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1200 GENERAL

This chapter provides guidelines for preparing Department records and reports during the administration of a typical highway construction project. It is intended to clarify and supplement the information provided in the standard specifications and the special provisions for each project.

It is required that a digital file index be kept at all field offices, this is done in the District or Unit Google Drive.

Each District has a specific template for setting up project files in their Google Drive. Please contact your assigned Unit for specific information.

As a part of the file set up the final folder is also to be created. Please go to the Field Reports Resource Center Site through the intranet to download the latest checklist that includes the folder template.

1201 CPE REPORTS

1201-1 General

The Construction Progress Estimates (CPE) computer program provides automated office logs for each project administered by the ORG. Supplemental agreements, contract item quantities, and time charges are entered into the CPE project records. The CPE program adjusts the contract total as required, calculates accumulated project costs, and tracks contract time.

The program provides several different kinds of reports to help the Resident Engineer monitor the progress of the project. The Resident Engineer should become familiar with the CPE program and its reporting capabilities.

For details on operating the CPE program, refer to the training that is also offered by Technical Training, Course TCH 3041. Self-enrollment is available on ADOTNET ADOT Learning and Development Resources

1201-2 Change Order/Letter of Agreement Report

This report displays the approval date, affected items, and cost impact of Change Orders and Letter of Agreements generated.

See below Exhibit 1201-2 Change Order / Letter of Agreement Report for an example.

| Change Order / Letter of Agreement Report | | | | | | | |
|---|------------|---|---|---------------------|------------|----------------------------------|---------------------|
| TRACS #: F011601C | | | | 04/11/2024 12:11 pm | | | |
| Project: 303-A-(227)T | | | | Page 1 of 3 | | | |
| Note: ** indicates that the total includes an SA adjustment | | | | | | | |
| C.O. No. 1 | | Description: Earthwork Quantity Changes | | | | Date Approved: 03/25/2021 | |
| Section | Item | Type | Description | Cost Adj. | Quantity | Unit Cost | Amount |
| 1 | 2030301 | | ROADWAY EXCAVATION | | 15,010.00 | 11.50 | 172,615.00 |
| 1 | 2030904 | | BORROW (IN PLACE) | | -11,190.00 | 16.00 | -179,040.00 |
| Total Change Order = | | | | | | | \$ -6,425.00 |
| L.A. No. 1 | | Description: Subsurface changed condition at barrier foundations | | | | Date Approved: 07/30/2021 | |
| Section | Item | Type | Description | Cost Adj. | Quantity | Unit Cost | Amount |
| 1 | 9240101 | | MISCELLANEOUS WORK (RESIDENT ENGINEER US | | 0.00 | 1.00 | |
| | Subitem: 1 | | Subsurface Changed Condition | .00 | 7,808.560 | | 7,808.56 |
| Total Letter of Agreement = | | | | | | | \$ 7,808.56 |
| C.O. No. 2 | | Description: Jomax Signals | | | | Date Approved: 09/13/2021 | |
| Section | Item | Type | Description | Cost Adj. | Quantity | Unit Cost | Amount |
| 1 | 7320050 | | ELECTRICAL CONDUIT (2") (PVC) | | 110.00 | 8.50 | 935.00 |
| 1 | 7320420 | | PULL BOX (NO. 7) | | -9.00 | 865.00 | -7,785.00 |
| 1 | 7320421 | | PULL BOX (NO. 7) (WITH EXTENSION) | | 9.00 | 915.00 | 8,235.00 |
| 1 | 7330330 | | TRAFFIC SIGNAL MOUNTING ASSEMBLY (TYPE IV | | -4.00 | 505.00 | -2,020.00 |
| 1 | 7330360 | | TRAFFIC SIGNAL MOUNTING ASSEMBLY (TYPE VI | | -4.00 | 498.00 | -1,992.00 |
| 1 | 7330400 | | TRAFFIC SIGNAL MOUNTING ASSEMBLY (TYPE XI | | 16.00 | 252.06 | 4,032.96 |
| Total Change Order = | | | | | | | \$ 1,405.96 |
| C.O. No. 2 | | Description: Jomax Signals | | | | Date Approved: 09/13/2021 | |

1201-3 Duplicate Payment Check Report

This feature was added so the Field Office could check and determine whether CPE duplicated any payments and make corrections as necessary. There was a period of time when the CPE program was duplicating payments during the import process from PEN.

This report should be periodically checked throughout the project construction phase and at the time of project finalization to ensure duplicate payments did not occur to any item during construction.

The CPE program sometimes flags an entry as “duplicate” because an inspector did not have enough information shown in the description field, i.e. station, milepost, etc. to identify what/where payment was for.

Unless you check quantity payments made after importing from PEN, you would not be aware that the program was duplicating any payments.

See Exhibit 1201-3 Duplicate Payment Report for an example.

| Duplicate Payment Report | | | | | | | |
|---------------------------------|---------|---------|--------------|----------|-----------------|------------------------|-------|
| TRACS #: H617801C | | | | | | 04/11/2024 01:29 pm | |
| | | | | | | Page 1 of 1 | |
| Section | Item | Subitem | Install Date | Quantity | Inspector | Comments | Count |
| 1 | 7310551 | 363C | 10/09/2008 | 1.00 | 117 - James Smi | STA 28+22.0, 62.0' RT | 2 |
| 1 | 7310652 | 37921 | 09/08/2008 | -1.00 | 109 - James Smi | 919+00, 80' RT | 2 |
| 1 | 7310652 | 38089 | 09/08/2008 | -1.00 | 109 - James Smi | STA 1048+40.00, 80.0 L | 2 |
| 1 | 7310652 | 38111 | 09/08/2008 | 1.00 | 109 - James Smi | STA 53+15, 94 RT | 2 |
| 1 | 7310652 | 38112 | 09/08/2008 | 1.00 | 109 - James Smi | STA 67+62, 85' LT | 2 |
| 1 | 7320500 | 373 | 09/24/2008 | 120.00 | 116 - James Smi | STA 1025+00 TO 1038+00 | 2 |
| 1 | 7320500 | 37949 | 09/24/2008 | 20.00 | 116 - James Smi | 58+40, 52' LT | 2 |
| 1 | 7320500 | 3795 | 09/24/2008 | 20.00 | 116 - James Smi | 9+90, 40' LT | 2 |
| 1 | 7320500 | 38051 | 09/24/2008 | 20.00 | 116 - James Smi | 62+00, 28' LT | 2 |
| 1 | 7320500 | 38052 | 09/24/2008 | 20.00 | 116 - James Smi | 64+30, 28' LT | 2 |

1201-4 Final Balance Report

The Final Balance Report analyzes quantity over-runs and under-runs for every item. Reasons for overruns can be entered in this report. Pay items with a difference of 25% or greater will appear. An explanation is necessary for overruns of 200% and greater. This report is required as part of the backup documentation needed when finalizing a project. The Final Balance report is submitted with the project final and is reviewed and signed by the State Construction Engineer.

See below Exhibit 1201-4 Final Balance Report for an example

| Arizona Department of Transportation | | | | | | | | | | | |
|---|---|--------|-----------|-------------|------------|------------|------------|------------|-----------------|------------|--|
| Final Balance on Contract Work | | | | | | | | | | | |
| Project: F011601C 303-A-(227)T | | | | | | | | | Date: | 04/11/2024 | |
| Description: HAPPY VALLEY PKWY TO LAKE PLEA | | | | | | | | | Org: | 4676 | |
| Contractor: Sunland Asphalt & Construction Inc. | | | | | | | | | Date Completed: | 02/25/2022 | |
| Engineer: Sara Howard | | | | | | | | | | | |
| Section 1 FA 03 | | | | | | | | | | | |
| Item No. | Description | Unit | Plans Qty | Revised Qty | Accum Qty | Difference | Unit Price | Plus | Minus | CO/LA | |
| 1080300 | SUBCONTRACTOR EARLY START SANCTION | L.SUM | 0.00 | 0.00 | -1,000.00 | -1,000.00 | 1.00 | 0.00 | -1,000.00 | | |
| 1090001 | DIESEL FUEL PRICE ADJUSTMENT | L.SUM | 0.00 | 0.00 | 125,067.38 | 125,067.38 | 1.00 | 125,067.38 | 0.00 | | |
| 1090011 | ASPHALTIC CONCRETE PAVEMENT QUALITY LOTS | L.SUM | 0.00 | 0.00 | -8,897.97 | -8,897.97 | 1.00 | 0.00 | -8,897.97 | | |
| 1090020 | PORTLAND CEMENT CONCRETE PAVEMENT SMOOTH | L.SUM | 0.00 | 0.00 | 14,067.56 | 14,067.56 | 1.00 | 14,067.56 | 0.00 | | |
| 1090021 | PORTLAND CEMENT CONCRETE PAVEMENT THICKNE | L.SUM | 0.00 | 0.00 | 40,110.87 | 40,110.87 | 1.00 | 40,110.87 | 0.00 | | |
| 1090022 | PORTLAND CEMENT CONCRETE PAVEMENT STRENG | L.SUM | 0.00 | 0.00 | 43,753.27 | 43,753.27 | 1.00 | 43,753.27 | 0.00 | | |
| 1090030 | PAYROLL SUBMITTAL RETENTION | L.SUM | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 0.00 | 0.00 | | |
| 2020021 | REMOVAL OF CONCRETE CURB AND GUTTER | L.FT. | 14.00 | 14.00 | 14.00 | 0.00 | 35.00 | 0.00 | 0.00 | | |
| 2020029 | REMOVAL OF ASPHALTIC CONCRETE PAVEMENT | SQ.YD. | 9,208.00 | 9,208.00 | 9,205.56 | -2.44 | 2.25 | 0.00 | -5.48 | | |
| 2020048 | REMOVAL OF STRUCTURE (CATCH BASIN, MANHOL | EACH | 3.00 | 3.00 | 3.00 | 0.00 | 500.00 | 0.00 | 0.00 | | |
| 2020053 | REMOVE (SIGNS, FOUNDATIONS, AND POSTS)) 5 sign removals were not shown on the project plans. One sign changed from a relocate to a remove and | EACH | 9.00 | 9.00 | 15.00 | 6.00 | 61.00 | 366.00 | 0.00 | | |
| 2020054 | REMOVE (GUARD RAIL END TERMINAL)) | EACH | 12.00 | 12.00 | 12.00 | 0.00 | 250.00 | 0.00 | 0.00 | | |
| 2020058 | REMOVE AND SALVAGE (TEMPORARY CONCRETE E | L.FT. | 400.00 | 400.00 | 400.00 | 0.00 | 5.00 | 0.00 | 0.00 | | |
| 2020071 | REMOVE GUARD RAIL | L.FT. | 150.00 | 150.00 | 137.50 | -12.50 | 4.00 | 0.00 | -50.00 | | |
| 2020081 | REMOVE BITUMINOUS PAVEMENT (MILLING) (1") Changed the limits of milled area to improve the quality of the mainline rideability. | SQ.YD. | 520.00 | 520.00 | 3,364.44 | 2,844.44 | 7.00 | 19,911.08 | 0.00 | | |
| 2020101 | REMOVE FENCE | L.FT. | 797.00 | 797.00 | 754.00 | -43.00 | 1.65 | 0.00 | -70.95 | | |
| 2020162 | REMOVE (SLOPE PAVING)) | SQ.YD. | 408.00 | 408.00 | 406.74 | -1.26 | 18.00 | 0.00 | -22.68 | | |
| 2030301 | ROADWAY EXCAVATION CO #1 | CU.YD. | 35,144.00 | 50,154.00 | 50,154.00 | 15,010.00 | 11.50 | 172,614.97 | 0.00 | 1 | |
| 2030904 | BORROW (IN PLACE) | CU.YD. | 79,997.00 | 68,807.00 | 68,807.00 | -11,190.00 | 16.00 | 0.00 | -179,040.00 | 1 | |
| 3030022 | AGGREGATE BASE, CLASS 2 | CU.YD. | 16,089.00 | 16,089.00 | 15,952.49 | -136.51 | 38.00 | 0.00 | -5,187.38 | | |
| 4010009 | PORTLAND CEMENT CONCRETE PAVEMENT (9") | SQ.YD. | 22,136.00 | 22,136.00 | 21,779.03 | -356.97 | 60.00 | 0.00 | -21,418.20 | | |
| 4010010 | PORTLAND CEMENT CONCRETE PAVEMENT (10") | SQ.YD. | 21,912.00 | 21,912.00 | 21,974.24 | 62.24 | 63.00 | 3,921.12 | 0.00 | | |
| 4040000 | BITUMINOUS PRICE ADJUSTMENT | L.SUM | 0.00 | 0.00 | 8,088.68 | 8,088.68 | 1.00 | 8,088.68 | 0.00 | | |

1201-5 Force Account Reports

The Force Account Report shows the amount paid and the percent complete for the specified Supplemental Agreement type force accounts. To obtain a Pay/Line Item type Force Account Report, select the appropriate project and section, and then select the appropriate Pay/Line Item number. You can obtain the same report by selecting "Item/Subitem Report" from the Reports drop down menu on the menu bar.

See below Exhibit 1201-5 Force Account Report for an example.

| Force Account Report - Includes Transactions | | | | | |
|---|--|------------------|---------------------------------------|---------------------|------------|
| TRACS #: F011501C Project: 017-A-NFA | | | | 04/11/2024 12:10 pm | |
| Page 1 of 1 | | | | | |
| No. | Description | Original Amt | Revised Amt | Accum Amt | Percentage |
| Section: 1 | | | | | |
| 000001 | PCCP spall, crack, and joint repair | 75,000.00 | 75,000.00 | 22,876.80 | 30.50 % |
| List of Transactions | | | | | |
| Date | Amount Paid | Inspector | Comments | | |
| 04/13/21 | 3,267.68 | E. Morqan | Detail #1 05/30/2020 | | |
| 03/18/22 | 2,191.18 | E. Morqan | Detail #2 02/11/2021 - 02/12/2021 | | |
| 03/18/22 | 7,696.22 | E. Morqan | Detail #3 02/20/2021 | | |
| 04/08/22 | 139.18 | E. Morqan | Detail #4 08/30/2021 | | |
| 04/08/22 | 9,582.54 | E. Morqan | Detail #5 09/21/2021 - 09/22/2021 | | |
| Total Paid = | \$22,876.80 | | | | |
| 000002 | Relocate DMS conduits and APS power feed | 22,000.00 | 22,000.00 | 11,123.72 | 50.56 % |
| List of Transactions | | | | | |
| Date | Amount Paid | Inspector | Comments | | |
| 12/03/21 | 4,349.80 | E. Morqan | Detail #2 02/16/2021 - 02/17/2021 | | |
| 12/03/21 | 507.12 | E. Morqan | Detail #3 02/26/2021 | | |
| 12/14/21 | 1,489.80 | E. Morqan | Detail #4 03/01/2021 | | |
| 01/04/22 | 4,777.00 | E. Morqan | FA #2 Detail #1 02/11/2021-20/12/2021 | | |
| Total Paid = | \$11,123.72 | | | | |

1201-6 Incentive Report

The Incentive Report shows the number of entries made after the estimate cutoff date giving the Transmittal Amount, Cutoff Amount and Date, Percent and Count of Entries Past Cutoff Date.

See below Exhibit 1201-6 Incentive Report for an example.

| Arizona Department of Transportation Division of Highways Incentive Report | | | | Page: 1 |
|--|-------------------------------------|--|-----------------------------------|--------------------------------------|
| | | | | Date: 04/11/2024 |
| Org: 4676 | | | | |
| Tracs No: F042401C | | | Contract Amount: \$ 70,057,597.22 | |
| Federal No.: 303-A-NEA | | Estimate No. 18 | Date Started: 09/12/2022 | |
| Description: 51st Ave and 43rd Ave Interch | | Month: January 2024 | Date Completed: 01/25/2024 | |
| Contractor: FISHER SAND & GRAVEL CO. | | | Engineer: Sara Howard | |
| Phase 01 days: 392 | | | Percent Complete: 99 | |
| | | | Percent Time Used: 100 | |
| <hr/> | | | | |
| Transmittal Amount: 10,590.09 | Cutoff Amount: 0.00 | Cutoff Date: 01/02/2024 | Percent: 100.00 | Count of entries past cutoff date: 8 |
| Item Number: 1090001 | Inspector: 30 Agnieszka Kasnikowski | Comments: Diesel Fuel Price Adjustment for 12/2023 | | |
| Item Number: 7370430 | Inspector: 199 Martin LLerenas | Comments: Paying out for placement 3kVAXFMR at STA 2043+84 210'Lt , sheet 447, T-0 | | |
| Item Number: 7370430 | Inspector: 199 Martin LLerenas | Comments: Paying out for placement 3kVAXFMR at STA 2051+65 240'Rt sheet 439, T-0 | | |
| Item Number: 7370430 | Inspector: 199 Martin LLerenas | Comments: Paying out for placement 3kVAXFMR at STA 2104+38 250'Lt, Sheet 447, T-0 | | |
| Item Number: 9250102 | Inspector: 70 Troy Polvorosa | Comments: Additional survey requested at the South Channel | | |
| Item Number: 9250102 | Inspector: 70 Troy Polvorosa | Comments: Additional survey requested at the Upper Buchanan Wash for LOMR | | |
| Item Number: 9250106 | Inspector: 70 Troy Polvorosa | Comments: Additional survey requested at the South Channel | | |
| Item Number: 9250106 | Inspector: 70 Troy Polvorosa | Comments: Additional survey requested at the Upper Buchanan Wash for LOMR | | |

1201-7 Item/Subitem Reports

The Item/Subitem Report is a basic status report for a single item or a range of items. It includes the plans quantity, the revised quantity, the accumulated quantity, accumulated amount, the percent complete, history of partial payments, status of subitems including accumulated quantity, percent complete of each subitem and a list of transactions for the specified subitems. Each listed transaction shows the date, the quantity posted, the inspector's name, diary number and any comments entered when the quantity was posted. This report is valuable in catching duplicate payments or missed payments on a specific item.

