TRANSPORTATION CABINET
Department of Highways
Frankfort, Kentucky 40622

PROPOSAL NO. _____
PROJECT CODE NO. 03-0059

LETTING OF FEBRUARY 14, 2003
Sealed Bids will be received in the Division of Contract Procurement and/or the Auditorium located on the 1st Floor of the State Office Building until 10:00 A.M., EST, on FEBRUARY 14, 2003. Bids will be publicly opened and read at 10:00 A.M., EASTERN STANDARD TIME.

PROJECT IDENTIFICATION AND DESCRIPTION:

WASHINGTON COUNTY, BRZ 0403 (160), FD52 115 1584 000-001
The Springfield-Willisburg Road (KY 1584) Bridge and Approaches at Poorhouse Branch 1.000 mile south of KY 555, a distance of 0.152 mile.

Grade, Drain and Asphalt Surface.

Status Report Item No. 4-1004.00.

(4)

GEOGRAPHIC COORDINATES:
LATITUDE - 37° 41' NORTH
LONGITUDE - 85° 13' WEST

COMPLETION DATE ESTABLISHED FOR PROJECT: ~~JULY 1, 2003~~ AUGUST 1, 2003 DCW 2-3-03

LIQUIDATED DAMAGES SEE STANDARD SPECIFICATIONS

REQUIRED BID PROPOSAL GUARANTY: Not less than 5% of the total bid.

(Check guaranty submitted: Cashier's Check |__| Certified Check |__| Bid Bond |__|)

BID BONDS WHEN SUBMITTED WILL BE RETAINED WITH THE PROPOSAL.

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BID..... |__| PROPOSAL ISSUED TO: _____

SPECIMEN..... |__| _____
Address City State Zip

PART I

SCOPE OF WORK

1. Project Detail

a.	See Road and/or Bridge Plans	
b.	Special Notes Applicable to Project	Attached
c.	Supplemental Specifications	Attached
d.	Special Note for Utility Clearance	Attached
e.	Department of the Army Corps of Engineers Nationwide Permit Authorization	Attached

SPECIAL NOTES APPLICABLE TO PROJECT

2000 SPECIFICATIONS

Any reference in the plans or in the proposal to the ***Standard Specifications for Road and Bridge Construction, Edition of 1998***, and ***Standard Drawings, Edition of 2000*** are superseded by ***Standard Specifications for Road and Bridge Construction, Edition of 2000*** and ***Standard Drawings, Edition of 2003.***

2001 SUPPLEMENTAL SPECIFICATIONS

The ***2001 Supplemental Specifications*** to the 200 Standard Specifications for Road and Bridge Construction shall apply to this project.

The Kentucky Department of Highways, in accordance with the Regulations of the United States Department of Transportation 23 CFR 635.112 (h), hereby notifies all bidders that failure by a bidder to comply with all applicable sections of the 2000 Kentucky Standard Specifications, including, but not limited to the following, may result in a bid not being considered responsive and thus not eligible to be considered for award:

102.02 Current Capacity Rating
102.08 Irregular Proposals
102.09 Proposal Guaranty
102.10 Delivery of Proposals
102.14 Disqualification of Bidders

PROPOSAL ADDENDA

All addenda to this proposal must be incorporated into the proposal when the bid is submitted to the Kentucky Department of Highways. Failure to use the correct and most recent bid sheet(s) may result in the bid being rejected.

BID SUBMITTAL

Bidder must use the Department's Highway Bid Program available on the internet web site of the Department of Highways, Division of Contract Procurement. (www.kytc.state.ky.us/contract)

The Bidder must download the bid items created from the web site to prepare a bid proposal for submission to the Department. The bidder must insert the completed bid item sheets printed from the Program into the bidder's proposal and submit with the disk created by said program.

JOINT VENTURE BIDDING

Joint Venture bidding is permissible. However, both companies MUST purchase a bidding proposal. Either proposal may be submitted but must contain the company names and signatures of both parties where required. A joint bid bond of 5% may be submitted for both companies or each company may submit a separate bond of 5%.

CIVIL RIGHTS ACT OF 1964

The Kentucky Department of Highways, in accordance with the provisions of Title VI of the Civil Rights Act of 1964 (78 Stat. 252) and the Regulations of the Federal Department of Transportation (49 C.F.R., Part 21), issued pursuant to such Act, hereby notifies all bidders that it will affirmatively insure that the contract entered into pursuant to this advertisement will be awarded to the lowest responsible bidder without discrimination on the ground of race, color, or national origin.

NOTICE TO ALL BIDDERS

To report bid rigging activities call: 1-800-424-9071

The U.S. Department of Transportation (DOT) operates the above toll-free "hotline" Monday through Friday, 8:00 a.m. to 5:00 p.m. eastern time. Anyone with knowledge of possible bid rigging, bidder collusion, or other fraudulent activities should use the "hotline" to report such activities.

The "hotline" is part of the DOT's continuing effort to identify and investigate highway construction contract fraud and abuse and is operated under the direction of the DOT Inspector General. All information will be treated confidentially and caller anonymity will be respected.

SPECIAL NOTES APPLICABLE TO PROJECT (CONTINUED)

FHWA 1273

The requirements of Paragraph VI of FHWA 1273 does not apply to projects with a total cost of less than $1,000,000.00.

SECOND TIER SUBCONTRACTS

Second Tier subcontracts on federally assisted projects shall be permitted. However, in the case of DBE's, second tier subcontracts will only be permitted where the other subcontractor is also a DBE. All second tier subcontracts shall have the consent of both the Contractor and the Engineer.

The Asphalt Base Price shall be **$170.00 (English)** as applicable in Section 109.07 of the *1998 Standard Specifications.*

UNDERGROUND FACILITY DAMAGE PROTECTION

The contractor is advised that the Underground Facility Damage Protection Act of 1994, became law January 1, 1995. It is the contractor's responsibility to determine the impact of the act regarding this project, and take all steps necessary to be in compliance with the provision of the act.

OPTION B

The Contractor is advised that the compaction of asphalt mixtures furnished to this project will be accepted by **OPTION B** in accordance with **Section 402** and **Section 403** of the *2000 Standard Specification.*

SPECIAL NOTES APPLICABLE TO PROJECT (CONTINUED)

SPECIAL NOTE
DISADVANTAGED BUSINESS ENTERPRISE PROGRAM

It is the policy of the Kentucky Transportation Cabinet ("the Cabinet") that Disadvantaged Business Enterprises ("DBE") shall have the opportunity to participate in the performance of highway construction projects financed in whole or in part by Federal Funds in order to create a level playing field for all businesses who wish to contract with the Cabinet. To that end, the Cabinet will comply with the regulations found in 49 CFR Part 26, and the definitions and requirements contained therein shall be adopted as if set out verbatim herein.

The Cabinet, contractors, subcontractors, and sub-recipients shall not discriminate on the basis of race, color, national origin, or sex in the performance of work performed pursuant to Cabinet contracts. The contractor shall carry out applicable requirements of 49 CFR 26 in the award and administration of federally assisted highway construction projects. The contractor will include this provision in all its subcontracts and supply agreements pertaining to contracts with the Cabinet.

Failure by the contractor to carry out these requirements is a material breach of its contract with the Cabinet, which may result in the termination of the contract or such other remedy as the Cabinet deems necessary.

OBLIGATION OF CONTRACTORS

Each contractor prequalified to perform work on Cabinet projects shall designate and make known to the Cabinet a liaison officer who is assigned the responsibility of effectively administering and promoting an active program for utilization of DBEs.

If a formal goal has not been designated for the contract, all contractors are encouraged to consider DBEs for subcontract work as well as for the supply of material and services needed to perform this work.

Contractors are encouraged to use the services of banks owned and controlled by minorities and women.

CONTRACT GOAL

CONTRACT GOAL

The Disadvantaged Business Enterprise (DBE) goal established for this contract is 5% of the total value of the contract.

The contractor shall exercise all necessary and reasonable steps to ensure that Disadvantaged Business Enterprises participate in at least the percent of the contract as set forth above as goals for this contract.

SPECIAL NOTES APPLICABLE TO PROJECT (CONTINUED)

CERTIFICATION OF CONTRACT GOAL

Contractors shall include the following certification in bids for projects for which a DBE goal has been established. **BIDS SUBMITTED WHICH DO NOT INCLUDE CERTIFICATION OF DBE PARTICIPATION WILL NOT BE READ PUBLICLY. These bids will not be considered for award by the Cabinet and they will be returned to the bidder.**

"The bidder certifies that it has secured participation by Disadvantaged Business Enterprises ("DBE") in the amount of ____ percent of the total value of this contract and that the DBE participation is in compliance with the requirements of 49 CFR 26 and the policies of the Kentucky Transportation Cabinet pertaining to the DBE Program."

The Certification statement is located on the last page of this proposal. All contractors **must** certify their DBE participation on that page. **DBEs utilized in achieving the DBE goal must be certified and prequalified for the work items at the time the bid is submitted.**

DBE PARTICIPATION PLAN

All bidders are **encouraged** to submit their General DBE Participation Plan with their bid on the official form. Lowest responsive bidders whose bid packages include DBE Participation Plans may be awarded the contract at the next Awards Committee meeting provided that the DBE goal is met. The DBE Participation Plan shall include the following:

1) Name and address of DBE Subcontractor(s) and/or supplier(s) intended to be used in the proposed project;

2) Description of the work each is to perform including the work item , unit, quantity, unit price and total amount of the work to be performed by the individual DBE;

3) The dollar value of each proposed DBE subcontract and the percentage of total project contract value this represents. DBE participation may be counted as follows;

   a). If DBE suppliers and manufactures assume actual and contractual responsibility, the dollar value of materials to be furnished will be counted toward the goal as follows:

   - The entire expenditure paid to a DBE manufacturer;
   - 60 percent of expenditures to DBE suppliers that are not manufacturers provided the supplier is a regular dealer in the product involved. A regular dealer must be engaged in, as its principal business and in its own name, the sale of products to the public, maintain an inventory and own and operate distribution equipment; and
   - the amount of fees or commissions charged by the DBE firms for a bona fide service, such as professional, technical, consultant, or managerial services and assistance in the procurement of essential personnel, facilities, equipment, materials, supplies, delivery of materials and supplies or for furnishing bonds, or insurance, providing such fees or commissions are determined to be reasonable and customary.

   b). The dollar value of services provided by DBEs such as quality control testing, equipment repair and maintenance, engineering, staking, etc.;

   c). The dollar value of joint ventures. DBE credit for joint ventures will be limited to the dollar amount of the work actually performed by the DBE in the joint venture;

4) Written and signed documentation of the bidder's commitment to use a DBE contractor whose participation is being utilized to meet the DBE goal; and

5) Written and signed confirmation from the DBE that it is participating in the contract as provided in the prime contractor's commitment.

SPECIAL NOTES APPLICABLE TO PROJECT (CONTINUED)

The apparent low bidder who does not submit a General DBE Participation Plan with the bid shall submit it within 10 calendar days after receipt of notification that they are the apparent low bidder. The project will not be considered for award prior to submission and approval of the apparent low bidder's DBE Participation Plan.

Detailed DBE Participation Plan forms will be included in the Contractor Package presented to successful bidders following the awarding of the project. The Detailed DBE Participation Plan must be completed and returned to Contract Procurement in accordance with Cabinet policy. A copy of the blank estimate will be included with the Detailed DBE Participation Plan to list sequence items by PCN (Project Control Number).

Changes to DBE Participation Plans must be approved by the Cabinet. The Cabinet may consider extenuating circumstances including, but not limited to, changes in the nature or scope of the project, the inability or unwillingness of a DBE to perform the work in accordance with the bid, and/or other circumstances beyond the control of the prime contractor.

CONSIDERATION OF GOOD FAITH EFFORTS REQUESTS

If the DBE participation submitted in the bid by the apparent lowest responsive bidder does not meet or exceed the DBE contract goal, the apparent lowest responsive bidder must submit a Good Faith Effort Package to satisfy the Cabinet that sufficient good faith efforts were made to meet the contract goals prior to submission of the bid. **Efforts to increase the goal after bid submission will not be considered in justifying the good faith effort, unless the contractor can show that the proposed DBE was solicited prior to the letting date. DBEs utilized in achieving the DBE goal must be certified and prequalified for the work items at the time the bid is submitted.** One complete set and nine (9) copies of this information must be received in the office of the Division of Contract Procurement no later than 12:00 noon of the tenth calendar day after receipt of notification that they are the apparent low bidder.

Where the information submitted includes repetitious solicitation letters it will be acceptable to submit a sample representative letter along with a distribution list of the firms solicited. Documentation of DBE quotations shall be a part of the good faith effort submittal as necessary to demonstrate compliance with the factors listed below which the Cabinet considers in judging good faith efforts. This documentation may include written subcontractors' quotations, telephone log notations of verbal quotations, or other types of quotation documentation.

The Good Faith Effort Package shall include, but may not be limited to information showing evidence of the following:

1. Whether the bidder attended any pre-bid meetings that were scheduled by the Cabinet to inform DBEs of subcontracting opportunities;

2. Whether the bidder provided solicitations through all reasonable and available means;

3. Whether the bidder provided written notice to all DBEs listed in the DBE directory at the time of the letting who are prequalified in the areas of work that the bidder will be subcontracting;

4. Whether the bidder followed up initial solicitations of interest by contacting DBEs to determine with certainly whether they were interested. If a reasonable amount of DBEs within the targeted districts do not provide an intent to quote or no DBEs are prequalified in the subcontracted areas, the bidder must notify the DBE Liaison in the Office of Minority Affairs to give notification of the bidder's inability to get DBE quotes;

5. Whether the bidder selected portions of the work to be performed by DBEs in order to increase the likelihood of meeting the contract goals. This includes, where appropriate, breaking out contract work items into economically feasible units to facilitate DBE participation, even when the prime contractor might otherwise perform these work items with its own forces;

SPECIAL NOTES APPLICABLE TO PROJECT (CONTINUED)

6. Whether the bidder provided interested DBEs with adequate and timely information about the plans, specifications, and requirements of the contract;

7. Whether the bidder negotiated in good faith with interested DBEs not rejecting them as unqualified without sound reasons based on a thorough investigation of their capabilities. Any rejection should be so noted in writing with a description as to why an agreement could not be reached;

8. Whether quotations were received from interested DBE firms but were rejected as unacceptable without sound reasons why the quotations were considered unacceptable. The fact that the DBE firm's quotation for the work is not the lowest quotation received will not in itself be considered as a sound reason for rejecting the quotation as unacceptable. The fact that the bidder has the ability and/or desire to perform the contract work with its own forces will not be considered a sound reason for rejecting a DBE quote. Nothing in this provision shall be construed to require the bidder to accept unreasonable quotes in order to satisfy DBE goals;

9. Whether the bidder specifically negotiated with subcontractors to assume part of the responsibility to meet the contract DBE goal when the work to be subcontracted includes potential DBE participation;

10. Whether the bidder made any efforts and/or offered assistance to interested DBEs in obtaining the necessary equipment, supplies, materials, insurance and/or bonding to satisfy the work requirements of the bid proposal; and

11. Any other evidence that the bidder submits which may show that the bidder has made reasonable good faith efforts to include DBE participation.

FAILURE TO MEET GOOD FAITH REQUIREMENT

Where the apparent lowest responsive bidder fails to submit sufficient participation by DBE firms to meet the contract goal and upon a determination by the Good Faith Committee based upon the information submitted that the apparent lowest responsive bidder failed to make sufficient reasonable efforts to meet the contract goal, the bidder will be offered the opportunity to meet in person for administrative reconsideration. The bidder will be notified of the Committee's decision within 24 hours of its decision. The bidder will have 24 hours to request reconsideration of the Committee's decision. The reconsideration meeting will be held within two days of the receipt of a request by the bidder for reconsideration.

The request for reconsideration will be heard by the Office of the Secretary. The bidder will have the opportunity to present written documentation or argument concerning the issue of whether it met the goal or made an adequate good faith effort. The bidder will receive a written decision on the reconsideration explaining the basis for the finding that the bidder did or did not meet the goal or made adequate Good Faith efforts to do so.

The result of the reconsideration process is not administratively appealable to the Cabinet or to the United States Department of Transportation.

The Cabinet reserves the right to award the contract to the next lowest responsive bidder or to rebid the contract in the event that the contract is not awarded to the low bidder as the result of a failure to meet the good faith requirement.

SPECIAL NOTES APPLICABLE TO PROJECT (CONTINUED)

SANCTIONS FOR FAILURE TO MEET DBE REQUIREMENTS OF THE PROJECT

Failure by the prime contractor to fulfill the DBE requirements of a project under contract or to demonstrate good faith efforts to meet the goal constitutes a breach of contract. When this occurs, the Cabinet will hold the prime contractor accountable as would be the case with all other contract provisions. Therefore, the contractor's failure to carry our the DBE contract requirements shall constitute a breach of contract and as such the Cabinet reserves the right to exercise all administrative remedies at its disposal including, but not limited to the following:

- Disallow credit toward the DBE goal;
- Withholding progress payments;
- Withholding payment to the prime in an amount equal to the unmet portion of the contract goal; and/or
- Termination of the contract.

CONTRACTOR REPORTING

All contractors must keep detailed records and provide reports to the Cabinet on their progress in meeting the DBE requirement on any highway contract. These records may include, but shall not be limited to payroll, lease agreements, cancelled payroll checks, executed subcontracting agreements, etc. Prime contractors will be required to submit certified reports on monies paid to each DBE subcontractor or supplier utilized to meet a DBE goal.

Prime contractors will incorporate a requirement into DBE subcontracts, including supply contracts, that DBEs must provide to the Division of Construction, a copy of all checks received from the prime contractor within seven days of receipt of payment for work performed on Cabinet projects. Checks to DBE subcontractors must include the PCN number, estimate number, and the sequence and quantity.

DEFAULT OR DECERTIFICATION OF THE DBE

If the DBE subcontractor or supplier is decertified or defaults in the performance of its work, and the overall goal cannot be credited for the uncompleted work, the prime contractor may utilize a substitute DBE or elect to fulfill the DBE goal with another DBE on a different work item. If after exerting good faith effort in accordance with the Cabinet's Good Faith Effort policies and procedures, the prime contractor is unable to replace the DBE, then the unmet portion of the goal may be waived at the discretion of the Cabinet.

03/25/2002

Kentucky Transportation Cabinet
General DBE Participation Plan*

Letting Date: _____ Project Code Number (PCN) _____ Project Number: _____

Designated DBE Goal % _____

Prime Contractor _____ DBE Company Name _____

Address _____

City, State, Zip _____

Federal Tax ID _____

Type of DBE Work (all applicable)

_____ Supplier _____ Subcontractor _____ Manufacturer _____ Engineering _____ Other _____

Itemized worked to be performed by DBE Company:

Supplier 60% Y/N	Item Number	Description of Participation	Unit of Measure	Quantity to be Performed by DBE	DBE Unit Price **	Dollar Amount (based on DBE

**Note: 60 percent of expenditures to DBE suppliers that are not manufacturers provided the supplier is a regular dealer in the product involved. A regular dealer must be engaged in, as its principal business and in its own name, the sale of products to the public, maintain an inventory and own and operate distribution equipment

Total This DBE _____

Total Bid _____

% Credited toward Goal, this DBE _____

Prime Contractor's Signature: _____ Title: _____ Date: _____

DBE Participant Signature: _____ Title: _____ Date: _____

***This form must be completed for each DBE participant**

Supplemental Specifications to The Standard Specifications for Road and Bridge Construction, 2000 Edition (Effective with the February 14, 2003 Letting)

SUBSECTION:	102.07.01 General.
REVISION:	Replace the first sentence with the following: Submit the Bid Proposal on the forms furnished by the Department including the Highway Bid Program bid item sheets and disk created from the Department's internet web site.
SUBSECTION:	102.07.02 Computer Bidding.
REVISION:	Replace the subsection with the following: Subsequent to ordering a Bid Proposal for a specific project, use the Department's Highway Bid Program on the internet web site of the Department of Highways, Division of Contract Procurement. Download the bid item quantities from the Department's web site to prepare a Bid Proposal for submission to the Department. Insert the completed bid item sheets printed from the Highway Bid Program into the Proposal and submit along with the disk created by said program. In case of a dispute, the Bid Proposal and bid item sheets created by the Highway Bid Program take precedence over any bid submittal. Furthermore the Department takes no responsibility for loss, damage of disks or the compatibility with the bidder's computer equipment or software.
SUBSECTION:	102.08 IRREGULAR BID PROPOSALS.
REVISION:	Add the following to the first set of items: 4) Fails to submit a disk created from the Highway Bid Program
SUBSECTION:	102.08 IRREGULAR BID PROPOSALS.
REVISION:	Replace 1) of the second set of items with the following: 1) when the Bid Proposal is on a form other than that furnished by the Department or printed from other than the Highway Bid Program , or when the form is altered or any part is detached.
SUBSECTION:	103.05 REQUIREMENT OF CONTRACT BOND.
REVISION:	Replace the first sentence of the first paragraph with the following: To be acceptable to the Department, the surety must have a minimum A. M. Best rating of an “A-”, be listed on the U.S. Treasury Listing of approved sureties for an amount equal to or greater than the amount of the bond and be an admitted carrier in the Commonwealth of Kentucky. Replace the last sentence of the first paragraph with the following: If at any time during the performance of the Contract the surety company falls below the minimum acceptable requirements, the Contractor shall file a new bond in an amount established by the Commissioner, or his designee, within 14 calendar days of such failure to meet the minimum requirements. Add the following to the end of the subsection: The Department reserves the right to copy the surety on all of its communications with the Contractor concerning the Contractor’s performance, or performance deficiencies, on the project and further reserves the right to communicate directly with the surety to inform them of the Contractor’s performance, or performance deficiencies, on the bonded project.
SUBSECTION:	108.02 PRECONSTRUCTION CONFERENCE.
REVISION:	Add the following to the first paragraph: Include a plan for updating the schedule. As a minimum, the schedule must be updated whenever a situation arises or event occurs that significantly affects the progress of the work or when the Engineer directs.
SUBSECTION:	109.04.02 Cost-Plus Work.
PART:	F) Overhead.
REVISION:	Add the following new part: F) Overhead. The Department will pay for overhead cost associated with administering the work, not to exceed 5 percent, when the work is done by a Subcontractor.

SUBSECTION: 112.03.01 General Traffic Control.
PART: G) Signs.
REVISION: Replace the first sentence with the following:

Completely cover all lettering and symbols on existing, permanent, and temporary signs which do not properly apply to the current traffic phasing, and maintain the covering until the signs are Applicable or are removed.

SUBSECTION: 112.03.01 General Traffic Control.
PART: I) Temporary Traffic Signals.
REVISION: Replace the MUTCD reference "Section 4B" with "Chapter 4D"

SECTION: 201 STAKING.
Delete the section and replace with the following:

201.01 DESCRIPTION. When listed as a bid item, furnish all personnel, equipment, stakes, and hubs necessary to construct the roadway and appurtenant structures to the grade and alignment specified in the Contract. When no bid item is listed, the Department will perform staking.

201.02 MATERIALS AND EQUIPMENT. Reserved.

201.03 CONSTRUCTION

201.03.01 Contractor Staking. Perform all necessary surveying under the general supervision of a Professional Engineer or licensed Land Surveyor.

