

SECTION ENGINEER'S REFERENCE GUIDE



SPRING 2011

Flow of a Typical Kentucky Transportation Cabinet Construction Project According to the 2008 Specifications and the Construction Guidance Manual

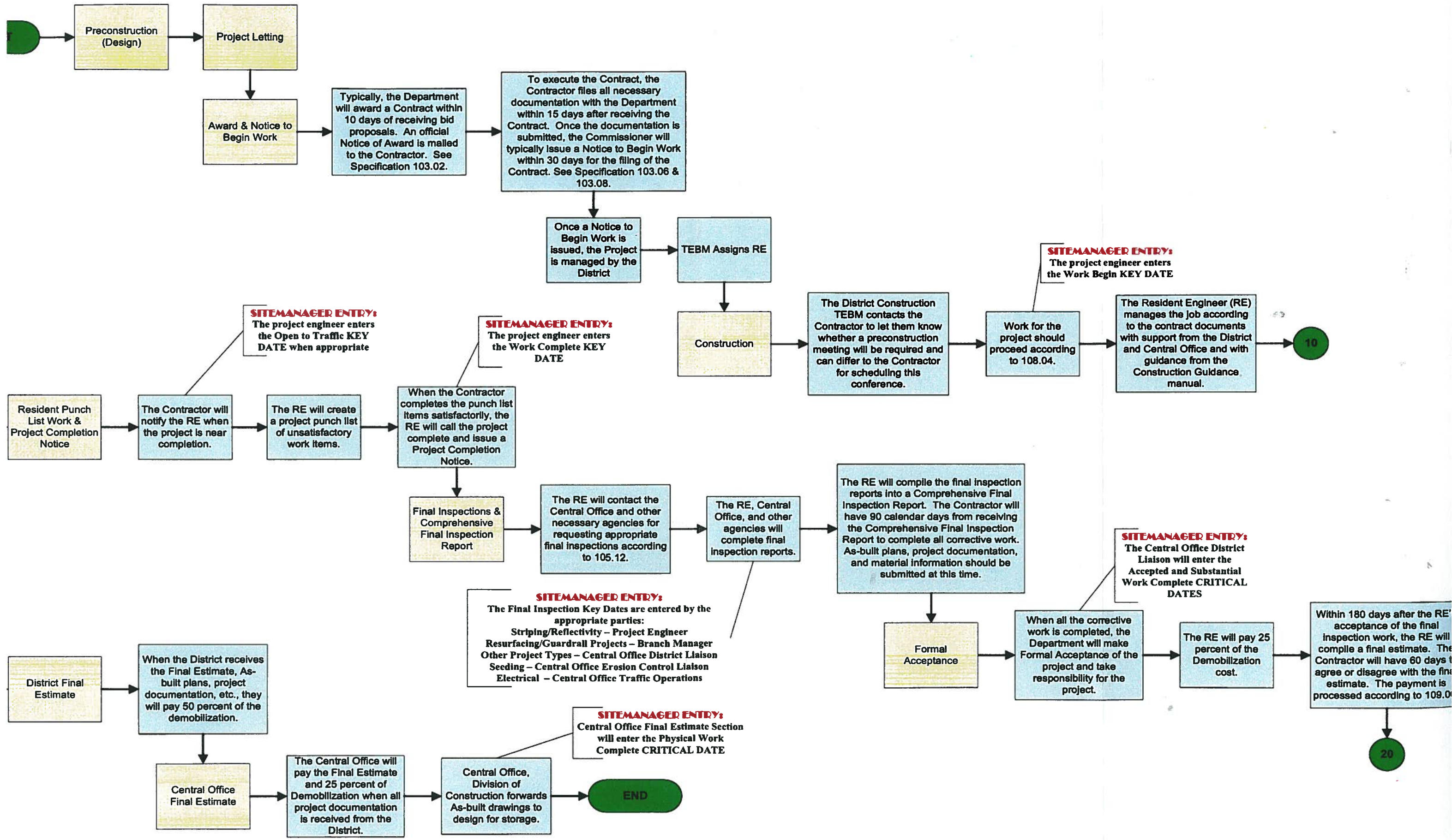


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1

PROJECT BIRTH
 By: Dr. Jeff Jasper & Dr. Ryan Griffith*

PROJECT BIRTH

Medical: Procreation - the biological process by which new "offspring" are produced from their "parents".

KYTC Project: KYTC Mission 

To provide a safe, efficient, environmentally sound and fiscally responsible transportation system which promotes economic growth and enhances the quality of life in Kentucky.

PROJECT BIRTH

Medical: Family planning – the planning of when to have children

KYTC Project:

- Statewide Transportation Plan
- Six-Year Highway Plan

PROJECT BIRTH

Medical: D.N.A. – a nucleic acid that contains the genetic instructions used in the development of all known living organisms

KYTC Project: D.N.A. Study – Data Needs Analysis

Study Purpose –

- Determine the need for the project & define the scope
- Identify potential issues (environmental, right of way, and utility)
- Calculate cost estimates

PROJECT BIRTH

Medical: Conception - the fusion of an ovum with a sperm, which leads to the development of an embryo.

KYTC Project:

- Project Authorization for Design
- Project Manager Assigned
- Project Development Team Selected

PROJECT BIRTH

Medical: Gestation period - the time in which a fetus develops, beginning with fertilization and ending at birth.

KYTC Project:

- Project Authorization, Scope, Schedule, and Cost
- Conceptual Design (Phase 1 Design)
- Final Design (Phase 2 Design)

PROJECT BIRTH

Medical: First trimester and second trimester
KYTC Project:

Conceptual Design (Phase 1 Design):

The product – A transportation decision
with an approved environmental
document.

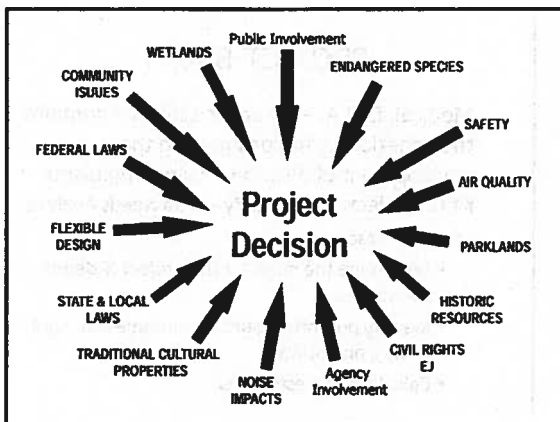
PROJECT BIRTH

Medical: First trimester and second trimester
KYTC Project:

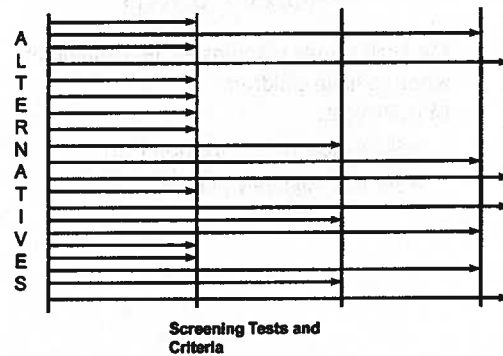
Conceptual Design (Phase 1 Design):

The decision-making process –

- » Purpose and Need
- » Range of Alternatives
- » Scope of Impacts
- » Selected Alternative



ALTERNATIVE ANALYSIS



PROJECT BIRTH

Medical: First trimester and second trimester
KYTC Project:

Conceptual Design (Phase 1 Design):

The decision-making process –

- » Purpose and Need
- » Range of Alternatives
- » Scope of Impacts
- » Selected Alternative

PROJECT BIRTH

Medical: Third trimester
KYTC Project:

Final Design (Phase 2 Design):

- » Create the plans & documents needed for
 - Right-of-Way Acquisition,
 - Utility Relocation, and
 - Project Construction.

All right. It is
Go Time! We
are having a
baby..er...
letting a
project



Medical: Water's broke—It is only a
matter of time. Get to the Hospital.
KYTC Project: The project is scheduled
for a letting.

- Project is passed from Highway Design to Construction Procurement

Medical: Signing Papers at the Hospital
KYTC Project: DCP receives documents
7 wks prior to letting to "prep" for the
"big moment"

- Building project in PES program that feeds SiteManager
- Adding project specific proposal notes.
- Adding ROW cert and Utility Clearance Notes
- Adding Permits.

Medical: Prep. In the room
KYTC Project : DCP-Advertising Section
receives 5 weeks prior to the Letting

- Attaches Federal and State notes
- Attaches Prevailing Wage notes
- Establish DBE goal
- Prepare Draft Authority to Advertise

Medical: The Doctor shows up
KYTC Project : Advertise the project

- Federal law says must advertise for 3 weeks
- Plans and Proposal are posted
- Bid item quantity list is posted
- EBS (electronic bid file) is posted

Medical: Time to push
KYTC Project : Advertising Period

- Processing addendums
- Handling Q/A on the projects
- Preparing the Engineer's Estimate

Medical: The baby is here and everyone wants to see

KYTC Project: Project has a low bidder and they are ready to go to work

- Awards Meeting—Approximately 12 days after letting (FHWA concurrence on full-oversight)
- Checks—Eligibility, Excluded Parties, EEO compliance
- Bid review—Look for materially and mathematically unbalanced

KYTC Project: The baby/project is here cont.

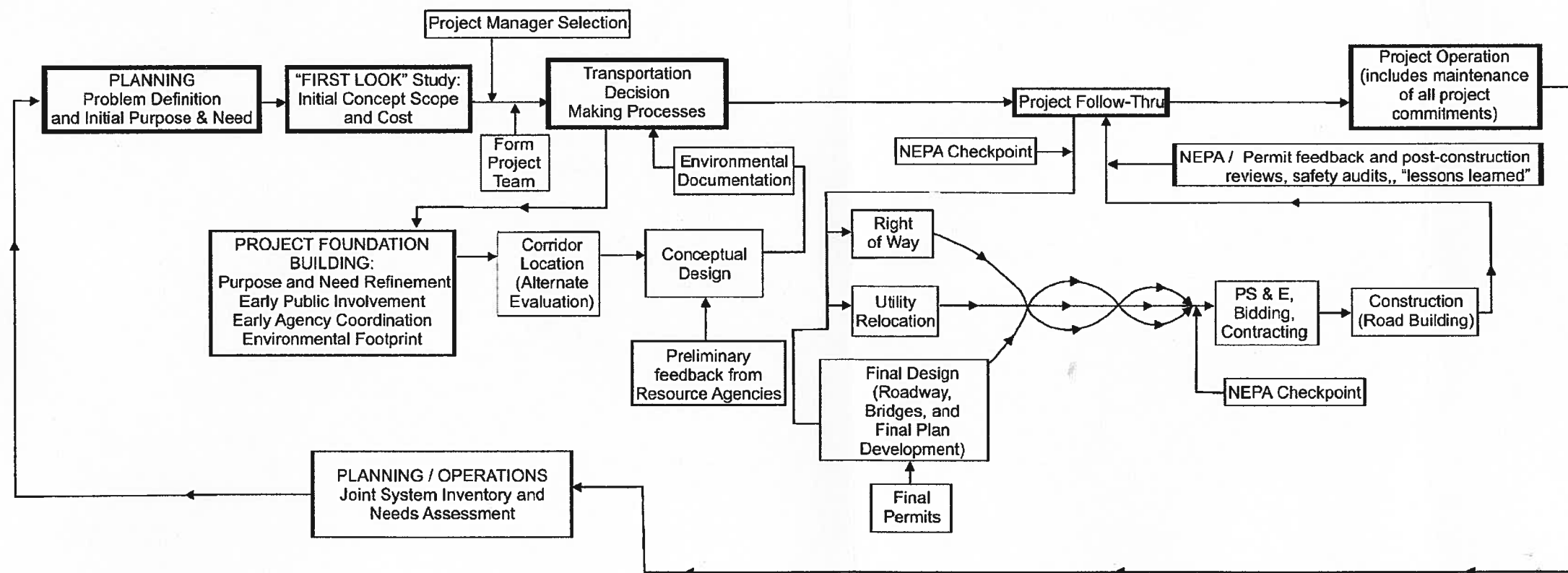
- If awarded, contract is sent to contractor
- Returned to DCP with required documents
- Office of Legal Services endorses
- DCP endorses

Notice to Begin Work/Work order is issued




Project Delivery Core Processes


("Project ID+Scope" Thru "Road Building" and Maintenance)




2

 **NOI, NOT & Erosion Control**


- Erosion Control Notes
 - Rain Gauge(s) must be installed on all projects that have a KPDES general permit or individual permit
 - All State and Contractor personnel doing erosion and sediment control inspections must be KEPSC or KEPSC-RI certified

 **NOI, NOT & Erosion Control**

- District To-Do List
 - File for NOI and NOT when KPDES permit is in the Cabinet's name
 - Coordinate with the Contractor concerning the BMP plan
 - Inspect erosion control weekly or within 24 hours of a ½ inch rainfall event...AND do the paperwork
 - RAIN GAUGE(S)...can get them from the District Environmental Coordinator

 **Subcontracts**

- "If there is not a subcontract or lease agreement represented under the contract, the subcontractor is not approved. Please call to discuss." Division of Construction, Ben Baker (502) 564-4780
- Subcontractors are only to be performing work items according to their approved subcontract.
- Check SiteManager or subcontract as emailed or in ProjectWise
- Do not allow a subcontractor to perform work they not approved for outside of a lease agreement.

 **Subcontracts**


- District To-Do List
 - Ensure subcontract is accurate in SiteManager
 - Ensure a copy is stored in the project file and ProjectWise
 - Ensure only subcontractors approved to perform work are doing so on projects

 **Equipment Lease/Rental Agreements**


- All work on a project must either be performed by the Prime Contractor, a Subcontractor with an approved Subcontract to perform specific work items, or by the Prime Contractor through a Lease Agreement
- Agreements must be reviewed and approved or denied by the TEBM
- Equipment operators and other personnel associated with the operations must be on the Prime Contractors payroll

 **Equipment Lease/Rental Agreements**


- District To-Do List
 - Review and approve or deny Equipment Lease/Rental Agreements
 - Forward copies of approved agreements to applicable parties
 - Ensure no contract work is performed outside of an approved Subcontract, Equipment Lease/Rental Agreement, or by the Prime Contractor themselves

 **Preconstruction Meeting**


- Preconstruction conferences should not occur prior to award
- The decision to have a Preconstruction Meeting is made by the TEBM
- Encourage project discussion and review the project proposal and plans as part of the meeting
- The Contractor is to make a presentation of their proposed plan for completing the project.

 **Preconstruction Meeting**


- Use the meeting to coordinate future meetings
 - Prepave Meeting
 - Prepour Meeting
 - Progress Meetings
 - Informal Partnering
- Be sure the minutes are written and digitally recorded.
- Meeting options

 **Preconstruction Meeting**


- District To-Do List
 - TEBM decides whether to have the meeting or not
 - TEBM, or designee, will coordinate meeting and invite attendees
 - Ensure Contractor invites their subcontractors
 - Record meeting minutes (written and digital recording)
 - Distribute meeting minutes and store a copy in ProjectWise

 **Preconstruction Meeting Checklist**

- Acts as a guide/agenda for the meeting.
- Some items do not apply. Skip them.
- Complete page one prior to the meeting
 - Sent to the Contractor to fill in their information
 - Don't spend time reading phone numbers
 - The meeting is to discuss the project

 **Preconstruction Meeting Checklist**


- District To-Do List
 - Distribute copies as requested on the sign in sheet

 **Contractor Payrolls & Wage Rate Compliance**


- Contractor Payrolls
 - **POLICY:** Certified copies of weekly payrolls will be maintained within the state by every contractor and subcontractor performing public works under contract with the Department of Highways.
 - Federal funded projects: must be submitted to the Section Office and the Division of Construction Procurement
 - State funded projects: they may be requested at any time

 **Contractor Payrolls & Wage Rate Compliance**


- Wage Rate Compliance
 - Make at least one wage check per contractor (prime and subs) each construction season
 - On large projects, check approximately every 6 months while work is active
 - Record the wage checks on a TC 14-312 eform and place it in the file, ProjectWise file, and forward a copy to the Division of Construction Procurement

 **Contractor Payrolls & Wage Rate Compliance**


- District To-Do List
 - The Section Engineer must check Contractor payroll compliance according to the checklist the corresponding guidance or designate the District Office Project Delivery and Preservation staff to complete the check

 **Progress Schedules**


- What controls what is supposed to be submitted?
 - Written Narrative
 - Bar Chart
 - CPM Schedule

 **Progress Schedules**


- What should these submissions entail when I am reviewing them?
 - Written Narrative
 - Bar Chart
 - CPM Schedule

 **Progress Schedules**

- How should I be using these documents?
 - Written Narrative
 - Bar Chart
 - CPM Schedule

 **Progress Schedules**


- District To-Do List
 - Review submittals; do not send them forward until satisfactory
 - Place copies in the project file, ProjectWise file, and send to District & Central Office
 - Check the approved schedule lists
 - Ensure field staff has copies of the scheduling documents and checks them to Contractor progress

 **Contract Time**

- What's the difference?
 - Working Day Contracts
 - Calendar Day Contracts
 - Fixed Completion Date Contracts

 **Contract Time**

- What about extensions of contract time?
 - Working Day Contracts
 - Calendar Day Contracts
 - Fixed Completion Date Contracts
- Weather??? Seasons???


 **Contract Time**

- District To-Do List
 - Know your contract
 - More guidance in remaining sessions

QUESTIONS???

Stephen.Bowling@ky.gov

Roy.Sturgill@ky.gov



Project in a Day—Breakout Session #2

Project Infancy

Stephen Bowling & Roy Sturgill

Topics

NOI, NOT & Erosion Control

Subcontracts

Equipment Lease/Rental Agreements

Preconstruction Meeting

Preconstruction Checklist

Contractor Payrolls & Wage Rate

Compliance

Progress Schedules

Contract Time

NOI, NOT & Erosion Control

- **Resources**
 - Standard Specifications (2008) 212 EROSION CONTROL, 213 WATER POLLUTION CONTROL, 827 EROSION CONTROL MATERIALS
 - Construction Guidance Manual CST 701 through CST 712 plus exhibits
 - Construction Memo 02-06: KPDES BMP Inspection & Maintenance
 - Construction Memo 03-07: KPDES
 - Construction Memo 08-09: NOI eForm Policy—Joint Design Memo 06-09
 - Construction Memo 01-11: Kentucky Erosion Prevention and Sediment Control—Roadway Inspectors Course (KEPSC-RI)
- **Guidance Notes**
 - The Electronic Notice of Intent (eNOI) must be submitted 7 days prior to the start of work. Filing for the eNOI should be done as soon after award as possible and no work should be allowed on the project until the NOI is issued.
 - Make sure the dates for the NOI and NOT are entered in SiteManager.
 - Do not submit the NOT until project has been given formal acceptance.
 - Rain Gauge(s) must be on all projects that have a KPDES general permit or individual permit.
 - All state and contractor personnel doing erosion and sediment control inspections must be KEPSC or KEPSC-RI certified.
 - Erosion control inspections are to be completed on the TC 63-61 Erosion Inspection Report weekly and after ½ inch rainfall events.
- **Attachments**
 - **Attachment 1:** TC 63-61 Erosion Inspection Report (5-day letter)
[http://transportation.ky.gov/construction/forms/TC63-61 Erosion Inspection Report Rev 6-28-07.xls](http://transportation.ky.gov/construction/forms/TC63-61%20Erosion%20Inspection%20Report%20Rev%206-28-07.xls)
 - **Attachment 2:** TC 63-61A Erosion Inspection Report (Contractor Responsible for Permit)
[http://transportation.ky.gov/construction/forms/TC63-61A Erosion Inspection Report Rev 9-18-08.xls](http://transportation.ky.gov/construction/forms/TC63-61A%20Erosion%20Inspection%20Report%20Rev%209-18-08.xls)
 - **Attachment 3:** Construction Memo 08-09: NOI eForm Policy—Joint Design Memo 06-09
<http://transportation.ky.gov/construction//memos/pdf/CM09-08NOIeForm.pdf>
 - **Attachment 4:** Construction Memo 01-11: Kentucky Erosion Prevention and Sediment Control—Roadway Inspectors Course (KEPSC-RI)
<http://transportation.ky.gov/construction//memos/pdf/CM11-01KEPSC-RI.PDF>
- **District To-Do List**
 - File for eNOI and NOT as required where the Cabinet is responsible for the KPDES permit; ensure the Contractor has files for these when they are responsible
 - Enter NOI and NOT key dates in SiteManager
 - Work with the Contractor as need on the BMP Notebook
 - Perform Erosion Control inspections as required
 - Keep your Central Office Construction Seeding and Erosion Control Liaison apprised of project landscaping requirements (they need advanced notice at the beginning of the project to determine if they need to tag trees and plants at the nursery), also let them know when you would like final seeding and landscape inspections

Subcontracts

- **Resources**

- Standard Specifications (2008) 108.01 SUBCONTRACTING OF CONTRACT
- Construction Guidance Manual CST 304-1 through CST 304-3 plus exhibits
- Construction Memo 07-09: Affidavit Requirement
- Construction Memo 02-07: Subcontract Request Submission Requirements

- **Guidance Notes**

- As many of you may have noticed, there have been several updates to the subcontract processing and delivery. We are currently working to expedite these systems and implement electronic mailings and notifications to all parties involved. Also, in addition to the normal hard copy storage in central office, subcontracts are also being filed on ProjectWise.
- If I could convey one thought to all of you, it would be: "If there is not a subcontract or lease agreement represented under the contract, the subcontractor is not approved. Please call to discuss." Division of Construction (502) 564-4780
- Central Office Construction is making significant effort to assure that contractors working on KYDOT projects are prequalified, competent, and thoroughly screened. However, all of this work is meaningless if enforcement is not maintained in the field. Do not allow subcontractors to work on state projects without an approved subcontract or lease agreement.
- Subcontractors are only to be performing work items according to their approved subcontract. Central Office is diligently working to ensure information represented in SiteManager concerning subcontracts is accurate. If there are concerns please contact this office but do not allow a subcontractor to perform work they not approved for outside of a lease agreement.

- **Attachments**

- **Attachment 5:** Construction Memo 07-09: Affidavit Requirement
<http://transportation.ky.gov/construction/memos/pdf/CM09-07ContractorAffidavitRev.pdf>
- **Attachment 6:** Construction Memo 02-07: Subcontract Request Submission Requirements
<http://transportation.ky.gov/construction/memos/pdf/CM07-02Subcon.pdf>
- **Attachment 7:** Required Affidavit
<http://transportation.ky.gov/contract/Memos/Afidavit%204%20DBE.pdf>
- **Attachment 8:** Subcontract Request Form TC 63-35sub
<http://transportation.ky.gov/construction/forms/TC63-35sub.xlt>
- **Attachment 9:** Subcontract Request/ Supplemental TC 63-35co
<http://transportation.ky.gov/construction/forms/tc-6335co.XLT>
- **Attachment 10:** DBE Subcontract Request Form TC 63-35dbe
http://transportation.ky.gov/Contract/DBE/tc63-35_dbe.xls
- **Attachment 11:** Prequalified Contractor List Website
<http://transportation.ky.gov/Contract/Pqbook.pdf>

- **District To-Do List**

- Ensure subcontract is accurate in SiteManager
- Ensure a copy is stored in the project file and ProjectWise
- Ensure only subcontractors approved to perform work are doing so on projects

Equipment Lease/Rental Agreements

- **Resources**
 - Standard Specifications (2008) 108.01 Subcontracting of Contract
 - Construction Guidance Manual CST 305
- **Guidance Notes**
 - All work on a project must either be performed by the Prime Contractor, a Subcontractor with an approved Subcontract to perform specific work items, or by the Prime Contractor through a Lease Agreement
 - Equipment Lease/Rental Agreements must be reviewed and approved or denied by the TEBM unless the situation is an emergency in which case, the Section Engineer may approve or deny the agreement
 - In all cases, equipment operators and other personnel associated with the operations must be on the Prime Contractors payroll
 - Copies of any approved Equipment Lease/Rental Agreement should be sent to:
 - Prime Contractor
 - Subcontractor (if applicable)
 - Lessor
 - Section Engineer Project File
 - ProjectWise File
 - FHWA (if applicable)
 - Division of Construction
- **Attachments**
 - **Attachment 12:** Example Equipment Lease/Rental Agreement
- **District To-Do List**
 - Review and approve or deny Equipment Lease/Rental Agreements
 - Forward copies of approved agreements to applicable parties
 - Ensure no contract work is performed outside of an approved Subcontract, Equipment Lease/Rental Agreement, or by the Prime Contractor themselves

Preconstruction Meeting

- **Resources**
 - Standard Specifications (2008) 108.03 Preconstruction Conference
 - Construction Guidance Manual CST 209: Preconstruction Conference
- **Guidance Notes**
 - After Contract award, preconstruction MAY be scheduled by the Engineer
 - Preconstruction conferences should not occur prior to award
 - A project written narrative to be submitted 2 days prior to the conference if required
 - The Contractor or Department personnel may determine that a Preconstruction Conference is desirable based on project size, complexities, utility, railway, or time conflicts/constraints on the project
 - The decision to have a Preconstruction Meeting is made by the TEBM
 - Use the Preconstruction Checklist as it lists all specified requirements of the meeting but:
 - Discussions should follow the same goals of the informal partnering process
 - Encourage project discussion and review the project proposal and plans as part of the meeting
 - The Contractor is to make a presentation of their proposed plan for completing the project. This should correspond to the discussion of the plans and proposal and should not merely entail the Contractor reading their progress schedule.
 - Use the meeting to coordinate future meetings
 - Prepave (See CST 1104 & CST 1204-1 through CST 1204-6)
 - Prepour (CST 1307-3, CST 1312-7, and Specification 601.03)
 - Progress Meetings (Specification 108.02 & 108.03)
 - Informal Partnering (Specification 114)
 - Please be sure the minutes are written and digitally recorded. This ensures that should something go wrong with the recording, sound issues, low batteries, deleted file, etc., that there is a backup copy of what was discussed
 - The Preconstruction Conference can be held several ways according to the preferences of the TEBM. There could be three separate meetings (Preconstruction Meeting, Right-of-Way and Utilities Meeting, EEO and DBE/WBE Meeting) or they may be held concurrently
- **Attachments**
 - **Attachment 13:** Preconstruction Checklist TC 63-900
<http://transportation.ky.gov/construction/ResCenter/PreconChecklistFormFormat03222010.doc>
x
- **District To-Do List**
 - TEBM decides whether to have the meeting or not
 - TEBM, or designee, will coordinate meeting and invite attendees
 - Ensure Contractor invites their subcontractors
 - Record meeting minutes (written and digital recording)
 - Distribute meeting minutes and store a copy in ProjectWise

Preconstruction Checklist

- **Resources**
 - The most up-to-date copy of the Preconstruction Checklist can be found on the Construction Engineer's Resource Center
(<http://transportation.ky.gov/construction/ResCenter/ResCenter.htm>)
- **Guidance Notes**
 - The Preconstruction Checklist should act as a guide/agenda for the meeting.
 - There will be items on the checklist that do not apply. You can strike out these items or otherwise mark that they are not applicable to the project.
 - The first page of the checklist should be completed prior to the meeting by the TEBM or Section Engineer and sent to the Contractor to fill in their information. This information can then be submitted at the beginning of the Preconstruction Conference and quickly reviewed. Conference time should not be spent reading names and phone numbers between parties.
- **Attachments**
 - See Previous Section
- **District To-Do List**
 - See Previous Section

Contractor Payrolls and Wage Rate Compliance

- **Resources**
 - Standard Specifications (2008) 103.05 Requirement of Contract Bonds and 107.03 Labor Requirements
 - Construction Guidance Manual CST 306-1 through CST 306-2 Contractor's Payroll, and CST 307 Wage Compliance Checks
- **Guidance Notes**
 - **Contractor Payrolls**
 - **POLICY:** Certified copies of weekly payrolls will be maintained within the state by every contractor and subcontractor performing public works under contract with the Department of Highways.
 - These payrolls shall be submitted to the section engineer and the Division of Construction Procurement on federal-aid projects in compliance with contract requirements. Nonsubmittal payrolls for state contracts shall be maintained for review or submission, when requested.
 - The section engineer, or district project delivery and preservation office, shall use the following checklist items to determine payroll compliance:
 - Work classification, title, or code number for each employee.
 - Hourly wage rates for each employee, including fringe benefits, if applicable
 - Daily and weekly total hours shown
 - The certification signed by the prime contractor and subcontractors
 - Deductions itemized
 - Deductions approved
 - Arithmetical accuracy, unless computer derived
 - Overtime computations
 - Wage rate compliance checks
 - Employee's full name, address, and social security number
 - **Wage Rate Compliance**
 - The section engineer shall make at least one wage check on each contractor (prime contractors and subcontractors) during each construction season to determine that the contractor is paying at least the minimum wage established for work on the payroll.
 - Large projects or projects that last for considerable duration shall be checked on a basis of approximately every 6 months while work is active, or more often if needed
 - The section engineer shall record the wage checks on a TC 14-312 eform and place it in the file, ProjectWise file, and forward a copy to the Division of Construction Procurement
 - The Division of Construction Procurement also utilizes the TC 14-312 eform in the preparation of the Wage Compliance Report required by the Federal Highway Administration on all federal-aid projects.
 - The SE shall report wage violations through the district office to the Division of Construction Procurement. The SE shall advise the contractor of the violation.
 - Any questions or assistance is available through the Division of Construction Procurement simply address the matter to the Director, Division of Construction Procurement.
- **Attachments**
 - **Attachment 14:** Example of a Contractor's Payroll Submittal
 - **Attachment 15:** Engineer's Wage and Hour Report TC 14-312
- **District To-Do List**
 - Check Contractor payroll compliance according to the above checklist or designate the District Office Project Delivery and Preservation staff to complete the check
 - Perform wage checks for each Prime and Subcontractor at least once in a construction season; or more on larger projects or as needed
 - Complete and file TC 14-312 placing copies in the project file, ProjectWise file, and sending a copy to the Division of Construction Procurement

Progress Schedules

- **Resources**
 - Standard Specifications (2008) 108.02 Progress Schedule (Supplemental Specification Attached)
 - Special Notes for CPM Scheduling (to become Special Provision 88)
 - Construction Memo 10-09: Advisement and Guidance Regarding Supplemental Revision of 108.02
- **Notes**
 - The scenarios concerning project progress schedules can be seen in the attached flowchart
 - There are two main scenarios:
 - Standard Specification control the progress schedule requirements
 - A CPM Schedule Required by the Contract Documents (Special Notes/Provisions control progress schedule requirements)
 - If the standard specifications control:
 - A Written Narrative is required unless the project is Right of Way Mowing and/or Litter Removal or Waterborne Paint Striping
 - 2-days prior to work or preconstruction conference if applicable
 - A bar chart can be requested (a great tool; requires monthly updates of the schedule documents, i.e. bar chart and written narrative)
 - If only requiring a written narrative, updates can be through bi-weekly progress meetings or as otherwise agreed upon
 - If Special Notes/Provisions require a CPM submittal:
 - The standard specification requirements do not apply
 - Contact your Central Office Division of Construction Field Liaison for assistance
 - Currently each project requiring a CPM schedule has a Special Note specific to the requirements of that project (Special Provision 82 is no longer being used and will be updated to Special Provision 88 in the near future)
 - Review of the schedule documents
 - Written Narrative
 - Pay estimates will not be approved for a project until they have an approved written narrative (the review of some projects is the responsibility of the district office)
 - Visit the Construction Engineer's Center website to review the lists of contracts with approved written narratives at:
<http://transportation.ky.gov/construction/ResCenter/ResCenter.htm>
 - Do not process an estimate if a written narrative is not and will not be approved; also the Section Engineer should not send written narratives to District Office and Central Office personnel that they have not reviewed and approved
 - Must be on the approved form TC63-50 with all fields accurately completed
 - Must be signed by the contractor
 - **CRITICAL:** For these submissions to be useful the sequence of the work is to be described with milestones dates included for the **start and completion** of:
 - The contract
 - Each project in the contract
 - Each phase of work
 - Each site of work
 - Each segment of work as subdivided in the contract documents
 - Each subdivision of work as divided by the Contractor, i.e. each activity
 - Bar Chart
 - Calendar time on the x-axis
 - X-axis divisions no larger than 1-day
 - Display as-bid start dates and activity durations for project items, fabrications, approvals, etc. for the first 45 days in Level 1 (detailed with durations typically shorter than 10 days using locations or numbers to subdivide long duration items)

- The remaining work is acceptable in Level 2 detail (higher level but still showing a logical progression of the work and controlling operations).
 - Upon update the next 45 days should be updated to Level 1 detail
- CPM Schedules
 - Review should be coordinated with your Central Office Division of Construction Field Liaison
 - The special notes and provisions will be specific to the project and control the review of the submittals of these documents
- Use of the schedule documents
 - If you do not make use of these documents you are wasting a lot of people's time
 - They have been tested in claims for time; when accurate they have proven to be very valuable
 - The specifications contain to enforce these requirements, use them
 - Encourage your field staff to make use of these documents; ensure field staff has copies of these documents
 - The Section Office should use the documents as a planning tool
- **Attachments**
 - **Attachment 16:** Supplemental Specification for 108.02
 - **Attachment 17:** Schedule Criteria Flowchart
 - **Attachment 18:** TC 63-50 Written Narrative Form
<http://transportation.ky.gov/construction/ResCenter/WrittenNarrativeScheduleForm.pdf>
 - **Attachment 19:** Construction Memo 10-09: Supplemental Revision 2008 Specification 108.02 Progress Schedule <http://transportation.ky.gov/construction//memos/pdf/CM09-10RevSupp2008ProgSched.pdf>
 - **Attachment 20:** Examples of Good, Bad, and Ugly Written Narratives
- **District To-Do List**
 - The Section Office should review the submittals and not send them forward until satisfactory
 - Place copies of the submittal in the project file, ProjectWise file, and send to District office Central Office Construction personnel for approval
 - Check the approved schedule lists periodically to ensure approval has been given
 - Ensure field staff has copies of the scheduling documents and checks them to Contractor progress

Contract Time

- **Resources**
 - Standard Specification (2008) 108.04 Prosecution of the Work, 108.07 Determination and Extension of Contract Time (108.07.02 Working Days, 108.07.03 Calendar Days, 108.07.04 Fixed Completion Date), 108.09 Failure to Complete on Time
 - Construction Guidance Manual CST 309-1 through CST 309-6 (Covering "Contract Time," "Time Extension Request," "Working Days," "Working Day Statement," "Additional Time," and "Contract Overtime & Liquidated Damages")
 - Construction Memo 01-07: Project Completion and Liquidated Damages
- **Guidance Notes**
 - **Working Day Contracts**
 - A working day is, "A calendar day, exclusive of Saturday, Sunday, holidays, or days when the weather, seasonal, or temperature limitations of the specifications, or other conditions beyond the control of the contractor, prevent, as judged by the engineer, construction operations from proceeding for at least 5 hours by the normal working force engaged in performing the controlling item or items of work."
 - The Section Engineer is responsible determining if a contractor should be charged a working day
 - Working days are charged and tracked through SiteManager
 - The section engineer determines the controlling operation as that item or items or work that the contractor must do on that day to:
 - Move the job one day closer to completion
 - Ensure the orderly completion of the contract within the specified time
 - Permit continuation of the progress
 - The controlling operation should be a broad phase of the work.
 - The Standard Specifications specifically provide that working days are not to be charged on the following days even if the contractor performed work:
 - Saturdays, Sundays, and designated holidays
 - Days during December, January, February, and March
 - Days during which work on the controlling items are prohibited by and days during which work progressed for less than five hours by the normal working force due to:
 - Seasonal or temperature limitations as defined by the Standard Specifications
 - Weather Conditions
 - Days during which work on the controlling items is suspended by the Section Engineer, unless the suspension is due to the fault or neglect of the contractor
 - Except as outlined above, the Section Engineer will begin charging working days beginning with the 31st calendar day following the date of *Notice to Begin Work*.
 - The Section Engineer will provide the Contractor working day statements biweekly and a working day report every month except for the months of December, January, February, and March throughout the entire life of the contract regardless of whether the contract time is on working days or liquidated damages.
 - **Calendar Day Contracts**
 - The Section Engineer will charge every calendar day, beginning with the calendar day following the date of the Notice to Begin Work, including all Saturdays, Sundays, holidays, and
 - Contract time is based on the original quantities of work as defined in Subsection 102.05.
 - Time is not reduced when the final Contract cost is less than the original Contract cost because of net decreases in the quantities or the elimination of items.
 - When the final Contract cost is greater than the original Contract cost because of net increases in the original quantities or the addition of items, the Engineer will grant an extension of the Contract time.
 - Do not allow any extension of time for weather or resulting conditions, except for delays caused by earthquakes, tornadoes, or other similar catastrophic forces.

- **Fixed Completion Date Contracts**
 - Complete all work on the project by that fixed completion date regardless of the length of time between the Notice to Begin Work and the specified completion date.
 - The Engineer will not shorten the Contract time when the final Contract cost is less than the original Contract cost because of net decreases in the quantities or the elimination of items.
 - When the final Contract cost is greater than the original Contract cost because of net increases in the original quantities or the addition of items, the Engineer will grant an extension of the Contract time.
 - The Engineer will not allow any extension of time for weather or resulting conditions, except for delays caused by earthquakes, tornadoes, or other similar catastrophic forces.
- Time extensions may be requested when the contractor believes that additional compensation or contract time is due because of a suspension or delay, the contractor shall submit to the section engineer, in writing, a request for an adjustment within 7 calendar days after work is resumed.
 - See Guidance manual and specs for further information
 - Additional Time, Overtime, and Liquidated Damages will be covered in later sections
- **Attachments**
 - N/A
- **District To-Do List**
 - Acknowledge what requirements correspond to your project and track days accordingly
 - Further guidance relayed in the next section of this training



Project Infancy Attachment Index (Page 1 of 2)

- **Attachment 1:** TC 63-61 Erosion Inspection Report (5-day letter)
See Link; Not Included: <http://transportation.ky.gov/construction/forms/TC63-61 Erosion Inspection Report Rev 6-28-07.xls>
- **Attachment 2:** TC 63-61A Erosion Inspection Report (Contractor Responsible for Permit)
See Link; Not Included: <http://transportation.ky.gov/construction/forms/TC63-61A Erosion Inspection Report Rev 9-18-08.xls>
- **Attachment 3:** Construction Memo 08-09: NOI eForm Policy—Joint Design Memo 06-09
See Link; Not Included: <http://transportation.ky.gov/construction//memos/pdf/CM09-08NOIeForm.pdf>
- **Attachment 4:** Construction Memo 01-11: Kentucky Erosion Prevention and Sediment Control—Roadway Inspectors Course (KEPSC-RI)
See Link; Not Included: <http://transportation.ky.gov/construction//memos/pdf/CM11-01KEPSC-RI.PDF>
- **Attachment 5:** Construction Memo 07-09: Affidavit Requirement
See Link; Not Included: <http://transportation.ky.gov/construction//memos/pdf/CM09-07ContractorAffidavitRev.pdf>
- **Attachment 6:** Construction Memo 02-07: Subcontract Request Submission Requirements
See Link; Not Included: <http://transportation.ky.gov/construction/memos/pdf/CM07-02Subcon.pdf>
- **Attachment 7:** Required Affidavit
See Link; Not Included: <http://transportation.ky.gov/contract/Memos/Afidavit%204%20DBE.pdf>
- **Attachment 8:** Subcontract Request Form TC 63-35sub
See Link; Not Included: <http://transportation.ky.gov/construction/forms/TC63-35sub.xlt>
- **Attachment 9:** Subcontract Request/ Supplemental TC 63-35co
See Link; Not Included: <http://transportation.ky.gov/construction/forms/tc-6335co.XLT>
- **Attachment 10:** DBE Subcontract Request Form TC 63-35dbe
See Link; Not Included: <http://transportation.ky.gov/Contract/DBE/tc63-35 dbe.xls>
- **Attachment 11:** Prequalified Contractor List Website
See Link; Not Included: <http://transportation.ky.gov/Contract/Pqbook.pdf>
- **Attachment 12:** Example Equipment Lease/Rental Agreement
- **Attachment 13:** Preconstruction Checklist TC 63-900
See Link; Not Included:
<http://transportation.ky.gov/construction/ResCenter/PreconChecklistFormFormat03222010.docx>
- **Attachment 14:** Example of a Contractor's Payroll Submittal
- **Attachment 15:** Engineer's Wage and Hour Report TC 14-312
- **Attachment 16:** Supplemental Specification for 108.02
- **Attachment 17:** Schedule Criteria Flowchart

Project Infancy Attachment Index (Page 2 of 2)

- **Attachment 18:** TC 63-50 Written Narrative Form

See Link; Not Included:

<http://transportation.ky.gov/construction/ResCenter/WrittenNarrativeScheduleForm.pdf>

- **Attachment 19:** Construction Memo 10-09: Supplemental Revision 2008 Specification 108.02 Progress Schedule

See Link; Not Included: <http://transportation.ky.gov/construction//memos/pdf/CM09-10RevSupp2008ProgSched.pdf>

- **Attachment 20:** Examples of Good, Bad, and Ugly Written Narratives

Project Infancy—Attachment 12

Example Equipment Lease/Rental Agreement

October 16, 2006

Mr. [REDACTED]
Project Resident
Kentucky Transportation Cabinet
[REDACTED]
[REDACTED]

Re: [REDACTED] County
FD05 [REDACTED]
Rental Agreement

Dear Mr. [REDACTED]:

We request approval to rent the following equipment from [REDACTED] Construction Company to perform the concrete and drainage work on the above contract:

2006 Caterpillar 420D Backhoe
2000 Ford F350 Truck
2000 Ford F150 Pickup Truck
1999 I H C 4700 Dump Truck

CAT0420DEFD [REDACTED]
1FTWW33F5YEB [REDACTED]
1FTZF172XYN [REDACTED]
1HTSCAAMXXH [REDACTED]

Employees of [REDACTED] Construction Company will be paid in accordance with Section 108.01 of the 2004 Kentucky Standard Specifications.

STATE OF Kentucky
COUNTY OF [REDACTED]
Sworn to before me this _____ day
of _____, 2006

Notary Public

My Commission Expires _____.

[REDACTED] Inc.
By _____
Title General Manager

STATE OF Kentucky
COUNTY OF _____
Sworn to before me this _____ day
of _____, 2006

Notary Public

My Commission Expires _____.

[REDACTED] Construction Co.
By _____
Title Owner

Project Infancy—Attachment 14
Example of a Contractor's Payroll Submittal

Statement of Compliance

Date: NOVEMBER 12, 2010

Contract Number:

I, [Redacted], Payroll Clerk do hereby state:

(1) That I pay or supervise the payment of the persons employed by [Redacted] CO, LLC on the [Redacted] day of OCTOBER, 2010 and ending the 6 day of NOVEMBER, 2010, all persons employed on said project have been paid the full weekly wages earned, that no rebates have been or will be made either directly or indirectly to or on behalf of said [Redacted] CO, LLC from the full weekly wages earned by any person and that no deductions have been made either directly or indirectly from the full wages earned by any person, other than permissible deductions as defined in Regulations, Part 3 (29 CFR, Subtitle A), issued by the Secretary of Labor under the Copeland Act, as amended (48 Stat. 108, 72 Stat. 967; 76 Stat. 357; 40 U.S.C. 3145), and described below:

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

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

(4) That:

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

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

(b) WHERE FRINGE BENEFITS ARE PAID IN CASH

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

(c) EXCEPTIONS

EXCEPTION (Craft)	EXPLANATION
REMARKS	SIGNATURE
NAME AND TITLE	Payroll Clerk
The willful falsification of any of the above statements may subject the contractor or subcontractor to civil or criminal prosecution. See Section 1001 of Title 18 and Section 231 of Title 31 of the United States Code.	

