers promptly upon receiving payment either from the Local Agency, the prime contractor, or other subprime contractor. Prompt Payment applies to professional service and construction contracts with Federal-aid Highway program funds. Colorado also has a state law (*Colorado Revised Statutes 24-91-103*) that applies to public construction projects over \$150,000 (regardless of funding source) wherein the public entity is required to make payment at the end of each month. The prime contractor then has seven (7) days to report payment to the next tier. Similarly, those subcontractors must then pay lower tier contractors or suppliers within seven (7) days of receiving payment from the prime (or higher tier).

The Local Agency is responsible for ensuring that the prime contractor is compliant with prompt payment requirements.

6.5 Use of Electronic Tracking and Submission Systems

Civil Rights compliance software systems are being implemented in 2022 to support monitoring of compliance elements on Federal-aid Highway Local Agency projects, state-funded Local Agency construction projects, and on Federal Recovery Fund construction projects under the oversight of CDOT Region Staff. Locally administered

projects under the oversight of other CDOT divisions may implement these systems at a later date. Check with your CDOT Project Manager for further details.

6.5.1 LCPtracker

During construction of Federal-aid Highway funded projects, contractors and subcontractors are required to submit weekly certified payroll records for workers performing work that is physical and/or manual in nature (including those who use tools or who are performing the work of a trade). For contracts advertised on or after July 1, 2022, electronic submission of records is required in LCPtracker, CDOT's system for managing certified payrolls and on-the-job training hours. This system requires contractors to log in weekly to submit and confirm payrolls. The CDOT Project Manager will submit a [B2GNow Project Setup Information](#) form to the Local Agency which must be returned with the submittal of the Request for Concurrence to Award.

The use of LCPtracker replaces the hard copy [CDOT Form 118](#) – Contractor Wage Compliance Statement and assists with the tracking/submission of OJT hours. The initial [CDOT Form 1337](#) – Contractor Commitment to Meet OJT Requirements and [CDOT Form 838](#) – OJT Trainee/Apprentice Record must be submitted to the CDOT Project Manager for the apprentice wage rate and employee to be entered into the system. The [CDOT Form 832](#) – Trainee Status and Evaluation is required to be submitted monthly to provide additional information regarding status of the trainee that cannot be tracked within LCPtracker. This system also tracks and submits the Federal Form 1391 that is required to be completed for work taking place in July, pending that the payrolls are up-to-date and approved.

More information can be found at the following link: [Construction Compliance Overview](#) .

6.5.2 B2GNow

B2GNow is CDOT's system for managing prompt payment and DBE participation on construction projects and on professional services contracts. Electronic submission of documents and records on applicable Local Agency projects is encouraged and is required on contracts advertised on or after July 1, 2022. On Professional Service Contracts with Federal-aid Highway funding, the Local agency submits an [Affidavit of Small Business Participation](#) form with the Consultant's statement of interest proposal.

On construction projects, the CDOT Project Manager will provide a [B2GNow Project Setup Information](#) form to the Local Agency which must be returned with the submittal of the Request for Concurrence to Award.

The use of B2Gnow software replaces the use of hard copy [CDOT Form 205](#) – Sublet Permit Application, [CDOT Form 1418](#) – Monthly Payment Summary (prompt payment), [CDOT Form 1419](#) – DBE participation Report, and [CDOT Form 1425](#) – Supplier list. These are now performed within the system via reports and monthly audits. B2Gnow and LCPtracker work in conjunction with each other and the submission, and subsequent approval, of a subcontractor into the B2Gnow system enrolls them in the LCPtracker system.

Both of these compliance systems are outlined further in Chapter 10.

6.6 Prepare and Submit Title VI Plan and Incorporate Title VI Assurances

Local Agencies that receive Federal-aid Highway funding are required to adhere to Title VI of the Civil Rights Act of 1964 and related nondiscrimination statutes, including ensuring that no one is excluded from participation in, denied the benefits of, or subjected to discrimination on the basis of race, color, national origin, sex, age, or disability in programs and activities.

Local Agencies that receive Federal-aid Highway funds through CDOT are required to establish a Title VI Program that is subject to review by CDOT pursuant to *Title 23 CFR 200.9(b)(7)*. As part of these requirements, Local Agencies must prepare and submit a Title VI Plan to CDOT's CRBRC. The Title VI Plan includes, but is not limited to, collecting and analyzing demographic data on programs and activities, creating a Language Assistance Plan, and routing any Title VI discrimination complaints to CDOT for FHWA processing. Title VI plans should be provided to CDOT after notification of funding award or before.

Additionally, on Federal-aid Highway funded projects, Local Agencies sign and IGA with CDOT that contains the US DOT Order 1050.2A (also referred to as Standard US DOT Title VI Assurances) as an exhibit. The Local Agency must comply with the US DOT

Order 1050.2A and insert the appropriate language and appendices into requests for proposals (RFPs) of work and contracts.

For more information, including a template of US DOT Order 1050.2A, please contact the CRBRC or visit <https://www.codot.gov/business/civilrights/titlevi/fhwa-subrecipients>.

Similar Assurances of Compliance with Civil Rights requirements are required by other Federal Awarding Agencies, like the US Treasury. The IGA will specify the required Assurance language and the requirement to insert the Assurance into RFPs and contracts.

6.7 Roles and Responsibilities

• Local Agency

- For Consultant DBE Goals, furnish the scope of work, services to be provided, funding source, and estimated cost of the total services to the CDOT Project Manager. Once a DBE goal is assigned, ensure that the RFP documents include the goal and program requirements, and the selected consultant either meets the DBE goal or makes good faith efforts to do so.
- On Federal-aid Highway projects, at the completion of the work, expenditure of funds and/or expiration of the Contract, whichever comes first, forward the [Professional Services Closeout Report](#) with the final invoice to the CDOT Project Manager and the Region Civil Rights Office.
- For DBE/OJT Goals for a construction project, within 90 days prior to advertisement, submit an engineer's construction estimate and the anticipated date of advertisement to the CDOT Project Manager. Ensure the DBE/OJT goals and appropriate forms are included in the bid documents prior to advertisement.
- For construction projects requiring Davis-Bacon wages, verify that the latest modification of the wage decision is in the Standard Special Provisions prior to advertisement.
- Monitor compliance of Davis-Bacon and Related Acts through use of the LCPtracker system, as applicable. This includes reviewing submitted payrolls on a weekly basis to determine if payrolls will be accepted or

rejected. See Chapter 10 of this *Desk Reference* for additional information.

- On Federal-aid Highway funded projects, include a force account item in the bid documents for the On-the-Job Training Program, even if the On-the-Job Training goal is zero.
- Submit the [B2GNow Project Setup Information](#) form
- Confirm that the appropriate federal Title VI assurances are included in the contract with the selected consultant or contractor. Confirm that a Title VI Plan is on file with CDOT CRBRC, if the project is Federal-aid Highway or FTA-funded.
- Complete the Civil Rights Certification letter and submit it to the CDOT Project Manager. See Chapter 10 of this *Desk Reference* for additional information.

- **CDOT**

- **Project Manager/Local Agency Coordinator**
 1. For Consultant DBE Goals, submit a copy of the RFP and the design workhour estimate to the Region Civil Rights Office and request evaluation for a DBE goal. Verify that the RFP contains the name and location of the project, the scope, the duration or completion date, the type of funds, and the anticipated advertisement date.
 2. Notify the Local Agency of the Consultant DBE Goal set by the Region Civil Rights Office.
 3. For Construction DBE/OJT goals, submit the final engineer's estimate, title sheet or project description, duration of project, anticipated date of advertisement and project funding sources to the Region Civil Rights Office within 90 days of advertisement.
 4. Notify the Local Agency of the Construction DBE/OJT Goals and check to verify the bid documents contain the goal, all associated forms, and applicable specifications. This includes, but is not limited to, the Local Agency Prompt Payment Section 109 revision, CDOT's DBE Standard Special/Project Special Provisions and the appropriate CDOT OJT Standard Special/Project Special Provisions.
 5. Verify the Form FHWA 1273- Required Contract Provisions,

- Federal-aid Construction Contracts, is included in the bidding and advertisement package on projects with Federal-aid highway funds.
 - 6. Provide [B2GNow Project Setup Information](#) form to the Local Agency after bid opening.
 - **Region Civil Rights Office**
 - 1. Set Consultant DBE goals, Construction DBE goals, and OJT Goals and notify the CDOT Project Manager.
 - 2. Oversee compliance with the electronic systems.
 - 3. Approve/Reject subletting requests.
 - 4. Approve/Reject On-The-Job Training Form 838.
 - 5. Review and determine approval of DBE commitment modification requests.
 - 6. Complete Certification of Compliance form prior to project closeout.
 - **Civil Rights and Business Resource Center**
 - 1. Review the B2GNow Affidavit of [Small Business Participation](#) form and provide approval to the Local Agency.
 - 2. Review supporting documentation on Professional Services Good Faith Efforts Reports if required.
 - 3. Approve Consultant Contract Utilization Plans in B2Gnow as required.
 - 4. Set up contracts in B2GNow and LCPtracker systems, as required
 - 5. Review Title VI Plans.
- **FHWA** – Overall responsibility for the Federal-aid Highway Program including those project actions which cannot be assumed by the CDOT or the Local Agency.

ADVERTISE, BID AND AWARD OF CONSTRUCTION PROJECTS

CHAPTER 7

CDOT is transitioning toward accepting all submittals, forms, Project Records and supporting documents in electronic format. During the transition period from paper to electronic medium, unless specifically stated, documents and forms listed in this Chapter will be accepted from the Local Agency in paper or electronic format, although the latter is preferred and may be required by the CDOT Engineering Region where the project is located. See Appendix B for Local Agency requirements for electronic records and electronic signature requirements.

The approved bid package (without cost estimate) is prepared by the Local Agency for advertisement. The contractors responding to the advertisement are required to submit sealed bids in competition with other contractors to win the right to construct a project.

Because the requirements for advertisement, bid and award are different for projects with Federal-aid Highway funds, other federal funds (such as Federal Recovery Funds), and for projects with only non-federal (state) funds, this Chapter is divided into two sections, as follows:

Section 7.1 Projects with Federal Funds (page 7–5)

Section 7.2 Projects with Non-Federal (State) Funds (page 7–18)

A summary of the requirements during Advertisement, Bid and Award is provided in Tables 7A, 7B and 7C for each funding source. Additional details for each requirement are provided in Sections 7.1 and 7.2.

This *Desk Reference* uses “CDOT Project Manager” to refer to the CDOT staff member responsible for providing assistance to the Local Agency. The CDOT Project Manager is also referred to as the CDOT Local Agency Coordinator.

Table 7A - Advertisement Requirements		w/Federal-aid Highway Funds	w/other federal funds - Recovery	w/ Non-federal (State) Funds
Concurrence and Approval				
1	Concurrence to Advertise from CDOT	x	x	x
2	Approval for Advertisement less than 3 weeks (from CDOT)	x	x	x
Forms and Requirements for Advertisement Package¹				
1	Form 604 - Statement of Residency for Bid Preference			x
2	Form 606 - Anti-Collusion Affidavit	x	x	x
3	Form 1413 - Bidders List-Use prior to July 1, 2022	x		
4	Form 1414 - Anticipated DBE Participation Plan	x		
5	DBE Project Special Provision - DBE Contract Goal	x		
6	Disadvantaged Business Enterprise (DBE) Requirements (Local Agency) Standard Special Provision-Use prior to July 1, 2022	x		
7	Disadvantaged Business Enterprise (DBE) Requirements Standard Special Provision-Use on projects on or after July 1, 2022	x		
8	OJT Standard Special Provision - OJT Training, or OJT Training - LA Projects Not Using LCPTracker for reporting - Use on projects not using LCPTracker prior to July 1, 2022	x		
9	Davis Bacon Wage Determination, Certified Payroll Requirements for Construction Projects (unless excluded- See Chapter 6)	x		
10	Form FHWA 1273 - Required Contract Provisions, Federal-Aid Construction Contracts	x		
11	Standard Special Provision – Required Contract Statements		x	
12	Revision of Section 103 - Colorado Resident Bid Preference			x
13	Revision of Section 106 - Buy America Requirements	x		
14	Revision of Section 106 - Buy America Requirements - Non-Federal Aid (unless project has Federal-aid Highway funds)		tbd	x
15	Revision of Section 109 - Prompt Payment (Local Agency) – v1 or v2 dependent on timing. V1) Use on projects not using B2GNow prior to July 1, 2022, or v2) Use on all local agency projects advertised on or after July 1, 2022	x	x	x
16	Bonding Requirements	x	x	x
17	List CDOT as additional insured-general & auto liability policies	x	x	x
18	EE0-1 Report statements	x	x	
19	Affirmative Action Requirements Equal Employment Opportunity Standard Special Provision	x	x	x

¹ The Local Agency should include other applicable [Standard Special Provisions](#) as required for a specific project.

Table 7B - Submittals at Bid Opening and Immediately After		Local Agency Projects		
		w/ Federal- aid Highway Funds	w/other federal funds - Recovery	w/ Non- Fed (State) Funds
Submittals to the Local Agency by All Bidders at Bid Opening				
1	Form 604 - Statement of Residency for Bid Preference			x
2	Form 606 - Anti-Collusion Affidavit	x	x	x
3	Form 1413 - Bidders List -Use on projects prior to July 1, 2022	x		
4	Form 1414 - Anticipated DBE Participation Plan	x		
5	Bid Schedule	x	x	x
Forms provided by Local Agency to apparent Low Bidder				
1	Form 605- Contractors Performance Capability Statement	x	x	x
2	Form 621 - Assignment of Antitrust Claims	x	x	x
3	Form 1415 - Commitment Confirmation, if DBE goals are greater than zero, or if the bidder has voluntarily made commitments	x		
4	Form 1416 - Good Faith Effort Report	x		
Submittals by the apparent Low Bidder to the Local Agency by 4:30 pm on the 5th calendar day after the date of Bid Opening				
1	Form 605 - Contractors Performance Capability Statement	x	x	x
2	Form 621 - Assignment of Antitrust Claims	x	x	x
3	Form 1415 - Commitment Confirmation, if DBE goals are greater than zero, or if the bidder has voluntarily made commitments (Need Form 1415 from each DBE listed on Form 1414. The bidder shall complete Section 1 and the DBE shall complete Section 2 of Form 1415.)	x		
4	Form 1416 - Good Faith Effort Report (Submit only if commitments do not meet the DBE goal.)	x		

Table 7C - Submittals at Request for CDOT Award Concurrence		Local Agency Projects		
		w/ Federal-aid Highway Funds	w/other federal funds - Recovery	w/ Non-Fed (State) Funds
Submittals by the Local Agency to CDOT Staff (Award Officer in Engineering Contract Services, CDOT Project Manager, CDOT_hq_dbeforams@state.co.us, and CRBRC DBE Program Manager)²				
1	Letter documenting review of bids, budget status of the project and the means of resolving any budget deficits, specify which bidder it is recommending for award of the project, and review of the project schedule	x	x	x
2	Form 604- Statement of Residency for Bid Preference			x
3	Form 605 - Contractors Performance Capability Statement	x	x	x
4	Form 606 - Anti-Collusion Affidavit	x	x	x
5	Form 621 - Assignment of Antitrust Claims	x	x	x
6	Form 1413 - Bidders List -Use on project prior to July 1, 2022	x		
7	Form 1414 - Anticipated DBE Participation Plan (from all bidders)	x		
8	Form 1415 - Commitment Confirmation	x		
9	Form 1416 - Good Faith Effort Report (Submit only if commitments do not meet the DBE goal.)	x		
10	Financial Statement	x	x	x
11	Bid Tabulations (for projects with Federal Funds, also list the percentage of DBE commitments secured by the bidder)	x	x	x
12	Project Special Provision identifying the DBE goal	x		

² Contact your Region representative for specific instructions. It may be permissible to package submittals in one transmittal and copy all. For projects with non-federal (state) funds, submit information to the CDOT Award Officer and the CDOT Project Manager only.

Section 7.1 Projects with Federal Funds

If your project contains any federal funds, follow the guidance in Section 7.1 Projects with Federal Funds. In this section, Federal-aid Highway project requirements are distinguished from project requirements for other federal funds, such as American Rescue Plan Act/State and Local Fiscal Recovery Funds (ARPA/SLFRF). For simplicity, ARPA/SLFRF are referred to as “Federal Recovery Funds”.

For projects with multiple sources of federal funds, the most stringent requirement should apply.

7.1.1 Obtain Approval for Advertisement Period of Less Than Three Weeks

All federal projects: For program consistency, on projects with federal funds, the minimum advertisement period is three weeks (15 business days). A shorter advertisement period must be authorized by CDOT. The Local Agency shall contact the CDOT Project Manager for approval.

7.1.2 Advertise for Bids – Projects with Federal Funds

All federal projects: The Local Agency shall include the following in the bidding and advertising documents package on all projects with federal funds (see Appendix A for copies of the forms):

- CDOT Form 606 – Anti-Collusion Affidavit
- Revision of Section 109 – Prompt Payment (Local Agency) – Use version (v) 1 or v2 depending on timing of advertisement:
 - v1) Use on projects not using B2GNow prior to July 1, 2022, or
 - v2) Use on all local agency projects advertised on or after July 1, 2022
- Affirmative Action Requirements Equal Employment Opportunity Standard Special Provision
- Include project-specific [Standard Special Provisions](#), as required
- The advertisement for bids should include the following language:

"An EEO-1 Report must be submitted to the Joint Reporting Committee if the contractor and subcontractors meet the eligibility requirements (29 CFR 1602.7). For additional information regarding these federal requirements, please refer to: <http://www.eeoc.gov/employers/eo1survey/faq.cfm>."

Federal-aid Highway projects: In addition to the above list, the following items must be included in the bidding and advertising documents package on Federal-aid Highway projects:

- DBE Requirements:
 - CDOT Form 1413 – Bidders List – Use on projects advertised prior to July 1, 2022
 - CDOT Form 1414 – Anticipated DBE Participation Plan (include on projects with a zero percent DBE goal)
 - DBE Project Special Provision – Disadvantaged Business Enterprise (DBE) Contract Goal
 - DBE Standard Special Provisions:
 - Disadvantaged Business Enterprise (DBE) Requirements (Local Agency) – Use on projects advertised prior to July 1, 2022
 - Disadvantaged Business Enterprise (DBE) Requirements – Use on projects advertised on or after July 1, 2022
- Davis-Bacon Wage Determination, and Certified Payroll Requirements for Construction Projects
- OJT Standard Special Provision – On the Job Training, or On the Job Training – Local Agency Projects Not Using LCPTracker for Reporting – Use on projects not using LCPTracker and advertised prior to July 1, 2022
- Form FHWA 1273 - Required Contract Provisions, Federal-Aid Construction Contracts (A reference to this form is acceptable in the bidding and advertisement package.)
- The advertisement for bids shall include the following language:

"The [insert local agency name], in accordance with the provisions of Title VI of the Civil Rights Act of 1964 (78 Stat. 252, 42 U.S.C. §§ 2000d to 2000d-4) and the Regulations, hereby notifies all bidders that it will affirmatively ensure that any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded full and fair opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, or national origin in consideration for any award."

Federal Recovery Fund projects: In addition to the requirements on all federal projects, the advertisement for bids on Federal Recovery Fund projects shall comply with the following (which are contained in the Standard Special Provision – Required Contract Statements):

- The IGA Exhibit containing the *Assurances of Compliance with Civil Rights Requirements* which requires the Local Agency to incorporate the following language in every Agreement subject to Title VI and its regulations between the Local Agency and the Local Agency's sub-grantees, Contractors, Subcontractors, successors, transferees, and assignees:

"The sub-grantee, Contractor, Subcontractor, successor, transferee, and assignee shall comply with Title VI of the Civil Rights Act of 1964, which prohibits Subrecipients of federal financial assistance from excluding from a program or activity, denying benefits of, or otherwise discriminating against a person on the basis of race, color, or national origin (42 U.S.C. § 2000d et seq.), as implemented by the Department of the Treasury's Title VI regulations, 31 CFR Part 22, which are herein incorporated by reference and made a part of this Agreement (or agreement). Title VI also includes protection to persons with "Limited English Proficiency" in any program or activity receiving federal financial assistance, 42 U.S.C. § 2000d et seq., as implemented by the Department of the Treasury's Title VI regulations, 31 CFR Part 22, and herein incorporated by reference and made a part of this Agreement or agreement."

- The IGA Exhibit containing references to *Title 2 CFR 200.322, Domestic preferences for procurements*, which requires adherence to the requirement in all subawards including all Agreements and purchase orders for work or products under the award, as follows:

"The <name of Local Agency> has indicated a preference for the purchase, acquisition, or use of goods, products, or materials produced in the United States (including but not limited to iron, aluminum, steel, cement, and other manufactured products)."

On all federal projects, the Local Agency bonding requirements or procedures may be used if approved by the CDOT Engineering Contract Services. If Local Agency bonding requirements have not been approved, minimum bonding requirements include a bid

guarantee, performance bond and payment bond in accordance with *Title 2 CFR 200.326, Bonding requirements*.

The specifications shall provide for the Local Agency's Contractor to name CDOT as an "additional insured" on its general liability and automobile liability policies.

Specifications or bidding procedures cannot provide preference to local contractors.

7.1.3 Concurrence to Advertise – Projects with Federal Funds

All federal projects: The bid package is sent in electronic format to the CDOT Project Manager for coordination and review. The Project Manager will forward a copy to the Resident Engineer if requested. Upon approval, the Project Manager submits the Concurrence to Advertise in electronic format to the Local Agency.

The Local Agency must receive the concurrence prior to advertising the project. The CDOT Project Manager will send copies to the following CDOT personnel or offices:

- Resident Engineer
- Region Project Engineer
- Region Materials Engineer
- Region Civil Rights Manager
- Office of Financial Management and Budget
- Business Programs Office
- Center for Accounting, Projects and Grants
- CDOT's Electronic Data Management System (ProjectWise)

Note the following public notice (advertisement) requirements:

1. The advertisement period will be for a minimum of three weeks (15 business days).
2. The advertisement can either be published in a newspaper of general circulation, the official county paper where the work is being done, or electronically on a bidding website of widespread knowledge to the contractors (as approved by CDOT). If the advertisement is by official county paper, in the instances where a

project spans several counties, the advertisement should be placed in the official newspaper of each county. It is highly recommended that advertisement be made once in a newspaper of statewide circulation. CDOT uses the *Daily Journal* and occasionally the *Denver Post* and *La Voz*.

3. If the Local Agency has established a project number different from the State's, the advertisement and bidding documents should show both project numbers.
4. The advertisement must show the Disadvantaged Business Enterprise (DBE) goal that has been established for the project.
5. Projects on CDOT right of way require CDOT contractor prequalification. For roadway projects not within CDOT right of way, prequalification is recommended. The advertisement shall state prequalification requirements. The CDOT prequalified contractor list is available at the following link:
<https://www.codot.gov/business/bidding/Prequalified%20Contractors>

The Local Agency may use the CDOT proposal package and contract that include the above information. A copy of this information may be obtained from the CDOT Project Manager.

7.1.4 Distribute “Advertisement Set” of Plans and Specifications

All federal projects: The Local Agency must provide the plans and specifications to the person responsible for showing the project. For Local Agency projects that include the construction of a major or minor structure, one set of plans and specifications shall be forwarded to Staff Bridge in electronic format as per the [Bridge Design Manual](#), Policies and Procedures, Section J.2.

7.1.5 Review Worksite and Plan Details with Prospective Bidders While Project Is Under Advertisement

All federal projects: To ensure competitive bidding, the person responsible for showing the project must provide all bidders with an equal opportunity to view the proposed construction site and should conduct each of the project showings in a similar manner. It is important to provide each prospective bidder with identical information. This helps to avoid favoring one company over the other. It is preferable that the same person conducts each of the project showings; however, if that is not practical, ensure that identical information is communicated to each attendee.

7.1.6 Open Bids – Projects with Federal Funds

All federal projects: Bids will be opened in accordance with Section 103 of the *CDOT Standard Specifications*.

Immediately after bid opening, the Local Agency shall provide to the apparent low bidder the following CDOT forms (see Appendix A). The apparent low bidder must submit these completed forms to the Local Agency by 4:30 p.m. on the 5th calendar day after the date of bid opening.

Federal-aid Highway Fund Projects:

- Form 605 – Contractors Performance Capability Statement
- Form 621 – Assignment of Antitrust Claims
- Form 1415 – Commitment Confirmation, if DBE goals are greater than zero, or if the bidder has voluntarily made commitments
- Form 1416 – Good Faith Effort Report, if DBE goals are not met

Note: A Form 1415 shall be obtained from each DBE listed on Form 1414. The bidder shall complete Section 1 and the DBE shall complete Section 2 of Form 1415. The apparent low responsible bidder shall not Terminate, Reduce, or Substitute a Commitment listed on Form 1414 without following the procedures outlined in the *Standard Special Provision Disadvantaged Business Enterprise (DBE) Requirements*.

Federal Recovery Fund Projects:

- Form 605 – Contractors Performance Capability Statement
- Form 621 – Assignment of Antitrust Claims

7.1.7 Process Bids for Compliance – Projects with Federal Funds

Submittals to Local Agency by All Bidders

The CDOT forms listed below must be submitted by all bidders with their bids. If these forms are not submitted, the bid is considered nonresponsive and shall be rejected.

Federal-aid Highway Projects:

- Form 606 – Anti-Collusion Affidavit
- Form 1413 – Bidders List – Use on projects advertised prior to July 1, 2022
- Form 1414 – Anticipated DBE Participation plan (if DBE contract goal is greater than zero)

Federal Recovery Fund Projects:

- Form 606 – Anti-Collusion Affidavit

Submittals to the Local Agency by Apparent Low Bidder

The apparent low bidder must submit the CDOT forms listed below by 4:30 p.m. on the 5th calendar day following bid opening.

Federal-aid Highway Projects:

- Form 605 – Contractors Performance Capability Statement
- Form 621 – Assignment of Antitrust Claims
- If a DBE goal greater than zero has been set for the contract or if the bidder has voluntarily made commitments, the apparent low bidder must submit:
 - Form 1415 – Commitment Confirmation
 - Form 1416 – Good Faith Effort Report, only if commitments do not meet contract goal

Note: If a DBE goal greater than zero has been set for the contract, the award is contingent upon approval of the Contractor's DBE participation plan (or good faith effort) by the CDOT Civil Rights and Business Resource Center (CRBRC).

Federal Recovery Fund Projects:

- Form 605 – Contractors Performance Capability Statement
- Form 621 – Assignment of Antitrust Claims

Submit Required Documentation for CDOT Award Concurrence

All federal projects: The Local Agency must review bids for reasonable conformance with estimate and unbalancing prior to award. The Local Agency must obtain CDOT concurrence before the project can be awarded. The Local Agency's request for concurrence letter must document its review of the bids, address the budget status of the project and the means of resolving any budget deficits, specify which bidder it is recommending for award of the project, and include civil rights documentation. The letter must also include a review of the project schedule which lists the IGA Expiration Date, the construction performance period end date, and an evaluation whether the time frame of the construction project can be accomplished within the IGA period.

The Local Agency must send the bid review letter, the construction timeline evaluation, and the following documents in electronic format to the CDOT Project Manager who will review the information and forward it to Engineering Contract Services. (See Appendix B for an example award letter and construction timeline evaluation.)

Federal-aid Highway Projects:

- Form 605 – Contractors Performance Capability Statement
- Form 606 – Anti-Collusion Affidavit
- Form 621 – Assignment of Antitrust Claims
- Project Special Provision identifying the DBE goal
- Form 1413 – Bidders List – Use on projects prior to July 1, 2022
- Form 1414 – Anticipated DBE Participation Plan (from all bidders)
- Form 1415 – Commitment Confirmation
- Form 1416 – Good Faith Effort Report (if goal is not met)
- Financial Statement
- Bid Tabulation(s)

Federal Recovery Fund Projects:

- Form 605 – Contractors Performance Capability Statement
- Form 606 – Anti-Collusion Affidavit
- Form 621 – Assignment of Antitrust Claims
- Financial Statement
- Bid Tabulation(s)

Documentation Review by CDOT CRBRC prior to Award

Federal-aid Highway Projects: CDOT Engineering Contract Services will forward to CRBRC all civil rights documents submitted by the Local Agency with the request for concurrence to award. If the apparent low bidder has demonstrated Good Faith Efforts to meet the Contract Goal, CRBRC will issue a determination to Engineering Contract Services. CDOT may concur with awarding of the contract only if the apparent low bidder demonstrates (i) sufficient commitments, or (ii) good faith efforts to meet the established DBE contract goal. The CRBRC review will include:

- **Review of Commitment Submittals**
CRBRC will review Form 1414 – Anticipated DBE Participation Plan, and each Form 1415 – Confirmation Commitment, submitted by the apparent low bidder to the Local Agency to ensure that the commitment is valid and has been properly calculated. CDOT may investigate or request additional information from the Local Agency in order to confirm the accuracy of a commitment. The CRBRC will issue a determination of the good faith efforts of the Contractor within two weeks of receiving all fully completed DBE documentation unless the total eligible DBE participation does not meet the contract goal. If the total estimated eligible participation of the DBE commitments does not meet the contract goal, CDOT will request a Form 1416 – Good Faith Effort Report from the apparent bidder and the CRBRC will conduct a review of the good faith efforts made by the firm to meet the DBE contract goal.
- **Review of Good Faith Effort**
If the total eligible participation of Form 1414 and all supporting Form 1415s does not meet the contract goal, CDOT will review the Form 1416 – Good Faith Effort Report and all supporting documentation submitted by the apparent low bidder to

the Local Agency in order to determine whether good faith efforts to obtain DBE participation have been demonstrated. CDOT will use *Title 49 CFR 26, Appendix A* as a guide for determining whether good faith efforts have been made to meet the contract goal. It is not considered a good faith effort for a bidder to commit a DBE firm to the performance of work for which it is not DBE certified unless the bidder can establish a reasonable basis for its actions. CDOT may consider and approve DBE commitments made after bid submission only if the bidder demonstrates that (i) good faith efforts were made prior to submission of the bid, and (ii) there is a reasonable justification for not obtaining commitments prior to bid submission.

If the CRBRC determines that the bidder did not make good faith efforts, the bidder is entitled to administrative reconsideration with CDOT's Chief Engineer or his/her designee. The process for reconsideration is set forth in the *CDOT Good Faith Effort Administrative Reconsideration Process*, which is an Appendix J to the DBE Program Manual found at:

<https://www.codot.gov/business/civilrights/smallbusiness/dbe/dbe-program-manual> .

A copy of the *CDOT Good Faith Effort Administrative Reconsideration Process* will be included in the written notice from CDOT. If the Chief Engineer determines that a good faith effort to achieve the contract goal was not demonstrated, he or she will issue a written notice of the finding and direct the Local Agency to work with the next low bidder.

- Approval of DBE Participation Plan

On projects advertised prior to July 1, 2022, if CDOT finds that the apparent low bidder has met the contract goal or made good faith efforts to do so, the CRBRC will issue CDOT Form 1417 – DBE Participation Report documenting the approved DBE commitments and provide a copy to Engineering Contract Services and the CDOT Project Manager. On projects advertised on or after July 1, 2022, CDOT will issue a Form 1417 or provide a Utilization Plan in B2GNow documenting the approved commitments on the contract.

7.1.8 Concurrence from CDOT to Award – Projects with Federal Funds

All federal projects: The Local Agency will make the final decision on award; however, Federal participation in such award will require coordination with and concurrence of CDOT. The Local Agency shall document all decisions concerning bidding and award.

Engineering Contract Services will issue a letter to the Local Agency of concurrence or non-concurrence in the award of the project when the Local Agency has complied with the requirements in 7.1.7 for projects with federal funding. Engineering Contract Services will send copies in electronic format to the following CDOT personnel and file a copy with the Inter-Governmental Agreement in CDOT's OnBase web tool:

- CDOT Project Manager
- Civil Rights and Business Resource Center (CRBRC)
- Center for Accounting, Projects and Grants

ProjectWise Explorer/Project Share is the repository for project documents during the project. The CDOT Project Manager will provide ProjectWise Explorer/Project Share access to the Local Agency. The Local Agency is responsible for filing submittals, forms, Project Records and supporting documents in ProjectWise Explorer/Project Share on an ongoing basis or as directed by the CDOT Project Manager.

7.1.9 Approve Rejection of Low Bidder – Projects with Federal Funds

All federal projects: With CDOT concurrence, the Local Agency may reject the low bidder. The Local Agency must obtain CDOT concurrence prior to issuing a rejection notice to a bidder.

The Local Agency request for concurrence to reject must include the following information:

- A copy of the bid solicitation and bid documents
- A cover letter identifying the project and pertinent background supported by written justification for the Local Agency's determination to reject the bid proposal and/or bidder. The letter must document the reason for the determination, and whether the bidder was non-responsive or non-responsible.

The Local Agency request for concurrence to reject should be sent to the CDOT Project Manager who will forward it to CDOT Engineering Contract Services for resolution. It is recommended the Local Agency seek legal counsel prior to requesting concurrence from CDOT.

7.1.10 Award Contract – Projects with Federal Funds

All federal projects: Following the concurrence of the CDOT Award Officer in Engineering Contract Services, the Local Agency sends a letter to the Contractor issuing the Notice of Award and the invitation to the Preconstruction Conference. Electronic copies are sent to the CDOT Project Manager and Resident Engineer.

Once the Local Agency receives the concurrence letter of award from Engineering Contract Services, the Local Agency shall draft a contract for the project work. If the Local Agency used the *CDOT Standard Specifications for Road and Bridge Construction*, performance and payment bonds should also be obtained from the successful bidder by the Local Agency. Each bond shall be in a penal sum equal to the nearest integral one hundred dollars in excess of the sum of the original bid items plus all force account items specified by an asterisk in the project special provisions to be included in the payment and performance bonds. In addition, the successful bidder shall provide a certificate of insurance indicating coverage in the types and limits described in subsection 107.15 of the Standard Specifications.

If the project has Federal-aid Highway funding, the contract must include Form FHWA 1273 - Required Contract Provisions, Federal-Aid Construction Contracts.

The Contract shall be signed and returned by the successful bidder together with the contract bonds and insurance certification (if using CDOT specifications). The Contract will not be considered effective until it has been fully executed by all of the parties to the Contract. An executed original Contract should be retained by the Local Agency and another executed original should be provided to the Contractor. An electronic copy shall also be sent to CDOT, usually the Project Manager or Resident Engineer and a copy placed in ProjectWise Explorer/Project Share.

Notify Office of Federal Contract Compliance Programs of Award

All federal projects: For projects with federal funds, in accordance with *Title 41 CFR 60-4.2*, the prime contractor and all subcontractors are required to give written notice to the Office of Federal Contract Compliance Programs within 10 working days of award of a construction contract or subcontract in excess of \$10,000. Additional information is provided at the following link: <https://www.dol.gov/agencies/ofccp/contract-award-notifications>.

7.1.11 Provide “Award” and “Record” Sets of Plans and Specifications – Projects with Federal Funds

All federal projects: The Local Agency provides the award sets of plans and specifications in electronic format to the CDOT Project Manager for distribution. The distribution within CDOT is as follows:

- Region Program Engineer/Finals Engineer
- Region Project Files
- Project Manager
- Specialty Units

The Local Agency shall also place into ProjectWise Explorer/Project Share an 11” x 17” record set electronically sealed by a Colorado Registered Professional Engineer within 45 days of award. The CDOT Project Manager will move the original record set to ProjectWise Explorer and ensure the record set is copied, smart scanned and made ISO compliant before placing the second copy in ProjectWise Explorer.

Finalize Project Construction Administration Checklist (CDOT Form 1243)

All federal projects: If the Local Agency Contract Administration Checklist is revised, signed copies shall be distributed as shown on the checklist.

Section 7.2 Projects with Non-Federal (State) Funds

If your project contains only non-federal (state) funds and match, follow the guidance in Section 7.2 Projects with Non-Federal (State) Funds.

7.2.1 Obtain Approval for Advertisement Period of Less Than Three Weeks

Two weeks (10 business days) is the minimum advertisement period required by State statute. However, for program consistency, the minimum advertisement period on Local Agency projects is three weeks (15 business days). A shorter advertisement period must be authorized by CDOT. The Local Agency shall contact the CDOT Project Manager for approval.

7.2.2 Advertise for Bids – Projects with Non-Federal (State) Funds

On projects containing state or other non-federal funds and local match, the Local Agency shall include the following in the bidding and advertising documents package (see Appendix A for copies of the forms):

- CDOT Form 604 – Statement of Residency for Bid Preference
- CDOT Form 606 – Anti-Collusion Affidavit
- Revision of Section 103 – Colorado Resident Bid Preference
- Revision of Section 106 – Buy America Requirements – Non-Federal Aid
- Revision of Section 109 – Prompt Payment (Local Agency) – Use version (v) 1 or v2 depending on timing of advertisement:
 - v1) Use on projects not using B2GNow prior to July 1, 2022, or
 - v2) Use on all local agency projects advertised on or after July 1, 2022
- Affirmative Action Requirements Equal Employment Opportunity Standard Special Provision
- Include other project specific [Standard Special Provisions](#), as required

The Local Agency bonding requirements or procedures may be used if approved by CDOT Engineering Contract Services.

The specifications shall provide for the Local Agency's Contractor to name CDOT as an "additional insured" on its general liability and automobile liability policies.

7.2.3 Concurrence to Advertise – Projects with Non-Federal (State) Funds

The bid package is sent in electronic format to the CDOT Project Manager for coordination and review. The Project Manager will forward a copy to the Resident Engineer if requested. Upon approval, the Project Manager submits the Concurrence to Advertise in electronic format to the Local Agency.

The Local Agency must receive the concurrence prior to advertising the project. The CDOT Project Manager will send copies to the following CDOT personnel/offices:

- Resident Engineer
- Region Project Engineer
- Region Materials Engineer
- Region Civil Rights Manager
- Office of Financial Management and Budget
- Business Programs Office
- Center for Accounting, Projects and Grants
- CDOT's Electronic Data Management System (ProjectWise)

Note the following public notice (advertisement) requirements:

1. The advertisement period will be for a minimum of three weeks (15 business days).
2. The advertisement can either be published in a newspaper of general circulation, the official county paper where the work is being done, or electronically on a bidding website of widespread knowledge to the contractors (as approved by CDOT). If the advertisement is by official county paper, in the instances where a project spans several counties, the advertisement should be placed in the official newspaper of each county. It is highly recommended that advertisement be made once in a newspaper of statewide circulation. CDOT uses the *Daily Journal* and occasionally the *Denver Post* and *La Voz*.
3. If the Local Agency has established a project number different from the State's, the advertisement and bidding documents should show both project numbers.

4. Projects on CDOT right of way require CDOT contractor prequalification. For roadway projects not within CDOT right of way, prequalification is recommended. The advertisement shall state prequalification requirements. The CDOT prequalified contractor list is available at <https://www.codot.gov/business/bidding/Prequalified%20Contractors>

The Local Agency may use the CDOT proposal package and contract that include the above information. A copy of this information may be obtained from the Project Manager.

7.2.4 Distribute “Advertisement Set” of Plans and Specifications

The Local Agency must provide the plans and specifications to the person responsible for showing the project. For Local Agency projects that include the construction of a major or minor structure, one set of plans and specifications shall be forwarded to Staff Bridge in electronic format as per the [Bridge Design Manual](#), Policies and Procedures, Section J.2.

7.2.5 Review Worksite and Plan Details with Prospective Bidders While Project Is Under Advertisement

To ensure competitive bidding, the person responsible for showing the project must provide all bidders with an equal opportunity to view the proposed construction site and should conduct each of the project showings in a similar manner. It is important to provide each prospective bidder with identical information. This helps to avoid favoring one company over the other. It is preferable that the same person conducts each of the project showings; however, if that is not practical, ensure that identical information is communicated to each attendee.

7.2.6 Open Bids – Projects with Non-Federal (State) Funds

Bids will be opened in accordance with Section 103 of the *CDOT Standard Specifications*.

Immediately after bid opening, the Local Agency shall provide to the apparent low bidder the following CDOT forms (see Appendix A):

- Form 605 – Contractors Performance Capability Statement
- Form 621 – Assignment of Antitrust Claims

The apparent low bidder must submit these completed forms to the Local Agency by 4:30 pm on the 5th calendar day after the date of bid opening.

With CDOT concurrence, the Local Agency may reject any or all bids depending upon a number of factors.

7.2.7 Process Bids for Compliance – Projects with Non-Federal (State) Funds

Submittals to Local Agency by All Bidders

The following CDOT forms must be submitted by all bidders with their bids:

- Form 604 – Statement of Residency for Bid Preference
- Form 606 – Anti-Collusion Affidavit

If these forms are not submitted, the bid is considered nonresponsive and shall be rejected.

Submittals to the Local Agency by Apparent Low Bidder

The apparent low bidder must submit the following CDOT forms:

- Form 605 – Contractors Performance Capability Statement
- Form 621 – Assignment of Antitrust Claims

The apparent low bidder must submit these completed forms to the Local Agency by 4:30 pm on the 5th calendar day after the date of bid opening.

Submit Required Documentation for CDOT Award Concurrence

The Local Agency must review bids for reasonable conformance with estimate and unbalancing prior to award. The Local Agency must obtain CDOT concurrence before the project can be awarded. The Local Agency 's request for concurrence letter must document its review of the bids, address the budget status of the project and the means of resolving any budget deficits, and specify which bidder it is recommending for award of the project. The letter must also include a review of the project schedule which lists the IGA Expiration Date and an evaluation whether the time frame of the construction project can be accomplished within the IGA period.

The Local Agency must send the bid review letter, the construction timeline evaluation, and the following documents in electronic format to the CDOT Project Manager who will review the information and forward to Engineering Contract Services (See Appendix B for an example award letter and construction timeline evaluation.):

- Form 604 – Statement of Residency for Bid Preference
- Form 605 – Contractors Performance Capability Statement
- Form 606 – Anti-Collusion Affidavit
- Form 621 – Assignment of Antitrust Claims
- Financial Statement
- Bid Tabulations

7.2.8 Concurrence from CDOT to Award – Projects with Non-Federal (State) Funds

The Local Agency will make the final decision on award; however, State participation in such award will require coordination with and concurrence of CDOT. The Local Agency shall document all decisions concerning bidding and award.

Engineering Contract Services will issue a letter to the Local Agency of concurrence or non-concurrence in the award of the project when the Local Agency has complied with the requirements in 7.2.7 for projects with state and non-federal match funding.

Engineering Contract Services will send copies in electronic format to the following CDOT personnel and file a copy with the Inter-Governmental Agreement in CDOT's OnBase web tool:

- CDOT Project Manager
- Civil Rights and Business Resource Center (CRBRC)
- Center for Accounting, Projects and Grants

ProjectWise Explorer/Project Share is the repository for project documents during the project. The CDOT Project Manager will provide ProjectWise Explorer/Project Share access to the Local Agency. The Local Agency is responsible for filing submittals, forms, Project Records and supporting documents in ProjectWise Explorer/Project Share on an ongoing basis or as directed by the CDOT Project Manager.

7.2.9 Approve Rejection of Low Bidder – Projects with Non-Federal (State) Funds

With CDOT concurrence, the Local Agency may reject the low bidder. The Local Agency must obtain CDOT concurrence prior to issuing a rejection notice to a bidder.

The Local Agency request for Concurrence to Reject must include the following information:

- A copy of the bid solicitation and bid documents
- A cover letter identifying the project and pertinent background supported by written justification for the Local Agency's determination to reject the bid proposal and/or bidder. The letter must document the reason for the determination, and whether the bidder was non-responsive or non-responsible.

The Local Agency request for Concurrence to Reject should be sent to the CDOT Project Manager who will forward it to Engineering Contract Services for resolution. It is recommended the Local Agency seek legal counsel prior to requesting concurrence from CDOT.

7.2.10 Award Contract – Projects with Non-Federal (State) Funds

Following the concurrence of the CDOT Award Officer in Engineering Contract Services, the Local Agency sends a letter to the Contractor issuing the Notice of Award and the invitation to the Preconstruction Conference. Electronic copies are sent to the CDOT Project Manager and Resident Engineer.

Once the Local Agency receives the concurrence letter of award from Engineering Contract Services, the Local Agency shall draft a contract for the project work. If the Local Agency used the CDOT *Standard Specifications for Road and Bridge Construction*, performance and payment bonds should also be obtained from the successful bidder by the Local Agency. Each bond shall be in a penal sum equal to the nearest integral one hundred dollars in excess of the sum of the original bid items plus all force account items specified by an asterisk in the project special provisions to be included in the payment and performance bonds. In addition, the successful bidder shall provide a certificate of insurance indicating coverage in the types and limits described in subsection 107.15 of the Standard Specifications.

The Contract shall be signed and returned by the successful bidder together with the contract bonds and insurance certification (if using CDOT specifications). The Contract will not be considered effective until it has been fully executed by all of the parties to the Contract.

An executed original Contract should be retained by the Local Agency and another executed original should be provided to the Contractor. An electronic copy shall also be sent to CDOT, usually the Project Manager or Resident Engineer and a copy placed in ProjectWise Explorer/Project Share.

7.2.11 Provide “Award” and “Record” Sets of Plans and Specifications – Projects with Non-Federal (State) Funds

The Local Agency provides the award sets of plans and specifications in electronic format to the CDOT Project Manager for distribution. The distribution within CDOT is as follows:

- Region Program Engineer/Finals Engineer
- Region Project Files
- Project Manager
- Specialty Units

The Local Agency shall also place into ProjectWise Explorer/Project Share an 11” x 17” record set electronically sealed by a Colorado Registered Professional Engineer within 45 days of award. The CDOT Project Manager will move the original record set to ProjectWise Explorer and ensure the record set is copied, smart scanned and made ISO compliant before placing the second copy in ProjectWise Explorer.

Finalize Project Construction Administration Checklist (CDOT Form 1243)

If the Local Agency Contract Administration Checklist (Form 1243) is revised, signed copies shall be distributed as shown on the checklist.

7.3 Roles and Responsibilities on Both Federal and Non-Federal (State) Projects (unless specifically stated otherwise)

- **Local Agency**
 - Prior to advertisement, prepare bidding documents and seek all appropriate approvals including, but not limited to, the following:
 1. Seek approval from the CDOT Project Manager for an advertisement period proposed to be less than three weeks (15 business days). (Approval must be received prior to initiating the advertisement.)
 2. Verify that the bidding and advertising package includes the correct CDOT and/or FHWA forms, Project Special and Standard Special

3. Provisions, most recent Wage Determination (if applicable), and required civil rights/EEO language and notices. Verify that the documents clearly state the forms that the bidder must submit with their bid.
 4. Determine bonding requirements and seek approval from CDOT Engineering Contract Services, if required.
 5. Verify the specifications provide for the Contractor to name CDOT as an additional insured in accordance with the Inter-Governmental Agreement limits on general liability and automobile liability policies.
 6. On federally funded projects, verify specifications or bidding procedures do not provide preferences to local contractors.
 7. If the project is located within CDOT right of way, verify the project advertisement states the Contractor is required to be prequalified.
 8. Coordinate final review of the bid package with the CDOT Project Manager.
 9. Verify the CDOT Project Manager has issued a written Concurrence to Advertise.
 10. Forward the final set of plans and specifications to the person responsible for showing the project.
 11. If the project includes the construction of a major or minor structure, forward one set of plans and specifications to CDOT Staff Bridge
- During advertisement:
 1. Comply with public notice advertisement requirements outlined in this *Desk Reference*.
 2. In accordance with procedures outlined in the bidding documents, show the project, respond to questions regarding the project, and prepare PS&E revisions under advertisement, if necessary.
 - Open and process bids for compliance:
 1. Open bids in accordance with Section 103 of the CDOT Standard Specifications. Review bids for reasonable conformance with the estimate and unbalancing prior to award.
 2. Furnish forms listed in this *Desk Reference* to the apparent low bidder and collect the completed forms within the time frames specified in this *Desk Reference*.

3. With CDOT concurrence, reject any or all bids and re-advertise the project.
4. Collect forms from the apparent low bidder and, if the project has Federal-aid Highway funded, submit this information to the Civil Rights and Business Resource Center.
5. Prepare the request (and supporting documents) for Concurrence to Award and send to the CDOT Award Officer.
6. After receipt of CDOT Concurrence to Award, issue the Notice of Award to the successful bidder.
7. Prepare and enter into a contract for the project work. Collect performance and payment bonds from the successful bidder and certificates of insurance.
8. Send a copy of the signed contract to CDOT.
9. Provide award and record sets of plans and specifications to the CDOT Project Manager.
10. File documents in ProjectWise Explorer/Project Share as directed by the CDOT Project Manager.

- **Bidders**

- Comply with requirements in the bidding and advertising package.
- Submit required forms with the bid.

- Submit other required forms in the time frame specified in the bid package.
- Sign the contract with the Local Agency.

- **CDOT**

- Project Manager/Local Agency Coordinator
 1. For projects with Federal-aid Highway funds, submit documents necessary to obtain federal authorization.
 2. Review bidding and advertising documents for compliance with federal and/or state requirements.
 3. Issue Concurrence to Advertise the project for construction.
- Awards Officer in Engineering Contract Services
 1. Review documents submitted by the Local Agency.

2. Issue a letter of concurrence or non-concurrence in the award of the project after the Local Agency has complied with the requirements in this *Desk Reference*.
- **Civil Rights and Business Resource Office (for Projects with Federal-aid Highway Funds only)**
 1. Review submittals by the apparent low bidder to ensure that the DBE commitment is valid. Request a Good Faith Effort Report from the apparent low bidder if necessary.
 2. Issue a determination of the good faith efforts of the apparent low bidder.
 3. If the apparent low bidder has met the contract goal or made good faith efforts to do so, issue the Form 1417 or Utilization Plan in B2GNow.
 - **FHWA** – Overall responsibility for the Federal-aid Highway Program including those project actions which cannot be assumed by the CDOT or the Local Agency.

CONSTRUCTION MANAGEMENT

CHAPTER 8

Introduction

If the Local Agency is identified for construction management responsibilities in the CDOT/Local Agency IGA, then the Local Agency may fulfill this responsibility with qualified staff or may contract with a consultant for these services. Construction management consists of inspection and testing services, including Quality Assurance inspections during the fabrication of precast concrete products. The Local Agency Project Manager shall refer to the applicable version of the [CDOT Construction Manual](#), the [CDOT Bridge Fabrication Inspection Manual](#), and [CDOT Field Materials Manual](#) for more detailed information on construction management, fabrication inspection, and materials testing. Section 122 of the *CDOT Construction Manual* contains information specific to the administration of Local Agency projects.

Upon CDOT's issuance of Concurrence to Award/Notice to Proceed and the executed Option Letter encumbering construction funds, the Local Agency is able to charge eligible costs to the construction phase.

CDOT is transitioning from paper to accepting all submittals, forms, Project Records and supporting documents in electronic format on Local Agency projects. During the transition period from paper to electronic medium, unless specifically stated, documents and forms listed in this Chapter will be accepted from the Local Agency in paper or electronic format, although the latter is preferred and may be required by the CDOT Region where the project is located.

Project Records which require a Professional Engineer, Professional Architect, or Land Surveyor Seal are defined in the CDOT Construction Manual as Signature Type 1 documents. Project Records which do not require a professional stamp are Signature Type 2 documents. See Section 120.1.1 in the [CDOT Construction Manual](#) and see Appendix B for Local Agency requirements for electronic records and electronic signatures.

ProjectWise Explorer/Project Share is the repository for project documentation during the project. The CDOT Project Manager will provide ProjectWise Explorer/Project Share access to the Local Agency. The Local Agency should place submittals, forms, Project Records and supporting documents in ProjectWise Explorer/Project Share in accordance with the location shown on the Construction Oversight Checklist, or as directed by the CDOT Project Manager. In the event any Project Records are submitted in paper format, the CDOT Project Manager will file in ProjectWise Explorer.

The CDOT Project Manager will provide the applicable Construction Oversight Checklist to the Local Agency. This checklist provides federal and state requirements during construction. A sample Construction Oversight Checklist can be found in Appendix B.

This *Desk Reference* uses “CDOT Project Manager” to refer to the CDOT staff member responsible for providing assistance to the Local Agency. The CDOT Project Manager is also referred to as the CDOT Local Agency Coordinator.

8.1 Issue Notice to Proceed to the Contractor

The Local Agency shall issue a Notice to Proceed to the Contractor. The Contractor may not commence work prior to receiving the Notice to Proceed. Follow the [CDOT Standard Specifications](#), subsection 108.02, to ensure this notice contains the correct information. The Resident Engineer shall be copied on the Notice to Proceed (NTP). A sample NTP is in Appendix B of this *Desk Reference*.

8.2 Project Safety

Before construction commences on the project, the Contractor must submit a Project Safety Management Plan in electronic format compliant with Section 107.6 of the [CDOT Construction Manual](#). Follow the *Standard Special Provisions* and the [CDOT Standard Specifications](#), subsection 107.06, to ensure the Plan addresses all protocols. Safety is of the highest priority on CDOT projects, which includes Local Agency projects.

The Contractor is expected to comply with the Plan at all times, and to provide updates as work conditions or personnel change. The Plan should address issues including, but not limited to, the following:

- Hygiene protocols
- Meeting arrangements, including techniques for remote meetings.
- Social Distancing requirements on construction worksites
- Non-medical face coverings

8.3 Conduct Conferences

8.3.1 Preconstruction Conference

The Local Agency shall conduct the Preconstruction Conference and shall invite CDOT, usually the Project Manager or Resident Engineer, and a representative from the Region Civil Rights Office. The FHWA should also be invited to the conference if the project is under its oversight. See the [CDOT Construction Manual](#) for information on conducting the conference and for the required Contractor Submittals. A [Preconstruction Conference Agenda Form](#) is available on the Local Agency Manual Webpage and in Appendix B. Following the conference, a completed copy of the agenda and minutes in electronic format should be sent to each attendee. One copy should also be sent to the FHWA for all Federal-aid Highway oversight projects.

[Required posters](#) for the Contractor's bulletin board can be accessed on CDOT's website.

It is recommended the Local Agency require submittals in electronic format be turned in at least three working days prior to the Preconstruction Conference. Submittals can then be reviewed and any deficiencies discussed at the conference. The following submittals are required from the Contractor (see Appendix A of this *Desk Reference* for copies of the forms):

1. List of Contractor's representatives identified in the Preconstruction Conference agenda in electronic format (see Appendix B of this *Desk Reference*).
2. [CDOT Form 205](#) – Sublet Permit Application. If the Contractor is subcontracting any work, this form must be submitted in electronic format and approved by the Local Agency before the subcontractor can begin work. The Contractor needs to complete a separate Form 205 for each subcontractor. This includes professional services and trucking companies (that are acting as subcontractors). The Local

Agency must ensure that the Form 205 is completed with correct line items, quantities, and costs by the Contractor before submission to CDOT.

For projects advertised prior to July 1, 2022, the Local Agency shall review each form for accuracy and work with the Contractor to correct the form if needed. The Local Agency submits the original forms to the CDOT Project Manager who will forward them to the Region Civil Rights Office. After the Region Civil Rights Office reviews the form, it is sent to the Local Agency and the CDOT Project Manager is copied.

Projects advertised on or after July 1, 2022 will be required to use Civil Rights compliance software systems. The current compliance software utilized to monitor subcontracting is the B2GNow system. If the project is using the B2GNow software, the Form 205 is submitted by the prime contractor and recommended for approval by the Local Agency -- both actions taken in the system. Once the Local Agency has recommended the Form 205 for approval, they should notify the Civil Rights Office and copy the CDOT Project Manager. Using the B2GNow system, the Civil Rights Office approves, denies, or returns the form for updates. Contact the CDOT Project Manager or the Region Civil Rights Office for assistance or questions.

The supplier or subcontractor may not begin work until the Form 205 has been approved in the B2GNow system. Physical subcontracts may be requested by CDOT or the Local Agency. If any discrepancies or issues arise during the review of the form, the Region Civil Rights Office notifies the Local Agency and Contractor for corrections or stoppage of work.