This report can be used to verify quantities such as the rounding requirement in 608 sign panels to the nearest 0.10 square foot. This report can be used to verify that the total of 608 sign panels are rounded to the nearest square foot once all work has been completed.

See below Exhibit 1201-7 Item/Subitem Report.

| Item/SubItem Report - Includes Transactions | | | | | | |
|---|--------------------------------------|-----------------|----------------------|--|---------------|--------------------------------|
| TRACS: F012301C Project: 101-B-(210)T Contractor: FNF CONSTRUCTION, INC. | | | | Sara Howard, Resident Engineer Org # 4676 | | |
| | | | | | | 101 Pima Princess Dr-Shea Blvd |
| Section: | 01 | FA | 03 | Roadway | | |
| Item No | Description | Unit | Unit Cost | Change Orders | | |
| 2020121 | REMOVE (72" STORM DRAIN PIPE) | L.FT. | \$60.00 | | | |
| | Plans Qty: | 781.000 | Rev Qty | 781.00 | Rev Amount | \$ 46,860.00 |
| | PPCode: | 0 | Accum Qty | 781.00 | AccumAmount | \$ 46,860.00 = 100.00 % |
| Item No.: 2020121 | | | | | | |
| Subitem | Description | Cost Adjustment | Adj. Unit Price | Revised Qty | Accum Qty | |
| D-01.17A | SR101 Sta 2299+17 Lt | \$0.00 | \$0.00 | 212.00 | 212.00 | |
| Date | Quantity | Qty Subtotal | Inspector | Comments | | |
| 02/14/2024 | 180.00 | | 16 Patrick Schuerman | -Removal of 180 Lf of existing pipe Sta. 2299+65 Lt to Sta. 2301+45 D-01.17A | | |
| 02/15/2024 | 32.00 | | 17 Patrick Schuerman | -Removal of 32 LF of existing pipe Sta. 2301+45 to Sta. 2301+80 D-01.17A | | |
| | Total = | 212.00 | | | | |
| Subitem Total: | | | | 212.00 | 212.00 | |


1201-8 Monthly Estimate

At the beginning of each month, the field office produces a contractor’s pay estimate for each active project. The Monthly Estimate is the most important report the office produces because it calculates the amount of payment the contractor receives.

The Monthly Estimate is a report of each item’s accumulated quantity to date multiplied by the unit bid price and calculates the total compensation due the contractor for work completed. Shown on the cover recap sheet (aka. the recapitulation sheet) of the monthly estimate is total monies earned to date minus total monies earned from prior months. The difference in the two amounts is the total monies due the contractor for the current month.

The monthly estimate report is sent to the contractor via DocuSign for signature each month.

See below Exhibit 1201-8 Monthly Estimate Report for an example.

| | | | | | | |
|---|--------------------------------|--|---|--|--|-----------------------------|
|  | | Arizona Department of Transportation Division of Highways Agreement Estimate & Transmittal Sheet (Money Summary of Progress & Final Payment Report) | | | | Page: 1 Date: 04/11/2024 |
| | | Estimate No. 5 Month: April 2024 | Contract Amount: \$ 108,141,707.00 Date Started: 01/19/2024 Date Completed: Engineer: Sara Howard Percent Complete: 13 Percent Time Used: 11 | | | |
| Org: | 4676 | | | | | |
| Tracs No: | F012301C | | | | | |
| Federal No.: | 101-B-(210)T | | | | | |
| Description: | 101 Pima Princess Dr-Shea Blvd | | | | | |
| Contractor: | FNF CONSTRUCTION, INC. | | | | | |
| Phase 01 days: | 700 | | | | | |


| Section | Rdway & Small Str | Str Over 20 FT | Total | Force Account | Total | Notations |
|--|-------------------|----------------|---------------|---------------|---------------|--|
| 1 FA 03 | 13,535,756.99 | | 13,535,756.99 | | 13,535,756.99 | Roadway |
| 2 FA 13 | 0.00 | | 0.00 | | 0.00 | STRUCTURE |
| 3 FA 42 | 0.00 | | 0.00 | | 0.00 | TRAINING |
| 4 FA 03 | 6,795.35 | | 6,795.35 | | 6,795.35 | CITY OF SCOTTSDALE WORK |
| 5 NFA | 0.00 | | 0.00 | | 0.00 | CITY OF SCOTTSDALE STRUCTURE PAINTING (NOT PAID) |
| Summary of Federal Aid Construction | | | | | | |
| Accum | 13,542,552.34 | 0.00 | 13,542,552.34 | 0.00 | 13,542,552.34 | |
| Previous | 13,288,038.09 | 0.00 | 13,288,038.09 | 0.00 | 13,288,038.09 | |
| Current | 254,514.25 | 0.00 | 254,514.25 | 0.00 | 254,514.25 | |
| Summary of Non-Federal Aid Construction | | | | | | |
| Accum | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | |
| Previous | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | |
| Current | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | |
| Grand Total Construction | | | | | | |
| Accum | 13,542,552.34 | 0.00 | 13,542,552.34 | 0.00 | 13,542,552.34 | |
| Previous | 13,288,038.09 | 0.00 | 13,288,038.09 | 0.00 | 13,288,038.09 | |
| Current | 254,514.25 | 0.00 | 254,514.25 | 0.00 | 254,514.25 | |
| Remarks: _____ | | | | | | |

1201-9 Stored Monthly Estimate

All estimates paid to date are found in the Stored Monthly Estimate reports. An estimate becomes a Stored Estimate once it has been saved, and sent to Contract Payables for payment. Notice in the exhibit below, the date in the upper right corner is shown as "Run Date". This is the date the report was saved by the Field Office.

Note: The "Accumulated Total" amount should match the next monthly estimate "Previous Total".

See below Exhibit 1201-9 Stored Monthly Estimate Report for an example.

|  | | Arizona Department of Transportation | | | | Page: 1 of 41 | | |
|---|--------------------------------|---|----------------|--------------------|------------------|----------------------------------|--|---------------|
| | | Division of Highways | | | | Run Date: 5/7/2024 3:52:24 PM | | |
| Agreement Estimate & Transmittal Sheet | | | | | | | | |
| (Money Summary of Progress & Final Payment Report) | | | | | | | | |
| Org: | 4676 | | | Contract Amount: | \$108,141,707.00 | | | |
| Tracs No: | F012301C | | | Date Started: | 1/19/2024 | | | |
| Federal No: | 101-B-(210)T | Estimate No. 5 | | Date Completed: | | | | |
| Description: | 101 Pima Princess Dr-Shea Blvd | Month: April 2024 | | Engineer: | Sara Howard | | | |
| Contractor: | FNF CONSTRUCTION, INC. | | | Percent Complete: | 15 | | | |
| Phase 01 days: | 700 | | | Percent Time Used: | 15 | | | |
| Section | Rdwy | Sm Str | Str Over 20 Ft | Total | Force Acct | Total | Notations | |
| 1 | FA | 03 | 15,757,097.43 | 15,757,097.43 | | 15,757,097.43 | Roadway | |
| 2 | FA | 13 | 245,204.75 | 245,204.75 | | 245,204.75 | STRUCTURE | |
| 3 | FA | 42 | 583.50 | 583.50 | | 583.50 | TRAINING | |
| 4 | FA | 03 | 57,030.01 | 57,030.01 | | 57,030.01 | CITY OF SCOTTSDALE WORK | |
| 5 | NFA | | 0.00 | 0.00 | | 0.00 | CITY OF SCOTTSDALE STRUCTURE PAINTING (NOT PARTICIPATED BY | |
| Summary of Federal Aid Construction | | | | | | | | |
| Accumulated | 16,059,915.69 | 0.00 | 16,059,915.69 | 0.00 | 16,059,915.69 | | | |
| Previous | 13,288,038.09 | 0.00 | 13,288,038.09 | 0.00 | 13,288,038.09 | | | |
| Current | 2,771,877.60 | 0.00 | 2,771,877.60 | 0.00 | 2,771,877.60 | | | |
| Summary of Non-Federal Aid Construction | | | | | | | | |
| Accumulated | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | | | |
| Previous | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | | | |
| Current | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | | | |
| Grand Total Construction | | | | | | | | |
| Accumulated | 16,059,915.69 | 0.00 | 16,059,915.69 | 0.00 | 16,059,915.69 | | | |
| Previous | 13,288,038.09 | 0.00 | 13,288,038.09 | 0.00 | 13,288,038.09 | | | |
| Current | 2,771,877.60 | 0.00 | 2,771,877.60 | 0.00 | 2,771,877.60 | | | |
| Remarks: _____ | | | | | | | | |
| Date | Resident Engineer | | | Date | Contractor | | Date | Field Reports |

1201-10 Overrun Line Item Report

The Overrun Line Item Report separates the cost for major and minor items.

See below Exhibit 1201-10 Overrun Line item Report for an example.

| OVERRUN LINE ITEMS | | | | | | | | | | | | |
|--|--|---------------|--------------|------------------|----------------|-----------------|---------------|--------|-------------|------------------------------|-----------------------------|--------------------------------|
| TRACS # | F011701C | Fed Project # | 073-A-(206)T | Location | | | | | | | | W OF RIM TANK - W OF CANYON DA |
| Section A: Major Items | | | | | | | | | | | | |
| Item # | Item Description | Unit | Unit Price | Revised Quantity | Revised Amount | Actual Quantity | Actual Amount | % Comp | > 125% Comp | Quantity Overrun > 125% Comp | Dollars Overrun > 125% Comp | |
| 4040160 | COVER MATERIAL (SPECIAL) (PRECOATED) | CU.YD. | \$110.00 | 789 | \$86,790.00 | 1,336 | \$146,991.90 | 169 % | 44 % | 347 | \$38,170.00 | |
| <i>Major Line Items' Overrun Cost:</i> | | | | | | | | | | | \$38,170.00 | |
| Section B: Minor Items | | | | | | | | | | | | |
| Item # | Item Description | Unit | Unit Price | Revised Quantity | Revised Amount | Actual Quantity | Actual Amount | % Comp | > 100% Comp | Quantity Overrun > 100% Comp | Dollars Overrun > 100% Comp | |
| 2020019 | REMOVAL OF EMBANKMENT CURB | L.FT. | \$2.34 | 176 | \$411.84 | 266 | \$622.44 | 151 % | 51 % | 90 | \$210.60 | |
| 2030113 | SHOULDER BUILD-UP (COMPACTION) | HOUR | \$99.00 | 4 | \$396.00 | 10 | \$990.00 | 250 % | 150 % | 6 | \$594.00 | |
| 4040111 | BITUMINOUS TACK COAT | TON | \$468.00 | 30 | \$14,040.00 | 46 | \$14,953.52 | 153 % | 53 % | 15 | \$7,020.00 | |
| 4040116 | APPLY BITUMINOUS TACK COAT | HOUR | \$146.00 | 60 | \$8,760.00 | 92 | \$13,432.00 | 153 % | 53 % | 32 | \$4,672.00 | |
| 4160031 | MINERAL ADMXTURE | TON | \$90.00 | 140 | \$12,600.00 | 152 | \$13,717.80 | 109 % | 9 % | 12 | \$1,080.00 | |
| 7015069 | TEMPORARY PAVEMENT MARKERS (CHIP SEAL) | EACH | \$1.00 | 698 | \$698.00 | 1,847 | \$1,847.00 | 265 % | 165 % | 1149 | \$1,149.00 | |
| 7016030 | BARRICADE (TYPE 1, TYPE 2, VERT.PANEL, TUBULAR MARKER) | EACH-DAY | \$0.23 | 2,665 | \$612.95 | 3,343 | \$768.89 | 125 % | 25 % | 678 | \$155.94 | |
| 7016033 | PORTABLE SIGN STAND (SPRING TYPE) | EACH-DAY | \$0.64 | 540 | \$345.60 | 872 | \$558.08 | 161 % | 61 % | 332 | \$212.48 | |
| 7016035 | WARNING LIGHT (TYPE A) | EACH-DAY | \$0.18 | 278 | \$50.04 | 4,491 | \$808.38 | 1615 % | 1515 % | 4213 | \$758.34 | |
| 7016051 | TEMPORARY SIGN (LESS THAN 10 S.F.) | EACH-DAY | \$0.41 | 438 | \$179.58 | 1,256 | \$514.96 | 287 % | 187 % | 818 | \$335.38 | |
| 7016067 | CHANGEABLE MESSAGE BOARD (CONTRACTOR FURNISHED) | EACH-DAY | \$47.00 | 130 | \$6,110.00 | 254 | \$11,938.00 | 195 % | 95 % | 124 | \$5,828.00 | |
| 7016080 | FLAGGING SERVICES (DPS) | HOUR | \$65.26 | 200 | \$13,052.00 | 740 | \$48,259.77 | 370 % | 270 % | 539 | \$35,175.14 | |
| 7080202 | WATERBORNE-TYPE I PAVEMENT MARKING (PAINTED) (YELLOW) | L.FT. | \$0.15 | 49,942 | \$7,491.30 | 98,598 | \$14,789.70 | 197 % | 97 % | 48656 | \$7,298.40 | |
| 8050003 | SEEDING (CLASS II) | ACRE | \$5,500.00 | 1 | \$5,500.00 | 3 | \$16,500.00 | 300 % | 200 % | 2 | \$11,000.00 | |
| 8101014 | EROSION CONTROL (WATTLES)(20") | L.FT. | \$5.00 | 521 | \$2,605.00 | 640 | \$3,200.00 | 123 % | 23 % | 119 | \$595.00 | |
| 9130001 | RIPRAP (DUMPED) | CU.YD. | \$104.00 | 21 | \$2,184.00 | 44 | \$4,563.52 | 210 % | 110 % | 22 | \$2,288.00 | |

1201-11 Partial Payment Report

This report is beneficial to the Office staff when closing out a project, as it allows you to see what items still have inventory remaining that need to be depleted from the CPE program before proceeding with the project final.

See below Exhibit 1201-11 Partial Payment Report for an example.

| Partial Payment Report | | | | | | |
|------------------------------------|-------------------------------------|-------------|--------------------------------|------------------|--------------------|------------------|
| TRACS: F012301C | | | Sara Howard , | | | |
| Project: 101-B-(210)T | | | Resident Engineer | | | |
| Contractor: FNF CONSTRUCTION, INC. | | | Org # 4676 | | | |
| | | | 101 Pima Princess Dr-Shea Blvd | | | |
| Section: 01 | FA | 03 | Roadway | | | |
| Item No | Description | Unit | Unit Cost | Plans Qty | Accum Qty | |
| 6060078 | FOUNDATION FOR BRIDGE SIGN STRUCTUI | EACH | 20,000.00 | 2.00 | 0.64 | |
| Install Date | PPcode | Rate | Quantity | Inventory | Partial Qty | Installed |
| 02/29/2024 | 1 | 31.82 | 2.00 | 2.00 | 0.64 | 0.00 |
| Totals: | | | 2.00 | 2.00 | 0.64 | 0.00 |
| 6060080 | FOUNDATION FOR BRIDGE SIGN STRUCTUI | EACH | 20,000.00 | 3.00 | 1.43 | |
| Install Date | PPcode | Rate | Quantity | Inventory | Partial Qty | Installed |
| 02/29/2024 | 1 | 21.55 | 3.00 | 2.00 | 0.43 | 1.00 |
| Totals: | | | 3.00 | 2.00 | 0.43 | 1.00 |
| 6060151 | SIGN STRUCTURE (BARRIER SIGN STRUCT | EACH | 4,000.00 | 8.00 | 3.21 | |
| Install Date | PPcode | Rate | Quantity | Inventory | Partial Qty | Installed |
| 03/28/2024 | 1 | 40.08 | 8.00 | 8.00 | 3.21 | 0.00 |
| Totals: | | | 8.00 | 8.00 | 3.21 | 0.00 |
| 6060255 | FOUNDATION FOR CANTILEVER SIGN STRL | EACH | 20,000.00 | 6.00 | 3.86 | |
| Install Date | PPcode | Rate | Quantity | Inventory | Partial Qty | Installed |
| 02/29/2024 | 1 | 28.85 | 6.00 | 3.00 | 0.87 | 3.00 |
| Totals: | | | 6.00 | 3.00 | 0.87 | 3.00 |
| 6060256 | FOUNDATION FOR CANTILEVER SIGN STRL | EACH | 20,000.00 | 12.00 | 6.59 | |
| Install Date | PPcode | Rate | Quantity | Inventory | Partial Qty | Installed |
| 02/29/2024 | 1 | 32.29 | 12.00 | 8.00 | 2.58 | 4.00 |
| Totals: | | | 12.00 | 8.00 | 2.58 | 4.00 |

1201-12 Structure Report

The Resident Engineer and Project Supervisor may choose to establish CPE Structures on a project. Structures are groups of related items linked together for reporting purposes. Structures, in this sense, have nothing to do with payment or with Lump Sum Structures; the term "structure" is used here to indicate a way of organizing information.