Contract #
Job No.
Job Name:

Certified Payroll Report

Pay Period Date: 11/06/10
Week Ending: 11/06/10
Payroll No: 5

Employee	# Exemptions Social Security Work Class	Hours							Total	Rate	Other Job Pay Job Gross Total Gross	FICA Fed W/H State	Local Union City Ded	Tot Ded Benefita Net Chk
		SUN 31	MON 01	TUE 02	WED 03	THU 04	FRI 05	SAT 06						
[REDACTED]	Ex M-00 C M O ***-3654 PROJECT FOREMAN	0.00	2.50	1.00	0.00	2.50	0.00	0.00	6.00	30.64	0.00	76.58	2.55	354.51
[REDACTED]	Ex S-00 B F O ***-2569 FLAGGER	0.00	8.00	8.00	4.00	8.00	0.00	0.00	31.50	20.43	827.42	159.28	63.86	0.00
[REDACTED]	Ex M-00 C M O ***-9020 ASPHALT RAKER	0.00	8.00	8.00	2.50	8.00	0.00	0.00	28.50	20.43	750.81	82.62	47.72	0.00
[REDACTED]	Ex M-00 C M O ***-6215 ASPHALT RAKER	0.00	8.00	8.00	2.00	8.00	0.00	0.00	28.00	20.43	694.82	54.19	44.31	0.00
[REDACTED]	Ex S-00 B F O ***-1044 FLAGGER	0.00	8.00	7.50	2.00	8.00	0.00	0.00	28.00	20.13	608.95	69.68	39.30	0.00
[REDACTED]	Ex M-02 C M O ***-8394 ASPHALT RAKER	0.00	8.00	6.50	0.00	2.00	0.00	0.00	4.00	30.64	0.00	53.14	0.00	186.10
[REDACTED]	Ex M-01 C M O ***-9150 OPERATOR	0.00	8.00	8.00	2.00	8.00	0.00	0.00	28.50	20.43	704.84	34.87	44.98	0.00
[REDACTED]	Ex D-00 C M O ***-9229 OPERATOR	0.00	8.00	8.00	2.50	8.00	0.00	0.00	28.00	25.35	830.23	116.57	24.89	0.00
[REDACTED]	Ex M-00 C M O ***-9770 OPERATOR	0.00	8.00	7.50	2.00	8.00	0.00	0.00	27.50	25.35	754.17	37.53	0.00	0.00

Contract #:
Job No:
Job Name:

Certified Payroll Report

Pay Period Date: 11/06/10
Week Ending: 11/06/10
Payroll No: 5

Contract #:
Job No:
Job Name:

Employee	# Exemptions Social Security Work Class	Hours							Total	Rate	Other Job Pay Job Gross Total Gross	FICA Fed/W/H State	Local Union Oth Ded	Tot Ded Benefits Net Chk
		SUN 31	MON 01	TUE 02	WED 03	THU 04	FRI 05	SAT 06						
[REDACTED]	Ex: D-01 C M O [REDACTED] S PROJECT SUPERINTENDE	0.00	0.50	2.00	0.00	0.00	0.00	0.00	2.50	30.84	0.00	82.44	8.18	376.22
[REDACTED]	Ex: M-00 C M O [REDACTED] S QUALITY CONTROL	0.00	1.50	0.00	0.00	0.00	0.00	0.00	1.50	29.59	0.00	25.63	3.35	96.19
[REDACTED]	Ex: S-00 C F O [REDACTED] S OPERATOR	0.00	0.00	0.00	2.00	1.00	0.00	0.00	1.00	38.02	0.00	58.60	2.34	223.05
[REDACTED]	Ex: M-00 C M O [REDACTED] S LABORER	0.00	0.50	0.00	0.00	1.00	0.00	0.00	1.50	30.19	0.00	46.59	0.00	166.72
[REDACTED]	Ex: M-00 C M O [REDACTED] S ASPHALT RAKER	0.00	2.50	0.50	0.00	2.50	0.00	0.00	5.50	30.84	0.00	57.43	0.00	245.50
Job Totals:	D O S	0.00	16.00	5.00	0.00	19.00	0.00	0.00	40.00					
		0.00	98.00	102.00	29.60	100.00	30.00	0.00	359.60					

**Project Infancy—Attachment 15
 Engineer's Wage and Hour Report TC 14-312**

Category	Item	Rate	Hours	Wage	Overhead	Total
Professional Services	Professional Services	100.00	100	10000.00	10000.00	20000.00
	Professional Services	100.00	100	10000.00	10000.00	20000.00
Materials	Materials	50.00	50	2500.00	2500.00	5000.00
	Materials	50.00	50	2500.00	2500.00	5000.00
Equipment	Equipment	25.00	25	1250.00	1250.00	2500.00
	Equipment	25.00	25	1250.00	1250.00	2500.00
Subcontractors	Subcontractors	75.00	75	5625.00	5625.00	11250.00
	Subcontractors	75.00	75	5625.00	5625.00	11250.00
Travel	Travel	10.00	10	100.00	100.00	200.00
	Travel	10.00	10	100.00	100.00	200.00
Miscellaneous	Miscellaneous	5.00	5	25.00	25.00	50.00
	Miscellaneous	5.00	5	25.00	25.00	50.00
Total				20000.00	20000.00	40000.00

Contract ID No.: _____

ENGINEER'S WAGE AND HOUR REPORT

Date: _____ County: _____

Project: _____

Name: _____

Contractor Subcontractor

Foreman: _____

Address: _____

City/State: _____

Telephone: _____

FORMS POSTED:	
* Wage Schedule _____	<input type="checkbox"/> YES <input type="checkbox"/> NO
* Contractor Notice (TC 14-314) _____	<input type="checkbox"/> YES <input type="checkbox"/> NO
* Non-Discrimination in Employment (TC 14-313) _____	<input type="checkbox"/> YES <input type="checkbox"/> NO
Notice (Form FHWA 1022) _____	<input type="checkbox"/> YES <input type="checkbox"/> NO
* Safety and Health Protection on the Job _____	<input type="checkbox"/> YES <input type="checkbox"/> NO
* Kentucky Law Requires _____	<input type="checkbox"/> YES <input type="checkbox"/> NO
Wage Rate Information (Form FHWA 1495) _____	<input type="checkbox"/> YES <input type="checkbox"/> NO
Equal Employment Opportunity _____	<input type="checkbox"/> YES <input type="checkbox"/> NO
ALL REQUIRED POSTERS _____	<input type="checkbox"/> YES <input type="checkbox"/> NO
* Posters Required on State Project Job Sites	

1	NAME	ADDRESS		
	OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID

2	NAME	ADDRESS		
	OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID

3	NAME	ADDRESS		
	OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID

4	NAME	ADDRESS		
	OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID

5	NAME	ADDRESS		
	OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID

6	NAME	ADDRESS		
	OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID

7	NAME	ADDRESS		
	OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID

8	NAME	ADDRESS		
	OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID

9	NAME	ADDRESS		
	OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID

10	NAME	ADDRESS		
	OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID

ate: _____ County: _____ Name: _____

Project: _____ Contract ID No.: _____

Contractor
 Subcontractor

- 1. Do you know where wage rates are posted?
- 2. Have you been informed about your fringe benefits?
- 3. Have you been charged for tools used in performing your duties except for reasonable avoidable loss or damage thereto?
- 4. Have you ever been charged for any transportation furnished by contractor or his agents?
- 5. Has your employer made arrangements for the cashing of your paychecks?
- 6. When you work in a higher classification, are you paid the proper wage rate for that classification?

1. _____
- A. YES NO
 - 3. YES NO
 - 2. YES NO
 - 4. YES NO
 - 5. YES NO
 - 6. YES NO

6. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

2. _____
- A. YES NO
 - 3. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

7. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

3. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

8. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

4. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

9. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

5. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

10. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

Resident Engineer _____
Print/Type Name Here

Signature _____

Compliance Officer _____
Print/Type Name Here

Signature _____

KENTUCKY TRANSPORTATION CABINET
 Division of Construction Procurement
 Compliance Section

Contract ID No.: _____

**ENGINEER'S WAGE AND HOUR REPORT
 CONTINUATION PAGE**

Date: _____ County: _____ Foreman: _____

Project: _____ Address: _____

Name: _____ City/State: _____

Contractor Subcontractor

Telephone: _____

11	NAME	ADDRESS		
	OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID
12	NAME	ADDRESS		
	OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID
13	NAME	ADDRESS		
	OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID
14	NAME	ADDRESS		
	OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID
15	NAME	ADDRESS		
	OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID
16	NAME	ADDRESS		
	OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID
17	NAME	ADDRESS		
	OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID
18	NAME	ADDRESS		
	OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID
19	NAME	ADDRESS		
	OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID
20	NAME	ADDRESS		
	OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID

Date: _____ County: _____ Name: _____

Project: _____ Contract ID No.: _____

Contractor

Subcontractor

- 1. Do you know where wage rates are posted?
- 2. Have you been informed about your fringe benefits?
- 3. Have you been charged for tools used in performing your duties except for reasonable avoidable loss or damage thereto?
- 4. Have you ever been charged for any transportation furnished by contractor or his agents?
- 5. Has your employer made arrangements for the cashing of your paychecks?
- 6. When you work in a higher classification, are you paid the proper wage rate for that classification?

1. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

16. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

2. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

17. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

3. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

18. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

4. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

19. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

5. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

20. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

Resident Engineer _____

Print/Type Name Here

Signature _____

Compliance Officer _____

Print/Type Name Here

Signature _____

[Faint, illegible text]

[Faint, illegible text]

[Faint, illegible text]

Project Infancy—Attachment 16

Supplemental Specification for 108.02

[Faint, illegible text]

[Faint, illegible text]

108.02 PROGRESS SCHEDULE.

Specification 108.02 applies to all Cabinet projects except the following project types:

- Right of Way Mowing and/or Litter Removal
- Waterborne Paint Striping
- Projects that contain Special Provision 82
- Projects that contain the Special Note for CPM Scheduling

The scheduling documents are considered the Contractor's plan of action. The Contractor may change their plan of action as needed. However, the Contractor must inform the Cabinet of deviations from the schedule, giving the Cabinet a 24-hour notice prior to working on items deviating from the schedule. The 24-hour notice can be reduced if approved by the Engineer. The Contractor should attempt to follow their schedule if possible and any deviations must be reflected in the next schedule update.

Working without the submittal of a Written Narrative is violation of this specification and additionally voids the Contractor's right to delay claims.

If the Engineer deems a Preconstruction Conference necessary, submit a written narrative as described below at least two working days prior to the Preconstruction Conference. During the Preconstruction Conference, the Contractor shall make a verbal presentation of their progress schedule detailing their proposed progression of work, including the items discussed in the written narrative. If the Engineer does not deem a Preconstruction Conference necessary, the Contractor will submit a Written Narrative to the Engineer at least two working days prior to the start of work. Any submission of scheduling documents must be in triplicate and be accompanied by a signed statement of approval by the Contractor's project superintendent/manager.

These initial project schedule documents should reflect the Contractor's schedule as the project was bid. Any questions that the Contractor may have that would lead to changes in this schedule should be discussed at the Preconstruction Conference and the initial schedule can be adjusted based on those discussions.

The Department will review the schedule in general for the purpose of managing its employees and resources, and for conformance to the specifications, and flow of logic. The Department accepts no liability for determining the Contractor's ability to meet their schedule as it is Contractor's sole responsibility to provide an accurate and feasible schedule. All schedule risk rests with the Contractor.

When the Written Narrative is not received for review two working days prior to the preconstruction conference, or if they are not in conformance with the specifications, the preconstruction conference will be postponed until two working days after submission of an acceptable Written Narrative.

When at the Preconstruction Conference, or anytime during the project, the Engineer determines that the project warrants the submittal of an Activity Bar Chart, the Contractor will have 30-days to submit the baseline progress schedule documents consisting of a Written Narrative and Activity Bar Chart. These documents should describe the schedule in Level 1 detail for the upcoming 45 days and at least Level 2 detail for the remainder of the project (the Levels of Detail are described in part D of this section). These baseline documents should be updated monthly, or as agreed upon by the Contractor and Engineer, to reflect project progress.

The submittal of bar chart or Critical Path Method schedule does not relieve the Contractor's requirement to submit a Written Narrative schedule.

When there is no Preconstruction Conference, or when the Engineer determines that a Written Narrative alone will suffice for the progress scheduling documents, updates will occur through bi-weekly progress schedule meetings between the Contractor and Engineer. The format and frequency of these meetings may be adjusted only when mutually agreed upon by the Engineer and Contractor.

When baseline scheduling or update scheduling documents are not submitted within their time limitations, or when any of the provisions within this section of the project specifications are not satisfied, the progress pay estimates will be held until the scheduling documents are presented or the outstanding provisions are satisfied. When the provisions

of this section have not been satisfied such that two consecutive progress payments have been held, the Department will continue to withhold progress payments and will charge the Contractor a daily penalty equal to one half the project's liquidated damages rate starting from the date the scheduling documents were due and continuing until the provisions of this section are met. Any costs associated with these scheduling requirements and updates are incidental to the project.

A) **Written Narrative.** Submit the Written Narrative Schedule using form IC 63-50 available at the Division of Construction's website (<http://www.transportation.ky.gov/construction/Rest-Center/Rest-Center.htm>). The initial written narrative shall include, but may not be limited to the following:

1. Provide a description that includes how the Contractor will sequence and stage the work, how the Contractor plans to maintain and control traffic, and what equipment and crew sizes are planned to execute the work. Provide a description that includes how the Contractor will sequence and stage the work, how the Contractor plans to maintain and control traffic being specific and detailed, and what equipment and crew sizes are planned to execute the work.
2. Provide a list of project milestones including, if applicable, winter shut-downs, holidays, or special events. The Contractor shall describe how these milestones and other dates affect the prosecution of work. Provide a list of project milestones including, if applicable, winter shut-downs, holidays, or special events. The Contractor shall describe how these milestones and other dates effect the prosecution of the work. Also, include start date and completion date milestones for the contract, each project if the contract entails multiple projects, each phase of work, site of work, or segment of work as divided in the project plans, proposal, or as subdivided by the Contractor.
3. Provide a list of Owner responsibilities and associated timelines, including any submittals, shop drawings, or any other items that are to be reviewed by the Department.
4. Discuss any known problems that the Contractor foresees including any utilities or railway related issues.

B) **Activity Bar Chart.** The initial activity bar chart shall include, but is not limited to the following:

1. Display the calendar time-line on the x-axis where the minor time divisions will be no greater than one day.
2. Display as-bid start dates and activity durations of items including but not limited to the activities. The project items, material fabrications, document approvals, or other time-sensitive items that will occur within the first 45 calendar days of the project must be listed in Level 1 detail.

C) **Updates.**

- 1) All scheduling documentation should be updated to show progress to the current data date that should be not less current than one week prior to the submission date. The updated schedule documents should describe the upcoming 45 days of activities in Level 1 detail and the remainder of the project in at least Level 2 detail.
- 2) The updated completion date based on current progress should be evident. In the event the progress schedule shows the project to be completed past the contract's completion date, the narrative shall address how the Contractor plans to prosecute the work to get the project back to within the contract time allowed. Any float, or any time remaining between the last

item of work and the contract completion date, will not be held against the Contractor. The Cabinet will not reduce the contract time because of float without just compensation to the Contractor.

3) When it is necessary to provide a project schedule update, the updated narrative must contain, but may not be limited to the following items:

- Provide updates on the items of work to include any delays or gains to the previously submitted scheduled items such as rain events, unforeseen utility delays, discrepancies in geologic data, agreements or change orders approved by the Cabinet, or other issues that effect the items of the previous submittal.
- List any changes to the maintenance of traffic as previously submitted and explain why the change will need to be made.
- Discuss any other issues that the Contractor foresees that may affect the schedule that were not listed in the previous submittal.

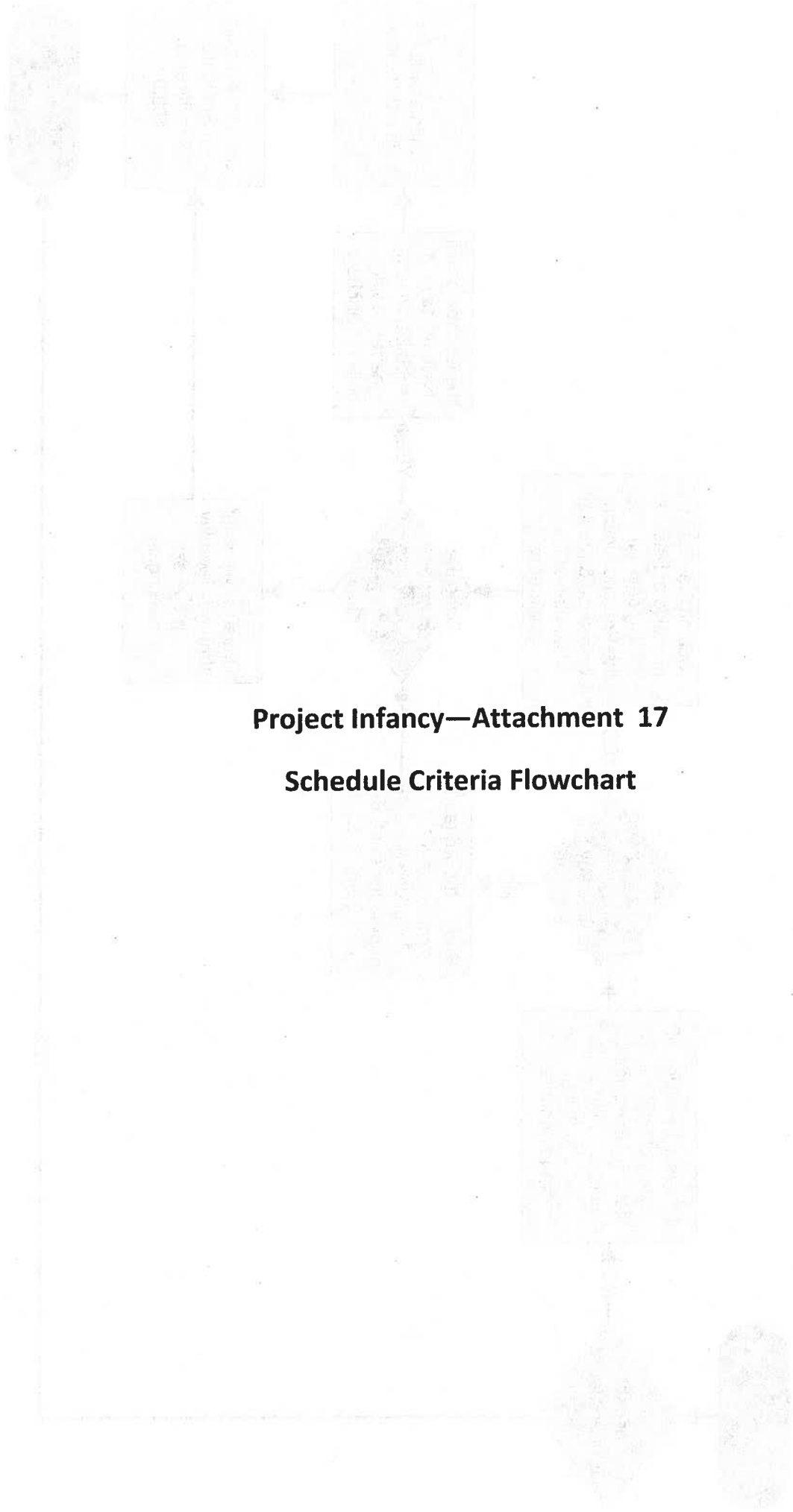
4) The updated bar chart shall include, but is not limited to the following.

- Update the start dates and activity durations of items on the previously submitted bar chart.
- The project items, material fabrications, document approvals, or other time-sensitive items that will occur within the next 45 calendar days of the update submission must be listed in Level 1 detail.

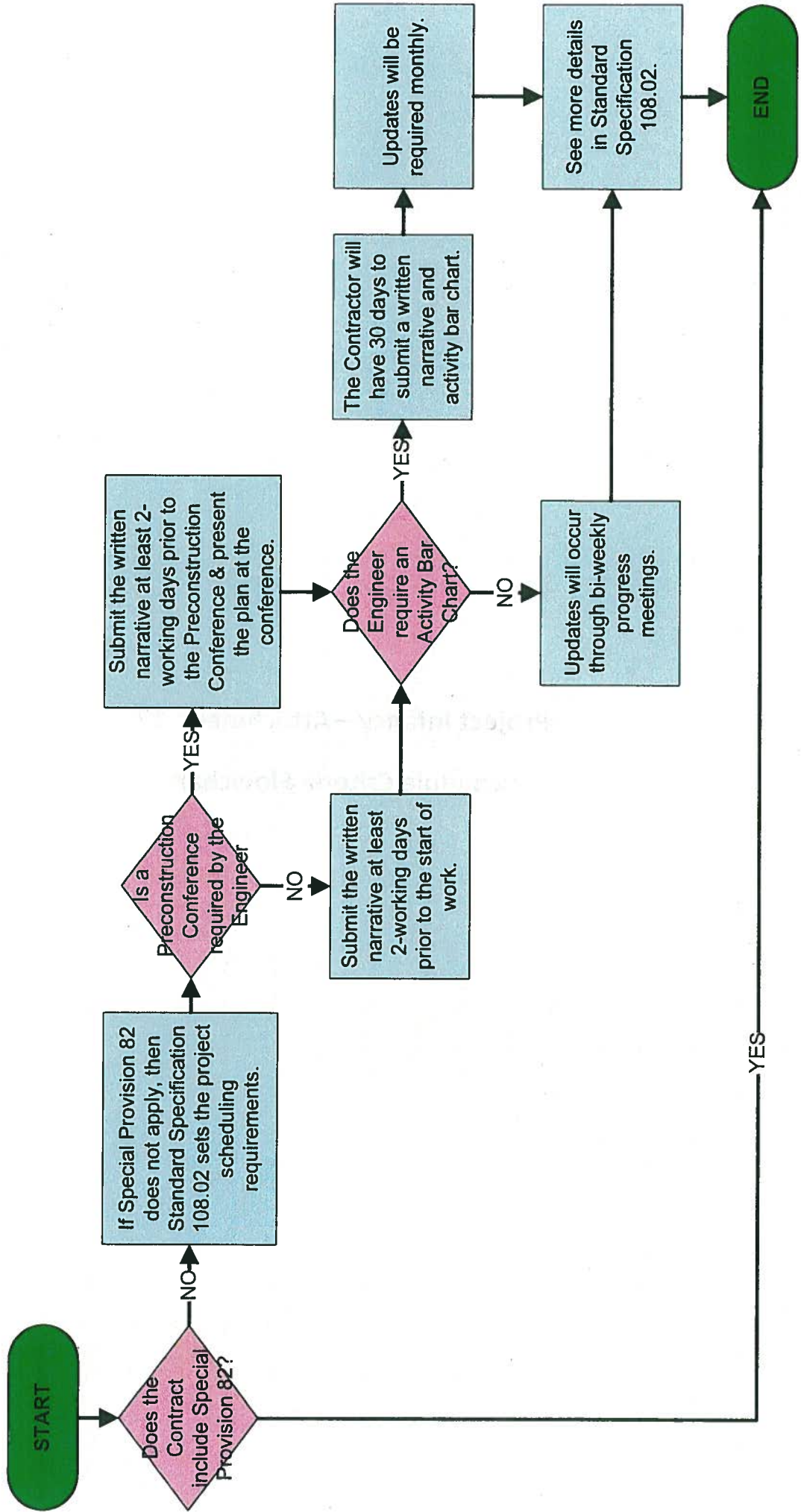
D) Levels of Detail.

- 1) Level 1. This level of detail presents a logically flowing schedule of the daily activities required to complete the project. The maximum activity length should be 10-days unless approved by the Engineer. Locations and/or stations numbers should be used to further describe activities.
- 2) Level 2. This level of detail presents the logical progression of activities required to complete the controlling items of work, in the time limits allotted in the contract documents, to the satisfaction of the engineer.

Project Infancy—Attachment 17
Schedule Criteria Flowchart



Schedule Flowchart According to the 2008 Specifications



Project Infancy—Attachment 20
Examples of Good, Bad, and Ugly Written Narratives

Written Narrative Schedule for [REDACTED]

Project County: [REDACTED]

Contract ID: [REDACTED]

Project Number: [REDACTED]

Project Type and Location:

Asphalt Rehab Interstate/Parkway

Project Description and Sequence/Staging:

Signage- Immediate
Clearing: Immediate
Earthwork: Feb. 1st
Bridge Work: March 21st
Base Failure: April 1st
Paving: May 15th
Guardrail, chip and seal after paving is completed
Striping: As needed throughout the project

Reference CPM for specific timelines

UGLY

- THIS SEGMENT SHOULD BE DESCRIPTIVE & DETAILED APPROPRIATE TO THE PROJECT TYPE.
- PHASES, PROJECTS, ACTIVITIES, ETC. ~~SHOULD~~ MUST HAVE BOTH A START & COMPLETION DATE.
- THIS SHOULD RELAY THE CONTRACTORS PLANNED COURSE OF ACTION TO COMPLETE THE PROJECT. IF IT DOESN'T IT IS WORTHLESS.

Description of Maintenance of Traffic Control:

Mainline traffic will be conducted as per the proposal.

Certifications are on file and will be submitted at the Pre-con.

← POOR

WITHOUT DETAILS THERE IS NO WAY
THIS WOULD SPUR DISCUSSION OF ANY
TRAFFIC CONTROL ISSUES.

Equipment and Crew Sizes:

Site: 4 men crews typical

Paving: 10 men crews

Paving:

Cat 1000 paver-1

OK

Cat Rollers-3

Milling Machine- 2

Support Equipment: backhoe, skid steer, grader, brooms, sweep-vac truck

Excavator's

Dozers

Crane

Project Milestones and Events:

KEA Spring Break (TBD)

April 21-24 (Easter Weekend)

April 29-May 8 (Derby Week)

May 6-8 (Mothers Day Weekend)

May 27-30 (Memorial Day Weekend)

July 2-4 (Independence Weekend)

September 2-5 (Labor Day Weekend)

GOOD

Cabinet Responsibilities and Timeline:

Provide a list of Owner responsibilities and associated timelines, including any submittals, shop drawings, or any other items that are to be reviewed by the Department.

N/A

IF WE HAVE NONE THAT'S
GREAT.

Known Project Issues:

Discuss any known problems that the Contractor foresees including any utilities or railway related issues.

IF THERE ARE NONE; OK.

Other:

Project Superintendent/Manager Statement of Approval

I, [REDACTED], hereby approve the attached Written
Narrative for Contract ID [REDACTED].

Signature:

[REDACTED SIGNATURE]

Date:

1/19/11

GOOD

Written Narrative Schedule for [REDACTED]

Project County: [REDACTED]

Contract ID: [REDACTED]

Project Number: [REDACTED]

Project Type and Location:

Grade & Drainage With Bridge

Project Description and Sequence/Staging:

Mobilize project week of 2/1/11 consisting of site layout & installing erosion control
Remove & replace Base failure 2/7/11 thru 2/8/11 weather permitting
Excavate/Prep/pour barrier wall 2/9/11 thru 2/18/11
Remove Guardrail 2/18/11 thru 2/23/11
Excavate/form/pour/wreck/backfill new bridge abutments 2/18/11 thru 3/30/11
Install storm drainage 3/21/11 thru 3/22/11
Import borrow material and build fill area and install crane pad to set bridge structure
3/23/11 thru 4/11/11
Unload, assemble and install bridge structure 4/11/11
Prep & pour bridge deck 4/13/11 thru 4/15/11
Install stone sub-base & place asphalt for paths 4/13/11 thru 4/21/11
Install guardrail & fence 4/20/11 thru 4/26/11
Final Grading & Seeding 4/18 thru 4/25/11
Install permanent pavement markings 4/25/11
Preliminary punch/project completion 4/25/11 thru 4/29/11

SHOULD
HAVE A
COMPLETION
DATE

↑ DOES THIS COINCIDE WITH
THE REQUIRED PROJECT
COMPLETION DATE.

Description of Maintenance of Traffic Control:

[REDACTED] proposing to follow the MOT laid out in the bid documents and implementing in accordance with KYTC Standard Drawings and the MUTCD.

GOOD STATEMENT BUT AGAIN NO DETAILS
TO SPUR DISCUSSION OF ANY TRAFFIC
CONTROL ISSUES.

- NO PROBLEMATIC SITE DISTANCE, CURVES,
OR ENTRANCES?

Equipment and Crew Sizes:

Various size excavators – Roller compactors – Backhoes- Dozers – Crane – Bobcat –
Tri/axle trucks – Curb machine – Post driver – Concrete pump – Grader- Tractor &
grade box – Trencher- Air compressor – Arrow board – Hoe-ram – Single/axle truck

Crew Size will fluctuate depending upon operations, Operators – Carpenters-
Laborers- Ironworks. Sub-contractors will also be utilized in addition to MAC work
forces.

- NOT MUCH DETAIL; HOW COULD
WE DETERMINE IF UNDERPLANNED STAFFING
WAS AN ISSUE?

Project Milestones and Events:

Weather conditions allowing bridge abutments to be completed.

Weather conditions allowing earthwork (including embankment), sub-base and
concrete work to proceed as scheduled.

- IF THIS IS A COMPLETION DATE PROJECT,
WEATHER DELAY IS AT THE RISK OF
THE CONTRACTOR

Cabinet Responsibilities and Timeline:

Complete bridge shop drawing reviews timely

BAD

WHAT IS TIMELY?

WE MIGHT ACCOMMODATE IF WE
HAVE AN IDEA OF WHEN IT IS
NEEDED.

Known Project Issues:

[Empty box for Known Project Issues]

Other:

[Empty box for Other]

Written Narrative Schedule for [REDACTED]

Project County: [REDACTED] County _____

Contract ID: [REDACTED] _____

Project Number: [REDACTED] _____

Project Type and Location:

Guardrail
[REDACTED] Road ([REDACTED])

Project Description and Sequence/Staging:

We will mobilize and begin removal and installation of guardrail on 2/14/2011. As weather permits, operations will continue daily, laying out new strings and installing the new guardrail. Traffic control will be set up and used in compliance with the MUTCD and KY Specifications and Standard Drawings. Work will not be performed on weekends. The week will consist of 4 ten hour days. All employee's have signed the collective bargaining paperwork. Work is anticipated to be completed on March 10, 2011.

Terminal Section 1 Milepoint 8.345 End 8.6111 1462.5 February 21 & 22, 2011

Terminal Section 1 Milepoint 11.705 End 11.950 1350. February 22 & 23, 2011

Terminal Section 1 Milepoint 11.989 End 12.206 400. February 23 & 24, 2011

Terminal Section 1 Milepoint 12.581 End 12.600 162.5 February 28, 2011

Terminal Section 1 Milepoint 12.609 End 12.765 875.0 February 28 & March 1, 2011

Terminal Section 1 Milepoint 12.778 End 12.824 1875. March 1 & 2, 2011

Total Project with Type 1, etc... March 10, 2011 if weather cooperates

GOOD. DETAILED & LOCATIONS
W/ DATES.

Description of Maintenance of Traffic Control:

1500, 1000, 500 Foot Signs, Flagman Signs, Low Shoulder Signs, Close working lane with flagman.

NOT VERY DETAILED.

Equipment and Crew Sizes:

Provide a description that includes what equipment and crew sizes are planned to execute the work.

12 man crew, driver truck, pressure drill truck, backhoe, air compressor, skid steer and various trucks.

POOR DETAIL

Project Milestones and Events:

Provide a list of project milestones including, if applicable, winter shutdowns, holidays, or special events. The Contractor shall describe how these milestones and other dates effect the prosecution of work.

Start date February 14, 2011. Completion approximately 3 to 4 weeks.

OK - DATES IN PREVIOUS SECTION

Cabinet Responsibilities and Timeline:

Provide a list of Owner responsibilities and associated timelines, including any submittals, shop drawings, or any other items that are to be reviewed by the Department.

Guardrail Certs will be supplied with delivery

Known Project Issues:

Discuss any known problems that the Contractor foresees including any utilities or railway related issues.

None

Other:

None

~~XXXXXXXXXX~~ - Guardrail Superintendent

Cell Phone - 859-~~XXXX-XXXX~~

~~XXXXXXXXXX~~ - Superintendent

Cell Phone - 606-~~XXXX-XXXX~~

GOOD INFORMATION TO HAYS.

Project Superintendent/Manager Statement of Approval

I, [Redacted], hereby approve the attached Written
Narrative for Contract ID [Redacted].

Signature:

[Redacted Signature]

Date:

1-26-11

GOOD

Written Narrative Schedule for [REDACTED]

Project County: [REDACTED]

Contract ID: [REDACTED]

Project Number: [REDACTED]

Project Type and Location:

Asphalt Surface and Widening of [REDACTED] Road (KY [REDACTED]) From [REDACTED] to 1.4 Miles North of [REDACTED] With Grade & Drain. A Distance of 3.23 Miles.

Project Description and Sequence/Staging:

The Project is Scheduled to Begin January 4th 2011 and Will Consist of Four (4) Phases. Phase I is Scheduled to Begin on January 4th and Will Consist of Installing Temporary Signs, Clearing & Grubbing Operations, Performing Roadway Excavations, Constructing the Bottom Phase of the Drop Box Inlets, Installing Storm Sewer Pipe, Placing the Stone Base, Constructing the Modified Curb & Gutter and Sidewalk, Constructing the Top Phase of the Drop Box Inlets, Placing Channel Lining, and Performing Erosion Control Measures Necessary for Phase I Construction. Also During Phase I, Work Will be Performed to Relocate the Sanitary Sewer and Water Lines. Phase II is Scheduled to Begin on April 22nd 2011 and includes Constructing the First Lift of the Base Course (Scheduled to Begin April 22nd), Milling Up to the Existing Pavement, Levelling & Wedging, and Erosion Control Measures. Phase III is Scheduled to Begin May 19th and Will Consist of Constricting the Second Base Lift on Two Outside Road Edges (Scheduled to Begin May 19th), Applying Base Lift to Existing Pavement, and Erosion Control Measures. Phase IV is Scheduled to Begin June 6th and Will Consist of Constructing the Final Base Layers (Scheduled to Begin June 8th 2011) and Surface Layers (Surface Construction is Scheduled to Begin July 16th) While Maintaining Traffic Between (the Maintenance of Traffic Will Be Explained in Detail in the "Description of Maintenance of Traffic Control" Section). Phase IV Construction Will Also Consist of Guardrail Construction, Permanent Striping, Seeding & Sodding, and Erosion Control Measures. The Project is Scheduled to End September 15th 2011.

VERY DESCRIPTIVE BUT SHOULD
HAVE START & COMPLETION DATE FOR ATLEAST
EACH PHASE IF NOT FOR ACTIVITIES IN THE
PHASE.

Description of Maintenance of Traffic Control:

Traffic Will be Controlled With the Implementation of Flaggers and Signs. Phase I, II, and III Traffic Will be Maintained on Existing Pavement Implementing Part Width Construction. Phase IV Traffic Will Consist of Shifting Traffic to the Left of Centerline, Paving Right of Centerline With Final Base Course, Shifting Northbound Lane to Newly Constructed Section, Constructing Base Course Between Two Outside Lanes, Shifting Southbound Traffic to Newly Constructed Middle, Paving Base Course on Outside Edge Left of Centerline, Shifting Traffic to Left of Centerline, Paving Right of Centerline With Asphalt Surface, Shifting Northbound Lane to Newly Surfaced Section, Constructing Asphalt Surface Between Two Outside Lanes, Shifting Southbound Lane to Newly Constructed Middle, and Constructing Asphalt Surface on Outside Edge Left of Centerline.

GOOD DETAIL

Equipment and Crew Sizes:

In Addition to Flagging Personnel, a Crew of Seven (7) Will be Utilized to Perform the Pipe Work. The Paving Crew Will Consist of Three (3) Operators, Four (4) Laborers, and One (1) Foreman. The Equipment Associated With Paving Operations Will Consist of One (1) Paver and One (1) Roller. The Equipment for Grading Operations Will Consist of One (1) Trackhoe and One (1) Backhoe.

GOOD DETAIL.

Project Milestones and Events:

The Project Shall Consist of a Start Project Milestone, an End Project Milestone, and a Start and End Phase Milestone for Each of the Four (4) Phases.

SHOULD HAVE THE MILESTONES LISTED
HERE.

Cabinet Responsibilities and Timeline:

It is Understood by the Contractor That There Are Two (2) Outstanding Easements That Have Yet to be Obtained.

GOOD COMMENT FOR DISCUSSION:

Known Project Issues:

There are Numerous Utilities Associated With The Project. These Utilities Include: [REDACTED] Municipal Utilities-Electrical Division (Expects to Complete Relocation on or Before Nov. 19 2010); [REDACTED] Rural Electric Cooperative Corporation (Expects to Complete Relocation on or Before Nov. 19 2010); [REDACTED] (Expects to Complete Relocation on or Before March 31 2011); AT&T Legacy (Expects to Complete Relocation on or Before Dec 31 2011); AT&T Kentucky (Expects to Complete Relocation on or Before Nov. 19 2010); [REDACTED] Municipal Utilities-General Services Division (Expects to Complete Relocation on or Before Nov. 19 2010); Insight Communication (Expects to Complete Relocation on or Before Nov. 19 2010); [REDACTED] Municipal Utilities-Water and Wastewater Division (Relocation of These Facilities Has Been Incorporated into the Road Contract); [REDACTED] County Water District (Expects to Complete Adjustments on or Before Nov. 19 2010). There Are No Railroads Associated With This Project.

GOOD
DETAIL
FOR
DISCUSSION

Other:

It Should Be Noted That Delays, As a Result of Complications With Utility Relocation Operations Occurring Simultaneously With Project Construction, Are Possible and Have the Capacity to Alter the Schedule.

4

3

Project Childhood
David Hughes & Vibert Forsythe

**Project Filing
and organization**

■ Contract Documents

■ Proposal, notice of award, notice to began work,
Official Orders.

Correspondence

- letters, Complaints, requests etc. and the departments reply etc.

Subcontracts

- anything that has to do with subcontracts
- Copies of all subcontracts

Submittals

- To be discussed by vibert in detail

Traffic Control

- to be discussed by Vibert in detail

Erosion Control

- Storm Water Permits, The approved Best Management Plan, The pre disturbance check list, all erosion control inspection reports, Records of Rainfall events, Etc.

Daily Inspection Records

- Field measurements for Pay Quantities, Any other Documents Referred to in a DWR.

W/D Statements

- All Objections by the Contractor, The resolution to the problem, Copy's of all W/D Statements
- This subject will be discussed in detail later.

Change Orders

- All records that have to do with Change Orders
- This especially includes backup documentation

What are Submittals

Submittals in Construction Management are Shop drawings, material data, samples, and / or product data.

Why Submittals

- required primarily for the Department/ engineer to verify that the correct products will be installed on the project
- gives another level of detail usually not included as part of the design documents
- affects cost, quality, schedule, and project success and maintenance.

Submittal Approval

- An "approved" submittal authorizes a material or an assembly to be released for fabrication and shipment.
- In essence, this is the final quality control mechanism before a product arrives on-site.

Scheduling Submittals

- The submittal process should be included in the project schedule to ensure that the department does not unnecessarily participate in any delay of project activity.
- Submittals should be noted in the pre-construction checklist and or at the pre-construction meeting.

Submittals include:

- Payroll submittals
- Construction revision
- Change Order or Funding modification
- Claim Submittals
- V.E submittals

Submittals

- Electrical Submittals
- Paint submittals
- Plant / Nursery
- Signs / Trusses

Submittals - Structural

- Cofferdam or shoring designs and drawings
- Falsework designs and drawings (prepared and stamped by P.E)
- Any structural steel drawings
- **Note:** Each approved shop drawing and design shall be stamped by the Central Office liaison engineer who reviewed it.

Submittals - Structural

- Pile reports
- Precast box or 3-sided culvert shop drawings and designs
- Metal arch or other metal culvert shop drawings and designs
- Deck falsework overhang designs and drawings
- Pachometer testing
- Revised pouring sequence

Make sure the trail of a submittal is known and communicated to all parties involved.

The S.E should follow the submittal trail as closely as possible with timely reminders on required responses.

If advice on the routing of submittals is needed please consult with your district liaison

Always ensure that submittals are approved by the reviewing or approving authority before it is incorporated into the project !

TRAFFIC CONTROL

Let's try this again

My cards -- (any yes I have peeves)

- I dislike talking about this Topic because it seems no none in particularly interested.
- I guess we are doing a great Job since no one has died on "my projects"
- I promise to get better as soon as I see a need to.. Like after a fatal crash .

- Read the Policy and Procedures found on the Construction web-site
- Remember and USE what you learnt in your WZTCS training
- Always strive to apply the Specifications
- Any questions call me and I will pass you on to Robby Hecker

Planning

- If possible attend Planning meetings so you can have an input or at least know what they are thinking and get a heads up.
- If possible check the TMP before the Pre-Construction meeting.
- For Maintenance Projects make sure you Supervisors understand the importance of having a plan in writing before they go out there

All PD&P Projects

- Must have a TMP
- Must have trained representatives from the KYTC and Contractors (at all times) on the Job site
- Contractors work site technician and Supervisor must be identified, in writing, before any job is started

Fundamentals

- Make sure the TMP is set up as planned
- Always Document daily inspections
- Any change or deviation from drawings or plans .. DOCUMENT
- Review Review Review
- Use your District Coordinators – for review and crash reporting

Fundamentals

- Review all reported crashes and write reports where necessary
- Make changes where needed or if you think may help a situation
- Shown diligence helps even in a liability situation

Document

- Use your coordinators
- Document changes.. Do not get caught up in the major and minor changes differentiations. Best to document all changes.
- Check DWRs to make sure Traffic Control is being checked.

Specifications

Enforce your specs

- Personnel
- Signing
- Devices use and condition
- Addressing deficiencies

Be safe and keep us safe

Nuff Said

- Since you have heard it all before and probably think I am wasting your time
- I sincerely hope your luck holds and there are no accidents on your projects

INSPECTION

Do we have to?

**WITH OUT HONEST AND
CONSCIENTIOUS
CONTRACTORS DO WE
REALLY NEED TO ?**

It's a Process with One Goal

And that goal is

Ensuring contract performance,
According to Plans and specifications.

Does Not allow for personal Preferences

Needed or Not it's a Process

•During project construction

- Inspectors
- Staff Engineer
- Section engineer
- TEBM
- C.O Liaison
- Materials

Knowing your role

○

- The Section Engineer should appraise all parties involved in the process of their role, authority and responsibilities.
- The Section Engineer should communicate this in a mutually appreciated manner.
- All parties must understand its not personal...
- It's all about the project documents !!!

Knowing your roles

○

- At all times enforce the contract documents
- The inspector's authority comes from the right to enforce the contract, not from superior knowledge or ability.
- The section engineer is responsible for resolving differences in interpretation that arise with the contractor.
- The inspector must always bear in mind that the management of the work is the contractor's business;

The Inspector

○

The inspector is responsible for:

- Accurately completing daily records of all work performed and the materials used
- Preparing and entering in Site Manager the necessary daily reports covering all work assignments
- Being on the job during designated working hours

Project Inspection:

- The inspection process does not authorized the altering or waiving provisions of the Contract.
- The inspection process does not authorize the issuing of instructions contrary to the Contract documents.
- If it looks wrong or feels wrong - QUESTION IT!!

Project Inspection

- The management and scheduling of the work is the contractor's business;
- Any party in the inspection process has the authority to reject work or materials until any questions at issue are refer to, and resolved, by the Section Engineer.
- Questionable or disputed observations during the inspection process must be documented in as much detail as possible by the "inspector".

Project Inspection

Out-of-specification materials and work should be rejected.

- Inspectors may request removal or uncovering of work to make a more detailed examination.
- is not authorized to revoke, alter, enlarge, or release any requirements of the contract.

Remember

○

- If you ask for it to be uncovered and its right.. we pay for uncovering.
- If It is wrong the contractor pays
- *the Section Engineer can direct the removal and replacement, at no expense to the Department, all work performed or materials used without his designated supervision or inspection, unless he failed to inspect after having been given 3 working days notice in writing that the work was to be performed.*

Inspection by External Agencies

○

- When any unit of government or political subdivision or any railroad corporation pays a portion of the cost of the work covered by the Contract, provide access to its respective representatives to inspect the work.

Charging W/D and W/D Statements

- Art: 108.07.02 of the Specifications explains how to charge Working Days. The Rub is determining the controlling item.
- Why do W/D reports need to be filled and submitted to the contractor, after the contractor has exceeded the contract W/D?

Wage and Hour Checks

- How Often, What to do with Results, Good time to ck. Bulletin Boards
- See Guidance Manual, CST-307 for details.

Project in a Day—Breakout Session #3

Project Childhood

David Hughes & Vibert Forsythe

Topics

Project Filing/Organization

Submittal & Submittal Types

Traffic Control

Overall Project Inspection

Charging Working Days & Working Day

Statements

Wage & Hour Checks

Project Files and Documentation

Remember that the file in the Section Engineers office is the official project file and should contain all Documents pertaining to the project. They should be in one place and accessible to everyone in the crew. They are public files and are subject to open records requests. Each project must have its own separate file.

The folders listed in this discussion is not complete, or a list that all projects must have. Some project files may have a small number of folders, (Resurfacing for instance). Some large grade and Drain with numerous bridges or Utility Relocations, could have more folders especially if it has some unusual feature.

I realize that we are moving toward placing a majority of the project files in Project Wise, but we are not there yet, and I suspect there will always be a need for paper files and folders.

Here are some suggested folders for the project file;

Contract Documents

Proposal, Notice of award, Notice to began work. The last should contain the project charge numbers and may become important in the new payroll system.

Correspondence

Letters, Complaints, Requests, Etc., and the Department's reply to all of these.

Subcontracts

Copies of all sub contracts and anything pertaining to subcontracts for the project.

Submittals

See Vibert Forsythe's list?

Traffic Control

See Vibert Forsythe's list

Erosion Control

Storm Water permits, The approved Best Management Plan and all revisions, the pre-disturbance check list, All erosion control inspection reports, Rain Fall events. Etc..

Daily Inspection Records

Field measurements for pay quantities, Any other document referred to in a DWR.

Working Day Statements

Working Day Statements, Any objections by the contractor, and their resolution.

Change Orders

Any paper copies of Change Orders, All supporting documentation for supplemental prices used in a Change Order.

SUBMITTALS

District responsibilities:

Submittals in Construction Management are shop drawings, material data, samples, and product data.

Submittals are required primarily for the Department/ engineer to verify that the correct material and products will be installed on the project

The submittal process affects cost, quality, schedule and, ultimately, project success

The submittal process gives another level of detail usually not included as part of the design documents.

An "approved" submittal authorizes a material or an assembly to be released for fabrication and shipment. In essence, this is the final quality control mechanism before a product arrives on-site.

The submittal process should be included in the project schedule to ensure that the department does not unnecessarily participate in any delay of project activity.

Pre-construction requirements:

Preconstruction checklist should include notification to the contractor shall be notified of items on of contract requirements that require submittals at the meeting.