3. [CDOT Form 1425](#) - Suppliers Application Approval Request List. The Contractor must submit a completed Form 1425 for each direct supplier that meets the \$10,000 criteria outlined within subsection 106.01 of the [CDOT Standard Specifications](#). The Form 1425 shall be submitted to the Engineer prior to beginning any work on the project or incorporating materials into the project, or at such time that the \$10,000 amount is known to be exceeded. Include the item to be supplied, company name, address, telephone number, contact person, and DBE status. See the "Special Notice to Contractors" in the [CDOT Field Materials Manual](#), and subsection 106.01 of the [CDOT Standard Specifications](#).

For projects advertised prior to July 1, 2022, the Local Agency shall check the form and either submit the original signed form to the CDOT Project Manager who will forward it to the Region Civil Rights Office or route the form for electronic signatures.

Projects advertised on or after July 1, 2022 will be required to use compliance software systems. The current compliance software utilized to monitor suppliers is the B2GNow system. If the project is using B2GNow software, Form 1425 is submitted by the prime contractor to the Local Agency and ultimately approved in the system. Contact the CDOT Project Manager or the Region Civil Rights Office for assistance or questions.

4. [CDOT Form 838](#) - OJT Trainee/Apprentice Record. The Contractor must submit a completed form for each trainee or apprentice on the project. This form is required if apprentices and / or trainees are present and counting toward the project OJT goal. OJT Program information is found at the following link: <https://www.codot.gov/business/civilrights/ojt> .

Projects advertised on or after July 1, 2022 will be required to use compliance software systems. The current compliance software utilized to monitor the OJT program is the LCPtracker system. If the project is using LCPtracker, OJT participation is tracked in the system. The CDOT Form 832 is required to be submitted monthly to provide additional information regarding the trainee status that is not captured in the software system. Contact the CDOT Project Manager or the Region Civil Rights Office for assistance or questions.

OJT Program requirements do not apply to projects fully funded with state or Federal Recovery funds.

5. Procedure for handling EEO complaints. The procedure needs to detail who, what, when, where, and how an employee can file a complaint within the Contractor's organization and also a means for filing a complaint outside of the company.

6. Method of monitoring subcontractor EEO compliance. The Contractor needs to outline its process to monitor subcontractor compliance with all the regulations.
7. [CDOT Form 465](#) – Non-discrimination in Employment Notice (Labor Unions or other Worker’s Organizations). If the Form 465 is being used for recruitment, it should be addressed to the recruitment source. If the form is not being used to recruit applicants, it should be addressed to Employees/Applicants.
8. Contractor Supervisory EEO Meeting minutes and attendance roster in electronic format. The Local Agency is responsible for ensuring that a meeting was conducted in the past year, all EEO issues were addressed, and the supervisor/superintendent for the project is on the list of attendees. According to the *Title 23 CFR Appendix A to Subpart A of Part 230*, periodic meetings of supervisory and personnel office employees will be conducted before start of work and then not less often than once every 6 months.
9. An agenda and tentative date for the Contractor’s First Project EEO Meeting. This meeting must be conducted as soon as a representative workforce is on the project. After the meeting is held, the Contractor must submit the minutes and the attendance roster in electronic format to the Local Agency showing that a majority of the workforce attended the meeting. Subcontractors who are not present for the initial meeting must conduct their own EEO meeting and documentation of the meetings must be provided to the Local Agency.
10. Contractor's Method of Handling Traffic. A different Method of Handling Traffic (MHT) must be submitted in hard copy or electronic format for each traffic situation as detailed by the traffic control plan in the Contract. In accordance with subsection 630.10 of the [CDOT Standard Specifications](#), the Local Agency must review the MHT and either approve or return it for revisions. Once the MHT is approved, the Contractor, traffic control supervisor, and the Local Agency Professional Engineer must sign it.
11. Critical Path Method schedule in electronic format. The schedule is required at least ten working days prior to the start of work. Schedules are described in subsection 108.03 of the [CDOT Standard Specifications](#).

12. Certificate of Insurance (subsection 107.15 of the [CDOT Standard Specifications](#)). The Local Agency shall obtain the Certificate of Insurance from the Contractor prior to the Notice to Proceed or commencement of work. The Local Agency must check the expiration date on this document to make sure that insurance coverage does not expire prior to project completion. The policy shall name the Local Agency as primary insured and CDOT as an additional insured. Should coverage expire, the Local Agency must receive from the Contractor a renewal certificate.
13. Concrete (follow Colorado Procedures [\(CP\) 62](#) and asphalt mix (follow [CP 52](#)) designs in electronic format

8.3.2 Other Conferences

One or more of the following conferences may be required depending upon the nature of the project: Presurvey, Construction Staking, Environmental Precon, Monumentation, Partnering, Structural Concrete Pre-Pour, Concrete Pavement Pre-Paving, and Hot Mix Asphalt Pre-Paving. See the [CDOT Construction Manual](#) for further information and sample agendas.

8.4 Develop and Distribute Public Notice of Planned Construction to the Media and Local Residents

The Local Agency should distribute a public notice announcing the project to affected parties such as adjacent property owners or businesses. This can be accomplished with a newspaper item, fliers distributed by hand, email, city or county website, and/or other means of mass communication. The CDOT Project Manager should be given the opportunity to review the public notice prior to distribution.

8.5 Supervise Construction

The Local Agency shall notify the Resident Engineer and/or the CDOT Project Manager prior to commencement of work and shall provide updates when issues arise on the project. The Local Agency shall notify the Resident Engineer, CDOT Project Manager, and CDOT Bridge Inspection Unit prior to fabrication of structural items and identify their

inspectors responsible for Quality Assurance during fabrication. Notices shall be in electronic format.

A licensed Professional Engineer registered in Colorado shall be “in responsible charge of construction supervision.” See the Local Agency Contract Administration Checklist (CDOT Form 1243). The Local Agency shall provide competent, experienced staff that will ensure the contract work is constructed in accordance with the plans and specifications.

CDOT’s Construction Inspector Qualification Program and training requirements are described in the [CDOT Construction Manual](#), Section 101.103.7. Certain Local Agency projects require inspectors to have successfully completed training and certification. For projects that are constructed partially or entirely within CDOT right of way, within any roadway template, that add lanes, or have other work activities as determined by the CDOT Resident Engineer, this certification is required.

On projects with structures, the Local Agency’s Structural Engineer should be available during construction to assist in interpreting the structural plans and specifications and to resolve structure-related construction issues.

CDOT Staff Bridge may provide technical assistance, when requested, to Local Agencies, Consultant design engineers and CDOT Region staff. This assistance will involve answering specific questions and facilitating the use of CDOT structures-related documents.

8.5.1 Construction Inspection and Documentation Responsibilities

As a requirement for receiving federal or state funds, the Local Agency shall be responsible for inspecting and documenting the Contractor’s work on the project. The [CDOT Construction Manual](#) gives guidelines on how each item should be inspected and documented.

The Local Agency shall have written or electronic documentation, such as [Form 266](#), to support all Contractor payments. Section 100 of the [CDOT Construction Manual](#) contains guidelines on how to document pay quantities. Item documentation shall

include project number, item number, work description, date, specific location on the project, method of measurement, quantity paid, and signature of inspector.

Local Agencies should ensure that they are in compliance with inspection and documentation requirements to maintain eligibility for funds.

8.5.2 Additional Construction Inspection and Documentation Responsibilities for projects with Structures

As directed by the CDOT Region, the Local Agency's Project Engineer will provide all pertinent documents to the CDOT Project Manager for filing in ProjectWise or place all documents in ProjectShare by the Final Inspection/Owner Acceptance walkthrough. Items 1, 2, 3, 5 and 8 shown in the list below are prepared during the project development phase but are included in construction phase documentation to provide a single comprehensive package of information for each structure. At a minimum, documents include:

1. Design calculations and Independent Design Check calculations (completed during project development). Independent Design Checks are required for only major and minor structures that carry the highway system and other structures that could affect the highway system, i.e., walls, non-standard inlets and culverts, and non-S-standard sign and signal structures. Exceptions may be as approved by CDOT Staff Bridge. Both Design calculations and Independent Design Check calculations must be signed and sealed by a Colorado Licensed Professional Engineer (CO PE sealed).
2. Supporting documents/reports (completed during project development), such as:
 - Final Structure Selection Report
 - Final Geotechnical Report (CO PE sealed)
 - Final Hydraulics Report (CO PE sealed)
3. Load Rating Package, (for all Major and Minor Structures as defined in the Rating Manual) including the electronic bridge model file (CO PE sealed) (completed during project development)
4. Inspection Sketches per CDOT Detailing Manual

5. Software Input Files (Calculations & Ratings) (completed during project development)
6. Bid Results/Summary
7. Final bid documents, including Plans and Specifications (CO PE sealed). Plans shall be submitted in both PDF and native file format. MicroStation files are preferred but AutoCAD files are accepted.
8. MicroStation DGN files and related reference files (completed during project development). Provide cross sections for walls in DGN format. AutoCAD files will be acceptable for projects outside of CDOT ROW.
9. Final Information Package
10. Correspondence directly affecting design and construction
11. Final Detail Letter (FDL)
12. All construction documents, including, but not limited to, as-built drawings, working drawings, shop drawings, material certifications and test reports
13. Intergovernmental Agreements defining Maintenance and Ownership when applicable.

In addition to normal construction inspection, the Local Agency will be responsible for having a final walk through inspection to identify any remaining items (punch list) that the Contractor needs to complete or adjust to conform to all of the project plans and specifications. The Local Agency's Engineer of Record shall be invited to the final walk through for their input into the conformance of the project. The Engineer of Record includes the Structural Engineer of Record and could also include other professional engineers associated with the project. See Chapter 11, Finals, for additional information.

8.5.3 Force Account Work

For force account work by the Contractor, funds cannot be used for equipment rental rates that exceed those in The Rental Rate Blue Book for Construction Equipment. Refer to subsection 109.04 of the [CDOT Standard Specifications](#) for a more thorough explanation of compensation for force account work. Rates for owned or long-term leased equipment that exceed the Blue Book rates are not eligible for participation. Actual rental rates may be reimbursed at rental rate invoice cost for that specific task. CDOT can assist with providing rental rate information. Work that will be paid by Force

Account must be carefully tracked using [CDOT Form 10](#) – Inspector’s Report for Force Account Work. Certified payrolls must be submitted in electronic format for force account work performed by the Contractor even if certified payrolls are not required on the project.

8.5.4 Maintain Diaries

The Local Agency should keep daily diaries of all activities on the project in electronic format by using [CDOT Form 103](#) – Project Diary, or their own form that contains the same information. Refer to Section 100 of the [CDOT Construction Manual](#). Diaries assist Local Agencies in cases of disputes, claims and lawsuits.

8.5.5 Time Counts

Refer to the Contract documents for time count requirements. Most contracts require the Local Agency to furnish a weekly statement to the Contractor showing the days charged. A weekly statement may not be required on a completion date project. The [CDOT Form 262](#) – Weekly Time Count Report – Work Days and [CDOT Form 263](#) – Weekly Time Count Report – Calendar Days are presented in Appendix A of this *Desk Reference*. Refer to subsection 108.08 of the [CDOT Standard Specifications](#), and Section 100 and Appendix B of the [CDOT Construction Manual](#) for a more thorough explanation of time counts.

8.5.6 Submit Project Schedule and Conduct Progress Meetings

The Contractor must submit a project schedule in electronic format to the Local Agency before the project begins, and monthly schedule updates before payments are made. It is recommended that weekly progress meetings be conducted to monitor progress and plan effectively. If construction activities could have an adverse effect on water quality, a weekly meeting is required per subsection 208.03(e) of the [CDOT Standard Specifications](#). Refer to the Contract and also Section 100 of the [CDOT Construction Manual](#) for more information. Accurate, realistic schedules and updates are critical to evaluating disputes and claims.

8.5.7 Utility/Railroad Coordination

Contact involved utility and railroad representatives to schedule the performance of the work as set forth in the project plans and specifications. Coordinate the work with the construction activities.

8.5.8 Monitor Construction/Civil Rights Compliance

See Chapter 10 of this *Desk Reference* for monitoring requirements.

8.6 Review and Approve Shop Drawings

“Shop drawing” is a general term that includes drawings, diagrams, illustrations, samples, schedules, calculations, and other data that provide details of the construction of the work and details to be used for inspection. Shop drawings are Project Records submitted in electronic format by the Contractor for formal review and returned for action. Subsection 105.02 of the [CDOT Standard Specifications](#) defines which items require shop drawings. The Local Agency will review and mark the shop drawings and return them to the Contractor in accordance with the *CDOT Standard Specifications*.

The review and approval process shall not exceed four weeks, unless noted otherwise in the project specifications. The drawings shall be marked with one of the following:

MARK	MEANING
Reviewed, no exception taken	Shop drawings have been reviewed and do not require resubmittal
Reviewed, revise as noted	Shop drawings have been reviewed and the Contractor shall incorporate the comments noted in the shop drawings into the work. The shop drawings do not require resubmittal.
Resubmit, revise as noted	Shop drawings require correction or redrawing and shall be resubmitted for review. If shop drawings are returned for correction or redrawing, corrections shall be made and the shop drawings shall be resubmitted by the Contractor in the same manner as the first submittal. Specific notation shall be made on the shop drawing to indicate the revisions

8.7 Perform Traffic Control Inspections

All Methods of Handling Traffic (MHT) shall be reviewed and approved by the Local Agency Project Engineer prior to use. The Local Agency shall verify that all traffic control is in accordance with the *Manual on Uniform Traffic Control Devices (MUTCD)*

and Contract requirements. If a MHT shows that a vertical or horizontal clearance will be restricted by construction activities (see subsection 630.10, items (8) and (9) of the [CDOT Standard Specifications for Road and Bridge Construction](#)), the Local Agency Project Engineer must use the notification procedures described in the [CDOT Construction Manual](#), subsection 630.2.4, Review of Method of Handling Traffic.

For projects within CDOT ROW, if a speed limit reduction is specified in an MHT, a [Form 568, Authorization and Declaration of Temporary Speed Limits](#), must be executed.

The review of work zone traffic control on locally-administered projects is the responsibility of the Local Agency and Contractor personnel, whether the project is on a local road or state highway. Best practices for insuring quality traffic control encourages regular review of the Contractor's traffic control and that these reviews are documented within the project file. Additionally:

- Traffic Control Supervisor training requirements are described in the [CDOT Construction Manual](#), Section 630.2.5. A copy of the certifications shall be placed in ProjectWise/Project Share.
- The Local Agency Project Engineer, or their qualified designee, should make at least one nighttime inspection upon implementation of a new MHT that includes nighttime traffic control devices. The inspection should be documented in ProjectWise/Project Share.

The Local Agency Project Engineer and the CDOT Project Manager/Resident Engineer shall make joint Traffic Control Reviews once each calendar year for each active Local Agency project. See Section 630 of the [CDOT Construction Manual](#) for more information.

A copy of the Traffic Control Review Form is included in Appendix B. The Local Agency or their contractor may use this form as a reference when checking traffic control.

8.8 Perform Construction Surveying

Construction survey work consists of performing surveying, related computations, and staking necessary for the construction of all elements of the project.

8.9 Monument Right-of-Way

Final monumentation shall be done after the right-of-way is purchased. Right-of-way monuments shall be set at each point designated on the right-of-way plans and in accordance with the *Colorado Revised Statutes (CRS)*. This work shall be performed under the direct supervision of a Professional Land Surveyor, registered in the State of Colorado.

8.10 Prepare and Approve Interim and Final Contractor Pay Estimates

The Local Agency Project Engineer shall certify, on each Contractor estimate or billing, that the work has been completed in reasonably close conformity with the plans and specifications.

The Local Agency is responsible for all estimate payments to the Contractor. The Local Agency shall review quantities with the Contractor, and the billing shall address required retainage or securities. Retainage or securities amount will not be less than those required by CDOT contracts. Before payment is made, the Contractor shall submit suitable schedule updates and materials certifications in the same manner as the original submittal in accordance with the [CDOT Standard Specifications](#).

Contractors are required to pay subcontractors for the items included in the estimate within 7 days of receipt of the payment according to the prompt payment law, *CRS 24-91-103 (2)*. The local agency shall ensure prompt payment to subcontractors by collecting and reviewing on a monthly basis [CDOT Form 1418](#) - Monthly Payment Summary or by using a similar method of oversight.

Projects advertised on or after July 1, 2022 will be required to use compliance software systems. The compliance software currently used to monitor prompt payment is the B2GNow system. If the project is using B2GNow software, by the 15th of each month, the prime contractor is required to record all payments to subcontractors by completing

an audit in the system. The subcontractor or supplier will receive a notice to confirm payment within fifteen days from the notice. The Form 1418 is not required if using the B2GNow system. Contact the CDOT Project Manager or the Region Civil Rights Office for assistance or questions.

8.11 Prepare and Approve Interim and Final Utility and Railroad Billings

Verify that the work was performed as stated in the Contract and that the billing is for actual work performed. Refer to the project agreement for billing and payment arrangements.

8.12 Prepare and Authorize Change Orders

Under *Title 23 CFR 635.105*, CDOT is responsible for insuring construction of locally administered Federal-aid Highway projects are completed in conformance with approved plans and specifications. Additionally, under *Title 2 CFR 200.332*, CDOT is responsible to see that the award is used in accordance with Federal statutes, regulations and the terms and conditions of the Federal award. For these reasons, CDOT reviews all change orders to make certain the change order packet is comprehensive, includes all associated effort and costs, and is reasonable within the original scope and intent of the approved project. Rules and regulations on federally funded and state-funded projects apply to the entire contract and apply to all change orders, regardless of funding.

Change orders, also called Minor Contract Revisions (MCRs) and Contract Modification Orders (CMOs), are needed for items such as changes to the scope of work, specifications, pay items, design, duration, project limits, and typical sections in addition to other reasons as detailed in Section 120.7 of the [CDOT Construction Manual](#). See Appendix C of the *CDOT Construction Manual* for example change orders. Use of contingency money (MCR dollars) typically budgeted into the project and/or use of any money from underruns of existing items also requires a change order.

Additionally, if a change order adds new work items or increases the total dollar amount of the Contract, the Contractor is required to make Good Faith Efforts to obtain additional DBE participation sufficient to meet the Contract Goal in accordance with the

Standard Special Provision, Disadvantaged Business Enterprise (DBE) Requirements. Documentation of Good Faith Efforts should be submitted to the Region Civil Rights Office with a copy to the Local Agency and the CDOT Project Manager.

The Local Agency shall discuss all change orders, including those paid by overmatch, with the CDOT Project Manager/Resident Engineer (and with FHWA on Projects of Division Interest (PODI)). The Local Agency must receive written approval from CDOT prior to commencing any work, regardless of the funding source. On PoDI projects where FHWA determines that the FHWA Area Engineer needs to sign the CDOT Form 90 – Change Modification Order, this signature must be obtained and the form completed before the work starts or the change order will not be reimbursable. See Section 120.7.5 of the [CDOT Construction Manual](#) for the procedure. Change orders where work is incorporated into the project prior to CDOT or FHWA approval are subject to a non-reimbursement determination.

The Local Agency may use its own form or CDOT's [Form 90](#) for a change order. If the Local Agency chooses to use its own form, it must contain the same content and information as on the CDOT Form 90, including signature blanks for all parties. See Section 120.7.6.1 of the [CDOT Construction Manual](#) for information on change order content.

Change orders are Project Records and are required to follow Type 1 Signature requirements. See Section 120.7.5.2 of the [CDOT Construction Manual](#) for information on electronic signatures on Change Orders. The change order must provide enough information for the contractor to build the work directed in the change order and establish how the work will be measured and paid.

The following statement, included in the body of the Form 90 (or equivalent), must be signed by a qualified representative of the Local Agency for all change orders that involve the expenditure of Federal or state funds before the work covered by the change order commences:

Should federal funds or state funds not be available to cover these additional costs, or the Federal Awarding Agency decides not to participate in these costs, the Local Agency agrees to provide the required funds.

The _____
(Name of Local Agency)

approves this Change Order No. _____ by signing below.

Authorized Signature Title Date

8.13 Submit Change Order Package to CDOT

The Local Agency will submit the complete and final change order package, consisting of the [CDOT Form 90](#) (or equivalent), along with the letter of explanation detailing background, the reason for the change order, price and time justifications, any budgetary implications, and any attachments, for review and electronic signature in Adobe Sign by CDOT. This final change order package must be in compliance with Section 120.7 of the [CDOT Construction Manual](#). (See Appendix A for Form 90.) Review time by CDOT will vary depending upon the complexity of the change order.

It is the responsibility of the Local Agency to follow up with the CDOT Project Manager/Resident Engineer and FHWA, if applicable, to obtain the electronic signatures on the change order.

Once all signatures are completed, the CDOT Project Manager/Resident Engineer will distribute the approved change order, including explanation letter and all supporting documents, as follows:

- Local Agency,
- CDOT ProjectWise/Project Share,
- Region Program Engineer/Region Finals Engineer, and
- Construction Engineering Services Area Engineer - notify by email with a link to the change order when it is available in ProjectWise/Project Share

The Local Agency shall forward an electronic copy of Form 90 and its attachments to the Contractor.

Should there be instances of non-compliance, the CDOT Project Manager should notify the Resident Engineer, Program Engineer and FHWA for further discussion and resolution.

8.14 Prepare Local Agency Reimbursement Requests

Billing charges are submitted once a month or less frequently to the CDOT Project Manager during project construction and at completion. Billing procedures and required documentation will be established during CDOT/Local Agency Agreement negotiations. It will take approximately 30 days for CDOT to review, approve and pay proper project billings submitted by the Local Agency. The Local Agency is responsible for ensuring the supporting documentation matches the invoice and is eligible for reimbursement. Invoices submitted with incomplete supporting documentation will require resubmittal and will restart the review period.

The final bill shall be marked "**FINAL.**" The Local Agency shall bill for 100 percent of eligible costs noting the percentage of local funding share. CDOT's Resident Engineer will verify the reimbursement according to the established matching ratio specified in the Inter-Agency Government Agreement. If applicable, there shall be an itemized list of other miscellaneous project charges; i.e., utility relocation or construction engineering. These charges shall be substantiated by the supporting documentation.

See Appendix B of this *Desk Reference* for a sample Local Agency billing package.

8.15 Monitor Project Financial Status

The Local Agency shall continually monitor the financial status of the project. If additional funds are needed, the Local Agency is responsible for assuring the funds are available in as timely a manner as possible. The Local Agency shall provide the additional funding unless Federal participation has been approved. See Chapter 3 for additional information on financial responsibility.

8.16 Prepare and Submit Monthly Progress Reports

By the first of every month and timed to coincide with billing submittals, the Local Agency shall prepare and submit in electronic format to the CDOT Project Manager/Resident Engineer an update for every active construction project. The update should include work progress over the past month, percent completed, time charged, outstanding issues, and projected completion date of the project.

Some funding programs, such as the Safe Routes to School program, have unique monthly progress/status reports. Contact your CDOT Project Manager for additional information.

8.17 Resolve Contractor Claims and Disputes

The Local Agency shall follow the claims procedure established and contained in the construction contract. Typically, the Local Agency uses their own claims procedures. The Local Agency can use the CDOT Disputes and Claims Procedure found in subsection 105.21 through 105.23 of the CDOT Standard Specifications; however, a Project Special Provision may be required to clarify responsibilities of each party. The Local Agency's resolution of claims that involve federal participation must be coordinated with CDOT.

All claim payments made shall be documented on a properly executed change order.

8.18 Conduct Routine and Random Project Reviews

CDOT will conduct routine and random project reviews to ensure the project is being administered in accordance with the terms of the Contract and the approved project specific agreement between CDOT and the Local Agency. On Federal-aid Highway funded projects, FHWA may participate in these reviews, or conduct their own separate reviews.

The [Field Review of LA Project Site & Documentation](#) was developed and is recommended for use by CDOT personnel when visiting and reviewing Local Agency construction projects. Not all sections of the form need to be filled in for every site review. Copies of the completed document for each site visit should be forwarded to the

Local Agency, the Resident Engineer, and the CDOT Project Manager. File an electronic copy in ProjectWise/Project Share.

8.19 Ongoing Oversight of DBE Participation

The Local Agency should understand the concepts of eligible participation and commercially useful function as they apply to DBE participation. If any fraud or misrepresentation of DBE participation is suspected, the Local Agency should contact the CDOT Project Manager and Region Civil Rights Office.

On projects advertised on or after July 1, 2022, the Local Agency is responsible for monitoring the day-to-day DBE participation and notifying the CDOT Project Manager if it appears that a DBE is not performing in accordance with CDOT Form 1417 – Approved DBE Participation Plan.

On projects advertised on or after July 1, 2022, the Local Agency will be required to use compliance software, currently B2GNow, to monitor DBE participation. Refer to the standard special provision, Disadvantaged Business Enterprise (DBE) Requirements dated July 1, 2022, or latest version thereof, for additional information. Contact the CDOT Project Manager or the Region Civil Rights Office for assistance or questions.

DBE program requirements do not apply to projects funded with state or Federal Recovery Funds.

8.19.1 CDOT Form 1419 - DBE Participation Report

For projects advertised prior to July 1, 2022, the Contractor shall complete the [CDOT Form 1419](#) – DBE Participation Report (January 15, April 15, July 15 and October 15) and submit originals or electronically route the form for electronic signatures to the Local Agency. The Local Agency shall check the Form 1419 for completeness, attach copies of all supporting (approved) [Form 1420s](#) and forward the original, or electronically route, to the CDOT Project Manager and the Region Civil Rights Office. The Local Agency shall also forward the final Form 1419 – DBE Participation Report, which summarizes all participation on the contract, to the CDOT Project Manager, CRBRC, and the Region Civil Rights Office. Form 1419 needs to be completed even if the DBE goal is zero or there are no DBEs used on the project. The Local Agency is responsible for evaluating

progress toward the contract goal throughout the project.

Projects advertised on or after July 1, 2022 will be required to use compliance software systems. The current compliance system utilized to monitor DBE participation is the B2GNow system. If the project is using B2GNow software, this report is embedded in the system and a Form 1419 is not required to be submitted.

DBE program requirements do not apply to projects funded with state or Federal Recovery Funds.

8.19.2 CDOT Form 1420 - DBE Participation Plan Modification Request

During the performance of the contract, the Contractor shall use [CDOT Form 1420](#) – DBE Participation Plan Modification Request to communicate to the Local Agency all requests for termination, reduction, and/or substitution of DBE commitments. It is a best practice for the Contractor to coordinate with the Local Agency prior to sending the form to CDOT. The CDOT Region Civil Rights Manager, CDOT Project Manager and the Local Agency should work together to resolve any concerns regarding the Form 1420. No commitment shall be terminated or reduced without CDOT Region Civil Rights Office approval. As a final step, the Local Agency signs the approved Form 1420, returns the final version of the form to the CDOT Region Civil Rights Office. The Region Civil Rights Office then updates the DBE commitment and associated information in the B2Gnow system.

DBE program requirements do not apply to projects funded with state or Federal Recovery Funds.

8.20 Roles and Responsibilities on Both Federal and Non-Federal (State) Projects (unless specifically stated)

- **Local Agency** – Responsible for administration of the construction project, ensuring that Federal and/or State requirements are met, and the public's interests are protected. Construction project administration includes all aspects of project management, administration of the contract, and safety/operations. Responsible for supervising the construction, construction quality assurance and project close out. Responsible for supervising the contractor and for contract

oversight and field reviews to confirm satisfaction of all contract obligations.

Specific responsibilities of the Local Agency include, but are not limited to, the following:

- Administer the Contract(s) between the Local Agency and its consultant(s) and/or contractor according to established federal, state, and local policies and procedures.
- Include all federal and state requirements in contracts and ensure compliance with these requirements.
- Be adequately staffed and suitably equipped to complete the work. This means that the Local Agency must perform project administration (including inspecting construction). Consultant engineers and inspectors may be hired to assist with this, but cannot make critical project decisions that are best made by the Local Agency on the public's behalf.
- Maintain familiarity with day-to-day project issues and operations, especially those pertaining to safety.
- Oversee project personnel responsible for making sure the project is built according to the contract.
- Approve contract changes and seek concurrence/approval from CDOT in accordance with CDOT Form 1243.
- Perform field reviews with a frequency appropriate to the project size and complexity.
- Review project financials to ensure safeguards are in place to minimize fraud, waste, and abuse.
- Direct staff to carry out project administration and ensure it is done satisfactorily, including proper documentation.
- Coordinate or direct staff to coordinate project activities with other Local Agencies.
- Additional responsibilities include:
 1. Designate the full-time Administrative Employee in Responsible Charge of the project.
 2. Identify the Professional Engineer in "responsible charge of construction supervision" who is responsible for ensuring that all work and materials used on the project, and applicable project documentation conform to contract requirements and established policies and practices, as follows:
 - a. Manage the project within the current approved construction budget

- b. authorization, or approved budget changes.
 - c. Ensure timely completion of the project based on the original project schedule and approved schedule revisions.
 - d. Ensure the work is inspected daily and as required to confirm reasonable conformance to the contract and to verify all safety protocols are followed.
 - e. Ensure the project records and other documentation are proper and current.
- **Project Inspector/Material Tester** – Responsible for inspecting the work for compliance with plans and specifications. Responsible for initial, follow-up, completion, and final inspections of work in progress, including interim and final measurements. Responsible for completing inspection documentation, field diaries, and forms for the development of progress payments. Responsible for testing materials against the contract quality assurance specifications to ensure the project will perform as required once in service. Responsible for notifying contractor and Project Engineer of non-compliance with the contract plans and specifications.
- **Fabrication Inspector/Quality Assurance Inspectors** - Responsible for assessing and accepting or rejecting the fabricated work, the fabrication plant, and the contractor's quality control process inspection and testing personnel. Responsible for completing the CDOT Form 193B and submitting to the CDOT Fabrication Engineer.
- **Traffic Control Supervisor** - Responsible for providing Traffic Control Management on a 24-hour-per-day basis, including inspecting work zone traffic control during non-working hours, nights and weekends and addressing/resolving issues. Responsible for ensuring traffic control devices are cleaned and functioning properly. Contractor – Responsible for completing the work described on the plans and specifications and for furnishing all labor, materials, equipment, tools transportation, and supplies required to complete the work in accordance with the contract with the Local Agency.
- **CDOT** – Responsible for administering the Federal-aid Highway program in accordance with the current [Stewardship and Oversight Agreement](#) with FHWA, and providing oversight of Local Agencies to ensure compliance with Federal and

State requirements in accordance with the project's Intergovernmental Agreement. CDOT is also accountable to the Transportation Commission and the State Legislature for the successful implementation of state programs and projects in accordance with state laws and requirements.

- **FHWA** – Overall responsibility for the Federal-aid Highway Program including those project actions which cannot be assumed by the CDOT or the Local Agency. Responsible for all eligibility and participation determinations and actions on Projects of Division Interest (PoDI).

MATERIALS

CHAPTER 9

The CDOT Project Manager should consult with the Region Materials Engineer on questions pertaining to materials prior to completion of the CDOT Form 1243 – Local Agency Contract Administration Checklist and prior to execution of the IGA. The Region Materials Engineer should also be consulted on an as needed basis regarding material questions before, during and upon completion of construction. The CDOT Project Manager will submit an electronic copy of the award set of plans and specifications to the Region Materials Engineer.

Guidance on activities before, during, and after construction, as well as proper completion of CDOT Forms 250 and 379, and the Letter of Materials Certification can be found in the Documentation Chapter of the applicable [CDOT Field Materials Manual](#).

9.1 Conduct Materials Preconstruction Meeting

The CDOT Project Manager and the Local Agency determine if a meeting is needed with the CDOT Region Materials Engineer to discuss and define material issues concerning the project and to review Section 9 of the CDOT Form 1243 – Local Agency Contract Administration Checklist.

Prior to the preconstruction meeting, the Local Agency should study the plans, CDOT Form 250, and the applicable [CDOT Field Materials Manual](#) to review materials testing and documentation requirements, as well as the Local Agency's involvement in the project materials testing and documentation process. The award set of plans will be reviewed for specifications and budget; e.g., funds availability for pre-inspection, charges for independent assurance sampling and testing, laboratory check tests, and mix designs. The review will also include materials that should be tested but are not identified in a particular bid item.

The Project's Materials Books should be set up by the Local Agency prior to beginning construction and maintained during the project. The books should follow the format described in the CDOT Field Materials Manual Documentation Chapter section titled,

“Organizational Guide for Project Material Books”. During CDOT’s transition from paper to electronic medium, Materials Books are acceptable in hard copy or electronic format.

If electronic Materials Books are to be utilized, an electronic folder structure should be set up and documents organized similarly to that recommended in the “Organizational Guide for Project Materials Books” in that folders should be created for each item in sequential order to aid in locating paperwork.

9.2 Complete CDOT Form 250 – Materials Documentation Record

The CDOT Form 250 is used to track materials used on a project, the minimum number of tests needed for each product, material or bid item (or both), and to identify the forms used to record test results. The form designates test frequencies for project acceptance testing and laboratory check testing.

9.2.1 Prior to Construction

The initial Form 250 is to be developed by the CDOT Materials and Geotechnical Services Branch from the award set of plans and specifications provided by the CDOT Local Agency Coordinator/Project Manager. All information listed below should be submitted in one packet to the Materials and Geotechnical Services Branch using the email address cdot_pavement.design@state.co.us:

- An award set of Plans and Specifications
- Bid Date
- Award Date
- Engineer’s Estimate and / or Tabulation of Bid Items (separate from plans and specifications)
- Project contact person(s) with phone numbers and email addresses
- Name, address, and phone number(s) of the Contractor to whom the project was awarded

Project bid items should be provided in the pay unit stated in the [CDOT Standard Specifications](#). For example, Pay Item 403, Hot Mix Asphalt, should use a pay unit of tons, and Pay Item 304, Aggregate Base Course, should use a pay unit in tons or cubic yards. If the project has been set up to use an item numbering format that is different

than that utilized by CDOT, the Local Agency shall provide a document to the CDOT Local Agency Coordinator or CDOT Project Manager converting the items used for the project to the respective CDOT standard item number. This conversion document is to be provided along with the award set of plans and specifications as listed above.

The CDOT Local Agency Coordinator or CDOT Project Manager may request a small quantity exception for specific items on the Form 250 from the CDOT Region Materials Engineer if a project has only small quantities as defined by the [Owner Assurance \(OA\) Frequency Guide Schedule](#) of the applicable [CDOT Field Materials Manual](#). All testing shall follow the schedule in the Field Materials Manual, unless an exception is approved by the CDOT Region Materials Engineer.

The Form 250 in Appendix A presents the major bid items from a typical project.

9.2.2. During Construction

The Local Agency shall update the Form 250 as work progresses. This includes added material items, material item reductions, and sampling and testing deviations.

9.2.3. After Construction

Complete and distribute the Form 250 in accordance with subsection 9.10. If the Local Agency uses a consultant tester on the project, a professional engineer with the consulting company must electronically sign and seal the last page of the Form 250.

9.3 Perform Project Acceptance Samples and Tests

Project acceptance samples and tests are used to determine the quality and acceptability of the material being sampled and workmanship that have been or are being incorporated into a construction project. The samples and tests are taken and performed by qualified Local Agency or qualified Local Agency approved consultant personnel.

9.3.1. Prior to Construction

Identify any items that require pre-inspection.

9.3.2. During Construction

Acceptance testing and documentation shall be performed on the project. Acceptance testing and documentation will follow the applicable [CDOT Field Materials Manual](#) and the project specifications.

On projects with any Federal-aid Highway funding, the Local Agency shall ensure that all steel and iron products permanently incorporated in the work are domestically produced in accordance with the *CDOT Field Materials Manual*, [Special Notice to Contractors](#), Section 4. On projects with no federal funding, Federal-aid Highway Buy America requirements for iron and steel do not apply.

On projects with other federal funding not related to the Federal-aid Highway funds, such as Federal Recovery Funds, the Local Agency shall comply with the requirements of Title 2 CFR 200.322, Domestic preferences for procurements, and indicate a preference for the purchase, acquisition, or use of goods, products, or materials produced in the United States (including, but not limited to iron, aluminum, steel, cement, and other manufactured products).

On projects which include both Federal-aid Highway and Federal Recovery Funds, Federal Buy America requirements for iron and steel will apply. However, the waiver process outlined in Title 23 CFR 635.410, Buy America, will not be allowed.

9.3.3. Non-Specification Material

If specification material is not being produced or provided, the Local Agency shall take appropriate action as defined in the specifications; i.e., price reduction, rejection, or non-payment. For further direction, refer to Section 105 of the [CDOT Standard Specifications](#). See subsections 8.12 and 8.13 of this *Desk Reference* if a change order is required.

9.4 Perform Laboratory Acceptance Tests

Random representative samples should be submitted to the approved laboratory of the Local Agency to verify acceptability of field-produced material. The laboratory will perform tests that generally are not within the capabilities of the project acceptance testers' equipment.

9.4.1 Prior to Construction

Laboratory verification tests and/or acceptance test methods should be defined; e.g., AASHTO, ASTM (American Society for Testing and Materials), Colorado Procedures, Colorado Procedures – Laboratory, or Marshall vs. Superpave Gyrotory compactor.

The *CDOT Field Materials Manual*, [CP 13](#), provides standard procedures for “Check Testing.” With CDOT’s concurrence, the Local Agency approves the laboratory to perform check tests.

9.4.2 During Construction

The Local Agency approved laboratory will perform the laboratory acceptance tests (Refer to the Central Lab column in the *CDOT Field Materials Manual* owner acceptance (OA) guide schedule) at the frequency in the *Field Materials Manual* and/or in the specifications. The purpose of verification tests is to assure that all materials incorporated into the project meet the design and specifications. The tests performed by the approved laboratory generally require specialized equipment that is not available to field acceptance testers such as asphalt cement tests for dynamic shear, R values of soils, or hot mix asphalt stability.

9.5 Accept Manufactured Products

Manufactured products are typically accepted based on Pre-Inspection (PI), [Certified Test Reports \(CTR\)](#), [Certificates of Compliance \(COC\)](#), Pre-Approval ([APL](#), listed on CDOT’s approved products list website), or a combination thereof. In specific industries the Manufacturers must be first listed on the [Qualified Manufacturers List \(QML\)](#) before

product acceptance can be considered. Refer to the [Special Notice to Contractors](#) in the applicable [Field Materials Manual](#). Certificates of Compliance and Certified Test Report stamp forms are available on the *Field Materials Manual* site.

If CDOT is responsible for pre-inspection, the CDOT Project Manager should verify that the Staff Bridge Fabrication Inspectors, (303) 757-9192, have a copy of the award set of plans/specifications, reviewed shop drawings, a suppliers list, and funding for pre-inspection in the project budget. Inspection of structural components will include, but not be limited to, the following:

- Fabrication of structural steel and pre-stressed concrete structural components
- Bridge modular expansion devices (0" to 6" or greater)
- Fabrication of bearing devices

9.6 Approve Sources of Materials

The Contractors list of material sources and suppliers will be reviewed and approved against the requirements of [CP 11](#), the [Qualified Manufacturers List \(QML\)](#), and the [Approved Products List \(APL\)](#).

9.7 Independent Assurance Testing (CDOT Form 379)

The Independent Assurance Testing Program defines the tests required to provide an independent check on the reliability of project acceptance samples and tests. The Independent Assurance Testing Program is defined in the [CDOT Field Materials Manual](#), QA Procedures and Independent Assurance Schedule sections. Testing requirements are determined by planned quantity.

9.7.1 Prior to Construction

For projects on the NHS:

Federal law requires Independent Assurance Testing on projects on the NHS. The Local Agency may, under the direction and approval of the Region Materials Engineer, administer the Independent Assurance Testing Program on projects, provided it uses an

AASHTO Accredited Laboratory, that is independent from the project acceptance testing lab, uses qualified personnel for testing and observations, performs the calibration equipment checks, and follows all applicable sections of [CDOT Field Materials Manual](#) chapters on the “[QA Procedures](#)” and “[IA Frequency Guide Schedule for Evaluation of OA Sampling and Testing](#)”. CDOT may elect to conduct Independent Assurance Testing when the project is within CDOT ROW or on the NHS.

The initial CDOT Form 379 – Project Independent Assurance Sampling Schedule (see Appendix A), developed from the award set of plans and specifications, will be prepared by the Local Agency or the CDOT Region Materials Engineer as established on the Form 1243 – Local Agency Contract Administration Checklist. It will be distributed to the:

- Project file of entity managing construction, original
- Local Agency
- Project Manager
- Region Materials Engineer
- Materials and Geotechnical Branch, Documentation Unit

For projects not on the NHS:

CDOT requires Independent Assurance Testing. The Local Agency can use CDOT’s Independent Assurance Testing procedures, or if their program is approved by FHWA, they can use their own established, documented procedures to independently verify the adequacy of testing equipment and personnel.

9.7.2. Independent Assurance Test Notification

If CDOT performs the Independent Assurance Testing, the Local Agency is responsible for notifying the CDOT Region Independent Assurance Tester a minimum of one week prior to the start of work on the project and a minimum of one week prior to the need for the Independent Assurance Tester for items as defined on the CDOT Form 379.

9.7.3. During Construction

For projects on the NHS:

The Independent Assurance Testing laboratory or the CDOT Region Materials Laboratory will perform Independent Assurance Testing and sampling as described on the CDOT Form 379 as the work progresses. The Independent Assurance Tester will update the CDOT Form 379 as the assurance tests are performed. The Independent Assurance Tester in partnership with the Local Agency will address discrepancies in test values. Assurance test results will be distributed to the Local Agency through the Project Manager and the Region Materials Engineer when CDOT performs the Independent Assurance Testing.

For projects not on the NHS:

Independent Assurance Testing shall be performed as defined by the Local Agency's policies and procedures, or using CDOT's established Independent Assurance methods.

9.8 Approve Mix Designs

All mix designs for concrete and hot mix asphalt will be reviewed for acceptance. The Form 1243 – Local Agency Contract Administration Checklist is used to determine which entity (CDOT or LA) is responsible for mix design approvals. Mix design approval is required prior to the use of any paving material.

9.8.1. Local Agency Responsibility for Approving Concrete and Hot Mix Asphalt

If the Local Agency is responsible for approving concrete and hot mix asphalt mix designs and if required by the Region, the Local Agency will submit the approval of the designs in electronic format to the Region Materials Engineer through the Project Manager. The Local Agency may ask the Region Materials Engineer to concur on the design mix. The Local Agency should submit the test results used to establish the job mix formula and the project specifications with the approved mix design submittal. See [CP 52](#) from the current [CDOT Field Materials Manual](#) for guidelines.

9.8.2. CDOT Responsibility for Approving Concrete and Hot Mix Asphalt

If CDOT is responsible for approving concrete and hot mix asphalt mix designs, the Local Agency shall submit all mix design information to the Region Materials Engineer through the CDOT Project Manager.

A Job Mix Formula approval will be issued by the Region Materials Engineer for hot mix asphalt projects constructed within CDOT ROW and those projects where CDOT is the responsible entity for approval of mix designs as indicated on CDOT Form 1243.

9.8.3. Asphalt Content Correlation Samples

When CDOT performs the Independent Assurance Test, the Local Agency is responsible for submitting hot mix asphalt content correlation or ignition oven correction samples to the Region Materials Laboratory prior to placement of hot mix asphalt on the project. This submittal shall be a minimum of one week before placement of hot mix asphalt. The asphalt content correlation or correction samples are necessary for assurance tests as well as laboratory check tests.

9.9 Check Final Materials Documentation

All project materials shall be in compliance prior to final project acceptance.

An independent check of the final materials documentation should be performed by an individual not directly involved in the project. The final review will follow a reasonable procedure, such as that described in the [CDOT Field Materials Manual](#), “Documentation for CDOT Maintenance or Local Agency” section. This independent check will be performed using the CDOT Form 1199 page 1. The CDOT Project Manager will perform the independent audit of the materials book using the Form 1199 page 2, after the independent check is completed.

9.10 Complete and Distribute Final Materials Documentation

The Local Agency’s person in responsible charge shall prepare, approve, and submit to

the CDOT Project Manager a “Letter of Materials Certification” that has been electronically signed within 30 calendar days after final project acceptance. The letter shall certify that the material incorporated into the construction work is in reasonably close conformity with the approved plans and specifications. The following documents, or similar, shall be attached to the letter (see Appendix A for copies of these forms):

1. Letter of Materials Certification, page 2, Explanation of Exceptions for a Local Agency Project with all supporting documentation that addresses any exceptions or deviations. A professional engineer must electronically sign and seal page 2.
2. A copy of the completed CDOT Form 379 – Project Independent Assurance Sampling Schedule.
3. The completed CDOT Form 250, checked, and electronically signed by the Local Agency.

The CDOT Project Manager will distribute as follows:

- Project file of entity managing construction, original
- Resident Engineer
- Region Materials Engineer
- Materials and Geotechnical Branch, Documentation Unit
- CDOT’s electronic document management system, ProjectWise Explorer / Project Share

9.10.1. Distribute Final Independent Assurance Testing Results

For Projects on the NHS:

The Independent Assurance Testing Laboratory or the CDOT Region Materials Laboratory will complete and distribute the CDOT Form 379 and the explanation of deviations concerning the Independent Assurance Testing Program as follows:

- Project file of entity managing construction, original
- Local Agency
- Resident Engineer

- Region Materials Engineer
- Materials and Geotechnical Branch, Documentation Unit

For Projects not on the NHS:

Distribute to CDOT Project Manager only

9.11 Roles and Responsibilities on Both Federal and Non-Federal (State) Projects (unless specifically stated)

- **Local Agency** – Responsible for:
 - Ensuring staff adhere to construction administration, inspection, and materials testing procedures in accordance with the appropriate *CDOT Field Material Manual* and this *Desk Reference*.
 - Contracting with qualified personnel as noted in the CDOT Field Materials Manual, Section 8, Sampling and Testing Personnel Qualifications, and / or Colorado Procedures 10, Qualification of Testing Personnel and Laboratories.
 - Ensuring the Local Agency’s Professional Engineer in “responsible charge of construction supervision” or his designee follows the *Before Construction, During Construction* and *After Construction* procedures stipulated in the Documentation Chapter of the applicable *CDOT Field Materials Manual*.
 - Ensuring the project’s materials documentation (materials binder) is prepared, organized, maintained, reviewed, and distributed within the time frames stipulated in the Documentation Chapter of the applicable *CDOT Field Materials Manual* and goes through the independent check requirement using the CDOT Form 1199 page 1.
 - Ensuring documents are posted in ProjectWise / ProjectShare.
 - Ensuring notifications are provided to CDOT prior to start of the work on the project.
 - Ensuring the CDOT Form 250 is updated as work progresses and CDOT Form 473LA, pages 1 and 2, is completed per instructions within the applicable *CDOT Field Materials Manual*.

- **Contractor** – Responsible for following the procedures listed in the Special Notice to Contractors from the applicable *CDOT Field Materials Manual*. Responsible for the proper inspection, sampling, testing and certification of materials and products incorporated into the construction project. For projects with Federal-aid Highway funds, prior to incorporation of steel or iron in the project, responsible for certifying in writing to the Local Agency that the delivered quantity of each material meets the contract Buy America requirements; that the original Buy America Certification from the Supplier is on file and the steel or iron products are in compliance with the plans and specifications.
- **Project Inspector / Material Tester** – Responsible for inspecting the work for compliance with plans and specifications. Responsible for initial, follow-up, completion, and final inspections of work in progress, including interim and final measurements. Responsible for completing inspection documentation, field diaries, and forms for the development of progress payments. Responsible for testing materials against the contract quality assurance specifications to ensure the project will perform as required once in service. Responsible for notifying contractor and Project Engineer of non-compliance with the contract plans and specifications.
- **Fabrication Inspector / Quality Assurance Inspectors** - Responsible for assessing and accepting or rejecting the fabricated work, the fabrication plant, and the contractor's quality control process inspection and testing personnel. Responsible for completing the CDOT Form 193B and submitting to the CDOT Fabrication Engineer.
- **CDOT**
 - Materials and Geotechnical Services Branch – Responsible for developing the CDOT Form 250.
 - Region Materials Engineer – Responsible for providing guidance on materials issues, creating the Independent Assurance Testing schedule, and reviewing and approving mix designs if designated as such on Form 1243 – Local Agency Contract Administration Checklist.
 - Quality Audit Team Members – Responsible for distributing and reviewing the project questionnaire with CDOT staff and for providing a report documenting the results of each Region's audit.

- Project Manager/Local Agency Coordinator – Responsible for providing the award set of plans, specifications and estimate to the Materials and Geotechnical Branch and the Region Materials Engineer. Responsible for requesting a small quantity exception Form 250, if applicable. Responsible for providing access to ProjectWise / Project Share to the project team and for checking for compliance. Responsible for providing oversight of the work, and preparing page 2 of the CDOT Form 1199 and performing item checks. Responsible for archiving project records in ProjectWise. Responsible for attending material audits as required.
 - Resident Engineers – Responsible for reviewing and approving CDOT forms as required.
-
- **FHWA** – Overall responsibility for the Federal-aid Highway Program including those project actions which cannot be assumed by the CDOT or the Local Agency.

CONSTRUCTION CIVIL RIGHTS AND LABOR COMPLIANCE CHAPTER 10

Introduction

The Local Agency shall monitor the Contractor's day-to-day conformity to EEO, Title VI and labor compliance contract requirements. The Region Civil Rights Office is available to the Local Agency as a resource. The CDOT Title VI Coordinator is also available as a resource on Title VI and Environmental Justice issues. An overview of construction compliance requirements in this chapter and links to civil rights process flowcharts are found on the [Civil Rights Program](#) web page. The following table lists the forms in this chapter, the applicable funding requirements/monitoring system and the corresponding civil rights process flowchart.

Table 10A - Construction Civil Rights	Local Agency Projects					Civil Rights Process Flowchart
	w/ Federal-aid Highway Funds	w/other Federal Funds - Recovery	w/ Non-fed eral (State) Funds	Monitoring System		
				B2GNow	LCP- tracker	
Disadvantaged Business Enterprise Requirements						
Form 1419 - DBE Participation Report	X			X		Form 1418 and Form 1419 are eliminated if the project is in B2GNow and reporting of prompt payment is what monitors the DBE participation. LA-B-9.0 Monitor Prompt Payment (All Subcontractors & suppliers)
Form 1420 - DBE Participation Plan Modification Request	X			X		LA-B-11.0 Monitor DBE Commitment Modifications (Form 1420)
Form 1432 - Commercially Useful Function Questionnaire	X			X		LA-B-10.0 Validate DBE Counting (Form 1432)
On-the-job Training Requirements						
Form 200-OJT Training Questionnaire	X				X	n/a Used to monitor the Contractor's compliance with the Training Special Provision by interviewing the trainee. It is not required.
Form 832 - Trainee Status and Evaluation Report	X				X	LA-B-7.0 Monitor OJT Participation (form 838 and Form 832)
Form 838 - On-the-Job Trainee/Apprentice Record	X				X	LA-B-7.0 Monitor OJT Participation (form 838 and Form 832)
Form 1337 - Contractor Commitments to meet OJT Requirements	X				X	LA-B-7.0 Monitor OJT Participation (form 838 and Form 832)
Davis Bacon & Related Acts (unless exclusions apply)						
Form 118 - Contract Wage Compliance Statement	X				X	LA-B-4.0 Accept Weekly Payrolls
US DOL Standard Form 1444	X				X	LA-B-5.0 Wage Conformance Request
EEO / Labor Compliance						
Form 205 - Sublet Permit Application	X	X	X	X		LA-B-8.0 Approve Subletting & Accept Suppliers LA-B-9.0 Monitor Prompt Payment (All Subcontractors / suppliers)
Form 1425 - Supplier List	X	X	X	X		LA-B-8.0 Approve Subletting & Accept Suppliers LA-B-9.0 Monitor Prompt Payment (All Subcontractors / suppliers)
Form 280 - EEO and Labor Compliance Verification (EEO section)	X	X	X			LA-B-6.0 Labor Interviews: Form 280(Monitor EEO)
FHWA Form 1391 - Federal-aid Highway Construction Contractor's Annual EEO Report	X				X	n/a
Davis Bacon & Related Acts (unless exclusions apply)						
Form 280 - EEO and Labor Compliance Verification (Labor Compliance section)	X	X			X	LA-B-4.0 Accept Weekly Payrolls LA-B-4A Prime Payroll Approval
Prompt Payment						
CDOT Form 1418 - Monthly Payment Summary	X	X	X	X		Form 1418 and Form 1419 are eliminated if the project is in B2GNow and reporting of prompt payment is what monitors the DBE participation. LA-B-9.0 Monitor Prompt Payment (All Subcontractors & suppliers)
Contract Compliance per 23 CFR§230.409 & E.O.11246	X	X			n/a	LA-B-13.0 Close-out Civil Rights Project Elements
Project Site Reviews	X	X	X		n/a	n/a
EEO Certification Acceptance Letter (from LA PM)	X	X	X		n/a	LA-B-13.0 Close-out Civil Rights Project Elements

Local Agency projects advertised on or after July 1, 2022 will begin using electronic tracking and submission systems, LCPtracker and B2GNow. B2GNow is a cloud-based software system used to monitor compliance with award letting of DBE participation, subletting, and prompt payment. LCPtracker is used to manage certified payrolls and on-the-job training hours. As these systems are implemented, Contractors and Local Agencies will transition to electronic or revised versions of forms referenced in this section. Contact the CDOT Project Manager or Region Civil Rights Office for assistance or questions regarding use of the electronic version of the forms.

This Desk Reference uses “CDOT Project Manager” to refer to the CDOT staff member responsible for providing assistance to the Local Agency. The CDOT Project Manager is also referred to as the CDOT Local Agency Coordinator.

10.1 Fulfill Project Bulletin Board and Preconstruction Packet Requirements

After the Local Agency has awarded the project, the Local Agency's Project Manager must contact the CDOT Project Manager or the Resident Engineer to obtain the preconstruction packet. See subsection 8.3 of this *Desk Reference* or the *CDOT Construction Manual* for information on conducting the Preconstruction Conference and for required Contractor submittals. A sample [Preconstruction Agenda](#) is included in Appendix B of this *Desk Reference*.

The packet will include forms, a checklist of submittals required from the Contractor, and the information the Contractor must post on the project bulletin board. Required posters vary depending on the project funding. A Bulletin Board checklist can be found at the following link: [Required Posters for Job Site Bulletin Boards](#) .

On Federal-aid Highway projects, in accordance with FHWA Form 1273, the bulletin board must be located in an accessible and conspicuous place on the project. All employees must be informed as to the location of this information. A notebook, by itself, is not acceptable. If there is no tool yard or project field area for the project, the Contractor may produce a “sandwich” type board with the appropriate posters. The board must be near the active work site.

Additional forms will be included in the packet depending on the requirements for each project. The following forms, if required, shall be submitted to the Region Civil Rights Office (see Appendix A for copies of the forms):

1. [CDOT Form 118](#) – Contract Wage Compliance Statement. This form is used on projects requiring Davis-Bacon wages and must be submitted with every weekly payroll from the Contractor and subcontractors.

Projects advertised on or after July 1, 2022 will be required to use compliance software systems. The current compliance software utilized to monitor certified payrolls is LCPtracker. If the project is using the LCPtracker software, the Form 118 is embedded in the system. Certified payrolls are submitted by the prime contractor and accepted by the Local Agency in the system. Contact the CDOT Project Manager or the Region Civil Rights Office for assistance or questions.

This form is not required on state funded projects or Federal Recovery Fund projects.

2. [CDOT Form 280](#) – EEO and Labor Compliance Verification. This paper form is used to interview Contractor/subcontractor employees on the project to monitor EEO/Labor compliance. The Project Engineer completes the form. The EEO section must be completed on all projects. The Labor Compliance section is only completed when Davis-Bacon requirements apply on the project. Instructions for completion of this form and an example of this form can be found in the Appendix B of the [CDOT Construction Manual](#).

Once the Form 280 is completed, it is sent to the CDOT Project Manager and the Region Civil Rights Office who will upload into the system.