The Department's Engineer will perform the following:

1) Provide adequate referencing of control points to allow prompt re-establishment of the survey centerline, right of way, ramps, crossroads, and frontage roads during construction.
2) Set permanent or temporary bench marks as required.
3) Take any cross sections to verify the accuracy of the original ground information.
4) Take "check sections" to verify that construction is to grade and alignment as specified in the Contract.

The Contractor will perform the following:

1) Re-establish the centerline and set such additional points as may be necessary for construction of the project. Verify the accuracy of the horizontal and vertical control as established by the Department's Engineer before beginning construction.
2) Establish clearing lines so that the project may be cleared without violating the limits of the right of way.
3) Set slope stakes right and left of the survey centerline at 50' to 100' intervals to guide the contractor in constructing the cuts and fills. These stakes are generally set to shoulder grade for fills and ditch grade for cuts. The cut or fill information, slope, and distance from centerline should be on the front face of the stake; the station number should be on the back of the stake. This stake should be guarded with a lath that has the station number written on the side facing the centerline.
4) Grade Stakes (Bluetops). Fine grade control will be set to aid the Contractor in establishing the typical sub-grade section. When using conventional transit and chain methods this fine grade control will be established by setting hubs(referred to as blue tops) every fifty feet to the sub-grade section. These blue tops are set to the hundredth of a foot in elevation and are located left and right of pavement centerline, usually at the edge of metal. Bluetops will be set for the top of sub-grade and the top of aggregate base and/or drainage blanket material. Refer to Section 204.03.10 and Section 302.03.06 for construction tolerances of sub-grade and aggregate base or drainage blanket.
5) Stake all structures (bridges, culverts, pipe, and other appurtenances) so that they can be built to the proper line and grade as shown on the plans and to perform the function for which they were designed.

revision continued

201.03.02 Department Staking. The Department's Engineer will set all stakes necessary for the construction of the roadway and appurtenant structures to the proper grade and alignment in accordance with the contract.

201.03.03 Electronic Surveying. The Department encourages the use of new and advanced technology in the construction of its roads and structures. However, the following restrictions apply:

1) Tolerances are unchanged. Refer to Section 204.03.10 and Section 302.03.06.
2) Sub-grade check sections are to be done every 500' in tangent sections and every 100' in curves using conventional survey methods to establish bluetops and to verify the correct operation of the electronic equipment.
3) The Contractor will submit his electronic data files to the Department's Engineer at the beginning of the project so that the Engineer can reference the data for verification of the field work.

201.04 MEASUREMENT.

201.04.01 Contractor Staking. When listed as a bid item, the Department will measure staking as lump sum. The Department will not measure surveying required to correct any errors or inaccuracies resulting from construction operations for payment.

201.04.02 Department Staking. The Department will not measure quantities for payment. When any stakes are disturbed due to unwarranted negligence of the Contractor, the Department will measure the work required to reset the stakes and deduct the cost from monies due the Contractor.

201.04.03 PAYMENT. The Department will make payment for the completed and accepted quantities under the following:

Code	Pay Item	Pay Unit
2726	Staking	Lump Sum

The Department will consider payment as full compensation for all work required under this section.

SUBSECTION: 204.03.08 Disposal of Wasted Materials.
REVISION: Add the following to the end of the second paragraph:

The Department will pay for the geotechnical investigation and analysis of the proposed waste area when one is requested by the Engineer. Ensure all work is performed by a pre-qualified geotechnical consultant and according to the Department's Geotechnical Manual.

SUBSECTION: 206.04.01 Embankment-in-Place.
REVISION: Add the following:

The Department may make adjustments to embankment-in-place projects when there is actually unanticipated waste on the project. Waste generated by the project phasing will not be considered for adjustment. The Department will make an adjustment for the actual costs incurred by the Contractor.

SUBSECTION: 208.03.03 Application of Chemical.
PART: B) Lime.
NUMBER: 3)
REVISION: Replace the second sentence with the following:

Use only when saturated soil conditions exist and the slurry method would worsen the situation or when weather conditions prohibit the use of slurry.

SUBSECTION: 208.03.06 Curing and Protection.
REVISION: Replace the first sentence of the fourth paragraph with the following:

Do not allow any traffic or equipment on the finished surface until 7 days above 40 °F curing is completed or the roadbed cores achieve a minimum strength requirement of 75 psi.

SUBSECTION:	208.04.02 Lime.
REVISION:	Add the following to the end of the second paragraph: When hydrate or quicklime is furnished for dry application, the Department will measure the actual quantity applied to the roadbed.
SUBSECTION:	212.03.03 Permanent Seeding and Protection.
PART:	A) Seed Mixtures for Permanent Seeding.
REVISION:	Replace with the following: A) Seed Mixture for Permanent Seeding. Use seed Mixture No. I, No. III, or as the Contract specifies. Mixture No. I: 75% Kentucky 31 Fescue (Festuca arundinacea) 10% Red Top (Agrostis alba) 5% White Dutch Clover (Trifolium repens) 10% Rygrass, perennial (Lolium perenne) Mixture No. III: 30% Kentucky 31 Fescue (Festuca arundinacea) 15% Red Top (Agrostis alba) 15% Partridge Pea (Cassia fasciculata) 20% Sericea Lespedeza 10% Sweet Clover – Yellow (Melitotus officinalis) 10% Rygrass, perennial (Lolium perenne)
SUBSECTION:	212.03.03 Permanent Seeding and Protection.
PART:	C) Crown Vetch.
REVISION:	Replace the first sentence with the following: Sow crown vetch seed on all areas having a slope 3:1 or steeper and consisting of soil or mixtures of broken rock and soil.
SUBSECTION:	212.03.03 Permanent Seeding and Protection.
PART:	E) Erosion Control Blanket.
REVISION:	Replace the first sentence with the following: Install erosion control blankets in ditches, except those to be paved or rock lined, to a flow depth of 1.5 feet.
SUBSECTION:	213.03.02 Progress Requirements.
REVISION:	Replace the word “may” with “will” in the second sentence of the third paragraph.
SUBSECTION:	213.03.02 Progress Requirements.
REVISION:	Replace the third sentence of the third paragraph with the following: Additionally, the Department will apply a penalty equal to the liquidated damages when all aspects of the work are not coordinated in an acceptable manner within 5 days after written notification.
SUBSECTION:	214.04 MEASUREMENT.
REVISION:	Replace the second sentence with the following: The Department will not measure fabric when the Contract indicates the fabric is incidental to the work or when the specification for another item requires incidental installation of geotextile fabric.
SUBSECTION:	302.02 MATERIALS.
REVISION:	Add the following: 302.02.03 Mixer. Equip the mixer with a water flow system with a positive cut-off control that will stop the flow of water simultaneously with any stoppage in the flow of aggregate and with valves or other devices that be easily reset when a change in the rate of flow is desired.

SUBSECTION:	401.02.01 All Asphalt Mixing Plants.
PART:	A)
REVISION:	Replace the first sentence of the second paragraph with the following: Provide a laboratory inspected and qualified according to the Department's Quality Assurance Program for Materials Testing and Acceptance and conforming to the following minimum requirements:
SUBSECTION:	401.02.01 All Asphalt Mixing Plants.
PART:	A)
REVISION:	Replace the fourth paragraph with the following: In addition to the equipment required to perform testing according to the AASHTO standards and Kentucky Methods (KM), equip each laboratory with the following minimum furnishings and equipment, conforming to the applicable specifications, as required for the type of construction specified in the Contract: 1) one workbench, at least 2.5 feet wide by 6 feet long; 2) one desk or table and 2 chairs; 3) a fire extinguisher located near the door; and 4) a first aid kit.
SUBSECTION:	401.02.01 All Asphalt Mixing Plants.
PART:	Between Items "H" and "I"
REVISION:	Insert the following new item: Recordation. Provide an automatic graphic or digital record of the production quantities according to AASHTO M156.
SUBSECTION:	401.02.01 All Asphalt Mixing Plants.
PART:	I) Thermometers.
REVISION:	Delete the third paragraph.
SUBSECTION:	401.02.04 Special Requirements for Continuous Plants.
PART:	B) Weight Calibration of Asphalt Binder and Aggregate Feed.
REVISION:	Add the following new paragraph: When equipped with aggregate weighing devices (belt scales), calibrate each cold feeder, along with the aggregate weighing devices, according to Subsection 401.02.05 A) and B).
SUBSECTION:	402.03.01 Responsibilities.
PART:	B) Setup.
REVISION:	Replace (MSG) with (G_{mm})
SUBSECTION:	402.03.01 Responsibilities.
REVISION:	Add the following: C) Process Control. After the setup period, perform the process control operations of KM 64-426.
SUBSECTION:	402.03.02 Acceptance.
PART:	A) General.
REVISION:	Add the following: Document and report all acceptance tests on the Asphalt Mixtures Acceptance Workbook (AMAW). Submit the completed AMAW for each lot to the Department within 5 working days after the completion of the lot.
SUBSECTION:	402.03.02 Acceptance.
PART:	C) Setup.
REVISION:	Add the following after the second sentence: For mixtures with a total-project quantity between 500 and 1,000 tons, perform a minimum of one process control test for AC, AV, and VMA, and report the results to the Engineer.

SUBSECTION: 402.03.03 Verification.
REVISION: Replace the first two sentences with the following:

For volumetric properties, the Department will perform a minimum of one verification test for AC, AV, and VMA for each lot according to the corresponding procedures as given in Subsection 402.03.02. For specialty mixtures, the Department will perform one AC and one gradation determination per lot according to the corresponding procedures as given in Subsection 402.03.02. However, Department personnel will not perform AC determinations according to KM 64-405.

SUBSECTION: 402.05.02 Asphalt Mixtures and Mixtures with RAP.
PART: D) Conventional and RAP Mixtures Placed Monolithically as Asphalt Pavement Wedge.
REVISION: Replace with the following:

The Department will pay as mainline mixture but use a 1.00 pay value for all properties.

SUBSECTION: 402.05.01 Specialty Mixtures.
REVISION: Add "asphalt mixtures for temporary applications" to the list of defined specialty mixtures.

SUBSECTION: 403.02.05 Release Agent.
REVISION: Replace with the following:

Provide materials conforming to KM 64-442.

SUBSECTION: 403.02.06 Transport Equipment.
REVISION: Add the following after the first sentence:

Do not load trucks that are contaminated with an unapproved release agent. When such contamination is identified after loading, reject the load. In either case, remove the truck and respective driver from the project for the duration of the project.

SUBSECTION: 403.02.09 Small Tools and Portable Equipment.
REVISION: Add the following at the end of the first paragraph:

Do not use an unapproved release agent on any small tools or equipment incidental to the paving operation.

SUBSECTION: 403.03.01 Seasonal and Weather Limitations.
REVISION: Replace "November 15" with "November 30" throughout the Subsection.

SUBSECTION: 403.03.02 Preparation of Base.
REVISION: Replace the first sentence of the eighth paragraph with the following:

Remove existing Type V markers. Fill the recess and any additional damaged area with compacted asphalt mixture within 24 hours of removal.

SUBSECTION: 403.03.03 Preparation of Mixture.
PART: A) Mixture Composition.
REVISION: Replace Part A) with the following:

A) Mixture Composition. Provide the appropriate mixture composition for the specified asphalt mixture, or substitute a higher aggregate type. When substituting a mixture of a higher ESAL class, provide a mixture of no more than one ESAL class higher than the specified asphalt mixture. Conform to the gradation requirements (control points) of AASHTO MP2 for the Superpave mixture. Unless the Engineer authorizes otherwise in writing, use the same type and source of ingredient aggregates and asphalt binder throughout the entire project for each type of mixture. For asphalt surface courses containing 100 percent polish-resistant coarse aggregate, limit the portion of non-polish-resistant fine aggregate retained on a No. 4 sieve to 5 percent of the total combined aggregates.

When using a porous aggregate, increase the asphalt binder content (AC) as needed for asphalt binder absorption by the aggregate.

The following aggregate requirements are listed in order of the highest, Type A, to the lowest, Type D:

1) Type A. Provide 100 percent of the coarse aggregate Class A sources. Ensure that 20 percent of the total combined aggregate is Class A polish-resistant fine aggregate.

Type B. Select either of the 2 following options:

revision continued	a) Provide 100 percent of the coarse aggregate from Class B sources. b) Provide a combined aggregate, retained on the No. 4 sieve, that is a minimum of 50 percent from any Class A polish-resistant aggregate source except those identified as "Not Permitted as the polish-resistant portion of Class B blends." Submit all Class B blends to the Department for review. For Option a) or b) above, ensure one of the following: • 20 percent or more of the total combined aggregate is Class A polish resistant fine aggregate. • 30 percent or more of the total combined aggregate is Class B polish resistant fine aggregate. • 30 percent or more of the total combined aggregate is a combination of Class A and Class B polish resistant fine aggregate. 3) Type C. Ensure that 40 percent or more of the total combined aggregate is polish-resistant; Class A coarse, fine, or combination. 4) Type D. No restriction on aggregate type.
SUBSECTION:	403.03.03 Preparation of Mixture.
PART:	B) Moisture Content of Mix
REVISION:	Replace the third sentence with the following: When moisture contents are 0.10 percent or greater, adjust the AC determination made on plant-produced mixture to reflect the actual AC as KM 64-434 directs.
SUBSECTION:	403.03.03 Preparation of Mixture.
PART:	C) Mix Design Criteria.
REVISION:	Add the following after the first sentence: The Department will allow ESAL Class 1 mixtures to pass through the restricted zone.
SUBSECTION:	403.03.03 Preparation of Mixture.
PART:	C) Mix Design Criteria.
NUMBER:	1)
REVISION:	Replace the first sentence with the following: Submit a preliminary mix design, completed using a Superpave gyratory compactor (SGC) conforming to AASHTO PP 35.
SUBSECTION:	403.03.03 Preparation of Mixture.
PART:	C) Mix Design Criteria.
NUMBER:	2) Selection of Optimum AC.
REVISION:	Add the following: Ensure the optimum AC is a minimum of 5.0 percent by weight of the total mixture for all 0.5-inch nominal surface mixtures and 5.3 percent by weight of the total mixture for all 0.38-inch nominal surface mixtures.
SUBSECTION:	403.03.06 Thickness Tolerance.
TABLE:	Nominal Maximum Size of Mixture vs. Thickness Range
REVISION:	Delete
SUBSECTION:	403.03.09 Leveling and Wedging, and Scratch Course.
PART:	A) Leveling and Wedging.
REVISION:	Replace the first sentence with the following: Conform to the gradation requirements (control points) for base, binder, or surface as applicable.
SUBSECTION:	403.03.09 Leveling and Wedging, and Scratch Course.
PART:	B) Scratch Course.
REVISION:	Replace the second sentence with the following: Conform to the gradation requirements (control points) for base, binder, or surface as the Engineer directs.
SUBSECTION:	407.02.02 Aggregate.
REVISION:	Change Sieve Size No. 30 to read Sieve Size No. 50.

SECTION: 404 OPEN-GRADED FRICTION COURSE
TABLE: LOT PAY ADJUSTMENT SCHEDULE FOR SPECIALTY MIXTURES
REVISION: Replace the table with the following table:

LOT PAY ADJUSTMENT SCHEDULE FOR SPECIALTY MIXTURES (TEST DEVIATION FROM JMF)

	Pay Value	Deviation From JMF (%)
Asphalt Binder Content	1.00	0.0-0.5
	0.98	0.6
	0.95	----
	0.90	0.7
	0.85	0.8
	0.75	≥ 0.9
1 1/2 inch Sieve	1.00	0-13
	0.98	14
	0.95	15-16
	0.90	17-20
	0.85	21-23
	0.75	≥ 24
1 inch, 3/4 inch, and 1/2 inch Sieves	1.00	0-9
	0.98	10
	0.95	11-12
	0.90	13-14
	0.85	15-16
	0.75	≥ 17
3/8 inch, No. 4, No. 8, No. 16, and No. 30 Sieves	1.00	0-8
	0.98	9
	0.95	10
	0.90	11-12
	0.85	13-14
	0.75	≥ 15
No. 50 Sieve	1.00	0-6
	0.98	7
	0.95	8
	0.90	9
	0.85	10
	0.75	≥ 11
No. 100 Sieve	1.00	0-3
	0.98	----
	0.95	4
	0.90	5
	0.85	----
	0.75	≥ 6
No. 200 Sieve	1.00	0.0-2.0
	0.98	2.5
	0.95	3.0
	0.90	----
	0.85	3.5
	0.75	≥ 4.0
Fineness Modulus	1.00	0.0-0.30
	0.98	0.31-0.34
	0.95	0.35-0.39
	0.90	0.40-0.46
	0.85	0.47-0.55
	0.75	≥ 0.56

SUBSECTION: 406.02.01 Tack Coat.
REVISION: Replace with the following:

Furnish any of the following asphalt materials conforming to 806: SS-1, SS-1h, or RS-1.

SUBSECTION: 406.02.03 Curing Seal.
REVISION: Replace with the following:

Furnish any of the following asphalt materials conforming to 806: RS-1, RS-2, SS-1, SS-1h, or Primer L.

SUBSECTION: 406.03.03 Application.
REVISION: Replace the temperature table with the following:

Primer L	60-120 °F
SS-1, SS-1h	70-160 °F
RS-1, RS-2	70-140 °F

SUBSECTION: 406.03.03 Application.
PART: B) Asphalt Tack Coat.
REVISION: Replace the second paragraph with the following:

When furnishing RS-1 for tack, apply it undiluted.

Replace the first sentence of the third paragraph with the following:

When furnishing SS-1 or SS-1h for tack, the Department will allow diluted or undiluted application provided uniform and complete coverage is achieved.

SUBSECTION: 407.02.02 Aggregate.
REVISION: Change Sieve Size No. 30 to read Sieve Size No. 50.

SUBSECTION: 408.04.02 Mobilization for Asphalt Pavement Milling and Texturing.
REVISION: Add the following:

For group contracts, the Department will measure the quantity for each project (subsection) that has a bid item for Mobilization for Asphalt Pavement Milling and Texturing.

SUBSECTION: 409.02 MATERIALS AND EQUIPMENT.
REVISION: Replace "KM 64-427" with the following:

the guidelines in Subsection 409.03.02

SUBSECTION: 409.03.01 Restrictions.
REVISION: Add the following sentence:

When the mixture's bid item specifies PG 76-22, limit RAP content to 20 percent or less.

SUBSECTION: 409.03.02 Preparation of Mixture.
PART: A) Mix Requirements.
REVISION: Void the Revision and replace with the following:

Conform to the Contract requirements for each mixture produced using RAP. If mixtures produced using RAP do not conform to the requirements for that mixture, complete the project using all virgin materials at no additional expense to the Department. Conform to the following table to select the appropriate grade of virgin asphalt binder to blend with the RAP:

Mixture's Bid Item	Appropriate Virgin Asphalt Binder		
	0-20% RAP	21-30% RAP	>30% RAP
PG 76-22	PG 76-22	-	-
PG 70-22	PG 70-22	PG 64-22	*
PG 64-22	PG 64-22	PG 64-22	*

* Select according to KM 64-427

SUBSECTION: 410.05 PAYMENT.
REVISION: Replace the RIDE QUALITY ADJUSTMENT SCHEDULE with the following 2 schedules:

RIDE QUALITY ADJUSTMENT SCHEDULE FOR ROADS POSTED GREATER THAN 45 MPH

IRI	**Pay Value**[(1)]
36 or Less	+0.15
37 to 46	= 1.5 x (47 – IRI)
47 to 66	0.00
67 to 76	= 1.5 x (67 – IRI)
77 or higher	Corrective work or replacement required

RIDE QUALITY ADJUSTMENT SCHEDULE FOR ROADS POSTED 45 MPH OR LESS

Rideability Index	**Pay Value**[(1)]
36 or Less	+0.15
37 to 46	= 1.5 x (47 – IRI)
47 to 85	0.00
86 or lower	Corrective work or replacement required

[(1)] *The Department will not apply a positive pay value for corrective work other than removal and replacement to achieve the IRI.*

SUBSECTION: 501.03.13 Finishing.
PART: H) Texturing.
REVISION: Replace the third paragraph with the following:

Form transverse grooves in the concrete with a width between 0.09 inch and 0.13 inch and a depth between 0.12 inch and 0.19 inch. Space the grooves at random intervals between 0.4 inch to 1.5 inches with no more than 50 percent of the spacing being one inch or greater.

SUBSECTION: 506.03.01 Header Curb, Valley Gutter, and Curb and Gutter (Combination).
REVISION: In the second sentence of the third paragraph replace the Subsection reference 601.03.12 with 501.02.10.
In the second sentence of the sixth paragraph replace the Subsection reference 601.03.16 with 501.03.17 D).

SUBSECTION: 508.03.03 Precast Construction.
REVISION: Replace "Subsection 605.03" in the first sentence with Section 605.

SUBSECTION: 509.03 CONSTRUCTION.
REVISION: Replace "Subsection 605.03" in the first sentence with Section 605.

SUBSECTION: 601.02.13 Forms.
PART: F) Stay-In-Place Metal Forms.
NUMBER: 1) Forms and Supports.
REVISION: Replace ASTM A 446 with ASTM A 653.
Replace ASTM A 525 with ASTM A 924.

SUBSECTION: 601.03.03 Proportioning and Requirements.
PART: A) Concrete.
TABLE: INGREDIENT PROPORTIONS AND REQUIREMENTS FOR VARIOUS CLASSES OF CONCRETE
REVISION: Add the following foot note to AA Slump:

The Department may allow the slump of AA concrete to be increased up to a 6 inch maximum, provided the w/c ratio does not exceed 0.40 and a high range water reducer (Type F or G) is used. Trial Batches will be required if producer has not previously supplied.

SUBSECTION:	601.03.03 Proportioning and Requirements.
PART:	C) Mixtures Using Type IP, IS and I(SM) Cement or Mineral Admixtures.
NUMBER:	2) Mineral Admixtures.
REVISION:	Add the following after the first sentence: Reduction of the total cement content by a combination of any mineral admixtures will be allowed, up to a maximum of 30 percent.
SUBSECTION:	601.03.03 Proportioning and Requirements.
PART:	C) Mixtures Using Type IP Cement or Mineral Admixtures.
NUMBER:	2) Mineral Admixtures.
LETTER:	b) Ground Granulated Blast Furnace Slag (GGBF Slag).
REVISION:	Replace the first sentence with the following: When added as a separate ingredient, use Grade 120 GGBF or 100 GGBF slag to reduce the quantity of cement, except do not use GGBF slag to reduce the quantity of Type IS or I(SM) cement.
SUBSECTION:	601.03.04 Classes and Primary Uses.
PART:	P) Non-Shrink Grout.
REVISION:	Replace with the following: Bonding and sealing for post-tensioning, tie-back rods and bolts, and box beams.
SUBSECTION:	601.03.09 Placing Concrete.
PART:	A) General.
REVISION:	Add the following to the fifth paragraph: When pumping, equip the delivery pipe with a nozzle, having a minimum of 2 right angles, at the discharge end.
SUBSECTION:	601.03.09 Placing Concrete.
PART:	D) Weather Limitations.
REVISION:	Replace the first sentence of the second paragraph with the following: Maintain the temperature of the mixture at or below 90 °F during placement. Unless the Engineer determines that safety concerns or other considerations prohibit a shutdown, cease concrete production when the mixture exceeds 90 °F until adequate methods are in place to reduce or maintain the mixture temperature.
SUBSECTION:	601.03.15 Opening to Traffic.
TABLE:	Required Time in Calendar Days Before Applying Significant Loads on Concrete Structures
REVISION:	Change the title of the seventh item to the following: Caps on Concrete Pile Bents, Open Column Abutments, and Piers
SUBSECTION:	606.02 MATERIALS AND EQUIPMENT.
REVISION:	Add the following subsection: 606.02.11 Coarse Aggregate. Conform to Section 805, size 9-M.
SUBSECTION:	607.03.05 Bolted Connections Using High-Strength Steel Bolts.
PART:	B) Direct Tension Indicators.
REVISION:	Replace the first two sentences of the third paragraph with the following: Under normal conditions, install the tension indicator under the non-turned element of the fastening system. Obtain the Engineer's permission before installing tension indicators under the turned element. If the Engineer determines that it is necessary to install the tension indicator under the turned element, install additional hardened washers according to the manufacturer's instructions. Add the following to the end of the fourth paragraph: The fastener assembly may also need to be replaced.