When a CPE Structure is established in the CPE program, related items that are part of a larger unit are linked together for reporting purposes. Using a large roadway sign as an example, the office can create a Structure by establishing common subitems in the items for Foundations, Vertical Supports, Cantilevers, Posts and Sign Panels. Then, by producing a Structure Report for that Structure, the inspector can monitor the progress of each roadway sign.

The extra effort required to establish Structures at the beginning of the project often pays off in the increased quality of reporting and the reduction of errors.

See below Exhibit 1201-12 Structure Report for an example.

| Structure Report - Includes Transactions | | | | 04/11/2024 12:02 pm |
|---|--|-----------------------------|---|---------------------|
| TRACS #: F011601C | | | | Page 1 of 29 |
| Project: 303-A-(227)T | | | | |
| Section: 1 | FHWA Code FA 03 | Description: Roadway | | |
| Structure No: 125+86 | | Description: T-01.46 | | |
| Item Nbr | Description | Revised Qty | Accum Qty | |
| 6060059 | BRIDGE SIGN STRUCTURE (TAPERED TUBE, SINGLE BEAM, 85'1" TO 100') | 1.00 | 1.00 | |
| List of Transactions | | | | |
| Date | Quantity | Inspector | Comments | |
| 12/17/2021 | 1.00 | 235 Franklin Pathrose | Sign #C125+86, Lt Sta:125+86 on Jomax WB Tapered tube Installed on 12/17/21 | |
| Total = | 1.00 | | | |
| 6060074 | FOUNDATION FOR BRIDGE SIGN STRUCTURE (TAPERED TUBE) | 2.00 | 2.00 | |
| List of Transactions | | | | |
| Date | Quantity | Inspector | Comments | |
| 10/21/2021 | 2.00 | 195 Franklin Pathrose | Sta: 125+86 on Jomax WB Concrete placed and foundation completed on 10/21/21 | |
| Total = | 2.00 | | | |
| Structure No: C114+25 | | Description: T-01.46 | | |
| Item Nbr | Description | Revised Qty | Accum Qty | |
| 6060059 | BRIDGE SIGN STRUCTURE (TAPERED TUBE, SINGLE BEAM, 85'1" TO 100') | 1.00 | 1.00 | |
| List of Transactions | | | | |
| Date | Quantity | Inspector | Comments | |
| 12/17/2021 | 1.00 | 235 Franklin Pathrose | Sign #C114+25, Rt Sta:114+25 on Jomax EB Tapered tube Installed on 12/16/21 | |
| Total = | 1.00 | | | |


1201-13 Transaction Detail Log

The Transaction Detail Log provides an overview of the entire project. It can include all details and transactions for a project or include only those details you specify. You can include one or more of the following:

- Project/Section Summary
- Section/Item Report, with or without Force Accounts
- Time Report
- Structure Report
- Subitems with Transactions, Partial Payments, and, optionally, Change Orders
- Subitems without Transactions, with or without Change Orders

A complete Transaction Detail Log is required as part of the backup documentation when Finalizing a project (refer to the Final Estimate Checklist).

See below Exhibit 1201-13 Transaction Detail Report

| Transaction Detail Report (Project / Section Summary) | | | | |
|---|--|--|---|----------------------|
|  | TRACS: F011601C Project: 303-A-(227)T Contractor: Sunland Asphalt & Construction Inc. | | Sara Howard, Resident Engineer Unit # : 4676 | |
| | Contract Days: | 385 | Plans Amount: | \$ 20,326,911.29 |
| | Revised Contract Days: | 450 | Revised Amount: | \$ 20,411,030.62 |
| | Accumulated Days | 450 | Accum Amount: | \$ 20,323,013.10 |
| Percent Time Used | 100 % | Force Account: | \$.00 | |
| Date Started: 12/03/2020 | | | | |
| Date Complete: 02/25/2022 | | | | |
| Procedural Change Orders: | | | | |
| | 4 | 409 Asphaltic Concrete PG Oil Change | | |
| | 6 | Time Extension - Extruded Aluminum Material Shortage | | |
| | 9 | Time Extension - APS Redesign | | |
| Section | Plans Amount | Revised Amount | Accum Amount | Force Account |
| 01 Roadway | \$ 11,844,733.18 | \$ 11,885,242.88 | \$ 11,793,473.16 | \$ 0.00 |
| 02 City of Peoria - 1/3 of cost of 9240144 is | \$ 310,842.21 | \$ 352,437.85 | \$ 342,019.05 | \$ 0.00 |
| 03 Southwest Gas | \$ 12,000.00 | \$ 12,000.00 | \$ 9,200.00 | \$ 0.00 |
| 04 BEARDSLEY CANAL OP NB, STR #20 | \$ 2,274,278.50 | \$ 2,274,278.50 | \$ 2,274,278.50 | \$ 0.00 |
| 05 BEARDSLEY CANAL OP SB, STR #20 | \$ 2,435,086.50 | \$ 2,435,086.50 | \$ 2,435,086.50 | \$ 0.00 |
| 06 JOMAX PKWY TI OP NB, STR #20171 | \$ 1,714,985.80 | \$ 1,714,985.80 | \$ 1,714,985.80 | \$ 0.00 |
| 07 JOMAX PKWY TI OP SB, STR #20172 | \$ 1,727,785.10 | \$ 1,727,785.10 | \$ 1,727,785.10 | \$ 0.00 |
| 08 Training | \$ 7,200.00 | \$ 7,200.00 | \$ 24,171.00 | \$ 0.00 |
| 09 Non Federal Aid | \$.00 | \$ 2,013.99 | \$ 2,013.99 | \$ 0.00 |
| | \$ 20,326,911.29 | \$ 20,411,030.62 | \$ 20,323,013.10 | \$ 0.00 |

1202 NOTICE OF START AND COMPLETION OF PROJECT

The Start Memo details the beginning of the contractor's work on the project. This date shall coincide with the Prime Start Date on the Contract Card and can be on, before, or after the Contract Time has begun. The Start Memo is a signal to be on the lookout for the first certified payroll within a week. The Prime Start Date shall be noted on the Weekly Time Report. The field office initiates the DocuSign template for the Start and Completion Memo. At a minimum Field Reports, District, BECO, Project Management, applicable Maintenance groups and Partnering shall be notified. This is to be initiated for both the start and the completion of the project. See Exhibit 1202-1 Start and Substantial Completion Memo.

The Completion Memo details the end of the contractor's work. This date shall coincide with the Substantial Completion Date on the Contract Card and is the last day charged for Contract Time. The Resident Engineer writes a Substantial Completion letter and submits it to the contractor. See Exhibit 1202-2 Substantial Completion Letter.



MEMORANDUM

TO: DISTRIBUTION LIST

FROM: IRENE OCHOA

DATE: _____

SUBJECT: PROJECT STATUS REPORT

RE: START MEMO/SUBSTANTIAL COMPLETION MEMO

PLEASE BE ADVISED THAT THIS OFFICE WAS NOTIFIED BY:

| | |
|----------------------|------------|
| NAME | TITLE |
| THAT CONSTRUCTION ON | _____ |
| TRACS NO | PROJECT NO |
| UNIT | _____ |
| TYPE OF CONSTRUCTION | _____ |
| CONTRACTOR | _____ |
| DATE WORK STARTED | _____ |
| DATE WORK COMPLETED | _____ |

Exhibit 1202-1 Start and Substantial Completion Memo



Infrastructure Delivery and Operations

Katie Hobbs, Governor
Jennifer Toth, Director
Greg Byres, Deputy Director for Transportation/State Engineer
Steve Boschen, Division Director

ADOT Black Canyon Field Office
2501 W. Georgia Ave.
Phoenix, AZ 85017

June 19, 2024

Norman Bessler
Senior Project Manager
Fisher Sand & Gravel DBA Southwest Asphalt Paving
1302 W. Drivers Way
Tempe, AZ 85284

Project: 017 MA 208 F015501C/017-A-NFA
PHOENIX-CORDES JUNCTION HIGHWAY (I-17)/PEORIA AVE TO GREENWAY RD

Subject: ADOT Letter 021 - Substantial Completion

Dear Mr. Bessler:

This letter shall serve to confirm that the above-referenced project was considered substantially complete on June 19, 2024, in accordance with Section 105.19 of the ADOT Standard Specifications Road and Bridge Construction, 2008.

Substantial completion does not imply final acceptance. It does not relieve Fisher Sand & Gravel DBA Southwest Asphalt Paving of the obligation to complete any remaining work and to maintain and repair the work until final acceptance is documented. Final acceptance will be documented at a later date in accordance with subsection 105.20(B) of the ADOT Standard Specifications for Road and Bridge Construction, 2008.

The Department would like to express its appreciation for the positive effort which was made on this project under the Partnering Charter's original conditions.

Sincerely,

Jimmy Naujokaitis
Senior Resident Engineer

cc: Kirk Kiser, ADOT Assistant District Engineer – Construction
Gabe Vindiola, ADOT Project Supervisor
Roxanne Lopez, ADOT Office Manager
Hector Roman, ADOT Materials Coordinator
Derek Boland, ADOT Project Manager
Mohamed Elomeri, ADOT Assistant District Engineer – Maintenance
ADOT Field Reports

ARIZONA DEPARTMENT OF TRANSPORTATION
1801 W. Jefferson St., Suite 120, MD 102M | Phoenix, AZ 85007 | azdot.gov

Exhibit 1202-2 Substantial Completion Letter

1203 SUSPENSION OF WORK

Section 105.02 of the Standard Specifications gives the Resident Engineer the authority to suspend the work in whole or in part, and lists conditions which might justify a suspension. Section 108.08 of this manual should be referenced prior to issuing any Stop Work Order.

The Resident Engineer may use a Stop Work Order to suspend the work, either partially or fully, see Exhibit 1203-1 Stop Work Order. The Stop Work Order should be specific as to which items of work are being suspended. Stop Work Orders are numbered sequentially, beginning with Number 1. Any subsequent Stop Work Orders related to the same time period shall bear the same number, using a letter suffix; e.g. 1-A, 1-B, and so on, to indicate that the Stop Work Orders are simultaneous. Stop Work Orders have serious consequences and should be utilized only when absolutely necessary as delays to the Contractor's operations are potentially very costly. If the contractor requests a Stop Work order, they should request it in writing with the reason and backup document.

Work on a project may be partially resumed, with the consent of the RE, without the RE having to issue a Partial Resume Work Order, see Exhibit 1203-2 Resume Work Order. Resume Work Orders are issued when the work is 100% resumed.

The Resident Engineer shall keep a copy of all Stop Work Orders in the project file for documentation purposes and a copy must be sent to Field Reports.

ARIZONA DEPARTMENT OF TRANSPORTATION

STOP WORK ORDER

Project TRACS : _____ Order No.: _____

Project Name: _____ Date Effective: _____

Contractor Name: _____ Time of Day: _____

Full Stoppage of Work Partial Stoppage of Work

Contract Time Charges to be Stopped Contract Time Charges to Continue

Reason: _____

Notes:
 Check all boxes that apply to this order.
 For partial work stoppages, list item numbers affected.

Resident Engineer

Exhibit 1203-1 Stop Work Order

ARIZONA DEPARTMENT OF TRANSPORTATION

RESUME WORK ORDER

Project TRACS: _____ Order No.: _____

Project Name: _____ Date Effective: _____

Contractor Name: _____ Time of Day: _____

Full Resumption of Work Partial Resumption of Work

Resumption of Contract Time (if applicable)

Reason: _____

Notes:
 Check all boxes that apply to this order.
 Reference the stop work order(s) that
 this order is rescinding.

 Resident Engineer

Exhibit 1203-2 Resume Work Order

1204 WEEKLY TIME REPORTS

1204-1 General

Weekly Time Reports provide an accounting of contract time used and contract time remaining. The Field Office generates Weekly Time Reports using the CPE computer program (See Exhibit 1204-1 Weekly Time Report – Working Days) and (Exhibit 1204-2 Weekly Time Reports – Calendar Days) and (Exhibit 1204-3 Weekly Time Report (Fixed Date)). The office staff verifies the number of days being charged with the Resident Engineer; typically only on working day contracts, then enters this information into FAST CPE to generate the report.

The codes shown in the exhibits shall be used by the Field Office. When using a code other than 1 or 0 a remark must be made. Code “X” should be used prior to contract time starting or after substantial completion. Code “S” should be used for full Stop Work orders until the resume work date, this date will be a day charged.

The original Weekly Time Report is signed by the Resident Engineer and sent to the contractor to ensure that there is agreement regarding the contract time charges. The contractor has one week after receiving the report to protest the time charges.

Each phase of the project will have their own time reports. The Field Office adds the additional phases after the project is awarded including Phase II Landscape Establishment.

Contract time is charged on the official contract start date as noted in the Award Letter. If this is changed through a procedural change order, the contract time needs to be noted as “X” in CPE starting on the date noted in the Award Letter until time officially starts per the change order and a comment needs to be entered on the first time report.

If the contractor starts work prior to the date noted in the Award Letter then the contract time needs to be noted as “X” in CPE starting on the date noted in the Award Letter until time officially starts per the change order and a comment needs to be entered on the first time report.

"Zero" time reports are produced when there is no time charged during a given week, except in the case of extended periods of time such as seasonal shutdowns. A seasonal shutdown is noted in the remarks section of the last Weekly Time Report, and the numbering sequence is continued when the reports are resumed. A stop work order and resume work order must be submitted to Field Reports. When the project is accepted as substantially complete, construction time charges stop. The first and last Weekly Time Reports are submitted to Field Reports as part of the project final submittal.

Remarks to be added on weekly time reports:

- If contractor does not begin working on the date shown on the Award letter, add note “Contract time begins”
- Contractor started working on XX/XX/XXXX
- Name the holiday
- If Special Provisions call out periods of time for no work and time is not being charged
- Stop work order date and Resume Work order dates
- Seeding time that starts the 45 days and when it stops
 - The seeding maintenance period must be completed prior to final acceptance but can start after substantial completion. This is to be tracked in CPE with a “X” but weekly time reports are not required to be sent to the contractor.
- Substantial completion on XX/XX/XXXX

1204-2 Working Day Contracts

Contractors are normally charged five days per week (Mon. through Fri.) this is a 24 Hr period starting at midnight and ending at midnight. Any Saturday, Sunday, or State recognized holiday on which the contractor has been

RECORDS AND REPORTS

WEEKLY TIME REPORTS

approved to work will also be counted as a working day.

Working days on which weather conditions do not permit work on the project to proceed, as determined by the Engineer, will not be charged.

Since weather days are not charged, the contract time is automatically extended for weather without requiring a formal time extension. The Weekly Time Report also eliminates the need for weather-related Stop and Resume Work Orders, except for long periods of interruption in the work such as winter shutdowns, which still require a Stop and Resume Work Order with a copy sent to Field Reports.

1204-3 Calendar Day Contracts

A calendar day contract specifies the number of calendar days allowed for the work. Every calendar day; including weekends, holidays, and inclement weather, is charged on the Weekly Time Report, whether the contractor works or not, unless the Resident Engineer has suspended work by a Stop Work Order.

1204-4 Fixed Calendar Date Contracts

A Fixed Date contract specifies the contract completion date. This date shall be the date on which all work on the project is required to be substantially completed. Time is charged similar to a calendar day contract to include weekends and holidays. If this date needs to change a time extension needs to be completed to add a new fixed end date. A service ticket will also have to be done by the Field Office to have this changed in the Contract Card.