3. On-the-Job Training Program to include:
 - CDOT [Form 200](#) – OJT Training Questionnaire (optional)
 - CDOT [Form 832](#) – Trainee Status and Evaluation Report
 - CDOT [Form 838](#) – On-the-Job Trainee/Apprentice Record, and
 - CDOT [Form 1337](#) – Contractor Commitments to meet OJT Requirements

Projects advertised on or after July 1, 2022 will be required to use compliance software systems. The current compliance software utilized to monitor the OJT program is the LCPtracker system. If the project is using LCPtracker, the OJT hours will be tracked in the system and only the initial submittals of these forms are required in hard copy format. The Form 832 is required to be submitted monthly as it documents the trainee status and evaluation. Contact the CDOT Project Manager or the Region Civil Rights Office for assistance or questions.

On-the-Job Training Program requirements do not apply to projects funded with state or Federal Recovery funds.

4. [CDOT Form 1419](#) – DBE Participation Report – This report is used to summarize all DBE participation on the contract. See Chapter 8 for additional information.

Projects advertised on or after July 1, 2022 will be required to use compliance software systems. The current compliance system utilized to monitor DBE participation is the B2GNow system. If the project is using B2GNow software, this report is embedded in the system and a Form 1419 is not required to be submitted.

DBE Program requirements do not apply to projects funded with state or Federal Recovery funds.

5. [CDOT Form 1418](#) – Monthly Payment Summary – This form is used to record all payments due to subcontractors and suppliers.

Projects advertised on or after July 1, 2022 will be required to use compliance software systems. The compliance software system currently used to monitor prompt payment is the B2GNow system. If the project is using B2GNow software, by the 15th of each month, the prime contractor is required to record all payments to subcontractors by completing an audit in the system. The subcontractor or supplier will receive a notice to confirm payment within fifteen days from the notice. The Form 1418 is not required to be submitted in hard copy formant if using the B2GNow system. Contact the CDOT Project Manager or the Region Civil Rights Office for assistance or questions.

6. [CDOT Form 1420](#) – DBE Participation Plan Modification Request – This form is used to request changes to the approved DBE Participation Plan. See Chapter 8 for additional information.

DBE Program requirements do not apply to projects funded with state or Federal Recovery funds.

The Local Agency must document that the bulletin board has been checked for compliance.

10.2 Process [CDOT Form 205](#) – Sublet Permit Application and [CDOT Form 1425](#) – Supplier Application Approval Request

The Contractor shall complete and submit an original Form 205 to the Local Agency for each subcontractor on the project. The subcontractor may not begin work until the Form 205 has been approved by CDOT. The Local Agency will review each Form 205 for accuracy prior to signing and forwarding the form to the Region Civil Rights Office for approval.

To expedite a subcontractor's start date, the Contractor may email a signed copy of the Form 205 to the Project Engineer for signature approval. If this method is used, the Contractor must not delay in forwarding the signed original Form 205 to the Project Engineer. Refer to the [CDOT Construction Manual](#) for instructions on completing and checking the Form 205.

The CDOT Region Civil Rights Office is a resource for all questions relating to compliance with EEO, DBE, On-the-Job Training and Davis-Bacon Act. The Region Civil Rights Managers are listed in Appendix D. For Title VI, LEP and Environmental Justice questions or complaints, please contact the [CDOT HQ Civil Rights and Business Resource Center \(CRBRC\)](#). The Discrimination Complaint Form is available on the CDOT website at [Discrimination Complaint Form](#).

The Contractor must submit a completed Form 1425 for each direct supplier that meets the \$10,000 criteria outlined in CDOT specification 106.01. The form must be submitted

to the Project Engineer prior to beginning any work on the project, incorporating materials into the project or at such time that the \$10,000 amount is known to be exceeded.

If an individual, firm or corporation is responsible for the installation of supplies, a Form 205 is required for the subcontractor. Additional information regarding differentiating between suppliers and subcontractors can be found on the [Civil Rights and Business Resource Center](#) webpage.

Projects advertised on or after July 1, 2022 will be required to use compliance software systems. The current compliance software utilized to monitor subcontractors and suppliers is the B2GNow system. If the project is using the B2GNow software, the Form 205 and Form 1425 are submitted by the prime contractor and recommended for approval by the Local Agency - both actions taken in the system. Once the Local Agency has recommended the Form 205 and/or Form 1425 for approval, they should notify the Region Civil Rights Office and copy the CDOT Project Manager. The Region Civil Rights Office approves, denies, or returns the form for updates. Contact the CDOT Project Manager or the Region Civil Rights Office for assistance or questions.

10.3 Conduct Equal Employment Opportunity and Labor Compliance Verification Employee Interviews

These interviews shall be conducted with Contractor and subcontractor employees on the project to monitor EEO/labor compliance. The [CDOT Form 280](#) - Equal Employment Opportunity and Labor Compliance Verification shall be used. The Local Agency Project Engineer or designee will complete the form. The interview provides verification of compliance and knowledge with Equal Employment Opportunity requirements and confirms that the Contractor or subcontractor is paying the correct contract wage rate. The "Equal Employment Opportunity" section is completed for all projects. The "Labor Compliance" section is only completed when Davis-Bacon wages are required on the project. The Local Agency shall compare the information received regarding wage compliance to the certified payroll upon its receipt. The interviews shall be conducted monthly throughout the life of the project; the number required monthly is based on the size of the contract. Please refer to section 107.1.5.2 of the [CDOT Construction Manual](#) for the number of interviews required.

Completed Form 280s shall be submitted to the CDOT Project Manager or Region Civil Rights Office. See Appendix A for a copy of the form.

Projects advertised on or after July 1, 2022 will be required to use compliance software systems. Once the Form 280 is completed, it is uploaded into the system.

10.4 Monitor Disadvantaged Business Enterprise (DBE) Participation to Ensure Compliance with the “Commercially Useful Function” Requirements

Expenditures to a DBE contractor will only count towards the DBE contract goal if the DBE is performing a “commercially useful function” ([CDOT Form 1432](#) – Commercially Useful Function Questionnaire). A DBE performs a commercially useful function when it is responsible for execution of the work of the Contract and is carrying out its responsibilities by actually performing, managing, and supervising the work involved. Work performed by the DBE includes the cost of supplies and materials obtained by the DBE for the work of the contract, including supplies purchased or equipment leased by the DBE. This excludes supplies and equipment the DBE subcontractor purchases or leases from the Contractor or its affiliates. With respect to materials and supplies used on the contract, the DBE must be responsible for negotiating price, determining quality and quantity, ordering the material, and installing (where applicable) and paying for the material itself in order to perform a commercially useful function.

A DBE is presumed not to be performing a commercially useful function if it does not perform or exercise responsibility for at least 30 percent of the total cost of its contract with its own workforce, or if it subcontracts a greater portion of the work of a contract than would be expected on the basis of normal industry practice for the type of work involved. In these instances, the DBE may present evidence to rebut this presumption.

The Region Civil Rights Office and CRBRC may conduct commercially useful function interviews as appropriate. DBE participation shall not count towards the DBE contract goal if CDOT determines that the DBE has not performed a commercially useful function. Additionally, participation by a DBE firm will only count towards the contract goal if the DBE is certified in the area of work it is performing on the contract and has received payment for the work, including the release of its retainage.

If the Local Agency or CDOT Project Manager has concerns about the DBE subcontractor's performance in this or in any other area, the Project Manager is encouraged to consult with the CDOT Region Civil Rights Office immediately for assistance.

Projects advertised on or after July 1, 2022 will be required to use compliance software systems. The current compliance software utilized to monitor DBE participation is the B2GNow system. All Form 1432s must be uploaded into the B2GNow system. Contact the CDOT Project Manager or the Region Civil Rights Office for assistance or questions.

DBE Program requirements do not apply to projects funded with state or Federal Recovery funds.

10.5 Conduct Interviews When Project Utilizes On-the-Job Trainees

It is best practice to conduct interviews with registered trainees on the project to provide verification of compliance and knowledge with Equal Employment Opportunity requirements.

The Contractor shall complete and submit the [CDOT Form 1337](#) - Contractor Commitment to Meet OJT Requirements prior to starting work and be submitted by the Local Agency to the CDOT Region Civil Rights Office. The Local Agency will forward a copy of the Contractor's OJT plan to the CDOT Project Manager who forwards to the CDOT Region Civil Rights office. The Contractor shall complete and submit [CDOT Form 838](#)(s) - OJT Trainee/Apprentice Record to the Local Agency. An incomplete Form 838 will not be accepted. The Local Agency will forward the Form 838(s) to the CDOT Project Manager who forwards to the Region Civil Rights Office for review and approval. The Region Civil Rights Office will return the approved or rejected copy to the CDOT Project Manager and Local Agency. The Local Agency shall not make payment or give credit toward the OJT goal for trainee hours until an approved Form 838 has been received by the Region Civil Rights Office. The Region Civil Rights office will scan and upload the Form 838 into LCPtracker. If a new wage is to be used for the OJT candidate, a DOL Form 1444 - Request for authorization of additional classification and rate, must be filled out. This process can take months to complete.

The [CDOT Form 200](#) – OJT Training Questionnaire may be utilized when On-the-Job Trainees are on the project. The interview may be conducted by project personnel, the Region Civil Rights Office, or the CRBRC. If utilized, the form shall be completed and submitted to the CDOT Project Manager or Region Civil Rights Office. The Local Agency is responsible for verifying the trainee wage.

Projects advertised on or after July 1, 2022 will be required to use compliance software systems. The current compliance software utilized to monitor the OJT Program is the LCPtracker system. If the project is using LCPtracker, the OJT hours will be tracked in the system and only the initial submittals of these forms are required in hard copy format. The Form 832 is required to be submitted monthly as it documents the trainee status and evaluation. Contact the CDOT Project Manager or the Region Civil Rights Office for assistance or questions.

On-the-Job Training Program requirements do not apply to projects funded with state or Federal Recovery funds.

10.6 Check Certified Payrolls

The Local Agency shall verify the Contractor's and subcontractor's compliance with Davis-Bacon Act Contract requirements. Certified payrolls are required to be checked by on-site personnel who have attended the certified payroll checking class.

Prior to the beginning of construction, the Local Agency must contact the CDOT Project Manager or Region Civil Rights Office to schedule a meeting to obtain detailed payroll monitoring training. The Local Agency is responsible for monitoring activities throughout the course of the project. If the Contractor is not complying with the requirements, the Local Agency must take appropriate action to obtain compliance. If there is no training scheduled, the CDOT Project Manager is available to assist with payroll questions.

Projects advertised on or after July 1, 2022 will be required to use compliance software systems. The current compliance software utilized to monitor the certified payroll program is the LCPtracker system. The Prime Contractor is responsible for approving all certified payrolls using the Prime Approver module. The Local Agency is responsible for accepting the certified payrolls in the system on a weekly basis. All other submittals

will be entered in the system. Contact the CDOT Project Manager or the Region Civil Rights Office for assistance or questions.

Certified payrolls requirements do not apply to projects funded with state or Federal Recovery Funds.

10.7 Submit FHWA Form 1391 - Federal-aid Highway Construction Contractor's Annual EEO Report

[FHWA Form 1391](#) includes information on the number of minority, women, and non-minority employees in each work classification. The report will include all staffing data represented on the project work force. The Form 1391 reflects only workers for the designated week that are working on site.

The Contractor and all active subcontractors must complete FHWA Form 1391. The Local Agency is responsible for forwarding all CDOT requests for this information to all Contractors on a given project. Contractors must submit the completed forms directly to the CRBRC. The FHWA Form 1391 information may be submitted to the CRBRC directly by generating a software system report from LCPtracker.

See Appendix A for a copy of the form.

The Form 1391 is not required on state or Federal Recovery fund projects.

10.8 Contract Compliance and Project Site Reviews

Contractors working on federally assisted projects are required to comply with Equal Opportunity requirements. Contractor compliance provides for continuous monitoring of the employment process and to inform and assist Contractors with the requirements on federally-assisted projects. Local Agency projects may be subject to a contract compliance review at any time during the project. If chosen for a compliance review, the Region Civil Rights Office will notify the Contractor, the Local Agency, and the CDOT Project Manager. Neither the Local Agency nor the CDOT Project Manager are required to participate in the review. Reviews are conducted in accordance with *Title 23 CFR § 230.409 - Contract compliance review procedures*. A compliance review generally consists of the following elements: review scheduling, Contractor notification,

preliminary analysis, on-site verification and interviews, exit conference, and a compliance determination and formal notification.

Local Agency projects may also be subject to less formal project site reviews at any time by the CRBRC, Regional Civil Rights Office, or the Local Agency. The purpose of these informal reviews is to identify or address any issues related to the DBE Program, On-the-Job Training (OJT), bulletin board postings, certified payrolls, FHWA Form 1273 adherence, and other areas of concern. If chosen for these project site reviews, the Contractor will be notified by the party conducting the review.

10.9 Roles and Responsibilities on projects Federal Projects, except as noted.

- **Local Agency** – Responsible for:
 - Monitoring the Contractor's day-to-day conformity to EEO, Title VI and labor compliance contract requirements using B2GNow and LCPtracker compliance monitoring systems on contracts advertised on or after July 1, 2022. Monitoring the Contractor's day-to-day conformity with requirements (in hard copy format) on contracts advertised prior to July 1, 2022. Monitoring includes, but is not limited to the following:
 - Reviewing and approving each Sublet Permit Application, for accuracy prior to signing and forwarding the form to the Region Civil Rights Office for approval.
 - Reviewing and approving each Supplier Application Approval Request, for accuracy prior to signing and forwarding the form to the Region Civil Rights Office for approval.
 - On all projects, including state funded projects, conducting, reviewing and documenting interviews with the Contractor and subcontractor to verify compliance with Equal Employment Opportunity requirements and forwarding these interviews to the Project Manager monthly.
 - Receiving and reviewing DBE Forms and reports from the contractor and providing them to the CDOT Project Manager. Monitoring the project to ensure DBEs are performing a Commercially Useful Function, including the completion of the Form 1432 for each DBE counting toward the DBE contract goal.

- Receiving and reviewing OJT Forms from the contractor and forwarding to the CDOT Project Manager. Conducting interviews as appropriate.
 - On all projects, including state funded projects, receiving and reviewing each pay estimate for compliance with Prompt Payment requirements.
 - Receiving, conducting detailed checks, and accepting certified payroll submissions and working with the Contractor to resolve any issues. Forwarding requests for determination of appropriate Davis-Bacon prevailing wage rates to the CRBRC.
- **Contractor** – Responsible for using B2GNow and LCPtracker compliance monitoring systems for Civil Rights requirements on contracts advertised on or after July 1, 2022. Responsible for compliance with Civil Rights requirements in hard copy format on contracts advertised prior to July 1, 2022. This includes, but is not limited to the following:
 - Compliance with all Subcontractor and Supplier requirements.
 - On all projects, including state funded projects, compliance with Prompt Payment requirements.
 - Compliance with all DBE requirements.
 - Completing the OJT training hours listed in the Project Special Provision for each project.
 - Submitting certified payrolls within 7 days of the payroll payment date and for seeking determination for appropriate David-Bacon rates as necessary.
 - Completing and submitting the Federal-aid Highway Construction Contractors Annual EEO Report (form FHWA-1391).
 - Submitting required documentation to parties in accordance with this Desk Reference and in accordance with Civil Right process flowcharts.
- **CDOT**
 - **Region Civil Rights Office (RCRO)** – Responsible for the implementation of internal and external Civil Rights functions in the Regions including, but not limited to, the following:
 - Reviewing and approving Subcontractor and Supplier applications.
 - Conducting additional Commercially Useful Function interviews, if needed.
 - Conducting payroll checks at project closure as appropriate.

- Submitting requests for determination of appropriate Davis-Bacon prevailing wage rates to the US Department of Labor and coordination/dissemination of decisions.
- Reviewing and approving OJT Forms as required. Conducting interviews as appropriate.
- Notifying the Contractor, Local Agency and CDOT Project Manager when a project is selected for a contract compliance review or a project site review. Reporting data to FHWA as required.
- Receiving project documentation during the life of the project and conducting a final audit of the project to ensure that requirements have been met for EEO, DBE, OJT, subletting, certified payrolls, etc.
- Issuing a Civil Rights Certificate of Compliance after review of final documentation.
- **Civil Rights and Business Resource Center (CRBRC)** – Responsible for implementation of performance and overall quality control of all aspects of Civil Rights on LA projects including, but not limited to, the following:
 - Conducting additional Commercially Useful Function interviews, if needed.
 - Conducting OJT interviews as appropriate.
 - Submitting Federal-aid Highway Construction Contractors Annual EEO Report to FHWA.
- **Project Manager/Local Agency Coordinator** – Responsible for providing oversight on Local Agency projects including, but not limited to, the following:
 - Conducting random review of wage decisions, classifications and employee's payments for work performed.
 - Reviewing the Equal Employment Opportunity and labor Compliance Verification forms and forwarding to the RCRO.
 - Receiving, reviewing, and forwarding OJT Forms to the RCRO.
- **FHWA** – Responsible for providing technical assistance and regulatory guidance as needed/ requested. Overall responsibility for the Federal-aid Highway Program including those project actions which cannot be assumed by the CDOT or the Local Agency.

FINALS

CHAPTER 11

See Appendix F, Construction Documentation, for the required final construction documentation. Questions on documentation should be directed to the CDOT Project Manager. This *Desk Reference* uses “CDOT Project Manager” to refer to the CDOT staff member responsible for providing assistance to the Local Agency. The CDOT Project Manager is also referred to as the CDOT Local Agency Coordinator.

11.1 Conduct Final Project Inspection

The Local Agency shall notify the Resident Engineer two to three weeks prior to the completion of the project to schedule the final inspection of the project. The Resident Engineer will schedule the final inspection with the Local Agency. Local Agency attendance is mandatory.

11.1.1 Conduct Final Inspection of Structures

Upon completion of construction, the Local Agency’s Engineer in Responsible Charge will conduct a final quality inspection of all structures. This inspection shall be considered a final walk through for observation and structure acceptance before final project acceptance and to determine whether the structural work is in reasonably close conformity with the plans and specifications. The Local Agency’s Structural Engineer of Record should be invited to the inspection due to familiarity with the project. The goal of this inspection is to confirm general conformance with the structure contract, plans and specifications. Some CDOT Regions require a stamped memo or stamped Form 1212 LA from the Local Agency’s licensed Engineer that the project is in conformance. See Section 36.3 of the Bridge Design Manual for further information.

11.2 Write Final Project Acceptance Letter

Upon acceptance of the project, the Local Agency shall submit an electronically signed project acceptance letter to the Contractor and send an electronic copy to the Resident Engineer. Standard requirements for the acceptance letter are in Section 100 of the [CDOT Construction Manual](#). The letter should identify any documents that need to be

submitted by the Contractor. The Contractor's retainage may be reduced in accordance with subsection 109.06 of the [CDOT Standard Specifications](#).

Distribution by the Resident Engineer of the acceptance letter will be as follows:

- CDOT's Electronic Document Management System (ProjectWise Explorer)
- CDOT Projects and Grants
- Region Finals Engineer
- Region Civil Rights Manager
- Construction Engineering Services Branch
- Region Business Office

The CDOT Project Manager should record the date the Local Agency accepts the project in the LA Final Acceptance Date field in ZJ40LA.

11.3 Advertise for Final Settlement

Immediately after project acceptance the Local Agency shall advertise the project for final settlement. The notice shall be published at least twice in a public newspaper of general circulation published in the counties where the work was contracted for and performed, or electronically on the website where the project was originally advertised.

The final settlement date is the first business day at least ten days after the second publication date. For additional information, refer to *Colorado Revised Statute (CRS) 38-26-107, Supplier may file statement – notice – withholding funds*. The Local Agency shall send an electronic copy of the final settlement notice to the Resident Engineer.

11.4 Prepare and Distribute Final Plans

The Local Agency shall prepare As-Constructed plans in accordance with Section 100 of the [CDOT Construction Manual](#) and shall place an electronic original of the plans in ProjectWise Explorer/Project Share or as directed by the CDOT Project Manager. If the project is on the NHS, State Highway system, or State right-of-way, the CDOT Project Manager should move the plans to ProjectWise Explorer. The As-Constructed plans should include the location of underground obstructions, removals, and all utility locations.

The As-Constructed plans shall be distributed electronically as follows:

- CDOT's electronic data management system (ProjectWise Explorer)
- Right of Way
- Resident Engineer

For Local Agency projects that include construction of a major or minor structure, one set of As-Constructed plans and specifications shall be submitted electronically to Staff Bridge. The Local Agency shall document the final dimensions and details of the completed structure on the plan sheets per Section 36.5.1 of the [Bridge Design Manual](#).

11.5 Prepare EEO Certification and Collect EEO Forms

The EEO certification letter must be completed, electronically signed by the Local Agency and submitted to CDOT. The Local Agency should place a copy in ProjectWise Explorer/Project Share or provide a copy to the CDOT Project Manager.

Once the EEO certificate has been submitted, the CDOT Project Manager will forward the EEO certificate to the CDOT Region Civil Rights Office for final review for payroll compliance, DBE participation percentage, OJT goal tracking, as well as other standard EEO items listed in Chapter 10 and the Local Agency Construction Oversight Checklist.

11.6 Check Final Quantities, Plans, and Pay Estimate; Check Project Documentation; and Submit Final Certifications

The Local Agency shall designate one individual to be responsible for reviewing and processing final documentation as outlined in Section 100 of the [CDOT Construction Manual](#) and shall notify the Resident Engineer, electronically, of this designation. All project documentation will be checked and electronically signed by the Local Agency. The Local Agency shall prepare the final pay estimate. The Local Agency's licensed Professional Engineer will complete the Local Agency Final Construction Acceptance Certification (see samples in Appendix F) and submit them with an electronic signature to CDOT with the required forms designated in the certification.

11.7 Check Material Documentation and Accept Final Material Certification

The CDOT Project Manager will review the materials documentation listed in section 9.10 of this manual. The CDOT Project Manager will complete [Form 1199](#) – Finals Materials Documentation Checklist, (Project Closure).

11.8 Review CDOT Form 1419

The CDOT Project Manager and the Region Civil Rights Office will review CDOT [Form 1419](#) – DBE Participation Report and other DBE submittals from the Local Agency. See Chapter 8 for process information regarding the CDOT Form 1419. If the Contractor fails to fulfill the commitments or fails to meet the contract goal, the CDOT Project Manager and the Region Civil Rights Office shall determine the applicable payment reduction and inform the Local Agency. The Local Agency shall subject the Contractor to a payment reduction at the end of the project, either by reduced payment or by held retainage.

If the payment reduction results in the Local Agency not meeting its matching portion of the contract in accordance with the terms of the IGA, the Local Agency will issue a credit memo to CDOT/FHWA (or other awarding agency), with a copy to the CDOT Project Manager and the Region Civil Rights Office. The credit memo shall only be to the extent required to ensure the matching portion is met. In the alternative, CDOT will short pay the final Request for Reimbursement to the Local Agency to withhold the payment reduction due to noncompliance.

Refer to the Standard Special Provision, *Disadvantaged Business Enterprise (DBE) Requirements*, dated July 1, 2022, or latest version thereof, for additional information.

11.9 Submit CDOT Professional Services Closeout Report Form

Professional Services contracts advertised on or after July 1, 2022, are required to use the B2GNow compliance system. These contracts may have a DBE goal. Upon the completion of the work, expenditure of funds and/or expiration of the Contract, whichever comes first, the Consultant will complete the first half of the [CDOT Professional Services Closeout Report Form](#) and submit it to the Local Agency for

review and approval. See Appendix B for an example Closeout Form. The Local Agency will forward the form with the final invoice to the CDOT Project Manager and the Region Civil Rights Office. If the contract had a DBE commitment and the Consultant failed to fulfill the commitment or failed to meet the contract goal, the CDOT Project Manager and the Region Civil Rights Office shall determine the applicable payment reduction from the contract and inform the Local Agency. The Local Agency may subject the Consultant to a payment reduction in the final reimbursement at the end of the contract.

See the *CDOT Professional Services Local Agency Civil Rights and DBE Program Requirements* at <https://www.codot.gov/business/civilrights/compliance/prof-services/local-agency> for further information.

11.10 Complete and Submit CDOT Form 1212 LA - Final Acceptance Report (by CDOT)

Upon completion of the final inspection, and receipt of the Final Construction Acceptance Certification (see Project Finals Documents in this chapter), the Resident Engineer will complete the Form 1212 LA (see Appendix A). Some CDOT Regions require a stamped memo or stamped hard copy Form 1212 LA from the Local Agency's licensed Engineer that the project is in conformance with plans and specifications. A Form 1212 LA workflow is triggered when the CDOT Project Manager completes the CDOT Final Acceptance Date field in SAP ZJ40LA. See Section 105.21.3 of the CDOT Construction Manual for additional details regarding completion of the form. The Resident Engineer will verify that all items shown in the remarks section have been addressed. The Resident Engineer will distribute the form as follows:

- Federal Highway Administration (FHWA), original
- Local Agency
- CDOT Projects and Grants
- CDOT's Electronic Document Management System (ProjectWise Explorer)
- Region Finals Engineer
- Resident Engineer
- Engineering Contract Services

Colorado Senate Bill 16-122 requires CDOT to close the project and release any money budgeted for the project within one year from the CDOT Final Acceptance Date, unless a claim is pending.

11.11 Process Final Payment

The Local Agency shall resolve all liens, claims and disputes for Contract adjustments before processing final payment to the Contractor.

The Local Agency shall review final pay quantities with the Contractor. It is recommended that the Contractor approve final pay quantities by an electronically signed statement. The Local Agency should place a copy of the statement in ProjectWise Explorer/Project Share or as directed by the CDOT Project Manager.

The CDOT Form 96 - Contractor Acceptance of Final Estimate may be used for a signed statement (see Appendix A for a copy of the form).

When all project costs have been established, the Local Agency shall submit an electronically signed final project billing and route to the Resident Engineer. The Local Agency shall submit the final bill within six months after project acceptance or prior to the approved project end date, whichever is shorter. If a time extension is needed, the Local Agency shall submit a letter of explanation to the Resident Engineer. The letter must be submitted to the Resident Engineer prior to the expiration of the six-month period or a minimum of 60 days prior to the project end date. See Section 100 of the [CDOT Construction Manual](#) for more information.

The Local Agency's final billing to the Resident Engineer shall include an electronically signed letter requesting project closure and a statement indicating there will be no further billings. The Resident Engineer will forward copies to the Region Business Manager and the Finals Engineer.

11.12 Close out Local Project

On Federal-aid Highway projects, the Local Agency shall close out the project within 90 days after the final Phase Performance End Date in accordance with *Title 2 CFR 200.344, Closeout*.

On Federal Recovery Fund projects, the Local Agency shall close out the project, or a specific portion of the project, within 90 days after the final Phase Performance End Date or within 45 days after the Federal Recovery Fund Expiration Date of the Federal Award, whichever is shorter. For these projects, all requests for reimbursement or invoices must be submitted to CDOT no later than January 31, 2027.

Some portions of state funding programs, such as projects funded with general state funds from the MMOF program, currently have funding expiration dates. CDOT plans to request extension of the expiration dates from the State of Colorado. However, until the extension is requested and granted, on projects with these funds, Local Agencies are required to submit final billings for all work 30 days (or June 1st) prior to the end of the State fiscal year that funds expire.

In accordance with the IGA, close out requires the Local Agency to submit all deliverables and the final reimbursement request or invoice. Questions should be directed to the CDOT Project Manager. Some CDOT Regions will not process IGAs for future work if documentation and final deliverables are deficient on current work.

11.13 Complete and Submit CDOT Form 950

CDOT is responsible for CDOT Form 950- Project Closure. The local agency should have the final billing request paid before the Form 950 is completed. The CDOT Project Manager should distribute an electronic copy of Form 950 to the Local Agency.

11.14 Retain Project Records

On Federal-aid Highway projects, in accordance with *Title 2 CFR 200.334, Retention requirements for records*, the Local Agency is required to retain project documentation and records for a period of three years following the date of submission of the final expenditure report. This is known as the Record Retention Period and this date is listed in SAP ZJ40LA. The CDOT Project Manager should provide this date to the Local Agency at project close.

For records for real property and equipment on Federal-aid Highway projects, the Record Retention Period shall extend three years following final disposition of such property. If any litigation, claim or audit related to a project starts before expiration of the Record Retention Period, the Record Retention Period extends until all litigation, claims or audit findings have been resolved and final action is taken by CDOT or FHWA. See *Title 2 CFR 200.334* for additional exceptions. A Local Agency may have additional retention requirements on federally funded projects specific to its organization.

On projects with any amount of Federal Recovery Funds, records shall be maintained by the Local Agency for a period of five years after all funds have been expended or returned to the US Treasury, whichever is later, in accordance with the IGA.

On state-funded projects, the Local Agency is required to retain project documentation and project records for 3.5 years from the Form 950 project closure date in accordance with Procedural Directive (PD) 21.1, *Requirements for Capital Engineering Program Records*. A Local Agency may have additional retention requirements on state-funded projects specific to its organization in addition to the 3.5 years.

A best practice is for a Local Agency to retain structure records for the life of the structure regardless of funding source.

The Local Agency and / or its representative shall file applicable Project Records and supporting documents on an ongoing basis in ProjectWise Explorer/Project Share after being provided access by CDOT or as directed by the CDOT Project Manager.

Documentation and records retained by CDOT will be kept in accordance with Record File Plans as defined in *PD 21.1*. CDOT's Record Retention Period and the Local Agency Record Retention Period may be different. CDOT requires project records retained for a retention period greater than 3.5 years to be properly archived in ProjectWise Explorer by the CDOT Project Manager, which includes completion of project attribute fields in SAP. The CDOT Record File Plan retention periods are extended in certain instances depending on the importance of the record.

11.15 Retain Final Version of Local Agency Contract Administration Checklist (CDOT Form 1243)

Copies should be kept as shown on the Checklist.

11.16 Roles and Responsibilities

- **Local Agency – Responsible for the following:**
 - Fulfill project responsibilities as stated in *this Desk Reference*, the [Local Agency Manual](#), and in the IGA.
 - Communicate with CDOT as necessary and appropriate for the successful completion of the project.
 - Ensure Local Agency Staff, Consultant Project Engineers and Contractors working on the project have complied with applicable federal and state laws, regulations, and procedures in constructing the project and have met scheduled delivery dates for all deliverables.
 - Attend the final inspection and confirm, or ensure the Consultant Project Engineer confirms, general conformance with the plans and specifications.
 - Issue the final acceptance letter to the Contractor.
 - Ensure billed costs are allowable in accordance with the federal cost principles and are consistent with the contract terms.
 - Ensure the Contractor is paid in a timely manner for all contract items that are satisfactorily completed in accordance with the contract, including final payment.
 - Ensure overall Civil Rights contract compliance.
 - Submit final documentation package for Region Materials, including completed Materials notebook.
 - Ensure As-Constructed Plans have been completed and meet requirements.
 - Advertise the project for final settlement in accordance with CRS 38-26-107.
 - Submit final reports, closeout deliverables, report of expenditures, and letter requesting project closure to CDOT.
 - Retain project records for the term required by the IGA for the specific project.

- | • **CDOT**
 - Perform ongoing maintenance of the completed project as stipulated in the IGA.
 - Establish uniform policies and procedures to assist the Local Agencies in meeting the program requirements for their projects, including Finals activities and close out procedures in this *Desk Reference* and the [Local Agency Manual](#) Webpage.
 - Provide oversight of Local Agencies delivering federal and state projects.
 - Ensure the Local Agency complies with all federal and state requirements.
 - Monitor project implementation to ensure projects are completed and closed in a timely manner to achieve program goals.
 - Attend final inspections.
 - Review and approval final project expenditures.
 - Document contract activities and maintain supporting contract records.
 - Complete the Form 1212 LA – Final Acceptance Report.
 - Retain Project Records in accordance with PD 21.1.
- | • **FHWA**
 - As required by the project, conduct routine approval actions, and conduct strategic project oversight.
 - Provide technical assistance and guidance to CDOT and to the Local Agency, as required.
 - Overall responsibility for the Federal-aid Highway Program including those project actions which cannot be assumed by the CDOT or the Local Agency.

Appendix A

Forms

Appendix A contains copies of the most common letters and forms (i.e., CDOT Forms, FHWA Forms) Local Agency personnel will use in designing, constructing and managing State and Federally funded projects.

The forms contained in this appendix were current at the time this manual was printed. The CDOT forms are maintained on the CDOT website; FHWA forms are on its website. Always use the current version of the CDOT forms. The Local agency should get the current forms from the CDOT project manager or from the CDOT website:

<https://www.codot.gov/library/forms>

The Local Agency may get current FHWA forms from the FHWA website. The link to each FHWA form follows it in the list below.

The Local Agency should contact the CDOT Project Manager for assistance in completing forms. Computer generated forms will be accepted if they contain the exact verbiage and statute references.

The documents in this appendix are as follows:

- CDOT Form 90 - Contract Modification Order
- CDOT Form 96 - Contractor Acceptance of Final Estimate *
- CDOT Form 118 - Contractor Wage Compliance Statement
- CDOT Form 128 - Categorical Exclusion Determination *
- CDOT Form 200 - OJT Training Questionnaire
- CDOT Form 205 - Sublet Permit Application *
- CDOT Form 250 - Materials Documentation Record * (CDOT-Generated Form – no general access)
- CDOT Form 262 - Weekly Time Count Report – Work Days
- CDOT Form 263 - Weekly Time County Report – Calendar Days
- CDOT Form 280 - Equal Employment Opportunity and Labor Compliance Verification
- CDOT Form 280 - Equal Employment Opportunity and Labor Compliance Verification (Spanish)
- CDOT Form 313 - Consultant Performance Evaluation
- CDOT Form 379 - Project Independent Assurance Sampling Schedule

* = Copy to CDOT's electronic document management system (ProjectWise Explorer) per PD 21.1

- CDOT Form 462 - Right of Way Plan Approval
- CDOT Form 463 - Design Data *
- CDOT Form 464 - Design Exception Variance Request *
- CDOT Form 465 - Non-Discrimination in Employment Notice
- CDOT Form 604 - Statement of Residency for Bid Preference
- CDOT Form 605 - Contractors Performance Capability Statement *
- CDOT Form 606 - Anti-Collusion Affidavit *
- CDOT Form 621 - Assignment of Antitrust Claims *
- CDOT Form 832 - Trainee Status and Evaluation *
- CDOT Form 838 - OJT Trainee/Apprentice Record
- CDOT Form 863 - DBE Contract Goal Recommendation *For internal use only*
- CDOT Form 895 - Region Certification – Force Account and Finding in the Public Interest
- CDOT Form 950 - Project Closure * (Internal Form – No general access)
- CDOT Form 951 - Voucher Request (Projects)
- CDOT Form 1048 - Project Scoping/Clearance Record
- CDOT Form 1180 - Standards Certification and Project Plans, Specifications and Estimate Approval *
- CDOT Form 1186 - Contract Funding Increase/Decrease and Approval Letter *
- CDOT Form 1199 - Finals Materials Documentation Review & Audit Checklist
- CDOT Form 1212 LA - Final Acceptance Report for Federal-Aid Projects * (Internal Form – No general access)
- CDOT Form 1215 - Submittal of New Specification or Specification Change
- CDOT Form 1313 - Cover Sheet for Consultant Billing/Invoice
- CDOT Form 1381 - Proprietary Item – Certifications or Finding in the Public Interest (FIPI)
- CDOT Form 1413 - Bidders List
- CDOT Form 1414 - Anticipated DBE Participation Plan
- CDOT Form 1415 - Commitment Confirmation
- CDOT Form 1416 - Good Faith Effort Report
- CDOT Form 1417 - DBE Participation Plan (Internal Form – No general access)
- CDOT Form 1418 - Monthly Payment Summary
- CDOT Form 1419 - DBE Participation Report
- CDOT Form 1420 - DBE Participation Plan Modification
- CDOT Form 1425 - Supplier List
- FHWA Form 1273 - Required Contract Provisions, Federal-Aid Construction Contracts
- <http://www.fhwa.dot.gov/programadmin/contracts/1273/1273.pdf>
- FHWA Form 1391 - Federal-Aid Highway Contractors Annual EEO Report
- <https://www.codot.gov/library/forms/fhwa-other-forms/form1391.xls/view>
- FHWA Form 1391 Instructions - Federal-Aid Highway Contractors Annual EEO Report
- <https://www.codot.gov/library/forms/fhwa-other-forms/form1391.pdf/view>

* = Copy to CDOT's electronic document management system (ProjectWise Explorer) per PD 21.1

COLORADO DEPARTMENT OF TRANSPORTATION CONTRACT MODIFICATION ORDER	Project No. _____	Project code _____
	Location _____	
	Date _____	Project order No. _____
Contractor _____	Estimated cost to project <input type="checkbox"/> Increase <input type="checkbox"/> Decrease \$ _____	
Complete address _____	Total additional days allowed to complete work _____	Federal oversight <input type="checkbox"/> yes <input type="checkbox"/> no
Modification title _____		

Should Federal or State funds not be available to cover these additional costs, or the Federal Awarding Agency decides not to participate, the (LOCAL AGENCY NAME HERE) agrees to provide the required funds.

The (LOCAL AGENCY NAME HERE) approves this Change Order No. ____ by signing below.
 Authorized Signature: _____ Title: _____ Date: _____

I accept this order, for work to be performed and prices on which payment is to be based.			
REQUIRED IN ACCORDANCE WITH INSTRUCTIONS IN CDOT'S CONSTRUCTION MANUAL		REQUIRED FOR ALL CHANGE ORDERS	
Approved by FHWA Operations Engineer: _____	Date _____	Authorized by Project Engineer: _____	Date _____
OPTIONAL		Contractor representative: _____	Date _____
Approved by Region Transportation Director: _____	Date _____	Approved by Resident Engineer: _____	Date _____
		<input type="checkbox"/> Participating <input type="checkbox"/> Non-participating <input type="checkbox"/> Participation as noted	
		Approved funding by Region Program Engineer: _____	Date _____

Previous editions are obsolete and may not be used

CDOT Form #80 03/17

COLORADO DEPARTMENT OF TRANSPORTATION CONTRACTOR WAGE COMPLIANCE STATEMENT		Project code (SA#) <hr/> Project # <hr/> Project location
Contractor/subcontractor - you must complete the "Appointment of Payroll Supervisor" box when appointing or changing a payroll supervisor. - you may fulfill your obligation to pay fringe benefits to employees by either paying the fringe benefits to approved plans, funds, or programs or paying the employees cash in lieu of fringe benefits. - you or your payroll supervisor must complete this form at the end of every payroll period and submit to the project engineer	APPOINTMENT OF PAYROLL SUPERVISOR I have appointed the person listed below to supervise the payment of employees and certify the payroll transcripts on this project. <hr/> Designated payroll supervisor name <hr/> Contractor/subcontractor signature	
Contractor/subcontractor name	Payroll #	Payroll period _____ to _____
I certify that during this payroll period the contractor has: - paid all employees (laborers and mechanics) their full contracted weekly wages. - not received any rebates directly or indirectly from employee wages. - had employees perform work that conformed with their contract classifications. - employed only apprentices registered with a state apprenticeship agency, or with the Bureau of Apprenticeship and Training, U.S. Department of Labor. - employed only trainees registered with the Colorado Department of Transportation. - submitted a correct and complete payroll to the Colorado Department of Transportation. - made fringe benefit payments: <input type="checkbox"/> in cash. (Note: cash in lieu of fringe benefits for overtime is paid at straight time rate not time and a half) <input checked="" type="checkbox"/> through weekly payroll deductions which shall be deposited quarterly or more frequently. There are no past due deposits. These payments are made to the approved plans, funds or programs checked below. (list dollars per hour) <input type="checkbox"/> life insurance \$ _____ <input type="checkbox"/> health insurance \$ _____ <input type="checkbox"/> dental insurance \$ _____ <input type="checkbox"/> pension \$ _____ <input type="checkbox"/> vacation pay \$ _____ <input type="checkbox"/> other _____ \$ _____		
Name of fringe benefit administrator (list additional names on the back of this form)		
Address		Phone #
EXCEPTIONS		
Craft	Explanation	
Remarks:		
The falsification of the "Contractor Wage Compliance Statement" may subject the contractor to civil or criminal prosecution under 18 U.S.C. 1001 and 31 U.S.C. 231. I declare under penalty of perjury in the second degree, and any other applicable State or Federal laws, that the statements made in this document are true and complete to the best of my knowledge.		
Contractor/payroll supervisor signature		Date



**Colorado Department of Transportation
NEPA DETERMINATION / PROJECT CERTIFICATION**

A. PROJECT INFORMATION				Form:
Environmental Scoping Date:	Project #:	Subaccount #:	Related Subaccount #:	
Project Name:				
Project Description (and Location):				
Region:	CDOT Program/Residency:	Environmental PM:	FHWA Area Engineer:	
FHWA NEXUS <input type="checkbox"/> Yes <input type="checkbox"/> No Other Federal NEXUS: <input type="checkbox"/> Yes <input type="checkbox"/> No Project Lead: <input type="checkbox"/> CDOT <input type="checkbox"/> Local Agency <input type="checkbox"/> Other				
Class of Action: <input type="checkbox"/> EIS/ROD <input type="checkbox"/> EA/FONSI <input type="checkbox"/> CatEx Construction/Contracting Method: <input type="checkbox"/> Design-Bid-Build <input type="checkbox"/> Design Build				
If CatEx, the project fits the following CE number: <input type="checkbox"/> GM/GC <input type="checkbox"/> Other:				
B. THE NEPA PROCESS				
Resource Clearances			Revised Clearances	
<i>Check Box Only if Impacted</i>			Revised Clearance date	Revised Clearance date
Air Quality (hot spot analysis) <input type="checkbox"/>	Clearance Date		<input type="checkbox"/>	<input type="checkbox"/>
Noise <input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
Hazmat - ISA/MESA <input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
T&E and State Listed Species <input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
Wetland Delineation (Survey) <input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
Paleontology <input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
Archaeology <input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
History <input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
Section4(f) - Historic <input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
Section4(f) - Non-Historic <input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
Section6(f) <input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
Other: <input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
All required clearance actions indicated have been completed for the design plans referenced below. If Project is a Categorical Exclusion, no significant environmental impacts will result from this project. Construction is not authorized until approved in Part E below. Implementation of project shall include required mitigation commitments.			All required clearance actions indicated have been completed for the design plans referenced below. If Project is a Categorical Exclusion, no significant environmental impacts will result from this project. Construction is not authorized until approved in Part E below. Implementation of project shall include required mitigation commitments.	
<input type="checkbox"/> Action meets requirements to be a Programmatic CatEx per the FHWA/CDOT Programmatic Agreement for Categorical Exclusions (FHWA signature below not required).			FHWA signature is not required because:	
<input type="checkbox"/> This is an EA/FONSI or EIS/ROD. The Decision Document has already been signed by FHWA (FHWA signature below is not required).			<input type="checkbox"/> This is a Programmatic CatEx	<input type="checkbox"/> This is a Programmatic CatEx
			<input type="checkbox"/> This is a Reevaluation of an EA/FONSI or EIS/ROD (1399 form has already been signed.)	<input type="checkbox"/> This is a Reevaluation of an EA/FONSI or EIS/ROD (1399 form has already been signed.)
Design Plan Set and Date: _____ / _____			_____ / _____	_____ / _____
RPEM Signature and Date: _____ / _____			_____ / _____	_____ / _____
FHWA Division Administrator Signature (if required) I concur with the above category designation and the scope of environmental clearance/permits indicated above.			FHWA Division Administrator Signature (if required) I concur with the above category designation and the scope of environmental clearance/permits indicated above.	
Signature and Date: _____ / _____			_____ / _____	_____ / _____
Comments:				



Colorado Department of Transportation
NEPA DETERMINATION / PROJECT CERTIFICATION

C. PERMITS AND ADDITIONAL REQUIREMENTS				Form: 01
	Resource Clearances	Revised Clearances		
<i>Check Box Only if Impacted</i>	Date Completed	Date Updated	Date updated	
404 Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
401 Certification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
402 Certification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Const. Stormwater Permit (CDPS)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Const. Dewatering Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Noxious Weed Management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
SB40 Certification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Wetland Finding	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Structure Demolition Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Hazardous Materials – Phase II	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Permanent WQ	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
SWMP	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

D. Comments

E. ENVIRONMENTAL PROJECT CERTIFICATION

All clearance and permit requirements for this project have been addressed and mitigation included. The appropriate documentation is on file in the Region office.

	Clearance	Revised Clearance	Revised Clearance
Design Plan Set and Date:	_____/_____/____	_____/_____/____	_____/_____/____
Certification Type:	<input type="checkbox"/> Advertisement <input type="checkbox"/> Advertisement & Construction <input type="checkbox"/> Other:	<input type="checkbox"/> Advertisement <input type="checkbox"/> Advertisement & Construction <input type="checkbox"/> Other:	<input type="checkbox"/> Advertisement <input type="checkbox"/> Advertisement & Construction <input type="checkbox"/> Other:
RPEM Signature & Date:	_____/_____/____	_____/_____/____	_____/_____/____

Note to Project Manager: Any changes to the plans and specifications after the date of the RPEM signature in Part B that affect environmental impacts or mitigation must be approved by the RPEM.

Distribution:
RPEM (original): copies to Project Manager, Right of way (if ROW required)

CDOT Form #128b (07/21/2016)

COLORADO DEPARTMENT OF TRANSPORTATION OJT TRAINING QUESTIONNAIRE		Project No.:	Project Code (SA#):
		Project Location:	
Contractor's Name:			
Trainee's Name:		Worker Classification:	
Trainee's Address:		Telephone No.:	
Trainee's Social Security No.:	<input type="checkbox"/> Male <input type="checkbox"/> Female	<input type="checkbox"/> Black <input type="checkbox"/> Hispanic <input type="checkbox"/> Am. Indian <input type="checkbox"/> Asian Am. <input type="checkbox"/> Other	
Have you ever received any apprenticeship training under any type of program before beginning this program? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, where?			
When did you enter the current program? Month: Year:			
In what type of training program are you enrolled? <input type="checkbox"/> Colorado Contractor's Association <input type="checkbox"/> Contractors OJT Program <input type="checkbox"/> Union Apprenticeship Program <input type="checkbox"/> Other:			
How did you learn about the program? <input type="checkbox"/> Contractor <input type="checkbox"/> Community Based Organization <input type="checkbox"/> Union <input type="checkbox"/> Other:			
When you entered your training, did anyone explain the program to you? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, explain:			
Did you receive a copy of your training program? <input type="checkbox"/> Yes <input type="checkbox"/> No			
Which of the following aspects of the training program were explained to you? <input type="checkbox"/> Training Hours <input type="checkbox"/> Type of Training <input type="checkbox"/> Training Wages <input type="checkbox"/> Job Choices <input type="checkbox"/> Entry Wages			
Did you understand the training program discussed with you? <input type="checkbox"/> Yes <input type="checkbox"/> No If no, explain:			
What is your current stage of training? <input type="checkbox"/> 25% <input type="checkbox"/> 80% <input type="checkbox"/> 60% <input type="checkbox"/> 90%			
How many hours of training do you receive each week? On-Job-Site Training: hours/week Classroom Training: hours/week			
Are you keeping a record of your training hours? <input type="checkbox"/> Yes <input type="checkbox"/> No			
Do you believe proper training is being given? <input type="checkbox"/> Yes <input type="checkbox"/> No If no, explain:			
Does the job superintendent, trainer, or foreman show interest in helping you reach your goal of journeyman? <input type="checkbox"/> Yes <input type="checkbox"/> No			
Do you have any problems that may interfere with your training? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, explain:			
Have you ever received any type of counseling from the apprenticeship counselor or another? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, explain:			
Do you know the name of your trainer? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, what is the name of your trainer?			
Interviewer's Signature:		Date: / /	
Trainee's Signature:		Date: / /	

Distribution: CDOT Business Programs Office (original)

Previous editions may be used until supplies exhausted

CDOT Form 200 07/02

CDOT Form 205 – Sublet Permit Application, Construction

<https://www.codot.gov/library/forms/cdot0205.xlsx/view>

CDOT Form 205 Instructions – Sublet Permit Application Instructions, Construction

<https://www.codot.gov/library/forms/cdot0205inst.pdf/view>

COLORADO DEPARTMENT OF TRANSPORTATION EQUAL EMPLOYMENT OPPORTUNITY AND LABOR COMPLIANCE VERIFICATION	Project No.:
	Project Code (SA#):
Contractor Name:	Project Location:
Employee Name:	Job Classification:

JOB SITE INTERVIEW SECTION

Equal Employment Opportunity

Have you seen the EEO posters posted by the Contractor?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you know the EEO policy of the Contractor?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you know who the project EEO Officer is? If yes, what is the project EEO Officer's name?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Have Contractor or Contractor personnel ever asked you to refer minorities and women to fill job openings?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Has the Contractor offered you training or apprenticeship programs to upgrade your skills?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
How long have you been employed by this Contractor? years months days		
How did you get this job? <input type="checkbox"/> union <input type="checkbox"/> other:		
Have you attended a meeting on this project where EEO was discussed? If yes, what was the date of the meeting? / /	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you feel the Contractor has discriminated against you in any way?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Comments:		

Labor Compliance

Have you seen the wage posters posted by the Contractor?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
What is your hourly wage rate? \$ /hour		
What is your hourly fringe benefit amount? \$ /hour How are fringe benefits being paid to you? <input type="checkbox"/> cash <input type="checkbox"/> other (e.g., plan, fund, program): Have you experience any problems with fringe benefit payments? If yes, please describe:	<input type="checkbox"/> Yes	<input type="checkbox"/> No
TOTAL HOURLY WAGE: \$ /hour		
How often are you paid? <input type="checkbox"/> weekly <input type="checkbox"/> other:		
Describe your current work assignment:		
Employee Signature:		Date: / /

VERIFICATION SECTION (Use the Contractor payroll to answer the questions in this Section)

Is the employee's wage correct?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
What is the total hourly amount?		
What is employee's worker classification?		
What is the payroll date? / /		
Comments:		
Interviewer's Signature:		Date: / /

COLORADO DEPARTMENT OF TRANSPORTATION EQUAL EMPLOYMENT OPPORTUNITY AND LABOR COMPLIANCE VERIFICATION (COLORADO DEPARTAMENTO DE TRANSPORTACION OPORTUNIDAD Y EMPLEO IGUAL VERIFICACION DE CONFORMIDAD DE TRABAJO)	PROJECT # (Numero De Proyecto)
	LOCATION
	Project code (SA#)
Contractor's name (Nombre De Contratista)	
Employee's name (Nombre De Empleado)	Job classification (Clasificacion De Trabajo)

JOB SITE INTERVIEW SECTION (SECCION DE INVESTIGACION DE TRABAJO)

EQUAL EMPLOYMENT OPPORTUNITY (EEO) La Igualdad De Oportunidades de Empleo

- Have you seen the EEO posters posted by this contractor? (¿Ha visto los cartelones de EEO puestos por el contratista?)
 yes (si) no
- Do you know the EEO policy of your contractor? (¿Usted conoce la politica de EEO del contratista?)
 yes (si) no
- Do you know who the project EEO officer is? (¿Usted sabe, quien es el oficial de EEO del proyecto?) yes (si) no
 Who is he/she? (¿Si sabe, digame el nombre del oficial del EEO?) _____
- Have you ever been requested by the contractor or any of his/her staff to refer minorities and women when job openings are available? (¿Le han preguntado el contratista o empleados del contratista que envíe a gente de las poblaciones minoritarias o a mujeres, para que apliquen para oportunidades del empleo?) yes (si) no
- Has the contractor advised you of training or apprenticeship programs available to upgrade your skills? (¿Le ha ofrecido el contratista entrenamiento o programas de aprendizaje para mejorar sus habilidades?) yes (si) no
- How long have you been employed by this contractor? (¿Cuanto tiempo ha estado empleado por este contratista?)
 _____ years (años) _____ months (meses) _____ days (días)
- How did you get this job? (¿Como conseguio este trabajo?) union other (otro modo): _____
- Have you attended any meetings on this project where EEO was discussed? (¿Ha atendido una reunion en este proyecto cuando EEO fue discutido?) yes (¿Si si, cuando fue la reunion?), date (fecha) ____/____/____ no
- Do you feel the contractor has discriminated against you in any way? (¿Siente que el contratista ha discriminado contra usted en algun modo?) yes (si) no

LABOR COMPLIANCE (CUMPLIMIENTO DE TRABAJO)

- Have you seen the wage posters posted by the contractor? (¿Ha visto los cartelones de sueldo puesto por el contratista?)
 yes (si) no
- 2a. What is your wage rate? (¿Cuál es su sueldo por hora?) \$ _____ hr. (por hora)
- b. What is your fringe benefit amount? (¿Cuanto le dan por hora como pago por sus beneficios complementarios?)
 \$ _____ hr. (por hora)
 total wage (¿SUELDO completo POR HORA?) \$ _____ hr. (por hora)
3. Are fringe benefits paid to you in cash or does the contractor save them in approved plans, funds or programs? (¿Como le pagan los beneficios?)
 cash (dinero) funds (otro modo, planes, fondos, programas) Have you experienced any problems? (¿Ha tenido problemas con el pago de su beneficios? Si ha tenido problemas, describa por favor como:)

4. How often are you paid? (¿Cada cuando le pagan?) weekly (por semana) other (otro modo) _____
5. Describe work you are performing today. (Describa su asignacion corriente en su trabajo) _____

VERIFICATION SECTION (SECCION DE VERIFICACION) (use the contractors payroll to answer the questions in this section)

- Are the employee's wages correct? yes no
- What is the total hourly amount? \$ _____ hr.
- What is the employee's worker classification? _____
- What is the payroll date? ____/____/____

COMMENTS

CDOT ProjectWise Explorer

Interviewer signature	Date
-----------------------	------

COLORADO DEPARTMENT OF TRANSPORTATION CONSULTANT PERFORMANCE EVALUATION		Project no.:	Subacct#:	
		Project name:		
To: (Appropriate Division Head)		Rating dates:		
Subject: Consultant Performance Evaluation Report		Item I	Item II	
Name of Consultant:		Item III	Item IV	
Type of work:		Rating key (see instructions):		
		Excellent (E)	Good (G)	
		Very Good (VG)	Poor (P)	
			Acceptable (A)	
			Not Applicable (NA)	
	CONTRACT PHASE	PRECONSTRUCTION PHASE		CONSTRUCTION PHASE
FACTOR	ITEM I	ITEM II	ITEM III	ITEM IV
A. Knowledge of department needs				
B. Cooperation with department, public, other agencies				
C. Adequacy of personnel, supervision and management				
D. Prosecution and submission of work				
E. Clarity of work				
F. Support calculations, data, reports				
G. Completion of work within contract budget				
H. Accurate billing records				
I. Overall quality, accuracy and competence				
J. Prudent plans/creative design				
Rater: Project Manager/Engineer (signature required)				
Reviewer: Preconstruction/ Construction Engineer (signature required)				
Region Engineer/Branch Manager				
Remarks:				

INSTRUCTIONS FOR CONSULTANT PERFORMANCE EVALUATION REPORT

A. Purpose of evaluation:

The completed evaluation report of a consultant's performance will be used as input for selection of the consultant for future assignments.

B. Rating procedure:

The raters and the time periods in which evaluations are performed shall be as follows:

Item I - Contract Phase

The rater will be the contract administrator (Consultant Management Unit) and/or the Project Manager. The rating will be performed after the consultant's work has been accepted or at appropriate contract stages. The rating will be reviewed by the Preconstruction Engineer, Region Transportation Director, Branch Head or other official directly responsible.

Item II - Preconstruction Phase (Preliminary Engineering)

The rater will be the Project Manager or other official directly responsible for incorporating the consultants work into Department plans, reports, etc. The rating will be performed promptly after the consultant's work has been used (ie., after the FIR). The rating will be reviewed by the Preconstruction Engineer, Region Transportation Director, Branch Head or other official directly responsible.

Item III - Preconstruction Phase (Final Design)

The rating will be completed and reviewed by the same individuals as indicated for Item II and as promptly as practical after the FOR.

Item IV - Construction Phase

The rater will be the Project Engineer or other official directly responsible for completing the construction project on which the consultant's work was used. The rating will be performed promptly after construction of the project has been completed. The rating will be reviewed by the Construction Engineer, Region Transportation Director or other official directly responsible.