Some of the Required Submittals:

(Construction Manual sections)

(<http://transportation.ky.gov/KYTCI-forms/eBook/construction.pdf>)

Payroll submittals (**CST 306-1**)

Construction revision (**CST 301**)

Claim Submittals (**CST 311-2**)

V.E submittals (**CST 312**)

Electrical Submittals (**Standard Specifications section 716.02.01**)

Paint submittals **Standard Specifications section 607.03.23**)

Plant / Nursery (**Standard Specifications section 724.02.01**)

Structural work Submittals:

- Pile reports (**CST-1305**)
- Precast box or 3-sided culvert shop drawings and designs (**CST-1318-1**)
- Metal arch or other metal culvert shop drawings and designs (**CST-1318-2**)
- Deck falsework overhang designs and drawings (**CST-1306-1**)
- Pachometer testing (**CST-1312-7**)
- Revised pouring sequence (**CST-1312-1**)
- Cofferdam or shoring designs and drawings (**CST-1304**)
- Falsework designs and drawings (**CST-1306-1**) (prepared and stamped by P.E)
- Any structural steel drawings (**CST-1309**)

Note: Each reviewed or approved shop drawing and design shall be either stamped by the Central Office engineer who reviewed it or accompanied by a document authorizing its use.

Advisory

Make sure the trail of a submittal is known and communicated to all parties involved.

The S.E should follow the submittal trail as closely as possible with timely reminders on required responses.

If advice on the routing of submittals is needed please consult with your district liaison

Always ensure that submittals are approved by the reviewing or approving authority before it is incorporated into the project!

The Project Inspection Process includes the following inspectors:

Section Engineer

Staff Engineer and inspection staff.

TEBM, C.O Liaison, Materials (on request or just passing through)

District Staff Responsibilities:

The entire process has one goal

Ensuring contract performance, According to Plans and specifications

Personal Preferences are not part of the process. Requests and decisions must have a contractual basis.

All parties in the process **MUST** be appraised of and understand their role, authority and responsibilities

Some Fundamental of Project Inspection:

The inspector on construction projects shall enforce the Specifications and all other project documents at all times.

The Section Engineer, SE (or superior of the SE if necessary) shall resolve differences in interpretation that arise with the contractor.

The inspector's authority comes from the right to enforce the contract, not from any superior knowledge or ability.

If the contractor employs methods that the inspector has reason to believe will impair the quality of the finished product, the inspector shall advise the contractor's representative accordingly and notify the SE immediately.

No inspector, regardless of position, is authorized to revoke, alter, enlarge, or release any requirements of the contract.

The inspection process does not authorize the altering or waiving provisions of the Contract.

The inspection process does not authorize the issuing of instructions contrary to the Contract documents.

No party in the inspection process is authorized to act as foreman for the Contractor.

If it looks unsafe or feels unsafe QUESTION IT

The inspector must always bear in mind that the management of the work is the contractor's business;

Any party in the inspection process has the authority to reject work or materials until any questions at issue are referred to and resolved by the Section Engineer.

Observations during the inspection process must be documented in as much detail as the "inspector" sees fit ASAP.

Inspectors must be provided access to all materials and each part or detail of the work.

Out-of-specification materials and work should be rejected.

Inspectors may request removal or uncovering of work to make a more detailed examination.

However:

With regards to the inspection of work that requires the removal or uncovering of such portions of finished work as directed.

After examination, the contractor shall restore said portions of the work to the standard required by these Specifications.

Should the work thus exposed or examined prove acceptable, the Department will pay for the uncovering, removing, and the replacing of the covering or making good of the parts removed as Extra Work?

Should the work so exposed or examined prove unacceptable, perform the uncovering, or removing, and the replacing of the covering or making good of the parts removed at no expense to the Department.

As the Engineer directs, remove and replace, at no expense to the Department, all work performed or materials used without the Engineer's supervision or inspection, unless the Engineer failed to inspect after having been given 3 working days notice in writing that the work was to be performed.

When any unit of government or political subdivision or any railroad corporation

Pays a portion of the cost of the work covered by the Contract, provide access to its respective representatives to inspect the work.

The inspector is responsible for:

- accurately completing daily records of all work performed and the

Materials used

- Preparing and entering in Site Manager the necessary daily reports

Covering all work assignments

- Being on the job during designated working hours

Charging W/D's and W/D Statements

Are 108.07.02 of the Specifications explains how to charge Working Days.

Why do W?D reports need to be filled out and submitted to the contractor, after the Contractor has exceeded the Contract Work Days?

Attached are copies of the old hand filled out W/D statement and the W/D statement produced by SiteManager. Also attached are copies of the cover letters to be sent with the WD statements. These are found in the Guidance Manual, Exhibit 9016 and 9017. (Attached)

Wage and Hour Checks

How often?

The Section Engineer shall make at least one wage check on each contractor (Prime Contractors and Subcontractors) during each construction season.

Large projects or projects that last for considerable duration shall be checked on a basis of approximately every 6 months while work in active, or more often if the situation requires.

What to do with results.

Place copy in the project file, Forward a copy to the Division of Construction Procurement.

See attached CST-307, and TC-14-312, Exhibit 9014 in the Construction Guidance Manual, attached.



Project Childhood Attachment Index

- **Attachment 1:** TC 63-41 Working Day Memo No.1
- **Attachment 2:** TC 63-42 Working Day Memo No.2 (Liquidated Damages)
- **Attachment 3:** Working Day Statement (Blank from SiteManager)
- **Attachment 4:** TC 63-37 Semi-Monthly Statement of Working Days
- **Attachment 5:** Construction Guidance Manual Section CST-307 Wage Compliance Checks
- **Attachment 6:** TC 14-312 Engineer's Wage and Hour Report

- Attachment to TC 63-41 Working Day Memo No.1
- Attachment 2 to TC 63-41 Working Day Memo No.1
- Attachment 3 to TC 63-41 Working Day Memo No.1
- Attachment 4 to TC 63-41 Working Day Memo No.1
- Attachment 5 to TC 63-41 Working Day Memo No.1
- Attachment 6 to TC 63-41 Working Day Memo No.1

Project Childhood—Attachment 1

TC 63-41 Working Day Memo No.1

KENTUCKY TRANSPORTATION CABINET
DEPARTMENT OF HIGHWAYS
DIVISION OF CONSTRUCTION
WORKING DAY MEMO NO. 1

TC 63-41
Rev. 7/93 Mod. 03/00

MEMO TO: _____
Contractor

ATTENTION: _____

FROM: _____

DATE: _____

CONTRACT ID: _____

PROJECT NO: _____ COUNTY: _____

WORKING DAY STATEMENT: _____

Attached is a copy of a statement of working days charged to this project
 from _____ thru _____
 As stipulated in the Standard Specifications, Section 108.07.02, this statement will be deemed to be acceptable
 as correct by your company unless you submit a written protest containing supporting evidence for a change
 within fourteen (14) days of the above date.

PROJECT ENGINEER

c: File
District Executive Director
Division of Construction

Delivered to:

Date:
Mail, Email or Hand Delivery:

TO :

FROM :

DATE :

TIME :

BY :

FOR :

RE :

CC :

ATTN :

Project Childhood—Attachment 2

TC 63-42 Working Day Memo No.2 (Liquidated Damages)

1

KENTUCKY TRANSPORTATION CABINET
DEPARTMENT OF HIGHWAYS
DIVISION OF CONSTRUCTION
WORKING DAY MEMO NO. 2

TC 63-42
Rev. 7/93 Mod. 03/00

MEMO TO: _____
Contractor

ATTENTION: _____

FROM: _____

DATE: _____

CONTRACT ID: _____

PROJECT NO: _____ COUNTY: _____

WORKING DAY STATEMENT: _____

Attached is a copy of a statement of working days charged to this project
from _____ thru _____
As stipulated in the Standard Specifications, Section 108.07.02, this statement will be deemed to be acceptable
as correct by your company unless you submit a written protest containing supporting evidence for a change
within fourteen (14) days of the above date.

PROJECT ENGINEER

NOTE: This project was not completed on time and daily charges as agreed liquidated damages are applicable
to the project. These charges will be deducted on a calendar day basis as per Section 108.09 of the Standard
Specifications.

This working day statement has no effect on these charges and is being submitted solely as a matter of record,
however, it should be reviewed closely since it may be utilized in the event a time extension is applicable.

c: File
District Executive Director
Division of Construction

Delivered to:

Date:
Mail, Email or Hand Delivery:

DATE: _____

PROJECT: _____
SCHOOL: _____
TEACHER: _____

NAME: _____

ADDRESS: _____

CITY: _____

STATE: _____

ZIP: _____

PHONE: _____

SIGNATURE: _____

PRINTED NAME: _____

Project Childhood—Attachment 3
Working Day Statement (Blank from Site Manager)

Report Form
 County
 1-1-1992

Employer

EMPLOYER'S REPORT
 Department of Highway
 Division of Construction
 Semi-Monthly Statement of Working Days

Report No.
 Working Days
 Calendar Days

Mr. Carl
 Davis

State Controller
 State of California

Project Childhood—Attachment 4

TC 63-37 Semi-Monthly Statement of Working Days

Working Days Statement

Working Day	Calendar Day	Working Day	Calendar Day	Working Day	Calendar Day
1	1	2	2	3	3
4	4	5	5	6	6
7	7	8	8	9	9
10	10	11	11	12	12
13	13	14	14	15	15
16	16	17	17	18	18
19	19	20	20	21	21
22	22	23	23	24	24
25	25	26	26	27	27
28	28	29	29	30	30
31	31				

Project Number

Employer

Signature

Date

State Controller

COMMONWEALTH OF KENTUCKY
Transportation Cabinet
Department of Highways
Division of Construction
Semi-Monthly Statement of Working Days

Rev. 7/01/
TC 63-37

PN :
Report For :
County :
Project :

Report No.

Beginning Date :
Through Date :
Submittal Date :

Contractor:

Date	Work Day	Controlling Item	No. Cal Days	Remarks
------	----------	------------------	--------------	---------

Summary of Time for ENTIRE PROJECT

Working Days Allowed	Working Days Used	Calendar Days Accrued
Original	WD Previous Periods	WD Previous Periods
Change Order	WD This Period	WD This Period
Contract Time	WD Total Used to Date	WD Total Calendar Days
	Working Day Balance	WD

WORKING DAYS REMAINING = WD

Submitted By: _____ Project Engineer

CC:
File
Chief District Engineer
Division of Construction

Original To: _____
Representing: _____ COMPANY

Date Delivered

Method



The section engineer (SE) shall ensure that wage checks are made periodically in accordance with the contract. The SE shall make at least one wage check in each calendar year for large projects or projects that last for more than 12 months. The SE shall check for compliance with the contract every 6 months while work is being performed on the project.

Project Childhood—Attachment 5

Construction Guidance Manual Section CST-307 Wage Compliance Checks

1. Place the completed IC 14-312 form in the file for the contract that the wage check was performed.


2. Forward a copy of the IC 14-312 form to the Division of Construction Enforcement.

The Division of Construction Enforcement also utilizes the IC 14-312 form in the preparation of the Wage Check Report required by the Federal Highway Administration for Federal-aid projects.

The SE shall submit wage check information through the contract office to the Division of Construction Enforcement. The SE shall advise the contractor of the violation.

The contractor shall make the necessary adjustments to the contract.

The Division of Construction Enforcement shall review the contract and advise any wage check compliance issues. The SE shall advise the contractor of the violation.

	Chapter CONTRACT ADMINISTRATION
	Subject Wage Compliance Checks

OVERVIEW

The section engineer (SE) shall ensure that wage checks are made periodically to determine that the contractor is paying at least the minimum wage established for work on the payroll.

The SE shall make at least one wage check on each contractor (prime contractors and subcontractors) during each construction season.

Large projects or projects that last for considerable duration shall be checked on a basis of approximately every 6 months while work is active, or more often if the situation requires.

PERFORMING WAGE CHECKS

The SE shall:

- Record the wage checks on a TC 14-312 eform, *Engineer's Wage & Hour Report (Exhibit 9014)*
- Place the completed TC 14-312 eform in the file for the dates that the wage checks were performed
- Forward a copy of the TC 14-312 eform to the Division of Construction Procurement

The Division of Construction Procurement also utilizes the TC 14-312 eform in the preparation of the Wage Compliance Report required by the Federal Highway Administration on all federal-aid projects.

VIOLATIONS

The SE shall report wage violations through the district office to the Division of Construction Procurement. The SE shall advise the contractor of the violation.

The contractor shall make the necessary adjustments immediately.

The Division of Construction Procurement shall review the controversy and arrange any formal hearings necessary to enforce wage requirements of the contractor.

ASSISTANCE

Wage representatives of the Division of Construction Procurement are available at all times to assist the SE with:

- Wage complaints and alleged violations requiring investigation on the project
- Complaints received or detected after a project is completed
- Obtaining additional wage rates on a project
- Properly classifying employees on a project

Any request for the assistance by the Division of Construction Procurement in this matter shall be addressed to the Director, Division of Construction Procurement.



08-1-007

CONTRACT ADMINISTRATION

Contract Administration

When the contract is in the hands of the Contract Administrator, the contractor shall submit to the Contract Administrator a copy of the contract and all amendments thereto.

The contractor shall submit to the Contract Administrator a copy of the contract and all amendments thereto.

The contractor shall submit to the Contract Administrator a copy of the contract and all amendments thereto.

The contractor shall submit to the Contract Administrator a copy of the contract and all amendments thereto.

The contractor shall submit to the Contract Administrator a copy of the contract and all amendments thereto.

Any request for the assistance of the Director of Construction in the preparation of the contract shall be referred to the Director of Construction.



Project Childhood—Attachment 6

TC 14-312 Engineer's Wage and Hour Report

Date: _____ County: _____ Name: _____

Project: _____ Contract ID No.: _____ Contractor
 Subcontractor

- A. Do you know where wage rates are posted?
- B. Have you been informed about your fringe benefits?
- C. Have you been charged for tools used in performing your duties except for reasonable avoidable loss or damage thereto?
- D. Have you ever been charged for any transportation furnished by contractor or his agents?
- E. Has your employer made arrangements for the cashing of your paychecks?
- F. When you work in a higher classification, are you paid the proper wage rate for that classification?

1. _____

A. YES NO

B. YES NO

C. YES NO

D. YES NO

E. YES NO

F. YES NO

6. _____

A. YES NO

B. YES NO

C. YES NO

D. YES NO

E. YES NO

F. YES NO

2. _____

A. YES NO

B. YES NO

C. YES NO

D. YES NO

E. YES NO

F. YES NO

7. _____

A. YES NO

B. YES NO

C. YES NO

D. YES NO

E. YES NO

F. YES NO

3. _____

A. YES NO

B. YES NO

C. YES NO

D. YES NO

E. YES NO

F. YES NO

8. _____

A. YES NO

B. YES NO

C. YES NO

D. YES NO

E. YES NO

F. YES NO

4. _____

A. YES NO

B. YES NO

C. YES NO

D. YES NO

E. YES NO

F. YES NO

9. _____

A. YES NO

B. YES NO

C. YES NO

D. YES NO

E. YES NO

F. YES NO

5. _____

A. YES NO

B. YES NO

C. YES NO

D. YES NO

E. YES NO

F. YES NO

10. _____

A. YES NO

B. YES NO

C. YES NO

D. YES NO

E. YES NO

F. YES NO

Resident Engineer _____
Print/Type Name Here

Signature _____

Compliance Officer _____
Print/Type Name Here

Signature _____

KENTUCKY TRANSPORTATION CABINET
Division of Construction Procurement
Compliance Section

TC 14-312AE
Rev. 08/2007
Page 1

Contract ID No.: _____

ENGINEER'S WAGE AND HOUR REPORT
CONTINUATION PAGE

Date: _____ County: _____ Foreman: _____
Project: _____ Address: _____
Name: _____ City/State: _____
 Contractor Subcontractor
Telephone: _____

NAME	ADDRESS		
OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID
NAME	ADDRESS		
OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID
NAME	ADDRESS		
OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID
NAME	ADDRESS		
OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID
NAME	ADDRESS		
OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID
NAME	ADDRESS		
OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID
NAME	ADDRESS		
OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID
NAME	ADDRESS		
OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID
NAME	ADDRESS		
OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID
NAME	ADDRESS		
OBSERVED WORKING AS	CLASSIFICATION	WAGE <input type="checkbox"/> UNKNOWN	OVERTIME <input type="checkbox"/> WORKED <input type="checkbox"/> PAID

Date: _____ County: _____ Name: _____

Project: _____ Contract ID No.: _____ Contractor

Subcontractor

- A. Do you know where wage rates are posted?
- B. Have you been informed about your fringe benefits?
- C. Have you been charged for tools used in performing your duties except for reasonable avoidable loss or damage thereto?
- D. Have you ever been charged for any transportation furnished by contractor or his agents?
- E. Has your employer made arrangements for the cashing of your paychecks?
- F. When you work in a higher classification, are you paid the proper wage rate for that classification?

11. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

16. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

12. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

17. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

13. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

18. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

14. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

19. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

15. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

20. _____
- A. YES NO
 - B. YES NO
 - C. YES NO
 - D. YES NO
 - E. YES NO
 - F. YES NO

Resident Engineer _____
Print/Type Name Here

Signature _____

Compliance Officer _____
Print/Type Name Here

Signature _____

3

4

PROJECT ADULTHOOD

ALL GROWN UP

Rob Harris and Matt Looney
Section Engineer's Meeting Spring 2011

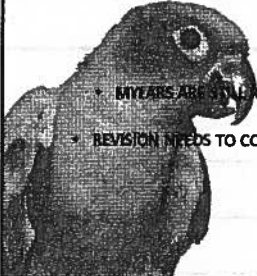
CHANGE ORDERS

- USE THE *CURRENT* PROCEDURES
- ALL ITEMS SHOULD TELL *WHY, WHEN, WHERE, WHAT & HOW*
 - ALL NEW ITEMS MUST HAVE CODE INDICATING HOW COST WAS JUSTIFIED
 - EXPLANATIONS SHOULD BE WRITTEN SO THAT SOMEONE UNFAMILIAR WITH PROJECT CAN UNDERSTAND WHAT IS BEING ACCOMPLISHED

WHY, WHEN, WHERE, WHAT & HOW

- TELL THE STORY
 - **WHY** IS THE ITEM AND/OR ADDITIONAL WORK NECESSARY
 - **WHEN** WAS THE ISSUE OR PROBLEM DISCOVERED
 - **WHERE** IS THE ADDITIONAL WORK GOING TO BE ACCOMPLISHED
 - **WHAT** ADDITIONAL WORK IS GOING TO BE ACCOMPLISHED
 - **HOW** IS THE ADDITIONAL WORK GOING TO BE ACCOMPLISHED


MYLARS & CONSTRUCTION REVISIONS



- WHEN IS A CONSTRUCTION REVISION NECESSARY
 - RIGHT-OF-WAY CHANGE
 - TYPICAL SECTION CHANGE
 - MAJOR DESIGN FEATURE CHANGE
- MYLARS ARE STILL REQUIRED BUT MAY BE CHANGING
- REVISION NEEDS TO COME WITH DRAFT CHANGE ORDER
- GUIDANCE MANUAL CST-301

SECTION ENGINEER

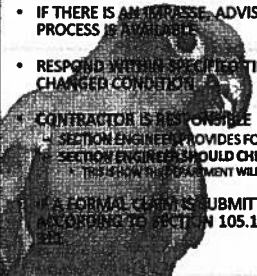
CLAIMS



WHY CAN'T WE ALL JUST GET ALONG 🐦

SECTION ENGINEER

CLAIMS



- SPECIFICATION 105.13 & CONST ENGR RESOURCE CENTER ON WEB
- IF THERE IS AN ISSUE, ADVISE CONTRACTOR THE CLAIMS PROCESS IS AVAILABLE
- RESPOND WITHIN SPECIFIED TIMEFRAME TO NOTICE OF CHANGED CONDITIONS
- CONTRACTOR IS RESPONSIBLE FOR TRACKING WORK
 - ↳ SECTION ENGINEER PROVIDES FORM TC 63-11 PER SECTION 109.04.02 E
 - ↳ SECTION ENGINEER SHOULD CHECK AND SIGN EACH DAY
 - ↳ THIS SECTION ENGINEER DEPARTMENT WILL ULTIMATELY CHECK ANY SUBMITTED CLAIM
- A FORMAL CLAIMS SUBMITTED, IT MUST BE EVALUATED ACCORDING TO SECTION 105.13 AND GUIDANCE MANUAL CST

SECTION ENGINEER

VALUE ENGINEERING





CID XX-XXXX, project. A project barely buildable. Cabinet, we can build it better. We have the technology. We have the capability to build Kentucky's first blonic project. CID XX-XXXX will be that project. Better than it was before. Better, stronger, faster.

VALUE ENGINEERING

- SEE SPECIFICATION SECTION 111 & GUIDANCE MANUAL SECTION CST 312
- ENSURE ALL INFORMATION REQUIRED BY SECTION 111.03.01 IS IN SUBMITTAL
 - DETAILED DESCRIPTION OF WORK & CHANGES
 - COMPLETE SET OF PLANS & CONSTRUCTION DETAILS
 - DETAILED COST ESTIMATE FOR WORK PERFORMED UNDER EXISTING CONTRACT & PROPOSED CHANGE INCLUDING BREAKDOWN OF PRICING FOR LABOR, EQUIPMENT, MATERIALS, ETC.
 - DETAILED COST ESTIMATE FOR NON-CONTRACT ITEMS
 - DETAILED CHANGES IN FUTURE COSTS TO CABINET
 - WHAT EFFECT VE WILL HAVE ON PROJECT COMPLETION DATE
- DISTRICT REVIEWS VE PER SECTION 111.03.03

PROGRESS ESTIMATES
SHOW ME THE MONEY!!

PROGRESS ESTIMATES

-  SEE GUIDANCE MANUAL CST 302
-  MUST BE CHECKED BEFORE BEING APPROVED
-  CHECK AND RESOLVE ANY DISCREPANCIES
-  CHECK FUNDING LINES FOR ANY FLAGS BEFORE APPROVING

SECTION ENGINEER PUNCHLIST

ARE WE DONE YET?


SECTION ENGINEER PUNCHLIST

- REFER TO SPECIFICATION SECTION 105.12
- DURING LIFE OF PROJECT, PROVIDE WRITTEN LIST OF CORRECTIVE WORK TO CONTRACTOR AND UPDATE AS NEEDED.
 - MAKE SURE CONTRACTOR UNDERSTANDS PROJECT WILL **NOT** BE CALLED COMPLETE UNTIL SECTION ENGINEER'S LIST IS COMPLETE
 - WHEN WEATHER OF OTHER "COMPELLING" REASONS EXIST, SECTION ENGINEER CAN CALL PROJECT COMPLETE BEFORE PUNCHLIST IS COMPLETE AND LET ITEMS CARRY OVER TO FINAL INSPECTION REPORT.
- IF USED PROPERLY, THE SECTION ENGINEER PUNCHLIST SHOULD GREATLY LIMIT THE LIST OF CORRECTIVE WORK INCLUDED ON FINAL INSPECTION REPORT


WORK COMPLETION NOTICE
"THIS IS THE END"

WORK COMPLETION NOTICE

- SPECIFICATION SECTION 105.12
- GENERATED FROM PROCESS LIST IN SITEMANAGER
- DATES ARE AUTO-FILLED IN FROM KEY DATES
 - COMPLETE KEY DATES IN SM BEFORE GENERATING REPORT
- SEND COMPLETION NOTICE TO CONTRACTOR, DISTRICT TEAM FOR PD&P AND CENTRAL OFFICE LIAISON
 - SEE CONSTRUCTION MEMO 02-10
- REPORT RECENTLY UPDATED TO INCLUDE TYPES OF INSPECTIONS NEEDED
 - TYPE "YES" IN SM NEXT TO ALL TYPES OF INSPECTIONS REQUIRED



**FUEL &
ASPHALT
ADJUSTMENTS**



TRANSPORTATION CABINET
FRANKFORT, KENTUCKY

DIVISION OF CONSTRUCTION PROCUREMENT

OFFICIAL ORDER NO. _____

SUBJECT: AWARD OF PROJECT

IN ACCORDANCE WITH OFFICIAL ADVERTISEMENT, BIDS WERE MADE PUBLIC AT THE CENTRAL OFFICE OF THE DEPARTMENT OF HIGHWAYS ON FEBRUARY 25, 2011.

THE AWARDS COMMITTEE REVIEWED AND CONSIDERED THE BID RECEIVED ON THE FOLLOWING PROJECT, AND UPON RECOMMENDATION OF THE AWARDS COMMITTEE, IT IS HEREBY DIRECTED THAT THE FOLLOWING PROJECT BE AWARDED, THAT THE SUCCESSFUL BIDDER BE SO NOTIFIED IN WRITING, AND A CONTRACT BE EXECUTED.

CALL #100 CONTRACT ID #111304
MONROE COUNTY, ARRA-FBD 3000 (808): TURKEY NECK BEND FERRY BARGE TUGBOAT, OPERATIONS (MAINTENANCE). THE LOW BID WAS SUBMITTED BY YAGER MATERIALS LLC, PO BOX 2000, Owensboro, KY, IN THE AMOUNT OF \$610,568.60.

SIGNED AND APPROVED THIS _____ DAY OF _____, 2011.

STATE HIGHWAY ENGINEER - DEPARTMENT OF HIGHWAYS

Project Adulthood

- **CHANGE ORDERS**

- Use **CURRENT** Procedures
- Specification Section 104, Section 109.03, Section 109.04
- Guidance Manual CST 303-1
- Should be written for all Items tell What, When, Where, Why, How.
 - For new items Cost must be justified and Cost Justification Statement **MUST** be included in body of Change Order.
 - Make sure explanations can be clearly understood by someone who is not at all familiar with project.
- Be sure to reference Index dates on any Supplemental Items which will include Fuel or Asphalt adjustments.
 - Letting date or other date can be used with FAA program, but it needs to be specified in the change order.

- **CONSTRUCTION REVISIONS AND MYLARS**

- Construction Guidance Manual Section 301
- Phasing mylar usage out.
- C.O. Construction in the process of creating procedures to do them electronically with printed cover sheet for signatures.
 - Electronic copies of plan sheets would go into Construction Revision folders within ProjectWise
- WHEN DOES A CHANGE REQUIRE A CONSTRUCTION REVISION?
 - CONSTRUCTION REVISION definition – “Any change in the Plans authorized by the Department.”
 - Right of Way change
 - Typical Section change
 - Major Design Feature change
- Revision should reference and include all modified sheets in plan set.
 - Changes should be bubbled so that the differences are obvious from original set.

- **CLAIMS**

- Specification 105.13, Flowchart.
- Ensure that Notice of Intent and Reply to Contractors are filed in timely manner (according to Spec) and that information is forwarded to all parties which will eventually deal with the claim.
- Ensure that work (Labor, Materials, Equipment) is being tracked.
 - This is the responsibility of the contractor, but Cabinet staff should be checking and signing off on daily records. This is the only way we have to accurately determine costs after work has been performed.

- **VALUE ENGINEERING PROPOSALS**

- Specification Section 111, Flowchart
- Ensure that all information required by section 111.03.01 is included in submittal.
 - Detailed description of work and changes
 - Complete set of plans and construction details
 - Detailed cost estimate
 - Pay items
 - Pay units
 - Quantities
 - Unit prices
 - Include breakdown of pricing (Labor, Equipment, Materials)
 - Detailed cost estimate for non-contract items
 - Design
 - Right of Way
 - Utilities
 - Future Maintenance
 - Cost to Prepare VE
 - Detailed changes in Future Costs to Cabinet
 - Maintenance and Operation Cost
 - Life-Cycle costs
 - This can be especially relevant in a pavement type change
 - Statement of Contract Time effects of proposal
- District will Review Proposal and send information with District Recommendation to Central Office Construction for review.

- **PROGRESS ESTIMATES**

- Should be checked before being approved.
 - Ensure that the individual that is Authorizing DWR's is also reviewing the Estimates as they are the only one (other than the inspectors) that have direct knowledge of the payments which are included on estimate.
 - Check and resolve any discrepancies
 - Be sure to check funding lines for any flags before approving.
 - NOTE – Line Item adjustments will not show up in Funding lines at the end of the Estimate. Consider them when checking balances.
 - Line Item adjustments are not to be used any more, but the preceding statement will apply to any older projects where they may still exist from earlier adjustments.

- **SECTION ENGINEER PUNCHLIST**

- Specification Section 105.12

- During life of project, and especially as project nears completion, provide a written list of corrective work that is necessary. Inform the contractor that project will not be called complete until this list is completed.
 - When weather or other "Compelling" reasons exist, Project Engineer can call project complete before punchlist is complete and let the items carry over to the corrective work on the Final Inspection Report.
 - If the Section Engineer Punchlist is used properly, the list of corrective work included on the Final Inspection Report should be very limited.

- **WORK COMPLETION NOTICE**


- Generated from Process List in SiteManager.
 - Dates auto-filled in from Key Dates that should be input into SM before generating report.
 - Send Completion notice to Contractor, District TEBM for PD&P and Central Office Construction Liaison. Construction Memo 02-10.
 - Report Recently updated to include types of inspections needed.
 - Type 'Yes' in SM next to all types of inspection which will be required.

- **FUEL AND ASPHALT ADJUSTMENTS**

- Specification Section 109.07

- Make note of Fuel and Asphalt Indexes at time of project Letting.
 - If Indexes particularly high at time of letting be sure to generate Fuel and Asphalt adjustments before paying majority of pay items. Adjustments likely to be negative and if not checked before sending out estimates we could be in the uncomfortable situation of telling the contractor that they owe money back to the State.
 - Need to be run on a REGULAR basis.
 - Once a quarter at least, monthly preferred.
 - Fuel and Asphalt program can be found at...
 - [http://kytcw00b08p/FAA/\(S\(bbtr4k55nvwkagpi1akk245\)\)/FAAWebUIPages/Default.aspx](http://kytcw00b08p/FAA/(S(bbtr4k55nvwkagpi1akk245))/FAAWebUIPages/Default.aspx)
 - Instructions - <http://transportation.ky.gov/construction/fuel/FAAUserGuide.pdf>



	Chapter CONTRACT ADMINISTRATION
	Subject Construction Revisions

CAUSES FOR A REVISION

A construction revision will be submitted when:

- A right-of-way change is recommended
- A change in a typical section is recommended
- A change in any other major design feature is recommended

PREPARING CONSTRUCTION REVISIONS

The following outlines the procedure for construction revisions to be submitted and processed in a uniform manner:

1. The district shall utilize reproducible sensitized film (Mylar) to copy the original plan sheet that is on file in the section engineer's office. Care must be taken to obtain a legible copy capable of reproducing legible copies.
2. Prepare a construction revision as follows:
 - a. Insert the county, item number, and revision number together with the sheet number (relative to the specific revision) and total number of sheets in the revision, in the upper right hand corner of each sheet in the revision.
 - b. Original data being revised shall be canceled out but not obliterated or removed from the sheet.
 - c. When right-of-way is acquired or altered in any manner, the acreage indicated on the summary sheet must be corrected as a part of the revision and a revised right-of-way strip map must be included.
 - d. Revised data shall be done in black India ink and marked as such. Also the area of revision shall be boldly indicated by circling or indicating it in some such practical method to draw attention to its limits.

**PREPARING
CONSTRUCTION
REVISIONS (CONT.)**

3. Each Construction Revision shall include a Mylar cover sheet consisting of the "Construction Revision Index Sheet." (See Exhibit 9007.) There are spaces for 10 revisions on each cover sheet and they must be used in numerical sequence. The cover sheet is numbered "1A" so as not to interfere with the normal numbering of revision sheets that start with the number one. If more than 10 revisions are encountered on a project, designate the next cover sheet as "1B" and change the revision number to 11, etc. Do not count the cover sheet when counting the number of sheets in the revision. This cover sheet may be obtained from the district project development office. Each revision block on the cover sheet shall be prepared as follows:

- a. Assign the revision to the correct sequential revision number on the sheet.
- b. Check whether right-of-way "Is" or "Is not" involved.
- c. When a federal participated project (part of the National Highway System) is involved, insert "Verbal Approval by _____ (name of Federal Highway Administration representative giving verbal approval) on _____ (date of such approval)."
- d. List each original page number included in the revision excluding the cover page. Original page numbers relate the revision to the original plans and are not to be confused with the sequential sheet numbers assigned to the revision sheets for purposes of tracking the revision.
- e. Obtain necessary signatures. Signature stamps are not acceptable however a superior may appoint a representative who may fill in the superior's name followed by the representative's signature.
- f. Insert a clear concise statement as to the necessity of the revision in the space provided.

Note: This procedure makes it a little unhandy to immediately follow one revision with another revision without a delay since the "Construction Revision Index Sheet" must be returned before the next revision may be submitted. To offset this delay, two consecutive revisions can be submitted simultaneously using the same cover sheet for both revisions. Send a note of explanation with the revisions when this situation is encountered.

FHWA APPROVAL

Proposed revisions involving National Highway System roads must indicate verbal approval by the representative of the Federal Highway Administration assigned the particular district responsibilities. See step 3(c) above for inclusion of "Verbal Approval" in revision.

**FORMAL APPROVAL
& DISTRIBUTION**

The Director of Construction will review the revision upon submittal to Central Office. If in agreement with the revision, the Director will sign and submit it to the Executive Director of the Office of Project Delivery and Preservation for consideration and approval.

On FHWA full-oversight projects, formal approval will be submitted through the FHWA.

After formal approval, the approved construction revision will be delivered to the Plan Reproduction Section, Division of Highway Design. At that time, copies of the revised plans will be distributed to the appropriate district, the Division of Highway Design, and the Division of Construction. In addition, copies will be sent to the FHWA on all projects with full federal oversight. The original copy of the construction revision is to be returned by the Plan Reproduction Section to the originating office to be used in the development of the as-built plans. The original copy of the "Construction Revision Index Sheet" will be reused with the next revision and will be included with the as-built plans.

When a construction revision requires a change order, the change order shall be processed concurrently with the revision.



Event	Contractor Action	Department Action	Time Limit from Event
1. Dispute/Issue on the jobsite	Contractor and Resident Engineer should work together to resolve disputes as they arise.		
2. Contractor knows or should of known of events causing claim	The claims process is initiated by the Contractor notifying the Resident Engineer of the intent to file a claim by submitting TC 63-32 "Notice of Changed Condition/Disagreement."		10 Days; Prior to beginning any disputed Extra Work (as define in the standard specifications)
3. Resident Engineer receives form TC 63-32		The Resident Engineer must respond to form TC 63-32 by submitting TC 63-33 "Acknowledgement of Notice of Changed Condition/Disagreement" to the Contractor.	7 Days
4. TC 63-32 and TC 63-33 submitted	The Contractor must complete the work as directed by the construction documents and the Engineer. Both parties should carefully track and document the work with costs tracked according to specification 109.04.		Immediately
5. Work involved in the claim is complete		The Resident Engineer determines if the claim is justified. If so, it is paid for as Extra Work under specification 104.03.	
6. The Resident Engineer determines the claim is not justified	<p>1. If the claim involves extra work, the Contractor must submit a report detailing the dollar amount of the claim, the basis of the claim, and any supporting documentation to the Resident Engineer no later than 30 days after the receipt of form TC 63-44, "Final Inspection and Formal Acceptance Report of Completed Construction."</p> <p>2. If the claim involves final quantities and payments, the Contractor must submit a report detailing the dollar amount of the claim, the basis of the claim, and any supporting documentation to the Resident Engineer no</p>		<p>30 Days from receipt of TC 63-44</p> <p>60 days from receipt of TC 63-34.</p>

	later than 60 days after receipt of form TC 63-34, "Final Release," as sent to the Contractor by the Cabinet.		
7. Submission of the claim materials to the Resident Engineer by the Contractor		At this point in the process, the Resident Engineer should notify the Central Office Field Engineer and Contract Administration Branch of the claim. The Resident Engineer and the District TEBM will attempt to settle the claim with the Contractor.	60 Days
8. The claim is not settled in 60 days		The Director of the Division of Construction will hold an informal conference with the Contractor to try to reach a settlement or identify issues needing resolution. If the conference does not successfully settle the claim, the Director will make a final determination.	90 Days
9. Conference unsuccessful and the Director makes a final determination regarding the claim		The Director will notify the Contractor in writing of the Cabinet's decision and of the Contractor's right to an Administrative Hearing according to KAR 603 2:015 Section 10.	
10. Contractor receives written notice of the Cabinet's decision and wishes to have an Administrative Hearing	The Contractor requests a hearing pursuant to KAR 603 2:015 Section 10.		30 Days

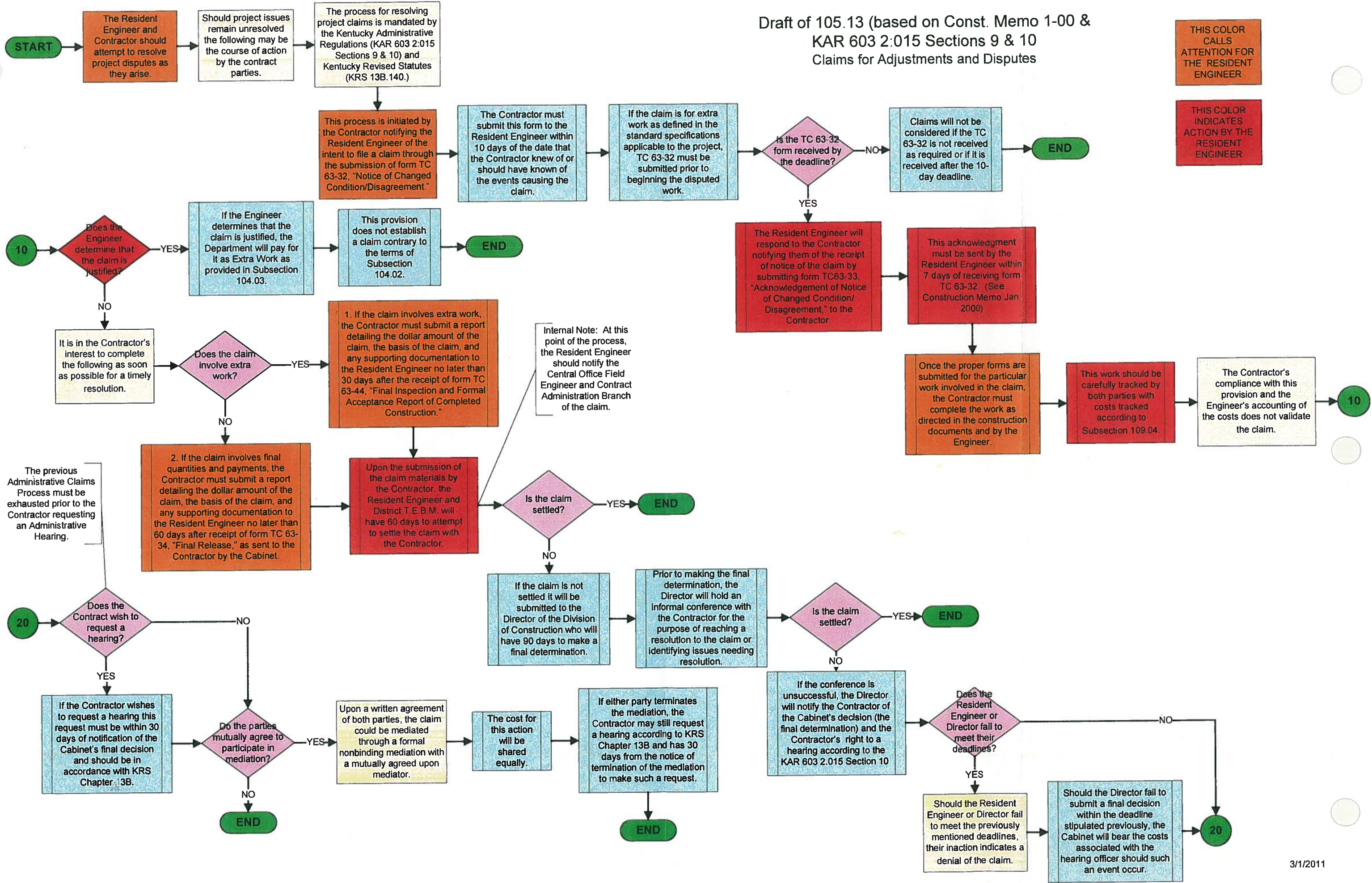
**The parties of the claim may mutually agree to have the claim mediated by a mutually agreed upon mediator with costs shared equally. If mediation is terminated the Contractor still has the right to a hearing pursuant to KAR 603 2:015 Section 10.

**This process is governed by KAR 603 2:015 Section 9 and KRS 13B.140.

Draft of 105.13 (based on Const. Memo 1-00 & KAR 603 2:015 Sections 9 & 10 Claims for Adjustments and Disputes

THIS COLOR CALLS ATTENTION FOR THE RESIDENT ENGINEER

THIS COLOR INDICATES ACTION BY THE RESIDENT ENGINEER

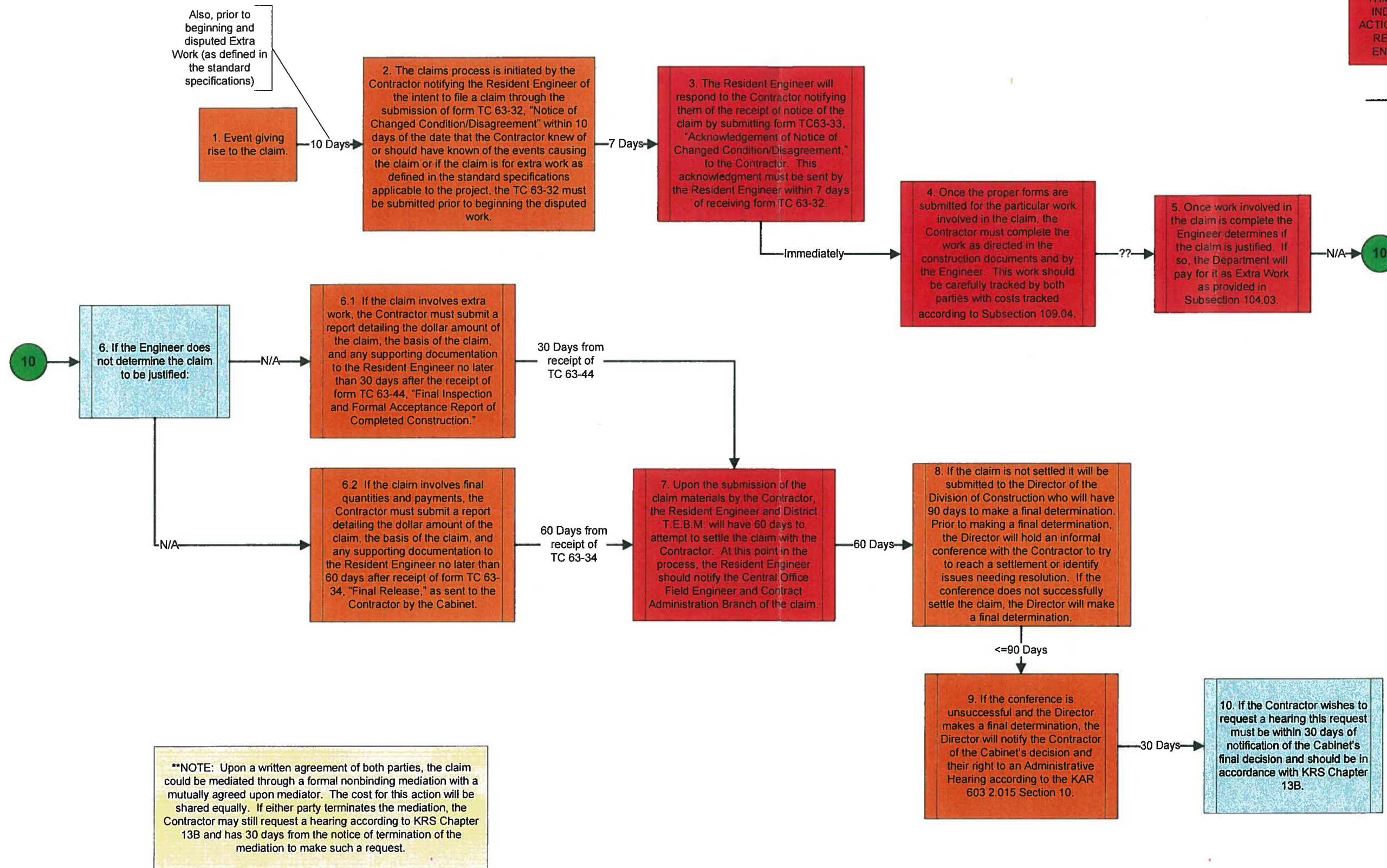


Resident Engineer Timeline for Draft Specification 105.13 Claims for Adjustments and Disputes

THIS COLOR CALLS ATTENTION FOR THE RESIDENT ENGINEER

THIS COLOR INDICATES ACTION BY THE RESIDENT ENGINEER

→ THE NUMBER OF DAYS BETWEEN EVENTS





TRANSPORTATION CABINET

Frankfort, Kentucky 40622
www.transportation.ky.gov/

Steven L. Beshear
Governor

Michael W. Hancock, P.E.
Acting Secretary

MEMORANDUM

Construction Memo No. 02-10

TO: Chief District Engineers
District TEBMs for Project Delivery and Preservation
District TEBMs for Engineering Support
District Section Engineers
C.O. Division Directors

FROM: Steven Criswell, P.E. Director *Steven Criswell*
Division of Construction

DATE: April 1, 2010

SUBJECT: Final Inspections and Project Completion Notice

Final project inspections will be conducted after the project is called complete and a Project Completion Notice is sent to the Contractor, District TEBM for Project Delivery and Preservation, and the Central Office Construction Liaison. A project shall not be called complete until the Section Engineer's punch list has been satisfied. This requirement is in accordance with Standard Specification 105.12. The Project Completion Notice is a new form that can be generated from SiteManager once the completion date for the project is entered. Instructions outlining the new form can be found on the Division of Construction's Website at http://transportation.ky.gov/construction/transport/sm/reports/project_completion_notice.pdf.