SUBSECTION: 607.03.08 Planing and Finishing.
PART: B) Flame Cutting.
REVISION: Replace the first sentence of the second paragraph with the following:

Remove roughness exceeding these values and occasional notches or gouges no more than 3/16 inch deep, on otherwise satisfactory surfaces, by machining or grinding.

SUBSECTION: 607.03.23 Cleaning and Painting.
PART: D) Preparation for Field Coatings.
REVISION: Replace the second and third paragraphs with the following:

After erection, including all bolting and remedial work, prepare the shop applied zinc coating for field applied intermediate coating as follows. Remove all grease, oil or other lubricants from all surfaces to be painted including lubricant or residuals from the surfaces of all galvanized nuts, bolts and washers by solvent cleaning according to SSPC SP 1. When dry overspray from the shop applied zinc coating exists, remove by sanding. High pressure water wash all structural steel at 4,500 to 5,000 psi. using clean potable water. As needed, use a non-sudsing, bio-degrable detergent to remove all surface contaminants not removed by high pressure water washing. Rinse all areas where a detergent and/or solvent was applied by pressure washing with clean potable water. Blast clean all surfaces sustaining damage to the shop applied zinc coating to the pictorial standards described in subsection B. Apply a field coat of approved zinc rich coating to all areas not possessing an acceptable shop applied zinc coating. Completely remove all rust, scale and other foreign material before applying the intermediate coating.

When application of the finish coat exceeds the recoat window of the intermediate coat, abrade the surface of the intermediate coat according to the coating manufacturer's recommendations before applying the finish coat.

SUBSECTION: 607.03.23 Cleaning and Painting.
PART: E) Application of Field Coatings.
REVISION: Replace the second paragraph with the following:

Apply paint only to clean and dry surfaces when the ambient air temperature is 40 °F or greater, the surface temperature of the steel members to be painted is at least 5 °F above the dew point, and the relative humidity is less than 90 percent. Do not apply paint to damp or frosted surfaces, nor during any period of rainfall.

Replace the fifth paragraph with the following:

Paint from the top of the structure toward the bottom, and proceed by sections, bays, or parts of the work, unless the Contract or Engineer directs otherwise.

SUBSECTION: 611.02.01 Concrete.
REVISION: Replace the first sentence with the following:

Conform to ASTM C 1433.

SUBSECTION: 611.03.01 Transportation and Handling.
REVISION: Replace the first sentence with the following:

Handle and store the precast units so that flexural stresses are not induced until the concrete age is 7 days or attains a compressive strength of 3,000 psi.

SUBSECTION: 611.03.02 Precast Unit Construction.
REVISION: Add the following:

4) Contrary to ASTM C 1433 Section 10.3, assure the compressive strength of the cores tested are equal to or greater than the design strength.

SUBSECTION: 611.03.07 Joints.
PART: A) Rubber Gaskets.
REVISION: Replace the title with the following:

A) Butyl Rubber Sealant.

SUBSECTION:	611.03.07 Joints.
PART:	B) Flexible Plastic Gaskets.
REVISION:	Replace the title with the following: B) Rubber Gaskets.
SUBSECTION:	613.05 PAYMENT.
REVISION:	Replace 8160 Structure Excavation with the following: 2203 Structure Excavation Unclassified
SUBSECTION:	614.02.01 Paint.
REVISION:	Add the following: Furnish a paint system in which all coats are produced by the same manufacturer and use the same system throughout the entire project.
SUBSECTION:	614.03.06 Paint Application.
REVISION:	Replace the first sentence of the fourth paragraph with the following: Paint from the top of the structure toward the bottom, and proceed by sections, bays, or parts of the work, unless the Contract or Engineer directs otherwise.
SUBSECTION:	701.02.03 Joint Materials.
PART:	D) Flexible Plastic Gaskets.
REVISION:	Replace with the following: D) Butyl Rubber Sealants. Conform to Section 807.
SUBSECTION:	701.02.04 Bedding Materials.
REVISION:	Replace the first sentence with the following: Use No. 8 aggregate, No. 9 aggregate, or a fine aggregate conforming to Subsection 804.08 for bedding material.
SUBSECTION:	701.02.04 Bedding Materials.
TABLE:	A1, A2, and A3 Characteristics
REVISION:	Under A3, replace “51 max” with “51 min”
SUBSECTION:	702.03.05 Joints.
PART:	A) Reinforced Concrete Pipe.
NUMBER:	2) Rubber Gaskets.
REVISION:	Replace with the following: In addition to the requirements of Subsection 701.02, use a pipe section conforming to AASHTO M 315. Use the gasket manufacturer’s recommended cement and lubricant. Snugly fit the rubber gasket in the beveled surface of the tongue and groove ends of the sections to form a flexible seal under all conditions of service.
SUBSECTION:	701.03.05 Joints.
PART:	B) Corrugated Metal Pipe.
REVISION:	Void the Revision and replace with the following: Construct joints using a band with annular corrugations and a bolt, bar and strap connection. Use a minimum nominal band width of 12 inches for all pipe diameters 54 inches and smaller. Use a two-piece band with a minimum nominal width of 20 inches for all pipe diameters greater than 54 inches. Manufacture the band from the same base materials as the pipe. The pipe bands may be up to two gauges lighter than the pipe it is joining, with a minimum gauge thickness of 16. The Department may allow dimple band connections for field cut pipe. Install the connecting bands according to the manufacturer's written recommendations.
SUBSECTION:	703.02.09 Geotextile Fabric.
REVISION:	Replace Section reference 845 with 843.

SUBSECTION:	703.04.08 Geotextile Fabric.
REVISION:	Add the subsection:
	703.04.08 Geotextile Fabric. The Department will measure the quantity according to Subsection 214.04.
SUBSECTION:	710.02 MATERIALS.
REVISION:	Add the following Subsection:
	710.02.15 High Density Polyethylene (HDPE) Adjusting Rings. Conform to Section 846.
SUBSECTION:	710.03.01 Newly Constructed Small Drainage Structures.
PART:	A) General.
REVISION:	Replace the last sentence of the sixth paragraph with the following:
	Use precast concrete, precast concrete pipe sections, cast-in-place, brick, or HDPE adjusting rings for adjustment of existing manholes according to the Standard Specifications.
SUBSECTION:	710.03.01 Newly Constructed Small Drainage Structures.
PART:	B) Precast Structures Except Manholes.
REVISION:	Replace the first two sentences with the following:
	Only furnish products manufactured by a precast producer listed in the Department's List of Approved Materials. If the producer does not have an approved drawing for the product, submit 5 copies of shop drawings to the Engineer for review and approval.
SUBSECTION:	710.03.03 Adjusted Small Drainage Structures.
REVISION:	Add the following sentence to the end of the first paragraph:
	For HDPE adjusting rings, install and seal according to the manufacturer's recommendations.
SUBSECTION:	712.03.02 Type V Markers.
REVISION:	Replace the first sentence of the first paragraph with the following:
	Install Type V Markers in slots cut into the pavement according to the manufacturer's recommendations.
	Delete the last paragraph.
SECTION:	713 PERMANENT PAVEMENT STRIPING.
REVISION:	Add the following subsection:
	713.03.06 Acceptance of Non-Specification Markings. If weather conditions allow, perform corrective work to bring striping retroreflectivity into conformance. If corrective work has been performed and the work meets all requirements except for minimum retroreflectivity, the Department may accept the work according to Subsection 105.04. When the Engineer determines that the markings may be left in place, the Department will accept them at a reduction in the Contract unit bid price according to the Acceptance Pay Schedule. Additionally, the Engineer may remove the striping crew for the remainder of the project according to Subsection 108.06 Part A). The Engineer may also apply this section when corrective work cannot be performed due to weather.
	Acceptance Pay Schedule – White 156 to 174 mcd/lux/square meter – 50% pay 138 to 155 mcd/lux/square meter – 25% pay 120 to 137 mcd/lux/square meter – 0% pay < 120 mcd/lux/square meter – unacceptable
	Acceptance Pay Schedule – Yellow 126 to 149 mcd/lux/square meter – 50% pay 103 to 125 mcd/lux/square meter – 25% pay 80 to 102 mcd/lux/square meter – 0% pay < 80 mcd/lux/square meter – unacceptable

SUBSECTION:	713.03 CONSTRUCTION.
REVISION:	Replace the MUTCD references to "Part III" with "Part 3"
SUBSECTION:	714.02.03 Binder.
REVISION:	Replace the last sentence with the following: Submit the material and method of application to the Engineer and obtain written approval from the Engineer and the manufacturer of the pavement marking material before applying.
SUBSECTION:	714.03 CONSTRUCTION.
REVISION:	Replace the MUTCD references to "Part III" with "Part 3" and figure references to "3-11 and 3-12" with "3B-8 and 3B-9"
SUBSECTION:	714.03.01 Layout.
REVISION:	Replace the MUTCD reference to "Part III" with "Part 3"
SUBSECTION:	714.03.03 Application.
PART:	A) Type I Tape.
REVISION:	Add the following: When applied to concrete, cut the tape at all joints.
SUBSECTION:	714.03.04 Restrictions.
REVISION:	Replace the first paragraph with the following: Do not apply the pavement marking material when air and pavement temperatures are below 50 °F. Delete the third paragraph.
SUBSECTION:	714.03.06 Proving Period for Durable Markings.
PART:	A) Requirements.
NUMBER:	1) Type I Tape.
REVISION:	Add the following: Type I Tape is manufactured off site and warranted by the manufacturer to meet certain retroreflective requirements. As long as the material is adequately bonded to the surface and shows no sign of failure due to the other items listed in Subsection 714.03.06 A) 1), retroreflectivity readings will not be required. In the absence of readings, the Department will accept tape based on a nighttime visual observation.
SUBSECTION:	714.05 PAYMENT.
REVISION:	Replace with the following: The Department will make payment upon completion of the work. If after the proving period the markings do not meet minimum retroreflectivity requirements, the Department will adjust the payment or require corrective work according to the following:
SECTION:	804.03 Concrete.
REVISION:	Replace the last sentence with the following: The Department will waive the requirements for gradation, sand equivalent, and uncompacted voids for concrete pipe.
SUBSECTION:	804.04.04 Requirements for Combined Aggregates.
PART:	B) Sand Equivalent.
REVISION:	Replace the third paragraph with the following: The Department may waive the sand equivalent requirement provided the portion of the combined aggregate passing the No. 40 sieve is non-plastic according to AASHTO T 90.
SUBSECTION:	804.04.04 Requirements for Combined Aggregates KM.
TABLE:	Superpave Fine Aggregate Consensus Property Requirements.
REVISION:	For ESAL Class 1, Replace both dashes with 40.
SUBSECTION:	805.03.01 Soundness and Shale.
PART:	AGGREGATE USE/Portland Cement Concrete Mixtures.
REVISION:	Replace the title use "Class AA, Class S and Bridge Deck Overlays" with "Aggregate for Bridge Decks, Bridge Deck Overlays, and Bridge Barrier Walls"

SECTION: 805 COARSE AGGREGATES.
TABLE: Sizes of Coarse Aggregates.
REVISION: Replace KM 64-420 in footnote (1) with KM 64-620.

SECTION: 805 COARSE AGGREGATES.
TABLE: Aggregates Size Use.
REVISION: For Cement Concrete Structures and Incidental Construction add 9-M for Overlays to the sizes to be used column.

SUBSECTION: 805.03.03 Gradation.
REVISION: Replace the last sentence with the following:

The Department will allow blending of same source/same type aggregate to achieve designated sizes when precise procedures are used such as cold feeds, belts, weigh hoppers, or equivalent.

SUBSECTION: 805.03.04 Erodible or Unstable Material.
REVISION: Add the subsection:

805.03.04 Erodible or Unstable Material. Treat as applicable. The Department considers Size No. 57 or larger aggregate, except crushed or uncrushed gravel, non-erodible. The Department considers the following materials to be erodible or unstable:

1) Friable sandstone. The Engineer determines when sandstone is friable or non-friable.
2) Crushed or uncrushed gravel, any size.
3) Crushed coarse aggregate smaller than Size No. 57.
4) Any material with 50 percent or more passing the No. 4 sieve.

SUBSECTION: 805.04 CONCRETE.
REVISION: Replace the second paragraph with the following:

The Department will waive the requirements for gradation and finer than No. 200 for concrete pipe.

SUBSECTION: 805.10 GRANULAR EMBANKMENT.
REVISION: Replace "2 ½-inch" with "12-inch".

SUBSECTION: 805.10 GRANULAR EMBANKMENT.
PART: 1)
REVISION: Replace with the following:

1) Engineer approved shot limestone or sandstone from roadway excavation, borrow excavation, or another approved source.

SUBSECTION: 805.11 STRUCTURE GRANULAR BACKFILL.
REVISION: Replace with the following:

Provide crushed or uncrushed aggregate meeting the quality requirements of this section. When the material includes a significant amount of individual fragments greater than 1 ½ inches, the Engineer may visually accept the minus No. 200 portion. Conform to the following gradation:

Sieve Size	Percent Passing
4 inch	100
No. 4	0-10
No. 200	0-5

SUBSECTION: 805.13.03 Channel Lining, Class IA.
REVISION: Replace the first sentence with the following:

Provide crushed stone meeting the general requirements of this section.

SUBSECTION: 805.13.03 Channel Lining, Class II.
REVISION: Replace the first sentence with the following:

Provide crushed stone meeting the general requirements of this section.

SUBSECTION: 805.15 GRADATION ACCEPTANCE OF NON-SPECIFICATION COARSE AGGREGATE.
TABLE: GRADATION – COARSE AGGREGATES FOR UNDERDRAINS
REVISION: Replace "No. 200" sieve with "No. 100".

SUBSECTION: 810.03.04 Extra Protection
REVISION: Replace "mm" in the second sentence of the third paragraph with "inches".

SECTION: 810.03 REINFORCED CONCRETE PIPE.
REVISION: Add new subsection:

810.03.07 Concrete. Submit Concrete Mix Design to the Central Office Materials.

SECTION: 812.01.01 Structural Steel, All Types.
REVISION: Replace second sentence with the following:

When the supplementary requirement of this specification are specified, they exceed the requirements of ASTM A 36, A 514, A 572, A 588, and ASTM A 852.

SUBSECTION: 812.01.01 Structural Steel, All Types.
PART: A) Structural Steel.
REVISION: Delete AASHTO M 183.

SUBSECTION: 812.01.01 Structural Steel, All Types.
PART: B) High-Strength Low-Alloy Columbium-Vandium Steels of Structural Quality.
REVISION: Delete AASHTO M 223.

SUBSECTION: 812.01.01 Structural Steel, All Types.
PART: C) High-Strength Low-Alloy Structural Steel with 345 Mpa Minimum Yield Point to 4 Inches Thick.
REVISION: Delete AASHTO M 222.

SUBSECTION: 812.01.01 Structural Steel, All Types.
PART: E) High-Yield-Strength, Quenched and Tempered Alloy Steel Plate, Suitable for Welding.
REVISION: Delete AASHTO M 244.

SECTION: 813.08.05 Aluminum Alloy Rolled or Extruded Shapes.
REVISION: Replace “T-4 AND T6” with “T6”.

SUBSECTION: 813.09.02 High-Strength Steel Bolts, Nuts, and Washers.
PART: A) Bolts.
REVISION:

HARDNESS NUMBER				
Bolt Size	Brinell		Rockwell C	
(in)	Min	Max	Min	Max
½ - 1	253	319	25	34

SUBSECTION: 813.13 MATTRESSES AND GABIONS.
REVISION: Replace the first sentence of the first paragraph with the following:

Conform to ASTM A 975, Style 1 or ASTM A 974, Style 1 or 2.

SUBSECTION: 814.04.01 Steel Guardrail Posts.
REVISION: Replace AASHTO M 183 in the first sentence with ASTM A 36.

SUBSECTION: 814.05.02 Composite Plastic.
REVISION: Add the following sentence to the first paragraph:

Rubber is an acceptable alternate to plastic in their composition.

SUBSECTION: 814.06 MATERIALS FOR END TREATMENTS.
PART: D) Steel Sheet (for rail plates and mounting brackets).
REVISION: Replace 570, Grade D with the 1011, Type SS, Grade 36.

SUBSECTION: 816.02 GENERAL.
REVISION: Replace ASTM D 2521 with ASTM A 239.

SUBSECTION: 816.02.02 Aluminum-Coated Steel.
REVISION: Replace 0.01 with 0.099.

SUBSECTION: 819.01.01 Steel Plates.
REVISION: Replace “Paragraph 14” in the second sentence of the second paragraph with “Table 6”.

SUBSECTION: 821.03 SAMPLING AND TESTING.
REVISION: In the third sentence of the first paragraph, replace calendar days with working days.

SUBSECTION: 827.04 PERMANENT SEED.
REVISION: Replace with the following:

Conform to the requirements outlined in the "Kentucky Seed Law and Provisions for Seed Certification in Kentucky" and the "Regulations under the Kentucky Seed Law", with following exceptions:

1. Obtain seed only through registered dealers that are permitted for labeling of seed.
2. Ensure all deliveries/shipments of premixed seed are accompanied with a master blend sheet.
3. The Department may sample the seed at the job site at any time.
4. Ensure all bags and containers have an acceptable seed tag attached.

Do not use seed (grasses, native grasses and legumes) if the weed seed is over 2%, total germination (including hard seed) is less than 60%, if the seed test date is over 9 months old exclusive of the month tested, or if the limits of noxious weed seed is exceeded.

Ensure that noxious weed seeds contained in any seed or seed mixture does not exceed the maximum permitted rate of occurrence per pound.

Name of Kind	Max. No. Seeds (per pound)*
Balloon Vine (Cardiospermum Halicacabum)	0
Purple Moonflower (Ipomoea turbinata)	0
Canada Thistle (Cirsium Arvense)	0
Johnsongrass (Sorghum Halepense and Sorghum Almum and perennial rhizomatous derivatives of these species)	0
Quackgrass (Elytrigia Repens)	0
Annual Bluegrass (Poa Annua)	256
Buckhorn Plantain (Plantago Ianceolata)	304
Corncockle (Agrostemma Githago)	192
Dodder (Cuscuta spp.)	192
Giant Foxtail (Setaria Faberii)	192
Oxeye Daisy (Chrysanthemum Ieucanthemum)	256
Sorrel (Rumex Acetosella)	256
Wild Onion and Wild Garlic (Allium spp.)	96

* Seed or seed mixtures that contain in excess of 480 total noxious seeds per pound is prohibited

Wildflower seed shall not be planted until approved by the MCL.

SUBSECTION: 832.02 TYPE I POSTS.
REVISION: Replace ASTM A 570 with ASTM A 1011.

SECTION: 840 RAISED PAVEMENT MARKERS
REVISION: Replace the section with the following:

840.01 TYPE IV MARKERS. Provide markers from the Department's List of Approved Materials. Type IV markers are replacement lenses for use in Type V marker castings.

840.02 TYPE V MARKERS. Provide markers from the Department's List of Approved Materials. Type V markers consist of an iron casting with a Type IV marker (mono or bi-directional) attached.

840.03 TYPE IVA MARKERS. Provide markers from the Department's List of Approved Materials. Type IVA markers are surface mounted lenses for temporary use in work zones.

840.04 SAMPLING. Obtain a manufacturer's certification for each shipment. Include with each shipment of adhesive a written statement from the manufacturer certifying that it conforms to the recommendations of the marker manufacturer, and stating the minimum temperature the adhesive can be satisfactorily mixed and applied.

840.05 PACKAGING. Suitably and substantially package all materials with the name and address of the manufacturer and vendor, contract or purchase number, kind of material, trade name, and net contents plainly marked on each package.

SUBSECTION: 843.01.01 Geotextile Fabric.
REVISION: Add the following sentence to the first paragraph:

Use circular-knit geotextile conforming to ASTM D 6707 for perforated pipe socks.

Add the following sentence to the third paragraph:

The manufacturer must participate in the National Transportation Product Evaluation Program (NTEP) for Geotextiles and Geosynthetics.

SUBSECTION: 843.01.01 Geotextile Fabric.
PART: C) Acceptance.
REVISION: Delete the burst strength requirement from each table.

SUBSECTION: 845.02.03 Wrapping.
REVISION: Replace Section 845 with Section 843, Type II.

SECTION: 846 HIGH DENSITY POLYETHYLENE (HDPE) ADJUSTING RINGS
REVISION: Add New Section:

846.01 RESIN. Use a recycled polyethylene plastic or virgin resin producing a molded part meeting the following requirements:

Melt Flow Index (ASTM D 1238)	4.0-10.0 g/10min
Density (ASTM D 792)	0.941-0.965 g/cm^3
Tensile (ASTM D 638)	2000-5000 lb/in^2
ESCR (ASTM D 1693)	Condition C

846.02 LOADING. Ensure the adjustment rings meet or exceed the loading requirements of AASHTO'S Standard Specification for HS-25 wheel loading for Highway Bridges.

UTILITY NOTES TO BE INCLUDED IN THE PROPOSAL
SPECIAL NOTES FOR UTILITY CLEARANCE
IMPACT ON CONSTRUCTION

WASHINGTON COUNTY, ACBRZ 0403 (158)
FD52 115 69521 01 U
WALNUT STREET (KY1584) IN SPRINGFIELD
ITEM NO. 4 - 1004.00

The following utility companies have facilities to be relocated and/or adjusted on subject project.

Springfield Water and Sewer Commission – The water commission anticipates the completion of the relocation and/or adjustment of their facilities on or before the date of the work order. Contact: Mr. Teddy Boone, Phone 859-336-5454.

BellSouth Telecommunications, Inc. – The telephone company anticipates the completion of the relocation and/or adjustment of their facilities on or before June 1, 2003. The roadway contractor will be unable to perform any work around the utility poles right of stations 101+35, 103+15, 105+20 and 106+80 unless permission is given by the resident engineer. Contact: Mr. Jim Bradshaw, Phone 502-875-6660.

Kentucky Utilities Company – The electric company anticipates the completion of the relocation and/or adjustment of their facilities on or before June 1, 2003. The roadway contractor will be unable to perform any work around the utility poles right of stations 101+35, 103+15, 105+20 and 106+80 unless permission is given by the resident engineer. Contact: Mr. Kevin Montgomery, Phone 859-744-1534.

Adelphia Communications – The cable television company anticipates the completion of the relocation and/or adjustment of their facilities on or before June 1, 2003. The roadway contractor will be unable to perform any work around the utility poles right of stations 101+35, 103+15, 105+20 and 106+80 unless permission is given by the resident engineer. Contact: Mr. Elbert Lamb, Phone 859-624-9666, Extension 3016.