C. Basis of ratings:

Ratings of the consultant's performance will be accomplished by marking poor, acceptable, good, very good, excellent or not applicable for each of the indicated factors on the evaluation report. **All poor and excellent evaluations for any factor shall have an explanation in the "Remarks" section provided on the form.**

The keys to the various rating levels are as follows:

Excellent (E)	Consultant <u>consistently exceeded</u> expectations
Very Good (VG)	Consultant <u>frequently exceeded</u> expectations
Good (G)	Consultant <u>consistently met</u> expectations
Acceptable (A)	Consultant <u>occasionally failed</u> to meet expectations
Poor (P)	Consultant <u>consistently failed</u> to meet expectations
Not Applicable (NA)	As indicated on form or as determined by rater

RATING FACTORS

Ratings for each factor should be based on how often, how quickly and to what degree the following criteria were met by the consultant during the performance of the work.

Factor A - Knowledge of Department needs

- * Consultant was knowledgeable and fulfilled his contractual obligation with the Department.
- * Consultant maintained the scope of services sought by the Department.
- * Consultant was familiar with the Department's policies and procedures.
- * Consultant maintained the flexibility necessary for meeting the changing Departmental needs.
- * Consultant served the Department, but was not subservient to it. This means that occasionally the Consultant must give the Department unpleasant news such as: costs of a design concept exceed the budget.

Factor B - Cooperation with Department, Public, Other Agencies

- * Consultant displayed a willingness to work as a team member in the development of a project. Liaison with the Department's Project Manager was undertaken at the earliest possible time (prior to the signing of contract documents if possible) ensuring common understanding of the scope of the project as well as conformity with the Department's standards, practices, accurate requirements, format, computer data compatibility, survey practices and such other items as the Project Manager considered to be critical to the project.
- * Consultant mediated disagreements between disciplines and/or agencies always in the best interest of the project.
- * Consultant was accessible to Department staff and responsive to their questions, needs and concerns.
- * Consultant maintained working relationship with the Department and other agencies.
- * Consultant participated in community workshops/public meetings and responded to citizens/groups seeking information or assistance.

RATING FACTORS (continued)

Factor C - Adequacy of Personnel, Supervision and Management

- * Consultant did not over extend their human resources to where their personnel were inadequate to maintain schedules.
- * The work was accomplished at the lowest possible level without sacrificing quality of the design.
- * The work was checked prior to submission to the Department.
- * Consultant knew when to take charge and utilized the authority granted them.

Factor D - Prosecution and Submission of Work

- * Consultant obtained approvals and decisions from the Department in a timely manner, thereby permitting the project to flow smoothly and quickly.
- * The Project Manager was informed of any change in scope, lack of information, or decisions by the department or other agencies that adversely affected the schedule or did not permit the work to progress in a logical manner.
- * Consultant developed project schedules and communicated with the Project Manager with regard to the progress of work.
- * Consultant participated and contributed to the decision making process.
- * Consultant submitted plans, specifications and supporting documentation to the Department in a timely manner; maintaining schedules and meeting deadlines for project milestones (ie., Financial Package, Scope of Work, Man Hour Estimates, FIR, FOR, etc.).
- * Work was checked for accuracy and content prior to submission to the Department.

Factor E - Clarity of Work

- * Consultant provided the Department with plans and specifications that met Department standards for content and format. These plans and specifications were therefore readily understood by all those persons who were required to work with them.
- * Reports, calculations, correspondence and other written materials exhibited completeness, clarity and conciseness and addressed Department concerns and questions.

Factor F - Support Calculations, Data, Reports, etc.

- * Consultant explained, defended and justified technical decisions and actions.
- * Consultant provided hard copy documentation concerning design decisions, calculations, and other supporting data so that a project history was maintained.

Factor G - Completion of Work Within Contract Budget

- * Consultant prepared plans and specifications for the project that considered the project budget (preliminary engineering and construction). If the project approached a budget overrun, the consultant brought this fact to the attention of the Project Manager in a prompt and timely manner and offered alternative solutions to the budget problems.
- * Consultant performed the scope of services within the anticipated man-hours, scheduled completion date and actual estimated fee.
- * Supplemental contracts to the original contract were minimized through careful planning and forethought when establishing the original scope of services and contract agreement with the Department.

Factor H - Accurate Billing Records

- * Consultant provided the Department with mathematically correct and itemized breakdowns of billing charges in accordance with commonly accepted accounting practices both upon completion of the project and when requested.
- * Salaries, indirect costs, fixed fees and other rates submitted agreed with the contract cost proposal.
- * Supporting documentation for charges were provided and questions were answered in a timely manner.

Factor I - Overall Quality, Accuracy and Competence

- * Consultant provided work that was technically accurate and complete, and displayed professional competence with regard to content.
- * Construction oversights were not the result of omissions or confusing details provided by the consultant in the plans or specifications.
- * Consultant's work was checked prior to submission to the Department to ensure quality and accuracy of the work in meeting the scope of services under the contract.

Factor J - Prudent Plans/Creative Design

- * Although new and innovative solutions are permitted, the consultant ensured that only appropriate design alternatives meeting the Department's objectives were selected.
- * Innovative and/or state-of-the-art methods, procedures, designs or theories in solving problems were used.
- * Although a design was unique, innovative and creative; the project remained constructible.

Factor K - DBE Participation

- * Consultant participated in the Department's DBE goals within the terms of the contract.

COLORADO DEPARTMENT OF TRANSPORTATION PROJECT INDEPENDENT ASSURANCE SAMPLING SCHEDULE	Project No.	Project Code (SA#)
	Project Engineer	Resident Engineer
	Project location	Page of

Item #	Identification	# of samples		CDOT Form #	Field Sheet #	Date	Field tester (QA)	Independent Assurance Tester (IA)
		Recom.	Actual					

Project Field Lab inspection date:

Remarks:

The above schedule is an estimate of CDOT Independent Assurance samples required on this project. The number of samples recommended is also the number of each type of test for the specific Item in the *Frequency Schedule for Independent Assurance Evaluation* unless otherwise noted.

Developed by:	Date:	Approved by: (Region Materials Engineer)	Date:
---------------	-------	--	-------

Distribution: <input type="checkbox"/> Region Materials Engineer <input type="checkbox"/> Resident Engineer <input type="checkbox"/> Project Engineer <input type="checkbox"/> Project Tester <input type="checkbox"/> Region Program Engineer <input type="checkbox"/> Documentation Unit, Materials & Geotechnical Branch	The assurance-sampling schedule for this project has been substantially followed and the test results of the assurance samples are in reasonably close agreement with the project acceptance sample test results. (Exceptions to this statement have been previously commented on when the test results were reported or are explained on this form or on an attached sheet.) Final review by: (Region Materials Engineer) Date:
--	--

STATE OF COLORADO

DEPARTMENT OF TRANSPORTATION
Right-of-Way Services Branch
4201 E. Arkansas Ave., 4th Floor
Denver, Colorado 80222-3400
(303) 757-9331 Fax (303) 757-9868



RIGHT OF WAY PLAN APPROVAL

Division Administrator
Federal Highway Administration
555 Zang Street, #250
Lakewood, Co 80028

Project No: **0000000**
Location: **000000000000**
Project Code: **00000**
Region: **0**

Dear Sir:

The quarterly obligation plan containing this project, and/or a CDOT 218/418 was approved on 00/00/00 authorizing function 3114 and obligating sufficient right of way funds. It is requested that the Right of Way Plans on the above project be approved in order that the following additional functions may be eligible for federal participation.

	Function Code
(XX) RIGHT OF WAY - Acquisition	3111
(XX) RIGHT OF WAY - Relocation Payments	3109

Comments or explanation of above:

Ownerships: **00000**

ROWPR 00/00/00,

Right of Way Services Manager

By _____

Authorized subject to conditions below:

_____ Date _____

for Division Administrator

Conditions:

Acquisition or Relocation cannot begin until the Acquisition Stage Relocation Plan has been approved.

cc: Program Engineer
Region ROW Supervisor
Financial Management and Budget Office
Center for Accounting - Projects and Grants
ROW Services - Original plus (2)

CDOT FORM NO. 462a
Rev. December 2000

COLORADO DEPARTMENT OF TRANSPORTATION DESIGN DATA		Orig. Date:	Project Code # (SA#):	STIP#:
Rev. Date:		Project #:		
Region #:		PE Project Code:		
Status: <input type="checkbox"/> Preliminary <input type="checkbox"/> Final <input type="checkbox"/> Revised Submitted By, P.M.: _____ Approved by Program Engineer: _____ Date: _____ Revised by: _____ Date: _____		County:		
Project Description: Municipality: System Code: Oversight By: Planned Length: Geographic Location:		Type of Terrain:		
Remarks:				
1 Safety/Operations/ITS Considerations <input type="checkbox"/> Variance in Minimum Design Standards Required <input type="checkbox"/> Justification Attached <input type="checkbox"/> Request to be Submitted <input type="checkbox"/> Bridge <input type="checkbox"/> See Remarks TSM&O Evaluation Completion Date: _____ Comments: _____		2 Right of Way ROW &/or Perm. Easement Required: Relocation Required: Temporary Easement Required: Changes in Access: Changes to Connecting Roads:	Yes/No Est. #	3 Utilities (list names of known utility companies):
4 Railroad Crossings Railroad(s): _____ Crossing Number(s): _____ Type: _____		Recommendations: Project # Cleared Under: _____	Project # Cleared Under: _____	Project # Cleared Under: _____
5 Environmental Comments: _____ Use Columns A, B, C, D, E and F to identify facility described below		A = _____ B = _____ C = _____ D = _____ E = _____ F = _____		
6 Traffic				
Current Year	ADT			
	DHV			
	DHV % Trucks			
Future Year	ADT			
	DHV			
	DHV % Trucks			
Facility Location		<input type="checkbox"/> Industrial <input type="checkbox"/> Commercial <input type="checkbox"/> Industrial <input type="checkbox"/> Commercial <input type="checkbox"/> Industrial <input type="checkbox"/> Commercial	<input type="checkbox"/> Residential <input type="checkbox"/> Other <input type="checkbox"/> Residential <input type="checkbox"/> Other <input type="checkbox"/> Residential <input type="checkbox"/> Other	<input type="checkbox"/> Residential <input type="checkbox"/> Other <input type="checkbox"/> Residential <input type="checkbox"/> Other <input type="checkbox"/> Residential <input type="checkbox"/> Other

COLORADO DEPARTMENT OF TRANSPORTATION DESIGN EXCEPTION VARIANCE REQUEST		FHWA Oversight <input type="checkbox"/> Yes <input type="checkbox"/> No	Project Code _____
Project name _____		Date _____	Project Number _____
Type (check all that are applicable) <input type="checkbox"/> New construction <input type="checkbox"/> Restoration <input type="checkbox"/> Resurfacing <input type="checkbox"/> Rehabilitation <input type="checkbox"/> _____ <input type="checkbox"/> Reconstruction <input type="checkbox"/> Safety <input type="checkbox"/> Enhancement <input type="checkbox"/> _____ <input type="checkbox"/> _____		Revised _____	Region _____
Part 1 – Complete A through H for all projects.			
A. Short project description (<input type="checkbox"/> see CDOT Form 463 for more detailed description) _____		<input type="checkbox"/> AASHTO standards apply <input type="checkbox"/> 3R standards apply <input type="checkbox"/> Other: _____	
B. Description of standard(s) reduced _____			
C. Rational need for exception(s) _____			
D. Mitigation measures proposed (include safety discussion) _____			
E. Description of adjoining sections: (<input type="checkbox"/> see CDOT Form 463) Other: _____		<input type="checkbox"/> same as existing project <input type="checkbox"/> same as proposed project	
F. Supporting Data Driven Safety Analysis (DDSA) Analysis Completed: <input type="checkbox"/> Yes <input type="checkbox"/> No DDSA Summary or explanation if no DDSA performed: _____		G. Cost Estimated item cost if built to full standard \$ _____ Estimated item cost with exception \$ _____ + difference in cost: \$ _____	
H. Other (as needed) _____			
Part 2 – Appropriate signatures required.			
A. Submitted by (Project Manager) _____		Date _____	Program Engineer Approval _____
Resident Engineer Approval _____		Date _____	
Required for Federal aid oversight and Interstate projects			
Approved by (FHWA Division Administrator) _____			Date _____
B. <input type="checkbox"/> Not approved <input type="checkbox"/> Approved with conditions		Conditions/comments _____	

Previous editions are obsolete and may not be used.

Distribution: Project Manager
 Program Engineer
 Resident Engineer
 HQ Records Center
 FHWA, if applicable

CDOT Form #0464 12/18

CDOT ProjectWise Explorer

COLORADO DEPARTMENT OF TRANSPORTATION
NON-DISCRIMINATION IN EMPLOYMENT NOTICE
 (Labor Unions or other Worker's Organizations)

To: (Union or Worker's Organization name)

From: (Contractor/subcontractor name)

Federal Aid Project number:

We have a contract with the Colorado Department of Transportation for the Federal Aid Project listed above. To comply with contract provisions and Executive Order 11246, dated September 29, 1965, we must post this notice in conspicuous places for employees or applicants for employment to read. We cannot discriminate against any employee or applicant for employment because of **race, religion, color, sex, creed, national origin, age, or disability**. This obligation not to discriminate in employment includes, but is not limited to, the following:

- Hiring, placement, upgrading, transfer, or demotion
- Employment recruitment, advertising, or solicitation
- Employee training
- Pay rates or other forms of compensation
- Training selection, including apprenticeship
- Layoff or termination

Contractor/subcontractor signature

Date

Note: Contractor/subcontractor must post this notice in conspicuous places accessible to employees or applicants for employment.

COLORADO DEPARTMENT OF TRANSPORTATION STATEMENT OF RESIDENCY FOR BID PREFERENCE	Project #
--	-----------

As a precondition to the award of a contract by the Colorado Department of Transportation for the construction of the above listed project, I do here certify that the firm named below is a:

Check one:

<input type="checkbox"/> Resident Bidder 1. A person, partnership, corporation, or joint venture which is authorized to transact business in Colorado and which maintains its principal place of business in Colorado; or 2. A person, partnership, corporation, or joint venture which is authorized to transact business in Colorado, which maintains a place of business in Colorado, and which has paid Colorado unemployment compensation in at least seventy-five percent of the eight quarters immediately prior to bidding on a construction contract for a public project.

<input type="checkbox"/> Nonresident Bidder 1. Name the state or foreign country of residency: _____ 2. Does this state or foreign country have a bidding preference for resident bidders on public projects? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, state the percentage preference: _____%.

I declare under penalty of perjury in the second degree, and any other applicable state or federal laws, that the statements made on this document are true and complete to the best of my knowledge.	
Firm name:	Check one: <input type="checkbox"/> individual owner <input type="checkbox"/> partner <input type="checkbox"/> officer <input type="checkbox"/> person delegated to sign this form
Signature:	Title:
2nd firm name if joint venture:	Check one: <input type="checkbox"/> individual owner <input type="checkbox"/> partner <input type="checkbox"/> officer <input type="checkbox"/> person delegated to sign this form
Signature:	Title:

COLORADO DEPARTMENT OF TRANSPORTATION CONTRACTORS PERFORMANCE CAPABILITY STATEMENT	Project#
--	----------

1. List names of partnerships or joint ventures none

2. List decreases in the contractors fiscal or workmanship qualifications compared to the last prequalification statement submitted to CDOT. (Attach additional sheets if necessary.)

a. Key personnel changes none

b. Key equipment changes none

c. Fiscal capability changes (legal actions, etc.) none

d. Other changes that may effect the contractors ability to perform work. none

I DECLARE UNDER PENALTY OF PERJURY IN THE SECOND DEGREE, AND ANY OTHER APPLICABLE STATE OR FEDERAL LAWS, THAT THE STATEMENTS MADE ON THIS DOCUMENT ARE TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE

Contractor's firm or company name	By	Date
	Title	
2nd Contractor's firm or company name (if joint venture)	By	Date
	Title	

<p>COLORADO DEPARTMENT OF TRANSPORTATION ANTI-COLLUSION AFFIDAVIT</p>	<p>PROJECT NO.</p> <hr/> <p>LOCATION</p>
--	--

I hereby attest that I am the person responsible within my firm for the final decision as to the price(s) and amount of this bid or, if not, that I have written authorization, enclosed herewith, from that person to make the statements set out below on his or her behalf and on behalf of my firm.

I further attest that:

1. The price(s) and amount of this bid have been arrived at independently, without consultation, communication or agreement for the purpose or with the effect of restricting competition with any other firm or person who is a bidder or potential prime bidder.
- 2A. Neither the price(s) nor the amount of this bid have been disclosed to any other firm or person who is a bidder or potential prime bidder on this project, and will not be so disclosed prior to bid opening.
- 2B. Neither the prices nor the amount of the bid of any other firm or person who is a bidder or potential prime bidder on this project have been disclosed to me or my firm.
- 3A. No attempt has been made to solicit, cause or induce any firm or person who is a bidder or potential prime bidder to refrain from bidding on this project, or to submit a bid higher than the bid of this firm, or any intentionally high or non-competitive bid or other form of complementary bid.
- 3B. No agreement has been promised or solicited for any other firm or person who is a bidder or potential prime bidder on this project to submit an intentionally high, noncompetitive or other form of complementary bid on this project.
4. The bid of my firm is made in good faith and not pursuant to any consultation, communication, agreement or discussion with, or inducement or solicitation by or from any firm or person to submit any intentionally high, noncompetitive or other form of complementary bid.
5. My firm has not offered or entered into a subcontract or agreement regarding the purchase or sale of materials or services from any firm or person, or offered, promised or paid cash or anything of value to any firm or person, whether in connection with this or any other project, in consideration for an agreement or promise by any firm or person to refrain from bidding or to submit any intentionally high, noncompetitive or other form of complementary bid or agreeing or promising to do so on this project.
6. My firm has not accepted or been promised any subcontract or agreement regarding the sale of materials or services to any firm or person, and has not been promised or paid cash or anything of value by any firm or person, whether in connection with this or any other project, in consideration for my firm's submitting any intentionally high, noncompetitive or other form of complementary bid, or agreeing or promising to do so, on this project.
7. I have made a diligent inquiry of all members, officers, employees, and agents of my firm with responsibilities relating to the preparation, approval or submission of my firm's bid on this project and have been advised by each of them that he or she has not participated in any communication, consultation, discussion, agreement, collusion, or other conduct inconsistent with any of the statements and representations made in this affidavit.
8. I understand and my firm understands that any misstatement in this affidavit is and shall be treated as a fraudulent concealment from the Colorado Department of Transportation, of the true facts relating to submission of bids for this contract.

I DECLARE UNDER PENALTY OF PERJURY IN THE SECOND DEGREE, AND ANY OTHER APPLICABLE STATE OR FEDERAL LAWS, THAT THE STATEMENTS MADE ON THIS DOCUMENT ARE TRUE AND COMPLETE TO THE BEST OF MY KNOWLEDGE.

Contractor's firm or company name	By	Date
	Title	
2nd contractor's firm or company name. (If joint venture.)	By	Date
	Title	

Sworn to before me this _____ day of, _____ 20____

Notary Public	
My commission expires	
NOTE: This document must be signed in ink.	

COLORADO DEPARTMENT OF TRANSPORTATION ASSIGNMENT OF ANTITRUST CLAIMS	PROJECT NO.
---	-------------

Contractor and Colorado Department of Transportation (CDOT) recognize that in actual economic practice antitrust violations ultimately impact on CDOT. Therefore, for good cause and as consideration for executing this contract and for receiving payments hereunder:

1. Contractor hereby irrevocably assigns to CDOT any and all claims it may now have or which may hereafter accrue to it under federal or state antitrust laws in connection with the particular project, goods or services purchased or acquired by CDOT pursuant to this contract.

2. Contractor hereby expressly agrees:
 - a. That, upon becoming aware that a third party has commenced a civil action asserting on Contractor's behalf an antitrust claim which has been assigned to CDOT hereunder, Contractor shall immediately advise in writing:
 - (1) Such third party that the antitrust claim has been assigned to CDOT, and
 - (2) CDOT that such civil action is pending and of the date on which, in accordance with subparagraph a. (1) above, Contractor notified such third party that the antitrust claim had been assigned to CDOT;
 - b. To take no action which will in any way diminish the value of the claims or rights assigned or dedicated to CDOT hereunder; and
 - c. Promptly to pay over to CDOT its proper share of any payment under an antitrust claim brought on Contractor's behalf by any third party and which claim has been assigned to CDOT hereunder.

3. Further, Contractor agrees that in the event it hires one or more subcontractors to perform any of its duties under the contract, Contractor shall require that each such subcontractor:
 - a. Irrevocably assign to CDOT (as a third party beneficiary) any and all claims that such subcontractor may have or which may thereafter accrue to the subcontractor under federal or state antitrust laws in connection with any goods or services provided by the subcontractor in carrying out the subcontractor's obligations to Contractor;
 - b. Upon becoming aware that a third party has commenced a civil action on the subcontractor's behalf asserting an antitrust claim which has been assigned to CDOT hereunder, shall immediately advise in writing:
 - (1) Such third party that the antitrust claim has been assigned to CDOT, and
 - (2) Contractor and CDOT that such civil action is pending and of the date on which, in accordance with subparagraph b. (1) above, the subcontractor notified such third party that the antitrust claim had been assigned to CDOT;
 - c. Take no action which will in any way diminish the value of the claims or rights assigned or dedicated to CDOT hereunder; and
 - d. Promptly pay over to CDOT its proper share of any payment under an antitrust claim brought on the subcontractor's behalf by any third party and which claim has been assigned or dedicated to CDOT pursuant hereto.

I, acting in my capacity as officer of a bidder (bidders if a joint venture) do agree to the above assignment of antitrust claims.

Contractor's firm or company name	By	Date
	Title	
2nd contractor's firm or company name. (if joint venture.)	By	Date
	Title	

COLORADO DEPARTMENT OF TRANSPORTATION			Type of Approved Program Check all that apply:	
TRAINEE STATUS AND EVALUATION			<input type="checkbox"/> Standard	<input type="checkbox"/> Union
			<input type="checkbox"/> U.S. DOL-BAT	<input type="checkbox"/> Other: _____
Contractors Name:		Project Number:	Project Code (SA#):	Reporting Month:
Trainee's Name:			Trainee's Classification:	
Date Enrolled in Program:	Total Hours Required in Program:	Hourly Rate:	Percent of Journeyman Scale:	
Status of Trainee is: <input type="checkbox"/> Working <input type="checkbox"/> Graduated <input type="checkbox"/> Temporarily Laid Off <input type="checkbox"/> Transferred to Another Project <input type="checkbox"/> Dropped Out <input type="checkbox"/> Terminated				
Federal Aid: <input type="checkbox"/> Yes <input type="checkbox"/> No	CDOT Project No.:	Project Code:	Location:	Hours Worked this Month:
Federal Aid: <input type="checkbox"/> Yes <input type="checkbox"/> No	CDOT Project No.:	Project Code:	Location:	Hours Worked this Month:
Federal Aid: <input type="checkbox"/> Yes <input type="checkbox"/> No	CDOT Project No.:	Project Code:	Location:	Hours Worked this Month:
Federal Aid: <input type="checkbox"/> Yes <input type="checkbox"/> No	CDOT Project No.:	Project Code:	Location:	Hours Worked this Month:
Non-CDOT Project Descriptions and Locations:				Hours Worked this Month:
Total Training Hours Worked This Month: 0		Previous Training Hours Worked:	Total Training Hours Worked to Date: 0	
What were the trainee's primary job duties this month:				
The trainee's overall job performance for this month is: <input type="checkbox"/> Excellent <input type="checkbox"/> Good <input type="checkbox"/> Fair <input type="checkbox"/> Poor				
Supervisor's Comments:				
Trainee's Comments:				
Trainee's Signature (if available):			Supervisor's Signature:	
CONTRACTOR:				
The undersigned contractor hereby certifies that the listed employee is a bona fide trainee as required by the On-the-Job Training Special Provision, that s/he has worked the hours reported on this form, and the hours worked on CDOT and Federal Aid Projects reported are eligible for reimbursement. The information provided above is reasonably correct to the best of my knowledge.				
Contractor Signature		Contractor Title	Date	
PROJECT ENGINEER: I hereby certify that the On-the-Job training hours reported above have been reviewed and found reasonable.				
Engineer Signature		Engineer Title	Date	

Distribution: REGION CIVIL RIGHTS MANAGER – 3 copies (one for BPO, one for Sponsor)
 Project Engineer
 Trainee
 Records Center (original)

Previous editions are obsolete and may not be used. CDOT Form # 832 10/16

CDOT ProjectWise Explorer

COLORADO DEPARTMENT OF TRANSPORTATION OJT TRAINEE/APPRENTICE RECORD			
Contractor Instructions: 1) Complete this form for each trainee or apprentice on the project that will be used to meet OJT requirements 2) Submit one form for each trainee/ apprentice for each project 3) Retain a copy for your records 4) Submit original to CDOT Project Engineer 5) Incomplete submittals will be rejected 6) Attach training program certificate 7) Attach training enrollment certificate			
Type of Program (check all that apply): <input type="checkbox"/> Union <input type="checkbox"/> Standard OJT Program <input type="checkbox"/> Other _____ <input type="checkbox"/> U.S. DOL - BAT			
Contractor's Name:	Project No.:	Location:	Project Code (SA#)
Name of Trainee's Supervisor:		Title:	
Trainee's Name:		Date this form submitted:	
Trainee's Job Classification and CODE from the wage decision:		Wage Decision number, include modifications:	
<input type="checkbox"/> Male <input type="checkbox"/> Female	Last 4 of SSN <input type="text"/>	Veteran: <input type="checkbox"/> No <input type="checkbox"/> Yes If Yes, which branch: _____	
Education – Check the last year of school completed: Highest Grade Completed _____ <input type="checkbox"/> GED <input type="checkbox"/> High School Diploma <input type="checkbox"/> College Technical Training or Certifications: _____ Special Licenses: _____		Training Hours Credited: Accumulated: On-the-Job Training _____(hours) Classroom Training _____(hours)	
Ethnic or Racial Background: <input type="checkbox"/> African American <input type="checkbox"/> American Indian or Alaskan <input type="checkbox"/> White <input type="checkbox"/> Hispanic <input type="checkbox"/> Asian or Pacific Islander <input type="checkbox"/> Other			
Trainee's Previous Construction Work Experience:			
Name of Company	Location City / State	Job Classification	Dates of Employment: From: To:
Were any previous jobs at the journeyman level? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, explain: _____			
Date Trainee First employed by Your Company:		How long do you anticipate employing this trainee/apprentice?	
Date Enrolled in Training Program:			
Trainee's wage (% of journeyman work) at this time? <input type="checkbox"/> 60% <input type="checkbox"/> 75% <input type="checkbox"/> 90% <input type="checkbox"/> 100%		Trainee willing to travel? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Trainee's current wage rate \$ _____/hr			
Signature of Authorized Contractor Representative:		Title:	Date:
Region Civil Rights Manager Signature:	Region:	<input type="checkbox"/> Approved <input type="checkbox"/> Not-Approved	Date:
Comments or reason not approved: _____			

Previous editions are obsolete and may not be used.

CDOT Form # 838 12/11

Project Engineer (2) Project Engineer will provide one copy to the contractor
 Region Civil Rights Manager (3 copies – one for BPO; one for the sponsor if applicable)
 Records Center (Original)

CDOT ProjectWise Explorer

COLORADO DEPARTMENT OF TRANSPORTATION UDBE CONTRACT GOAL RECOMMENDATION	Project No.:	Project Code (SA#):
	Local Entity Project: <input type="checkbox"/> YES <input type="checkbox"/> NO	Advertisement Date: / /
<input type="checkbox"/> Construction Contract <input type="checkbox"/> Consultant Contract	Location (Region):	
For Consultant Contracts Only:		
Non-Project Specific (NPS): <input type="checkbox"/> YES <input type="checkbox"/> NO		Contract Identification (Type):

Instructions: Complete CDOT Form #863 (using the Engineer's Estimates). Submit a copy of the Engineer's Estimates to the Business Programs Office with this form.

Project Manager:

Annual DBE Goal: %

Available UDBE Firm Names:

- | | | |
|----------|----------|-----------|
| 1. _____ | 5. _____ | 9. _____ |
| 2. _____ | 6. _____ | 10. _____ |
| 3. _____ | 7. _____ | 11. _____ |
| 4. _____ | 8. _____ | 12. _____ |

Identify items of work (work codes) for which two or more UDBE firms can reasonably be expected to compete:

DBE ITEM NUMBER (Work code)	DESCRIPTION	APPLICABLE FIRMS (List by above no.)	ESTIMATED VALUE
			\$
			\$
			\$
			\$
			\$
			\$
			\$
			\$
			\$
			\$
			\$
			\$
			\$
			\$
			\$
			\$
			\$
			\$
			\$
			\$
			\$
			\$

Comments:	Total dollar value of anticipated UDBE work:	\$
	Estimated total contract (dollars):	\$
	Recommended percentage for UDBE goal:	_____ %
	Region EEO Signature:	Date: / /

COLORADO DEPARTMENT OF TRANSPORTATION FORCE ACCOUNT CONSTRUCTION METHOD – FINDING IN THE PUBLIC INTEREST		Project Code <input type="text"/>
Date <input type="text"/>	Location <input type="text"/>	Project Number <input type="text"/>
<p>The term "force account construction method" refers to construction work a public agency performs on federal or state funded projects using its own forces. Specifically, it means the direct performance of highway construction work by the Department, local entity, county, railroad, public utility company, or other agency by use of labor, equipment, materials, and supplies furnished by the agency and used under its contract terms (23 CFR part 635.203(c)).</p>		

I hereby certify that Region has accomplished all the necessary actions relating to items 1 through 6 below in support of the request by (Public Agency Name) to administer and/or perform the work on the above referenced project by the force account construction method.

I **do** / **do not** recommend that the public agency named above be allowed to construct the work by the force account construction method. The work **does** / **does not** meet one of the following conditions justifying performance of the work by the force account construction method.
 [Check at least one box.] [See Section 1.11 of the Project Development Manual for further guidance.]

<input type="checkbox"/> Emergency repair work	<input type="checkbox"/> Incidental work for which the force account construction method is cost effective
<input type="checkbox"/> Railroad or Utility work	<input type="checkbox"/> Material furnished by the public agency
<input type="checkbox"/> Contract value under \$50,000; lack of bids; or bids received were unreasonable	<input type="checkbox"/> Unusual circumstances unlikely to recur for which the force account construction method is cost effective

- There exists** / **We will obtain** a suitable agreement between the State and the public agency under which this work can be included.
 - The public agency has submitted the documentation justifying use of the force account construction method. See Section 1.11 of the Project Development Manual for required documentation.
 - This public agency is paying part of the cost of the work or has other special interests as follows:
 - The public agency has satisfied the Region that it is adequately staffed and suitably equipped to perform this project work in a timely manner while satisfactorily completing the agency's other construction and maintenance responsibilities.
 - The public agency's price or cost proposal was subjected to technical and audit evaluations, as appropriate, and was determined to be reasonable and representative of actual costs.
 - The proposed cost, including administration, was determined to be cost effective and substantially less than the probable cost if completed by CDOT bid contract.
- NOTE: Documentation supporting Items 1 through 3 is available in the Region files. Documentation of Items 4 through 6 is attached and should be retained as part of the project files.

Program Engineer <input type="text"/>	Region <input type="text"/>
--	--------------------------------

Original to: CDOT ProjectWise
 Copies to: FHWA (NHS Projects), Region Project File

CDOT Form #895 4/22

COLORADO DEPARTMENT OF TRANSPORTATION PROJECT CLOSURE - FORM 950	
Project Code	: 19732
Project Number	: BRO M185-005
Region	: 01
Reason for Project Closure	: Completed
Business Manager	
<input checked="" type="checkbox"/>	All Payables Paid
<input checked="" type="checkbox"/>	No Retainage Outstanding
<input checked="" type="checkbox"/>	If Escrow Required Business Office has set aside Funds
<input checked="" type="checkbox"/>	No Unspent Balances
<input checked="" type="checkbox"/>	Encumbrances Liquidated
<input checked="" type="checkbox"/>	Obligations Resolved
<input checked="" type="checkbox"/>	All Necessary FI and FM Actions Taken
Projects and Grants	
<input checked="" type="checkbox"/>	Projects and Grants Accepts the Form 950 as Complete from the Region
Projects Deleted from Field Report	: 09/10/2019
FAR Date	: 09/10/2019
Date Submitted to FHWA	: 09/10/2019
Record Retention Expiration Date	: 03/10/2023
PJ Final	: 09/10/2019

COLORADO DEPARTMENT OF TRANSPORTATION VOUCHER REQUEST (PROJECTS)																VENDOR NUMBER <input type="checkbox"/> New					
																REQUEST NUMBER					
LN	400/ FUND	PO/CONTRACT NUMBER	LN #	ORGAN (COST CENTER)	S U B	S A P P R O P C O D E	PROG	FUNCTION	OBJECT	S U B	N /	REV S O U R C E	SUB REV	B/S	G B L	REPT CATG (ORG UNIT)	PROJECT	S U B	P H A S	AMOUNT VOUCHERED	
	400/ HAA		01				000														
	400/ HAA		02				000														
	400/ HAA		03				000														
	400/ HAA		04				000														
	400/ HAA		05				000														
	400/ HAA		06				000														
	400/ HAA		07				000														
	400/ HAA		08				000														
	400/ HAA		09				000														
	400/ HAA		10				000														
	400/ HAA		11				000														
	400/ HAA		12				000														
	400/ HAA		13				000														
	400/ HAA		14				000														
	400/ HAA		15				000														
	400/ HAA		16				000														

THE UNDERSIGNED HEREBY CERTIFIES THAT THE EXPENDITURES FOR PURCHASES OR SERVICES DESCRIBED ON THE VOUCHER AND IN THE ATTACHED SUPPORTING PAPERS WERE DULY AUTHORIZED; THAT THE EXPENDITURES ARE FOR OFFICIAL STATE BUSINESS AND NOT FOR PRIVATE OR PERSONAL PURPOSES; THAT THE EXPENDITURES ARE REASONABLE AND PROPER AND CORRECTLY REPRESENTED BY THE CLAIMS SET FORTH ON THIS VOUCHER; ARE IN ACCORDANCE WITH THE LAW OR ADMINISTRATIVE RULES; AND ARE AUTHORIZED BY APPROPRIATION OR OTHER SPECIFIC AUTHORITY

PREPARED BY _____ DATE _____
 APPROVED BY _____ DATE _____

CDOT Form #951
11/91

Item not need for expenditure entries

COLORADO DEPARTMENT OF TRANSPORTATION PROJECT SCOPING/CLEARANCE RECORD				
Construction project #	Project code	P.E. project #	P.E. Project code	STIP #
Project location			County	City
Begin point	End point	Region Program Engineer		Region
Who requested this project? For what reason?				
What is the proposed improvement/scope of work? (note changes as project develops)				

Phase descriptions: (see Procedural Directive 512.1 for further information/instructions)
Phase I-
 Implementation to State Transportation Improvement Plan (STIP) -- As a project is included in the STIP, these activities should be reviewed for scoping the project, identifying concerns and determining future budget requirements.
Phase II-
 Design Scoping Review (DSR) -- Takes place in the year before Preliminary Engineering (PE) is budgeted; or immediately when PE is budgeted, to re-evaluate original scope. May be combined with pre-survey conference.
Phase III-
 Field Inspection Review (FIR) -- Before or during the FIR, all project development and design needs identified in the scoping process must be resolved. The scope should not be changed after the FIR.

Comments:
 1. The form 1048 is to be used in conjunction with the Project Development Manual
 2. The Resident Engineer typically delegates project management responsibilities to other positions based on the type of project and available expertise.
 3. Documentation or Activity sign-off date indicates clearance. All certification boxes require concurrence before project may be advertised. Use N/A if not applicable.
 4. Blanks may be filled in a variety of ways: N/A = Not Applicable
 Check when item complete
 If activity is applicable, show date completed & initial.
 Check "clear" box as each activity is cleared.
 5. ??? = not yet determinable

Activity

Section 1 - Scoping, budgeting and programming	Phase I	Phase II	Phase III	C L E A R	Certification/clearance	
	Implementation to STIP	Design Scoping Review (DSR)	Field Inspection Review (FIR)		Responsible party or reviewer (initial)	Documentation or activity sign-off date
1.01 Existing typical section						
1.02 Proposed typical section						
1.03 Consistent with TIP/STIP <input type="checkbox"/> Public involvement						
1.04 Maintenance input						
1.05 Estimated total Project cost (PE, ROW, Util., Const., etc.)	\$	\$	\$			
1.06 Funding sources/resource allocation (State, Federal, local, etc.)						
1.07 Project finances (ProMIS budget actions and phase obligation)				<input type="checkbox"/>	Resident Engr.	
1.08 Field survey required? <input type="checkbox"/> yes <input type="checkbox"/> no Date requested:		Completed date:		<input type="checkbox"/>	Region Survey Coordinator	
1.09 Design Data (CDOT Form #463)		Preliminary: Date:	Final: Date:	<input type="checkbox"/>	Resident Engr.	
1.10 Request for Design Exception (CDOT Form #464)(Attach to CDOT Form #463)		<input type="checkbox"/> NA <input type="checkbox"/> Applicable	<input type="checkbox"/> NA <input type="checkbox"/> sent	<input type="checkbox"/>	Resident Engr.	
1.11 Project Schedule prepared		<input type="checkbox"/> yes <input type="checkbox"/> no Date:	<input type="checkbox"/> up to date Date:	<input type="checkbox"/>	Resident Engr.	

Section 2 - Environmental	Phase I			Phase II			Phase III	C L E A R	Certification/clearance	
	Implementation to STIP			Design Scoping Review (DSR)			Field Inspection Review (FIR)		Responsible party or reviewer (initial)	Documentation or activity sign-off date
	Yes	No	Check	Yes	No	Check	Status:			
2.01 Route location approval								<input type="checkbox"/>	Region Planning/Environmental Manager (shaded area below)	
a. Major/Intermediate certification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
b. Minor Compliance (CDOT Form #128)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
2.02 Public involvement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
2.03 Alternative modes of transportation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
Travel demand management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
2.04 Section 4(f);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
Section 6(f);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
2.05 Historic clearances	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
2.06 Historic bridges	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
2.07 Archaeology (Effects determination)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
2.08 Paleontology (Effects determination)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
2.09 Floodplains	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
2.10 Farmland protection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
2.11 Wetlands	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
2.12 Division of Wildlife (SB 40)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
2.13 Threatened and Endangered Species	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
2.14 Hazardous waste/hazardous materials	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
<input type="checkbox"/> Contaminated soils	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
2.15 Noise analysis	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
2.16 Air quality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
2.17 401 Certification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
2.18 402 Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
2.19 404 Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
2.20 NPDES Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
2.21 Erosion control	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	Landscape Architect (shaded area below)	
2.22 Landscaping	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
2.23 Seeding				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
2.24 Irrigation systems				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
2.25 Wildflowers				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
2.26 Noxious weeds				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		
aa. Wetlands mitigation				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		

Section 3 - Traffic	Phase I			Phase II			Phase III			CLEAR	Certification/clearance	
	Implementation to STIP			Design Scoping Review (DSR)			Field Inspection Review (FIR) Status:				Responsible party or reviewer (initial)	Documentation or activity sign-off date
3.01 Traffic data (CDOT Form #463 & Title Sheet)				Available? <input type="checkbox"/> yes <input type="checkbox"/> no						<input type="checkbox"/>	Resident Engineer	
3.02 Request/analyze crash data Hazard index:	<input type="checkbox"/> yes	<input type="checkbox"/> no		Status:						<input type="checkbox"/>	Region Traffic	
3.03 Request turning movements from DTD <input type="checkbox"/> Shown on plans				<input type="checkbox"/> yes <input type="checkbox"/> no						<input type="checkbox"/>	Resident Engineer	
3.04 Signal warrants <input type="checkbox"/> On file										<input type="checkbox"/>	Region Traffic	
3.05 Traffic movement diagram: Intersection layout req'd <input type="checkbox"/> yes <input type="checkbox"/> no Interchange layout req'd <input type="checkbox"/> yes <input type="checkbox"/> no				<input type="checkbox"/> requested <input type="checkbox"/> requested						<input type="checkbox"/>	Resident Engineer	
3.06 Intersection/interchange design <input type="checkbox"/> yes <input type="checkbox"/> no	Required?			<input type="checkbox"/> required? <input type="checkbox"/> requested						<input type="checkbox"/>	Resident Engineer	
3.07 Traffic signal plan				<input type="checkbox"/> yes <input type="checkbox"/> no						<input type="checkbox"/>	Project Traffic Engineer	
3.08 Lighting Plan				<input type="checkbox"/> yes <input type="checkbox"/> no						<input type="checkbox"/>	Resident Engineer	
3.09 Permanent signing and pavement marking				Required? <input type="checkbox"/> yes <input type="checkbox"/> no						<input type="checkbox"/>	Project Traffic Engineer	
3.10 Construction traffic control plans (Signing, signals and pavement marking)				<input type="checkbox"/> yes <input type="checkbox"/> no						<input type="checkbox"/>	Project Traffic Engineer	

Section 4 - Structures	Phase I			Phase II			Phase III			CLEAR	Certification/clearance	
	Implementation to STIP			Design Scoping Review (DSR)			Field Inspection Review (FIR) Status:				Responsible party or reviewer (initial)	Documentation or activity sign-off date
	Yes	No	Check	Yes	No	Check						
4.01 Major Structure - bridge	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>	Project Structural Engineer	
4.02 Major Structure - culvert	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>	Project Structural Engineer	
4.03 Major Structure - unusual	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>	Project Structural Engineer	
4.04 Pedestrian overpass/underpass	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>	Project Structural Engineer	
4.05 Architectural/aesthetic treatment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>		
4.06 Foundation investigation and recommendation				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>	Project Structural Engineer	
4.07 Structure selection report				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>	Project Structural Engineer	
4.08 Retaining walls				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>	Project Structural Engineer	
4.09 Noise walls				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>	Project Structural Engineer	
4.10 Analysis of structure to be resurfaced				<input type="checkbox"/> req'd <input type="checkbox"/> requested						<input type="checkbox"/>	Project Structural Engineer	
4.11 Determine existing structural adequacy				OK NA Check <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>						<input type="checkbox"/>	Project Structural Engineer	
4.12 Crashworthy bridge rail				OK NA Check <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>						<input type="checkbox"/>	Project Structural Engineer	
4.13 Vertical clearance of structure				OK NA Check <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>						<input type="checkbox"/>	Resident Engineer	

Section 7 - Agreements, Justifications and Approvals	Phase I			Phase II			Phase III			C L E A R	Certification/clearance	
	Implementation to STIP			Design Scoping Review (DSR)			Field Inspection Review (FIR)				Responsible party or reviewer (initial)	Documentation or activity sign-off date
7.01 Safety rest areas	Yes <input type="checkbox"/>	No <input type="checkbox"/>	??? <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Check <input type="checkbox"/>	Status:	<input type="checkbox"/>	Resident Engineer			
7.02 Detour design	Yes <input type="checkbox"/>	No <input type="checkbox"/>	??? <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Check <input type="checkbox"/>	Status:	<input type="checkbox"/>	Resident Engineer			
7.03 Frontage road design	Yes <input type="checkbox"/>	No <input type="checkbox"/>	??? <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Check <input type="checkbox"/>	Status:	<input type="checkbox"/>	Resident Engineer			
7.04 Railroad design R.R. company _____ R.R. flagging & insurance requirements <input type="checkbox"/> R.R. facilities <input type="checkbox"/> R.R. standards reviewed	Yes <input type="checkbox"/>	No <input type="checkbox"/>	??? <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Check <input type="checkbox"/>	Status:	<input type="checkbox"/>	Resident Engineer			
7.05 Airport/heliport clearances	Req'd? <input type="checkbox"/>	Yes <input type="checkbox"/>	??? <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Check <input type="checkbox"/>	Status:	<input type="checkbox"/>	Resident Engineer			
7.06 Americans With Disabilities Act standards	Yes <input type="checkbox"/>	No <input type="checkbox"/>	??? <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Check <input type="checkbox"/>	Status:	<input type="checkbox"/>	Resident Engineer			
7.07 Bicycle & pedestrian facilities Standards reviewed	Yes <input type="checkbox"/>	No <input type="checkbox"/>	??? <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Check <input type="checkbox"/>	Status:	<input type="checkbox"/>	Resident Engineer			
7.08 Transit accommodations	Yes <input type="checkbox"/>	No <input type="checkbox"/>	??? <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Check <input type="checkbox"/>	Status:	<input type="checkbox"/>	Resident Engineer			
7.09 Safety review (including clear zone decisions)				Applicable <input type="checkbox"/> Yes <input type="checkbox"/> No			Status:	<input type="checkbox"/>	Resident Engineer			
7.10 Resurfacing project safety letter							Date:	<input type="checkbox"/>	Resident Engineer			
7.11 Guardrail/barrier design & review				Need? <input type="checkbox"/>	Yes <input type="checkbox"/>	??? <input type="checkbox"/>	Yes No Check <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>	Resident Engineer			
7.12 Hydraulic design <input type="checkbox"/> Erosion control <input type="checkbox"/> Stormwater quality mangement				Yes <input type="checkbox"/>	No <input type="checkbox"/>	Check <input type="checkbox"/>	Status:	<input type="checkbox"/>	Hydraulics Engr			
7.13 Culverts other than items 617 or 624							<input type="checkbox"/> Justified Status:	<input type="checkbox"/>	Resident Engineer			
7.14 Climbing and passing lanes				Yes <input type="checkbox"/>	No <input type="checkbox"/>	??? <input type="checkbox"/>	Yes No Check <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>	Resident Engineer			
7.15 Stockpass and machine pass				Yes <input type="checkbox"/>	No <input type="checkbox"/>	??? <input type="checkbox"/>	Yes No Check <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>	Resident Engineer			
7.16 Alternate bids				Yes <input type="checkbox"/>	No <input type="checkbox"/>	??? <input type="checkbox"/>	Yes No Check <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>	Program Engr.			
7.17 Consolidated projects							Applicable? <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/>	Resident Engineer			
7.18 Special provisions <input type="checkbox"/> Reviewed by:							Yes No Check <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>	Resident Engineer			
7.19 Consultant selection and contracting process	Yes <input type="checkbox"/>	No <input type="checkbox"/>	??? <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Check <input type="checkbox"/>	Status:	<input type="checkbox"/>	Agreements			
7.20 Entity agreement (local agency, intergovernmental, interagency, public, private) 1. _____ 2. _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	??? <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Check <input type="checkbox"/>	Status:	<input type="checkbox"/>	Agreements			
7.21 Irrigation company agreement 1. _____ 2. _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	??? <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Check <input type="checkbox"/>	Status:	<input type="checkbox"/>	Region Utility Engineer			
								<input type="checkbox"/>				
								<input type="checkbox"/>				

Section 8 - General	Phase I			Phase II			Phase III			CLEAR	Certification/clearance	
	Implementation to STIP			Design Scoping Review (DSR)			Field Inspection Review (FIR)				Responsible party or reviewer (initial)	Documentation or activity sign-off date
8.01 Method of Construction	Yes <input type="checkbox"/>	No <input type="checkbox"/>	??? <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Check <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Date: _____	<input type="checkbox"/>	Region Program Engr.	
8.02 Force account construction method <input type="checkbox"/> CDOT Form #895	Yes <input type="checkbox"/>	No <input type="checkbox"/>	??? <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Check <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Date: _____	<input type="checkbox"/>	Region Program Engr.	
8.03 Reserved												
8.04 Work by State forces	Yes <input type="checkbox"/>	No <input type="checkbox"/>	??? <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Check <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Date: _____	<input type="checkbox"/>	Region Program Engr.	
8.05 Value engineering				Yes <input type="checkbox"/>	No <input type="checkbox"/>	Check <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>	<input type="checkbox"/>	Resident Engr.	
8.06 Stage construction (future capacity considerations)				Yes <input type="checkbox"/>	No <input type="checkbox"/>	Check <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Check <input type="checkbox"/>	<input type="checkbox"/>	Resident Engr.	
8.07 Experimental items				Yes <input type="checkbox"/>	No <input type="checkbox"/>	Check <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Date: _____	<input type="checkbox"/>	Region Program Engr.	
8.08 Mandatory source of materials				Yes <input type="checkbox"/>	No <input type="checkbox"/>	Check <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Date: _____	<input type="checkbox"/>	Resident Engr.	
8.09 Design Scoping Review									Date(s):	<input type="checkbox"/>	Resident Engr.	
8.10 Field Inspection Review <input type="checkbox"/> Combined FIR/FOR									Date(s):	<input type="checkbox"/>	Resident Engr.	
8.11 Design Office Review									Date(s):	<input type="checkbox"/>	Resident Engr.	
8.12 ** Final Office Review									Date(s):	<input type="checkbox"/>	Resident Engr.	
8.13 Design decision letter(s) written? Applicable? <input type="checkbox"/> yes <input type="checkbox"/> no									Date(s):	<input type="checkbox"/>	Resident Engr.	
8.14 Disposal of excess materials off project site							Yes <input type="checkbox"/>	No <input type="checkbox"/>	Date: _____	<input type="checkbox"/>	Resident Engr.	
8.15 Use of materials furnished by a public agency							Yes <input type="checkbox"/>	No <input type="checkbox"/>	Date: _____	<input type="checkbox"/>	Region Program Engr.	
8.16 Proprietary items							Yes <input type="checkbox"/>	No <input type="checkbox"/>	Date: _____	<input type="checkbox"/>	Region Program Engr.	
8.17 ** On-the-job trainee approval <input type="checkbox"/> Force account <input type="checkbox"/> Special reviewed							Yes <input type="checkbox"/>	No <input type="checkbox"/>	Date: _____	<input type="checkbox"/>	Region Civil Rights Manager	
8.18 ** Disadvantaged business enterprise goals							Yes <input type="checkbox"/>	No <input type="checkbox"/>	Status: _____	<input type="checkbox"/>	Region Civil Rights Manager	
8.19 ** Project control data (CDOT Form #859)									Status:	<input type="checkbox"/>	Region Program Engr.	
8.20 ** PS&E approval									Date: Date:	<input type="checkbox"/>	Resident Engr.	
8.21 ** Federal-aid Program Data (CDOT Form #418)										<input type="checkbox"/>	OFMB	
8.22 ** Bid package reviewed, by: <input type="checkbox"/> Region <input type="checkbox"/> FHWA									Date:	<input type="checkbox"/>	Resident Engr.	
8.23 ** Advertisement										<input type="checkbox"/>	Resident Engr.	
8.24 ** PS&E revisions under ad Approved <input type="checkbox"/> Yes <input type="checkbox"/> No									Date:	<input type="checkbox"/>	Resident Engr.	
8.25 ** Re-advertisement										<input type="checkbox"/>	Region Program Engr.	
8.26 ** Estimate reviewed by Engineering Estimates										<input type="checkbox"/>	Engineering Estimates	

** Report status in Phase III column, activity usually falls after FIR.

COLORADO DEPARTMENT OF TRANSPORTATION STANDARDS CERTIFICATION AND PROJECT PLANS, SPECIFICATIONS & ESTIMATE APPROVAL	Project Number	Project Code
	Route Number	STIP Number
	Location	

STANDARDS CERTIFICATION

CDOT Oversight – 23 USC 106 (b) (1), 3R on the Interstate

CDOT Oversight – NHS, Non-Interstate; 23 USC 106 (b) (2) – Non-NHS funding

I certify that this project will meet or exceed the standards approved by the Secretary of Transportation under Section 109 (c) Title 23 of the United States Code, as listed in 23 CFR 625.4, with the exception of any approved variances.

Project Manager	Date
-----------------	------

BUSINESS OFFICE REVIEW

I have reviewed the appropriate project budget and by signing verify that on this date there were sufficient funds for obligation.

Business Manager	Date
------------------	------

PLANS, SPECIFICATIONS & ESTIMATES APPROVAL

In accordance with 23 CFR 630.205, I approve the PS&E on the above project. Please obligate construction funds.

I have reviewed the final set of Plans, Specifications and Estimate for the above project and have determined them sufficient in detail to facilitate the construction and contract control of the project. If this project is constructed by the force account construction method, appropriate affirmative Findings-in-the-Public-Interest are on file. The conditions for authorization to advertise as set forth in 23 CFR 635.309 will be completed prior to advertising.

I find the estimate reflects the anticipated cost of the project in sufficient detail to provide a prediction of financial obligations incurred by CDOT and FHWA.

The construction * cost estimate for this project is less than the project budget.

The construction * cost estimate exceeds current budget, the additional source of funding to cover the estimate is:

<input type="checkbox"/> Pool	Type of funds	_____	\$ _____
<input type="checkbox"/> Project	Project code	_____	\$ _____
<input type="checkbox"/> Other	Source	_____	\$ _____

*Total construction cost estimate for this project is: \$ _____

* Construction phase only (NOT TOTAL)

Program Engineer	Region	Date
------------------	--------	------

Previous editions are obsolete and may not be used CDOT Form #1180 4/06

Instructions: Use this form for all projects that do not require FHWA approval or oversight of PS&E. (See Stewardship Agreement.)