The District TEBM for Project Delivery and Preservation will conduct final inspections of resurfacing and guardrail projects, excluding parkway and projects that have full federal oversight. If the TEBM is unable to perform the inspection within the timeframe allotted by specifications, the inspection can be performed by another district TEBM or by an individual designated by the TEBM. The Division of Construction should be in concurrence with the District's decision to designate the authority to perform the final inspections to someone other than the Branch Manager. The reason behind requesting that Branch Managers perform the inspections is to allow them to review both the performance of the Contractor and the Section Engineer's office as well as avoiding any conflict of interest. The Division of Construction will still retain the authority to review or follow up on inspections performed by District personnel. All final inspections are to be documented using the Sitemanager final inspection form with a copy sent to the respective Liaison and the Contractor. Instructions on how to complete the final inspection form can be found at http://transportation.ky.gov/construction/transport/sm/reports/final_inspection_report.pdf. Final inspections must be completed within 90 calendar days from the date of project completion. A final inspection report is required for all projects, even if there is no corrective work.

Final inspections not completed within 90 calendar days from the project completion shall not be considered for corrective work and formal acceptance should be requested with a notification that the Department failed to complete the inspection within the required timeframe. The project must still be inspected and issues discovered during the inspection should be documented. The



An Equal Opportunity Employer M/F/D

Contractor will not be obligated to complete any corrective action that was uncovered during this inspection. Formal Acceptance of the project will be completed by the respective Liaison when he/she is notified that all corrective work is complete. Formal Acceptance will be issued automatically for projects where there is no corrective work required. Central Office Construction will not issue a formal acceptance report for any project let in January 2010 and beyond without the receipt of a final inspection report.

The Central Office Liaison for the respective District will begin the final inspection process for all other projects once they receive the Project Completion Notice. The Liaison will initiate the scheduling of their inspection and request the District TEBM or Section Engineer to accompany them during the inspection. The Liaison will contact others such as the Division of Planning, Traffic Operations, and/or Highway Design and FHWA, as applicable, if further inspections need to be completed. The request for inspections by other entities will be completed through an email notification or memorandum. A copy of the request for additional inspections will be sent to the District Branch Manager and Section Engineer with a hard copy placed in the central office project file. The 90 calendar day time-frame for project inspections is applicable to these inspections as well, so timely submittal of the Project Completion Notice is extremely important.

Central Office Construction personnel will generally perform inspections on seeding, landscaping, and bridge painting. These inspections are generally done in a manner different than most. The Central Office Liaison may not need the presence of the District TEBM or Section Engineer when they are onsite performing inspections. There may be instances when the Liaisons will request assistance during inspections and will be contacted prior to the scheduled inspection date. These inspections, both interim and final inspections, will be completed using the SiteManager final inspection form.

Once all inspections have been completed, the Section Engineer will send the Contractor a Comprehensive Final Inspection Report in accordance with Standard Specification 105.12. This form is available on the Division of Construction's Website, under the Construction Engineer's Resource Center Page. The Comprehensive Final Inspection Form provides the Contractor with one document which includes all of the corrective work (excluding seeding, striping, tree planting and landscaping) and a time frame to complete the work. Although the Central Office Field Liaison will notify all parties of the need to complete inspections within the allotted 90 day period, it will remain the Section Engineer's responsibility to coordinate the on-site inspections and compile all reports into the Comprehensive Final Inspection Report. Please contact your respective Liaison if inspections are not being completed in a timely manner.

Central Office Construction will begin performing project quality assurance reviews as part of the formal acceptance process. This endeavor will consist of Central Office field personnel performing random field checks to ensure that all corrective work has been satisfactory completed and project documentation is in order. Due to time and personnel constraints, this field reviews will be performed on a small percentage of projects.

This Construction Memo is effective as of April 15, 2010.

If you have any questions, contact this office.

Attachments

Cc:	S. Waddle	KAHC
	C. Knowles	Central Office Construction
	FHWA	PAIKY

5

PROJECT DEATH

StEpHaNle rICh
BevErLY terRy
jErEMiah LittLeTon

Corrective Work

- Punch List
- Work Complete Date
- Request Final(s)
- Comprehensive Final Inspection Report
- All work complete, Request Formal Acceptance

Various Final Inspections

- Contact Central Office Construction Liaison
- If you had a submittal, you need a Final Inspection.

Comprehensive Final

- Compile All Final Inspections
- Issue Comprehensive Final Inspection Report
- Start the Clock

Demobilization

- 25% Upon Formal Acceptance
- 50% When the Final is Submitted to the D.O.
- 25% on the Final Estimate
 - * Keep each funding line balance of at least \$1,000 until the Final Estimate.

As Builts

- Send them in with or soon after the Final is submitted to Central Office.
 - We are currently accepting mylar or electronic micro station copies

Formal Acceptance

- Ditches should drain
- All Corrective Work is complete
- Corrective Work Complete Date in SiteManager
- Request Formal from the Central Office Construction Liaison

FHWA Full Oversight

- IM, NH, APD, ARRA in the Project number – usually interstates, parkways, Appalachian Development Projects or ARRA projects.

Records must be maintained 3 Years from FHWA Reimbursement to KYTC - If in doubt call me!

Looking at a way to inform the construction crew offices when projects are closed out.

FEMA PROJECTS

- Records must be maintained until they are audited by FEMA (Usually performed when they are in town for a subsequent disaster)

Resurfacing Projects

Records can be destroyed as soon as the final estimate is paid to the contractor.

- Indicated by physical Work Complete Date in the Critical Dates of Sitemanager

Grade & Drain Projects that are not Direct FHWA Oversight

- Records must be maintained for three years after the contractor is paid the final estimate
 - Indicted by the physical work complete date in the Critical Dates of Sitemanager

Contract End

- Open to Traffic Date is needed even when the contract has always been open to traffic. This date stops all time charges on the contract and should match the Work Complete Date.
- After time charges have stopped, Final Inspections take place.
- After Formal Acceptance, final checking begins.
- Purpose of Final checking--to make it easy for someone with no experience in construction to verify the quantities paid.

Checking Final Quantities

- Make sure there are last load tickets for every weighed quantity paid.
- Make sure all other quantities are justified by drawings, measurements, or other means to verify the quantity paid.
- Make sure all DWRs are approved on Diaries.
- Material certification then takes place.
- The files are sent to the District Office.

To the District and Beyond

- The District Office Final Processor checks the quantities in the same manner as the Section Office.
- Starting with verifying weigh tickets, through all the documentation of all other quantities.
- Verifying if LDs are applicable and all material certification are completed.
- District Office sends a copy of the final quantities to the Contractor for 14 day review.
- Central Office Estimate Section is notified and completes the verification of quantities.
- Final Release is sent to the contractor for signature.
- Final Release is returned to Central Office and Contractor is paid.
- Contract is closed in SiteManager when Final payment is made and the Physical Work Complete Date is entered.

Maintenance

- Design Meetings
- Ditches should drain
- It's yours bed to lay in
- Post Construction Reviews



Blank lined area for notes or writing.

Large blank lined area for notes or writing.

Blank lined area for notes or writing.

Blank lined area for notes or writing.

Project in a Day—Breakout Session #5

Project Death

Stephanie Rich, Beverly Terry, & Jeremiah Littleton

Topics

Corrective Work

Various Final Inspections; Elec., Traffic, Etc.

Comprehensive Final Inspection Report

Finals & Final Estimates

Formal Acceptance

Demobilization

As Built

File Storage & Retainage

Maintenance

Corrective Work

- **Resources**

- Standard Specifications (2008) 105.12; 108.09; 112.03.11 B); 112.04.07; 112.04.14; 208.04.05; 212.03.03; 212.04.06; 212.04.07; 213.04; 303.03.02; 402.03.02; 402.04.02; 402.05.02; 403.03.09; 410.03.01; 410.03.02; 410.05; 501.03.19; 501.04.05; 501.05.02; 503.03.09; 503.04.01; 601.03.12; 604.04.01; 608.03.17; 609.05; 704.03.02; 704.04.06; 713.03.05; 713.03.06; 714.03.06; 714.04.01; 714.04.02; 714.04.03; 714.05; 717.03; 806.09; 807.06; 808.08; SP4; SP10E; SP10L; SP10S
- Project Completion Flowchart
<http://transportation.ky.gov/construction/ResCenter/projectfinish.pdf>
- Project Completion Notice
http://transportation.ky.gov/construction/trnsport/SM/Reports/project_completion_notice.pdf
- Comprehensive Final Inspection Report
<http://transportation.ky.gov/construction/ResCenter/ResCenter.htm>

- **Guidance Notes**

- Review the Project Completion Flowchart. There is a wide variety of projects and ways they are to be properly completed.
- Liquidated Damages may be charged if Corrective Work is not completed in a 'timely manner'.
- The Contractor may submit disputes, in writing, regarding any corrective work listed within 30 days. If they do, we need to respond, in writing, within 21 days.
- Temporary Striping Corrective Work must be completed within 24 hours.
- In many cases like Seeding, Ride Quality, and others, the Contractor must submit a Corrective Work Plan for approval. If the Department specifies means and methods for seeding corrective work, or other corrective work, we must accept it whether it works or not. It is cleaner just to get a written plan from the Contractor.
- In many cases, pay deductions may be applied in lieu of Corrective Work. These cases are outlined in the Standard Specifications.
- Corrective Work is not allowed on fabrication of Structural Steel Welding.

- **Attachments**

- **Attachment 1: Project Completion Flowchart**

- **District To-Do List**

- Create a punch list of corrective work for the Contractor
- Put the Work Complete Date in SiteManager Key Dates & Issue a Project Completion Notice
- Request a Final Inspection by email and email other parties applicable to the project's completion
- Issue a Comprehensive Final Inspection Report to the Contractor
- All Corrective Work must be complete before Formal Acceptance can be issued.

Various Final Inspections

- **Resources**
 - Standard Specifications (2008) 105.12 Final Inspection and Acceptance of Work
 - Standard Specifications (2008) 716.03.07 Drawings
 - Standard Specifications (2008) 724.03.09 Inspection Schedule
- **Guidance Notes**
 - Lighting Final inspections require As-Built drawings to be complete before a Final Inspection will occur. Central Office Traffic will inspect these projects
 - Landscaping Projects:
 - When all planting is complete, schedule a Replacement Inspection with the Central Office. This must be done by September 15th following the growing season.
 - Many Landscaping projects will have a 3-year Replacement schedule. See KYTCSS 724
 - If no replacement plantings are needed, the Replacement Inspection will be the Landscaping Final Inspection
 - For all Direct Oversight Federal Jobs, FHWA must complete a Final Inspection Report
 - For all Projects with truss signs, type C signs, type D signs, and signs other than normal sheet signs, a Signing Inspection will be done by the Central Office
 - Projects with Piezo loops must have a Final Inspection done by Central Office Planning
 - Projects with any traffic signals, flashing lights, pedestrian crossings, etc. must be Final Inspected by Central Office Traffic
 - Seeding inspections will be done by Central Office Construction
 - All projects will require notification of Central Office Construction for one or more Final Inspections except State funded resurfacing projects.
- **Attachments**
 - None
- **District To-Do List**
 - Contact the Central Office Construction Liaison when the project is complete to schedule all pertinent final inspections

Comprehensive Final Inspection Report

- **Resources**
 - Standard Specifications (2008) 105.12 Final Inspection and Acceptance of Work
 - Project Completion Flowchart
<http://transportation.ky.gov/construction/ResCenter/projectfinish.pdf>
 - Completing a Final Inspection Report
http://transportation.ky.gov/construction/trnsport/SM/Reports/final_inspection_report.pdf
 - Comprehensive Final Inspection Report
<http://transportation.ky.gov/construction/ResCenter/ResCenter.htm/>
- **Guidance Notes**
 - This is issued to the Contractor to put him on official notice. This includes all Final Inspections except seeding, tree planting, and landscaping.
 - These items must be completed within 90 days, barring seasonal limitations.
 - If there your project is a Deferral project, the deferral date will be substituted for the comprehensive final inspection date
 - If the project has a follow up electrical inspection, time stops until after a mandatory post inspection meeting. See KYTCSS 105.12
 - The Contractor may submit disputes, in writing, regarding any corrective work listed within 30 days. If they do, we need to respond, in writing, within 21 days.
- **Attachments**
 - None
- **District To-Do List**
 - Compile all applicable Final Inspections
 - Issue Comprehensive Final Inspection Report

Formal Acceptance

- **Resources**

- Standard Specifications (2008) 105.12
- Standard Specifications (2008) 204.03.06
- Standard Specifications (2008) 704.03.02 B) 7.
- Construction Guidance Manual CST 403
<http://transportation.ky.gov/KYTCl-Forms/eBook/construction.pdf>
- Construction Memo 02-10: Final Inspections and Project Completion Notice
http://transportation.ky.gov/construction//memos/pdf/CM10-02FInsp_ProjCompNot.pdf
- Construction Memo 01-07: Project Completion and Liquidated Damages
<http://transportation.ky.gov/construction//memos/pdf/CM07-01ProjCompLD.pdf>
- Construction Memo 05-06: Contract Time Extensions for Completion Date Projects
<http://transportation.ky.gov/construction/memos/pdf/CM06-05TimeExt.pdf>
- Construction Memo 04-02: Formal Acceptance of Projects
<http://transportation.ky.gov/construction/memos/pdf/CM02-04FA.pdf>
- Construction Memo 09-00: Project Final Inspections and Formal Acceptances
<http://transportation.ky.gov/construction/memos/pdf/CM00-09Finalformal.pdf>

- **Guidance Notes**

- Before requesting Formal Acceptance:
 - Clean our all ditches
 - Get certification that the edge drain system works.
- Formal Acceptance is defined as the acceptance by the Department which relieves the Contractor of further obligation for the work performed in conformance with the Contract.
- Once Formal Acceptance is issued, the project transfers from the Division of Construction to the Division on Maintenance.
- All departments (FHWA, Construction, Traffic, etc.) must complete final ins

- **Attachments**

- None

- **District To-Do List**

- Ensure all drainage is working and clear
- Ensure all corrective work listed on all inspections are complete
- Enter the "Corrective Work Complete" Key Date in SiteManager
- Notify the Central Office Construction Liaison that corrective work is complete

Maintenance

- **Resources**

- Maintenance Guidance Manual
<http://transportation.ky.gov/kytci-forms/eBook/maintenance.pdf>
- Traffic Operations Guidance Manual
- <http://transportation.ky.gov/kytci-forms/eBook/trafficOperations.pdf>

- **Guidance Notes**

- Take note as the project progresses and correct issues that would cause future maintenance heartburn (impossible areas to mow, ditches and pipes that can't be cleaned, etc)
- Ensure all ditches drain, otherwise, you will have to make them drain later.
- Remember, the project is now dead to Construction, but it is a new birth to Maintenance.

- **Attachments**

- None

- **District To-Do List**

- Ensure all drainage is working and clear
- Correct foreseeable Maintenance concerns as the project progresses. Change Orders may be necessary.
- Attend Design meetings on an upcoming project to give input before the project hits the street.
- Attend Post Construction Review meetings to give Design feedback on how to improve.



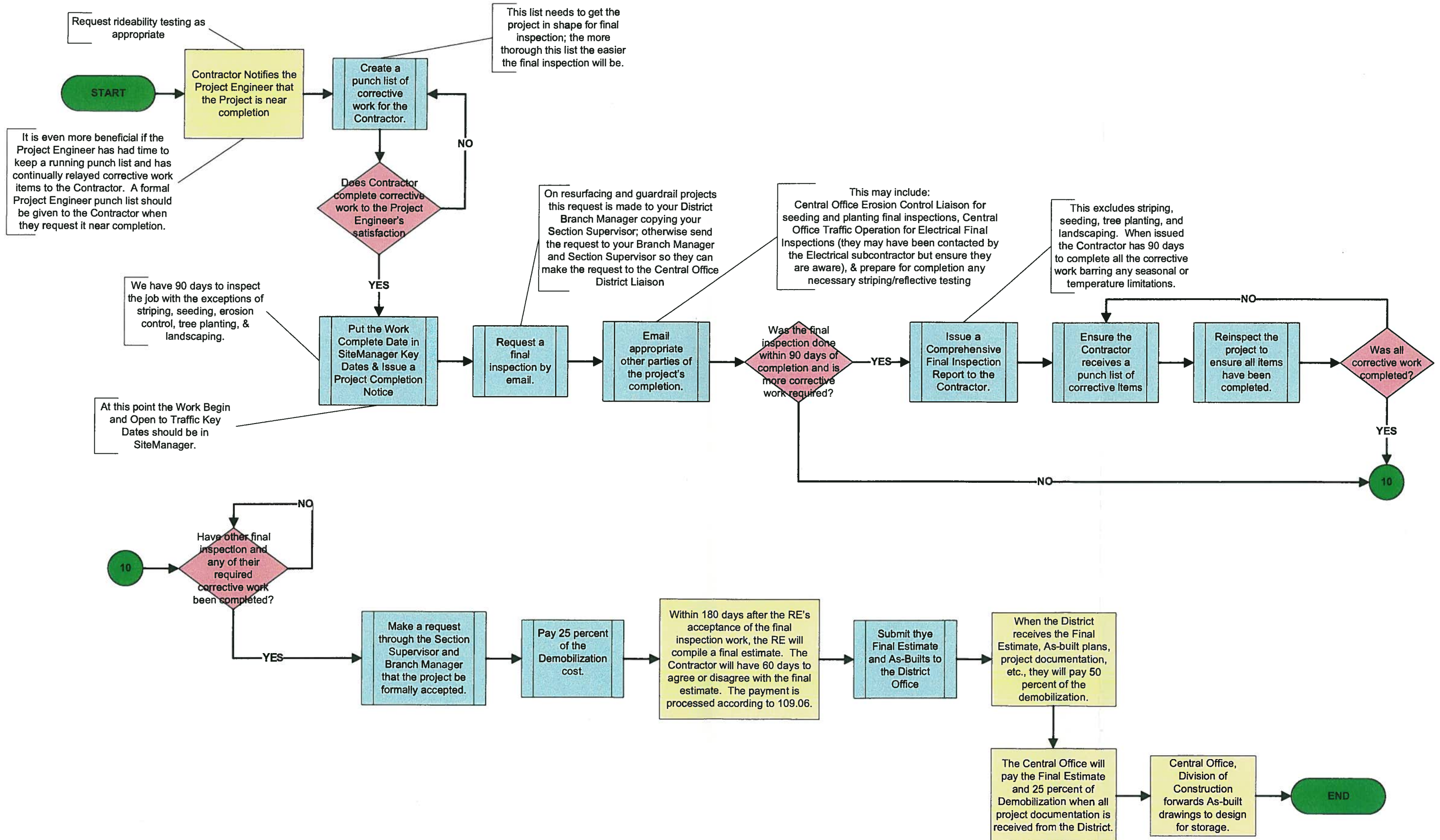
Project Death Attachment Index

- **Attachment 1:** Flowchart for Finishing Up a Contract: According to Guidance from the Central Office Division of Construction
- **Attachment 2:** Guide for Completing Project Finals
- **Attachment 3:** Final Estimate Checklist for District Office
- **Attachment 4:** Final Estimate Checklist for Central Office

Project Death—Attachment 1

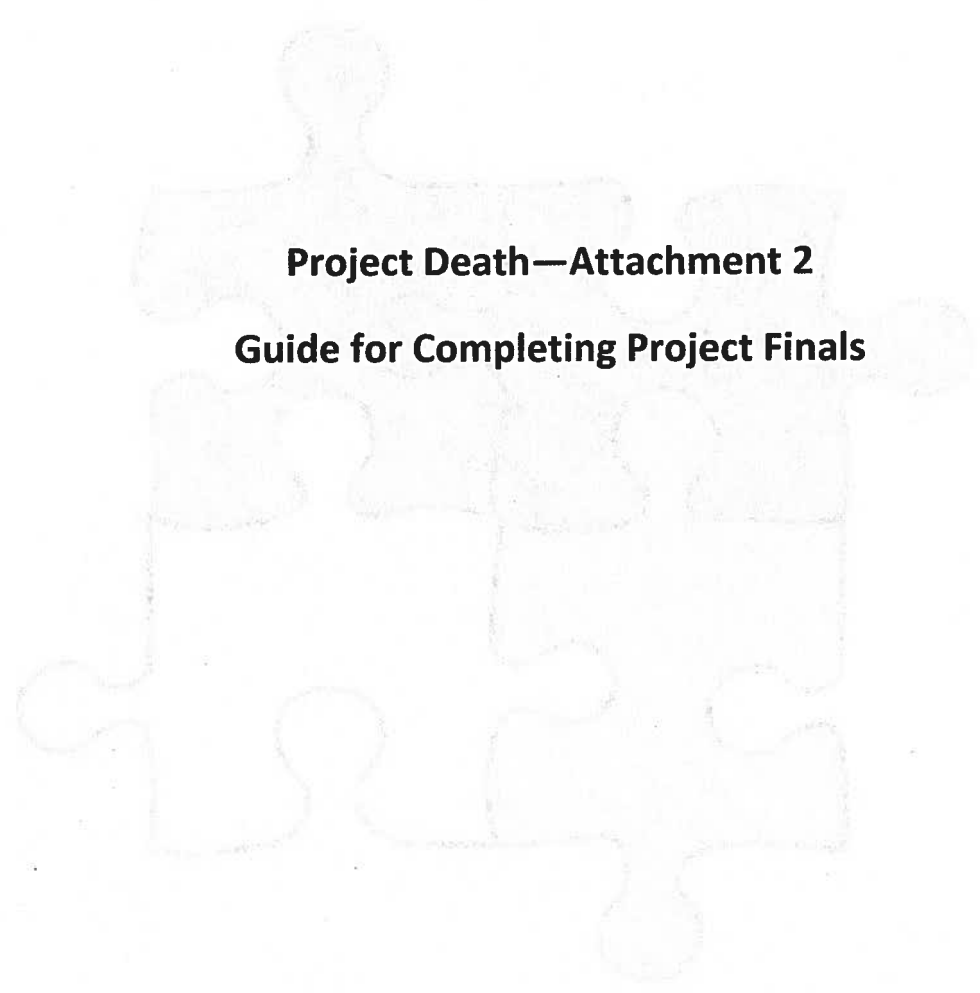
**Flowchart for Finishing Up a Contract: According to Guidance from the
Central Office Division of Construction**

Flowchart for Finishing Up a Contract: According to Guidance from the Central Office Division of Construction

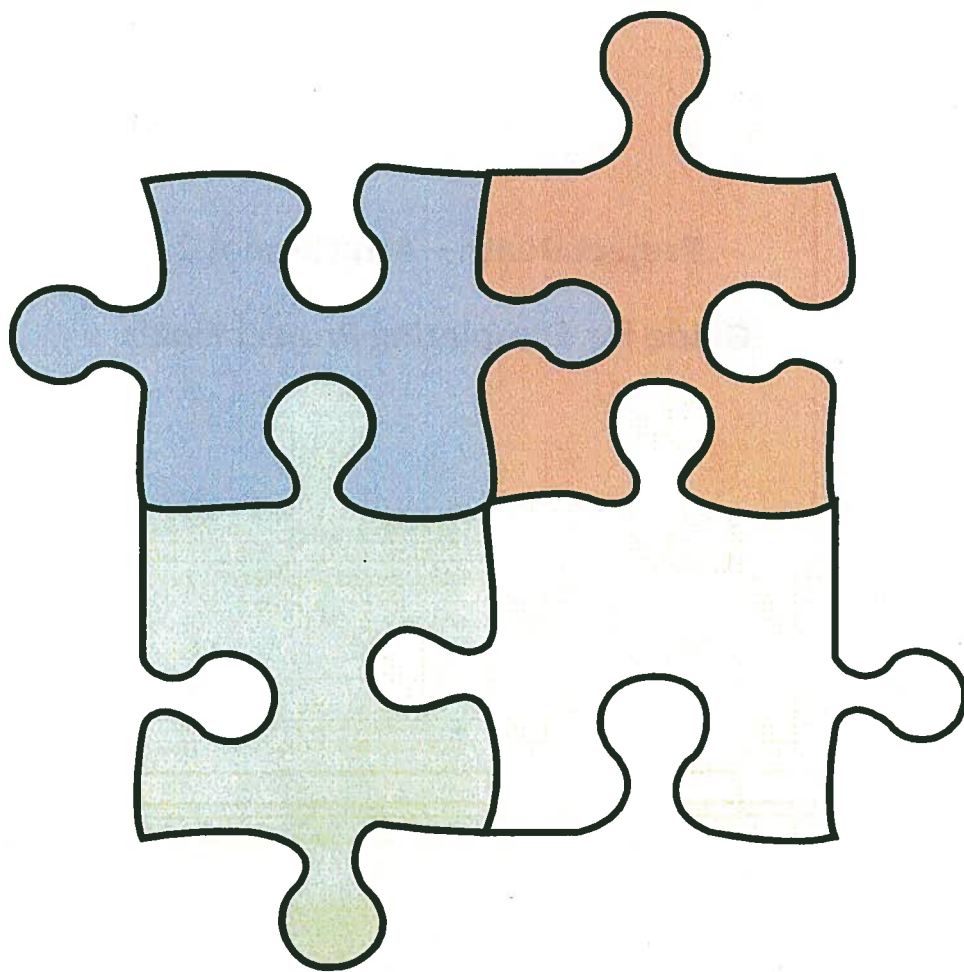


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Project Death—Attachment 2
Guide for Completing Project Finals



Finals



The Final Estimate Checklist is to be used when checking all Finals...

KENTUCKY TRANSPORTATION CABINET DEPARTMENT OF HIGHWAYS DIVISION OF CONSTRUCTION FINAL ESTIMATE CHECKLIST			
		DATE:	_____
CID:	_____	DISTRICT:	_____
COUNTY:	_____	PROJ.NO.	_____
CONTRACTOR: _____			
CONTRACT TYPE: _____			
RUN TAPES AND VERIFY TOTALS ON LAST LOAD TICKETS FOR ALL ITEMS PAID BY WEIGHT.			
RUN "INSTALLED WORK" REPORT IN SITEMANAGER TO VERIFY ALL DWRS HAVE BEEN APPROVED FOR PAYMENT.			
RUN "DWRALL" REPORT AND USE EXCEL TO CREATE A PAY BOOK THAT SHOWS ITEMS RECORDED ON DWRS. COMPARE LAST LOAD WEIGH TICKETS OR OTHER DOCUMENTATION TO TOTAL PAID.			
FOR FUEL AND ASPHALT ADJUSTMENTS, RUN THE FAA REPORT (SEE CONSTRUCTION WEBSITE) AND VERIFY ALL TONNAGE AMOUNTS IN CORRECT MONTH OF PLACEMENT ON PROJECT. FINAL PAYMENT OF ADJUSTMENTS SHOULD EQUAL WORKBOOK CALCULATIONS.			
IF APPLICABLE, CHECK ALL LOT PAY ADJUSTMENT WORKSHEETS AND VERIFY ANY PAYMENTS OR DEDUCTIONS HAVE BEEN PAID.			
IF APPLICABLE, CHECK ALL RIDEABILITY CALCULATIONS AND VERIFY ANY PAYMENTS OR DEDUCTIONS HAVE BEEN PAID.			
IF APPLICABLE, CHECK ALL CALCULATIONS FOR DEDUCTIONS OF NON-SPEC MATERIALS.			

Please have Section Offices also use the Final Estimate Checklist when compiling Finals. The Section Office should send a copy of the completed checklist with the documentation that is sent to the District Office. The District Office should then use a new Final Estimate Checklist and include an electronic copy of the list with their notification of submission email.

When the District Final Estimate Processor receives notification that the contract is ready for finalization, the Files Received in District Office Key Date in SiteManager should be entered.

Key Dates

Contract ID: 073236

Key Date Type	Projected Date	Actual Date	Required to Activate	Required to Finalize
Files Received in District Office	03/06/09	03/06/09	N	N
Ready for Materials Check Resident	03/06/09	03/06/09	N	N
Resident Final Check	03/06/09	03/06/09	N	N
Date Release Letter Returned from Contr	05/11/09	00/00/00	N	N
Date Release Letter Sent to Contractor	03/11/09	03/11/09	N	N
Resurfacing Final Inspection	11/09/07	11/09/07	N	N
Striping/Reflectivity Final Inspection	12/15/07	12/15/07	N	N
Work Begin Date	09/26/07	09/26/07	N	N

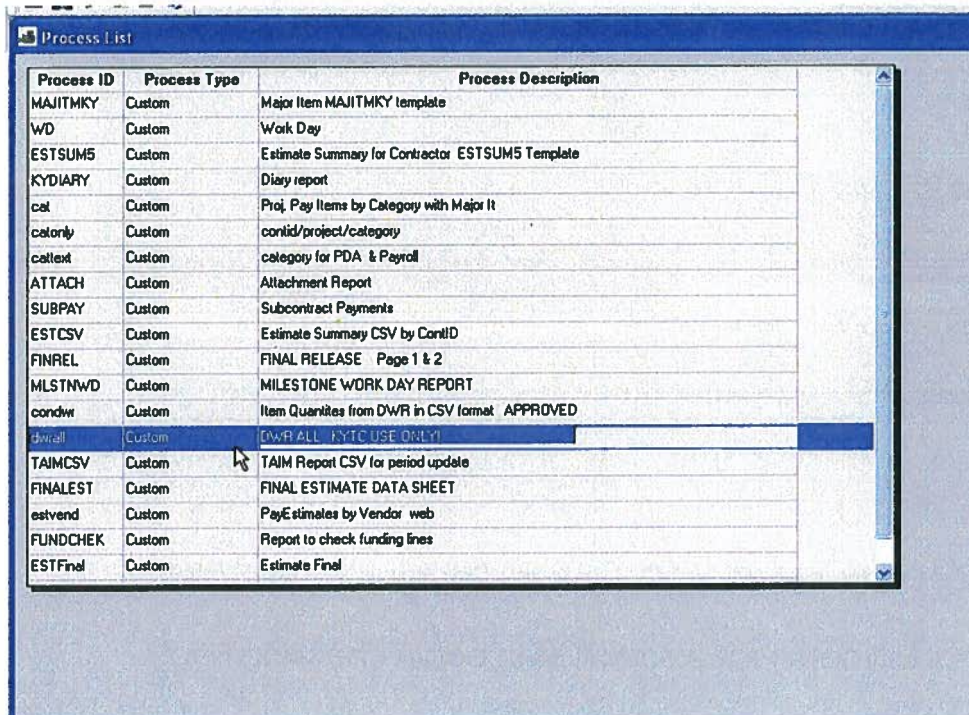
Key Date Type: Files Received in District Office
Projected Date: 03/06/09 **Required to Activate**
Actual Date: 03/06/09 **Required to Finalize**
Distribution List: 10 **Recipient:** _____
Message Text: Files received in District Office for Final Check

Go to "Contract Administration"/"Contract Records"/"Key Dates".

The District Final Estimate Processor will then begin checking Final quantities.

Step A

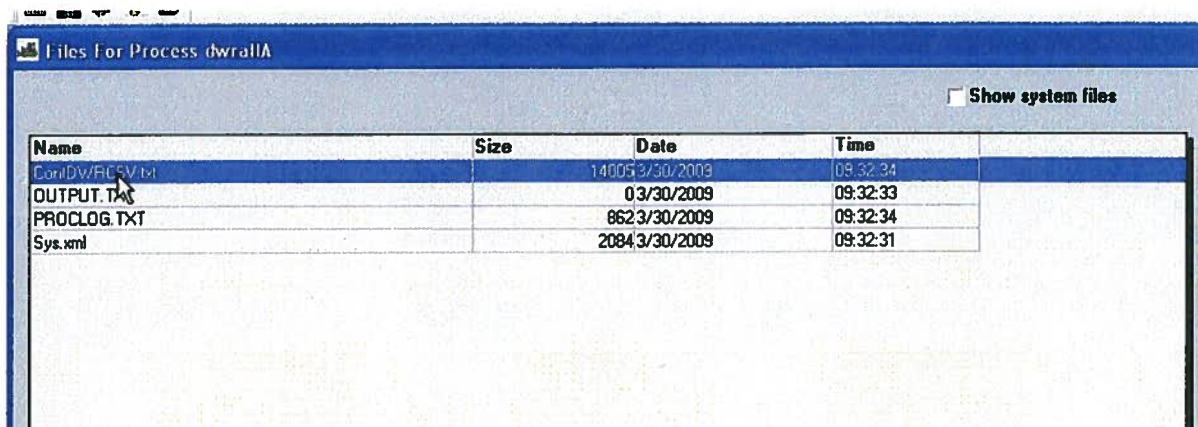
Run the "DWRALL" report to get a list of quantities, DWR dates, locations, etc. for each item. This report is filterable and will make checking the final quantities much more efficient.



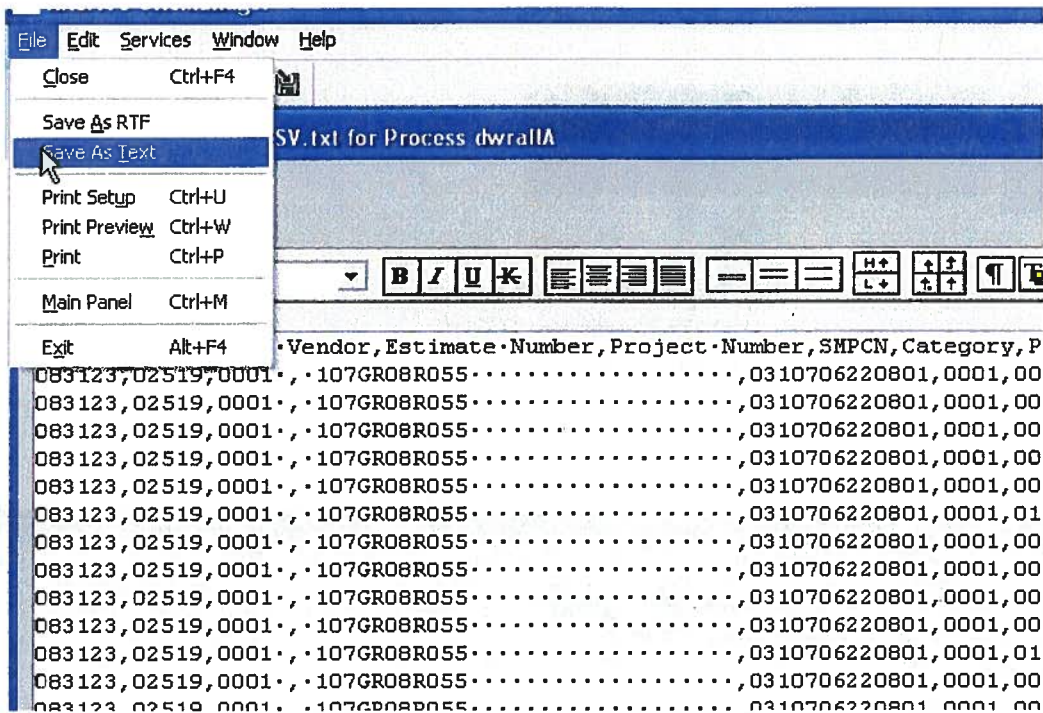
Process ID	Process Type	Process Description
MAJITMKY	Custom	Major Item MAJITMKY template
WD	Custom	Work Day
ESTSUM5	Custom	Estimate Summary for Contractor ESTSUM5 Template
KYDIARY	Custom	Diary report
cat	Custom	Proj. Pay Items by Category with Major It
catonly	Custom	contid/project/category
catext	Custom	category for PDA & Payroll
ATTACH	Custom	Attachment Report
SUBPAY	Custom	Subcontract Payments
ESTCSV	Custom	Estimate Summary CSV by ContID
FINREL	Custom	FINAL RELEASE Page 1 & 2
MLSTNWD	Custom	MILESTONE WORK DAY REPORT
condwr	Custom	Item Quantities from DWR in CSV format APPROVED
dwrall	Custom	DWR ALL KYTC USE ONLY
TAIMCSV	Custom	TAIM Report CSV for period update
FINALEST	Custom	FINAL ESTIMATE DATA SHEET
estvend	Custom	PayEstimates by Vendor web
FUNDCHK	Custom	Report to check funding lines
ESTFinal	Custom	Estimate Final

Running the "DWRALL" report will give you an output of all payment information on all the DWRS from the contract in a format that you can open in Excel.

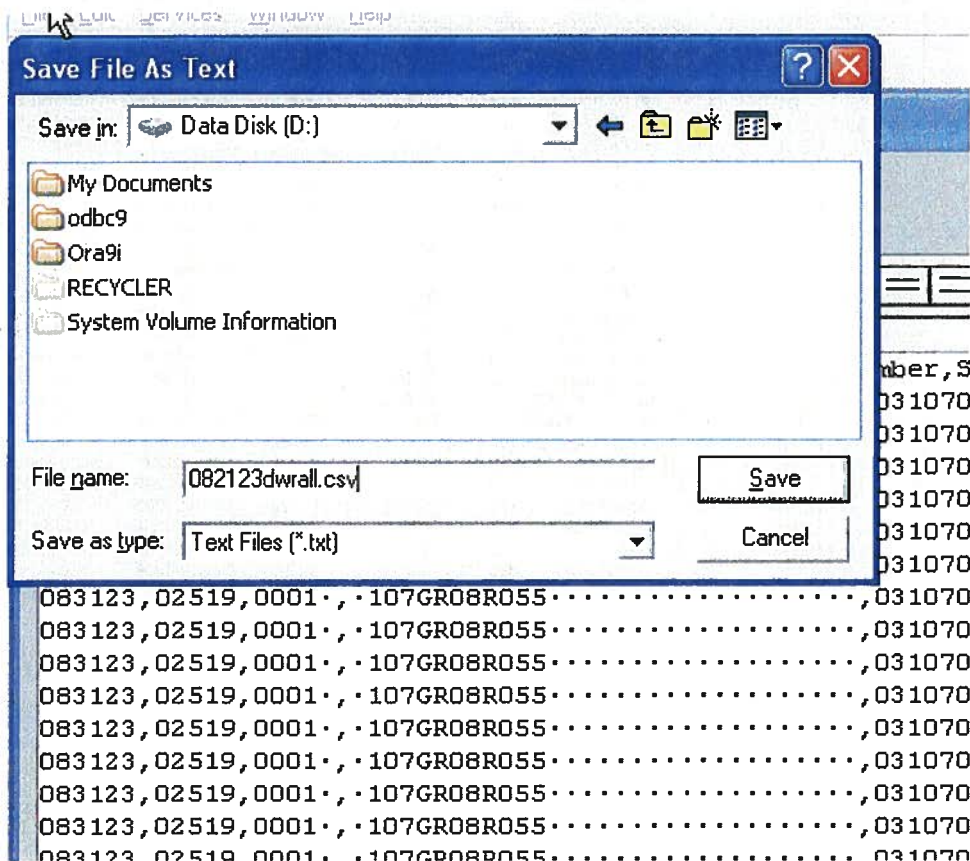
Open the "ContDWRCSV.txt" file...



Name	Size	Date	Time
ContDWRCSV.txt		14005/3/30/2009	09:32:34
OUTPUT.TXT		0/3/30/2009	09:32:33
PROCLG.TXT		862/3/30/2009	09:32:34
Sys.xml		2084/3/30/2009	09:32:31



Go to "File", "Save as Text"... name the file and make sure to add ".csv"





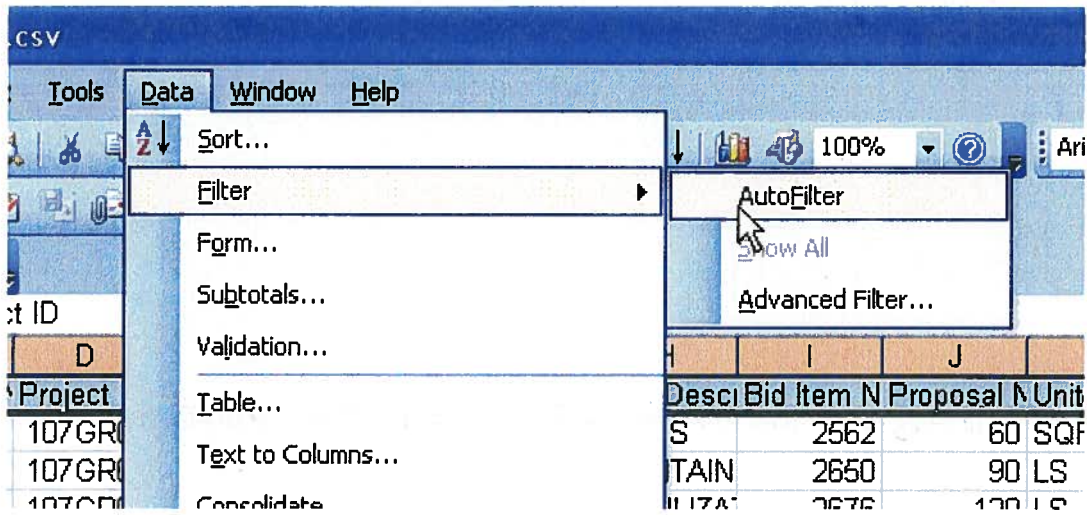
Type: Microsoft Office
 Date Modified: 3/30/2
 Size: 13.6 KB

The file will open in Excel...

Microsoft Excel - 007123dwrall.csv																
File Edit View Insert Format Tools Data Window Help																
Go to Office Live Open Save																
A1	Contract ID															
A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q
Contract ID	Prime Ven	Estimate N	Project Nu	SMPCN	Category	Proj_LN	NItem Descr	Bid Item N	Proposal N	Unit	Place Qua	VN_PL	Date Paid	Unit Price	Location	Locati
83123	2519	1	107GR08f	3.11E+11	1	10	SIGNS	2562	60	SQFT	144	2519	11/3/2008		7 KY 622	
83123	2519	1	107GR08f	3.11E+11	1	20	MAINTAIN	2650	90	LS	0.2	2519	11/3/2008		4650 KY 622	
83123	2519	1	107GR08f	3.11E+11	1	70	MOBILIZA	2676	120	LS	1	2519	11/3/2008		800 KY 622	
83123	2519	1	107GR08f	3.11E+11	1	60	ASPHALT	2677	130	TON	10	2519	11/3/2008		130 KY 622	
83123	2519	1	107GR08f	3.11E+11	1	20	MAINTAIN	2650	90	LS	0.2	2519	11/4/2008		4650 KY 622	
83123	2519	1	107GR08f	3.11E+11	1	110	PAVE STF	6510	150	LF	44282	2050	11/4/2008		0.19 KY 622	
83123	2519	1	107GR08f	3.11E+11	1	50	LEVELING	190	30	TON	610.04	2519	11/4/2008		79.95 KY 622	
83123	2519	1	107GR08f	3.11E+11	1	30	CL2 ASPH	301	50	TON	456.53	2519	11/4/2008		80.15 KY 622	
83123	2519	1	107GR08f	3.11E+11	1	20	MAINTAIN	2650	90	LS	0.2	2519	11/5/2008		4650 KY 622	
83123	2519	1	107GR08f	3.11E+11	1	30	CL2 ASPH	301	50	TON	1218.1	2519	11/5/2008		80.15 KY 622	
83123	2519	1	107GR08f	3.11E+11	1	110	PAVE STF	6510	150	LF	3375	2050	11/5/2008		0.19 KY 622	
83123	2519	1	107GR08f	3.11E+11	1	30	CL2 ASPH	301	50	TON	1312.03	2519	11/6/2008		80.15 W/sta 251-	
83123	2519	1	107GR08f	3.11E+11	1	40	ASPHALT	263	40	TON	295.47	2519	11/6/2008		80.15 RT/Lt sta 2	
83123	2519	1	107GR08f	3.11E+11	1	100	PAVE STF	6514	160	LF	40540	2519	11/6/2008		0.21 RT/Lt sta 2	
83123	2519	1	107GR08f	3.11E+11	1	30	CL2 ASPH	301	50	TON	420.91	2519	#####		80.15 W/sta 53+4	
83123	2519	1	107GR08f	3.11E+11	1	40	ASPHALT	263	40	TON	64.78	2519	#####		80.15 RT/Lt sta 6	
83123	2519	1	107GR08f	3.11E+11	1	100	PAVE STF	6514	160	LF	10712	2050	#####		0.21 sta 53+400-	
83123	2519	1	107GR08f	3.11E+11	1	20	MAINTAIN	2650	90	LS	0.4	2519	#####		4650 KY 622	
83123	2519	1	107GR08f	3.11E+11	1	70	MOBILIZA	2676	120	LS	1	2519	#####		800 Ky 622	
83123	2519	1	107GR08f	3.11E+11	1	80	AGGREGA	67	10	TON	591.89	2519	#####		22.25 KY 622	
83123	2519	1	107GR08f	3.11E+11	1	70	MOBILIZA	2676	120	LS	-1	2519	#####		800 project	
83123	2519	2	107GR08f	3.11E+11	1	80	AGGREGA	67	10	TON	8.6	2519	#####		22.25 KY 622	
83123	2519	2	107GR08f	3.11E+11	1	120	FUEL ADJ	10020NS	180	DOLL	-22951.2	2519	12/5/2008		1 project	
83123	2519	2	107GR08f	3.11E+11	1	140	LOT PAY	10000NS	170	DOLL	552.025	2519	12/5/2008		1 project	
83123	2519	2	107GR08f	3.11E+11	1	140	LOT PAY	10000NS	170	DOLL	-1284.86	2519	12/5/2008		1 project	
83123	2519	2	107GR08f	3.11E+11	2	150	DEMOBILI	2569	200	LS	1	2519	12/5/2008		6505.26 project	
83123	2519	1	107GR08f	3.11E+11	1	20	MAINTAIN	2650	70	LS	0.2	2519	11/4/2008		3650 KY 2591	
83123	2519	1	107GR08f	3.11E+11	1	60	ASPHALT	2677	130	TON	22	2519	11/4/2008		130 KY 2591	
83123	2519	1	107GR08f	3.11E+11	1	70	MOBILIZA	2676	100	LS	1	2519	11/4/2008		800 KY 2591	
83123	2519	1	107GR08f	3.11E+11	1	10	SIGNS	2562	60	SQFT	64	2519	#####		7 Ky 2591	
83123	2519	1	107GR08f	3.11E+11	1	20	MAINTAIN	2650	70	LS	0.8	2519	#####		3650 project	
83123	2519	1	107GR08f	3.11E+11	1	30	CL2 ASPH	301	50	TON	1257.65	2519	#####		80.15 RT/Lt sta 0	

	A	B	C	D	E	F	G	H	I
	Contract ID								
Contract ID	Prime Ven	Estimate	Project Nu	SMPCN	Category	Proj LN	N Item	Desci	Bid Item
2	83123	2519	1	107GR08f	3.11E+11	1	10	SIGNS	25E
3	83123	2519	1	107GR08f	3.11E+11	1	20	MAINTAIN	26E
4	83123	2519	1	107GR08f	3.11E+11	1	70	MOBILIZA	267
5	83123	2519	1	107GR08f	3.11E+11	1	60	ASPHALT	267
6	83123	2519	1	107GR08f	3.11E+11	1	20	MAINTAIN	26E
7	83123	2519	1	107GR08f	3.11E+11	1	110	PAVE STF	651

Highlight row "1" ... Click "Data", "Filter", "AutoFilter"...