There are no railroads involved on this project.

PROTECTION OF UTILITIES

The location of utilities provided in the contract documents has been furnished by the facility owners and/or by reviewing record drawings and may not be accurate. It will be the roadway contractor's responsibility to locate utilities before excavating by calling the various utility owners and by examining any supplemental information supplied by the cabinet. If necessary, the roadway contractor shall determine the exact location and elevation of utilities by hand digging to expose utilities before excavating in the area of a utility. The cost for repair and any other associated costs for any damage to utilities caused by the roadway contractor's operations shall be borne by the roadway contractor.

The Contractor is advised to contact the BUD one-call system at 1-800-752-6007; however, the Contractor should be aware that owners of underground facilities are not required to be members of the BUD one-call system. It may be necessary for the Contractor to contact the County Court Clerk to determine what utility companies have facilities in the project area.

COORDINATION WITH UTILITY FACILITY OWNERS

The Contractor will be responsible for contacting all utility facility owners on the subject project to have existing facilities located in the field. The Contractor will coordinate his/her activities with the utility facility owners to minimize and, where possible, avoid conflicts with utility facilities.

N O T I C E

DEPARTMENT OF THE ARMY
CORPS OF ENGINEERS
(NATIONWIDE PERMIT AUTHORIZATION)

PROJECT: Washington County, Item No. 4-1004.00
KY-1584, Bridge replacement at Poorhouse Branch

The Section 404 activities for this project have been previously permitted under the authority of the Department of the Army Nationwide Permit No. 14 *"LINEAR TRANSPORTATION CROSSINGS"* in accordance with 33 CFR 330, Appendix A, Part B. In order for this authorization to be valid, the conditions for Nationwide Permits must be followed. The contractor shall post a copy of this Nationwide Permit in a conspicuous location at the project site for the duration of construction and comply with the attached conditions as required.

To more readily expedite construction, the contractor may elect to alter the design or perform the work in a manner different from what was originally proposed and specified. Prior to commencing such alternative work, the contractor shall obtain **written** permission from the Division of Construction and the Corps of Engineers. A copy of any request to the Corps of Engineers to alter this proposal and subsequent responses shall be forwarded to the Division of Environmental Analysis, DA Permit Coordinator, for office records and for informational purposes.

DEPARTMENT OF THE ARMY
U.S. ARMY ENGINEER DISTRICT, LOUISVILLE
CORPS OF ENGINEERS
P.O. BOX 59
LOUISVILLE, KENTUCKY 40201-0059
FAX: (502) 315-6677
http://www.lrl.usace.army.mil/

October 18, 2002

Operations Division
Regulatory Branch (South)
ID No. 200201251-par

Mr. Keith Crim
Commonwealth of Kentucky
Transportation Cabinet
125 Holmes Street
Frankfort, Kentucky 40622

Dear Mr. Crim:

This is in response to your request for authorization to construct a 26-foot, single span bridge to replace a substandard 21-foot bridge on Kentucky Route 1584 over Poorhouse Branch in Washington County, Kentucky. The information supplied by you was reviewed to determine whether a Department of the Army (DA) permit will be required under the provisions of Section 404 of the Clean Water Act.

Your project is considered a discharge of backfill or bedding material for a road crossing. The project is authorized under the provisions of 33 CFR 330 A Nationwide Permit (NWP) No. 14, Linear Transportation Crossings, as published in the Federal Register January 15,2002. Under the provisions of this authorization you must comply with the enclosed:

1. Terms for Nationwide Permit No. 14;

2. Nationwide Permit General Conditions; and

3. Water Quality Certification (WQC) Conditions for Nationwide Permit No. 14 dated March 17, 2002, issued by the Kentucky Division of Water.

Once you obtain your certification, or if no application was required, you may proceed with the project without further contact or verification from us. This authorization does not cover any temporary low-water crossings that may be used during construction. In the event that low-water crossings are used, separate authorization for that activity will need to be obtained prior to construction.

The enclosed Compliance Certification should be signed and returned when the project is completed. This decision is valid for 2 years from the date of this letter. If your project is not completed within this 2-year period or if your project is modified you must contact us for another permit determination. A copy of this letter is being sent to the Division of Water.

If you have any questions, please contact Ms. Patricia A. Richerson by writing to the above address, ATTN: CELRL-OP-FS, or by calling (502) 315-6687. Any correspóndence on this matter should refer to our ID No. 200201251-par.

Sincerely,

Lee Anne Devine
Chief, South Section
Regulatory Branch

Enclosures

ADDRESS FOR COORDINATING AGENCY

Mr. Jack A. Wilson
Director
Division of Water
Natural Resources and Environmental
  Protection Cabinet
18 Reilly Road, Ash Building
Frankfort, Kentucky 40601

TERMS FOR NATIONWIDE PERMIT NO. 14

Activities required for the construction, expansion, modification, or improvement of linear transportation crossings (e.g., highways, railways, trails, and airport runways and taxiways) in waters of the United States, including wetlands, provided the activity meets the following criteria:

a. This NWP is subject to the following acreage and linear limits:

(1) For public linear transportation projects in non-tidal waters, provided the discharge does not cause the loss of greater than 1/2 acre of waters of the United States, or

(2) For public linear transportation projects in tidal waters or non-tidal wetlands adjacent to tidal waters, provided the discharge does not cause the loss of greater than 1/3 acre of waters of the United States,

b. The permittee must notify the District Engineer in accordance with General Condition 13 if any of the following criteria are met:

(1) The discharge causes the loss of greater than 1/10 acre of waters of the United States; or

(2) There is a discharge in a special aquatic site, including wetlands;

c. The notification must include a compensatory mitigation proposal to offset permanent losses of waters of the United States to ensure that those losses result only in minimal adverse effects to the aquatic environment and a statement describing how temporary losses of waters of the United States will be minimized to the maximum extent practicable;

d. For discharges in special aquatic sites, including wetlands, the notification must include a delineation of the affected special aquatic sites;

e. The width of the fill is limited to the minimum necessary for the crossing;

f. This permit does not authorize stream channelization, and the authorized activities must not cause more than minimal changes to the hydraulic flow characteristics of the stream, increase flooding, or cause more than minimal degradation of water quality of any stream (see General Conditions 9 and 21);

g. This permit cannot be used to authorize non-linear features commonly associated with transportation projects, such as vehicle maintenance or storage buildings, parking lots, train stations, or aircraft hangars; and

h. The crossing is a single and complete project for crossing a water of the United States. Where a road segment (i.e., the shortest segment of a road with independent utility that is part of a larger project) has multiple crossings of streams (several single and complete projects) the Corps will consider whether it should use its discretionary authority to require an individual permit. (Sections 10 and 404)Note: Some discharges for the construction of farm roads, forest roads, or temporary roads for moving mining equipment may be eligible for an exemption from the need for a Section 404 permit (see 33 CFR 323.4).

NATIONWIDE PERMIT CONDITIONS

General Conditions: The following general conditions must be followed in order for any authorization by a NWP to be valid:

1. **Navigation.** No activity may cause more than a minimal adverse effect on navigation.

2. **Proper Maintenance.** Any structure or fill authorized shall be properly maintained, including maintenance to ensure public safety.

3. **Soil Erosion and Sediment Controls.** Appropriate soil erosion and sediment controls must be used and maintained in effective operating condition during construction, and all exposed soil and other fills, as well as any work below the ordinary high water mark or high tide line, must be permanently stabilized at the earliest practicable date. Permittees are encouraged to perform work within waters of the United States during periods of low-flow or no-flow.

4. **Aquatic Life Movements.** No activity may substantially disrupt the life-cycle movements of those species of aquatic life indigenous to the waterbody, including those species that normally migrate through the area, unless the activity's primary purpose is to impound water. Culverts placed in streams must be installed to maintain low flow conditions.

5. **Equipment.** Heavy equipment working in wetlands must be placed on mats, or other measures must be taken to minimize soil disturbance.

6. **Regional and Case-By-Case Conditions.** The activity must comply with any regional conditions, which may have been added by the Division Engineer (see 33 CFR 330.4(e)) and with any case specific conditions added by the Corps or by the state or tribe in its Section 401 Water Quality Certification and Coastal Zone Management Act consistency determination.

7. **Wild and Scenic Rivers.** No activity may occur in a component of the National Wild and Scenic River System; or in a river officially designated by Congress as a "study river" for possible mix inclusion in the system, while the river is in an official study status; unless the appropriate Federal agency, with direct management responsibility for such river, has determined in writing that the proposed activity will not adversely affect the Wild and Scenic River designation, or study status. Information on Wild and Scenic Rivers may be obtained from the appropriate Federal land management agency in the area (e.g., National Park Service, US Forest Service, Bureau of Land Management, US Fish and Wildlife Service).

8. **Tribal Rights.** No activity or its operation may impair reserved tribal rights, including, but not limited to, reserved water rights and treaty fishing and hunting rights.

9. **Water Quality.** (a) In certain States and tribal lands an individual 401 water quality certification must be obtained or waived (See 33 CFR 330.4(c)).

(b) For NWPs 12, 14, 17, 18, 32, 39, 40, 42, 43, and 44, where the State or tribal 401 certification (either generically or individually) does not require or approve a water quality management measures, the permittee must provide water quality management measures that will ensure that the authorized work does not result in more than minimal degradation of water quality (or the Corps determines that compliance with state or local standards, where applicable, will ensure no more than minimal adverse effect on water quality). An important component of a water quality management plan includes stormwater management that minimizes degradation of the downstream aquatic system, including water quality (Refer to General Condition 21 for stormwater management requirements). Another important component of a water quality management plan is the establishment and maintenance of vegetated buffers next to open waters, including streams (Refer to General Condition 19 for vegetated buffer requirements for the NWPs). This condition is only applicable to projects that have the potential to affect water quality. While appropriate measures must be taken, in most cases it is not necessary to conduct detailed studies to identify such measures or to require monitoring.

10. **Coastal Zone Management.** In certain states, an individual state coastal zone management consistency concurrence must be obtained or waived (see 33 CFR 330.4(d)).

11. **Endangered Species.** (a) No activity is authorized under any NWP, which is likely to jeopardize the continued existence of a threatened or endangered species, or a species proposed for such designation, as identified under the Federal Endangered Species Act, or which will destroy or adversely modify the critical habitat of such species. Non-federal permittees shall notify the District Engineer if any listed species or designated critical habitat might be affected or is in the vicinity of the project, or is located in the designated critical habitat and shall not begin work on the activity until notified by the District Engineer that the requirements of the Endangered Species Act have been satisfied and that the activity is authorized. For activities that may affect Federally-listed endangered or threatened species or designated critical habitat, the notification must include the name(s) of the endangered or threatened species that may be affected by the proposed work or that utilize the designated critical habitat that may be affected by the proposed work. As a result of formal or informal consultation with the FWS or NMFS, the District Engineer may add species-specific regional endangered species conditions to the NWPs.

(b) Authorization of an activity by a nationwide permit does not authorize the 'take' of a threatened or endangered species as defined under the Federal Endangered Species Act. In the absence of separate authorization (e.g., an ESA Section 10 Permit, a Biological Opinion with 'incidental take' provisions, etc.) from the US Fish and Wildlife Service or the National Marine Fisheries Service, both lethal and non-lethal 'takes' of protected species are in violation of the Endangered Species Act. Information on the location of threatened and endangered species and their critical habitat can be obtained directly from the offices of the US Fish and Wildlife Service and National Marine Fisheries Service or their World Wide Web pages at http://www.fws.gov/r9endspp/endspp.html and http://www.nfms.noaa.gov/prot__res/overview/es.html, respectively.

12. **Historic Properties.** No activity, which may affect historic properties, listed, or eligible for listing, in the National Register of Historic Places is authorized, until the DE has complied with the provisions of 33 CFR part 325, Appendix C. The prospective permittee must notify the District Engineer if the authorized activity may affect any historic properties listed, determined to be eligible, or which the prospective permittee has reason to believe may be eligible for listing on the National Register of Historic Places, and shall not begin the activity until notified by the District Engineer that the requirements of the National Historic Preservation Act have been satisfied and that the activity is authorized. Information on the location and existence of historic resources can be obtained from the State Historic Preservation Office and the National Register of Historic Places (see 33 CFR 330.4(g)). For activities that may affect historic properties listed in, or eligible for listing in, the National Register of Historic Places, the notification must state which historic property may be affected by the proposed work or include a vicinity map indicating the location of the historic property.

13. **Notification.** (a) Timing: Where required by the terms of the NWP, the prospective permittee must notify the District Engineer with a preconstruction notification (PCN) as early as possible. The District Engineer must determine if the PCN is complete within 30 days of the date of receipt and can request the additional information necessary to make the PCN complete only once. However, if the prospective permittee does not provide all of the requested information, then the District Engineer will notify the prospective permittee that the PCN is still incomplete and the PCN review process will not commence until all of the requested information has been received by the District Engineer. The prospective permittee shall not begin the activity:

(1) Until notified in writing by the District Engineer that the activity may proceed under the NWP with any special conditions imposed by the District or Division Engineer; or

(2) If notified in writing by the District or Division Engineer that an individual permit is required; or

(3) Unless 45 days have passed from the District Engineer's receipt of the complete notification and the prospective permittee has not received written notice from the District or Division Engineer. Subsequently, the permittee's right to proceed under the NWP may be modified, suspended, or revoked only in accordance with the procedure set forth in 33 CFR 330.5(d)(2).

(b) Contents of Notification: The notification must be in writing and include the following information:

(1) Name, address, and telephone numbers of the prospective permittee;

(2) Location of the proposed project;

(3) Brief description of the proposed project; the project's purpose; direct and indirect adverse environmental effects the project would cause; any other NWP(s), regional general permit(s), or individual permit(s) Used or intended to be Used to authorize any part of the proposed project or any related activity. Sketches should be provided when necessary to show that the activity complies with the terms of the NWP (Sketches usually clarify the project and when provided result in a quicker decision); and

(4) For NWPs 7, 12, 14, 18, 21, 34, 38, 39, 40, 41, 42, and 43, the PCN must also include a delineation of affected special aquatic sites, including wetlands, vegetated shallows (e.g., submerged aquatic vegetation, seagrass beds), and riffle and pool complexes (see paragraph 13(f));

(5) For NWP 7, Outfall Structures and Maintenance, the PCN must include information regarding the original design capacities and configurations of those areas of the facility where maintenance dredging or excavation is proposed.

(6) For NWP 14, Linear Transportation Projects, the PCN must include a compensatory mitigation proposal to offset permanent losses of waters of the US and a statement describing how temporary losses of waters of the US will be minimized to the maximum extent practicable.

(7) For NWP 21, Surface Coal Mining Activities, the PCN must include an Office of Surface Mining (OSM) or state-approved mitigation plan. To be authorized by this NWP, the District Engineer must determine that the activity complies with the terms and conditions of the NWP and that the adverse environmental effects are minimal both individually and cumulatively and must notify the project sponsor of this determination in writing;

(8) For NWP 27, Stream and Wetland Restoration Activities, the PCN must include documentation of the prior condition of the site that will be reverted by the permittee.

(9) For NWP 29, Single-Family Housing; the PCN must also include:

(i) Any past use of this NWP by the individual permittee and/or the permittee's spouse;

(ii) A statement that the single-family housing activity is for a personal residence of the permittee;

(iii) A description of the entire parcel, including its size, and a delineation of wetlands. For the purpose of this NWP, parcels of land measuring 1/4 acre or less will not require a formal on-site delineation. However, the applicant shall provide an indication of

where the wetlands are and the amount of wetlands that exists on the property. For parcels greater than 1/4 acre in size, a formal wetland delineation must be prepared in accordance with the current method required by the Corps. (See paragraph 13(f));

(iv) A written description of all land (including, if available, legal descriptions) owned by the prospective permittee and/or the prospective permittee's spouse, within a one mile radius of the parcel, in any form of ownership (including any land owned as a partner, corporation, joint tenant, co-tenant, or as a tenant-by-the-entirety) and any land on which a purchase and sale agreement or other contract for sale or purchase has been executed;

(10) For NWP 31, Maintenance of Existing Flood Control Facilities, the prospective permittee must either notify the District Engineer with a PCN prior to each maintenance activity or submit a five year (or less) maintenance plan. In addition, the PCN must include all of the following:

(i) Sufficient baseline information so as to identify the approved channel depths and configurations and existing facilities. Minor deviations are authorized, provided the approved flood control protection or drainage is not increased;

(ii) A delineation of any affected special aquatic sites, including wetlands; and,

(iii) Location of the dredged material disposal site.

(11) For NWP 33, Temporary Construction, Access, and Dewatering, the PCN must also include a restoration plan of reasonable measures to avoid and minimize adverse effects to aquatic resources.

(12) For NWP's 39, 43, and 44, the PCN must also include a written statement to the District Engineer explaining how avoidance and minimization of losses of waters of the US were achieved on the project site.

(13) For NWP 39 and NWP 42, the PCN must include a compensatory mitigation proposal that offsets unavoidable losses of waters of the US or justification explaining why compensatory mitigation should not be required. For discharges that cause the loss of greater than 300 linear feet of an intermittent stream bed, to be authorized, the District Engineer must determine that the activity complies with the other terms and conditions of the NWP, determine adverse environmental effects are minimal both individually and cumulatively, and waive the limitation on stream impacts in writing before the permitttee may proceed;

(14) For NWP 40 (Agricultural Activities), the PCN must include a compensatory mitigation proposal to offset losses of waters of the US. This NWP does not authorize the relocation of greater than 300 linear-feet of existing serviceable drainage ditches constructed in non-tidal streams unless, for drainage ditches constructed in intermittent non-tidal streams, the District Engineer waives this criterion in writing, and the District Engineer has determined that the project complies with all terms and conditions of this NWP, and that any adverse impacts of the project on the aquatic environment are minimal, both individually and cumulatively;

(15) For NWP 43 (Stormwater Management Facilities), the PCN must include, for the construction of new stormwater management facilities, a maintenance plan (in accordance with state and local requirements, if applicable) and a compensatory mitigation proposal to offset losses of waters of the US. For discharges that cause the loss of greater than 300 linear feet of an intermittent streambed, to be authorized, the District Engineer must determine that the activity complies with the other terms and conditions of the NWP, determine adverse environmental effects are minimal both individually and cumulatively, and waive the limitation on stream impacts in writing before the permittee may proceed;

(16) For NWP 44, Mining Activities, the PCN must include a description of all waters of the US adversely affected by the project, a description of measures taken to minimize adverse effects to waters of the US, a description of measures taken to comply with the criteria of the NWP, and a reclamation plan (for aggregate mining activities in isolated waters and non-tidal wetlands adjacent to headwaters and any hard rock/mineral mining activities).

--- (17) For activities that may adversely affect Federally-listed endangered or threatened species, the PCN must include the name(s) of those endangered or threatened species that may be affected by the proposed work or utilize the designated critical habitat that may be affected by the proposed work.

(18) For activities that may affect historic properties listed in, or eligible for listing in, the National Register of Historic Places, the PCN must state which historic property may be affected by the proposed work or include vicinity map indicating the location of the historic property.

(c) Form of Notification: The standard individual permit application form (Form ENG 4345) may be Used as the notification but must clearly indicate that it is a PCN and must include all of the information required in (b) (1)-(19) of General Condition 13. A letter containing the requisite information may also be used.

(d) District Engineer's Decision: In reviewing the PCN for the proposed activity, the District Engineer will determine whether the activity authorized by the NWP will result in more than minimal individual or cumulative adverse environmental effects or may be contrary to the public interest. The prospective permittee may, optionally, submit a proposed mitigation plan with the PCN to expedite the process and the District Engineer will consider any proposed compensatory mitigation the applicant has included in the proposal in determining whether the net adverse environmental effects to the aquatic environment of the proposed work are minimal. If the District Engineer determines that the activity complies with the terms and conditions of the NWP and that the adverse effects on the aquatic environment are minimal, the District Engineer will notify the permittee and include any conditions the District Engineer deems necessary. Any compensatory mitigation proposal must be approved by the District Engineer prior to commencing work. If the prospective permittee is required to submit a compensatory mitigation proposal with the PCN, the proposal may be either conceptual or detailed. If the prospective permittee elects to submit a compensatory mitigation plan with the PCN, the District Engineer will expeditiously review the proposed compensatory mitigation plan. The District Engineer must review the plan within 45 days of receiving a complete PCN and determine whether the conceptual or specific proposed mitigation would ensure no more than minimal

adverse effects on the aquatic environment. If the net adverse effects of the project on the aquatic environment (after consideration of the compensatory mitigation proposal) are determined by the District Engineer to be minimal, the District Engineer will provide a timely written response to the applicant stating that the project can proceed under the terms and conditions of the nationwide permit. If the District Engineer determines that the adverse effects of the proposed work are more than minimal, then he will notify the applicant either: (1) That the project does not qualify for authorization under the NWP and instruct the applicant on the procedures to seek authorization under an individual permit; (2) that the project is authorized under the NWP subject to the applicant's submission of a mitigation proposal that would reduce the adverse effects on the aquatic environment to the minimal level; or (3) that the project is authorized under the NWP with specific modifications or conditions. Where the District Engineer determines that mitigation is required in order to ensure no more than minimal adverse effects on the aquatic environment, the activity will be authorized within the 45-day PCN period, including the necessary conceptual or specific mitigation or a requirement that the applicant submit a mitigation proposal that would reduce the adverse effects on the aquatic environment to the minimal level. When conceptual mitigation is included, or a mitigation plan is required under item (2) above, no work in waters of the US will occur until the District Engineer has approved a specific mitigation plan.

(e) Agency Coordination: The District Engineer will consider any comments from Federal and State agencies concerning the proposed activity's compliance with the terms and conditions of the NWPs and the need for mitigation to reduce the project's adverse effects on the aquatic environment to a minimal level.

For activities requiring notification to the District Engineer that result in the loss of greater than 1/2 acre of waters of the US, the District Engineer will, upon receipt of a notification, provide immediately (e.g., via facsimile transmission, overnight mail, or other expeditious manner), a copy to the appropriate offices of the Fish and Wildlife Service, State natural resource or water quality agency, EPA, State Historic Preservation Officer (SHPO), and, if appropriate, the National Marine Fisheries Service. With the exception of NWP 37, these agencies will then have 10 calendar days from the date the material is transmitted to telephone or fax the District Engineer notice that they intend to provide substantive, site-specific comments. If so contacted by an agency, the District Engineer will wait an additional 15 calendar days before making a decision on the notification. The District Engineer will fully consider agency comments received within the specified time frame, but will provide no response to the resource agency, except as provided below. The District Engineer will indicate in the administrative record associated with each notification that the resource agencies' concerns were considered. As required by Section 305(b)(4)(B) of the Magnuson-Stevens Fishery Conservation and Management Act, the District Engineer will provide a response to National Marine Fisheries Service within 30 days of receipt of any Essential Fish Habitat conservation recommendations. Applicants are encouraged to provide the Corps multiple copies of notifications to expedite agency notification.

(f) Wetlands Delineations: Wetland delineations must be prepared in accordance with the current method required by the Corps. For NWP 29 see paragraph (b)(9)(iii) for parcels less than 1/4 acre in size. The permittee may ask the Corps to delineate the special aquatic site. There may be some delay if the Corps does the delineation. Furthermore, the 45-day period will not start until the wetland delineation has been completed and submitted to the Corps, where appropriate.