Distribution: Original to Region Business Office then to Office of Financial Management and Budget (Federal Funds Manager)
Copies to Project file and FHWA (NHS projects)

{PRIVATE } COLORADO DEPARTMENT OF TRANSPORTATION {PRIVATE } CONTRACT FUNDING INCREASE/DECREASE AND APPROVAL LETTER Region: Complete section 1 and submit to CDOT Controller's office.				AUTHORITY: State Controller Policy letter on June 12, 1996 CDOT Controller letter on May 23, 1996.				
{PRIVATE } This form to be used for the following contracts/situations only (check the appropriate situation): ___ indefinite quantity, order more/add more ___ utility/railroad, underestimated total cost ___ CDOT construction, sum of CMO's ___ LA construction, underestimated cost ___ CDOT construction, underestimated total cost ___ CDOT consultant, underestimated cost								
SECTION 1 (Region use)								
{PRIVATE } Date:						Project code		
To: CDOT Controller (FAX #(303) 757-9573 or e-mail CONTROLLER)						Project #		
{PRIVATE } From:		Office:			Phone #		FAX #	
Region #								
{PRIVATE } CDOT has executed a contract with: Address:								
{PRIVATE } FEIN #			Contract routing #			COFRS encumbrance # (indicate PO, SC or PG #)		
{PRIVAT E } Fund	Orgn.	Appro.	Prgm.	Func.	Object/Sub-obj N/P	GBL	Reporting Catg.	Proj/Sub/Phase
{PRIVATE } Original contract amount \$				Has a Budget Request been processed to cover the contract amount increase? ___ yes ___ no				
Previous Funding Letter(s) total \$ (Funding letter #1 thru #)				Preparer's name PHONE NO:				
This Funding Letter total \$ (#)				Contract Administrator's/Business Manager's Approval PHONE NO:				
Adjusted contract amount \$				CDOT Designee Approval				
				Local Agency approval				
{PRIVATE } SECTION 2 (Controller's Office use)								
{PRIVATE } Total allotment amount \$				Commission budget \$				
{PRIVATE } If construction: CE pool elig.		CE charges \$		Indirect chgs \$		Adjusted contract amount plus total CE & indirect charges calculation \$		
{PRIVATE } I have reviewed the financial status of the project, organization, grant and have determined that sufficient funds are available to cover this increase, effective as of								
{PRIVATE } State Controller or Delegee						Date		

COLORADO DEPARTMENT OF TRANSPORTATION FINAL MATERIALS DOCUMENTATION CHECKLIST, (PROJECT CLOSURE)			
Project no. FBR 0404-050		Contract ID C18180	Acceptance Date 03/29/2022
Project Location US 40 Over Sand Creek			Region 4
Contractor All Contractors, Inc.		Project Engineer John Doe	Resident Engineer Jane Doe
<input checked="" type="radio"/> Project Basis <input type="radio"/> System Basis		<input checked="" type="checkbox"/> Progress Estimate number:	03/09/2022 (latest issued)
In order for materials documentation to be complete, the following items need to be checked 100%: <input checked="" type="checkbox"/> Final Quantities between Progress Estimate and CDOT Form 250 agree. (If different, it is noted) <input checked="" type="checkbox"/> Field Sheet/Serial number(s) on CDOT Form 250 match project documents, of the item(s) checked. <input checked="" type="checkbox"/> Tests required and tests reported on the Form 250 agree. (If different, it is noted.)			
yes	no		
<input checked="" type="checkbox"/>	<input type="checkbox"/>	If IA tests are involved, Field Sheet/Serial number(s) on CDOT Form 379 match project documents and all test(s) agree with field acceptance tests, and if applicable, shortages and exceptions are explained.	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Ensure the correct number of tests on the CDOT Form 379.	
<input type="checkbox"/>	<input type="checkbox"/>	IA Witness tests did not exceed 20% of actual testing, for each test element.	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Independent (IA)/Acceptance (QA)/Check Test differences are explained.	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Form #250 signed by the Project Engineer and the Form 379 has Final Approved by signature of the Region Materials Engineer and Project Review by signature of the Project Engineer.	
NOTE: The following materials records are required to be attached to complete the finals materials documentation process, if applicable for this project:			
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Letters, CMOs, MCRs, field sheets, etc. if used as the primary documentation within the Explanation of Exceptions	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Progress Estimate (latest issued)	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Random Sample Schedule	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Price reduction calculations.(with supporting documentation)	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	QC/QA Data for Item: 403 . (reference applicable Items)	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Buy America Certificate, for steel products, All individual certifications + each monthly summary report included.	
<input type="checkbox"/>	<input type="checkbox"/>	Evaluation of Materials Testing, Form 1324 (per CP 16).	
Review notes: All documents required were included in the project files and in the final documentation packet. CDOT Form 473. Explanation of Exceptions was used as required. The file is being forwarded to the Finals Materials Documentation Coordinator.			
This is to certify that the review of the materials documentation indicates the documentation is complete and accurate.			
Name (Printed) Tim Doe		Name (signed)	Title: EPST III Date: 03/09/2022

Distribution: Previous editions are obsolete and may not be used. Page 1 of 2 CDOT Form #1199 03/2022

- Resident Engineer, (included with Project Final Documentation)
- Project Engineer
- Region Materials Engineer
- Region Finals Engineer
- FHWA (Oversight Projects Only)
- Documentation Unit, Materials & Geotechnical Branch

COLORADO DEPARTMENT OF TRANSPORTATION FINAL ACCEPTANCE REPORT FOR LOCAL AGENCY PROJECTS		Project No.:	Federal Oversight: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
		Project Code (SA#):	County:
Contractor's Name:	Location:	Original Contract Amount: \$ 0.00	
Description of Improvement as Advertised:			
Inspection Date:	Acceptance Date:	Percent Time Elapsed: 0.00 %	Original Contract Time: days
<p>Checklist--Verify the following items as complete and/or correct:</p> <ul style="list-style-type: none"> <input type="checkbox"/> The project has been completed in reasonably close conformity with the Contract Plans and specifications including authorized changes. <input type="checkbox"/> The Form 473LA - Letter of Materials Certification has been completed <input type="checkbox"/> The project right-of-way appears to be free of unauthorized encroachments. <input type="checkbox"/> The completed project has been reviewed for obvious safety deficiencies. <p>Select one of the following:</p> <ul style="list-style-type: none"> <input type="checkbox"/> 1.The project did not include work on bridges or culverts with a span(or diameter)>=4',tunnel, walls over 4' high,traffic signal structure and/or overhead sign structure.(Stop, if selected) <input type="checkbox"/> 2. The project included work on bridges or culverts with a span (or diameter) >= 4', tunnel, walls over 4' high, traffic signal structure and/or overhead sign structure. <p>If you selected 2 above confirm the following:</p> <ul style="list-style-type: none"> <input type="checkbox"/> All Structures: The Local Agency's Licensed Engineer in Responsible Charge of Construction(EIRC) has conducted a final inspection (walk-through of all structures on this project and determined the work is in reasonably close conformity with the plans and specifications. (The Engineer of Record is an acceptable substitute for the EIRC). Supporting documentation shall include any structure related items to be addressed along with photos and date of inspection. <input type="checkbox"/> Bridge/Culvert>20' long or Tunnel: The CDOT Bridge Structure Inspection and the Asset Management Engineer has been contacted for required NBIS/NTIS inspections. <p>See Bridge Design Manual(Policies & Procedures,P3:Staff Bridge Managed Structural Assests) for definitions.</p> <p>Remarks:</p>			
Name: Title:		Date:	

Previous editions are obsolete and may not be used

CDOT Form 1212 LA 02/22

Distribution:

- | | |
|--------------------------|--|
| FHWA (Original) | Local Agency (if a Local Agency Project) |
| CDOT Projects and Grants | Staff Bridge Asset Management Engineer |
| Projectwise | Staff Bridge Region Unit Leader |
| Finals Engineer | Staff Bridge Portfolio Manager |
| Resident Engineer | |

COLORADO DEPARTMENT OF TRANSPORTATION SUBMITTAL OF NEW SPECIFICATION OR SPECIFICATION CHANGE		Log No. (Assigned by Standards and Specifications Unit) [Redacted]
TO: Standards & Specifications Unit Project Development Branch		FROM: [Redacted] (Region, Branch or Technical Committee)
SPECIFICATION SECTION NO. [Redacted]	ITEM [Redacted]	Priority Routine <input type="checkbox"/> Fast <input type="checkbox"/>
Reason for this new or changed specification: [Redacted]		
New or Revised Specification: [Redacted]		
NOTE: See Procedural Directive 513.1 for a description of appropriate specification development procedures.		

CDOT Form 1313 – Consultant Monthly Invoice Cover Sheet

<https://www.codot.gov/library/forms/word-forms/cdot1313.xls/view>

CDOT Form 1381 – Proprietary Item – Certifications or Finding in the Public Interest

<https://www.codot.gov/library/forms/cdot1381.pdf>

CDOT Form 1413 – Bidders List

<https://www.codot.gov/library/forms/cdot1413.xlsx/view>

CDOT Form 1414 – Anticipated DBE Participation Plan

<https://www.codot.gov/library/forms/cdot1414.xlsx/view>

CDOT Form 1415 – Commitment Confirmation

<https://www.codot.gov/library/forms/cdot1415.xlsx/view>

CDOT Form 1416 – Good Faith Effort Report

<https://www.codot.gov/library/forms/cdot1416.xlsx/view>

CDOT Form 1418 – Monthly Payment Summary

<https://www.codot.gov/library/forms/cdot1418.pdf/view>

CDOT Form 1419 – DBE Participation Report

<https://www.codot.gov/library/forms/cdot1419.xlsx/view>

CDOT Form 1420 – DBE Participation Plan Modification

<https://www.codot.gov/library/forms/cdot1420.xlsx/view>

CDOT Form 1425 – Supplier List

<https://www.codot.gov/library/forms/cdot-1425-supplier-list/view>

FHWA Form 1273 - Required Contract Provisions, Federal-Aid Construction Contracts

<http://www.fhwa.dot.gov/programadmin/contracts/1273/1273.pdf>

FHWA Form 1391 – Annual EEO Report, FHWA

<https://www.codot.gov/library/forms/fhwa-other-forms/form1391.xls/view>

FHWA Form 1391 Instructions – Annual EEO Report, FHWA

<https://www.codot.gov/library/forms/fhwa-other-forms/fhwa1391.pdf/view>

Appendix B Miscellaneous

Appendix B presents documents that a Local Agency may need to reference in the lifetime of a project.

Appendix B also presents an example letter and facsimile transmittal notification for the Preconstruction Conference. It includes an example Preconstruction Conference Agenda to assist in facilitating the meeting. The example presents a minimum set of topics that should be discussed during the conference; however, not all topics will be covered for every project in every Region. Prior to its use, thoroughly read the content of the agenda and consider the special needs of a particular project and specific Region. Contact the CDOT Project Manager or Resident Engineer for additional information. The *CDOT Construction Manual* contains examples of other conference agendas.

The documents in this appendix, listed in the order they are first mentioned in the text, are:

DOCUMENT	PAGE NO.
FHWA Letter and Memo titled "State Oversight of Local Federal-Aid Projects	B-3
STIP Example	B-5
Federal Funding Categories, Project Prefixes and Crosswalk	B-6
State Funds Crosswalk	B-7
LA Requirements for Electronic Records & Electronic Signature Requirements .	B-8
LA Professional Services B2GNow Contract Setup Information	B-9
Procedural Directive 21.1, <i>Reqmts for Capital Engineering Program Records</i> ..	B-11
Procedural Directive 400.1, <i>Obtaining Professional Consultant Services</i>	B-17
Division of Project Support, Memo 2016-1, <i>Consultant Waiver Request</i>	B-21
Right-of-Way Certification Letters *	B-22
Utility Clearance Certification Letter *	B-24
LA Specification Review Checklist	B-25
Procedural Directive 508.1, <i>Reqmts for Use of Professional Engineer's Seal</i> ..	B-29
Local Agency Bridge Project Checklist	B-38
Final Design Submittal Checklist (Bridge).....	B-39
Concurrence (NTP) to Advertise (From CDOT to Local Agency) *	B-40
Concurrence to Award (From CDOT to Local Agency) *	B-42
Project Financial Statement and Schedule Review*	B-43
Construction Oversight Checklist	B-44

Notice of Award (From Local Agency to Contractor) *	B-45
Preconstruction Conference Notification (Letter and Facsimile)	B-46
Notice to Proceed (From Local Agency to Contractor)	B-48
Preconstruction Conference Agenda	B-49
https://www.codot.gov/business/designsupport/bulletins_manuals/construction-manual	
Local Agency Billing Package *	B-72
Transmittal Letter	B-72
Letter of Final Billing with Backup	B-73
Voucher Request (CDOT Form 995)	B-77
Example Region Cover Sheet	B-78
Letter of Materials Certification *	B-79
EEO Certification Acceptance Letter *	B-80
Construction Inspection Qualification Program – CDOT Policy Memo 25	B-81
Construction Inspection Qualification Program – CDOT Policy Memo 25a	B-83
Final Project Acceptance Letter	B-84
Bulletin Board Requirements and Checklists	B-85
http://www.fhwa.dot.gov/programadmin/contracts/poster.htm	
Traffic Control Review Form	B-88
[See CDOT Construction Manual Appendix B, Page 110.]	
http://www.dot.state.co.us/DesignSupport/ConstructionManual/Construction%20Manual%20Revisions%202004/Index%20for%20Revised%20Sections.htm	
End Date Extension Request Policy and Procedure Guide	B-91
Professional Services Closeout Report	B-91

* = Copy to CDOT's electronic document management system (ProjectWise Explorer) per CDOT Procedural Directive 21.1

5 5th Copy JAH/TJH/AV/CDL/D.

cc. Mauer
Cramer
Merriman
Smith



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

Region Eight

Colorado Division
555 Zang Street, Room 250
Lakewood, Colorado 80228

May 16, 1995

Mr. Guillermo "Bill" V. Vidal
Executive Director
Colorado Department of Transportation
Denver, Colorado 80222

Re: State Oversight of Local
Federal-Aid Projects

Dear Mr. Vidal:

Attached is a copy of Mr. William Weseman's May 2 memorandum concerning State oversight of local Federal-aid projects.

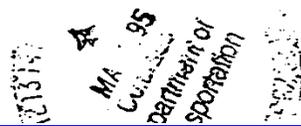
As noted in the last paragraph of the memorandum, the State can delegate authority, but not responsibility, to local entities that have the capability to perform delegated tasks. This is consistent with modifications presently being made to the CDOT/FHWA Stewardship Plan that address the local entity issue. We will continue to work with CDOT to delegate authority to the local entities that have the capabilities to perform the work.

If you have questions concerning this information, please contact Chuck Boyd at 969-6730, extension 372.

Sincerely yours,

George H. Osborne
Division Administrator

Attachment





U.S. Department
of Transportation
Federal Highway
Administration

¹¹¹⁰
Memorandum

Subject: **INFORMATION:** State Oversight of Local
Federal-Aid Projects

Date: MAY 2 1985

From: Director, Office of Engineering

Reply to
Attn. of: HNG-12

To: Regional Federal Highway Administrators

As States continue to deal with reductions in their staff resources, questions have arisen as to the appropriate level of State involvement in many of the activities associated with project development and construction of local Federal-aid projects. This office has provided advice as follows.

The Federal-aid highway program is a federally assisted State program. The State highway agency is the recipient of the Federal assistance and is responsible for administering the program. Title 23, U.S.C., does not recognize local entities as direct recipients of Federal-aid funds. Accordingly, local agencies cannot take the place of the State highway agency in the context of the Federal-aid highway program. The State highway agency is responsible for all requirements of the Federal-aid program whether these requirements stem from Title 23 or non-Title 23 statutes. The program efficiencies initiated by ISTEA allow the States to assume additional responsibilities for the program but do not authorize a State to pass these additional responsibilities to local entities.

Even though a State cannot delegate responsibility, they can delegate authority and make the local entities accountable to them. However, the local entities should not be delegated authority beyond their capability or for those things that would be in the best interest of the State to retain.

William A. Weseman

CDOT		COLORADO		FY2021 - FY2024 STIP										
Region		Department of Transportation		STIP Project Listing - Complete Project Listing										
											(Dollars in 1000's)			
Region	STIP ID	STIP ID Description	STIP WBS ID	STIP WBS Description	Funding Program	Fund Source	Fund Type	STIP Phase	2021	2022	2023	2024		
01	SDN6678	Region 1 Rockfall Mitigation Pool	SDN6678.007	SH74: Morrison to Evergreen	RFM	S	SHF	C	277					
	SDR5055	US 85: C-470 to Castle Rock	SDR5055.999	US 85: C-470 to Castle Rock	RPP	S	SHF	C	657					
	SDR6744	Region 1 CMAQ Pool	SDR6744.052	Denver CCTV Network Upgrade	CDR	F	AQC	C		21				
			SDR6744.057	CDOT R1 Traffic Adaptive Feasibility Study	CDR	F	AQC	M	470					
			SDR6744.058	Arvada Traffic Signal Interconnect upgrade/Expansion	CDR	F	AQC	C	619					
			SDR6744.063	Parker / Quincy Smoky Hill Intersection Improvements	CDR	F	AQC	C			3,044	2,000		
						L	L	C	640		1,627	1,000		
			SDR6744.064	Inverness Dr West Separated Bikeway	CDR	F	AQC	C	2,382		1,111			
						L	L	C	1,618		809			
			SDR6744.065	Dry Creek Rd Oper Imp: EB Lane (I-25 to Inverness Dr East)	CDR	F	AQC	C	1,000		1,665			
						L	L	C	720		416			
			SDR6744.066	SH-79 and I-70 Interchange Eastbound Ramp Improvements	CDR	F	AQC	C	800					
						L	L	C	900					
					RPP	S	SHF	C	250					
			SDR6744.067	I-76/Baseline Rd. Interchange Signalization	CDR	F	AQC	C	200		1,200			
						L	L	C	50		150			
					RPP	S	SHF	C			150			
			SDR6744.068	Havana St. Transit Improvements: Montview Blvd. to Dartmouth	CDR	F	AQC	C	540					
						L	L	C	117					
			SDR6744.069	I-25 and Dry Creek Rd. SB On-Ramp Operational Improvements	CDR	F	AQC	C	1,000	380				

Federal Funds Crosswalk													
Federal Program Funding 2022													
Formula Funding													
STIP Fund Type	Prefix	Fund (Budget)	Program	Infrastructure Investment & Jobs Act	Fixing America's Surface Transportation Codes (FAST)	Federal Participation Regular or NHS Highway %	Federal Participation Interstate Highway %	Program Type	SAP Program Pool(s) Typically Associated	Typical Match	Older FAST Codes	Older MAP-21 Codes	
National Hwy Performance Program (NHPP)													
NHPP	NHPP	400	National Hwy Performance Program	Y001	Z0E1	82.79	91.21	Flexible	SUR, RPP, HOT, CBP, CWP, CTP, CCP, BAP, BTP, BBP, BWP, BCP, SAE, SGN, ITI, ADA, PWQ, 10A, 10C, 10M	State	2001	M001/M0E1	
		400	National Hwy Performance Program/Exempt Protective Features	Y002 (DAF use only) Y008	Z0E2 (DAF use only)					State	2002	M002/M0E2	
Surface Transportation Block Grants (STBG)													
STBG	STB	400	STBG Program - Areas with Population 5K to 49,999	Y237	Z2E1	82.79 (SAR 80%)	91.21 (SAR 80%)	Flexible	SUR, RPP, HOT, CBP, CWP, CTP, CCP, BAP, BTP, BBP, BWP, BCP, SAE, SGN, ITI, SAR, ADA, PWQ, 10A, 10C, 10M	State	2231	M231/M2E1	
		400	STBG-Mandatory Non-Urban <5,000	Y238	Z2E2						2232	M232/M2E2	
		400	STBG-Any Area (Flexible)	Y234	Z2E4 (Consult OFHB)					State	2234		
		400	STBG-Any Area (Flexible)	Y240	Z24E						2240	M240/M24E	
		400	STBG Program - Areas with Population 50K to 200K	Y236	Z2E1								
STBG	STU	400	STBG- Urban over 200,000	Y230 (MNF can use new code)	Z23E (MNR and MPP continue use old code until gone)	82.79 (MDS 80%)	91.21(MDS 80%)	Inflexible	MDR, MPP, MNF, MDR	Local	2230	M230/M23E	
		400	Off-System Bridge - STBG Suballocation	Y233 (DAF use only unless for BIO)	Z2E3	80	80	Inflexible	BIO (State Match)	State	2233	M233/M2E3	
STBG	BRO	400	Bridge Formula Program Off-System	Y120	Z2E3	80 (up to 100% with permission from Bridge Unit)	80	Inflexible	BRO (Local Match)	Local			
		400	PROTECT Program	Y800		80	80	Inflexible	PRT	State			
PROTECT													
PRT		400	PROTECT Planning	Y810		80	80	Inflexible		State			
Bridge Formula Program													
STBG		400	Bridge Formula Program	Y110		82.79	91.21	Inflexible	BFP	State			
Transportation Alternatives Program (TAP)													
TAP	TA	400	Transportation Alternatives Program (TAP) Any Area	Y300	Z30E	80 or 82.79 (changed in 2019)	80 or 82.79 (changed in 2019)	Inflexible	TAP	Local	2300	M300/M30E	
		400	TAP-5,000 and under	Y308	Z3E3						2303		
		400	TAP- Areas with Population 5K to 49,999	Y307	Z3E2						2302		
		400	TAP Areas with Population 50K to 200K	Y306	Z3E2						2302		
		400	TAP-Urban > 200,000	Y301	Z3E1						2301	M301/M3E1	
Carbon Reduction Program													
CRP		400	Carbon Reduction Program Any Area	Y600		82.79	82.79	Inflexible	6CR	State		M300/M30E	
		400	CRP - Areas with Population 5K to 49,999	Y607									
		400	CRP Areas with Population 50K to 200K	Y606						6CB, 6CC, 6CE, 6CL	Local		
		400	CRP-5,000 and under	Y608						6CR	State		M303/M3E3
CRP		400	CRP-Urban > 200,000	Y601					6DR, 6PP, 6NF	Local		M301/M3E1	
		400	Congestion Mitigation and Air Quality (CMAQ)	Y400	Z40E	82.79+*	82.79+*	Inflexible	CMA, CPP, CDR, CNF, CLF, CQ	Local	2400	M400/M40E	
Highway Safety Improvement Program (HSIP)													
HSIP	SHE (or SHO local)	400	Highway Safety Improvement Program	Y530	Z53E	90	90	Inflexible	HAZ, HLZ (local)	State/Local	2530	M530/M53E	
		400	Section 154 Penalty	Y531 (DAF use only)	Z5E1 (DAF use only)						2531		
		400	Section 164 Penalty	Y532 (DAF use only)	Z5E2 (DAF use only)	2532							
		400	High Risk Rural Roads	Y560	Z56E (Per Safety)	2560							
		400	Vulnerable Road User Safety Special Rule	Y570							2570		
Rail Road Crossings (Section 130)													
RRX	RRX	400	Railway Highway Elimination of Hazards	Y540	Z54E	90	90	Inflexible	RRC (formerly Railroad Crossing - Grade Separated)	State	2540	M540/M54E	
National Highway Freight Program (NHFP)													
NHFP	NHFP	400	National Highway Freight Program (NHFP)	Y460	Z46E	82.79	91.21	Inflexible	FRB	State	2460		
NHFP	NHFP	400	Freight Intermodal & Rail Projects	Y470 (DAF use only)	Z47E (DAF use only)					State	2470		
Planning and Research													
SPR	SPR	400	State Planning and Research-Map-21 "Planning"	Y550	Z55E	80**	80**	Inflexible	SPR	State	2550	M550/M55E	
SPR	SPR	400	Research, Development & Tech Transfer "Research" Safe and Accessible Transportation Options - SPR	Y560	Z56E					State	2560	M560/M56E	
Metropolitan Planning													
MPL	SPR-PL	400	Metropolitan Planning - Highways Safe and Accessible Transportation Options - Metropolitan Plan	Y450	Z45E	82.79	82.79	Inflexible	MPH, MPT	Local	2450	M450/M45E	
MPL	SPR-PL	400	Metropolitan Planning - Transit	Y410	Z41E					State	M450/M45E	M450/M45E	
Highway Infrastructure Program and COVID Relief													
G (DAF Use Only)	STB	400	STBG-Any Area >5,000 & <200,000	3AA/Q20/H200/L200/	Z920 (DAF use only)	82.79	91.21	Flexible	TBD	State	Z906 (DAF use only)		
		400	STBG-Mandatory Non-Urban <5,000	33E/Q25/H250/L250/	Z921 (DAF use only)						TBD	State	Z907 (DAF use only)
		400	STBG-Any Area (Flexible)	33D/Q24/H240/L240/	Z918 (DAF use only)	TBD	State	Z904 (DAF use only)					
		400	STBG - Urban over 200,000	33C/Q23/H230/L230/	Z919 (DAF use only)	TBD	Local	Z905 (DAF use only)					
		400	Bridge Replacement & Rehabilitation	2910	Z922 (DAF use only)	82.79	91.21	Flexible	TBD	State	Z913 (DAF use only)		
		400	COVID Supplemental Any Area - PARENT CODE	2910		100	100	Inflexible	PAN	State			
		400	COVID Special Authority Any Area - SUBCODE	2911*	see foot notes	100	100	Inflexible	PAN	State			
		400	COVID Supplemental > 200,000 - PARENT CODE	2972		100	100	Inflexible	PDR, PNF, PPK	Local			
		400	COVID Special Authority > 200,000 - SUBCODE	2973*	see foot notes	100	100	Inflexible	PDR, PNF, PPK	Local			
		400	Competitive Grants Program	2924		100	100	Inflexible	DIS	None			
400	Regional Infrastructure Accelerator Demonstration Program	2925		100	100	Inflexible	DIS	None					
400	National Network Pilot Program	2926		100	100	Inflexible	DIS	None					
400	National Scenic Byway Program	2927		100	100	Inflexible	DIS	None					
Discretionary and Misc Programs													
		400	Recreational Trails	Y940 (YR10 FMIS Only)	Z94E	80	80	Inflexible	RCT		2940		
		400	Recreational Trails Administration	Y941 (YR20 FMIS Only)	Z9E1	80	80	Inflexible	RCT		2941		
		400	Redistribution of Certain Authorized Funds	Y030 (DAF use only)	Z03E (DAF use only)	82.79*	91.21*	Flexible	DAF use only	State	2030	M03E	
		400	Local Technical Assistance Program	H890/4380/438E	Z441	50	50	Inflexible	PRI	State	M4E8	M4E8	
		400	DBE & OJT Supportive Services	Y290	Z480/Z490	100	100	Inflexible	CRI	State	M48E/M49E	M48E/M49E	
		400	High Priority Projects Sec 117	H720/LY20	H720/LY20	80	80	Inflexible	SAI, MOB, 7PE	State	HY20/LY20	HY20/LY20	
		400	Transportation Improv Prj Earmarks	LY30	LY30	82.79	91.21	Inflexible		State	LY30	LY30	
		400	National Regional Significance Proj	LY40	LY40	80	80	Inflexible		State	LY40	LY40	
		400	National Corridor INF Imp Program	Q6440/H640/LY50	Q6440/H640/LY50	80	80	Inflexible		State	Q6440/H640/LY50	Q6440/H640/LY50	
HPP		400	Public Lands Hwy	18E0F130	F13E	100	100	Inflexible		State	F13E	F13E	
		400	Section 112 High Priority	LY60	LY60	100	100	Inflexible	DIS, GRN	State	LY60	LY60	
		400	Section 129 Earmarks	LY90	LY90	100	100	Inflexible		State	LY90	LY90	
		400	Section 115 (DEMO)	H170	H170	100	100	Inflexible		State	H170	H170	
		400	Section 117 Grant Sup Plan	H660	H660	100	100	Inflexible		State	H660	H660	
		400	STIC	237F		100	100	Inflexible	HQJ	State	237E		
		400	Benchmarking of Transportation Sector GHG Emissions	237K		100	100	Inflexible	SPR	State			
		400	SHRP2	M770		100	100	Inflexible	HQJ	State			
		400	Work Zone Data Exchange Demonstration (WZDX)	T120		80	80	Inflexible	HQJ	State			
		400	FASTLANE/INFRA	Z430		TBD	TBD	Inflexible	DIS	State			
EVP		400	BUILD	B0C6		TBD	TBD	Inflexible	DIS	State			
		400	BUILD	B0C3		TBD	TBD	Inflexible	DIS	State			
		400	TIGER	T1DG		TBD	TBD	Inflexible	DIS	State			
		400	Projects in Rural Areas	Y239		80	80	Inflexible		Local / State	2233	M233/M2E3	
EVP		400	Air Force Transporter Erector System Route Defense Access Roads	83UD		TBD	TBD	Inflexible	DIS	State			
		400	National Electric Vehicle	Y130		82.79	91.21	Inflexible	EVP	State/Local			
		400	NHS Bridge Penalties	Y510		80	80	Inflexible		State			
400	Interstate Pavement Condition Penalties	Y530		80	80	Inflexible		State					
EMERGENCY RELIEF													
ER	ER	400	Emergency Relief	09J0/09Q0/09T0/09V2/ER14	ER10/ER90/ER11/ER12/ER14	100 for ER 82.79 for PR	100 for ER 91.21 for PR	Inflexible	EHR, E15	State/Local	ER90/M9V0/FABIM9VE	ER90/M9V0/FABIM9VE	

* Fed Participating Rate increased to 91.21% if used on Interstate System except for adding lanes that are not HOV or auxiliary lanes
 ** Federal Participating Rate increased to 100% if used on Planning with other State Cooperation
 * Fed Part Rate increased to 100% if rural/corridor/lanes
 * COVID Relief "special" subcode to be used for items that would not normally qualify for STBG funding. For items that would be eligible, use the parent code.

State Funds Crosswalk		
State Program Funding updated 10/2021		
Program	State Appropriation Codes	Pool(s) Associated
Aeronautics	FAB402	AER
State HUTF (Normal State Funding)	FAB402	Eligible for most programs
Bustang Outrider	FAB411	BOP
FASTER Safety	FAB411	FSA,STL, some Asset Management Projects
FASTER Transit and Rail	FAB480	TRG
FASTER Bridge Enterprise	FAB538	SSR
FASTER Bridge Enterprise Loan	FAB540; FAB541	SSR (DAF use only)
Bridge Enterprise Bonds	FAB542; FAB544	Obsolete
Capital Construction	AB464, FAB465, FAB469 through FAB4	DAF Use Only
7th Pot Bond Funds	FAB420 through FAB438	OFMB Use Only
Senate Bill 228	FAB414	Obsolete
Senate Bill 1	FAB415	SB1
I-25 Segment 3 Loan	FAB510	HPTE Use Only
C470 Bond Proceeds	FAB511	HPTE Use Only
I-70 PPSL Loan	FAB534	HPTE Use Only
Senate Bill 97-1	FAB463	Obsolete
House Bill 1310	FAB466	Obsolete
Senate Bill 19-262	FAB262	262
MMOF - state funds only		Local MMOF Pgm: MDF, MDT (DTR
MMOF combo project pool	FAB417 (yr 1, SB2019-125, use these	MMM (Fund 400 - for combo projects)
Revitalizing Main Streets - RMS		MTT - only for the \$4.1375M from SB18-01
Senate Bill 17-267 year 1 [DNU]	FAB416	7PX, 7PT - (267 transit) - 1st Issuance
Senate Bill 17-267 year 2 [DNU]	FAB418	7PX, 7PT - (267 transit) - 2nd Issuance
Senate Bill 17-267 year 3 [CURRENT]	FAB453	7PX, 7PT - (267 transit) - 3rd Issuance
Senate Bill 17-267 year 4 (pending)	FAB454	7PX,7PT - (267 transit) - 4th Issuance
Senate Bill 17-267 interest	FAB455	7PX,7PT - (267 transit) - Interest
Settlement Funds	FAB439	STF
Transportation Services for Vulnerable Populations and Seniors	FAB476	TSV
Local Funded Only	Varies based on the local agency	LOM
Senate Bill 260 - American Rescue Plan	FAB260F	ARPA SHF: 7TH, SHV SMS (OFMB limited use, by direction only)
	FAB260FB	Burnham Yard project only
	FAB260FR	RMS
	FAB260M	MDC (Local MMOF Program), MSC (State MMOF Program)
Senate Bill 260 - General Funds (HUTF)	FAB260S	Stimulus Projects: SHV
		FSA (OFMB limited use, by direction only)
Safer Main Streets (SMS)	FAB1283	FY21 State Stimulus Funds (\$30M): SMS



Local Agency Requirements for Electronic Records and Electronic Signatures Requirements
(April 2022)

	Electronic Record (Preferred)			Paper Record
	Electronic Signature		Scanned Record	Original with Wet Signature
	Type I Signature	Type II Signature		Copy
Definition	Law or regulation that dictates requirements Governed by the Bylaws and Rules of the Colorado State Board of Licensure for Architects, Professional Engineers, and Professional Land Surveyors or the Department of Personnel & Administration, Office of the State Controller Includes an attached digital authentication process that uses public key infrastructure or signature dynamics technology (encryption) Unique to the person, capable of verification, under the individual's sole control, and linked so changes invalidate the electronic signature	Virtual fingerprint that is unique to a person or entity and used to identify the signer	Scanned copy of an Original record or a copy of a record in PDF or another format	Document with a signature by a person who physically marks a document using a pen Copy Reproduction of the original paper record Scanned copy of an original paper record Printed copy of an electronic record (Invalidates the electronic signature)
Record Type	Required on these electronic records: <ul style="list-style-type: none"> Professional Engineer Seal Professional Land Surveyor Seal Change Orders Notary Agreements and Contracts with CDOT (including MOUs and MOAs) 	Any electronic record not requiring a Type I signature may use Type II signature	A paper record may be scanned and becomes a copy A scanned record that requires a Type I signature or an original wet signature becomes an electronic copy	Original Paper Records that include a P.E. Seal, P.L.S. Seal, Change Orders, and notarized signatures require an original wet signature. A copy or scanned copy of these records is not an acceptable Original Record
Software	A particular software is not specified for Type I signatures Examples of software that meets the requirements - DocuSign and AdobeSign Examples of software that <u>DOES NOT</u> meet requirements - Adobe DC Pro and Blue Beam	Any electronic signature software Examples of software include Adobe DC Pro, Blue Beam, DocuSign, and Adobe Sign	Electronic records with a Type I signature will contain only Type I electronic signatures. Do not mix Type I signatures with Type II signatures or wet signatures.	

These requirements only apply to Local Agency staff and do not apply to CDOT staff.
 Contact the Local Agency Coordinator or the Local Agency Area Engineer if there are questions about this guidance.

LocalAgency

Local Agency Professional Services B2GNow Contract Setup Information

**** Local Agencies—please fill this form and send it to the Civil Rights and Business Resource Department: Mohamed.benjelloun@state.co.us and Karen.fujii-martin@state.co.us.**

Project Contact Information:

CDOT:

Project Engineer Name(s):		
Email(s):		
Phone Number(s):		

Local Agency Contact:

Local Agency:			
Local Agency Project Manager Name:			
Email:			
Phone Number:			

Prime Consultant Contact:

Company Name(s):			
Consultant's Name(s):			
Consultant Address:			
Email(s):			
Phone Number(s):			

<u>Submittal Information:</u> Name Submitting: Agency: Date of Submittal:	<u>Office Use Only:</u> B2GNow Master Contract: L33 1 _____ LCRTracker set up (construction, CMGC, DB): ____
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Local Agency Professional Services B2GNow Contract Setup Information

The contact information will be the person that will have access and/or will track and monitor the contract in the B2GNow system. The contact from the Prime will be adding the subconsultants, vendors/suppliers to the system. The Prime and Local Agency contacts will track and monitor the DBE participation to assist in ensuring the DBE goal is met. They will also ensure that payments and audits comply with prompt payment.

Required B2GNow Information for Local Agency Contracts:			
Contract Name:			
Local Agency Contract Number:		5-digit S/A Project Number it is related to:	
CDOT PO/OLA # (on IGA):		Prime Consultant B2GNow Vendor #:	
Contract Value:		County:	
CDOT Region project is located in:		Contract Type:	
Ad Date:		Award Date:	
Anticipated Start Date:		Projected End Date:	
Local Agency's B2GNow Compliance Contact:		Local Agency's LCP tracker Compliance Contact (if applicable)	
Prime's B2GNow Compliance Contact:		Prime's LCP tracker Compliance Contact (if applicable)	
DBE Goal %:			
Total Budgeted Funds:		CDOT Fund \$:	
LA Fund \$:		State Fund %:	
FHWA Federal Funding %:		Other Funding % (name)	
Other Federal Funding % (name)		Other Funding % (name)	

COLORADO DEPARTMENT OF TRANSPORTATION		<input type="checkbox"/> POLICY DIRECTIVE <input checked="" type="checkbox"/> X PROCEDURAL DIRECTIVE
Subject Requirements for Capital Engineering Program Records		21.1
Effective 12/20/2021	Supersedes 6/20/19 6/1/98	Originating Office Office of the Chief Engineer

I. PURPOSE

The purpose of this Procedural Directive is to ensure that the Colorado Department of Transportation’s (“CDOT” or “Department”) active Capital Engineering Program Records are consistently managed in ProjectWise and then stored for the length of their legal retention requirements in OnBase.

It is the Department's goal to transition its records from a paper-based system to an electronic record management system for CDOT’s Capital Engineering Program.

II. AUTHORITY

Executive Director pursuant to § 43-1-105, C.R.S.

§ 24-80-101, *et seq.*, C.R.S.

4 CCR 730-1, Architects, Professional Engineers and Professional Land Surveyors Rules and Regulations

Procedural Directive 51.1 “Requirements for the Retention of Documents”

Procedural Directive 508.1 “Requirements for the Use of the Professional Engineer’s Seal”

III. APPLICABILITY

This Procedural Directive applies to all CDOT Divisions, Branches, Offices, and Regions as well as local agencies, consultants, and contractors who develop, handle, or submit records for CDOT’s Capital Engineering Program.

IV. DEFINITIONS

“As-Constructed Plan” (also known as an "As-Built Plan") is an award plan set which has been updated throughout construction and includes all changes and modifications that occur during the construction phase of a project.

Subject Requirements for Capital Engineering Program Records	Number 21.1
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“Attributes” means the information or metadata about a specific record used to search for and locate a record. Examples of Attributes include: project number, state highway, mile points, segment, section, township, range, and region.

“Bentley Project Share” or “Project Share” means the Cloud-based storage and software tool hosted in the Bentley Microsoft Azure Cloud used for document collaboration.

“Capital Engineering Program” refers to all projects including but not limited to capital engineering projects, local agency, P3, Innovative, Specialty Groups, Design, Design-Build (DB) and Construction Management General Contracting projects (CMGC).

“Capital Engineering Program Records” means all records relating to the Capital Engineering Program, which includes all books, papers, maps, photographs, or other documentary materials, regardless of physical form or characteristics, made or received by CDOT pursuant to law or in connection with the transaction of public business. *See* § 24-80-101(1), C.R.S. Capital Engineering Program Records also means information that is inscribed on a tangible medium or that is stored in an electronic or other medium. *See* § 24-71.3-102(13), C.R.S.

“EDMS” refers an electronic document management system such as ProjectWise and OnBase.

“OnBase” (also known as “Hyland’s Unity Client”) means the Hyland’s Unity Client application utilized by the state of Colorado for archiving records.

“PDF Archiving Standard” means a record retained in an ISO Compliant format, which refers to the ISO 19005 series of standards with PDF/A-1 approved as the minimum.

“ProjectWise” (also known as “ProjectWise Explorer”) means the ProjectWise Bentley software system utilized by the Department for managing active Capital Engineering Program Records.

“Record File Plan” means CDOT’s internal governing document developed by each Division, Program, or Unit that contains the state and federal legal retention requirements for CDOT records.

“Records Coordinator” means a person identified by the CDOT Appointing Authority or designee who, as part of their assigned job duties, acts as the Office or Division point of contact with regard to the proper management of records.

“Record Set” is a final set of design plans and specifications issued for construction which is sealed by a licensed professional engineer.

V. PROCEDURE

A. Electronic Recordkeeping of Active Capital Engineering Program Records

1. Upon the effective date of this Procedural Directive, all active Capital Engineering Program Records will be managed in ProjectWise as defined in current Record File

Subject	Number
Requirements for Capital Engineering Program Records	21.1

Plans. ProjectWise is the EDMS for managing all active Capital Engineering Program Records. ProjectWise will not replace LIMS, Site Manager, Sales Force, SAP, PMWeb, or other software systems currently being used as a repository for certain documents and/or data. Record File Plans indicate the correct location for managing active Capital Engineering Program Records.

2. Record File Plans that are relevant to Capital Engineering Program projects are located on the Records Management Program's intranet page and from the hyperlink below:
<https://drive.google.com/drive/folders/1Yh2l2xiuuBUOXi3PWYG4CORPaiuRWnZa?usp=sharing>

They include:

- Access Record File Plan
- Construction / Engineering Record File Plan
- Environmental Record File Plan
- Hydraulics Record File Plan
- Materials and Geotechnical Record File Plan
- Right-of-Way Record File Plan
- Survey Record File Plan
- Traffic Engineering
- Utilities Record File Plan
- Staff Bridge Record File Plan
- Tunnel Record File Plan

3. All active Capital Engineering Program Records set forth in the Record File Plans will be placed in ProjectWise on an ongoing basis rather than at the conclusion of the project. Phases or milestones from scoping to project closure will be established for records management purposes (for example, pre-construction, construction, post-construction).

4. Resident Engineers are responsible for ensuring that their staff are properly trained to place active Capital Engineering Program Records in the correct location and format within ProjectWise.

5. Records Coordinators are selected by their Appointing Authority to handle Capital Engineering Program Records. Their responsibilities are set forth in Procedural Directive 51.1 and in the Overview of Records Management and Records Coordinator Certification available through SAP/My Learning.

B. Required Population of Project Attribute Fields

1. Project Managers must fill out all fields which are known at the time of project creation and thereafter when modifications occur. Currently, this should be completed in the SAP system the t-code: CJ20N. Once OnTrack Phase I is complete, project metadata will be entered into that system as the originating source. Specific timing of that transition will be communicated to all staff. The project Attributes are the original source

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<p>of data and support functionality in numerous other systems and reports, including ProjectWise, OnBase, SAP, CAR, GIS, and various dashboards/reporting platforms. Gaps in project Attributes undermine CDOT's ability to have consistent project data used by all staff.</p> <p>2. On projects where consultants utilize an EDMS other than ProjectWise such as Aconex, the CDOT Program Manager and CDOT Resident Engineer will develop a phased approach and timeline to migrate records into ProjectWise on an ongoing basis. The final migration and transfer of all required documentation must be completed within forty-five (45) days of project final acceptance per 105.21(b) of the Standards & Specifications for Road and Bridge Construction, or the equivalent document for P3, DB, CMGC, or innovative contracts.</p> <p>3. From the effective date of this Procedural Directive, preparation of electronic As-Constructed Plans will use the As-Constructed Plan template located in ProjectWise. This process avoids the unnecessary and cumbersome approach of downloading and printing the As-Constructed Plan template for manual update and resubmission to CDOT. For further guidance and location of the template, contact the Region Finals Administrator.</p> <p>4. Region Finals Administrators are responsible for creating three (3) electronic plan sets simultaneously and placing them in their appropriate locations in ProjectWise:</p> <p>(a) <u>Award Set</u>: issued by Project Support at the time of project award and has the watermark "Award Set" affixed to the title sheet by the Region Finals Administrator.</p> <p>(b) <u>Record Set</u> template: An Award Set of plans with the watermark "Record Set" affixed to the title sheet by the Region Finals Administrator.</p> <p>(c) <u>As-Constructed Plan</u> template: An Award Set of plans with the watermark "As-Constructed" appended to the title sheet by the Region Finals Administrator. This "template" becomes the final set of As-Constructed Plan when modified with all field revisions.</p>	
<p><u>C. Record Retention Requirements for Engineering Contracts and Task Orders</u></p>	
<p>1. Engineering Contracts Services is responsible for including in the contracts a requirement that ProjectWise will be used for managing active Capital Engineering Program Records.</p> <p>2. The Standards and Specifications Services must include the relevant requirements of this Procedural Directive in project special provisions.</p> <p>3. Resident Engineers responsible for drafting task orders must include a provision requiring compliance with this Procedural Directive. A copy of this Procedural Directive must be provided with the Notice to Proceed.</p>	
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Subject	Number
Requirements for Capital Engineering Program Records	21.1
<p>4. Unless otherwise notified by the Chief Engineer, Adobe Sign will be the software used for electronic signatures on Capital Engineering Program Records which require signatures for electronic sealing by engineers and surveyors. See PD 508.1. CDOT is implementing the use of another software program for electronic signatures on those documents which require a CDOT Controller and/or State Controller signature. For all Capital Engineering Program Records that do not require a CDOT Controller/State Controller signature or an engineer/surveyor seal but still show a signature needed, employees should refer to the current version of the appropriate manual for instructions.</p>	
<p><u>D. Updating Engineering, Design, Specialty Group and Construction Manuals</u></p>	
<p>1. All CDOT Manuals, Guidelines, Protocols, etc., will be continuously updated to include CDOT's requirements on creating and retaining Capital Engineering Program Records in electronic format. This includes but is not limited to:</p>	
<ul style="list-style-type: none"> • Construction Manual • Design Build Manual • Environmental Manual • Field Materials Manual (FMM) • Landscape Architecture Manual • Local Agency Manual • Pavement Design Manual • Project Development Manual • ProjectWise Reference Manual • ROW Manual • Standards & Specifications for Road and Bridge Construction <ul style="list-style-type: none"> ○ Note: Project Special Provisions must be incorporated into contracts thereafter • Traffic Manuals • Survey Manual • Utility Manual • Bridge Design, Rating, and Detail Manuals 	
<p><u>E. Record Retention Period for Capital Engineering Program Records</u></p>	
<p>1. All Capital Engineering Program Records will be transferred, via an automatic process, from ProjectWise to OnBase within ninety (90) days after Form 950 has been issued. During this transfer, records will be categorized by document type and a record retention schedule will be applied. Upon the schedule date being reached for that document, the record will be destroyed and no longer available. Specifics on the retention period for any specific Capital Engineering Program Record is available through the Records Management Program's intranet page: https://sites.google.com/state.co.us/cdothub/teams/records-management</p>	
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2. Any Capital Engineering Program Records, whether paper or electronic, found more than ninety (90) days after the Form 950 has been issued should be sent to the appropriate Region Finals Administrator.

VI. IMPLEMENTATION PLAN

This Procedural Directive will be effective upon signature.

The Office of Policy and Government Relations will post this Procedural Directive on CDOT's intranet as well as on public announcements.

Program Engineers, Resident Engineers or their delegees will be responsible for the implementation of this Procedural Directive.

Contact the Records Management Program, if needed, for any questions and additional guidance on record retention and storage.

VII. REVIEW DATE

This Procedural Directive will be reviewed on or before August 2026.



Shoshana M. Lew
Executive Director

12/20/2021

Date of Approval

COLORADO DEPARTMENT OF TRANSPORTATION		<input type="checkbox"/> POLICY DIRECTIVE <input checked="" type="checkbox"/> PROCEDURAL DIRECTIVE
Subject		Number
OBTAINING AND MODIFYING PROFESSIONAL SERVICES CONTRACTS		400.1
Effective	Supersedes	Originating office
07/12/12	400.1 9/23/91 400.4 10/18/82 400.5 8/01/86	Contracts and Market Analysis Branch

I. PURPOSE

The purpose of this Procedural Directive is to define the process to obtain experienced consultants for the State of Colorado Department of Transportation (“CDOT”). The objective is to competitively obtain professional consultant services in a cost effective and timely manner. In addition, the purpose of this Procedural Directive is to ensure all contracts between CDOT and professional consultants comply with applicable federal and state laws.

II. AUTHORITY

Executive Director, § 43-1-103 C.R.S.

Chief Engineer, § 43-1-110 C.R.S.

§ 24-30-1401 through § 24-30-1408 C.R.S.

State of Colorado Department of Personnel Fiscal Rule 3-1, State Contracts, [http://www.colorado.gov/dpa/dfp/sco/FiscalRules/FR_3-1_&_SPs\(010109\).pdf](http://www.colorado.gov/dpa/dfp/sco/FiscalRules/FR_3-1_&_SPs(010109).pdf)

23 U.S.C. § 112; 23 CFR 172.3 “The Brooks Act”

Federal Acquisition Regulations, 48 CFR § 31.201 through § 31.205

Note: for assistance locating these authorities, please contact the Office of Policy and Government Relations.

III. APPLICABILITY

This Procedural Directive applies to all CDOT employees involved in obtaining professional consultant services.

IV. DEFINITIONS

“Contract” for purposes of this Procedural Directive, shall be a legally binding agreement

SUBJECT

OBTAINING AND MODIFYING PROFESSIONAL SERVICES CONTRACTS

NUMBER

400.1

between CDOT and a professional consultant. It defines the scope, compensation and schedule of services to be provided.

“Contract Modification” shall mean any additions, deletions, or corrections to the original contract. Contract modifications must be approved by individual(s) with contract signature authority.

“Professional Services” or “Consultant” for the purposes of this Procedural Directive shall include services provided by private sector engineers, architects, landscape architects, land surveyors and industrial hygienists. Professional Services shall have the same meaning as set forth in § 24-30-1402(6), C.R.S.

V. PROCEDURE

A. Obtaining a Consultant.

1. Chief Engineer. The Chief Engineer is responsible for obtaining Consultant services pursuant to § 43-1-104 and 43-1-110, C.R.S. and approving Contract modifications.

2. Region Transportation Directors, Division Directors, Enterprise Board Directors and Equivalent. These CDOT employees are responsible for determining that Consultant services are necessary, determining that modifications are necessary and resolving disputes.

3. Project Managers. These CDOT employees develop the scope of services, prepare an independent government cost estimate and are responsible for the day-to-day administration of the Contract.

4. Contracts and Market Analysis Branch Manager. The Contracts and Market Analysis Branch Manager manages the units responsible for establishing and executing Professional Services Contracts.

5. Engineering Contracts Unit Program Manager. Under the supervision of the Branch Manager, the Engineering Contracts Unit Program Manager prequalifies Consultants in conformance with § 24-30-1403, C.R.S. and directly supervises Contract Officers.

6. Contract Officers. These CDOT employees assist the Project Manager by verifying that all Contract documentation is appropriate. In addition, they verify that the process complies with the internal procedures established by the Branch. Specifically, they:

- (a) Advertise a request for proposals;

SUBJECT OBTAINING AND MODIFYING PROFESSIONAL SERVICES CONTRACTS	NUMBER 400.1
<p>(b) Facilitate the process of the selection of the most qualified Consultant by the Project Manager and other CDOT employees;</p> <p>(c) Facilitate the interview process to select the most qualified Consultant(s);</p> <p>(d) Prepare Contract documentation and verify compliance with applicable federal and state law;</p> <p>(e) Route the Contract for signature to the Chief Engineer, the State Attorney General, and the State Controller pursuant to § 24-30-202 C.R.S.</p> <p>7. <u>Consultant Audit Unit</u>. Under the supervision of the Branch Manager, the Consultant Audit Unit verifies that the terms of the Contract comply with the Federal Acquisition Regulations, § 31.201 through § 31.205.</p> <p>8. <u>Division of Audit</u> - This Division reports directly to the Transportation Commission and is responsible for an independent appraisal of the Contract after services have been completed pursuant to § 43-1-106 (12), C.R.S.</p>	
<p>B. <u>Modifying a Contract</u>. The procedures for modifying a Contract shall be in accordance with State of Colorado Fiscal Rule 3-1, State Contracts. All Contract modifications shall be made by a formal written amendment. Region Transportation Directors, Division Directors, Enterprise Board Directors and Equivalent determine that modifications are necessary. All modifications must be approved by the Chief Engineer and the State Controller.</p>	
<p>VI. IMPLEMENTATION PLAN</p>	
<ol style="list-style-type: none"> 1. The effective date of Procedural Directive 400.1 shall be upon adoption by the Executive Director. 2. Procedural Directive 400.1 shall be administered by the Contracts and Market Analysis Branch. 3. Procedural Directive 400.1 shall be implemented by all CDOT employees involved in obtaining Professional Services Contracts. 4. The Office of Policy and Government Relations shall post this Procedural Directive on the CDOT intranet and in public announcements within one week of adoption. 	
<p style="text-align: center;">Page 3 of 4</p>	

SUBJECT OBTAINING AND MODIFYING PROFESSIONAL SERVICES CONTRACTS	NUMBER 400.1
VII. REVIEW DATE	
This procedural directive shall be reviewed on or before April 2017.	
 Executive Director	<u>July 12, 2012</u> Date of Approval
Page 4 of 4	

**DIVISION OF PROJECT SUPPORT MEMO 2016-1 CONSULTANT WAIVER REQUEST
 COLORADO DEPARTMENT OF TRANSPORTATION
 FOR LOCAL PUBLIC AGENCIES**

As stated in *Division of Project Support Memo 2016-1*, CDOT discourages the use of the same engineering consultant for both final design and construction management. The reason for this is to avoid potential conflicts of interests during construction administration. This form is to be used when the Local Agency wishes to request a waiver to be able to use the same engineering firm to perform both final design and construction management. The Local Agency must indicate how it will manage the risk associated with the potential conflicts of interest. The Local Agency will submit this form to the CDOT Region Local Agency Coordinator who will submit it to the CDOT RTD for approval.

CDOT Project Number: _____ CDOT Project Code (5 digit): _____

Name of Local Agency: _____

Project Description / Location (include State Highway No. and Milestone Points if project is on a State Highway.):

Please check the following information that is applicable to the project:

1. Project is located on: CDOT ROW Not on CDOT ROW
2. Estimated Cost of the Project is: less than \$100,000; \$100,000 - \$500,000;
 \$500,000 - \$1,000,000; more than \$1,000,000
3. Contract Scope of Services Includes both Design and Construction Management? Yes No

Local Agency requests approval of a waiver to *Division of Project Support Memo 2016-1* for a logical business/technical reason that merits consideration. Check those criteria that apply to the project and provide an explanation in the box below as to how the Local Agency will manage the potential conflicts of interest risk.

- | | |
|--|--|
| <input type="checkbox"/> Low Risk/Low Cost Project | <input type="checkbox"/> Cost of new/additional consultant selection prohibitive |
| <input type="checkbox"/> Local Agency Staff on Project | <input type="checkbox"/> Low Risk construction type (non-structural) |
| <input type="checkbox"/> Minimal traffic impact | <input type="checkbox"/> Other: _____ |

Attach additional sheets as needed to explain how the Local Agency plans to manage the potential conflicts of interest risk.

I am a representative of the agency listed above, duly authorized to contractually bind the agency and sign this Request Form. My signature below constitutes formal agreement (without further signature) to certify the information contained on this form is true and accurate.

Provide the Name of Consultant Firm: _____

Name of Local Agency Representative: _____ Title: _____

Representative Signature: _____ Date: _____

Approved: Yes No CDOT RTD: _____ Date: _____

*COOT Regions - Send copies of approved waivers to Project Development Branch and keep signed original in project file.
 Note: If the consultant firm has not yet been selected then the Regions should fill in "TBD upon completion of qualifications based RFP".*

[SAMPLE FORMAT FOR PROJECTS REQUIRING ACQUISITION OF RIGHT OF WAY. YOU MUST HAVE LEGAL POSSESSION OF ALL RIGHT OF WAY AND EASEMENTS TO ISSUE CLEARANCE CERTIFICATION]

(Date)

_____, Region ROW Manager
Transportation Region _____
Colorado Department of Transportation

RE: RIGHT OF WAY CLEARANCE CERTIFICATION

Federal Aid Project No:

Location:

CDOT Project Code:

Dear

The (City/County of _____) certifies that all right of way necessary for construction of Project No. _____ has been acquired in accordance with current Federal Highway Administration directives and State Law requirements. Specifically, all acquisition, permanent and temporary, has been acquired in accordance with the federal Uniform Relocation Assistance and Real Property Acquisition Policies Act and all relevant regulations promulgated thereto, and Colorado Revised Statutes 24-56-101 thru 121, Real Property Acquisition policies. Copies of all right of way documents including deeds, easements, appraisals, and donation forms are enclosed herein.

(Insert following as applicable)

No residential and/or business relocation is involved in this project.

All residential relocatees have been relocated to decent, safe, and sanitary housing, or that adequate replacement housing has been made available to relocatees in accordance with state and federal statutes, regulations and other requirements.

All required business relocation benefits have been made available to the relocates in accordance with state and federal statutes, regulations and other requirements.

All relocation of all personal property is complete.

All persons and entities displaced have vacated all lands and improvements.

Please issue a right of way clearance for this project.

Sincerely,

(City/County Official)
(Name & Title)

[SAMPLE FORMAT FOR PROJECTS BEING CONSTRUCTED ON EXISTING RIGHT OF WAY]

(Date)

_____, Region ROW Manager
Transportation Region _____
Colorado Department of Transportation

RE: RIGHT OF WAY CLEARANCE CERTIFICATION

Federal Aid Project No:
Location:
Project Code:

Dear

The (City/County of _____) certifies that all construction on the above listed project will be entirely within the present (City/County) right of way and no additional right of way is required.

Please issue a right of way clearance for this project.

Sincerely,

(City/County Official)
(Name & Title)

**SAMPLE CLEARANCE CERTIFICATION LETTER
WHEN PROJECT ADVERTISED BY LOCAL AGENCY**

[Local Agency Letterhead]

[Project No.] CN,PE,UT
SA# *[Subaccount Number]*

[Date]

Ron Dickey
Colorado Department of Transportation
Region 6 Utility Engineer
2000 South Holly Street
Denver, CO 80222

RE: UTILITY CLEARANCE
[Project No. and Location]

In compliance with the Federal – Aid Program and pursuant to 23 CFR 635.309(b), this is to advise you that all known utilities within the project limits have been cleared in conjunction with this project.

Known Utilities involved on this project are:

<i>[Utility Company]</i>		<i>[* - see below]</i>
0	0	0
0	0	0
0	0	0
etc.	etc.	etc.