This will allow you to sort and filter the spreadsheet for each item...
Choose a weighted quantity such as "CL2 ASPH SURF"...

	A	B	C	D	E	F	G	H	I	P
1	Contract	Prime Ven	Estimate	Project	SMPCN	Category	Proj LN	Item Desc	Bid Item	
2	83123	2519	1	107GR08f	3.11E+11	1	(All)		2562	
3	83123	2519	1	107GR08f	3.11E+11	1	(Top 10...)		2650	
4	83123	2519	1	107GR08f	3.11E+11	1	(Custom...)		2676	
5	83123	2519	1	107GR08f	3.11E+11	1	AGGREGATE FOR		2677	
6	83123	2519	1	107GR08f	3.11E+11	1	ASPHALT MIX FOR		2650	
7	83123	2519	1	107GR08f	3.11E+11	1	ASPHALT PAVE MI		6510	
8	83123	2519	1	107GR08f	3.11E+11	1	CL2 ASPH SURF		190	
9	83123	2519	1	107GR08f	3.11E+11	1	DEMOBILIZATION		301	
10	83123	2519	1	107GR08f	3.11E+11	1	FUEL ADJUSTMEN		2650	
11	83123	2519	1	107GR08f	3.11E+11	1	LEVELING & WEDG		301	
							LOT PAY ADJUSTM			
							MAINTAIN & CON			
							MAINTAIN & CON			

E	F	G	H	I	J	K	L	M
MPCN	Category	Proj_LN	Item De	Bid Item	Propos	Unit	Place Q	VN_PL
3.11E+11	1	30	CL2 ASPH	301	50	TON	456.53	2519
3.11E+11	1	30	CL2 ASPH	301	50	TON	1218.1	2519
3.11E+11	1	30	CL2 ASPH	301	50	TON	1312.03	2519
3.11E+11	1	30	CL2 ASPH	301	50	TON	420.91	2519
3.11E+11	1	30	CL2 ASPH	301	50	TON	1257.65	2519
3.11E+11	1	30	CL2 ASPH	301	50	TON	572.36	2519

Click a few lines below the "Placed Quantity" and Click "AutoSum"...

L
Place Q
456.53
1218.1
1312.03
420.91
1257.65
572.36
5237.58

This gives you the total quantity for the filtered item.

For every Contract Item, there needs to be documentation for the quantities paid. The type of line item determines the type of documentation needed.

Step B

Weighed Quantities

Now that you have an easy to work with listing of all line items... gather all the last load tickets for weighed materials. Verify that the total of all the weigh tickets for an item matches the total amount paid.

Also, using the weigh tickets, make sure that the DWR date that each quantity was recorded is the same month that the work was done. This is very important as far as Fuel and Asphalt Adjustments are concerned. If there are quantities entered in the incorrect month, make note of which month was the correct month so that corrections can be made to assure the accuracy of the Fuel and Asphalt Adjustments.

Step C

Measured Quantities

Quantities paid by the Cubic Yard, Square Yard, Cubic Meter, or Square Meter often require recorded measurements as verification for the quantity paid. These measurements should be included in the DWR. When checking measured quantities, go to each DWR that... (1) The measurements have been recorded and (2) the calculations are correct.

Step D

Other Items

Roadway Excavation and Embankment in place should be checked to verify that the month the work was recorded was consistent with the month the work was done. This is very important for Fuel and Asphalt Adjustment purposes.

Continue checking all quantities to make sure all can be verified.

Step E

Making Corrections and the Remainder of Demobilization

After all quantities have been verified and any corrections noted, the District Office will create a DWR. This DWR will contain any corrections and/or additions found during the verification of quantities.

After this DWR has been created, it should then be approved on a Diary and an estimate generated to include the corrected quantities.

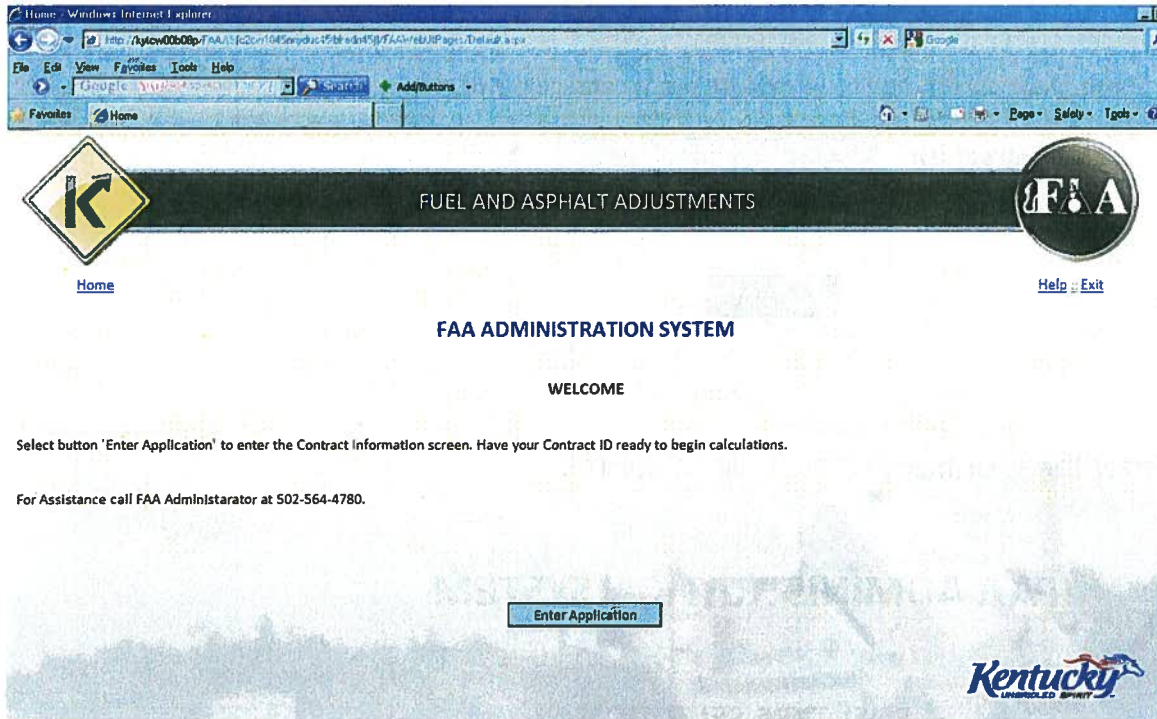
Step F

Fuel and Asphalt Adjustments

It is now time to check the Fuel and Asphalt Adjustments. First verify that the Contract fits the criteria for needing the adjustments. This is based on the contract quantities not including Change Order quantities.

Since all of the weighed quantities and Excavation has been corrected so that all are recorded on the correct month, the FAA program can be used.

Using FAA...



Go to the FAA application on-line...

[http://kytcw00b08p/FAA/\(S\(c2cw1045nnyduc45tbkedn45\)\)/FAAWebUIPages/Default.aspx](http://kytcw00b08p/FAA/(S(c2cw1045nnyduc45tbkedn45))/FAAWebUIPages/Default.aspx)

And enter the application...

FAA ADMINISTRATION SYSTEM

CONTRACT INFORMATION

Enter your six (6) digit 'Contract-ID' below and click Submit.

Contract ID: *

* Required Field

Submit

Enter the Contract ID and click "Submit" ...

FAA ADMINISTRATION SYSTEM

FUEL TYPE SELECTION

Please select one of the following 'Fuel Types' to start

Fuel Type: Fuel
 Fuel(Mowing)
 Asphalt

Continue

Choose Fuel, Fuel (Mowing), or Asphalt... click "Continue" ...

Select a Pay Item to work on from the list below

- PAY ITEMS FOR CONTRACT - 093328
 - 102GR09R057-CB06
 - CB06 102 1787 000-002 - 0810217870901
 - CB06 102 1912 007-010 - 0810219120901
 - 0001 - ROADWAY
 - 0010 - LEVELING & WEDGING PG64-22
 - 0020 - ASPHALT MIX FOR PAVEMENT WEDGE
 - 0030 - CL2 ASPH SURF 0.38D PG64-22
 - 0040 - SIGNS
 - 0050 - MAINTAIN & CONTROL TRAFFIC KY 1912
 - 0060 - EDGE KEY
 - 0070 - ASPHALT ADJUSTMENT
 - 0075 - FUEL ADJUSTMENT
 - 0080 - PAVE STRIPING-TEMP PAINT-4 IN
 - 0090 - PAVE STRIPING-PERM PAINT-4 IN
 - 0002 - DEMOBILIZATION
 - CB06 102 1955 010-011 - 0810219550901

Continue

Back

Expand the menu by clicking the "+" ... choose the items to include... click "Continue".

FAA ADMINISTRATION SYSTEM

FUEL PRICE ADJUSTMENT

Contract ID:	<input type="text" value="093328"/>	Fed/State Project Number:	<input type="text" value="102GR09R057-CB06"/>
Letting Date:	<input type="text" value="07/24/2009"/>	County:	<input type="text" value="ROCKCASTLE"/>
OPIS Price Index at Letting:	<input type="text" value="1.7527"/>		

Calculate

Verify the information on the screen... click "Calculate"...

If there is a need to edit any of the entries...

Cal

	Project Number	Category Number	Pay Item	Month/Yea
Edit	0810217870901	0001 - ROADWAY	0010 - LEVELING & WEDGING PG64-22	08/2009
Edit	0810217870901	0001 - ROADWAY	0030 - CL2 ASPH SURF 0.38D PG64-22	08/2009
Edit	0810219120901	0001 - ROADWAY	0010 - LEVELING & WEDGING PG64-22	08/2009
Edit	0810219120901	0001 - ROADWAY	0030 - CL2 ASPH SURF 0.38D PG64-22	08/2009
Edit	0810219120901	0001 - ROADWAY	0030 - CL2 ASPH SURF 0.38D PG64-22	09/2009
Edit	0810219550901	0001 - ROADWAY	0010 - LEVELING & WEDGING PG64-22	09/2009

Click "Edit"...

[Cancel](#) [Finish](#)

Edit Pay Item

Briefly describe the reason to edit the current 'Pay Item'. Thank You!

Description: *

[Submit](#) [Cancel](#)

Enter the reason for the edit... click "Submit"...

	Project Number	Category Number	Pay Item	Month/Year	Wholesale Price of Diesel Fuel	Sum of Estim Mon
Save	0810217870901	0001 - ROADWAY	0010 - LEVELING & WEDGING PG64-22	08/2009	1.9645	160.81
Edit	0810217870901	0001 -	0030 - CL2 ASPH SURF	08/2009	1.9645	967.66

Make the necessary correction and click "Save"...

	Project Number	Category Number	Pay Item	Month/Year	Wholesale Price of Diesel Fuel	Sum of Estim for Month
Edit	0810217870901	0001 - ROADWAY	0010 - LEVELING & WEDGING PG64-22	08/2009	1.9645	160.81
Edit	0810217870901	0001 - ROADWAY	0030 - CL2 ASPH SURF 0.38D PG64-22	08/2009	1.9645	967.66
Edit	0810219120901	0001 - ROADWAY	0010 - LEVELING & WEDGING PG64-22	08/2009	1.9645	263.75
Edit	0810219120901	0001 - ROADWAY	0030 - CL2 ASPH SURF 0.38D PG64-22	08/2009	1.9645	10.04
Edit	0810219120901	0001 - ROADWAY	0030 - CL2 ASPH SURF 0.38D PG64-22	09/2009	1.8929	1,483.99
Edit	0810219550901	0001 - ROADWAY	0010 - LEVELING & WEDGING PG64-22	09/2009	1.8929	74.07
Edit	0810219550901	0001 - ROADWAY	0030 - CL2 ASPH SURF 0.38D PG64-22	09/2009	1.8929	485.77
Add						

Your PayItem was Successfully Saved

[Cancel](#) [Finish](#)

After all needed edits... click "Finish"...

FAA ADMINISTRATION SYSTEM

1 of 1 100% Find | Next Select a format Export

Summary of Adjustments

Date/Time: 2/18/2010 3:48:31 PM Export Formats

Contract ID : 093328 UserName : BEVERLY TERRY
Letting Date : 7/24/2009 Fed/St Project No : 102GR09R057-CB06
County : ROCKCASTLE District : 08

FUEL ADJUSTMENTS

#	Project No	Category No	Pay Item	Month/Year	Quantity	Adjustments	Remarks
1	0810217870901	0001 - ROADWAY	0010 - LEVELING & WEDGING PG64-22	08/2009	180.81	59.97	Incorrect month
2	0810217870901	0001 - ROADWAY	0030 - CL2 ASPH CURB	08/2009	987.86	380.23	


This will take you to the report page... any edited entry will have a checkmark and the supplied reason in the remarks. To print and save your report... select "Acrobat (PDF) file"...


next Acrobat (PDF) file Export

Then click "Export"...

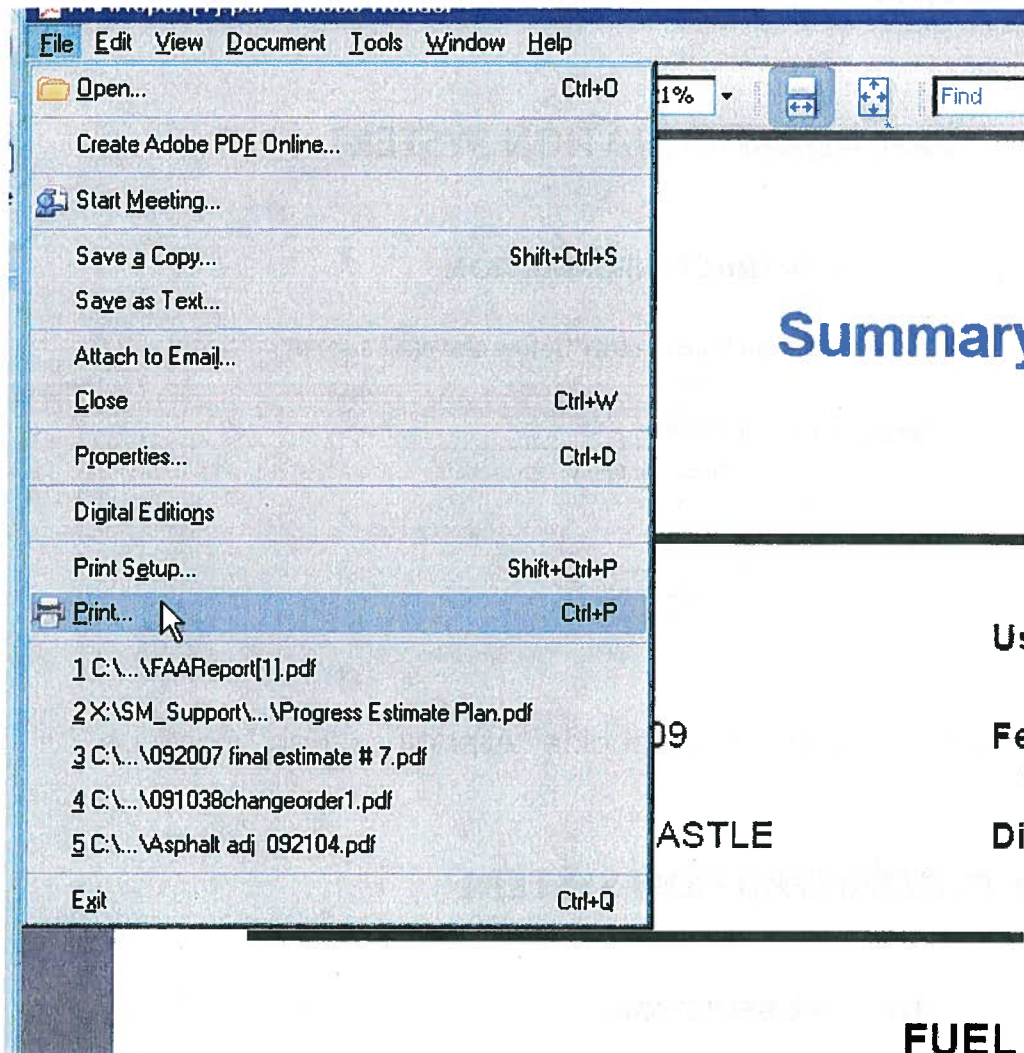
File Download

Do you want to open or save this file?

 Name: FAAReport.pdf
Type: Adobe Acrobat Document
From: kytcw00b08p

 While files from the Internet can be useful, some files can potentially harm your computer. If you do not trust the source, do not open or save this file. [What's the risk?](#)

You will be prompted to Open, Save, or Cancel... If you choose Open, the report will open as a PDF file...



Here you can choose to save... or you can print. Make sure you save an electronic copy of the report to be sent in when you submit the Final.

Asphalt Adjustment...

On the home screen of the FAA application... re-enter the Contract ID...

FAA ADMINISTRATION SYSTEM

CONTRACT INFORMATION

Enter your six (6) digit 'Contract-ID' below and click Submit.

Contract ID: *

* Required Field

Submit

Then click "Submit". Choose the choice "Asphalt"... then "Continue"...

FAA ADMINISTRATION SYSTEM

I

FUEL TYPE SELECTION

Please select one of the following 'Fuel Types' to start

- Fuel Type:
- Fuel
 - Fuel(Mowing)
 - Asphalt

Continue

- [-] PAY ITEMS FOR CONTRACT - 093328
 - [-] 102GR09R057-CB06
 - [-] CB06 102 1787 000-002 - 0810217870901
 - [-] 0001 - ROADWAY
 - 0010 - LEVELING & WEDGING PG64-22
 - 0020 - ASPHALT MIX FOR PAVEMENT WEDGE
 - 0030 - CL2 ASPH SURF 0.38D PG64-22
 - 0040 - SIGNS
 - 0050 - MAINTAIN & CONTROL TRAFFIC KY 1787
 - 0070 - ASPHALT ADJUSTMENT
 - 0075 - FUEL ADJUSTMENT
 - 0080 - PAVE STRIPING-TEMP PAINT-4 IN
 - 0090 - PAVE STRIPING-PERM PAINT-4 IN
 - [+] 0002 - DEMOBILIZATION
 - [-] CB06 102 1912 007-010 - 0810219120901
 - [-] 0001 - ROADWAY
 - 0010 - LEVELING & WEDGING PG64-22
 - 0020 - ASPHALT MIX FOR PAVEMENT WEDGE
 - 0030 - CL2 ASPH SURF 0.38D PG64-22
 - 0040 - SIGNS
 - 0050 - MAINTAIN & CONTROL TRAFFIC KY 1912
 - 0060 - EDGE KEY
 - 0070 - ASPHALT ADJUSTMENT
 - 0075 - FUEL ADJUSTMENT
 - 0080 - PAVE STRIPING-TEMP PAINT-4 IN

Select the items to include in the Asphalt Adjustment... Then "Continue"...

FAA ADMINISTRATION SYSTEM

ASPHALT PRICE ADJUSTMENT

Contract ID:	<input type="text" value="093328"/>	Fed/State Project Number:	<input type="text" value="102GR09R057-CB06"/>
Letting Date:	<input type="text" value="07/24/2009"/>	County:	<input type="text" value="ROCKCASTLE"/>
Asphalt JMF:	<input type="text" value="5.80"/>	* KAPI Price Index at Letting:	<input type="text" value="986.50"/>

Enter the JMF... **NOTE: The JMF entered is the JMF from AMAWs.**

After entering the JMF, click "Calculate"...

Calculated for increases or decrease more than 10%.

	Project Number	Category Number	Pay Item	Month/Year	KY Asphalt Index	Sum of Estimates for Month	Change In Fuel Index	JMF	Adjustments
Edit	0810217870901	0001 - ROADWAY	0030 - CL2 ASPH SURF 0.38D PG64-22	08/2009	390.88	967.66	0.0000	5.80	0.00
Edit	0810219120901	0001 - ROADWAY	0030 - CL2 ASPH SURF 0.38D PG64-22	08/2009	390.88	10.04	0.0000	5.80	0.00
Edit	0810219120901	0001 - ROADWAY	0030 - CL2 ASPH SURF 0.38D PG64-22	09/2009	385.88	1,483.99	0.0000	5.80	0.00
Edit	0810219550901	0001 - ROADWAY	0030 - CL2 ASPH SURF 0.38D PG64-22	09/2009	385.88	485.77	0.0000	5.80	0.00
Add									

[Cancel](#) [Finish](#)

The lines can be edited as in the Fuel Adjustments. After making any necessary changes, click "Finish" to receive your report.

FAA ADMINISTRATION SYSTEM

I

100% Find | Next Select a format Export

Summary of Adjustments

Date/Time: 5/3/2010 10:25:17 AM

Contract ID : 093328 UserName : BEVERLY.TERRY
 Letting Date : 7/24/2009 Fed/St Project No : 102GR09R057-CB06
 County : ROCKCASTLE District : 08

ASPHALT ADJUSTMENTS

#	Project No	Category No	Pay Item	Month/Year	Quantity	Adjustments	Remarks
1	0810217870901	0001 - ROADWAY	0030 - CL2 ASPH SURF 0.38D PG64-22	08/2009	967.66	0.00	
2	0810219120901	0001 - ROADWAY	0030 - CL2 ASPH SURF 0.38D PG64-22	08/2009	10.04	0.00	
3	0810219120901	0001 - ROADWAY	0030 - CL2 ASPH SURF 0.38D PG64-22	09/2009	1,483.99	0.00	

This can be printed and saved just as the Fuel Adjustment.

Verify that the Fuel and Asphalt adjustment as calculated is the same as the Fuel and Asphalt adjustments that have been paid. If there is a difference, make the necessary corrections on a DWR.

Step G

Checking Key Dates

Key Dates
Contract ID: 092231

Key Date Type	Projected Date	Actual Date	Required to Activate	Required to Finalize
Date Release Letter Sent to Contractor	02/10/10	02/10/10	N	N
Resurfacing Final Inspection	10/14/09	10/14/09	N	Y
Resurf Final Insp Report Received	10/14/09	10/14/09	N	N
Striping/Reflectivity Final Inspection	10/19/09	10/19/09	N	N
Strip/Reflect Final Insp Report Received	10/19/09	10/19/09	N	N
Work Begin Date	08/18/09	08/18/09	N	N
Work Complete Date	08/27/09	08/27/09	N	Y
Work Order Issue Date	08/17/09	08/17/09	Y	N

Key Date Type: Required to Activate
 Projected Date: Required to Finalize
 Actual Date:
 Distribution List: Recipient:
 Message Text:

Verify that all Key Dates have been entered... the Key Dates required for submittal to the Central Office Estimate Section are...

- Open of Traffic
- Work Complete
- Applicable Inspection Dates (depending upon the type of work on the contract)
- Corrective Work Dates (if there was corrective work)
- Ready for Materials Check -RE (Entered by the Section Engineer during their Final Check)
- Resident Final Check (Entered by the Section Engineer after verifying quantities)
- Files Received in DO
- District Final Check (entered after the verification of quantities at the District)

- Ready for Material Check –DME (When District Materials verifies the material testing)
- Material Certification Letter (Entered by Central Office Materials)

Refer to the Key Date Chart located on the Internet for any questions...

<http://transportation.ky.gov/construction/ResCenter/SiteManagerDateList.pdf>

Step H

Verifying Other Dates

Make sure that the Accepted Date (the date of Formal Acceptance) has been entered by Central Office before submitting.

The screenshot shows the AASHTO SiteManager application window. The title bar reads 'AASHTO SiteManager'. The menu bar includes 'File', 'Edit', 'Services', 'Window', and 'Help'. The toolbar contains various icons for file operations and help. The main window title is 'Checklist Event Dates' and it displays 'Contract ID: 092231'.

Event Type	Frequency Type	Event Group Type	Next Proj Date	Nbr of Occrnc	Required to Activate	Discr Ind	Required Doc Type	Ext Ind
Contractor's Evaluations	Annually	Contractor's Evalua	02/01/10	1	N	Y		N
Materials Check Done	One Time Only	Materials	12/11/09		N	Y		N

Projected Date	Actual Date	Comments
12/11/09	12/08/09	NO EXCEPTIONS

Verify that there are "Actual Dates" for all Checklist Even Dates.

Find :

Change Order

CO Hbr	Type	Status	Desc
001	CONTRACT MODIFICATION	Denied	Contract Enhancement
002	FUNDING MODIFICATION	Approved	Non Spec Material Override

Check to be sure that all Change Orders are "Approved" or "Denied".

Step I

Enter the District Final Check Key Date, and then verify that all DWR's are approved on Diaries.

Regenerate the last estimate.

Step J

The District Office will then send a copy of the final quantities to the Contractor for 14 day review. After the 14 day period has expired, the District Office Manager will verify that the Materials Certification Letter has been completed by the Central Office Materials.

Then the District Final Estimate Processor will notify Central Office Estimate Section that the contract is ready for Final. In the notification e-mail to Central Office Estimate Section, the sender will attach any necessary electronic files which may include: Liquidated Damage Report, Lot Pay Adjustments, Fuel and Asphalt Adjustments... and also the amount of the expected Final Estimate.

The District Final Estimate Processor will also send the plans to the Central Office Estimate Section for processing including any structure plans.

Project Death—Attachment 3
Final Estimate Checklist for District Office

KENTUCKY TRANSPORTATION CABINET
DEPARTMENT OF HIGHWAYS
DIVISION OF CONSTRUCTION
FINAL ESTIMATE CHECKLIST FOR
DISTRICT OFFICE

DATE: _____

CID: _____

DISTRICT: _____

CREW: _____

COUNTY: _____

PROJ.NO. _____

CONTRACTOR: _____

CONTRACT TYPE: _____

_____ **RUN TAPES AND VERIFY TOTALS ON LAST LOAD TICKETS FOR ALL ITEMS PAID BY WEIGHT.**

_____ **RUN "INSTALLED WORK" REPORT IN SITEMANAGER TO VERIFY ALL DWRS HAVE BEEN APPROVED FOR PAYMENT.**

_____ **RUN "DWRALL" REPORT AND USE EXCEL TO CREATE A PAY BOOK THAT SHOWS ITEMS RECORDED ON DWRS. COMPARE LAST LOAD WEIGH TICKETS OR OTHER DOCUMENTATION TO TOTAL PAID.**

_____ **FOR FUEL AND ASPHALT ADJUSTMENTS, RUN THE FAA REPORT (SEE CONSTRUCTION WEBSITE) AND VERIFY ALL TONNAGE AMOUNTS IN CORRECT MONTH OF PLACEMENT ON PROJECT. FINAL PAYMENT OF ADJUSTMENTS SHOULD EQUAL WORKBOOK CALCULATIONS.**

_____ **IF APPLICABLE, CHECK ALL LOT PAY ADJUSTMENT WORKSHEETS AND VERIFY ANY PAYMENTS OR DEDUCTIONS HAVE BEEN PAID.**

_____ **IF APPLICABLE, CHECK ALL RIDEABILITY CALCULATIONS AND VERIFY ANY PAYMENTS OR DEDUCTIONS HAVE BEEN PAID.**

_____ **IF APPLICABLE, CHECK ALL CALCULATIONS FOR DEDUCTIONS OF NON-SPEC MATERIALS.**

_____ **VERIFY STOCKPILE BALANCES ARE ZERO**

_____ **IF APPLICABLE, INCLUDE DISPUTE/CLAIM SUMMARY**

_____ **IF APPLICABLE, SUBMIT LIQUIDATED DAMAGE REVIEW WITH FINAL ESTIMATE.**

_____ **IF APPLICABLE, REVIEW PAVEMENT THICKNESS CALCULATION REPORT FOR ANY DEDUCTIONS TO FINAL PAYMENT.**

_____ **COMPLETE AND SUBMIT CONTRACTOR EVALUATION(S). RECORD IN CHECKLIST SCHEDULED EVENTS FOLDER**

_____ **MATERIALS CERTIFICATION APPROVED (Approval date: _____)**

_____ **ALL CHANGE ORDERS IN APPROVED OR DENIED STATUS**

_____ **CHECK CRITICAL DATES IN SITE MANAGER FOR FORMAL ACCEPTANCE**

_____ **MARK ALL KEY DATES APPLICABLE TO PROJECT INCLUDING:**

_____ **CORRECTIVE WORK COMPLETION**

_____ **OPEN TO TRAFFIC**

_____ **WORK BEGIN DATE**

_____ **WORK COMPLETE DATE**

_____ **COMPREHENSIVE CORRECTIVE WORK NOTIFICATION**

_____ **RESIDENT FINAL CHECK**

_____ **READY FOR MATERIALS CHECK RE**

_____ **FINAL CHECKED BY RE**

_____ **IF APPLICABLE TO PROJECT, FINAL INSPECTION DATES SHOULD BE ENTERED INTO KEY DATES:**

_____ **STRUCTURE FINAL INSPECTION**

_____ **ELECTRICAL FINAL INSPECTION**

_____ **FHWA FINAL INSPECTION**

_____ **ROADWAY INSPECTION**

_____ **SIGNING FINAL INSPECTION**

_____ **PAINTING FINAL INSPECTION**

_____ **STRIPING/REFLECTIVITY FINAL INSPECTION**

_____ **LANDSCAPING FINAL INSPECTION**

_____ **RESURFACING FINAL INSPECTION**

_____ **OTHER FINAL INSPECTION**

_____ **KPDES NOI**

_____ **KPDES NOT**

_____ **PLAN SHEETS: (SUBMIT ALL TO CENTRAL OFFICE)**

CHECK ALL FINAL PAY QUANTITIES AGAINST FINAL ESTIMATE ON GENERAL SUMMARY SHEETS, PIPE SHEETS, BITUMINOUS SHEETS, STRUCTURE SHEETS. SHOW ALL SUBGRADE DRAINAGE, INCLUDING PERFORATED PIPE, BY INDICATING STATION NUMBER, LENGTHS, SIZE, TYPE, SKEW, ETC. OR CHECK MARK THOSE UNCHANGED ON THE PIPE SHEETS OF THE PLAN SHEETS.

_____ **AS-BUILT STRUCTURE PLANS SUBMITTED TO CENTRAL OFFICE:**

FOUNDATION SHEETS

CONSTRUCTION ELEVATIONS

ANY ADJUSTMENT OR CHANGES TO ORIGINAL PLANS

At the time of submitting the final estimate, all payments should be made for Demobilization. Check to see that all discrepancies are resolved while preparing the final estimate.

To the District Office:

Send email stating CID, Amount of Final Estimate Pay, Balance on Project, and Materials Certification date (if applicable).

Attach a copy of the final estimate, and any documentation for adjustments.

Project Death—Attachment 4

Final Estimate Checklist for Central Office

Final Checklist Central Office

- Checked for Missing Checklist Event Dates.
- Checked for outstanding Change Orders.
- Checked to see if FAA is necessary for this project.
- Checked for errors of FAA on FAA program and determined if adjustment was necessary to begin with.
- Checked any Lot Pay adjustments, etc. for errors.
- Checked on appropriateness of an LD report and make sure they match the amounts previously paid.
- Checked to ensure all DWRs have been approved on diaries and if not confirmed with district/engineer that it was intentional.
- Checked for the following dates in the Key Dates...
 - Open to Traffic
 - Work Complete
 - Applicable Inspection Dates
 - Corrective Work Dates
 - Ready for Materials Check – RE
 - Resident Final Check
 - Files received in DO
 - District Final Check
 - Ready for Material Check – DME
 - Material Certification Letter
- Checked for the following dates in the Critical Dates...
 - Accepted Date
- Entered the following Key Dates...
 - Files Received in Central Office
 - Central Office Final Check
 - Date Release Sent to Contractor
 - Projected date of Release Returned from Contractor (two months from date release sent)
- Generated the Final Estimate
 - Confirmed the amount matches the amount in the notification email sent in from the district.
 - Checked funding availability in Doc_Viewer or eMARS.
 - Added any line item adjustments necessary.
 - Confirmed that all lump sum items (especially demobilization, mobilization, and maintain & control traffic) has been paid 100% (1.0), if not confirm with district/engineer to be sure it was intended not to be paid.
- Generated and double checked the Final Release.
- Mailed via certified mail the final estimate and release.

6

Detailed Breakout Sessions
Detailed "A"

Daily Work Reports, Project Inspection, Record Keeping & Site Manager

Brandon Campbell & Kyle Poat

DWR INFORMATION TAB

Contract ID: FP002 Inspector: Sam Johnson DWR Date: 03/01/11

Lockout: 0 Temperature: High: 68 Low: 62 Weather Conditions: A.M. Sunny P.M. Sunny

No Work Items Installed: Suspend Time: 00:00
 No Contractors On Site: Resume Time: 00:00
 No Daily Staff On Site:

Remarks: 7:30am - 4:30pm

CONTRACTOR INFORMATION TAB

Contractor	No. of Subcontractors	No. of Workers	Estimated No. of Workers
0013 - A & S SUPPLY INC	1	1	1

Personnel Types

Personnel Type	No. of Personnel	Hours Worked	Total Hours
Laborer	1	8	8
Skilled	1	8	8

CONTRACTOR EQUIPMENT TAB

Contractor Equipment

Contract ID: [FF000] Inspector: [Sandy Johnson] Date: [05/27/11]

Contractor	Mix. of Supervisors	Mix. of Workers	Contractor Has Worked
0013 A LA SAFETY INC	1	2	.000

Equipment ID - Description	Mix. of Pieces	Mix. Used	Hours Used
010 Excavator	1	1	0.000
110 Tractor	2	2	0.000
100 Tractor	1	1	0.000

WORK ITEMS TAB

Work Items

Contract ID: [FF000] Inspector: [Sandy Johnson] Date: [05/27/11]

Project No: [2011000002] Line No. No: [000] Item Code: [0245] Category No: [000]

Item Desc: [CLEANUP AND OVERSIGHT] Unit Price: [\$15,000.0000]

Supp Desc 1: [LARCHES]

Supp Desc 2:

Qty Requested to Date: [0.000] Qty Authorized to Date: [0.000] Units Type: [LS]

Qty Installed to Date: [0.000] Bid Qty: [1.000] Pw to Plan 1:

Status: [Active] Qty Paid to Date: [0.000] Current Contract Qty: [1.000]

Plan Seq No: [] Location: [] Planned Qty: [] Plan Page Number: [] Hours Used: []

Planned Qty: [] Plan Page No: [] Contractor: [FREDRICK & WELLS CONSTRUCTION CO INC - PHOENIX -]

Loc Seq No: [] Location: [] Location: [] Location: [] Measured Indicator:

Station	Offset	Distance	Station	Offset	Distance
1	0.000	CL	000	0.000	CL
2	0.000	CL	000	0.000	CL

DIARY AUTHORIZE TAB

Diary Authorize

Contract ID: [FF000] Diary Date: [05/26/11] Last Modified User ID: [] Creator User ID: [Sandy]

Resource	Authorized	Authorized Date	Diary Template
Jack In Pond	<input type="checkbox"/>	05/05/00	<input type="checkbox"/>
Sam Green	<input type="checkbox"/>	05/05/00	<input type="checkbox"/>

Resource: []

Start and End Time: []

Controlling Operation: []

DIARY CHARGE TAB

Activity: Charge

Contract ID: JF002 Date: 05/20/04

Charge Type		Total Number of Disburse	1
<input checked="" type="checkbox"/> Full Day	Credit Reason	Total Diary Charge Days:	1.00
<input type="checkbox"/> Half Day		Total Diary No Charge Days:	0.00
<input type="checkbox"/> No Charge		Adj Total Diary Charge Days:	1.00
		Adj Total Diary No Charge Days:	0.00

Make	Milestone Description	Charge Amount	Credit Reason
01	Budget Complete	1.00 Full Day	

Detailed Breakout Session "A"

Daily Work Reports, Project Inspection Record Keeping and Site Manager

Brandon Campbell & Kyle Poat

DWR AND DIARY BASICS

NOTE: ALL WORKING DAY PROJECTS SHALL HAVE A DWR AND DIARY FOR EACH DAY FOR THE DATES BETWEEN APRIL 1 AND NOVEMBER 30 AND SHALL INCLUDE THE FOLLOWING CRITERIA AS A MINIMUM: DATE, TEMPERATURE, WEATHER CONDITIONS, REMARKS, CONTROLLING OPERATION AND WORK DAY STATEMENT

- **DWR INFORMATION**

Daily Work Reports

DWR Info. | Contractors | Contractor Equip. | Daily Staff | Work Items | Force Accounts

Contract ID: TP002T | Inspector: Sandy Johnson | DWR Date: 06/25/04

Locked: No | Authorized: No | Authorized Date: 00/00/00

Temperature: High: 87 | Low: 65

Weather Conditions: A.M.: Sunny | P.M.: Sunny

No Work Items Installed: | No Contractors On Site: | No Daily Staff On Site: | Work Suspended: | Suspended Time: 00:00 | Resumed Time: 00:00

Remarks: Accident | 7:00am - 4:00pm

- **TEMPERATURE, WEATHER, WORK TIME**
Pertinent for charging Work Days based on controlling item; Important in potential disputes/claims; Important in potential material failures
- **ACCIDENT**
Brief description of the event including time, location, parties involved and investigating agency; In case of accident, over emphasize your traffic control procedures for that day.
- **BEGIN & END TIME**
Pertinent for charging work days based on controlling item; Important in potential disputes/claims; Important in potential material failures
- **CONTROLLING OPERATION**
The bid item that must be substantially completed before the next phase of the project can proceed; Contractor must work at least 5 hours of the day to be considered Work Day per Spec. Book
- **DELAY**
List any events such as utility conflicts, etc. that affect the progress of the Controlling Operation for that day.
- **EROSION CONTROL**

Documentation regarding rainfall amounts; Status and location of most recent erosion control report; Specific Erosion Control corrective measures stipulated to Contractor

- **GENERAL DESCRIPTION**

Brief synopsis of events that took place on project for that date: This should be general yet specific enough that someone not affiliated with the project can read and is abreast of events on project for that day.

- **MATERIALS DEFICIENCIES**

State reasons why materials testing/certifications were not received for pay item on this date.

- **PERSONNEL/STAFF REMARKS**

List co-workers or supervisors on project for this date.

- **TRAFFIC CONTROL**

Brief synopsis of traffic control measures in place on project for this date; Include any interruptions to traffic for certain events during the day.

- **VISITOR**

List any other pertinent personnel on project not stated in personnel/staff remarks; i.e....Division of Water, FHWA, CDE, TEBM, etc.

- **WORKING DAY STATEMENT**

See notes for Temperature, Weather, Work Time & Controlling Operation above.

- **CONTRACTOR INFORMATION**

List all contractor personnel affiliated with project for that day including subs – important for EEO purposes, wage & hour reviews and potential disputes/claims.

Daily Work Reports					
DWR Info.	Contractors	Contractor Equip.	Daily Staff	Work Items	Force Accounts
Contract ID: TP002C		Inspector: Sandy Johnson		Date: 05/21/04	
Contractor		Nbr of Supervisors	Nbr of Workers	Contractor Hrs Worked	
01213 FREDERICK ZEMET CONSTRUCTION CO INC - PRIME		1	7	.000	
02413 A & A SAFETY INC		1	5	.000	
Supervisor/Foreman Name		Hours Worked			
Superintendent		0.000			
Personnel Type	Nbr of Persons	Hours Worked	Total Hours		
Laborers	2	0.000	.000		
Skilled	3	0.000	.000		

- CONTRACTOR EQUIPMENT**

List all contractor equipment affiliated with project for that day including subs – important for potential disputes/claims.

Daily Work Reports

DWR Info Contractors Contractor Equip. Daily Staff Work Items Force Accounts

Contract ID: TP002T Inspector: Sandy Johnson Date: 06/25/04

Contractor	Nbr of Supervisors	Nbr of Workers	Contractor Hrs Worked
0213 FREDERICK & MAY CONSTRUCTION CO INC -- PRIME --	2	7	0.000
02413 A & A SAFETY INC	1	5	0.000

Equipment ID - Description	Nbr. of Pieces	Nbr Used	Hours Used
165 Trucks	1	1	0.000
055 Distributors	1	1	0.000
010 Asphalt Pavers	1	1	0.000
015 Asphalt Rollers	2	2	0.000

- WORK ITEMS**

Input placed quantity for the date; Plan page number – specific only for utility pay items; List contractor who performed work item; Location of item placed – i.e.....Integral End Bent 1; Station and Offset – physical location from plans where work item is installed; Measured Indicator – dependent upon whether item was physically measured (yes) or paid plan quantity (no). Additional notes about pay item should be recorded in remarks bubble at the top of screen – this includes basic measurements and math, representative cylinder numbers, heat numbers, load numbers, etc.

Daily Work Reports

DWR Info Contractors Contractor Equip. Daily Staff Work Items Force Accounts

Contract ID: TP002T Inspector: Sandy Johnson Date: 06/25/04

Project Nbr: Z081106504T2 Line Item Nbr: 0360 Item Code: 00300 Category Nbr: 0001

Item Desc: 0.1 ASPH SURF 0.380 PG64-22 Unit Price: \$54.00000

Supp Desc 1: Supp Desc 2:

Qty Reported to Date: 200.000 Qty Authorized to Date: 0.000 Units Type: TON

Qty Installed to Date: .000 Bid Qty: 227.000 Pay To Plan Qty:

Status: Active Qty Paid to Date: .000 Current Contract Qty: 227.000

Loc Seq Nbr	Location Installed	Placed Qty	Plan Page Number	Temp't Used
1	Smith Rd approach	200.000	0	

Placed Qty: 200.000 Plan Page Nbr: 0 Contractor: FREDERICK & MAY CONSTRUCTION CO INC -- PRIME --

Loc Seq Nbr: 1 Location: Smith Rd approach Measured Indicator:

Station Offset Distance Station Offset Distance

From: + .000 .000 To: + .000 .00

DIARY INFORMATION

- Basic information required for Diary entry includes Controlling Operation and Work Day Statement. Any additional information discussed between Section/Staff Engineer and project personnel, including contractors, and not noted in inspectors DWR, should be included in the Supervisor Remarks. See page CST-207 of Construction Guidance Manual: <http://transportation.ky.gov/KYTCI-Forms/eBook/construction.pdf>

Diary

Authorize Charge

Contract ID: [TP002]

Diary Date: [05/20/04] Last Modified User ID: [] Creator User ID: [jpowell]

Inspector	Authorized	Authorized Date	DWR Template
Jackie Powell	<input type="checkbox"/>	00/00/00	<input type="checkbox"/>
Sam Green	<input type="checkbox"/>	00/00/00	<input type="checkbox"/>

Remarks:

Accident

Begin and End Time

Controlling Operation

- Ensure that the appropriate charge for the project has been applied – work day, non-workday and reason, etc.

Diary

Authorize Charge

Contract ID: [TP002] Date: [05/20/04]

Charge Type

Full Day

Half Day

No Charge

Credit Reason []

Total Number of Diaries: 1

Total Diary Charge Days: 1.00

Total Diary No Charge Days: 0.00

Adj Total Diary Charge Days: 1.00

Adj Total Diary No Charge Days: 0.00

Mistn Nbr	Milestone Description	Charge Amount	Credit Reason
01	Bridge Complete	Full Day	

KENTUCKY TRANSPORTATION CABINET

Department of Highways

Division of Construction

CREW 300 - PADUCAH SECTION

PROJECT ENGINEER - KYLE M. POAT, P.E.

DAILY WORK REPORT

Contract I.D. _____ Inspector _____ Date _____

DWR INFO.

Temperature	
Low	High

Weather	
A.M.	P.M.