DocuSign Envelope ID: 10F188DC-6AB5-4A8E-BD8C-C934A2076054

03/04/24 07:27:07 am

Arizona Department of Transportation
Weekly Time Report

| | | | |
|-----------------------------|--------------------------------|---------------------------|--------------|
| Tracs Number: | T028301C | Report Number: | 1 |
| Project Number: | PE0-0-(227)T | Org: | 4679 |
| Project Description: | Stadium Trail-73rd Ave to 83rd | Contract Began on: | 08/23/2023 |
| Contractor: | MERIDIAN ENGINEERING COMPANY | Schedule: | Working Days |

Gentlemen:

Under the terms of this project it is specified that the work must be completed within 190 working days.

During the week beginning 08/19/2023 this project has been charged with 3 days as shown below:

Phase = 01

| No. | Week | Sat | Sun | Mon | Tue | Wed | Thu | Fri | Total |
|-----|----------|-----|-----|-----|-----|-----|-----|-----|-------|
| 1 | 08/19/23 | 0 | 0 | X | X | 1 | 1 | 1 | 3 |

Remarks: Per Award Letter Contract time starts 8/23/23.

You will, in accordance with the Standard Specification, be allowed to file written protest setting forth in what respect, if any, this weekly statement is incorrect, otherwise it shall be deemed to have been accepted as correct.

Codes:

- I = Day Charged
- W = Weather
- S = Stop Work Order
- H = Holiday
- 0 = Weekend
- X = Other

Phase

| | |
|-------------------|------------|
| 01 | |
| Contract Days | 190 |
| Extended Days | 0 |
| Subtotal Days | 190 |
| Previous Days | 0 |
| This Week | 3 |
| Days Used to Date | 3 = 2 % |
| Remaining Days | 187 = 98 % |

Exhibit 1204-1 Weekly Time Report (Working Days) with X's prior to Contract Time Commencing

04/12/24 09:21:42 am

Arizona Department of Transportation Weekly Time Report

| | |
|--|--------------------------------------|
| Tracs Number: F014101C | Report Number: 29 |
| Project Number: 060-B(225)T | Org: 4676 |
| Project Description: Bethany Home Rd & Northern Ave | Contract Began on: 12/18/2019 |
| Contractor: COMBS CONSTRUCTION COMPANY, INC. | Schedule: Working Days |

Gentlemen:

Under the terms of this project it is specified that the work must be completed within 160 working days.

During the week beginning 06/27/2020 this project has been charged with 4 days as shown below:

Phase = 01

| No. | Week | Sat | Sun | Mon | Tue | Wed | Thu | Fri | Total |
|-----|----------|-----|-----|-----|-----|-----|-----|-----|-------|
| 29 | 06/27/20 | 0 | 0 | 1 | 1 | 1 | 1 | H | 4 |

Remarks: INDEPENDENCE DAY

You will, in accordance with the Standard Specification, be allowed to file written protest setting forth in what respect, if any, this weekly statement is incorrect, otherwise it shall be deemed to have been accepted as correct.

| | | |
|---------------------|-------------------|------------|
| Codes: | Phase | 01 |
| 1 = Day Charged | Contract Days | 160 |
| W = Weather | Extended Days | 0 |
| S = Stop Work Order | Subtotal Days | 160 |
| H = Holiday | Previous Days | 128 |
| 0 = Weekend | This Week | 4 |
| X = Other | Days Used to Date | 132 = 83 % |
| | Remaining Days | 28 = 18 % |

Resident Engineer

Exhibit 1204-1 Weekly Time Report (Working Days) with Holiday

04/12/24 09:32:55 am

Arizona Department of Transportation Weekly Time Report

| | | | |
|-----------------------------|----------------------------------|---------------------------|--------------|
| Tracs Number: | F014101C | Report Number: | 13 |
| Project Number: | 060-B(225)T | Org: | 4676 |
| Project Description: | Bethany Home Rd & Northern Ave | Contract Began on: | 12/18/2019 |
| Contractor: | COMBS CONSTRUCTION COMPANY, INC. | Schedule: | Working Days |

Gentlemen:

Under the terms of this project it is specified that the work must be completed within 160 working days.

During the week beginning 03/07/2020 this project has been charged with 2 days as shown below:

Phase = 01

| No. | Week | Sat | Sun | Mon | Tue | Wed | Thu | Fri | Total |
|-----|----------|-----|-----|-----|-----|-----|-----|-----|-------|
| 13 | 03/07/20 | 0 | 0 | 1 | 1 | W | W | W | 2 |

Remarks:

You will, in accordance with the Standard Specification, be allowed to file written protest setting forth in what respect, if any, this weekly statement is incorrect, otherwise it shall be deemed to have been accepted as correct.

| | | |
|---------------------|-------------------|------------|
| Codes: | Phase | |
| 1 = Day Charged | Contract Days | 01 |
| W = Weather | Extended Days | 160 |
| S = Stop Work Order | Subtotal Days | 0 |
| H = Holiday | Previous Days | 160 |
| 0 = Weekend | This Week | 52 |
| X = Other | Days Used to Date | 2 |
| | Remaining Days | 54 = 34 % |
| | | 106 = 66 % |

Resident Engineer

Exhibit 1204-1 Weekly Time Report (Working Days) with Weather Days

| | | |
|---|-------------------------------|--------------------------------------|
| Arizona Department of Transportation | | <i>05/02/24 09:49:19 am</i> |
| Weekly Time Report | | |
| Tracs Number: | F023001C | Report Number: 34 |
| Project Number: | 040-D-(241)T | Org: 4431 |
| Project Description: | HERMOSA DRIVE UP 1368 | Contract Began on: 02/23/2022 |
| Contractor: | J. BANICKI CONSTRUCTION, INC. | Schedule: Working Days |

Gentlemen:

Under the terms of this project it is specified that the work must be completed within 150 working days.

During the week beginning 10/08/2022 this project has been charged with 4 days as shown below:

Phase = 01

| No. | Week | Sat | Sun | Mon | Tue | Wed | Thu | Fri | Total |
|-----|----------|-----|-----|-----|-----|-----|-----|-----|-------|
| 34 | 10/08/22 | 0 | 0 | 1 | 1 | 1 | 1 | X | 4 |

Remarks: Worked on Holiday 10/10/22 - Columbus Day & On 10/13/22 4PM-Granted Substantial Completion

You will, in accordance with the Standard Specification, be allowed to file written protest setting forth in what respect, if any, this weekly statement is incorrect, otherwise it shall be deemed to have been accepted as correct.

| | | | | | | | | | | | | | | | | | |
|---|--|--------------|-----------|---------------|-----|---------------|----|---------------|-----|---------------|-----|-----------|---|-------------------|------------|----------------|-----------|
| Codes: 1 = Day Charged W = Weather S = Stop Work Order H = Holiday 0 = Weekend X = Other | <table border="0" style="width: 100%;"> <tr> <td>Phase</td> <td style="text-align: right;">01</td> </tr> <tr> <td>Contract Days</td> <td style="text-align: right;">120</td> </tr> <tr> <td>Extended Days</td> <td style="text-align: right;">30</td> </tr> <tr> <td>Subtotal Days</td> <td style="text-align: right;">150</td> </tr> <tr> <td>Previous Days</td> <td style="text-align: right;">128</td> </tr> <tr> <td>This Week</td> <td style="text-align: right;">4</td> </tr> <tr> <td>Days Used to Date</td> <td style="text-align: right;">132 = 88 %</td> </tr> <tr> <td>Remaining Days</td> <td style="text-align: right;">18 = 12 %</td> </tr> </table> | Phase | 01 | Contract Days | 120 | Extended Days | 30 | Subtotal Days | 150 | Previous Days | 128 | This Week | 4 | Days Used to Date | 132 = 88 % | Remaining Days | 18 = 12 % |
| Phase | 01 | | | | | | | | | | | | | | | | |
| Contract Days | 120 | | | | | | | | | | | | | | | | |
| Extended Days | 30 | | | | | | | | | | | | | | | | |
| Subtotal Days | 150 | | | | | | | | | | | | | | | | |
| Previous Days | 128 | | | | | | | | | | | | | | | | |
| This Week | 4 | | | | | | | | | | | | | | | | |
| Days Used to Date | 132 = 88 % | | | | | | | | | | | | | | | | |
| Remaining Days | 18 = 12 % | | | | | | | | | | | | | | | | |

Resident Engineer

Distribution
Original - Contractor
1 copy - Project File

Exhibit 1204-1 Weekly Time Report (Working Days) with X after Substantial Completion

04/12/24 09:12:41 am

Arizona Department of Transportation Weekly Time Report

| | |
|--|--------------------------------------|
| Tracs Number: F012301C | Report Number: 1 |
| Project Number: 101-B-(210)T | Org: 4676 |
| Project Description: 101 Pima Princess Dr-Shea Blvd | Contract Began on: 01/19/2024 |
| Contractor: FNF CONSTRUCTION, INC. | Schedule: Calendar Days |

Gentlemen:

Under the terms of this project it is specified that the work must be completed within 700 calendar days.

During the week beginning 01/13/2024 this project has been charged with 1 days as shown below:

Phase = 01

| No. | Week | Sat | Sun | Mon | Tue | Wed | Thu | Fri | Total |
|-----|----------|-----|-----|-----|-----|-----|-----|-----|-------|
| 1 | 01/13/24 | X | X | X | X | X | X | 1 | 1 |

Remarks: Contract Time Started 1/19/24

You will, in accordance with the Standard Specification, be allowed to file written protest setting forth in what respect, if any, this weekly statement is incorrect, otherwise it shall be deemed to have been accepted as correct.

| | | |
|---------------------|-------------------|-------------|
| Codes: | Phase | 01 |
| 1 = Day Charged | Contract Days | 700 |
| W = Weather | Extended Days | 0 |
| S = Stop Work Order | Subtotal Days | 700 |
| H = Holiday | Previous Days | 0 |
| 0 = Weekend | This Week | 1 |
| X = Other | Days Used to Date | 1 = 0 % |
| | Remaining Days | 699 = 100 % |

Resident Engineer

Distribution
 Original - Contractor
 1 copy - Project File

Exhibit 1204-2 Weekly Time Report (Calendar Days) with X's prior to Contract Time Commencing

Arizona Department of Transportation
Weekly Time Report

04/12/24 09:14:58 am

| | | | |
|-----------------------------|-------------------------------|---------------------------|---------------|
| Tracs Number: | F042401C | Report Number: | 57 |
| Project Number: | 303-A-NFA | Org: | 4676 |
| Project Description: | 51st Ave and 43rd Ave Interch | Contract Began on: | 09/12/2022 |
| Contractor: | FISHER SAND & GRAVEL CO. | Schedule: | Calendar Days |

Gentlemen:

Under the terms of this project it is specified that the work must be completed within 392 calendar days.

During the week beginning 10/07/2023 this project has been charged with 0 days as shown below:

Phase = 01

| No. | Week | Sat | Sun | Mon | Tue | Wed | Thu | Fri | Total |
|-----|----------|-----|-----|-----|-----|-----|-----|-----|-------|
| 57 | 10/07/23 | S | S | S | S | S | S | S | 0 |

Remarks: Stopped work order started 10/7/2023

You will, in accordance with the Standard Specification, be allowed to file written protest setting forth in what respect, if any, this weekly statement is incorrect, otherwise it shall be deemed to have been accepted as correct.

| Codes: | Phase | 01 |
|---------------------|-------------------|------------|
| 1 = Day Charged | Contract Days | 345 |
| W = Weather | Extended Days | 47 |
| S = Stop Work Order | Subtotal Days | 392 |
| H = Holiday | Previous Days | 390 |
| 0 = Weekend | This Week | 0 |
| X = Other | Days Used to Date | 390 = 99 % |
| | Remaining Days | 2 = 1 % |

Resident Engineer

Distribution
Original - Contractor
1 copy - Project File

Exhibit 1204-2 Weekly Time Report (Calendar Days) with Stop Work Order Days

04/12/24 09:16:33 am

Arizona Department of Transportation Weekly Time Report

| | |
|---|--------------------------------------|
| Tracs Number: F042401C | Report Number: 72 |
| Project Number: 303-A-NFA | Org: 4676 |
| Project Description: 51st Ave and 43rd Ave Interch | Contract Began on: 09/12/2022 |
| Contractor: FISHER SAND & GRAVEL CO. | Schedule: Calendar Days |

Gentlemen:

Under the terms of this project it is specified that the work must be completed within 392 calendar days.

During the week beginning 01/20/2024 this project has been charged with 2 days as shown below:

Phase = 01

| No. | Week | Sat | Sun | Mon | Tue | Wed | Thu | Fri | Total |
|-----|----------|-----|-----|-----|-----|-----|-----|-----|-------|
| 72 | 01/20/24 | S | S | S | S | 1 | 1 | X | 2 |

Remarks: Resume Work Order started 1/24/24. Substantial completion 1/25/2024

You will, in accordance with the Standard Specification, be allowed to file written protest setting forth in what respect, if any, this weekly statement is incorrect, otherwise it shall be deemed to have been accepted as correct.

| | | |
|---------------------|-------------------|-------------|
| Codes: | Phase | 01 |
| l = Day Charged | Contract Days | 346 |
| W = Weather | Extended Days | 47 |
| S = Stop Work Order | Subtotal Days | 392 |
| H = Holiday | Previous Days | 390 |
| 0 = Weekend | This Week | 2 |
| X = Other | Days Used to Date | 392 = 100 % |
| | Remaining Days | 0 = 0 % |

Resident Engineer

Distribution
Original - Contractor
1 copy - Project File

Exhibit 1204-2 Weekly Time Report (Calendar Days) with Stop Work Order, Resume Work Order and X marked after Substantial Completion.

05/02/24 09:35:31 am

Arizona Department of Transportation Weekly Time Report

| | |
|---|--------------------------------------|
| Tracs Number: H821401C | Report Number: 140 |
| Project Number: 040-E(224)T | Org: 4431 |
| Project Description: METEOR CRATER AND PAINTED | Contract Began on: 05/15/2019 |
| Contractor: FANN CONTRACTING, INC | Schedule: Fixed Date unknown |

Gentlemen:

Under the terms of this project it is specified that the work must be completed within

Phase = 01

| No. | Week | Sat | Sun | Mon | Tue | Wed | Thu | Fri | Total |
|-----|----------|-----|-----|-----|-----|-----|-----|-----|-------|
| 140 | 01/08/22 | 1 | 1 | 1 | 1 | 1 | 1 | X | 6 |

Remarks: Granted Substantial Completion on 01-13-2022

You will, in accordance with the Standard Specification, be allowed to file written protest setting forth in what respect, if any, this weekly statement is incorrect, otherwise it shall be deemed to have been accepted as correct.

| | | |
|---------------------|-------------------|-----------|
| Codes: | Phase | 01 |
| 1 = Day Charged | Previous Days | 874 |
| W = Weather | This Week | 6 |
| S = Stop Work Order | Days Used to Date | 880 |
| H = Holiday | | |
| 0 = Weekend | | |
| X = Other | | |

Resident Engineer

Distribution

Original - Contractor

1 copy - Project File

Exhibit 1204-3 Weekly Time Report (Fixed Date). The report "Fixed Date" displays unknown, but is stated in the contract. In this example, the original Fixed Calendar Date was 04/30/2020. Per CO #25, Fixed Calendar Date was changed to 01/13/22.

1205 TIME EXTENSIONS

The ADOT form, "Request for Extension of Time," is to be used to start a time extension supplemental agreement, reference Chapter 108 of this manual for more details. Either the Resident Engineer or the contractor can initiate a request for a time extension. If you have an alternative delivery project, either Design-Build or Construction Manager At Risk (CMAR), a Contract Modification Request Form is required. All requests for extension of time must be processed through a change order via SATS. See Section 104.02 and Section 108.08 of the Standard Specifications for justification of an extension.

The contractor submits a request form explaining the reason for the request, accompanied by a revised construction schedule and any other pertinent supporting information. The request should show the number of days lost for each reason given, the number of additional days required to complete the project, and identify a new completion date on fixed date contracts. The number of days requested in an extension of time cannot exceed the number of days required to achieve Substantial Completion. The Resident Engineer analyzes the request and decides whether or not to recommend the time extension, bearing in mind that any days already granted to the contractor on a Weekly Time Report are not to be duplicated on the request for a time extension. The Engineer's recommendations should be detailed and complete, since they are used by others to evaluate the contractor's request.

The Resident Engineer prepares a change order in SATS in order to process the time extension. The time extension is inputted in SATS during the entry of the change order. The author must enter the Time Extension Request No., DE Signature Date, and Comments. The Resident Engineer should use the DocuSign template for signatures. The Unit logs the approvals in SATS as the change order goes through the approval process. After all required approvals are entered the time extension registers in Contract Card, CPE and Weekly Time Reports.