[Local Agency Representative]
[Name and Title]

Attachments (Utility Spec, Any Required Agreements)

* Indicate how costs will be paid, as appropriate:

- "at no cost to project"
- "at project expense"

LOCAL AGENCY SPECIFICATION REVIEW CHECKLIST	Project No. Click or tap here to enter text.
Project Name: Click or tap here to enter text.	Subaccount No. Click or tap here to enter text.
Is this specification review for use on a specific local agency project or for use on all projects? <input type="checkbox"/> Specific Project <input type="checkbox"/> All Projects	
If this review is for a specific project:	
Is this a federal aid project? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Which specification option is being used? <input type="checkbox"/> CDOT <i>Standard Specifications</i> , applicable CDOT standard special provisions, and applicable CDOT approved project special provisions with changes only to definitions and substitution of the local agency dispute resolution process for the CDOT dispute resolution process. <input type="checkbox"/> CDOT <i>Standard Specifications</i> , applicable CDOT standard special provisions, CDOT approved project special provisions, and approved substitutions for or revisions to Section 100 of the CDOT specifications. This option requires a revision of subsection 105.09 that provides a clear order of precedence of the Contract documents should a conflict be discovered. <input type="checkbox"/> Substitution of the Local Agencies own standard specifications or the Local Agency’s own set of custom specifications for the CDOT <i>Standard Specifications</i> .	
If this review is for use on all projects:	
Which of the following options is being used? <input type="checkbox"/> CDOT Standard Specifications, applicable CDOT standard special provisions, CDOT approved project special provisions, and approved substitutions for or revisions to Section 100 of the CDOT specifications. This option requires a revision of subsection 105.09 that provides a clear order of precedence of the Contract documents should a conflict be discovered. <input type="checkbox"/> Substitution of the Local Agency’s own standard specifications or the Local Agency’s own set of custom specifications for the CDOT Standard Specifications.	
For all projects on which the local agency substitutes its own provisions for all or part of Division 100 of the CDOT Standard Specifications:	
Identify where in the local agency’s contract documents the provisions equivalent to the following sections and subsections of CDOT’s Division 100 appear. These are the minimum to be identified. To expedite review, the local agency may list the location of additional important subsections in the Additional Information section below.	

LOCAL AGENCY SPECIFICATION REVIEW CHECKLIST	Project No. Click or tap here to enter text.
Project Name: Click or tap here to enter text.	Subaccount No. Click or tap here to enter text.
CDOT Standard Specifications	Equivalent Local Agency Provision
Section 100 Definitions and Terms	Enter location here.
Section 102 Bidding Requirements and Conditions	Enter location here.
Section 103 Award and Execution of Contract	Enter location here.
Subsection 105.03 Conformity to the Contract	Enter location here.
Subsection 105.09 Coordination of Plans, Specifications, Supplemental Specifications, and Special Provisions.	Enter location here.
Subsection 105.14 Authority and Duties of the Project Engineer	Enter location here.
Subsection 105.22, 105.23, 105.24 Dispute Resolution	Enter location here.
Subsection 106.11 Buy America Requirements	Enter location here.
Subsection 107.06. Safety, Health, and Sanitation Provisions	Enter location here.
Subsection 107.15 Responsibility for Damage Claims, Insurance Types and Coverage Limits	Enter location here.
Subsection 107.24 Air Quality Control	Enter location here.
Subsection 107.25 Water Quality Control	Enter location here.
Subsection 108.03 Project Schedule	Enter location here.
Subsection 108.07 Workplace Violence	Enter location here.
Subsection 108.08 Determination and Extension of Contract Time	Enter location here.
Subsection 108.09 Failure to Complete Work on Time	Enter location here.
Subsection 108.10 Default of Contract.	Enter location here.
Subsection 108.11 Termination of Contract.	Enter location here.
Subsection 109.06(e), (f), (g), and (h) Prompt Payment	Enter location here.
	Enter location here.

LOCAL AGENCY SPECIFICATION REVIEW CHECKLIST	Project No. Click or tap here to enter text.
Project Name: Click or tap here to enter text.	Subaccount No. Click or tap here to enter text.
The following shall be included in the advertising documents package for federal aid projects:	
CDOT Form 606 – Anti-Collusion Affidavit	Enter location here.
CDOT Form 1413 – Bidders List	Enter location here.
CDOT Form 1414 – Anticipated DBE Participation Plan	Enter location here.
Disadvantaged Business Enterprise (DBE) Requirements and the DBE goal.	Enter location here.
Minimum Wages, Colorado (appropriate SSP if project has federal aid)	Enter location here.
On the Job Training (appropriate version) and the OJT goal.	Enter location here.
FHWA Form 1273 - Required Contract Provisions, Federal-Aid Construction Contracts	Enter location here.
Davis Bacon Wage Determination	Enter location here.
Additional Questions	
1. Do the Contract documents contain any of the following provisions?	
Colorado Resident Labor Preference (not to be included in federal aid projects)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Colorado Bid Preference (not to be included in federal aid projects)	<input type="checkbox"/> Yes <input type="checkbox"/> No
General Warranty (not to be included in any projects)	<input type="checkbox"/> Yes <input type="checkbox"/> No
If the contract documents contain any of these items, Identify their location in the Additional Information section below.	
2. Is CDOT listed as an additional insured on the Contractor’s general liability & automobile liability policies?	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Are proprietary items specified? Are they justified by (1) listing 3 or more competing items, or (2) by establishing a Finding in the Public Interest?	<input type="checkbox"/> Yes <input type="checkbox"/> No

<p>LOCAL AGENCY SPECIFICATION REVIEW CHECKLIST</p>	<p>Project No. Click or tap here to enter text.</p>
<p>Project Name: Click or tap here to enter text.</p>	<p>Subaccount No. Click or tap here to enter text.</p>
<p>Additional Information: Add comments here.</p>	
<p>Person Submitting This information:</p>	
<p>Name: Click or tap here to enter text.</p>	<p>Signature:</p>

DRAFT

COLORADO DEPARTMENT OF TRANSPORTATION		<input type="checkbox"/> POLICY DIRECTIVE <input checked="" type="checkbox"/> PROCEDURAL DIRECTIVE
Subject REQUIREMENTS FOR THE USE OF THE PROFESSIONAL ENGINEER'S SEAL		Number 508.1
Effective 5/21/19	Supersedes 5/15/12	Originating office Office of the Chief Engineer

I. PURPOSE

The purpose of this Procedural Directive is to define procedures for the use of the Professional Engineer Seal by the Colorado Department of Transportation (CDOT) employees engaged in the practice of engineering and whose position description requires that they be licensed Professional Engineers in the State of Colorado. This Directive applies to licensed Engineers performing work on behalf of CDOT and includes procedures for processing plans prepared for CDOT by Engineering consultants, contractors and local agencies.

II. AUTHORITY

Executive Director pursuant to § 43-1-105, C.R.S.

§ 12-25-101 through § 12-25-119, C.R.S.

4 CCR 730-1, Bylaws and Rules of the State Board of Licensure for Architects, Professional Engineers and Professional Land Surveyors, ("AES Rules") available on the Colorado Secretary of State's website under "Administrative Rules" <https://www.colorado.gov/pacific/dora/AES>

Procedural Directive 21.1 "Requirements for the Retention and Archiving of Design, Construction, Engineering, and Specialty Group Records (Paper and Electronic)"

Procedural Directive 51.1 "Requirements for the Retention of Documents"

CDOT Standards and Specifications for Road and Bridge Construction

III. APPLICABILITY

This Procedural Directive applies to all divisions, regions, offices and branches of CDOT. It also applies to contractor and consulting engineering firms who perform engineering work for CDOT as well as local agencies performing engineering work for CDOT.

This Procedural Directive 508.1 must be read together with the CDOT Construction Manual, the CDOT Design Manual, the CDOT Standard Specifications for Road and Bridge Construction, the ROW Manual and all other relevant CDOT Manuals, as well as CDOT's Procedural Directive 21.1 "Requirements for the Retention and Archiving of Design, Construction, Engineering, and Specialty Group Records (Paper and Electronic)" as well as PD 51.1 "Requirements for the Retention of Documents."

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IV. DEFINITIONS

“AES Board” means the State Board of Licensure for architects, professional engineers, and professional land surveyors created in section § 12-25-106 C.R.S. See 4 CCR 730-1, Bylaws and Rules of the State Board of Licensure for Architects, Professional Engineers and Professional Land Surveyors (“AES Rules”).

“Contract Modification Order” or “CMO” shall mean a written order issued to the Contractor by the Department covering contingencies, extra work, increases or decreases in contract quantities, and additions or alterations to the plans or specifications, within the scope of the Contract, and establishing the basis of payment and time adjustments for the work affected by the changes. The Contract Modification Order is the only method authorized for changing the Contract. See the CDOT Standards and Specifications for Road and Bridge Construction.

“Department” or “CDOT” means the Department of Transportation created pursuant to § 43-1-101, C.R.S.

“Engineer” shall mean a Professional Engineer licensed in the State of Colorado by the State Board of Licensure for Architects, Professional Engineers and Professional Land Surveyors.

“Practice of Engineering” as defined in § 12-25-102(10), C.R.S. shall mean the performance for others of any professional service or creative work requiring engineering education, training, and experience and the application of special knowledge of the mathematical and engineering sciences to such professional services or creative work, including consultation, investigation, evaluation, planning, design, and the observation of construction to evaluate compliance with plans and specifications in connection with the utilization of the forces, energies, and materials of nature in the development, production, and functioning of engineering processes, apparatus, machines, equipment, facilities, structures, buildings, works or utilities, or any combination or aggregations thereof, employed in or devoted to public or private enterprise or uses.

“Record Set” shall mean the reproductions of engineering drawings, inclusive of the cover, title sheet, and the table of contents of the project special provisions and standard special provisions. The Record Set shall bear the Seals and dated signatures of the responsible Engineers.

“Responsible Charge” as defined in § 12-25-102(14), C.R.S. shall mean the personal responsibility for the control and direction of engineering work within a Professional Engineer’s scope of competence. The Engineer may only be classified as “Responsible Charge” if the Engineer is licensed pursuant to statute, unless the work involves an activity exempted pursuant to § 12-25-103, C.R.S.

“Seal” shall mean the Seal authorized by the Colorado State Board of Licensure for Architects, Professional Engineers and Professional Land Surveyors (“AES Board”) for registrants in accordance with the AES Rules. It may be a crimp type Seal, a rubber stamp type Seal, or an electronic Seal.

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“Value Engineering” shall mean a change to contract requirements proposed by the Contractor which will accomplish the project’s functional requirements at less cost or improve value or service at no increase or at a minor increase in cost. See CDOT Standards and Specifications for Road and Bridge Construction, Subsection 101.90.

V. PROCEDURE

A. Responsibility for Sealing Documents

1. CDOT's Sealing requirements are dictated by and adhere to the Sealing requirements for licensed engineers set forth in the AES Board Rules. See Appendix A. Sealing of CDOT documents apply to Professional Engineers, including CDOT engineers, consultants, contractors, and local agency projects with CDOT oversight.
2. On or before January 2020, all CDOT, local agency and consulting Engineers shall utilize electronic Sealing. Requests for exemptions shall be submitted to the Chief Engineer prior to mechanical Seals being utilized with the reason why an electronic Sealing cannot be used. Beginning January 2021, there will be no exemptions to the electronic Sealing requirement, except where stated in section (V)(C) below.
3. Engineering designs, including Record Sets and Contract Modification Orders, contract drawings and specifications for CDOT projects prepared by CDOT employees or by contractors or consultants who perform work for CDOT, or by local agencies who perform work for projects with CDOT oversight and/or funding or federal funding passed through CDOT, shall be Sealed in accordance with this Directive.
4. Resident Engineer. The Resident Engineer is responsible for ensuring that all documents requiring Seals are obtained within 45 days of award of the construction project, (changed from 90 days) and archived in the correct ProjectWise folder. While the CDOT Project Management Office shall electronically notify engineers of this deadline, it is the responsibility of the Resident Engineer to ensure that the Sealing of all documents is executed within this time frame.
5. Engineer in Responsible Charge. The Engineer in Responsible Charge shall Seal their respective documents for the work within their scope of work. This shall apply to all engineering disciplines including but not limited to structures, hydraulics, traffic, geology, and materials. See Appendix A.
6. The Engineer in Responsible Charge on a local agency project with CDOT oversight is required to Seal all documents within the scope of their work. They shall be responsible for depositing the Seal Record Set into ProjectWise within 45 days of the award.
7. To limit the scope of responsibility to one or more disciplines, a statement must be included adjacent to the Seal which limits responsibility to those portions of work done, such as: "My responsibility with respect to this standard plan revision is limited to _____."

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B. Documents Requiring Seals

1. Record Sets

a) The CDOT Engineer in Responsible Charge shall ensure that the consultant has affixed all necessary Seals to the Record Set. The Seal and dated signature of the Engineer whose name appears on the Seal, shall be placed on reproductions of drawings to establish a Record Set of contract documents. The Record Set shall be the final plans plus any revisions at the time of contract award or, for a force account project, at the time the "Notice to Proceed" is issued. The Record Set shall be prominently identified by placing a watermark which reads "RECORD SET" on the cover, the title sheet of the engineering drawings, and the table of contents of project special provisions and standard special provisions and shall be the permanent record of the Engineer in Responsible Charge of project design and CDOT in accordance with the Bylaws and Rules of Procedure of the AES Board.

b) A Record Set shall be prepared for all CDOT construction projects, including those administered by the Division of Maintenance and Operations, and be retained by CDOT as part of the official project files. CDOT's Record Sets shall consist of "11 x 17" project drawings, plus the complete set of the project special provisions and standard special provisions. All plan sheets and the cover, title page and table of contents pages of the Project Special Provisions and Standard Special Provisions included in a Record Set shall be Sealed as prescribed herein. The unsealed Record Set shall be placed in the appropriate folder in ProjectWise Explorer at the same time the electronic Award Set is created by the Region Finals Administrator.

c) When sealing a Record Set electronically, CDOT engineers or staff will initiate the workflow, receive the sealed document, and then load the Record Set into appropriate ProjectWise folder. At a future date, an automated workflow will replace this procedure. If sealing mechanically, consultants and contractors shall notify the CDOT Engineer in Responsible Charge that the Sealed Record Sets have been deposited in ProjectWise Explorer.

2. Contract Modification Orders or Change Orders

a) Plans and specifications added or modified by Contract Modification Orders ("CMO") or change orders shall be Sealed by the Engineer responsible for the new design. This may be the Engineer in Responsible Charge of design or another Engineer who accepts responsibility for the design change after coordinating with the Engineer in Responsible Charge of design. The CDOT Resident Engineer, or the Engineer in Responsible Charge of project construction, is responsible for assuring that these changes are incorporated into the "As-Constructed" plans.

b) For Value Engineering change proposals (VECP) and other designs developed by the contractor, plans and specifications shall be Sealed by the Contractor's Engineer. For Value Engineering Change Proposal (VECP) plan changes, see Section 104.07 of the CDOT Standards and Specifications for Road and Bridge Construction.

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3. M&S Standards

a) Plans developed as standard plans ("M" or "S" Standards) shall be Sealed by the Engineer in Responsible Charge of developing the standard plans; i.e., Staff Bridge Engineer, Project Development Branch Manager, Standards Engineer, Traffic Specifications and Standards Engineer. In the event the designation changes for the offices or individuals listed above, the responsibility shall remain with the person and/or offices responsible for the Sealing of the standard plan. A Record Set with the Seals, and dated signatures of the Engineers in Responsible Charge of the development of the standard plans, will be maintained in the appropriate ProjectWise location. In the event the designation changes for the positions listed above, the responsibility shall remain with the office responsible for the Sealing of the standard plans.

(i) M&S Standard Plan Selection

The Engineer in Responsible charge for project design shall Seal the M&S Standards title sheet and include the following limitation statement: "My responsibility with respect to this plan sheet is limited to the selection of the standard plans for this project and a determination that the selection is appropriate for the project."

(ii) Changes to M&S Standard Plans

If a standard plan is modified in any way, the modified standard plan sheet(s) shall be Sealed by the Engineer in Responsible Charge for design modification.

b) Standard plans developed and issued by other Colorado entities utilized on a project shall be sealed by the entity's Engineer in Responsible Charge.

C. Exclusions from Sealing Requirements

1. Manufactured Components. Engineers may specify manufactured components (e.g., impact attenuators, products on the Approved Product List ("APL")), which are exempted by statute as part of design documents. Manufactured components for the purposes of this Procedural Directive shall consist of such items as a pump, motor, steel beam or other types of items that are manufactured in multiple units for selection and use in projects which must be designed by Engineers. Systems of manufactured components which are specific to a particular use or application must also be designed by an Engineer. The Engineer may show the manufactured component on the drawing or document and is responsible for the correct selection and specification of the manufactured component but is not responsible for the proper design and manufacture of the manufactured component.

2. Stormwater Management Plans

a) Stormwater Management Plans (SWMPs) and Erosion/Sediment Control Plans are excluded from the Seal requirement. Stormwater Management Plan sheets that do not contain engineering information (e.g. hydrology, hydraulics) are not considered "engineering drawings"; therefore, Sealing by a professional engineer is not required.

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b) Engineering features (e.g., ditches, storm sewer and permanent water quality facilities) required for the management of stormwater on the project shall be included in the plans on separate sheets as details with the associated information which would require Sealing in accordance with this Directive.

D. Retention of Sealed Documents

1. Transmittal and storage of all CDOT records set forth in this Directive shall adhere to the requirements of Procedural Directive 21.1 and CDOT's Record File Plans. The Sealed Record Set is required to be deposited in CDOT's ProjectWise Explorer. This will constitute the official record and will be retained permanently.

VI. IMPLEMENTATION PLAN

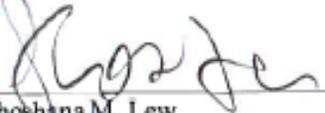
The effective date of Procedural Directive 508.1 shall be upon adoption by the Executive Director.

Procedural Directive 508.1 shall be administered by the Records Management Program and the HQ ProjectWise Office.

Procedural Directive 508.1 shall be implemented by all applicable divisions, branches, regions and offices of CDOT and its municipal, state and federal partners.

VII. REVIEW DATE

This Procedural Directive shall be reviewed on or before May 2025.



 Shoshana M. Lew
 Executive Director

5/21/19

 Date of Approval

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Appendix A
Relevant Sections of the AES Board Rules

Rule 2.2 (Definitions)

Responsible Charge of Engineering. The Board shall interpret “responsible charge” of engineering, as defined in Section 12-25-102(14), C.R.S., as follows.

“Responsible charge” of engineering shall mean that degree of control an engineer is required to maintain over engineering decisions made personally or by others over which the engineer exercises supervisory direction and control authority.

(a) The degree of control necessary for an engineer to be in responsible charge shall be such that the engineer:

- (i) Personally makes engineering decisions, or personally reviews and approves proposed decisions prior to their implementation, including consideration of alternatives whenever engineering decisions that could affect the life, health, property, and welfare of the public are made. In making said engineering decisions, the engineer shall be physically present or, through the use of communication devices, be available in a reasonable period of time as appropriate.
- (ii) Judges the validity and applicability of recommendations prior to their incorporation into the work, including the qualifications of those making the recommendations.

(b) Engineering decisions that are made by, and are the responsibility of, the professional engineer in responsible charge are those decisions concerning permanent or temporary work that could create a danger to the life, health, property, and welfare of the public, such as, but not limited to, the following:

- (i) The selection of engineering alternatives to be investigated and comparison of alternatives for engineering works.
- (ii) The selection or development of design standards or methods, and materials to be used.
- (iii) The selection or development of techniques or methods of testing to be used in evaluating materials or completed works, either new or existing.

(c) As a test to evaluate whether an engineer is in responsible charge the following must be considered: An engineer who signs and Seals engineering documents in responsible charge must be capable of answering questions as to the engineering decisions made during the engineer’s work on the project in sufficient detail as to leave little doubt as to the engineer’s proficiency for the work performed. It is not necessary to defend decisions as in an adversarial situation, but only to demonstrate that the engineer in responsible charge made them and possessed sufficient knowledge of the project to make them. Examples of questions to be answered by the engineer could relate to

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<p>criteria for design, methods of analysis, selection of materials and systems, economics of alternate solutions, and environmental considerations. The individual should be able to clearly define the degree of control and how it was exercised and be able to demonstrate that the engineer was answerable within said degree of control necessary for the engineering work done.</p>	
<p>(d) The term "responsible charge" does not refer to financial liability.</p>	
<p>(e) A professional engineer who adopts, signs, and Seals work previously engineered shall perform sufficient review and calculation to ensure that all standards of practice required of licensees are met, including satisfying the relevant criteria stated in paragraphs (b) and (c) above, and shall take professional and legal responsibility for documents signed and Sealed under his/her responsible charge.</p>	
<p>Rule 5.00 (Professional Engineer Responsibilities)</p>	
<p>5.1 (Sealing Requirements for PEs)</p>	
<p>5.1.2 Seal Application. A manual or electronic Seal must be applied to either the final reproducible, the final reproduction, or the final electronic record document of all of the following:</p>	
<ul style="list-style-type: none"> (a) Each sheet of engineering drawings. (b) The cover, title page, and table of contents of specifications bound in book form. (c) The title page of details bound in book form and prepared specifically to supplement project drawings. (d) The title or signature page of engineering reports. 	
<p>5.1.3 Signature and Date Required. The manual or electronic signature of the licensee and date of signature shall be affixed to the document. The signature of the licensee and date of signature shall appear through the Seal.</p>	
<p>5.1.3.1 Signature May Be Required By Public Agencies. A public agency may require a manual or electronic signature of the licensee on reproductions.</p>	
<p>5.1.4 Sealing Documents That Are Not Final. When a licensee Seals engineering documents that are not final, the status of the engineering documents must be identified as preliminary. Further qualifying descriptors may be added, e.g. "for review", "not for construction", "for bid only".</p>	
<p>5.1.5 Limiting Scope of Responsibility. When a licensee signs and Seals a document, the licensee is responsible for the entire document unless the licensee limits the Seal to one or more disciplines (e.g. civil, structural, mechanical, etc.) shown on the document. To limit the scope of responsibility for an engineering document to one or more disciplines, on the face of such document, the licensee must include a specific written statement adjacent to the Seal that accurately reflects the scope of responsibility for the document.</p>	
<p>All disciplines or aspects of the work shown on that document must be signed and Sealed by the</p>	
<p>Page 8 of 9</p>	

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person(s) in responsible charge.

5.2 Engineer's Certification

5.2.1 Circumstances and Applicable Actions. When a professional engineer is presented with a certification to be signed and/or Sealed, the professional engineer should carefully evaluate that certification to determine if any of the following circumstances apply:

- (a) Matters that are beyond the professional engineer's competence, training, or education.
- (b) Matters that are beyond the professional engineer's services actually provided.
- (c) Matters that were not prepared under the professional engineer's responsible charge.

If any of these circumstances apply, that engineer shall take either of the following actions:

- (i) Modify such certification to limit its scope to those matters that the professional engineer can properly sign and/or Seal.
- (ii) Decline to sign such certification.

5.2.2 Certification Defined. Certification is defined as a statement that includes all of the following:

- (a) Is signed and/or Sealed by a professional engineer representing that the engineering services addressed therein have been performed by the professional engineer or under the professional engineer in responsible charge.
- (b) Is based upon the professional engineer's knowledge, information, and belief.
- (c) Is in accordance with applicable standards of practice.
- (d) Is not a guaranty or warranty, either expressed or implied.



COLORADO
 Department of Transportation
 Division of Project Support

Staff Bridge Branch
 2829 W. Howard Place, 3rd Floor
 Denver, CO 80204

Local Agency Bridge Project Checklist

PROJECT INFORMATION:

Project Code#: _____ Project No. : _____ Project Description: _____
 Highway: _____ M.P.: _____ City: _____ County: _____ CDOT Region: _____
 Design Submittal Status: Conceptual Preliminary FIR FOR Final
 Remark: _____
 Prepared by Engineer: _____ Company: _____ Date: _____

CONCEPTUAL DESIGN:

Geotechnical Investigation Hydraulics Study Utility Survey Conceptual S&L Sheets
 Pre-scoping Report, if required
 Remarks: _____

PRELIMINARY DESIGN:

Structure ID Existing Structure Number, if applicable Pre-Geotechnical Report
 Pre-Hydraulics Report Pre-Utility Design Structure Layout Pre-Stage Construction
 Life Cycle Cost Analysis, if required Structure Selection Report
 Remarks: _____

FIR:

FIR Plans FIR Specifications FIR Cost Estimate, if required
 Remarks: _____

FOR:

FOR Plans FOR Specifications FOR Cost Estimate Final Geotechnical Report
 Final Hydraulics Report Revised Structure Selection Report, if required
 Remarks: _____

FINAL SUBMITTAL:

PE Sealed PS & E PE Sealed Load Rating Package PE Sealed Design Calculations
 PE Sealed Independent Design Check Calculations Independent Quantity Estimate Check
 Bridge Geometry Run Field Information Package Inspection Sketch for Bridges
 PE Sealed Geotechnical Report PE Sealed Hydraulics Report CADD Files Software Input Files
 PE Sealed Structure Selection Report IGA, if applicable Certified Letter
 Remarks: _____

NOTES TO DESIGNER:

1. See CDOT BDM, Section E in Policies and Procedures for Structures Process.
2. For more details of final submittal documents, see CDOT BDM, Section E.4 in Policies and Procedures as the following link: <https://www.codot.gov/library/bridge/bridge-manuals/lrfd-bridge-design-manual/bdm-policies-and-procedures/view>
3. This checklist should be submitted along with each submittal package by a designer.

	Project # <input style="width: 100%;" type="text"/> SubAccount# <input style="width: 100%;" type="text"/>	
Final Design Submittal Checklist		
This checklist is to serve as quality control/assurance of the finals submittal process as defined in the Bridge Design Manual Policy and Procedures (BDM P&P). This checklist must be signed by the Staff Bridge Unit Leader, prior to advertisement of the project or before construction for a Design-Build or CM/GC project. Checked boxes indicate files are available in Projectwise and are attributed.		
Structure Number(s): <input style="width: 100%;" type="text"/>		
Construction Plans and Specifications		
<input type="checkbox"/> Plan PDF		
<input type="checkbox"/> Plan Native format files		
<input type="checkbox"/> Specifications PDF	<input type="checkbox"/> N/A: <input style="width: 100%;" type="text"/>	
<input type="checkbox"/> Specifications Word document(s)	<input type="checkbox"/> N/A: <input style="width: 100%;" type="text"/>	
Reports		
<input type="checkbox"/> Final Hydraulic Report	<input type="checkbox"/> N/A: <input style="width: 100%;" type="text"/>	
<input type="checkbox"/> Final Geotechnical Report	<input type="checkbox"/> N/A: <input style="width: 100%;" type="text"/>	
<input type="checkbox"/> FHWA Bridge Replacement Cost Report (Design/Build Only)	<input type="checkbox"/> N/A: <input style="width: 100%;" type="text"/>	
<input type="checkbox"/> Element costs included		
<input type="checkbox"/> Bridge Unit Cost included		
<input type="checkbox"/> Final Structure Selection Report	<input type="checkbox"/> N/A: <input style="width: 100%;" type="text"/>	
Calculations		
<input type="checkbox"/> Design Calculations (signed and sealed)	<input type="checkbox"/> N/A: <input style="width: 100%;" type="text"/>	
<input type="checkbox"/> Native format files received		
<input type="checkbox"/> Independent Design Check Calculations (signed and sealed)	<input type="checkbox"/> N/A: <input style="width: 100%;" type="text"/>	
<input type="checkbox"/> Native format files received		
<input type="checkbox"/> Rating calculations during phasing (signed and sealed)	<input type="checkbox"/> N/A: <input style="width: 100%;" type="text"/>	
<input type="checkbox"/> Quantity calculations and quantity check & comparison	<input type="checkbox"/> N/A: <input style="width: 100%;" type="text"/>	
Load Rating		
<input type="checkbox"/> Load Rating package PDF (signed and sealed)	<input type="checkbox"/> N/A: <input style="width: 100%;" type="text"/>	
<input type="checkbox"/> Load Rating XML file	<input type="checkbox"/> N/A: <input style="width: 100%;" type="text"/>	
<input type="checkbox"/> Rating Package submitted to Rating Group	<input type="checkbox"/> N/A: <input style="width: 100%;" type="text"/>	
Miscellaneous Information		
<input type="checkbox"/> Existing bridge plans	<input type="checkbox"/> N/A: <input style="width: 100%;" type="text"/>	
<input type="checkbox"/> Existing Shop Drawings	<input type="checkbox"/> N/A: <input style="width: 100%;" type="text"/>	
<input type="checkbox"/> Existing Working Drawings	<input type="checkbox"/> N/A: <input style="width: 100%;" type="text"/>	
Final Detail Letter (FDL) / Consultant Final Submittal Certification		
<input type="checkbox"/> Document certifying structural plans and specifications have been prepared in accordance with CDOT's current design standards and QA/QC procedures		
Inspection Sketch		
<input type="checkbox"/> Inspection Sketch PDF	<input type="checkbox"/> N/A: <input style="width: 100%;" type="text"/>	
<input type="checkbox"/> Inspection Sketch Native format file	<input type="checkbox"/> N/A: <input style="width: 100%;" type="text"/>	
Structure Asset Management (SAM) Plan		
<input type="checkbox"/> Project verified on SAM Plan (CBP Funding)	<input type="checkbox"/> N/A: <input style="width: 100%;" type="text"/>	
Intergovernmental Agreement(s)		
<input type="checkbox"/> IGA(s) attached	<input type="checkbox"/> N/A: <input style="width: 100%;" type="text"/>	
CDOT Staff Bridge Quality Assurance Sign-off		
By signing this checklist Staff Bridge Unit Leader acknowledges receipt of a complete package of the Final Submittal documents and that the package is in conformance with the CDOT Bridge Design Manual requirements.		
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Print Name	Signature	Date



COLORADO
 Department of Transportation
 Region 5
 Traffic & Safety
 3803 N. Main Avenue, Suite 100
 Durango, CO 81301

March 7, 2019

Project #: SAR M350-023
 Project Code: 21503
 Location: Needham Elementary SRTS Ph2

VIA EMAIL

Ms. Sarah Dodson
 Assistant Director of Transportation
 City of Durango
sarah.dodson@durangogov.org

RE: Notice-to-Proceed (NTP) with Advertisement

Dear Sarah:

Please consider this letter your **Notice-to-Proceed (NTP)** with the advertisement for the construction of the Needham Elementary SRTS Ph2 Project, 21503, SAR M350-023. Please note the following advertisement requirements:

1. A minimum 3-week advertisement date is required for this project. Please inform me ahead of time of the final advertisement dates, any pre-bid meetings and/or discussion and bid opening dates.
2. The advertisement should be published in the official county newspaper where the work is being done. For small counties it is highly recommended that the advertisement also be placed in the newspapers of neighboring counties. It is also recommended that advertisement be made once in a newspaper of statewide circulation. CDOT uses the Daily Journal and occasionally the Denver Post and La Voz.
3. The CDOT project numbers must be placed in the advertisement. The CDOT project numbers should be cited along with the project number(s) established by your organization, if applicable.
4. The Disadvantaged Business Enterprise (DBE) Goal for this project is 4%, and this goal must be stated in the advertisement.
5. The On-The-Job Training (OJT) Goal for this project is 320 hours and this goal must also be stated in the advertisement.
6. Because this project is not within CDOT right-of-way, it is not necessary for the contractor to be pre-qualified by CDOT. However CDOT does recommend that the contractor be prequalified. The list of CDOT prequalified contractors may be found at <http://www.coloradodot.info/business/bidding/Prequalified%20Contractors>

Any change in the character or complexity of the work must be brought to our attention immediately. No additional work should be undertaken until a supplemental contract is executed and a written authorization to proceed is given.

Please send me the following information via email to robert.shanks@state.co.us as soon as possible after you have established an apparent low bidder:

1. CDOT forms 606, 1413, and 1414 for all bidders
2. CDOT form 1416 (if the DBE goal was listed in the form 1414) and 1416 (if the DBE goal was listed in the form 1414)

Page 2 of 2
Notice-to-Proceed with Advertisement 21503

- 3. Bid Tabulation
- 4. Project Financial Statement (see attached example with required format)

Please do not award the project until you receive concurrence from the CDOT Awards Officer, R B Simmons.

Also please do not award the project until you have received an executed copy of the IGA Option Letter that shows that the construction funds have been executed – the Option Letter has been requested but will take a few weeks to be processed and executed.

If you have any questions regarding this information please call me at 970-385-1416 or R B Simmons at 303-757-9416. R B can also be reached via email at rb.simmons@state.co.us.

Thank you for your cooperation and assistance in getting this project initiated. If you have any questions, please contact me at 970-385-1416.

Sincerely,



Robert Shanks
CDOT Region 5 Off-Systems Engineer

Xc: Julie Constan, CDOT R5 Traffic Engineer
Kelly Whaley, CDOT R5 Civil Rights Specialist
R B Simmons, CDOT Agreements
April Zion, City of Durango
Steve Pavlic, SET Engineering



COLORADO
Department of Transportation
Office of the Chief Engineer

Engineering Contracts

2829 W. Howard Place, Suite 329
Denver, CO 80204

SAR M350-026

Needham Elementary Connect Phase II SRTS Project
Project Code 21503

January 21, 2020

Attn: Devon Schmidt
City of Durango
949 East 2nd Avenue
Durango, CO 81301

Dear Mr. Schmidt:

The City's award of project SAR M350-026 (21503) to Ridgway Valley Enterprises, Inc. is approved based on my review of the request for concurrence dated January 10, 2020, and supported by the associated financial statement along with the receipt of the following documents:

- CDOT Form 605, Contractors Performance Capability Statement
- CDOT Form 606, Anti-Collusion Affidavit
- CDOT Form 621, Assignment of Anti-Trust Claims and
- Documentation of conformance with CDOT DBE Contract Goal Policy

The reimbursement of Federal funds for this project is subject to the requirements of the Inter-Governmental Agreement (IGA) between the City and the Colorado Department of Transportation. Any funding that may be required to complete the project beyond the funds approved under the IGA will be the responsibility of the City.

Please be sure to include a copy of FHWA Form 1273 as part of your entity's contract with the above selected contractor. Your cooperation in this matter is appreciated.

Sincerely,

RB Simmons
CDOT Award Officer
PH: 303-757-9416

cc: Robert Shanks, R-5
Region EEO Officer, R-5
Yehdego/Ngo, HQ-Accounting
Civil Rights
Central Files

<LOCAL AGENCY LETTERHEAD>

Project Financial Statement and Schedule Review

<PROJECT NAME>

Project Subaccount # <99999>

Project # <XYZ.A999-999>

Available funds:

Federal and/or CDOT Funds \$ _____

<LOCAL AGENCY> Matching Funds \$ _____

<LOCAL AGENCY> Additional funds \$ _____

(note: the local agency is responsible for any project funding shortfall which should be included on this line if known) *

Total Funds Available \$ _____

Destination of Funds:

<CONTRACTOR NAME> \$ _____

<CONSTRUCTION MGMT. CONSULTANT> \$ _____

(note: if applicable) *

Total Project Funds: \$ _____

(note: "Total Funds Available" and "Total Project Funds" must be exactly the same) *

Any additional project costs / overruns shall be paid by <LOCAL AGENCY>.

Construction Project Schedule Review

The IGA Expiration Date for this project is: ____/____/____

The Construction Performance Period End Date is: ____/____/____

Can this project be completed within the period of the IGA? (Yes or No). _____

Comments:

Authorized Signature

Date: _____

<LOCAL AGENCY PERSON IN RESPONSIBLE CHARGE>

Instructions to Local Agency:

Replace <TEXT> with local agency or project specific information

Delete notes (note,) *

Delete these instructions

Excerpt below. See CDOT Project Manager for current Construction Oversight Checklist.

CONSTRUCTION OVERSIGHT CHECKLIST FOR LOCAL AGENCY PROJECTS - draft July 2022					
Local Agency -					
Project # /Project Name -					
Project Code -					
IGA Expiration Date from IGA or Option Letter - (Project must be closed prior to this date)					
FHWA Construction End Date (if applicable) from IGA, Exh C -					
Project file folder #	Local Agency Construction Documentation	Date Received / Reviewed by CDOT	When to submit to LA Coordinator	Reference	Comments
1.0 ADMINISTRATIVE					
Copy Needed in CDOT Project File (X) CDOT may request documentation, as necessary.					
1.1	Distribute Award Plans and Specifications	X	PreCon	LA Desk Reference #7.1.10 (Federal funded); #7.2.10 (State funded) 1 set of electronically sealed Plans, 11"X17", Contract Documents & Construction Specs (sealed as well; Cover page through Table of Contents), Bridge Design Manual page 11	1 set of electronically signed and sealed plans (11"X17"), Contract Documents & Construction Specs OR as allowed by the CDDT Region. For Bridge Projects, plans in both PDF and native file format. Specifications in PDF and Microsoft Word. All PDFs shall be 300 dpi, page aligned, text searchable, compressed and in conformance with ISO PDF/A-1b archival specification.
1.2	Materials Testing Schedule - Form 250	X			Provided by CDOT
1.3	Independent Assurance Testing Schedule - Form 379	X			Provided by CDOT
1.4	Notice to Proceed to the Contractor	X	PreCon		LA to send to LA Coordinator when NTP is issued
1.5	Pre-Construction Meeting	X	n/a	https://www.codot.gov/business/designsupport/bulletins_manuals/construction-manual	Possible attendees if in CDOT Right of Way- Maintenance - Traffic Operations - Resident Engineer Environmental - Region Civil Rights - Inspector - Staff Bridge
	Pre-Construction Meeting Minutes	X	Following conference	LA Desk Reference #8.3.1 Preconstruction Conference	Complete copy of agenda and minutes should go out to each attendee for review
1.6	Contractor Selection of Litigation or Arbitration - Form 1378	X	PreCon	Standard Specification 105.24f	Verify Form 1378 was completed. (Contractor Selection of Litigation or Arbitration)
1.7	Emergency Notification Information	X	PreCon	Template in LA filing system	Phone list of Project Personnel's contact information. If on State system LA Coordinator will distribute to applicable internal CDOT staff.
1.8	Critical path method schedule	X	PreCon	LA Desk Reference #8.3.11, Standard Specification 108.03	Must be accepted by LA PE prior to work beginning
	Monthly Baseline revision Schedule Updates with monthly Pay App.	X	Monthly	LA Desk Reference, #8.5.6 Submit Project Schedule and Conduct Progress	Updated monthly Baseline revision schedule must be provided by Contractor before payments are made.
1.9	Project Engineer and Inspector Certifications	X	PreCon	LA Desk Reference #8.5, Const. Manual Section 101.103.7	Must comply for project work inside CDOT ROW. Make copy of certifications. (PE wallet card and Inspector certifications)
1.10	Certificate of Insurance (CDOT Named as additional insured)	X	PreCon	LA Desk Reference #8.3.1.12, Standard Specifications R&B Section 107.15	Contractor Insurance Company to provide, CDOT is included in list of insured. LA PE to check expiration date.
1.11	Weekly Time Count Reports - Form 262 or 263	X		LA Desk Reference #8.5.3, Const. Manual 108.8.5 and 120.6.1, Appendix B 20.046	Verify Copies are in LA Project File.
1.12	Project Safety Management Plan w/ written acceptance	X	PreCon	LA Desk Reference #8.2, Standard Specification 107.06	Safety Plan is required to be project specific and accepted in writing by the Project Engineer.
1.13	Copy of Prime Contractor Contract	X	PreCon	23 CFR 633.102 (d); IGA	This is a Federal Law. If the contractor is unwilling to provide executed contract with sub, CDOT staff must verify that their boiler plate contains FHWA Form 1273 as an attachment. Only 1 subcontract is
1.14	Copy of 1 Subcontractor Contract	X	PreCon	https://www.ecfr.gov ; IGA	
1.15	Documentation Review date: _____	X	First half of project	Audit Report 19-003	LA Coordinator confirms LA is keeping project documentation correctly and files status copy of Construction Oversight Checklist in PW.
2.0 EEO					
2.1	Sublet Permit Application - Form 205	X	PreCon	LA Desk Reference #8.3.1.2, 2018 Constr Manual 107.1.3.2	One approved Form 205 for each subcontractor. Form must be submitted and approved by LA PE before subcontractor may go to work. Note: Embedded in B2GNow, no paper form req'd
2.2	ESOP (if applicable)	X	ASAP	https://www.codot.gov/business/civilrights/colms/onlineconstruction/bulletin-board	Verify Bulletin Board is posted and accessible to Resident Engineer Subcontractor (contractual LA

NOTICE OF AWARD

Project Name _____

Bid Number _____ Project No. _____

Date of Notice of Award _____

TO: _____

The City of Longmont Purchasing and Contracts Manager has considered Bids for the above Project in response to its invitation to Bidders. The City accepts your Bid for the Work in the amount of _____ DOLLARS:

You must sign the Agreement for a Construction Contract with the City of Longmont and furnish complying insurance evidence and applicable Performance and Labor and Material Payment Bonds within ten days from the date of delivery of this NOTICE to you.

If you fail to sign the Agreement for a Construction Contract or furnish the bonds and insurance within ten days from the date of delivery of this NOTICE, the City may consider all your rights under the City's acceptance of your Proposal as abandoned. Your Bid Guarantee shall become the property of the City as liquidated damages, not as penalty, for any delay of construction. The City may award or re-advertise the Work, or act otherwise, at its discretion.

CITY OF LONGMONT
Purchasing & Contracts Manager

ACCEPTANCE OF NOTICE

Receipt of the above NOTICE OF AWARD is hereby acknowledged this ____ day of _____, 2005.

CONTRACTOR

SIGNED: _____

BY ITS: _____
Title

Originals: Contractor, Purchasing and Contracts, Project Manager



**City of Lakewood
Public Works Department
Engineering Division**

Civic Center North
480 South Allison Parkway
Lakewood, Colorado 80226-3127
(303) 987-7900
(303) 987-7910 FAX

May 3, 2005

Mr. Robert Cline
Colorado Constructors, Inc.
6810 N. Broadway, Suite B
Denver, CO 80221

Re: Pre-Construction Meeting Kipling Street over Bear Creek Bridge, BRO M760-011

Dear Mr. Cline:

The **Pre-Construction Meeting** for the Kipling Street over Bear Creek bridge project is scheduled for 10:00 AM on Monday, May 16, 2005. The meeting will be held in the Public Works Conference Room on the second floor at Civic Center North, 480 South Allison Parkway. If possible, please submit necessary items prior to the meeting so they can be incorporated into the meeting. They should include:

- List of suppliers
- Schedule
- Sublet Contract Forms
- Occupational Health and Safety Statements
- MHT
- Other E.E.O. requirements

It is anticipated that construction will begin on May 23, 2005.

If you have any questions, please contact me at 303-987-7935.

Sincerely,

Steven C. Steinberger
Project Engineer

SCS/slr

<p>c: Byron Tenbrink, AT&T Sandra Boster, Bear Creek Water & Sanitation Gary Huber, CDOT Myron Swisher, CDOT Scott Moore, Comcast Lou Vullo, Denver Water Department Bill Beams, FHU Mary Barnard, Lakewood Contract Adm. Brian Langlais, Lakewood Inspector Dan Clute, Lakewood Regional Parks George Buckley, Lakewood Survey</p>	<p>Howard Miller, Lakewood Survey John Padon, Lakewood Traffic Vince Casteel, Lakewood Design Steve Trujillo, Metro Wastewater Reclamation Matt Andrews, Muller Engineering Kathy Bryant, Qwest Bill Palumbo, Qwest Lorraine Taylor, RTD David Abbink, West Metro Fire Protection Jerry Gustafson, Xcel 268 – Kipling Street over Bear Creek Construction</p>
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July 2022

CDOT Local Agency Project Desk Reference

12-2006 12:41

FROM-CDOT GREELEY TRAF

+9703502258

T-258 P.004/012 F-632



PUBLIC WORKS DEPARTMENT
1111 H STREET, P.O. BOX 758
GREELEY, CO 80632
WEBSITE: WWW.CO.WELD.CO.US
PHONE (970) 356-4000, EXT. 3750
FAX: (970) 304-6497

April 7, 2006

Stuart Miller
CDOT R-4 Local Agency
1420 2nd St
Greeley, Co 80631

RE: Pre-Construction Conference
STA 2571-009 (SA 14905)
SH 257 and WCR 74
Signal and Intersection Improvements

Dear Stuart:

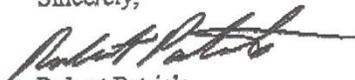
This letter is to notify you that a pre-construction conference is to be held on the above referenced project on:

DATE: APRIL 21, 2006
TIME: 9 A.M. TO 11 A.M.
LOCATION: WELD COUNTY DEPT OF PUBLIC WORKS
1111 H STREET, GREELEY, CO

If possible, please provide needed information concerning current changes in CDOT's SWMP requirements which would impact this project.

If you have further questions regarding this, please feel free to contact me, at 970-356-4000 ext. 3742.

Sincerely,


Robert Patrick
Program Manager

BID NO. 2522

NOTICE TO PROCEED

CITY OF LAKEWOOD
Lakewood, Colorado

DATE: 05/24/05

TO: Colorado Constructors, Inc.
6810 N. Broadway, Suite B
Denver, CO 80221

You are hereby authorized to proceed on this date May 31, 2005 with the work defined in the Contract Documents for KIPLING STREET OVER BEAR CREEK.

By the terms of Section 4 of the Notice to Bidders contained in the Special Provisions, you will have 130 working days from the date set forth above to complete the work.

ATTEST: CITY OF LAKEWOOD

By: [Signature] By: [Signature]
Title: Construction Inspector Title: Project Engineer

ACKNOWLEDGED BY CONTRACTOR:

By: [Signature]
Title: President

- c: Contractor
- Purchasing
- Engineering
- Property Management
- CDOT Resident Engineer

Name	Title	Organization	Phone Number	E-Mail Address

PROJECT INFORMATION

Project: _____ *Project Code:* _____

Location: _____ *MP:* _____ *to MP:* _____

Description: _____

Construction Start Date: _____ *Estimated End Date:* _____

I. INTRODUCTORY STATEMENT

We would like to start this Pre-Construction Conference by stating that the Colorado State Department of Transportation (CDOT) welcomes you to the Project Team.

As a team member please join us in meeting our goals to make this a successful, quality project with minimized impacts, not just meeting the schedule but driving it, and providing the most value for every dollar on this project in order to be a part in providing the best transportation system in Colorado.

Here at CDOT we work and live safely!
We take a can-do attitude, working together to identify and solve problems.
We are committed to quality.
We hold ourselves to the highest moral and ethical standards.

Now these statements may all sound "trite," but the point of all these statements is that they are more than just words and as a team member with CDOT there is an expectation of excellence, integrity, respect, and success for each team member.

EMERGENCY PHONE NUMBERS

PHYSICIAN _____	or
HOSPITAL _____	or
AMBULANCE _____	or
FIRE DEPT. _____	or
POLICE _____	or
USE CDOT Form #140 1/93	

III. KEY PROJECT PERSONNEL & Project Administration

CDOT Personnel	
Project Engineer	
Name:	
Mobile #:	
Project Engineer	
Name:	
Mobile #:	
Assistant Project Engineer	
Name:	
Mobile #:	
Inspector	
Name:	
Mobile #:	
Inspector	
Name:	
Mobile #:	
Inspector	
Name:	
Mobile #:	
Maintenance Representative	
Name:	
Mobile #:	
Local (City and/or County) Agency Representatives	
(Fill in Appropriate Local Agency Name Here) Representative	
Name:	
Mobile #:	
(Fill in Appropriate Local Agency Name Here) Representative	
Name:	
Mobile #:	
(Fill in Appropriate Local Agency Name Here) Representative	
Name:	
Mobile #:	
Contractor Personnel	
Company Name:	
Street Addr.	
City, State	
Zip	
Project Manager	
Name:	
Mobile #:	
Authorized to sign Change Orders?	

Superintendent			
Name:			
Mobile #:			
Authorized to sign Change Orders?			
Superintendent Designee # 1			
Name:			
Mobile #:			
Authorized to sign Change Orders?			
Superintendent Designee # 2			
Name:			
Mobile #:			
Authorized to sign Change Orders?			
Other			
Name:			
Mobile #:			
Authorized to sign Change Orders?			
A. Authority of the Engineer			
<p>The Contractor is reminded of the requirements of subsections 105.01 and 105.14 of the Standard Specifications relative to the authority and duties of the Project Engineer. The Project Engineer has immediate charge of the administrative and engineering details of the project. The Contractor is cautioned that only the Project Engineer and/or the Resident Engineer are authorized to provide information, clarification, or interpretation regarding plans, specifications, and any other contract documents or requirements, per subsection 105.09 of the Standard Specifications. Solicitation and receipt of information by the Contractor from any other CDOT representative will not be considered valid for administration of the project. Shop drawings and all other submittals required by the Contract shall be submitted to the Project Engineer. Submittals made to and received by other CDOT representatives will not be considered valid for the purpose of administration of the Contract.</p>			
Submittal	Spec./ Standard	Due	Recvd?
III A1 Dispute Review Board Members (Standing DRB)	105.23(l)	Pre-Con	
III A2 Form 1378 - Contractor Selection of Litigation or Arbitration	105.23(f)	Pre-Con	
 FORMS			
B. Payment			
1. Estimate cutoff date:			
2. Electronic Funds Transfer (EFT) forms are available from the Accounts Payable Office (303) 757-9569.			
3. Prompt Payment: §107.01 requires all Contractors to comply with the Prompt Payment Law (CRS 24-91-103(2)). Per Standard Specification 109.06, the Contractor shall submit monthly payment confirmation through B2GNow. Failure to submit required information may result in CDOT withholding of subsequent payments.			
4. Does the Contractor intend to provide securities in lieu of cash retainage to be withheld from payments?			

<p>5. Retainage will not be reduced until all project work is complete, the project has been accepted, and all required documentation has been received and accepted by CDOT.</p>			
<p>6. Forms: The Contractor shall be responsible for completing and submitting all required forms, instructing all subcontractors on the proper procedures for completing required forms, and for ensuring that all forms and reports are submitted and approved on a timely basis. Failure to do so may result in delays in payment of progress estimates.</p>			
<p>7. The Contractor's drawdown schedule is required to begin work. An update is required on the first day of each month during construction. Failure to provide an update will result in a delay of the next progress payment.</p>			
Submittal	Spec./ Standard	Due	Recvd?
III B1	Monthly Payment submitted via B2GNow System	108.04(b)	Monthly
III B2	Payment/Drawdown Schedule	108.04(a)	Pre-Con
III B3	Payment/Drawdown Schedule Update	108.04(b)	Monthly, 1st day each month
C. Contract Time			
1. Notice to Proceed Date: _____		Anticipated Start Date: _____	
2. Time count is: _____			
3. Date project time charges begin: _____			
4. Working time restrictions noted in the plans are: _____			
5. The Contractor will work _____ days per week.			
6. The Contractor's working hours will be from _____ to _____			
7. Special concerns: _____			
D. Schedules & Methods Statements			
1. The Contractor's schedule is required to begin work. A monthly update is required on the _____ day of the month.			
Submittal	Spec./ Standard	Due	Recvd?
III D1	Preliminary Schedule (Optional - Baseline Schedule may be submitted instead in this timeframe).	108.03(d)	Within 14 days after award.
III D2	Scheduling Software Selection	108.03(b)	Pre-Con
III D3	Baseline Schedule (Note may be submitted in 14 days of award instead of Preliminary Schedule).	108.03(e)	Within 45 days after award.
III D4	Method Statements for each Salient Feature. i.e. Paving Method, etc.	108.03(f), 105.02(b)	Prior to any work on salient feature.

III D5	Project Schedule Updates	108.03(g)	Monthly by progress paym't cut-off date	N/A
III D6	Weekly Planning Schedule (two week look ahead for planned activities)	108.03(h)	Weekly (progress meeting)	N/A

E. Weekly Progress Meeting / Office & Lab Info

1. Day and time of weekly progress meeting:
2. Location of weekly progress meeting:
3. Field office location:
4. Field lab location:

F. Legal Gross Truck Weights

Legal gross truck weights on all public roads, including within the project limits, will be controlled as follows (§105.18)

1. If material is delivered to the project in a vehicle with a gross weight exceeding the legal limit, the material and the scale ticket will not be accepted. If material is inadvertently incorporated into the project, it will be price reduced per section 105.18.
2. Truck scale tickets will be delivered on site
3. Truck scale tickets will be collected by

Submittal	Spec./ Standard	Due	Recvd?
III F1	List of Haul Vehicles	109.01, 412.07(a)	Prior to the time of delivery
III F2	Weigher Certifications	109.01	Prior to the time of delivery

H. Fuel Cost Adjustments

On Form 85, submitted at the time of bid opening, per Revision of Section 109 Fuel Cost Adjustment, the Contractor chose to either accept or decline the Fuel Cost Adjustments for this project as follows:



- Accept Fuel Cost Adjustments
 Decline Fuel Cost Adjustments

Once bids were opened, the Contractor is not allowed to change this decision.

I. Project First

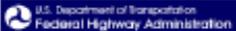
1. Is the Charter developed (optional)
2. Are the frequency, attending staff, and date of meetings scheduled
3. Are the tools (tracking spreadsheet, escalation matrix, etc. developed).

J. Comments, Concerns, and Follow Up Items on Project Administration

J. Comments, Concerns, and Follow Up Items on Project Administration

IV. Civil Rights & Labor Compliance

CDOT Personnel
Region Civil Rights Specialist
Name: _____
Mobile #: _____
Region Civil Rights Manager
Name: _____
Mobile #: _____
Contractor Personnel
Project EEO Officer
Name: _____
Mobile #: _____
A. Civil Rights
1. DBE Goal for this project: _____ DBE Commitment: _____
2. On the Job Training (OJT) Goal for this project: _____ Contractor to provide list of OJT trainees and their roles on the project.
3. CDOT Form 280 - EEO Interviews for this project (per month): _____ (Interviews shall be completed by CDOT Project Personnel ONLY)
4. The Contractor shall submit all documents pertaining to Civil Rights and Labor Compliance to the Project Engineer and the CDOT Region Civil Rights Office .

5. CDOT Form 205 - Sublet Permit Application needs to be submitted by the Contractor for each subcontractor (including Truck Drivers) working on the project.			
6. CDOT has a zero tolerance policy against sexual harassment, workplace violence, and drug or alcohol abuse. Complaints regarding these issues should be referred to the Region Civil Rights Manager. Does everyone understand this policy?		____ Yes	____ No
7. Does the Contractor have a company policy on drug and alcohol use in the workplace?		____ Yes	____ No
8. Subcontracts, including lower tiers, must physically incorporate the FHWA 1273 - Required Contract Provisions Federal-Aid Construction Contracts for all federally assisted projects. The applicable requirements of Form FHWA-1273 are incorporated by reference in any purchase order, rental agreement or agreement for other services.			
		 FORMS	
Submittal	Spec./ Standard	Due	Recvd?
IV A1	Form 1391 - Federal-Aid Highway Construction Contractors Annual EEO Report  FORMS	Each July for the duration of the project.	
IV A2	Supervisor EEO Orientation	Affirmative Action Reqrmnts SSPs	Prior to the initiation of work at any job site.
IV A3	Project EEO Meeting	FHWA 1273	Prior to the completion of work at any job site.
IV A4	Written notification to the Director of the Office of Federal Contract Compliance Programs for any construction subcontract in excess of \$10,000.	Affirmative Action Reqrmnts SSPs	Within 10 working days of award of any construction

1. Contractor and each subcontractor shall submit their certified payrolls directly into LCPTracker. Certified payrolls from the Contractor and subcontractors are to be submitted within seven days of payment. The classification name and classification code must be identified on each payroll for each employee. A unique identification number must accompany an employee's name the first time it appears on payroll. All subcontractors are to remit payrolls to the Contractor who, in turn, will check and approve payrolls for compliance prior to submittal to the Project Engineer. Failure to submit Certified payrolls, may result in the withholding of payment and/or retainage.

2. Contractor Fringe Benefit Statement shall be submitted for each individual, or for groups of people, for all employees who perform work on the project and whose wages are covered by the Davis-Bacon Related Acts. Other approved deductions shall be noted within LCPTracker, and supporting documentation shall be attached. If for any reason the fringe benefits are altered during the life of the project, the Contractor, subcontractor, or both shall submit a revised Contractor Fringe Benefit Statement to accurately reflect the changes.

D. Submittals



The Contractor should reference the submittal list to know which documents are submitted.

E. Comments, Concerns, and Follow Up Items on Civil Rights and Labor Compliance

Note: A Separate Civil Rights & Labor Compliance Mtg. may be held to review more detailed information.