Work Time	
Begin	End

Controlling Operation	Erosion Control

General Description

Personnel / Staff Remarks	Traffic Control

Visitor	Working Day Statement		
	<table style="width: 100%;"> <tr> <td style="width: 50%; text-align: center;">Working Day <input type="checkbox"/> Yes <input type="checkbox"/> No</td> <td style="width: 50%;">Comments:</td> </tr> </table>	Working Day <input type="checkbox"/> Yes <input type="checkbox"/> No	Comments:
Working Day <input type="checkbox"/> Yes <input type="checkbox"/> No	Comments:		

CONTRACTORS

Prime Contractor _____	<input type="checkbox"/> Superintendent
Flaggers _____	<input type="checkbox"/> Foreman
Laborers _____ Skilled _____	Other _____
Sub Contractor _____	<input type="checkbox"/> Superintendent
Flaggers _____	<input type="checkbox"/> Foreman
Laborers _____ Skilled _____	Other _____

PROJECT INSPECTION RECORD KEEPING

NOTE: SECTION/STAFF ENGINEERS SHOULD ENCOURAGE THEIR INSPECTORS TO PROGRESSIVELY WORK ON THE FINALING OF THEIR PROJECT AS THE PROJECT REACHES NEW MILESTONES.

- **FUEL & ASPHALT ADJUSTMENTS**
- **LOT REPORTS**
- **MIX DESIGNS (ASPHALT AND CONCRETE)**
- **RIDEABILITY SPREADSHEETS**
- **CHANGE ORDERS (INCLUDING COST PLUS/FORCE ACCOUNT DATA IF APPLICABLE)**
- **LAST LOAD TICKETS (SIGNED AND DATED BY INSPECTOR)**
- **CONTRACTOR PERFORMANCE REPORTS**
- **PILING SPREADSHEETS**
- **FIELD MEASUREMENTS THROUGHOUT COURSE OF PROJECT**
- **EROSION CONTROL REPORTS**
- **NOTES ON MEETINGS WITH CONTRACTORS OR INSPECTORS ABOUT PROJECT SCOPE AND CHANGES (PRE-POUR MEETINGS, SAFETY MEETINGS, UTILITY ISSUES, ETC.)**
- **MATERIALS CERTIFICATIONS**
- **X-DIMENSIONS**
- **FIELD BOOKS**
- **FINAL INSPECTION REPORTS**
- **FORMAL ACCEPTANCE REPORTS**
- **NON-SPEC MATERIAL MEMOS AND DEDUCTION CALCULATIONS**
- **CONSTRUCTION REVISIONS (IF APPLICABLE)**

FORMS CAN BE FOUND AT:

<http://transportation.ky.gov/construction/forms/>

<http://transportation.ky.gov/construction/ResCenter/ResCenter.htm>

8

7

**DETAILED "B" –Work Completion
Notices, Final Inspection Reports
and Key Dates in SiteManager
(**Speakers:** Adam Ross & Bob Lewis)**

March 15, 2011 Section Supervisor Meeting Lake Cumberland

On this Date

0044 BC - Julius Caesar, Dictator of the Roman Republic, is stabbed to death by Marcus Junius Brutus, Gaius Cassius Longinus, Decimus Junius Brutus and several other Roman senators on the Ides of March.

1382 Conservative "Popolo Grasso" regain power in Florence Italy

1820 Maine admitted as 23rd state

1922 After Egypt gains nominal independence from the United Kingdom, Fuad I becomes King of Egypt.

1984 John Lennon's single "I'm Stepping Out" is released (4 years after his death)

2011 Brittany Spears album released

Filler

Added by Construction Procurement
before activation
Work Order Issue Date

Key Dates

Contract ID: 104032

Key Date Type	Projected Date	Actual Date	Required to Activate	Required to Finalize
Striping/Reflectivity Final Inspection	00/00/00	00/00/00	N	N
Strip/Reflect Final Insp Report Received	00/00/00	00/00/00	N	N
Struct Final Insp Punchlist Complete	00/00/00	00/00/00	N	N
Structures Final Inspection	00/00/00	00/00/00	N	N
Struct Final Insp Report Received	00/00/00	00/00/00	N	N
Work Begin Date	00/00/00	00/00/00	N	N
Work Complete Date	00/00/00	00/00/00	N	Y
Work Order Issue Date	01/07/11	01/07/11	Y	N

Key Date Type: Work Order Issue Date

Projected Date: 01/07/11

Actual Date: 01/07/11

Distribution List: 11

Message Text: Work Order Issued

Required to Activate

Required to Finalize

Recipient:

Key Date added by Construction Procurement before contract activated. Date of Work Order.

Key Dates in SiteManager

TBL_ID	CD_ID	CD_DESC	KEYDATE	RECK	
KEYDATE	CCWN	Comprehensive Corrective Work Notify		RECK	Ready for Materials Check Resident
KEYDATE	COFC	Central Office Final Check		REFC	Resident Final Check
KEYDATE	CWCD	Corrective Work Completion Date		RELR	Date Release Letter Returned from Co
KEYDATE	DMCK	Materials Checked by DME date	KEYDATE	RELS	Date Release Letter Sent to Contractor
KEYDATE	DOFC	District Final Check	KEYDATE	RFFI	Roadway Final Inspection
KEYDATE	ECFI	Erosion Control Final Inspection	KEYDATE	RFIC	Rdwy Final Insp Punchlist Complete
KEYDATE	ECIC	Erosion Control Insp Punchlist Complete	KEYDATE	RFIR	Rdwy Final Insp Report Received
KEYDATE	ECIR	Erosion Control Insp Report Received	KEYDATE	RSF C	Resurf Final Insp Punchlist Complete
KEYDATE	EFI	Electrical Final Inspection	KEYDATE	RSF I	Resurfacing Final Inspection
KEYDATE	EFIC	Electr Final Insp Punchlist Complete	KEYDATE	RSFR	Resurf Final Insp Report Received
KEYDATE	EFIR	Electr Final Insp Report Received	KEYDATE	SFI	Signing Final Inspection
KEYDATE	FDFA	FHWA Date of Formal Acceptance	KEYDATE	SFIC	Sign Final Insp Punchlist Complete
KEYDATE	FFID	FHWA Final Inspection	KEYDATE	SFIR	Sign Final Insp Report Received
KEYDATE	LF I	Landscaping Final Inspection	KEYDATE	SFRC	Strip/Reflect Final Insp Punchlist Complete
KEYDATE	LFIC	Lands Final Insp Punchlist Complete	KEYDATE	SRF I	Strip/Reflectivity Final Inspection
KEYDATE	LFIR	Lands Final Insp Report Received	KEYDATE	SFR R	Strip/Reflect Final Insp Report Received
KEYDATE	MCL	KPDES Form NOI-SW Notice of In	KEYDATE	STFC	Struct Final Insp Punchlist Complete
KEYDATE	NOI	KPDES Coverage Letter with Permi	KEYDATE	STFI	Structures Final Inspection
KEYDATE	NOIC	KPDES Form NOT-SW Notice of T	KEYDATE	STFR	Struct Final Insp Report Received
KEYDATE	NOT	Other Final Inspection	KEYDATE	WBD	Work Begin Date
KEYDATE	OFI	Othr Final Insp Punchlist Complete	KEYDATE	WCD	Work Complete Date
KEYDATE	OFIC	Othr Final Insp Report Received	KEYDATE	WOID	Work Order Issue Date
KEYDATE	OFIR	Open to Traffic			
KEYDATE	OPT R	Painting Final Inspection			
KEYDATE	PFI	Paint Final Insp Punchlist Complete			
KEYDATE	PFIC	Paint Final Insp Report Received			
KEYDATE	PFIR	Files Received in Central Office			
KEYDATE	RCO	Files Received in District Office			
KEYDATE	RDO	Ready for Materials Check Resident			
KEYDATE	RECK				

DCOM removes or adds dates that are project specific. Resurface generally does NOT need structure or Erosion Control Dates.

List of Key Dates KPDES Dates need to be added for Grade & Drain Contracts requiring KPDES permit. Not default date. Some dates not needed may be deleted but Need to keep Work Began, Work Completed, Date of Material Certification, etc.

Default Key Dates

District Office Manger before activation of project should remove any unneeded Dates. Care to keep essential dates highlighted earlier

For Example:

- If NOT FHWA remove any FHWA dates
- If No electrical, remove Electrical
- If no Erosion Control, remove Erosion
- Do NOT delete Work Began, Work complete, Materials Dates, etc.

DCOM review type of contract and remove dates not needed. For example Resurfacing does generally not need Structure inspection.

SiteManager Key Dates

The screenshot shows the SiteManager Key Dates interface. On the left is a navigation menu with icons for Contracts, Milestones, Projects, Categories, Items, Key Dates, Checklist Scheduled Events, Checklist Event Dates, Permits, Correspondence, Force Accounts, Design Evaluation, Disputes/Claims, and DSS Contr. The main area displays a table of key dates for Contract ID 104032. The 'Work Begin Date' row is highlighted in blue. Below the table is a form for editing the selected key date, with fields for Projected Date, Actual Date, Required to Activate, and Required to Finalize, along with a Distribution List and Message Text field.

Key Date Type	Projected Date	Actual Date	Required to Activate	Required to Finalize
Suping/Reflectivity Final Inspection	00/00/00	00/00/00	N	N
Sup/Reflect Final Insp Report Received	00/00/00	00/00/00	N	N
Struct Final Insp Punchlist Complete	00/00/00	00/00/00	N	N
Structures Final Inspection	00/00/00	00/00/00	N	N
Struct Final Insp Report Received	00/00/00	00/00/00	N	N
Work Begin Date	00/00/00	00/00/00	Y	Y
Work Complete Date	00/00/00	00/00/00	N	Y
Work Order Issue Date	01/07/11	01/07/11	Y	N

Key Date Type: Work Begin Date
 Projected Date: 00/00/00
 Actual Date: 00/00/00
 Distribution List:
 Message Text: Work Begun on Project

Work Begin Date
 =(Date Work Began)

Work Begin Date required when work began. If work as begun, need Work Begin Date.
 OK?

Before Estimate #1 make sure Work Begin Key Date added!

Make sure Work Begin Date added to Key dates and Projected (estimated) completion date from Schedule added to Work Complete Date.

Key Dates

Contract ID: 102302

Key Date Type	Projected Date	Actual Date	Required to Activate	Required to Finalize
Stiping/Reflectivity Final Inspection	00/00/00	00/00/00	N	N
Stip/Reflect Final Insp Report Received	00/00/00	00/00/00	N	N
Struct Final Insp Punchlist Complete	00/00/00	00/00/00	N	N
Structures Final Inspection	00/00/00	00/00/00	N	N
Struct Final Insp Report Received	00/00/00	00/00/00	N	N
Work Begin Date	00/00/00	00/00/00	N	N
Work Complete Date	00/00/00	00/00/00	N	Y
Work Order Issue Date	09/27/10	09/27/10	Y	N

Key Date Type: Comprehensive Corrective Work Note

Projected Date: 00/00/00 Required to Activate

Actual Date: 00/00/00 Required to Finalize

Distribution List: Recipient:

Message Text: Contractor has been sent all final inspection reports

Also, if Estimate #1 make sure schedule received!

Remember you need schedule to process Estimate #1.

<http://transportation.ky.gov/construction/ResCenter/2010EstimateCheckSheet.pdf>

Update Date: 2/15/2011

CID	District	County	Contract Type	Road	Written R
102111	3	WARREN	ASPHALT RESURFACING	CONERTY ROAD-FARVIEW DR. (438 S 7th AV)	
102133	3	BARREN	ASPHALT RESURFACING	OLD BOWLING GREEN ROAD (KY 1237)	
102206	3	ALLEN	OPERATIONS MAINTENANCE	SCOTTSMILLE-FRANKLIN ROAD (KY 106)	
102214	3	BUTLER	ASPHALT RESURFACING	CANEYVILLE ROAD (KY 79)	
102217	3	LOGAN	ASPHALT RESURFACING	EAST 5TH STREET (KY 3248)	
102223	3	BUTLER	ASPHALT RESURFACING	BEAVER DAM ROAD (US 231)	
102227	3	ALLEN	ASPHALT RESURFACING	NEW GALLATIN ROAD (US 61E)	
102229	3	GREEN	GUARDRAIL		
102264	3	MONROE	ASPHALT RESURFACING	COUNTY HOUSE ROAD (KY 1388)	
102265	3	BARREN	ASPHALT RESURFACING	ROSEVILLE ROAD (KY 249)	
102266	3	TODD	ASPHALT RESURFACING	GREENVILLE ROAD (KY 181)	
102302	3	ALLEN	GUARDRAIL		
102310	3	TODD	GUARDRAIL	ALLEGRE-HURDMANVILLE ROAD (KY 171)	
102322	3	EDMONSON	GUARDRAIL		
102325	3	BARREN	ASPHALT SHOULDERS	LOUISVILLE-TERREBEE STATE LINE ROAD	
102354	3	EDMONSON			

Red = BAD

Plug for Schedule if first estimate. No schedule, no pay.

Look at Estimate # 1 unless only paying stockpile, you need a Work Began Date, if missing, please add! Good Job Scott!

Estimate for: 101057 No. 0001

Print Date: 02/16/2011

**COMMONWEALTH OF KENTUCKY
TRANSPORTATION CABINET**

Contract ID	101057	Estimate Number	0001	Estimate Type	PROGRESS
District Office	COVINGTON (066340) Pennington, Scott D., P.E				
Project Manager:	Pennington, Scott D., P.E				
Contractor	LAWRENCE CONSTRUCTION AND LEASING INC 460 SHORELAND DRIVE Walton, KY, 41094	ADDR 5% G VC Code	VC99900094327		
Pay Period	01/04/2011 TO 02/10/2011				
Date Approved					
Primary Proj Number	DE05916291657				
Project No.	JL04 005 1529 001-002, JL04 005 1629 000 002				
Primary County	BOONE				
Name of Road	INDUSTRIAL ROAD (KY 1829)				
Description	INDUSTRIAL ROAD WIDENING FROM JUST EAST OF US 25 TO TURKEYFOOT ROAD (KY 1209)				
Contract Type	ASPHALT PAVEMENT & ROADWAY REHABILITATIO				
Date Let	12/10/2010	Formal Acceptance			
Date Awarded	12/21/2010	Work Began		01/17/2011	
Date Contract Executed	01/04/2011	Open To Traffic			
Date NTP Issued	01/04/2011				

Estimate #1 should have Work Begin Date unless you are Jason Ward and paid stockpile before work began. Once work began, need to add the date.

SiteManager Key Dates continued

Work Complete Date
=(Date Work completed)

All work items to Section Supervisor satisfaction. Notification that final inspections needed

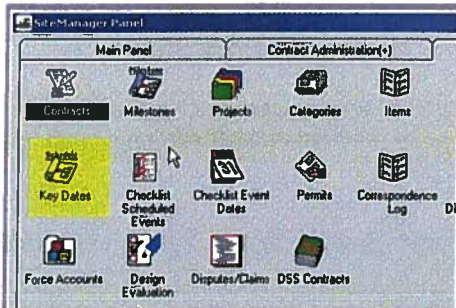
Note removed unneeded Structure, Electrical & Erosion Inspection Dates, can be re-added if needed in future

Key Date Type	Projected Date	Actual Date	Required to Activate	Required to Finalize
Ready for Materials Check Resident	00/00/00	00/00/00	N	N
Resident Final Check	00/00/00	00/00/00	N	N
Roadway Final Inspection	00/00/00	00/00/00	N	N
Rdwy Final Insp Punchlist Complete	00/00/00	00/00/00	N	N
Rdwy Final Insp Report Received	00/00/00	00/00/00	N	N
Work Begin Date	00/00/00	00/00/00	N	N
Work Complete Date	00/00/00	00/00/00	Y	Y
Work Order Issue Date	01/07/11	01/07/11	Y	N

Key Date Type: Work Complete Date
 Projected Date: 00/00/00
 Actual Date: 00/00/00
 Required to Activate
 Required to Finalize
 Distribution List: _____
 Recipient: _____
 Message Text: Time charges stopped on Contract final inspections needed

Work Complete is date all pay items completed to Section Supervisor Satisfaction (SSS) or commonly know as Tri S Secret Society of Successful Stoppage of aAssignment.

SiteManager Key Dates continued



Open to Traffic = Date useable for Traffic

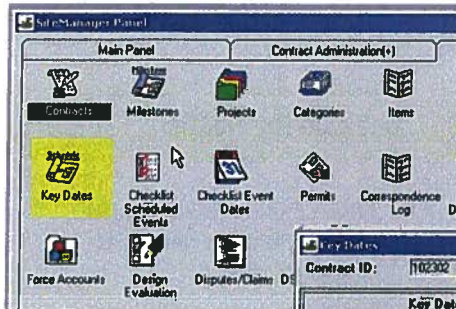
often same as work Complete. Used by Planning please put something here.

Contract ID: 1102302

Key Date Type	Projected Date	Actual Date	Required to Activate	Req to F
Central Office Final Check	00/00/00	00/00/00	N	
District Final Check	00/00/00	00/00/00	N	
Materials Checked by DME date	00/00/00	00/00/00	N	
Date of Materials Certification Letter	00/00/00	00/00/00	N	
Open to Traffic	00/00/00	00/00/00	N	
Files Received in Central Office	00/00/00	00/00/00	N	
Files Received in District Office	00/00/00	00/00/00	N	
Ready for Materials Check: Resident	00/00/00	00/00/00	N	

Traffic operation on project.

SiteManager Key Dates continued



Inspection dates,

Use message text line for name of person doing inspection

Key Dates

Contract ID: 1102302

Key Date Type	Projected Date	Actual Date	Required to Activate	Required to Finalize
Files Received in District Office	00/00/00	00/00/00	N	N
Ready for Materials Check Resident	00/00/00	00/00/00	N	N
Roadway Final Inspection	00/00/00	00/00/00	Y	Y
Ridway Final Insp Punchlist Complete	00/00/00	00/00/00	N	N
Ridway Final Insp Report Received	00/00/00	00/00/00	N	N
Signing Final Inspection	00/00/00	00/00/00	N	N
Work Begin Date	00/00/00	00/00/00	N	N
Work Complete Date	00/00/00	00/00/00	N	Y

Key Date Type: Roadway Final Inspection

Projected Date: 00/00/00

Actual Date: 00/00/00

Distribution List: _____

Message Text: By _____

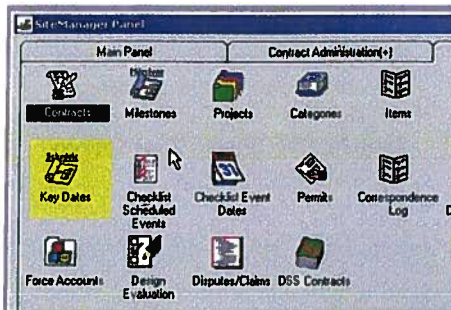
Required to Activate:

Required to Finalize:

Recipient: _____

Inspection Dates include Roadway, Structures, Erosion, Electrical, Striping

SiteManager Key Dates continued



Comprehensive Corrective Work Notify Date

(if Corrective work from any inspection)
 Corrective Work Completion date= Date
 CW Completed if Applicable

The screenshot shows the 'Key Dates' table for Contract ID: 1102302. The table has the following columns: Key Date Type, Projected Date, Actual Date, Required to Activate, and Required to Finalize.

Key Date Type	Projected Date	Actual Date	Required to Activate	Required to Finalize
Comprehensive Corrective Work Notify	00/00/00	00/00/00	N	N
Corrective Work Completion Date	00/00/00	00/00/00	N	Y
Central Office Final Check	00/00/00	00/00/00	N	N
District Final Check	00/00/00	00/00/00	N	N
Erosion Control Final Inspection	00/00/00	00/00/00	N	N
Electrical Final Inspection	00/00/00	00/00/00	N	N
Materials Checked by DHE date	00/00/00	00/00/00	N	N
Date of Materials Certification Letter	00/00/00	00/00/00	N	Y

If corrective work required, compile all inspection reports and forward to Prime Contractor. This is date contractor notified that all inspections complete and now "on the clock" to finish or LD apply per Specifications.

SiteManager Key Dates continued

Ready for Materials Check Resident = Date Section finished checking materials

Resident Final Check = Date Section finished Checking Final

Key Date Type	Projected Date	Actual Date	Required to Activate	Required to Finalize
Ready for Materials Check Resident	00/00/00	00/00/00	N	N
Roadway Final Inspection	00/00/00	00/00/00	N	N
Rdwy Final Insp Punchlist Complete	00/00/00	00/00/00	N	N
Rdwy Final Insp Report Received	00/00/00	00/00/00	N	N
Signing Final Inspection	00/00/00	00/00/00	N	N
Work Begin Date	00/00/00	00/00/00	N	N
Work Complete Date	00/00/00	00/00/00	N	Y
Resident Final Check	00/00/00	00/00/00	N	N

Key Date Type: Ready for Materials Check Resident

Projected Date: 00/00/00

Actual Date: 00/00/00

Distribution List:

Message Text:

Required to Activate

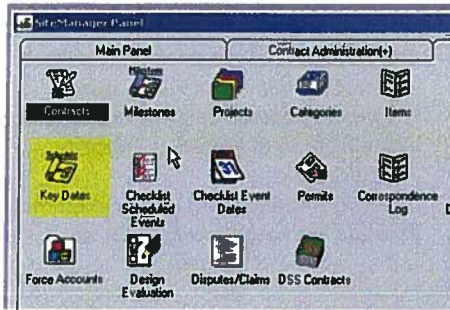
Required to Finalize

Recipient:

Need to enter Dates for Ready for Materials Check Resident. A review done by Section office.

Ditto for Resident Final Check. Date Section finished checking final.

SiteManager Key Dates continued



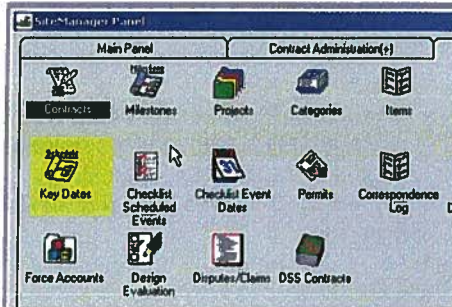
- Files Received in DO= Date Resident sent final for checking
- District Final Check = Date DCOM finished checking and ready to send to Frankfort
- Materials by DME date = Date DME finished checking materials ready for Div of Materials

Contract ID: 102302

Key Date Type	Projected Date	Actual Date	Required to Activate	Required to Finalize
Central Office Final Check	00/00/00	00/00/00	N	N
District Final Check	00/00/00	00/00/00	N	N
Materials Checked by DME Site	00/00/00	00/00/00	N	N
Date of Materials Certification Letter	00/00/00	00/00/00	N	Y
Open to Traffic	00/00/00	00/00/00	N	N
Fees Received in Central Office	00/00/00	00/00/00	N	N
Fees Received in District Office	00/00/00	00/00/00	N	N
Ready for Materials Check Resident	00/00/00	00/00/00	N	N

District Dates for DCOM's use for tracking Final Estimate.

SiteManager Key Dates continued



- Central Office Final Check= Date Final Estimate Section completes review
- Date of Materials Certification Letter = Date Division of Materials finished certification
- File Received in CO= Date Final Estimate Section got notice ready to check.

Contract ID: 1102302

Key Date Type	Projected Date	Actual Date	Required to Activate
Central Office Final Check	00/00/00	00/00/00	N
District Final Check	00/00/00	00/00/00	N
Materials Checked by DME date	00/00/00	00/00/00	N
Date of Materials Certification Letter	00/00/00	00/00/00	N
Open to Traffic	00/00/00	00/00/00	N
Files Received in Central Office	00/00/00	00/00/00	N
Files Received in District Office	00/00/00	00/00/00	N
Ready for Materials Check Resident	00/00/00	00/00/00	N

Dates for Central Office tracking of Final Estimate.

Project Manager Added by DCOM
needs to be update if Changed during
life cycle of contract

Description	Location	Payment Data	Critical Dates	Primary Personnel	Prime Contractor	DBE Comm
Contract ID: 102303						
Project Manager: Riley		Riley, Todd E.				
Project Engineer: Riley, Todd E.						
Contract Designer: MRO						
Contract Created By: SYSTEM						
Notification Recipients:						
Contract Status Changed to Active:						
User ID:		Distribution List:				
Work Progress Behind Schedule:						
User ID:		Distribution List:				

Reminder to keep Section Supervisor aka Project Engineer and Project Manager current.
Often one in same.

SiteManager Critical Dates passed from PES/LAS software

CD_ID	CD_DESC	
ACPT	Accepted Date	•Award Date
ADJC	Adjusted Completion Date	•Execution Date
ARCH	Contract Archived Date	•Letting Date
AWRD	Award Date	•Original Completion Date if Specified date of completion
BRDT	Contractor Bankruptcy Date	•Price Adjustment Base Date = Letting Date
CKDO	Checked Out to Field Date	Date
DFLT	Contractor Default Date	
EXEC	Execution Date	
FMEX	Assigned to Field Manager Date	
FREL	Contractor Final Release Date	•Notice to Proceed added by DCOM upon project activation
LETD	Letting Date	
NTPD	Notice to Proceed Date	
OPTF	Open to Traffic Date	
ORGC	Original Completion Date	•Adjusted Completion Date updated with approved Change order if applicable
PAJB	Price Adjustments Base Date	
SIGN	Signed Date	
SWKC	Substantial Work Complete Date	
WKBG	Work Begin Date	
WKCM	Physical Work Complete Date	•NOT USED Signed Date, Work Begin Date, Contractor Final Release Date all Key dates.

List of Critical Dates in SiteManager that get passed or added from PES/LAS before contract activated.

SiteManager Critical Dates Added in Central Office Construction

TBL_ID	CD_ID	CD_DESC	
CRITDATE	ACPT	Accepted Date	Accepted Date = Formal
CRITDATE	ADJC	Adjusted Completion Date	
CRITDATE	ARCH	Contract Archived Date	Acceptance Date
CRITDATE	AWRD	Award Date	
CRITDATE	BKDI	Contractor Bankruptcy Date	Physical Work Complete Date = Date of Final Payment
CRITDATE	CKDO	Checked Out to Field Date	
CRITDATE	DFLT	Contractor Default Date	
CRITDATE	EXEC	Execution Date	
CRITDATE	FMEX	Assigned to Field Manager Date	
CRITDATE	FREL	Contractor Final Release Date	
CRITDATE	LETD	Letting Date	
CRITDATE	NTPD	Notice to Proceed Date	
CRITDATE	OPTF	Open to Traffic Date	
CRITDATE	ORGC	Original Completion Date	
CRITDATE	PAJB	Price Adjustments Base Date	
CRITDATE	SIGN	Signed Date	
CRITDATE	SWKC	Substantial Work	
CRITDATE	WKBG	Work Begin Date	
CRITDATE	WKCM	Physical Work Complete Date	

Date updated by Central Office Construction Accepted Date = Formal Acceptance Date. Enter after DO notifies Liaison that inspection completed and if applicable all corrective work completed.


Work complete/ Final inspection

What to do after work is done

Adam Ross PE

Construction Memo 02-10

- Check it out has lots of info. on this topic
- http://transportation.ky.gov/construction//memos/pdf/CM10-02FInsp_ProjCompNot.pdf


TRANSPORTATION CABINET
Frankfort, Kentucky 40622
www.transportation.ky.gov

Steven L. Beshear
Governor

Michael W. Hancock, P.E.
Acting Secretary

MEMORANDUM Construction Memo No. 02-10

TO: Chief District Engineers
District TEBMs for Project Delivery and Preservation
District TEBMs for Engineering Support
District Section Engineers
C.O. Division Directors

FROM: Steven Criswell, P.E. Director *Steven Criswell*
Division of Construction

DATE: April 1, 2010

SUBJECT: Final Inspections and Project Completion Notice

Final project inspections will be conducted after the project is called complete and a Project Completion Notice is sent to the Contractor, District TEBM for Project Delivery and Preservation, and the Central Office Construction Liaison. A project shall not be called complete until the Section Engineer's punch list has been satisfied. This requirement is in

Construction Memo 02-10 specifies the policy and procedure for calling a project complete and processing the completion notice and final inspection report(s). A project is not to be called complete and the dates entered into sitemanager until all work has been completed to the satisfaction of the Section Engineer. The SE punch-list must be completed before the project can be called complete. The memo also specifies which projects are to have a final inspection completed by the TEBM for PD&P and which are to be completed by the CO Liaison. All inspections are to be completed within 90 days of the project being called complete.

Work Complete Notice

- When all work is done including SE Punch list
- Enter key date Work Complete actual (make Bob happy)
- Send to Contractor, PD&P Branch Manager, CO Liaison, FHWA Representative.
- Specs. 104.05 and 105.12 CST- 402

Se Punch-list must be completed before project is called complete. If the project extends past the completion date charge LDs

CompNot (Project Completion Notice)

The screenshot displays the AASHTO SiteManager interface. At the top, a menu bar includes 'File', 'Services', 'Window', and 'Help'. Below it, a 'Process List' window is open, showing a table of processes:

Process	Type	Description
UWNSUM	Custom	UWNS Summary Report
CompNot	Custom	Project Completion Notice
CONTRUND	Custom	Contract funding

The 'Custom Process Submission' dialog box is active, containing the following fields:

- Send to FHWA? YES or NO: NO (String)
- Section Supervisor's name: Over Worked (String)
- Roadway Inspection: YES (String)
- Structures Inspection: YES (String)
- Erosion Inspection: YES (String)
- Painting Inspection: NO (String)
- Traffic Count Inspection: NO (String)
- Electrical Inspection: NO (String)
- Landscaping Inspection: NO (String)

At the bottom of the dialog box, there are four buttons: 'Submit', 'Parameters', 'Subset', and 'Cancel'.

Screen shot of the process to produce a project completion notice in Sitemanager

Project Completion Notice

Print Date: 02/25/2011

TC 63-40
Revised 01/2011

COMMONWEALTH OF KENTUCKY
TRANSPORTATION CABINET
DIVISION OF CONSTRUCTION
PROJECT COMPLETION NOTICE

Letting : 07/24/2009
District : 06
County : KENTON
Contract ID : 091046
Project Nbr : ARRA 17-3 (014)
Project Type : BRIDGE WITH GRADE, DRAIN & SURFACE
Road Name : 12TH STREET
Project Description : RECONSTRUCT 12TH STREET FROM RUSSELL STREET TO SCOTT STREET

Contractor : PRUS CONSTRUCTION COMPANY
Address : 5325 WOODSTER RD
Address : CINCINNATI, OH 45226

This project was completed in conformity with the specifications, plans and proposal, including the satisfactory completion of the Section Engineer's punch list, on 00/00/0000. Project inspections will be completed in accordance with Sections 105.12 and 212 of the 2008 Standard Specifications for Road and Bridge Construction.

The following inspections are needed on the subject project :

Roadway Inspection

Structures Inspection

Erosion Inspection

Example project completion notice

Final inspection report

- Within 90 days after project completion
- PD&P Branch Manager and/or CO Liaison
- Comprehensive final inspection report
- There may be several reports for different parts of the project
- Section 105.12 CST-108-1, 401, 711, 1314-4

All final inspections except seeding must be completed within 90 days of project completion. Once all finals are complete a copy of all are to be sent to contractor with the comprehensive final inspection report that notifies the contractor they have 90 days to complete the corrective work.

Final Inspection Report

Confirm Process Submission

Inspector	D. Worked, S. Fed, C. Layton	String
Roadway Inspection	YES	String
Structures Inspection	YES	String
FHWA Report required	NO	String
Erosion Control Inspect	NO	String
Painting Inspection	NO	String
Traffic Counting Loops	NO	String
Electrical Inspection	NO	String
Landscaping Inspection	NO	String

Buttons: Submit, Parameters, Subset, Cancel

Process	Type	Description
MAJITMK	Custom	
WD	Custom	
KYDIARY	Custom	
cat	Custom	
catonly	Custom	
catext	Custom	
SubState	Custom	
ATTACH	Custom	
SubCont	Custom	
subFed	Custom	
DBESUP	Custom	
intcont	Custom	
CHOR	Custom	
MLSTNA	Custom	
dwral	Custom	
TAIMCSV	Custom	TAIM Report CSV for period update
FINALEST	Custom	FINAL ESTIMATE DATA SHEET
FCI	Custom	Final Inspection Report

Screen shot of the process to run for final inspection report

Inspection Report

Print Date: 10/22/2010

Revised 04/17/2010

COMMONWEALTH OF KENTUCKY
TRANSPORTATION CABINET
DEPARTMENT OF HIGHWAYS
DIVISION OF CONSTRUCTION
FINAL CONSTRUCTION INSPECTION REPORT

Contract ID: 11283	Owner: KY Contract: BRACER	Project No.: FPC 611 0116 B00731	Length
Date Completed: 09/23/10	Type of Construction: BRIDGE INFRASTRUCTURE REHAB	Start/End: BLOOMINGVILLE-CHATELAIN ROAD	
Engineered By: Robert G. Harris P. E.	Contractor: NIXON & BOULAND INC		

APPLICABLE INSPECTION DATES

Contract Inspection Date: 10/21/2010

This report represents necessary acceptance only. The contractor will not be relieved of responsibility for the project until he has completed in a manner satisfactory to the Department of Highways any corrective action or additional work outlined on final inspection reports and/or which may be designated by representatives of the FHWA resulting from their inspections. Date of formal acceptance will be established and indicated on a subsequent report issued after compliance as outlined herein.

DESCRIPTION

BRIDGE OVER LOGAN CREEK (CP 15.47) BRIDGE SUPERSTRUCTURE REHAB

COMMENTS

The project appears to have been constructed without substantial conformance to the requirements of the project's plans, proposal, and applicable specifications except as noted.

Copies to:

Chief/Contract Engineer
Project Engineer
Contractor

Harris, Robert A. (Rob), P.E.
Moore, Craig A.
NIXON & BOULAND INC

Sera Criswell, P.E.
Director, Division Of
Construction
21 Robert G. Harris, Jr., P.E.

Example final inspection report.

8

Change Orders
Getting it Right the First Time


**What is the Procedure and How
do I Follow It?**

Presented By: Rachel Mills and Beth Combs


Important Items to Consider

- Cabinet's goal is not to eliminate change orders
- Objective is to complete the project as designed
- **Avoid project creep and enhancements**

PLANNED



CONSTRUCTED



Tools Available to You

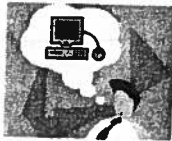
- Change Order Procedure Dated February 25, 2011
 - Follow this procedure
- SiteManager user manual
- Construction guidance manual
 - Chapter 300-Contract Administration
 - Change order procedure is more up to date
- Change Order Review Checklist
- Central office liaison
- Beth Combs or Rachel Mills

Important Items

- ⊙ A change order is a Contract document
- ⊙ Important to completely define all expectations in writing on the change order
- ⊙ Do Not assume anything
- ⊙ If it isn't on the change order, then it isn't part of the Contract
- ⊙ Use proper grammar and check spelling
 - > SiteManager does not have spell check ☹
 - > Can use Microsoft word and paste into SiteManager

THE FIRST STEP

- Write the change order
 - Do not let it sit until the project is over
- When writing the change order the following questions must be answered clearly:
 - WHAT?
 - WHERE?
 - WHY?
 - WHEN?
 - HOW?



Getting the Change Order Written Correctly

- ⊙ **EVERY** change order must address contract time (even if it is not affected)
 - > Examples in change order policy
- ⊙ **EVERY** item must have a standard explanation code
- ⊙ **EVERY** item must have a detailed explanation
 - > Why, Where, When, How, Who????
 - > Can someone completely unfamiliar with this project read the change order and understand why the change was needed and what was done??

CHANGE ORDER Dos & Don'ts

- ⊙ Do not reference names of individuals
- ⊙ Supplemental items must be numbered beginning with 8000, 8001, 8002, etc.
- ⊙ Supplemental items must include cost justification
 - > Comparison to the average unit bid price
 - > Unit bid price of an item on a project that is in a similar location/region
 - > Cost plus documentation
- ⊙ Supplemental descriptions with dimensions
 - > Use FT or IN instead of ' or "

CHANGE ORDER Dos & Don'ts Continued

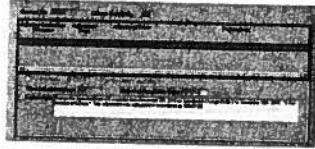
- ⊙ Reference standard drawings & standard specifications in explanations
- ⊙ Include station numbers and plan sheet numbers in explanations
- ⊙ Fuel/Asphalt Adjustments must include the letting date and the date which work was completed in the explanation
- ⊙ Seek comments from Project Development Branch Manager and Chief District Engineer

CHANGE ORDER Dos & Don'ts Continued

- Attach supporting documentation for change order in ProjectWise
 - Many instances where change orders have referenced supporting documentation on file in the Section Engineer's office, but when the documents were requested, they were unavailable
- Do not imply that the supporting documentation is available if it is not
- Use the correct spec year...Pay Attention

Time Explanations

- Update the adjusted completion date when contract time is affected
- If contract time is unaffected, place current specified completion date in the field



Examples of Not the Best Change Order Time Explanations

- Time Explanations:
 - The Contractor said he needed 3 more days
 - Blank
 - Contract time unaffected because the project has already been called complete
 - Extend the contract 25 working days



Good Example of Time Explanation

- Contract time is unaffected by the work added in this change order.
- The original completion date of this contract was January 1, 2011. Change order 1 moved the completion date to January 15, 2011. This change order will change the specified date of completion to January 30, 2011.

Good Example of Time Explanation

- Extend the working days from 100 as specified in the contract to 110. A net increase of 10 working days. The additional working days were calculated using the time/money ratio in accordance with specification 108.07.02.

Examples of Not the Best Change Order Item Explanations

- Explanations for work:
 - Blank
 - The sanitary sewer was extended down Jackson Road because the Mayor of Looneyville requested it
 - The price for the additional work is justified, because the Contractor said it would cost that much to complete the work
 - Insufficient quantities were established in the proposal. The additional quantity provides sufficient funding to complete payment of the contract

Examples of Good Explanations

- The original plans for this project include widening the existing interstate off-ramp to accommodate an additional lane of traffic. The typical section for this ramp shows the new pavement flush with the existing ramp with no work being performed to the existing pavement. However, the existing asphalt surface was placed in 1998 and is starting to show signs of distress, most notably near the bottom of the ramp at the stop bar. Therefore, in order to improve the overall quality of the finished project and to lengthen the life cycle of the existing asphalt, it is agreed to mill 1.5 inches of existing asphalt surface allowing for the old ramp to be paved concurrently with the new, once the widening has been completed, with 1.5 inches of asphalt surface.

Examples of Good Explanations

- As per project plans, a section of the current KY 122 is to be relocated between sta 3+75 and sta 8+25. The relocation requires a significant hillside side cut. A 10" water main belonging to Southern Water and Sewer District exist in the ditch line through the entire length of the relocation. The water main is an older line constructed of very brittle material and located relatively shallow in the ditch. In its current location the water main can not withstand the stresses of the heavy construction equipment required to perform the excavation work. In an effort to minimize the disruption of water services to the several thousand residents south of the project. A decision was made to temporarily relocate a 6" waterline into the existing road. The waterline will be trenched into roadway with a minimum cover of 30". Stone will be used for bedding around the waterline with the remainder of the trench backfilled with concrete to the existing grade of asphalt.

Does this make sense?

- Prior to resurfacing this section of roadway had existing shoulder rumbles. The contract did not have rumble strips setup. US 4000 is a prime candidate for sawed rumbles, due to it's large traffic volume, 11.5 lane width, and it's 2' wide shoulders. There were no AUB prices for this item because it is a new item. However, SHOULDER RUMBLE STRIPS-SAWED, an item similar in nature, had an AUB price of \$0.43 - \$0.50 per ft for 2008. An extension of 10 days to the contract is to allow additional time for completing shoulder rumble installation strips before the Thanksgiving Holiday.

Preventing Change Orders without Explanations

- Run the change order report in SiteManager before you send it for review
- This will prevent blank change orders from being submitted
- This office receives numerous change orders with no explanation for time adjustment or item explanations



What is a Critical Change Order and How are they Handled?

- ⊙ Anything that will stop work on a project
 - > Central office considers very few of the change orders "critical"
- ⊙ Obviously, critical items cannot go through the normal SiteManager change order process
- ⊙ A detailed email request to the PD&P branch manager and central office liaison is preferred
- ⊙ You will receive an approval from your liaison or the Director of Construction

Please Note the Following:

- ⊙ Every change order is not critical
- ⊙ We must move away from the "email" approvals and get the change orders written
- ⊙ Currently working on the following percentages:
 - > 30% critical
 - > 65% work completed without anyone knowing
 - > 5% according to procedure

Override Change Orders

- All override change orders are \$0
- An override change order can only be done in central office
 - Contact Beth Combs
 - Contact Rachel Mills when Beth Combs is out of the office or on vacation

Items that Qualify for an Override Change Order

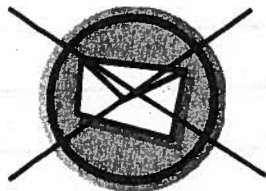
- Milling Reimbursement
- Liquidated Damages
- Non-Specification Material
- Fuel & Asphalt Adjustment
 - If adjustment is negative or if the project has funds to cover the dollar amount
- Lot Pay Adjustment
 - If adjustment is negative or if the project has funds to cover the dollar amount

How To Get an Override Change Order?

- ⊙ Contact Beth Combs by Email with the following information:
 - > Contract Id
 - > Item that you need established
 - > Reason for the Item
- ⊙ This entire process can be completed in one day in most cases
- ⊙ You will be notified once the Change Order has been completed
 - > The item is now available to be included on the next pay estimate

IMPORTANT

- Do not mail override change orders to the Contractor for a signature. A signature is not required on these change orders

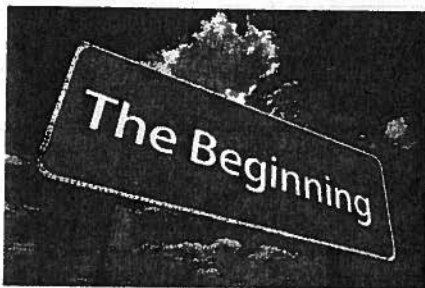


The Use of Extra Work (EW) versus Establishing a New Bid Item

- **DO NOT** use the Extra Work Item on a change order unless you obtain approval from central office construction
 - Problems with SiteManager Materials when (EW) item is used and material testing is involved

Establishing a New Bid Item

- ⊙ A new bid item is the last resort
 - > Review the master list of existing bid items
 - > Can you use an existing item with a supplemental description?
- ⊙ If you cannot make do with an existing item then:
 - > Email Beth Combs with the following information:
 - Contract Id
 - Bid item description
 - Measurement of payment
- ⊙ This process may take up to a day to complete



**SITEMANAGER
AND THE WONDERFUL
CHANGE ORDER
PROCESS FROM**



**DO NOT EMAIL OR
FORWARD CHANGE ORDER
FOR REVIEW IN
SITEMANGER UNTIL THIS
STEP IS COMPLETE!!!!**

- Email a copy to your branch manager for review and approval
- Branch manager needs to review!!!!
 - This is not happening in many instances
- Branch manager needs to ensure that the change order has fully outlined the expectations of the Contractor & Cabinet in detail.
 - Use Change Order Review Checklist

The "Pre-SiteManager" Draft

- Section Engineer should send a copy of the change order, either PDF or HTML, to the following:
 - PD&P Branch Manager
 - Chief District Engineer
 - Contractor
 - **DO NOT SEND A COPY TO BETH, STEVE CRISWELL, CONSTRUCTION LIAISON OR BOB LEWIS**

The DRAFT

- ◎ Forward to the following individuals:
 - > Section Supervisor
 - > PD&P Branch Manager
 - > Central Office Change Order Manager
 - > Div. of Construction Field Liaison
 - > Director of Construction
 - > Assistant State Highway Engineer for PD&P
- Email a copy the following:
 - PD&P Branch Manager
 - FHWA if applicable
 - FHWA will notify the central office liaison and section supervisor by email of their decision

Funding Availability

- Some accounts are limited
 - FE02 (Bridge Maintenance)
 - CB06 (Rural Roads)
 - FD39 (Secretary's Discretionary)
- Please notify the central office field liaison if you (Section Engineer) have obtained funding approval

Getting the Approvals in SiteManager "Draft" Status

- ◎ Section Engineer
- ◎ PD&P Branch Manager
 - > Central Office Construction **WILL NOT** approve the change order district approvals have been applied
- ◎ The central office construction field liaison will review the change order
 - > Failure to complete any requested changes or to provide additional information will delay processing

VERY IMPORTANT!!!!

- Notify Beth Combs if you have made changes to the "draft" change order after it was submitted
 - Specifically, changes to the \$\$ amount
- If the original "draft" change order dollar amount does not match the signed copy submitted by the Contractor, the change order will be delayed

Keeping Track of the Change Order

- ◎ The Section Engineer or designee must keep track of the change order in SiteManager
- ◎ The change order cannot be switched to pending until the Assistant State Highway Engineer for Project Delivery and Preservation has applied his/her approval
 - > There is a tool to assist with this.... Project Engineer's Resource Center
 - Updated List of Reviewed Change Orders

Pending Status

- Section Engineer switch the change order to pending in SiteManager ** Do not notify Beth when you do this**
- Section Engineer
 - Print change order & sign
 - Print in portrait format, Not landscape
 - Send to CDE for signature
 - Section Engineer or CDE mails to the Contractor

Applying Approvals in "Pending" Status

- ⊙ Contractor (Section Supervisor) - Date mailed to Contractor
 - ⊙ Deputy State Highway Engineer - Date signed copy received in SHE office
 - ⊙ State Highway Engineer's Office - Date the State Highway Engineer Approved
 - ⊙ Final Approval MARS Change Order - Date accounts approves funding
- > These items can now be included on an estimate

Will I Be Notified When the Change Order is Approved?