1206 PLANS AND SPECIAL PROVISIONS REVIEW

The Resident Engineer should perform a review of the project plans and special provisions during the design phase; Stage III, 60% is the critical stage to make comments that are design changes. The purpose of this review is to capture potential improvements in contract documents by providing feedback with specific issues that have surfaced on current projects.

Examples include:

1. Constructability issues include items that may be difficult to construct where an alternate design or additional information may be appropriate.
2. Clarification of project documents such as plans, Special Provisions, Standard Specifications, bid tabs/cost estimates, and Standard Drawings.
3. Modifications either dealt with by a Supplemental Agreement or just redlined in the field.
4. Provide known maintenance issues within the project area, e.g. drainage, settlement, etc.

The Resident Engineer should be thorough and candid in his appraisal of the contract documents. This review process can help to improve the documents prepared by the Department and Consultants.

CE Budgets

At 95% design (Stage IV) of each project, the Resident Engineer is responsible for putting together a budget showing the inspectors, surveyors, material testers, office personnel, management staff, lab and Field Reports time needed for the project. This is provided to the Project Manager and Contract and Specifications for inclusion in the recapitulation sheet for authorization of the overall program budget. These plans should go through the District for concurrence of the budget proposed by the RE.

The designer or Contracts and Specifications must provide a detailed schedule of anticipated contract time for the RE to use to establish this budget.

When a contract is awarded, it is recommended that at a minimum the field office should go through the Special Provisions and flag the following:

- 104.04 for Traffic Restrictions/LD's
- 924 items that are specific to the project (MOM and BOP)
- Addendums
- Bituminous Material Price Adjustment (109.16)
- Contract Time
- Diesel Fuel Price Adjustment (109.12)
- DBE requirements
- Line Item Force Accounts
- OJT Requirements
- Payroll requirements
 - Verify wage decision is correct
- Preconstruction conference requirements

1207 FINAL RECORDS AND REPORTS

During construction and at the completion of construction activities, the project must be inspected and documentation must be reviewed to ensure that the project has been completed in accordance with the approved contract documents and federal-aid requirements before final acceptance can be obtained. Final acceptance and closeout of the project involves several steps that typically take 1 to 4 months to complete.

- The final acceptance letter must be prepared and signed by the District Administrator or ADE.
- Project closeout documentation must be compiled and reviewed for accuracy and completeness by the ADOT Resident Engineer.
- The field office must prepare a final construction package that includes applicable project closeout documentation and submit the package to the ADOT Field Reports Section who will, in turn, forward it to the ADOT Contract Payables and the ADOT Final Voucher Section.
- ADOT Contract Payables will review the final construction package and then submit final payment reconciliation to the ADOT contractor, as applicable.
- ADOT's Final Voucher Section will reconcile financial data and prepare a final voucher report that will be submitted to FHWA to request final reimbursement of federal-aid funds.
- FHWA will review the final voucher report and send final reimbursement funds to ADOT to administer as appropriate.

1207-1 Final Acceptance

The construction unit shall prepare a Final Acceptance letter for the District Administrators or the Assistant District Engineer signature, see Exhibit 1202-2 Final Acceptance Letter. There is a Docusign template for the Final Acceptance letter. At a minimum Field Reports, District, BECO, Project Management, applicable Maintenance groups, FHWA, Accounts Receivable, Final Voucher and Consultant Contract Administrators shall be notified. All physical work must have been completed on or before that date, i.e. punch lists, maintenance periods, contractor required red-lines and all contract work. Should the contractor complete a portion of the project and request partial acceptance of this work in accordance with 105.20(A), the RE shall disapprove this request in writing.

1207-2 Field Red-Line Drawings/Record Drawings

In order to provide an accurate permanent record of actual placement of features for maintenance and future development, the Resident Engineer (RE) should promptly record; manually or electronically, any physical modifications to the original design as construction progresses. It is recommended that the field office identify a single drawing set to be used for Red-Lines prior to the start of construction.

The Red-Line Drawings are utilized to create the Record Drawings. Prior to their preparation, the RE should coordinate method and format with the Record Drawings Designer. The ADOT Project Manager (PM) can furnish contact information for the Record Drawings Designer. The Project Resource Office provides additional information on this process. Red-Lines should be drawn accurately, with all necessary explanatory and reference information noted. They shall include all changes from the As-Bid documents, i.e. all permit work, all extra work, all deleted work, supplemental agreements, addendums, field adjustments, pertinent RFIs; and all discovered, relocated, and or abandoned utilities.

Utility information must be included by providing accurate locations on the Record Drawings. Special emphasis should be given to the location of any cables or equipment installed in a manner other than that specified by standard placement conventions. The contractor supplies the Record Drawings survey information, see special provisions for the project.

Within 45 days of the project's final acceptance, the RE shall assemble the final Red-Line Drawings and transmit them to the Record Drawings Designer, prior to transmitting, the RE is to complete the Record Drawing Project Submittal Form (Located at the Record Drawing Guidelines web page. Additionally, project information needs to be

RECORDS AND REPORTS

completed on the Plans Face Sheet, which has been modified to provide fields for “Constructed by” – “Red-Lines by” – and “Record Drawings by”. If the Plans Face Sheet does not contain those fields, the RE should request the Record Drawings Designer to provide a new Plans Face Sheet with those fields imprinted. The RE is required to fill out the “Constructed by” and “Red-Lines Completed by” portions. Note that the RE signs where the form calls for the “Construction Administrator”.

When the RE transmits the completed Red-Line Drawings to the Record Drawings Designer, the RE e-mails both the ADOT PM and the Field Reports Section at freports@azdot.gov and advises them of the date. Field Reports will enter the Field Red-lines date into the Field Office Automation System (FAST) to be reflected on the Contract Card. The Record Drawings Designer must complete the Record Drawings in a maximum of 60 days from the date the Field Red-Line Plans are received. Once the Designer has transferred all Red-Lines onto the final Record Drawings set, the Designer will return the set in PDF format to the RE for final review. It is the RE’s responsibility to confirm that all modifications have been integrated into the Record Drawings. The RE must complete the review within five working days.

Upon acceptance by the RE, the RE will notify the ADOT PM, the Record Drawings Designer and the Project Resource Office (PRO) via e-mail that the Record Drawings are complete and approved. The RE will also instruct the Record Drawings Designer to send the approved Record Drawings to the PRO. Prior to transmittal, the “Record Drawings Completed by” portion of the Plans Face Sheet will be filled in by the Record Drawings Designer to document the acceptance.

If the Record Drawings deliverables contain corrupt or unreadable file(s), the PRO will request delivery of a new file from the Record Drawings Designer and e-mail the PM and RE of the discrepancy. After PRO determines the Record Drawings are acceptable, the information will be loaded into the ADOT ROAD Portal, and will send a notice to Field Reports; as well as to the RE and PM, for entry into the FAST system to record the completion date on the Contract Card.

A flowchart (See Exhibit 1207-2 Red-Line Drawings/Record Drawings Flowchart) illustrates an overview of the process.

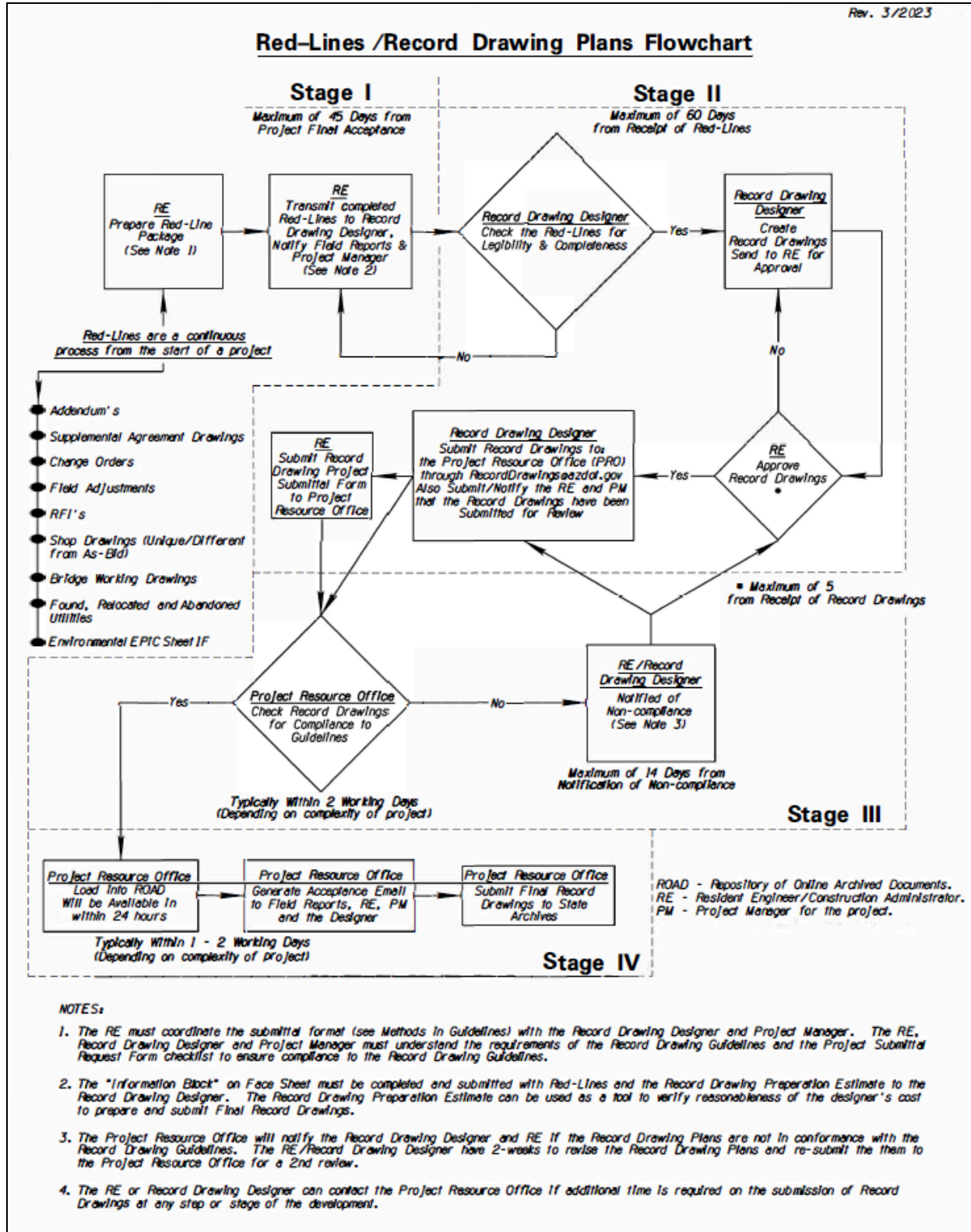


Exhibit 1207-2 Red-Line Drawings/Record Drawings Flowchart

1207-3 Materials Sample Checklist

After receiving the advertisement for a project from Contracts and Specifications, the Material Coordinator should go to the Materials Group website to obtain the Material Sample Checklist in time for the Partnering Meeting. If a checklist is not on the website the Materials Coordinator should reach out to the Regional Materials Engineer for their project to get this. The Materials Sample Checklist indicates the estimated number of required samples for each type of material on the project which requires sampling and testing. The estimated number of samples and tests are a minimum and are based on the plan quantities. The checklist derives the required number of samples from the “Materials Quality Assurance Program” Sampling Guide Schedule. If quantities increase, or more production lots occur than initially estimated, the number of required samples also increases.

The project’s Material Coordinator is responsible to assure that all materials used on the project that require sampling and testing are listed on the Materials Sample Checklist, including any materials added by change order. Additionally, it is the responsibility of the Materials Coordinator to assure that the appropriate number of samples and tests are obtained throughout the project, based on varying quantities for each type of project material. Upon completion of the project, the Materials Coordinator finalizes the Materials Sample Checklist. This checklist along with the exceptions report are submitted to Materials Group through the RE using the Docusign template. For further information refer to ADOT Materials Quality Assurance Program.

1207-4 Payroll Closeout

When submitting a Payroll Closing Checklist to Labor Compliance, all items that have a check box must be reviewed and corrected. All dates that have been entered into Contract Card must match the start and completed dates that are listed on the subcontractor Start & Completion Table in Contract Card along with the dates that were entered in LCPTracker. All subcontractors must have interviews uploaded into LCPTracker. If subcontractors are missing interviews, a letter of explanation must be sent to Labor Compliance, listing all subcontractors with missing interviews. The All Notice Report must be cleared along with the Late Summary Report. The field office must sign the checklist with the date that it is being sent to Labor Compliance for review. Once Labor Compliance has reviewed the Payroll Closing Checklist and everything has been completed, the reviewing Labor Compliance Officer will sign, date and return the signed payroll checklist to the field office. The project will be closed in FAST and in LCPTracker and the checklist will be uploaded into the project folder. See Payroll Closing Checklist Exhibit 1207-4 below.

| Payroll Closing Checklist | | | |
|---------------------------|---|------------------|--|
| TRACS No: _____ | Resident Engineer: _____ | | |
| Project No: _____ | Submitted By: _____ | | |
| Contractor: _____ | PR Closeout Submitted Date: _____ | | |
| Unit No: _____ | FR LCO Specialist: _____ | | |
| Unit Check | Uploaded to Payroll Closeout Folder | LCO Check | |
| Yes N/A | | | |
| #### #### | Admin Notice Report (should be blank) | FALSE | |
| #### #### | Late Summary Report (should be blank) | FALSE | |
| #### #### | Letter of Explanation for Contractors with no interviews with R.E. Concurrence | FALSE | |
| #### #### | Payroll Verifications Worksheet- Fed Aid Only | FALSE | |
| Verifications | | | |
| #### #### | has been uploaded into the folder) | FALSE | |
| #### #### | Check Subcontractor Index in Contract Card- All "NO's" cleared? Any missing info? | FALSE | |
| #### #### | Check Subcontractor Table in Contract Card- All dates entered? | FALSE | |
| #### #### | All Start dates match in both LCPtracker and FAST | FALSE | |
| #### #### | All Completed dates match in both LCPtracker and FAST | FALSE | |
| #### #### | In LCPtracker- Set Up- Contractor Setup- Contract Assignment- Select Project: | FALSE | |
| #### #### | entered. | FALSE | |
| #### #### | (2) Ensure the Contractor ID Field is in COMPLETED, DE MINIMIS OR DID NOT WORK status | FALSE | |
| LCO Approved: _____ | Date: _____ | | |

Exhibit 1207-4 Payroll Closing Checklist

1207-5 DBE Closeout

To ensure a smooth and quick receipt of the DBE Closeout Letter the following is required:

- All subcontractors; regardless of the tier of subcontractor, must be in DOORS.
- Ensure all payments are reported in DOORS for all DBE's, Committed and Non-Committed, and marked "Final".
- Certificates of Final Payments for all DBE's, Committed and Non-Committed, must match DOORS prior to submitting to BECO.
- If a committed DBE is short of the Contracted dollar amount, terminated/withdrawn or substituted the field office must ensure there has been a Termination/Substitution/Reduction (TSR) form submitted to BECO and approved by BECO.
- Receipt of A Commercially Useful Function (CUF) including the Diary for all committed DBE's on the project are needed to ensure the prime contractor does not lose credit on the project. If a CUF was not completed for a specific committed DBE please notify BECO as soon as possible.
- If the project has an OJT goal or the prime voluntarily reported OJT hours, the field office should ensure the hours reported and approved in DOORS match the LCPtracker report. If any discrepancies please reach out to the project's compliance technician.

1207-6 Project Final

Once a project has reached final acceptance, the field office administering the project has a goal of 45 days to complete the project final documentation and submit to Field Reports. This is in accordance with Standard Specs 109.09 where the contractor should expect ADOT to review final quantities within 60 days after final acceptance.

The final estimate shall be a zero dollar estimate. For an estimate to be considered final, it must entail no more than zero dollars in payments to the contractor. Any monetary estimate that is submitted after project final acceptance is called a "semi-final estimate".

The field office prepares the project final documentation. The project final must be submitted electronically via the Google Drive and shared folders. The "Project Final Checklist" Google sheet is located in the Field Reports Resource Center. This document provides detailed instructions for setting up each project within the respective Unit's shared Google Drive. It also outlines folder organization and the process for sharing these folders with Field Reports. Following these steps and guidelines ensures consistency across the state and facilitates easy access for reference or auditing purposes. The Project Final Checklist includes the following sections:

- Instructions
- Folder Index
- Encumbrances
- Final Documents
- Time Packet
- Supplemental Agreements
- PCCP
- Asphalt Mixes
- 404 Items
- 108 & 109 Pay Items
- Procurement

For the documentation to be considered final, signed copies of the final estimate, final balance, and the summary page of the transaction detail log must be submitted. Field Reports will document the date the project final was received. The Field Reports Project Finals Specialist has a goal of fifteen days to review the project final ensuring pay item quantities and dollars are measured and paid per specifications, and all items are in contract compliance. The Finals Specialist will notify the field office when their review is complete, and will update the Final Remarks in

RECORDS AND REPORTS

FAST, Contract Card. The Office Manager, Resident Engineer, and Assistant District Engineer / Administrator will receive an email that the project final was perfect, without errors, or they will receive a Google document with the audit findings.