14. **Compliance Certification.** Every permittee who has received a nationwide permit verification from the Corps will submit a signed certification regarding the completed work and any required mitigation. The certification will be forwarded by the Corps with the authorization letter. The certification will include: (a) A statement that the authorized work was done in accordance with the Corps authorization, including any general or specific conditions; (b) A statement that any required mitigation was completed in accordance with the permit conditions; and (c) The signature of the permittee certifying the completion of the work and mitigation.

15. **Use of Multiple Nationwide Permits.** The use of more than one NWP for a single and complete project is prohibited, except when the acreage loss of waters of the US authorized by the NWPs does not exceed the acreage limit of the NWP with the highest specified acreage limit. For example, if a road crossing over tidal waters is constructed under NWP 14, with associated bank stabilization authorized by NWP 13, the maximum acreage loss of waters of the US for the total project cannot exceed 1/3 acre.

16. **Water Supply Intakes.** No activity, including structures and work in navigable waters of the US or discharges of dredged or fill material, may occur in the proximity of a public water supply intake except where the activity is for repair of the public water supply intake structures or adjacent bank stabilization.

17. **Shellfish Beds.** No activity, including structures and work in navigable waters of the US or discharges of dredged or fill material, may occur in areas of concentrated shellfish populations, unless the activity is directly related to a shellfish harvesting activity authorized by NWP 4.

18. **Suitable Material.** No activity, including structures and work in navigable waters of the US or discharges of dredged or fill material, may consist of unsuitable material (e.g., trash, debris, car bodies, asphalt, etc.) and material Used for construction or discharged must be free from toxic pollutants in toxic amounts (see Section 307 of the Clean Water Act).

19. **Mitigation.** The District Engineer will consider the factors discussed below when determining the acceptability of appropriate and practicable mitigation necessary to offset adverse effects on the aquatic environment that are more than minimal.

(a) The project must be designed and constructed to avoid and minimize adverse effects to waters of the US to the maximum extent practicable at the project site (i.e., on site).

(b) Mitigation in all its forms (avoiding, minimizing, rectifying, reducing or compensating) will be required to the extent necessary to ensure that the adverse effects to the aquatic environment are minimal.

(c) Compensatory mitigation at a minimum one-for-one ratio will be required for all wetland impacts requiring a PCN, unless the District Engineer determines in writing that some other form of mitigation would be more environmentally appropriate and provides a project-specific waiver of this requirement. Consistent with National policy, the District Engineer will establish a preference for restoration of wetlands as compensatory mitigation, with preservation used only in exceptional circumstances.

(d) Compensatory mitigation (i.e., replacement or substitution of aquatic resources for those impacted) will not be used to increase the acreage losses allowed by the acreage limits of some of the NWPs. For example, 1 /4 -acre of wetlands cannot be created to change a 3 /4 -acre loss of wetlands to a 1 /2 -acre loss associated with NWP 39 verification. However, 1 /2 -acre of created wetlands can be used to reduce the impacts of a 1 /2 -acre loss of wetlands to the minimum impact level in order to meet the minimal impact requirement associated with NWPs.

(e) To be practicable, the mitigation must be available and capable of being done considering costs, existing technology, and logistics in light of the overall project purposes. Examples of mitigation that may be appropriate and practicable include, but are not limited to: reducing the size of the project; establishing and maintaining wetland or upland vegetated buffers to protect open waters such as streams; and replacing losses of aquatic resource functions and values by creating, restoring, enhancing, or preserving similar functions and values, preferably in the same watershed.

(f) Compensatory mitigation plans for projects in or near streams or other open waters will normally include a requirement for the establishment, maintenance, and legal protection (e.g., easements, deed restrictions) of vegetated buffers to open waters. In many cases, vegetated buffers will be the only compensatory mitigation required. Vegetated buffers should consist of native species. The width of the vegetated buffers required will address documented water quality or aquatic habitat loss concerns. Normally, the vegetated buffer will be 25 to 50 feet wide on each side of the stream, but the District Engineers may require slightly wider vegetated buffers to address documented water quality or habitat loss concerns. Where both wetlands and open waters exist on the project site, the Corps will determine the appropriate compensatory mitigation (e.g., stream buffers or wetlands compensation) based on what is best for the aquatic environment on a watershed basis. In cases where vegetated buffers are determined to be the most appropriate form of compensatory mitigation, the District Engineer may waive or reduce the requirement to provide wetland compensatory mitigation for wetland impacts.

(g) Compensatory mitigation proposals submitted with the "notification" may be either conceptual or detailed. If conceptual plans are approved under the verification, then the Corps will condition the verification to require detailed plans be submitted and approved by the Corps prior to construction of the authorized activity in waters of the US.

(h) Permittees may propose the use of mitigation banks, in-lieu fee arrangements or separate activity-specific compensatory mitigation. In all cases that require compensatory mitigation, the mitigation provisions will specify the party responsible for accomplishing and/or complying with the mitigation plan.

20. **Spawning Areas.** Activities, including structures and work in navigable waters of the US or discharges of dredged or fill material, in spawning areas during spawning seasons must be avoided to the maximum extent practicable. Activities that result in the physical destruction (e.g., excavate, fill, or smother downstream by substantial turbidity) of an important spawning area are not authorized.

21. **Management of Water Flows.** To the maximum extent practicable, the activity must be designed to maintain preconstruction downstream flow conditions (e.g., location, capacity, and flow rates). Furthermore, the activity must not permanently restrict or impede the passage of normal or expected high flows (unless the primary purpose of the fill is to impound waters) and the structure or discharge of dredged or fill material must withstand expected high flows. The activity must, to the maximum extent practicable, provide for retaining excess flows from the site, provide for maintaining surface flow rates from the site similar to preconstruction conditions, and provide for not increasing water flows from the project site, relocating water, or redirecting water flow beyond preconstruction conditions. Stream channelizing will be reduced to the minimal amount necessary, and the activity must, to the maximum extent practicable, reduce adverse effects such as flooding or erosion downstream and upstream of the project site, unless the activity is part of a larger system designed to manage water flows. In most cases, it will not be a requirement to conduct detailed studies and monitoring of water flow.

This condition is only applicable to projects that have the potential to affect waterflows. While appropriate measures must be taken, it is not necessary to conduct detailed studies to identify such measures or require monitoring to ensure their effectiveness. Normally, the Corps will defer to state and local authorities regarding management of water flow.

22. **Adverse Effects From Impoundments.** If the activity, including structures and work in navigable waters of the US or discharge of dredged or fill material, creates an impoundment of water, adverse effects on the aquatic system caused by the accelerated passage of water and/or the restriction of its flow shall be minimized to the maximum extent practicable.

23. **Waterfowl Breeding Areas.** Activities, including structures and work in navigable waters of the US or discharges of dredged or fill material, into breeding areas for migratory waterfowl must be avoided to the maximum extent practicable.

24. **Removal of Temporary Fills.** Any temporary fills must be removed in their entirety and the affected areas returned to their preexisting elevation.

25. **Designated Critical Resource Waters.** Critical resource waters include, NOAA-designated marine sanctuaries, National Estuarine Research Reserves, National Wild and Scenic Rivers, critical habitat for Federally listed threatened and endangered species, coral reefs, State natural heritage sites, and outstanding national resource waters or other waters officially designated by a State as having particular environmental or ecological significance and identified by the District Engineer after notice and opportunity for public comment. The District Engineer may also designate additional critical resource waters after notice and opportunity for comment.

(a) Except as noted below, discharges of dredged or fill material into waters of the US are not authorized by NWPs 7, 12, 14, 16, 17, 21, 29, 31, 35, 39, 40, 42, 43, and 44 for any activity within, or directly affecting, critical resource waters, including wetlands adjacent to such waters. Discharges of dredged or fill materials into waters of the US may be authorized by the above NWPs in National Wild and Scenic Rivers if the activity complies with General Condition 7. Further, such discharges may be authorized in designated critical habitat for Federally listed threatened or endangered species if the activity complies with General Condition 11 and the US Fish and Wildlife Service or the National Marine Fisheries Service has concurred in a determination of compliance with this condition.

(b) For NWPs 3, 8, 10, 13, 15, 18, 19, 22, 23, 25, 27, 28, 30, 33, 34, 36, 37, and 38, notification is required in accordance with General Condition 13, for any activity proposed in the designated critical resource waters including wetlands adjacent to those waters. The District Engineer may authorize activities under these NWPs only after he determines that the impacts to the critical resource waters will be no more than minimal.

26. **Fills Within 100-Year Floodplains.** For purposes of this General Condition, 100-year floodplains will be identified through the existing Federal Emergency Management Agency's (FEMA) Flood Insurance Rate Maps or FEMA-approved local floodplain maps.

(a) *Discharges in Floodplain; Below Headwaters.* Discharges of dredged or fill material into waters of the US within the mapped 100-year floodplain, below headwaters (i.e. five cfs), resulting in permanent above-grade fills, are not authorized by NWPs 39, 40, 42, 43, and 44.

(b) *Discharges in Floodway; Above Headwaters.* Discharges of dredged or fill material into waters of the US within the FEMA or locally mapped floodway, resulting in permanent above-grade fills, are not authorized by NWPs 39, 40, 42, and 44.

(c) The permittee must comply with any applicable FEMA-approved state or local floodplain management requirements.

27. Construction Period. For activities the Corps has not verified that and the project were commenced or under contract to commence by the expiration date of the NWP (or modification or revocation date), the work must be completed within 12- months after such date (including any modification that affects the project).

For activities that have been verified and the project was commenced or under contract to commence within the verification period, the work must be completed by the date determined by the Corps.

For projects that have been verified by the Corps, an extension of a Corps approved completion date maybe requested. This request must be submitted at least one month before the previously approved completion date.

D. Further Information

1. District engineers have authority to determine if an activity complies with the terms and conditions of an NWP.
2. NWPs do not obviate the need to obtain other Federal, State, or local permits, approvals, or authorizations required by law.
3. NWPs do not grant any property rights or exclusive privileges.
4. NWPs do not authorize any injury to the property or rights of others.
5. NWPs do not authorize interference with any existing or proposed Federal project.

<u>Section 10 Special Condition</u>: The permittee understands and agrees that, if future operations by the US require the removal, relocation, or other alteration, of the structure or work herein authorized, or if, in the opinion of the Secretary of the Army or is authorized representative, said structure or work shall cause unreasonable obstruction to the free navigation of the navigable waters, the permittee will be required, upon due notice from the Corps of Engineers, to remove, relocate, or alter the structure work or obstructions caused thereby, without expense to the US. No claim shall be made against the US on account of any such removal or alteration.

JAMES E. BICKFORD
SECRETARY

PAUL E. PATTON
GOVERNOR

COMMONWEALTH OF KENTUCKY
NATURAL RESOURCES AND ENVIRONMENTAL PROTECTION CABINET
DEPARTMENT FOR ENVIRONMENTAL PROTECTION
FRANKFORT OFFICE PARK
14 REILLY RD
FRANKFORT KY 40601

General Certification--Nationwide Permit #14
Road Crossings

This General Certification is issued on March 17, 2002, in conformity with the requirements of Section 401 of the Clean Water Act of 1977, as amended (33USC 1314), as well as Kentucky Statute KRS 224.16-070.

The Commonwealth of Kentucky hereby certifies under Section 401 of the Clean Water Act (CWA) that it has reasonable assurances that applicable water quality standards under Kentucky Administrative Regulations Title 401, Chapter 5, established pursuant to Sections 301, 302, 304, 306 and 307 of the CWA, will not be violated for the activity covered under 33 CFR Part 330 Appendix A(B) (14), namely road crossings provided that the following conditions are met:

1. Individual road culvert or bridges, either for public or private purposes, that exceed 200 linear feet in width shall require an individual Water Quality Certification.

2. Stream and riparian impacts will be limited to the minimum necessary to construct the road crossing. For the purpose of this General Certification, streams are defined as a solid or dashed blue line on the most recent version of USGS 1:24,000 topographic map.

3. All equipment access and excavations within a stream, necessary to complete a road crossing project, shall be done in such a manner as to prevent degradation of Waters of the Commonwealth. Temporary equipment crossing structures shall be constructed with sufficient pipe capacity so as not to impede normal stream flow.

4. Stream bed gravel and rock shall not be used for construction material.

5. The stream crossing structure shall be constructed in such a manner that does not impede the movement of aquatic organisms. The bottom of any culverts shall be level with the stream bed.

6. This General Certification shall not apply to those waters of the Commonwealth identified as Outstanding State Resource Waters, Exceptional Waters or Cold Water Aquatic Habitat Waters, as designated by the Division of Water. An individual Water Quality Certification will be required for projects in these waters.

7. Stream impacts covered under this nationwide permit and undertaken by those persons defined as an agricultural operation under the Agricultural Water Quality Act must be completed in compliance with the Kentucky Agricultural Water Quality Plan.

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Non-compliance with the conditions of this general certification or violation of Kentucky state water quality standards may result in civil penalties.

This general certification will expire on March 19, 2007, or sooner if the COE makes significant changes to this nationwide permit.

Compliance Certification:

Permit Number: 200201251-par

Name of Permittee: Commonwealth of Kentucky Transportation Cabinet

Date of Issuance: October 18, 2002

Upon completion of the activity authorized by this permit and any mitigation required by this permit, sign this certification and return it to the following address:

U.S. Army Corps of Engineers
CELRL-OP-FS
P.O. Box 59
Louisville, Kentucky 40201

Please note that your permitted activity is subject to a compliance inspection by an U.S. Army Corps of Engineers representative. If you fail to comply with this permit you are subject to permit suspension, modification, or revocation.

I hereby certify that the work authorized by the above referenced permit has been completed in accordance with the terms and conditions of the said permit, and required mitigation was completed in accordance with the permit conditions.

_____ _____

Signature of Permittee Date

PART II

SPECIAL PROVISIONS APPLICABLE TO PROJECT

SPECIAL PROVISION NO.	TITLE

NO SPECIAL PROVISIONS APPLY TO THIS PROJECT

PART III

EMPLOYMENT, WAGE AND RECORD REQUIREMENTS
(Copies of Each Attached)

1. Schedule of Minimum Wages Established for the Project.
2. FHWA 1273 (Rev. 3-94) Required Contract Provisions.
3. Employment Requirements Relating to Non-Discrimination of Employees Applicable to Federal Aid System Contracts (12-3-92).
4. Notice of Requirements for Affirmative Action to Ensure Equal Employment Opportunity (Executive Order 11246).
5. Executive Branch Code of Ethics.

TRANSPORTATION CABINET
DIVISION OF CONTRACT PROCUREMENT
COMPLIANCE SECTION

SHEET ONE
LETTING: 02-14-2003

PROJECT WAGE RATES
WASHINGTON COUNTY, BRZ 0403 (160), FD52 115 1584 000-001
The Springfield-Willisburg Road (KY 1584)
Grade, Drain and Asphalt Surface

	HIGHWAY BASIC HOURLY RATES	FRINGE BENEFIT PAYMENTS COMBINED
CRAFTS		
Bullitt, Carroll, Grayson, Hardin, Henry, Jefferson, Larue, Marion, Meade, Nelson, Oldham, Shelby, Spencer and Trimble Counties:		
Bricklayers	20.00	5.43
Bracken, Gallatin, Grant, Mason and Robertson Counties:		
Bricklayers	22.96	7.39
Boyd, Carter, Elliott, Fleming, Greenup, Lewis and Rowan Counties:		
Bricklayers	23.04	8.32
Anderson, Bath, Bourbon, Boyle, Clark, Fayette, Franklin, Harrison, Jessamine, Madison, Mercer, Montgomery, Nicholas, Owen, Scott, Washington and Woodford Counties:		
Bricklayers	18.75	5.55
Layout Men	19.00	5.55
Refractory/Acid Brick/Glass	19.25	5.55
Breckinridge County:		
Bricklayers	24.15	6.55
All Counties		
Carpenters:	21.45	6.13
Piledrivermen	21.70	6.13
Divers	32.55	6.13
Bracken and Grant Counties:		
Millwrights	21.90	7.92
Anderson, Bath, Bourbon, Boyle, Clark, Fayette, Franklin, Harrison, Jessamine, Madison, Mercer, Montgomery, Nicholas, Owen, Scott and Woodford Counties:		
Millwrights	19.50	9.53
Boyd, Carter, Elliott, Fleming, Greenup, Lewis, Mason, Robertson, and Rowan Counties:		
Millwrights	20.79	14.04
Breckinridge, Bullitt, Carroll, Gallatin, Grayson, Hardin, Henry, Jefferson, Larue, Marion, Meade, Nelson, Oldham, Shelby, Spencer, Trimble and Washington Counties:		
Millwrights	22.25	10.30
Bracken, Gallatin and Grant Counties:		
Electricians	23.53	7.20
Sound Communications:		
Installer	18.00	3.475
CablePuller	9.00	2.64

Three/Federal-State

TRANSPORTATION CABINET
DIVISION OF CONTRACT PROCUREMENT
COMPLIANCE SECTION

PROJECT WAGE RATES **SHEET TWO** **02-14-2003**

WASHINGTON COUNTY, BRZ 0403 (160), FD52 115 1584 000-001

	HIGHWAY BASIC HOURLY RATES	FRINGE BENEFIT PAYMENTS COMBINED
CRAFTS (continued)		
Boyd, Carter, Elliott and Rowan Counties:		
Electricians:		
Electricians	23.11	11.04
Cable Splicers	24.27	11.08
Anderson, Bath, Bourbon, Boyle, Breckinridge, Bullitt, Carroll, Clark, Fayette, Franklin, Grayson, Hardin, Harrison, Henry, Jefferson, Jessamine, Larue, Madison, Marion, Meade, Mercer, Montgomery, Nelson, Nicholas, Oldham, Owen, Robertson, Scott, Shelby, Spencer, Trimble, Washington and Woodford Counties:		
Electricians	24.25	8.24
Fleming, Greenup, Lewis and Mason Counties:		
Electricians	26.80	7.33
Bourbon (Northern third, including Townships of Jackson, Millersburg, Ruddel Mills & Shawhan); Carroll (Eastern third, including the Township of Ghent); Fleming (Western part, excluding Townships of Beechburg, Colfax, Elizaville, Flemingsburg, Flemingsburg Junction, Foxport, Grange City, Hillsboro, Hilltop, Mount Carmel, Muses Mills, Nepton, Pecksridge, Plummers Landing, Plummers Mill, Poplar Plains, Ringos Mills, Tilton & Wallingford); Mason (Western two-thirds, including Townships of Dover, Lewisburg, Mays Lick, Maysville, Minerva, Moranburg, Murphysville, Ripley, Sardis, Shannon, South Ripley & Washington); Nicholas (Townships of Barefoot, Barterville, Carlisle, Ellisville, Headquarters, Henryville, Morningglory, Myers & Oakland Mills); Owen (Townships of Beechwood, Bromley, Fairbanks, Holbrook, Jonesville, Long Ridge, Lusby's Mill, New, New Columbus, New Liberty, Owenton, Poplar Grove, Rockdale, Sanders, Teresita & Wheatley); Scott (Northern two-thirds, including Townships of Biddle, Davis, Delaplain, Elmville, Longlick, Muddy Ford, Oxford, Rogers Gap, Sadieville, Skinnersburg & Stonewall) & Bracken, Gallatin, Grant, Harrison & Robertson Counties:		
Ironworkers:		
Structural	23.45	10.88
Fence Erector	21.11	10.88
Bourbon (Southern two-thirds, including Townships of Austerlity, Centerville, Clintonville, Elizabeth, Hutchison, Littlerock, North Middletown & Paris); Carroll (Western two-thirds, including Townships of Carrollton, Easterday, English, Locust, Louis, Prestonville & Worthville); Clark (Western two-thirds, including Townships of Becknerville, Flanagan, Ford, Pine Grove, Winchester & Wyandotte); Owen (Eastern eighth, including Townships of Glenmary, Gratz, Monterey, Perry Park & Tacketts Mill); Scott (Southern third, including Townships of Georgetown, Great Crossing, Newtown, Stamping Ground & Woodlake); Anderson, Boyle, Breckinridge, Bullitt, Fayette, Franklin, Grayson, Hardin, Henry, Jefferson, Jessamine, Larue, Madison, Marion, Meade, Mercer, Nelson, Oldham, Shelby, Spencer, Trimble, Washington & Woodford Counties:		
Ironworkers	23.25	10.87

PROJECT WAGE RATES **SHEET THREE** **02-14-2003**

WASHINGTON COUNTY, BRZ 0403 (160), FD52 115 1584 000-001

	HIGHWAY BASIC HOURLY RATES	FRINGE BENEFIT PAYMENTS COMBINED

CRAFTS (continued)

Bourbon (Northern third, including Townships of Jackson, Millersburg, Ruddel Mills & Shawhan); Carroll (Eastern third, including the Townships of Ghent); Fleming (Western part, excluding Townships of Beechburg, Colfax, Elizaville, Flemingsburg, Flemingsburg Junction, Foxport, Grange City, Hillsboro, Hilltop, Mount Carmel, Muses Mills, Nepton, Pecksridge, Plummers Landing, Plummers Mill, Poplar Plains, Ringos Mills, Tilton & Wallingford); Mason (Western two-thirds, including Townships of Dover, Lewisburg, Mays Lick, Maysville, Minerva, Moranburg, Murphysville, Ripley, Sardis, Shannon, South Ripley & Washington); Nicholas (Townships of Barefoot, Barterville, Carlisle, Ellisville, Headquarters, Henryville, Morningglory, Myers & Oakland Mills); Owen (Townships of Beechwood, Bromley, Fairbanks, Holbrook, Jonesville, Long Ridge, Lusby's Mill, New, New Columbus, New Liberty, Owenton, Poplar Grove, Rockdale, Sanders, Teresita & Wheatley); Scott (Northern two-thirds, including Townships of Biddle, Davis, Delaplain, Elmville, Longlick, Muddy Ford, Oxford, Rogers Gap, Sadieville, Skinnersburg & Stonewall);
Bracken, Gallatin, Grant, Harrison & Robertson Counties:
Ironworkers Reinforcing:
Up to and including 30- mile radius of Hamilton County, Ohio Courthouse..... 22.71.....10.47
Beyond 30- mile radius of Hamilton County, Ohio Courthouse ..... 22.96.....10.47
Clark (Eastern third, including Townships of Bloomingdale, Hunt, Indian Fields, Kiddville, Loglick, Rightangele & Thomson); Fleming (Townships of Beechburg, Colfax, Elizaville, Flemingsburg, Flemingsburg Junction, Foxport, Grange City, Hillsboro, Hilltop, Mount Carmel, Muses Mills, Nepton, Pecksridge, Plummers Landing, Plummers Mill, Poplar Plains, Ringos Mills, Tilton & Wallingford); Mason (Eastern third, including Townships of Helena, Marshall, Orangeburg, Plumville & Springdale); Nicholas (Eastern eighth, including the Township of Moorefield Sprout); Bath, Boyd, Carter, Elliott, Greenup, Lewis, Montgomery & Rowan Counties:
Ironworkers:
Zone 1 .....24.92 ..... 11.14
Zone 2 .....25.32 ..... 11.14
Zone 3 .....27.32 ..... 11.14

Zone 1 - Up to 10 mi. radius of union hall, Ashland, KY, 1643 Greenup Avenue;
Zone 2 - 10 to 50 mi. radius of union hall;
Zone 3 - 50 mi. radius and beyond.