- ⊙ Beth Combs will email a PDF copy of the approved change order and attach a copy to the contract header in SiteManager for contracts let before September 17, 2010
- ⊙ Beth will email the ProjectWise link for contracts let on September 17, 2010 and after
- ⊙ Signed copies will be emailed to FHWA
- ⊙ A hard copy will be mailed to the Contractor

What are the Challenges Preventing Change Orders from being Written in a Timely Manner?



How Can We Help?

- We cannot get rid of SiteManager
- We can listen and present your ideas to the decision makers
- We want to make the process as efficient as possible
- So, lets hear your thoughts....



QUESTIONS



PLEASE CALL OR EMAIL IF YOU NEED ASSISTANCE OR HAVE ANY QUESTIONS

REMEMBER..... WE ARE HERE TO HELP YOU!!!!!!

THANKS BETH COMBS & RACHEL MILLS

Thank You!



**Division of Construction
Change Order Procedure
February 25, 2011**

CHANGE ORDERS IN "DRAFT" STATUS

Step 1: Section Supervisor or Designee writes a change order in SiteManager.

Step 2: Once the change order is complete with all necessary items, detailed explanations and standard explanations, a PDF or HTML copy is sent out for review and comment **ONLY** to the PDP Branch Manager. The PDP branch manager must review the change order to ensure that all necessary information is included.

- Do not reference names of individuals in change orders
- Every change order must address contract time. A statement must be included even when contract time is unaffected by the change. (SEE ATTACHMENT for example explanations)
- Fuel/Asphalt adjustments need the letting date and dates of the work that the adjustment applies to
- Each item must have a standard explanation code (SEE ATTACHMENT for codes currently available in SiteManager)
- All supplemental items must include a statement justifying the costs (For example: a comparison of the supplemental item to the average unit bid price or the unit price of an item on a project that is in similar region to the current project). Also, supplemental items are to be numbered beginning with 8000 and increasing.
- Each item must have a detailed explanation
- Reference to standard specifications/standard drawings when possible
- Include station numbers and plan sheets when possible on explanations
- Seek comments from the Project Development Branch Manager and Chief District Engineer
- Provide supporting documentation for change orders. If change order references information is on file, then that information must be sent with the change order. (There have been many instances where a note was included that the information was on file in the section office and for whatever reason the information was unavailable when needed)

MAKE SURE THE CHANGE ORDER PROVIDES A DETAILED DESCRIPTION WITH A CLEAR UNDERSTANDING OF WHY THE CHANGES WERE MADE. THE GOAL OF THE DESCRIPTION IS FOR SOMEONE UNFAMILIAR WITH THE PROJECT TO BE ABLE TO READ THE CHANGE ORDER AND HAVE AN UNDERSTANDING OF WHY THE CHANGE WAS MADE. PLEASE BE CONCISE.

WHAT? WHERE? WHY?

Step 3: **DRAFT NOT READY FOR REVIEW IN SITEMANAGER.** After the PDP branch manager and section supervisor agree with the change order, and then the section supervisor should send a PDF or HTML copy of the SiteManager change order *funding* report (CHOR) to the PD&P branch manager and Chief District Engineer (CDE). **The section supervisor should also send a copy to the Contractor to review as well. Sending the change order to the Contractor may help with instances where items are inadvertently omitted or other instances where incorrect prices are included.**

*****DO NOT SEND AN EMAIL COPY TO THE DIRECTOR OF CONSTRUCTION, THE ASSISTANT STATE HIGHWAY ENGINEER, CENTRAL OFFICE LIAISON OR CHANGE ORDER MANAGER.*****

DO NOT FORWARD THE "DRAFT" CHANGE ORDER FOR REVIEW IN SITEMANAGER UNTIL THE PD&P BRANCH MANAGER HAS REVIEWED AND APPROVED THE DRAFT COPY.

******Many instances where the PD&P Branch Manager is not reviewing and all review is being done by the Central Office Field Liaison. This step is important in preventing this from occurring. ******

Step 4: Forward the "draft" change order for review in SiteManager to the following:

- Section Supervisor
- District Branch Manager for PD&P
- Central Office Change Order Manager
- Central Office Div. of Construction Field Liaison
- Director of Construction
- Assistant State Highway Engineer for Project Delivery and Preservation

****Step 4a: Email a copy of the change order to FHWA if applicable and the district branch manager for PD&P. FHWA will email their response to the change order to the central office liaison and section supervisor.**

Step 5: The central office field liaison or section supervisor should check for funding approval on the following project types: FD05 (State Resurfacing), CB06 (Rural

Secondary) and FE02 (Bridge Maintenance). If the section supervisor obtains funding approval, he/she should email the approval to their appropriate central office field liaison.

Step 6: The Section Engineer and PD&P Branch Manager **must apply their approval in SiteManager** before the Central Office Field Liaison will review and approve the change order.

****Step 6a:** Failure to complete any request to provide additional information or to make suggested changes by Central Office, will delay processing.

Step 7: The Section Engineer or designee must keep track of the change order within SiteManager. Once the Assistant State Highway Engineer for Project Delivery and Preservation has approved the change order in draft status, it can then be switched to pending status.

*****VERY IMPORTANT*** IF CHANGES ARE MADE TO THE CHANGE ORDER \$\$ AMOUNT AFTER IT IS FORWARDED FOR REVIEW IN SITEMANAGER, PLEASE NOTIFY THE CENTRAL OFFICE CHANGE ORDER MANAGER. FAILURE TO DO THIS WILL DELAY PROCESSING OF THE CHANGE ORDER WHEN IT IS RECEIVED FROM THE CONTRACTOR.*******

****PLEASE CHECK THE PROJECT ENGINEER'S RESOURCE CENTER LOCATED ON THE DIVISION OF CONSTRUCTION'S WEBPAGE FOR AN UPDATED LIST OF REVIEWED CHANGE ORDERS.****

http://transportation.ky.gov/construction/sm/Change_orders/tsmp-co_review.xls

CHANGE ORDERS IN PENDING STATUS

Step 1: The Section Engineer should switch the change order status in SiteManager from "Draft" to "Pending" after the Assistant State Highway Engineer for Project Delivery and Preservation approves it in SiteManager.

****DO NOT SEND AN EMAIL TO THE CHANGE ORDER MANAGER STATING THAT THE CHANGE ORDER HAS BEEN SWITCHED TO PENDING STATUS.****

Step 2: The Section Supervisor prints, signs the change order and then forwards it to the CDE for his/her signature.

Step 3: The Section Engineer or CDE's office should mail the change order to the Contractor for signatures along with a letter stating that the change order is to be returned to the following address:

Kentucky Transportation Cabinet
State Highway Engineer's Office
200 Mero Street, 6th Floor
Frankfort, Kentucky 40622

Step 4: The Section Engineer should then forward the pending change order for final approval in SiteManager to the following:

- Contractor- Select the Section Supervisor (Approves the change order when it is mailed to the Contractor)
- Deputy State Highway Engineer (Approves the change order when the signed copy is received from the Contractor)
- State Highway Engineer's Office (Approves the change order when the State Highway Engineer signs it)
- Final Approval MARS Change Order (Approves the change order when the Div. of Accounts approves the funding for the change order)*

* Please note that the period of time between the Commissioner of Highway's approval and the EMARS final approval may take a couple of weeks. Final approval cannot be applied in SiteManager (released for payment) until funds have been received from Program Management to cover the money involved in the change order. However, if it has been longer than a month, please inquire about the status of the change order with Central Office Construction. It is important to remember that a pay estimate cannot be completed on a change order item until it has obtained "FINAL APPROVAL" in SiteManager.

Step 5: After everyone has applied the final approvals in SiteManager, the Change Order Fund Manager will complete the following:

- Attach a copy of the signed change order to the contract header in SiteManager for Contracts let prior to September 17, 2010
- Place a copy of the signed change order in ProjectWise for Contracts let September 17, 2010 and beyond.
- Email a copy or ProjectWise link (depending on letting date) of the signed change order to the PD&P Branch Manager and the District Change Order Creator
- Email a copy to FHWA
- Mail a copy to the contractor (Goal is to move to electronic communication)

CRITICAL CHANGE ORDERS – A critical change order is anything that will stop work on a project. **Please note that very few change orders are CRITICAL.**

Step 1: The Section Supervisor or designee will send an email detailing the reason for the change with an estimated price to complete the work. Please include a description of why the change is an emergency and verbal approval is necessary. This email should be sent to the Branch Manager for Project Delivery and Preservation (PDP) and the Central Office Field Liaison.

Step 2: The Central Office Field Liaison will forward the email to the Director of Construction along with any comments. The Central Office Field Liaison will obtain FHWA approval if applicable.

Step 4: The Director of Construction can give verbal approval to proceed with critical change order work. If the item is a large sum of money, then the Executive Director for Project Delivery and Preservation (PDP) will have to be consulted. Every effort will be made to get an expedited decision.

Step 5: The Central Office Field Liaison or Director of Construction will notify the PD&P Branch Manager and Section Supervisor of the decision concerning the requested critical change order item.

Step 6: If verbal approval is given, enter the change order into SiteManager as soon as possible. The intent is for the change order to be drafted immediately after receiving verbal approval.

OVERRIDE CHANGE ORDERS

What is an override change order? An override change order is a zero dollar change order that is used to establish an item in a contract. Override change orders can be used to create items such as Liquidated Damages and Non-Specification Material. Both of these items are part of the contract, however, there was no bid item established in the original contract. The override change order function eliminates Line Item Adjustments and allows for better tracking of these items.

How do I get an override change order? Email the Division of Construction Change Order Manager the following: contract id, item that you need established, and reason for this item. In most cases, the entire process can be completed within one day. Once you receive notification that the override change order has been completed, you may use the item on the next estimate.

Examples of Override Change Order Items:

- Milling Reimbursement
- Liquidated Damages
- Non-Specification Material
- Fuel & Asphalt Adjustment (If the adjustment is negative or when the project has a surplus of funds to cover a positive amount)
- Lot Pay Adjustment (If the adjustment is negative or when the project has a surplus of funds to cover a positive amount)

*****DO NOT MAIL OVERRIDE CHANGE ORDERS TO THE CONTRACTOR FOR A SIGNATURE. A SIGNATURE IS NOT NEEDED. *******

ESTABLISHING A NEW ITEM

Prior to getting an item established, the section engineer should examine current bid items that are available within the system. If there is an existing bid item that could be used with a supplemental description to further describe the new supplemental item, this should be done rather than creating another bid item.

The use of the “extra work” (EW) bid item is strongly discouraged and should not be used without obtaining prior approval from central office construction. The extra work item creates problems within the SiteManager Materials module when there is any type of testing involved.

If the above methods have failed and a new bid item is needed, below is the process for getting a new bid item established.

Step 1: Please email the Central Office Change Order Manager requesting that a new item be established. Include the following information on the email: contract Id, Bid Item Description and Measurement of Payment for the item.

Example: A project engineer requested that a bid item be established for the following Grout for Box Beams (LF) for the 2008 spec year. SiteManager contained a bid item for Grout for the 2004 spec year. So, the following action was taken:

Bid Item for the 2008 Spec Year for the following was established:
GROUT L.F. 2008 Spec Year

Explanation ID	KYTC Defined Standard Text
001	Asphalt Lot Pay Adjustments according to Standard Specifications
005	Utility Issue – Extra Work is required as a result of a Utility Issue
004	Contract Omission – Extra Work is required as a result of a Contract Omission.
003	Fuel and Asphalt Adjustments.
006	Contract Item Overrun – Extra Work is required as a result of a Contract Item Overrun.
007	Geotechnical Issues – Extra Work is required as a result of Geotechnical Issues.
008	Owner Induced Enhancement – Extra Work is required to improve or enhance the project.
009	Environmental Issues – Extra Work is required to comply with environmental laws and specifications.
010	Contract Incentive – The Project Proposal requires the Contractor to be compensated by the Department for the agreed upon prescribed Incentive.
011	Project renewal for the subsequent calendar year.
012	Accounting Adjustment.
013	Value Engineering Proposal.
014	Cost is less than or equal to 110% of the average unit bid price.
015	Itemized cost breakdown supplied by the contractor including equipment, labor materials, and time needed to perform proposed work.
016	Cost comparison to the competitive bid contracts in an area or district for items similar to scope of work.
017	Item special in nature, unit price/cost justified by the Contractor.
018	Cost Plus Worksheets (Documentation for cost plus worksheet attached to the change order as supplemental data.)
002	Ride Quality Adjustment.
019	Formal Partnering.
020	Contract Item underrun.
021	Claim Settlement.

Explanation ID	KYTC Defined Standard Text
022	Steel Price Adjustment
028	Milling Reimbursement
050	Contract renewal as agreed upon in the current contract for the subsequent calendar year. All provisions of the original contract will apply to this renewal.
040	Fuel and asphalt adjustment will be calculated using 1/1/06 Supplemental to the Standard Specification for Section 109.07 Price Adjustments for work performed after 7/1/05 per 5/1/06 memo.
030	The Fuel and Asphalt Adjustments difference between supplemental specification Section 109.07 from 1/1/06 and standard specification Section 109.07 of applicable specification book will be non-participating Federal Funds
023	Liquidated Damages
025	Non-Specification Material to Remain in Place
024	Specification/Special Note Change
026	Incorrect Project Wage Rates were included in the contract when let. This item is to reimburse the contractor the difference between wage rates as bid and the correct wage rates that should have been included in the contract.
027	This item shall include all labor, equipment, materials and overhead necessary to complete this item of work.

Examples of Time Adjustment Explanations

1 Contract Time is Unaffected.

Working Days Contract

- 2 Extend Working Days from _____ as Specified in the contract to _____.
"A Net Increase of _____ Working Days."
- 3 Extend Working Days from _____ as Specified in Change Order ____ to _____.
"A Net Increase of _____ Working Days."

Calendar Day Contract

- 4 Extend Calendar Days from _____ as Specified in the contract to _____.
"A Net Increase of _____ Calendar Days."
- 5 Extend Calendar Days from _____ as Specified in Change Order ____ to _____.
"A Net Increase of _____ Calendar Days."

Specified Completion Date Contract

- 6 Change the Specified Date of Completion from _____ as Specified in the contract to _____. "A Net Increase of _____ Days."
- 7 Change the Specified Date of Completion from _____ as Specified in Change Order ____ to _____. "A Net Increase of _____ Days."

QUICK CHANGE ORDER REVIEW CHECKLIST

	Yes	No
1. Does the change order address contract time?		
2. Check spelling.		
3. Check grammar.		
4. Is the change order written in a manner such that someone who is unfamiliar with the project can understand what was done and why it was done?		
5. Do all items have standard explanations?		
6. Do all items have detailed explanations?		
7. If supplemental items are included on the change order, are they number correctly? (8000, 8001)		
8. Do supplemental items contain prices justifications?		
9. Is supporting documentation available in ProjectWise if it is referenced in the change order?		
10. Do fuel/asphalt adjustment change orders contain letting date and date which work was completed?		

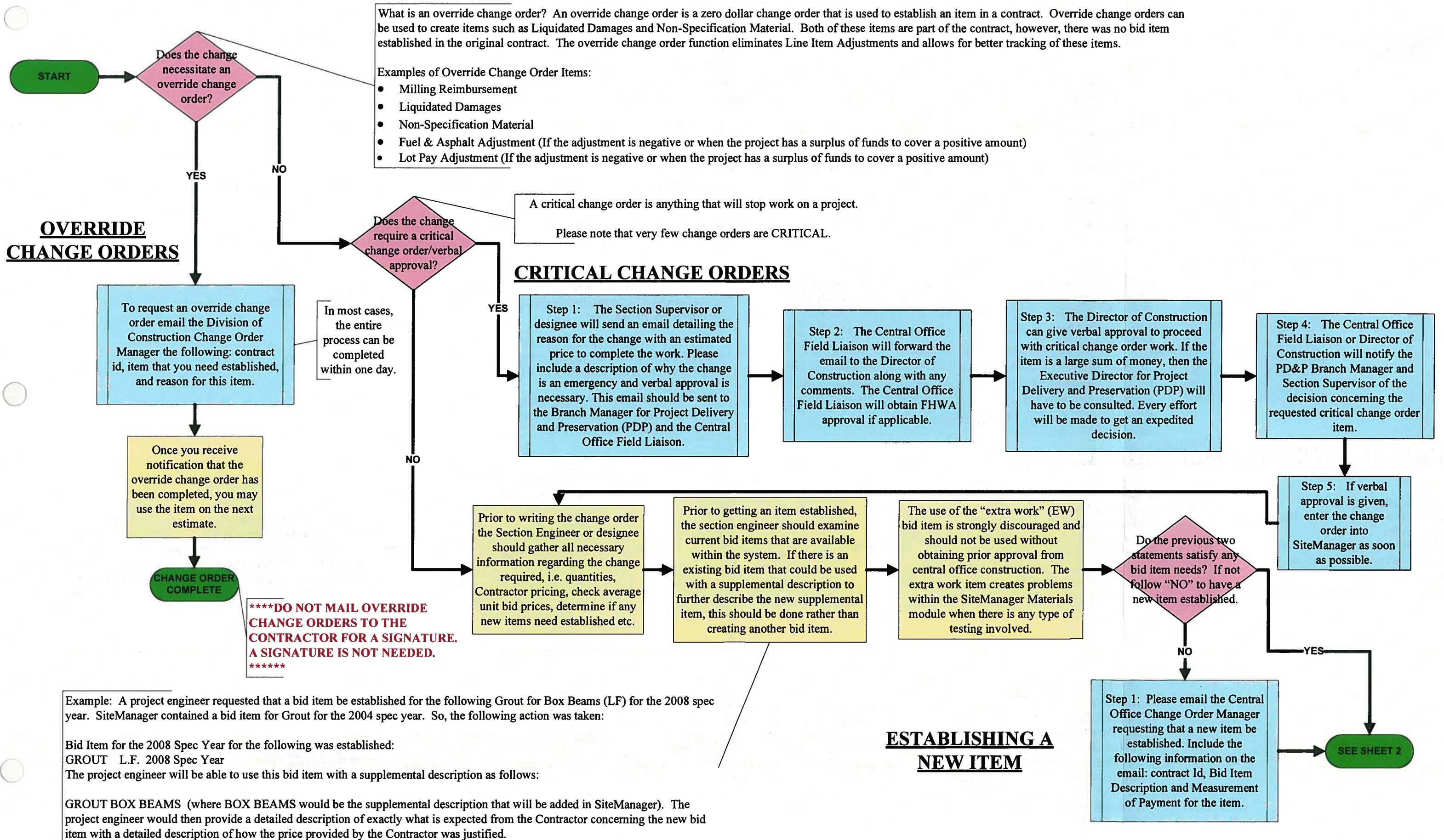




Division of Construction Change Order Procedure

February 25, 2011

CHANGE ORDERS PRIOR TO "DRAFT" STATUS



What is an override change order? An override change order is a zero dollar change order that is used to establish an item in a contract. Override change orders can be used to create items such as Liquidated Damages and Non-Specification Material. Both of these items are part of the contract, however, there was no bid item established in the original contract. The override change order function eliminates Line Item Adjustments and allows for better tracking of these items.

Examples of Override Change Order Items:

- Milling Reimbursement
- Liquidated Damages
- Non-Specification Material
- Fuel & Asphalt Adjustment (If the adjustment is negative or when the project has a surplus of funds to cover a positive amount)
- Lot Pay Adjustment (If the adjustment is negative or when the project has a surplus of funds to cover a positive amount)

A critical change order is anything that will stop work on a project.
Please note that very few change orders are CRITICAL.

CRITICAL CHANGE ORDERS

In most cases, the entire process can be completed within one day.

******DO NOT MAIL OVERRIDE CHANGE ORDERS TO THE CONTRACTOR FOR A SIGNATURE. A SIGNATURE IS NOT NEEDED.******

Example: A project engineer requested that a bid item be established for the following Grout for Box Beams (LF) for the 2008 spec year. SiteManager contained a bid item for Grout for the 2004 spec year. So, the following action was taken:

Bid Item for the 2008 Spec Year for the following was established:
GROUT L.F. 2008 Spec Year
The project engineer will be able to use this bid item with a supplemental description as follows:

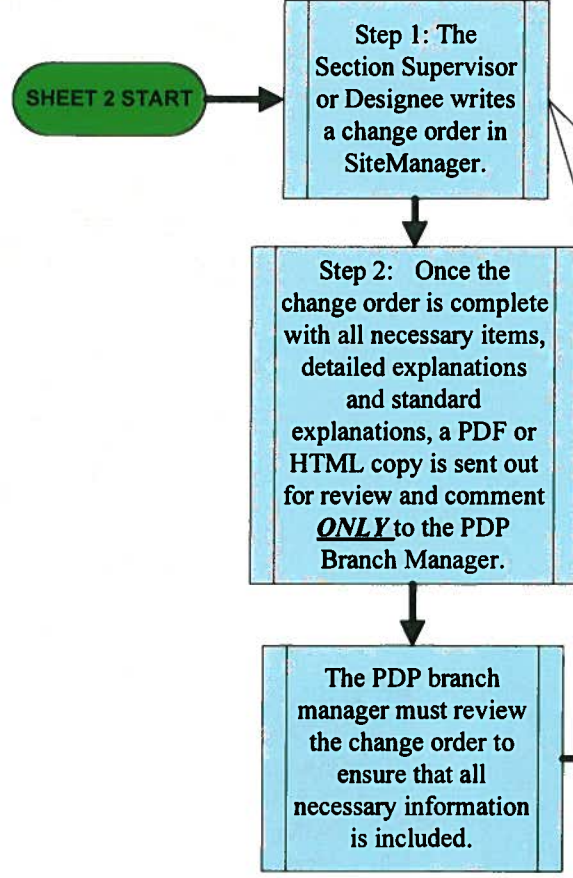
GROUT BOX BEAMS (where BOX BEAMS would be the supplemental description that will be added in SiteManager). The project engineer would then provide a detailed description of exactly what is expected from the Contractor concerning the new bid item with a detailed description of how the price provided by the Contractor was justified.

ESTABLISHING A NEW ITEM

Division of Construction Change Order Procedure

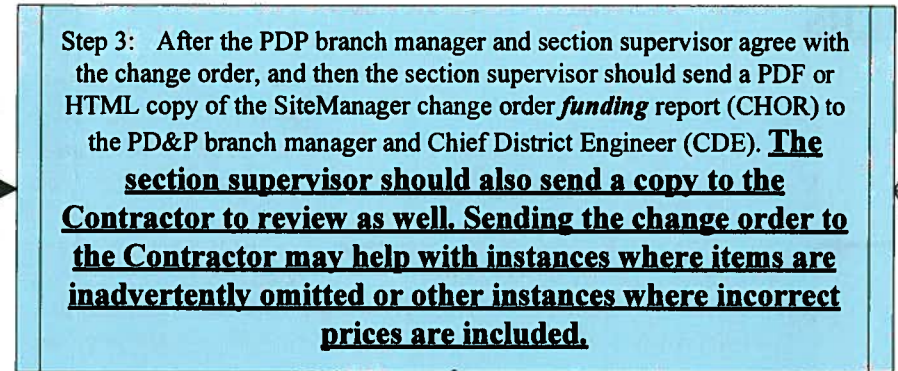
February 25, 2011

DRAFT NOT READY FOR REVIEW IN SITEMANAGER



- Do not reference names of individuals in change orders
- **Every change order must address contract time.** A statement must be included even when contract time is unaffected by the change. (See the Change Order Procedure for example explanations)
- Fuel/Asphalt adjustments need the letting date and dates of the work that the adjustment applies to
- Each item must have a standard explanation code (See the Change Order Procedure for codes currently available in SiteManager)
- **All supplemental items must include a statement justifying the costs** (For example: a comparison of the supplemental item to the average unit bid price or the unit price of an item on a project that is in similar region to the current project). Also, supplemental items are to be numbered beginning with 8000 and increasing.
- Each item must have a detailed explanation
- Reference to standard specifications/standard drawings when possible
- Include station numbers and plan sheets when possible on explanations
- Seek comments from the Project Development Branch Manager and Chief District Engineer
- Provide supporting documentation for change orders. If change order references information is on file, then that information must be sent with the change order. (There have been many instances where a note was included that the information was on file in the section office and for whatever reason the information was unavailable when needed)

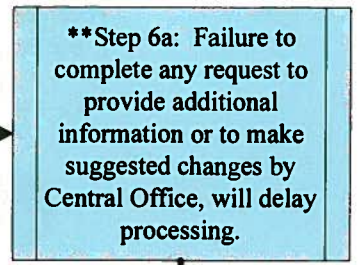
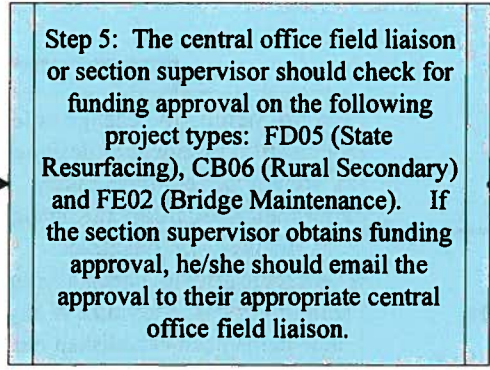
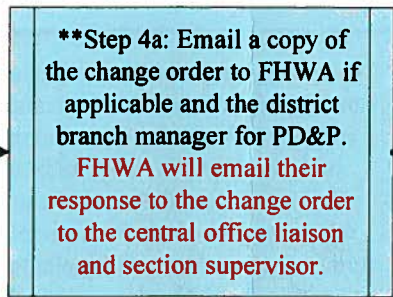
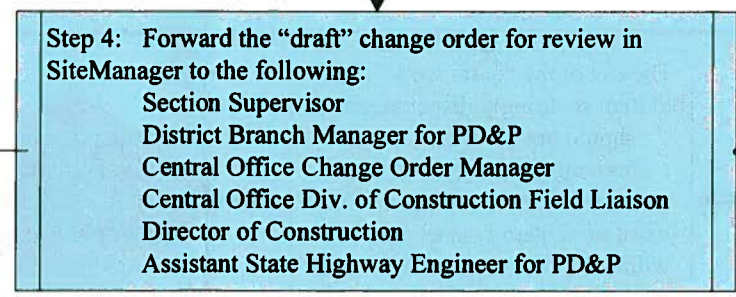
MAKE SURE THE CHANGE ORDER PROVIDES A DETAILED DESCRIPTION WITH A CLEAR UNDERSTANDING OF WHY THE CHANGES WERE MADE. THE GOAL OF THE DESCRIPTION IS FOR SOMEONE UNFAMILIAR WITH THE PROJECT TO BE ABLE TO READ THE CHANGE ORDER AND HAVE AN UNDERSTANDING OF WHY THE CHANGE WAS MADE. PLEASE BE CONCISE.



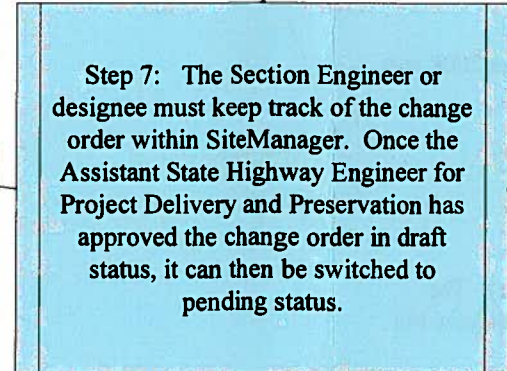
- ****DO NOT SEND AN EMAIL COPY TO THE DIRECTOR OF CONSTRUCTION, THE ASSISTANT STATE HIGHWAY ENGINEER, CENTRAL OFFICE LIAISON OR CHANGE ORDER MANAGER.****
- DO NOT FORWARD THE "DRAFT" CHANGE ORDER FOR REVIEW IN SITEMANAGER UNTIL THE PD&P BRANCH MANAGER HAS REVIEWED AND APPROVED THE DRAFT COPY.
- ****Many instances where the PD&P Branch Manager is not reviewing and all review is being done by the Central Office Field Liaison. This step is important in preventing this from occurring. ****

CHANGE ORDERS IN "DRAFT" STATUS

Current List of Individuals
 Central Office Change Order Manager – Beth Combs
 Assistant State Highway Engineer for Project Delivery & Preservation – Bob Lewis
 Director of Construction – Steve Criswell



*****VERY IMPORTANT*** IF CHANGES ARE MADE TO THE CHANGE ORDER \$\$ AMOUNT AFTER IT IS FORWARDED FOR REVIEW IN SITEMANAGER, PLEASE NOTIFY THE CENTRAL OFFICE CHANGE ORDER MANAGER. FAILURE TO DO THIS WILL DELAY PROCESSING OF THE CHANGE ORDER WHEN IT IS RECEIVED FROM THE CONTRACTOR.******



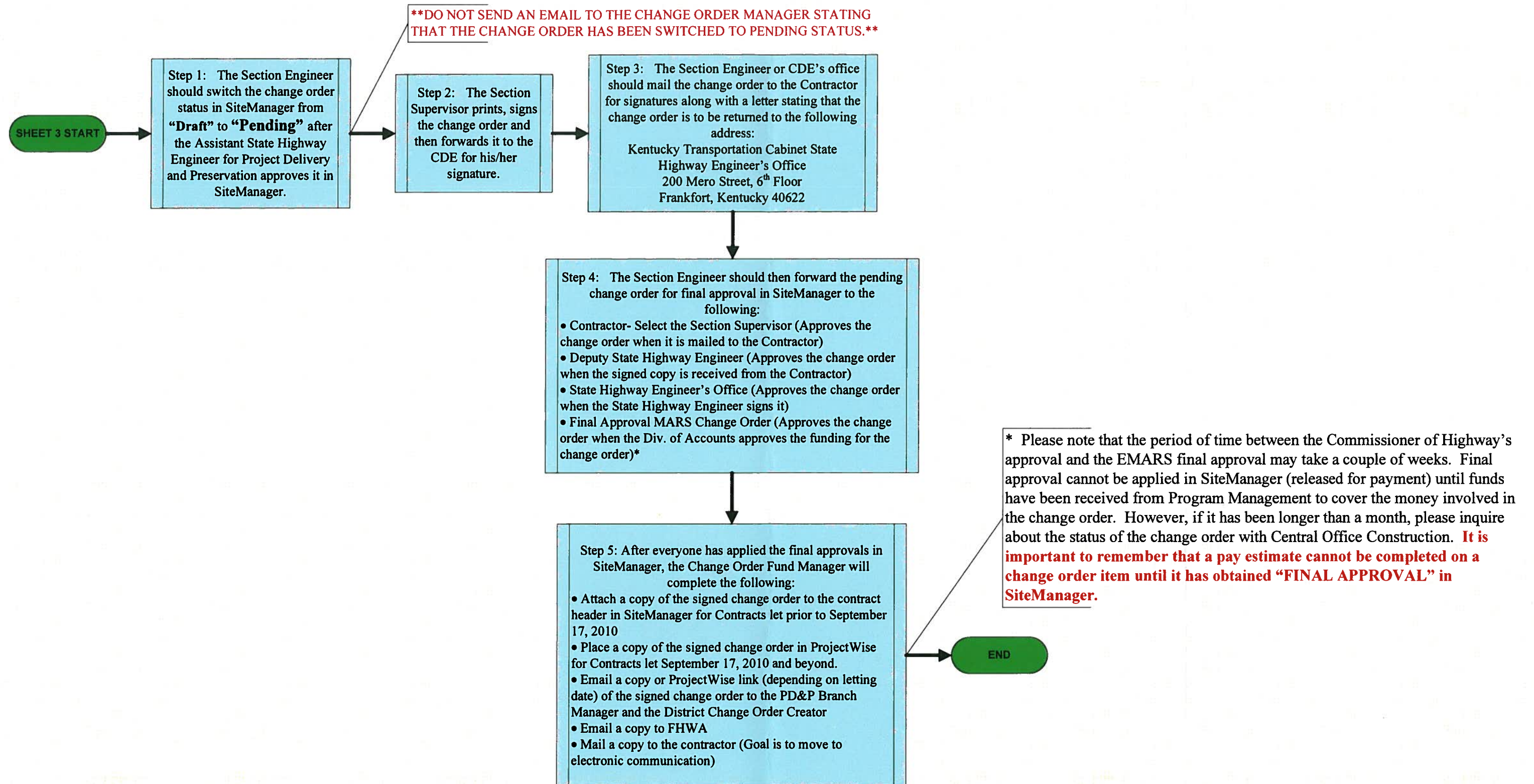
****PLEASE CHECK THE PROJECT ENGINEER'S RESOURCE CENTER LOCATED ON THE DIVISION OF CONSTRUCTION'S WEBPAGE FOR AN UPDATED LIST OF REVIEWED CHANGE ORDERS.** http://transportation.ky.gov/construction/sm/Change_orders/tsmp-co_review.xls**

SEE SHEET 3

Division of Construction Change Order Procedure

February 25, 2011

CHANGE ORDERS IN PENDING STATUS



01

9

PRECONSTRUCTION MEETING

Presenters:
Chris Slone
Jim Simpson and Nasby Stroop

Preconstruction Meeting Preparation

- 2. Responsibility of TEBM
- 3. Review Plans, Specifications:
 - General Notes/Special Notes/Utilities, RR
- 3. Review Design Documents
 - Aerial Photography and Videos
- 4. Site Visit
 - Photographs
- 5. Schedule received 48 hours prior to meeting
- 6. Unapproved materials list
- 6. Eliminate non-applicable (N/A) sections of checklist

Preconstruction Meeting Invitations

- 2. Who
 - Contractor, sub-contractors, FHWA, Utilities, Railroad, Central Office, Construction, Construction Procurement, Maintenance, Materials, District, CDE, Utility Agent, Materials, Traffic, Wage Compliance, EEO, Safety, Official, Public Affairs Officer
- 3. What
 - Include agenda items
 - Special requirements from the contractor (must recent revision of plans)
- 3. When
 - Time of meeting (include time zone)
- 3. Where
 - Street address, room number, contact information

**Preconstruction Meeting
Room & Equipment**

- ▣ Reserve an appropriate size room
- ▣ Provide sign-in sheet (printed names with signatures)
- ▣ Digital recording equipment (pro-card)
 - Voice recorder
 - Extended microphone if required
- ▣ Projector (bar charts, photographs, etc...)
- ▣ Laptop (network connection if required)

Work Ahead of Project

- ▣ Review Plans for Future Problems
 - Anticipate questions from contractor.
 - Review utility relocation status.
 - Be aware of potential ROW issues.
 - Note railroad involvement.
 - Obtain NOI documents from District Design Staff.

Communication is Key

- ▣ Make Contact with Contractor Project Manager or Engineer before Preconstruction Meeting.
 - Request items to be submitted before meeting.
 - Subcontracts and/or lease agreements
 - Written Narrative
 - Know material issues, ie mix designs or experimental items.
- Obtain list of all project contacts prior to avoid confusion.
- Remember Contractor has been planning for project since bid opening.

Do Your Homework

- Be Familiar with Plans and Proposal.
 - General notes
 - Special notes
 - GAP notes
- Review checklist for items that do not apply to current project.
- Drive project to review in-field.

Have a Plan

- Modifying a Plan is Easier than Formulating One.
 - Section staffing on project
 - Material sampling procedures
 - Submittal procedures

Conduct an effective meeting

- DO NOT CONDUCT THE MEETING AFTER THE MEETING. MAKE SURE ALL QUESTIONS ARE ON RECORD.

Precons are meant to be a GOOD START!

1. Use the Precon Checklist so something important is not left out.
2. Do write up the minutes promptly so that all agreements or explanations are not forgotten.
3. Do send out ASAP so that everyone is in the loop with these agreements.
4. When the minutes are sent out, do include backup documentation such as the schedule, R/W agreements, etc.
5. Do send C.O. Construction a copy with CD recording and do place all in the appropriate Projectwise folder.

Any Questions?

We do appreciate your time and attention!

PRE-CONSTRUCTION CONFERENCE CHECKLIST

PROJECT INFORMATION: **The Contractor should complete this page prior to the pre-construction conference.

Project Number and Description: _____
Contract Id: _____ Letting Date: _____ Award Date: _____
Work Order Date: _____ Contract Amount: \$ _____

RESIDENT ENGINEER INFORMATION:

Resident Engineer in Charge of Project: _____
Office Phone Number: _____ Cell Phone Number: _____
Fax Number: _____
Mailing Address: _____

****THE CONTRACTOR SHALL SEND ALL CORRESPONDENCE THROUGH THE RESIDENT ENGINEER.
CONTRACTOR INFORMATION**Please provide an adequate email address as we have
gone to electronic file storage and you will receive important contract documents electronically.**

Prime Contractor: _____
Email Address: _____
Mailing Address: _____

Office Telephone Number: _____
Project Superintendent: _____ Cell phone Number: _____
Project EEO Officer: _____ Company EEO Officer: _____
Project Traffic Coordinator: _____ Telephone Number: _____

Work Zone Traffic Control Supervisor: _____
Work Zone Traffic Control Technician: _____
Engineer or Land Surveyor in Charge of Staking: _____
Certified Asphalt Field Technician: _____

KEPSC Qualified Erosion Control Inspector: _____ Telephone Number: _____
Competent Project Safety Designee: _____ Telephone Number: _____

CONTRACT TIME INFORMATION:

Specified Completion Date Working Day Contract Calendar Day Contract

Completion Date: _____ Number of Working Days: _____

Number of Calendar Days: _____

Expected Begin Date: _____ Expected End Date: _____

Milestone Completion Dates:

Discussion of working day statements being sent to the Contractor as required by Specification 108.07.02.

Discuss how time will be charged on the project with the Contractor.

Review with the Contractor how liquidated damages will be charged to the job given the project time and traffic control limitations.

Time Associated Liquidated Damages: \$ _____ /Day

**There may be other liquidated damages, incentives and disincentives, and lane rental charges that will need to be discussed on a project specific basis.

Notes:

PROGRESS SCHEDULE:

Written narrative (received 2-working days prior to today's date)

**If box is not checked, postpone conference to satisfy specification 108.02.

Is an activity bar chart required? Yes No

**If a bar chart is required, the Contractor will have 30-days to submit the scheduling documents satisfying specification 108.02.

**Note that a bar chart may be required at any point in the project by the Engineer.

Did the Contractor make a verbal presentation of their progress schedule detailing their plan of action as detailed in specification 108.02? Yes No

Discuss the schedule update process and how this process varies according to the scheduling documents required.

**If any of the provisions of specification 108.02 are not met, the Cabinet will withhold progress payments and may apply a penalty equal to 1/2 the liquidated damages rate as detailed in specification 108.02.

Notes:

SUBCONTRACTS/LEASE AND EQUIPMENT RENTAL AGREEMENTS/DBE:

- Submit subcontracts directly to the Division of Construction for approval.
****All subcontractors are to be paid within 14 days after the Prime Contractor is paid on projects with any Federal funding.**
- Submit DBE subcontracts directly to the Division of Construction Procurement.
- Contractors should submit a letter from each DBE subcontractor designating the superintendent and stating that this individual is not affiliated with the Prime Contractor.
- For Federal Aid contracts requiring DBE goals:
 - o The Prime Contractor must make payments to DBE's within 7 days after the Prime Contractor is paid.
 - o The Prime Contractor must submit photocopied payments and a completed DBE Payment form within 7 days of receipt of payment from KYTC to the following:

Office of Civil Rights and Small Business Development
Attn: DBE Payments
6th Floor West
200 Mero Street
Frankfort, Kentucky 40622

- Equipment rental and lease agreements must be approved by the Engineer. It is the Contractor's responsibility to ensure timely submittals of these.
 - o All equipment must be clearly identified.
 - o Operators must be on the contractor's payroll and be paid correct scaled wages as applicable.
 - o Both parties, lessee and lessor, must sign (notarized) request.

Notes:

RIGHT OF WAY ISSUES:

- Open discussion of specific parcels that may not have right of entry or where demolition of specific structures will be required.

Notes:

UTILITY ISSUES:

- Discussion of each utility that is affected by the project and an update on relocation status of each entity.

Notes:

RAILROAD ISSUES:

- Open discussion of any railroad issues that may affect the project. Time allowance for the railroad representative to discuss issues they may have.

*Who is responsible for payment and tracking the time of any required railroad flagmen?

- Kentucky Transportation Cabinet Contractor

Notes:

ENVIRONMENTAL ISSUES:

- Signed BMP plan
- Agreement by Contractor and Cabinet for a date to complete a Pre-disturbance Inspection Report
- Seeding Plan
- Spill Prevention Plan (if applicable) – Required by 40 CFR Part 112 when storing in excess of 1320 gallons of petroleum products (cumulative, including equipment w/ 55+ gallon tanks) on project site. Plan must be prepared in accordance with the Oil Pollution Prevention & Control Act and the Clean Water Act. The plan must be job specific and certified by a Professional Engineer.
- Notice of Intent – Must be filed 48 hours before work begins
- Burning (if applicable) – Perform all burning in accordance to Regulation 401 KAR 63:005.
- Applicable Permits (Corps of Engineers, Division of Water, Etc.)- Copies of these documents are to be posted on project bulletin board and also attached to BMP.
- Storage/Removal of Hazardous Materials
- Bridge/Other Demolition **Notify Local Air Quality Officials to determine necessity of a permit.
- Archeology Requirements

Notes:

BLASTING PLAN: (If applicable)

- The blasting plan must be submitted for acceptance by the Department at least 15 days prior to drilling. The submitted plan should be in compliance with Section 107.11 of the specifications and Special Note 11D when applicable.
- Discuss any disincentives associated with blasting.

Notes:

WASTE OR BORROW SITES:

- Contractor is required to obtain all applicable permits for waste or borrow sites outside of right-of-way. The Contractor was advised as this meeting that waste site or borrow site approval would require the following procedures to be satisfied:

Notes:

WASTE SITES:

- Waste areas must be approved by the Department prior to use. Submittals should be submitted timely and shall include all information and provisions required by Section 204.03.08 of the Standard Specifications.

Proposed Waste Sites- The plans and written request shall contain, but not necessarily be limited to, the following information:

1. Plan, profile, and cross-sections or contours.
 - A. Original and anticipated elevations.
 - B. Sub-surface type and rock line, when applicable.
 - C. Any preparatory work such as, but not limited to, benching and sub-drainage.
 - D. Any necessary data to assure foundation and slope stability.

- E. Existing topography and drainage.
- F. Proposed erosion controls.

**Plan, profile and cross-sections should be scale drawings, submitted on standard-size reproducible plan sheets and should contain enough detail to show the configuration of the original ground and the anticipated configuration of the area upon completion of the waste operations.

2. Written agreement with the property owner.
 - A. If the property owner has any preference in seed mixture for the site, it should be designated in writing.
 - B. No permission will be granted for the property owner to do his own seeding.
3. Approval of the Division of Water Resources of the Department of Natural Resources and Environmental Protection if streams or floodways are affected. ***KPDES permit required if disturbed area > 1 acre.***
4. Approval of other regulatory agencies when applicable, such as, but not limited to, US Forest Service, US Corps of Engineers, US Coast Guard, and Local Planning and Zoning Commissions. If US COE permit is not required, provide written notice from COE stating they have no jurisdiction or permit is not required.
5. Approval of utility owners when utilities are involved.
6. Archeology clearance of the proposed site.
7. A geotechnical investigation may be requested and paid for according to specification 204.03.08.

Notes:

BORROW SITES:

- Borrow sites must be submitted for review and approval by the Resident Engineer. The submittal must contain all information requested by Section 205 of the Standard Specifications. The submittal must contain the following information, but not necessarily limited to the following information:

1. Plan, Profile and Cross-Sections
 - a. Original and anticipated elevations.
 - b. Proposed erosions & pollution controls.
 1. While pit is operational.
 2. Final condition.
 - c. Existing topography and drainage.

**Plans profile, and cross sections should be scale drawings submitted on standard size reproducible plan sheets and should contain enough detail to show the anticipated configuration of the area upon completion of the borrow operations.

2. Written agreement with property owner.
 - a. If the property owner has any preference in seed mixture for the site, it

- should be designated in writing.
- b. No permission will be granted for the property owner to do his own seeding.
 3. Approval of the Division of Water Resources of the Department of Natural Resources and Environmental Protection if streams or flood ways are affected. ***KPDES permit required if disturbed area > 1 acre.***
 4. Approval of other regulator agencies when applicable such as, but not limited to, US Forest Service, Corps of Engineers, US Cost Guard, and Local Planning and Zoning Commissions.
If US COE permit is not required, provide written notice from COE stating they have no jurisdiction or permit not required.
 5. Approval of utility owners when utilities are involved.
 6. Certification to the Department that the site has been reviewed by a professional archaeologist.
 7. Certification that the state historic preservation officer has reviewed the report of the archaeologist and agrees with the findings.

Notes:

HAULING TO OR FROM THE PROJECT:

- The Contractor is responsible for obeying all load limit regulations concerning hauling of materials to the jobsite. **See Construction Memo date August 12, 2005.

**Hauling over new or existing structures must be within legal limits. These may vary based on State or Federal controlling limits. Federal Highways will not pay for anything over legal hauling limitations.

Notes:

MATERIALS: **The Resident should ensure this list is forwarded to the District Materials Engineer.

- List of material suppliers:

What types of pipe will be used on this project?:

Will the drainage structures be CIP or precast?:

Does the project involve greater than 250 cubic yards of concrete? Yes No

**If yes, the specifications require that the producer must be in compliance with Kentucky Method 64-323 and on the List of Approved Materials.

- Mix Designs (asphalt and concrete) must be approved prior to starting work that pertains to that item.