V. Specialty Units

A. Environmental and Wetlands

CDOT Personnel

Region Environmental/Planning Manager

Name:			
Mobile #:			
Contractor Personnel			
Erosion Control Supervisor			
Name:			
Mobile #:			
1. Are any restrictions in place for this project?			
If yes, discuss restrictions:			
2. All mulch, seed, sod, plants, shrubs and other similar biological material must be free from noxious weeds to minimize their propagation.			
3. Review staked or delineated wetland areas and/or animal habitat areas.			
4. Review protected trees and shrubs and highly erodible soils.			
5. Environmental Pre-Con. Mtg. will be on the _____ day of _____.			
6. Review historical sites and markers within the limits of the project that are to be preserved.			
Submittal	Spec./ Standard	Due	Recvd?
V A1	Colorado Discharge Permit System Stormwater	107.25(d) SSP	PreCon
V A2	Temporary/Permanent Erosion Control Schedule	208.03(b)	With Project Schedule
V A3	Clean Equipment Certification	107.25(b)21	Prior to equipment arrival to site.
V A4	SWMP Notebook	208.03(d)1	Engineer provides Contractor.
V A5	Potential Pollution Source Report	107.25(b)6	Prior to Environ. PreCon
V A6	Proof of Erosion Control Supervisor satisfactory completion of CDOT authorized training program	208.03(c)	Prior to Environ.
V A7	Spill Prevention, Control, and Countermeasure Plan	208.06(c)	Prior to construc. & when revisions are made to SWMP

IV A5	DBE Participation (via B2GNow - based off Project's Utilization Plan).	CDOT	DBE Requirements SSP	Monthly & after final payment.
IV A6	Form 1420 - DBE Participation Plan Modification (Changing Form 1417) - must be approved in order to count toward the goal.	CDOT	DBE Requirements SSP	Before modification to DBE Plan
IV A7	Form 1337 - Contractor Commitment to Meet Requirements	CDOT	Job Train. P	Before training begins (PreCon)
IV A8	Form 838 - On-the-Job Trainee/Apprentice Record & OJT	CDOT	On the Job Train.	Before
IV A9	Form 832 - Trainee Status and Evaluation Report	CDOT	Job Train. P	Monthly by progress paym't cut-off date
IV A10	Form 1336 - OJT Modification Request - must be approved in order to count toward the goal.	CDOT	OJT Requirements SSP & Goal	Before modification to OJT Goal
IV A11	Form 205 - Sublet Permit Application	CDOT	10R.01	Prior to the initiation of sub work at
IV A12	Form 1432 - Commercially Useful Function Questionnaire	CDOT	DBE Requirements SSP & Goal	Prior to the release of retainage.
IV A13	Prompt Payment (via B2GNow) (based off approved Form 205(s)).	CDOT	DBE Requirements SSP & Goal	Monthly & after final payment.
IV A14	Form 1425 - Supplier List (list all materials/items the sum of which is \$10,000)	CDOT	DBE Requirements SSP & Goal	Prior to work on the project beginning
B. Bulletin Board				
1. Location of Project Bulletin Board:				
Items posted to the bulletin board shall be legible at all times. The latest version of the documents				
C. Certified Payrolls				

V A8	Concrete Washout Method Statement	208.02(j)	With updated SWMP Notebook
V A9	Weed Free Certification	208.02(a), 213.02	With Submittal for particular item

B. Right-of-Way

CDOT Personnel

Region ROW Supervisor

Name:

Mobile #:

1. Construction Surveying should be completed in accordance with Section 625 of the Contract Specifications. Ensure that all survey benchmarks, monumentation, and stakes are adequately

2. Review the Limits of Construction, Historical Sites and Markers within limits, and insure that

3. Are any restrictions in place for this project?

If yes, discuss restrictions:

4. Agreements to Access Private Property

The Contractor shall furnish the Project Engineer properly executed written documentation from property owners that authorizes the Contractor to trespass on private property for any of the

Comments:

5. Visual aids can substantially complement the written documentation required by CDOT

C. Utilities

CDOT Personnel

Region Utilities Engineer

Name:

Mobile #:

Utility Personnel - And Discussion of Restrictions or Conflicts

Electric:

Company:

Name:

Mobile #:

Gas:

Company:

Name:

Mobile #:

Telephone:

Company:

Name:

Mobile #:

Water:
Company:
Name:
Mobile #:
Sewer:
Company:
Name:
Mobile #:
Cable:
Company:
Name:
Mobile #:
ITS:
Company:
Name:
Mobile #:
Railroad:
Company:
Name:
Mobile #:
Irrigation:
Company:
Name:
Mobile #:
Other:
Company:
Name:
Mobile #:

D. Materials
CDOT Personnel
Quality Assurance Supervisor/Head Tester
Name:

Mobile #:
Project Tester
Name:
Mobile #:
Region Materials Engineer
Name:
Mobile #:
Contractor Personnel
Quality Assurance Personnel
Name:
Mobile #:
Name:
Mobile #:
Agenda Items
1. The Contractor should reference the submittal list and the CDOT Approved Product List (APL) to know which documents are required to be submitted. The APL list can be accessed at
2. Mix Designs and Material Samples

Required mix designs are shown on the submittals list. Any unapproved materials will not be placed on the project. The Contractor shall reference the "Special Notice to Contractors" (CDOT Field Materials Manual) for information concerning timely submittal of material samples.

3. Land Reclamation Pit

The Contractor shall comply with the requirements of the Land Reclamation Permit, including pit limits.

Comments:

4. Test Data
Test data will be available for the Contractor's review on a daily basis. CDOT Form 626 - Field Lab

5. COCs and CTRs
a. COCs and CTRs must contain all eleven items shown in Standard Specific 

"I hereby certify under penalty of perjury that the material listed in this Certificate of
b. Certified Invoices must contain the following statement with an original signature and
"We certify, by photocopy of this invoice, that the quantity of material/rental or lease/specialty

6. Salvable Materials
Salvable materials that become the property of CDOT must be carefully removed in sections and

7. Buy America
The Contractor is required to follow all requirements outlined in the contract regarding Buy

Comments:

Submittal	Spec./ Standard	Due	Recvd?
V D1 List of Proposed Material Suppliers, Form 1425 	106.01	PreCon & updated two weeks prior to delivery or fabrication for each material.	
V D2 Source of Undesignated Materials	106.02(b)	Before used on the project for each particular item	
V D3 Pipe Material to be used	624.02	PreCon	
V D4 What Structural Plate Material will be used - Aluminum or	510.02	PreCon	
V D5 Waterstops and Expansion Joints - manufacturer and model number of the designated devices.	518.04, 518.05, 518.07	PreCon	
V D6 Lighting Materials & equipment	613.02(i)	PreCon	
V D7 Concrete Mix Design	601.05	For Approval Prior to Placement	
V D8 Certified Cement Test Reports	106.13, 601.05, 701.01	Prior to use of Cement.	
V D9 Certified Fly Ash Test Reports	106.13, 601.05, 701.01	Prior to use of Fly Ash.	

V D10	Flow fill Mix Design	206.02(a)	For Approval Prior to Placement
V D11	Concrete Quality Control Plan	106.06(a)1	PreCon
V D12	Form 46 - Concrete Truck Mixer Inspection Certification	601.07(c)3	When each concrete truck is delivering to the site.
			
V D13	Scale Certifications	109.01	When each truck is delivering to the site.
V D14	HMA Mix Design	401.02(a)1	For Approval Prior to Production of the Material
V D15	HMA Quality Control Plan	106.05(a)1	PreCon
V D16	HMA Segregation Quality Control Plan	403.02 PSP	For Approval Prior to
V D17	NCHRP 350 Certification for Work Zone Devices	630.09	Before used on the project for each particular item
V D18	COCs	106.12	Prior to the installation of the
V D19	CTRs	106.13	Prior to the installation of the material.
V D20	Paint Certification	708.00	Prior to use on the project.
V D21	Quality Control Plan for Embankment	203.03(a)	For Approval Prior to Placement

V D22	Buy America Certification	106.11	Prior to the permanent incorporation of steel or iron on the project.
E. Hydraulics			
CDOT Personnel			
Region Hydraulics Engineer			
Name:			
Mobile #:			
F. Staff Bridge			
CDOT Personnel			
Staff Bridge Unit Leader			
Name:			
Mobile #:			

Bridge Construction Engineer			
Name:			
Mobile #:			
1. Are any restrictions in place for this project?			
If yes, discuss restrictions:			
2. Fabrication Quality Assurance Inspection required from Staff Bridge?			
Submittal	Spec./ Standard	Due	Recvd?
V F1	The Erection Plan, Precast Bridge Girders and Falsework - Review from CDOT Bridge Fabrication Unit Provide either 1 week prior to the Pre-Erectio Confrnce or 2 weeks prior to fabrication.	509.27, 601.11, 618.14	Earliest of before Pre-Erec. Con. or fabrication.
V F2	Written documentation of daily inspections of the erected girders and other permanent and temporary bridge elements until the deck concrete has attained the Field Compressive Strength.	509.27, 601.11, 618.14	Within 24 hours following each inspection.
V F3	Shop drawings for all prestressed components.	618.04	With the
V F4	Shop drawings, design calculations and load data for review of Type III bearing devices.	512.17	With the Erection
G. Comments, Concerns, and Follow Up Items on Specialty Units:			

VI. Safety

CDOT Personnel
Region Safety Officer
Name:
Mobile #:
Contractor Personnel
Safety Officer
Name:

Mobile #:			
A. Submittals			
1. The Contractor should reference the submittal list to know which documents are required to			
2. The Contractor shall conduct field safety meetings (also known as Toolbox or Tailgate meetings) at the frequency specified in the Plan, which shall be at least once per week.			
3. The Contractor shall fill out the Notification for Serious Accident or Event on Construction			
4. The Contractor will be allowed to resume operations only after providing written			
Comments:			
Submittal	Spec./ Standard	Due	Recvd?
VI A1	Health and Safety Plan (HASP) - including First Aid/Hospital/EMT Statement	250.03(c)	For Approval Prior to
VI A2	Form 140 - Emergency Phone Number Cards to be posted at the job site.	included in this agenda	PreCon
VI A3	Project Safety Management Plan	107.06(a)	Prior to construc.
VI A4	Safety "Toolbox" Meeting Schedule	107.06(a)4	Prior to construc.
VI A5	PPE Statement	107.06(e), 250.03(d)2F	Prior to construc.
B. Construction Zone Traffic Control			
Contractor Personnel			
Traffic Cntrl Contr. Company Name:			
Street Addr.			
City, State			
Zip			
Traffic Control Supervisor			
Name:			
Mobile #:			
1. Contractor's Superintendent and all others serving in a similar capacity are required to			
2. NCHRP 350 Requirements shall be met and fully implemented.			
Submittal	Spec./ Standard	Due	Recvd?
VI B1	Superintendent & TCS Traffic Control Certifications and CDOT or Alternate Training Certifications for all personnel	630.11	PreCon

VI B2	NCHRP, Test Level 3 Certification for all Traffic Control Devices (as required) to be used on the project.	630.10(a)	PreCon with initial TMP
C. Transportation Management Plan (TMP)			
CDOT Personnel			
Region Public Information Officer			
Name:			
Mobile #:			
Contractor Personnel			
Public Information Officer			
Name:			
Mobile #:			
1. Is this project considered a <i>significant project</i> ? (See <i>CDOT Work Zone Safety and Mobility Rule Procedures Document</i> - Published July 2014			
If so, has the TMP been submitted?			
The Contractor shall prepare a TMP for each phase of the project, as required.			
Submittal		Spec./ Standard	Due Recvd?
VI C1	Transportation Management Plan (TMP) - Initial Plan provided at PreCon	630.10	For Approval Prior to each construc. phase
VI C1a	Traffic Control Plan (TCP)	630.10(a)	with TMP
VI C1b	Transportation Operations Plan (TO)	630.10(b)	with TMP & weekly
VI C1c	Public Information Manager (PIM) & Plan (PIP)	630.10, PSP 626.01	PreCon with initial TMP
VI C1c(1)	Stakeholder list	PSP 626.01	with PIP
VI C1c(2)	Specific Stakeholders needing ongoing communication	PSP 626.01	with PIP
Other Stakeholders			
Organization:			
Name:			
Address:			
Mobile #:			
Organization:			
Name:			
Address:			

Mobile #:			
Organization:			
Name:			
Address:			
Mobile #:			
D. Method of Handling Traffic (MHT) - Initial submittal required at PreCon			
1. Does the MHT contain a detailed diagram showing the location of all traffic control devices?		<input type="checkbox"/> YES	<input type="checkbox"/> NO
2. Does the MHT show the method, length, and time duration for lane closures?		<input type="checkbox"/> YES	<input type="checkbox"/> NO
3. Does the MHT show the location of flaggers and time duration of flagging operation?		<input type="checkbox"/> YES	<input type="checkbox"/> NO
4. Does the MHT contain a tabulation of all traffic control devices?		<input type="checkbox"/> YES	<input type="checkbox"/> NO
5. Does the MHT address details of a mobile pavement marking zone (as required by the contract)		<input type="checkbox"/> N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO
6. Does the MHT list supporting references?		<input type="checkbox"/> YES	<input type="checkbox"/> NO
7. Does the MHT show an access maintenance plan showing access for all properties?		<input type="checkbox"/> YES	<input type="checkbox"/> NO
8. Does the MHT show areas where equipment will be stored, vehicles parked, and construction signs and materials will be stored?		<input type="checkbox"/> YES	<input type="checkbox"/> NO
9. Does the MHT have a plan for maintaining and controlling pedestrian, bicycle, and other non-vehicular traffic?		<input type="checkbox"/> YES	<input type="checkbox"/> NO
10. Are verifications needed by survey of horizontal or vertical clearances?		<input type="checkbox"/> N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO

Comments:			
Submittal	Spec./ Standard	Due	Recvd?
VI D1	Method of Handling Traffic (MHT) to implement the TCP - Initial MHT with the TMP provided at PreCon	630.10(a)	For Approval Prior to each construc. phase
VI D2	Construction Traffic Information Signs	Drawing S-630-1 note:6	After Award
E. Construction Signing			
1. All signing shall conform to the latest adopted version of the MUTCD, including the Colorado			
2. Is there any construction signing on the project that is not the responsibility of the Contractor? If yes:		<input type="checkbox"/> YES	<input type="checkbox"/> NO
F. Speed Limits/Uniform Traffic Control			
1. The Form 568 has been approved based on plans and specifications for a reduction of speed to _____ MPH.		<input type="checkbox"/> YES	<input type="checkbox"/> NO
2. Uniform Traffic Control (UTC) will be utilized on this project.		<input type="checkbox"/> YES	<input type="checkbox"/> NO
- The Contractor shall conform to and submit a copy of the local jurisdiction's policy			
Submittal	Spec./ Standard	Due	Recvd?
VI F1	Form 568 - Authorization and Declaration of Temporary Speed Limits	630.13, Drawing S- --- 1 note.3	By Project Engineer with Project Schedule Review
			
G. Restrictions (Performed by Project Engineer)			
1. Oversize/Overweight Vehicles			
Is a restriction needed for oversize/overweight vehicles on this project?		<input type="checkbox"/> YES	<input type="checkbox"/> NO
If oversize/ overweight or vertical/horizontal restrictions are required, the <u>Project Engineer</u> shall			
Start of Closure:		Width:	
End of Closure:		Length:	
Restriction:		Highway No:	
Closure/Detour:		Beginning Milepost:	

Town:	Ending Milepost:
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JUL-12-2006 12:41 FROM-CDOT GREELEY TRAF

+9703502258

T-258 P.007/012 F-632



ENGINEERING DEPARTMENT

Post Office Box 190
Fort Collins, Colorado 80522-190

(970) 498-700
FAX (970) 498-986

May 15, 2006

Wendy Turner
Colorado Department of Transportation
1420 Second Street
Greeley, CO 80631

RE: STE C060-045 Billing No. 1

Dear Wendy:

Larimer County Billing No. 1 for Project No. STE C060-045 (15278) (Larimer County Project No. 7005) is enclosed for processing. This will be the only billing for the project.

Please let me know if you have any questions.

Sincerely,

A handwritten signature in dark ink that reads "Joe Temple". The signature is written over a dark rectangular redaction box.

Joe Temple
Project Manager

Attachments

cc: Project File
Meegan Flenniken

LOCAL AGENCY BILLING – PAGE 1 OF 2

Date: May 15, 2006

SECTION I. CONTRACT DATA

Local Agency: Larimer County Parks and Open Lands Project No.: STE C060-145
 Address: 1800 South County Road 31, Loveland, CO 80537
 Employer (FEIN) ID Number: 84-6000779 Project Location: Blue Sky Trail @ CR 30 E
 Invoice Number/Date: 1 – May 15, 2006
 % Completed: 100% Subaccount No.: 15278

BASIC AND/OR SUPPLEMENTAL CONTRACT TOTAL: \$350,000.00
 Federal Share: \$280,000.00
 Local Agency Share: \$ 70,000.00
 State Share: \$ -0-

Prior Period Billing Amount: \$ 280,000.00

Current Billing Period: From: July 27, 2005 To: May 15, 2006

SECTION II. INCURRED COSTS

DIRECT LABOR: (List individually)

Employee Name	Classification	Regular Hours	Direct Hourly Rate \$	Overtime Hours*	Cost \$
[REDACTED]	Senior Civil Engineer	51	40.43		2,061.33
[REDACTED]	Senior Eng. Tech.	54	27.18		1,467.72
[REDACTED]	Senior Civil Engineer	1.5	40.42		60.63
[REDACTED]	Admin. Assistant 2	14	16.92		236.88
[REDACTED]	Senior Eng. Tech.	9	26.77		240.93
[REDACTED]	Eng. Tech. 2	188.5	24.60		4,637.10
[REDACTED]	Construction Manager	225	39.84		8,964.00
[REDACTED]	Senior Eng. Tech.	575.5	27.72		15,952.86
[REDACTED]	Senior Eng. Tech. 2	115.5	30.39		3,510.15
[REDACTED]	Senior Eng. Tech 2.	95	18.58		1,765.10
[REDACTED]	Environ. Specialist	6	36.07		216.42
[REDACTED]	Eng. Tech. 2	18	24.41		439.38

*Eligible classifications only.

LOCAL AGENCY BILLING – PAGE 2 OF 2

Date: May 15, 2006

	Current This Period	Total To Date
SUBTOTAL - DIRECT LABOR	\$ <u>39,553.00</u>	\$ <u>39,553.00</u>
BENEFITS -38.8% OF DIRECT LABOR	\$ <u>15,346.56</u>	\$ <u>15,346.56</u>
OPERATING EXPENSES – 21.4% OF DIRECT LABOR	\$ <u>8,464.34</u>	\$ <u>8,464.34</u>
OTHER DIRECT COSTS (In-House) List individually-at actual cost; mileage (miles x \$), CAD (hrs x \$), equipment rental (hrs x \$), etc.	\$ <u>-0-</u>	\$ <u>-0-</u>
OUTSIDE SERVICES: (Consultants & Vendors) (List individually) (To be in this same format – attach copies of invoices)	\$ <u>-0-</u>	\$ <u>-0-</u>
CONTRACT CONSTRUCTION	\$ <u>340,548.96</u>	\$ <u>340,548.96</u>
TOTAL COSTS CURRENT PERIOD:	\$ <u>403,912.86</u>	
TOTAL COSTS TO DATE:		\$ <u>403,912.86</u>

SECTION III. BILLING

Total Billing 403,912.86
 Federal Participating Amount 350,000.00

TOTAL BILLING CURRENT PERIOD
 (69% OF TOTAL COSTS): 80% reimbursible to LA \$ 280,000.00 Pay to Larimer County
 (Federal funds limited to budgeted amount)

Prior Billing: \$ -0-

I certify that the billed amounts are actual and in agreement with the contract terms:

Joe Temple Signature Title PROJECT MANAGER Date 5/18/06

JUL-12-2006 12:42

FROM-CDOT GREELEY TRAF

+9703502256

T-258

P.010/012

F-632

Item Number	Description	Contract Quantity	Unit	Unit Price	Contract \$	Previous Total Quantity	Previous (%) Complete	Previous Amount Paid	Total Quantity To Date	(%) Complete To Date	Total Amount to Date
202	Removal of Tree	2	EA	500.00	\$ 1,000.00	11	5.5	\$ 5,500.00	11	550.0%	5,500.00
202	Removal of Asphalt Mat	220	SY	6.00	\$ 1,320.00	368	1.76393864	\$ 2,328.00	368	176.4%	2,328.00
202	Removal of End Anchorage	1	EA	500.00	\$ 500.00	1	1	\$ 500.00	1	100.0%	500.00
203	Unclassified Excavation	760	CY	12.00	\$ 9,120.00	760	1	\$ 9,120.00	760	100.0%	9,120.00
203	Borrow	576	CY	20.00	\$ 11,520.00	798	1.3874281	\$ 15,960.00	798	138.8%	15,960.00
206	Structure Excavation	1145	CY	9.00	\$ 10,305.00	1145	1	\$ 10,305.00	1145	100.0%	10,305.00
206	Struct Backfill (Special)	120	CY	92.00	\$ 23,040.00	720	1	\$ 23,040.00	720	100.0%	23,040.00
206	Shoring	185	LF	150.00	\$ 27,750.00	145	0.7837838	\$ 21,750.00	145	78.4%	21,750.00
207	Topsoil	320	CY	6.00	\$ 1,920.00	320	1	\$ 1,920.00	320	100.0%	1,920.00
208	Erosion Bales (Wood Free)	40	EA	20.00	\$ 800.00	8	0.2	\$ 160.00	8	20.0%	160.00
208	Concrete Washout Structure	550	LF	2.00	\$ 1,100.00	550	1	\$ 1,100.00	550	100.0%	1,100.00
208	Reset Fence	140	LF	30.00	\$ 4,200.00	0	0	\$ -	0	0.0%	0.00
210	Reset Gate (Special)	1	EA	2,500.00	\$ 2,500.00	0	0	\$ -	0	0.0%	0.00
212	Reset Guardrail Type 3	150	LF	8.00	\$ 1,200.00	125	0.83333333	\$ 1,000.00	125	83.3%	1,000.00
213	Seeding (Native)	0.4	AG	2,500.00	\$ 1,000.00	0.8	1.5	\$ 1,500.00	0.8	150.0%	1,500.00
216	Soil Reinft Blanket (SRC)	675	SY	2.00	\$ 1,350.00	600	0.88888889	\$ 1,200.00	600	88.9%	1,200.00
304	ABC (Class 5)	492	TON	30.00	\$ 14,760.00	374.48	0.7611585	\$ 11,234.70	374.48	76.1%	11,234.70
419	HBP/Gr S(A)/75(P-064-22)	61	TON	95.00	\$ 5,795.00	125.68	2.0604918	\$ 1,200.00	125.68	206.0%	1,200.00
420	Geotextile (E.C.) (Class A)	520	SY	3.00	\$ 1,560.00	400	0.7692308	\$ 1,200.00	400	76.9%	1,200.00
506	Riprap 124"	430	CY	84.00	\$ 36,120.00	231	0.5372093	\$ 19,404.00	231	53.7%	19,404.00
601	Concrete C/B (Wall)	44	CY	575.00	\$ 25,300.00	44	1	\$ 25,300.00	44	100.0%	25,300.00
602	Reinforcing Steel	2550	LB	2.00	\$ 5,100.00	2630	1	\$ 5,060.00	2630	100.0%	5,060.00
603	24" Corr Steel Pipe (CIP)	82	LF	45.00	\$ 3,690.00	82	1	\$ 3,690.00	82	100.0%	3,690.00
604	8 x 8 FT CBC (Process)	90	LF	475.00	\$ 42,750.00	90	1	\$ 42,750.00	90	100.0%	42,750.00
605	inlet Type G (5 FT)	1	EA	2,600.00	\$ 2,600.00	1	1	\$ 2,600.00	1	100.0%	2,600.00
606	Geocomp Drain without Pipe	56	SY	12.00	\$ 672.00	56	1	\$ 672.00	56	100.0%	672.00
606	GR Type 3 (8-3 Post Spa)	88	LF	56.00	\$ 4,928.00	113	1.2840909	\$ 6,328.00	113	128.4%	6,328.00

Original Contract Time 40
 Days Added By C.M.O. 5
 Revised Contract Time 45
 Days Prev. Charged 43
 Total Days Charged This Period 0
 Time Remaining 43

Percent Complete By Time 94%
 Percent Complete By Dollars 94%

Project Number: 7006
 Project Description: Blue Sky Trail Underpass (Fad Aid Project No. STE C060-045, 15278)
 Contractor: Mountain Constructors, Inc.
 Pay Estimate Number: NO. 5
 From: FINAL
 To:

7006 Pay Estimates.xls

05/10/2006

CMO #	Description	Original Contract	Pay Application #	Previous	Current	Total To Date
606	End Anchorage Type 3J	EA 1,600.00	2	1	\$ 3,200.00	\$ 3,200.00
606	End Anchorage Type 3K	EA 1,400.00	2	2	\$ 2,800.00	\$ 2,800.00
608	End Anchorage (SRT)	EA 2,000.00	1	1	\$ 2,000.00	\$ 2,000.00
607	Fence (Temporary)	LF 6.00	0	0	\$ -	\$ 0.00
607	Fence Bw W/ Trl Wood Posts	LF 8.00	214	1,845,456	\$ 1,712.00	\$ 1,712.00
607	Fence SW W/ Trl Wood Posts	LF 8.00	58	0.58	\$ 464.00	\$ 464.00
607	12' Gate (Metal)	EA 500.00	2	2	\$ 1,000.00	\$ 1,000.00
607	End Post	EA 160.00	2	2	\$ 320.00	\$ 320.00
608	Corner & Line Brace Post	EA 200.00	4	1	\$ 800.00	\$ 800.00
613	Rubber Mat	SF 5.00	720	1	\$ 3,600.00	\$ 3,600.00
620	Lighting	LS 7,200.00	1	1	\$ 7,200.00	\$ 7,200.00
630	Sanitary Facility	EA 500.00	1	1	\$ 500.00	\$ 500.00
630	Const. Traffic Control	LS 24,000.00	1	1	\$ 24,000.00	\$ 24,000.00
630	Flagging	HI 24.00	182.5	0.226125	\$ 4,380.00	\$ 4,380.00
630	Concrete Barrier (Temp)	LF 22.00	252	1.0723404	\$ 5,544.00	\$ 5,544.00
630	Traffic Signal (Portable)	Day 200.00	42	1	\$ 8,400.00	\$ 8,400.00
638	Mobilization	LS 32,000.00	1	1	\$ 32,000.00	\$ 32,000.00
Contract Item Totals					\$ 381,536.00	\$ 381,536.00
					\$ 395,090.25	\$ 395,090.25

CMO #	Description	Pay Application #	Previous	Current	Total To Date
2	Structure Backfill (Flowfill)	2	1	\$ 413.71	\$ 413.71
1	Seal and Prep Joints Incls CBC	3	1	\$ 2,600.00	\$ 2,600.00
3	Additional Culvert Installation	3	1	\$ 2,645.00	\$ 2,645.00
0		0	0	\$ -	\$ 0.00
0		0	0	\$ -	\$ 0.00
0		0	0	\$ -	\$ 0.00
0		0	0	\$ -	\$ 0.00
0		0	0	\$ -	\$ 0.00
0		0	0	\$ -	\$ 0.00
0		0	0	\$ -	\$ 0.00
0		0	0	\$ -	\$ 0.00
0		0	0	\$ -	\$ 0.00
0		0	0	\$ -	\$ 0.00
C.M.O. Item Totals				\$ 5,458.71	\$ 5,458.71
Project Totals				\$ 340,548.98	\$ 340,548.98

05/10/2006

7005 Pay Estimates.xls

SUMMARY

Original Contract Amount	\$ 361,536.00	10% of Contract Cost To Date (Exclusive of Mobilization)	\$ 30,864.90
Total of CMO's Paid To Date	\$ 5,458.71	6% of Original Contract Amount	\$ 18,076.80
Revised Contract Amount	\$ 360,994.71	Maximum Retainage	\$ 18,076.80
		Previous Amount Retained	\$ 18,076.80
		Retainage Amount This Period	\$ -
Total of Contract Items Paid To Date	\$ 335,090.26	Total Amount Earned To Date	340,548.96
Total of C.M.O.'S Paid To Date	\$ 5,458.71	Less Previous Amount Earned	\$ 340,548.96
Project Cost To Date	\$ 340,548.96	Plus Retainage	18,076.80
		Payment Due This Estimate	\$ 18,076.80

Recommended For Payment

Project Number: 7005
 Project Description: Blue Sky Trail Underpass (Fed Aid Project No. STE C060-045, 15278)

Pay Estimate Number: NO. 5 \$18,076.80

 County Engineer  Construction Manager
 Date: 5/11/06 Date: 5/11/06

 Project Manager  Contractor Representative / Title
 Date: 5/11/06 Date: 5-11-06

Director of Road And Bridge Date:

<u>CDOT REIMBURSEMENT REQUEST FORM</u>			
<u>SECTION I - CONTRACT INFORMATION</u>			
Local Agency:	Springwood	Project Number:	ABC-D123-456
Address:	1428 Elm Street, Springwood, CO 80552	Project Code:	12345
Employer (FEIN) ID Number:	12-3456789	Project Location:	1428 North Genesee Ave, Springwood, Colorado
Reimbursement No.:	1	Invoice Date:	12/17/2018
% Completed:	20	LA Invoice No.:	
Current Billing Period	From: 11/1/2018 To: 11/30/2018		
BASIC and/or SUPPLEMENTAL CONTRACT TOTAL:		\$	1,000,000.00
82.79 %	Federal Share:	\$	827,900.00
0 %	State Share:	\$	-
17.21 %	Local Agency Share:	\$	-
	Prior Billing Amount:	\$	123,385.00
	Amount Remaining:	\$	876,615.00
<u>SECTION II - INCURRED COSTS</u>		<u>Current This Period</u>	<u>Total to Date</u>
Design Costs - see attachment		\$ -	\$ -
Construction Costs - see attachment		\$ -	\$ -
TOTAL COSTS CURRENT PERIOD:		\$ -	\$ -
TOTAL COSTS TO DATE:			\$ -
<u>SECTION III - BILLING</u>			
TOTAL BILLING CURRENT PERIOD		\$ -	
Minus Local Agency Overmatch		\$ -	
Minus Local Agency Matching Share	17.21 %	\$ -	
Amount payable to Local Agency		\$ -	
I certify that the billed amounts are actual and in agreement with the contract terms.			
Signature	Title	Project Engineer	Date: 1/1/2019

Colorado Department of Transportation
LETTER OF MATERIALS CERTIFICATION

Project Number:
Location:
Project Code:
Date:
Contractor:
Date Accepted:

This is to certify that:

The results of the tests on acceptance samples indicate that the material incorporated in the construction work, and the construction operations controlled by sampling and testing, were in conformity with the approved plans and specifications; and such results compare favorably with the results of the independent Assurance Sampling and Testing.

All independent Assurance sample and tests are within tolerance limits of these samples and tests that are used in the acceptance program, except as documented in the project records.

Exceptions to the plans and specifications are explained on the back hereof (or on an attached sheet).

Page 2 attached, Explanation(s) of Exceptions. LA prepares and attaches
Page 3 attached, Independent Assurance Schedule. LA prepares and attaches

By _____

Local Agency Engineer

Cc:
Local Agency Resident Engineer
CDOT Resident Engineer
CDOT Materials Engineer
CDOT Records Management / ProjectWise Explorer

EEO CERTIFICATION ACCEPTANCE LETTER

Date:

To: Region CDOT Resident Engineer

From:

Subject: EEO Certification of Compliance

Project No.:

ID#:

I do hereby certify:

All contractor certified payroll documentation has been reviewed and is in compliance.

All federally mandated EEO Program documentation has been reviewed and is in compliance.

All documentation will be retained for the required length of time in accordance with the IGA.

Comments/Explanation of Exceptions that apply:

Certified By:

Local Agency Representative

Title

Cc: Local Agency file
CDOT EEO Representative

STATE OF COLORADO

DEPARTMENT OF TRANSPORTATION

Chief Engineer
4201 E. Arkansas Ave. #262
Denver, CO 80222
(303) 757-9206
(303) 757-9656 Fax



Date: March 4, 2005

To: Region Transportation Directors, Professional Engineer III's, and Resident Engineers

From: Craig Siracusa, Chief Engineer *Craig Siracusa*

Subject: Construction Inspector Qualification Program
Policy Memo 25

As a follow up to the memo issued on October 25, 2004, I would like to communicate progress in the implementation of the CDOT Inspector Qualification Program. The Inspector Qualification Board of Directors has developed the following policies in regard to prerequisites, certification requirements and program implementation.

Required Prerequisite Classes:

- Technical Series (EPS Assistant I thru EPS Technician III)
 - Basic Highway Math
 - Basic Highway Surveying
 - Basic Highway Plan Reading
 - Erosion Control Supervisor
- Professional Series (EIT I thru EIT III)
 - Basic Highway Surveying
 - Basic Highway Plan Reading
 - Erosion Control Supervisor

The specialty certifications, such as CAPA Asphalt Inspection, WAQTC, and Major Structures, will only be required when an inspector is working on a project where those items of work are performed. For example, a person working on an asphalt overlay would need the pre-requisites plus the CAPA asphalt inspection; a person working on an embankment would need the pre-requisites plus the WAQTC soils; etc. The specialty training requirements apply to the full range of both the technical and professional series listed above.

Supervisors will be required to anticipate and incorporate the required specialty training needs into training plans as required by project assignments.

Resident Engineers are also encouraged to look at the background of their Project Engineers (both licensed and not licensed). Resident Engineers should include the categories that they believe are appropriate in the Project Engineers' training plans as well.

Program Implementation:

- The above requirements will be mandatory on CDOT projects after March 1, 2006.
- The scopes of work in future consultant contracts must include the certification requirements for inspectors effective March 1, 2006.

The qualification program products can be accessed both internally and externally at:

<http://www.dot.state.co.us/CHRMEmpCorner/empdev.cfm>

I encourage you to begin to work with your employees to structure a plan that addresses the specific needs.

STATE OF COLORADO

DEPARTMENT OF TRANSPORTATION

Chief Engineer
4201 E. Arkansas Ave. #262
Denver, CO 80222
(303) 757-9206
(303) 757-9656 Fax



Date: November 7, 2005

To: Region Transportation Directors, Professional Engineer III's, and Resident Engineers

From: Craig Siracusa, Chief Engineer *C Siracusa*

Subject: Construction Inspector Qualification Program
Policy Memo 25a

As a follow up to the Policy Memo 25 issued on March 4, 2005, I would again like to communicate progress and clarify requirements for the implementation of the CDOT Inspector Qualification Program. With input from the Program Engineers, the Inspector Qualification Board of Directors has developed the following policies in regard to certification requirements and program implementation.

- Local Agency Projects - Construction inspection certification will be required when the project is on the CDOT right-of-way, within the roadway template, adding lanes, or as otherwise determined by the Resident Engineer. The requirements for Local Agency Project Engineers will be the same as for CDOT Project Engineers. These requirements will be incorporated into new local agency projects, so it will not be retro-active on current projects. As such, the implementation timeframe for local agency projects will vary.
- CDOT Access Permit Inspectors – Certification is not required; however, the Region Traffic Engineers are encouraged to look at the background of their access permit inspectors and include the categories that they believe are appropriate in the access permit inspectors' training plans. This will have value for CDOT for the inspection on these projects as well as improve the career path for the access permit inspectors. This will be re-evaluated as a requirement in one year.
- Summer Temporaries - Summer temporaries normally have lower level duties to assist testers and inspectors. In these cases, the certifications are not applicable. However, if the summer temporary is taking on the full responsibility of the construction inspector, then the certifications will apply.
- Consequences and Accountability - These requirements will be incorporated into an employee's training IPO and addressed through the 3P process. Supervisors will make modifications to and incorporate the training requirements into IPOs and training plans as required.

**City of Aurora**

Parks & Open Space Department
Planning Design and Construction
15151 E. Alameda Parkway
Aurora, Colorado 80012
Phone: 303-739-7160
Fax: 303-739-7143
www.auroragov.org

June 16, 2004

Mr. John Meza
Meza Construction
740 S. Bryant St.
Denver, CO 80219

Re: Letter of Acceptance
Project No. STE MO55-012
Subacct. No. 12741
Location Aurora City Center Bike Path

Dear Mr. Meza,

This is to inform you that the above-referenced project was accepted as complete on 5/01/04. You are advised that the following items are required as part of your contract for this project. Retainage can not be reduced until all paperwork has been received. These items must be submitted before Final payment can be approved:

1. CDOT form 17
2. Buy America Certification Statement
3. All outstanding material COC's.

The final quantities are ready for your review at this time. The Final estimate and supporting documentation will be submitted to the Region office by June 24, 2004. Contact Carol Anderson with CDOT questions at 303-757-9826 and contact me with coordination questions at 303-739-7473.

Thanks for cooperation on this project.

Sincerely,

A handwritten signature in black ink, which appears to read "Peggy Golden", is written over a dark rectangular redaction box.

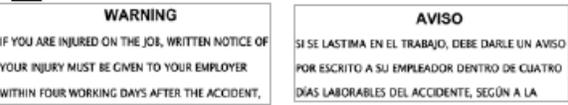
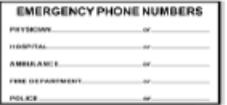
Peggy Golden
Senior Landscape Architect

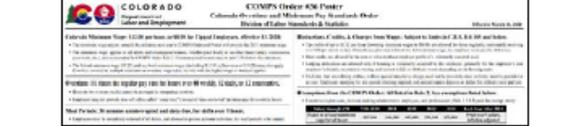
cc: Project Development
Projects & Grants
Business Office
Region Lab

Area Engineer
Resident Engineer
Finals Engineer

Bulletin Board Required Postings

Emergency Phone Numbers, CDOT Form 140
CDOT Notice: Equal Opportunity Employer, CDOT Form 388
Non-Discrimination in Employment Notice (Unions or Other Hiring Agencies, CDOT Form 465)
Fair Labor Standards Act (FLSA), WH Form 1088 (Minimum Wage)
* FHWA Penalty for False Statements, FHWA Form 1022
Equal Employment Opportunity is the Law English Spanish
Occupational Safety and Health, You Have a Right to a Safe and Healthful Workplace, OSHA 3165 English Spanish
* Notice to All Employees Working on Federal or Federally Financed Construction Projects, WH 1321 (2 pages)
Notice Employee Polygraph Protection Act, WH 1462 English Spanish
Prompt Payment Notice and Law
Your Rights under the Family and Medical Leave Act, WH 1420 English Spanish
Notice to Employees: Executive Order 13201, Notification of Employee Rights Concerning Payment of Union Dues or Fees (Beck Act)
Workers Compensation information, (obtain from insurance company that provides your coverage)
* Colorado Minimum Wage Decision from project special provisions and Conformed rates added to the wage decision (if applicable)
Note: * The FHWA 1022, WH1321 and the required Colorado Minimum Wage Decision are for Federally Funded Contracts only.

Construction Bulletin Board Required Postings CHECKLIST		 	Project No.: _____ Project Code (SA#): _____
Yellow = most recent changes		Project Location/Name: _____ Date of Inspection: _____ Follow-up Insp: _____	
Colorado Notice of Paydays <input type="checkbox"/> English Form #: N/A Source: CDLE Last Updated: <i>not specified</i> 		Colorado Notice to Employer of Injury <input type="checkbox"/> English Form #: WC50 Source: CDLE <input type="checkbox"/> Spanish Last Updated: Rev. 5/99 	
Colorado Anti-Discrimination Laws <input type="checkbox"/> English Form #: N/A Source: CO DORA <input type="checkbox"/> Spanish Last Updated: Jul-19 		Colorado Employment Security Act <input type="checkbox"/> English Form #: prev. 502 Source: CDLE <input type="checkbox"/> Spanish Last Updated: Rev 4/29/19 	
EEO is the Law <input type="checkbox"/> English Form #: EEOC-P/E-1 Source: US EEOC <input type="checkbox"/> Spanish Last Updated: Rev 11/09 *2 pages each 		EEO is the Law Supplement <input type="checkbox"/> English Form #: N/A Source: US DOL <input type="checkbox"/> Spanish Last Updated: Rev 09/15 	
Emergency Phone Numbers <input type="checkbox"/> English Form #: CDOT 0140 Source: CDOT Last Updated: Rev 01/93  <input type="checkbox"/> Signed/Filled Out		Notice to Unions or Other Hiring Agencies Non-Discrimination in Employment Notice <input type="checkbox"/> English Form #: CDOT 0465 Source: CDOT Last Updated: Rev 10/94  <input type="checkbox"/> Signed/Filled Out	
Penalty for False Statements <input type="checkbox"/> English Form #: 1022 Source: FHWA <input type="checkbox"/> Spanish Last Updated: Rev May 2015 		Job Safety and Health <input type="checkbox"/> English Form #: 3165 Source: OSHA <input type="checkbox"/> Spanish Last Updated: 2019 	
Family Medical Leave Act <input type="checkbox"/> English Form #: WH 1420 Source: FHWA <input type="checkbox"/> Spanish Last Updated: Rev 04/16 * (2013 still good)  		Fair Labor Standards Act - Minimum Wage Poster <input type="checkbox"/> English Form #: WH 1088 Source: DOL <input type="checkbox"/> Spanish Last Updated: Rev 07/16  	

<p>Notice: Equal Opportunity Employer</p> <p><input type="checkbox"/> English Form #: Form 0388 Source: CDOT Last Updated: Rev 10/93</p> <p><input type="checkbox"/> Signed/Filled Out</p> <p>Number of Subs: ____ *ALL SUBS SHOULD BE LISTED</p> 	<p>Company EEO Policy</p> <p><input type="checkbox"/> English Form #: N/A Source: FHWA Last Updated:</p> <p>According to the FHWA 1273 II, Nondiscrimination 3d, and 41 CFR 60-4.3 7f, "Notices and posters setting forth the contractor's EEO policy will be placed in areas readily accessible to employees, applicants for employment and potential employees"</p>
<p>Colorado Worker's Compensation</p> <p><input type="checkbox"/> English Form #: WC49 Source: CDLE Spanish Last Updated: Rev 05/19</p> <p>Colorado Department of Labor and Employment GOVERNMENT WORKERS COMPENSATION Colorado Workers' Compensation Information</p> <p>Colorado Department of Labor and Employment GOVERNMENT WORKERS COMPENSATION Información De Indemnización Por Accidentes Laborales De Colorado</p> 	<p>Employee Polygraph Protection Act</p> <p><input type="checkbox"/> English Form #: WH 1462 Source: FHWA Spanish Last Updated: Rev 2016</p> <p>DERECHOS DEL EMPLEADO LEY PARA LA PROTECCIÓN DEL EMPLEADO CONTRA LA PRUEBA DEL POLÍGRAFO</p> <p>EMPLOYEE POLYGRAPH PROTECTION ACT EMPLOYEE POLYGRAPH PROTECTION ACT</p> 
<p>Pay Transparency</p> <p><input type="checkbox"/> English Form #: Source: FHWA Spanish Last Updated: Dec-16</p> <p>PAY TRANSPARENCY NONDISCRIMINATION PROVISION</p> <p>TRANSPARENCIA EN EL PAGO DISPOSICIÓN SOBRE NO DISCRIMINACIÓN</p> 	<p>Employee Rights for Workers with Disabilities Paid at Special Min Wages</p> <p><input type="checkbox"/> English Form #: WH 1284 Source: DOL Spanish Last Updated: Jan-18</p> <p>EMPLOYEE RIGHTS FOR WORKERS WITH DISABILITIES PAID AT SUBMINIMUM WAGES</p> <p>DERECHOS DE EMPLEADOS PARA TRABAJADORES CON DISCAPACIDADES QUE PERCIBEN UN SALARIO INFERIOR AL MÍNIMO</p> 
<p>Families First Coronavirus Response Act</p> <p><input type="checkbox"/> English Form #: WH1422 Source: DOL Spanish Applies April 1, 2020 to December 31, 2020</p> <p>EMPLOYEE RIGHTS FOR THE FAMILY FIRST CORONAVIRUS RESPONSE ACT</p> <p>DERECHOS DEL EMPLEADO DEBIDO AL PLAN DE RESPUESTA AL CORONAVIRUS</p> 	<p>COMPS Order #36 Poster</p> <p><input type="checkbox"/> English Form #: Source: CDLE Spanish Last Updated: Mar-20</p> <p>COMPS Order #36 Poster Colorado Division of Labor Standards & Statistics</p> 
<p>Your Rights Under USERRA</p> <p><input type="checkbox"/> English Form #: N/A Source: US DOL Last Updated: April 2017 Pub</p> <p>YOUR RIGHTS UNDER USERRA THE UNIFORMED SERVICES UNIVERSITY HEALTH CARE PLAN (USERRA)</p> 	<p>Davis Bacon Wage Decision</p> <p><input type="checkbox"/> Davis Bacon Wage Decision Posted</p> <p>Number of Pages Posted: ____</p> <p>Other information:</p>
<p>The gray/shaded forms are only required on FEDERAL Projects or projects with Federal Requirements*</p>	
<p>Employee Rights under the Davis Bacon Act</p> <p><input type="checkbox"/> English Form #: WH 1321 Source: FHWA Spanish Last Updated: Rev 10/17</p> <p>DERECHOS DEL EMPLEADO BAJO LA LEY DAVIS-BACON</p> <p>EMPLOYEE RIGHTS UNDER THE DAVIS-BACON ACT</p> 	<p>Employee Rights Under the National Labor Relations Act</p> <p><input type="checkbox"/> English Form #: Source: DOL Spanish Last Updated: 2019</p> <p>EMPLOYEE RIGHTS UNDER THE NATIONAL LABOR RELATIONS ACT</p> <p>DERECHOS DE LOS EMPLEADOS SEGUN LA LEY NACIONAL DE RELACIONES DEL TRABAJO</p> 

TRAFFIC CONTROL REVIEW

Project: _____ **Date:** _____
Subaccount: _____ **Time:** _____
Location: _____

Project Engineer: _____ **Prime Contractor:** _____
Resident Engineer: _____ **Traffic Control Contractor:** _____
Reviewer: _____ **Traffic Control Supervisor:** _____

N/A = Not applicable, NC = Not Checked, Yes = 1, No = 0 * = See comments

I. CDOT TRAFFIC CONTROL MANAGEMENT (Weight = 1)

- A. Traffic control calendar daily diary.
- B. Diary reviewed by CDOT & WTS.
- C. Discrepancies...noted in diary & corrected.
- D. Night inspections conducted weekly, documented.
- E. MUTCD (Current) in CDOT field office.
- F. Resident Engineer Traffic Control Review done
- G. Public Information Spec Implemented as required

Yes/No/NA	Score	Total Possible
0	0	1
0	0	1
0	0	1
0	0	1
0	0	1
0	0	1
0	0	1
Section Score (Sum X Wt)		0

Section Score (Sum X Wt)

II. METHOD OF HANDLING TRAFFIC (Weight =2)

- A. MHT on file in project records.
- B. Personnel have received WZTC training
- B. MHT in compliance with TCP.
- C. CMO prepared for major change of TCP.
- D. MHT reviewed and initialed by Prime contractor.
- E. MHT approved and initialed by proper CDOT person.
- F. Sufficiently detailed per 630.08.
 - 1. Detailed diagram
 - 2. Tabulation of devices for each phase.
 - 3. MUTCD, Plans, Special Provisions & other sources referenced as necessary.
 - 4. Established access mtce. plan, turn around locations, equipment storage, etc.
 - 5. Pedestrian, Bicycle or non vehicular access addressed per the TCP.
 - 6. Plan for emergency vehicle access, if needed.

Yes/No/NA	Score	Total Possible
0	0	1
0	0	1
0	0	1
0	0	1
0	0	1
0	0	1
0	0	1
0	0	1
0	0	1
0	0	1
0	0	1
0	0	1
Section Score (Sum X Wt)		0

Section Score (Sum X Wt)

III. WORKSITE TRAFFIC CONTROL SUPERVISOR (TCS) (Weight =1)

- A. Current ATSSA or CCA Certification on file in project records.
- B. TCS has current flagger card.
- C. TCS diaries on file (see I.A & B).
- D. TCS available on project.
- E. TCS has current Part VI of MUTCD.
- F. TCS has current S-Standards (English/Metric)S-630 1,2 &3.
- G. TCS appropriately dressed (orange hardhat, vest, reflectorization at night).

Yes/No/NA	Score	Total Possible
0	0	1
0	0	1
0	0	1
0	0	1
0	0	1
0	0	1
0	0	1
Section Score (Sum X Wt)		0

Section Score (Sum X Wt)

TRAFFIC CONTROL REVIEW

IV. FLAGGERS (Weight = 1)

- A. Current flagger card.
- B. Appropriately dressed (Orange hardhat, vest, reflectorization at night).
- C. Proper flagging methods used.
- D. Flagger location:
 - 1. Visible to traffic.
 - 2. Proper distance in advance of work.
 - 3. Station illuminated at night.
- E. "STOP/SLOW" Paddle:
 - 1. Correct size and shape.
 - 2. Satisfactory condition.
 - 3. Reflectorized for night use.

Yes/No/NA	Score	Total Possible
	0	1
	0	1
	0	1
	0	1
	0	1
	0	1
	0	1
	0	1
	0	1
Section Score (Sum X Wt)	0	9

V. CONSTRUCTION SIGNING (Weight = 3)

- A. Placement conforms to approved MHT.
- B. Conforms to MUTCD/S-Standards(size, design, color).
- C. Satisfactory condition (clean, readable).
- D. Temporary signs
 - 1. 1' minimum ground clearance.
 - 2. Stored out of clear zone.
- E. Satisfactory breakaway design on post(s).
- F. Correct information for activity. (work zone being utilized as signed)
- G. Conflicting signs properly treated (masked, turned,removed).
- H. Fluorescent sheeting on warning signs.
- I. Flashing beacons installed/working properly.

Yes/No/NA	Score	Total Possible
	0	1
	0	1
	0	1
	0	1
	0	1
	0	1
	0	1
	0	1
	0	1
	0	1
	0	1
Section Score (Sum X Wt)	0	30

VI. TRAFFIC CONTROL DEVICES (Weight =3)

- A. Arrow panel
 - 1. Correct size, number of lights etc.
 - 2. Correct mounting height.
 - 3. Correct placement.
 - 4. All lights working.
 - 5. Correct flashing mode.
 - 6. Auto dimmer for night use operational.
- B. Channelizing devices(barricades, cones,drums, etc.):
 - 1. Correct dimensions.
 - 2. Clean and adequately maintained.
 - 3. Correct taper length.
 - 4. Correct spacing between devices.
 - 5. Warning lights working.
- C. Concrete barrier (temporary):
 - 1. Correctly pinned.(M-606-12)(Roadside Design Guide Pg 9-3)
 - 2. Proper reflector spacing.(S-630-2 Note 9, max 50 feet)
 - 3. Proper reflector color.
 - 4. End treatment installed, or "Clear zone" established.(S-630-2)
 - 5. Correct Taper (Rdsde Design Guide 9.2.1.1.1. 4:1 to 8:1)(Note 16 S-630-1)

Yes/No/NA	Score	Total Possible
	0	1
	0	1
	0	1
	0	1
	0	1
	0	1
	0	1
	0	1
	0	1
	0	1
	0	1
Section Score (Sum X Wt)	0	48

TRAFFIC CONTROL REVIEW

VII. PAVEMENT MARKINGS (Weight =2)

- A. Striping plan on file.
- B. Conflicting markings properly removed.
- C. Temporary markings placed correctly.(per plans and MUTCD)
 - 1. No passing zones in full compliance.(627.03)
- D. Satisfactory condition(not overly faded, damaged or obscured)

Section Score (Sum X Wt)

Yes/No/NA	Score	Total Possible
	0	1
0	0	1
	0	1
	0	1
	0	1
	0	10

VIII. MISCELLANEOUS ITEMS (Weight = 3)

- A. "Clear Zone" free of obstructions.(per plans or Roadside Design Guide 9.1.1)
 - 1. Construction materials/equipment out of clear zone or protected
 - 2. Temporary hazards in clear zone delineated or protected(other than barrier)
- B. Impact attenuators:
 - 1. Installed per specifications (proper array and pad).
 - 2. Lids in place, dry sand, good condition.
- C. Pilot car operation correct.
- D. Compliance with Project Special Provisions(time,etc.).
- E. Traffic Signal operations/installation
 - 1. Timing adequate
 - 2. Clearance adequate

Section Score (Sum X Wt)

Yes/No/NA	Score	Total Possible
	0	1
	0	1
	0	1
	0	1
	0	1
	0	1
	0	1
	0	1
	0	1
	0	24

IX. TRAFFIC IMPACTS (Weight = 2)

- A. Adequate driver guidance(Drivers understand where to go)
- B. Traffic delays being mitigated (Alt Rte, delays/TC hrs advertised etc...)
- C. Accidents (are reports on file)
- F. Work Zone speed limit
 - 1. Form 568 on file
 - 2. Speed reduction appropriate for operation (not too slow/not too fast)
 - 3. "Fines Doubled" and return to speedlimit properly placed

Section Score (Sum X Wt)

Yes/No/NA	Score	Total Possible
	0	1
	0	1
	0	1
	0	1
	0	1
	0	1
	0	12

X. WORK ZONE AREA AND INSPECTOR SAFETY (Weight = 2)

- A. Safe entrance/exit to work zone for equipment and workers
- B. Work zone buffer adequate

Section Score (Sum X Wt)

Yes/No/NA	Score	Total Possible
	0	1
	0	1
	0	4

SUMMARY

- I. TRAFFIC CONTROL MANAGEMENT
- II. METHOD OF HANDLING TRAFFIC
- III. WORKSITE TRAFFIC SUPERVISOR
- IV. FLAGGERS
- V. CONSTRUCTION SIGNING
- VI. TRAFFIC CONTROL DEVICES
- VII. TEMPORARY PAVEMENT MARKINGS
- VIII. MISCELLANEOUS ITEMS
- IX. TRAFFIC IMPACTS
- X. WORK ZONE AREA AND INSPECTOR SAFETY

Project Score

Overall Rating (0 through 4)

COMMENTS

Score	Total Possible	Percentage
0	7	0%
0	24	0%
0	7	0%
0	9	0%
0	30	0%
0	48	0%
0	10	0%
0	24	0%
0	12	0%
0	4	0%
0	175	0%

End Date Extension Request Policy and Procedure Guide



End Date Extension
Policy and Procedure

Professional Services Closeout Report

<https://www.codot.gov/business/civilrights/compliance/prof-services/ps-pgs>



Professional Services
Closeout Report.xlsx

Appendix C

Acronyms

Appendix C presents abbreviations that are common to CDOT.