TRANSPORTATION CABINET
DIVISION OF CONTRACT PROCUREMENT
COMPLIANCE SECTION

PROJECT WAGE RATES **SHEET FOUR** **02-14-2003**

WASHINGTON COUNTY, BRZ 0403 (160), FD52 115 1584 000-001

	HIGHWAY BASIC HOURLY RATES	FRINGE BENEFIT PAYMENTS COMBINED
CRAFTS (continued)		
Anderson, Breckinridge, Bullitt, Carroll, Grayson, Hardin, Henry, Jefferson, Larue, Marion, Meade, Nelson, Oldham, Shelby, Spencer, Trimble and Washington Counties:		
Painters:		
Brush	17.02	5.92
Abrasive Blaster, Fireproofing, Lead Abatement, Spray, & Waterblasting 4000 PSI and Above	17.52	5.92
Bracken, Gallatin, Grant, Mason, and Owen Counties:		
Painters:		
Elevated Tanks	22.30	5.10
(Heavy and Highway Bridges-Guardrails–Lightpoles-Striping):		
Bridge/Equipment Tender and/or Containment Builder	18.95	5.10
Brush and Roller	21.30	5.10
Spray	21.80	5.10
Sand Blasting and Hopper Tender; Water Blasting	22.05	5.10
Bridges when highest point of Clearance is 60 feet or more; & Lead Abatement Projects	22.30	5.10
Sandblasting, Hopper Tender, Waterblasting Bridges when highest point of Clearance is 60 feet or more;	23.05	5.10
Bath, Bourbon, Boyle, Clark, Fayette, Fleming, Franklin, Harrison, Jessamine, Madison, Mercer, Montgomery, Nicholas, Robertson, Scott and Woodford Counties		
Painters:		
Brush; Roll; Spray; Sandblasting; Steam Cleaning; Steeplejack Work; Lead Abatement; & Coal Tar	16.81	2.60
Bridge/Equipment Tender and/or Containment Builder	17.96	2.60
Swing & Scaffold Bridges; Structural Steel; Open Acid Tanks; High Tension Electrical Equipment; & Hot Pipes	21.00	2.60
Boyd, Carter, Elliott, Greenup, Lewis and Rowan Counties		
Painters:		
Bridges	23.28	9.07
All Other Work	19.42	9.07

Three/Federal-State

TRANSPORTATION CABINET
DIVISION OF CONTRACT PROCUREMENT
COMPLIANCE SECTION

PROJECT WAGE RATES **SHEET FIVE 02-14-2003**

WASHINGTON COUNTY, BRZ 0403 (160), FD52 115 1584 000-001

	HIGHWAY BASIC HOURLY RATES	FRINGE BENEFIT PAYMENTS COMBINED
CRAFTS (continued)		
Breckinridge, Bullitt, Carroll (Western Half), Franklin (Western three-fourths), Grayson, Hardin, Henry, Jefferson, Larue, Marion, Meade, Nelson, Oldham, Shelby, Spencer, Trimble and Washington Counties:		
Plumbers; Gas Fitters:		
Plumbing contracts less than $150,000.00	19.92	6.42
All other plumbing contracts:	24.90	6.42
Boyd, Carter, Elliott, Greenup, Lewis and Rowan Counties:		
Plumbers and Steamfitters	22.97	12.40
Bracken, Carroll (Eastern Half), Gallatin, Grant, Mason, Owen and Robertson Counties:		
Pipefitters and Plumbers	26.00	8.09
Anderson, Bath, Bourbon, Boyle, Clark, Fayette, Fleming, Franklin (Eastern one-fourth), Harrison, Jessamine, Madison, Mercer, Montgomery, Nicholas, Scott and Woodford Counties:		
Pipefitters and Plumbers:		
Projects over 1 ½ million dollars in piping contracts:		
ZONE 1	22.30	7.72
ZONE 2	23.30	7.72
Projects under 1 ½ million dollars in piping contracts:		
ZONE 1	18.92	7.72
ZONE 2	19.92	7.72
ZONE 1 - Within 25 mile radius of Fayette County Courthouse		
ZONE 2 - Beyond 25 mile radius of Fayette County Courthouse		
Breckinridge, Bullitt, Carroll (Western Half), Franklin (Western three fourths), Grayson, Hardin, Henry, Jefferson, Larue, Marion, Meade, Nelson, Oldham, Shelby, Spencer, Trimble and Washington Counties:		
Pipefitters and Steamfitters	25.90	8.98

LABORERS:

Aging and curing of concrete, asbestos abatement worker, asphalt plant, asphalt, batch truck dump, carpenter tender, cement mason tender, cleaning of machines, concrete, demolition, dredging, environmental - nuclear, radiation, toxic and hazardous waste - level D, flagperson, grade checker, hand digging and hand back filling, highway marker placer, landscaping mesh handler and placer, puddler, railroad, rip-rap and grouter, right-of-way sign, guard rail and fence installer, signal person, sound barrier installer, storm and sanitary sewer, swamper, truck spotter and dumper, and wrecking of concrete form.

BASE RATE 16.34
FRINGE BENEFITS 7.38

Three/Federal-State

TRANSPORTATION CABINET
DIVISION OF CONTRACT PROCUREMENT
COMPLIANCE SECTION

PROJECT WAGE RATES **SHEET SIX 02-14-2003**

WASHINGTON COUNTY, BRZ 0403 (160), FD52 115 1584 000-001

LABORERS: (continued)

Batter board man (sanitary and storm sewer), brickmason tender, mortar mixer operator, burner and welder, bushammer, chain saw operator, concrete saw operator, deckhand scow man, dry cement handler, environmental - nuclear, radiation, toxic and hazardous waste - level C, forklift operator for masonary, form setter, green concrete cutting, hand operated grouter and grinder machine operator, jackhammer, pavement breaker, paving joint machine, pipelayer, plastic pipe fusion, power driven Georgia buggy and wheel barrow, power post hole digger, precast manhole setter, walk-behind tamper, walk-behind trencher, sand blaster, concrete chipper, surface grinder, vibrator operator and wagon driller.

BASE RATE 16.59
FRINGE BENEFITS 7.38

Air track driller, asphalt luteman and raker, gunnite nozzleman, gunnite operator and mixer, grout pump operator, powderman and blaster, side rail setter, rail paved ditch, screw operator, tunnel (free air) and water blaster.

BASE RATE 16.64
FRINGE BENEFITS 7.38

Caisson worker (free air), cement finisher, environmental - nuclear, radiation, toxic and hazardous waste - levels A and B, miner and driller (free air), tunnel blaster and tunnel mucker (free air).

BASE RATE 17.24
FRINGE BENEFITS 7.38

TEAMSTERS **BASE RATE**

Mobile Batch Truck Tender 16.57

Greaser, Tire Changer and Mechanic Tender 16.68

Single Axle Dump, Flatbed, Semi-trailer or Pole Trailer when used to pull building materials and equipment, Tandem Axle Dump, Distributor, Mixer and Truck Mechanic 16.86

TRANSPORTATION CABINET
DIVISION OF CONTRACT PROCUREMENT
COMPLIANCE SECTION

PROJECT WAGE RATES **SHEET SEVEN 02-14-2003**

WASHINGTON COUNTY, BRZ 0403 (160), FD52 115 1584 000-001

TEAMSTERS(continued)

Euclid & Other Heavy Earthmoving Equipment & Lowboy, Articulator Cat, 5-Axle Vehicle, Winch & A-Frame when used in transporting materials, Ross Carrier, Forklift when used to transport building materials and Pavement Breaker..... 16.96

FRINGE BENEFITS..... 7.34

OPERATING ENGINEERS:

A-Frame winch truck, auto patrol, backfiller, batcher plant, bituminous paver, bituminous transfer machine, boom cat, bulldozer, mechanic, cableway, carry-all scoop, carry deck crane, central compressor plant, clamshell, concrete mixer (21 cu. ft. or over), concrete paver, truck-mounted concrete pump, core drill, crane, crusher plant, derrick, derrick boat, ditching and trenching machine, dragline, dredge operator, dredge engineer, elevating grader and loaders, grade-all, gurries, heavy equiptment robotics operator/mechanic, high lift, hoe-type machine, hoist (two or more drums), hoisting engine (two or more drums), horizontal directional drill operator, hydrocrane, hyster, KeCal loader, Letourneau, locomotive, mechanically operated laser screed, mechanic welder, mucking machine, motor scraper, orangepeel bucket, piledriver, power blade, pumpcrete, push dozer, rock spreader attached to equipment, rotary drill, roller (bituminous), scarifier, scoopmobile, shovel, side boom, subgrader, tailboom, telescoping type forklift, tow or push boat, tower crane (French, German and other types), tractor shovel and truck crane, tunnel mining machines, including moles, shields or similar types of tunnel mining equipment.

BASE RATE 21.10
FRINGE BENEFITS 9.15

Air compressor (over 900 cu. ft. per min.), bituminous mixer, boom type tamping machine, bull float, concrete mixer (under 21 cu. ft.), dredge engineer, electric vibrator compactor/self-propelled compactor, elevator (one drum or buck hoist), elevator (when used to hoist building material), finish machine, fireman & hoist (one drum), flexplane, forklift (reguardless of lift height), form grader, joint sealing machine, outboard motor boat, power sweeper (riding type), roller (rock), ross carrier, skid mounted or trailer mounted concrete pump, switchman or brakeman, throttle valve person, tractair and road widening trencher, tractor (50 H.P. or over), truck crane oiler, tugger, welding machine, well points and whirley oiler.

BASE RATE 18.68
FRINGE BENEFITS 9.15

TRANSPORTATION CABINET
DIVISION OF CONTRACT PROCUREMENT
COMPLIANCE SECTION

PROJECT WAGE RATES **SHEET EIGHT 02-14-2003**

WASHINGTON COUNTY, BRZ 0403 (160), FD52 115 1584 000-001

OPERATING ENGINEERS: (continued)

Bituminous distributor, burlap and curing machine, cement gun, concrete saw, conveyor, deckhand oiler, grout pump, hydraulic post driver, hydro seeder, mud jack, oiler, paving joint machine, power form handling equipment, pump, roller (earth), steerman, tamping machine, tractor (under 50 H.P.) and vibrator.

BASE RATE 18.42
FRINGE BENEFITS 9.15

Greaser on grease facilities servicing heavy equipment.

BASE RATE 19.06
FRINGE BENEFITS 9.15

Operators on cranes with booms one hundred fifty feet (150') and over (including jib) shall receive fifty ($.50) cents above Base Rate.

Employees assigned to work below ground level are to be paid 10% above basic wage rate. This does not apply to open cut work.

WELDERS - Receive rate for craft in which welding is incidental.

Fringe benefit amounts are applicable for all hours worked except when otherwise noted.

These rates are listed pursuant to Kentucky Determination No. CR-01-III HWY dated October 8, 2001 and/or Federal Decision Number KY 020027 dated March 1, 2002, modification #1 dated April 5, 2002, modification #2 dated May 3, 2002, modification #3 dated June 21, 2002, modification #4 dated July 5, 2002, modification #5 dated August 16, 2002, modification #6 dated September 13, 2002, modification #7 dated October 4, 2002, modification #8 dated November 8, 2002, modification #9 dated January 10, 2003 and modification #10 dated January 17, 2003.

No laborer, workman or mechanic shall be paid at a rate less than that of a Journeyman except those classified as bona fide apprentices.

TRANSPORTATION CABINET
DIVISION OF CONTRACT PROCUREMENT
COMPLIANCE SECTION

PROJECT WAGE RATES **SHEET NINE** **02-14-2003**

WASHINGTON COUNTY, BRZ 0403 (160), FD52 115 1584 000-001

Apprentices or trainees shall be permitted to work as such subject to Administrative Regulations adopted by the Commissioner of Workplace Standards. Copies of these regulations will be furnished upon request from any interested person.

Before using apprentices on the job the contractor shall present to the Contracting Officer written evidence of registration of such employees in a program of a State apprenticeship and training agency approved and recognized by the U. S. Bureau of Apprenticeship and Training. In the absence of such a State agency, the contractor shall submit evidence of approval and registration by the U. S. Bureau of Apprenticeship and Training.

The contractor shall submit to the Contracting Officer, written evidence of the established apprenticeship-journeyman ratios and wage rates in the project area, which will be the basis for establishing such ratios and rates for the project under the applicable contract provisions.

TO: EMPLOYERS/EMPLOYEES

PREVAILING WAGE SCHEDULE:

The wages indicated on this wage schedule are the least permitted to be paid for the occupations indicated. When an employee works in more than one classification, the employer must record the number of hours worked in each classification at the prescribed hourly base rate.

OVERTIME:

Overtime is to be paid after an employee works eight (8) hours a day or forty (40) hours a week, whichever gives the employee the greater wages. At least time and one-half the base rate is required for all overtime. A laborer, workman or mechanic and an employer may enter into a written agreement or a collective bargaining agreement to work more than eight (8) hours a calendar day but not more than ten (10) hours a calendar day for the straight time hourly rate. Wage violations or questions should be directed to the designated Engineer or the undersigned.

Rick Stansel, Director
Division of Contract Procurement
Frankfort, Kentucky 40622

Three/Federal-State

REQUIRED CONTRACT PROVISIONS
FEDERAL-AID CONSTRUCTION CONTRACTS

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ATTACHMENTS

A. Employment Preference for Appalachian Contracts (included in Appalachian contracts only)

I. GENERAL

1. These contract provisions shall apply to all work performed on the contract by the contractor's own organization and with the assistance of workers under the contractor's immediate superintendence and to all work performed on the contract by piecework, station work, or by subcontract.

2. Except as otherwise provided for in each section, the contractor shall insert in each subcontract all of the stipulations contained in these Required Contract Provisions, and further require their inclusion in any lower tier subcontract or purchase order that may in turn be made. The Required Contract Provisions shall not be incorporated by reference in any case. The prime contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with these Required Contract Provisions.

3. A breach of any of the stipulations contained in these Required Contract Provisions shall be sufficient grounds for termination of the contract.

4. A breach of the following clauses of the Required Contract Provisions may also be grounds for debarment as provided in 29 CFR 5.12:

Section I, paragraph 2;
Section IV, paragraphs 1, 2, 3, 4, and 7;
Section V, paragraphs 1 and 2a through 2g.

5. Disputes arising out of the labor standards provisions of Section IV (except paragraph 5) and Section V of these Required Contract Provisions shall not be subject to the general disputes clause of this contract. Such disputes shall be resolved in accordance with the procedures of the U.S. Department of Labor (DOL) as set forth in 29 CFR 5, 6, and 7. Disputes within the meaning of this clause include disputes between the contractor (or any of its subcontractors) and the contracting agency, the DOL, or the contractor's employees or their representatives.

6. **Selection of Labor:** During the performance of this contract, the contractor shall not:

a. discriminate against labor from any other State, possession, or territory of the United States (except for employment preference for Appalachian contracts, when applicable, as specified in Attachment A), or

b. employ convict labor for any purpose within the limits of the project unless it is labor performed by convicts who are on parole, supervised release, or probation.

II. NONDISCRIMINATION

(Applicable to all Federal-aid construction contracts and to all related subcontracts of $10,000 or more.)

1. **Equal Employment Opportunity:** Equal employment opportunity (EEO) requirements not to discriminate and to take affirmative action to assure equal opportunity as set forth under laws, executive orders, rules, regulations (28 CFR 35, 29 CFR 1630 and 41 CFR 60) and orders of the Secretary of Labor as modified by the provisions prescribed herein, and imposed pursuant to 23 U.S.C. 140 shall constitute the EEO and specific affirmative action standards for the contractor's project activities under this contract. The Equal Opportunity Construction Contract Specifications set forth under 41 CFR 60-4.3 and the provisions of the American Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) set forth under 28 CFR 35 and 29 CFR 1630 are incorporated by reference in this contract. In the execution of this contract, the contractor agrees to comply with the following minimum specific requirement activities of EEO:

a. The contractor will work with the State highway agency (SHA) and the Federal Government in carrying out EEO obligations and in their review of his/her activities under the contract.

b. The contractor will accept as his operating policy the following statement:

"It is the policy of this Company to assure that applicants are employed, and that employees are treated during employment, without regard to their race, religion, sex, color, national origin, age or disability. Such action shall include: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship, preapprenticeship, and/or on-the-job training."

2. **EEO Officer:** The contractor will designate and make known to the SHA contracting officers an EEO Officer who will have the responsibility for and must be capable of effectively administering and promoting an active contractor program of EEO and who must be assigned adequate authority and responsibility to do so.

3. **Dissemination of Policy:** All members of the contractor's staff who are authorized to hire, supervise, promote, and discharge employees, or who recommend such action, or who are substantially involved in such action, will be made fully cognizant of, and will implement, the contractor's EEO policy and contrac-

tual responsibilities to provide EEO in each grade and classification of employment. To ensure that the above agreement will be met, the following actions will be taken as a minimum:

a. Periodic meetings of supervisory and personnel office employees will be conducted before the start of work and then not less often than once every six months, at which time the contractor's EEO policy and its implementation will be reviewed and explained. The meetings will be conducted by the EEO Officer.

b. All new supervisory or personnel office employees will be given a thorough indoctrination by the EEO Officer, covering all major aspects of the contractor's EEO obligations within thirty days following their reporting for duty with the contractor.

c. All personnel who are engaged in direct recruitment for the project will be instructed by the EEO Officer in the contractor's procedures for locating and hiring minority group employees.

d. Notices and posters setting forth the contractor's EEO policy will be placed in areas readily accessible to employees, applicants for employment and potential employees.

e. The contractor's EEO policy and the procedures to implement such policy will be brought to the attention of employees by means of meetings, employee handbooks, or other appropriate means.

4. **Recruitment:** When advertising for employees, the contractor will include in all advertisements for employees the notation: "An Equal Opportunity Employer." All such advertisements will be placed in publications having a large circulation among minority groups in the area from which the project work force would normally be derived.

a. The contractor will, unless precluded by a valid bargaining agreement, conduct systematic and direct recruitment through public and private employee referral sources likely to yield qualified minority group applicants. To meet this requirement, the contractor will identify sources of potential minority group employees, and establish with such identified sources procedures whereby minority group applicants may be referred to the contractor for employment consideration.

b. In the event the contractor has a valid bargaining agreement providing for exclusive hiring hall referrals, he is expected to observe the provisions of that agreement to the extent that the system permits the contractor's compliance with EEO contract provisions. (The DOL has held that where implementation of such agreements have the effect of discriminating against minorities or women, or obligates the contractor to do the same, such implementation violates Executive Order 11246, as amended.)

c. The contractor will encourage his present employees to refer minority group applicants for employment. Information and procedures with regard to referring minority group applicants will be discussed with employees.

5. **Personnel Actions:** Wages, working conditions, and employee benefits shall be established and administered, and personnel actions of every type, including hiring, upgrading, promotion, transfer, demotion, layoff, and termination, shall be taken without regard to race, color, religion, sex, national origin, age or disability. The following procedures shall be followed:

a. The contractor will conduct periodic inspections of project sites to insure that working conditions and employee facilities do not indicate discriminatory treatment of project site personnel.

b. The contractor will periodically evaluate the spread of wages paid within each classification to determine any evidence of discriminatory wage practices.

c. The contractor will periodically review selected personnel actions in depth to determine whether there is evidence of discrimination. Where evidence is found, the contractor will promptly take corrective action. If the review indicates that the discrimination may extend beyond the actions reviewed, such corrective action shall include all affected persons.

d. The contractor will promptly investigate all complaints of alleged discrimination made to the contractor in connection with his obligations under this contract, will attempt to resolve such complaints, and will take appropriate corrective action within a reasonable time. If the investigation indicates that the discrimination may affect persons other than the complainant, such corrective action shall include such other persons. Upon completion of each investigation, the contractor will inform every complainant of all of his avenues of appeal.

6. **Training and Promotion:**

a. The contractor will assist in locating, qualifying, and increasing the skills of minority group and women employees, and applicants for employment.

b. Consistent with the contractor's work force requirements and as permissible under Federal and State regulations, the contractor shall make full use of training programs, i.e., apprenticeship, and on-the-job training programs for the geographical area of contract performance. Where feasible, 25 percent of apprentices or trainees in each occupation shall be in their first year of apprenticeship or training. In the event a special provision for training is provided under this contract, this subparagraph will be superseded as indicated in the special provision.

c. The contractor will advise employees and applicants for employment of available training programs and entrance requirements for each.

d. The contractor will periodically review the training and promotion potential of minority group and women employees and will encourage eligible employees to apply for such training and promotion.

7. **Unions:** If the contractor relies in whole or in part upon unions as a source of employees, the contractor will use his/her best efforts to obtain the cooperation of such unions to increase opportunities for minority groups and women within the unions, and to effect referrals by such unions of minority and female employees. Actions by the contractor either directly or through a contractor's association acting as agent will include the procedures set forth below:

a. The contractor will use best efforts to develop, in cooperation with the unions, joint training programs aimed toward qualifying more minority group members and women for membership in the unions and increasing the skills of minority group employees and women so that they may qualify for higher paying employment.

b. The contractor will use best efforts to incorporate an EEO clause into each union agreement to the end that such union will be contractually bound to refer applicants without regard to

their race, color, religion, sex, national origin, age or disability.

c. The contractor is to obtain information as to the referral practices and policies of the labor union except that to the extent such information is within the exclusive possession of the labor union and such labor union refuses to furnish such information to the contractor, the contractor shall so certify to the SHA and shall set forth what efforts have been made to obtain such information.

d. In the event the union is unable to provide the contractor with a reasonable flow of minority and women referrals within the time limit set forth in the collective bargaining agreement, the contractor will, through independent recruitment efforts, fill the employment vacancies without regard to race, color, religion, sex, national origin, age or disability; making full efforts to obtain qualified and/or qualifiable minority group persons and women. (The DOL has held that it shall be no excuse that the union with which the contractor has a collective bargaining agreement providing for exclusive referral failed to refer minority employees.) In the event the union referral practice prevents the contractor from meeting the obligations pursuant to Executive Order 11246, as amended, and these special provisions, such contractor shall immediately notify the SHA.

8. **Selection of Subcontractors, Procurement of Materials and Leasing of Equipment:** The contractor shall not discriminate on the grounds of race, color, religion, sex, national origin, age or disability in the selection and retention of subcontractors, including procurement of materials and leases of equipment.

a. The contractor shall notify all potential subcontractors and suppliers of his/her EEO obligations under this contract.

b. Disadvantaged business enterprises (DBE), as defined in 49 CFR 23, shall have equal opportunity to compete for and perform subcontracts which the contractor enters into pursuant to this contract. The contractor will use his best efforts to solicit bids from and to utilize DBE subcontractors or subcontractors with meaningful minority group and female representation among their employees. Contractors shall obtain lists of DBE construction firms from SHA personnel.

c. The contractor will use his best efforts to ensure subcontractor compliance with their EEO obligations.

9. **Records and Reports:** The contractor shall keep such records as necessary to document compliance with the EEO requirements. Such records shall be retained for a period of three years following completion of the contract work and shall be available at reasonable times and places for inspection by authorized representatives of the SHA and the FHWA.

a. The records kept by the contractor shall document the following:

(1) The number of minority and non-minority group members and women employed in each work classification on the project;

(2) The progress and efforts being made in cooperation with unions, when applicable, to increase employment opportunities for minorities and women;

(3) The progress and efforts being made in locating, hiring, training, qualifying, and upgrading minority and female employees; and

(4) The progress and efforts being made in securing the services of DBE subcontractors or subcontractors with meaningful minority and female representation among their employees.

b. The contractors will submit an annual report to the SHA each July for the duration of the project, indicating the number of minority, women, and non-minority group employees currently engaged in each work classification required by the contract work. This information is to be reported on Form FHWA-1391. If on-thejob training is being required by special provision, the contractor will be required to collect and report training data.