Notes:

NOTICE OF CHANGED CONDITION/DISAGREEMENT:

- Distribute a paper copy to the Contractor and provide website for the online form. (<http://transportation.ky.gov/construction/forms/>)
- Discuss the newly outlined procedure in the Standard Specifications. Claims resolution process outlined specifically in Section 105.13.

**The contractor must file notification of in a timely manner as outlined in specification 105.13.

Notes:

CONTRACTOR/DEPARTMENT PERFORMANCE EVALUATIONS:

- Discuss when the Contractor performance evaluations will be completed. Provide the Contractor a copy of the form.
- Discuss the Department performance evaluation form and the time which they should be completed. Provide the Contractor with the website for the online form. (<http://transportation.ky.gov/construction/forms/>)

Notes:

SAFETY:

- Ensure compliance with sections 107.01.01 and 107.08 of the Standard Specifications.

- All parties must read, sign, and date the Pre-construction Safety and Health Checklist (it can be found electronically at <http://transportation.ky.gov/construction/rescenter>).
- Provide two copies of the Contractor's Construction Safety Program. Provide one copy to the Central Office Division of Construction Safety Liaison (currently Robby Hecker) for review.

Notes:

PUBLIC INFORMATION OFFICER: (IF APPLICABLE)

- Discussion of when notification for lane closures or road closures should be provided. The Department should have 2 week notice at a minimum.

Notes:

TRAFFIC CONTROL PLANS:

- Signing diagrams submitted at the pre-construction meeting.
- Minor traffic changes can be approved by the Engineer.
- Major changes will be approved by the Project Team. Timely submittal is important because this will take some time.
- Significant Unclassified Project. Work Zone Traffic Control Supervisor and Work Zone Traffic Control Technician requirements in accordance with Standard Specification 112.03.12.

Do double fine work zones apply to this project? Yes No

**All flagmen must be certified and carrying proof of the certification.

Notes:

CHANGE ORDERS:

- Change Orders must be approved prior to work starting, however, if an emergency situation arises, the Resident Engineer can obtain approval for the work either by fax or email.

- Important to submit information requested by the Resident Engineer in a timely manner. All supplemental items need to have a detailed price breakdown and justification.

Notes:

PROJECT PLANS AND PROPOSAL:

- General Project Specific Notes
- Special Notes applicable to the project
- CAP notes
- Questions concerning plans
- Discussion of future project meetings (Pre-Pave, Pre-pour, Pre-blast, Pre-electrical and any other Meetings that the Resident may require)

**Following this checklist, attach an outline of project specific topics to be discussed at this meeting including those in the project plans and proposal.

Notes:

ELECTRICAL PROJECT COMPONENTS:

**If this project involves significant electrical components, consult the district Traffic Engineer to determine if Central Office Traffic Operations should attend this conference. In any case, the Contractor is urged to invite the electrical subcontractor to attend.

Is a pre-electrical meeting needed onsite? Yes No

**If this meeting is needed, Central Office Traffic Operations should be invited.

Shop drawings should be sent directly to Central Office Traffic Operations.

**Responses to the contractor regarding these drawings should be copied to the project engineer.

Field questions should be directed through the project engineer.

**In no case shall the electrical subcontractor make field adjustments without requesting permission from the project engineer; who will in turn notify Central Office Traffic Operations of any changes.

Request the electrical final inspection from Traffic Operations

**When the electrical final inspection is needed, the contractor shall request this inspection by contacting Central Office Traffic Operations and copying correspondence to the project engineer and Central Office Construction District Liaison.

Notes:

WAGE REQUIREMENTS:

Send Certified Personnel Payrolls to:
Kentucky Transportation Cabinet
Division of Construction Procurement
200 Mero Street
Frankfort, KY 40622
ATTN: Certified Payrolls Enclosed

Submit a copy of the Certified Personnel Payrolls to the Resident Engineer
**Send and submit these payrolls weekly.

EEO WAGE REQUIREMENTS:

Required Contract Provisions for Federal-Aid Construction Contracts are included in the Project Proposal. It is the contractors' responsibility to develop and maintain acceptable Affirmative Action plans designed to eliminate discrimination based on race, color, religion, sex, or national origin. Documentation shall be kept in contractors' office.

Checklist:

1. Projects covered by federal regulations: Yes No
2. Minority goals established: _____ % for this project.
3. Female goals established: _____ % statewide and should be applied the same on this project by the contractor.
4. Form PR 1391 submission: Form PR 1391 is an annual report for work performed in July of each year. This report must be submitted for your last work period worked in July.
5. OFCCP subcontractor notification: 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 performed. The notification shall be mailed to:

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

The covered area for this project is _____ County.

6. Number of Trainees Assigned: _____

**Form TC14-309 is to be submitted and approved by the Division of Construction Procurement prior to beginning work, and Form TC 14-310 listing the trainee should be submitted prior to Trainee beginning work.

7. Trainee Classifications:

Weekly Training Reports: Yes No

****Form 14-311 submitted to Resident Engineer showing hours worked. Payment will only be made to contractor for hours worked in the trainee classification.**

9. Ethnic Group of Trainees: Yes No, Minority or Female

10. Trainee Starting Dates: As soon as work starts in classification or when work is available.

11. EEO Review Scheduling: An EEO Review may be scheduled for this project. The contractor will be notified by certified mail of the date of the review.
12. Referral Sources: Referral sources for minority and female employee hiring should be contacted by the contractor and establish two-way communication with them.
13. Project EEO Officer: The contractor will designate someone on the project as the EEO Officer and notify the Resident Engineer by letter of his selection. This notice shall be placed on the bulletin board. This will apply to the subcontractors on the project also.
14. Company EEO Officer: The contractor will designate someone in the company as the company EEO Officer and notify the Resident Engineer by letter of his selection. This notice shall be placed on the bulletin board. This will apply to subcontractors on the project also.
15. Designation of minority and females on payroll: Designation of minority and females on payrolls must be done by the contractor and subcontractors.
16. Payroll submission federal projects only: Payrolls must be submitted to the Resident Engineer weekly, not later than seven days after the ending of the payroll period. Submit two (2) copies. The Resident Engineer will flag estimates for nonpayment if payrolls are more than two weeks delinquent at the time estimates are processed. Subcontractors may certify their own payrolls if the prime contractor concurs. Payrolls should have correct project #'s, Contract ID #'s, and all necessary information. Note how fringes are to be paid; if to a fund, please furnish a copy of breakdown.
17. Classifications: Employee classifications shown on the payrolls must be classifications actually being performed by each employee.
18. 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. An employee 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.

19. **Wage and Hour Reviews:** Wage and Hour Reviews will be conducted at least every six (6) months by the Resident Engineer. Compliance Section employees may also conduct Wage and Hour Reviews.
20. **Bulletin Board, Wage and EEO Packet:** You are furnished a set of wage rates and EEO posters for the bulletin boards.
21. **Bulletin Boards:** Bulletin boards must be placed where they are readily accessible to all employees and applicants for employment. Bulletin boards must be maintained during the construction period to assure that all posters are legible.
22. **DBE Subcontracting:** The percentage to be subcontracted to DBE firms is _____ % as specified in the proposal. These subcontracting goals must be met or satisfactory documentation submitted showing contractors were unable to locate DBE firms, before the contract is awarded. Should additional subcontractors be requested subsequent to award, the contractor must affirmatively seek DBE firms and document such efforts. The DBE subcontractor must send the Resident Engineer a letter, prior to starting work on the project, naming the Project Superintendent, the Project EEO & Safety Officer, and the Company EEO Officer. The subcontractor must place a copy of this letter on the bulletin board.

On June 17, 1983, a policy was established by the Executive Director of the Office of Contract Procurement to furnish a **letter of notification** to the contractor at the Pre-Construction Conference. The letter will be read at this time and the contractor is requested to sign it and retain a copy. A copy will be furnished for each subcontractor.

Notes:

10

**Construction's transition
to projectwise**

By: The Mean One

Construction Memo 02-11

- Central office moving to electronic storage of documents
- Request districts to obtain ProjectWise by March 31, 2011
 - Connection issues in some offices (Please let us know)
- Projects let September 17, 2010 and beyond
 - Central office construction document storage will be in ProjectWise (no longer SiteManager)

Are All Projects in ProjectWise?

- Every project has its own folder in ProjectWise
 - Not limited to six-year plan projects
- Central office construction creates folders
 - After Notice of Award from Div. of Construction Procurement
- Folder structure is identical for ALL projects

ProjectWise Team
(It doesn't get better than this!!!)




Jeremiah
"HairyMan"
Littleton (D2,D5,D9)

Roy "The
Boy" Sturgill
(D7,D8,D12)

Matt "GingerBoy"
Looney (D1,D6,D10)

Rachel Mills
(D3,D4,D11)

Tammie Henson
(Assistant for All
Districts)

Central Office Documentation in ProjectWise?

- Work Order, Copy of Signed Contract, Insurance Certificate
- Proposal
- Final Inspection Reports completed by Central Office
- Formal Acceptance Reports
- Change Orders (Signed Copy)
 - Supporting Documentation (District)
- Email Correspondence
- Approved Shop Drawing Submittals
- Construction Revisions
- SubContracts
 - Both DBE & Non-DBE

District Documentation in ProjectWise

- Value Engineering Proposals
- Project Claim and All Supporting Documentation
- Written Narratives/Schedules
- Preconstruction Conference Checklist & Meeting Minutes
- All Written and Electronic Correspondence
- Last Load Tickets
- As-Built Plans

District Documentation in ProjectWise Continued

- Final Inspections Completed by District
- Completion Notices
- Comprehensive Final Inspection Report
- Corrective Work Complete Notice (under development in SiteManager)
- Districts should store any document that is normally stored electronically in ProjectWise
 - Discontinue use of N:Drive for shared documents
 - ProjectWise is as convenient and available to everyone statewide
 - Contracts are established on the district's servers

Work in Progress

- ProjectWise is a step in the right direction
- Not meant to create additional work for anyone
- Accessibility of project documents at any given time by individuals statewide
- Please call if you experience any problems
- The ProjectWise team will provide training to anyone across the state

The Challenge Ahead

- We understand that this is a learning process for everyone
- It will take time
- There will be challenges
- There may be:
 - Frustration
 - Confusion
 - Questions
 - Excitement...hopefully in the end
- But in the end the goal is:
 - A useful system that is beneficial to everyone

Thank You for your dedication and hardwork. Our success is dependent upon your ability to succeed in the job that you have been given. We hope ProjectWise is one tool to assist with this endeavor.

Thank You

Questions???

Special Thanks To:
Matt Looney
and
Roy Sturgill



TRANSPORTATION CABINET

Frankfort, Kentucky 40622

www.transportation.ky.gov/

Steven L. Beshear
Governor

Michael W. Hancock, P.E.
Secretary

MEMORANDUM

Construction Memorandum 02-11

TO: Chief District Engineers
District TEBMs for Project Delivery & Preservation
District Section Engineers
Central Office Construction

FROM: Steven Criswell, P.E. 
Director, Division of Construction

DATE: January 27, 2011

SUBJECT: ProjectWise for Storage of Contract Documents

The Division of Construction recently decided to move to an electronic file storage system in an effort to make contract documents readily available to Cabinet employees throughout the state. ProjectWise will be the software system utilized for this endeavor. Every District and Section office throughout the state will need to have access to ProjectWise. This office has created a document outlining specific procedures that must be followed in order to have ProjectWise installed on each computer. A document outlining this procedure has been attached to assist with this task.

Beginning immediately, Central Office Construction will utilize the electronic file storage system for projects that were let on September 17, 2010 and after. Final inspection reports, formal acceptance reports and approved change orders will no longer be stored in SiteManager. These items will now be stored in ProjectWise and a link to this site will be emailed to the appropriate district personnel once the applicable report is available. Everyone is *strongly* encouraged to follow the procedures attached and have ProjectWise installed on their computers. During this transition process, there may be instances where the information will need to be emailed directly to the district personnel. It is the expectation of this office, that all district personnel obtain Project Wise by March 31, 2011.

Additionally, contracts in ProjectWise will have the ability to store numerous other documents other than those previously mentioned. This office will be placing memorandums, shop drawings, subcontracts, claim information, value engineering proposals, construction revisions and etc. in the file. The Division of Construction Procurement will be placing the notice to begin work, certificate of insurance, authority to sign, electronic bid bond and a copy of the signed contract into the ProjectWise folder. The Division of Construction Procurement will notify district personnel once this information is placed into the project folders. This information will be available for district personnel to view at any time.



An Equal Opportunity Employer M/F/D

For contracts that were let prior to September 17, 2010, this office will continue to handle the storage of the documents in SiteManager and by paper files. There will be exceptions where a field liaison chooses to store the final inspection or formal acceptance report in ProjectWise rather than in SiteManager. This practice will be considered acceptable.

Please contact this office with any questions.

C: S. Waddle KAHC
B. Lewis Central Office Construction
S. Mills-FHWA PAIKY
T. Merryman

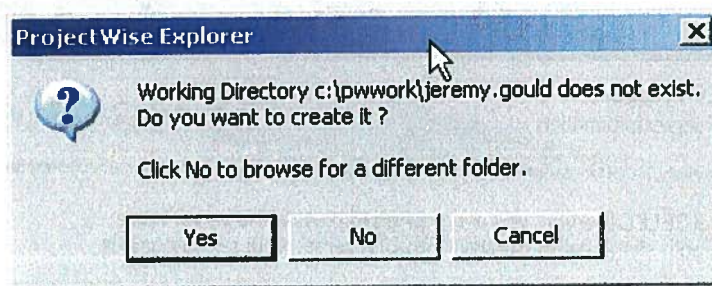
Attachment

HOW TO SETUP PROJECTWISE

1. The following process **MUST** be completed from the machine to receive the new software.
2. Go to <http://dot/webpages/design>
3. Left-Click on <Software Request/Support> tab
4. Left-Click on <Request Highway Design Software>
5. Select <Bentley Software Collection V8i> and <ProjectWise user account>
6. Complete Location, Discipline, and Email address fields.
7. Select <Request Software>

Continue with following steps only after Projectwise Software has been pushed down and installed on your computer.


1. Run the following program to set your ProjectWise Network Configuration (Projectwise will not work until you do this).
 - a. [ProjectWise Network Configuration](#)
2. Logging into ProjectWise, many of you may get the following dialog box. Click "Yes" to create it.



3. When first starting Microstation/InRoads/Bentley Map you may be prompted to run the Product Activation Wizard. When prompted by the following dialog boxes, please fill out as shown in the screenshots below.

Product Activation Wizard [X]

Product Activation Wizard
The Product Activation Wizard assists in the initial activation (licensing) process.



Please select your installation type. Please refer to your system administrator or Bentley Technical Support if you have questions.

SELECT subscriber activating against a hosted (Bentley) SELECT server.

SELECT subscriber with a deployed (local) SELECT server


NON-SELECT or Node Locked user

Evaluation Only - No license information

<Back | Next> | Cancel

Product Activation Wizard [X]

Activating against a SELECT server
Please enter your SELECT server information.



If you are activating against a local SELECT server, you are required to provide the server name and site activation key. If you are activating against Bentley's SELECT server, your server name is provided.

Server Name

Site Activation Key


Use HTTPS (SSL)

Settings stored for: All Users of this Machine

<Back | Next> | Cancel

Please wait ...

Country of Use
The country where this product will be used.



Please select the country where you will use this product from the list below.

United States

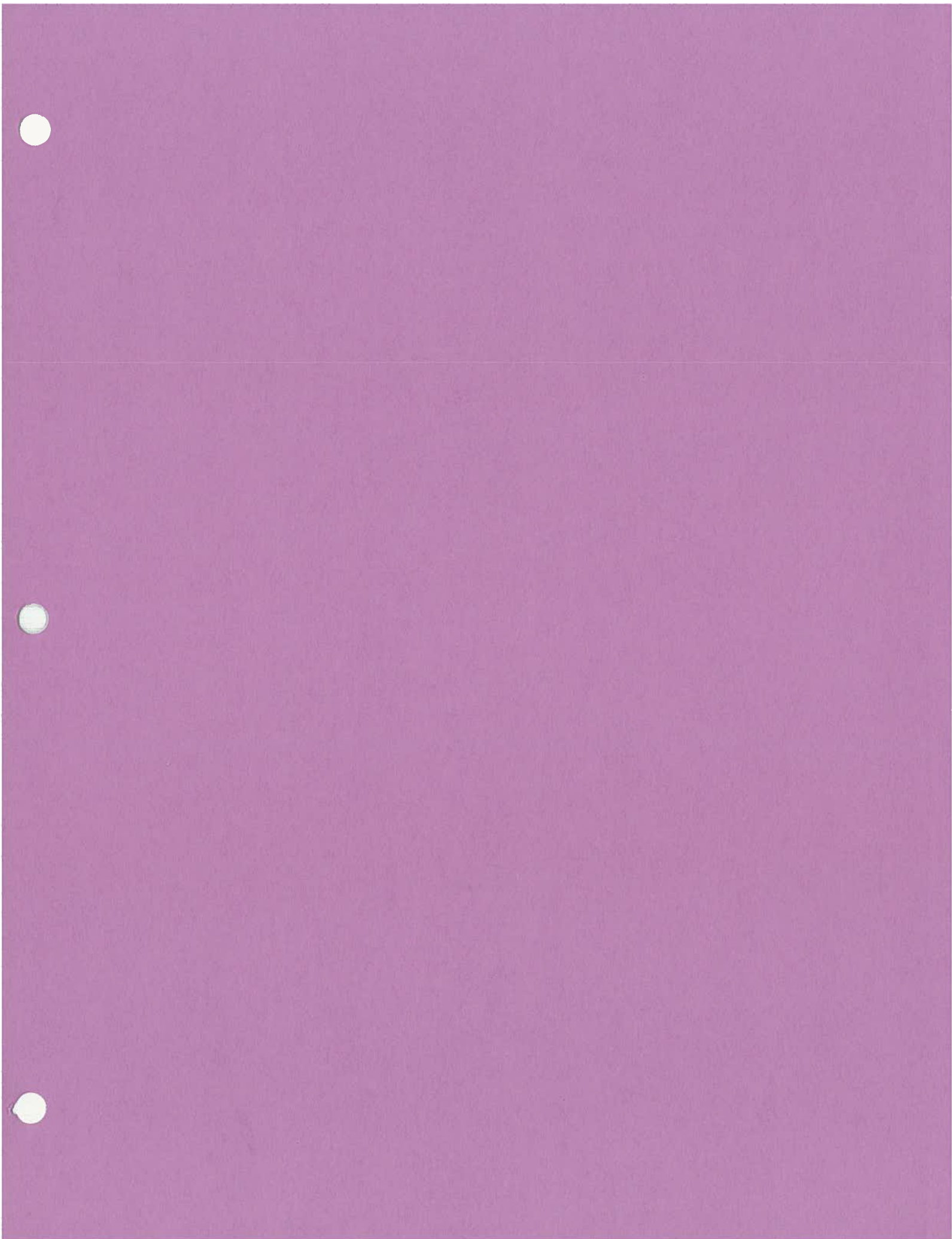
<Back Next> Cancel

4. Below are other things to make note of
 - a. For training on the new software go here....[Training](#). (Scroll to down to see the training)
 - b. If you need AutoTurn and have NOT already requested it, click here....[Request AutoTurn 7](#). AutoTurn will be pushed to your machine via Altiris within a week or two. A notification will be sent beforehand.
 - c. The ArcGIS Connector will also be pushed to your machine within a week or two. Again, a notification will be sent beforehand.
 - d. The spatial locations of the "Archive>Design Plans" currently is not working properly. We will notify you when this issue is resolved.
 - e. We were able to successfully spatially locate the "Projects" under Projects>District ##. Click here to see how this works....[Spatially Located Projects](#)
 - f. There are no longer XM or 2004 workspaces within ProjectWise. As an example, workspaces are now called "KYTCRoadway", as opposed to KYTC Roadway XM or KYTC Roadway 2004.

How to View Contract ID's (CID) instead of Six Year Plan (SYP) number in Projectwise

1. Open ProjectWise
2. Select <Tools> from the menu at the top of the screen.
3. Select <Options>
4. Select the "Settings" tab
5. Expand the "User Interface" section by selecting the "+".
6. Select the box next to "Display descriptions".
 - a. This should be the 6th box down on the list.
7. Select <OK>

You should now be able to see the Contract ID's when viewing projects in the Awarded Folder.





Guidance for the Use of ProjectWise in Section Offices for Construction Administration

General

This guidance entails responsibilities for Section Office personnel and will follow the ProjectWise Construction folder structure. Each section of this guidance will detail what files should be stored in each segment of the folder structure, who is responsible for placing the files there, what the file type will be, how each file will be named, and the security status of the file.

Any questions or issues can be addressed by Division of Construction ProjectWise Administrators including Roy Sturgill, Jeremiah Littleton, Matt Looney, and Rachel Mills. If you need any adjustments to the folder structure (folders or files deleted), contact your district ProjectWise Administrator, your Central Office Division of Construction Field Liaison, or one of the Division of Construction ProjectWise Administrators (above) for assistance. Whenever possible use the folder structure as outline below, however you do have the ability to add folders to each project folder as needed. This will especially be useful when categorizing correspondence.

Project Tracking Information

Details: This will be a MS Excel template to be completed for each project. It will include the project's TC-10 #, Design/6-year plan #, CID, Federal Project #, Structure Drawing #'s. We have not started this practice, but it will be included in future lettings.

Responsible Party: Central Office Division of Construction (Roy Sturgill)

File Type: MS Excel file

Naming Convention: CID followed by "ProjTrackingInfo.xlsx" Example: 102913ProjTrackingInfo.xlsx

File Security: KYTC Read Only/Admin Edit

Server Location: KYTC/District of Project

Contract Documents

Award Proposal & Addendums

Details: Documents provided by Construction Procurement. This folder will include the proposal and addendums.

Responsible Party: Central Office Division of Construction (Tammie Henson)

File Type: PDF

Naming Convention: CID followed by "Proposal.pdf" or CID followed by "Addendum#X.pdf" Example: 102913Proposal.pdf, or 102913Addendum#1.pdf

File Security: KYTC Read Only

Server Location: KYTC/District of Project

Record Plans

Details: Documents provided by Lynn Imaging. The complete set should be provided as a PDF. The individual sheets should be provided as DGN files so that Construction Revisions and As-Built drawings can be created. Copy these files from existing folders. These files could eventually be input by others/Lynn Imaging. If there are not plans associated with a project this folder can be deleted.

Responsible Party: Central Office Division of Construction Field Liaison

File Type: PDF and DGN

Naming Convention: CID followed by "Sheet<plan section><sheet number>.dgn" and CID followed by "RecordPlans.pdf" Example: 101310SheetS10.dgn or 101310RecordPlans.pdf.

File Security: KYTC Read Only or recreation as Construction Revision or As-Built

Server Location: KYTC/District of Project

Construction Revisions

Details: The Section Office will need to initiate the Construction Revision and cover sheet and get the project engineer and Chief District Engineer's signatures. The Section Engineer will then process the revision to their Central Office Division of Construction Field Liaison where the revision will get the remaining signatures and be stored here. Currently, we are in a transition away from using Mylar sheets. A policy is currently being developed to govern this process. Regardless, the signature sheet will need to remain on some form of paper format.

Responsible Party: Section Office to initiate; Central Office Division of Construction to finalize (Field Liaisons and Beth Combs)

File Type: PDF and DGN

Naming Convention: CID followed by "ConstRev#<plan section><sheet number>.dgn" and CID followed by " ConstRev#.pdf" Example: 101310ConstRev1S10.dgn or 101310ConstRev1.pdf

File Security: KYTC Read Only or recreation as Construction Revision or As-Built

Server Location: KYTC/District of Project

Work Order & Contract

Details: Documents prepared and provided by Construction Procurement including the signed Contract, Notice to Begin Work/Work Order.

Responsible Party: Central Office Division of Construction Procurement

File Type: PDF

Naming Convention: CID followed by "WorkOrder.pdf" or CID followed by "Contract.pdf" Example: 101310WorkOrder.pdf or 101310Contract.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Subcontracts & Rental Agreements

Details: These documents are submitted and handled by Central Office Division of Construction. Due to signed affidavit requirements, these files will require scanning. Equipment Lease/Rental agreements would need to be handled by at the Section office level.

Responsible Party: Central Office Division of Construction (Ben Baker) or Section Office for Lease/Rental Agreements

File Type: PDF

Naming Convention: CID followed by "Subcontract#<Contractor Indicator>.pdf" Example: 101310Subcontract2AllenCo.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Contractor's Payrolls

Details: These documents are provided either to the Section Office or Construction Procurement weekly for federally funded projects. They should be compiled/scanned into a single file for a given week, i.e. one file for all the contractors who worked in that week. On State funded projects, payrolls may be

requested anytime but must be submitted for the seasonal/bi-annual wage rate check for each contractor. Completed wage rate checks (TC 14-312) should also be stored here.

Responsible Party: Section Office

File Type: PDF

Naming Convention: "<first date of the week as YYYYMMDD> Payroll<CID>.pdf" Example: 20100920Payroll101310.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Change Orders

Change Order #XXX

Folder Name: The number of this folder should correspond with each change order number. Additional folders should contain the same structure. Copying, adding, and changing the folder name can be completed by the Section Office. If you need assistance contact Central Office Division of Construction ProjectWise Administrator.

Change Order Hard Copy

Details: A scanned copy of the approved change order should be placed in this file. This is currently being input in SiteManger.

Responsible Party: Central Office Division of Construction (Beth Combs)

File Type: PDF

Naming Convention: CID followed by "ChangeOrderXXX.pdf" Example: 101310ChangeOrder001.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Supporting Documentation

Details: This involves any correspondence, email, photos, sketches, calculations, invoices, etc. that supports or justifies the need for the change order or the price of the work involved. In any instance where price justifications are supplied from invoices from the Contractor, this information needs to be stored here.

Responsible Party: Section Office

File Type: Various (preferably PDF or DOCX)

Naming Convention: These may vary but the file names should begin with CID "CO###<document indicator i.e. email, invoice, calculations.etc.>.docx, pdf, etc.

Example: 101310CO001Invoice.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Correspondence General

General Email

Details: Store any email correspondence relating to the project here. When inputting email with the same subject line, ProjectWise will use a numbering convention to differentiate the files. It may be more beneficial to rename the files as below with the date sent. In this scenario, ProjectWise would only number the files if an email of the same subject was sent on the same day. Subfolders should be added

for each individual adding email under this folder, i.e. if you are adding an email to this folder you should create a folder named "MyNameCorrespondence."

Responsible Party: Various.

File Type: Outlook or Various

Naming Convention: "<date sent as YYYYMMDD><subject indicator><CID>.pst"

File Security: Read Only

Server Location: KYTC/District of Project

Comprehensive Final Inspection Report

Details: This form is available from the Construction Engineer's Resource Center webpage and is supposed to be completed by the Section Engineer. Send your Central Office Division of Construction Field Liaison a link to this file once completed.

Responsible Party: Section Office

File Type: PDF

Naming Convention: CID followed by "CompFinalInsp.pdf" Example: 101310CompFinalInsp.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Formal Acceptance Report

Details: These documents will no longer be attached to the Correspondence Log in SiteManager. Central Office Division of Construction Field Liaisons will send a link to this file to the Section Office and District PD&P TEEM as well as email a PDF of the file to the Contractor. The Contractor's email address used will be as provided on the Preconstruction Checklist, according to the Central Office list, or the Field Liaison may request it from the Section Office.

Responsible Party: Central Office Division of Construction Field Liaison

File Type: PDF

Naming Convention: CID followed by "FormalAccp.pdf" Example: 101310FormalAccp.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Project Engineer Inspection Report

Details: This is where the project engineer's punch list should be filed.

Responsible Party: Section Office

File Type: PDF

Naming Convention: CID followed by "EngPunchList.pdf" Example: 101310EngPunchList.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Letters & Memos

Details: Any letters and memos or written correspondence that does not fit well into other areas of this folder structure should be stored here. These could be to or from Central Office Divisions, District office, or Section office levels.

Responsible Party: Section Office or Various(those sending or receiving the correspondence)

File Type: Various/PDF

Naming Convention: "<date sent as YYYYMMDD><Recipient><document type, letter, memo, RFI, etc.><CID>.file type Example: 20100920AllenCoLetter101310.pdf"

File Security: Read Only

Server Location: KYTC/District of Project

Submittals

Scheduling Documents

Details: Any initial or updated scheduling document needs to be stored here. Rather than submitting the file by email to Roy Sturgill, a link to the files stored may be emailed to Roy Sturgill for initial approval of the scheduling documents. Please make sure that paper copies of these documents are provided to project inspection staff.

Responsible Party: Section Office

File Type: PDF

Naming Convention: CID followed by "<initial or update number><schedule type>.pdf" Example: 101310InitialWrittenNarrative.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Claims/Disputes Documents

Details: Any submittals or correspondence concerning a claim or dispute on the project should be stored here.

Responsible Party: Section Office or Central Office Division of Construction Field Liaison

File Type: Various

Naming Convention: CID followed by "<Contractor indicator><claim topic and number if applicable><subject of file>.file type" Example: 101310AllenCoRailRoadClaimNoticeofChange.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Value Engineering Documents

Details: Any submittals or correspondence concerning a VE should be stored here.

Responsible Party: Section Office or Central Office Division of Construction Field Liaison

File Type: Various

Naming Convention: CID followed by "<Contractor indicator><VE topic><subject of file>.file type" Example: 101310AllenCoCulvertModVESubmittal.pdf

File Security: Read Only

Server Location: KYTC/District of Project

General Shop Drawings

Details: Any shop drawings that do not fall into another folder category should be stored here. These may include drawings that are only submitted to the Section Office or other offices for review.

Responsible Party: Section Office

File Type: Various

Naming Convention: CID followed by "<Contractor indicator><Drawing Subject><subject of file>.file type" Example: 101310AllenCoHandrailReview.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Meeting Notes

Details: Any minutes, notes, or recordings of any meetings with the Contractor or about the project should be stored here. This includes the Preconstruction Conference, so the recorded meeting, written minutes, and Preconstruction Checklist should be stored here.

Responsible Party: Section Office or District Office PD&P Branch (Could also be Central Office as needed)

File Type: Various

Naming Convention: "<date as YYYYMMDD><Meeting type and number if applicable><File Type><CID>.file type" Example: 20100920PreconRecording101310.mp3

File Security: Read Only

Server Location: KYTC/District of Project

Roadway

Final Inspection Report

Details: Central Office Division of Construction Field liaisons will no longer attach these in SiteManager. The files will be stored here and a link sent to the Section Office and District PD&P TEBM as well as an emailed PDF of the file to the Contractor and FHWA if applicable. The Contractor's email address used will be as provided on the Preconstruction Checklist, according to a Central Office list, or the Field Liaison may request it from the Section Office. If Roadway was not part of the work involved, the report would be placed in the applicable category. If roadway inspection was done separate from a final inspection, the documentation of that inspection would be placed here along with a copy of the project final inspection report. If roadway was part of the project, the final inspection report covering the whole project would be stored here. Any documentation concerning the completion of these punch lists can also be stored here.

Responsible Party: Central Office Division of Construction Field Liaison and Section Office

File Type: PDF

Naming Convention: CID followed by "Final<items covered by the inspection if applicable>InspRep.pdf" Example: 101310FinalInspRep.pdf or 101310FinalRdwyInspRep.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Erosion Control/Seeding Inspection Reports

Details: These reports should be available from the Section Office for the intermittent reports but Stephen Bowling and Beth Day may also complete intermediate or final inspections. These files should be stored here.

Responsible Party: Section Office, Stephen Bowling, or Beth Day

File Type: PDF

Naming Convention: "<date inspected YYYYMMDD><Inspection Type>InspRep<CID>.pdf" Example: 20100920IntmedErosionContRep101310.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Seeding Spreadsheets

Details: These need to be procured from the Section Office and stored here.

Responsible Party: Section Office

File Type: PDF

Naming Convention: CID followed by "SeedingSheet.pdf" Example: 101310SeedingSheet.pdf

File Security: Read Only
Server Location: KYTC/District of Project

Rideability Testing

Details: These are submitted to the Section Office and should be stored here. The files should include the request form and the report. You may request the Central Office Division of Maintenance to place the files in ProjectWise rather than email them to you.

Responsible Party: Section Office and/or Central Office Division of Maintenance

File Type: PDF

Naming Convention: CID followed by "RideabilityReport.pdf" or "RideabilityRequest.pdf" Example:
101310RideabilityReport.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Proctor and Density Reports

Details: Section Office staff should document this testing through the proper reports or why it was not completed in this folder.

Responsible Party: Section Office

File Type: PDF

Naming Convention: "<date tested as YYYYMMDD>DensityRep<CID>.pdf" or Example:
20100920DensityRep101310.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Sign Inspection

Details: The Section Office documentation of this inspection should be stored here. If other parties are checking truss sign structures, their inspection should also be stored here.

Responsible Party: Section Office

File Type: PDF

Naming Convention: "<date tested as YYYYMMDD>SignInsp<CID>.pdf" or Example:
20100920SignInsp101310.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Striping Retroreflectivity

Details: Striping reports and/or scanned copies of output tapes should be stored here.

Responsible Party: Section Office

File Type: PDF

Naming Convention: "<date tested as YYYYMMDD>StripingRep<CID>.pdf" or Example:
20100920StripingRep101310.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Utility/Right of Way Issues

Details: Any correspondence or notes concerning utility issues or right of way can be stored here.

Responsible Party: Section Office and/or District Office

File Type: PDF

Naming Convention: "<date received/noted as YYYYMMDD><issue><document type><CID>.pdf"

Example: 20100920KUOverheadLineEmail101310.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Structures

Final Inspection Report

Details: If a structure inspection was completed outside of the final inspection for the project, that report would be stored here. Also, if the project only involved structural work the project final inspection report would be stored here. Central Office Division of Construction Field Liaisons will no longer be storing these files in SiteManager. The files will be stored here and a link sent to the Section Office and District PD&P TEBM as well as an emailed PDF of the file to the Contractor and FHWA if applicable. The Contractor's email address used will be as provided on the Preconstruction Checklist, according to a Central Office list, or the Field Liaison may request it from the Section Office. Any documentation concerning the completion of these punch lists can also be stored here.

Responsible Party: Central Office Division of Construction Field Liaison

File Type: PDF

Naming Convention: CID followed by "FinalStructInspRep.pdf" Example: 101310FinalStructInspRep.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Bridge-Drawing # XXXXX

Correspondence/Email

Details: Store any correspondence, written or email, relating to the structure here.

Responsible Party: Various.

File Type: PDF, Outlook, Various

Naming Convention: "<date sent as YYYYMMDD><subject indicator><CID>.file type"

File Security: Read Only

Server Location: KYTC/District of Project

Submittals

Details: Any submittals aside from shop drawings should be stored here, i.e. overhang designs, false work, etc. The responses to these submittals should also be filed here.

Responsible Party: Section Office, District Office, Central Office Division of Construction Field Liaison

File Type: PDF

Naming Convention: CID followed by "<document type><structure number>.pdf" Example: 101310OverhangDesign25675.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Pile Reports

Details: Store the completed Piling Report form here.
Responsible Party: Section Office
File Type: PDF
Naming Convention: "<date as YYYYMMDD>PileRep<structure number><CID>.pdf" or Example:
20100920PileRep25645101310.pdf
File Security: Read Only
Server Location: KYTC/District of Project

Shop Drawings

Details: Approved shop drawings and responses should be stored here for each structure. The Section Office will submit paper copies of shop drawings to their Central Office Division of Construction Field Liaison. Once approved, the Central Office Division of Construction Field Liaison will place scanned copies in this file as well as submit paper copies back to the Section Office as required under current procedures.
Responsible Party: Central Office Division of Construction Field Liaison
File Type: PDF
Naming Convention: CID followed by "<document type><structure number>.pdf" Example:
101310ShopDrwgResponse25675.pdf
File Security: Read Only
Server Location: KYTC/District of Project

Culvert-Drawing # XXXXX

Correspondence/Email

Details: Store any correspondence, written or email, relating to the structure here.
Responsible Party: Various.
File Type: PDF, Outlook, Various
Naming Convention: "<date sent as YYYYMMDD><subject indicator><CID>.file type"
File Security: Read Only
Server Location: KYTC/District of Project

Submittals

Details: Any submittals aside from shop drawings should be stored here, i.e. overhang designs, false work, etc. The responses to these submittals should also be filed here.
Responsible Party: Section Office, District Office, Central Office Division of Construction Field Liaison
File Type: PDF
Naming Convention: CID followed by "<document type><structure number>.pdf" Example:
101310OverhangDesign25675.pdf
File Security: Read Only
Server Location: KYTC/District of Project

Pile Reports

Details: Store the completed Piling Report form here.
Responsible Party: Section Office
File Type: PDF

Naming Convention: "<date as YYYYMMDD>PileRep<structure number><CID>.pdf" or Example:

20100920PileRep25645101310.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Shop Drawings

Details: Approved shop drawings and responses should be stored here for each structure. The Section Office will submit paper copies of shop drawings to their Central Office Division of Construction Field Liaison. Once approved, the Central Office Division of Construction Field Liaison will place scanned copies in this file as well as submit paper copies back to the Section Office as required under current procedures.

Responsible Party: Central Office Division of Construction Field Liaison

File Type: PDF

Naming Convention: CID followed by "<document type><structure number>.pdf" Example:

101310ShopDrwgResponse25675.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Sound Wall-Drawing # XXXXX

Correspondence/Email

Details: Store any correspondence, written or email, relating to the structure here.

Responsible Party: Various.

File Type: PDF, Outlook, Various

Naming Convention: "<date sent as YYYYMMDD><subject indicator><CID>.file type"

File Security: Read Only

Server Location: KYTC/District of Project

Submittals

Details: Any submittals aside from shop drawings should be stored here, i.e. overhang designs, false work, etc. The responses to these submittals should also be filed here.

Responsible Party: Section Office, District Office, Central Office Division of Construction Field Liaison

File Type: PDF

Naming Convention: CID followed by "<document type><structure number>.pdf" Example:

101310OverhangDesign25675.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Shop Drawings

Details: Approved shop drawings and responses should be stored here for each structure. The Section Office will submit paper copies of shop drawings to their Central Office Division of Construction Field Liaison. Once approved, the Central Office Division of Construction Field Liaison will place scanned copies in this file as well as submit paper copies back to the Section Office as required under current procedures.

Responsible Party: Central Office Division of Construction Field Liaison

File Type: PDF

Naming Convention: CID followed by "<document type><structure number>.pdf" Example:
101310ShopDrwgResponse25675.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Electrical

Final Inspection Report

Details: Electrical item inspections will be completed by the Central Office Division of Traffic Operations. Piezometric Traffic Counting Loop inspections will be completed by the Central Office Division of Planning. The Section Office will receive a copy of these completed inspections and reinspections and should store the files here. You may request that the Central Office Division of Traffic Operations and/or Division of Planning place their inspections in this folder and send the Section Office a link. Once this inspection is finalized, enter the applicable Key Date in SiteManager.

Responsible Party: Section Office or Central Office Divisions of Traffic Operations and/or Planning

File Type: PDF

Naming Convention: CID followed by "ElectricalFinalInsp.pdf" Example:
101310ElectricalFinalInsp.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Correspondence/Email

Details: Store any correspondence, written or email, relating to the electrical items or piezometric traffic counting loops here.

Responsible Party: Various.

File Type: PDF, Outlook, Various

Naming Convention: "<date sent as YYYYMMDD>Elec<subject indicator><CID>.file type"

File Security: Read Only

Server Location: KYTC/District of Project

Submittals

Details: The electrical shop drawings are reviewed by the Central Office Division of Traffic Operations. Submittals regarding piezometric traffic counting loops are reviewed by the Central Office Division of Planning. These are sent to the Section Office. Store these files here or ask that they be stored here.

Responsible Party: Section Office or Central Office Divisions of Traffic Operations and/or Planning

File Type: PDF

Naming Convention: CID followed by "ElecShopDrwg<subject>.pdf" Example:
101310ElecShopDrwgApproval.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Materials Documentation

Concrete Mix Designs & Testing

Details: Any mix designs, testing results, notes, or correspondence related to concrete work on the project should be stored here.

Responsible Party: Various. While this documentation may come from various sources, the Section Office needs to ensure documentation is populated in this folder.

File Type: PDF, Outlook, Various

Naming Convention: "<date sent as YYYYMMDD>Concrete<subject indicator><CID>.file type"

File Security: Read Only

Server Location: KYTC/District of Project

Asphalt Cores Sheet

Details: The asphalt cores sheet should be stored here.

Responsible Party: Various. While this documentation may come from various sources, the Section Office needs to ensure documentation is populated in this folder.

File Type: PDF, MS Excel, Various

Naming Convention: "<date sent as YYYYMMDD>AsphCores<subject indicator><CID>.file type"

File Security: Read Only

Server Location: KYTC/District of Project

Asphalt Mix Designs & Testing

Details: Any mix designs, testing results, notes, or correspondence related to asphalt work on the project should be stored here.

Responsible Party: Various. While this documentation may come from various sources, the Section Office needs to ensure documentation is populated.

File Type: PDF, Outlook, Various

Naming Convention: "<date sent as YYYYMMDD>Asphalt<subject indicator><CID>.file type"

File Security: Read Only

Server Location: KYTC/District of Project

Media Documentation

Pictures

Roadway

Details: Any general project photos not related to a structure should be stored here.

Responsible Party: Various.

File Type: PDF, JPG, TIFF, Various

Naming Convention: "<date taken as YYYYMMDD><subject indicator><CID>.file type"

File Security: Read Only

Server Location: KYTC/District of Project

Structures

Details: Any general project photos not related to a particular structure should be stored here.

Responsible Party: Various.

File Type: PDF, JPG, TIFF, Various

Naming Convention: "<date taken as YYYYMMDD><subject indicator><CID>.file type"

File Security: Read Only

Server Location: KYTC/District of Project

Video

Details: Any project videos should be stored here.

Responsible Party: Various.

File Type: Various/should be Window Media Player compatible, .WMV

Naming Convention: "<date taken as YYYYMMDD><subject indicator><CID>.file type"

File Security: Read Only

Server Location: KYTC/District of Project

Estimates

Details: Because SiteManager can readily access regular estimates, only the final project estimate needs to be populated here. Additionally, any notes or correspondence related to project estimates should be populated here.

Responsible Party: Central Office Division of Construction Final Estimates Section

File Type: PDF

Naming Convention: CID followed by "<subject>.pdf" or "FinalEstReport.pdf"

File Security: Read Only

Server Location: KYTC/District of Project

Fuel & Asphalt Adjustments

Details: Calculations and print out from running the online Fuel and Asphalt Adjustment program.

Responsible Party: Section Office

File Type: PDF

Naming Convention: CID followed by "FandA<subject>.pdf" Example:

101310FandASpreadsheet.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Cores & Lot Pay Adjustments

Details: Any documentation and calculations concerning core and lot pay adjustments should be stored here.

Responsible Party: Section Office

File Type: PDF

Naming Convention: CID followed by "CoreLotAdj<subject>.pdf" Example:

101310CoreLotAdjCalcs.pdf

File Security: Read Only

Server Location: KYTC/District of Project

DWR and Engineer Diary Supporting Materials

Sketches/Calculations for Specific DWR's

Details: Sketches, calculations, pictures, and other supporting documentation for DWR's can be stored here.

Responsible Party: Section Office

File Type: PDF or other

Naming Convention: "<Date as YYYYMMDD><document type>DWR<CID>.pdf" Example:
20100920SketchDWR101310.pdf
File Security: Read Only
Server Location: KYTC/District of Project

Sketches/Calculations for Specific Diaries

Details: Sketches, calculations, pictures, and other supporting documentation for DWR's can be stored here.

Responsible Party: Section Office

File Type: PDF or other

Naming Convention: "<Date as YYYYMMDD><document type>Diary<CID>.pdf" Example:
20100920SketchDairy101310.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Field Books/Notes

Details: Any documentation, notes, field books, pipe books, etc. may be stored here if desired or if information was not included in a DWR or Diary.

Responsible Party: Section Office

File Type: PDF or other

Naming Convention: "<Date as YYYYMMDD><document type>FieldNotes<CID>.pdf" Example:
20100920FieldNotes101310.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Last Load Tickets

Details: Scan in last load tickets here.

Responsible Party: Section Office

File Type: PDF or other

Naming Convention: "<Date as YYYYMMDD><material type>LastLoad<CID>.pdf" Example:
20100920CL3SurfLastLoad101310.pdf

File Security: Read Only

Server Location: KYTC/District of Project

Final Project Documents

Details: As you can tell, finalizing a project and submitting the required documents to the District Office and Central Office Division of Construction can be optimized by already having everything electronically stored in ProjectWise. Use this area for any supporting documents, notes, the final estimate, formal acceptance, final release, and other information relating to finalizing the contract. The Section Office can notify the District Office that documentation is stored in ProjectWise and ready for their check. The District Office can likewise do the same for the Central Office Division of Construction.

Responsible Party: Section Office, District Office, and Central Office Division of Construction
Administrative Branch

File Type: Various

Naming Convention: <VARIOUS>Final.pdf

File Security: Read Only

Server Location: KYTC/District of Project

As-Built Drawings

Details: Store as-built drawings here.

Responsible Party: Section Office, District Office, and Central Office Division of Construction
Administrative Branch

File Type: PDF and DGN

Naming Convention: CID followed by "AsBuiltSheet<plan section><sheet number>.dgn" and CID followed by "AsBuiltPlans.pdf" Example: 101310AsBuiltSheetS10.dgn or 101310AsBuiltPlans.pdf

File Security: KYTC Read Only

Server Location: KYTC/District of Project

Investment in the future

Investment in the future

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