Once Field Reports has accepted and approved the Final documentation, the Final Balance is sent to the Construction State Engineer for their approval.

Field Reports cannot submit the final documents to Final Voucher until the following are completed and approved:

- Final Estimate signed by the Resident Engineer and the contractor
- Final Balance signed by the Resident Engineer and the State Construction Engineer
- DBE and OJT Closeout letter from BECO
- Material Closeout approved by the State Materials Engineer and FHWA
- Certified Payroll Closeout
- Record Drawings approved by the Project Resource Office
- Encumbrances cleared in all phases of a project

When everything outlined above is complete, Field Reports submits the signed Final Estimate, Final Balance, and Final Acceptance letter to Final Voucher.

1208 TEMPORARY TECHNICIAN CONSULTANT - CALLOUT & CLOSEOUT PROCESS

When a project utilizes the supplemental services Temporary Technician (Temp Tech) contract through Construction Group then the following shall be done by the Field Office when requesting a Temp Tech:

- Fill out the DocuSign Rent-a-Tech Request form, located on the ADOT Construction and Materials Group page, with all applicable information. If filled out by someone other than the RE, the RE must initial all amounts to be encumbered for projects.
- The Consultant Contract Administrator (CCA) will receive and review the request and send resumes of available Temp Techs who match the callout, e.g. all certifications, availability for the district, any other requirements as noted in the callout form.
- The requestor will review the resumes and select the Temp Tech who best fits their requirements based on their qualifications. If the RE or Project Supervisor wants more resumes, email the CCA to reach out to the consultants to see if anyone else is available.
- The requestor will submit their selection to the CCA who sent the resumes on the Qualification Based Selection form, located on the ADOT Construction and Materials Group page. Comments are required for all submitted techs, both the selected tech and the techs who were not selected.
- The CCA will send the completed callout form to the firm and request information in order to submit a service ticket and CARF to request necessary access and a computer for the Temp Tech.

The following shall be done by the Field Office when the consultant assignment is complete (End Callout):

- Notification sent to CCAs (I4@azdot.gov) with the name of individual, company and end date.
- Complete the Temporary Technical Personnel Performance evaluation for the individual; be honest but respectful. This will be a google form sent to the Supervisor of record in Manpower for completion.
- Verify the final date worked by the consultant .
- Contact CCAs to request to have the encumbrance released, they will need the last date the consultant worked and will release the funds once the last invoice is paid.

The following shall be done by the Field Office when the consultant assignment is transferred within the District The Temp Tech Extension-Encumbrance Request form must be filled out in DocuSign. This can be found on the Construction Group website. Include information for the new assignment to which the consultant is being assigned, including start date, length of callout, project numbers, and encumbrance amounts.

- The Field Office transferring the individual out shall verify the final date worked by the consultant.
- Contact CCAs to request to have the encumbrance released, they will need the last date the consultant worked and will release the funds once the last invoice is paid.

Field Office Responsibilities for when the assignment is complete:

- The equipment that the consultant came with goes back to their company for return to ADOT Construction Group. The Field Office is NOT to assume responsibility for the laptops, etc that are issued to the consultant firm. Ensure the consultant takes all power cords, docking stations, etc. which were assigned to them by Config & Deploy.
- The Field Office should collect any keys issued and the ID badge.
- PEN access/permissions should be removed by CCA
- Physical Security should be contacted for any alarm code deactivation and any badge access if the consultant is still on an ADOT callout.
- Any Field Office equipment such as sand cones, nuke gauges, etc. should be checked back into the Field Office.
- Any copies of project documents stay with the Field Office as well as any ADOT supplied material.

1209 DISPOSITION OF RECORDS

Once final payment is made to the contractor, the Unit staff shall carefully pack all project records in boxes and store them at the District Office or the Morgue for Central District. As the boxes are being packed, the following information should be noted on the outside of the box:

- Project name
- Project number
- TRACS number
- Completion date
- Resident Engineer
- A list of the contents of the box.
- A Copy of the Project Contract Card outside of the box

Please see below for a quick reference guide for ADOT record liaisons. Each Unit must assign a record Liaison

Record liaisons are responsible for determining when paper or electronic records their units hold are eligible for destruction. Record retention schedules are available online, contact your records officer for assistance.

- Once records have reached their retention timeframe, email recordsofficer@azdot.gov to confirm whether there is a litigation hold that would prevent the records from being destroyed
- If there are no litigation holds, prepare a Certificate of Destruction for each set of records. Certificates of Destruction are available at COD.
- Approved Certificate of Destruction will be returned to record liaison for submission to records@azlibrary.gov.
- Record liaison properly destroys records using shredding bin or deleting electronic records.
- Annual compliance meetings will be held to discuss your records, retention schedules, record storage and destruction, and the certificate of destruction form.

Additional information is available on the ADOTNet under Record Retention Resources. Still have questions? Email recordsofficer@azdot.gov or call 602-819-7803.

1210 LABOR COMPLIANCE FOR FEDERAL AID PROJECTS

1210-1 General

ADOT is responsible for enforcing the required contract provisions for Federal Aid Construction Contracts. The responsibility for the inspection and enforcement of labor standards rests mainly with the Resident Engineer. It is to the Resident Engineer's advantage to resolve any questions that may arise as promptly as possible. The Resident Engineer is expected to be familiar with and able to answer inquiries regarding the Federal Aid contract provisions.

Questions regarding Labor Compliance regulations should be directed to:

ARIZONA DEPARTMENT OF TRANSPORTATION
FIELD REPORTS SECTION
206 South 17th Avenue, Room 184, Mail Drop 133A
Phoenix, AZ 85007
Phone (602) 712-7301

1210-2 Federal Labor Acts

Davis-Bacon Act of 1931 and Davis-Bacon and Related Acts (DBRA)

All laborers and mechanics working on the construction project are required to be paid unconditionally, and not less than once a week, the wage rates contained in the wage decision incorporated into the contract.

The term "laborer" or "mechanic" include those workers whose duties are manual or physical in nature (who use tools or who are performing work of a trade), as distinguished from mental or managerial. The term includes apprentices, trainees, watchmen or guards. The term does not apply to workers whose duties are primarily administrative, executive, or clerical, rather than manual.

Laborers and mechanics must be properly classified and paid according to work actually performed. Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein – provided the employer's certified payroll reports (CPR) accurately set forth the time spent in each classification.

The wage decision and all approved conformed classifications shall be posted at all times at the site of work in a prominent and accessible place where it can be easily seen by all employees.

The Contract Work Hours and Safety Standards Act (CWHSSA) of 1969

This Act contains weekly overtime pay requirements and applies to contracts which may require or involve the employment of laborers or mechanics, including watchmen and guards. This Act applies to federally funded construction projects in excess of \$100,000 and also extends to federally-assisted contracts subject to Davis-Bacon and Related Acts (DBRA) wage standards to which the Federal Government is not a direct party.

CWHSSA requires that laborers and mechanics employed on covered contracts be paid not less than one and one-half times their basic hourly rate of pay for hours worked in excess of forty hours in a work week. It also provides for liquidated damages in the sum of \$31 for each calendar day (with respect to each employee violation) where an employee was required or permitted to work overtime hours without the payment of overtime wages required by CWHSSA. The Act also provides health and safety standards on covered construction work which are administered by Occupational Safety & Health Administration (OSHA).

The Copeland “Anti-Kickback” Act of 1934

Compliance required with the Copeland Act, or “Anti-Kickback Act.”

- The contractor and subcontractor must submit a weekly statement of wages paid to each employee for work performed in the preceding payroll period
- Employees must receive the full pay to which they are entitled to for the work performed
- Employees must be paid on a weekly basis

The certified payroll reports shall contain:

- Employee name and employee number
- Correct classification and rate of pay
- Daily and weekly number of hours worked
- Deductions made and actual wages paid

The willful falsification of a payroll report or “Statement of Compliance” may subject the employer to civil or criminal prosecution and may also be a cause for debarment.

1210-3 Certified Payroll Procedures in LCPtracker (Labor Compliance software)

The field office staff must review the certified payroll reports after they are certified by the contractor or subcontractor.

Certified payroll reports shall be submitted to the Resident Engineer (via LCPtracker) each week, no later than seven days after the close of the previous work week.

Each certified payroll report will be submitted in chronological order, including the work weeks in which no work is performed.

Each employee must have a first and last name and employee identification number included on the certified payroll report.

Each craft/classification that the employee works in will be reported on the certified payroll report.

The basic hourly rate of pay and the subsequent fringe benefit amount included on the certified payroll report must be equal to or greater than the prevailing wage rates required by the applicable wage decision.

The certified payroll report entry for each employee must include all hours worked on the project subject to Davis-Bacon prevailing wages, gross pay for those hours worked and the gross pay earned for all hours worked in the work week.

The overtime rate paid must be included on the certified payroll report for all hours worked over 40 in any given work week. Fringe benefit amounts due will not be included in the calculation of overtime pay, but will be paid for all hours worked in a given work week.

| Wage decision prevailing wage | | | |
|---|--------|---------|---|
| base | fringe | total | overtime |
| \$15.00 | \$5.00 | \$20.00 | $(\$15.00 \times 1.5) + \$5.00 = \$27.50$ |
| Contractor employee regular hourly rate of pay | | | |
| base | fringe | total | overtime |
| \$20.00 | \$0.00 | \$20.00 | $\$20.00 \times 1.5 = \30.00 |
| Contractor employee regular hourly rate <u>with fringes paid to plan</u> | | | |
| base | fringe | total | overtime |
| \$14.50 | \$5.50 | \$20.00 | $(\$14.50 \times 1.5) + \$5.50 = \$27.25$ |

Any deductions from the employee net or gross pay that are included in the “other deduction” field of the certified payroll report will be noted in the employee payroll record in the notes section at the bottom of the screen. The contractor must upload a copy of a signed Employee Authorization of Deduction form.

The fringe benefit portion of the prevailing wage that is paid to the employee in cash instead of contributed into a fringe fund, plan or program may be entered into the “Rate in Lieu of Fringe” field in the employee payroll record.

The contractor will include those portions of the fringe benefit due the employees that are contributed into funds, plan and programs on the employee’s behalf as “Fringe Contributions paid to others (not the employee) for this project only”. The data will be reflected in the section of the certified payroll report as “Deduction, Contribution and Payments”.

The apprenticeship certificate or trainee agreement must be uploaded by the contractor/subcontractor in the eDocuments tab in LCPtracker. The contractor may not include an employee as an apprentice or trainee on the certified payroll report until Field Reports has accepted the certificate/agreement and approved the apprentice/trainee status of the employee in LCPtracker.

The contractor/subcontractor must denote that the last certified payroll report submitted is the “final” payroll.

The certified payroll must be reviewed by the field office staff for accuracy, compliance with the applicable wage decision and the reporting requirements included in the Contract Special Provisions.

The information documented on the contractor employee interview form will be compared with the information included in the corresponding certified payroll reports. The field office staff will address any issues found with the prime contractor. After all issues and discrepancies have been resolved, the field office will upload the contractor employee interview forms into the LCPtracker eDocuments.

After reviewing the certified payroll, there are a few status options to select from:

- Accepted - payroll is submitted correctly and is approved by the field office.
- Pending - payroll is submitted to field office and is awaiting review
- Rejected - payroll is returned to contractor for misc corrections
- Permit Edit - payroll is opened by the field office at the request of the contractor who needs to make a minor edit

Check the Statement of Compliance (See Exhibit 1210-2 Statement of Compliance) to ensure:

- the contractor selected the correct 4a or 4b checkbox for how fringes were paid
- the payroll certifier is listed on the authorized signature form

If no work was performed, the contractor must submit a Statement of Compliance stating “NO WORK PERFORMED”.

If certified payrolls are not submitted on time per specification 109.06, a Delinquent Certified Payroll Letter will be sent to the prime contractor, with notification of discrepancies, along with an expected due date; a retention may be withheld, see Exhibit 1210-1 Delinquent Certified Payroll Letter.

When the field office staff discovers repeated violations of Davis-Bacon requirements by the contractor or subcontractor it is considered a non-compliance issue. Contact the Field Reports Labor Compliance Office at 602-712-2022.

Revisions to Certified Payrolls

Each time a payroll report is rejected by the field office staff, the system opens a dialog box. The reason for the rejection should be included and saved in the dialog box. The system will generate and deliver an email to the applicable contractor/subcontractor. The field office staff should notify the prime contractor when a subcontractor certified payroll report is rejected, see Exhibit 1210-3 Rejected CPR Notice.

Request that the applicable contractor/subcontractor correct the certified payroll reports. The contractor/subcontractor must upload verification of restitution calculations and back wages paid to the underpaid employees.

After revisions, provide the appropriate information in the Notes section at the bottom and recertify the payroll.



Infrastructure Delivery and Operations

Katie Hobbs, Governor
Jennifer Toth, Director
Greg Byres, Deputy Director for Transportation/State Engineer
Steve Boschen, Division Director

Month Day, Year

FirstName LastName Title
 Company Name
 Address Line #1
 City, ST ZIP CODE

REF: Project (TRACS)(PRJ #)
 (PROJECT NAME)
 (PROJECT LOCATION)

Dear Mr./Ms. LastName:

In accordance with Section 109.06(C) - Payroll Submittals of the ADOT Special Provisions, the following subcontractor's payrolls are due MONTH DAY, YEAR:

| Contractor | Payrolls |
|-----------------|-----------------|
| CONTRACTOR NAME | PAYROLL NUMBERS |

Please be advised that all delinquent or incorrect certified payrolls not submitted 10 days after this written notification will be subject to \$2,500 retention, per payroll, from the next monthly estimate. Any revised payroll received after 90 days, will only be reimbursed \$2,000 per payroll. The Department will retain \$500 as liquidated damages per payroll for all payrolls submitted after the 90 days from written request.

The Department will retain (\$_____) in the (MONTH) (YEAR) monthly estimate if payrolls are not received by MONTH DAY, YEAR.

Your cooperation in obtaining outstanding payrolls will be appreciated.

If there are any questions, please feel free to contact my office at PHONE NUMBER, or via email at EMAIL ADDRESS.

Sincerely,

FIRST NAME, LAST NAME
 TITLE



Date: Tuesday, January 10, 2012

I, NAME TITLE do hereby state:

(1) That I pay or supervise the payment of the persons employed by PRETEND SUBCONTRACTOR on the TEST PROJECT; that during the payroll period commencing on 10/8/2011 and ending on 10/14/2011 all persons employed on said project have been paid the full weekly wages earned, that no rebates have been or will be made either directly or indirectly to or on behalf of said PRETEND SUBCONTRACTOR from the full weekly wages earned by any person and that no deductions have been made either directly or indirectly from the full wages earned by any person, other than permissible deductions as defined in Regulations, Part 3 (29 C.F.R. Subtitle A), issued by the Secretary of Labor under the Copeland Act, as amended (48 Stat. 948, 63 Stat. 108, 72 Stat. 967, 76 Stat. 357; 40 U.S.C. 157; 3145), and described below:

All comments are in the notes on the submitted Certified Payroll Report.

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

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

(4) That:

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

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

(b) WHERE FRINGE BENEFITS ARE PAID IN CASH

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

(c) EXCEPTIONS:

Any exceptions to the above are reported in the certified payroll in the notes section for the specific individual.

REMARKS:

NAME: _____
TITLE: _____

Electronic Signature Code: 6027127623-H999901C- ORG 8950-1011412011 12:00:00.AIM-RECERT-129706999567013621

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

Exhibit 1210-2 Statement of Compliance

Administrator Notice

Project: H824501C - HATCH CONSTRUCTION & PAVING, INC. - SR 260 FH 122 TO GIBSON RD

Contractor: PREMIER REMEDIATION SERVICES LLC

Admin Notice Type: REJECTION

Notice Title: Rejection Notice

Notice Date: 1/8/2024

CPR Date: 12/2/2023

Case Number:

Action:

Notice Message
[Edit Notice Text](#)

| Created | Contractor | Message |
|----------|----------------------------------|--|
| 1/8/2024 | PREMIER REMEDIATION SERVICES LLC | Inspectors show workers onsite |
| 1/8/2024 | PREMIER REMEDIATION SERVICES LLC | email sent to Certified@prsseeding.com |

[Contractor Response](#)

[Confidential Administrator Notes](#)
[Add Confidential Admin Notes](#)

Exhibit 1210-3 Rejected CPR Notice

1210-4 Apprentice and Trainee Documentation

Project based On-the-Job Training (OJT) Program

ADOT's OJT program is an essential element of the Federal-aid highway program for the State of Arizona. Implementation of a successful OJT program by ADOT and its subrecipients helps provide a competent workforce to meet current and future highway construction hiring needs with a focus on the recruitment and inclusion of those who have experienced historical underutilization: minorities, women, and disadvantaged individuals.