III. NONSEGREGATED FACILITIES

(Applicable to all Federal-aid construction contracts and to all related subcontracts of $10,000 or more.)

a. By submission of this bid, the execution of this contract or subcontract, or the consummation of this material supply agreement or purchase order, as appropriate, the bidder, Federal-aid construction contractor, subcontractor, material supplier, or vendor, as appropriate, certifies that the firm does not maintain or provide for its employees any segregated facilities at any of its establishments, and that the firm does not permit its employees to perform their services at any location, under its control, where segregated facilities are maintained. The firm agrees that a breach of this certification is a violation of the EEO provisions of this contract. The firm further certifies that no employee will be denied access to adequate facilities on the basis of sex or disability.

b. As used in this certification, the term "segregated facilities" means any waiting rooms, work areas, restrooms and washrooms, restaurants and other eating areas, timeclocks, locker rooms, and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees which are segregated by explicit directive, or are, in fact, segregated on the basis of race, color, religion, national origin, age or disability, because of habit, local custom, or otherwise. The only exception will be for the disabled when the demands for accessibility override (e.g. disabled parking).

c. The contractor agrees that it has obtained or will obtain identical certification from proposed subcontractors or material suppliers prior to award of subcontracts or consummation of material supply agreements of $10,000 or more and that it will retain such certifications in its files.

IV. PAYMENT OF PREDETERMINED MINIMUM WAGE

(Applicable to all Federal-aid construction contracts exceeding $2,000 and to all related subcontracts, except for projects located on roadways classified as local roads or rural minor collectors, which are exempt.)

1. **General:**

a. All mechanics and laborers employed or working upon the site of the work will be paid unconditionally and not less often than once a week and without subsequent deduction or rebate on any account [except such payroll deductions as are permitted by regulations (29 CFR 3) issued by the Secretary of Labor under the Copeland Act (40 U.S.C. 276c)] the full amounts of wages and bona fide fringe benefits (or cash equivalents thereof) due at time of payment. The payment shall be computed at wage rates not less than those contained in the wage determination of the Secretary of Labor (hereinafter "the wage determi-

nation") which is attached hereto and made a part hereof, regardless of any contractual relationship which may be alleged to exist between the contractor or its subcontractors and such laborers and mechanics. The wage determination (including any additional classifications and wage rates conformed under paragraph 2 of this Section IV and the DOL poster (WH-1321) or Form FHWA-1495) shall be posted at all times by the contractor and its subcontractors at the site of the work in a prominent and accessible place where it can be easily seen by the workers. For the purpose of this Section, contributions made or costs reasonably anticipated for bona fide fringe benefits under Section 1(b)(2) of the Davis-Bacon Act (40 U.S.C. 276a) on behalf of laborers or mechanics are considered wages paid to such laborers or mechanics, subject to the provisions of Section IV, paragraph 3b, hereof. Also, for the purpose of this Section, regular contributions made or costs incurred for more than a weekly period (but not less often than quarterly) under plans, funds, or programs, which cover the particular weekly period, are deemed to be constructively made or incurred during such weekly period. Such laborers and mechanics shall be paid the appropriate wage rate and fringe benefits on the wage determination for the classification of work actually performed, without regard to skill, except as provided in paragraphs 4 and 5 of this Section IV.

b. 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, that the employer's payroll records accurately set forth the time spent in each classification in which work is performed.

c. All rulings and interpretations of the Davis-Bacon Act and related acts contained in 29 CFR 1, 3, and 5 are herein incorporated by reference in this contract.

2. Classification:

a. The SHA contracting officer shall require that any class of laborers or mechanics employed under the contract, which is not listed in the wage determination, shall be classified in conformance with the wage determination.

b. The contracting officer shall approve an additional classification, wage rate and fringe benefits only when the following criteria have been met:

(1) the work to be performed by the additional classification requested is not performed by a classification in the wage determination;

(2) the additional classification is utilized in the area by the construction industry;

(3) the proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination; and

(4) with respect to helpers, when such a classification prevails in the area in which the work is performed.

c. If the contractor or subcontractors, as appropriate, the laborers and mechanics (if known) to be employed in the additional classification or their representatives, and the contracting officer agree on the classification and wage rate (including the amount designated for fringe benefits where appropriate), a report of the action taken shall be sent by the contracting officer to the DOL, Administrator of the Wage and Hour Division, Employment Standards Administration, Washington, D.C. 20210. The Wage and Hour Administrator, or an authorized representative, will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.

d. In the event the contractor or subcontractors, as appropriate, the laborers or mechanics to be employed in the additional classification or their representatives, and the contracting officer do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), the contracting officer shall refer the questions, including the views of all interested parties and the recommendation of the contracting officer, to the Wage and Hour Administrator for determination. Said Administrator, or an authorized representative, will issue a determination within 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary

e. The wage rate (including fringe benefits where appropriate) determined pursuant to paragraph 2c or 2d of this Section IV shall be paid to all workers performing work in the additional classification from the first day on which work is performed in the classification.

3. Payment of Fringe Benefits:

a. Whenever the minimum wage rate prescribed in the contract for a class of laborers or mechanics includes a fringe benefit which is not expressed as an hourly rate, the contractor or subcontractors, as appropriate, shall either pay the benefit as stated in the wage determination or shall pay another bona fide fringe benefit or an hourly case equivalent thereof.

b. If the contractor or subcontractor, as appropriate, does not make payments to a trustee or other third person, he/she may consider as a part of the wages of any laborer or mechanic the amount of any costs reasonably anticipated in providing bona fide fringe benefits under a plan or program, provided, that the Secretary of Labor has found, upon the written request of the contractor, that the applicable standards of the Davis-Bacon Act have been met. The Secretary of Labor may require the contractor to set aside in a separate account assets for the meeting of obligations under the plan or program.

4. Apprentices and Trainees (Programs of the U.S. DOL) and Helpers:

a. Apprentices:

(1) Apprentices will be permitted to work at less than the predetermined rate for the work they performed when they are employed pursuant to and individually registered in a bona fide apprenticeship program registered with the DOL, Employment and Training Administration, Bureau of Apprenticeship and Training, or with a State apprenticeship agency recognized by the Bureau, or if a person is employed in his/her first 90 days of probationary employment as an apprentice in such an apprenticeship program, who is not individually registered in the program, but who has been certified by the Bureau of Apprenticeship and Training or a State apprenticeship agency (where appropriate) to be eligible for probationary employment as an apprentice.

(2) The allowable ratio of apprentices to journeyman-level employees on the job site in any craft classification shall not be greater than the ratio permitted to the contractor as to the entire work force under the registered program. Any employee listed on a payroll at an apprentice wage rate, who is not regis-

tered or otherwise employed as stated above, shall be paid not less than the applicable wage rate listed in the wage determination for the classification of work actually performed. In addition, any apprentice performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. Where a contractor or subcontractor is performing construction on a project in a locality other than that in which its program is registered, the ratios and wage rates (expressed in percentages of the journeyman-level hourly rate) specified in the contractor's or subcontractor's registered program shall be observed.

(3) Every apprentice must be paid at not less than the rate specified in the registered program for the apprentice's level of progress, expressed as a percentage of the journeyman-level hourly rate specified in the applicable wage determination. Apprentices shall be paid fringe benefits in accordance with the provisions of the apprenticeship program. If the apprenticeship program does not specify fringe benefits, apprentices must be paid the full amount of fringe benefits listed on the wage determination for the applicable classification. If the Administrator for the Wage and Hour Division determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination.

(4) In the event the Bureau of Apprenticeship and Training, or a State apprenticeship agency recognized by the Bureau, withdraws approval of an apprenticeship program, the contractor or subcontractor will no longer be permitted to utilize apprentices at less than the applicable predetermined rate for the comparable work performed by regular employees until an acceptable program is approved.

b. Trainees:

(1) Except as provided in 29 CFR 5.16, trainees will not be permitted to work at less than the predetermined rate for the work performed unless they are employed pursuant to and individually registered in a program which has received prior approval, evidenced by formal certification by the DOL, Employment and Training Administration.

(2) The ratio of trainees to journeyman-level employees on the job site shall not be greater than permitted under the plan approved by the Employment and Training Administration. Any employee listed on the payroll at a trainee rate who is not registered and participating in a training plan approved by the Employment and Training Administration shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any trainee performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed.

(3) Every trainee must be paid at not less than the rate specified in the approved program for his/her level of progress, expressed as a percentage of the journeyman-level hourly rate specified in the applicable wage determination. Trainees shall be paid fringe benefits in accordance with the provisions of the trainee program. If the trainee program does not mention fringe benefits, trainees shall be paid the full amount of fringe benefits listed on the wage determination unless the Administrator of the Wage and Hour Division determines that there is an apprenticeship program associated with the corresponding journeyman-level wage rate on the wage determination which provides for less than full fringe benefits for apprentices, in which case such trainees shall receive the same fringe benefits as apprentices.

(4) In the event the Employment and Training Administration withdraws approval of a training program, the contractor or subcontractor will no longer be permitted to utilize trainees at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

c. Helpers:

Helpers will be permitted to work on a project if the helper classification is specified and defined on the applicable wage determination or is approved pursuant to the conformance procedure set forth in Section IV.2. Any worker listed on a payroll at a helper wage rate, who is not a helper under a approved definition, shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed.

5. **Apprentices and Trainees (Programs of the U.S. DOT):**

Apprentices and trainees working under apprenticeship and skill training programs which have been certified by the Secretary of Transportation as promoting EEO in connection with Federal-aid highway construction programs are not subject to the requirements of paragraph 4 of this Section IV. The straight time hourly wage rates for apprentices and trainees under such programs will be established by the particular programs. The ratio of apprentices and trainees to journeymen shall not be greater than permitted by the terms of the particular program.

6. **Withholding:**

The SHA shall upon its own action or upon written request of an authorized representative of the DOL withhold, or cause to be withheld, from the contractor or subcontractor under this contract or any other Federal contract with the same prime contractor, or any other Federally-assisted contract subject to Davis-Bacon prevailing wage requirements which is held by the same prime contractor, as much of the accrued payments or advances as may be considered necessary to pay laborers and mechanics, including apprentices, trainees, and helpers, employed by the contractor or any subcontractor the full amount of wages required by the contract. In the event of failure to pay any laborer or mechanic, including any apprentice, trainee, or helper, employed or working on the site of the work, all or part of the wages required by the contract, the SHA contracting officer may, after written notice to the contractor, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds until such violations have ceased.

7. **Overtime Requirements:**

No contractor or subcontractor contracting for any part of the contract work which may require or involve the employment of laborers, mechanics, watchmen, or guards (including apprentices, trainees, and helpers described in paragraphs 4 and 5 above) shall require or permit any laborer, mechanic, watchman, or guard in any workweek in which he/she is employed on such work, to work in excess of 40 hours in such workweek unless such laborer, mechanic, watchman, or guard receives compensation at a rate not less than one-and-one-half times his/her basic rate of pay for all hours worked in excess of 40 hours in such workweek.

8. **Violation:**

Liability for Unpaid Wages; Liquidated Damages: In the event of any violation of the clause set forth in paragraph 7 above, the contractor and any subcontractor responsible thereof shall be liable to the affected employee for his/her unpaid wages. In addition, such contractor and subcontractor shall be liable to the United States (in the case of work done under contract for the District of Columbia or a territory, to such District or to such territory) for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer, mechanic, watchman, or guard employed in violation of the clause set forth in paragraph 7, in the sum of $10 for each calendar day on which such employee was required or permitted to work in excess of the standard work week of 40 hours without payment of the overtime wages required by the clause set forth in paragraph 7.

9. **Withholding for Unpaid Wages and Liquidated Damages:**

The SHA shall upon its own action or upon written request of any authorized representative of the DOL withhold, or cause to be withheld, from any monies payable on account of work performed by the contractor or subcontractor under any such contract or any other Federal contract with the same prime contractor, or any other Federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime contractor, such sums as may be determined to be necessary to satisfy any liabilities of such contractor or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in paragraph 8 above.

V. STATEMENTS AND PAYROLLS

(Applicable to all Federal-aid construction contracts exceeding $2,000 and to all related subcontracts, except for projects located on roadways classified as local roads or rural collectors, which are exempt.)

1. **Compliance with Copeland Regulations (29 CFR 3):**

The contractor shall comply with the Copeland Regulations of the Secretary of Labor which are herein incorporated by reference.

2. **Payrolls and Payroll Records:**

a. Payrolls and basic records relating thereto shall be maintained by the contractor and each subcontractor during the course of the work and preserved for a period of 3 years from the date of completion of the contract for all laborers, mechanics, apprentices, trainees, watchmen, helpers, and guards working at the site of the work.

b. The payroll records shall contain the name, social security number, and address of each such employee; his or her correct classification; hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalent thereof the types described in Section 1(b)(2)(B) of the Davis Bacon Act); daily and weekly number of hours worked; deductions made; and actual wages paid. In addition, for Appalachian contracts, the payroll records shall contain a notation indicating whether the employee does, or does not, normally reside in the labor area as defined in Attachment A, paragraph 1. Whenever the Secretary of Labor, pursuant to Section IV, paragraph 3b, has found that the wages of any laborer or mechanic include the amount of any costs reasonably anticipated in providing benefits under a plan or program described in Section 1(b)(2)(B) of the Davis Bacon Act, the contractor and each subcontractor shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, that the plan or program has been communicated in writing to the laborers or mechanics affected, and show the cost anticipated or the actual cost incurred in providing benefits. Contractors or subcontractors employing apprentices or trainees under approved programs shall maintain written evidence of the registration of apprentices and trainees, and ratios and wage rates prescribed in the applicable programs.

c. Each contractor and subcontractor shall furnish, each week in which any contract work is performed, to the SHA resident engineer a payroll of wages paid each of its employees (including apprentices, trainees, and helpers, described in Section IV, paragraphs 4 and 5, and watchmen and guards engaged on work during the preceding weekly payroll period). The payroll submitted shall set out accurately and completely all of the information required to be maintained under paragraph 2b of this Section V. This information may be submitted in any form desired. Optional Form WH-347 is available for this purpose and may be purchased from the Superintendent of Documents (Federal stock number 029-005-0014-1), U.S. Government Printing Office, Washington, D.C. 20402. The prime contractor is responsible for the submission of copies of payrolls by all subcontractors.

d. Each payroll submitted shall be accompanied by a "Statement of Compliance," signed by the contractor or subcontractor or his/her agent who pays or supervises the payment of the persons employed under the contract and shall certify the following:

(1) that the payroll for the payroll period contains the information required to be maintained under paragraph 2b of this Section V and that such information is correct and complete;

(2) that such laborer or mechanic (including each helper, apprentice, and trainee) employed on the contract during the payroll period has been paid the full weekly wages earned, without rebate, either directly or indirectly, and that no deductions have been made either directly or indirectly from the full wages earned, other than permissible deductions as set forth in the Regulations, 29 CFR 3;

(3) that each laborer or mechanic has been paid not less that the applicable wage rate and fringe benefits or cash equivalent for the classification of worked performed, as specified in the applicable wage determination incorporated into the contract.

e. The weekly submission of a properly executed certification set forth on the reverse side of Optional Form WH-347 shall satisfy the requirement for submission of the "Statement of Compliance" required by paragraph 2d of this Section V.

f. The falsification of any of the above certifications may subject the contractor to civil or criminal prosecution under 18 U.S.C. 1001 and 31 U.S.C. 231.

g. The contractor or subcontractor shall make the records required under paragraph 2b of this Section V available for inspection, copying, or transcription by authorized representatives of the SHA, the FHWA, or the DOL, and shall permit such representatives to interview employees during working hours on the job. If the contractor or subcontractor fails to submit the required records or to make them available, the SHA, the FHWA, the DOL, or all may, after written notice to the contractor, sponsor, applicant, or owner, take such actions as may be

necessary to cause the suspension of any further payment, advance, or guarantee of funds. Furthermore, failure to submit the required records upon request or to make such records available may be grounds for debarment action pursuant to 29 CFR 5.12.

VI. RECORD OF MATERIALS, SUPPLIES, AND LABOR

1. On all Federal-aid contracts on the National Highway System, except those which provide solely for the installation of protective devices at railroad grade crossings, those which are constructed on a force account or direct labor basis, highway beautification contracts, and contracts for which the total final construction cost for roadway and bridge is less than $1,000,000 (23 CFR 635) the contractor shall:

a. Become familiar with the list of specific materials and supplies contained in Form FHWA-47, "Statement of Materials and Labor Used by Contractor of Highway Construction Involving Federal Funds," prior to the commencement of work under this contract.

b. Maintain a record of the total cost of all materials and supplies purchased for and incorporated in the work, and also of the quantities of those specific materials and supplies listed on Form FHWA-47, and in the units shown on Form FHWA-47.

c. Furnish, upon the completion of the contract, to the SHA resident engineer on Form FHWA-47 together with the data required in paragraph 1b relative to materials and supplies, a final labor summary of all contract work indicating the total hours worked and the total amount earned.

2. At the prime contractor's option, either a single report covering all contract work or separate reports for the contractor and for each subcontract shall be submitted.

VII. SUBLETTING OR ASSIGNING THE CONTRACT

1. The contractor shall perform with its own organization contract work amounting to not less than 30 percent (or a greater percentage if specified elsewhere in the contract) of the total original contract price, excluding any specialty items designated by the State. Specialty items may be performed by subcontract and the amount of any such specialty items performed may be deducted from the total original contract price before computing the amount of work required to be performed by the contractor's own organization (23 CFR 635).

a. "Its own organization" shall be construed to include only workers employed and paid directly by the prime contractor and equipment owned or rented by the prime contractor, with or without operators. Such term does not include employees or equipment of a subcontractor, assignee, or agent of the prime contractor.

b. "Specialty Items" shall be construed to be limited to work that requires highly specialized knowledge, abilities, or equipment not ordinarily available in the type of contracting organizations qualified and expected to bid on the contract as a whole and in general are to be limited to minor components of the overall contract.

2. The contract amount upon which the requirements set forth in paragraph 1 of Section VII is computed includes the cost of material and manufactured products which are to be purchased or produced by the contractor under the contract provisions.

3. The contractor shall furnish (a) a competent superintendent or supervisor who is employed by the firm, has full authority to direct performance of the work in accordance with the contract requirements, and is in charge of all construction operations (regardless of who performs the work) and (b) such other of its own organizational resources (supervision, management, and engineering services) as the SHA contracting officer determines is necessary to assure the performance of the contract.

4. No portion of the contract shall be sublet, assigned or otherwise disposed of except with the written consent of the SHA contracting officer, or authorized representative, and such consent when given shall not be construed to relieve the contractor of any responsibility for the fulfillment of the contract. Written consent will be given only after the SHA has assured that each subcontract is evidenced in writing and that it contains all pertinent provisions and requirements of the prime contract.

VIII. SAFETY: ACCIDENT PREVENTION

1. In the performance of this contract the contractor shall comply with all applicable Federal, State, and local laws governing safety, health, and sanitation (23 CFR 635). The contractor shall provide all safeguards, safety devices and protective equipment and take any other needed actions as it determines, or as the SHA contracting officer may determine, to be reasonably necessary to protect the life and health of employees on the job and the safety of the public and to protect property in connection with the performance of the work covered by the contract.

2. It is a condition of this contract, and shall be made a condition of each subcontract, which the contractor enters into pursuant to this contract, that the contractor and any subcontractor shall not permit any employee, in performance of the contract, to work in surroundings or under conditions which are unsanitary, hazardous or dangerous to his/her health or safety, as determined under construction safety and health standards (29 CFR 1926) promulgated by the Secretary of Labor, in accordance with Section 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. 333).

3. Pursuant to 29 CFR 1926.3, it is a condition of this contract that the Secretary of Labor or authorized representative thereof, shall have right of entry to any site of contract performance to inspect or investigate the matter of compliance with the construction safety and health standards and to carry out the duties of the Secretary under Section 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. 333).

IX. FALSE STATEMENTS CONCERNING HIGHWAY PROJECTS

In order to assure high quality and durable construction in conformity with approved plans and specifications and a high degree of reliability on statements and representations made by engineers, contractors, suppliers, and workers on Federal-aid highway projects, it is essential that all persons concerned with the project perform their functions as carefully, thoroughly, and honestly as possible. Willful falsification, distortion, or misrepresentation with respect to any facts related to the project is a violation of Federal law. To prevent any misunderstanding regarding the seriousness of these and similar acts, the following notice shall be posted on each Federal-aid highway project (23 CFR 635) in one or more places where it is readily available to all persons concerned with the project:

NOTICE TO ALL PERSONNEL ENGAGED ON FEDERAL-AID HIGHWAY PROJECTS

18 U.S.C. 1020 reads as follows:

"Whoever, being an officer, agent, or employee of the United States, or of any State or Territory, or whoever, whether a person, association, firm, or corporation, knowingly makes any false statement, false representation, or false report as to the character, quality, quantity, or cost of the material used or to be used, or the quantity or quality of the work performed or to be performed, or the cost thereof in connection with the submission of plans, maps, specifications, contracts, or costs of construction on any highway or related project submitted for approval to the Secretary of Transportation; or

Whoever knowingly makes any false statement, false representation, false report or false claim with respect to the character, quality, quantity, or cost of any work performed or to be performed, or materials furnished or to be furnished, in connection with the construction of any highway or related project approved by the Secretary of Transportation; or

Whoever knowingly makes any false statement or false representation as to material fact in any statement, certificate, or report submitted pursuant to provisions of the Federal-aid Roads Act approved July 1, 1916, (39 Stat. 355), as amended and supplemented;

Shall be fined not more that $10,000 or imprisoned not more than 5 years or both."

X. IMPLEMENTATION OF CLEAN AIR ACT AND FEDERAL WATER POLLUTION CONTROL ACT

(Applicable to all Federal-aid construction contracts and to all related subcontracts of $100,000 or more.)

By submission of this bid or the execution of this contract, or subcontract, as appropriate, the bidder, Federal-aid construction contractor, or subcontractor, as appropriate, will be deemed to have stipulated as follows:

1. That any facility that is or will be utilized in the performance of this contract, unless such contract is exempt under the Clean Air Act, as amended (42 U.S.C. 1857 et seq., as amended by Pub.L. 91-604), and under the Federal Water Pollution Control Act, as amended (33 U.S.C. 1251 et seq., as amended by Pub.L. 92-500), Executive Order 11738, and regulations in implementation thereof (40 CFR 15) is not listed, on the date of contract award, on the U.S. Environmental Protection Agency (EPA) List of Violating Facilities pursuant to 40 CFR 15.20.

2. That the firm agrees to comply and remain in compliance with all the requirements of Section 114 of the Clean Air Act and Section 308 of the Federal Water Pollution Control Act and all regulations and guidelines listed thereunder.

3. That the firm shall promptly notify the SHA of the receipt of any communication from the Director, Office of Federal Activities, EPA, indicating that a facility that is or will be utilized for the contract is under consideration to be listed on the EPA List of Violating Facilities.