ACRONYMS COMMON TO CDOT

3R	Resurfacing, Restoration, Rehabilitation
4P	Project Priority Programming Process
AADT	Annual Average Daily Traffic
AASHTO	American Association of State Highway and Transportation Officials
ADA	Americans with Disabilities Act
ADAAG	ADA Accessibility Guidelines
ADT	Average Daily Traffic
ASTM	American Society for Testing and Materials
BLM	Bureau of Land Management
BPO	Business Programs Office (CDOT)
BR	Bridge On-System Program
BRO	Bridge Off-System Program
CatEx	Categorical Exclusion
CTR	Certified Test Reports
CBC	Concrete Box Culvert
CDOT	Colorado Department of Transportation
CE	Construction Engineering
CFR	Code of Federal Regulations
CMAQ	Congestion Mitigation / Air Quality
CMO	Contract Modification Order
COFRS	Colorado Financial Reporting System
CP	Colorado Procedure (materials testing)
CRS	Colorado Revised Statutes
DBE	Disadvantaged Business Enterprise
DHV	Design Hour Volume
DOW	Division of Wildlife (Colorado)
DRCOG	Denver Regional Council of Governments
DSR	Design Scoping Review (meeting)
DTD	Division of Transportation Development (CDOT)
EA	Environmental Assessment
EEO	Equal Employment Opportunity
EIS	Environmental Impact Statement
EJ	Environmental Justice
ESB	Emerging Small Business
EPA	Environmental Protection Agency
ESAL	Equivalent Single Axle Load
FHWA	Federal Highway Administration
FIPI	Finding-in-the-Public-Interest
FIR	Field Inspection Review (meeting)
FMV	Fair Market Value
FONSI	Finding of No Significant Impact
FOR	Final Office Review (meeting)
FTA	Federal Transit Administration
GIS	Geographical Information System
HAZMAT	Hazardous Materials
HBP	Hot Bituminous Pavement

HES	Hazard Elimination System
HMA	Hot Mix Asphalt
HOV	High-Occupancy Vehicle
HTF	Highway Trust Fund (Federal)
HUTF	Highway Users Tax Fund (State)
IGA	Inter-Governmental Agreement
ISA	Initial Site Assessment
ITS	Intelligent Transportation System
LA	Local Agency
LACA	Local Agency Contract Administration
MCR	Minor Contract Revision
MHT	Method of Handling Traffic
MOU	Memorandum of Understanding
MPO	Metropolitan Planning Organization
MUTCD	Manual on Uniform Traffic Control Devices
NEPA	National Environmental Policy Act
NFRT&AQPC	North Front Range Transportation & Air Quality Planning Council
NHS	National Highway System
NPDES	National Pollutant Discharge Elimination System
NTP	Notice to Proceed
OFMB	Office of Financial Management and Budget
OJT	On-the-Job Trainee or On-the-Job Training
PACOG	Pueblo Area Council of Governments
PD	Procedural or Policy Directive
PE	Preliminary Engineering
PM	Project Manager
PPACG	Pikes Peak Area Council of Governments
ProMIS	Project Management Information System
PS&E	Plans, Specifications and Estimate
PSI	Preliminary Site Investigation
PSP	Project Special Provisions
PUC	Public Utilities Commission
QC/QA	Quality Control/Quality Assurance
RE	Resident Engineer
RFP	Request For Proposals
RFQ	Request For Qualifications
RME	Region Materials Engineer
ROD	Record of Decision
ROW	Right-of-Way
RPC	Region Planning Commission
RTD	Region Transportation Director
SAFETEA-LU	The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users
SB	Senate Bill
SHE	Safety Hazard Elimination (SHO is for Off-Systems Hazard Elimination)
SHPO	State Historic Preservation Office
SOI	Statement of Interest
SSP	Standard Special Provisions
STAC	Statewide Transportation Advisory Committee

STIP	Statewide Transportation Improvement Program
STP	Surface Transportation Program
TCP	Traffic Control Plan
T&E	Threatened & Endangered Species
TE	Transportation Enhancement funding
TEA-21	Transportation Efficiency Act for the 21st Century
TIP	Transportation Improvement Program
TPR	Transportation Planning Region
UDBE	Underutilized Disadvantaged Business Enterprises
USC	U. S. Code
USDOT	U. S. Department of Transportation
USFWS	U. S. Fish and Wildlife Service
VMT	Vehicle Miles Traveled

APPENDIX D

CDOT Contact List

Appendix D presents a list of key contacts at the Colorado Department of Transportation.

CDOT CONTACTS

REGION PLANNING STAFF – for assistance with planning and programming of funds

Region 1 – Planning	303 757-9946
Region 2 – Planning	719 546-5748
Region 3 – Planning Manager	970 683-6252
Region 4 – Planning Manager	970 350-2172
Region 5 – Planning	970 385-1433

REGION LOCAL AGENCY COORDINATORS

Region 1	303 757-9914
Region 2	719 562-5516
Region 3	970 683-6253
Region 4	970 350-2211
Region 5	970 385-1416

REGION ENVIRONMENTAL MANAGERS

Region 1	303 757-9929
Region 2	719 227-3248
Region 3	970 683-6251
Region 4	970 350-2167
Region 5	970 385-1430

HEADQUARTERS, 2829 West Howard Place, Denver, Colorado 80204

AGREEMENTS AND MARKET ANALYSIS (Engineering Contracts) BRANCH
Branch Manager 303 757-9592

CIVIL RIGHTS & BUSINESS RESOURCE CENTER
1-800-925-3427, dot_civilrights@state.co.us
Program Administrator 303 757-9599
Americans with Disabilities Act Coordinator 303 757-9493
Title VI Coordinator 303 757-9162

OFFICE OF POLICY AND GOVERNMENT RELATIONS
Local Government Liaison 303 757-9441

DIVISION OF TRANSPORTATION DEVELOPMENT 303 757-9525

MATERIALS AND GEOTECHNICAL BRANCH
Branch Manager 303 398-6501

PROJECT DEVELOPMENT BRANCH
Branch Manager 303 757-9344

TRAFFIC AND SAFETY ENGINEERING BRANCH

CDOT Railroad Program Office 303 365-7134

REGION 1, 2829 West Howard Place, Denver CO 80204

ARAPAHOE, AURORA, CENTENNIAL & CASTLE ROCK RESIDENCIES

18500 East Colfax Avenue
Aurora, Colorado 80011
Arapahoe & Douglas County Resident Engineer 303 365-7278
Mailing Address: 2829 West Howard Place, Denver, Colorado 80204

DENVER NORTH RESIDENCIES

4670 Holly St
Denver, Colorado 80216
I-76 Metro Resident Engineer 303 398-6783
North I-25 Metro Resident Engineer 303 398-6746
Federal Blvd Resident Engineer 303 398-6732
Platt Valley Resident Engineer 303 398-6738
Mailing Address: 2829 West Howard Place, Denver, Colorado 80204

WEST CAMPUS RESIDENCIES

425A and B Corporate Circle
Golden, Colorado 80401
Foothills Resident Engineer 720 497-6905
Red Rocks Resident Engineer 720 497-6913
Dakota Ridge Resident Engineer 720 497-6961
Mailing Address: 2829 West Howard Place, Denver, Colorado 80204

MOUNTAIN RESIDENCY

425B Corporate Circle
Golden, CO 80401
Table Mountain Resident Engineer 720 497-6954
I-70 Mountain Corridor Engineer 720 497-6936
Mailing Address: 2829 West Howard Place, Denver, Colorado 80204

TRAFFIC RESIDENCY

2829 West Howard Place
Denver, Colorado 80204
Resident Engineer 303 512-4025
Mailing Address: 2829 West Howard Place, Denver, Colorado 80204

REGION 2, 5615 Wills Blvd., Pueblo, Colorado 81008

COLORADO SPRINGS RESIDENCY

1480 Quail Lake Loop
Colorado Springs, Colorado 80906
Resident Engineers 719 227-3244

LAMAR RESIDENCY

2402 South Main Street
Lamar, Colorado 81052
Resident Engineer

719 336-3228

PUEBLO RESIDENCY

5615 Wills Blvd.
Pueblo, Colorado 81008
Resident Engineers

719 546-5437

TRAFFIC AND SAFETY

5615 Wills Blvd.
Pueblo, Colorado 81008
Resident Engineer

719 546-5437

REGION 3, 222 South Sixth Street, Room 317, Grand Junction, Colorado 81501

GRAND JUNCTION RESIDENCY

606 South Ninth
Grand Junction, Colorado 81501-3794
Resident Engineer

970 638-6351

TRAFFIC & SAFETY RESIDENCY

222 South 6th Street, Room 100
Grand Junction, Colorado 81501-3794
Resident Engineer

970 638-6276

CRAIG RESIDENCY

270 Ranney Street
Craig, Colorado 81625
Resident Engineer

970 826-5189

MONTROSE RESIDENCY

2424 North Townsend Avenue
Montrose, Colorado 81401
Resident Engineer

970 249-5285

GLENWOOD SPRINGS RESIDENCY

202 Centennial Street
Glenwood Springs, Colorado 81601
Resident Engineer

970 384-3334

EAGLE RESIDENCY

714 Grand Avenue, P.O. Box 298
Eagle, Colorado 81631
Resident Engineer

970 328-9933

BRIDGE & SPECIAL PROJECTS RESIDENCY

714 Grand Avenue, P.O. Box 298
Eagle, Colorado 81631
Resident Engineer

970 328-9962

MOUNTAIN RESIDENCY

P.O. Box 2236
Frisco, Colorado 80443
Resident Engineer

303 512-5601

REGION 4, 10601 W. 10th St., Greeley, Colorado 80634**BOULDER RESIDENCY**

1050 Lee Hill Road
Boulder, Colorado 80302
Resident Engineers

303 546-5650

WEST GREELEY RESIDENCY

Greeley, Colorado
Resident Engineers

970 350-2310

SOUTH GREELEY RESIDENCY

Greeley, Colorado
Resident Engineers

970 350-2226

LIMON RESIDENCY

P.O. Box 366, 401 "A" Avenue
Limon, Colorado 80828
Resident Engineers

719 775-8000

LOVELAND RESIDENCY

Greeley, CO
Resident Engineers

970 622-1267

STERLING RESIDENCY

120 North Riverview Road
Sterling, Colorado 80751
Resident Engineers

970 521-9700

REGION 5, 3803 North Main Avenue, Suite 306, Durango, Colorado 81301**ALAMOSA RESIDENCY**

1205 West Avenue, Alamosa, Colorado 81101
Alamosa, Colorado 81101
Resident Engineer

719 587-6501

DURANGO RESIDENCY #1

3803 North Main Avenue, Suite 108
Durango, Colorado 81301
Resident Engineer

970 385-3621

DURANGO RESIDENCY #2

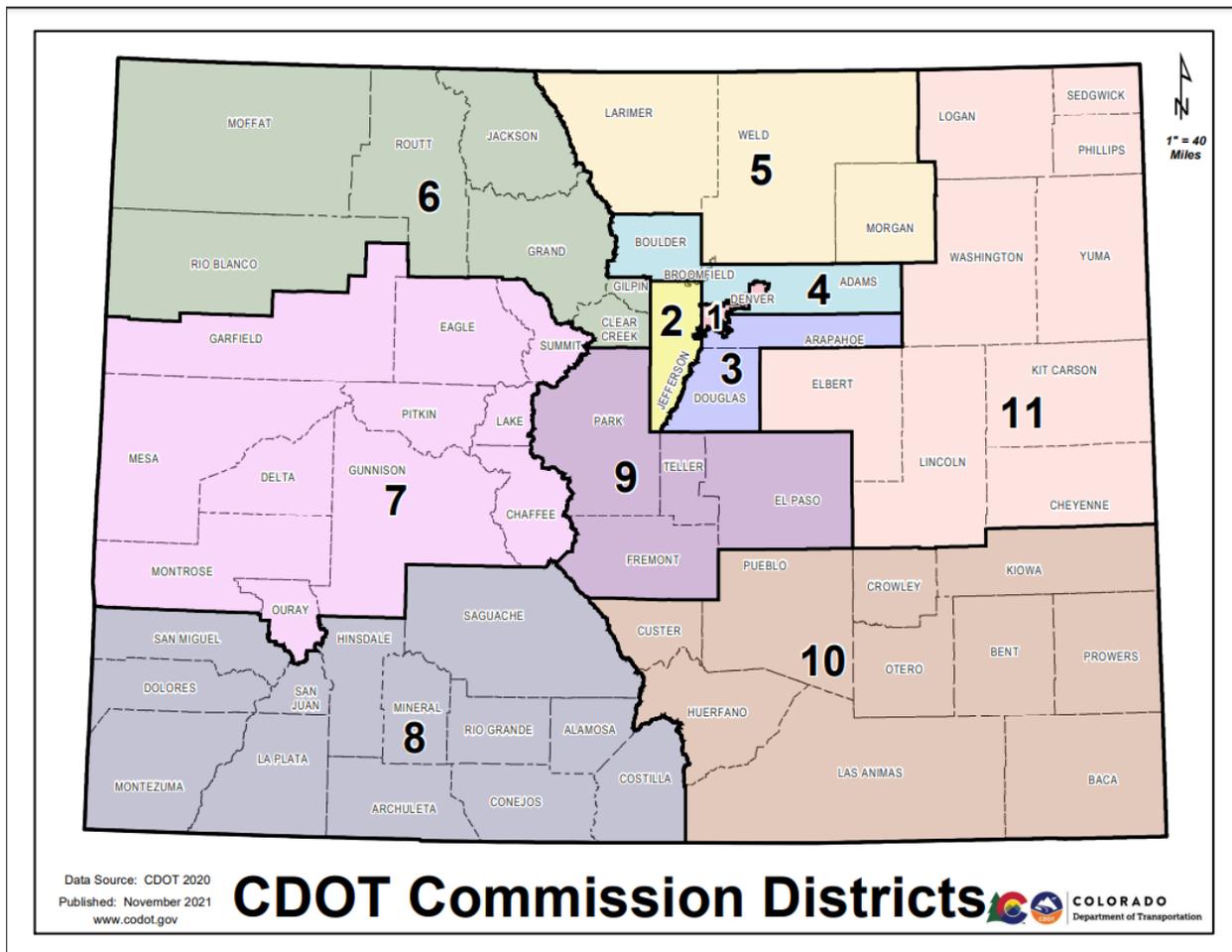
3803 North Main Avenue, Suite 200
Durango, Colorado 81301
Resident Engineer

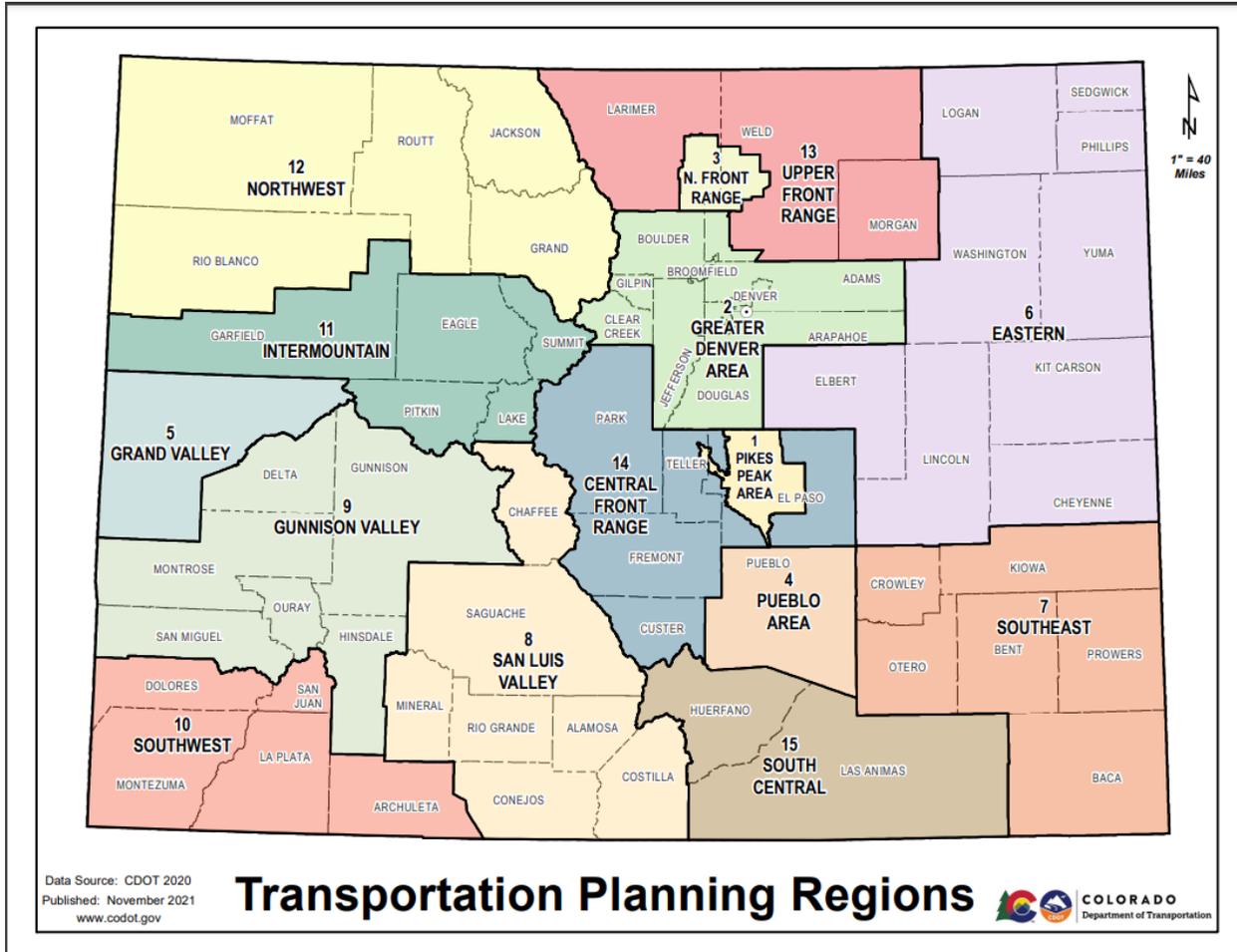
970 385-1440

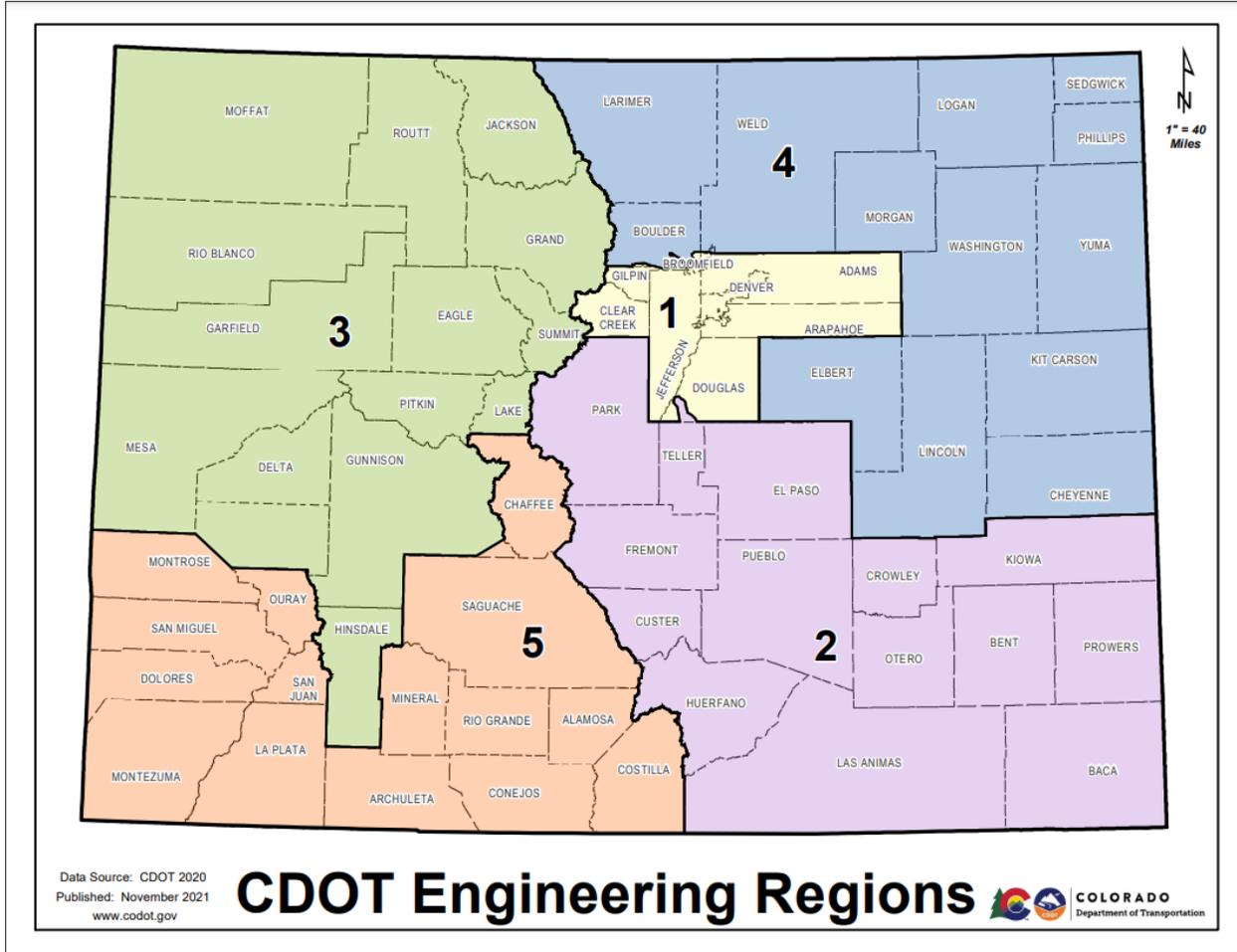
Appendix E

Maps

Appendix E presents maps of the “Transportation Commission Districts”, Transportation Planning Regions”, and “CDOT Engineering Regions”.







APPENDIX F

Finals Documentation

Appendix F contains copies of the Finals documents associated with Chapter 11 of the Local Agency Project Desk Reference.

Local Agency Final Construction Acceptance Certification (or Region equivalent)

CDOT Letter of Materials Certification

EEO Certification Acceptance Letter

Guidance for Acceptance, Advertisement and Finaling of Local Agency Projects

Final Documentation Checklist (or Region equivalent)

Final Materials Documentation Checklist (or Region equivalent)

CDOT Form 90 – Contract Modification Order

CDOT Form 96 – Contractor Acceptance of Final Estimate

CDOT Form 1418 – Monthly Payment Summary *

CDOT Form 1419 – DBE Participation Report *

*Form embedded in B2GNow

LOCAL AGENCY FINAL CONSTRUCTION ACCEPTANCE CERTIFICATION

Project Number: _____ ID# _____
 Project Location: _____
 Contractor's Name: _____
 Original Contract Amount \$: _____ Final Contract Amount \$: _____
 Project Acceptance Date: _____

(To be initialed by the local agency Licensed Project Engineer in responsible charge of the project)

I hereby certify that:

_____ The project has been completed in reasonably close conformity with plans and specifications including authorized changes. The Entity accepts the project as complete.

_____ The completed project has been reviewed for obvious safety deficiencies.

_____ The project R.O.W. appears to be free of unauthorized encroachments.

_____ The materials test results indicate that the materials incorporated in the project were in conformity with the approved plans and specifications with:

_____ no exception _____ exceptions (explanation attached)

_____ All required material COCs have been received.

* _____ CDOT Form 379 has been completed. _____ Yes _____ No

* _____ CDOT Form 250 has been completed. _____ Yes _____ No

* _____ Letter of Materials Certification (CDOT 473LA) has been completed. _____ Yes _____ No

** _____ The EEO Certification Letter has been completed.

** _____ CDOT Form 1419 has been received (Form is embedded in B2GNow.)

* _____ Buy America Statement has been received.

* _____ All change orders have been submitted to the CDOT RE for review and approval.

* _____ The Contractor has agreed to the final payment as full and complete. (May use CDOT Form 96)

* _____ The Local Agency Final Acceptance Letter has been issued.

* _____ Final Bill and Closure Letter has been issued.

* _____ As Constructed Plans have been completed.

* _____ Notice of Final Settlement has been made.

_____ The Local Agency will retain all project pay documentation and forms per IGA, Federal Regulations, Public records law and /or CRS 24-72-201 through CRS 24-72-206.

_____ The Contractor has filed a claim _____ No _____ Yes

Signature of Entity Official _____ Date _____

Title _____

* indicates a copy of this form is to be submitted to CDOT
** a copy of this form is to be submitted to the CDOT Region EEO
Original to: CDOT RE Cc. Local Agency Resident Engineer

COLORADO DEPARTMENT OF TRANSPORTATION FINAL MATERIALS CERTIFICATION FOR A LOCAL AGENCY PROJECT	Project No.	CDOT Region
	Contract ID	Acceptance date
	Project Location	
	Contractor	

This is to Certify that:

The results of the tests on the acceptance samples indicate that the material incorporated in the construction work, and the construction operations controlled by sampling and testing, were in conformity with the approved plans and specifications; and such results compare favorably with the results of the Independent Assurance sampling and testing.

All results from the Independent Assurance sampling and testing are within tolerance limits of the results of sampling and testing that are used in the acceptance program.

Exceptions to the plans and specifications are explained on Explanation of Exceptions, #474. A CDOT Form #474 is always required to be attached to the #473.

The referenced documents below are attached with applicable signatures to this form in the order indicated.

- Yes No Explanation of Exceptions, Form #474, (as many pages as required.)
- Yes No Explanation of Exceptions, Supplemental Documents.
- Yes No Materials Documentation Record, Form #250.
- Yes No Project Independent Assurance Sampling & Testing Schedule, Form #379.
- Yes No Finals Materials Documentation Checklist, (Project Closure) Form #1199, page 1.
- Yes No Finals Materials Documentation Checklist, (Review or Audit) Form #1199, page 2.

Approved by: Local Agency, Person In Responsible Charge  (printed name and signature)	Title:	Date:
Approved by: CDOT Resident Engineer  (printed name and signature)	Title:	Date:

Distribution:

- o: CDOT Resident Engineer
- xc: LA Project Engineer / Project Manager
- CDOT Region Materials Engineer
- CDOT Local Agency Coordinator
- Documentation Unit, Staff Materials & Geotechnical Branch

EEO CERTIFICATION ACCEPTANCE LETTER

Date:

To: CDOT Region X Resident Engineer

From:

Subject: EEO Certification of Compliance

Project No.:

ID#:

I do hereby certify:

All contractor certified payroll documentation has been reviewed and is in compliance.

All federally mandated EEO Program documentation has been reviewed and is in compliance.
(includes subletting, monthly employee interviews, Colorado Program and OJT.)

All documentation will be retained for the required length of time as required in accordance with the IGA.

Comments/Explanation of Exceptions that apply:

Certified By:

Local Agency Representative

Title

Cc:

Local Agency Resident Engineer
CDOT EEO Representative

The three (3) previous documents must be completed by a representative of the Local Agency in responsible charge of the project and submitted to the CDOT RE.

The following pages are included for information and convenience.

Acceptance, Advertisement and Finaling of Local Agency Projects

PROJECT ACCEPTANCE AND ADVERTISEMENT:

- 1) The Local Agency shall notify the CDOT Project Manager and CDOT RE 2-3 weeks prior to completion of project to schedule a final walk through. It is also recommended that the environmental, maintenance and traffic sections also be included in the final walk through.
- 2) Upon acceptance, the Local Agency writes the letter of acceptance to the Contractor. This letter should list all documentation that is still outstanding. There is an example in the CDOT Construction Manual, Appendix B. Original to Contractor, copy to CDOT RE.
- 3) The Local Agency advertises the project for Final Settlement. This is required by CRS 38-26-107 to be published twice in a publication where the project physically resides. A copy of the Notice of Final Settlement should be sent to CDOT RE, Staff ROW, Project Development.
- 4) The CDOT RE shall complete the DOT 1212 LA. Distribution shall include a copy to the Local Agency.

The following are the responsibility of the Local Agency:

“AS CONSTRUCTED” PLANS

- 1) Assure the “As Constructed” plans are complete and in accordance with Section 121.2.3 of the 2019 Construction Manual also include:
 - a. Location of all underground obstructions.
 - b. All utility locations.
 - c. Any changes to the typical section.
 - d. Manufacture and type of bridge expansion devices.
 - e. Vertical and Lateral clearances of structures.
- 2) If the original plan sheets were prepared manually, send one (1) set to the CDOT RE and two (2) sets if the project is on the NHS. Also, send one (1) set to Staff Bridge if construction includes a major or minor structure.
- 3) If the original plan sheets were prepared electronically, send one (1) set to the CDOT RE and copy Staff Bridge if construction includes a major or minor structure.

MATERIALS FINAL

- 1) LA engineer or the materials head tester completes the “Final Materials Documentation Checklist”.
- 2) LA engineer completes the “Materials Certification Letter” (CDOT Form 473LA).
- 3) Send copies of the Final Materials Documentation Checklist, Materials Certification Letter, Buy America Certification Letter and CDOT Form 250, CDOT Form 379 and CDOT Form 473LA to the CDOT RE. These may be included with the “LA Final Data” worksheet.
- 4) Assure the Final estimate pays contractor for all work in place and also includes:
 - a.) Any incentive/disincentive payments that have been calculated.
 - b.) Any Price reductions. (including those for overweight loads, out of spec material left in place.)

CIVIL RIGHTS PROJECT CLOSE OUT – either manually or in B2GNow

- 1) Verify that “Good Faith Efforts” were followed.
- 2) Verify that DBE Goals were met by the CDOT Form 1419 (embedded into B2GNow) or exceptions explained in writing (CDOT Form 1420).
- 3) Verify that OJT guidelines were followed.
- 4) Assure that payrolls were received from all contractors for all personnel on project.
- 5) Assure that payroll classifications were checked and Davis-Bacon wages paid.
- 6) Assure that monthly interviews were conducted & completed CDOT Form 280s are in file.
- 7) Assure that approved CDOT 205s are in file.
- 8) Complete the “EEO Certification Letter”.
- 9) Verify prompt payment was adhered to by the CDOT Form 1418 (embedded into B2GNow) or equivalent for every pay estimate.

FINAL DOCUMENTATION REVIEW

- 1) Prior to final payment being made to the Contractor the Local Agency designates someone to conduct final review per 2019 CDOT Construction Manual section 121. This is to assure that all contract requirements are met and the project has been completed in reasonable close conformity to plans and specifications.
- 2) Verify that all forms required from the Contractor are received, payments supported by documentation of work in place and project is free of supplier liens and claims.
- 3) The Final Documentation Checklist may be useful in organizing final.
- 4) The Contractor may use CDOT 96 for verification of final payment..

FINAL DOCUMENTATION

- 1) Complete the “Local Agency Final Acceptance Certification Letter”.
- 2) Complete the “Local Agency Final Data”.
- 3) Attach required forms to the “Local Agency Final Data” worksheet and send package to the CDOT RE.
- 4) Retain all final project records, pay documentation and documents electronically, or as discussed with the CDOT Project Manager.

RECORDS RETENTION

Retain all project pay documentation, diaries, memos, and forms in accordance with the IGA, Public records law, and CRS 24-72-201 through CRS 24-72-206.

- 1) **If non-Federal (state) funded project - per PD 21.1, Requirements for Capital Engineering Program Records**
- 2) **If Federal-aid Highway funded project - per *Title 2 CFR 200.334, Retention requirements for records***
- 3) **If Federal Recovery Funded (ARPA/SLFRF) project - per the IGA**
- 4) **If project has multiple sources of funds, follow the most restrictive requirements.**

FINANCIAL STATUS

- 1) Submit final billing to CDOT RE. Include a statement of “No further billing” and a statement or letter requesting project closure to the CDOT RE.
- 2) The CDOT RE notifies Region Business Office to submit CDOT 950 for Project Closure process.

FINAL DOCUMENTATION CHECK LIST

Local Agency Project No: _____ ID# _____

Copies to CDOT as noted:

- ___ 1. **Acceptance Letter** - Original to Contractor, distribute copies to: CDOT RE, LA file.
- ___ 2. *Needed to advertise project. (CRS 38-26-107). Timely submittal is **EMPHASIZED**. Note on letter any documentation still outstanding from contractor.*
- ___ 3. **Notice of Final Settlement**. This is published in 2 newspapers in the county(s) that the project is located in. Copies to CDOT RE, Staff ROW, Project Development, LA file.
- ___ 4. **Local Agency Final Construction Acceptance Certification Letter**. Original CDOT RE, copy to LA file.
- ___ 5. **Local Agency Final Data worksheet**. Original to CDOT RE, copy to LA file.
- ___ 6. **CDOT Form 1418** (or equivalent) – Form is embedded if using B2GNow.
- ___ 7. **CDOT Form 1419** with Prime Contractor signature. Required on all projects. Form is embedded if using B2GNow. If subs were not used submit form with statement to that effect. Original to CDOT Region EEO. Copies to: CDOT RE, LA file.
- ___ 8. **"Buy America"** certification. Original to LA file. Copies to CDOT Region Lab, CDOT RE.
- ___ 9. **Final Materials Documentation Checklist**. Original to LA file. Copy to CDOT RE.
- ___ 10. **EEO Certification Letter**. Original to LA file. Copies to CDOT RE, CDOT Region EEO.
- ___ 11. **Change Orders** with letter of explanation.(should have been previously submitted and approved by CDOT Resident Engineer). Original to LA file. Copies to CDOT Resident Engineer, Project Development Area Engineer and ProjectWise.
- ___ 12. Completed original **"As Constructed"** plans with acceptance date. If Manual, 1 copy to CDOT RE, unless project is on the NHS – then 2 copies to CDOT RE. 1 copy to Staff Bridge if construction includes major or minor structure. If electronic, 1 copy to CDOT RE and 1 Copy to Staff Bridge.
- ___ 13. Completed **Local Agency Contract Administration Checklist**. Copy to CDOT RE.

To be retained by the Local Agency:

- ___ 14. Checked certified payrolls (all Federal Aid Projects and F/A work). (CM 107.1.1.2;121.2.8). Records are in the LCPtracker system, if using.
- ___ 15. All pay item documentation (Invoices, Force Account Billings, forms, measurements, calculations).
- ___ 16. Scale & Weighers Certifications for all scales and weighers. Must be valid for project time frame.
- ___ 17. Scale tickets in envelopes, with daily totals. Include spread locations.
- ___ 18. Haul vehicle ID sheets.
- ___ 19. Field Books.
- ___ 20. Survey Documentation. (Field books with Professional Land Surveyor stamp, monumentation records)
- ___ 21. Force Account Billings.
- ___ 22. Any memos listing deleted items, work zone violations, no pay TCS or anything that affects pay/no pay items. Please include Plan Force Account items on list.
- ___ 23. Original Cross Section Sheets and/or computer-generated earthwork sheets.
- ___ 24. Copy of CDOT 473LA Letter of Certification (Materials). This is issued by the CDOT Residency Head Tester.
- ___ 25. Copy of final estimate.
- ___ 26. Copy of Final Billing request to CDOT.
- ___ 27. Copy of Final Local Agency Contract Administration Checklist.

FINAL MATERIALS DOCUMENTATION CHECKLIST

Project Number: _____ Project #: _____
 Location: _____
 Contractor: _____ Tester: _____

Date Completed

Required Items

_____	Final or Semi-Final Contractor Estimate.
_____	Completed CDOT form 250, signed by LA PE/PM
_____	Completed CDOT form 379 (IAT Worksheet).
_____	Letter of Explanation of Exceptions. (CDOT Form 474)
_____	All required material COCs have been received.
_____	Certificate of Contractor’s Compliance to Buy America Clause
_____	Letter of Acceptance from the Project Engineer.
_____	Printed copy of QPM results, signed and dated.
_____	Price Reduction worksheet(s) if applicable
_____	Consultant Materials Testing Evaluation (CDOT Form 1324), if applicable

Completed By: _____ Date: _____
 Title & Company: _____

Checked By: _____ Date: _____
 Title & Company: _____

COLORADO DEPARTMENT OF TRANSPORTATION CONTRACT MODIFICATION ORDER	Project No. _____	Project code _____
	Location _____	
	Date _____	Project order No. _____
	Contractor _____ Estimated cost to project <input type="checkbox"/> Increase <input type="checkbox"/> Decrease \$ _____	
Complete address _____	Total additional days allowed to complete work _____	Federal oversight <input type="checkbox"/> yes <input type="checkbox"/> no
Modification title _____		

Should Federal or State funds not be available to cover these additional costs, or the Federal Awarding Agency decides not to participate, the (LOCAL AGENCY NAME HERE) agrees to provide the required funds.

 The (LOCAL AGENCY NAME HERE) approves this Change Order No. ____ by signing below.
 Authorized Signature: _____ Title: _____ Date: _____

I accept this order, for work to be performed and prices on which payment is to be based.

REQUIRED IN ACCORDANCE WITH INSTRUCTIONS IN CDOT'S CONSTRUCTION MANUAL	REQUIRED FOR ALL CHANGE ORDERS
Approved by FHWA Operations Engineer: _____ Date _____ <small>SEE SIDE</small>	Authorized by Project Engineer: _____ Date _____ <small>SEE SIDE</small>
OPTIONAL	Contractor representative: _____ Date _____ <small>SEE SIDE</small>
Approved by Region Transportation Director: _____ Date _____ <small>SEE SIDE</small>	Approved by Resident Engineer: _____ Date _____ <small>SEE SIDE</small>
	<input type="checkbox"/> Participating <input type="checkbox"/> Non-participating <input type="checkbox"/> Participation as noted Approved funding by Region Program Engineer: _____ Date _____ <small>SEE SIDE</small>

Previous editions are obsolete and may not be used

CDOT Form #90 03/17

COLORADO DEPARTMENT OF TRANSPORTATION CONTRACTOR ACCEPTANCE OF FINAL ESTIMATE	Project #
	Project code (Subaccount)

As Contractor on the above referenced project, I accept the pay quantities and final payment indicated on the final estimate as correct. The final estimate payment of \$ _____, results in a total cumulative payment of \$ _____ for this project. By accepting this final payment as full and complete, except as noted below**, or if the Contractor fails to sign and return this document within 30 days of the certified letter receipt, the Contractor releases the State of Colorado from all disputes and claims that notice has not already been submitted per the Contract provisions. I certify that I have the authority to make this statement to obligate the Contractor.

I declare under penalty of perjury in the second degree, and any other applicable State or Federal laws, that the statements made on this document are true and complete to the best of my knowledge.

Prime Contractor	Date	By (Signature and Title)

No payment can be made by the Department of Transportation until after the final settlement date as established by Section 38-26-107, C.R.S.

**CDOT has withheld \$ _____ from the final payment for placement in escrow as set forth below.

CDOT Form 96 – Contractor Acceptance of Final Estimate, Construction
<https://www.codot.gov/library/forms/cdot0096.pdf>

CDOT Form 1418 – Monthly Payment Summary *
<https://www.codot.gov/library/forms/cdot1418.pdf/view>

CDOT Form 1419 – DBE Participation Report: *
<https://www.codot.gov/library/forms/cdot1419.xlsx/view>

* Form embedded in B2GNow

APPENDIX G

PROGRAM INFORMATION

Appendix G provides information for the Multimodal Transportation & Mitigation Options Fund (MMOF) and the Revitalizing Main Streets (RMS) programs funded under Colorado Senate Bill (SB) 2021-260 as of July 1, 2022. Fact Sheets are subject to frequent changes as requirements and regulations continue to evolve as directed by the US Treasury. Please see your Local Agency Coordinator or Division of Transportation Development contact for the most current guidance.

SB 2021-260 directed general state funds and federal funds received from the Federal Coronavirus State & Local Fiscal Recovery Fund (SLFRF) under Section 9901 of Title IX, Subtitle M of the Federal “American Rescue Plan Act of 2021” (ARPA), Pub.L. 117-2 to the MMOF and RMS programs. ARPA/SLFRF funds are referred to as Federal Recovery Funds in the Fact Sheets and in this *Desk Reference*.

Link to Federal Recovery Fund (ARPA/SLFRF) Reference Guide on the Office of State Controller website:

https://drive.google.com/file/d/1ItUQSDF4ff2azRGQs2YzI1nvUZajJN_k/view The Reference Guide contains much of the same information contained in this *Desk Reference*.



**Multimodal Transportation and Mitigation Options Fund (MMOF)
Federal Recovery Funds (ARPA / SLFRF) Fact Sheet - *Updated July, 2022***
Senate Bill 2021-260 (SB 260)

This fact sheet provides information specific to infrastructure projects funded with MMOF Federal Recovery Funds (ARPA / SLFRF).

Program Overview

Colorado Senate Bill 2018-001 established a Multimodal Options Fund (MMOF) within the state Treasury to promote a “complete and integrated multimodal system.” Senate Bill 2021- 260 revised the program name to Multimodal Transportation and Mitigation Options Fund (MMOF), expanded the program’s focus and directed general state funds and also federal funds received under the Coronavirus State & Local Fiscal Recovery Funds (SLFRF) under Section 9901 of Title IX, Subtitle M of the Federal “American Rescue Plan Act of 2021” (ARPA), Pub.L. 117-2 to the program.

Comprehensive information on the MMOF program, funding and requirements may be found in the [Local MMOF Program Guide](#).

Program features

Unique Requirements

- Changing conditions: As of February 2022, requirements and regulations of the Federal Recovery Funds continue to evolve as directed by the US Treasury. CDOT will provide updates to MPOs/TPRs and to Local Agencies (Subrecipients) as information becomes available.
- Documentation: As stated by the Office of State Controller (OSC), documentation is critical on projects containing Federal Recovery Funds. If compliance with a requirement is not documented, it is presumed that it did not happen. Therefore, documentation requirements must be adhered to strictly.

Combo Project Requirements

- Local Agency “combo” projects (those with multiple sources of awarded funds) must comply with the most stringent requirements of each funding program and apply those requirements to the entire project. An example is a project containing both Federal-aid Highway program funds (such as TAP, HSIP, SRTS, etc.) and MMOF program Federal Recovery Funds.

Match Requirements

- MMOF projects require match funding in an amount that is equal to or greater than the awarded MMOF funds. Match funding may come from any other source, including other federal, state or local programs. For instance, MMOF funding may be matched with funds from another federal program (e.g., TAP, STBG, etc.). As of March 2022, in accordance with the final ARPA / SLFRF rule, the Federal Recovery Funds administered under MMOF can be used to satisfy the matching requirements of other federal programs, and CDOT has obtained approval at this time for its use to match FHWA and FTA programs. For federal programs managed by awarding



agencies other than FHWA/FTA, Local Agencies must obtain the awarding agency's approval for use of the MMOF Federal Recovery funds as match.

- Refer to the [Local MMOF Program Guide](#) for additional information on matching requirements under different funding scenarios.

Technical Requirements

- **Administrative Requirements** of each project:
 - Compliance with applicable requirements in the Intergovernmental Agreement (IGA) and the Exhibits contained in the IGA.
 - One of the IGA Exhibits contains a Subrecipient Certification form which is similar to the form required by US Treasury and signed by the Office of the State Controller (OSC) on behalf of the State of Colorado. This form provides terms and conditions for Federal Recovery Funds. An authorized representative of the Local Agency is required to sign this form when the IGA is signed.
 - Local Agencies are encouraged to read the IGA and Exhibits as terms and conditions may be unique to state, federal, FTA or FHWA sourced funds. For example, the Title VI/Nondiscrimination Assurances for the Federal Recovery Funds are different from the assurances utilized on US DOT-assisted contracts.
 - Compliance with [2 CFR §200](#) (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards or "Uniform Guidance"), including but not limited to the following:
 - Completion of a Subrecipient Risk Assessment v2.2 (2 CFR §200.332 (b)): CDOT Staff will provide the risk assessment form to each awarded Local Agency which must be completed and returned during the preparation of the IGA. This form has been updated for Federal Recovery Fund projects.
 - Period of Performance (2 CFR §200.332 (a)(1)(v)): In accordance with US [Treasury Guidance](#) (SLFRF - Final Rule, page 354), funds under this program must be obligated by December 31, 2024 and expended by December 31, 2026. As stated on the IGA Scope of Work Exhibit, all bills must be submitted to CDOT for payment by January 31, 2027 and bills must be paid by CDOT by March 31, 2027.
 - Record Retention: Records must be retained for a period of five years after all Federal Recovery Funds have been expended or returned to the US Treasury, whichever is later in accordance with the ARPA [SLFRF Compliance and Reporting Guidance](#) (page 10). This is a longer period of time than for other federal programs.
 - Designation of a qualified Local Agency employee who is responsible and in charge of the project to ensure that the work being done is complete, accurate, and consistent with the terms, conditions, and specifications of the contract in accordance with the [Local Agency Manual](#) or with the [2019 CDOT State Management Plan](#) for transit projects. On projects funded with Federal Recovery Funds, and consistent with all Local Agency projects with pass-through funding, this must be a full-time employee of the Local Agency, although the person does not have to be an engineer nor dedicated full-time to the project. The name of this employee is shown on the CDOT Form 1243, Local Agency Contract Administration Checklist, which is part of the IGA. The Local Agency employee must do the following:
 - Supervise all project administration activities and coordinate with CDOT based on the assignment of responsibilities
 - Maintain familiarity with day-to-day project operations, including safety issues
 - Approve contract changes based on the IGA with CDOT



- Perform field reviews with a frequency appropriate to the project size and complexity, including a final inspection to compare against the plans and specifications
 - Review project financials to ensure that safeguards are in place to minimize fraud, waste, and abuse, and
 - Direct staff to carry out project administration and ensure it is done satisfactorily
 - Consistent with Federal-aid Highway program projects, for Infrastructure projects, Professional Services Consultant Selection requirements must follow the documented procedures in Chapter 5 of the Local Agency Manual, or with the prior approval of CDOT's Engineering Contract Services, the Local Agency may use its own consultant selection process. In order to obtain this prior approval, the Local Agency must have its attorney certify that the Local Agency Request for Proposals (RFP) and Consultant Selection Process is in conformance with federal and state laws. The DBE program will not apply to the RFP unless the project is combined with Federal-aid Highway program funds. Prompt Payment requirements will apply to professional service contracts.
 - Use of designated Compliance Software System B2GNow on [construction](#) contracts advertised on or after July 1, 2022. [Projects funded with only Federal Recovery Funds and local funds are not required to use LCPTracker.](#)
 - Compliance with all applicable federal statutes, regulations and Executive Orders and requirements of the American Rescue Plan Act ([31 CFR §35.9](#))
- **Project Development Requirements:** As applicable, compliance with the following:
 - Standard project delivery processes, [CDOT Local Agency Manuals](#) or [2019 CDOT State Management Plan for transit projects](#), and other guidance documents
 - ROW Clearance: Uniform Relocation Assistance (Uniform Act) requirements per the [CDOT Right of Way Manual](#)
 - Environmental Clearance: [Although NEPA does not apply to the US Treasury's administration of the Federal Recovery Funds, other environmental requirements do apply per the CDOT NEPA Manual. CDOT has committed to following the intent and requirements of NEPA for all transportation projects.](#) Interim requirements per SB 260 / C.R.S. 43-1-128 are under development and are anticipated to be issued before 7/1/2022. If a project is a regionally significant transportation capacity project, additional air monitoring and modeling may be required. Attention to greenhouse gas reduction mitigations should be considered.
 - Utility Clearance: Utility requirements per the [CDOT Utility Manual](#), including Subsurface Underground Engineering requirements found at C.R.S. 9-1.5-101, et seq.
 - Compliance with Americans with Disability Act (ADA) requirements
 - Compliance with ITS System Engineering Analysis (SEA) requirements for Local Agencies per CDOT policy, currently drafted to require Local Agencies to follow CDOT procedures in certain instances (project connects to CDOT network, maintained by CDOT or involve CDOT technology assets)
- **Construction Requirements:** As applicable, compliance with the following:
 - Standard project delivery processes, [CDOT Manuals](#) and other guidance documents
 - Designation of a Local Agency Professional Engineer in-responsible-charge of construction supervision per the Colorado AES Board Rules (4 CCR 730-1) and C.R.S. 12-120-202(8). The name of the Professional Engineer is shown on the CDOT Form 1243, Local Agency Contract Administration Checklist. The full-time Local Agency employee and the Professional Engineer in-responsible-charge of construction supervision may be the same person but only if the Professional Engineer is an employee of the Local Agency.



- Prompt Payment requirements found in C.R.S. 24-91-103
- [Equal Employment Opportunity](#) (Executive Order 11246, as amended)
- Permit requirements, as applicable (e.g., Special use, erosion control, landscape, 404, CDPS stormwater construction permit, dewatering, license agreements, etc.)
- Environmental / Greenhouse Gas mitigations found at C.R.S.43-1-128 and 2 CCR 601-22
- Project-specific documentation as indicated on CDOT's construction checklists, including the latest version of the Construction Oversight Checklist
- Construction elements **NOT** required (unless the MMOF project is combined with Federal-aid Highway program or FTA funding):
 - Disadvantaged Business Enterprise (DBE) Regulations, 49 CFR Part 26
 - Emerging Small Business Requirements, 2 CCR 604-1 and 49 CFR Part 26.39
 - On-the-Job Training (OJT) Requirements, 23 CFR Part 230
 - [Davis-Bacon and Related Acts Provisions](#)
- Other Considerations
 - Buy America Requirements. On MMOF projects funded with Federal Recovery funds | combined with Federal-aid Highway funds, Buy America requirements for iron and steel will apply (23 CFR §635.410 & 23 USC §313) in accordance with the *CDOT Field Materials Manual, Special Notice to Contractors, Section 4*. However, the waiver process outlined in 23 CFR 635.410, *Buy America*, will not be allowed. [On April 18, 2022, the Office of Management and Budget issued memo M-22-11, Build American, Buy America, which expands Buy America to include all Federal Agencies' subawards. The Federal Recovery funds would normally be considered bound by Buy America requirements, but a waiver process allows for the US Treasury to waive these requirements. The Office of State Controller and CDOT are monitoring progress of a potential waiver request by the US Treasury. As of July 2022, this process is still underway.](#)
 - Domestic Preferences for Procurements Requirements. If a project has MMOF Federal Recovery Funds, with or without Local Funds, in accordance with the IGA and 2 CFR 200.322, *Domestic preferences for procurements*, the Local Agency must indicate a preference for the purchase, acquisition, or use of goods, products, or materials produced in the United States (including but not limited to iron, aluminum, steel, cement, and other manufactured products) in all subcontractor Agreements and purchase orders for work or products under the award.
 - Competitive Sealed Bids. Many Local Agencies received direct transfers of ARPA / SLFRF funding. OSC FAQs indicate that there are restrictions on how Local Agencies spend the direct transfer money received under SB 260, and Local Agencies are required to follow both HUTF and SLFRF requirements. This can have implications on technical requirements if the Local Agency uses the direct transfers of funds as match.
 - For example, C.R.S. 29-1-704 (1) Construction of public projects – competitive sealed bidding states, “All construction contracts for state-funded public projects shall be awarded by competitive sealed bidding...” A state-funded public project is defined as, “any construction...by any agency of local government...which are funded in whole or in part from the highway users tax fund...” If a local government is using the direct transfer as match and meets the other requirements in this statute (population of 30,000 or more, project size >\$150,000), and wants to use an alternative delivery method like Design-Build, the local government would be required to explain to CDOT why it is legal for them to use a method that is different than competitive sealed bidding.





Multimodal Transportation and Mitigation Options Fund (MMOF)
State General Funds Fact Sheet – July, 2022
Senate Bill 2021-260 (SB 260)

This fact sheet provides information specific to MMOF infrastructure projects funded solely with state general funds provided under SB 260.

Program Overview

The Multimodal Transportation and Mitigation Options Fund (MMOF), established in the State Treasury in 2018 and governed by Colorado Revised Statutes 43-4-1103, seeks to promote a “complete and integrated multimodal system.” Changes implemented in Senate Bill 2021- 260 expanded the program’s focus and directed general state funds and Federal Recovery funds received under the Coronavirus State & Local Fiscal Recovery Funds (SLFRF) under Section 9901 of Title IX, Subtitle M of the Federal “American Rescue Plan Act of 2021” (ARPA), Pub.L. 117-2 to the program.

Comprehensive information on the MMOF program and its funding requirements may be found on the [MMOF Program webpage](#).

Program features

Combo Project Requirements

- Local Agency “combo” projects (those with multiple sources of awarded funds) must comply with the most stringent requirements of each funding program and apply those requirements to the entire project. An example is a project containing Federal-aid Highway program funds (such as TAP, HSIP, SRTS, etc.) and MMOF program state general funds.

Match Requirements

- MMOF match funding may come from any other source, including other federal, state or local programs. For instance, MMOF funding may be matched with funds from another federal program (TAP, FTA 5339, etc.), other state program funds (e.g., RMS), or local funding. Refer to the [Local MMOF Program Guide](#) for additional information on matching requirements under different funding scenarios.

Technical Requirements for MMOF projects funded solely with state funds (with or without local funds, but not combined with any federal funds)

- Administrative Requirements** of each project:
 - Compliance with applicable requirements in the Intergovernmental Agreement (IGA) and the Exhibits contained in the IGA. Funding expiration dates will coincide with the term of the IGA, typically 10 years.
 - Record Retention: Under this program, records must be retained in accordance with CDOT Procedural Directive 21.1, *Requirements for Capital Engineering Program Records*. For most Local Agency projects, records are required to be maintained for 3.5 years from the Form 950 project closure date. Your CDOT Project Manager will provide a copy of the Form 950 at project close.



- Designation of a Local Agency administrative “Employee in Responsible Charge” for each project, including projects that employ consultants. This must be a full-time employee of the local agency, although the person does not have to be an engineer nor dedicated full time to a project. The person in responsible charge must do the following:
 - Supervise all project administration activities and coordinate with CDOT based on the assignment of responsibilities
 - Maintain familiarity with day-to-day project operations, including safety issues
 - Approve contract changes based on the IGA with CDOT
 - Perform field reviews with a frequency appropriate to the project size and complexity, including a final inspection to compare against the plans and specifications
 - Review project financials to ensure that safeguards are in place to minimize fraud, waste, and abuse, and
 - Direct staff to carry out project administration and ensure it is done satisfactorily.
 - Use of designated Compliance Software System B2GNow on [construction](#) contracts advertised on or after July 1, 2022. Projects funded with only state general funds and local funds are not required to use LCPTracker.
 - For Infrastructure projects, Professional Services Consultant Selection requirements must follow the documented procedures in Chapter 5 of the Local Agency Manual, or with the prior approval of CDOT’s Engineering Contract Services, the Local Agency may use its own consultant selection process. ~~In order to~~ In order to obtain this prior approval, the Local Agency must have its attorney certify that the Local Agency Request for Proposals (RFP) and Consultant Selection Process is in conformance with federal and state laws. The DBE program will not apply to the RFP unless the project is combined with Federal-aid Highway program funds. Prompt Payment requirements will apply to professional service contracts.
- **Project Development Requirements:** As applicable, compliance with the following:
 - Standard project delivery processes, [CDOT Manuals](#) and other guidance documents
 - ROW Clearance: Uniform Relocation Assistance (Uniform Act) requirements per the [CDOT Right of Way Manual](#)
 - Environmental Clearance: Environmental requirements per the [CDOT NEPA Manual](#) (including State Historical Clearance). Interim requirements per SB 260 / C.R.S. 43-1-128 are under development and are anticipated to be issued before 7/1/2022. If a project is a regionally significant transportation capacity project, additional air monitoring and modeling may be required. Attention to greenhouse gas reduction mitigations should be considered.
 - Utility Clearance: Utility requirements per the [CDOT Utility Manual](#), including Subsurface Underground Engineering requirements found at C.R.S. 9-1.5-101, et seq.
 - Compliance with Americans with Disability Act (ADA) requirements
 - Compliance with ITS System Engineering Analysis (SEA) requirements for Local Agencies per CDOT policy which requires Local Agencies to follow CDOT procedures in certain instances (on CDOT’s right of way, will be owned, ~~operated~~ or maintained by CDOT, impacts CDOT devices, uses CDOT’s network or involves multiple local agencies)
- **Construction Requirements:** As applicable, compliance with the following:
 - Standard project delivery processes, [CDOT Manuals](#) and other guidance documents
 - Designation of a Local Agency Professional Engineer in-responsible-charge of construction supervision per the Colorado AES Board Rules (4 CCR 730-1) and C.R.S.



- Designation of a Local Agency Professional Engineer in-responsible-charge of construction supervision per the Colorado AES Board Rules (4 CCR 730-1) and C.R.S. 12-120-202(8). The name of the Professional Engineer is shown on the CDOT Form 1243, Local Agency Contract Administration Checklist. The full-time Local Agency employee and the Professional Engineer in-responsible-charge of construction supervision may be the same person but only if the Professional Engineer is an employee of the Local Agency.
- Prompt Payment requirements found in C.R.S. 24-91-103
- [Equal Employment Opportunity](#) (Executive Order 11246, as amended)
- Permit requirements, as applicable (e.g., Special use, erosion control, landscape, 404, CDPS stormwater construction permit, dewatering, license agreements, etc.)
- Environmental / Greenhouse Gas mitigations found at C.R.S.43-1-128 and 2 CCR 601-22
- Project-specific documentation as indicated on CDOT's construction checklists, including the latest version of the Construction Oversight Checklist
- Project elements that are **NOT** required (unless the MMOF project is combined with Federal-aid Highway program or other federal funding):
 - Disadvantaged Business Enterprise (DBE) Regulations, 49 CFR Part 26
 - On-the-Job Training (OJT) Requirements, 23 CFR Part 230
 - Davis-Bacon and Related Acts Provisions
 - Buy America requirements
 - 2 CFR 200 requirements and compliance



THIS IS A PLACEHOLDER FOR OTHER FACT SHEETS

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