ADOT Annual OJT Goal

ADOT is responsible for establishing an annual training goal and submitting the recommended goal to the FHWA for approval. The goal is based upon a review of ADOT's 5 year plan and a review of future projects. ADOT tracks and reports annual OJT goal accomplishments to the FHWA, based on the calendar year (CY) period.

Project Specific Goals

ADOT will assess each federal-aid construction project for a project specific OJT goals for each Federal-aid construction project by also considering the following criteria:

- No OJT goals are set for projects on Tribal Lands due to Tribal Preference guidelines.
- Projects must have a minimum of 120 working days.
- For projects starting at \$3 million up to \$500 million, the Department estimates a projected number of trainees based on the project size, multiplied by 600 to arrive at the total OJT hour goal for each project. The contractor will determine the number of actual trainees to be utilized to meet the hourly goal with each trainee to complete a minimum of 600 hours.
- For projects over \$500 million, the OJT goal will be evaluated based on the type of project and scope and will require a minimum of 20 percent of trainees to achieve more than 2,000 hours and 10 percent of trainees will be required to graduate to journeymen level status on the project.

The OJT goal for each project will be identified in the project advertisement; even if it is a “0” goal, and will therefore be added in the OJT Special Provisions that will be included in every contract and administered through one of the following special provisions:

- **Training Special Provision, On-the-Job Training With Goals** – Included in federal-aid Department and Certification Accepted (CA) agencies highway construction contracts with OJT opportunities
- **Training Special Provision, On-the-Job Training Without Goals** – Included in all federal-aid Department and CA highway construction contracts without OJT opportunities

DBE & OJT Online Reporting System (DOORS)

The contractor shall complete and submit the following information to the Department in the Departments contract management system known as DOORS:

- OJT Commitment/Schedule shall include the project information, project training plan information, project training schedule.
- The field office gives the first level/initial approval of this plan.
- OJT Enrollment information shall be completed and includes the trainee’s name and address, employment status, gender and ethnicity, training program (s), classification/craft.
- The contractors shall report monthly hours for each trainee by the 15th of the month following the month of training hours completed. The accepted quantities of hours will be paid for at a unit price of \$3 per hour for training provided to trainee/apprentice in accordance with an approved training program and minimum number of training hour goals on the project.
- BECO has until the 25th of the month to approve the OJT hours submitted by the contractor.
- The field office pays for the approved OJT hours.

Apprenticeship Programs:

Apprenticeship programs are regulated and approved by the Arizona Department of Economic Security, the state agency that has been delegated the authority by the U S Department of Labor.

Apprenticeship programs issue an “Apprenticeship Certificate” which has been approved by the Arizona Department of Economic Security to the laborers and mechanics that are enrolled in the approved programs.

A copy of the U S Department of Labor Apprenticeship Certificate is also required.

The contractors who use apprentices as part of their workforce will be responsible to submit those approved apprenticeship certificates to ADOT Business Engagement & Compliance Office prior to reporting the hours worked on a project subject to Davis-Bacon prevailing wages.

The apprenticeship certificates will include:

- Name of employee
- Apprentice ID Number
- The level of achievement of the apprentice
- The approved program in which he is enrolled in
- The approved apprentice to journeyman ratio that must be met on the project work site
- Authorizing signatures from the apprenticeship program and the Arizona Apprenticeship Office
- Certificate expiration date and the expected date of advancement of the apprentice

Training Programs:

Training Programs are developed by individual contractors and are regulated and approved by ADOT’s Business Engagement & Compliance Office and the Regional Federal Highways Administration Civil Rights Office.

RECORDS AND REPORTS

The contractors issue a “Training Agreement” signed by the contractor training director and the employee who is enrolled in the program.

The contractors who use trainees as part of their workforce will be responsible to submit those signed training agreements to ADOT Business Engagement & Compliance Office prior to reporting the hours worked on a project.

The training agreements will include:

- The level of achievement of the trainee
- The approved program in which he is enrolled
- Expiration of the training agreement

1210-5 Fringe Benefits

The Davis-Bacon Prevailing wage is made up of two interchangeable components: a basic hourly rate and a fringe benefit rate. The basic hourly rate and the fringe benefit rate listed on the wage decision may be paid entirely in cash wages. Contributions made or costs incurred by the contractor for bona fide fringe benefits may be creditable towards fulfilling the requirement or a combination of cash wages paid and bona fide fringe benefit contributions may be used together to meet the total required prevailing wage. See Exhibit 1210-5 Fringe Plan Information Request Email template.

Please provide our office with the following information for all benefits that apply to the

Name of company: _____

sponsored or union affiliated fringe benefit plans:

1. Employee handbook or written information that is given to employees which provides a description of the company sponsored health and welfare benefits employees can participate in when they go to work for the company. This includes an explanation of how paid time off accrues and how unused paid time off is handled when the employee leaves your company.
2. Detailed description of the contribution amount the company pays to the fringe plan/program on the behalf of the employees for health/welfare benefits (medical, dental, vision, life insurance, etc).
For example:
Name of company: _____
pays \$450.00 per month toward the cost of medical coverage for the employee only and the employee pays the remaining for any dependent coverage, etc.
3. Current copies of health care provider's billings; listing the monthly premiums (employer contributions) paid on the employee's behalf along with copies of canceled check or electronic funds transfer as proof of payment. (please provide an invoice and payment verification for one month from the benefit plan year)
4. IF APPLICABLE – Record of deposits for Pension / 401k contributions made on behalf of employees, vesting schedule, account statement listing participating employees and copy of canceled check or electronic funds transfer as proof of payment.
5. IF APPLICABLE – Union Employer Reporting Form(s) listing all contribution levels along with copies of canceled check(s)/EFT or, a letter of good standing from the union trust as proof of payment. (please provide an EFT and payment verification for one month from each union trust)

Electronic documents are acceptable. Redact any full social security numbers on documents before submitting them. Please email your fringe plan documents to

Email: fringe_eval@azdot.gov

You will receive notification of the allowable hourly fringe credit amounts once the documents are reviewed.

Thank you,

Exhibit 1210-5 Fringe Plan Information Request Letter

1210-6 Specific Fringe Benefits

The fringe benefit portion of the required prevailing wages must be paid to the employees for all hours worked under a contract subject to Davis-Bacon.

Some of the most common types of fringe benefit plans that are accepted by the Department of Labor as “bona fide” are:

- Health, Dental and Vision Insurance
- Pension
- Life Insurance
- Accident & Disability insurance
- Vacation and Holiday
- Defrayment of costs of apprenticeship or other similar programs

If the contractor contributes all or some of the fringe benefit portion of the prevailing wage due the employee into fringe benefit plans and applies those contributions to meet the required prevailing wage:

- The ADOT Field Reports Office sends the scripted request for information to the contractor
- The information is forwarded to Field Reports for evaluation
- Use the creditable amounts calculated by Field Reports, distributed as a fringe plan summary, as a benchmark for evaluation of the certified payroll reports

1210-7 Overtime, Fringe Benefits and Zone Pay

Overtime is calculated at one and one-half times the basic rate of pay, plus the fringe benefit requirement for all hours in excess of 40 hours. Employers can pay a higher overtime rate if they choose.

| | | | |
|-----------------|-----------------------|---|---|
| Example: | Base Hourly Rate: | – | \$15.00 per hour |
| | Fringe Benefit Rate: | – | \$ 3.00 per hour |
| | Overtime calculation: | – | (\$15.00 x 1.5) + \$3.00 = \$25.50 per hour |

If the project Wage Decision indicates an additional amount for Zone Pay, that amount is added to the basic rate of pay.

| |
|---|
| Power Equipment Oper Grp 3 Wage Rate = \$17.25 Fringes = \$3.53 Zone 2 - add \$1.00 per hour |
|---|

| | | | | | |
|--|---|------------------|-------|---|------------------------------------|
| POWER EQUIPMENT OPERATOR 3 = WORKING IN ZONE 2 <u>FRINGE PAID TO AN APPROVED PLAN</u> | | | | | |
| Basic Wage Rate | + | Zone Pay | = | <u>Straight</u> Time rate of Pay | |
| \$17.25 | + | \$1.00 | = | \$18.25 | |
| (Basic Wage Rate | + | Zone Pay) | x 1.5 | = | <u>Overtime</u> Rate of Pay |
| (\$17.25 | + | \$1.00) | x 1.5 | = | \$27.38 |

| | | | | | | | |
|---|---|------------------|-------|--------------------|--------------------|---|------------------------------------|
| POWER EQUIPMENT OPERATOR 3 = WORKING IN ZONE 2 <u>FRINGES PAID IN CASH</u> | | | | | | | |
| Basic Wage Rate | + | Zone Pay | + | Fringe Rate | = | <u>Straight</u> Time Rate of Pay | |
| \$17.25 | + | \$1.00 | + | \$3.53 | = | \$21.78 | |
| (Basic Wage Rate | + | Zone Pay) | x 1.5 | + | Fringe Rate | = | <u>Overtime</u> Rate of Pay |
| (\$17.25 | + | \$1.00) | x 1.5 | + | \$3.53 | = | \$30.91 |

1210-8 Back Wage Payments

When ADOT has determined that a contractor must pay compensation to employees that did not receive Davis-Bacon prevailing wages, there are two procedures. The back wage procedures differ depending on whether the contractor and employee are still working on the project or are no longer working on the project.

Back wage procedures when the contractor & employee are still working on the project:

- The contractor may include the monies owed to the employee on a future payroll cycle.
- The contractor will include the reason for the underpayment on the employee payroll record as an “edit:” to the certified payroll report where the underpayment occurred.
- The contractor will include the monies owed to the underpaid employee on a current certified payroll report for all hours earned in that work week.
- The contractor will include notes in the employee payroll record to explain the amount of restitution and reference the certified payroll report number where the underpayment was originally made.
- When underpayments have been made the contractor must upload verification of restitution calculations and back wages paid to the underpaid employees working under the contract, e.g. spreadsheet and canceled paycheck or direct deposit record.
- Back wage procedures when the contractor and employee are no longer working with the contractor:
- The contractor shall make every effort to issue paychecks to the underpaid former employees for the restitution owed by sending the check to the last known address via certified mail.
- If the worker receives the check, the certified mail receipt will indicate that the check was received. The contractor must upload a copy of the completed certified mail receipt showing the worker received the mailed check and a copy of the endorsed check (front/back) as proof that the check was received and deposited/cashed by the worker. This would conclude the process.
- **If the mailed check comes back undeliverable,** The contractor must upload a copy of the completed certified mail receipt showing the check was returned undeliverable and then initiate the **Unclaimed Property Process for Property Holders**. Instructions are available in the Field Reports Resource Center Process Guides. Keep in mind that ADOT must be kept in the loop at all times as we cannot accept the payroll until the process is completed.

1210-9 Contractor Employee Interviews

The Contract Special Provisions includes the Required Contract Provisions Federal-Aid Construction Contracts” direction that the contracting agency must conduct contractor employee interviews (English and Spanish) while the employees are working on the project site of work. The ADOT Inspectors are responsible for conducting the interviews and observing the interviewees as they perform work on the project site. See Exhibit 1210-5 Employee Interview Form & 1210-6 Employee Interview Form (Spanish).

The interviews should be sufficient in number to establish a degree of adequacy and accuracy of records. The interviews should be representative of all classifications of employees on the project work site. The intent is to interview every employee at least once during the life of the project.

The inspector will include the tools and/or equipment used by the employee and the tasks that the employee performs throughout the period of observation.

Employees should not be interviewed in the presence of other employees. The interviews are confidential and are never shown to the contractor.

The inspector will submit the completed interview forms to the construction office staff and complete the Pen version of the interview form within the same week of the interview.

The construction field office staff will review the employee interview forms and compare the information to the applicable certified payroll report.

RECORDS AND REPORTS

If discrepancies exist between the interview form and the certified payroll, the construction field office staff will work to resolve the differences. In cases where no classification on the assigned wage decision fits the work being performed by an employee, a "Request for Authorization of Additional Classification and Rate" (Conformance Request) should be submitted to Field Reports at fldrpts-confrqsts@azdot.gov.

Once a conformance request has been submitted to Field Reports, the classification will be added and ready for use. Once Field Reports receives the approval letter from the Department of Labor, it will be forwarded to the Field Office and to the prime contractor & subcontractor.

When all payroll issues have been resolved, the construction field office staff will upload the employee interview forms into LCPtracker eDocuments within the first week of receiving them.

If there are serious non-compliance issues, the Field Office may contact Field Reports for assistance.

TRACS: _____ **ARIZONA DEPARTMENT OF TRANSPORTATION**
RECORD OF CONTRACTOR EMPLOYEE INTERVIEW

Project #: _____ Interview Date: _____ Time: _____
 Prime Contractor: _____

Questions for the employee ADOT Inspector: _____

Name: _____ Employer: _____

Does your paycheck come from that employer? Yes No

What is your working craft and classification? _____

Do you work in more than one classification? Yes No

Are you paid a different hourly rate for each classification? Yes No N/A

Are you an apprentice or trainee? Yes No

What is your hourly wage on this project? _____ What is your regular hourly wage? _____

Does your employer offer benefits? Yes No Vacation/Holiday Health Insurance Pension

Does your employer pay for some or all of your benefits? Yes No

Do you work more than 40 hours in a work week? Yes No

Are you paid time and one-half for all overtime hours worked? Yes No

Are you paid at least once a week? Yes No

Do you know where the wage rates for this job are posted? Yes No

Do you believe your employer is paying you the correct wage rate for the work you are performing? Yes No

If not, what hourly rate do you believe you should be paid? _____

Would you like to make any comments or do you have any concerns? _____

Inspector Comments: At the time of the employee interview record the following:

Work being performed by employee: _____

Type of tools or equipment used by employee: _____

Make and model of tools or equipment used by employee: (if applicable) _____

| Payroll Review | | Classification | Basic Hourly Rate | Fringe Hourly Rate |
|--|---|---|---|----------------------------|
| Certified Payroll Report #: | Week End Date: | | | |
| Contract Wage Rate | | | | |
| Interview in LCPTTracker? | Yes <input type="radio"/> No <input type="radio"/> | Conformance request required? | Yes <input type="radio"/> No <input type="radio"/> | Conformance rate approved? |
| Have all issues above been resolved by Field Office? | | Yes <input type="radio"/> No <input type="radio"/> | Date Verified: _____ | Verified by: _____ |
| | | | Yes <input type="radio"/> No <input type="radio"/> | Are back wages owed? |

Exhibit 1210-5 Employee Interview Form

**ARIZONA DEPARTMENT OF TRANSPORTATION
REGISTRO DE ENTREVISTA DE EMPLEADO CONFORME A CONTRATO**

Fecha de la entrevista: _____ Hora: _____

TRACS# _____ # del Proyecto: _____ Contratista Principal: _____

Cuestionario para el empleado

Inspector de ADOT: _____

Nombre: _____ Empleador: _____

- ¿Su cheque es expedido por su empleador? Si No
- ¿Cual es su trabajo y clasificación? _____ ¿Trabaja en más de una clasificación? Si No
- ¿Se le paga diferente por cada clasificación? Si No N/A
- ¿Esta de aprendiz o en entrenamiento? Si No
- ¿Cual es su pago por hora en este proyecto? _____ ¿Cual es su pago regular por hora? _____
- ¿Su empleador ofrece beneficios? Si No ¿Vacaciones/días feriados? ¿Seguro? ¿Pensión?
- ¿Su empleador paga por algunos/todos sus beneficios? Si No
- ¿Trabaja más de 40 horas por semana laboral? Si No
- ¿Se le paga tiempo y medio por las horas extras? Si No
- ¿Se le paga por semana? Si No
- ¿Sabe en donde se publican los salarios para este trabajo? Si No
- ¿Cree que su empleador le esta pagando el salario justo por el trabajo que usted esta desempeñando? Si No
- Y si no, ¿que salario por hora cree que le deberían de pagar? _____
- ¿Le gustaría hacer algún comentario o tiene alguna otra inquietud? _____

Comentarios del Inspector: Durante la entrevista anote lo siguiente:

Trabajo desempeñado por el empleado: _____

Tipo de herramientas o equipo usadas por el empleado: _____

Marca y modelo de herramientas o equipo usados por el empleado: (si se aplica) _____

| Revisión de la nomina de pago | | Clasificación | Salario Mínimo por Hora | | Beneficios Basados en salario por hora | | |
|---|---------------------------------|--------------------------------------|--------------------------|----------------------------------|--|-------------------------------|--------------------------|
| Reporte Certificado de Nomina de Pago: | Fecha de terminacion de semana: | | | | | | |
| Salario de Contrato por hora | | | | | | | |
| Entrevista en LCPTTracker? | Si <input type="radio"/> | ¿Solicitud de Conformidad Requerida? | Si <input type="radio"/> | ¿Tarifa de Conformidad Aprobada? | Si <input type="radio"/> | ¿Se deben salarios atrasados? | Si <input type="radio"/> |
| | No <input type="radio"/> | | No <input type="radio"/> | | | | No <input type="radio"/> |
| ¿Se han resuelto todos los asuntos en la oficina local? | | Si <input type="radio"/> | Fecha de Verificación: | | Verificado por: _____ | | No <input type="radio"/> |

Exhibit 1210-6 Employee Interview Form (Spanish)

1210-10 Site of Work, Truck Drivers and Hauling

Site of Work

Davis-Bacon and Related Acts (DBRA) apply to workers on the site of the work.