4. That the firm agrees to include or cause to be included the requirements of paragraph 1 through 4 of this Section X in every nonexempt subcontract, and further agrees to take such action as the government may direct as a means of enforcing such requirements.

XI. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION

1. **Instructions for Certification - Primary Covered Transactions:**

(Applicable to all Federal-aid contracts - 49 CFR 29)

a. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

b. The inability of a person to provide the certification set out below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such a person from participation in this transaction.

c. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.

d. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

e. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is submitted for assistance in obtaining a copy of those regulations.

f. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

g. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

h. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that

the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the nonprocurement portion of the "Lists of Parties Excluded From Federal Procurement or Nonprocurement Programs" (Nonprocurement List) which is compiled by the General Services Administration.

i. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

j. Except for transactions authorized under paragraph f of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

* * * * *

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Primary Covered Transactions

1. The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

b. Have not within a 3-year period preceding this proposal been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph 1b of this certification; and

d. Have not within a 3-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

2. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

* * * * *

2. Instructions for Certification - Lower Tier Covered Transactions:

(Applicable to all subcontracts, purchase orders and other lower tier transactions of $25,000 or more - 49 CFR 29)

a. By signing and submitting this proposal, the prospective lower tier is providing the certification set out below.

b. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department, or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

c. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous by reason of changed circumstances.

d. The terms "covered transaction," "debarred," "suspended," "ineligible," "primary covered transaction," "participant," "person," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

e. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

f. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

g. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

h. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

i. Except for transactions authorized under paragraph e of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

* * * * *

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions:

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

* * * * *

XII. CERTIFICATION REGARDING USE OF CONTRACT FUNDS FOR LOBBYING

(Applicable to all Federal-aid construction contracts and to all related subcontracts which exceed $100,000 - 49 CFR 20)

1. The prospective participant certifies, by signing and submitting this bid or proposal, to the best of his or her knowledge and belief, that:

a. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

b. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

2. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

3. The prospective participant also agrees by submitting his or her bid or proposal that he or she shall require that the language of this certification be included in all lower tier subcontracts, which exceed $100,000 and that all such recipients shall certify and disclose accordingly.

KENTUCKY TRANSPORTATION CABINET
DEPARTMENT OF HIGHWAYS

EMPLOYMENT REQUIREMENTS RELATING TO NONDISCRIMINATION OF EMPLOYEES (APPLICABLE TO FEDERAL-AID SYSTEM CONTRACTS)

AN ACT OF THE KENTUCKY GENERAL ASSEMBLY TO PREVENT DISCRIMINATION IN EMPLOYMENT
KRS CHAPTER 344
EFFECTIVE JUNE 16, 1972

The contract on this project, in accordance with KRS Chapter 344, provides that during the performance of this contract, the contractor agrees as follows:

1. The contractor shall not fail or refuse to hire, or shall not discharge any individual, or otherwise discriminate against an individual with respect to his compensation, terms, conditions, or privileges of employment, because of such individual's race, color, religion, national origin, sex, disability or age (between forty and seventy); or limit, segregate, or classify his employees in any way which would deprive or tend to deprive an individual of employment opportunities or otherwise adversely affect his status as an employee, because of such individual's race, color, religion, national origin, sex, disability or age (between forty and seventy). The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided setting forth the provisions of this nondiscrimination clause.

2. The contractor shall not print or publish or cause to be printed or published a notice or advertisement relating to employment by such an employer or membership in or any classification or referral for employment by the employment agency, indicating any preference, limitation, specification, or discrimination, based on race, color, religion, national origin, sex, disability or age (between forty and seventy), except that such notice or advertisement may indicate a preference, limitation, or specification based on religion, or national origin when religion, or national origin is a bona fide occupational qualification for employment.

3. If the contractor is in control of apprenticeship or other training or retraining, including on-the-job training programs, he shall not discriminate against an individual because of his race, color, religion, national origin, sex, disability or age (between forty and seventy), in admission to, or employment in any program established to provide apprenticeship or other training.

4. The contractor will send to each labor union or representative of workers with which he has a collective bargaining agreement or other contract or understanding, a notice to be provided advising the said labor union or workers' representative of the contractor's commitments under this section, and shall post copies of the notice in conspicuous places available to employees and applicants for employment. The contractor will take such action with respect to any subcontract or purchase order as the administrating agency may direct as a means of enforcing such provisions, including sanctions for non-compliance.

REVISED: 12-3-92

PROJECT: **WASHINGTON COUNTY, BRZ 0403 (160), FD52 115 1584 000-001**
LETTING: **02-14-2003**

NOTICE OF REQUIREMENT FOR AFFIRMATIVE ACTION TO ENSURE EQUAL EMPLOYMENT OPPORTUNITY (Executive Order 11246)

1. The Offeror's or Bidder's attention is called to the "Equal Opportunity Clause" and the "Standard Federal Equal Employment Specifications" set forth herein.

2. The goals and timetables for minority and female participation, expressed in percentage terms for the Contractor's aggregate work force in each trade on all construction work in the covered area, are as follows:

TIMETABLE	GOALS FOR MINORITY PARTICIPATION IN EACH TRADE	GOALS FOR FEMALE PARTICIPATION IN EACH TRADE
	9.6%	6.9

These goals are applicable to all the Contractor's construction work (whether or not it is Federal or federally-assisted) performed in the covered area. If the contractor performs construction work in a geographical area located outside of the covered area, it shall apply the goals established for such geographical area where the work is actually performed. With regard to this second area, the contractor also is subject to the goals for both its federally involved and non-federally involved construction.

The Contractor's compliance with the Executive Order and the regulations in CFR Part 60-4 shall be based on its implementation of the Equal Opportunity Clause, specific affirmative action obligations required by the specifications set forth in 41 CFR 60-4, 3(a), and its efforts to meet the goals. The hours of minority and female employment and training must be substantially uniform throughout the length of the contract, and in each trade, and the contractor shall make a good faith effort to employ minorities and women evenly on each of its projects. The transfer of minority or female employees or trainees from Contractor to Contractor or from project to project for the sole purpose of meeting the Contractor's goals shall be a violation of the contract, the Executive Order and the regulations in 41 CFR Part 60-4. Compliance with the goals will be measured against the total work hours performed.

3. The Contractor shall provide written notification to the Director of the Office of Federal Contract Compliance Programs within ten (10) working days of award of any construction subcontract in excess of $10,000.00 at any tier for construction work under the contract resulting from this solicitation. The notification shall list the name, address and telephone number of the subcontractor; employer identification number of the subcontractor; estimated dollar amount of the subcontract; estimated starting and completion dates of the subcontract; and the geographical area in which the subcontract is to be performed. The notification shall be mailed to:

Carol Gaudin, Regional Director
Office of Federal Contract Compliance Programs
61 Forsyth Street, SW, Suite 7B75
Atlanta, Georgia 30303-8609
(404) 562-2424

4. As used in this Notice, and in the contract resulting from this solicitation, the **"covered area"** is Washington County.

EXECUTIVE BRANCH CODE OF ETHICS

In the 1992 regular legislative session, the General Assembly passed and Governor Brereton Jones signed Senate Bill 63 (codified as KRS 11A), the Executive Branch Code of Ethics, which states, in part:

KRS 11A.040 (6) provides:

No present or former public servant shall, within six (6) months of following termination of his office or employment, accept employment, compensation or other economic benefit from any person or business that contracts or does business with the state in matters in which he was directly involved during his tenure. This provision shall not prohibit an individual from returning to the same business, firm, occupation, or profession in which he was involved prior to taking office or beginning his term of employment, provided that, for a period of six (6) months, he personally refrains from working on any matter in which he was directly involved in state government. This subsection shall not prohibit the performance of ministerial functions, including, but not limited to, filing tax returns, filing applications for permits or licenses, or filing incorporation papers.

KRS 11A.040 (8) states:

A former public servant shall not represent a person in a matter before a state agency in which the former public servant was directly involved, for a period of one (1) year after the latter of:
a) The date of leaving office or termination of employment; or
b) The date the term of office expires to which the public servant was elected.

This law is intended to promote public confidence in the integrity of state government and to declare as public policy the idea that state employees should view their work as a public trust and not as a way to obtain private benefits.

If you have worked for the executive branch of state government within the past six months, you may be subject to the law's prohibitions. The law's applicability may be different if you hold elected office or are contemplating representation of another before a state agency.

Also, if you are affiliated with a firm which does business with the state and which employs former state executive-branch employees, you should be aware that the law may apply to them.

In case of doubt, the law permits you to request an advisory opinion from the Executive Branch Ethics Commission, Room 136, Capitol Building, 700 Capitol Avenue, Frankfort, Kentucky 40601; telephone (502) 564-7954.

PART IV

INSURANCE

The Contractor shall carry the following insurance in addition to the insurance required by law:

(1) Contractor's Public Liability Insurance not less than $100,000.00 for damages arising out of bodily injuries to or death to one person. Not less than $300,000.00for damages arising out of bodily injuries to or death to two or more persons.

(2) Contractor's Property Damages Liability Insurance. Not less than $100,000.00 for all damages arising out of injury or destruction of property in any one accident. Not less than $300,000.00 for all damages during the policy period.

(3) Contractor's Protective Public Liability and Property Damage Insurance. The contractor shall furnish evidence with respect to operations performed for him by subcontractors that he carries in his own behalf for the above stipulated amounts.

(4) The insurance required above must be evidenced by a Certificate of Insurance and this Certificate of Insurance must contain one of the following statements:

a. "policy contains no deductible clauses."

b. "policy contains a _____ deductible property
(amount)
damage clause but company will pay claim and collect the deductible from the insured."

(5) WORKMEN'S COMPENSATION INSURANCE. The contractor shall furnish evidence of coverage of all his employees or give evidence of self-insurance by submitting a copy of a certificate issued by the Workmen's Compensation Board.

PART V

STATEMENT OF INCOMPLETED WORK

1. Status of Active Prime Contracts. Attached

1. STATUS OF ALL INCOMPLETED PRIME CONTRACTS

All active prime contracts must be reported. This includes prime contracts with public and private owners and joint-ventured contracts. The names of the joint venturers must be shown when reporting these projects. A machine or typed listing reporting the status of each contract is acceptable when attached to this report; however, the total amounts on the itemized listing must be reported in the space provided below:

CONTRACT WITH	PROJECT IDENTIFICATION	PRIME CONTRACT AMOUNT	EARNINGS THROUGH LAST APPROVED ESTIMATE	TOTAL AMOUNT OF WORK REMAINING
TOTAL (Attach Summary if not itemized above)		$	$	$

PART VI

BID ITEMS

THE QUANTITY SHEET(S) REPRESENTS THE ESTIMATED QUANTITIES (ONLY) FOR THE SUBJECT PROJECT. PROPOSAL(S) MAY NOT BE AVAILABLE WHEN THE QUANTITIES ARE POSTED.
YOUR BID **WILL NOT** BE CONSIDERED IF THESE SHEET(S) ARE MADE A PART OF THE BID PROPOSAL WHICH YOU SUBMIT TO THE KENTUCKY DEPARTMENT OF HIGHWAYS.

TRANSPORTATION CABINET
Department of Highways
FRANKFORT, KY 40622

Sheet No: 1
PCN: 03-0059
Letting: 2/14/2003

WASHINGTON COUNTY
BRZ 0403 (160)

Item No.	Code No.	Item	Approximate Quantity	Unit	Unit Price Dollars	Amount Dollars
		BRIDGE AND CULVERT QUANTITIES				
1	8002	STRUCTURE EXCAV-SOLID ROCK	**30.00**	CU YD		
2	2998	MASONRY COATING	**153.00**	SQ YD		
3	8100	CONCRETE-CLASS A	**90.10**	CU YD		
4	8104	CONCRETE-CLASS AA	**28.70**	CU YD		
5	8151	STEEL REINF-EPOXY COATED	**5,697.00**	LB		
6	8150	STEEL REINFORCEMENT	**5,547.00**	LB		
7	8667	PRECAST PC BOX BEAM SB12	**106.00**	LIN FT		
8	3299	ARMORED EDGE FOR CONCRETE	**62.10**	LIN FT		
9	8801	GUARDRAIL-STEEL W BM-S FACE BR	**44.80**	LIN FT		
10	2355	GUARDRAIL-STEEL W BM-S FACE A	**100.00**	LIN FT		
11	8003	FOUNDATION PREPARATION	**1.00**	LP SUM		
		ROADWAY QUANTITIES				
12	2200	ROADWAY EXCAVATION	**1,540.00**	CU YD		
13	2204	SPECIAL EXCAVATION	**42.00**	CU YD		
14	5997	TOPSOIL FURNISHED AND PLACED	**150.00**	CU YD		
15	2242	WATER	**10.00**	M GAL		
16	6514	PAVE STRIPING-PERM PAINT-4 IN	**3,212.00**	LIN FT		
17	2562	SIGNS	**115.00**	SQ FT		
18	2014	BARRICADE-TYPE III	**2.00**	EACH		
19	2351	GUARDRAIL-STEEL W BEAM-S FACE	**325.00**	LIN FT		
20	2355	GUARDRAIL-STEEL W BM-S FACE A	**100.00**	LIN FT		

NON-BIDDING SHEET

THE QUANTITY SHEET(S) REPRESENTS THE ESTIMATED QUANTITIES (ONLY) FOR THE SUBJECT PROJECT. PROPOSAL(S) MAY NOT BE AVAILABLE WHEN THE QUANTITIES ARE POSTED.
YOUR BID **WILL NOT** BE CONSIDERED IF THESE SHEET(S) ARE MADE A PART OF THE BID PROPOSAL WHICH YOU SUBMIT TO THE KENTUCKY DEPARTMENT OF HIGHWAYS.

TRANSPORTATION CABINET
Department of Highways
FRANKFORT, KY 40622

Sheet No: 2
PCN: 03-0059
Letting: 2/14/2003

WASHINGTON COUNTY
BRZ 0403 (160)

Item No.	Code No.	Item	Approximate Quantity	Unit	Unit Price Dollars	Amount Dollars
21	2360	GUARDRAIL TERMINAL SECT NO 1	**3.00**	EACH		
22	2371	GUARDRAIL END TREATMENT TYPE 7	**1.00**	EACH		
23	0440	ENTRANCE PIPE-15 INCH	**62.00**	LIN FT		
24	0441	ENTRANCE PIPE-18 INCH	**98.00**	LIN FT		
25	5985	SEEDING AND PROTECTION	**1,069.00**	SQ YD		
26	5953	TEMP SEEDING AND PROTECTION	**161.00**	SQ YD		
27	5989	SPECIAL SEEDING CROWN VETCH	**540.00**	SQ YD		
28	5990	SODDING	**1,736.00**	SQ YD		
29	5950	EROSION CONTROL BLANKET	**902.00**	SQ YD		
30	2704	SILT TRAP TYPE B	**4.00**	EACH		
31	2707	CLEAN SILT TRAP TYPE B	**4.00**	EACH		
32	2705	SILT CHECK	**14.00**	EACH		
33	2708	CLEAN SILT CHECK	**14.00**	EACH		
34	2701	TEMPORARY SILT FENCE	**180.00**	LIN FT		
35	2709	CLEAN TEMPORARY SILT FENCE	**360.00**	LIN FT		
36	2484	CHANNEL LINING CLASS III	**109.00**	TON		
37	2585	EDGE KEY	**70.00**	LIN FT		
38	0001	D G A BASE	**918.00**	TON		
39	0190	LEVELING AND WEDGING PG64-22	**55.00**	TON		
40	0220	CL1 ASPH BASE 0.75D PG64-22	**771.00**	TON		
41	0300	CL1 ASPH SURF 0.38D PG64-22	**152.00**	TON		

NON-BIDDING SHEET

THE QUANTITY SHEET(S) REPRESENTS THE ESTIMATED QUANTITIES (ONLY) FOR THE SUBJECT PROJECT. PROPOSAL(S) MAY NOT BE AVAILABLE WHEN THE QUANTITIES ARE POSTED.
YOUR BID **WILL NOT** BE CONSIDERED IF THESE SHEET(S) ARE MADE A PART OF THE BID PROPOSAL WHICH YOU SUBMIT TO THE KENTUCKY DEPARTMENT OF HIGHWAYS.

TRANSPORTATION CABINET
Department of Highways
FRANKFORT, KY 40622

Sheet No: 3
PCN: 03-0059
Letting: 2/14/2003

WASHINGTON COUNTY
BRZ 0403 (160)

Item No.	Code No.	Item	Approximate Quantity	Unit	Unit Price Dollars	Amount Dollars
42	2545	CLEARING AND GRUBBING (1.05 ACRE)	**1.00**	LP SUM		
43	2726	STAKING	**1.00**	LP SUM		
44	2650	MAINTAIN AND CONTROL TRAFFIC	**1.00**	LP SUM		
45	2731	REMOVING EXISTING STRUCTURE	**1.00**	LP SUM		
46	2569	DEMOBILIZATION	**1.00**	LP SUM		
47		**TOTAL BID**				$.

NON-BIDDING SHEET

PART VII

CERTIFICATIONS

1.	Provisions Relative to Senate Bill 258 (1994)	Attached
2.	Certification for Federal-Aid Contract	Attached
3.	Certification	Attached
4.	Non-Collusion Certification	Attached
5.	Certification with regard to the Performance of Previous Contracts or Subcontracts	Attached
6.	Certification of Bid Proposal	Attached

PROVISIONS RELATIVE TO SENATE BILL 258 (1994)

During the performance of the contract, the contractor agrees to comply with applicable provisions of:

1.	KRS 136	Corporation and Utility Taxes
2.	KRS 139	Sale and Use Taxes
3.	KRS 141	Income Taxes
4.	KRS 337	Wages and Hours
5.	KRS 338	Occupational Safety and Health of Employees
6.	KRS 341	Unemployment Compensation
7.	KRS 342	Workers Compensation

Any final determinations of a violation by the contractor within the previous five (5) years pursuant to the applicable statutes above are revealed as follows:

_____

_____

_____

_____

_____

_____

_____

_____

CERTIFICATION FOR FEDERAL-AID CONTRACT

The prospective participant certifies, by signing and submitting this bid or proposal, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agent.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

This certification is a material representation of fact which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

The prospective participant also agrees by submitting his or her bid or proposal that he or she shall require that the language of this certification be included in all lower tier subcontracts, which exceed $100,000 and that all such subrecipients shall certify and disclose accordingly.

_____

(Insert name of Individual, Joint Venture, Co-partnership, or Corporation submitting bid).

_____

(Signature)

_____

(Title)

CERTIFICATION

COMMONWEALTH OF KENTUCKY

COUNTY _____
PROJECT NO. _____

I, _____, _____, under penalty
(President or Authorized Official of Bidder) (Title)

perjury under the laws of the United States, do hereby certify that, except as noted below,

_____
(Insert name of individual, Joint Venture, Co-Partnership or Corporation Submitting Bid)

any person associated therewith in the capacity of (owner, partner, director, officer, principal investigator, project director, manager, auditor, or any position involving the Administration of Federal Funds): is not currently under suspension, debarment, voluntary exclusion, or determination of ineligibility by any federal agency; has not been suspended, debarred, voluntarily excluded or determined ineligible by any federal agency within the past 3 years; does not have a proposed debarment pending; and has not been indicted, convicted, or had a civil judgement rendered against (it) by a court of competent jurisdiction in any matter involving fraud or official misconduct within the past 3 years.

Please list below any exceptions to the foregoing, to whom it applies, initiating agency and dates of action.

Exceptions: _____

_____

_____ _____
(Signature) (Title)

REVISED: 8-23-89

NON-COLLUSION CERTIFICATION

COMMONWEALTH OF KENTUCKY
COUNTY _____
PROJECT NO. _____

I, _____, _____, under
(Name of officer signing certification) (Title)

penalty of perjury under the laws of the United States, do hereby certify that

_____,
(Insert name of Individual, Joint Venture, Co-partnership, or Corporation submitting bid)

its agent, officers or employees have not directly or indirectly entered into any agreement, participated in any collusion, or otherwise taken action in restraint of free competitive bidding in connection with this proposal.

_____
(Signature)

_____
(Title)

REVISED: 8-23-89

NON-COLLUSION CERTIFICATION

COMMONWEALTH OF KENTUCKY
COUNTY _____
PROJECT NO. _____

I, _____, _____, under
(Name of officer signing certification) (Title)

penalty or perjury under the laws of the United States, do hereby certify that

_____, (In
sert name of Individual, Joint Venture, Co-partnership, or Corporation submitting bid)

its agent, officers or employees have not directly or indirectly entered into any agreement, participated in any collusion, or otherwise taken action in restraint of free competitive bidding in connection with this proposal.

_____
(Signature)

_____
(Title)

REVISED: 8-23-89

Certification with regard to the Performance of Previous Contracts or Subcontracts subject to the Equal Opportunity Clause and the filing of Required Reports.

The bidder _____, proposed subcontractor _____, hereby certifies that he has ____, has not _____, participated in a previous contract or subcontract subject to the equal opportunity clause, as required by Executive Orders 10925, 11114, or 11246, and that he has _____, has not _____, filed with the Joint Reporting Committee, the Director of the Office of Federal Contract

Compliance, a Federal Government contracting or administering agency, or the Former President's

Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements.

_____
(Company)

By: _____

_____
(Title)

Date: _____

NOTE: The above certification is required by the Equal Employment Opportunity Regulations of the Secretary of Labor (41 CFR 60-1.7(b) (1)), and must be submitted by bidders and proposed subcontractors only in connection with the contracts and subcontracts which are subject to the equal opportunity clause. Contracts and subcontracts which are exempt from the equal opportunity clause are set forth in 41 CFR 60-1.5. (Generally only contracts or subcontracts of $10,000 or under are exempt.)

Currently, Standard Form 100 (EEO-1) is the only report required by the Executive Orders of their implementing regulation.

Proposed prime contractors and subcontractors who have participated in a previous contract or subcontract subject to the Executive Orders and have not filed reports should note that 41 CFR 60-1.7(b) (1) prevents the award of contracts and subcontracts unless such contractor submits a report covering the delinquent period or such other period specified by the Federal Highway Administration or by the Director, Office of Federal Contract Compliance, U.S. Department of Labor.

CERTIFICATION OF BID PROPOSAL

We (I) propose to furnish all labor, equipment and materials necessary to construct and/or improve the subject project in accordance with the plans, the Transportation Cabinet's Standard Specifications for Road and Bridge Construction, current edition, special provisions, notes applicable to the project as indicated herein and all addenda issued on this project subsequent to purchase of proposal.

We (I) attach a bid proposal guaranty as provided in the special provisions in an amount not less than 5% of the total bid. We agree to execute a contract in accordance with this bid proposal within 15 calendar days after the receipt of the notice of award for the project.

We (I) have examined the site of proposed work, project plans, specifications, special provisions, and notes applicable to the project referred to herein. We understand that the quantities shown herein are estimated quantities subject to increase or decrease as provided in the specifications.

"The bidder certifies that it has secured participation by Disadvantaged Business Enterprises ("DBE") in the amount of ____ percent of the total value of this contract and that the DBE participation is in compliance with the requirements of 49 CFR 26 and the policies of the Kentucky Transportation Cabinet pertaining to the DBE Program."

_____
Name of Contracting Firm

BY: _____
Authorized Agent Title

_____
Address City State Zip Code

_____
Telephone Number

When two or more organizations bid as a joint venture, enter names of each organization and an authorized agent for each organization must sign above.