Limited to the physical place or places where the construction remains after work has been completed.

Any other site where a significant portion of the building or work is constructed, provided such site is dedicated exclusively or nearly so to the performance of a single DBRA-covered project or contract for a specific period of time. Site of the work includes fabrication plants, mobile factories, batch plants, borrow pits, tool yards, headquarters, etc. provided they meet the following requirements:

Located adjacent or virtually adjacent to the site of the work described above and dedicated exclusively to the performance of the contract or project.

Coverage of truck drivers under Davis-Bacon

Truck drivers are covered under these circumstances:

- For time spent on the site of work.
- Time spent loading and or unloading material on the site of work.
- Transporting materials between a facility that is deemed part of the site of work and the project site.
- Onsite driving time unrelated to offsite delivery, e.g. hauling materials from one location on the site of the work to another.
- Time spent transporting significant portions of public works from secondary construction sites.
- Time spent transporting materials to or from adjacent or virtually adjacent dedicated support sites, as well as for any onsite time related to offsite delivery if such time is not de minimis.

Truck drivers are not covered by Davis-Bacon in these circumstances:

- Material delivery drivers while off of the site of work.
- Drivers of a contractor or subcontractor while driving between a commercial facility and a site of work covered by Davis-Bacon.
- Drivers that spend limited time on the site of work for delivery or pick up of materials.
- A bona fide owner operator must own and drive their own trucks. Certified payrolls are required to show the name of the owner operator, but not wages paid or hours worked.
- Overtime pay is required for truck drivers, regardless of whether the hours worked on the contract are on or off the site of work.

The Department of Labor has an enforcement position with respect to bona fide owner-operators of trucks who are independent contractors referred to as an owner-operator. An owner-operator is an individual who owns and drives a single truck, leasing their services to a contractor. Certified payrolls, including the names of such owner-operators, do not need to show the hours worked or rates paid, only the notation "owner-operator". This position does not apply to owner-operators of other equipment such as bulldozers, backhoes, cranes, welding machines, etc.

Owner-Operators are not required to submit certified payrolls, only the completed Subcontract Request Form.

1210-11 Documentation Required for Proof of Owner-Operator

Owner-operators sign the Subcontract Request Form (SRF) certifying that they are a bona fide owner-operator. It is the prime contractor's responsibility to verify current Commercial Driver's License and valid registration.

1211 SUBCONTRACTING

1211-1 Subletting the Contract

The prime contractor can subcontract portions of the work, but is required to perform 40 percent of the original contract amount using its own workforce and resources. The remaining 60 percent of the work can be subcontracted to specialized subcontractors as needed. Subletting any portion of the contract does not relieve the contractor of any responsibility for the fulfillment of the contract.

A written request to subcontract portions of the work and a signed and executed copy of the Subcontractor Request Form (SRF), along with the required attachments shall be submitted to FieldReports-Subcontracts@azdot.gov and approved by the State Construction Engineer, prior to the performance of any work by the proposed subcontractor.

For all projects, the subcontractors' start and complete work dates must be input into the Contract Card System. The inspector should document in his diary when the contractor and subcontractors begin and complete work.

1211-2 Subcontractor Request Form (SRF)

The subcontractor Request Form (SRF), (Exhibit 1211-1 below) is a streamlined form to use in requesting approval for subcontractors. Using this form will save time, eliminate excessive paper and ensure the subcontractor receives all the necessary documents as all required attachments are included in the DocuSign package of documents.

ADOT requires the use of DocuSign for submitting subcontractors for approval. This ensures all signers receive the completed documents. All the necessary versions of the SRF can be found on the Contractor Information Page, in Forms and Documents on ADOT's website, see Exhibit 1211-2 is a screenshot of the webpage. The prime contractor initiates the DocuSign powerform and completes the form electronically. If the subcontract is ready at the time of submitting the subcontractor for approval, it may be attached to the document. If the subcontract is not attached, the contractor has 30 days from the SRF approval date to submit the subcontract.

The SRF needs to contain the contract items to be sublet, with quantity, unit bid price and monetary amount for each. If the item is to be partially subcontracted, it should be noted as such, e.g. place only, haul only, etc. Any contractual agreements between the contractor and the subcontractors covering contract items of work will be counted towards the permissible amount of subcontract work.

1211-3 SRF and Subcontract Approvals

The State Construction Engineer must provide written approval before any of the contract is sublet by the awarded contractor. Written consent will only be provided when the Subcontracts Specialist can verify that each subcontract contains all provisions and requirements of the prime contract.

The Field Reports Subcontracts Specialist completes a thorough review, ensuring the wage decision, if applicable, is correct, the contractor's license is valid and current, the AZUTRACS Registration Number is provided, amongst other items. An Authorized Signature Form (see Exhibit 1211-3 below) must be on file for the project. Only authorized signers shall sign SRFs and subcontracts, otherwise, the DocuSign SRF will be voided.

Allow the Construction Group three business days to review and approve SRF's from the day the SRF is received. A subcontractor can start working after the SRF has been approved by the State Construction Engineer. A completed subcontract is required for all subcontractors within 30 days from the SRF approval, except for DBE subcontractors whereas the subcontract is required with the SRF for approval.

1211-4 What type of work requires a subcontract?

A subcontract is required for any and all work that the prime contractor cannot or does not perform directly. The subcontractors should have a current contractor's license with the Arizona Registrar of Contractors. Sometimes, they are specialty subcontractors or considered professional services, and a license is not required. A Professional Services and Unique Work Activity List (see Exhibit 1211-4) outlined below. This is not a comprehensive list of all work activities, but one that includes unique services, that may or may not require a contractor's license or certified payrolls, and others that may be considered as De Minimis. Examples of exceptions are Field Office Hookups, Portable Restrooms, Material Supplier from a Commercial Source, and Trash Removal Services such as Waste Management.

1211-5 DBE Subcontractors

For subcontractors that are committed DBE's, all pertinent documentation is required at the time the SRF is submitted for approval. The subcontract must be included.

If the committed DBE subcontractor is not approved prior to saving the monthly estimate, the first mobilization payment should not be paid. Field Reports will check monthly estimate number one, ensuring that the committed DBE's have been approved if the first mobilization payment was made. This is in compliance with Standard Specs subsections 901-5(A) and 108.03.

The Special Provisions included in all Federal Aid contracts stipulate that a DBE subcontractor may enter into second-tier subcontracts which are consistent with normal industry practices. However, items which are second-tier subcontracted by a certified DBE subcontractor will not be counted toward the participation goal unless:

- The work is second-tier subcontracted to another certified DBE. Or,
- No more than 30 percent of the DBE subcontract is second-tier subcontracted to a Non-DBE.

1211-6 Lower-Tier Subcontractors

Approved subcontractors will be allowed to sublet any part of their assigned work to lower-tier subcontractors.

A SRF along with the signed and executed copy of the subcontract from the subcontractor should be made to the contractor requesting such action. The SRF and subcontract must show the name and address of the proposed lower-tier subcontractor, item number(s), item description, quantity, unit, price and amount. The appropriate SRF version will be used to submit to the Department for approval.

1211-7 Hauling Only

Unless the hauling is by the commercial supplier/entity or offsite material production plant, trucking companies are to be authorized as subcontractors.

1211-8 Subcontractor versus Supplier

Suppliers need not be authorized as a Subcontractor providing:


- The supplier does not perform a function which is a part of the construction process itself, e.g. spraying asphalt onto the roadway, erection of bridge members, grading and compacting surface materials, etc.
- The supplier does not establish a fabricating or processing facility expressly for the use of the project, i.e., direct use of a Department material pit for the project or a relocation of processing plants where the project is the only recipient of the product.
- The supplier in producing and delivering materials does not perform any work on the project.

1211-9 Consequences for Non-Compliance

If a subcontractor is found working on the project without an approved subcontract, a \$1,000 sanction will be assessed, and work shall be stopped on the subcontract.

- The inspector or TES should let the Resident Engineer know what they've observed, and the stop work directive should come from the Resident Engineer.
- The Field Office Staff shall build pay item number 1080300 directly in CPE, and create a subitem in the name of the non-complying subcontractor. The unit price is \$1.00, and the quantity is 1,000.00.

If the completed subcontract is not submitted within 30 days, the approval date of the SRF will be revoked.



SUBCONTRACTOR REQUEST FORM (SRF)

It is ADOT's responsibility to ensure that prime contractors employ subcontractors in accordance with various Federal and State regulations.
Field Reports / 206 S. 17th Ave, MD 133A Phoenix, AZ 85007 / (602) 712-7301 / FieldReports-Subcontracts@azdot.gov

ADOT TRACS NO. _____ ADOT PROJECT NO. _____ PHONE NO. _____

PRIME CONTRACTOR: _____ ESTIMATED SUBCONTRACT \$ _____

SUBCONTRACTOR _____ CONTACT NAME _____
 ADDRESS _____ CITY, STATE, ZIP _____

PHONE NO. _____ EMAIL ADDRESS: _____

SUB R.O.C. NO. _____ CLASS _____ FED EIN _____ AZ UTRACS NO. _____

LOWER TIER TO _____

SUBCONTRACTOR IS A DBE: YES NO

* I CERTIFY THAT I AM A BONA FIDE 'HAUL TRUCK' OWNER/OPERATOR: YES NO Signature of 'haul truck' Owner/Operator _____ / _____ Date

| SUBCONTRACTED BID ITEMS No.'s <small>(Check box and provide dollar amount for Joint/Partial Items)</small> | SUBCONTRACTED NON-PAY ITEMS <small>(Provide Description of Work)</small> |
|---|---|
| <input type="checkbox"/> _____ \$ _____ | <input type="checkbox"/> _____ \$ _____ |
| <input type="checkbox"/> _____ \$ _____ | <input type="checkbox"/> _____ \$ _____ |
| <input type="checkbox"/> _____ \$ _____ | <input type="checkbox"/> _____ \$ _____ |
| <input type="checkbox"/> _____ \$ _____ | <input type="checkbox"/> _____ \$ _____ |
| <input type="checkbox"/> _____ \$ _____ | <input type="checkbox"/> _____ \$ _____ |
| <input type="checkbox"/> _____ \$ _____ | <input type="checkbox"/> _____ \$ _____ |
| <input type="checkbox"/> _____ \$ _____ | <input type="checkbox"/> _____ \$ _____ |
| <input type="checkbox"/> _____ \$ _____ | <input type="checkbox"/> _____ \$ _____ |

Attach additional bid items? YES NO

Attach subcontract? YES NO

CERTIFICATION:
 The Prime Contractor and Subcontractor certifies the following :

- A) The Subcontractor has received applicable Documents No. 2-12 per Special Provisions.
- B) The Prime Contractor and Subcontractor will execute Document No. 1 prior to the start of Subcontractor's work. DBE subcontracts to be submitted at Pre-Construction conference (Spec. 108.01/03)
- C) Upon execution, Prime Contractor will send Field Reports a copy of Document No. 1
 1. Subcontract Agreement containing the above Bid Items of Work
 2. Standard Specifications 107.18 & 107.19 (FA & Non FA projects)
 3. Cargo Preference Act (FA projects only)
 4. Prompt Pay specification 109.08 (Non FA projects)
 5. Prompt Pay specification 109.08 (FA projects)
 6. Title VI Assurances - Appendix A and E of the Civil Rights Act of 1964 (FA & Non FA projects)
 7. Standard Federal EEO Construction Contract Specifications (Executive Order 11248) Rev.4/15/1981 (FA & Non FA projects)
 8. Notice of Requirement for Affirmative Action to ensure EEO (Executive Order 11248) Rev.4/15/1981 (FA & Non FA projects)
 9. FHWA 1273 - FA projects only (Rev.10/23/23)
 10. EEO Compliance Reports, March 1, 2015 (FA Projects only)
 11. DBE EPRISE -With Goals- FA Projects (Rev.10/20/22)
 12. Wage Determination Decision # AZ _____ Mod # _____ (As per contract for this project)

ch Wage Decision

| | | |
|---------------------------------------|------------------------------------|---------------------------------|
| Authorized Prime Contractor Signature | Authorized Subcontractor Signature | Authorized Lower Tier Signature |
| Title | Title | Title |
| Date | Date | Date |

According to the appropriate Contract Provisions, the State Construction Engineer has approved this date the subletting of the work items described above.

Subcontract in Field Reports: YES NO
 Committed DBE Non-committed DBE

For State Construction Engineer _____ / _____ Date

Field Reports _____ / _____ Date

14-0458/FA-with Goal
Rev. 12/2023

Exhibit 1211-1 Subcontractor Request Form (SRF)

Subcontractor Request Forms (SRF) - SRF's must be submitted in DocuSign for ADOT's final review & approval and to ensure all signers receive the completed documents.

DocuSign SRF Links for Contracts Awarded After 10/23/2023

- [SRF - \(With Goals\) - Prime to Subcontractor - Federal Aid project](#)
- [SRF - \(With Goals\) - Subcontractor to Lower/Tier - Federal Aid project](#)
- [SRF -Prime to Sub- NO DBE Goals FA project](#)
- [SRF - \(With No Goals\) - Subcontractor to Lower/Tier - Federal Aid project](#)
- [SRF -Prime to Sub- NON-FA project](#)
- [SRF - NON-Federal Aid project - Subcontractor to Lower/Tier](#)

DocuSign SRF links for Contracts Bid After 07/01/16

- [SRF - \(With Goals\) - Prime to Subcontractor - Federal Aid project](#)
- [SRF - \(With Goals\) - Subcontractor to Lower/Tier - Federal Aid project](#)
- [SRF - \(With No Goals\) - Prime to Subcontractor - Federal Aid project](#)
- [SRF - \(With No Goals\) - Subcontractor to Lower/Tier - Federal Aid project](#)
- [SRF - Prime to Subcontractor - non-Federal Aid project](#)
- [SRF - Subcontractor to Lower/Tier - non-Federal Aid project](#)

Exhibit 1211-2 Screenshot of (SRF) PowerForm links on ADOT's Contractor Information Website

**ADOT - FHWA
Professional Services and Unique Work Activity List**

| Work Activity | Subcontract Required | Contractor License Required | Payrolls Required | Minor 20 % of work week (De Minimis) |
|---|----------------------|-----------------------------|-------------------|--------------------------------------|
| Camera for sewer mains | x | | | |
| Cathodic Protection | x | | | |
| Concrete Pumping | x | | x | |
| Contractor's Office / Yard - rentals and installations | | | | |
| Crane Service (With Operator) | x | | x | |
| DPS, Local Law Enforcement, Off Duty Officers | x | | | |
| Drilling for Demolition | x | x | | |
| Engineering Services for onsite material analysis / testing | x | | | |
| Field Office Hookups | | | | |
| Gamma Gamma / Cross Sonic Logging testing | x | | | |
| Material Supplier - Commercial Source | | | | |
| Mechanics (for Rental Equipment Services) | x | | x | |
| Misc. Saw cutting | x | x | x | x |
| Portable Restrooms | | | | |
| Pre - Wet System (Installation) | x | | x | |
| Quality Control | x | | | |
| Railroad Flaggers | x | | | |
| Sewer By - Pass Pumping | x | | x | |
| Survey | x | | | |
| Sweeping | x | | x | x |
| SWPPP (Inspection & Plans Only) | x | | | |
| SWPPP (Labor/Equipment) | x | x | x | |
| Temporary Fencing | x | | x | |
| Traffic Control - Permanent | x | x | x | |
| Traffic Control - Temporary | x | | x | |
| Tranport Companies (tranport employee installs or takes down equipment or materials) | x | | x | |
| Tranport Companies (transport employee does not install/take down equipment/materials) | | | | |
| Trash Removal Services (Waste Management) | | | | |
| Trucking - Owner/Operator (Individual/Haul trucks) | x | | | |
| Trucking Firms | x | | x | x |
| Utility Locating Services | x | | | |
| Waterline Chlorination | x | x | | |
| Welding Service | x | x | x | |

Exhibit 1211-4 Professional Services and Unique Work Activity List